



Department MATERIALS MANAGEMENT	Subject PROCUREMENT OF INVENTORIED AND NON- INVENTORIED MATERIALS, SUPPLIES AND SERVICES UP TO \$40,000
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I. PURPOSE

To establish proper procedures (for procurements by Materials Management Department Buyers up to \$40,000) for purchasing materials, supplies, and services to ensure that:

- A. All procurements meet the needs of Pace and are acquired at the lowest possible price or for the best value in accordance with Pace’s Ordinance SBD 15-21 as well as any other procedures that may apply.
- B. Vendors are treated fairly in the procurement process.
- C. The award will be made to the vendor that meets the requirements listed in the solicitation. The criteria includes but is not limited to the following:
 - 1. the material/parts must be in stock and available to meet Pace’s timeframe (this is especially crucial during a bus down situation),
 - 2. the price must be fair and reasonable.

II. GENERAL PROCUREMENT GUIDELINES FOR NON-INVENTORY NON-CAPITAL MATERIALS, SUPPLIES AND SERVICES

A. Procurement Method

- 1. Purchases shall be done by using Request for Quotation documents that outline what materials, supplies or service are being procured. These Request for Quotations must be in accordance with Pace’s Ordinance SBD 15-21 for procurements up to \$40,000.00.
- 2. Solicitations shall be faxed or e-mailed to a selection of qualified vendors.
- 3. Pace’s Materials Management staff shall use template procurement documents that have been created for all purchases of materials, supplies and services.

B. Materials Management Files

The Materials Management Department maintains Procurement files that contain the required documents requirements, including:

- 1. requisition



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- 2. sources solicited
- 3. specifications/scope of work or item description
- 4. quotes submitted
- 5. original contract or purchase order
- 4. insurance requirements

C. Responsibilities

- 1. The Requesting Department starts the procurement process by entering a **new** requisition in Oracle. The Requesting Department is responsible for:
 - i. clearly stating what items or services are being requested by entering the information in the Item Description field on the requisition,
 - ii. entering or attaching a specification, scope of work or item description,
 - iii. completing all fields required.
- 2. Once a requisition has been approved it will be reviewed by the Buyer for the following:
 - i. adequate description of items/services,
 - ii. a Specification/Scope of Work for services or specialty items or an item description for Materials and Supplies. The requisition will be returned if it is not complete.
- 3. When the requisition is complete, a request for the insurance requirements for this procurement is made to the Insurance Manager, when required.
- 4. The Request for Quotation is prepared and telephoned, faxed or e-mailed to prospective bidders.
- 5. The winning vendor will be identified on the bids submitted.
- 6. Upon determination of the lowest bidder that meets all requirements, the



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Purchase Order is prepared, approved and printed.

- 7. The Purchase Order is e-mailed or faxed to the vendor.
- 8. Contract files are prepared and contain all documents pertaining to the solicitation.

D. Receipt of Goods

Whenever materials/supplies are delivered or services performed, the requesting department personnel at the operating divisions are required to:

- 1. confirm that items or services that have been delivered are from a Pace order, that they meet the specifications in the purchase order and that the quantities are correct,
- 2. the Inventory Controller to confirm that items delivered or services rendered are invoiced correctly,
- 3. enter a Receipt command for payment for the standard purchase order or the blanket purchase order release.

E. On some occasions, urgent conditions may require using Micro-Purchase procedures for procuring certain items. When the procurement is for the non-repetitive purchase of low cost items whose costs are under the current Federal Micro-Purchase threshold, the following procedures will be followed when required.

- 4. A quote will be solicited from a vendor with a history of having the lowest price for the items being purchased.
- 5. The prices from vendors being used for Micro-Purchases will be checked versus alternative sources on a regular basis to determine the current lowest cost Micro-Purchase vendor.
- 6. The quote will be analyzed to determine if the bid prices are both fair and reasonable.
- 7. If the prices are found to be fair and reasonable, a purchase order will then be issued and approved for the items being purchased.
- 8. Follow the receiving procedures listed above in Section II, D.



