

REVIEW COMMENTS:

Representative: \_\_\_\_\_ Date: \_\_\_\_\_

Manager: \_\_\_\_\_ Date: \_\_\_\_\_

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

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***National Disaster Recovery (NDR) Contract***  
***Forest Health Green Infrastructure Project***

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AGENCY: \_\_\_\_\_ DATE SUBMITTED: \_\_\_\_\_

PROJECT DESCRIPTION: \_\_\_\_\_

PREPARER NAME: \_\_\_\_\_ TITLE: \_\_\_\_\_ PHONE: \_\_\_\_\_

EMAIL: \_\_\_\_\_

*Fill in checkboxes, data and 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)

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**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)

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**3. HUD 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, NDR Contract Representative.*

**COMMENTS:**

**4. Environmental Compliance**

- If Project is Categorically Excluded (CE), Subject to 58.5, and **converts to Exempt**, complete the following. **Do not submit anything.** File the forms in your **public Environmental Review Record (ERR) file (see required Grantee Certification below)**:
  - Level of Environmental Review Form
  - Statutory Worksheet, with all back-up documentation
  
- If Project is Categorically Excluded, Subject to 58.5, and **does not convert** to Exempt, submit the Statutory Worksheet, **without any back-up documentation**, and the items listed below, as applicable. File the forms in your **public Environmental Review Record (ERR) file (see required Grantee Certification below)**:
  - Eight-Step Planning Process and Noticing for Floodplain/Wetland Mgmt  N/A
  - Proof of Publication:
    - for CE Subject to 58.5, submit Notice of Intent to Request Release of Funds (NOI/RROF)
  - RROF and Certification Form (with original signature)
  
- If Project requires Environmental Assessment (EA), **submit** the Environmental Assessment form with the following, **without any back-up documentation**, and the items listed below, as applicable. File the forms in your **public Environmental Review Record (ERR) file (see required Grantee Certification below)**:
  - Eight-Step Planning Process and Noticing for Floodplain/Wetland Mgmt  N/A
  - Proof of Publication:
    - for EA, submit the Combined Notice of Finding of No Significant Impact and NOI/RROF
  - RROF and Certification Form (with original signature)

**COMMENTS:**

\_\_\_\_\_

**5. Site Control** (Check one or more)

Does the Agency have complete Site Control for this project?  No  Yes

If Yes, indicate method/manner of Site Control, and submit documentation if different from documentation included in Application.

If No, complete sections on Easements & Rights-of-Way and Acquisition Compliance before completing Relocation Compliance section of Checklist.

- Fee Title
- Leasehold Interest
- Option to Purchase or Option to Lease
- Public Rights-of-Way
- A Land Sale Contract

- Deed
- Other (or combination of above) -- Describe: \_\_\_\_\_

**COMMENTS:**

\_\_\_\_\_ Cleared:  (HCD use only)

**6. Easements and Rights-of-Way**

- Easements and/or Rights-of-Way must be obtained to ensure complete Site Control  
All Easements will be obtained by: \_\_\_\_\_
- No Easements or Rights-of-Way need to be obtained.

**COMMENTS:**

\_\_\_\_\_ Cleared:  (HCD use only)

**7. Acquisition Compliance (URA)**

Does this Project include the acquisition of real property?  No  Yes  
 If No, skip to next item (#6), below.  
 If Yes, check box and follow instructions below as applicable, then move on to next item:

- Proper Notice to Seller was or is being provided as part of execution of property sales agreement, prior to close of escrow. If checked, submit Notice to Seller (draft or final version)

**COMMENTS:**

\_\_\_\_\_ Cleared:  (HCD use only)

**8. Relocation Compliance (URA & Section 104(d))**

Will this Project trigger Relocation or Displacement?  No  Yes  
 If No, skip to next item (#7), below.

