The purpose of this document is to outline the internal and external procedure for Electronic Plan Review (EPR) self-certified plan submittals.

I. Pre-Submittal Requirements

A. Self-Certified Professional

1. Completes appropriate Self-Certification permit application and submittal checklist.

2. 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. Obtains required approvals outlined in the Self-Certification permit application and submittal checklist.
   a. If not obtaining approvals, allow 48 hours for EPR Senior Engineering Technician to coordinate and obtain clearances on the Self-Certification permit application and Water and Sewer Service Information Request Form (if applicable).

4. Acknowledges that plans are stamped and signed by the Self-Certified Professional.

5. Verifies each page of the construction plans has the following self-certification notation:

   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

For self-certified projects over 50 plan sheets that are subject to Automatic Audit, provide one paper copy of the self-certified plan set to the EPR Senior Engineering Technician within 5 days of submittal. If the self-certified plan set is not received prior to permit issuance, the self-certified plans will be placed on hold until received.

For self-certified projects over 50 plan sheets that are selected for a Random Audit, the applicant will be notified to provide one paper copy of the self-certified plan set to the EPR Senior Engineering Technician prior to batch stamping of the approved self-certified plan set. If the self-certified plan set is not received prior to batch stamp, the self-certified plans will be placed on hold until received.

The paper copy of the self-certified plan set will be used for audit plan review. See section VII for Self-Certified Paper Copy Plan Set Submittal.

A. Applicant – Application and Plan Upload

1. Completes web application located at:
   https://www.phoenix.gov/pdd/onlineservices/electronic-plan-review

2. Uploads plans and documents into ProjectDox.
   a. Plan sheets shall be uploaded to the “Drawings” folder.
   b. All applicable documents listed on the submittal checklist shall be uploaded to the “Supporting Documents” folder.

3. Verifies that all plan sheets and documents are in accordance with Electronic Plan Review Submittal Standard Guidelines.
   a. If plan sheets or documents have been uploaded incorrectly. Files can be deleted by selecting the file and clicking on the red “X” in ProjectDox. If you need to delete files any time after completing the “Applicant Upload Confirmation” task, contact EPR Senior Engineering Technician at 602-534-5933 to accommodate this request.


B. Intake Staff – Administrative Review

1. Receives email notification from ProjectDox of incoming plan submittal.

2. Verifies the professional is on the approved Self-Certification list.
   a. If Self-Certified Professional is not on the list, refers the Professional to Management Assistant II (MAII).
   b. 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, EPR Senior Engineering Technician coordinates and obtains required approvals (if applicable) per applicable Self-Certification submittal checklist and application.

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.

    a. Approve if Prelog requirements have been met.
    b. 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. Applicant – Fee Payment

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:  
   https://www.phoenix.gov/pdd/onlineservices

3. Completes “Fee Payment” task in ProjectDox.

D. EPR Senior Engineering Technician – Fee Verification and Plan Assignment

1. Receives email notification from Project Dox to verify fee payment.

2. Verifies fee payment in KIVA and completes “VerifyFeePayment” task in ProjectDox.

3. Tickles the appropriate plan review staff in KIVA (3 day tickle, 5 day goal).
   a. IBC, PCD and IMC/UPC for commercial projects.
   b. IBC for residential projects.
   c. Principal Engineering Technician for civil projects.
   d. Planner II for site and landscape projects.
e. Verifies if project is covered by an Annual Facilities Permit. If so, adds AFP activity to KIVA clearance checklist and tickles AFP Engineering Technician.

4. Selects “ScheduleActivities” task in ProjectDox.
   a. Verifies applicable reviews have been transferred from KIVA and selects any additional required reviews.

5. Completes “ScheduleActivities” task in Project Dox by clicking “Begin Review” button.

III. Plan and Permit Processing

A technical review of plans is not initially performed by staff for self-certified plans, but a limited cursory screening is performed by technical staff to ensure there are not obvious life safety violations, that water meters are sized correctly, and any applicable grease interceptors have gone through the appropriate approval process. All self-certified plan submittals are subject to either a random or automatic audit.

A. Intake Staff – Verifies Information

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 PDD staff.
   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).

5. Verifies 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.

Note: If plans and associated documents do not meet the minimum requirements per the Self Certification Guidelines and Plan Review Checklists, see section V for Projects Not Meeting Minimum Requirements for EPR Self-Certification Submittal.

B. Intake Staff – Determines Audit Status of Project

1. If automatic audit is required, Intake Staff:
   a. Creates %CA as child of %SC, using same plan number.
   b. Enters audit fee in permit after it is created.
c. Emails MAII that audit has been created.
d. Emails Team Leader for reviewer information.
e. Emails EPR Senior Engineering Tech staff to create audit review in ProjectDox.

