

**City of Phoenix**  
**Public Transit Department | Compliance Section**  
[PTDcompliance@phoenix.gov](mailto:PTDcompliance@phoenix.gov)

**PRE-SOLICITATION 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](http://phoenix.gov/publictransit/subrecipient-resources).

The purpose of this form is to standardize the simplified acquisition pre-solicitation third-party procurement review process across all subrecipients. Before issuing or advertising the solicitation (requesting vendor quotes), the Subrecipient conducting the procurement must complete this form, then email all of the required documentation to [PTDcompliance@phoenix.gov](mailto: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-SOLICITATION REVIEW SEQUENCE	RESPONSIBLE PARTY
1. Prior to issuing or advertising its solicitation, Subrecipient must email this signed, completed form with all required documentation in one package to <a href="mailto:PTDcompliance@phoenix.gov">PTDcompliance@phoenix.gov</a> .	Subrecipient
2. PTD Compliance will conduct a review of the pre-solicitation documentation and	PTD

supporting documents and either provide approval or rejection with written comments, if applicable.	
3. The Subrecipient will send a calendar invitation to PTD Compliance no less than 10 business days prior to the Pre-Offer Conference for PTD's Compliance Specialist to provide a brief presentation (if applicable).	Subrecipient
4. PTD Compliance will provide PowerPoint slides for incorporation into the pre-offer conference conducted by the subrecipient (if applicable).	PTD
<b>Reminders:</b> <ul style="list-style-type: none"> <li>At the time of submitting the Pre-Award Subrecipient Simplified Acquisition form, Subrecipient must email all EO forms received from all offerors to <a href="mailto:PTDcompliance@phoenix.gov">PTDcompliance@phoenix.gov</a> for review and approval to proceed.</li> </ul>	

**SMALL DOLLAR COMPETITIVE PROCUREMENTS**  
**Subrecipient Simplified Acquisition Pre-Solicitation Form**

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

Subrecipient Procurement Procedures Last Updated:

Subrecipient's Small Dollar (Informal) Procurement Threshold Amount (per its Procurement Code):  
 \$

Simplified Acquisition Description:

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

NAICS Code(s) and Description(s) for the Procurement (code listing available at [naics.com/search](https://www.naics.com/search)):

Title 34 Public Improvement (design/construction)?    Yes     No

If yes, what are the A&E-Type Services? <sup>1</sup>

<sup>1</sup> If the Subrecipient procures services for program management, architectural, engineering, construction management, a feasibility study, and preliminary engineering, design, architectural, engineering, surveying, mapping, or related services (collectively referred to as "A&E services") for an FTA-funded project, it must use a qualifications-based method. This method is not to be used for procuring services other than A&E. See FTA Circular 4220.1G ch. IV, § 2(h).

PRE-SOLICITATION DOCUMENT SUBMITTALS	CHECK
1. Procurement Method, Contract Term, Contract Type (below)	<input type="checkbox"/>
2. Liquidated Damages Determination (if applicable) – signed and dated by Subrecipient	<input type="checkbox"/>
3. Davis-Bacon Wage Determination(s) (if applicable) <sup>2</sup>	<input type="checkbox"/>

<p>4. Draft Solicitation Documents, including the following (if applicable):</p> <p><input type="checkbox"/> Evaluation Criteria and Price Quotation Sheet (if applicable)</p> <p><input type="checkbox"/> Financial Capability Evaluation<sup>3</sup> (as part of responsibility determination)</p> <p><input type="checkbox"/> FTA Clauses and Certifications in Original Entity Contract or Subrecipient Draft Contract</p> <p><input type="checkbox"/> DBE-Neutral Clauses and EO1, EO2, and EO3 Forms/Exhibits</p>	<input type="checkbox"/>
<p>5. Tracking Spreadsheet of Solicitation Milestone Dates (timeline)</p>	<input type="checkbox"/>

<sup>2</sup> A wage determination is the list of basic hourly wage rates and fringe benefit rates for each classification of laborers and mechanics (“labor classification”) in a predetermined geographic area for a particular type of construction. General Davis-Bacon wage determinations are published online at [sam.gov](http://sam.gov). If a general wage determination is not available/feasible, Subrecipient must seek a project wage determination from the United States Department of Labor.

<sup>3</sup> 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, technical capability, integrity, and past performance.

