**Procurement: Specifications Worksheet**

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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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| **Item or Service Specification Description – Category**  (4220.1F Chapter III Section 3.a.(1)(a)) (2 CFR §200.319(d))  A clear and accurate description of the technical requirements for the material, product, or service to be procured is required. What type of item is being procured? | | |
|  | | Item |
|  | | Service |
|  | | Both Items and Services |
| **Item or Service Specification Description – Short Description**  (4220.1F Chapter III Section 3.a.(1)(a)) (2 CFR §200.319(d))  A clear and accurate description of the technical requirements for the material, product, or service to be procured is required. Describe what is being procured. | | |
| Click or tap here to enter text. | | |
| **Item or Service Specification Description – Functional Description**  (4220.1F Chapter III Section 3.a.(1)(a)) (2 CFR §200.319(d))  A clear and accurate description of the technical requirements for the material, product, or service to be procured is required. What functions are to be performed or the results to accomplish with the procurement?  The description may include a statement of the qualitative nature of the material, product, or service to be procured and, when necessary, describe minimum essential characteristics and standards which the product or service must perform to satisfy the intended use. | | |
| Click or tap here to enter text. | | |
| **Item or Service Specification Description – Performance Requirements – Maximums, Minimums, Other**  (4220.1F Chapter III Section 3.a.(1)(a)) (2 CFR §200.319(d))  Are there any performance requirements for the item or service, such as maximum or minimum performance levels required or any minimum acceptable standards? | | |
| Click or tap here to enter text. | | |
| **Item or Service Specification Description – Brand Name Features Described, If Used**  (4220.1F Chapter III Section 3.a.(1)(a)) (2 CFR §200.319(d))  If a brand name was used to describe the procurement, what are the specific features of the named brand which must be met by offerors? | | |
| Click or tap here to enter text. | | |
| **Item or Service Specification Description – Vendor requirements**  (2 CFR 200.319(d)(2))  Describe any requirements for the procurement that are place on the vendor, such as licensing or other requirements? | | |
| Click or tap here to enter text. | | |
| **Item or Service Specification Description – Final Description**  (4220.1F Chapter III Section 3.a.(1)(a))  Provide the final specification description used in the solicitation which incorporate the elements above. | | |
| Click or tap here to enter text. | | |
| **Item or Service Specification Description – Metric Measurements**  (4220.1F.III.3.a.(4)) (4220.1F.IV.2.d.(2)) (Executive Order 12770) | | |
|  | Specifications appear to accept items/services with dimensions expressed in metric measurements, to the extent practicable and feasible | |
|  | Not applicable, specifications do not contain measurements | |
| **Item or Service Specification Description – Use of $1 Coins**  (4220.1F.IV.2.d.(3)) (31 USC §5312(p))  To comply with Section 104 of the Presidential $1 Coin Act, FTA assisted property that requires the use of coins or currency in public transportation service or supporting service must be fully capable of accepting and dispensing $1 coins. | | |
|  | Acquisition involves the use of coins or currency in public transportation service or supporting service and is fully capable of accepting and dispensing $1 coins | |
|  | Acquisition does not involve the use of coins or currency in public transportation service or supporting service | |

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| **Item or Service Specification Description – Period of Performance**  (4220.1F.IV.2.b.(3))  FTA expects the recipient to use sound business judgment and be judicious in establishing and extending a contract’s period of performance.  **General Standards.**  The period of performance generally should not exceed the time necessary to accomplish the purpose of the contract. The recipient should also consider competition, pricing, fairness, and public perception. The recipient’s procurement files should document its rationale for determining the performance period designated for each contract.  **Federal Restrictions – Rolling Stock**  Procurements of rolling stock and replacement part contracts are limited by law to five (5) or seven (7) years. Other contracts (such as property, services, leases, construction, revenue, and so forth) are not restricted by a maximum period of performance but the duration of the other contracts must be based on sound business judgement. | | | |
| **What is the expected time for the period of performance explained in the solicitation?** | | | |
|  | Upon delivery | | |
|  | Upon completion (discuss issues regarding completion time frame below, expected time, extenuating circumstances, etc.) | | |
| Click or tap here to enter text. | | | |
|  | Performance time period (discus issue regarding performance period below, expected time, extenuating circumstances, etc.) | | |
| Click or tap here to enter text. | | | |
|  | | **True** | **False** |
| **Item or Service Specification Description – Period of Performance – Restrictions**  Is the selected period of performance reasonable, and if it is for the procurement of buses or bus replacement parts it is not longer than 5 years after the date of the original contract, and if it is for railcars or railcar replacement parts it is not longer than 7 years after the date of the original contract?  (4220.1F.VI.2.e.(10)) | |  |  |
| **Item or Service Specification Description – Period of Performance - Rationale**  (4220.1F.IV.2.b.(3))  The recipient’s procurement files should document its rationale for determining the performance period designated for each contract.  Explain the rationale for the selected performance period below (expectations on time frame, norms in the industry, current market trends, past performance experience, and how it does not exceed the time necessary to accomplish the purpose of the procurement.) | | | |
| Click or tap here to enter text. | | | |

