Project Permit Guidebook

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REVIEW AND APPROVAL RECORD

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1. INTRODUCTION

Efficient delivery of Metra's program of projects requires consistent, effective permitting processes to avoid delays in the project construction phase. The characteristics of each project will inform the type of permit (or permits) required for construction.

This document outlines a permitting process, overseen by Metra and the Capital Delivery Team (CDT), that will provide efficient information discovery and permit coordination for Metra's program of projects. This includes the methodology for documenting and tracking permitting information in accordance with project schedules and performing consistent interagency coordination to advance the design permit process between the project team and the permitting agency.

The overall objective for implementation of this permit coordination structure and expediting process is to advance project progress to and through construction without delays caused by truant permit issuance. It is the intent of Metra that this be a living document, and that the process objectives, management methodology, coordination sequencing, documentation, and communication structure outlined herein will be based on Metra's specific needs. Although each individual permit agency process and policy is unique and can change, and each project and schedule are different, this process is adaptive and can be implemented to address any permitting needs.

2. ROLES AND RESPONSIBILITIES

This section identifies the parties involved in the permitting process and describes each party's role and responsibilities.

2.1 METRA

The Northeast Illinois Regional Commuter Railroad Corporation, d.b.a. Metra, is the listed owner on construction applications for capital improvements on its property.

As the owner, Metra is responsible for contracting with the architect or engineer of record (AOR/EOR), Contractor, and construction manager (CM) for work on its premises. Metra is also responsible for contracting with the Direct Developer Services (DDS) consultant, should Metra choose this application method (See Section 5.3.5).

Metra's role is intended to be one of participation and oversight, but with the ability to delegate authority to other parties when appropriate. Since Metra will be involved with the project from concept through operation, it is the best entity to determine when permitting processes should begin. Metra should be available to liaise with the permitting agencies on behalf of the AOR/EOR, CM, and Contractor. Metra, as the owner, is ultimately responsible for permit costs, either as a reimbursable expense to the Contractor or as a direct expense.

Metra assigns a Project Manager (PM) from its staff to oversee the design and construction of each project. This individual will be the primary Metra point of contact and will work with the Permit Coordinator (PC) on the permit process.

2.2 METRA CAPITAL DELIVERY TEAM

The CDT works to ensure project delivery. The AOR/EOR will work with Metra and the CDT to develop a written permitting plan for each project. The plan will include scheduling meetings with permitting agencies, as necessary, checklists for preparing documents for permit, and permit tracking from initial submittal to final approval The PM will confirm that meetings are scheduled and have an appropriate representative in attendance at meetings with the design team.

For each project in Metra's Capital Program, the CDT will work with the PM, CM, Contractor and AOR/EOR consultant to develop a packaging and scheduling program that includes applications and timelines for each applicable Permits for Construction (PFC).

Metra will designate a PC to undertake all CDT monitoring responsibilities related to permitting. The PC will assist the Metra PM, who will be the primary point of communication between the AOR/DOR for permitting. The PC will work and communicate regularly with the design team, CM, and Contractor for projects being designed and built for Metra. The PC role is described in more detail in Section 3.

The PC will develop a log for tracking the permits required for each project. This log will track projected and actual milestone dates related to the permitting process, for inclusion in the overall project schedule. Should it appear to the AOR/DOR that the process is being unnecessarily delayed or obstructed, the DOR must alert the PM who may contact the CDT and PC with a request to communicate with the DOB, OUC or other Authorities Having Jurisdiction (AHJ) for projects outside Chicago to attempt to resolve the issue.

2.3 ARCHITECT OR ENGINEER OF RECORD (AOR/EOR)

It is Metra's goal to minimize the time needed for the construction phase of capital projects. This reduces the inconvenience of construction on Metra's users and the public in general, as well as construction costs. The AOR/EOR is therefore responsible for not only the development of the project design but also the acquisition of design phase permits to ensure that the Issued for Bid (IFB) packages include a design that is ready for construction. This responsibility includes meeting and coordinating with the AHJs to ensure project code compliance. AOR/EOR work also includes creation of construction documents and preparation of specifications, all as needed for the IFB package.

It is understood that the PFCs includes many activities and submittals that are necessarily performed by the Contractor or subcontractors. These include licensing for working in a particular jurisdiction and preparation of plans for specific construction features such as earth retention systems. Again, it is Metra's intention that the scope and duration of these Contractor activities are minimized.

This guidebook is intended to assist the PM, AOR/EOR and CM with understanding and executing activities needed to gain permits for Metra projects. This includes sections discussing the permit process for many of the AHJs within Metra's operating boundaries. However, these references are not to be considered comprehensive and its use does not relieve the AOR/EOR from the responsibility of identifying all permits required for construction of a particular project.

2.4 CONTRACTOR

The Contractor is responsible for executing the work plan according to its contract with Metra. To obtain a PFC, the Contractor (and the Contractor's subcontractors) must be licensed in the municipality the project is located and be authorized to work in the Railroad and Roadway Right-of-Way (ROW) involved with the project.

Each municipality has its unique permit requirements, and the Contractor has the responsibility to understand and accept the permit costs and activities that must be followed for the project. Illinois Department of Transportation (IDOT) and County roadways may also be involved with the project and the Contractor must accept all permit costs and responsibilities to work in those ROWs.

The Contractor is responsible for acquiring all permits for the project and should prepare a list of permits that are needed for construction. Metra will include a list of permits acquired in the Design phase in the IFB documents.

In the City of Chicago, depending on the scope of work and its contract with Metra, the Contractor may be responsible for initiating the Easy Permit process with the Department of Buildings (DOB). Other permit types cannot be initiated by the Contractor. The Contractor will be responsible for providing information required to secure final permits.

Additionally, the Contractor must be under contract with Metra prior to application for an Office of Underground Coordination (OUC) permit. The Contractor will collaborate with the AOR/EOR on submittals. The Contractor is actively involved in the application process, including submitting construction planning documents for the purpose of demonstrating onsite project activities for OUC's evaluation.

The Contractor may pay for the balance of the permit fee as a reimbursable expense budgeted as part of the project costs.

2.5 CONSTRUCTION MANAGER

The CM is an organization or individual with the expertise and resources to provide construction management services on behalf of Metra. The CM is ultimately responsible for project delivery. This includes, but is not limited to, managing the project scope, budget, schedule, and quality throughout the preconstruction, construction, and post construction phases. The CM shall ensure that the work plan is performed in accordance with the contract plans and specifications.

The CM shall assist with coordination and facilitation of the permit process as necessary to secure final PFC(s).

2.6 DIRECT DEVELOPER SERVICES (DDS) CONSULTANT

In the case of Developer Services (DS) being required for the City of Chicago's DOB review (Refer to Section 5) the DOB will interface with the DS consultant (Metra and the consultant will not interface directly), and the DOB will include the Consultant's fee as part of the permit cost to Metra.

However, Metra may choose to pursue a Direct Developer Services permit instead of the Developer Services permit. In this approach, Metra will interface directly with the consultant without the DOB as an intermediary. Using Direct Developer Services, the plan review process is contracted to a third-party consultant, and the DOB delegates the permit application and plan review to that consultant. The DDS consultant becomes the DOB's representative for the permit process, and therefore a part of the team.

If the Direct Developer Services permit is selected, the DDS consultant should be contracted early in the project to assist the AOR/EOR with code compliance and preparation of the submittal documents for the permit application. The DDS consultant is authorized to certify code compliance and satisfaction of the DOB requirements. Upon recommendation for approval by the DDS consultant, the permit can be awarded without additional internal DOB review.

3. PERMIT COORDINATOR

To ensure an efficient permitting process for all Metra projects, Metra will designate a PC who will facilitate the permitting process throughout the life of a project. The PC will work closely with Metra personnel including PMs and their teams, as well as the CDT, as needed to obtain each permit. The PC may also interface with third-party Contractors or consultants and permit agency leads, while adhering to the organizational and contractual communication structure and requirements regarding communication between Metra and Metra's Contractors.

The PC will follow internal Metra documents (including this guidebook and its appendices), as well as guidance documents issued by the permit agencies.

Metra and the CDT will designate a PC, who will be the primary liaison and point of contact for all permitting issues. However, the PC will be supported on an as-needed basis by additional personnel who also have expertise with permit processes in the design and construction phases.

3.1 PERMIT COORDINATION OVERVIEW

3.1.1 STEP 1 – ESTABLISHING PROJECT INFORMATION

Prior to beginning the permitting process, the first step is to define the project, including its features and schedule. This step is key, as the project's characteristics will determine which permits will be required.

Prior to applying for a permit, the appropriate zoning district must be confirmed, or the rezoning of the project site must be completed. Otherwise, the permitting process will stall until zoning has been addressed. This is applicable to all projects, both within the City of Chicago and in outlying municipalities.

For each project, the PC will work with the Metra PM to complete a Project Permit Coordination (PPC) checklist. The PPC checklist includes the following information:

- Project Summary
- Special Project Features
- Project Schedule Milestones and Key Deliverable Objectives
- Current Permit Coordination Status Survey

For projects in the City of Chicago, the PPC checklist will also include:

- Preliminary Office of Underground Coordination (OUC) Questionnaire
- Preliminary Chicago Building Code Questionnaire (for the DOB)
- Chicago Utility Checklist

3.1.2 STEP 2 – ORGANIZATION AND TRACKING

The PM will enter the project data from the PPC checklist into the Metra Permit Tracking Log (PTL), which will be developed and maintained by the PC. This will serve as Metra's master tracking document for project permits. The PTL will also serve as a high-level summary to share project permit dates and information with Metra, the CDT, and PMs.

The PTL will track all permits required for each project, as well as listing permits that are not necessary for the project. Dates and action items for permit progress will be listed and tracked. The PC will track the status of each project permit, including updating "ball in court" information and dates for submittals. The PTL will be kept current, and will be available to the appropriate Metra, CDT, and project personnel. The PTL is being developed within the InEight project management information system. The PC will have a dynamic "dashboard" showing the PTL, and the ability to generate reports for review by others.

3.1.3 STEP 3 – INITIATING THE PERMIT PROCESS (CONCURRENT WITH STEP 2)

Based on the information obtained from the PPC checklist (Step 1), the PC will monitor the initiation of each required permit application. This includes ensuring that permit application materials are prepared and submitted in a timely manner, in accordance with the project schedule, to avoid project delays.

3.1.4 STEP 4 – PERMIT COORDINATION, COMMUNICATION AND REPORTING

The PC will attend project progress meetings with PM and other Metra and CDT personnel to obtain updates and derive issue resolution for in-progress permit applications. The PC may request additional information from the Metra PM or other Metra staff, or the AOR/EOR at any point prior to PFC issuance. Regular communication, permit documentation, and updates of information will ensure that the permit objectives and priorities for each project are understood and that potential risks are discovered as early as possible.

The PC will update the PTL based on the minutes from project progress meetings. Project-specific meetings will also be scheduled by the PC on an as-needed basis.

When permit issues are identified, the PC will work with the Metra PM to resolve the issue. The Metra PM can issue Non-Conformance Reports (NCR) to the AOR/EOR or Contractor if they are not responsive. The PC will also escalate issues to the CDT Project Review or Risk and Change meetings, and to Metra leadership, as appropriate.

3.2 ADDITIONAL RESPONSIBILITIES

3.2.1 FILING OF DOCUMENTATION

In addition to the standard project files maintained by the Metra PM, the PC will keep a Project Permit file for each project for all coordination and project permit activities. Permit requests, attachments, fees, correspondence, emails, and acceptances/issuances will be documented and filed consistently in the Project Permit file.

3.2.2 ITERATIONS AND ENHANCEMENTS TO CHECKLISTS, PERMIT TRACKING LOG, AND MANUALS

The permit coordination tools developed by the CDT, including this document and other manuals, will be routinely reviewed and updated to comply with current agency policy for the DOB and Chicago Buildings Code, OUC, and utility agencies. The PC will work with Metra and the CDT to update the coordination structure as processes evolve.

4. ACQUIRING PERMITS FROM AGENCIES OUTSIDE CHICAGO

Metra performs projects throughout its service area, most of which is outside the City of Chicago. Metra works with numerous agencies and localities to acquire project permits. For projects outside the City of Chicago, each project must follow the local permitting process and account for the required permit application review time in the project schedule. The PC will also perform a high-level review of identified permits to check for any that may be missing.

Since permit application and review processes outside of Chicago are generally more straight-forward, and Metra conducts projects in so many jurisdictions, this guide will not provide a detailed description of the building permitting process in every jurisdiction. However, if Metra and the CDT identify jurisdictions where the permitting process is more complex than normal, or where Metra conducts a significant volume of work, this section may be expanded to include jurisdiction-specific processes.

Additionally, work within the City of Chicago may still require permits from agencies other than those detailed in the following sections. As an example, work crossing over, or adjacent to, an interstate highway, state road, or state-designated route requires approval and permits from IDOT in addition to the City of Chicago, since the State of Illinois has jurisdiction over work on, above, below, or adjacent to such facilities. Similar approvals may be required from the US Coast Guard, the Illinois Department of Natural Resources Office of Water Resources (IDNR-OWR) or the Federal Aviation Administration (FAA). The Metropolitan Water Reclamation District of Greater Chicago (MWRD) is an important consideration for all projects in Cook County and is discussed further below.

Any outside jurisdictions will be dealt with on a case-by-case basis. At Metra's request, the PC will correspond with applicable agencies to determine the typical permit timeline. Projects in other jurisdictions, and their associated permits, will be tracked by the PC in the PTL. The PC will collect the same project information for all projects, regardless of their permitting jurisdiction.

4.1 METROPOLITAN WATER RECLAMATION DISTRICT OF GREATER CHICAGO

One significant agency that involves nearly all projects in Cook County outside of the City of Chicago is the MWRD. They are an AHJ for all projects involving sewers and drainage in Cook County, though they have delegated review authority to the City of Chicago. Selected municipalities have also received delegation from MWRD, though MWRD forms are to be used for all applications. The MWRD Watershed Management Ordinance includes the related regulations that apply to all of Cook County.

Refer to the flowchart in Appendix E regarding MWRD permit applicability. The flowchart includes links to online references for MWRD permit applicability and application details.

4.2 ILLINOIS DEPARTMENT OF TRANSPORTATION

Many major roadways are designated as State Routes, some of which are unmarked. Additional permit(s) are required from IDOT for work in their ROW. It should also be noted that detours from any streets that involve redirecting traffic onto an IDOT route also require approval from their Detour Committee. This ensures that all of the many projects that are occurring throughout the metropolitan area do not cause traffic problems that may be avoided through alternate routes or adjustment of construction schedules.

It is important to note that other AHJs must be coordinated with for projects involving street reconstruction and detours. These include the Chicago Department of Transportation, as well as any other municipal roadway agency. Counties are also AHJ, for both County ROWs and Stormwater Management issues as discussed further below.

4.3 STORMWATER MANAGEMENT

All counties within Metra's operating limits regulate land disturbance thorough stormwater management ordinances. In addition to Metra's design criteria, the applicable codes and regulations of the AHJs for any work apply. Metra civil and drainage projects generally interact with public roadways, public water management systems, and/or public waterways, and the appropriate AHJ(s) for each project must be identified by taking this into account. It is the designer's responsibility to identify all AHJs that must be involved in a project and to follow the appropriate codes and regulations.

The latest edition of all regulations will apply. Relevant regulations include but are not limited to:

- City of Chicago Department of Water Management (CDWM) Regulations for Sewer Construction and Stormwater Management
- Metropolitan Water Reclamation District (MWRD) of Greater Chicago Watershed Management Ordinance (WMO)
- Illinois Department of Transportation (IDOT) Drainage Manual
- Lake County Watershed Development Ordinance (WDO)
- McHenry County Stormwater Management Ordinance (SMO)
- DuPage County Countywide Stormwater & Floodplain Ordinance (CSFO)
- Kane County Stormwater Management Ordinance

- Will County Comprehensive Stormwater Management Plan & Stormwater Technical Guidance Manual
- Kenosha County and Wisconsin Department of Natural Resources regulations

Note that municipalities may have regulations that are more stringent than the county ordinances shown above.

5. BUILDING PERMITS IN THE CITY OF CHICAGO

This section outlines the process for applying for and obtaining a PFC from the City of Chicago's Department of Buildings for applicable facility-based construction projects. The process outlined herein covers all stages of the permit process, from initiating the PFC application through receipt of the PFC. People may variously refer to this permit as a permit for construction, PFC, building permit, or DOB permit; these are all the same permit process. The checklist of items required for permit (as of May 2021) is included in Appendix A.

5.1 CITY OF CHICAGO DEPARTMENT OF BUILDINGS

In the City of Chicago, the DOB is the AHJ and is responsible for reviewing pertinent project documentation prior to issuing PFC. The DOB also conducts construction inspections in the City of Chicago.

The DOB controls the plan review procedures for the Easy (Section 5.3.1), Self-Certified (Section 5.3.2), Standard (Section 5.3.3), Developer Services (Section 5.3.4), and Green Permit Applications (Section 5.3.6). For Direct Developer Services (Section 5.3.5.), the DOB designates a consultant to act as its representative in the permitting approval process (see Section 2.6).

The DOB will notify Metra, the AOR/EOR, or the Contractor (depending on the permit type) when the applications and reviews are finalized and will request the fees required to complete the permitting process.

5.2 PERMIT PROCESS

To initiate the DOB permit process, the AOR/EOR will submit the application for PFC and Metra-authorized design documents for facility-based construction projects to the City of Chicago DOB. The Administrative Provisions of the Chicago Building Code, Sections 14A-4-401 and 14A-4-402, determine when a permit is required for a given project. In general, all building construction and all building renovations where modifications are being made to an existing structure require a permit for construction. A full explanation of projects requiring permits for construction is provided on the DOB website.

At Metra's direction, the AOR/EOR will start the permit application process at, or prior to, final design. To initiate the process, Metra must complete an application to the DOB, as described in Appendix A. The permit application process should generally start as early as possible since the DOB review can take several months. For complex projects, Metra should consider starting the permitting application process as early as the conceptual phase to provide sufficient time to address any concerns or design changes identified during the DOB review. The duration of the permitting process will vary based on project complexity and the type of permit process. Metra should determine, on a project-by-project basis, which DOB

permitting process option would be most beneficial for project scheduling; some methods, such as DDS (Section 5.3.5), may be required by the DOB because of project type.

As part of the DOB permit process, the DOB may require Metra to hold meetings with different city departments to gather input related to permitting criteria, such as Fire Prevention, Plumbing, Ventilation, Electrical, Refrigeration, Geotechnical, Life Safety, and Accessibility.

5.3 PERMITTING METHODS

The DOB has six permit application methods. Not all methods are available for all projects.

5.3.1 EASY PERMIT (EP)

The EP method is available for those projects involving non-structural repair or replacement of equipment or the replacement of existing features of a building where the work does not require architectural plans.

The EP process can be started as soon as the scope of the project is defined, and a licensed Contractor is under contract. The Contractor contact and the Metra PM must be identified prior to applying for a permit using this method. The Contractor will submit the EP application on behalf of Metra, either in person or through the DOB website. The Contractor will generally submit payment for permits to the DOB on Metra's behalf, Metra can have the Contractor include the permit expense in its bid or agree to reimburse the Contractor for the permit cost as a direct expense.

5.3.2 SELF-CERTIFIED (SC) PLAN REVIEW

Eligibility for this type of review is determined based on the Self-Certification Eligibility Chart if the AOR/EOR is registered as self-certified with the DOB. In general, this type of permit method may be used for projects that are too complex to qualify for the EP method, but where risk to the public is low.

A registered self-certified Illinois-licensed architect or structural engineer (AE/SE) and an owner point of contact must be identified prior to applying for this permit. A licensed Contractor is required at the time of permit issuance but not prior to application.

The SC permit process can be started as soon as the project scope and area are defined, and the permit documents are sufficiently developed to convey code compliance. Due to the short turnaround time, it is recommended to initiate the permit process at or near 100 percent design.

The AE/SE completes the application online and includes all relevant documents for review (drawings, forms, calculations, peer review, etc.). Items identified in the SC checklist are required to be submitted as part of the permit application. The DOB "Standard Plan Review – Project Submittal Checklist", Appendix B, identifies items that must be submitted with the permit application. If there are any structural elements in the project scope, a secondary DOB pre-approved structural consultant must review the design.

This permit is generally obtained within 10 days after completion of the application.

5.3.3 STANDARD PLAN REVIEW (SPR)

This review process is intended for small- to mid-size new construction and renovation projects. This type of permit is standard for projects where there is risk to the public, but the project is not overly large or complex.

The SPR can begin once the project scope and area are defined. Initial meetings and conversations between the Metra and consultant design team and the DOB can (and should) occur prior to submittal of the permit application, particularly if there is any complexity to the project elements. Permit documents may be submitted early in the design phase if they convey code compliance. For expediency, the permit process should start no later than substantial completion of the design phase and can overlap with procurement of the Contractor since the Contractor's identity is not required until permit issuance. A registered Illinois architect or engineer and the Metra PM must be assigned prior to submitting a permit application. A permit expeditor may be used as well. One of these individuals will complete the permit application online with the necessary documents. The DOB Standard Plan Review checklist (Appendix B) identifies items that must be submitted with the permit application.

The DOB uses the E-Plan and ProjectDox™ systems to manage the review and revision process. These systems will pass the entire permit application package back and forth between the design team and the DOB review team as needed to resolve all DOB reviewers' comments. Incremental substitutions and progress submissions are not permitted. However, the DOB allows applicants to break the project into separate permits, such as site preparation, foundations, and buildings, to enable construction prior to completion of full design. The design team should decide whether to break the project into separate permits on a project-by-project basis.

The Contractor or AOR/EOR may submit payment for permits to the DOB on Metra's behalf, Metra can have the Contractor or AOR/EOR include the permit expense in its bid or agree to reimburse them for the permit cost as a direct expense.

5.3.4 DEVELOPER SERVICES PLAN REVIEW

This review process is intended for large and/or complex projects, or high-risk projects (see Sections 5.3.4 and 5.3.5), as defined by the DOB. This permit method (or potentially the DDS method – see Section 5.3.5) is mandatory on such projects, especially when potential risk to the public is high. Under the DS permitting process, the plan review is subcontracted by the DOB to an independent certified plan reviewer.

The DOB delegates the permit application and plan review to that consultant. The DOB will interface with the consultant (Metra and the consultant will not interface directly), the DOB will include the independent reviewer's fee as part of its permitting fee. The DS permit process can start once the project scope and area are defined. Initial conversations or meetings with the DOB must occur before the design is fully developed, to provide sufficient time to incorporate required design revisions. In general, earlier involvement with the DOB is better.

A registered Illinois architect or engineer and an owner point of contact must be assigned prior to submitting a permit application. A licensed Contractor is necessary at the time of permit issuance but is not required at the time of submission.

To begin the application, the Metra PM will complete the DS appointment request online form. The DOB will then assign a Developer Services Project Manager (DSPM) and a DOB Project Administrator (PA) to the project. The PA will create a folder for the project in DOB's E-Plan system. Relevant project files, including the project scope narrative, conflict of interest form, and 75 percent complete construction drawings will be uploaded to this folder by the AOR/EOR upon the DOB's request.

The DSPM will then schedule an intake meeting with the project team. The DSPM will facilitate additional city departmental and agency meetings as needed (for example, meetings with the Fire Department or the Mayor's Office of People with Disabilities).

The rest of the process continues identically to the SPR. See Appendix C for a flow chart of the DS process.

Minutes from pre-permit city department meetings recording decisions must be included as part of the permit submission. Permit documents may be submitted prior to design completion if they are sufficiently developed to convey code compliance. As with the SPR method, the DOB allows applicants to break the project into separate permits.

5.3.5 DIRECT DEVELOPER SERVICES (DDS) REVIEW

In the case of a Developer Services review being required for a project, an alternative is a Direct Developer Services Review. This review process is similar to DS review, but the independent certified plan reviewer (the DDS consultant) is contracted by the owner instead of the DOB. Qualified large and/or complex projects are eligible for the DDS method in lieu of the DS method. To initiate the DDS review process, the owner representative must first email dobcommissioner@cityofchicago.org to receive a list of DOB-approved consultants. The DOB maintains a list of pre-approved consultants that are certified to conduct plan reviews on behalf of the DOB. Metra will prepare bidding documents for potential DDS consultants, make a selection, and procure the selected consultant according to its procurement procedures.

The main benefit of the DDS method, compared to the DS method, is that it is generally faster since the owner interfaces directly with the reviewer throughout the review process. However, the DDS process is also potentially more labor-intensive or expensive for the owner since the owner or DDS consultant must perform all the coordination activities (such as scheduling meetings with city departments) that are performed by the DSPM under the DS method.

The DDS process can begin once project scope, area, design, and construction schedule are defined. Initial conversations and meetings must occur with the DDS consultant prior to submittal of the permit application and before 100 percent design, since the DDS consultant will provide design revisions as needed to ensure code compliance. A registered Illinois architect or engineer, a DDS consultant, and an owner point of contact must be identified prior to starting the permit process. A licensed Contractor is necessary at the time of permit issuance but is not required at the time of submission. A permit expeditor may be used as well.

The Metra design team would work directly with the DDS consultant to internally develop the design prior to formal DOB permit submission. Since communication between the owner and the DDS consultant is direct, the review and revision process can be done incrementally, instead of the single submittal required by the DOB through E-plan. This may result in shorter durations for review periods, especially if the design for individual disciplines advances at different paces. Metra and the DDS consultant facilitate additional departmental and agency meetings as needed.

Once the DDS consultant is satisfied that the entire design is code compliant, then the permit application is complete, and all documents are submitted to DOB. The DDS consultant will prepare an approval form and submit it to the DOB, indicating further DOB departmental review is not necessary.

All remaining steps are identical to those taken in the SPR process.

The documents necessary for the DDS review include all items from the SPR checklist, as well as meeting minutes from all pre-permit department meetings, and the DDS consultant approval form.

5.3.6 GREEN PERMIT METHOD

The Green Permit method is for projects designed to provide healthier or more energy efficient environments. The DOB offers an expedited permit process and potential reduction of permit fees for such projects.

Projects falling under the SPR or DS classification are eligible for one of the three Green Permit methods if they incorporate DOB-identified sustainable elements. These include, but are not limited to, formal sustainability certification such as those awarded by LEED or by Green Globes, incorporation of a green technology such as rainwater harvesting, or inclusion of green menu elements (see Appendix D).

A project must have an architect or engineer registered in Illinois, identified green elements, and an owner point of contact prior to submitting a Green Permit application. A licensed Contractor is necessary at the time of permit issuance but is not required at the time of the application for the Green PFC. A permit expeditor may be used as well.

To begin the green permit process, Metra's owner representative can request a Green Permit kick-off meeting by emailing sophiemartinez@cityofchicago.org. The DOB will assign a Green Permits Project Administrator (GPPA) and a DOB PA. The DOB PA will create a folder in the City's E-Plan system for document submittals.

The GPPA will schedule review meetings with the project team and other departments, as necessary to verify code compliance. The AOR/EOR will upload permit documents and Green Review Items to E-Plan.

All remaining steps are identical to the SPR process, except the DOB will perform reviews for Green Permits ahead of all other permit reviews.

6. CITY OF CHICAGO OFFICE OF UNDERGROUND COORDINATION APPLICATION

6.1 OVERVIEW

The OUC is responsible for the protection of the city's surface and subsurface infrastructure from damage due to construction, installation, and maintenance projects. Proposed projects for construction within city ROW must be processed through the OUC prior to the issuance of the PFC through the Chicago Department of Transportation (CDOT) Division of Infrastructure Management (DIM) Permit Section.

The OUC provides the following list of criteria that make a project subject to its review: https://www.chicago.gov/city/en/depts/cdot/supp_info/efp--projects_requiringreview.html. All new projects should be checked against this list of criteria, as failure to complete the OUC process can have a significant impact on the project schedule.

The OUC is the distribution agency within the Chicago Department of Transportation, DIM, for all requests regarding existing utility information (Information Retrieval Process (IR)) and the review/approval of construction work in or adjacent to the public way (Existing Facility Protection (EFP).

The OUC consists of 28 utility members, including both city agencies and private entities. The members review IR requests and provide atlases and other information they may have regarding their facilities within the outline of the land area selected for the OUC-IR application. This IR should be done as one of the initial tasks performed by the EOR in the Design Phase of a project.

Once the project design has proceeded to the 60-80 percent stage and includes the routes and sizes for utilities, pavement, lighting, striping, and other improvements needed for the project, the EOR needs to prepare the OUC-EFP application. These documents are distributed to all the utilities and public agencies with infrastructure within the project limits. Besides the utility and roadway work needed for a project, piles, caissons, bridges, abutments, and foundations will be permitted through the OUC-EFP application during the Design Phase, with technical data as needed for OUC-EFP/Deep Foundation Review (DFR) reviewers provided by the Structural Engineering staff assigned by the Designer of Record (DoR). Application for an OUC permit is either a one- or two-step process, depending on project (or workplan) characteristics:

- Existing Facility Protection process. This is required for all projects with work in a City ROW and this permit application should be made at the 80 percent stage of the Design Phase.

- Deep Foundation Review process. This permit typically involves the design of an Earth Retention System (ERS) that a Contractor will use to access work more than 12 feet below

the surface. This permit is applied for by a Contractor who has been given Notice to Proceed (NTP) for the construction work.

If excavation depth will be less than 12 feet, then only the EFP process is required. The EFP process consists of a simple online application through ProjectDox™ on the Chicago OUC website.

If the excavation depth will be 12 feet or greater, then both the EFP and DFR processes are required. This includes projects with deep excavations needed for construction of deep foundations (footings, piles, caisson, etc.), or major pipe installations. The Deep Excavation OUC-EFP permit is applied for by the selected Contractor and is processed during the Construction Phase.

The DFR can be a complex application process requiring geotechnical analysis of the soils in relation to the ERS proposed. The design requires calculations and the seal of a Structural Engineer licensed in the State of Illinois. Prior to starting an EFP application requiring the DFR process, an intake meeting with the current DFR liaison must be scheduled. See below for contact information for the current DFR liaison.

6.2 POINTS OF CONTACT

As of September 2022, the following individuals are the primary points of contact for OUC:

- EFP Contact – Jai Kalayil, Supervising Engineer, 312-744-4828, jai.kalayil@cityofchicago.org
- DFR Liaison – Adam Ali, Deep Excavation for Public Way, 312-742-3130, adam.ali@cityofchicago.org

6.3 EXISTING FACILITY PROTECTION PROCESS

Begin the EFP process located at https://www.chicago.gov/city/en/depts/cdot/provdrs/construction_information/svcs/office_of_undergroundcoordination.html

See Appendix F for helpful instructions to navigate the ProjectDox™ system and the EFP application process.

6.3.1 SUBMITTING DRAWINGS

Once the drawings and other documents have been submitted, the system will send an email to the EOR stating that documents are in review.

If an OUC member makes a comment, the system will send an email notification to the EOR. The EOR will log onto ProjectDox™, select the application, and review and address any comments. If there is a question about the comment, the EOR should email OUC before resubmitting a response.

If no comments are made on the uploaded documents, the system will send an email stating that OUC review has started. This means that all OUC members are now reviewing the application and documents and identifying any conflicts. This review usually takes 30 days to complete.

6.3.2 OUC REVIEW OF DRAWINGS

Comments made by OUC members can be reviewed at any point during the 30-day review period. Green or yellow comments do not require resolution. Comments in red require resolution, the EOR should email or call the commenter and begin resolving the issue right away. Comments cannot be addressed on ProjectDox™ until all OUC members are done commenting.

Once all OUC members have commented, the system will send an email to the EOR stating that the OUC review is complete, and that either a permit has been issued, or that comments have been made by OUC members that must be addressed. When resubmitting drawings, be descriptive when responding to the comment on ProjectDox™ and select the department that made the comment specifically when resubmitting for review.

Once documents are resubmitted, the OUC commenter will re-review. If there are no issues, the OUC member will provide approval, and the system will send an email with the OUC EFP permit. The email will come on the same day the OUC member provides approval on ProjectDox™.

Open the “Transmittal Review” document. This document will include the OUC expiration date. This is the date the APPLICATION expires, NOT the permit. This date is also the deadline for completion of the DFR process, if applicable.

OUC approval will expire in one calendar year for locations outside the City of Chicago Central Business District (CBD) and six months for areas inside the CBD.

6.4 DEEP FOUNDATION REVIEW PROCESS

For projects requiring DFR approval as part of the OUC permit, the first step is to set up an Intake Meeting with the DFR liaison (see Section 6.2 for the current DFR liaison’s contact information). An EFP application will also be required, however, DO NOT start the OUC EFP process before receiving approval from the DFR liaison.

A Contractor must be onboard before starting the DFR process. Submitting for DFR in advance of starting the project is no longer allowed.

The current software platform used for the DFR process is Autodesk Constructware™ (http://secure.constructware.com). The flow chart in Appendix F explains the step-by-step process for using Constructware™. NOTE: OUC has stated that they will stop using Constructware™ in September 2021 and that any future permits must be approved and closed before the switch. Nothing will be transferrable to the new platform. This guide will be updated once more information on the new platform has been provided.

For projects falling under the DFR category, review the detailed process outlined in the "CDOT DIM Geotechnical Review Guidelines" (Appendix I). This provides detailed instructions for completing the DFR Process.

Appendix E includes helpful tips for efficient completion of the DFR process.

6.4.1 PART 1 – INTAKE MEETING

At the intake meeting, Metra's team will meet with the DFR liaison to explain the project and go over the OUC Plan Set and Soils Report. Even though only the OUC Plan Set and Soils Report will be discussed at the intake meeting, it is expected that Metra will also have the DFR drawings and calculations ready to submit.

Prior to the intake meeting, all documents shall have been reviewed for accuracy and completeness and compliance with OUC guidelines. At the meeting, the OUC/DFR will provide comments, including any required modifications to the OUC Plan Set and Soils Report. The comments are to be addressed after the meeting, followed by submitting the revised OUC Plan Set and Soils Report on Constructware™.

In response to the COVID-19 pandemic, the OUC has moved its meetings online. As of April 2021, in-person meetings have not resumed. The online meetings use E-Take Meeting (see Appendix H for instructions). The DFR liaison will send an email with a date and time by which to email them the OUC Plan Set and Soils Report. Ensure the plan set and Soils Report comply with the guidelines to avoid delays.

The OUC will review the OUC Plan Set and Soils Report that is submitted after the intake meeting. If it is approved, they will create "Step 1" on Constructware™ to upload the documents. If not, then additional comments will be provided.

When CDOT formally approves "Step 1" on Constructware™, "Step 29" will be created, at which time the EFP process can begin.

The OUC will also create “Step 9” to submit the first Deep Excavation Review Package, which is one of the required review packages for the DFR process.

6.4.2 PART 2 – DEEP EXCAVATION REVIEW PACKAGE

The Deep Excavation (or “Deep Ex”) Review Package requires the documents listed below, in the order listed – see Appendix E for more detail and see Step 9 of the “Constructware™ Permit Applicant Point of Contact Guide” (Appendix F).

- Certification Letter
- Checklist
- Table of contents
- Written Approvals
- Calculations
- Procedures
- Cut Sheets
- Deep Ex Related Plans Only
- Soils Report

WHAT HAPPENS IF THE DEEP EXCAVATION REVIEW PACKAGE IS REJECTED?

The DFR liaison generally takes 14 calendar days to review and respond to the package submittal. If the team does not receive a response by the 14th day, it is appropriate to send the liaison a friendly request for an update. **Do not send an email for an update before the 14th day.**

The system will send an email notification once a response has been issued (“Step 38”) with a request to resolve Deep Ex Review conflicts. Log into Constructware™ and download the Excel spreadsheet with DFR comments.

The DFR liaison requests a response within seven days. There is no penalty for taking a little longer, but comments should be resolved as quickly as possible.

6.4.3 PART 3 – ADDRESS OUC EFP CONFLICTS

The EFP process will have continued while the DFR is underway. Once all OUC members have commented on ProjectDox™, the DFR liaison will create a "Final Checklist".

If any OUC members identified a conflict, the DFR liaison will create "Step 34.1" within Constructware™ for addressing conflicts. Once conflicts are addressed ProjectDox™, then complete Step 34.1. When resolving a comment, an OUC member may note an exception, meaning that their approval comes with conditions, which will be explained in that member's response. That member will have to be included in the "Utility Coordination Letter." If no conflict was identified, then Step 34.1 will not be created and the process can proceed.

6.4.4 PART 4 – COMPLETE LETTERS AND OUC FINAL PLAN SET

Step 39 (Letters) and Step 40 (Final Plan Set) can be submitted at the same time. These steps should not be completed until after the DFR liaison approves the Deep Ex Review Package (Step 38).

Step 39 – Letters Package

Required letters to any OUC members who identified an exception will be listed in the "Final Checklist" document. The DFR liaison will provide templates in Microsoft Word. Download the templates from Constructware™ and complete any required information. These will include commitments and certifications to be written and signed by the Contractor. Metra may also need to provide written authorization if design elements do not meet certain OUC criteria.

Step 40 – Final Plan Set Package

Compile all the Deep Ex Review Package drawings and applicable OUC plan set sheets into the final package for review. The final plan set should not have any duplicate sheets, though the exact included sheets must be determined by the submitter's judgement. The OUC will view this package as "issued for construction" drawings.

The DFR liaison will take 14 days to review this package.

6.4.5 PART 5 – FINISH THE PROJECTDOX™ EFP APPLICATION

The DFR liaison is a reviewer on the OUC. While all OUC members' comments will have been addressed, it is still necessary to "Revise and Respond" to the DFR liaison. The EFP cannot be approved until the DFR is approved.

Once the DFR liaison provides approval of Steps 38, 39, and 40, log into ProjectDox™ and respond to the DFR liaison. After responding, select the DFR liaison as a reviewer, and click “Submit” on ProjectDox™.

Once this is complete, email the DFR liaison and copy the EFP contact and PM to inform them that the last step for the OUC Application has been completed. Include the EFP # and PW # in the email.

APPENDIX A

DOB CHECKLIST

CITY OF CHICAGO

DEPARTMENT OF BUILDINGS

STANDARD PLAN REVIEW FLOW CHART

Revised 6/14/2017

1 Create Application & Upload Plans

STEP 1A

Create a Permit Application

❑ Refer to E-Plan User Guide, "How to Apply for a Building Permit", for additional instructions

❑ The architect or expeditor must create the building permit application online at the Dept. of Buildings (DOB) website www.cityofchicago.org/buildings Select "Getting Started Online". Permit application must include address, architect, owner, MOPD to trigger E-Plan invitation

STEP 1B

E-Plan Invitation

An E-Plan invitation & instructions for uploading drawings is emailed to the applicant approx. 48 hours after submission of building permit application. If no invite then email eplan@cityofchicago.org

STEP 1C

Upload Plans at E-Plan

❑ Upload drawings & application forms (dwf or pdf) to E-Plan

❑ Provide an empty 3"x3" area at top right corner of all sheets

❑Include an electronic seal, signature & graphic scale on all sheets

❑ Use DOB's file naming per The E-Plan Online User Guide

❑Complete "Upload Confirmation"

❑Pay online $300 of Building Permit fee & 100% of Zoning fee

STEP 1D (If applicable)

Obtain or initiate the following items prior to the E-plan upload:

❑ Structural Peer Review

❑ Professional of Record Certification Statement, Owner /Tenant Certification Statement & Hold Harmless Letter if Self-Cert.

❑ CDOT Information Retrieval Request (utility search)

❑ Structural Peer Review Report

❑ Fee Wavier Ordinance

❑ Use of Public Way Ordinance

❑ Administrative Relief Request

❑ Driveway Permit Application

2 Prescreen & Plan Reviews

STEP 2A

❑ DOB PM reviews documents for completeness, electronic seals, bldg. violations & stop work orders

❑ PM administrative corrections may require AOR response prior to beginning plan reviews

STEP 2B

If Self-Certification Permit

❑ The Professional of Record must be registered as Self-Cert.

❑ Include "Self-Cert." in work description on permit application

❑ Zoning and Planning reviews are performed, however, no DOB technical reviews are performed.

❑ Address Zoning corrections

❑ Self-Cert. project proceeds to Final Approval by DOB PM

STEP 2C

DOB PM verifies $300 of Building Permit fee has been paid & assigns project to Plan Examiners for applicable reviews

Technical Plan Reviews

❑ Architecture

❑ Ventilation

❑ Plumbing

❑ Electrical

❑ Refrigeration

❑ Fire Prevention

❑ Structural

❑ Environmental

❑ Accessibility

❑ Storm Water Management

❑ Geotechnical

❑ Zoning (AOR can submit to E-Plan for a Zoning Only review prior to submission to DOB for review)

Additional Reviews as Determined by Zoning:

❑ Landscape

❑ Lakefront Protection District

❑ Landmark Review

❑ Planned Development Review (for short form & part II reviews)

STEP 2D

Corrections Report & Status

❑ Notification of Corrections Report, markups and instructions emailed to Architect after plan reviews are performed (Planning & Zoning corrections may be sent separately)

❑ "Check Permit Status" and corrections online at: www.cityofchicago.org/buildings

3 Plan Corrections

STEP 3A (If applicable)

Request Code Variance

❑ Administrative Relief Request

❑ Building Board of Appeals

❑ Committee on Standards & Tests

STEP 3B

❑ Professionals of Record shall review plan corrections and amend the drawings. Bubble, date and initial all revisions.

❑ Architect shall log-in to E-Plan to upload revised drawings and forms as a new version of the original file (don't change file name)

❑ E-plan notification "Applicant Resubmit Request Task Assignment" must be completed by the Architect once revised plans are uploaded

STEP 3C

Certified Plan Corrections (CPC)

❑ This plan correction method must be used to address all plan corrections except Geotechnical and Storm Water corrections. However, disciplines unable to complete a plan review due to incomplete information will require resubmission of amended plans for another review.

❑ Upload a new CPC sheet behind the cover sheet with itemized corrections, responses & the CPC Certification Statement

STEP 3D

Correction Mediation Meeting

❑ Projects with more than 3 plan review cycles require the AOR to attend a meeting with DOB Plan Examiners RM 906 at 121 N. La Salle. The DOB PM will provide instructions

4 Final Review

STEP 4A

Final Review by PM

❑ Verify documents are complete

❑ Verify technical plan reviews are addressed by Certified Plan Corrections or approved by Plan Examiners or project is using Self-Certification Permit Program

❑ Verify existing building violations are addressed

❑ Tabulate permit fee balance

❑ Electronically stamp sheets with DOB approval

❑ Email architect when approved

5 Permit Fee & Certificate

STEP 5A

Building Permit Issued

❑ Applicant pays the permit fee balance and prints the permit certificate online or at the Dept. of Revenue window in RM 900 at 121 N. La Salle

6 Approved Plans & Inspections

STEP 6A

Printing Approved Plans

❑ PM moves approved Permit Set to "Released Documents" folder in E-Plan to allow the applicant to print DOB approved copies of the Permit Set

STEP 6B

Field Inspections

❑ Request applicable field inspections online at: www.cityofchicago.org/buildings

CITY OF CHICAGO

DEPARTMENT OF BUILDINGS

Standard Plan Review - Project Submittal Checklist

DATE:	APPLICATION #:	PROJECT ADDRESS:
PROJECT MANAGER:		

The following information is required for the issuance of a building permit. Items identified as Mandatory are required before the Upload Confirmation Task is completed. Applications missing Mandatory items will result in administrative corrections and a longer permit process.

GENERAL REQUIREMENTS	
❑ **APPLY ONLINE FOR A PERMIT** (Mandatory)	The Architect of Record (AOR) or Expeditor must complete the *Building Permit Application* online at the Department of Building's (DOB) website www.cityofchicago.org/buildings. An online account is required to create the building permit application. Select the "Getting Started Online" button. Select "Create a New Login" if applicant does not have a login account. Once completed, the online permit application must be printed to obtain the stamps and signatures per the *Building Permit Applicatio*n requirements listed below. An E-Plan invitation with instructions for uploading drawings will be emailed to the Applicant approximately 48 hours after the building permit application is completed online.
❑ **BUILDING PERMIT APPLICATION** (Mandatory)	Provide a completed *Building Permit Application* using black ink only. The project address and the description of work stated on the application must match the address and the scope of work as detailed in the accompanying plans. Include the following information: • **Architect of Record Information:** The Architect of Record must seal and sign page six (6) of the *Building Permit Application*. • **Owner Information:** The building owner or the tenant responsible for the project must sign page six (6) of the *Building Permit Application*. The Owner must hold a Residential Real Estate Developer's License if the permit application includes residential units for sale. Visit the Department of Business Affairs and Consumer Protection for more information regarding this license. • **Expediter Information:** Licensed Expediters must complete their information on page (5) and sign page six (6) of the *Building Permit Application*. • **PIN:** The Property Identification Number for each parcel of land associated with the scope of work of must be listed on the *Building Permit Application* • **Contractor Information:** The contact information and license numbers of the General Contractor and all subcontractors must be listed on page five (5) of the *Building Permit Application*. This information must be provided before a building permit will be issued. The General Contractor must sign page six (6) of the *Building Permit Application.* • **Projects that include Green Technologies** such as the installation of roof mounted Photovoltaic Solar Panel Arrays, Solar Thermal Panels, Wind Turbines, Green Roofs, Geothermal Systems and Rainwater Harvesting Systems must be submitted through DOB's Green Permit Process. Email sophie.martinez@cityofchicago.org for more information.

❑ **PLAT OF SURVEY** (Mandatory)	New buildings and additions must include a signed & sealed plat of survey. The survey must not be greater than 60 days old.
❑ **SITE PLAN** (Mandatory)	Provide a *Site Plan* drawn to scale. The *Site Plan* must locate the permit address and include a north arrow, site dimensions, and street names. For new buildings and additions include all setback dimensions from the property lines, the construction type and number of stories. Clearly distinguish the existing construction from the proposed construction.
❑ **CONSTRUCTION PLANS** (Mandatory)	Floor plans shall have a minimum scale of 1/8"=1'-0". All drawing sheets shall include a graphic scale. All sheets shall include an empty 3" x 3" area at the top right corner for DOB use.
❑ **STAMPING OF PLANS** (Mandatory)	The following shall become effective on 1/1/2014. The Certification Statement on the Cover Sheet shall be sealed and signed by the Architect of Record. All other sheets shall be sealed and signed by the Illinois licensed design professional responsible for preparing each sheet.
❑ **CERTIFICATION STATEMENT** (Mandatory)	The following statement must be on the Cover Sheet of the plan set. This statement must be sealed and signed by the Architect of Record. *"I certify that these drawings were prepared under my direct supervision and to the best of my professional knowledge they conform to the Chicago Building Code"*
❑ **HOUSE NUMBER CERTIFICATE** (Mandatory)	Provide a *House Number Certificate* for all new buildings, building additions with a separate address or alterations with a change of address. Certificates must be obtained from the Chicago Department of Transportation's Division of Maps and Plats.
❑ KEY PLAN	Interior alterations in large buildings should include a small-scale plan diagram locating the area of work within the building.
❑ CODE MATRIX	Provide a code matrix on the cover sheet or 2nd sheet in the plan set. The code matrix must only include the items that are pertinent to the project.
❑ EXCAVATION CERTIFICATION FORM	All projects that include excavation must provide an *Excavation Certification* form. The Architect of Record or an Illinois licensed Structural Engineer must sign, seal and indicate if reinforcement or bracing of the adjacent property is required. Submit the *Excavation Certification* form, the certified mail receipts of notification to the adjacent property owners and a copy of the excavator's certificate of insurance.
❑ CONDOMINIUM ASSOCIATION LETTER	Projects located in existing condominium buildings require an approval letter from the condominium association. The letter must be signed by a condominium association board member.
❑ ALDERMANIC ACKNOWLEDGE-MENT LETTER	In order to waive the ten (10) day aldermanic review, provide an *Aldermanic Acknowledgement Letter* signed by the alderman in whose ward the project is located. DOB must wait ten (10) calendar days after the E-Plan Pre-Screen Review date before issuing the permit without this letter.
❑ USE OF PUBLIC WAY ORDINANCE	A copy of the *Use of the Public Way* ordinance is required if the project contains architectural or site elements which project beyond the property line and occupy the alley, or sidewalk (public way). Some examples of items that occupy the public way include foundations, awnings, planters, entry canopies, window canopies, balconies, stairs, vehicle drop-off, and sidewalk vaults. Visit the Department of Business Affairs & Consumer Protection website for more information.
❑ WRECKING PERMIT	Provide a copy of the *Wrecking Permit Certificate* for projects that involve the demolition of an entire building or structure.
❑ FEE WAIVER	Permit fees can only be waived if the applicant provides a copy of the *Fee Waiver Ordinance* for the same address listed on the building permit application. A copy of the ordinance must be submitted prior to the final review or the standard permit fees will be applied.

BUREAU OF PLANNING & ZONING	
❑ ZONING REVIEW	All building permit applications with plans require a zoning review. Zoning reviews are performed after the permit application forms and drawings have been uploaded to the Department of Buildings via E-Plan.
❑ LANDSCAPE REVIEW	A Landscape review may be required if the Chicago Landscape Ordinance applies to the scope of work. Refer to *The Guide to the Chicago Landscape Ordinance* on the Bureau of Planning & Zoning website.
❑ DRIVEWAY APPLICATION	If the project includes a new driveway or alteration of an existing driveway (or if required by the zoning review) you must submit a *CDOT Driveway Permit Application*.
❑ ALLEY ACCESS LETTER	An *Alley Access Letter* of approval is required from the Alderman for parking lots and garages that will be accessed from the alley and serve more than six (6) vehicles or will be used for commercial purposes.
❑ LANDMARKS REVIEW	If your property is designated as a Chicago Landmark or falls within a Chicago Landmark District, the Commission on Chicago Landmarks must review and approve your drawings pursuant to the Chicago Landmark Ordinance. The following items may be required: • If windows are to be replaced, provide elevations and sections of existing and proposed replacement windows. Provide manufacturer's cut sheets. • If a building addition or other exterior changes are proposed, provide photographs of the existing conditions of the building including exterior elevations
❑ PLAN COMMISSION APPROVAL	New buildings and additions within Chicago's Lakefront Protection District require Plan Commission approval.
❑ PLANNED DEVELOPMENT - PART II REQUEST LETTER	Projects that include new buildings or additions within a Planned Development or the Lakefront Protection District must provide a *Part II Request Letter* signed by the applicant.
❑ PLANNED DEVELOPMENT - PART II ARCHITECTURAL PLANS	The Planned Development Part II review is performed on the following drawings: • Fully dimensioned site plan • Fully dimensioned landscape plan • Floor plans • Building exterior elevations • Building structural sections • Site details, cut sheets and/or elevations for fencing, lighting and other site elements

DEPARTMENT OF FINANCE	
❑ Debt Check	No building permit shall be issued if the applicant for such permit or the property owner identified in the permit application or any person owning, directly or indirectly, more than 25 percent of the interest in such applicant or property owner has any outstanding debt, as defined in Section 2-80-065(a), unless and until each applicable person owing such debt satisfies or otherwise resolves the debt within the meaning of Section 2-80-065(a). Provided, however, that this subsection shall not apply to any federal, state or local government agency. Provided further, that this subsection shall not apply to any permit application for emergency repairs as determined by the Building Commissioner. For purposes of this subsection (c), "more than 25 percent" shall mean more than 25 percent of the combined voting power or fair market value of all stock, partnership interests or other ownership interests in the applicant or property owner or the right to receive at any time the distribution of more than 25 percent of the income or profits of the applicant or property owner.

