

Document Release Notice

Document #:	CA-03	Title:	Professional Services - Supplemental Agreement	
Current Revision #:	10	Type of Change:	<input type="checkbox"/> ORIG RELEASE <input checked="" type="checkbox"/> REVISION <input type="checkbox"/> ARCHIVE <input type="checkbox"/> OBSOLETE	
New Revision #:	11	DRN Number:	10889	<input type="checkbox"/> MAJOR <input checked="" type="checkbox"/> MINOR <input type="checkbox"/> ADMIN
Date Submitted:	9/30/2022	Document Type:	QMS Document - CA	Choose from Drop Down Menu

Summary of Proposed Changes:

- Include paragraph numbers or other references & attach a copy of the new or revised documents
- For new documents, indicate "Original Release"







Revise the procedure to update the following sections as shown in the attached redline document:

- 2.0 Responsibilities
- 6.0 Procedures
- 10.0 Flowchart

Reason for New Release / Revision / Obsolescence:

Update personnel descriptions, procedures and flowchart to be consistent with other QMS procedures and to align with current practice.

Required Signatures:

Title	Printed Name	Signature	Date
Originator	Teresa Calderon		9.29.2022
Subject Matter Expert	Teresa Calderon		9.29.2022
NTTA Manager	Ben King		10/20/22
PD Manager of Contracts	Ben King		10/20/22
Director of Project Delivery	Elizabeth Mow		10-31-22
Document Control/Quality Manager	Md Omar Faruk		10/31/2022

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1.0 PURPOSE:

The purpose of this procedure is to define the process for preparing, reviewing, and processing changes to procured professional services contracts, in the form of Supplemental Agreements (SA), in compliance with the approved program schedules and budgets.

2.0 RESPONSIBILITIES:

2.1 Professional Services Firm/Consultant – shall be responsible for:

- Working with their Project Delivery counterpart to prepare a scope and fee consistent with the requested contract change.
- Providing a fee estimate in accordance with an established scope of services and schedule for the SA.
- Negotiating with NTTA or its authorized representative to achieve a reasonable fee for the services to be provided.
- Updating SA as needed.
- Executing the final SA.

2.2 Executive Director (ED) – shall be responsible for:

- Approving SA and authorizing work to begin when the monetary value is greater than \$100,000.00.

2.3 Assistant Executive Director of Infrastructure (AEDI) – shall be responsible for:

- Approving SA and authorizing work to begin when the monetary value is between \$25,000.00 and \$100,000.00.

2.4 Director of Project Delivery (DPD) – shall be responsible for:

- Approving SA and authorizing work to begin when the monetary value does not exceed \$25,000.00.

2.5 Project Delivery (PD) Contracts Manager – shall be responsible for:

- Recommending the approval of the SA after initial approval by the Project/Corridor Manager and/or NTTA Resident Engineer.
- Ensuring compliance with this procedure.

2.6 PD Program Support Staff – shall be responsible for:

- Reviewing SA for accuracy and routing it for executive signatures.
- Distributing the executed SA to PD Document Control, NTTA Manager, the affected professional services consultant, and NTTA Procurement Services.
- Preparing annual contract renewal and monthly expiration reports from EPDS and Project Control Databases for distribution to each Project Manager/Corridor Manager/NTTA Resident Engineer for review and preparation of the necessary SA documents.
- Uploading the executed SA to EPDS Project Records repository.

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2.7 Originator – shall be responsible for:

- Overseeing the SA preparation.
- Responding to expiration reminders thirty days before the expiration date and provides with necessary documents to process the SA.
- Preparing an independent cost estimate in accordance with CA-08.

2.8 PD Program Controls Manager – shall be responsible for:

- Reviewing and verifying SA for appropriate budget and funding source prior to execution.

2.9 NTTA Manager – shall be responsible for:

- Reviewing and approving the need for SA prior to the preparation and submission of required documents.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all Supplemental Agreements to professional service contracts on NTTA projects and corridors within the Project Delivery department.

4.0 REFERENCES:

CA-08 Independent Cost Estimate Procedure

5.0 DEFINITIONS & ACRONYMS:

N/A

6.0 PROCEDURES:

6.1 Supplemental Agreement Development -The Professional Services Firm must notify the Originator that a potential change to the contract is needed.

6.1.1 Upon receipt of such notification, the Originator shall notify and obtain approval from the NTTA Manager.

6.1.2 The Originator shall coordinate with the Professional Services Firm to determine the proper time to execute a SA.

- **Under no circumstances shall the Professional Services Firm begin work until the SA has been executed.**

6.2 If the NTTA Manager agrees with the potential change, the Originator shall prepare a SA using active CA-03-F1 and the active WA/SA/CO Log, CA-03-F2. A proper description of the scope, fee, and schedule modifications for the SA is required on Form CA-03-F1. Extra pages may be added if necessary.

