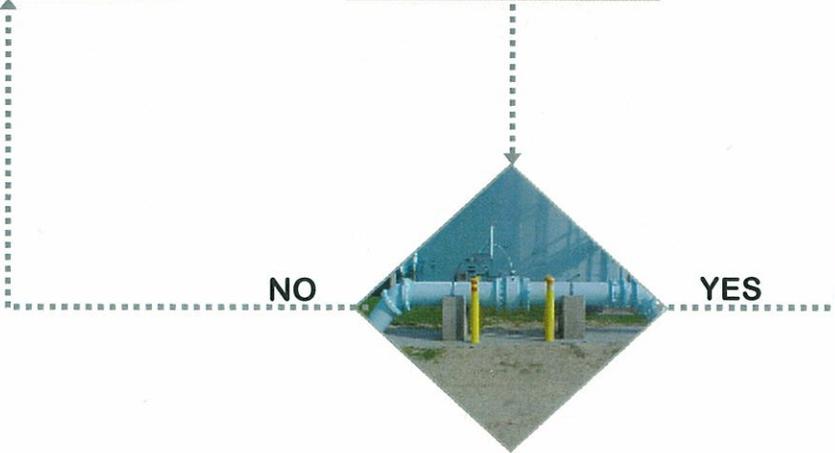




# CITY OF HOUSTON

## CONSTRUCTION BRANCH

### CONSTRUCTION MANAGEMENT PROCESS MANUAL



## DEPARTMENT OF PUBLIC WORKS AND ENGINEERING



# CITY OF HOUSTON

Public Works and Engineering  
Department

## Interoffice

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Correspondence

**To:** All Personnel, Construction Branch

**From:** Senior Assistant Director  
Engineering & Construction Division  
Construction Branch

**Date:** July 22, 2014

**Subject:** **INTERIM UPDATE - CONSTRUCTION  
MANAGEMENT PROCESS MANUAL**

The purpose of this memorandum is to provide an interim update to the Process Manual for managing CIP construction projects. The manual is an authoritative guide to how we execute our role as the construction management branch for the Division and Department. The current Process Manual was distributed in late 2011. The forms and some of the information has changed over the past 2 ½ years. The processes have not significantly changed so this is just an interim update to provide some up-to-date information. A full update will come out later this year.

The process maps show activities that may be taken during the Processes. However, it is not intended to suggest the exact sequence of events in every case. All members of the Branch should routinely refer to this manual where applicable to accomplish all of our work. The Process Manual offers a self-teaching guide on how to read each process along with a glossary of terms, legend and abbreviation index. The Process Manual is categorized into four major processes; Prepare for Construction, Initiate Construction, Progress Construction and Close Construction. These four major processes are divided into 27 principle processes that range from forecasting management responsibilities and constructability reviews through inspection, documentation, project reporting and archiving. Each principle processes also contains process examples and standards.

The expectation with the use of this manual is that it will be a resource for everyone as a ready reference so that our work will become more effective by developing enhanced teamwork through greater clarity in roles and greater consistency across the entirety of our program, whether managed by City employees or Construction Management Consultants.

As we use the Process Manual we need to remember that the Process Manual requires your input as reviewers. We need to constantly follow and discuss proper processes to follow and modify the manual as needed so that it is continually improved. The issuance of this update is such an improvement. The interim updates have been incorporated into the electronic version of the Process Manual uploaded to and accessible through the City of Houston website. There is also available a file of just the updates with a document that identifies what was replaced, added or deleted. Please feel free to download the appropriate file for your needs.

I look forward to us working together and using this resource, as we "Continuously Building Quality Infrastructure for Houston".

Joseph T. Myers, P.E.

A handwritten signature in blue ink that reads "Joseph T. Myers".

## 2014 Construction Manual Interim Updates

- 1 Prepare for Construction
  - 1.2 Contract for Construction Manager
    - Construction Management Contract Information Sheet
    - Affidavit of Ownership or Control
    - Contractor Submission List Fair Campaign Ordinance
    - Certificate of Insurance for Services
    - Certification of Compliance with Pay or Play Program
    - Checklist for Drug Policy Submittal
  
- 2 Initiate Construction
  - 2.1 Receive Transfer of Contract & Project Documents
    - Contract Document Transmittal Checklist
    - Construction Branch Inprocessing Checklist
  - 2.2 Set-Up Project Files
    - File Codes
    - Project Information Sheet (New)
  - 2.3 Validate and Update Project Database
    - Pay Estimate
  - 2.4 Issue Notice To Proceed
    - Notice To Proceed Letter
    - CNL IOC w/website
    - Utility PreConstruction Letter
    - Pre Construction Agenda (Items Only) (New)
    - Document 00950WA
    - Document 00950WA Council Notice (New)
    - REBUILD HOUSTON (New)
    - REBUILD HOUSTON COUNCIL EVENT (New)
  - 2.5 Conduct Pre Construction Conference
    - Pre Construction Agenda (PM Minutes)
    - Sign In Sheet
  - 2.6 Conduct Community Communications
    - Notice To Council – IOC (Deleted)
    - CIP Notice
    - Residential Door Tag Front
    - Residential Door Tag Back
  
- 3 Progress Meeting
  - 3.4 Process Pay Estimates
    - Construction Branch - Estimate Log
    - Monthly Subcontractor Payment Report Form
    - Project Over & Under Run Unit Price Items Report
  - 3.5 Conduct Progress Meeting
    - Monthly Progress Meeting Notice
  - 3.7 Respond to RFI

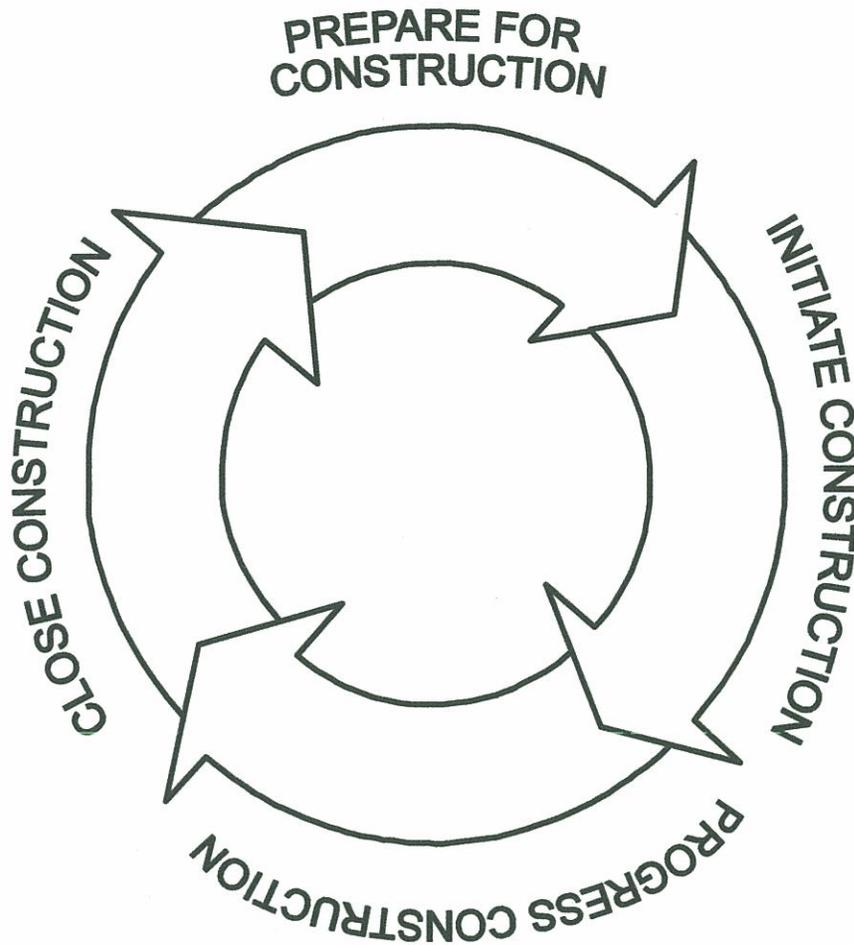
- Request for Information
- 3.8 Prepare Change Order
  - Work Change Directive
  - Errors & Omissions Letter
- 3.9 Process CM Invoices
  - CM Invoice
- 3.10 Inspect Project
  - IOC Request for Engineer's Decision
- 4 Close Construction
  - 4.1 Conduct Substantial Completion Inspection
    - Centerpoint Street Light Restoration
    - Utility Transfer Request Data Sheet
    - Utility Transfer Request Letter
    - Substantial Completion Granted Letter
    - Substantial Completion Sign In
    - Substantial Completion Inspection Letter
  - 4.2 Conduct Final Completion Inspection
    - O & M Transmittal Memo
    - Contractor's Record Drawings Transmittal to Design
    - Final Completion Inspection Memo
    - Final Completion Inspection Sign In Sheet
    - Final Completion Inspection Letter
  - 4.3 Prepare Request for Council Action
    - RCA Checklist
    - Performance Evaluation Construction Contractor
    - RCA for Additional Appropriation & Change Order
    - RCA Routing Form for Additional Appropriation & Change Order
    - RCA for Accept Work
    - RCA Routing Form for Accept Work
    - File Notes
    - CM Evaluation
    - CM Evaluation Cover Letter
    - New Form Phase III Engineer Evaluation
    - Phase III Engineer Evaluation Cover Letter
    - Final Close-Out Information
    - Affidavit of Ownership
    - Pre Draft Estimate
    - Pre Draft Letter
  - 4.4 Process Final Payment
    - Final Payment Request Letter
  - 4.5 Conduct Warranty Inspection
    - Warranty Compliance or Non-Compliance Letter
    - Eleven Month Warranty Inspection Letter
  - 4.6 Archive Project Documents
    - Authorization for Destruction of Records

# **CITY OF HOUSTON CONSTRUCTION BRANCH MISSION STATEMENT**



**Manage the construction of all public works capital improvement projects to achieve quality and timely completion with minimum adverse impact on the community.**

# CONSTRUCTION BRANCH (MAJOR PROCESSES)

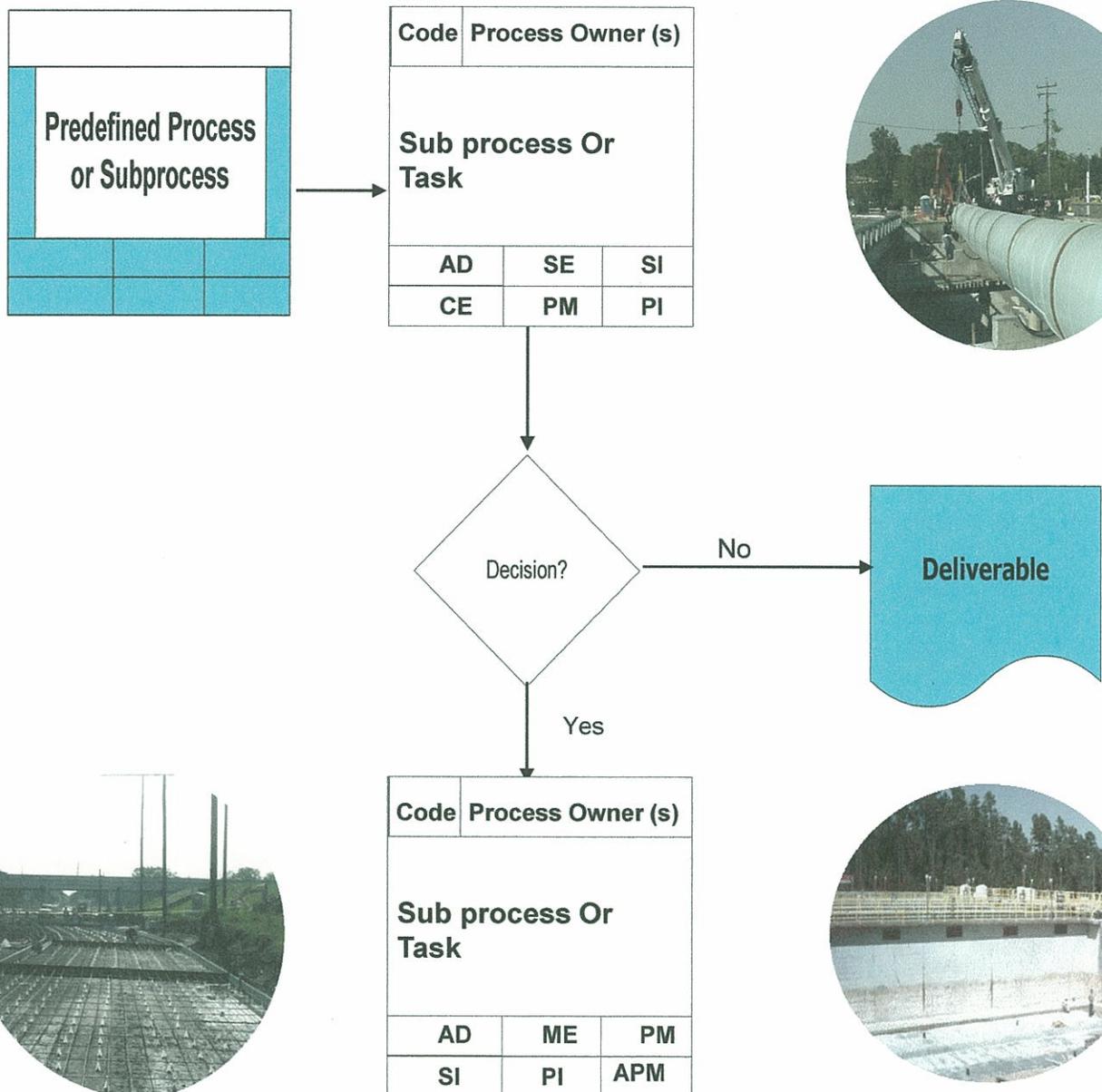


**“CONTINUOUSLY BUILDING  
QUALITY INFRASTRUCTURE  
FOR HOUSTON”**

# CITY OF HOUSTON

## DEPARTMENT OF PUBLIC WORKS AND ENGINEERING ENGINEERING CONSTRUCTION DIVISION CONSTRUCTION BRANCH

### CONSTRUCTION MANAGEMENT PROCESS



## Glossary Of Terms

Major Process	Primary process which provides a framework to support accomplishment of the mission statement.
Process	Organized activity (task or subprocesses) conducted within major processes with defined input(s) and output(s).
Subprocess	Defined segments of Branch processes that include multiple tasks and contributors.
Task	Discrete activity step which is a component of processes and subprocesses.
Deliverable	Output of the process normally represented by required information formatted to a prescribed standard.
Contributor	Positions within the organization that conduct tasks and participate in processes.
Task/Process Owner	The contributor with primary responsibility for the accomplishment of task/process and quality of output.

## CONTRIBUTORS

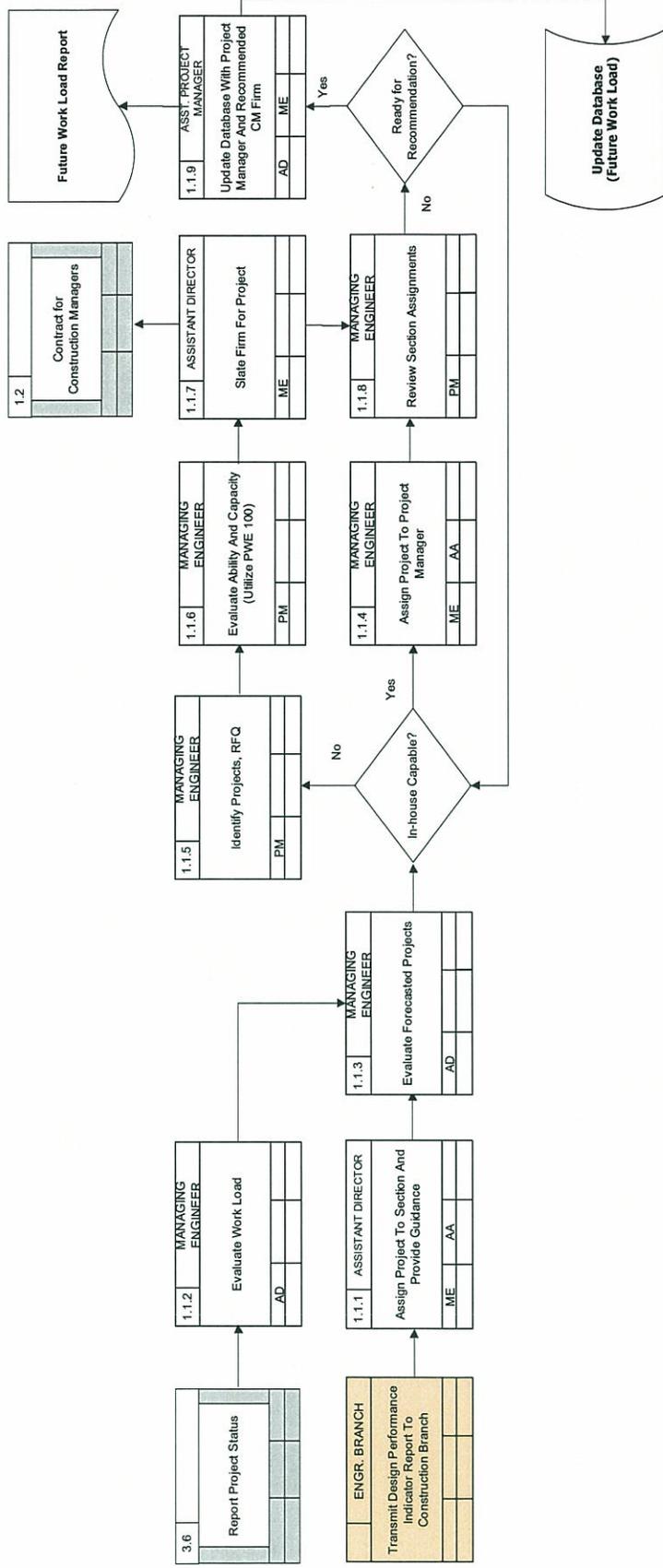
<u>POSITION</u>	<u>ABBREVIATION</u>
1. ASSISTANT DIRECTOR	AD
2. MANAGING ENGINEER	ME
3. ADMINISTRATIVE SUPERVISOR	AS
4. PROJECT MANAGER	PM
5. SENIOR INSPECTOR	SI
6. PROJECT INSPECTOR	PI
7. ASSISTANT PROJECT MANAGER	APM
8. ADMINISTRATIVE ASSISTANT	AA
9. DOCUMENT CONTROL	DC
10. ENGINEER OF RECORD	EOR
11. DESIGN PROJECT MANAGER	DPM

## CONSTRUCTION BRANCH

### PROCESSES

1. Prepare for Construction
  - 1.1. Review CIP and Forecast Project Management Responsibility
  - 1.2. Contract for Construction Managers
  - 1.3. Provide Constructability Input During Design
  - 1.4. Fee Negotiation for Construction Management Services (new)
  
2. Initiate Construction
  - 2.1. Receive Transfer of Contract/Project Documents
  - 2.2. Set-up Project File
  - 2.3. Validate and Update Project Database
  - 2.4. Issue NTP
  - 2.5. Conduct Pre-construction Conference
  - 2.6. Conduct Community Communications
  
3. Progress Construction
  - 3.1. Inspect Project
  - 3.2. Maintain Project Documentation
  - 3.3. Review and Respond to Submittals
  - 3.4. Process Pay Estimates
  - 3.5. Conduct Progress Meeting
  - 3.6. Monthly Performance Review
  - 3.7. Respond to RFI
  - 3.8. Prepare Change Order
  - 3.9. Process CM Invoices
  - 3.10. Analyze and Settle Claims
  - 3.11. Response to 311 Inquiries (new)
  
4. Close Construction
  - 4.1. Conduct Substantial Completion Inspection
  - 4.2. Conduct Final Completion Inspection
  - 4.3. Prepare Request for Council Action
  - 4.4. Process Final Payment
  - 4.5. Conduct Warranty Inspection
  - 4.6. Archive Project Documents

# PROCESS 1.1 - REVIEW CIP AND FORECAST PROJECT MANAGEMENT RESPONSIBILITY



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

**Contributors**

- AD = ASSISTANT DIRECTOR
- AS = ADMIN SUPERVISOR
- CI = CIVIL ENGINEER
- PI = PROJECT INSPECTOR
- DC = DOCUMENT CONTROL
- AA = ADMINISTRATIVE ASSISTANT
- APM = ASSISTANT PROJECT MANAGER
- ME = MANAGING ENGINEER
- SI = SENIOR INSPECTOR
- IA = INVOICE ADMINISTRATOR
- EOR = ENGINEER OF RECORD
- DPM = ECD DESIGN PM

Drawing Page: 1 of 1

Rev. Nov. 2011

**Activity Conducted By**

Code	Process Owner(s)	SubProcess Or Task
AD	AS	PI
CI	DC	AA
PI	ME	SI
SI	IA	EOR
IA	DPM	APM

**Predefined Process or SubProcess**

Code	Process Owner(s)	SubProcess Or Task
AD	AS	PI
CI	DC	AA
PI	ME	SI
SI	IA	EOR
IA	DPM	APM

**Deliverable**

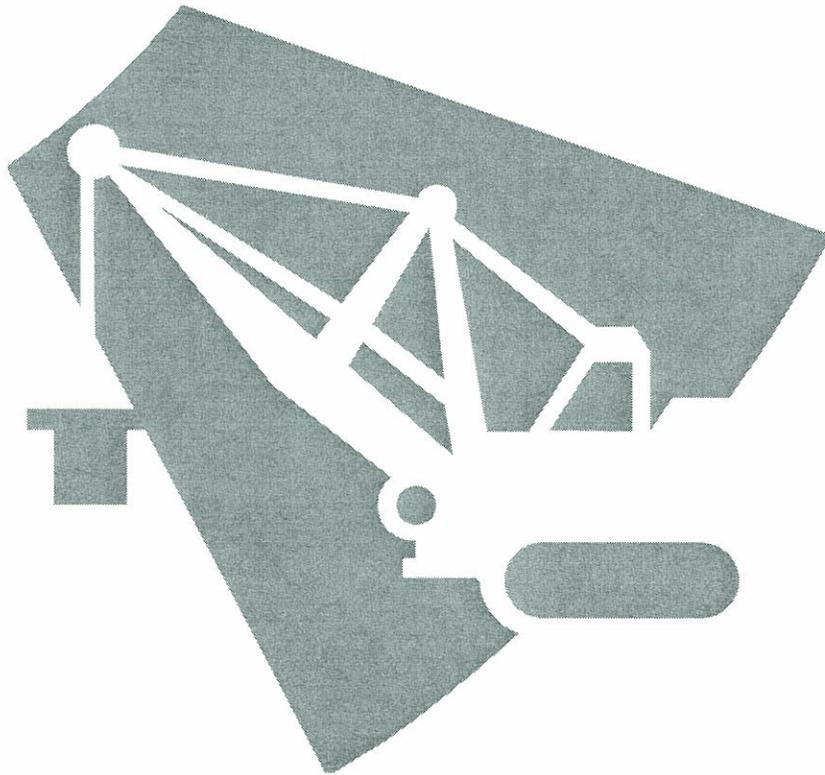
Update Database

**Suggested Logical dependency between activities**

→

(CONTRIBUTOR) Likely to Participate  
PIA 10/20/10

# PROCESS EXAMPLES





# CITY OF HOUSTON

Public Works and Engineering  
Department

## Interoffice

Correspondence

To: All panel members appointed hereby Deputy Directors for panel members Engineer Selection Process Secretary Senior Assistant Director, Construction

From: Director

Date:

Subject: **MEMORANDUM OF APPOINTMENT FOR CONSTRUCTION MANAGER SELECTION PANEL 10-4**

1. The following PWE personnel are appointed to subject panel in capacity indicated:

Managing Engineer	ECD Const	Chair
Committee Member	ECD Const	Member
Committee Member	ECD Eng	Member
Committee Member	PUD OpDiv	Member
Administrative Assistant	ECD Const	Secretary

2. The panel will convene at the call of the Chair subsequent to May 27 to consider submissions of qualifications in response to RFQ CM10-4. After consideration of the submissions, all on-file evaluations, and the on-file PWE100 for the submitting firms, the panel will determine and report to Nathan Bac, Engineer Selection Process Secretary, no later than June 9 the most highly qualified 3 firms for CM Selection Recommendations CM08 and CM09 in order, per below. If any of the firms recommended for the selections have been previously recommended, the panel will submit additional recommended firms so that the recommendations for each selection will include three firms not previously recommended.

Selection CM08  
S-000035-0xxx      Water Main Replace Project  
S-000035-0xxx      Water Main Replace Project

Selection CM09  
S-000035-0xxx      Water Main Replace Project  
S-000035-0xxx      Water Main Replace Project  
S-000035-0xxx      Water Main Replace Project

3. The panel will use the following criteria for selection based on the material considered and the panel members' personal knowledge of the firm's capabilities and the project requirements:

- Specific construction management and inspection service capabilities of the firms for the projects.
- Prior experience (preferably within the last five years) in managing similar public infrastructure or CIP construction projects.
- Demonstrated ability to manage construction to achieve quality of work required by the construction contract.
- Demonstrated ability to effectively manage owner's costs and to meet construction schedule.

- Demonstrated ability to coordinate construction activities and to minimize construction impacts to the general public.
- Demonstrated ability to work with the contractor in resolving construction conflicts and ensuring safety.
- The specific qualifications of team members and sub-consultants (including sub-consultant's employees)planned for these projects
- Demonstrated ability to fulfill MWBE goals.

If firms are deemed equally high qualified based on the above criteria, the following additional criteria will be used:

1. Amount of current work previously awarded
2. Extent of local presence

4. The panel will subsequently consider all firms with on-file PWE100 statements, and who also submitted a Statement of Qualification on any FY 10 CM RFQ, and recommend the most highly qualified 5 firms for CM Selection Recommendation CM10. If any of the firms recommended for CM10 have been previously recommended for CM08 or CM09, the panel will submit additional recommended firms so that the recommendations for CM10 will include five firms not previously recommended.

#### Selection CM10

S-000600-0xxx Rehabilitation of Water Storage Tanks:

The panel will use the following criteria for selection based on the on-file PWE100, all on file engineering evaluations, and the panel members' personal knowledge of the firm's capabilities and the project requirements.

- Specific technical capabilities of the firm(s) for the projects
- Prior demonstrated experience in accomplishing similar projects;
- Specific qualifications of listed employees for the project;
- Timeliness on similar projects;
- Demonstrated ability to fulfill M/WBE goals.

5. The panel may develop refined and quantitative scoring systems based on these criteria and the qualifications requested by the submittals. Scoring systems will be submitted by the chair for approval by Deputy Director, ECD, prior to consideration of submittals. Prior to panels convening and deliberating, each panel member will independently consider and rank submitting firms based on the criteria, and report their rankings to the panel chair.
6. Panel reports will identify recommended firms of required number without ranking. Panel secretary will retain all working documents and notes until selections are approved. Panel members will not discuss submissions, considerations, or proceedings except within convened meetings of the panel pending completion of the selection project and announcement of the selected results.

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DIRECTOR

**Design Performance Indicator Report**  
**Engineering Branch, Wastewater Engineering Section**  
**24 Month Projection for Construction Projects**  
**Ebi Nassiri, P.E., Assistant Director**

Project Manager	Consultant	Construction WBS No.	Project Description	Engineering Estimate	Current Advertisement	Current Bid Date	Current Council Award
Gauher Khan	Weston Solutions, Inc.	R-000265-0041-4	WWTP Renewal/Replacement - Metro Central (12815 Galveston Roads; Key Map 617-C)	\$2,435,000.00	8/13/2010	10/14/2010	2/16/2011
Gauher Khan	Weston Solutions, Inc.	R-000265-0041-4	WWTP Renewal/Replacement - Park Ten (16500 Park Row; Key Map 447-Y)	\$725,200.00	8/13/2010	10/14/2010	2/16/2011
Gauher Khan	Weston Solutions, Inc.	R-000265-0041-4	WWTP Renewal/Replacement - Keegans Bayou (9400 Chapel Lane; Key Map 530-S)	\$847,000.00	8/13/2010	10/14/2010	2/16/2011
Gauher Khan	Weston Solutions, Inc.	R-000265-0041-4	WWTP Renewal/Replacement - Upper Brays (13525 Old Westheimer Road; Key Map 529-A)	\$678,200.00	8/13/2010	10/14/2010	2/16/2011
Gauher Khan	Weston Solutions, Inc.	R-000265-0041-4	Upper Braes Upgrade of Aerial Power Distribution (13525 Old Westheimer Road; Key Map 529-A)	\$1,826,275.00	5/14/2010	6/17/2010	7/28/2010
Bill Zod	Camp Dresser & McKee Inc. (CDM)	R-000265-0059-4	Southwest WWTP Improvements (Package 2)	\$4,736,600.00	4/16/2010	5/13/2010	7/21/2010
Bill Zod	Freese and Nichols, Inc.	R-000265-0061-4	Multiple Satellite WWTPs Improvements	\$5,600,000.00			
Akhter Hussain	CDM	R-000265-0067-4	Sims Bayou North and FWSD #23 WWTP Improvements	\$8,500,000.00	12/2/2011	1/5/2012	3/28/2012
Gauher Khan	Malcolm Pirnie, Inc.	R-000265-0068-4	West District and Upper Brays WWTP Improvements	\$6,100,000.00	9/16/2011	10/13/2011	11/30/2011
Iraj Ranjbar	Demopolos & Ferguson Associates	R-000267-00B4-4	MUD #25 Lift Station	\$472,000.00	4/2/2010	5/6/2010	7/14/2010
Iraj Ranjbar	Demopolos & Ferguson Associates	R-000267-00C2-4	Texas Ave. Lift Station	\$2,233,000.00	4/23/2010	5/27/2010	7/14/2010
Melanie Baldwin	Dannenbaum Engineering Corporation	R-000267-00E1-4	Bissonnet #2 Lift Station	\$786,116.00	4/23/2010	5/20/2010	7/14/2010
Melanie Baldwin	Dannenbaum Engineering Corporation	R-000267-00E3-4	Belle Park Lift Station	\$630,670.00	4/23/2010	5/20/2010	7/14/2010
Bill Zod	Infrastructure Associates, Inc.	R-000267-0081-4	Riverwood Estates #1 LS Replacement	\$990,000.00	7/23/2010	8/19/2010	9/29/2010
Melanie Baldwin	Pate Engineers, Inc.	R-000267-0082-4	Westway MUD Lift Station Replacement	\$1,610,000.00	11/12/2010	12/2/2010	2/14/2011
Gauher Khan	Chiang, Patel & Yerby, Inc.	R-000267-0083-4	Chasewood L/S - Located at 6983 1/2 Chasewood (CP&Y)	\$400,000.00	1/14/2011	2/17/2011	4/13/2011
Bill Zod	Chiang, Patel & Yerby, Inc.	R-000267-0090-4	Piping Rock Lift Station Replacement	\$920,699.00	4/23/2010	5/20/2010	7/21/2010
Akhter Hussain	CH2M Hill	R-000267-0098-4	Kingwood Lift Station No. 21 R/R	\$6,800,000.00	9/16/2011	10/20/2011	1/11/2012
Gauher Khan	PBS & J	R-000267-0099-4	Greens Bayou Lift Station Replacement. Lift Station is Located at 12870 1/2 Greens Bayou.	\$3,000,000.00	8/19/2011	9/22/2011	11/16/2011
Iraj Ranjbar	Binkley & Barfield Consulting Engineers	R-000298-0005-4	Almeda Sims WWTP & Sludge Processing Improvements Package 2	\$6,200,000.00	4/2/2010	5/6/2010	7/7/2010
Bill Zod	CH2M Hill	R-000509-0013-4	69th street WWTP Improvements (Package 4)	\$10,977,500.00	4/29/2011	5/26/2011	7/27/2011
Akhter Hussain	Claunch & Miller, Inc.	R-000801-0013-4	Sewer Service to Unserved Areas Package 1: Shared Facilities (regional) Sanitary Sewer Improvements - Magnolia Point Lift station, Force Main & Trunk Main; Strange's Camp Lift Station & Force Main	\$5,568,346.30	5/28/2010	7/1/2010	9/22/2010
Robert Miles	S&B Infrastructure, Ltd.	R-000801-0016-4	Unserved Areas of Subdivision: Golden Glade Estates Area - Package 1	\$4,130,435.00	3/11/2011	4/14/2011	7/13/2011
Robert Miles	CH2M Hill	R-002013-0005-4	Northside Sewer Relief Tunnel Rehabilitation Area #4	\$7,000,000.00	5/27/2011	6/30/2011	9/28/2011
Robert Miles	Binkley & Barfield Consulting Engineers	R-002013-0006-4	Northside Sewer Relief Tunnel Rehabilitation Area #5	\$7,000,000.00	1/7/2011	2/10/2011	5/11/2011

**CURRENT WORKLOAD - EAST SECTOR**

Project Number	Project Name	Key Map	Project Estimate	Planned Date of Advertisement	CM/PROJECT MANAGER	SENIOR INSPECTOR
N-000774-0002-3	TRANSPORTATION ENHANCEMENTS TO NEAR NORTHSIDE	453U,4493C,493D,493 G,493H534Y,453Z	\$ 1,710,534.00	1/15/10	E. KELLY	B. BARAJAS
M-000272-0001-3	CRESTMONT PARK, SOUTH ACRES	573H-574J	\$ 6,670,747.05	2/26/10	JACOBS ENG./AYUB	D. GARCIA
S-000035-0101-3	KASHMERE GARDENS WMR PROJECT	454S,454T,454W,454X	\$ 2,270,395.10	3/19/10	S. KOUKATSIKAS	D. GARCIA
M-000276-0001-3	SCARSDALE (ASTORIA FROM FLUSHING MEADOWS TO BINGHAMPTON)	616D,616H,617A	\$ 4,485,000.00	3/26/10	E. KELLY	D. GARCIA
R-000801-0013-3	SEWER SERVICE TO UNSERVED AREAS PACKAGE 1-- SHARED FACILITIES (REGIONAL) SANITARY SEWER IMPROVEMENTS - MAGNOLIA POINT LIFT STATION, FORCE MAIN & TRUNK MAIN; STRANGE'S CAMP LIFT STATION & FORCE MAIN	298X,298Y,298Z,299W	\$ 5,568,346.30	3/26/10	WESTON/KOUKATSIKAS	B. BARAJAS
S-000035-0103-3	ATHERTON WMR PROJECT	455Z,494B,494C,494F,494G	\$ 2,244,000.80	3/26/10	P. DEWALT	B. BARAJAS
N-000617-0001-3	HIRSCH ROAD PAVING: KELLEY STREET TO E. CROSSTIMBERS BLVD.	454P	\$ 14,610,000.00	5/21/10	UNITED ENG./KOUKATSIKAS	B. BARAJAS
N-000807-0001-3	NORTHPARK DRIVE PAVING: LAKE HOUSTON PARKWAY TO MILLS BRANCH DRIVE	297T	\$ 3,200,000.00	5/21/10	P. DEWALT	B. BARAJAS
M-000273-0001-3	CAPISTRANO VILLAS, GLENBROOK VALLEY, HOLIDAY FOREST	535T	\$ 150,000.00	6/11/10	E. KELLY	D. GARCIA
N-00810A-0102-3	SAFE SIDEWALK PROGRAM BURNET ELEMENTARY SCHOOL	495E	\$ -	6/25/10	P. DEWALT	B. BARAJAS
N-00810A-0103-3	SAFE SIDEWALK PROGRAM -BRISCOE ELEMENTARY SCHOOL	535C	\$ -	6/25/10	P. DEWALT	B. BARAJAS
N-00810A-0104-3	SAFE SIDEWALK PROGRAM FRANKLIN / TIJERINA ELEMENTARY SCHOOL	534K	\$ -	6/25/10	P. DEWALT	B. BARAJAS
N-00810A-0105-3	SAFE SIDEWALK PROGRAM - DEZAVALA ELEMENTARY SCHOOL	535W	\$ -	6/25/10	P. DEWALT	B. BARAJAS
N-00810A-0106-3	SAFE SIDEWALK PROGRAM-CARRILLO ELEMENTARY SCHOOL	495E	\$ -	6/25/10	P. DEWALT	B. BARAJAS
R-002013-0002-3	NORTHSIDE SEWER RELIEF TUNNEL REHABILITATION AREA #1	453K,453P	\$ 7,000,000.00	7/16/10	HDR/AYUB	D. GARCIA
S-000801-0019-3	UNSERVED AREAS (MINNETEX)	572T,572U,572V,572X,	\$ 2,076,000.00	7/30/10	E. KELLY	D. GARCIA
S-000035-0111-3	WATER LINE REPLACEMENT IN CRANE-ENGLEWOOD AREA	454Y,454Z,455T,494C	\$ 2,630,000.00	8/13/10	COBB,FENDLEY/KELLY	B. BARAJAS
S-000035-0107-3	GARDEN OAKS PHASE II WMR PROJECT	452E,452L,452Z	\$ 2,687,200.00	8/20/10	COBB,FENDLEY/KELLY	B. BARAJAS
S-000035-0112-3	WATER LINE REPLACEMENT IN LAURA KOPPEE AREA	453D,453H,454A,454B,454E,454F	\$ 3,050,000.00	8/20/10	COBB,FENDLEY/KELLY	B. BARAJAS
S-000035-0108-3	RIVERWOOD ESTATES & JOHN ALBER WMR PROJECT	413S,413T,415E	\$ 2,196,800.00	8/27/10	S. KOUKATSIKAS	B. BARAJAS
M-000282-0001-3	HOUSTON GARDEN, HOMESTEAD	454R,455N	\$ 4,482,000.00	11/12/10	S. AYUB	B. BARAJAS
N-000382-0001-3	NSR 450	494P,494Z,453U	\$ 3,357,251.99	11/12/10	P. DEWALT	D. GARCIA
R-000801-0016-3	UNSERVED AREAS OF SUBDIVISIONS: MINNETEX PLACE AND GOLDEN GLADE ESTATES AREA	574E,574F,574G	\$ 4,130,435.00	3/11/11	E. KELLY	D. GARCIA
R-002011-0051-3	NEIGHBORHOOD SANITARY SEWER SYSTEM IMPROVEMENT - RELOCATION OF COMMUNITY SEWERS AT BASINS I1011, SB162-TRUXILLO STREET BACKLOT SEWER RELOCATION, DIVERSION OF NWHCMUD #25 LIFT STATION FLOW.	409U,409V,410S,494P,493Y	\$ 2,050,627.20	3/11/11	E. KELLY	B. BARAJAS
N-000689-0001-3	LEY ROAD PAVING: MESA ROAD TO HB & TRR GRADE SEPARATION	455J,455K,455L	\$ 6,000,000.00	4/22/11	S. KOUKATSIKAS	B. BARAJAS
S-000035-0114-3	KINGSPPOINT WMR PROJECT	576N,576P,576S,576T,576X	\$ 2,287,000.00	4/22/11	S. KOUKATSIKAS	B. BARAJAS
S-000035-0115-3	PARK PLACE WMR PROJECT	535F,535K,535L,535P,535Q,535T	\$ 2,102,000.00	4/29/11	S. AYUB	D. GARCIA
S-000035-0109-3	LOCKWOOD WMR PROJECT	545K,454L,454P,454Q	\$ 2,750,250.00	5/6/11	S. KOUKATSIKAS	D. GARCIA
S-000035-0116-3	POLK WMR PROJECT	493V,493Z,494N,494S,494W,394Z,534D	\$ 1,970,000.00	5/6/11	S. AYUB	D. GARCIA
S-000035-0128-3	WATER LINE REPLACEMENT IN BEAMER AREA	576S,576W,576X,576Y,616C	\$ 2,136,000.00	9/9/11	S. KOUKATSIKAS	D. GARCIA
N-000573-0001-3	BROADWAY RECONSTRUCTION: IH45 TO AIRPORT BLVD.	535TX,575B	\$ 12,690,000.00	11/11/11	E. KELLY	D. GARCIA
N-000705-0001-3	HUGHES ROAD REHABILITATION: BW8 TO CITY LIMITS	576Y,616BC	\$ 4,500,000.00	11/11/11	E. KELLY	D. GARCIA
N-000733-0002-3	HARVEY WILSON RECONSTRUCTION: LOCKWOOD TO CLINTON.	494Q,494R	\$ 6,938,616.00	12/30/11	S. AYUB	D. GARCIA
N-000688-0001-3	SABO PAVING: KINGSPPOINT TO FUQUA	476T	\$ 5,257,400.00	2/17/12	E. KELLY	D. GARCIA
N-00810A-00L3-4	SAFE SIDEWALK PROGRAM L3	417A,377B	\$ 2,315,000.00	~9/24/10	P. DEWALT	B. BARAJAS
N-00810A-00L4-4	SAFE SIDEWALK PROGRAM L4	534Z,535A	\$ 2,186,000.00	9/24/10	P. DEWALT	B. BARAJAS
R-002013-0005-3	NORTHSIDE SEWER RELIEF TUNNEL REHABILITATION AREA #4	494E,F,J,K,N,P	\$ 6,000,000.00	7/16/10	AYUB	D. GARCIA
M-000186-0002-4	CENTRAL PARK SUBDIVISION STORM SEWER FACILITIES (PHASEII)	494R,494V	\$ 7,968,153.00	COMPLETE	E. KELLY	D. GARCIA
N-000377-0001-4	NEIGHBORHOOD STREET RECONSTRUCTION PROJECT 445	495A,495E,458Y,458Z	\$ 3,498,100.00	COMPLETE	E. KELLY	D. GARCIA
N-000380-0001-4	NEIGHBORHOOD STREET RECONSTRUCTION PROJECT 448	533K, 534N, 534K	\$ 9,964,538.21	COMPLETE	OMEGA/E. KELLY	D. GARCIA
N-000392-0001-4	NEIGHBORHOOD STREET RECONSTRUCTION PROJECT 457	VARIOUS	\$ 4,253,413.65	ACTIVE	JACOBS/E. KELLY	D. GARCIA
N-000574-0001-4	MONROE PAVING FROM ALMEDA GENOA TO FUQUA	575Q, 575U.	\$ 7,414,153.29	COMPLETE	UE/E. KELLY	D. GARCIA
N-000782-0002-4	CONCRETE PAVEMENT MANAGEMENT AND IMPROVEMENT PROGRAM, KASHMERE	454U, 454Y	\$ 3,711,819.00	ACTIVE	PT/VE. KELLY	B. BARAJAS
N-00810A-0112-4	WORK AUTHORIZATION PROJECT 112	495E, 535W, 534K, 535C, 495E, 492B	\$ 596,192.50	ACTIVE	E. KELLY	B. BARAJAS
R-002011-0051-4	NEIGHBORHOOD SANITARY SEWER SYSTEM-IMPROVEMENT-RELOCATION OF SUMMUNITY SEWERS AT BASINS I1011, SB-162 TRUXILLO STREET BACKLOT SEWER RELOCATION, DIVERSION OF NWHCMUD #25 LIFT STATION FLOW	409U, V, 410D, 494P, 493Y	\$ 2,050,627.20	ACTIVE	E. KELLY	D. GARCIA
S-000700-0062-4	WA 10844 WATER LINE GRID EXTENSIONS ALONG NORTH PARK, N.WAYSIDE, MT. HOUSTON, HOMESTEAD AND WINFIELD	298	\$ 2,849,982.00	COMPLETE	E. KELLY	B. BARAJAS
M-000269-0001-4	CLAIRMONT PLACE DRAINAGE IMPROVEMENTS	455F, B	\$ 4,341,845.30	COMPLETE	P. DEWALT	D. GARCIA
N-00810A-00D7-4	SAFE SIDEWALK PROGRAM -D7 PROJECT	VARIOUS	\$ 1,293,151.73	COMPLETE	P. DEWALT	B. BARAJAS
N-00810A-00H4-4	SAFE SIDEWALK PROGRAM -H4 PROJECT	VARIOUS	\$ 841,950.56	COMPLETE	P. DEWALT	B. BARAJAS
N-00810A-0108-4	SAFE SIDEWALK PROGRAM WORK AUTHORIZATION PROJECT: IN-HOUSE DESIGN	495E, 535K, 454A.	\$ 574,477.25	ACTIVE	P. DEWALT	B. BARAJAS
S-000035-00M3-4	WATER LINE REPLACEMENT IN CLINTON-WEST AREA	494F, J, K, N	\$ 1,652,251.29	ACTIVE	P. DEWALT	B. BARAJAS
S-000035-00W5-4	WATER LINE REPLACEMENT AT PORT HOUSTON	494M, 495J, K, L, P, Q, 495T, U,497A	\$ 1,234,615.00	ACTIVE	P. DEWALT	D. GARCIA
M-000292-0001-4	TRINITY-HOUSTON GARDENS	454L, M	\$ 7,572,822.50	COMPLETE	S. KOUKATSIKAS	B. BARAJAS
N-000370-0001-4	NSR444-GELHORN ST: GUINIVERE TO JOSIE	495J, K, L	\$ 987,341.10	COMPLETE	S. KOUKATSIKAS	B. BARAJAS
N-000612-0001-4	LOCKWOOD PAVING: BENNINGTON TO TIDWELL	454G, C, L Q	\$ 9,668,259.07	ACTIVE	S. KOUKATSIKAS	B. BARAJAS
N-000773-0001-4	MARKET STREET PAVING: LOCKWOOD TO WAYSIDE	494G, H, 495E	\$ 6,604,995.34	COMPLETE	ATSER/S. KOUKATSIKAS	B. BARAJAS
R-000267-0080-4	KINGSPPOINT LIFT STATION RENEWAL/REPLACEMENT	576P, S, T	\$ 5,751,440.00	COMPLETE	S. KOUKATSIKAS	D. GARCIA
S-000035-00E2-4	WATER LINE REPLACEMENT IN BROOKHAVEN AREA	533U, V, Y	\$ 2,566,868.00	COMPLETE	S. KOUKATSIKAS	D. GARCIA
S-000035-00W2-4	WATER LINE REPLACEMENT AT EASTHAVEN AND PARK PLACE	535P, T, H, 575M	\$ 1,364,642.00	COMPLETE	MDA/S. KOUKATSIKAS	B. BARAJAS
S-000035-00W6-4	WATER LINE REPLACEMENT IN SHADY OAKS	454D, H, M, R; 455A, E.	\$ 1,211,204.22	COMPLETE	S. KOUKATSIKAS	B. BARAJAS
M-000228-0001-4	LANCASTER AREA DRAINAGE IMPROVEMENTS	534V	\$ 9,717,726.10	COMPLETE	S. AYUB	B. BARAJAS
N-000625-0001-4	MERCURY DRIVE PAVING FROM NORTH OF U.S. 90 TO WALLISVILLE	456W, 496A	\$ 3,138,433.65	ACTIVE	S. AYUB	D. GARCIA
S-000035-00N3-4	WATER LINE REPLACEMENT IN THE COLONIAL GARDENS	453L, M, Q, R	\$ 1,331,799.00	ACTIVE	S&B INFRAS/T.S. AYUB	B. BARAJAS
S-000035-00W3-4	WATER LINE REPLACEMENT AT SUNNYSIDE	533T, U	\$ 1,186,590.25	ACTIVE	MDA/S. AYUB	D. GARCIA
S-000035-00W7-4	WATER LINE REPLACEMENT AT ANNUNCIATION	414R, 415N	\$ 1,708,983.00	ACTIVE	S. AYUB	D. GARCIA

**REQUEST FOR QUALIFICATIONS (RFQ)  
FOR CONSTRUCTION MANAGEMENT SERVICES  
RFQ CM11-XX**

The City of Houston intends to enter into contracts for construction management and inspection (CM&I) services for the projects listed below. The City intends to enter into contracts for construction management for each package with the option of adding projects of similar type through work orders for two additional years. The work to be performed by the selected firms will be in accordance with the City's Standard Construction Management and Inspection Contract available for reference at:

<http://documents.publicworks.houstontx.gov/document-center/professional-services-selection-and-procurement/draft-construction-management-and-inspection-services-agreement/details.htm>

To be considered for evaluation, firms shall submit a specific statement of qualifications (SOQ) in the manner described below and may not submit more than one response to this RFQ. **Any firm submitting an SOQ that does not conform to all the requirements of this RFQ will be subject to disqualification.**

1. One hard-copy SOQ, including the entire submittal package (items 1-6, below), and
2. One (1) CD-Rom according to the following instructions:
  - The CD-Rom label clearly shows the firm name, the RFQ number, and the selection number (if not submitting on all selections under this RFQ).
  - Only one PDF file on the CD-Rom, with the entire submittal package (items 1-6, below) included within that PDF file. The PDF file shall follow the below naming convention.
    - "<RFQ Number>\_<Selection Number>\_<Firm Name>.pdf"
    - Example: "CM11-01\_CM01\_ABC Services.pdf"
    - If the submittal is for every selection in the RFQ, the selection number may be left blank in the name of the PDF file. Example: "CM11-01\_ABC Services.pdf"

The submittal shall include the following:

1. A transmittal letter of interest notifying the City of Houston of the submitter's intent to be considered for these professional services.
2. The submitter's office location where the work will be performed.
3. A one-page letter from each sub-consulting firm proposed in the submittal indicating that firm's desire to be included and indicating a general statement of the scope of services that the sub-consultant will perform if the submitting firm is selected.
4. A copy of the submitting firm's response to questionnaire pertaining to "Conflict of Interest" submitted to the City Secretary should also be included. Local Government Code Chapter 176 requires firms seeking to do business with the City of Houston ("City") to file a Conflict of Interest Questionnaire with the City Secretary. The Conflict of Interest Questionnaire is available for downloading on the Texas Ethics Commission's website at <http://www.ethics.state.tx.us/forms/CIQ.pdf> It is the submitting firm's responsibility to submit the latest version of the Conflict of Interest Questionnaire form as promulgated by the Texas Ethics Commission.
5. An updated PWE100. However, firms are still responsible to formally submit updated PWE100s according to the instructions at the following location:  
<http://documents.publicworks.houstontx.gov/latest/pwe-100-form.htm>

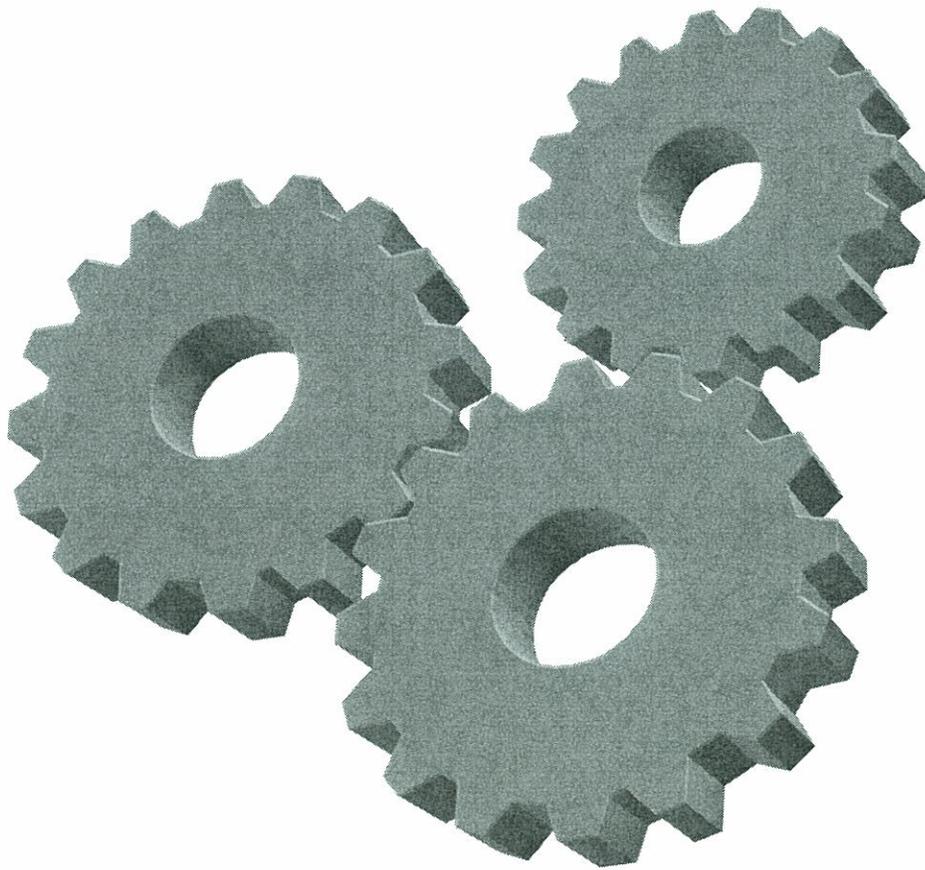
6. A fully completed Pay or Play POP-1A form, which can be found at the following location: <http://www.houstontx.gov/aacc/popforms.html> The City of Houston's Pay or Play (POP) Program as authorized by Ordinance 2007-534 and Executive Order 1-7 will be included as part of the professional services contract.
7. The remainder of the submittal document (Qualifications) shall follow the below parameters:
  - A. Format of Qualifications:
    - Not exceed EIGHT 8<sup>1/2</sup>x11 pages (single sided),
    - Landscape orientation
    - Font: 11pt Arial
    - Line Spacing: 1.5
  - B. Content of Qualifications:
    - Specific construction management and inspection service capabilities of the firms for the projects
    - Prior experience (preferably within the last five years) in managing similar public infrastructure or CIP construction projects
    - Demonstrated ability to manage construction to achieve quality of work required by the construction contract
    - Demonstrated ability to effectively manage owner's costs and to meet construction schedule
    - Demonstrated ability to coordinate construction activities and to minimize construction impacts to the general public
    - Demonstrated ability to work with the contractor in resolving construction conflicts and ensuring safety
    - The specific qualifications of team members and sub-consultants (including sub-consultant's employees) planned for these projects
    - Demonstrated ability to fulfill MWBE goals

A committee appointed by the Director of Public Works will review the submittals and recommend the most highly qualified submitting firms for selection.

A pre-submittal meeting will be held at X:XX P.M. on XXXXXXXX, XXXXX XX, 2010 in the auditorium on the Garden Level of 611 Walker to discuss this and other solicitations. A firm may not have more than three members attend this meeting.

**Deadline:** Packages shall be submitted as described above in a sealed envelope with the RFQ number, selection number (if not submitting on all selections under this RFQ), and firm name clearly identified on the outside of the envelope. They shall be addressed to the City of Houston - Department of Public Works and Engineering - 611 Walker, 15<sup>th</sup> Floor - Houston, Texas 77002, Attention: Mr. J. Timothy Lincoln, P.E., and will be received until X:XX P.M. on XXXXXXXX, XXXXX XX, 2010. Any submissions received after this time will not be considered.

# PROCESS STANDARD

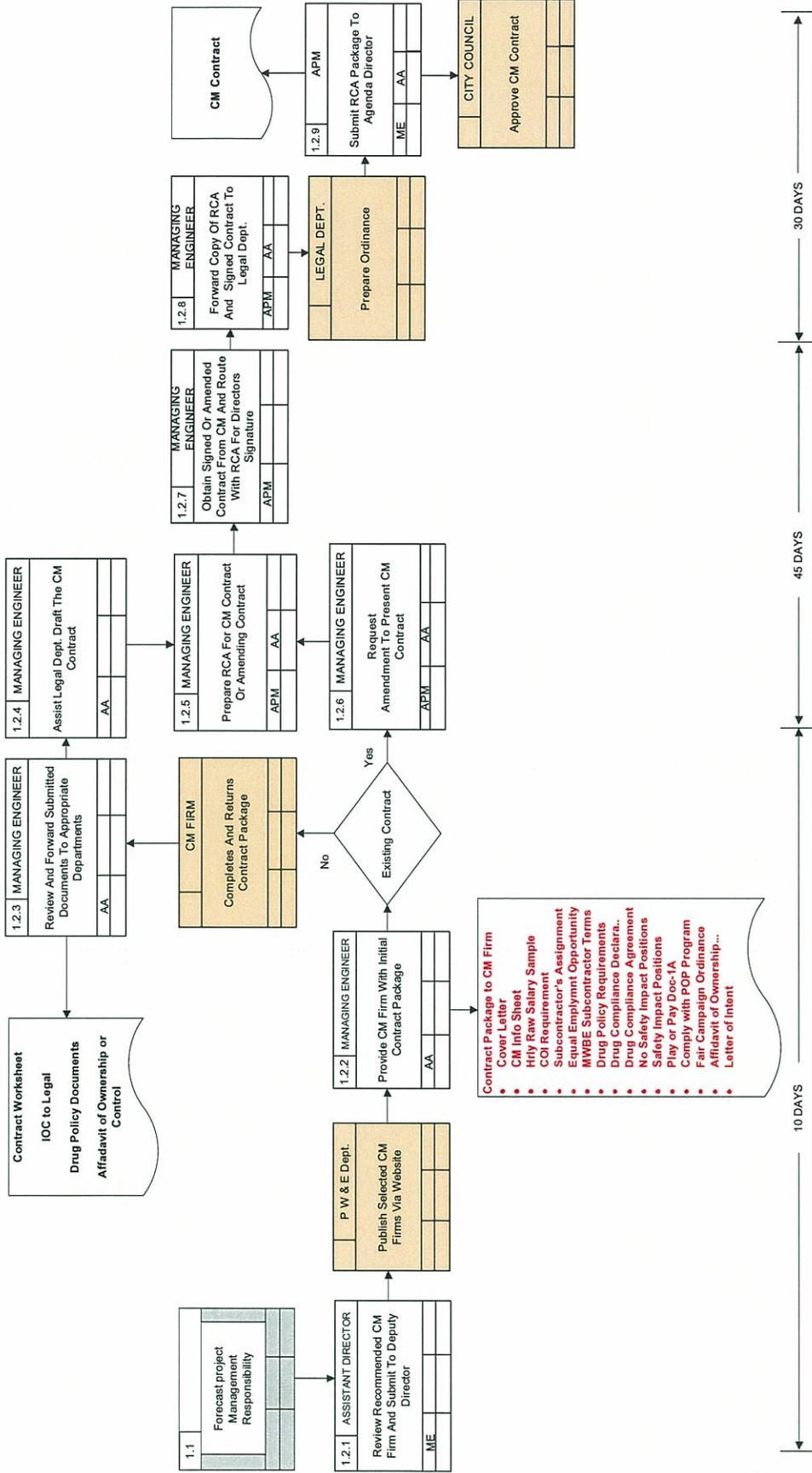


## STANDARDS

### PROCESS 1.1 – Review CIP and Forecast Project Management Responsibility

1. The process will be executed fully each year upon receipt of the Engineering Branch project schedule.
2. The forecast projects and current workload assignments will be evaluated and recommendations will be made as to which projects will be managed in-house or by CM firms.
3. Upon receipt of the RFQ, the selection will be made within 21 days.

# PROCESS 1.2 - CONTRACT FOR CONSTRUCTION MANAGERS



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP



### Legend

Code	Process Owner(s)
SubProcess Or Task	
ME	MANAGING ENGINEER
AA	ASSISTANT
PI	PROJECT INSPECTOR
IA	INVOICE ADMINISTRATOR
EOR	ENGINEER OF RECORD
DPM	EGD DESIGN PM
APM	ASSISTANT PROJECT MANAGER

(CONTRIBUTOR) Liability Participant  
10/1/2011

**CONTRIBUTORS**

AD = ASSISTANT DIRECTOR  
AS = ADMIN SUPERVISOR  
PI = PROJECT INSPECTOR  
DC = DOCUMENT CONTROL  
AA = ADMINISTRATIVE ASSISTANT  
APM = ASSISTANT PROJECT MANAGER

ME = MANAGING ENGINEER  
SI = SENIOR INSPECTOR  
IA = INVOICE ADMINISTRATOR  
EOR = ENGINEER OF RECORD  
DPM = EGD DESIGN PM

**Deliverable**

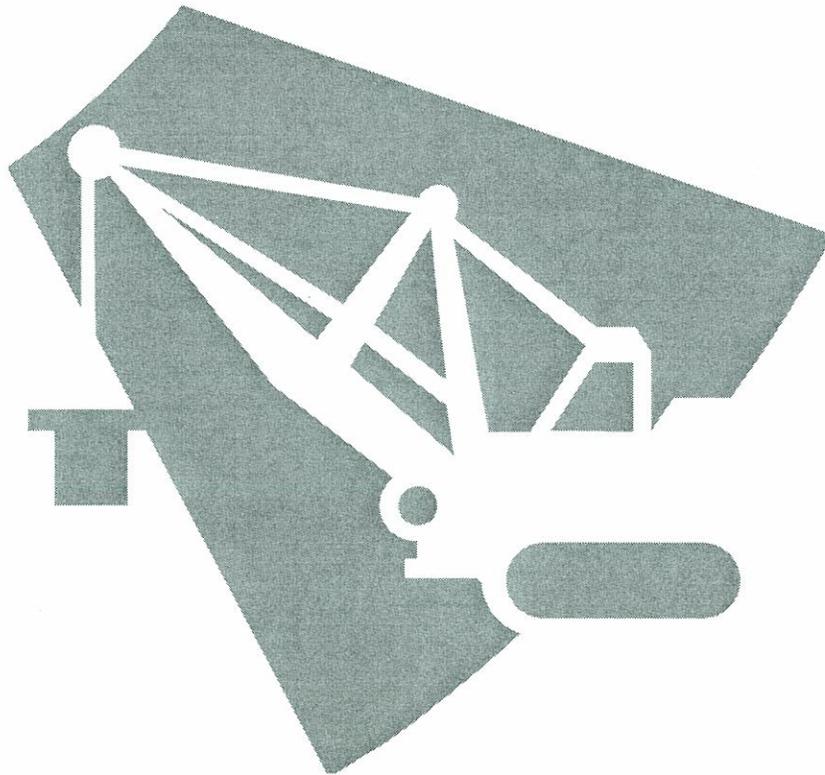
**Update Database**

Suggested Logical dependency between activities

Drawing Page: 1 of 1

Rev. Nov. 2011

# PROCESS EXAMPLES



**CONSTRUCTION MANAGEMENT CONTRACT INFORMATION SHEET**

Please provide the information requested below.

1. Check one of the boxes below to indicate the type of contract  
 Single Project       Multiple Projects
2. Full Legal Name of Construction Manager as it appears in the secretary of state's office of the state of incorporation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Name under which Construction Manager is doing business (if different from above) as it appears on an Assured Name Certificate: \_\_\_\_\_  
\_\_\_\_\_

3. Check the box below concerning legal organization of Construction Manager:  
 Corporation       Sole Proprietorship       Partnership

4. Address of Construction Manager: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ and Construction Manager's Facsimile Number: \_\_\_\_\_

5. Name and title of person executing contract for the Construction Manager (President, Vice President or a person authorized by Construction Manager): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Construction Manager's Tax Identification No. \_\_\_\_\_

7. Construction Manager's Raw Salary Multipliers:

- a. \_\_\_\_\_ if less than 2.65 for field personnel (submitting reports to City directly);
- b. \_\_\_\_\_ if less than 2.70 for field personnel (submitting reports through Engineer);
- c. \_\_\_\_\_ if less than 2.75 for nonprofessional staff located at City offices;
- d. \_\_\_\_\_ if less than 2.85 for professional staff at City offices; and
- e. \_\_\_\_\_ if less than 3.0 for professional and nonprofessional staff located at the Contractor's offices.

8. Consultant Markup is 0.8%

9. Brief description of Project for the title of the Contract (include WBS No., File No. and location): \_\_\_\_\_  
\_\_\_\_\_

10. MWBE Goal: 24%

11. Contract Amount: \_\_\_\_\_

12. Raw Salary Rates: (Attach proposed exhibit using the following format)

Employee Classification:

Maximum Raw Salary Rate:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



### CERTIFICATE OF INSURANCE FOR SERVICES

This certificate of insurance is provided for informational purposes only. This certificate does not confer any rights or obligations other than the rights and obligations conveyed by the policies referenced on this certificate. The terms of the referenced policies control over the terms of this certificate.

Prior to the beginning of work, the vendor shall obtain the minimum insurance and endorsements specified. Agents must complete the form providing all requested information and submit by fax, U.S. mail or e-mail as requested by The City of Houston. The endorsements listed below are required as attachments to this certificate; copies of the endorsements are also acceptable. PLEASE ATTACH ALL ENDORSEMENTS TO THIS FORM, AND INCLUDE THE MATCHING POLICY NUMBER ON THE ENDORSEMENT. Only City of Houston certificates of insurance are acceptable; commercial carriers' certificates are not.

**Producer:** \_\_\_\_\_ **A**  
Street/Mailing Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_ Phone#: \_\_\_\_\_

**Insured:** \_\_\_\_\_  
Street/Mailing Address: \_\_\_\_\_ **B**  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Phone#: \_\_\_\_\_

#### WORKERS COMPENSATION INSURANCE COVERAGE:

Endorsed with a Waiver of Subrogation in favor of *The City of Houston*

**Waiver of Subrogation Endorsement #:** \_\_\_\_\_ **C**

Carrier Name:		NAIC#:		Address:		City:	State:	Zip:	Phone Number:
Type of Insurance		Policy Number	Effective Date	Expiration Date	Limits of Liability				
Workers Compensation Insurance	<b>F</b>	<b>G</b>	<b>G</b>	<input type="checkbox"/> W.C. Statutory Limits E.L. Each Accident \$ _____ E.L. Disease – Each Employee \$ _____ E.L. Disease – Policy Limit \$ _____ <b>H</b>					
Employers' Liability									

#### COMMERCIAL GENERAL LIABILITY INSURANCE:

Endorsed with *The City of Houston* as Additional Insured and with a Waiver of Subrogation in favor of *The City of Houston*.

**Additional Insured Endorsement #:** \_\_\_\_\_ **I**

**Waiver of Subrogation Endorsement #:** \_\_\_\_\_ **C**

Carrier Name:		NAIC#:		Address:		City:	State:	Zip:	Carrier Phone Number:
Type of Insurance		Policy Number	Effective Date	Expiration Date	Limits of Liability				
Commercial General Liability Insurance					Each Occurrence: \$ _____ Products/Completed Operations Aggregate \$ _____ <b>H</b> General Aggregate \$ _____				
___ Claims Made	<b>J</b>	<b>F</b>	<b>G</b>	<b>G</b>					
___ Occurrence									

**AUTOMOBILE LIABILITY INSURANCE:**

Endorsed with *The City of Houston* as Additional Insured and with a Waiver of Subrogation in favor of *The City of Houston*.

Additional Insured Endorsement #: **I** Waiver of Subrogation Endorsement #: **C**

Carrier Name: NAIC#:		<b>D</b> <b>E</b>		Carrier Phone Number:		<b>C</b>
Address:		<b>D</b> <b>E</b>		City:	State:	Zip:
Type of Insurance	Policy Number	Effective Date	Expiration Date	Limits of Liability		
<input type="checkbox"/> Any Auto				Combined Single Limit \$ _____		
<input type="checkbox"/> All Owned Autos	<b>F</b>	<b>G</b>	<b>G</b>	Bodily Injury (per person) \$ _____		
<input type="checkbox"/> Hired Autos	<b>K</b>			Bodily Injury (per accident) <b>H</b> \$ _____		
<input type="checkbox"/> Scheduled Autos				Property Damage (per accident) \$ _____		
<input type="checkbox"/> Non-owned Autos						

**OTHER INSURANCE COVERAGE:** (i.e. Excess Insurance, or other; attach additional pages as needed)

Carrier Name: NAIC#:		<b>D</b> <b>E</b>		Carrier Phone Number:		
Address:		<b>D</b> <b>E</b>		City:	State:	Zip:
Type of Insurance	Policy Number	Effective Date	Expiration Date	Limits of Liability		
Excess Liability				\$ _____		
Pollution	<b>L</b> <b>F</b>	<b>G</b>	<b>G</b>	\$ _____		
Builder's Risk				\$ _____		
Other _____				\$ _____		

**CANCELLATION**

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

**AGENT CERTIFICATION**

THIS IS TO CERTIFY TO THE CITY OF HOUSTON that the insurance policies above are in full force and effect.

Name of Insurance Company:	<b>M</b>	Name of Authorized Agent:	<b>N</b>
Company Address:	<b>M</b>	Agent's Address:	<b>N</b>
City: State: Zip:		City: State: Zip:	
Authorized Agent's Phone Number (including Area Code)		Original Signature of Authorized Agent	<b>O</b>
		X	
		Date	

**COMPANY LETTERHEAD**

**DATE**

**PROJECT MANAGER**

City of Houston  
611 Walker, 17<sup>th</sup> Floor  
Houston, Texas 77002

Dear **PROJECT MANAGER**,

**COMPANY NAME** does not own any company vehicles. Should **COMPANY NAME** decide to purchase company vehicles in the future, during the term of the Contract, we will provide "Owned" auto coverage.

Sincerely,

**COMPANY PRINCIPAL AUTHORIZED TO SIGN**

POLICY NUMBER:  
INSURED:

BUSINESS LIABILITY COVERAGE

## ADDITIONAL COVERAGES BY WRITTEN CONTRACT, AGREEMENT OR PERMIT

This is a summary of the Coverage provided under the following:

BUSINESS LIABILITY COVERAGE FORM SS 00 08

WHO IS AN INSURED (Section C) states that the following is also an additional insured:

### **Additional Insured by Contract, Agreement or Permit**

Any person or organization is an additional insured when you have agreed, in a written contract, written agreement or because of a permit issued by a state or political subdivision, that such person or organization be added as an additional insured on your policy, provided the injury or damage occurs subsequent to the execution of the contract or agreement, or the issuance of the permit.

A person or organization is an additional insured under the provision only for that period of time required by the contract, agreement or permit.

With respect to the insurance afforded to the additional insured, this insurance does not apply to:

"Bodily injury", "property damage" or "personal and advertising injury" arising out of the rendering of, or failure to render, any professional architectural, engineering or surveying services, including:

- (a) The preparing, approving, or failure to prepare or approve, maps, shop drawings, opinions, reports, surveys, field orders, change orders, designs or drawings and specification; or
- (b) Supervisory, inspection, architectural or engineering activities.

### **Primary and Non-Contributory to Other Insurance When Required by Contract**

If you have agreed in a written contract, written agreement or permit that this insurance is primary and non-contributory with the additional insured's own insurance, this insurance is primary and we will not seek contribution from that other insurance.

### **Waiver of Subrogation**

If you have waived any rights of recovery against any person or organization for all or part of any payment, including Supplementary Payments, we have made under this Coverage Part, we also waive that right, provided you waived your rights of recovery against such person or organization in a contract, agreement or permit that was executed prior to the injury or damage.

POLICY NUMBER:  
INSURED:

AUTO LIABILITY COVERAGE

## ADDITIONAL COVERAGES WHEN REQUIRED BY WRITTEN CONTRACT

This is a summary of the Coverage provided under the following:

COMMERCIAL AUTOMOBILE COVERAGE FORM HA9916

### **Additional Insured if Required by Contract**

When you have agreed, in a written contract or written agreement, that a person or organization be added as an additional insured on your business auto policy, such person or organization is an "insured", but only to the extent such person or organization is liable for "bodily injury" or "property damage" caused by the conduct of an "insured" with regard to the ownership, maintenance or use of a covered "auto."

