



897. 13 DPWH
09. 02. 2009

REPUBLIC OF THE PHILIPPINES
DEPARTMENT OF PUBLIC WORKS AND HIGHWAYS
OFFICE OF THE SECRETARY
MANILA

SEP 01 2009

DEPARTMENT ORDER)
NO. 41)
Series of 2009 09.02.09

SUBJECT: Implementation of the Document Tracking System (DoTS) for Civil Works Projects

In line with the Department's thrust to fast track the completion of projects and to be transparent in its operations, all offices involved in the processing of documents in the procurement and implementation of local and foreign-assisted civil works projects undertaken by Project Management Offices (PMOs), Bureaus and Regional Offices shall utilize the Document Tracking System (DoTS). The following civil works documents are covered by the system:

1. As-Built Plans
2. Detailed Engineering Design Plans(Preliminary Plans/Final Plans)
3. As-Staked / Revised Plans
4. Specifications
5. Program-of Work (POW)
6. Approved Budget for Contract (ABC)
7. PQ Resolution
8. Resolution of Award
9. Contract
10. Pre-Clearance for Variation Order/Negotiated Procurement/Supplemental Agreement
11. Change Order/Extra Work Order
12. Final Variation Order
13. Supplemental Agreement/Negotiated Contract
14. Contract Time Extension/Suspension
15. PERT/CPM
16. Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU)
17. IROW Payment
18. Advance Payment
19. First Progress Payment
20. Interim Progress Payment
21. Final Progress Payment
22. Release of Retention

Processing cycle starts in the preparation of these documents until the signing of the approving official.

The processing of documents within the Central Office shall be undertaken by the concerned offices in accordance with the activity and prescribed time contained in Annex A and with the implementing guidelines contained in Annex B. Incomplete documents should be returned to the concerned office same day they were received.

Regional documents to be processed within the Central Office shall be undertaken by the concerned offices in accordance with the activity and prescribed time contained in Annex C and with the implementing guidelines contained in Annex D. Incomplete documents should be returned to the Regional Office by the Central Office (CO) DoTS Center.

Regional Directors shall create a Regional DoTS Center wherein regional transactions will be registered. Moreover, Regional Offices shall observe the prescribed time contained in Annex E and the implementing procedures contained in Annex F. The Regional DoTS Center is responsible for returning incomplete documents to the contractors.

The checklist of required supporting documents and attachments for the DoTS is contained in Annex G.

The DoTS Evaluation Committee created under Special Order No. 70, Series of 2007, is hereby authorized to make necessary changes in the annexes hereof in coordination with the implementing offices and the Undersecretary in charge for Administration is hereby authorized to circularize these changes.

All documents covered shall be registered in the DoTS. Consequently, all requesting offices shall submit their DoTS documents to the concerned DoTS Center which shall register the document into the DoTS and forward the same to the concerned processing office. All contractors/consultants/ROs/PMOs are advised to inform their respective Liaison Officers of this submission procedure and documents without the DoTS header will be returned to the requesting office without action. In the flow of documents from one implementing/processing office to another, the one sending the document is responsible in ensuring that the said document is received by the concerned receiving office.

The Memorandum dated 19 January 2004 which provides for "Additional Guidelines on the Imposition of Administrative Sanctions on Erring DPWH Officials and Employees Involved in Project Implementation and Processing of Project Documents" (Annex H) shall be strictly observed in the implementation of the DoTS.

This Order supersedes Department Order No. 6 Series of 2008 and takes effect immediately.

HERMOGENES E. EBDANE, JR.
Secretary



WIN9P00401

DoTS SYSTEM PRESCRIBED TIME

Annex A
Page 1 of 7

As-Built Plans

| Activity | Office | Prescribed Time (wd) |
|--------------------|---------------|-----------------------------|
| Review and endorse | PMO | 10 |
| Approve | BOD | 22 |
| Total | | 32 |

Detailed Engineering Design Plans (Preliminary Plans)

| Activity | Office | Prescribed Time (wd) |
|------------------------|---------------|-----------------------------|
| Review and Endorse | PMO | 10 |
| Review | BOD | 22 |
| Endorse to Consultants | PMO | 2 |
| Total | | 34 |

Detailed Engineering Design Plans (Final Plans)

| Activity | Office | Prescribed Time (wd) |
|---------------------------------|---------------|-----------------------------|
| Review and Endorse | PMO | 5 |
| Review/Endorse/Approve | BOD | 15 |
| Recommend Approval ¹ | ASEC for BOD | 3 |
| Approve ¹ | Secretary | 5 |
| Total | | 28 |

As-Staked/Revised Plans

| Activity | Office | Prescribed Time (wd) |
|---------------------------------|---------------|-----------------------------|
| Review and Endorse | PMO | 10 |
| Review/Endorse/Approve | BOD | 22 |
| Recommend Approval ¹ | ASEC for BOD | 3 |
| Approve ¹ | Secretary | 5 |
| Total | | 40 |

Specifications

| Activity | Office | Prescribed Time (wd) |
|--------------------|---------------|-----------------------------|
| Review and endorse | PMO | 3 |
| Review and endorse | BRS | 10 |
| Recommend approval | ASEC for BRS | 2 |
| Approve | Secretary | 5 |
| Total | | 20 |

¹ For Plans prepared in-house by PMO with project cost above P100M

DoTS SYSTEM PRESCRIBED TIME

Annex A
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Program Of Work

| Activity | Office | Prescribed Time (wd) |
|--------------------|--------------------------|-----------------------------|
| Coordinate | PMO | 2 |
| Prepare POW | Consultant | 5 |
| Review and endorse | PMO | 3 |
| Review and endorse | BOC | 5 |
| Recommend approval | ASEC for BOC | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 5 |
| Total | | 24 |

Approved Budget for Contract (ABC)

| Activity | Office | Prescribed Time (wd) |
|--------------------|--------------------------|-----------------------------|
| Coordinate | PMO | 1 |
| Prepare document | Consultant | 5 |
| Review and endorse | PMO | 2 |
| Review and endorse | BOC | 5 |
| Recommend approval | ASEC for BOC | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 5 |
| Total | | 22 |

PQ Resolution

| Activity | Office | Prescribed Time (wd) |
|---------------------------------|---------------|-----------------------------|
| Receive & Transmit PQ Documents | BAC | 2 |
| Evaluate PQ Documents | PMO | 10 |
| Deliberate | BAC | 10 |
| Prepare PQ Resolution | PMO | 2 |
| Sign | BAC | 5 |
| Approve | Secretary | 5 |
| Concur | Bank | |
| Notify Contractor | BAC | 1 |
| Total | | 35 |

DoTS SYSTEM PRESCRIBED TIME

Annex A
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Resolution of Award

| Activity | Office | Prescribed Time (wd) |
|------------------------------------|---------------|-----------------------------|
| Receive & Transmit Bid Documents | BAC | 2 |
| Evaluate | PMO | 10 |
| Deliberate | BAC | 15 |
| Prepare Resolution of Award | PMO | 2 |
| Sign | BAC | 5 |
| Approve | Secretary | 5 |
| Transmit to Bank | PMO | 2 |
| Concur | Bank | |
| Prepare & Transmit Notice of Award | PMO | 2 |
| Sign | BAC Chairman | 2 |
| Transmit to Contractor | PMO | 2 |
| Total | | 47 |

Contract

| Activity | Office | Prescribed Time (wd) |
|-----------------------------|--------------------------|-----------------------------|
| Coordinate | PMO | 2 |
| Prepare Contract | Consultant | 7 |
| Review and endorse | PMO | 2 |
| Issue ObR / Sign as witness | CFMS | 3 |
| Review and endorse | BOC / BOM | 3 |
| Recommend approval | ASEC for BOC / BOM | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 5 |
| Notice to Proceed | PMO | 2 |
| Total | | 28 |

Pre-Clearance

| Activity | Office | Prescribed Time (wd) |
|-----------------------|---------------------------------|-----------------------------|
| Coordinate | PMO | 2 |
| Prepare Pre-Clearance | Consultant | 7 |
| Review and endorse | PMO | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Recommend approval | ASEC for Planning/Planning Dir. | 5 ² |
| Recommend approval | Sr. USEC | 2 |
| Approve | Secretary | 5 |
| Total | | 25 |

² For projects without cost increase, cost overrun or cost realignment/modification.

DoTS SYSTEM PRESCRIBED TIME

Annex A
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Change Order / Extra Work Order

| Activity | Office | Prescribed Time (wd) |
|-------------------------|--------------------------|-----------------------------|
| Coordinate | PMO | 2 |
| Prepare Variation Order | Consultant | 7 |
| Review and endorse | PMO | 2 |
| Issue ObR | CFMS | 2 |
| Review and endorse | BOD | 7 |
| Review and endorse | BOC | 5 |
| Recommend approval | ASEC for BOC / BOD | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 5 |
| Total | | 34 |

Final Variation Order

| Activity | Office | Prescribed Time (wd) |
|-------------------------|--------------------------|-----------------------------|
| Coordinate | PMO | 2 |
| Prepare Variation Order | Consultant | 7 |
| Review and endorse | PMO | 2 |
| Issue ObR | CFMS | 3 |
| Review and endorse | BOD | 12 |
| Review and endorse | BOC | 7 |
| Recommend approval | ASEC for BOC / BOD | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 5 |
| Total | | 42 |

Supplemental Agreement/Negotiated Contract

| Activity | Office | Prescribed Time (wd) |
|-----------------------------|--------------------------|-----------------------------|
| Coordinate | PMO | 2 |
| Prepare SA/NC | Consultant | 7 |
| Review and endorse | PMO | 2 |
| Issue ObR / Sign as witness | CFMS | 3 |
| Review and endorse | BOD | 7 |
| Review and endorse | BOC | 5 |
| Recommend approval | ASEC for BOC / BOD | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 5 |
| Total | | 35 |

DoTS SYSTEM PRESCRIBED TIME

Annex A
Page 5 of 7

Contract Time Extension / Suspension

| Activity | Office | Prescribed Time (wd) |
|------------------------|--------------------------|-----------------------------|
| Coordinate | PMO | 2 |
| Prepare CTE/Suspension | Consultant | 7 |
| Review and endorse | PMO | 2 |
| Review and endorse | BOC | 5 |
| Recommend approval | ASEC for BOC | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 5 |
| Total | | 25 |

