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DPW DIRECTIVES AND PROCEEDURES
MANUAL

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DPW Directives and
Procedures Manual

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DEPARTMENT OF PUBLIC WORKS AND HIGHWAYS

DIRECTIVES AND PROCEDURES MANUAL

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PREFACE

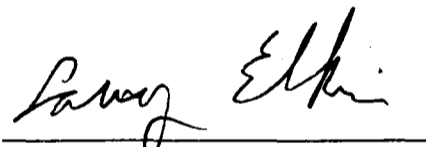
This manual has been prepared by the Department of Public Works and Highways, for distribution to all Departmental project management personnel. Its purpose is to provide each project individual with current information regarding Departmental wide Directives.

A Directive is basically a statement of specific action(s) that all employees shall be required to follow when carrying out specific tasks in the performance of their duties. A Directive ensures that a formal and consistent approach is taken towards a particular matter.

This Directives Manual is intended to be used in conjunction with the DPW&H Contract Administration Manual, which has recently been issued to all Project Managers/Officers. The attached manual is intended to assist project personnel in selecting the appropriate procedures for conducting projects within the GNWT and to direct their management skills and efforts towards their primary objective, that of successful project completion.

Further Directives are being prepared and will be distributed in due course. As well, the attached Directives will be periodically updated as required. Suggested new Directives, or recommended revisions to existing ones, should be discussed with your Director or Regional Superintendent.

I trust that you will review and become familiar with the contents of these Directives in order that a consistent approach can be applied towards the accomplishment of our project duties.



Larry Elkin,
Deputy Minister.

DPW&H DIRECTIVES AND PROCEDURES MANUAL

INTRODUCTION

The Public Works and Highways Directives and Procedures Manual is designed to inform all project personnel of the various Directives and Procedures that exist for the Department. As all staff must be aware of these Directives in order to perform satisfactorily their duties and as the number of Directives has grown recently, management has decided that it is appropriate for all project staff to possess a copy of this manual.

These DPW&H internal Departmental Directives are not intended to replace any Government wide Policies. In fact, a section has been allocated at the end of this binder for the insertion of any complementary GNWT Policies or other documents, at the individual's discretion.

USING THE MANUAL

A) Organization

This Manual has been designed to organize Directives generally along functional lines. The subject areas covered in each section are as shown below. Each Directive included in a section is numbered consecutively and is identified by a unique 3 or 4 digit number.

General Administration	10
Project Management	20
Finance	30
Personnel	40
Buildings	50
Works	60
Utilities	70
Accommodation Services	80
Equipment	90
Highways	100

B) Manual Holder's Responsibility

Project personnel assigned a copy of the Directives Manual have the following responsibilities:

1. Ensure any of your staff without a copy are aware of the contents and have access to it. If one or more of your staff did not receive a copy and you determine that it is warranted that they should have their own copy, contact the Policy, Planning and Training Division (PP&T) to obtain further copies.
2. Maintain custody and upkeep of the Manual. Revisions or amendments to it will be issued periodically through the Policy and Planning Officer, PP&T. Make any changes as soon as amendments are received.
3. Notify PP&T of any errors or omissions.
4. Suggested new Directives, or recommended revisions to existing ones, should be discussed with your Chief or Regional Engineer.

DPWGS DIRECTIVES AND PROCEDURES MANUAL

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<u>SECTION</u>	<u>NUMBER</u>	<u>DATE</u>	<u>DIRECTIVE</u>
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DPW&H DIRECTIVES AND PROCEDURES

PRESS RELEASES FOR CONTRACT AWARDS

No.: 10-1
Issue: 2
Date: June 30, 1987
Supercedes: July 15, 1985

STATEMENT OF DPW&H POSITION

The Department of Public Works and Highways supports the dissemination of information to the general public in a manner that:

- a) supports the role of the Minister as head of the Department;
- b) recognizes the need for timeliness in the release of information to the public;
- c) provides sufficient detail about Departmental activities to assure an informed public; and
- d) ensures a coordinated approach in preparing statements to the public.

AUTHORITIES

GNWT Public Affairs Policy

SCOPE

This Directive applies to the release to the public of information, in the form of press releases, concerning DPW&H contract awards. It does not apply to dissemination of any other information related to DPW&H activities as that is governed by the GNWT Public Affairs Policy. It also does not apply to the release of information regarding programs or projects where funding or other agreements provide for the release of information.

DEFINITIONS

- 1. Press Release in this Directive means the public communication to the media of information concerning contract awards.
- 2. Contract Awards means all contracts whose value exceeds \$100,000 where the project name and description, contractor, amount and schedule are routinely and regularly announced publicly.

PROVISIONS**1. Authorities**

Press releases concerning contract awards shall be reviewed by the Director of Policy, Planning and Training, the Deputy Minister and issued through the Minister's office.

2. Routing of Press Releases

For press releases concerning contract awards, the Policy, Planning and Training Division shall prepare a press release for submission through the Deputy Minister to the Minister. The Executive Assistant to the Minister, on behalf of the Minister, shall arrange for announcement with the Department of Culture and Communications.

3. Contract Awards

The Contracts and Capital Planning Division has information about Headquarters contract awards. That Division shall be responsible for ensuring that the details of Regional contract awards are obtained from the Regions.

Depending on the volume of contract awards, but at least once a month, the Contracts and Capital Planning Division shall submit to the Policy, Planning and Training Division, details about Headquarters and Regional contract awards. This information shall include but is not limited to:

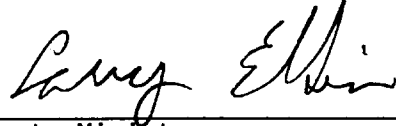
- a) the title of the project and location,
- b) name and community of the successful contractor, the contract amount and the date of award,
- c) names and addresses of the unsuccessful bidders and their amounts bid,
- d) the DPW&H Project Officer responsible for the project.

The Policy, Planning and Training Division shall obtain from the Project Officer:

- a) a description of the project
- b) the extent of community involvement, ie., use of local labour, businesses, subcontractors and suppliers,
- c) scheduled commencement/completion dates.

For projects greater than \$250,000 in value, a joint press release shall be issued by the Minister of DPW&H and the Member of the Legislative Assembly for that constituency. The Department of Culture and Communications shall be responsible for obtaining the approval of the appropriate MLA.

4. Nothing in this Directive shall in any way be construed to limit the prerogative of the Deputy Minister to make decisions or take actions, respecting press releases, outside the provisions of this Directive.



Deputy Minister,
Department of Public Works
and Highways.

No.: 10-2
Issue: 1
Date: August 1986
Supersedes: New

PROPERTY LOSS REPORTS

STATEMENT OF DPW&H POSITION

The DPW&H operates and maintains buildings and works owned and leased by the GNWT in all Regions of the NWT. These assets are insured by commercial underwriters against loss, theft, damage or destruction due to fire and other causes. As a condition of insurance coverage, all occurrences of loss, theft, damage or destruction shall be promptly reported to the underwriters. Property Loss Reports shall be used to convey the information regarding loss, theft, damage or destruction.

SCOPE

This Directive applies to the loss, theft, damage or destruction, exceeding \$200 in value, of any building or work, either:

- i) owned by the GNWT and included in the inventory of assets, or
- ii) leased to or otherwise in the custody of the GNWT.

This Directive also applies to the contents of the building or work such as furniture and portable equipment.

This Directive does not apply to the loss, theft, damage or destruction of mobile equipment such as motor vehicles, either owned by, leased to or otherwise in the custody of the GNWT.

PROVISIONS

1. AUTHORITIES AND ACCOUNTABILITIES

- a) Deputy Minister

Approves changes to this Directive.

b) Regional/District Engineer

Ensures preparation and distribution of Property Loss Reports for the loss, theft, damage or destruction (hereinafter referred to as "damage") of properties in his/her Region/District.

Ensures changes in inventory are made when necessary.

2. APPLICATION

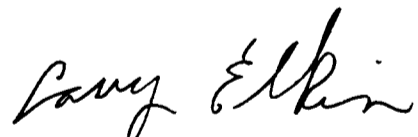
Reporting of damage is required in each case where total damage cost exceeds \$200, regardless of the cause of damage. This would include such things as vandalism, damage by escaping inmates, theft, loss through accidents such as fire, upset of watercraft and damage by wild animals, natural phenomena such as freeze-ups, roofs blowing off, etc.

Regional/District Engineers will designate one or more persons to be responsible for inspecting each occurrence of the damage, estimating the cost to repair damage and to prepare the Property Loss Report in the proper form (Appendix "A" of this Directive). Typically, Area Maintenance Officer and/or Settlement Maintainer will be designated for investigation and reporting. The report will be sent to the Regional/District Engineer within a week of occurrence of incident for approval and onward transmission as described below.

The Regional/District Engineer will send the report, within two weeks of occurrence, to Risk Management and Insurance Division, Department of Finance, GNWT, Yellowknife, with a copy to Chief, Operations Division, DPW&H, Yellowknife. A copy will be retained by the Regional/District Engineer.

The Regional/District Engineer will also initiate action to change the inventory in the Region/District and Headquarters records.

If the estimated amount of damage exceeds \$5,000, the person investigating the incident on behalf of the Regional/District Engineer shall immediately make a verbal report to Risk Management & Insurance Division by telephone ([403] 873-7307), followed by a written report as described above.



Deputy Minister,
Department of Public
Works and Highways

No.: 10-2
Issue: 1
Date: August 1986
Supersedes: New

PROPERTY LOSS REPORT

To be completed for ALL occurrences of loss, theft, damage or destruction worth more than \$200 of assets owned by, leased to, or otherwise in the custody of the Government, except motor vehicles.

If the estimated amount of loss or damage exceeds \$5,000, report immediately by phone to Risk Management & Insurance, Department of Finance, Yellowknife, (403) 873-7307.

PERSON REPORTING

Name: _____ Title: _____
Phone: _____ Department: DPW&H
Settlement: _____ Region: _____

DETAILS OF OCCURRENCE

Date of Occurrence: _____ Time: _____
Location (be specific): _____
Description of Occurrence: _____

DETAILS OF PROPERTY AND DAMAGE

GNWT Asset No.: _____

Description of Property Lost or Damaged: _____

Owner: _____

How did loss or damage occur: _____

Description of damage (be specific, attach photographs, if possible): _____

Estimate of cost to repair or replace: _____

Please attach any other pertinent details and the name of any person who may be able to provide additional information.

Forward this report within two weeks of occurrence to:

RISK MANAGEMENT & INSURANCE DIVISION
Department of Finance, GNWT
P.O. Box 1320,
YELLOWKNIFE, N.W.T.
X1A 2L9

cc: Chief, Operations Division,
DPW&H, GNWT
P.O. Box 1320
YELLOWKNIFE, N.W.T.
X1A 2L9

D.P.W. & H. DIRECTIVES AND PROCEDURES

No.: 20-1
Issue: 3
Date: July 8, 1986
Supercedes: June 15, 1984

CAPITAL PROJECT REPORTING DIRECTIVE

STATEMENT OF D.P.W. & H. POSITION

As part of its mandate to manage all construction work for the Government of the N.W.T., the Department of Public Works and Highways shall establish and maintain a reporting system on all capital projects under its control. The Department will invoke this requirement in a manner which will:

- a) Advise the Client on a frequent basis on the physical and financial status of the project.
- b) For Headquarters managed projects, advise the Regional Engineer/Maintenance Head on the physical and financial status of projects being undertaken in their Region. Alternately, for Regionally managed projects, advise the appropriate Division Chief on the physical and financial status of all projects within their field of concern.
- c) Ensure the successful completion of projects by giving Senior D.P.W. & H. Managers the opportunity to review project performance and allow D.P.W. & H. Managers to correct potential problems before they become significant.

AUTHORITIES

None applicable.

SCOPE

This Directive applies to all capital projects being directly managed by the Department of Public Works and Highways.

DEFINITIONS

1. Capital Project means any project funded through the Government of the N.W.T.'s capital appropriation or through programs directly funded by the Federal Government and managed by Public Works and Highways, and is not limited to study, design or construction projects. Also included are capital funded projects for tools, equipment and upgrading of existing facilities.

2. Major Project, for the purposes of this Directive, means any capital project with a total estimated lifetime cost of \$100,000 or more.
3. Minor Project, for the purposes of this Directive, means any capital project with an estimated lifetime cost of less than \$100,000.
4. Designated Officer means the Client Department's Manager for that particular capital project as designated by the Client Department.

PROVISIONS

1. Authority And Accountabilities

a) Project Officers

- are responsible for the completion of all individual capital management reports on all major and minor projects under their control.

b) Finance Division

- shall provide Headquarters Project Management Divisions with a monthly report for each project outlining approved budgets, actual expenditures, commitments and free balance. In Regions, the Regional Engineer shall ensure that this information is also available to all Project Officers.

c) Contracts & Capital Planning Division

- is responsible for the preparation of an overall Summary Capital Management Report. The Summary Report will identify those projects which are behind schedule or appear to be developing potential problems.

2. Application

For major capital projects, the Project Officer shall complete a detailed status report on each individual project under their control. A copy of this report is attached as Form #1 in Appendix A. Detailed instructions for completing the form are included in Appendix B.

For minor capital projects, the Project Officer may use Form #1 or alternately may provide an abbreviated report by Client Department, using Form #2 in Appendix A. Detailed instructions for completing these forms are also included in Appendix B.

The Contracts and Capital Planning Division shall provide a summary report by Client Department activity.

Reporting for a new capital project will commence in the month that a transfer of funds is received from the Client Department. Reporting will terminate once a Final Certificate of Completion has been issued or the project has been cancelled.

3. Reporting Frequency

3.1 Capital Management Reports

3.1.1 Capital Management Reports - General

All reports shall be prepared on a monthly basis except as noted under 3.1.2 and 3.1.3 below. In order for the status reports to be of any value, the information being presented must be as current as possible. In Headquarters, the Finance Division will record and distribute copies of financial ledgers by the fifth working day of the month following the month being reported on. The Project Officers shall complete all reports by the tenth working day of the month. In Regions also, the Project Officer shall have reports completed by the tenth working day of the month.

3.1.2 Capital Management Report for the Month of March

The Project Officers shall complete the reports for the month of March, on or before the due date for identifying old year charges which can be accrued, as required by the Department of Finance (usually in mid-May). Copies of the reports from Headquarters shall be submitted to the Contracts and Capital Planning Division within three days from the above due date. Copies of Regional reports shall have arrived in the Contracts and Capital Planning Division within five days from the above due date.

3.1.3 Capital Management Report for the Month of April

Reports for the month of April will not be required.

3.2 Capital Management Summary

An overall construction report summary shall be completed by the Contracts and Capital Planning Division by the eighth working day of the month following that month the reports were due to be received.

The March report shall be produced for printing within five working days after the receipt of Regional reports (near the end of the May).

4. Distribution

Individual Capital Management Reports

A copy of the individual project reports (Forms 1 and 2) shall be sent to the following:

- a) Client Department - one copy to the designated Officer.
- b) Regional Engineer/Maintenance Unit Head - one copy for all projects in their Region. Where the project is being managed by the Region, this copy goes to the Chief Engineer or Architect as designated by the project type.
- c) Contracts & Capital Planning Division - one copy.
- d) Project File - one copy.
- e) Project Officer - retains one copy.

Distribution of these reports should be as follows:

- a) Headquarters Managed Project:
 - the Project Officer prepares the report, retains his copy and then passes it to the Project Manager by the 10th working day of each month.
 - The Project Manager reviews and signs all reports and then passes the report to the Chief.
 - The Chief reviews and signs all reports and forwards to the Contracts and Capital Planning Division. This shall be completed by the 12th working day of the month.
- b) Regionally Managed Projects:
 - The Project Officer prepares the report, retains a copy and then passes it to the Assistant Regional Engineer.
 - The Assistant Regional Engineer reviews and initials the report and then forwards to the Regional Engineer.
 - The Regional Engineer reviews and initials and then distributes the report copies.

5. Capital Management Report Summary

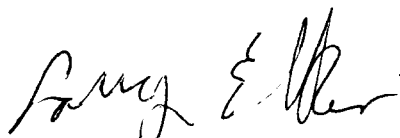
The following shall receive a copy of the overall Capital Management Report Summary:

1. Deputy Minister of Public Works and Highways.
2. Assistant Deputy Ministers of Public Works and Highways.
3. Regional Engineers of Public Works and Highways.
4. Chief, Architectural Division, Department of Public Works and Highways.
5. Chief, Engineering Division, Department of Public Works and Highways.
6. Chief, Highways Division, Department of Public Works and Highways.
7. Chief, Finance Division, Department of Public Works and Highways.
8. District Engineer, Y.K. District Office, Department of Public Works and Highways.
9. Head, Highways Maintenance Unit, Department of Public Works and Highways, Hay River.

Distribution will be carried out by the Contracts and Capital Planning Division with a covering letter signed by the Chief of the Division.

6. Instructions - Form Completion

Instructions on completing forms are included in Appendix B with examples.



Deputy Minister,
Department of Public Works
and Highways.

APPENDIX A
FORMS



**CAPITAL MANAGEMENT REPORT
MAJOR PROJECT**

Northwest Territories Public Works

PROJECT NUMBER

PROJECT TITLE

LOCATION

MONTH/YEAR
CLIENT DEPARTMENT
CLIENT DESIGNATED OFFICER
CONSULTANT
CONTRACTOR
PROJECT MANAGEMENT RESPONSIBILITY CENTER

FINANCIAL STATUS	TOTAL PROJECT REQUIREMENTS				
	PRIOR YEARS	CURRENT FISCAL YEAR	NEXT FISCAL YEAR	FUTURE YEARS	TOTAL ESTIMATE COST
	\$	\$	\$	\$	\$
CURRENT FISCAL YEAR BUDGET					
APPROVED D.P.W. BUDGET	Y.T.D. COMMITMENT	Y.T.D. EXPENDITURES	FREE BALANCE	ESTIMATED YEAR END EXPENDITURE	
\$	\$	\$	\$	\$	
COMMENTS					

STAGE	SCHEDULED COMPLETION DATE	ANTICIPATED COMPLETION DATE	OVERALL % OF COMPLETION
-------	---------------------------	-----------------------------	-------------------------

IS PROJECT ON SCHEDULE? YES NO - IF NO PLEASE GIVE REASON AND RECOMMENDED ACTION.

PHYSICAL PROGRESS REPORT

FORM 1

- DISTRIBUTION:**
- 1 CLIENT DEPARTMENT
 - 2 REGIONAL ENG./CHIEF ARCH., ENG.
 - 3 CONTRACTS and CAPITAL PLANNING DIVISION
 - 4 PROJECT FILE
 - 5 ORIGINATOR

NWT 1539-30-0683

_____	_____
PROJECT OFFICER	DATE
_____	_____
PROJECT MANAGER/ASSISTANT REG. ENG.	DATE
_____	_____
CHIEF/REGIONAL ENGINEER	DATE

CAPITAL MANAGEMENT REPORT

MINOR PROJECT \$

DEPARTMENT		PROJECT MANAGEMENT RESPONSIBILITY CENTER				MONTH/YEAR
PROJECT NO.	PROJECT TITLE	LOCATION	APPROVED D.P.W. BUDGET	Y.T.D. COMMITMENT	Y.T.D. EXPENDITURE	CONSULTANT
TRACTOR			\$	\$	\$	
SIGNAL STATUS						
			FREE BALANCE	EST. YEAR END EXPEND		
			\$	\$		
			% COMPLETED:	ESTIMATE DATE OF COMPLETION DD MM YY		
				PROJECT ON SCHEDULE: <input type="checkbox"/> YES <input type="checkbox"/> NO		
			PROJECT OFFICER			
			DATE			
PROJECT NO.	PROJECT TITLE	LOCATION	APPROVED D.P.W. BUDGET	Y.T.D. COMMITMENT	Y.T.D. EXPENDITURE	CONSULTANT
TRACTOR			\$	\$	\$	
SIGNAL STATUS						
			FREE BALANCE	EST. YEAR END EXPEND		
			\$	\$		
			% COMPLETED:	ESTIMATE DATE OF COMPLETION DD MM YY		
				PROJECT ON SCHEDULE: <input type="checkbox"/> YES <input type="checkbox"/> NO		
			PROJECT OFFICER			
			DATE			
PROJECT NO.	PROJECT TITLE	LOCATION	APPROVED D.P.W. BUDGET	Y.T.D. COMMITMENT	Y.T.D. EXPENDITURE	CONSULTANT
TRACTOR			\$	\$	\$	
SIGNAL STATUS						
			FREE BALANCE	EST. YEAR END EXPEND		
			\$	\$		
			% COMPLETED:	ESTIMATE DATE OF COMPLETION DD MM YY		
				PROJECT ON SCHEDULE: <input type="checkbox"/> YES <input type="checkbox"/> NO		
			PROJECT OFFICER			
			DATE			

FORM 2

Copy 1 - Client Department Copy 2 - Regional Eng./Chief Ach., Eng. Copy 3 - Contracts & Capital Planning Division
 Copy 4 - Project File Copy 5 - Originator

APPENDIX B
INSTRUCTIONS FOR COMPLETING FORMS



**CAPITAL MANAGEMENT REPORT
MAJOR PROJECT**

Northwest Territories Public Works

PROJECT NUMBER

MONTH/YEAR
CLIENT DEPARTMENT
CLIENT DESIGNATED OFFICER
CONSULTANT
CONTRACTOR
PROJECT MANAGEMENT RESPONSIBILITY CENTER

BLOCK A

FINANCIAL STATUS	TOTAL PROJECT REQUIREMENTS				
	PRIOR YEARS	CURRENT FISCAL YEAR	NEXT FISCAL YEAR	FUTURE YEARS	TOTAL ESTIMATE COST
	\$	\$	\$	\$	\$
CURRENT FISCAL YEAR BUDGET					
APPROVED D.P.W. BUDGET	Y.T.D. COMMITMENT	Y.T.D. EXPENDITURES	FREE BALANCE	ESTIMATED YEAR END EXPENDITURE	
\$	\$	\$	\$	\$	
COMMENTS					

BLOCK B

STAGE	SCHEDULED COMPLETION DATE	ANTICIPATED COMPLETION DATE	OVERALL % OF COMPLETION
-------	---------------------------	-----------------------------	-------------------------

IS PROJECT ON SCHEDULE? YES NO - IF NO PLEASE GIVE REASON AND RECOMMENDED ACTION.

