

APPENDIX A
CA STATE COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROGRAM
GENERAL CONDITIONS CLEARANCE CHECKLIST

National Disaster Recovery (NDR) Contract
Planning Activities

AGENCY: _____ DATE SUBMITTED: _____

PLANNING ACTIIVTY DESRIPTION: _____

PREPARER NAME: _____ TITLE: _____ PHONE: _____

EMAIL: _____

Fill in checkboxes, data or dates as required, and use the Comments box for explanations. If you have questions or need assistance, contact Patrick Talbott, NDR Contract Representative 916-263-2297.

1. Exhibit E Special Conditions

- If Standard Agreement contains Special Conditions in Exhibit E, check the box and submit documentation required to clear all Special Conditions. If you have questions regarding required documentation, contact Patrick Talbott, NDR Contract Representative.*

COMMENTS:

_____ **Cleared:** *(HCD use only)*

2. Approval of Duplication of Benefit Analysis

- Check this box, if the project Duplication of Benefit was submitted and approved by Department staff. This HUD requirement must be met for all NDR activities prior to incurring any costs. If you have questions regarding required documentation, contact Patrick Talbott, NDR Contract Representative.*

COMMENTS:

_____ **Cleared:** *(HCD use only)*

3. Approval of Benefits and Costs Analysis

- Check this box, if the project activity Benefits and Costs Analysis was approved by HUD staff. This HUD approval is required for all project activities prior to incurring any project costs. If you have questions regarding required documentation, contact Patrick Talbott, HCD Contract Representative.*

COMMENTS:

4. **Environmental Compliance**

- Planning Activities* are Exempt under NEPA. **Submit original signed NEPA exemption form**, and keep an original Level of Environmental Review Form, marked Exempt, in your public Environmental Review Record (ERR) file (see required Grantee Certification below).

COMMENTS:

5. **Subrecipient**

- Agency is using **in-house staff only** for this activity.
If Yes, skip to next item (#7) below.
- Agency is using **federal procurement process** for this activity.
If Yes, skip to next item (#6) below.

- Agency is using a **Subrecipient** for this project.
If Yes, submit the following:
 - Subrecipient Agreement with Scope of Work and all attachments or exhibits. If not yet executed, submit a ready-to-sign draft Subrecipient Agreement for approval.
 - Proof of Non-Profit status (501(c)(3) or Governmental Non-Profit)
 - Proof of non-debarment

COMMENTS:

6. **Procurement (including Sole Source Pre-Approval Requirements)**

NOTE:

- *The CDBG program uses 24 CFR 85.36 as the principle rule for procurement.*
- **See the Grant Management Manual, Chapter 8, Procurement for a list of the documents required to be maintained in the CDBG Procurement File.**

Check all that apply.

- Agency is using **in-house staff only** for this project.
If Yes, skip to next item (#7) below.

- Agency is using the **Small Purchase Procurement Method** for contracting with a

Consultant under the restrictions of CDBG Management Memo 13-05.

If Yes, **do not submit anything**. Retain all documentation in Agency's Procurement Public Information file. See GMM, Chapter 8, Procurement for a list of the required documentation.

NOTE: Sole Source Procurement is not allowable under Small Purchase Method.

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- Agency is contracting with a **Consultant** through a Request for Proposals (RFP).
- Agency is contracting with a **Consultant** for an Architect or Engineer through a Request for Qualifications (RFQ).

If either of the boxes is checked, then complete the checklist below and submit the requested documentation for **each Consultant being procured**:

- Copy of RFP / RFQ (to be approved by CDBG prior to distribution/publishing)
- Initial Cost Estimate for requested scope of work
- Solicitation list, public notices (with proof of publication) and/or other method(s) of distribution, including proof that RFP was delivered to the solicitation list and follow up calls to request responses to RFP/RFQ.
- Describe all outreach processes: _____
- List of RFP respondents with bid amounts
- List of RFQ respondents with qualifications
- Cost Reasonable Analysis for each proposal
- Full copies of all proposals received.
- Review/scoring results for each respondent/bidder, which matches the selection criteria indicated in RFP/RFQ, including names of jurisdiction's review panel.
- Proof of non-debarment of selected consultant
- Complete draft contract (ready-to-execute). CDBG approval required prior to execution of contract.
- DUNS # for awarded consultant: _____; or,
- Copy of certification(s).

NOTE: Sole Source Procurement Pre-Approval is required. See the procurement review documentation identified below:

- Sole Source Procurement Request** - If checked, it can only be due to:
- Available only from a single source in the general region;
- A matter of immediate urgency not permitting delay; or,
- Only one qualified or responsive bid to the RFP was submitted.

Submit the following required documentation: RFP and/or RFQ

- Sole Source Approval Request letter from the Authorized Representative, including a detailed narrative of the solicitation process (*open, fair and competitive*).

- Full copy of the RFP/Q (with all exhibits and attachments).
 - RFP/Q selection process narrative:
 - a. Did selection criteria or scoring indicate that Lowest Price/Cost was sole determining factor? No Yes
 - b. If No, did the RFP/Q indicate a method of determining a “responsive bid?” No Yes
- Cost analysis, completed prior to issuing RFP/Q (or, at minimum, before receiving bids).
- Solicitation list, public notices (with proof of publication) and/or other method(s) of distribution. Describe: _____
 - Proof that RFP/Q was delivered to the solicitation list.
- Copies of any “decline to bid” communications from solicitation list.
- Complete copy of the one bid received.
- Evaluation and scoring results for respondent/bidder, which matches the selection criteria described in the RFP/Q from each member of the Grantee’s review panel.
- Proof of current non-debarment for selected consultant.
- Complete draft contract (ready-to-execute) including the Scope of Work, budget, federal overlay language and all attachments or exhibits. CDBG approval required prior to contract execution.
- DUNS # for awarded consultant: _____; or,
- Copy of certification(s).

COMMENTS:

_____ **Cleared:** (HCD use only)

7. Project Set-Up/Completion Report

The Project Set-Up/Completion Report is the report which conveys the information needed to establish a project-specific account in the Federal Integrated Disbursement and Information System (IDIS).

DO NOT SUBMIT A PROJECT SET-UP REPORT AT THIS TIME. SUBMISSION OF THE PROJECT SET-UP REPORT IS NOT required for Clearance of General Conditions, but is required to be approved by HCD prior to drawing activity funds; usually the Set-Up Report is submitted along with the first activity funds request form.

GRANTEE IN-HOUSE STAFF ONLY:

GRANTEE CERTIFICATION

The Grantee certifies that the information provided is true and correct and all documents are in compliance with federal and state CDBG guidelines.

In-House Staff Signature: _____

Date: _____

Printed Name and Title of Signer: _____

HCD USE ONLY: