



# REGULATED SUBSTANCES STANDARD OPERATING PROCEDURES (SOPs) TRAINING FOR PMs

# OUTLINE

- What encompasses Regulated Substances?
- Difference in Agency Approaches (IDOT, CDOT)
- Regulated Substances Project Types (When to Conduct CCDD Testing)
- SOPs Documents – What to Include in Design RFPs
- SOPs Tools
  - Flow Chart (State vs Local Jurisdiction Projects)
  - QA Review Form
  - Flow Chart Automated Spreadsheet
- Conclusion and Key Takeaways
- Q&A Discussion

# Changes for CDOT PMs (Regarding Regulated Substances)

## Contact Regarding Regulated Substances:

Reach out directly to both for QA Services:

- **Adam Kittler**

E-mail: [adam.kittler@gza.com](mailto:adam.kittler@gza.com)

Phone: 630-684-4429 / 224-423-3500

- **Cory Wilson**

E-mail: [cory.wilson@gza.com](mailto:cory.wilson@gza.com)

Phone: 630-684-4445 / 224-471-4732

Questions previously directed to the Department of Assets, Information and Services (AIS) and/or Department of Fleet and Facility Management (2FM) are now to be directed to Adam and Cory. Adam and Cory function as a liaison to AIS and/or 2FM, determining when AIS and/or 2FM should be engaged and will do so on behalf of your project.

# Regulated Substances / Spoils Characterization

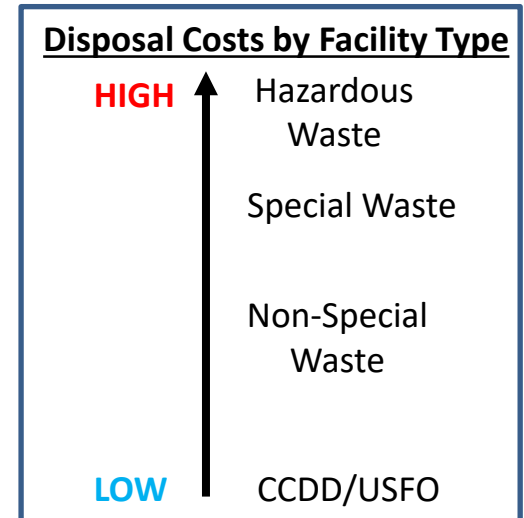
## Regulated Substances Encompasses Multiple Waste Streams:

### Soil/Earthwork

- Clean Construction or Demolition Debris (CCDD)/ Uncontaminated Soil Fill Operation (USFO); (Clean Fill Material)
- Non-Special Waste
- Special or Hazardous Waste

### Groundwater

### Asbestos Containing Material (ACM) and/or Lead-Based Paint (LBP) Waste



# Agency Approaches – Key Differences

## IDOT Involvement/Jurisdiction:

- Phase I Due Diligence is through a formal Preliminary Environmental Site Assessment (PESA) process
- Phase II Sampling is through a formal Preliminary Site Investigation (PSI) process
- IDOT has extensive sampling requirements
- IEPA CCDD LPC-663 Form accompanies the PSI report

## CDOT Local Roadway:

- Does not require a formal PESA and PSI
- Phase I & Phase II Environmental work can be combined in a “CCDD Packet”
- Follows the CDOT *Sampling Plan Guidance* document
- A report structure format is included in the SOPs Appendices

**Refer to the SOPs for recommended approach to Roadway Jurisdiction and Regulated Substances requirements (included as Section 0.01 and in Figures 1-1A/1-1B).**

# Regulated Substances Project Types

## “Group A” Projects:

- Risk Managed
- CCDD Testing Typically **NOT** Recommended

## “Group B” Projects:

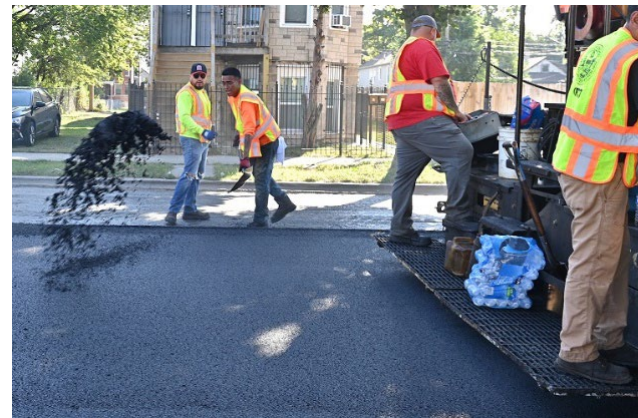
- Significant Volume Earthwork and Excavation Required
- CCDD Testing Typically Recommended for Cost Savings on Disposal

# Regulated Substances Project Example Types

## Group A: Projects Involving Minimal Earthwork, Shallow Excavation (CCDD Testing is typically **NOT** recommended.)

### GROUP A PROJECTS

- Due to shallow excavation and small volume of spoils, CCDD testing costs do not offset potential savings for disposal
- Projects can include:
  - Resurfacing
  - Pedestrian & Bicycle Improvements
  - Traffic Signal Improvements
  - Advanced/Modern Signaling and Sign Installations
  - Streetscapes
- **Rule of Thumb:**
  - If Project Volume is < 250 Cubic Yard (CY) and Excavation Depth is < 4 feet, CCDD Testing **NOT** Recommended;
  - Project should be “Risk-Managed” as long as not in heavy industrial area and corridor is “low environmental risk”



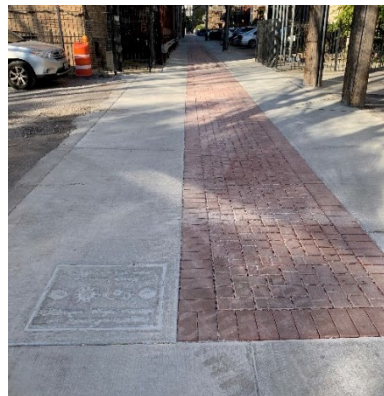
# Regulated Substances Project Example Types

## Group B: Projects Involving Significant Earthwork & Off-Site Disposal

(CCDD Testing *IS* typically recommended.)