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- 6.3 If the estimated absolute value of the SA is greater than or equal to \$100,000.00, the Originator shall prepare an independent cost estimate in accordance with CA-08.
 - 6.4 The Originator shall review the documentation provided, sign CA-03-F1, and deliver the document to the Program Support Staff for further processing.
 - 6.4.1 When reviewing the SA, the Originator shall indicate on the SA form CA-03-F1 the magnitude and scope of the increase or decrease and shall describe the impact the execution of this SA shall have upon participation in this effort by diversity firms and why.
 - 6.5 Upon receipt of the SA, PD Program Support Staff shall review the document form to ensure the SA is complete and accurate, prepare and attach the Contract Modification Request Form (CMR1), log the SA into the PD tracking systems and obtain signatures from the Project Delivery Managers.
 - 6.6 The NTTA Manager shall review all Supplemental Agreements and recommend for approval. The NTTA Manager is required to sign CA-03-F1 for evidence of concurrence.
 - 6.7 The PD Program Controls Manager shall review all Supplemental Agreements and recommend for Approval based upon availability of funds. For evidence of concurrence, Program Controls Manager is required to sign CA-03-F1.
 - 6.8 The PD Contracts Manager shall review for accuracy and completeness and sign CA-03-F1. If the SA is incomplete or inaccurate, the PD Contracts Manager shall return the SA to the PD Program Support Staff for correction and re-submittal.
 - 6.9 Upon obtaining all required signatures on the SA, the PD Program Support Staff shall forward the SA to the Director of Project Delivery for approval.
 - 6.10 Upon receipt of the SA, the Director of Project Delivery shall review and approve the document form, sign the Contract Modification Request Form (CMR1) and CA-03-F1, and return to PD Program Support.
 - 6.11 If the SA is greater than \$25,000.00, PD Program Support Staff shall forward the SA to the AEDI. The AEDI shall review the document form, sign the Contract Modification Request Form (CMR1) and CA-03-F1, and return to PD Program Support Staff.
 - 6.12 If the SA is greater than \$100,000.00, PD Program Support Staff shall acquire Executive Director signature on the Contract Modification Request Form (CMR1) and on CA-03-F1.
 - 6.13 If the SA 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 SA for
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Board approval. If the SA is not approved by the Board, it shall be returned to the originator for re-evaluation.

6.14 Once the SA is fully executed, PD Program Support Staff shall scan the SA, upload it into EPDS, return one original copy to the Professional Services Firm, provide an electronic copy to PD Program Controls and to NTTA Procurement Services by uploading an electronic copy to the Contract Management Software.

6.15 On a monthly basis, the PD Contracts Manager shall review active contracts and work authorizations to determine if supplemental agreements are necessary to accommodate changes in contract expiration dates, overhead rates, vehicle costs, mileage, and/or per diem rates. This process shall be achieved through the following procedure:

6.14.1 The PD Program Support Staff shall prepare annual contract renewal and monthly expiration reports from EPDS and Project Control databases.

6.14.2 The PD Contracts Manager and PD Program Support Staff shall, on a monthly basis, review these reports to determine if a SA may be necessary. If it is found that a SA may be necessary, the PD Program Support Staff shall then prepare a report for distribution to each affected Corridor/Project Manager/NTTA Resident Engineer to review and/or subsequently prepare the necessary SA documents for processing.

6.14.3 Corridor Managers/Consultants must respond at the latest, (30) days prior to the expiration date, with either the identified SA or with an email stating no SA is needed. If Program Support does not get a response by this date, then a SA will not be issued.

7.0 REGULATORY REQUIREMENTS:

- Section 366.033(j) of the Texas Transportation Code
- Section 2252.908 of the Texas Government Code

If the change request is greater than or equal to \$300,000.00 or requires Board approval, starting on January 1, 2016, the Professional Services Firm shall submit a disclosure of interested parties (Form 1295 Certificate of Interested Parties) to the NTTA at the same time the signed SA is submitted. The Form 1295 must be filed electronically with the Texas Ethics Commission. The filing must be printed and notarized for submission to the NTTA.

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)
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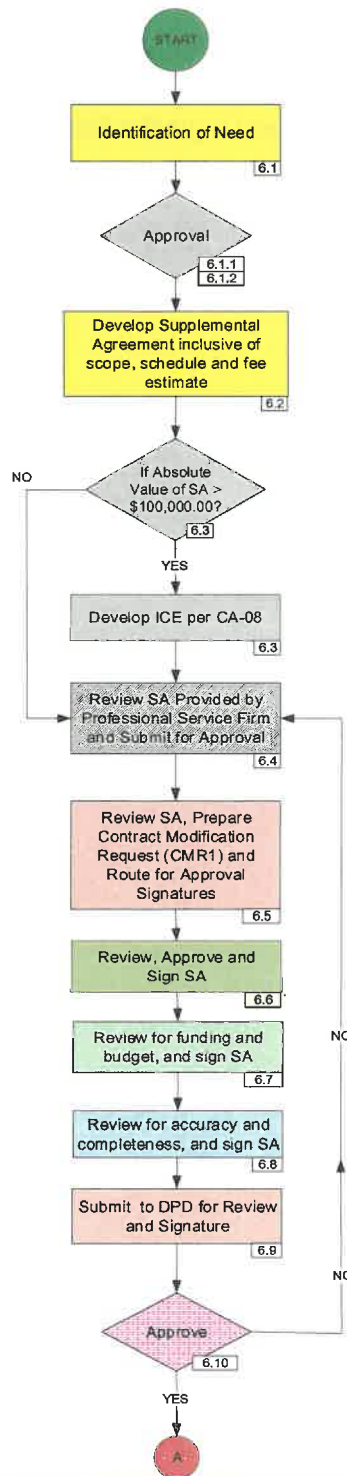
9.0 COMPONENT DOCUMENTS:

- [CA-03-F1](#) Supplemental Agreement Form (NTTA Form 103)
- [CA-03-F2](#) WA/SA/CO Log (Attachment E)
- [Form 1295](#) (required only if the change request is greater than or equal to \$300,000.00 or requires Board approval)
- [Contract Modification Request Form \(CMR1\)](#)

10.0 FLOW CHART:

NTTA Projects	Original Issue Date: 06/05/2008	CA-03
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Professional Services Firm and/or Originator
Originator/Project Manager/Corridor Manager and/or NTTA Resident Engineer
Project Delivery Program Support Staff
NTTA Manager
Project Delivery Program Controls Manager
Project Delivery Contracts Manager
Director of Project Delivery
Assistant Executive Director of Infrastructure
Executive Director