ARCHITECTURAL & FIRE PREVENTION REVIEW	
❑ **ARCHITECTURAL FLOOR PLANS** (Mandatory)	Provide architectural floor plans showing the proposed scope of work. The floor plans shall include room names, dimensions and details for the proposed construction. The floor plans must graphically distinguish between existing conditions and the new/altered construction partitions, systems and spaces. All demolition work must be clearly noted and graphically indicated on the floor plan or on a separate demolition plan.
❑ **WALL SECTIONS** (Mandatory)	Provide wall section(s) indicating the elevation of each floor level for projects with new buildings and building additions. Dimension the depth of footings and basement floors to grade. List floor-to-ceiling heights, wall and floor assembly materials and structural information. List the UL number of fire-rated partitions.
❑ **BUILDING ELEVATIONS** (Mandatory)	Provide exterior elevations for new buildings, building additions, and alterations that include exterior work. Dimension the height of the building, each floor, parapet and guardrail. Dimension the height of windows from the sill to the finished floor.
❑ **NATURAL LIGHT & VENTILATION SCHEDULE** (Mandatory)	Residential projects that add rooms or alter room sizes or window openings shall provide a natural light and ventilation schedule. The schedule shall list both the code required and the actual amount of natural light and natural ventilation for each room.
❑ **EXITING DIAGRAM** (Mandatory)	Provide an exiting plan diagram(s) indicating travel distances and exit stair capacities.
❑ WINDOW, DOOR & HARDWARE INFORMATION	Provide the size and specifications for all new windows, doors and hardware sets.
❑ EXIT SIGN PLANS	Provide floor plans that indicate the location and type of all exit signs.
❑ FURNITURE PLAN	Provide a furniture layout plan that shows work stations, desks, file cabinets, general furniture, store fixtures, counters, etc. for commercial build-outs and alteration projects. Submit this either on a separate plan or incorporate it into the power, communication or architectural plans.

MAYORS OFFICE FOR PEOPLE WITH DISABILITIES (MOPD)	
❑ **MOPD PROJECT DATA FORM** (Mandatory)	Provide the *MOPD Project Data Form* completed and signed by the architect. List the Estimated Alteration Cost (EAC) and the Estimated Reproduction Cost (ERC).
❑ MEETING MINUTES	Provide typed meeting minutes documenting any previous meetings with MOPD regarding the project.

GEOTECHNICAL REVIEW	
❑ GEOTECHNICAL REVIEW	If the project contains one or more of the following conditions, a DOB geotechnical review is required. • Excavations with a depth of 12'-0" and greater • Earth retention systems with a depth of 12'-0" and greater • Foundations with a depth of 12'-0" and greater including caissons, H-piles, auger cast piles and mini piles Contact Avikam (Avi) Hameiri at (312) 744-8428 for more information regarding the guidelines for drawings and calculations.

STRUCTURAL REVIEW	
❑ **STRUCTURAL PLANS** (Mandatory)	Indicate all necessary structural information on the structural plans including the size, spacing and material for all framing members, columns, etc.

❑ **STRUCTURAL CALCULATIONS** (Mandatory)	Provide orderly structural calculations that are signed and sealed by an Illinois licensed Architect or Structural Engineer.
❑ SPECIALIZED REPORTS	Depending on the complexity of the scope of work, the applicant may be required to provide the following engineering reports and associated calculations. These reports must be signed and sealed by an Illinois licensed Architect or Structural Engineer. • Critical Facade Examination • *Floor Load Placard* application and worksheets • Structural Inspection and Recommendations • Truss Repair
❑ SOIL REPORT OR SOIL BORING LOG	Depending on the location or complexity of the project the submission of a soil report may be required. The report must be signed and sealed by the Structural Engineer responsible for its preparation.
❑ PORCHES	Porch plans must contain design load specifications consistent with Group 16, Chapter 13-52 *Minimum Design Loads* of the Chicago Building Code.
❑ FLOOR LOAD PLACARD	A *Floor Load Placard* is required for wholesale mercantile, industrial, storage units and technology center occupancies and for rooms with floor loads of 125 pounds per square feet (psf) or greater.
❑ STRUCTURAL PEER REVIEW	The submission of a *Structural Peer Review* eliminates the need for a Structural Plan Review. However, a cursory review of the *Structural Peer Review* report is performed by DOB. Provide a signed and sealed report prepared by an Illinois licensed Structural Engineer who is a Registered Structural Peer Reviewer. A list of Registered Structural Peer Reviewers is available on the DOB website.

ELECTRICAL REVIEW	
❑ **ELECTRICAL PERMIT APPLICATION** (Mandatory)	An *Electrical Permit Application* must be submitted when the project includes electrical scope of work. The *Electrical Permit Application* must be signed by the licensed Supervising Electrician before the building permit is issued.
❑ **ELECTRICAL PLANS** (Mandatory)	Provide electrical plans indicating the location and circuiting of all electrical equipment, devices, and fixtures. The plans shall include panel, lighting and equipment schedules as well as electrical notes.
❑ **SINGLE LINE SERVICE DIAGRAM** (Mandatory)	Provide a single line service diagram for multi-family residential, mixed use and commercial buildings (including new buildings, additions and alterations). Identify the wire, cable and conduit designation, conduit type and size and all required grounding and bonding methods. Label all disconnects motors, meters, panels, and other equipment.
❑ **LOAD CALCULATIONS** (Mandatory)	For multi-family residential, mixed use and commercial buildings (including new additions, and/or rehabilitations) provide electrical load calculations for the project.
❑ EMERGENCY POWER & LIGHTING SHEET	Provide an EM plan sheet for non-residential occupancies showing the source and path of emergency power and lighting.
❑ ADMINISTRATIVE RELIEF REQUEST	If your project requires a variance from the Chicago Electrical Code an Administrative Relief Request letter must be submitted with the *Electrical Permit*

LETTERS	*Application*. The following is a list of common Administrative Relief Request Letters: 1. Administrative Relief to allow the issuance of a building permit subject to the review and approval of shop drawings for electrical switchgear 2. Administrative Relief to install wall mounted switchgear 3. Administrative Relief to install multiple electrical services

PLUMBING REVIEW	
❑ **PLUMBING PLANS** (Mandatory)	Locate and label all plumbing fixtures, equipment and piping on plumbing floor plans.
❑ **PLUMBING RISER DIAGRAMS** (Mandatory)	Provide plumbing riser diagrams for the water supply, distribution, waste and vent systems. Indicate the size of all supply and waste piping. Water service size calculations may be required. Locate and label all plumbing fixtures and equipment.
❑ PLUMBING FIXTURE SCHEDULE	Provide a plumbing fixture schedule on the plumbing plans. This schedule shall list the type, manufacturer, model number and quantity of all new plumbing fixtures.
❑ PLUMBING MATERIALS SCHEDULE	Provide schedules or notes designating the materials and specifications for all plumbing piping.

STORM WATER MANAGEMENT REVIEW	
❑ STORM WATER MANAGEMENT REVIEW	A Storm Water Management Review is required for construction, excavation or grading projects that: 1. Disturb a land area (contiguous) of 15,000 s.f. or greater. 2. Create an at-grade impervious surface (contiguous) of 7,500 s.f. or greater. 3. Result in discharges of storm water into any waters or separate sewer system.
❑ CIVIL PLANS	Provide Civil Engineering plans and details showing structures, utilities, topography and drainage.
❑ SITE PLAN	Refer to Site Plan requirements listed under “Architectural Items”.

VENTILATION REVIEW	
❑ **MECHANICAL PLANS** (Mandatory)	Provide mechanical plans showing the layout and sizes of all ductwork, supply diffusers, return air grills and louvers. Indicate the CFM of supply, return and exhaust air at each diffuser, return air grill etc. Show the location of all mechanical equipment, including furnaces, boilers, unit heaters, rooftop units, VAV boxes and exhaust fans on the plans.
❑ **VENTILATION EQUIPMENT SCHEDULE** (Mandatory)	Provide a schedule of all mechanical equipment including the location, equipment type, manufacturer, model number, BTUH input, BTUH output, CFM, and weight of each unit.
❑ **VENTILATION SCHEDULE** (Mandatory)	Provide a ventilation schedule for all rooms and spaces. The schedule shall list the room name, room use, square footage, code required CFM, actual CFM and the mechanical equipment serving the space.
❑ HEAT LOSS SCHEDULE	Provide a heat loss schedule that includes every room and space on each floor.
❑ VENTILATION NOTES	Provide ventilation notes as necessary.

ENVIRONMENTAL REVIEW	
❑ ENVIRONMENTAL APPLICATIONS	Include all applicable environmental application forms (FB, EG, FP, MVR, UPV, SB, etc.) completed and signed as required. Visit the Department of Public Health website at www.cityofchicago.org/publichealth for more information.

REFRIGERATION REVIEW	
❑ **REFRIGERATION PLANS** (Mandatory)	Locate all refrigeration equipment on the plans. Indicate the size and spacing of the roof structural framing for new roof top refrigeration equipment. A structural review may be required for new roof top units.
❑ **REFRIGERATION SCHEDULE** (Mandatory)	Provide a refrigeration schedule indicating the specifications of all refrigeration equipment.
❑ REFRIGERATION NOTES AND DIAGRAMS	Include the following refrigeration notes: • Install pressure relief valve on high pressure side of system and upstream of any intervening valves • Remove expansion valves, devices, and connections from air stream • Refrigeration piping to type "K" copper • All connections and devices to be brazed

ENERGY CONSERVATION CODE REVIEW	
❑ **ENERGY CONSERVATION CODE STATEMENT** (Mandatory)	Provide a *Chicago Energy Conservation Code Statement* of Compliance or a "Need Not Comply Statement" on the Cover Sheet of the plan sets. The *Chicago Energy Conservation Code Statement* of Compliance must be signed and sealed by a Registered Energy Professional (REP). The "Need Not Comply Statement" must be signed and sealed by a REP or the Architect of Record.
❑ **RESIDENTIAL COMPLIANCE FORM** (Mandatory)	Provide the *Residential Compliance Form* documenting the method used for establishing compliance with the Chicago Energy Conservation Code. The compliance form must be signed by a Registered Energy Professional (REP). If method "A" is selected, the RESCheck compliance certificate must be attached.
❑ **COMMERCIAL COMPLIANCE FORM** (Mandatory)	Provide the *Commercial Compliance Form* documenting the method used for establishing compliance with the Chicago Energy Conservation Code. The compliance form must be signed by a Registered Energy Professional (REP). If method "A" is selected, the COMCheck compliance certificate must be attached.
❑ R-VALUES & U-VALUES	Indicate the location of the thermal envelope on the plans. Label the R-Values and U-values of the wall, floor and roof assemblies and materials.

FOOD PROTECTION REVIEW	
❑ **FOOD ESTABLISHMENT PLAN REVIEW APPLICATION** (Mandatory)	Food Protection plan reviews and field inspections are performed on new construction and alteration projects for the following establishments. Provide a *Food Establishment Plan Review Application* form. • Restaurants, grocery stores, bakeries & wholesale food establishments • Hospital and nursing home kitchens • Schools and day care centers • Concession stands and temporary food events

❑ **EQUIPMENT SPEC. SHEETS** (Mandatory)	Provide the manufacturer's specification sheet for each piece of food service equipment and food service plumbing fixture.
❑ **FOOD SERVICE PLANS** (Mandatory)	Provide food service equipment plans and interior elevations that are ¼"=1'-0" minimum. Locate and label all equipment and plumbing fixtures.
❑ **FOOD SERVICE EQUIPMENT SCHEDULE** (Mandatory)	Provide a schedule of all food service equipment, plumbing fixtures and related HVAC equipment.
❑ **FOOD MENU** (Mandatory)	Provide the proposed menu, seating capacity and projected daily meal volume.

SELF-CERTIFICATION PERMIT PROGRAM REQUIREMENTS

If project is eligible per The Self-Cert. Eligibility Chart and the Architect of Record is Self-Cert. Registered, this permit process can be utilized instead of Standard Plan Review.

❑ **CERTIFICATE OF COMPLETION**	Provide a copy of the Professional of Record's *Certificate of Completion* for the Self-Certification Training Class.
❑ **PROFESSIONALS OF RECORD SELF-CERT. STATEMENT**	Provide the *Self-Certification Program Professionals of Record Self-Certification Statement* form signed and sealed by all the Professionals of Record who stamped the various plan sheets.
❑ **OWNER/TENANT CERT. STATEMENT**	Provide the *Self-Certification Program Owner/Tenant Certification Statement* form signed by the building owner or tenant.
❑ **HOLD HARMLESS LETTER**	Provide a *Hold Harmless Letter* using the sample language verbatim. The letter should be printed on letterhead and be signed by the building owner or tenant.
❑ **CERTIFICATE OF INSURANCE**	The Architect of Record must provide a certificate of professional liability insurance with limits of not less than $500,000.00 per claim and $1,000,000.00 aggregate for all claims made during the policy period.
❑ STRUCTURAL PEER REVIEW	A *Structural Peer Review* is required for Level II projects on the Self-Certification Eligibility Chart with structural scope of work. The submission of a *Structural Peer Review* eliminates the need for a Structural Plan Review. However, a cursory review of the *Structural Peer Review* report is performed by DOB. Provide a signed and sealed report prepared by an Illinois licensed Structural Engineer who is a Registered Structural Peer Reviewer. A list of Registered Structural Peer Reviewers is available on the DOB website.
❑ ALDERMANIC ACKNOWLEDGE-MENT LETTER	In order to waive the ten (10) day aldermanic review, provide an *Aldermanic Acknowledgement Letter* signed by the alderman in whose ward the project is located. DOB must wait ten (10) calendar days from the E-Plan Pre-Screen Review to issue permit without the waiver.
❑ PROTOTYPE PLANS	Provide *Prototype Plans* for Level II New Construction projects on the Self-Certification Eligibility Chart. A Prototype Plan is a set of plans for an identical new construction building project with a different address (signed and sealed by the same Architect of Record) that was previously reviewed and approved through the Standard Plan Review (SPR) process and issued a building permit.

APPENDIX B

DOB STANDARD PLAN REVIEW CHECKLIST

CITY OF CHICAGO

DEPARTMENT OF BUILDINGS

Checklist of Items Required for Permit

Introductory Meeting Date: Developer Services No.:

Intake Meeting Date:

Project Administrator:

Project Name:

Project Address:

DO NOT STAPLE ANY ITEMS. USE PAPER CLIPS ONLY.

Required	Provided	
☐	☐	Square checkboxes represent separate documents or sheets within the plans.
○	○	Small circles represent specific information or requirements to be aware of for a document.

1 - Program Requirements

☐	☐	**Developer Services Agreement (1-4)** - completed and signed by the owner
☐	☐	Exhibit A – Consultant Proposal attached
☐	☐	Exhibit B – Project Description attached
☐	☐	Exhibit C – Schedule attached
☐	☐	Exhibit D – Green Project Addendum attached (Green Permit Program participants only)
☐	☐	Exhibit E – Green Features Description attached (Green Permit Program participants only)
☐	☐	**Deposit check** - Certified check, payable to 'City of Chicago Department of Revenue'.
		Amount $_____
☐	☐	**Developer Services Conflict of Interest Form (1-5)** - List of Design team members to determine conflict of interest
Required	Provided	

Checklist of Items Required for Permit (Continued)

Required	Provided	
☐	☐	**Project Rating Form (1-6)** – At the completion of the review by the Consultant Reviewer we ask that you complete the project rating form. You are to rate your feeling of how the **Consultant Reviewer** as performed the review. Check the rating that best describes your experience with the Consultant Reviewer.
☐	☐	**Drawing Revision Standards (1-7)** – Altering of drawings can only be performed by the Architect/Engineer of Record or another Licensed Architect/Engineer employed by the firm. Disassembly and assembly of the drawing sets is considered alteration of the drawings and is allowed by the AOR only. The included standards are to be used in the altering of drawings.
		Certified Corrections (1-9) – Provide documentation as described in program directions:
☐	☐	Owner's Hold Harmless letter (signed by the owner)
☐	☐	Owner's Certification Statement (signed by the owner)
☐	☐	Professionals of Record Certification Statement (signed and stamped by all professionals)
		Green Permit Pre-review Submittal (1-11) as described in the green permit requirements document. Green permit participants receive an expedited review and free consultant reviews.
☐	☐	50% Construction Documents – Clearly indicating green design strategies and technologies
☐	☐	LEED Checklist or HERS rating
☐	☐	Description of green strategies and how they are specified
☐	☐	Division 1 of project specifications
☐	☐	**Dog Runs (1-10) –** To encourage the use of dog runs in new residential projects the City of Chicago is offering a $1,000 rebate on the Developer Services review fee.

2 - Model Sales Centers

☐	☐	**Sales centers trailer rules (2-9A)** – The trailer is a temporary structure located on or adjacent to the development site, accessible to the public, and staffed with personnel. The structure is manufactured off-site and delivered to the location and placed on a site-built foundation system and attached to site built features and entrances/exits.
☐	☐	**Model Sales Center (2-9C)** – A model Sales Center is a temporary use of an existing building within the site of a future development accessible to the public and staffed with personnel.

3 - Submittal Requirements - Documents

☐	☐	**Permit Application (3-10)** - Provide a DOB Permit application that is completely filled out in black ink. No White Out allowed on application or drawings (creates reproduction issues).
☐	☐	Project address and the scope of work stated on the application agrees with the address and scope shown on the Plans
☐	☐	Address and Scope agree with House Number Certificate
☐	☐	Scope is appropriate as a unique application
☐	☐	All application information about the project completed on page 1 and 2 Missing: _____
☐	☐	Fence height and length
☐	☐	Checks for Garage and trash enclosure
Required	Provided	

Checklist of Items Required for Permit (Continued)

Required	Provided	
☐	☐	Emergency Name and Contact phone number
☐	☐	Building Owner information is completed
☐	☐	Tenant information is completed
☐	☐	Stamped by Illinois Licensed Architect or Structural Engineer (PE only if scope is single discipline)
☐	☐	Owner signature (this is the "owner" of the project space, not necessarily the building owner)
		Contractor Information - (required at permit issuance, not required at submittal)
☐	☐	Name, address, license numbers of general contractor
☐	☐	Name, address, license numbers of all applicable subcontractors.
		Missing: _____
☐	☐	**Excavation Certification**
☐	☐	Signed and sealed by professional of record
☐	☐	Contractor's name and license number
☐	☐	Signed by Owner
☐	☐	Registered mail receipt
☐	☐	**Certificate of Insurance for Excavation Contractor (3-11)** – Comprehensive liability policy of $1,000,000 per occurrence, listing City of Chicago as additionally insured
☐	☐	**Project Data Sheet to Determine Compliance with Chapter 18-11 of the CBC (3-13)** - Please fill out, submit, and sign the CBC (Chicago Building Code) and ANSI Worksheet for your project. .
☐	☐	**MOPD Meeting Minutes/Corrections Sheets** - If your project has had preliminary meetings with the Mayor's Office for People with Disabilities, submit minutes from these meetings.
☐	☐	Identify drawing sheet number(s) on which each line item in minutes is addressed
☐	☐	**Electrical Application (3-15)** - Provide an Electrical Application signed by the Supervising Electrician and completely filled out to show the scope of all electrical work including circuits, motors low amp and communications wiring etc. **Please Note:** ***Electrical Contractor information and the Electrical Application must be included at the first project intake meeting for the project to be accepted into the DOB system.***
☐	☐	Completed per scope of work on application
☐	☐	Signed by supervising electrician and notarized (will be required prior to permit issuance)
☐	☐	**Easy Permit Process Application (EPP) (3-9)** – Included for your convenience can be used to permit single discipline work that is not part of the permit review (I. E. Construction Trailer Power, Construction Fence, Skip Hoist Etc.)
		Environmental Applications Required
		Please include all required Environmental Applications Forms (FB, EG, FP, MVR, UPV, SB etc.) filled out and signed as required. Consult Department of Environment web site (www.cityofchicago.org/Environment) for information and to download Environmental Forms.
☐	☐	Form FB (Fuel-Burning Appliance) – Boilers, Furnaces, Unit Heaters, Rooftop units (3-16A)
☐	☐	Form UPV (Unfired Pressure Vessels) – Hot Water Storage Tanks, Expansion Tanks, Etc. (3-16B)
☐	☐	Form IN – Incinerators (3-16C)
☐	☐	Forms A and B – Industrial Processes (3-16D & E)
Required	Provided	

Checklist of Items Required for Permit (Continued)

Required	Provided	
☐	☐	Form MVR – Motor Vehicle Repair Shop (3-16F)
☐	☐	Form SB – Paint Spray Booths, Powder Booths (3-16G)
☐	☐	Form C – Air Pollution Control Device (3-16H)
☐	☐	Form FP – Food Preparation units, Kitchen Hood (3-16I)
☐	☐	Form EG- Emergency Generator (3-16K)
☐	☐	Receipt for submittal for fuel storage tank from 30 N. LaSalle (see page 14.)
☐	☐	**Condominium Associations letter** – If the project is located on a property under the jurisdiction of a condominium association, provide an original letter from the association approving the project.
☐	☐	**Demolition permit** – Demolition permit is required for any site where a new building will be replacing an existing building. Copy of a demolition permit will be required prior to issuing a construction permit. Application for a demolition permit to be submitted by wrecking contractor.
☐	☐	**House Number Certificate** - A House Number (Address Certificate) is required for all new buildings, additions with separate addresses, alterations or additions with changes of addresses.
		Driveway Application (3-26) – If the project contains a new driveway, an alteration to an existing driveway, or an addition to an existing driveway, you must complete and provide a driveway Permit Application. That application can be obtained form the Department of Buildings, DOB, or Ms. Yecenia Perez. (Room 906 at 121 North LaSalle St.)
☐	☐	Application – max 4 driveways per application
☐	☐	Photographs – 3 photos of each proposed driveway showing current conditions
☐	☐	Certificate of Insurance – Property owner's general liability insurance, see driveway application
☐	☐	Check Amount $_____
☐	☐	Application fee figured based on size/number of drives, see driveway application
☐	☐	Back fees owed for existing driveways must be paid for at permit issuance
☐	☐	5 surveys
☐	☐	5 fully dimensioned site plans
☐	☐	Plans indicate any/all relocated street features, including lights, bus stop shelters, benches, etc.
☐	☐	Department of Planning approval required for driveway permit issuance
☐	☐	Zoning Landscape approval required for driveway permit issuance
		Alley Access Letter (3-17 &17a) - Required for any commercial use of alley or for 6 or more cars in a residential development to access a building, property or parking lot through the alley. **One** of the following will be required:
☐	☐	Letter from the Alderman
☐	☐	Passage pending letter
☐	☐	Ordinance from City council
		Landscaping Documentation Required (3-18 to 20) - The following documents are part of documentation required for the approval of the landscaping. This is in addition to plan requirements.
☐	☐	Affidavit from owner, signed by the owner and notarized
☐	☐	Affidavit from expediter, signed and notarized
☐	☐	Landscape security and right of entry agreement, signed by the owner
☐	☐	Check ownership/refund affidavit, signed by the owner
Required	Provided	

Checklist of Items Required for Permit (Continued)

Required	Provided	
☐	☐	Landscape security deposit receipt, signed by the owner
☐	☐	Deposit check (cashier's check to City of Chicago) or Letter of Credit for amount $_____
☐	☐	In multiple building projects one letter of credit per building will be required.
☐	☐	Date of the letter of credit expiration is to be six months after the planting date.
☐	☐	Waiver letter for the landscaping letter of credit is acceptable for the following agencies: PBC, CHA, DOH and Board of Education.
		Fee Waiver (3-21) - If your project will receive a Waiver of Permit Fees from the Chicago City Council you must submit a copy of the Findings of the City Council stating that the project will receive a Fee Waiver. *This documentation of fee waiver must be submitted at the initial Project intake meeting.* ***Note****: A fee waiver cannot be granted for the Developer Services fee or for the Open Space Impact fee.*
☐	☐	Certified copy of the ordinance with the City Clerk's stamp.
☐	☐	Department of Housing Documentation.
☐	☐	Passage pending letter (requires the Executive Director's Approval).
☐	☐	**Open Space Impact Fee Worksheet (3-22)** - For residential projects, fill out and submit a copy of the Open Space Impact Fee Worksheet. Fee not applicable if present use is residential.
☐	☐	**Fire Prevention Meeting Minutes** – If your project required preliminary meetings with fire prevention for code interpretations, please include minutes of the meeting for those meetings and any other agreements reached with the Fire Prevention Bureau.
		Floor Load Placard (3-23 & 24) – A floor load placard will be required if your project has room or areas designated as 'Storage' on the drawings.
☐	☐	Floor load placard application, completed, with structural engineers stamp
☐	☐	Structural calculations with engineer's stamp for storage rooms only
☐	☐	**Administrative Relief (3-25 &25E) –** If your project requires a special permission or variances from the Chicago Building Code, submit your request on the Administrative Relief form as early in the review process as possible. Include the exact wording of the variance requested on the form; do not include any backup information on the form. Attach backup information to the form.
☐	☐	**Refrigerant Administrative Relief Form (3-25d)-** Completely fill out and submit if refrigerants not identified in Table 18-28-1103.1 are to be included in project.
		Electrical Administrative Relief - When applicable, if your project requires a variance from the Chicago Electrical Code, Special Permission Letters must be submitted with the Electrical Application. Below are some of the most common electrical special permission letters:
☐	☐	**Switchgear Shop Drawings Administrative Relief (3-25C)** - Completely fill out and submit administrative relief form. *For electrical services greater than 1200 amps*, *The Electrical switchgear shop drawings must be submitted, reviewed (within a time period of 60) days after the building permit is issued) and approved by both the Electrical Bureau and Commonwealth Edison. No work in the field pertaining to the switchgear /service may be done until the shop drawings are approved.*
☐	☐	**Wall Mounted Switchgear Administrative Relief (3-25)** – Completely fill out and submit administrative relief form. *This letter is applicable when the project requires wall mounted switchgear instead of freestanding / floor mounted switchgear*.
Required	Provided	

Required	Provided	
☐	☐	**Battery Maintenance Letter (3-25B)** - Project using battery pack emergency lighting, provide a letter signed by the owner of the project stating that a qualified person will maintain the project battery pack s and identifying the qualified person. If the letter is not provided at the time of permit issuance, the letter must be present in the field for verification.
☐	☐	**Projects Using 277 V Lighting and Heating (3-25B sim.)** - Projects using 277 Volt lighting or heating, will be required to provide a copy of assigned agreement between the building owner and a licensed electrical contractor for the maintenance of the 277 volt lighting or heating. The building owner must sign the maintenance agreement. If a maintenance agreement is not provided by the time of permit issuance, it must be present in the field for verification.

Submittal Requirements - Drawings

☐	☐	**One (1) official permit set** – Official record permit set shall include the following items:
☐	☐	Cover sheet stamped and signed by Architect of Record. The Illinois Licensed Architect or Engineer of Record must wet ink stamp and sign the cover sheet of the submitted plans.
☐	☐	All sheets stamped by responsible professional (Architect, SE, PE, Landscape Architect)
☐	☐	Signature of each professional (w/stamp) on cover sheet or first sheet of discipline.
☐	☐	Project address printed / located on each sheet (normally in the title block).
☐	☐	Drawings bound with removable studs for ease of replacing drawings.
☐	☐	Address of project boldly written on the back of each set.
☐	☐	Official permit sets clearly labeled as such
☐	☐	Drawings rolled with backside facing out.
		Permit Drawings - At the Completion of the review or when all comments have been satisfied an additional copy of the permit set will be made from the official corrected set before the City of Chicago stamps the set. The original marked up set will be returned to you for display at the job site the copied set will be retained by the City for record purposes.
☐	☐	**Additional full-size sets** for reviewers' use. Total requested:_____
☐	☐	**Additional half-size sets** for reviewers' use. Total requested:_____
☐	☐	**CD-ROM** with DWF files for reviewers' use. Total requested:_____
☐	☐	**Reference drawings** for revisions or kit of parts. Total requested: _____

Required	Provided

4 - Submittal Requirements – Drawing Content

Code Matrix (4-1) - Provide the Code Matrix for your project on the cover sheet of the submitted plans. The Code matrix must be filled out and completed so that a page or sheet number is provided showing the location for all required items of Code Information. **The code matrix should be modified to include only the items that are pertinent to your project.**

Required	Provided	
☐	☐	Zoning code matrix
☐	☐	Architecture code matrix
☐	☐	Structure code matrix
☐	☐	MEP code matrix

Certification statements on cover sheet

☐	☐	Architectural statement – (*I certify that these drawings were prepared under my direct supervision and to the best of my professional knowledge they conform to the Chicago Building Code*)
☐	☐	Energy Code statement – (I am a registered energy professional and this building meets the energy code requirements or I am the architect or REP and this building does not need to meet the energy code because…)

☐	☐	**Plat of Survey** - Provide one (1) original Plat of Survey (ALTA Type) less than 60 days old for all new buildings and additions.
☐	☐	Bound into official permit sets.
☐	☐	Interior only work does not require a survey.
☐	☐	Less than **60 days** from date signed to date submitted.
☐	☐	If your project is less than four (4) dwelling units a Metes and Bounds surveys will be acceptable.
☐	☐	Interior only work does not require a survey.

Included on Survey - For projects larger than 4 or more residential units, any new commercial / business/mercantile/institutional/assembly building is to include the following info (See also requirements for Site Plans listed under Architectural items):

☐	☐	Name, address, phone number of licensed land surveyor responsible for the preparation of the survey.
☐	☐	Property lines, easements, right-of-way frontages, private and public alleys and curb cuts.
☐	☐	Location of all existing trees with caliper size.
☐	☐	Location of existing underground structures (I.E. manholes, catch basins, water shut-off valves, fire hydrants, etc.).
☐	☐	Size and location of all existing private and public utilities both above ground streetlights, Required Provided fire hydrants, traffic lights, and signs in the public way.
☐	☐	Existing street/sidewalk features such as benches, street or traffic lights, hydrants, phones, and/or signs in the public way

Required Provided

Checklist of Items Required for Permit (Continued)

Required	Provided	
☐	☐	**Surveys for Landscape** - Provide three (3) additional original surveys for landscape review.
☐	☐	**Additional Surveys** Number required:_____
☐	☐	**Site Plan** - For new buildings or additions provide a site plan. All information required for the Zoning review shall be located on the site plan or adjoining the site plan. Include the following:
☐	☐	North Arrow
☐	☐	Dimensions of the site
☐	☐	Street names
☐	☐	Address of the project
☐	☐	Dimensions of all required setbacks from the property line to the buildable area.
☐	☐	Dimensions of the building footprint and distance from property lines.
☐	☐	Number of stories.
☐	☐	Dimensions of the building envelope with the floor levels indicated.
☐	☐	Any projections over the property line, either above or below grade.
☐	☐	Indicate the construction type.
☐	☐	Indicate parking and loading spaces
☐	☐	**FAR Diagrams and Calculations** – Provide diagrams for each typical floor indicating area counted toward floor area and calculated area of each floor
		Landscape Plans - If your project involves the construction of a new building of 4 or more residential units, any new commercial / business / mercantile / institutional /assembly building or addition thereto over 1,500 square feet in floor area, or the renovation of any type of building which exceeds 150% of the assessed value of that building, or the construction of a parking lot or vehicular use area greater than 1,200 square feet, or the repair an existing parking lot over 1,200 square feet, or the addition of 4 or more parking spaces to an existing parking lot over 1,200 square feet then your project must conform the Chicago Landscape Ordinance :
☐	☐	Two (2) loose landscape plans for initial review, to be inserted in permit sets after approval.
☐	☐	Four (4) additional loose landscape plans.
☐	☐	One (1) additional loose landscape plans if you require a driveway permit.
		All plans shall include the following items:
☐	☐	All items listed on page 37 of the *Guide to the Chicago Landscape Ordinance*
☐	☐	All required owner signatures
☐	☐	Fully detailed and dimensioned
☐	☐	All existing landscaping
☐	☐	Any landscaping to be removed
☐	☐	Signed and sealed by licensed Landscape Architect or the Architect of Record
☐	☐	Photographs of all existing landscaping and fencing include caliper size of trees and species
☐	☐	Signed by Department of Planning & Development if in a Planned Development, Special Use, or Lakefront Protection District.
Required	Provided	

Checklist of Items Required for Permit (Continued)

Required	Provided	
		Architectural Items Required
☐	☐	**Complete Plans** - Provide all room and space names. Provide dimensions for floor plans. Dimension stair width and landing depth, provide tread and riser information.
☐	☐	Clarify New Versus Existing Construction - For alterations and remodeling clarify graphically On the plans which elements or spaces are new construction and which elements or spaces exist to remain. Indicate all demolition work. Provide demolition plans where appropriate.
☐	☐	**Wall Section** - For new buildings and additions provide a full wall section showing the elevation of all floor levels and the foundation wall. Call out floor to ceiling heights. Call out all wall assembly and floor assembly materials and structural information. Provide UL numbers where required for fire-rated walls. Indicate the depth below grade of the basement slab from top of slab to grade.
☐	☐	**Building Elevations** - For new buildings, additions, or new exterior construction, provide all required building elevations indicate all necessary dimensions to determine the height of the building and the height /elevation of all floor dimension parapet height and guardrail height. Dimension the height of windows to from sill to finish floor.
☐	☐	**Light and Vent Schedule** - For new construction or additions or if your project is altering the location and sizes of window and window openings. Provide a schedule listing the required and actual quantities of natural light and natural ventilation for all required rooms and spaces.
☐	☐	**Furniture Plan** - For build-out or remodeling projects for office or retail space please provide a furniture layout plan that shows, desks, work stations, general furniture, store fixtures, counters etc. This can be provided as a separate furniture plan or shown on the power and communications plan, or as part of the architectural plan.
		Structural Items Required
☐	☐	**Complete Structural Information** - Indicate all required structural information on the plans. Indicate the sizes, spacing, and material designation of all framing members, columns etc.
☐	☐	**Structural Plans** - As required by the scope of the project, provide complete structural plans, schedules, and details stamped by a licensed in Illinois architect or structural engineer.
☐	☐	**Structural Calculations** - When applicable, provide structural calculations signed and stamped by a licensed in Illinois Architect or Engineer. *If your project has structural plans, structural calculations must be provided at the initial project intake meeting for the project to enter the DOB system.*
☐	☐	**Structural Shop Drawings** – Must be provided for custom-fabricated, pre-engineered structural systems, such as prefabricated metal buildings, precast concrete bearing walls, and canopies. Drawings must be signed and stamped by a licensed in Illinois Architect or Engineer.
☐	☐	**Soils Report / Soil Boring Log** - When applicable for new construction or additions, provide these items. These reports shall be stamped and signed by the Engineer responsible for their preparation.
Required	Provided	

Required	Provided	
		Specialized Reports / Calculations / Applications - the following engineering reports and associated calculations (when applicable) must be submitted at the initial project intake meeting. These reports must be stamped and signed by a Licensed in Illinois Architect or Structural Engineer:
☐	☐	Critical Facade Examination
☐	☐	Structural Inspection and Recommendations
☐	☐	Truss Repair
☐	☐	Other
		Plumbing Items Required
☐	☐	**Complete Plans** - Show all kitchens, bathrooms / toilet rooms, janitor sinks, drinking fountains, hose bibs, hot water heaters, etc. on the plans. Indicate all floor, roof, or trench drains if applicable.
☐	☐	**Fixture Schedule** - Please provide a Plumbing Fixture Schedule on the Plumbing Plans. This schedule shall list the type, the manufacturer and model number for all new plumbing fixtures.
☐	☐	**Schedule / Listing of Plumbing Materials** - Please provide the appropriate schedules or notes designating the materials and specifications for all plumbing piping.
☐	☐	**Plumbing Riser Diagrams** - Please provide plumbing riser diagrams for the Water Supply and Distribution System the Drain Waste and Vent System. Indicate the sizes of all piping. Show and label all floor drains, clean outs, grease / oil interceptors, pumps, hot water tanks etc. Indicate required back-flow protection devices on the supply diagram as required.
		Ventilation Items Required
☐	☐	**Complete HVAC Plans** - Provide complete HVAC plans. Show the duct layout and call out the sizes for all ducts, supply, return, exhaust, combustion air, and relief diffusers, and openings. Show the location of all HVAC equipment including furnaces, boilers, unit heaters, rooftop units, VAV boxes, exhaust fans etc. on the plans. Show the CFM supplied, returned, or exhausted at each diffuser, return air grill etc.
☐	☐	**Equipment Schedule** - Provide a schedule of all HVAC equipment in a DOB Approved format. List equipment type, manufacturer, model number, BTUH input / output, CFM, etc.
☐	☐	**Ventilation Schedule** - Provide a ventilation schedule for all rooms and spaces. Please list all rooms and spaces. Please list how the room or space is used. PLEASE NOTE: the use of the room must conform to the uses specified in the Chicago Building Code Ventilation Sections. Please coordinate the CFM shown on the schedule with the CFM shown on the plans.
☐	☐	**Heat Schedule** – Provide a heating schedule showing total calculated heat loss and total heating capacity of equipment.
☐	☐	**HVAC Notes and Specifications** - Provide required HVAC Notes and Specifications as applicable
☐	☐	**Mechanical Equipment Schedules (4-2)** – Provide a completed schedule. Your project administrator will provide an electronic (Excel) version of this schedule for the project engineer to complete.
Required	Provided	

Required	Provided	
		Refrigeration Items Required
☐	☐	**Refrigeration Schedule** - Provide a complete Refrigeration Schedule. This schedule should be located on the plans, adjacent to the other HVAC schedules.
☐	☐	**Required Refrigeration Standard Notes and Diagrams** - Provide DOB required refrigeration notes and diagrams. These should be located adjacent to the Refrigeration Schedule.
		Electrical Items Required
☐	☐	**Electrical Plans** - Provide complete electrical plans, panel schedules, lighting and power and equipment schedules etc. as required for the project.
☐	☐	**Single Line Service Diagram / Riser Diagram** - For new multi family and commercial buildings provide a Single Line Service Diagram. Show the sizes of all cable, feeders, and wiring. Indicate the wiring or cable designation or type. Specify conduit size and type. Clearly indicate and note all required grounding and bonding. Indicate all disconnects, motors, meters, pull boxes, sub panels etc. etc. Provide riser diagrams as required for more complex projects
☐	☐	**Load Calculations** - For new multi-family housing buildings or additions and any new commercial building or additions, please provide Electrical Load Calculations for the project. Required Provided
		5 - Other Agency Reviews
		Office of Emergency Management and Communications – Traffic Management Authority
		Temporary use of the public way during the course of construction (5-1-9) - If your project requires the construction of sidewalk canopies, masonry catchments, street or public way barricades located on the public way; an applicant must apply for and obtain approval from the Office of Emergency Management and Communications TMA (Room 905 at 121 N. LaSalle St). TMA must sign off on the Barricades portion of the DOB Permit Application prior to issuance of a Permit for the applicable project
☐	☐	Approved logistics plan required due to:
☐	☐	Sidewalk canopies
☐	☐	Masonry catchments
☐	☐	Public way barricades
		5-1 Department of Transportation (CDOT)
☐	☐	**Vacation/Dedication of street/alley (5-1-1 to 4)** - Division of Maps and Plats is in charge of Vacation and Dedications for real estate given by/to the City from/for the right of public way. Vacation/dedication must be recorded by Maps and Plats for permit issuance.
Required	Provided	

Required	Provided	
		CDOT Plan Review Committee (CDOT Roundtable) (5-1-5) - The CDOT Plan Review Committee reviews developments that may affect the public right–of-way. A round table review will required if your project includes the following conditions: ○ Deep Foundations ○ Special use or ZBA (Oversize driveways, Remote Lot, Drive Thrus, or letter from CDOT) ○ Planned Development (Review performed during the Part I process) ○ Oversize Driveway ○ ADA Standard details for work in the public right-of-way. (5-1-6a & 6b)
☐	☐	Drawings stamped "approved" by CDOT
☐	☐	Occupy the Public Right-of-way during construction (5-1-9)
		Office of Underground Coordination Review (OUC) 5-1-8) – The Office of Underground Coordination provides a forum for coordinating all construction activities in the public way, which may directly or indirectly affect members of the Office of Underground Coordination who operate underground facilities.
☐	☐	Initial utility search by OUC completed. Provide documentation showing search has been performed.
		Your project has one or more of the following conditions and therefore requires an OUC review: ○ Excavation 12'-0" below grade or deeper. ○ Elevator pit or elevator plunger that is 12'-0" or deeper. ○ A new basement slab below 8'-0" below grade. ○ Foundations within 2'-0" of a property line. Earth Retention Systems will be required (sheeting). Sheeting contractor will be required for final OUC approval. ○ Foundations deeper than 12'-0" (Caissons, H-piles, auger cast piles mini piles etc.). ○ Excavation with a dig ratio greater than 1 to 1.5 to neighboring property or to public way. If any of the above apply, then the following steps must be completed:
☐	☐	Appointment scheduled with consultant reviewer to review submittal requirements
☐	☐	CD containing required submittal drawing files delivered to OUC for review.
☐	☐	All utility coordination comments resolved
☐	☐	Earth retention design approved by consultant reviewer.
☐	☐	Application signed by CDOT, authorizing issuance of foundation permit
☐	☐	Harbor permits are required for property within 40' feet of waterway (5-1-7, 7a & 7b)

5-2 Department of Business Affairs and Licensing

		Department of Business Affairs and Licensing (DBAL) Sign-off for Permanent Use of the Public Way (5-2-1 to 3) - If your project contains architectural or site elements *which are placed or project beyond the property line and utilize the alley, or sidewalk (public way)* You must obtain City Council approval through Ordinances prepared by the DBAL for Use of the Public Way. Proof of City Council Ordinance approval for use of the public way must be submitted at the time of the initial intake meeting with a DOB Project Manager for the project to enter the DOB system. If Applicable, please contact Lisa Pusateri at (312) 747-9034 OR Stan Adams (312) 747-9035.
Required	Provided	

Required	Provided	
		○ Projection of building elements ○ Foundations ○ Awnings, planters, etc. ○ Planters ○ Entry canopies ○ Projecting balconies ○ Entry stairs ○ Vehicle drop-offs ○ Vaulted Sidewalks
☐	☐	Council Ordinance required **or**
☐	☐	Passage Pending letter from Alderman
		5-3 Department of Water Management – This Department manages the supply of Potable water and the removal of waste and storm water form all structures and sites within the city. The Owner is responsible for arranging the following reviews. If your project has any of the following conditions the Department of Water Management must review your project. Provide documentation that the review has been performed.
☐	☐	**Water Review** - Contact Mike Foley at the Jardine Water Filtration Plant at (312) 744-5070. Provide documentation that the review has been performed. Water review is required for any of the following conditions: ○ Partial demolition of a building. ○ Temporary use of water through the use of a fire hydrant or temporary water service. ○ Water-cooled air-conditioning system, water cooled device or process. ○ Fire suppression system being upgraded, modified or altered in any way. ○ Installation or relocation of any fire hydrant. ○ Project creates a new sub-division or contains a private water-main. ○ Size of the existing water-main is less than 3/4". ○ Fixtures that have not been approved by the Department of Water Management or any water fed equipment (e.g. dialysis equipment, dental chairs, glycol fire system, lawn irrigation)Required Provided
☐	☐	**Sewer Review** – Contact Sid Osakada at 333 S. State St. (312) 744-0344. Provide documentation that the review has been performed. Sewer review is required for any of the following conditions: ○ Is there any wastewater discharge from the site or property? ○ Is there a building or structure that will connect to the City sewer main? ○ Is the project or site also in the public way or equal or greater than 15,000 square feet? ○ Does the site involve easement/covenant agreements, street vacations, street dedications, street openings, street closures, and subdivisions or work in the public way? ○ Is there a building and/or structure being abandoned/demolished that has a private drain connection to the City sewer main? ○ Is there a single family, residential, rental property and/or commercial property up to 15,000 square feet being constructed? ○ Is there a property with common sewers that serve multiple private properties, i.e. condominiums, townhomes, etc. up to 15,000 square feet being constructed? ○ Is there a commercial or residential property over 15,000 square feet that do not require the Design Section's review being constructed? ○ Is there a commercial and residential property over 15,000 square feet requiring the Design Section's review being constructed?
Required	Provided	

Required Provided

- Is there open space grater than 400 square feet but less than 7,500 square feet does not require the Design Section's review being constructed?
- Is there open space equal to or greater than 7,500 square feet requiring the Design Section's review being constructed?
- Sewer Repair/In Kind replacement of private drains
- Flood Control or Sumps Pumps
- Pumping of Water
- Sewers Stub
- Power Rodding
- Private Drain Seals
- Inspection Manhole
- Sewer and sewer structure construction related activity in the public right-of-way or in private property
- Sewer Cleaning, Lining or Televising

5-4 Planning and Development Items Required

Zoning Review for the Planning Department Required for:

- Special use projects
- Drive-thrus
- Strip malls (5-4-2)
- Parking Garages containing two or more stories above grade (5-4-1)
- Lake front Protection Districts – all projects regardless of cost which includes exterior work, additions, exterior alterations or repairs.
- Strip malls

Submittal Requirements for the above reviews:

☐ ☐ 2 sets of drawings, with:

☐ ☐ Stamped and signed by AOR/Landscape Architect

☐ ☐ Site plan

☐ ☐ Landscape drawings

☐ ☐ Exterior elevations

☐ ☐ Floor plans

☐ ☐ **Plan Commission Approval** for lakefront projects. New construction or additions in the Lakefront Protection district require Plan Commission Approval.

Planned Developments - Projects located in a Planned Development or the Lakefront Protection District that include exterior work, additions, exterior alterations or repair involve zoning change of use, must be sent for Planning Department approval.
Additionally, standard process or satellite office projects in a Planned Development or the Lakefront Protection District, which are located in the ground floor and could be visible from the street or public right-of-way, may also require planning approval.
Please call the Department of Planning, if you have questions on the applicability of the Planning Department Approval or Zoning change of use in a Planned Development.

☐ ☐ **Part I** – For information purposes submit a copy of the Planned Development ordinance

Planned Development Number _____

☐ ☐ **Site Plan Review (5-4-3)** before Part II. Large Planned Developments may require a site plan review. If you have completed a site plan review, provide a copy of the approval letter for information.

Required Provided

Checklist of Items Required for Permit (Continued)

Required	Provided	
		Part II Submittal (5-4-4) – The submittal for Part II review and approval is to be made to the Projects Administrator and shall include the following: Approval Letter (5-4-6)
☐	☐	**Part II request letter (5-4-5)** - signed by the Owner requesting review. Letter to be addressed to the DPD Commissioner. Letter to include specific scope of work to be reviewed.
		○ Interior alterations/repairs only with no change of use does not require a Part II review.
☐	☐	**Architectural Plans** – Provide three (3) sets of stamped architectural plans by an Illinois Licensed Architect. Each of the three (3) sets of Architectural Plans submitted for Part II Review must include the following:
☐	☐	Dimensioned Site Plan
☐	☐	Landscape Plan with the owner and Illinois Licensed Landscape Architect's signature. Refer to page 37 in the Landscape Guidelines for information to include in the Landscape Plan. Submit additional landscape plans, surveys, and documents as indicated on pages 4 and 7.
☐	☐	Scaled Floor Plans
☐	☐	Elevation Drawings
☐	☐	Building Structural Sections
☐	☐	Details cut sheets of fencing, lighting, architectural elements and features.

