

SAN FRANCISCO PUBLIC UTILITIES COMMISSION INFRASTRUCTURE CONSTRUCTION MANAGEMENT PROCEDURES	
SECTION: SFPUC INFRASTRUCTURE CONSTRUCTION MANAGEMENT	APPROVED: 
PROCEDURE NO: 010	DATE: 6/7/2019
TITLE: APPLICATIONS FOR PAYMENT	REVISION: 1

1.0 Policy

This CM Procedure defines a standardized approach for preparing, reviewing, processing, and maintaining records for Applications for Payment. The Contractor shall submit an Application for Payment in accordance with the Contract Documents for each pay period on the 25th day of the month, accompanied by the required submittals as defined by the Contract Documents and listed in this procedure. The Application for Payment shall be made against the pay items defined in the Schedule of Bid Prices, which corresponds to a summary of the Schedule of Values contained in the approved Baseline Critical Path Method (CPM) Schedule. All Applications for Payment shall be reviewed and processed in a timely manner such that payment is made within fifteen (15) business days after Application for Payment is determined to be complete and recommended for approval by the RE and entered by the Contractor the San Francisco Public Utilities Commission (SFPUC) Online Invoicing System SOLIS.

SOLIS is an SFPUC electronic invoicing system that permits the Vendor or Contractor to input an invoice directly into the Contracts Administration Bureau (CAB) and SFPUC Financial Services Bureau Invoice Processing System.

This SFPUC Infrastructure CM Procedure applies to all personnel working on SFPUC Infrastructure projects during construction to the extent that their work is affected by this CM Procedure and does not conflict with specific SFPUC policies or the Contract under which the Work is executed.

2.0 Description

The Contractor uses Applications for Payment to apply for compensation for Work performed in accordance with the Contract Documents. Applications for Payment provide a detailed documentation of the progress and costs of the Work during the payment period and accumulated over the duration of the Contract.

3.0 Definitions

3.1 Schedule of Bid Prices

The Schedule of Bid Prices is a tabulation of the bid items (as indicated in Contract Specification Section 00 41 10 based on the Contractor's Bid Prices.

3.2 Schedule of Values

The Schedule of Values is a product of the cost-loaded Baseline CPM Schedule at project inception and of the Updated Monthly CPM Schedule at the time an Application for Payment is submitted. It provides a breakdown of all bid items in the Schedule of Bid Prices into Work activities for the purpose of facilitating an accurate assessment of the Contractor's progress.

The Schedule of Values shall be prepared and submitted in accordance with Contract Specification Section 00 72 00, General Conditions, and Contract Specification Section 01 29 73, Schedule of Values, and as otherwise directed by the City Representative.

The total of all items in the Schedule of Values shall equal the awarded amount of the Contract as amended by approved Change Orders and must correlate directly to the manner in which the CPM Schedule is organized, submitted and approved.

3.3 Contractor Payment Estimate Package

The Contractor Payment Estimate Package includes the Contractor's Payment Estimate, updated Monthly CPM Schedule, updated Summary Schedule, updated Schedule of Values, survey results for bid items, and updated Interim Contractor Record Drawings and all other requirements in the contract such as Contract Monitoring Division (CMD) forms 7 and 9, and the Contractor's Certified Payroll. A CM team member works with the Contractor to reach an agreed-upon assessment of the project progress prior to the Contractor's submittal of the Application for Payment.

In the Contractor Payment Estimate Package, the Contractor provides the basis of progress payments, showing the Contractor's assessment of progress and cost data for each item on the Schedule of Bid Prices as a percentage completed of Lump Sum Items or Units installed for Unit Price items, both on a current period and cumulative-to-date basis, quantities installed, materials stored, estimated costs, and percentage of construction completed. The Contractor Payment Estimate is a direct product of the updated Schedule of Values.

3.4 Application for Payment

The Application for Payment is entered by the Contractor into the Construction Management Information System (CMIS), after the Contractor Payment Estimate Package is approved by the RE. The Application for Payment is reviewed by the Lead Construction Inspector who confirms the percentage of work performed and accepted and the

Field Contracts Administrator (FCA) for compliance with Contract Specifications and for consistency with the Contractor Payment Estimate Package prior to forwarding it to the RE for final approval.

Upon approval, the RE signs the CMIS generated Application for Payment Form. The Contractor then enters the Application for Payment in SOLIS.

The CAB processes the Application for Payment in SOLIS. Once the payment application meets the CAB requirements, it is assigned to technical reviewers for approval. The first technical reviewer is the RE, the second is the PM and the third reviewer is the Construction Manager. Using the SOLIS system, technical reviewers approve payment. The CAB then forwards the approved Application for Payment to the Accounting Division of the Financial Services Bureau for payment.

3.5 Allowance Bid Items

Bid Items to be paid under Allowances are Work with undefined quantity and/or scope. Examples of this type of Work include Environmental Mitigation Measures, and handling, transportation and disposal of contaminated or hazardous excavated material.

3.6 Construction Management Information System (CMIS)

The CMIS is an online management tool for the processing of contract documents based on established SFPUC Infrastructure CM Business Processes. It serves as a tool for effective storage and retrieval of various documents generated during a construction project.

Processing of Applications for Payment will utilize the CMIS Application for Payment Module, which is a process-specific portion of the CMIS application designed to facilitate the processing of Applications for Payment, electronic retention of data and documents pertinent to Applications for Payment and reporting of Applications for Payment status. The CMIS is designed for the Contractor's direct entry of the submittal and the RE's direct entry of the submittal response into the system.

4.0 Responsibilities

4.1 Contractor

The Contractor prepares and submits the Updated Monthly CPM Schedule, Updated Summary Schedule and Schedule of Values, ensuring that all approved Changes are incorporated.

The Contractor submits the Contractor Payment Estimate Package for review and approval by the RE and provides the Interim Contractor Record Drawings and all other submittals as required by the contract for review. Upon approval of the Contractor Payment Estimate Package, the Contractor submits the Application for Payment into the CMIS, along with the required additional submittals listed in Paragraph 5.3.

4.2 Resident Engineer (RE)

The RE implements the Applications for Payment procedures, ensures the review and verification of the Contractor's Payment Estimate Package and Application for Payment, negotiates agreement with the Contractor for percentages complete and/or quantities contained in the Application for Payments, and recommends the Application for Payment for approval. In SOLIS the RE is Technical Reviewer #1.

4.3 Construction Scheduler

The Construction Scheduler helps the RE review the Contractor's Payment Estimate Package and Application for Payment by verifying the in-progress and completed activities and corresponding Schedule of Values cost in the cost-loaded CPM Schedules.

4.4 Field Contracts Administrator (FCA)

The FCA helps the RE review the Applications for Payment for compliance to Contract requirements, validates, processes, and records payment of Applications for Payment in CMIS, and maintains an Application for Payment file. The FCA coordinates with Construction Inspectors who confirm the percentage complete numbers submitted by the Contractor. The FCA reviews and confirm that all required back up documentation is submitted with the payment application.

The FCA is responsible for verifying that all approved and certified Change Orders are incorporated accurately into the Schedule of Values.

4.5 Office Engineer (OE)

The OE reviews the Interim Contractor Record Drawings to verify compliance with the contract documents and coordinates with the Lead Construction Inspector to verify accuracy relative to the actual work completed as a result of Requests for Information, Requests for Substitutions, and Change Orders. The OE will confirm that the Payment Estimate Package contains all submittals required by the contract.

4.6 Administrative/Document Control Specialist (ADCS)

The ADCS is responsible for logging and filing the Application for Payment and all associated documentation upon receipt of the Contractor's Estimate Package, Field Approved Application for Payment and certified payment of the Application for Payment.

4.7 Construction Manager

The Construction Manager monitors the Application for Payment process for each assigned project and resolves payment conflicts that may arise between the Contractor and the CM team. The Construction Manager approves the Contractor Application for Payment through SOLIS.

4.8 Project Manager (PM)

The PM is responsible for monitoring project costs and funding and for approving the Contractor's Applications for Payment through SOLIS.

4.9 Contracts Administration Bureau (CAB)

The CAB is responsible for the submitted Application for Payment through approval and certification in SOLIS. The CAB ensures that all contractually required CMD Forms and certified payroll and insurance forms are complete and compliant and that the Application for Payment is fully approved before submitting it to the SFPUC Financial Services Bureau for payment.

The CAB identifies line items in the Application for Payment that are subject to short pay and shall coordinate with the FCA for the reconciliation of the payment to the Contractor's Application for Payment.

4.10 Financial Services Bureau

The Accounting Division of the Financial Services Bureau is responsible for payment of Applications for Payment and for the accounting of the project's actual costs.

5.0 Implementation

The Contractor's Application for Payment is a monthly application for progress payment for Work accomplished, and materials purchased and stored during the payment period. Payment is made against the line items of the Schedule of Bid Prices documented in the Contract, and progress is measured by the Updated Monthly CPM Schedule and the Schedule of Values which is a product of the cost-loaded Baseline CPM Schedule.

The Application for Payment is made and processed in four (4) phases with the durations as shown:

- Prior to the 25th day of the month, the Contractor submits for the RE's review and approval the Contractor Payment Estimate Package containing all documents necessary to verify the progress of the Work.
 - o Duration: Five (5) working days; if additional time is required to reconcile differences between the RE's assessment of the progress of the Work, an additional three (3) working days may be allotted with Contractor concurrence.
- Upon RE concurrence and approval that the progress of the Work is accurately measured and documented, the Contractor submits the Application for Payment into CMIS.
 - o Duration: One (1) working day.
- The CM team reviews and the RE recommends the Application for Payment for approval.
 - o Duration: One (1) working day.
- The Approved Application for Payment is entered in SOLIS and submitted to the CAB for processing the payment. After the Application for Payment is paid, the CM team reconciles the Application for Payment data in CMIS.
 - o Duration: Fifteen (15) working days.

5.1 Schedule of Bid Prices Submittal and Update

The Schedule of Bid Prices is documented in the Contract. At the inception of the project, the FCA enters the Schedule of Bid Prices into the Contract Module of CMIS. The Schedule of Bid Prices is the basis for calculation of payment of items after the calculation of Work progress in the Updated Monthly CPM Schedule and Schedule of Values.

The FCA amends the Schedule of Bid Prices in CMIS during performance or at completion of the Work in accordance with approved Change Orders, refer to SFPUC Infrastructure CM Procedure No. 011, Construction Change Management. Such amendments are in the form of additional line items in the Schedule of Bid Prices representing the sum value of approved and certified Change Orders. The original Schedule of Bid Price line items shall not be modified after award.

5.2 Initial Schedule of Values Submittal

Within thirty (30) calendar days after Notice to Proceed, the Contractor submits a detailed Schedule of Values, which is a product of the cost-loaded Baseline CPM Schedule. The Schedule of Values provides the basis for the Contractor's progress of Work measurement. All Bid Items must be represented in sufficient detail to allow the RE to accurately verify measurement of progress and associated payment.

As part of the project kickoff, the Program Construction Management team shall meet with the Contractor and CM team members, including the Construction Scheduler, OE and Lead Construction Inspector, to provide guidance regarding assessment, tracking, and tabulation of Work progress, including quantities, of the items on the Schedule of Values in order to conduct timely and consistent review and to document Applications for Payment.

Each month thereafter, the Contractor shall submit, along with the Updated Monthly CPM Schedule, an updated Schedule of Values representing the Value of Work completed.

5.3 Contractor Payment Estimate Package

5.3.1 The Contractor shall submit a Contractor Payment Estimate Package each month prior to the 25th day of the month to allow sufficient time for review (see the suggested durations listed in Paragraph 5.0). The RE's approval of the Contractor Payment Estimate Package is the basis of the Contractor's subsequent input of the Application for Payment into CMIS. The Contractor Payment Estimate Package shall contain the following elements:

- Updated Monthly CPM Schedule, Summary Schedule and Schedule of Values to reflect the Contractor's assessment of progress of the Work and associated costs.
- Monthly Contractor's Progress Report with documentation showing completion of Work.

