

ATTACHMENT L

**Transit Administrative Policies and
Procedures for Procurement of
Construction, Engineering, Planning and
Design and Materials Management**

Federal Requirements Review Form

**Compliance Review Checklist
Memorandum**

TRANSIT ADMINISTRATIVE POLICY (TAP)

No: POL - MM - 001

*(Ref POL-AD-001 for Doc Source No.)

Issue Date: 05/10/2011

Section: Procurement

Revision: 2

Title: Procurement, Contracts Administration and Monitoring

Posted by: Information Technology Services

Date Posted:

Policy Change Justification

This TAP defines Miami-Dade Transit's policy and process for Procuring Goods and Services, Contract Administration and Contract monitoring including the processes and responsibilities for federally funded procurements. All Divisions must follow this policy when procuring goods and services, including design and construction contracts.

Revisions

The Policy is a dynamic document. As major revisions occur, the revisions and/or the entire policy will be distributed. For minor revisions, only the affected pages will be issued. Upon receipt, previous revisions of the policy shall be destroyed. Include all policies that are superseded in the description of revision block below.

Revision	Approval Date	Pages	Description of Revision
Rev. 0		New Document	Supersedes previous TAPs
Rev. 1	10/01/2010	All Pages	TAP updated to incorporate MDT process requirements and responsibilities for all procurements including design and construction projects.
Rev. 2		5, 9, 14,15,18- 20	TAP updated to reflect name changes for TIRC and B&F committees in Section 10.1 – Monthly Approval Process ; to update information in Section 12B – Contracts Monitoring Process ; to incorporate Section 15.0 - Changes of Funding Source for Invoices ; revised Section 16.1- Drawdown ; added Section 16.0.1 & 16.1.1-Third Party Agreements and added Section 16.3 - Re-Opening of Expired Contract for Payment of Expenses

1.0 Authority:

Miami-Dade Transit Director

2.0 Purpose:

The purpose of this Policy is to establish responsibilities to include a process and detail process map for procuring goods, services, construction, professional services for architectural, engineering and surveying services, contracts administration and monitoring. The policy and process ensures timely procurements with the best price and ensure compliance with local, state and federal regulations applicable to Miami-Dade Transit (MDT). The Policy ensures compliance with federal regulations regarding monitoring and payment processing.

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3.0 Policy & Scope

It is the policy of Miami-Dade Transit (MDT) to procure goods and services in full and open competitive and equitable treatment of all potential sources in the procurement process. Materials Management and Engineering Contracts Administration is responsible for overseeing the planning, solicitation, award, administration and documentation of all local, state and federally funded contracts.

All parties procuring goods and/or services on behalf of MDT have a responsibility to perform the steps necessary to ensure public funds are expended properly and protect the integrity of MDT's procurement process.

Purchase requests must be reviewed by Materials Management to ensure that only essential goods and/or services are processed for purchase.

MDT Materials Management Division is responsible for tracking all contracts of goods and/or services through the Enterprise Asset Management System (EAMS). This includes, but is not limited to, contracts and/or purchases related to bus, telecommunication, Miscellaneous Construction Contracts (MCC's), Equitable Distribution Program (EDP's), Special Transportation Services (STS), construction, Professional Services Agreement (PSA), direct payments and all other contracts and/or purchases.

This TAP applies to the purchase of goods and services contract administration and monitoring required to support the operation of the Miami-Dade Transit in accordance with the authorities identified in Section 1.0.

This TAP also applies to the purchase of professional service for architectural, engineering, architectural landscape and land surveying services governed by Administrative Order 3-32 and Florida Statutes 287.055.

This TAP also applies to goods and services purchased under the Purchasing Card Program and direct payments. This Program is governed by Administrative Order 3-35.

