Document Release Notice

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".

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.

Reason for New Release / Revision / Obsolescence:
CAR0036

Required Signatures:

<table>
<thead>
<tr>
<th>Title</th>
<th>Printed Name</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Originator</td>
<td>Kim Robins</td>
<td>[Signature]</td>
<td>1/12/2012</td>
</tr>
<tr>
<td>Subject Matter Expert</td>
<td>Basel Musa</td>
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<td>1/13/2012</td>
</tr>
<tr>
<td>NTTA Manager</td>
<td>Ijay Nkele</td>
<td>[Signature]</td>
<td>1/18/2012</td>
</tr>
<tr>
<td>Quality Manager</td>
<td>Troy Federspiel</td>
<td>[Signature]</td>
<td>1/19/2012</td>
</tr>
<tr>
<td>PD Contracts Manager</td>
<td>Ijay Nkele</td>
<td>[Signature]</td>
<td>1/18/2012</td>
</tr>
<tr>
<td>Director of Project Delivery</td>
<td>Elizabeth Mow</td>
<td>[Signature]</td>
<td>3-4-12</td>
</tr>
<tr>
<td>Document Control</td>
<td>Md Omar Faruk</td>
<td>[Signature]</td>
<td>3/13/2012</td>
</tr>
</tbody>
</table>
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 shall be responsible to work with their Project Delivery counterpart to prepare a scope and fee consistent with the Supplemental Agreement (SA).

2.2 Executive Director (ED), Assistant Executive Director (AED) of Project Delivery and Director of Project Delivery – The ED, AED and Director of Project Delivery shall be responsible for approving SAs.

2.3 Project Delivery (PD) Contracts Manager – The PD Contracts Manager or designee shall be responsible for recommending the approval of the SA after initial approval by the Corridor Manager (CM)/Project Manager, and for ensuring compliance with this procedure.

2.4 PD Procurement Specialist – PD Procurement Specialist shall be responsible for reviewing all SAs, routing them for signature, and distributing the executed SAs to PD Document Control and the affected professional services consultant. The PD Procurement Specialist shall also prepare annual contract renewal and monthly expiration reports from EPDS and Project Control Databases for distribution to each Corridor/Project Manager for review and preparation of the necessary SA documents.

2.5 Originator – The originator is defined as the Corridor/Project Manager or the NTTA manager responsible for the original contract, and is responsible for oversight of SA preparation. The originator shall be responsible for the preparation of 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, and filing one executed original, and returning one executed original to Program Support Staff.

2.7 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 greater than $100,000.00 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 and approve the need for supplemental agreements prior to placement on the Procurement Plan.

3.0 SCOPE/APPLICABILITY:
This procedure shall apply to all Supplemental Agreements to professional service contracts or work authorizations on NTTA projects and corridors within the Project Delivery department.

4.0 REFERENCES:
CA-08 Independent Cost Estimate procedure

5.0 DEFINITIONS & ACRONYMS:

6.0 PROCEDURES:
6.1 The professional services firm must notify the originator that a potential change to the contract is needed. Upon receipt of such notification, the originator shall notify and obtain approval from the Subject Matter Expert NTTA Manager. Following NTTA Manager’s approval the originator shall notify PD Procurement Specialist of the potential change. PD Procurement Specialist shall place the item on the procurement plan. 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 originator agrees with the potential change, the professional services firm shall prepare an 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. The PD Program Controls Manager shall recommend for Approval based upon availability of funds, all WA/SA’s greater than or equal to $100,000.00. In order to establish evidence of their concurrence the PD Program Controls Manager is required to sign CA-03-F1.

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

• 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 Procurement Specialist shall review and prepare a CA-01-F18 to ensure the SA is complete and accurate, deliver the document to the Project Delivery Contracts Manager. The Project Delivery Contracts Manager shall review for accuracy and completeness and sign CA-03-F1 and forward it to PD Procurement Specialist staff for further processing. If the SA is incomplete or inaccurate, the Project Delivery Contracts Manager shall return the SA to the originator for correction and resubmittal.

6.6 Upon receipt of the SA, PD Procurement Specialist shall review the document form, prepare and attach the Letter of Transmittal with input from the originator for the description of services and forward the SA to the Director of Project Delivery for final approval.

6.7 Upon receipt of the SA, the Director of Project Delivery shall review and approve the document form, sign the Letter of Transmittal and return to the PD Procurement Specialist for further routing and approval. If the SA is greater than or equal to $25,000.00, PD Procurement Specialist shall forward the SA to the AED. The AED shall review the document form, sign the Letter of Transmittal and return to PD Procurement Specialist for routing to NTTA Contracts Management.

