



CONSTRUCTION CHANGE & AS-BUILT PROCEDURES

FORMS CC-1 TO CC-4, AS-1 & 2

DIGITAL SUBMITTALS ARE REQUIRED

Submittals must be made digitally and adhere to the City's [Digital Submittal Standards](#). Staff will review for compliance and completeness prior to initiating each review cycle. Obtain prior approval for deviations and omissions to ensure prompt intake. Staff will advise of any need for printed plans and documents. Please contact engineeringdivision@san-marcos.net and/or the assigned staff with questions.

CONSTRUCTION CHANGE PROCEDURES & CHECKLIST

Procedures and checklists are provided as a general guide for typical items required for Construction Change review submittal and approval process:

FORM CC-1: [Construction Change Procedures](#)

FORM CC-2: [Construction Change Submittal Checklist](#)

AS-BUILT PROCEDURES & CHECKLIST

Procedures and checklists are provided as a general guide for typical items required for As-built review submittal and approval process:

FORM AS-1: [As-built Procedures](#)

FORM AS-2: [As-built Submittal Checklist](#)

CHANGE IN ENGINEER OF WORK OR GEOTECHNICAL ENGINEER PROCEDURES & REQUIREMENTS

Procedures and requirements are provided as a general guide for change in engineer of work or geotechnical engineer after grading or improvement plans have been approved by the City:

FORM CC-3: [Change in Engineer of Work Procedures & Requirements](#)

FORM CC-3A: [Change in Geotechnical Engineer Procedures & Requirements](#)

FORM CC-4: [Change in Engineer of Work Letter Template](#)

FORM CC-4A: [Change in Geotechnical Engineer Letter Template](#)

HELPFUL LINKS

[Fee Schedule](#)

[Digital Submittal Standards \(Form DS-1\)](#)



CONSTRUCTION CHANGE PROCEDURES

FORM CC-1

During the construction phase, the contractor shall coordinate with the City's Engineering Inspector on any construction changes. If the change warrants a formal construction change, the City's Engineering Inspector will advise the contractor to coordinate with the Engineer-of-Work to submit a construction change to the City's Engineering Land Development staff. The Engineer-of-Work will be required to follow the steps below.

- 1) The Engineer-of-Work shall obtain good quality PDF of the City-approved original plan set mylars. The original mylars can be checked out by the Engineer-of-Work or by a bonded blueprint company.
- 2) The Engineer-of-Work shall submit the required items as indicated on [FORM CC-2](#). Construction changes shall include:
 - a. Title sheet with delta number, description of change, affected sheets completed in the City Approved Changes block.
 - b. All construction changes shall be shown in red with numbered delta and clouded. Each construction changed sheet shall include the description of the delta in the City Approved Changes block.
 - c. For replacement sheets, the original city-approved plan sheet is to be voided by crossing out the entire sheet and marked "VOID" in 72-pt font size. The new replacement sheet shall designate the letter "A" after the sheet number (i.e. 10A).
 - i. In the City Approved Changes block for both the voided sheet and new replacement sheet, the description is to include "REPLACED WITH SHEET ##A".
- 3) The City's Project Engineer and Engineering Inspector will review the proposed changes and provide comments back to the Engineer-of-Work. The first review of the construction change typically takes two (2) weeks to review from the date the submittal is accepted by the City's Project Engineer. Each subsequent review typically takes one (1) week to review.
- 4) If the construction changes are tentatively approved, the City's Project Engineer will request from the Engineer-of-Work a final mylar submittal per [FORM CC-2](#) and notify the Engineer-of-Work to check out the original mylars from the City's Public Engineering Counter.
- 5) The construction changes hand drafted onto the mylars shall be clouded by mylar pencil and designated by a numbered Delta (Δ). Changes to the design shall be inked in with mylar pen and shown consistent with the tentatively approved construction change.
- 6) Once the City's Project Engineer has received the mylar submittal, a cursory review will be conducted and if deemed acceptable, the mylars will be provided to the Land Development Principal Engineer for City approval of the construction change. Once the mylars have been approved by the City, the Project Engineer may require the Engineer-of-Work to provide bonded blueprint hardcopies for City's Engineering Inspector.



