**Procurement – Rolling Stock Worksheet**

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| **Grantee:** | Click or tap here to enter text. |
| **Item(s) to Procure:** | Click or tap here to enter text. |

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| **The Rolling Stock Worksheet has three parts. The three parts cover all the same regulations, but each part addresses the regulations for a different phase of the procurement.**  **Part 1 – To be completed during the Solicitation Planning phase and submitted to TDOT for review in the request to receive the letter to proceed with quotations or advertisement. This part is a check list for developing the solicitation documents used in the advertisement for vendors or planning the issues to discuss with vendors when asking for quotes. The cases for when each regulation should be included in the solicitation advertisement are explained.**  **Part 2 – Pre-Award Requirements phase, is to be completed**   * **after receiving TDOT’s letter to proceed with quotations or advertisement,** * **after advertising the procurement solicitation,** * **after receiving vendor responses,** * **after evaluating vendor responses,** * **after determining the vendor that will be awarded the purchase,** * **after preparing the pre-award audit document,** * **and prior to executing the award with the selected vendor,**   **and is then submitted to TDOT in the request for a letter to proceed with award. This part is used as a check list to document the grantee’s review of the vendor responses determined needed in Part 1 and preparing the pre-award audit documentation for the selected vendor(s) to be maintained in the procurement file.**  **Part 3 – Post-Delivery Requirements phase, is to be completed**   * **after receiving TDOT’s letter to proceed with award,** * **upon delivery of the awarded vehicles,** * **after preparing the post-delivery audit document,** * **prior to title to the rolling stock is transferred to the grantee,**   **and is then submitted to TDOT. This part is used as a check list to document the grantee’s review and receipt of vehicles and information determined needed in Parts 1 & 2 and preparing the post-delivery audit documentation for the selected vendor(s) to be maintained in the procurement file. Once Part 3 – Post-Delivery Requirements documentation has been reviewed and approved by TDOT, title can be transferred to the grantee and the asset management documentation process commenced.** |

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| **Rolling Stock Worksheet Part 1 - Solicitation Planning**  *Completed and submitted prior to requesting quotes or launching publicity plan* | |
| **Completed by:** | Click or tap here to enter text. |
| **Date:** | Click or tap to enter a date. |
| **Part 1 – To be completed during the Solicitation Planning phase and submitted to TDOT for review in the request to receive the letter to proceed with quotations or advertisement. This part is a check list for developing the solicitation documents used in the advertisement for vendors or planning the issues to discuss with vendors when asking for quotes. The cases for when each regulation should be included in the solicitation advertisement are explained.** | |

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| **Rolling Stock Procurement Parameters** | | |
|  | **True** | **False** |
| **The procurement solicitation includes revenue rolling stock replacement vehicles?** |  |  |
| **The procurement solicitation includes revenue rolling stock expansion vehicles?** |  |  |
| **The procurement solicitation includes non-revenue service vehicles?** |  |  |
| **The independent estimate results in an estimate for the total procurement, vehicles and all optional quantities added together, of greater than $150,000?**  *(49 USC §5323 (J)(13))* |  |  |

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| **Certification of Equivalent Service**  *(49 CFR §37.77)* | | | | |
| Required for   * Demand responsive systems * Purchasing or leasing a non-accessible revenue service vehicle * Vehicle to be procured is not readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs * NOT for service vehicles   Vehicles to be purchased or leased and used in demand response systems must be readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs, unless the demand response system provides a level of service to individuals with disabilities, including individuals who use wheelchairs, equivalent to the level of service provided to individuals without disabilities.  A demand response system, when viewed in its entirety, shall be deemed to provide equivalent service if the service available to individuals with disabilities, including individuals who use wheelchairs, is provided in the most integrated setting appropriate to the needs of the individual and is equivalent to the service provided other individuals with respect to the following service characteristics:   1. Response time; 2. Fares; 3. Geographic area of service; 4. Hours and days of service; 5. Restrictions or priorities based on trip purpose; 6. Availability of information and reservations capability; and 7. Any constraints on capacity or service availability.   A demand response system who needs to procure the purchase or lease of a revenue vehicle that is not accessible can provide analysis and documentation to certify that equivalent service is being provided to individuals with disabilities, including individuals who use wheelchairs, by using the TDOT Certification of Equivalent Service form and providing the analysis documentation support. | | | | |
|  | | **N/A** | **True** | **False** |
| (1) Does the grantee provide demand responsive services? | |  |  |  |
| (2) Are non-accessible vehicles that will be used to provide transit services included in the procurement purchases or leases? | |  |  |  |
