**Procurement Type Selection & Recordkeeping**

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| **Grantee:** | Click or tap here to enter text. |
| **Completed by:** | Click or tap here to enter text. |
| **Item to Procure:** | Click or tap here to enter text. |
| **Date Completed:** | Click or tap to enter a date. |

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| **Planning and Solicitation Preparation – Part 1**  *Completed and submitted prior to requesting price quotes or launching publicity plan* |

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| Complete the “Current Grantee Procurement Policy Thresholds” table with the thresholds from the recipient’s procurement policy and the “Pre-Solicitation Independent Estimate” fields below. This will aid in documentation of the reasons for the selection of procurement method, contract type selection, etc. | | | |
| **Procurement Methods** | **Current Regulatory Thresholds** | **Current Grantee Procurement Policy Thresholds**  (4220.1F.III.3.a.(6)) | |
| **From** | **To** |
| Micro Purchase | $0+ - $10,000 | $ | $ |
| Small Purchase | $10,000+ - $250,000 | $ | $ |
| Formal Purchase | $250,000+ | $ | $ |
| Micro purchase threshold currently at $10,000. Simplified Acquisition Threshold currently at $250,000. | | | |

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| **Pre-Solicitation Independent Estimate:**  (From worksheet) | **$** |

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| **Adequate Responsible Offerors** | | |
|  | **True** | **False** |
| For a competitive procurement there must be two or more responsible offerors willing and able to complete effectively for the business, or the result may be a sole source procurement or a procurement that requires a single source analysis due to only one adequate offeror result.  **Does it appear that there are at least two potential offerors for the procurement?**  (4220.1F.VI.3.c.(1)(b)) (4220.1F.VI.3.d.(1)(b)) |  |  |

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| **Method of Procurement** | |
| Based on the factors such as product or services specifications, procurement size, and level of known information about the products or services, etc., select the procurement method to be used. Procurements that are estimated to be in a lower range threshold (Micro-purchase or Small Purchase range) are not prohibited from using procedures that are required of procurements in a higher range threshold (Small Purchase or Formal Purchase range). Procurement method selected must be based on grantee written policy threshold amounts and cannot use amounts greater than regulatory threshold amounts. | |
|  | Micro-Purchase   * Grantee Micro Purchase procurement estimate range * Only Micro Purchase worksheet |
|  | Small Purchase   * Grantee Small Purchase procurement estimate range |
|  | Formal Purchase: Sealed Bid (Invitation to Bid – ITB)   * Complete, adequate, and realistic specification description is available * Selection based on lowest price * Firm fixed price contract (lump sum or unit price) is awarded |
|  | Formal Purchase: Proposal (Request for Proposal – RFP)   * Written method for conducting technical evaluations and making selections * Evaluation factors and their relative importance identified * Selection based on the most advantageous price and other factors * Either a fixed price or cost reimbursement type contract is awarded |
|  | Formal Purchase: Two Step Procedures |
|  | Formal Purchase: Architectural & Engineering Services Procurement   * Architectural & Engineering services * Qualifications based procurement procedures * Price is not used as a selection factor * Required for services that are directly in support of, directly connected to, directly related to, or lead to construction, alteration, or repair of real property, e.g., program management, construction management, feasibility studies, preliminary engineering, design, architectural, engineering, surveying, mapping, and related services * Prohibited for actual construction, alteration, or repair to real property |
|  | Statewide Contract Purchase   * Procurement from Statewide Contract |
|  | Non-Competitive Procurement (Sole Source)   * Only when Small, Sealed Bid, or Proposal procedures inappropriate * Sole responsible source and no other supplier will satisfy requirements * Single Bid Analysis results in Inadequate Competition * Unusual and Compelling Urgency |

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| **Rationale for the Selection of the Method of Procurement** |
| The entity must maintain records sufficient to detail the history of procurement. These records will include, but are not necessarily limited to, the following: Rationale for the method of procurement, ... Note any reasons for procurement method selection, as indicated above and for any other reasons.  (4220.1F.III.3.d.(1)(a)) (2 CFR 200.318(i)) |
| Click or tap here to enter text. |

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| **Contract Type** | |
| Based on factors such as ease of transaction, size of procurement, etc. select the contract type used with the selected offeror(s). | |
|  | Purchase Order with Clauses Attached   * Can be used for product or service * Ease of use for simple specifications |
|  | Fixed Price Contract   * Units or lump sum – price remains fixed regardless of performance * Certainty as to total cost of project * Usual contract type for ITB Procurements. Can also be used for RFPs. |
|  | Cost Reimbursement Contract with or without Fixed Fee   * Reimbursement of allowable costs. * Less certainty as to total cost of project as in fixed price contract * Consulting or service type contracts * Cannot use a cost reimbursement contract with percentage of costs (not fixed)   (4220.1f VI.2.c.(2)(a)&(b)) |
|  | Time and Materials Contract (restricted use)   * After determining other contract types are not suitable. * Must include a ceiling price that the contractor may not exceed except at its own risk |
|  | Other Contract Type  Describe (Discuss the type and the allowability to use the type): |
| Click or tap here to enter text. |