PHYSICAL PROGRESS REPORT	<p style="text-align: center; font-size: 2em;">BLOCK C</p>
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- DISTRIBUTION:**
- 1 CLIENT DEPARTMENT
 - 2 REGIONAL ENG./CHIEF ARCH., ENG.
 - 3 CONTRACTS and CAPITAL PLANNING DIVISION
 - 4 PROJECT FILE
 - 5 ORIGINATOR

FORM 1

PROJECT OFFICER	DATE
PROJECT MANAGER/ASSISTANT REG. ENG	DATE
CHIEF/REGIONAL ENGINEER	DATE

CAPITAL MANAGEMENT REPORT - MAJOR PROJECTS (FORM #1)

BLOCK A

This block serves to "identify" the project and provides some basic information on the project. Most of the titles are self-explanatory; however, some key points are:

LOCATION - means the community project is being undertaken in.

PROJECT MANAGEMENT RESPONSIBILITY CENTRE - means who is managing the project for Public Works and Highways; i.e., Inuvik Region, Headquarters/Highways, etc.

BLOCK B

The first line is used to identify the total lifetime cost of the project by fiscal year.

PRIOR YEARS - is the summation of all prior year costs for the project. These are actual costs.

CURRENT FY - is the total estimated expenditure of the project for the current fiscal year.

NEXT FY - is the total estimated funds required for the project next fiscal year.

FUTURE YEARS - is the total estimated cost of the project in all future years.

TOTAL EST. COST - represents the total lifetime cost of the project and is therefore the sum of all prior years costs, current FY costs, and future years costs.

The second line supplies detailed information on the status of the current year budget.

APPROVED D.P.W. & H. BUDGET - is the current year budget within D.P.W. & H.'s control and is therefore the sum of all E.P.U.'s issued to-date for the current fiscal year.

YEAR-TO-DATE COMMITMENT - is the year-to-date financial commitment on the project. Financial commitment is actual commitments made on the project funds but not yet expended. Examples are contract commitments, travel warrants, purchase orders. Only current year commitments are shown.

YEAR-TO-DATE EXPENDITURE - is the total current year, year-to-date expenditure against project funds.

FREE BALANCE - is the APPROVED D.P.W. & H. BUDGET minus the SUM OF YEAR-TO-DATE COMMITMENTS AND EXPENDITURES.

ESTIMATED YEAR END REQUIREMENT - is the total estimated funds required for the project for the current fiscal year. This amount will be identical to the one shown under CURRENT FY in the previous line. If this amount is higher than the APPROVED D.P.W. & H. BUDGET, additional funds are required for the project and the difference between the two figures is the amount required. Similarly, a lower amount means there is surplus funding in the project for the current fiscal year.

A section is also provided for comments. This should be used for highlighting any financial concerns. Any changes made in the first line from the last month's report should be briefly explained. Also any discrepancies between the APPROVED D.P.W. & H. BUDGET AND ESTIMATED YEAR END EXPENDITURE should be explained.

BLOCK C - PHYSICAL PROGRESS REPORT

Progress on the project over the past month should be briefly highlighted. Any variances from the original project schedule should be explained. Current or potential problems should be discussed.

STAGE - is the current stage of the project (i.e., predesign, design, construction).

SCHEDULED COMPLETION DATE - is the original date scheduled for completion of the current stage.

ANTICIPATED COMPLETION DATE - is the current forecast date for completion of this stage of the project.

OVERALL PERCENTAGE OF COMPLETION - relates to the physical aspect of the project rather than the financial.

A sample of a completed form is attached.

MAJOR PROJECT

Northwest Territories Public Works

Government Services

CLIENT DESIGNATED OFFICER
Dave Wind

D.P.W. PROJECT NUMBER
105-056

CONSULTANT
Ferguson, Simek, Clark Ltd.

PROJECT TITLE
Computer Services Building

CONTRACTOR
Kraft Construction

LOCATION
Yellowknife, N.W.T.

PROJECT MANAGEMENT RESPONSIBILITY CENTER
Headquarters/Architecture

FINANCIAL STATUS

TOTAL PROJECT REQUIREMENTS

PRIOR YEARS	CURRENT FISCAL YEAR	NEXT FISCAL YEAR	FUTURE YEARS	TOTAL ESTIMATE COST
\$ NIL	\$ 770,000	\$ 3,980,000	\$ NIL	\$ 4,750,000

CURRENT FISCAL YEAR BUDGET

APPROVED D.P.W. BUDGET	YTD COMMITMENT	YTD EXPENDITURES	FREE BALANCE	ESTIMATED YEAR END EXPENDITURE
\$ 2,899,000	\$ 524,003.56	\$ 306,605.82	\$ 2,068,390.62	\$ 770,000

COMMENTS

Current approved budget is higher than estimated year end expenditure. \$2,127,000 can be returned to Client. YTD commitments plus expenditures is higher than estimated year end expenditures. Funds to be decommitted by next report.

PHYSICAL PROGRESS REPORT

STAGE	SCHEDULED COMPLETION DATE	ANTICIPATED COMPLETION DATE	OVERALL % OF COMPLETION
Construction	December 15, 1983	December 15, 1983	Less than 5%

IS PROJECT ON SCHEDULE? YES NO - IF NO PLEASE GIVE REASON AND RECOMMENDED ACTION

Excavation commenced in first week of January but could not be completed due to Northwestel's delay in removing buried cables, City of Yellowknife hearing for laneway closure and bedrock that required blasting in one location.

Excessive ground water was also discovered and an alternative foundation system is being evaluated.

Unsafe excavation practices and other hazards have been reported to the Safety Office.

Architect has delivered clarified drawings and specs for contractor's approval prior to signing the contract.

- DISTRIBUTION:**
- 1 CLIENT DEPARTMENT
 - 2 REGIONAL ENG /CHIEF ARCHT ENGR
 - 3 CONTRACTS and CAPITAL PLANNING DIVISION
 - 4 PROJECT FILE
 - 5 ORIGINATOR

FORM 1 - COMPLETED SAMPLE

PROJECT OFFICER	DATE
PROJECT MANAGER ASSISTANT REG. ENG	DATE
CHIEF REGIONAL ENGINEER	DATE

CAPITAL MANAGEMENT REPORT - MINOR PROJECTS (FORM #2)

This report contains basically the same information as that required on the more comprehensive report for major projects. The only main area not included is the line which reports total lifetime project costs (i.e., prior and future costs). This has been omitted as most minor projects do not involve more than one or two fiscal year budgets.

A separate form shall be used by the Project Officer for each Client.



CAPITAL MANAGEMENT REPORT

MINOR PROJECTS

INT. DEPARTMENT		PROJECT MANAGEMENT RESPONSIBILITY CENTER		MONTH/YEAR
Education - Minor Projects		Fort Smith Region		January 1983
D.P.W. PROJECT NO	PROJECT TITLE	LOCATION	CONSULTANT	
82-2012	Install Playground Equipment	Pine Point	N/A	
CONTRACTOR		APPROVED D.P.W. BUDGET	Y.T.D. COMMITMENT	Y.T.D. EXPENDITURE
Pine Point Services		\$ 6,000	\$ NIL	\$ 5,500
PHYSICAL STATUS				
<p>The Project essentially complete. \$200 has been retained in holdback pending completion of seasonal deficiencies (painting) this summer. The free balance of \$500 is surplus to this project.</p>				
<p>% COMPLETED: 95</p> <p>ESTIMATE DATE OF COMPLETION: DD MM YY 07 83</p> <p>PROJECT ON SCHEDULE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>PROJECT OFFICER</p>				

D.P.W. PROJECT NO		PROJECT TITLE		LOCATION	CONSULTANT
82-2151		Renovate Classroom - DJ School		Hay River	Parnell Levesque
CONTRACTOR		APPROVED D.P.W. BUDGET	Y.T.D. COMMITMENT	Y.T.D. EXPENDITURE	
Own Forces		\$ 13,300	\$ 1,560	\$ 10,330	
PHYSICAL STATUS					
<p>Final project materials have arrived on site and work has been scheduled for third weekend in February to complete this project.</p>					
<p>% COMPLETED: 80</p> <p>ESTIMATE DATE OF COMPLETION: DD MM YY 02 83</p> <p>PROJECT ON SCHEDULE: <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>PROJECT OFFICER</p>					

D.P.W. PROJECT NO		PROJECT TITLE		LOCATION	CONSULTANT
					Parnell Levesque
CONTRACTOR		APPROVED D.P.W. BUDGET	Y.T.D. COMMITMENT	Y.T.D. EXPENDITURE	
		\$	\$	\$	
PHYSICAL STATUS					
<p>% COMPLETED:</p> <p>ESTIMATE DATE OF COMPLETION: DD MM YY</p> <p>PROJECT ON SCHEDULE: <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>PROJECT OFFICER</p>					

D.P.W. PROJECT NO		PROJECT TITLE		LOCATION	CONSULTANT
CONTRACTOR		APPROVED D.P.W. BUDGET	Y.T.D. COMMITMENT	Y.T.D. EXPENDITURE	
		\$	\$	\$	
PHYSICAL STATUS					
<p>% COMPLETED:</p> <p>ESTIMATE DATE OF COMPLETION: DD MM YY</p> <p>PROJECT ON SCHEDULE: <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>PROJECT OFFICER</p>					

FORM 2 - COMPLETED SAMPLE

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D.P.W. & H. DIRECTIVES AND PROCEDURES

No: 20-2
Issue: 1
Date: January 1, 1983
Supercedes: New

CONTRACT SECURITIES

=====

STATEMENT OF D.P.W. & H. POSITION

Under the Contract Regulations, the G.N.W.T. may require contract securities in the formulation of its construction contracts. The Department of Public Works and Highways will invoke this requirement in a manner that:

- a) assists the many N.W.T. contractors who have a difficult time in providing the usual bonding;
- b) ensures all firms doing or proposing to do business with the Department of Public Works and Highways will be treated fairly and consistently;
- c) ensures standards of performance will apply equally to all businesses providing service to the Department of Public Works and Highways; and
- d) relates the degree of risk to which G.N.W.T. is exposed to G.N.W.T. support of a strong N.W.T. construction industry and accountability for expenditure of public funds.

AUTHORITIES

Government Contract Regulations

SCOPE

This Directive applies to all construction contracts entered into by the Department of Public Works and Highways.

This Directive does not apply to D.P.W. & H. contracts for:

- a) Legal Services;
- b) Consulting Services for Architectural and Engineering Services;
- c) Leases;
- d) Supply of Goods Contracts.

With the prior approval of the Deputy Minister, a Contract Authority may require contract securities for these types of contracts.

DEFINITIONS

Note: Definitions not given here may be found in the Contract Regulations.

1. **Bid Bond:** means a bond in an approved form and from a company whose bonds are acceptable to the G.N.W.T., given by a contractor to the G.N.W.T. to guarantee entry into a contract.
2. **Contract Authority:** Contract Authority as defined in the Contract Regulations means a person designated by the Commissioner to act on his behalf in entering into contracts that are binding on the Government of the Northwest Territories, or its crown corporations and agencies. This is interpreted to mean D.P.W. & H. managers who have been delegated signing authority. Contracts which may be entered into by D.P.W. & H. employees are determined by their spending authority dollar limit.
3. **Government Guaranteed Bond:** means a bond issued by the Government of Canada or a bond unconditionally guaranteed as to principal and interest by the Government of Canada that is:
 - a) payable to the bearer,
 - b) hypothecated to the G.N.W.T. in accordance with Domestic Bonds of Canada Regulations, or
 - c) registered in the name of the G.N.W.T.
4. **Labour and Material Bond:** means a bond in an approved form and from a company whose bonds are acceptable to G.N.W.T. given by a contractor to guarantee the payment of labour to be provided or materials to be supplied under a contract.
5. **Performance Bond:** means a bond in an approved form and from a company whose bonds are acceptable to the G.N.W.T. given by a contractor to guarantee the performance of a contract.
6. **Security Deposit:** means:
 - a) a certified cheque drawn on a bank to which the Bank Act or the Quebec Savings Act applies, payable to the G.N.W.T.; or,
 - b) a Government Guaranteed Bond; or,
 - c) a letter of irrevocable guarantee payable to the G.N.W.T. that is drawn on a bank to which the Bank Act or the Quebec Savings Act applies and in a form acceptable to the G.N.W.T.; or,
 - d) such other security as may be considered appropriate by the Contract Authority and approved by the Comptroller General.

PROVISIONS

1. Application

For contracts estimated to cost less than \$100,000, security will not be required.

For contracts estimated to cost more than \$100,000, security will be required as outlined in Subsection 3., Security Requirements found below.

Exceptions: Where in the opinion of the Contract Authority, security should be required for a contract estimated to cost less than \$100,000 or where security should be waived for a contract estimated to cost over \$100,000, they make their recommendation to the Deputy Minister and include all reasons for the exception.

2. Authority And Accountabilities

- a) **Contract Authority:** Responsible for the application of this Directive.
- b) **Deputy Minister:** For contracts estimated to cost less than \$500,000, only the Deputy Minister may approve exceptions to this Directive.
- c) **Minister:** For contracts estimated to cost \$500,000 and over, only the Minister may approve exceptions to this Directive.

3. Security Requirements

- a) **Bid Security:** When security is specified in the contract documents, one of the following types of bid security is required:
 - i) a bid bond in an amount of at least 10% of the tender; or,
 - ii) a security deposit in an amount of at least 5% of the tender.
- b) **Contract Security:** Where security is specified in the contract documents, the following securities will be required:
 - i) a Performance Bond in the amount of 50% of the amount payable under the contract, or a security deposit in the amount of 5% of the amount payable under the contract; and

- ii) a Labour and Material Payment Bond in the amount of 50% of the amount payable under the contract, or an additional security deposit in the amount of 5% of the amount payable under the contract.

The amount of the contract security may be reduced by the amount of the security deposit which accompanied the tender. The amount of the security deposit shall not exceed \$250,000 regardless of the contract amount.

Attention is drawn to the fact that "Letters of Irrevocable Guarantee" offered as security deposit shall be held uncashed until 14 days prior to their expiry date, unless the expiry date is extended for a further term, beyond the contract completion date.

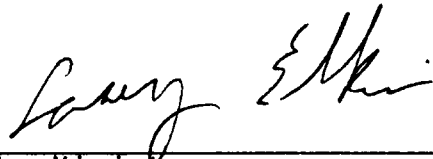
4. Monitoring

The waiving of bonding requires a commitment from all tenderers to honour their bids, should they be selected for contract award. To protect the Government, and the integrity of the tendering system, any tenderer failing to honour a bid will be required to provide full bonding with future tenders on N.W.T. Government work, whether or not such bonding is required by the tender documents. This requirement will remain in full force until the Government of the N.W.T. is satisfied that the offending contractor will act responsibly on future tenders.

A register of such offenders shall be maintained by the Contract Authority.

RELATED POLICIES

Small Business Loans, Guarantees and Indemnities Act.



Deputy Minister,
Department of Public Works and Highways.

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D.P.W. & H. DIRECTIVES AND PROCEDURES

No: 20-3
Issue: 1
Date: April 9, 1984
Supercedes: New

PROJECT MANAGEMENT FILING SYSTEM

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STATEMENT OF D.P.W. & H. POSITION

The Department of Public Works and Highways shall establish a uniform project numbering and filing system for all projects managed by the Department.

AUTHORITIES

None applicable.

SCOPE

This Directive applies to all D.P.W. & H. staff engaged in project management.

PROVISIONS

1. Authority And Accountabilities

a) Contracts And Capital Planning Division:

- is responsible for overall management of the project numbering and filing system.
- maintains project files for the Architectural and Engineering Divisions.
- assigns project numbers for all Headquarters control projects, except for Highways Divisions.

b) Highways Divisions, Regions, Yellowknife District Office:

- are responsible for maintaining their own project files.
- assign project numbers for all projects under their control.

c) Project Officer:

- is responsible for proper overall control of his/her files by:
 - a) Determining what files are required for each project.
 - b) Ensuring that all documents for filing have a project number, a classification number and an indicator which will denote the proper file, if more than one file exists under this classification.

d) Project Manager:

- is responsible for determining if and when a new project is to be created and must therefore approve all requests to create files for a new project.

2. Project File Numbering System

The project file number is synonymous with the project number. Numbers are assigned sequentially as project files are started. The first two digits indicate the fiscal year of a project's inception. The next digit indicates the Region where the project is located, irrespective of which Division (if handled by H.Q.) is handling the project management. The last three digits indicate the specific project. Each Region is allocated a block of 1000 numbers as indicated below (Note: The 82 would be used for fiscal year 82/83 only):

82 - 0000	Through	0999	Headquarters Projects - General
82 - 1000	Through	1999	Yellowknife District Office
82 - 2000	Through	2999	Fort Smith Region
82 - 3000	Through	3999	Inuvik Region
82 - 4000	Through	4999	Baffin Region
82 - 5000	Through	5999	Keewatin Region
82 - 6000	Through	6999	Kitikmeot Region
82 - 7000	Through	7999	Energy Conservation - CREDA
82 - 8000	Through	8999	Spare Numbers
82 - 9000	Through	9999	Highways Divisions

The first 500 numbers will be assigned by the Region. The last 500 numbers will be assigned by H.Q.

For example, for the Fort Smith Region:

- 2000 - 2499 - Controlled and assigned by the Region.
- 2500 - 2999 - Controlled and assigned by H.Q. for projects being carried out in the Fort Smith Region by Engineering, Architecture or Operations Division.

A few examples follow:

- 82 - 5553 - Indicates the project was started in FY 82/83. The project is being handled by H.Q. for a Keewatin Region Project and it was the 53rd project started in Keewatin that year by H.Q. personnel.
- 85 - 2001 - Indicates the project was started in FY 85/86. The project is being handled by the Fort Smith Region. This was the 1st project started by the Region that year.

NOTE: Further breakdowns within these general guidelines are allowed. For example, the Highways Divisions have broken down their project numbers as follows:

9000 - 9699 Transportation Engineering Division
9700 - 9899 Highway Operations Division (Hay River)
9900 - 9999 Marine Operations (Ferries)

3. Project File Classification System

The file classification scheme provides for the organization and retrieval of project file documentation by specific categories. The six main classifications are:

- 1 Correspondence
- 2 Tenders
- 3 Financial
- 4 Consultant
- 5 Contractor
- 6 Reports

A brief description of each classification follows:

- 1 Correspondence (Brown File Folder)

Includes all correspondence, memos, minutes, reports, etc., received or generated through project activities.

- 2 Tenders (Brown File Folder)

Include bid registers, bid lists, copies of non-successful tender packages, non-successful consultant proposals, etc.

GENERALLY NO CORRESPONDENCE

- 3 Financial (Brown File Folder)

Includes R.P.E.'s, A for P's, J.V.'s, miscellaneous purchase orders, financial reports, free balance information and other documents related to financial transactions. For information on Contractor and Consultant Financing see the - 4 and - 5 files.

GENERALLY NO CORRESPONDENCE

- 4 Consultant (Orange File Folder)

Includes the consultant's contract, progress payments, change orders, etc. There can be as many file folders under this category as the Project Officer/Manager feels are needed. A typical contract may require the following file folders:

- 4 Contract and Change Orders
- 4 Progress Payments
- 4 Claims, Disputes

If more than one consultant is involved in the project, separate files are required for each consultant.

GENERALLY NO CORRESPONDENCE IN THESE FILES.

- 5 Contractor (Yellow File Folder)

Includes the contractor's contract, progress payments, change orders, interim and final certificates, etc. There can be as many file folders under this category as the Project Officer/Manager feels are needed. A major purchase order with progress payments, change orders, etc., can be classified under this section. This is to be determined by the Project Officer/Manager.

If more than one contractor is involved with the project, separate files are required for each contractor.

GENERALLY NO CORRESPONDENCE.

- 6 Reports (Uncolored Folder)

Includes monthly progress reports, inspection reports, etc.

GENERALLY NO CORRESPONDENCE.

As noted in the above 6 classifications, all correspondence is to be filed under the - 1, Correspondence file. In general, no correspondence will be found in the other files. In certain instances, however, photocopies of relevant correspondence can be filed in the - 2, - 3, - 4, - 5 and - 6 files. A Project Officer/Manager may want to keep all documents relative to a certain change order dispute etc. in one file. This is allowable; the original correspondence document, however, must go into the correspondence file. These duplications should be kept to a minimum.

In most instances, drawings should not be filed in the project files. Review drawings, as-builts, etc., do not belong in the files - there is not enough room. An occasional drawing or two could be filed but these should be kept to a minimum.

4. Control Of Project Files

When a project file user wishes to take out a file, a control card file must be filled out by the File Clerk or user indicating the date the file was taken and the person taking out the file. This control card file will then be installed temporarily in place of the file taken. All documents to be filed in this interim period when the file is gone will be placed in this control card file (by File Clerk) until such time as the project file is returned.