Supplemental Agreement Workflow Process

Professional Service Firm and/or Originator:
- Determines and notifies Originator of a potential change to the contract and a need for a Supplemental Agreement (SA)

Originator (Project/Corridor Manager and/or NTTA Resident Engineer):
-Notify and obtain approval from the subject matter expert or NTTA Manager
-Coordinate with Professional services firm to determine when to execute the SA

Professional Services Firm:
- Prepares SA using(CA-03-F1 & CA-03-F2)
- SA to include proper description, scope, fee and schedule

Originator/Project/Corridor Manager and/or NTTA Resident Engineer:
- If estimated absolute value of SA is ≥ to \$100K,an independent cost estimate (ICE) shall be prepared as required by CA-08.

Originator/Project/Corridor Manager and/or NTTA Resident Engineer:
- Prepares an (ICE) for review and approval by NTTA Manager
- Negotiates SA with Professional Service Firm

Originator/NTTA Manager:
- Reviews for completeness, accuracy, and ensures all required documents are provided in accordance with negotiations

PD Program Support Staff:
- Reviews SA for accuracy and completeness
- Prepares CMR1 and routes to PD Managers for signature

NTTA Manager:
- Review and recommend for approval SA
- Signs (CA-03-F1) as evidence of concurrence

PD Program Controls Manager:
- Reviews for funding and budget
- Signs (CA-03-F1) as evidence of concurrence

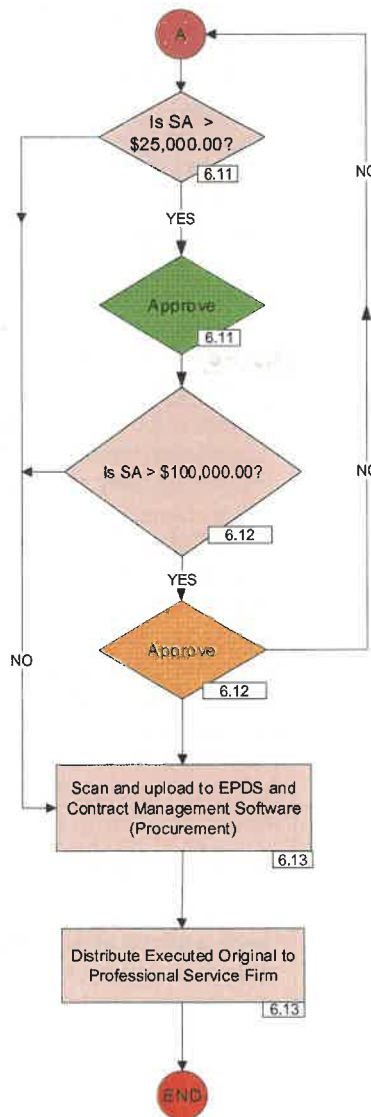
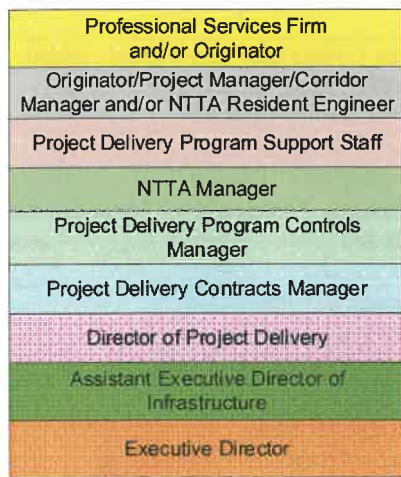
PD Contracts Manager:
- Reviews for accuracy and completeness
- Signs (CA-03-F1) as evidence of concurrence

PD Program Support Staff:
- Submits SA to DPD for review and signature

Director of Project Delivery (DPD):
- Reviews and approves SA
-Forwards signed SA and signed CMR1 to PD Program Support Staff for further handling
- If SA is determined to be incomplete or inaccurate the DPD returns SA to Originator for corrections

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Supplemental Agreement Workflow Process



PD Program Support Staff:
- If SA > \$25,000.00 both SA and CMR1 shall be sent to AEDI for review and signature

Assistant Executive Director of Infrastructure (AEDI):
- Reviews SA and CMR1 for accuracy and completeness
- Signs SA and CMR1 and returns the copies to PD Program Support Staff
- If SA is determined to be incomplete or inaccurate the AEDI returns SA to Originator for corrections

PD Program Support Staff:
- If SA > \$100,000.00 both SA and CMR1 shall be sent to Executive Director for review and signature

Executive Director (ED):
- Fully execute SA and return executed copies to PD Program Support Staff.

PD Program Support Staff:
- Scans and uploads executed SA into EPDS
- Sends scanned copy to Procurement Services through the Contract Management Software

PD Program Support Staff:
- Distributes one executed original SA to Professional Service Firm