| If the answer to questions (1) and (2) are True, has the grantee prepared the documentation and performed the analysis to demonstrate equivalent service for both non-disabled individuals and disabled individuals, including individuals who use wheelchairs, and completed the Certification of Equivalent Service Form within a year of the upcoming purchase or lease? (*Attach, if required, Certification of Equivalent Service Form with documentation and analysis.*) | |  |  |  |
| **Preparation for the Buy America Vendor Certification**  *(49 CFR 661.11&12) (49 USC 5323(j)) (449 CFR 663.13) (FAST Act)* | | | | |
| Required for   * All revenue rolling stock vehicles * Service vehicles * Procurements greater than $150,000   If the total estimate of the procurement which includes vehicles is greater than $150,000, a general 49 CFR 661.11 Buy America rolling stock certification or a waiver from the Buy America rolling stock certification is required. The Buy America certification requires the vendor to certify that the cost of rolling stock components produced in the United States is more than 70 percent of the cost of all components and final assembly takes place in the United States. | | | | |
|  | | **N/A** | **True** | **False** |
| If applicable, does the rolling stock solicitation document explain to potential vendors the requirement for this Buy America certification to be included with their response to the solicitation? (*See also Clause and Certification checklist*) | |  |  |  |
| **Preparation for the Pre-Award Audit**  *(49 CFR 663 Subpart B & D) (49 USC 5323(m))* | | | | |
| Required for   * All revenue rolling stock vehicles * NOT for Service vehicles   When purchasing revenue rolling stock the FTA requires TDOT to require its subrecipients to conduct pre-award audits on the rolling stock prior to making an award to the selected vendor. These audits are completed by the subrecipients and include three subrecipient certifications.   1. A Pre-Award Buy America certification, 2. A Pre-Award Purchaser’s requirements certification, and 3. A Pre-Award manufacturer’s Federal Motor Vehicle Safety (FMVSS) certification.   The subrecipient must keep these certifications on file in their procurement files. In order to complete these certifications, the subrecipient must communicate in the solicitation to the potential vendors the documentation required to be included in the vendor’s response. | | | | |
| **Preparation for the Pre-Award Audit: Buy America Certification**  *(49 CFR 663.25)* | | | | |
|  | | **N/A** | **True** | **False** |
| The subrecipient must receive the following documentation in the vendor’s response to complete the Pre-Award Buy America Certification.   * + - 1. a letter from FTA which grants a waiver to the rolling stock to be purchased from the Buy America requirements under section 165(b)(1), (b)(2), or (b)(4) of the Surface Transportation Assistance Act of 1982, as amended; or       2. documentation on the rolling stock to be purchased from the manufacturer which lists          1. Component and subcomponent parts of the rolling stock to be purchased identified by manufacturer of the parts, their country of origin and costs, and          2. The location of the final assembly point for the rolling stock, including a description of the activities that will take place at the final assembly point and the cost of final assembly.   This must result in confirming U.S. manufacturing content is more than 70%.  If applicable, does the rolling stock solicitation document explain to potential vendors the requirement for this Buy America documentation to be included with their response to the solicitation? (*See also the Clause and Certification checklist*) | |  |  |  |
| **Preparation for the Pre-Award Audit: Purchaser’s Requirements Certification**  *(49 CFR 663.27)* | | | | |
|  | | **N/A** | **True** | **False** |
| The subrecipient must certify two items to complete the Pre-award Purchaser’s Requirements Certification.   1. That the vendor’s response to the solicitation is the same product as described in the rolling stock solicitation document. 2. The selected vendor is a responsible manufacturer with the capability to produce the vehicle that meets the specifications in the rolling stock solicitation document.   (a) If applicable, are the specifications in the rolling stock solicitation document stated in a manner that the subrecipient will be able to determine that the description of the rolling stock provided in the vendor’s response are the same product? | |  |  |  |
| The subrecipient should plan to do a responsible party determination on the proposed manufacturer and plan to request any information needed to make that determination in the rolling stock solicitation document. *(See also the Responsible Party Worksheet)*  (b) If applicable, is the information needed to make a responsible party determination described in the rolling stock solicitation document and requested to be provided in the vendor’s response? | |  |  |  |
| **Preparation for the Pre-Award Audit: Manufacturer’s Federal Motor Vehicle Safety Standards (FMVSS) Certification**  *(49 CFR 663.23)* | | | | |
|  | | **N/A** | **True** | **False** |
| The subrecipient must certify that a copy of the manufacturer’s self-certification information that the vehicle complies with FMVSS or a certification that such standards are inapplicable.  If applicable, does the rolling stock solicitation document request from potential vendors a copy of the manufacturer’s self-certification, or the manufacturer’s certification that these standards are inapplicable, to be included with their response to the solicitation? | |  |  |  |
| **Preparation for the Post-Delivery Audit**  *(49 CFR 663 Subpart C) (49 USC 5323(m))* | | | | |