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4.0 Cross Referenced Documents

Type	Number	Title
Engineering, Planning & Development Guidelines & Procedures	059	Engineering, Planning & Development Guidelines & Procedures – Project Implementation and Miscellaneous Construction Contract Program
Federal Transit Administration Circular	4220.1F	Procurement
Federal Transit Administration (FTA) Master Agreement	N/A	
Florida Department of Transportation Joint Participation Agreement (JPA), as applicable	N/A	
Form	EAM026	MDT EAM Requisition
Form	CE-01	Independent Cost Estimate
Form	PA-01	Price Analysis
Form	CA-02	Cost Analysis
Form	ARRA MUNIC FAC	Financial Approval Checklist - ARRA Municipalities Projects
Form	FAC	Financial Approval Checklist
Form	COA	Certificate of Acceptance
Miami-Dade County Administrative Order	3-32	Community Business Enterprise Program for purchase of Professional Architectural, Landscape Architectural, Engineering, or Surveying and Mapping Services
Miami-Dade County Administrative Order	3-38	Master Procurement Administrative Order
Miami-Dade County Procurement Guidelines	N/A	
Miami-Dade Transit Procurement Policies and Procedures	N/A	
Miami-Dade Transit Standard Operating Procedure	PR-FB-01	Federal Reimbursement Request Procedures for ARRA Municipalities
Miami-Dade Transit Standard Operating Procedure	PRAD-004	Transfer of FTA funded contract records
Miami-Dade Transit Standard Operating Procedure	100-005	Drug and Alcohol Testing for Municipalities
Process Map	ADP-001	Accounts Payable Disbursement Process Map
Process Map	MDT-PCM-01	MDT Procurement, Contracts Administration and Monitoring Process Map

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5.0 Definitions

Term	Definition
ADPICS	Advanced Purchase Inventory Control System
ARRA	American Recovery and Reinvestment Act
BCC	Board of County Commission
BPO	Blanket Purchase Order
BPSC	Budget Planning and Sustainability Committee
CCO	Contract's Compliance Officer
CITT	Citizens Independent Transportation Trust
DBE	Disadvantage Business Enterprise
DPM	Department of Procurement Management
EAMS	Enterprise Asset Management System
EDMS	Electronic Data Management System
EDP	Equitable Distribution Program
END-USER	Project Manager, Responsible Engineer, or Division Designee
EPA	Environmental Protection Act
FAMIS	Financial and Management Information System
FORCE ACCOUNT	The Force Account plan is the use of grantees own labor force to carry out all preventive maintenance related work
FTA	Federal Transportation Administration
IG	Inspector General
IMFRC	Internal Management & Fiscal Responsibility Committee
MCC	Miscellaneous Construction Contracts
NONSTOCK REQUISITION	End-user generated purchase requisition for goods or services
OCI	Office of Capital Improvements
OCR	Office of Civil Rights
OTR	Option to Renew
PFR	Project Financial Review (CITT Committee)
PPBA	Project Prioritization Budget Approval
PTP	People's Transportation Plan (funding approved in 2002)
RFP	Request for Proposal
RFQ	Request for Quote
RTC	Regional Transportation Committee
SOP	Standard Operating Procedure

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SPO	Small Purchase Order
STORES REQUISITION	Automatically generated purchase requisition in EAMS for stock items required to maintain MDT vehicles, facilities, and systems
TEAM	Transportation Electronic Award Management
UAP	User Access Program

6.0 Topics

Section	Topic
7.0	Roles & Responsibilities
8.0	Requisition Procedure
8.1	Requisition Processing
9.0	Small Purchase Orders
9.1	Small Purchase Order Requirements
10.0	Legislative Approval Process
10.1	Monthly Approval Process
10.2	Annual Approval Process
11.0	Contracts Monitoring
12.0	Emergency Purchasing
12.1	Confirmation Purchase
13.0	Purchasing Files
14.0	Receiving
15.0	Change of Funding Source
16.0	Invoice Payments
16.0.1	Invoice Payments for Third Party Agreements (ARRA Municipalities)
16.1	Drawdowns
16.1.1	Drawdowns for Third Party Agreements (ARRA Municipalities)
17.0	Monthly Expenditure/Purchase Review
18.0	Re-Opening Expired Contract for Payment of Expenses
19.0	Authorized Signature List
20.0	Engineering Planning and Development
21.0	Records Retention

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7.0 Roles & Responsibilities

Individual	Roles & Responsibilities
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END USER / PROJECT MANAGER