10.0 REVISION HISTORY:

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Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Mike Hutchison	06/05/2008		Original Issue
1	Mike Hutchison	09/09/2008		Section 7.0 – Clarified roles of the Program Support Staff and Corridor Manager/Project Manager
2	Mike Hutchison	03/12/2010	10090	Changed Assistant Program Manager to PMO Contracts Manager, added requirement for ICE process and clarified steps, added flowchart to the procedure. Updated CA-03-F1 to reflect current process
3	Mike Hutchison	10/05/2010	10247	Changed "Deputy Program Manager" to "Program Manager" and "Program Support Staff" to "PMO Procurement Specialist". Deleted CA-03-F3 from 6.0 Procedure and 9.0 Component Documents. Added Letter of Transmittal (NTTA Form) to 9.0 Component Documents and inserted Hyperlink to provide access to open the form.
4	Kim Robins	04/28/2011	10303	Update Titles, add PD Program Controls Manager. Add confirmation of budget and funding source in Procedures Update Executive Letter of Transmittal. Replace "PMO" with "PD".
5	Kim Robins	10/26/2011	10346	Update Section 2.8, 6.3 and 9.0. Update flowchart. (Ref: CAR0036)
6	Kim Robins	03/13/2012	10394	- Update and Change Title to reflect current usage. - Update responsibilities to reflect current roles and responsibilities. - Roles specifically addressed in this revision were Executive Director, Project Delivery Controls Manager, Function Manager, Subject Matter Expert, and Project Delivery Procurement Specialist. (Relative Form (CA-03 F1) was updated through an earlier separate Administrative DRN). - Add the responsible staff details and define methodology of expiration tracking and reports. (Ref: CAR0036)
7	Kim Robins	04/19/2012	10404	Minor changes regarding contract expiration and submission of SA's for Project Delivery Contracts.
8	Kim Robins	07/03/2012	10410	Updated PD Program Controls Manager's responsibility in order to ensure the availability of funds for all SAs (2.8, 6.3, 6.4)). Inserted CA-01-F18 in 4.0 References. Updated flowchart to align with procedures.
9	Ben King	12/2/2016	10616	Revise procedure per current practice.
10	Ben King	04/28/2017	10644	Revise procedure per current statutory requirements (Texas Legislature House Bill 1295)
11	Teresa Calderon/ Bryan Dennis	TBD	TBD	Updated personnel descriptions to be consistent with other QMS procedures. Updated procedure and flowchart per current practice.

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1.0 PURPOSE:

The purpose of this procedure is to define the process for preparing, reviewing, and processing changes to procured professional services contracts, in the form of Supplemental Agreements (SA), in compliance with the approved program schedules and budgets.

2.0 RESPONSIBILITIES:

2.1 Professional Services Firm—~~The engineering or consulting firm who is submitting a contract change/~~Consultant – shall be responsible ~~to work for:~~

~~2.1~~• Working with their Project Delivery counterpart to prepare a scope and fee consistent with the Supplemental Agreement (SA).~~requested contract change.~~

- Providing a fee estimate in accordance with an established scope of services and schedule for the SA.
- Negotiating with NTTA or its authorized representative to achieve a reasonable fee for the services to be provided.
- Updating SA as needed.
- Executing the final SA.

2.2 Executive Director (ED),~~–~~ – shall be responsible for:

- Approving SA and authorizing work to begin when the monetary value is greater than \$100,000.00.

2.3 Assistant Executive Director of Infrastructure (AEDI) and – shall be responsible for:

- Approving SA and authorizing work to begin when the monetary value is between \$25,000.00 and \$100,000.00.

~~2.2.2.4~~ Director of Project Delivery (DPD) – ~~The ED, AEDI and DPD shall be responsible for approving SAs.;~~

- Approving SA and authorizing work to begin when the monetary value does not exceed \$25,000.00.

2.5 Project Delivery (PD) Contracts Manager – ~~The PD Contracts Manager or designee~~ shall be responsible for ~~recommending:~~

- Recommending the approval of the SA after initial approval by the Project/Corridor Manager (CM)/Project Manager and/or NTTA Manager, ~~and for ensuring~~Resident Engineer.

~~2.3~~• Ensuring compliance with this procedure.

2.6 PD Procurement Specialist—~~PD Procurement Specialist~~Program Support Staff – shall be responsible for ~~reviewing all SAs.;~~

- Reviewing SA for accuracy and routing themit for signature, ~~and distributing~~executive signatures.

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- ~~Distributing~~ the executed ~~SAs~~SA to PD Document Control ~~and~~, NTTA Manager, the affected professional services consultant. ~~The PD, and NTTA Procurement Specialist shall also prepare~~Services.

~~2.4~~• Preparing annual contract renewal and monthly expiration reports from EPDS and Project Control Databases for distribution to each ~~Corridor~~Project Manager/Corridor Manager/NTTA Resident Engineer for review and preparation of the necessary SA documents.

- Uploading the executed SA to EPDS Project Records repository.

~~2.7~~ Originator – ~~The originator is defined as the Corridor/Project Manager or~~shall be responsible for:

- Overseeing the NTTA manager responsible for the original contract, ~~and is responsible for oversight of~~ SA preparation. ~~The originator shall respond~~
- Responding to expiration reminders ~~prior to~~ thirty days before the expiration date and provides with necessary document. ~~The originator shall be responsible for the preparation of~~documents to process the SA.

~~2.5~~• Preparing an independent cost estimate in accordance with CA-08.

~~2.6~~ NTTA Contracts Management – ~~NTTA Contracts Management shall be responsible for acquiring executive signatures on all SAs, logging into NTTA tracking systems, keeping one executed original, and returning the necessary executed original(s) to Program Support Staff.~~

~~2.8~~ PD Document Control Staff – ~~The PD Document Control staff shall upload the executed SA and attached documents to EPDS Project Records repository.~~

~~2.8~~ PD Program Controls Manager – ~~The PD Program Controls Manager shall be responsible for reviewing and confirming Supplemental Agreements~~PD Program Controls Manager – shall be responsible for:

- ~~2.10~~• Reviewing and verifying SA for appropriate budget and funding source prior to execution ~~of a~~ Supplemental Agreement.