| Required for   * All revenue rolling stock vehicles * NOT for Service vehicles   When purchasing revenue rolling stock the FTA requires TDOT to require its subrecipients to conduct post-delivery audits on the rolling stock upon delivery of the rolling stock but prior to the transfer of title to the subrecipient. These audits are completed by the subrecipients and include three subrecipient certifications.   1. A Post-Delivery Buy America certification, 2. A Post-Delivery Purchaser’s requirements certification, and 3. A Post-Delivery manufacturer’s Federal Motor Vehicle Safety (FMVSS) certification.   In order to complete these certifications, the subrecipient must communicate in the solicitation to the potential vendors that the documentation is required to be included upon delivery of the rolling stock and prior to transfer of title to the subrecipient. The subrecipient must keep this information on file in their procurement files. | | | | |
| **Preparation for the Post-Delivery Audit: Buy America Certification**  *(49 CFR 663.35)* | | | | |
|  | | **N/A** | **True** | **False** |
| The subrecipient must receive the following documentation upon delivery of the rolling stock but prior to the transfer of title to the subrecipient to complete the Post-Delivery Buy America Certification.   1. a letter from FTA which grants a waiver to the rolling stock received from the Buy America requirements under section 165(b)(1), (b)(2), or (b)(4) of the Surface Transportation Assistance Act of 1982, as amended; or 2. documentation from the manufacturer of the rolling stock delivered which lists 3. Component and subcomponent parts of the rolling stock to be purchased identified by manufacturer of the parts, their country of origin and costs, and 4. The location of the final assembly point for the rolling stock, including a description of the activities that will take place at the final assembly point and the cost of final assembly.   This must result in confirming U.S. manufacturing content is more than 70%.  If applicable, does the rolling stock solicitation document explain to potential vendors the requirement for this Buy America documentation to be included with the delivery of the vehicle and prior to the transfer of title to the subrecipient? (*See also the Clause and Certification checklist*) | |  |  |  |
| **Preparation for the Post-Delivery Audit: Purchaser’s Requirements Certification**  *(49 CFR 663.37)* | | | | |
|  | | **N/A** | **True** | **False** |
| (1) Is this a procurement of Ten (10) or fewer buses? | |  |  |  |
| (2) Is this a procurement of twenty (20) vehicles or fewer serving rural areas, or urbanized areas of 200,000 people or fewer? | |  |  |  |
| (3) Is this a procurement of primary manufacturer standard production and unmodified vans? | |  |  |  |
| For the vehicles that result in a True response for questions (1), (2), or (3) the subrecipient must visually inspect and road test the vehicles to complete the Post-Delivery Purchaser’s Requirements Certification. The subrecipient can then certify that the vehicles meet the award specifications and complete the Post-Delivery Purchaser’s Requirements Certification.  If applicable, for the vehicles that result in a True response for questions (1), (2), or (3), the subrecipient is prepared to visually inspect and road test the vehicles upon delivery in order to certify that the vehicles meet the award specifications? | |  |  |  |
| For the vehicles that result in a False response for questions (1), (2), or (3), meaning that   1. this is a procurement of more than 10 buses, or 2. this is a procurement of more than 20 vehicles serving rural areas, or urbanized areas of 200,000 people or fewer, or 3. this is a procurement of a modified van (includes vans that are not included in the 4-year/100,000-mile service life category),   the subrecipient must provide for a resident inspector, someone other than an agent or employee of the manufacturer, who is at the manufacturing site throughout the period of manufacture of the rolling stock to be purchased and monitors and completes a report on the manufacture of such rolling stock. After reviewing that report and visually inspecting and road testing the delivered vehicles, the subrecipient can then certify that the vehicles meet the award specifications and complete the Post-Delivery Purchaser’s Requirements Certification.  If applicable, for the vehicles that result in a False response for questions (1), (2), or (3), the subrecipient is prepared to provide for a resident inspector, someone other than an agent or employee of the manufacturer, who is at the manufacturing site throughout the period of manufacture of the rolling stock to be purchased and monitors and completes a report on the manufacture of such rolling stock? | |  |  |  |
| If applicable, for the vehicles that result in a False response for questions (1), (2), & (3), after receiving and reviewing the resident inspector’s report the subrecipient is prepared to visually inspect and road test the vehicles upon delivery in order to certify that the vehicles meet the award specifications? | |  |  |  |
| **Preparation for the Transit Vehicle Manufacturer (TVM) Compliance with DBE Requirements**  *(49 CFR 26.5) (49 CFR 26.49(a))* | | | | |