PERT/CPM

| Activity | Office | Prescribed Time (wd) |
|-----------------|--------------------------|-----------------------------|
| Review/Endorse | PMO | 3 |
| Review/Endorse | BOC | 3 |
| Approve | ASEC/USEC for operations | 2 |
| Total | | 8 |

MOA / MOU

| Activity | Office | Prescribed Time (wd) |
|--------------------|--------------------------|-----------------------------|
| Coordinate | PMO | 2 |
| Prepare MOA/MOU | Consultant | 7 |
| Review and endorse | PMO/Other Agency | 2 |
| Review and endorse | BOC / BOM | 3 |
| Recommend approval | ASEC for BOC / BOM | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 5 |
| Total | | 23 |

IROW Payment

| Activity | Office | Prescribed Time (wd) |
|----------------------------------|--------------------------|-----------------------------|
| Prepare IROW Payment & endorse | PMO | 3 |
| Process, record & sign | CFMS | 8 |
| Approve | ASEC/USEC for Operations | 2 |
| Pre Audit | COA | 5 |
| Request for NCA release from DBM | CFMS | 1 |
| Total | | 19 |

DoTS SYSTEM PRESCRIBED TIME

Annex A
Page 6 of 7

Advance Payment

| Activity | Office | Prescribed Time (wd) |
|------------------------------------|--------------------------|-----------------------------|
| Receive request | PMO | 1 |
| Review and prepare Advance Payment | Consultant | 3 |
| Review and endorse | PMO | 2 |
| Process, record & sign | CFMS | 8 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 5 |
| Pre Audit | COA | 5 |
| Request for NCA release from DBM | CFMS | 1 |
| Total | | 27 |

First Progress Billing

| Activity | Office | Prescribed Time (wd) |
|--|------------------------------|-----------------------------|
| Receive request for First Progress Billing | PMO | 1 |
| Review and prepare Certificate of Monthly Payment and DV | Consultant | 3 |
| Review and endorse Certificate | PMO | 2 |
| Recommend approval of Certificate | ASEC/USEC for Operations | 1 |
| Approve Certificate | USEC for Operations/Sr. USEC | 1 |
| Process, record & sign DV | CFMS | 8 |
| Recommend approval DV | ASEC/USEC for Operations | 1 |
| Recommend approval DV | USEC for Operations/Sr. USEC | 1 |
| Approve DV | Secretary | 5 |
| Pre Audit | COA | 5 |
| Request for NCA release from DBM | CFMS | 1 |
| Total | | 29 |

DoTS SYSTEM PRESCRIBED TIME

Annex A
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Interim Progress Billing

| Activity | Office | Prescribed Time (wd) |
|--|------------------------------|-----------------------------|
| Receive request for Certificate and DV | PMO | 1 |
| Review and prepare Certificate and DV | Consultant | 3 |
| Review and endorse Certificate | PMO | 2 |
| Recommend approval of Certificate | ASEC/USEC for Operations | 1 |
| Approve Certificate | USEC for Operations/Sr. USEC | 1 |
| Process, record & sign DV | CFMS | 8 |
| Recommend approval DV | ASEC/USEC for Operations | 1 |
| Approve DV | USEC for Operations/Sr. USEC | 1 |
| Pre Audit | COA | 5 |
| Request for NCA release from DBM | CFMS | 1 |
| Total | | 24 |

Final Progress Billing

| Activity | Office | Prescribed Time (wd) |
|--|------------------------------|-----------------------------|
| Receive request for Final Progress Billing | PMO | 1 |
| Review and prepare Certificate of Monthly Payment and DV | Consultant | 3 |
| Review and endorse Certificate | PMO | 2 |
| Recommend approval of Certificate | ASEC/USEC for Operations | 1 |
| Approve Certificate | USEC for Operations/Sr. USEC | 1 |
| Process, record & sign DV | CFMS | 8 |
| Recommend approval DV | ASEC for Operations | 1 |
| Recommend approval DV | USEC for Operations | 1 |
| Approve DV | Secretary | 5 |
| Pre Audit | COA | 5 |
| Request for NCA release from DBM | CFMS | 1 |
| Total | | 29 |

Release of Retention

| Activity | Office | Prescribed Time (wd) |
|---------------------------|---------------|-----------------------------|
| Review & approve | PMO | 3 |
| Process, record & sign DV | CFMS | 5 |
| Pre Audit | COA | 5 |
| Request for NCA | CFMS | 1 |
| Total | | 14 |

DoTS IMPLEMENTING GUIDELINES
Implementing / Processing Offices

| Doer | Activity |
|--|---|
| Contractor | <ol style="list-style-type: none"> 1. Use ear tags for each attached supporting document and should sequentially follow the checklist 2. Submit DoTS documents to the DoTS Center |
| DoTS Center | <ol style="list-style-type: none"> 3. Check completeness of supporting documents and attachments. 4. Return incomplete document to the contractor immediately within the day. 5. Otherwise, register document into DoTS 6. Issue a receipt to the Contractor 7. Print the DoTS Header and attach to the document. 8. Forward the document to the Implementing Office (IO). |
| Implementing Office | <ol style="list-style-type: none"> 9. Assign approving officials. 10. Forward the document to the succeeding office. 11. Ensure that document sent was received by the succeeding processing office within the next 24 hours. |
| Processing Office / Approving Official | <ol style="list-style-type: none"> 12. Check for the DoTS Header. For documents with no DoTS Header, return the document to the implementing office. 13. Return incomplete document to the office concerned within the day. 14. Otherwise, process document. 15. Forward the document to the succeeding office. 16. Ensure that document sent was received by the succeeding processing office within the next 24 hours. |
| Office of the Secretary | <ol style="list-style-type: none"> 17. Record documents with no DoTS Header. 18. Forward list of documents with no DoTS Header to the DoTS Center every end of the month. |
| Implementing Office | <ol style="list-style-type: none"> 19. Close the transaction in the DoTS upon completion of the process. |

Plans

| Activity | Office | Prescribed Time (wd) | | |
|----------------------------|--------------|----------------------|-----------|------------|
| | | 50M-100M | 100M-200M | Above 200M |
| Review and endorse/Approve | BOD | 15 | 15 | 15 |
| Recommend approval/Approve | ASEC for BOD | NA | 2 | 2 |
| Approve | Secretary | NA | NA | 3 |
| Total | | 15 | 17 | 20 |

Program of Work

| Activity | Office | Prescribed Time |
|--------------------|--------------------------|-----------------|
| Review and endorse | BOC | 5 |
| Recommend approval | ASEC for BOC | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 3 |
| Total | | 12 |

Approve Budget for Contracts (ABC)

| Activity | Office | Prescribed Time |
|--------------------|--------------------------|-----------------|
| Review and endorse | BOC | 5 |
| Recommend approval | ASEC for BOC | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 3 |
| Total | | 12 |

Contract

| Activity | Office | Prescribed Time |
|---|--------------------------|-----------------|
| Review and endorse | BOC | 3 |
| Recommend approval | ASEC for BOC | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve (including review of the Legal Service) | Secretary | 5 |
| Total | | 12 |

Pre-Clearance for Variation Order /Negotiated Procurement

| Activity | Office | Prescribed Time |
|--------------------|--------------------------|-----------------|
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve | Secretary | 3 |
| Total | | 5 |

Variation Order/Negotiated Procurement

| Activity | Office | Prescribed Time |
|----------|--------|-----------------|
|----------|--------|-----------------|

| | | |
|---|--------------------------|-----------|
| Review and endorse | BOD | 7 |
| Review and endorse | BOC | 5 |
| Recommend approval | ASEC for BOC / BOD | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve (including review of the Legal Service) | Secretary | 5 |
| Total | | 21 |

Supplemental Agreement /Negotiated Contract

| Activity | Office | Prescribed Time |
|---|--------------------------|-----------------|
| Review and endorse | BOD | 7 |
| Review and endorse | BOC | 5 |
| Recommend approval | ASEC for BOC / BOD | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve (including review of the Legal Service) | Secretary | 5 |
| Total | | 21 |

Time Extension

| Activity | Office | Prescribed Time |
|---|--------------------------|-----------------|
| Review and endorse | BOC | 5 |
| Recommend approval | ASEC for BOC | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve (including review of the Legal Service) | Secretary | 5 |
| Total | | 14 |

MOA / MOU

| Activity | Office | Prescribed Time |
|---|--------------------------|-----------------|
| Review and endorse | BOC | 3 |
| Recommend approval | ASEC for BOC | 2 |
| Recommend approval | ASEC/USEC for Operations | 2 |
| Approve (including review of the Legal Service) | Secretary | 5 |
| Total | | 9 |

RROW Payment

| Activity | Office | Prescribed Time |
|--------------|--------------------------|-----------------|
| Approve | ASEC/USEC for Operations | 2 |
| Total | | 2 |

DoTS IMPLEMENTING GUIDELINES
Processing Offices

| Doer | Activity |
|--|--|
| Regional Office | 1. Submit DoTS documents to the Central Office (CO) DoTS Center |
| CO DoTS Center | 2. Check completeness of supporting documents and attachments. 3. Return incomplete document to the Regional Office immediately within the day. 4. Otherwise, register document into DoTS 5. Issue a receipt to the RO Liaison Officer 6. Print the DoTS Header and attach to the document. 7. Forward the document to the Processing Office. |
| Processing Office / Approving Official | 8. Check for the DoTS Header. For documents with no DoTS Header, forward the document to the CO DoTS Center. 9. Forward the document to the succeeding office. 10. Ensure that document sent was received by the succeeding processing office within the next 24 hours. |
| CO DoTS Center | 11. In case of returned documents, inform the Regional Office that their documents have been returned. |
| Office of the Secretary | 12. Record documents with no DoTS Header. 13. Forward list of documents with no DoTS Header to the CO DoTS Center every end of the month. |
| CO DoTS Center | 14. Close the transaction in the DoTS upon completion of the process. |

Plans

| Activity | Office | Prescribed Time |
|--------------------|----------------------------|-----------------|
| Prepare Documents | Planning & Design Division | |
| Per km. of Roads | | |
| ▪ Existing | | 10 |
| ▪ Rolling | | 12 |
| ▪ Mountainous | | 14 |
| Per Bridge | | 30 |
| Per Building | | 22 |
| Recommend Approval | ARD | 1 |
| Approve | RD | 1 |
| Total | | 90 |

Program of Work

| Activity | Office | Prescribed Time |
|-----------------------------|---------------------------------|-----------------|
| Prepare, Review and Endorse | IO / Planning & Design Division | 6 |
| Recommend Approval | ARD | 1 |
| Approve | RD | 1 |
| Total | | 8 |

