

NTTA Projects	Original Issue Date: 04/01/2010	CA-06
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Title: Professional Services Work Authorization Development and Execution		

**1.0 PURPOSE:**

The purpose of this procedure is to define the process for preparing, reviewing, and executing Work Authorizations (WAs) to procure professional services contracts, in compliance with the approved program schedules and budgets.

**2.0 RESPONSIBILITIES:**

- 2.1 Professional Services Firm – The engineering or consulting firm shall be responsible for providing a fee estimate in accordance with an established scope of services and schedule for the work authorization, for negotiating with NTTA or its authorized representative to achieve a reasonable fee for the services to be provided, updating as necessary fee estimates, and for executing the final work authorization.
  - 2.2 Assistant Executive Director of Infrastructure (AEDI) and Director of Project Delivery (DPD) – The AEDI and DPD shall be responsible for reviewing and approving WAs in accordance with the financial values established herein. Additionally, the Director of Project Delivery shall be responsible for assigning an appropriate NTTA staff member to participate in the negotiation.
  - 2.3 Project Delivery (PD) Contracts Manager – The Project Delivery Contracts Manager shall be responsible for oversight of the PD Program Support staff, and for ensuring compliance with and any necessary updates to this procedure.
  - 2.4 PD Program Support staff – The PD Program Support staff shall be responsible for distribution of scopes of service and schedules to selected firms, scheduling negotiation sessions, participation in negotiation sessions, reviewing all WAs and distributing them to NTTA Contracts Management, document controls manager, and the consultant.
  - 2.5 Originator- The originator is defined as the Corridor/ Project Manager or the Project Delivery (PD) manager who identifies the need for the WA and shall be responsible for developing the necessary scope of services and schedule for the needed services. The originator shall be responsible for the preparation of an independent cost estimate in accordance with CA-08, and shall participate in the negotiation session for the service to ensure the resulting scope and fee is consistent with corridor/project scope, schedule and budget.
  - 2.6 NTTA Contracts Management staff – NTTA Contracts Management staff shall be responsible for acquiring executive signatures on all WAs, logging into NTTA tracking systems, and filing one original executed copy, and returning one executed copy to PD Program Support staff.
  - 2.7 PD Document Control staff – The PD Document Control staff shall upload the executed WA and attached documents to EPDS Project Records repository.
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2.8 PD Program Controls Manager - The PD Program Controls Manager shall be responsible for reviewing the work authorization relative to budget and confirming the fee estimate and ICE are appropriate in relationship to the Authority budget and funding sources if the work authorization is greater than \$50,000.00. Additionally, the negotiated fee schedule must be reviewed upon completion of negotiations.

### 3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all follow on work authorizations for professional services within the NTTA Project Delivery department.