- Prepare a Project Prioritization and Budget Approval (PPBA) and route for approval, if applicable
- Prepare detailed description and/or specifications for goods and services as well as cost analysis (i.e.: Lease vs. Purchase) when applicable
- Coordinate input of requisition in EAMS identifying funding sources and exact dollar amounts provided by Financial Services on the approved PPBA form or use of divisional operating budget
- Project Manager/End User works with Material's Management and/or Engineering, Planning & Design (EP&D) for identification of contract, as applicable
- If project is State-funded, ensure 3rd Party Concurrence is obtained prior to Notice to Proceed
- Ensure compliance with all federal requirements to include Buy America, DBE, Drug & Alcohol, etc., as stipulated in the contract
- Acknowledge and sign off that project documentation adheres to all applicable local, state, and/or federal guidelines Prepare an Independent Cost Estimate and a Price or Cost Analysis for federally funded purchases, as required by FTA Circular 4220.1F, as may be amended in the future
- Notify the MDT Buy America Auditor of audit requirements, as applicable
- Accept delivery of goods and/or services and receive through EAMS
- Resolve any discrepancies in quantity or specification with the vendor
- Purchase goods or services with approved purchase order or contract
- Initial and submit invoice, pay request/pay requisition to Financial Services when approved by the supervisor or designee and ensure Financial Approval Checklist is attached to every invoice, pay request/pay requisition
- Review and resolve any expenditure discrepancies with internal and external supports
- Upload project documentation on EDMS as applicable
- Compile and submit biweekly project status reports to applicable Division coordinator
- Add or revise scorecard, if applicable
- Meet with Financial Services, Office of Performance Management and other stakeholders to review monthly project expenditures

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MDT FINANCIAL SERVICES
(BUDGET,
FINANCE/ACCOUNTS
PAYABLE & GRANTS)

BUDGET

- Determine and provide eligible funding source (Operating, PTP, State, Federal(FTA, EPA, & ARRA, etc.) for the scope of work described in the PPBA and enter the funding source, index code and exact dollar amount on PPBA forms
- Review and approve EAMS operating and capital requisitions for funding availability and proper index code/sub-object code
- Notify Project Manager/End-User and Materials Management of any changes to update in EAMS, when applicable
- Complete applicable section of Financial Approval Checklist
- Meet with project managers monthly to review project expenditures

FINANCE /ACCOUNTS PAYABLE

- Verify project invoice and issue voucher package
- Enter payment request and amount into FAMIS, ADPICS & EAMS
- Provide (annually) end users and Materials Management with a detailed list (prepared jointly by MDT Financial Services and Operations) which identifies all Force Account contracts and related items
- Review applicable grant expenses in FAMIS
- Verify invoice eligibility with Project Manager in accordance with grant application
- Perform drawdown in TEAM
- Ensure all sections Financial Approval Checklist is complete and attached to every invoice, pay request/pay requisition

GRANTS

- Notify Project Manager/End-User and MDT Budget Chief of approved grant funding, changes to budgetary revisions, and any special grant requirements
- Provide Project Manager/End User with copies of grant agreements at the time the PPBA is approved

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**MATERIALS MANAGEMENT/
EP&D CONTRACT SERVICES
(BUYER, INVENTORY
CONTROL MANAGER, OR
CONTRACTS/PURCHASING
MANAGER, OR AUTHORIZED
MANAGER)**

BUYER

- Determine purchasing method; existing contract or Small Purchase Order
- Adhere to established procedures when procuring federally funded goods and/or services by using MDTs federal guidelines checklist (C4220.1F, as may be amended in the future)
- Request quote from allowable vendors
- Create EAMS and ADPICS purchase order against contract
- Send purchase order to selected vendor and End-User/ Project Manager

PURCHASING MANAGER

- Review EAMS requisition for completeness
- Review requisition for funding source, review available contracts that comply with the funding criteria
- Assign requisition to Buyer if contract is in place; if no contract is in place assign requisition to Contract Compliance Officer
- Submit approved ADPICS requisition to DPM if no valid contract is available

INVENTORY CONTROL MANAGER/EP&D Contract Manager

- Review system generated requisitions
- Flag Force Account items in EAMS by marking federal field
- Approve requisitions in EAMS
- Assign Buyer/Contract Administrator

CONTRACTS COMPLIANCE OFFICER (CCO)

