

Attachment 6 - Technical Contract Submittal List

This list is intended to provide the Contractor with a sample of the Technical Contract Submittal requirements of the Contract Documents. Contractor shall use this list as the basis to prepare its list of submittal requirements per the Contract Documents. Contractor shall submit the contract submittal list based on contract documents and identifying technical and non-technical submittals to the Authority for SONO within 30 days of NTP.

| CONTRACT REFERENCE (CP1) | | | | SUBMITTAL TITLE/PACKAGE | DUE DATE | SUBMITTAL TO AUTHORITY (APPROVAL, SONO, INFORMATION) |
|--------------------------|---|----------------------|---------|---|--|--|
| NO. | DESIGNATION | SECTION NO./ CHAPTER | ARTICLE | | | |
| 1 | Scope of Work | | 4.9.1 | Design Baseline Report | NTP + 180 days | APPROVAL |
| 2 | Scope of Work | | 4.9.6 | Aesthetic Design and Review for Non-Station Structure Report (as part of Design Baseline Report) | NTP + 180 days | APPROVAL |
| 3 | Scope of Work | | 4.4 | Design and Code Analysis Report | Design Submittal | SONO |
| 4 | Scope of Work | | 4.5 | Safety and Security Certification Plan | NTP + 60 days | SONO |
| 5 | Scope of Work | | 4.8 | Value Engineering Report | After Approval of Design Baseline Report | SONO |
| 6 | Scope of Work | | 4.9.2 | Hydrology and Hydraulics Reports | Design Submittal | SONO |
| 7 | Scope of Work | | 4.9.3 | Geotechnical Reports (GDR and GEDR) and all technical memoranda | Design Submittal | SONO |
| 8 | Scope of Work | | 4.9.3 | GBR-C | Prior to beginning of construction | APPROVAL |
| 9 | Scope of Work | | 4.9.3 | Geotechnical Investigation Plan (GIP) | Prior to commencement of field work | SONO |
| 10 | Scope of Work | | 4.9.5 | Type Selection Report, including Type Selection Memo, Major Reports, and Supporting Reports | After Approval of Design Baseline Report | APPROVAL |
| 11 | Scope of Work | | 4.9.5 | Type Selection Reports of Third Party Structures as described in Caltrans OFSP Information and Procedures Guide | Design Submittal | INFORMATION |
| 12 | Scope of Work | | 4.9.7 | Certifiable Elements and Hazards Log | Quarterly | SONO |
| 13 | Scope of Work | | 4.9.8 | Safety and Security Certification Package | When Certifiable Items Lists for each element is completed for milestone payment | SONO |
| 14 | Scope of Work | | 4.9.9 | Final Design Report | Design Submittal | SONO |
| 15 | Scope of Work | | 4.11 | Nominal 60% Construction Drawings (all sheets represented with substantial design completed) and Specifications (outline) | Design Submittal (60% Design) | SONO |
| 16 | Scope of Work | | 4.11 | Nominal 90% Construction Drawings (all sheets included with complete design), Calculations, and Specifications (all specs included) | Design Submittal (90% Design) | SONO |
| 17 | Scope of Work | | 4.11 | Survey Reports (signed and sealed) - Refer to Standard Specifications | Design Submittal | SONO |
| 18 | Scope of Work | | 4.12 | Copy of Third-Party Design Submittals and Approvals | Design Submittal | Per V&V Document (Book 3) |
| 19 | Scope of Work | | 4.13 | Ready for Construction Submittals (signed and sealed) | Prior to beginning of construction | APPROVAL |
| 20 | Scope of Work | | 4.14 | Design Variance Requests | As needed, but Prior to incorporation into RFC | APPROVAL |
| 21 | Scope of Work | | 4.15.4 | Contractor shall prepare a Construction Phase Submittal List with an indication of whether those submittals shall be submitted to the Authority for Approval, SONO, Information | As needed, by design progression | SONO |
| 22 | Scope of Work | | 4.15.4 | Construction-Phase Submittals | Per Scope of Work | Per Scope of Work |
| 23 | Scope of Work | | 4.15.5 | As-Builts (signed and sealed) | | SONO |
| 24 | Scope of Work | | 5.1 | Demolition Plan | Prior to demolition work | SONO |
| 25 | Scope of Work | | 5.5 | Trackbed Analysis Report | Design Submittal | SONO |
| 26 | Scope of Work | | 5.16 | Design Life and Durability Report | Final Design Report Submittal | SONO |
| 27 | Book IV, Part D.6; Reliability, Availability and Maintainability Requirements | | 2 | Contractor RAM Program Plan (CRMP) - Draft | NTP + 60 days | SONO |
| 28 | Book IV, Part D.6; Reliability, Availability and Maintainability Requirements | | 2 | Contractor RAM Program Plan (CRMP) - Final | NTP + 90 days | SONO |
| 29 | Book IV, Part D.6; Reliability, Availability and Maintainability Requirements | | 3 | RAM Allocation Report | Baseline Design Report Submittal | SONO |

