# **Procurement Training**

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Transportation

- Procurement Procedures and Guidelines
- Statewide Term Contracts
- Vehicle Purchasing/Disposition



- Local Procurement
  - Effective with new OMB Super Circular (replaces the Uniform Administrative Requirements as of 12-2014), all subrecipients of the state follow state's procurement policies and procedures.
    - Provide full & open competition on all procurements <u>></u> <u>\$10,000.</u>;
    - Include all applicable FTA clauses > \$10,000., including Buy America, Debarment and Suspension, and Restrictions on Lobbying;

- Local Procurement (cont.)
  - Comply with the N.C.G.S. 143 Article 3D, Procurement of Architectural, Engineering, and Surveying Services (Brooks Act)
  - Comply with the five-year limitation on purchases of rolling stock or replacement parts; and
  - Award only to responsible contractors/vendors.



#### Quick-Reference Purchasing Guide

Note: The following procurement thresholds meet dollar amounts required by PTD. Your agency may set more stringent requirements.

#### < \$9,999 Micro-Purchases - NEW

- May be made without obtaining price quotes
- . Must document how price was determined to be fair & reasonable (comparison of catalog/online prices, etc.)
- · Procurement History Form may be used to document
- Obtain written approval (in accordance with local policy) prior to purchase—submit Procurement History Form & other documentation to:
  - Executive Director/Other up to \$XXX
  - Board of Directors \$XXX or more
- Vendor does not have to comply with Federal requirements, except if federal funds are used for construction. The Davis-Bacon Act applies to costs of \$2,000 or more, and this requirement must be included with solicitation.

#### Price Quotes (\$10,000 - \$29,999) - NEW

- PTD must review new or adapted specifications prior to solicitation of all "new type" rolling stock.
   "New-Type" Rolling Stock excludes standard minivans or vehicles available on PTD contracts.
- · Solicit from at least 3 suppliers/vendors by email, mail, or in person.
- Applicable Federal requirements & certifications must be included with solicitation (if funded in part with Federal funds).
- Document quotes solicited and received (at least 3 quotes should be received) on Procurement History Form & complete PTD Procurement Checklist
- If vendor with lowest price is <u>not</u> selected, include basis/reason for selection (delivery date; better warranty/service; etc.); <u>prior PTD approval is required.</u>
- Obtain written approval (in accordance with local policy) prior to purchase—submit Procurement History Form & other documentation to:
  - Executive Director/Other up to \$XXX
  - Board of Directors \$XXX or more
- Procurement Checklist must be submitted to PTD for prior approval on all purchases over \$10,000.

#### Informal Bids (\$30,000 - \$89,999)

- PTD must review new or adapted specifications <u>prior to solicitation</u> of all "new type" rolling stock and <u>ALL</u> construction related procurements.
   "New-Type" Rolling Stock excludes vehicles available on PTD contracts.
- · Solicit written quotes from at least 3 suppliers/vendors.
- Applicable Federal requirements & certifications must be included with solicitation (if funded in part with Federal funds)
- Construction MBE or DBE verifiable goals for construction procurements must be established (PTD must be contacted for goal)
- Required steps must be taken to satisfy MBE requirements—G.S. 143-128.2(f)
- Document quotes solicited and quotes received (at least <u>3 quotes</u> should be received) on Procurement History Form, attach written quotes, & complete
   PTD Procurement Checklist and submit to PTD for prior approval.
- Obtain <u>written</u> approval (in accordance with local policy) prior to award—submit Procurement History Form, <u>Procurement Checklist</u>, & any other documentation to:
  - Executive Director/Other up to \$XXX
  - Board of Directors \$XXX or more

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# Procurement (\$10,000-\$29,999)

- Contact or send requests for quotes to at least 3 responsible vendors
- Quotes can be informal (over the phone or email)
- Procurement Checklist and History Form
- All bids over \$25,000 require a Debarment Certification signed by vendor
- Require E-Verify compliance for any service or installation



# Procurement (\$30,000-\$89,999) for Equipment/Supplies; \$30,000-\$499,000 for Construction

- Contact or send requests for quotes to at least 3 responsible vendors
- Must receive at least 3 quotes back
- Procurement Checklist and History Form
- All bids over \$25,000 require Debarment Certification signed by vendor
- Require E-Verify compliance for any service or installation
- Buy America certification needed for projects over \$150,000