Approved Budget for Contract

| Activity | Office | Prescribed Time |
|-----------------------------|----------------------|-----------------|
| Prepare, Review and Endorse | Estimating Committee | 5 |
| Recommend Approval | BAC Chairman | 1 |
| Approve | RD | 1 |
| Total | | 7 |

Resolution of Award

| Activity | Office | Prescribed Time |
|--------------------|-----------------|-----------------|
| Deliberate | BAC | 7 |
| Prepare Resolution | BAC Secretariat | 2 |
| Sign Resolution | BAC | 2 |
| Approve | RD | 1 |
| Total | | 11 |

Notice of Award

| Activity | Office | Prescribed Time |
|------------------------|-----------------|-----------------|
| Prepare Documents | BAC Secretariat | 1 |
| Review and Sign | BAC Chairman | 1 |
| Sign | RD | 1 |
| Transmit to Contractor | BAC Secretariat | 1 |
| Total | | 5 |

Contract

| Activity | Office | Prescribed Time |
|--------------------|-----------------|-----------------|
| Prepare Documents | BAC Secretariat | 3 |
| Issue ALOBS | CFMD | 1 |
| Recommend Approval | ARD | 1 |
| Approve | RD | 1 |
| Total | | 6 |

Notice to Proceed

| Activity | Office | Prescribed Time |
|------------------------|-----------------|-----------------|
| Prepare Documents | BAC Secretariat | 1 |
| Review and Endorse | IO | 1 |
| Review and Sign | ARD | 1 |
| Approve | RD | 1 |
| Transmit to Contractor | BAC Secretariat | 1 |
| Total | | 5 |

Change Order/Extra Work Order/Supplemental Agreement

| Activity | Office | Prescribed Time |
|------------------------------------|----------------------------|-----------------|
| Prepare, Check, Review and Endorse | Construction Division | 10 |
| Issue ALOBS | CFMD | 1 |
| Review and Endorse | Planning & Design Division | 4 |
| Initial | ARD | 1 |
| Recommend | RD | 1 |
| Total | | 17 |

Time Extension

| Activity | Office | Prescribed Time |
|-----------------------------|-----------------------|-----------------|
| Prepare, Review and Endorse | Construction Division | 7 |
| Recommend Approval | ARD | 1 |
| Approve | RD | 1 |
| Total | | 9 |

MOA / MOU

| Activity | Office | Prescribed Time |
|-----------------------------|-----------------------|-----------------|
| Prepare, Review and Endorse | Construction Division | 5 |
| Recommend Approval | CFMD | 2 |
| Initial | ARD | 1 |
| Approve | RD | 1 |
| Total | | 9 |

**Advance Payment / First Progress Billing /
Inter Progress Billing / Final Progress Billing**

| Activity | Office | Prescribed Time |
|------------------------------------|-----------------------|-----------------|
| Prepare, Process, Initial and Sign | Construction Division | 7 |
| Initial | ARD | 1 |
| Approve | RD | 1 |
| Prepare, Record, Review, and Sign | CFMD | 3 |
| Check and Sign Voucher | Construction Division | 1 |
| Initial | ARD | 1 |
| Approve | RD | 1 |
| Total | | 15 |

RROW Payment

| Activity | Office | Prescribed Time |
|-----------------------------|--------|-----------------|
| Process, Record and Initial | CFMD | 2 |
| Approve | RD | 1 |
| Total | | 3 |

DoTS IMPLEMENTING GUIDELINES
Regional Processing Offices

| Doer | Activity |
|--|---|
| Contractor | 1. Submit DoTS documents to the Regional DoTS Center |
| Regional DoTS Center | 2. Check completeness of documents 3. Return incomplete document to the contractor within the day. 4. Otherwise, register document into DoTS. 5. Issue a receipt to the Contractor. 6. Print the DoTS header and attach to the document. 7. Forward the document to the succeeding office. 8. Ensure that document sent was received by the succeeding processing office within the next 24 hours. |
| Processing Office / Approving Official | 9. Check for the DoTS Header. For documents with no DoTS Header, return the document to the Regional DoTS Center. 10. Check completeness of documents. 11. Return incomplete document to the office concerned within the day. 12. Otherwise, process document. 13. Forward the document to the succeeding office. 14. Ensure that document sent was received by the succeeding processing office within the next 24 hours. |
| Office of the Director | 15. Record documents with no DoTS Header. 16. Forward list of documents with no DoTS Header to the Regional DoTS Center every end of the month. |
| Regional DoTS Center | 17. Close the transaction in the DoTS upon completion of the process. |

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

As-Built Plans

- ☐ 1. Copy of the previously approved plans (Original, "As-staked", revised and other Plans supporting variation orders)
- ☐ 2. Copy of previously approved variation orders and prior clearances
- ☐ 3. Copies of Statement of Work Accomplished (SWA) and Certificate of Quality Assurance, duly signed by the proper authorities concerned
- ☐ 4. Detailed Technical Justifications for all "As-Built" items of work having changes. The limits and extent of change should be properly indicated along with the justifications.
- ☐ 5. Detailed "As-Built" Quantity Calculations
- ☐ 6. Copies of Inspection Reports (investigation/verification, QAU final completion and acceptance)
- ☐ 7. Copies of all monthly progress reports prepared by Supervision Consultant

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Detailed Engineering Plans

I. Building Projects (including Field Offices)

- ☐ 1. Architectural
 - a. Architectural Plans showing the following: site development plan with contours, technical descriptions; location plan and vicinity map; perspective; floor plans; elevations; sections; details
 - b. General Conditions of Contracts and Technical Specifications (Structural, Architectural, Electrical, Mechanical, Sanitary/Plumbing)
 - c. Bill of Quantities and detailed quantity take-off/ calculations
 - d. Copy of Terms of Reference (if prepared by consultants)
- ☐ 2. Structural
 - a. Structural Plans showing the following: complete structural details, construction notes, design criteria
 - b. Structural Design Computations (design criteria; seismic, wind and frame analysis; and design of structural members). For computerized design computations, indicate design data, complete input data, drawing of the structural model (plans, elevations), complete output data including design output
 - c. Geotechnical/Soil Investigation report/data showing plan of borehole locations, boring logs, laboratory test results
- ☐ 3. Mechanical & Electrical
 - a. Mechanical Plans showing the following: general notes; location plan; legends and symbols; schedule of equipment; complete details of air conditioning and ventilation, water pumping, fire protection, generator and elevator systems
 - b. Mechanical Design Analysis
 - c. Electrical Plans showing the following: vicinity/site development plan; location plan; lighting, power and auxiliary layouts; general notes; legends and symbols; riser diagrams; and schedule of loads and computations
 - d. Electrical Design Analysis and Illumination Levels Computation
- ☐ 4. Sanitary / Plumbing
 - a. Sanitary/Plumbing Plans showing the following: design computations; criteria; sanitary/plumbing systems layout; isometric drawings/riser diagrams of drainage, sewage and water distribution systems; sanitary/plumbing floor plans; details of septic tank/catch basin, and sewerage treatment plan
 - b. Sanitary/Plumbing Design Analysis

NOTE:

For plans prepared by consultants, a note on the Design Consultant's liability per D.O. No. 50 series of 2002 should be indicated in the cover sheet as follows:

"The Consultant, _____ (name of consulting firm) _____, shall be held fully responsible for failure of the facility due to faulty design except for the changes made without the conformity of the consultants"

(Printed Name over Signature)
Project Manager

II. Dams, Flood Control, Water Supply, Shore Protection Works and Other related Structures

- ☐ 1. Design Analysis
 - a. Hydrologic and Hydraulic Design Analysis (design discharge, scour, water surface profile, etc.) supported by topographic map showing the watershed area and points of interest
 - b. Structural stability analysis of proposed structures
 - c. Foundation stability, slope stability and seepage analysis
- ☐ 2. Geotechnical/Soil Investigation report/data showing plan of borehole locations, boring logs and laboratory test results
- ☐ 3. Detailed Quantity Calculations
- ☐ 4. Copy of Terms of Reference (if prepared by consultants)

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

NOTE:

1. The plans should show but not limited to the following:

- a. Location Plan showing all proposed works and existing structures
- b. Schematic Diagram (for water supply)
- c. Vicinity Map
- d. Legends and Symbols
- e. Abbreviations
- f. General Notes including design criteria and Specifications
- g. Soil boring logs and location of boreholes
- h. Profile along both banks and channel centerline; cross-sections indicating the proposed structures; maximum experienced flood level, ordinary water level and design water level
- i. Typical sections with complete details of proposed works
- j. Tabulated summary of quantities
- k. Complete related electrical & mechanical plans/works

2. For plans prepared by consultants, a note on the Design Consultant's liability per D.O. No. 50 series of 2002, should be indicated in the cover sheet as follows:

"The Consultant, _____ (name of consulting firm) _____, shall be held fully responsible for failure of the facility due to faulty design except for the changes made without the conformity of the consultants"

(Printed Name over Signature)

Project Manager

III. Highway Projects

- ☐ 1. Detailed Quantity Calculations
- ☐ 2. Design Analysis
 - a. Traffic and pavement analysis
 - b. Drainage Design Analysis (supported by topographic map showing the watershed areas and points of interest)
 - c. Slope stability analysis of embankment and cut slopes
 - d. Structural stability analysis of slope protection/retaining structures
- ☐ 3. Geotechnical/Soil Investigation report/data showing plan of borehole locations, boring logs and laboratory test results
- ☐ 4. Copy of Terms of Reference (if prepared by consultants)

NOTE:

1. The plans should show but not limited to the following:

- a. General Plans showing the following: location plan; vicinity map; legend and symbols; abbreviations; summary of quantities and general notes including design criteria
- b. Standard details (geometric design; typical roadway sections and pavement)
- c. Plan, profile, cross sections and contour lines
- d. Standard drawings (drainage structures and appurtenances; typical intersection details; pavement markings; road signs; guardrails and slope protection works)
- e. Miscellaneous drawings/details (tabulation of bench marks and reference points; drainage schedule; map/location of material sources and boreholes located by stations along the road and at borrow areas; slope protection schedule; road signs and guardrail schedule)
- f. Complete roadway lighting plans/works (street lightings & traffic signals layout; general notes, legends and symbols; one-line diagram; standard details; schedule of loads and computations; design analysis & specifications)