The File Clerk will note on the control card file the date the file was returned. All documents in the control card file will then be transferred into the returned file by the File Clerk.

5. Project File Creation

A Project File Request form is to be filled out by the Project Manager/Officer when requesting creation of files for a new project. A sample of this form is included in Appendix A. Please note that this form must be approved by the Project Manager. Once approved, the form is given to the Project File Clerk to raise the appropriate files.

6. Project File Closing And Storage Of Dead Files

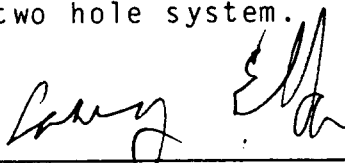
The Project Officer/Manager shall advise the File Clerk when files can be closed on a particular project and placed in dead storage through Government Services. Under normal circumstances, this should take place when the warranty period for the project has expired.

All files shall be closed through the applicable File Clerk, who shall maintain inventory of all project files placed in dead storage. When a Project Officer requires information from dead storage, the File Clerk shall advise the Project Officer where the file is located and the Project Officer shall retrieve the information required. All files removed from dead storage shall be returned through the File Clerk.

7. General File Maintenance

When files become too bulky (3/4" - 1" thick), a new file labelled Volume II will be opened with the same title and number.

File folders will use the two hole system.



Deputy Minister,
Department of Public Works and Highways.

PROJECT FILE REQUEST FORM

I. PROJECT TITLES: _____
(FILLED IN BY PROJECT OFFICER)

II. PROJECT NUMBER: _____
(FILLED IN BY FILE ANALYST)

III. FILES REQUIRED: (PROJECT OFFICERS CHECK THOSE REQUIRED)

- ___ - 1 CORRESPONDENCE (BROWN)
- ___ - 2 TENDERS (BROWN)
- ___ - 3 FINANCIAL (BROWN)
- ___ - 4 CONSULTANT'S CONTRACT (ORANGE)
- ___ - 4 CONSULTANT'S PROGRESS PAYMENTS (ORANGE)
- ___ - 5 CONTRACTOR'S CONTRACT (YELLOW)
- ___ - 5 CONTRACTOR'S PROGRESS PAYMENTS (YELLOW)
- ___ - 6 REPORTS

PROJECT OFFICER

PROJECT MANAGER

NOTE: OPEN ONLY FILES NEEDED

D.P.W. DIRECTIVES AND PROCEDURES

No.: 20-4
Issue: 3
Date: November 27/89
Supercedes: Feb. 18, 1987

**USE OF COMMERCIAL ROOM & BOARD
BY CONTRACTORS**

STATEMENT OF D.P.W. POSITION

The Department of Public Works supports and encourages the use of commercial establishments providing room and board wherever possible and requires contractors of buildings and works to use these facilities. In support of this goal, the Department will prohibit contractors and their employees from renting or purchasing a private facility where satisfactory commercial room and board is available.

AUTHORITIES

None applicable.

DEFINITIONS

Commercial Room & Board:

A facility licensed by the GNWT under the Tourist and Tourism Act as a "tourist establishment" or a facility licensed by a community under its own municipal by-laws, and a facility licensed by the GNWT or the community under the Eating or Drinking Place Regulation, pursuant to the Public Health Act.

Local:

Local means the community in which the work is located as defined in the relevant appendix in the Contract.

SCOPE

On contracts where the feasibility of using commercial room and board exists, the contractor is prohibited from establishing a construction camp and/or using G.N.W.T. owned facilities and/or renting or purchasing a private facility in the community, for workers brought in from outside the community. This Directive shall not apply to any permanent local facility that has been owned by the contractor for a period of 6 months prior to the closing of tenders.

The factors to be considered in order to determine the feasibility of using commercial room and board are:

- (a) Availability of commercial room and board to house and/or feed all of the contractor's crew.
- (b) Quality of available commercial room and board .
- (c) Willingness by management of the commercial room and board to house or feed the contractor's crew.
- (d) Location of commercial room and board in respect to the job site.

If the project is located more than 20 Km away from the community by road or if the commercial establishment can only be reached from the site by plane or boat this Directive may be waived at the discretion of the Deputy Minister.

- (e) Reasonable rates and applicability of group rates - The Project Officer /Project Manager shall also confirm that the rates to be charged for commercial room and board are reasonable; the Project Officer shall confirm group rates if applicable.

PROVISIONS

- 1. Authority and Accountability
 - (a) Minister:
 - Approves changes to this Directive

- (b) Deputy Minister
-Approves the waiving of this Directive for contracts where the Directive is deemed not to be applicable or where suitable commercial room and board is not available.

- (c) Division Director/Regional Superintendent:
-After consultation with the Project Officer/Manager, if no suitable commercial room and board is available, shall recommend to the Deputy Minister that the provisions of this directive should be waived.

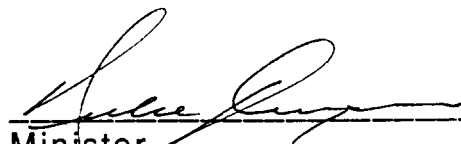
- (d) Project Officer/Project Manager:
-Prior to tendering, negotiating, or awarding a contract in any manner, if, in the opinion of the Project Officer the commercial room and board is NOT satisfactory, based on the five factors to be considered, the Project Officer shall discuss the situation with the owner, Regional Superintendent, Regional Director, etc., to determine if the problem can be resolved. If the matter cannot be resolved the Project Officer shall recommend to the Director/Regional Superintendent that the requirement of this Directive be waived.

2. Application

- (a) If the Deputy Minister decides not to enforce this directive, then the Appendix shall be deleted from the Tender Form.

 - (b) The Project Officer/Manager shall monitor the situation to ensure the accommodations continue to be available and suitable. Should a problem develop during construction, it should be brought to the attention of the Regional Superintendent or Director immediately.
3. Nothing in this Directive shall in any way be construed to limit the prerogative of the Executive Council to make decisions or take actions, respecting the use of commercial room and board by contractors, outside the provisions of this Directive.

4. In the event that the contractor fails to adhere to the requirements or to the intent of this directive a recommendation may be made by the Business Incentive Policy Appeals Committee to the Cabinet, to withdraw preference under the Business Incentive Policy for this company for a designated period of time. This will apply to General contractors and to their listed sub-contractors.



Minister,
Public Works

APPENDIX
COMMERCIAL ROOM AND BOARD

The Department of Public Works supports and requires where appropriate the use of commercial establishments providing room and board.

The contractor and all subcontractors agree to use local commercial room and board to provide accommodations and/or meals for the work force brought in from outside the community. The contractor is therefore prohibited from establishing a construction camp and/or using GNWT owned facilities and/or renting or purchasing a privately owned facility in the community.

In order to evaluate this tender, the Contractor must identify the commercial establishments arranged and the total estimated cost, and include this information in the tender submission in the relevant Appendix,

For the purpose of this tender local commercial room and board is defined by the following terms:

DEFINITIONS

Commercial Room & Board:

A facility licensed by the GNWT under the Tourist and Tourism Act as a "tourist establishment" or a facility licensed by a community under its own municipal by-laws, and a facility licensed by the GNWT or the community under the Eating or Drinking Place Regulation, pursuant to the Public Health Act.

Local:

Local means the community in which the work is located as defined in the relevant Appendix in the Contract.

This Directive shall not apply to any permanent local facility that has been owned by the contractor for a period of 6 months prior to the closing of tenders.

In the event that a contractor fails to adhere to the requirements or to the intent of this Directive a recommendation may be made by the Business Incentive Policy Appeals Committee to the Cabinet, to withdraw preference under the Business Incentive Policy for this company for a designated period of time. This will apply to General contractors and to their listed sub-contractors.

D.P.W. & H. DIRECTIVES AND PROCEDURES

No.: 20-5

Issue: 4

Date: September 26, 1988

TENDER ADVERTISEMENTS

Supercedes: June 16, 1987

STATEMENT OF D.P.W. & H. POSITION

The Department of Public Works and Highways will use the various N.W.T. newspapers when publicly advertising construction tenders. This Directive is based on the following principles:

1. N.W.T. newspapers where available provide the best method for advertising construction tenders.
2. Value for money should be obtained for the advertising services purchased.
3. All firms doing or competing for business with the G.N.W.T. will be treated fairly and consistently.
4. Advertisement coverage should be narrow enough to promote the development and use of local companies, labour, resources, etc.
5. Advertisement coverage should be broad enough to ensure adequate competition.
6. Advertisements shall provide equal opportunity to all qualified firms to have access to government business.
7. This Directive shall be flexible enough to meet the diverse needs of Public Works and Highways.

AUTHORITIES

Financial Administration Act
Government Contract Regulations

SCOPE

This Directive applies to all publicly advertised construction tenders (includes repairs and renovations).

DEFINITIONS

The definitions which form part of the Government Contract Regulations shall form part of this Directive.

PROVISIONS

1. Authorities and Accountabilities

- a. The Director of Contracts and Capital Planning (H.Q. projects), the Yellowknife District Superintendent, the Director of the Highway Operations Division in Hay River, and the Regional Superintendents are the signing authorities for the purpose of this Directive. Any exceptions to this Directive require their approval.

- b. Nothing in this Directive shall in any way be construed to limit the prerogative of the Minister and/or the Deputy Minister of Public Works and Highways to make decisions or to take actions outside the provisions of this Directive.

2. Application

- a. Projects shall be advertised as follows depending on the estimated value of the tendered work:
 - i) Projects estimated to cost less than \$30,000 need not be publicly advertised but may be publicly advertised when deemed appropriate by the signing authority. However, as the Contract Regulations state, where it is estimated that a Contract will exceed \$5,000 in value a formal invitation to tender shall be done. For Contracts estimated to have a value of \$5,000 or less an invitation to tender may be issued orally. Tender notices, however, must be posted as noted herein.

 - ii) Contracts estimated to cost between \$30,000 and \$100,000 shall be advertised where noted in Appendix "A" under Advertisement Coverage "B" (multi-regional advertisements).

- b. Tender Notices shall be posted for all publicly Tendered projects in all the tender opening centres of the Region where the project is being constructed. As well, Tender Notices shall be posted in the community where the work will take place in one or more of the following locations: Post Office, Settlement Office, Government Liaison Office, Co-op Store, Hudson's Bay Store, aired on C.B.C. when appropriate, etc. Tender Notices should be posted at least three weeks prior to the tender closing deadline. Tender notices are not required in Yellowknife, Ft. Smith, Hay River, Inuvik, Iqaluit and Detah.

- c. i) As noted in Appendix "A" an "Advance Notice" shall be done at the beginning of each month for all projects over \$30,000 which will be tendered in the following month. To take advantage of obvious cost savings, Advance Notices shall be grouped into one advertisement done individually by each Region and/or by District Headquarters.
- ii) Group Advance Notices shall be advertised once in the N.W.T. newspapers specified for each Community in Appendix "A".
- iii) Projects must appear in the Group Advance Notice prior to being tendered. Exceptions to this shall be determined by the Signing Authority.
- iv) All Projects appearing in an Advance Notice shall be followed-up with a Formal Tender Advertisement in Headquarters and Regions except in the Keewatin Region.
- d. When appropriate (primarily the tenders in the west), tender notices shall be given to the N.W.T. Construction Association for publication in their Weekly Bulletin.
- e. If tenders are to be invited simultaneously for two or more projects in the area served by the same newspaper, the advertisements appearing in that paper should be combined to take advantage of obvious cost savings.
- f. The type of advertisement coverage required on projects which are not within a 60 km radius of an established community shall be determined by the appropriate signing authority.
- g. For Yellowknife and Detah only, the Yellowknifer newspaper is an optional newspaper to use in lieu of the News North.
- h. The Mackenzie Times (every two weeks), Native Press (every two weeks), Tusaayaksat (monthly) and the Inunguit Newsletter (monthly) do not publish on a weekly basis; timing of the project will dictate if advertisements can be placed in these newspapers.
- i. All tender advertisements will be in English with the exception of those advertised in the Nunatsiaq News, which will be in both English and Inuktitut.
- j. Examples of a Typical Tender Advertisement, Advance Notice and a posted notice are given in the Appendices.

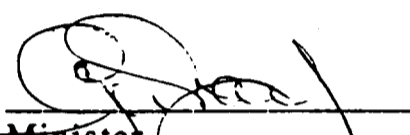
RELATED POLICIES

1. Business Incentive Policy

The Business Incentive Policy states in part: "Tendering advertisements will be published only in Northwest Territories publications or posted in appropriate public places where there are no newspaper publications." This, in effect, prohibits advertisements in southern publications; the only exception here would be if no firm in the N.W.T. were capable of doing the work proposed; these exceptions would require the approval of the authority noted under Provision 1a.

2. Calling Tenders and Awarding Contracts

The latest edition of the Contract Administration Guidelines "Calling Tenders And Awarding Contracts" shall apply to this Directive. In particular, guidelines are given to determine when a contract should be publicly tendered, invitationally tendered or sole sourced.



Minister,
Public Works and Highways.

APPENDIX "A"

FORT SMITH REGION

Enterprise	News North, Slave River Journal Hub, The Press Independent, L'aquilon
Fort Liard	News North, Mackenzie Times The Press Independent, Hub, L'aquilon, Slave River Journal
Fort Providence	News North, Slave River Journal Mackenzie Times, Hub, L'aquilon, The Press Independent
Fort Resolution	News North, Slave River Journal Hub, The Press Independent, L'aquilon
Fort Simpson	News North, Slave River Journal Mackenzie Times, Hub, L'aquilon The Press Independent
Fort Smith	News North, Slave River Journal The Press Independent, Hub, L'aquilon
Hay River	News North, Slave River Journal Hub, The Press Independent, L'aquilon
Jean Marie River	News North, Mackenzie Times, Hub, The Press Independent, Slave River Journal, L'aquilon
Kakisa River	News North, Mackenzie Times, Hub, The Press Independent, L'aquilon Slave River Journal
Lac La Martre	News North, Mackenzie Times, The Press Independent, L'aquilon
Nahanni Butte	News North, Mackenzie Times, Hub, The Press Independent, Slave River Journal, L'aquilon

APPENDIX "A"

Rae Edzo	News North, The Press Independent, L'aquilon
Rae Lakes	News North, The Press Independent L'aquilon
Snare Lakes	News North, The Press Independent L'aquilon
Snowdrift	News North, The Press Independent, Slave River Journal, Hub, L'aquilon
Trout Lake	News North, The Press Independent Hub, Mackenzie Times, L'aquilon
Tungsten	News North, Hub, Mackenzie Times L'aquilon
Wrigley	News North, The Press Independent Mackenzie Times, Hub, L'aquilon

INUVIK REGION

Aklavik	News North, Drum, Tusaayksat The Press Independent
Arctic Red River	News North, Drum, Tusaayksat The Press Independent
Colville Lake	News North, Drum, Tusaayksat The Press Independent
Fort Franklin	News North, Drum, Mackenzie Times, The Press Independent, Tusaaksat
Fort Good Hope	News North, Drum, Mackenzie Times, The Press Independent, Tusaayksat
Fort McPherson	News North, Drum, Tusaayksat, The Press Independent

APPENDIX "A"

Fort Norman	News North, The Press Independent, Mackenzie Times, Tusaayksat, Drum
Inuvik	News North, Drum, Tusaaksat, The Press Independent
Norman Wells	News North, Drum, Mackenzie Times Tusaayksat, The Press Independent
Paulatuk	News North, Drum, Tusaayksat
Sachs Harbour	News North, Drum, Tusaayksat
Tuktoyaktuk	News North, Drum, Tusaayksat, The Press Independent

BAFFIN REGION

Arctic Bay	News North, Nunatsiaq News, The Press Independent, L'aquilon
Broughton Island	News North, Nunatsiaq News, The Press Independent, L'aquilon
Cape Dorset	News North, Nunatsiaq News, The Press Independent, L'aquilon
Clyde River	News North, Nunatsiaq News, The Press Independent, L'aquilon
Grise Fiord	News North, Nunatsiaq News, L'aquilon
Hall Beach	News North, Nunatsiaq News, L'aquilon
Igloolik	News North, Nunatsiaq News, The Press Independent, L'aquilon
Iqaluit	News North, Nunatsiaq News, The Press Independent, L'aquilon

APPENDIX "A"

Lake Harbour	News North, Nunatsiaq News, The Press Independent, L'aquilon
Nanisivik	News North, Nunatsiaq News, L'aquilon
Pangnirtung	News North, Nunatsiaq News, The Press Independent, L'aquilon
Pond Inlet	News North, Nunatsiaq News, The Press Independent, L'aquilon
Resolute Bay	News North, Nunatsiaq News, L'aquilon
Sanikiluaq	News North, Nunatsiaq News, L'aquilon

KITIKMEOT REGION

Cambridge Bay	News North, The Press Independent
Coppermine	News North, The Press Independent
Gjoa Haven	News North, The Press Independent
Holman	News North, Tusaayksat, The Press Independent
Pelly Bay	News North, The Press Independent
Spence Bay	News North, The Press Independent

KEEWATIN REGION

Baker Lake	News North, Nunatsiaq News, The Press Independent
Chesterfield Inlet	News North, Nunatsiaq News, The Press Independent
Coral Harbour	News North, Nunatsiaq News,

APPENDIX "A"

	The Press Independent
Arviat	News North, Nunatsiaq News, The Press Independent
Rankin Inlet	News North, Nunatsiaq News, The Press Independent
Repulse Bay	News North, Nunatsiaq News, The Press Independent
Whale Cove	News North, Nunatsiaq News, The Press Independent

YELLOWKNIFE DISTRICT

Dettah	News North, The Press Independent, L'aquilon
Yellowknife	News North, The Press Independent, L'aquilon



Northwest
Territories

GOVERNMENT TENDER

Public Works

Hon. Don Morin, Minister

ADVANCE NOTICE

- Blackstone Park Facilities and Signage - Liard Highway, N.W.T.
- Lady Evelyn Falls Park Facilities - Highway #1, N.W.T.
- Saamba Deh Falls Park Facilities - Trout River and Highway #1, N.W.T.

It is the Department's intent to put the above mentioned projects out for Public Tender in the next month. Northern firms that wish to receive a Tender package when it becomes available or further information on any of these projects please contact:

Sula Zagorac
Contracts Administrator
Department of Public Works
Government of the N.W.T.
Box 1320
Yellowknife, NT X1A 2L9
Phone: (403) 873-7324

Watch for a formal Tender advertisement for each of these projects with tender closing time and date to be published in this newspaper.

**APPENDIX "C" ALTERNATIVE
(TO BE USED BY KEEWATIN REGION ONLY)**

ADVANCE NOTICE

- Renovations To Old Nursing Station
Includes electrical and mechanical work.
- Whale Cove, NWT -
- Painting, Bulk Fuel Storage Tanks
- Coral Harbour, NWT -
- House #32-027 Renovations
Supply and install new siding and floor coverings.
- Baker Lake, NWT -

It is the Department's intent to accept Tenders on the above mentioned projects. Should you wish to receive a Tender package when it becomes available or further information on any of these projects, please contact:

Regional Superintendent,
Department of Public Works,
Government of the NWT,
Rankin Inlet, NWT,
X0C.0G0

Phone: (819) 645-2728

Please Note: No formal Tender advertisement will be issued for these projects. Only those Contractors who have responded to this Advance Notice will receive Tender packages when they become available.

APPENDIX "D-1"

Example Letter to go with Posted Notices & Tender Packages

Name

Address

Dear Sirs:

Tender for (Name of Project)

The Department of Public Works wishes to inform you that we have the above mentioned work out for tender in your community.

Attached is a tender notice that we would like posted in a public place (eg. The Bay, Co-op, Hamlet Office, etc.) so that people in your community are aware that this work is out for tender.

We have enclosed a tender package for information. Should you or anyone in your community require further information, please contact:

Larrie Roosdahl
Department of Public Works
Government of the NWT
PO Box 1320
Yellowknife, NWT
X1A 2L9
Phone: (403) 920-8831

Yours sincerely,

Sula Zagorac,
Contracts Administrator,
Contracts & Capital
Planning Division.

Attachment



Northwest
Territories Public Works
Hon. Don Moyn, Minister

GOVERNMENT TENDER

Water Treatment Plant

Construction of a new 92m³ stick built building c/w 160m³ concrete reservoir below, a mechanical water treatment package, standby power, and a water truck fill point

- Fort Providence, N.W.T. -

Sealed tenders addressed to the Contracts Administrator, c/o Deputy Minister, Department of Public Works, Government of the Northwest Territories, Box 2040, Yellowknife, N.W.T. X1A 2L9 (Delivered to the 7th Floor, Y.K. Centre Building) will be received until:

3:00 P.M., LOCAL TIME, JULY 27, 1992

Approved Northern firms may obtain tender documents from the above mentioned address as of July 6, 1992.

Documents will be available for viewing at the N.W.T., Edmonton, Winnipeg, and Grande Prairie Construction Associations.

To be considered each tender must be submitted on the forms provided and must be accompanied by the security stated in the tender documents.

The lowest or any tender not necessarily accepted.

Tender enquiries to: **Sula Zagorac,**
Contracts Administrator
Government of the N.W.T.
Phone: (403) 873-7324
or

Technical enquiries to: **Gary Craig,**
Technical Services Division
Government of the N.W.T.
Phone: (403) 873-7847
or
Gary Strong
Dillon Consulting
Phone: (403) 920-4555

September 21, 1989.

DEPUTY MINISTER,
ASSISTANT DEPUTY MINISTER,
REGIONAL SUPERINTENDENTS,
DISTRICT SUPERINTENDENT,
DIRECTORS:

*② Rev. For info & updating our
binders.*
[Signature]

Tender Advertisement Directive

I am distributing the latest revision of this Directive and request that you replace the previous one.