- Notification to the RE that the Interim Contractor Record Drawings are available for review.
 - Contractor Payment Estimate of the progress and cost of Work performed for the subject period, including the value of any Extra Work performed to date, the value of the materials and equipment delivered and stored on site but not yet incorporated into the Work accompanied by the paid invoices, and the value of any credits due the Owner. The Contractor Payment Estimate is in the Form of the Schedule of Bid Prices.
- 5.3.2 The OE, along with the Lead Construction Inspector, reviews the Interim Contractor Record Drawings for completeness and accuracy, and advises the RE on their acceptability. The RE may instruct the FCA to withhold an appropriate percentage of the total amount of the Application for Payment if the Interim Contractor Record Drawings are not satisfactory.
- 5.3.3 The RE reviews the Monthly Contractor's Progress Report for conformance with the required information and determines what, if any, additional information is needed from the Contractor to complete the report.
- 5.3.4 The RE, with the assistance from the Construction Scheduler, reviews the Contractor's Payment Estimate prior to the 25th day of the month. The RE ensures that the Contractor Payment Estimate includes the value of any extra work performed that has been authorized by an approved Change Order. The amount and value of Extra Work may be estimated in the same way Contract items are estimated. The RE must also ensure that the Contractor Payment Estimate includes the value of any credits due the City. Contract credits must be taken on the first period following the originally scheduled completion date of the work that is affected by the credit. The RE also determines if there are any withholdings, such as liquidated damages.
- 5.3.5 The RE shall require the Contractor to submit a listing of stored materials for which partial payment is requested prior to installation. The list of materials must show the appropriate cost of the materials separate from the cost of installation. Advanced payment for materials is intended to be used for major equipment/material items only. The RE ensures the accuracy of the listing of stored materials. Prior to inclusion of such materials into any progress payment, the RE verifies that the following requirements set forth in the Contract Documents have been met:
- The Contractor has submitted copies of original invoices and has certified that payment has been made to the supplier.
 - The Contractor has submitted a Schedule of Values incorporating the materials and equipment as pay items in accordance with the applicable provisions of the specifications.

- Other requirements detailed in the Contract Documents have been satisfied.
 - Certain Contracts may allow for payment for materials and equipment stored offsite. The RE must verify that payment is permissible under the Contract Documents and that the required conditions are met prior to approving such payment. Such a contract will require the Contractor to submit a detailed cost allocation showing separate costs for:
 - a. Materials and Equipment;
 - b. Delivery;
 - c. Installation;
 - d. Vendor Data;
 - e. Related start-up and testing requirements, if applicable; and
 - f. Related Operations, Maintenance and Service Manuals, if applicable.
- 5.3.6 Once approved, the allocation under the above items forms the basis for payment for the materials and equipment on hand, and limits payments to those materials and equipment.
- 5.3.7 Unit Price Items:
- a. Where Unit Price Items appear in the Schedule of Bid Prices, the RE must maintain tabulations for each Unit Price Bid Item showing the quantities installed and paid. Other information should include the bid item number, bid quantity and description, unit of measurement, Unit Price, quantity installed, and date of Work performed. The RE shall not approve any payment that exceeds the total amount of a bid item unless a change order is approved to increase the quantity and amount of that bid item.
 - b. Actual pay quantities shall be mathematically computed, measured, and counted. The computations must be prepared in a conventional manner, using standard calculation sheets, which are neat, legible, dated, signed, and assigned a pay item number and title. Reference shall be made to applicable drawings.
 - c. Certain Bid Item pay quantities may be derived from certified shipping weights, bar lists, scale weights, cut sheets, meter readings, and mill test reports, as outlined in the Contract Specifications.
- 5.3.8 Lump Sum Pay Quantities:
- The RE shall assess progress payments made against Lump Sum Bid Items which require the use of supporting data including: Daily Inspection Reports, Quantity Surveys, Interim

Contractor Record Drawings and physical inspection(s) of the Work. The detailed Contractor's Schedule of Values, which is approved prior to the start of work, provides a sound basis for agreement between the Contractor and RE on quantities of work completed during the period. However, the RE must ensure that the level of detail is sufficient to readily assess the cost percentage completion of each Lump Sum Bid Item.