### GROUP B PROJECTS

- Significant excavation Volumes and Depths, it is typically recommended to pursue CCDD Testing
- Projects can include:
  - Bridge Replacement
  - Green Alley /Drainage Improvements
  - Roadway Realignment/Reconstruction
  - Subsurface Utility Improvements
- **Rule of Thumb:**
  - If Project Volume is > 250 Cubic Yard (CY) and Excavation Depth is > 4 feet, CCDD Testing **IS** Recommended



# Regulated Substances Project Example Types

CDOT Project Type	Spoils to be Generated Requiring Off-Site Disposal?	Type of Spoils and Expected Depth of Excavation	Required Action for Special Waste	Eligible for CCDD/USFO Disposal?
Striping and Pavement Marking (Only)	No	N/A	None required	N/A
<b>"Group A" projects, Risk-Managed (CCDD Testing Typically NOT Recommended)</b>				
Resurfacing (Only); Design by CDOT	Potentially Yes (Soil Only), minimal volume and in select locations	<b>Soil</b> (fill and aggregate material): to 1-2 feet below ground surface (bgs)	<b>Risk-Managed Approach:</b> Coordinate with CDOT QA for Special Waste Review/Corridor Screen	No (due to minimal spoils volume)
Sign Installations, Traffic Signal Improvements, Streetscapes; Design by CDOT	Yes (Soil)	<b>Soil:</b> potentially 8 feet bgs for foundations	<b>Risk-Managed Approach:</b> Coordinate with CDOT QA throughout	No (due to minimal spoils volume)
Roadway Reconstruction, Subsurface Utility Improvements; Design by Consultants	Yes (Soil)	<b>Soil:</b> potentially 5 to 6 feet bgs	<b>Design Consultant to Provide Disposal Documentation:</b> Coordinate with CDOT QA throughout	Yes (due to larger spoils volume & cost savings for CCDD disposal)
Bridge Work or Work Near Water Body	Yes (Soil and Groundwater)	<b>Soil:</b> various depths based on grading, micropiling, and abutment plans <b>Groundwater:</b> groundwater intrusion in micropiles or trenching	<b>Design Consultant to Provide Disposal Documentation:</b> Coordinate with CDOT QA throughout	Yes (due to larger spoils volume & cost savings for CCDD disposal)

# SOPs on CDOT QA SharePoint

Appendix A – Sampling Plan Guidance  
Chicago Department of Transportation



**APPENDIX A – SAMPLING PLAN GUIDANCE**  
**Appendix H – Report Format for Environmental Investigations**  
Chicago Department of Transportation

**APPENDIX H**  
**REPORT FORMAT FOR ENVIRONMENTAL INVESTIGATION**  
**CDOT LOCAL ROADWAY PROJECTS**

policy for the City of Chicago for waste material designated for disposal at a landfill facility.

Assets, Information and Services maintained by the CDOT Quality Assurance (“CDOT QA”).

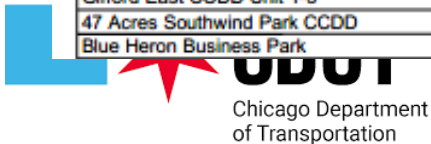
**Purpose:** The purpose of this document is to provide a standard report format and structure for **Local** roadway and/or alley projects for the City of Chicago Department of Transportation (CDOT). The report structure is intended to be a combined and streamlined package report which includes elements of a Preliminary Environmental Site Assessment (PESA) report, Preliminary Site Investigation (PSI) report and a Clean Construction or Demolition Debris (CCDD) summary report with accompanying Illinois Environmental Protection Agency (IEPA) Uncontaminated Soil Certification LPC-663 form to standardize testing procedures for waste material designated for disposal at a CCDD/Uncontaminated Soil Fill Operation (USFO) facility, and/or a landfill facility. This combined report is intended for only local roadway projects and is not intended to replace Illinois Department of Transportation (IDOT) requirements for state jurisdiction roadway projects.

**Owner:** The document was prepared with input from CDOT and will be maintained by the CDOT Quality Assurance (QA) consultant for Regulated Substances (referred to herein as “CDOT QA”).