CONSTRUCTION CHANGE SUBMITTAL CHECKLIST

FORM CC-2

PLANCHECK SUBMITTAL CHECKLIST

Required if Checked	Submittal Items		Accepted by City
<input type="checkbox"/>	1	Pay construction change review fee with initial submittal and balance prior to plan approval. Pay a deposit to reimburse City costs for any consultant expert third-party reviews, as applicable.	<input type="checkbox"/>
<input type="checkbox"/>	2	This completed Construction change submittal checklist Form CC-2	<input type="checkbox"/>
<input type="checkbox"/>	3	Engineer of Work's transmittal: detail all submittal items and quantities	<input type="checkbox"/>
<input type="checkbox"/>	4	Updated City-approved geotechnical report or letter prepared, signed, and sealed by the geotechnical engineer	<input type="checkbox"/>
<input type="checkbox"/>	5	Updated City-approved hydrology/hydraulics report, including computer modeling files, signed and sealed by the Engineer of Work	<input type="checkbox"/>
<input type="checkbox"/>	6	Updated City-approved Engineer's cost estimate using City's "Unit Price List (Effective 1/2/2024)"	<input type="checkbox"/>
<input type="checkbox"/>	7	Updated City-approved Storm Water Quality Management Plan (SWQMP)	<input type="checkbox"/>
<input type="checkbox"/>	8	Updated City-approved details and calculations for non-standard improvements, such as retaining walls and footings (additional review fee may be required)	<input type="checkbox"/>
<input type="checkbox"/>	9	City-approved grading plan per Digital Submittal Standards with all applicable construction changed sheets, clouded, delta number symbol, and construction change shown in red	<input type="checkbox"/>
<input type="checkbox"/>	10	City-approved improvement plan per Digital Submittal Standards with all applicable construction changed sheets, clouded, delta number symbol, and construction change shown in red	<input type="checkbox"/>
<input type="checkbox"/>	11	Other as specified by City:	<input type="checkbox"/>
Items Required Only After Initial Submittal			
<input type="checkbox"/>	12	Resubmittal response: Engineer of Work's written response itemizing responses to each review comment and identifying any design features that have significantly changed.	<input type="checkbox"/>
<input type="checkbox"/>	13	Additional plan check fees equal to 33% of the initial plan check fee due at the 4 th and each subsequent plan review	<input type="checkbox"/>
Items Required for Final (Mylar) Submittal			
<input type="checkbox"/>	14	Original City-approved mylars with construction change sheets, and replacement sheets fully signed and sealed	<input type="checkbox"/>
<input type="checkbox"/>	15	Complete digital submittal including final CAD files. Refer to Digital Submittal Standards .	<input type="checkbox"/>
<input type="checkbox"/>	16	Single complete PDF with embedded signatures & seals: Hydrology/hydraulic report,	<input type="checkbox"/>
<input type="checkbox"/>	17	Single complete PDF with embedded signatures & seals: Geotechnical report or letter	<input type="checkbox"/>
<input type="checkbox"/>	18	Single complete PDF with embedded signatures & seals: SWQMP	<input type="checkbox"/>
<input type="checkbox"/>	19	Payment of balance due	<input type="checkbox"/>



AS-BUILT PROCEDURES

FORM AS-1

Prior to the release of the securities posted for grading and improvements and/or prior to issuance of a Certificate of Occupancy for any building within an approved development phase, the Engineer-of-Work is required to complete As-Built grading and/or improvement plans and receive City approval as follows:

- 1) The Contractor will notify the City's Engineering Inspector of a request for final building occupancy. The inspector will schedule a meeting to compare redline plans with the contractor. If the plans include CFD landscaping facilities, a separate meeting will be set-up between the contractor and the Public Works Landscape Inspector. The meeting is to ensure that all changes are identified and incorporated on the as-built redline plans.
- 2) The Engineer-of-Work in responsible charge of the project will submit the items as indicated on [FORM AS-2](#) to the City's Project Engineer. All changes shall be clouded and designated by a numbered Delta (Δ) with a brief description included in the City Approved Changes block on each plan sheet.
- 3) The Engineer-of-Work/Landscape Architect shall add and sign the following certificates on the as-builts:
 - a. The "Engineer of Work/Landscape Architect" certificate shall be added to the title sheet of each set of plans being "As-Built":

