

Grants Management Division
PROCUREMENT REQUEST FORM

Prior written approval is required for any grant-funded procurement transaction costing \$5,000 or more. This requirement applies to procurements supported in whole or in part by Federal funds administered by the Grants Management Division.

Instructions

1. Complete **Section 1 (Procurement Overview)**.
2. Complete the section corresponding to the planned procurement method. Attach all supporting documentation specified within the instructions for the method.
3. Submit this form and required attachments to GMD financial administrator to request written approval before obligating or expending grant funds. GMD will issue written approval or denial to subrecipient.

Method of Procurement	Threshold	Prior Approval Documentation
Micro-purchase	Cost is between \$5,000 and \$9,999.99, or organizational micro-purchase threshold, if lower.	Procurement Request Form <i>Subrecipient is not required to submit Procurement Request Form for micro-purchase procurement transactions below \$5,000.</i>
Small Purchase	Cost is between \$10,000 and \$249,999.99, or the organization's simplified acquisition threshold, if lower.	Procurement Request Form Price or rate quotations from a minimum of three (3) vendors
Formal	Cost is \$250,000 or higher, or the organization's formal procurement threshold, if lower.	Procurement Request Form Invitation for bids or request for proposals
Noncompetitive (Sole Source)	Cost is \$5,000 or higher and subrecipient intends to procure the good or service based on proposal or quotation from one (1) source.	Procurement Request Form Demonstration that procurement: (a) is authorized by KRS 45A Kentucky Model Procurement Code (this option is available to State Agencies or units of local government who have adopted KRS 45A); or (b) meets applicable qualifying circumstance (ex. sole source letter generated by vendor, declared state of emergency, procurement audit trail showing unsuccessful public advertisement)

Failure to obtain approval for qualifying procurement actions prior to expending funds is a subrecipient risk. If the subrecipient fails to follow applicable procurement requirements, costs may be disallowed on a reimbursement request or subject to repayment to the Justice and Public Safety Cabinet.

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SECTION 1 – PROCUREMENT OVERVIEW

Organization Name _____

Application/Grant Number _____

Item or Service _____

Procurement Amount _____

Micro-purchase Threshold (Agency Policy)

Dollar amount at or below which a recipient or subrecipient may purchase property, or services without solicitation of competitive price or rate quotations if the subrecipient considers the price reasonable based on research, experience, purchase history, or other information.

Simplified Acquisition Threshold (Agency Policy)

Dollar amount above the subrecipient's micro-purchase threshold and below which subrecipient may purchase property or services based on a comparison of three (3) qualified sources. Formal procurement (sealed bids or requests for proposals is required above this threshold.

Method of Procurement

- ☐ Micro-purchase
☐ Small Purchase
☐ Formal (Sealed Bids or RFP)
☐ Noncompetitive (Sole Source)

SECTION 2 – SMALL PURCHASE PROCUREMENT

Skip this section if a different procurement method was used. Include price or rate quotations with submission.

Were price or rate quotations from three (3) vendors collected? ☐ Yes ☐ No

List Vendors/Contractors
 1. _____
 2. _____
 3. _____

Selected Vendor/Contractor

Rationale for Selection

SECTION 3 – FORMAL PROCUREMENT

Skip this section if a different procurement method was used. Include proof of public advertisement (sealed bids or request for proposals) and responses. If organization did not receive sufficient number of responses, classify this request as noncompetitive procurement and indicate inadequate competition as qualifying circumstance.

Formal Procurement Method ☐ Sealed Bids ☐ Request for Proposals

Length of Solicitation

Number of Responses

Selected Vendor/Contractor

Rationale for Selection

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SECTION 4 – NONCOMPETITIVE PROCUREMENT

Skip this section if a different procurement method was used. Include documentation demonstrating that procurement meets applicable qualifying circumstance (ex. sole source letter generated by vendor, declared state of emergency, procurement audit trail showing attempted public advertisement).

- | | |
|-------------------------|--|
| Qualifying Circumstance | <input type="checkbox"/> The item or service is available only from a single source.
<input type="checkbox"/> The public exigency or emergency for the requirement will not permit a delay resulting from publicizing a competitive solicitation.
<input type="checkbox"/> After solicitation of a number of sources, competition is determined to be inadequate.
<input type="checkbox"/> Noncompetitive procurement is authorized by KRS 45A Kentucky Model Procurement Code. <i>This option is only available to State Agencies and units of local government who have formally adopted KRS 45A.</i> |
|-------------------------|--|

Provide an explanation as to why it is necessary to procure the item or service in a noncompetitive manner. This description should address, at a minimum, each point below based on the sole source category.

