

## **Procurement Management Master Checklist - *Competitive Solicitation Required***

*The Checklist below is intended to offer guidance through a procurement process when utilizing federal, state or local funding; it does not constitute full compliance. State and local procurement guidelines may supersede federal and should be reviewed for compliance.*

Grantee: \_\_\_\_\_ Project ID: \_\_\_\_\_ Date: \_\_/\_\_/\_\_

Project: \_\_\_\_\_

### **Pre-Procurement Preparation:**

- ☐ Have In-Place, Written Procurement Procedures (Required)
- ☐ Familiarized with "Procurement System Review" (PSR)
- ☐ Written Record of Procurement file created to detail the history of the procurement
- ☐ Check ProcurementPRO for regular updates to Federal Clauses and Certifications.

### **TAB 3 - Project Identification:**

- ☐ Project planning and identification
- ☐ Securing funds via application process
- ☐ Locally executing a grant
- ☐ Selecting the type of procurement appropriate for the project
- ☐ Written notice of activity approval to proceed

### **TAB 4 - Solicitation Development:**

- ☐ If from a State or Local Government Purchasing Schedule, check here  
*All FTA and federal requirements apply when utilizing federal funds. (Utilize the checklists below as guidance in assuring such compliance. (For further guidance see Federal Circular 4220.1, F Chapter V).*
- ☐ Continue Below
- ☐ Independent Cost Estimate
- ☐ Solicitation and specification development
- ☐ Written Standards of Conduct and Conflicts of Interest
- ☐ Protest and Appeals Process
- ☐ Disadvantaged Business Enterprise Requirements (DBE)
- ☐ Assignability Rights
- ☐ Contract Term Limitations (e.g.: 5yr limit for Rolling Stock contracts)
- ☐ Appropriate supporting documentation
- ☐ Attachment of required federal clauses and certifications including Buy America if applicable
- ☐ Written notice of activity approval given to proceed

### **TAB 5 - Solicitation and Bid Opening:**

- ☐ Advertisement of the solicitation without geographic preference, (except as otherwise stated).
- ☐ Approved Equals/Request for Clarifications process
- ☐ Pre-Bid Meeting
- ☐ Proposal(s) opening and recording (if Sole Source, include justification)
- ☐ Review of all proposals in accordance with selection criteria
- ☐ Evaluation and Selection Criteria of all Proposals for responsiveness
- ☐ Reviewed the Excluded Parties List located at: <https://sam.gov/>
- ☐ Tabulation of Proposal documents including selection criteria and responsibility determination
- ☐ Cost or Price Analysis
- ☐ Award Selection and Justification
- ☐ Draft copy of proposed contract (justification if IFB and other than low bid)
- ☐ Written notice of activity approval given to proceed

#### **TAB 6 - Award and Contract Administration:**

- ☐ Contract Draft (Review Version)
- ☐ Award contract (adhering to applicable contract term limitations)
- ☐ Finalize Contract w/appropriate clauses and certifications
- ☐ Secure Bonds and Insurance as required
- ☐ Develop milestones and anticipated closeout procedures
- ☐ Collect all documentation for written notice of activity approval to proceed
- ☐ Order to Proceed (changes will require approval before project can proceed further)

#### **TAB 7 - Project Progress Reports:**

- ☐ Document progress and challenges of project
- ☐ Document "Change Orders" and associated "Cost or Price Analysis"
- ☐ Document Progress Payments if applicable
- ☐ Modify and report to oversight agency the changes to milestones and anticipated closeout
- ☐ All documentation sent to oversight agency for the written notice of approval

#### **TAB 8 - Project Closeout and Reimbursement:**

- ☐ Give notification approximately 30 days in advance of pending project completion
- ☐ Request documentation to advance to reimbursement process
- ☐ Finalize Milestones
- ☐ Begin Physical and Administrative close out proceedings
- ☐ Review final project procurement history file for completeness and file away
- ☐ Request Approval to Close-Out the Project

Procurement Complete \_\_\_\_\_ (Reviewer) Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

### **FEDERAL USEFUL LINKS**

#### FEDERAL TRANSIT ADMINISTRATION

<http://www.fta.dot.gov>

#### TITLE 49 UNITED STATES CODE, CHAPTER 53

<https://www.law.cornell.edu/uscode/text/49/subtitle-III/chapter-53>

#### THIRD PARTY CONTRACTING GUIDANCE (4220.1F)

<https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/third-party-contracting-guidance>

#### BEST PRACTICES PROCUREMENT MANUAL (BPPM)

<https://www.transit.dot.gov/funding/procurement/third-party-procurement/best-practices-procurement-manual>

#### PROCUREMENT SYSTEM REVIEW

<https://www.transit.dot.gov/funding/procurement/third-party-procurement/guide-procurement-system-reviews>

#### FEDERAL ACQUISITION REGULATIONS

<https://www.gsa.gov/policy-regulations/regulations/federal-acquisition-regulation-far>

#### FTA CHARTER REGISTRATION

<https://www.transit.dot.gov/regulations-and-guidance/access-charter-bus-service/charter-bus-service-registration>

#### EXCLUDED PARTIES LIST

<https://sam.gov/>

#### BROOKS ACT

<https://www.law.cornell.edu/uscode/text/40/subtitle-I/chapter-11>

#### FREQUENTLY ASKED QUESTIONS (FAQ)

<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/frequently-asked-questions>

#### FTA PRICING GUIDE

<https://www.transit.dot.gov/funding/procurement/third-party-procurement/pricing-guide-fta-grantees>

#### NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)

<https://www.epa.gov/>

#### U.S. DEPARTMENT OF TRANSPORTATION

<http://www.dot.gov/>