**Effective Date:** August 8, 2025

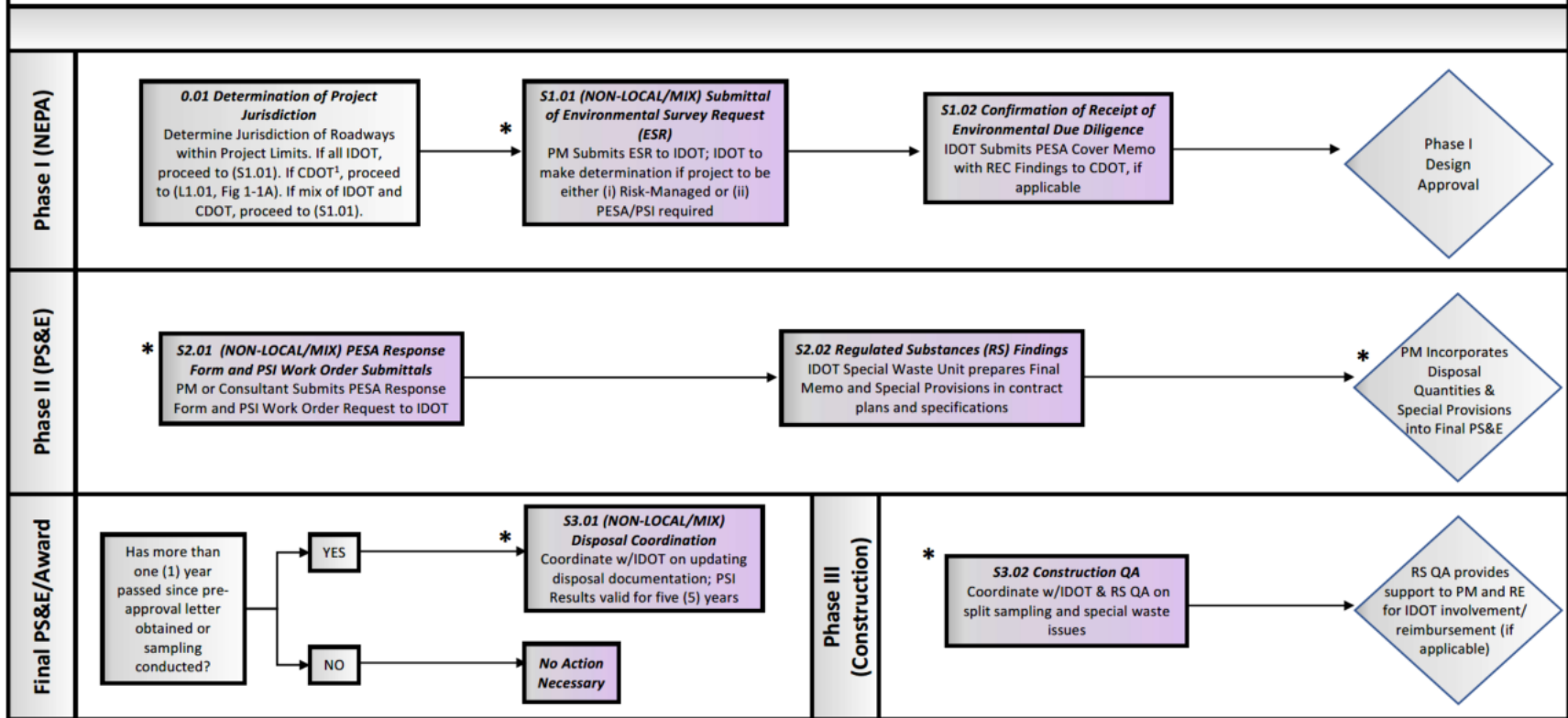
City
Lyons
Thornton
Algonquin
Algonquin
Antioch
Antioch
Aurora
Bartlett
Bartlett
Bartlett

Project Name	CCDD	OPEN	Address	City
Heartland Recycling CCDD	CCDD	OPEN	894075953   213 Mettel Road	Aurora
Gifford East CCDD Unit 1-3	CCDD	Closed	314125046   1395 Gifford Road	Bartlett
47 Acres Southwind Park CCDD	CCDD	Closed	894125007   2250 Southwind Boulevard	Bartlett
Blue Heron Business Park	CCDD	Closed	898075002   23108 West Bartlett Road	Bartlett



# Flow Chart for IDOT Projects

Figure 1-1A Regulated Substances Flow Chart: IDOT Jurisdiction Projects (NON-LOCAL/MIX)



