



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

097.13 DPWH
01-21-2008

JAN 18 2008

DEPARTMENT ORDER)

NO. 02)
Series of 2008 01-21-08

SUBJECT: Implementation of the Document
Tracking System (DoTS) for
Consulting Services

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

1. Resolution Recommending the Shortlist Consultants
2. Resolution Recommending the Ranking of Shortlisted Consultants
3. Resolution Recommending Award of Contract
4. Notice of Award
5. Contract
6. Notice to Proceed
7. Pre-Clearance for Supplemental Agreement / Realignment
8. Supplemental Agreement / Realignment
9. Advance Payment
10. First Progress Payments
11. Interim Progress Payments
12. Final Progress Payments

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

Processing of documents shall observe the system prescribed time contained in Annex A and the implementing procedure contained in Annex B.

The checklist of required supporting documents by all processing offices is contained in Annex C.

Further, to ensure that all documents covered are registered in the DoTS, contractors/consultants shall submit their DoTS documents to the Central Office (CO) instead of to the concerned PMO. The CO DoTS Center shall register the document into the DoTS and forward the same to the concerned PMO. PMOs are advised to inform their contractors/consultants of this submission procedure. Documents without DoTS header should be returned to the implementing office.

Refer to memorandum dated 19 January 2004 with subject "Additional Guidelines on the Imposition of Administrative Sanctions on Erring DPWH Officials and Employees Involved in Project Implementation and Processing of Project Documents" for corresponding sanctions.

This Order takes effect immediately.

HERMOGENES E. EBDANE, JR.
Secretary



WIN8P00166

Resolution Recommending Shortlist of Consultants

Activity	Office	Prescribed Time (wd)
Receive / evaluate PQ documents and deliberate	BAC	23
Prepare and sign resolution and supporting documents	BAC	5
Approve Resolution	Secretary	2
Prepare and Sign letter to Bank (for foreign assisted projects)	PMO	3
Concur	Bank	15
Notify Consultants	BAC	2
TOTAL		50

Resolution Recommending Ranking of Shortlisted Consultants / Technical Evaluation Report

Activity	Office	Prescribed Time (wd)
Receive Technical & Financial Proposals/ Open and evaluate Technical Proposals/ Deliberate	BAC	37
Prepare and Sign Resolution/Technical Evaluation Report	BAC	5
Approve Resolution (for QBS)	Secretary	2
Prepare and Sign letter to Bank (for foreign assisted projects)	PMO	3
Concur	Bank	15
Notify First Ranked Consultant	BAC	2
TOTAL		64

Resolution Recommending Award of Contract

Activity	Office	Prescribed Time (wd)
Open and evaluate Financial Proposals/ Deliberate	BAC	17
Prepare and Sign Resolution/Technical and Financial Report	BAC	6
Approve Resolution (for QBS)	Secretary	2
Prepare and Sign letter to Bank (for foreign assisted projects)	PMO	3
Concur	Bank	15
Prepare and sign Resolution (for QCBS)	BAC	5
Approve Resolution (for QCBS)	Secretary	2
Notify PMO	BAC	2
Prepare Notice of Award and Transmit to Consultant	BAC	2
TOTAL		54

Contract

Activity	Office	Prescribed Time (wd)
Coordinate, prepare and endorse document	PMO	14
Issue ALOBS	CFMS	3
Review and endorse	Feasibility Study, Detailed Engineering and Construction Supervision – BOC ICT – MIS Administrative Mgmt. – AMMS Financial Mgmt. – CFMS Quality Control/Research - BRS	5
Recommend approval	ASEC/USEC Concerned	2
Approve	Secretary	5
Prepare Notice to Proceed and Transmit to Consultant	PMO	2
TOTAL		31

Pre-Clearance (Supplemental Agreement / Realignment)

Activity	Office	Prescribed Time (wd)
Coordinate, prepare, review and endorse document	PMO	10
Recommend approval	ASEC/USEC for Operations	2
Approve	Secretary	5
TOTAL		17

Supplemental Agreement / Realignment

Activity	Office	Prescribed Time (wd)
Coordinate, prepare, review and endorse document	PMO	14
Issue ALOBS	CFMS	3
Review and endorse	Feasibility Study, Detailed Engineering and Construction Supervision – BOC ICT – MIS Administrative Mgmt. – AMMS Financial Mgmt. – CFMS Quality Control/Research - BRS	5
Review, Endorse and Recommend approval	ASEC/USEC Concerned	2
Approve	Secretary	5
TOTAL		29

Advance Payment

Activity	Office	Prescribed Time (wd)
Receive, review, prepare and endorse document	PMO	6
Process, record and initial	CFMS	5
Recommend approval	ASEC/USEC for Operations	2
Approve	Secretary	5
Request for NCA release from DBM	CFMS	1
TOTAL		19

