



# Work Authorization Request and Development

## 2022 PEPS Conference

Tamika Griffin

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# Work Authorization Request and Development



**Help! I need a Work Authorization!**

# Professional Services Contracting Training Requirements



Role	CTR600 Intro to PEPS Contracting	CTR620 PEPS Consultant Selection	CTR621 PEPS Contract Negotiations	CTR622 PEPS Contract and Work Authorization Management
Signature Authority	✓			
Project Managers		✓	✓	✓
CST Members		✓		
Contract/WA Negotiators			✓	✓
Contract Administrators				✓
PEPS Managers		✓	✓	✓
PEPS Engineers		✓	✓	✓
PEPS Contract Specialists		✓		✓
PEPS Invoice Specialists				✓
All other PEPS Employees	✓			

# Work Authorization Request and Development



## PEPS Service Centers

Providing the most qualified contractors to deliver effective transportation solutions for Texas

### PROFESSIONAL ENGINEERING PROCUREMENT SERVICES

**PEPS** ★ **PEPS Division Austin HQ**

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**PEPS Support Centers**

<b>Business Operations Center</b> Roy Gonzales 512.781.8212 Roy.Gonzales@txdot.gov	<b>Center of Contract Utilization</b> Gail Moroa, P.E. 713.876.1258 Gail.Moroa@txdot.gov	<b>Drive Program</b> Calob Dryant, P.E., FMP 281.259.8484 Calob.Dryant@txdot.gov	<b>Negotiations Center</b> Robecca Pinto, P.E. 815.700.1344 Robecca.Pinto@txdot.gov
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**PEPS Service Centers**

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<b>El Paso Service Center</b> E 749C Jaime Demiles, DF., CFM 915.790.4231 Jaime.Demiles@txdot.gov	<b>Urban Districts Service Center</b> BEGARMINI BIRNH COCHRAN CABETS LAWTON LUREBON PHARR TILEI WACO	<b>Fort Worth Service Center</b> FOR WORTH Jessica Andrews, P.E. 817.370.2868 Jessica.Andrews@txdot.gov

# Work Authorization Request and Development Process Steps

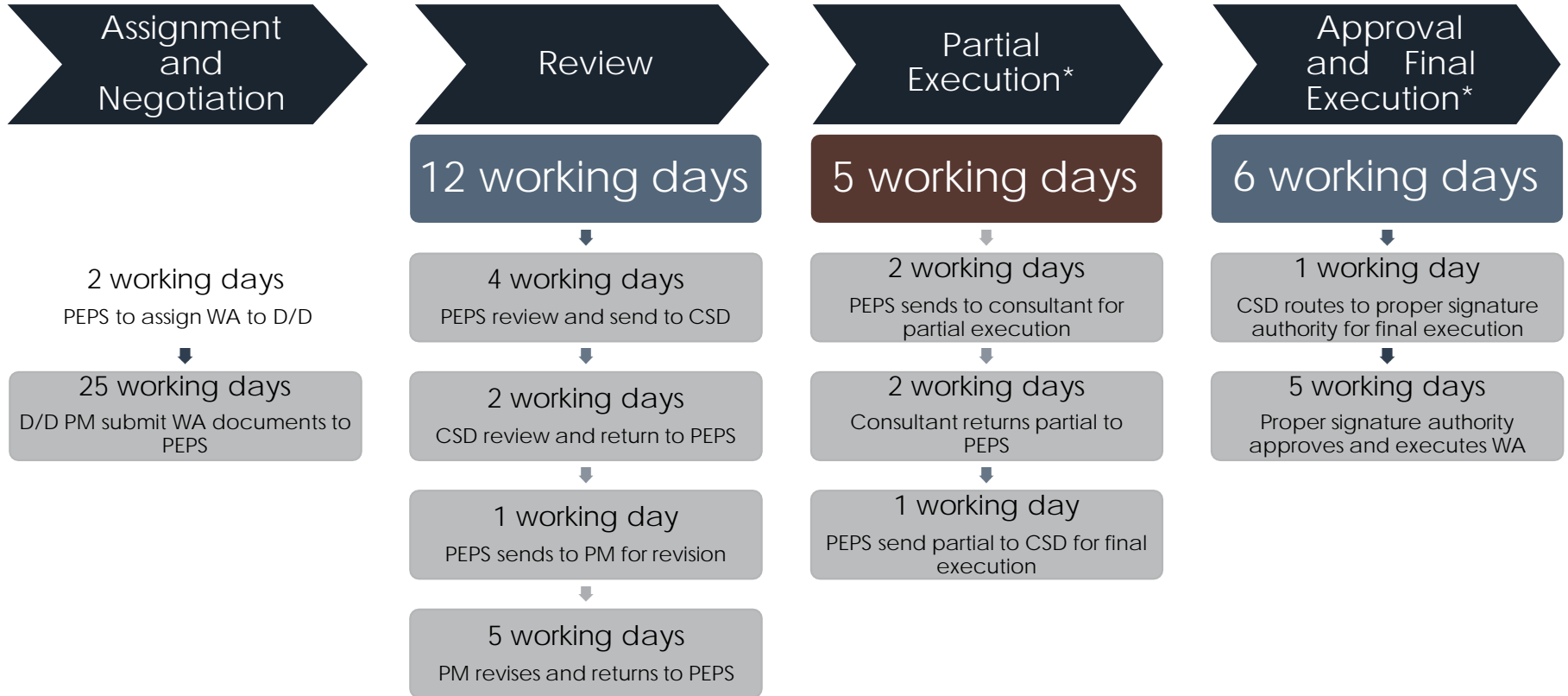


Activity	Documents <\$1M	Documents ≥ \$1M
Identify Contract Need (ICN)	District/Division	
Assign Contract/WA (Issuance)	PEPS	
Prepare & negotiation scope/level of effort/schedule	District/Division/Provider	
Assemble WA document & ensure scope matches contract	PEPS	
Execute Documents	PEPS to DD	PEPS to Contract Services