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

- 2. For plans prepared by consultants, a note on the Design Consultant's liability per D.O. No. 50 series of 2002, should be indicated in the cover sheet as follows:**

"The Consultant, ____ (name of consulting firm) ____, shall be held fully responsible for failure of the facility due to faulty design except for the changes made without the conformity of the consultants"

(Printed Name over Signature)

Project Manager

IV. Bridge Projects

- ☐ 1. Technical Study of Alternative Types of Structures
- ☐ 2. Detailed quantity calculations
- ☐ 3. Design analysis
 - a. Structural Analysis
 - b. Hydrologic and hydraulic analysis (design discharge, scour, water surface profile, etc.) supported by topographic map showing the watershed area and point of interest
- ☐ 4. Geotechnical/Soil Report/data showing plan of borehole locations, boring logs and laboratory test results
- ☐ 5. Copy of Terms of Reference (if prepared by consultants)

NOTE:**1. The plans should show but not limited to the following:**

- a. General Plan and Elevation
- b. Location Plan and vicinity map showing existing structures and utility lines that may be affected
- c. General Notes (design criteria and material/construction specifications)
- d. Details of piers, abutments and superstructure
- e. Details of detour, crane way and cofferdams, if any
- f. Details of abutment and pier protection works including bridge approach protection works
- g. Soil boring logs and location of boreholes
- h. Complete bridge lighting plans/works (street lighting layout; legends & symbols; one-line diagram; standard details; schedule of loads and computations; design analysis and specifications)
- i. Construction sequence/methodology and traffic management during construction

- 2. For plans prepared by consultants, a note on the Design Consultant's liability per D.O. No. 50 series of 2002, should be indicated in the cover sheet as follows:**

"The Consultant, ____ (name of consulting firm) ____, shall be held fully responsible for failure of the facility due to faulty design except for the changes made without the conformity of the consultants"

(Printed Name over Signature)

Project Manager

V. Parcellary Survey Plans

- ☐ 1. Subdivision/Individual Lot Plans
- ☐ 2. Land Titles (Certified true copies of OCT/TCT)
- ☐ 3. Tax Declaration (for the past 5 years)
- ☐ 4. Copy of Terms of Reference (if prepared by consultants)

- a. Cover Sheet
- b. Legend, General Notes, Location Map/Vicinity Map
- c. Name of Geodetic Engineer, PRC License Number, Date of Issue, PTR No. and Date of Issue on the Title Blocks
- d. Index Map
- e. North Arrow Direction
- f. Tabulation of:
 - i. Lot Number (classification of lot)
 - ii. Survey Number (PSD/PCS)
 - iii. Structure Number
 - iv. Names of Owners/claimants
 - v. Structure Type (house, tree, fence, etc)
 - vi. Area of Structure
 - vii. Name of Barangays, Municipalities, Province, Island, etc.
 - viii. Remarks
- g. Description/Location of Reference Monuments/stations (BLLM, BBM, etc)
- h. Grid Coordinates based on PPCS

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

2. For plans prepared by consultants, a note on the Design Consultant's liability per D.O. No. 50 series of 2002, should be indicated in the cover sheet as follows:

SURVEY WAIVER

"The review and approval of these survey plans by DPWH do not relieve the Design Consultant(s), _____ {name of consulting firm} _____, from responsibility for the accuracy of the survey works of the road alignment and affected properties"

(Printed Name over Signature)

Project Manager

I hereby certify that the above
supporting documents are complete

Print Name: _____

Designation: _____

Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DOTS

- ☐ 1. Detailed Quantity Calculations
- ☐ 2. Detailed Technical Justifications for the changes in the original plans
- ☐ 3. Copy of Complete Set of the Approved Original Plans
- ☐ 4. Complete Design Analysis for the changes in the original design

NOTE :

1. **As-staked plans should be based on as-stake survey. The plans may show only the changes in the approved original/detailed engineering plan. The sheets of the original plans which have no changes shall be reproduced, signed by the contractor and construction supervision consultant and attached as part of the complete set of the as-staked plans. The original plan/layout, ground profile and/or ground cross-sections that have changes should be superimposed in broken lines on the as-staked plans.**
2. **For plans prepared by consultants, a note on the Consultant's liability per D.O. No. 50 series of 2002, should be indicated in the cover sheet as follows:**

"The Consultant, _____ (name of consulting firm) _____, shall be held fully responsible for failure of the facility due to faulty design except for the changes made without the conformity of the consultants"

(Printed Name over Signature)

Project Manager

I hereby certify that the above supporting documents are complete

Print Name: _____

Designation: _____

Date:

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Specifications

I. Review and Approval of Specification For Special Item of Works (SPL)

- ☐ 1. Memorandum/letter of request from the implementing office
- ☐ 2. Draft of proposed specification/s
- ☐ 3. References related to the request
 - a. Brochures
 - b. Journals/literature
 - c. Preliminary draft of standard specification
 - d. Test Results
 - e. Analysis and justifications (if any/available)
- ☐ 4. Samples of proposed material/product, if available

II. Formulation of New Standard/Specification

- ☐ 1. Memorandum/letter of request from concerned office indicating kind/type of Standard Specification
- ☐ 2. References
 - a. Brochures
 - b. Journals/literature
 - c. Reports (if any/available)
 - d. Standard Specifications
 - e. Test Results
 - f. Analysis and justifications (if any/available)
- ☐ 3. Samples of proposed material/product, if available

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Approved Budget for Contract (ABC)

- ☐ 1. Executive Summary
- ☐ 2. Detailed Estimates with Unit Price Analysis
 - a. Canvassed Price and/or derivation of Cost of Materials delivered at site
 - b. Construction Methodology
- ☐ 3. Approved Plans including Quantity Take-off
- ☐ 4. Computation of the Estimated Project Duration
- ☐ 5. Proposal Booklet including Bill of Quantities

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Program of Work

- ☐ 1. Executive Summary
- ☐ 2. Detailed Unit Price Analysis
 - a. Canvassed Price and/or derivation of Cost of Materials delivered at site
 - b. Construction Methodology
- ☐ 3. Approved Plans including Quantity Take-off
- ☐ 4. Computation of the Estimated Project Duration
- ☐ 5. Project Justification
- ☐ 6. Source of Funds
- ☐ 7. Status of Road-Right-of-Way

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Page 11 of 31

PQ Resolution

- ☐ 1. Executive Summary
- ☐ 2. Resolution of Pre-qualification by the Bids and Awards Committee (BAC)
- ☐ 3. Pre-qualification Evaluation Report

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Resolution of Award

- ☐ 1. Executive Summary
- ☐ 2. Resolution of Pre-qualification by the Bids and Awards Committee (BAC)
- ☐ 3. Bid Evaluation and Post Qualification Report

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Contract

- ☐ 1. Executive Summary
- ☐ 2. Forwarding memorandum from the Implementing Office for the Honorable Secretary (for consideration and approval for the proposed contract Agreement)
- ☐ 3. Funding Source (approved Obligation Request (ObR)/Certificate of Availability of Funds or Certification from the Director, Planning Service)
- ☐ 4. Performance Security (duly verified by SAC)
- ☐ 5. Credit Line/Cash Deposit Certificate (duly verified by SAC)
- ☐ 6. Contractors' All Risk Insurance (CARI), duly verified by SAC
- ☐ 7. Construction Schedule (PERT/CPM Diagram, Bar Chart with S-Curve and Cash Flow), Equipment and Manpower Utilization Schedule
- ☐ 8. Concurrence of the Lending Institution (for Foreign Assisted Projects)
- ☐ 9. Notice of Award with Contractor's Conforme
- ☐ 10. Bid Evaluation/Bid Evaluation Report
- ☐ 11. BAC Resolution Recommending Award of Contract
- ☐ 12. Abstract of Bids
- ☐ 13. Contractor's Bid Proposal
- ☐ 14. Advertisement/Invitation
 - Local – Invitation to Prequalify for Eligibility and to Bid including Certification of Website Postings/Posted on Conspicuous place reserved for the purpose as required per Section 21.2 of the IRR-A of R.A. 9184 certified by the BAC Secretariat
 - International – Foreign Newspaper Clippings or Letter of Invitation to Foreign Embassy
- ☐ 15. Approved budget for the Contract (ABC), POW and Detailed Estimates
- ☐ 16. Conditions of Contract/Specifications/Instruction to Bidders
- ☐ 17. Approved Plans/Construction Drawings
- ☐ 18. Contractor's PCAB License/Special PCAB License (for JV) including Joint Venture Agreement
- ☐ 19. Authority of Signing Official/Board Resolution/Secretary's Certificate
- ☐ 20. Addenda
- ☐ 21. Latest income tax and business tax returns duly stamped and received by the BIR and duly validated with the tax payments made thereon. Tax Clearance from the BIR to prove full and timely payment of taxes.
- ☐ 22. Certification under oath stating that the Contractor is free and clean of all tax liabilities to the Government.
- ☐ 23. Construction and Safety Health Program.
- ☐ 24. One set certified true copy of all the documents submitted for accounting's copy.

NOTE:

1. Clause in the Proposed Contract that the Contractor shall pay taxes in full and on time and that failure to do so will entitle the Government to suspend payment for the services delivered by the private contracting party.