2. Assigns and tickles audit reviewers in KIVA clearance checklist. (20 day tickler, 30 day goal).

3. For ALL audits:
   a. MAII tracks all audits on audit tracking spreadsheet.

C. Intake Staff – Permit Setup

1. Creates self-cert permit off of plan submittal and checks “Self-Cert” as permit category in KIVA.

2. Follow the permit scope policy and add:
   a. For building: “Self-Certified Project, Conditional Permit subject to Audit and Field Inspection.”
   b. For civil: “A full copy (24" X 36") of the EPR Self-Certified plan is required to be given to the area Civil Inspector prior to starting work under this permit.”

3. Verifies quantities to assure accurate permit fee and surcharge.
   a. Surcharge is 10% of the permit fee. Enter the valuation and KIVA will automatically calculate the fee.
   b. Add in the audit plan review fee (if applicable).

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. Verifies paper copy of self-certified plan was provided by applicant.
   a. If self-certified plan set is not received, enters comment “Do not issue permit until paper copy of self-certified plan is received” into the VERIFY flag in the C Of A screen.

6. After last reviewer completes the “Department Review” task. ProjectDox will notify EPR Senior Engineering Technician to notify customer of permit approval and outstanding fees.

D. Management Assistant II – Determines Audit Status of Project

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 %CA in KIVA as child of %SC, using same log number.
   a. Notifies applicant project was selected for random audit.
   b. Emails EPR Senior Engineering Technician staff to create audit review in ProjectDox.
      i. If project contains over 50 sheets, EPR Senior Engineering Technician contacts applicant to provide one paper copy of self-certified plans for audit review.

4. Creates scoring template and notifies Team Leader/Supervisor (Scoring template is located at S:\Department Share\PlanReview Share\Self-Certification Audits).

E. Team Leader/Supervisor – If Random Audit Required

1. If random audit is already set up by MAII,
   a. The %CA has already been entered as child of %SC.
   b. There are no review fees for a random audit.
   c. Assures audit disciplines are assigned and tickled in KIVA.

F. Senior Engineering Technician – Customer Notification

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 and applicable fees have been added in KIVA.
   c. Completes “ReviewQA” task in ProjectDox.

2. Receives email notification from ProjectDox to perform Review Complete task.
   a. Verifies bonds have been posted and all required civil permits (Salvage, G&D, SWMP) have been issued. Add water meter fees and sets up Water Service Worksheet. Verifies impact fees, WRA, and DOF fees are included in fee calculation screen on %SC permit. Verifies %SC permit has a licensed contractor in the “Professional” screen.
   b. Signs offs flags or conditions of approval if requirements are met.
   c. Removes tickle date, signs off the “COMPLETE” activity by entering “DONE” as the decision in the %SC plan review Clearance Checklist screen.
   d. Enters in fee information and stipulations (if applicable) in ProjectDox e-form.
   e. Completes “ReviewComplete” task in ProjectDox.

IV. Permit Payment and Plan Download

A. Applicant – Final Fee Payment

1. Receives email notification from ProjectDox for payment of permit fee(s).

2. Pays applicable fees in person, by phone or on-line at: https: https://www.phoenix.gov/pdd/onlineservices

3. Completes “FinalFeePayment” task in ProjectDox.
B. EPR Senior Engineering Technician – Final Fee Verification and Batch Stamp

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) in KIVA.

2. Once all fees have been collected, goes into the %SC Clearance Checklist screen and click on the Permit Signoff button. Enters “APPR” or “PERM” in the Decision field, presses the F10 key to save and clicks on the “Ok – Update land” button.

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 and completes “BatchStamps” task in Project Dox.

C. Applicant – Download Approved Plans

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.

V. Projects Not Meeting Minimum Requirements for EPR Self-Certification Submittal

A. Intake or Plan Review Staff

1. Enters note in ProjectDox using Changemarks.

2. Completes applicable “DepartmentReview” task in ProjectDox.


4. After last reviewer completes the “Department Review” task. ProjectDox will notify Senior Engineering Technician to notify customer of corrections.

B. EPR Senior Engineering Technician

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 or Representative

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. EPR Senior Engineering Technician

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 (3 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” task.

E. Intake Staff or Plan Review Staff

1. Follows Section III.A-F.

VI. Self-Certified Paper Copy Plan Set Submittal

A. Applicant

1. Submits one copy of the self-certified plan set with transmittal letter containing self-certification plan number and address to the 2nd floor Information Desk and checks in upon arrival.

B. Information Desk

1. Notifies EPR Senior Engineering Technician of applicant’s arrival.
   a. If EPR Senior Engineering Technician is not available, contacts Intake Staff with knowledge of project.
C. EPR Senior Engineering Technician

1. Receives copy of self-certified plan set.

2. Labels self-certified plan set with the %CA number and the address.

3. Routes self-certified plan set to a bin in the CC section in KIVA and delivers self-certified plan set to bin.

4. Sends Email notice of submittal to Team Leader and Plan Review Staff of submittal.
   a. Removes hold from C Of A screen in KIVA, if applicable.
   b. Completes batch stamp process, if applicable.

VII. 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.