**Procurement – Sole Source 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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| **Sole Source Worksheet – Part 1** *Completed and submitted prior to requesting quotes or launching publicity plan***Step Skipped** |

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| **Soul Source Worksheet – Part 2***Completed and submitted prior to issuing purchase order or executing contract* |

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| **Sole Source Check List Worksheet**( 4220.1F.VI.3.i.) (2 CFR §200.320(c)) |
|  | **True** | **False** |
| 1. The Specification worksheet is completed?  |[ ] [ ]
| 2. The Necessity worksheet is completed?  |[ ] [ ]
| 3. The Independent Estimate worksheet is completed?  |[ ] [ ]
| 4. Parst 1 and 2 of the Procurement Method Selection worksheet are completed and Sole Source Procurement resulted? (Part 1 and 2 can be submitted together prior to award as a sole source procurement is not advertised) |[ ] [ ]
| 5. Parts 1 and 2 of the Responsibility Determination worksheet are completed?  |[ ] [ ]
| 6. Parts 1 and 2 of the Contract Administration worksheet are completed?  |[ ] [ ]
| 7. All required clauses and certifications included from Federal Clause and Certification Check List? |[ ] [ ]

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| **Sole Source Supplier** |
| Click or tap here to enter text. |

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| **Responsible Contractor Determination** |
|  | **True** | **False** |
| Part 1 and 2 of the Responsible Determination worksheet is completed for the selected source? (Part 1 and 2 can be submitted together prior to award as a sole source procurement is not advertised)(4220.1F VI.2.a.) (2 CFR Part §200.318(h)) |[ ] [ ]

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| **Sole Source Circumstance**If the recipient decides to solicit an offer from only one source, one or more of the following circumstances must apply.(2 CFR §200.320 (c))Select all circumstances that apply: |
|[ ]  The item is available from a single source. (Complete Section A)(2 CFR §200.320 (c)(2)) |
|[ ]  The public exigency or emergency for the requirement will not permit a delay resulting from publicizing a competitive solicitation. (Complete Section B)(2 CFR §200.320 (c)(3)) |
|[ ]  The Federal awarding agency or pass-through entity expressly authorizes a noncompetitive procurement in response to a written request from the non-Federal entity. (Complete Section C)(2 CFR §200.320 (c)(4)) |
|[ ]  After solicitation of a number of sources, competition is determined inadequate. (Complete Sections A & D)(2 CFR §200.320 (c)(5)) |

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| **Section A: Sole Source Justification – Unique Capability or Availability**When the recipient requires supplies or services available from only one responsible source, and no other supplies or services will satisfy its requirements, the recipient may make a sole source award. The property or services are available from one source if one of the conditions described below is present.(2 CFR §200.320 (c)(2)) (4220.1F.VI.3.i.(1)(b)1)Select the justification that applies. |
|[ ]  **Unique or Innovative Concept.**The offeror demonstrates a unique or innovative concept or capability not available from another source. Unique or innovative concept means a new, novel, or changed concept, approach, or method that is the product of original thinking, the details of which are kept confidential or are patented or copyrighted, and is available to the recipient only from one source and has not in the past been available to the recipient from another source.(4220.1F.VI.3.i.(1)(b)1a) |
|[ ]  **Patents or Restricted Data Rights.** (4220.1F.VI.3.i.(1)(b)1b) |
|[ ]  **Substantial Duplication Costs.**In the case of a follow-on contract for the continued development or production of highly specialized equipment and major components thereof, when it is likely that award to another contractor would result in substantial duplication of costs that are not expected to be recovered through competition.(4220.1F.VI.3.i.(1)(b)1c) |
|[ ]  **Unacceptable Delay.**In the case of a follow-on contract for the continued development or production of a highly specialized equipment and major components thereof, when it is likely that award to another contractor would result in unacceptable delays in fulfilling the recipient’s needs.(4220.1F.VI.3.i.(1)(b)1d) |
| **Explanation of Single Source Circumstances:**Provide a detailed explanation of the circumstances that requires supplies or services from only one responsible source, and why no other supplies or services will satisfy the requirements. |
| Click or tap here to enter text. |

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| **Section B: Sole Source – Public Exigency or Emergency:**The recipient may also limit the solicitation when the public exigency or emergency will not permit a delay resulting from competitive solicitation for the property or services.… when a recipient has such an unusual and urgent need for the property or services that the recipient would be seriously injured unless it were permitted to limit the solicitation. The recipient may also limit the solicitation when the public exigency or emergency will not permit a delay resulting from competitive solicitation forthe property or services.(2 CFR §200.320 (c)(3)) (4220.1F.VI.3.i.(1)(c))Provide a detailed explanation of the circumstances of the public exigency or emergency which will not permit a delay resulting from competitive solicitation for the property or services. |
| Click or tap here to enter text. |

