

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

**SUBRECIPIENT PRE-AWARD FORM**  
**COMPETITIVE PROCUREMENTS**

**FORM INSTRUCTIONS**

The City of Phoenix (“City”), acting by and through its Public Transit Department (“PTD”), is the designated recipient of Federal Transit Administration (“FTA”) funds. 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 the terms of the City’s underlying grant or cooperative agreement.

The purpose of this form is to standardize the third-party procurement review process across all subrecipients and procurement methods. Please complete the form, then email all of the required documentation to [PTDcompliance@phoenix.gov](mailto:PTDcompliance@phoenix.gov)

The standard processing time is ten business days to complete the initial review. Failure to complete the form in its entirety and provide all of the information required will result in delays for the City’s review.

<b>Pre-Award Review Sequence</b>	<b>Responsible Party</b>
1. Prior to contract award, Subrecipient will send an email to <a href="mailto:PTDcompliance@phoenix.gov">PTDcompliance@phoenix.gov</a> and attach this completed form with all required documentation in one package. Do not copy PTD employees on this email.	Subrecipient
2. Within ten business days of receipt, PTD will conduct a review of the pre-award documentation and supporting documents and provide feedback.	PTD
3. PTD will provide written approval to proceed with contract award.	PTD
<b>Reminder:</b> Promptly after contract execution, Subrecipient will send an email to <a href="mailto:PTDcompliance@phoenix.gov">PTDcompliance@phoenix.gov</a> and attach the fully executed contract document.	

**COMPETITIVE PROCUREMENTS**  
**Subrecipient Pre-Award Form**

Subrecipient Name:	Primary Contact Name:
Primary Contact Phone:	Primary Contact Email:
Solicitation Number:	Solicitation Title:
Procurement Type: RFP <input type="checkbox"/> IFB <input type="checkbox"/> Other <input type="checkbox"/> _____	Initial Contract Term: _____ years Option Term: _____ years (if applicable)
Aggregate Contract Value: \$	
Title 34 Public Improvement (design/construction)? Yes <input type="checkbox"/> No <input type="checkbox"/>	
FAIN Number:	Federal Funding Percentage:
Federal Grant Type:	Federal Grant Funding Amount:\$

<b>Pre-Award Required Documentation</b>	<b>Check</b>
1. Cost/Price Analysis	<input type="checkbox"/>
2. Adverse Responsiveness/Responsibility Determinations (if applicable)	<input type="checkbox"/>
3. Evaluation Summary Form and Scoring Attachment	<input type="checkbox"/>
4. Signed Conflict-of-Interest Forms From Evaluation Panel Members	<input type="checkbox"/>
5. Record of Interviews with Offerors (if applicable)	<input type="checkbox"/>
6. Record of Negotiations with Offerors (if applicable)	<input type="checkbox"/>
7. Final solicitation with any addenda	<input type="checkbox"/>
8. Draft contract document(s) to be executed <ul style="list-style-type: none"> <li>▪ FTA Clauses/Certifications</li> <li>▪ Exhibits/Attachments</li> </ul>	<input type="checkbox"/>
9. Tracking Spreadsheet of Contract Milestone Dates	<input type="checkbox"/>

## EVALUATION SUMMARY FORM

The purpose of this form is to standardize the process of requesting action from the City of Phoenix Public Transit Department's Compliance Team for Pre-Award Subrecipient Procurement Reviews. This evaluation summary form provides the preliminary information needed to guide the subrecipient toward FTA compliance. Please follow the instructions and complete the form. The completed and fully-signed form, and any supplemental documents, must be emailed to [ptdcompliance@phoenix.gov](mailto:ptdcompliance@phoenix.gov).

### PROCUREMENT PROCESS

Date Solicitation Publicly Posted:

Where Solicitation Posted:

Date Pre-Offer Conference Held:

Date/Time Offers Due:

### PRELIMINARY REVIEW OF OFFERS

1. Identify all offerors:

2. Identify offerors who submitted late, withdrawn, or modified offers:

3. E01 forms reviewed by City of Phoenix, Public Transit Department, DBE Compliance staff for responsiveness to solicitation requirements:  yes  no  not applicable

4. Identify offerors rejected by subrecipient for nonresponsiveness/nonresponsibility and the causes for their rejection, attaching any adverse determinations to this form:

### EVALUATION PROCESS

1. Date(s) Panel Convened:

2. Collected and reviewed evaluation panel member statements on conflicts of interest:  yes  no

3. Memorandum of Negotiations completed to describe procurement history, to include at a minimum: (1) a statement of the purpose of the procurement; (2) a history of the procurement, including references to important documents with their dates and identifying numbers (these would include: advertisements of the procurement, RFP, technical evaluation of proposals, etc.); (3) the names and positions of each person who participated in the negotiations; (4) an explanation of how the final price was negotiated, which needs to reference the Pre-Negotiation Plan price objective (if such a Plan was developed), the independent cost estimate (which should always be developed), and any advisory audits that may have been conducted; and (5) a description of important contract terms and conditions, such as insurance requirements, DBE participation, Buy America provisions, etc.  
 yes  no

4. Please submit as an attachment the scoring of the offers in the following format:

<b>Evaluation Criteria</b>	<b>Offeror Name</b>	<b>Offeror Name</b>	<b>Offeror Name</b>	<b>Offeror Name</b>
Criterion 1 description [with points possible]	[score]	[score]	[score]	[score]
Criterion 2 description [with points possible]	[score]	[score]	[score]	[score]
Criterion 3 description [with points possible]	[score]	[score]	[score]	[score]
Criterion 4 description [with points possible]	[score]	[score]	[score]	[score]
Criterion 5 description [with points possible]	[score]	[score]	[score]	[score]
Price [with possible points]	[score]	[score]	[score]	[score]
<b>Total Score</b>				

**AWARD RECOMMENDATION**

Recommended Contract Awardee(s):	Contract Term:
Optional Extensions:	Contract Value(s):

**SUBRECIPIENT ACKNOWLEDGEMENTS AND AUTHORIZED SIGNATURES**

The Procurement Officer verifies that the contract is to be awarded to the most highly-rated responsible offeror whose responsive offer conforms in all material respects to the requirements and criteria set forth in the solicitation:  yes  no

The Procurement Officer verifies that the awarded contract price is fair and reasonable based on a conducted cost/price analysis:  yes  no

By signing below, Subrecipient verifies that the foregoing information is true and correct.

_____ Procurement Officer PRINTED NAME	_____ Procurement Officer SIGNATURE	_____ Date Signed
_____ Procurement Director PRINTED NAME	_____ Procurement Director SIGNATURE	_____ Date Signed