The major changes in the Directive are as follows:

1. DPW&H is concerned that contractors, (especially those in smaller communities), are aware of projects in sufficient time to bid on them. Therefore on all projects greater than \$30,000, advance notices will be prepared and advertised 6 to 8 weeks prior to tender closing time. Appendix A lists each community in the NWT and the newspapers in which advertisements must appear.

In all regions, except the Keewatin, the advance notice will advise contractors that within the next month the projects listed in the advance notice will be formally advertised. An example of an advance notice is included in Appendix C. In the Keewatin, because of the very high cost of advertising in the Nunatsiaq News, an advance notice will be done for all projects more than \$1,00,000. However, this will act as the Formal tender, as well, for projects between \$30,000 and \$100,000. An example of an advance notice for the Keewatin is also included in Appendix C. As well as advance notices, we will continue to Post Notices as per Appendix A.

...2

2. The increased number of newspapers requesting our advertisements combined with the increased advertising costs to permit advance notices mean that our total advertising expense will increase. To offset the higher cost of advertising and to provide more flexibility for Project Staff in tendering small projects, we have increased the limit on Invitational Tenders from \$5,000 to \$30,000. An invitational tender does not need to be publicly advertised. The limit for individual tenders in other jurisdictions is comparable: Alberta-\$100,000; British Columbia-\$30,000; Manitoba-\$20,000; and the Yukon-\$10,000.

We will be undertaking a review of the Appendix A in respect to additions or deletions which should be made and which will reflect current distribution by the newspapers listed. Should you have any comment on Appendix A please let me know by January 20, 1990.

**Original Signed by
DAVID B. AIKENS**

David Aikens,
Director,
Contracts and
Capital Planning
Division.

Attachments.

=====

D.P.W. & H. DIRECTIVES AND PROCEDURES

**SELECTION OF ARCHITECTURAL
AND ENGINEERING SERVICES**

**No: 20-6
Issue: 3
Date: March 31, 1985
Supercedes: August 15, 1984**

=====

STATEMENT OF D.P.W. & H. POSITION

The Department of Public Works and Highways will use private sector Architectural and Engineering firms to perform specialized services not available within the Public Service. Such services shall normally be obtained through the use of a competitive process which ensures qualified firms or individuals are not omitted from consideration and those qualified are given an opportunity to share in the available work. In support of Government of the Northwest Territories goals and objectives, preference will be extended to N.W.T. firms.

AUTHORITIES

Financial Administration Act
Government Contract Regulations

SCOPE

This Directive applies to all contracts for Architectural and Engineering Services entered into by D.P.W. & H.

Action to initiate use of an Architectural or Engineering firm shall commence only when:

- a) The advice or services sought and the resultant expenditures can be justified as necessary to satisfy program requirements.
- b) The services can be defined adequately to form the basis of a contract.
- c) The services are available at a reasonable cost.

Action to initiate use of an Architectural or Engineering firm shall not commence when:

- a) An employer-employee relationship will exist.
- b) Person-year constraints will be circumvented.
- c) An agreement cannot be for a definite period or a definite scope of work.

DEFINITIONS

The definitions contained in the Government Contract Regulations apply to the terms used in this Section. In addition:

1. **Architectural And Engineering Services:** means Architectural and/or Engineering Services required in the planning, design, preparation or supervision of construction, repair, renovations or restoration of a work or structure. It may include the provision of professional advice, professional services, or any combination thereof. A firm means an Architectural or Engineering individual or group hired to provide any of the above mentioned services.
2. **Inventory:** means a register of firms providing Architectural and/or Engineering Services. The inventory contains pertinent information as detailed in Appendix "A" - Professional Services Inventory. The Contracts and Capital Planning Division shall maintain an inventory at Headquarters that is accessible to all Regional offices on request. One inventory ensures all D.P.W. & H. personnel have access to complete and consistent information. Firms should direct completed Inventory Data Forms (see Appendix "A"), to the Contracts and Capital Planning Division. The inventory shall be continually updated as new firms are identified and be subject to a periodic review by the Contracts and Capital Planning Division.
3. **Proposal:** means an offer from a firm to provide Architectural and Engineering Services. It is submitted to a Contract Authority in response to a Request For Proposals (R.F.P.). See Appendix "C" for contents.
4. **Statement Of Work:** means any document issued by the Department of Public Works and Highways which has the purpose of specifying the work which the Architectural or Engineering firm is required to do, the substance of which shall form an integral part of the contract. See Appendix "C" for contents.
5. **Northern Contractor:** means a contractor who complies with the legal requirements to carry on business in the Northwest Territories, and meets the following requirements:
 - A. (1) (a) is a limited company with at least 51% of the company's voting shares beneficially owned by Northern Residents; or,
 - (b) is a co-operative with at least 51% of the co-operative's voting shares beneficially owned by Northern Residents; or,
 - (c) is a sole proprietorship, the proprietor of which is a Northern Resident; or,

(d) is a partnership the majority interest in which is owned by Northern Residents.

(2) Notwithstanding section A (1), is a Non-resident Contractor that received designation as "Northern" prior to February 18, 1985 and continues to meet the requirements under 5B, 5C and 5D.

B. Maintains a resident Manager,

C. Maintains a Bona Fide place of business in the N.W.T., and,

D. Is listed as a Northern Consultant (firm) on D.P.W. & H.'s Inventory.

6. **Northern Resident:** means a person who has been ordinarily resident in the Northwest Territories for the last three years.

7. **Resident Manager:** means a person residing in the Northwest Territories who has decision making authority over day-to-day matters affecting a Northwest Territories' business.

PROVISIONS

1. Selection Procedure

The prime objective in selecting an Architect or Engineer is to choose one having the potential of providing the best value for the funds to be expended by the Government. Depending on the nature of the work to be done and the dollar amount involved, selection shall be achieved by either a competitive process or a non-competitive process.

i) Selection with proposals (competitive process).
Normally selection is accomplished by this method.

The selection procedure shall be regarded to be competitive provided the following conditions are met:

a) At least two proposals are evaluated.

b) The evaluation is based on an appropriate set of predetermined criteria set forth in the Request For Proposals. No criteria may be used in the proposal evaluation that are not set forth in the Request For Proposals.

c) The evaluation is conducted by qualified personnel.

Revised according to Executive Council Record of Recommendation 85-5-4 dated February 18, 1985.

If any of these conditions are not satisfied, the selection procedure shall be regarded to be non-competitive.

- ii) Selection without competing proposals (non-competitive process.) A proposal is requested from only one firm.

A non-competitive process usually is utilized when:

- a) The services are urgently required and the delay would be injurious to the public interest; or
- b) Only one party is available and capable of performing the work; this may be due to a prior contract where the Architect or Engineer is the only one capable of proceeding with the next phase of work; or
- c) The contract is estimated to cost less than \$25,000 and the expense of proposal competition is not warranted.

A Selection/Evaluation Committee shall be employed for both the competitive and non-competitive processes. It is the Selection/Evaluation Committee which recommends the use of the non-competitive process to the appropriate signing authority (Deputy Minister, Assistant Deputy Minister, Director or Regional Superintendent). This Committee shall consist of personnel competent in the areas of the services to be provided including Officers with knowledge of the policy and contractual process. Committee Members, depending on the scope of the work, shall be a minimum of three and maximum of five of the following people:

One representative of the Client Department (mandatory); from the Department of Public Works and Highways, from two to four members chosen from: the Project Officer, Project Manager (Headquarters or Regions), Division Director, Regional Superintendent, and may include one representative from Capital Planning. The Committee Members shall appoint a Chairperson to chair the meetings.

The inventories shall be consulted before inviting proposals or recommending a non-competitive selection. A list of information to be contained in the inventories is given in Appendix "A".

In order to appear on the inventory, a firm need only submit a completed version of the Inventory Data Form detailed in Appendix "A".

2. Northern Preference/Business Incentive

The present Government of the N.W.T. Business Incentive Policy does not apply to the hiring of Architects and Engineers. However, preference as specified in this Directive shall be given to Architects and Engineers who meet the definition of a Northern Contractor as defined in the Government of the N.W.T. Business Incentive Policy.

Requests For Proposals either through the competitive or non-competitive process will be firstly solicited only from Northern firms. In extraordinary circumstances the Executive Council may waive this requirement.

a) Competitive Process

If all Northern firms on the short list of qualified firms decline to submit Proposals or if the Proposals from all Northern firms on the short list are rated as unacceptable; the Selection/Evaluation Committee may recommend through the Deputy Minister that Proposals be solicited from southern firms. Only the Minister may approve southern solicitations. Recommendations must be accompanied by detailed substantiation.

b) Non-Competitive Process

If the Northern firm requested to submit a Proposal declines the request or if the Proposal is rated as unacceptable, additional Requests For Proposals shall be issued to other Northern firms until all Northern firms who are interested and judged to be qualified have been approached. If after requesting Proposals from all interested and qualified Northern firms no Proposal is rated as acceptable, the Selection/Evaluation Committee may recommend through the Deputy Minister that Proposals be solicited from southern firms. Only the Minister may approve southern solicitation. Recommendations must be accompanied by detailed substantiation.

Within the context of this preference it must be understood that the Northern Architect or Engineer must have the capability to adequately perform the work. When evaluating or selecting Architectural or Engineering firms, standards of performance shall apply equally to all firms providing or proposing services to the Government of the Northwest Territories.

3. Selection With Proposals

Competitive proposals normally will be solicited by means of a Request For Proposals and shall follow the procedures outlined under PROVISIONS 2. Northern Preference/Business Incentive. Appendix "C" outlines the contents of a Request For Proposals.

Depending on the level of detail required, a proposal and its evaluation may cost a substantial amount relative to the value of the work proposed. Proposals therefore should be solicited from at least (and usually only) three firms interested and judged and capable of providing the services. Screening a preliminary list based on the inventory should establish the list of firms that will now be referred to as the short list. This is done by the Selection/Evaluation Committee. If a large number of firms listed in the inventory are capable of providing the type of services required, then the list should be rotated so that over a period of time, all qualified firms are given an opportunity to compete.

In preparing the short list the following factors shall be considered:

- a) The size, complexity and time constraints of the job.
- b) The number, qualifications and experience of personnel to be assigned or made available to the job.
- c) The firm's experience and satisfactory performance on similar projects.

Then a Request For Proposal shall be sent to firms appearing on the short list.

4. Selection Without Competitive Proposals

A list of Architects or Engineers evaluated shall be obtained from the inventory. The selection of this short list shall be done by the Selection/Evaluation Committee. Generally at least three firms shall be evaluated when this type of selection is chosen. The procedure outlined in PROVISIONS 2. Northern Preference/Business Incentive shall be followed.

When competitive proposals are not required, the selection of the Architect or Engineer shall be based entirely on their qualifications bearing in mind:

- a) The size, complexity and time constraints of the job.
- b) The number, qualifications and experience of personnel to be assigned or made available to the job.
- c) The firm's experience and satisfactory performance on similar projects.

The Committee shall choose the firm with the best qualifications and send a Request For Proposal to that firm. The firm's proposal shall be scrutinized employing the given criteria to ensure that the firm is economically and efficiently capable of performing the work. Once this is ensured, the appropriate documentation shall be forwarded to signing authority for approval.

5. Rating Of Proposals

For the competitive process, proposals shall be rated and/or evaluated by the Selection/Evaluation Committee, using predetermined evaluation criteria to determine which proposal appears to offer the best value. The rating and evaluation process is detailed in Appendix "B".

The criteria for evaluating proposals shall determine:

- a) Whether the Architect or Engineer has the necessary capability to carry out the work bearing in mind:
 - the size, complexity and time constraints of the job;
 - the number, qualifications and experience of personnel to be assigned or made available to the job;
 - the firm's experience and satisfactory performance on similar projects.
- b) Whether the proposed approach to the problem will likely produce the desired results considering:
 - the management of the work (delegation of responsibility, work plans, scheduling and cost control, reporting and quality control);
 - the methodology proposed (the technical methods to be utilized in the performance of the work);
 - outside resources to be engaged.
- c) Whether the estimated cost of the work is realistic and the proposed fees are reasonable. The complexity of the fee structure should be analyzed to ensure that the amounts included therein are in line with those normally paid for the type of services, that the amounts are within the approved budget and that they are all inclusive. These fees may be negotiated prior to selecting the firm to ensure the Government obtains best value for the funds to be expended.

The final rating and recommendation for appointment of the successful firm shall represent a consensus reached by the Selection/Evaluation Committee.

The contract usually will be awarded to the firm with the highest rating. Exceptions to this require Ministerial approval.

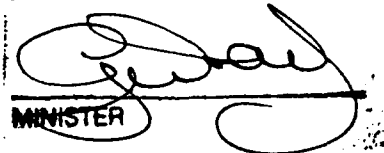
The Selection/Evaluation Committee shall then complete a written recommendation on the selection of the successful firm and a letter of intent. These letters (examples are shown in Appendix "E") shall be forwarded to the appropriate signing authority. When approved, the Division responsible shall prepare the contract documents.

6. In all cases, each firm who submitted a proposal but was unsuccessful in obtaining the contract, shall be advised of the basis upon which the award was made and the reason(s) why their proposal was not accepted. The advice shall be in written form and there shall be separate advice to each competitor. No debriefing shall include information that is proprietary to other competitors.

The procedure for this debriefing is outlined in Appendix "E" - Standard Debriefing Form.

7. Nothing in this Directive shall in any way be construed to limit the prerogative of the Executive Council to make decisions or take actions, respecting the selection of architectural or engineering services, outside the provisions of this Directive.

APPROVED



MINISTER

Minister,
Department of Public Works and Highways.

PROFESSIONAL SERVICES INVENTORY

Inventories should contain sufficient data to enable the selection of a short list of qualified firms for a competitive process. An Inventory Data Form follows directly.

Inventories should contain:

1. Identification

- (a) Name: of firm or individual as it will appear on contract.
- (b) Address: branch offices indicated where appropriate.
- (c) Affiliation: names and addresses of other firms and the relationships.
- (d) Designation: of firm or individual as Northern.

2. Qualifications

- (a) Field(s): of expertise.
- (b) Type(s): of services offered.
- (c) Principals And Senior Officers: names and resumes showing experience and qualifications.

3. Capacity

- (a) Number of total staff currently employed and their specialities.
- (b) Facilities: any specialized equipment or facilities such as instruments, computers, special mobile units or laboratories that are owned or generally leased.

4. Work History

- (a) Recent Contracts: which are representative of the firm's experience and capability (value, type of work and client's name should be stated).
- (b) A summary of previous work undertaken for the Government of the N.W.T. Any evaluation reports done by the Government of the N.W.T. on the firm's work should be included.

Name And Address Of Firm	
Address Of Bona Fide Office	Telephone:
	Date Established:

PRINCIPALS AND ASSOCIATES		
Name	Professional Qualification	Position In Firm

NUMBER OF EMPLOYEES BY CATEGORY		
Professional:	Technical:	Other:

OTHER CONSULTANTS USUALLY EMPLOYED		
Name And Address	Specialty	Affiliated To Your Firm?

COMMISSIONS FOR THE GOVERNMENT OF THE N.W.T.			
Department	Project/Completion Date	Your Officer In Charge	Project Cost

OTHER PROJECTS (Within Last Two Years - Complete Listing Not Required)			
Commissioned By	Project Title	Your Officer In Charge	Project Cost

ATTACHED ARE:			
Photographs:	Brochures:	Classification Sheet:	Other:

REMARKS

NORTHERN PREFERENCE
The Government of the Northwest Territories has an approved policy which offers a preference to Consultants who are qualified as Northern. Details on this policy can be obtained by contacting the Chief, Contracts & Capital Planning Division, Department of Public Works and Highways, G.N.W.T., Box 1320, Yellowknife, N.W.T., X1A 2L9 (Phone: 872-7239). Consultants wishing to apply for consideration under this policy must complete the following section:
Address Of Bona Fide Office In N.W.T. Qualified Resident Manager
_____ Signature
NOTE: A list of company shareholders must accompany this application.
Please note that the Consultant is responsible for ensuring that this information is current. Contracts & Capital Planning Division must be advised of any changes to the status of the above.

QUESTIONNAIRE COMPLETED BY:
_____ Signature Date

GENERAL	CLASSIFICATION		
	ARCHITECTURE	MARINE ENGINEERING	TOWN PLANNING
	ARCHITECTURAL SPECS	LANDSCAPE ARCHITECTURE	ENVIRONMENT/ECOLOGY
	ART	MATERIALS ENGINEERING	ENERGY CONSERVATION
	CIVIL ENGINEERING	MECHANICAL ENGINEERING	AUTHENTIC RESTORATION
	ELECTRICAL ENGINEERING	MUNICIPAL ENGINEERING	
	GEOTECHNICAL ENGINEER.	QUANTITY SURVEYING	
	INTERIOR DESIGN	SANITARY ENGINEERING	
LAND SURVEYING	TESTING & INSPECTION		

SPECIALIZATION	ARTWORK		
	GLASS	GRAPHICS	MURALS
	SCULPTURE		
	BUILDINGS		
	COMMERCIAL	MULTI-STOREY	SCHOOLS
	HOSPITALS	PENITENTIARIES	RESIDENCES/APARTMENTS
	INDUSTRIAL	RESEARCH LABORATORIES	LANDSCAPING
	SCALE MODELS		
	ELECTRICAL SYSTEMS		
	COMMUNICATIONS	ELEVATORS/ESCALATORS	TRANSMISSION
CONTROL	GENERATORS	ALARM SYSTEMS	
DISTRIBUTION	ILLUMINATION		
FEASIBILITY STUDIES			
ECONOMIC	PHYSICAL		
FOUNDATION ENGINEERING			
STRUCTURE FOUNDATIONS	ROCK MECHANICS	SUB SOIL INVESTIGATION	
GEOPHYSICAL SURVEYS	SOIL MECHANICS		
HIGHWAYS AND LAND TRANSPORTATION			
ROADS	BRIDGES	PAVEMENT DESIGN	
TRAFFIC STUDIES	TRANSPORTATION SYSTEMS		
MARINE			
DAMS	ICE PROBLEMS	TRANSIT SHEDS	
FERRY TERMINALS	MARINE HYDRAULICS	NAVIGATION	
FISHING HARBOURS	GENERAL CARGO FACILITIES	RECREATIONAL HARBOURS	

SPECIALIZATION

MECHANICAL SYSTEMS		
AIR CONDITIONING	HEATING	U/G DISTRIBUTION SYST.
AIR FILTRATION	INSULATION	VENTILATION
CONTROL SYSTEMS	PLUMBING	ACOUSTICS
FIRE PROTECTION	REFRIGERATION	

PLANTS		
CHILLED WATER PLANTS	HEATING PLANTS	SEWAGE PLANTS
GENERATING PLANTS	INCINERATOR PLANTS	WATER TREATMENT PLANTS
FILTRATION PLANTS	POWER PLANTS	

PROJECT MANAGEMENT AND CONTROL		
CONSTRUCTION MGMT.	PROJECT PLANNING/SCHED.	CONSTRUCTION SUPERVI.
COST PLANNING/CONTROL	SUPERVISION - GENERAL	

QUANTITY SURVEYING		
CONSTRUCTION ESTIMATES	QUANTITY TAKE-OFFS	

SCIENTIFIC DISCIPLINES		
AUTOMATION	GEOLOGY	MODEL STUDIES
COMPUTER APPLICATIONS	HYDRAULIC DESIGN	

STRUCTURAL DESIGN		
CONCRETE	TIMBER	STEEL

SURVEYING		
AERIAL SURVEYING	LAND SURVEYING	GEO PHYSICAL/SOILS
HYDROGRAPHIC SURVEYING	PHOTOGRAMMETRY	UNDERWATER INSPECTION

TESTING AND INSPECTION		
ASPHALT	PLASTICS/SYNTHETICS	WATER
CONCRETE	ROOFING	WOOD
METALS	TEST BORINGS	

UTILITIES		
AIR POLLUTION PROBLEMS	POWER SYSTEMS	WATER SUPPLY/TREATMENT
CHILLED WATER SYSTEMS	SEWAGE TREATMENT	CENTRAL HEATING SYST.
DRAINAGE	WASTE DISPOSAL	WATER POLLUTION PROBL.

ENERGY CONSERVATION		
COMPUTER PROGRAMS	THERMAL STORAGE	HEAT BALANCES/RECOVERY
SOLAR ENERGY	LIFE CYCLE COSTING	

OTHER (PLEASE SPECIFY)		

SPECIALIZATION

SPECIALIZATION

RATING OF PROPOSALS

Proposals shall be evaluated only on the degree to which they fulfill the criteria in the following Rating Format Table. The criteria are explained in detail in Appendix "C", Section A. Request For Proposals, Item 4.

These criteria are suitable for all projects. For Architectural and Engineering Services necessitating extraordinary requirements, the Committee shall decide the additional appropriate criteria which shall be required before calling for proposals.

In terms of relative importance, the criteria are given an Assigned Weight (Column A). The criteria are rated according to the following degree of satisfaction and this rating (i.e., the unit points awarded) is placed in Column B.

Poor	1 - 3	Points
Fair	4 - 6	Points
Good	7 - 8	Points
Excellent	9 - 10	Points

Each unit Assigned Weight (Column A) is multiplied by the appropriate degree of satisfaction (Unit Points Awarded, Column B) to yield the Total Points (Column A X B). Summation of the individual items' Total Points (Column A X B) yields a Total Score, (TS), which represents the overall degree of satisfaction.

