**Procurement – Request for Proposals**

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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 here to enter text. |

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| **Proposals or Request for Proposals (RFP)**  (2 CFR §200.320(b)(2))  As presented in 2 CFR §200.320(b)(2) Proposals are a procurement method in which proposals are publicly solicited and used when conditions are not appropriate for the use of sealed bids. Either a fixed-price type contract (lump sum or unit price) or a cost-reimbursement type contract is awarded to the responsible proposer whose proposal, conforming with all the material terms and conditions of the request for proposals, is the most advantageous for the recipient considering price and other factors. |

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| **Request for Proposals Worksheet - Part 1**  *Completed and submitted prior to launching publicity plan* |

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| **Request for Proposals Check List Worksheet**  ( 4220.1F.VI.3.d.) (2 CFR §200.320(b)(2)) | | |
|  | **True** | **False** |
| 1. The Specification worksheet is completed? |  |  |
| 2. The Necessity worksheet is completed? |  |  |
| 3. The Independent Estimate worksheet is completed? |  |  |
| 4. Part 1 of the Procurement Method Selection worksheet is completed and Request for Proposal Method (RFP) resulted? |  |  |
| 5. Part 1 of the Publicity Plan worksheet for planning the announcement/advertisement is completed? |  |  |
| 6. Part 1 of the Responsibility Determination worksheet has been completed to plan the request and receipt of Responsible Offeror Criteria? |  |  |
| 7. Part 1 of the Contract Administration worksheet is completed? |  |  |
| 8. All required clauses and certifications included from Federal Clause and Certification Check List? |  |  |

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| **Request for Proposals Requirements**  Proposals are awarded in accordance with the following requirements.  (4220.1F.VI.3.d.(2)) (2 CFR §200.320(b)(2)) |

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| **Request for Proposals – Types of Specifications**  The property or services to be acquired are described in a performance or functional specification; or if described in detailed technical specifications, other circumstances such as the need for discussions or the importance of basing the contract award on factors other than price alone are present.  (4220.1F.VI.3.d.(1)(a)) | | |
|  | **True** | **False** |
| The proposal solicitation has a performance or functional specifications, or if technical specifications are described there are other circumstances such as a need for discussions with proposers about their approach to the project or there is a need to base the award on factors other than price? |  |  |
| **Discuss the decision for the types of specifications used in the Proposal:** | | |
| Click or tap here to enter text. | | |

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| **Request for Proposals – Adequate Sources**  … Proposals must be solicited from an adequate number of qualified offers. …  There are two or more responsible proposers willing and able to effectively compete for the business.  (4220.1F.VI.3.d(2)(c)) (2 CFR §200.320(b)(2)(i)) | | |
|  | **True** | **False** |
| The RFP is expected to attract two or more responsible proposers? |  |  |

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| **Planned RFP Start Advertising Date:** | Click or tap to enter a date. | | |
| **Planned RFP Due Date:** | Click or tap to enter a date. | | |
| **Planned RFP Selection Determination Date:** | Click or tap to enter a date. | | |
| **Request for Proposals – Publicity**  Request for proposals must be publicized...  (4220.1F.VI.3.d(2)(a)) (2 CFR §200.320(b)(2)(i)) | | | |
| Will the request for proposal be publicly advertised and the Publicity Plan Worksheet has been completed? | |  |  |

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| **Request for Proposals – Maximum Considerations**  … Any response to publicized requests for proposals must be considered to the maximum extent practical; …  Separate discussions with individual offeror(s) are expected to be necessary after they have submitted their proposals. Note that discussions are not required unless the solicitation commits to having discussions.  (4220.1F.VI.3.d.(1)(d)) (2 CFR §200.320(b)(2)(i)) | | | |
| The RFP explains that discussions with individual bidders are expected to be necessary after they have submitted their proposals? | |  |  |
| **Request for Proposals – Maximum Considerations – Discussion Considerations**  What discussion techniques are planned for the Request for Proposal?  All discussion techniques should be presented to vendors in the original solicitation and based on known, pre-planned factors. The process should be well documented in the procurement files.  (FTA Best Practices Procurement Manual 4.3) | | | |
|  | No discussions are planned (describe below) | | |
| Click or tap here to enter text. | | | |
|  | Use of a competitive range – This technique can be used when discussions are planned in order to eliminate non-viable proposals in an effort to save time when a large number of responses are possible. It is not to be used to unfairly eliminate offers. (describe below) | | |
| Click or tap here to enter text. | | | |
|  | Proposer presentations. (describe below) | | |
| Click or tap here to enter text. | | | |
|  | Written or oral discussions. (describe below) | | |
| Click or tap here to enter text. | | | |
|  | Request for revised proposals and/or best and final offer. (describe below) | | |
| Click or tap here to enter text. | | | |
|  | Other discussion techniques. (describe below) | | |
| Click or tap here to enter text. | | | |

