The purpose of this document is to outline the internal and external procedure for self-certified plan submittals and associated audit reviews. Effective January 1, 2014 all self-certified plans must be submitted through Electronic Plan Review (EPR).

I. Pre-Submittal Requirements

A. Self-Certified Professional
   1. Completes appropriate Self-Certification permit application and submittal checklist.
   2. Obtains required approvals per applicable Self-Certification submittal checklist and application. Depending on the type of submittal, the following staff approvals may be required prior to submitting plans:
      a. Final Site Plan
      b. Single Family Design Review
      c. Updated Tenant List
      d. Plat or Lot Split
      e. Civil Plans (Grading & Drainage, Paving)
      f. Landscape Plan (including Inventory and Salvage)
      g. Storm Water Management Plan
      h. Fire Flow Test and Site Fire Review
      i. Building Code Modification and Appeals
      j. Address Verification
      k. Plot Plan and Elevations (Residential only)
      l. Zoning Compliance
      m. Cross Access Agreement
      n. Off-Site Civil Reviews
      o. Alternate Paving
      p. Percentage of covered parking
   3. Verifies that all plan sheets and files are in accordance with Electronic Plan Review Submittal Standard Guidelines.
   4. Each page of the construction plans must have the following:

   SELF-CERTIFIED BY: ___________________________________   ____________________
   (Insert name of Self-Certified Professional)  Date
   • Plans were prepared by or under the direct supervision of, or reviewed by the Self-Certified Professional,
   • Plans are complete.
   • The plans are, as of the date of submission, in compliance with City of Phoenix building, civil, site, and zoning codes, ordinances, and all other applicable laws.
II. Plan Submittal

A. Self-Certified Professional
   1. Completes web application located at: www.phoenix.gov/epr
   2. Uploads plans and documents into ProjectDox.
      a. Plan sheets shall be uploaded to the “Drawings” folder.
      b. The following items shall be uploaded to the “Supporting Documents” folder:
         • Self-Certification Submittal Checklist (must be signed and dated)
         • Self-Certification Permit Application with staff approvals
         • Professional of Record Statement
         • Owner/Tenant Certification Statement
         • Hold Harmless Letter
         • Professional Liability Insurance Certificate
         • Energy Code Compliance Certificates (if applicable)
         • Water Meter Worksheet (if applicable)
         • Water & Sewer Service Information Request Form (if applicable)
         • Structural Peer Review Certificate (if applicable)
         • Structural Calculations (if applicable)
         • Geotechnical Report (if applicable)
         • Project Specifications (if applicable)
         • Special Inspection Certificates (if applicable)
   3. Completes “ApplicantUpload_Confirmation” task in ProjectDox.

B. Payments & Submittals Staff
   1. Receives email notification from ProjectDox of incoming plan submittal.
   2. Verifies the professional is on the approved Self-Certification list.
      1. If Self-Certified Professional is not on the list, refers the Professional to Management Assistant II (MAII).
      2. If Self-Certified Professional is suspended from the Self-Certification Program, MAII refers the Professional to the Audit and Appeal Process.
   3. If Self-Certified Professional is on the list, verifies all the information is provided and accurately completed.
   4. Verifies plans and all required documents have been provided.
   5. Verifies all required approvals have been obtained.
   6. Verifies that all plan sheets and files are in accordance with Electronic Plan Review Submittal Standard Guidelines.
   7. Identifies appropriate KIVA number for the project.
   8. Creates new SPAD or SDEV if necessary.
   9. Completes reviewer portion of web application.
       1. Approve if Prelog requirements have been met.
       2. Reject and send back to customer with explanation of deficiencies if Prelog requirements have not been met.
   11. Creates KIVA permit type by accepting “CreatePR KIVA” task in ProjectDox and clicking “Create” KIVA case button. Do not click the “Complete Task” button at this time.
12. Verifies information from web application has transferred to KIVA and completes any other necessary KIVA fields.
13. Completes “Fee Calc” screen in KIVA assessing $300.00 intake fee.
14. Completes the “CreatePR KIVA” task in ProjectDox.

