Navigate to the TDOT Multimodal Procurement internet website and find the Procurement Transaction Review – State Focused page. This is the location of the Procurement Approval Request form.

[Procurement Approval Request - State Funds (tn.gov)](https://www.tn.gov/tdot/multimodal-transportation-resources/office-of-public-transportation/opt-procurement/procurement-review/procurement-approval-request---state-funds.html)

Complete the form for the following procurements, based on the grantee’s procurement policy:

* Small Purchases
* Formal Purchases (such as Invitation to Bids or Requests for Proposals, etc.)
* NOT for Micro-Purchase procurement amounts

The form can be used for Procurements funded with the following state contracts:

* State Program Only Funded Contracts (such as UROP, IMPROVE, etc.)
* State Matching Only Funded Contracts (matching programs where TDOT is NOT the direct recipient of the federal funds)
* DO NOT USE THIS FORM if for State and Federal Funded Contracts (contracts with Federal funding where TDOT is the direct recipient of federal funds)

Previously, approvals from TDOT were needed prior to requesting quotes or putting the solicitation out for advertisement and prior to sending the purchase order or executing the contract with the vendor for the award. Under this new process the form must only be submitted for review prior to sending the purchase order or executing the contract for the award. No request is needed prior to requesting quotes or putting the solicitation out for advertisement.

Upon opening the form, instructions for completing the form fields follows.

Fields:

**Organization Information**

Organization Name – Enter the grantee name

Organization Contact Name – Enter the First and Last name of the contact person for the procurement. This is the person that TDOT should contact to resolve any issues with the procurement approval request.

Organization Contact Email Address – The email address for the person listed in the Organization Contact Name. This is the email address that will receive the different possible notification emails.

* the confirmation of submission,
* the informal approval notification (to be followed by the formal notification from TDOT staff),
* the notification of denied submission (this email will be followed up by a TDOT staff member to collect any missing information. Once the missing information is received the informal approval notification is sent, followed by the formal approval notification from TDOT staff).

**Procurement Details**

Item or Service to be procured – Select one of the options that best describes what is being procured.

* Rolling Stock – select for the procurement of vehicles from the following options that appear.
	+ What type of Rolling Stock
		- Revenue Vehicles – Only vehicles used in passenger service
		- Support Vehicles
		- Other (explain below)
			* Explain the Rolling Stock type – Field provided for the explanation of other rolling stock
	+ How many vehicles are being procured? – enter the number of vehicles planned for this procurement
* Equipment – select for the procurement of equipment, other than vehicles
	+ Please describe the Equipment – Field provided for the explanation of equipment
* Facilities/Property
	+ Please describe the Facilities/Property – Field provided for the explanation of Facilities/Property
* Services – select for the procurement of services
	+ Please describe the Services – Field provided for the explanation of services
* Other (explain below)
	+ Explain the Item or Service to be procured. – Field provided for the explanation of the procurement of items designated as “other”.

Total Amount of Purchase – Enter the purchase price for the total procurement, not a per unit cost. Formstack doesn’t format numbers well, so the amount will be entered without commas or other formats.

Program Selected to Fund Purchase – A list of federal and state program types follows. Select all programs that are planned to be used to fund the total procurement. Multiple programs may be selected.

Vendor Selected for Purchase – Enter the name of the vendor selected for the purchase.

Proposed Date to Complete Purchase (or Purchased Date for Retroactive Review): – Enter the propose purchase date for the procurement. If this is a request for a Retroactive Review (see below for further explanation) enter the date the purchase was completed.

**Method of Procurement**

Method of Procurement – This section confirms that the procurement was either ran in a competitive manner or if not, a sole source justification is supplied. Select one of the procurement methods and answer any follow up questions presented.

* Statewide Contract – Select this option if the procurement is being made from a statewide contract. Note that it is the grantee’s responsibility to determine if the statewide contract was procured competitively as opposed to a sole source procurement. It may be difficult to determine if this is the case from the documentation provided on-line for the statewide contract. The grantee may need to call the contract contact listed on the documentation to help with this determination. Documentation of the determination should be kept in the grantee’s file for the respective procurement.
	+ Statewide Contract # - Enter the statewide contract number found on the statewide contract list.
	+ Was the Statewide Contract competitively procured by the state?
		- Yes – Select to confirm that the statewide contract was competitively procured
		- No – Select to confirm that the statewide contract was not competitively procured
			* Please provide a Sole Source justification – If the statewide contract was a sole source procurement the grantee must supply a sole source justification to be entered in this field.
* Small Purchase – Select this option, based on the grantee’s procurement limits, for procurements that do not require a formal, advertised solicitation. Usually, this type of procurement method requires only that that grantee acquire multiple quotes for the item or service being procured.
	+ Number of Quotes Received – Enter the number of quotes received from vendors from which the selection was made for the purchase. If the number of quotes is only one, a further explanation is required to explain why receiving only one quote was the result of a competitive procurement and not a sole source procurement.
		- Please provide more information about receiving less than 2 quotes or bid responses. – Provide a single response analysis explaining how receiving less than 2 quotes still results in a competitive procurement.
* Formal Purchase – Select this option, based on the grantee’s procurement limits, for procurements that required a formal, advertised solicitation.
	+ Formal Purchase solicitation type – Select the solicitation type from the following options.
		- Invitation to Bid
		- Request for Proposal
		- A & E – Architectural and Engineering Procurement – This type of procurement should only be used for procurements of consulting services, such as design, engineering, planning, etc., that lead to construction. It should not be used for procurements of construction services or any other general planning services that do not lead to construction.
		- Other (explain below) – Selection this option to explain the “other” formal procurement method
			* Explain the solicitation method for the Formal Purchase – Field to provide explanation for “other” formal procurement method

Method of Procurement Details – Optional field if the grantee needs to supply further information regarding the procurement method.