### **Primary and Non-Contributory if Required by Contract**

This insurance is primary if you have agreed in a written contract or written agreement that this insurance be primary.

If you have agreed in a written contract or written agreement that this insurance is primary and non-contributory with the additional insured's own insurance, this insurance is primary and we will not seek contribution from that other insurance.

### **Waiver of Subrogation**

We waive any right of recovery we may have against any person or organization with whom you have a written contract that requires such waiver because of payment we make for damages under the Coverage Form.



THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

**TEXAS WAIVER OF OUR RIGHT TO  
RECOVER FROM OTHERS ENDORSEMENT**

Policy Number:

Endorsement Number: 01

Effective Date: 11/01/13

Effective hour is the same as stated on the Information Page of the policy.

Named Insured and Address:

This endorsement applies only to the insurance provided by the policy because Texas is shown in Item 3.A. of the Information Page.

We have the right to recover our payments from anyone liable for an injury covered by this policy. We will not enforce our right against the person or organization named in the Schedule, but this waiver applies only with respect to bodily injury arising out of the operations described in the Schedule where you are required by a written contract to obtain this waiver from us.

This endorsement shall not operate directly or indirectly to benefit anyone not named in the Schedule.

The premium for this endorsement is shown in the Schedule.

**SCHEDULE**

1. ( ) Specific Waiver

Name of person or organization:

(X) Blanket Waiver

Any person or organization for whom the Named Insured has agreed by written contract to furnish this waiver.

2. Operations:

ALL TEXAS OPERATIONS

3. Premium:

The premium charge for this endorsement shall be 2 percent of the premium developed on payroll in connection with work performed for the above person(s) or organization(s) arising out of the operations described.

4. Advanced Premium:

Countersigned by

Authorized Representative

Form WC 42 03 04 Printed in U.S.A.

Process Date: 10/16/13

Policy Expiration Date: 11/01/14

**CERTIFICATE OF INSURANCE EXPLANATIONS – FOR ENGINEERING AND  
CONSTRUCTION MANAGEMENT PROJECTS**

1. Name and Address of Producer writing coverage
2. Name of each insurance company providing coverage (as listed in Best's Key Rating Guide or on company's Certificate of authority on file with Texas Department of Insurance). Each company must have a rating of B+ or better and a financial size category of VI or better according to Best's Key Rating Guide, Property & Casualty ([www.ambest.com](http://www.ambest.com)) OR a Certificate of Authority from the Texas Department of Insurance ([www.tdi.state.tx.us](http://www.tdi.state.tx.us)).
3. Name and address of Insured (as shown on policy.)
4. Letter in the column must reference the insurer of the policy being described.
5. **Must** be a **policy number**; **No binders** will be accepted
6. Date policy became effective
7. If the policies will expire in less than 30 days, **MUST** have a letter from the insurance company stating that they see no reason why they would not renew the policy for the consultant on subject project.
8. Check limits of liability against contract
9. **Must check** either: 1) Any Auto, or 2) All Owned, Hired, and Non-Owned Autos. If the contractor does not own any autos then the certificate must have non-owned autos and hired autos checked **and** the contractor must provide the City with a letter stating that they do not own any autos, and if they purchase autos in the future they will provide owned auto coverage.
10. Statutory limits must be checked
11. **Must** name the City as Additional Insured on Commercial General Liability, and Automobile Liability. **Must** have a waiver of subrogation in favor of the City on Commercial General Liability, Automobile Liability, and Workers' Compensation.
12. Name and GFS number of Project in the Description Box.
13. Address of City and name of project manager in Certificate Holder Box (to the left of the Cancellation Clause)

**14. Cancellation Clause must be modified to read like this (if “non-renewed” is in there with “cancelled”, that’s fine):**

**Should any of the above described policies be cancelled before the expiration date thereof, the issuing company will mail 30 days written notice to the certificate holder named to the left.**

**15. Signature or facsimile signature of authorized representative of Producer (blue ink preferred).**

**THERE IS CURRENTLY A MORATORIUM ON THE FOLLOWING REQUIREMENTS:**

- \* Endorsements**
- \* That the Certificate must be less than 30 days old**
- \* Material Change in the cancellation box**
- \* That the policies be more than 60 days from expiring**

**EXHIBIT "C"**

**SUBCONTRACTOR'S ASSIGNMENT OF COPYRIGHT**

**THE STATE OF TEXAS**

**COUNTY OF HARRIS**

1. Construction Project Manager has entered into a Contract with the **CITY OF HOUSTON, TEXAS** ("City") to provide \_\_\_\_\_ as well as related support and consulting services ("Services").

2. Subcontractor is or will be providing services for Construction Project Manager related to its Contract with the City.

3. In the course of Subcontractor's work for Construction Project Manager related to the provision of Services to the City, Contract Documents and other work products will be produced by Subcontractor for the benefit of the City for which Subcontractor will be compensated by Construction Project Manager.

4. Contract Documents include but are not limited to reports, charts, analyses, maps, letters, tabulations, computer programs, exhibits, notes, models, photographs, the original transparencies of all drawings, all graphic and written information prepared or assembled by Subcontractor and all other work products obtained or prepared by Subcontractor as part of its services for Construction Project Manager.

5. For and in consideration of the foregoing, the Subcontractor shall grant and assign and hereby does grant and assign to the City all right, title, interest and full ownership worldwide in and to any work, invention and all Contract Documents, or any modifications or improvements to them, and the copyrights, patents, trademarks, trade secrets and any other possessory or proprietary rights therein, that are discovered, conceived, developed, written or produced by the Subcontractor, its agents and employees pursuant to its contract with Construction Project Manager (collectively "Works"), to have and to hold the same unto the City absolutely.

6. The Subcontractor agrees that neither it nor any of its agents and employees shall have any right to assert or establish a claim or exercise any of the rights embodied in any copyrights, patents, trademarks, trade secrets and any other possessory or proprietary rights related to the Works. If requested by the Construction Project Manager, the Subcontractor shall place a conspicuous notation upon any such Works which indicates that the copyright, patent, trademark or trade secret thereto is owned by the City of Houston.

7. The Subcontractor shall execute all documents required by the Construction Project Manager and the Director of the Building Services Department of the City ("Director") to further evidence such assignment and ownership. The Subcontractor shall cooperate with the Construction Project Manager and

the City in registering, creating or enforcing any copyrights, patents, trademarks, trade secrets or other possessory or proprietary rights arising hereunder. If any assistance by the Subcontractor is requested and rendered pursuant to this Section, the City shall reimburse the Subcontractor for all out-of-pocket expenses incurred by the Subcontractor in rendering such assistance, subject to the availability of funds. On termination of the Subcontractor's contract with Construction Project Manager or upon request by the Director, the Subcontractor shall deliver all Works to the City. The Subcontractor agrees that its agents and employees performing work hereunder are bound by the terms of this Exhibit.

IN WITNESS HEREOF, Subcontractor has executed this Assignment as of this \_\_\_\_\_ day of \_\_\_\_\_, 2001.

Subcontractor

\_\_\_\_\_

By:

Title:

**CITY OF HOUSTON, TEXAS**

**EQUAL EMPLOYMENT OPPORTUNITY CLAUSE**

Pursuant to City Council Ordinance No. 78-1538, passed August 9, 1978, all contracts entered into by the City of Houston involving the expenditure of \$10,000 or more, shall incorporate the following Equal Employment Opportunity Clause:

1. The Contractor, Subcontractor, vendor, Supplier, or lessee shall not discriminate against any employee or applicant for employment because of race, religion, color, sex, national origin, or age. The Contractor, Subcontractor, vendor, Supplier, or lessee shall take affirmative action to ensure that applicants are employed and that employees are treated during employment without regard to their race, religion, color, sex, national origin, or age. Such action will include, but not be limited to, the following: employment; upgrading; demotion or transfer; recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The Contractor, Subcontractor, vendor, Supplier, or lessee agrees to post in conspicuous places available to employees, and applicants for employment, notices to be provided by the City setting forth the provisions of this Equal Employment Opportunity Clause.
2. The Contractor, Subcontractor, vendor, Supplier, or lessee states that all qualified applicants will receive consideration for employment without regard to race, religion, color, sex, national origin, or age.
3. The Contractor, Subcontractor, vendor, Supplier, or lessee shall send to each labor union or representatives of workers with which it has a collective bargaining agreement or other contract or understanding, a notice to be provided by the agency contracting officer advising the said labor union or workers' representative of the Contractor's and Subcontractor's commitments under Section 202 of Executive Order No. 11246, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
4. The Contractor, Subcontractor, vendor, Supplier, or lessee will comply with all provisions of Executive Order No. 11246 and the rules, regulations, and relevant orders of the Secretary of Labor or other Federal Agency responsible for enforcement of the equal opportunity and affirmative action provisions applicable, and shall likewise furnish all information and reports required by the Mayor and/or Contractor Compliance Officers for purposes of investigation to ascertain and effect compliance with this program.

Equal Employment Opportunity Clause (continued)

5. The Contractor, Subcontractor, vendor, Supplier, or lessee shall furnish all information and reports required by Executive Order No. 11246, and by the rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and shall permit access to all books, records, and accounts by the appropriate City and Federal officials for purposes of investigation to ascertain compliance with such rules, regulations, and orders. Compliance reports filed at such times as directed shall contain information as to the employment practice policies, program, and work force statistics of the Contractor, Subcontractor, vendor, Supplier, or lessee.
6. In the event of a Contractor's, Subcontractor's, vendor's, Supplier's, or lessee's non-compliance with the non-discrimination clause of this Contract or with any of such rules, regulations, or orders, this Contract may be canceled, terminated, or suspended in whole or in part, and the Contractor, Subcontractor, vendor, Supplier, or lessee may be declared ineligible for further City contracts in accordance with procedures provided in Executive Order No. 11246, and such other sanctions may be imposed and remedies invoked as provided in said Executive Order, or by rule, regulation, or order of the Secretary of Labor, or as may otherwise be provided by law.
7. The Contractor shall include the provisions of paragraphs 1 through 8 of this Equal Employment Opportunity Clause in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Section 204 of Executive Order No. 11246 of September 24, 1965 so that such provisions will be binding upon each Subcontractor or vendor. The Contractor shall take such action with respect to any subcontractor or purchase order as the contracting agency may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided, however, that in the event the Contractor becomes involved in, or is threatened with litigation with a Subcontractor or vendor as a result of such direction by the contracting agency, the Contractor may request the United States to enter into such litigation to protect the interests of the United States.
8. The Contractor shall file and shall cause each of his Subcontractors, if any, to file compliance reports with the City in the form and to the extent as may be prescribed by the Affirmative Action and Contract Compliance Office. Compliance reports filed at such times as directed shall contain information as to the practices, policies, programs, employment policies, and employment statistics of the Contractor and each Subcontractor.

## EXHIBIT "E"

### MWBE SUBCONTRACT TERMS

Construction Project Manager shall insure that all subcontracts with MWBE subcontractors and suppliers are clearly labeled **"THIS CONTRACT IS SUBJECT TO BINDING ARBITRATION ACCORDING TO THE TEXAS GENERAL ARBITRATION ACT"** and contain the following terms:

1. \_\_\_\_\_ (MWBE subcontractor) shall not delegate or subcontract more than 50% of the work under this subcontract to any other subcontractor or supplier without the express written consent of the City of Houston's Affirmative Action Director ("the Director").

2. \_\_\_\_\_ (MWBE subcontractor) shall permit representatives of the City of Houston, at all reasonable times, to perform (1) audits of the books and records of the subcontractor, and (2) inspections of all places where work is to be undertaken in connection with this subcontract. Subcontractor shall keep such books and records available for inspection for at least 4 years after the end of its performance under this subcontract. Nothing in this provision shall change the time for bringing a cause of action nor the applicable statute of limitations.

3. Within 5 business days of execution of this subcontract, Construction Project Manager (prime Construction Project Manager) and Subcontractor shall designate in writing to the Director an agent for receiving any notice required or permitted to be given pursuant to Chapter 15 of the Houston City Code of Ordinances, along with the street and mailing address and phone number of such agent.

4. Any controversy between the parties involving the construction or application of any of the terms, covenants or conditions of this subcontract shall, on the written request of one party served upon the other or upon notice by Director served on both parties, be submitted to binding arbitration, under the Texas General Arbitration Act (Tex. Civ. Prac. & Rem. Code Ann., Ch. 171 -- "the Act"). Arbitration shall be conducted according to the following procedures:

a. Upon the decision of the Director or upon written notice to the Director from either party that a dispute has arisen, the Director shall notify all parties that they must resolve the dispute within thirty (30) days or the matter may be referred to arbitration.

b. If the dispute is not resolved within the time specified, any party or the Director may submit the matter to arbitration conducted by the American Arbitration Association under the rules of the American Arbitration Association.

c. Each party shall pay all fees required by the American Arbitration Association and sign a form releasing the American Arbitration Association and its arbitrators from liability for decisions reached in the arbitration.

d. If the American Arbitration Association no longer administers Affirmative Action arbitration for the City, the Director shall prescribe alternate procedures as necessary to provide arbitration by neutrals in accordance with the requirements of Chapter 15 of the Houston City Code of Ordinances.

e. All arbitrations shall be conducted in Houston, Texas unless the parties agree to another location in writing.

# **CONTRACTOR DRUG-FREE WORKPLACE POLICY -**

## **SAMPLE GUIDELINES**

- **NAME OF DRUG TESTING LAB**

The XYZ Company will utilize ABC Drug Screening Laboratories, 1234 Anywhere Street, Houston, Texas for all random and pre-employment drug testing.

- **RANDOM TESTING**

The XYZ Company shall randomly drug test a number equal to at least 25% of the employees in safety impact positions over the term of the City of Houston contract or annually, whichever is shorter. Drug testing shall be evenly distributed over the term of the contract or the year, whichever is shorter.

- **REASONABLE SUSPICION**

The XYZ Company shall drug test employees who are performing City of Houston contract work when reasonable suspicion exists. Employees' reasonably suspected to be impaired by drugs or alcohol shall be prevented from engaging in further work of any sort for the city, and will be subject to immediate drug testing.

- **POST ACCIDENT**

An employee shall be tested if involved in a work-related accident on a City of Houston contract worksite when the accident results in any injury or property damage.

- **SAFETY IMPACT POSITION(S)**

Company is to provide a listing of those positions, which are deemed as safety impact positions or provide a statement that no such positions exist.

- **EMPLOYEE DRUG & ALCOHOL POLICY ACKNOWLEDGEMENT FORM**

A blank copy of Employee Drug and Alcohol Policy Acknowledgement Form is to be submitted. Form is to state that the employee has read and understood the Company policy on drug and alcohol.

- **POLICY VIOLATION STATEMENTS**

Employees are prohibited from possessing, using, distributing, dispensing, manufacturing, selling or having in their possession or control any drug or banned substance while on duty or on City of Houston premises, or while acting in the course and scope of their contract at any City of Houston worksite.

- **CONSEQUENCE OF POSITIVE TEST:**

Any employee who violates the company drug and substance abuse policy shall be permanently removed from any contract City of Houston worksite.

- **CONSEQUENCE OF REFUSAL TO CONSENT:**

Any employee who refuses to consent to a drug test after notification shall be permanently removed from any contract City of Houston worksite.

**CONTRACTOR DRUG-FREE WORKPLACE POLICY -  
SAMPLE GUIDELINES**

• **DRUG TESTING PROCEDURES**

Any drug screen under these provisions shall include a urinalysis test to detect the presence of the following drug groups:

	<b>DRUG GROUP</b>	<b>INITIAL EMIT SCREEN (NG / ML)</b>	<b>CONFIRMATORY GC /MS TEST (NG / ML)</b>
<b>A.</b>	<b>AMPHETAMINES</b>	<b>1000</b>	
	<b>AMPHETAMINE</b>		<b>500</b>
	<b>METHAMPHETAMINE</b>		<b>500</b>
<b>B.</b>	<b>COCAINE METABOLITES</b>	<b>300</b>	<b>150*</b>
<b>C.</b>	<b>OPIATE METABOLITES</b>	<b>300</b>	
	<b>MORPHINE</b>		<b>300</b>
	<b>CODEINE</b>		<b>300</b>
<b>D.</b>	<b>PHENCYCLIDINE</b>	<b>25</b>	<b>25</b>
<b>E.</b>	<b>MARIJUANA METABOLITES</b>	<b>50</b>	<b>15**</b>

\* **BENZOLECGONINE**

\*\* **DELTA 9 TETRAHYDROCANNABINOL -9-CARBOXYLIC ACID**

Revised: October 1, 2002

Document 00603-DPC

CHECKLIST FOR DRUG POLICY SUBMITTAL

TO: CARLOS MARTINEZ FROM: [ENGINEER'S NAME]  
SR. PUBLIC LOSS INVESTIGATOR [ENGINEER'S TITLE]  
611 WALKER STREET [ENGINEERING FIRM'S NAME]  
3rd FLOOR ANNEX  
HOUSTON, TEXAS 77002 DATE: [Today's Date]

CONTRACTOR: [Low Bidder Name]  
PROJECT NAME: [Legal Project Name]  
PROJECT No.: DPC-[NNM]  
PROJECT MANAGER: [PM Name] TELEPHONE: [PM Phone] FAX: [PM Fax]

**DOCUMENTS CHECKED BELOW ARE BEING SUBMITTED: (Project Manager, check.)**

- DOC. 00601 - DRUG POLICY COMPLIANCE AGREEMENT (Standard Form)
- DOC. 00602 - CONTRACTOR'S DRUG-FREE WORKPLACE POLICY (Contractor creates this Document)
- DOC. 00605 - LIST OF SAFETY IMPACT POSITIONS (Contractor creates this List "OR")
- DOC. 00606 - CONTRACTOR'S CERTIFICATION OF NO SAFETY IMPACT POSITIONS

**CCODT REVIEW: THE FOLLOWING CHECKED ITEM(S) ARE MISSING FROM SUBMISSION/POLICY AND NEED TO BE CORRECTED PRIOR TO AWARD:**

- NAME OF DRUG TESTING LAB  
REASON FOR TESTING:
  - RANDOM TESTING - 25% ANNUALLY
  - REASONABLE SUSPICION
  - POST ACCIDENT
- SAFETY IMPACT POSITIONS INCOMPLETE
- EMPLOYEE ACKNOWLEDGMENT FORM
- DRUG TESTING PROCEDURES
- CONSEQUENCE OF POSITIVE TEST: PERMANENTLY REMOVED FROM ANY CONTRACT CITY WORKSITE.
- CONSEQUENCE OF REFUSAL TO CONSENT: PERMANENTLY REMOVED FROM ANY CONTRACT CITY WORKSITE.
- OTHER: \_\_\_\_\_

REJECTED	_____
	_____
	_____
APPROVED	_____

COMMENTS: \_\_\_\_\_

DATE RECEIVED: \_\_\_\_\_ RESUBMITTAL DATE: \_\_\_\_\_

END OF DOCUMENT

Document 00601

**DRUG POLICY COMPLIANCE AGREEMENT**

I, \_\_\_\_\_,  
Name Title

of \_\_\_\_\_  
Contractor

have authority to bind Contractor with respect to its Bid, Proposal, or performance of any and all contracts it may enter into with the City of Houston; and that by making this Agreement, I affirm that Contractor is aware of and by the time the Contract is awarded will be bound by and agree to designate appropriate safety impact positions for company employee positions, and to comply with the following requirements before the City issues a Notice to Proceed:

1. Develop and implement a written Drug Free Workplace Policy and related drug testing procedures for Contractor that meet the criteria and requirements established by the Mayor's Amended Policy on Drug Detection and Deterrence (Mayor's Drug Policy) and the Mayor's Drug Detection and Deterrence Procedures for Contractors (Executive Order No. 1-31).
2. Obtain a facility to collect urine samples consistent with Health and Human Services (HHS) guidelines and an HHS-certified drug-testing laboratory to perform drug tests.
3. Monitor and keep records of drug tests given and results; and upon request from the City of Houston, provide confirmation of such testing and results.
4. Submit semi-annual Drug Policy Compliance Declarations.

I affirm on behalf of Contractor that full compliance with the Mayor's Drug Policy and Executive Order No. 1-31 is a material condition of the Contract with the City of Houston,

I further acknowledge that falsification, failure to comply with or failure to timely submit declarations or documentation in compliance with the Mayor's Drug Policy or Executive Order No. 1-31 will be considered a breach of the Contract with the City and may result in non-award or termination of the Contract by the City.

\_\_\_\_\_  
Contractor Title

\_\_\_\_\_  
Signature Date

END OF DOCUMENT

Document 00644

**DRUG POLICY COMPLIANCE DECLARATION**

**BEFORE ME**, the undersigned authority, on this day personally appeared

\_\_\_\_\_ who being by me duly sworn on his oath stated  
Affiant

that he is \_\_\_\_\_ of \_\_\_\_\_  
Title Contractor's Company Name

the Contractor named and referred to within the Contract documents; that he is fully competent and authorized to give this affidavit and that he has personal knowledge and full authority to make the following declarations:

This reporting period covers the preceding six months from \_\_\_\_\_ to \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_ A written Drug Free Workplace Policy has been implemented and employees notified.  
Initials The policy meets the criteria established by the Mayor's Amended Policy on Drug Detection and Deterrence (Mayor's Policy).

\_\_\_\_\_ Written drug testing procedures have been implemented in conformity with the Mayor's  
Initials Drug Detection and Deterrence Procedures for Contractors, Executive Order No. 1-31. Employees have been notified of such procedures.

\_\_\_\_\_ Collection/testing has been conducted in compliance with federal Health and Human  
Initials Services (HHS) guidelines.

\_\_\_\_\_ Appropriate safety impact positions have been designated for employee positions  
Initials performing on the City of Houston contract. The number of employees in safety impact positions during this reporting period is \_\_\_\_\_.

\_\_\_\_\_ From \_\_\_\_\_ to \_\_\_\_\_ the following testing has occurred:  
Initials Start date End date

[Short Project Name]  
WBS No. [WBS No.]

**CONTRACTOR'S CERTIFICATION OF  
NO SAFETY IMPACT POSITIONS**

Document 00606

**CONTRACTOR'S CERTIFICATION OF  
NO SAFETY IMPACT POSITIONS IN PERFORMANCE OF A CITY CONTRACT**

**BEFORE ME**, the undersigned authority, on this day personally appeared

\_\_\_\_\_

Affiant

who being by me duly sworn on his oath stated that he is \_\_\_\_\_

Title

of \_\_\_\_\_

Contractor

and that no employee safety impact positions, as defined in §5.17 of Executive Order  
No. 1-31, will be involved in performing \_\_\_\_\_

Project

Contractor agrees and covenants that it shall immediately notify the City of Houston  
Director of Personnel if any safety impact positions are established to provide services  
in performing this City Contract.

\_\_\_\_\_

Affiant's Signature

SWORN AND SUBSCRIBED before me on this day of \_\_\_\_\_, 20\_\_.

\_\_\_\_\_

Notary Public in and for the State of TEXAS

\_\_\_\_\_

Print or Type Notary Public Name

My Commission Expires: \_\_\_\_\_

Expiration Date

END OF DOCUMENT



Document 470  
(POP-1A)

Pay or Play Program  
Acknowledgement Form

**What this form does:** This form acknowledges your awareness of the Pay or Play program. Your signature affirms that you will comply with the requirements of the program if you are the successful bidder/proposer, and ensure the same on behalf of subcontracts subject to the Pay or Play program.

For more information, contact the Project Manager.

Routing: Return this form with your bid or proposal.

I declare under penalty of perjury under the laws of the State of Texas that if awarded a contract, I will comply with the requirements of the Pay or Play Program.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
City Vendor ID

\_\_\_\_\_  
Company Name

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
Email Address

\_\_\_\_\_

Document 00630  
(POP-2)  
City of Houston  
Certification of Compliance with  
Pay or Play Program

Contractor Name: \_\_\_\_\_ \$ \_\_\_\_\_  
(Contractor/Subcontractor) (Amount of Contract)

Contractor Address: \_\_\_\_\_

Project No.: «WBSNo» \_\_\_\_\_

Project Name: «LegalPrjName» \_\_\_\_\_

POP Liaison Name: \_\_\_\_\_

In accordance with the City of Houston Pay or Play Program authorized by Ordinance 2007-534 and Executive Order 1-7, Contractor/Subcontractor agrees to abide by the terms of this Program. This certification is required of all contractors for contracts subject to the program. You must agree EITHER to PAY or to PLAY for all covered employees. The Contractor/Subcontractor may also Pay on behalf of some covered employees and Play on behalf of other covered employees.

The Contractor/Subcontractor will comply with all provisions of the Pay or Play Program and will furnish all information and reports requested to determine compliance with program requirements of the Pay or Play Program (See Executive Order 1-7 for the terms of the Pay or Play program) The criteria of the program is as follows:

The Contractor/Subcontractor agrees to "Pay" \$1.00 per hour for work performed by covered employees under the contract with the City. If independent contract labor is utilized the Contractor/Subcontractor agrees to report hours worked by the independent contract laborer and pay \$1.00 per hour for work performed.

Otherwise the Contractor/Subcontractor agrees to "Play" by providing health benefits to each covered employee. The health benefits must meet the following criteria:

1. The employer will contribute no less than \$150 per employee per month toward the total premium cost for single coverage only; and
2. The employee contribution, if any amount, will be no greater than 50% of the total premium cost and no more than \$150 per month.
3. Pursuant to E.O. 1-7 section 4.04 a contractor is deemed to have complied with respect to a covered employee who is not provided health benefits if the employee refuses the benefits and the employee's contribution to the premium is no more than \$40 per month.

Please select whether you choose to:	Pay	Play	Both
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The Contractor/Subcontractor will file compliance reports with the City, which will include activity for covered employees subject to the program, in the form and to the extent requested by the administering department. Compliance reports shall contain information including, but not limited to, documentation showing employee health coverage and employee work records.

**Note: The Contractor is responsible to the City for the compliance of covered employees of covered subcontractors and only forms that are accurate and complete will be accepted.**

*Estimated Number of:	Prime Contractor	Sub-Contractor
Total Employees on City Job		
Covered Employees		
Non-Covered Employees		
Exempt Employees		

**\*Required**

I hereby certify that the above information is true and correct.

Contractor (Signature) \_\_\_\_\_

Date \_\_\_\_\_

Name and Title (Print or type) \_\_\_\_\_

Document 00452  
Form A  
CONTRACTOR SUBMISSION LIST  
CITY OF HOUSTON FAIR CAMPAIGN ORDINANCE

The City of Houston Fair Campaign Ordinance makes it unlawful for a Contractor to offer any contribution to a candidate for City elective office (including elected officers-elect) during a certain period of time prior to and following the award of the Contract by the City Council. The term "Contractor" includes proprietors of proprietorships, partners or joint venturers having an equity interest of 10 percent or more for the partnership or joint venture, and officers, directors and holders of 10 percent or more of the outstanding shares of corporations. Submission of a statement disclosing the names and business addresses of each of those persons is required with each Bid/Proposal for a City Contract. See Chapter 18 of the City of Houston Code of Ordinances for further information.

This list is submitted under the provisions of Section 18-36(b) of the City of Houston Code of Ordinances in connection with the attached Bid/Proposal of:

Firm or Company Name: \_\_\_\_\_

Firm or Company Address: \_\_\_\_\_

The firm/company is organized as indicated below. Check one as applicable and attach additional pages if needed to supply the required names and addresses.

SOLE PROPRIETOR

Name \_\_\_\_\_  
Proprietor Address \_\_\_\_\_

A PARTNERSHIP

LIST EACH PARTNER HAVING EQUITY INTEREST OF 10% OR MORE OF PARTNERSHIP (IF NONE STATE "NONE")

Name \_\_\_\_\_  
Partner Address \_\_\_\_\_

Name \_\_\_\_\_  
Partner Address \_\_\_\_\_

A CORPORATION

LIST ALL DIRECTORS OF THE CORPORATION (IF NONE STATE "NONE")

Name \_\_\_\_\_  
Director Address \_\_\_\_\_

[Short Project Name]  
Project No. [GFS/CIP/AIP/File No.]

**CONTRACTOR SUBMISSION LIST  
FAIR CAMPAIGN ORDINANCE**

Name \_\_\_\_\_  
Director \_\_\_\_\_ Address \_\_\_\_\_

Name \_\_\_\_\_  
Director \_\_\_\_\_ Address \_\_\_\_\_

LIST ALL OFFICERS OF THE CORPORATION (IF NONE STATE "NONE")

Name \_\_\_\_\_  
Officer \_\_\_\_\_ Address \_\_\_\_\_

Name \_\_\_\_\_  
Officer \_\_\_\_\_ Address \_\_\_\_\_

Name \_\_\_\_\_  
Officer \_\_\_\_\_ Address \_\_\_\_\_

LIST ALL INDIVIDUALS OWNING 10% OR MORE OF OUTSTANDING  
SHARES OF STOCK OF THE CORPORATION (IF NONE STATE "NONE")

Name \_\_\_\_\_  
Owner \_\_\_\_\_ Address \_\_\_\_\_

Name \_\_\_\_\_  
Owner \_\_\_\_\_ Address \_\_\_\_\_

Name \_\_\_\_\_  
Owner \_\_\_\_\_ Address \_\_\_\_\_

I certify that I am duly authorized to submit this list on behalf of the firm, that I am associated with the firm in the capacity noted below, and that I have knowledge of the accuracy of the information provided herein.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

Note: This list constitutes a government record as defined by § 37.01 of the Texas Penal Code.

END OF DOCUMENT





**6. Optional Information**

Contracting Entity and/or \_\_\_\_\_ [NAME OF OWNER  
OR NON-PROFIT OFFICER] is actively protesting, challenging or appealing the accuracy and/or amount of  
taxes levied against \_\_\_\_\_ [CONTRACTING ENTITY, OWNER OR  
NON-PROFIT OFFICER] as follows:

Name of Debtor: \_\_\_\_\_  
Tax Account Nos. \_\_\_\_\_  
Case or File Nos. \_\_\_\_\_  
Attorney/Agent Name \_\_\_\_\_  
Attorney/Agent Phone No. (\_\_\_\_) \_\_\_\_\_  
Tax Years \_\_\_\_\_

Status of Appeal [DESCRIBE] \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Affiant certifies that he or she is duly authorized to submit the above information on behalf of the Contracting Entity, that Affiant is associated with the Contracting Entity in the capacity noted above and has personal knowledge of the accuracy of the information provided herein, and that the information provided herein is true and correct to the best of Affiant's knowledge and belief.

\_\_\_\_\_  
Affiant

**SWORN TO AND SUBSCRIBED** before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

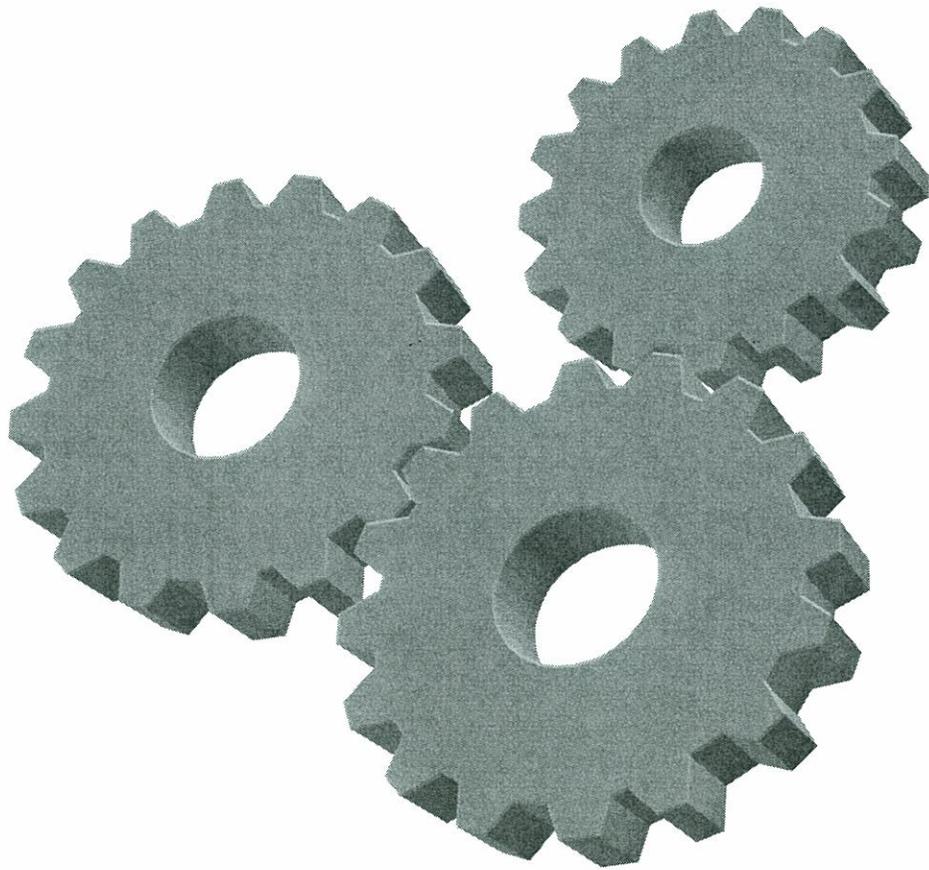
(Seal)

\_\_\_\_\_  
Notary Public

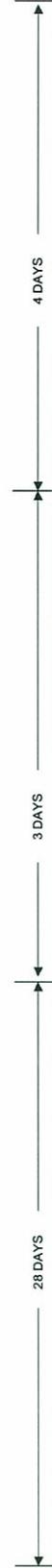
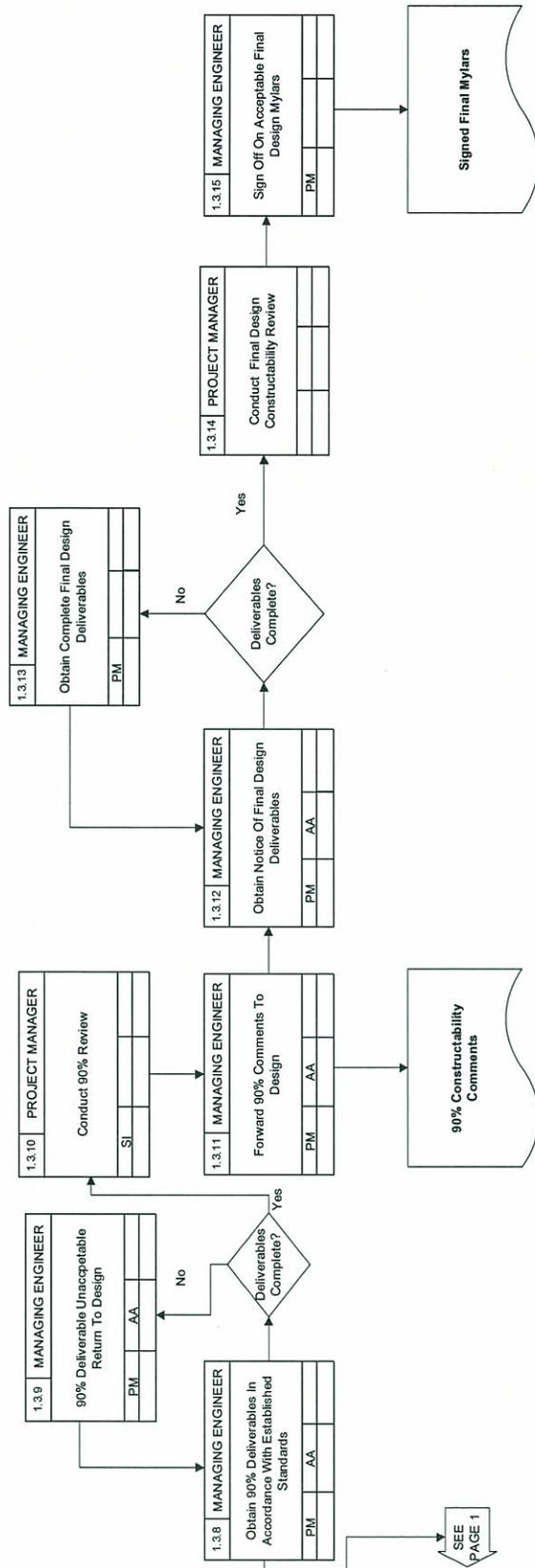
**NOTE:**

This affidavit constitutes a **government record** as defined by Section 37.01 of the Texas Penal Code. Submission of a false government record is punishable as provided in Section 37.10 of the Texas Penal Code. Attach additional pages if needed to supply the required names and addresses.

# PROCESS STANDARD

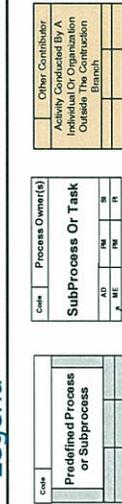


# PROCESS - 1.3 PROVIDE CONSTRUCTABILITY INPUT DURING DESIGN



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend



Code	Process Owner(s)
US	ME
AE	PM
SI	SI
IR	IR

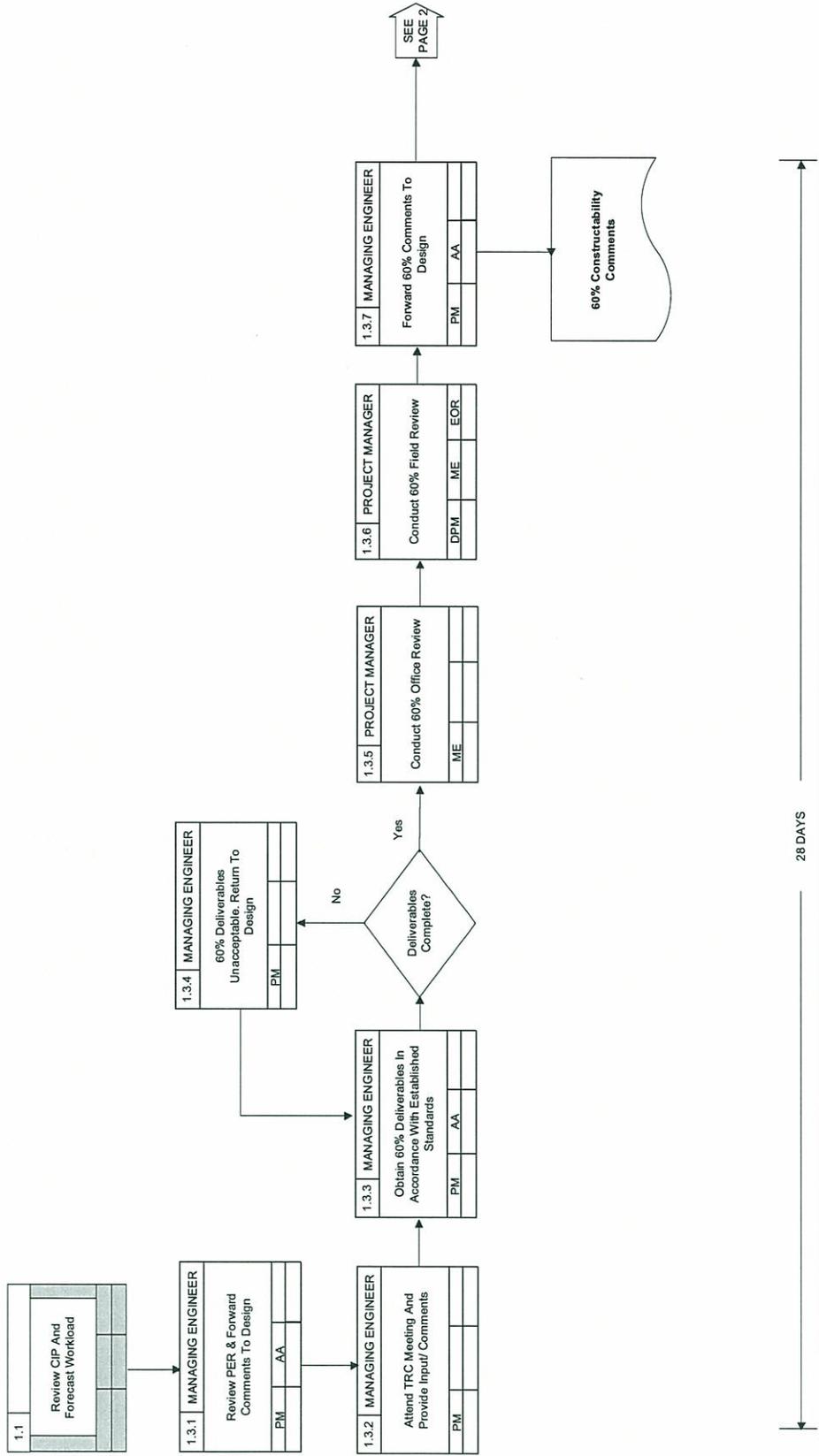
(CONTRIBUTOR) (Left) Participates in a process

Other Contributor	Activity Conducted By A Party Outside The Construction Branch
ME = MANAGING ENGINEER	
SI = SENIOR INSPECTOR	
EA = ENGINEER OF RECORD	
DPM = DESIGN PROJECT MANAGER	
APM = ASSISTANT PROJECT MANAGER	

CONTRIBUTORS  
 AD = ASSISTANT DIRECTOR  
 AS = ADMIN SUPERVISOR  
 PM = PROJECT MANAGER  
 PE = PROJECT INSPECTOR  
 PMA = PROJECT MANAGER ASSISTANT  
 APM = ASSISTANT PROJECT MANAGER



# PROCESS - 1.3 PROVIDE CONSTRUCTABILITY INPUT DURING DESIGN



CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION  
CONSTRUCTION BRANCH PROCESS MAP

## Legend

**Contributors**  
 ME = MANAGING ENGINEER  
 SI = SENIOR INSPECTOR  
 EOR = ENGINEER OF RECORD  
 DPM = DESIGN PROJECT MANAGER  
 JPM = ADMINISTRATIVE ASSISTANT  
 APM = ASSISTANT PROJECT MANAGER

**Other Contributor:**  
 Activity Conducted By: A Individual Or Organization Outside Division Branch

**SubProcess Or Task**

Code	Process Owner(s)	PM	SI	PI	APM
1.3					

(CONTRIBUTORS) Likely to Participate  
SEE PAGE 2

**Deliverable**

**Update Database**

Suggested Logical dependency between activities

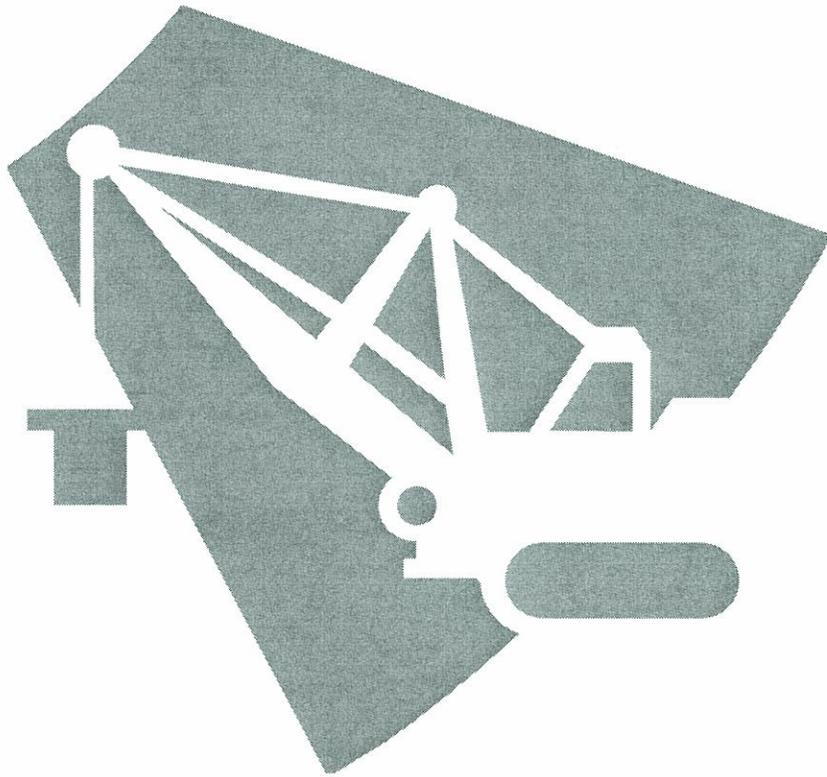
**Update Database**

Drawing Page: **1** of **2**

Rev. Nov. 2011



# PROCESS EXAMPLES



**CONSTRUCTION BRANCH / E & C  
PROJECT REVIEW CHECKLIST  
50% Drawings**

To: \_\_\_\_\_

From: \_\_\_\_\_

Date: \_\_\_\_\_

Project WBS No. / Description: \_\_\_\_\_

	YES	NO	NA	
				<b>Plans:</b>
1				Cover Sheet
2				Overall Layout Sheet
3				Survey Control Map
4				Plan and profile drawings of existing conditions and existing utilities
5				Plan drawings of proposed improvements
6				Profile drawings of proposed improvements at critical locations and potential conflicts
7				Locations of crossings (RR, HCFCD, TXDOT, etc.), potentially contaminated areas and proposed real estate acquisitions.
8				For Facilities Projects - process flow diagrams; piping and instrumentation diagrams, as applicable
9				For Water and Wastewater Projects - design calculations for the proposed improvements and system head curves for pumps
				<b>Specs:</b>
10				Table of Contents for construction specifications
				<b>Other:</b>
11				Design review checklist (as available)
12				Initial coordination effort with private utilities regarding conflicts for the project

\_\_\_\_\_  
(PRINT) Design Branch Rep.

\_\_\_\_\_  
(SIGNATURE) Design Branch Rep.      Date

\_\_\_\_\_  
(PRINT) Plans Received By

\_\_\_\_\_  
(SIGNATURE) Plans Received By      Date

**CONSTRUCTION BRANCH / E & C  
PROJECT REVIEW CHECKLIST  
70% Drawings**

To: \_\_\_\_\_  
 From: \_\_\_\_\_  
 Date: \_\_\_\_\_  
 Project WBS No. / Description \_\_\_\_\_

	YES	NO	N/A	
<b>Plans</b>				
1				Cover Sheet
2				Index Sheet (list of drawings)
3				Overall Layout Sheet
4				Survey Control Map
5				General Notes Sheets (as required)
6				Plan and profile drawings of existing conditions, existing utilities and proposed improvements
7				Details of crossings (RR, HCFCD, TXDOT, etc.), potentially contaminated areas, and proposed real estate acquisitions
8				Standard Details
9				Traffic Control Plan, Detour Plans and temporary Traffic Signal plans (if required)
10				Storm Water Pollution Prevention Plan (if required)
11				Tree and plant protection plan (if required)
<b>For Paving Projects, also include:</b>				
12				a. Typical roadway section/cross section
13				b. Proposed Traffic Signal Plans
14				c. Proposed Paving Marking and Signage Plans
15				d. Street Lighting Plans
16				e. Drainage Area Maps
17				f. Houston Storm Sewer Computations
18				For Facilities Projects - process flow diagrams; piping and instrumentation diagrams, as applicable
19				For Water & Wastewater Projects - design calculations for the proposed improvements and system head curves for pumps
<b>Specs:</b>				
20				Table of contents
21				Document 00410 (Bid Form) with all bid items, but excluding quantities
22				Section 01110 (Summary of Work)
23				Completed technical specifications (Division 2 through 16, as required)
24				All supplemental and non-standard technical specifications included in Division 2 through 16 identified
<b>Other:</b>				
25				A detailed construction cost estimate
26				Design review checklist (as available)
27				ESA I
28				ESA II (if applicable)
29				Geotech Report

(PRINT) \_\_\_\_\_ Design Branch Rep.

(SIGNATURE) \_\_\_\_\_ Design Branch Rep. Date \_\_\_\_\_

(PRINT) \_\_\_\_\_ Plans Received By

(SIGNATURE) \_\_\_\_\_ Plans Received By Date \_\_\_\_\_

**CONSTRUCTION BRANCH / E & C  
PROJECT REVIEW CHECKLIST  
90% Drawings**

To: \_\_\_\_\_

From: \_\_\_\_\_

Date: \_\_\_\_\_

Project WBS No. / Description: \_\_\_\_\_

	YES	NO	N/A	
1				Completed sets of construction drawings, with all review comments resolved.
2				Completed construction specifications
3				Sheet-by-sheet quantity takeoff, flagman hour calculation, and documentation to support the construction duration specified
4				Provides permit approval, as applicable, from TXDOT, HCFCD, Railroads, U.S. Army Corps of Engineers, and Harris County Public Infrastructure Department
5				Documents submittals of plans to City for Building Permit Application (including Floodplain Administration) and to Texas Department of Licensing and Regulations for ADA requirements, if applicable
6				For wastewater projects, submits Final Engineering Design Report (FEDR) in conformance with TCEQ requirements

\_\_\_\_\_  
(PRINT) Design Branch Rep.

\_\_\_\_\_  
(SIGNATURE) Design Branch Rep.    Date

\_\_\_\_\_  
(PRINT) Plans Received By

\_\_\_\_\_  
(SIGNATURE) Plans Received By    Date

**CONSTRUCTION BRANCH / E & C  
PROJECT REVIEW CHECKLIST  
Final Mylars (100%)**

To: \_\_\_\_\_

From: \_\_\_\_\_

Date: \_\_\_\_\_

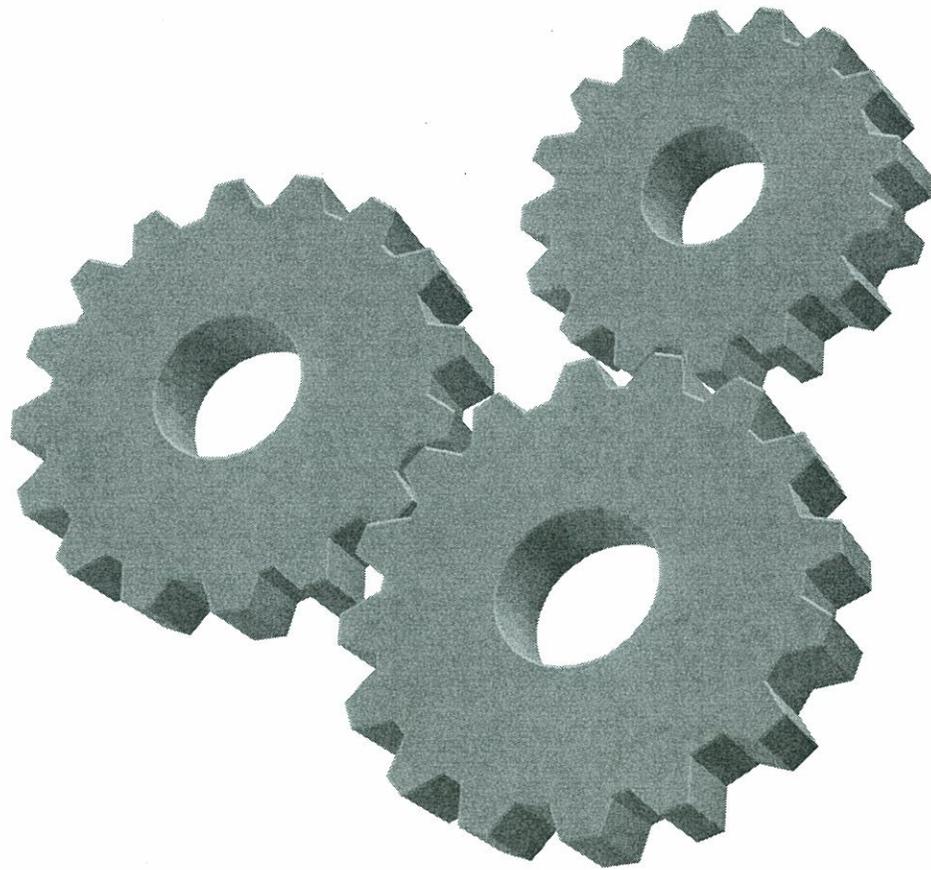
Project WBS No. / Description: \_\_\_\_\_

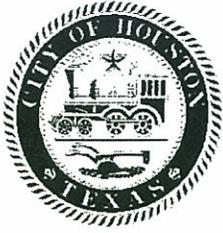
	YES	NO	N/A	
				<b>Bid-ready Drawings &amp; Specification /Mylars:</b>
1				Bid-ready construction documents (signed and sealed construction drawings with all required signatures and completed construction specifications).
2				Documents that application for City Building Permit is approved, if applicable
				<b>All Reports:</b>
3				Meter runs for all projects replacing watermains

\_\_\_\_\_  
(PRINT) Design Branch Rep.

\_\_\_\_\_  
(SIGNATURE) Design Branch Rep.      Date

# PROCESS STANDARD





# CITY OF HOUSTON

Public Works and Engineering  
Department

## Interoffice

Correspondence

**To:** Construction Branch Personnel  
Engineering Branch Assistant Directors  
and Managing Engineers

**From:** Senior Assistant Director  
Construction Branch  
Engineering and Construction Division

**Date:** September 30, 2009

**Subject: CONSTRUCTABILITY REVIEWS AND  
CONSTRUCTION MANAGEMENT FEES**

Staff from Engineering and Construction has been discussing timeframes and deliverables associated with constructability reviews. We have also discussed the timeframes and costs associated with construction management. Below are the requirements and expectations for constructability reviews and the determination of back page appropriations to perform construction management on the CIP projects under our control. Attached to this memo are the checklist for 50%, 70%, 90% constructability reviews and the Project In-Processing Checklist.

### Constructability Reviews

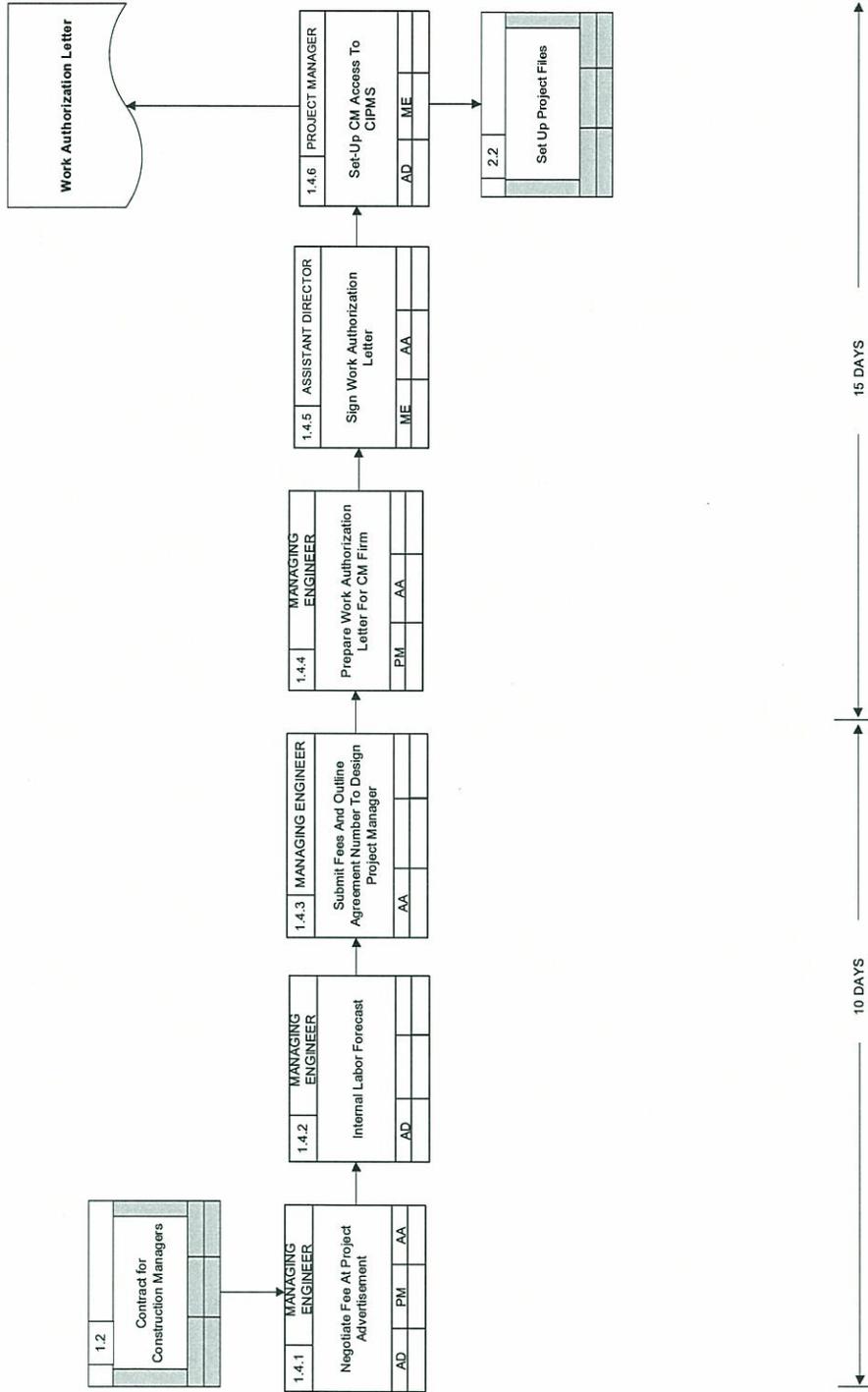
50% review consists of completed survey and an in depth schematic of the work to be performed. The EOR, Construction PM, Construction Field Representative (and preferably the ECD Design PM) are to perform a constructability review together in the field. The Construction PM will perform an in house review before or after the field review. Failure of the EOR to attend the field review is cause to return the plans to design not reviewed. While I do not necessarily recommend this on every occasion, I will back you up if it happens. We have a maximum of 4 weeks to complete this task. Our expectation is that all remarks will be addressed by the EOR. At this time it is the responsibility of the Construction AD/ME to post the Construction PM's name in the Engineering CIPMS Module.

70% review consists of the 50% review, a complete set of plan and profiles, Doc 00410, draft of Doc 01110, supplemental specs, job specific specs, tree plan, SWPPP, traffic control, ESA's, draft Geotech report, Pump Curves (if required), Hydraulic profile (if required) and any other items specific to the type of project. The conditions of the package should be a technical mock up of how the project will be bid. This is the PM's opportunity to completely review the project. We have 4 weeks to complete this review. Again, our expectation is that all remarks will be addressed by the EOR. To clarify the word "address", this does not necessarily mean to comply with the comments but it does require the EOR to explain why, in detail, a comment was not acted upon.

90% review consists of the 70% review items plus a hard copy of the complete project manual (excluding front end documents), specifications and construction drawings, permits (if applicable), construction duration calculation, flagman hour calculation and sheet by sheet takeoff. We have 3 weeks to complete this review. The 90% review should be a complete final review of the project.

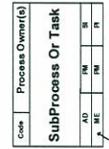
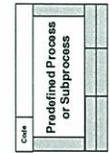
100% review consists of the 90% review plus the final project manual, specifications and mylars. We have 4 days after notification to sign the mylars or provide comments as to why deficiencies in the project documents prevent us from signing the mylars. These comments should be provided to the design PM and the design AD/ME. There should not be another major review at the mylar stage except for the review of the 90% comment responses from the consultant.

# PROCESS 1.4 - FEE NEGOTIATION FOR CONSTRUCTION MANAGEMENT SERVICES



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

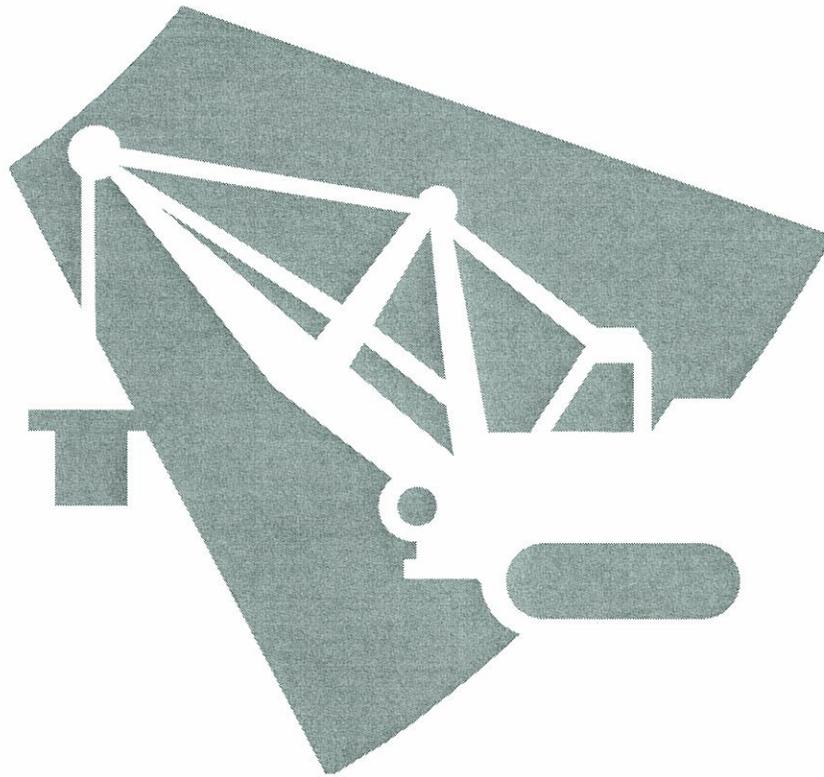
### Legend



- CONTRIBUTORS**
- AD = ASSISTANT DIRECTOR
  - AS = ADMIN SUPERVISOR
  - DC = DOCUMENT CONTROL
  - AA = ADMINISTRATIVE ASSISTANT
  - ME = MANAGING ENGINEER
  - SI = SENIOR INSPECTOR
  - PI = PROJECT INSPECTOR
  - EA = ENGINEERING ASSISTANT
  - IA = INVOICE ADMINISTRATOR
  - EOR = ENGINEER OF RECORD
  - DPM = ECD DESIGN PM
  - APM = ASSISTANT PROJECT MANAGER



# PROCESS EXAMPLES



**CURRENT WORKLOAD - EAST SECTOR**

Project Number	Project Name	Key Map	Project Estimate	Planned Date of Advertisement	CM/PROJECT MANAGER	SENIOR INSPEC
N-000774-0002-3	TRANSPORTATION ENHANCEMENTS TO NEAR NORTHSIDE	453U,4493C,493D,493G,493H,534Y,453Z	\$ 1,710,534.00	1/15/10	E. KELLY	B. BARAJAS
M-000272-0001-3	CRESTMONT PARK, SOUTH ACRES	573H-574J	\$ 6,670,747.06	2/26/10	JACOBS ENG./AYUB	D. GARCIA
S-000025-0101-3	KASHMERE GARDENS WMR PROJECT	454S,454T,454W,454X	\$ 2,270,398.10	3/19/10	S. KOUKATSIKAS	D. GARCIA
M-000278-0001-3	SCARSDALE (ASTORIA FROM FLUSHING MEADOWS TO BINGHAMPTON)	618D,618H,617A	\$ 4,486,000.00	3/26/10	E. KELLY	D. GARCIA
R-000801-0013-3	SEWER SERVICE TO UNSERVED AREAS PACKAGE 1:- SHARED FACILITIES (REGIONAL) SANITARY SEWER IMPROVEMENTS - MAGNOLIA POINT LIFT STATION, FORCE MAIN & TRUNK MAIN; STRANGE'S CAMP LIFT STATION & FORCE MAIN		\$ 5,568,346.30	3/26/10	WESTON/KOUKATSIKAS	B. BARAJAS
S-000035-0103-3	ATHERTON WMR PROJECT	298X,298Y,298Z,299W				
N-000817-0001-3	HIRSCH ROAD PAVING: KELLEY STREET TO E. CROSSTIMBERS BLVD.	455Z,494B,494C,494F,494G	\$ 2,244,000.80	3/28/10	P. DEWALT	B. BARAJAS
N-000807-0001-3	NORTH PARK DRIVE PAVING: LAKE HOUSTON PARKWAY TO MILLS BRANCH DRIVE	454P	\$ 14,610,000.00	5/21/10	UNITED ENG./KOUKATSIKAS	B. BARAJAS
M-000273-0001-3	CAPISTRANO VILLAS, GLENBROOK VALLEY, HOLIDAY FOREST	297T	\$ 3,200,000.00	5/21/10	P. DEWALT	B. BARAJAS
N-00810A-0102-3	SAFE SIDEWALK PROGRAM BURNET ELEMENTARY SCHOOL	535T	\$	6/11/10	E. KELLY	D. GARCIA
N-00810A-0103-3	SAFE SIDEWALK PROGRAM -BRISCOE ELEMENTARY SCHOOL	495E	\$	6/25/10	P. DEWALT	B. BARAJAS
N-00810A-0104-3	SAFE SIDEWALK PROGRAM FRANKLIN / TIJERINA ELEMENTARY SCHOOL	535C	\$	6/25/10	P. DEWALT	B. BARAJAS
N-00810A-0105-3	SAFE SIDEWALK PROGRAM - DEZAVALA ELEMENTARY SCHOOL	534K	\$	6/25/10	P. DEWALT	B. BARAJAS
N-00810A-0106-3	SAFE SIDEWALK PROGRAM-CARRILLO ELEMENTARY SCHOOL	535W	\$	6/25/10	P. DEWALT	B. BARAJAS
R-002013-0002-3	NORTHSIDE SEWER RELIEF TUNNEL REHABILITATION AREA #1	495E	\$	6/25/10	P. DEWALT	B. BARAJAS
S-000801-0019-3	UNSERVED AREAS (MINNETEX)	453K,453P	\$ 7,000,000.00	7/16/10	HDR/AYUB	D. GARCIA
S-000035-0111-3	WATER LINE REPLACEMENT IN CRANE-ENGLEWOOD AREA	572T,572U,572V,572X,572Y,572Z,573S,573T,573U,573V,573W,573X,573Y,574S,574T,574U,574V,574W,574X,574Y,574Z	\$ 2,076,000.00	7/30/10	E. KELLY	D. GARCIA
S-000035-0107-3	GARDEN OAKS PHASE II WMR PROJECT	454Y,454Z,455T,494C	\$ 2,630,000.00	8/13/10	COBB,FENDLEY/KELLY	B. BARAJAS
S-000035-0112-3	WATER LINE REPLACEMENT IN LAURA KOPPEE AREA	452E,452L,452Z	\$ 2,687,200.00	8/20/10	COBB,FENDLEY/KELLY	B. BARAJAS
S-000035-0108-3	RIVERWOOD ESTATES & JOHN ALBER WMR PROJECT	453D,453H,454A,454B,454E,454F	\$ 3,050,000.00	8/20/10	COBB,FENDLEY/KELLY	B. BARAJAS
M-000282-0001-3	HOUSTON GARDEN, HOMESTEAD	413S,413T,415E	\$ 2,198,800.00	8/27/10	S. KOUKATSIKAS	B. BARAJAS
N-000382-0001-3	NSR 450	454R,455N	\$ 4,482,000.00	11/12/10	S. AYUB	B. BARAJAS
R-000801-0016-3	UNSERVED AREAS OF SUBDIVISIONS: MINNETEX PLACE AND GOLDEN GLADE ESTATES AREA	494P,494Z,453U	\$ 3,357,251.99	11/12/10	P. DEWALT	D. GARCIA
R-002011-0051-3	NEIGHBORHOOD SANITARY SEWER SYSTEM IMPROVEMENT - RELOCATION OF COMMUNITY SEWERS AT BASINS #011, SB162-TRUXILLO STREET BACKLOT SEWER RELOCATION, DIVERSION OF NWHCMUD #25 LIFT STATION FLOW.	574E,574F,574G	\$ 4,130,436.00	3/11/11	E. KELLY	D. GARCIA
N-000688-0001-3	LEY ROAD PAVING: MESA ROAD TO HB & TRR GRADE SEPARATION	409U,409V,410S,494P,493Y	\$ 2,050,627.20		E. KELLY	B. BARAJAS
S-000035-0114-3	KINGSPPOINT WMR PROJECT	455J,455K,455L	\$ 6,000,000.00	4/22/11	S. KOUKATSIKAS	B. BARAJAS
S-000035-0115-3	PARK PLACE WMR PROJECT	576N,576P,576S,576T,576X	\$ 2,287,000.00	4/22/11	S. KOUKATSIKAS	B. BARAJAS
S-000035-0109-3	LOCKWOOD WMR PROJECT	535F,535K,535L,535P,535Q,535T	\$ 2,102,000.00	4/28/11	S. AYUB	D. GARCIA
S-000035-0116-3	POLK WMR PROJECT	546K,454L,454P,454Q	\$ 2,750,250.00	5/6/11	S. KOUKATSIKAS	D. GARCIA
S-000035-0128-3	WATER LINE REPLACEMENT IN BEAMER AREA	483V,483Z,494N,494S,494W,394Z,534D	\$ 1,970,000.00	5/6/11	S. AYUB	D. GARCIA
I-000673-0001-3	BROADWAY RECONSTRUCTION: IH45 TO AIRPORT BLVD.	576S,576W,576X,576Y,616C	\$ 2,136,000.00	9/9/11	S. KOUKATSIKAS	D. GARCIA
I-000705-0001-3	HUGHES ROAD REHABILITATION: BW8 TO CITY LIMITS	535TX,575B	\$ 12,680,000.00	11/11/11	E. KELLY	D. GARCIA
I-000733-0002-3	HARVEY WILSON RECONSTRUCTION: LOCKWOOD TO CLINTON.	576Y,616BC	\$ 4,500,000.00	11/11/11	E. KELLY	D. GARCIA
I-000688-0001-3	SABO PAVING: KINGSPPOINT TO FUQUA	494Q,494R	\$ 6,938,618.00	12/30/11	S. AYUB	D. GARCIA
I-00810A-00L3-4	SAFE SIDEWALK PROGRAM L3	476T	\$ 5,257,400.00	2/17/12	E. KELLY	D. GARCIA
I-00810A-00L4-4	SAFE SIDEWALK PROGRAM L4	417A,377B	\$ 2,315,000.00	9/24/10	P. DEWALT	B. BARAJAS
I-002013-0005-3	NORTHSIDE SEWER RELIEF TUNNEL REHABILITATION AREA #4	534Z,535A	\$ 2,186,000.00	9/24/10	P. DEWALT	B. BARAJAS
I-000186-0002-4	CENTRAL PARK SUBDIVISION STORM SEWER FACILITIES (PHASE II)	494E,F,J,K,N,P	\$ 6,000,000.00	7/16/10	AYUB	D. GARCIA
I-000377-0001-4	NEIGHBORHOOD STREET RECONSTRUCTION PROJECT 445	494R, 494V	\$ 7,968,153.00	COMPLETE	E. KELLY	D. GARCIA
I-000380-0001-4	NEIGHBORHOOD STREET RECONSTRUCTION PROJECT 448	495A,495E,458Y,456Z	\$ 3,488,100.00	COMPLETE	E. KELLY	D. GARCIA
I-000382-0001-4	NEIGHBORHOOD STREET RECONSTRUCTION PROJECT 457	533K, 534N, 534K	\$ 9,964,538.21	COMPLETE	OMEGA/E. KELLY	D. GARCIA
I-000574-0001-4	MONROE PAVING FROM ALMEDA GENOA TO FUQUA	VARIOUS	\$ 4,253,413.65	ACTIVE	JACOBS/E. KELLY	D. GARCIA
I-000782-0002-4	CONCRETE PAVEMENT MANAGEMENT AND IMPROVEMENT PROGRAM, KASHMERE	575Q, 575U.	\$ 7,414,153.29	COMPLETE	UE/E. KELLY	D. GARCIA
I-00810A-0112-4	WORK AUTHORIZATION PROJECT 112	454U, 454Y	\$ 3,711,819.00	ACTIVE	PT/E. KELLY	B. BARAJAS
I-002011-0051-4	NEIGHBORHOOD SANITARY SEWER SYSTEM-IMPROVEMENT-RELOCATION OF COMMUNITY SEWERS AT BASINS #011, SB-162-TRUXILLO STREET BACKLOT SEWER RELOCATION, DIVERSION OF NWHCMUD #25 LIFT STATION FLOW	495E, 535W, 534K, 535C, 495E, 492B	\$ 596,182.50	ACTIVE	E. KELLY	B. BARAJAS
I-00700-0082-4	WA 10844 WATER LINE GRID EXTENSIONS ALONG NORTH PARK, N.WAYSIDE, MT. HOUSTON, HOMESTEAD AND WINFIELD	409U, V, 410D, 494P, 493Y	\$ 2,050,627.20	ACTIVE	E. KELLY	D. GARCIA
I-00289-0001-4	CLAIRMONT PLACE DRAINAGE IMPROVEMENTS	296	\$ 2,849,982.00	COMPLETE	E. KELLY	B. BARAJAS
I-0810A-00D7-4	SAFE SIDEWALK PROGRAM -D7 PROJECT	455F, B	\$ 4,341,845.30	COMPLETE	P. DEWALT	D. GARCIA
I-0810A-00H4-4	SAFE SIDEWALK PROGRAM -H4 PROJECT	VARIOUS	\$ 1,293,151.73	COMPLETE	P. DEWALT	B. BARAJAS
I-0810A-0108-4	SAFE SIDEWALK PROGRAM WORK AUTHORIZATION PROJECT: IN-HOUSE DESIGN	VARIOUS	\$ 841,950.56	COMPLETE	P. DEWALT	B. BARAJAS
I-00035-00M3-4	WATER LINE REPLACEMENT IN CLINTON-WEST AREA	495E, 535K, 454A.	\$ 574,477.25	ACTIVE	P. DEWALT	B. BARAJAS
I-00035-00W5-4	WATER LINE REPLACEMENT AT PORT HOUSTON	494F, J, K, N	\$ 1,852,251.29	ACTIVE	P. DEWALT	B. BARAJAS

**CM FIRM:**

Project Name:  
 WBS NO.:  
**CONSTRUCTION MANAGEMENT & INSPECTION SERVICES**

	STRAIGHT TIME		SR INSPECTOR		INSPECTOR	
	PROJECT MANAGER	ADMINISTRATIVE ASSISTANT				
MULTIPLIER (BY CONTRACT)	3.0	3.0				2.7
RAW RATE	\$12.00	\$10.00				\$10.00
SUBCONSULTANT ASSIGNMENT	NO	NO				YES
BILLING RATE	\$36.00	\$30.00				\$27.00
PROJECT DURATION	280 CALENDAR DAYS					

CONSTRUCTION MANAGEMENT & INSPECTION	TOTALS (HRS)	Pre-Construction	HOURS/MONTH											
			MONTH 1	MONTH 2	MONTH 3	MONTH 4	MONTH 5	MONTH 6	MONTH 7	MONTH 8	MONTH 9	MONTH 10		
PROJECT MANAGER	250	20	20	20	20	20	20	20	20	20	20	20	20	30
ADMINISTRATIVE ASSISTANT	74	8	6	6	6	6	6	6	6	6	6	6	6	6
INSPECTOR	2040	120	200	200	200	200	200	200	200	200	200	200	200	160
REIMBURSABLE	\$2,325.00	\$ 125.00	\$ 200.00	\$ 200.00	\$ 200.00	\$ 200.00	\$ 200.00	\$ 200.00	\$ 200.00	\$ 200.00	\$ 200.00	\$ 200.00	\$ 200.00	\$ 200.00

TOTAL CM&I LABOR COSTS \$66,300.00

TOTAL EXPENSES \$2,325.00

CLOSE OUT \$3,600.00

SUBCONSULTANT MARK-UP \$1,384.80

CM&I COSTS \$73,509.80

CONSTRUCTION CONTRACT PRICE \$1,700,000.00

% OF CONSTRUCTION COST 4.32%



# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2480  
www.houstontx.gov

Date

Addressee's Name, P.E., (Title)

Company Name

Mailing Address

City, State Zip Code

**RE: (CONTRACT TITLE) "ALL CAPS"  
WORK AUTHORIZATION-CONSTRUCTION MANAGEMENT AND INSPECTION SERVICES  
ORDINANCE NUMBER: XXX-XXXX, CONTRACT NUMBER: XXXXXXXX**

Dear XXXXXXXX:

The City of Houston hereby authorizes **(Name of CM Company)** to begin the construction management for the **(Project Title)** under the Contract referenced above. As agreed, (CM Company) will be compensated (\$00,000.00) on a reimbursable or (Lump Sum) basis in accordance with your Contract. Your services for this project should include all time and expenses beginning on the date of this Authorization Letter.