Document accountability follows Signature Authority. Documents <\$1M will receive a cursory review and PS-CAMS entry by PEPS, then forwarded to consultant for partial execution, and then to District/Division for execution via DocuSign.



# Work Authorization Timeline: 50-Day Metric



\* **NOTE:** For WAs greater than \$1M, CSD will route for partial and final execution.



# Identification of Contract Need



- PEPS Home
- PEPS Contracting Phases
- PEPS Map
- PEPS Contacts
- PS-CAMS
- PEPS External Page
- Contract Services
- ESRD Portal
- TxDOT Templates
- DD Consultant Contract Portfolio Summary
- Manuals
- Standard Operating Procedures (SOPs)
- Calendar
- Division Photos
- PEPS Division Only



## Our Purpose

Feedback

- The Professional Engineering Procurement Services (PEPS) Division is responsible for procuring engineering, architectural and surveying services for transportation projects through professional services contracts. PEPS has renovated and consolidated the engineering procurement process.
  - The PEPS Division supports the qualifications-based selection process for Engineering, Surveying, and Architectural contracts.
- In addition, PEPS manages the agency's consultant budget, identifying transportation projects that require additional resources. The division serves as TxDOT's liaison to the American Council of Engineering Companies (ACEC).

### NEWS

- PEPS Newsletter  
Newsletter  
Mon., Oct. 10, 2022 Comments: 0
- PEPS Fireside Chats  
Events  
Fri., Sep. 16, 2022 Comments: 0
- 2022 PEPS Annual Conference  
Thu., Sep. 8, 2022 Comments: 0
- 2021 and 2022 Safety Banquet & All Hands In-person Meeting  
Events  
Mon., Jun. 6, 2022 Comments: 0

### KEY INITIATIVES

- PEPS Risk Analysis Forms to Box.com
- iDriveIT
- Safety: Mission Zero

### QUICK LINKS

- Procurement Planning & Budgeting
- Identification of Contract Need
- Risk Analysis
- Business Case Memos & Signature Authority
- Scope of Work
- Provider Selection
- Contract Development & Negotiation Management & Administration
- CEI Guidebook

# Identification of Contract Need



PEPS Identification of Contract Need		
<b>Section A: (Completed by DDO/PM) *Information Required for all Requests.</b>		Is this Work in 4 Year STIP (Y/N)
Type of Contract Document Needed		
Requesting DDO		
Requested By		Is this Work in 10 Year UTP (Y/N)
Will PEPS be processing this document?		
Urgent/Critical (Y/N)		
Design Consultant (CE) Requests Only		
<b>For WA Requests</b>		For new WA or SWA adding budgets: Approval from the director/budget manager has been obtained and approval documentation is attached to this ICN: Yes/No/NA
Type of Need		
<b>For SA &amp; SWA Requests</b>		
DDO Requested Contract No. (No Dash)		
WA Number		
<b>Project Information</b>		<b>Additional CSJs (Optional)</b>
Project Manager		
Amount Requested		
Construction Cost		
Primary CSJ (####-##-###)		
Anticipated Project End Date		
HWY		
County		
Limits		
Justification		
Impact of Non-Approval		
<b>Section B: (To be completed by PEPS)</b>		
Contract Number	*Enter Contract Number No Dash*	
ERP Contract No. (Populates w/Contract #)		
WA Number	*Enter WA Number*	
PO Number (Populates w/Contract/WA #)		
Consultant (Populates w/Contract #)		
SA Number		
SWA Number		
Followed Standard Decision Process (Y/N)		
BCM Exception Approved (Y/N/NA)		
PEPS Service Center		
PEPS Procurement Engineer		
PEPS Contract Specialist		
Requested Date (Date Email Rec. From DDO)		
Contract Assignment Date		
PM Due Date (25 Days) Populates from CAD		

- TxDOT PM Creates ICN - Download ICN at:
  - PM Submits to their PEPS Service Center (SC) Process Box
  - PM completes Section A of the ICN
  - PM provides the Justification/Impact of Non-Approval for their request
  - PM provides WA priority level
- 
- PEPS will complete Section B of the ICN.
  - PEPS will assign a contract/WA for use (via email)

<https://tntoday.dot.state.tx.us/PEPS/Documents/Site%20Documents/Management%20Administration/ICN.xlsm>

# Identification of Contract Need Submission



PEPS Service Centers Request/Need Box	
Austin Service Center	PEPS_AUS_Request@txdot
Dallas Service Center	PEPS_DAL_Request@txdot
El Paso Service Center	PEPS_ELP_Request@txdot
Fort Worth Service Center	PEPS_FTW_Request@txdot
Houston Service Center	PEPS_HOU_Request@txdot
San Antonio Service Center	PEPS_SAT_Request@txdot
Service Center for Divisions	PEPS_SC-DIV_Need@txdot
Urban Districts Service Center	PEPS_Central_Need@txdot
Rural Districts Service	PEPS_Rural_Need@txdot.gov

# Work Authorization Assignment



## State Funded ID Contracts

- WA assignments are issued in order rank on a rotational system.
- After one rotation through the series, assignments made based on contract capacity.