- Following review of the Contractor's Estimate of Work, if there is not agreement on any proposed payment item, the RE must meet with the Contractor and negotiate agreement for the Value of Work completed during the payment period. This must be accomplished prior to the 25th day of the month, unless the Contractor concurs in writing to extend the negotiation period.

5.3.9 Allowance Bid Items:

Where a Bid Item is indicated in the Contract to be paid under an Allowance, whether it is a unit price item with undefined quantity or a Lump Sum Item with undefined quantity and scope, the Construction Manager, with the help of his FCA and Project Engineer (PE), will estimate a quantity and prepare a scope to be given to the Contractor in the form of a Work Order.

Each time Work is needed to be performed under this Bid Item, the Allowance Request form (see Attachment 010-1) shall be submitted to the Senior PM and/or Project Manager (PM) for approval.

Work and payment for the Work under Allowance Bid Items shall proceed as a Force Account Work and shall apply with Technical Specification Section 00 73 00, Supplementary Conditions and CM Procedure No. 013 Administration of Force Accounts.

5.4 **Applications for Payment**

5.4.1 Upon approval of the Contractor Payment Estimate Package, the RE will instruct the Contractor to enter an Application for Payment into CMIS.

- On the 25th day of the month, the Contractor enters the Application for Payment into the CMIS Application for Payment Module based on the approved Contractor's Payment Estimate Package.

5.4.2 The Contractor shall enter the quantity of units installed or actual value of lump sum work accomplished.

- At no time should the claimed value of work exceed that which was accomplished.
- At no time should the claimed value of work exceed the value of the Schedule of Bid Price line item to which that work is assigned.

- The value of the claim for payment for materials purchased but not installed shall not exceed 70% of the total value or total units of the pertinent Schedule of Bid Price line item or the percentage allowed for by the contract. This value shall be entered in the “This Period” field of the line item and shall not be entered as Materials Stored. The remaining value of the line item shall be entered into subsequent Applications for Payment as the Work is performed.
 - a. The Contractor uses the CMIS “Ball in Court” function to forward the action to the CM team for approval. The Application for Payment is addressed to the RE as City Representative. The responsibility to administer the Application for Payment is delegated to the FCA, to whom the Ball in Court is assigned.
- 5.4.3 Concurrent with or before the submittal of the Application for Payment, the Contractor submits the following required submittals:
- CMD Forms, as required;
 - Insurance Certificates, if required by policy renewal;
 - Certified Payroll electronically using the City approved project reporting system Elations.
- 5.4.4 Upon receipt of the Application for Payment in CMIS, the FCA, with assistance from the Construction Scheduler, processes the Application for Payment as described below. If the Application for Payment is not compliant with contractual requirements, or if required documents are not included in the Application for Payment Package, either as delivered hardcopy documents or electronic documents attached to the CMIS Application for Payment Record, the FCA shall reject the Application for Payment and notify the Contractor by e-mail regarding the missing required documents or information.

The FCA shall:

- a. Verify the entry of the progress and cost values in the Application for Payment against the agreed-upon Contractor Payment Estimate, and correct discrepancies in CMIS, noting at the line item the reason for modification.
- b. Consult with the PM to verify that sufficient funds remain in the Contract to cover the value of the Application for Payment, and that the labor rates are correct.
- c. Verify the quantities and condition of material stored.
- d. Verify the retention amount.
- e. Check expiration dates of the Contractor’s Insurance Certificates.