# Procurement Sealed Bid (\$90,000 and above); \$500,000 and above for Construction

- Must advertise bid for at least 7 full days before bid opening
- May use electronic ad, newspaper or both (must have prior agency board approval if solely electronic)
- Procurement Checklist and History Form
- Requires Debarment Certification signed by vendor
- All bids exceeding \$100,000 vendors and/or consultants must sign Lobbying Certification
- Require E-Verify compliance for any service or installation
- Buy America certification needed for all bids involving construction, equipment or materials over \$150,000

# Procurement continued....

- Procurement History Form (reflects how price was determined to be fair and reasonable)
- Must include the following:
  - 3 quotes
  - Project No.
  - Project Period
  - Approved Budget
  - Explanation on how vendor was selected (sole source justification letter needed separately if sole source)
  - Attached quote documentation



| ubrecipient:IMD   |   |  |  |  |  |  |
|---|---|--|--|--|--|--|
| roject No.: 03/21 bject Code/Line Item No.:   | ☐ Professional/ A & E Services 7/18 ☐ Technology/ Goods/ Services 7/18  |  |  |  |  |  |
| PRICE QUOTES - PROCUREMENT CHECKLIST \$10,000 - \$29,999 (All Procurements**)   | Certifications: (Include all executed certifications when submitting documentation for approval.)   |  |  |  |  |  |
| his checklist incorporates the State's local government procurement requirements as stated in N.C.G.S. 143-129 nd 143-131, the Federal Transportation Administration's (FTA) requirements as stated in FTA Circular 4220.1F, uidance found in FTA's Beat Practices Manual, and FTA's Master Agreement FTA MA (22), dated October 1, 2015, lee "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," 2 C.F.R att 200, dated December 26, 2014, and FTA's new authorizing legislation, and any subsequent amendments or visions thereto.  YPE OF PURCHASE (list quantity and describe)  **Libration Procurement Checklist and supporting documentation for all local procurements over 10,000 including ROLLING STOCK***. Identify type of Purchase:    Rolling Stock: | 1. All bids and quotes over \$10,000 that require a service or installation must include the Affidavit of Compliance with NC E-Verify signed by all vendors, suppliers, or contractors certifying that they are in compliance with NCGS 64-26.    2. All bids and quotes over \$25,000 must include the Debarment Certification signed by all vendors, suppliers, or contractors certifying that they are not on the State's or Federal's Debarment or Excluded Parties Listing System.  The transit system is required to review all third party contractors under the Exclude Parties Listing System at <a href="http://www.pandc.nc.gov/actions.asp">http://www.pandc.nc.gov/actions.asp</a> before entering into any contracts.    3. All bids or contracts valued over \$1,000 with the State of NC or local governments, or any political subdivisions of the State, must have a certification that the contractor is not on the Final Divestment List that has been created by the NC State Treasurer pursuant to N.C.G.S. § 143-6A-4, in compliance with the requirements of the Iran Divestment Act and N.C.G.S. 143C-6A-5(b), Contractor shall not utilize the performance of the contract any subcontracte that is identified on the Final Divestment List. Effective February 26, 2016 this certification must be completed by all contractors providing goods or services over \$1,000.    Additional Requirements: (Include all documentation with checklist) |  |  |  |  |  |
| UNDING SOURCES (check all that apply)  State funds - Complete Part A of Procurement Process only Federal funds- Parts A and B of Procurement Process must be completed FTA grant funds:531153105316 _531753395307, Other:   | Certify that vehicle meets specifications and the FMVSS compliance requirements. Upon delivery, "Post Delivery" MUST be completed and Certify that vehicle meets requirements Documentation must be kept on file.   |  |  |  |  |  |
| ROCUREMENT PROCESS  A. PRICE QUOTES: Rolling Stock, Equipment, Supplies, and Construction – 10,000 - \$29,999 (Price quotes should be conducted by email, fax, mail or in person)  1. Specification or criteria.  | I hereby certify that this procurement was conducted following all applicable state, federal and is and requirements. Documentation regarding this procurement is on file and will be retained at I from the date of project closeout, in accordance with state and federal requirements. (The persthis checklist and that the procurement was conducted following all applicable procedur authorized to have oversight of this procurement.)   | east five (5) yea<br>son that certifie |  |  |  |  |
| Solicitation: Contact or send to at least 3 responsible suppliers (list):     Tabulation of quotes received. Must receive at least 2 quotes (list or attach copy):  | I am authorized to certify at this procurement level:   |  |  |  |  |  |
| 4. Contract award (or Purchase Order) issued to:  (If award made to other than the low bidder, submit for pre-award approval, attach justification for award.)  5. State funded: go to last page, certify with authorized signature.  FTA funded: complete all sections of item B. FEDERAL REQUIREMENTS that apply.   | (Signature) (Date) (Title) (Telephone ni  |  |  |  |  |  |
| B. FEDERAL REQUIREMENTS:  | (Telephone III  | illiber)                               |  |  |  |  |
| Provide the correct RegionEmintor.  Provide the splicable set of federal requirements. You will find the link listed here:  https://connect.ncdot.gov/business/Transit/Pages/Transit-Procurement.aspx. Then click on the "Federal and State Requirements 2016", where you will find the listed Federal Requirement selection listed below. You will need to download the appropriate one for your procurement. Attach this document to your solicitation for Price Quotes.  | PRIOR APPROVAL IS REQUIRED FOR ALL PROCUREMENTS OVER 10,000.  PUBLIC TRANSPORTATION DIVISION APPROVAL:  BY: Date:   |  |  |  |  |  |
| Select the Federal Requirements that is in compliance for your Solicitation:  Construction 7/18 Rolling Stock 7/18 Materials / Equipment / Supplies 7/18 Operations & Management 7/18   | APPROVED: AMOUNT: COMMENTS:   |  |  |  |  |  |



