

PROCUREMENT DOCUMENT REVIEW PROCEDURES

RFP & BID REVIEW

Local procurement is a process whereby subrecipients develop and complete an open, fair, and competitive bid solicitation process. Request for Proposals/full solicitation (RFP) and Invitation for Bid/sealed bidding (IFB) are the primary types of local procurement.

California Department of Transportation (Caltrans) Division of Mass Transportation (DMT) is responsible for ensuring that all procurement requests funded with Federal Transit Administration (FTA) dollars comply with federal statutes and regulations. Subrecipient agencies of FTA funding must demonstrate to DMT that all procurement and third-party contracting activities comply with:

- 49 CFR Part 18 – Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
- 49 CFR Part 19 – Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations
- FTA Circular 4420.1F – Third Party Contracting Guidance
- FTA Best Practices Procurement Manual (BPPM)

Procedures

The following procedures apply when requesting procurement or contract document review services:

1. Agency completes Sections 1 & 2 of the Procurement Document Review Form prior to RFP/IFB submission to DMT. Submission should be electronic as the form will be updated along the approval process.
2. Agency completes and includes with their submission the FTA required clauses matrix prior to submitting an RFP or IFB for review to DMT.
 - To complete the clause matrix Agencies only need to supply the contract page number (and section, if included in an appendix) for the corresponding required contract clause. This is to speed the review of the RFP/IFB.
 - The application of these requirements and sample contract language is available on the FTA's Best Practices Procurement Manual (BPPM) website. The numbers on this matrix coincide with the BPPM, Appendix A.1.
http://www.fta.dot.gov/grants/13054_6037.html
3. Additional components need to be submitted along with these forms by an Agency for DMT to be able to complete the review of an RFP/IFB. Please include the following documents with your electronic submission to the DMT Program Liaison:
 - The draft RFP/IFB
 - Independent Cost Estimate (ICE)
 - Draft agreement to be signed between the Agency and the selected bidder

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4. If the Agency is submitting a 3rd Party Contract for review please include the following documents with your electronic submission to the DMT Program Liaison:
 - Original bid solicitation & all addendums
 - Bid summary/analysis
 - Staff report (if available)
 - Final or draft agreement to be signed between the Agency and the selected bidder
5. DMT Grant Program Liaison Staff will route the Agency's RFP/IFB to the Federal Procurement Management Branch for review.
6. The Procurement Branch will reach out to the Agency confirming their receipt of the RFP/IBF. All aspects of the procurement review will be handled by the Procurement Branch.
7. Once the initial review is complete a formal letter and email will be sent to the Agency detailing any required and/or suggested changes.
8. After the RFP/IFB is approved by the Procurement Branch the Agency and DMT Grant Program Liaison will be notified with a formal letter and email authorizing the RFP/IFB public release and/or contract award.

PROCUREMENT DOCUMENT REVIEW FORM

1. General Information (Agency Completes)

Date received from Agency: _____ Grant Program: _____

Program Liaison: _____

Grant Amount: _____ SA Number: _____

Project Description:

ITS Project: <input type="checkbox"/> Yes <input type="checkbox"/> No	Regional ITS Architecture Compliant: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<input type="checkbox"/> ITS compliance form completed & on file	

Sole Source: <input type="checkbox"/> Yes <input type="checkbox"/> No	Sole Source Justification Form completed: <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
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2. Subrecipient Information (Agency Completes)

Agency Name: _____

Contact: _____ Phone: _____ Ext.: _____

Address: _____ email: _____

City: _____ Zip Code: _____ Caltrans District: _____ County: _____

Sections 3-6 Caltrans Internal Use Only

3a. Bid Review

Type of Bid: _____

Completed FTA Clause Matrix Attached: Yes No

Solicitation Document Attached: Yes No

Bidders List Attached: Yes No

Independent Cost Estimate Attached: Yes No

Schedule:
Bid Release Date: _____

Bid/Scoring Summary Attached: Yes No

Selected Contractor:

Selected Contractor Debarred: Yes No

Draft or Final Contract Attached: Yes No

Contract Award Date: _____

Bid Approved: _____ Award Approved: _____

3b. 3rd Party Contract Review

Type of Contract: Operations Maintenance Capital

Other: _____

Bid Solicitation Attached: Yes No

Bid Summary Attached: Yes No

Staff Report Attached: Yes No

Contract Terms:
Contract Amount: _____

Base Period: _____

Options: _____

Contract Compliant: Yes No

Date Approved: _____

4. Procurement Review

Procurement Reviewer: _____ Initial Review Date: _____

5. Program Comments

6. Procurement Comments

	Federal Required Model Contract Clauses	Contract Page	Rolling Stock	Operating	Const	Consultant Services	Research	Goods	Prof Svc
1	Fly America - Required for air transportation/travel.		X	X	X	X	X	X	X
2	Buy America		>\$100,000		>\$100,000			>\$100,000	
3	Charter Bus and School Bus			X					
4	Cargo Preference - Required for transport of materials by ocean vessels.		X		X			X	
5	Seismic Safety				New Bldg				
6	Energy Conservation		X	X	X	X	X	X	X
7	Clean Water		>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000
8	Bus Testing Certification		X	Turnkey					
9	Pre-Award and Post Delivery Audit & Certification		X	Turnkey					
10	Lobbying		>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000
11	Access to Records and Reports		X	X	X	X	X	X	X
12	Federal Changes		X	X	X	X	X	X	X
13	Bonding				>\$100,000				
14	Clean Air		>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000
15	Recycled Products			* >\$10,000	* >\$10,000			* >\$10,000	
16a	Davis-Bacon Act				>\$2,000				
16b	Copeland Anti-Kickback Act				X				
17	Contract Work Hours and Safety Standards Act		>\$100,000	>\$100,000	>\$100,000				
18	[FTA Reserved]								
19	No Government Obligation to Third Parties		X	X	X	X	X	X	X
20	Program Fraud and False or Fraudulent Statements and Related Acts		X	X	X	X	X	X	X
21	Termination		>\$10,000	>\$10,000	>\$10,000	>\$10,000	>\$10,000	>\$10,000	>\$10,000
22	Government-wide Debarment and Suspension (Nonprocurement)		>\$25,000	>\$25,000	>\$25,000	>\$25,000	>\$25,000	>\$25,000	>\$25,000
23	Privacy Act								
24	Civil Rights		X	X	X	X	X	X	X
25	Breaches and Dispute Resolution		>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000
26	Patent and Rights in Data					X			
27	Transit Employee Protective Agreements			X					
28	Disadvantaged Business Enterprise (DBE)		X	X	X	X	X	X	X
29	[FTA Reserved]								
30	Incorporation of Federal Transit Administration Terms		X	X	X	X	X	X	X
31	Drug and Alcohol Testing			X					

*Procurement of items designated by EPA - 40CFR247

Model Contract Clauses are found in Appendix A.1., http://www.fta.dot.gov/grants/13054_6037.html

	Additional Required Elements	Contract Page	Bid Solicitation	3rd Party Contract
1	Protest Procedures		X	
2	Contract Amount			X
3	Contract Terms- Period of Contract		X	X
4	Contract Options		X	X