- f. Verify required CMD Forms. The Contractor should submit these forms simultaneously with the submittal of the Application for Payment into CMIS.
 - g. Verify that Certified Payrolls for the time period involved were submitted electronically in LCPTracker . which replaced Elations previously used. Check that the Contractor has been maintaining OLSE sign-in sheets.
 - h. Assemble the Progress Payment Package consisting of the Application for Payment (Attachment 010-2), CMD Forms, Insurance Certificates, Certified Payroll and Subcontractor Invoices.
 - i. Prepare and verify completeness of the Application for Payment.
 - j. Obtain the signature of the RE as recommendation for approval.
 - k. Maintain payment record/history of each Bid Item.
- 5.5.5 The RE reviews and signs the Application for Payment as recommendation for approval and returns it to the FCA.
- 5.5.6 The FCA ensures that the ADCS maintains a complete and documented hardcopy and electronic records of the entire Application for Payment. Records shall include all elements of the Contractor Payment Estimate Package, including documentation of negotiation, the Application for Payment signed by the RE, and documents required to be submitted with the Application for Payment. These records must include all necessary data to support the respective percentage complete or quantities installed and paid to date. To the degree possible, all pertinent documents shall be retained in electronic form as attachments to the Application for Payment record in CMIS. All documents shall be filed in hardcopy in the CM team's hardcopy files.
- The Pay Records are subject to audit and must be maintained in a neat and orderly manner and kept up-to-date at all times.
- 5.5.7 The ADCS scans and attaches all elements of the Contractor Payment Estimate Package and Application for Payment to the Application for Payment Record in CMIS, and forwards via e-mail the complete Application for Payment to the FCA.
- 5.5.8 The FCA transmits via e-mail the complete Application for Payment Package to the Contracts Administration Bureau (CAB) for further processing and payment.
- 5.5.9 The CAB processes the Application for Payment using SOLIS and verifies the required additional submittals. The PM and the Construction Manager review the payment application in SOLIS. The CAB routes the approved Application for Payment to the Accounting Division of the Financial Services Bureau for payment.

5.5.10 Upon payment of the Application for Payment, the CAB notifies the PM via e-mail the amount paid to the Contractor. The Senior PM forwards the e-mail to the RE who, in turn forwards the e-mail to the FCA and ADCS.

5.5.11 The FCA reconciles the amount paid to the Contractor to the Application for Payment, and coordinates with the CAB in order to account for and report to the RE any changes to the payment by CAB or the Accounting Division of the Financial Services Bureau.

6.0 Other Procedural Requirements

6.1 Schedule of Bid Prices

The Schedule of Bid Prices, logged into the CMIS Contracts Module, is subject to modification during the course of the project by approved Changes to the Contract. This procedure is described in SFPUC Infrastructure CM Procedure No. 011, Construction Change Management.

6.2 Unit Price Items and Allowances

6.2.1 Application for Payment line items shall not exceed the Unit Price and Allowance Bid Items values in the Schedule of Values or the Bid Proposal line item without prior authorization through an approved change order.

6.2.2 When the Application for Payment line item value has reached 80% of the value of the Unit Price or Allowance Bid Item and the RE determines that the Work will exceed the value of the Bid Price line item, the RE shall issue a Change Order for the anticipated added cost of Work prior to that Work being performed.

6.2.3 No additional billing shall be made to the Schedule of Bid Price line items for which work is complete and the billed value shall not exceed the value of the completed work. The Percent Complete value shall be a true representation of the percentage of the value of the Unit Price and Allowance Schedule of Bid Price line item that has been expended and shall remain unchanged for the duration of the contract period. Utilization of Allowances require PM approval.

6.2.4 A Bid Reconciliation Change Order shall be issued at the discretion of the RE to adjust the total Contract value to account for unused funds associated with Unit Price and Allowance Schedule of Bid Price line items.

6.2.5 Allowance Bid Items will not be used before prior approval by the PM. The RE shall submit a request in the form provided in Attachment 010-1 Allowance Request Form.