**Notes:**

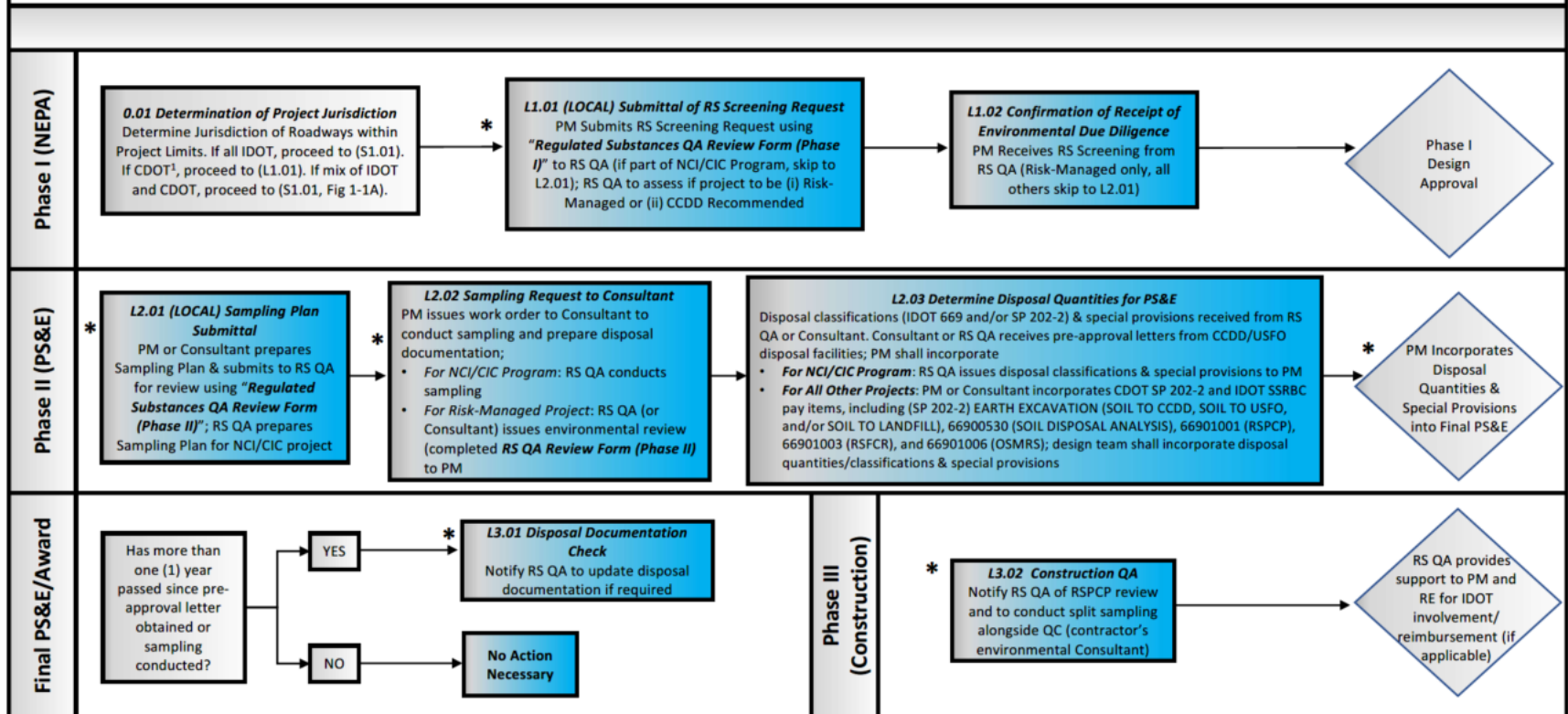
<sup>1</sup> All non-IDOT routes considered CDOT (including CCDOTH and other non-State Jurisdictions), as long as funding source is fully LOCAL and no IDOT review/approval of PS&Es required for the project.

\* This step requires involvement from the PM.

Revised 7/24/2025

# Flow Chart for CDOT (Local) Projects

Figure 1-1B Regulated Substances Flow Chart: CDOT Jurisdiction Projects (LOCAL)



**Notes:**

<sup>1</sup> All non-IDOT routes considered CDOT (including CCDOTH and other non-State Jurisdictions), as long as funding source is fully LOCAL and no IDOT review/approval of PS&Es required for the project.


\* This step requires involvement from the PM.

Revised 7/24/2025

# Regulated Substances Process

## Phase I Review Form

- The CDOT PM will fill out the Phase I form with project information.
- The CDOT PM will then email the completed form back to CDOT QA (adam.kittler@gza.com and cory.wilson@gza.com)



Regulated Substances/Special Waste QA Review Form  
Phase I (Design)

**SECTION 1: To be completed by the CDOT PM/Design Engineer:**

CDOT PM/Design Engineer Name	
CDOT Project Name	
CDOT Project No.	
Project Area/Corridor Limits	
Roadway Jurisdiction	
Funding Source(s)	

**To be completed by the Special Waste (SW) QA:**

QA Review Completed By QA Consultant	Huff & Huff/GZA
Date Form Received from CDOT PM:	
Date Form Returned to CDOT PM (Final Phase II Review)	

**LEGEND**

To be completed by CDOT PM or Design Engineer

To be completed by Special Waste QA

**SECTION 2: CDOT PM/Design Engineer to answer the below Questions 2A through 2C and submit this form to CDOT Special Waste (SW) QA for review.**

**2A. PROJECT JURISDICTION.** Determine the project jurisdiction. LOCAL projects will have no funding sources or review/approvals of project milestones other than City of Chicago. NON-LOCAL projects will have funding sources outside of the City of Chicago (IDOT, Federal, County, or a mix, etc.) and/or require IDOT oversight and review/approval of project PS&Es. Please indicate Project Jurisdiction below.

LOCAL (CDOT) With Funding Through City of Chicago       NON-LOCAL/MIX (IDOT, Federal, County, or mix)


**2B. PROJECT TYPE.** The Project Type will aid in assessing Special Waste requirements. Please indicate (below) the type of project. Please mark all that are applicable.

<p><b>GROUP A PROJECTS - Minimal Subsurface Excavation</b></p> <p><input type="checkbox"/> Resurfacing</p> <p><input type="checkbox"/> Streetscapes</p> <p><input type="checkbox"/> Sign Installations</p> <p><input type="checkbox"/> Traffic and/or Pedestrian/Bicycling Signals</p> <p><input type="checkbox"/> Safety Improvements: Pedestrian and/or Bicycle Infrastructure</p>	<p><b>GROUP B PROJECTS - Significant Subsurface/Earthwork Excavation</b></p> <p><input type="checkbox"/> Roadway Reconstruction/Reconfiguration</p> <p><input type="checkbox"/> Green Alley Projects</p> <p><input type="checkbox"/> Utility Improvements</p> <p><input type="checkbox"/> Bridge Work</p> <p><input type="checkbox"/> Other: _____</p>
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**2C. ADDITIONAL.** Please add any additional relevant information on the project here (if applicable). Additional information could include proposed letting date for solicitation of Engineering RFPs or Contractor Bids, project submittal deadlines, or relevant information regarding Special Waste for the project (including anticipated volume of earthwork/spoils for off-site disposal, anticipated excavation depths and areas, if applicable). Additional information can aid in assessing Special Waste requirements, but is not mandatory.