ENGINEER-OF-WORK/LANDSCAPE ARCHITECT AS-BUILT CERTIFICATE			
AS ENGINEER-OF-WORK/LANDSCAPE ARCHITECT, I HEREBY CERTIFY THAT, TO THE BEST OF MY KNOWLEDGE AND BELIEF, THE IMPROVEMENTS SHOWN ON THIS SET OF CONSTRUCTION PLANS, SHEET <u> </u> THROUGH SHEET <u> </u> , HAVE BEEN INSTALLED AND CONSTRUCTED IN SUBSTANTIAL CONFORMANCE WITH THESE AS-BUILT PLANS, INCLUDING ALL APPROPRIATE STANDARDS AND ANY DISCRETIONARY APPROVAL(S) FOR THE PROJECT.			
<i>[Signature]</i>		Date:	
First Name	Last Name	RCE No. #####	Exp. MM/DD/YYYY

- b. The term "**AS-BUILT**" shall be clearly noted in letters of at least 1/2 inch in height in the lower right-hand corner of each plan sheet, preferably above the title block.
- c. The "Inspector" certificate shall be added near the "As-Built" certificate on the title sheet. Also add the "Inspector" certificate on every sheet in the plan set.

INSPECTED AND RECOMMENDED FOR ACCEPTANCE	
ENGINEERING INSPECTOR	DATE



CONSTRUCTION CHANGE PROCEDURES

FORM CC-1

d. For CFD landscape sheets, this “Inspector” certificate shall be added on every CFD landscape sheet in the plan set.

INSPECTED AND RECOMMENDED FOR ACCEPTANCE	
PUBLIC WORKS INSPECTOR	DATE

- 4) City staff will review, field inspect, and verify adequacy of the as-built plans within 45 calendar days of a complete submittal. City will provide comments on the redline as-built and return to the Engineer-of-Work. City staff will also provide information on any conditions of approval that have not been met within the 45-day review period for Certificate of Occupancy.
- 5) The Engineer-of-Work/Landscape Architect will make the changes and correct deficiencies and resubmit to the City’s Project Engineer.
- 6) Once the as-builts are tentatively approved, the City’s Project Engineer will request for a final mylar submittal per [**FORM AS-2**](#) and notify the Engineer-of-Work/Landscape Architect to make the as-built changes be hand-written on the City approved mylar sheets unless replacement sheets are necessary. The Engineer of Work will need to pick-up City-approved mylars for as-built. For replacement sheets, refer to steps under [**FORM CC-2**](#) Step 2C). The changes shall be clouded with a numbered Delta (Δ). Labeled “as-built” shall be included in the "City Approved Changes" block with a numbered Delta (Δ).
 - a. Applicable warranty and/or landscape maintenance bonds will be requested upon determination of as-built tentative approval.
- 7) When final mylar submittal per [**FORM AS-2**](#) is received by the City’s Project Engineer, a cursory review will be conducted, then routed for City signatures.
- 8) Once the as-built mylars are signed by the City, the Engineer-of-Work will receive a PDF of the Approved Record Plan by City staff.
- 9) Upon full execution of the as-built plans as an Approved Record Plan, submit a completed [**SECURITY RELEASE FORM**](#). The City will release the applicable securities within typically 21 business days.