Landmarks Items Required

Complete Landmarks Information – If your property meets any of the following criteria, the Department of Planning and Development, Landmark Division will review your drawings pursuant to the guidelines issued under the Chicago Landmarks ordinance. Landmarks review required for:

- ○ Designated City of Chicago Landmark or within designated district
- ○ Prospective designation
- ○ "Orange" designation
- ○ Public Funding

The following submittals are required for landmarks review:

☐	☐	One (1) additional set of drawings. Half-size drawings may be acceptable if legible.
☐	☐	If windows are to be replaced, provide manufacturer's cut sheets, elevations and sections of existing and proposed replacement windows
☐	☐	If an addition or any other exterior changes are proposed, provide photographs of the existing conditions of the building showing elevations.
		The following items must be provided by landmarks prior to permit issuance:
☐	☐	Letter of Approval from Landmarks with scope of work matching the plans/application
☐	☐	Official permit drawings stamped approved by Landmarks – 2 copies

5-5 Department of Zoning – To be used when project is Right-of-Use Zoning. (5-5-2)

Zoning district: _____

Proposed use: _____

Provide all zoning-related information on your site plan and code matrix, including:

☐	☐	Required minimum lot area per dwelling unit: _____
☐	☐	Maximum number of dwelling units allowed: _____
Required	Provided	

Required	Provided	
☐	☐	Maximum Height Allowed: _____
☐	☐	Provide FAR calculations
		Zoning Approvals: If your project does not meet all requirements for the zoning district, you must present appropriate approvals from Zoning.
☐	☐	Zoning approval of Special Use
☐	☐	Administrative Adjustment from Zoning Administrator.
☐	☐	Zoning change by City Council – provide copy of ordinance
☐	☐	Zoning Board of Appeals Approval required for a variance
		Landscape Ordinance (5-5-1) regulations apply if: ○ New building of 4 or more residential units ○ Any new business/mercantile/institutional/assembly building ○ Any addition to business/mercantile/institutional/assembly building over 1,500 sq ft. ○ Renovations as based on cost below: Line 1-Replacement cost of building $_____ Line 2-150% of assessed value of building $_____ Line 3-Whichever is greater-$10,000 or line 2 $_____ Line 4-Cost of construction $_____ If line 4 is greater than line 3, then Landscape Ordinance applies ○ Construction/Repair of parking lot or vehicular use area more than 1,200 sf ○ Addition of 4 or more parking spaces to an existing parking lot over 1,200 sf
		If required, submit plans, surveys, and documents as described on pages 4 and 7.
☐	☐	First time landscaping review request. Provide this letter and submit landscape plans if you would like your landscape plan reviewed prior to submission for permit.
		5-6 Department of the Environment – The following items require additional review outside of DOB to obtain environmental approval.
		Sandblasting (5-6-1) in the scope, provide:
☐	☐	Form SC
☐	☐	Laboratory test results, if required
☐	☐	Dust minimization/containment plan
☐	☐	Sample of written notification to be provided to surrounding buildings
		Commercial Kitchen in the scope, provide:
☐	☐	Form FP (3-16I)
☐	☐	Kitchen hood supply and exhaust diagram. Do not reference mechanical drawings. You may provide an additional copy of the appropriate mechanical sheets.
Required	Provided	

Checklist of Items Required for Permit (Continued)

Required	Provided	
☐	☐	**Fuel Storage Tank** – Application for Non-Dispensing Above Ground Storage Tank Installation must be completed and delivered to 30 N. LaSalle, 25th floor. Include receipt for fuel storage tank application with emergency generator form EG (3-16K).
☐	☐	**Flood Plain (5-6-2 & 3)** - Project is within 100' of a large body of water. A flood plain review is required.
		Construction Waste Recycling (5-6-4) – If your project requires a Certificate of Occupancy, it must comply with the Construction Waste Recycling Ordinance. Contractor must submit compliance forms to Dept. of Environment at DOB within 30 days of project completion.
☐	☐	Project Completion Date: _____ (for scope of work under permit)
		5-7 Department of Fire, Fire Prevention Bureau – The following must be submitted to the Fire Prevention Bureau for approval this is in addition to and separate from the permit review process. They are located at 444 N. Dearborn Ave. on the 2nd Fl.
☐	☐	Sprinkler contractor must submit fire protection piping drawings (Shop Drawings) (5-7-1)
☐	☐	Fire alarm contractor must submit fire alarm layout drawings. (5-7-2)
		5-8 Accessibility (Mayor's Office For People With Disabilities - MOPD) – If one of the following conditions exists a preliminary meeting with MOPD will be required and final accessibility review will be performed by MOPD, not the consultant reviewer. Please call MOPD at (312) 744-4441. ○ Public Money ○ Public Facility , New Construction addition or alteration ○ Residential, New construction or addition privately or government funded ○ Privately funded – four or more units in a single structure ○ Government funded – 5 or more units in a project. ○ Detectable warning for curb ramps (5-8-1)
☐	☐	**5-9 Department of Health (5-9-1)** – If your facility will be providing any of the following food services a review by the Department of Health will be required. ○ Cook Serve ○ Cook Hot Hold Serve ○ Cook Chill Reheat Hot Hold Serve ○ Commercially Packaged Foods only ○ HAAPC System Will be in Place ○ Cold Hold Serve
		5-10 Department of Buildings Certificate of Occupancy (5-10-1) – If your building falls into one of the following categories a Certificate of Occupancy will be required. At the start of construction Contact the Department of Buildings Certificate of Occupancy team at (312) 743-3529 to schedule ongoing inspections. ○ All new remodeled multiple dwellings consisting of four (4) or more dwelling units ○ Buildings that substantially rehabilitated (Down to the studs gut rehab) ○ Residential buildings exceeding $150,000.00 estimated costs ○ Newly constructed non-residential buildings over 4,000 sq. ft. ○ Alterations or repairs of non-residential buildings exceeding $40,000 in estimated costs. ○ Work in existing buildings resulting in a change of occupancy. ○ Any work performed in a new or existing building of Institutional or Assembly Use.
Required	Provided	

Checklist of Items Required for Permit (Continued)

Items Required

The following items or corrections need to be added to the plans and the applications so that they are complete enough for acceptance into The Department of Buildings.

APPENDIX C

DEVELOPER SERVICES DOCUMENTATION

CITY OF CHICAGO

DEPARTMENT OF BUILDINGS

Developer Services Conflict of Interest

Project Description:_____

Application Number:_____

The following Projects are considered to be eligible for Developer Services:

1. New Construction

a) High Rise over 80' high
b) Mercantile over 150,000 Sq. Ft.
c) Other Occupancies 80,000 Sq. Ft.
d) Foundation Deeper than 12'
e) Residential projects that contain more than 25 Residential Units
f) Green Building Program Participants

2. Renovation Additions/Change of use
    a. Change of Occupancy projects with a Hazard Index Number of 2 or more

3. Other projects may be eligible for Developer Services with the prior approval of the Commissioner of Buildings.

Please provide a list of all Architects/Engineers that have contributed to the preparation of these contract documents. This list will be used to determine if there is a conflict of interest with the Reviewing Consultant

Architect/Engineer of Record

Name of Firm_____
Address _____

Structural Engineer

Name of Firm_____
Address _____

Mechanical, Plumbing, Electrical Engineer

Name of Firm_____
Address _____

Other Engineers or Architects Involved in the Preparation of these documents

Name of Firm_____
Address _____

Name of Firm_____
Address _____

Name of Firm_____
Address _____

Name of Firm_____
Address _____

I Certify that the consultant list provided above is accurate to the best of my knowledge

Architect/Engineer of Record_____

CHICAGO
Department of Buildings

Professional Certification of Corrections

CERTIFIED PLAN CORRECTIONS PROGRAM / STANDARD PLAN REVIEW

Application Details

✶ Project Address

✶ Permit Application Number

Certification

By signing and sealing below, I certify:

- I am the Illinois-licensed professional of record for this permit application.
- I have reviewed the corrections and comments issued by the Department of Buildings found in both the Dynamic Portal and ProjectDox systems for my scope of responsibility.
- As reflected on the certified plan corrections summary sheet(s), I do not dispute any of the corrections and I have personally made each of the noted corrections for my scope of responsibility.

Architect

Signature

Date

Professional Seal

Printed Name

Illinois License Number

Scope of Responsibility

Structural Engineer

Signature

Date

Professional Seal

Printed Name

Illinois License Number

Scope of Responsibility

Professional Engineer (MEP)

Signature

Date

Professional Seal

Printed Name

Illinois License Number

Scope of Responsibility

Instructions

For permit applications which are required to use the Certified Plan Corrections Program, a copy of this form must be completed and incorporated into the first certified plan corrections sheet in the drawing set. The certified plan corrections sheet(s) must be noted on the drawing index sheet and uploaded into the 'Certified Correction Documents' folder in ProjectDox.

The Certified Plan Corrections Program cannot be used: (a) to address zoning, geotechnical, or stormwater corrections; (b) if the plan examiner's corrections indicate that the application was insufficiently complete to review; or (c) to make changes to the drawings unrelated to a correction.

The Certified Plan Corrections Program also cannot be used if you dispute a comment or correction. In that case, you must contact the plan examiner, project manager, or a plan review supervisor to resolve the dispute.

Do **NOT** complete this form if any eligible review-type is disapproved from using the Certified Plan Corrections Program.

In the "Scope of Responsibility" field, specify which part of the application each professional is responsible for correcting. For example: "Entire application" or "S sheets and structural calculations."

Digital, electronic, and facsimile signatures are acceptable. If this application is submitted to the City of Chicago by a person other than the signer, that person must keep records establishing the authenticity of all electronic and facsimile signatures and make those records available to the City of Chicago upon request.

Fields and sections marked with a red star (✶) are required. When a section is used, all fields within that section are required.

If there are additional professionals of record, include additional copies of this form as needed.

CITY OF CHICAGO

DEPARTMENT OF BUILDINGS

Developer Services FLOW CHART

Revised 9/25/2015

1 General Info. & Preliminary Mtg.

General Information

The Developer Services Program is intended to facilitate the permit process for large or complex projects meeting the criteria below:

- ❑ High-rise Bldg. (>80 ft. high)
- ❑ Building or space >150,000 sf
- ❑ Residential Project >50 D.U.
- ❑ School projects >60,000 sf
- ❑ Green Bldg. Permit project
- ❑ Projects that require two levels of basement or deeper, and in addition utilize Earth Retention Systems (ERS)

A Developer Services program fee is required. 3 bids are obtained and the project is reviewed by a Consultant Reviewer.

STEP 1A

Pre-submittal Process

- ❑ The applicant submits an appointment request form on-line at the Dev. Services homepage
- ❑ DOB assigns the project no. and the Project Manager

STEP 1B

E-Plan Invitation

- ❑ DOB PA emails the applicant with E-Plan invitation & instructions for uploading the documents to E-Plan
- ❑ 75% complete plans with scope narrative and conflict of interest form can be uploaded for bidding
- ❑ The architect attends a preliminary meeting with the DOB PA at 121 N. LaSalle, Rm 906
- ❑ Review scope narrative & create a permit timeline
- ❑ Discuss zoning issues
- ❑ Identify Green technologies

2 Prescreen Review

STEP 2A

Prescreen by Project Administrator (PA)

- ❑ DOB Procures 3 Consultant Reviewer bids (if applicable)
- ❑ DOB selects lowest bid
- ❑ Applicant & Consultant Reviewers notified of the selection
- ❑ Email Developer Services fee proposal to applicant (if applicable)
- ❑ Review plans & applications for completeness
- ❑ Identify existing code violations & stop work orders
- ❑ Tabulate preliminary Building Permit fee amount and request Applicant to submit a check for 50% of the Building Permit fee
- ❑ Route plans to other depts.
- ❑ Route plans to **Consultant Reviewer** to begin plan reviews

STEP 2B (If applicable)

Preparation

Obtain or initiate the following items prior to uploading 100% plans:

- ❑ CDOT Information Retrieval Request (utility search)
- ❑ Structural Peer Review Report
- ❑ Fee Wavier Ordinance
- ❑ Use of Public Way Ordinance
- ❑ Administrative Relief Request
- ❑ Driveway Permit Application
- ❑ Committee on Building Standards and Tests
- ❑ Administrative Relief Request

3 Upload to E-Plan

STEP 3A

Applicant Makes Payment

- ❑ Applicant submits a check to DOB PA for 50% of the Building Permit fee
- ❑ Applicant submits the signed DS Agreement with a check to DOB PA for 100% of Developer Services program fee

STEP 3B

Applicant Uploads the Plans

- ❑ Upload 100% complete plans & applications (dwf or pdf)
- ❑ Provide a 3"x3" blank area at top right corner of drawings
- ❑ Include an electronic seal, signature and graphic scale on all sheets
- ❑ Use DOB's file naming per The E-Plan Online User Guide
- ❑ Complete the assigned task of "Upload Confirmation"
- ❑ "For Reference Only" drawings should be uploaded to the Reference Folder

4 Plan Reviews

STEP 4A

Technical Plan Reviews

- ❑ Architecture
- ❑ Ventilation
- ❑ Plumbing
- ❑ Electrical
- ❑ Refrigeration
- ❑ Fire Prevention
- ❑ Structural
- ❑ Environmental
- ❑ Accessibility
- ❑ Storm Water Management
- ❑ Geotechnical
- ❑ Zoning
- ❑ Landscape
- ❑ Lakefront Protection District
- ❑ Landmark Review
- ❑ Planned Development Review

STEP 4B

Corrections Report & Status

- ❑ Notification of Corrections Report, markups and instructions emailed to Architect w/ProjectDox Applicant Resubmit Task after all plan reviews performed (includes Planning & Zoning corrections)
- ❑ Check the permit status via ProjectDox reports in Architect's account.

STEP 4C (If applicable)

Request Code Variance

- ❑ Building Board of Appeals (BBA)

5 Plan Corrections

STEP 5A

- ❑ Architect of Record shall review plan corrections and amend the drawings. Bubble, date and initial all revisions.
- ❑ Architect shall log-in to E-Plan to upload revised drawings and forms as a new version of the original file (no file name changes)
- ❑ E-plan notification "Applicant Resubmit Request Task Assignment" must be completed by the Architect

STEP 5B

2nd Plan Review

- ❑ 2 corrections mediation meetings are allowed per contract.
- ❑ Do not contact the Consultant Reviewer before the corrections are issued

6 Final Review by PA

STEP 6A

- ❑ Verify documents are complete.
- ❑ Verify technical plan reviews approved by Plan Examiners
- ❑ Verify existing building violations are addressed
- ❑ Tabulate Permit fee balance
- ❑ Stamp sheets w/DOB approval
- ❑ Email architect when approved

7 Permit Fee & Approved Plans

STEP 7A

Applicant pays the Permit fee balance and obtains the permit certificate at the Dept. of Revenue window in Rm. 900 at 121 N. La Salle (contact PA)

STEP 7B

- ❑ PA moves approved Permit Set to "Released Documents" folder in E-Plan to allow the applicant to print DOB approved copies of the Permit Set

APPENDIX D

GREEN PERMIT FLOWCHART AND GREEN MENU ELEMENTS

CITY OF CHICAGO

DEPARTMENT OF BUILDINGS

Green Permit Process FLOW CHART

Revised 11/01/12

1 General Info. & Kick-off Mtg.

General Information

The Green Permit Process offers qualifying projects an expedited permit process and possibly a reduction of the permit fees.

Requirements:

❑ Commercial projects must earn certification within the LEED rating system

❑ Smaller Residential projects must earn certification under the Chicago Green Homes Program checklist based rating system or LEED for Homes

❑ Green Menu Items – Projects must utilize certain green strategies or green technologies to qualify

STEP 1A

Kick-off Meeting

❑ Applicant emails the Green Permit Kick-off Mtg. request to: sophiemartinez@cityofchicago.org

❑ DOB assigns the application #

❑ The Architect will meet with the DOB PA In Rm 906 at 121 N. LaSalle

❑ Architect brings a ½ size set of preliminary construction plans

❑ Review scope of work, create a permit timeline & E-Plan folder for the project

❑ Tabulate 50% of Building Permit Fee amount

STEP 1B

E-Plan Invitation

❑ DOB PA emails the applicant w/E-Plan invitation & instructions for uploading the documents to E-Plan

❑ E-Plan requires MS Internet Explorer running on MS Windows Operating System

STEP 1C (If applicable)

Preparation

Obtain or initiate the following items prior to uploading plans:

❑ CDOT Information Retrieval Request (utility search)

❑ Structural Peer Review Report

❑ Fee Wavier Ordinance

❑ Use of Public Way Ordinance

❑ Administrative Relief Request

❑ Driveway Permit Application

2 Green Review Mtg.

STEP 2A

Green Review Mtg.

❑ Applicant emails Preliminary meeting request to: sophiemartinez@cityofchicago.org

❑ Applicant uploads Green Review items to E-Plan

❑ Applicant meets with DOB PA in Rm 906 at 121 N. LaSalle

❑ Discuss scope of work, green technologies, and critical path

❑ Discuss Zoning issues

❑ Confirm project is eligible for the Green Permit Process

❑ Allow 4-6 weeks to confirm project eligibility prior to uploading plans via E-Plan for code review

3 Upload Plans to E-Plan

STEP 3A

Applicant Uploads the Plans

❑ Upload 100% complete plans & applications (dwf or pdf)

❑ Provide Green Permit Program Drwg. sheet within permit set

❑ Provide a 3"x3" blank area at top right corner of drawings

❑ Include an electronic seal and graphic scale on all sheets except Cover Sheet & Drwg. List sheet

❑ Use DOB's file naming per The E-Plan Online User Guide

❑ Complete the assigned task of "Upload Confirmation"

4 Prescreen

STEP 4A

Prescreen by DOB Project Administrator (PA)

❑ Review plans & applications for completeness

❑ Identify existing code violations & stop work orders

❑ Collection a check for 50% of Building Permit fee from Applicant

❑ Route plans to other depts.

❑ Route plans to DOB technical Plan Examiners to begin plan reviews

STEP 4B

Applicant Makes Payments

❑ Applicant submits a check for 50% of the Building Permit fee to the DOB PA

5 Plan Reviews

STEP 5A

Technical Plan Reviews

Architecture

❑ Ventilation

❑ Plumbing

❑ Electrical

❑ Refrigeration

❑ Fire Prevention

❑ Structural

❑ Environmental

❑ Accessibility

❑ Storm Water Management

❑ Geotechnical

❑ Zoning

❑ Landscape

❑ Lakefront Protection District

❑ Landmark Review

❑ Planned Development Review

STEP 5B

Corrections Report & Status

❑ Notification of Corrections Report, markups and instructions emailed to Architect after all plan reviews performed (includes Planning & Zoning corrections)

❑ "Check Permit Status" and and corrections online at: www.cityofchicago.org/buildings

STEP 5C (If applicable)

Request Code Variance

❑ Administrative Relief Request

❑ Building Board of Appeals

❑ Committee Standards & Tests

STEP 5D

2nd Plan Review

❑ Projects ineligible for Certified Plan Corrections must be re-reviewed by Plan Examiners

❑ AOR of projects requiring a 3rd plan review may be required to meet with Plan Examiners

6 Plan Corrections

STEP 6A

❑ Professionals of Record shall review plan corrections and amend the drawings. Bubble, date and initial all revisions.

❑ Architect shall log-in to E-Plan to upload revised drawings and forms as a new version of the original file (no file name changes)

❑ E-plan notification "Applicant Resubmit Request Task Assignment" must be completed by the Architect

STEP 6B

Certified Plan Corrections (CPC)

❑ This plan correction method must be used unless the project includes Assembly, Institutional, Industrial, Hazardous occupancy types, non-residential government projects, Dangerous & Hazardous building violations, Stop Work Orders, Geotechnical and Storm Water reviews

❑ Upload a new sheet behind the cover sheet with itemized corrections, responses & the CPC Certification Statement

7 Final Review Meeting with PA

STEP 7A

❑ Applicant requests Final Review Meeting with DOB PA

STEP 7B

❑ Verify documents are complete

❑ Verify technical plan reviews are addressed by CPC or approved by Plan Examiners

❑ Verify bldg. violations addressed

❑ Tabulate Permit fee balance

❑ Stamp sheets w/DOB approval

❑ Email architect when approved

STEP 7C

Applicant pays the Permit fee balance and obtains the permit certificate at the Dept. of Revenue window in Rm. 900 at 121 N. La Salle

STEP 7D

AOR brings (2) full size paper copies of Cover Sheet with wet seal & wet signature of all the Professionals of Record to the DOB PA for DOB wet stamp Approval. (Bring (2) copies of Drwg. List Sheet wet sealed & wet signed by the AOR if the Drawing List is not on the Cover Sheet)

❑ AOR leaves one of each sheet with PA & uploads other sheets to E-Plan

❑ PA moves approved Permit Set to "Released Documents" folder in E-Plan to allow the applicant to print DOB approved copies of the Permit Set

CITY OF CHICAGO

DEPARTMENT OF BUILDINGS

GREEN PERMIT PROGRAM BENEFIT TIER STRUCTURE

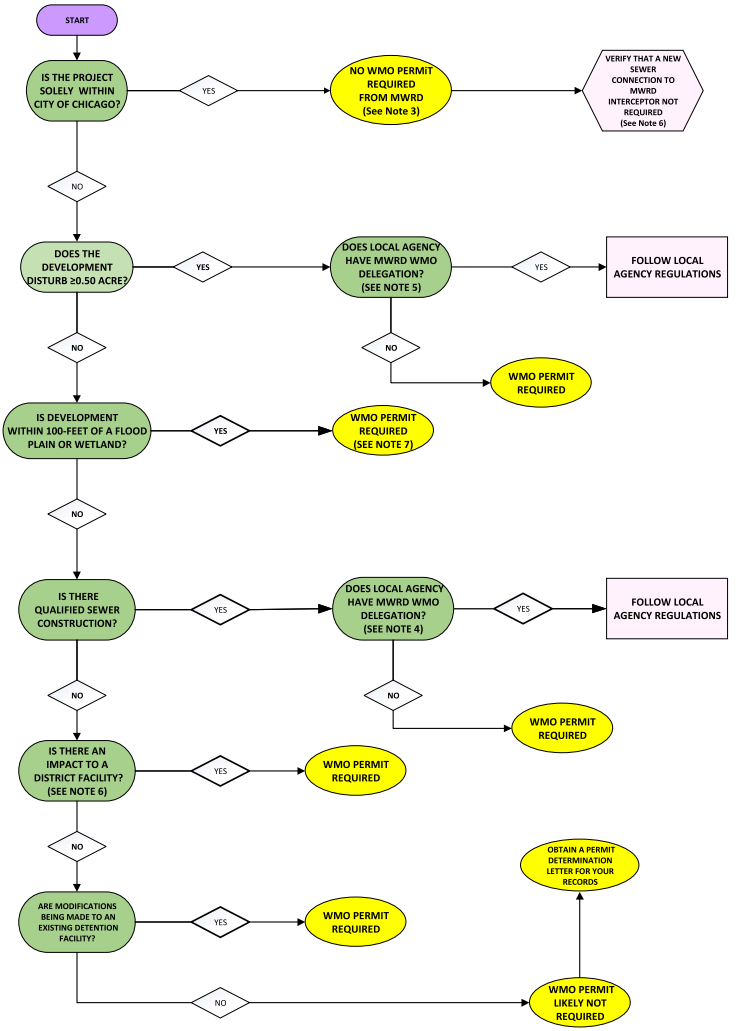
PROJECT TYPE	BENEFIT TIER I	BENEFIT TIER II
	Expedited permit (Goal <30 business days)	*Expedited permit (Goal <30 business days) Fee Reduction up to $25,000*
RESIDENTIAL **Market Rate Single Building (<10 units)**	Not Applicable	LEED Silver + 1 Menu Item **OR** Green Globes 3 Globes + 1 Menu Item
Market Rate Multiple Buildings (<10 units/building)	Not Applicable	LEED Silver + 2 Menu Items **OR** Green Globes 3 Globes + 2 Menu Items
20% Affordable Multiple Buildings (<10 units/building)	Not Applicable	LEED Silver + 1 Menu Item **OR** Green Globes 3 Globes + 1 Menu Item
Market Rate Multifamily, under 80 ft. (including hotels)	LEED Certified + 2 Menu Items **OR** Green Globes 2 Globes + 2 Menu Items	LEED Silver + 2 Menu Items **OR** Green Globes 3 Globes + 2 Menu Items
Market Rate Multifamily, over 80 ft. (including hotels)	LEED Silver + 1 Menu Item **OR** Green Globes 3 Globes + 1 Menu Item	LEED Silver + 2 Menu Items **OR** Green Globes 3 Globes + 2 Menu Items
20% Affordable Multifamily	LEED Certified + 2 Menu Items **OR** Green Globes 2 Globes + 2 Menu Items	LEED Silver + 1 Menu Item **OR** Green Globes 3 Globes + 1 Menu Item
INSTITUTIONAL **Hospitals**	LEED Certified + 2 Menu Items **OR** Green Globes 2 Globes + 2 Menu Items	LEED Silver + 2 Menu Items **OR** Green Globes 3 Globes + 2 Menu Items
Community Centers and Schools	LEED Certified + 1 Menu Item **OR** Green Globes 2 Globes + 1Menu Item	LEED Silver + 1 Menu Item **OR** Green Globes 3 Globes + 1 Menu Item
INDUSTRIAL **Hospitals**	Not Applicable	
COMMERCIAL **Retail over 10,000 square feet (footprint)**	Energy Star Roof + LEED Silver + 1 Menu Item **OR** Energy Star Roof + Green Globes 3 Globes + 1 Menu Item	25% Green Roof + LEED Silver + 2 Menu Items **OR** 25% Green Roof Green Globes 3 Globes + 2 Menu Items
Retail under 10,000 square feet (foot print)	LEED Certified + 1 Menu Item **OR** Green Globes 2 Globes + 1Menu Item	LEED Silver + 1 Menu Item **OR** Green Globes 3 Globes + 1 Menu Item
Office over 80 feet	50% Green Roof +LEED Silver + 1 Menu Item **OR** 50% Green Roof + Green Globes 3 Globes + 1 Menu Item	75% Green Roof + LEED Silver + 2 Menu Items **OR** 75% Green Roof + Green Globes 3 Globes + 2 Menu Items
Office under 80 feet	LEED Certified + 2 Menu Items **OR** Green Globes 2 Globes + 2 Menu Items	LEED Silver + 2 Menu Items **OR** Green Globes 3 Globes + 2 Menu Items

Note: Projects consisting solely of green roof, renewable energy equipment, rainwater harvesting or geothermal system installations shall be submitted to the Green Permit Program for processing.

APPENDIX E

MWRD PERMIT FLOWCHART

METROPOLITAN WATER RECLAMATION DISTRICT OF GREATER CHICAO (MWRD) WATERSHED MANAGEMENT ORDINANCE (WMO) PERMIT APPLICABILITY FLOW CHART



NOTES:

1. **This flowchart applies to all project locations within Cook County.** Refer to MWRD permitting web page https://mwrd.org/wpass for permit application process detaisl
2. To review the WMO, visit https://mwrd.org/watershed-management-ordinance-and-infiltrationinflow-control-program. MWRD will provide guidance regarding permit requirements through their permit determination process as noted on the web page
3. The Chicago Department of Buildings (DOB) regulates all construction work within the City of Chicago and an MWRD WMO permit is not required. However, DOB regulations include stormwater detention and volume control. **EOR must refer to Chicago Stormwater Tool to supply calculations needed.**
4. For Cook County locations outside of Chicago **the first contact needs to be to local municipality, to verify they have MWRD delegation**. If not, permit application is made to MWRD, with municipality as co-owner.
5. MWRD also regulates **Qualified Sewer construction which includes all sewers replaced or installed with a Metra project**. If local agencies have received delegation for enforcement of WMO from MWRD (note 3 above) they comply with those MWRD requirements, and no separate permit is needed from MWRD. Refer to MWRD's Sewage and Waste Control Ordinance.
6. Connection to an existing MWRD Interceptor refers to a new connection directly to one of their large-diameter intercepting sewers and **building sewer service connections to those are not allowed**. This type of permit is highly unlikely to be required for a Metra project.
   To determine location of MWRD Interceptors:
   a. In Chicago all Interceptors are found on MWRD atlases that would be supplied in the Office of Underground Coordination (OUC) Information Retrieval (IR) process.
   b. In areas within Cook County that are outside of Chicago, the location of Interceptors is likely remote from the Metra project. Sewer information available from the local municipality must be collected through the municipal Public Works office. MWRD atlases outside of Chicago may also be acquired through direct contact with MWRD.
7. MWRD regulates construction impacts to Flood Protection Areas (FPA) in Cook County. This includes regulatory floodplain, regulatory floodway, riparian environment, wetlands, and wetland buffers. **The presence, or lack of, an FPA within the project construction limits must be determined by the Engineer of Record**.

APPENDIX F

NAVIGATING OUC-EFP AND PROJECTDOX™

Appendix D
Plan Preparation Checklist

It is the responsibility of the Designer to complete and submit this checklist along with all required drawings for OUC (EFP) Review. All drawings submitted for OUC review must be in a scalable Autodesk Design Web Format (.dwf). AutoCAD users may create a DWF using the Public function within AutoCAD. Users of other design software may use the free Autodesk DWF Writer available from www.autodesk.com .

ALL SHEETS

1.	Complete sheet index block in the lower right-hand corner with the project OUC Number (initial submittal (20## - #####), project name, and sheet numbers.	☐
2.	Use appropriate symbols, cell library, and abbreviations from the *IDOT CAD Roadway Drafting Reference Guide* and *IDOT Highway Standards*.	☐
3.	Use standard plan sheet size of 22 inches by 34 inches with an 11 inch by 17 inch sheet scalable at a 50% reduction.	☐

COVER SHEET

1.	Complete sheet index block in the lower right-hand corner with the project OUC Number (initial submittal (20## - #####), project name, and sheet numbers.	☐
2.	Show title information in the top center of the sheet and include: Project route number, common name, street name, Location of improvement, and Type of improvement.	☐
3.	Show the graphic scales used on plans & profiles in the lower left-hand side of the sheet.	☐
4.	Provide a project layout map at bottom center of the sheet. Include on the map: Location of project, and north arrow, Beginning and end stations, Important intermediate stations, Prominent features, Names for special features, Route and street names, scale of location map, and Equation stations.	☐
5.	Provide the project gross and net lengths immediately below the layout map. Only include the mainline distances. Do not include length of intersection improvements.	☐
6.	Include the designer (company) name or Agency name. The drawings must be sealed, signed and dated by a Professional Engineer licensed in the State of Illinois.	☐
7.	Show the information for C.U.A.N. on the lower left hand side of the cover sheet.	☐
8.	Show the legend for symbols denoting existing and proposed features.	☐

Appendix D
EFP Plan Preparation Checklist

INDEX OF SHEETS, HIGHWAY STANDARDS, AND PLANS NOTES

1.	Completely fill out the sheet index (**Can be placed on cover sheet**).	☐
2.	Provide a list of all *IDOT Highway Standards* necessary to construct the project. Also, include the revision number (**Can be placed on cover sheet**).	☐
3.	Include all applicable general plan notes (**Can be placed on cover sheet**).	☐

TYPICAL SECTION SHEET

1.	Ensure that all applicable typical sections are provided, if necessary.	☐
2.	Note the title of the typical section and applicable stations directly below the typical section.	☐
3.	Ensure the following have been included on the typical section: Horizontal dimensions rounded to nearest 0.1 foot; Vertical dimensions rounded to nearest ¼ inch or ⅛ inch for resurfacing lifts; The profile grade line reference, if different from the centerline; Types and depths of surface, base, and subbase courses; and All other applicable notations.	☐
4.	Provide a table of base thickness where the base and subbase depths vary and include the applicable station limits.	☐
5.	Include all notes applicable to the typical sections.	☐
6.	Note all applicable pay items on the typical section.	☐
7.	Include the structural pavement design information.	☐

ALIGNMENT, TIE, AND BENCHMARK SHEET

1.	Provide the mainline plan and profile sheets first, followed by other plan and profile sheets as they appear along the centerline.	☐
2.	Plot a base map of existing facilities with a light, dashed line and the proposed facilities with a solid, dark line.	☐
3.	Provide the site and City benchmark data on this sheet and include the following information: Centerline station, Distance and direction from the centerline, Description of location, and Benchmark elevation.	☐

PLAN/PROFILE SHEET

1.	Ensure that all applicable typical sections are provided, if necessary.	☐
2.	Note the title of the typical section and applicable stations directly below the typical section.	☐
3.	Keep all notes brief, clear, and consistent.	☐
4.	Desirably, label the applicable stations in the lower right corner on each sheet.	☐

PLAN VIEW

5.	Show mainline stationing increasing from south to north and west to east.	☐
6.	Provide tick marks along the centerline at 100 foot intervals and note the station.	☐
7.	Use matchlines on sheet.	☐
8.	On projects where a coordinate system has been set up, show the coordinates for all control points.	☐
PLAN VIEW, cont.		
9.	Use a plan view scale of 1 inch = 20 feet if 1 inch = 50 feet is illegible.	☐
10.	For all control points along centerline, provide a 0.1 inch diameter circle on the centerline.	☐
11.	Place the horizontal curve data on the inside of the curve to which it applies. Present the curve data in accordance with the format and accuracy presented in the IDOT BDE Manual, Figure 63-4.D.	☐
12.	Show perpendicular lines from the centerline to the inside of the curve at all curve control points. Indicate the curve control point and station.	☐
13.	Where deflection angles are used, show the angle to nearest second of a degree. Include coordinates, if available.	☐
14.	Note all pavement widths at the beginning and end of each sheet and wherever there is a change in pavement width.	☐
15.	Provide a North arrow on each sheet.	☐
16.	Ensure station call outs are provided at: Beginning and end points of the project, Matchlines with other projects, Omissions from paving and station equations, 100 foot station increments, Horizontal curve points, Beginning and ending points of tapers, Construction limit locations, Right-of-way alignment breaks, Curb returns for entrances and intersections, Entrance centerlines, Special construction applications, Side street intersections, Permanent survey and right-of-way markers and Other necessary locations.	☐
17.	In plain view, show the existing and proposed right-of-way limits on the plans. Also incorporate the following: Dimensions of the properties, Property ownership lines, Property owner names, Temporary and permanent easement locations, Points where the control of access does not coincide with the right-of way line, Location of right-of-way markers	☐
18.	Show the existing site conditions and the proposed site improvements.	☐
19.	For entrances, show the following: The entrance type; The existing surface material type; The width of the intersecting facility; For intersections with public roads, the angle of intersection from the side road centerline to the mainline centerline; and Direction of drainage.	☐

20.	Properly label all additional constructed improvements.	☐
21.	Show the following for utility work: Each run of pipe between structures (manholes, catch basins, inlets, vaults, handholes, etc.); Pipe diameter, size and length; Centerline station; Direction and distance from centerline; Top of cover elevation; and Invert elevations for all pipes.	☐

PROFILE VIEW

22.	Show the profile of the finished surface along the centerline for the proposed facility.	☐
23.	Use the same horizontal scale as shown for the plan view. The vertical scale is typically 1 inch = 5 feet or 1 inch = 10 feet.	☐
24.	Show the existing ground line to the nearest 0.1 foot and existing pavement surfaces to the nearest 0.01 foot.	☐
25.	Show the vertical curve data above the profile line for crest curves and below the profile line for sag curves. Include the following vertical data for each curve: Small triangle at the VPI, Small circles (0.1 inch diameter) at all other vertical curve control points, The VPI station, including short segments of vertical tangents, vertical curve length, elevation at the VPI; and the "M" distance between the VPI and roadway surface.	☐
26.	Show tangent grades to the nearest hundredth of a percent (i.e., 0.01%). Use a "+" prefix for positive grades and "-" prefix for negative grades.	☐
27.	If not shown on the benchmark sheet, show the benchmark information on the top portion of the profile view.	☐
28.	Provide additional profiles, where necessary, for: Pavement edges, Drainage structures, Side roads, and Other situations.	☐
29.	For bridges within the project, show elevations for: Abutments, Piers, Low vertical clearance points, the high water level, and Stream bed.	☐
30.	Show the following for utility work: Diameter of pipe, Type of pipe, Length, Gradient (if applicable), Centerline station, Direction and distance from centerline, Device type and size, Invert elevations for all pipes, and Top of casting elevation.	☐
31.	Note all utilities where they cross the centerline and the type of utility.	☐
32.	Note all underground utilities within the right-of-way limits affected by the construction.	☐

Appendix D
EFP Plan Preparation Checklist

PAVEMENT RESTORATION SHEETS

1.	Show the limits of restoration for any openings made in the public way. Provide a demo plan if necessary.	☐
2.	Show project-specific details of restoration or standard restoration details found in this manual.	☐
3.	Show pavement marking details.	☐

TRAFFIC CONTROL & DETOUR PLAN SHEETS

1.	Determine which standards from these Regulations, the *IDOT Highway Standards*, and the MUTCD (Manual on Traffic Control Devices) are both applicable and the most stringent for the traffic control on the project.	☐
2.	Where necessary, provide plan view sheets showing: Temporary roadway horizontal alignment, Temporary pavement widths, Temporary traffic lanes, construction staging, Location of work zone signage, Temporary pavement markings, A narrative of work that should be performed during each stage, Routes into and out of the site, Typical sections for each construction stage, Traffic control standards for each stage, Temporary roadside safety layouts, General notes for construction, closures, time frames, accommodations for Public transit, bicycles, and pedestrians, etc.	☐
3.	Where necessary, provide the temporary roadway profile grade line on the profile sheet.	☐
4.	Where necessary, provide plan view sheets of the proposed detour route showing: The proposed location of the work zone, pedestrian access route, bicycle access route, Adequate warning for any added or revised local route stop conditions, Minimum travel width requirements for the detour route,	☐

EROSION AND SEDIMENT CONTROL DETAILS

1.	Determine which standards from the *IDOT Highway Standards*, DWM details, the Illinois Urban Manual, and/or NRCS details are applicable to BMPs (best management practices) for erosion and sediment control on the project.	☐
2.	Where necessary, provide any commitments or General Notes that relate to erosion and sediment control.	☐
3.	Where necessary, provide plan view sheets showing: Proposed construction staging, Location of environmentally sensitive areas, Location of erosion and sediment control items, and General notes for construction, pay items, etc.	☐

DETAIL SHEETS

Where necessary, the following details may be included:

1.	Intersection details which may include: Pavement elevations, Lane widths, Curb/Edge of pavement radii, Curb ramps, Turning radii for left-turning vehicles, Location of median noses and islands, Location of traffic signal equipment, Location of traffic signs, Pavement markings, and Construction joint layout.	☐
2.	Signing plans, where applicable.	☐
3.	Any special designs not covered in the *IDOT Highway Standards* or elsewhere in the plans.	☐

EXISTING FACILITY PROTECTION (EFP) AND DEEP FOUNDATION REVIEW (DFR) PROCESS

For projects that do not require the DFR process, begin the EFP process located at https://www.chicago.gov/city/en/depts/cdot/provdrs/construction_information/svcs/office_of_undergroundcoordination.html

Below are some helpful tips and instructions to navigate the ProjectDox™ system, the EFP application process, and the DFR process

1 BEGINNING THE EFP PROCESS

Click "Existing Facility Protection (EFP) Process". Click "Submit your Project Request Form." This will take you to an application platform called ProjectDox™.

Create an account if you do not have one. Once you create an account, start an application.

Be very descriptive in your application project description. Once you submit the application, you cannot change or edit any wording. If the reviewer returns the application and requires a better application description, you will have to start a new application and re-pay the application fee.

Once you have completed the application, you will receive an email request to begin uploading documents. The main document is the OUC Plan Set – a set of drawings showing your scope of work in relation to city right-of-way (ROW) and existing underground utilities. Additional documents may be required to be uploaded on a case-by-case basis.

1.1 TIPS FOR SOILS REPORT

In addition to the contents described in the CDOT DIM Geotech Review Guidelines "1.0 Geotechnical Investigation and Recommendation Report," the soils report should include:

- Key Map showing project location
- Plan showing proposed work and each soil boring location
- Soil borings
  - Boring depth should be equal to or more than the proposed excavation.
- Selected geotechnical values at each soil layer, based on the borings conducted. For example, if within 50 feet the boring went through clay, then soft clay, then sandy silt, then gravel, etc., geotechnical values must be provided for each level.
  - Hand calculations should be provided to show how values were derived.
  - The selected values must match the values used in the calculations.
  - There should be assumptions made for each layer of different soil.
  - The documentation of selected values should note which soil boring(s) were used to make these assumptions.
  - If the geotechnical engineer during design took soil borings but did not perform further analysis, the contractor designer for the DFR package will need to determine appropriate geotechnical values based on the borings as part of the project Means and Methods.
- For bridges, the following is also required:
  - Provide seismic parameters.

  - These parameter values should match on the drawings and calculations
- A table to show pile type, size, length, ultimate required bearing, allowable resistance, allowable uplift, and pile end bearing stratum
  - Hand calculations are required to show how pile capacities and bearing capacities were derived.
  - If the pile will terminate at soil or rock, bearing calculations at the rock and/or soil shall be provided to prove that the foundation bearing exceeds the pile loading.
- A table to show lateral loads at each elevation with different soil parameters.
- If there is a temporary earth retaining system (ERS) wall, then a Slope Stability Analysis is required.
- Hand calculations are required to verify Factor of Safety at each failure plane.

1.2 TIPS FOR DRAWINGS (OUC PLAN SET)

In addition to following instructions from "Section 2.0 Drawings" in the CDOT-DIM Geotech Guidelines, here are additional tips for completion of the OUC Plan Set:

- The drawing file shall be named "EFP-XXXXXX", where "XXXXXX" indicates the EFP number.
- All drawing sheets shall have the EFP number, as well as the PW number for projects going through a DFR review.
- All drawings shall have a page number in the format "Page xx of xx".
- All drawings shall have a PE stamp with expiration date. Ensure that the stamp's active dates will extend through the review period, as stamped drawings can be rejected at any point during the review if the stamp has expired.
- Include a standalone drawing showing the project area.
  - Shade the project area in a different color so it stands out and add a call out with an arrow stating, "This is the Area requesting OUC Review".
  - The shaded project/excavation limits shall have dimensions from any city ROW. Each ROW shall be clearly labeled, e.g. "North ROW Limit of 18th St".
- In the drawing sheets showing the project work, ALL existing utilities should be shown, with utility owner labeled.
  - If the excavation involves H-Piles, then the drawings shall show the piles going to elevation (-100) in the Elevation View. It is understood that the piles will not be constructed to (-100), but this ensures the project will be approved for the greatest depth possible
  - If a trench excavation is to be used, with an anticipated depth of 8 feet, show a depth of 11.5 feet instead. This ensures the project will be approved for the greatest depth possible.
  - These drawings are not "Issued for Construction" drawings. Their purpose is to show the OUC members the project area and its relation to their utilities so OUC can identify any conflicts.
- After completing the OUC plan set, have it reviewed by someone who has not been involved in the details of the project. Make sure that they understand the drawings without requiring additional explanation.
- Drawings must be submitted to OUC in DWF format. Drawings can be converted to DWF format from PDF format using Autodesk Design Review (https://www.autodesk.com/products/design-review/download). Open the PDF file in Autodesk Design Review, then save the document as a DWF file.

2 BEGINNING THE DFR PROCESS

2.1 PART 1 – INTAKE MEETING

At the intake meeting, Metra's team will meet with the DFR liaison to explain the project and go over the OUC Plan Set and Soils Report. Even though only the OUC Plan Set and Soils Report will be discussed at the intake meeting, it is expected that Metra will also have the DFR drawings and calculations ready to submit.

Prior to the intake meeting, all documents shall have been reviewed for accuracy and completeness and compliance with OUC guidelines. At the meeting, OUC/DFR will provide comments, including any required modifications to the OUC Plan Set and Soils Report. The comments are to be addressed subsequent to the meeting, followed by submitting the revised OUC Plan Set and Soils Report on Constructware™.

In response to the COVID-19 pandemic, OUC has moved its meetings online. As of April 2021, in-person meetings have not resumed. The online meetings use E-Take Meeting (see Appendix H for instructions). The DFR liaison will send an email with a date and time by which to email him the OUC Plan Set and Soils Report. Ensure the plan set and Soils Report comply with the guidelines to avoid delays.

OUC will review the OUC Plan Set and Soils Report that is submitted after the intake meeting. If it is approved, they will create "Step 1" on Constructware™ to upload the documents. If not, then additional comments will be provided.

When CDOT formally approves "Step 1" on Constructware™, "Step 29" will be created, at which time the EFP process can begin.

OUC will also create "Step 9" to submit the first Deep Excavation Review Package, which is one of the required review packages for the DFR process.

2.2 PART 2 – DEEP EXCAVATION REVIEW PACKAGE

The Deep Excavation (or "Deep Ex") Review Package requires the documents listed below, in the order listed – see Step 9 of the "Constructware™ Permit Applicant Point of Contact Guide" (Appendix F).

For each required document, the following section provides "lessons learned" from previous submittals. Do not include more documents than needed – the DFR liaison refers to these as "erroneous documents".

Prepare this package as if your audience knows nothing about your project or construction practices. The OUC saying is "If I have to ask a question, then it is not clear enough".

Deep Excavation Package 1 – Package Documents

Note that there may be multiple Deep Ex packages if OUC requires resubmittal of the package. In this case, subsequent packages will be referred to as "Deep Excavation Package 2," etc.

Certification Letter

This is a letter template stating that the submitter has read all instructions and that this submittal complies with all instructions. This letter must be signed by the Metra Project Manager, OUC Applicant Liaison (which can be the Metra Project Manager or another member of the project team), and the engineer-of-record for the drawings and calculations.

Checklist

The "Final Checklist" document will be uploaded by the DFR liaison on Constructware after all OUC members have commented on ProjectDox™. This process takes approximately 45 days after the EFP application is started.

Note that this document will not have been prepared in time for inclusion in the first Deep Ex Review Package, so for the first package, this document should be replaced by minutes from the intake meeting, which will be provided by the DFR liaison on Constructware™. The meeting minutes (or final checklist) include instructions for packaging and submitting the Deep Ex Review Package. Read each bullet carefully to ensure all required documents and information have been provided.

Table of contents

Include a table of contents (TOC) with the document. Make sure every page after the TOC page has a page number (in the "Page # of #" format) and the PW#. Be descriptive for each section title, and break out sections when necessary to make document navigation easy for the reviewer. For example, do not just make a tab called "Calculations," make tabs called "Temporary Bridge Foundation Calculations," "Temporary ERS Foundation Calculations," etc.

Written Approvals

The DFR liaison may request an additional letter stating that the project and submittal have been approved by the owner. If so, the required approval will be included in the intake meeting minutes.

Calculations

Only calculations that pertain to the underground, geotechnical aspects of the project should be included. For example, if the project is to install a sewer culvert, the drawings and calculations should be for the Contractor's means and methods excavation and ERS, not for the design of the culvert itself. As another example, for an H-Pile foundation bridge, the drawings and calculations provided should only be for the H-Pile load capacities and excavation procedures, not anything superstructure related.

The Checklist meeting minutes will list the specific calculations required by the DFR liaison. At the intake meeting, be prepared to ask any clarifying questions about the requested calculations.

Do not add "fluff" – get straight to the point and omit extraneous work. The calculations should tell the story in a simple and straight-forward way.

Provide a cover page with a short narrative of the included calculations to help the reviewer. The cover page should include the stamp of the Illinois Structural Engineer who signed the Certification Letter, including date signed and license expiration date.

Using computer programs such as L-Pile or Deep Ex for calculations is acceptable, but hand calcs or Mathcad calcs supporting the computer analysis are still required. OUC requires at least one hand calc for EACH typical case to verify the computer calcs. Clearly state in the first page of the narrative the case for which the calcs are provided. Do not leave it to the reviewer to assume; make it clear.

Do not include cut sheets with the calculations. These are required in a later part of the package.

Any drawings included in the calculations section MUST have an SE stamp.

If you are not performing some items listed in the guidelines because you do not think they apply, make a note of the omission in the calculations and provide 1-2 sentences with your reasoning. For example, dewatering calculations are required per the guidelines; if you do not think the contractor will encounter a need for dewatering, then provide justification such as "given soil investigation it is not anticipated that dewatering will be required, thus no dewatering calculations are provided."

Procedures

This is the narrative describing how the work will be performed. This must be VERY descriptive. Descriptions that are too general or not sufficiently detailed will be rejected by the DFR liaison.

For projects involving the installation of sewer pipe, make sure to note how much footage will be excavated at a time. Make sure this matches the length of the trench box. Note how many total linear feet of pipe and structures are to be installed.

Reference drawing sheet numbers when appropriate to help the reviewer connect specific parts of the narrative with the associated drawings.

Make sure to note that no workers will be permitted in an un-shored trench, when applicable.

Cut Sheets

For certain activities, cut sheets may be requested by the DFR liaison. Carefully review the CDOT-DIM Geotech Review Guidelines to determine whether cut sheets are required.

For a trench box excavation, the cut sheet will consist of the trench box product data. This requires an SE stamp guaranteeing the load capacities.

Deep Ex Related Plans Only

Ensure all drawings have an SE stamp.

Only Deep Ex related drawings should be included. For example, the submittal should not include the maintenance of traffic (MOT) drawing(s) or rebar table.

Be cautious in providing additional drawings to help tell the story. Give the plan set to someone who is not involved in the details of the project for their review. The plan set should stand on its own, without the need for clarifying questions.

These drawings must show the project as it will be built. Include elevations, dimensions, plan view(s), section views, etc.

Clearly show the excavation limits, using shading or color coding.

For utility installations, show more than just a line on the plan view. Show the utility as a rectangle with the width of the trench on the plan sheet, not just a utility line.

For an open excavation, show the excavation section view drawing. Up to 4 feet below working grade, excavations can be sloped at 1H:1V. All excavations deeper than 4 feet can be sloped 1.5H:1V.

The drawings should include a step-by-step procedure for the work that corresponds with the work description provided in the Procedures section. This can be in bullet point format.

Soils Report

Only include applicable information from the report (soil borings, key map, tables). The DFR liaison does not need the whole report. The whole Soils Report will be submitted in a separate folder in Constructware.

Compile all of the above documents, and submit the package on Constructware. Complete “Step 9” as described in Constructware.

WHAT HAPPENS IF THE DEEP EXCAVATION REVIEW PACKAGE IS REJECTED?

The DFR liaison generally takes 14 calendar days to review and respond to the package submittal. If you do not receive a response by the 14th day, it is appropriate to send the liaison a friendly request for an update. **Do not send an email for an update before the 14th day.**

The system will send an email notification once a response has been issued ("Step 38") with a request to resolve Deep Ex Review conflicts. Log into Constructware and download the Excel spreadsheet with DFR comments.

The DFR liaison requests a response within 7 days. There is no penalty for taking a little longer, but comments should be resolved as quickly as possible.

Read each comment carefully. Sometimes, there are multiple comments compiled in one "comment".

If a comment is unclear or requires clarifications, write the DFR liaison a descriptive email with the question and attach the Excel document. Attach pages from the Deep Ex Package for support if required, but do not attach the entire package.

If you disagree with a comment, write your disposition in the Excel document. Attach the Excel document to an email and include any PDF documents to support your case. DO NOT just resubmit with you disagreeing. This could cause a delay.

The DFR liaison is busy. After three days, it is appropriate to follow up with a brief email, along the lines of "just want to make sure you received my email". After seven days, it is appropriate to follow up with an additional email "asking thoughts on the disposition".

When addressing comments, always provide a response in the Excel document. Be concise and clear in the response. Indicate clearly where the change was made, for example, "Comment has been added on page xx of xx."

2.3 PART 3 – ADDRESS OUC EFP CONFLICTS

The EFP process will have continued while the DFR is underway. Once all OUC members have commented on ProjectDox™, the DFR liaison will create a "Final Checklist".

If any OUC members identified a conflict, the DFR liaison will create "Step 34.1" within Constructware for addressing conflicts. Once conflicts are addressed ProjectDox™, then complete Step 34.1. When resolving a comment, an OUC member may note an exception, meaning that their approval comes with conditions, which will be explained in that member's response. That member will have to be included in the "Utility Coordination Letter." If no conflict was identified, then Step 34.1 will not be created and the process can proceed.

2.4 PART 4 – COMPLETE LETTERS AND OUC FINAL PLAN SET

Step 39 (Letters) and Step 40 (Final Plan Set) can be submitted at the same time. Do not complete these steps until after the DFR liaison approves the Deep Ex Review Package (Step 38).