- Work with DPM or OCI and Project Manager to establish contract
- Submits project details, including scope and cost estimates to OCR for S/DBE goals, if federally funded
- Generates a requisition request in ADPICS for new contracts and modifications, as applicable
- Request and receive contract reports from EAMS for contract monitoring
- Oversee Drug and Alcohol Testing for "Third Party Agreements", in accordance with MDTs SOP No. 100-005
- If project is federally funded (FTA, EPA & ARRA), the CCO must ensure that contract has the requisite federal language and all applicable federal documents are executed in accordance with FTA's Circular 4220.1F and Best Practices Procurement Manual, as applicable

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OFFICE OF CIVIL RIGHTS AND LABOR RELATIONS	<ul style="list-style-type: none">• Reviews scope of work, cost estimates and other applicable project details to develop and recommend contractual DBE goals• Obtain MDTs Director's approval or changes with justification on DBE goals• Forward DBE goals recommendation to CCO• Obtain local goals from Small Business Development, when applicable• Obtain affirmative action plan
CONTRACT LEGISLATIVE AFFAIRS	<ul style="list-style-type: none">• Review agenda items prepared by DPM/OCI• Coordinates changes with MDT project managers and/or MDT Director• Edit agenda items, if required• Return agenda item to DPM/OCI
MDT BUY AMERICA AUDITOR	<ul style="list-style-type: none">• Performs pre award and post delivery compliance review, as required• Provide audit reports to Buyer & Project Manager
DPM / OCI	<ul style="list-style-type: none">• Advertise new contracts, or renewal of existing contracts• Prepares solicitation documents, requests DBE goals, conducts procurement and coordinates legislative approvals• Distributes RFP/RFQ at request of EP&D or Materials Management Contracts section via ADPICs requisition• Drafts agenda items for new contracts and OTRs• Perform legal and risk management reviews• Finalizes and schedules agenda items for review and approval by RTC, IMFR, BCC and CITT• Enters contract into ADPICS database after Mayoral veto period• File contract with the Clerk of the Board
LEGISLATIVE COMMITTEES / CITT	<ul style="list-style-type: none">• Review and approval of contract by RTC and/or IMFR• Review and approval of contract by BCC• Review and approval of contract by CITT Project & Financial Committee• Approval of contract by Full Trust CITT

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8.0 Requisition Procedure

A purchase requisition for all transactions as stated in Section 3.0 must be entered into the Enterprise Asset Management System (EAMS) for control and accountability. This includes capital projects that are also entered into OCI's Capital Improvements Information System (CIIS). Once the EAMS requisition has been created, the end user will proceed with their normal processes.

8.1 Requisition Processing

Stores purchase requisitions of stock items with minimum/maximum quantities are automatically generated using an operating index code by EAMS and sent to the Inventory Control Manager electronically for approval. Prior to approval, the Inventory Control Manager will verify if the item(s) are listed on the force account list, if available, provided annually by Miami-Dade Transit (MDT) Financial Services. If so, the Inventory Control Manager will type "yes" in the federal reimbursement field in EAMS indicating federal reimbursement.

Non-stock purchase requisitions are generated by the end user after approval of the Project Prioritization and Budget Approval (PPBA) for projects and capital purchases. Routine purchase requisitions are not required to use the PPBA process in generating requisitions.

Purchase requisitions are entered into the EAMS by the End User Division requesting the non-stock parts, supplies or services as listed in Section 3.0. End User must identify sub-object code for the commodity being purchased from the list in EAMS.

The Project Manager/End User will work with Financial Services to identify the funding source and input into EAMS with the exact dollar amounts. If federal funding applies, an Independent Cost Estimate, must be completed and attached to the EAMS requisition. The End User must also complete a Price Analysis or Cost Analysis as required, in accordance with FTA Circular 4220.1F

The purchase Approver for the Division will electronically change the approval status to "Ready for Budget Approval" and send the requisition to MDT Financial Services for budget approval.