Work Authorization Number	Task	\$ Allocated
XXXXXXX  (MM/DD/YEAR)	Provide Construction Management and Inspection Services for <b>(Construction Project Title, Construction Project WBS Number, Construction OA Number and Construction Ordinance Number.</b>	\$XXX,XXX.00

Immediately upon receiving this letter, **(Name of CM Company)** shall submit for the City's approval a list of all prospective Construction Management and Inspection personnel and sub-consultants including information (or resume) regarding their qualifications and responsibilities. Construction Project Manager shall be responsible to ensure proper execution of the project and shall replace any of its personnel or sub-consultants whose work is deemed unsatisfactory by the City.

You shall notify us in writing when your compensation reaches 80 percent of the total value appropriated for your services. Your written notification shall also include your plan and estimate to complete services associated with the remainder of the project.

**(CM COMPANY NAME)**

**DATE**

**Page 2**

Should you require additional information, please contact Mr./Ms. XXXXXXXX, P.E., Managing Engineer, Construction Branch, at (832) 395-XXXX.

Sincerely,

\_\_\_\_\_, P.E.

Senior Assistant Director

Construction Branch

Engineering and Construction Division

Author Initials/Managing Engineer Initials/typist

c: Deputy Director, P.E.  
COH Project Manager  
Senior Inspector  
File No. WBS X-000XXX-000X-X, ( 2.1)

CM-Project Manager (Company Name)  
COH Document Control Manager

# City of Houston

## Department of Public Works & Engineering CIPMS Security Form Request

Submit completed form to, [cipms-help@houstontx.gov](mailto:cipms-help@houstontx.gov)

CIPMS HELP DESK: (832) 395-2082

Today's date: \_\_\_\_/\_\_\_\_/\_\_\_\_  
\_\_\_ New      \_\_\_ Update (provide details)      \_\_\_ Terminate

### I. Request Information (\* Required)

\*Employee name: \_\_\_\_\_

\*Job title: \_\_\_\_\_

\*Job Function:    \_\_\_ Admin Assistant      \_\_\_ Assistant Director      \_\_\_ Chief Engineer      \_\_\_ Director  
                         \_\_\_ Estimator                    \_\_\_ Inspector                    \_\_\_ Project Manager      \_\_\_ Senior Inspector

\*City of Houston Employee (Branch Info only required for employees of PWE – Engineering and Construction Division)  
Department: \_\_\_\_\_  
Division: \_\_\_\_\_  
Branch: \_\_\_\_\_

\*Non-City of Houston Employee: Company: \_\_\_\_\_

\*Address: \_\_\_\_\_

\*Phone:      (\_\_\_\_\_) \_\_\_\_\_      Fax:      (\_\_\_\_\_) \_\_\_\_\_

\*Email: \_\_\_\_\_

### II. Project Access: **Applicable only to consultants; provide WBS number** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

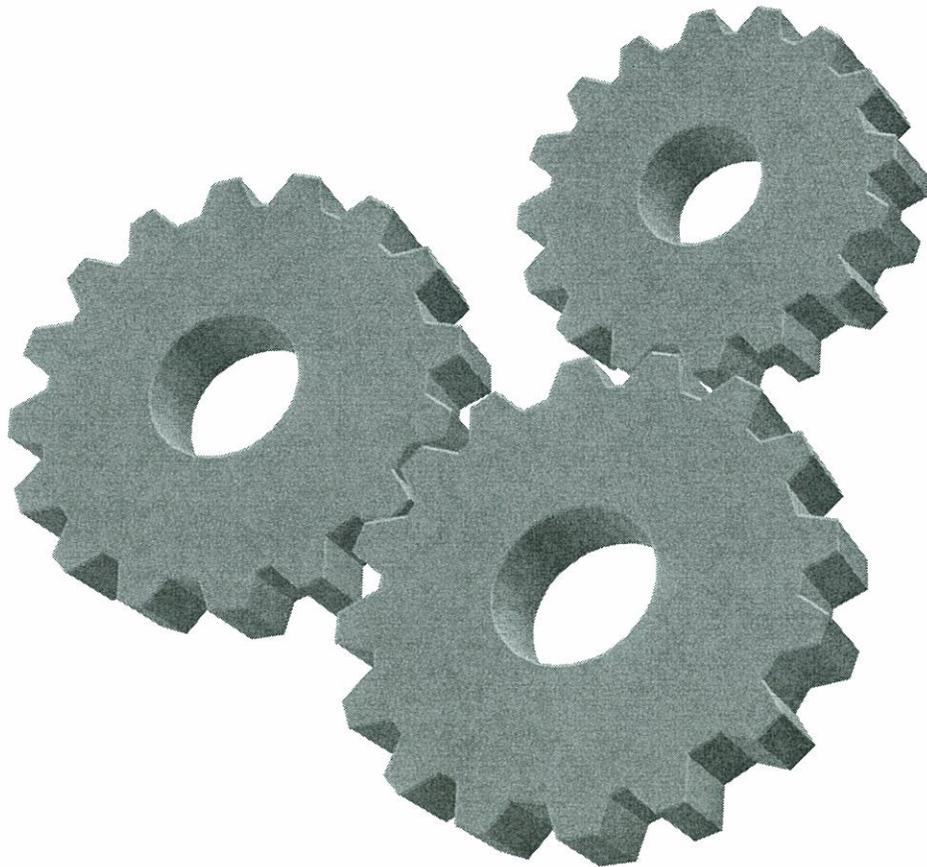
**\* APPROVAL: Consultant or users working for a PM must complete Lines 1 and 2.  
City Project Manager must complete Lines 2 and 3.**

No.	Title	Name	Signature	Date
1	Project Manager			
2	Manager, CE, or D.A.D.			
3	Assistant Director			

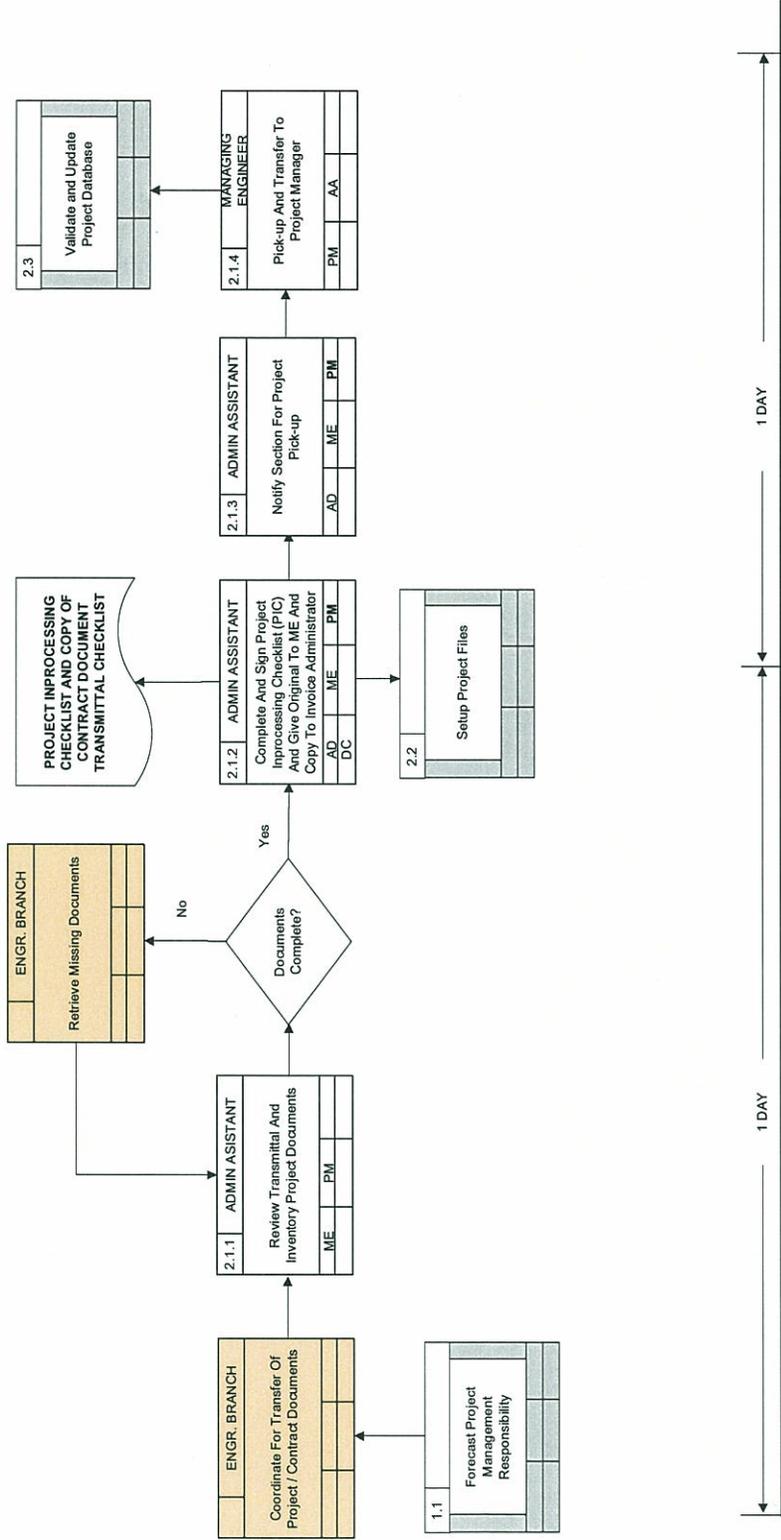
CIPMS Manager:

Date:

# PROCESS STANDARD

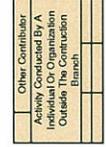
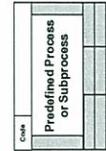


# PROCESS 2.1 - RECEIVE & TRANSFER OF CONTRACT/PROJECT DOCUMENTS

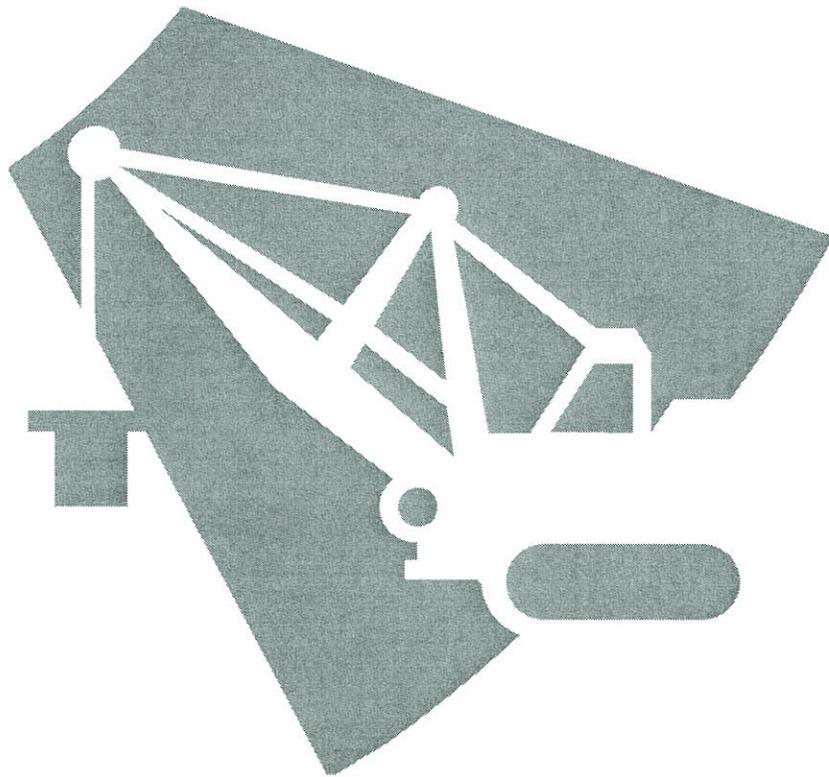


## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend



# PROCESS EXAMPLES





# CITY OF HOUSTON

Department of Public Works  
and Engineering

## Interoffice

Correspondence

To: Joseph T. Myers, P.E.  
Senior Assistant Director

From: Ravi Kaleyatodi, P.E., CPM  
«Title»

Date: «Date»

Subject: **CONTRACT DOCUMENT TRANSMITTAL  
CHECKLIST: «ShortPrjName»  
WBS NO. «WBSNo»**

Coordination and verification items included in design process are:

	YES	NO	N/A
Easements, Rights-of-way, or rights-of-entry cleared			
State highway permits have been secured			
Franchise utility relocations have been coordinated:			
Pipeline relocations coordinated /Agreement/ No Objection Letter Obtained			
Railroad permits secured			
Flood Control permits/approvals have been secured			
METRO conflicts/agreements coordinated and/or secured			
New Buildings / Structures permit secured			
Encroachments removal coordinated			
Corps of Engineers approval			
Environmental Protection Agency approval			
TCEQ \ TDH requirements			
TWDB release (OK to give NTP)			
Approvals required by any other City Departments			
TDLR Case Number.: _____			
NPDES Phase I or Phase II required			
SW3P included			
NOI and payment been submitted to the City Engineer for signature, forward to TCEQ and copied to the construction Branch (for NPDES Phase I only)			

Attached are the following project documents:

	YES	NO	N/A
Executed Contract Documents (1 Original and 1 Copy)			
Permits			
Parks and Recreation Department Tree Permits			
___ 10 ___ Complete set(s) drawings			
___ 6 ___ Complete set(s) reduced sized drawings (11"x17")			
___ 8 ___ Complete set(s) project manual and addenda (Geotechnical and Environmental Reports on CD included)			
Copy of construction award RCA, Appropriation Ordinance and maps			
Funding synopsis			

Approved Drug Policy with Checklist submittal			
Copy of bid tab			
Phase I & Phase II Performance Evaluation of Professional Engineers/Architects			
Pay or Play Program Documents <b>Pay ( )   Play ( ) Both ( )</b>			
M/W/SBE Letters of Intent (If Applicable)			
Document 00600 (Parts A & B) List of Proposed Subcontractors and Suppliers			
Document 00624 – Affidavit of Compliance with Affirmative Action Program			
Sheet by Sheet Take Off			
Third Party Agreements / Interlocal Agreements			
Utility Coordination Letters and Information (Approval / No Objection Letter)			
Engineer of Record – Professional Services Contract No.			
Other pertinent information requirement for project management			

RK:HH:

Daniel R. Menendez, P.E.  
File

**CONSTRUCTION BRANCH / E & C  
PROJECT INPROCESSING CHECKLIST (PIC)**

Project WBS No. / Description \_\_\_\_\_

Transmittal Date: \_\_\_\_\_

Assigned Managing Engineer: \_\_\_\_\_

Assigned Project Manager: \_\_\_\_\_

Construction Handoff Directive 13-3  Yes  No

		RECEIVED	OUTSTANDING	COMMENT
1	Contract Transmittal Checklist (original and 1 copy)			
2	Executed Contract Document (original and 1 copy)			
3	Executed copy of Award RCA and maps			
4	Copy of Appropriating Ordinance			
5	Funding Synopsis			
6	Approved Drug Policy and Routing Sheet			
7	Permits if applicable (list type)			
8	Bid Tabs			
9	Project manuals (8 complete sets including Addenda) and 10 large sets, plus 6 small sets of Drawings (11" X 17") w/ Geotechnical & Environmental Reports (5 ea CD)			
10	TDLR Case No. (for ADA compliance)			
11	All Rights-of-Entry (if applicable)			
12	Other pertinent information required for project management			
13	Pay or Play Program Pay ( ) Play ( )			
14	MBE Letter of Intent if applicable			
15	Doc 00600 Forms(List of Proposed Subcontractors & Suppliers)			
16	Doc 00624 (Affidavit of Compliance with Affirmative Action Program			
17	Sheet by Sheet Take Off			
18	Third Party Agreements / Interlocal Agreements			
19	Utility Coordination Letters and Information			

**QUESTIONNAIRE:**

**RESPONSE (circle one)**

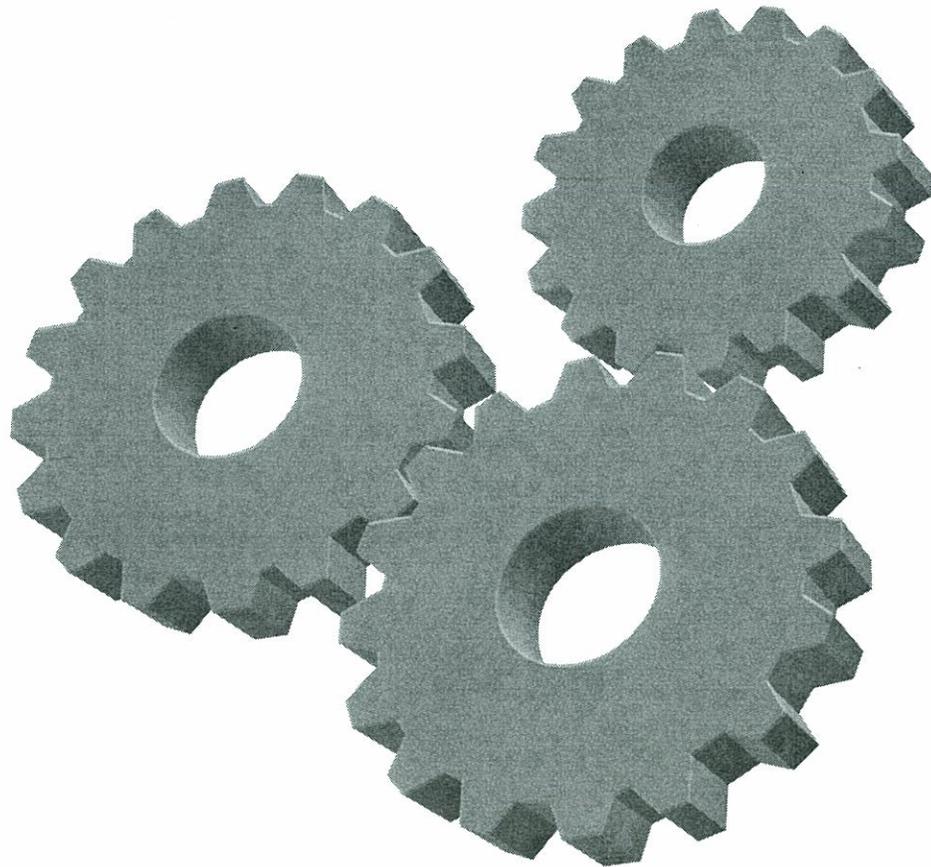
- A. Does this project meet NPDES Phase I or Phase II requirements? Yes / No
- B. If the answer to (A) is yes, is the SWP3 included in this package? Yes / No
- C. If this is a Phase I project has the NOI and payment been submitted to the City Engineer for signature, forwarded to TCEQ and copied to the Construction Branch? Yes / No
- D. Are there any trees which will be required to be removed? Yes / No
- E. If the answer to (D) is yes, has Parks & Recreation Dept. approved? Yes / No
- F. Are there any new buildings/structures in this project which will require a building permit? Yes / No
- G. Engineer of Record - Professional Services Contract No. \_\_\_\_\_

\_\_\_\_\_  
(PRINT) Design Branch Representative

\_\_\_\_\_  
(Signature) Construction Branch Date

\_\_\_\_\_  
(SIGNATURE) Design Branch Representative Date

# PROCESS STANDARD

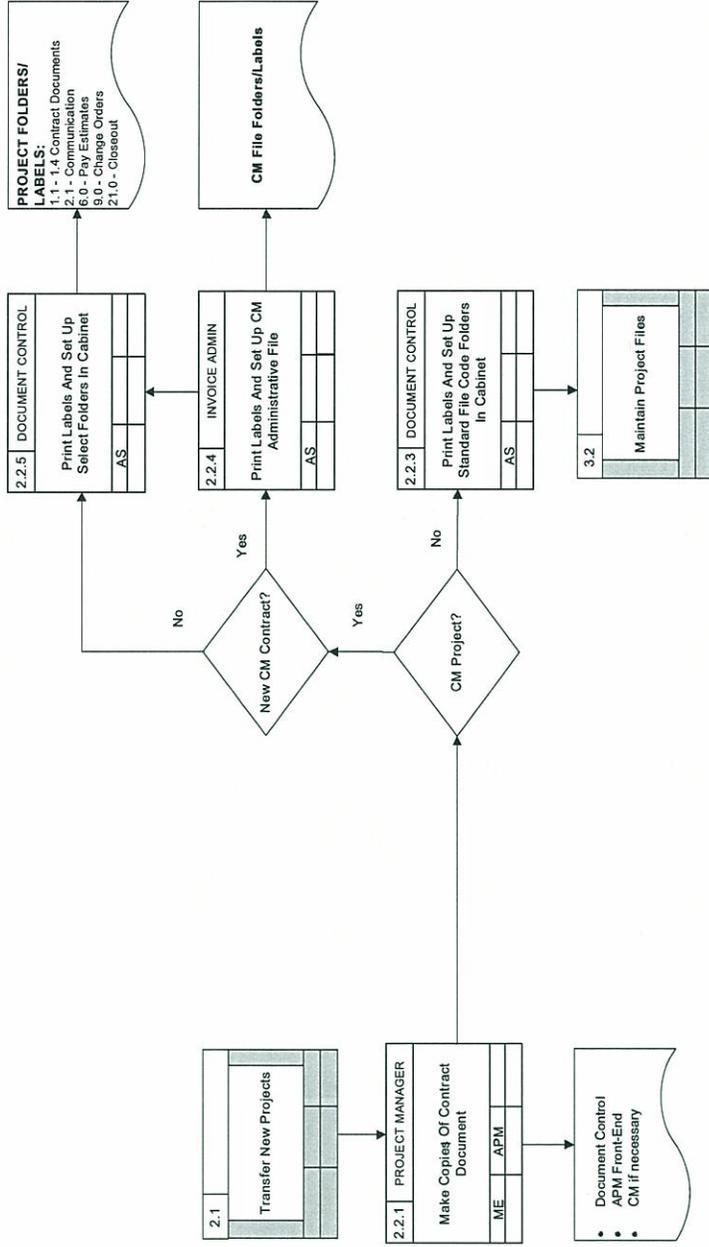


**STANDARDS  
PROCESS 2.1**

Receive transfer of contract project documents

1. The standard for in processing at Branch level and for transfer to the **Section (2.1.3)** will be within one business day with all transfer requirements met.
2. The standard for in processing at Section level and for transfer to the Project Manager will be within one business day.

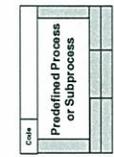
# PROCESS 2.2 - SET-UP PROJECT FILES



1 DAY      5 DAYS

## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend



Code	Process Owner(s)	Other Contributor
		Activity Conducted By A Individual Or Organization Outside Distribution Branch

Code	Process Owner(s)	Other Contributor
		Activity Conducted By A Individual Or Organization Outside Distribution Branch

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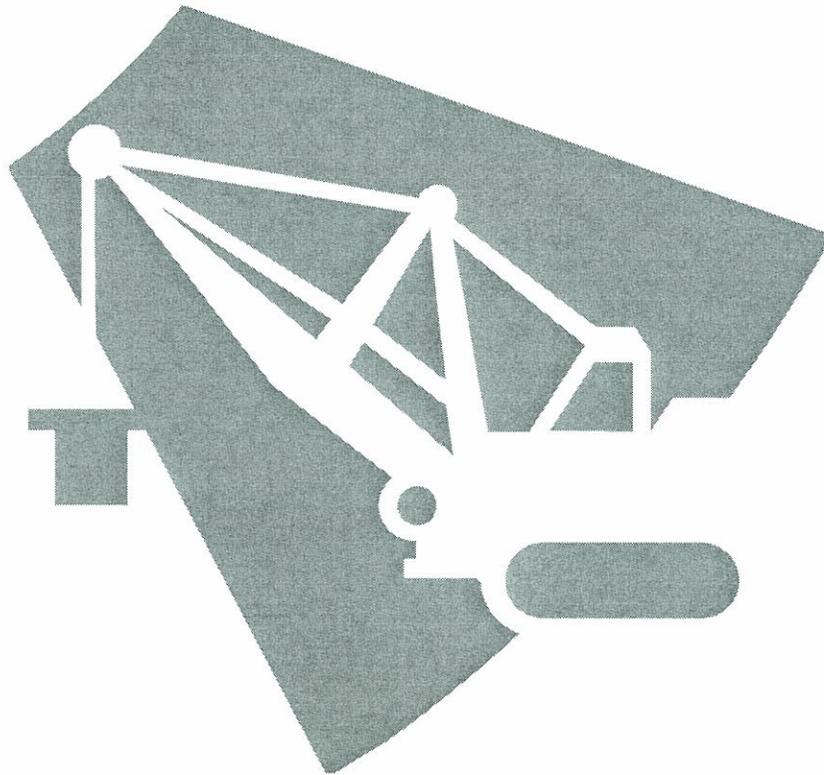
Code	Process Owner(s)	Other Contributor
		Activity Conducted By A Individual Or Organization Outside Distribution Branch

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		Activity Conducted By A Individual Or Organization Outside Distribution Branch



# PROCESS EXAMPLES



**DEPARTMENT OF PUBLIC WORKS AND ENGINEERING  
CONSTRUCTION BRANCH**

**FILE CODES**

- 1.0 Contract Documents**
  - 1.1 Contract**
    - Contract**
    - Addendums**
    - Drawings**
    - Front end documents**
    - CM Contract**
    - Work Authorization/Work Order (Doc. 00950)**
  - 1.2 Design Deliverables, Insurance**
    - Award RCA**
    - Appropriating Ordinance**
    - Project Info sheet**
    - Funding Synopsis**
    - Approved Drug Policy**
    - Bid Tabs**
    - Insurance**
    - Transmittal from Engineering to Construction**
    - Project Location Map**
- 2.0 Communication**
  - 2.1 Contractor**
    - Correspondence to and from the contractor**
    - Letters**
    - Emails**
    - Notice to Proceed including Work Authorization & Work Order Notices Only**
    - Non Compliance**
    - Advisory Notice**
  - 2.2 Laboratories, Engineer/Design**
    - Correspondence to and from Labs**
    - Monthly Site Reports**
    - Emails**
  - 2.3 Council Members, DPW's, Citizen**
    - Correspondence to and from Council Members**
    - DPW's**
    - Citizens**
    - Emails**
    - 311 Requests**
  - 2.4 Letter of Transmittal-Outgoing**
    - Transmittal forms sent in and out of our office**
    - Cover sheets**

**DEPARTMENT OF PUBLIC WORKS AND ENGINEERING  
CONSTRUCTION BRANCH**

**FILE CODES**

- 2.5**            **Utility**
  - Correspondence to or from Utility regarding Relocation – i.e., Utility bill, Electricity bill, etc.**
  - Utility letters for Pre-Con**
  - Emails**
  - Maps**
  
- 2.6**            **Other**
  - Correspondence to or from any other agency – i.e.; TWDB, PUD, Survey Request, TDLR, TxDot, Harris County Flood Control**
  
- 3.0**            **Construction Schedules**
  - Construction Schedule Only**
  
- 4.0**            **Inspection Daily Reports**
  
- 5.0**            **MBE/WBE Reports**
  - MBE/SBE Participation Reports**
  - Utilization Reports**
  - Monthly Status Reports**
  - Contract Compliance Reports**
  - POP Documents**
  
- 6.0**            **Contractor's Pay Estimates**
  - 6.1**            **Schedule of Values/Quality Analysis**
  - 6.2**            **Pay Estimates**
    - Estimate Logsheet**
    - Estimate and Certificate for Payment Unit Price Work**
    - Affidavit of Work Performed (Doc. 642)**
    - Estimate for Payment**
    - Material on Hands**
    - Contractor Certificate of Payment**
  
- 7.0**            **Requests for Information**
  - RFI's**
  
- 8.0**            **Requests for Proposal**
  - RFP's**
  
- 9.0**            **Change Orders**
  - 9.1**            **Executed Change Orders**
  - 9.2**            **Executed Work Change Directive**

**DEPARTMENT OF PUBLIC WORKS AND ENGINEERING  
CONSTRUCTION BRANCH**

**FILE CODES**

- 10.0 Claims from Subcontractors/Suppliers**
  - Claims from Suppliers for non-payment**
  - Correspondence to Attorney**
  - Correspondence to Contractor**
  - Correspondence to Supplier**
  
- 11.0 Construction Test Results**
  - All Test – Chlorination, Concrete, Soil Density & Pressure Tests**
  
- 12.0 Submittals**
  - All Submittals**
  
- 13.0 Meeting Minutes**
  - Pre-Construction**
  - Progress**
  - Field**
  - Meeting Minutes with Council Members, Committees, Citizens and Community**
  - Impromptu**
  - Sign –In Sheet Included with Meeting Notes**
  
- 14.0 Photographs and Negatives**
  - Pre-Construction CD**
  - Pre-Construction Photos**
  - Construction Progress Photos**
  
- 15.0 Survey Data**
  - Bid Survey Map**
  - Additional Surveys**
  
- 16.0 Geotechnical Reports – These are not lab reports from the geotechnical company, usually they are a bound spirals or books.**
  - 16.1 Geotechnical Reports**
  - 16.2 Lab Test Invoices**
  
- 17.0 Record Documents**
  - As-Builts**
  - Environmental Site Assessment (ESA)**

**DEPARTMENT OF PUBLIC WORKS AND ENGINEERING  
CONSTRUCTION BRANCH**

**FILE CODES**

- 18.0**            **Permits/Right of Entry**
  - Rail Road Permits**
  - Street Cut Permits**
  - HCFC D Permits**
  
  - Building Permits**
  - Right of Entry Permits**
  - All Other Permits**
  
- 19.0**            **Safety/Accident Reports and Meetings**
  - Photos**
  - Emails**
  - Minutes**
  
- 20.0**            **Constructability Review**
  - 50% Review Comments**
  - 70% Review Comments**
  - 90% Review Comments**
  - Issues noted on Mylars**
  
- 21.0**            **Close-Out Documentation**
  - RCA**
  - Substantial Completion Certificate**
  - Final Certificate of Completion**
  - Final Pay Estimate**
  - Consent of Surety**
  - Consent of Surety Final Payment**
  - Affidavit of Ownership**
  - Performance Evaluation Phase I, II, & III**
  - Project Completion Letter**
  - Warranty Inspection Letter**
  - Punch List**
  - Pre-Draft Final Estimate**

## PROJECT INFORMATION SHEET

File No.:

Project Title:

Technical Description:

### Project Identifiers

File No.:

Const. Ordinance No.:

Const. GFS No.:

Drawing No.:

Const. Contract No.:

Contract Date:

### Dates, Cost, Location

NTP Issued Date:

Liquid. Damage Amount:

Commencement Date:

Council District(s):

Orig. Completion Date:

Key Map No(s).:

Pre-Const. Mtg. Date:

M/WBE Goal (%):

Orig. Contract Days:

Estimate Cut-off Date:

Orig. Contract Amount:

### Design

Design Project Mgr.:

Engineer Of Record:

Contact Phone:

Consultant Contact:

Design Consultant:

Address:

Consultant Contact:

Contact Phone:

Contact Phone:

Fax:

Contact Fax

E-mail

### Construction

Project Manager: Ernest Kelly

Lead Inspector:

Office: (713) 837-7176

Mobile Phone:

Cellular

Inspector:

Administrative Supr.: Vickie Fenney

Mobile Phone:

Office: (713) 837-7086

Field Office Phone:

Estimator:

Office:

### Contractor

Contractor:

Primary Address:

Contact:

Primary Phone:

Phone:

Primary Fax:

Mobile:

Billing Address:

Fax:

E-mail

### Testing Laboratory

Testing Laboratory

Contact:

Address:

Phone:

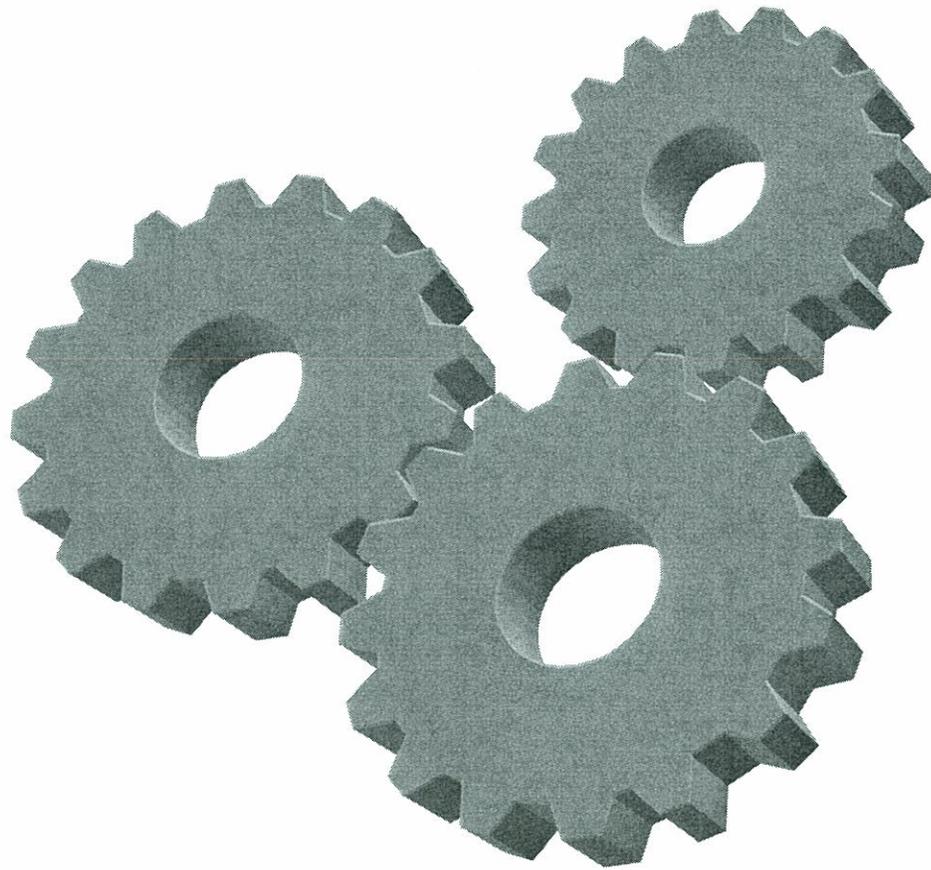
Fax:

E-mail

Distribution: JoAnne Kamman, PE  
Vicki Fenny

File

# PROCESS STANDARD



**STANDARDS**  
**PROCESS 2.2 – SET UP PROJECT FILES**

1. Set up the Administrative files for a new **CM CONTRACT (2.2.4)**.

The following labels should be created:

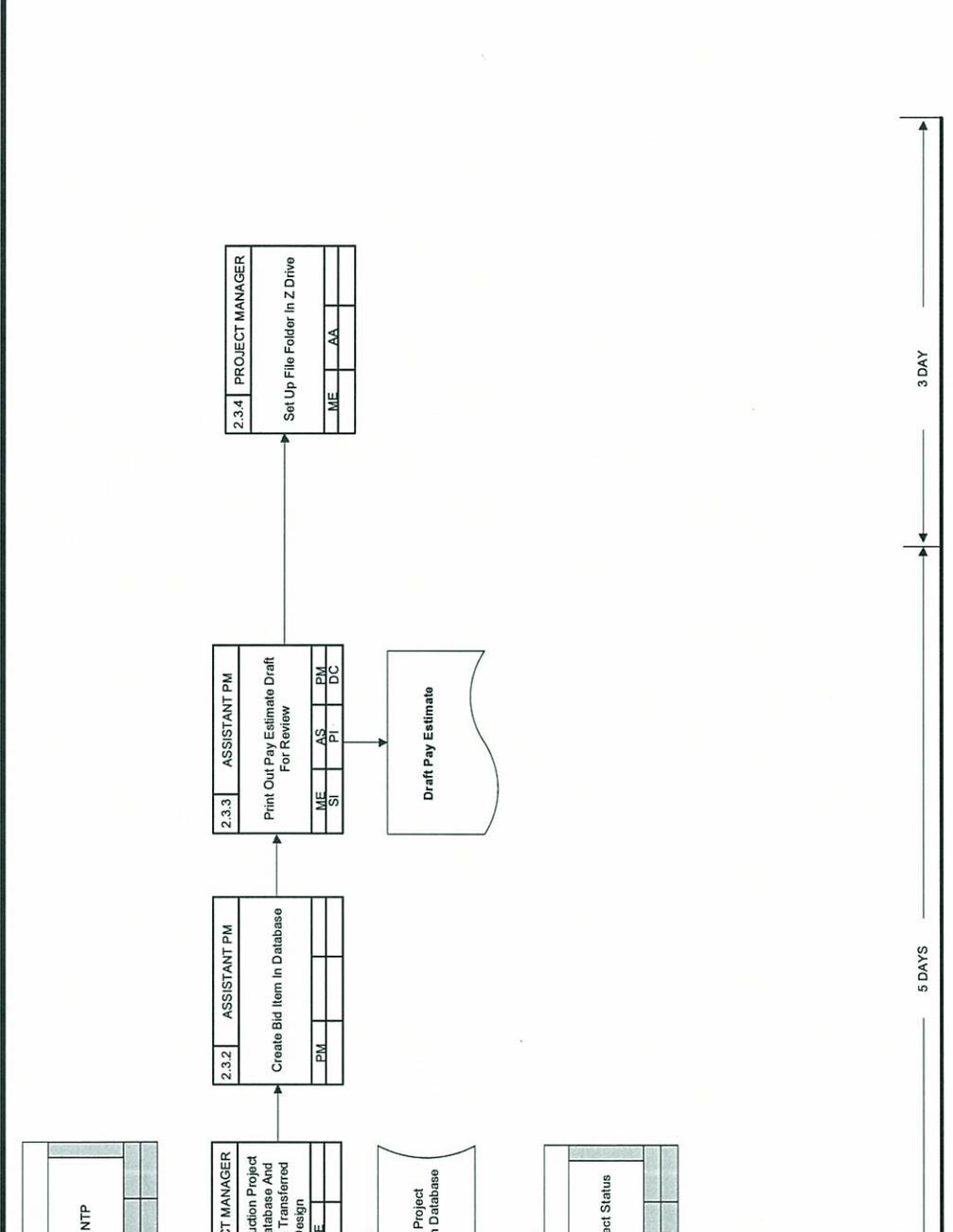
- a. RCA
- b. Insurance
- c. Fee Proposal
- d. Correspondence
- e. Work Authorization
- f. Contract
- g. Pay Estimate

2. The Construction file **(2.2.5)** for **CM Managed Projects** shall contain the following folders.

WBS Number and Contract Number.

- a. **(1.1 and 1.2)** Contract Document
- b. **(2.1 through 2.6)** Communication
- c. **(3.0)** Construction's Schedule
- d. **(5.0)** MBE/WBE Reports
- e. **(6.0)** Pay Estimate
- f. **(9.0)** Change Orders
- g. **(13.0)** Minutes of Meeting
- h. **(21.0)** Closeout Documents

# PROCESS 2.3 - VALIDATE AND UPDATE PROJECT DATABASE



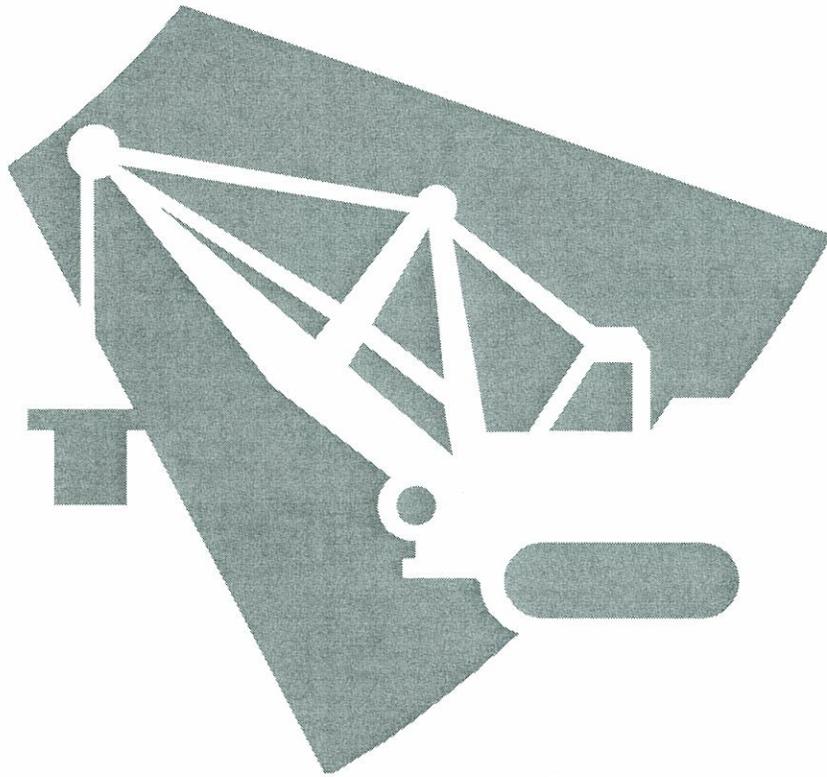
## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

	<b>Predefined Process or Subprocess</b>
	<b>SubProcess Or Task</b>
	<b>Other Contributor:</b> Activity Conducted By A Individual Or Organization Outside of Construction Branch
	<b>CONTRIBUTORS</b> ME - MANAGING ENGINEER SI - SENIOR INSPECTOR EOR - ENGINEER OF RECORD DPM - DESIGN PROJECT MANAGER PI - PROJECT INSPECTOR DC - DESIGN CONTROL APM - ASSISTANT PROJECT MANAGER
	<b>Deliverable</b>
	<b>Suggested Logical dependency between activities</b>
	<b>Update Database</b>



# PROCESS EXAMPLES



Document 00643

ESTIMATE AND CERTIFICATE FOR PAYMENT, UNIT PRICE WORK

Estimate No. \_\_\_\_\_  
Cut off Date: \_\_\_\_\_  
Estimate Date: \_\_\_\_\_

Project Name: [Legal Project Name]  
Contractor: [Contractor's Company Name]  
Address: [Contractor's Company Address]

Contract No.: [Contract Number]  
Project No.: [GFS/CIP/AIP/File No.]  
Ordinance No.: [Contract Ordinance Number]

Contract Date: \_\_\_\_\_  
Start Date: \_\_\_\_\_  
Current Contract Completion Date: \_\_\_\_\_  
Substantial Completion Date: \_\_\_\_\_  
Percentage: By Time 0.00% In Place 0.00%

**CONTRACT TIME IN CALENDER DAYS**  
Original Contract Time: \_\_\_\_\_ Days  
Approved Extensions: \_\_\_\_\_ Days  
Total Contract Time: \_\_\_\_\_ Days  
Days Used to Date: \_\_\_\_\_ Days  
Days Remaining to Date: \_\_\_\_\_ Days

Date Insurance Exp. \_\_\_\_\_ Drug Policy Due \_\_\_\_\_

Current MWBE % \_\_\_\_\_ Schedule Update Received \_\_\_\_\_

**CONTRACT AMOUNT TO DATE:**

1. Original Contract Price:		\$0.00
2. Approved Change Orders: <u>No./Description</u>	<u>Amount</u>	
_____	\$0.00	
_____	\$0.00	
_____	\$0.00	
_____	\$0.00	
_____	\$0.00	
_____	\$0.00	
Total Change Orders to Date: +/-	\$0.00	\$0.00
<b>TOTAL CONTRACT AMOUNT:</b>		<b>\$0.00</b>

**A. EARNINGS TO DATE:**

1. Work Completed to Date: <u>0.00%</u> Complete	\$0.00	
2. Materials Stored on Site: _____	\$0.00	
3. Materials Stored in Place: _____	\$0.00	
4. Balance - Materials Accepted, Not in Work: _____	\$0.00	
<b>TOTAL EARNINGS TO DATE:</b>		<b>\$0.00</b>

**B. DEDUCTIONS:**

1. Retainage: <u>0.00%</u> of <u>\$0.00</u>	\$0.00	
2. Add: Retainage Deduction: _____	\$0.00	
3. Total Retainage: _____	\$0.00	
4. Liquidated Damages: _____ Days @ _____	\$0.00	
5. Quality Control Retest Cost: _____	\$0.00	
6. Sunday/Holiday Overtime Cost: _____	\$0.00	
<b>TOTAL DEDUCTIONS:</b>		<b>\$0.00</b>

**C. AMOUNT DUE THIS PERIOD:**

1. Total Earnings to Date:	\$0.00	
2. Total Deductions:	\$0.00	
3. Total Payments Due:		\$0.00
4. Less Previous Payments:		\$0.00
5. Restoration Adjustment:		\$0.00
<b>TOTAL AMOUNT DUE THIS DATE:</b>		<b>\$0.00</b>

Prepared By: \_\_\_\_\_ Date: \_\_\_\_\_ Checked By: \_\_\_\_\_ Date: \_\_\_\_\_

Submitted By: \_\_\_\_\_ Date: \_\_\_\_\_ Approved: \_\_\_\_\_ Date: \_\_\_\_\_

Approved: \_\_\_\_\_ Date: \_\_\_\_\_  
Director, [Contracting Department]

## UNIT PROJECT PRICE ITEMS

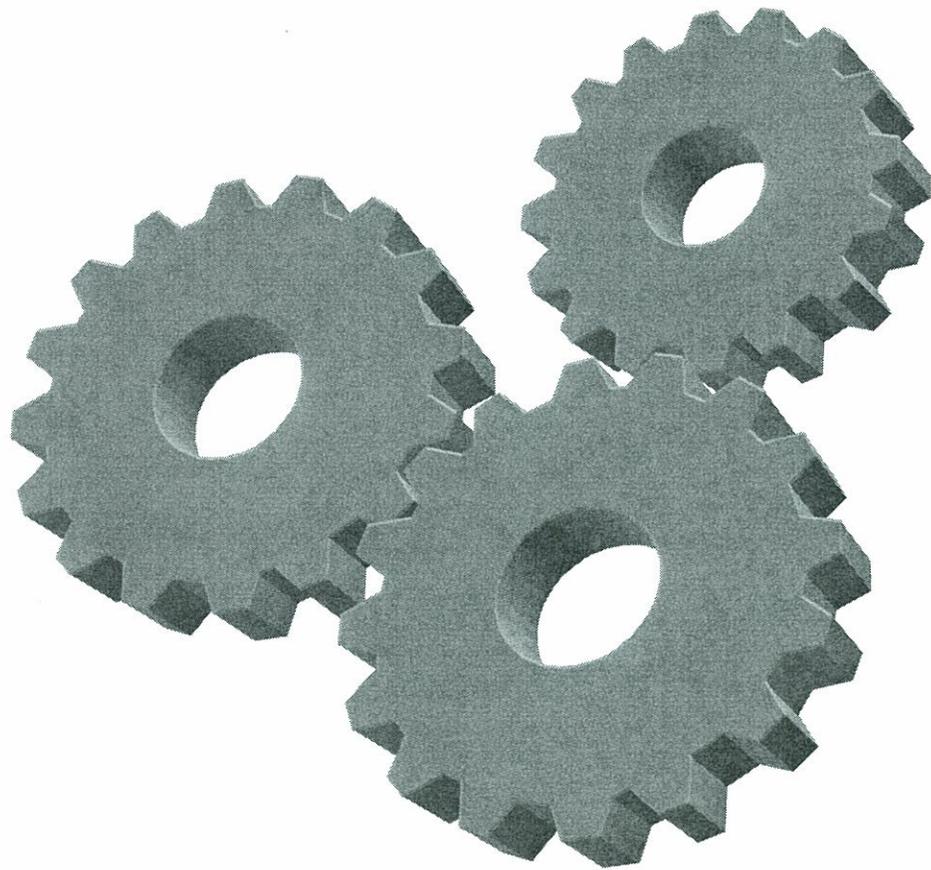
Project Example

Project No  
Amount \$1,708,982.68

Contract No  
WBS No.

Item	Category	Spec No	Description	Unit	Plan	Unit Price	Total
1.00	Base Unit Price		Mobilization	LS	1.00	\$100,000.00	\$100,000.00
2.00	Base Unit Price		Flagmen	LS	1.00	\$52,000.00	\$52,000.00
3.00	Base Unit Price		Traffic control	LS	1.00	\$24,000.00	\$24,000.00
4.00	Base Unit Price		Trench safety	LF	11100.00	\$0.53	\$5,883.00
5.00	Base Unit Price		Tree protection	LS	1.00	\$10,000.00	\$10,000.00
6.00	Base Unit Price		Filter fabric fence	LF	33100.00	\$0.84	\$27,804.00
7.00	Base Unit Price		Inlet protection barrier	EA	94.00	\$4.20	\$394.80
8.00	Base Unit Price		Remove and dispose of existing concrete	SY	164.00	\$6.30	\$1,033.20
9.00	Base Unit Price		Remove and dispose of existing asphaltic	SY	26.00	\$6.30	\$163.80
10.00	Base Unit Price		4" waterline in augered hole	LF	390.00	\$16.98	\$6,622.20
11.00	Base Unit Price		8" waterline in augered hole	LF	20120.00	\$20.11	\$404,613.20
12.00	Base Unit Price		8" restrained joint waterline in augered hc	LF	350.00	\$38.85	\$13,597.50
13.00	Base Unit Price		8" restrained DIP joint waterline in augere	LF	370.00	\$42.26	\$15,636.20
14.00	Base Unit Price		12" waterline in augered hole	LF	11100.00	\$33.73	\$374,403.00
15.00	Base Unit Price		12" restrained joint waterline in augered t	LF	100.00	\$78.54	\$7,854.00
16.00	Base Unit Price		12" restrained DIP joint waterline in auger	LF	670.00	\$60.83	\$40,756.10
17.00	Base Unit Price		New copper service line w/long side (5/8"	EA	231.00	\$441.00	\$101,871.00
18.00	Base Unit Price		New copper service line w/short side (5/8"	EA	390.00	\$318.15	\$124,078.50
19.00	Base Unit Price		2" wet connection	EA	1.00	\$141.75	\$141.75
20.00	Base Unit Price		8" wet connection	EA	8.00	\$280.56	\$2,244.48
21.00	Base Unit Price		12" wet connection	EA	2.00	\$437.22	\$874.44
22.00	Base Unit Price		16" wet connection	EA	1.00	\$799.68	\$799.68
23.00	Base Unit Price		Cut, plug, clamp and abandon 2" waterlin	EA	1.00	\$131.25	\$131.25
24.00	Base Unit Price		Cut, plug, clamp and abandon 6" waterlin	EA	1.00	\$176.57	\$176.57
25.00	Base Unit Price		Cut, plug, clamp and abandon 8" waterlin	EA	11.00	\$210.00	\$2,310.00
26.00	Base Unit Price		Cut, plug, clamp and abandon 12" waterli	EA	2.00	\$298.16	\$596.32
27.00	Base Unit Price		Cut, plug and abandon 16" waterline	EA	1.00	\$474.39	\$474.39
28.00	Base Unit Price		8"X 8" tapping sleeve and valve with box	EA	1.00	\$3,234.00	\$3,234.00
29.00	Base Unit Price		16"X 8" tapping sleeve and valve with bo:	EA	3.00	\$3,318.00	\$9,954.00
30.00	Base Unit Price		Remove and Salvage Fire Hydrants	EA	18.00	\$57.75	\$1,039.50
31.00	Base Unit Price		Fire Hydrant Assembly (All depths) includ	EA	63.00	\$2,319.90	\$146,153.70
32.00	Base Unit Price		Fire Hydrant Leads - 6" pipe	LF	510.00	\$11.26	\$5,742.60
33.00	Base Unit Price		6" lime stabilized subgrade	SY	190.00	\$10.50	\$1,995.00
34.00	Base Unit Price		Cement stabilized base course (all thickn	SY	190.00	\$14.70	\$2,793.00
35.00	Base Unit Price		Type "A" hot mix asphaltic concrete base	SY	26.00	\$27.83	\$723.58
36.00	Base Unit Price		Crushed concrete base course, 8" thick	SY	26.00	\$12.29	\$319.54
37.00	Base Unit Price		Type "D" hot mix asphaltic concrete pave	SY	26.00	\$13.13	\$341.38
38.00	Base Unit Price		Reinforced concrete pavement, all thickn	SY	164.00	\$36.75	\$6,027.00
39.00	Base Unit Price		Site restoration	LF	33100.00	\$5.00	\$165,500.00
40.00	Extra Unit Price		Excavation around obstructions	CY	100.00	\$10.00	\$1,000.00
41.00	Extra Unit Price		Extra hand excavation	CY	100.00	\$12.00	\$1,200.00
42.00	Extra Unit Price		Extra machine excavation	CY	100.00	\$10.00	\$1,000.00
43.00	Extra Unit Price		Extra placement of backfill material	CY	100.00	\$5.00	\$500.00
44.00	Extra Unit Price		Extra placement of special granular back	CY	100.00	\$20.00	\$2,000.00
45.00	Extra Unit Price		Extra ductile iron compact fittings	TON	2.00	\$2,000.00	\$4,000.00
46.00	Extra Unit Price		Extra water fittings in place	CY	1.00	\$2,000.00	\$2,000.00
47.00	Cash Allowance		Street cut permit fee	EA	27.00	\$1,000.00	\$27,000.00
48.00	Cash Allowance		Lane closure fee	EA	4.00	\$2,000.00	\$8,000.00
						\$1,708,982.68	

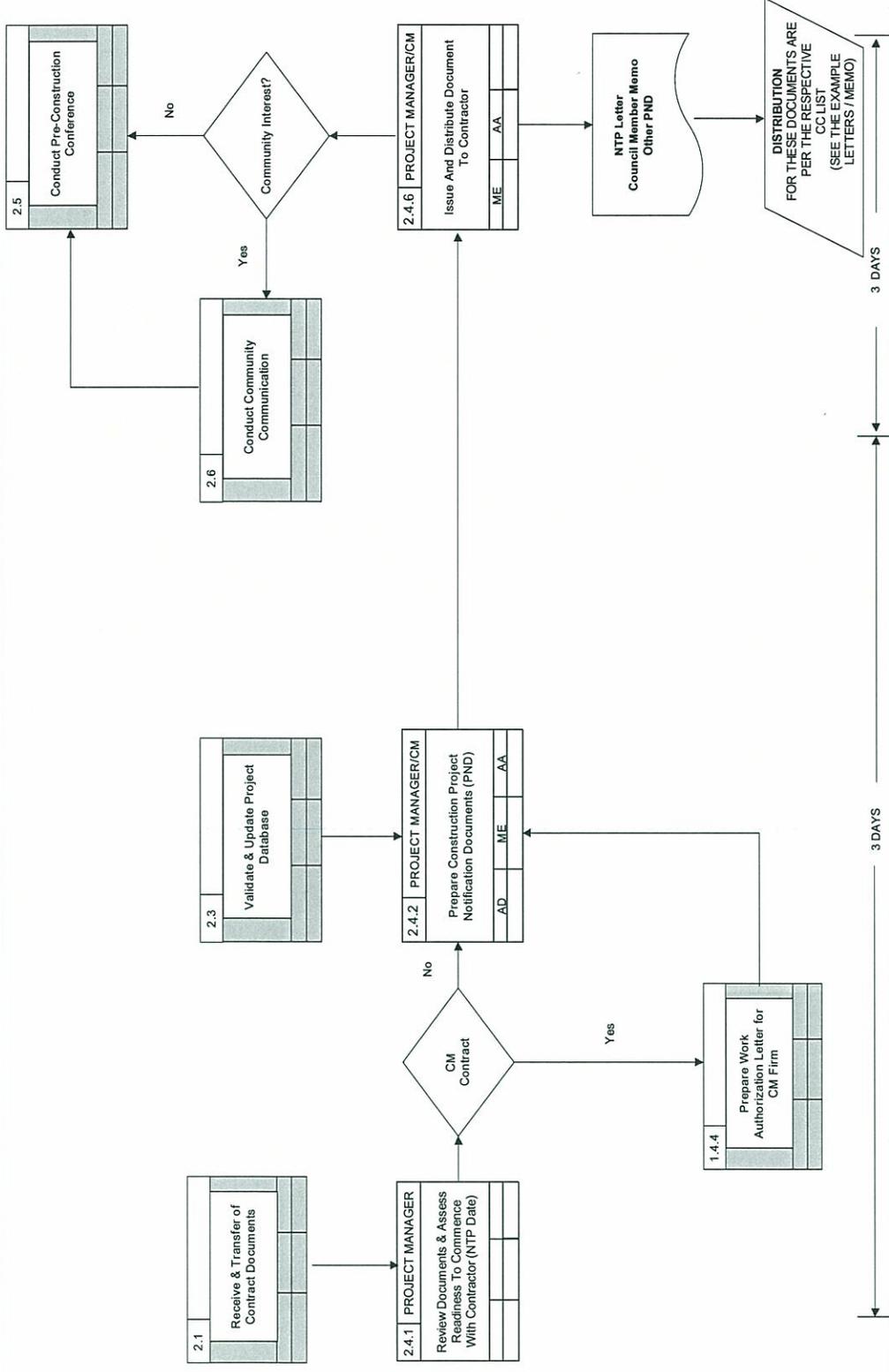
# PROCESS STANDARD



**STANDARDS**  
**PROCESS 2.3 – VALIDATE AND UPDATE PROJECT DATABASE**

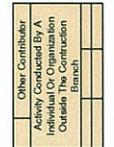
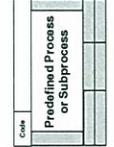
1. The Project Manager will verify all project information in the database.  
Use the Contract Documents to ensure the accuracy of the existing information.
  
2. The Assistant Project Manager will verify that all project bid items are accounted for in the database.  
Use the Contract Documents 410B to ensure the accuracy of the bid price.

# PROCESS 2.4 - ISSUE NOTICE TO PROCEED



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

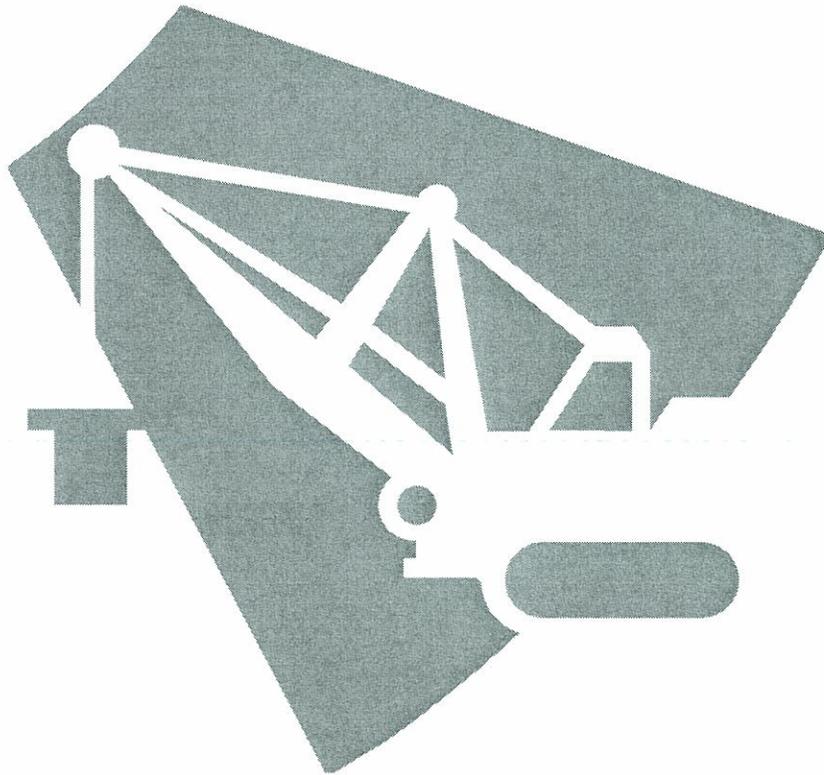
### Legend



- CONTRIBUTORS**
- SI = SENIOR INSPECTOR
  - AS = ADMIN SUPERVISOR
  - PM = PROJECT MANAGER
  - PI = PROJECT INSPECTOR
  - DC = DOCUMENT CONTROL
  - APM = ASSISTANT PROJECT MANAGER
- ME - MANAGING ENGINEER**  
**SI - SENIOR INSPECTOR**  
**EOR = ENGINEER OF RECORD**  
**DPM = DESIGN PROJECT MANAGER**  
**AA = ADMINISTRATIVE ASSISTANT**



# PROCESS EXAMPLES





# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2480  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

(Contact Person Name)  
(Construction Company)  
(Contractor Address)  
(City, State & Zip Code)

**Re: Project Name**  
**WBS No. (Number)**  
**Outline Agreement No. (Number); Key Map No. (Numbers XXX-X)**  
**NOTICE TO PROCEED**

Dear (Contact Person Name):

You are hereby notified that the Date of Commencement of the Work is (Day), (Date). On this date you are to start performing your obligations under the Contract Documents. In accordance with Article 2 of the Agreement, the Contract Time is (Number) days.

A pre-construction conference will be held in the offices of the City of Houston, Department of Public Works and Engineering, 611 Walker, Houston, Texas 77002, 17<sup>th</sup> Floor Conference Room, No. (Number) at (Time) (A.M./P.M.), on (Day), (Date). Please come prepared to present documentation of any possible conflicts, errors, ambiguities, or discrepancies that you have discovered in the Contract.

Sincerely,

(Senior Assistant Director's Name)  
Senior Assistant Director  
Construction Branch  
Engineering and Construction Division

XXX:XXX:XXX:xxx

ec:	Deputy Director (ECD)	Admin. Manager	Design Consultants
	Deputy Director (Rebuild Houston)	Asst. Project Manager	Design Engineer of Record
	City Engineer	Chief Inspector	QA/QC Project Manager
	Sr. Assistant Director, Operating Div.	Sr. Inspector	Testing Lab Representative
	Design Project Manager	Inspector	OBO Representative
	Construction Project Manager	Head of Surveying Group	
	Project File No. (WBS No./Code)	HCFCD Rep (if permit req'd)	



# CITY OF HOUSTON

Public Works and Engineering  
Department

## Interoffice

Correspondence

**To:** Council Member Name  
Council Member, District (Letter)

**From:** Senior Assistant Director  
Construction Branch  
Engineering and Construction Division

**Date:** (Date)

**Subject:** **PROJECT NAME;**  
**WBS NO. X-000XXX-00XX-X;**  
**OUTLINE AGREEMENT NO. 46000XXXXX;**  
**KEY MAP NUMBER: XXX-X;**  
**PRE-CONSTRUCTION CONFERENCE**

Please be advised the Pre-Construction Conference for the subject project will be conducted at (Time), on (Day), (Date) in the 17<sup>th</sup> Floor Conference Room No. (Number) at 611 Walker, Department of Public Works and Engineering, Houston, Texas 77002.

This project is located in your District and you and/or members of your staff are invited to attend.

You can download construction plans for the subject project by searching the project name or WBS Number at the following website: <http://bidsets.publicworks.houstontx.gov/index.php/opened-bid-sets>. Click on the desired plan set to download it to your computer. These plans are for your use, particularly for any construction inquiries that you may receive from the constituents. Construction has been scheduled to commence on (Date) and end by (Date). The project contractor is (Contractor's Name).

We also recognize that the construction of this infrastructure may impact residents in your district. The Construction Branch would offer to make a presentation with regard to the project and answer project related questions at an appropriate meeting or forum of your choosing, such as with a Civic Club or Home Owner Association representative in the affected area. If our participation in such a meeting is desired, please have your staff member contact me directly at (Phone Number).

Should you have any questions or comments concerning this Pre-Construction Conference, your staff may coordinate their concerns with (Managing Engineer's Name), Managing Engineer, Construction Branch, at (Phone Number).

(Sr. Assistant Director's Name)

XXX:XXX:xxx

ec: Deputy Director  
Construction Project Manager  
Administrative Manager  
Project File (**WBS No./Code**)



# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2480  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

## **AT&T Texas**

6500 West Loop South, Zone 1.3  
Houston, Texas 77401  
Attn: **Diana C. Ward, P.E.**  
713-660-5304  
713-660-5342 Fax  
[diana.c.ward@att.com](mailto:diana.c.ward@att.com)

## **CenterPoint Energy / Gas**

1111 Louisiana, 22nd Floor, Gas Engineering  
Houston, Texas 77002  
Attn: **Lory Simmons**  
713-207-4624  
713-207-0980 Fax  
[lory.simmons@centerpointenergy.com](mailto:lory.simmons@centerpointenergy.com)

## **Comcast**

7033 Airport Blvd.  
Houston, Texas 77061  
Attn: **Herbert Salandanan**  
281-624-3024  
713-643-1475 Fax  
[herbert\\_salandanan@cable.comcast.com](mailto:herbert_salandanan@cable.comcast.com)

## **CenterPoint Energy / Electric**

1111 Louisiana – 943A  
Houston, Texas 77002  
Attn: **Cynthia Martinez**  
713-207-6555  
713-207-4031 Fax  
[cindy.martinez@centerpointenergy.com](mailto:cindy.martinez@centerpointenergy.com)

## **CenterPoint Energy, Street Lighting**

4700 S. Shaver, Bldg. I  
Houston, Texas 77034  
Attn: **Shelton Mitchell**  
713-945-6231  
713-945-3773 Fax  
[shelton.mitchell@centerpointenergy.com](mailto:shelton.mitchell@centerpointenergy.com)

## **CenterPoint Energy / Gas**

1111 Louisiana, 22<sup>nd</sup> Fl., Gas Engineering  
Houston, Texas 77002  
Attn: **Cesar Garcia**  
713-207-4622  
713-207-0980 Fax  
[cesar.garcia@centerpointenergy.com](mailto:cesar.garcia@centerpointenergy.com)

**Re: (Project Name)**  
**WBS No. (Number); Outline Agreement No. (Number)**  
**PRE-CONSTRUCTION CONFERENCE**

Ladies & Gentlemen:

A contract on the above project has been awarded to (Contractor's Name). A work order has been issued with an effective date of (Date). Copies of preliminary and final plans have been submitted to you for a review of the proposed construction. In the event you have facilities which are in conflict with the proposed construction, it is necessary that you adjust the facilities immediately so as not to delay work on the project. If additional copies of the plans for the proposed construction are needed, please contact this office.