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III. GENERAL PROCUREMENT GUIDELINES FOR NON-CAPITAL INVENTORIED PARTS AND SUPPLIES

A. Procurement Method

1. Purchases shall be done by using Request for Quotation documents that outline what materials, supplies or service is being procured. These Request for Quotations are in accordance with Pace’s ordinance SBD 15-21 for procurements up to \$40,000.00.
2. Solicitations are faxed or e-mailed to a selection of qualified vendors.
3. Pace’s Materials Management staff shall use template procurement documents that have been created for all purchases of inventoried parts and supplies.

B. Materials Management Files

The Materials Management Department maintains Procurement files that contain the required documents requirements, including:

1. OEM number and short description,
2. Quotes submitted.

Quotes will be saved and maintained for a minimum of three (3) additional years.

C. Responsibilities

1. Inventory Controllers will print the Oracle Store Items at Reorder Level report from Oracle’s OBIEE Reports that lists all inventory parts below minimum requirements for their facilities.
2. The Inventory Controllers will requisition supplies by entering them on the Oracle Reorder Point Request screen along with other critical requirements requested by the Maintenance Superintendents.
3. Every Friday, the Buyer/Planners print a copy of the Reorder Point Report from the Oracle OBIEE. They go into the Reorder Notice Review screen and start reviewing/analyzing their parts item by item based on categories. They



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analyze the requirements of other divisions to add any additional parts required.

4. Inventory at other divisions will be analyzed and overstock can be transferred to other Divisions to meet requirements.
5. Parts are reviewed to see if they are on existing Blanket contracts. Any items which are on Blanket contracts will have releases created to meet stock requirements.
6. An Oracle requisition will be created for the remaining items.
7. A Request for Quotation will be created for all the inventoried items on the requisition.
8. When Bids are received by the Buyer/Planner they will be awarded to the lowest bidder with the parts in stock. The Purchase Order is created, approved and printed.
9. Releases or Purchase Orders will be faxed or emailed to the vendor by the Buyer/Planner
10. Files are maintained by the Buyer Planner for all bids, Purchase Orders and Releases and will be saved for a minimum of three (3) additional years.

D. Receipt of Goods

Whenever inventoried parts and supplies are delivered or services performed, the requesting department personnel at the operating divisions are required to:

1. Confirm that the parts that have been delivered are from a Pace order and that the quantities are correct. Enter a Receipt command if correct. Call the Buyer/Planner if not correct.
2. Inspect the parts, or if needed have the Maintenance Superintendent inspect the parts to verify that the parts meet our specifications.
 - i. If the parts are okay, enter a “Delivered” command to accept it.
 - ii. If the parts are not okay they will return the part and enter the reasons for the rejection.



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3. If the inventoried parts have passed inspection and been approved, complete the “Delivered” command and then put the parts in stock.
 4. If the inventoried parts have been rejected, first enter a “Delivered” command followed by a “Return to Supplier” command. Then notify the Buyer/ Planner to arrange the return of the parts.
- E. On some occasions, urgent conditions may require using Micro-Purchase procedures for procuring certain items. When the procurement is for the non-repetitive purchase of low cost items whose cost is under the current Federal Micro-Purchase threshold, the following procedures will be followed when required.
1. A quote will be solicited from a vendor with a history of having the lowest price for the items being purchased.
 2. The prices from vendors being used for Micro-Purchases will be checked versus alternative sources on a regular basis to determine the current lowest cost Micro-Purchase vendor.
 3. The quote will be analyzed to determine if the bid prices are both fair and reasonable.
 4. If the prices are found to be fair and reasonable, a purchase order will then be issued and approved for the items being purchased.
 5. Follow the receiving procedures listed above in Section III, D.

IV. GENERAL PROCUREMENT GUIDELINES FOR ASSOCIATED CAPITAL INVENTORIED BUS PARTS

A. Procurement Method

The Buyer/Planners will attempt to maximize competition for procurements in this range. Typically, award is made to the lowest responsive and responsible bidder at this dollar threshold. Simple informal methods of procurement, called Requests for Quotes (RFQs), are to be used to fulfill these procurements. Quotations shall be obtained from an adequate number of qualified sources. Pace’s Materials Management staff will determine and document that the price is fair and reasonable for their respective Associated Capital procurements.