| Required for   * Only for vehicles used in public transportation * NOT for Service vehicles   Only those transit vehicle manufacturers listed on FTA's eligible TVMs list, or that have submitted a goal methodology to FTA that has been approved or has not been disapproved, at the time of solicitation are eligible to bid.  The list of eligible TVMs can be found at this website: <https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/eligible-transit-vehicle-manufacturers>  FTA recipients are required to submit within 30 days of making an award, the name of the successful bidder, and the total dollar value of the contract in the manner prescribed in the grant agreement.  Currently TDOT is reporting these transactions with the FTA. For an award other than one which uses the statewide transit vehicle contract the subrecipient is required to notify TDOT, within 30 days of the award to the vendor of issuing a purchase order or signing a contract for the purchase, in order for TDOT to timely file the information on the online FTA Transit Vehicle Award Reporting Form.  Purchases from the Tennessee statewide contract for transit vehicles (currently SWC 234) have already been reported by TDOT to the FTA and do not need to be reported to TDOT by the subrecipient. Only purchases that occur when not using the Tennessee statewide contract must be reported to TDOT. | | | | |
|  | | **N/A** | **True** | **False** |
| If applicable, does the rolling stock solicitation document explain to potential vendors the requirement that any transit vehicle manufacturers (TVM) must certify that they have complied with 49 CFR Part 26 Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs, and that the certification is required to be included with their response to the solicitation? (*See also the Clause and Certification checklist*) | |  |  |  |
| If applicable, for vehicles used in public transportation that will not be purchased from the Tennessee statewide contract does the subrecipient have plans to notify TDOT with the required purchase information in order for TDOT to report the purchase on the FTA online reporting form? | |  |  |  |
| Name of contact who will notify TDOT of award: | Click or tap here to enter text. | | | |
| **Preparation for the Bus Testing Requirements**  *(49 CFR 665) (49 USC 5318)* | | | | |
| Required for   * Buses and modified vans used in public transportation * NOT for unmodified mass-produced vans, only those in the 4-year/100,000-mile service life category. Unmodified mass-produced vans are vehicles manufactured as complete, fully assembled vehicles as provided by the original equipment manufacturer (OEM). This category includes vans with raised roofs or wheelchair lifts or ramps that are installed by the OEM or by someone other than the OEM, provided that the installation of these components is completed in strict conformance with the OEM modification guidelines. * NOT for Service vehicles   Buses and modified vans to be used in transit service are required to be tested and receive an Altoona Bus Testing Report. Bus models that were tested after October 31, 2016, must have received a passing score. The Bust Testing requirement is for the FTA recipient to certify compliance with the Bus Testing provisions in the FTA application through the attachment of the certifications and assurances that are executed annually and attached to Federal applications via reference. To meet these certification requirements, subrecipients are required to receive the Bus Testing report from vendors. The subrecipient should plan to inform potential vendors that the Bus Testing report must be included in the vendor’s response to the subrecipient’s procurement solicitation. (*See also the Clause and Certification checklist*) | | | | |
|  | | **N/A** | **True** | **False** |
| (1) Is this a procurement for buses? | |  |  |  |
| (2) Is this a procurement for modified vans? | |  |  |  |
| If applicable, for vehicles that result in a True response for questions (1) or (2) does the rolling stock solicitation document explain to potential vendors the requirement for the Bus Testing Report to be included with their response to the solicitation? (*See also the Clause and Certification checklist*) | |  |  |  |
| **Innovative Procurement Requirement – Preparation for the 5339 Rolling Stock Purchasing Requirements**  *(Infrastructure Investment and Jobs Act Section 30018) (FAST Act Section 3019)* | | | | |
| Required for   * Vehicles used in public transportation * At least partially purchased with 5339 program funds * NOT for Service vehicles – not eligible expense under the 5339 program   The 5339 program is for the provision of bus and bus facilities capital investment subsidization for transit agencies. The program contains the provision that to the extent practicable subrecipients should seek to use Innovative Procurement. Innovative Procurement includes the use of the following procurement tools,   1. Interstate Cooperative Procurements – participation in a cooperative contract with other grantees, including those in other states. 2. State Cooperative Procurement Schedules – state government cooperative procurement contract with one or more vendors which include an option to purchase rolling stock and allows for other participants to use the contract 3. Pilot Program for Non-Profit Cooperative Procurements – a pilot program established by the USDOT Secretary of cooperative procurement contracts administered by nonprofit entities 4. Joint Procurement Clearinghouse – a clearinghouse established by the USDOT Secretary to aggregate planned rolling stock purchases and identify joint procurement participants 5. Leasing – capital leasing arrangements in lieu of purchases, which encourages the capital leasing of zero emission vehicle components.   If a subrecipient purchases less than five buses through a stand alone procurement, the subrecipient is required to provide a written explanation to the Secretary explaining why the tools were not utilized. (*See also the Clause and Certification checklist*) | | | | |
|  | | **N/A** | **True** | **False** |
| (1) Will the procurement use federal program 5339 funds? | |  |  |  |
| (2) Is the procurement for less than five buses? | |  |  |  |
| (3) Does the subrecipient plan to use an Innovative Procurement tool? | |  |  |  |