C. Self-Certified Professional
1. Receives email notification from ProjectDox of administrative fees due for processing of plan submittal.
2. Pays applicable fees in person, by phone or on-line at: www.phoenix.gov/epr
3. Completes “Fee Payment” task in ProjectDox.

D. Payments & Submittals Staff
1. Receives email notification from ProjectDox to verify fee payment.
2. Verifies fee payment in KIVA and completes “VerifyFeePayment” task in ProjectDox.
3. Coordinates with Team Leaders for project assignment and tickles the appropriate Team Leader, PCD Reviewer and IMC/UPC reviewer in KIVA (1 day tickle, 5 day goal).
   a. Major Commercial Team leader if a Major Commercial project.
   b. Minor Commercial Team Leader or BCE Lead for all other commercial projects, including AFP.
   c. Construction Permit Supervisor for residential projects.
   d. Principal Planner for site and landscape projects.
   e. CEIII for civil projects.
4. Verifies if project is covered by an Annual Facilities Permit. If so, adds AFP activity to KIVA clearance checklist and tickles AFP Engineering Technician.
5. Select “ScheduleActivities” task in ProjectDox and select “Yes” for “Review Requires Audit” and “KIVA Codes Correct” fields. Selecting “Yes” for “Review Requires Audit” allows the Department Review function in ProjectDox. STAFF MUST SELECT “YES” FOR THIS FIELD REGARDLESS IF AN AUDIT IS REQUIRED OR NOT.
5. Verifies applicable reviews have been transferred from KIVA and selects any additional required reviews.
6. Completes “ScheduleActivities” task in ProjectDox by clicking “Begin Review” button.
7. Sends Email notice of submittal to MAII, Development Assistant Director and Deputy Directors.

E. Management Assistant II
1. Enters %SC in spreadsheet along with all other information (Spreadsheet is located at S:\Management Services\Self Certification\Self Certification Projects).
2. Determines whether random audit is required.
3. If required, creates scoring template and notifies Team Leader (Scoring template is located at S:\Department Share\PlanReview Share\Self-Certification Audits).
4. Creates %CA in KIVA as child of %SC, using same log number.
5. Notifies Payments & Submittals staff to create audit review in ProjectDox.

III. Plan and Permit Processing

A technical review of the plans is not done by staff. Staff verifies the submittal meets the minimum eligibility requirements per the Self-Certification Program.
A. Team Leader
   1. Verifies project meets eligibility criteria.
   2. Verifies all necessary pre-submittal approvals have been obtained.
   3. Screens plans and documents to ensure complete submittal and all necessary items have been provided (refer to appropriate Self-Certified Plan Submittal Checklist for type of submittal).
   4. Determines whether project scope requires a structural peer review.
      a. Those requiring an automatic audit do not require a structural peer review since full plan review is done by Technical Leads.
      b. If required, Self-Certified Professional must provide Certificate of Approval from an approved structural peer reviewer or standard plan approval (if needed per the Self-Certified Eligibility Chart details).

B. Plan Reviewers
   1. Verify the submittal documents meet the minimum requirements for their respective discipline.
      a. Enter comments in ProjectDox using changemarks and complete “Department Review” task.
      b. Sign off activity in KIVA clearance checklist.
      c. Last reviewer notifies Team Leader by email when review is complete.

Note: If plans and associated documents do not meet the minimum requirements per the Self Certification Guidelines and Plan Review Checklists, see section IV for returning the submittal to customer.

C. Team Leader – Audit Requirement
   1. Determines audit status of project.
   2. Random audit
      a. Verifies the %CA review has been created in KIVA
      b. Verifies audit reviewers are assigned in KIVA clearance checklist.
      c. Verifies the audit review has been created in ProjectDox.
   3. Automatic audit
      a. Creates %CA as child of %SC, using same plan number.
      b. Notifies MAII that audit has been created.
      c. Enters 1/2 plan review fee under the permit.
      d. Assigns audit reviewers in KIVA clearance checklist.
      e. Notifies Payments & Submittals staff to create audit review in ProjectDox.

D. Team Leader – Accuracy of Fees
   1. Notes amount of time spent processing plans in KIVA under %SC.
   2. Enters any additional fees in KIVA at hourly rate.