### 4.0 REFERENCES:

- [CA-08](#) Independent Cost Estimate

### 5.0 DEFINITIONS & ACRONYMS:

### 6.0 PROCEDURES:

- 6.1 The originator shall obtain written approval from the Director of Project Delivery to proceed with work authorization and shall notify the PD Program Support staff of the need for the WA. If the WA value is greater than \$300,000.00, the originator must ensure the item has approval from the Director of Project Delivery. **Under no circumstances shall the Professional Services Firm begin work until the WA has been executed.**
  - 6.2 Once the need for a work authorization has been identified, the originator shall develop a scope of services and schedule for the needed service. If desired, the originator may request assistance from the PD Contracts Manager in the preparation of the scope of services. The scope of services and schedule shall be provided to PD Program Support Staff who shall in turn provide it to the selected firm for preparation of a fee estimate in accordance with this scope and schedule.
  - 6.3 The originator shall ensure an independent cost estimate is prepared in accordance with CA-08. PD Program Support staff shall provide any work authorization with fee schedule greater than \$50,000.00 to Program Controls Manager for review.
  - 6.4 If the estimated value of the WA is less than \$300,000.00, the NTTA may authorize the Corridor Manager or Project Manager to negotiate the fee for the services on their behalf in accordance with the approved independent cost estimate. If this is the case and the services are negotiated without actual NTTA representatives present, then the Corridor Manager must obtain at a minimum email concurrence from an appropriate NTTA staff member of the proposed scope, schedule and fee for the service. This email must be provided to PD Program Support staff along with the negotiated scope, schedule and fee for WA preparation.
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- 6.5 If the estimated value of the WA is greater than or equal to \$300,000.00, then a formal negotiation must be scheduled by PD Program Support staff with NTTA staff in attendance. The negotiation shall be attended by an assigned NTTA staff member, the Corridor/Project Manager, PD Program Support staff, the PD Contracts Manager and other PD subject matter experts as requested. Following the negotiation, the final scope of services, schedule and fee estimate shall be provided to PD Program Support staff for WA preparation.
  - 6.6 Once the terms of the WA are agreed upon, the professional services firm shall prepare and sign a WA using active *CA-01-F8*, *CA-01-F12*, or *CA-01-F13*, based on the previously established contract type and the WA/SA/CO Log, *CA-03-F2*. A proper description of the scope, fee, and schedule modifications for the WA is required on *CA-01-08*, *CA-01-12*, or *CA-01-13*. Extra pages may be added if necessary. The WA shall be returned to the originator if a clear understanding of the WA scope, fee, and schedule is not provided.
  - 6.7 If the WA is greater than or equal to \$300,000.00, it shall be presented to the Board for approval. The originator shall prepare an executive summary, resolution, and presentation and shall submit the WA for Board approval. If the WA is not approved by the Board, it shall be returned to the originator for re-evaluation.
  - 6.8 If the WA is less than \$300,000.00, the originator shall give the signed WA to PD Program Support staff for further routing and execution.
  - 6.9 Upon receipt of the signed WA, PD Program Support staff shall review the document to ensure the SA is complete and accurate, prepare and attach the Contract Modification Form (CMF) and forward the WA to the Director of Project Delivery for final approval. This shall be inclusive of the WA package, the independent cost estimate if required per CA-08, and the NTTA concurring email, as described in 6.4, if below \$300,000.00.
  - 6.10 Upon receipt of the WA, the Director of Project Delivery shall review the document form, sign the Contract Modification Form (CMF) and return to the PD Program Support staff for further routing and approval. If the WA is greater than or equal to \$25,000.00, the PD Program Support staff shall forward the WA to the AEDI. The AEDI shall review the document form, sign the Contract Modification Form (CMF) and return to the PD Program Support staff for routing to NTTA contract management.
  - 6.11 NTTA contract management shall acquire executive signatures (if the WA is greater than \$100,000.00) on the WA, log the WA into NTTA tracking systems, file the NTTA's executed copy, and return the second executed original back to the PD Program Support staff.
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6.12 Once received by PD Program Support staff, the executed WA shall be scanned into the EPDS by PD Document Control. PD Program Support staff shall distribute the executed WA to the Professional Services firm.

**7.0 REGULATORY REQUIREMENTS:**

- Section 366.033(j) of the Texas Transportation Code

**8.0 RELATED BOARD POLICY:**

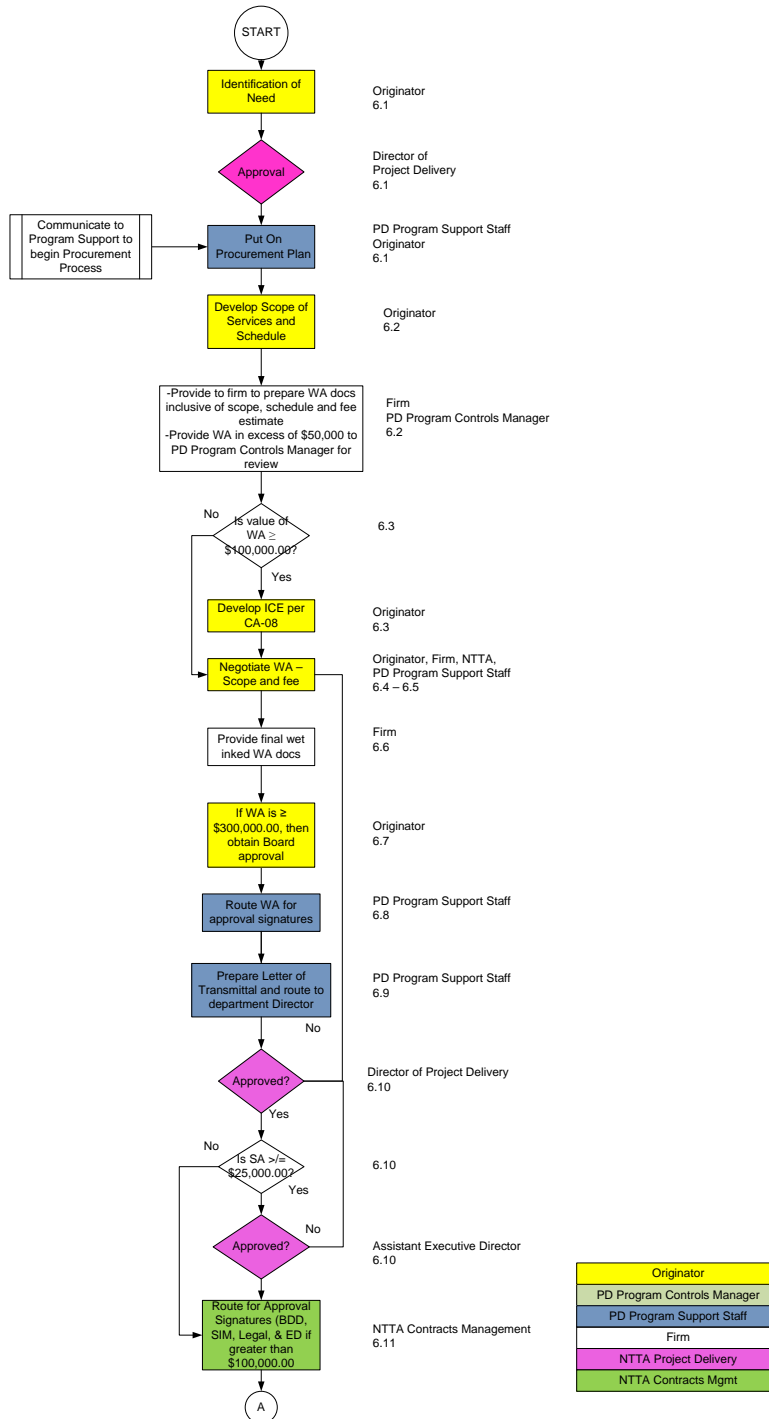
- Policy Regarding the Procurement of Goods and Services and Disposition of Property (applicable sections)
- Procedures Regarding the Procurement of Goods and Services and Disposition of Property (applicable sections)