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- A. MDT Budget will review the requisition for funding availability. If federal funding applies, then the requisition will also be reviewed for the following:
 - i. Grant funding source and expiration
 - ii. Exact dollar amounts
 - iii. Proper index code
- B. Upon approval by MDT Budget, the requisition is forwarded to Purchasing for processing. If Federal requirements apply and the dollar amount exceeds \$100,000, End-User/Project Manager will provide a copy of the requisition to the MDT Buy America Auditor as advance notice that Buy America requirements may apply
- C. Non-stock requisitions are reviewed by the Purchasing Supervisor and assigned to the appropriate Buyer for processing. Stores requisitions automatically generated by the EAMS are reviewed and approved by the Inventory Control Manager and forwarded to the Buyer for processing
- D. The responsible Buyer electronically receives an approved requisition which identifies the approved index code and funding type. The Buyer will process the requisition in accordance with the terms and conditions of the contract and the assigned funding source. For purchases funded in part or whole by grants from the Federal Transit Administration (FTA), the Buyer shall ensure that the End User conducts and submits a price analysis or cost analysis, in accordance with FTA Circular 4220.1F, prior to the purchase. The Buyer must obtain written certification from the MDT Buy America Auditor that Buy America requirements have been met before proceeding with the purchase
- E. If there is no contract or insufficient allocation remaining, the Buyer will notify the Purchasing Supervisor. The appropriate Contracts Compliance Officer will prepare an ADPICS requisition for DPM to generate a contract or modification and advise OCR of the need to establish DBE goals
- F. DPM will initiate the approval process and for federally funded contracts, submit to MDT a Federal Requirement Review Form for approval by both Departments.
- G. The responsible Buyer shall record each purchase action against a valid purchase order in EAMS and ADPICS. For federally funded purchases the Buyer / DPM will complete a federal checklist as well as ensure all federal requirements are met before placing an order and UAP and IG fees are not charged.

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9.0 Small Purchase Orders

FTA Circular 4220.1F defines a micro-purchase as a purchase under \$2,500 made without obtaining competitive quotations when prices are determined to be fair and reasonable. Micro-purchases are exempt from Buy America requirements.

Miami-Dade County Administrative Order 3-38 defines a Small Purchase Order (SPO) as a procurement with a value that does not exceed \$10,000. These SPOs are originated by Materials Management. The Department Director, or designee, shall sign and approve all SPOs.

9.1 Small Purchase Order Requirements

- A. Each department's SPOs should not exceed the aggregate amount of \$10,000 for the same goods and/or service during the fiscal year
- B. The items to be purchased must not be available under an existing County contract or the department does not have an allocation on a said contract
- C. Materials Management shall obtain no fewer than four (4) written quotes from business entities enrolled or registered in the County's bidders list. One of these vendors shall be the incumbent contractor for the product or service. The only exceptions are:
 - The one-time purchase of a given product or service when there is not incumbent contractor for the required product or service. In this situation, no fewer than three (3) vendor quotations shall be obtained
 - There are less than four (4) enrolled or registered vendors for the specific commodity
 - Reasonable documented efforts have been made to obtain quotations from more vendors than originally solicited, and the fact been indicated on the ADPICS notepad
 - The total purchase is under the SPO amounts to \$500 or less, and the vendor, during the course of business, does not accept the County Purchasing Card as form of payment

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- D. No telephone quotes are permitted in accordance with the Miami-Dade County Cone of Silence (Code 2-22.2(t))
- E. Materials Management must ensure that all written specifications are uniform to all vendors solicited and not restrictive of full and open competition
- F. Vendors who are not enrolled or registered with Miami-Dade County may be invited to quote, but cannot be awarded a contract unless they are fully registered (to include filing of a requisite affidavit, insurance , and any other required documentation.)
- G. Materials Management is required to rotate vendors whenever possible, when requesting quotes for multiple competitive purchases under the same commodity. A list of registered vendors by specific commodities is available through the ADPICS system
- H. SPOs may be used for purchases up to \$10,000 in the aggregate for the 12 month period from the initial purchase

10.0 Legislative Approval Process

Under the MDT/PTP funding unification, all contracts funded with MDT Operating funds must be reviewed and approved by the CITT, the Project and Financial Review Committee. The approval process is initiated on a monthly basis for all contracts with the exception of Small Purchase Orders (SPOs), Miscellaneous Construction Contracts (MCCs), and Equitable Distribution Program (EDPs); which are approved annually.