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B. Fair and Reasonable Price Determination

A Fair and Reasonable Price Determination Form attached as Appendix III, shall be used for all Associated Capital Purchases. These Purchases require evidence that the price is fair and reasonable and the price analysis may consist of:

1. developing and examining data from multiple sources, whenever possible, that prove or strongly suggest the proposed price is fair,
2. determining when multiple data consistently indicate that a given price represents a good value for the money,
3. documenting data sufficiently to convince a third party that the analyst’s conclusions are valid.

C. All Associated Capital Purchase contracts must contain remedies for breach of contract and a termination clause.

D. FTA, State, and Other Clauses

Since there are applicable FTA clauses at the Associated Capital Purchase level, Division Buyer/Planners must reference FTA Circular 4220.1F for applicability of clauses for their specific procurement. Additionally, they must utilize the templates created for these purchases. These are located on the shared Materials Management drive.

E. General procurement procedures and prohibitions for Associated Capital purchases

1. Procurement Method and Selection Procedures for Associated Capital solicitation documents shall:
 - i. Incorporate a clear and accurate description of the technical requirements for the material or product to be procured. This description shall not contain features that unduly restrict competition. The description may include a statement of the qualitative nature of the material or product to be procured and, when necessary, shall set forth those minimum essential characteristics and standards to which it must conform if it is to satisfy its intended use.
 - ii. When it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a “brand name or equal”



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description may be used as a means to define the performance or other salient characteristics of the item or services to be procured. The specific features of the named brand which must be met by bidders shall be clearly stated.

- iii. Identify all requirements that bidders must fulfill and all other factors to be used in evaluating quotes.

2. Geographic Restrictions

Pace will not use geographic preferences in the award of these Purchase contracts.

3. Awards to Responsible Contractors

Pace shall make awards only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement. At a minimum, Pace shall not award contracts to vendors who are on the federal Excluded Parties List. This list can be accessed by going to www.sam.gov. Further, a Responsibility Determination Form shall be completed for the winning bidder. This form is attached as Appendix II.

4. Materials Management Files

The Materials Management Department shall maintain a Procurement History file for their respective procurements which provides an audit trail from the initiation of a purchasing requirement through contract end or termination. Associated Capital files require minimal documentation, but must include:

- i. the Requisition,
- ii. an Independent Cost Estimate (ICE),
- iii. Sole Source Justification (if applicable),
- iv. a completed Method of Procurement Matrix Form,
- v. a completed Responsiveness Checklist Form for each quote received,
- vi. a completed Responsibility Determination Form for the vendor with the winning quote,



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- vii. a list of sources solicited,
- viii. Specifications/Scope of Work or item description,
- ix. an original solicitation document and addenda (if applicable),
- x. Quotes submitted,
- xi. RFQ results,
- xii. a completed Price Analysis Form,
- xiii. a single source/single bid analysis form (for single bids only),
- xiv. a completed Cost Analysis Form (for sole source or single bids only),
- xv. a contract or purchase order,
- xvi. Certificate of Insurance.

F. Responsibilities

1. Associated Capital purchases shall be handled through written requests for quotations (RFQs). Buyer/Planners obtain quotations through the informal RFQ process for Associated Capital Purchases. Quotations are sought by e-mail or facsimile up to \$40,000.
2. Inventory Controllers will print the Oracle Store Items at Reorder Level report from Oracle’s OBIEE Reports that lists all inventory parts below minimum requirements for their facilities.
3. The Inventory Controllers will requisition supplies by entering them on the Oracle Reorder Point Request screen along with other critical requirements requested by the Maintenance Superintendents.
4. Every Friday, the Buyer/Planners print a copy of the Reorder Point Report from the Oracle OBIEE. They go into the Reorder Notice Review screen and start reviewing/analyzing their parts item by item based on categories. They analyze the requirements of other divisions to add any additional parts required.
5. Inventory at other divisions will be analyzed by the Buyer/Planner and overstock



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can be transferred to other Divisions to meet requirements.