6.8 NTTA Contracts Management shall acquire executive signatures (if the SA is greater than $100,000.00) on the SA, log the SA into NTTA tracking systems, file the NTTA’s executed copy, and return the second executed original back to the PD Procurement Specialist.

6.9 Once received by PD Procurement Specialist, the executed SA shall be scanned into the EPDS by PD Document Control. PD Procurement Specialist shall distribute the executed SA to the Professional Services firm.

6.10 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:

- The PD Procurement Specialist shall prepare annual contract renewal and monthly expiration reports from EPDS and Project Control databases.
- The PD Contracts Manager and PD Procurement Specialist 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 shall then prepare a report for distribution to each affected Corridor/Project Manager to review and/or subsequently prepare the necessary SA documents for processing.

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-03-F1 Supplemental Agreement Form (NTTA Form 103)
   • CA-03-F2 WA/SA/CO Log (Attachment E)
   • Transmittal Letter-08-25-2011
## QMS MANUAL
### Procedure Definition

<table>
<thead>
<tr>
<th>NTTA Projects</th>
<th>Original Issue Date: 06/05/2008</th>
<th>CA-03</th>
</tr>
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<tbody>
<tr>
<td>Resource: Contract Administration</td>
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<td>Page 7 of 7</td>
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**Title:** Professional Services - Supplemental Agreements

### 11.0 REVISION HISTORY:

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- CA-03-F2 WA/SA/CO Log (Attachment E)
- Transmittal Letter-08-25-2011
10.0 FLOWCHART:

START

Identification of Need

NTTA Manager

Approve

Communicate to Program Support to begin Procurement Process

NTTA Manager, SME

Professional Services Firm

Develop Supplemental Agreement (includes scope schedule and fee estimate)

Originator

NTTA Manager

Yes

Must have value of SA over $400,000.00

No

Decision to use CA-03

NTTA Manager, SME

Decision to use SA Budget & Funds

Originator

Compare SA provided by firm and submit for approval

Approved?

Reject SA

Yes

Route SA for approval signatures

Approved?

NTTA Manager

NTTA Manager

Yes

Yes

Prepare Letter of Transmittal and route to Director

Approved?

Director of Project Delivery

NTTA Contracts Management

No

No

Yes

Professional Services Firm or Originator

Professional Services Firm or Originator

PD Procurement Specialist

PD Procurement Specialist

Assistant Executive Director

Assistant Executive Director

NTTA Contracts Management

Assistant Executive Director

Assistant Executive Director

PD Procurement Specialist

Project Delivery Contracts Manager

Directo of Project Delivery

Assistant Executive Director

NTTA Contracts Management

Assistant Executive Director

NTTA Contracts Management

Assistant Executive Director

NTTA Contracts Management

Assistant Executive Director

Assistant Executive Director
# Professional Services Change Management - Supplemental Agreements

<table>
<thead>
<tr>
<th>Task</th>
<th>Responsible Party</th>
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<tbody>
<tr>
<td>A. Return one executed original copy to program support staff</td>
<td>NTTA Contracts Management 6.9</td>
</tr>
<tr>
<td>B. Scan and upload to EPDS</td>
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</tr>
<tr>
<td>C. Distribute executed original to firm</td>
<td>PD Procurement Specialist 6.9</td>
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**Flowchart:**

1. **A** Return one executed original copy to program support staff
2. **B** Scan and upload to EPDS
3. **C** Distribute executed original to firm

**NTTA Projects**

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<th>Resource: Contract Administration</th>
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**Title:** Professional Services Change Management - Supplemental Agreements
NTTA Projects

Original Issue Date: 06/05/2008

CA-03

Resource: Contract Administration

Revision 66 Issue Date: 10/26/2011 TBD

Page 7 of 8

Title: Professional Services Change Management - Supplemental Agreements

Diagram:

A

Return one Executed Original Copy to Program Support Staff

NTTA Contracts Management 6.9

Scan and upload to EPDS

PD Document Control 6.9

Distribute executed original to firm

PD Procurement Specialist 6.9

END

NTTA Contracts Management

PD Document Control

PD Procurement Specialist
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<td>4</td>
<td>Kim Robins</td>
<td>04/28/2011</td>
<td>10303</td>
<td>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”;</td>
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QMS Final Audit Report

Business Processes Audited:

Lead Auditor: Peter Claypool  
Audit Number: QMS-PDC-0003  
Audit Team: NA  
Audit Hours: 30  
Process Owners: Ijay Nkele  
Opening Meeting Date: 7/08/2011  
Closing Meeting Date: 8/02/2011  
Final Audit Report Date: 8/01/2011  
Audit Report Distribution: Elizabeth Mow, Ijay Nkele

Executive Summary:

The audit of the NTTA Professional Services Change Management process was performed over a one day period and involved both an interview style session with the primary process owner, Ijay Nkele, the Contract Administration Subject Matter Expert, Mike Hutchison and stakeholder Kim Robins. During the audit an evaluation of the current business process was completed to determine procedural compliance to QMS procedure CA-03. As the audit progressed, it was determined that several areas of the document were not in compliance with actual practices. In addition, multiple opportunities for improvement or clarification were established to better reflect current methods. These items are listed in more detail subsequent to this summary. The use of EPDS as the final archive of records was found to be complete and records were correctly filed. A Corrective Action has been opened to track and monitor the progress of these items pending their conclusion.

<table>
<thead>
<tr>
<th>CAR/PAR Number</th>
<th>Classification</th>
<th>Area</th>
<th>Improvement Action Owner</th>
</tr>
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<tbody>
<tr>
<td>CAR0036</td>
<td>Corrective</td>
<td>Professional Services Change Management</td>
<td>Ijay Nkele</td>
</tr>
</tbody>
</table>

TABLE 1
QMS Final Audit Report

Audit Scope:

- Confirm compliance with established procedures and processes for Project Delivery QMS CA-03, Professional Services Change Management
- NTTA QMS CA-03 Professional Services Change Management
- Auditees may consist of the PD Contracts Manager, PD Procurement Specialist, Corridor/Project Manager and PD Document Control
- Review a sample of recent procurements and invoices
- EPDS Content Management review for proper documentation archival when applicable

Audit Objectives:

- Confirm compliance with established procedures and processes for preparing, reviewing, and processing changes to procured professional services contracts, in compliance with the approved program schedules and budgets
- Review and evaluate the records that are completed during the use of the procedure. Records will be evaluated to ensure that objective evidence is present demonstrating adherence to established procedures and NTTA policy where applicable
- Verify that discrepancies or nonconformance's to established procedures are either approved by a documented and signed waiver, or addressed through corrective action
- Verify that auditees are familiar with and can properly access NTTA QMS documents
- Verify that auditees understand their role in the overall business process, the inputs to their process, the corresponding outputs and the internal customers of their process

Auditee Listing:

- Ijay Nkele
- Mick Hutchison
- Kim Robins

Commendable Efforts (Good Points):

- Auditees were very familiar with the process and were able to provide supporting evidence in a timely manner
- All auditees demonstrated proficient use of the online QMS system; in addition to an understanding of the Project Delivery Quality Objectives and their application to day to day activities.
- The use of the EPDS file archive system was commendable and comprehensive
- Auditees were very open to post audit discussion regarding improvement opportunities to procedure and process
QMS Final Audit Report

Auditor Comments:

- NA

Audit Findings:

Finding #1 - Corrective:

- Paragraph 6.3 states the PD Program Controls Manager is required to confirm budget and funding source for all SA's greater than or equal to $100,000.00, although no evidence of this required activity has been recorded. In addition, there is no current method or location to identify that this action has occurred.
- Paragraph 6.10 requires an annual review of active contracts and work authorizations to determine if supplemental agreements are necessary. No evidence of this activity could be presented to the auditor.

Improvement Action Owner: Ijay Knele

Audit Observations:

- Form CA-01-F18 is used in actual practice, but is not referenced within the document
- It is not clear in paragraph 6.1 how the "appropriate" NTTA Manager is determined
- Paragraph 6.4 references an obsolete staff position (Program Support Staff)
- Reference to the Transmittal Letter should be updated to be consistent throughout the document, as it is referenced in three different ways throughout the document:
  - Executive Transmittal Letter (paragraph, 6.6)
  - Transmittal Letter-01-04-2011-Protected (paragraph, 9.0)
  - Letter of Transmittal (flowchart step, 6.6)
- Text paragraphs 6.7 through 6.9 are misaligned in the flowchart (i.e., text 6.8 is depicted as flowchart step 6.9)
- The current revision (rev 4, dated 4/28/2011) was classified as "minor" (reference DRN 10303), yet QMS document QM-05, "QMS Training", indicates that it should have been classified as "major" due to changes/additions in responsibility. No evidence of training could be presented. As this issue has been observed in other recent audits and is more systemic in nature, it will be addressed as a separate corrective action (Reference CAR0037)
I concur.