**SEND COMPLETED FORM TO SPECIAL WASTE QA (adam.kittler@gza.com)**

Blue Sections to be Filled Out by CDOT PM



Chicago Department of Transportation


# Regulated Substances Process

## Phase I Review Form

- Following Completion of the form by the CDOT PM. CDOT QA will then determine if the project is to be risk-managed or additional reporting is required
- CDOT QA will return the completed form to the CDOT PM with project recommendations

Pink Section to be Completed by CDOT QA

**Regulated Substances/Special Waste QA Review Form  
Phase I (Design)**



**SECTION 1 : To be completed by the CDOT PM/Design Engineer:**

CDOT PM/Design Engineer Name \_\_\_\_\_  
 CDOT Project Name \_\_\_\_\_  
 CDOT Project No. \_\_\_\_\_  
 Project Area/Corridor Limits \_\_\_\_\_  
 Roadway Jurisdiction \_\_\_\_\_  
 Funding Source(s) \_\_\_\_\_

**To be completed by the Special Waste (SW) QA:**

QA Review Completed By \_\_\_\_\_  
 QA Consultant Huff & Huff/GZA  
 Date Form Received from CDOT PM: \_\_\_\_\_  
 Date Form Returned to CDOT PM (Final Phase I Review) \_\_\_\_\_

**LEGEND**  
 To be completed by CDOT PM or Design Engineer  
 To be completed by Special Waste QA

**\*\*CDOT PM to keep this form throughout the entirety of the Project, from initial setup all the way through to Construction Closeout\*\***

**SECTION 2 : CDOT PM/Design Engineer to answer the below Questions 2A through 2C and submit this form to CDOT Special Waste (SW) QA for review.**

**2A. PROJECT JURISDICTION.** Determine the project jurisdiction. LOCAL projects will have no funding sources or review/approvals of project milestones other than City of Chicago. NON-LOCAL projects will have funding sources outside of the City of Chicago (IDOT, Federal, County, or a mix, etc.) and/or require IDOT oversight and review/approval of project PS&Es. **Please indicate Project Jurisdiction below.**

LOCAL (CDOT) With Funding Through City of Chicago       NON-LOCAL/MIX (IDOT, Federal, County, or mix)

**2B. PROJECT TYPE.** The Project Type will aid in assessing Special Waste requirements. Please indicate (below) the type of project. **Please mark all that are applicable.**

<p><b>GROUP A PROJECTS - Minimal Subsurface Excavation</b></p> <p><input type="checkbox"/> Resurfacing  <input type="checkbox"/> Streetscapes  <input type="checkbox"/> Sign Installations  <input type="checkbox"/> Traffic and/or Pedestrian/Bicycling Signals  <input type="checkbox"/> Safety Improvements: Pedestrian and/or Bicycle Infrastructure</p>	<p><b>GROUP B PROJECTS - Significant Subsurface/Earthwork Excavation</b></p> <p><input type="checkbox"/> Roadway Reconstruction/Reconfiguration  <input type="checkbox"/> Green Alley Projects  <input type="checkbox"/> Utility Improvements  <input type="checkbox"/> Bridge Work  <input type="checkbox"/> Other: _____</p>
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**2C. ADDITIONAL.** Please add any additional relevant information on the project here (if applicable). Additional information could include proposed letting date for solicitation of Engineering RFPs or Contractor Bids, project submittal deadlines, or relevant information regarding Special Waste for the project (including anticipated volume of earthwork/spoils for off-site disposal, anticipated excavation depths and areas, if applicable). *Additional information can aid in assessing Special Waste requirements, but is not mandatory.*

**SECTION 3 : CDOT SW QA to Complete the Below Section (Questions 3A & 3B) and return to CDOT PM for file and required action items.**

**3A. Based on PROJECT JURISDICTION and PROJECT TYPE, specify the type of Phase I & II Environmental work required.**

	PROJECT JURISDICTION: Environmental Submittals Required	
	LOCAL	NON-LOCAL/MIX
<b>Group A Project</b>	<input type="checkbox"/> CDOT QA to Make Assessment, either (i) Risk-Managed or (ii) CCDD Testing Recommended. Special Waste Screening along Project Corridor/ Area required for Phase I	<input type="checkbox"/> IDOT to Make Determination, either (i) Risk-Managed or (ii) Preliminary Environmental Site Assessment (PESA) and Preliminary Site Investigation (PSI) with CCDD LPC 663 Form
<b>Group B Project</b>	<input type="checkbox"/> Special Waste Screening along Project Corridor/ Area Required for Phase I, CCDD Sampling Packet with Soil Classifications per IDOT 669.05 specs in Phase II	<input type="checkbox"/> PESA + PSI + CCDD LPC 663 Form; Soil Classifications per IDOT 669.05 specs

**3B. ADDITIONAL.** Please add any additional relevant information for CDOT PM to know regarding project Special Waste requirements (if applicable).