E. Team Leader – Permit Setup
   1. All permits should state in the scope of work: “Self Certified Project, Conditional Permit subject to Audit and Field Inspection.”
   2. Verifies quantities to assure accurate permit fee and surcharge.
   3. Surcharge quantity is the valuation.
4. If a Site Inspection is required, create CSIT permit as a child of %SC and enter $750 fee in fee calculation screen. Note: do not check Self-Cert category in KIVA for CSIT permits.

5. If project is covered by AFP, emails AFP Engineering Technician when permit is setup and ready for AFP editing.
   a. AFP Engineering Technician adds permit in KIVA Genealogy under AFP parent permit
   b. AFP Engineering Technician edits applicable KIVA permit fields for proper tracking, inspections and billing.
   c. AFP Engineering Technician removes permit fee, as AFP projects are billed on an hourly basis. The audit surcharge fee remains.
   d. Once all edits have been made, the AFP Engineering Technician emails the Team Leader notification the permit is ready for issuance.

6. Tickles P&S Senior Engineering Technician with the current date under the “COMPLETE” activity in KIVA clearance checklist to notify customer of permit approval and outstanding fees.

F. Payments & Submittals
1. Receives email notification from ProjectDox to perform Review QA.
   a. Verifies that all tasks have been completed in ProjectDox and all applicable disciplines have been signed off in KIVA.
   b. Verifies that permit has been created in KIVA and applicable fees have been added.
   c. Completes “ReviewQA” task in ProjectDox.

2. Receives email notification from ProjectDox to perform Review Complete task.
   a. Verifies required bonds have been posted and all required civil permits (Salvage, G&D, SWMP) have been issued. Verifies impact fees, WRA, and DOF fees are included in fee calculation screen on %SC permit.
   b. If required bonds are not posted, civil permits are not issued, water meters are required or there are any unpaid fees, notifies the self-certified professional. Proceed to next step once all outstanding items have been resolved.
   c. Sign off “Verify” KIVA permit flag.
   d. Completes “ReviewComplete” task in ProjectDox.
   e. Signs off “COMPLETE” activity in KIVA clearance checklist.

G. Self-Certified Professional
1. Receives email notification from ProjectDox for payment of permit fee(s).
2. Pays applicable fees in person, by phone or on-line at: www.phoenix.gov/epr
3. Completes “FinalFeePayment” task in ProjectDox.

H. Payments and Submittals
1. Receives email notification from ProjectDox to verify payment of all fees (including but not limited to; additional hours for plan processing, impact fees, water fees, CSIT and plan review audit fees).
2. If project requires an audit, tickle staff under the %CA review (20 calendar day tickler, 30 day goal).
3. Completes “VerifyFinalFeePayment” task in ProjectDox.
4. Receives email notification from ProjectDox to Batch Stamp plans.
5. Batch stamps required plan sheets with Self-Certification stamp in ProjectDox and completes “BatchStamps” task in ProjectDox.

I. **Self-Certified Professional**
   1. Receives email notification from ProjectDox that approved plans are ready for download.
   2. Downloads stamped plans from the “Approved Plan Set” folder in ProjectDox.
   3. Must provide hard copy of plans on project site.

IV. **Projects Not Meeting Minimum Requirements for Self-Certification Submittal**

   A. **Team Leader and Plan Review Staff**
      1. Enter notes in ProjectDox using Changemarks.
      2. Complete applicable “DepartmentReview” tasks in ProjectDox.
      3. Sign off applicable activities in KIVA clearance checklist.
      4. Team Leader or designee tickles the P&S Senior Engineering Technician with the current date under the “CORR REQ” activity in KIVA clearance checklist to notify customer of corrections.

   B. **Payments & Submittals Staff**
      1. Receives email notification from ProjectDox to perform Review QA.
         a. Verifies that all tasks have been completed in ProjectDox and all applicable disciplines have signed off in KIVA.
         b. Completes “ReviewQA” task in ProjectDox.
      2. Receives email notification from ProjectDox to perform Review Complete task.
      3. Completes “ReviewComplete” task in Project Dox.
      4. Signs off “CORR REQ” activity in KIVA clearance checklist with “NOTIFY” decision code.