After this procedure is repeated for each firm's proposal, the Selection/Evaluation Committee normally will recommend that the contract be awarded to the firm having the highest Total Score. Exceptions to this require Ministerial approval.

RATING FORMAT

ITEM	DESCRIPTION *	ASSIGNED WEIGHT (A)	UNIT POINTS AWARDED (B)	TOTAL POINTS A X B	REMARKS
1.	Project Team - Personnel to be assigned or made available to the project	20			
2.	Methodology or approach proposed by firm	20			
3.	Past relevant experience	10			
4.	Project Schedule	10			
5.	Fees and expenses as compared to estimate	10			
6.	Past performance appraisals	10			
7.	Location of firm relative to Project Site	5			
8.	Proposal Format & Quality	5			
TOTAL		90	N/A		

* A more detailed description of the rating criteria appears in Appendix "C" - A) Request For Proposals, Item 4.

Percentage of work proposed to be done in N.W.T. _____%

REQUEST FOR PROPOSALS**A. Request for Proposals**

A Request for Proposals (R.F.P.) shall contain at least the following:

1. The statement of work - see accompanying Part B.
2. Supporting documentation and data relating to the work.
3. Closing date for submissions.
4. Instructions governing the information that the firm shall include in its proposal. This information shall be rated according to the Rating Format Table, Appendix "B", and shall include:
 - a) Project team, resources and their locations to be assigned or made available to the project including names and resumes; list any subfirms. List project team leader, if applicable.
 - b) Methodology or approach to be used by the firm on the problem. The firm is to explain how it proposes to complete this work.
 - c) List of similar projects (and clients) on which the firm is currently working or on which it has previously worked.
 - d) Project schedule. Comment on proposed schedule listed in the Statement Of Work. Is it realistic? If not, comment.
 - e) Fees and cost estimates including person hour estimates and rates for the project team. Are the estimates given in the Statement Of Work, Item 9, accurate; if not, the firm shall propose and justify their new estimates.
 - f) Past performance appraisals conducted on the firm.
 - g) Location(s) of the firm - indicate Head Office location and any other Branch Offices where the work is to be performed.
 - h) Percentage of work the firm proposes to do in the N.W.T. This information shall be included by the firm in its proposal; however, this item will NOT be included in the Rating Format Table.

When an extraordinary requirement(s) other than those listed above is/are critical, the requirement(s) shall be stated explicitly. For example, where scheduling is critical, the R.F.P. shall contain a statement such as, "If the firm cannot satisfy deadline requirements, it is not appropriate to submit a proposal."

For smaller projects the Committee may decide that the R.F.P. indicate that letter type proposals are sufficient.

B. Statement Of Work

A Statement Of Work may include but is not necessarily confined to the following:

1. a background statement outlining the situation leading to the requirement(s);
2. the objective - a statement describing that which is to be achieved;
3. the scope - a description of the range, extent and bounds of the work;
4. details of any constraints imposed such as government policies and standards, current and proposed related activities, security, sensitivity to other interests, protection of the environment, conservation of resources and other relevant restrictions;
5. details of available client support and client responsibilities;
6. availability of relevant existing documents;
7. the manner in which work documents are to be presented;
8. a time schedule for the completion of each stage of the work and for the entire work;
9. financial limitations of the project budget and breakdown within which the work is to be performed;
10. progress report requirements and other control procedures to be applied by the client agency during the work;
11. approval and acceptance requirements relating to performance of the several stages and of the work as a whole.

A. STANDARD LETTER OF RECOMMENDATION

To: Approving Officer

Re: Selection Of Firm For (Give Brief Project Description and Project No.)

The following Architectural and Engineering firms were invited to submit proposals for professional services on the above-noted project.

(Names and addresses of firms invited).

- 1. _____
- 2. _____
- 3. _____

All firms indicated a desire to be considered and all submitted proposals by the prescribed date of _____ (Date) _____.

A selection Committee convened on _____, composed of: _____ (Name, Title, Department _____, Chairperson;

_____, Member(s).

In the selection process, each firm's proposal was measured against the requirements called for in the project Request For Proposals and was ranked in accordance with our Directive on the Selection of Architects and Engineers.

The following overall point ratings were established:

- 1. _____ (Name Of Firm) _____ (Point Rating)
- 2. _____
- 3. _____

The Committee recommends acceptance of the proposal submitted by _____ (Name and Address) _____, which ranked highest.

Your approval of the attached letter of intent is requested.

Signed: _____ (Chairperson of the Selection Committee)

Dated: _____



B. STANDARD LETTER OF ACCEPTANCE

(Add or delete items as appropriate)

Attention:

Dear Sir:

Re:

Thank you for your proposal dated _____ for the above referenced project. We are pleased to announce that the Government of the Northwest Territories hereby accepts your proposal. This is your authorization to proceed with the work in accordance with the terms of the proposal.*

Firms are required to submit the following documents within 14 days of the date of notification of acceptance.

1. Proof of registration under the Companies Act of the Northwest Territories.
2. Proof of compliance with the provisions of the Workers' Compensation Act of the Northwest Territories.
3. Original or certified copies of all insurance policies as specified.

The formal contract documents are being prepared and will be submitted to you shortly for execution.

Please contact the Project Officer noted below for any further information:

Yours Sincerely,

Approving Officer.

* Any variance to the original proposal that has been agreed to shall be noted here.

**STANDARD DEBRIEFING FORM -
ARCHITECTURAL AND ENGINEERING PROPOSALS**

(Name And Address Of Firm)

Attention:

Re:

Dear Sir:

Thank you for your proposal dated _____ for the above-referenced project. On this project we received proposals from the following firms:

- 1. _____
- 2. _____
- 3. _____

We evaluated these proposals in accordance with our Directive on the Selection of Architectural and Engineering Services. We regret to inform you that your proposal was not accepted; we accepted the proposal from _____. Your proposal in general was (good, acceptable, unacceptable), but in relationship to the successful firm, could have been stronger in the following areas:

- 1. (Indicate items as noted in the Rating Format where points awarded were relatively low).
- 2.
- 3.
- 4.
- 5.

As part of our procedure on debriefing firms, we attempt to indicate to the unsuccessful firms areas which could be improved for future proposals. The completed Rating Formats are treated as confidential and are not open for discussion.

We appreciate the time and effort you spent in preparing your proposal and hope you will continue to submit proposals when requested.

Chairperson Of Selection Committee

D.P.W. & H. DIRECTIVES AND PROCEDURES

**CONSULTANT AND CONTRACTOR
PERFORMANCE EVALUATION**

**No: 20-7
Issue: 3
Date: June 30, 1987
Supercedes: April 8, 1986**

STATEMENT OF D.P.W. & H. POSITION

The Department of Public Works and Highways shall normally obtain Consultants and Contractors through the use of a competitive process that ensures firms and individuals are given an opportunity to share in the available work.

To aid the Department in the selection of qualified Consultants and Contractors, a Record of Performance of those engaged in contracts with the Department of Public Works and Highways shall be established and maintained.

AUTHORITIES

Contract Regulations
Selection Of Architectural And Engineering Services Directive

SCOPE

This Directive applies to:

- a) Architectural, engineering, consultant and construction contracts.
- b) Evaluations of consultants and/or contractors are optional at the discretion of the Project Manager/Assistant Regional Engineer. Evaluations will normally only be done when exceptionally good or poor performance is received. Satisfactory/acceptable work will speak for itself; evaluations are not required.

DEFINITIONS

Performance Evaluation Committee

In Headquarters, the Performance Evaluation Committee usually consists of three members: the Project Officer, the Project Manager and the Divisional Chief.

For Regionally managed projects, the Committee usually consists of the Project Officer, the Assistant Regional Engineer, and the Regional Engineer.

The Committee Chairperson shall be a permanent Committee member within each centre of responsibility, i.e., Regional Engineer, Divisional Chief, Maintenance Head.

PROVISIONS

1. Authorities And Accountabilities

a) Contracts And Capital Planning Division

- Shall establish and maintain a central Consultant and Contractor Performance Evaluation file. The information contained in the file shall be for the confidential use of the Government of the Northwest Territories.

b) Performance Evaluation Committee

- Shall provide factual, accurate and objective appraisal of the services provided. Where judgemental comments are provided, and in particular where these are negative, they shall be supported with factual detail. Only correspondence and other physical evidence which have been previously presented to the Consultant and/or Contractor can be used to substantiate negative comments. The Committee Chairperson shall forward the Evaluation to the Consultant/Contractor for their comments and critiques.

2. Application

The Committee shall complete an Evaluation:

- a) For Contractor performance, no later than one month after the issue of the Final Certificate Of Completion.
- b) For Consultant performance, no later than one month after the Consultant's work has been completed or the project's Final Certificate has been issued (whichever comes first).
- c) In addition, evaluations may be performed at any time at the discretion of the Project Manager/Assistant Regional Engineer. For example:
 - (1) At the end of the Warranty Period.
 - (2) At the end of each fiscal year on projects which continue longer than a given fiscal year.
 - (3) Prior to a Project Officer leaving the employment of the Department of Public Works and Highways.

The Committee Chairperson shall ensure that the Client Department and Department of Public Works and Highways Operations staff have an opportunity for input prior to the completion of the evaluation process.

3. Distribution

The evaluation forms as shown in Appendices 1 and 2 will be provided in quadruplicate for distribution by the Committee Chairperson as follows:

Original - White - Committee Chairperson Copy

The white copy of the completed evaluation form (without the Contractor/Consultant signature) will be retained by the Committee Chairperson. This copy will be reproduced if other copies become lost.

Second - Green - Contractor/Consultant Copy

The green, orange and canary copies of the evaluation form will be dispatched to the Contractor/Consultant by the Committee Chairperson. The Contractor/Consultant will apply comments or recommendations as required, provide a signature and return the orange and canary copies to the Committee Chairperson.

Third - Orange - Project File Copy

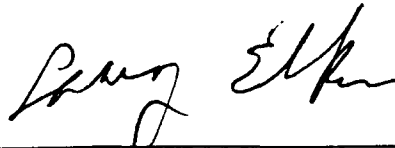
The orange copy will be directed to the files by the Committee Chairperson.

Fourth - Canary - Contracts & Capital Planning Copy

After all comments, recommendations and signatures have been applied, the Committee Chairperson will provide Contracts & Capital Planning with the completed canary evaluation form.

4. Follow-Up

If within three weeks the Committee Chairperson has not received the completed evaluation forms from the Contractor/Consultant, the Committee Chairperson shall provide to Contracts & Capital Planning a photocopy of the original white evaluation form. This form will be placed in the Contractor/Consultant file until such time as a completed form is received.



Deputy Minister,
Department of Public Works
and Highways.

CONSULTANT PERFORMANCE EVALUATION

NAME OF CONSULTANT:		CONTRACT AMOUNT \$	
ADDRESS			
PROJECT TITLE		COMMUNITY	PROJECT No
DESCRIPTION OF WORK			
			DATE FINAL CERT. ISSUED
			DD MM YY
No.	ITEM		RATING (0 - 10)
1	Preliminary Studies	Quality	
2		Time	
3		Cost	
4	Working Drawings and Specifications	Quality	
5		Time	
6		Cost	
7	Design	Quality	
8		Time	
9		Cost	
10	Client and Contractor Service During Construction	Quality	
11		Time	
12		Cost	
13	Interpretation of Requirements and Client Liaison		
14	Efficiency of Management of Time and Resources		
15	Final Project Cost as compared with Estimate		
16	Production of O & M Manuals		
17	Other, specify:		
TOTAL POINTS →			
EVALUATION SCALE		TOTAL POINTS	÷
1 - 3 Poor 4 - 6 Fair 7 - 8 Good 9 - 10 Excellent			
			=
AVE. RATING			
COMMITTEE'S COMMENTS AND RECOMMENDATIONS (ATTACH SUBSTANTIATION WHERE REQUIRED)			
CONSULTANT'S COMMENTS AND RECOMMENDATIONS (ATTACH SUBSTANTIATION WHERE REQUIRED)			
THIS EVALUATION HAS BEEN FORWARDED TO THE CONSULTANT FOR THEIR INFORMATION AND/OR COMMENTS.		THIS EVALUATION HAS BEEN VIEWED BY A REPRESENTATIVE OF THE CONSULTANT, COMMENTED ON AND RETURNED TO THE COMMITTEE CHAIRPERSON.	
COMMITTEE CHAIRPERSON	DATE	REPRESENTATIVE OF CONSULTANT	DATE

CONTRACTOR PERFORMANCE EVALUATION

NAME OF CONTRACTOR		CONTRACT AMOUNT \$	
PROJECT TITLE		PROJECT No	
DESCRIPTION OF WORK		DATE FINAL CERT. ISSUED	
		DD	MM YY
No.	ITEM	RATING (0 - 10)	
1	Supervision of Tradespeople and Subcontractors		
2	Planning, Scheduling and Mobilization		
3	Delivery of Materials		
4	Quality and Condition of Construction Equipment used		
5	Payment of Accounts on Time		
6	Shop Drawings and Assistance in Production of O & M Manuals		
7	Ability to Produce O & M Manuals		
8	Ability to Train/Use Local/Northern Labour		
9	Co-operation and Communication		
10	Quality of Work		
11	Other, specify:		
12	Other, specify:		
TOTAL POINTS →			
EVALUATION SCALE 1 - 3 Poor 4 - 6 Fair 7 - 8 Good 9 - 10 Excellent		TOTAL POINTS	÷ No. OF ITEMS = AVERAGE RATING
COMMITTEE'S COMMENTS AND RECOMMENDATIONS (ATTACH SUBSTANTIATION WHERE REQUIRED)			
CONTRACTOR'S COMMENTS AND RECOMMENDATIONS (ATTACH SUBSTANTIATION WHERE REQUIRED)			
THIS EVALUATION HAS BEEN FORWARDED TO THE CONTRACTOR FOR THEIR INFORMATION AND/OR COMMENTS		THIS EVALUATION HAS BEEN VIEWED AND COMMENTED ON BY THE CONTRACTOR AND RETURNED TO THE COMMITTEE CHAIRPERSON.	
_____ COMMITTEE CHAIRPERSON		_____ CONTRACTOR	
_____ DATE		_____ DATE	



=====

D.P.W. & H. DIRECTIVES AND PROCEDURES

No: 20-8
Issue: 1
Date: Oct. 15/84
Supercedes: New

D.P.W. & H. CONSTRUCTION COST MANUAL

=====

STATEMENT OF D.P.W. & H. POSITION

The purpose of the D.P.W. & H. Construction Cost Manual is to provide Departmental personnel with reliable statistical information on construction costs in the N.W.T. The Manual will serve as a guide to those preparing preliminary estimates of capital project costs.

AUTHORITIES

None applicable.

SCOPE

This Procedure applies to capital construction projects which are directly managed by the Department of Public Works and Highways. These construction projects must be for the purpose of providing new facilities. Cost data for repair and renovation projects of existing facilities is excluded from the D.P.W. & H. Construction Cost Manual.

DEFINITIONS

1. Capital Projects

Means any project funded through the Government of the N.W.T.'s capital appropriation or through programs directly funded by the Federal Government and managed by D.P.W. & H. and for the purpose of this Procedure is limited to predesign, design, and construction projects.

PROVISIONS

1. Authority And Accountabilities

a) Contracts & Capital Planning Division

Is responsible for overall coordination of D.P.W. & H. Cost Recording System and contents of the Construction Cost Manual.

b) Directors/Regional Superintendents

Shall, with Contracts and Capital Planning Division input, determine which capital projects are designated for cost analysis.

c) Project Officers

Are responsible for completing the Project Data sheets for the capital projects designated for cost analysis.

2. Application

Contracts and Capital Planning Division shall consult the Directors and Regional Superintendents in February of each year concerning the projects which form the historical cost data base for the manual. During this review the following shall be determined:

a) Content Of The Existing Manual

Obsolete cost information shall be removed and areas where cost information is lacking shall be determined.

b) Current Projects Identified For Cost Analysis

Current capital construction projects which can provide suitable data for the cost manual shall be identified.

c) Review Completed Projects

The history of recently completed capital construction projects shall be reviewed to determine their suitability for cost analysis within the purpose of this manual.

d) Preliminary List Of Future Projects

A preliminary list of future capital construction projects which will be considered for cost data collection next fiscal year shall be prepared. This will allow project staff to prepare their cost records in advance for these projects so that data collection at year end is simplified.

In March, Contracts and Capital Planning Division shall forward a call letter for cost data collection to the Directors and Regional Superintendents. Attached to the call letter shall be the following:

- a) List of current year capital construction projects for which cost information shall be provided and a preliminary list of future projects.

- b) Project data forms which shall be completed by the Project Officers.

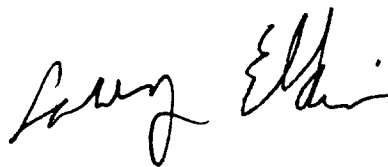
Projects Officers shall return the completed capital project data sheets to the Contracts and Capital Planning Division by the end of May.

Contracts and Capital Planning Division shall collect the cost data and maintain a file of all cost data sheets for each project designated. The information will be consolidated at the completion of each phase of a multi-year capital project and distributed to user groups by the end of July as revisions to the cost manual.

3. Frequency Of Reporting

All reporting shall be completed on an annual basis for all capital projects selected. The cost data collected from Project Officers shall be based on information from the previous fiscal year only.

A copy of the Department of Public Works and Highways Construction Cost Manual is attached as Appendix A (excluding completed cost data sheets).



Deputy Minister,
Department of Public Works and Highways.

DEPARTMENT OF PUBLIC WORKS & HIGHWAYS
GOVERNMENT OF THE NORTHWEST TERRITORIES
CONSTRUCTION COST MANUAL

Contracts & Capital Planning
Division,
Department of Public Works &
Highways,
Government of the N.W.T.

THE D.P.W. & H. CONSTRUCTION COST MANUAL

FOREWARD

The purpose of the D.P.W. & H. Construction Cost Manual is to provide Departmental personnel with statistical information on construction costs in the N.W.T.

It is anticipated that the manual will serve as a guide to those preparing preliminary estimates of capital project costs.

THE D.P.W. & H. CONSTRUCTION COST MANUAL

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FORMS

Project Data Forms:

- (a) Building Projects
- (b) Works Projects

THE D.P.W. & H. CONSTRUCTION COST MANUAL

CHAPTER 1 - GENERAL

1.1 INTRODUCTION

The N.W.T. Construction Cost Manual has been provided in efforts to improve the reliability of preliminary cost estimates (Class D).

It is believed that the limited number of specific type and size of construction projects undertaken by the Government of the Northwest Territories in any one fiscal year does not provide sufficient data base for averaging the unit costs. Therefore, to reflect future construction costs as accurately as possible, the N.W.T. Construction Cost Manual provides a series of case histories of various projects.

The case histories provide several advantages over the method of average unit pricing as expressed in the 1981 Handi Dandi Rapid Cost Estimator. These include the following:

- (i) Considerably more emphasis can be given to provide as much information as possible about what factors have been included or excluded in each unit cost.
- (ii) Reference to a specific project with similar design criteria and geographical location can be made. In some cases this can eliminate the need to adjust the unit costs due to geographical variance.
- (iii) When geographic indexing is required, it can be made by application of the Community Construction Index values given in this manual or by the specific knowledge and experience of the Engineer/Architect preparing the estimate.
- (iv) In addition to providing unit costs based on the total construction costs, cost values of various construction elements are given. This allows for more direct comparison of Class 'C' and 'D' estimates with the more detailed Class 'A' and 'B' estimates as they become available.

1.2 USE

This Departmental Manual, prepared by the Department of Public Works and Highways is intended for internal use by:

- Project Managers and Project Officers as a guide for determining facility costs for planning estimates (Class D).

- Project Managers and Project Officers for preparation of preliminary estimates for facilities requested by Client Departments.

1.3 SCOPE AND DATA BASE

The information in this manual is composed of costs of new facilities only; costs of renovation projects are not shown. The values are actual for the year of construction and therefore are unadjusted unless otherwise noted.

Indices are provided to update the costs to reflect current year values.

Samples of Project Data Sheets are included in the text. (See Forms).

It is the responsibility of Engineer/Architect to identify project anomalies and variations from the case histories and to make necessary cost adjustments for the proposed projects.

Costs provided in the manual must be supplemented by specific professional knowledge of many varying factors and their impact on the project costs.

When necessary, due to limited historical data, unit costs can be adjusted through the use of specific community index to reflect geographic differentials.

Construction cost updates will be issued as new case histories become available.

1.4 GENERAL QUALIFIERS

The unit costs presented in this manual have been compiled in accordance with the following conditions:

D.P.W.& H. Overhead

- Is the amount of overhead which can be charged directly to a specific project. (e.g. Travel, meals, accommodation). Although these charges are noted, they are not included in the construction cost.

Consultant Fees

- Although these charges are noted, they are not included in the construction costs.

Contractor's Overhead & Profit

- Allowances for a Contractor's overhead and profit are included in the construction cost.

Contingencies

- Although the contingencies may be noted, they are not included in the construction cost.

Special Costs

- Each construction project is unique and may require certain extra costs to cover specific conditions. Special costs are included in the total project costs but must be assessed and noted as such in the case histories.

Example:

- (1) Additional costs due to unusually tight tender call and construction schedule.
- (2) Demolition of existing structures from site.

Facilities

- Each facility is costed independently from each other. i.e. Water and sewer services costs beyond property line are not included in the construction costs of a structure which they serve.

Furniture

- The costs of all furniture which is not fixed or attached are not included.

Site Preparation & Landscaping

- The site preparation activity includes the removal of existing buildings and installations from the site and extraordinary cut and fill prior to normal excavation of the substructure. The costs associated with site preparation and unusual landscaping of the facility are not included in the construction costs.