Thank you,

Ijay N. Nkele, J.D., Assoc. AIA
Project Delivery Manager of Contracts
North Texas Tollway Authority
5900 W. Plano Parkway
Suite 800
Plano, Texas 75093
(214) 224-3043

From: Robins, Kim
Sent: Monday, March 19, 2012 9:00 AM
To: Faruk, Omar; Nkele, Ijay
Cc: Federspiel, Troy; Musa, Basel
Subject: RE: Training for Major Revision (CA-03 Professional Services - Supplemental Agreement)

Dear Ijay,

From my review the personnel involved are limited to specific individual roles. In my opinion, the updates addressed procedures already active so training would be redundant and not required.

Please let me know if I can be of further assistance related to this matter.

Thank you,
Kim M. Robins
214.224.2428

From: Faruk, Omar
Sent: Tuesday, March 13, 2012 1:54 PM
To: Nkele, Ijay; Robins, Kim
Cc: Federspiel, Troy; Musa, Basel
Subject: Training for Major Revision (CA-03 Professional Services - Supplemental Agreement)

Ijay and Kim,
I have released Revision # 6 to **CA-03 Professional Services – Supplemental Agreement** in QMS Manual library. You are request to review the procedure (pdf enclosed) and determine if the training is needed or not. If yes, the training should be completed within 30 days. Please note that the final approval is needed from DPD before the training is conducted. You may check **QM-05 QMS Training** for training requirement or ask me if you have any questions.

If the training is not required please let me know so that I can close the file.

Thank you,
Omar
**DOCUMENT RELEASE NOTICE - CLOSEOUT CHECKLIST**

**DRN Number**: 10394

### To be completed BEFORE the DRN is released

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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<tbody>
<tr>
<td>Latest revision of QM-12-F1 form used and submitted by the originator</td>
<td>☒</td>
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<tr>
<td>Soft copy of the new/revised documents has been submitted with QM-12-F1</td>
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<tr>
<td>Soft copy inclusive of embedded files (pictures, visio flowcharts) has been submitted.</td>
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<tr>
<td>All required information have been provided in QM-12-F1</td>
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<tr>
<td>Proper document type has been selected in Document Type box of QM-12-F1</td>
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<tr>
<td>Relevant type(s) of change have been marked in Type of Change box of QM-12-F1</td>
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<tr>
<td>Process owner/originator submitted training record where change is classified as major</td>
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<td>A DRN number is assigned</td>
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<tr>
<td>New/revised document was created/changed using current QM-12-F2 format</td>
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<tr>
<td>Compared the word documents with source files to create redline as applicable</td>
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<tr>
<td>All spelling has been checked and found correct</td>
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<tr>
<td>Latest NTTA logo is available in the document if applicable</td>
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<tr>
<td>Originator and all review team members have approved and signed QM-12-F1</td>
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<tr>
<td>All requested changes have been incorporated in the source file</td>
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<td>All Forms/Attachments have been referenced in the parent procedure</td>
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<td>All the internal QMS links are correct and working fine</td>
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<tr>
<td>All Forms/Attachments/Procedures have been linked to their associated documents</td>
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<tr>
<td>New Forms/Records have been added to the Record Matrix</td>
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</table>

**Prepared by**: 3/13/2012

**Name**: MD OMAAR FARUK

**Signature**: MD OMAAR FARUK

### To be completed AFTER the DRN is released

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Yes</th>
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<tbody>
<tr>
<td>Revised/New document is available in updated online version of QMS Manual</td>
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<tr>
<td>All links in the new/revised documents are working fine</td>
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<tr>
<td>All flowcharts in the document are visible/readable</td>
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<tr>
<td>An e-mail notification has been sent to the distribution list</td>
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<td>Scanned e-mail notification and inserted into DRN number</td>
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<td>Updated DRN tracking log with release information</td>
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<td>Moved DRN working folder to Archive folder</td>
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<tr>
<td>Filed hard copy of the DRN package</td>
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<tr>
<td>Spreadsheet for Document Linking updated as applicable</td>
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</tbody>
</table>

**Verified By**: 3/13/2012

**Name**: MD OMAAR FARUK

**Signature**: MD OMAAR FARUK

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DM-01-F1  Page 1 of 1  Release Date: 06/14/2010