6. Parts are reviewed by the Buyer/Planner to see if they are on existing Blanket contracts. Any items which are on Blanket contracts will have releases created to meet stock requirements.
7. An Oracle requisition will be created and approved by the Buyer/Planner.
8. A Request for Quotation will be created by the Buyer/Planner for all the inventoried items on the requisition and faxed or E-mailed to the vendors on the bidders list to obtain quotes.
9. Materials Management Buyer/Planners, Materials Planning Supervisor, or Department Manager shall be the only Pace representatives who shall have contact with potential bidders and vendors after an Associated Capital Requisition has been initiated unless otherwise authorized by Materials Management Buyer/Planners, Materials Planning Supervisor, or Department Manager.
10. The Buyer/Planner review requisitions for completeness; requisitions will be corrected and returned for re-approval through Oracle if they are not complete and ready for processing. A complete requisition will at a minimum include:
 - i. a description of the item or service to be procured; specifications or scopes of work if required
 - ii. an Independent Cost Estimate (ICE)

See PC-03, Requisitioning/Requesting Department Responsibilities for further details on requirements.

11. The Buyer/Planner will ensure that all procurements are conducted in accordance with funding agency requirements.
12. The Buyer Planner will determine appropriate method of solicitation; for Associated Capital purchases, an informal RFQ process is adequate. The Method of Procurement Matrix Form shall be completed for Associated Capital purchases. This Form is attached as Appendix I. All sole source procurements at the Associated Capital Purchase level shall require a sole source justification. This will include when a single quote was received.



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- 13. The Buyer/Planner will determine appropriate contract type, i.e., standard purchase order or blanket purchase agreement and prepare the appropriate document.
- 14. Budget Authorities are responsible for verification of charge accounts and the availability of funds, if applicable.
- 15. The Department Manager of Capital Financing and Infrastructure is the final Budget Authority on all capittally funded requisitions.
- 16. The Buyer/Planner will submit electronic copy of requisition and scope of work, with blank insurance requirements form, to the Insurance Manager, for proper insurance requirements for the solicitation. Upon receipt of the completed insurance requirements form from the Insurance Manager, print out and include in the solicitation package.
- 17. Although this is typically minimal for Associated Capital Purchases, on occasion it may be necessary for the Buyer/Planner to review, with the requesting department, any requests for changes which are made by bidders on the specifications. All changes to general terms and conditions require review and approval from the Department Manager, Materials Management or Materials Planning Supervisor. When changes being requested affect insurance and insurance related requirements, these changes must be reviewed and approved by the Insurance Manager.
- 18. The Buyer/Planner will submit all requests for clarification of technical information received from bidders to the requesting department prior to the RFQ closing date. When information has been returned from the requestor, buyers will respond to the vendors as required.
- 19. The Buyer/Planner will record quotes received in response to RFQs.
- 20. The Buyer/Planner will determine if quotes submitted are responsive and responsible. Use the Responsiveness Checklist Form to determine the responsiveness of each quote. Complete a Responsibility Determination Form for the winning vendor prior to awarding the contract (the Responsiveness Checklist Form and the Responsibility Determination Form are attached as Appendix II).
- 21. When bids are received by the Buyer/Planner, they are evaluated to determine the lowest bidder with the parts in stock.



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- 22. The Buyer/Planner will ensure that all required documentation is obtained from the Contractor to whom the contract is awarded, including a Certificate of Insurance and certifications. Forward the Certificate of Insurance to the Insurance Manager for approval.
- 23. The Buyer/Planner will complete a Fair and Reasonable Price Determination for all procurements. Minimal documentation is required for these Purchases. See Appendix III for Price Analysis Form and Section II above for details on documentation required for these Purchases.
- 24. The Buyer/Planner will return requisition for re-approval by proper budget authorities if bid price exceeds the ICE/original requisition amount by more than 25%.
- 25. The Buyer/Planner will prepare Purchase Order for the lowest responsive and responsible quote obtained (if determined to be within budget constraints).
- 26. The Buyer/Planner will submit the Purchase Order for electronic approval and forward the required backup documentation to Capital Financing and Infrastructure staff. Department Manager of Materials Management will electronically approve and forward purchase order to Capital Finance and Infrastructure personnel for their electronic approvals.
- 27. Department Manager of Materials Management will sign the Purchase Order
- 28. A copy of the purchase order will be faxed, mailed or E-mailed to the vendor as required by the Buyer/Planner.
- 29. The Buyer/Planner will maintain contract files to show documentation of contract activities, including quoted prices, information regarding rationale for method of procurement, selection of contract type, vendor selection or rejection, and the basis for the contract price.