## Federally Funded ID Contracts

- First WA assignment made to top ranked provider.
- Subsequent WA
  - Most qualified provider selected for work needed – DD PM evaluate proposal/interview and PM resume.
  - Provider selection documented in 2<sup>nd</sup> tier evaluation memo, BCM/routing memo.

## Additional Factors to Consider

- Provider performance - supported by negative evaluation
- Resource availability
- Conflict of interest (Utility or CEI)

# Assignment Example Email



Issuance 32-432P5078 WA2 - Message (HTML)

You replied to this message on 11/20/2015 3:55 PM.

From: PEPS\_SAT\_Request  
To: Maria Bolanos  
Sent: Fri 11/20/2015 3:51 PM

Cc: PEPS\_SAT\_Request; Lizette Colbert; SAT\_Contract-Work-Request

Subject: **Issuance 32-432P5078 WA2**

Attachments:  
ICN.pdf (100 KB)  
32-432P5078\_JEG\_SA1\_EXE.pdf (88 KB)  
32-432P5078\_Jacobs\_Contract\_EXE.pdf (1 MB)  
Jacobs\_Org Chart.pdf (126 KB)  
Exhibit A.docx (34 KB)  
Exhibit B.docx (113 KB)

For your request, please use the following contract for the PS&E work on Walters Street:

Contract 32-432P5078  
Work Authorization No. 2  
Estimated Amount: \$900,000.00  
Consultant: Jacobs

**Last date to issue WA: 3/12/2016**  
**Contract Termination: 1/31/2016 (understand this will need require extending to 2018)**

The following documents are included in the attached files:

- "ICN" Form
- Master Contract
- Org Chart
- PM Contract Review Checklist
- Exhibit A – Working doc
- Exhibit B – Working doc

I have put a placeholder in PS-CAMS. Please contact the consultant as soon as possible to begin scope development and fee negotiations.

1. If the negotiated fee is increased from the preliminary estimated amount, contact the issuing PEPS Service Center immediately to determine if capacity is available.
2. If you are unable to complete the cost negotiations and submit the exhibits to the drop box within 2-5 days, contact the issuing PEPS Service Center immediately, as the work authorization will expire at the end of the month and may be in jeopardy of being executed prior to WA expiration.
3. Once you have negotiated the cost for the work, the following exhibits are complete, all items in the "PM Contract Review Checklist" have been checked, and are ready to be submitted, please use subject line: "12-5IDPS109\_SWA4\_WA1 (Vickrey )" and send to the [PEPS\\_SAT\\_Request@txdot.gov](mailto:PEPS_SAT_Request@txdot.gov) box. **Please do not send pdf's of Exhibits A, B or D, Word or Excel documents only.**

Exhibit A-4: Services to be provided by the State  
Exhibit B-4: Services to be provided by the Engineer  
Exhibit C-4: Work Schedule  
Exhibit D-4: Fee Schedule/Budget

Please let me know if you have any questions. You may also go to the PEPS Website for information on contract Management and Administration.

- 1 • You will receive an email with your contract assignment.
  - This will include a way to contact the consultant PM, a copy of the contract, and some other important information including a PM Checklist
- 2 • PEPS will also email the Consultant PM and (cc the TxDOT PM) to be prepared to work with you (that email will not contain the “estimated amount”).

# TxDOT Project Manager Responsibilities





### TxDOT PM is responsible for developing the appropriate scope for the project

- There are no general scopes at the WA level.
- The scope should clearly identify the tasks involved, assumptions, specifications, requirements, quantities, and interim and final deliverables.
- The provider is only **OBLIGATED** to do what is identified in the scope of work.
- The scope should be acceptable to both sides before level of effort is negotiated.



TxDOT PM is responsible for developing an independent level of effort estimate as preparation for negotiations with the provider

- PM shall also evaluate and negotiate the provider's level of effort proposal in comparison to their independent level of estimate.
- Where major differences exist (higher or lower), it is important to discuss assumptions and expectations of both sides to determine if or where additional clarification may be needed in the scope to support the level of effort expected.



### Scope, Tasks and Deliverables

- Utilize scope as the primary means of communication.
- A tight scope prevents many issues and reduces risk for both TxDOT and the Provider.
- Assume if a task isn't in the scope that it won't be completed.
- Scope language does not repeat standard contract provisions (i.e., Attachment A General Provisions).
- Be specific about deliverable expectations, e.g., four progress reports



### Parties

- Assume a different PM will be responsible for project completion.
- Consider other governmental agency involvement.
- Coordinate with other District/Division staff (i.e., subject matter experts).



## Project

- Visit the project site – identify needs and build solutions in the scope.
- Review previous/ongoing related projects.

