

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

**PRE-AWARD SUBRECIPIENT COMPETITIVE PROCUREMENT REVIEW FORM**  
**FTA-FUNDED PROCUREMENTS**

(For Procurements Valued at \$250k+ or Subrecipient Procurement Code Threshold Amount, Whichever is Less)

**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. 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.

The purpose of this form is to standardize the competitive pre-award third-party procurement review process across all subrecipients. Before publishing the contract award recommendation, 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.

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. Prior to publishing its recommendation of contract award, 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-award documentation and supporting documents and either provide approval or rejection with comments in writing at the end of this form.	PTD
<p><b>Reminders:</b></p> <ul style="list-style-type: none"> <li>▪ 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.</li> <li>▪ Promptly after contract execution, Subrecipient must email the fully executed contract document to <a href="mailto:PTDcompliance@phoenix.gov">PTDcompliance@phoenix.gov</a>.</li> <li>▪ Upon receipt of initial or annual Small Business Participation Plans (SBPP) from the awarded contractor(s), Subrecipient must promptly email each plan to <a href="mailto:PTDcompliance@phoenix.gov">PTDcompliance@phoenix.gov</a> for review and approval.</li> </ul>	

## Pre-Award Subrecipient Competitive Procurement Review Form

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

Aggregate Contract Value(s) (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 \(dot.gov\)](https://www.fta.dot.gov/transit-vehicle-manufacturers-list).

yes       no       not applicable

PRE-AWARD DOCUMENT SUBMITTALS	CHECK
1. Cost or Price Analysis (as applicable), including determination that price is fair and reasonable - signed and dated by Subrecipient	<input type="checkbox"/>
2. System for Award Management ("SAM") Verification ( <a href="https://sam.gov">sam.gov</a> )	<input type="checkbox"/>
3. Adverse Responsiveness/Responsibility Determinations (if applicable) – signed and dated by Subrecipient	<input type="checkbox"/>
4. Evaluation Summary and Scoring Attachment(s), including breakdown and totals of all scored evaluation criteria (as applicable) for each Offeror (e.g., scoring/ranking of the technical proposal, pricing, qualifications, etc.)	<input type="checkbox"/>
5. Conflict-of-Interest Forms From Evaluation Panel Members – signed and dated by Subrecipient	<input type="checkbox"/>
6. Record of Interviews with Offerors (if applicable) – signed and dated by Subrecipient	<input type="checkbox"/>

7. Record of Negotiations with Offerors (if applicable), including purpose, history, participants, pre-negotiation objectives, and explanation of how the final price, terms, and all other outcomes were negotiated, as supported by the Independent Cost Estimate and any advisory audits – signed and dated by Subrecipient	<input type="checkbox"/>
8. Best and Final Offer(s) (BAFO), including the Request for BAFO(s) (if applicable)	<input type="checkbox"/>
9. Protest Filings/Responses and Record of Protest Outcome(s), signed and dated by Subrecipient	<input type="checkbox"/>
10. Determination of Adequate Competition (if only one offer received) – signed and dated by Subrecipient <sup>1</sup>	<input type="checkbox"/>
11. Final Solicitation with any Addenda	<input type="checkbox"/>
12. Draft Contract Document(s) for Execution, including the following, signed and dated by Offeror(s) (as applicable):  <input type="checkbox"/> FTA Clauses and Certifications in Draft Contract  <input type="checkbox"/> DBE Clauses and EO Forms/Exhibits  <input type="checkbox"/> Other Exhibits/Attachments	<input type="checkbox"/>
13. Subrecipient's Pre-Award Rolling Stock Certifications (not to be confused with Post-Delivery Rolling Stock Certifications), 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"/>

### PROCUREMENT PROCESS

Date Solicitation Publicly Posted:	Where Solicitation Posted:
Date Pre-Offer Conference Held:	Date/Time Offers Due:
Number of Offers Received:	Number of Responsive/Responsible Offers:

**PRELIMINARY REVIEW OF OFFERS**  
**FTA Circular 4220.1G ch. IV, § 2**

1. Identify all offerors:

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

3. E0 forms and supporting docs reviewed by PTD Compliance for responsiveness to solicitation requirements:

yes     no

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

**EVALUATION PROCESS**  
**FTA Circular 4220.1G ch. VI, § 6**

1. Date(s) Panel Convened:

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

3. For a Solicitation receiving **only one offer** (if applicable<sup>1</sup>):

a. Did you conduct a review of the solicitation for undue restrictiveness?     Yes     No

b. Can changes to the solicitation be made to encourage greater competition?  Yes     No

c. Did you confirm that specifications were not too restrictive or written for a single source?

Yes     No

d. Did unrelated factors beyond subrecipient's control cause potential offerors not to submit an offer?

Yes     No

In addition to the above, please provide a determination that explains how competition was adequate, which includes an assessment of the specifications for undue restrictiveness and any other factors that may have impacted competition.

Determination attached:

Yes     No

<sup>1</sup> Upon receiving a single offer in response to the solicitation, FTA Circular 4220.1G ch. VI, section 3(h)(1)(d) requires that Subrecipient must determine if competition was adequate. This requires Subrecipient to prepare a determination that assesses the specifications to determine if they are unduly restrictive or if changes can be made to encourage submission of more bids or proposals.

**AWARD RECOMMENDATION**  
**FTA Circular 4220.1G ch. VI, § 7**

Recommended Contract Awardee(s):

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

**SUBRECIPIENT ACKNOWLEDGEMENTS AND AUTHORIZED SIGNATURES**

The Procurement Officer verifies that the contract is to be awarded to the most highly-ranked 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 (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