Step 39 – Letters Package

Required letters to any OUC members who identified an exception will be listed in the "Final Checklist" document. The DFR liaison will provide templates in Microsoft Word. Download the templates from Constructware and complete any required information. These will include commitments and certifications to be written and signed by the contractor. Metra may also need to provide written authorization if design elements do not meet certain OUC criteria.

Step 40 – Final Plan Set Package

Compile all the Deep Ex Review Package drawings and applicable OUC plan set sheets into the final package for review. The final plan set should not have any duplicate sheets, though the exact included

sheets must be determined by the submitter's judgement. The OUC will view this package as "issued for construction" drawings.

For example, keep the OUC Plan Set cover sheet; discard the OUC plan set sheet that shows the H-pile going to elevation -100 but keep the Deep Ex Review drawing of the H-piles.

The DFR liaison will take 14 days to review this package.

2.5 PART 5 – FINISH THE PROJECTDOX™ EFP APPLICATION

The DFR liaison is a reviewer on the OUC. While you will already have addressed all OUC members' comments, you must still "Revise and Respond" to the DFR liaison. The EFP cannot be approved until the DFR is approved.

Once the DFR liaison provides approval of Steps 38, 39, and 40, log into ProjectDox™ and respond to the DFR liaison as per the instructions he provides.

After responding, select the DFR liaison as a reviewer, and click "Submit" on ProjectDox™.

Once this is complete, email the DFR liaison and copy the EFP contact and Project Manager to inform them that the last step for the OUC Application has been completed. Include the EFP # and PW # in the email.

City of Chicago
Department of Transportation
Division of Infrastructure Management
Office of Underground Coordination

UNDERGROUND FACILITY REVIEW

Requesting a Project Review

19 September 2019
Rev. 16 October 2019

Table of Contents

OVERVIEW:

The Office of Underground Coordination (OUC) is a distribution agency within the Chicago Department of Transportation, Division of Infrastructure Management (CDOT DOIM), for all requests regarding existing utility information (Information Retrieval – "IR") and the review/ approval of construction work in or adjacent to the Public Way (Existing Facility Protection – "EFP"). Per section 2-120-300 of the Municipal Code of Chicago, the Office of Underground Coordination (OUC) is responsible for the protection of the City's surface and subsurface infrastructure from damage due to planned and programmed construction, installation and maintenance projects. The intent of OUC membership is to review proposed projects in or adjacent to the right of way prior to construction so that there is minimal damage to existing infrastructure.

The OUC is made up of 28 utility members (both public and private agencies) which review construction documents to determine the effect on existing facilities and determine any adjustments and/or relocations that will be necessary.

Abovenet/Zayo Communications Inc
AT&T – Illinois/SBC
AT&T – Local Network
Bureau of Forestry
CDOT – Division of Electrical Operations
CDOT – Division of Engineering
CDOT – Division of Infrastructure Management
CDOT – Division of Project Development
CDOT – Red Light Camera
Chicago Park District
ComCast
ComEd – Distribution
ComEd – Transmission
Crown Castle
CTA – Engineering
CTA – Traffic
Department of Water Management – Sewer Section
Department of Water Management – Water Section
Digital Realty Trust/Lakeside Technology Center
Enwave Chicago
JC Deaux North America
Level 3 Communications/CenturyLink
MCI
Mobilitie LLC
MWRD
Peoples Gas
RCN
Wide Open West

There are three types of reviews that are conducted.

1. Information Retrieval (IR) to determine what type of underground facilities are present in a given area
2. Existing Facilities Protection (EFP) reviews are conducted to determine impacts on underground facilities due to a proposed project. Plans are revised until all utility members with impacted underground facilities approved the design. The City will not issue a public way permit until EFP approval

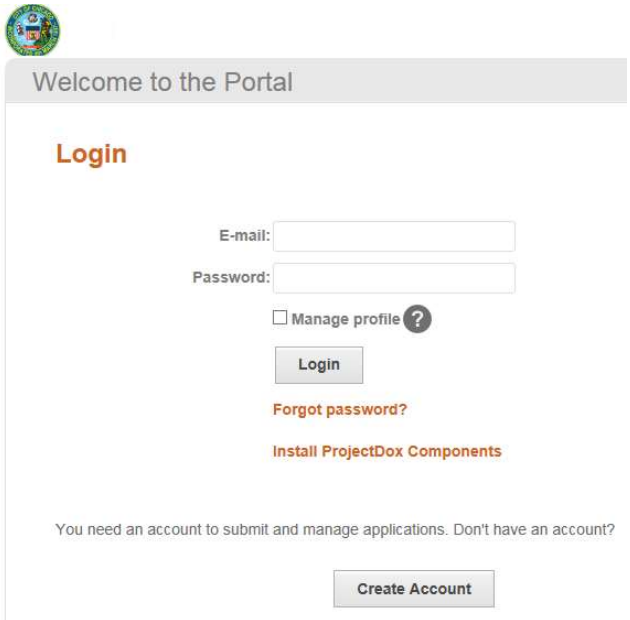
3. Vacation/Dedication (V/D) reviews to determine if an underground facility needs to be moved (or easement provided) and at what cost when public right of way is sold to a private developer

OUC approvals are valid for 1 year outside of the Central Business District (CBD) and 6 months within from the response required date. For OUC purposes the CBD is defined by Division Street on the north; Lake Michigan on the east; Cermak Road on the south; and Halsted Street on the west.

LOGGING INTO THE APPLICATION:

The OUC review software (ProjectDox® developed by Avolve Software) is accessible through any internet browser. However, it is recommended that Microsoft's Internet Explorer is used when marking up drawings.

To start the process you will need to go to the City of Chicago's Department of Transportation web site and follow the instructions located under the section labeled https://www.chicago.gov/city/en/depts/cdot/provdrs/construction_information/svcs/office_of_undergroundcoordination.html or access the application directly at https://oucplanreview.chicago.gov/. Each company may elect to save the link as a **Favorite** or desktop shortcut for quick access. The following screen will appear:



New Users:

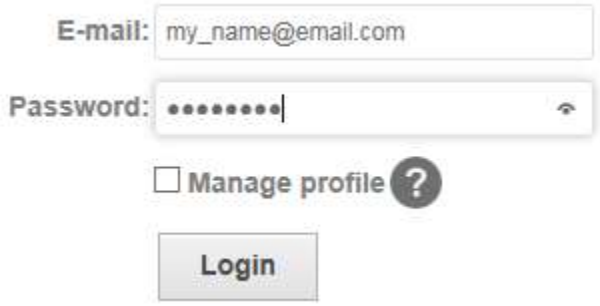
If this is the first time you are requesting a review you will need to create an account. Click on the **Create Account** button to proceed. The following form will be generated:

Note: Throughout the system, required fields are marked with a red asterisk.

When done click on the **Create my Account** button to submit your request for access to the system. You will be notified by email once the request is approved.

Existing Users:

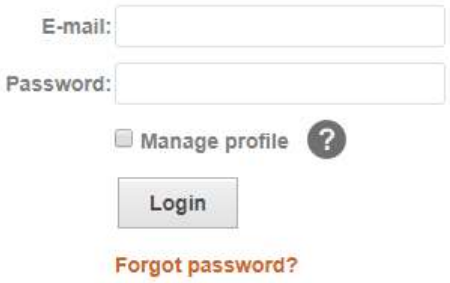
If you already have a user account, you can log into the system by entering the email address you registered with and the password you had set up.



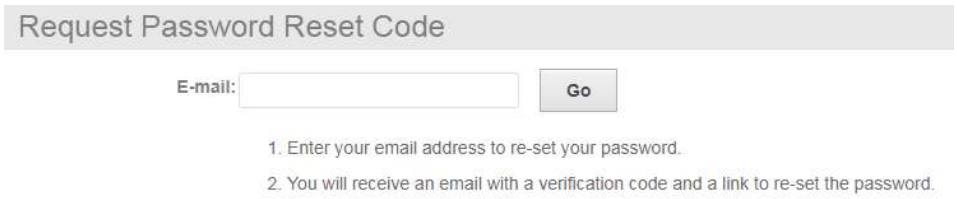
Click on the **Login** button to proceed

Forgot Your Password:

If you are an existing user but forgot your password, you can have your password reset by clicking on the **Forgot password?** link below the Login button.

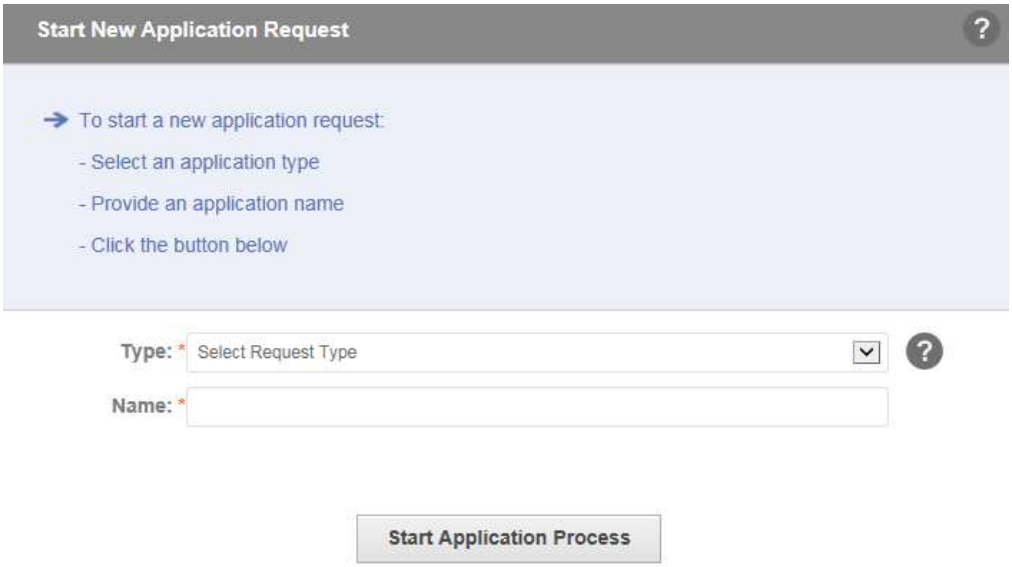


You will be asked to enter your email (previously saved in the system) and a verification code and link to reset your password will be emailed to you.



BEGIN AN APPLICATION REQUEST:

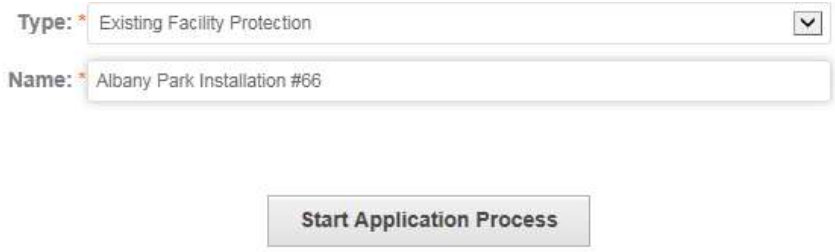
To start a new application, select the type of review (IR or EFP) from the drop down next to **Type** box and enter a project name in the **Name** field (the project name will be used by your company to identify the request).



Use the drop down it the **Type** field to select the review type you are requesting:

and in the **Name** field type a unique name for the project (if the name has been utilized you will be directed to type a new project name)

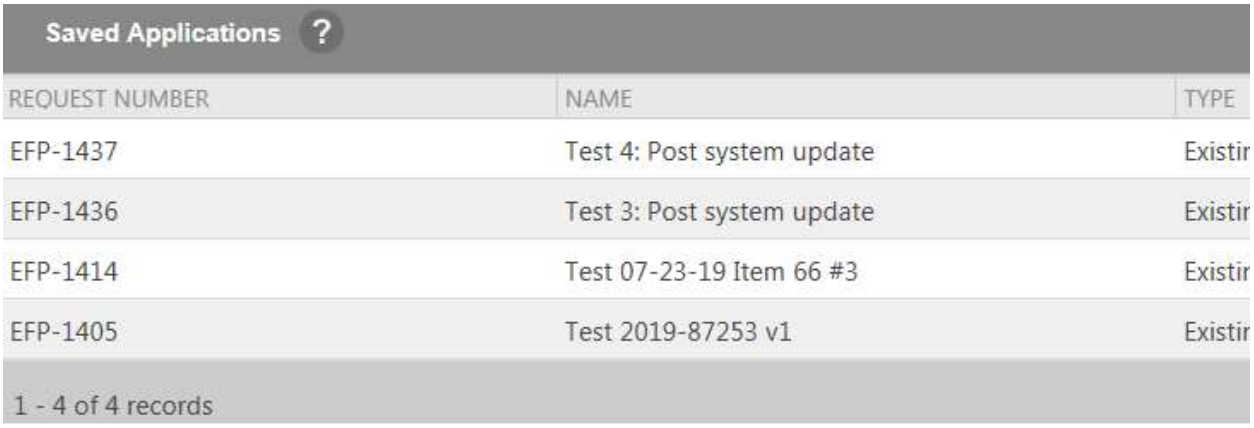
Note: for the purpose of this document the EFP process will be used. The basic processes discussed will be the same for all review types



Click on the **Start Application Process** button to proceed.

Saved Applications:

At any time during the application process you can click on the Save button and exit the process. When you are ready to proceed you can find all your saved applications under the Saved Application section of the launch page.



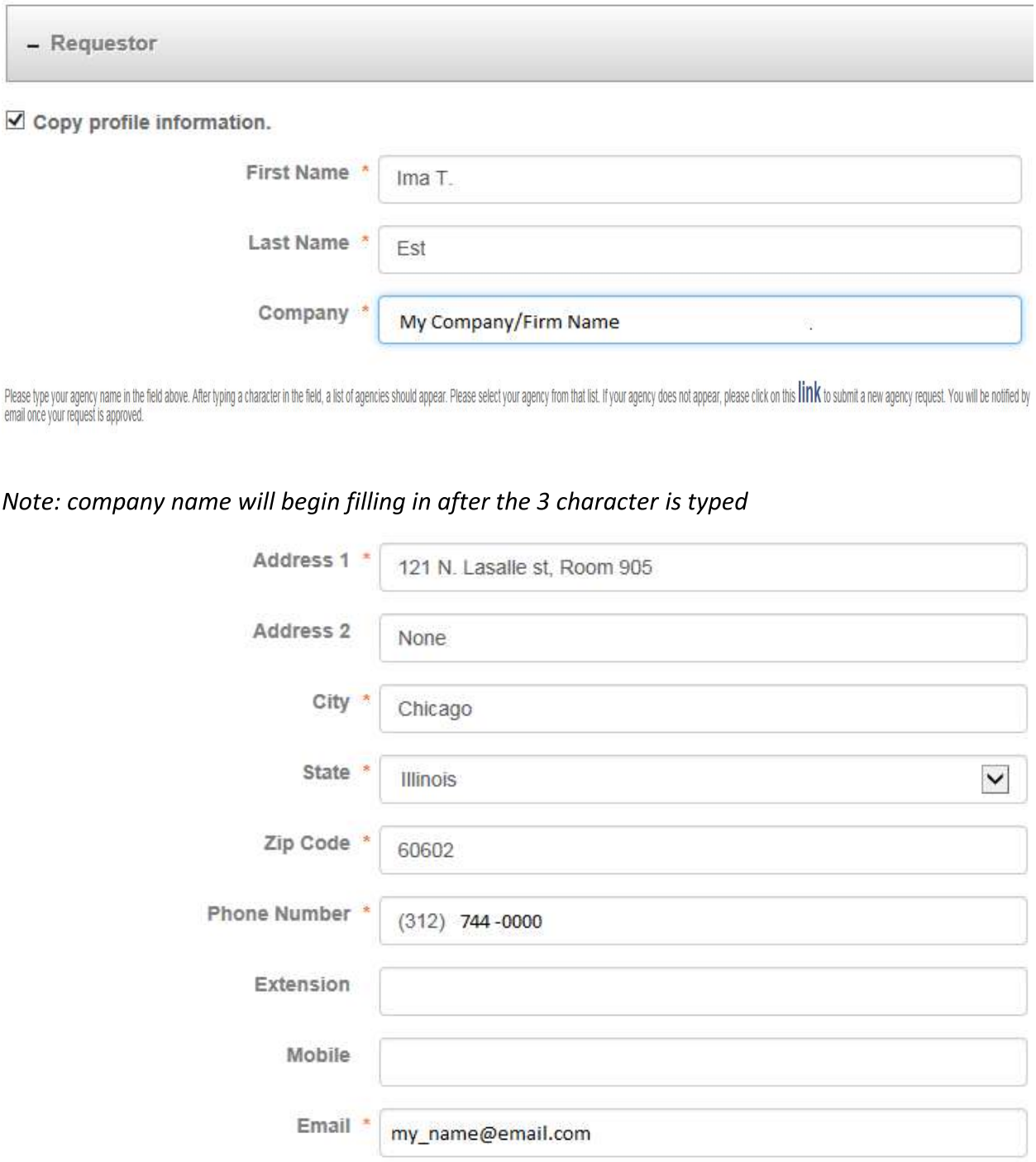
Application Form:

The OUC application form will appear. You will need to fill out each section in order for your request to be processed.

Requestor Section:

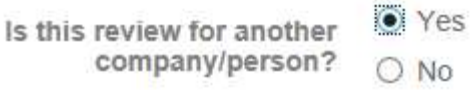
Fill in information about the person/company submitting the request and, if applicable, the company the request is being submitted on behalf of.

You can enter information in each field, or you can use the information from your profile (click on the **Copy profile information** checkbox) to populate the fields.

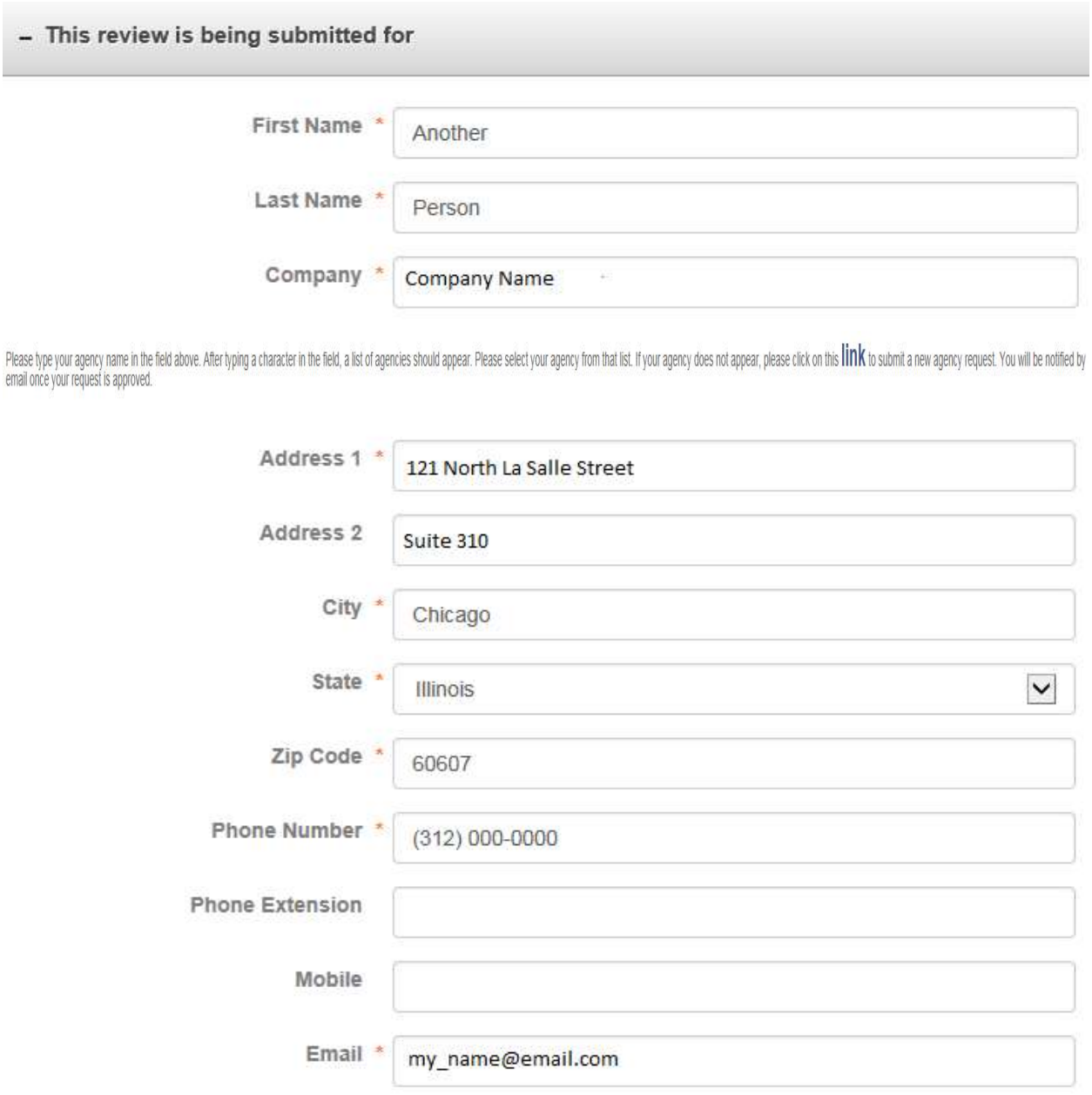


Note: company name will begin filling in after the 3 character is typed

If you are submitting the request on behalf of someone else select **Yes,** otherwise proceed to the next section.



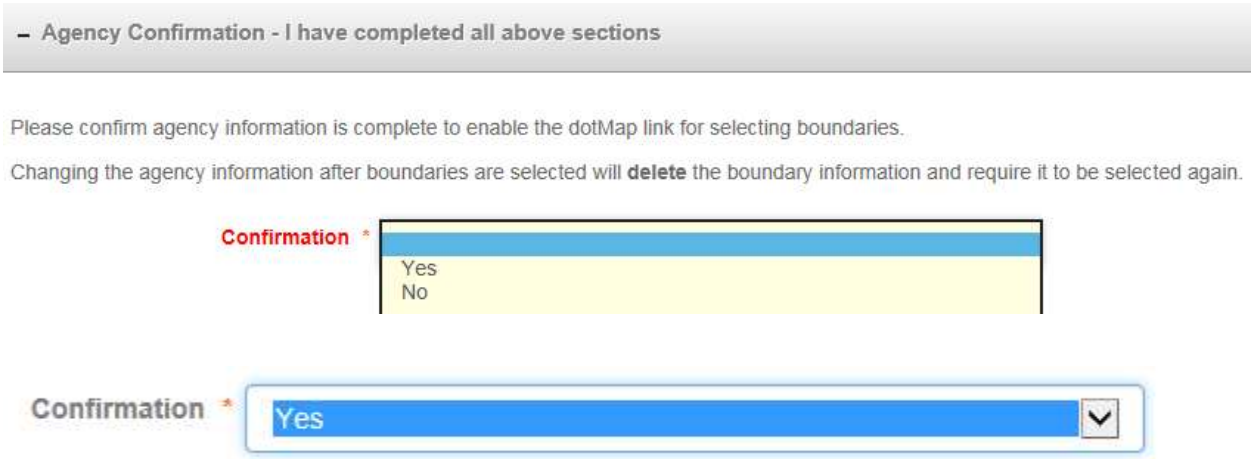
If you selected Yes for the "review for another company/person" question fill out information about the company, you are requesting on behalf of.



Note: As you complete each section the section header status (left side of header) will change from INCOMPLETE to COMPLETE

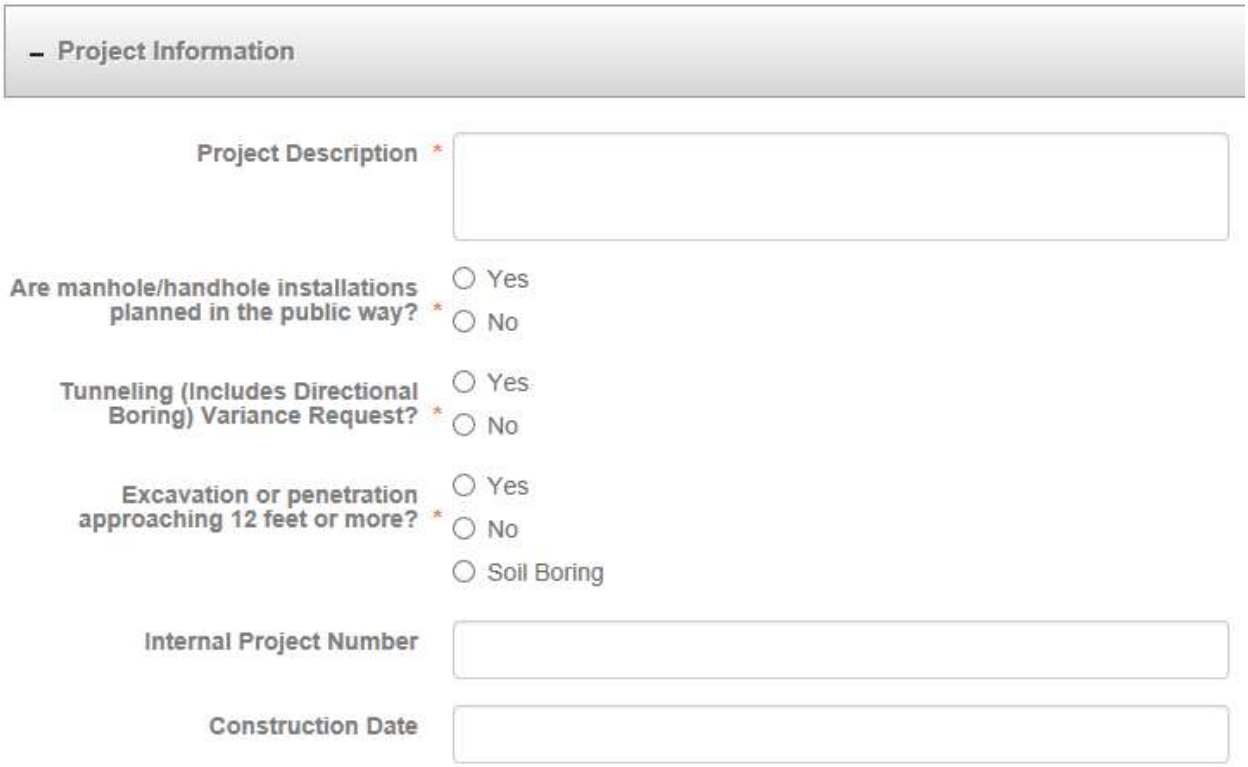
Agency Confirmation Section:

You will need to confirm the information you entered in the Requestor Section is accurate. Use the drop down next to the Confirmation field to confirm the information entered.



Project Information Section:

Fill out the basic information about what your project entails.



Note: Based on the answers provided additional questions may appear.

Project Description * Installation of conduit in the Albany Park neighborhood of Chicago.

Are manhole/handhole installations planned in the public way? *
- (•) Yes
- ( ) No

Number of Manholes * 1

Please upload manhole/handhole justification letter with plans.

Tunneling (Includes Directional Boring) Variance Request? *
- ( ) Yes
- (•) No

Excavation or penetration approaching 12 feet or more? *
- (•) Yes
- ( ) No
- ( ) Soil Boring

Do you have one of the following? *
- (•) CDOT GeoTech Project Number
- ( ) Department of Building Application Number
- ( ) Neither

CDOT GeoTech Project Number * Assigned project number

Internal Project Number My company's internal number XX-XXXX

Construction Date 12/25/2019

dotMap Section:

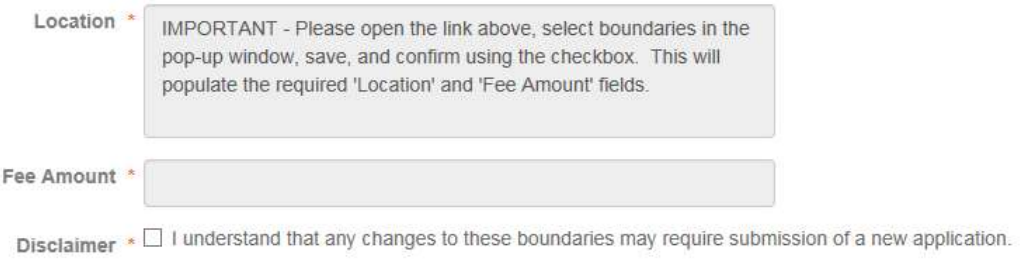
Use this section to provide the location(s) of your project.

– dotMap Selection

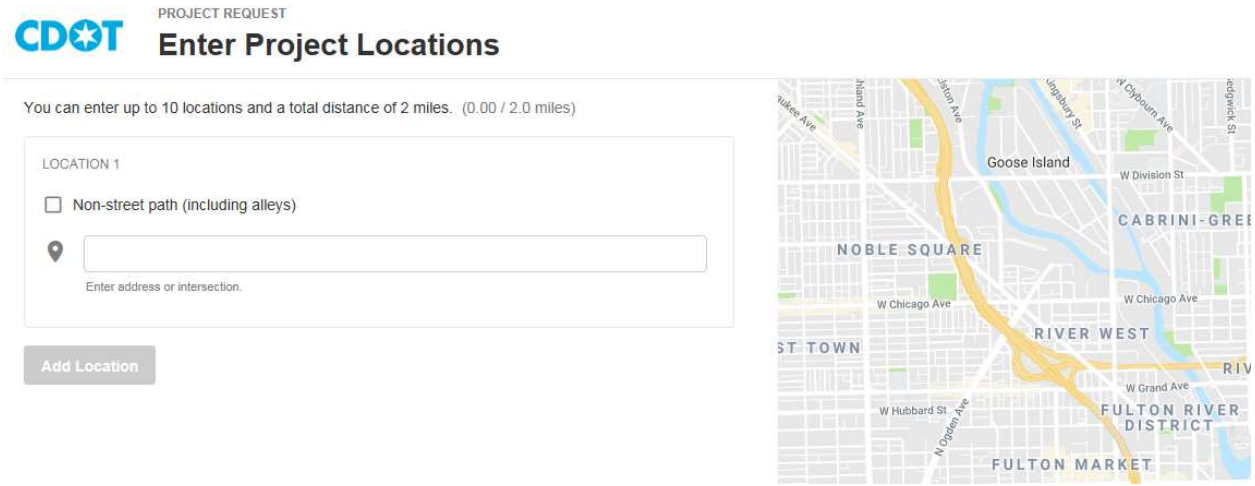
Open DotMAP to Select/View Project Boundaries

Confirmation * ☐ I have selected the location/area in dotMaps using the link above.

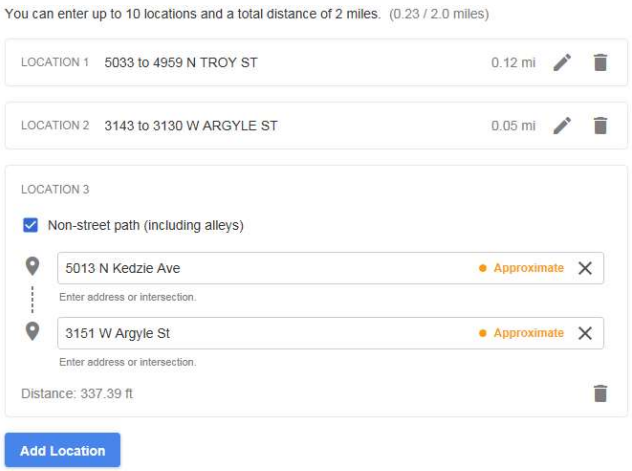
dotMap link will redirect to view only page after confirmation.

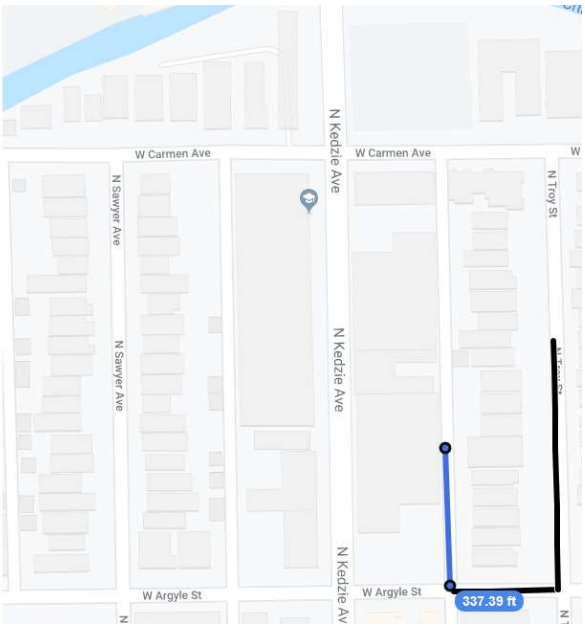


Click on the **Open DotMAP to Select/View Project Boundaries** hyperlink. A new window will appear where you can enter your project locations.



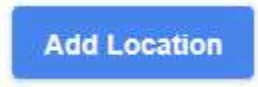
Note: You can enter up to ten locations totaling no more than two miles



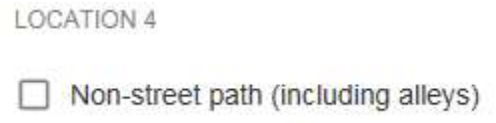


Initial entries are single point to add a segment click on the **+ Add End Point** button.

To add additional locations, click on the **Add Location** button.

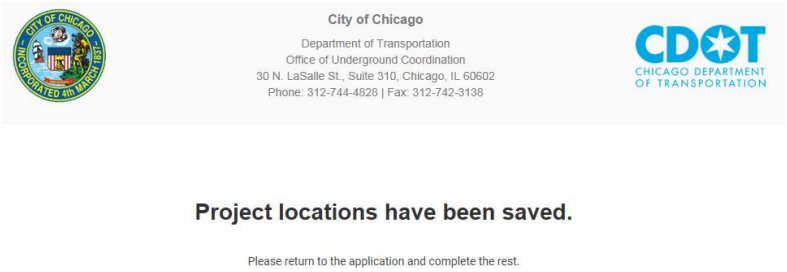


If you are adding a location other than a street (e.g., an alley) click on the **Non-street path** box



Once all the project location(s) have been entered, click on the **Save** button located on the top right of the form

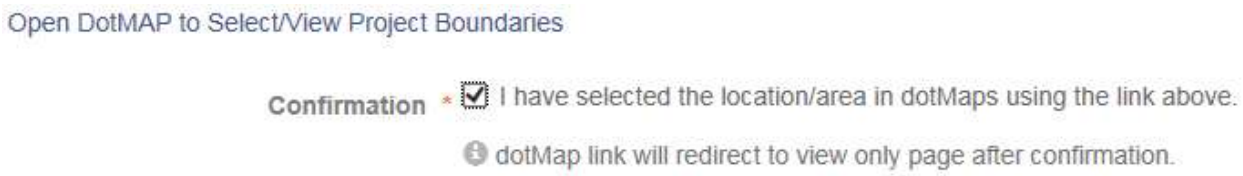
A message will appear informing you that the locations have been saved.



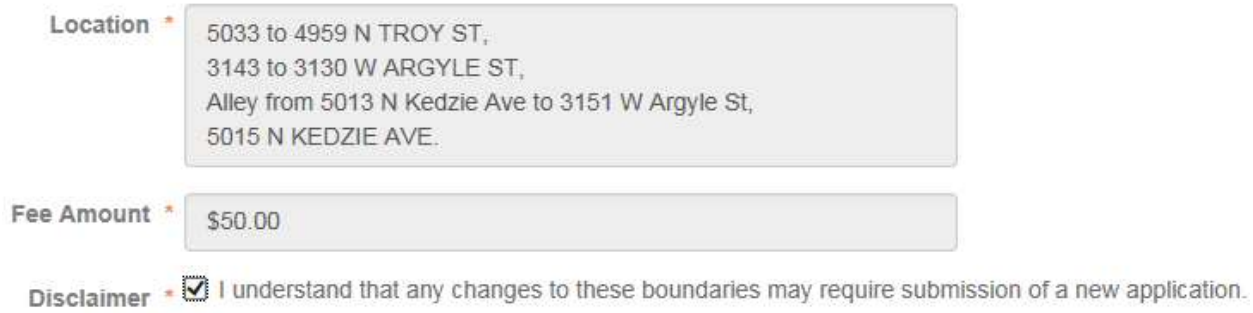
You can close the location window and continue filling out the dotMap Section

Note: For IR reviews you will have an option of drawing a boundary of the containing the proposed project (See Appendix III)

Next click on the **Confirmation** box to indicate you have entered the project location



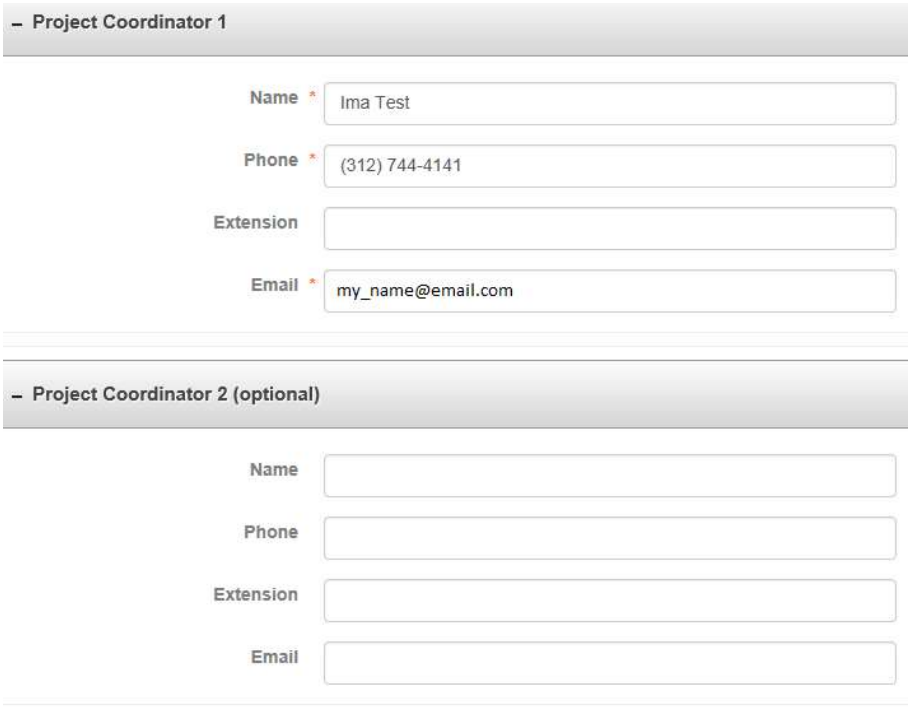
Click on the **Disclaimer** button to indicate that you understand that changes to the project locations may require a new project submission.



The project location(s) will appear in the Location box and any review fees (OUC members are not charged, non-members are charged a $50 review fee) will show in the fee box.

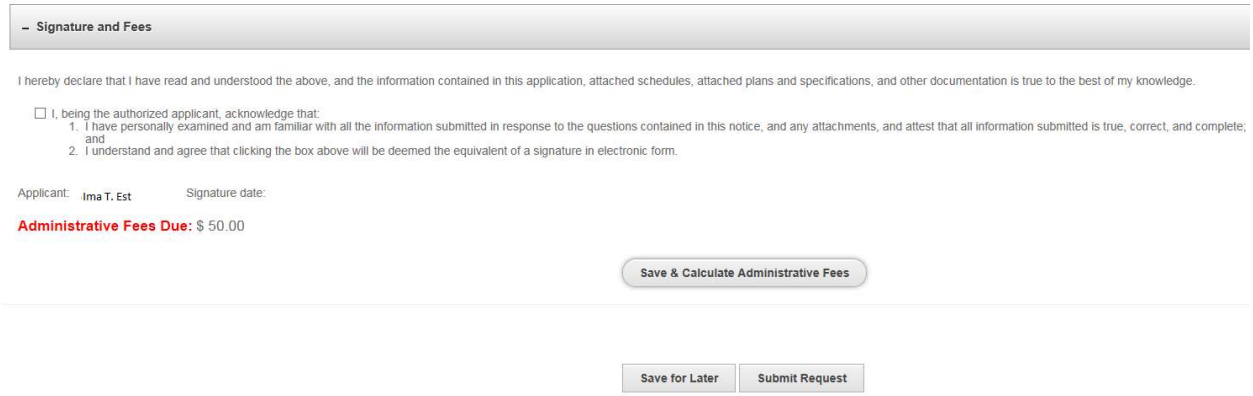
Project Coordinator Section:

Enter the Name, phone number and email for the Project Coordinator. You can enter up to two coordinators.

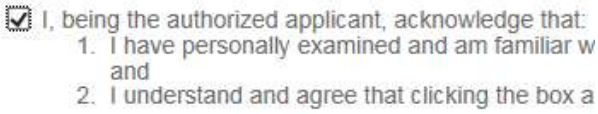


Signature and Fees Section:

E-sign the project review request to certify that to the best of your knowledge the information provided is true and accurate. The section is also used to generate the review fee for non-OUC members. Upon submitting the request, you will be transferred to the City's on-line payment portal where you can pay the fee either by e-check or credit card. The review will not proceed until payment is made.

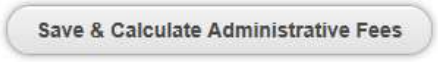


Click on the Checkbox to indicate the information is correct



This action is date and time stamped

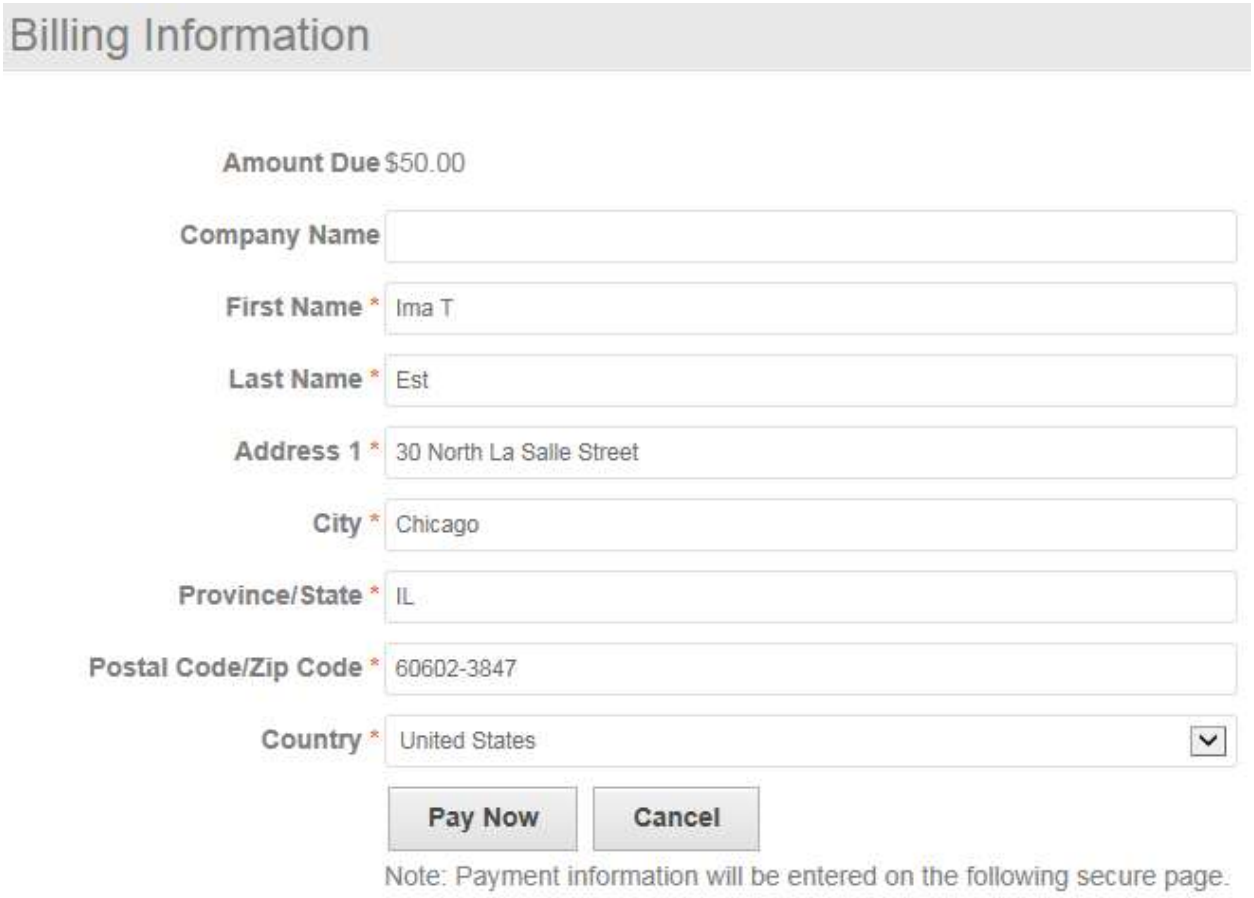
Next click on the **Save & Calculate Administrative Fees** button (you will need to perform this step even if you are an OUC member).



Finally click on the **Submit Request** button

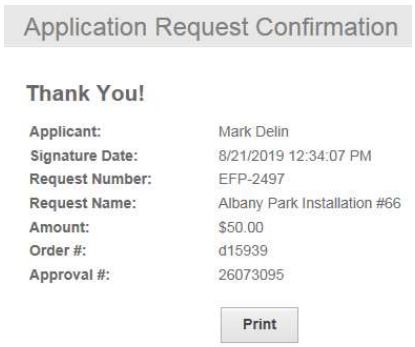
Administrative Fee Payment (for non-OUC members):

A screen showing billing Information will appear.



If the information is correct click on the **Pay Now** button, otherwise correct before clicking the button. -After hitting the pay now button you will be directed to City's on-line payment portal (see Appendix I).

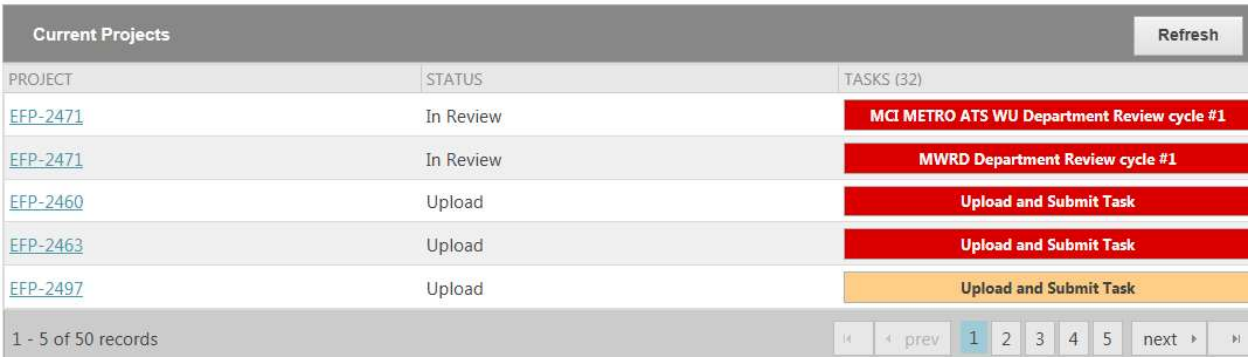
Once payment has been made (for non-OUC members) or the submittal completed (for OUC members), a confirmation will be provided. Please retain for your records (you will need this for your next steps).



Click the **Home** icon to return to the project launch page.

Current Projects:

The Current Project section shows all your reviews, status and outstanding tasks.

