

City of Phoenix
Public Transit Department | Compliance Section
PTDcompliance@phoenix.gov

PRE-AWARD SUBRECIPIENT SIMPLIFIED ACQUISITION PROCUREMENT REVIEW FORM
FTA-FUNDED PROCUREMENTS

(For Purchases Valued Above \$15k But Less Than \$350k
or Subrecipient Procurement Code Threshold Amount, Whichever is Less)

FORM INSTRUCTIONS

This form is for purchases valued above the federal micropurchase amount of \$15k and below the federal simplified acquisition threshold of \$350k, OR within the Subrecipient's Procurement Code threshold amount for informal small dollar (simplified acquisition) purchases, whichever is less. For example, if Subrecipient has a minimum small dollar purchase threshold of \$10k (versus the federal \$15k minimum), then the requirements of this form also apply for purchases between \$10k – \$15k.

The City of Phoenix (“**City**”), acting by and through its Public Transit Department (“**PTD**”), is the designated recipient of Federal Transit Administration (“**FTA**”) funds. Under FTA Circular 4220.1G ch. III, § 3, the City is obligated to ensure that third-party contracts comply with applicable federal, state, and local requirements. Because of these obligations, PTD reviews FTA third-party contracts before approving funding to ensure the costs of third-party procurements comply with federal laws/regulations and are eligible for federal funding. PTD provides Subrecipient submittal forms, FTA Clauses/Certifications, and DBE-Neutral Clauses and EO Forms/Exhibits (for inclusion in contracts) on its Subrecipient Resources Webpage, available at phoenix.gov/publictransit/subrecipient-resources.

The purpose of this form is to standardize the simplified acquisition pre-award third-party procurement review process across all subrecipients. Before seeking Council or Board approval, and before issuing a purchase order or executing a contract, the Subrecipient conducting the procurement must complete this form, then email all of the required documentation to PTDcompliance@phoenix.gov to obtain approval to proceed.

A “simplified acquisition,” also referred to as a “small purchase,” is the acquisition of property or services valued at **more than \$15,000** (the micropurchase threshold) **but no more than \$350,000** (the simplified acquisition threshold). The Subrecipient may set lower thresholds for simplified acquisitions in compliance with state and local law or otherwise as it considers appropriate. The Subrecipient threshold can be more, but not less, restrictive than the federal simplified acquisition requirements.

Simplified acquisitions may be awarded by obtaining price or rate quotations from an adequate number of qualified sources (at least two) as the Subrecipient considers to be appropriate, which must be evidenced in the files accordingly. The Subrecipient may not divide or reduce the size of its procurement merely to avoid the additional procurement requirements applicable to larger acquisitions. See FTA Circular 4220.1G ch. VI, § 3(b) (please note that the simplified acquisition threshold was increased to **\$350,000** under FAR 2.101 and 48 CFR 2.1).

PTD’s standard review time is ten business days. Failure to complete the form in its entirety and provide all of the information required will result in delays for the City’s approval, with each resubmission requiring up to ten business days to review.

PRE-AWARD REVIEW SEQUENCE	RESPONSIBLE PARTY
1. Before seeking Council or Board approval, and before issuing a purchase order or executing a contract, Subrecipient must email this signed, completed form with all required documentation in one package to PTDcompliance@phoenix.gov .	Subrecipient
2. PTD Compliance will conduct a review of the pre-award documentation and supporting	PTD

documents and either provide approval or rejection with written comments, if applicable .

Reminders:

- If any protest is filed after pre-award approval by PTD Compliance, Subrecipient must email the protest filings/responses and record of protest outcomes promptly after resolution of the protest.
- Promptly after contract execution, Subrecipient must email the fully executed purchase order and/or contract document to PTDcompliance@phoenix.gov.

SMALL DOLLAR COMPETITIVE PROCUREMENTS
Subrecipient Simplified Acquisition Pre-Award Form

Subrecipient Name:	Primary Contact Name:
Primary Contact Phone:	Primary Contact Email:
Solicitation Number:	Solicitation Title:

Simplified Acquisition Description:

Aggregate Value of this purchase (including optional extensions): \$

Identify and explain any and all revisions to the Solicitation that deviate from the details provided in Subrecipient's Pre-Solicitation submission (e.g., procurement method, contract term, contract type, etc.):

Provide Solicitation Addendum/Section References for each deviation:

For Transit Vehicle contracts, complete the following:

Are Offeror(s) and its/their subcontractors on FTA's certified list of Transit Vehicle Manufacturers (or otherwise authorized for vehicle manufacturing by FTA) and compliant with the limitations of 49 U.S.C. §5323(u), prohibiting the procurement of rolling stock from specified manufacturers for public transportation use? See [Transit Vehicle Manufacturers List | FTA \(dot.gov\)](#).

yes
 no
 not applicable

PRE-AWARD DOCUMENT SUBMITTALS	CHECK
1. Price quotations from an adequate number of qualified sources (at least two documented quotes)	<input type="checkbox"/>
2. Determination of Fair and Reasonable Price - signed and dated by Subrecipient	<input type="checkbox"/>
3. System for Award Management ("SAM") Verification (sam.gov)	<input type="checkbox"/>
4. Responsiveness/Responsibility Determinations, ¹ including any Adverse Determinations (if applicable) – signed and dated by Subrecipient	<input type="checkbox"/>

5. Protest Filings/Responses and Record of Protest Outcome(s) (if applicable) - signed and dated by Subrecipient	<input type="checkbox"/>
6. Draft Purchase Order or Contract Document(s) for Execution, including the following, signed and dated by Offeror(s) (as applicable): <input type="checkbox"/> FTA Clauses and Certifications <input type="checkbox"/> DBE-Neutral Clauses and EO1, EO2, and EO3 Forms/Exhibits <input type="checkbox"/> Other Exhibits/Attachments	<input type="checkbox"/>
8. Subrecipient's Pre-Award Audit Report, using the template located at Subrecipient Resources City of Phoenix , including the following, signed and dated by Subrecipient (if applicable) <input type="checkbox"/> Purchaser's Requirements <input type="checkbox"/> Buy America <input type="checkbox"/> Federal Motor Vehicle Safety Standards (FMVSS) <input type="checkbox"/> Table of Domestic Content	<input type="checkbox"/>

¹ Please note FTA Circular 4220.1G, Chapter IV, Section 2(a)(1) requires evaluations in determining bidder "responsibility," including the contractor's financial resources/capabilities.

CONTRACTOR SELECTION

Selected Contractor(s):

Subrecipient's targeted date to seek Council/Board authority for contract award (after approval of this Pre-Award submission), if applicable:

SUBRECIPIENT ACKNOWLEDGEMENTS AND AUTHORIZED SIGNATURES

The Procurement Officer certifies that the purchase order or contract price is fair and reasonable based on a determination of fair and reasonable price:

yes no

By signing below, Subrecipient (procuring entity) verifies that all submitted pre-award documents have been thoroughly reviewed for accuracy and the foregoing information is true and correct.

Manager Review Completed: yes N/A

Procurement Officer Name

Procurement Officer Signature

Date Signed

Procurement Director Name

Procurement Director Signature

Date Signed