   C. **Self-Certified Professional**
      1. Receives email notification from ProjectDox of corrections required.
      2. Address staff comments and uploads revised plans and documents into ProjectDox (must use the same file names as original submittal).
      3. Completes “ApplicantResubmit” task in ProjectDox.

   D. **Payments & Submittal**
      1. Receives email notification from ProjectDox of plan resubmittal.
      2. Verifies corrected files have been uploaded correctly in ProjectDox and have the same file names as the original.
         a. If corrected files have not been uploaded correctly, accepts “ResubmitReceived” task in ProjectDox, adds comments in Plan Review Form and completes “ResubmitReceived” task by selecting “Return to Applicant for Additional Information”.
      3. Tickles all disciplines needing to complete review of resubmittal in KIVA (1 day tickle and 5 day goal).
      4. Accepts “ResubmitReceived” task in ProjectDox and verifies applicable department reviews are selected.
      5. Completes “ResubmitReceived” task in ProjectDox by selecting “Begin Review”.
      6. The process returns to section III to begin the review of corrected sheets.
V. Project Denial

If a project has obvious life safety issues or the self-certified professional fails to provide all necessary plans and documentation after the initial staff review, the project shall be denied. The self-certified professional must start the process from the beginning, including the payment of administrative fees to process the new submittal.

VI. Audit Review Procedure

Audit reviews are to be performed by Technical Leads or their delegates. Audit review results must be forwarded to the self-certified professional within 30 days of permit issuance. Assignments should be tickled at 20 calendar days in KIVA from the time a construction permit is issued.

A. Payments & Submittals
   1. Receives email notification from Management Assistant II to create audit review in ProjectDox for random audits (%CA must be created by MAII in KIVA first).
   2. Receives email notification from Team Leader to create audit review in ProjectDox for automatic audits (%CA must be created in KIVA by Team Leader first).
   3. Creates audit review in ProjectDox using EPR Audit Review Setup Process and tickles applicable disciplines in KIVA.

B. Plan Review Staff
   1. Reviews plans in ProjectDox and enters review comments using Changemarks.
   2. Completes “Department Review” task in ProjectDox.
   3. Enters comments and points in audit Excel spreadsheet (located at S:\Department Share\Plan Review Share\Self-Certification Audits).
   5. Last reviewer notifies Team Leader by email that the audit is complete.

C. Team Leader & Support Staff
   1. Regardless of audit results
      a. Team Leader notifies Engineering Technician to publish files from audit review in ProjectDox and to complete PDox report “Project Markup Listing”.
      b. Engineering Technician publishes the files and saves them as PDF files. The files are saved to the following location: S:\Department Share\Plan Review Share\Self-Cert EPR Plan Audits.
      c. Team Leader compiles comments and scores in template to be used as an attachment to audit results letter.
      d. Team Leader determines action of whether or not a resubmittal is required and the deadline for resubmittal (2 weeks if not otherwise specified). Resubmittal to be determined based on the scope of redlines or as required for a standard plan.
         i. If plan resubmittal is required, the Team Leader places reminder in calendar of due date for corrected plan sheets. Per the Self-Certification Program Rules and Regulations, if the Self-Certified Professional fails to submit the required corrections by the date identified in the audit notification letter, it could result in the revocation of the Self-Certified Professional’s privileges. The Team Leader
should discuss the course of action with the Building Official, City Manager’s Representative and Inspections staff.

e. Team Leader forwards review comments, audit results and required action to Management Assistant II.

f. Team Leader notifies Inspections Team Leader, General Inspections Supervisor or Field Civil Engineer III (depending on type of submittal) that PDF files of redlines and Project Markup Listing are available for viewing in the following location: S:\Department Share\Plan Review Share\Self-Certification Audits.

2. If audit fails or has major corrections, Team Leader schedules a meeting with technical staff and field staff to discuss results.

D. Management Assistant II

1. Creates letter and forwards letter with audit results and comments to Building Official (building plans) or Site Team Leader (site/civil plans) for review and signature.