7.0 References

7.1 Technical Specifications

Section 00 41 10 Schedule of Bid Prices
Section 00 45 60 Highest Prevailing Wage Rate Certification
Section 00 64 00 CMD Contract Forms
Section 00 72 00 General Conditions
Section 00 73 16 Insurance Requirements
Section 01 29 73 Schedule of Values
Section 01 20 00 Price and Payment Procedures
Section 01 32 16 Construction Progress Schedule

7.2 SFPUC Infrastructure CM Procedures

No. 005 Submittals
No. 003 Project Documents and Correspondence Control
No. 011 Construction Change Management
No. 012 Construction Schedule Management
No. 013 Administration of Force Accounts
No. 030 Daily Inspection Reports
No. 031 Weekly Project Construction Report
No. 045 Certified Payroll Reports

7.3 Others

None

8.0 Attachments

010 - 1 Allowance Request – Form
010 - 2 Application for Payment - Form
010 - 3 Application for Payment Log
010 – 4a Retention Release Memo
010 – 4b Retention Release Memo
010 - 5 Memo for Payment After Substantial Completion
010 – 6 Revision Control Log

Attachment 010 – 1 Allowance Request - Form

Create Allowance Request Form	
<u>Allowance Request Form</u>	
Work Order No.: Project Name: Contract Number: Contractor Name: Bid-Item/Change Order No.:	Date: RE:
Total Allowance Amount: Requested Allowance Amount for this Work Order: Remaining Allowance Amount in Bid-Item No. ____: Change Order No. ____: Percentage Used to Date including this Work Order: \$000,000,000.00 \$000,000,000.00 \$000,000,000.00 00.00%	
Brief Description of the Scope of Work: (attach a detailed description including basis of estimated quantity and basis of Allowance amount/cost): 	
Prepared By: _____ FCA Date: Reviewed and Submitted By: _____ Resident Engineer (RE) Date: Approved By: _____ Project PM/Senior PM Date:	

Attachment 010 – 2

Application for Payment - Form

Create Application for Payment Form										
<u>Application for Payment Form</u>										
Application No.:							Date:			
Project Name:							RE:			
Contract Number:										
Contractor Name:										
Period To:										
A	B	C	D	E	F	G		H	I	
Item No.	Description of Work	Scheduled Value	Work Completed		Materials Presently Stored NOT in Column D or Column E	Total Completed and Stored to Date (D+E+F)	%	Balance to Finish (C – G)	Retainage (If Variable Rate)	
			From Previous Application	This Period						
<u>Required Submittals:</u>										
0	Project CM Schedule					Original Contract Value:		0		
0	Summary Schedule					Approved Change Orders:		0		
0	Summary of Values					Current Contract Value:		0		
0	As-Built Record Drawings					Previously Paid:		0		
0	Environmental Reports					This Period:		0		
0	Certified Payroll					Retention:		0		
0	HRC Forms					Amount Due:		0		
						Balance:		0		
Approved By RE: _____ Date: _____										

Attachment 010 – 3 Application for Payment Log

Create Application for Payment Log							
<u>Application for Payment Log</u>							
Project No.:					Date:		
Project Name:					RE:		
Contract Number:							
Contractor Name:							
Period To:							
Contractor Name	CMB	Scheduled Value	From Previous Application	This Period	Total Stored to Date	Retainage	Balance to Finish + Retainage
To:	From:						

**Attachment 010 – 4a
Retention Release Memo**

Type on current SFPUC Letterhead with the Program Logo

ESCROW (FUNDS or SECURITIES) RETAINED FUNDS RELEASE

Date: <enter date here>

FINANCIAL INSTITUTION/BANK INFORMATION:

Escrow Agent's Name

Name of Bank or
Financial Institution

Address

City, State, Zip-Code
Phone Number _____
Fax Number _____

The Project Manager initiates this request for approval of release of either funds or securities in an escrow account or funds retained by the City. The PM completes this release: obtains verification from Accounting that there is no encumbrance on the funds or securities; and delivers to Contract Administration for UEB Manager approval of release.

