**INTRODUCTION**

- This guide was developed to help navigate the development plan review and permit issuance process at NAU (e.g. At what stages of the project development should the plan review be undertaken; Plan review stakeholders; Number of copies required; Plan review prior to permit issuance; At what point can a permit be issued; Plan Review after Permit Issuance; etc). Please keep in mind that this is not an exhaustive list of requirements that may be found in the NAU adopted codes and standards. As each project is different, so are those specific administrative code requirements.

- The purpose of plan review:
  - Ensure that NAU Design Guidelines and Technical Standards have been followed.
  - Ensure that maintenance and operational needs have been incorporated.
  - Discuss material and equipment selections.
  - Present the design intent to the NAU Team.
  - Present how the design meets all applicable codes and regulations.

- Plan review shall be performed at several stages of a project:
  - During the Different Design Phase.
  - Prior to Building and/or Fire Permit Issuance.
  - After Building and/or Fire Permit Issuance: For example, Deferred Submittals and as revisions are being made to an approved set of Construction Documents (RFI’s, ASI’s, CPR’s, Addendums)

- During the different design phases, plan review shall occur during (or as a minimum at the end of) each one of the following:
  - Programming / Conceptual and/or Schematic
  - Design Document
  - GMP Documents (xx% of Construction Document)

- On complex projects, it is highly recommended to invite the NAU Lead Building Inspector and NAU Fire Marshal to the weekly Design Meetings held between the DP, the CMAR (if applicable) and NAU PM.
  - During such meetings, the NAULBI and NAUFM may do a courtesy review of any information available to help ensure that the project is moving in the proper direction in terms of meeting codes and regulations. The primary purpose is to identify any “fatal code flaws” that may re-direct the design in a positive direction.
  - They will also inform you if any 3rd party plan reviewers may be reviewing your plans, and approximately how long these reviews may take. They can also answer other specific questions about the permit and inspection process.

- Plan Review prior to Permit Issuance (based on 100% Construction Documents marked as “For Construction”):
  - Prior to issuance of a Building and/or Fire Permit, the DP shall have addressed all comments noted by all Plan Reviewing Entities and shall obtain Full Approval on the 100% Construction Documents, by submitting a Plan Review Re-Submittal set (with all corrections included), along with the NAU Plan Review Application Form (FS#15C).
  - DP shall provide a list of all anticipated Deferred Submittals that will be required (listed on the cover sheet of the Construction Document set).
  - Upon completion of Final Review, NAU PM and DP will receive written notification (via email) from the NAULBI and/or NAUFM that the 100% Construction Documents have been approved. A Permit Application Form (FS#15D) can then be submitted for permit issuance.
  - A conditional permit can be issued in the case of partially completed 100% CD set (such as Foundation Permit; Demolition Only Permit; etc.), however, please coordinate with NAULBI.
NAU Plan Review Procedure

- Plan Review after Building and/or Fire Permit Issuance (e.g. Deferred Submittals, RFI’s, ASI’s, CPR’s, Addendums, etc.):
  - Any Deferred Submittals shall be submitted for Plan Review by the Contractor. Please submit two or more full size drawing sets along with the FS#15C form to the NAULBI and/or NAUFM.
  - Once reviewed and approved, NAULBI and/or NAUFM will return a stamped set of Deferred Submittals to the Contractor for construction. A new permit is not necessary, but a stamped set shall be kept at the jobsite at all times.
  - Any change of approved construction documents that will affect Code Compliance shall be submitted for Plan Review, using the FS#15C form. In the case of RFI’s, ASI’s and CPR’s, the Contractor and the DP shall ensure that NAULBI and NAUFM receive copies (via email is acceptable if written arrangements have been made with NAULBI and NAUFM). NAULBI and NAUFM will then deem if a formal Plan Review Request is necessary. In the case of an Addendum (new scope), a FS#15C form shall be submitted along with (4) full size drawing sets.

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<tr>
<th>PHASE 1 of 3</th>
<th>DP SUBMITS PLAN REVIEW SETS w/ PLAN REVIEW APPLICATION FS#15C</th>
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<tr>
<td>• DP and NAU PM shall refer to the DP Contract for the inclusive list of documents that should be provided at each stage of the different Design phases.</td>
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<td>• Prior to each specific plan review, the NAU PM shall consult with the NAULBI and NAUFM; for the purpose of determining how long will be required to complete each specific plan review and when a plan review correction letter will be distributed.</td>
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<td>• NAU PM shall communicate to the DP, the Plan Review process and schedule.</td>
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<td>• The DP shall complete the Plan Review Request Form (FS#15C). This form should be submitted along with the Plan Review sets to the NAU PM.</td>
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<td>• The NAU PM will coordinate with the NAU Lead Building Inspector (NAULBI) and NAU Fire Marshall (NAUFM) to determine the number of Plan Review sets to be submitted and distributed to 3rd party plan reviewers (see instructions under Phase 2, “3rd party plan reviewers”).</td>
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<tr>
<td>• NAU PM will submit a copy of the FS#15C Plan Review Request Form, along with the required number of Plan Review sets to the NAU Lead Building Inspector (NAULBI) and/or NAU Fire Marshall (NAUFM).</td>
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<td>• The NAU PM will distribute plan drawings and coordinate with all other applicable NAU plan reviewers (e.g. NAU Trades, CDAD / AA, ORC, NAU PD, NAU Parking, NAU Telecom, End users, etc.) (see instructions under Phase 2). If applicable, please forward any written plan review comments to the NAULBI. The NAULBI can then consolidate all of these other plan review comments, and prepare a letter that will be sent to DP and NAU Project Manager. Please allow at least 5 working days, after the LAULBI had received written comments.</td>
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**CONSTRUCTION DOCUMENT SETS ROUTING INSTRUCTIONS**