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
Process, record & sign	CFMS	8
Recommend approval	ASEC for Operations	1
Recommend approval	USEC for Operations	1
Approve	Secretary	5
Request for NCA release from DBM	CFMS	1
TOTAL		22

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 for Operations	1
Approve Certificate	USEC for Operations	1
Process, record & sign DV and request for NCA release from DBM	CFMS	9
TOTAL		17

Final 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
Process, record & sign	CFMS	8
Recommend approval	ASEC for Operations	1
Recommend approval	USEC for Operations	1
Approve	Secretary	5
Request for NCA release from DBM	CFMS	1
TOTAL		22

Annex B

DoTS IMPLEMENTING GUIDELINES
Implementing / Processing Offices

Doer	Activity
Consultant	<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/receiving copy to the DoTS Center
DoTS Center	<ol style="list-style-type: none"> 3. Check completeness of supporting documents and attachments, except for the the first 3 documents (i.e., Resolution Recommending Shortlist of Consultants, Resolution Recommending Ranking of Shortlisted Consultants/Technical Evaluation Report and Resolution Recommending Award of Contract) 4. Return incomplete document to the Consultant immediately within the day. 5. Otherwise, register document into DoTS 6. Issue a receipt to the Consultant 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. Check completeness of documents. 10. Return incomplete document to the Consultant within the day. 11. Otherwise, process document. 12. Assign approving officials. 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.
Processing Office / Approving Official	<ol style="list-style-type: none"> 15. Check for the DoTS Header. For documents with no DoTS Header, return to the implementing office. 16. Return incomplete document to the office concerned within the day. 17. Otherwise, process document. 18. Forward the document to the succeeding office. 19. 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"> 20. Record documents with no DoTS Header. 21. 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"> 22. Close the transaction in the DoTS upon completion of the process.

Annex C -1

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Contract

- ☐ 1. Executive Summary
- ☐ 2. Advertisement
- ☐ 3. Certificate of Availability of Funds/ALOBS
- ☐ 4. Certificate from Director, Planning Service, regarding funding requirements (if funds are not sufficient)
- ☐ 5. Approved BAC Resolution of Ranking Consultants
- ☐ 6. Approved BAC Resolution of Award
- ☐ 7. Concurrence of the Lending Institution on the Rankings
- ☐ 8. Concurrence of the Lending Institution on the Award
- ☐ 9. Terms of Reference
- ☐ 10. Manning Schedule/Work Schedule
- ☐ 11. Summary of Cost of Consulting Services
- ☐ 12. Detailed Breakdown of the Remuneration, Reimbursement Costs (out-of-pocket expense) and other expenses
- ☐ 13. Joint Venture Agreement (if two or more consultants)
- ☐ 14. Breakdown of Consultancy Cost for International and Domestic Consultant (Feasibility Study, Detailed Engineering Design, Pre-Construction Supervision and Construction Supervision)

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

Annex C - 2

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

S.A./Addendum/Amendments/Extension/Realignment

- ☐ 1. Executive Summary
- ☐ 2. Approved Prior Clearance/Authority to Issue S.A./Addendum/Amendments/Extension/Realignment
- ☐ 3. Copy of Original Contract
- ☐ 4. Copy of Approved S.A./Amendments/Extension/Addendum/Realignment (if any)
- ☐ 5. Obligation Slip (OS), Certificate of Availability of Funds or Certification from the Director, Planning Service
- ☐ 6. Summary of Cost and Detailed Estimates
- ☐ 7. Revised Manning Schedule
- ☐ 8. Approved Time Extension for civil works (if applicable)
- ☐ 9. Revised Work Schedule
- ☐ 10. Progress Report of International Consultant (if applicable)
- ☐ 11. PMO Summary of Contract of International Consultant and all Domestic Consultants
- ☐ 12. Summary of Civil Works Contract (All Civil Work Contract)
- ☐ 13. Breakdown of all Civil Works Contract for International and Domestic Consultant showing the estimated cost and the corresponding percentages of related services aside from Construction Supervision such as Detailed Design, Parcenary Survey etc...
- ☐ 14. Revised /Amended Terms of Reference (if there are changes in the scope of services)
- ☐ 15. Justification when amount estimated cost of Civil Works exceeded the ceiling, as follows
 - a. 3% for Feasibility Studies
 - b. 6% for Detailed Engineering
 - c. 8% for Detailed Architectural Design and Engineering Design
 - d. 10% for Construction Supervision
 - e. 50% of the original consultancy contract after adding all the approved supplemental agreement (for contracts approved prior to IRR-RA No. 9184)
- ☐ 16. Technical Justifications for the proposed changes in the Original Contract
- ☐ 17. Copy of Approved Terms of reference