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Pre-Clearance

- ☐ 1. Executive Summary
- ☐ 2. Memorandum of the concerned Project Director requesting for prior clearance/
authority with justification(s).
- ☐ 3. Pre-investment Clearance
- ☐ 4. Project Profile
- ☐ 5. Implementation Schedule
- ☐ 6. Copy of Original Contract
- ☐ 7. Copy of previously approved Variation Orders, if any

I hereby certify that the above
supporting documents are complete

Print Name: _____

Designation: _____

Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS**Variation Orders (C.O./E.W.O./Final)**

- ☐ 1. Executive Summary
- ☐ 2. Duly signed/approved plans for the proposed changes
- ☐ 3. Design Analysis & Computations for the proposed changes
- ☐ 4. Copy of the Complete set of the approved plans (As-staked, Original, Revised and As-built)
- ☐ 5. Copy of approved clearance/authority to issue the proposed variation order
- ☐ 6. Detailed Technical Justifications and legal basis for the proposed changes (prepared by consultant or implementing office)
- ☐ 7. Comments/recommendations of DPWH officials (Regional Director, Project Director/Manager) and Project Consultants concerned
- ☐ 8. Copy of approved contract and previously approved variation order(s)
- ☐ 9. Detailed Quantity Calculations
- ☐ 10. Where substitution of original specified materials is involved, the following requirements shall be submitted:
 - a. Certification on the non-availability of the specified materials by 3 leading Manufacturers or suppliers
 - b. Technical specifications of the original and substitute materials
 - c. Design computations for the substitute material
 - d. Cost Estimate
- ☐ 11. Contractor's Request
- ☐ 12. Project Engineer's Report/Consultant Resident Engineer Report
- ☐ 13. Itemized Cost of Revision
- ☐ 14. Straight-line Diagram showing the proposed works
- ☐ 15. Derivation of Time Extension for the proposed Variation Order (C.O./E.W.O.)
- ☐ 16. Complete Contractual Data with Project Status Report
- ☐ 17. Detailed Unit Cost Analysis for new items of work.
 - a. Detailed Estimate of items of work under the original contract or previous approved V.O.
 - b. Canvass Price and/or Derivation of Materials Cost delivered at site
 - c. Construction Methodology (for items of work which are highly technical or unusual)
- ☐ 18. Approved Price Adjustment/Escalation (if there's any)
- ☐ 19. Obligation Request (ObR)/Certificate of Availability of Funds (CAF)
- ☐ 20. Copy of previously approved Time Extension (if there's any)
- ☐ 21. If with additional cost, Performance Security (duly verified by SAC)
- ☐ 22. Latest income tax and business tax returns duly stamped and received by the BIR and duly validated with the tax payments made thereon. Tax Clearance from the BIR to prove full and timely payments of taxes.
- ☐ 23. Certification under oath stating that the Contractor is free and clean of all Tax Liabilities to the Government.
- ☐ 24. One set certified true copy of all the documents submitted for accounting's copy.

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS**Supplemental Agreement**

- ☐ 1. Executive Summary
- ☐ 2. Duly signed/approved plans for the proposed changes
- ☐ 3. Design Analysis & Computations for the proposed changes
- ☐ 4. Copy of the Complete set of the approved plans (As-staked, Original, Revised and As-built)
- ☐ 5. Copy of approved clearance/authority to issue the proposed Supplemental Agreement
- ☐ 6. Detailed Technical Justifications and legal basis for the proposed changes (prepared by consultant or implementing office)
- ☐ 7. Comments/recommendations of DPWH officials (Regional Director, Project Director/Manager) and Project Consultants concerned
- ☐ 8. Copy of approved contract and previously approved Variation Order(s)/Supplemental Agreement
- ☐ 9. Detailed Quantity Calculations
- ☐ 10. Where substitution of original specified materials is involved, the following requirements shall be submitted:
 - a. Certification on the non-availability of the specified materials by 3 leading Manufacturers or suppliers
 - b. Technical specifications of the original and substitute materials
 - c. Design computations for the substitute material
 - d. Cost Estimate
- ☐ 11. Additional Performance Bond (for additional cost)
- ☐ 12. Contractor's Request
- ☐ 13. Project Engineer's Report/Consultant Resident Engineer Report
- ☐ 14. Itemized Cost of Revision
- ☐ 15. Straight Line Diagram showing the Items of Work covered by Supplemental Agreement
- ☐ 16. Detailed Unit Cost Analysis for new items of work
 - a. Detailed Estimate of items of work under the original contract or previous approved Supplemental Agreement
 - b. Canvass Price and/or Derivation of Materials Cost delivered at site
 - c. Construction Methodology (for items of work which are highly technical or unusual)
- ☐ 17. Derivation of Time Extension for the proposed Supplemental Agreement (if there's any)
- ☐ 18. Complete Contractual Data with latest Project Status Report
- ☐ 19. Approved Price Adjustments/Escalation (if there's any)
- ☐ 20. Obligation Request (ObR)/Certificate of Availability of Funds (CAF)
- ☐ 21. Copy of Previously Approved Time Extensions (if there's any)
- ☐ 22. Performance Security (duly approved by SAC)
- ☐ 23. Latest income tax and business tax returns duly stamped and received by the BIR and duly validated with the tax payments made thereon. Tax Clearance from the BIR to prove full and timely payment of taxes
- ☐ 24. Certification under oath stating that the Contractor is free and clean of all tax liabilities to the Government.
- ☐ 25. One set certified true copy of all the documents submitted for accounting's copy.

I hereby certify that the above
supporting documents are complete

Print Name: _____

Designation: _____

Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS**Negotiated Contract Procurement**

- ☐ 1. Executive Summary
- ☐ 2. Approved Clearance/Authority to Enter Into Negotiated Contract Procurement.
 - a. Failure of Public Bidding (2nd time) pursuant to Section 53(a) of IRR-A of R.A. 9184
 - i. BAC resolution citing that there has been a failure of bidding for the second time as provided under Section 35 of R.A. 9184 and IRR-A.
 - ii. Invitation to the contractor to enter into Negotiated Procurement
 - iii. Contractor's Bid Proposal/Detailed Estimates/Bid Unit Price Analysis
 - iv. Abstract of Bids
 - v. Bid Evaluation/Bid Evaluation Report
 - vi. BAC Resolution Recommending Award of Contract
 - vii. Notice of Award with Contractor's Conforme
- ☐ 3. Copy of approved Plans/Drawings with specifications
- ☐ 4. Condition of Contract
- ☐ 5. Performance Security (duly verified by SAC)
- ☐ 6. Credit Line Certificate (duly verified by SAC)
- ☐ 7. Contractor's All Risk Insurance (CARI, duly verified by SAC)
- ☐ 8. Construction Schedule/PERT-CPM Diagram, Cash Flow, Equipment and Manpower Utilization Schedule
- ☐ 9. Valid Contractor's PCAB License
- ☐ 10. Approved Budget for the Contract (ABC)
- ☐ 11. Approved Program of Work, Detailed Estimates and Unit Price Analysis.
- ☐ 12. Source of Funds (Obligation Request (ObR) / Certificate of Availability of Funds)
- ☐ 13. Latest income tax and business tax returns duly stamped and received by the BIR and duly validated with the tax payments made thereon. Tax clearance from the BIR to prove full and timely payments of taxes.
- ☐ 14. Certification under oath stating that the Contractor is free and clean of all tax liabilities to the Government.
- ☐ 15. Construction and Safety Health Program
- ☐ 16. One set certified true copy of all the documents submitted for accounting's copy.

NOTE:

In the proposed Contract, the Contractor shall pay taxes in full and on time and that failure to do so will entitle the government to suspend payment for services delivered by the private contracting party.
All photocopies of the documents should be authenticated.

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS**Negotiated Contract Procurement**

- ☐ 1. Executive Summary
- ☐ 2. Approved Clearance/Authority to Enter Into Negotiated Contract Procurement.
 - b. In case of imminent danger to life, property during a state of calamity/or when time is of the essence/etc., pursuant to Section 53(b) of the IRR-A of R.A. 9184
 - i. Reason/justification/certification that the conditions cited under Section 53(b) are satisfied
 - ii. Pictures/Photographs (with captions, size 3R min.)
 - iii. Invitation to the contractor to enter into Negotiated Procurement (at least three (3) eligible contractors pursuant to Section 54.2(b) or negotiation with a previous contractor of good standing pursuant to Section 54.2(d)
 - iv. Contractor/s Bid Proposal, Detailed Estimates and Bid Unit Price Analysis
 - v. Abstract of Bids (if applicable)
 - vi. Bid Evaluation/Bid Evaluation Report (if applicable)
 - vii. BAC Resolution Recommending Award of Contract
 - viii. Notice of Award with Contractor's Conformance
- ☐ 3. Copy of approved Plans/Drawings with specifications
- ☐ 4. Condition of Contract
- ☐ 5. Performance Security (duly verified by SAC)
- ☐ 6. Credit Line Certificate (duly verified by SAC)
- ☐ 7. Contractor's All Risk Insurance (CARI, duly verified by SAC)
- ☐ 8. Construction Schedule/PERT-CPM Diagram, Cash Flow, Equipment and Manpower Utilization Schedule
- ☐ 9. Valid Contractor's PCAB License
- ☐ 10. Approved Budget for the Contract (ABC)
- ☐ 11. Approved Program of Work, Detailed Estimates and Unit Price Analysis.
- ☐ 12. Source of Funds (Obligation Request (ObR) / Certificate of Availability of Funds)
- ☐ 13. Latest income tax and business tax returns duly stamped and received by the BIR and duly validated with the tax payments made thereon. Tax clearance from the BIR to prove full and timely payments of taxes.
- ☐ 14. Certification under oath stating that the Contractor is free and clean of all tax liabilities to the Government.
- ☐ 15. Construction and Safety Health Program
- ☐ 16. One set certified true copy of all the documents submitted for accounting's copy.

NOTE:

In the proposed Contract, the Contractor shall pay taxes in full and on time and that failure to do so will entitle the government to suspend payment for services delivered by the private contracting party.
All photocopies of the documents should be authenticated.

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supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Negotiated Contract Procurement

- ☐ 1. Executive Summary
- ☐ 2. Approved Clearance/Authority to Enter Into Negotiated Contract Procurement.
 - c. Take over of contracts which have been terminated/rescinded pursuant to Section 53© of the IRR-A of R.A. 9184
 - i. Copy of approved Termination/Rescission Order
 - ii. Copy of approved Inventory Report of the Project
 - iii. Invitation to the Contractor to enter into Negotiated Procurement (starting with the 2nd/3rd lowest calculated bidder for the project under consideration at the bidder's original bid price or invitation of at least three (3) eligible contractors pursuant to Section 54.2(e)
 - iv. Contractor/s Bid Proposal, Detailed Estimates and Bid Unit Price Analysis
 - v. Abstract of Bids (if applicable)
 - vi. Bid Evaluation/Bid Evaluation Report (if applicable)
 - vii. BAC Resolution Recommending Award of Contract
 - viii. Notice of Award with Contractor's Conforme
- ☐ 3. Copy of approved Plans/Drawings with specifications
- ☐ 4. Condition of Contract
- ☐ 5. Performance Security (duly verified by SAC)
- ☐ 6. Credit Line Certificate (duly verified by SAC)
- ☐ 7. Contractor's All Risk Insurance (CARI, duly verified by SAC)
- ☐ 8. Construction Schedule/PERT-CPM Diagram, Cash Flow, Equipment and Manpower Utilization Schedule
- ☐ 9. Valid Contractor's PCAB License
- ☐ 10. Approved Budget for the Contract (ABC)
- ☐ 11. Approved Program of Work, Detailed Estimates and Unit Price Analysis.
- ☐ 12. Source of Funds (Obligation Request (ObR) / Certificate of Availability of Funds)
- ☐ 13. Latest income tax and business tax returns duly stamped and received by the BIR and duly validated with the tax payments made thereon. Tax clearance from the BIR to prove full and timely payments of taxes.
- ☐ 14. Certification under oath stating that the Contractor is free and clean of all tax liabilities to the Government.
- ☐ 15. Construction and Safety Health Program
- ☐ 16. One set certified true copy of all the documents submitted for accounting's copy.