Pre-Construction Conference

Page 2

Date

If a relocation or rearrangement of your facilities is necessitated by this project, please return a copy of this letter to this office indicating the date work was or will be completed.

A Pre-Construction Conference for the subject project is scheduled for (Time), (Date). The conference will be held on the 17<sup>th</sup> Floor Conference Room No. (Number), 611 Walker, Houston, Texas 77002.

Sincerely,

(Sr. Assistant Director's Name)  
Sr. Assistant Director  
Construction Branch  
Engineering and Construction Division

XXX:XXX:xxx

ec: Construction Project Manager  
Administrative Manager  
COH Utility Coordinator  
Project File (WBS No./Code)

**PRE-CONSTRUCTION AGENDA**  
\_\_\_\_\_, 2013, 10:00 AM  
611 Walker, 17<sup>th</sup> Floor, Room 1746

Project Name: \_\_\_\_\_  
WBS No.: \_\_\_\_\_  
Council District: \_\_\_\_\_  
Key Map Nos.: \_\_\_\_\_

**1. Opening – Project Name and General Project Scope**

This meeting is the Pre-Construction Meeting for the \_\_\_\_\_,  
WBS No. \_\_\_\_\_. Congratulations to [CONTRACTOR'S NAME]  
receiving award of the contract. (Present contractor original contract) The project  
provides for the construction of \_\_\_\_\_.

**2. Parties to the Contract and Correspondence**

This Contract is between the City of Houston and CONTRACTOR'S COMPANY  
NAME \_\_\_\_\_. The total contract price is \$X,XXX,XXX.XX.

- All correspondence from the City to the Contractor shall be addressed to:

Contact Information: CONTRACTOR'S CONTACT  
CONTRACTOR'S COMPANY NAME  
COMPANY ADDRESS  
CITY, STATE ZIP CODE

- All correspondence from the Contractor to the City shall be addressed to:

\_\_\_\_\_, Managing Engineer  
Attn: \_\_\_\_\_, Project Manager  
City of Houston  
Engineering & Construction Division, Construction Branch  
611 Walker Street, 17<sup>th</sup> Floor  
Houston, Texas 77002

**3. Notice to Proceed and Contract Time**

You have XXX calendar days to complete the project. Your Notice to Proceed indicates  
that you are to begin work on DAY, DATE and your completion date thereby is DAY,  
DATE. The Contractor must notify the Construction Section seventy-two (72) hours in  
advance of start of construction.

**4. Office of Business Opportunity**

For answers to any affirmative action questions, the Contractor can call the Office of Business Opportunity, 832-393-0600. Please submit a copy of the M/WBE Monthly Utilization Report to the City of Houston Office of Business Opportunity with a copy to the Construction Branch. (MBE \_\_\_\_%, WBE \_\_\_\_% Goal)

**5. Play or Pay Program (POP)**

The program requires the contractors to offer certain employees a minimal health benefits or contribute to a fund to be used to offset the cost of providing health care to uninsured people in Houston/Harris County. (Doc. 00630)

A. The Contractors that opt to Play

Provide periodic reports to the contract administrator showing proof of coverage. Reporting schedule will be determined by administering department based on the length of contract.

B. The Contractors that opt to Pay

Provide monthly reports to Small Business Development detailing name of employees, hours worked, exemptions (if any) and amount owed. (Form POP-5). Forms will be sent electronically.

**6. Document 01110 (Information to be supplied from Document 01110)**

A. Detailed Project Scope

- Coordination with Others
- Tree and Plant Protection and Removal
- Geotechnical /ESA Issues

B. Cash Allowances

C. Work Sequences

D. Street Cut Ordinance

All work shall conform to Specification Section 02951. Excavations on or under pavement in the City's right-of-way must have a permit. The Contractor shall refer to Section 4 of Ordinance 2000-1115 for more information. Permit applications shall be filed at the Houston Permitting Center at 1002 Washington Street. A traffic control plan shall be submitted with any Permit application for all proposed work that is to be conducted on a roadway appearing on the City's Major Thoroughfare and Freeway Plan or is otherwise identified by City's Traffic Engineer as having substantial traffic. Fourteen (14) days are allowed for completion of the work, including replacement of pavement and clean-up unless an extension is authorized as provided in the Permit. Any existing traffic markings that are removed must be replaced with the same product or current City standard. Steel plating may be utilized for a period not to exceed four (4) days unless specified in the Permit. A copy of the Permit together

with a sign (not less than 36" x 36" with min. 2" black letters on a white high intensity reflective background) shall be posted at each street entrance to the Excavation area.

**7. Testing Lab and Scheduling of Testing Inspection**

The Contractor is responsible for the scheduling of inspection and testing activities including cores to be taken. Any re-testing is at the expense of the Contractor. The testing lab is TESTING LAB NAME. The contact person is TESTING LAB CONTACT at TESTING LAB PHONE.

**8. Citizen Notification**

Two weeks prior to starting construction, the Contractor shall provide all residents and business owners, that will be affected by the proposed work, the name and telephone number of the Contractor and the Construction Foreman on the project. These individuals should be reachable 24 hours a day.

**9. Field Office**

The Contractor must submit a written contract for field office and staging area locations from property owner. As part of the submittal process, a copy of this contract must be submitted to our office. The contractor must obtain written permission from the Parks & Recreation Department before mobilizing on City Esplanades and medians.

**10. Project Sign**

The Contractor shall provide the proper sign in accordance with the drawings and specifications. It shall be erected in a location approved by the City.

**11. Schedule**

Careful scheduling of this project is essential. Milestone dates for the major sections of work should be provided, and every effort made to meet those goals. The Construction activities in the schedule shall be according to all the works indicated in the Schedule of Values. Update the schedule monthly and submit it to the Project Manager to be included with the monthly estimate.

**12. Liquidated Damages**

The amount of this contract is \$3,928,000.00. In accordance with the Contract Documents, the Liquidated Damages will be \$1,200.00 for each and every calendar day the work remains incomplete beyond the expiration date of the Contract Time.

**13. Submittal(s) and Project Start Check List**

These submittals must be received and approved before 50% of mobilization can be paid per Section 01502 - Mobilization.

- A. Safety Program (Doc. 00700, Par. 10.1.1)
- B. Site Utilization Plan (Sec. 01145)

- C. Schedule of Values (Sec. 01292)
- D. Pre-Construction Photographs (Sec. 01321)
- E. Construction Schedule (Sec. 01325)
- F. Submittal Schedule (Sec. 01330)
- G. Site specific Storm Water Pollution Prevention Plan (SWPPP) (Sec. 01570) and Notice of Intent (NOI) along with storm water application fee (Sec. 01410)
- H. Contractor's Quality Control Plan (Sec. 01450)
- I. Establishment of a Field Office for Project Manager meeting requirements of Sec. 01520 – Temporary Field Office when required by the contract.
- J. Traffic Control Plan (Sec. 01555)
- K. Plan for Control of Ground and Surface Water (Sec. 01578)
- L. Project Signs Submittal (Sec. 01580)
- M. Trench Safety Program (Sec. 02260)
- N. Dewatering Plan, when required

#### **14. Progress Payments**

The monthly estimate cut-off date for the project is \_\_\_\_\_ (Doc. 00520, Article 4.2). The Contractor is required to provide a Certificate of Payment to Subcontractors and Suppliers (Document 00642) on a monthly basis. Other documents to be included in the monthly estimate include an updated project schedule and M/WBE utilization schedule. The City's Project Manager should receive these 5 days prior to cut off date. City Project Managers will also be including in the monthly estimate a copy of M/WBE monthly utilization summary from B2GNOW to track utilization to date. Failure to provide these documents may result in delays in processing pay estimates.

#### **15. Change Order**

All design changes in the field is accomplished by a Request for Information (RFI), initiated by the Contractor. If the RFI results in a Request for Proposal (RFP), the Proposal will be filled out in accordance with the instructions on the RFP. Upon approval of the Proposal, a formal Change Order will be prepared by the City for the Contractor's signature and approval. The City will amend the contract accordingly.

#### **16. Final Payment**

The Contractor is advised that upon completion of the project, he will be asked to sign the final estimate indicating that all the quantities and amounts withheld are correct and he agrees with the estimate. His failure to take exception prior to signature shall not entitle him to further payment after he signs such estimate.

#### **17. Utility Coordinating:**

The Contractor is advised of the Utility Coordinating Committee one call number, 811 or (713) 223-4567, which he must call 48 hours in advance, if required. Transmittal numbers are to be indicated on the first daily inspection report.

#### **18. Traffic Control**

One lane in each direction shall be maintained during working hours unless otherwise directed by the contract. When traffic must be diverted into a single lane, flagmen shall

be utilized. During non-working hours or times when flagmen are not available, traffic must be able to flow in both directions, unless otherwise authorized by the City Engineer. Traffic flow shall not be obstructed from 7:00 a.m. to 9:00 a.m. and 4:00 p.m. to 6:00 p.m. on designated major arterials or as designated by the City Engineer. Local driveways to residential and commercial properties shall be accessible at all times. Vehicular parking shall not interfere with public traffic and parking, access by emergency vehicles, and City's operations. Contractor must obtain prior approval from the City for weekends and after hour work. Traffic Control and "Flagmen" are Lump Sum pay items. These will be paid as per approved "Schedule of Values". The Contractor shall notify the City Engineer one week prior to implementing the next approved traffic control phase.

#### **19. Cleaning**

The Contractor shall perform daily clean-up of all dirt, debris, and any other disposable items resulting from Contractor's operations as specified. All streets, access streets, driveways, and walkways shall be kept clean and open at all times, unless otherwise authorized. A written notice of non-compliance may be issued by the City Engineer if Contractor fails to perform daily clean-up. Contractor may also be charged for the cost of clean-up by others for failure to correct any non-compliance notice within 24 hours.

All vegetation, rubble, broken concrete, excess dirt, debris and spoilage shall not be disposed of in any storm drainage conveyance system on or off the job site. The Contractor shall dispose of all undesirable materials off-site and in a lawful manner. If excess soil is deposited on private property, the Contractor must secure written permission to do so. Written permission must include a description of the property on which the soil is deposited and a copy furnished to the City. The property must be outside the flood plain zone.

#### **20. Record Documents, Specifications, Drawings**

The Contractor shall keep "As-Built Drawings" in accordance with Document 01720, Project Record Documents. These documents are to be reviewed and discussed at every Monthly Progress Meeting

#### **21. Payments and Completion (Article 9, Document 00700)**

The contractor is hereby reminded that per Article 9 of the General Conditions (Document 00700) and the 00410 Document, the Total Bid Price was calculated by bidder, using the unit price items included in base unit price table. Further, the bidder has signed the Bid Form therefore offering to enter into a Contract to perform the Work for the Total Bid Price shown on the signature page of the 00410 Document. Therefore, all Work identified in the contract drawings and specifications are included within the Total Bid Price.

#### **22. Contractor Representations (Article 5, Document 00520)**

The contractor is hereby reminded that per Article 5 of Document 00520, the Contractor represents:

- A. Contractor has examined and carefully studied Contract documents and other related data identified in Request for Competitive Sealed Proposals.

- B. Contractor has visited the site and become familiar with and is satisfied as to general, local, and site conditions that may affect cost, progress, and performance of the Work.
- C. Contractor is familiar with and is satisfied as to all federal, state, and local laws and regulations that may affect cost, progress, and performance of the Work.
- D. Contractor has carefully studied all: (1) reports of explorations and tests of subsurface conditions at or contiguous to the site and all drawings of physical conditions in or relating to existing surface or subsurface structures at or contiguous to the site (except Underground Facilities) which have been identified in Contract documents and (2) reports and drawings of a hazardous environmental condition, if any, at the site which has been identified in Contract documents.
- E. Contractor has obtained and carefully studied (or assumes responsibility for having done so) all additional or supplementary examinations, investigations, explorations, tests, studies, and data concerning conditions (surface, subsurface, and Underground Facilities) at or contiguous to the site which may affect cost, progress, or performance of the Work or which relate to any aspect of the means, methods, techniques, sequences, and procedures of construction to be employed by Contractor, including applying specific means, methods, techniques, sequences, and procedures of construction, if any, expressly required by the Contract to be employed by Contractor, and safety precautions and programs incident thereto.
- F. Contractor does not consider that any further examinations, investigations, explorations, tests, studies, or data are necessary for performance of the Work at Contract Price, within Contract Time, and in accordance with the Contract.
- G. Contractor is aware of general nature of work to be performed by the City and others at the site that relates to the Work as indicated in Contract documents.
- H. Contractor has correlated information known to Contractor, information and observations obtained from visits to the site, reports and drawings identified in the Contract, and all additional examinations, investigations, explorations, tests, studies, and data with the Contract.
- I. Contractor has given City Engineer written notice of all conflicts, errors, ambiguities, or discrepancies that Contractor has discovered in the Contract, and written resolution thereof by City Engineer is acceptable to Contractor.
- J. Contract documents are generally sufficient to indicate and convey understanding of all terms and conditions for performance and furnishing of the Work

### **23. Changes in the Work**

In accordance with the previous statements the City requires the Contractor to notify the City if there are any conflicts, errors, ambiguities, or discrepancies that Contractor has discovered in the Contract and the City has been given the opportunity to provide a written resolution to the Contractor. In the absence of a request by the Contractor at the beginning of the contract to address these conflicts, errors, ambiguities, or discrepancies, the City will proceed on the understanding that all work identified in the

plans and specifications will be compensated to the Contractor under items shown in the Document 00410.

In the event a there is a change in the work, the Contractor will be required to follow the guidance of the Document 00700, General Conditions Article 7 – Changes in the Work.

**24. Resolution of Known Issues**

The Contractor is hereby recommended to request a written resolution for any known conflicts, errors, ambiguities, or discrepancies.

**25. Project Contact Information**

Contact information for all parties at this meeting and involved with the project will be sent with the minutes of this meeting. If you have not already signed in, please sign in.

**26. Questions?**

**Document 00950**

**Part A**

**WORK AUTHORIZATION No. X**

**The Owner:** City of Houston, 900 Bagby Street, Houston, Texas 77002 (City)  
**The Contractor:** \_\_\_\_\_  
**Address:** \_\_\_\_\_  
**Project WBS Number:** \_\_\_\_\_  
**Project Title:** \_\_\_\_\_  
**Project Location:** \_\_\_\_\_  
**City Engineer:** \_\_\_\_\_  
**Address:** \_\_\_\_\_

**DESCRIPTION OF THE WORK**

The Work to be performed under this Work Authorization is XXXXXXXXXXXXXXXXXXXXXXXXXXXX  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

[BRIEF DESCRIPTION OF THE WORK TO BE DONE]

All necessary Drawings are attached and incorporated herein as part of the Work Authorization. City of Houston Standard Specifications and Details are included by reference as part of the Work Authorization.

**DATE OF COMMENCEMENT**

The Date of Commencement of this Work Authorization under the Project is (DATE). On such date the Contractor is to start performing its obligations under the Work Authorization in accordance with the Contract Documents. The Contract Time for this Work Authorization is (XX) days, subject to adjustment of the Contract Time as provided in the Contract Documents.

**CONTRACT PRICE**

Subject to all the terms and conditions of the Contract Documents, the City shall pay the Contractor in current funds for the Contractor's performance of the Work described in this Work Authorization, the Work Authorization estimated amount of (WORD) (\$XXXX.XX) using existing bid items in the Contract as described in the attached quantity analysis.

The Contract Price is based, in whole or in part, on those unit price items as described and listed in Document 00410 – Bid Form. The Contract Price is subject to adjustment due to variation in quantities of units of work actually incorporated in the completed Work and other adjustments as provided in the Contract Documents.

This Work Authorization is a Contract Document. Work performed and payments made pursuant to this Work Authorization shall be subject to the terms and conditions of all other Contract Documents except as otherwise provided, including but not limited to Document 00700 - General Conditions and Document 00800 - Supplementary Conditions.

Attachments to this Work Authorization as follows:

Document 00950B – Quantity Analysis  
Sketch and pictures for (STREET NAME)

Additional terms, instructions, and conditions which pertain to this Work Authorization: **N/A**

City of Houston

By: \_\_\_\_\_  
**NAME**  
Managing Engineer  
Construction Branch  
Department of Public and Works Engineering

**Part B**

**QUANTITY ANALYSIS**

WORK AUTHORIZATION NO.: X

WBS NO.: X-XXXXXX-XXXX-X

PROJECT NAME: NAME

CONTRACTOR: NAME

CONTRACT NO.: 46XXXXXXXX

LOCATION: STREET NAME: LIMITS

You are hereby directed to begin the following Work Authorization, as described below and specified or shown on attachments, if applicable.

1. Submit Pre-construction photographs of the site including pavement, driveways, sidewalks, handicap ramps, trees, landscaping, and other existing conditions in accordance with Section 01321 and 01330.
2. Submit a Preconstruction Schedule for review
3. Notify adjacent occupants in accordance with Section 01145, 1.05 and Section 01555, 3.01D of Contract Document.
4. Test and protect existing irrigation systems in accordance with Section 01145, 1.04E (including supplement) of Contract Document.
5. Secure all necessary permits (Lane Closure Permit, Excavation Permit, etc.).
6. Perform utility locates and coordinate with all private and public utilities in accordance with Section 01504 (including supplement) of Contract Document.
7. Implement plant and tree protection per Section 01562 of Contract Document.
8. Install traffic control plan per approved road close permit issued by the City.
9. Mobilize all necessary equipment and materials for \_\_\_\_\_  
\_\_\_\_\_ scope of work.
10. Backfill and restore the area as directed by Project Manager per City of Houston Specification Section 2318.
11. Maintain driveway access at all times in accordance with Section 01145, 1.07F, and Section 01555, 3.01G, 3.05 & 3.06 (including supplements) of Contract Document.
12. Contractor shall perform daily site clean up in compliance with Document 00700; General Conditions, Article 3, section 3.21, Section 01145, 1.04F, Section 01504, 3.08 (including supplement), and Section 01555, 3.01H of Contract Document. Contractor shall avoid any damage to the private property. If private or public property is damaged by the Contractor, Contractor shall, at its sole expense, restore the damaged property in compliance with Document 00700; General Conditions, Article 3, section 3.9.3, and Section 01504, 3.08 (including supplement) of Contract Document.
13. Restore construction site in compliance with the specification Section 01562, Section 01740 and other as applicable of Contract Document.

1. PROPOSED WORK AUTHORIZATION:

00950-3  
May 30, 2014

Contractor's Initials [ ]

(\$XXXXXX.XX) using existing Bid Items in the contract and XX days).

The total Contract Time is proposed to remain/change at/to XXX days.

<b>9. COST SUMMARY</b>	<b>DOLLAR AMOUNT</b>	<b>PERCENT</b>
Original Contract Price	\$X,XXX,XXX.XX	100.00%
Previous Work Authorizations	\$X,XXX,XXX.XX	XX.XX%
This Work Authorization	\$X,XXX,XXX.XX	XX.XX%
Total Work Authorizations Issued	\$X,XXX,XXX.XX	XX.XX%

<b>10. SCHEDULE SUMMARY</b>	<b>DURATION</b>	<b>COMPLETION DATE</b>
This Work Authorization	<u>XX Days</u>	<u>XX/XX/XXXX</u>

**SUMMARY - QUANTITY ANALYSIS**

Total Base Unit Prices \$X,XXX,XXX.XX

**TOTAL WORK AUTHORIZATION NO. X** **\$X,XXX,XXX.XX**

\_\_\_\_\_  
CITY PROJECT MANAGER (Signature) DATE

PRINT NAME: \_\_\_\_\_

\_\_\_\_\_  
CONTRACTOR (Signature) DATE

PRINT NAME: \_\_\_\_\_

C: **COH Design Project Manager**  
**Senior Inspector**  
**Inspector**  
Jim Boxley  
File: X-XXXXXX-XXXX-X/2.1 (WA No. X)

**END OF DOCUMENT**



# CITY OF HOUSTON

Public Works and Engineering  
Department

## Interoffice

---

Correspondence

**To:** Council Member Name  
Council Member, District (Letter)

**From:** Senior Assistant Director  
Construction Branch  
Engineering and Construction Division

**Date:** (Date)

**Subject:** PROJECT NAME;  
WBS NO. X-000XXX-00XX-X;  
OUTLINE AGREEMENT NO. 46000XXXXX;  
KEY MAP NUMBER: XXX-XWORK  
AUTHORIZATION NO. X

Please be advised that Work Authorization No.1 has been issued to Construct (**Type of Constructions**) on the (**Location**)

This project is located in your District.

Attached is a layout plan for the subject Work Authorization No. 1. Construction has been scheduled to commence on (**Day**), (**Date**) and is anticipated to end by (**Date**). The project contractor is (**Contractors Name**).

Your staff may coordinate their concerns with Mr. \_\_\_\_\_, Managing Engineer, Construction Branch at (832) 395-2368.

Sr. Assistant Director's Name

(SAD):(ME):(PM)

Attachment: Construction plan layout for the subject Work Authorization No. 1

ec: Daniel R. Menendez, P.E.  
Vicki Fenney  
File No. N-320610-0001-4 (2.3) WA No. 1

## ReBuild Houston Project Notification

### PROJECT NAME (WBS NO. M OR N-XXXX XXXX XX)

ReBuild Houston is the voter approved, pay-as-you go business strategy for reconstructing and maintaining our drainage and street system. This means we will get twice as much product for our dollars. To learn more about ReBuild Houston, please visit our website at <http://www.rebuildhouston.org/>.

This project consist of the construction of a 10 Ft x 10 Ft pre-cast storm sewer trunk and storm sewer relief outfall starting at Buffalo Bayou and within the street rights-of-way of Gillette Street from Allen Parkway to W. Dallas. The project continues on W. Dallas from Gillette Street to Genesee Street and ends on Genesee just past W. Dallas. The project also includes full width pavement reconstruction, water line and sanitary sewer replacement, standard 5-ft wide sidewalks, and an outfall structure at Buffalo Bayou. The total construction contract amount was \$8,948,584.44

The contractor for this project is **Construction Co.** and work began on **DATE**. This project will be completed on **DATE**.

Should you have questions about this project, please call (832) 395-2090 or email [pwecip@houstontx.gov](mailto:pwecip@houstontx.gov).



# CITY OF HOUSTON

Department of Public Works and Engineering  
Department

**Interoffice**

**Correspondence**

**To:** \_\_\_\_\_(name)\_\_\_\_\_  
Council Member, District x

**From:** Deputy Director  
Engineering and Construction Division

**Date:** MONTH DAY YEAR

**Subject:**PROJECT NAME  
WBS No. M OR N-000XXX-XXXX-X  
GROUND BREAKING OPPORTUNITY

The Department of Public Works and Engineering will soon proceed with construction of the (PROJECT NAME HERE). The proposed location for this Ground Breaking opportunity is (STREET ADDRESS OR INTERSECTION) at the outfall and the proposed date and time is MONTH DAY YEAR at TIME, A.M.

The Department has identified this proposed groundbreaking opportunity for your use in case you decide to pursue this celebratory milestone.

If your office would like to pursue this opportunity, please coordinate with the (NAME), Director, Mayor's Office of Special Events.

DEPUTY DIRECTOR'S NAME

(DD):(ME):(PM)

**Ec:** Director, Mayor's Office of Special Events ([EMAIL ADDRESS](#))  
Administrative Manager  
File WBS No: M or N xxxxx-xxxx-x, 2.3

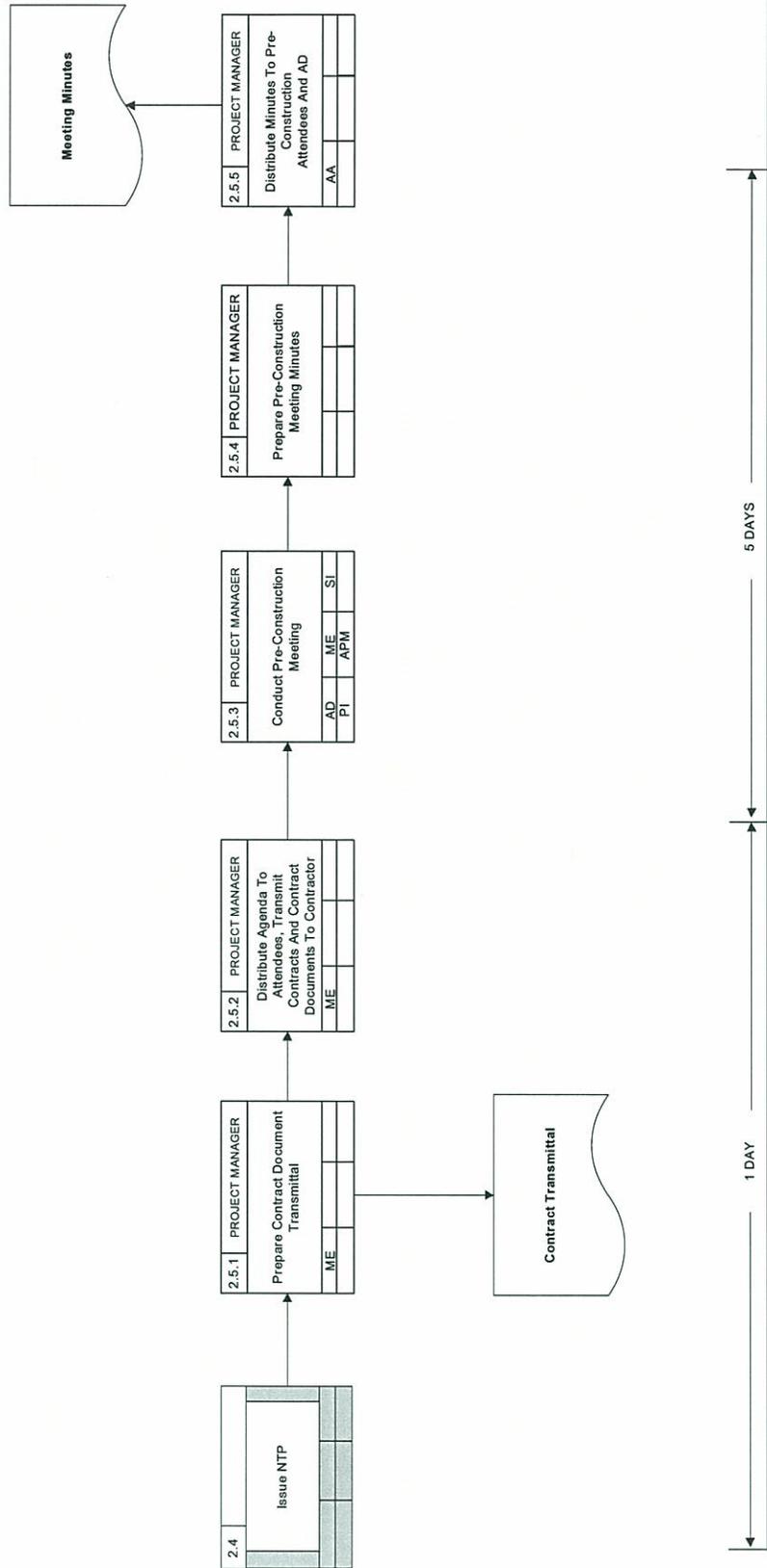
# PROCESS STANDARD



**STANDARDS**  
**PROCESS 2.4 – ISSUE NOTICE TO PROCEED**

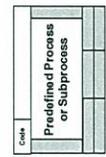
1. The Notice to Proceed letter shall be issued to the Contractor within 30 days after the Effective Date of the Agreement per contract document 00450.  
(Countersignature Date by City Controller on Document 00520)
  
2. The following documents should be included in the Project Notification Documents:
  - a. Notice to Proceed Letter
  - b. Memo to Council Members
  - c. Letter to Utility Companies
  - d. Pre-Construction Agenda
  - e. Notification of the Project to PWE PIO regarding the NTP (by e-mail)
  - f. Work Authorization Letter (Refer 1.4)

# PROCESS 2.5 - CONDUCT PRE-CONSTRUCTION CONFERENCE



CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION  
CONSTRUCTION BRANCH PROCESS MAP

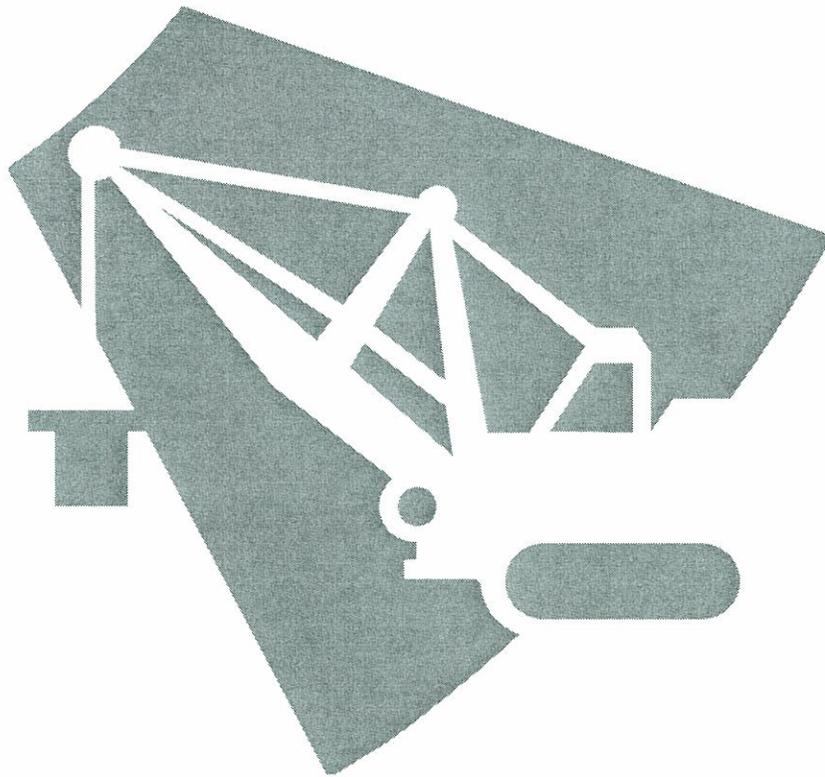
## Legend



- CONTRIBUTORS**
- ME = MANAGING ENGINEER
  - SI = SENIOR INSPECTOR
  - EOR = ENGINEER OF RECORD
  - DPM = DESIGN PROJECT MANAGER
  - DC = DOCUMENT CONTROL
  - AA = ADMINISTRATIVE ASSISTANT
  - APM = ASSISTANT PROJECT MANAGER



# PROCESS EXAMPLES



**PRE-CONSTRUCTION MINUTES**  
\_\_\_\_\_, 2013, 10:00 AM  
611 Walker, 17<sup>th</sup> Floor, Room 1746

Project Name: \_\_\_\_\_  
WBS No.: \_\_\_\_\_  
Council District: \_\_\_\_\_  
Key Map Nos.: \_\_\_\_\_

**1. Opening – Project Name and General Project Scope**

**2. Parties to the Contract and Correspondence**

This Contract is between the City of Houston and CONTRACTOR'S COMPANY NAME. The total contract price is \$X,XXX,XXX.XX.

- All correspondence from the City to the Contractor shall be addressed to:

Contact Information: CONTRACTOR'S CONTACT  
CONTRACTOR'S COMPANY NAME  
COMPANY ADDRESS  
CITY, STATE ZIP CODE

- All correspondence from the Contractor to the City shall be addressed to:

\_\_\_\_\_, Managing Engineer  
Attn: \_\_\_\_\_, Project Manager  
City of Houston  
Engineering & Construction Division, Construction Branch  
611 Walker Street, 17<sup>th</sup> Floor  
Houston, Texas 77002

**3. Notice to Proceed and Contract Time**

**4. Office of Business Opportunity**

**5. Play or Pay Program (POP)**

**6. Document 01110** (Information to be supplied from Document 01110)

A. Detailed Project Scope

- Coordination with Others
- Tree and Plant Protection and Removal
- Geotechnical /ESA Issues

B. Cash Allowances

C. Work Sequences

D. Street Cut Ordinance

**7. Testing Lab and Scheduling of Testing Inspection**

**8. Citizen Notification**

**9. Field Office**

**10. Project Sign**

**11. Schedule**

**12. Liquidated Damages**

**13. Submittal(s) and Project Start Check List**

**14. Progress Payments**

**15. Change Order**

**16. Final Payment**

**17. Utility Coordinating:**

**18. Traffic Control**

**19. Cleaning**

**20. Record Documents, Specifications, Drawings**

**21. Payments and Completion (Article 9, Document 00700)**

**22. Contractor Representations (Article 5, Document 00520)**

**23. Changes in the Work**

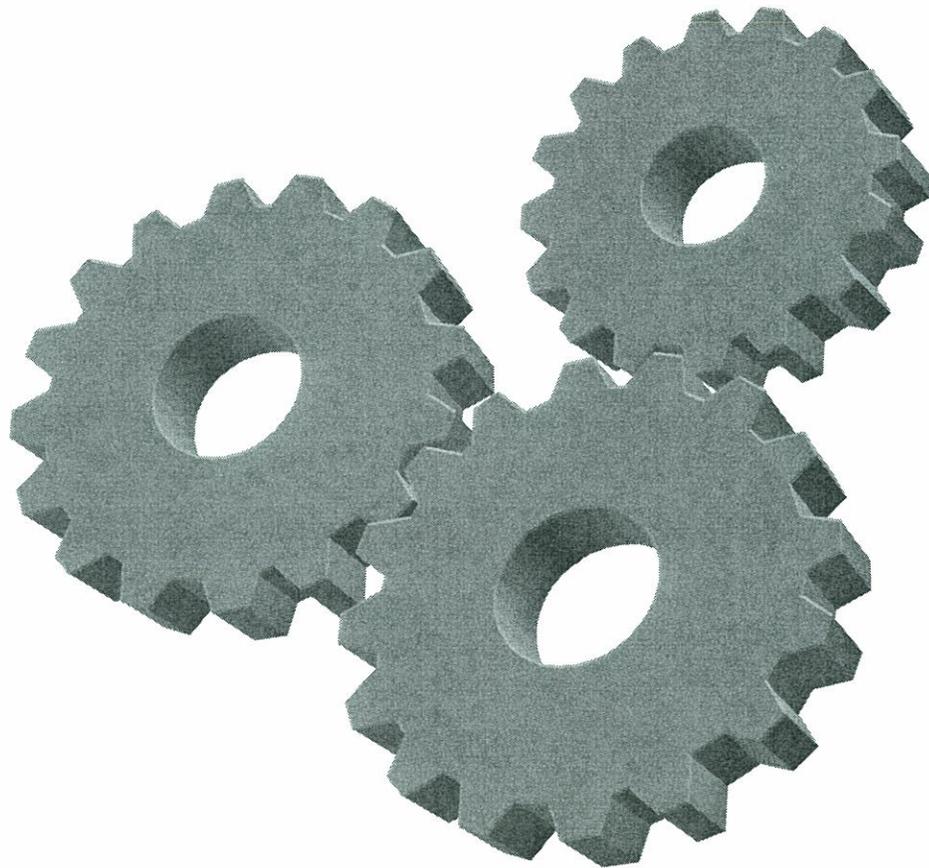
**24. Resolution of Known Issues**

**25. Project Contact Information**

**26. Questions?**



# PROCESS STANDARD

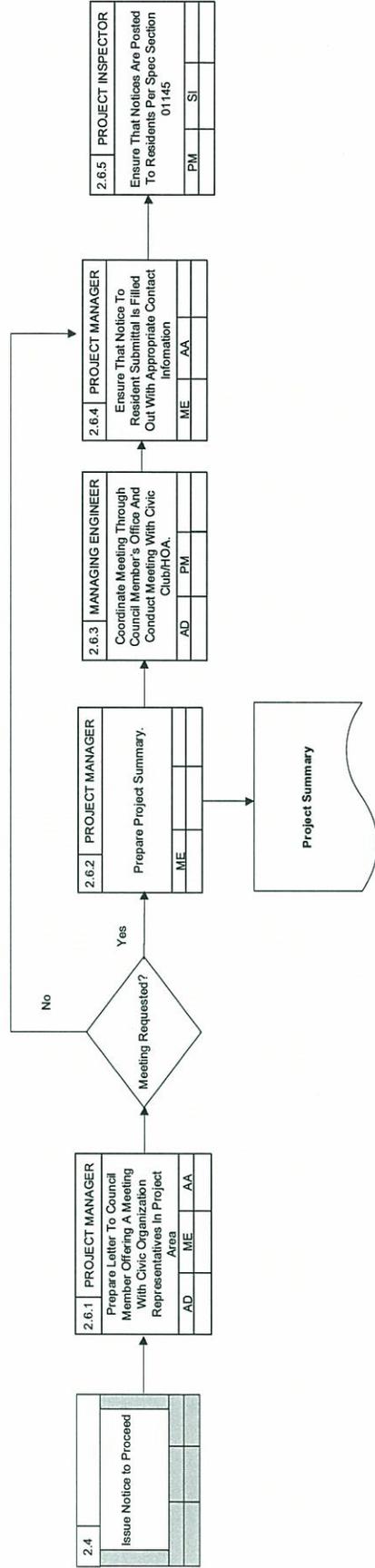


## **STANDARDS**

### **PROCESS 2.5 – CONDUCT PRE-CONSTRUCTION CONFERENCE**

1. Contract Documents shall be transmitted to contractor no later than the Pre-Construction Conference.
2. The following documents shall be transmitted to the contractor at the Pre-construction Conference:
  - a. Original Contract
  - b. Drawing and Specification sets (5 Minimum)
  - c. Project Sign Stickers
  - d. Any Permits transmitted from Design.
3. Meeting minutes shall be finalized and distributed five days after the Pre-Construction Conference.

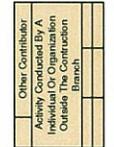
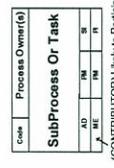
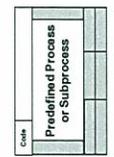
# PROCESS - 2.6 CONDUCT COMMUNITY COMMUNICATIONS



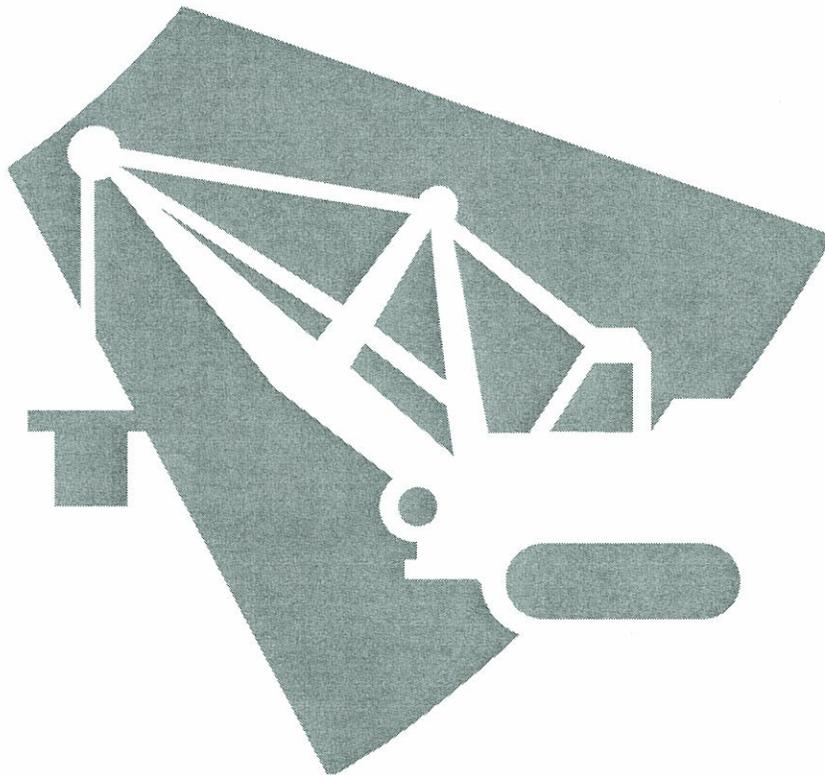
10 DAYS      30 DAYS

## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend



# PROCESS EXAMPLES



## Notification of Capital Improvement Plan Construction Project in the XXXXX area

In order to keep pace with the growing needs of the community, the City of Houston Department of Public Works and Engineering will be improving the (xxxxxxx) in the area described below. The contractor for this project is (xxxxxxx) and work will start on (xxxxxxx), and is scheduled to end on (xxxxxxx). You may not see any activity by the contractor for several weeks after the construction time has begun. This is due to the contractor getting prepared to perform work which includes procurement of materials and equipment, setting up staging areas or working in other areas in the project.

(Optional is the work is done on city facilities: The work will take place within the confines of the plant and should not add to significant traffic congestion on street name.)

A detailed description and contact information is listed below:

WBS No.:

Project Description:

Construction Cost:

Streets involved in construction:

Project Location(s):

Construction Firm:

Construction Firm Project Manager: name, phone number [e-mail](#)

City of Houston Inspector: name, phone number [e-mail](#)

City of Houston Project Manager: name, phone number [e-mail](#)

City of Houston Managing Engineer: name, phone number [e-mail](#)

If you have questions about the construction phase please contact the Construction Management and Inspection Project Manager or the City of Houston Project Manager listed above. If the issue is not resolved to your satisfaction please contact the City of Houston Managing Engineer listed above or Tim Lincoln, Senior Assistant Director, Construction Branch at (713) 837-7074 or e-mail at [tim.lincoln@cityofhouston.net](mailto:tim.lincoln@cityofhouston.net).

**CITY OF HOUSTON  
PUBLIC WORKS AND ENGINEERING DEPARTMENT  
ENGINEERING AND CONSTRUCTION DIVISION  
CONSTRUCTION BRANCH - STORM DRAINAGE SECTION**

*In order to keep pace with the growing needs of the community, the City of Houston Department of Public Works and Engineering will be improving the area described below. You may not see any activity by the contractor for several weeks after the construction time has begun. This is due to the contractor getting prepared to perform work, which includes procurement of materials and equipment, setting up staging areas or working in other areas in the project.*

**Project Name:**

**WBS Number:**

**Contractor:**

**Project Location (Key Map):**

**Council District:**

**Project History:**

**Street Location:**

**Construction Contract Award Date:**

**Construction Notice to Proceed Date:**

**Construction Substantial Completion:**

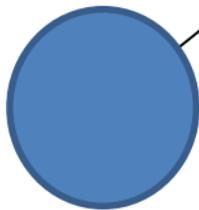
**Approx. Construction Cost:**

**Project Duration:**

**% Complete:**

**MIWBE Goal: % To Date**

*The contractor is required to provide residents written notification, via door hangers, 72 hours prior to construction beginning on your street.*



# CITY OF HOUSTON

## Public Works and Engineering Department Engineering & Construction Division

ReBuild Houston is working for you. The City of Houston's Public Works & Engineering (PWE) Department is constructing the following project in your area:

Project Name: \_\_\_\_\_

WBS #: \_\_\_\_\_

Dates of Construction: \_\_\_\_\_ to \_\_\_\_\_

### The work will include:

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Storm Sewer    | <input type="checkbox"/> Street Paving | <input type="checkbox"/> Street Lights  |
| <input type="checkbox"/> Water Lines    | <input type="checkbox"/> Sidewalks     | <input type="checkbox"/> Street Overlay |
| <input type="checkbox"/> Sanitary Sewer | <input type="checkbox"/> Driveways     |   |

### Your public utility service will:

- Be affected       Not be affected

### Access to your driveway will:

- Be affected       Not be affected

### The Contactor performing the work is:

\_\_\_\_\_

For immediate issues with construction, please contact the contractor's personnel (available 24/7) at:

Foreman: \_\_\_\_\_ Cell: \_\_\_\_\_

Superintendent: \_\_\_\_\_ Cell: \_\_\_\_\_

Contractor: \_\_\_\_\_ Office: \_\_\_\_\_

For more information on this project, please contact the Houston Service Center by dialing 3-1-1 or (713) 827-0311; access [www.houstontx.gov](http://www.houstontx.gov) and click on the 3-1-1 icon or download our mobile app for Android & Apple iOS. You may also send an e-mail to [PWECIP@houstontx.gov](mailto:PWECIP@houstontx.gov).

As in all construction work, there will be designated work areas for excavation and moving equipment. Please be advised to exercise appropriate caution when traveling in or through these areas. Also, there may be times that water and/or sewer service may temporarily be lost. Every effort will be made to inform you of planned shutdowns of service. However, emergency situations may arise which may force the immediate shutdown of service. In these instances, every effort will be made to restore your service as quickly as possible.

Driveway access will be affected as a part of this project. There will be times you may have to share a driveway with your neighbor while pavement/driveways are being replaced in front of your house. All work is to be performed within the City's right-of-way (ROW). This ROW extends 5 to 20 feet from the back of the existing curb, depending on the area.

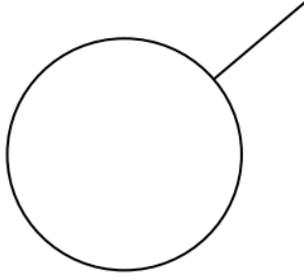
During the design of this project, an arborist was engaged to perform an assessment of the trees in the area and to develop a tree protection plan. This plan will be implemented by the contractor to ensure adequate protection of the trees during construction.

Restoration of yards, sprinkler system, etc. will occur once all construction is complete on the street. If your sprinkler system is broken by the construction, please contact 311 to report the break and PWE will ensure that the contractor makes the repair as quickly as possible.

The contractor has taken pre-construction photos of the project. If you perceive that damage has been done to your property, please report the damage via 3-1-1 and PWE will meet with you to review the damage.

# REBUILDHOUSTON.org

*better streets. better drainage. better future.*



# REBUILDHOUSTON.org

*better streets. better drainage. better future.*

The ReBuild Houston Initiative is the City of Houston's voter-initiated plan to rebuild drainage and street infrastructure. ReBuild Houston will improve the quality of life and mobility for residents through the reconstruction and proper maintenance of drainage and street improvements.

**Annise D. Parker, Mayor**

**Ronald C. Green, City Controller**

## **Council Members**

**Helena Brown**

**Jerry Davis**

**Ellen Cohen**

**Wanda Adams**

**Dave Martin**

**Al Hoang**

**Oliver Pennington**

**Ed Gonzalez**

**James Rodriguez**

**Mike Laster**

**Larry Green**

**Stephen C. Costello**

**Andrew C. Burkes, Jr.**

**Melissa Noriega**

**C.O. "Brad" Bradford**

**Jack Christie**



**REBUILD HOUSTON**

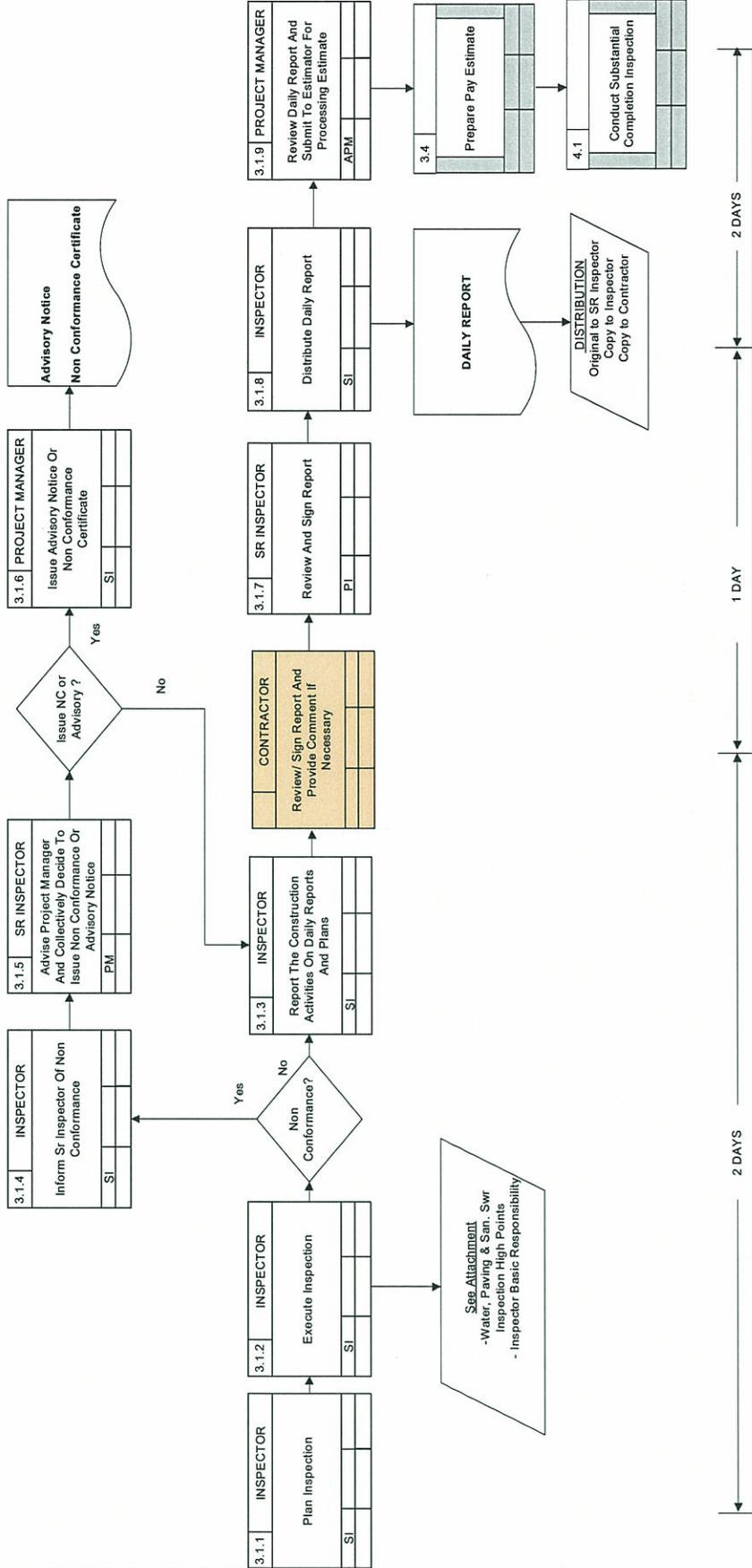
# PROCESS STANDARD



**STANDARDS**  
**PROCESS 2.6 – CONDUCT COMMUNITY COMMUNICATIONS**

1. Any written or verbal communication from any Council Member or Council Member's office will be forwarded to the attention of the Managing Engineer, and Sr. Assistant Director.
2. Project Managers and Project Inspectors should monitor the Contractor's efforts to provide timely notification per Specification **Section 01145-1.05B**.
3. CIPMS Project Team Modules Information shall be prepared and attached with project fact sheet and give to the Construction Branch representative.
4. Project Manager shall provide Contract Documents for review at the meeting.

# PROCESS 3.1 - INSPECT PROJECT



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

**Contributors**

AD - ASSISTANT DIRECTOR  
 AS - ADMIN SUPERVISOR  
 PI - PROJECT INSPECTOR  
 DC - DOCUMENT CONTROL  
 AA - ADMINISTRATIVE ASSISTANT  
 ME - MANAGING ENGINEER  
 SI - SENIOR INSPECTOR  
 IA - INVOICE ADMINISTRATOR  
 EOR - ENGINEER OF RECORD  
 DPM - EGD DESIGN PM  
 APM - ASSISTANT PROJECT MANAGER

Drawing Page: 1 of 1

Rev. Nov. 2011

**Activity Conducted By A Individual Or Organization Outside The Organization Branch:**

Code	Process Owner(s)	SubProcess Or Task
SI	SI	SI
PM	PM	PM
IA	IA	IA
DC	DC	DC
AA	AA	AA

(CONTRIBUTOR) Lead by Participant  
 (CONTRIBUTOR) Lead by Participant

**Predefined Process or Subprocess:**

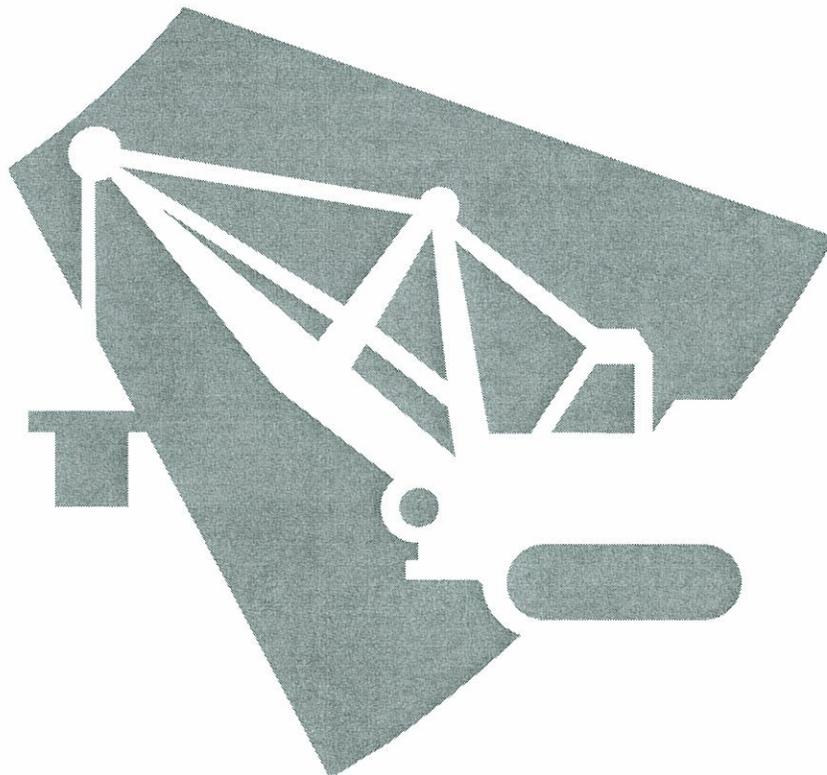
Code	Process Owner(s)	SubProcess Or Task
SI	SI	SI
PM	PM	PM
IA	IA	IA
DC	DC	DC
AA	AA	AA

**Deliverable:**

Update Database

Suggested Logical dependency between activities

# PROCESS EXAMPLES





**CITY OF HOUSTON**  
**Department of Public Works & Engineering**  
**Construction Branch**

**Daily Construction Report**

**Project :**  
**Project No. :**  
**Contract No. :**  
**Contractor :**  
**Weather :** Dry

**Work Auth. No. :** N/A  
**Report No. :** 420  
**Report Date :** 03/15/2010  
**Temperature High :** 75  
**Temperature Low :** 50

**Daily Work Progress**

<u>Item No</u>	<u>Location</u>	<u>Description</u>	<u>Comments</u>	<u>Unit</u>	<u>Quantity</u>
72	Clarifiers	Replace Exist Sluice Gate Operators		LS	1.00
78	Hypochlorite Area	R/R Sodium Hypochlorite Piping		LS	0.20
79	Bisulfite Area	R/R Sodium Bisulfite Piping		LS	0.20
86	WWTP	Sodium Bisulfite Diffuser		LS	1.00
87	WWTP	Electrical Rough-In		LS	0.10
88	WWTP	Underground Duct Banks		LS	0.15
89	WWTP	Above Ground Conduit & Wire		LS	0.20
90	WWTP	Switchgear		LS	0.25
93	WWTP	Lighting		LS	0.25
94	WWTP	Field Instruments		LS	0.25
97	WWTP	Control System		LS	0.40
100	WWTP	Equipment Connections		LS	0.25

**Labor Force/Subcontractors**

<u>Labor Force</u>	<u>Quantity</u>	<u>Hours</u>	<u>Work Type</u>
Electricians (Journeyman) Firm's Name	1	10.00	Terminations & Grounding
Electricians (helper) Firm's Name	1	10.00	Terminations & Grounding

**Equipment On Project**

<u>Model No.</u>	<u>Description</u>	<u>Quantity</u>	<u>Hours in Use</u>	<u>Hours Std By</u>

**Lab Activities**

None
------



**CITY OF HOUSTON**  
**Department of Public Works & Engineering**  
**Construction Branch**

## Daily Construction Report

---

**Project** :

**Project No.** :

**Contract No.** :

**Contractor** :

**Weather** : Dry

**Work Auth. No.** : N/A

**Report No.** : 420

**Report Date** : 03/15/2010

**Temperature High** : 75

**Temperature Low** : 50

---

### Remarks

When the electricians arrived today for work they found that 2 windows had been broken at the field trailer. The trailer had been broken into and the fax machine and telephones have been stolen. I am not sure of any other items missing. I called both Mr. Smith and Mr. Jones and let them know what has happened. Mr. Smith said he would take care of getting the windows replaced.

Firm's Name electricians are working on terminations at the blower bldg. plc, analyzer plc and site wide grounding.

PHOTOS ATTACHED

---

**Inspector**

**Reviewer / Senior Inspector**

**Contractor**



**CITY OF HOUSTON**  
**Department of Public Works & Engineering**  
**Construction Branch**

**Daily Construction Report**

**Project** :  
**Project No.** :  
**Contract No.** :  
**Contractor** :  
**Weather** : CLOUDY/LIGHT

**Work Auth. No.** : N/A  
**Report No.** : 59  
**Report Date** : 06/23/2010  
**Temperature High** : 93  
**Temperature Low** : 75

**Daily Work Progress**

<u>Item No</u>	<u>Location</u>	<u>Description</u>	<u>Comments</u>	<u>Unit</u>	<u>Quantity</u>
24	SAME AS PI#89	Trench safety system for trench excavations		LF	96.00
24	SAME AS ALL PI#78	Trench safety system for trench excavations		LF	130.00
41	ROADWAY STA 21+40 TO STA 26+40 LT SHT#32 & 34	Lime (6% by dry weight)	THEORETICAL=500x29/9x25 /2000=20.13 TONS, ACTUAL=21.14 TONS	Ton	21.14
42	SAME AS PI#41	Lime stabilized subgrade, 6-inch thick	500x29?9	SY	1,611.11
71	ROADWAY STA 29+65 LT SHT#34	Type "C" manhole for 42-inch diameter and smaller sewers		Ea	1.00
78	ROADWAY STA 29+65 LT LATERAL SHT#34	24-inch diameter RCP storm sewer by open cut		LF	32.00
78	ROADWAY STA 82+35 TOWARDS STA 81+59 LT SHT#52	24-inch diameter RCP storm sewer by open cut		LF	40.00
78	ROADWAY STA 29+54 TO STA 29+80 LT SHT#34	24-inch diameter RCP storm sewer by open cut		LF	26.00
78	ROADWAY STA 84+00 LT LATERAL SHT#52	24-inch diameter RCP storm sewer by open cut		LF	32.00
89	ROADWAY STA 43+35.94 TO STA 44+31.94 RT SHT#40	6-foot by 4-foot RCB storm sewer by open cut		LF	96.00
91	ROADWAY STA 84+00 LT & STA 29+65 LT SHT #52 & 34	Type "C-2" Inlet (Precast), All Depths		Ea	2.00



**CITY OF HOUSTON**  
**Department of Public Works & Engineering**  
**Construction Branch**

**Daily Construction Report**

Project :  
 Project No. :

Work Auth. No. : N/A

Contract No. :  
 Contractor :

Report No. : 59

Report Date : 06/23/2010

Temperature High : 93

Temperature Low : 75

Weather : CLOUDY/LIGHT

127	ROADWAY STA 37+40 & STA 38+00 LT & RT SHT#38	DRILL SHAFT (30 IN)	FOR BRIDGE 42x3	LF	126.00
141	ROADWAY @ DETENTION POND	Excavation (Off-Site Disposal)	137x8	CY	1,096.00

**Labor Force/Subcontractors**

<u>Labor Force</u>	<u>Quantity</u>	<u>Hours</u>	<u>Work Type</u>
PROJECT MANAGER	1	10.00	
FOREMAN	4	10.50	*1 SPENT 10.5 HRS ON 6" GAS
LEAD MAN	2	10.50	
PIPE LAYER HELPER	3	10.50	*1 SPENT 10.5 HRS ON 6" GAS
SUB (FIRM'S NAME) LABORER	3	10.50	
OPERATOR	10	10.50	*3 SPENT 10.5 HRS ON 6" GAS
PIPE LAYER	3	10.50	*1 SPENT 10.5 HRS ON 6" GAS
LABORER	5	10.50	*2 SPENT 10.5 HRS ON 6" GAS
FLAGMEN	3	10.50	*1 SPENT 10.5 HRS ON 6" GAS
SUB (FIRM'S NAME) DRIVER	8	10.00	
SUB (FIRM'S NAME) OPERATOR	1	10.50	
SUB (FIRM'S NAME -SBE) FOREMAN	1	10.50	
SUB (FIRM'S NAME -SBE) LABORER	1	10.50	



## Daily Construction Report

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Project :  
 Project No. :  
 Contract No. :  
 Contractor :  
 Weather : CLOUDY/LIGHT

Work Auth. No. : NVA  
 Report No. : 59  
 Report Date : 06/23/2010  
 Temperature High : 93  
 Temperature Low : 75

### Equipment On Project

Model No.	Description	Quantity	Hours in Use	Hours Std By
HYUNDAI 210 (*1-10.5 HRS)	TRACKHOE	2	10.50	0.00
CAT 330 (*1-10.5HRS)	TRACKHOE	2	10.50	0.00
CAT 320	TRACKHOE	1	10.50	0.00
JOHN DEERE 550 (*1-10.5HRS)	DOZER	4	10.50	0.00
CAT SS-250B	MIXER	1	8.00	0.00
KOMATSU D61	DOZER	1	10.50	0.00
VOLVO A30D	DUMP TRUCK	1	0.00	0.00
(FIRM'S NAME) TEXOMA	TRACK DRILLING UNIT	1	8.00	0.00
(FIRM'S NAME)	PUMP TRUCK	1	8.00	0.00
(FIRM'S NAME)	MINI EXCAVATOR	1	8.00	0.00
BRUCE BROOM	SWEEPER	1	3.00	0.00
DYNAPAC CA 152	FLATWHEEL ROLLER	1	10.50	0.00
JOHN DEERE 200	TRACKHOE	1	10.50	0.00
	PICKUP	5	10.50	0.00
JOHN DEERE 544 (*1-10.5HRS)	LOADER	4	10.50	0.00
JOHN DEERE 310 J	BACKHOE	2	10.50	0.00
(FIRM'S NAME)	DUMP TRUCK	8	10.00	0.00
KOMATSU PC200LC	TRACKHOE	1	10.50	0.00
	WATER TRUCK	1	0.00	0.00
HYUNDAI 380	TRACKHOE	1	10.50	0.00
INGERSOL RAND C14	SHEEPSFOOT ROLLER	2	10.50	0.00
(FIRM'S NAME)	WATER TRUCK	2	8.00	0.00

### Lab Activities

ONE LAB TECH WAS ON SITE FROM 12:30 PM TO 5:30 PM-P/U CSS SAMPLE AND LIME DEPTH. ONE LAB TECH ON SITE FROM 8:00 AM TO 6:00 PM DENSITY AND CONCRETE TESTING.

### Remarks

CONTRACTOR HAD 4 CREWS INSTALLING 6'x4' RCB, 24" RCP, TWO TYPE C2 INLETS AND ONE TYPE C MH. CONTRACTOR ALSO PLACED LIME SUBGRADE AND EXCAVATED DETENTION POND. SUB-CONTRACTOR AND SUB-CONTRACTOR DRILLED AND Poured 3 BRIDGE SHAFTS. LIGHT RAIN BEGAN AT APPROX 2:15 PM AND LASTED REST OF DAY. TRAFFIC CONTROL AND SWPPP WERE SET IN PLACE.



**CITY OF HOUSTON**  
**Department of Public Works & Engineering**  
**Construction Branch**

## Daily Construction Report

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**Project :**  
**Project No. :**

**Work Auth. No. : N/A**

**Report No. : 59**

**Contract No. :**

**Report Date : 06/23/2010**

**Contractor :**

**Temperature High : 93**

**Weather : CLOUDY/LIGHT**

**Temperature Low : 75**

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**Inspector**

**Reviewer / Senior Inspector**

**Contractor**



**City of Houston  
Department of Public Works and Engineering  
Construction Branch  
ADVISORY NOTICE NO. \_\_\_\_\_**

Project: \_\_\_\_\_ WBS No.: \_\_\_\_\_

Contractor: \_\_\_\_\_

Contractor Representative: \_\_\_\_\_

LOCATION: \_\_\_\_\_ Station From: \_\_\_\_\_ Station To: \_\_\_\_\_

Referenced: Dwg. No.: \_\_\_\_\_ Spec. No.: \_\_\_\_\_

Daily Report No.: \_\_\_\_\_ Date: \_\_\_\_\_

Notice Description:

Date Corrective Action Required: \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Inspector

Receipt Acknowledged By: \_\_\_\_\_ Date: \_\_\_\_\_

Contractor's Representative

Reply:

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Contractor's Representative

Distribution: Contractor: \_\_\_\_\_

Managing Engineer: \_\_\_\_\_

Project Manager: \_\_\_\_\_

Sr. Inspector: \_\_\_\_\_

Inspector: \_\_\_\_\_

File: \_\_\_\_\_



**City of Houston**  
**Department of Public Works and Engineering**  
**Construction Branch**  
**NON-COMPLIANCE NOTICE NO. \_\_\_\_\_**

Project: \_\_\_\_\_ WBS No.: \_\_\_\_\_

Contractor: \_\_\_\_\_

Contractor Representative: \_\_\_\_\_

LOCATION: \_\_\_\_\_ Station From: \_\_\_\_\_ Station To: \_\_\_\_\_

Reference Dwg. No.: \_\_\_\_\_ Spec. No.: \_\_\_\_\_

Notice is hereby given that the [ ] test(s) and/or [ ] inspection indicated, as described below, is not in conformance with the Contract Documents.

**Non-Compliance Description:**

Date Corrective Action Required: \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Project Manager

Receipt Acknowledged By: \_\_\_\_\_ Date: \_\_\_\_\_  
Contractor's Representative

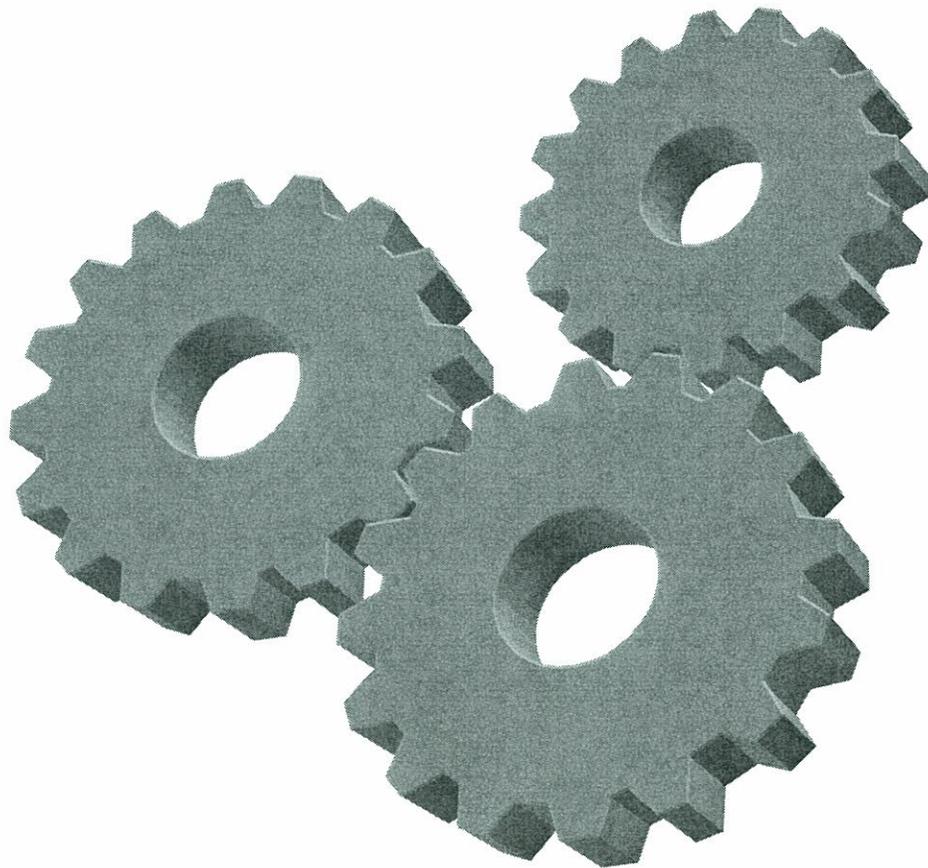
**Resolution/Corrective Action:**

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Contractor's Representative

Accepted By: \_\_\_\_\_ Date: \_\_\_\_\_  
Project Manager

- Distribution:
- Contractor: \_\_\_\_\_
  - Managing Engineer: \_\_\_\_\_
  - Project Manager: \_\_\_\_\_
  - Sr. Inspector: \_\_\_\_\_
  - Inspector: \_\_\_\_\_
  - File: \_\_\_\_\_

# PROCESS STANDARD



## **Inspector Basic Responsibilities**

1. Familiarize oneself with assigned projects. Stay abreast of the current status of assigned projects at all times.
2. Incorporate any addendums into the bound set of project specifications. Record daily activities on construction drawings. Including, but not limited to, modifications to the Work in plan and profile, RFI's, Daily Construction Report Number and Station number and quantity.
3. Prioritize time especially when inspecting more than one project as to make sure that most important installations are witnessed on any given day.
4. Have Contract Documents and Drawings on the project site at all times.
5. Document daily factual construction activities making sure to fill of the Daily Construction Report in its entirety. Make special notes in remarks regarding unusual problems or occurrences on that day. Contractor signature required on all Daily Construction Reports turned in.

### **Key points to consider when filling out Daily Construction Reports are as follows:**

- A. Top portion should be filled out in its entirety from the Report Number to the Weather. No exceptions.
- B. The Daily Work Progress section is used to clearly describe anything relating to pay item work both complete and partially complete for work performed on that day. When reporting portions of lump sum percentage items (usually from the schedule of values) we should only place what percentage is being paid for this period on that Daily Construction Report and keep a running tally elsewhere. Inspectors should not report previously reported percentages on that report.
- C. Labor force and equipment section thoroughly accounted for. List separately the Prime and all Sub Contractors equipment and labor force. Subcontractors shall be listed by company name. The only time this would be blank is if the contractor has not mobilized or has demobilized on the project.
- D. Laboratory activities should also reflect what activities took place or state no activity.