Shipping & Marshalling Charges

- Shipping and marshalling charges are included in the construction costs.

Measurement of Floor Area

- The term Gross Floor Area when applied to unit construction costs provided in the manual shall be deemed to be the sum of all enclosed floor areas (except as noted below) measured flat on plan to outside face of perimeter walls, without deductions for any openings, walls, partitions or columns.
- A calculation of Gross Floor Area will include the plan area of:
 - (a) Enclosed connecting passageways.
 - (b) Tunnels, floor areas, and basements with headroom of 2.0 metres or more.
 - (c) Crawl space with concrete floor.
 - (d) Attached or isolated garages and structures for mechanical and heating systems.
- A calculation of Gross Floor Area will exclude the plan area of:
 - (a) Crawl space without concrete floor.
 - (b) Tunnels and floor areas with headroom less than 2 metres.
 - (c) Unfinished attic areas.

1.5 GEOGRAPHIC INDICES

The relative construction costs continue to fluctuate with time. Although this fluctuation is due to a number of diverse factors, the prime factors influencing the fluctuations are the local economic circumstances of each northern region and those of major urban centers south of the 60th Parallel.

Since the northern communities are generally isolated and the factors influencing differentials in construction costs between communities tend to change slowly, the geographic indices cannot be updated annually.

The following indices are a product of stable yet valid factors influencing local construction costs. Some of these factors are severity of climate, population density, accessibility by heavy transport and distance from major urban centers and others. These values are as per report by the Department of Local Government, Government of the Northwest Territories, Water and Sanitation Project Costs, October 1977.

THE N.W.T. COMMUNITY CONSTRUCTION INDICES

YELLOWKNIFE = 1.00

Aklavik	1.39
Arctic Bay	1.67
Arctic Red River	1.29
Baker Lake	1.59
Bathurst Inlet	1.60
Broughton Island	1.62
Bay Chimo	1.60
Cambridge Bay	1.45
Cape Dorset	1.52
Cape Dyer	1.62
Chesterfield Inlet	1.58
Clyde River	1.68
Coppermine	1.50
Coral Harbour	1.60
Detah	1.01
Eskimo Point	1.52
Enterprise	0.99
Fort Franklin	1.40
Fort Good Hope	1.36
Fort Liard	1.37
Fort Liard with Highway	1.10
Fort McPherson	1.30
Fort Norman	1.26
Fort Norman with Highway	1.15
Fort Providence	1.01
Fort Resolution	1.07
Fort Simpson	1.07
Fort Smith	1.01
Frobisher Bay	1.42
Gjoa Haven	1.70
Grise Fiord	1.80
Hall Beach	1.65
Hay River	0.98
Holman Island	1.68
Igloolik	1.65
Inuvik	1.25
Jean Marie River	1.30
Kakisa	1.03
Lac La Martre	1.33
Lake Harbour	1.57

Nahanni Butte	1.41
Nahanni Butte with Highway	1.11
Nanisivik	1.61
Norman Wells	1.21
Norman Wells with Highway	1.16
Pangnirtung	1.50
Paulatuk	1.62
Pelly Bay	1.85
Pine Point	0.99
Pond Inlet	1.68
Port Radium	1.42
Rankin Inlet	1.48
Rae/Edzo	1.07
Rae Lakes	1.42
Reliance	1.40
Repulse Bay	1.61
Resolute	1.72
Sachs Harbour	1.63
Sanikiluaq	1.62
Snare Lake	1.40
Snowdrift	1.30
Spence Bay	1.65
Trout Lake	1.40
Tuktoyaktuk	1.40
Tungsten	1.25
Whale Cove	1.57
Wrigley	1.25
Wrigley with Highway	1.12
Yellowknife	1.00

1.6 ESTIMATE CLASSIFICATION

Cost estimating is the act of appraising the project cost during the project implementation process. As a project progresses and the amount and accuracy of information increases, the estimates are refined from the initial Class D estimate to yield the final Class A estimate.

The G.N.W.T. employs the identical four classes of estimates utilized by the Federal Treasury Board during the progressive Stages of a capital construction project. All estimates should be dated as they have limited lifetimes particularly in periods of changing inflation rates and fluctuating market conditions. Definitions are as follows.

TREASURY BOARD ESTIMATE DEFINITIONS

Class D Estimate

This is a preliminary estimate which, due to little or no site information, indicates the approximate magnitude of cost of the proposed project, based on the Client's broad requirements. This overall cost estimate may be derived from lump sum or unit costs as identified in the Construction Cost Manual for a similar project. It may be used to obtain preliminary approval and for discussion purposes.

Class C Estimate

This estimate, which is prepared with limited site information, is based on probable conditions affecting the project. It represents the summation of all identifiable project elemental costs. It is used for program planning, to establish a more specific definition of client needs and to obtain preliminary approval.

Class B Estimate

This estimate is prepared after site investigations and studies have been completed and the major systems defined. It is based on a project brief and preliminary design. It is used for obtaining approvals, budgetary control and design cost control.

Class A Estimate

This is a detailed estimate based on quantity take-off from final drawings and specifications. It is used to evaluate tenders or as a basis of cost control during construction.

1.7 PRICE INDICES

Since the cost information is in the form of case histories, it must be updated to current year values. Also, as estimates are normally prepared several years in advance of actual construction, there is a need to adjust the estimates to present them in current year dollars, that is, the year in which the funds will be spent.

The following price indices are as provided by Statistics Canada Construction Division, 1983, to facilitate updating of construction costs. These values indicate the existing and projected national averages.

1971	35.2	1978	58.6
1972	38.1	1979	67.5
1973	41.3	1980	77.2
1974	46.0	1981	86.0
1975	52.7	1982	97.7
1976	58.2	1983	100.0
1977	59.3	1984	105.0
		1985	110.3
		1986	115.8
		1987	121.6
		1988	127.6

How to Use Price Indices:

Given: 1972 Cost History
Proposed Construction in 1985

Estimate for 1985:

$$= \frac{1972 \text{ Cost} \times 1985 \text{ Index}}{1972 \text{ Index}}$$

$$= \frac{1972 \text{ Cost} \times 110.3}{38.1}$$

THE D.P.W. & H. CONSTRUCTION COST MANUAL

CHAPTER 2

BUILDING CONSTRUCTION PROJECT COSTS

2.1 INTRODUCTION

Although it may be desirable to obtain maximum amount of cost information from a completed project, however, in practice this may become cumbersome. Therefore, the detailed elemental format has been condensed to show the costs under the following headings.

1. Substructure
2. Building
3. Equipment
- 4.a. Electrical
- 4.b. Mechanical

Listed below are the sub-elements which make up the elements found in the case histories.

1. Substructure:

Basement excavation and backfill
Foundations
Special Foundations (i.e. Pilings)

2. Building:

Structure	- Floor Construction
	- Frame
	- Roof
Cladding	- Roof Finish
	- Walls
	- Windows
	- Exterior Doors and Screens
Interior Partitions	- Permanent Partitions and Doors
	- Movable Partitions and Doors
Vertical Movement	- Stairs
	- Elevators and Escalators
Interior Finishes	- Floors
	- Ceilings
	- Walls

3. Equipment:

Fittings and Fixtures
Equipment

4.a. Electrical

4.b. Mechanical

2.2 CLASSIFICATION OF BUILDINGS

The structures in this section are classified in groups by Client Departments as follows:

Local Government:	Parking Garages, Maintenance Garages Firehalls Settlement Offices Freezers Arenas Community Centres
Education:	Schools Single Classroom Units Student Residences
Government Services:	Warehouses P.O.L. Storage Facilities (See Chapter 3) Offices
Justice & Public Services:	Liquor Stores Museums Libraries
Renewable Resources:	Offices Shops Garages/Warehouses
Economic Development & Tourism:	Arts & Crafts Shops Fish Plants Campground Structures
Public Works and Highways:	Tradeshops Maintenance Garages Office Buildings
Social Services:	Group Homes Transient Centres Correctional Facilities
Health:	Hospitals Nursing Homes

THE D.P.W. & H. CONSTRUCTION COST MANUAL

CHAPTER 3

WORKS PROJECT COSTS

3.1 INTRODUCTION

The Engineer, when developing preliminary estimate costs for infrastructure construction projects, will have to select elements s/he believes will be incorporated in the particular construction project. Similarly, those preparing case histories of works projects may have to identify or describe elements and systems which may be incorporated in future projects. These will be determined by the Project Officer and the Chief/Regional Engineer.

The following list of elements can serve as an example of how a project may be described in Part 3 of Works Project Data Sheet (Case History).

1. Water Supply & Distribution System

- (a) System - Wet Well
- (b) System - Pumping Station
- (c) Water Intake
- (d) Reservoir
- (e) Supply Line
- (f) Fire Hydrant
- (g) System - Treatment Plant
- (h) System - Truck Fill Station
- (i) Electrical
- (j) Mechanical

2. Liquid Waste Collection & Disposal System

- (a) System - Sewage Pump Station
- (b) Forcemain
- (c) Lateral
- (d) Manhole/Vault
- (e) System - Sewage Treatment Plant
- (f) Lagoon
- (g) Electrical
- (h) Mechanical

3. Solid Waste Collection & Disposal System

- (a) System - Dump
- (b) System - Incinerator
- (c) Electrical
- (d) Mechanical

3.2 CLASSIFICATION OF WORKS PROJECTS

The facilities in this section are classified into the following groups:

- 1. Water Supply and Distribution Systems
- 2. Liquid Waste Collection and Disposal Systems
- 3. Solid Waste Collection and Disposal Systems
- 4. Road/Site/Land Development
- 5. P.O.L. Storage Facilities
- 6. Gas Distribution Systems
- 7. Highways
- 8. Bridges
- 9. Others (as noted on case histories)

FORMS

Attached are the following forms:

- (a) Building Project Data - Two Pages
- (b) Works Project Data - Two Pages

The Project Data Form provides the necessary information for cost analysis of a project. This form is to be completed by the Project Officer annually for each construction project which is to be documented as a case history.

For building projects, the elemental breakdown of construction has been outlined in Part 3 of the form. This is also discussed in Chapter 2, Part 1 of the manual. For the most part, the rest of the form is self explanatory.

For works projects, it is the responsibility of the Project Officer and the Chief/Regional Engineer to ensure that a project is described in terms of systems and elements which provide practical cost information for the future.

PART 1 GENERAL

PROJECT:	PROJECT NO.:
LOCATION:	COMMUNITY INDEX:
CLIENT:	BUILDING TYPE:
CONSULTANT:	BUILDING AREA: m²
CONTRACTOR:	COMPLETION DATE:

PART 2 CONSTRUCTION COSTS (ATTACH SHEET FOR FIXED PRICE CONTRACT)

ELEMENT	DESCRIPTION	QUANTITY	\$
SUBSTRUCTURE			
STRUCTURE			
EXTERIOR CLADDING			
INTERIOR PARTITIONS			
INTERIOR FINISHES			
SPECIALTIES			
MECHANICAL			
ELECTRICAL			
CONSTRUCTION COSTS		\$ /m ²	\$

PART 3 SPECIAL COSTS & COMMENTS

(Schedule/Transportation, Accommodation, Extras, Site Work, Remove Existing Buildings, Etc.)

\$ _____

PART 4 TOTAL PROJECT COSTS

	%	\$ /m ²	DESIGN	CONSTRUCTION	TOTAL
CONSTRUCTION COSTS (PART 2)					
SPECIAL COSTS (PART 3)					
CONSULTANT FEE					
D.P.W. & H. COSTS					
TOTAL PROJECT COSTS	100 %				

PART 5 YELLOWKNIFE BASE COST (INDEX 1.00)

CONSTRUCTION COST \$	\$	m ²
TOTAL PROJECT COST \$	\$	m ²

PROJECT OFFICER _____

DATE _____

NOTE: ALL COSTS ARE EXPRESSED IN 19____ DOLLARS.

PART 1 GENERAL

PROJECT TITLE:	COMMUNITY:
CLIENT DEPARTMENT:	D.P.W. & H. PROJECT NO:
PRIME CONSULTANT:	DATE AWARDED:
GENERAL CONTRACTOR:	DATE COMPLETED:

PART 2 PROJECT DESCRIPTION

PROJECT DESCRIPTION

PART 3 CONSTRUCTION COST

ELEMENT (Description, Size, Material)	AMOUNT (\$)	UNIT COST
TOTAL CONSTRUCTION COST		

PART 4 TOTAL PROJECT COST

ITEM	AMOUNT (\$)	UNIT COST	%
D.P.W. & H. OVERHEAD	PLAN/DESIGN STAGE		
	CONSTRUCTION STAGE		
CONSULTANT FEE	PLAN/DESIGN STAGE		
	CONSTRUCTION STAGE		
CONSTRUCTION COST (SEE PART 3)			
SPECIAL COSTS (SEE PART 2)			
TOTAL PROJECT COST			100%

PART 5 YELLOWKNIFE BASE COST

COMMUNITY INDEX	ITEM	AMOUNT (\$)	UNIT COST (\$)
	CONSTRUCTION COST		
TOTAL PROJECT COST			

NOTE: ALL COSTS ARE EXPRESSED IN 19__ DOLLARS.

**DEPARTMENT OF PUBLIC WORKS
DIRECTIVE AND PROCEDURES**

**PERSONAL PROTECTIVE EQUIPMENT
FOR DPW NON TRADES STAFF**

NO: 40-1
ISSUE: 1
DATE: May 1, 1991
SUPERSEDES: New

STATEMENT OF DPW POSITION

The Department of Public Works recognizes that safety, accident prevention and the preservation of health are of primary importance in all Departmental operations, and that these activities require combined efforts by employer and employees.

The Department will continue to make every effort to provide its employees with safe working conditions, equipment and materials, and will continue to ensure that all reasonable precautions are taken in accordance with the Safety Act and the Regulations thereto.

AUTHORITIES

Safety Act and Regulations
Collective Agreement

SCOPE

This Directive applies only to DPW indeterminate and term employees, excluding trades staff, who are required to inspect construction sites, projects or structures. Trades staff are covered under appendix A9 of the Collective Agreement.

Casual employees hired by the Department are responsible to provide their own Personal Protective Equipment and are therefore not covered under this Directive.

2. Supervisor's Responsibility

- (a) Supervisors are responsible to ensure employees have purchased the proper personal protective equipment and that it is worn when conducting inspections at project sites.
- (b) Supervisors are responsible to verify that the Personal Protective Equipment is in need of replacement due to normal wear and tear.

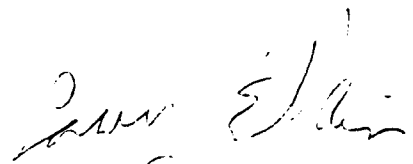
3. Employee Responsibility

- (a) Employees must purchase and wear personal protective equipment as identified in Section 1 (b) of this directive when conducting inspections on project sites.
- (b) The Safety Act and Regulations is very specific about defining the employee's responsibility for safety:

Every worker employed upon or in connection with every establishment shall, in the course of this employment,

- (a) *take all reasonable precautions to ensure his own safety and the safety of other persons in the establishment, and*
- (b) *as the circumstances require, use devices and articles of clothing or equipment that are intended for his protection and furnished to him by his employer, or required pursuant to the regulations to be used or worn by him.*

1974 (3rd), c.9, s.5; 1982 (3rd), c.16, s.3.



Deputy Minister,
Department of Public Works.

EMPLOYEE DISCIPLINE PROCEDURE

STATEMENT OF DPW POSITION

The Department of Public Works wishes to ensure fair treatment of all employees in the Department through the consistent application of progressive discipline. This directive is compatible with all Government policies and procedures as they relate to the discipline of employees. Staff discipline is to be used to rehabilitate the actions of employees.

AUTHORITIES

Collective Agreement
Personnel Manual
Public Service Ordinance
Manager's Guide to Employee Discipline

SCOPE

This directive applies to all employees working for the Department of Public Works, including apprentices.

PROVISIONS

1. Authorities and Accountabilities

a) Minister of Personnel

Only the Minister of Personnel has the authority to:

- i) Dismiss an employee.
- ii) Declare abandonment of duties.
- iii) Reduce an employee's pay (demotion).
- iv) Approve suspensions of over six months.

b) Deputy Minister of Public Works/Regional Director

- i) The Deputy Minister of Public Works has the authority to issue suspensions of up to six (6) months for DPW staff. The Deputy Minister's concurrence must be obtained by the Regional Director for suspensions up to six (6) months.
- ii) The Deputy Minister is responsible for approving all recommendations (and concur with Regional Director's recommendations) for all dismissals, demotions or declarations of abandonment.
- iii) The Deputy Minister is responsible for approving all recommendations for dismissals of on-site casual employees.

c) Deputy Minister of Personnel

- i) Responsible for maintaining official Personnel files and providing expertise in labour relations.
- ii) Responsible for reviewing and recommending a course of action to the Minister of Personnel on all disciplinary matters within the Minister's authority.
- iii) Responsible for approving dismissals for part-time, seasonal and casual employees.

d) Supervisor/Manager (DPW)

Initiates progressive discipline by issuing verbal warnings and preparing letters of reprimand. Supervisor signs all letters of reprimand where no punitive disciplinary action is warranted. Supervisors may also sign letters advising an employee that he is recommending disciplinary action such as suspension/dismissal.

e) Policy, Planning and Training Division

To ensure a consistent approach to progressive discipline, the Policy, Planning and Training Division is to be consulted in all disciplinary actions where a suspension or other punitive actions are being recommended by Supervisors. This may be either verbally or in writing depending upon the nature and timing of the situation. The Policy, Planning and Training Division is also responsible for liaison with the Labour Relations Section, Department of Personnel on all disciplinary actions. The prime point of contact in the Policy, Planning and Training Division for such matters will be the Coordinator, Personnel Administration.

2. Discipline

Responsibilities of Supervisors/Managers:

The supervisor is the best individual to recognize unsatisfactory conduct or performance. The supervisor who ignores disciplinary problems is generally creating a larger problem than the one he is trying to avoid. A situation which might have been handled with relative ease in the initial stages may deteriorate to the point where it becomes a major disciplinary problem. The responsibility of a supervisor is to deal with these problems immediately as they arise. Supervisors must ensure that employees clearly understand the rules and regulations that pertain to them and what is expected regarding job performance. The principles and procedures of constructive discipline must be adhered to and handled in a fair and impartial manner.

3. Causes of Disciplinary Action

a) Misconduct

The term misconduct is generally defined as "wilfully improper behaviour." To determine if an employee is guilty of misconduct, a supervisor must determine two things:

- i) was the employee's behaviour improper; and
- ii) was the employee aware that his behaviour was improper and can the conduct be measured against standards.

b) Incompetence

- i) There are two ways of defining incompetence. An incompetent person may be one who is incapable of performing adequately or it may be one who is capable of performing adequately, but who is failing to meet the requirements of the job. In assessing incompetence, supervisors/management must first deal with the issue of whether it is a staff development (the latter case) or disciplinary (the former case) matter.
- ii) In the latter case, where an employee is incompetent because he/she does not meet the requirements of the job, discipline is not to be considered as the initial means to deal with the problem. First, all reasonable attempts have to be made to deal with the employee's inability to perform the duties through training and staff development measures, or other actions such as transferring the employee to another position. While assessing the training or job placement opportunities the employee should not be considered as or referred to as a candidate for discipline. Only after all such means, as described above, have been exhausted, should disciplinary actions such as demotion or dismissal be considered.
- iii) Once all non-disciplinary courses of action have been exhausted, the type of discipline that you impose when faced with an incompetent employee will depend on the kind of incompetence with which the supervisor is dealing. Disciplining staff on the basis of incompetence is more difficult in many respects because it is more subtle/less visible and generally takes a much greater level of substantiation to prove. The standard disciplinary process, as outlined in this directive must still be followed. The employee's Performance Review and Planning Report is also a useful vehicle for the documentation of work performance (incompetence) issues.
- iv) The preferred course, for management's dealing with incompetent employees is to:
 - 1) Identify the cause for incompetence; and
 - 2) to provide the training necessary to improve performance.

Before taking any disciplinary steps towards an incompetent employee, this avenue must be fully explored and documented.

4. Steps in the Progressive Discipline Approach

There are basically four steps in the progressive discipline approach. Only with extremely severe infractions, it may be necessary to bypass one or more steps in the disciplinary approach. It is possible to consider a number of different offenses in proceeding with progressive discipline, as long as the severity of the offenses are similar.

It is important to note that references to specific disciplinary actions are not to be included in an employee's performance review. It is permissible to speak of problems in performance and to specifically site examples of poor performance in the appraisal, but this should be done in a manner which clearly outlines both the nature of the problems and specific objectives or actions required to address them. References should not be made in the appraisal of the potential for discipline to occur. It is also permissible to prepare appraisals for employees more frequently than the one per year minimum, required for each employee. This is a useful tool in ensuring the employee fully understands management's expectations and his or her responsibilities.

The employee's performance review does not replace any of the steps in the disciplinary process. For instance the appraisal can not be used as a step in the disciplinary process for providing employee's with a written reprimand. While the appraisal can refer to performance problems, a separate written reprimand would still be required.

a) Formal Oral Reprimand

A formal oral reprimand normally involves a private discussion between the supervisor and the employee. The oral reprimand is a statement that serves to admonish an employee for certain acts that are not acceptable to the Government. It gives notice to him/her that such actions will not be tolerated and that further action will be taken if they recur. Following this discussion the supervisor should record the date and the subject discussed and retain a confidential note for further reference. No record of an oral reprimand is placed on the employee's file. In extremely severe instances, such as Absence Without Leave, this step may be bypassed.