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| **Item or Service Specification Description – Minimum Useful Service Life**  (4220.1F.IV.2.e.(3)) (FTA Circular 5010.1E IV.4.f.) (FTA Circular 9030.1) (FTA Circular 9300.1)  FTA requires each recipient to maintain satisfactory continuing control of FTA assisted property. For buses and certain other vehicles, FTA has established minimum service life policies that may affect the quantity of vehicles that the recipient may acquire.  A minimum useful service life must be determined for all equipment purchased with FTA funds with an acquisition value greater than $5,000, and a service life of greater than one year. | | |
| **What is the expected minimum useful service life?** | | Click or tap here to enter text. |
| **Item or Service Specification Description – Determining Minimum Useful Service Life**  (FTA Circular 5010.1E Chapter IV.4.f.(1)) (FTA Circular 9030.1) (FTA Circular 9300.1)  The recipient should identify the method used to determine the minimum useful life. Select method used to determine minimum useful life. | | |
|  | Generally accepted accounting principles | |
|  | Independent evaluation | |
|  | Manufacturer’s estimated useful life | |
|  | Internal Revenue Service guidelines | |
|  | Industry Standards | |
|  | Recipient experience | |
|  | The grantee’s independent auditor (statement from auditor of concurrence that the useful life assigned to the property is reasonable for depreciation purposes) | |
|  | Proven useful life developed at a federal test facility | |
|  | Other, describe below | |
| Click or tap here to enter text. | | |
|  | Not applicable, acquisition does not require minimum useful service life | |

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| **Specifications – Options**  (4220.1F.IV.1.d.) (4220.1F.VI.7.b.)  Procurements may include options to ensure the future availability of property or services, so long as the recipient is able to justify those options as needed for its public transportation or project purposes. An option is a unilateral right in a contract by which, for a specified time, a recipient may acquire additional equipment, supplies, or services than originally procured. An option may also extend the term of the contract.  Option quantities and periods must be included in the solicitation and in the solicitation evaluation if they are to be exercised. If options are not included in the solicitation and/or are not evaluated, then no options can be exercised later. | | |
|  | **True** | **False** |
| **Specifications – Options**  Will the procurement include options, either additional units or additional time?  (4220.1F.IV.1.c.) (2 CFR 200.319(e)) |  |  |
| **Specifications – Options**  Describe options that are included in the procurement. | | |
| Click or tap here to enter text. | | |

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| **Specification Description Analysis**  (4220.1F Chapter III Section 3.a.(1)(a)) (2 CFR §200.319(d))  A clear and accurate description of the technical requirements for the material, product, or service to be procured is required. | | |
|  | **True** | **False** |
| **Specification Description Analysis – Clear and Accurate Description**  Do the descriptions above incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured?  (4220.1F.VI.2.a.) |  |  |
| **Specification Description Analysis – Qualitative Nature Description**  Do the descriptions above include a statement of the qualitative nature of the material, product, or service to be procured and, when necessary, describe minimum essential characteristics and standards which the product or service must perform to satisfy the intended use?  (4220.1F.VI.2.a.(1)) (2 CFR 200.319(d)(1)) |  |  |
| **Specification Description Analysis – Avoid Detailed Specifications**  As stated in the Uniform Guidance, detailed product specifications should be avoided if at all possible. The goal here is that specifications should not be so detailed that they in effect restrict competition. Functional descriptions of the need rather than technical specifications allow for more options to fulfill the requirements. However, the grantee needs to make sure that the specifications do convey exactly what is needed to prospective offerors so that they can prepare a meaningful offer.  Do the specification descriptions above avoid using detailed product specifications?  (4220.1F.VI.2.a.(1)) (2 CFR 200.319(d)(1)) |  |  |
| **Specification Description Analysis – Functional Nature Description**  Do the descriptions above describe in terms of functions to be performed or performance required, including the range of acceptable characteristics or minimum acceptable standards?  (4220.1F.VI.2.a.(1)) |  |  |