AS-BUILT SUBMITTAL CHECKLIST

FORM AS-2

AS-BUILT PLANCHECK SUBMITTAL

Required if Checked	Submittal Items	Accepted by City
<input type="checkbox"/>	1 Pay as-built review fee with initial submittal and balance prior to as-built approval.	<input type="checkbox"/>
<input type="checkbox"/>	2 This completed As-built submittal checklist Form AS-2	<input type="checkbox"/>
<input type="checkbox"/>	3 Engineer of Work's transmittal: detail all submittal items and quantities	<input type="checkbox"/>
<input type="checkbox"/>	4 As-graded geotechnical report or letter prepared, signed, and sealed by the geotechnical engineer	<input type="checkbox"/>
<input type="checkbox"/>	5 Updated City-approved hydrology/hydraulics report, signed and sealed by the Engineer of Work	<input type="checkbox"/>
<input type="checkbox"/>	6 Updated City-approved Storm Water Quality Management Plan (SWQMP) with completed Engineer of Record SBMP Certification Form BMP-1	<input type="checkbox"/>
<input type="checkbox"/>	7 City-approved grading plan per Digital Submittal Standards and one (1) hardcopy with clouded, delta number symbol, and as-builts shown in red	<input type="checkbox"/>
<input type="checkbox"/>	8 City-approved improvement plan per Digital Submittal Standards and two (2) hardcopies with clouded, delta number symbol, and as-builts shown in red	<input type="checkbox"/>
<input type="checkbox"/>	9 Other as specified by City:	<input type="checkbox"/>
Items Required Only After Initial Submittal		
<input type="checkbox"/>	10 Resubmittal response: Engineer of Work's written response itemizing responses to each review comment and identifying any design features that have significantly changed.	<input type="checkbox"/>
Items Required for Final (Mylar) Submittal		
<input type="checkbox"/>	11 Original City-approved mylars with as-built changes, or replacement sheets	<input type="checkbox"/>
<input type="checkbox"/>	12 Complete digital submittal including final CAD files. Refer to Digital Submittal Standards .	<input type="checkbox"/>
<input type="checkbox"/>	13 Payment of balance due	<input type="checkbox"/>



ENGINEER-OF-WORK

If there is a change in engineer-of-work after the City Engineer has approved the grading and/or improvement plans, the following is required:

- Contact the City's Project Engineer and Engineering Inspector and inform there is a change in engineer-of-work
- Submit on the Superseding Engineer-of-Work company's letterhead, using the template letter [FORM CC-4](#).
- Superseding Engineer-of-Work will be notified of the approved request and Superseding Engineer-of-Work will check-out original City-approved mylars from City's Public Engineering Counter.
- Superseding Engineer-of-Work to add the following Assumption of Responsible Charge statement on the title sheet of grading and/or improvement plan including engineer's seal and signature. Return mylars to City's Project Engineer.

ASSUMPTION OF RESPONSIBLE CHARGE

AS OF _____, I HEREBY DECLARE THAT I AM THE ENGINEER OF WORK FOR THIS PROJECT, THAT I HAVE EXERCISED RESPONSIBLE CHARGE OVER THE DESIGN OF THIS PROJECT AS DEFINED IN SECTION 6703 OF THE BUSINESS AND PROFESSIONS CODE, AND THAT THE DESIGN IS CONSISTENT WITH CURRENT STANDARDS. I UNDERSTAND THAT THE CHECK OF PROJECT DRAWINGS AND SPECIFICATIONS BY THE CITY OF SAN MARCOS IS CONFINED TO A REVIEW ONLY AND DOES NOT RELIEVE ME AS ENGINEER OF WORK OF MY RESPONSIBILITIES FOR PROJECT DESIGN.

[Signature]

Date:

First & Last Name

RCE No. #####

Exp. MM/DD/YYYY



CHANGE IN GEOTECHNICAL ENGINEER PROCEDURES & REQUIREMENTS

FORM CC-3A

GEOTECHNICAL ENGINEER

If there is a change in the project's geotechnical engineer after the City Engineer has approved the grading and/or improvement plans, the following is required:

- Contact the City's Project Engineer and Engineering Inspector and inform there is a change in engineer-of-work
- Submit on the Superseding Geotechnical Engineer company's letterhead, using the template letter [FORM CC-4A](#).
- Superseding Geotechnical Engineer to coordinate with Engineer of Work on any new or updated geotechnical recommendations for the plans. Superseding Geotechnical Engineer will be notified of the approved request and coordinate with Engineer-of-Work to check-out original City-approved mylars from City's Public Engineering Counter.
- Add the following Superseding Geotechnical Engineer Certificate on the title sheet of the grading and/or improvement plan including geotechnical engineer seal and signature. Return mylars to City's Project Engineer.