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G. Vendor Performance

Vendor performance and contract administration documentation will be minimal for Associated Capital procurements due to the small dollar amount and the general nature of these types of procurements. Day to day contract administration is the requesting or end user department's responsibility. The requisitioning department must manage and document vendor performance issues and alert Materials Management/Materials Planning staff immediately if there are issues with vendor performance or contract compliance. Materials Management/Materials Planning buyers are required to monitor and maintain on record, basic information regarding the performance of vendors.

V. RECEIPT OF GOODS

Whenever inventoried parts and supplies are delivered or services performed, the requesting department personnel at the operating divisions are required to:

- A. Confirm that the parts that have been delivered are from a Pace order and that the quantities are correct; enter a Receipt command if correct; call the Buyer/ Planner if not correct.
- B. Inspect the parts or if needed have the Maintenance Superintendent inspect the parts to verify that the parts meet our specifications.
 - 1. If the parts are okay, enter a "Yes" Approved command to accept it.
 - 2. If the parts are not okay enter a "No" Not Approved command to rejected the parts and enter the reason for the rejection.
- C. If the inventoried parts have passed inspection and been approved, complete the "Delivered" command and then put the parts in stock.
- D. If the inventoried parts have been rejected, first enter a "Deliver" command followed by a "Return to Supplier" command; then notify the Buyer/ Planner to arrange the return of the parts.



Executive Director Signature

4/22/15

Date



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APPENDIX I

METHOD OF PROCUREMENT DECISION MATRIX

To determine which method of procurement/solicitation type is suitable, classify your situation by checking off the appropriate boxes below. See FTA Circular 4220.1F for further guidance.

Req.# _____

<u>Micro-purchase</u>		<u>Competitive Procurement</u>		<u>Sole Source</u>	
Amount \$3,000 or less	<input type="checkbox"/>	Amt GT \$40,000	<input type="checkbox"/>	OEM, custom item	<input type="checkbox"/>
Multiple Sources Available	<input type="checkbox"/>	Multiple Sources Available	<input type="checkbox"/>	Only one source available	<input type="checkbox"/>
		Not an Emergency Purchase	<input type="checkbox"/>	Approved by FTA as sole source	<input type="checkbox"/>
		<u>Sealed Bid (IFB)</u>	<input type="checkbox"/>	Public exigency issue/emergency	<input type="checkbox"/>
		Complete and adequate specification or purchase description	<input type="checkbox"/>	Competition is inadequate after public solicitation	<input type="checkbox"/>
		Two or more responsible bidders willing to compete	<input type="checkbox"/>	A single responsive bid was received; it was determined that the bid docs were not restrictive & did not impede competition*	<input type="checkbox"/>
Amount GT \$3,000 and up to \$40,000	<input type="checkbox"/>	Selection can be made on price	<input type="checkbox"/>	<u>Emergency Procurement (subset of sole source)</u>	<input type="checkbox"/>
Multiple Sources Available	<input type="checkbox"/>	Procurement suitable for firm fixed price	<input type="checkbox"/>	There is a health/safety issue or issue with timely provision of public transit.	<input type="checkbox"/>
Not an Emergency Purchase	<input type="checkbox"/>	No discussion with bidders needed after receipt of offers	<input type="checkbox"/>	<u>Change Order (subset of sole source)</u>	<input type="checkbox"/>
		<u>Competitive Proposals (RFP)</u>	<input type="checkbox"/>	A contract modification to add additional tasks or requirements	<input type="checkbox"/>
		Complete specifications not feasible	<input type="checkbox"/>	A time extension	<input type="checkbox"/>
		Proposer input needed for specification	<input type="checkbox"/>	A Sole Source Exercise of Option**	<input type="checkbox"/>
		Two or more responsible proposers willing to compete	<input type="checkbox"/>		
		Discussion needed with proposers after receipt of proposal, prior to award	<input type="checkbox"/>		
		Fixed price can be set after discussions	<input type="checkbox"/>		
		<u>Time and Materials Contract (subset of RFP)</u>	<input type="checkbox"/>		
		Fixed price cannot be set for work; Complete extent of work unknown, whether time, or material use, or both	<input type="checkbox"/>		