NOTE:

- 1. In the proposed Contract, the Contractor shall pay taxes in full and on time and that failure to do so will entitle the government to suspend payment for services delivered by the private contracting party.
- 2. All photocopies of the documents should be authenticated.

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Negotiated Contract Procurement

- ☐ 1. Executive Summary
- ☐ 2. Approved Clearance/Authority to Enter Into Negotiated Contract Procurement.
 - d. Where the subject contract is adjacent or contiguous to an on-going infrastructure project pursuant to Section 53(d) of the IRR-A of R.A. 9184
 - i. BAC Resolution Recommending Award of Contract
 - ii. Letter offer of the Implementing Office and/or the contractor to enter into Negotiated Procurement (stating the specific date when the negotiation started)
 - iii. Certification that: (i) the subject contract to be negotiated has similar or related scope of work; (ii) the contractor will use similar unit prices for the items of work involved as in the original contract less mobilization cost; (iii) the contractor has not incurred a negative slippage in the on-going (original) contract; (iv) the amount involved does not exceed the amount of the original contract and (v) the subject contract is within the contracting capacity of the contractor.
 - iv. Color coded Diagram showing the proposed project location/items of work involved and the on-going (original) portion of the project.
 - v. Copy of the approved Original Contract, Detailed Estimates and Bid Unit Price Analysis
 - vi. Contractual Data (to include the latest Physical Status of the project, such as scheduled accomplishment, actual accomplishments & slippage, approved variation orders and time extensions, if there's any)
- ☐ 3. Copy of approved Plans/Drawings with specifications
- ☐ 4. Condition of Contract
- ☐ 5. Performance Security (duly verified by SAC)
- ☐ 6. Credit Line Certificate (duly verified by SAC)
- ☐ 7. Contractor's All Risk Insurance (CARI, duly verified by SAC)
- ☐ 8. Construction Schedule/PERT-CPM Diagram, Cash Flow, Equipment and Manpower Utilization Schedule
- ☐ 9. Valid Contractor's PCAB License
- ☐ 10. Approved Budget for the Contract (ABC)
- ☐ 11. Approved Program of Work, Detailed Estimates and Unit Price Analysis.
- ☐ 12. Source of Funds (Obligation Request (ObR) / Certificate of Availability of Funds)
- ☐ 13. Latest income tax and business tax returns duly stamped and received by the BIR and duly validated with the tax payments made thereon. Tax clearance from the BIR to prove full and timely payments of taxes.
- ☐ 14. Certification under oath stating that the Contractor is free and clean of all tax liabilities to the Government.
- ☐ 15. Construction and Safety Health Program
- ☐ 16. One set certified true copy of all the documents submitted for accounting's copy.

NOTE:

- 1. In the proposed Contract, the Contractor shall pay taxes in full and on time and that failure to do so will entitle the government to suspend payment for services delivered by the private contracting party.
- 2. All photocopies of the documents should be authenticated.

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS**Contract Time Extension/Suspension**

- ☐ 1. Executive Summary
- ☐ 2. Letter request for Contract Time Extension for the Contractor
- ☐ 3. Project Engineers Report/Consultant Resident Engineers Report relative to the request for contract time extension/suspension;
- ☐ 4. Evaluation/Recommendation with justification from the Implementing Office/Consultant with attached summary/computation of the requested time extension including the respective period covered and specific date of occurrence (standard format);
- ☐ 5. Complete Contractual Data
- ☐ 6. Approved Suspension and Resume Orders
- ☐ 7. Straight Line Diagram showing the critical activities affected
- ☐ 8. Straight Line Diagram; showing the contract effectivity, contract expiry and other vital dates of the project such as perviously approved time suspension/extensions and variation orders etc.
- ☐ 9. Copy of the Previously Approved Time Extensions and Variation Orders with Time Extension; (if any)
- ☐ 10. Copy of Original Contract
- ☐ 11. Copy of latest approved PERT/CPM Network Diagram Bar Chart prior to the request for contract time suspension/extension
- ☐ 12. Sworn Contractor's Quit Claim
- ☐ 13. Conformity of Contractor's Bondsman

Additional supporting documents for specific conditions:

- ☐ 14. Due to Rainy/Unworkable Days considered unfavorable for the prosecution of the works at the site:
 - a. Certification/Monthly Weather Report from PAGASA
 - b. Pictures/Photographs showing that the site is unworkable
 - c. Project Weather Chart duly signed by the Resident Engineer
 - d. Approved Monthly Suspension Report
 - e. Project Logbook (optional)
 - f. Breakdown of Pre-determined rainy/unworkable days as provided in the approved original contract
 - g. Summary of Previously Approved Time Extension(s) with the corresponding inclusive dates (if there's any)
 - h. Certification from the Implementing Office/Consultant stating the balance of pre-determined rainy/unworkable days as provided in the approved original contract or same has already been exhausted.
- ☐ 15. Due to Delay in the payment of Contractor's Claim for Progress Billing/s
 - a. Written Notice from the Contractor informing the Implementing Office/ Consultant to suspend work operation due to the delay in the payment of Progress Billing
 - b. Contractor's Order to Suspend Work
 - c. Monthly Accomplishment Report
 - d. Transmittal Letter from the Implementing Office/Consultant submitting the Progress Billing(s)/ Voucher complete with the required documents to the Accounting Division for appropriate action.
 - e. Certified Copy of Vouchers/Progress Billings
 - f. Certification from the Accounting Division of payments made for the Progress Billing(s) was received
 - g. Billing Summary/Computation of Allowable Time Extension in the standard format.
 - h. Summary of Previously Approved Time Extension(s) with the corresponding inclusive dates (if there's any)

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

- ☐ 16. Due to Road Right-of-Way Problem
 - a. Pictures/Photographs of the site with RROW problem
 - b. Certified copy of payments/vouchers for RROW acquisition
 - c. Certified copy of Permit to Enter
 - d. Copy of approved Parcellary Survey showing the affected lots and improvements viz a viz the affected works.
 - e. Summary of Previously Approved Time Extension(s) with the corresponding inclusive dates (if there's any)
- ☐ 17. Due to Peace and Order Condition
 - a. Certification from the PNP concerned and confirmed by the DILG regarding the peace and order condition in the area and inclusive periods
 - b. Summary of Previously Approved Time Extension(s) with the corresponding inclusive dates (if there's any)
- ☐ 18. Due to Inaccessibility to Project
 - a. Pictures/Photographs showing that the project site is inaccessible
 - b. Verified Reports of the Implementing Office
 - c. Location plans showing the project site and its inaccessibility to the existing road network
- ☐ 19. Due to Obstruction
 - a. Exhibit Photos of obstructions/MWSS/PLDT/MERALCO Facilities
 - b. Information on the inclusive dates project was affected and what activities were affected
 - c. Straight Line Diagram showing the location of the obstruction in relation to the project
 - d. Relevant documents such as permit issued, communication, minutes of the meeting
- ☐ 20. Due to failure of the government to provide necessary construction plans and/or drawings
 - a. Certification from the Implementing Office that construction plan and/or drawings were not provided on time.
 - b. Photos showing effect of the absence of construction plan and/or drawings.
 - c. Justification/Explanation from the Implementing Office/Consultant for failure to provide the necessary Construction Plans
- ☐ 21. Due to non-availability of construction materials
 - a. Certification from the Implementing Office that non-availability of Construction Materials has occurred.
 - b. Photos showing effect of the non-availability of Construction Materials
 - c. Certification from DTI and the suppliers that the required materials specified in the plans and/or substitute materials are not available in the market
- ☐ 22. Due to effect of Force Majeure
 - a. Certification from Implementing Office that force majeure have occurred
 - b. Photos showing effect of the force majeure on the project
 - c. Narrative account of force majeure with complete attachment

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

PERT/CPM

- ☐ 1. Executive Summary
- ☐ 2. Proposed Revised Schedule (PERT/CPM, Bar Chart with S-Curve)
- ☐ 3. Monthly Equipment and Manpower Utilization Schedule
- ☐ 4. Copy of the previously approved Construction Schedule together with the Monthly Equipment and Manpower Utilization Schedule
- ☐ 5. Copy of Approved Original Contract
- ☐ 6. Copy of Notice to Proceed
- ☐ 7. Copy of Approved Variation Orders
- ☐ 8. Detailed Justification/Explanation of the changes made in the proposed Revised Construction Schedule compared with the previously approved schedule.

I hereby certify that the above
supporting documents are complete

Print Name: _____

Designation: _____

Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

MOA / MOU

- ☐ 1. Executive Summary
- ☐ 2. Letter Request of the concerned Official
 - a. Regional Director/District Engineer
 - b. Proponent (Senator/Congressman/LGU)
 - c. AFP
 - d. Other government Agency
- ☐ 3. Source of Funds
- ☐ 4. Indorsement of concerned Official of the DPWH
- ☐ 5. Draft MOA
- ☐ 6. Result of the Evaluation of Capability of the LGU to implement DPWH Infrastructure Projects per criteria prescribed under DO#137-A, to be submitted by the District Engineer and approved by the Regional Director
- ☐ 7. Signatories of the proposed MOA shall submit authority to enter into MOA (Board Resolution) from the concerned Board of Director's/Sangguniang Pambayan, Panglungsod and Panlalawigan
- ☐ 8. Clearance from the President (for project costing more than P20.0 Million)
- ☐ 9. Certification that the LGU has no unliquidated cash advance from DPWH