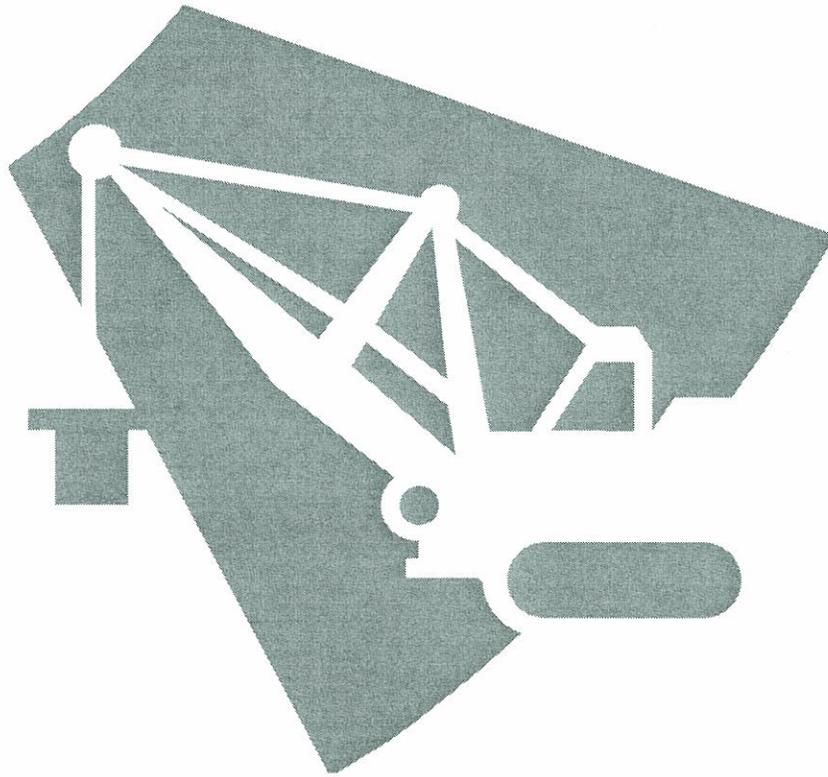
- E. Remarks shall reflect the actual occurrences of the day. Check for conciseness of remarks to make sure information is of a factual nature and not personal opinion or suggestive.
  - F. Work progress and site condition photographs shall be attached to each Daily Construction Report.
  - G. While the author of the report has the ability to change the report after it has been created and signed this practice will not be tolerated. Any corrections that need to be made should be done on the following days report unless it's the cut off date report for the estimate. If that is the circumstance then you need to get with the Senior Inspector and Assistant Project Manager to make changes.
6. Verify materials incorporated into the Work are in accordance with the approved/accepted submittal.
  7. Verify contractor has properly notified residents of construction in the area in accordance with the contract documents.
  8. Conduct yourself as the Mayors representative in dealing with the public and contractor at all times. Civility to the public is required at all times regardless of the circumstance.

## **Senior Inspector Basic Responsibilities**

1. Provide leadership, coaching, guidance and training to Inspectors. Make, as warranted, entries to Inspectors EPE plans throughout the year and document praise or correction at the time that it occurs to improve the accuracy of your assessment of your Inspectors.
2. Monitor project activities on Inspector assigned projects keeping abreast of the status and helping trouble shoot potential problems. Seniors Inspectors should at a minimum visit Inspectors projects twice weekly and more if deemed necessary.
3. Act as a buffer between the Contractor and Inspector when disagreements or interpretation issues arise concerning the project. First line of clarification before proceeding up the chain.
4. Make sure Daily Construction Reports reflect good chronological record of project activities on a daily basis through review and signature before processed through CIPMS. A hard copy of every report should be fully signed by all parties including Contractor and delivered to the Assistant Project Manager. Consistently review Daily Construction Reports to assure items listed under “Key points to consider when filling out Daily Construction Reports” in the in the Inspector Basic Responsibilities are adhered to. In addition, check for conciseness of remarks to make sure information is of a factual nature and not personal opinion or suggestive. Remarks should reflect the actual occurrences of the day.
5. Track all SR’s and investigate complaints for the area assigned and insure that all responses are provided in a timely manner.

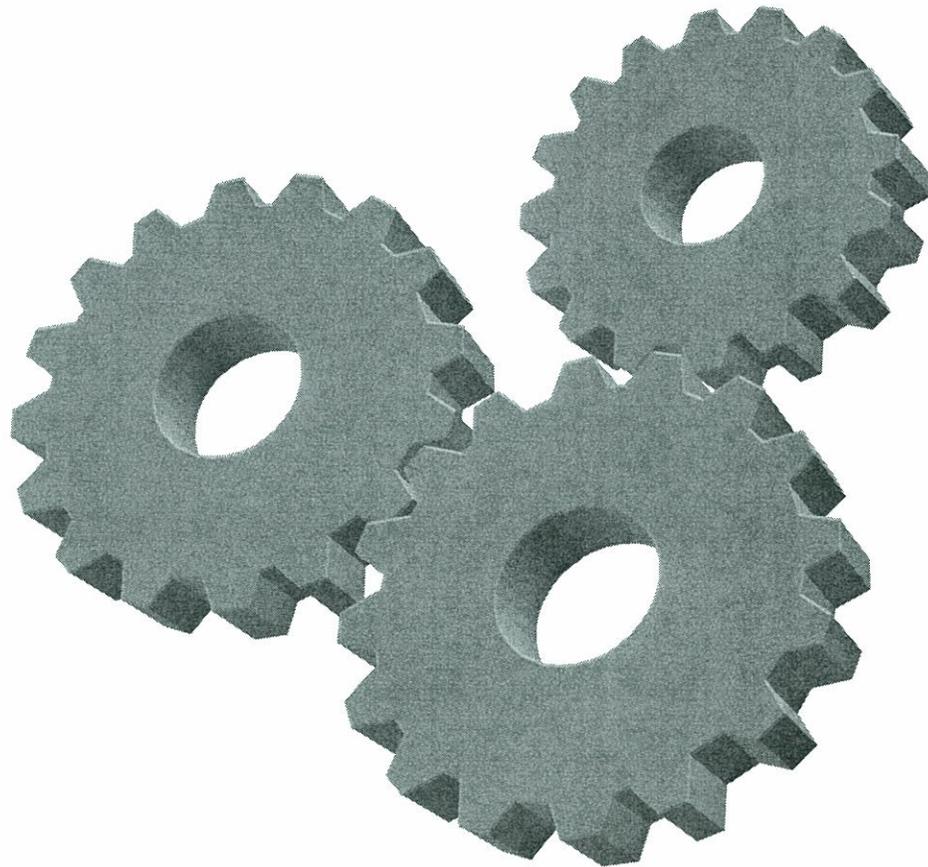


# PROCESS EXAMPLES





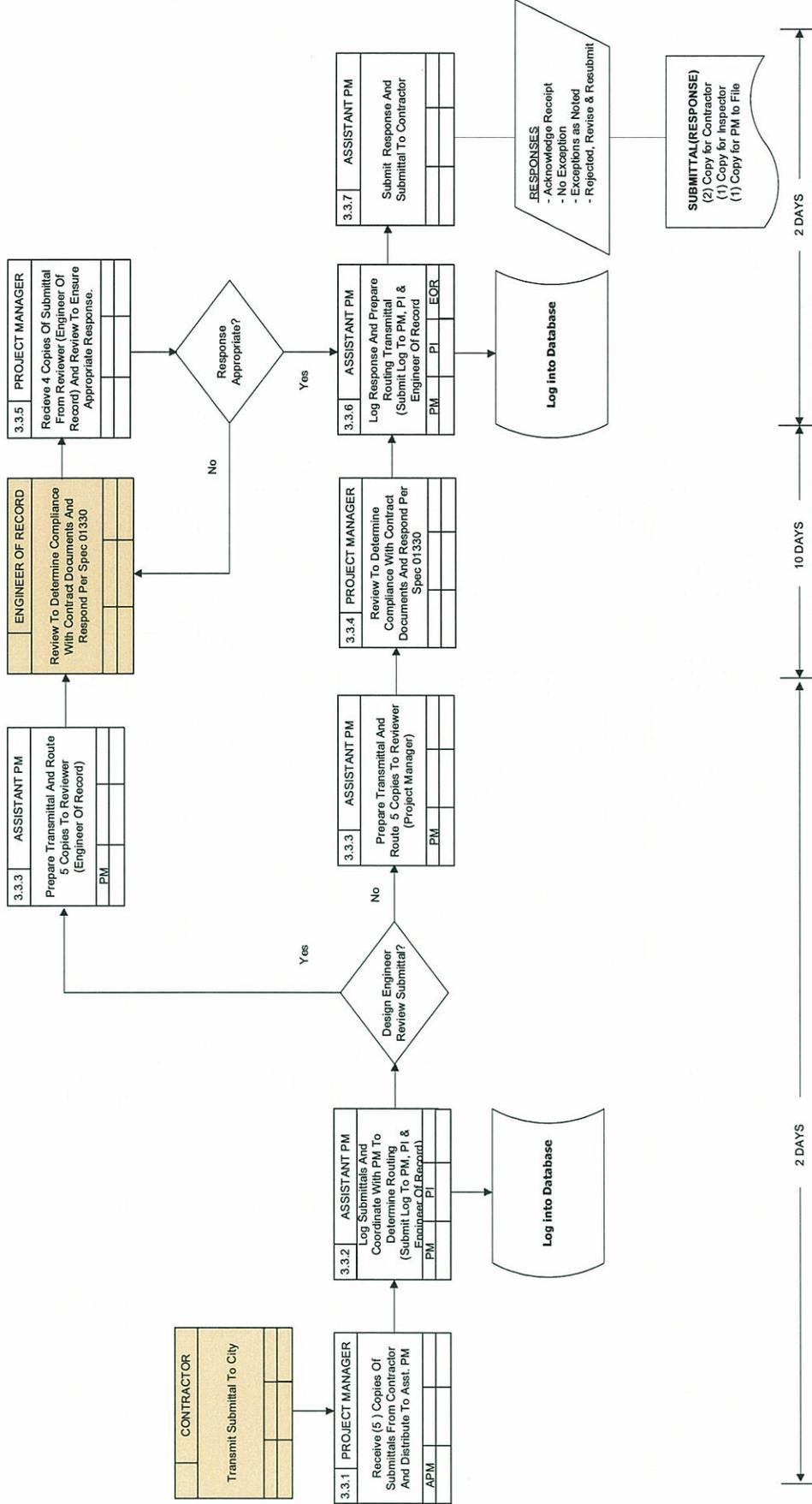
# PROCESS STANDARD



STANDARDS  
PROCESS 3.2 MAINTAIN PROJECT DOCUMENTATION

1. All project documents should be filed within 48 hours of receipt.
2. Project Manager shall accurately code and name project documents according to Standard File Code.
3. Any person requesting a file from Document Control shall fill out an "Out" Card (see Process Examples). The "Out" Card shall be provided to Document Control. Document Control shall retrieve the requested file and place the "Out" Card in its place. The "Out" Card shall remain until the file is returned.
4. No draft documents shall be placed in the project files.

# PROCESS 3.3 - REVIEW AND RESPOND TO SUBMITTALS



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

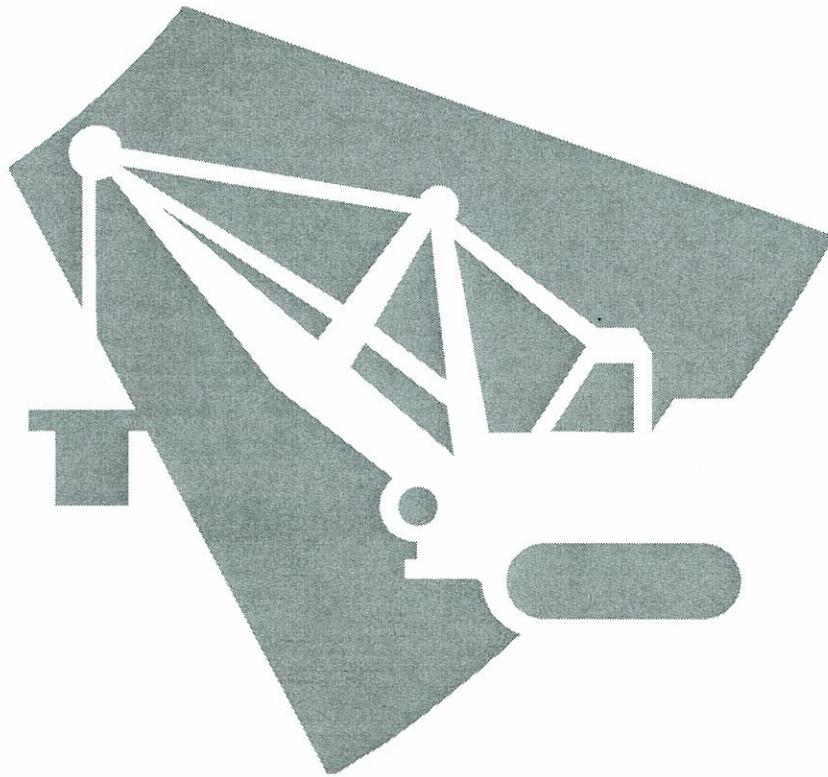
### Legend

	Code	Process Owner(s)
	SubProcess Or Task	
	AS	PM
	PI	APM
	ME	SI
	AS	PM
	PI	APM
	APM	ASSISTANT PROJECT MANAGER

(CONTRIBUTOR) Likely to Participate  
- (A) PARTICIPATE



# PROCESS EXAMPLES





**CITY OF HOUSTON**  
Department of Public Works & Engineering  
Construction Branch

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### Submittal to Contractor

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**Project No:**

**Project Name:**

**Submittal No:**

**Work Auth. No:**

**Item Description:**

**Contractor:**

**Date Returned  
To Contractor:**

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**Disposition:**

**Comment:**

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**Submittal review is only for the general conformance with the concept of the Project and general compliance with the information given in the Contract Documents. Any action shown is subject to the requirements of the Drawings and Specifications. Contractor is responsible for dimensions which shall be confirmed and correlated at the job site; fabrication processes and techniques of construction, coordination of his work with that of all other trades and the satisfactory performances of the work.**



**CITY OF HOUSTON**  
Department of Public Works and Engineering  
Construction Branch

## Submittal to Reviewer

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**Project No:**  
**Project Name:**

**Submittal No:**  
**Item Description:**  
**Contractor:**  
**Date Received**

**Work Auth. No:**

**Date to Reviewer:**

**Prepared By:**

**Reviewer Name:**

**Reviewer Firm:**

**REQUESTED RETURN DATE TO PROJECT MANAGER:**

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Circle appropriate disposition:

No Exception

Exceptions as  
Noted

Rejected - Resubmit

Acknowledge  
Receipt

**COMMENTS**

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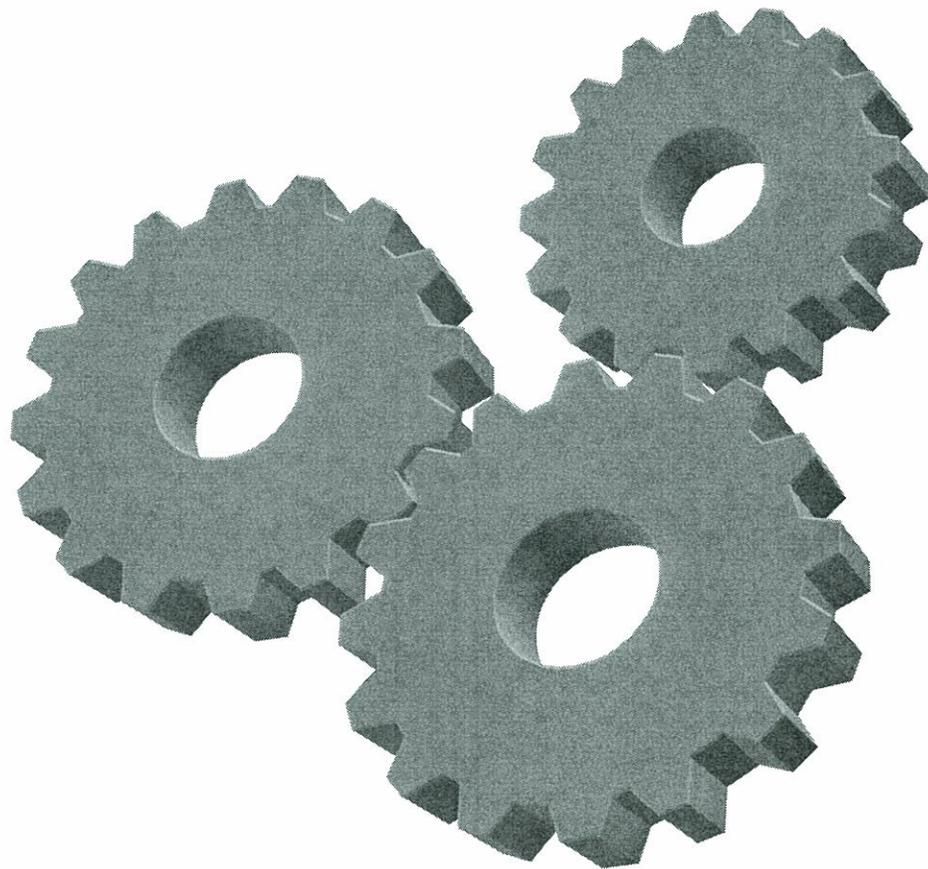
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**Reviewer's Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

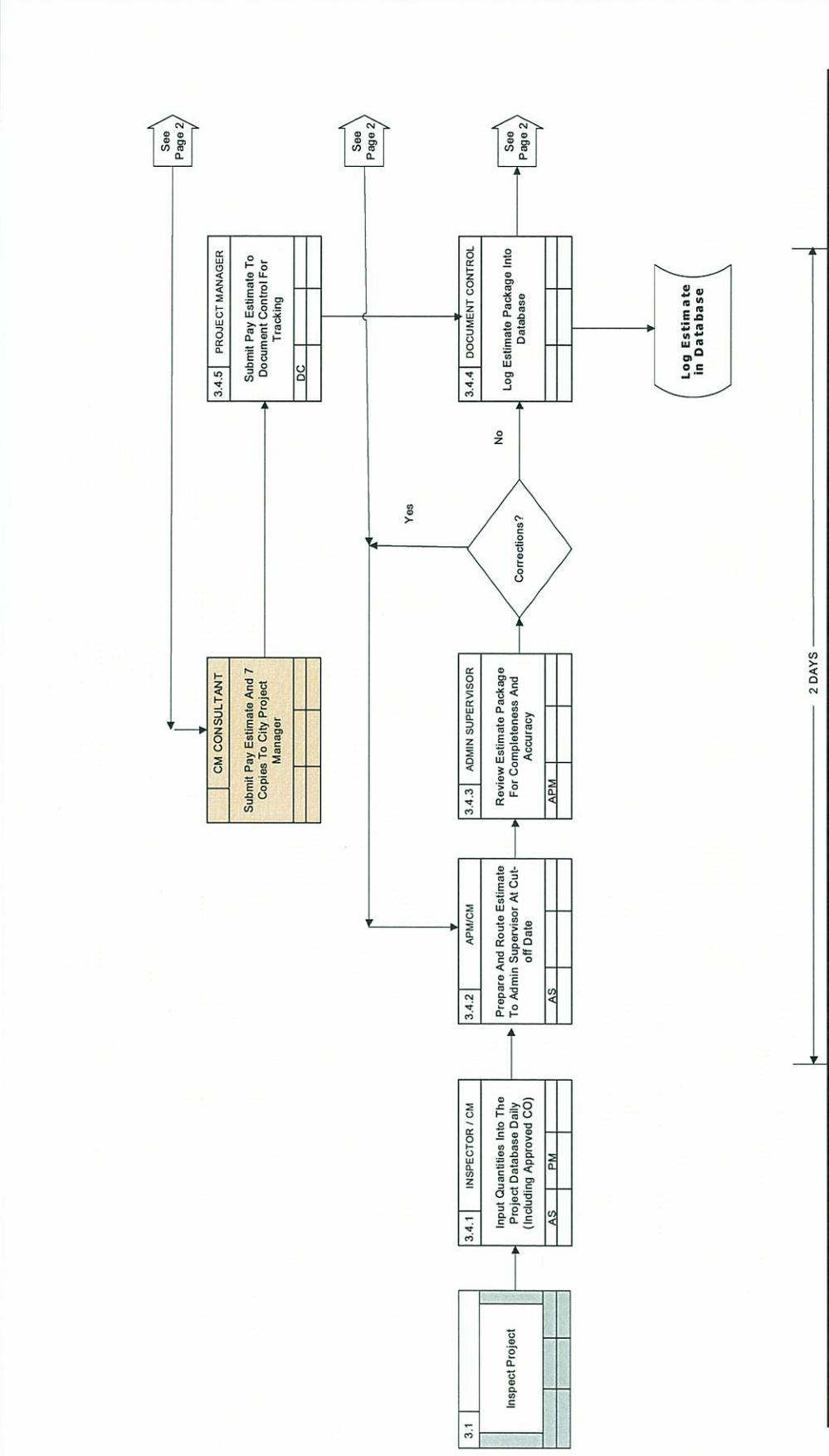
# PROCESS STANDARD



STANDARDS  
PROCESS 3.3 REVIEW AND RESPOND TO SUBMITTALS

1. The Contractor prepares the submittal, noting any materials, products, or methods requested as variance.
2. The Project Manager reviews it to determine if it requires a review by the Design Engineer.
3. Division 1 submittals usually require response by the Project Manger.
4. Division 2 – 16 submittals usually require response by the Design Engineer.
5. The submittal reviewer should be given 10 days to respond.
6. Project Manager to ensure contractor submits a submittal schedule per specifications.

# PROCESS 3.4 - PROCESS PAY ESTIMATES



2 DAYS

## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

**CONTRIBUTORS**

- SI = SENIOR INSPECTOR
- AS = ADMIN SUPERVISOR
- PM = PROJECT MANAGER
- PI = PROJECT INSPECTOR
- DC = DOCUMENT CONTROL
- APM = ASSISTANT PROJECT MANAGER

**Other Contributor**

Activity Conducted By A Individual Or Organization Outside Branch

Code	Process Owner(s)	SubProcess Or Task
7	AS, PI, PM, SI	7

(CONTRIBUTOR) Likely to Participate in a process

**ME - MANAGING ENGINEER**

**SI - SENIOR INSPECTOR**

**EOR - ENGINEER OF RECORD**

**DPM - DESIGN PROJECT MANAGER**

**KA - ADMINISTRATIVE ASSISTANT**

Update Database

Deliverable

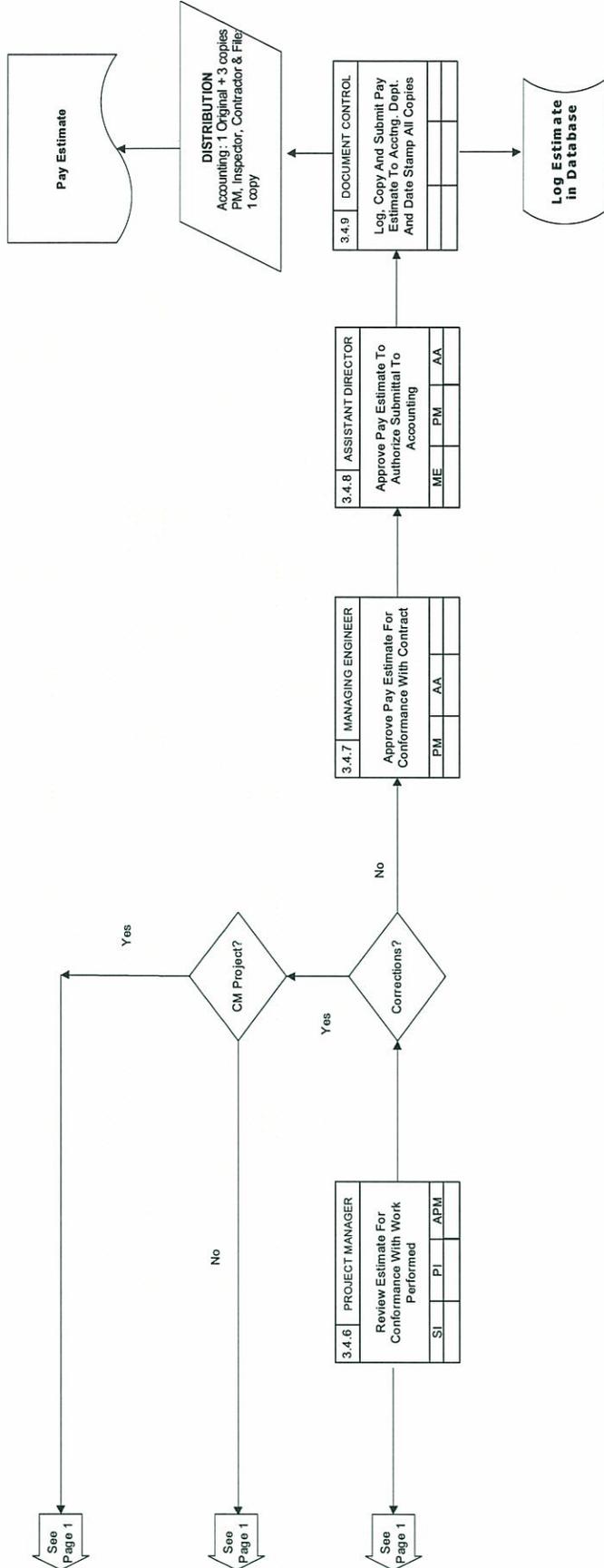
Suggested Logical dependency between activities

Drawing Page: 1 of 2

Rev. Nov. 2011



# PROCESS 3.4 - PROCESS PAY ESTIMATES



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

Code	Process Owner(s)
AD	AS
PI	PM
APM	SI
	IT

(CONTRIBUTOR(S) Likely to Participate in this Process)

Drawing Page: 2 of 2

**Predefined Process or Subprocess**

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**Activity Conducted By A Individual Or Organization Outside Branch**

--

**CONTRIBUTORS**

DIRECTOR SENIOR SUPERVISOR PROJECT MANAGER PROJECT INSPECTOR ADMINISTRATIVE ASSISTANT ASSISTANT PROJECT MANAGER	MANAGING ENGINEER SENIOR INSPECTOR ENGINEER OF RECORD DESIGN PROJECT MANAGER ADMINISTRATIVE ASSISTANT PROJECT MANAGER
--	--

**Deliverable**

--

**Update Database**

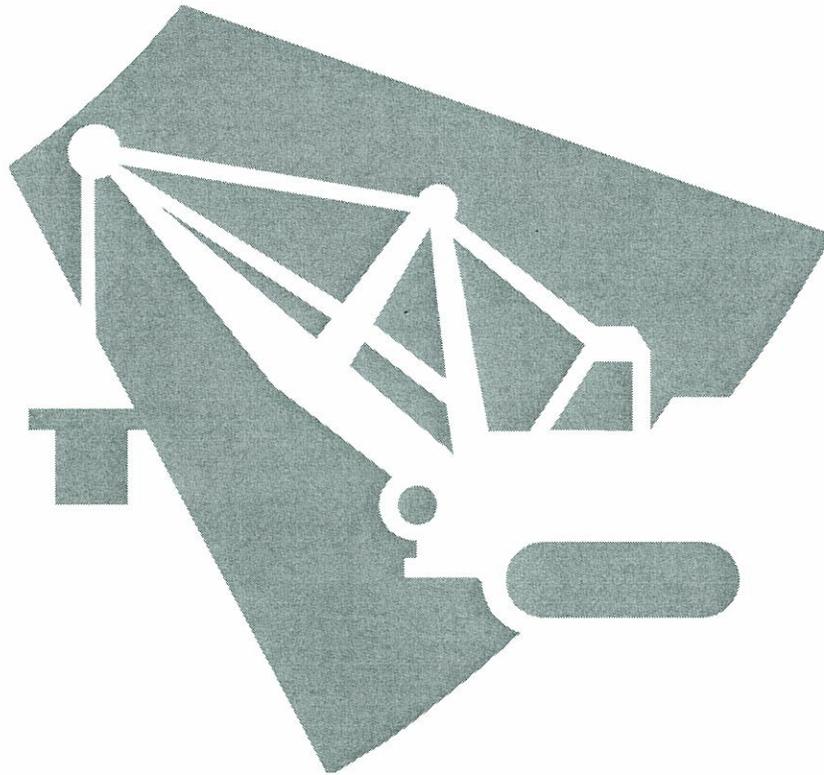
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**Suggested Logical dependency between activities**

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**Rev. Nov. 2011**

# PROCESS EXAMPLES



**DEPARTMENT OF PUBLIC WORKS & ENGINEERING**

**CONSTRUCTION BRANCH- ESTIMATE LOG**

Project/WBS: \_\_\_\_\_

Contractor: \_\_\_\_\_

Estimate No.: \_\_\_\_\_ Days Used \_\_\_\_\_ Approved Additional Days \_\_\_\_\_

Amount to Date: \_\_\_\_\_ Previous Pmt: \_\_\_\_\_ Amount Due: \_\_\_\_\_

Pay Estimates	(√)	Initials	Monthly Project Cost Forecast (Project Manager Only)
1. Estimate Log Sheet			1) Original Contract Amount _____
2. Estimate and Certificate for Payment Unit Price Work			2) Approved Change Orders _____
3. Affidavit of Work Performed			3) Forecasted Potential Change Orders _____
4. Estimate for Payment-Unit Price Contract			4) Forecasted Unit Item Under/Overrun _____
5. Material on Hands (if applicable)			5a) Projected Closeout Amount _____
6. Change Order (if applicable)			5b) Projected Closeout Percentage _____
7. Work Change Directive (if applicable)			6) Planned Substantial Completion Date _____
8. Consent of Surety - Reduction of Retainage (if applicable)			7) Forecasted/Actual Completion Date _____
9. All daily reports have been signed by Inspector & Contractor			<b>Project Issues/Concerns</b>
10. Certification of Payment (00642)			
11. M/SBE Utilization Projections			
12. Contract Audit from B2G			
13. Behind Schedule Letter			
14. Over & Under Report (at < 50% Complete)			
<b>Items Not Required (Dates Only)</b>	<b>Date</b>	<b>Initials</b>	
15. Construction Schedule			
16. Insurance			
17. Drug Policy			
<b>Assistant Project Manager:</b> _____			
<b>Project Managers:</b> _____ Printed Name			
Cut Off Date: _____ Date Last Report Received: _____			
Pay Items Complete Report Date: _____ Date Final Report Report Received: _____			



**CITY OF HOUSTON**  
**Department of Public Works & Engineering**

Estimate No. :  
 Cut Off Date :  
 Estimate Date :

**ESTIMATE AND CERTIFICATE FOR  
 PAYMENT UNIT PRICE WORK**

Project Name : \_\_\_\_\_ Contract No. : \_\_\_\_\_  
 Contractor Name : \_\_\_\_\_ File No. : \_\_\_\_\_  
 Address : \_\_\_\_\_ WBS No. : \_\_\_\_\_  
 Ord. No. : \_\_\_\_\_

**CONTRACT TIME IN CALENDAR DAYS**

Contract Date : \_\_\_\_\_ Original Contract Time : \_\_\_\_\_  
 Start Date : \_\_\_\_\_ Approved Extensions : \_\_\_\_\_  
 Current Contract Completion Date : \_\_\_\_\_ Total Contract Time : \_\_\_\_\_  
 Substantial Completion Date : \_\_\_\_\_ Days Used to Date : \_\_\_\_\_  
 Percentage By Time : \_\_\_\_\_ In Place : \_\_\_\_\_ Days Remaining to Date : \_\_\_\_\_  
 Date Insurance Exp. : \_\_\_\_\_ Drug Policy Due Date: \_\_\_\_\_ Current M/WBE : \_\_\_\_\_ Schedule Update Received : \_\_\_\_\_

**CONTRACT AMOUNT TO DATE :**

1. Original Contract Amount
2. Approved Change Orders

No	Date	Ext. Days	Amount

Total Change Orders to Date \_\_\_\_\_

3. Approved Work Change Directives

No	Date	Ext. Days	Amount

Total Work Change Directives to Date \_\_\_\_\_

**TOTAL CONTRACT AMOUNT** \_\_\_\_\_

**A. EARNINGS TO DATE**

1. Work Completed to Date	0.00% Complete		\$0.00
2. Material Stored on Site		\$0.00	
3. Material Stored in Place		\$0.00	
4. Balance-Materials Accepted Not in Place	\$0.00 @ 85%		\$0.00
5. Work Change Directives in Place	\$0.00 @ 95%		\$0.00
6. Advance Allowance			\$0.00

**TOTAL EARNINGS TO DATE** \_\_\_\_\_ **\$0.00**

**B. DEDUCTIONS**

1. Retainage	5.00 % Of	\$0.00	\$0.00
2. Retainage Release	0.00 % Of	\$0.00	\$0.00
3. Total Retainage			\$0.00
4. Liquidated Damages	0.00 Days @ \$400.00		\$0.00
5. Quality Control Retest Cost			\$0.00
6. Sunday/Holiday Overtime Cost			\$0.00

**TOTAL DEDUCTIONS** \_\_\_\_\_ **\$0.00**



**CITY OF HOUSTON**  
**Department of Public Works & Engineering**

Estimate No. :  
 Cut Off Date :  
 Estimate Date :

**ESTIMATE AND CERTIFICATE FOR  
 PAYMENT UNIT PRICE WORK**

**C. AMOUNT DUE THIS PERIOD**

1. Total Earnings to Date	\$0.00	
2. Total Deductions	\$0.00	
3. Total Payments Due		<b>\$0.00</b>
4. Less Previous Payments		<b>\$0.00</b>
5. Restoration Adjustment		<b>\$0.00</b>

**TOTAL AMOUNT DUE CONTRACTOR THIS DATE \$0.00**

Prepared By _____	Checked By _____
Date	Date
Reviewed By _____	Submitted By _____
Date	Date
Approved _____	
DIRECTOR OF PUBLIC WORKS AND ENGINEERING	Date

**CITY OF HOUSTON, TEXAS  
AFFIDAVIT OF WORK PERFORMED**

THIS IS TO CERTIFY THE REQUEST FOR PAYMENT TO CONTRACTOR

ON ESTIMATE NO.:

WBS NO.:

REPRESENTS PAYMENTS FOR WORK PERFORMED AND / OR MATERIALS IN PLACE AND FURTHER CERTIFIED THE ABOVE ESTIMATE CONTAINS NO PAYMENTS FOR MATERIALS ON HAND AND NOT IN PLACE AS CITED IN ARTICLE 9.6.1.4 OF THE CITY OF HOUSTON, CONDITIONS OF THE CONTRACT, DOCUMENT 00700, GENERAL CONDITION OTHER THAN THOSE INDICATED ON ATTACHED FORM, REQUEST FOR PAYMENT FOR MATERIALS ON HAND.

---

PROJECT MANAGER  
PRINT NAME

(SIGNATURE)

APPROVED:

---

CHIEF ENGINEER  
PRINT NAME

(SIGNATURE)



**CITY OF HOUSTON**  
**Department of Public Works & Engineering**

**ESTIMATE FOR PAYMENT**  
**UNIT PRICE CONTRACT**

Project Name :  
 Contractor :  
 Date Range :

Project No. :  
 Contract No. :  
 Estimate No. :

ItemNo	Description	Unit	Plan	Mo. Qty	Mo. Amount, \$	Qty To Date	Unit Price, \$	AmtToDate, \$	% Comp
<b>Base Unit Items</b>									
1	Mobilization	LS	1.00	0.0000	\$0.00	0.0000	\$25,000.00	\$0.00	0.00%
2	Installation and maintenance of Traffic Control Devices for each Work Order	EA	6.00	0.0000	\$0.00	0.0000	\$2,500.00	\$0.00	0.00%
3	Tree Pruning and Trimming	EA	5.00	0.0000	\$0.00	0.0000	\$350.00	\$0.00	0.00%
4	Tree and Plant Protection	EA	10.00	0.0000	\$0.00	0.0000	\$225.00	\$0.00	0.00%
5	Inlet Protection for Sediment Control	LF	20.00	0.0000	\$0.00	0.0000	\$115.00	\$0.00	0.00%
6	Junction box with lid or grate top for maximum 24-inch diameter storm sewer.	EA	10.00	0.0000	\$0.00	0.0000	\$850.00	\$0.00	0.00%
7	Up to 24-inch diameter ring grate	EA	10.00	0.0000	\$0.00	0.0000	\$115.00	\$0.00	0.00%
8	Adjust Existing Manhole Upward, Inlets and Cover to New Grade	EA	30.00	0.0000	\$0.00	0.0000	\$225.00	\$0.00	0.00%
9	Adjust Existing Manhole Downward, Inlets and Cover to New Grade	EA	2.00	0.0000	\$0.00	0.0000	\$400.00	\$0.00	0.00%
10	Hot In-Place Recycling Existing Asphalt Pavement 1" to 1.5" Thick	SY	235,000.00	0.0000	\$0.00	0.0000	\$4.15	\$0.00	0.00%
11	HMAC type "D" Surface Course (in conjunction with the H.I.P.R process)	TON	13,000.00	0.0000	\$0.00	0.0000	\$60.00	\$0.00	0.00%
12	Rejuvenation Agent	GAL	25,000.00	0.0000	\$0.00	0.0000	\$3.60	\$0.00	0.00%
13	Test to Determine the Rate of Application for Rejuvenation Agent	EA	4.00	0.0000	\$0.00	0.0000	\$2,100.00	\$0.00	0.00%
14	Milling Pavement (excessive pavement surface, e.g., excessive pavement crown and wedge milling)	SY	10,000.00	0.0000	\$0.00	0.0000	\$1.60	\$0.00	0.00%
15	Full Depth Base Repair and Spot Repair of Flexible Pavement (Base Repair, Type "A" HMAC) Including Sawcutting Pavement	TON	4,000.00	0.0000	\$0.00	0.0000	\$73.00	\$0.00	0.00%
16	Full Depth Base Repair and Spot Repair of Concrete Pavement (Base Repair, Type "A" HMAC) Including Sawcutting Pavement	TON	600.00	0.0000	\$0.00	0.0000	\$120.00	\$0.00	0.00%
17	Curb (Reinforced Concrete Curb, All Heights, All Types)	LF	500.00	0.0000	\$0.00	0.0000	\$6.00	\$0.00	0.00%
18	Remove and Replace Reinforced Concrete Curb and Gutter	LF	2,500.00	0.0000	\$0.00	0.0000	\$25.00	\$0.00	0.00%
19	New Concrete Curb and Gutter	LF	500.00	0.0000	\$0.00	0.0000	\$20.00	\$0.00	0.00%



**CITY OF HOUSTON**  
**Department of Public Works & Engineering**

**ESTIMATE FOR PAYMENT**  
**UNIT PRICE CONTRACT**

Project Name :

Project No. :

Contractor :

Contract No. :

Date Range :

Estimate No. :

ItemNo	Description	Unit	Plan	Mo. Qty	Mo. Amount \$	Qty To	Unit Price \$	AmtToDate \$	% Comp
<b>Base Unit Items</b>									
20	Concrete Curb Ramp Including Truncated Domes, Headers, Saw Cutting, Dowels, Expansion Joints & Staining	SF	2,200.00	0.0000	\$0.00	0.0000	\$17.00	\$0.00	0.00%
21	New ADA Curb Ramp (with Detectable Warning Dome-Tile Surface)	SF	600.00	0.0000	\$0.00	0.0000	\$17.00	\$0.00	0.00%
22	Modify Existing Accessible Ramp with Truncated Domes	SF	500.00	0.0000	\$0.00	0.0000	\$22.00	\$0.00	0.00%
23	Raised Pavement Marking (Type II)	EA	2,350.00	0.0000	\$0.00	0.0000	\$4.00	\$0.00	0.00%
24	Temporary Removable Work Zone ReflectORIZED Pavement Markings, Class I (Type DOT - All Colors)	EA	400.00	0.0000	\$0.00	0.0000	\$1.00	\$0.00	0.00%
25	4" Hot Applied Thermoplastic Pavement Marking, All Colors	LF	95,000.00	0.0000	\$0.00	0.0000	\$0.40	\$0.00	0.00%
26	8" Hot Applied Thermoplastic Pavement Marking, All Colors	LF	2,200.00	0.0000	\$0.00	0.0000	\$1.00	\$0.00	0.00%
27	12" Hot Applied Thermoplastic Pavement Marking, All Colors	LF	2,100.00	0.0000	\$0.00	0.0000	\$3.00	\$0.00	0.00%
28	24" Hot Applied Thermoplastic Pavement Marking, All Colors	LF	3,400.00	0.0000	\$0.00	0.0000	\$5.00	\$0.00	0.00%
29	Hot Applied Thermoplastic Pavement Marking (Per Set -Bike Lane Symbol "Bike" with Diamond Symbol and Required Arrow Showing Direction - White)	SET	10.00	0.0000	\$0.00	0.0000	\$300.00	\$0.00	0.00%
30	Hot Applied Thermoplastic Pavement Marking (Symbol "RR" Crossing - White)	EA	2.00	0.0000	\$0.00	0.0000	\$400.00	\$0.00	0.00%
31	Hot Applied Thermoplastic Pavement Marking (Symbol "Arrow" - White)	EA	40.00	0.0000	\$0.00	0.0000	\$120.00	\$0.00	0.00%
32	Hot Applied Thermoplastic Pavement Marking (Words "Left Turn Only" - White)	EA	40.00	0.0000	\$0.00	0.0000	\$300.00	\$0.00	0.00%
33	Hot Applied Thermoplastic Pavement Marking (Words "Only" - White)	EA	10.00	0.0000	\$0.00	0.0000	\$120.00	\$0.00	0.00%
34	Remove Existing Type 'C', 'C1' Inlets, All Depths, Dispose Offsite	EA	3.00	0.0000	\$0.00	0.0000	\$1,100.00	\$0.00	0.00%
35	Proposed 'B' Inlet, Complete in Place, All Depths	EA	4.00	0.0000	\$0.00	0.0000	\$2,000.00	\$0.00	0.00%
36	Proposed 'BB' Inlet, Complete in Place, All Depths	EA	4.00	0.0000	\$0.00	0.0000	\$2,000.00	\$0.00	0.00%
37	Proposed 'C' Inlet, Complete in Place, All Depths	EA	4.00	0.0000	\$0.00	0.0000	\$2,200.00	\$0.00	0.00%



**CITY OF HOUSTON**  
**Department of Public Works & Engineering**

**ESTIMATE FOR PAYMENT**  
**UNIT PRICE CONTRACT**

Project Name :

Project No. :

Contractor :

Contract No. :

Date Range :

Estimate No. :

ItemNo	Description	Unit	Plan	Mo. Qty	Mo. Amount \$	Qty To	Unit Price \$	AmtToDate \$	% Comp
<b>Base Unit Items</b>									
38	Proposed 'C1' Inlet, Complete in Place, All Depths	EA	4.00	0.0000	\$0.00	0.0000	\$2,800.00	\$0.00	0.00%
39	Repair Inlet	EA	8.00	0.0000	\$0.00	0.0000	\$1,700.00	\$0.00	0.00%
40	Transport Milling to City Location within 20-Mile Radius	CY	500.00	0.0000	\$0.00	0.0000	\$15.00	\$0.00	0.00%
41	Loop Detector	LF	500.00	0.0000	\$0.00	0.0000	\$17.00	\$0.00	0.00%
				<b>SubTotal</b>	<b>\$0.00</b>			<b>\$0.00</b>	
				<b>GrandTotal</b>	<b>\$0.00</b>			<b>\$0.00</b>	



**Estimate Materials On Hand Summary**

Project Name :  
 Contractor :

Project No. :  
 Contract No. :  
 Estimate No. :  
 CutOffDate :

<u>Invoice NO</u>	<u>Date</u>	<u>Received</u>	<u>Vendor</u>	<u>Description</u>	<u>Stored Materials Amount</u>	<u>Balance Previous Estimate</u>	<u>Placed This Estimate</u>	<u>Balance This Estimate</u>
<u>Total</u>								

**Summary**

1. Total Stored Materials On Hand
2. Total Placed Materials On Hand
3. Balance Materials On Hand
4. 85% Balance Materials On Hand

Document 00642

**MONTHLY SUBCONTRACTOR PAYMENT REPORTING FORM**

Legal Project Name: \_\_\_\_\_

Outline Agreement No.: \_\_\_\_\_ WBS No.: \_\_\_\_\_

Contractor's Company Name: \_\_\_\_\_

Address: \_\_\_\_\_

**CERTIFICATION**

\_\_\_\_\_, Contractor's Representative for the above referenced Contract, hereby certifies that (1) Contractor has paid all subcontractors, except those noted below, (2) Contractor made such payments (a) in proportion to the amount City paid Contractor and (b) in accordance and compliance with all applicable Contract Documents and laws; and (3) Contractor withheld no sums from any subcontractor for allegations of deficiency in Work. The term "subcontractor", as used herein, includes all persons or firms furnishing work, materials, services or equipment Contractor ordered incorporated into Work or placed near the Project for which the City made partial payment.

EXCEPTION: Contractor sent Payment Notifications to the following subcontractors explaining why Contractor withheld payment. Copies are attached.

Subcontractor Name: \_\_\_\_\_

Subcontractor Name: \_\_\_\_\_

Street Address: \_\_\_\_\_

Street Address: \_\_\_\_\_

City, State, and Zip Code: \_\_\_\_\_

City, State, and Zip Code: \_\_\_\_\_

Amount of Payment Withheld: \_\_\_\_\_

Amount of Payment Withheld: \_\_\_\_\_

Date Payment First Withheld: \_\_\_\_\_

Date Payment First Withheld: \_\_\_\_\_

Description of Good Faith Reason: \_\_\_\_\_

Description of Good Faith Reason: \_\_\_\_\_

\_\_\_\_\_  
(Signature of Contractor's Representative)

\_\_\_\_\_  
(Print or Type Name of Contractor's Representative)

**SWORN TO AND SUBSCRIBED** before me on:

\_\_\_\_\_  
Date

\_\_\_\_\_  
Notary Public in and for the State of Texas

My Commission Expires: \_\_\_\_\_  
Expiration Date

\_\_\_\_\_  
Print or Type Name of Notary Public







**CITY OF HOUSTON**  
Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2408  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

(Contact Person Name)  
(Construction Company)  
(Contractor Address)  
(City, State & Zip Code)

**RE: Project Name**  
**WBS No. (Number); Outline Agreement No. (Number)**  
**BEHIND LETTER**

Dear (Contact Person Name):

I am writing to express our concern regarding the lack of progress on the referenced project. Progress on the above referenced project has been unsatisfactory to the City of Houston. As of (Last Estimate Cut-off Date), the work was XX.XX% complete with XX.XX% of the Contract Time used. At this rate, it does not appear you will be able to achieve substantial completion within the Contract Time.

Please be advised, in accordance with Document 00800, Paragraph 9.12.1.1, liquidated damages will be imposed at \$X,XXX.00 per calendar day for each and every calendar day of delay beyond the Contract completion date. Please submit your revised construction schedule immediately to reflect your attempts to complete the project on time.

Should you have any questions regarding this matter, please contact me at (832) 395-XXXX.

Sincerely,

(Construction Project Manager Name)  
(Construction Project Manager Title)  
Construction Branch  
Engineering and Construction Division

XX:xx

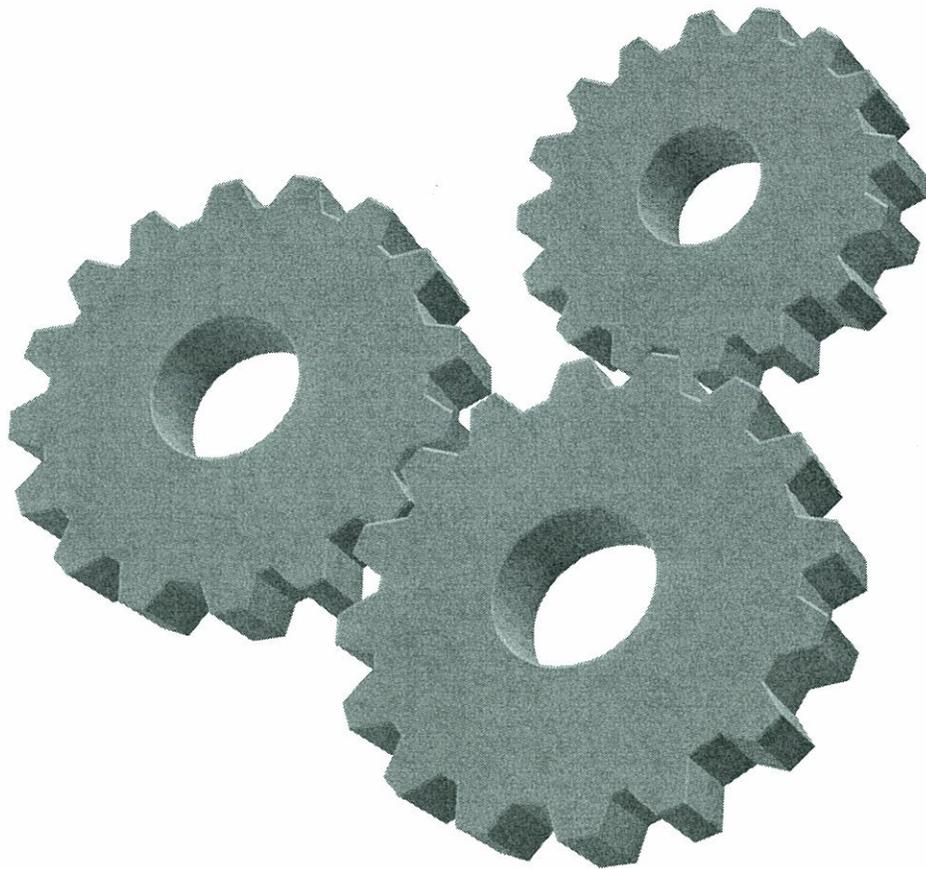
H:\E&C Construction\Const Process Manual 2011\FORMS\Chapter 3 - Progress Construction\Process 3.4 - Process Pay Estimates\Behind letter.doc

ec: Managing Engineer  
File No. X-XXXXXX-XXXX-4 (2.1)





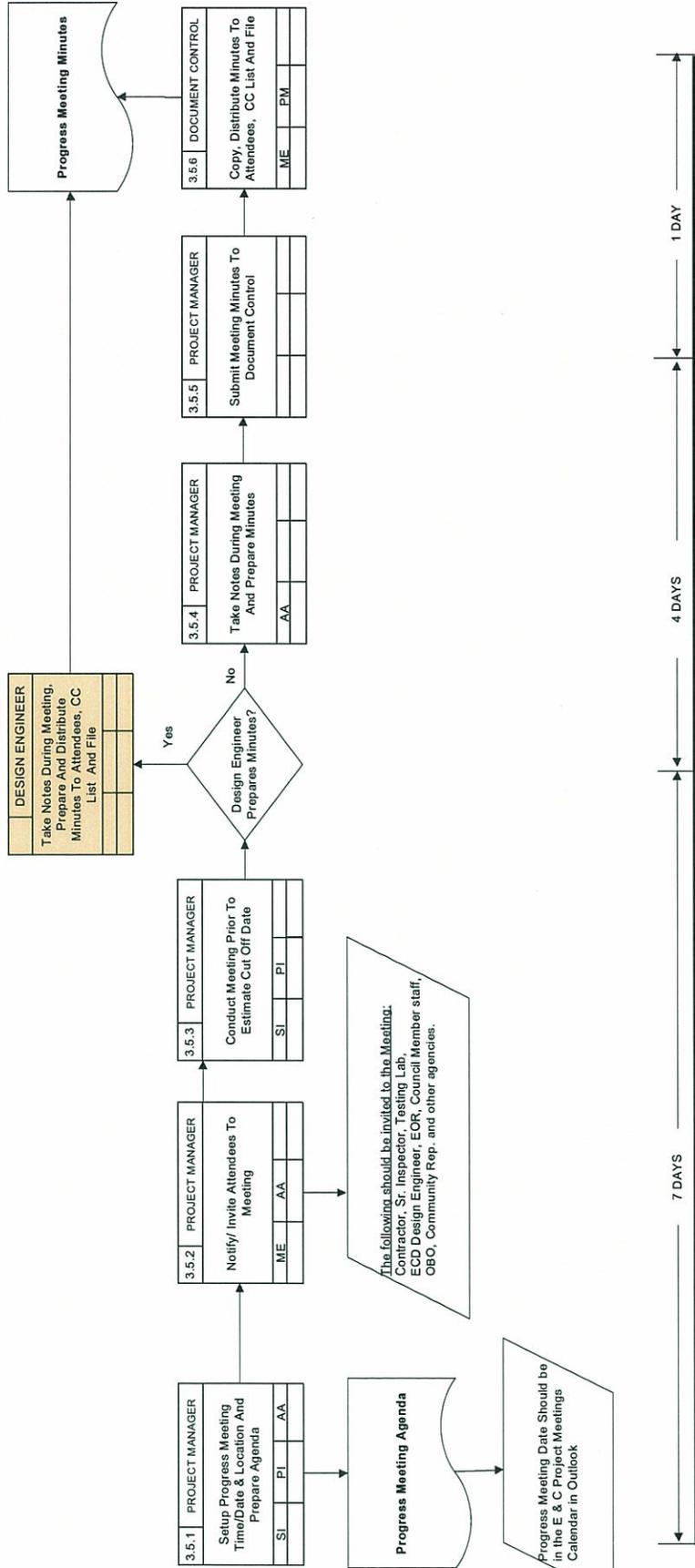
# PROCESS STANDARD



STANDARDS  
PROCESS 3.4 PROCESS PAY ESTIMATES

1. All pay estimates shall be submitted to accounting within 10 days of the cut-off date.
2. Consultant Construction Manager is to perform Processes 3.4.1, 3.4.2, and 3.4.3 prior to submitting pay estimates.
3. The estimate package shall include:
  - a. Estimate Log
  - b. Estimate
  - c. Affidavit of Work Performed
  - d. Estimate Details
  - e. Materials on Hand (if necessary)
  - f. Signed Invoices for Materials on Hand (if necessary)
  - g. Certificate of Payment to Subcontractors
  - h. SMWDBE Utilization Schedule spreadsheet from AACC Division & Audit Compliance Summary from B2Gnow
  - i. Updated construction schedule
  - j. POP forms
  - k. Over and Under spreadsheet
4. If package is not complete, make note of items missing on the Estimate Log and forward accordingly.
5. Distribute copies of the pay estimate, accordingly.

# PROCESS 3.5 - CONDUCT PROGRESS MEETING



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

**Predefined Process or Subprocess**

Code	Process Owner(s)
A	AD
ME	PM
SI	SI
AA	AA
DC	DC
APM	APM

(CONTRIBUTOR) Likely to Participate in a Process

**SubProcess Or Task**

Code	Process Owner(s)
A	AD
ME	PM
SI	SI
AA	AA
DC	DC
APM	APM

**Other Contributor**  
Activity Conducted By A Individual Or Organization Outside The Construction Branch

Code	Process Owner(s)
A	AD
ME	PM
SI	SI
AA	AA
DC	DC
APM	APM

**CONTRIBUTORS**

AD = ASSISTANT DIRECTOR  
 AS = ASSISTANT SUPERVISOR  
 PM = PROJECT MANAGER  
 PI = PROJECT INSPECTOR  
 DC = DOCUMENT CONTROL  
 APM = ASSISTANT PROJECT MANAGER

ME = MANAGING ENGINEER  
 SI = SENIOR INSPECTOR  
 EOR = ENGINEER OF RECORD  
 DPM = DESIGN PROJECT MANAGER  
 AA = ADMINISTRATIVE ASSISTANT

**Deliverable**

**Update Database**

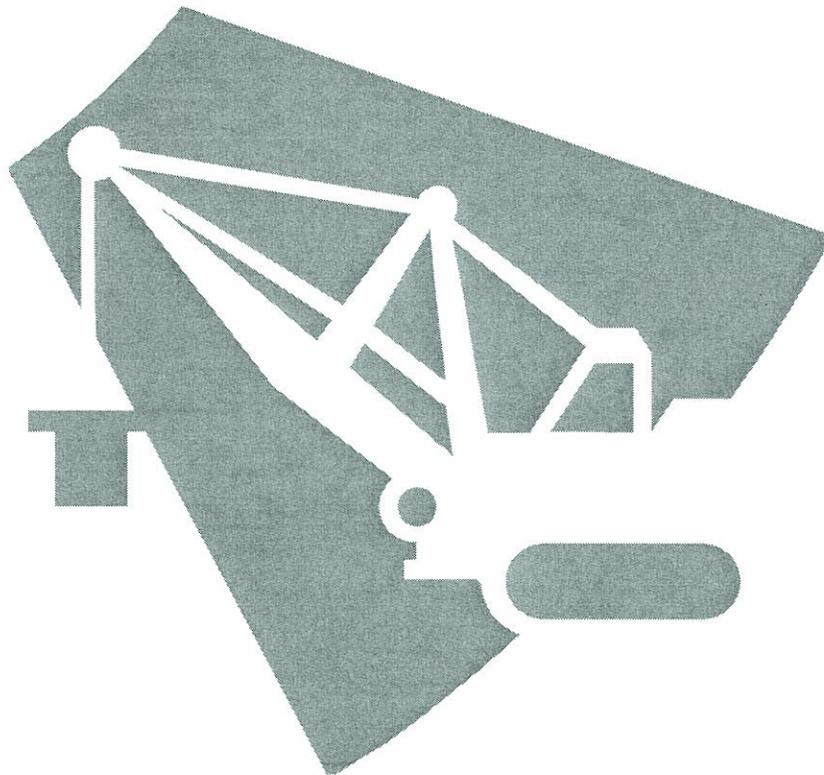
**Suggested Logical dependency between activities**

Drawing Page: 1 of 1

Rev. Nov. 2011



# PROCESS EXAMPLES





# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2480  
www.houstontx.gov

(Date)

(Contact Person Name)

(Contractor Name)

(Contractor Address)

(City, State & Zip Code)

**Re: (Project Name)**

**WBS No. (Number)**

**Outline Agreement No. (Number); Key Map No. (Numbers: XXX-X)**

**MONTHLY PROGRESS MEETING NOTICE**

Dear (Contractor's Name):

The monthly progress meeting for the above referenced project will be held at (Time) AM/PM., on (Day), (Date). The meeting location will be at (Address), Key Map Grid No. (Number).

If you have any questions regarding this matter, please contact me at (Telephone Number) or (Project Manager's Name), (Project Manager's Title), at (Telephone Number).

Sincerely,

(Construction Project Manager's Name)

(Title)

Construction Branch

Engineering and Construction Division

XXX:XXX:xxx

H:\E&C Construction\Const Process Manual 2011\FORMS\Chapter 3 - Progress Construction\Process 3.5 - Conduct Progress Meeting\Monthly Progress Meeting Notice.docx

ec: Council Member  
Construction Sr. Assistant Director  
Construction Managing Engineer  
Design Project Manager  
Senior Inspector  
Inspector  
Project File (WBS No./Code)

Engineer of Record  
Testing Lab Representative  
PWE-Small Business Representative  
OBO Representative  
Design Utility Coordinator

# PROGRESS MEETING #XX AGENDA

Project Name

DATE @ TIME

Construction Field Office: Address

Project Manager: NAME;

Project Inspector: NAME

EOR: NAME

**Project: Project Name**

WBS No.: X-XXXXXX-XXXX-4

Owner: City of Houston

Contract No.: XXXXXXXXXX

Ordinance No.: XXXX-XXXX

General Contractor:

File No.: X-XXXXXX-XXXX-4 (13.0)

Council District:

Key Map:

**Project Payment Data as of XX/XX/XXXX**

Award Date: XX/XX/XXXX

Notice to Proceed: XX/XX/XXXX

Original Completion Date: XX/XX/XXXX

Adjusted Completion Date: XX/XX/XXXX

Original Contract Amount: \$X,XXX,XXX.XX

Change Orders to Date: \$XX,XXX.XX

Adjusted Contract Amount: \$X,XXX,XXX.XX

Change Orders this Period: \$X,XXX.XX

Total Earned to Date: \$X,XXX,XXX.XX

Percent in-place Complete: XX.XX%

**Time Use Data as of Date**

Orig. Contract Time: XXX Calendar Days

Approved Extension: XXX Calendar Days

Total Contract Time: XXX Calendar Days

Days Used to Date: XXX Calendar Days\*

Days Remaining: **XXX Calendar Days\***

Percent Complete by Time: XX.XX%

Insurance Expiration Date: XX/XX/XXXX

Drug Compliance Due Date: XX/XX/XXXX

M/WBE Participation (Goal): XX.XX%

M/WBE Payments to Date: XX.XX%

## Item 1: Review Project's Progress

- a. Previous work for last month/Updated Construction Schedule
- b. Planned work for next month/Updated Construction Schedule
- c. Review of off-site fabrication and delivery schedules (if necessary)
- d. Pay Estimate (Cut Off Date XX/XX/XXXX)

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

## Item 2: Report by Inspector on Field Observations, Problems, and Decisions

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

## Item 3: Report by Contractor on Problems which may impede Planned Progress

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

## Item 4: Laboratory Tests

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 5: Review of Submittal Schedule and Status of Submittals

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 6: Review of Potential or Actual Claims

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 7: Review of RFI, RFP, Contractor's Proposal, and Change Order Status

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 8: Review of Job Safety

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 9: Review Citizen Complaints

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 10: Drug Policy and Insurance Status

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 11: M/WBE Compliance

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 12: Outstanding Advisory and Non-Compliance Certificates

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 13: Traffic Control

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 14: Storm Water Pollution Prevention Plan (SWPPP)

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 15: General Clean-Up

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

### Item 16: Other Items Related to the Work

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

**Item 17: Review Project Record Contract Drawings (to be discussed by Construction PM, Design PM, Design EOR, Sr. Inspector, Project Inspector, and Contractor)**

Discussion:

Conclusions:

Action items:

Person responsible:

Deadline:

**Item 18: Next Meeting**

**Next Meeting Date: Date @ Time**

Conclusions:

Action items:

Person responsible:

Deadline:

# Contract Audit: Audit Summary for Total Contract

[Contract Main](#) | [View Contract](#) | [Subcontractors](#) | [Change Orders & Task Orders](#) | [Comments](#) | [Messages](#) | [Contract Close](#)

[Compliance Audit List](#) | [Compliance Audit Summary](#) | [Compliance Audit FY](#) | [Reviews](#) | [Site Visits](#) | [Reports](#)

**Contract Number:** Contract Title  
**Prime:** Trial Vendor  
**1/1/2000 - 1/1/2001;** Closed **1/1/2001**

**Status:** Closed  
**Current Award:** \$0  
**Total Paid:** \$0  
**Goal:** 20.00%  
**% Credit:** 0.00%  
**For Credit:** \$0

Audit Summary - Total Contract					
	Current Award	Award Percent	Payments	Payments Percent	Difference (Payments - Award)
Prime Contract	\$0.00		\$0.00		
For Credit	\$0.00	20.000%	\$0.00	0.000%	
For Credit to DBE Goal	\$0.00	5.000%	\$0.00	0.000%	
For Credit to MBE Goal	\$0.00	5.000%	\$0.00	0.000%	
For Credit to SBE Goal	\$0.00	5.000%	\$0.00	0.000%	
For Credit to WBE Goal	\$0.00	5.000%	\$0.00	0.000%	
Contract Progress	0.0%				
For Credit Progress	0.0%				

Award values may not match due to differences between overall contract goal and subcontractor assignments.

Prime Contractor - Total Contract						
Prime Contractor	Cert	Inc. in Goal	Contracted Percent	Actual Percent	Prime's Share of Payments	Actual Payments TO Prime
<a href="#">Trial Vendor</a> [Info] <a href="#">Contact Person</a> P 555-555-1234	No	No	100.000%	0.000%	\$0.00	\$0.00

Click prime name to view payment history for this contract. Click contact person's name to send them a message.

Subcontractors - Total Contract						
Subcontractor	Cert	Type	Inc. in Goal	Contracted Percent	Actual Percent	Actual Amount
 <a href="#">Subcontractor 1</a> [Info] <a href="#">Contact Person</a>	No	Sub	No	0.000%	0.000%	\$0.00

Click subcontractor name to view payment history for this contract. Click contact person's name to send them a message.



**PROGRESS MEETING**

Sign-in Sheet

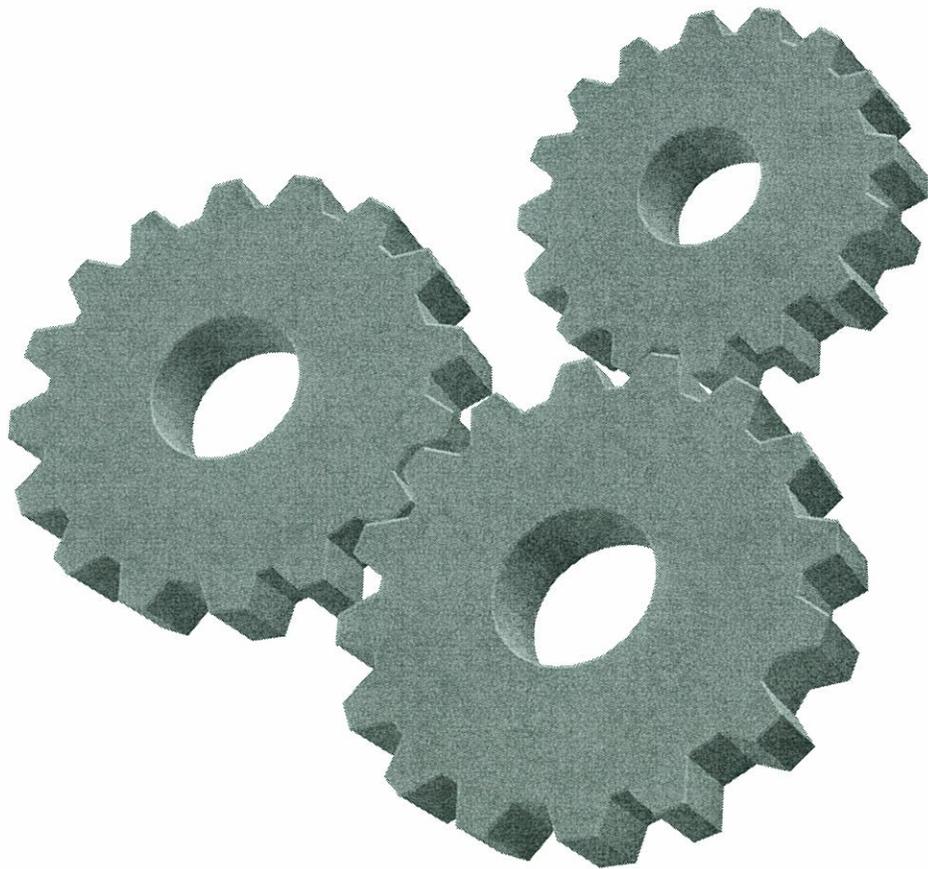
Project Name

WBS No. X-XXXXXX-XXXX-X

DATE

Name (Print)	Affiliation	Phone Number	Fax Number	E-Mail Address	Mobile	Signature

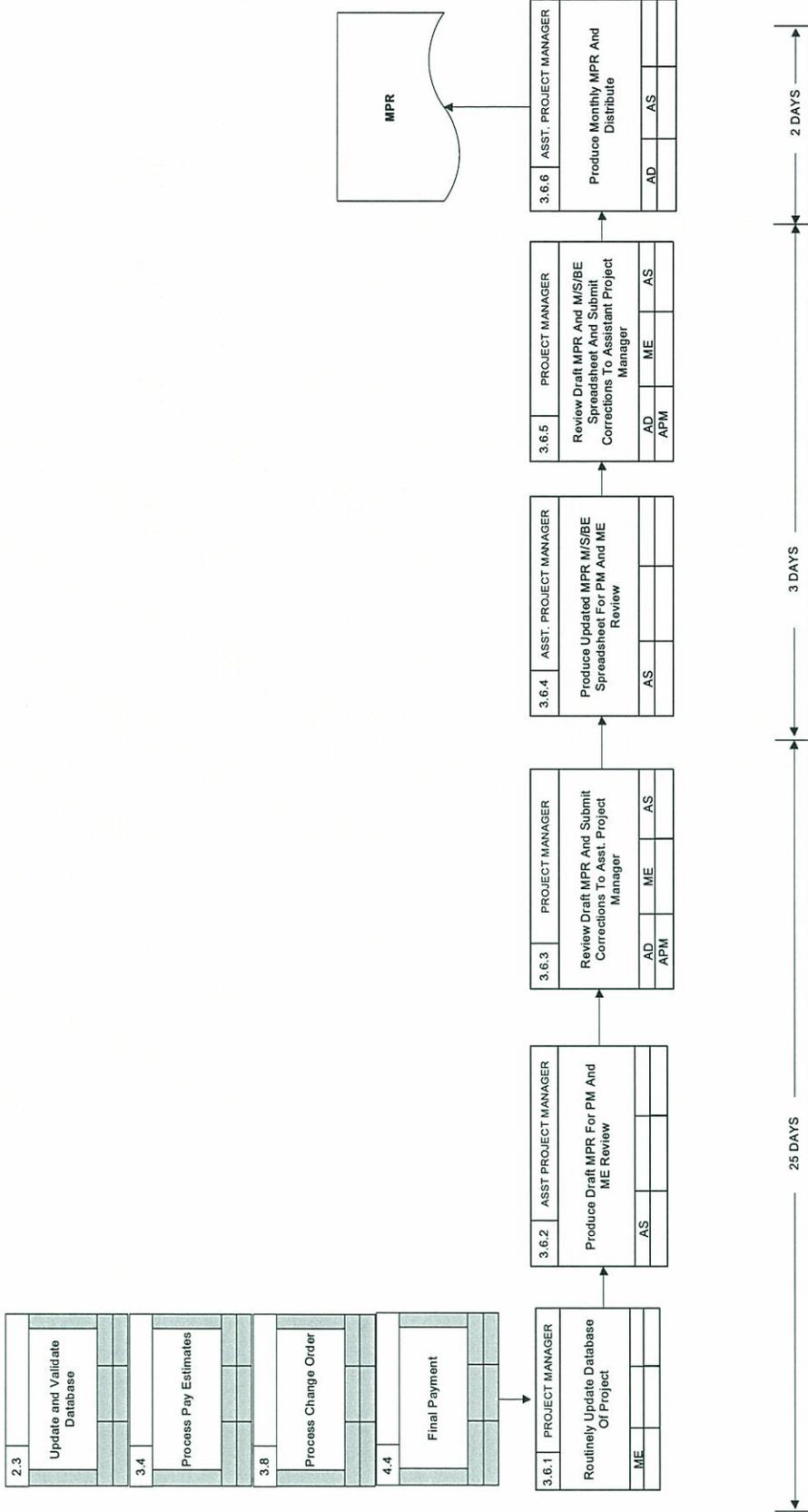
# PROCESS STANDARD



STANDARDS  
PROCESS 3.5 CONDUCT PROGRESS MEETING

1. Set up meeting via e-mail (7 days prior to meeting date) or letter (14 days prior to meeting date).
2. Ensure the progress meeting is on the ECD calendar in Microsoft Outlook. The path to this location is “Public Folder/Departments/PWE/ECD/E&C Project Meetings”.
3. The Design Engineer should take, produce, and distribute the meeting minutes if required by their contract. If this provision is not in their design contract, the Construction Project Manager should take, produce, and distribute the meeting minutes.
4. If project is managed by a Construction Management Consultant, the COH Construction Project Manager and Senior Inspector should make every effort to attend progress meetings.
5. The Construction Materials Testing Laboratory is required by their contract to have a licensed professional engineer representative attend the progress meetings.
6. Distribute draft meeting minutes to attendees within 5 business days of the meeting providing 3 business days for comments.
7. A copy of the meeting minutes with supporting documentation should be e-mailed to the Office of Business Opportunity representative and copied to Construction Branch’s Senior Assistant Director and Managing Engineer.