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| **Rationale for the Selection of the Contract Type** |
| The entity must maintain records sufficient to detail the history of procurement. These records will include, but are not necessarily limited to, the following: … selection of contract type, ... Note any reasons for the selection of contract type, as indicated above and for any other reasons.  (4220.1F.III.3.d.(1)(b)) (2 CFR 200.318(i))  Discuss the selection of contract type and any further details of contract structure. |
| Click or tap here to enter text. |

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| **Evaluation Planning**  (4220.1F.VI.2.b.) (4220.1F.VI.7) (4220.1F.VI.2.f.) (4220.1F.VI.2.g.)  Primarily an issue for formal purchase solicitations. The solicitation must identify all factors to be used in evaluating bids or proposals and the recipient may not modify the solicitation factors after bids or proposals have been submitted without re-opening the solicitation. If the recipient intends to reserve its right to award to other than the low bidder or offeror or to reject all bids or offers, that must be stated in the solicitation. If the recipient intends to exercise option quantities or periods after the award is made, then the options must be included in the evaluation. | | | |
|  | **N/A** | **True** | **False** |
| **Evaluation Factors**  Does the solicitation identify all the factors to be used in evaluation?  (4220.1F.VI.2.b.) |  |  |  |
| **Evaluation of Options**  If option quantities or periods are planned to be exercised are the options included in the solicitation evaluation plans, including the development of the independent estimate?  (4220.1F.VI.7) |  |  |  |
| **Award to Other Than the Low Bidder**  If the recipient intends to reserve its right to award to other than the lower bidder or offeror is that information included in the solicitation document?  (4220.1F.VI. 2.f.) |  |  |  |
| **Rejection of All Bids or Offers**  If the recipient intends to reserve its right to reject all bids or offers is that information included in the solicitation document?  (4220.1F.VI. 2.f.) |  |  |  |

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| **PART 1 – End Check Point**  *Completed and submitted prior to requesting price quotes or launching publicity plan* | | |
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| Before requesting price or rate quotations or advertising the procurement, submit the planning and solicitation documents to TDOT for review and to receive the letter to proceed with request for price quotes or publicity. After receiving letter to proceed, request price or rate quotations or start solicitation publicity plan. Prior to making an award, see Part 2 for next steps. | | |
|  | **True** | **False** |
| Before requesting price or rate quotations or advertising the procurement, will the planning and solicitation documents be submitted to TDOT for review and to issue a letter to proceed with the price quotes or publicity? |  |  |

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| **Post-Solicitation, Pre-Award – Part 2**  *Completed and submitted prior to making award* |

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| **Rationale for Contractor Selection or Rejection** | |
| A recipient must state its reasons for contractor selection or rejection.  (4220.1F.III.3.d.(c)) (2 CFR 200.318(i))  Note below the selected offeror(s) and the rational for their selection, such as lowest offer, best value to the recipient, etc. Also note below any offeror(s) that were rejected, such as the submission was not responsive and why or the offeror did not show to be responsible and why, etc. | |
| **Selected Offeror** | |
| **Offeror** | **Rationale for Selection** |
| Click or tap here to enter text. | Click or tap here to enter text. |
| **Rejected Offerors** | |
| **Offeror** | **Rationale for Rejection** |
| Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. |

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| **Rationale for the Basis of the Contract Price** |
| Each recipient must evaluate and state its justification for the contract cost or price.  (4220.1F.III.3.d(1)(d)) (2 CFR 200.318(i))  Discuss the basis of the contract price. (e.g. Winning bid which is in alignment with independent estimate.) |
| Click or tap here to enter text. |

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| **Evaluation**  (4220.1F.VI.2.b.) (4220.1F.VI.7) (4220.1F.VI.2.f.) (4220.1F.VI.2.g.)  Primarily an issue for formal purchase solicitations. The solicitation must identify all factors to be used in evaluating bids or proposals and the recipient may not modify the solicitation factors after bids or proposals have been submitted without re-opening the solicitation. If the recipient intends to reserve its right to award to other than the low bidder or offeror or to reject all bids or offers, that must be stated in the solicitation. If the recipient intends to exercise option quantities or periods after the award is made, then the options must be included in the evaluation. | | | |
|  | **N/A** | **True** | **False** |
| **Evaluation Factors**  Did the solicitation evaluation to select the vendor(s) for award use only the evaluation factors identified in the advertised solicitation?  (4220.1F.VI.2.b.) |  |  |  |
| **Evaluation of Options**  If option quantities or periods are planned to be exercised were the option quantities or periods included in the solicitation evaluation and included in the price or cost analysis, to select the vendor(s) for award?  (4220.1F.VI.7) |  |  |  |

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| **PART 2 – End Check Point**  *Completed and submitted prior to making award* | | |
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| Prior to issuing a purchase order or executing a contract with selected vendor(s), submit the evaluation and award documents to TDOT for review and to receive the letter to proceed with award. After receiving letter to proceed, a purchase order can be issued, or contract can be executed with selected vendor(s). | | |
|  | **True** | **False** |
| Before issuing a purchase order or executing a contract, will the evaluation and award documents be submitted to TDOT for review and to issue a letter to proceed with the award (issue purchase order or execute contract)? |  |  |