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|--------------------------|---|----------------------|--------------------|--|--|--|
| NO. | DESIGNATION | SECTION NO./ CHAPTER | ARTICLE | | | |
| 30 | Book IV, Part D.6; Reliability, Availability and Maintainability Requirements | | 4 | Historical Product Maintainability Report (HPMR) | Baseline Design Report Submittal | SONO |
| 31 | Book IV, Part D.6; Reliability, Availability and Maintainability Requirements | | 5 | Maintenance Manuals | Final Design Report Submittal | SONO |
| 32 | Book IV, Part D.6; Reliability, Availability and Maintainability Requirements | | 6 | Reliability-Centered Maintenance Report (RCMR) | Final Design Report Submittal | SONO |
| 33 | Book IV, Part D.6; Reliability, Availability and Maintainability Requirements | | 7 | Preventive Maintenance Analysis Report | Final Design Report Submittal | SONO |
| 34 | Book IV, Part D.6; Reliability, Availability and Maintainability Requirements | | 8 | Corrective Maintenance Analysis Report | Final Design Report Submittal | SONO |
| 35 | Book IV, Part D.6; Reliability, Availability and Maintainability Requirements | | 9 | Maintainability Demonstration Plan and Procedure | Final Design Report Submittal | SONO |
| 36 | Book IV, Part D.6; Reliability, Availability and Maintainability Requirements | | 9 | Maintainability Demonstration Test Report (MDTR) | Before or with Substantial Completion approval request | SONO |
| 37 | Design Criteria Manual | | | All required submittals per the Design Criteria Manual | Design Submittal | SONO/APPROVAL |
| 38 | Verification, Validation and Self-Certification | | 2.1 | Verification and Validation Plan - Draft | NTP + 60 days | APPROVAL |
| 39 | Verification, Validation and Self-Certification | | 2.1 | Verification and Validation Plan - Final | NTP + 120 days | APPROVAL |
| 40 | Verification, Validation and Self-Certification | | 2.1 | Verification and Validation Plan - Update | Design Submittal | APPROVAL |
| 41 | Verification, Validation and Self-Certification | | 2.2 | RM Tool - Licenses | NTP + 30 days | INFORMATION |
| 42 | Verification, Validation and Self-Certification | | 2.2 | RM Tool - Database | Monthly | SONO |
| 43 | Verification, Validation and Self-Certification | | 3.2 | Key personnel resumes | During mobilization & prior to hiring | SONO |
| 44 | Verification, Validation and Self-Certification | | 2.2, 2.3, 2.4, 2.5 | V&V Submittal (RVTM, CIL and V&V report) | Baseline Design Report Submittal | SONO |
| 45 | Verification, Validation and Self-Certification | | 3.1 | Contractor Self Certification | Baseline Design Report Submittal | SONO |
| 46 | Verification, Validation and Self-Certification | | 2.2, 2.3, 2.4, 2.5 | V&V Submittal (RVTM, CIL and V&V report) | Milestone Design Submittals | SONO |
| 47 | Verification, Validation and Self-Certification | | 3.1 | Contractor Self Certification | Milestone Design Submittals | SONO |
| 48 | Verification, Validation and Self-Certification | | 2.2, 2.3, 2.4, 2.5 | V&V Submittal (RVTM, CIL and V&V report) | Design Submittal | SONO |
| 49 | Verification, Validation and Self-Certification | | 3.1 | Contractor Self Certification | Design Submittal | SONO |
| 50 | Verification, Validation and Self-Certification | | 2.2, 2.3, 2.4, 2.5 | V&V Submittal (CIL and V&V report) | Construction Submittals | SONO |
| 51 | Verification, Validation and Self-Certification | | 3.1 | Contractor Self Certification | Construction Submittals | SONO |
| 52 | Verification, Validation and Self-Certification | | 2.2, 2.3, 2.4, 2.5 | V&V Submittal (RVTM, CIL and V&V report) | As-Built Submittals | SONO |
| 53 | Verification, Validation and Self-Certification | | 3.1 | Contractor Self Certification | As-Built Submittals | SONO |

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