# PROCESS 3.6 - MONTHLY PERFORMANCE REVIEW (MPR)



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

Drawing Page: 1 of 1

Rev. Nov. 2011

**Update Database**

**Deliverable**

**CONTRIBUTORS**  
 AD = ASSISTANT DIRECTOR  
 AS = ADMIN SUPERVISOR  
 PM = PROJECT MANAGER  
 PI = PROJECT INSPECTOR  
 APM = ASSISTANT PROJECT MANAGER

**ME - MANAGING ENGINEER**  
**SI - SENIOR INSPECTOR**  
**EOR - ENGINEER OF RECORD**  
**DPM - DESIGN PROJECT MANAGER**  
**ADM - ADMINISTRATIVE ASSISTANT**

**Other Contributor**  
 Activity Conducted By A  
 Contributor From  
 Other Organization  
 Outside the  
 City of Houston  
 Branch

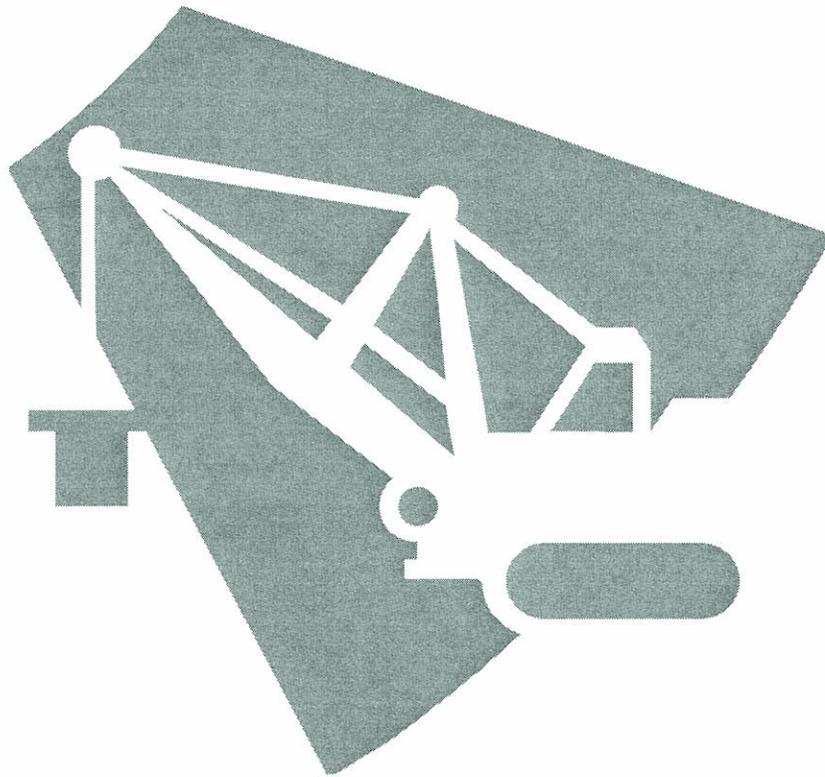
**SubProcess Or Task**

(CONTRIBUTOR) (1) (2) (3) (4) (5) (6) (7) (8) (9) (10) (11) (12) (13) (14) (15) (16) (17) (18) (19) (20) (21) (22) (23) (24) (25) (26) (27) (28) (29) (30) (31) (32) (33) (34) (35) (36) (37) (38) (39) (40) (41) (42) (43) (44) (45) (46) (47) (48) (49) (50) (51) (52) (53) (54) (55) (56) (57) (58) (59) (60) (61) (62) (63) (64) (65) (66) (67) (68) (69) (70) (71) (72) (73) (74) (75) (76) (77) (78) (79) (80) (81) (82) (83) (84) (85) (86) (87) (88) (89) (90) (91) (92) (93) (94) (95) (96) (97) (98) (99) (100)

**Predefined Process or Subprocess**

**Suggested Logical dependency between activities**

# PROCESS EXAMPLES



**E&C Monthly Performance Review – Month/Year**

<b>Project Manager</b>	<b>Initials</b>

**Update Critical Dates**

<b>Initials</b>

**NOTE:** Please review packet, write comments and initial page. It is the last reviewer's responsibility to return the entire packet to ADMIN ASST. - Thank you.

**\*PLEASE COMPLETE BY NOON, DAY, XX/XX/XX**

E & C Monthly Performance Review

# **E & C Construction Branch**

## **Monthly Performance Review**

## E & C Monthly Performance Review

<b>CONSTRUCTION WORKLOAD SUMMARY</b>				
	<b>COH Managed</b>	<b>CM Managed</b>	<b>Total</b>	<b>Original Contract Value</b>
<b>Open Contracts</b>	0	0	0	\$0.00
<b>Active</b>	0	0	0	\$0.00
<b>Sub-Complete</b>	0	0	0	\$0.00
<b>Behind Schedule</b>	0	0	0	
<b>Over Budget</b>	0	0	0	

## E & C Monthly Performance Review Construction—RCA Exception

RCA WBS #	Description	Vendor	Sector	Planned Agenda/Accept Date	Current Agenda/Accept Date	RCA Type	Comment/Status

# E & C Monthly Performance Review

## Construction—Exception Projects

### BEHIND SCHEDULE

WBS. No	Project Name	Contractor	PM/CM	% Complete by Cost	Current Contract Days	Contract Completion Date	Forecasted Completion Date	Issue

**Note:** Shaded rows indicate projects which were added this month. Underlined and Bolded text indicate project is at least 30% behind schedule



# E & C Monthly Performance Review Construction — Starts

## NTP Commenced Date

WBS. No	Project Name	Contractor	PM/CM	% Total Contract Value	Issue
---------	--------------	------------	-------	------------------------	-------

E & C Monthly Performance Review  
**Construction — Finishes**

**SUBST COMPLETE – Inspected/Certified - None**

WBS NO.	PROJECT NAME	ACTUAL SUBSTANTIAL COMPLETION DATE	ANTICIPATED SUBSTANTIAL COMPLETION
---------	--------------	------------------------------------	------------------------------------

# E & C Monthly Performance Review

## Construction Defaults & Suspensions

### DEFAULTS

WBS NO.	PROJECT TITLE	COUNCIL DISTRICT	ORIGINAL CONTRACTOR	SURETY	NEW CONTRACTOR	ORIGINAL CONTRACT AMOUNT	SUB-COMPL DATE	TAKE-OVER AGREEMENT	DEFAULT EXPLANATION

# E & C Monthly Performance Review

## TIME EXPIRED

WBS No.	PROJECT NAME	CONTRACTOR	FORECASTED INSPECTION DATE	CONTRACT END DATE
---------	--------------	------------	----------------------------	-------------------

# E & C Monthly Performance Review

## SUSPENSIONS - None

GFS NUMBER	PROJECT TITLE	COUNCIL DISTRICT	ORIGINAL CONTRACTOR	SURETY	ORIGINAL CONTRACT AMOUNT	SUSPENSION DATE	FORECASTED RESUMPTION DATE	SUSPENSION EXPLANATION
------------	---------------	------------------	---------------------	--------	--------------------------	-----------------	----------------------------	------------------------

## CDBG EXPENDITURES - None

WBS Number	Project Title	Council District	Original Contractor	Contract Amount	CDBG Allocation	Payment To Date	CDBG Balance
------------	---------------	------------------	---------------------	-----------------	-----------------	-----------------	--------------

E & C Monthly Performance Review  
**Design Error & Omission Issues**

<u>YTD Inquiries (FY12)</u>	<u>Last Month</u>	<u>No. of Responses</u>	<u>No. Late</u>
<u>Late Responses Due From</u>			<u>Overdue By</u>
<u>No. Initiated Recovery</u>			

As of DD-MM-YY



# E & C Monthly Performance Review

## SURVEY SECTION REPORT

PROJECT DESCRIPTION	STREET OR SUBDIVISION	REQUESTED BY	DEPARTMENT	TASK	GFS (CIP) #	IN OFFICE	COMMENCE WORK	TO INITIATION	TO FIELD	FIELD RET	FINISHED	WORK ORDER #



# E & C Monthly Performance Review

## Overlay Projects

### WORK ORDERS - Monthly Updates

W.A. #	STREET	FROM	TO	CNL DISTRICT	Start	End	(\$) Estimated Cost	Status
--------	--------	------	----	--------------	-------	-----	---------------------------	--------

### CONTRACT CAPACITY

WBS #	CONTRACTOR	THIS PERIOD	TO DATE	REMAINING
-------	------------	-------------	---------	-----------

# E & C Monthly Performance Review

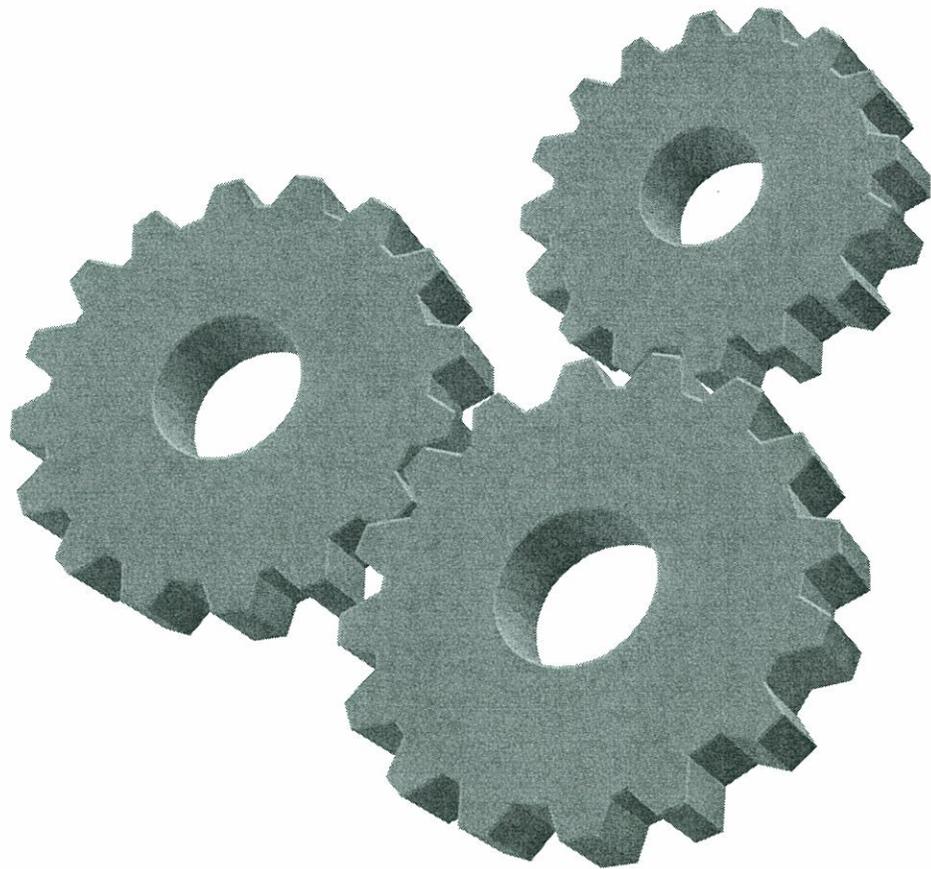
## Safe Sidewalk Projects

### Safe Sidewalk Construction Monthly Updates

WA #	STREET	FROM	TO	COUNCIL DISTRICT	START	END	\$(Cost)	STATUS
------	--------	------	----	------------------	-------	-----	----------	--------

PROJECT STATUS (SSP)								
WBS	CONTRACTOR	INSP	PM	\$(THIS PERIOD)	\$(TO DATE)	START	END	STATUS

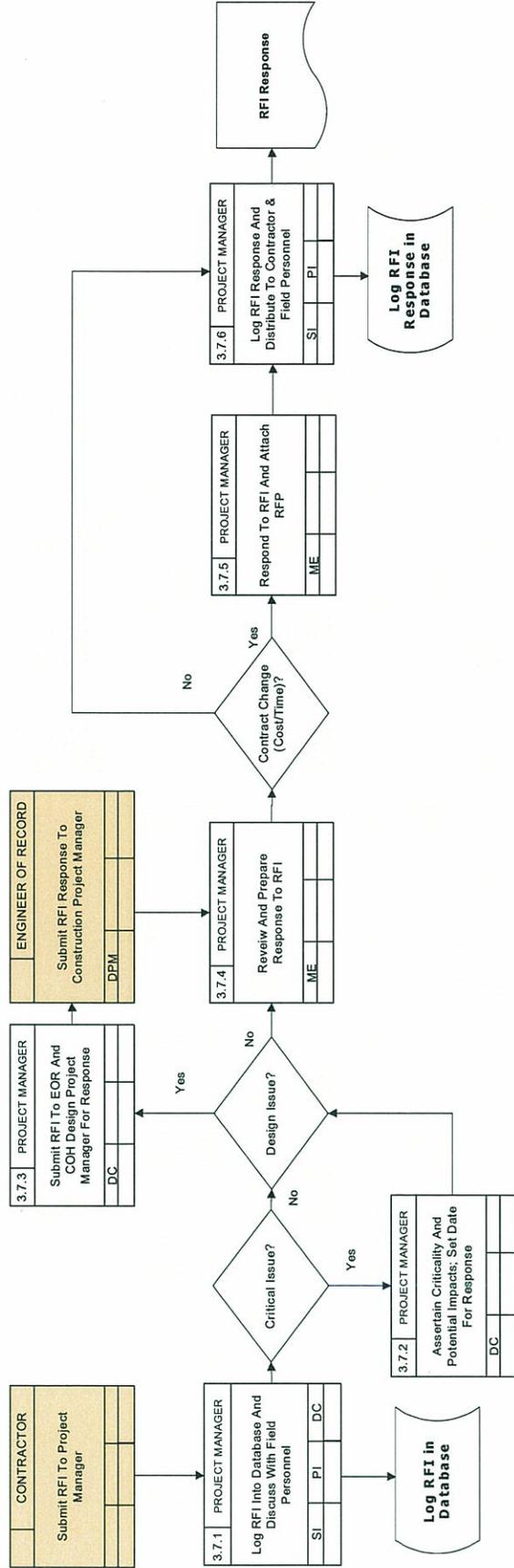
# PROCESS STANDARD



STANDARDS  
PROCESS 3.6 MONTHLY PERFORMANCE REVIEW

1. A draft copy of the Monthly Performance Review should be printed and circulated for review by project managers and managing engineers for two separate reviews. Provide concise comments for any project assigned to you.
2. All critical dates within the database must be updated by the last day of the month.
3. A M/S/BE spreadsheet will be distributed with the second round MPR for review. The data is to be retrieved from the Office of Business Opportunity's B2GNOW database.

# PROCESS 3.7 - RESPOND TO RFI



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

Drawing Page: 1 of 1

Rev. Nov. 2011

**Predefined Process or Subprocess**

Code	Process Owner(s)
SubProcess Or Task	AD, DC, PM, SI, PI

(CONTRIBUTOR) Likely to Participate in a Process

**Activity Conducted By A Individual Or Organization Outside Branch**

Other Contributor

**CONTRIBUTORS**

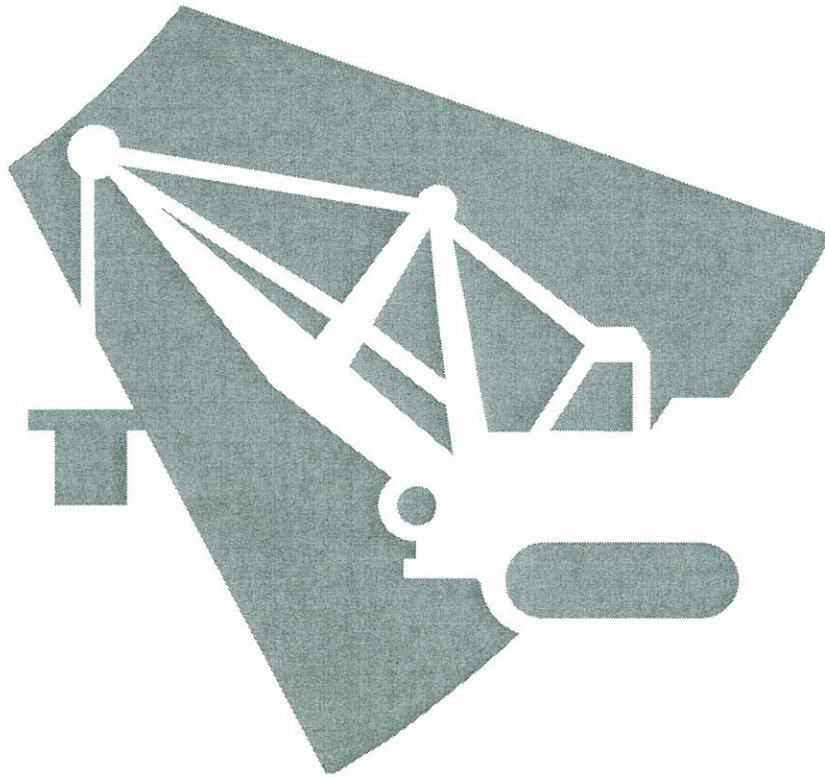
- ME = MANAGING ENGINEER
- SI = SENIOR INSPECTOR
- EOR = ENGINEER OF RECORD
- DPM = DESIGN PROJECT MANAGER
- DC = DESIGN COORDINATOR
- APM = ASSISTANT PROJECT MANAGER

**Deliverable**

Suggested Logical dependency between activities

**Update Database**

# PROCESS EXAMPLES



**RFI**

---

WBS No.:

File No.:

Project Name:

Contract No.:

RFI No.	Drawing No.	Work Auth. No	Date Submitted	Description of Request	Date Responded	Processed Days



**INSTRUCTIONS**

**PURPOSE:** A Request for Information (RFI) is used to request clarification regarding any portion of the Contract Documents. An RFI is the formal communication tool between Contractor and Construction Manager (CM). The response may result in a Request for Proposal, Work Change Directive, or Change Order. Most changes that affect the cost or schedule of a Contract originate from RFIs.

**APPLICATION:** The Contractor uses this form when initiating a request for information. Other participants in the Project may also use the RFI to obtain clarification of the Contract Documents.

**RESPONSE:** Unless otherwise advised by the Construction Manager (CM), a routine response to an RFI will be provided within 30 days. If the matter is critical, potentially imposing immediate delay or work stoppage, a response in less than 30 days may be requested.

The following instructions correspond to the numbers provided on the form. Items 1 through 11 are normally prepared by the Contractor. The CM responds with Items 12 and 13.

1. Insert the WBS number for the project with the fill number in parentheses.
2. Insert a sequential RFI number as assigned by the CM.
3. Insert the project name as stated in the Contract Documents.
4. Insert the name of the Contractor performing the Work.
5. Insert the Contract number for the project as assigned by the Controller's office.
6. Insert the Specification number(s) for which the requested information is required.
7. Insert the Drawing number(s) for which the requested information is required.
8. Indicate in the box provided whether the information requested is critical or routine.
9. Insert the due date for response with the requested information.
10. Describe the required information sufficient for response without further clarification or communication.
11. Requestor signs, indicates title, and dates RFI.
12. The City Project Manager/Project Engineer responds to the information request with sufficient detail so that further clarification or communication is unnecessary. Attach detailed clarification or sketches, as required, including information prepared by the design consultant.
13. The City Project Manager/Project Engineer signs and dates the response.
14. This paragraph specifies a timely request for additional compensation or time extension.

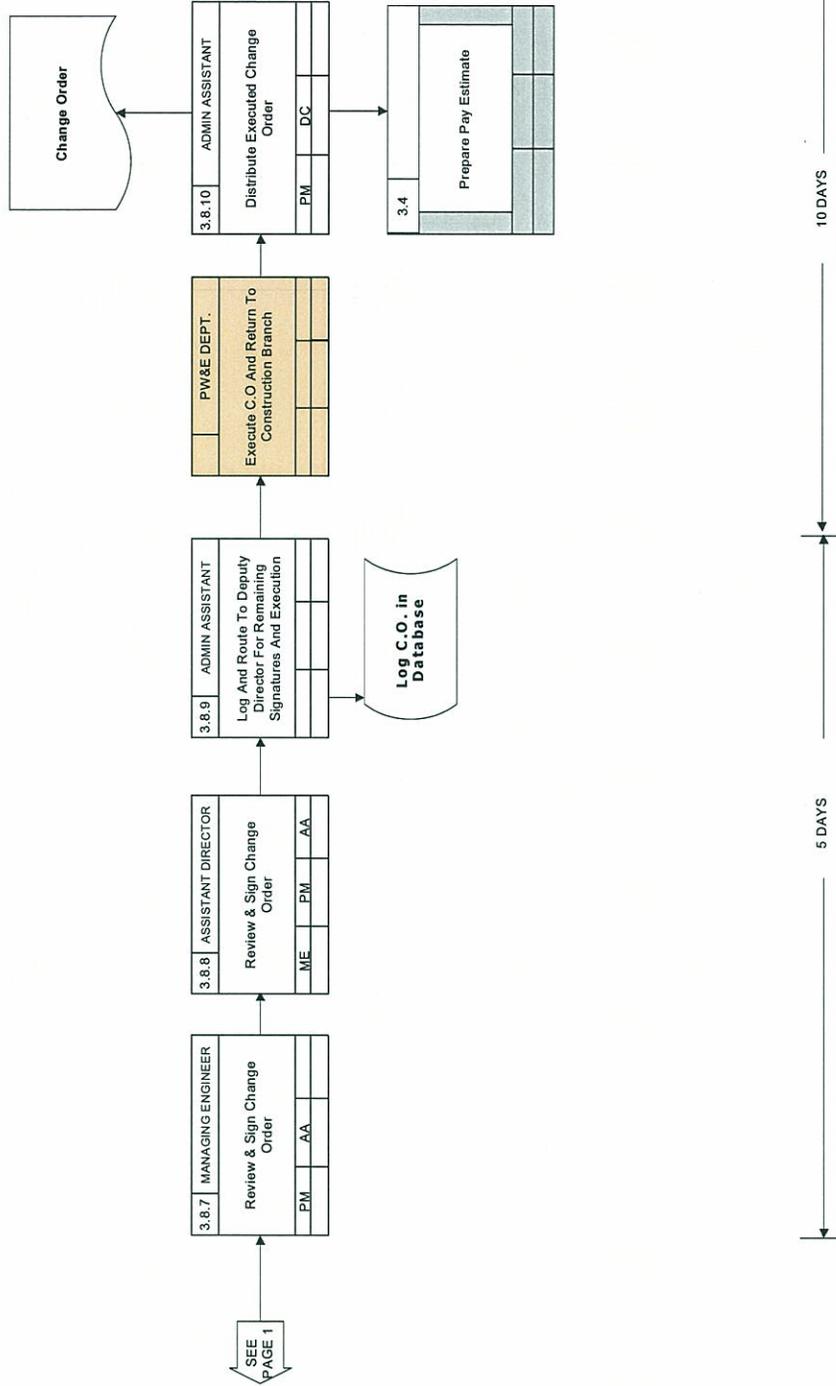
# PROCESS STANDARD



STANDARDS  
PROCESS 3.7 RESPOND TO RFI

1. Project Managers should prepare and submit RFI responses in 6 Working Days.
2. If RFI is deemed critical, project manager shall respond (if construction related) or forward expeditiously to Design Engineer for response (if design related).

# PROCESS 3.8 - PREPARE CHANGE ORDER



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

	Predefined Process or Subprocess
	Process Owner(s)
	SubProcess Or Task
	Other Contributor
	CONTRIBUTORS
	Deliverable
	Update Database
	Suggested Logical dependency between activities

ME - MANAGING ENGINEER  
 SI - SENIOR INSPECTOR  
 EOR - ENGINEER OF RECORD  
 DPM - DESIGN PROJECT MANAGER  
 APM - ADMINISTRATIVE ASSISTANT  
 APPI - ASSISTANT PROJECT MANAGER

Activity Conducted By A Individual Or Organization Contained Within Construction Branch

Code: Process Owner(s)  
 SubProcess Or Task  
 A, AD, ME, PM, SI, EOR, DPM, APM, APPI

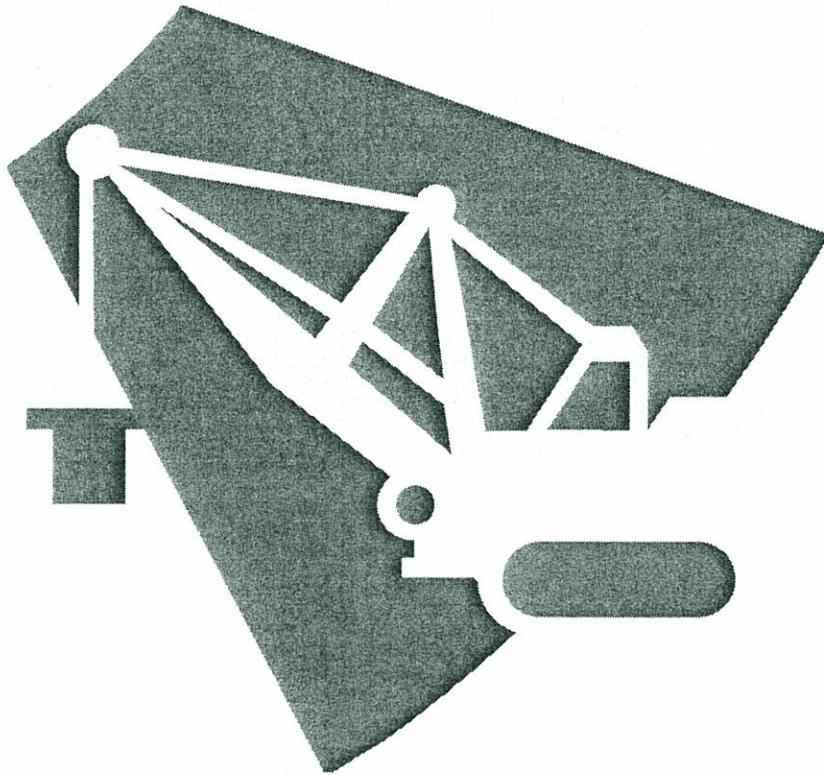
(CONTRIBUTOR) Likely to Participate  
 (A) Not Expected

Drawing Page: 2 of 2  
 Rev. Nov. 2011





# PROCESS EXAMPLES



Section 01255

CHANGE ORDER PROCEDURES

PART 1 GENERAL

1.01 SECTION INCLUDES

- A. Procedures for processing Change Orders, including:
  - 1. Assignment of a responsible individual for approval and communication of changes in the Work;
  - 2. Documentation of change in Contract Price and Contract Time;
  - 3. Change procedures, using proposals and Modifications;
  - 4. Execution of Change Orders;
  - 5. Correlation of Contractor submittals.

1.02 REFERENCES

- A. Blue Book is defined as the Rental Rate Blue Book for Construction Equipment (a.k.a. Data Quest Blue Book).
- B. Rental Rate is defined as the full-unadjusted base rental rate for the appropriate item of construction equipment.

1.03 RESPONSIBLE INDIVIDUAL

- A. Provide a letter indicating the name and address of the individual authorized to execute Modifications, and who will be responsible for informing others in Contractor's employ and Subcontractors of changes to the Work. Provide this information at the pre-construction meeting.

1.04 DOCUMENTATION OF CHANGE IN CONTRACT PRICE AND CONTRACT TIME

- A. Maintain detailed records of changes in the Work. Provide full information required for identification and evaluation of proposed changes, and substantiate costs of changes in the Work.
- B. Document each proposal for change in Contract Price or Contract Time with sufficient data to allow evaluation of proposal.

- C. Include the following minimum information on proposals:
1. Quantities of items in original Document 00410 – Bid Form with additions, reductions, deletions, and substitutions.
  2. Quantities and cost of items in original Schedule of Values with additions, reductions, deletions and substitutions.
  3. Provide Unit Prices for new items, with supporting information, for inclusion in Schedule of Unit Price Work.
  4. Justification for changes in Contract Time.
  5. Additional data upon request.
- D. For changes in the Work performed on a time-and-material basis, provide the following additional information:
1. Quantities and description of Products.
  2. Taxes, insurance and Bonds.
  3. Overhead and profit as noted in Document 00700 - General Conditions.
  4. Dates, times and by who work was performed.
  5. Time records and certified copies of applicable payrolls.
  6. Invoices and receipts for Products, rental equipment, and subcontracts, similarly documented.
- E. For changes in the Work performed on a time-and-materials basis, rental equipment is paid as follows:
1. Actual invoice cost for duration of time required to complete extra work without markup for overhead and profit. When extra work comprises only a portion of a rental invoice where equipment would otherwise be on site, compute hourly equipment rate by dividing the actual monthly invoice by 176. One day equals eight hours and one week equals 40 hours.
  2. Do not exceed estimated operating costs given in Blue Book for items of equipment. Overhead and profit will be allowed on the operating cost.

- F. For changes in the Work performed on a time-and-materials basis using Contractor-owned equipment, use Blue Book rates as follows:
1. Contractor-owned equipment will be paid at the Blue Book Rental Rate for the duration of time required to complete extra work without markup for overhead and profit. Utilize lowest cost combination of hourly, daily, weekly or monthly rates. Use 150 percent of Rental Rate for double shifts, one extra shift per day, and 200 percent of Rental Rate for more than two shifts per day. Standby rates shall be 50 percent of the appropriate Rental Rate shown in Blue Book. No other rate adjustments apply.
  2. Do not exceed estimated operating costs given in Blue Book. Overhead and profit will be allowed on operating costs. Operating costs will not be allowed for equipment on standby.

1.05 CHANGE PROCEDURES

- A. Changes to Contract Price or Contract Time can only be made by issuance of Document 00941 - Change Order. Issuance of Document 00940 - Work Change Directive will be formalized into a Change Order. Changes will be in accordance with requirements of Document 00700 - General Conditions.
- B. City Engineer will advise of Minor Changes in the Work as authorized by the Document 00700 - General Conditions by issuing Document 00942 – Minor Change.
- C. Request clarification of Drawings, Specifications, Contract documents or other information by using Document 00931- Request for Information. Response by Project Manager to Requests for Information does not authorize Contractor to perform tasks outside scope of the Work. Changes must be authorized as described in this Section.

1.06 PROPOSALS AND CONTRACT MODIFICATIONS

- A. Project Manager may issue Document 00932- Request for Proposal, which includes a detailed description of the proposed change with supplementary or revised Drawings and Specifications. Project Manager may also request a proposal in response to a Request for Information. Prepare and submit the proposal within seven days or as specified in request.
- B. Submit requests for Contract changes to City Engineer describing proposed change and its full effect on the Work, with a statement describing reason for change and effect on Contract Price and Contract Time including full documentation.

- C. Design Consultant may review Change Orders.
- 1.07 WORK CHANGE DIRECTIVE
- A. City Engineer may issue a signed Work Change Directive instructing Contractor to proceed with a change in the Work. Work Change Directive will subsequently be incorporated into a Change Order.
  - B. Work Change Directives will describe changes in the Work and designate the method of determining change in Contract Price or Contract Time.
  - C. Proceed promptly to execute changes in the Work in accordance with the Work Change Directive.
- 1.08 STIPULATED PRICE CHANGE ORDER
- A. A Stipulated Price Change Order will be based on an accepted proposal.
- 1.09 UNIT PRICE CHANGE ORDER
- A. Where Unit Prices for affected items of the Work are included in Document 00410 – Bid Form, the Change Order will be based on Unit Prices, subject to Articles 7 and 9 of Document 00700 - General Conditions.
  - B. Where Unit Prices of the Work are not pre-determined in Document 00410-Bid Form, the Work Change Directive or accepted proposal will specify the Unit Prices to be used.
- 1.10 TIME-AND-MATERIAL CHANGE ORDER
- A. Provide itemized account and supporting data after completion of change, within time limits indicated for claims in Document 00700 - General Conditions.
  - B. City Engineer will determine the change allowable in Contract Price and Contract Time as provided in Document 00700 - General Conditions.
  - C. Maintain detailed records for work done on time-and-material basis as specified in Paragraph 1.04 above.
  - D. Provide full information required for evaluation of changes and substantiate costs for changes in the Work.

1.11 EXECUTION OF CHANGE DOCUMENTATION

- A. City Engineer will issue Change Orders, Work Change Directives, or Minor Change in the Work for signatures of Parties as described in Document 00700 - General Conditions.

1.12 CORRELATION OF CONTRACTOR SUBMITTALS

- A. For Stipulated Price Contracts, promptly revise Schedule of Values and Application for Payment forms to record authorized Change Orders as separate line item.
- B. For Unit Price Contracts, the next monthly estimate of the Work after acceptance of a Change Order will be revised to include new items not previously included with appropriate Unit Prices.
- C. Promptly revise progress schedules to reflect change in Contract Time, and to adjust time for other items of work affected by the change, and resubmit for review.
- D. Promptly enter changes to on-site and record copies of Drawings, Specifications or Contract documents as required in Section 01785 - Project Record Documents.

PART 2 PRODUCTS - Not Used

PART 3 EXECUTION - Not Used

END OF SECTION



## INSTRUCTIONS

**PURPOSE:** The Request for Proposal (RFP) is used to request a priced proposal for changes in the Work to be performed by Contractor. This form may also document changes requested by other City of Houston personnel or other agencies.

**APPLICATION:** This form initiates proposed changes in the scope of work, including but not limited to the following:

- Additions or reductions (including deletions) of existing bid item quantities.
- Increases or decreases in construction Contract Time.
- Change in methods, material, etc., not covered by existing bid item quantities.
- New work not covered by existing bid item quantities.
- Price or schedule consideration for conditions not indicated by the Contract.

**RESPONSE:** Contractor responds to this request with a formal proposal for the work described. The proposal should include the following:

- Scope of the change
- List of items of work
- List of materials or equipment required for the change
- Detailed cost estimate conforming to the General Conditions Section 7.3 - Adjustments in Contract Price
- Recommended schedule of changes
- Completed or future work that will be affected by the changes

**INSTRUCTIONS:** This form is prepared by Project Manager and is forwarded to Contractor.

The following instructions correspond to the numbers provided on the form:

1. Insert Project Number assigned to the Project with the file and other reference numbers in parentheses.
2. Insert a sequential RFP number as assigned by the City.
3. Insert the Project Name as stated in the Contract.
4. Insert name of Contractor performing the Work.
5. Insert Contract number for the Project as assigned by Controller's office.
6. List RFIs referenced in this RFP.
7. List work items to be priced by Contractor. Have an estimate of the proposed changes prepared and attached to the file copy of the RFP. *NOTE: When typing in this table, text will wrap within columns and table rows will increase to accommodate longer text.*
8. Requestor (Project Manager or Construction Manager) signs and dates RFP.

**PROJECT NAME**

**Project No.** X-XXXXXX-XXXX-4

**WORK CHANGE DIRECTIVE**

---

Document 00940

**WORK CHANGE DIRECTIVE / WCD No. X**

**PROJECT** PROJECT NAME

**CONTRACT** OUTLINE AGREEMENT # **PROJECT No.:** X-XXXXXX-XXXX-4

**TO:**

Contractor and CONTRACTOR'S NAME

Address for Written Notice CONTRACTOR'S ADDRESS

---

**REFERENCE RFIs/RFPs:**

You are hereby directed to make the following changes in the Work, as described below and specified or show on attachments, if applicable.

**1.01 DESCRIPTION OF CHANGES**

**A. Brief description of changes in the work:**

**PROJECT NAME**

**Project No. X-XXXXXX-XXXX-4**

**WORK CHANGE DIRECTIVE**

---

**B. Justification for change(s):**

**1.02 PROPOSED ADJUSTMENTS**

**A. Contract Price**

<b>Item #</b>	<b>Spec.</b>	<b>Description</b>	<b>Qty</b>	<b>Unit</b>	<b>Unit Price (\$)</b>	<b>Amount (\$)</b>
W-X	XXXXX	ITEM DESCRIPTION	XX.XX	XX	XX.XX	XXX.XX

Subtotal: **\$XXX.XX**

**PROJECT NAME**

**Project No. X-XXXXXX-XXXX-X**

**WORK CHANGE DIRECTIVE**

---

- [ ] As provided in subparagraph of General Conditions.
- [ ] As follows:

**B. Proposed time extension: XX days.**

**Comments:**

**1.03 NOTICE TO PROCEED BY THE CITY**

Signature by City Engineer indicates Notice to Proceed to Contractor for the described Work and outlines proposed method of adjustment in Contract Price and Contract Time. Contractor shall commence with the Work associated with this Work Change Directive no later than \_\_\_\_\_ and shall proceed to complete this Work in a reasonable period of time in accordance with Document 00700, paragraph 7.2.2.

---

NAME, Senior Assistant Director	Date	NAME, Managing Engineer	Date
---------------------------------	------	-------------------------	------

**1.04 ACCEPTANCE BY CONTRACTOR**

Signature by Contractor indicates Contractor's agreement with the above proposed adjustments in Contract Price and Contract Time.

---

Contractor Signature and Title	Date
--------------------------------	------

**PROJECT NAME**

**Project No. X-XXXXXX-XX-4**

**WORK CHANGE DIRECTIVE**

**EXECUTIVE SUMMARY**

<b>C. Previous Work Change Directives</b>	\$0.00	0.00%
<b>D. This Work Change Directive</b>	\$XXX.XX	X.XX%
<b>E. Revised Contract Amount</b>	\$X,XXX,XXX.XX	XXX.XX%

<b>A. Original Contract Time</b>	XX Days	MONTH XX, YEAR
<b>B. Previous Change Orders</b>	0 Days	MONTH XX, YEAR
<b>C. Previous Work Change Directives</b>	0 Days	MONTH XX, YEAR
<b>D. This Work Change Directive</b>	0 Days	MONTH XX, YEAR
<b>E. Revised Contract Amount</b>	XX Days	MONTH XX, YEAR

**1.05 TOTAL VALUE OF INCREASES OUTSIDE OF GENERAL SCOPE OF WORK**

A. Including this Work Change Directive, the following table is provided to track conditions related to Paragraph 7.1.2.3 of Document 00700 - General Conditions

<b>EXECUTED WCD &amp; CHANGE ORDERS</b>	<b>AMOUNT ADDED</b>	<b>% OF ORIGINAL CONTRACT AMOUNT</b>	<b>DAYS ADDED</b>	<b>COMMENTS</b>
Original Contract Amount	\$X,XXX,XXX.XX			
X	\$XXX.XX	X.XX%	X	
<b>Previous CO - Subtotal</b>	<b>\$XX,XXX.XX</b>	<b>X.XX%</b>	<b>X</b>	
X	\$X.XX	X.XX%	X	
<b>Previous WCD - Subtotal</b>	<b>\$X.XX</b>	<b>X.XX%</b>	<b>X</b>	
WCD #X	\$XXX.XX	X.XX%	X	
<b>TOTALS</b>	<b>\$XX,XXX.XX</b>	<b>X.XX%</b>	<b>X</b>	

**END OF DOCUMENT**

CC:

Document 00941  
CHANGE ORDER No. X

PROJECT: **PROJECT NAME**

CONTRACT No.: O.A. NUMBER PROJECT No.: X-XXXXXX-XXXX-4

TO: CONTRACTOR'S NAME  
CONTRACTOR'S ADDRESS  
Contractor and CITY, STATE, ZIP  
Address for Written Notice

1.01 DESCRIPTION OF CHANGES

ITEM 1 SCOPE: **RFI #XX, RFP #XX  
SCOPE CHANGE**

JUSTIFICATION: **DESCRIPTION OF SCOPE CHANGE**

CONTRACT CHANGE	
Amount	Time
\$XX,XXX.XX	XX Days

Unit Item	Unit Item Description	Unit	Add/Deduct Qty	Unit Price	Add/Deduct Amount
XX	DESCRIPTION OF ITEM	XX	XXX.XX	\$XX.XX	\$XX,XXX.XX

TOTALS: \$XX,XXX.XX XX Days

PROJECT No.: X-XXXXXX-XXXX-4

CHANGE ORDER No. X

1.02 ACCEPTANCE BY CONTRACTOR

Contractor agrees to perform change(s) included in this Change Order for the price and time indicated. The prices for changes include all costs associated with this Change Order.

\_\_\_\_\_  
Contractor Signature and Title

\_\_\_\_\_  
Date

1.03 ACCEPTANCE BY THE CITY

\_\_\_\_\_  
Project Manager Date

\_\_\_\_\_  
Deputy Director Date

\_\_\_\_\_  
Chief Engineer Date

\_\_\_\_\_  
City Engineer Date

\_\_\_\_\_  
Assistant Director Date

\_\_\_\_\_  
Mayor - City of Houston Date

cc:

File No. (X-XXXXXX-XXXX-4)

EXECUTIVE SUMMARY

1.01 CONTRACT PRICE SUMMARY		<u>DOLLAR AMOUNT</u>	<u>PERCENT</u>
A.	Original Contract Price	\$XXX,XXX.XX	100.00%
B.	Previous Change Orders	\$0.00	0.00%
C.	This Change Order	\$XX,XXX.XX	X.XX%
D.	Contract Price	\$XXX,XXX.XX	XXX.XX%

1.02 CONTRACT TIME SUMMARY		<u>DURATION</u>	<u>COMPLETION DATE</u>
A.	Original Contract Time	XXX Days	DAY, MONTH XX, YEAR
B.	Previous Change Orders	0 Days	DAY, MONTH XX, YEAR
C.	This Change Order	XX Days	DAY, MONTH XX, YEAR
D.	Contract Time	XXX Days	DAY, MONTH XX, YEAR

1.03 TOTAL VALUE OF INCREASES OUTSIDE OF GENERAL SCOPE OF WORK

A. Including this Change Order, the following table is provided to track conditions related to Paragraph 7.1.2.3 of Document 00700 - General Conditions.

<u>CHANGE ORDER No.</u>	<u>AMOUNT ADDED</u>	<u>PERCENT OF ORIGINAL CONTRACT PRICE</u>
X	\$XX,XXX.XX	X.XX%
<hr/>		
TOTALS	\$XX,XXX.XX	X.XX%



## CITY OF HOUSTON Fact Sheet

Change Order Item No. [XX]

Project Name: [ ] Contractor: [ ]

WBS No. [X-XXXXXX-XXXX-4] Design Engineer: [ ]

1. When was the need for proposal first discovered and by whom?

---

---

2. Why is the work described on the proposal necessary?

---

---

3. How was the pricing confirmed and/or negotiated?

---

---

4. Why are the additional calendar days required to be added to the contract?

---

---

5. Why is the work described on the proposal not covered by the original bid items?

---

---

6. Is the proposed work necessary due to: differing site conditions, possible omissions and/or inaccurate designs, or other specific reason(s)?

---

---

7. Should this be reviewed by Design Section to be referred to Design Consultant for potential errors/omissions?

---

---

8. How will labor charges on the proposal be monitored and isolated from normal charges which are incidental to pay item work?

---

---

\_\_\_\_\_  
CITY-CONSTRUCTION PROJECT MGR. [Signature]

\_\_\_\_\_  
DATE



# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2408  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

(Consultant Representative)  
(Name of Consultant Firm)  
(Consultant Address)  
(City, State, Zip Code)

**Re: (Project Name)**  
**WBS No. (Number)**  
**Outline Agreement No. (Number)**  
**ERRORS AND OMISSIONS - CHANGE ORDER NO. (Number)**

Dear Mr./Mrs. (Consultant Representative Name):

The City of Houston (City) is processing Change Order No. (Number) for the above referenced project for approval. At this time, the City is in the process of determining the cause for this Change Order and its associated cost.

Enclosed for your review is a copy of Change Order No. (Number) and related documents. We request that you review these documents carefully and provide your opinion of the causes that necessitated the Change Order. We will use your information in conjunction with information from the City's staff and the Contractor to determine if any additional analysis or action by the City is warranted. Your response within 30 days of this letter's date will be appreciated.

Should you have any questions concerning this matter, please feel free to contact me at your convenience at (Phone Number) or (Project Manager's Name), (Project Manager's Title), Construction Branch at (Phone Number).

Sincerely,

(Senior Assistant Director's Name)  
Senior Assistant Director  
Construction Branch  
Engineering and Construction Division

XXX:XXX:xx

H:\E&C Construction\Office Admin\Construction Management Manual\Forms\Chapter 3 - Progress Construction\Process 3.8 - Prepare Change Order\Errors & Omissions Letter.docx

Attachment: A Copy of Change Order No. (Number)

ec: Engineering Sr. Assistant Director  
Engineering Managing Engineer  
Construction Admin. Manager  
Project File (WBS No./Code)

Construction Project Manager  
Engineering Project Manager  
Construction Office Admin.

# PROCESS STANDARD

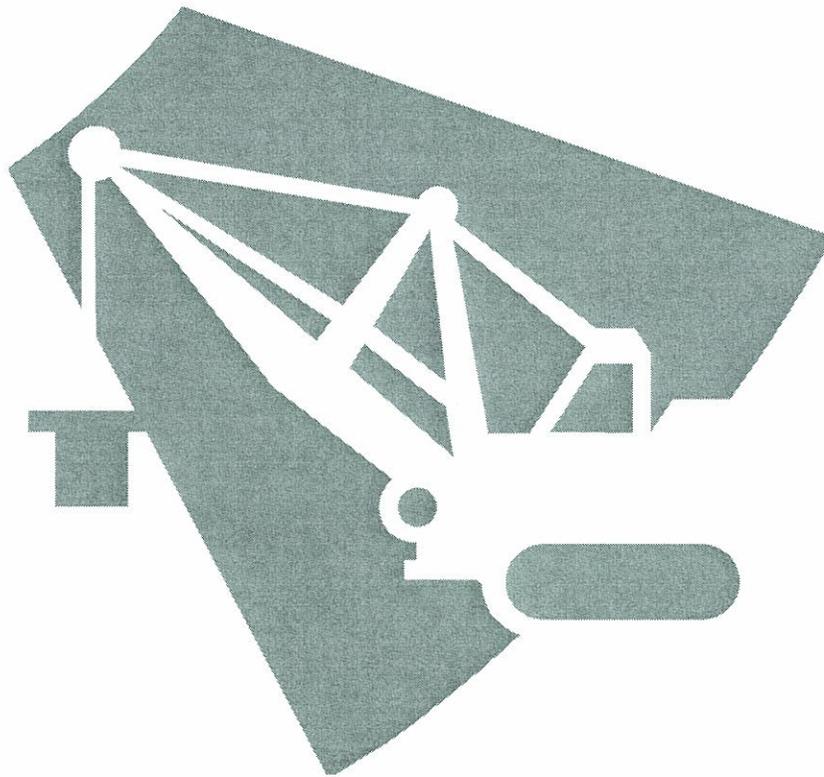


STANDARDS  
PROCESS 3.8 PREPARE CHANGE ORDER

1. Approach every change order and each item of the change order as an adjustment of the contract that ties work with price and time. Price and time adjustments are always addressed in their respective columns of Block 6. Work must be addressed in the Block 6 descriptions.
2. Describe the change in terms of **scope** of the change and **justification** for the change. The **scope** of the change should address one of the following:
  - Additional work
  - Changed work
  - Required work (unchanged) but under different conditions
  - Also include with the item scope appropriate references to work change directives, requests for information, and/or proposals, by number. If the change will be addressed through unit prices, specify the additional planned quantity under an existing unit price, or the proposed new unit price item and the planned quantity.
3. **Justification** should explain why the change is recommended. It should normally attribute the change to one of the following reasons:
  - Error in drawings
  - Omission in drawings
  - Owner requested scope change
  - Concealed or unknown conditions (see 00700, 4.3.5)
  - Failure of City to provide (see 00700, 4.3.6.2)
  - Action by the City (see 00700, 4.3.6.1)
  - Delay without fault or negligence (see 00700, 8.2.1)
4. Attach back-up documentation for each item of change. Use the following sequence to the extent that it applies and documents are available:
  - Fact sheet
  - RFI
  - RFI response (w/attachments as applicable)
  - RFP (w/attachments as applicable)
  - Proposal (signed by contractor and PM)
  - Contractor's cost back-up for proposal
  - City's parallel estimate
  - Daily Construction Reports (if needed)
5. Forward with two copies of change order, one cost and time summary, one copy of back-up. Include file notes page and last progress payment.
6. If project will exceed 105% contract amount due to claim, meet with ME and AD to discuss possible solutions.



# PROCESS EXAMPLES





**CITY OF HOUSTON**  
**Department of Public Works & Engineering**  
 Construction Management & Inspection Service Contract  
 Estimate for Payment

WBS No:  
 File No.:  
 Project Description:

City of Houston Estimate No.:  
 Date From: To:  
 Contract No.:  
 Date of Contract:  
 Contract Exp. Date:

Consultant's Invoice No.:  
 M/WBE % GOAL:  
 M/WBE % UTILIZATION:  
 Insurance Exp. Date:  
 Drug Policy Due Date:

FIRM:  
 ADDRESS:  
 TELEPHONE NO.: ( ) -

**CONTRACT APPROPRIATIONS:**

Ordinance Number	Date Passed	WBS Number	Project Name	Amount Appropriated
XXXX-XXXX	XX/XX/XXXX	X-XXXXXX-XXXX-4		\$X,XXX,XXX.XX
TOTAL				\$X,XXX,XXX.XX

**CONTRACT AUTHORIZATIONS:**

Work Authorization Number	Date Issued	WBS Number	Project Name	Amount Authorized
XXXXXXXXXX	XX/XX/XXXX	X-XXXXXX-XXXX-4		\$X,XXX,XXX.XX
TOTAL				\$X,XXX,XXX.XX

**INVOICE INFORMATION (see attached Task Cost Summary):**

Total Invoiced To Date: \$X,XXX,XXX.XX  
 Previously Invoiced: \$X,XXX,XXX.XX  
 Total Amount Due This Invoice: **\$X,XXX,XXX.XX**

Received by: \_\_\_\_\_  
 Contract Administrator Date

Certification by firm: \_\_\_\_\_  
 Signature and Title Date

Reviewed: \_\_\_\_\_  
 Supervising Engineer/Sr. Project Manager Date

Approval: \_\_\_\_\_  
 Recommended Managing Engineer Construction Section Date

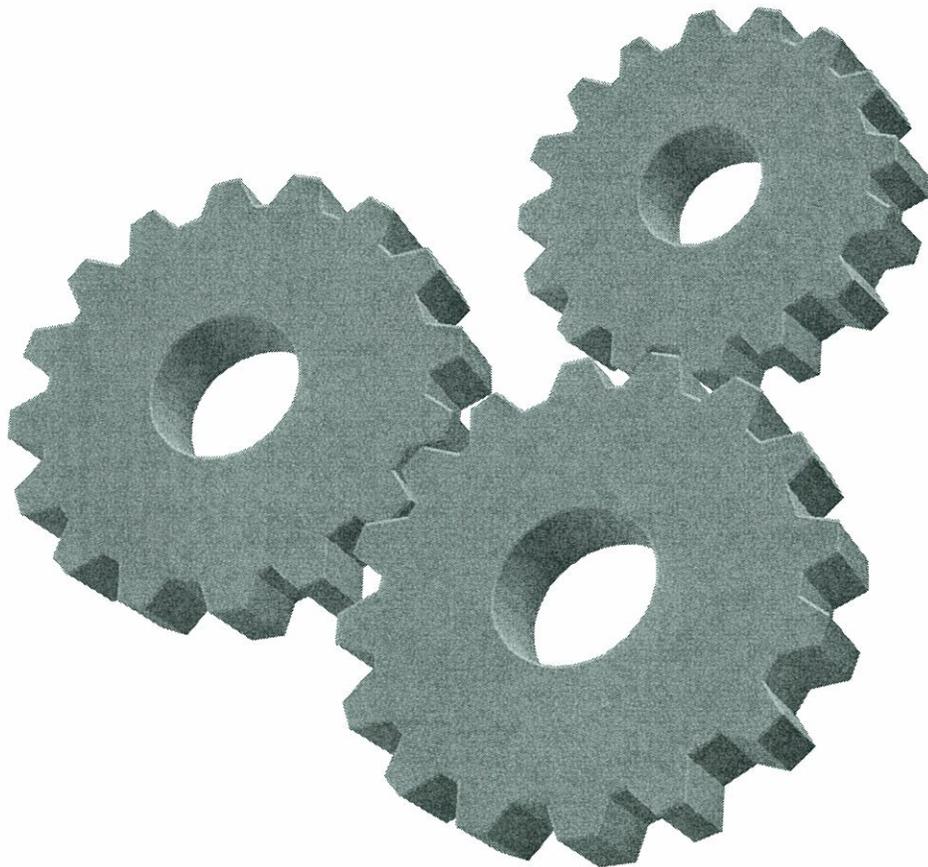
Reviewed: \_\_\_\_\_  
 Managing Engineer Design Section Date

Approved: \_\_\_\_\_  
 Director Department of Public Works & Engineering Date





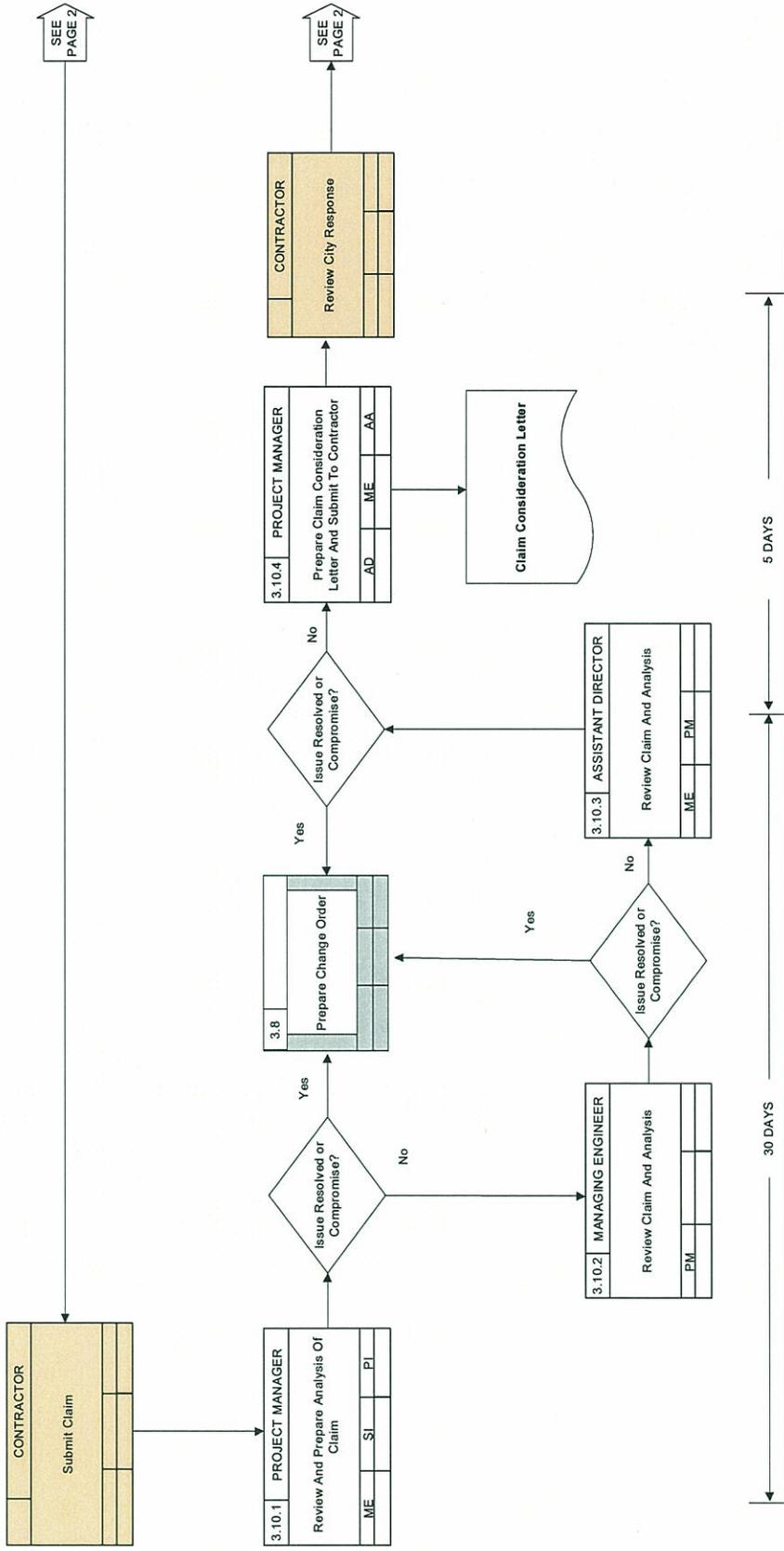
# PROCESS STANDARD



STANDARDS  
PROCESS 3.9 PROCESS CM INVOICES

1. Invoices received by any member of the Branch other than the Document Control (DC) will forward the invoices to the DC for logging on the day of receipt.
2. CM invoice should include a printout of OBO's B2GNow and a narrative describing the work performed by the CM during the invoice period.
3. CM invoice review should include appropriateness of charges, accuracy of invoice, and management of expenditures against budget to include comparison of construction and construction management cost completion.
4. If any charges are disputed, refer to paragraph IV.C. of the CM contract. Unless the CM agrees within the CM invoice to revise and resubmit the invoice and does so within 3 business days, the CM invoice reviewer will proceed per the contract – delete the disputed items, prepare letter for the Managing Engineer's signature and continue to process the invoice with undisputed charges only.
5. All contributors will initial and date the transmittal sheet.
6. Maximum times for review will be PM – 5 days, ME – 2 days, AD -3 days.

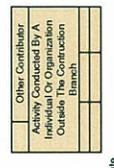
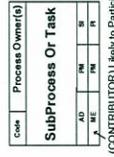
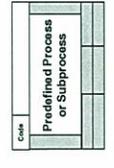
# PROCESS - 3.10 ANALYZE AND SETTLE CLAIMS



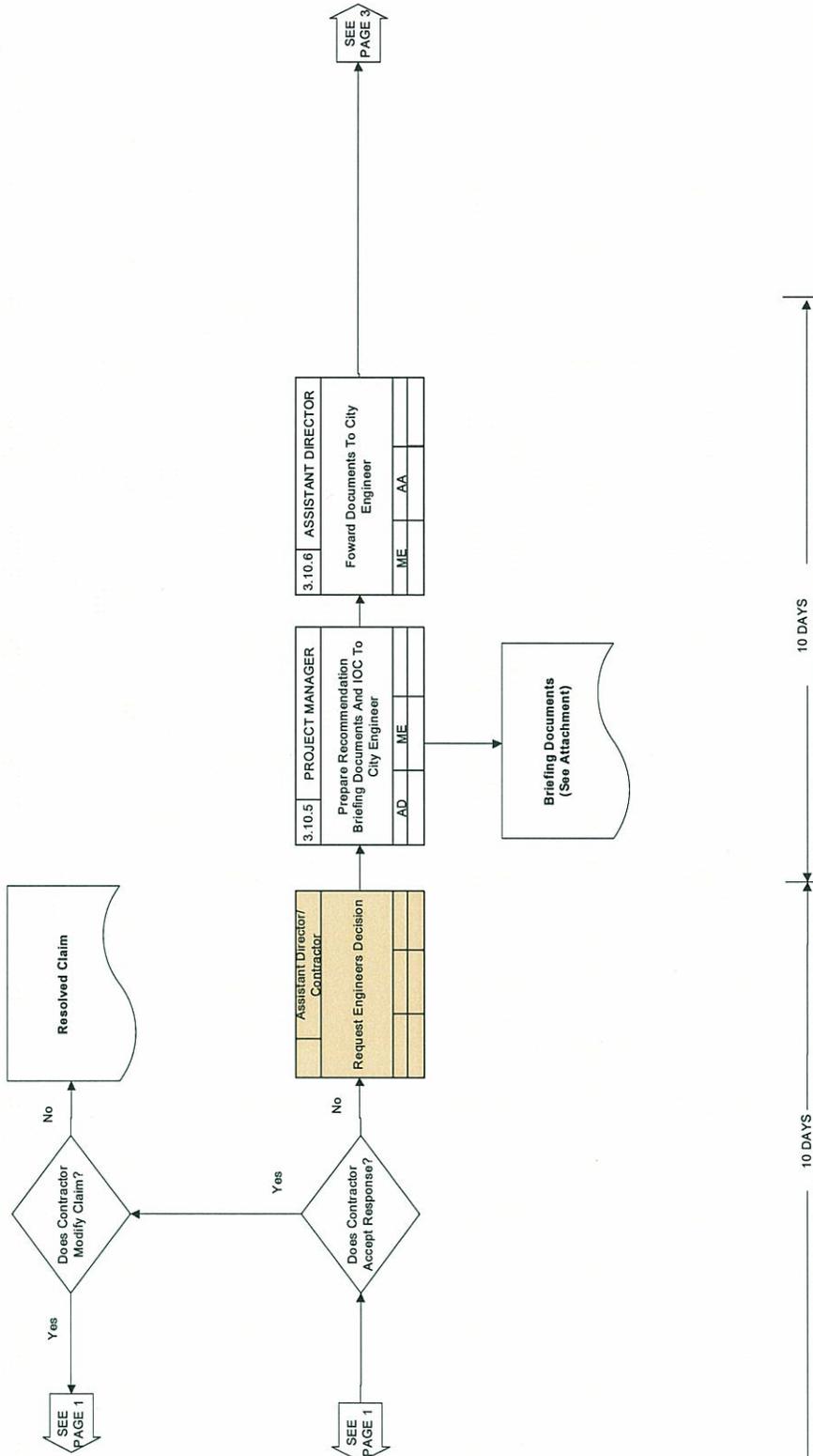
CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION  
CONSTRUCTION BRANCH PROCESS MAP



## Legend

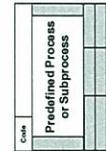


# PROCESS - 3.10 ANALYZE AND SETTLE CLAIMS



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

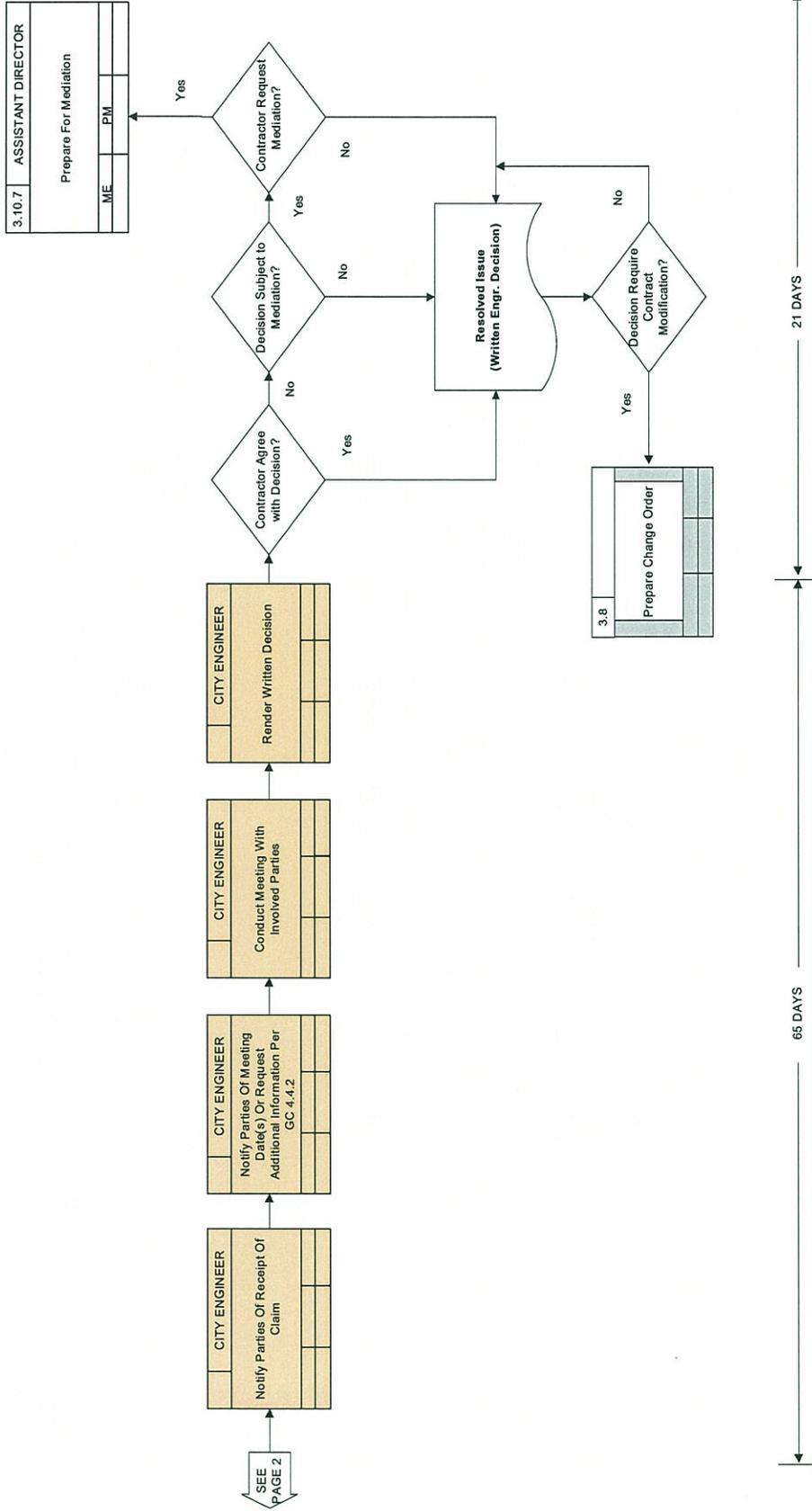


Drawing Page: 2 of 3

Rev. Nov. 2011



# PROCESS - 3.10 ANALYZE AND SETTLE CLAIMS



CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION  
CONSTRUCTION BRANCH PROCESS MAP

## Legend

Drawing Page: 3 of 3

Rev. Nov. 2011

**Contributors**

DIRECTOR ADMIN SUPERVISOR PROJECT MANAGER PROJECT INSPECTOR ASSISTANT PROJECT MANAGER	MANAGING ENGINEER SENIOR INSPECTOR ENGINEER OF RECORD DESIGN PROJECT MANAGER ADMINISTRATIVE ASSISTANT ASSISTANT PROJECT MANAGER
---	--

**Other Contributor**

Activity Conducted By A Individual Or Organization Location Branch	
---	--

**SubProcess Or Task**

Code	Process Owner(s)	SubProcess Or Task
A	M	R

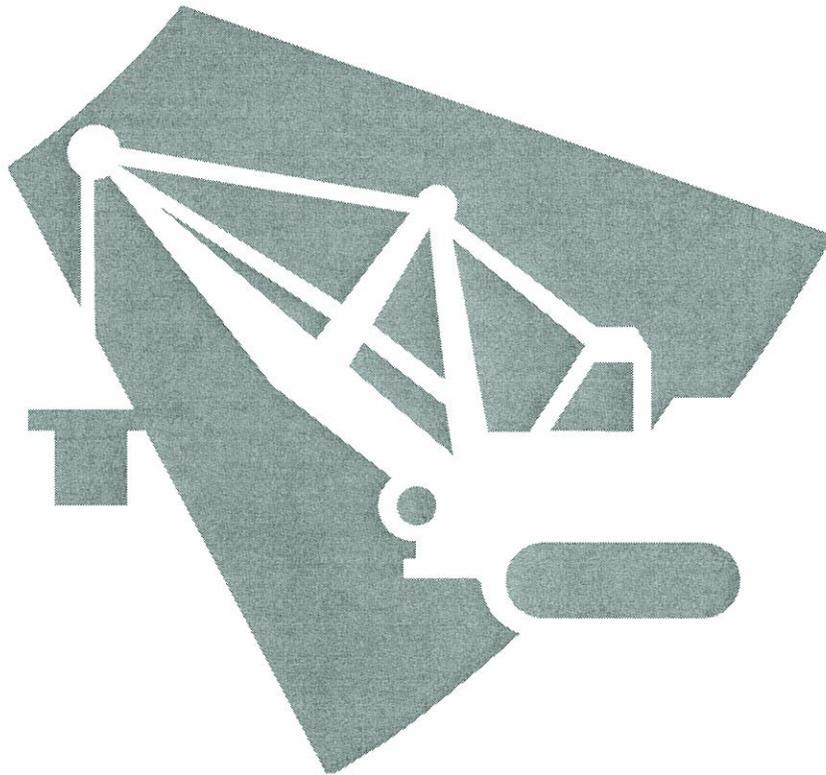
(CONTRIBUTOR) Likely to Participate  
MCA Processes

**Deliverable**

Suggested Logical dependency between activities

**Update Database**

# PROCESS EXAMPLES



# DISPUTE RESOLUTION

## CLAIM BRIEFING DOCUMENT CONTENTS

### CONTRACT BACKGROUND

- Contract Value
- Contract Time
- Bid Tabulation
- Change Order History
- Potential Cost Impacts over/under 5%
- Project Status = Percent Time & Percent Cost to Date
- Non-compliance Issues
- Citizen Complaints during work
- Contractor Performance and Responsiveness
- Outstanding issues for additional cost or credit

### FINDING OF FACTS RELATED TO CLAIM

- Basis of Dispute
- History of Claim
- Contract Requirements
- Recommendation for Settlement (i.e. Cost, Time, Rejection, or Performance)
- Backup Information
  - RFIs
  - Communication (i.e., Letters and Transmittals)
  - Daily Reports
  - Photos
  - Test Reports



# CITY OF HOUSTON

Public Works and Engineering  
Department

## Interoffice

Correspondence

To: (City Engineer's Name)  
City Engineer

From: Senior Assistant Director  
Construction Branch  
Engineering and Construction

Date:

Subject: **REQUEST FOR ENGINEER'S DECISION;**  
**CONTRACT # (46000XXXXX);**  
**WBS NO. (X-XXXXXX-XXXX-4);**  
**(PROJECT NAME – ISSUES)**

The enclosed request from (Contractor's Name) is forwarded for decision of the City Engineer per General Conditions, paragraph 4.4. This City's position with regard to the claim, given information available to this point, is that the claim should be denied, with the following basic considerations:

- (Provide all considerations using the Claim Consideration Letter)

Please let me know if you require any further standard data from the project file to support your decision.