In accordance with the Escrow Agreement, or Contract between the City and County of San Francisco and <insert company name here>, you are hereby authorized to release escrow (funds or securities) or retained funds as follows:

ESCROW ACCOUNT/RETAINED FUNDS INFORMATION

Escrow Account Number: _____
Contract Number: _____
Project Name: _____
Funds in escrow after payment # <insert payment number – here> \$ _____ 0.00
Amount of escrow funds to release: \$ _____ 0.00
Balance in escrow funds after release: \$ _____ 0.00

APPROVALS

Project Manager (recommending release of funds or securities):

Print NAME	SIGNATURE	DATE

Accounting Department (verifying no encumbrance on funds or securities):

Print NAME	SIGNATURE	DATE
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**Attachment 010 – 4b
Retention Release Memo**

Type on current SFPUC Letterhead with the Program Logo

MEMORANDUM

Date: <current date: month/date/year – enter here>

TO: <First Name, Last Name – enter here>
<Title – enter here>

THROUGH: <First Name, Last Name – enter here>
<Title - enter here>

FROM: <First Name, Last Name - enter here>
<Title – enter here>

SUBJECT: <Insert Project Number and Project Title – enter here>
Release of Retention 00% or more “Physically Complete”

<**Body of Memo** – enter here>

Attached you will find the signed Memorandum to Release Retention to <insert company name – enter here> and the signed Escrow Retained Funds Release.

If you need anything further to release <insert company name – enter here>’s retention, please let <insert ADCS-Name – enter here> know. <Insert email address: theuser@sfwater.org>.

Attachment 010 - 5
Memo for Payment After Substantial Completion

Type on current SFPUC Letterhead with the Program Logo

MEMORANDUM

Date: <current date: month/date/year – enter here>

TO: <First Name, Last Name – enter here>
<Title – enter here>

THROUGH: <First Name, Last Name – enter here>
<Title – enter here>

FROM: <First Name, Last Name – enter here>
<Title – enter here>

SUBJECT: <Insert Project Number and Project Title – enter here>
Release of Retention 80% or more “Physically Complete”

This memo confirms and validates that the Construction Contract No. <contract number – enter here>, Contract title <contract title – enter here> is <percent complete – enter here>% or more “physically complete”. Per the Admin Code Section 6.22(J), <percentage – enter here>% of the estimated value of work yet to be completed must still be held in retention.

Here is the value of the remaining bid items to support the above claim:

<u>Bid Item</u>	<u>Value</u>
Work completed not yet billed:	\$0.00
Value of Work yet to be completed:	\$0.00
Retention to be withheld:	\$0.00

Here is the calculation of the contract value to support the above claim:

<u>Item</u>	<u>Value</u>
Original Contract Value:	\$0.00
Contract Modifications (in FAMIS):	\$0.00
Estimated Modification at close-out:	\$0.00
Estimated Final Contract Value at close-out:	\$0.00
Work Completed to Date (as of payment #00):	\$0.00
Value of Work to be paid under Final Payment:	\$0.00
Percent of Work Complete (as of payment #00):	00%

RETENTION RELEASE INFORMATION:

Balance of Retention Funds after Progress Payment #00:	\$0.00
Amount of Funds to Release:	\$0.00

Balance of Funds after Release: \$0.00

APPROVALS

In accordance with the contract between the City & County of San Francisco and <company name – enter here>, you are hereby authorized to release retention funds as indicated in this memo.

Contractor:

_____	_____	_____
Print NAME	SIGNATURE	DATE

Resident Engineer:

_____	_____	_____
Print NAME	SIGNATURE	DATE

Project Manager/Senior Construction Manager:

_____	_____	_____
Print NAME	SIGNATURE	DATE

Construction Management Bureau Manager:

_____	_____	_____
Print NAME	SIGNATURE	DATE

Attachment 010 - 6
Revision Control Log

Revision No.	Revision Date	What changed?
Rev 1	6/7/19	• Minor format changes • Section 4.0; 4.8 added Senior to PM • Attachments - revised • Revision Control Log - updated
Rev 0	11/14/16	Signed