| If applicable, if the subrecipient’s response is True for both questions (1) and (2) and False for question (3), does the subrecipient plan to provide a written explanation that explains why the Innovative Procurement tools were not used? (*See also the Clause and Certification checklist*) | |  |  |  |

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| **PART 1 – End Check Point**  *Completed and submitted prior to requesting quotes or launching publicity plan* |
| After completing Part 1 of the Rolling Stock Worksheet, the solicitation planning for the procurement, stop here to request letter to proceed with advertisement. After completing the Rolling Stock Worksheet Part 1, include it and attachments with other pre-advertisement documents and send for TDOT review and then to send a letter to proceed with advertisement. Once the letter to proceed with advertisement is received by the grantee the procurement solicitation may be advertised, vendor’s responses received and evaluated, and Part 2 of the Rolling Stock Worksheet completed, Pre-Award Requirements. |

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| **Rolling Stock Worksheet Part 2 – Pre-Award Requirements**  *Completed and submitted prior to issuing purchase order or executing contract* | |
| **Completed by:** | Click or tap here to enter text. |
| **Date:** | Click or tap to enter a date. |
| **Part 2 – Pre-Award Requirements phase, is to be completed**   * **after receiving TDOT’s letter to proceed with advertisement,** * **after advertising the procurement solicitation,** * **after receiving vendor responses,** * **after evaluating vendor responses,** * **after determining the vendor that will be awarded the purchase,** * **after preparing the pre-award audit document,** * **and prior to executing the award with the selected vendor,**   **and is then submitted to TDOT in the request for a letter to proceed with award. This part is used as a check list to document the grantee’s review of the vendor responses determined needed in Part 1 and preparing the pre-award audit documentation for the selected vendor(s) to be maintained in the procurement file.** | |

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| **Selected Vendor** | | | |
| **Name of vendor(s) selected for award:** | Click or tap here to enter text. | | |
|  | | **True** | **False** |
| **The vendor(s) submitted price amounts that result in a total amount for the procurement, vehicles and all optional quantities added together, of greater than $150,000?**  *(49 USC §5323 (J)(13))* | |  |  |

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| **Buy America Vendor Certification**  *(49 CFR 661.11&12) (49 USC 5323(j)) (449 CFR 663.13) (FAST Act)* | | | |
| Required for   * All revenue rolling stock vehicles * Service vehicles * Procurements greater than $150,000 | | | |
|  | **N/A** | **True** | **False** |
| If applicable, does the response from the vendor selected to receive the award include the 49 CFR 661.11 Buy America certification? (*See also Clause and Certification checklist*)  (Attach copy of Buy America certification) |  |  |  |
| **Pre-Award Audits**  *(49 CFR 663 Subpart B & D) (49 USC 5323(m))* | | | |
| Required for   * All revenue rolling stock vehicles * NOT for Service vehicles | | | |
| **Pre-Award Audit: Buy America Certification**  *(49 CFR 663.25)* | | | |
|  | **N/A** | **True** | **False** |
| If applicable, the vendor’s response included the following documentation for the subrecipient to complete the Pre-Award Buy America Certification?   1. a letter from FTA which grants a waiver to the rolling stock to be purchased from the Buy America requirements under section 165(b)(1), (b)(2), or (b)(4) of the Surface Transportation Assistance Act of 1982, as amended; or 2. documentation on the rolling stock to be purchased from the manufacturer which lists 3. Component and subcomponent parts of the rolling stock to be purchased identified by manufacturer of the parts, their country of origin and costs, and 4. The location of the final assembly point for the rolling stock, including a description of the activities that will take place at the final assembly point and the cost of final assembly.   This must result in confirming U.S. manufacturing content is more than 70%.  (*See also the Clause and Certification checklist*) |  |  |  |
| If applicable, the subrecipient has reviewed itself, or through an audit prepared by someone other than the manufacturer or its agent, documentation provided by the manufacturer which lists   1. a letter from FTA which grants a waiver to the rolling stock to be purchased from the Buy America requirements under section 165(b)(1), (b)(2), or (b)(4) of the Surface Transportation Assistance Act of 1982, as amended; or 2. documentation on the rolling stock to be purchased from the manufacturer which lists 3. Component and subcomponent parts of the rolling stock to be purchased identified by manufacturer of the parts, their country of origin and costs, and 4. The location of the final assembly point for the rolling stock, including a description of the activities that will take place at the final assembly point and the cost of final assembly.   This must result in confirming U.S. manufacturing content is more than 70%.  and completed the Pre-Award Audit Buy America Certification?  (*See also the Clause and Certification checklist*) |  |  |  |
| **Pre-Award Audit: Purchaser’s Requirements Certification**  *(49 CFR 663.27)* | | | |
|  | **N/A** | **True** | **False** |
| (a) If applicable, does the vendor’s response include specifications stated in a manner that the subrecipient can determine that the description of the rolling stock provided in the vendor’s response is the same product requested in the solicitation? |  |  |  |