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

Annex C-3

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Advance Payment

I. First Release of A/P (7.5%)

- ☐ 1. Obligation Request (ObR)
- ☐ 2. Letter Request of the Consultant
- ☐ 3. Advance Payment Invoice
- ☐ 4. Bank Guarantee for Advance Payment
- ☐ 5. Certification on the Validity and Authenticity of the Bank Guarantee from SAC
- ☐ 6. Certified True Copy of the Notice to Proceed
- ☐ 7. Certified True Copy of the Resolution of Award
- ☐ 8. Certified True Copy of Approved Contract
- ☐ 9. Transmittal of Contract Documents to COA (duly received by COA)
- ☐ 10. Certification per DO # 55 of 1988 – *Revised Guidelines for the Processing of Contractor Claims for payment relative to Infra-structure projects implementation*
- ☐ 11. Executive Summary
- ☐ 12. Billing Summary
- ☐ 13. Disbursement Voucher
- ☐ 14. Foreign Portion of the A/P
 - Special Account Withdrawal Application
 - FCDU Fund Transfer Slip
 - Lending Institution Direct Application for Withdrawal

II. Full Release of A/P (15%)

- ☐ 1. Obligation Request (ObR)
- ☐ 2. Letter Request of the Consultant
- ☐ 3. Advance Payment Invoice
- ☐ 4. Bank Guarantee for Advance Payment
- ☐ 5. Certification on the Validity and Authenticity of the Bank Guarantee from SAC
- ☐ 6. Certified True Copy of the Notice to Proceed
- ☐ 7. Certified True Copy of the Resolution of Award
- ☐ 8. Certified True Copy of Approved Contract
- ☐ 9. Transmittal of Contract Documents to COA (duly received by COA)
- ☐ 10. Certification of mobilization of Consultant's Personnel
- ☐ 11. List of Personnel and staff mobilized for the implementation of the project
- ☐ 12. Picture of Equipment
- ☐ 13. Summary of Charges
- ☐ 14. Executive Summary
- ☐ 15. Billing Summary
- ☐ 16. Certification per DO # 55 of 1988 – *Revised Guidelines for the Processing of Contractor Claims for payment relative to Infra-structure projects implementation*
- ☐ 17. Disbursement Voucher
- ☐ 18. Foreign Portion of the A/P
 - Special Account Withdrawal Application
 - FCDU Fund Transfer Slip
 - Lending Institution Direct Application for Withdrawal

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

Annex C-4

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Progress Billing

I. Progress Billing - Local

- ☐ 1. Obligation Request (ObR)
- ☐ 2. Letter Request of the Consultant
- ☐ 3. Invoice
- ☐ 4. Invoice Summary
- ☐ 5. Supporting Summary for Remuneration-Local Consultants/Project Staff
- ☐ 6. Supporting Summary for Per Diem
- ☐ 7. Supporting Summary for Other Recoverable Cost
- ☐ 8. Budgeted Balance Summary
- ☐ 9. Summary of Charges
- ☐ 10. Executive Summary
- ☐ 11. Disbursement Voucher
- ☐ 12. Foreign Portion of the billing

II. Progress Billing - Foreign

- ☐ 1. Letter Request of the Consultant
- ☐ 2. Invoice
- ☐ 3. Invoice Summary
- ☐ 4. Supporting Summary of Personnel
- ☐ 5. Supporting Summary of International Travel
- ☐ 6. Supporting Summary for Other Recoverable Cost
- ☐ 7. Budgeted Balance Summary
- ☐ 8. Summary of Charges
- ☐ 9. Executive Summary
- ☐ 10. Foreign Portion of the A/P
 - Special Account
 - FCDU Fund Transfer Slip
 - Direct Application for Withdrawal

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

Annex C-5

CHECKLIST OF SUPPORTING DOCUMENTS AND ATTACHMENTS FOR DoTS

Final Billing

- ☐ 1. Obligation Request (ObR)
- ☐ 2. Letter Request of the Consultant
- ☐ 3. Invoice
- ☐ 4. Invoice Summary
- ☐ 5. Supporting Summary for Remuneration-Local Consultants/Project Staff
- ☐ 6. Supporting Summary for Per Diem
- ☐ 7. Supporting Summary for Other Recoverable Cost
- ☐ 8. Budgeted Balance Summary
- ☐ 9. Summary of Charges
- ☐ 10. Executive Summary
- ☐ 11. Disbursement Voucher
- ☐ 12. Foreign Portion of the billing
- ☐ 13. Certificate of Completion
- ☐ 14. Inventory and Costing of Turned-over Equipments/Memorandum and Acknowledgement Receipt
- ☐ 15. Implementing Office Certificate of Clearance
- ☐ 16. SPMD Clearance Certificate on Property Accountability
- ☐ 17. Certification per D.O. # 55 series of 1988 - *Revised Guidelines for the Processing of Contractor Claims for payment relative to Infra-structure projects implementation*
- ☐ 18. Transmittal of Contract Documents re Final Completion of Consulting Services duly received by COA
- ☐ 19. BIR Form 2555
- ☐ 20. Foreign Portion of the A/P
 - Special Account
 - FCDU Fund Transfer Slip
 - Direct Application for Withdrawal

I hereby certify that the above
supporting documents are complete

Print Name: _____
Designation: _____
Date: _____

HIGHLIGHTS OF THE NEW D.O.