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| PROCUREMENT HISTORY FORM  |  |  |                   |                   |                   |                   |                  |                 |  |  |
|---|--|--|-------------------|-------------------|-------------------|-------------------|------------------|-----------------|--|--|
| Project No.: Project Period of Perform. ends: Budget Object Code: Item Name: Approved in Budget: \$   |  |  |                   |                   |                   |                   |                  |                 |  |  |
| If cost <\$10,000 indicate below how price was determined to be fair and reasonable:    Compared to catalog or online price sold to the general public  |  |  |                   |                   |                   |                   |                  |                 |  |  |
|   | Compared to catalog or online price sold to the general public  Number of Quotes Solicited:  Number of Quotes Solicited:  Number of Quotes Received:  Number of Quotes Received:  Note: If cost > \$30,000 written quotes and other requirements apply—See Informal Bid Process  |  |                   |                   |                   |                   |                  |                 |  |  |
|   | Compared to the pricing history of the same item from previous purchases    Compared to the pricing history of the same item from previous purchases   floors > \$90,000 sealed bids and other requirements apply—See Formal (Sealed) Bid Process  |  |                   |                   |                   |                   |                  |                 |  |  |
|   | of Emplo   |  | Vendor #1         |                   | Vendor #2         |                   |                  | Vendor #3       |  |  |
| Conducting Procurement:   |  |  |                   |                   |                   |                   |                  |                 |  |  |
| Emplo   | yee's Jol  | Title:   | Quoted By:        |                   | Quoted By:        |                   | Quoted By:       |                 |  |  |
|   |  |  |                   |                   |                   |                   |                  |                 |  |  |
| Date:   |  |  |                   |                   |                   | +                 |                  |                 |  |  |
| Qty   | Unit   | Description (and/or attach specifications)                                       | Unit Price        | Extension         | Unit Price        | Extension         | Unit Price       | Extension       |  |  |
| Qty   | Oiiit  | Description (unarol attach specifications)                                       | Onitifice         | Extension         | Omerne            | Extension         | Omernee          | Extension       |  |  |
| <b>-</b>  |  |  |                   |                   |                   |                   |                  |                 |  |  |
| <b>—</b>  |  |  |                   |                   |                   |                   |                  |                 |  |  |
| <b>-</b>  |  |  |                   |                   |                   |                   |                  |                 |  |  |
| <b>—</b>  |  |  |                   |                   |                   |                   |                  |                 |  |  |
|   |  |  |                   |                   |                   |                   |                  |                 |  |  |
|   |  |  |                   |                   |                   |                   |                  |                 |  |  |
|   |  |  |                   |                   |                   |                   |                  |                 |  |  |
|   |  |  |                   |                   |                   |                   |                  |                 |  |  |
| <u> </u>  |  |  |                   |                   |                   |                   |                  |                 |  |  |
|   |  | Total Amount of Quotation:   | \$                | \$                | \$                | \$                | \$               | \$              |  |  |
| Payment Terms: (Net 30: Net 20: Net 10):  |  |  |                   |                   |                   |                   |                  |                 |  |  |
| Delivery Terms: (Vendor Pays Freight/Agency Pays Freight):  |  |  |                   |                   |                   |                   |                  |                 |  |  |
|   |  | Delivery Date:   |                   |                   |                   |                   |                  |                 |  |  |
