

NTTA Projects	Original Issue Date: 08/13/2010	PM-01
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<b>Title: Design – Build Submittal Review Approval Process</b>		

**1.0 PURPOSE:**

The purpose of this procedure is to define the process for review and approval of Design-Build Project submittals for President George Bush Turnpike Western Extension (PGBT-WE) only.

**2.0 RESPONSIBILITIES:**

- 2.1 Project Document Control (DC) – DC shall be responsible for receiving the required submittal deliverables/documents, initiating the submittal process within the EPDS application, preparing transmittal documents to the originator and uploading all approved submittal documents (with applicable transmittals) into the NTTA’s electronic records repository (Content Management).
- 2.2 Discipline Lead (DL) – DL shall be a member of the Corridor Management Team and responsible for review team member assignments, the compilation and management of reviewer’s comments, issue a final recommendation to accept/reject to Corridor Manager. Upon agreement, DL will complete the formal acceptance/rejection of all submittals in EPDS.
- 2.3 Reviewers – Review team members shall be responsible for reviewing the submittal and providing qualified comments and recommendations in their area of expertise.
- 2.4 Originator (Design/Builder) – The originator shall be responsible for the preparation and delivery (both hard copy and electronic) of the required submittal deliverables (based on submittal type) to the Corridor Management Team. Delivery of the submittal documents shall be done in a timely manner so as to not adversely impact the project schedule.
- 2.5 Corridor Manager (CM) – CM shall be responsible reviewing/approving Discipline Lead recommendations and will be the one to sign all transmittal letters

**3.0 SCOPE/APPLICABILITY:**

- This procedure shall apply to the NTTA President George Bush Turnpike – Western Extension only.
- Types of Submittals covered by this procedure are designated in Table 1 below:

Submittal Types			
Environmental	Utilities	Public Involvement	TxDOT
Quality Management	Railroad	Toll Systems	Planning
Design	Construction	ROW	Project Controls
TABLE 1			

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#### 4.0 REFERENCES:

- [NTTA PS&E Manual](#)
- [NTTA Construction Manual](#)
- [AASHTO](#)
- [FHWA – 23CFR 636 \(ORIGINATOR Rule\)](#)
- [TxDOT – Comprehensive Development Agreement Book 3 \(Design-Build\)](#)

#### 5.0 DEFINITIONS & ACRONYMS:

- DC Project Document Control
- DL Discipline Lead
- FTP File Transfer Protocol
- EPDS Enterprise Project Delivery System
- NTTA North Texas Tollway Authority
- NTP Notice to Proceed

#### 6.0 PROCEDURE:

After the design-build contract has been executed and the NTP issued, the originator shall provide the required contractual submittal documents to the NTTA and/or their representatives for processing within the EPDS application (Design-Build Submittal type) via the Corridor Management Team. As required by the design-build contract, all submittals for NTTA review/approval must be transmitted in hard-copy and electronic formats (pdf and native formats). The originator has created an FTP Site to facilitate the transmittal of electronic documents to the Corridor Management Team.

##### 6.1 Initiate Submittal:

- Per the design-build contract, transmittals submitted prior to 1:00pm will be stamped that same day by DC; however, if submitted after 1:00pm the transmittals will be stamped for the following business day
- DC shall initiate the submittal process in the EPDS application and upload the submittal documents

##### 6.2 Initial Review and Accept/Reject by Document Control

- DC shall perform the following quality check/tasks:
  - All electronic documents can be opened
  - Both electronic and hard-copy documents are complete, accurate and meet the requirements of the contract
  - Transmittal documents are included
  - If accepted (A):
    - DC shall forward the submittal to DL to begin the review process
  - If rejected (B):
    - Submittal is sent back to the originator to fulfill the submittal requirements
    - Return to step 6.1

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**6.3 Create Review Team:**

- DL reviews the information provided within the submittal
- Assigns personnel to review the documents
- Provides a due date

**6.4 Review and Comment:**

- Reviewers will receive a notification to start their review including their due date
- Reviewers provide comments with resolution and/or recommendations within the EPDS application
- Reviewers will record exceptions using the Review and Comment Log, QMS form FD-01-F5, and attach it to the submittal
- The log naming convention shall follow the NTTA naming convention; QMS document DM-02-A2

**6.5 Compile Review Comments:**

- DL will receive a notification once all of the reviewers complete their review
- DL compiles all comments into one comment log (QMS form FD-01-F5) and attaches it to the submittal
- DL forwards the submittal to DC

**6.6 Prepare Final Documentation:**

- DC shall be responsible for compiling the final documentation (i.e. compiled comment log, supporting documentation, etc.)
- DC creates a transmittal letter which is signed by the CM
- DC scans the signed transmittal and all the submittal documents to be revised
- DC attaches the above scanned documents to the submittal
- DC forwards the submittal to the DL to formalize/record the disposition based on reviewers comments/feedback (accept or reject)

**6.7 Submittal Disposition:**

- DC uploads submittal documentation package, including any native files (inclusive of the compiled comment resolution form, FD-01-F5), to the originator's [FTP Site](#). Hard copy documents transmitted to originator. Only documents to be revised are uploaded if submittal is rejected
- DL formalizes the submittal disposition:
  - If accepted (A):
    - DL accepts the submittal in the EPDS application
    - DL notifies DC of disposition
    - Proceed to 6.8
  - If rejected (B):
    - DL rejects the submittal in the EPDS application
    - DL notifies DC of disposition
    - Proceed to 6.9