**PROCUREMENT METHOD**  
**FTA Circular 4220.1G ch. III, § 3(d)(1)(a); 2 CFR 200.318(i), 200.320(a)(2)(i)**

Method	Rationale
<p><b>Request for Quote (RFQ)</b>  [Informal Procurement]</p> <p>Select One:</p> <p><input type="checkbox"/> Selection based on price only</p> <p><input type="checkbox"/> Selection based on price and qualifications</p> <p><input type="checkbox"/> Selection based on qualifications (only authorized for architectural &amp; engineering and related services)</p>	<ul style="list-style-type: none"> <li>▪ Amount is above the federal micropurchase amount of \$15k and below the federal simplified acquisition threshold of \$350k, or entity procurement code threshold amount, whichever is less.</li> <li>▪ Clear, complete and adequate specification or purchase description</li> <li>▪ Two or more responsive and responsible vendor quotes</li> </ul>

**CONTRACT TERM**  
**FTA Circular 4220.1G ch. IV, § 2(b)(3)**

<input type="checkbox"/> 5 year term and no options to extend	This contract term is most advantageous because a five year base contract term provides stability to meet the needs of the Subrecipient.
<input type="checkbox"/> ____ year initial term and ____ optional extension(s) for ____ years per option	This contract term is most advantageous because a base contract with the identified renewals provides flexibility to meet the needs of the Subrecipient.
If term is beyond five years, please explain how the contract term is no longer than minimally necessary to accomplish the purpose of the contract?	

Provide Solicitation Section Reference for Contract Term (which should be clearly stated within the Solicitation):

Procurement of bus rolling stock or bus replacement parts? <sup>4</sup>      Yes       No

Procurement of rail rolling stock or rail replacement parts? <sup>4</sup>      Yes       No

<sup>4</sup> Rolling stock and replacement part contracts are limited by law under 49 USC 5325(e)(1) to a full term of five years for bus procurements and a full term of seven years for rail procurements.

**CONTRACT TYPE**  
FTA Circular 4220.1G ch. III, § 3(d)(1)(b); 2 CFR 200.318(i)

Contract Type	Selection
<input type="checkbox"/> Fixed Price Contract	<p>This contract type is most advantageous because it includes a price that remains fixed irrespective of the contractor's cost experience in performing the contract.</p> <p align="center">Incentives Included?                      Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p align="center">Economic Adjustment Included?      Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p align="center">Task Orders to Be Used?                Yes <input type="checkbox"/>      No <input type="checkbox"/></p>
<input type="checkbox"/> Cost Reimbursement Contract With or Without Fixed Fee	<p>This contract type is most advantageous because it is preferable to permit a contractor to be reimbursed for allowable costs in accordance with the terms provided in the contract.</p> <p align="center">Incentives Included?                      Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p align="center">Fixed Fee Included (Restricted <sup>5</sup>)?    Yes <input type="checkbox"/>      No <input type="checkbox"/></p> <p align="center">Task Orders to Be Used?                Yes <input type="checkbox"/>      No <input type="checkbox"/></p>
<input type="checkbox"/> Time and Materials Contract (Restricted <sup>6</sup> )	<p>This contract type is most advantageous when no other type of contract is suitable and the contract will identify a total contract amount (ceiling price) that the contractor may not exceed.</p>
<input type="checkbox"/> Other Contract Type <sup>7</sup> :	<p>Explain why the type is most advantageous and why this type is allowable:</p>

Provide Solicitation Section Reference for Contract Type (which should be clearly stated within the Solicitation):

<sup>5</sup> FTA discourages the use of cost (reimbursement) plus fixed fee (CPFF) except when the “uncertainties involved in contract performance do not permit costs to be estimated with sufficient accuracy to use any type of fixed-price contract.” See FTA Advisory Circular 4220.1G ch. VI, § 2(g)(1)(b).

<sup>6</sup> FTA prohibit use of this contract type unless no other contract type is suitable and the contract specifies a ceiling price that the contractor may not exceed expect at its own risk.

<sup>7</sup> FTA prohibits the following contract types: cost plus a percentage of costs and percentage of construction costs. See FTA Advisory Circular 4220.1G ch. VI, § 2(g)(2)(1) & (2).

**EVALUATION PLANNING**

FTA Circular 4220.1G ch. VI, §§ 2(f); 5(b); 2(j); 2(k)

Please note that all boxes must be completed in this section.	Yes	If Yes, Provide RFQ Section Reference	No
<b>Evaluation Factors:</b> Does the RFQ identify all of the evaluation factors (i.e. price only, price and qualifications, etc.)?	<input type="checkbox"/>		<input type="checkbox"/>
<b>Evaluation of Options:</b> If the RFQ includes evaluation of optional quantities or periods to be exercised, are such options expressed in the RFQ (and its price sheet)?	<input type="checkbox"/>		<input type="checkbox"/>
<b>Award to Other Than the Low Bidder/Offeror:</b> If the subrecipient intends to reserve its right to award to other than the low bidder/offeror, is that information included in the RFQ?	<input type="checkbox"/>		<input type="checkbox"/>
<b>Rejection of All Bids or Offers:</b> If the subrecipient intends to reserve its right to reject all bids/offers, is that reserved right included in the RFQ?	<input type="checkbox"/>		<input type="checkbox"/>

**SUBRECIPIENT ACKNOWLEDGEMENTS AND AUTHORIZED SIGNATURES**

By signing below, Subrecipient (procuring entity) verifies that all submitted pre-solicitation 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