2. E-Mails letter and attachment to Self-Certification Professional. Hard copy follows via US mail to Self-Certified Professional and Owner of Record.
   i. Copies Assistant Director, both Deputy Directors, Building Official, Team Leader, Inspections Team Leader and Engineering Technician on email

3. Enters results and point total in project tracking spreadsheet and audit tracking spreadsheet.

E. Approved Audits

1. Payments & Submittals
   a. After receiving email confirmation of audit results from MAII, verifies that all plan review activities have been signed off in KIVA and all Department Reviews have been completed in ProjectDox.
   b. Completes “ReviewQA” task in ProjectDox.
   c. If there are no additional fees due, the applicant’s email needs to be changed in ProjectDox so the applicant does not receive the “FinalFeePayment” task. Refer to the EPR Audit Review Setup process to change the applicant’s email to a staff member.
   d. Completes “Review Complete” task in ProjectDox.
   e. If no fees are due, completes “FinalFeePayment” task in ProjectDox.
   f. Change the applicant’s email back to the original applicant email in ProjectDox.
   g. Completes “VerifyFinalFeePayment” task in ProjectDox.
   h. Batch stamps plans in ProjectDox using the Self-Certification Audit Stamp.
   i. Completes “BatchStamp” task in ProjectDox.
   j. Signs off the “COMPLETE” activity in KIVA clearance checklist.

2. Self-Certified Professional
   a. Receives email notification of audit results from MAII.
   b. Receives email notification from ProjectDox that audit plans are available for download.
   c. Downloads stamped plans from the “Approved Plan Set” folder in ProjectDox.
   d. Must provide hard copy of plans on project site.

F. Audits Requiring Resubmittal of Plans

1. Payments & Submittals
a. After receiving email confirmation of audit results from MAII, verifies that all plan review activities have been signed off in KIVA and all department reviews have been completed in ProjectDox.
b. Completes “ReviewQA” task in ProjectDox.
c. Completes “Review Complete” task in ProjectDox.
d. Signs off “CORR REQ” activity in KIVA clearance checklist with “NOTIFY” decision code.

2. **Self-Certified Professional**
   a. Receives email notification of audit results from MAII.
   b. Receives email notification from ProjectDox that audit plans require corrections.
   c. Addresses staff comments and uploads revised plans and documents into ProjectDox (using the same file name as the original submittal).
   d. Completes “ApplicantResubmit” task in ProjectDox

3. **Payments and Submittals**
   a. Receives email notification from ProjectDox of plan resubmittal
   b. Verifies corrected files have been uploaded correctly in ProjectDox and files have the same names as the originals.
   i. If corrected files have not been uploaded correctly, accepts “ResubmitReceived” task in ProjectDox, adds comments in Plan Review Form and completes “ResubmitReceived” task by selecting “Return to Applicant for Additional Information”.
   c. Tickles staff in KIVA (10 day tickler, 15 day goal)
   d. Accepts “ResubmitReceived” task in ProjectDox and verifies applicable Department Reviews are selected.
   e. Completes “ResubmitReceived” task in ProjectDox selecting “Begin Review”.

4. **Team Leader & Plan Review Staff**
   a. Verifies all required corrections have been made.
   b. Sign off activities in KIVA clearance checklist.
   c. Complete “DepartmentReview” tasks in ProjectDox.
   d. Last reviewer notifies Team Leader by email that review is complete.
   e. Team Leader Tickles P&S Senior Engineering Technician with the current date under the “COMPLETE” activity in KIVA clearance checklist.

5. **Payments & Submittals**
   a. Receives email notification from ProjectDox to complete Review QA task.
   b. Completes “ReviewQA” task in ProjectDox.
   c. If there are no additional fees due, changes the applicant’s email address in ProjectDox so the applicant does not receive the “FinalFeePayment” task. Refer to the EPR Audit Review Setup process to change the applicant’s email address. Change email address to Payments & Submittals staff performing ProjectDox tasks.
   d. Completes “Review Complete” task in ProjectDox.
   e. If no fees are due, completes “FinalFeePayment” task in ProjectDox.
   f. Change the applicant’s email address back to the original in ProjectDox.
   g. Completes “VerifyFinalFeePayment” task in ProjectDox.
h. Batch stamps plans in ProjectDox using the Self-Certification Audit Stamp.
i. Completes “BatchStamp” task in ProjectDox.
j. Signs off “COMPLETED” activity in KIVA clearance checklist.