Examples of using the optional field to make explanations regarding the procurement method.

* The procurement of services for a year that total $240,000, however only the first monthly purchase order of $20,000 is being requested at this time. (Note that for this type of purchase, the state clauses need to be attached to each installation that makes up the total purchase.)
* The procurement of an item that costs $100,000 but the total purchase order is for more items and totals $150,000. This field can be used to explain that the purchase approval request only represents a portion of the total purchase order.

**Debarment and Suspension Certification**

The state grantee program contract requires that the grantee certify that the vendor selected for the purchase is not prohibited from doing business with the federal or state government. Grantees can check the list of state currently debarred and suspended vendors at the links:

Tennessee Department of General Services, Central Procurement Office, Debarred Services Link:

* [Public Information Library (tn.gov)](https://www.tn.gov/generalservices/procurement/central-procurement-office--cpo-/library-/public-information-library.html)

TDOT Excluded Parties List System (this link has been inoperable for some time. Please check back periodically to see if link has been added/corrected.):

* [Consultant Information (tn.gov)](https://www.tn.gov/tdot/business-redirect/consultantinfo.html)

The grantee certifies the elements of the Debarment and Suspension Clause for the selected vendor as required in the state contract.

* Acknowledge – Check the box to confirm that to the best of the grantee’s knowledge the vendor is not debarred or suspended from transactions with the federal or state government.

**State Clauses**

The state grantee program contract requires the grantee to include or attach paragraphs from the contract in the agreement, purchase order or contract agreement, with the vendor for the purchase of goods and services. A list of the currently required state contract clauses is listed on the form.

Attach copy of draft subcontract or draft purchase order with attachments – Prepare a PDF file that includes either the proposed purchase order or contract agreement with the clause attachments included. Attach the file by selection “Choose File”.

For a retroactive procurement review, if the clauses were not included in the purchase transaction documentation, attach the purchase order or contract document that was used to make the purchase. If the clauses were not included, the corrective action section of the retroactive procurement review must be completed and acknowledged (see retroactive review below).

**Retroactive Procurement Review**

A retroactive procurement review is a request for TDOT to review procurement purchase documentation for a purchase that has already been completed but inadvertently missed receiving a TDOT approval letter to proceed.

Yes – Select this option if the grantee is asking for a retroactive review of the procurement.

* Corrective Action Plan – For retroactive procurement reviews the grantee must acknowledge two items for future procurement processing
	+ The grantee certifies that future procurement to be funded by state contracts will include State Clauses required by the State Contract – Confirm that future procurements will include state clauses.
	+ The organization certifies that future procurement to be funded by state contracts will be submitted for review and approval prior to purchasing. – Confirm that future procurements will be submitted for review and approval prior to purchasing.

No – Select this option if the grantee is not asking for a retroactive review of the procurement.

**Save and Resume Later**

If the grantee finds that the form cannot be completed at one sitting, the form may be saved to be resumed later to finish. If this decision is made, the grantee is asked for an email address to send a link to access the same form again to complete later. The grantee should note some issues that could occur with saving and resuming work later on a form.

* Incomplete forms will not save file attachments. File attachments should not be attached until the form is to be submitted. If a file is attached and the grantee selects save and resume later, the attachment will be removed from the form. It must be reattached upon resuming work on the form.
* Upon resuming work later on a form, the grantee should review all responses previously entered. Formstack appears at times to have a short delay before some information is saved, so reconfirmation of form entry should be completed upon resuming work.

**Submit Form**

Upon completion of the form the organization submits the form for review to TDOT. The Organization contact will receive a confirmation email that the request was submitted. TDOT staff will review the request. If the request is found to be in compliance with the state contract the TDOT staff member will approve the request. At that time an informal approval notification will be sent to the Organization Contact. The TDOT staff member will follow-up with an email that will have the formal procurement approval attached. This is the document that should be attached to reimbursement requests for documentation of pre-approval.

If the request is found not to be in compliance with the state contract the TDOT staff member will temporarily deny the request. At that time an informal notification will be sent to the Organization Contact of the denial. The TDOT staff member will follow-up with the Organization Contact to request the deficient compliant information or documentation. After receiving all required information and documentation the TDOT staff member will approve the request. At that time an informal approval notification will be sent to the Organization Contact. The TDOT staff member will follow-up with an email that will have the formal procurement approval attached. This is the document that should be attached to reimbursement requests for documentation of pre-approval.