10.1 Monthly Approval Process

- A. Materials Management will review the agenda items, coordinate verification and/or changes with MDT project managers, end users and MDT Director, edit agenda items as needed and return agenda items back to DPM
- B. Materials Management prepares a memorandum for the signature of the Director to the Executive Director of the CITT to forward with attachments of the procurement items
- C. Following review and approval by the BCC, at the request of MDT Director, CITT schedules the procurement items for review by the PFR and approval of PTP funding by the CITT full board

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- D. DPM/OCI Legislative Affairs finalizes and send the Agenda items for review and approval by the County Executive Office to schedule for approval by the Budget Planning and Sustainability Committee (BPSC) or Regional Transportation Committee (RTC) and Board of County Commissioners (BCC). (If the contract cumulative amount is under \$1 million and funding does not involve People's Transportation Plan (PTP), contract is approved by the County Manager or designee)

10.2 Annual Approval Process

- A. Annually, Materials Management prepares the Small Purchase Order (SPO), MCC and EDP lists-doesn't EP&D do this??
- B. SPO items are originated by MDT end-users, and reviewed by the Deputy Director Operations prior to forwarding to the MDT Director's office for approval. All SPO items will be placed on an annual report to be submitted to the CITT by November 30th of the following fiscal year
- C. Annually, Materials Management submits all SPO's, MCC's and EDP's-doesn't EP&D do this?? to MDT Legislative Affairs Liaison. The report will then be routed via the Deputy Director Operations office to the MDT Director for submission to the BCC for ratification and forward to the CITT for approval of the PTP funds

11.0 Contracts Monitoring Process

- A. The Contracts Compliance Officer (CCO) creates an Advanced Purchase Inventory Control System (ADPICS) requisition for Department of Procurement Management (DPM) for the following:
- i. To exercise an Option To Renew (OTR)
 - ii. To generate a modification of the contract to increase an Miami-Dade Transit (MDT) allocation
 - iii. To include an MDT allocation to an existing contract
 - iv. To send out a Request For Proposal (RFP) / Request For Qualification (RFQ) for a new contract that addresses the current needs
- B. MDT, through the CCO will submit to DPM all the particulars for the modification of the existing contract or OTR including, but not limited to, all

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cost analysis (Lease vs. Purchase, etc.) provided to CCO by the end-user, or for the creation of a new contract. This will include commodity codes, quantities needed, specifications and funding source as approved by the MDT end users and the MDT Financial Services. Materials Management will ensure that the renewal process begins with sufficient time to allow a 4 month window for processing through the Manager's office

- C. Materials Management will verify the funding source and dollar amount. If federal funding is assigned, Materials Management will ensure that all applicable federal language and requirements are included in the contract documents. Materials Management will complete a federal checklist to ensure all applicable federal requirements are met. At the time of award Materials Management will notify the MDT Buy America Auditor to verify Buy America Compliance
- D. After the solicitation and procurement process is completed by DPM in coordination with MDT Materials Management, DPM will draft an Agenda item for modification of contract, OTR or new contract and send a copy of the draft to Materials Management and MDT Director's office
- E. Materials Management staff will maintain a contracts approval matrix that tracks the approval process by item throughout the BPSC and BCC approval dates, the CITT review dates and final approval by the CITT board, at which time funding is authorized
- F. DPM Vendor Assistance Unit enters the contract in ADPICS and forwards the executed contracts and allocated funds to Materials Management to allow the purchase to proceed

12.0 Emergency Purchasing

An emergency purchase shall be defined as an unforeseen or unanticipated urgent and immediate need for equipment, supplies, or services where the protection of life, health, safety or welfare of the community or the preservation of public properties would not be possible using normal purchasing procedures.

- A. The end-user determines the need for emergency goods and/or service. Before any purchase is made, the end-user should notify Materials Management of the emergency within at 24- hours

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- B. Materials Management determines if there is an existing contract or initiates the use of an approved alternate method of purchasing
- C. Materials Management contacts DPM to advise emergency and recommends approval to the Deputy Director and Director's offices. MDT Director must declare the emergency
- D. Once the emergency has been declared, Materials Management must complete the necessary declaration documentation within five business days of the emergency and send to DPM for processing
- E. Materials Management notifies the end-user to create a requisition in EAM's and forward to MDT's Budget office for approval. MDT's Budget Office approves requisition and forward to Materials Management for further processing
- F. Materials Management receives the approved requisition in EAM's and follows the established procedures for processing requisitions

12.1 Confirmation Purchases

A confirming purchase request must accompany a justification memorandum.