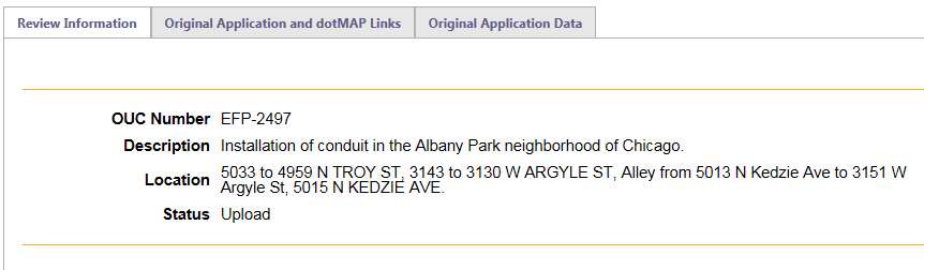


Upload and Submit Task:

Find your review request in the Current Project section and click on the **Upload and Submit Task** button. A form will pop-up with several tabs. Note: the top section of each tab will have unique information and the remaining section appear on each of the tabs

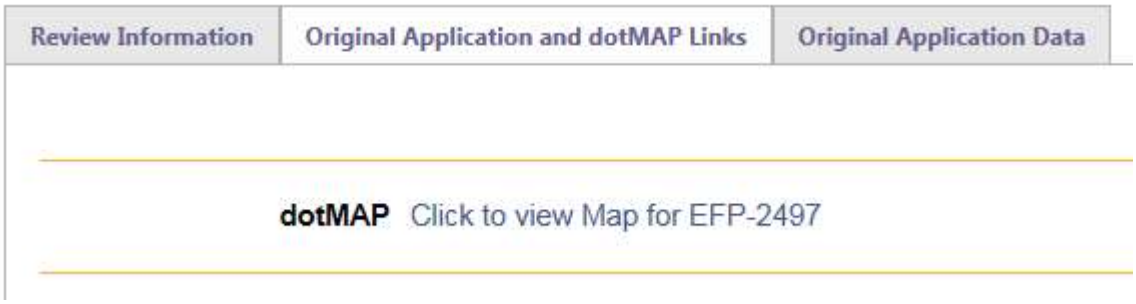
Review Information Tab:

This section contains basic information about the review

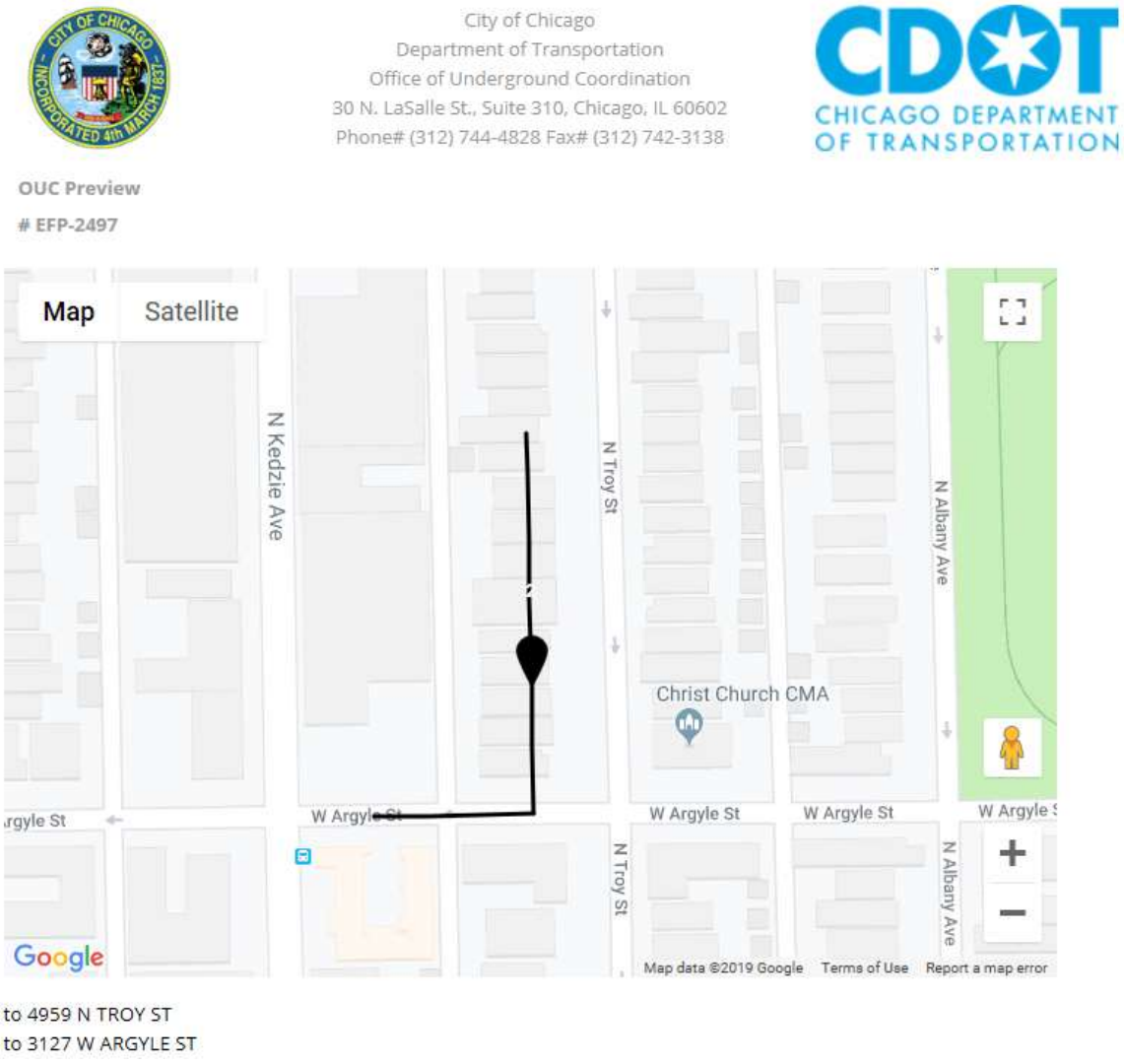


Original Application and dotMAP Links Tab:

This section contains a link to dotMaps where you can view a map of the project locations



Click on the map link to see a visual of the project locations



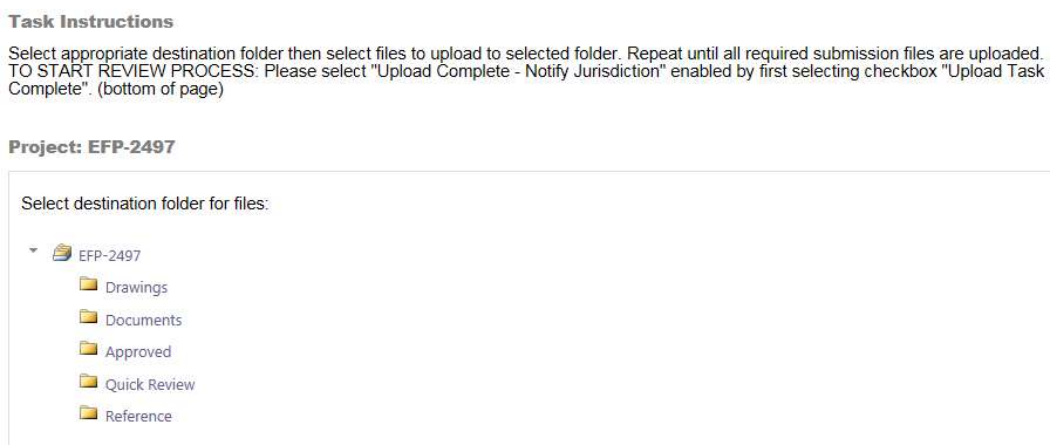
1: 5033 to 4959 N TROY ST
2: 3143 to 3127 W ARGYLE ST

Original Application Data Tab:

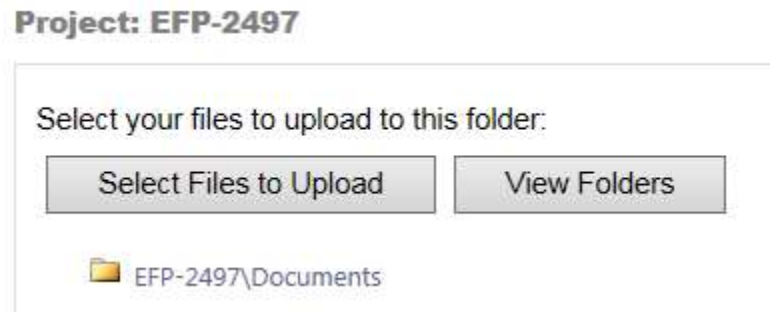
This section contains basic information entered on the OUC request form

Project Upload Section:

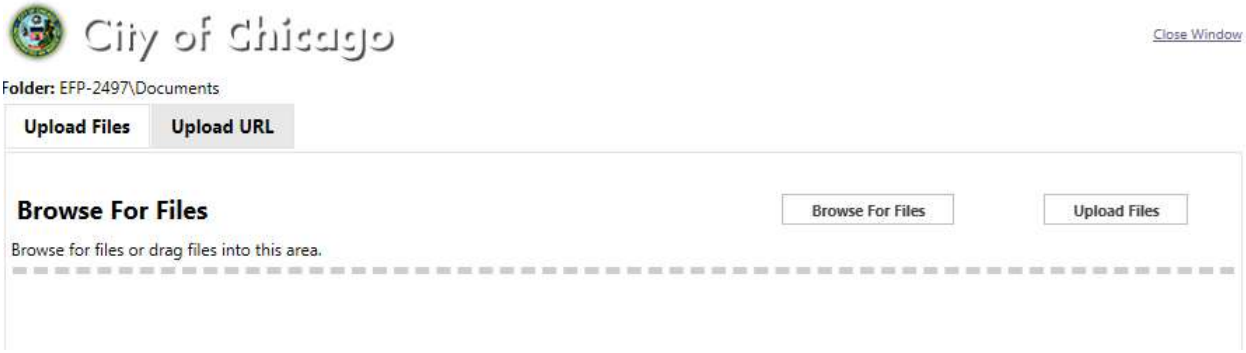
You can upload documents from any tab. The upload process is similar to saving documents on your PC.



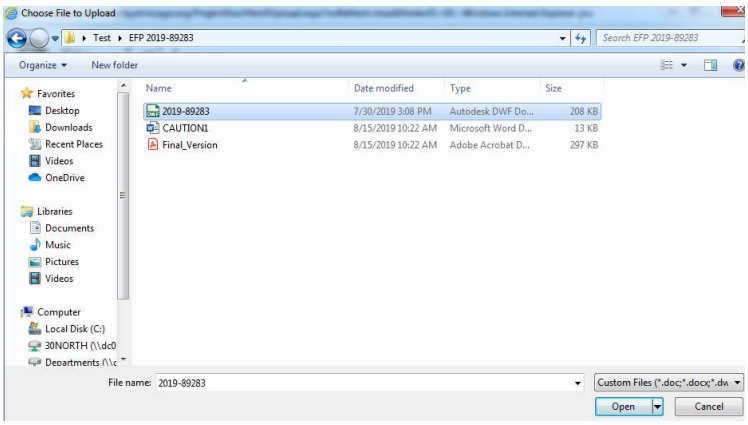
Click on **Destination** folder for the drawing or document you want to upload for the review



Click on the **Select Files to Upload** button

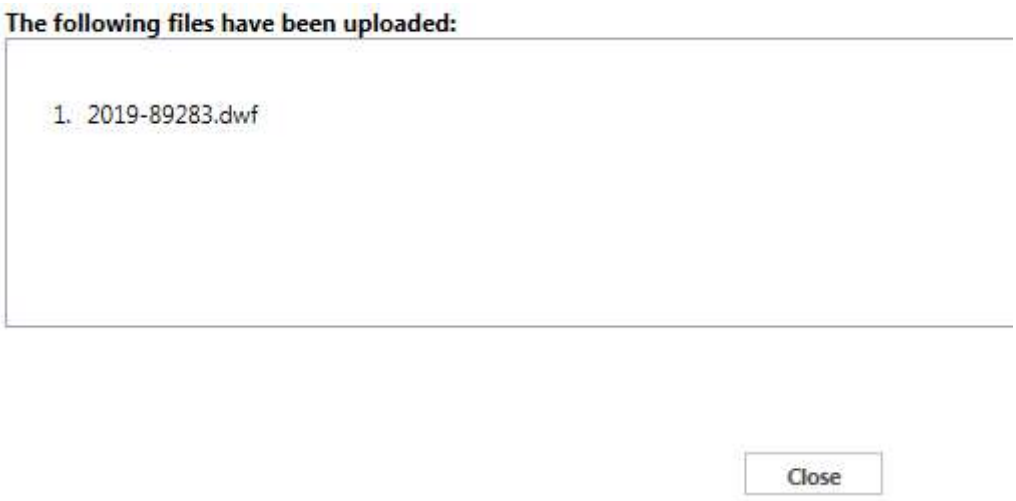


Click on the **Browse for Files** button to select files to upload from your hard drive or network drive (you can also drag and drop your files)



Click on the **OPEN** button

Click on the **Upload Files** button to upload your selected files(s)



Click on the **Close** button

To load documents into a different folder, click on the **View Folders** button and repeat the procedure.

Add or Remove Group Members:

You have the ability to add (or remove) members of the group who can view or edit this specific project request.

To invite a user to the project:

1. Type the user first name in the field labeled First Name
2. Type the user last name in the field labeled Last Name
3. Type the user email in the email field (the user will be notified by email of the invite)
4. Using the drop down in the Invite to Group field indicate if the user will have view only rights or can perform edits (Applicant)

5. Click on the **Invite User** button

To remove someone from the group

1. Using the drop down in the Remove from Group field indicate if the user has View or Applicant rights

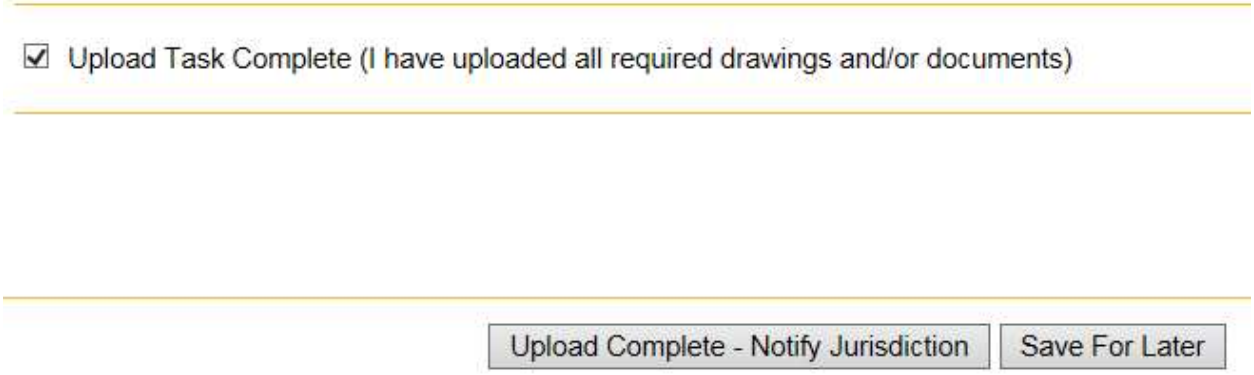
2. Using the drop down in the User field select the user you wish to remove

3. Click on the **Remove User** button

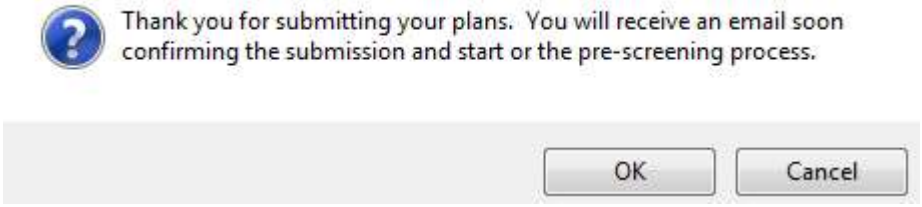
Upload Task Complete:

To complete the task, you will need to click on the **Upload Task Complete** checkbox

Click on the **Upload Complete – Notify Jurisdiction** button to complete your submittal



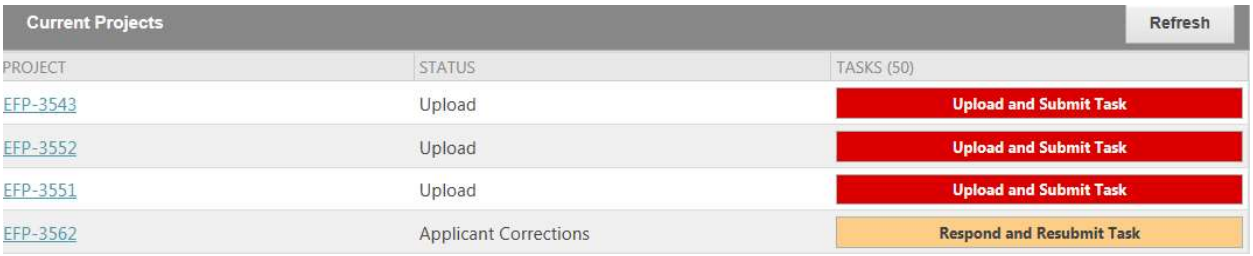
The following message should appear



You can log out of the application by clicking on the Logout icon on the top right of the form

REVIEW AND RESPOND TO COMMENTS FROM OUC REVIEWS:

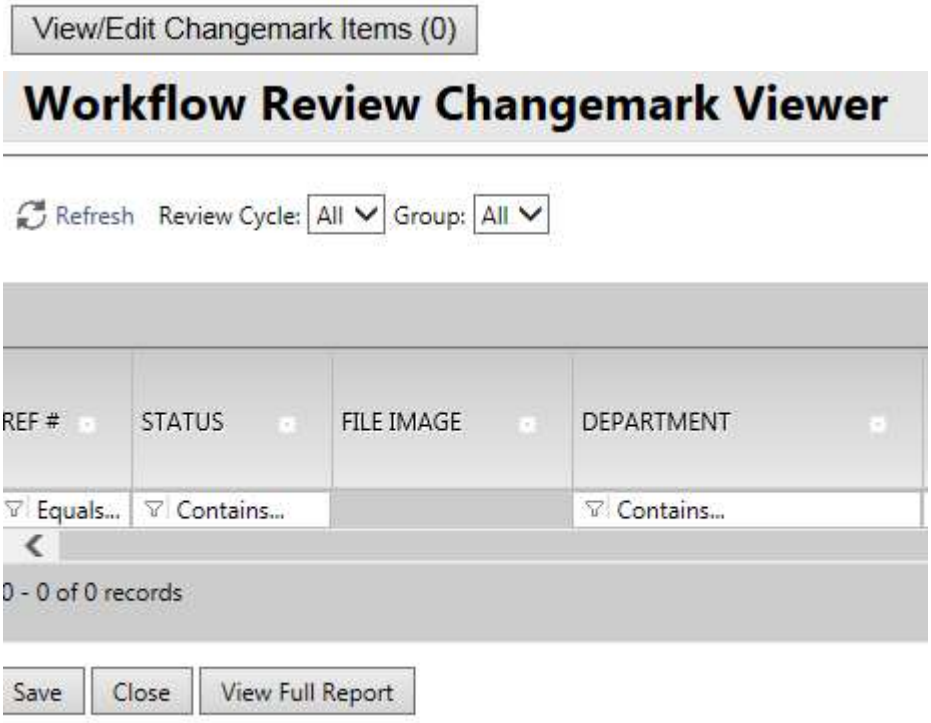
Login and search for your project request



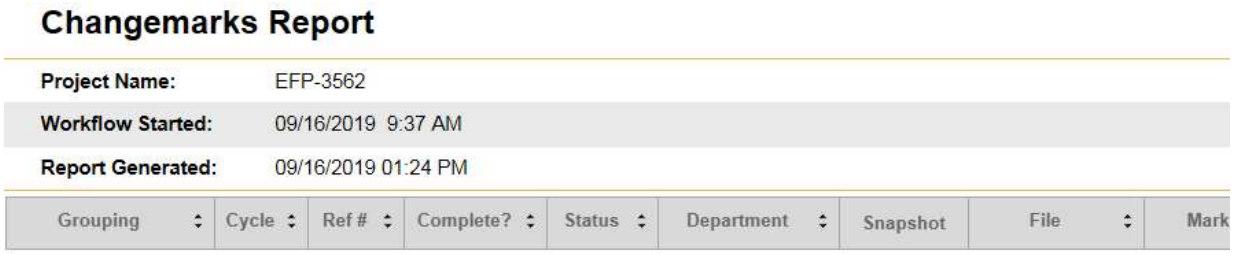
View Comments:

Click on the **Respond and Resubmit Task** button

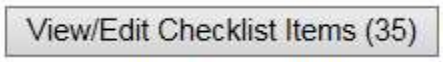
If there were any Chagemarks you can view them by clicking on the **View/Edit Changemark Items** button

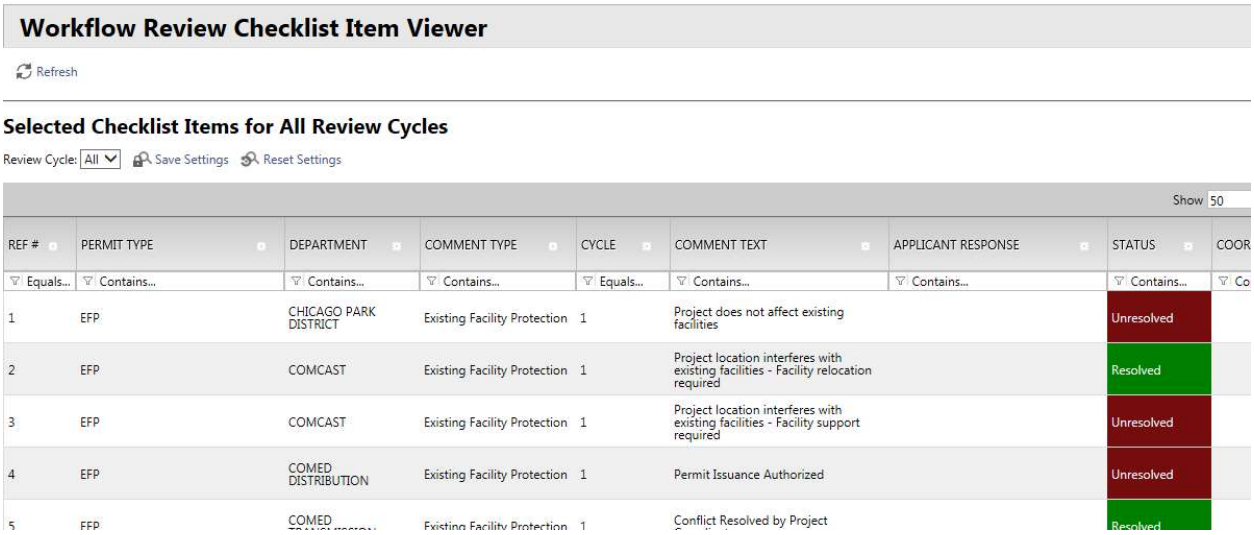


Click on the **View Full Report** button to generate a report showing all Changemarks



Can view the Checklist Items by clicking on the **View/Edit Checklist Items** button





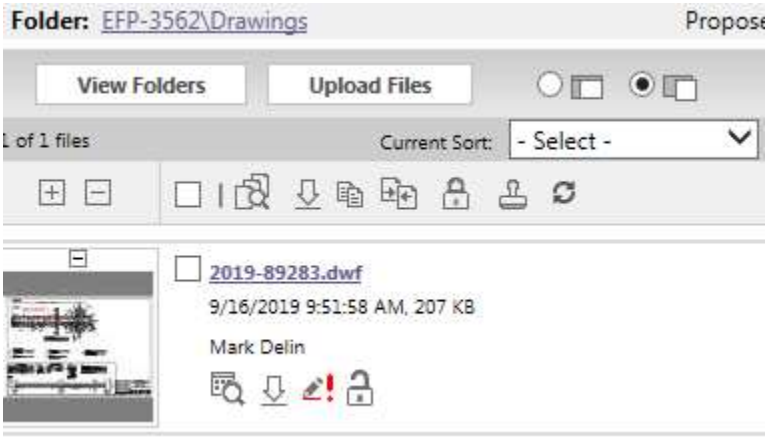
Click on the **Close** button to return to the form

You can view any uploaded drawings or documents by clicking on the appropriate folders and document

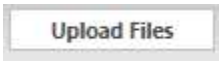
Respond to Comments:

Click on the Project

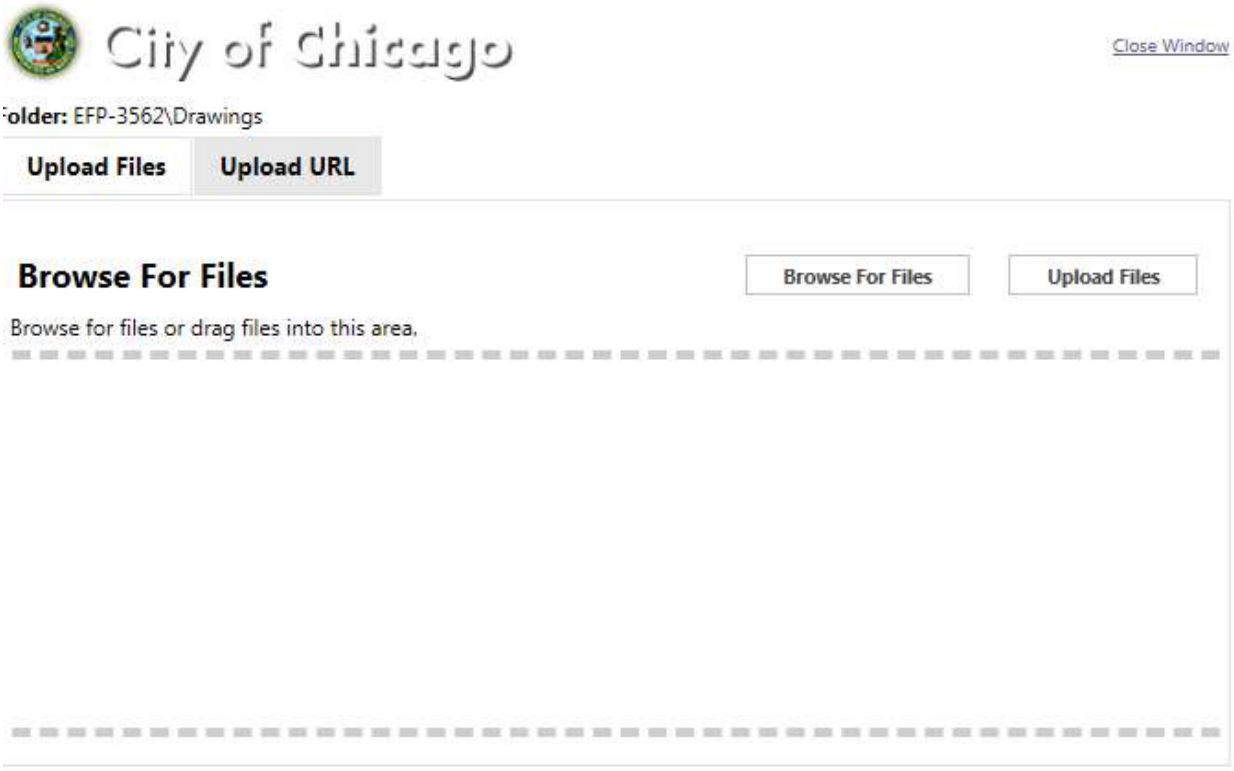
and click on the folder you wish to upload any new documents to



Click on the **Upload Files** button



And the upload screen will appear (see page 23 for instructions on how to upload files)



To respond to comments, click on the **Respond and Resubmit Task** link

Scroll down the form until you see a listing showing the responses and comments from the reviewing agencies:

Department	Reviewed By	Status	Reviewer Comments	Applicant Comments
WIDE OPEN WEST	Jai DeptReview jai.deptreview@cityofchicago.org	Approved - Permit Issuance Authorized	WOW not involved	
ATT ILLINOIS SBC	Sheetal DeptReview Sheetal.deptreview@cityofchicago.org	Approved with Conditions	Facility support needed	
ATT LOCAL NETWORK	Sheetal DeptReview Sheetal.deptreview@cityofchicago.org	Approved - Permit Issuance Authorized	N/a	
BUREAU OF FORESTRY	Sheetal DeptReview Sheetal.deptreview@cityofchicago.org	Conflict - Corrections Required - Permit Issuance Not Authorized	Need BOF permit and Fee	
CDOT DIM PCO	George Keck gkeck2@cdotutilitypmo.org	Approved with Conditions		

You can enter a reply to the reviewer comments in the **Applicant Comments** field to the right of the reviewer comment

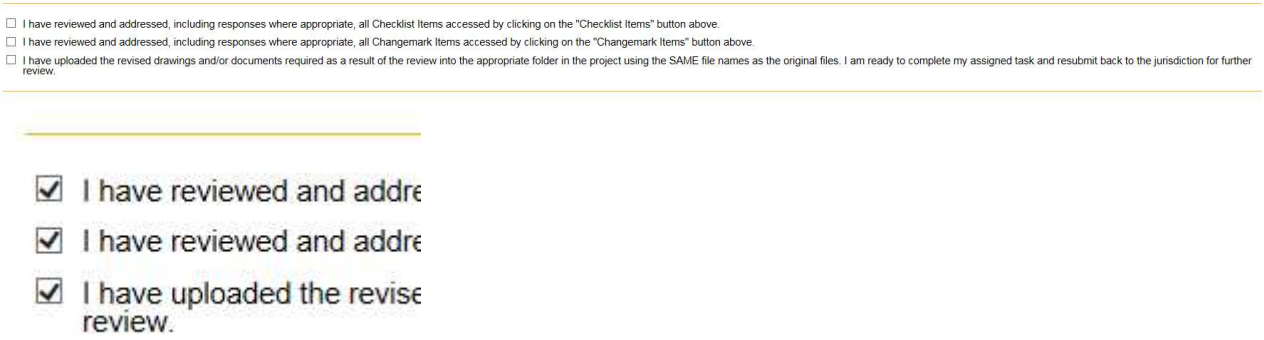
You have the option of adding or removing group members (see page 25)

If you want to request an agency to re-review the project, click on the box to the left of the agency name (please include any agency that had a prior conflict). OUC staff will review your request and will have the final decision if any additional reviews are required.

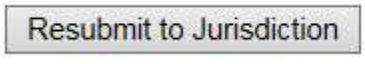
Please select the appropriate reviews that are required for the next cycle --- Plan Review Routing

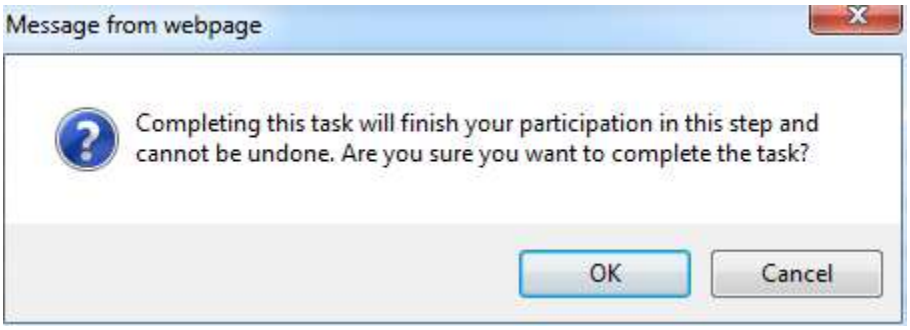
☐	ABOVENET ZAYO COMM
☐	ATT ILLINOIS SBC
☐	ATT LOCAL NETWORK
☑	BUREAU OF FORESTRY
☐	CDOT DIM PCO
☐	CDOT ELECTRICAL
☑	CDOT ENGINEERING

You need to certify that you have addressed the project issues by clicking on the box to the left of each issue.



Click on the **Resubmit to Jurisdiction** button to send your responses back to the OUC





You will need to repeat this process until the project is approved (PIA).

Approved Project (PIA):

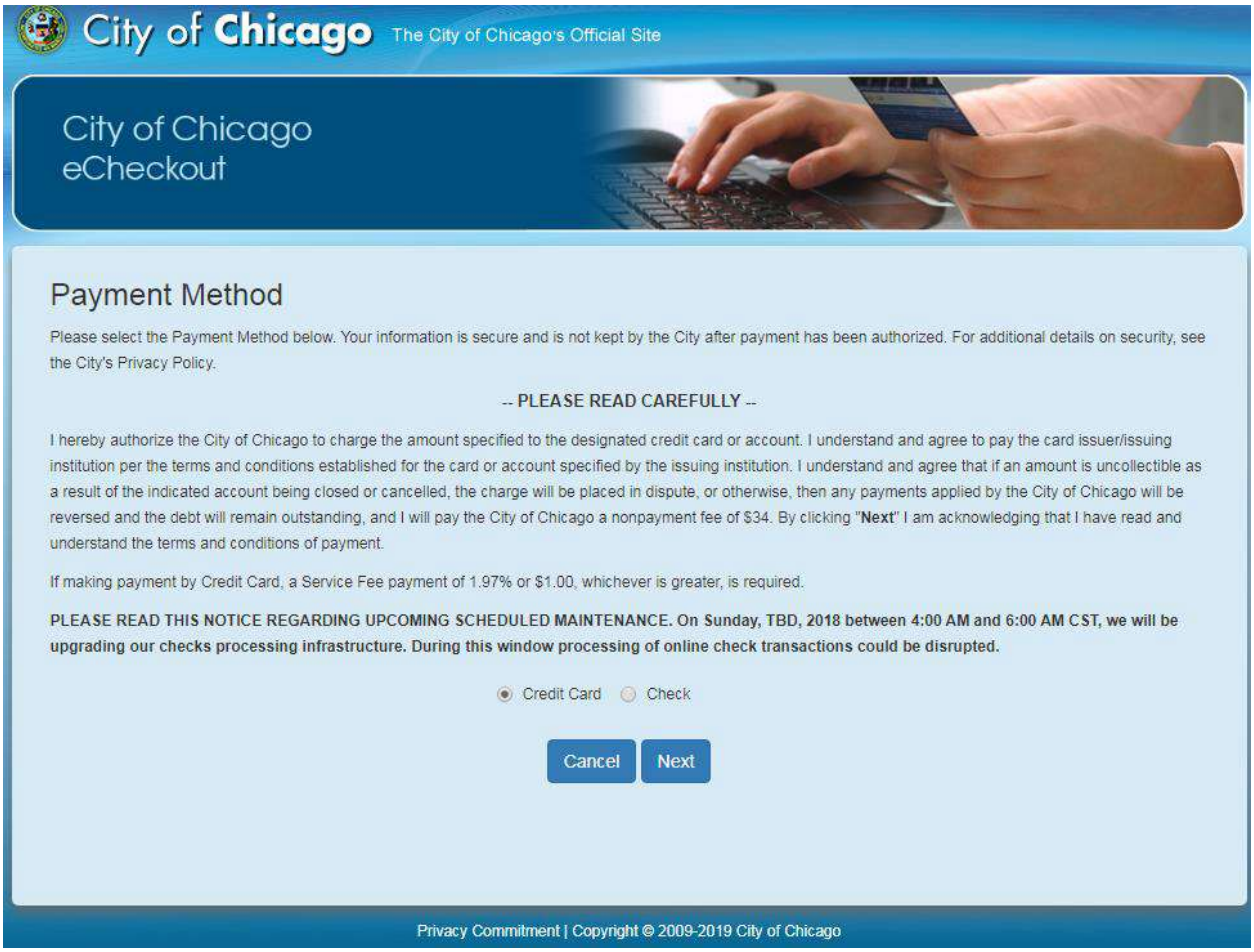
When your project is approved you will receive an email indicating that the review is PIA. For projects in the public right-of-way you will need to provide this email to the CDOT Permit Office when requesting your construction permit

> OUC Approvals are valid for six months within the Central Business District (CBD) and one year outside the CBD.

You can also access the approved drawing (which will have an OUC approve stamp) from the projects Approved folder

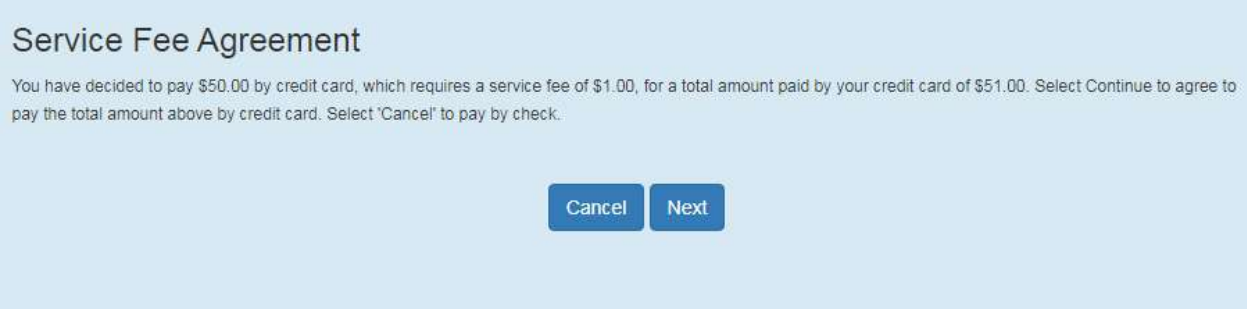
APPENDIX I – CITY ON-LINE PAYMENT PORTAL:

General Information:



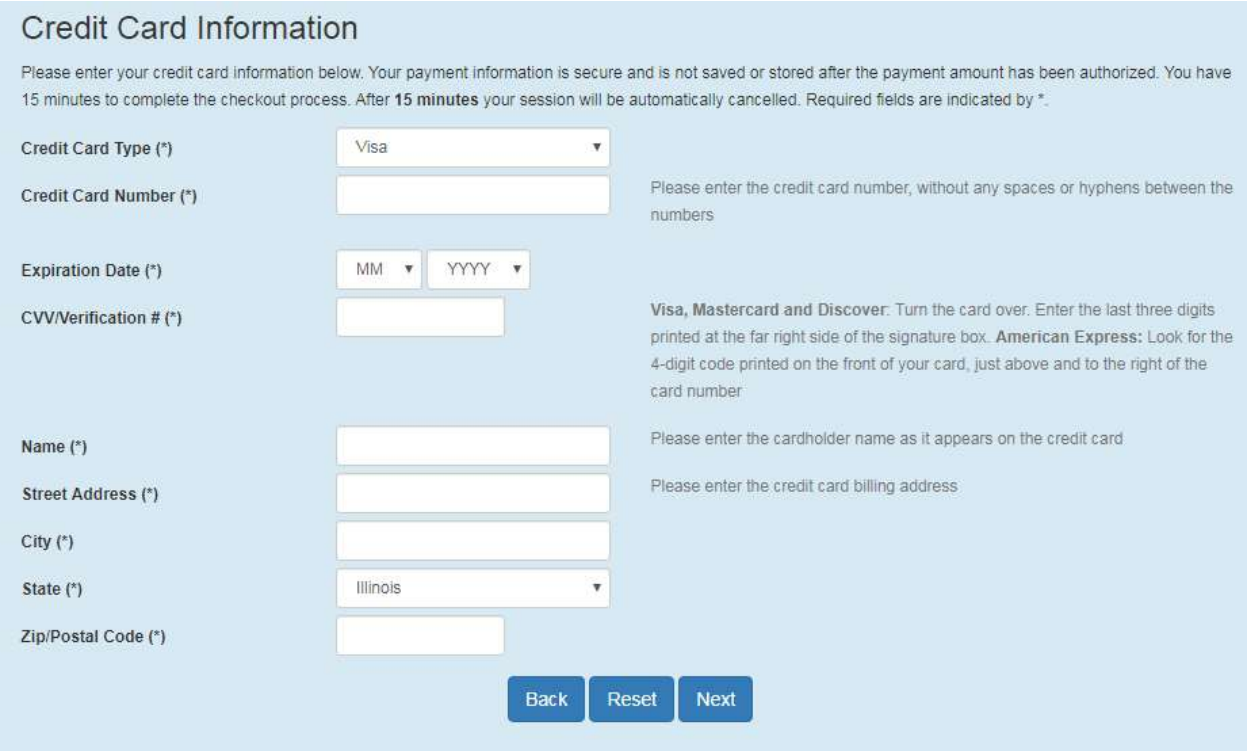
You will be able to pay either by Credit Card or by Check. Click the radio button next to the payment method of your choice and click the next button

Credit Card Payment:



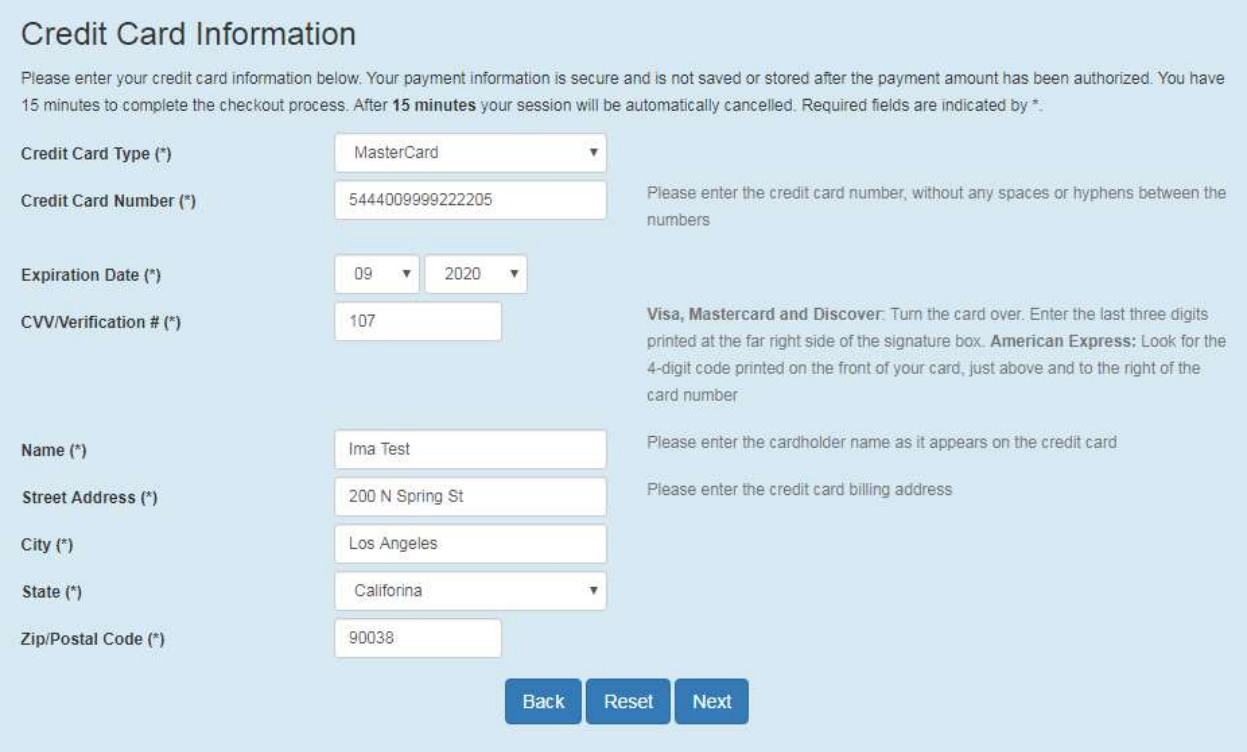
If paying by credit card a service fee notification will appear. Click the next button if you agree to pay the service fee. If you wish to pay by check, click the Cancel button and select the Check radio button on the previous screen to continue.

If you click on the payment by credit card option, the following screen will appear:

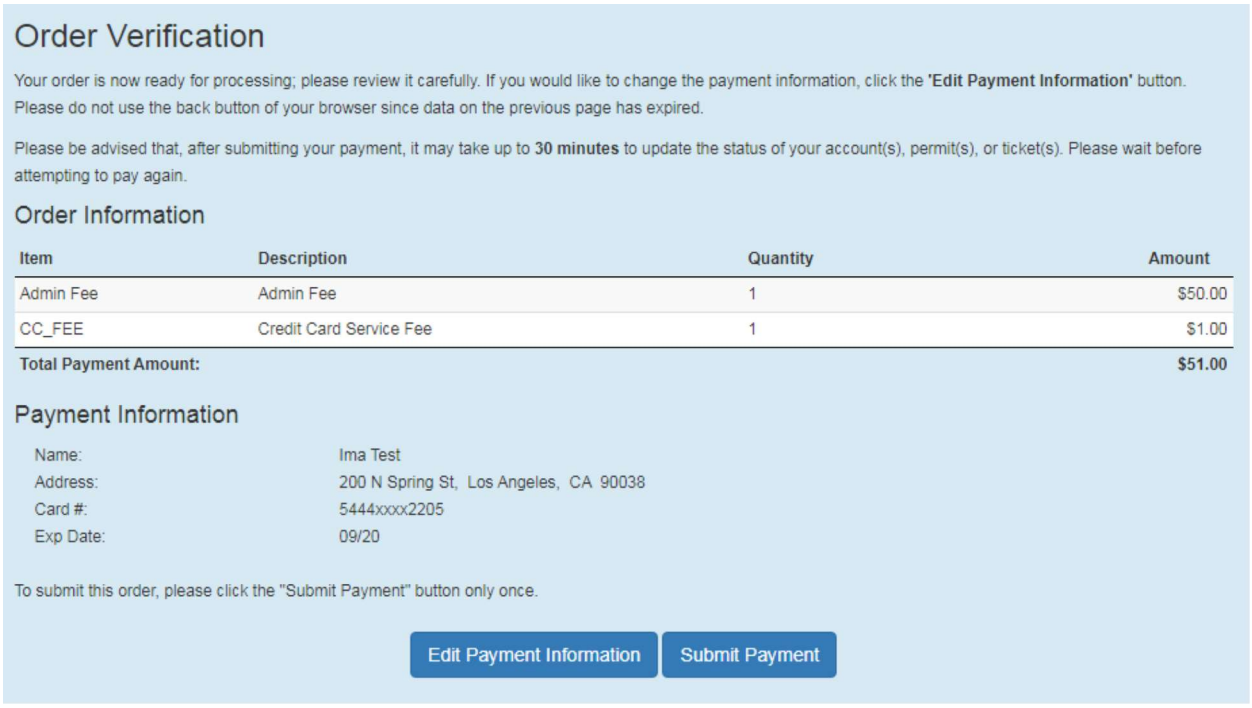


Fill in all the information requested.

Use the drop downs to select credit card type:



Click on the <**Reset**> button to clear your entry or the <**Next**> button to proceed. If the <**Next**> button is pressed a confirmation screen will come up:



Order Verification

Your order is now ready for processing; please review it carefully. If you would like to change the payment information, click the **'Edit Payment Information'** button. Please do not use the back button of your browser since data on the previous page has expired.

Please be advised that, after submitting your payment, it may take up to **30 minutes** to update the status of your account(s), permit(s), or ticket(s). Please wait before attempting to pay again.

Order Information

Item	Description	Quantity	Amount
Admin Fee	Admin Fee	1	$50.00
CC_FEE	Credit Card Service Fee	1	$1.00
Total Payment Amount:			**$51.00**

Payment Information

Name:	Ima Test
Address:	200 N Spring St, Los Angeles, CA 90038
Card #:	5444xxxx2205
Exp Date:	09/20

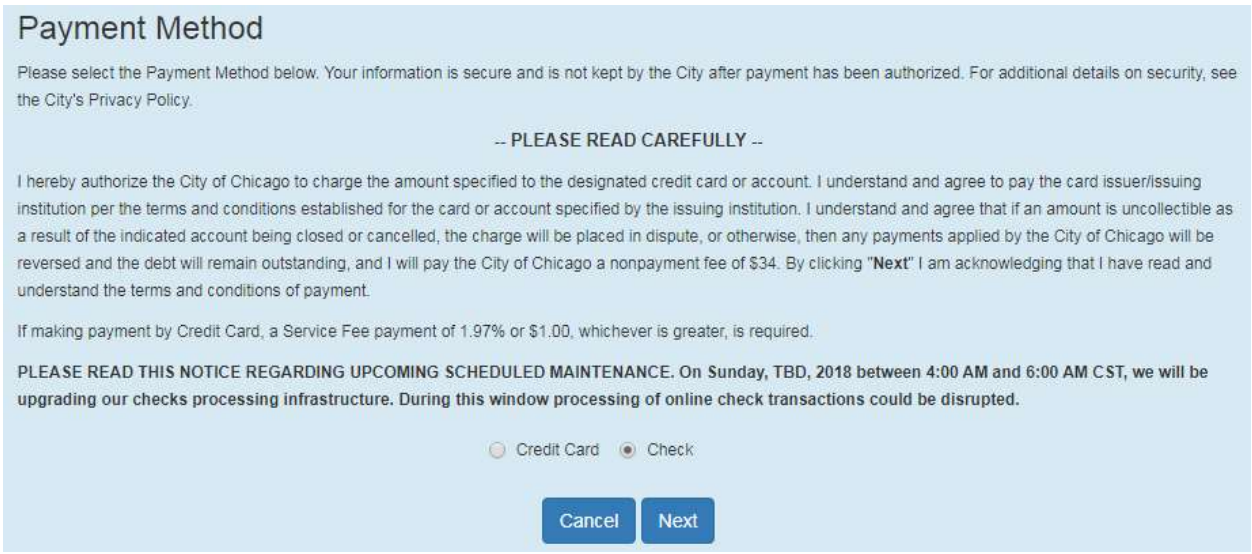
To submit this order, please click the "Submit Payment" button only once.

Edit Payment Information | Submit Payment

To make a change click on the <**Edit Payment Information**> button to submit the payment choose the <**Submit Payment**> option.

Payment by Check:

If you picked the payment by check option,



Payment Method

Please select the Payment Method below. Your information is secure and is not kept by the City after payment has been authorized. For additional details on security, see the City's Privacy Policy.

-- PLEASE READ CAREFULLY --

I hereby authorize the City of Chicago to charge the amount specified to the designated credit card or account. I understand and agree to pay the card issuer/issuing institution per the terms and conditions established for the card or account specified by the issuing institution. I understand and agree that if an amount is uncollectible as a result of the indicated account being closed or cancelled, the charge will be placed in dispute, or otherwise, then any payments applied by the City of Chicago will be reversed and the debt will remain outstanding, and I will pay the City of Chicago a nonpayment fee of $34. By clicking "**Next**" I am acknowledging that I have read and understand the terms and conditions of payment.

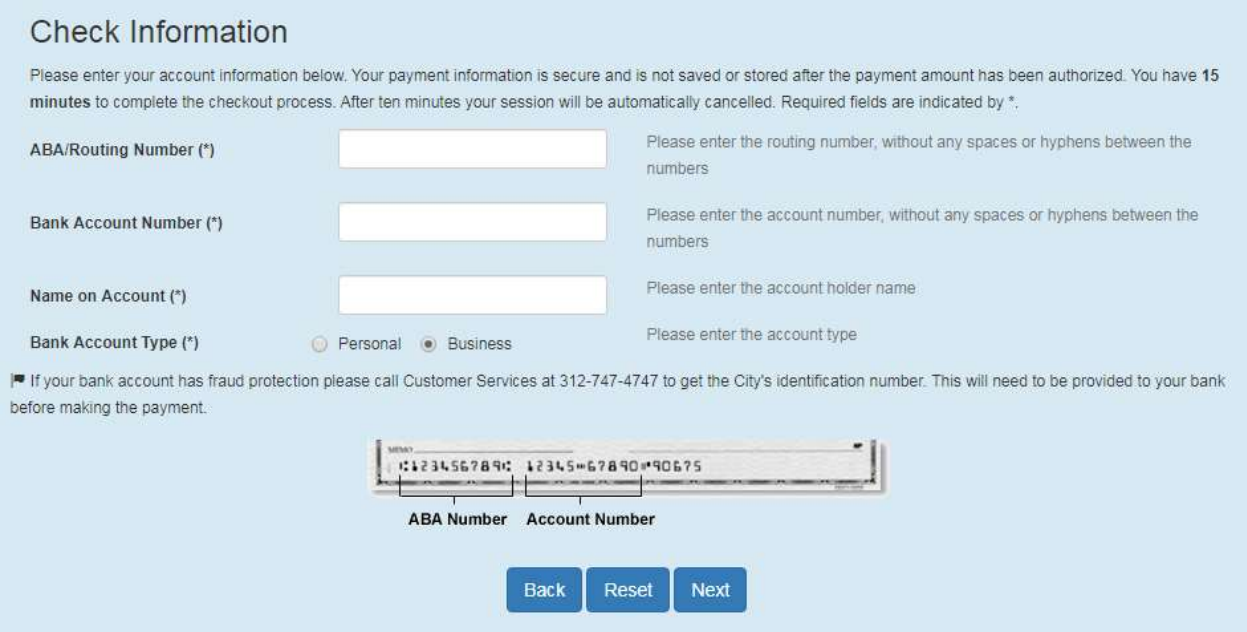
If making payment by Credit Card, a Service Fee payment of 1.97% or $1.00, whichever is greater, is required.

PLEASE READ THIS NOTICE REGARDING UPCOMING SCHEDULED MAINTENANCE. On Sunday, TBD, 2018 between 4:00 AM and 6:00 AM CST, we will be upgrading our checks processing infrastructure. During this window processing of online check transactions could be disrupted.