Single Source

- Uniqueness of items or services to be procured
- How agency determined item or service is only available from a single source
- Explanation of the need for the vendor/provider expertise in relation to the grant project

Public Emergency

- Description of emergency
- Need for the item/service in relation to the emergency
- Effects of delay on project activities if sole source is not approved

Inadequate Competition

- Describe result of market survey to determine available competition.
- If no market survey was conducted, explain why.

SECTION 5 – CERTIFICATIONS

By signing below, I certify this procurement action is in the best interest of my organization and there is no conflict of interest between the subrecipient and the proposed vendor or provider as defined within the DOJ Grants Financial Guide. I also attest the Excluded Parties List (www.sam.gov) was checked and the proposed vendor/provider is not suspended or debarred from receiving federal funds. Finally, I certify this procurement complies with the applicant/subrecipient organization's procurement policies and the procurement standards outlined in 2 C.F.R. Part 200 Subpart D – Procurement Standards and KRS Chapter 45A – Model Procurement Code.

Name _____	Title _____
Signature _____	Date _____

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GMD USE ONLY – Complete the section of this checklist corresponding for the requested procurement method. The response to ALL questions under the section must be “Yes” for the request to be approved. If the response to any question under a section is “No” the justification should be denied or GMD must request the information be updated or supplemented.

MICRO-PURCHASE (\$5,000 OR HIGHER)

- a. Does review of the agency procurement policy confirm the total procurement cost is lower than \$10,000 or the agency’s micro-purchase threshold, if lower? ☐ Yes ☐ No

SMALL PURCHASE PROCUREMENT:

- b. Were three (3) price or rate quotations provided? ☐ Yes ☐ No
c. Does review of the agency procurement policy confirm the total procurement cost is less than \$250,000 or the agency’s simplified acquisition threshold, if lower? ☐ Yes ☐ No

FORMAL PROCUREMENT:

- a. Was a copy of invitation for bids or request for proposals provided? ☐ Yes ☐ No
b. If sealed bid process was employed, was the lowest priced qualified bidder selected? *Required by 2 C.F.R. § 200.320(b)(1).* ☐ Yes ☐ No
c. If request for proposals was issued, does rationale justify selected proposal was most advantageous in consideration of price, quality, and other factors? ☐ Yes ☐ No

NONCOMPETITIVE PROCUREMENT - SINGLE SOURCE:

- a. Does Section 2 demonstrate the uniqueness of items or services to be procured from the proposed vendor/contractor (e.g. compatibility issues, etc.)? ☐ Yes ☐ No
b. Does the request demonstrate and support how the agency determined the item or service is only available from one source (i.e. market survey, independent agency research, proprietary system)? ☐ Yes ☐ No
c. Does the request demonstrate a significant need for the vendor/providers expertise in relation to the grant project (i.e. sole source vendor letter)? ☐ Yes ☐ No

NONCOMPETITIVE PROCUREMENT - PUBLIC EMERGENCY:

- a. Is there a public emergency such as a natural disaster or catastrophic event? ☐ Yes ☐ No
b. Is there an immediate health or safety concern? ☐ Yes ☐ No

NONCOMPETITIVE PROCUREMENT - INADEQUATE COMPETITION:

- a. Does the request adequately describe the efforts to competitively contract for this item (i.e. RFP/Bids, nature of response, etc.)? ☐ Yes ☐ No
b. Does the request adequately describe the efforts to ensure the contract pricing is fair and reasonable? ☐ Yes ☐ No
c. Does the request provide results of a market survey to determine competition availability or explain why no survey was conducted? ☐ Yes ☐ No

NONCOMPETITIVE PROCUREMENT – AUTHORIZED BY KRS 45A KY MODEL PROCUREMENT CODE:

- a. Is the applicant or subrecipient a State Agency or unit of local government? ☐ Yes ☐ No
b. For units of local government, does a review of the local procurement policy confirm the entity has formally adopted KRS 45A? ☐ Yes ☐ No
c. Does a review of KRS 45A confirm the requested procurement action is authorized? ☐ Yes ☐ No

Comments

☐ **APPROVED** ☐ **CHANGE REQUESTED** ☐ **DENIED**

GMD Financial Administrator _____ Position Title _____ Date _____

GMD Manager _____ Position Title _____ Date _____