## Dates

- Identify critical deadlines/letting dates.

## Writing Techniques and Formatting

- Pay attention to general formatting (margins, spacing, justifications, etc.)
- Use 'State', not 'TxDOT' for all references. The only exception is if there is a reference to a TxDOT manual.
- Spell out all acronyms the first time they are used.
- The State WILL; the Engineer SHALL.





## ID Contracts

- TxDOT PM will identify the project for the WA and negotiate a preliminary scope with tasks and deliverables clearly defined, prior to starting level of effort (LOE) negotiations.

## SD Contracts

- TxDOT PM will define the phase or portion of the contract scope which will be included in the WA and evaluate the LOE for the contract and edit it to set the estimated LOE and budget for the WA.



# Negotiating Level of Effort - Three Phases of Negotiations



## Planning

- TxDOT PM will request a LOE Tool for PS&E projects from PEPS COE or Service Center
- TxDOT PM will develop an initial LOE using the negotiated scope

## Launch

- TxDOT PM will send the scope, project information, and work breakdown structure (WBS) to the prime provider's PM and request an independent LOE. Meetings may be held to flush out the scope.

## Negotiations

- TxDOT PM will evaluate LOE received from provider PM and compare against their LOE and counter.



# Contract Payment Types



## Recommended Payment Types for Standard Disciplines

	Cost Plus Fixed Fee	Specified Rate (SR)	Unit Cost (UC)	Lump Sum (LS)
<b>Engineering</b>				
Advanced Planning		★	☆	
Schematic Design and Environmental	★	★	☆	★
PS&E	★	★	☆	★
Construction Phase Services		★		
Construction Engineering Inspection		★	☆	
Repetitive Tasks			★	
<b>Surveying</b>		★	★	★
<b>Materials Engineering/ Testing</b>		★	★	
<b>Geotechnical Engineering/ Services</b>		★	★	
<b>Bridge Inspection</b>		★	★	
<b>Architecture</b>				★

★ For these disciplines, UC may be used for a part of the overall contract – e.g. Surveying, Materials testing, etc.

**Best Practices:**

SR: Negotiate unloaded rates for engineering and design services. For non-engineering services, loaded rates may be negotiated.

★ LS: only appropriate when scope is well defined and schedule is controlled by TxDOT and the provider.

### Specified Rate

Ideal for projects without well-defined scopes. Payment is based on actual hours worked.

### Cost Plus Fixed Fee

Ideal for projects with less predictable project scope or to align with FHWA desire to reimburse actual costs on a federally-funded project.

### Lump Sum

Ideal for projects with predictable, well-defined scopes. Payment is based on actual work produced and includes documentation, review and approval of deliverables.



# Work Authorization Required and Support Documents

# Work Authorization Required Documents



WA Components	Exhibit Guidelines
Signature Page	Use current Templates: <a href="https://tntoday.dot.state.tx.us/csd/Pages/Homepage.aspx">https://tntoday.dot.state.tx.us/csd/Pages/Homepage.aspx</a>
Exhibit A Services Provided by the State	Use native Attachment B and Rename
Exhibit B Services Provided by the Engineer	Use native Attachment C and Rename Remove tasks that will not be used or include the title and non-applicable Language should match Master, for ID contracts add details that align to specific tasks within the master
Exhibit C Work Schedule	Gantt chart preferred Include Start Date: WA execution date Include Termination Date negotiated with Provider
Exhibit D Fee Schedule	Use Attachment E templates, Include summary page, ensure Level of effort is on separate excel tab from ODE and UC
Exhibit H-2	Include Provider and Subprovider Information, tasks description and totals Ensure emails and signature authorities are correct

# Work Authorization Support Documents



Support Documents	
Business Case Memo (BCM)	For agreements \$1M or greater For All Supplemental Agreements (SA)
Risk Analysis (RA)	Begins at Procurement Process
Nepotism Disclosure Form	Required for all agreements
Training Cover Sheet	Not required but verified by PEPS Contract Staff

# Exhibit A Example – Services to be Provided by the State



## EXHIBIT A

### SERVICES TO BE PROVIDED BY THE STATE

District:  
CSJ No.:  
County:  
Highway:  
Limits:

The State will designate a Project Manager to represent the State and will provide the following information or services as listed below by Function Code (FC).

**Subject to availability, the services to be provided or performed by the State will include, but not be limited to, the following items:**

#### Route and Design Studies

- Provide As-built Plans.
- Provide Preliminary Cost Estimate, Project Information and other Documentation.
- Provide soil boring logs for inclusion in the final plans, if applicable.
- Provide available Environmental Documentation.
- Provide Map File, Topographic (Planimetric) Base File and Aerial Photography.
- Provide approved traffic data.
- Provide TxDOTConnect project information.
- Provide Design Summary Report.
- Provide Value Engineering Report, if available and applicable.

#### Social, Economic and Environmental Studies and Public Involvement

- Provide available project development documents, environmental Documentation, schematics, typical sections, public involvement records, etc.
- Review and process each necessary environmental and public involvement document prior to letting of the construction contract.
- Locate suitable facilities, advertise, and conduct each required public meeting.
- Provide designated State representatives for each public meeting.
- Provide a court reporter if necessary for public meetings.
- Review the information and material developed by the Engineer to be presented at each public meeting or public hearing three weeks before any such event. The State will return review comments to the Engineer two weeks before each such meetings or hearings, if applicable.