Document	Existing		Proposed		Reason
	Office	wd	Office	wd	
Resolution Recommending Shortlist of Consultants	BAC PMO COS OSEC Bank	36 2 5 2 -	BAC PMO OSEC Bank	23 3 2 15	The allotted time for the approval of the Secretary already includes the review of the Chief of Staff
Resolution Recommending Ranking of Shortlisted Consultants/ Technical Evaluation Report	BAC PMO COS OSEC Bank	42 2 5 2 -	BAC PMO OSEC Bank	37 3 2 15	The allotted time for the approval of the Secretary already includes the review of the Chief of Staff
Resolution Recommending Award of Contract	BAC PMO COS OSEC Bank	37 2 5 2 -	BAC PMO OSEC Bank	17 3 2 15	The allotted time for the approval of the Secretary already includes the review of the Chief of Staff.
Notice of Award	PMO ASec/Usec PMO	2 2 1			Preparation of Notice of Award was already included in the Resolution Recommending Award of Contract document.
Contract	BOC LS COS OSEC ASec for BOC	5 10 5 5 2	BOC, MIS, AMMS, CFMS, BRS } OSEC Omitted	5 5	Offices were identified according to contract classification The allotted time for the approval of the Secretary already includes the review of the Chief of Staff and the Legal Service, if necessary. Contract will be forwarded to ASec/Usec concern for approval.

_ HIGHLIGHTS OF THE NEW D.O.

Document	Existing		Proposed		Reason
	Office	wd	Office	wd	
Contract (con't)	ASec/Usec for Operations	2	ASec/Usec concerned PMO	2 2	To prepare NTP and transmit to consultant
Notice to Proceed (NTP)	PMO ASec/Usec PMO	2 2 1			Preparation of Notice to Proceed was already included in the Contract document.
Pre-Clearance	PMO BOC CFMS COS OSEC	15 5 2 5 5	PMO } omitted OSEC	10 5	Per DO#17 s2007 – All requests for Prior Clearance for CW/Consultancy Services shall be submitted by the I.O. directly to the ASec for Operations concerned. The allotted time for the approval of the Secretary already includes the review of the Chief of Staff
Supplemental Agreement / Realignment	PMO BOC BOD ASec for BOC/BOD ASec/Usec for Operations LS COS OSEC	17 7 7 2 2 10 5 5	PMO BOC, MIS, AMMS, CFMS, BRS omitted ASec/Usec Concerned OSEC	14 5 2 5	Already included in Resolution of Award Offices were identified according to SA/ Realignment classification SA/R will be forwarded to ASec/Usec concern for approval. The allotted time for the approval of the Secretary already includes the review of the Chief of Staff and the Legal Service, if necessary.

HIGHLIGHTS OF THE NEW D.O.

Document	Existing		Proposed		Reason
	Office	wd	Office	wd	
Advance Payment	COS OSEC	5 5	OSEC	5	The allotted time for the approval of the Secretary already includes the review of the Chief of Staff.
First Progress Billing	PMO	6	PMO	3	As per request of CFMS
	CFMS	5	CFMS	8	
			Consultant	3	
	ASec/Usec for Operations	2	ASec for Optns. Usec for Optns.	1 1	
	COS OSEC	5 5	OSEC	5	The allotted time for the approval of the Secretary already includes the review of the Chief of Staff.
Interim Progress Billing	PMO	6	PMO	3	
	CFMS	6	CFMS	9	
			Consultant	3	
	ASec/Usec for Operations	2	ASec for Optns. Usec for Optns.	1 1	
Final Progress Billing	PMO	6	PMO	3	
	CFMS	8	CFMS	9	
			Consultant	3	
	ASec/Usec for Operations	2	ASec for Optns. Usec for Optns.	1 1	
	COS OSEC	5 5	OSEC	5	The allotted time for the approval of the Secretary already includes the review of the Chief of Staff.
Other Documents that the ExCom deem critical	LS	2	omitted		Not part of CW/CS docs. This doc was added by former Sec Soriquez to track other docs
	ASec/Usec for Operations	2			
	COS	5			
	OSEC	5			