13.0 Purchasing Files

- A. Completed purchasing actions, using a Blanket Purchase Order (BPO), are filed numerically by the Clerical staff or the Buyer
- B. Purchasing actions using a small purchase order or a one-time purchase order are filed with the purchase order

14.0 Receiving

The receipt of goods and services must be accepted by an authorized MDT employee. The employee must verify the accurate and complete receipt of the goods and services. Receipts must be in accordance with the terms and conditions of the purchase order and any discrepancies must be resolved before forwarding the packing list / invoice to MDT Accounts Payable.

- A. *Stores Items*

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The Receiving Clerk will verify that the number of packages shown on the shipping manifest are the number delivered and note any deficiencies or visible damage on the shipping documents. The contents of the packages will be checked against the items shown on packing list / invoice to ensure that the shipment is complete and correct. The Receiving Clerk will sign the verified packing list / invoice and enter the receipt transaction into EAMS. Inventory Control will send the signed packing list / invoice to MDT Accounts Payable to be processed for payment

B. *Nonstock Items*

The Receiving Clerk will verify that the number of packages shown on the shipping manifest is the number delivered and note any deficiencies or visible damage on the shipping documents. The delivered items will be held in the warehouse for the End User to verify and approve the packing list / invoice. Nonstock items delivered to locations other than the warehouse will be verified and accepted by the End User. The approved packing lists / invoices will be sent to MDT Accounts Payable with copies forwarded to the End-User to close out the order

C. *Services*

The End-User will verify the services were performed as specified, approve invoices, and send them to MDT Accounts Payable to be processed for payment. A copy of the signed invoice shall be retained by the End-User

15.0 Change of Funding Source

MDT desires to pay all invoices by employing a funding source equivalent to the funding source associated with the requisition and/or purchase order utilized to procure the goods and/or services and chargeable to a specific federal grant activity line item. If any unforeseen circumstance (i.e.: depletion and/or expiration of grant funds, inability to comply with applicable grant requirements, etc.) warrants a change in funding source from federal and/or state to operating, MDTs Financial Services staff will perform the following:

- A. Inform Project Manager immediately and prior to initiating any change
- B. Initiate revision of original PPBA and obtain approval of new funding source
- C. Maintain a tracking log of all funding source changes

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- D. Distribute copies of the Change form to the End-User and Materials Management for record keeping purposes. The change of funding source will also be noted in the comments section of the associated EAMS requisition

Change of funding source from operating to federal and/or state is **prohibited** once the goods, services and/or invoice have been received.

16.0 Invoice Payment

All payments must be made in accordance with MDT Accounts Payable Disbursement process map ADP-001, specifically the following:

- A. Verify that the Financial Approval Checklist is attached and complete
- B. Verify receipt of goods or services by the signed packing list / work order
- C. Verify quantity and pricing on the vendor invoice with packing list / work order
- D. Verify order information and purchase order receipt in EAMS and appropriate funding in ADPICS computer system
- E. Coordinate with Materials Management designated staff to remedy any invoice payment related issues

16.0.1 For Third Party Agreements (ARRA Municipalities)

Prior to submitting final invoice/pay request/pay requisition to Financial Services, verify that the Maintenance Agreement, if applicable, Financial Approval Checklist and Certificate of Acceptance have been executed.

16.1 Drawdowns

Prior to requesting drawdowns of any federal funds (excluding ARRA Municipalities), the MDT Grant Accountant shall adhere to MDT's Accounting Policies and Procedures. For ARRA Municipalities projects, please refer to MDT's Federal Reimbursement Request Procedure for ARRA Municipalities SOP# PR-FB-01.

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16.1.1 For Third Party Agreements (ARRA Municipalities)

Please refer to MDT's Federal Reimbursement Request Procedure for ARRA Municipalities SOP# PR-FB-01.

17.0 Monthly Expenditure Review

Materials Management will review the "Detail Transaction By Organization Report" (FAMRS030) on a monthly basis to ascertain that valid purchase orders and/or contracts exist and are applicable to the purchase.

18.0 Re-Opening Expired Contract for Payment of Expenses

All contracts contain an expiration date that terminates the contractual agreement between Miami-Dade County and the respective vendor/contractor; even if the contract has residual funds.

DPM has the authority to reopen expired contracts with residual funds for the payment of expenses incurred while the contract was active. Contracts will be reopened for no more than three (3) working days, with few exceptions.