# Exhibit B Example – Services to be Provided by the Engineer



## EXHIBIT B

### SERVICES TO BE PROVIDED BY THE ENGINEER

District:  
CSJ No.:  
County:  
Highway:  
Limits:

#### FUNCTION CODE 102(110) – FEASIBILITY STUDIES, ROUTE AND DESIGN STUDIES

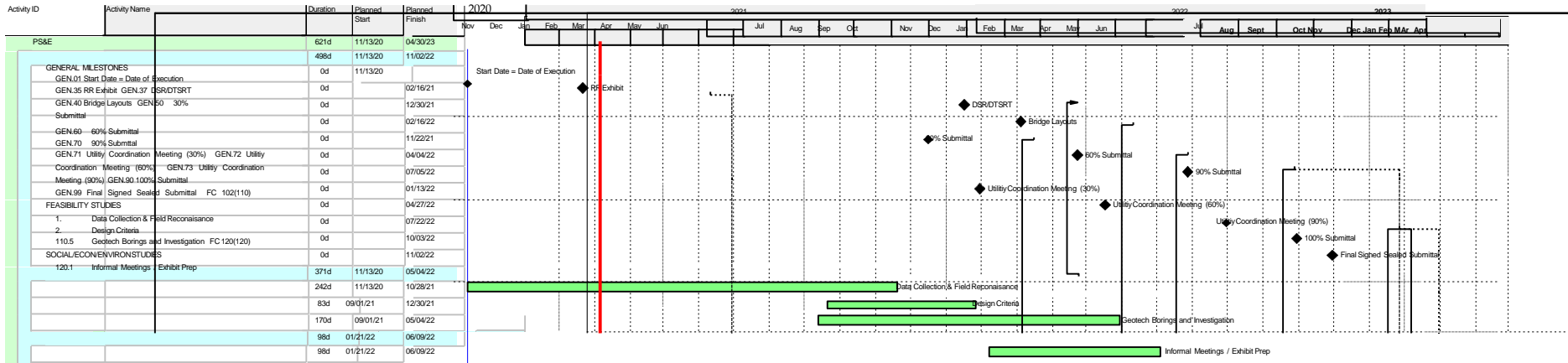
1. **Data Collection and Field Reconnaissance.** The Engineer shall collect, review and evaluate data described below. The Engineer shall notify the State in writing whenever the Engineer finds disagreement with the information or documents:
  1. Data, if available, from the State, including “as-built plans”, existing schematics, right-of-way maps, Subsurface Utility Engineering (SUE) mapping, existing cross sections, existing planimetric mapping, environmental documents, existing channel and drainage easement data, existing traffic counts, accident data, Bridge Inspection records, Project Management Information system (PMIS) data, identified endangered species, identified hazardous material sites, current unit bid price information, current special provisions, special specifications, and standard drawings.
  2. Documents for existing and proposed development along proposed route from local municipalities and local ordinances related to project development.
  3. Utility plans and documents from appropriate municipalities and agencies.
  4. Flood plain information and studies from the Federal Emergency Management Agency (FEMA), the United States Army Corps of Engineers (USACE), local municipalities, and other governmental agencies.
  5. Conduct field reconnaissance and collect data including a photographic record of notable existing features.

#### FUNCTION CODE 120(120) – SOCIAL/ECON/ENVIRON STUDIES

#### SOCIAL, ECONOMIC AND ENVIRONMENTAL STUDIES AND PUBLIC INVOLVEMENT

- 120.1. **Informal Meetings.** The Engineer shall provide technical assistance with, preparation of exhibits for, and minutes of informal meetings that are either requested by the public to discuss the pending impacts to neighborhoods and businesses due to roadway shutdowns, detours and access restrictions, or deemed necessary by the State. This is not to be confused with the formal public meetings held during the National Environmental Policy Act (NEPA) process during schematic approval for Public Involvement. It is not anticipated that the Engineer’s participation will be needed for the NEPA process. Assistance (exhibits, attendance, etc.) may be required for a formal public meeting or hearing associated with schematic approval work.

# Exhibit C Example - Work Schedule



# Exhibit D Example - Fee Schedule



Prime Provider Name:

TASK DESCRIPTION Traffic Signal Timing	Project Manager	Engineer (Design)	Engineer (Project)	Engineer (Structural)	Engineer-In-Training	Engineer Technician	Engineer Technician - Junior	Engineer Technician - Senior	Administrative/Clerical	TOTAL LABOR HRS AND COSTS
CONTRACT RATE PER HOUR - SPECIFIED RATES	CSJ: XXXXX-XXXX									
<b>FC 102 (110) - FEASIBILITY STUDIES</b>										
<b>Route and Design Studies</b>										
Data Collection and conduct Field Reconnaissance	2	10	2	2	2	2	2	2	2	26
Evaluation of data (e.g. as-builts, existing schematics, environmental docs, etc.)	1	1	2	2	2	2	2	2	2	2
Evaluation of local municipalities and ordinances related to project development	2	10	2	2	2	2	2	2	2	2
Evaluation of utility plans and documents	1	10	2	2	2	2	2	2	2	2
Evaluation of flood plain information and studies	2	5	2	2	2	2	2	2	2	2
Conduct field reconnaissance and collect data (including photographic records)	1	8	2	2	2	2	2	2	2	2
Design Criteria										
Prepare Design Summary Report (DSR) and Electronically Submit	2	1	2	2	2	2	2	2	2	17
Preliminary Cost Estimate	1	1	2	2	2	2	2	2	2	16
Design Concept Conference	1	6	2	2	2	2	2	2	2	21
Geotechnical Borings and Investigations										
Perform retaining wall analysis	1	3	2	2	2	2	2	2	2	18
Prepare and provide a signed, sealed, and dated geotechnical report	1	2	2	2	2	2	2	2	2	17
Perform scour analysis	1	1	2	2	2	2	2	2	2	16
Prepare, Sign, and Seal Soil Boring Sheets	1	2	2	2	2	2	2	2	2	17
Sub-Total	17	60	26	26	26	26	26	26	26	259
CONTRACT RATE PER HOUR	\$185.00	\$150.00	\$100.00	\$100.00	\$95.00	\$95.00	\$85.00	\$90.00	\$65.00	
TOTAL LABOR COST	\$3,145.00	\$9,000.00	\$2,600.00	\$2,600.00	\$2,470.00	\$2,470.00	\$2,210.00	\$2,340.00	\$1,690.00	\$28,525.00
% Distribution of Staffing	0.065637066	0.231660232	0.1003861	0.1003861	0.1003861	0.1003861	0.1003861	0.1003861		
SUBTOTAL FC 102(110)										\$28,525.00
<b>FC 120 (120) - SOCIAL/ECON/ENVIRON STUDIES</b>										
<b>Social, Economic, and Environmental Studies and Public Involvement</b>										
Informal Meetings	2	10	2	2	2	2	2	2	2	26
Public Involvement: Public Meetings and Hearings	1	1	2	2	2	2	2	2	2	2
Identify and secure venue, Prepare facility layout	2	10	2	2	2	2	2	2	2	2
Prepare/distribute meeting notices	2	5	2	2	2	2	2	2	2	2
Prepare, publish, and obtain affidavits of publication	1	8	2	2	2	2	2	2	2	2
Prepare sign-in sheets, comment forms, handouts, etc.	1	7	2	2	2	2	2	2	2	27
Prepare/attend meetings	1	6	2	2	2	2	2	2	2	21
Provide personnel to conduct the public hearing/meeting	1	1	2	2	2	2	2	2	2	16
Provide uniformed police officer at the public hearing/meeting	1	3	2	2	2	2	2	2	2	18
Prepare informational exhibits	1	1	2	2	2	2	2	2	2	16
Provide a summary report	1	2	2	2	2	2	2	2	2	17
Assist State with responses to comments	1	1	2	2	2	2	2	2	2	16
Environmental Permits Issues and Commitment (EPIC) Sheets	1	2	2	2	2	2	2	2	2	17
Sub-Total	16	57	26	26	26	26	26	26	26	255
CONTRACT RATE PER HOUR	\$185.00	\$150.00	\$100.00	\$100.00	\$95.00	\$95.00	\$85.00	\$90.00	\$65.00	
TOTAL LABOR COST	\$2,960.00	\$8,550.00	\$2,600.00	\$2,600.00	\$2,470.00	\$2,470.00	\$2,210.00	\$2,340.00	\$1,690.00	\$27,890.00
% Distribution of Staffing	0.062745098	0.223529412	0.101960784	0.101960784	0.101960784	0.101960784	0.101960784	0.101960784		
SUBTOTAL FC 120(120)										\$27,890.00
<b>WA Summary</b>										
FC 102 (110) - FEASIBILITY STUDIES										\$28,525.00
FC 120 (120) - SOCIAL/ECON/ENVIRON STUDIES										\$27,890.00
<b>Total Fee</b>										<b>\$56,415.00</b>



# Exhibit H-2 Example - Subprovider Commitment



EXHIBIT H-2 (State Funded - HUB Goal) Texas Department of Transportation Subprovider Commitment Agreement				
This Exhibit must be completed and attached to each Work Authorization (WA), or Specific Deliverable (SD) contract without WAs, for all Historically Underutilized Business (HUB) subproviders				
Contract Type:	Indefinite Deliverable	WA No.		SWA No.
Provider Firm Name:				
Subprovider Firm Name:				
HUB Subprovider Contract Goal % <small>(for this subprovider, as shown on the HSP of the contract)</small>			WA Amount:	
HUB Subprovider Total Commitment % <small>(for this WA or SD without WA contract)</small>			SWA Amount:	
HUB Subprovider Revised Total Commitment % <small>(for this WA or a SA to a SD contract without WA) Revised % must be associated with a SWA to an SD contract without WAs. If a revised HSP is required, then a SA to the contract must be executed prior to the SWA execution.</small>			RevisedWA Amount:	
Description of Work <small>(List by category of work or task description. Attach additional pages, if necessary.)</small>	Dollar Amount <small>(For each category of work or task description listed.)</small>			
<b>Total Commitment Amount for Subprovider</b>				\$0.00
<small>(Including all additional pages.)</small>				
<b>IMPORTANT:</b> The signatures of the HUB and Second Tier Subprovider (if applicable), if any (both HUB and Non-HUB) and the total commitment amount must always be on the same page. <u>(Certified Electronic Signature Accepted)</u>				
Provider Firm Name:				Name:
Vendor ID No:				<small>(Please type full name)</small>
Address:				Title:
Phone No:				
Email:				
Subprovider Certification Status:	HUB:	Expiration:	DBE:	Signature
				Date
Subprovider Firm Name:				Name:
Vendor ID No:				<small>(Please type full name.)</small>
Address:				Title:
Phone No:				
Email:				
				Signature
				Date
The Vendor ID number must match the number shown on Exhibit HSP of the contract. If a subprovider is not part of the contract, an SA to the contract will be necessary prior to utilizing the services from the subprovider.				