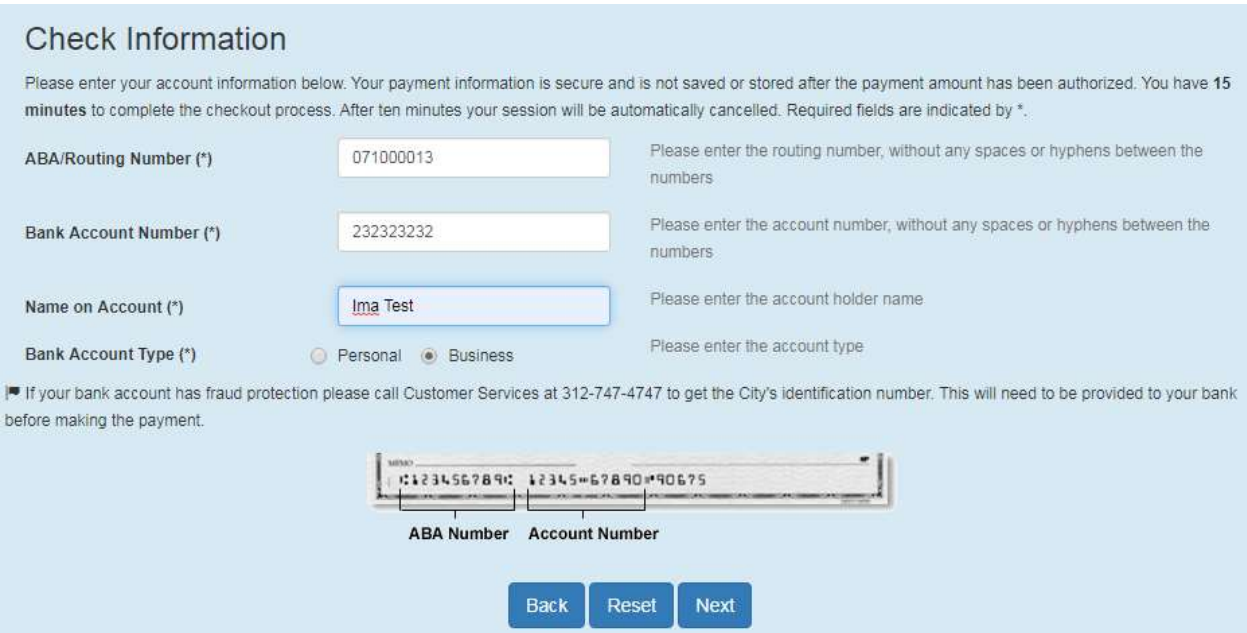
Credit Card Check

Cancel | Next

the following screen will appear:

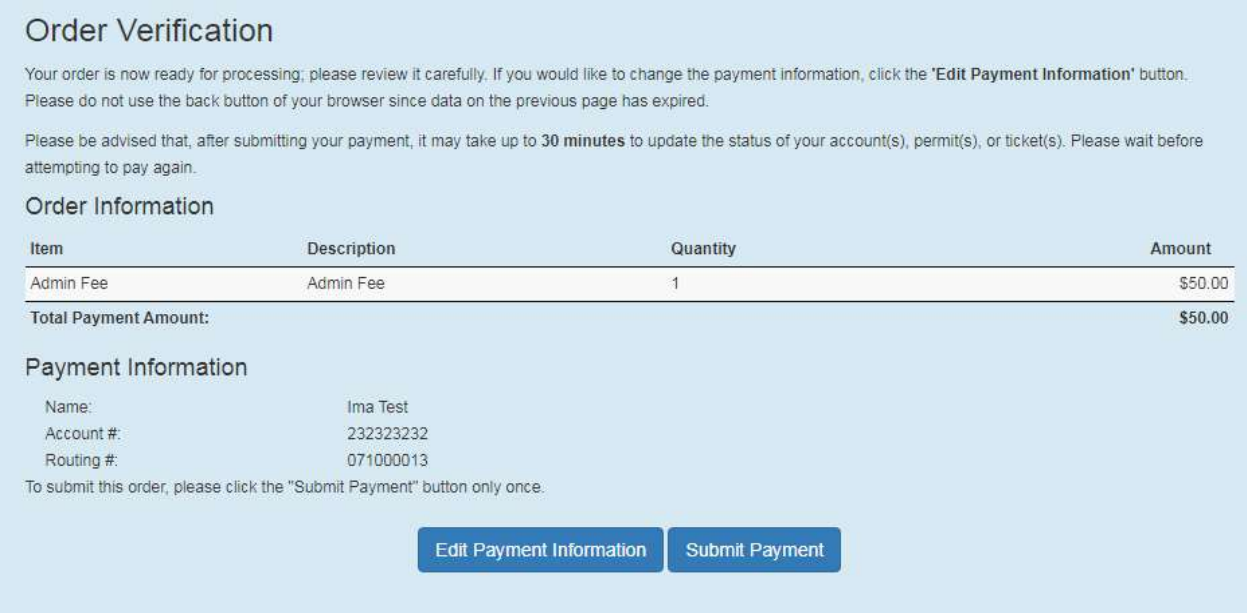


Fill in all the information requested.



Note: you will need to indicate if you are using a business or personal checking account.

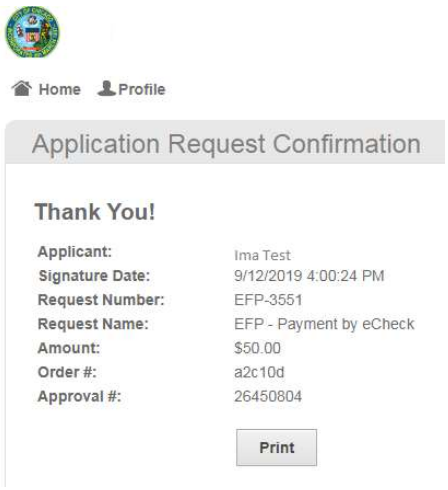
Click on the <**Reset**> button to clear your entry or the <**Next**> button to proceed. If the <**Next**> button is pressed a confirmation screen will come up:



To make a change click on the <**Edit Payment Information**> button to submit the payment choose the <**Submit Payment**> option.

Payment Verification:

Regardless which payment method you selected, once payment is submitted a confirmation page will appear on your screen.


Home Profile

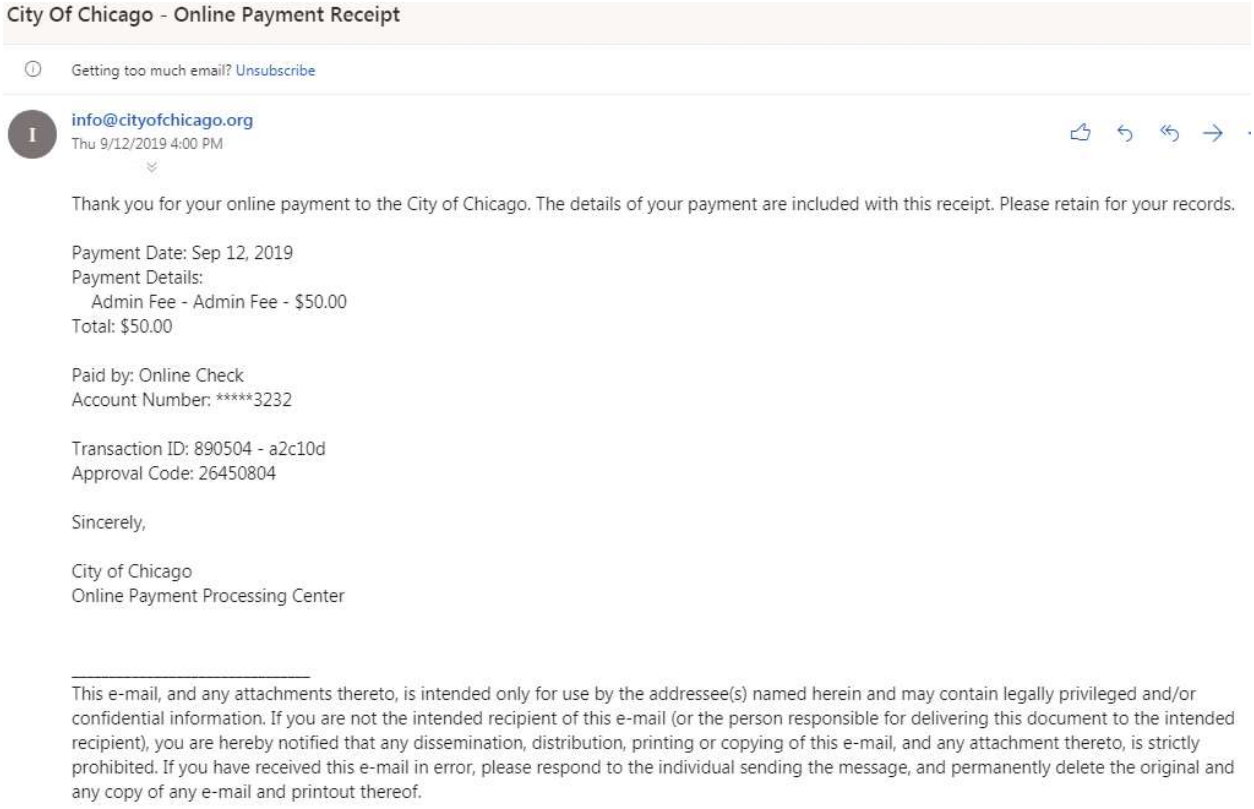
Application Request Confirmation

Thank You!

Applicant:	Ima Test
Signature Date:	9/12/2019 4:00:24 PM
Request Number:	EFP-3551
Request Name:	EFP - Payment by eCheck
Amount:	$50.00
Order #:	a2c10d
Approval #:	26450804

Print

Please print and retain for your records. A payment receipt will also be emailed to you.


City Of Chicago - Online Payment Receipt

Getting too much email? Unsubscribe

info@cityofchicago.org
Thu 9/12/2019 4:00 PM

Thank you for your online payment to the City of Chicago. The details of your payment are included with this receipt. Please retain for your records.

Payment Date: Sep 12, 2019
Payment Details:
Admin Fee - Admin Fee - $50.00
Total: $50.00

Paid by: Online Check
Account Number: *****3232

Transaction ID: 890504 - a2c10d
Approval Code: 26450804

Sincerely,

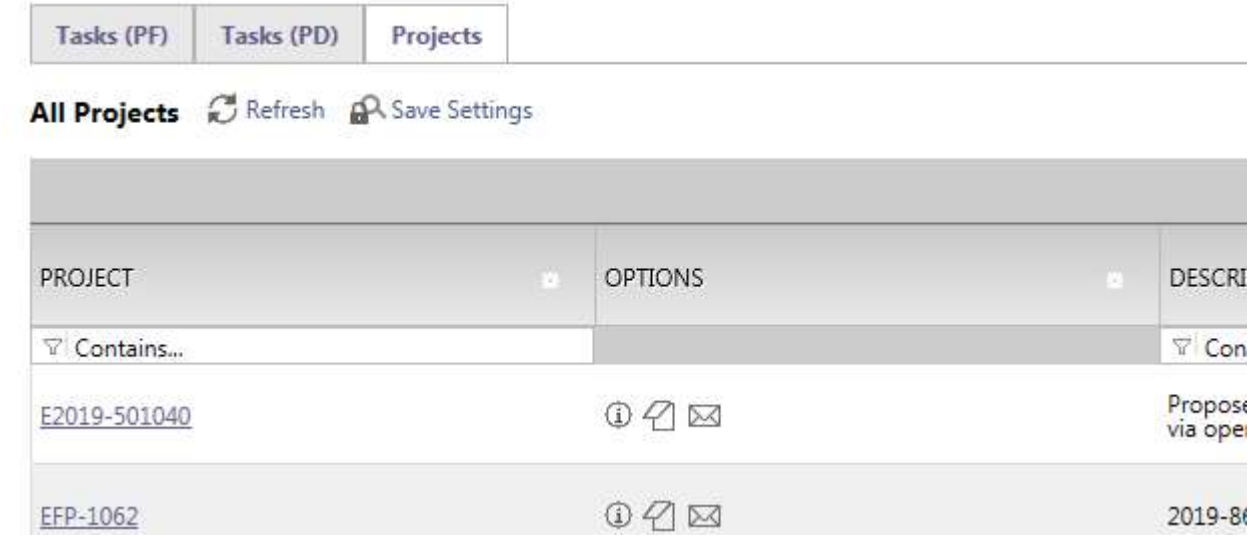
City of Chicago
Online Payment Processing Center

This e-mail, and any attachments thereto, is intended only for use by the addressee(s) named herein and may contain legally privileged and/or confidential information. If you are not the intended recipient of this e-mail (or the person responsible for delivering this document to the intended recipient), you are hereby notified that any dissemination, distribution, printing or copying of this e-mail, and any attachment thereto, is strictly prohibited. If you have received this e-mail in error, please respond to the individual sending the message, and permanently delete the original and any copy of any e-mail and printout thereof.

APPENDIX II – REPORTS:

There are several system reports that will be helpful to you in determining the current status of your requested review.

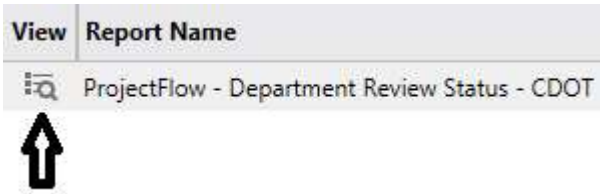
Under the Projects tab



Query for the project you want to check the status of

Click on the project and then click on the Project Reports button on the top right of the form

Search for one to the following reports and click on the icon to the ~~right~~ left of the report name to run the report.



ProjectFlow – Department Review Status - CDOT

Shows status of project (completed) reviews

ProjectDox

Department Review Status Report

Project Name:	EFP-3562
Workflow Started:	09/16/2019 9:37 AM
Report Generated:	09/16/2019 02:09 PM
Project Description:	Proposed installation approximately 250 feet of 8-inch water main in N. Hamlin Avenue.
Project Status:	Applicant Corrections
Project Location:	4761 to 4824 N HAMLIN AVE.

Cycle	Department	Reviewer	Email	Status	Date Assigned
⊞ 1					

Cycle	Department	Reviewer	Email	Status	Date Assigned	Date Completed	Reviewer Comments	Applicant Com
	ATT ILLINOIS SBC	Sheetal DeptReview	Sheetal.deptreview@cityofchicago.org	Approved with Conditions	09/16/2019 10:56 AM	09/16/2019 12:20 PM	Facility support needed	
	ATT LOCAL NETWORK	Sheetal DeptReview	Sheetal.deptreview@cityofchicago.org	Approved - Permit Issuance Authorized	09/16/2019 10:56 AM	09/16/2019 12:21 PM	N/a	
	BUREAU OF FORESTRY	Sheetal DeptReview	Sheetal.deptreview@cityofchicago.org	Conflict - Corrections Required - Permit Issuance Not Authorized	09/16/2019 10:56 AM	09/16/2019 12:24 PM	Need BOF permit and Fee	Paid
	CDOT DIM PCO	George Keck	gkeck2@cdotutilitypmo.org	Approved with Conditions	09/16/2019 10:56 AM	09/16/2019 12:05 PM		
	CDOT ELECTRICAL	George Keck	gkeck2@cdotutilitypmo.org	Approved - Permit Issuance Authorized	09/16/2019 10:56 AM	09/16/2019 12:41 PM		
	CDOT ENGINEERING	George Keck	gkeck2@cdotutilitypmo.org	Conflict - Corrections Required - Permit Issuance Not Authorized	09/16/2019 10:56 AM	09/16/2019 12:43 PM		Corrections m

Current Project – Transmittal Review Form - CDOT:

Shows the OUC Transmittal Form and all activity history within a cycle

City of Chicago
Department of Transportation
Office of Underground Coordination
30 N. LaSalle St., Suite 310, Chicago, IL 60602
Phone# (312) 744-4828

Transmittal Review Form

Status:	In Review
OUC File #:	EFP-3562
Response Required Date:	3/16/2020

Author:		**Submitting Agency:**	
Name:	Ima Test	**Name:**	Ima Test
Company:	CDOT - In House Construction	**Agency:**	CDOT - In House Construction
Address 1:	1501 W. Pershing Rd.	**Address 1:**	1501 W. Pershing Rd.
Address 2:	None	**Address 2:**	None
City:	Chicago	**City:**	Chicago
State:	IL	**State:**	IL
Zip:	60609	**Zip:**	60609
Phone:	(312) 744-4141	**Phone:**	(312) 744-4141
Email:	mdelin@spaantech.com	**Email:**	mdelin@spaantech.com

Project Information:	
Project Description:	Proposed installation approximately 250 feet of 8-inch water main in N. Hamlin Avenue.
Are manhole/handhole installations planned in the public way?	Yes
Number of Manholes:	2
Tunneling (Includes Directional Boring) Variance Request?	No
Excavation or penetration approaching 12 feet or more?	Yes
Do you have one of the following?	CDOT GeoTech Project Number: DOT-091619
Project Number:	18-01:106
Construction Date:	10/16/2019
Project Location:	
Address 1:	4761 to 4824 N HAMLIN AVE.
Address 2:	
Project Coordinator 1:	Ima Test
Email:	mdelin@spaantech.com
Phone:	(312) 000-0000
Project Coordinator 2:	
Email:	
Phone:	

Files

Name	File Name	File Size (kB)	Version	Upload Date	Page Count	Sheet Size	Last Mod Date
⊟Documents	Manhole Justification Letter VZ-ST-1964.pdf	112	1	9/16/2019 9:52:20 AM	1	8.5x11.0	9/16/2019 9:52:20 AM
⊞Drawings							

Checklist Items

Grouping	Cycle	Ref #	Group Name/ Updated By	Type	Category Type	Reviewer Comment	Applicant Response	Status	Last Updated
⊟Main Workflow	⊟1	1	**CHICAGO PARK DISTRICT** Matthew Peterson	EFP	Department Review	Project does not affect existing facilities		Unresolved	09/16/2019 11:03 AM
		2	**COMCAST** Matthew Peterson	EFP	Department Review	Project location interferes with existing facilities - Facility relocation required		Resolved	09/16/2019 11:04 AM
		3	**COMCAST** Matthew Peterson	EFP	Department Review	Project location interferes with existing facilities - Facility support required		Unresolved	09/16/2019 11:05 AM
		4	**COMED DISTRIBUTION** Matthew Peterson	EFP	Department Review	Permit Issuance Authorized		Unresolved	09/16/2019 11:06 AM
		5	**COMED TRANSMISSION** Matthew Peterson	EFP	Department Review	Conflict Resolved by Project Coordinator		Resolved	09/16/2019 11:06 AM
		6	**CTA MAINTENANCE** Matthew Peterson	EFP	Department Review	Project affects existing service line(s)		Resolved	09/16/2019 11:07 AM
		7	**CTA TRAFFIC** Matthew Peterson	EFP	Department Review	Project does not affect existing facilities		Info Only	09/16/2019 11:08 AM
		8	**MWRD** Mark Delin	EFP	Department Review	Project affects existing facilities		Unresolved	09/16/2019 11:18 AM
		9	**MCI METRO ATS WU** Mark Delin	EFP	Department Review	Project location interferes with existing facilities - Facility support required		Unresolved	09/16/2019 11:29 AM
		10	**LEVEL 3 LOOKING GLASS** Mark Delin	EFP	Department Review	Permit Issuance Authorized		Unresolved	09/16/2019 11:31 AM
		11	**CDOT DIM PCO** George Keck	EFP	Department Review	Project does not affect existing facilities		Unresolved	09/16/2019 11:35 AM
		12	**CDOT ELECTRICAL** George Keck	EFP	Department Review	Project affects existing facilities		Unresolved	09/16/2019 11:35 AM
			CDOT ENGINEERING						

Office of Underground Coordination Member Response

Cycle	Responded By	Date Completed	Status	Reviewer Comments	Applicant Comments
⊞ 1					

OUC Project Manager Comments

Cycle	Date Started	Date Completed	Resubmit Coordinator Comments	Resubmit Applicant Comments
1	9/16/2019 10:56:38 AM			

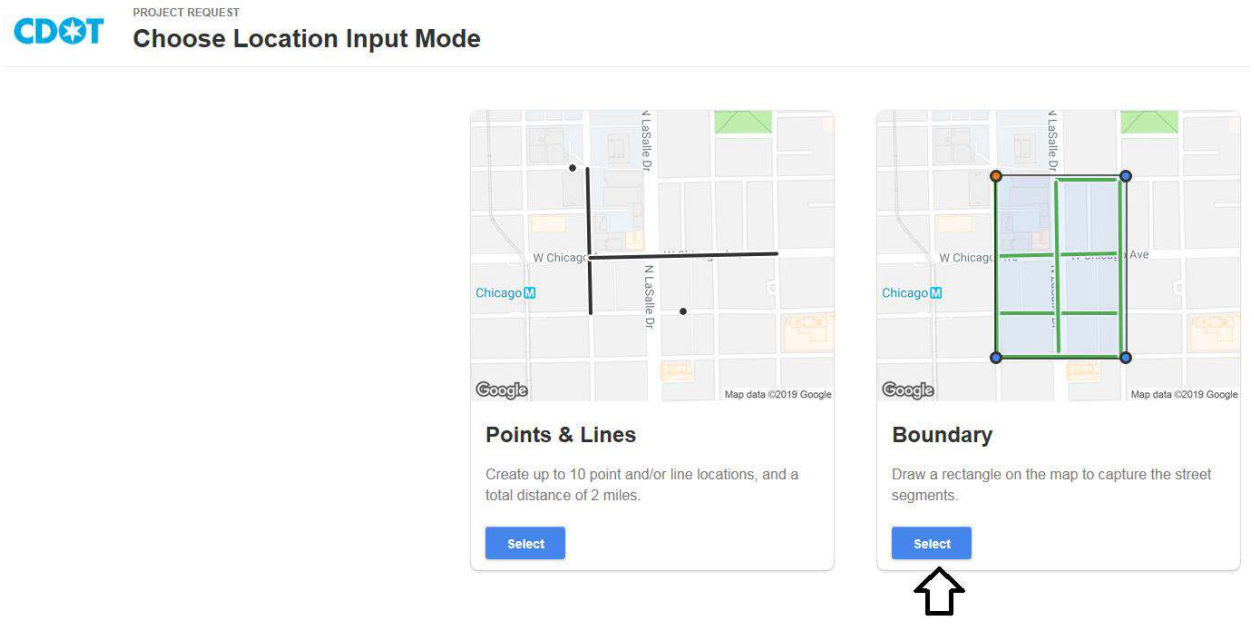
This OUC Review will expire 6 months after the response required date within the area bounded by North Ave., Halsted Ave., Cermak Rd., and Lake Michigan and one year from the response required date outside of these limits.

End of Transmittal & Review Form

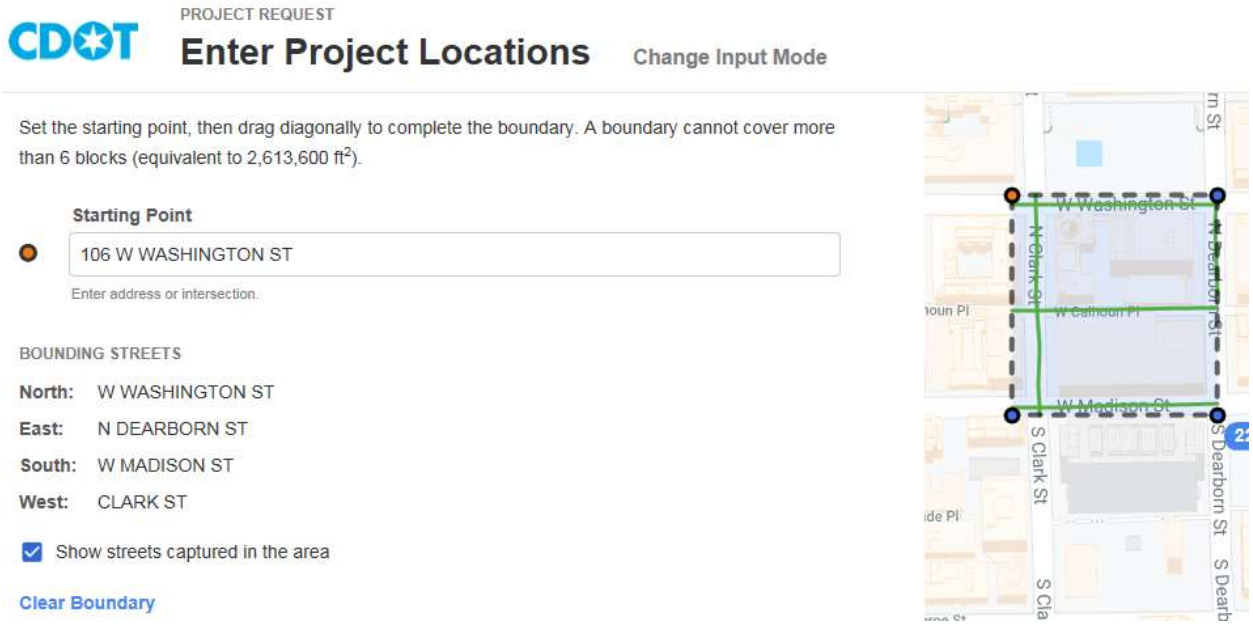
APPENDIX III – IR BOUNDARY SELECTION OPTION:

For IR reviews you have the option of selecting a boundary (i.e., rectangle containing work area) instead of using either a project point or line. Click on the **Change Input Mode** link (located on the top of the page) to proceed

Select the Boundary mode



Click on the map to indicate the starting point. Place the cursor over that point, then left click and hold. Drag the mouse to draw a rectangle.



Click on the **Save** button

APPENDIX IV – SYSTEM REQUIREMENTS:

ProjectDox®

ProjectDox® Component Customer Installation v.9

System User Requirements

avolve®
professional services
4835 East Cactus Road Suite 420
Scottsdale, Arizona 85254
Phone: 602.714.9774
www.avolvesoftware.com

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ProjectDox is a registered trademark of Avolve Software Corporation.

1 Table of Contents

About this Guide

Welcome to ProjectDox, before using the ProjectDox system for the first time, please verify the following items are disabled and/or installed on your system. The following pages will provide you information on how to configure these items for access to collaborate and review your information electronically, 24/7.

- Pop-up Blocker disabled (if applicable)
- ProjectDox Components installed

Icon	Represents
	Caution
	If not done correctly, roadblock
	Good to know

1 General Information

1.1 Requirements

The Matrix below displays the requirements needed for each browser to interact properly with the ProjectDox application, as of publication.

Requirements	Internet Explorer 11*	Firefox	Chrome	Apple Safari	Edge
Configure Pop-up blocker	X	X	X	X	X
Added to Trusted Site	X				
Disabling the UAC	X				
Install of ProjectDox Components (one-time only)	X				
Enabling the UAC	X				

1.2 Pop-Up Blocker

ProjectDox uses pop-up windows (browser windows with no toolbars). If you log in, but no ProjectDox window appears, or a warning is received, it is likely that a pop-up blocker is preventing the main project window from opening. You need to allow ALL pop-ups for the ProjectDox site. You can do this in one of two ways:

1. Disable pop-up blockers entirely.
2. Configure blocker to allow pop-ups for specified sites. (recommended)

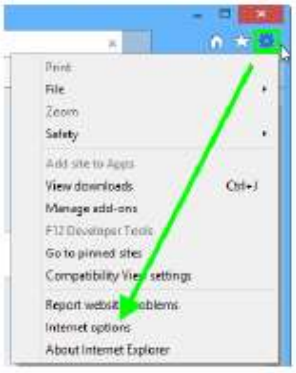
In the following sections, you will find information that will assist in setting up the allowance of pop-ups for several browsers. If after going through the steps you still have difficulty with the ProjectDox application, verify your system has no other pop-up blockers installed.

- Google Search bar is installed, it contains its own pop-up blocker that will need to be disabled.
- Antivirus software can cause similar behavior, review the enforced rules
- Check system anti-virus logs to see if that software may be blocking the site from displaying. If the anti-virus is blocking the installation, add the necessary exceptions.

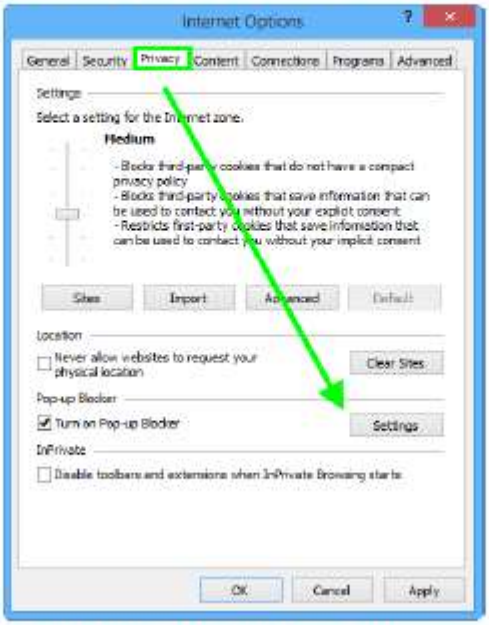
2 Internet Explorer 11

2.1 Configure Pop-Up Blocker

1. Select the **Tools** icon in the top right corner.
2. Choose **Internet Options** from the dropdown.



3. Select the **Privacy** tab and, in the *Pop-up Blocker* section, click the **Settings** button.

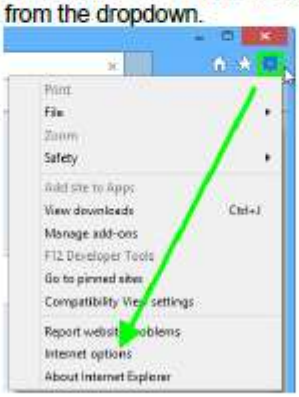


4. Type the ProjectDox URL in the field within the *Exceptions* area, then click **Add**.

5. Close the window, then click **OK** in the *Internet Options* window.

2.2 Adding ProjectDox as a Trusted Site

1. Select the **Tools** icon in the top right corner of the browser.
2. Choose **Internet Options** from the dropdown.



3. In the *Security* tab, click **Trusted sites** to highlight, then click the **Sites** button.

4. Enter the URL in the field, then click **Add**.

5. Close the window, the select **OK** in the *Internet Options* window.

2.3 Disabling the UAC

Disabling of the UAC control should be discussed with your network administrator prior to making changes to your system, if applicable.

2.3.1 Client Hardware and O/S Specifications

Uniform specifications on end-user hardware, software capabilities and configuration will have a big impact on the end-user experience. We recommend deploying (at most) two types of end-user hardware with standard configurations.

Client Specifications	
Operating System	Windows 10, Windows 8 (32/64 bit), Mac OS 10, iPad, Windows Tablet
Processor	Dual Core or Quad Core Processors 2.0 GHz or faster
Memory	8 GB RAM

Browser Cache	In Internet Explorer, this is 50MB by default and in most browsers, it can be increased to 250MB or up to 1GB
Graphics Card	Single Monitor Support - Dedicated Graphics Card with Minimum 1GB Memory, Dual Monitor Support - Dedicated Graphics Card with Minimum 2GB Memory
Recommended Web Browsers	Internet Explorer 11 (32-bit only), Edge, latest releases of Chrome, Safari, and Firefox.
Display	22" or larger with at least 1920 x 1080 screen resolution

2.3.2 Windows 8 & 10

1. Select the *Windows* key on your keyboard.

2. When the menu appears, start typing "Change User Account Settings." It will initiate a search.
3. Select the following from the search results.

4. Click and drag the slide control to *Never Notify*.
5. Click OK and restart your system. This must be done for the UAC changes to take effect.

The user's permissions level/rights will affect how the UAC works.

A reboot will be required for the change to take effect.

2.4 Installing ProjectDox Components

ProjectDox requires the installation of ActiveX controls to be able to perform certain actions: uploading files, downloading files, viewing files, and viewing help information. There are two ways users can install the controls:

The link to an MSI file for installing the ActiveX controls is available from the login screen.

If the user's network requires administrative access to download ActiveX controls, the user will **NOT** be prompted, nor will the MSI on the login screen install. The user will need to contact their network administrator to get access to download these controls.

If using the MSI from the login page, the user can accept the defaults to run the MSI and install the controls. If not using the MSI, then after logging in to the site, the user will be prompted by the browser to install the ActiveX control (yellow bar at top of the screen or at the bottom of the screen, depending on system version) when attempting to view help information, or uploading, downloading or viewing files.

2.5 Enabling the UAC

After the installation is complete and each of the actions have been performed once (uploading files, viewing files, downloading files, and viewing help, as applicable) the UAC control can be returned to the former setting. A reboot will be required for the change to take effect.

3 Google Chrome

It is recommended that users use the 32-bit version of Chrome; it is known to work better with reports in ProjectDox.

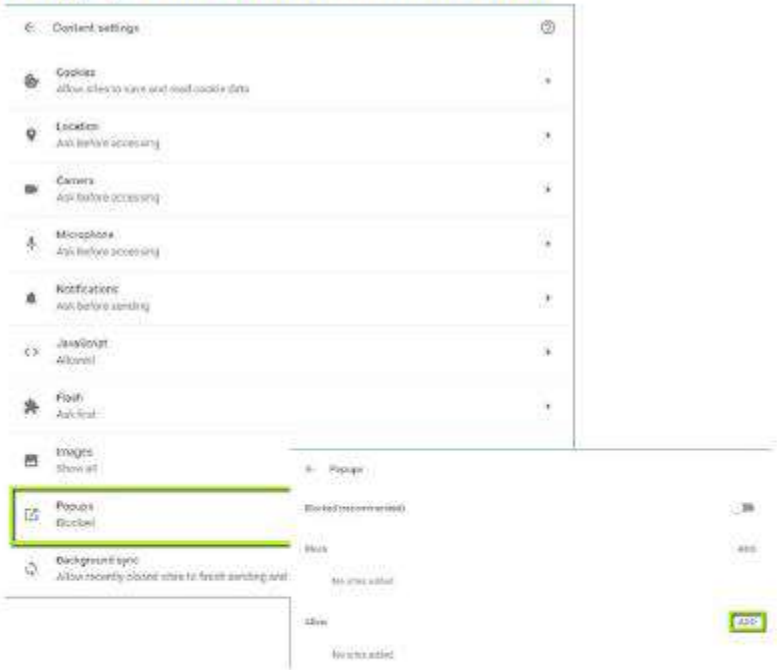
To verify what version of Chrome you are using (32 bit or 64 bit), click on Chrome's menu icon ⋮ and select About Google Chrome. If it is 64 bit, it will say so in parentheses after the version number.

3.1 Configure Pop-Up Blocker

1. In the top-right corner of Chrome, click the Chrome menu icon ⋮.
2. Select **Settings**.

3. Click **Advanced**, found at the bottom of the page.
4. Under *Privacy and security*, expand the **Content settings** field.

5. Click *Popups*, click the **Add** button under the **Allow** field.



6. Enter the ProjectDox URL, then click the **Add button**. Close out of **Settings** when finished.

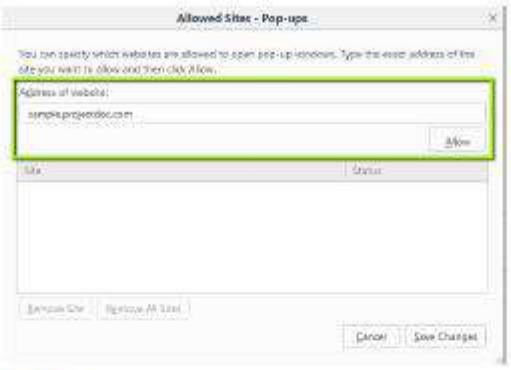
4 Firefox

4.1 Configure Pop-Up Blocker

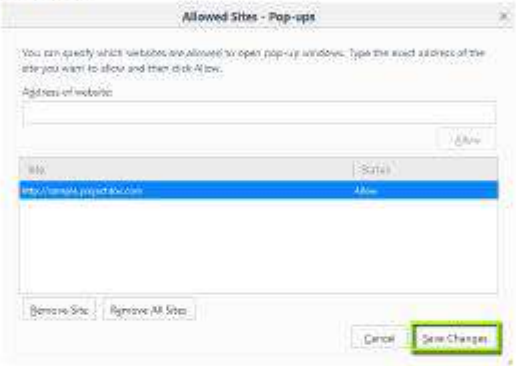
1. Click the menu button and select **Options**.

2. Click the **Content** menu, and select the **Exceptions** button next to the **Pop-ups** field.

3. Enter the ProjectDox URL in the available field, then click **Allow**.



4. Click the **Save Changes** button.



5 Safari

5.1 Pop-Up Blocker

1. Select **Safari->Preferences**, then click **Security**.

2. In the *Web Content* and *Internet plug-ins* sections, deselect the *Block pop-up windows* checkbox.

3. Close the window.

APPENDIX G

CDWM WATER SECTION CHECKLIST

City of Chicago Department of Water Management (CDWM) Water Section				
Permit Acquisition Process				
	No.	**Subject**	**reference**	**Description**
❑	1	Existing Water Supply lines	OUC-IR process (Office of Underground Coordination - Information Retrieval)	Atlases for all utilities are made available in the OUC-IR process conducted at the incepption of project design in the City. These will include all Water facilities, which should have locations of all valve vaults, hydrants and watermains located in reference to ROW.
❑	2	Water Supply included in plans	Water Atlases	Include all water system on plans. Watermains 16" and larger are transmission mains and the Water Section is especially concerned with these. Construction activities should be kept at least 10' from these if possible. Note that watermain materials are often given on atlases. Oftentimes transmission mains are Cast Iron, which are very brittle and therefore a concern to CDWM.
❑	3	Verify water system surface features	Existing conditions plan	Survey data to verify locations of surface features. Where survey disagrees with atlas location by more than 1 foot for 16"+ mains consider potholing buried watermain if the construction work may be within 10'.
❑	4	Water system connections	Metra site water supply needs	Connections typically are allowed only to distribution mains <16" diameter. Sprinkler system flowrates and pressures need to be calculated before permit applications to support size proposed.
❑	5	Permit applications	OUC-EFP (Existing Facilities Protection) and Department of Building (DOB)	Begin prep for permit apps at 60% with submittal using 80% plans. Where Transmission mains 16"+ are being crossed or within 10' of any construction activities consider requesting that the CDWM Water Section reviewer contact senior reviewers about impacts. These are often older and brittle mains, but cannot be shut down unless absolutly necessary. Shut downs are easier in the winter months.

APPENDIX H

CONSTRUCTWARE™ FLOWCHART AND GUIDE

Constructware Permit Applicant Point of Contact Quick Guide				
Step No.	**Estimated Time (Days)**	**User(s)/Routing Role(s)**	**Description**	**Instructions to User(s)**
0	N/A	Geotechnical	Initial Launch of Route	Read all instructions thoroughly throughout the Deep Ex permit process. Also, refer to the "CDOT-DIM Constructware Permit Applicant Quick Guide" and the "CDOT-DIM Geotechnical Review Checklist" located in the "Main Folder" of the project. If there are issues, directly contact Adam Ali at adam.ali@cityofchicago.org. Project status, allotted time for review of each step, routing history (step history and status of project) is located in the "Routing History" tab of the project. The "Routing History" can be accessed in two ways: 1. Click the "New Messages" hyperlink (located in the upper righthand corner). Under "Routing Action Required", any outstanding step from the applicant side will show here. If there is a step requiring action, click the envelope icon, and then click the "Routing History" tab to view the routing history. 2. On the left side of the window, click the "Project Information" tab and then select "Project". All projects for the applicant that require Deep Ex review are listed here. Click the orange arrow icon associated with the PW# and then click the "Routing History" tab to view the routing history. When viewing the "Routing History", click on the "Route Flow" box (on the right-hand corner of the page) to view the archived instructions and notes of the step history of the project. Constructware Program Note: At times email notices may go into the spam folder or may not be delivered to the applicant due to system issues. Please monitor the "Routing Action Required" screen which can be accessed from the "New Messages" hyperlink on the upper right-hand corner of the screen. All Constructware documentation uploads and retrievals are performed under the "File Director" sub-tab under the "File Management" tab (left-hand side of the screen). In "File Director", access the project by selecting the "Configure" link next to the "Favorite Projects" drop-down list (top-center of the screen) and then select the desired project. Once the desired project is selected it will show in the "Favorite Projects" drop-down list. READ ALL INSTRUCTIONS CAREFULLY BEFORE SUBMITTING STEPS OR DOCUMENTS. DO NOT DEVIATE FROM THE INSTRUCTIONS. Also, the intake meeting minutes have been uploaded into the “7. Meetings” folder of the project which includes additional instructions. Do not begin the Office of Underground Coordination (OUC) application process until you have received Step 29 on Constructware.
1	7	Owner / Point of Contact	Upload Preliminary Documentation	Chicago Department of Transportation (CDOT) has initiated the review of your permit application for Deep Excavation and OUC. Upload the drawings (in DWF format) for review in the “2. Drawings” folder (file named as PWXXXX-XXXX_OUC Plan Set) and the signed and sealed (with seal expiration date) geotechnical report/data (if applicable to the project) in the “1. Soils Report” folder (file named as PWXXXX-XXXX_Soils Report). XXXX-XXXX denotes the Constructware PW number established for this project. The DWF file must be published or printed from the original file format when uploading into Constructware. Check to see all DWF sheets open before uploading into Constructware. OUC Plan Set must be signed and sealed (with seal expiration date) by a licensed Professional Engineer & a licensed Structural Engineer on the cover sheet (or first sheet). Include the Constructware PW number on each sheet of the plan set. Before selecting "Step Complete", include in the Constructware "Notes" box all drawing/sheet numbers that are being submitted for the OUC Plan Set. Note: Once the OUC Plan Set is approved for distribution to the OUC, the file will be removed from the “2. Drawings” folder. Do not reupload the DWF file. Also, Intake Meeting Minutes have been uploaded into the “7. Meetings” folder of the project. Do not select "Step Complete" unless the above directions are followed. Incomplete and/or improper submittals will result in permit delays and is documented into the project account. If all above items are complete and ready for CDOT to review, select "Step Complete" from the action drop-down list and click the "Save/Close" button.
1.1	7	Owner / Point of Contact	Preliminary Documentation Not Approved	Chicago Department of Transportation (CDOT) has reviewed your preliminary documentation and has determined it is missing critical information. Click the "Routing History" tab and click the "Notes" icon on the rejected step to see the specific reasons why the preliminary documentation was not approved. Please make the necessary corrections and reupload the corrected preliminary documentation. If all items are complete and ready for CDOT to review again, select "Step Complete" from the action drop-down list and click the "Save/Close" button.
5	N/A	Owner / Point of Contact	Obsolete Step	This step is obsolete. Select "Step Complete" from the action drop-down list and click the "Save/Close" button.

Constructware Permit Applicant Point of Contact Quick Guide				
Step No.	**Estimated Time (Days)**	**User(s)/Routing Role(s)**	**Description**	**Instructions to User(s)**
9	14	Owner / Point of Contact	Submit Deep Ex Review Package	Chicago Department of Transportation (CDOT) is requesting you submit the Deep Ex Review Package. Deep Ex Review Package shall be a combined package in the order of certification letter, checklist, table of contents, written approval(s), calculations, procedures (if applicable), cut sheets (if applicable), Deep Ex related plans only, and soils report (if applicable). Refer to the intake meeting checklist for submittal requirements. Deep Ex Review Package must be 100% complete and final and ready for construction for CDOT to review. All calculations must be signed and sealed (with seal expiration date), as well as, each drawing signed and sealed (with seal expiration date). This package is a final legal contract document for CDOT to review prior to permitting. Entire scope of work associated with this Constructware PW number must be submitted. No partial submittals are allowed. Constructware Submittal Instructions: Upload the Deep Ex Review Package (in a single file PDF format) in "3. Deep Ex Review" folder (file name: PWXXXX-XXXX_Deep Ex Review Package 1 (XXXX-XXXX denotes the Constructware PW number established for this project)). DO NOT UPLOAD ERRONEOUS FILES OR SEPERATED FILES. REVIEW YOUR CHECKLIST FOR ANY ADDITIONAL SUBMITTAL REQUIREMENTS. Hardcopy Submittal Instructions: The Deep Ex Review Package hardcopy submittal must exactly match the upload into Constructware. All drawings must be folded down individually to 8.5" x 11" with sheet number showing. Two separate hardcopy sets (single sided printing) must be delivered to: CDOT (Attention: Adam Ali) 30 N. LaSalle St., Suite 310 Chicago, IL 60602 Select "Step Complete", after a Deep Ex Review Package has been uploaded and hardcopies have been delivered to CDOT following all the indicated instructions/guidelines.
12	7	Owner / Point of Contact	Obtain a Bridge Permit from CDOT DoE	Chicago Department of Transportation (CDOT) has requested that you schedule a meeting with CDOT Division of Engineering (DoE) to obtain a bridge permit. Upload the bridge permit into the "4. Documents" folder (file name: PWXXXX-XXXX_DoE Bridge Permit (XXXX-XXXX denotes the Constructware PW number)). Select "Step Complete" from the action drop-down list and click the "Save/Close" button.
14	7	Owner / Point of Contact	Resolve Bridge Permit Conflicts	CDOT Division of Engineering (DoE) has reviewed your bridge permit request and determined there are conflicts. Click the "Routing History" tab (then scroll and click to view rejected Step 13 notes) to see the specific reasons why DoE did not approve and make the necessary corrections. Upload the bridge permit into the "4. Documents" folder (file name: PWXXXX-XXXX_DoE Bridge Permit (XXXX-XXXX denotes the Constructware PW number)). Select "Step Complete" from the action drop-down list and click the "Save/Close" button.
16	7	Owner / Point of Contact	Obtain a Freight Tunnel Permit from CDOT DoE	Chicago Department of Transportation (CDOT) has requested that you schedule a meeting with CDOT Division of Engineering (DoE) to obtain a freight tunnel permit. Upload the freight tunnel permit into the "4. Documents" folder (file name: PWXXXX-XXXX_DoE Freight Tunnel Permit (XXXX-XXXX denotes the Constructware PW number)). Select "Step Complete" from the action drop-down list and click the "Save/Close" button.
18	7	Owner / Point of Contact	Resolve Freight Tunnel Permit Conflicts	CDOT Division of Engineering (DoE) has reviewed your freight tunnel permit request and determined there are conflicts. Click the "Routing History" tab (then scroll and click to view rejected Step 17 notes) to see the specific reasons why DoE did not approve and make the necessary corrections. Upload the freight tunnel permit into the "4. Documents" folder (file name: PWXXXX-XXXX_DoE Freight Tunnel Permit (XXXX-XXXX denotes the Constructware PW number)). Select "Step Complete" from the action drop-down list and click the "Save/Close" button.
20	7	Owner / Point of Contact	Obtain a Harbor Permit from CDOT DoE	Chicago Department of Transportation (CDOT) has requested that you schedule a meeting with CDOT Division of Engineering (DoE) to obtain a harbor permit. Upload the harbor permit into the "4. Documents" folder (file name: PWXXXX-XXXX_DoE Harbor Permit (XXXX-XXXX denotes the Constructware PW number)). Select "Step Complete" from the action drop-down list and click the "Save/Close" button.
22	7	Owner / Point of Contact	Resolve Harbor Permit Conflicts	CDOT Division of Engineering (DoE) has reviewed your harbor permit request and determined there are conflicts. Click the "Routing History" tab (then scroll and click to view rejected Step 21 notes) to see the specific reasons why DoE did not approve and make the necessary corrections. Upload the bridge permit into the "4. Documents" folder (file name: PWXXXX-XXXX_DoE Bridge Permit (XXXX-XXXX denotes the Constructware PW number)). Select "Step Complete" from the action drop-down list and click the "Save/Close" button.

Constructware Permit Applicant Point of Contact Quick Guide				
Step No.	**Estimated Time (Days)**	**User(s)/Routing Role(s)**	**Description**	**Instructions to User(s)**
23	N/A	Owner / Point of Contact	Obsolete Step	This step is obsolete. Select "Step Complete" from the action drop-down list and click the "Save/Close" button.
25	N/A	Owner / Point of Contact	Obsolete Step	This step is obsolete. Select "Step Complete" from the action drop-down list and click the "Save/Close" button.
26	N/A	Owner / Point of Contact	Obtain a GoP from DBACP	Chicago Department of Transportation (CDOT) has requested that you schedule a meeting with the Department of Business Affairs and Consumer Protection (DBACP) to obtain a Grant of Privilege (GoP). A GoP is required through the Department of Business Affairs and Consumer Protection (DBACP) for all permanent installations in the public way. Contact Stan Adams at stanley.adams@cityofchicago.org or at 312-744-1970 to start this process. The permit will not be authorized until the GoP is obtained. Proof of GoP will be required. Upload the GoP into the "4. Documents" folder (file name: PWXXXX-XXXX_Grant of Privilege (XXXX-XXXX denotes the Constructware PW number established for this project)). Click the "Save/Close" button.
28	7	Owner / Point of Contact	Resolve DBACP GoP Conflicts	Department of Business Affairs and Consumer Protection (DBACP) has reviewed your Grant of Privilege (GoP) request and determined there are conflicts. Click the "Routing History" tab (then scroll and click to view rejected Step 27 notes) to see the specific reasons why DBACP did not approve and make the necessary corrections. Upload the GoP into the "4. Documents" folder (file name: PWXXXX-XXXX_Grant of Privilege (XXXX-XXXX denotes the Constructware PW number)). Select "Step Complete" from the action drop-down list and click the "Save/Close" button.
29	7	Owner / Point of Contact	Fill Out OUC Application	Chicago Department of Transportation (CDOT) is requesting that you begin the application process of the Office of Underground Coordination (OUC) review for your project. Cut and paste the following hyperlink into your web browser address bar and select "Step Complete" when the OUC application is completed: https://www.cdotmap.com/ouc/project_request Include the Constructware PW number in the OUC application form (input into ProjectDox in "CDOT Geotech Project Number" and "Project Description"). Download the Distribution List created by CDOT from the "6. OUC" folder on Constructware. Upload this Distribution List into the "Documents" folder in ProjectDox as filename EFP-XXXXXX_Distribution List (XXXXXX denotes the OUC EFP number). NOTE: OUC is a separate process from Constructware. OUC conflicts must be resolved/coordinated through the OUC process directly (outside of Constructware). OUC review will expire six months from the response required date (refer to ProjectDox) within the area bounded by North Avenue, Halsted Street, Cermak Road, and Lake Michigan. Outside these mentioned limits, the OUC will expire one year from the response required date. Note that OUC expiration results in a complete resubmittal of the project and restart of the permit process.
34.1	N/A	Owner / Point of Contact	Resolve OUC Conflicts or Missing Responses	Chicago Department of Transportation (CDOT) has requested that you complete the action items from Step 34 (click the "Routing History" tab (then scroll and click to view rejected Step 34 notes)).
38	7	Owner / Point of Contact	Resolve Deep Ex Review Package Conflicts	Chicago Department of Transportation (CDOT) has reviewed the Deep Ex Review Package and determined there are conflicts. Click the "Routing History" tab and refer to the notes (click the memo icon to view notes) in Step 35 to see the specific reasons why CDOT did not approve and make the necessary corrections. Refer to previous Step 9 instructions for resubmittal. Additionally, the resubmittal for the Deep Ex Review Package shall be a combined package in the order of certification letter, checklist, disposition of comments, written approval(s), calculations, procedures (if applicable), cut sheets (if applicable), Deep Ex related plans only, and soils report (if applicable). Also, upload the Deep Ex Review Package (in a single file PDF format) in "3. Deep Ex Review" folder (file name: PWXXXX-XXXX_Deep Ex Review Package Y (XXXX-XXXX denotes the Constructware PW number established for this project and Y denotes the submittal iteration number (i.e. 2, 3, etc.))). After the revised Deep Ex Review Package has been submitted following all instructions/guidelines (upload and hardcopies), select "Step Complete" from the action drop-down list and click the "Save/Close" button.
39	7	Owner / Point of Contact	Resolve Final Documents & Letters Conflicts	Chicago Department of Transportation (CDOT) has reviewed the Final Documents & Letters and determined there are conflicts. Click the "Routing History" tab and refer to the notes (click the memo icon to view notes) in Step 36 to see the specific reasons why CDOT did not approve and make the necessary corrections. Upload the documents and letters in "4. Documents" folder based on the Deep Ex Final Checklist upload by CDOT (completion of Step 33) and when deep excavation review has been completed and accepted. Refer to the Deep Ex Final Checklist provided (or will be provided) that is available in Constructware in the "7. Meetings" folder of the project by close of business on the date specified in the "Notes" in Step 33. Also, refer to the "Notes" in Step 34 for any further documentation requirements. Name files using the applicable naming convention: PWXXXX-XXXX_Written Approval from Z PWXXXX-XXXX_Receipt from Z PWXXXX-XXXX_Public Way Damage Repair Letter PWXXXX-XXXX_Contractor Written Verification Letter PWXXXX-XXXX_Utility Coordination Letter (XXXX-XXXX denotes the Constructware PW number established for this project and Z denotes the entity for which the approval or receipt is from). After the Final Documents & Letters have been uploaded, select "Step Complete" from the action drop-down list and click the "Save/Close" button.