6. **Self-Certified Professional**
   a. Receives email notification from ProjectDox that audit plans are available for download.
   b. Downloads stamped plans from the “Approved Plan Set” folder in ProjectDox.
   c. Must provide hard copy of plans on project site.

**VI. Field Corrections/Revisions**

Corrections of minor items that are discovered in the field will be discussed and resolved by inspection staff. If the issues are more complex and cannot be resolved in the field, inspection staff will notify the applicable team leader to perform an audit of the plans. The audit process will follow the same process as described in section V.

Revisions to self-certified plans, in which a construction permit has already been issued, follow the same process as the original submittal.

**VIII. Appeal Process**

If the Self-Certified Professional of an audited project disputes the results of the audit or disputes the accuracy or applicability of any code or ordinance correction comment entered in connection with such audit, the Self-Certified Professional of record has the right to:

1. **Plan Review Meeting**
   Request an informal meeting within seven (7) calendar days from audit completion/decision to review the matter with the Team Leader and/or technical staff.

2. **Administrative Review**
   File an administrative review application within three (3) business days from plan review meeting completion/decision. Single family or duplex projects must pay $300 and all other projects must pay $450 to file an application for an administrative hearing with the Building Official (building) or City Manager’s Representative (site/civil).

3. **Appeal to Development Advisory Board**
   If the Self-Certified Professional disputes the results of the Building Official or City Manager’s Representative, an appeal request to the Development Advisory Board must be provided in writing within ten (10) calendar days of a hearing decision. The fee to file an appeal to the Development Advisory Board is $600 for the first appeal item plus $300 each additional appeal item.

The Self-Certified Professional of an audited project shall be deemed to have waived his or her right to dispute the results of an audit if such Self-Certified Professional fails to submit, in the time specified above, a written request for a meeting to review the results of such audit or does not submit an administrative review request.
If the Self-Certified Professional submits a written request for a review meeting in a timely manner but fails to appear at such meeting, P&D may, upon a showing of good cause, reschedule such meeting. For purposes of this rule, the term “timely manner” means the date identified in the notification.

IX. Appeal Results

A. If, as a result of a plan review meeting, it is determined that a disputed plan review correction is accurate and applicable to the audited project such that a revision to permit is required for the project or that the results of an audit are correct, and the Self-Certified Professional agrees with such determination, such mutual understanding between the plan examiner and Self-Certified Professional shall be memorialized in writing. If the Self-Certified Professional does not agree, and would like to pursue it further, an administrative review application must be submitted within three (3) working days of the plan review meeting.

B. If, as a result of a plan review meeting or an administrative review, it is determined that a disputed plan review correction is not accurate or applicable to the audited project or that the results of an audit are incorrect, the Building Official or City Manager’s Representative shall inform the Self-Certified Professional in writing and, if applicable, shall resolve the matter by not requiring the Self-Certified Professional to address the particular correction(s).

C. If, as a result of a plan review meeting or an administrative review, a determination will change the results of an audit, the Self-Certified Professional may request that the Building Official or City Manager’s Representative recalculate the final cumulative audit grade of the project. Upon receipt of such request, the Building Official or City Manager’s Representative shall recalculate the final cumulative audit grade accordingly and shall notify the Self-Certified Professional in writing of the results of such recalculation.

D. If audit results are revised during the appeal process, the Management Assistant II needs to be notified of the revised scores to update project and audit spreadsheets.

E. The Self-Certified Professional’s Self-Certification privileges shall be revoked by the Building Official or City Manager’s Representative if:
   1. The Self-Certified Professional fails three audits within any three year period,
   2. Fails to take all remedial measures within such Self-Certified Professional’s control to bring the required plans and any construction there under into compliance with the city of Phoenix Building Construction Code.