| (b) If applicable, does the vendor’s response include information in order for the subrecipient to make a responsible party determination? |  |  |  |
| If applicable, the subrecipient can certify   1. That the vendor’s response to the solicitation is the same product as described in the rolling stock solicitation document. 2. The selected vendor is a responsible manufacturer with the capability to produce the vehicle that meets the specifications in the rolling stock solicitation document.   and complete the Pre-award Purchaser’s Requirements Certification?  (*See also the Clause and Certification checklist*) |  |  |  |
| **Pre-Award Audit: Manufacturer’s Federal Motor Vehicle Safety Standards (FMVSS) Certification**  *(49 CFR 663.23)* | | | |
|  | **N/A** | **True** | **False** |
| If applicable, does the vendor’s response include a copy of the manufacturer’s self-certification that the vehicle complies with FMVSS, or the manufacturer’s certification that these standards are inapplicable? |  |  |  |
| If applicable, the subrecipient can certify that the vehicle complies with FMVSS, or the manufacturer’s certification that these standards are inapplicable and complete the Pre-Award Manufacturer’s Federal Motor Vehicle Safety Standards (FMVSS) certification? |  |  |  |
| **Pre-Award Audit**  *(49 CFR 663 Subpart B & D) (49 USC 5323(m))* | | | |
|  | **N/A** | **True** | **False** |
| If applicable, the subrecipient has completed the Pre-Award Buy America certification? |  |  |  |
| If applicable, the subrecipient has completed the Pre-Award Purchaser’s certification? |  |  |  |
| If applicable, the subrecipient has completed the Pre-Award Manufacturer’s Federal Motor Vehicle Safety Standards (FMVSS) certification? |  |  |  |
| If applicable, the subrecipient will keep on file these three certifications, the Pre-Award Audit, with the procurement file?  (Attach copy of Pre-Award Audit) |  |  |  |
| **Transit Vehicle Manufacturer (TVM) Compliance with DBE Requirements**  *(49 CFR 26.5) (49 CFR 26.49(a))* | | | |
| Required for   * Only for vehicles used in public transportation * NOT for Service vehicles   Only those transit vehicle manufacturers listed on FTA's eligible TVMs list, or that have submitted a goal methodology to FTA that has been approved or has not been disapproved, at the time of solicitation are eligible to bid.  The list of eligible TVMs can be found at this website: <https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/eligible-transit-vehicle-manufacturers> | | | |
|  | **N/A** | **True** | **False** |
| If applicable, did the vendor submit in their response to the solicitation the required certification that they have complied with 49 CFR Part 26 Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs? (*See also the Clause and Certification checklist*) |  |  |  |
| **Bus Testing Requirements**  *(49 CFR 665) (49 USC 5318)* | | | |
| Required for   * Buses and modified vans used in public transportation * NOT for unmodified mass-produced vans, only those in the 4-year/100,000-mile service life category. Unmodified mass-produced vans are vehicles manufactured as complete, fully assembled vehicles as provided by the original equipment manufacturer (OEM). This category includes vans with raised roofs or wheelchair lifts or ramps that are installed by the OEM or by someone other than the OEM, provided that the installation of these components is completed in strict conformance with the OEM modification guidelines. * NOT for Service vehicles   Buses and modified vans to be used in transit service are required to be tested and receive an Altoona Bus Testing Report. Bus models that were tested after October 31, 2016, must have received a passing score. The Bust Testing requirement is for the FTA recipient to certify compliance with the Bus Testing provisions in the FTA application through the attachment of the certifications and assurances that are executed annually and attached to Federal applications via reference. To meet these certification requirements, subrecipients are required to receive the Bus Testing report from vendors. The subrecipient should plan to inform potential vendors that the Bus Testing report must be included in the vendor’s response to the subrecipient’s procurement solicitation. (*See also the Clause and Certification checklist*) | | | |
|  | **N/A** | **True** | **False** |
| If applicable, did the vendor submit in their response to the solicitation the required Bus Testing Report? (*See also the Clause and Certification checklist*)  (Attach copy of Bus Testing Report) |  |  |  |
| **Innovative Procurement Requirement – 5339 Rolling Stock Purchasing Requirements**  *(Infrastructure Investment and Jobs Act Section 30018) (FAST Act Section 3019)* | | | |
| Required for   * Vehicles used in public transportation * At least partially purchased with 5339 program funds * NOT for Service vehicles – not eligible expense under the 5339 program   The 5339 program is for the provision of bus and bus facilities capital investment subsidization for transit agencies. The program contains the provision that to the extent practicable subrecipients should seek to use Innovative Procurement. Innovative Procurement includes the use of the following procurement tools,   1. Interstate Cooperative Procurements – participation in a cooperative contract with other grantees, including those in other states. 2. State Cooperative Procurement Schedules – state government cooperative procurement contract with one or more vendors which include an option to purchase rolling stock and allows for other participants to use the contract 3. Pilot Program for Non-Profit Cooperative Procurements – a pilot program established by the USDOT Secretary of cooperative procurement contracts administered by nonprofit entities 4. Joint Procurement Clearinghouse – a clearinghouse established by the USDOT Secretary to aggregate planned rolling stock purchases and identify joint procurement participants 5. Leasing – capital leasing arrangements in lieu of purchases, which encourages the capital leasing of zero emission vehicle components.   If a subrecipient purchases less than five buses through a stand alone procurement, the subrecipient is required to provide a written explanation to the Secretary explaining why the tools were not utilized. (*See also the Clause and Certification checklist*) | | | |