Depending upon the severity of the actions of an employee, a varied number of oral reprimands may be issued prior to advancement in the progressive discipline approach. It is while the employee is at this level of discipline that he/she should be encouraged and given the opportunity to improve his/her performance. Recognition of an employee's improvement in their actions or performance is both corrective and positive.

b) Written Reprimand

A written reprimand is the second step of the progressive discipline approach. Prior to presenting the letter a formal meeting should be held. The letter will summarize the discussion stating the nature of the infraction(s) and other relevant data such as time, date, etc. Reference to previous warnings or discipline if applicable should be noted along with a warning against repetition. The written reprimand must also state "a copy of this letter will be placed on your personnel file." A copy is then forwarded both to the Department of Personnel and the Policy, Planning and Training Division.

c) Suspensions and/or Temporary Demotions

Suspension is the third step of the discipline process. It involves the temporary removal of an employee from his position for a specified period of time. A suspension is normally imposed when attempts to obtain results through oral and written warnings have not been successful, thus documentation of previous written warnings must be on the employee's file in Personnel. The Deputy Minister (or Regional Director) must notify this employee of the suspension in writing.

Normally, correspondence with Regional employees will be signed by Regional Directors after the Deputy Minister approves the actions recommended. All suspensions over six months require the Minister of Personnel to approve.

In certain circumstances a suspension may not be the best disciplinary action. Although some form of disciplinary action is necessary, suspending the employee might only complicate matters by leaving the organization short staffed and unable to fulfill the program's responsibilities. When faced with this situation, the Department Head may recommend that the employee's pay be reduced and the employee assigned with lesser duties. Demotions used as alternatives to a suspension should be for a fixed temporary period. Only the Minister of Personnel has the authority to demote a permanent employee upon recommendation from the Deputy Minister of Public Works and the Deputy Minister of Personnel. The Deputy Minister of Public Works must notify the employee of the recommendation in writing. Please be aware that an employee must be advised twenty-four (24) hours in advance if he/she is to be required to attend a meeting to deal with matters which may lead to suspension or dismissal and of his/her right to have a Union representative also attend the meeting. (Collective Agreement 37.07(b)).

d) Dismissal or Permanent Demotion

Dismissal is a disciplinary measure normally used only after all other measures have failed. Dismissals are jointly recommended to the Minister of Personnel by the Deputy Minister of Public Works and the Deputy Minister of Personnel. Dismissal is usually preceded by other disciplinary actions which have been clearly documented on the employee's file. Dismissal may take place on the basis of a single serious offence, but is rare.

The onus is always on the employer to show just cause in the case of dismissal. This means demonstrating that the employee was clearly guilty of misconduct or incompetence, that progressive discipline was applied in an effort to correct the problem but failed to produce results, and that dismissal is the only remaining option.

When dealing with a case of basic incompetence (ie. an employee who lacks the skill or capability of functioning at the levels of performance required by his position) a permanent demotion to a less demanding lower level position may serve as an alternative to dismissal. At times it is in the best interests of both the employee and the employer to demote him back to the level at which he was performing adequately. Only the Minister of Personnel has the authority to demote an employee and because the onus is on the employer to demonstrate cause for demotion, the same procedures apply as those applicable for dismissals.

5. Disciplinary Procedures

A Supervisor, has the right and responsibility to reprimand an employee orally and/or in writing and to recommend to the Deputy Minister of Public Works that an employee be suspended or dismissed.

Proper documentation is the key to any disciplinary action being taken. There is also no set standards on the number of verbal warnings or written warnings an employee must be given prior to a suspension. It will depend on the type of infraction and the employee. The length of a suspension can also vary depending on various factors.

Each case of discipline is viewed on an individual basis. The Policy, Planning and Training Division will be the central focal point for DPW on all disciplinary action requesting suspension or more severe punitive action. This will ensure compliance with GNWT policy and procedures and consistency throughout the Department on the progressive disciplinary approach.

- a) The responsibility of a supervisor is to ensure a careful investigation of the facts is completed prior to any disciplinary action being taken. The following steps should be taken:
 - i) Talk to the employee and provide him with the opportunity to explain his actions.
 - ii) Talk to all others who were either participants in or witnesses to the incident under investigation.
 - iii) The supervisor should record his/her first hand observations of the incident and, if it is useful, ask for written reports from the employee and the other participants/witnesses. Bear in mind, however, that such reports should be purely factual and should not contain value judgments or opinions concerning the employee's actions.
 - iv) Attempt to verify the information received wherever possible.
 - v) Prepare a written report of the incident, summarizing the employee's comments and those of other witnesses, attaching all written reports and supporting documentation.
- b) The fact gathering process does not have to be time consuming, but you must ensure that all the facts are gathered. Prior to making a decision a supervisor should answer the following questions:
 - i) What did the employee do? Is such conduct unacceptable? Why?
 - ii) If a rule or a standard of conduct was violated, should the employee have been aware of the rule or the standard? Is it an established rule or standard or is it implied? If it is established, where is it written or posted? Is the rule or standard reasonable? Has the rule or standard been consistently enforced or maintained with all of the employees?
 - iii) Are there precedents for this kind of situation? The Policy, Planning and Training Division is to be contacted for a Departmental view. The Division will also contact Labour Relations in Personnel for their opinion. Regional Personnel Officers should also be consulted.
 - iv) Am I being totally objective or am I letting personalities influence my judgement? Is there any indication that the reaction would be different if some other employee were involved?
- c) Once these are answered the supervisor is ready to make a decision concerning the need for disciplinary action and the type of discipline to be imposed.
 - i) Verbal and written warnings are handled within the Division or Region. Written reprimands must include the following:
 - 1) An explicit statement of the offense.
 - 2) An accounting of other incidents of the same nature for which the employee has received verbal or written warnings.

- 3) Actions that must be taken by the employee to correct the offense.
 - 4) The disciplinary action to be taken for the offense. Where the disciplinary action to be taken is either suspension or dismissal, the employee must be informed of this twenty-four (24) hours before the meeting and that he/she can have a Union representative also attend the meeting.
 - 5) The type of disciplinary action that will be taken in the future should the employee repeat the offense or not show improvement in work performance.
 - 6) The fact that a copy of the reprimand is being placed in his/her personnel file.
- ii) Once progressive discipline has commenced it should follow the proper steps. In other words, once a written reprimand is given, the supervisor should not go back to issuing a verbal warning. The next disciplinary action will be determined by the previous discipline imposed. Where a significant period of time elapses between relatively minor offenses, it may be appropriate to lessen the disciplinary action taken. As an example, an employee is consistently late and receives a number of verbal warnings and finally a written reprimand. The employee then has perfect attendance for over six (6) months. A verbal warning may be a more appropriate response to the first reoccurrence after a six (6) month period of perfect attendance. If you lessen the disciplinary action taken you must be sure to follow through on each subsequent step in the disciplinary process. In other words, if you issue a verbal warning and written reprimand, then go back to a verbal warning, you cannot then jump directly to a request for suspension.
 - iii) Disciplinary action is kept on an employee's file for two years. After this time, reference cannot be made to the previous disciplinary action if the employee has not had other disciplinary action within this period.
 - iv) Whenever a suspension or more severe disciplinary action is being recommended within Public Works the Region/Division must contact the Coordinator, Personnel Administration of the Policy, Planning and Training Division. Policy, Planning and Training Division will advise on the Departmental position along with the opinion of Labour Relations. This will ensure recommendations and decisions are consistent throughout the Department.
 - v) The Deputy Minister will be briefed on all recommendations regarding suspension and approval will be sought. As it may be necessary to issue a suspension immediately, Regional Directors may be requested to issue a suspension letter to Public Works employees on behalf of the Deputy Minister. This request may be directly made by the Deputy Minister to the Regional Director or by the Policy, Planning and Training Division to the Regional Superintendent, Department of Public Works.
 - vi) Suspensions and dismissals are severe forms of discipline. These actions are usually appealed or grieved but this should not deter a supervisor from imposing discipline. Any questions regarding discipline can be directed to the Director or Coordinator, Personnel Administration of the Policy, Planning and Training Division.
- d) Safety in the Workplace

Line supervisors have an important responsibility to ensure the safety of all employees while they are at work. Supervisors have the right to send workers home from work who create a dangerous situation. In these instances the process to be followed is:

- i) Advise the employee verbally to:
 - 1) leave work; and,
 - 2) whether or not you will be recommending disciplinary action.
 - ii) Follow up immediately (the same day, if possible) with a letter to the employee which states the reason(s) for sending the employee home and whether or not disciplinary action is being recommended.
 - iii) Contact the Policy, Planning and Training Division to discuss the situation. The Policy, Planning and Training Division will advise on the Departmental position along with the opinion of Labour Relations vis a vis disciplinary matters and will advise managers whether further disciplinary action is required.
- e) Absence Without Leave (AWOL)
- i) Discipline for this offense is handled the same as for other offenses except that:
 - 1) An AWOL form is to be completed by the supervisor and submitted with the monthly attendance register to ensure payroll deduction is done.
 - 2) After a period of five (5) consecutive work days a request to declare the employee has abandoned his position can be submitted.
 - ii) If an employee goes AWOL, the following steps should be undertaken by supervisors:
 - 1) Attempt to contact the employee at home and find out why he/she is absent and instruct him/her to return to work.
 - 2) Where the employee cannot be contacted or refuses to return to work, a double registered letter should be sent (or hand delivered) instructing the individual to immediately report to work and advising that more severe discipline up to and including dismissal may occur.
 - 3) After five (5) days AWOL, an abandonment of duties request, in the absence of any contact or resolution of issues with the employee, is to be forwarded for review to the Director or Coordinator, Personnel Administration of the Policy, Planning and Training Division. The Director or Coordinator will take the request to the Deputy Minister of Public Works for his approval and recommendation to the Department of Personnel.
- f) Apprentices
- DPW is responsible for the training and supervision of apprentices assigned to the Department. This includes disciplinary matters. As apprentices are also Government employees they are subject to the same disciplinary rules and procedures as are our own employees. This Department is responsible for carrying out disciplinary actions as outlined in this directive for our apprentices. The only variations are as follows:
- i) All letters of reprimand or recommendations for discipline should be copied to the appropriate Apprenticeship Training Officer (ATO) in the Department of Education.

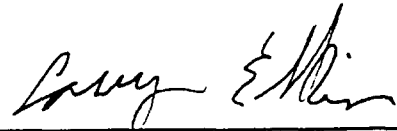
- ii) The ATO should be included in all meetings with apprentices where disciplinary matters are to be discussed.
- iii) The ATO should be involved at each step in the disciplinary process so that support can be provided to management and counselling provided to the apprentice.
- iv) Where dismissal of an apprentice is being considered, the Director of Employment and Apprenticeship Programs in the Department of Education (Headquarters) will be advised and consulted by the Director of the Policy, Planning and Training Division prior to formal actions being taken by this Department.

g) General

In all cases where employees are being advised of potential suspensions or dismissals, it is important to clearly advise the employee of what is expected. For instance, is the employee to continue to come to work until the decision on dismissal or suspension etc. is made.

PREROGATIVE OF THE DEPUTY MINISTER

Nothing in this directive shall in any way be construed to obligate or limit the prerogative of the Deputy Minister to make decisions or take actions, respecting the discipline of employees, outside the provisions of this directive.



Deputy Minister,
Department of Public Works.

STAFF TRAINING AND DEVELOPMENT

STATEMENT OF DPW POSITION

1. Public Works seeks to encourage employees to make full use of their talents and to advance personal and organizational success by providing access to increased knowledge and skills. The effective application of emerging technical, managerial and administrative knowledge should be supported to the mutual benefit of DPW and its employees.
2. Public Works will provide support to employees for courses, where appropriate, when the training relates to present work or to realistic expectations of future advancement in DPW.
3. The extent of any support will depend upon the circumstances. Factors considered are:
 - DPW's requirement for specific skills and knowledge;
 - Suitability of the course to the employee's needs;
 - Employee potential and individual goals;
 - The employee's length of service;
 - Cost of the program proposed;
 - The location of where the program is offered;
 - The operational requirements where absence from the job for training is necessary.

The Department also recognizes the need for financial restraint facing the Government and, therefore, training for all employees must be accomplished as economically as possible.
4. The Department welcomes the participation of the private sector and other Government departments in the identification of joint training requirements and sharing joint training economies and opportunities (e.g., private contractors in the construction industry).

AUTHORITIES

GNWT Human Resource Planning Policy
Affirmative Action Policy
Collective Agreement

SCOPE

This Directive applies to the training or development activities of DPW employees excluding casual employees. Training and development is most effective when viewed as part of a Human Resource Development Plan, consisting of the following related variables:

- The needs of the organization;
- The needs of the individual;
- The required human and financial resources;
- Output of performance and achievement of measurable results.

Training and Development Activities include the following:

Staff Orientation
Education Leave
Short Term Education Leave
Leave Without Pay for Personal Reasons (Training)
In-Service Training Program
GNWT (Education) Staff Training Courses
Public Service Commission Courses
Commercial Training Courses and Seminars
DPW Specifically Designed Courses
Correspondence Course Tuition Reimbursement
Conferences or Seminars
Professional Association Membership
Career Assignment Program
Apprenticeship

Details on all of the above activities are covered in the attached appendices.

PROVISIONS

I. Definitions

1. *Staff Training*

Activities designed to help an employee to acquire the specific knowledge, skills, and habits necessary for the effective performance of their duties. The focus is upon immediate and short-term goals.

2. *Development Training*

Training which is intended to provide an individual with skills, knowledge, and/or abilities for a future job or position assignment. Developmental training is most commonly used to ready employees for promotional opportunities or lateral transfer to broaden experience.

3. *Staff Retraining*

Activities to assist employees to acquire skills for different positions due to organizational or technological change in order that they may continue, where possible, to pursue their careers within the Public Service.

4. *Annual Training Plan*

Identification of department-specific (as opposed to employee-specific) staff training or development programs (e.g., Supervisory Management Training).

II. Rationale for Providing Training to Staff

1. Enhance the knowledge and skills of the individual employees for the performance of present and future roles.
2. Contribute positively to the development of employee skills, thus enabling the Department to operate at maximum efficiency and effectiveness, while giving the public a maximum return on monies spent.
3. Attract and retain competent employees who are concerned with their personal development and interested in advancing their career within our Department or within the Public Service.
4. Provide, on an equitable and consistent basis, the method of meeting the training and development needs of the Department, and relate those to individual and organizational needs, requirements and objectives.

5. Provide opportunities for upward mobility of existing staff, thereby preserving and enhancing employee morale and reducing the amount of costly recruitment programs.
6. Provide retraining as necessary, to employees whose positions may be privatized or whose present skills become obsolete due to organizational or technological change.

III. Authority and Accountability

Deputy Minister of Public Works

1. Approves priorities for overall training and development programs of the Department, based upon recommendations of the Assistant Deputy Minister and Director of Policy, Planning and Training Division from plans submitted by Regions and Divisions. This includes approval of the Department-wide annual training plan.
2. Approves duty travel to the South associated with training courses (Note: Regional Director may approve Regional travel outside the N.W.T. for training), as required in the Financial Administration Manual.
3. Approves the formation of Training Committee(s) to oversee planning and/or training development projects. The Deputy Minister will approve committee membership and name the committee's chairman.

Director of Policy, Planning and Training

1. Undertakes required studies of training needs and develops the appropriate training programs, either internally or through consultation with external sources.
2. Liaises with educational and training institutions; related departments (such as the NWT Housing Corporation or Municipal and Community Affairs); private sector organizations (the NWT Construction Association) to identify joint training requirements and joint training economies; and other relevant professional organizations with respect to program and course availability and development of programs to meet identified Departmental needs.
3. Publicizes in-house and external training and development resources, in coordination with divisions and Regions, where appropriate.
4. Develops and implements the Departmental training and development planning process. Coordinates the development and monitors the implementation of a Departmental-wide training plan.
5. Monitors the effectiveness of training and development activities, and recommends appropriate changes in policy and procedure to the Deputy Minister.
6. Budgets for and manages resources allocated to the development and delivery of Departmental-wide training programs.

7. Coordinates the efforts of training committees approved by the Deputy Minister.
8. Administers the implementation of Departmental training programs in cooperation with divisions and Regions.
9. Coordinates staff retraining if required.

Divisional Directors and Regional/District Superintendents

1. Identifies Departmental/Divisional/Regional staff training and development requirements based upon needs and priorities. These requirements are to be identified in the annual (divisional) training plan and are not specific to individual employee needs.
2. Assists in the development of internal training and development programs in cooperation with the Policy, Planning and Training Division.
3. Assists Policy, Planning and Training Division to evaluate on an annual basis all employees' participation in training courses and programs in terms of performance levels and overall effectiveness and appropriateness of course/ program material.
4. Takes a leadership role in working with divisional/Regional staff to formulate individual job/career goals or directions through the annual employee performance review process, in accordance with Departmental needs, and priorities.
5. Emphasizes the importance of the training and development functions which are key to the employees' improvement, growth and job satisfaction.
6. Manages resources within their budgets allocated to training individual employees.
7. Identifies the need for staff retraining of employees to Policy, Planning and Training Division.
8. Prepares an annual report of staff training and development activities/costs within their division and Region and submits to Policy, Planning and Training Division.

Supervisors

1. Actively develop individual training/development plans in consultation with employees.
2. Identifies to the Divisional Director/District or Regional Superintendent overall training requirements in his/her specific area.
3. Ensures that the staff are trained to carry out assigned tasks.

4. Completes training needs for current position, employee potential and approves sections of the Performance Review and Planning Report. Measurable training or development accomplishments of staff will be acknowledged during the annual employee appraisal.

Individual Employee

1. His/her own personal development, including the identification of potential training and development needs and the discussion of such needs and opportunities with their supervisor.
2. Participates in training activities, where requested by the Department.
3. Is prepared to take advantage, and make the most effective use of, the training and development opportunities made available by the Department.
4. Reports on all training and/or development activities attended by completing the form developed for this purpose and forwarding it to the Policy, Planning and Training Division.
5. Completes employee career aspirations, training completed or new qualifications achieved during reporting period and employee comments on appraisal sections of the Performance Review and Planning Report.

Role of Training Committee

As directed by the Deputy Minister, training committee(s) may be formed to manage specific staff training or development programs with a broader scope, applying to groups of employees.

1. Membership on the committee will represent a broad enough base of management and employees to ensure the program can be properly managed and directed.
2. Generally, training committees will be responsible to:
 - (a) Develop a specific program terms of reference, including the identification of scope and content.
 - (b) Direct the efforts of in-house staff or consultants developing the program.
 - (c) Review, approve and/or amend staff training and development programs.
 - (d) Approve implementation plans for the program once it is developed.
 - (e) Assist Policy, Planning and Training Division in monitoring program implementation.

IV. Training and Development Funding in DPW

1. *DPW-Initiated, For Individual Employees* (Full cost of course fees to be borne by DPW.)

Applicable when expansion of the employee's knowledge or skill is required to meet managerial, administrative or technological changes, or the demands of foreseen additional duties and responsibilities. Directors and Superintendents who approve training will pay out of their budgets all expenses associated with the training or development activities.

2. *Employee-Initiated* (Full cost of course fees to be borne by the employee.)

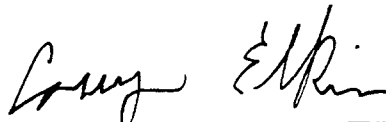
The employee will bear the full cost of outside training where a course is not related to the employee's current job responsibilities or to the employee's present career path within DPW. If, however, a direct applicable need can be substantiated and meets the approval of the Deputy Minister a portion and/or full course fee may be borne by DPW (e.g., Pre-retirement course).

3. *Central Training Funding*

The small centralized training component of the DPW budget is intended to cover expenses incurred in development, coordination and monitoring of the training activities of Regions and divisions and is not intended to pay expenses for individual employees to attend courses. Allocation of central training funds managed by the Policy, Planning and Training Division will be based upon the priorities set annually in the Department's annual training plans.

VI. General

1. Staff training and development activities presently available to employees are outlined in the attached Appendix 1.
2. Nothing in this Directive shall in any way be construed to obligate or limit the prerogative of the Deputy Minister to make decisions or take actions respecting staff training and development outside the provisions of this Directive.



Deputy Minister
Department of Public Works

STAFF TRAINING AND DEVELOPMENT DIRECTIVE

STAFF TRAINING AND DEVELOPMENT ACTIVITIES DESCRIPTION

Schedule I	Staff Orientation 1.1 Staff Orientation (optional) 1.2 GNWT Orientation (proposed)
Schedule II	Education Leave
Schedule III	Short Term Education Leave
Schedule IV	Leave Without Pay for Personal Reasons (Training)
Schedule V	In-Service Training Program
Schedule VI	(GNWT)/Education Staff Development Courses
Schedule VII	Public Service Commission Courses (Government of Canada)
Schedule VIII	Commercial Training Courses and Seminars
Schedule IX	Supervisory/Management Training (Trades)
Schedule X	Correspondence Course Tuition Reimbursement
Schedule XI	Conferences and Seminars
Schedule XII	Professional Association Memberships
Schedule XIII	Career Assignment Program
Schedule XIV	Apprenticeship

STAFF ORIENTATION

Schedule I

1.1 Staff Orientation

Description: Seminar provided at Headquarters for DPW Yellowknife Divisions and Yellowknife District Office employees to review the Employee Orientation Handbook produced by the Policy, Planning and Training Division, or in each Region by the Administration Officer.

Eligibility: Term and Indeterminate Staff.

Duration: Two (2) hours, maximum.

Location(s): As required (In Yellowknife - Floor 7 Boardroom).