SUPERSEDING GEOTECHNICAL ENGINEER CERTIFICATE		
AS OF _____, THESE PLANS HAVE BEEN REVIEWED BY THE UNDERSIGNED RELATIVE TO GEOTECHNICAL ASPECTS OF THE PLANS AND HAVE BEEN FOUND TO BE IN CONFORMANCE WITH INTENTIONS OF THE FINDINGS AND RECOMMENDATIONS CONTAINED IN THE GEOTECHNICAL REPORT BY _____ (GE #####) DATED MONTH DAY, YEAR.		
<i>[Signature]</i>		Date:
First & Last Name	GE No. #####	Exp. MM/DD/YYYY



CHANGE IN ENGINEER OF WORK LETTER TEMPLATE

FORM CC-4

Date

City Engineer
City of San Marcos
1 Civic Center Drive
San Marcos, CA 92069

Via email: [City's project engineer email]

RE: Change in Engineer of Work for [Project Name] [Grading plans GP ##-##### | Improvement plans IP ##-#####]

I, *[engineer first & last name]*, as Superseding Engineer of Work hereby request to the City Engineer of City of San Marcos, the change in engineer of work for [Project Name] [Grading plans GP ##-##### | Improvement plans IP ##-#####].

With this undersigned letter, I understand and acknowledge that I'm assuming responsible charge of the design including future design changes and as-built of [Grading plans GP ##-##### | Improvement plans IP ##-#####]. By assuming responsible charge of the design, I will submit to the City's Engineering Division, changes to the plan with an Assumption of Responsible Charge statement signed and sealed, to the satisfaction of the City Engineer. Furthermore, I acknowledge that the date of my signature and seal on the Assumption of Responsible Charge statement is the date I'm responsible charge of the design for [Grading plans GP ##-##### | Improvement plans IP ##-#####] per California Business and Profession Code Section 6703.

Superseding Engineer of Work

By: [signature]

Date:

First & Last Name

RCE No.

Exp.

Company Name:

Phone:

Address:

Email:

City official use only

Request Approved By:

Date:



CHANGE IN GEOTECHNICAL ENGINEER LETTER TEMPLATE

FORM CC-4A

Date

City Engineer
City of San Marcos
1 Civic Center Drive
San Marcos, CA 92069

Via email: [City's project engineer email]

RE: Change in Geotechnical Engineer for [Project Name] [Grading plans GP ##-##### | Improvement plans IP ##-#####]

I, [engineer first & last name], as Superseding Geotechnical Engineer hereby request to the City Engineer of City of San Marcos, the change in Geotechnical Engineer for [Project Name] [Grading plans GP ##-##### | Improvement plans IP ##-#####].

With this undersigned letter, I understand and acknowledge that I'm assuming responsible charge of the geotechnical recommendations of [Grading plans GP ##-##### | Improvement plans IP ##-#####]. I will submit to the City's Engineering Division, changes to the plan with a Superseding Geotechnical Engineer Certificate signed and sealed, to the satisfaction of the City Engineer. I [agree or disagree] with the geotechnical investigation and recommendations contained in the Geotechnical Report by [Former Geotechnical Engineering Firm & Geotechnical Engineer Name] dated [Date of geotechnical reports]. [If disagree, provide supplemental geotechnical investigation and recommendations: *I have provided a supplemental geotechnical investigation and recommendations dated _____.*] Furthermore, I acknowledge that the date of my signature and seal on the Assumption of Responsible Charge statement is the date I'm responsible charge of the design for [Grading plans GP ##-##### | Improvement plans IP ##-#####] per California Business and Profession Code Section 6703.

Superseding Engineer of Work

By: [signature] Date: _____

First & Last Name _____ RCE No. _____ Exp. _____

Company Name: _____ Phone: _____

Address: _____ Email: _____

City official use only Request Approved By: _____ Date: _____