|  | **N/A** | **True** | **False** |
| (1) Will the procurement use federal program 5339 funds? |  |  |  |
| (2) Is the procurement for less than five buses? |  |  |  |
| (3) Does the subrecipient plan to use an Innovative Procurement tool? |  |  |  |
| If applicable, if the subrecipient’s response is True for both questions (1) and (2) and False for question (3), has the subrecipient completed a written explanation that explains why the Innovative Procurement tools were not used? (*See also the Clause and Certification checklist*) |  |  |  |

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| **PART 2 – End Check Point**  *Completed and submitted prior to issuing purchase order or executing contract* | | | |
| After completing Part 2 of the Rolling Stock Worksheet, the Pre-Award requirements for the procurement, stop here to request letter to proceed with award. After completing the Rolling Stock Worksheet Part 2, include it and attachments with other pre-award documents and send for TDOT review and to send a letter to proceed with award. Once the letter to proceed with award is received by the grantee a contract can be signed and/or a purchase order can be issued (note the next TVM step to report to TDOT within 30 days of the award any vehicles purchased other than from the Tennessee statewide contract 234), and delivery of the vehicles, and Part 3 of the Rolling Stock Worksheet completed, Post-Delivery Requirements. | | | |
| **Transit Vehicle Manufacturer (TVM) Compliance with DBE Requirements – TDOT FTA Reporting**  *(49 CFR 26.5) (49 CFR 26.49(a))* | | | |
| Required for   * Only for vehicles used in public transportation * NOT for Service vehicles   FTA recipients are required to submit within 30 days of making an award, the name of the successful bidder, and the total dollar value of the contract in the manner prescribed in the grant agreement.  Currently TDOT is reporting these transactions with the FTA. For an award other than one which uses the statewide transit vehicle contract the subrecipient is required to notify TDOT, within 30 days of the award to the vendor of issuing a purchase order or signing a contract for the purchase, in order for TDOT to timely file the information on the online FTA Transit Vehicle Award Reporting Form.  Purchases from the Tennessee statewide contract for transit vehicles (currently SWC 234) have already been reported by TDOT to the FTA and do not need to be reported to TDOT by the subrecipient. Only purchases that occur when not using the Tennessee statewide contract must be reported to TDOT. | | | |
|  | **N/A** | **True** | **False** |
| Did the subrecipient make an award of a vehicle other than a purchase from the Tennessee statewide contract for transit vehicles? |  |  |  |
| If the answer to the previous question is True, the subrecipient notified TDOT of the required information within 30 days of the award? |  |  |  |

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| **Rolling Stock Worksheet Part 3 - Post Delivery Requirements**  *Completed prior to transfer of title to subrecipient* | |
| **Completed by:** | Click or tap here to enter text. |
| **Date:** | Click or tap to enter a date. |
| **Part 3 – Post-Delivery Requirements phase, is to be completed**   * **after receiving TDOT’s letter to proceed with award,** * **upon delivery of the awarded vehicles,** * **after preparing the post-delivery audit document,** * **prior to title to the rolling stock is transferred to the grantee,**   **and is then submitted to TDOT. This part is used as a check list to document the grantee’s review and receipt of vehicles and information determined needed in Parts 1 & 2 and preparing the post-delivery audit documentation for the selected vendor(s) to be maintained in the procurement file. Once Part 3 – Post-Delivery Requirements documentation has been reviewed and approved by TDOT, title can be transferred to the grantee and the asset management documentation process commenced.** | |

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| **Post-Delivery Audits**  *(49 CFR 663 Subpart C & D) (49 USC 5323(m))* | | | |
| Required for   * All revenue rolling stock vehicles * NOT for Service vehicles | | | |
| **Post-Delivery Audit: Buy America Certification**  *(49 CFR 663.35)* | | | |
|  | **N/A** | **True** | **False** |
| The vendor has provided the following documentation upon delivery of the rolling stock and prior to the transfer of title to the subrecipient to complete the Post-Delivery Buy America Certification.   1. a letter from FTA which grants a waiver to the rolling stock received from the Buy America requirements under section 165(b)(1), (b)(2), or (b)(4) of the Surface Transportation Assistance Act of 1982, as amended; or 2. documentation from the manufacturer of the rolling stock delivered which lists 3. Component and subcomponent parts of the rolling stock to be purchased identified by manufacturer of the parts, their country of origin and costs, and 4. The location of the final assembly point for the rolling stock, including a description of the activities that will take place at the final assembly point and the cost of final assembly.   This must result in confirming U.S. manufacturing content is more than 70%.?  (*See also the Clause and Certification checklist*) |  |  |  |