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| **Request for Proposals – Evaluation Factors Identified in Solicitation**  … and identify all evaluation factors and their relative importance. …  All evaluation factors for technical merit and their relative importance are specified in the solicitation; but numerical or percentage ratings or weights need not be disclosed.  (4220.1F.VI.3.d.(2)(b)) (2 CFR §200.320(b)(2)(i)) | | | |
| All evaluation factors for technical merit and their relative importance are specified in the solicitation (numerical or percentage ratings or weights need not be disclosed)? | |  |  |
| **Request for Proposals – Evaluation Factors – Price and Other Factors**  The solicitation must also advise proposers whether price is approximately equal to, less than, or greater in importance than the technical and non-price evaluation factors as a whole.  (4220.1F.VI.3.d.(2)(e)) (PSR Guidebook 4.3.4) | | | |
| Does the solicitation describe the factors to be used to evaluate and select the winning proposal and advise offerors whether price is approximately equal to, less than, or greater in importance than the technical and non-price evaluation factors as a whole? | |  |  |
| **Request for Proposals – Evaluation Factors**  (4220.1F.VI.3.d.(2)(b)) (2 CFR §200.320(b)(2)(i))  What evaluation factors are listed in the solicitation to be publicized? | | | |
|  | Price (required to be one of the factors, describe below) | | |
| Click or tap here to enter text. | | | |
|  | Technical Approach (describe below) | | |
| Click or tap here to enter text. | | | |
|  | Technical Qualifications (describe below) | | |
| Click or tap here to enter text. | | | |
|  | Other Technical Criteria (describe below) | | |
| Click or tap here to enter text. | | | |
|  | Past Performance (describe below) | | |
| Click or tap here to enter text. | | | |
|  | Key Personnel (describe below) | | |
| Click or tap here to enter text. | | | |
|  | Other (describe below) | | |
| Click or tap here to enter text. | | | |
|  | All Other Factors (describe below) | | |
| Click or tap here to enter text. | | | |
| **Request for Proposals – Written Evaluation**  … The non-Federal entity must have a written method for conducting technical evaluations of the proposals received and making selections; …  A specific method is established and used to conduct technical evaluations of the proposals received and to determine the most qualified offeror.  (4220.1F.VI.3.d(2)(d)) (2 CFR §200.320(b)(2)(ii)) | | | |
| Has a written evaluation method been established? | |  |  |
| Is the proposal evaluation form attached to the RFP worksheet (required, also see procurement recordkeeping worksheet)? | |  |  |
| **Request for Proposals – Responsible Determinative Evaluation Factor**  … Contracts must be awarded to the responsible offeror…  The successful bidder is to be selected on the basis of responsible determination and whose proposal is most advantageous to the recipient’s program with price and other factors considered.  (4220.1F.VI.3.d.(2)(e)) (2 CFR §200.320(b)(2)(ii)) | | | |
| The RFP explains that the successful offeror must be responsible and possess the technical merit to complete the project? | |  |  |
| **Request for Proposals – Evaluation Factors – Best Value**  … whose proposal is advantageous to the non-Federal entity, with price and other factors considered, …  The recipient may award the contract to the offeror whose proposal provides the greatest value to the recipient. To do so, the recipient’s solicitation must inform potential offerors that the award will be made on a “best value” basis and identify what factors will form the basis for award. The evaluation factors for a specific procurement should reflect the subject matter and the elements that are most important to the recipient. Those evaluation factors may include, but need not be limited to, technical design, technical approach, length of delivery schedules, quality of proposed personnel, past performance, and management plan. The recipient should base its determination of which proposal represents the “best value” on an analysis of the tradeoff of qualitative technical factors and price or cost factors. Apart from the statutory requirement that the contract must support the recipient’s public transportation project consistent with applicable Federal laws and regulations, FTA does not require any specific factors or analytic process.  (4220.1F.VI.3.d.(2)(f)) (2 CFR §200.320(b)(2)(iii)) | | | |
| Does the solicitation inform potential proposers that the award will be made on a “best value” basis and identify what factors will form the basis for the award? | |  |  |