*Conduct vendor survey to determine why other vendors did not bid. Complete Single Source/Single Bid Analysis Form. If it is determined that the bid docs were restrictive and did impede competition, we must rebid/resolicit because this is not an allowable sole source (in accordance with FTA 4220.1F).

**It is considered a sole source award or non-competitive procurement action whenever you fail to evaluate Options before awarding the underlying contract or negotiating a lower or higher Option price after awarding the underlying contract (in accordance with FTA 4220.1F).



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Comments:

APPENDIX II

RESPONSIVENESS CHECKLIST

This form shall be completed for each bidder or proposer. Review non-responsive determinations with the Department Manager of Purchasing and document the bid tabulation or evaluation scoring summary with the results.

Requisition No.:		Opening Date:	
Description:			
Buyer:			
Bidder or Proposer:			
<u>Solicitation Responsive Requirements</u>	<u>Yes (✓)</u>	<u>No (✓)</u>	<u>Comments</u>
Bid/Proposal submitted on time			
Bid Submitted in a sealed envelope (IFB only)			
Submitted ___ copies of the technical proposal (RFP Only)			
Submitted one copy of the price proposal in a separate envelope (RFP only)			
Submitted all original bid documents in their entirety; signed and dated contract signature page			
Original bid documents submitted without modification, alteration, or supplemental statements			
Acknowledged and included all addenda as instructed (if applicable)			
Signed Certification Regarding Suspension and Debarment			
Signed and Notarized Non Collusion Affidavit			
Completed DBE Schedule A (if applicable)			
Completed DBE Schedule B (if applicable)			
Completed DBE Schedule C (if applicable)			
Completed DBE Schedule D (if applicable)			



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Signed, dated, and completed Buy America Certification (if applicable)			
Signed Certification of Restriction on Lobbying (if applicable)			
Itemize additional responsiveness items as needed (i.e. MSDS sheets, "or equal" documents/drawings, proof of licenses/certifications, etc)			

RESPONSIBILITY DETERMINATION FORM

This form shall be complete for the winning bidder/proposer of all procurements. Complete the appropriate research for each area and provide a short description of the research and results. Attach additional page or supplemental detail as needed. Note: Buyers should also complete this form for an **apparent** winning bidder/proposer who is deemed **NOT** responsible and not awarded a contract as a result of this process; include a notation to this effect. Attach additional details through a formal memo if required.

Req No.			
Bidder/Proposer:			
Date:			
Buyer:			
Description	Acceptable (✓)		Comment
1. Appropriate financial, equipment, facility, and personnel	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
2. Ability to meet the delivery/project schedule	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3. Satisfactory period of performance	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
4. Satisfactory record of integrity and past performance	<input type="checkbox"/> Yes	<input type="checkbox"/> No	



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5. Receipt of all necessary data from supplier	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
6. Not debarred or suspended by the Federal Government; attach documentation from www.sam.gov website.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

APPENDIX III

Fair and Reasonable Price Determination

The FTA Circular 4220.1F requires a fair and reasonable price determination in connection with every procurement action, including change orders. This form shall be used for all Purchases \$40,000 and under.

I hereby determine the price to be fair and reasonable based on at least one of the following:

- Competitively Awarded Joint Procurement/Piggybacking Opportunity
- Found reasonable on recent purchase
- Obtained from current price list
- Obtained from current catalog
- Commercial market sales price from advertisements
- Similar item in related industry
- Personal knowledge of item procured
- Regulatory rate (utility)



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- Two (2) or more bids/proposals
- Other _____

The following documentation is attached in support of this determination:

- Specific references to recent purchase orders or copies of cited price lists, catalogs, etc.
- Other

Signature: _____ Date: _____

Title: _____

Req No.: _____ Contract No: _____