**SECTION 4 : ACTION ITEMS based on PROJECT JURISDICTION and PROJECT TYPE**

- Group A/LOCAL: Request Special Waste Screening from CDOT SW QA, or include Required Special Waste Screening in the Engineering RFP Solicitation.
- Group B/LOCAL: Request Special Waste Screening from CDOT SW QA, or include Required Special Waste Screening AND CCDD Soil Testing in the Engineering RFP Solicitation.
- Group A/NON-LOCAL/MIX: Complete the "Environmental Survey Request Form (ESRF)" and submit to the IDOT PM.
- Group B/NON-LOCAL/MIX: Complete the "Environmental Survey Request Form (ESRF)" and submit to the IDOT PM.

Rev 2  
Updated: 4/19/2023


Page 1 of 2

# Regulated Substances Process

## Phase I Review Form

- If a Phase I or Regulated Substances Screening is required, the CDOT PM will submit the completed report to the CDOT QA
- The CDOT QA will then review the report, complete the form, and notify the CDOT PM of any comments or recommendations

Pink Section to be Completed by CDOT QA



**Regulated Substances/Special Waste QA Review Form**  
Phase I (Design)

**SECTION 1: To be completed by the CDOT PM/Design Engineer:**

CDOT PM/Design Engineer Name \_\_\_\_\_  
 CDOT Project Name \_\_\_\_\_  
 CDOT Project No. \_\_\_\_\_  
 Project Area/Corridor Limits \_\_\_\_\_  
 Roadway Jurisdiction \_\_\_\_\_  
 Funding Source(s) \_\_\_\_\_

**LEGEND**  
 To be completed by CDOT PM or Design Engineer  
 To be completed by Special Waste QA

**To be completed by the Special Waste (SW) QA:**

QA Review Completed By \_\_\_\_\_  
 QA Consultant Huff & Huff/GZA  
 Date Form Received from CDOT PM: \_\_\_\_\_  
 Date Form Returned to CDOT PM (Final Phase II Review) \_\_\_\_\_

\*\*CDOT PM to keep this form throughout the entirety of the Project, from initial setup all the way through to Construction Closeout\*\*

SECTION 5: PHASE I ENVIRONMENTAL SUBMITTALS -- QA REVIEW

**PESA and/or CCDD Due Diligence QA Review**

Environmental Consultant \_\_\_\_\_ Date of Initial QA Review \_\_\_\_\_  
 Date of PESA/CCDD Report \_\_\_\_\_ Date of Final QA Review \_\_\_\_\_

Review Item	C = "Complete" NC = "Not Complete"	Initial		Final		Comments
		C	NC	C	NC	
1 Review of Natural Features (Geological/ Hydrogeological, Waterways, Wetlands)						
2 Review of Historical Land Use (aerial photographs, fire insurance maps, topo maps, city directories, etc.)						
3 Review of Land Use (Zoning) along Project Area/Corridor						
4 Review of Environmental Database/Record Search						
5 Completion of Site Reconnaissance (in-person or via Google Street View)						
6 Preparation of Table(s) and Figure(s) of Recognized Environmental Conditions (RECs) and/or Potentially Impacted Properties (PIPs)						
7 Findings and Sampling Recommendations						

**Special Waste Screening QA Review**

Environmental Consultant \_\_\_\_\_ Date of Initial QA Review \_\_\_\_\_  
 Date of Special Waste Screening \_\_\_\_\_ Date of Final QA Review \_\_\_\_\_

Review Item	C = "Complete" NC = "Not Complete"	Initial		Final		Comments
		C	NC	C	NC	
1 Preparation of Table(s) and Figure(s) of Recognized Environmental Conditions (RECs) and/or Potentially Impacted Properties (PIPs)						
2 Review of Historical Aerial Photographs						
3 Review of Land Use (Zoning) along Project Area/Corridor						
4 Findings and Sampling Recommendations						

**SECTION 6: ACTION ITEMS based on PHASE I ENVIRONMENTAL SUBMITTALS REVIEW**

→ **CDOT SW QA:** Return this form to PM/consultant for inclusion into environmental submittals. Additional QA review requests from PM may be made with this same form.  
 → **PM/Consultant:** Once PHASE I ENVIRONMENTAL SUBMITTALS REVIEW is finalized, complete SECTION 7 and return to SW QA for Phase II Special Waste Requirements.


Rev 2  
Updated: 4/19/2023

Page 1 of 1

# Regulated Substances Process

## Phase II Review Form

- Following completion of the Phase I portion of the Project, the CDOT PM will then submit the completed Phase II Form to the CDOT QA
- The CDOT QA will then review the project information and determine if a Phase II is required



**CDOT**  
Chicago Department  
of Transportation

**Regulated Substances/Special Waste QA Review Form**  
Phase II (Design)

**SECTION 1: To be completed by the CDOT PM/Design Engineer:**

CDOT PM/Design Engineer Name	
CDOT Project Name	
CDOT Project No.	
Project Area/Corridor Limits	
Roadway Jurisdiction	
Funding Source(s)	

**To be completed by the Special Waste (SW) QA:**

QA Review Completed By	
QA Consultant	Huff & Huff/GZA
Date Form Received from CDOT PM:	
Date Form Returned to CDOT PM (Final Phase II Review)	

**LEGEND**

To be completed by CDOT PM or Design Engineer

To be completed by Special Waste QA

**SECTION 3: CDOT PM/Design Engineer to answer the below Questions 3A through 3D and submit this form to CDOT SW QA for review.**

**3A. PROJECT CONTRACTING.** How will the project construction contracting be arranged? Please indicate below.

Project will be funded under existing contract. Please indicate project number and contractor information below.