## What Is It?

Memo describing the rationale for procurement event or contracting action (e.g., Work Authorization, Supplemental Agreement) that is developed by the TxDOT PM.

## Why Is It Needed?

To ensure project managers and PEPS staff consider all contracting alternatives to help develop the best solution.

Guarantee the signature authority understands advantages, risks, and vital information required to make an informed decision.



### Our Purpose

- The Professional Engineering Procurement Services (PEPS) Division is responsible for procuring engineering, architectural and surveying services for transportation projects through professional services contracts. PEPS has renovated and consolidated the engineering procurement process.
  - The PEPS Division supports the qualifications-based selection process for Engineering, Surveying, and Architectural contracts.
- In addition, PEPS manages the agency's consultant budget, identifying transportation projects that require additional resources. The division serves as TxDOT's liaison to the American Council of Engineering Companies (ACEC).

#### NEWS

- PEPS Newsletter  
Newsletter?  
Mon., Oct. 10, 2022 Comments: 0
- PEPS Fireside Chats  
Events  
Fri., Sep. 16, 2022 Comments: 0
- 2022 PEPS Annual Conference  
Thu., Sep. 8, 2022 Comments: 0
- 2021 and 2022 Safety Banquet & All Hands In-person Meeting  
Events  
Mon., Jun. 6, 2022 Comments: 0

#### KEY INITIATIVES

- PEPS Risk Analysis Forms to Box.com
- iDriveIT
- Safety: Mission Zero

#### QUICK LINKS

- Procurement Planning & Budgeting
- Identification of Contract Need
- Contract Development
- Business Case Memos & Signature Authority**
- People to Work
- Provider Selection
- Contract Development & Negotiation
- Management & Administration
- CEI Guidebook



- PEPS Home
- PEPS Contracting Phases
- PEPS Map
- PEPS Contacts
- PS-CAMS
- PEPS External Page
- Contract Services
- ES&D Portal
- TxDOT Templates
- DD Consultant Contract Portfolio Summary
- Manuals
- Standard Operating Procedures (SOPs)
- Calendar
- Division Photos
- PEPS Division Only

## Our Purpose

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### NEWS

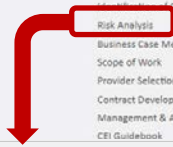
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Events

### KEY INITIATIVES

- PEPS Risk Analysis Forms to Box.com
- iDriveIT
- Safety: Mission Zero

### QUICK LINKS

- Procurement Planning & Budgeting
- Procurement Contract Need
- Risk Analysis**
- Business Case Memos & Signature Authority
- Scope of Work
- Provider Selection
- Contract Development & Negotiation
- Management & Administration
- CEI Guidebook



Revision History (click on date)	Title
	Contract and Work Authorization Risk Analysis Form
09-16-21	PEPS Guidance for Contract Risk Analysis
	Risk Analysis and Risk Management Procedures (CSD - Contract Fundamentals, Chapter 3.Section 3)
	PEPS Leads for Risk Analysis in Box.com - <b>NEW</b>
	FAQs for Box Application - <b>New</b>
06-21-19	Sanctions for Violations of TxDOT Rules

## Important Information about Risk Analysis

- Use correct version.
- Required for all contract actions.
- If work authorization has a high risk factor, then the contract is deemed high risk.
- Include a strategy to manage any medium to high risks.
- Work authorization cannot be executed without it.

# Nepotism Disclosure Form



**INSTRUCTIONS:**

1. The disclosure statement must be submitted by purchasing personnel prior to the award of any major contract.
2. This statement must be submitted even if you answer "no" to questions 1 and 2 in part 2.
3. A copy of this statement should be submitted to the administrative head of the state agency.
4. A new or amended statement must be promptly filed with the parties listed in step 3 of these instructions whenever there is new information to report under Texas Government Code, Section 2262.004.

**PART 1: GENERAL INFORMATION**

Name of business entity being considered for award of major contract \_\_\_\_\_ Contract No. \_\_\_\_\_ WA No. \_\_\_\_\_ PS No. \_\_\_\_\_ PS PO No. \_\_\_\_\_

Filer's address \_\_\_\_\_ 125 East 11th Street \_\_\_\_\_

City \_\_\_\_\_ Austin \_\_\_\_\_ State \_\_\_\_\_ TX \_\_\_\_\_ ZIP \_\_\_\_\_ 78701 \_\_\_\_\_ Phone \_\_\_\_\_ 512-463-8588 \_\_\_\_\_

Name of state agency \_\_\_\_\_ Texas Department of Transportation \_\_\_\_\_

**PART 2: DISCLOSURES**

**Definition:** (Texas Government Code, Section 2262.004) Purchasing personnel includes an employee of a state agency who makes decisions on behalf of the state agency or recommendations regarding: (A) contract terms or conditions on a major contract; (B) who is to be awarded a major contract; (C) preparation of a solicitation for a major contract; or (D) evaluation of a bid or proposal.

