

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

**SUBRECIPIENT SIMPLIFIED ACQUISITION PRE-AWARD FORM**  
**FTA-FUNDED PROCUREMENTS**

(For Purchases Valued Above \$10k But Less Than \$250k  
or Subrecipient Procurement Code Threshold Amount, Whichever is Less)

**FORM INSTRUCTIONS**

**This form is for purchases valued above the federal micropurchase amount of \$10k and below the federal simplified acquisition threshold of \$250k, OR within the Subrecipient's Procurement Code threshold amount for informal small dollar (simplified acquisition) purchases, whichever is less.**

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 Clauses/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-award third-party procurement review process across all subrecipients. 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](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 \$10,000** (the micropurchase threshold) **but no more than \$250,000** (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. If the Subrecipient's simplified acquisition threshold is higher than the federal threshold, then the Subrecipient is constrained to comply with federal threshold 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 **\$250,000** 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 issuing a purchase order or executing a contract, 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> . This submission must include the completed PTD EO1/EO2/EO3 forms from the selected Contractor(s).	Subrecipient

<p>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.</p>	<p>PTD</p>
<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>	

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

Subrecipient Name:	Primary Contact Name:
--------------------	-----------------------

Primary Contact Phone:	Primary Contact Email:
------------------------	------------------------

Simplified Acquisition Description:

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

Aggregate Value (including optional extensions): \$

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

FAIN Number:	Federal Funding Percentage:
--------------	-----------------------------

Federal Grant Type:	Federal Grant Funding Amount:
---------------------	-------------------------------

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

If yes, what are the A&E-Type Services?

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

<b>PRE-AWARD DOCUMENT SUBMITTALS</b>	<b>CHECK</b>
1. Oral or written price quotations from an adequate number of qualified sources (at least two documented quotes)	<input type="checkbox"/>
2. A written procurement history must be maintained for small purchases, commensurate with the size and complexity of the procurement	<input type="checkbox"/>

3. Determination of Fair and Reasonable Price - signed and dated by Subrecipient	<input type="checkbox"/>
4. System for Award Management ("SAM") Verification ( <a href="http://sam.gov">sam.gov</a> )	<input type="checkbox"/>
5. Adverse Responsiveness/Responsibility Determinations (if applicable) – signed and dated by Subrecipient	<input type="checkbox"/>
6. Protest Filings/Responses and Record of Protest Outcome(s) (if applicable) - signed and dated by Subrecipient	<input type="checkbox"/>
7. 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 Clauses and EO Forms/Exhibits <input type="checkbox"/> Other Exhibits/Attachments	<input type="checkbox"/>
9. 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"/>

**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