~~2.9~~ NTTA Managers – ~~The Technical Oversight Manager, Design Guidelines Manager, Contracts Manager, Design Manager, Alternative Delivery Manager, Construction Manager~~ – shall ~~review~~be responsible for:

- ~~2.11~~• Reviewing and approveapproving the need for supplemental agreementsSA prior to preparingthe preparation and processing an SAsubmission of required documents.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all Supplemental Agreements to professional service contracts on NTTA projects and corridors within the Project Delivery department.

4.0 REFERENCES:

CA-08 Independent Cost Estimate ~~procedure~~Procedure

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DEFINITIONS & ACRONYMS:

5.0 DEFINITIONS & ACRONYMS:

N/A

6.0 PROCEDURES:

6.1 Supplemental Agreement Development -The Professional Services Firm must notify the ~~originator~~Originator that a potential change to the contract is needed.

6.1.1 Upon receipt of such notification, the ~~originator~~Originator shall notify and obtain approval from the ~~Subject Matter Expert~~NTTA Manager.

6.1.2 The Originator shall coordinate with the Professional Services Firm to determine the proper time to execute a SA.

6.1.3 ~~Under no circumstances shall the Professional Services Firm begin work until the SA has been executed.~~

6.2 If the ~~originator~~NTTA Manager agrees with the potential change, the ~~Professional Services Firm~~Originator shall prepare a SA using active ~~CA-03-F1~~ and the active WA/SA/CO Log, ~~CA-03-F2~~. A proper description of the scope, fee, and schedule modifications for the SA is required on Form CA-03-F1. Extra pages may be added if necessary.

6.3 If the estimated absolute value of the SA is greater than or equal to \$100,000.00, the Originator shall prepare an independent cost estimate in accordance with CA-08.

~~6.4~~ The ~~PD Program Control Manager~~ shall review the SA and forward it to the ~~PD Program Control Manager~~ Program Support staff for further processing.

~~6.6.4~~ Upon receipt of the SA, the ~~originator~~The Originator shall review the documentation provided, sign ~~CA-03-F1~~, and deliver the document to the Program Support ~~staff~~Staff for further processing.

magnitude and scope of the increase or decrease and shall describe the impact the execution of this SA shall have upon participation in this effort by diversity firms and why.

~~6.5.4.1~~ When reviewing the SA, the ~~originator~~Originator shall indicate on the SA form CA-03-F1 the magnitude and scope of the increase or decrease and shall describe the impact the execution of this SA shall have upon participation in this effort by diversity firms and why.

6.5 Upon receipt of the SA, PD ~~Procurement Specialist~~Program Support Staff shall review the document ~~form~~ to ensure the SA is complete and accurate, ~~prepare and then deliver~~attach the document to Contract Modification Request Form (CMR1), log the SA into the PD tracking systems and obtain signatures from the Project Delivery ~~Contracts Manager~~Managers.

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- 6.6 The NTTA Manager shall review all Supplemental Agreements and recommend for approval. The NTTA Manager is required to sign CA-03-F1 for evidence of concurrence.
- 6.7 The PD Program Controls Manager shall review all Supplemental Agreements and recommend for Approval based upon availability of funds. Project Delivery For evidence of concurrence, Program Controls Manager is required to sign CA-03-F1.
- ~~6.7.6.8~~ The PD Contracts Manager shall review for accuracy and completeness and sign CA-03-F1 and forward to PD Procurement Specialist for further processing. If the SA is incomplete or inaccurate, the Project Delivery PD Contracts Manager shall return the SA to the PD Procurement Specialist Program Support Staff for correction and re-submittal.
- ~~6.8.6.9~~ Upon receipt of the SA, PD Procurement Specialist shall review the document form, prepare and attach the Contract Modification Form (CMF) with input from the originator for the description of services and obtaining all required signatures on the SA, the PD Program Support Staff shall forward the SA to the Director of Project Delivery for final approval.
- 6.10 Upon receipt of the SA, the Director of Project Delivery shall review and approve the document form, sign the Letter of Transmittal Contract Modification Request Form (CMR1) and CA-03-F1, and return to the PD Procurement Specialist for further routing and approval. Program Support.
- ~~6.9.6.11~~ If the SA is greater than ~~or equal to~~ \$25,000.00, PD Procurement Specialist Program Support Staff shall forward the SA to the AEDI. The AEDI shall review the document form, sign the Contract Modification Request Form (CMF) CMR1 and CA-03-F1, and return to PD Procurement Specialist for routing to NTTA Contracts Management. Program Support Staff.
- 6.12 ~~NTTA Contracts Management shall acquire executive signatures (if~~ the SA is greater than \$100,000.00), PD Program Support Staff shall acquire Executive Director signature on the SA, ~~log~~ Contract Modification Request Form (CMR1) and on CA-03-F1.
- ~~6.10.1.1~~ If the SA ~~into~~ NTTA tracking systems, file the NTTA's executed copy, and return the second executed original back ~~is~~ greater than or equal to the PD Procurement Specialist \$300,000.00, it =
- 6.13 ~~Once received by PD Procurement Specialist, the executed SA shall be scanned into the EPDS by PD Document Control. PD Procurement Specialist~~ presented to the Board for approval. The Originator shall prepare an executive summary, resolution, and presentation and shall submit the SA for Board approval. If the SA is not approved by the Board, it shall be returned to the originator for re-evaluation.
- ~~6.12.6.14~~ Once distribute the executed SA SA is fully executed, PD Program Support Staff shall scan the SA, upload it into EPDS, return one original copy to the Professional Services Firm, provide an electronic copy

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[to PD Program Controls and to NTTA Procurement Services by uploading an electronic copy to the Contract Management Software.](#)

~~6.13~~6.15 On a monthly basis, the PD Contracts Manager shall review active contracts and work authorizations to determine if supplemental agreements are necessary to accommodate changes in contract expiration dates, overhead rates, vehicle costs, mileage, and/or per diem rates. This process shall be achieved through the following procedure:

~~6.11~~6.14.1 The PD ~~Procurement Specialist~~[Program Support Staff](#) shall prepare annual contract renewal and monthly _expiration reports from EPDS and Project Control databases.