A major contract is a contract with a value of at least \$1 million. (Texas Government Code, Section 2262.001 (4))

Disclosure requirements for purchasing personnel of a state agency (Texas Government Code, Section 2262.004)

\* \* \* \* \*

Printed Name \_\_\_\_\_ Job Title \_\_\_\_\_

Purchasing personnel of a state agency must disclose information regarding certain relationships with, and direct or indirect pecuniary interests in, any party to a major contract with the state agency prior to the award of a major contract.

1. Do you directly or indirectly own or control more than a 10 percent interest or pecuniary interest with a value exceeding \$25,000 in a business entity that is under consideration for an award of a major contract with your agency?  
 No  Yes If yes, please explain in detail the nature of such relationships. (Attach additional sheets as needed.)
2. Do you have a relationship with an employee, a partner, a major stockholder, a paid consultant with a contract of at least \$25,000 with the business entity under consideration for an award of a major contract, or other owner of the business entity that is related within a degree described by Government Code, Section 573.002?  
 No  Yes If yes, please explain in detail the nature of such relationships. (Attach additional sheets as needed.)

I hereby attest that all information provided above in questions 1 and 2 are complete and accurate to the best of my knowledge. I acknowledge my responsibility to submit promptly a new or amended disclosure statement to the party listed in step 3 of the instructions if any of the above information changes.

Purchasing Personnel Signature \_\_\_\_\_ Date \_\_\_\_\_

\* \* \* \* \*

Printed Name \_\_\_\_\_ Job Title \_\_\_\_\_

Purchasing personnel of a state agency must disclose information regarding certain relationships with, and direct or indirect pecuniary interests in, any party to a major contract with the state agency prior to the award of a major contract.

1. Do you directly or indirectly own or control more than a 10 percent interest or pecuniary interest with a value exceeding \$25,000 in a business entity that is under consideration for an award of a major contract with your agency?  
 No  Yes If yes, please explain in detail the nature of such relationships. (Attach additional sheets as needed.)

## What Is It?

Pursuant to [Texas Government Code, Sec. 2262.004](#), purchasing personnel of a state agency must disclose information regarding certain relationships with, and direct or indirect pecuniary interests in, any party to a major contract with the state agency prior to the award of a major contract. Specifically, the statute requires, –

Before a state agency may award a major contract for the purchase of goods or services to a business entity, each of the state agency's purchasing personnel working on the contract must disclose in writing to the administrative head of the state agency any relationship the purchasing personnel is aware about that the employee has with an employee, a partner, a major stockholder, a paid consultant with a contract with the business entity the value of which exceeds \$25,000, or other owner of the business entity that is within a degree described by [Section 573.002](#).

"Purchasing personnel" means an employee of a state agency who makes decisions on behalf of the state agency or recommendations regarding: (A) contract terms or conditions on a major contract; (B) who is to be awarded a major contract; (C) preparation of a solicitation for a major contract or (D) evaluation of a bid or proposal. [Texas Government Code, Sec. 2262.004\(a\)\(2\)](#).

"Major contract" means a contract that has a value of at least \$1 million. [Texas Government Code, Sec. 2262.001\(4\)](#).

## Who Needs To Sign?

State law requires the form to be completed by state employees that, makes decisions or recommendations regarding the contract term or conditions, prepares bids or proposals, participates in selection and prepares solicitation.

### This Includes:

WA Project Manager, WA Signature Authority, PEPS Procurement Engineer, Contract Project Manager, Contract Administrator, Contract Manager, Contract Specialist and CSD Staff.

# Submitting Your Work Authorization for Review



## PEPS Service Centers Process Box

Austin Service Center	PEPS_AUS_Request@txdot
Dallas Service Center	PEPS_DAL_Request@txdot
El Paso Service Center	PEPS_ELP_Process@txdot
Fort Worth Service Center	PEPS_FTW_Process@txdot
Houston Service Center	PEPS_HOU_Process@txdot
San Antonio Service Center	PEPS_SAT_Process@txdot
Service Center for Divisions	PEPS_SC-DIV_Process@txdot
Urban Districts Service Center	PEPS_Central_Process@txdot
Rural Districts Service	PEPS_Rural_Process@txdot.gov

# Common Mistakes in Draft Work Authorization Documents





- Provider and subproviders name shown incorrectly
- Wrong labor classifications and rates used
- Fee schedule calculation errors
- Scope doesn't follow contract scope
- Termination date beyond contract termination date
- Missing exhibits and support documents
- Incomplete exhibits and support documents
- Inconsistent formatting



## Don't get caught on a Merry-go-Round

- Be responsive
- Communicate timelines and project commitments
- Work with contract staff to address questions
- Provide requested information in a timely manner





# Questions and Discussion



# Tamika Griffin

Contract Administrator, Service Center for Divisions



[Tamika.Griffin@txdot.gov](mailto:Tamika.Griffin@txdot.gov)



512-416-2062