Application/
Approval

Procedures: Employees are customarily invited to a seminar within three months of the start of their employment.

1.2 GNWT Orientation (proposed)

Description: Personnel's Human Resource Planning Division will be working with Education to develop and implement an Orientation Program. It is designed to inform the new employee about the GNWT in brief sessions, each session building upon the previous one. In coordination with the new Orientation Program, Human Resource Planning will work with the various departments to coordinate the design and production of new employee handbook.

Eligibility: GNWT Term and Indeterminate Staff.

Duration: To be announced.

Location(s): To be announced.

Application/
Approval

Procedures: To be announced.

EDUCATION LEAVE

Schedule II
Page 1 of 2

- Description: The following summary describes briefly the provisions of the Collective Agreement between the Northwest Territories Public Service Association (Union of Northern Workers) and the Commissioner of the Northwest Territories. Article 47, Pages 97-100.
- Leave granted, with Government assistance, to undertake full time post-secondary studies for a period of not less than one (1) academic year at a recognized university, community college, or technical institute [academic year means two (2) full program semesters completed in succession or completed within a twelve (12) month period].
- Eligibility: Except in unusual circumstances, all applicants must have:
- three (3) years continuous service with GNWT prior to beginning leave,
 - evidence of satisfactory performance and development potential supported by a current performance appraisal.
 - a guarantee of employment upon graduation from the Deputy Minister of a GNWT department.
- Duration: Not less than one academic year, renewable annually each January / February until completion of approved program. Based upon funding utilization in Education there may also be a September/October review of applications.
- Location: Recognized institution and program endorsed by Department Head (Deputy Minister).
- Evaluation: Successful completion of approved coursework.
- Funding: A. Allowance in lieu of salary:
- 0% - program of studies must be generally relevant to present and future requirements of GNWT.
 - 50% - employee selected for staffing when Northerners not sufficient to fulfill needs of GNWT.
 - 100% - employee whose skills are obsolete and requires retraining; or,
 - no qualified persons available to fulfill needs of GNWT.

- B. Plus removal costs, tuition, travel and removal for short-term (possibly summer) work with the GNWT.

Employee/
Employer
Obligations:

- Employee - must return to GNWT for a period equal to leave period.
Employer - Article 47.05, see pages 85 - 86.

Application/
Approval
Procedures:

- Application forms available from:
- (Headquarters) Director of Training Services,
Department of Education, or
- (Regions) Regional Superintendent of
Education.

SHORT TERM EDUCATION LEAVE

Schedule III

- Description: The following summarizes Leave Without Pay to take advanced or supplementary professional or technical training of less than one academic year. It may be granted to employees upon the recommendation of the Department Head upon the recommendation of the Director or Superintendent [Collective Agreement, Article 48, pages 100-101].
- Eligibility: Such leave shall be based on an appraisal of the present and future job requirements and the qualifications of the employee applying and shall therefore be granted only to meet the identified needs:
- where the employee has become technically obsolete and requires retraining to satisfactorily carry out the work; or,
 - where the courses are required to keep the employee abreast of new knowledge and techniques in their field or work; or,
 - where qualified persons cannot be recruited to carry out essential work and it is necessary to train present employees.
- Duration: Less than one academic year (usually eight months).
- Location: Recognized institution and program endorsed by Department Head (Deputy Minister).
- Funding: Full or partial financial assistance in respect of salary, tuition, travelling and other expenses may be granted as defined in the Collective Agreement.
- Employee/
Employer
Obligations: Employee - Must return to GNWT for a period equal to leave period.
Employer - Obligations agreed to by the Department Head (Deputy Minister).
- Evaluation: Successful completion of approved coursework.

LEAVE WITHOUT PAY FOR PERSONAL REASONS (TRAINING)

Schedule IV

- Description:** Employees may request leave without pay for personal reasons, in order to further their own education or training. This form of leave without pay differs from either Education Leave Without Allowance in Lieu of Salary (Collective Agreement 47.04 a) or Short Term Leave (without pay) for Training Purposes (Collective Agreement 48).
- Eligibility:** All employees of the GNWT may request such leave. Each request will be reviewed based on its own merits, including the needs of the individual and the government.
- Duration and Approval:** Term will depend upon the desires of the individual and the interests of the government.
- Employee/
Employer
Obligations:** To be agreed to by the employee and employer.

IN-SERVICE TRAINING PROGRAM

Schedule V

Description: The following summarizes briefly the GNWT In-Service Training Program Directive of the Department of Education (February 17, 1987).
A staff development program to provide training opportunities for Northern residents in order to access officer level Public Service positions.

Eligibility: Residents born and raised in the NWT or long term Northerners.

Duration: 1 - 4 years, occasionally 5.

Location: Locations where trainee can be supervised by qualified GNWT staff.

Funding: A percentage of the salary of the position occupied by an entry-level employee with full qualifications / certification.

Employee / Employer Obligations: Employee - Complete training plan as scheduled.
Employer - See Directive available from Training Service, Department of Education.

Application Procedures: Staffing competitions as advertised, governed by the merit principle, and temporary priority of staffing preferences such as the Affirmative Action Policy.

Evaluation: Quarterly performance reports.

(GNWT) / EDUCATION STAFF DEVELOPMENT COURSES

Schedule VI

- Description: The following summarizes briefly the Staff Development and Training Calendar of Courses.
- The Department of Education provides courses relevant across departments to GNWT employees in Human Resource and Program Management, Communication Skills, Computer Use and other topics.
- Eligibility: Term and Indeterminate GNWT employees, and others where seats are available.
- Duration: Usually 1 - 5 days.
- Location: Yellowknife and Regional centres.
- Funding: \$250 per training day approximately, depending on class size. Paid by individual division or Region.
- Employee / Employer Obligations: Employee - Attendance.
Employer - Course and (if necessary) travel costs.
- Application Procedures: Registration for Staff Training forms available to all employees. The Department of Education publishes a calendar of courses available across the NWT on an annual basis.
- Evaluation: Participant and course evaluations as decided by the Department of Education.

**PUBLIC SERVICE COMMISSION COURSES
(GOVERNMENT OF CANADA)**

Schedule VII

Description: The following summarizes briefly the Personnel Management Manual (Volume 27): Courses and Educational Services of the Public Service Commission.

Courses relevant to the Government of Canada public service employees on a wide variety of topics provided by qualified and experienced trainers. Attendance by GNWT employees is allowed at many of these courses.

Eligibility: Term and Indeterminate GNWT employees and others where seats available.

Duration: Usually 1 - 5 days.

Location: Yellowknife and major centres across Canada.

Funding: Up to \$300 per training day. Paid by individual division or Region to Government of Canada.

**Employee /
Employer**

Obligations: Employee - Attendance, and possible final exams.
Employer - Course and (if necessary) travel costs.

**Application /
Approval
Procedures:**

Treasury Board of Canada
Training Application and Authorization Form
available from:

1. (Department of Education) Coordinator of Training Services.
2. Federal agencies such as Canada Employment Centres.

Evaluation: Participant and course evaluations.
Possible exams of participants as described in course outlines.

COMMERCIAL TRAINING COURSES AND SEMINARS

Schedule VIII

Description: Courses conducted by consultants, trainers, experts or specialized corporations on many topics falling roughly into three categories:

- 1) Academic-style management or results-oriented courses often provided by "institutes" (such as the Banff Centre School of Management or Arctic College).
- 2) Methods-oriented seminars focusing on clerical, management, service or communication skills (such as Paul Douglas' Super Secretary Course).
- 3) Technical seminars by practitioner experts focusing on new technology, safety or product servicing (such as energy conservation courses provided by public or product-oriented trainers).

Application
Procedures:

- 1) Access to these courses arises from flyers and course schedules sent to Northern employers. Registration forms from the training company must be completed by the employee and often must be sent to the company with prepayment.
- 2) Travel costs, if outside the NWT, require the Deputy Minister or the Regional Director's approval. During times of restraint, the Minister's approval for travel to Southern Canada may be required.

SUPERVISORY/MANAGEMENT TRAINING (TRADES)

Schedule IX
Page 1 of 3

Description: A training program developed by DPW for trades and maintenance supervisors and managers.

Eligibility: Tradespeople with good employment records employed and sponsored by DPW, DOT, MACA or Housing Corporation who, by undertaking a training program, would like to compete for positions such as settlement and maintenance supervisor, trades foreman, area or regional maintenance officer and maintenance superintendent.

Duration: Up to 24 days of training over a period of two years.

Location: Various NWT centres such as Fort Smith, Yellowknife and the Regional centres.

Funding: a) Previously program delivery was supported with funding received under Affirmative Action. As funding was sunsetted to March 31, 1990 new sources of funds will be required to deliver the program. Total costs may be borne by departments or agencies enrolling employees.

Employee/
Employer

Obligations: Employee - Successful completion of each course which makes up the program.
Employer - To provide employees with opportunities, to the extent possible, to utilize their training.

Application /
Approval

Procedures: Nomination by a divisional Director, Regional Superintendent upon recommendation of employee's supervisor.

Evaluation: Numerous reviews and short tests.

SUPERVISORY/MANAGEMENT TRAINING PROGRAM (TRADES)

Schedule IX
Page 2 of 3

Level	Course	Topic
Level I	Management Essentials (10 days) A & B	Roles and Responsibilities Oral Communication Decision Making and Problem Solving Basic Math Written Communication Time Management Employee Assistance Plan Providing on-the-job Training
	Human Resources (5 days)	General Leadership Management Conflict Hiring, Performance Review and Planning
	Operations Management & Financial Management (5 days)	Roles and Responsibilities Shop Management Maintenance Planning Maintenance Scheduling Contract Management Budget Development Monitoring & Expenditures
Level II	Human Resources (5 days)	General Leadership Delegation Motivation Hiring Financial Project
	Operations Management (3 days)	Loss Control Motivation Shop Management Project Management
	Financial Management (4 days)	Equipment Maintenance and Management O&M Budget Identifying Capital Requirements Managing Expenditures Contracts Conclusions

Level III

Financial Management
(4 days)

Review of Level I, II
Multi-year Fiscal
Framework
Budget Implementation and
Control
Information Needed by
Managers
Financial Information to
Improve Performance
Policy and Regulations

CORRESPONDENCE COURSE TUITION REIMBURSEMENT

Schedule X
Page 1 of 2

Employees may claim for reimbursement of course tuition from their own department or from the Department of Education.

Department of Public Works

Description: The Department of Public Works may reimburse employees for relevant correspondence courses upon successful completion. To be eligible, employees must have the prior approval of their divisional Director or Regional Superintendent and the course(s) must be considered useful to their present duties or their future development within the Department.

Eligibility: All employees of DPW.

Funding: Individual divisions and Regions are responsible for providing funding. Tuition must be paid originally by the claimant.

Application/ Approval Procedures:

Employees must request approval in writing for reimbursement from their divisional Director or Regional Superintendent prior to the initiation of their course. Employees must provide original receipts for course tuition and provide proof of successful completion for each course claimed.

Department of Education

Description: Employees taking courses which do not meet the above criteria may successfully claim reimbursement from the Department of Education. The following summarizes briefly the information sheet of the Department of Education entitled Correspondence Course: Application for Financial Assistance.

The Department of Education will reimburse the actual cost of three correspondence courses (each course to not exceed \$250 each per year) upon successful completion of the courses accompanied by:

- 1) Statutory Declaration indicating the student is not receiving funds from any other source for the costs claimed and that their host department is unwilling to pay these costs.
- 2) Transcript copy.
- 3) Original receipts for all expenditures claimed such as fees, postage, texts.

Eligibility: Claimants must have been residents of the NWT for a minimum of three years.

Funding: All expenses must have been paid originally by the claimant.

Application/
Approval
Procedures:

Complete Application for NWT Student Financial Assistance Section 414, available from the Coordinator for Training Services, Department of Education or Regional Departments of Education.

CONFERENCES OR SEMINARS

Schedule XI

Description: Conferences or Seminars with a professional component that warrants leave or financial support for the employee to attend.

Eligibility: Term or Indeterminate employees with the support of their Director or Superintendent.

Duration: 1 - 5 days.

Location: Canada only. Outside Canada requires Minister's approval.

Funding: As determined by the Director or Superintendent.

Employee/
Employer
Obligations: Employee - Complete Training and Development Evaluation Form.
Employer - Support determined by the Director, or Superintendent.

Application
Procedures: A request to the supervisor for attendance (registration, time to attend and travel costs), for approval by Director or Superintendent.

Note: a) Travel outside the NWT requires the Deputy Minister or Regional Director's approval.
b) During periods of restraint, the Minister's approval for travel to Southern Canada may also be required.

Evaluation: Report (above) and increase employee performance.

PROFESSIONAL ASSOCIATION MEMBERSHIPS

Schedule XII

Description: 1. Personal Membership

Payment or reimbursement for a fee to maintain membership in professional societies, organizations where membership is required for certification demanded by the employee's position description.

2. Corporate Membership

Payment for a corporate membership in a society or organization where membership is required for access to necessary or important publications or information sources.

Eligibility: See "Description" above.

Duration: One year only for Personal Memberships. Employee must resubmit request annually.

Approval: Deputy Minister of DPW.

Application Procedures: Memorandum or request to Director or Superintendent.

CAREER ASSIGNMENT PROGRAM

Schedule XIII

- Description:** A program to prepare middle and senior managers of the GNWT to compete on senior positions, through an assessment exercise in Edmonton, Alberta, a nine week long public service school held somewhere in Western Canada and possibly one or more work assignments in DPW, or other GNWT Departments, where the employee can broaden or develop their job experience in areas recommended by the assessment personnel and the Deputy Minister of DPW, in consultation with the employee.
- Eligibility:** Nomination by the Deputy Minister and acceptance by the Assessment Committee of the (Western) Career Assignment Program in Edmonton, Alberta.
- Duration:** One - three years (maximum).
- Location:** Any NWT community.
- Costs:** Release time for the employee to attend the assessment exercise, and/or nine week school program, including travel costs.
- Funding:** Sponsoring division or Region.
- Employee / Employer Obligations:**
- | | |
|------------|--|
| Employee - | Satisfactory performance in the assessment exercise as determined by the Assessment Committee of the Career Assignment Program. |
| Employer - | Willingness and capacity to support employee for: <ul style="list-style-type: none">- one week of assessment;- nine weeks of the public service school;- job rotations/assignments planned in cooperation with the senior manager or Career Assignment Program manager (optional). |

APPRENTICESHIP

Schedule XIV

- Description:** The following summarizes briefly the NWT Apprenticeship Program that is administered by the Advanced Education Division, Department of Education.
- Apprenticeship is a combination of on-the-job and technical training which is designed to produce tradespeople qualified at the journeyman level.
- Eligibility:** Residents born and raised in the NWT or long term Northerners.
- Duration:** 1 - 4 years depending on trade.
- Location:** Location where apprentice can be supervised by a qualified tradesperson.
- Funding:** Jointly funded by the Federal and Territorial Governments.
- Employee/
Employer
Obligations:**
- | | |
|------------|--|
| Employee - | Fulfill the terms of the contract. |
| Employer - | Provide on-the-job training and experience in the trade. |
- Application
Procedures:** Positions may be filled by the staffing competition route or by individuals locating a Journeyman tradesperson who is willing to support the apprentice.
- Evaluation:** Progress reports are completed throughout the contract of employment.

DIRECTIVE
OFFICE SPACE ALLOCATION STANDARDS

80-1
Approved by Executive
Council, Record of
Recommendation 83-6-5,
February 11, 1983.

Scope

This Directive applies to all Departments and Agencies of the Government of the Northwest Territories.

Definitions

1. Net Rentable Area:

The net rentable area is the whole area within the inside finish or exterior building walls and includes all area within the outer walls less stairs, elevator shafts, flues, pipe shafts, vertical ducts, balconies, air conditioning rooms, janitor closets, electrical closets, washrooms, public corridors and other such rooms or areas which are not available to the tenant for his furnishings, personnel and their enclosing partitions.

2. Useable Area:

Useable area is the Net Rentable Area adjusted by Building Factors such as columns and perimeter convectors. How well a building can be adopted to a particular application is dependant upon the Building Factors. Useable area is the area used in determining office requirements with respect to space planning.

3. Workstations:

Workstation space is the space required for individuals and their directly associated furniture, according to type of position.

4. Support Area:

Support area denotes the square rootage requirement for office support areas such as meeting rooms, coat storage and reception areas. The area per person varies with the number of persons sharing usage of the area.

5. Building Factors:

Building Factors include space occupied by columns and perimeter convectors, plus various building characteristics which may affect use, such as floor loading restrictions, partitioning, lighting and air conditioning fixtures.

4. Application and Review

- a) Client's request for additional space or a change in the use of existing space will be directed to the Chief, Operations Division, Department of Public Works (in Regions through the Regional Engineers). The request will be reviewed against approved standards and discussed with that Client Department or Agency to confirm the need, eligibility and availability of space. If the request does not conform to the standards, the request may be denied.
- b) If the required space is available, a program will be developed by the Operations Division. The detailed design will be undertaken by the Architectural Division of Public Works in consultation with the client and the Operations Division. Approval of the detailed design rests with the Chief of Operations.
- c) The Architectural Division or Regional Engineer will manage the necessary contract work which may include renovations and moving contracts.
- d) If the space required to meet an accepted Client request is not available from inventory, the Department of Public Works will initiate action to locate space. A submission to approve acquisition will be presented to the Executive Member.

5. Priority

Actioning requests from Departments or Agencies will be based on the following priority basis.

- a) Departments or Agencies whose total office space allocation is below the approved standard.
- b) Requests for revision or change to groups within Departments whose office space allocation is below the approved standard.
- c) Requirements for new office space due to expansion.

6. Reallocation of Surplus Space

Departments or Agencies that are currently favoured with surplus space will have their allocation reduced when;

- a) The surplus space is required to meet the needs of a Department or Agency which has sub-standard space allotment.
- b) The Department or Agency having the surplus requests revision to their space allotment.

G.N.W.T. OFFICE STANDARDS
WORK STATION ALLOCATION STANDARDS

POSITIONS	OFFICE TYPE	USABLE SQ. FT. PER PERSON	
		TARGET ASSIGNMENT	ALLOWABLE RANGE
<u>Level A</u> Ministers	Closed	280	250-280
<u>Level B</u> Deputy Ministers	Closed	250	225-275
<u>Level C</u> Assist. Deputy Ministers Exec. Secretaries Exec. Directors of Board Agencies and Judges	Closed	200	180-220
<u>Level D</u> Chiefs	Closed	140	120-160
<u>Level E</u> Mangers, Head, Senior Officers Senior Professionals (Lawyers, Engineers, Architects, etc.) Exec. Assistants	Optional Open or Closed	110	95-125
<u>Level F</u> Officers Junior Professionals (Lawyers, Biologists Technical Officers Designers, Planners)	Open	81	80-110
<u>Level G</u> Technical, Computer Operator, Data Entry, Word Processor	Open	81	70-95
<u>Level H</u> Secretariat	Open	60	55-70
<u>Level I</u> Clerical	Open	45	45-60

December 13, 1982

D.P.W. DIRECTIVES AND PROCEDURES

PROJECT SIGNING MAINTENANCE PROJECTS

No. 100-1
Issue: 1
Date: April 30/84
Supercedes: New

STATEMENT OF D.P.W. POSITION

The Department of Public Works uses private contractors to perform all ferry operations and significant portions of highway maintenance work. These projects are long term, 2 or 3 years, and are site specific, being either a section of road or a ferry crossing, and therefore are readily identifiable. The Department also contracts many other services but these are not site specific nor are they long term and hence not amenable to identification by project signage. Therefore, highway maintenance and ferry operation projects will be identified by project signs for the duration of contract.

AUTHORITIES

Visual Identity Program: D.P.W. Site Signage Manual
Public Highways Ordinance

SCOPE

This directive applies to all long term (minimum two years) highway maintenance and ferry operating contracts.

Action to initiate the erection of a sign should be contingent upon:

1. The term of the contract being at least 2 years long.
2. The project being identifiable as a specific site.
3. If highway maintenance, the majority of routine maintenance being performed by contract.

DEFINITIONS

1. Highway Maintenance means the routine day to day maintenance activities such as road surface maintenance, winter snow and ice control, etc., performed by contract where the contractor supplies all necessary equipment and personnel to perform the functions tendered.
2. Ferry Operations means the routine day to day operation of a passenger-and vehicle-carrying vessel where the contractor supplies the captains and crews necessary for legal operation of the vessel.



Dempster Highway Maintenance km 0-144

Department of Public Works
Hon. Gordon L. Wray,
Minister

Contractor:
Fort McPherson
Incorporated Band Ltd.

SIGNBOARD

SECTION FOR OTHER RELATED DOCUMENTS

There generally may be a need for a Departmental information manual to contain a variety of work related documents. However, developing one standard manual for all project people may be an impossible task, as individual requirements vary considerably. The requirement for such an information manual is still being reviewed. Please submit any comments you have on this to your Director/Regional Superintendent and the Policy and Planning Officer.

In the interim, this section has been provided to enable project people to insert here whatever other related documents they feel are important to them. A listing of potential documents which could be included follows:

- GNWT Policies:
 - Business Incentive Policy
 - Expense Lease Policy
 - Revenue Lease Policy

- Selected Directives from the Department of Personnel Manual, such as Conflict of Interest Directive No. 107.

- Selected Directives from the Financial Administration Handbook, such as Duty Travel Directive No. 820-1, Personal Insurance Directive No. 850-2.

- DPW&H Project Planning and Implementation Process - A Guideline for Clients.

- DPW&H Employee Orientation Information Handbook.