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| **Section C: Sole Source – Federal Awarding Agency Authorization:**The Federal awarding agency or pass-through entity expressly authorizes a noncompetitive procurement in response to a written request from the non-Federal entity.(2 CFR §200.320 (c)(4))The Uniform Guidance provides Federal agencies authority to permit a recipient to use noncompetitive proposals. Examples of determinations made by the FTA are, 1) When entering into an agreement with a team, consortium, joint venture, or partnership, FTA has approved the participation of a particular firm or combination of firms, and expects the recipient to use competition, as feasible for other participants in the project, 2) or when entering a noncompetitive agreement as authorized by FAR Part 6.3.(4220.1F.VI.3.i.(1)(e))Provide a detailed explanation of the circumstances of the Federal awarding agency’s or pass-through entity’s non-competitive procurement authorization contained in a written request from the FTA.(Attach copy of the written request and authorization.) |
| Click or tap here to enter text. |

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| **Section D: Sole Source – Singular Availability**After solicitation of a number of sources, competition is determined inadequate.(2 CFR §200.320 (c)(5))This circumstance is the result of a single bid analysis where the specifications proved to unduly restrict competition or potential sources reported that specifications were the reason for not submitting an offer. Provide a detailed explanation of the justification as to why the specifications as requested in the solicitation must be used. |
| Click or tap here to enter text. |
| **Sole Source – Potential Offers Solicitation** When less than full and open competition is available to the recipient, the Common Grant Rule for governmental recipients directs the recipient to solicit offers from as many potential sources as is practicable under the circumstances.(4220.1F.VI.3.i.(3)(a)) … Contracting officers should take reasonable steps to avoid using sole source procurements except incircumstances where it is both necessary and in the best interest of the agency. …(Best Practices Procurement & Lessons Learned Manual, Pgs. 97)Some recipients annually publish a list of previous sole source contracts on their web sites in order to inform prospective vendors and suppliers of their sole sourced products and services. The objective of this practice is to inform prospective vendors and suppliers of those purchased products so that a vendor having a product that it believes to be comparable to one that was bought via sole source could inform the agency and seek to have its product reviewed for acceptability and as one that could be offered competitively.(Best Practices Procurement & Lessons Learned Manual, Pgs. 98-99)Discuss activities to solicit offers from as many potential sources as practicable.  |
| Click or tap here to enter text. |

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| **Sole Source Justification – Prohibited Reasons** |
|  | **True** | **False** |
| **Prohibited Reasons – Failure to Plan**The sole source justification is not due to the recipient’s lack of advance planning? (4220.1F.VI.3.i.(2)(a))  |[ ] [ ]
| **Prohibited Reasons – Failure to Plan**Explain how the justification is not due to the lack of advance planning.(2 CFR §200.320 (c)(5)) |
| Click or tap here to enter text. |
| **Prohibited Reasons – Limited Availability of Federal Assistance**The sole source justification is not due to concerns about the amount of Federal assistance available to support the procurement? (4220.1F.VI.3.i.(2)(b))  |[ ] [ ]

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| **Sole Source Procurement Procedures – Cost Analysis**Prepare or obtain a cost analysis verifying the proposed cost data, the projections of the data, and the evaluation of the costs and profits.(4220.1F.VI.3.i.(3)(c))  |
|  | **True** | **False** |
| **Sole Source Procurement Procedures – Cost Analysis**A cost analysis was completed, and profit was considered in negotiations?(4220.1F.VI.3.i.(3)(c)) (4220.1F.VI.6.) (2 CFR Part §200.324)(Complete and attach a copy of the Cost Analysis Worksheet.) |[ ] [ ]

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| **Contract Administration** |
|  | **True** | **False** |
| The Contract Administration worksheet is completed for the selected offer?  |[ ] [ ]

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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* |
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| **Sole Source Procurement Procedures – Letter to Proceed with Award Execution**Before executing the award contract, submit sole source determination documents to TDOT for review and to receive the letter to proceed with award contract. After receiving letter to proceed, execute contract with selected source. See Post Award Section for next steps. |
|  | **True** | **False** |
| Before executing the award contract, will the sole source determination documents be submitted to TDOT for review and to issue a letter to proceed with the Award Execution?  |[ ] [ ]

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| **Soul Source Worksheet Part 3 – Post Award***Completed and submitted prior to requesting expense reimbursement* |

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| **Sole Source Procurement Procedures – Post Award*** Execute contract.
* 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** |
| The Contract Administration worksheet is completed for the selected offer?  |[ ] [ ]

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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?  |[ ] [ ]