~~6.44~~6.14.2 The PD Contracts Manager and PD ~~Procurement Specialist~~[Program Support Staff](#) shall, on a monthly basis, review these reports to determine if a SA may be necessary. If it is found that a SA may be necessary, the PD ~~Procurement Specialist~~[Program Support Staff](#) shall then prepare a report for distribution to each affected Corridor/Project Manager/[NTTA Resident Engineer](#) to review and/or subsequently prepare the necessary SA documents for processing.

~~6.44~~6.14.3 Corridor Managers/Consultants must respond at the latest, (30) days prior to the expiration date, with either the identified SA or with an email stating no SA is needed. If Program Support does not get a response by this date, then a SA will not be issued.

~~8.07.0~~ **REGULATORY REQUIREMENTS:**

- Section 366.033(j) of the Texas Transportation Code
- Section 2252.908 of the Texas Government Code

If the change request is greater than or equal to \$300,000.00 or requires Board approval, starting on January 1, 2016, the Professional Services Firm shall submit a disclosure of interested parties (Form 1295 Certificate of Interested Parties) to the NTTA at the same time the signed SA is submitted. The Form 1295 must be filed electronically with the Texas Ethics Commission. The filing must be printed and notarized for submission to the NTTA.

~~9.08.0~~ **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)

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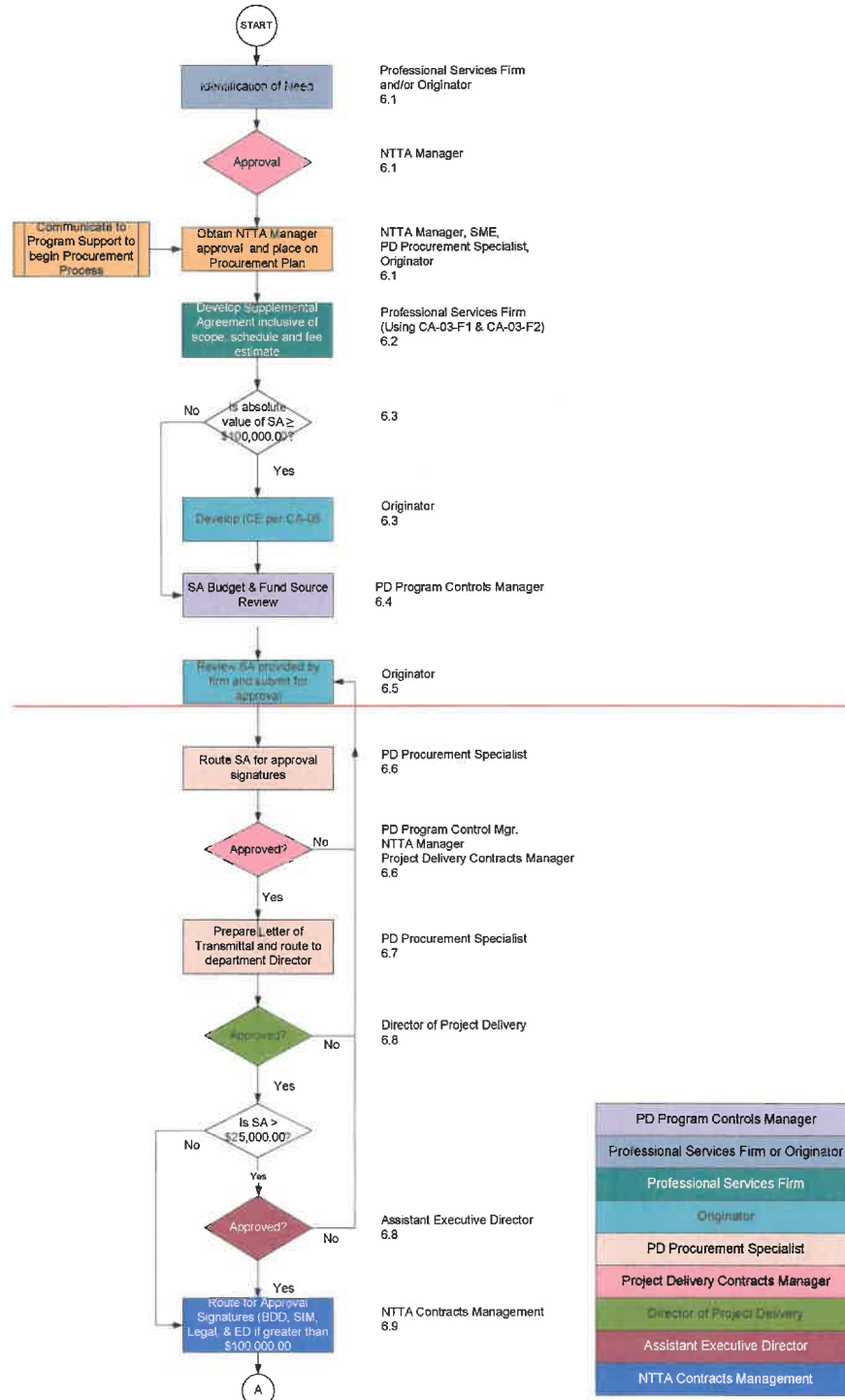
10.09.0 COMPONENT DOCUMENTS:

- CA-03-F1 Supplemental Agreement Form (NTTA Form 103)
- CA-03-F2 WA/SA/CO Log (Attachment E)
- Form 1295 (required only if the change request is greater than or equal to \$300,000.00 or requires Board approval)
- Contract Modification Request Form (CMFCMR1)

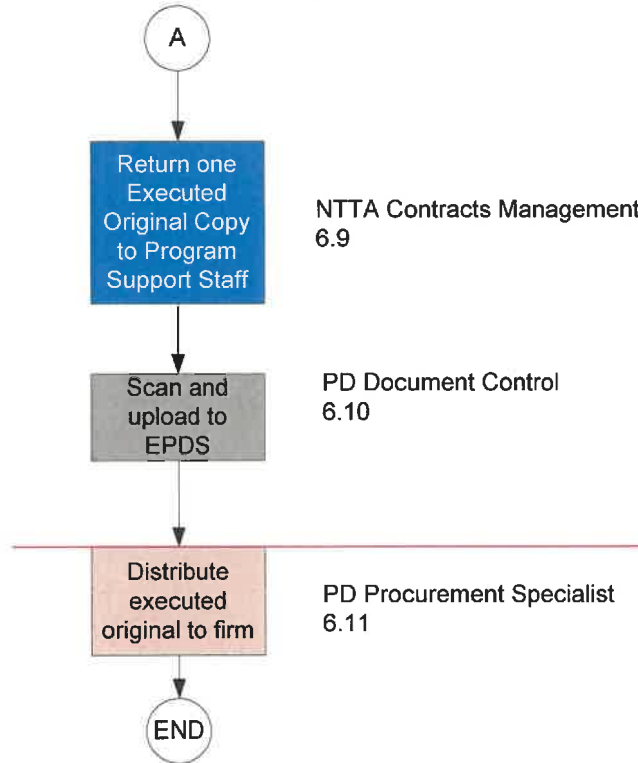
NTTA Projects	Original Issue Date: 06/05/2008	CA-03
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11.0 FLOWCHART:::

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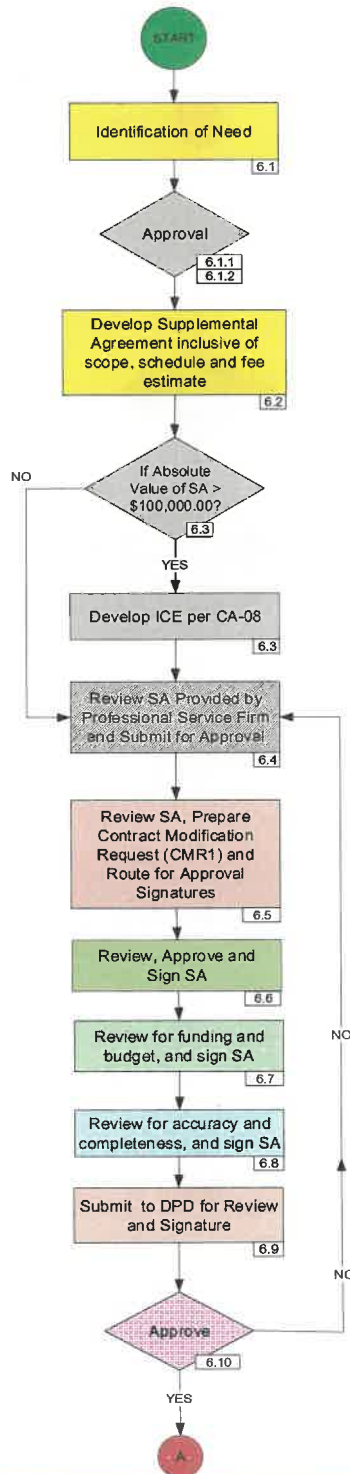
NTTA Projects	Original Issue Date: 06/05/2008	CA-03
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10.0 FLOW CHART:

NTTA Projects	Original Issue Date: 06/05/2008	CA-03
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Professional Services Firm and/or Originator
Originator/Project Manager/Corridor Manager and/or NTTA Resident Engineer
Project Delivery Program Support Staff
NTTA Manager
Project Delivery Program Controls Manager
Project Delivery Contracts Manager
Director of Project Delivery
Assistant Executive Director of Infrastructure
Executive Director

Supplemental Agreement Workflow Process



Professional Service Firm and/or Originator:

- Determines and notifies Originator of a potential change to the contract and a need for a Supplemental Agreement (SA)

Originator (Project/Corridor Manager and/or NTTA Resident Engineer):

- Notify and obtain approval from the subject matter expert or NTTA Manager
- Coordinate with Professional services firm to determine when to execute the SA

Professional Services Firm:

- Prepares SA using (CA-03-F1 & CA-03-F2)
- SA to include proper description, scope, fee and schedule

Originator/Project/Corridor Manager and/or NTTA Resident Engineer:

- If estimated absolute value of SA is \geq \$100K, an independent cost estimate (ICE) shall be prepared as required by CA-08.