Project Parent No. _____	Contractor Company Name _____
Project Child No. _____	Contact Name _____ Phone _____
	Contact Email _____

Project PS&Es will go out for public construction contract bid solicitations.

Other: \_\_\_\_\_

**3B. VOLUME OF EARTHWORK.** If estimates of approximate volumes of spoils to be generated for offsite disposal, this information will aid in assessing if CCDD testing should be pursued. Please indicate Earthwork Volume estimate below. *NOTE: typically 250 cubic yards (CY) with excavation depth > 4 feet is the MINIMUM volume of spoils to consider CCDD testing and CCDD/USFO disposal as economically viable. Provide relevant attachments as necessary.*

An Estimate of Earthwork Volume is known. **Approximate Total Volume:** \_\_\_\_\_ *Attach volume breakdown as needed.*

An Estimate of Earthwork Volume is **NOT** currently known.

Other: \_\_\_\_\_


**3C. EXCAVATION AREAS AND DEPTHS.** If this information is known and available, it will aid in placement of soil borings and depths of sampling intervals. Please indicate EXCAVATION AREAS and DEPTHS on an attached figure/map. *NOTE: a figure/map depicting "approximate" areas of planned excavation should be provided if available.*

<b>Yes</b>	<b>No</b>	An Estimate of Excavation Depth (Maximum) is known. <b>Approximate Max Depth:</b> _____ <i>Attach supporting files as needed.</i>
<input type="checkbox"/>	<input type="checkbox"/>	Areas of Required Excavation are known and a figure/map is attached depicting those areas within the Project Corridor/Area. If Yes, please attach supporting files (figure/map) depicting these areas.

**3D. ADDITIONAL** Please add any additional relevant information on the project here (if applicable). Additional information could include proposed letting date for solicitation of Contractor Bids, project submittal deadlines, or relevant information regarding Special Waste for the project. *Additional information can aid in assessing Special Waste requirements, but is not mandatory.*

SEND COMPLETED FORM TO SPECIAL WASTE QA ([adam.kittler@qza.com](mailto:adam.kittler@qza.com))

**Blue Sections to be Filled Out by CDOT PM**




**CDOT**  
Chicago Department  
of Transportation

# Regulated Substances Process

## Phase II Review Form

- If a Phase II, PSI, or LSI is required, the CDOT PM will submit the completed report to the CDOT QA
- The CDOT QA will then review the report, complete the form, and notify the CDOT PM of any comments or recommendations

Pink Section to be Completed by CDOT QA



**CDOT**  
Chicago Department of Transportation

Regulated Substances/Special Waste QA Review Form  
Phase I (Design)

**SECTION 1: To be completed by the CDOT PM/Design Engineer:**

CDOT PM/Design Engineer Name	_____
CDOT Project Name	_____
CDOT Project No.	_____
Project Area/Corridor Limits	_____
Roadway Jurisdiction	_____
Funding Source(s)	_____

**To be completed by the Special Waste (SW) QA:**

QA Review Completed By	_____
QA Consultant	Huff & Huff/GZA
Date Form Received from CDOT PM:	_____
Date Form Returned to CDOT PM (Final Phase II Review)	_____

**LEGEND**

To be completed by CDOT PM or Design Engineer

To be completed by Special Waste QA

**\*\*CDOT PM to keep this form throughout the entirety of the Project, from initial setup all the way through to Construction Closeout\*\***

**SECTION 9 : PHASE II ENVIRONMENTAL SUBMITTALS -- QA REVIEW**

**Sampling/Boring Plan**

Environmental Consultant: \_\_\_\_\_ Date of Initial QA Review: \_\_\_\_\_

Date of Sampling/Boring Plan: \_\_\_\_\_ Date of Final QA Review: \_\_\_\_\_

Review Item	Initial		Final		Comments
	C	NC	C	NC	
1 Preparation of Proposed Soil Boring Location Map with REC/PIP sites shown					
2 Preparation of Proposed Sampling Plan, with list of sample intervals, sampling parameters for laboratory analysis, and overall soil boring depth					
3 Proposed Soil Boring Locations are planned within proposed project excavation areas requiring off-site disposal of project spoils and adjacent to nearest identified REC/PIP sites					
4 Frequency of Proposed Soil Borings are sufficient based on required REC/PIP coverage as stipulated in the Draft City of Chicago CCDD Sampling Policy document as maintained by the Department of Asses, Information, & Services (AIS)					

**PSI, CCDD, and/or LSI Report Findings**

Environmental Consultant: \_\_\_\_\_ Date of Initial QA Review: \_\_\_\_\_


Date of Phase II Report: \_\_\_\_\_ Date of Final QA Review: \_\_\_\_\_

Review Item	Initial		Final		Comments
	C	NC	C	NC	
1 Soil sampling results presented in a report with appropriate tables, figures, and discussion with results compared to the IBC Part 742 TACD Remediation Objectives (Construction Worker exposure standards, at a minimum) and the CCDD Maximum Allowable Concentrations (MACs), as applicable. PID screening results are included for each sample interval screened.					
2 If CCDD certification is being sought for project spoils, an Uncontaminated Soil Certification Form LPC-663 (including all applicable attachments) has been provided and signed/stamped by a IL licensed P.E. or P.C.					
3 Soil Classifications for handling and disposal are provided, based on the Section 669.05 from IDOT Standard Specifications for Road and Bridge Construction.					
4 Volumes of spoils are calculated per soil boring area and included in the report. <b>NOTE: Alternatively, the volumes can be calculated by the Design Engineer/Consultant/CDOT PM based on the identified and classified soil boring areas from the PSI/CCDD/LSI report. Volumes should be included for areas requiring excavation, with spoils destined for CCDD, Non-Special Waste, or Special Waste, or Hazardous Waste (per IDOT 669.05 Standard Specifications) disposal clearly identified.</b>					
5 Standard Pay Items for Handling/Disposal of Regulated Substances included in report findings for inclusion into project Plans, Specifications, & Estimates (package).					