(Senior Assistant Director's Name)

XXX:XXX:xxx

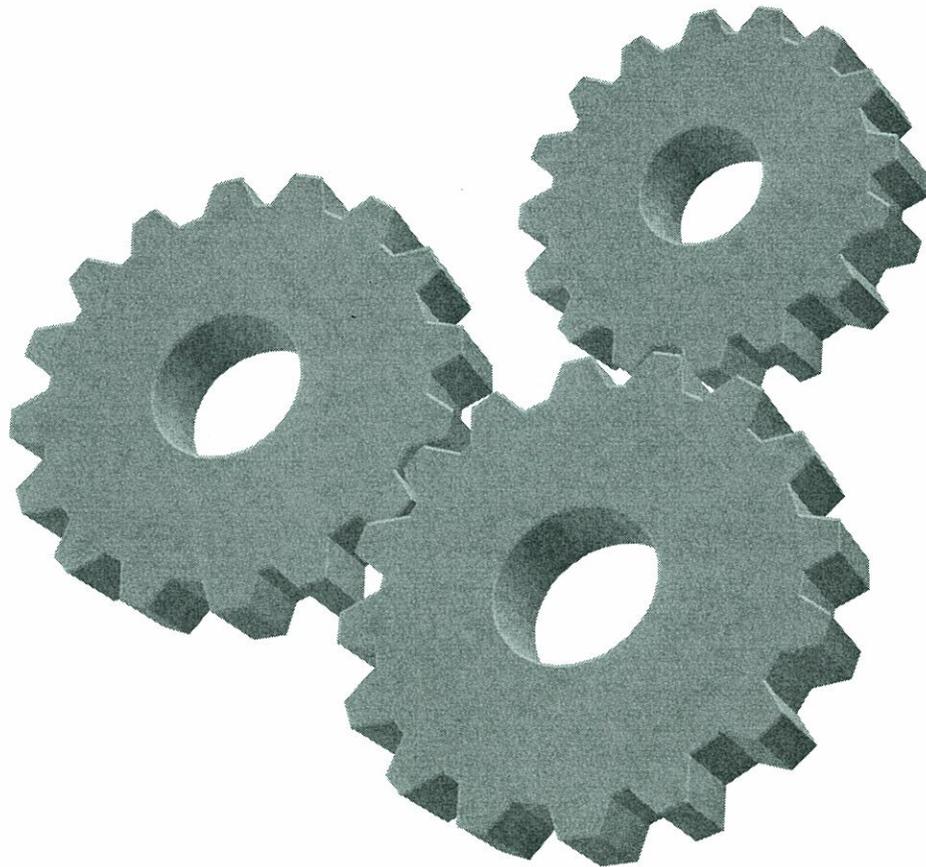
H:\E&C Construction\Office Admin\Construction Management Manual\Forms\Chapter 3 - Progress Construction\Process 3.10 - Analyze and Settle Claims\IOC Request for Engineer's Decision.docx

Attachment: xxxxxxxxxxxx

ec: Deputy Director  
Managing Engineer  
Project File (WBS No./2.1)

Project Manager  
Contractor

# PROCESS STANDARD

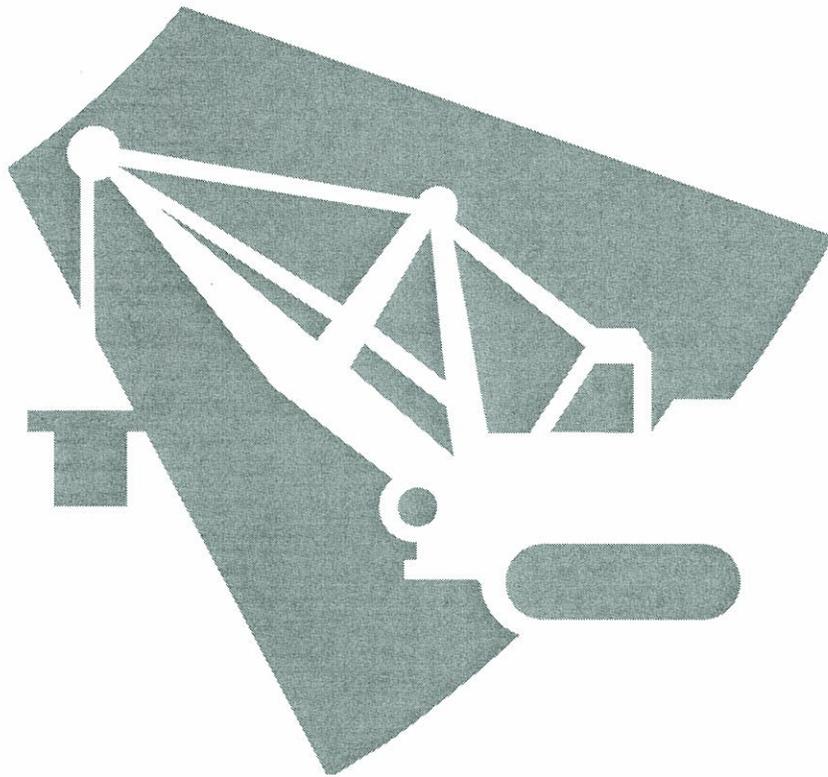


STANDARDS  
PROCESS 3.10 ANALYZE AND SETTLE CLAIMS

1. The contractor shall submit the claim on Company letterhead. All appropriate backup documentation shall be attached to the letter. All parties shall adhere to Section 4.3 “Claims and Disputes” of the General Conditions of the Contract.
2. Upon receipt of the claim, the PM/CM shall take appropriate action in accordance with Section 4.4 of the General Conditions of the Contract.
3. It is imperative that a rejection of the claim in whole or in part by the PM/CM must state the reason for rejection in writing on City of Houston letterhead.
4. The General Conditions give timelines for the actions taken in analyzing and settlement of a claim. Deviations from this timeline must be agreed upon by all parties in writing.



# PROCESS EXAMPLES



## Service Request Summary Report

Type: E&G - Restoration

Area: Key Map 494J

Group: PWE - E&G

Jurisdiction: City of Houston

Input By: ANDERSON, RIGUITA

OC Groups:

Location: 2947 Clinton Dr, Houston, Tx, 77020, Harris

SR #: 11-00109420

Priority: Standard

Status: Open

Created As: Original

Method Received: Phone

Location Details:

Location Alerts	Location
NO LOCATION ALERTS	

Fix Questions	Answers
What is the Project GFS #?	S-000035-00M3-4
Where was work done?	In the street
What type of work was done in the area?	UNK
If they are laying pipe, what color is the pipe?	UNK
Are the workers still working in the area?	No
Are vehicles marked with City logo?	No
Are workers wearing City uniforms? (If So, Not E&C)	No

Participants	Name	Address	Phone
CUSTOMER:	YVONNE, LEWIS	2947 CLINTON DR HOUSTON, TX, 77020	713-398-7887

Description: PENDING ASPHALT GONZALES CONSTRUCTION

Activities	Assigned Staff	Due Date	Complete Date	Outcome
Contact Customer	GRANADOS, BRICEIDA			
Details: Made citizen contact, according to citizen on (2700 FT Jenson and another one at 2947 Clinton) crew did a street cut and covered it with gravel. Citizen is requesting street cut to be repaired				
Investigator	GARCIA, DAVID			

# Department of Public Works and Engineering

Subject: <b>COURTESY TO THE PUBLIC</b>	Departmental Policy <b>1-13</b>
	Effective Date: Upon Approval

## I. Purpose

To establish uniform standards *and training requirements* in the area of public service, for both external (non-City of Houston employees) and internal (City of Houston employees) customers.

## II. Scope

This policy applies to all Department of Public Works and Engineering personnel and supersedes any other former Departmental policy, procedure or directive.

## III. Policy

Department of Public Works and Engineering employees should remember that the City of Houston is in business to serve the public and that the public always comes first. They are entitled to the same thoughtful treatment that employees themselves would like to receive. Members of the public should not be treated in a condescending or impolite manner and should never be kept waiting an unreasonable amount of time.

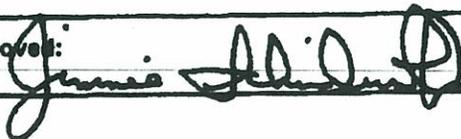
### A. Training

All employees who are assigned the duties of a receptionist or who act as the primary backup for this function are required to receive training from the Professional Development Section. This training will include phone etiquette, the history of public works, an explanation of Public Works and Engineering organization and departmental responsibilities, and an overview of the City of Houston organization and departmental responsibilities. All new employees hired after the effective date of this policy will be required to complete training prior to performing these duties. Deputy Directors are responsible for providing current organizational charts to the Professional Development Section each time there is a change in the structure of the group/divisions.

### B. Procedures

When a member of the public approaches an employee with a question or complaint, the employee will give the matter his or her immediate attention. If a member of the public becomes abusive or argumentative and the employee cannot properly handle the situation, the person should be referred to the employee's supervisor.

Approved:



Date Approved:

6-3-97

Page 1 of 3

## Department of Public Works and Engineering

Employees should be particularly careful to exercise courtesy and thoughtfulness in using the telephone.

- A. Give the name of the Department and the identity of the speaker.
- B. The person receiving the call should not put the caller on hold waiting for the called party to pick up unless he/she knows the person being called is or will be immediately available. The caller should not be placed on hold for a prolonged period unless he/she asks to and the called party knows they are on hold. Even then the caller should be monitored to insure he/she wishes to remain on hold. Should the caller decide to stop holding, thank them for their patience and take the information cited in step C below.
- C. When a caller leaves a name, number, and/or message, make sure it is recorded correctly and given to the appropriate individual.

Employees are expected to deliver customer requests in a timely manner without friction, apprehension, or causing an undue burden to the customer.

When dealing with an internal or external customer DO:

- Treat them with dignity and respect.
- Be patient, courteous, and polite.
- Listen to the request before you give an answer.
- View the situation from their stand point.
- Try to help them before referring them to another office or department which you know can assist them.
- Repeat the inquiry of the caller so that you accurately record the information they are seeking.

Subject: <b>COURTESY TO THE PUBLIC</b>	Department Policy 1-13	Page 2 of 3
	Effective Date: Upon Approval	

## Department of Public Works and Engineering

When dealing with an internal or external customer **DO NOT:**

- Get angry
- Be defensive (an attitude of defense)
- Keep them waiting or ignore their request
- Be rude
- Talk down to them
- Redirect them to intentionally avoid performing their request.

Customer satisfaction is the key to success in any organization and implementation of the suggestions above can be the key to our department's success.

#### IV. Compliance

Adherence to the above is mandatory. Any employee who violates this policy may be subject to disciplinary action.

Subject:

**COURTESY TO THE PUBLIC**

Department Policy 1-13

Effective Date: Upon Approval

Page 3 of 3

# PROCESS STANDARD

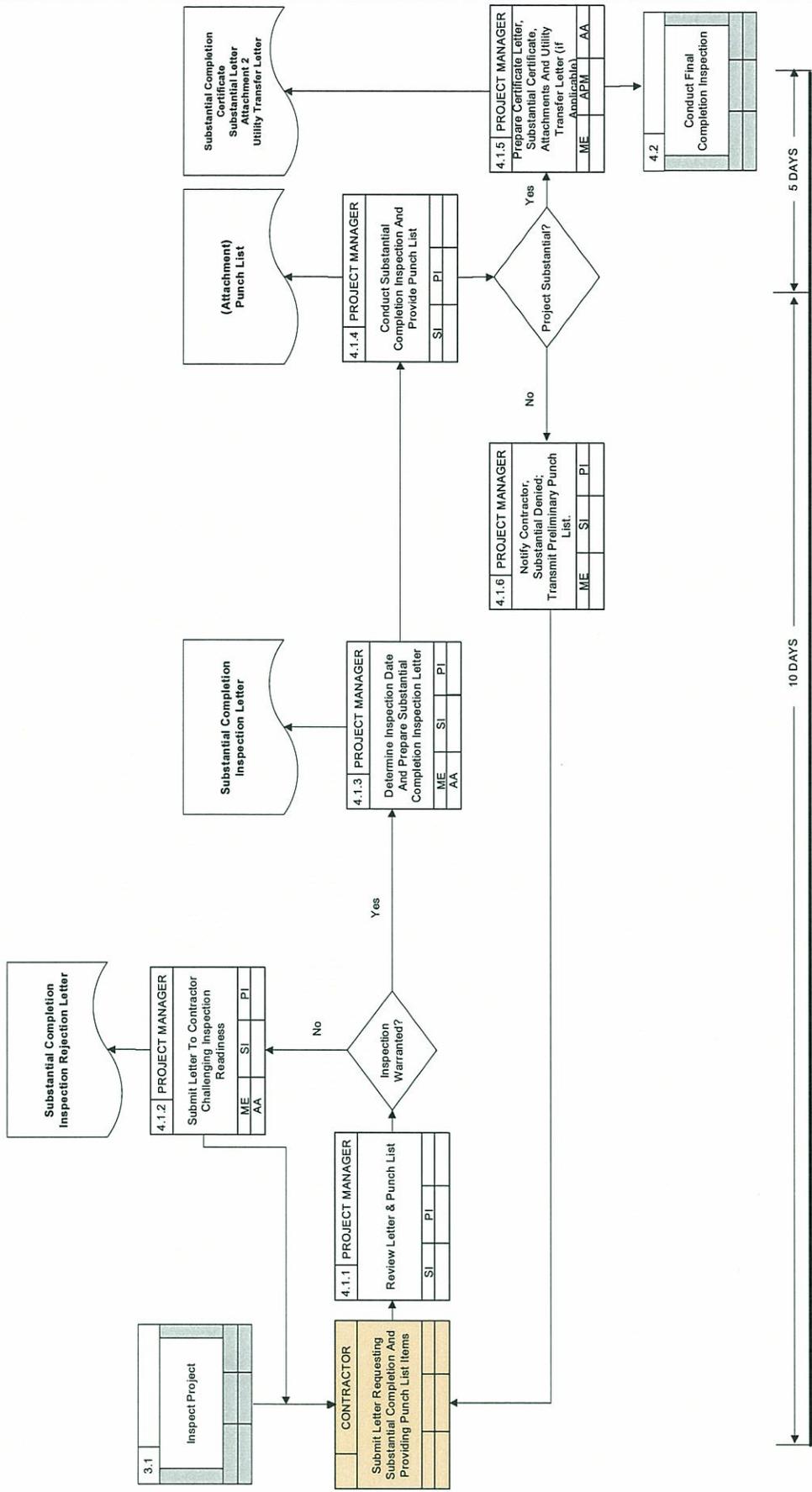


## STANDARDS

### PROCESS 3.11 – Respond to 311 Inquiries (ECD Construction Branch)

1. Senior Inspector should endeavor to determine type of inquiry if not a Construction Branch issue.
2. The Process will be completed within 3 days.
3. Policy 1-13 shall be adhered to when interacting with the public.

# PROCESS 4.1 - CONDUCT SUBSTANTIAL COMPLETION INSPECTION



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

**CONTRIBUTORS**

- DIR = DIRECTOR
- AS = ADMIN SUPERVISOR
- PM = PROJECT MANAGER
- PI = PROJECT INSPECTOR
- DC = DOCUMENT CONTROL
- AM = ASSISTANT PROJECT MANAGER
- ME = MANAGING ENGINEER
- SI = SENIOR INSPECTOR
- EOR = ENGINEER OF RECORD
- DPM = DESIGN PROJECT MANAGER
- AA = ADMINISTRATIVE ASSISTANT

**Activity Conducted By A**

Individual	Organization	Outlets	Branch

**Process Owner(s)**

Code	Process Owner(s)

**SubProcess Or Task**

Code	SubProcess Or Task

(CONTRIBUTORS) Likely to Participate in a Process

**Deliverable**

↑ Suggested Logical dependency between activities

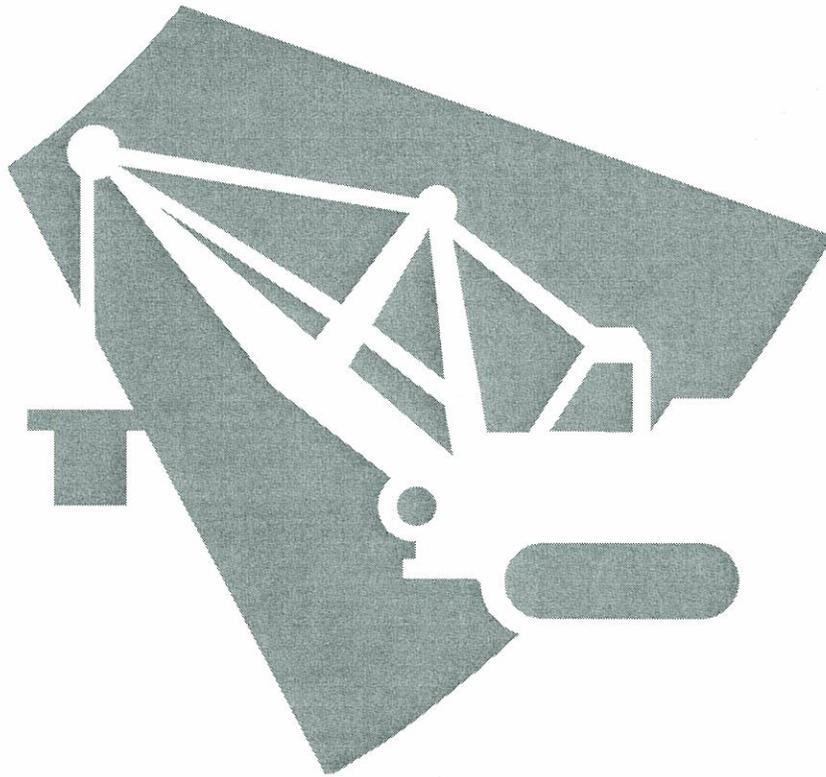
**Update Database**

Drawing Page: 1 of 1

Rev. Nov. 2011



# PROCESS EXAMPLES





# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2480  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

(Contact Person Name)  
(Contractor Company)  
(Contractor Address)  
(City, State & Zip)

**Re: (Project Name)**  
**WBS No. (Number)**  
**Outline Agreement No. (Number)**  
**SUBSTANTIAL COMPLETION INSPECTION**

Dear (Contact Person Name):

Please be advised that the Substantial Completion Inspection of the referenced project will be conducted at (Time) on (Day), (Date). All interested parties will meet at the intersection of (Streets), Key Map Grid (Number XXX-X).

If you should have any questions regarding this inspection, please contact (Project Manager's Name), (Project Manager's Title), at (Phone Number) at your earliest convenience.

Sincerely,

(Managing Engineer's Name)  
Managing Engineer  
Construction Branch  
Engineering & Construction Division

XXX:XXX:xxx

ec:	Sr. Asst. Director	Storm Sewer Maintenance	Senior Inspector
	Engineer of Record	Jim Boxley	Mike Cook (SRR Funding)
	Utility Operations/Maint.	Design Project Manager	Signal Operations
	ROW Maintenance	Owner's Representative	
	Traffic Maintenance	Nick Garefalos (UCS - if water meter is touched)	
	Project File (WBS No./Code)	HCFC Rep (if permit req'd)	





**CITY OF HOUSTON**  
**Department of Public Works & Engineering**  
**Construction Branch**

**PUNCH LIST**

List No. :  
 Project :  
 Location :  
 Inspection was conducted at above project by:

Sheet \_\_\_ of \_\_\_ Sheets  
 No. :  
 Date  
 at

Contractor	Area Const. Mgr.
Owner	Sr. Inspector
	Inspector

The following items are to be corrected and/or completed within thirty (30) days to comply with the contract documents.

No.	Item	Value	Spec. Section	DWG. No.	Date Completed	Engr. Sign Off
1						
2						
3						
4						
5						
6						
7						

\_\_\_\_\_  
 Inspector

\_\_\_\_\_  
 Senior Inspector

\_\_\_\_\_  
 Contractor's Representative



# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2480  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

(Contact Person Name)

(Contractor Company)

(Contractor Address)

(City, State & Zip)

**Re: (Project Name)**  
**WBS No. (Number)**  
**Outline Agreement No. (Number)**  
**SUBSTANTIAL COMPLETION GRANTED**

Dear (Contact Person Name):

As required by General Conditions Article 9.10.2, the City inspected and is hereby issuing the attached Certificate of Substantial Completion for the project referenced above. Attached to this Certificate of Substantial Completion is a list of items which are considered incomplete or incorrect and shall be completed or corrected as stated in the terms of the Certificate.

In order to proceed with the closeout of this project, the following items are required to be submitted:

- Certification of Payment to Subcontractors and Suppliers – Document 00642 – 2 Originals
- Contactor's Certificate of Final Completion – Document 00673 – 2 Originals
- Final Payrolls Submitted to Mayor's Office of Business Opportunity
- Record Documents (As-Builts) delivered
- Consent of Surety – 2 Originals of Each:
  - o Retainage Reduction from 5% to 4%
  - o Retainage Reduction from 4% to 1%
  - o Consent to Final Payment

Substantial Completion Granted

Date

Page 2

If you should have any questions concerning this matter, please feel free to contact me at (Phone Number) or (Project Manager's Name), (Project Manager's Title), at (Phone Number) at your earliest convenience.

Sincerely,

(Managing Engineer's Name)  
Managing Engineer  
Construction Branch  
Engineering & Construction Division

XXX:XXX:xxx

ec: Deputy Director  
Sr. Assistant Director  
Senior Inspector  
Utility Operations/Maintenance  
Row Maintenance  
Project File (WBS No./Code)

Storm Sewer Maintenance  
Design Consultant  
Design Project Manager  
Owner's Representative  
Mike Cook (SRF Funding)

Document 00645

CERTIFICATE OF SUBSTANTIAL COMPLETION

PROJECT: \_\_\_\_\_  
OA No.: \_\_\_\_\_ WBS No.: \_\_\_\_\_

TO: [CONTRACTOR'S NAME] \_\_\_\_\_  
Contractor and [CONTRACTOR'S ADDRESS] \_\_\_\_\_  
Address for Written Notice \_\_\_\_\_

- 1.01 DATE OF SUBSTANTIAL COMPLETION  
The Work performed under the Contract was inspected on  (DATE)  and found to be substantially complete. The Date of Substantial Completion of the Work is hereby established as  (DATE) .
- 1.02 PUNCH LIST  
A list of items to be completed or corrected, prepared by Contractor and verified by Project Manager, (the "Punch List") is attached hereto. Failure to include any items on such list does not alter the responsibility of Contractor to complete the Work in accordance with the Contract. Contractor shall complete or correct the Work on the Punch List attached hereto within      days from the above Date of Substantial Completion.
- 1.03 OCCUPANCY BY THE CITY  
Department of Public Works & Engineering will assume full possession at 12:00 pm on  (DATE) .
- 1.04 CONSENT OF SURETY  
Contractor shall obtain consent of Surety for approval of reduction in retainage.
- 1.05 WARRANTY PERIOD  
Warranties required by the Contract will commence on the above Date of Substantial Completion.

_____ Senior Inspector	_____ Signature	_____ Date
_____ Project Manager	_____ Signature	_____ Date
_____ Managing Engineer	_____ Signature	_____ Date
_____ City Engineer	_____ Signature	_____ Date

END OF DOCUMENT

ec: ENGINEER OF RECORD, Rudy Garcia, Roland Mosley, Sam Lathrum, Tony Henshaw, Morris Scott, SR. AD, DESIGN PROJECT MANAGER, Admin. Supervisor [*Other Copy Attendees*], File (WBS NO./CODE)



**CITY OF HOUSTON**  
Public Works and Engineering  
Department

**Interoffice**

Correspondence

**To:** Felix Johson, P.E.  
Assistant Director  
General Services Division

**From:** Managing Engineer  
Construction Branch  
Engineering & Construction Division

**Date:** Date

**Subject: PROJECT NAME  
WBS NO. (NUMBER)  
TRANSFER OF POWER, WATER AND  
TELEPHONE SERVICES**

The above-referenced project is substantially complete. Please transfer utility and telephone services to (ADDRESS) to the city of Houston. Please take the necessary steps in processing this request for transfer and payment in accordance with the following attachments:

1. Transfer of Service Agreement – SWB
2. Utility Transfer Request Data Sheet
3. Current Southwestern Bell Telephone bill
4. Current City of Houston water bill
5. Current Reliant Energy electricity bill
6. Current CenterPoint Energy gas bill

If you need any further information, please call (Project Manager) of my staff at (Phone Number).

(Managing Engineer's Name)

XXX:xxx

Attachments

ec: Deputy Director  
Sr. Assistant Director  
Project Manager

Project Manager  
Contractor  
Project File (WBS No./Code)

## Utility Transfer Request Data Sheet

Effective Date of Utility Transfer: \_\_\_\_\_  
(Substantial Completion Date)

Project Manager: \_\_\_\_\_

Phone #: \_\_\_\_\_

### Facility Information

Facility Name: \_\_\_\_\_

GFS No.: \_\_\_\_\_

File No.: \_\_\_\_\_

Service Area: \_\_\_\_\_

### Contractor Information

Contractor Name: \_\_\_\_\_

Contractor Phone: \_\_\_\_\_

Contractor Fax: \_\_\_\_\_

Contact Individual: \_\_\_\_\_

### Account Information

#### Electric

Account Name: \_\_\_\_\_ Attach copy of Contractor's last bill.

Meter No.: \_\_\_\_\_

Deleting Old Meter No.: \_\_\_\_\_

#### Gas

Account Name: \_\_\_\_\_ Attach copy of Contractor's last bill and

#### Telephone

Account Name: \_\_\_\_\_ Attach copy of Contractor's last bill and

Phone No. To be Transferred: \_\_\_\_\_ Attach original Southwestern Bell "Transfer of Service Agreement" signed by the Contractor.

#### Water

Account Name: \_\_\_\_\_ Attach copy of Contractor's last bill.

**TRANSFER OF SERVICE AGREEMENT**

I hereby release the use of telephone number \_\_\_\_\_  
to \_\_\_\_\_.

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
OFFICER OF PRESENT CORPORATION

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
PRESENT OWNER OR PARTNER

I hereby assume all charges outstanding on the telephone number \_\_\_\_\_ either billed or unbilled, including charges for white page directory advertising or white page listings. Directory advertising includes directory associated with the telephone number in the white pages of the current issue of the directory as well as for subsequent issues as described in an application for white page advertising signed by the present customer.

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
OFFICER OF NEW CORPORATION

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
NEW SOLE OWNER OR PARTNER



# CITY OF HOUSTON

Public Works and Engineering  
Department

## Interoffice

---

Correspondence

**To:** Leaneice Brown  
Project Manger  
Traffic Engineering & Management Area

**From:** Project Manager  
Construction Branch  
Engineering and Construction Division

**Date:** DATE

**Subject:** **PROJECT NAME;**  
**WBS NUMBER: X-XXXXXX-XXXX-X;**  
**STREET LIGHTS**

This memo is to inform you that all digging on [Street Name or Project Area] have been completed on the subject project. Maps have been attached for CenterPoint Energy's convenience which identifies the boundaries of this project. Please contact CenterPoint Energy and request the street light service to be restored in these areas.

Please ask them to be careful when they dig and watch out for service lines. Any City facilities which are impacted as a result of their work remains their responsibility.

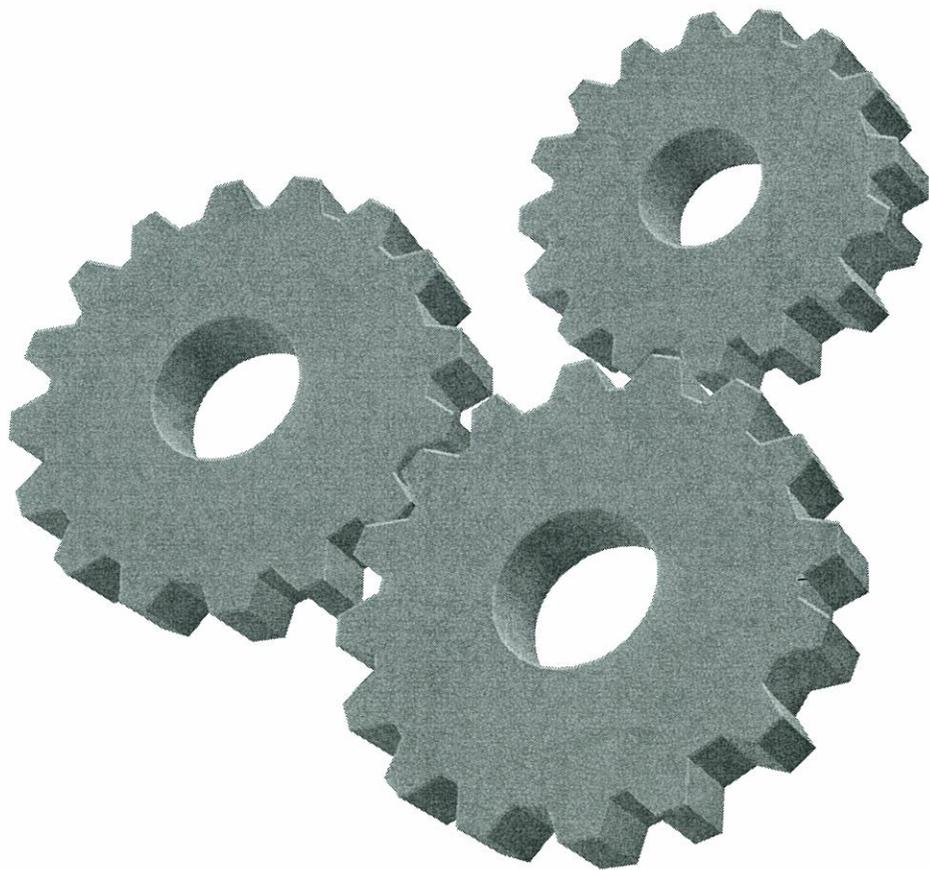
Should you have any questions, please contact me at 832-395-XXXX.

[Project Manager's Name]

XXX:xxx

ec: [Managing Engineer's Name]  
WBS No. X-XXXXXX-XXXX-X (2.5)

# PROCESS STANDARD

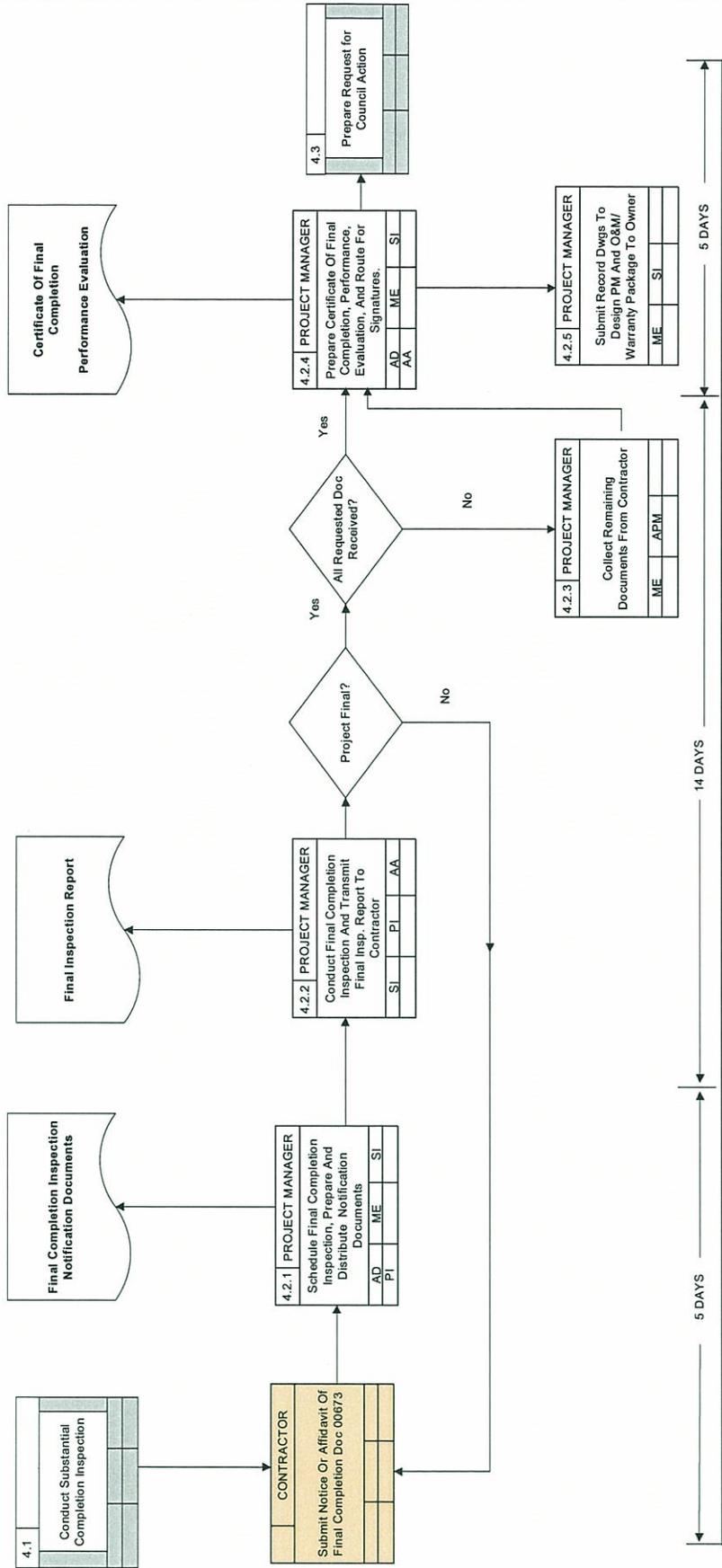


## STANDARD

### PROCESS 4.1 – CONDUCT SUBSTANTIAL COMPLETION INSPECTION AND CERTIFY PROJECT IS SUBSTANTIALLY COMPLETE

1. Contractor shall request by letter substantial completion and provide punch list of items remaining. Project shall meet all Contract requirements for Substantial Completion.
2. Project Manager shall obtain concurrence from Project Inspector and Senior Inspector that the project is ready for inspection. If concurrence is not obtained, notify Contractor in writing that the request for substantial completion has been rejected.
3. Project Managers should ensure that representatives from all appropriate owner/operators received a minimum of one week notice prior to the Substantial Completion Inspections.
4. The following individuals should be notified in writing of the inspection:
  - a. Contractor
  - b. All City Owners/Operators
  - c. Senior Inspector
  - d. Project Inspector
  - e. Design Project Manager
  - f. Engineer of Record
  - g. Other Involved Agency Representatives
5. Project Manager shall prepare the punch list in CIPMS.
6. Any approvals from other agencies should be obtained by the inspection date, such as TDLR, Certificate of Occupancy as per General Condition 9.9.3.
7. Project Managers should transmit Substantial Completion Certificate and punch list to the contractor five days from the inspection date.
8. Project Manager may consider the release of retainage from 5% to 4% upon receipt of closeout documents listed in the Substantial Completion Letter.
9. Upon receipt of the As-Built Drawings, the Project Manager shall transmit these documents to the Design Project Manager so that the revisions will be included in the official final project drawings held by the Engineer of Record.
10. If all Change Orders have been processed and all pay items have been reported, Project Manager may request a pre-draft from the Assistant Project Managers to send to the Contractor for signature immediately after the Certificate of Substantial Completion has been issued.

# PROCESS 4.2 - CONDUCT FINAL COMPLETION INSPECTION



## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend



Code	Process Owner(s)		
AD	ME	PI	SI
SubProcess Or Task			
AD	ME	PI	SI

(CONTRIBUTOR) Likely to Participate in the Process

Code	Process Owner(s)		
AD	ME	PI	SI
SubProcess Or Task			
AD	ME	PI	SI

Other Contributor  
Activity Conducted By A Individual Or Organization Outside The Construction Branch

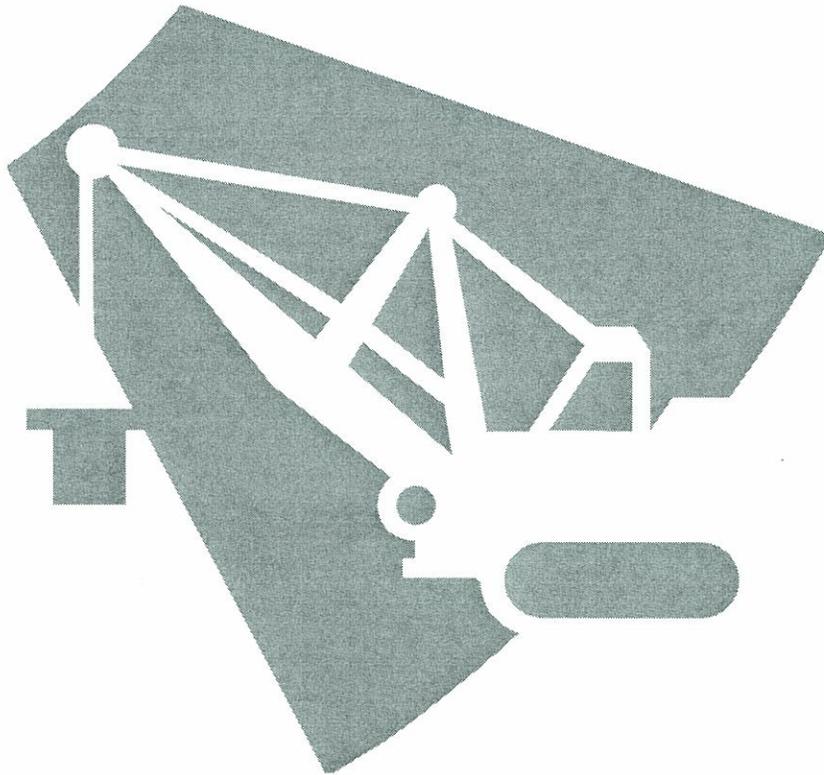
ME	MANAGING ENGINEER
SI	SENIOR INSPECTOR
EOR	ENGINEER OF RECORD
DPM	DESIGN PROJECT MANAGER
DC	DOCUMENT CONTROL
AA	ADMINISTRATIVE ASSISTANT
APM	ASSISTANT PROJECT MANAGER

**Deliverable**

Suggested Logical dependency between activities

**Update Database**

# PROCESS EXAMPLES



Document 00673

CONTRACTOR'S CERTIFICATION OF FINAL COMPLETION

CERTIFICATE OF FINAL COMPLETION OF: *(PROJECT TITLE)*

WBS No.: \_\_\_\_\_

O/A No.: \_\_\_\_\_

Contract Dated: \_\_\_\_\_

STATE OF TEXAS  
COUNTY OF HARRIS

BEFORE ME, the undersigned authority, a Notary Public in and for the State of Texas, on this day personally appeared \_\_\_\_\_ who, being by me duly sworn, on his oath says that he or she is \_\_\_\_\_ of \_\_\_\_\_ the Contractor who has performed a contract with the City of Houston for the construction of the Work described above, and is duly authorized to make this affidavit; that he or she has personally examined the Work described above as required by the Contract Documents that said Work and all items thereof have been completed and all known defects made good; that all surplus material, refuse, dirt and rubbish have been cleaned up and removed or disposed of as directed by the City Engineer; that all parts of Work are in a neat, tidy, finished condition and ready in all respects for acceptance by the City; that all gravel or shell roadway surfaces removed during the course of the Work have been replaced in accordance with the specifications, that rates of pay for all labor employed on said Work have not been below the minimum set out in "Labor Classification and Minimum Wage Scale" in Contract Documents and that within the knowledge of affiant all just bills for labor and material and for the rental or use of any equipment or apparatus, used in, on, or in connection with the Work have been paid in full by the Contractor.

By: \_\_\_\_\_

Sworn to and subscribed before me this  
\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

\_\_\_\_\_  
Notary Public in and for the State of Texas

\_\_\_\_\_  
[Name printed]

My Commission expires: \_\_\_\_\_



# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832-395-2500  
F. 832-395-2480  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

(Contact Person Name)  
(Contractor Company)  
(Contractor Address)  
(Contractor City, State & Zip)

**Re: (Project Name)**  
**WBS No. (Number)**  
**Outline Agreement No. (Number)**  
**FINAL INSPECTION**

Dear (Contact Person Name):

Please be advised that the Final Inspection of the above-referenced project will be conducted at (Time), (Day), (Date). All interested parties will meet at the intersection of (Streets), Key Map Grid (Numbers XXX-X).

If you should have any questions concerning this matter, please feel free to contact me at (Phone Number) or (Project Manager's Name), (Project Manager's Title), Construction Branch at (Phone Number) at your earliest convenience.

Sincerely,

(Managing Engineer's Name)  
Managing Engineer  
Construction Branch  
Engineering & Construction Division

XXX:XXX:xxx

ec: Deputy Director  
Sr. Asst. Director  
Senior Inspector  
Utility Operations/Maintenance  
Signal Operations  
Project File (WBS No./Code)  
**(Others as Necessary)**

Owner's Representative  
Estimator  
Design Project Manager  
Inspector  
Jim Boxley  
Nick Garefalos (UCS - if water meter is touched)

Mike Cook (SRF Funding)  
Engineer of Record  
Storm Sewer Maintenance  
Row Maintenance





# CITY OF HOUSTON

Department of Public Works and Engineering

## Interoffice

Correspondence

**To:** Council Member Name  
Council Member, District (Letter)

**From:** Senior Assistant Director  
Construction Branch  
Engineering & Construction Division

**Date:** (Date)

**Subject:** **PROJECT NAME;**  
**WBS NO. (NUMBER);**  
**FINAL INSPECTION**

Please be advised that the Final Inspection of the subject project has been scheduled and will be conducted at (Time), (Day), (Date). All interested parties will meet at the intersection of (Streets), Key Map Grid (Number XXX-X).

Should you have any questions concerning this matter, please contact (Managing Engineer's Name), Managing Engineer, Construction Branch at (Phone Number) at your earliest convenience.

(Senior Assistant Director's Name)

XXX:XXX:xxx

ec: Deputy Director  
Project File (WBS No./Code)



City of Houston  
Department of Public Works and Engineering  
Construction Branch  
**FINAL INSPECTION REPORT**

PROJECT NAME: \_\_\_\_\_ WBS NO: \_\_\_\_\_  
FILE/PROJECT NO.: \_\_\_\_\_ CONTRACT NO.: \_\_\_\_\_  
CONTRACTOR: \_\_\_\_\_

In accordance with General Conditions Article 9.12.3, the City Engineer made a Final Inspection of the Work and found the Work acceptable under the Contract Documents and fully performed. The City Engineer hereby states that to the best of the City Engineer's knowledge, information, and belief, the Work has been completed in accordance with the terms and conditions of the Contract Documents, and recommends acceptance of the Work by the City Council.

EXCEPTIONS	DATE COMPLETED

DATE OF INSPECTION: \_\_\_\_\_

CONTRACTORS REPRESENTATIVES:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

CITY OF HOUSTON REPRESENTATIVES:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

WORK NOTED IN EXCEPTIONS ABOVE COMPLETED ON: \_\_\_\_\_

CONTRACTORS  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

CITY OF HOUSTON REPRESENTATIVES:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Document 00650

CERTIFICATE OF FINAL COMPLETION

PROJECT: [LEGAL PROJECT NAME]  
O/A No.: \_\_\_\_\_ PROJECT No.: [WBS NUMBER.]

TO: [CONTRACTOR'S COMPANY NAME]  
Contractor and [CONTRACTOR'S ADDRESS]  
Address for Written Notice \_\_\_\_\_

1.01 DATE OF FINAL COMPLETION

The Work performed under the Contract was inspected on [DATE INSPECTED], and found to be complete. The date of final completion of the Work is hereby established as [DATE OF FINAL COMPLETION].

1.02 PUNCH LIST

Contractor certified in Document 00673 – Contractor's Certification of Final Completion that all Punch List items were completed or corrected. Failure to identify incomplete work items or requirements of the Contract prior to issuance of this Certificate does not alter the responsibility of Contractor to comply with all provisions of the Contract.

1.03 ACCEPTANCE OF THE WORK

Based on inspection and to the best of our knowledge, information and belief, the Work has been completed in accordance with the terms and conditions of the Contract and we recommend acceptance of the Work by City Council or their delegated authority.

[Printed Name] \_\_\_\_\_  
Senior Inspector Signature \_\_\_\_\_ Date \_\_\_\_\_

[Printed Name] \_\_\_\_\_  
Project Manager Signature \_\_\_\_\_ Date \_\_\_\_\_

[Printed Name] \_\_\_\_\_  
Managing Engineer Signature \_\_\_\_\_ Date \_\_\_\_\_

[Printed Name] \_\_\_\_\_  
City Engineer Signature \_\_\_\_\_ Date \_\_\_\_\_

END OF DOCUMENT

ec: ENGINEER OF RECORD, Rudy Garcia, Roland Mosley, Sam Lathrum, Tony Henshaw, Morris Scott, SENIOR ASSISTANT DIRECTOR, DESIGN PROJECT MANAGER, Admin. Supervisor, [Other Copy Addees], [File]

**CITY OF HOUSTON  
DEPARTMENT OF PUBLIC WORKS AND ENGINEERING  
ENGINEERING AND CONSTRUCTION DIVISION  
CONSTRUCTION CONTRACTOR PERFORMANCE EVALUATION**

WBS NO.: \_\_\_\_\_

Project No. \_\_\_\_\_

Substantial Completion Date: \_\_\_\_\_

Name and Address of Contractor: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Project Description: \_\_\_\_\_

Names of First Line Subcontractors and Brief Description of Work Performed:

\_\_\_\_\_  
 \_\_\_\_\_

Evaluation and Rating: To be filled out within 10 days after project has been determined Substantially Complete.

Evaluation Criteria: **-O-** Outstanding **-S-** Satisfactory **-U-** Unsatisfactory Please indicate with a check mark in proper column

**-O-**    **-S-**    **-U-**

**Give Reasons for Other Than Satisfactory Rating(s).**

**1. Project Construction:**

- A)    \_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_    Quality of Work: Performance In Obtaining Quality Of Work: Did the contractor need to be reminded about specifications and quality  
 \_\_\_\_\_
- B)    \_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_    Timely Performance: Did the contractor complete the project on time?  
 \_\_\_\_\_
- C)    \_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_    Safety: (Employee's and Public). Were temporary walkways / driveways inplace etc..?  
 \_\_\_\_\_

**2. Management and Staffing:**

- A)    \_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_    Superintendent: Superintendent and Contractors Project Manager: Were they readily available and easy to communicate with?  
Were Dlocuments Timely?  
 \_\_\_\_\_
- B)    \_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_    Designated Foreman In Field With Each Crew: Was the foreman responsive? Were they mindful of the specifications?  
 \_\_\_\_\_

**3. Response and Cooperation:**

- A)    \_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_    Within the City of Houston: With City of Houston Personnel: Any issues with inspectors, flagmen, valvemen, permits, or managemen  
 \_\_\_\_\_
- B)    \_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_    With Private Utilities: With Other Stakeholders: (utilities, merchants)etc.) : Issues with utility companies, merchants, civic associatio  
 \_\_\_\_\_
- C)    \_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_    With Public Residents: With Citizens:  
 \_\_\_\_\_

**4. Construction Site Operations:**

- A)    \_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_    Signing and Traffic Control: Traffic control per plan, permits in place, safe?  
 \_\_\_\_\_
- B)    \_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_    Works Within Right-of-Way: Works Within Construction Zone: Did they park equipment out of the zone? Have they encroached in o  
areas?  
 \_\_\_\_\_
- C)    \_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_    Keeps Damage to Existing Structures to a Minimum: Has protective measures in place for existing structures: Is tree protection in p  
SWPPP installed, etc...?  
 \_\_\_\_\_





# CITY OF HOUSTON

Department of Public Works and Engineering

## Interoffice

Correspondence

**To:** (Managing Engineer)  
Engineering Branch

**From:** Managing Engineer  
Construction Branch  
Engineering and Construction division

**Date:** (Date)

**Attn:** Design Project Manager)

**Subject:** **(PROJECT NAME)**  
**WBS NO. (NUMBER)**  
**CONTRACTOR'S RECORD DRAWINGS**  
**DRAWING NO. (NUMBER)**

The above-referenced project is complete. The Substantial Completion date is (DATE). We are transmitting the Record Drawings for your information. After the information has been posted to the original drawing, please return this set so that it may be archived.

Managing Engineer's Name

XXX:xx:

ec: Senior Assistant Director  
Administrative Manager  
Project File (**WBS No./Code**)



# CITY OF HOUSTON

Public Works and Engineering  
Department

## Interoffice

---

Correspondence

**To:** (Contact Person Name)  
Managing Engineer  
(COH Division)

**From:** Managing Engineer  
Construction Branch  
Engineering & Construction Division

**Date:** (Date)

**Subject:** **PROJECT NAME;**  
**WBS NO. (NUMBER);**  
**O & M MANUALS**

Attached for your reference are four (4) copies of the Operation & Maintenance Manual for the (Description of Equipment) on the subject project.

Please acknowledge receipt by signing below. If you have any questions, you may contact me at (Phone Number) or (Project Manager's Name), (Project Manager's Title) at (Phone Number).

(Managing Engineer's Name)

---

Name of Recipient

---

Signature

---

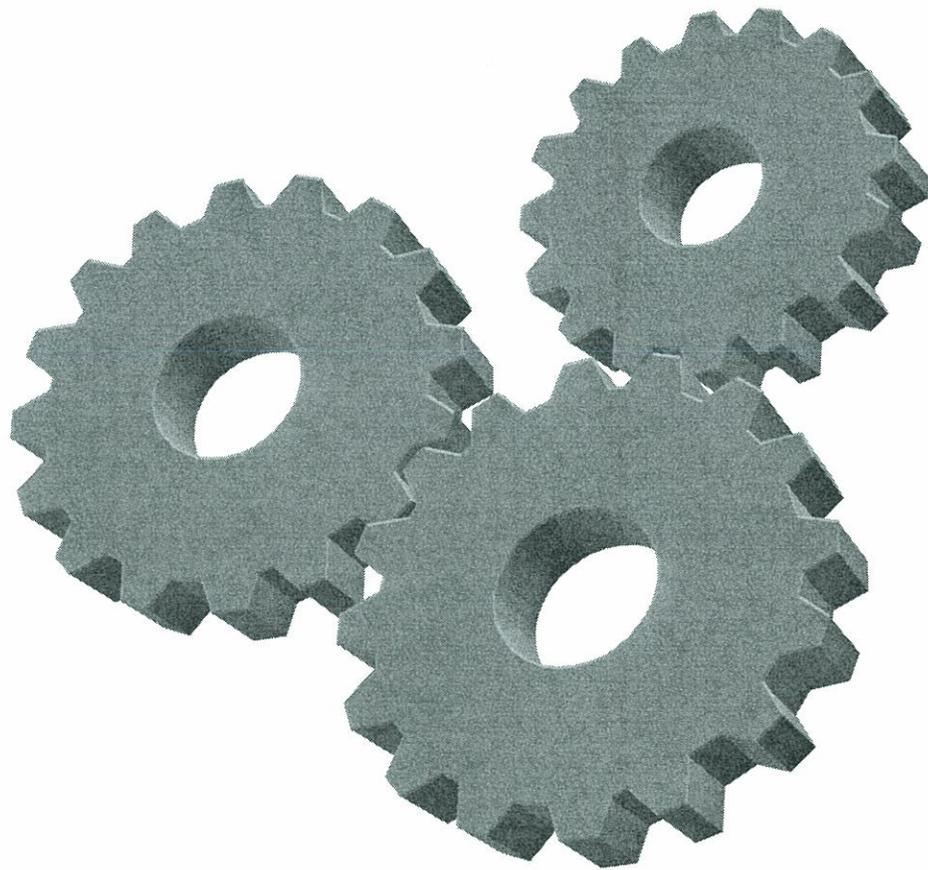
Date

XXX:XXX:xxx

Attachment(s)

ec: Project File (WBS No./Code)

# PROCESS STANDARD

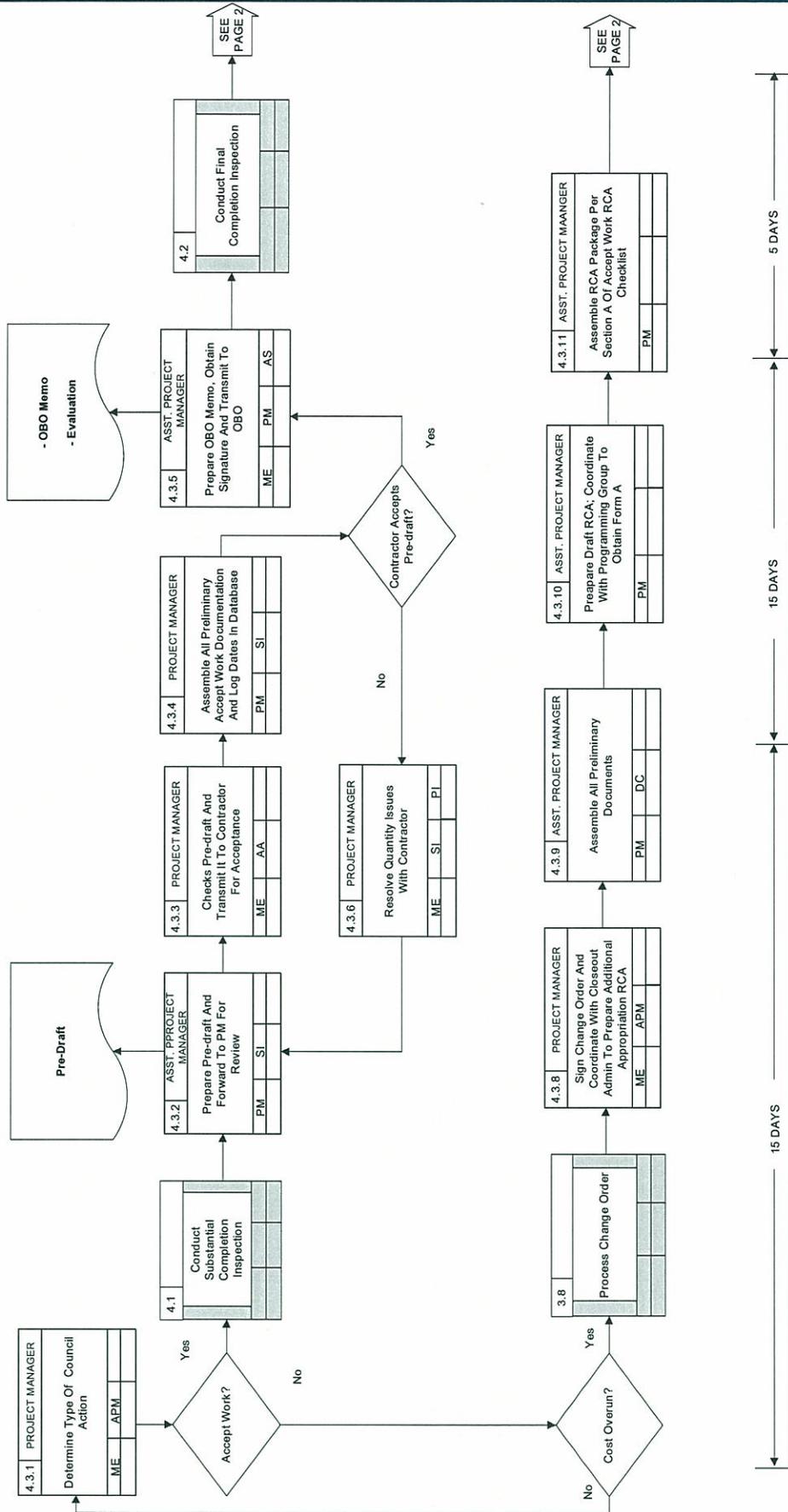


## STANDARD

### PROCESS 4.2 – CONDUCT FINAL INSPECTION

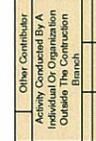
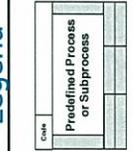
1. Project Managers should ensure that representatives from all appropriate owner/operators receive a minimum one week notice prior to the Final Completion Inspection.
2. The following individuals should be notified of the inspection:
  - a. Owner/Operators
  - b. Senior Inspector
  - c. Project Inspector
  - d. Engineer of Record
  - e. City of Houston Design Project Manager
  - f. Council Members Office
  - g. Stakeholders
3. Project Managers should transmit Certificate of Final Completion five days from the inspection date. The Certificate of Final Completion shall not be issued until all required documents are submitted per General Conditions 9.11.4 as follows:
  - a. Affidavit that payrolls, invoices and any indebtedness of Contractor connected with the Work have been paid or otherwise satisfied.
  - b. Evidence that required Insurance to remain in force after final payment is current and in effect.
  - c. Statement that Contractor knows of no substantial reason that insurance will not be renewable to cover correction and warranty period
  - d. Consent of Surety to final payment
  - e. Copies of record documents, operation & maintenance manuals, tests, inspections and approvals.
4. Upon submission of required documents, Contractor may request for retainage to be released to 1%.
5. Project Manager shall work with the Project Inspector and Senior Inspector to complete the contractor's evaluation.

# PROCESS 4.3 - PREPARE REQUEST FOR COUNCIL ACTION



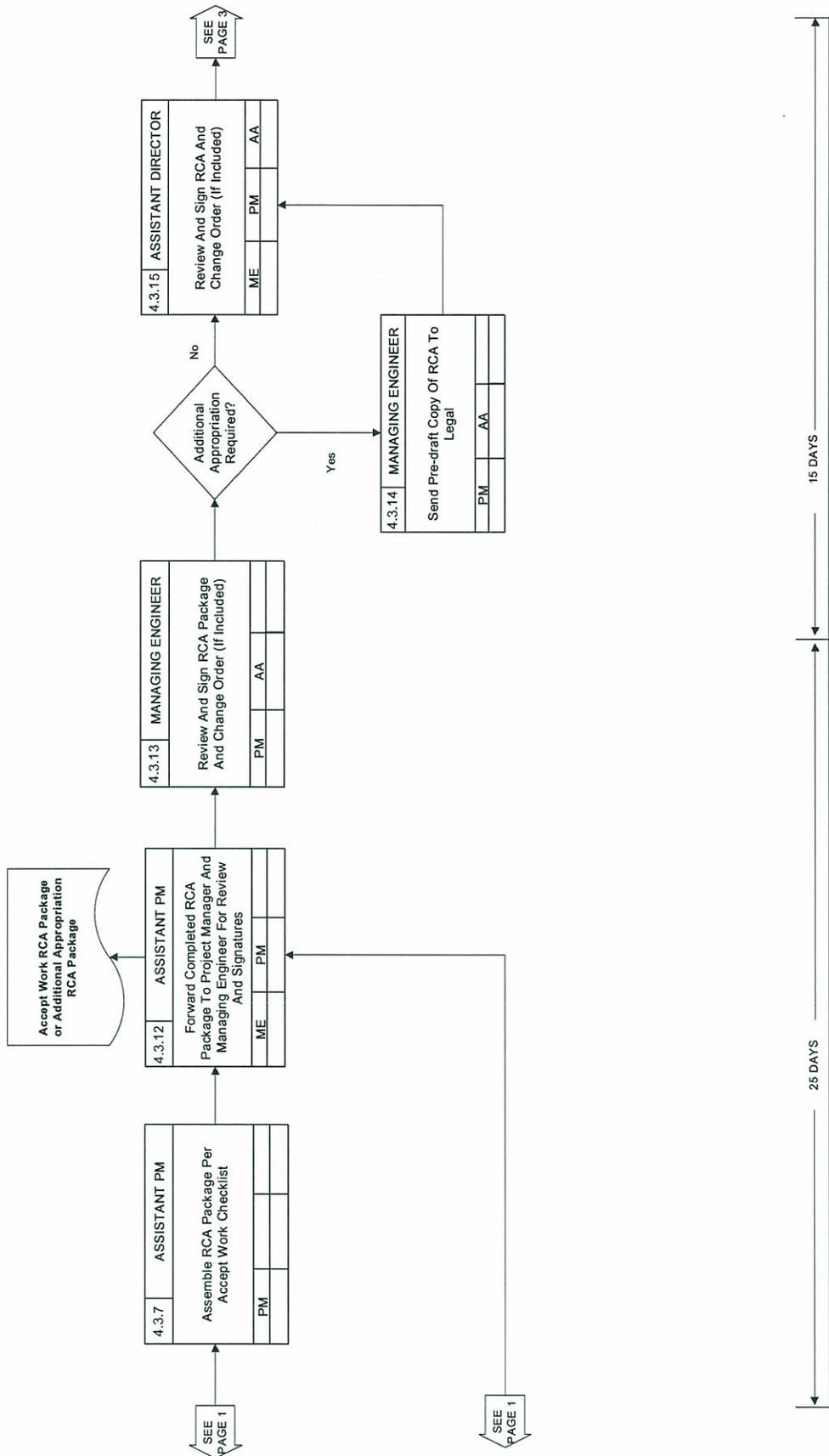
## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend



(CONTRIBUTOR) Likely to Participate in a process

# PROCESS 4.3 - PREPARE REQUEST FOR COUNCIL ACTION



25 DAYS | 15 DAYS

## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend



Code	Process Owner(s)
AD	ASST. DIR.
PM	PROJECT MANAGER
SI	SENIOR INSPECTOR
PI	PROJECT INSPECTOR

Code	SubProcess Or Task
AD	ASST. DIR.
PM	PROJECT MANAGER
SI	SENIOR INSPECTOR
PI	PROJECT INSPECTOR

Code	Other Contributor
AD	ASST. DIR.
PM	PROJECT MANAGER
SI	SENIOR INSPECTOR
PI	PROJECT INSPECTOR

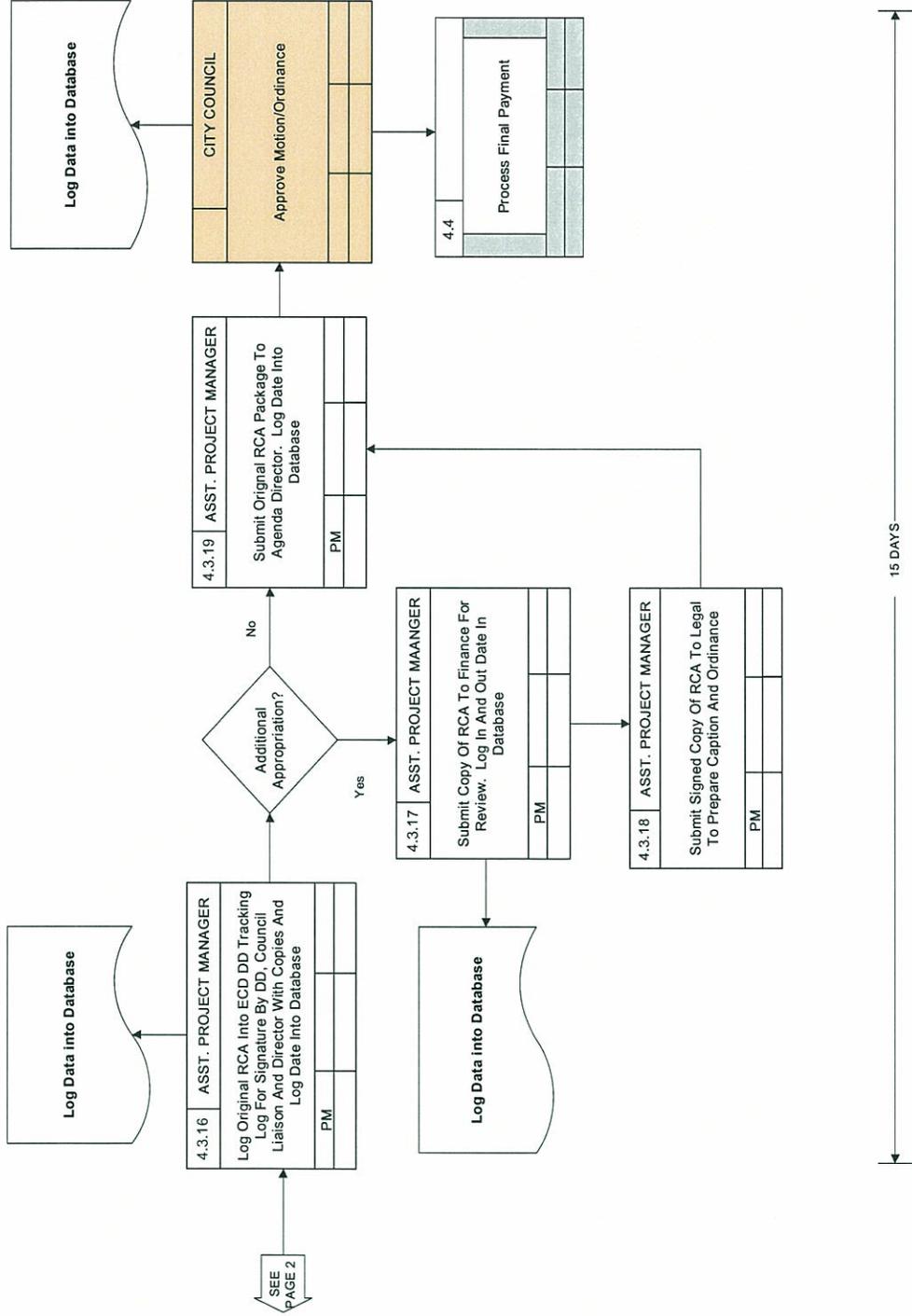
- ME - MANAGING ENGINEER
- SI - SENIOR INSPECTOR
- EOR - ENGINEER OF RECORD
- DPM - DESIGN PROJECT MANAGER
- DC - DESIGN CENTER ADMINISTRATIVE ASSISTANT
- APM - ASSISTANT PROJECT MANAGER

**Deliverable**

Suggested Logical dependency between activities

Update Database

# PROCESS 4.3 - PREPARE REQUEST FOR COUNCIL ACTION

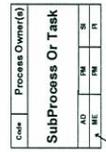
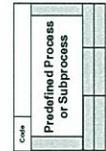


15 DAYS

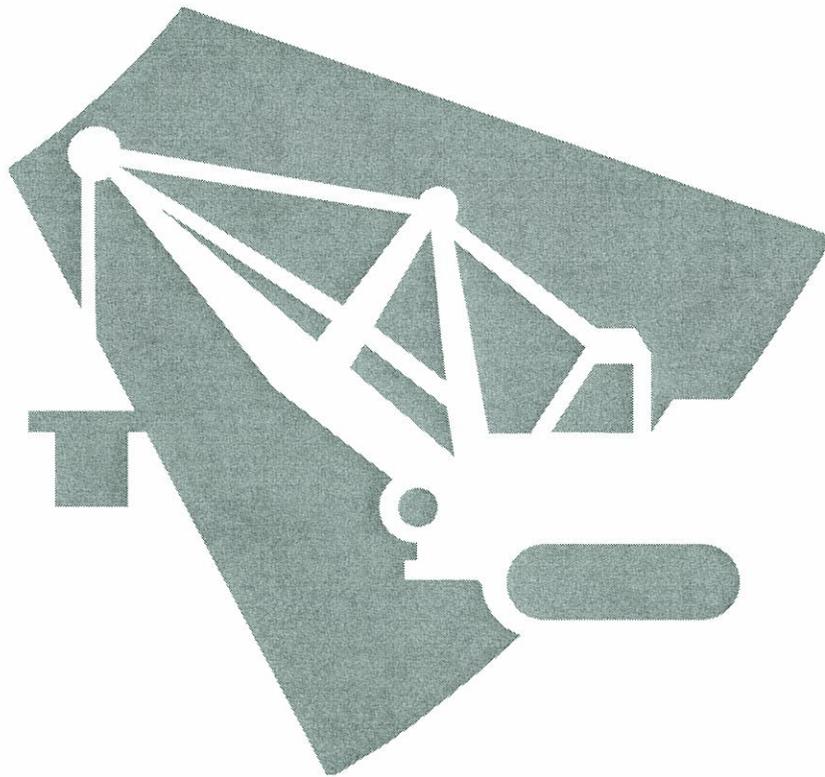
## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP



### Legend



# PROCESS EXAMPLES





# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2480  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

(Contact Person Name)

(Company Name)

(Company Address)

(City, State Zip Code)

**Re: (Project Name)  
WBS No. (Number), Contract No. (Number)  
PRELIMINARY DRAFT OF THE FINAL ESTIMATE**

Dear (Contact Person Name):

Enclosed herewith for your consideration is the Department of Public Works and Engineering Preliminary Draft of the Final Estimate covering the subject project. Enclosed you will also find an Affidavit of Ownership or Control.

The Preliminary Draft of the Final Estimate was prepared from information in the Construction files, our Inspector's Daily Reports, and our Field Party measurements. It is believed that the final estimate is correct. Your attention is called to the condition that this estimate will represent the final payment due on the subject project. Therefore, additional payments covering both Contract quantities and any Extra items cannot be made subsequent to the issuance of the Final Estimate. The following procedures are required:

1. Please check the Draft of the Final Estimate. Should there be any questionable items, such items should be verified and reviewed with our Project Manager. If acceptable, the Estimate should be signed and returned to this office.
2. The Affidavit of Ownership should be completed, signed, notarized and returned to this office.

These items should be accepted or rejected and returned to this office within ten (10) working days from receipt of this letter. Otherwise, the Final Estimate will be processed for final payment. In addition, please provide the Consent of Surety for the reduction of retainage and final payment.

Preliminary Draft of the Final Estimate

Date

Page 2

Your prompt assistance and cooperation in expediting this matter will be greatly appreciated. Should you have any questions or require additional information, please contact me at (Phone Number) or (Project Manager Name), (Project Manager's Title), Construction Branch at (Phone Number).