Originator/Project/Corridor Manager and/or NTTA Resident Engineer:

- Prepares an (ICE) for review and approval by NTTA Manager
- Negotiates SA with Professional Service Firm

Originator/NTTA Manager:

- Reviews for completeness, accuracy, and ensures all required documents are provided in accordance with negotiations

PD Program Support Staff:

- Reviews SA for accuracy and completeness
- Prepares CMR1 and routes to PD Managers for signature

NTTA Manager:

- Review and recommend for approval SA
- Signs (CA-03-F1) as evidence of concurrence

PD Program Controls Manager:

- Reviews for funding and budget
- Signs (CA-03-F1) as evidence of concurrence

PD Contracts Manager:

- Reviews for accuracy and completeness
- Signs (CA-03-F1) as evidence of concurrence

PD Program Support Staff:

- Submits SA to DPD for review and signature

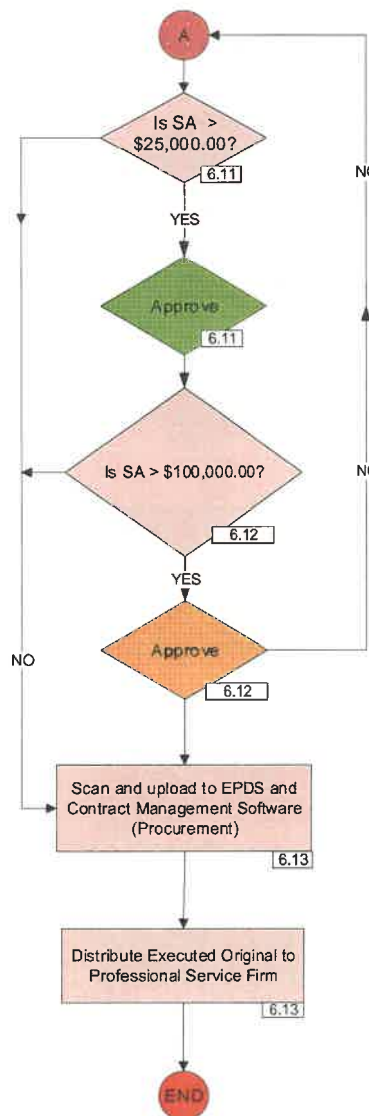
Director of Project Delivery (DPD):

- Reviews and approves SA
- Forwards signed SA and signed CMR1 to PD Program Support Staff for further handling
- If SA is determined to be incomplete or inaccurate the DPD returns SA to Originator for corrections

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Supplemental Agreement Workflow Process

Professional Services Firm and/or Originator
Originator/Project Manager/Corridor Manager and/or NTTA Resident Engineer
Project Delivery Program Support Staff
NTTA Manager
Project Delivery Program Controls Manager
Project Delivery Contracts Manager
Director of Project Delivery
Assistant Executive Director of Infrastructure
Executive Director



PD Program Support Staff:

- If SA > \$25,000.00 both SA and CMR1 shall be sent to AEDI for review and signature

Assistant Executive Director of Infrastructure (AEDI):

- Reviews SA and CMR1 for accuracy and completeness
- Signs SA and CMR1 and returns the copies to PD Program Support Staff
- If SA is determined to be incomplete or inaccurate the AEDI returns SA to Originator for corrections

PD Program Support Staff:

- If SA > \$100,000.00 both SA and CMR1 shall be sent to Executive Director for review and signature

Executive Director (ED):

- Fully execute SA and return executed copies to PD Program Support Staff.

PD Program Support Staff:

- Scans and uploads executed SA it into EPDS
- Sends scanned copy to Procurement Services through the Contract Management Software

PD Program Support Staff:

- Distributes one executed original SA to Professional Service Firm

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Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	Mike Hutchison	06/05/2008		Original Issue
1	Mike Hutchison	09/09/2008		Section 7.0 – Clarified roles of the Program Support Staff and Corridor Manager/Project Manager
2	Mike Hutchison	03/12/2010	10090	Changed Assistant Program Manager to PMO Contracts Manager, added requirement for ICE process and clarified steps, added flowchart to the procedure. Updated CA-03-F1 to reflect current process
3	Mike Hutchison	10/05/2010	10247	Changed “Deputy Program Manager” to “Program Manager” and “Program Support Staff” to “PMO Procurement Specialist”. Deleted CA-03-F3 from 6.0 Procedure and 9.0 Component Documents. Added Letter of Transmittal (NTTA Form) to 9.0 Component Documents and inserted Hyperlink to provide access to open the form.
4	Kim Robins	04/28/2011	10303	Update Titles, add PD Program Controls Manager. Add confirmation of budget and funding source in Procedures Update Executive Letter of Transmittal. Replace “PMO” with “PD”.
5	Kim Robins	10/26/2011	10346	Update Section 2.8, 6.3 and 9.0. Update flowchart. (Ref: CAR0036)
6	Kim Robins	03/13/2012	10394	- Update and Change Title to reflect current usage. - Update responsibilities to reflect current roles and responsibilities. - Roles specifically addressed in this revision were Executive Director, Project Delivery Controls Manager, Function Manager, Subject Matter Expert, and Project Delivery Procurement Specialist. (Relative Form (CA-03 F1) was updated through an earlier separate Administrative DRN). - Add the responsible staff details and define methodology of expiration tracking and reports. (Ref: CAR0036)
7	Kim Robins	04/19/2012	10404	Minor changes regarding contract expiration and submission of SA's for Project Delivery Contracts.
8	Kim Robins	07/03/2012	10410	Updated PD Program Controls Manager's responsibility in order to ensure the availability of funds for all SAs (2.8, 6.3, 6.4)). Inserted CA-01-F18 in 4.0 References. Updated flowchart to align with procedures.
9	Ben King	12/2/2016	10616	Revise procedure per current practice.
10	Ben King	04/28/2017	10644	Revise procedure per current statutory requirements (Texas Legislature House Bill 1295)
11	Teresa Calderon/ Bryan Dennis	TBD	TBD	Updated personnel descriptions to be consistent with other QMS procedures. Updated procedure and flowchart per current practice.