|   |  | Awarded to:<br>(note purchase order number, if applicable, under awarded vendor) |                   |                   |                   |                   |                  |                 |  |  |
| □ Ch  | eck here   | if selection not based on lowest price and indicate other basis/reason for s     | election:         | ☐ Delivery Char   | nes 🗆 Deliv       | rery Date 🗆 🗆 C   | uality           | arranty/Service |  |  |
| _   | ner (expla   | <del></del>  |                   |                   |                   | ,                 |                  |                 |  |  |
|   |  | •  | ne & hetculeve er | rentance may be m | ade of the lowest | and hest quote mo | t advantageous t | o [Agency       |  |  |
| Note: The RFQ (request for quotes) should state the selection criteria, i.e.: Qualified quotes will be evaluated & acceptance may be made of the lowest and best quote most advantageous to [Agency Name] as determined upon consideration of such factors as; prices offered; quality of items offered; general reputation & performance capabilities of offerors; substantial conformity with specifications/ |  |  |                   |                   |                   |                   |                  |                 |  |  |
| Name as determined upon consideration to such factors as, prices oriented, quanty or terms oriented, general reputation is periormanice capabilities of oriential section of the conditions set forth in quote; suitability of articles for the intended use; related services needed; date of delivery & performance; and such other factors deemed by fAgency Namel to be perfinent.                          |  |  |                   |                   |                   |                   |                  |                 |  |  |
| other comments:   |  |  |                   |                   |                   |                   |                  |                 |  |  |
| out comments.   |  |  |                   |                   |                   |                   |                  |                 |  |  |
|   |  |  |                   |                   |                   |                   |                  |                 |  |  |
| Attach specifications, written vendor quotes/brochures, purchase requisition/order, as applicable, and forward to approval official prior to purchase. If required, submit to NCDOT/IMD along with completed Procurement Checklist for pre-award approval. After purchase is complete, retain this form and all documentation for file.   |  |  |                   |                   |                   |                   |                  |                 |  |  |
|   |  | Official (printed name and position title):                                      |                   |                   |                   |                   |                  |                 |  |  |
| -e  |  | •  |                   |                   | Signature:        |                   |                  | Date Signed:    |  |  |
| ٥   |  | certify that this procurement was conducted following all applicable state, for  |                   |                   |                   |                   |                  |                 |  |  |
|   |  | nts. Documentation regarding this procurement is on file and will be retained up |                   |                   |                   |                   |                  |                 |  |  |
|   | to project closeout. Funds are available for this purchase and I am authorized to certify at this procurement level.    Date submitted to NCDOT/IMD for approval (if required):   Date approved by NCDOT/IMD (if required):  |  |                   |                   |                   |                   |                  |                 |  |  |
|   | East approved by recommendation of the control of t |  |                   |                   |                   |                   |                  |                 |  |  |
| <b>.</b>  |  | ds/Services Received: Accepted By:   |                   |                   | Sati              | sfactory Conditio | n/Quality: Yes   | No 🗆            |  |  |
| Receipt   | Contractor failed to meet contract terms (explain):  |  |                   |                   |                   |                   |                  |                 |  |  |
| å   |  |  |                   |                   |                   |                   |                  |                 |  |  |
| Would you use/recommend this contractor again? Yes No Check here if additional contract administration documentation is attached:   |  |  |                   |                   |                   |                   |                  |                 |  |  |