- **For the purpose of NAULBI plan review:** At least one complete set of full size plan drawings and additional construction documents will be routed to the NAU Lead Building Inspector (NAULBI). The following should also be included:
  1. One original (if for Building review) or photocopy (if for Fire review) of the NAU plan review request form (NAU #FS-15C).

- **For the purpose of NAUFM plan review:** At least one complete set of full size plan drawings and additional construction documents will be routed to the NAU Fire Marshall (NAUFM). The following should also be included:
  1. One original (if for Fire review) or photocopy (if for Building review) of the NAU plan review request form (NAU #FS-15C).

- **For the purpose of 3rd party plan review:** The NAU Lead Building Inspector (NAULBI) and/or NAU Fire Marshall (NAUFM) will determine and provide the following instructions to the NAU PM.
  1. Which 3rd party code review firm(s) has been chosen. The most qualified 3rd party plan review firm should be chosen (this should be a mutual decision decided well in advance, between NAU PM and the NAULBI or NAUFM.)
  2. How many full size set of plan drawings and other type of additional documents, will be required to be sent directly by the NAU PM (or if applicable, directly from the office of the Design Professional)
  3. The NAU PM or the DP will then route all applicable documents to each one of the chosen 3rd party code review firms (as per the direction of the NAULBI and/or NAUFM.)
  4. FYI: The NAULBI and/or NAUFM may need to complete & sign the 3rd party instruction form. If applicable, the NAULBI and/or NAUFM will obtain a copy of this form from the 3rd party firm.

- **For the purpose of plan review by NAU Trades, CDAD / AA, ORC, NAU PD, NAU Parking, NAU Telecom, End users, Etc.:**
  1. The NAU Project Manager will ensure that at least one complete set of full size plan drawings with additional construction documents will be routed to all applicable NAU plan reviewers (e.g. NAU Trades, CDAD / AA, ORC, NAU PD, NAU Parking, NAU Telecom, Etc.).
  2. The NAU Project Manager will also determine which other individuals should receive construction documents and route accordingly.

- **For the purpose of NAULBI and/or NAUFM Final Construction Document approvals, or if corrections will be required:** For instructions see “Phase 3 of 3”
### PHASE 3 of 3

#### Review & Consolidation OF APPROVALS

The NAULBI or NAUFM will review four identical sets of construction documents from the *originally* submitted set of construction documents, the "JOB SITE COPY", "NAULBI COPY" and "NAUFM COPY" and the “PLAN REVIEW ROOM COPY" These sets include the last set of revisions and any red lines or red stamps or other comments from all NAU reviewing plan reviewers. In addition, also checks to see that there are no obvious omissions, contradictions, or errors by NAU reviewing plan reviewers.

#### CONSOLIDATION OF DENIALS

If all NAU entities and the Commissioning Agent do not approve, the NAULBI or NAUFM will consolidate all plan review comments and prepare a letter that will be sent to DP and NAU Project Manager. In addition, also check to see that there are no obvious omissions, contradictions, or errors by NAU reviewing plan reviewers.

#### APPROVED DOCUMENT SUBMITTALS

**For the purpose of NAULBI approval only:**
At least four complete set of full size construction documents will be routed to the NAU Lead Building Inspector (NAULBI). The following must also be included:

1. One original copy of the NAU plan review request application (NAU #FS-15C).
2. All documents must be wet stamped and signed by the AZ licensed Design Professional in responsible charge of the project.

**For the purpose of NAUFM approval only,**
At least four complete sets of full size construction documents will be routed to the NAU Fire Marshall (NAUFM). The following must also be included:

1. One original copy of the NAU plan review request application (NAU #FS-15C).
2. All documents must be wet stamped and signed by the AZ licensed Design Professional in responsible charge of the project.

#### NOTIFICATION OF APPROVALS – When all NAU entities have approved, the DP and NAU Project manager will receive notification from the NAULBI or NAUFM, stating that the construction documents have been approved.

If a Contractor has already been chosen, detailed information about the Building or Fire Permit Application Process may also be included.

The NAULBI or NAUFM will wet stamp and sign the following set of construction documents. These sets will be distributed along with the issuance of a permit.

"JOB SITE COPY",
"NAULBI COPY"
"NAUFM COPY"
"NAU PLANS ROOM COPY"

#### DP makes Corrections & Submits response letter.

- The DP Revises construction documents and resubmits (as indicated in the plan review correction letter).
- The DP prepares a response letter. This letter should be addressed to NAULBI and NAUFM.
- The DP must submit all construction documents and letter of response to the NAULBI and NAUFM.
- This process continues until all NAU entities have approved the construction documents and indicated as such on the “PLAN REVIEWER SIGN-OFF SHEET”.

The process of plan review starts all over again….Go back to “PHASE 1” instructions.