I hereby certify that the above supporting documents are complete

Print Name: _____

Designation: _____

Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTs

Page 25 of 31

IROW Payment

I. Payment of Lots

A. Negotiated Payment

- ☐ 1. Obligation Request (ObR) signed by Budget Officer.
- ☐ 2. Approved Deed of Absolute Sale with attached signed valid IDs of registered owners.
- ☐ 3. Approved Resolution for Payment of Claim by the Central/PMO/Regional IROW Committee (per D.O. No. 34 Series of 2007 and per D.M.C.#1 dated January 06, 2009 re Central IROW Committee Resolution No. 2008-001) or the IROW Task Force (per Memorandum of the Secretary dated June 17, 2005) or Certification approved by the Head of Office with reference to D.O. 26 S2008.
- ☐ 4. Original Certificate of Title (OCT)/Transfer Certificate of Title (TCT) duly authenticated by the Registry of Deeds
 - ☐ 4.1 with annotation of Special Power of Attorney (SPA) when owner is represented by its agent or board resolution or board secretary's certificate when the owner is a corporation.
 - ☐ 4.2 if owner is deceased, annotation of the Extra Judicial Settlement, Notice of Publication and SPA of the Heirs
 - ☐ 4.3 OCT or TCT already in the name of RP if land is totally affected, if land is partially affected, annotation of the sale at the back of title.
- ☐ 5. Parcellary Plan approved by DPWH (showing location of property affected).
- ☐ 6. Subdivision Plan/Technical Description of the Affected lot signed by the Head of IO or Consultant.
- ☐ 7. Titled Lot -Tax clearance for the last 6 years (Untitled Lot - The tax declaration shall be tracked back for at least 30 yrs from the date of the filing of claim or from the time the property was taken whichever comes earlier, to show that the claimant is in continuous, open, uninterrupted and notorious possession in the concept of an owner).
- ☐ 8. Tax Declaration issued by the Assessor.
- ☐ 9. BIR Zonal Value.
(Please refer to the Central IROW Committee Resolution No. 2008-001 for the policy/procedure on the acquired/acquisition of property earlier than February 9, 2001).
- ☐ 10. Letter of Transmittal to COA submitting pertinent documents.
- ☐ 11. One set certified true copy of all the documents submitted for accounting's copy.

B. Expropriation

- ☐ 1. Obligation Request (ObR) signed by Budget Officer.
- ☐ 2. Complaint.
- ☐ 3. TCT/OCT.
- ☐ 4. Tax Declaration.
- ☐ 5. Tax Clearance.
- ☐ 6. Parcellary Plan approved by DPWH (showing location of property affected).
- ☐ 7. Certification of the affected area.
- ☐ 8. BIR Zonal Value.
(Please refer to the Central IROW Committee Resolution No. 2008-001 for the policy/procedure on the acquired/acquisition of property earlier than February 9, 2001).
- ☐ 9. For Initial Payment, Court Order.
- ☐ 10. For Just Compensation, Court Order(Final and Executory).
- ☐ 11. One set certified true copy of all the documents submitted for accounting's copy.

II. Payment of Improvements

A. Negotiated Payment

- ☐ 1. Obligation Request (ObR) signed by Budget Officer.
- ☐ 2. Approved Agreement to Demolish and Remove Improvement (ADRI) with attached signed valid IDs of registered owners.
- ☐ 3. Approved Resolution for Payment of Claim by the Central/PMO/Regional IROW Committee (per D.O. No. 34 Series of 2007 and per D.M.C.#1 dated January 06, 2009 re Central IROW Committee Resolution No. 2008-001) or the IROW Task Force (per Memorandum of the Secretary dated June 17, 2005) or Certification approved by the Head of Office with reference to D.O. 26 S2008.
- ☐ 4. Certification of the District Engineer(locally funded Proj)/Project Engineer or Director(Foreign Funded) that the affected properties are within the construction limits or ROW limits(as per instruction at the time of survey).
- ☐ 5. Parcellary Plan approved by DPWH (showing location of property affected).
- ☐ 6. Structural Mapping and Bill of Materials/Price Index/Replacement Cost estimates of the affected property approved by the head of IO.
- ☐ 7. Pictures before demolition/removal for the first partial payment.
 - ☐ 7.1 Waiver on the proceeds of the improvement by the lot owner, if the owner of the improvement is different from the owner of the affected lot.
 - ☐ 7.2 Corresponding TCT and Tax Declaration of the affected lot where the improvement is built.

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Page 26 of 31

- ☐ 8. Pictures of on-going and total demolition/removal for final payment.
- ☐ 9. Certificate of total demolition/removal.
- ☐ 10. Real Estate Tax declaration[For improvements not included in the Tax declaration - Section 11 of EO. valuation shall be based on physical inventory report prepared and certified by the representatives of the DPWH, the Commission on Audit and the claimant, and must be supported by an affidavit of two (2) adjoining land owners or barangay officials attesting to or substantiating the ownership of affected improvements].
- ☐ 11. Special Power of Attorney: if owner is represented by an Attorney in fact or Board Resolution or Board Secretary's Certificate when owner is a corporation.
- ☐ 12. Letter of Transmittal to COA for all pertinent documents.
- ☐ 13. One set certified true copy of all the documents submitted for accounting's copy.

B. Expropriation

- ☐ 1. Obligation Request (ObR) signed by Budget Officer.
- ☐ 2. Complaint.
- ☐ 3. Tax Declaration.
- ☐ 4. Certificate of Affected Area.
- ☐ 5. Replacement Cost Summary.
- ☐ 6. Lot Title.
- ☐ 7. Parcellary Plan approved by DPWH (showing location of property affected).
- ☐ 8. Structural Mapping and Bill of Materials/Price Index/Replacement Cost estimates of the affected property approved by the head of IO.
- ☐ 9. Pictures of demolition/removal.
- ☐ 10. Certificate of total demolition/removal.
- ☐ 11. For Initial Payment, Court Order.
- ☐ 12. For Just Compensation, Court Order(Final and Executory).
- ☐ 13. One set certified true copy of all the documents submitted for accounting's copy.

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Advance Payment

I. To be prepared by Implementing Office

- ☐ 1. Original Copy of Obligation Request (ObR)
- ☐ 2. Background Information / Executive Summary
- ☐ 3. Billing Summary
- ☐ 4. Disbursement Voucher
- ☐ 5. One set certified true copy of all the documents submitted for accounting's copy.

II. To be submitted by the Contractor

- ☐ 1. Letter Request of Contractor including Schedule of Recoupment
- ☐ 2. Certification per DO # 55 of 1988 - *Revised Guidelines for the Processing of Contractor Claims for payment relative to Infra-structure projects implementation*
- ☐ 3. Certification that Equipment was fully mobilized
- ☐ 4. List of Minimum Required Equipment
- ☐ 5. Pictures of Equipment and Facilities (size 3R min.)
- ☐ 6. Notice to Proceed (Certified true copy by Implementing Office)
- ☐ 7. Copy of approved contract (Certified true copy by Implementing Office)
- ☐ 8. Surety Bond duly verified by SAC
- ☐ 9. One set certified true copy of all the documents submitted for accounting's copy.

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS**First Progress Billing****I. To be prepared by Implementing Office**

- ☐ 1. Background Information/Executive Summary
- ☐ 2. Billing Summary
- ☐ 3. Disbursement Voucher
- ☐ 4. Copy of Transmittal Letter to COA
- ☐ 5. Certification per DO # 55 of 1988 – *Revised Guidelines for the Processing of Contractor Claims for payment relative to Infra-structure projects implementation*
- ☐ 6. One set certified true copy of all the documents submitted for accounting's copy.

II. To be submitted by the Contractor

- ☐ 1. Letter Request of Contractor for payment
- ☐ 2. Monthly Certificate of Payment
- ☐ 3. Statement of Work Accomplished and Certificate of Monthly Payment
- ☐ 4. Statement of Time Elapsed (Justification Letter if Accomplishment is Negative and > 10%)
- ☐ 5. Contractor's Affidavit - duly notarized
- ☐ 6. Certification of Clearance for Equipment Rentals and/or Lease (concerned RES/Area Shop)
- ☐ 7. Certificate of Payment of Labor, Materials and Equipment
- ☐ 8. Copy of Approved Changed Order/Supplemental Agreement/Time Extensions/Suspension and Resume Orders, if any
- ☐ 9. Pictures of Work Accomplished (size 3R min.)
- ☐ 10. Backup Computations
- ☐ 11. Certificate of Materials Quality Test (Materials on Site), if any
- ☐ 12. Materials Test Report/Quality Test
- ☐ 13. Certificate of Materials Quality Control Assurance
- ☐ 14. BIR Form No. 2307 (Certificate of Creditable Taxes Withheld at Source)
- ☐ 15. BIR Form No. 2550 M – VAT Declaration
- ☐ 16. Contractor's All Risk Insurance duly verified by SAC (1M and above)
- ☐ 17. Copy of Performance Bond duly verified by SAC
- ☐ 18. Copy of Contract and Bill of Quantities
- ☐ 19. Notice to Proceed (Certified true copy by Implementing Office)
- ☐ 20. Request for Payment of Contractors (Materials on Site) including Surety Bond, if any
- ☐ 21. Copy of Performance Security in the form of Letter of Credit, Bank Guarantee or Surety Bond (Materials on Site) duly verified by SAC, if any
- ☐ 22. Authority from DBM to purchase vehicles and equipment, if any
- ☐ 23. One set certified true copy of all the documents submitted for accounting's copy.

I hereby certify that the above
supporting documents are complete

Print Name: _____

Designation: _____

Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS**Interim Progress Billing****I. To be prepared by Implementing Office**

- ☐ 1. Background Information/Executive Summary
- ☐ 2. Billing Summary
- ☐ 3. Disbursement Voucher
- ☐ 4. Certification per DO # 55 of 1988 – *Revised Guidelines for the Processing of Contractor Claims for payment relative to Infra-structure projects implementation*
- ☐ 5. One set certified true copy of all the documents submitted for accounting's copy.

II. To be submitted by the Contractor

- ☐ 1. Letter Request of Contractor for payment
- ☐ 2. Backup Computations
- ☐ 3. BIR Form No. 2307 (Certificate of Creditable Taxes Withheld at Source)
- ☐ 4. BIR Form No. 2550 M – VAT Declaration
- ☐ 5. Certificate of Materials Quality Test (Materials on Site), if any
- ☐ 6. Materials Test Report/Quality Test
- ☐ 7. Certification of Clearance for Equipment Rentals and/or Lease
- ☐ 8. Certification of Clearance on Labor and Materials Payment
- ☐ 9. Certificate of Materials Quality Control Assurance
- ☐ 10. Contractor's Affidavit - duly notarized
- ☐ 11. Statement of Time Elapsed (Justification Letter if Accomplishment is > 10%)
- ☐ 12. Statement of Work Accomplished and Certificate of Monthly Payment
- ☐ 13. Pictures of Work Accomplished (size 3R min.)
- ☐ 14. Change Order/Supplemental Agreement/Time Extension and Resume Order, if needed
- ☐ 15. One set certified true copy of all the documents submitted for accounting's copy.

