



# Substructure Handover Dossier Checklist: QA/QC & Approvals

Substructure handover dossier interactive checklist for QA/QC, tests, warranties, and approvals—commentable and ready to export as PDF/Excel, ensuring compliant, traceable closeout.

Project:
Date:
Filled by:

## Preliminaries & Scope Boundaries

1	Confirm dossier covers only substructure works (foundations, piles, pile caps, rafts, basement slabs, retaining walls) and excludes O&M; manuals; evidence: signed scope statement referencing drawing packages.
2	Appoint a dossier coordinator and define RACI for collection, QA review, approvals, and sign-off; evidence: appointment memo, contact list, and responsibilities matrix.
3	Establish document naming and revision control per project procedure; evidence: approved document control plan and a sample set passing a 10-file audit.

## QA/QC Records

4	Compile approved ITPs and completed inspection checklists for substructure activities; evidence: signed ITPs with hold/witness points released before pours.
5	Collect material certificates: cement compliance, rebar mill certificates with heat numbers, waterproofing datasheets; evidence: certificates cross-referenced to delivery notes.
6	Assemble concrete mix design approvals and batch tickets; evidence: plant tickets with batch numbers, truck IDs, time stamps, and delivered volume in m <sup>3</sup> .
7	Gather as-built drawings stamped by surveyor, including coordinates and levels in m; evidence: PDF/CAD files marked "As-Built" with survey sign-off.
8	Include NCRs/CARs with verified closures; evidence: closure reports, corrective action photos, dates, and responsible party signatures.

## Test & Inspection Reports

9	Concrete strength results (7/28-day) meet specified fck in MPa; evidence: lab reports with statistical summary confirming compliance per approved project specifications.
10	Record slump (mm) and concrete temperature (°C) per pour; evidence: field test sheets showing results within specified tolerances and pour IDs.
11	Provide rebar cover checks or scanning results; acceptance: cover ≥ specified mm; evidence: cover meter logs with grid references and photos.
12	Include waterproofing integrity tests: holiday/spark and flood; acceptance: no breaches or leaks; evidence: test readings, duration (h), and annotated photos.
13	Submit pile integrity/low-strain tests and PDA where applicable; acceptance: no major defects; evidence: reports with signal plots and interpreted results.
14	Provide plate load or CBR results for bearing layers; acceptance: ≥ design value (kPa or %); evidence: signed geotechnical reports with locations.
15	Attach survey reports for top-of-concrete levels; tolerance: ±5 mm unless noted; evidence: total station exports and level books signed by surveyor.

### Warranties & Certificates

16	Manufacturer warranties for waterproofing, joint systems, and protective coatings; evidence: warranty letters stating term (years) and conditions.
17	Installer workmanship guarantees for substructure trades; evidence: signed guarantees commencing at practical completion date.
18	Third-party certifications for piles/precast (e.g., factory production control); evidence: valid certificates covering production dates.
19	Calibration certificates for testing equipment (slump cones, thermometers, cover meters); evidence: certificates valid on test dates.

### Approvals & Permits

20	Authority permits/approvals for excavation, dewatering, and temporary works; evidence: permits with validity dates within construction period.
21	Consultant/Engineer approvals for material submittals and method statements; evidence: "APPROVED" stamps with revision and date.
22	Inspection requests/hold-point releases for critical pours and waterproofing; evidence: signed IRs prior to commencement.
23	Final acceptance of substructure works; evidence: consultant acceptance letter with punch list closed and dates.

### Dossier Assembly & Control

24	Create index and table of contents with hyperlinks; evidence: master index v1.0 cross-referencing all documents.
25	Apply file naming, version control, and PDF bookmarks; evidence: QC audit of 10 files passes without findings.
26	Generate searchable PDF/A dossier and zipped source set; evidence: PDF/A compliance report and checksum file.
27	Prepare deliverables register with metadata (discipline, grid, pour ID); evidence: validated CSV/Excel register.
28	Embed QR code linking to repository or checksum page; evidence: QR printed on cover and footer of exports.
29	Obtain digital signatures from contractor, consultant, and client; evidence: e-signature log with UTC timestamps.

#### Comments:

Filled by:

Signature:

Introduction	How to use this checklist
<p>Substructure handover dossier is the definitive closeout package for foundations, piles, pile caps, rafts, basement slabs, and retaining structures. It consolidates quality records, inspection and test plans (ITPs), as-built documentation, laboratory test reports, warranties, and approvals while explicitly excluding O&amp;M; manuals. Within this focused scope, you'll assemble material certificates, mix design approvals, concrete strength results in MPa, waterproofing test evidence, survey as-builts in metres, and closeout of NCRs/CARs. The objective is a complete, traceable record proving the substructure is built per approved project specifications and authority requirements. Done well, the dossier prevents delayed practical completion, rework, and claims arising from undocumented variances or missing tests. It also accelerates payments and sets a reliable baseline for superstructure works. Use this interactive, commentable checklist to guide collection, verification, and sign-off; then export your dossier index and evidence register to PDF/Excel with a secured QR link for authentication.</p>	<ol style="list-style-type: none"> <li>1. Preparation: appoint a dossier coordinator; gather source registers (ITPs, lab tests, as-builts, approvals); ensure access to PDF editor, spreadsheet tool, and e-sign platform; brief team on exclusions (no O&amp;M;).</li> <li>2. Set up document control: apply naming convention, revision rules, and metadata fields (discipline, grid, pour ID); create a master index and evidence register.</li> <li>3. Using the interactive checklist: start interactive mode, assign items, tick progress, and log comments with attachments (photos, reports, signatures) against each requirement.</li> <li>4. Validate evidence: spot-audit at least 10 items for signatures, calibration validity, and acceptance tolerances; resolve gaps via RFIs or supplementary testing.</li> <li>5. Assemble dossier: hyperlink index to evidence, add PDF bookmarks, and generate a searchable PDF/A master plus a zipped source package with checksum.</li> <li>6. Export and authenticate: export the index and registers to PDF/Excel; embed a QR code linking to the repository or checksum verification page.</li> <li>7. Sign-Off: route the dossier for digital signatures by contractor, consultant, and client; archive the signed set and lock revisions with a closure memo.</li> </ol>