# Regulated Substances Process

## Phase III Review Form

- Following completion of the Phase II, during the Phase III construction phase, completed reports are to be sent to the CDOT QA for review



**CDOT**  
Chicago Department  
of Transportation

Regulated Substances/Special Waste QA Review Form  
Phase I (Design)

**SECTION 1 : To be completed by the CDOT PM/Design Engineer:**

CDOT PM/Design Engineer Name	
CDOT Project Name	
CDOT Project No.	
Project Area/Corridor Limits	
Roadway Jurisdiction	
Funding Source(s)	

**To be completed by the Special Waste (SW) QA:**

QA Review Completed By	
QA Consultant	Huff & Huff/GZA
Date Form Received from CDOT PM:	
Date Form Returned to CDOT PM (Final Phase II Review)	

**LEGEND**

To be completed by CDOT PM or Design Engineer

To be completed by Special Waste QA

**\*\*CDOT PM to keep this form throughout the entirety of the Project, from initial setup all the way through to Construction Closeout\*\***

**SECTION 11 : PHASE III (CONSTRUCTION) ENVIRONMENTAL SUBMITTALS -- QA REVIEW**

**Regulated Substances/Special Waste Environmental Submittals**

	Name/Company	Email	Phone
CDOT PM:			
CDOT RE:			
Contractor:			
Environmental Consultant (QC):			

Review Item	Date Received from PM/RE	RE Provided Review & Comments? (Yes/No)	Date Approved & Submitted to PM/RE	Comments
1 Regulated Substances Pre-Construction Plan (RSPCP)				Comment #1: Comment #2: Comment #3:
2 On-Site Monitoring Report (OSMR)				
3 Regulated Substances Final Construction Report (RSFCR)				
4 Other (Indicate):				

Pink Section to be Completed by CDOT QA

# Flow Chart Tool

## Special Waste Flow Chart Tool

- In an effort to assist the CDOT PM's in familiarizing themselves with the special waste process, an excel based questionnaire tool is available to help guide the CDOT PM through the process

After entering/selecting project information, the current action and next steps in the process

**PM To Make Selections From Dropdown Boxes**

Project Stage	Phase I (NEPA)
Project Jurisdiction	All CDOT
Is the Project Part of the NCI/CIC Program	No

**Phase I (NEPA) Only Applicable Questions**

Has the PM submitted the "Special Waste QA Review Form (Phase I)" form to SW QA?	Yes
Is the Project to be Risk-Managed or CCDD Recommended?	CCDD Recommended

Has the PM submitted the ESR to IDOT?

*Phase II (PS&E) Only Applicable Questions*

Is the Project to be Risk-Managed or CCDD Recommended?

Has the PM or Consultant submitted the "Special Waste QA Review Form (Phase II)" form to SW QA?

Has the PM issued work order to Consultant to conduct sampling and prepare disposal documentation?

Has the PM received disposal classifications & special provisions from SW QA or Consultant?

Has the PM or Consultant submitted the PESA Responded form to IDOT?

*Final PS&E/Award Only Applicable Questions*

Has more than 1 Year Elapsed Since Pre-Approval Letter or Sampling Conducted?

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**Flow Chart Stage** L2.01 Sampling Plan Submittal

**Current Action** PM or consultant prepares Sampling Plan & submits to SW QA for review using "Special Waste QA Review Form (Phase II)"

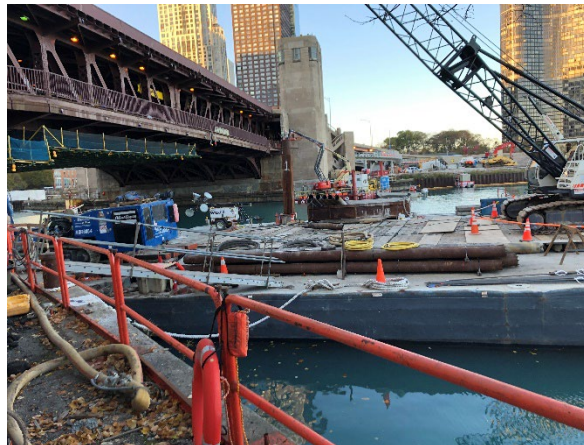
**Next Action** SW QA reviews "Special Waste QA Review Form (Phase II)" and submits comments to PM

For Procedural Questions or Project Review Questions  
SWQA Contact Information: Adam Kittler, adam.kittler@gza.com

Drop down boxes can be selected with green indicating required selections

# Key Takeaways

- ❑ Local and state transportation agencies have different approaches/requirements for Regulated Substances
- ❑ The expected volume of spoils for off-site disposal can guide the PM in how to approach Regulated Substances
  - Small volume of spoils (Group A) = Risk-Managed approach (landfill all spoils) makes more sense
  - Large volume of spoils (Group B) = CCDD Testing is Recommended
- ❑ Coordinate with CDOT Regulated Substances QA throughout project for confirmation on approach and requirements to ensure proper Spoils Management and reduce/eliminate expensive change orders.



**Questions or Feedback?**