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| **PART 1 – End Check Point**  *Completed and submitted prior to launching publicity plan* | | |
| **Request for Proposals – Letter to Proceed with Advertisement**  Before advertising the procurement, submit the planning and solicitation documents to TDOT for review and to issue the letter to proceed with advertising the solicitation. After receiving letter to proceed, advertise and run the Request for Proposals. See Part 2 for next steps, Before Contract Executed/Awarded review. | | |
|  | **True** | **False** |
| Before advertising the procurement, will the planning and solicitation documents be submitted to TDOT for review and to issue a letter to proceed with advertisement of the Request for Proposals? |  |  |

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| **Request for Proposals Worksheet – Part 2**  *Completed and submitted prior to issuing purchase order or executing contract* |

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| **Proposals or Request for Proposals Solicitation**   * Advertise and run the Request for Proposals (RFP) according to plan. * If do not receive two or more responsible proposers willing to compete, perform single response analysis. * Receive proposals and review. * Evaluate proposals based only on the evaluation factors included in the solicitation documents. * Select winning proposal but wait on contract execution. * Winning proposal should be the greatest value to the recipient. * Confirm that the offered item or service meets the RFP specifications. * Complete a responsible contractor analysis. * Confirm the acceptance of the clauses and certifications in the winning proposal package. * If Rolling Stock procurement, complete pre-award certifications. * If Construction procurement, confirm receipt of bond requirements. * Confirm that the accepted total price amount is reasonable, complete Cost or Price Analysis. * Provide reasons for selection of the winning proposals, and reasons for any rejected proposals. * Provide justification for the award price. * Confirm contract to be used contains all clauses. * Submit documentation to TDOT for Letter to Proceed with Contract Execution. |

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| **Request for Proposal Evaluation** | | |
|  | **True** | **False** |
| The evaluation result documentation for the Request for Proposals received is attached? |  |  |

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| **Request for Proposals – Types of Specifications**  The property or services to be acquired are described in a performance or functional specification; or if described in detailed technical specifications, other circumstances such as the need for discussions or the importance of basing the contract award on factors other than price alone are present.  (4220.1F.VI.3.d.(1)(a)) | | |
|  | **True** | **False** |
| Did the proposal solicitation list performance or functional specifications, or if technical specifications were described were there other circumstances such as a need for discussions with proposers about their approach to the project or was there a need to base the award on factors other than price? |  |  |

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| **Publicity** | | |
| The RFP must be publicly advertised. Part 2 of the Publicity Plan worksheet is completed and attached to procurement documentation for review after proposal evaluations were completed?  (4220.1F.VI.3.d.(2)(a)) |  |  |

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| **Request for Proposals – Evaluation Factors Identified in Solicitation**  … and identify all evaluation factors and their relative importance. …  All evaluation factors for technical merit and their relative importance are specified in the solicitation; but numerical or percentage ratings or weights need not be disclosed.  (4220.1F.VI.3.d.(2)(b)) (2 CFR §200.320(b)(2)(i)) | | |
| All evaluation factors for technical merit and their relative importance that were specified in the solicitation (numerical or percentage ratings or weights need not be disclosed) were used in the evaluation of proposals? |  |  |
| **Request for Proposals – Evaluation Factors – Price and Other Factors**  The solicitation must also advise proposers whether price is approximately equal to, less than, or greater in importance than the technical and non-price evaluation factors as a whole.  (4220.1F.VI.3.d.(2)(e)) (PSR Guidebook 4.3.4) | | |
| Did the solicitation describe the factors to be used to evaluate and select the winning proposal, advise offerors whether price is approximately equal to, less than, or greater in importance than the technical and non-price evaluation factors as a whole, and that the proposal most advantageous to the recipient will be selected? |  |  |
| **Request for Proposals – Adequate Sources**  … Proposals must be solicited from an adequate number of qualified offers. …  There are two or more responsible proposers willing and able to effectively compete for the business.  (4220.1F.VI.3.d(2)(c)) (2 CFR §200.320(b)(2)(i)) | | |

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| Two or more responsible vendors submitted proposals?  (4220.1F.VI.3.d.(2)(c)) (2 CFR §200.320(b)(2)(i)) |  |  |