Requests to reopen expired contract(s) to pay expenses less than \$10,000 and/or expenses less than one (1) year after the expiration of the contract must be prepared by the Contracts Compliance Officer, authorized by the End-User's Division Chief and submitted to the respective DPM Agent. Such request must include the following:

- Vendor's Name
- Contract Number
- Contract Title
- Invoice Date (or date range of invoices)
- Invoice Amount (or cumulative amount of invoices)
- Copies of Invoices
- Were goods and/or service requested within the contract period (Yes/No)
- Was purchase order issued within contract period (Yes/No)
- Purchase Order Number

TRANSIT ADMINISTRATIVE POLICY (TAP)

No: POL - MM - 001

**(Ref POL-AD-001 for Doc Source No.)*

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If the dollar amount exceeds \$10,000 and/or the purchase(s) are over one (1) year after the expiration of the contract, MDT's Director's approval is required.

19.0 Authorized Signature List

Each MDT Division Chief shall provide a letter identifying staff authorized to approve purchase requisitions to the Chief, Materials Management Division. The letter must provide the printed name, a sample of the employee's signature, and the dollar limit of the approval authority. This individual will be the division's contact for Materials Management.

DRAFT

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Date Posted:

20.0 Engineering, Planning & Development

MDT's Engineering, Planning & Development (EP&D) role is to implement, manage and oversee the procurement process for Miscellaneous Construction Contracts (MCC), including coordination with the Office of Capital Improvements (OCI), Office of Strategic Budget Management (OSBM), Miami-Dade Finance, Small Business Development (SBD), MDT Finance, MDT Office of Civil Rights (OCR), and the Clerk of Courts (COC).

Before advertisement, OCI uses the FTA checklist provided by MDT in accordance with latest FTA C 4220.IF and compares it with the actual clauses in the contract to certify that all applicable federal requirements have been included in the solicitation/contract by MDT. Subsequent to this review, MDT and OCI enter into a formal approval process certifying the current federal requirements have been met for the subject contract.

The MDT Contracts Manager will perform a compliance review of the FTA required certifications/forms submitted by the contractor or consultant with their bid or proposal and will issue a memorandum of compliance to OCI.

21.0 Records Retention

The Department of Procurement Management is the custodial of the contract files and will retain contracts records for five years after expiration of the contracts, as per Florida State Statute. Federally funding contracts will be retain by DPM for five years after the contract expiration date and an FTA Contract Records Transfer procedure is in place for the transfer of said filed to MDT for retention. Federal guidelines require retention of files for federally funded contracts for a period of three years after the grant expiration date.

Federal Requirements Review Form

Project:

Department:

Project No.:

Contract No.:

We have reviewed the subject solicitation and have verified that all applicable FTA requirements have been included by MDT. This review was based on the attached checklist prepared by MDT and approved by the CAO.

MDT has verified that the latest versions of the applicable requirements have been included in the subject solicitation and that they have been included in their entirety. Also, MDT confirms that these requirements have been included in the contract for the work being solicited.

Jesus Valderrama (MDT)

Date: _____

Mike Ramos (OCI)

Date: _____

Luisa Millan (OCI)

Date: _____

Ralph Cutié (OCI)

Date: _____

George Navarrete, OCI Director

Date: _____

COMPLIANCE REVIEW FORM

Memorandum



Date: May 5, 2011

To: Mike Ramos, OCI

From: Jesus Valderrama, (MDT)

Subject: Project No.
Project Name :
FCSC:
Contract Number:

Below please find MDT's Compliance Review of the FTA required certifications/forms for the referenced project. The proposals were submitted on.

FIRM'S NAME	BUY AMERICA CERTIFICATE OF COMPLIANCE	DISCLOSURE OF LOBBYING ACTIVITIES	LOBBYING CERTIFICATION	STATEMENT OF LOAN GUARANTEES AND LOAN INSURANCE	CERTIFICATE REGARDING DEBARMENT, SUPSPENSION AND OTHER RESPONSIBILITY MATTERS
TGSV Enterprises Inc.					
KVC Constructors, Inc.					
CARIVON Construction, Co.					
BEAUCHAMP Construction Co., Inc.					
ABC Construction, Inc.					

1. Compliance Review Comments:

c: Luisa M. Millan, OCI
Ivonne Andres, MDT
Bruce Libhaber, CAO
Clerk of the Board