If Yes, project **will** trigger relocation/displacement compliance. Check all that apply below and submit documentation:

- Copies of signed GIN Notices
- A copy of Temporary Relocation Plan for project, as required under URA law
- A copy of Permanent Displacement Plan for project, as required under URA law
- A copy of Replacement Unit Plan for project, as required under Section 104(d) relocation law

**COMMENTS:**

\_\_\_\_\_ Cleared:  (HCD use only)

**9. Funding Commitments**

Has project funding changed compared to funding described in Application?  No  Yes  
 If No, skip to next item (#8) below. (All funding documented and committed).

If Yes, continue:

CDBG is only funding source, but amounts have changed. Describe: \_\_\_\_\_

For any other funding commitments not identified in the Application, or has changed since the Application was submitted, submit (1) name of source, (2) dollar amount, and, (3) the document confirming the funding commitment (Award Letter, Grant Cover Page, Bank Commitment Letter, etc.)

Other Federal or State funding source(s): \_\_\_\_\_

Local funding source(s): \_\_\_\_\_

Other funding source(s): \_\_\_\_\_

**COMMENTS:**

\_\_\_\_\_

\_\_\_\_\_  
Cleared:  (HCD use only)

**10. Cost Estimates**

Has project Cost Estimate been finalized?

No  Yes

If No, then this condition can't be cleared at this time.

If Yes, submit Engineer's final Cost Estimate.

**COMMENTS:**

\_\_\_\_\_

\_\_\_\_\_  
Cleared:  (HCD use only)

**11. Timeline or Schedule**

Has project Timeline / Schedule been finalized?

No  Yes

If No, then this condition can't be cleared at this time

If Yes, submit Engineer's final Timeline/Schedule.

**COMMENTS:**

\_\_\_\_\_

\_\_\_\_\_  
Cleared:  (HCD use only)

**12. Subrecipient**

Agency is using in-house staff only for this project.

If Yes, skip to next item (#12) 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:**

\_\_\_\_\_

13. **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 (#12) 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.**

**Agency is using the Sealed Bid Procurement Method for contracting with a Construction Contractor. Complete the checklist below and submit the requested documentation for each project Contractor being procured:**

- Copy of Bid Document with required federal language (for CDBG review)
- Engineer/Architect Initial Cost Estimate for scope of work
- Request for federal wage determination from HCD
- 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.

Describe all outreach processes: \_\_\_\_\_

- Invitation to pre-bid conference
- List of respondents with bid amounts
- Full copies of all bids received
- Review of bid results with award going to low bidder.
- Proof of non-debarment of selected contractor and subcontractors
- Complete draft contract (ready-to-execute). CDBG approval required prior to execution of contract.

DUNS # for awarded contractor: \_\_\_\_\_;

Copy of license, insurance and bonding certification(s).

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

- 
- 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:
    - c. Did selection criteria or scoring indicate that Lowest Price/Cost was sole determining factor?  No  Yes
    - d. 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)

**14. Davis-Bacon Labor Standards Compliance**

Will the project trigger Federal Prevailing Wage?  No  Yes

If Yes, continue below and submit the appropriate form.

If No, please use the comment field below to explain.

- Assignment of Labor Standards Compliance Officer form*  N/A
- Force Account*  N/A

Does your Agency anticipate hiring a labor standards consultant to assist on this project?

No  Yes (If "Yes", see Procurement section above)

**COMMENTS:**

Cleared:  (HCD use only)

**15. Section 504 Accessibility Requirements**

Will this project trigger Section 504 Accessibility requirements?  No  Yes

If No, the checklist is complete. If Yes, check the appropriate boxes below:

- Letter from Engineer stating they will comply with Section 504 Accessibility Regulations;  
**OR**
- If Engineer not secured at the time of clearing general conditions, a letter from the Agency must be submitted stating they will comply with Section 504 compliance and will ensure compliance; **OR**
- Letter documenting that Section 504 Accessibility requirements are not required for this project

**COMMENTS:**



\_\_\_\_\_

\_\_\_\_\_ **Cleared:**  **(HCD use only)**

**Note: 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 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:**

REVIEW COMMENTS:

Representative: \_\_\_\_\_ Date: \_\_\_\_\_  
Manager: \_\_\_\_\_ Date: \_\_\_\_\_