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**6.8 Archive Documentation:**

- DC uploads the complete submittal documentation package (inclusive of all correspondence) into the NTTA's electronic records repository (Content Management)
- End of process

**6.9 Comment Resolution:**

- Originator shall address comments and resubmit, including the completed comment resolution form (FD-01-F5)
- Meeting held to review and resolve disputed comments (optional)

**6.10 Add Documentation:**

- DC receives submittal documentation revisions via hard copy and electronically from originator
- DC creates a submittal revision in the EPDS application, attaches the revised documentation from the originator and the process repeats starting at step 6.2.

**7.0 REGULATORY REQUIREMENTS:**

NA

**8.0 RELATED BOARD POLICY:**

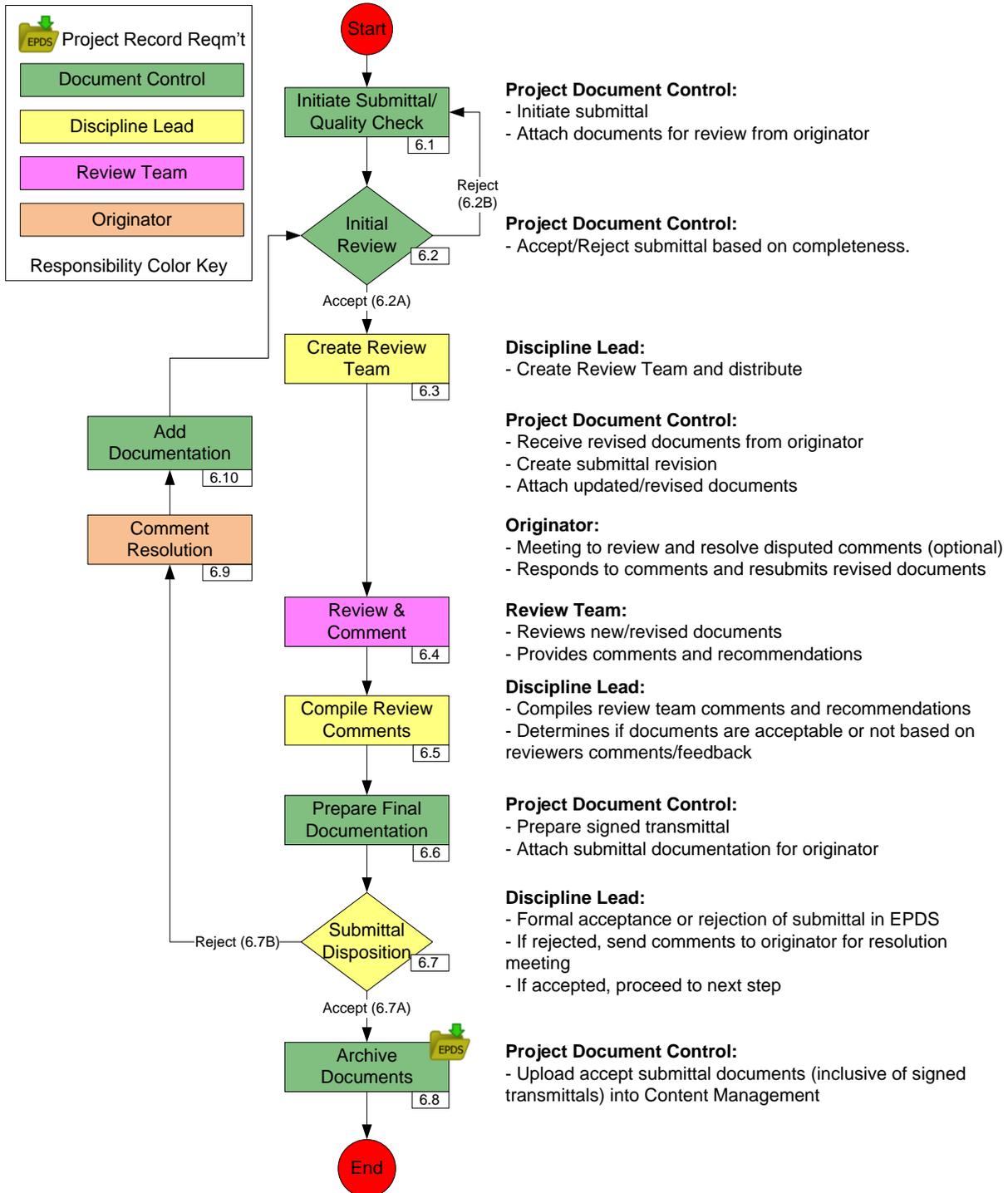
NA

**9.0 COMPONENT DOCUMENTS:**

- [FD-01-F5](#) Comment Review Form
- [PM-01-A1](#) EPDS - Design-Build Submittal Reference Card
- [DM-02-A2](#) Content Management File Naming Convention

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**10.0 FLOWCHART:**



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**11.0 REVISION HISTORY:**

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Maria Del Carmen Merryfield	08/13/2010	<a href="#">10167</a>	Original Release