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| **Specifications – Evaluation of Offers**  (4220.1F.IV.1.f) (2 CFR 200.319(d)(2))  … In general, specifications should clearly describe the property or services to be procured and state how the bids or proposals will be evaluated. … | | | |
|  | | **True** | **False** |
| **Specifications – Evaluation of Offers**  Do the specifications in the solicitation clearly describe how the offers will be evaluated?  (4220.1F.IV.1.f) (4220.1F.VI.2.b.) (4220.1F.VI.7.a.) (2 CFR 200.319(d)(2)) | |  |  |
| **Specifications – Evaluation of Vendors**  Do the specifications in the solicitation clearly describe all requirements vendors must fulfill and all other factors to be used in evaluating bids or proposals?  (4220.1F.VI.2.b.) (2 CFR 200.319(d)(2)) | |  |  |
|  | **N/A** | **True** | **False** |
| **Specifications – Evaluation of Options**  Do the specifications in the solicitation clearly describe that options will be part of the evaluation (if options are not a part of the evaluation, they may not be exercised later)?  (4220.1F.IV.1.d.) (4220.1F.VI.2.b.) (4220.1F.VI.7.b.) |  |  |  |

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| **Eligibility**  (4220.1F.IV.1.a.) (4220.1F.IV.2.b.(1)) (4220.1F.IV.2.b.(2)) (4220.1F.IV.2.b.(4))  The property and services to be acquired must be eligible under the Federal law authorizing the FTA assistance award and any regulations thereunder. For example, FTA prohibits the use of capital assistance for the recipient’s operations expenses. If FTA assistance will be used to finance the cost of property or services, the  property or services must be within the scope of the specific project from which that FTA assistance will be derived. | | | |
| The property or services acquired must be eligible for support under the restrictions accompanying the Federal statute authorizing the Federal assistance to be used. The property or services acquired must be eligible for support within the scope of the underlying grant or cooperative agreement from which the Federal assistance to be used is derived. | | | |
| **What Program(s) are proposed to fund the procurement?** | Click or tap here to enter text. | | |
| **And Scope (Capital, Operating, or FTA Scope Code)?** | Click or tap here to enter text. | | |
|  | | **True** | **False** |
| **Program Eligibility**  The items or services to be acquired are an eligible purchase and allowable under the program planned to fund the purchase?  (4220.1F.IV.1.a.) (4220.1F.IV.2.b.(1)) (4220.1F.IV.2.b.(2)) (4220.1F.IV.2.b.(4)) | |  |  |