Constructware Permit Applicant Point of Contact Quick Guide				
Step No.	**Estimated Time (Days)**	**User(s)/Routing Role(s)**	**Description**	**Instructions to User(s)**
40	40	Owner / Point of Contact	Resolve Final Project Plan Set Conflicts	Chicago Department of Transportation (CDOT) has reviewed the Final Project Plan Set and determined there are conflicts. Click the "Routing History" tab and refer to the notes (click the memo icon to view notes) in Step 37 to see the specific reasons why CDOT did not approve and make the necessary corrections. After OUC approval (from ProjectDox) and Deep Ex Review Package approval, upload the Final Project Plan Set (in a single file PDF format with all sheets signed and sealed with seal expiration date) in "3. Drawings" folder (file name: PWXXXX-XXXX_Final Project Plan Set (XXXX-XXXX denotes the Constructware PW number established for this project)). The Final Project Plan Set is your approved contract drawings of field work approved by OUC and CDOT (with no deviations allowed after approvals). After the Final Project Plan Set has been submitted, select "Step Complete" from the action drop-down list and click the "Save/Close" button.
41	N/A	Owner / Point of Contact	Obsolete Step	This step is obsolete. Select "Step Complete" from the action drop-down list and click the "Save/Close" button.

Denotes a CDOT Task

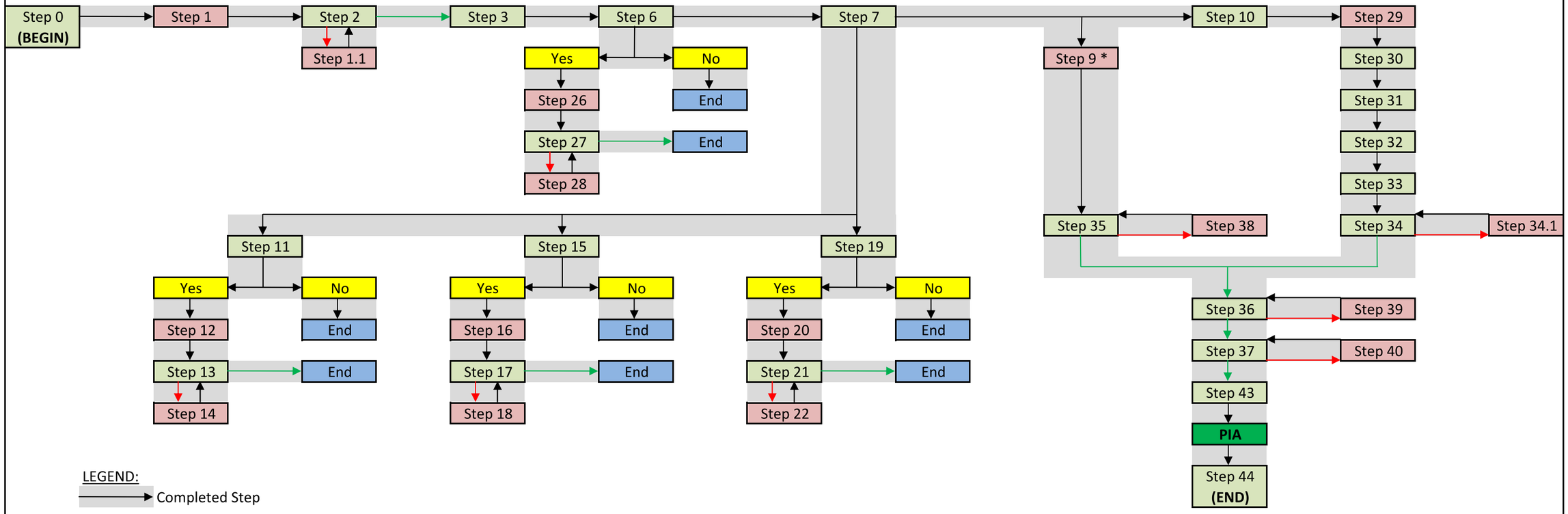
Denotes a Point of Contact Task

Constructware All Steps Route Flow			
Step No.	**Estimated Time (Days)**	**User(s)/Routing Role(s)**	**Description**
0	N/A	Geotechnical	Initial Launch of Route
1	7	Owner / Point of Contact	Upload Preliminary Documentation
1.1	7	Owner / Point of Contact	Preliminary Documentation Not Approved
2	7	Geotechnical	Review & Approve Preliminary Documentation
3	N/A	Geotechnical	Upload Intake Meeting Minutes
4	N/A	Geotechnical	Obsolete Step
5	N/A	Owner / Point of Contact	Obsolete Step
5.1	N/A	Geotechnical	Obsolete Step
5.2	N/A	Geotechnical	Obsolete Step
5.8	N/A		Parallel Step #1 - Start
5.9	N/A		Parallel Step #2 - Start
6	1	Geotechnical	Require DBACP Review?
7	1	Geotechnical	Require CDOT Division of Engineering Review?
7.1	N/A		Parallel Step #4 - Start
7.2	N/A		Parallel Step #4 - End
7.9	N/A		Parallel Step #3 - Start
8	1	Geotechnical	Obsolete Step
9	14	Owner / Point of Contact	Submit Deep Ex Review Package
9.1	N/A		Parallel Step #6 - Start
10	N/A	Geotechnical	Create Distribution List
10.1	N/A		Parallel Step #3 - End
11	1	Geotechnical	Require Bridge Permit Review?
12	7	Owner / Point of Contact	Obtain a Bridge Permit from CDOT DoE
13	7	Geotechnical	Review & Approve Bridge Permit
14	7	Owner / Point of Contact	Resolve Bridge Permit Conflicts
15	1	Geotechnical	Require Freight Tunnel Permit Review?
16	7	Owner / Point of Contact	Obtain a Freight Tunnel Permit from CDOT DoE
17	7	Geotechnical	Review & Approve Freight Tunnel Permit
18	7	Owner / Point of Contact	Resolve Freight Tunnel Permit Conflicts
19	1	Geotechnical	Require Harbor Permit Review?
20	7	Owner / Point of Contact	Obtain a Harbor Permit from CDOT DoE
21	7	Geotechnical	Review & Approve Harbor Permit
22	7	Owner / Point of Contact	Resolve Harbor Permit Conflicts
23	N/A	Owner / Point of Contact	Obsolete Step
24	N/A	Geotechnical	Obsolete Step
25	N/A	Owner / Point of Contact	Obsolete Step
26	N/A	Owner / Point of Contact	Obtain a GoP from DBACP
27	60	Geotechnical	Review & Approve DBACP GoP
28	7	Owner / Point of Contact	Resolve DBACP GoP Conflicts
29	7	Owner / Point of Contact	Fill Out OUC Application
30	N/A	OUC	Enter OUC Number & OUC Due Date
30.1	N/A		Parallel Step #5 - Start
31	35	OUC	OUC Permit Process Complete?
32	7	Geotechnical	Schedule Deep Ex Final Checklist Upload
33	45	Geotechnical	Create Deep Ex Final Checklist
34	7	Geotechnical	OUC Review Complete?
34.1	N/A	Owner / Point of Contact	Resolve OUC Conflicts or Missing Responses
34.2	N/A	Geotechnical	Obsolete Step
34.3	N/A	Geotechnical	Obsolete Step
35	1st cycle - 14 2nd cycle - 14 Further Additional Cycles - Up to 28	Geotechnical	Review & Approve Deep Ex Review Package
36	1st cycle - 14 2nd cycle - 14 Further Additional Cycles - Up to 28	Geotechnical	Review & Approve Final Documents & Letters
37	1st cycle - 14 2nd cycle - 14 Further Additional Cycles - Up to 28	Geotechnical	Review & Approve Final Project Plan Set
38	7	Owner / Point of Contact	Resolve Deep Ex Review Package Conflicts
39	7	Owner / Point of Contact	Resolve Final Documents & Letters Conflicts
40	40	Owner / Point of Contact	Resolve Final Project Plan Set Conflicts
40.1	N/A		Parallel Step #6 - End
40.3	N/A		Parallel Step #5 - End
40.4	N/A		Parallel Step #2 - End
40.5	N/A		Parallel Step #1 - End
41	N/A	Owner / Point of Contact	Obsolete Step
41.1	N/A	Geotechnical	Obsolete Step
42	N/A	Geotechnical	Obsolete Step
43	N/A	Geotechnical	Provide Damage Control Letter
44	N/A	Geotechnical	Provide Project Closeout Letter

Denotes a CDOT Task

Denotes a Point of Contact Task

Constructware All Steps Route Flow Chart



LEGEND:

- Completed Step
- Rejected Step (Step will go in a loop until the CDOT task is approved.)
- Approved Step
- CDOT Task
- Point of Contact Task
- PIA — Permit Issuance Authorized

* Completion of Step 9 will generate Steps 35, 36, & 37 simultaneously. Steps 36 & 37 will be rejected in the first round and can only be completed upon approval of Steps 34 & 35.

APPENDIX I

CDOT DIM GEOTECHNICAL REVIEW GUIDELINES, CHECKLIST, AND ERS REQUIREMENTS

Appendix D
Geotechnical Review Checklist

Private and Public Developments which have excavations, foundations or earth retention system that are equal to or greater than 12 feet below adjacent (existing) grade and/or excavations deeper than 4 feet that extend beyond the development's property lines and into the Public Way require a geotechnical review. The following is a partial list of items that require geotechnical review:

- Deep foundation members such as caissons, drilled shafts to rock, H-piles, pipe piles, auger-cast piles, micropiles, timber piles, stone columns
- Underpinning elements such as micropiles, hydraulically pushed piers, helical piers and any other form of underpinning.
- Footing or matt foundations (deep excavation because of poor soils and/or because of proposed basements)
- Earth Retention System include but are not limited to steel sheet piling, soldier pile and lagging, slurry walls, secant pile walls, ground improvement for earth retention, rings and lagging, timber sheeting, timber boards and lagging, trench boxes or equivalent shoring systems.
- Elevator pits
- Elevator with hydraulic pistons
- New pits or excavations within the basement of an existing building
- Backfilling and/or restoration of vaulted sidewalks (Note: this is a special case whereby **any** depth applies

For a building project, contact the Department of Buildings (DOB) or Mr. Avikam Hamieri (312-742-6084) to start the building or foundation permit process which will include OUC. For non-building infrastructure projects, bridges, roadways, utilities, tunnels, etc., contact the OUC or Mr. Zenon Stuck (312-742-3130) to start the geotechnical review. The geotechnical review is concurrent with the OUC EFP process and the geotechnical approval is required for OUC to issue permit issuance authorized. The geotechnical calculations are not required prior to OUC EFP submittal.

The CDOT Geotechnical Reviewer will schedule an Intake Meeting to review process and assist the Permittee as needed. It is the responsibility of the Designer to complete and submit this checklist along with all required drawings and calculations for Geotechnical Review.

In addition to the requirements on the Plan Preparation Checklist (Appendix D), the drawing set shall include the items shown in this document, if applicable, including but not limited to the areas to be excavated and/or the areas where earth retention is required, clearly indicated on Excavation (EX) and/or Earth Retention System (ERS) plans. Earth retention system design (if applicable) will be included as part of the review process along with drawings, geotechnical and structural calculations and installation sequence. Foundation bearing capacity calculations, settlement, (total and differential) calculations and testing procedures (if applicable) must be provided. Monitoring by a licensed surveyor during construction may be required for the protection of adjacent public property and will be outlined as needed by CDOT upon final approval.

Appendix D
Geotechnical Review Checklist

1.0 GEOTECHNICAL REPORT

1.	Include written report, boring logs and location plan.	
2.	Provide top of boring elevation tied to Chicago City Datum (CCD)	
3.	Adequate number of borings to cover the entire building site (a minimum of two borings for the first 10,000 square feet of the building footprint and one boring for every 10,000 square feet thereafter, or fraction thereof)	
4.	Adequate depth of boring is required to be a minimum dimension below bearing elevation either two times the footing width for spread footings or two times the maximum bell diameter for caissons (drilled shafts)	
5.	Log shall show ground water levels, Standard Penetration test values (N), Unconfined Compressive Strength values (Q_u), Water Content values, and Soil Classification by strata	
6.	Pressuremeter tests for bearing capacities greater than 21 ksf (minimum two borings)	
7.	Vane Shear tests (recommended) in soft clays for Earth Retention System (ERS) design and/or to check for caisson squeeze (minimum of two borings)	

2.0 DRAWINGS

2.1a COVER SHEET

1.	Complete sheet index block in the lower right-hand corner with the project OUC Number (initial submittal (20## - #####), project name, and sheet numbers.	
2.	Show title information in the top center of the sheet and include: Project route number, common name, street name, Location of improvement, and Type of improvement.	
3.	Show the graphic scales used on plans & profiles in the lower left-hand side of the sheet.	
4.	Provide a project layout map at bottom center of the sheet. Include on the map: Location of project, and north arrow, Beginning and end stations, Important intermediate stations, Prominent features, Names for special features, Route and street names, scale of location map, and Equation stations.	
5.	Provide the project gross and net lengths immediately below the layout map. Only include the mainline distances. Do not include length of intersection improvements.	
6.	Include the designer (company) name or Agency name. The drawings must be sealed, signed and dated by a Professional Engineer or Structural Engineer licensed in the State of Illinois, depending on the project scope of work.	
7.	Show the information for C.U.A.N. on the lower left hand side of the cover sheet.	
8.	Show the legend for symbols denoting existing and proposed features.	

2.1b INDEX OF SHEETS, HIGHWAY STANDARDS, AND PLANS NOTES

1.	Completely fill out the sheet index (**Can be placed on cover sheet**).	
2.	Provide a list of all *IDOT Highway Standards* necessary to construct the project. Also, include the revision number (**Can be placed on cover sheet**).	
3.	Include all applicable general plan notes (**Can be placed on cover sheet**).	

2.2 SITE PLANS

1.	Locate column lines/work from property lines in N-S and E-W directions.	
2.	Locate property lines from cross street right-of-way (ROW) lines	
3.	Indicate elevations in CCD	
4.	Show existing grades	

2.3 PLAT SURVEY

1.	Must provide ALTA survey dated within the last 180 days or else update is required	
2.	Show existing utilities (gas, water, sewer, electric, telecom, freight tunnels, etc.) or provide a separate utility plan (see Civil Plans and Details below)	
3.	Utility information shall be obtained through an OUC Information Retrieval (IR).	
4.	Show existing grades, streets, alleys and sidewalks, etc.	
5.	Are any property vacations required?	

2.4 ARCHITECTURAL FLOOR PLANS, BUILDING SECTIONS, AND ELEVATIONS

(if applicable)

1.	Show property lines, column lines, floor elevations and pit elevations	
2.	Elevator pistons located from column tiles.	
3.	Correlate building datum to CCD on sheets	

2.5 STRUCTURAL FLOOR PLANS, FOUNDATION PLAN, CAISSON/PLAN PILE

(if applicable)

1.	Same as Architectural plus	
2.	Show all adjacent buildings/structures on plans with sections	
3.	Show encroachments of any components beyond property line on plan with sections (caps, grade beams, caisson shafts and bells, piles, etc.)	
4.	Dimension of encroachments beyond property lines (caisson bells must include over dig.)	
5.	Encroachments may require City Council approval. Verify	
6.	Caisson and/or pile details with bearing elevation and bearing capacity	
7.	Spread footing and/or matt details with bearing elevation and bearing capacity	

2.6 CIVIL PLAN AND DETAILS

1.	Show location of new sidewalks, driveways, alleys, curb and gutters, street pavements/drop-off lanes	
2.	Pavement Details (Appendix A)	
3.	New plumbing lines, structures and service connections	
4.	Dimension all sewer and water connections to nearest cross street right-of-way line	
5.	Show storm water retention structures with locations, depth and typical sections	
6.	Existing utility plan if not shown on Plat of Survey (see Item 2.3 for details)	

2.7 PLUMBING DRAWINGS ((if applicable)

1.	Street names, property lines; all underground utility plans (underground, basement, first floor)	

2.8 LANDSCAPING DRAWINGS (if applicable)

1.	Landscaping plans and details	
2.	Planting/species list	

2.9 EARTH RETENTION SYSTEM/EXCAVATION DRAWINGS

1.	Property lines and column lines	
2.	Earth retention components and Open Cut slopes with locations from property lines	
3.	Dimension of encroachments beyond property lines	
4.	Dimension all sewer and water connections to nearest cross street right-of-way line	
5.	Encroachments may require City Council approval. Verify	
6.	Adjacent structures, existing utilities and excavation limits	
7.	Typical section on all sides showing all conditions – Include existing grades, bottom of excavation, excavation slopes, top and lower tip elevations of earth retention, bottom of adjacent foundation (underpinning required?) and utilities	

2.10 LOGISTIC PLANS: SIGNED BY CDOT DIVISION OF PERMITS (MIKE SMITH)

1.	Property lines, streets, sidewalks and alleys (including utility poles)	
2.	Utility lines (including sewer, water, electric and gas)	
3.	Portion of street, alley and sidewalks to be closed	
4.	Fences, barricades and pedestrian canopies (existing and proposed) with location dimensions	
5.	Typical section along each side	

3.0 FOUNDATION DESIGN CALCULATIONS AND INSTALLATION PROCEDURES

Upon completion of OUC EFP Submittal, the Permittee shall submit design calculations required by CDOT Geotechnical Reviewer. Hand calculations are required; computer output is not accepted. A general listing of typical calculations is provided below for reference; additional calculations may be required on an individual project/site specific basis. Additional requirements specific to soil testing and analysis as well as foundation load testing and design parameters may be found in the Chicago Building Code, Chapter 18 – Soils and Foundations.

A. Foundation Design Calculations and Construction Procedures
   - A1. Foundation Bearing capacity – Hand calculations for all types of foundations used: Shallow (footing, mats, etc.); deep (caisson, piles); and/or combination
   - A2. Foundation Structural capacities of steel piles (12 ksi max. per Chicago Building Code)
   - A3. Settlement – Total and differential settlements
   - A4. Installation Procedures – Caissons, Drilled Shafts, Piles
   - A5. Load test procedures – Caissons, Drilled Shafts, Piles

B. Underpinning of Existing Building
   - B1. Structural capacity of underpinning piles
   - B2. Underpinning pier (pile) static capacity
   - B3. Design of underpinning brackets
   - B4. Analysis to determine if adjacent existing footing/walls are capable of withstanding anticipated pressures/stress
   - B5. Underpinning installation procedure

C. Adjacent Structure Analysis and Protection
   - C1. Existing footing/wall sub-grade bearing capacity/stability analysis for reduced factors of safety because of removal of soil surcharge above existing footings
   - C2. Global Stability Analysis

4.0 EARTH RETENTION CALCULATIONS AND INSTALLATION PROCEDURES

4-1. Common Items

The following items are to be included with all earth retention (ERS) submittals. All ERS drawings and calculations to be sealed and signed by Structural Engineer licensed in the State of Illinois.

A. Hand calculations are required; computer output is not accepted.
B. Boring logs, field/lab test data and Final Site (Project) Specific Geotechnical Report.
C. List all design assumptions used in the calculations, as they are introduced in sequence of computations.
D. Provide copies of relevant pages of references used in the calculations. These include all graphs, charts, or tables used in the analysis or design.

E. Provide copies of catalogue cuts, tables of material properties used in the structural calculations.
F. All submittals must begin with a sketch and/or listing of soil layering, soil parameters, and design water level assumed in the calculations. Specific borings which were used in establishing the design conditions should be identified by boring numbers as given on the logs.
G. Calculations should show cross-sections giving design elevations for:
    i. Top and toe of the wall
    ii. Existing surrounding ground
    iii. Bottom of the excavation
    iv. Existing adjacent foundations within the zone of influence
    v. Cut slopes and set-backs
    vi. Water elevation
H. All formulas must be listed, as they are being used in the various parts of the calculations.
I. Include all calculation steps that are a normal part of an actual hand solution whether or not a computer-assisted analysis/design was used. Do not submit recopied computer output as hand calculation.
J. Construction surcharge should be actual conditions planned by the contractor (crane loading included) or minimum traffic surcharge of 240 psf uniformly distributed vertical load.
K. ERS drawings must include plan views and cross-sections which are consistent with the final design options, eliminating alternatives. Sufficient cross-sections must be provided to show top of grade, cutback slopes, adjacent buildings, sidewalks, alleys, and roadways, as well as utilities with the zone of influence (within 2.5 times the excavation depth from grade).
L. A Groundwater Control Plan and dewatering calculations prepared by an Illinois registered PE must be submitted for review in all cases where well/wellpoints and/or dewatering are necessary to maintain a dry, stable excavation.
M. ERS drawings must include Sequencing of work from pot-holing for foundations and pre-trenching for earth retention to backfilling of area to adjacent (proposed) street grade. Include step by step procedures regarding installation of bracing and removal of bracing per the staged excavation design calculations. All items in the construction procedure shall correspond to items checked in the ERS design.

4-2. Earth Retention System (ERS) Items – General

The ERS submitted must include calculations for the design of all vertical wall components and for all bracing components. For example, depending the system selected, this may include design for:

- Sheet piles, soldier piles and lagging, secant piles, slurry walls, etc.
- Walers, struts, rakers, kicker blocks, anchors, and temporary earth berms.

- Utility supports for existing infrastructure.
- Use of proprietary systems, such as trench boxes or slide rail shoring, requires that a structural engineer licensed in the state of Illinois confirm that the systems components are satisfactory for site-specific conditions. Manufacturers or suppliers cut sheets must be submitted, listing serial numbers of frames or boxes proposed for use on the project.

4-3. Items Specific to Cantilever Wall Analysis/Design

In addition to Common Items and ERS Items - General, the following must be included as part of the submitted.

A. Provide a step-wise calculation of lateral pressure distribution. Calculate pressures at every change of state of the problem, e.g. stratum boundaries excavation depth, brace or anchor level, adjacent foundation load as it varies with depth.

B. Plot lateral pressures on diagram to reasonable size for illustration. Split diagram into sensible triangular and rectangular units; identify units by letter or number for use in moment equations. Account for all components of load: soil, water, and surcharge.

C. In cases where a theoretical negative or small positive active earth pressures are predicted through clay strata, a minimum active earth pressure of $0.25\gamma_z$ should be substituted, where γ_z is the total overburden pressure at depth z.

D. Provide moment calculations based on above pressure diagram, solving for wall embedment depth required for rotational equilibrium (SF=1.0) about the toe. Show intermediate steps, reducing moment expression to its final form for solution. Find zero shear, maximum moment, to size sheeting.

E. Provide additional embedment length to establish safety factor or margin of safety vs. rotational failure about the toe. Any of the generally recognized methods of determining design embedment depth may be used. However, a minimum safety factor of 1.5 vs. ultimate passive resistance is required in all cases.

F. Provide analysis of structural wall deflection and ground deformation required to mobilize passive resistance. The support assumption for structural deflection should be consistent with figure 6.1 of the U.S. Army Corps of Engineers EM 1110-2504 “Design of Sheet Piles Walls”. The transition/rotation of the soil/wall system can be estimated roughly from NAVFAC DM 7.2-6.2, based on soil type.

G. A check of base stability or overall (global) stability should be made using generally accepted methods. The minimum allowable factor of safety is 1.5.

4-4. Items Specific to Single Level Braced or Anchored Walls

In addition to Common Items and ERS Items - General, the following must be included.

A. The free-earth support method should be used as the basis of design. No moment reduction due to flexibility of the wall should be assumed.
B. Provide calculations to show the wall embedment depth required for rotational equilibrium about the brace or anchor level (SF=1.0 condition). Provide additional embedment length required for safety factor as in cantilever case.
C. Provide strut or anchor load calculations by taking moment about toe. Size sheeting as a beam with above system of forces applied.
D. Bracing Calculations.

4-5. Items Specific to Walls with Two or more Levels of Bracing

In addition to Common Items and ERS Items - General, the following must be included.

A. Provide analyses for cantilever and single brace stages, strut removal, and final depth of excavation stages.
B. Use generally recognized apparent earth pressure envelopes for determining multi-tier strut loads, do not reduce strut or anchor loads to account for temporary conditions.
C. Provide base stability analysis for full and partial depth of cut, as needed to final critical correlation. Minimum required safety factor is 1.5.
D. An estimate of adjacent ground movement should be made (Clough's method or alternate) accounting for stiffness of proposed wall used safety factor vs. basal heave.
E. When analyzing overall stability of the execution, do not include friction between the wall and retained soil as contributing to stability of the system.
F. Provide design for all bracing component (walers, struts, rakers, etc.)

4-6. Bracing

In addition to Common Items and ERS Items and appropriate bracing analysis, the following must be included.

A. Ground Anchor (tieback) design shall include un-bonded and bonded length calculation and related sketch; testing procedures (proof, performance and creep), production anchor procedure.
B. Provide design of all bracing components (walers, struts, rakers, etc.). If friction along the wall/soil interface is considered, do not reduce load on the walers by more than 20% of the waler load per linear foot as an allowance for friction.

C. Structural design: stiffeners, connections, support brackets. Check compact and non-compact sections.

CDOT-DIM Geotechnical Review Guidelines

Private and public projects which have excavations and/or penetrations equal to or greater than 12 feet below existing grade will require geotechnical and Office of Underground Coordination/Existing Facility Protection (OUC/EFP) reviews and approvals from Chicago Department of Transportation's (CDOT) Division of Infrastructure Management (DIM). In addition, any excavation deeper than 4 feet that extends beyond the property lines and into the public way will require OUC review. The following is a partial list of items that will require both the geotechnical and OUC reviews:

A. Deep foundation members such as caissons, drilled shafts, H-piles, pipe piles, auger-cast piles, micropiles, helical piers, timber piles, dynamic compaction, etc.
B. Underpinning elements such as micropiles, hydraulically pushed piers, helical piers and any other form of underpinning.
C. Earth retention systems (ERS) that include, but not limited to, steel sheet piling, soldier piles and lagging, slurry walls, secant walls, ground improvements for ERS, rings and lagging, timber sheeting, timber boards and lagging, trench boxes and/or any other equivalent shoring systems.
D. Backfilling and/or restoration of vaulted sidewalks, vaulted alleys, and/or any other vaulted areas in the public way (this is a special case whereby any depth applies).

For all building projects requiring building permits, contact the Department of Buildings (DOB) to start the building permit process which may include OUC/EFP review, geotechnical review, ERS review, etc. In these cases, OUC/EFP process is the responsibility of the DOB.

For projects requiring permits that will affect the public way such as bridges, roadway structures, utilities, tunneling, jack and bore, directional drilling, dynamic compaction, etc. contact Mr. Adam Ali (at adam.ali@cityofchicago.org or 312-742-3130) to start the geotechnical and OUC/EFP review process. The geotechnical review shall proceed concurrently with the OUC/EFP process. The start of the OUC/EFP process shall be coordinated with Mr. Adam Ali. Both the geotechnical and OUC/EFP review approvals are required prior to issuance of permit by CDOT.

The project manager shall contact Mr. Adam Ali of CDOT to schedule an intake meeting (electronic or in-person) to start the permit review process of the proposed project along with the OUC/EFP submittal. It is the responsibility of the project manager to submit complete required calculations and drawings for geotechnical review. The submitted documents shall be 100% complete, signed and sealed (with seal expiration date), and ready for construction.

In addition to the geotechnical and OUC/EFP reviews, CDOT will advise the project manager which other permits and approvals will be required such as harbor permits, bridge permits, grant of privilege approvals for installation in the city's right-of-ways (public ways), freight and trolley tunnel permits, vacations, dedications, easements, etc.

It is required that the project manager provide a complete set of drawings and reports as indicated in the CDOT-DIM Geotechnical Review Guidelines for the initial intake meeting. Drawings must include all items of work including, but not limited to, all excavation area limits, all structural elements, penetrations, limits of the proposed ERS on plans and sections indicating all geometry of the ERS, length and layout of tie-backs (if any), adjacent utilities, etc. The project manager should submit a complete set of calculations, procedures, drawings, and reports for geotechnical review to CDOT. The submittal shall include, but not limited to, ERS design, installation procedures (i.e. tie-backs, trench boxes, caissons, jack and bore, piles, directional drilling, etc.), bearing capacity and settlement calculations from the Geotechnical Engineer of Record, testing procedures (if applicable), geotechnical report, etc.

Damage monitoring of the City's right-of-way (ROW) during construction by licensed surveyors may be required for the protection of adjacent facilities, utilities, and infrastructures. Prior to permit authorization, CDOT will provide damage monitoring criteria requirements (after the completion and approvals of the geotechnical and OUC/EFP reviews). Prior to the start of any work, call DIGGER at 811, two days (minimum) to locate/mark all existing facilities and utilities.

1.0 GEOTECHNICAL INVESTIGATION AND RECOMMENDATION REPORT

A. Provide written reports with recommendations for all recommended foundations, ERS, excavations, backfilling, dewatering, installation procedures, etc. Report must be signed and sealed (with seal expiration date) by the Geotechnical Engineer of Record (Professional Engineer (PE)).
B. Provide adequate soil borings covering the entire area of installations. A minimum of one new soil boring at the project site is required. Larger areas of work will require a minimum of one soil boring every two city blocks or as directed otherwise.
C. Soil borings must be drilled below the bottom of the proposed element installations (caissons, piles, ERS, etc.) and excavations to support design requirements. When caissons are proposed on top and/or into bedrock, it is required to obtain core borings to sufficient depths below the proposed bottom of caissons.
D. Soil boring logs shall include top elevation of existing ground surface, ground water levels, standard penetration test (N) values, unconfined compressive strength and/or shear strength values, natural water content values, soil/rock core classifications with each strata layer identified, etc.
E. In-situ testing is recommended for the design of ERS, bearing capacity of deep foundations, and settlement/lateral movements. Testing may include, but is not limited to, pressuremeter, vane shear, cone penetrometer, and other testing recommended by the Geotechnical Engineer of Record.

2.0 DRAWINGS

A. Each drawing must be 100% complete and ready for CDOT review.
B. Each drawing must be signed and sealed (with seal expiration date) by an Illinois PE and/or Illinois Structural Engineer (SE).
C. Drawings must clearly show all excavation/penetrations (with dimensions) being performed at any stage of the construction sequence or process.
D. Each drawing shall indicate the latest submittal date(s) and revision number(s).

2.1 Cover Sheet

A. Provide the project name and address.
B. Provide the design company full contact information (name, address, telephone number, etc.).
C. Provide the location/vicinity map with the area of work clouded or circled including north arrow.
D. Provide the scale used for drawings.
E. Provide the scope of work description.
F. Indicate legends for symbols for existing and proposed utilities.
G. Provide the project PW number.
H. Provide an index table including all drawing/sheet numbers, drawing sheet title, revision date, and revision number.

2.2 Plat of Survey

A. Must provide American Land Title Association (ALTA) survey prepared and dated within the last six months in the Central Business District (CBD) and within one year outside the CBD (CBD bounded by North Avenue (north limit), Halsted Street (west limit), Cermak Road (south limit), and Lake Michigan (east limit)).
B. Show all existing utilities (gas, water, sewer, electric, telephone, telecom lines, freight and trolley tunnels, abandoned water tunnels, etc.).
C. All existing utilities indicated must have been retrieved through the OUC Information Retrieval (IR): (https://www.chicago.gov/city/en/depts/cdot/supp_info/ouc--informationretrievalprocess.html)
D. Show existing streets, alleys, sidewalks, existing adjacent buildings, etc.
E. Indicate all vacated and easement corridors.

2.3 Civil Plan and Details

A. Provide a site plan indicating new and/or existing sidewalks, alleys, streets, proposed grades, etc.
B. Provide a demolition plan indicating all areas to be removed (sidewalks, alleys, streets, utility lines, utility structures, etc.).
C. Provide the existing condition plan indicating existing grade streets, sidewalks, alleys, utility lines, utility structures, etc.
D. Provide the proposed utility plan indicating all proposed utility lines and utility structures. All new utility lines and structures shall have dimensions from street ROW lines (longitudinally and transversely at proposed work limits).
E. Provide elevations and section detail drawing(s) indicating all proposed utility profiles and utility section details.

2.4 Structural Plans

A. Provide a foundation plan indicating new foundations (caissons, grade beams, piles, cap footings, etc.).
B. Provide foundation details showing typical section details for caissons, piles, footings, etc.

2.5 ERS/Excavation Drawings

A. Provide locations with dimensions of ERS/excavation limits. Dimensions of all proposed ERS/excavation shall be from street ROW lines. Include all existing utilities, existing adjacent buildings, encroachments into the public way, etc.
B. Provide typical section details showing existing grade lines, top and tip elevation of proposed ERS, top and bottom of all sloped excavations. Section details must indicate ROW/property lines, existing utility lines/utility structure, adjacent buildings, any encroachments in the public way, etc.

2.6 Maintenance of Traffic (MOT) Plans

A. Provide a plan view indicating streets, sidewalks, alleys (including utility poles), existing CTA structures, CTA bus stops, fences, barricades, canopies with dimensions from ROW

lines, etc. Also, indicate portions of streets, sidewalks, and alleys to be closed and any detours.

B. For additional requirements and typical details refer to CDOT regulations for construction and repair in the public way.

2.7 Trench Boxes

A. Provide detailed step-by-step installation sequence/procedure that includes all dimensions of the open trench (length, width, and depth) for trench box placement.

B. Installation sequence/procedure shall indicate immediate backfilling of the over-excavated areas/voids between the excavated trench sides and trench box with specified fine grain soil after the trench box placement, excavation to specified grades, utility line/structure installations, backfilling sequence, etc.

C. All excavation within the trench box shall be backfilled to street pavement level and/or to the existing grade level prior to removal of the trench box and/or sliding forward of the trench box for the next segment of installation.

2.8 Dewatering

A. Dewatering calculations and dewatering drawings must be provided from the dewatering contractor (signed and sealed with seal expiration date from a PE).

B. Design calculations for discharge volume, well point spacings, well point diameter and required length of the well points must be provided by the dewatering contractor. Submittal document shall include dewatering drawing with well points location plan and typical well point details showing existing grade, ground water level, diameter of hole, diameter of well point, length of the well point, etc.

C. Dewatering by sump and pump method is only possible if steel sheeting and/or any other impervious systems such as slurry walls, secant walls, etc. are used and driven/installed to at least 2 feet into silty clay. For soldier pile and lagging ERS in granular soils with groundwater, dewatering by sophisticated methods (well points, etc.) to at least 2 feet below the bottom of excavation level will be required.

2.9 Jack & Bore

A. All open areas around pipe openings must be properly designed to avoid any inflow of soils and groundwater into the pits. ERS elements around pipes must be designed and detailed in the drawings as well.

2.10 Installation Procedures

A. Contractor's means and methods, installation procedures, etc. must be indicated/shown on the drawings. Any note on the drawing(s) indicating that the designer and/or engineer of record will not be responsible for the contractor's means and methods, installation procedures, etc. is not acceptable to CDOT.

B. All work in the field shall be performed in conformance with the approved drawings by CDOT. Any changes required in the field from the permitted/approved drawings will require resubmittal of revised design calculations and revised drawings of all required changes to CDOT for review and approval prior to performing any work in the field.

3.0 FOUNDATION DESIGN CALCULATIONS AND INSTALLATION PROCEDURES

Upon completion of the OUC submittal, the project manager shall submit design calculations required by CDOT. Calculations shall indicate the latest submittal date(s) and revision number(s). Hand and/or Mathcad calculations are required. If Mathcad calculations are provided then each line of calculations should include a symbolic formula, followed by the numerical formula with all numerical parameter values indicated, and then the numerical result. Computer outputs are not accepted. A general listing of calculations is provided below for reference. Additional calculations may be required on an individual project/site specific basis. Additional requirements specific to soil testing and analysis, as well as, foundation load testing and design parameters, may be found in the Chicago Building Code (Chapter 18 – Soils and Foundations).

A. Foundation Design Calculations and Construction Procedures
    a. Bearing Capacity: calculations for all types of foundations used [shallow (footing, mats, etc.), deep (caisson, piles), and/or combination]
    b. Settlement: total and differential settlements
    c. Installation Procedures
B. Underpinning of Existing Building
    a. Underpinning pier (pile) static capacity
    b. Analysis to determine if adjacent existing footing/wall are capable of withstanding anticipated pressure/stress (documentation of structural review by others)
    c. Underpinning installation procedure
C. Adjacent Structure Analysis and Protection
    a. Existing footing/wall sub-grade bearing capacity/stability analysis for reduced factor of safety (FOS) due to removal of soil surcharge above and/or below existing footings
    b. Stability Analysis
        - Allowable bearing capacity (a minimum FOS of 3.0 is required)
        - Sliding (a minimum FOS of 2.0 is required)
        - Overturning (a minimum FOS of 1.5 is required)
D. Load Tests
    a. Load tests shall be in conformance with the 2019 Chicago Building Code Section 1810.3.3.1.2.
    b. If a compression load test is performed, it may be performed on a production pile. However, the production pile cannot be used as a reaction pile for the load test.
    c. If a tension load test is performed, it must be performed on a sacrificial pile.

4.0 EARTH RETENTION CALCULATIONS AND INSTALLATION PROCEDURES

4.1 Common Items

The following items are to be included with all ERS submittals. All ERS drawings and calculations must be signed and sealed (with seal expiration date) by an Illinois SE.

A. Hand calculations and/or Mathcad calculations are required. Computer outputs from design software with no hand calculations or explanations are not accepted.
B. Boring logs, field/lab test data and final geotechnical report (project site specific).

C. List all design assumptions used in the calculations, as they are introduced in sequence of computations.
D. Provide copies of relevant pages of references used in the calculations. These include all graphs, charts, or tables used in the analysis or design.
E. Provide copies of catalogue sheets, cut sheets, and/or tables of material properties, used in the structural calculations.
F. All submittals must begin with a sketch and/or listing of soil layers, soil parameters, and design water level assumed in the calculations. Specific borings which were used in establishing the design conditions should be identified by boring numbers as indicated on the boring logs. Note that because soil conditions vary from soil boring to soil boring over the project site, a composite and/or most critical design soil profile shall be used.
G. Calculations should show cross-sections indicating design elevations for:
    a. Top and toe of the wall
    b. Existing surrounding ground surface
    c. Bottom of the excavation
    d. Existing adjacent foundations within the zone of influence
    e. Cut slopes and set-backs
    f. Water elevations
H. All formulas must be listed as they are being used in the various parts of the calculations.
I. Include all calculation steps that are a normal part of an actual hand solution whether or not a computer-assisted analysis/design was used. Computer output that is written by hand does not classify as "hand calculations" and will not be accepted. Also, do not submit previously submitted calculations from a similar project as part of or a substitute for the new project calculations.
J. Construction and/or building surcharge should be actual loading conditions planned by the contractor (crane loading included) or a minimum traffic surcharge of 240 psf.
    a. The building and crane surcharge shall be calculated from the bottom of the loaded foundation and applied to the tip of the ERS.
    b. The traffic surcharge shall be applied from existing grade to the bottom of the ERS.
K. ERS drawings must include plan views and cross-sections which are consistent with the final designs. Sufficient cross-sections must be provided indicating top of grade, cutback slopes, excavation contour lines, adjacent buildings, sidewalks, alleys, roadways, and all lateral utilities within the zone of influence (within 2.0 times the excavation depth from grade). Dimensions from the ERS to all utilities must be shown.
L. Groundwater control plan section details and dewatering calculations prepared by an Illinois PE must be submitted for review in all cases where wells/wellpoints and/or dewatering are necessary to maintain a water-free, stable excavation.
M. ERS must include sequence of work (i.e. pre-holing for verifying existing foundation(s), pre-trenching for the removal of existing obstruction(s), backfilling with suitable material to grade, and ERS installation). Include detailed step-by-step sequence for excavation and installation of bracing, backfilling, and removal of bracing in conformance with the staged design calculations.

N. Provide separate calculations for active, passive and surcharge pressures at: grade, ground water level, excavation level, the upper and lower interface of each soil strata layer and to at least the tip of the proposed ERS.
O. Provide separate active, passive, hydrostatic, surcharge, and net pressure diagrams (indicating all numerical values). The pressure diagrams should be used for the design of waler loads, ERS sizing, and for the required length of the ERS for a minimum FOS of 1.5.
P. In cases where a theoretical negative or small positive active earth pressures are predicted through clay strata, a minimum active earth pressure of $0.25\gamma z$ should be substituted, where "γz" is the total overburden pressure at depth z.
Q. Active pressure in clay is determined using equations: $\gamma H - 2c$ or $0.25\gamma H$, where γH is the total earth pressure at depth H. The higher value from the equations shall be used for design of the ERS.
R. For the design of soldier piles and lagging walls, no passive pressure shall be considered from existing ground surface grade in front of the wall to a depth of 1.0 x D (diameter of shaft or width of pile flange) in granular soils and 1.5 x D in cohesive soils.
S. All new proposed dockwall/riverwall sheeting shall be designed considering dredge line elevations in the Chicago River established by the U.S. Army Corps of Engineers. The proposed wall shall be designed for the undrained condition and the long-term drained condition.

4.2 Earth Retention System (ERS) Items – General

The ERS submittal must include calculations for the design of all vertical wall components and for all bracing components. For example, depending on the system selected, this may include design for:

A. Sheet piles, soldier piles and lagging, timber sheeting, secant piles, slurry walls, etc.
B. Walers, struts, rakers, kicker blocks, anchors, connections, and temporary earth berms.
C. Utility supports for existing infrastructure. All utility support design calculations and utility support drawings shall be submitted to all affected OUC members, whose utilities will require protection, for their review, approval, and coordination prior to performing any work.
D. Use of proprietary systems (i.e. trench boxes or slide rail shoring) requires that an Illinois SE confirm that the systems components are satisfactory for site-specific conditions with supporting calculations. Manufacturers or suppliers cut sheets must be submitted, listing serial numbers of frames or boxes proposed for use on the project. These cut sheets must be signed and sealed (with seal expiration date) from an Illinois SE.
E. ERS in the City's ROW shall be cut off 4 feet below grade and left in place.
F. ERS not within City's ROW may be removed provided that all affected adjacent utility owners approve the removal. Required approval documentation must be provided in the Deep Ex Review Package submittal.

4.3 Items Specific to Cantilever Wall Analysis/Design

In addition to Section 4.1 and Section 4.2, the following must be included:

A. Provide a stepwise calculation of lateral pressure distribution. Calculate pressures at every change of state (e.g. stratum boundaries excavation depth, adjacent foundation load as it varies with depth, etc.).
B. Plot lateral pressures (with numerical values indicated) on diagram to reasonable size for illustration. Split diagram into reasonable triangular and rectangular units. Identify units by letter or number for use in calculations. Account for all components of load (soil, water, and surcharge).
C. Provide moment calculations based on pressure diagram(s), solving for wall embedment depth required for rotational equilibrium (FOS = 1.0) about the toe. Find zero shear and maximum moment to size the ERS. Provide calculations for the anticipated deflection of the proposed ERS and adjacent ground surface settlement.
D. Provide additional embedment length to establish safety factor or margin of safety vs. rotational failure about the toe. Any of the generally recognized methods of determining design embedment depth may be used. A minimum FOS of 1.5 is required in all cases when the ERS is utilized as a temporary structure. A greater FOS may be required when the proposed ERS is used as a permanent structure.
E. Provide analysis of structural wall deflection and ground deformation required to mobilize passive resistance. The support assumption for structural deflection should be consistent with Figures 6-1 or 6-2 of the U.S. Army Corps of Engineers EM 1110-2504 "Design of Sheet Piles Walls."
F. A check of base stability should be made using generally accepted methods. A minimum allowable FOS of 1.5 is required.

4.4 Items Specific to Single Level Braced or Anchored Walls

In addition to Section 4.1 thru Section 4.3, the following must be included:

A. The free-earth support method should be used as the basis of design. No moment reduction due to flexibility of the wall should be assumed.
B. Provide calculations for earth pressure at brace or anchor level.
C. Provide calculations for the ERS wall depth of embedment for rotational equilibrium about the brace/anchor level for a FOS of 1.0. Provide additional calculations for the required length of the ERS wall for a minimum FOS of 1.5. A minimum FOS of 1.5 is required in all cases when the ERS is utilized as a temporary structure. A greater FOS may be required when the proposed ERS is used as a permanent structure.
D. Provide calculations for the design of bracings (walers, struts, connections, etc.). Provide calculations for the size of the ERS wall considering maximum moments.
E. Provide calculations for the anticipated deflection of the proposed ERS and adjacent ground surface settlement.

4.5 Items Specific to Walls with Two or more Levels of Bracing

In addition to Section 4.1 and Section 4.2, the following must be included:

A. Provide analysis for cantilever and single brace stages (see Sections 4.3 and 4.4) and final depth of excavation stages.

B. Use generally recognized apparent earth pressure envelopes for determining multi-tier strut loads, do not reduce strut or anchor loads to account for temporary conditions. Naval Facilities Engineering Command (NAVFAC) Design Manual 7.02 Figure 26 can be used for the design of shoring and waler/strut loads for excavation to the bottom of the shoring system. When excavation is in soft clays, Figure 26 "Case (b)" may be used. When excavation is in stiff clays, Figure 26 "Case (c)" may be used.
C. Provide base stability analysis for partial and full depth of cut, as needed, to final critical correlation. A minimum FOS of 1.5 is required.
D. An estimate of adjacent ground movement should be made (Clough's Method or industry accepted alternate methods) accounting for stiffness of proposed wall (FOS for basal heave, number of bracing levels, depth of excavation, etc.).
E. When analyzing overall stability, do not include friction between the wall and retained soil as contributing to stability of the system.
F. Provide design for all bracing component (walers, struts, rakers, connections, etc.)

4.6 Bracing

In addition to Sections 4.1, 4.2, 4.4, and 4.5 and any other appropriate bracing analysis, the following must be included:

A. Ground anchor (tieback, H-pile, etc.) design shall include unbonded and bonded length calculations with related sketches; testing procedures (proof, performance, and creep), and production anchor installation procedure.
B. Provide design of all bracing components (walers, struts, rakers, connections, etc.).
C. Provide structural design of stiffeners, connections, support brackets, etc. Check compact and non-compact sections.

4.7 Global Stability Analysis

The overall global stability of the proposed ERS shall be verified independently when required. The global stability analysis and calculations must be provided by the Geotechnical Engineer of Record.

The analysis should include computer generated analysis input and output data sheets considering numerous slip circle failure planes. Indicate FOS on each slip circle failure plane. Provide a diagram and design calculations for the slip circle failure plane with the lowest FOS. The slip circle failure plane diagram must be drawn to scale and indicate each soil strata layer, soil strata layer design parameters, numbered slices, grade elevation, as well as, top and tip elevations. Additional calculations of driving and resisting moments through individual slip circle failure plane slice(s) shall be provided.

5.0 DEFLECTION CRITERIA

All the following deflection requirements shall be met for ERS in the City of Chicago unless specified otherwise:

A. The maximum deflection of a permanent ERS shall be 1% H (H denotes the retained height) but not greater than 1 inch.

B. The maximum deflection of a temporary ERS shall be 1.5% H (H denotes the retained height) but not greater than 2 inches.
C. When the excavation (temporary or permanent) is within 1:1 (Vertical (V):Horizontal (H)) of an adjacent structure (i.e. bridge/building shallow foundation) the deflection of the ERS shall be limited to ¼ inch.
D. When the excavation (temporary or permanent) is within 1:1.5 (V:H) of an adjacent structure (i.e. bridge/building shallow foundation) the deflection of the ERS shall be limited to ½ inch.
E. When the excavation (temporary or permanent) is within 1:2 (V:H) of an adjacent structure (i.e. bridge/building shallow foundation) the deflection of the ERS shall be limited to 1 inch.
F. For ERS (temporary or permanent) that is within 1:1.5 (V:H) of adjacent water, sewer, and/or gas utilities, ERS deflections exceeding 0.25 inches will require a written approval for the submitted ERS design and deflections from the water, sewer, and/or gas utility owner(s).

6.0 OPEN CUT EXCAVATION

All open cut excavations up to 4 feet in depth shall be sloped at 1:1 (H:V) or shored and all excavations greater than 4 feet in depth shall be sloped at a minimum of 1.5:1 (H:V) or shored.