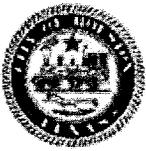
Sincerely,

(Managing Engineer's Name)  
Managing Engineer  
Construction Branch  
Engineering and Construction Division

XXX:XXX:xxx

Enclosures

ec: Sr. Assistant Director  
Senior Inspector  
Assistant Project Manager  
File No. (WBS No./Code)



**CITY OF HOUSTON**  
**Department of Public Works & Engineering**

Estimate No. : Final  
 Cut Off Date :  
 Estimate Date :

**ESTIMATE AND CERTIFICATE FOR  
 PAYMENT UNIT PRICE WORK**

Project Name :  
 Contractor Name :  
 Address :

Contract No. :  
 File No. :  
 WBS No. :  
 Ord. No. :

**CONTRACT TIME IN CALENDAR DAYS**

Contract Date :  
 Start Date :  
 Current Contract Completion Date :  
 Substantial Completion Date :  
 Percentage By Time : In Place :  
 Date Insurance Exp. : Drug Policy Due Date :

Original Contract Time :  
 Approved Extensions :  
 Total Contract Time :  
 Days Used to Date :  
 Days Remaining to Date :  
 Schedule Update Received :

**CONTRACT AMOUNT TO DATE :**

1. Original Contract Amount
2. Approved Change Orders

No	Date	Ext.Days	Amount

Total Change Orders to Date \_\_\_\_\_  
**TOTAL CONTRACT AMOUNT** \_\_\_\_\_

**A. EARNINGS TO DATE**

- |  |               |        |
|--|---------------|--------|
| 1. Work Completed to Date                  | Complete      | _____  |
| 2. Material Stored on Site                 | \$ 0.00       | _____  |
| 3. Material Stored in Place                | \$ 0.00       | _____  |
| 4. Balance-Materials Accepted Not in Place | \$ 0.00 @ 85% | \$0.00 |
| 5. Advance Allowance                       |               | \$0.00 |

**TOTAL EARNINGS TO DATE** \_\_\_\_\_

**B. DEDUCTIONS**

- |                                 |                      |        |
|---------------------------------|----------------------|--------|
| 1. Retainage                    | 5.00 % Of            | _____  |
| 2. Retainage Release            | 5.00 % Of            | _____  |
| 3. Total Retainage              |                      | \$0.00 |
| 4. Liquidated Damages           | 0.00 Days @ \$800.00 | \$0.00 |
| 5. Quality Control Retest Cost  |                      | \$0.00 |
| 6. Sunday/Holiday Overtime Cost |                      | \$0.00 |

**TOTAL DEDUCTIONS** \$0.00

**C. AMOUNT DUE THIS PERIOD**

- |                           |        |
|---------------------------|--------|
| 1. Total Earnings to Date | _____  |
| 2. Total Deductions       | \$0.00 |
| 3. Total Payments Due     | _____  |
| 4. Less Previous Payments | _____  |
| 5. Restoration Adjustment | \$0.00 |

**TOTAL AMOUNT DUE CONTRACTOR THIS DATE** \_\_\_\_\_

**PRELIMINARY DRAFT FOR FINAL ACCEPTANCE CONTRACT**

Prepared By _____	Checked By _____
Date _____	Date _____
Reviewed By _____	Submitted By _____
Date _____	Date _____
Approved _____	Approved _____
DIRECTOR OF PUBLIC WORKS AND ENGINEERING	CONTRACTOR REPRESENTATIVE
Date _____	Date _____



**CITY OF HOUSTON**  
 Department of Public Works & Engineering  
 Street and Bridge/Stormwater Engineering and Construction Branch

**Contract Bid Item**

Project Name :  
 Contractor Name : JFT Construction, Inc.

Project No. : N-000716-0001-4  
 Contract No. : 4600009560

<u>Item No</u>	<u>User Def No</u>	<u>Category</u>	<u>Description</u>	<u>Unit</u>	<u>Plan</u>		<u>Remaining Quantity</u>	<u>Unit Price</u>	<u>Total</u>
		<b>GENERAL</b>							
1			Mobilization	LS					
2			Traffic Control and regulation	LS					
3			lagmen	LS					
4			Install low profile concrete barrier	LF					
5			Relocate low profile concrete barrier	LF					
6			Remove low profile concrete barrier	LF					
7			Filter fabric fence	LF					
8			Inlet protection barrier	LF					
9			Stabilized construction exit	SY					
10			Ground water control for open-cut construction	LF					
11			Trench safety system for trench excavations	LF					
12			Hydromulch seeding	Ac					
13			Sodding	SY					
14			Tree and plant protection	LS					
15			Zero curb cut back	LF					
16			Install and remove temporary asphalt pavement (8" asphalt black base and 1-1/2" HMAC surfacing)	SY					
17			Adjust existing manhole frame and cover to new grade	EA					
18			Remove light debris inside exist 10' x 8' RCB (Type I)	LF					
19			Remove medium debris inside exist 10' x 8' RCB (Type II)	LF					
20			Remove heavy debris inside exist 10' x 8' RCB (Type III)	LF					
21			Remove light debris inside exist 8' x 8' RCB (Type I)	LF					
22			Remove medium debris inside exist 8' x 8' RCB (Type II)	LF					
23			Remove light debris inside exist 8' x 7' RCB (Type I)	LF					
24			Remove light debris inside exist 8' x 6' RCB (Type I)	LF					

PUBLIC WORKS AND ENGINEERING DEPARTMENT  
CONSTRUCTION DIVISION  
PERFORMANCE EVALUATION  
CONSTRUCTION CONTRACTOR  
GFS. NO.

1. Name and Address of Contractor:

2. Project Description:

GFS No. (NUMBER) ; (PROJECT NAME)

- |  |   |
|--|---|
| 3. A) Original Amount:                               | B) Award Date:                                    |
| C) Final Amount: (Original and approved COs to date) | D) Contract Date:                                 |
| E) Work Completed Amount:                            | F) Notice to Proceed                              |
| G) Calendar Days Allowed by Contract:                | H) Planned Completion Date:                       |
| I) Approved Additional Days:                         | J) Revised Completion Date:                       |
| K) Total Days Allowed:                               | L) Actual Completion Date: (Date of Subs. Compl.) |
| M) Total Days Used:                                  |   |

4. Contractor: \_\_\_\_\_ Prime Contract \_\_\_\_\_ Subcontractor: \_\_\_\_\_

5. Affirmative Action / Contract compliance: Evaluation and Rating

Outstanding    Standard    Unsatisfactory

\_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_

Meets MBE/Goals.

\_\_\_\_\_    \_\_\_\_\_    \_\_\_\_\_

Reason: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
Contract Compliance Officer

\_\_\_\_\_  
Affirmative Action / Contract Compliance Director



5. The information shown below is true and correct for the Contracting Entity and all owners of 5% or more of the Contracting Entity and, where the Contracting Entity is a non-profit entity, the required information has been shown for each officer, *i.e.*, president, vice-president, secretary, treasurer, etc. **[NOTE: IN ALL CASES, USE FULL NAMES, LOCAL BUSINESS AND RESIDENCE ADDRESSES AND TELEPHONE NUMBERS. DO NOT USE POST OFFICE BOXES FOR ANY ADDRESS. INCLUSION OF E-MAIL ADDRESSES IS OPTIONAL, BUT RECOMMENDED. ATTACH ADDITIONAL SHEETS AS NEEDED.]**

**Contracting Entity**

Name: \_\_\_\_\_

Business Address **[NO./STREET]** \_\_\_\_\_

**[CITY/STATE/ZIP CODE]** \_\_\_\_\_

Telephone Number (\_\_\_\_) \_\_\_\_\_

Email Address **[OPTIONAL]** \_\_\_\_\_

Residence Address **[NO./STREET]** \_\_\_\_\_

**[CITY/STATE/ZIP CODE]** \_\_\_\_\_

Telephone Number (\_\_\_\_) \_\_\_\_\_

Email Address **[OPTIONAL]** \_\_\_\_\_

**5% Owner(s) or More (IF NONE, STATE "NONE.")**

Name: \_\_\_\_\_

Business Address **[NO./STREET]** \_\_\_\_\_

**[CITY/STATE/ZIP CODE]** \_\_\_\_\_

Telephone Number (\_\_\_\_) \_\_\_\_\_

Email Address **[OPTIONAL]** \_\_\_\_\_

Residence Address **[NO./STREET]** \_\_\_\_\_

**[CITY/STATE/ZIP CODE]** \_\_\_\_\_

Telephone Number (\_\_\_\_) \_\_\_\_\_

Email Address **[OPTIONAL]** \_\_\_\_\_

**6. Optional Information**

Contracting Entity and/or \_\_\_\_\_ [**NAME OF OWNER OR NON-PROFIT OFFICER**] is actively protesting, challenging or appealing the accuracy and/or amount of taxes levied against \_\_\_\_\_ [**CONTRACTING ENTITY, OWNER OR NON-PROFIT OFFICER**] as follows:

Name of Debtor: \_\_\_\_\_  
Tax Account Nos. \_\_\_\_\_  
Case or File Nos. \_\_\_\_\_  
Attorney/Agent Name \_\_\_\_\_  
Attorney/Agent Phone No. (\_\_\_\_) \_\_\_\_\_  
Tax Years \_\_\_\_\_

Status of Appeal [**DESCRIBE**] \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Affiant certifies that he or she is duly authorized to submit the above information on behalf of the Contracting Entity, that Affiant is associated with the Contracting Entity in the capacity noted above and has personal knowledge of the accuracy of the information provided herein, and that the information provided herein is true and correct to the best of Affiant’s knowledge and belief.

\_\_\_\_\_  
Affiant

**SWORN TO AND SUBSCRIBED** before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

(Seal)

\_\_\_\_\_  
Notary Public

**NOTE:**  
This affidavit constitutes a **government record** as defined by Section 37.01 of the Texas Penal Code. Submission of a false government record is punishable as provided in Section 37.10 of the Texas Penal Code. Attach additional pages if needed to supply the required names and addresses.

Document 00642

**MONTHLY SUBCONTRACTOR PAYMENT REPORTING FORM**

Legal Project Name: \_\_\_\_\_

Outline Agreement No.: \_\_\_\_\_ WBS No.: \_\_\_\_\_

Contractor's Company Name: \_\_\_\_\_

Address: \_\_\_\_\_

**CERTIFICATION**

\_\_\_\_\_, Contractor's Representative for the above referenced Contract, hereby certifies that (1) Contractor has paid all subcontractors, except those noted below, (2) Contractor made such payments (a) in proportion to the amount City paid Contractor and (b) in accordance and compliance with all applicable Contract Documents and laws; and (3) Contractor withheld no sums from any subcontractor for allegations of deficiency in Work. The term "subcontractor", as used herein, includes all persons or firms furnishing work, materials, services or equipment Contractor ordered incorporated into Work or placed near the Project for which the City made partial payment.

EXCEPTION: Contractor sent Payment Notifications to the following subcontractors explaining why Contractor withheld payment. Copies are attached.

Subcontractor Name: \_\_\_\_\_

Subcontractor Name: \_\_\_\_\_

Street Address: \_\_\_\_\_

Street Address: \_\_\_\_\_

City, State, and Zip Code: \_\_\_\_\_

City, State, and Zip Code: \_\_\_\_\_

Amount of Payment Withheld: \_\_\_\_\_

Amount of Payment Withheld: \_\_\_\_\_

Date Payment First Withheld: \_\_\_\_\_

Date Payment First Withheld: \_\_\_\_\_

Description of Good Faith Reason: \_\_\_\_\_

Description of Good Faith Reason: \_\_\_\_\_

\_\_\_\_\_  
(Signature of Contractor's Representative)

\_\_\_\_\_  
(Print or Type Name of Contractor's Representative)

**SWORN TO AND SUBSCRIBED** before me on:

\_\_\_\_\_  
Date

\_\_\_\_\_  
Notary Public in and for the State of Texas

My Commission Expires: \_\_\_\_\_  
Expiration Date

\_\_\_\_\_  
Print or Type Name of Notary Public



# CITY OF HOUSTON

Public Works and Engineering  
Department

## Interoffice

Correspondence

**To:** Morris Scott  
OBO  
Division Manager

**From:** Managing Engineer  
Construction Branch  
Engineering and Construction Division

**Date:** DATE

**Subject:** **FINAL CLOSE-OUT INFORMATION**

The project listed below is currently in the process of final close-out by the Department of Public Works and Engineering. It is expected that this action will occur within 30 days.

**Project Name:** NAME

**Project Number:** WBS No. X-XXXXXX-XXXX-4

**Prime Contractor:** NAME

**Work was last performed on this contract:** XX/XX/XXXX

By copy of this memo, I am requesting a close-out letter pertaining to compliance items and completion of the attached Contract Performance Evaluation.

Please return this form when forwarding the clearance letter to my attention at Construction Branch, 611 Walker, 17<sup>th</sup> Floor, Houston, Texas 77002. Thank you for your cooperation in this matter.

NAME, P.E.

XX:XX:xx

Attachment: Contract Performance Evaluation

cc: Sr. Assistant Director, P.E.  
File: X-XXXXXX-XXXX-4/21.0

-----  
**(DO NOT WRITE IN THIS SPACE)**

**RECEIVED BY (for Affirmative Action):**

\_\_\_\_\_

**Date:** \_\_\_\_\_



# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832-395-2500  
F. 832-395-2408  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

(Name of Engineer of Record)

(Company Name)

(Company Address)

(City, State Zip)

**Re: (Project Name)**  
**WBS No. (Number)**  
**PHASE III EVALUATION**

Dear (Name of EOR),

As part of the closeout procedure, the Construction Branch is required to evaluate design consultants on the Phase III services provided to the City of Houston upon contractor's achievement of substantial completion.

Attached for your review and signature is a copy of your performance evaluation. We request that you sign and provide any comments you may have to us in order to expedite the closure of the subject project. Your response by (Month Day, Year) would be appreciated.

Should you have any questions, please contact me at (Telephone Number) or (Managing Engineer's Name), Managing Engineer at (Telephone Number).

Sincerely,

(Senior Assistant Director's Name)  
Senior Assistant Director  
Construction Branch  
Engineering and Construction Division

XXX:XXX:xxx

Enclosures: Performance Evaluation Form

ec: Deputy Director  
Sr. Assistant Director (Engineering)

Administrative Manager  
File No. (WBS No./Code)

**DEPARTMENT OF PUBLIC WORKS AND ENGINEERING**  
**Performance Evaluation**  
**Of**  
**Professional Engineers / Architects**

Project Name: \_\_\_\_\_  
 Name of A/E: \_\_\_\_\_  
 Project / File No.: \_\_\_\_\_  
 Project Manager: \_\_\_\_\_  
 Contract Period: \_\_\_\_\_

**Phase III - Bidding and Construction**

	Score	Comments
1. Timely, Responsive and Cooperative	4	(0 - 5) Designer was timely, responsive and cooperative most of the time.
2. Appropriate Design Staff Remained Involved During Construction	4	(0 - 5) Appropriate Design Staff Remained Involved during most of the Construction period
3. Monthly Site Visits Properly Performed and Recorded	5	(0 - 5) Performed monthly site visits, took pictures and properly recorded each visit most of the time.
4. Accurate and Legible Bid Documents	5	(0 - 5) Bid documents were accurate and legible
5. Special Conditions (permit requirements of other special conditions) Adequately Addressed During Effort	4	(0 - 5) Responsive
6. Final Construction Cost Within 5% of Low Bid excluding scope changes	10	(0 - 10) Final Construction cost was 1.48% over the low bid excluding scope changes
7. As-Builts Accurately Compiled and Submitted to City Prior to City Council Acceptance of Project	5	(0 - 5) As-Builts were compiled and submitted to City Prior to City Council Acceptance of Project
SUB TOTAL =	<u>37</u>	<u>(0 - 40)</u>
8. Quality of Bid Document passed on overruns and under runs	2	(-5 - 5) 70% of bid items were within 5% of the plan quantity for each item.
9. Timely responses to RFI's	3	(0 - 5) Average response time was 7 days
10. Change Orders required to correct errors or omissions	-5	(-10 - 0) Change Orders required to correct errors or omissions resulted in cost increase of 0.04% to the contract amount
<b>TOTAL OVERALL SCORE</b> Phase III	<u>37</u>	<u>(Max 50)</u>



## PROPOSED

### Consultant Evaluation for Phase III Services

1.	Timely Responsiveness and Cooperativeness	0-5
2.	Appropriate Design Staff Remained Involved During Construction:	0-10
3.	Attendance at meetings	0-5
4.	Accurate Legible Bid Documents	0-5
5.	Special Conditions (permit requirements or other special conditions) Adequately Addressed	0-5
6.	Final Construction Cost Within 5% of Low Bid excluding scope changes	0-10
7.	As-Builts Accurately compiled and Submitted to City	0-5
8.	Quality of Bid Document Based on Overruns and Underruns	0-10
9.	Timely Responses to RFIs	0-10
10.	Change Orders Required Correcting Errors or Omissions	0-10

## Description of Scoring Methods

<b>Items 1</b>	Promptly returns calls and emails. Consultant is available and responsive to requests from PWE staff.	
	Excellent (Always prompt to respond, very proactive with PWE staff, exceeds the norm in performance and always available)	5
	Average (Typically responsive, cooperative, and available. Reasonably accurate documentation)	3
	Below Average (Consultant lacked timely response, inconsistent communication, continually asked to correct or address items.)	0
<b>Items 2</b>	Consultant attended monthly site visits and documented meetings appropriately	
	Excellent (Very proactive in problem resolution, accurate minutes, very timely responses to all parties and submission of minutes.)	10
	Average (Typical response time to questions and submission of minutes)	5
	Below Average (Delayed response to questions and submissions of minutes)	2
<b>Item 3</b>	Consultant attended other meetings as requested and was proactively involved.	
	Excellent (Consultant PM attended all meetings.)	5
	Average (Consultant PM attending all meetings with rare exception, with a qualified representative if absent.)	3
	Below Average (Consultant PM attended most meetings or had a representative at meetings.)	1
<b>Item 4</b>	Accurate and Legible Bid Documents	
	Excellent (Easy to read, clear instructions, no conflict between plans and specification resulting in superior construction and ahead of schedule)	5
	Average (Quality bid documents; contractor required periodic clarifications resulting in good construction; quality and timeliness)	3
	Below Average (Contractor required too many clarifications resulting in delayed construction)	1
<b>Item 5</b>	Special conditions (eg; unforeseen traffic issues; permits etc) addressed adequately.	
	Excellent (Proactive and resolved issues timely and cost effectively)	5
	Average (Response time and needed guidance from city personnel)	3
	Below Average (Issues were not resolved in a timely and cost effective manner)	1

**Items 6** Construction Cost: Final construction cost compared to Contract Awarded Bid Price; ratings based

Increases of:		
Within	1%	10
Between	1% to 3%	8
Between	3% to 5%	7
Between	5% to 10%	2
Over	10%	0

**Item 7** As-Builts Recordation: As-Built drawings compiled accurately and supplied to the City.

Good Thorough submission in regards to completeness and accuracy, provided within 1 month of receipt of contractor's record drawings. 5

Average (Substantially complete and accurate, provided within 3 months of receipt of contractor's record drawing). 3

Below Average (Delayed submission, quality lacking, re-submittal required). 1

**Item 8** Quality of Bid documents based on final quantity of work performed by contractor on major unit price work item differ by more than 25 percent from quantity of the item stated in the contract .

Less than	10%	10
Within	10% to 25%	8
Between	25% to 35%	4
Between	35% to 50%	2
Greater than	50%	0

**Items 9** Responses to RFIs timely, technically accurate and complete.

Excellent Very prompt response (3 days or less). Response is technically sound and complete. 5

Average Response is technically sound and complete. Response time between 4-7 days. 3

Below Average Response is poor in technical quality, does not address the issue and/or response time is more than 7 days. 1

**Items 10** Change Orders: Change orders to contract as a result of Consultant errors, omissions, or oversight. Change orders as a result of unknown conditions or Contractor/City issue not to be considered in this rating.

None (No Change Order Items)	10
1 Change Order Item (No resulting increase in cost or time to contract)	8
1 Change Order Item (Resulting in cost and time increase to contract)	4
1 to 3 Change Order Items (Some or all resulting in cost and time increase to contract)	2
3 or more Change Order Items	0



**CITY OF HOUSTON**  
Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2480  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

(Name of CM Contract Holder)  
(Company Name)  
(Company Address)  
(City, State Zip)

**Re: (Project Name)**  
**WBS No. (Number)**  
**CONSTRUCTION MANAGEMENT EVALUATION**

Dear (Name of CM Contract Holder):

As part of the closeout procedure, the Construction Branch is required to evaluate construction management firms on services provided to the City upon contractor's achievement of project completion.

Attached for your review and signature is a copy of your performance evaluation. We request that you sign and provide any comments you may have as soon as possible in order to expedite the closure of the subject project. Your response by (Month Day, Year), would be appreciated.

Should you have any questions, please contact me at (Telephone Number) or (Managing Engineer's Name), Managing Engineer, at (Telephone Number).

Sincerely,

(Senior Assistant Director's Name)  
Senior Assistant Director  
Construction Branch  
Engineering and Construction Division

XXX:XXX:xxx

Attachment: Performance Evaluation

ec: Administrative Manager  
CM PM Name  
File No. (WBS No./Code)

**DEPARTMENT OF PUBLIC WORKS AND ENGINEERING**  
**Performance Evaluation of Construction Management and Inspection Services**

Name of Firm: \_\_\_\_\_  
 Project/File No \_\_\_\_\_  
 Project Manager: \_\_\_\_\_  
 Contract Period: \_\_\_\_\_

	<b>Score</b>	<b>Comments</b>
<b><u>Initiate Construction</u></b>		
1. Prepare distribute pre-construction documents.	_____ (0 – 5)	_____
2. Project planning and organization, includes staffing plan and project briefing.	_____ (0 – 5)	_____
3. Prepare and conduct pre-construction meetings and distribute meeting minutes.	_____ (0 – 5)	_____
<b>SUB TOTAL =</b>	_____ <b>(0 – 15)</b>	
<b><u>Progress Construction</u></b>		
4. Schedule and conduct Monthly Progress Meetings.	_____ (0-5)	_____
5. Prepare and process Daily Construction Reports.	_____ (0-5)	_____
6. Process and respond to RFI's and Submittals.	_____ (0-5)	_____
7. Prepare and process Pay Estimates.	_____ (0-5)	_____
8. Prepare and process Requests for Proposals and Change Orders.	_____ (0-5)	_____
9. Manage CM resources	_____ (0-5)	_____
10. Implement, utilize, and maintain CIPMS	_____ (0-10)	_____
11. Support community relations and resolve Customer Service Requests.	_____ (0 - 10)	_____
12. Verify and enforce the contractor's compliance with contract documents.	_____ (0-10)	_____
13. Advise/resolve construction conflicts and issues.	_____ (0- 5)	_____
14. Demonstrate effort to fulfill M/WBE goal.	_____ (0-5)	_____
<b>SUB TOTAL =</b>	_____ <b>(0-70)</b>	

**Close Construction**

15. Schedule and coordinate substantial completion inspection including preparation and resolution of punch list items. \_\_\_\_\_  
(0 - 5) \_\_\_\_\_

16. Schedule and coordinate Final Inspection. \_\_\_\_\_  
(0 - 5) \_\_\_\_\_

17. Preparation of closeout documents and submittal of record documents to the City. \_\_\_\_\_  
(0 - 5) \_\_\_\_\_

**SUB TOTAL =** \_\_\_\_\_  
**(0 -15)**

**TOTAL OVERALL SCORE** \_\_\_\_\_  
Phase IV (Max 0-100)

**Evaluated by:**

\_\_\_\_\_  
Project Manager Date

\_\_\_\_\_  
Managing Engineer Date

\_\_\_\_\_  
Consultant Date

(Consultant may submit comments. If submitted, they will be attached hereto.)

**Approved**

\_\_\_\_\_  
Sr. Assistant Director Date

---

**Approved**

\_\_\_\_\_  
Deputy Director Date  
(Required for scores above 90 or below 70)

---

**Approved**

\_\_\_\_\_  
Director Date  
(Required for scores above 90 or below 60)

**CITY OF HOUSTON**  
**Department of Public Works & Engineering**  
**Construction Branch**  
**RCA Checklist**

Project No. \_\_\_\_\_

WBS No. \_\_\_\_\_

RCA for:  Accept Work  Change Order  Contract Amendment  CM Contract  Additional Fund(s)

**A. With Request for Council Action**

- \_\_\_\_\_ A1 File Notes \_\_\_\_\_
- \_\_\_\_\_ A2 RCA Routing Form (Original on Pink Form) \_\_\_\_\_
- \_\_\_\_\_ A3 Request for Council Action (Original on Blue Form) \_\_\_\_\_
- \_\_\_\_\_ A4 Two Original Change Orders (If RCA appropriates additional funds) \_\_\_\_\_
- \_\_\_\_\_ A5 City Map Showing Affected Council District(s) \_\_\_\_\_
- \_\_\_\_\_ A6 Project Location Map(s) \_\_\_\_\_
- \_\_\_\_\_ A7 All Previously Approved Change Orders (Copies) \_\_\_\_\_
- \_\_\_\_\_ A8 All Previously Approved RCAs, Ordinances/Motions (Copies) \_\_\_\_\_
- \_\_\_\_\_ A9 Form "A" and GFS Documents (If additional funds are associated) \_\_\_\_\_
- \_\_\_\_\_ A10 Blue Backed Original Ordinance and Controller's Certificate with Two Copies Attached to Back  
(If additional funds are associated) \_\_\_\_\_
- \_\_\_\_\_ A11 [Fund Reservation Request Form for Additional Appropriation, if any](#) \_\_\_\_\_

**B. Supporting Documents**

- \_\_\_\_\_ B1 Certificate of Substantial Completion, Document 00645 \_\_\_\_\_
- \_\_\_\_\_ B2 **Office of Business Opportunity** \_\_\_\_\_
- \_\_\_\_\_ B2.1 Office of Business Opportunity Letter (Copy) \_\_\_\_\_
- \_\_\_\_\_ B2.2 Verification of MWDBE Participation (Copy) \_\_\_\_\_
- \_\_\_\_\_ B2.3 Performance Evaluation - Office of Business Opportunity (Copy) \_\_\_\_\_
- \_\_\_\_\_ B2.4 Correspondences between Contractor and OBO, if Contractor fails to meet the goal \_\_\_\_\_
- \_\_\_\_\_ B3 Contractor Performance Evaluation (Original) \_\_\_\_\_
- \_\_\_\_\_ B4 **Final Pay Estimate** \_\_\_\_\_
- \_\_\_\_\_ B4.1 Cover (Original) \_\_\_\_\_
- \_\_\_\_\_ B4.2 Final Bid Items (Original) \_\_\_\_\_
- \_\_\_\_\_ B4.3 Change Order (replace copy with original when submit to Accounting for payment) \_\_\_\_\_
- \_\_\_\_\_ B4.4 Other Charges (Chlorination, etc., Original) \_\_\_\_\_
- \_\_\_\_\_ B4.5 Consent of Surety to Final Payment (Original) \_\_\_\_\_
- \_\_\_\_\_ B4.6 [Certificate of Payment to Subcontractors & Suppliers, Document 00642 \(Original\)](#) \_\_\_\_\_
- \_\_\_\_\_ B4.7 [Contractor Certificate of Final Completion, Document 00673 \(Original\)](#) \_\_\_\_\_
- \_\_\_\_\_ B4.8 Final Certificate of Completion \_\_\_\_\_

**C. Additional Supporting Documents**

- \_\_\_\_\_ C1 Affidavit of Ownership or Control / Tax Report \_\_\_\_\_
- \_\_\_\_\_ C2 Fair Campaign Ordinance \_\_\_\_\_
- \_\_\_\_\_ C3.1 Performance Evaluation of Professional Engineers / Architects - Phase I & II and Phase III \_\_\_\_\_
- \_\_\_\_\_ C3.2 CM Performance Evaluation \_\_\_\_\_
- \_\_\_\_\_ C4 TCEQ - Phase I Notice of Termination \_\_\_\_\_
- \_\_\_\_\_ C5 TDLR Release Letter for TDLR Project No. \_\_\_\_\_ (if TDLR inspection required) \_\_\_\_\_

**DISTRIBUTION:**

---



# Request for Council Action

## Routing Form

**(RCA) SUBJECT:** Accept Work for (PROJECT NAME); WBS No. XXXXXXXXXX.

**(RCA) RECOMMENDATION:** (Summary) Pass a motion to approve the final Contract Amount of \$XXXXXX.XX or X.XX% over the original Contract Amount, accept the Work and authorize final payment.

CUIC ID# XXXXX
----------------

**COUNCIL AGENDA DATE:** \_\_\_\_\_, 20XX

<b>(Circle One)</b> <input checked="" type="radio"/> Motion <input type="radio"/> Resolution <input type="radio"/> Ordinance
---

Originator/Prime Author: xxxxxxxxxxxx Phone # (832) 395-xxxx
--

Routing Order: <small>(Originator/Prime Author specifies by Name)</small>	Date/time Received	Date/time Transmitted	Comments:
Managing Engineer, PW&E <i>(ME NAME), P.E.</i> (832) 395-XXXX			
Senior Assistant Director, PW&E <i>Joseph T. Myers, P.E.</i> (832) 395-2355			
Fiscal Management Division <i>Mai Pham</i> (832) 395-2615			
Deputy Director, EC, PW&E <i>Daniel R. Menendez, P.E.</i> (832) 395-2201			
Agenda Coordinator <i>Ruth Gonzales</i> (832) 395-2458			
Chief of Staff, PW&E <i>Howard Hilliard</i> (832) 395-2518			
Director, PW&E <i>Daniel W. Krueger, P.E.</i> (832) 395-2500			
Agenda Director <i>Marta Crinejo</i> (832) 393-1091			
City Secretary's Office <i>Anna Russell</i> (832) 393-1100			

TO: Mayor via City Secretary

REQUEST FOR COUNCIL ACTION

<b>SUBJECT:</b> Accept Work for the (PROJECT NAME); WBS No. (NUMBER)	<b>Category #1, 7</b>	<b>Page 1 of 1</b>	<b>Agenda Item #</b>
<b>FROM (Department or other point of origin):</b> Department of Public Works and Engineering	<b>Origination Date</b>	<b>Agenda Date</b>	
<b>DIRECTOR'S SIGNATURE:</b>  Daniel W. Krueger, P.E., Director	<b>Council District affected:</b>  H		
<b>For additional information contact:</b>  Joseph T. Myers, P.E. Senior Assistant Director <b>Phone:</b> (832) 395-2355	<b>Date and identification of prior authorizing Council action:</b>  Ord. # (ORD. NO.) dated (MO/DAY/YR)		
<b>RECOMMENDATION:</b> (Summary) Pass a motion to approve the final Contract Amount of \$XXX,XXX.XX or X.XX% under the original Contract Amount, accept the Work and authorize final payment.			
<b>Amount and Source of Funding:</b> No additional funding required. Total (original) appropriation of \$XXX,XXX.XX with \$XXX,XXX.XX from (FUND NAME AND NUMBER) and \$X,XXX,XXX.XX from (FUND NAME AND NUMBER).			
<b>PROJECT NOTICE/JUSTIFICATION:</b> This project was part of the (NAME OF CAPITAL IMPROVEMENT PROGRAM) (CIP) and was required to (DESCRIPTION OF PROGRAM).			
<b>DESCRIPTION/SCOPE:</b> This project consisted of (DESCRIPTION OF PROJECT FROM AWARD RCA). (COMPANY NAME OF ENGINEER OF RECORD) designed the project with XXX calendar days allowed for construction. The contract was awarded to (NAME OF CONTRACTOR), with an original Contract Amount of \$XXX,XXX.XX.			
<b>LOCATION:</b> The project area is located (PROJECT LIMITS). The project is located in Key Map Grid XXX-X.			
<b>CONTRACT COMPLETION AND COST:</b> The Contractor, (NAME OF CONTRACTOR), has completed the work under the subject Contract. The project was completed within the Contract Time. The final cost of the project, including overrun and underrun of estimated bid quantities is \$XXX,XXX.XX, a decrease of \$XX,XXX.XX or X.XX% under the original Contract Amount.  The decreased cost is a result of the difference between planned and measured quantities.			
<b>M/W/SBE PARTICIPATION:</b> The M/W/SBE goal established for this project was XX.XX%. According to Affirmative Action and Contract Compliance Division, the participation was XX.XX%. Contractor's M/W/SBE performance evaluation was rated (RATING FROM OBO).			
DWK:DRM:JTL:XXX:XX:XX			
C: File No. (NUMBER)			

REQUIRED AUTHORIZATION

20HA122

<b>Finance Department:</b>	<b>Other Authorization:</b>	<b>Other Authorization:</b>  Daniel R. Menendez, P.E., Deputy Director Engineering and Construction Division
----------------------------	-----------------------------	---

<b>Date</b>	<b>SUBJECT:</b> Accept Work for the (PROJECT NAME); WBS No. (NUMBER)	<b>Originator's Initials</b>	<b>Page 2 of 2</b>
<p>c: File No.: (NUMBER)/21.0</p>			

# Request for Council Action Routing Form

**(RCA) SUBJECT:** Additional Appropriation and Approval of Change Order No. XX for (PROJECT NAME), WBS No. -----.

**(RCA) RECOMMENDATION:** (Summary) Approve an ordinance appropriating an additional \$ XXX,XXX.XX, adopt a motion approving Change Order No. XX.

**COUNCIL AGENDA DATE:** \_\_\_\_\_, 20XX

(Circle One)  
Motion  
Resolution  
Ordinance

CUIC ID# 20HA--

Originator/Prime Author:  
-----  
Phone # (832) 395-----

Routing Order: (Originator/Prime Author specifies by Name)	Date/time Received	Date/time Transmitted	Comments:
Managing Engineer, PW&E <i>(MANAGING ENGINEER), P.E.</i> (832) 395-XXXX			
Senior Assistant Director, PW&E <i>Joseph T. Myers, P.E.</i> (832) 395-2355			
Fiscal Management Division, PU, PW&E <i>Mai Pham</i> (832) 395-2615			
Deputy Director, EC, PW&E <i>Daniel R. Menendez, P.E.</i> (832) 395-2201			
Agenda Coordinator <i>Ruth Gonzales</i> (832) 395-2458			
Chief of Staff, PW&E <i>Howard Hilliard</i> (832) 395-2518			
Director, PW&E <i>Daniel W. Krueger, P.E.</i> (832) 395-2500			
Agenda Director <i>Marta Crinejo</i> (832) 393-1091			
City Secretary's Office <i>Anna Russell</i> (832) 395-1100			

**TO: Mayor via City Secretary REQUEST FOR COUNCIL ACTION**

<b>SUBJECT:</b> Additional Appropriation and Approval of Change Order No. (NUMBER) for (NAME OF PROJECT), WBS No. (NUMBER).		<b>Category</b> #1, 7	<b>Page</b> 1 of 1	<b>Agenda Item #</b>
<b>FROM (Department or other point of origin):</b> Department of Public Works and Engineering		<b>Origination Date</b>	<b>Agenda Date</b>	
<b>DIRECTOR'S SIGNATURE:</b> Daniel W. Krueger, P.E., Director		<b>Council Districts affected:</b> X		
<b>For additional information contact:</b> Joseph T. Myers, P.E. Senior Assistant Director <b>Phone:</b> (832) 395-2355		<b>Date and Identification of prior authorizing Council Action:</b> Ord. # xxxxxx Ord. # xxxxxx		
<b>RECOMMENDATION:</b> (Summary) Approve an ordinance appropriating an additional \$xxxxxxxx, adopt a motion approving Change Order No. --.				
<b>Amount and Source of Funding:</b> \$XXX,XXX.XX from (FUND NAME AND NUMBER). (Previous appropriation; \$XXX,XXX.XX from (FUND NAME AND NUMBER) and \$XXX,XXX.XX from (FUND NAME AND NUMBER).)				
<b>PROJECT NOTICE/JUSTIFICATION:</b> This project is part of the (TYPE OF CIP PROJECT/PROGRAM) and is required to (PROGRAM DESCRIPTION).				
<b>DESCRIPTION/SCOPE:</b> This project consists of construction of (DESCRIPTION OF PROJECT FROM PREVIOUS AWARD RCA). (EOR COMPANY NAME) designed the project with XXX calendar days allowed for construction. The project was awarded to (CONTRACTOR NAME) with a original Contract Amount of \$XXXXXXXX.				
<b>LOCATION:</b> The project area is generally bounded by (PROJECT BOUNDARIES). The project is located in Key Map Grid XXX-X.				
<b>PREVIOUS CHANGE ORDERS:</b> Change Order No.XX1 in the amount of XXXXX.XX was for (DESCRIPTION OF CHANGE ORDER WORK). Change Order No. X in the amount of \$XXXXXX was for (DESCRIPTION OF CHANGE ORDER WORK) and Change Order No. XX in the amount of \$XXXXXX was for (DESCRIPTION OF CHANGE ORDER WORK).				
<b>CHANGE ORDER NO. XX:</b> Change Order No. XX in the amount of \$XXXXXX.XX is required to increase the Contract quantities. (INSERT REASON FOR NEW CHANGE ORDER). The original scope of work for the project has not changed.				
The requested amount in Change Order No. XX will cover the entire cost of overrun and will leave the contingencies balance for future Change Orders should they become necessary.				
<b>M/WBE PARTICIPATION:</b> The M/WBE goal established for this project is XX%. According to Affirmative Action and Contract Compliance, Contractor's to date M/WBE performance is XXX%.				
<b>REQUIRED AUTHORIZATION</b>				<b>CUIC ID # XXXXXX</b>
<b>Finance Department:</b>	<b>Other Authorization:</b>	<b>Other Authorization:</b>  Daniel R. Menendez, P.E., Deputy Director Engineering and Construction Division		

**Date:**

**SUBJECT:**

**Originator's  
Initials**

**Page  
2 of 2**

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# PROCESS STANDARD



## STANDARD

### PROCESS 4.3 – PREPARE ACCEPT WORK RCA PACKAG

#### 1. PRELIMINARY ACCEPT WORK DOCUMENTS FROM DOCUMENT CONTROL:

- a. Award RCA
- b. Project Location Maps
- c. Council District Maps
- d. Award Ordinance
- e. Substantial Completion Certificate

Note: It will be helpful to have a copy of Documents 00510 pages 1 through 4 and Document 00405 from the specifications and the Project Information Sheet in the working file.

#### 2. ACCEPT WORK DOCUMENTS FOR PROCESSING AND RETURN BY OTHERS:

- a. Substantial Completion Certificate (Prepared by PM)
- b. OBO Clearance request – Prepared by Asst. PM
- c. Preliminary Final Estimate for Contractor's signature (Prepared by Asst. PM)
- d. Final Pay Estimate (Prepared by Asst. PM)
- e. Final Certificate of Completion (Prepared by PM)
- f. Accept Work RCA (Prepared by Asst. PM)
- g. RCA Routing Sheet (Prepared by Asst. PM)
- h. Contractor Performance Evaluation (Prepared by PM)
- i. EOR Performance Evaluation w/Cover Letter (Prepared by PM)
- j. CM Performance Evaluation w/Cover Letter (Prepared by PM)

#### 3. ACCEPT WORK DOCUMENTS RECEIVED FROM OTHERS:

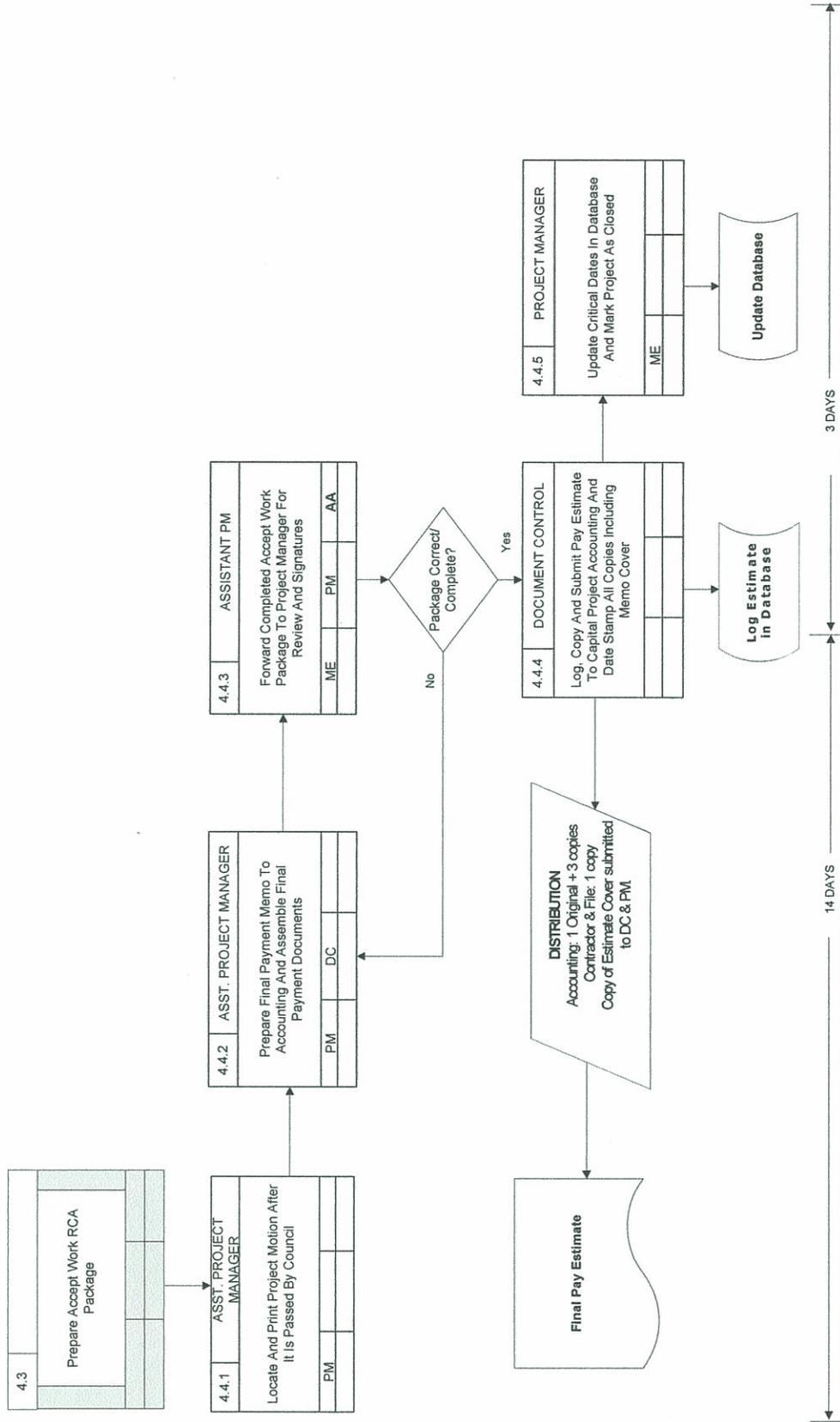
- a. Verification of M/WBE participation (Prepared by OBO)
- b. OBO Clearance Letter (Prepared by OBO)
- c. Contract Performance Evaluation (Prepared by OBO)
- d. Certificate of Payment of Subcontractors and Suppliers (Submitted by Contractor)
- e. Contractor's Certificate of Final Completion (Submitted by Contractor)
- f. Consent of Surety (Submitted by Contractor)
- g. Signed Preliminary Final Estimate (Submitted by Contractor)

4. ASSEMBLE ACCEPT WORK RCA PACKAGE:

- |   |                              |
|---|------------------------------|
| a. RCA Routing Form   | (Pink – Original)            |
| b. Accept Work RCA  | (Blue – Original)            |
| c. Verification of M/WBE participation                      | (Copy)                       |
| d. City Map Showing Affected Council Districts              | (Copy)                       |
| e. Project Location Map                                     | (Copy)                       |
| f. All Previously Approved Change Orders                    | (Copy) – in Ascending Order) |
| g. All Previously Approved RCAs and Ordinances              | (Copies)                     |
| h. Certificate of Substantial Completion                    | (Copy)                       |
| i. OBO Clearance Letter                                     | (Copy)                       |
| j. Contractor’s Performance Evaluation                      | (Copy)                       |
| k. Cover Sheet Final Pay Estimate                           | (Copy)                       |
| l. Final Bid Items  | (Copy)                       |
| m. Consent of Surety to Final Payment                       | (Copy)                       |
| n. Certificates of Payments to Subcontractors and Suppliers | (Copy)                       |
| o. Contractor Certification of Final Completion             | (Copy)                       |
| p. Affidavit of Ownership/Tax Report                        | (Copy)                       |
| q. Final Certificate of Completion                          | (Copy)                       |
| r. EOR Performance Evaluation w/Cover Letter                | (Copy)                       |
| s. CM Performance Evaluation w/Cover Letter                 | (Copy)                       |
| t. TDLR Letter (if required)                                | (Copy)                       |

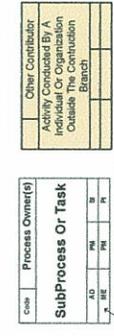
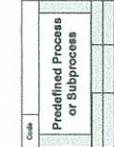
5. All above documents shall be placed on the right hand side of the RCA folder.
6. Check List and Notes are to be attached on the left hand side along with any explanation of overruns and underruns.
7. PM to release retainage for contractor as Surety Releases are received.
8. Asst. PM is to hold the original Final Estimate with signatures until RCA has passed Council. Then proceed to Process 4.4

# PROCESS 4.4 - PROCESS FINAL PAYMENT

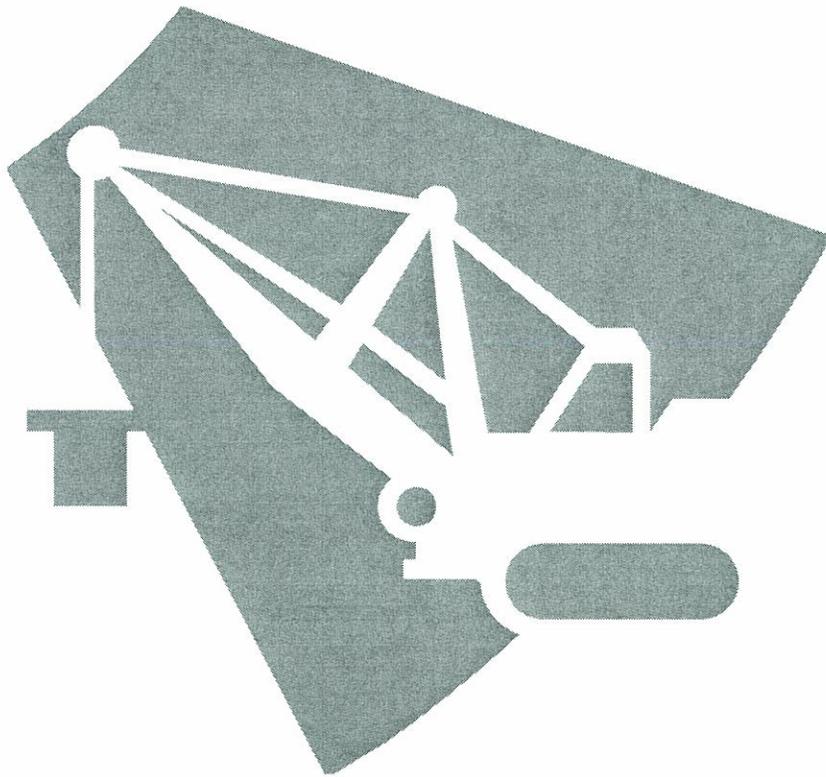


CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION  
CONSTRUCTION BRANCH PROCESS MAP

## Legend



# PROCESS EXAMPLES





# CITY OF HOUSTON

Public Works and Engineering  
Department

## Interoffice

Correspondence

**To:** Roland Mosley  
Deputy Assistant Director

**From:** Managing Engineer  
Construction Branch  
Engineering and Construction Division

**Date:** (Date)

**Subject:** **PROJECT NAME;**  
**WBS NO. (NUMBER);**  
**FINAL PAYMENT**

Please begin processing the Final Payment for the referenced project. City Council accepted work on this project on 11/09/11. The Motion Number is (MOTION NUMBER). The Ordinance Number is (ORDINANCE NUMBER). Details of the project are as follows:

Project Title: \_\_\_\_\_  
Contractor: \_\_\_\_\_  
WBS No.: \_\_\_\_\_  
File/Project No.: \_\_\_\_\_  
Contract/Outline Agreement No.: \_\_\_\_\_

All the relevant documents necessary to process the payment are being forwarded as follows:

1. **Cover** (Original)
2. **Final Bid Items** (Original)
3. **Final Change Order** (if applicable)
4. **Consent of Surety Company to Final Payment** (Original)
5. **Certificate of Payment to Subcontractors & Suppliers, Doc.-00642** (Original)
6. **Contractors Certification of Final Completion, Doc.-00673** (Original)
7. **Final Certification of Completion** (Original)
8. **Copy of Approved Council Motion No. (NUMBER)**

Managing Engineer, P.E.

XXX:XXX:xx

Attachments

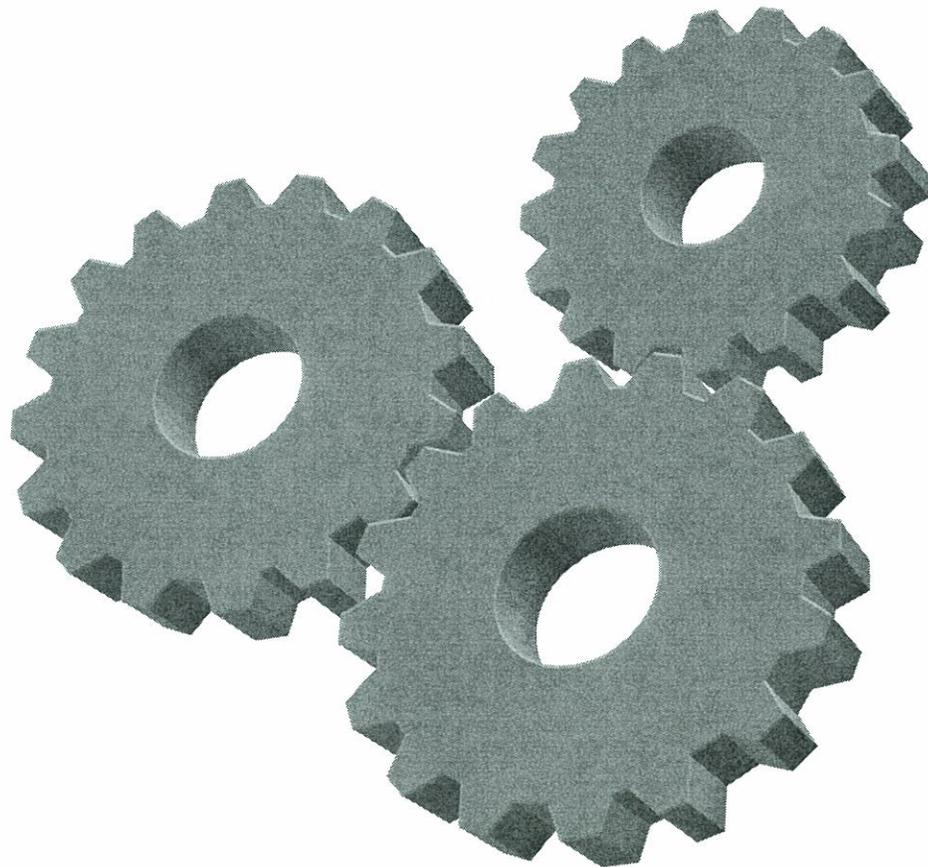
cc: (Sr. Assistant Director) (Administrative Manager) File No. (WBS No./Code)

**Acknowledgment with attachments:**

\_\_\_\_\_  
Project Accounting Section

\_\_\_\_\_  
Date

# PROCESS STANDARD

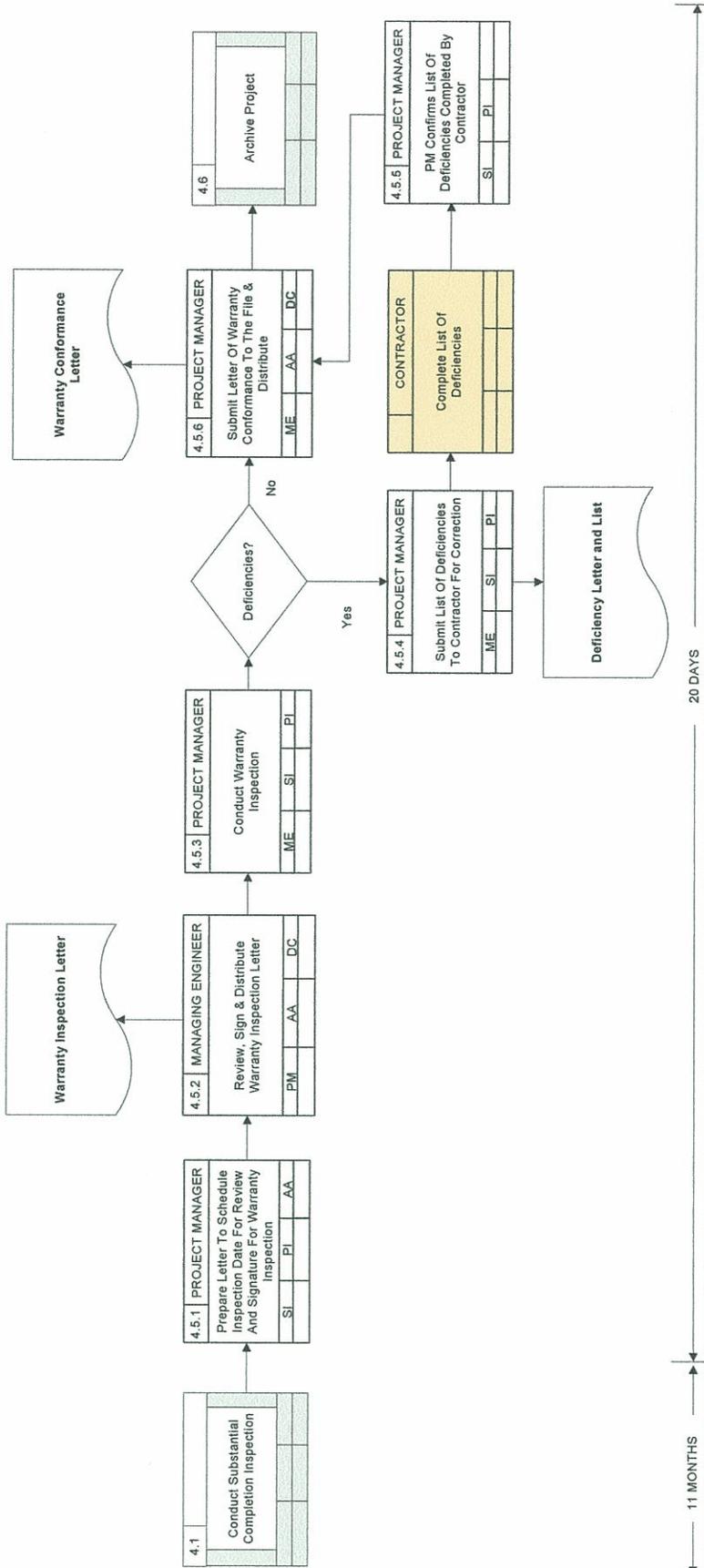


## STANDARD

### PROCESS 4.4 – PROCESS FINAL ESTIMATE

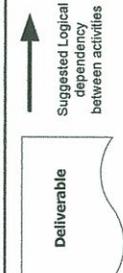
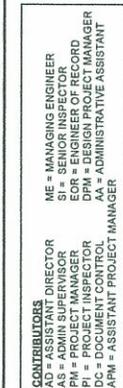
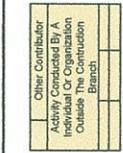
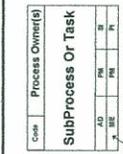
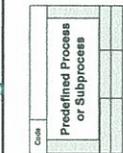
1. Final Pay Estimate should be submitted to Accounting with documentation shown on the transmittal letter to Accounting.
2. Final Pay Estimate should be submitted to Accounting Department seventeen days after Council approved the Accept Work RCA.
3. PM to update critical date in database and mark project as closed upon receipt of final pay estimate which has been stamped by accounting.

# PROCESS 4.5 - CONDUCT WARRANTY INSPECTION

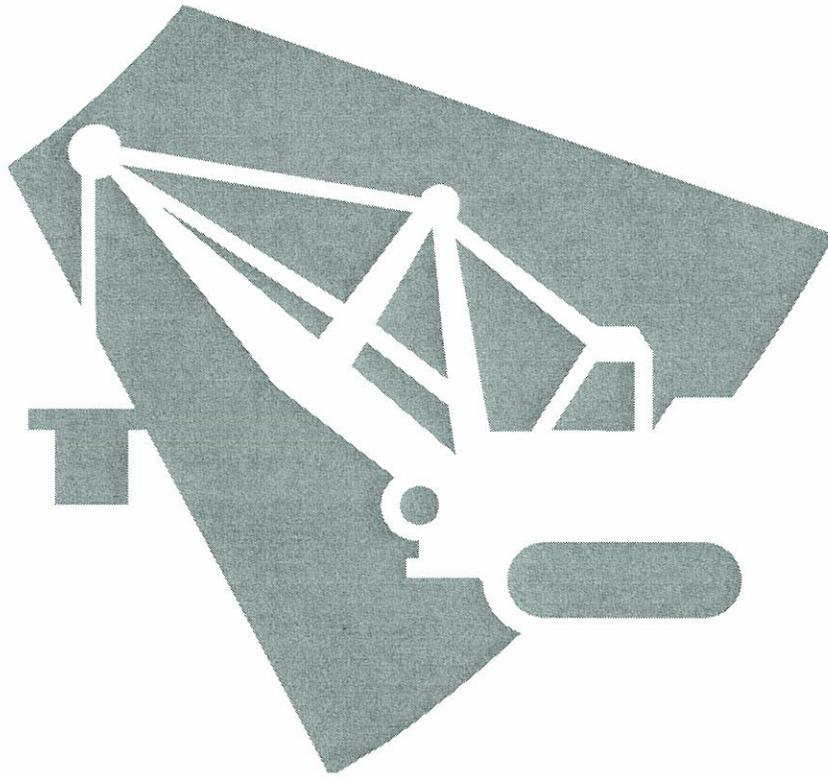


## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend



# PROCESS EXAMPLES





# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2480  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

(Contact Person Name)

(Contractor Company)

(Contractor Address)

(City, State & Zip Code)

**Re: Project Name**  
**WBS No. (Number)**  
**Outline Agreement No. (Number)**  
**ELEVEN MONTH WARRANTY INSPECTION**

Dear (Contact Person Name):

Please be advised that the Eleven Month Warranty Inspection of the referenced project will be conducted at (TIME) on (DATE). All interested parties will meet at (LOCATION), Key Map Gird (XXX-X).

If you should have any questions regarding this inspection, please feel free to contact (Project Manager's Name), (Project Manager's Title) at (Phone Number).

Sincerely,

(Managing Engineer's Name)

Managing Engineer

Construction Branch

Engineering & Construction Division

XXX:XXX:xxx

Enclosure(s)

ec: Deputy Director  
Sr. Assistant Director  
Owner Representative  
Project File (WBS No./Code)

Project Manager  
Administrative Manager  
Sr. Inspector



# CITY OF HOUSTON

Department of Public Works & Engineering

**Annise D. Parker**

Mayor

Daniel W. Krueger, P.E., Director  
P.O. Box 1562  
Houston, Texas 77251-1562

T. 832 395-2500  
F. 832-395-2480  
[www.houstontx.gov](http://www.houstontx.gov)

(Date)

(Contact Person Name)

(Contractor Company)

(Contractor Address)

(City, State & Zip Code)

**Re: Project Name**  
**WBS No. (Number)**  
**Outline Agreement No. (Number)**  
**WARRANTY INSPECTION (COMPLIANCE OR NON-COMPLIANCE)**

Dear (Contact Person Name):

As required by General Conditions Article 12.2.3, the City has conducted the Eleven Month Warranty Inspection on (Date) and has found the work to be in (Compliance Or Non-Compliance) with the original contract documents. (Enclosed is the list of deficient items requiring correction. All items listed should be corrected promptly after receipt of this letter.)

Should you have any questions concerning this matter, please feel free to contact me at your convenience at (Phone Number) or (Project Manager's Name), (Project Manager's Title) at (Phone Number).

Sincerely,

(Managing Engineer's Name)

Managing Engineer

Construction Branch

Engineering & Construction Division

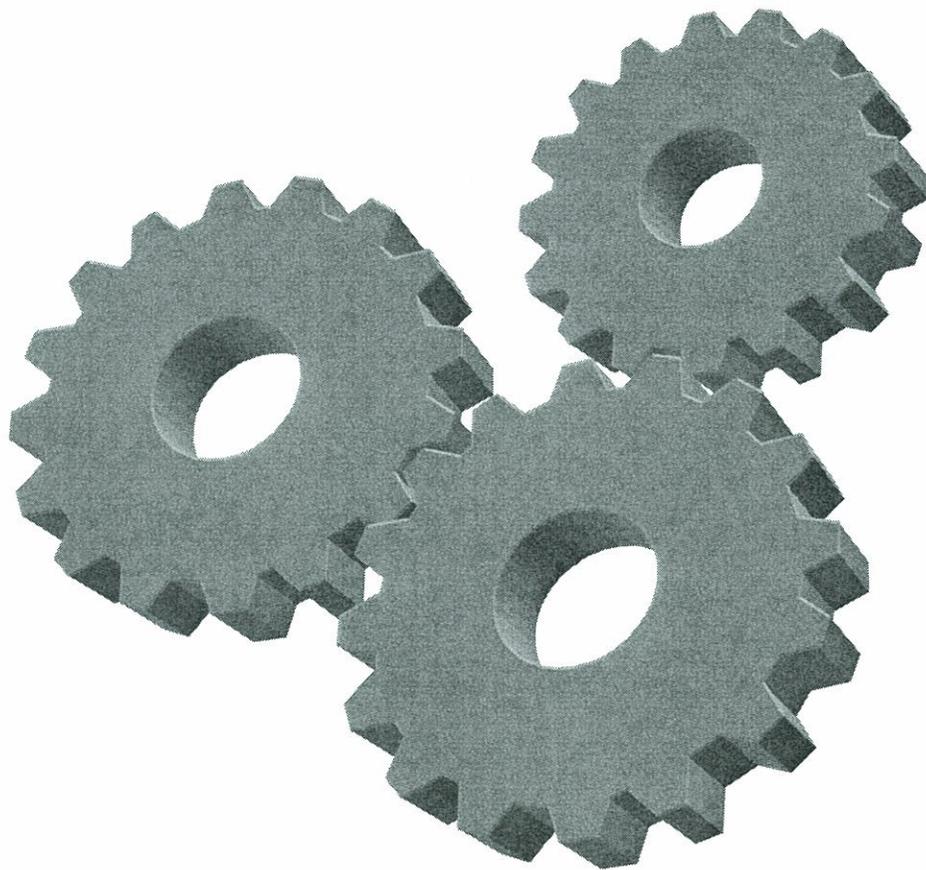
XXX:XXX:xxx

Enclosure(s)

ec: Deputy Director  
Sr. Assistant Director  
Owner Representative  
Project File (WBS No./Code)

Project Manager  
Administrative Manager

# PROCESS STANDARD

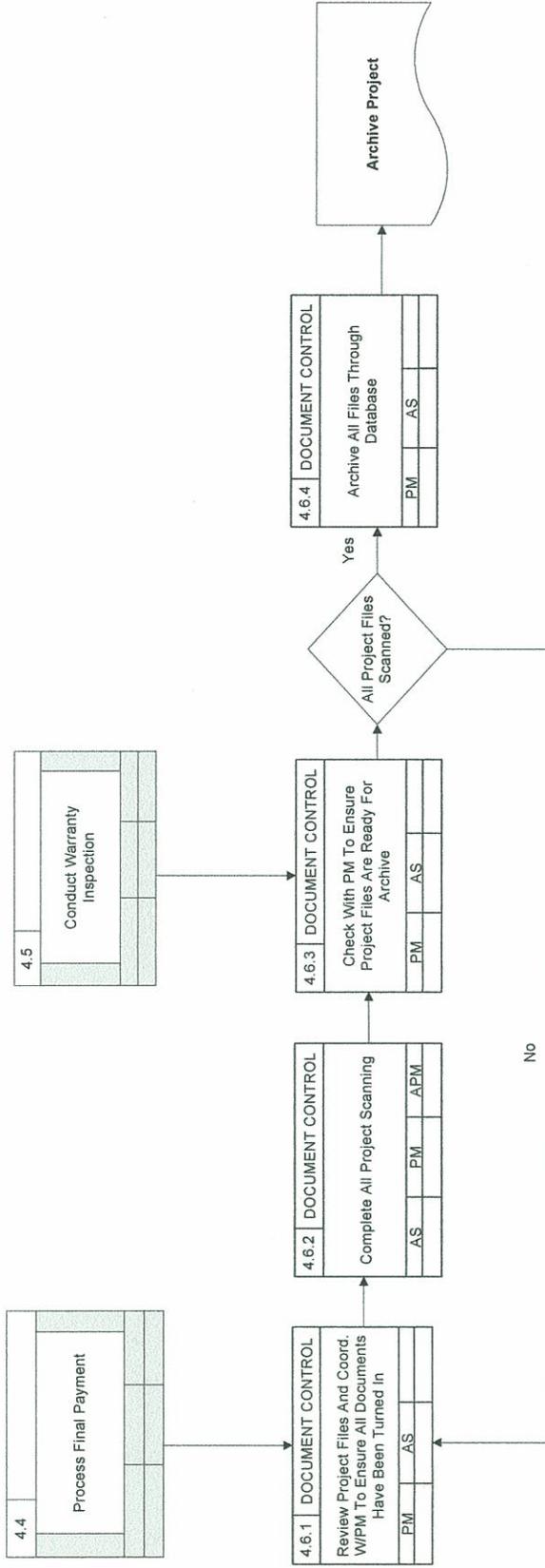


## STANDARD

### PROCESS 4.5 – CONDUCT WARRANTY INSPECTION

1. Warranty Inspections should be tentatively scheduled when the Certificate of Substantial Completion is prepared.
2. The letter scheduling the Warranty Inspection should be transmitted to the Contactor 10 days prior to the inspection.
3. The following individuals should be invited to the Warranty Inspection:
  - a. Owner/Operators
  - b. Senior Inspector
  - c. Project Inspector
  - d. Engineer of Record
  - e. City of Houston Design Project Manager
  - f. Council Members Office
  - g. Stakeholders

# PROCESS 4.6 - ARCHIVE PROJECT DOCUMENTS



8 Months      5 DAYS

## CITY OF HOUSTON - DEPARTMENT OF PUBLIC WORKS AND ENGINEERING - ENGINEERING & CONSTRUCTION DIVISION CONSTRUCTION BRANCH PROCESS MAP

### Legend

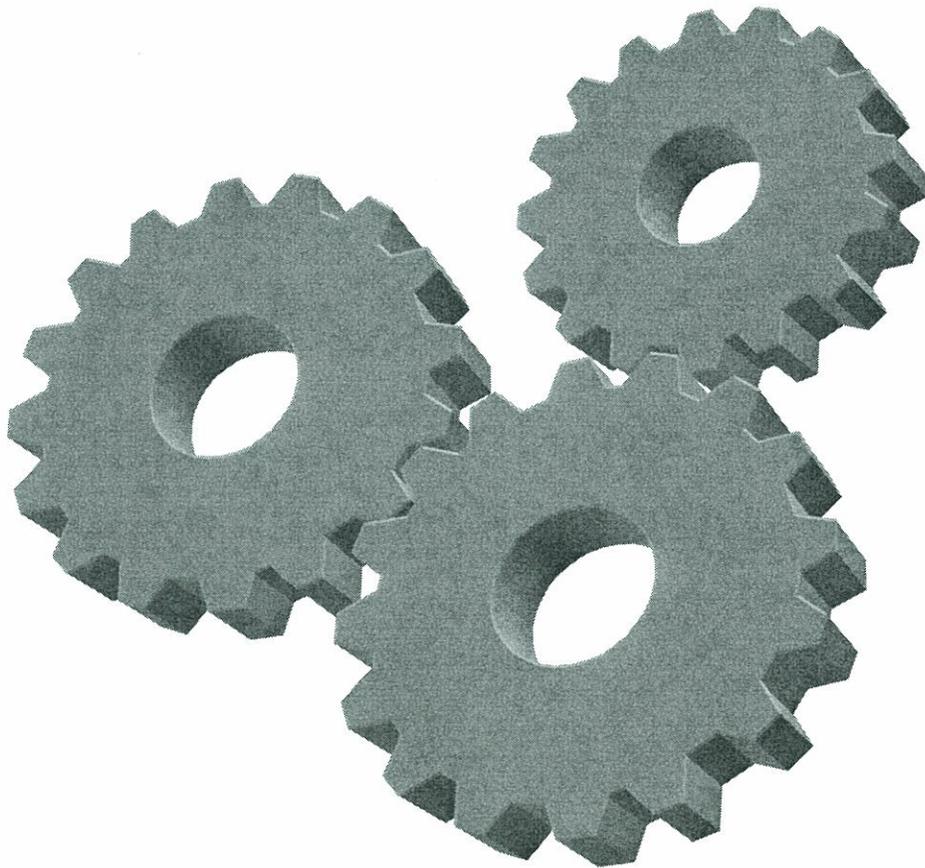
	Code	Process Owner(s)
	SubProcess Or Task	(CONTRIBUTOR) Likely to Participate in a process
	ME	ME
	SI	SI
	PM	PM
	DC	DC
	APM	APM

ME = MANAGING ENGINEER  
 SI = SENIOR INSPECTOR  
 EOR = ENGINEER OF RECORD  
 PM = PROJECT MANAGER  
 DC = DOCUMENT CONTROL  
 APM = ASSISTANT PROJECT MANAGER

Other Contributor  
 AD = ASSISTANT DIRECTOR  
 AS = ADMIN SUPERVISOR  
 PM = PROJECT MANAGER  
 DC = DOCUMENT CONTROL  
 APM = ASSISTANT PROJECT MANAGER

Update Database  
 Suggested Logical dependency between activities  
 Deliverable  
 Drawing Page: 1 of 1  
 Rev. Nov. 2011

# PROCESS STANDARD





**CITY OF HOUSTON**  
Public Works and Engineering  
Department

**Interoffice**

---

Correspondence

**To:**

**From:**

**Date:**

**Attn:**

**Subject: AUTHORIZATION FOR DESTRUCTION  
OF RECORDS**

According to our records **PROJECT: (DESCRIPTION), CONTRACT NO: (XXXX), WBS NO. (XXXXX-XXX)** has been closed. We are in the process of electronically archiving this project. Please confirm that this project is closed, and all records have been sent to the Construction Document Control and all the warranty issues have been addressed.

If all documents have been sent and have been captured in CIPMS the original hard copy file will be destroyed.

---

Project Manager

---

Managing Engineer

ec: Project File (WBS/Code)

## STANDARD

### PROCESS 4.6 – ARCHIVE PROJECT DOCUMENTS

1. All project files should be archived using CIPMS.
2. Project Manager and Document Control should coordinate any final scanning required for the project including but not limited to:
  - a. Contract documents
  - b. All correspondence including e-mails
  - c. Submittals
  - d. Reference information
  - e. Legal actions
3. Files should not be archived until Warranty Inspection has been completed and documents are scanned into CIPMS.
4. CM's are responsible for the scanning of all project documents into CIPMS. Actual archiving shall be performed by City Document Control staff. Project Manager and Document Control should ensure that all documents are scanned and filed in accordance with City File Code.