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| **Payment Provisions**  (4220.1F.IV.2.b.(5))  The grantee may use its own funds to finance its contracts. However, if the grantee intends to use FTA assistance, expects to be reimbursed with FTA assistance, or dedicates its local share funds to support contract costs it has financed, then it must structure its payment provisions carefully. | | | |
|  | | **True** | **False** |
| **Payment Provisions – Payment Upon Delivery**  Does the procurement solicitation include payment after delivery of items or services and invoice provisions?  (4220.1F.IV.2.b.(5)) | |  |  |
| **Payment Provisions – Advanced Payments**  (4220.1F.IV.2.b.(5)(b))  Advance payments are payments made to a contractor before the contractor incurs contract costs. Advance payments are prohibited unless they qualify for an exception and have TDOT written pre-approval as follows. There are two possible exceptions that Advance Payments may be approved for reimbursement. The first case requires the grantee to provide a sound business reason and has received TDOT’s advanced written concurrence, and after TDOT has secured the written concurrence of the FTA. Adequate security for the advance payment is an essential pre-condition to concurrence for reimbursement for local funds. The second case are for Customary Advance Payments. These are transactions that normally in the course of business require advance payments such as for public utility connections and services, rent, tuition, insurance premiums, subscriptions to publications, software licenses, construction mobilization costs, transportation, hotel reservations, and conference and convention registrations. These second case transactions must be preapproved only when the payments required exceed $100,000. | | | |
|  | | **True** | **False** |
| **Payment Provisions – Advanced Payments**  Does the procurement solicitation include the use of advance payments?  (4220.1F.IV.2.b.(5)(b)) | |  |  |
|  | **N/A** | **True** | **False** |
| **Payment Provisions – Advanced Payments – Sound Business Reason**  If advance payment provisions are to be included in the solicitation is there a sound business reason?  (4220.1F.IV.2.b.(5)(b)) |  |  |  |
| **Payment Provisions – Advance Payments – Adequate Security**  If advance payment provisions are to be included in the solicitation is the method of obtaining adequate security explained in the solicitation?  (4220.1F.IV.2.b.(5)(b)1a) |  |  |  |
| **Payment Provisions – Advanced Payments – Customary < $100,000**  Are customary advance payment provisions included in the solicitation for amounts less than $100,000?  (4220.1F.IV.2.b.(5)(b)) |  |  |  |
| **Payment Provisions – Advanced Payments – Customary > $100,000**  Are customary advance payment provisions included in the solicitation for amounts greater than $100,000 and written concurrence from TDOT has been received after TDOT has received concurrence from the FTA?  (4220.1F.IV.2.b.(5)(b)) |  |  |  |
| **Payment Provisions – Advanced Payments – Customary**  (4220.1F.IV.2.b.(5)(b))  Explain the Customary Advanced Payment provisions; sound business reasons and adequate security method, in the solicitation, if any. | | | |
| Click or tap here to enter text. | | | |
| **Payment Provisions – Progress Payments**  (4220.1F.IV.2.b.(5)(c))  Progress payments are payments for the partial completion of contract work on a project prior to the total completion and delivery of the finished good or service. The grantee may use FTA assistance to support progress payments provided the grantee obtains adequate security for those payments and has sufficient written documentation to substantiate the work for which payment is requested. | | | |
|  | | **True** | **False** |
| **Payment Provisions – Progress Payments**  Does the procurement solicitation include the use of progress payments?  (4220.1F.IV.2.b.(5)(c)) | |  |  |
|  | **N/A** | **True** | **False** |
| **Payment Provisions – Progress Payments – Adequate Security**  If progress payment provisions are to be included in the solicitation is the method of obtaining adequate security explained in the solicitation?  (4220.1F.IV.2.b.(5)(c)1) |  |  |  |
| **Payment Provisions – Progress Payments – Adequate Security**  (4220.1F.IV.2.b.(5)(c)1)  If progress payments are included, explain the method of obtaining adequate security. | | | |
| Click or tap here to enter text. | | | |
|  | **N/A** | **True** | **False** |
| **Payment Provisions – Progress Payments – Adequate Documentation**  If progress payment provisions are to be included in the solicitation is the method of obtaining adequate documentation to demonstrate completion of the amount of work for which progress payments are made explained?  (4220.1F.IV.2.b.(5)(c)2) |  |  |  |
| **Payment Provisions – Progress Payments – Adequate Security**  (4220.1F.IV.2.b.(5)(c)2)  If progress payments are included, explain the method of obtaining adequate documentation to demonstrate completion of the amount of work for which progress payments are made. | | | |
| Click or tap here to enter text. | | | |
| **Payment Provisions – Progress Payments – Percentage of Completion Method**  (4220.1F.IV.2.b.(5)(c)3)  The percentage of completion method of progress payment is required for construction projects. Other than construction projects, the percentage of completion method for progress payments may not be used. | | | |
|  | **N/A** | **True** | **False** |
| **Payment Provisions – Progress Payments – Percentage of Completion Method**  If progress payment provisions are to be included in the solicitation, is this a construction project that is using the percentage of completion method?  (4220.1F.IV.2.b.(5)(c)3) |  |  |  |
| **Payment Provisions – Other**  (4220.1F.IV.2.b.(5))  The grantee may use its own funds to finance its contracts. However, if the grantee intends to use FTA assistance, expects to be reimbursed with FTA assistance, or dedicates its local share funds to support contract costs it has financed, then it must structure its payment provisions carefully. | | | |
|  | | **True** | **False** |
| **Payment Provisions – Other**  Does the procurement solicitation include a payment provision something other than the provisions listed above; payment upon delivery, advanced payments, or progress payments?  (4220.1F.IV.2.b.(5)) | |  |  |
| **Payment Provisions – Other**  (4220.1F.IV.2.b.(5)(b))  Explain the payment provision, if it has not been explained in the previous payment provision questions. | | | |
| Click or tap here to enter text. | | | |

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| **Specifications Analysis** | | |
|  | **True** | **False** |
| **Specifications Analysis – Clear and Accurate Specifications**  Based on the item or service specifications/requirements analysis, the specifications/requirements appear to represent a clear and accurate description of the technical requirements for the material, product, or service to be procured and are not restrictive of competition?  (4220.1F.III.3.a.) (4220.1F.VI. 2.a.) (2 CFR §200.319) |  |  |
| **Specifications Analysis – Attach Solicitation Specifications**  Is a copy of the procurement solicitation specifications attached? |  |  |