7.0 EXISTING VAULTS

Existing standalone vaults with no access into the vault from any private property or building will require CDOT geotechnical review when the scope of work involves backfilling and/or roof replacement of the vaulted sidewalks, vaulted alleys, and/or any other vaulted areas in the public way. For existing vaults in the public way with access into the vault from adjacent private property or adjacent building will require a DOB permit/review.

7.1 Backfilling of Existing Vaults and Restoration

Contractor and/or engineer shall provide detailed step-by-step procedures and sequence for backfilling and restoration to CDOT for review and approval. The procedures and sequence may involve, but not limited to shoring within the vault walls, vault roof removal, vault backfilling and restoration, backfilling of vault space by flowable fill, restorations, and/or any other procedure proposed by the contractor/engineer.

For backfilling of an existing vault in the public way, which is adjacent and accessible from the building (on private property), refer to the CDOT Standard Detail A-3-3.

7.2 Existing Vault Roof Replacement

Contractor and/or engineer shall provide detailed step-by-step procedures and sequence for restoration/replacement to CDOT for review and approval. The procedures and sequence may involve, but not limited to, installation of a shoring system within the existing vault walls; removal, replacement, and restoration of the vault roof; and any installed shoring removal. Design calculations for the shoring system will be required, refer to Section 4.0.

8.0 DEEP EX PERMIT PROCESS

Deep Ex permit process utilizes the program, Constructware, to track, monitor, and document the permit process step-by-step. Constructware is also utilized for document management, uploads, and retrievals pertaining to the project being reviewed for permitting. A Constructware account will be created for a user (applicant project manager) who will act as the CDOT point of contact and project manager responsible for the permit. It is the project manager's responsibility to ensure all instructions, guidelines, and documents are followed in compliance and coordinated with the permit team.

Do not start the OUC process prior to meeting/coordinating with Deep Ex. All Deep Ex permits have a separate step through Constructware to start the OUC process (after Deep Ex approval to do so). OUC review will expire six months from the "OUC Due Date" (determined by the OUC once the OUC application is received) within the area bounded by North Avenue, Halsted Street, Cermak Road, and Lake Michigan. Outside these mentioned limits, the OUC review will expire one year from the "OUC Due Date." An OUC expiration results in a complete resubmittal of the project and restart of the permit process. The "OUC Due Date" is independent of the Deep Ex permit authorization and approval. Therefore, permit authorization and construction mobilization must take place prior to the OUC expiration date and the authorization of the Deep Ex permit.

Below are additional reference links regarding the permit process:

- https://www.chicago.gov/city/en/depts/cdot/provdrs/construction_information/svcs/office_of_undergroundcoordination.html
- https://www.chicago.gov/city/en/depts/cdot/supp_info/efp-projects_requiringreview.html
- https://www.chicago.gov/city/en/depts/cdot/supp_info/ouc exising_facilityprotectionefpprocess.html
- https://www.chicago.gov/content/dam/city/depts/cdot/Construction%20Guidelines/2019/2019_CDOT_Rules_and_Regs_101819.pdf

8.1 Intake Meeting Requirements

A. OUC Plan Set must be ready and complete (including all ERS, excavations, and/or deep foundations drawings) for submittal at the time of the intake meeting. Valid IR must be shown on the OUC Plan Set. Expired IR will not be accepted. All proposed work (i.e. excavations, foundations, ERS, etc.) must be dimensioned from the right of way lines (transverse and longitudinal dimensions). The OUC Plan Set cover sheet must include a brief, detailed, and concise scope of work that is being requested for permit. The scope of work indicated on the OUC Plan Set cover sheet is what will legally and technically be looked at for permitting review. The scope of work must indicate all areas requesting permit review, brief means and methods (i.e. open cuts, foundations, ERS, trench boxes, etc.), and all areas where there are any excavations/penetrations into the ground. The following example is a scope of work for the OUC Plan Set cover sheet:

Scope of Work Requested for Deep Ex and OUC Permit:
Trench box installation for 36" sewer pipe.

Open cut excavation for XYZ at locations ABC.
H-pile installation for ABC.
Etc.

B. The OUC Plan Set must have its own exclusive sheet numbering sequence (CDOT Permit Sheet No.). This sheet numbering must be, DE-1, DE-2, DE-3, etc. (in consecutive sequence). An index of sheets (to include sheet numbering, title, revision letter, and revision date) must be shown on the cover sheet or the index sheet(s). In the case where owners/engineers have their own sheet numbering, it is acceptable to show the CDOT Permit Sheet No. under the existing sheet number in parenthesis for each sheet in the drawing border. Also, the index of sheets table must show the original sheet numbering with the equivalent DE sheet numbering as "CDOT Permit Sheet No." Below is an example table to be shown in the OUC Plan Set:

Index of Sheets					
Drawing/Sheet No.	CDOT Permit Sheet No.	Sheet Title	Revision Letter	Revision Date	Revision Description
					OUC Review

C. The OUC Plan Set must be signed and sealed (with seal expiration date) by a licensed Professional Engineer & a licensed Structural Engineer on the cover sheet (or first sheet). Include the Constructware PW number (given by Deep Ex) on each sheet of the OUC Plan Set.
D. The finalized Soils Report (borings, tests, and soils information if applicable to the project) must be signed and sealed (with seal expiration date) and ready for submittal at time of intake meeting.

8.2 OUC Plan Set and Soils Report (if Applicable) Delivery Instructions

After the intake meeting, when the permit project is approved to move forward, a Constructware account will be created for the applicant. Detailed instructions are given in each step instruction in Constructware. The "CDOT-DIM Constructware Applicant Quick Guide" (located in the "Main Folder" of the Constructware project) provides all detailed step-by-step instructions, process, and flow chart. The OUC Plan Set submitted on Constructware must exactly match the OUC Plan Set that will be requested for upload on ProjectDox when applying for the OUC review. Any alterations to the OUC Plan Set will void the document and a complete project restart and resubmittal will be required.

8.3 Constructware

At time of the Constructware account activation, all directions, procedures, guidelines, and letter templates will be available in the "Main Folder" for the applicant team. Project status, allotted time for review of each step, and routing history (step history and status of project) is in the "Routing History" tab of the project. The "Routing History" can be accessed in two ways:

1. Click the "New Messages" hyperlink (located in the upper righthand corner). Under "Routing Action Required", any outstanding step from the applicant side will show here. If there is a step requiring action, click the envelope icon, and then click the "Routing History" tab to view the routing history.
2. On the left side of the window, click the "Project Information" tab and then select "Project". All projects for the applicant that require Deep Ex review are listed here. Click the orange arrow icon associated with the PW# and then click the "Routing History" tab to view the routing history.

When viewing the "Routing History", click on the "Route Flow" box (on the right-hand corner of the page) to view the archived instructions and notes of the step history of the project.

All uploads onto Constructware must be in PDF format (except the OUC Plan Set). All Constructware documentation uploads and retrievals are performed under the "File Director" sub-tab under the "File Management" tab (left-hand side of the screen). In "File Director", access the project by selecting the "Configure" link next to the "Favorite Projects" drop-down list (top-center of the screen) and then select the desired project. Once the desired project is selected it will show in the "Favorite Projects" drop-down list.

Constructware Program Note: At times email notices may go into the spam folder or may not be delivered to the applicant due to system issues. Please monitor the "Routing Action Required" screen which can be accessed from the "New Messages" hyperlink on the upper right-hand corner of the screen.

Documents provided in Constructware are often updated and revised to provide applicants with the most up-to-date information/instructions. Use the templates in the associated Constructware account and do not reuse old templates or previous submittals as those could be outdated and could result in delays in the permit process.

8.4 Deep Ex Documents and Submittals

The following reference documents are provided in the “Main Folder” of the Constructware account:

- CDOT-DIM Geotechnical Review Guidelines
- CDOT-DIM Constructware Applicant Quick Guide
- CDOT-DIM Certification Letter Template
- Contractor Written Verification Letter Template
- Public Way Damage Repair Letter Template
- Utility Coordination Letter Template
- OUC Applicant Manual
- CDOT-DoE Bridge Permit Information
- CDOT-DoE Harbor Permit Information

Additional documents will be uploaded into the "Meetings" folder following the indicated instructions and flow in the CDOT-DIM Constructware Applicant Quick Guide:

- Intake Meeting Minutes (includes the Deep Ex Preliminary Checklist)
- The Deep Ex Final Checklist

Review the latest checklist (Deep Ex Preliminary Checklist or the Deep Ex Final Checklist) for all required Deep Ex submittals. The CDOT-DIM Certification Letter Template and the CDOT-DIM Constructware Applicant Quick Guide also indicate detailed submittal instructions and requirements.

All documents submitted must be QA/QC by the applicant team prior to submitting to CDOT. Deep Ex Review Package must be 100% complete and final and ready for construction for CDOT to review. All calculations must be signed and sealed (with seal expiration date), as well as, each drawing signed and sealed (with seal expiration date). This package is a final legal contract document for CDOT to review prior to permitting. No partial submittals are allowed, the entire scope of work associated with the Constructware PW number must be submitted.

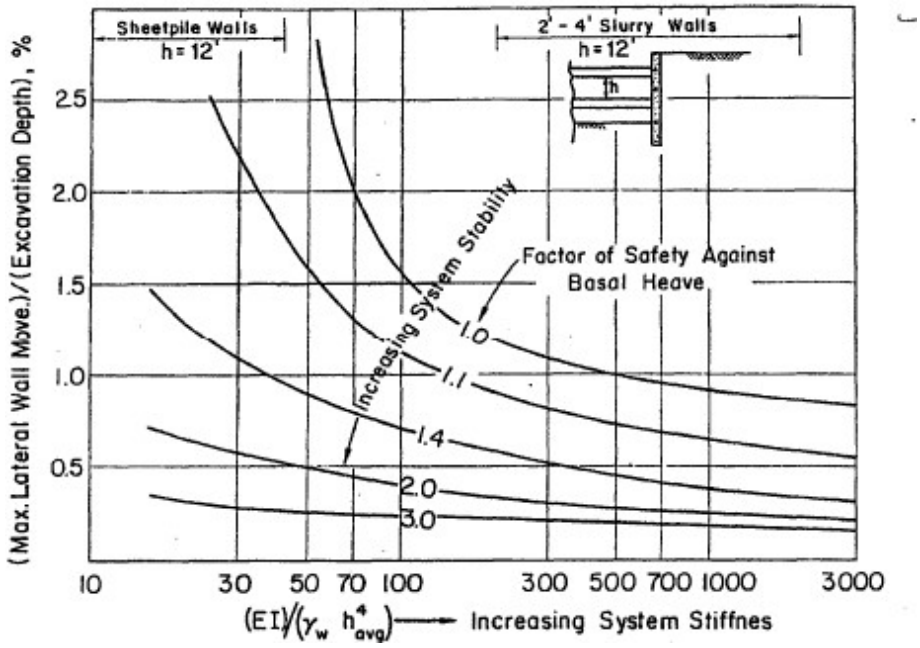
8.5 Final Project Plan Set

Once Step 34 and Step 35 on Constructware have been approved, a Final Project Plan Set must be submitted. The Final Project Plan Set must include all issued for construction sheets submitted to CDOT-DIM for permit review. The Index of Sheets table on the Final Project Plan Set must only include sheets reviewed by OUC and Deep Ex. Below is an example table to be shown in the Final Project Plan Set:

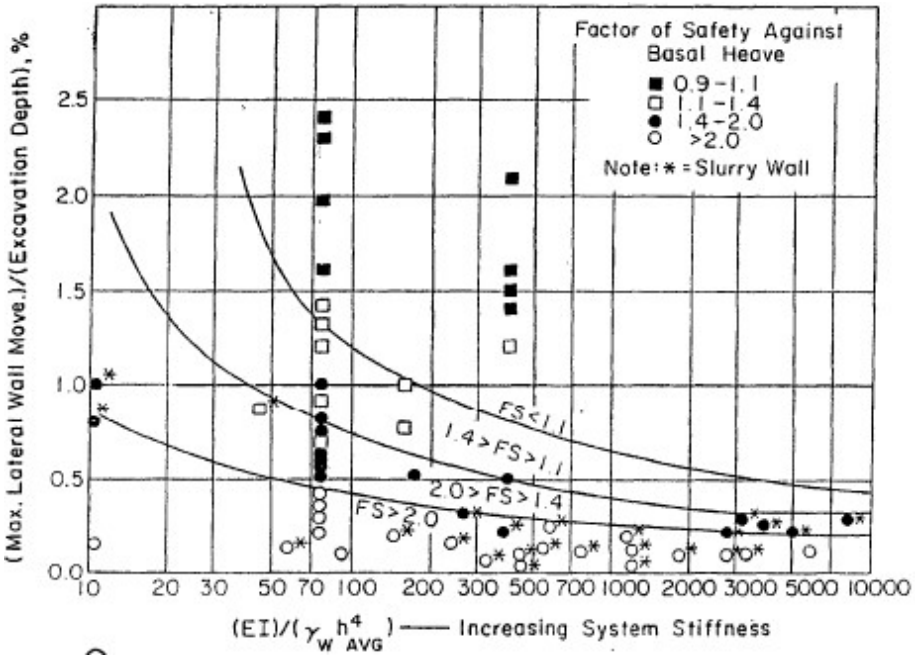
Index of Sheets					
Drawing/Sheet No.	CDOT Permit Sheet No.	Sheet Title	Revision Letter	Revision Date	Revision Description
					CDOT-DIM Permit Approval

Refer to Section 8.1.B for index of sheet details. Each sheet of the Final Project Plan Set must have a final revision letter, a corresponding drawing/revision date, and a revision description as "CDOT-DIM Permit Approval". All sheets must have the same final revision letter, date, and revision description. Consider using "F" as the revision letter designated for "CDOT-DIM Permit Approval".

REFERENCE FIGURES

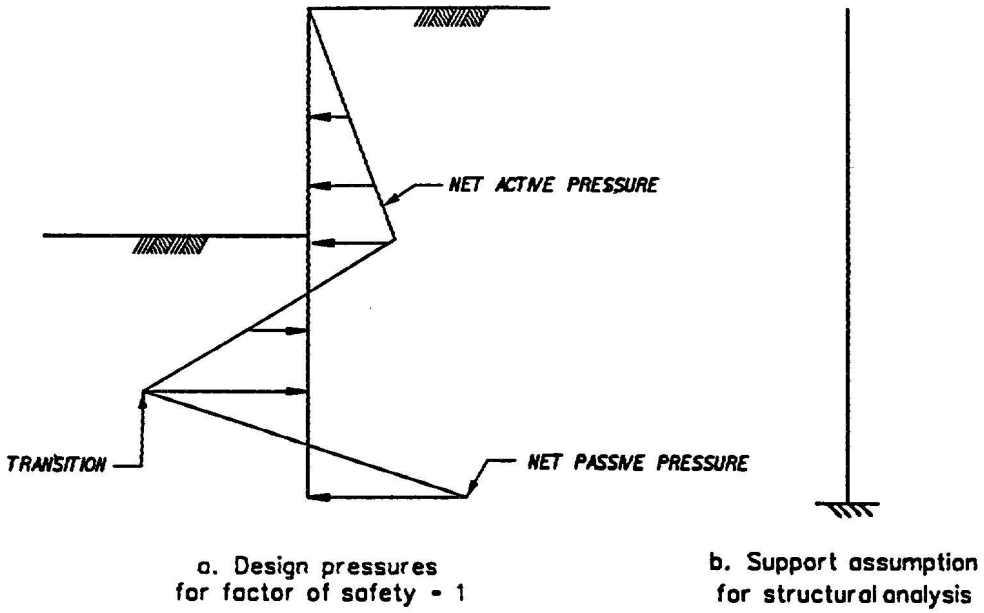


Theoretical Relationship Between Maximum Lateral Wall Movement, FOS Against Basal Heave, and System Stiffness*

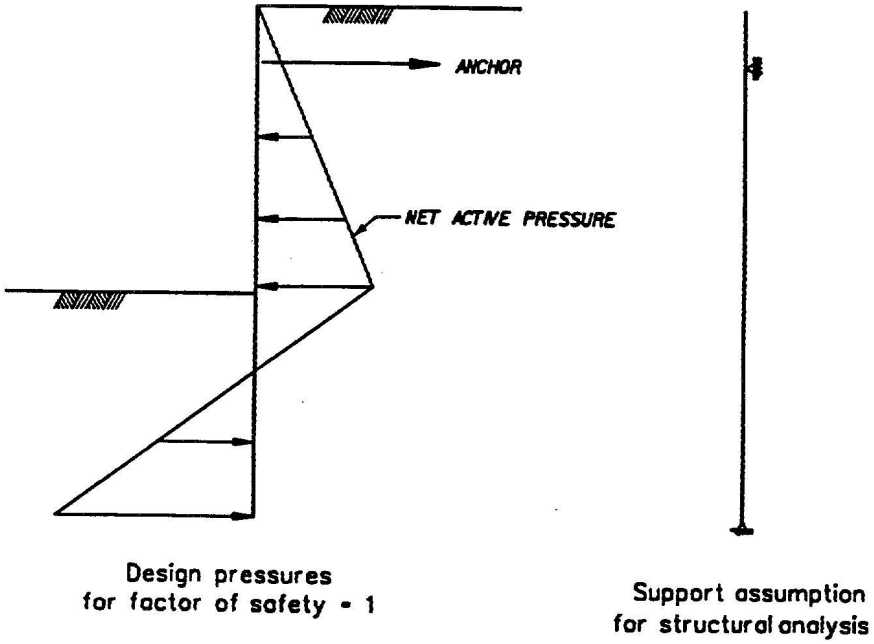


Comparison of Field Data and Theoretical Trends for Anticipated Movements*

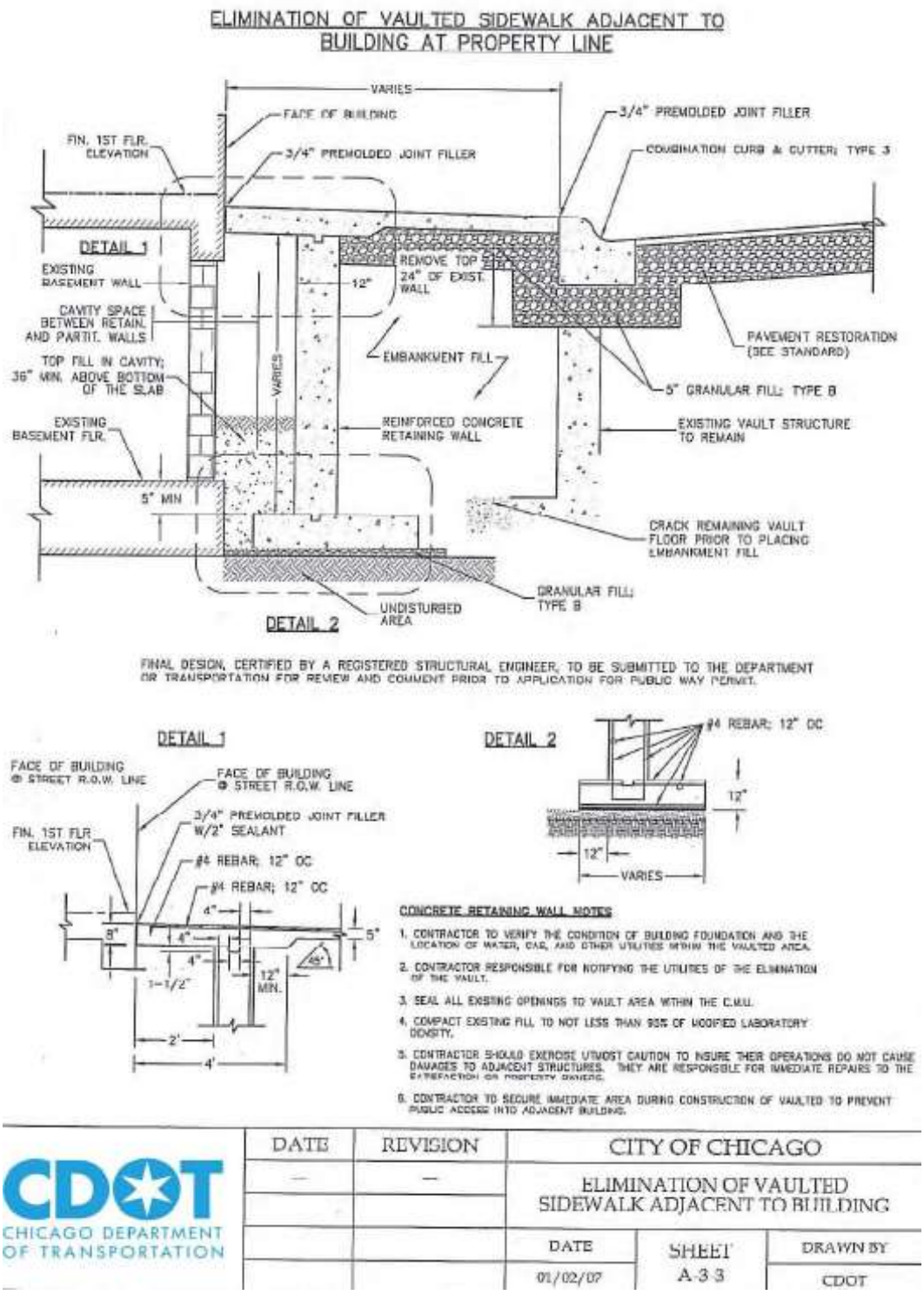
*Published research documents by Clough and other researchers.



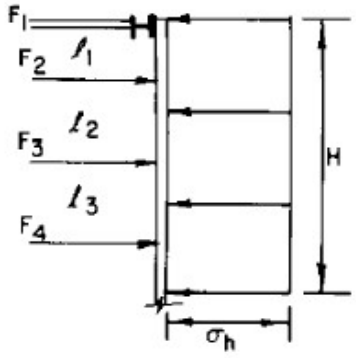
U.S. Army Corps of Engineers EM 1110-2504 Figure 6-1
Pressures and Supports for Structural Design of Cantilever Walls.



U.S. Army Corps of Engineers EM 1110-2504 Figure 6-2
Pressures and Supports for Structural Design of Anchored Walls.



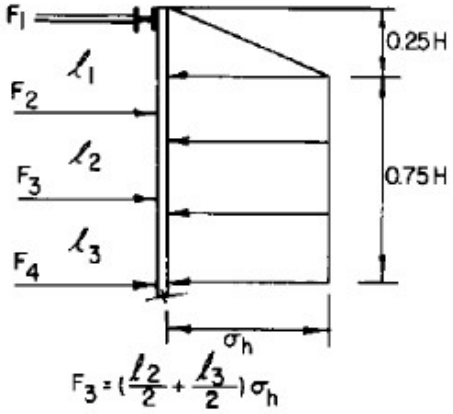
CDOT Standard Detail A-3-3
Elimination of Vaulted Sidewalk Adjacent to Building at Property Line



(a) SAND

$\sigma_h = 0.65\ K_A \cdot \gamma H$

WHERE $K_A = \tan^2(45 - \phi/2)$



ASSUME HINGES AT STRUT LOCATIONS FOR CALCULATING STRUT FORCES

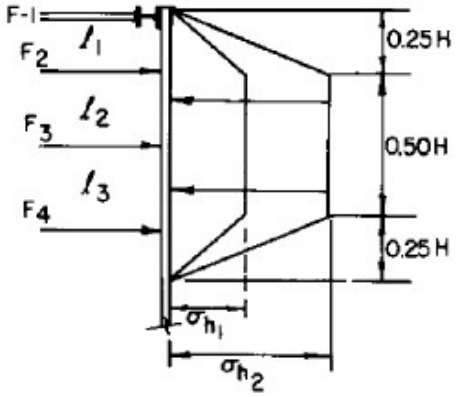
(b) SOFT TO MEDIUM CLAY
($N_o > 6$)

For clays base the selection on
$N_o = \gamma H/c$

$\sigma_h = K_A \cdot \gamma \cdot H$

$K_A = 1 - m\frac{4c}{\gamma H}$;
m = 1 except where cut is underlain by deep soft normally consolidated clay, then $m = 0.4F_{SB}$

See Figure 28 for Factor of Safety against bottom instability, (F_{SB}): $1 \leq F_{SB} \leq 1.5$



(c) STIFF CLAY
($N_o < 4$)
For $4 < N_o < 6$, use larger of diagrams (b) and (c).
$\sigma_{h1} = 0.2\gamma H$; $\sigma_{h2} = 0.4\gamma H$
Use lower value when movements are minimal and short construction period.

NAVFAC DM 7.02 Figure 26
Pressure Distribution for Brace Loads in Internally Braced Flexible Walls

CITY OF CHICAGO Submittal Requirements for Review of Earth Retention Systems and Other Calculations

Required	Submitted	Number	Category	Description
☐	☐	1.	Common Items for Foundations	The Following items are to be included with all calculations submittals, regardless of the structural type. All foundation drawings must be sealed and signed by an Illinois registered Structural Engineer. Foundation calculations must be sealed and signed by an Illinois registered Civil Engineer.
☐	☐	1.1	Common Items for Foundations	Boring logs and associated field/lab test data.
☐	☐	1.2	Common Items for Foundations	A Geotechnical Report for the project.
☐	☐	1.3	Common Items for Foundations	List all design assumptions used in the calculations, as they are introduced in sequence of computations.
☐	☐	1.4	Common Items for Foundations	Provide copies of relevant pages of references used in the calculations, including all graphs, charts, or tables used in the analysis or design.
☐	☐	1.5	Common Items for Foundations	All submittals must begin with a sketch and/or listing of soil layering, soil parameters, and design water level assumed in the calculations. Specific borings which were used in establishing the design conditions should be identified by boring numbers as given on the logs.
☐	☐	1.7	Common Items for Foundations	Calculations should show cross-sections giving design elevations for:
☐	☐	1.7.1	Common Items for Foundations	Top and bottom of the foundation.
☐	☐	1.7.2	Common Items for Foundations	Foundation dimensions.
☐	☐	1.7.3	Common Items for Foundations	Existing surrounding ground.
☐	☐	1.7.4	Common	Bottom of the excavation.

			Items for Foundations	
☐	☐	1.7.5	Common Items for Foundations	Existing adjacent foundations within the zone of influence.
☐	☐	1.7.6	Common Items for Foundations	Cut slopes and set-backs.
☐	☐	1.7.7	Common Items for Foundations	Water elevation.
☐	☐	1.8	Common Items for Foundations	All formulas must be listed as they are being used in the various parts of the calculations. Formulas should include standard symbols and each symbol used should be explained.
☐	☐	1.9	Common Items for Foundations	Include all calculation steps that are a normal part of an actual hand solution, whether or not a computer-assisted analysis/design was used. Do not submit re-copied computer output as hand calculations.
☐	☐	1.10	Common Items for Foundations	Construction surcharge should be matched to the actual conditions planned by the constructors. However, in no case, should traffic surcharge be less than a 240 psf uniformly distributed vertical load.
☐	☐	1.11	Common Items for Foundations	Foundation drawings must include plan views and cross-sections that are consistent with the final design options, eliminating alternatives. Sufficient cross-sections must be provided to show top of grade, cutback slopes, adjacent buildings, sidewalks, alleys, and roadways, as well as utilities with the zone of influence (within 2.5 times the excavation depth from grade).
☐	☐	1.12	Common Items for Foundations	A Groundwater Control Plan and dewatering calculations prepared by an Illinois registered PE must be submitted for review in all cases where well/wellpoints and/or dewatering are necessary to maintain a dry, stable excavation.
☐	☐	1.13	Common Items for Foundations	Building Code number should be included when applicable.
☐	☐	2.	Common Items for ERS	The Following items are to be included with all earth retention system (ERS) submittals, regardless of the structural type. All ERS drawings and calculations must be sealed and signed by an Illinois registered Structural Engineer.
☐	☐	2.1	Common Items for ERS	Boring logs and associated field/lab test data.

☐	☐	2.2	Common Items for ERS	A Geotechnical Report for the project.
☐	☐	2.3	Common Items for ERS	List all design assumptions used in the calculations, as they are introduced in sequence of computations.
☐	☐	2.4	Common Items for ERS	Provide copies of relevant pages of references used in the calculations, including all graphs, charts, or tables used in the analysis or design.
☐	☐	2.5	Common Items for ERS	Provide copies of catalogue cuts and tables of material properties used in the structural calculations.
☐	☐	2.6	Common Items for ERS	All submittals must begin with a sketch and/or listing of soil layering, soil parameters, and design water level assumed in the calculations. Specific borings which were used in establishing the design conditions should be identified by boring numbers as given on the logs.
☐	☐	2.7	Common Items for ERS	Calculations should show cross-sections giving design elevations for: i. Top and toe of the foundation. ii. Foundation dimensions. iii. Existing surrounding ground. iv. Bottom of the excavation. v. Existing adjacent foundations within the zone of influence. vi. Cut slopes and set-backs. vii. Water elevation.
☐	☐	2.8	Common Items for ERS	All formulas must be listed as they are being used in the various parts of the calculations.
☐	☐	2.9	Common Items for ERS	Include all calculation steps that are a normal part of an actual hand solution, whether or not a computer-assisted analysis/design was used. Do not submit re-copied computer output as hand calculations.
☐	☐	2.10	Common Items for ERS	Construction surcharge should be matched to the actual conditions planned by the constructors. However, in no case, should traffic surcharge be less than a 240 psf uniformly distributed vertical load.
☐	☐	2.11	Common Items for ERS	ERS drawings must include plan views and cross-sections that are consistent with the final design options, eliminating alternatives. Sufficient cross-sections must be provided to show top of grade, cutback slopes, adjacent buildings, sidewalks, alleys, and roadways, as well as utilities with the zone of influence (within 2.5

				times the excavation depth from grade).
☐	☐	2.12	Common Items for ERS	A Groundwater Control Plan and dewatering calculations prepared by an Illinois registered PE must be submitted for review in all cases where well/wellpoints and/or dewatering are necessary to maintain a dry, stable excavation.
☐	☐	2.13	Common Items for ERS	ERS drawings must include a step-wise installation and dismantling procedure.
☐	☐	3.	Earth Retention System (ERS) Items – General	The ERS submitted must include calculations for the design of all vertical wall components and for all bracing components. For example, depending on the system selected, this may include design for: ▪ Sheet piles, soldier piles and lagging, secant piles, slurry walls, etc. ▪ Walers, struts, rakers, kicker blocks, anchors, and temporary earth berms. ▪ Supports for crossing utilities that are not relocated. ▪ Use of proprietary systems, such as trench boxes or slide rail shoring, require that a structural engineer licensed in the state of Illinois confirm that the systems components are satisfactory for site-specific conditions. Manufacturers or suppliers cut sheets must be submitted, listing serial numbers of frames or boxes proposed for use on the project. Such cut sheets must clearly state the maximum loading and depths for which the system has been designed. These cut sheets must be stamped by the structural engineer (licensed in Illinois) who is approving the use of such system.
☐	☐	4.	Items Specific to Cantilever Wall Analysis/ Design	In addition to the items listed under Part I and II above, the following must be included as part of the submission.
☐	☐	4.1	Items Specific to Cantilever Wall Analysis/	Provide a step-wise calculation of lateral pressure distribution. Calculate pressures at every change of state of the problem, e.g. top and bottom of each layer, stratum boundaries excavation depth, brace or anchor level, adjacent foundation load as it varies with depth.

			Design	
☐	☐	4.2	Items Specific to Cantilever Wall Analysis/ Design	Plot separate active, passive and net lateral pressures diagram to reasonable size for illustration. Split diagram into sensible triangular and rectangular units; identify units by letter or number for use in moment equations. Account for all components of load: soil, water, and surcharge.
☐	☐	4.3	Items Specific to Cantilever Wall Analysis/ Design	In cases where a theoretical negative or small positive active earth pressures are predicted through clay strata, a minimum active earth pressure of 0.25 γz should be substituted, where γz is the total overburden pressure at depth z.
☐	☐	4.4	Items Specific to Cantilever Wall Analysis/ Design	Provide moment calculations based on above pressure diagram, solving for wall embedment depth required for rotational equilibrium (SF=1.0) about the toe. Show intermediate steps, reducing moment expression to its final form for solution. Find zero shear, maximum moment to size sheeting.
☐	☐	4.5	Items Specific to Cantilever Wall Analysis/ Design	Provide additional embedment length to establish safety factor or margin of safety vs. rotational failure about the toe. Any of the generally recognized methods of determining design embedment depth may be used. However, a minimum safety factor of 1.5 is required in all cases.
☐	☐	4.6	Items Specific to Cantilever Wall Analysis/ Design	Provide analysis of structural wall deflection and also ground deformation required to mobilize passive resistance. The support assumption for structural deflection should be consistent with figure 6.1 of the U.S. Army Corps of Engineers EM 1110-2-2504 "Design of Sheet Pile Walls," copy attached. The transition/rotation of the soil/wall system can be estimated roughly from NAVFAC DM 7.2-62 based on soil type.
☐	☐	4.7	Items Specific to Cantilever Wall Analysis/ Design	A check of base stability or overall (global) stability should be made using generally accepted methods. A safety factor of 1.5 is the minimum allowable.
☐	☐	5.	Items Specific to Single Level Braced or Anchored	

			Walls	
☐	☐	5.1	Items Specific to Single Level Braced or Anchored Walls	Common items (I.A. through I.M.) and items II.A. through II.C. above apply.
☐	☐	5.2	Items Specific to Single Level Braced or Anchored Walls	The free-earth support method should be used as the basis of design. No moment reduction due to flexibility of the wall should be assumed.
☐	☐	5.3	Items Specific to Single Level Braced or Anchored Walls	Provide calculations to show wall the embedment depth required for rotational equilibrium about the brace or anchor level (SF=1.0 condition). Provide additional embedment length required for safety factor as in cantilever case.
☐	☐	5.4	Items Specific to Single Level Braced or Anchored Walls	Provide strut or anchor load calculations by taking moment about toe. Size sheeting as a beam with above system of forces applied.
☐	☐	5.5	Items Specific to Single Level Braced or Anchored Walls	Provide design of all bracing components (walers, struts, rakers, etc). If friction along the wall/soil interface is considered, do not reduce load on the walers by more than 20% of the waler load per linear foot as an allowance for friction.
☐	☐	6.	Multiple-Tier Braced Walls	Provide analyses for cantilever and single brace stages, strut removal, and final depth of excavation stages.
☐	☐	6.1	Multiple-Tier Braced Walls	Provide analyses for cantilever and single brace stages, strut removal, and final depth of excavation stages.
☐	☐	6.2	Multiple-Tier Braced Walls	Use generally recognized apparent earth pressure envelopes for determining multi-tier strut loads. Do not reduce strut or anchor loads to account for temporary conditions.
☐	☐	6.3	Multiple-Tier Braced Walls	Provide base stability analysis for full and partial depth of cut, as needed to final critical correlation. Minimum required safety factor is 1.5.
☐	☐	6.4	Multiple-Tier Braced Walls	An estimate of adjacent ground movement should be made (using Clough's or similar methods), accounting for stiffness of proposed wall used safety factor vs. base heave. See attached figures by Clough and by

				O'Rourke, et al for guidance.
☐	☐	6.5	Multiple-Tier Braced Walls	When analyzing overall stability of the excavation do not include friction between the wall and retained soil as contributing to stability of the system.
☐	☐	6.6	Multiple-Tier Braced Walls	Provide design for all bracing component (walers, struts, rakers, etc.).

Drawings required for the Geotechnical/OUC review

Required	Submitted	Number	Category	Description
☐	☐	1.	Cover Sheet	Name of the Project, Description of the Proposed Scope of Work and Project Address.
☐	☐	2.	Survey/ Utilities	Alta Plat of Survey/Plat of Existing Utilities.
☐	☐	3.	Architectural	Architectural Drawings: Show correlation of proposed building floor slab elev. to C.C.D.
☐	☐	3.1	Architectural	Architectural Site Plan: Show exterior column lines; dimensions between column lines and to outside face of building to the property lines and off to the R.O.W. lines of the nearest cross streets; and, correlation of the building on grade finish floor slab elevation to C.C.D.
☐	☐	3.2	Architectural	First Floor and Basement Floor Plans: Show column lines; finished floor elevations; property lines; and, dimensions from property lines to exterior column lines.
☐	☐	3.3	Architectural	Elevation and Section Drawings: Show column lines, elevations and property lines.
☐	☐	4.	Structural	Structural Drawings: Show correlation of proposed building floor slab datum to C.C.D. on the drawings.
☐	☐	4.1	Structural	Foundation Plan: Show column lines; finish floor elev.; property lines; top elev. of footings/caisson/piles; footing/caisson types; dimensions from property lines to exterior column lines; and, dimensions between column lines.
☐	☐	4.2	Structural	First Floor and Basement Floor Framing Plans: Show column lines, finished floor elevations and property lines.
☐	☐	4.3	Structural	Sections and Details: Show column lines, elevations and property lines.
☐	☐	4.4	Structural	General Notes
☐	☐	5.	Landscape	Landscaping Drawings: Plan(s), Details and Plant List.
☐	☐	6.	Civil	Civil Drawings
☐	☐	6.1	Civil	Existing Condition Plan
☐	☐	6.2	Civil	Site Plan with Finish Floor Elevation
☐	☐	6.3	Civil	Demolition Plan

☐	☐	6.4	Civil	Grading Plan
☐	☐	6.5	Civil	Utility Plan: Show proposed water and sewer tie-ins (with sizes indicated) on the plan and reference dimensions from the connections to the R.O.W. line of the nearest cross street. Show invert elevation for sewer tie-ins.
☐	☐	6.6	Civil	Plan showing ADA Ramps, Sidewalk, Curb/Gutter, Driveway, Street and Alley with elevations and cross slopes (existing and proposed). Details of street, alley, sidewalk and driveway pavement, and Curb and gutter.
☐	☐	7.	Plumbing	Plumbing Drawings: At and below grade drawings including Triple Basins, Grease Trap, Manholes/Catch Basins, etc.
☐	☐	8.	Earth Retention Systems and/or Excavation	Earth Retention Systems (ERS) and/or Excavation (EX) drawings (Plan and Sections)
☐	☐	8.1	Earth Retention Systems and/or Excavation	ERS Plan shall be combination of Site Plan, Utility Plan and Structural Foundation Plan. Show outline of the proposed building with column lines and overall dimensions of the building in both direction; location of proposed shoring with overall dimensions and/or limits of open cut excavations with overall dimensions; property lines (labeled); reference dimensions from the property line to the face of proposed shoring and/or to the limits of the open cut excavations; all underground and overhead existing utilities; adjacent existing buildings/structures with reference dimensions to the proposed shoring and/or proposed excavations; bottom elev. of existing building footings with dimensions to the proposed shoring and/or excavations.
☐	☐	8.2	Earth Retention Systems and/or Excavation	Sections: Sections through all sides of the proposed building showing foundation of proposed building with elevations and dimensions off the property line; location of proposed shoring with top and toe elevation indicated and dimensions off the property line; maximum depth of excavations; limits of open excavation with cut back slope indicated (for 4’ or less depth of excavation, slope is 1H:1V and for excavation deeper than 4’, slope is 1.5H:1V) and dimensions off the property lines; adjacent existing building/structure foundation with foundation elevations and dimensions to the proposed shoring and/or proposed excavations; all underground and overhead existing utilities; property lines, sidewalks, streets, alleys shown; and, reference dimensions with respect to the property lines.

☐	☐	9.	Logistics	Logistics Drawings: Plan showing extent of public way closures along the sidewalk, street and alley; location of barricades or temporary fence with dimensions off the property line; etc. Sections through the closures showing fence or barricades, sidewalk, street, alley, property lines and reference dimensions with respect to the property lines.

APPENDIX J

E-TAKE MEETING

E-Intake Meeting Instructions (June 2020)

Currently, this is an electronic submittal meeting. There is no skype, conference call, or in-person meeting unless otherwise specified.

Familiarize yourself with the attached guidelines for intake meeting requirements and the Deep Ex permit process.

Do not submit for OUC submittal/review until directed and approved by Deep Ex via Constructware. If there has been a submission to the OUC without Deep Ex approval a restart of the process will be required.

At the scheduled day of the E-Intake Meeting provide the following pdf documents (as a file retrieval link or email attachment) at or before the scheduled time:

- Provide the finalized Soils Report (borings and soils information if applicable to the project). When submitting the pdf document, name the file, *Soils Report_YYMMDD* (where YYMMDD is the date of the intake meeting).

- Provide an OUC Plan Set (including all earth retention system, all excavations, and/or all deep foundations drawings) to review at the meeting. When submitting the pdf document, name the file *OUC Plan Set_YYMMDD* (where YYMMDD is the date of the intake meeting). OUC Plan Set must be ready for submittal at this meeting. Do not submit partial information, incomplete drawing set, etc. Be extremely clear with all the proposed work that is being requested for permit. If CDOT has to ask questions, dig for information, or get clarifications then it is not considered clear and ready for submission. If a follow-up meeting is required due to unprepared/incomplete OUC Plan Set, a follow-up meeting date may be set at approximately 4-8 weeks out.

The following name and contact information will be required prior to Constructware account initiation:

- Constructware User: _____
- Permit PM/Point of Contact: _____
- Owner/Owner Representative: _____

Note: CDOT is not responsible for construction timelines and applicant team management. The permit process and timelines are the responsibility or the applicant team - plan the project accordingly.

APPENDIX K

PERMITTING TIMELINE TEMPLATE

ID - Description	Start Date	Finish Date	Id	Plan Dur
Metra Capital Delivery Department; Capital Program	23 Dec 2013 A	15 Jan 2029		5502
Start Milestone	10 Jul 2019 A*			0
Finish Milestone		15 Jan 2029		0
Stations & Parking Group	23 Dec 2013 A	19 May 2027		4896
Signal, Electrical Communications Group	11 Mar 2020 A	30 Aug 2023		1441
Mechanical/Electrical/Plumbing (MEP) Group	31 Jul 2019 A	29 Oct 2026		2648
Civil/Structural Group	5 Feb 2020 A	14 Jan 2029		3267
Professional Service Contracts	5 Jun 2021 A	6 Jul 2022 A		454
Projects ON HOLD	15 Oct 2021 A	29 Aug 2026		1780
WBS Template & Sample Activities	1 Sep 2022	5 Sep 2027		1831
Task Order Templates	1 Sep 2022	27 Nov 2022		88
LIQ Template	1 Sep 2022	15 Apr 2023		227
NEPA Templates	1 Sep 2022	7 Jun 2024		646
Permitting Templates	1 Sep 2022	22 Apr 2024		600
PE Permitting	1 Sep 2022	30 Oct 2022		60
Land Use / Acquisition Permit[During Preliminary Engineering]	1 Sep 2022	30 Oct 2022		60
Design Permitting	28 Jan 2023	26 Aug 2023		210
30% Design Complete		28 Jan 2023		0
Design Permitting SubPhase (LOE)	29 Jan 2023	26 Aug 2023		210
Flood Plain / Wetland Permit [After 30% Design]	29 Jan 2023	29 Mar 2023		60
60% Design Complete		28 May 2023		0
Building Permit (DOB / Local Municipality) [After 60% Design]	29 May 2023	26 Aug 2023		90
Traffic / Roadway Permit (CDOT / IDOT/ Local)[After 60% Design]	29 May 2023	26 Aug 2023		90
Utilities Permit (OUC / COMED / Local Municipality)[After 60% Desig	29 May 2023	26 Aug 2023		90
MWRD Permit[After 60% Design]	29 May 2023	26 Aug 2023		90
Life Safety Permit (includes Fire Protection)[After 60% Design]	29 May 2023	26 Aug 2023		90
Construction Permitting	24 Dec 2023	22 Apr 2024		120

ID - Description	Start Date	Finish Date	Id	Plan Dur
MWRD Permit[After 60% Design]	29 May 2023	26 Aug 2023		90
Life Safety Permit (includes Fire Protection)[After 60% Design]	29 May 2023	26 Aug 2023		90
Construction Permitting	**24 Dec 2023**	**22 Apr 2024**		**120**
Construction Start		24 Dec 2023		0
ERS Permit	25 Dec 2023	22 Apr 2024		120
OUC Permitting	**1 Sep 2022**	**28 Feb 2023**		**181**
Schedule Intake Meeting (Metra)		1 Sep 2022		0
Prepare all Documents and Select Contractor Necessary for Intake	1 Sep 2022			0
Contractor Prepares Documents/Design for Intake Meeting	1 Sep 2022	29 Nov 2022		90
Attend Intake Meeting (Metra/OUC)	30 Nov 2022	30 Nov 2022		1
Upload Drawings and Soil Report (Contractor) Step 1	1 Dec 2022	3 Dec 2022		3
Review and Approve Preliminary Documentation (OUC) Step 2	4 Dec 2022	10 Dec 2022		7
Revise Drawings & Report (Contractor) Step 1.1	11 Dec 2022	13 Dec 2022		3
Assemble & Submit Deep Excavation Review Package (Contractor)	14 Dec 2022	27 Dec 2022		14
Fill Out OUC Application (Contractor) Step 29	14 Dec 2022	16 Dec 2022		3
Enter OUC # and OUC Due Date (OUC) Step 30	17 Dec 2022			0
Resolve OUC Conflicts (Contractor) Step 34.1	17 Dec 2022	30 Jan 2023		45
Resolve Deep Excavation Project Conflicts (Contractor) Step 38	28 Dec 2022	3 Jan 2023		7
Review and Approve Deep Excavation Review Package (OUC) Step	4 Jan 2023	17 Jan 2023		14
Review and Approve Final Documents and Letters (OUC) Step 36 (A	18 Jan 2023	14 Feb 2023		28
Review and Approve Final Project Plan Set (OUC) Step 37	18 Jan 2023	14 Feb 2023		28
Resolve Final Documents and Letters (Contractor) Step 39	15 Feb 2023	21 Feb 2023		7
Resolve Final Project Plan Set Conflicts (Contractor) Step 40	15 Feb 2023	21 Feb 2023		7
Closeout Letter - Permit Issued (OUC)	22 Feb 2023	28 Feb 2023		7

ID - Description	Start Date	Finish Date	Id	Plan Dur
OUC Process Complete		28 Feb 2023		0
OUC Permitting - No DFR	**1 Sep 2022**	**24 Dec 2022**		**115**
Contractor Prepares Documents/Design for OUC Plan Set	1 Sep 2022	30 Oct 2022		60
Prepare all Documents and Select Contractor (Owner/Designer)	1 Sep 2022			0
Upload Drawings and Soil Report (Contractor) Step 1	31 Oct 2022	31 Oct 2022		1
Review and Approve Preliminary Documentation (OUC) Step 2	1 Nov 2022	7 Nov 2022		7
Revise Drawings & Report (Contractor) Step 1.1	8 Nov 2022	10 Nov 2022		3
OUC Review Period	11 Nov 2022	10 Dec 2022		30
Address OUC Comments	11 Dec 2022	24 Dec 2022		14
OUC Process Complete		24 Dec 2022		0
DOB Permitting (Based on Developer Services)	**1 Sep 2022**	**27 Feb 2023**		**180**
Start DOB Process	1 Sep 2022			0
Submit DOB Appointment Request Online (Owner/Designer)	1 Sep 2022	1 Sep 2022		1
DOB Assigns a PM (DOB)	2 Sep 2022	1 Oct 2022		30
METRA Uploads Plans, Scope Narrative and Conflict of Interest Forı	2 Oct 2022	2 Oct 2022		1
Intake Meeting Waiting Period	3 Oct 2022	16 Oct 2022		14
Intake Meeting	17 Oct 2022	17 Oct 2022		1
DOB Solicits Bidding For Outsourced Consultant Review (DOB)	18 Oct 2022	16 Nov 2022		30
METRA to Complete Permit Application and Pay Fee	17 Nov 2022	17 Nov 2022		1
METRA Uploads Permit Documents	18 Nov 2022	18 Nov 2022		1
DOB Outsourced Consultant Technically Reviews Documents (DOB	19 Nov 2022	17 Jan 2023		60
METRA Issues Corrections to Any Comments	18 Jan 2023	26 Feb 2023		40
METRA Pays Final Permit Amount and DOB Releases Approved Drav	27 Feb 2023	27 Feb 2023		1
DOB Permit Issued		27 Feb 2023		0

ID - Description	Start Date	Finish Date	Id	Plan Dur
Robust Schedule Template (initial version)	1 Sep 2022	12 Dec 2026		1564
Design, Bid, Build	1 Sep 2022	6 Nov 2025		1163
Design/Build Template	1 Sep 2022	5 Aug 2024		705
HTC What-if Construction Schedules	20 May 2024	5 Sep 2027		1204
Station Construction Schedules	1 Sep 2022	24 Dec 2023		480
5 Stations	20 Dec 2022	17 Jun 2025		911
Simplified Procurement Template	1 Sep 2022	18 Feb 2023		171
Robust Schedule Template	1 Sep 2022	11 Sep 2026		1472

APPENDIX L

ACRONYMS AND ABBREVIATIONS

ACRONYM	DEFINITION
AE	Architect
AOR	Architect of Record
AHJ	Authority Having Jurisdiction
CBD	Chicago Central Business District
CDT	Capital Delivery Team
CDOT	Chicago Department of Transportation
CDWM	City of Chicago Department of Water Management
CM	Construction Manager
CSFO	Countywide Stormwater & Floodplain Ordinance
DDS	Direct Developer Services
DIM	Division of Infrastructure Management
DFR	Deep Foundation Review
DOB	Department of Buildings
DoR	Designer of Record
DS	Developer Services
DSPM	Developer Services Project Manager
EFP	Existing Facility Protection
EOR	Engineer of Record
EP	Easy Permit
ERS	Earth Retention System
FAA	Federal Aviation Administration
IDNR-OWR	Illinois Department of Natural Resources / Office of Water Resources
IDOT	Illinois Department of Transportation
IFB	Issued for Bid
IR	Information Retrieval
GPPA	Green Permits Project Administrator
MWRD	Metropolitan Water Reclamation District of Greater Chicago
NCR	Non-Conformance Reports
NTP	Notice to Proceed
OUC	Office of Underground Coordination
PA	Project Administrator
PC	Permit Coordinator
PFC	Permit for Construction
PM	Project Manager
PPC	Project Permit Coordination
PTL	Permit Tracking Log
ROW	Right-of-Way

ACRONYM	DEFINITION
SC	Self-Certified
SE	Structural Engineer
SMO	Stormwater Management Ordinance
SPR	Standard Plan Review