| If applicable, the subrecipient has reviewed itself, or through an audit prepared by someone other than the manufacturer or its agent, documentation provided by the manufacturer which lists.   1. a letter from FTA which grants a waiver to the rolling stock received from the Buy America requirements under section 165(b)(1), (b)(2), or (b)(4) of the Surface Transportation Assistance Act of 1982, as amended; or 2. documentation from the manufacturer of the rolling stock delivered which lists 3. Component and subcomponent parts of the rolling stock to be purchased identified by manufacturer of the parts, their country of origin and costs, and 4. The location of the final assembly point for the rolling stock, including a description of the activities that will take place at the final assembly point and the cost of final assembly.   This must result in confirming U.S. manufacturing content is more than 70%.?  (*See also the Clause and Certification checklist*) |  |  |  |
| **Post-Delivery Audit: Purchaser’s Requirements Certification**  *(49 CFR 663.37)* | | | |
|  | **N/A** | **True** | **False** |
| (1) Is this a procurement of Ten (10) or fewer buses? |  |  |  |
| (2) Is this a procurement of twenty (20) vehicles or fewer serving rural areas, or urbanized areas of 200,000 people or fewer? |  |  |  |
| (3) Is this a procurement of primary manufacturer standard production and unmodified vans? |  |  |  |
| For the vehicles that result in a True response for questions (1), (2), or (3) the subrecipient must visually inspect and road test the vehicles to complete the Post-Delivery Purchaser’s Requirements Certification. The subrecipient can then certify that the vehicles meet the award specifications and complete the Post-Delivery Purchaser’s Requirements Certification.  If applicable, for the vehicles that result in a True response for questions (1), (2), or (3), the subrecipient visually inspected and road tested the delivered vehicles? |  |  |  |
| For the vehicles that result in a False response for questions (1), (2), or (3), meaning that   1. this is a procurement of more than 10 buses, or 2. this is a procurement of more than 20 vehicles serving rural areas, or urbanized areas of 200,000 people or fewer, or 3. this is a procurement of a modified van (includes vans that are not included in the 4-year/100,000-mile service life category),   the subrecipient must provide for a resident inspector, someone other than an agent or employee of the manufacturer, who is at the manufacturing site throughout the period of manufacture of the rolling stock to be purchased and monitors and completes a report on the manufacture of such rolling stock. After reviewing that report and visually inspecting and road testing the delivered vehicles, the subrecipient can then certify that the vehicles meet the award specifications and complete the Post-Delivery Purchaser’s Requirements Certification.  If applicable, for the vehicles that result in a False response for questions (1), (2), or (3), the subrecipient received the report from a resident inspector, someone other than an agent or employee of the manufacturer, who was at the manufacturing site throughout the period of manufacture of the rolling stock delivered and monitored and completed a report on the manufacture of such rolling stock? |  |  |  |
| If applicable, for the vehicles that result in a False response for questions (1), (2), & (3), after receiving and reviewing the resident inspector’s report the subrecipient visually inspected and road tested the vehicles upon delivery? |  |  |  |
| If applicable, the subrecipient reviewed the resident inspector’s report, if required, and visually inspected and road tested the vehicles upon delivery in order to certify that the vehicles meet the award specifications and provide a Post-Delivery Purchaser’s Requirements Certification? |  |  |  |
| **Post-Delivery Audit: Manufacturer’s Federal Motor Vehicle Safety Standards (FMVSS) Certification**  *(49 CFR 663.33)* | | | |
|  | **N/A** | **True** | **False** |
| If applicable, in the Pre-Award vendor’s response a copy of the manufacturer’s self-certification that the vehicle complies with FMVSS, or the manufacturer’s certification that these standards are inapplicable were included?  (Confirmation of compliance with FMVSS can also be seen on the FMVSS sticker inside the driver side door.) |  |  |  |
| If applicable, the subrecipient can certify that the vehicle complies with FMVSS, or the manufacturer’s certification that these standards are inapplicable and complete the Post-Delivery Manufacturer’s Federal Motor Vehicle Safety Standards (FMVSS) certification? |  |  |  |
| **Post-Delivery Audit**  *(49 CFR 663 Subpart B & D) (49 USC 5323(m))* | | | |
|  | **N/A** | **True** | **False** |
| If applicable, the subrecipient has completed the Post-Delivery Buy America certification? |  |  |  |
| If applicable, the subrecipient has completed the Post-Delivery Purchaser’s certification? |  |  |  |
| If applicable, the subrecipient has completed the Post-Delivery Manufacturer’s Federal Motor Vehicle Safety Standards (FMVSS) certification? |  |  |  |
| If applicable, the subrecipient will keep on file these three certifications, the Post-Delivery Audit, with the procurement file?  (Attach copy of Post-Delivery Audit) |  |  |  |

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| **PART 3 – End Check Point**  *Completed prior to transfer of title to subrecipient* |
| After completing Part 3 of the Rolling Stock Worksheet, the Post-Delivery requirements for the procurement, stop here and send Post-Delivery documentation to TDOT. After the Part 3 Post-Delivery Requirements documentation has been reviewed and approved by TDOT, title can be transferred to the grantee and the asset management documentation and oversight process commenced. |