**9.0 COMPONENT DOCUMENTS:**

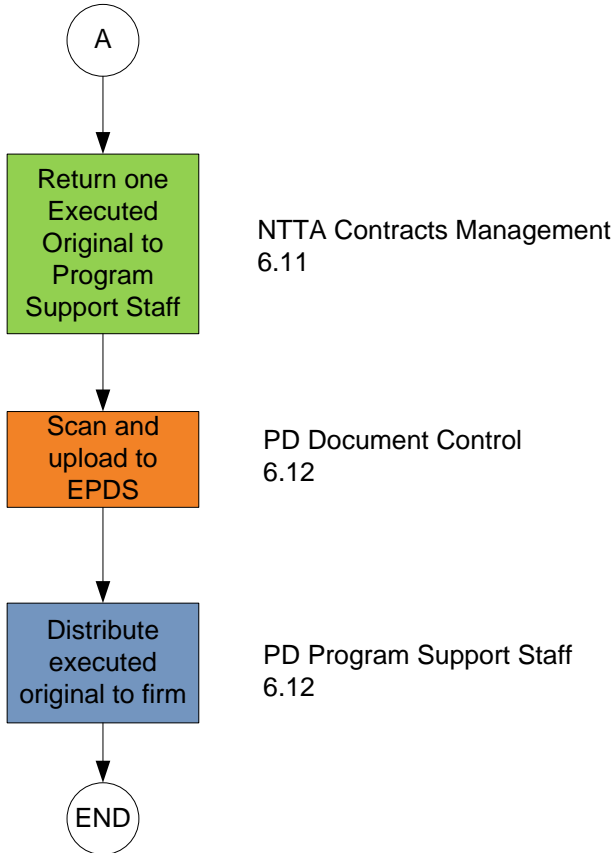
- [CA-01-F8](#) Engineering Cost Plus Fixed Fee Boilerplate Contract Work Authorization
- [CA-01-F12](#) Engineering Cost Plus Percentage Boilerplate Contract Work Authorization
- [CA-01-F13](#) Engineering Lump Sum Boilerplate Contract Work Authorization
- [CA-03-F2](#) WA/SA/CO Log (Attachment E)
- [Contract Modification Form \(CMF\)](#)

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10.0 FLOWCHART:



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Originator
PD Program Support Staff
Firm
NTTA Project Delivery
NTTA Contracts Mgmt
PD Document Control

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**11.0 REVISION HISTORY:**

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Mike Hutchison	04/01/2010	<a href="#">10120</a>	Original Issue
1	Kim Robins	04/28/2011	<a href="#">10305</a>	Update titles, add Program Controls Manager and responsibilities
2	Kim Robins	10/26/2011	<a href="#">10346</a>	Inserted reference to CA-08 and CA-01 in Section 4.0. Updated section 6.2, 6.9, 6.10, 9.0 and flowchart.
3	Ben King	12/2/2016	<a href="#">10617</a>	Revise procedure per current practice.