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| **Request for Proposals – Maximum Considerations**  … Any response to publicized requests for proposals must be considered to the maximum extent practical; …  Separate discussions with individual offeror(s) are expected to be necessary after they have submitted their proposals. Note that discussions are not required unless the solicitation commits to having discussions.  (4220.1F.VI.3.d.(1)(d)) (2 CFR §200.320(b)(2)(i)) | | |
| Did the recipient have discussions with proposers after proposals were submitted? |  |  |
| Did the recipient document discussion techniques and results, if discussions were held, in the procurement file? |  |  |
| **Request for Proposals – Written Evaluation**  … The non-Federal entity must have a written method for conducting technical evaluations of the proposals received and making selections; …  A specific method is established and used to conduct technical evaluations of the proposals received and to determine the most qualified offeror.  (4220.1F.VI.3.d(2)(d)) (2 CFR §200.320(b)(2)(ii)) | | |
| Is the completed proposal evaluation form included in the procurement documentation? |  |  |
| **Request for Proposals – Responsible Determinative Evaluation Factor**  … Contracts must be awarded to the responsible offeror…  The successful bidder is to be selected on the basis of responsible determination and whose proposal is most advantageous to the recipient’s program with price and other factors considered.  (4220.1F.VI.3.d.(2)(e)) (2 CFR §200.320(b)(2)(ii)) | | |
| The selected proposers were determined to be responsible? |  |  |
| **Request for Proposals – Evaluation Factors – Best Value**  … whose proposal is advantageous to the non-Federal entity, with price and other factors considered, …  The recipient may award the contract to the offeror whose proposal provides the greatest value to the recipient. To do so, the recipient’s solicitation must inform potential offerors that the award will be made on a “best value” basis and identify what factors will form the basis for award. The evaluation factors for a specific procurement should reflect the subject matter and the elements that are most important to the recipient. Those evaluation factors may include, but need not be limited to, technical design, technical approach, length of delivery schedules, quality of proposed personnel, past performance, and management plan. The recipient should base its determination of which proposal represents the “best value” on an analysis of the tradeoff of qualitative technical factors and price or cost factors. Apart from the statutory requirement that the contract must support the recipient’s public transportation project consistent with applicable Federal laws and regulations, FTA does not require any specific factors or analytic process.  (4220.1F.VI.3.d.(2)(f)) (2 CFR §200.320(b)(2)(iii)) | | |
| Was the award made on a “best value” basis based on the evaluation factors identified in the solicitation? |  |  |

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| **Responsible Contractor Determination** | | |
|  | **True** | **False** |
| Part 2 of the Responsible Determination worksheet is completed for the selected offer?  (4220.1F VI.2.a.) (2 CFR Part §200.318(h)) |  |  |

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| **Price Analysis and Cost Analysis** | | |
|  | **True** | **False** |
| The Price Analysis and Cost Analysis worksheet is completed for the selected offer?  (4220.1F.VI.6.) (2 CFR Part §200.324) |  |  |

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| **Contract Administration** | | |
|  | **True** | **False** |
| Part 2 of the Contract Administration worksheet is completed? |  |  |

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| **Clauses and Certifications Checklist** | | |
|  | **True** | **False** |
| The Clauses and Certifications Check List is completed to check for required compliance? |  |  |

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| **PART 2 – End Check Point**  *Completed and submitted prior to issuing purchase order or executing contract* | | |
| **Request for Proposals – Letter to Proceed with Award Execution**  Before executing the award contract, submit the evaluation and award documents to TDOT for review and to receive the letter to proceed with award contract. After receiving letter to proceed, execute contract with selected vendor. See Part 3 for next steps, Contract Administration review. | | |
|  | **True** | **False** |
| Before executing the award contract, will the evaluation and award documents be submitted to TDOT for review and to issue a letter to proceed with the Award Execution? |  |  |

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| **Request for Proposals Worksheet - Part 3**  *Completed and submitted prior to requesting expense reimbursement* |

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| **Request for Proposals – Post Award**   * Execute contract with winning proposer. * Contract Administration – Oversight of contract performance executed as described in the solicitation. * Contract Administration – Receive goods and services. * Contract Administration – Pay invoices. * Program reimbursement request.   (2 CFR §200.318(b)) |

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| **Contract Administration** | | |
|  | **True** | **False** |
| Part 3 of the Contract Administration worksheet is completed? |  |  |

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| **Final Documentation Submission to TDOT**  After executing the contract or issuing the purchase and completing the post award contract administration tasks, submit copies of all final documentation and any post award documentation listed in the post award task list to TDOT. | | |
|  | **True** | **False** |
| Will all post award documentation be submitted to TDOT? |  |  |