NCDOT-PTD-FM002

This form is provided for grantees to document procurement activities and is not intended as a mechanism for soliciting/requesting quotes from vendors.

03/20

- FTA Contract Clauses......
  - Operation Management
  - Professional/Architectural/Engineering
  - Radio Equipment
  - Technology Goods & Services
  - Rolling Stock
  - Construction
  - Materials & Equipment



# **Procurement**

FTA Clause Requirements continued.....

FEDERAL AND STATE REQUIREMENTS
AND SPECIAL CONDITIONS
For CONSTRUCTION

#### 2. <u>Federal Changes</u>

Contractor shall at all times comply with all applicable Federal Transit Administration (FTA) regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Master Agreement between Purchaser and FTA, as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this contract.



# **Procurement**

# Construction Projects

All construction related activities over \$10,000. <u>shall require pre-award review and approval</u> by the division before completing the task. The following activities are included, but not limited to, the PTD's pre-award review and approval:

- Planning and Needs Assessment study
- Appraisal of property
- Environmental assessment
- Land acquisition
- Architect or Professional Engineer selection
- Design phases
- Project Management Oversight
- New construction, renovation, or improvements bids and contract award



# **Agency Specific Contracts**

Raised Roof Vans – with or without Lifts (9/28/15 -9/27/20)

```
Contract # 201501047
Vendor – Creative Bus Sales
Sales Rep, Erika Neebly (704-399-2700 ext. 372)
```

LTV's 20'ft, 22'ft, 25'ft & 28'ft — 10/5/16 – 10/4/2020
 Contract # 201600503
 Vendor – Creative Bus Sales
 Sales Rep, Ross Richardson (843-360-8760 ext. 374)

Vendor – Palmetto Bus Sales Sales Rep, **Barnie Smith** (803-754-3827)



# Agency Specific Contracts continued.....

```
Vendor – Interstate Transportation Sales & Service, Inc. Sales Rep, Ken McDowell (336-899-8132)
```

```
Vendor – Carolina Thomas
Sales Rep, Lance Hill (336-851-1718)
```

 Transit Bus Equipment # 1 – Mobile Digital Video Recording Systems (3/16/2020 -3/15/2023)

```
Contract # 201900485
Vendor – Apollo Video Technology
Sales Rep, Veronica Lacy (972-516-3097)
```



# Agency Specific Contracts continued.....

Vendor – **Seon System Sales**Sales Rep, **Angela Johnson** (470-509-0908)

Vendor – IVS Inc, Angel Trax
Sales Rep, Sally Klein (334-692-4600 ext. 4611)



# Agency Specific Contracts continued.....

Bi-Fuel Propane Conversion Kits (12/5/18 – 12/31/2021)

Contract # 201400344

Vendor – Energy United Propane Sales rep, **Darrin Shaffer** (919-384-5569)

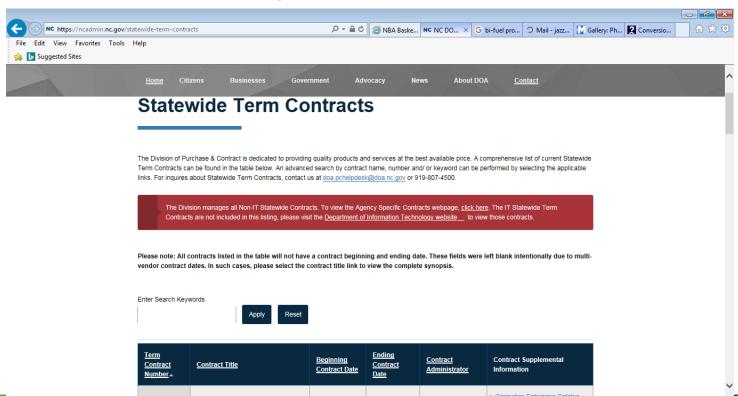
Vendor – ICOM North America Sales rep, **Albert Vemezio** (248-573-4934)

Vendor - Roush Cleantech Sales rep, **Todd Mouw** (734-466-6522)



# **Statewide Term Contracts**

- NC Purchasing & Contract Search
- https://ncadmin.nc.gov/statewide-term-contracts





# Statewide Term Contracts

- Examples of Statewide Term Contracts
  - <u>070A Vehicles (Passenger, Truck, Van, SUV and Law Enforcement)</u>
  - 863A New Tires & Tire Related Services (General and Pursuit)

- IT Contracts
  - 725G Radios (Two-Way), Communications Equipment



# **Procurement**

LTV





# **Procurement**

Raised Roof Van





# Procurement (LTVs & Raised Roof Vans)

- Order Form Process (LTV's & RR Vans) Available on procurement website & are sent out each FY to eligible transit systems
- Vehicle Delivery (24-hour inspection required by transit system upon delivery) Inspection forms available on procurement website



- Disposition
  - Disposition of Vehicles
    - Disposition process starts when new replacement vehicle is delivered;
    - The inspection/disposition form is completed for the vehicles and submitted to PTD;
    - Vehicles that are replaced are to be removed from the fleet and disposed within 60 days;
      - Mark D or R in AssetWorks Inventory
    - Proceeds from the sale may be used as local match for the transportation program
      - All proceeds must be used for transportation needs

- Disposition
  - Casualty Loss of Vehicles
    - When a vehicle accident/incident occurs, it must be entered in AssetWorks as soon as possible, no later than next business day;
      - Drug & Alcohol testing results must be sent to Safety & Compliance Unit.
    - A vehicle that is totaled, additional paperwork must be submitted to release title:
      - Drug/Alcohol test send to staff in Safety & Compliance.
      - Police Report send to the Procurement Unit
      - Insurance settlement letter send to Procurement Unit
      - AssetWorks' incident # send to Procurement Unit