I hereby certify that the above
supporting documents are complete

Print Name: _____

Designation: _____

Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Final Progress Billing

I. To be prepared by Implementing Office

- ☐ 1. Background Information/Executive Summary
- ☐ 2. Billing Summary
- ☐ 3. Property Clearance
- ☐ 4. Request for COA Inspection Report duly received by COA
- ☐ 5. One set certified true copy of all the documents submitted for accounting's copy.

II. To be submitted by the Contractor

- ☐ 1. Letter-request of contractor for payment
- ☐ 2. Certification as per DO# 55 of 1988 – *Revised Guidelines for the Processing of Contractor Claims for payment relative to Infra-structure projects implementation*
- ☐ 3. Statement of Work Accomplished
- ☐ 4. Statement of Time Elapsed
- ☐ 5. Contractor's Affidavit – duly notarized
- ☐ 6. Certificate of payment of Labor, materials and equipment
- ☐ 7. Certificate of Materials Quality Control Assurance
- ☐ 8. As Built Quantity/Final Change Order, if any
- ☐ 9. Inventory of Office Equipment, Furniture, Building, Surveying, Instrument and Service Vehicle (Turnover of Equipment Bought Out of Project Funds)
- ☐ 10. Certification of BRS of Turnover of Laboratory Equipment - FAPs
- ☐ 11. Regional Equipment Service Clearance
- ☐ 12. Certificate of Completion
- ☐ 13. Certificate of Acceptance (after 1 year of Completion) or Surety Bond
- ☐ 14. DPWH Final Inspection Report (QAU)
- ☐ 15. Certification from QAU that defects for final inspection have already been corrected with pictures (before, during and after, size 3R min)
- ☐ 16. Pictures of work accomplished (size 3R min.)
- ☐ 17. Back-up Computations
- ☐ 18. Approved Time Extensions and/or Suspension and Resume Orders, if any
- ☐ 19. As Built-Plans/Drawings
- ☐ 20. BIR Form 2555
- ☐ 21. BIR Form No. 2307 (Certificate of Creditable Taxes Withheld at Source)
- ☐ 22. BIR Form No. 2550 M – VAT Declaration
- ☐ 23. Core Test for Thickness Determination for Concrete/Asphalt Road
- ☐ 24. Test Report
- ☐ 25. Proof of Completeness of Document duly received by COA
- ☐ 26. Surety Bond duly verified by SAC, if there is no Certificate of Acceptance
- ☐ 27. One set certified true copy of all the documents submitted for accounting's copy.

I hereby certify that the above
supporting documents are complete

Print Name: _____

Designation: _____

Date: _____

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Release of Retention

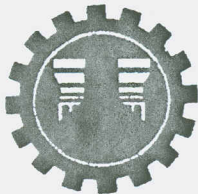
- ☐ 1. Letter-request of Contractor for payment
- ☐ 2. Background Information / Executive Summary
- ☐ 3. Certification as per DO#55 of 1988– *Revised Guidelines for the Processing of Contractor Claims for payment relative to Infra-structure projects implementation*
- ☐ 4. Certification that project is on-schedule (for locally-funded and FAPs) or Certificate of Completion if retention is released after completion of Project.
- ☐ 5. Disbursement Voucher
- ☐ 6. Retention Security in the form of Surety Bond / Letter of Credit / Bank Guarantee duly verified by SAC
- ☐ 7. Statement of Retention
- ☐ 8. Copy of Approved Vouchers
- ☐ 9. One set certified true copy of all the documents submitted for accounting's copy.

I hereby certify that the above
supporting documents are complete

Print Name: _____

Designation: _____

Date: _____



Republic of the Philippines
DEPARTMENT OF PUBLIC WORKS AND HIGHWAYS
OFFICE OF THE SECRETARY
Manila

ANNEX H

897.7 DPWH

01-21-2004

19 January 2004

MEMORANDUM

TO ALL : Undersecretaries
Assistant Secretaries
Regional Directors/Asst. Regional Directors
Bureau Directors/Asst. Bureau Directors
Project Directors/Asst. Project Directors
Project Managers/Asst. Project Managers
District Engineers/Asst. District Engineers
Division/Section Chiefs
Others Concerned
This Department

SUBJECT : Additional Guidelines on the Imposition of Administrative
Sanctions on Erring DPWH Officials and Employees Involved in
Project Implementation and Processing of Project Documents

In addition to the administrative offenses with corresponding penalties which are already defined under existing laws and civil service rules and regulations and in order to have consistent guidelines for the imposition of administrative sanctions against erring DPWH officials and employees involved in project implementation and processing of project documents pending the issuance of a Department Order covering sanctions on irresponsible actuations in all phases of the project cycle, from planning to implementation, these guidelines are hereby prescribed.

The guidelines shall cover all DPWH officials and employees involved in project implementation regardless of employment status, whether or not they hold permanent, temporary, contractual, casual in hold-over or officer-in-charge capacity.

1.0 Quality Control

1.1 For Project Engineers, Project Inspectors and Materials Engineers

The sanctions shall be consistent with the guidelines prescribed in the memorandum of then Secretary Gregorio R. Vigilar dated 29 January 1999 (Annex A).

1.2 For Regional Directors, Asst. Regional Directors for Operations, Project Directors, Asst. Project Directors, Project Managers, Asst. Project Managers, District Engineers, Asst. District Engineers and Chiefs of Construction Divisions/Sections of Field Offices.

The sanctions shall be based on the quarterly ratings of quality control performance in project implementation pursuant to Memorandum dated 7 April 1989 as amended by Department Order No. 137, series of 1991. Department Order No. 9, series of 2004, further amends Department Order No. 137 shifting the quality control rating to quarterly.

The following sanctions shall be imposed on the above officials when their implementing office is rated "Unsatisfactory".

- a. An Unsatisfactory rating for a quarter – Reprimand
- b. Unsatisfactory rating for two (2) consecutive quarters – Suspension for three (3) months.

The sanction shall be imposed on the Regional Director, Asst. Regional Director for Construction Operations and the Chief of the Construction Division if the implementing office is a Regional Office.

The sanction shall be imposed on the Project Director and Asst. Project Director, or Project Manager and Asst. Project Manager as the case may be, if the implementing office is a Project Management Office.

The sanction shall be imposed on the District Engineer, Asst. District Engineer and the Chief of the Construction Section if the implementing office is a District Office.

Unlike the sanctions for Project Engineers, Project Inspectors and Materials Engineers, the sanctions on the DPWH officials shall not be cumulative. If a reprimand was given on any given quarter and no sanction was given on the succeeding quarter, the sanction for the subsequent quarter will not be suspension but will still be a reprimand.

2.0 Physical Accomplishment

2.1 For Project Engineers and Project Inspectors

A sanction shall be imposed if in any given reporting period:

- a) he fails to *initiate* calibrated actions (in accordance with D.O. 102, series of 1988) on a project/s under his supervision with a negative slippage, and
- b) he gets ten (10) points or greater based on the values shown in Table 1.

Table 1 -

| SLIPPAGE | POINTS | | |
|-----------|-----------|------------|------------|
| | 1 Project | 2 Projects | 3 Projects |
| 5% - 10% | - | 5 | 10 |
| 11% - 15% | 5 | 10 | 15 |
| > 15% | 10 | 15 | 20 |

The calibrated sanction shall be as follows:

| | | |
|-------------------------|---|-------------------------------|
| 1 st Offense | - | Reprimand |
| 2 nd Offense | - | Suspension for six (6) months |
| 3 rd Offense | - | Suspension for one (1) year |

2.2 For Heads/Deputies of Implementing Office

A sanction shall be imposed on the Regional Directors, Asst. Regional Directors for Construction Operations, Project Directors, Asst. Project Directors, Project Managers, Asst. Project Managers, District Engineers and Chiefs of Construction Divisions/Sections of Field Offices, if in any given reporting period:

- a) he fails to *institute* calibrated actions (in accordance with D.O. 102, series of 1988) on a project/s with negative slippage under his supervision; and
- b) he gets ten (10) points or greater based on the values shown in Table 1.

| | | |
|-------------------------|---|---------------------------------|
| 1 st Offense | - | Reprimand |
| 2 nd Offense | - | Suspension for three (3) months |
| 3 rd Offense | - | Suspension for six (6) months |

3.0 Maintenance

The sanctions shall be consistent with the guidelines prescribed in Department Order No. 31, series of 2000 (Annex B).

4.0 Documents Processing

The documents referred to in this section are those included in the Documents Tracking System (DoTS) as listed in D.O. No. 273, series of 2003. The sanctions are based on the failure to use the DoTS and/or failure to process documents within the prescribed period.

4.1 Non Usage of the DoTS

- 4.1.1 The calibrated sanction for designated DoTS officers are as follows:

| | | |
|-------------------------|---|-------------------------------|
| 1 st Offense | - | Reprimand |
| 2 nd Offense | - | Suspension for one (1) month |
| 3 rd Offense | - | Suspension for six (6) months |
| 4 th Offense | - | Suspension for one (1) year |

4.1.2 The calibrated sanction for heads and deputies of the processing offices are as follows: -

1st Offense - Warning
2nd Offense - Reprimand

4.2 Processing Exceeded Prescribed Time

The calibrated sanction for failure to process documents within the prescribed time are shown in Table 2.

Table 2

| OFFENSE (Frequency) OFFICIAL | 1 st Offense (3 times) | 2 nd Offense (5 times) | 3 rd Offense (7 times) | 4 th Offense (More than 7 times) |
|---|--------------------------------------|--------------------------------------|--------------------------------------|---|
| Action Officers | Reprimand | Suspension for 6 mos. | Suspension for 1 year | - |
| Division Chiefs / Section Chiefs / Chiefs of Staff | Warning | Reprimand | Suspension for 6 mos. | Suspension for 1 year |
| Heads of Office (DE/RD/BD/SD/PD) and their Assistants and Action Officers of Asec/Usec/Sec) | Warning | Reprimand | Suspension for 3 mos. | Suspension for 6 mos. |

In case a DPWH official or employee was sanctioned simultaneously for quality control, physical accomplishment, maintenance or processing of documents, the heavier penalty shall be imposed.

All officials and employees will be required to explain in writing for any violation committed prior to the imposition of sanction, if their explanations are not acceptable.

For your guidance and compliance.


FLORANTE SORIQUEZ
Acting Secretary