

Guide for Review of Community Compass TA Program Procurement			
Name of Recipient:			
Name of Subrecipient (if applicable):			
Award Numbers Reviewed:			
Staff Consulted:			
Name(s) of Reviewer(s):		Date:	

NOTE: Most questions that address requirements contain the citation for the source of the requirement (statute, regulation, *Federal Register* notice/NOFA, or cooperative agreement). However, in some instances, a controlling document (i.e., cooperative agreement or *Federal Register* Notice/NOFA) is provided without a specific citation. This is because requirements can vary significantly by award, causing the applicable cooperative agreements and published Notices/NOFA to vary accordingly. If requirements are not satisfied in these instances, HUD should ensure that citations to the source of the requirement are appropriately noted in the section identified as “Describe Basis for Conclusion.” In addition, certain requirements may only apply to certain award recipients; carefully review the citation to determine its applicability. If a requirement is not met, HUD must select “NO” in response to the question and make a finding of noncompliance. Other questions may not address requirements, but are included to assist the reviewer in understanding the recipient’s program more fully and/or to identify issues that, if not properly addressed, could result in deficient performance. Negative conclusions to these questions may result in a “concern” being raised, but not a “**finding.**”

Instructions: Use this Exhibit to evaluate the recipient’s compliance with the procurement requirements as described in 24 CFR parts 84 and 85 (2013 edition), for awards issued before December 26, 2014. This Exhibit is intended to assist the HUD reviewer in evaluating a representative sample of procurement transactions undertaken by recipients monitoring. The reviewer must evaluate the documentation related to the selected transactions and use this information to verify non-Federal entity responses to the questions in this Exhibit. If the non-Federal entity’s accounting system includes information on contracts, purchase orders, etc., related to the Community Compass TA program, it can be a convenient starting point for selecting a sample of procurement transactions to review. Note that, in this Exhibit, the following terms are interchangeable when referring to recipients: program participant, recipient, non-Federal entity, and awardees. This Exhibit is divided into seven sections: Sample; General Provisions/Procedures; Small Purchases; Sealed Bids; Competitive Proposals; Noncompetitive Proposals; and Contracting with Small and Minority Firms, Women’s Business Enterprises, and Labor Surplus Area Firms. For awards issued on or after December 26, 2014 and, therefore, subject to 2 CFR Part 200, use Exhibit 34-3 in this Handbook.

A. SAMPLE

1.

Use the following table to list the selected sample of procurement transactions. (Add more rows if needed.)				
Contractor	Amount Budgeted	Amount Obligated	Amount Expended	Procurement Method*
1.				
2.				
3.				
4.				
5.				
6.				

* Use the following numbers for these methods of procurement [see 24 CFR 84.40 and 2 CFR 85.36]: (1) Small

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Purchase;

(2) Sealed Bids; (3) Competitive Proposals; and (4) Noncompetitive Proposals.

B. GENERAL PROVISIONS/PROCEDURES

2.

Has the recipient established its own written procurement procedures? [24 CFR 84.44(a) or 24 CFR 85.36(b)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

3.

Can the recipient demonstrate that it maintains oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders? [24 CFR 84.47]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

4.

Does the recipient have written standards of conduct covering conflicts of interest and governing the actions of its employees, officers, or agents engaged in the selection, award and administration of contracts supported by grant funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

5.

Do the records for each sample transaction show that the recipient took the required steps to determine that the contractor was not debarred, suspended, or otherwise excluded from, or ineligible for, participation in Federal assistance programs or activities? [24 CFR 84.47 or 24 CFR 85.36]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

6.

For the procurement transactions selected for review, is there documentation sufficient to detail the procurement history including, but not limited to:			
a. The basis for contractor selection? [24 CFR 84.46(a) or 24 CFR 85.36]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
b. Justification for lack of competition when competitive bids or offers are not maintained? [24 CFR 84.46(b) or 24 CFR 85.36]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
c. The basis for the cost or price of the contract? [24 CFR 84.46(c) or 24 CFR 85.36]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

7.

For the sample reviewed, did the documentation show that: <ul style="list-style-type: none"> • Purchase orders and contracts were signed by an authorized program official? • Items delivered and paid for were consistent with the items contained in the corresponding purchase order and/or contract? 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion:	

8.

Is the program participant ensuring that its awards are not made to any party that was excluded, disqualified, or otherwise ineligible (e.g., suspension, debarment or limited denial of participation) for Federal procurement and nonprocurement programs? [24 CFR 24, Subparts C and J]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion:	

C. SMALL PURCHASES

9.

a. Can the program participant document receipt of an adequate number of price or rate quotations from qualified sources for procurements of \$100,000 or less? [24 CFR 84.44(e) or 24 CFR 85.36]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion:	
b. Describe types of purchases and price or rate quotes received.	
Describe Basis for Conclusion:	

D. SEALED BIDS

10.

For each sample transaction that followed the sealed bids procurement method:	
a. Does the program participant receive at least two or more responsible bids for each procurement transaction? [24 CFR 84.44 or 24 CFR 85.36(d)(2)(i)(B)]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
b. Do the procurements lend themselves to firm, fixed price contracts and can selections of successful bidders be made principally on the basis of price? [24 CFR 84.44 or 24 CFR 85.36(d)(2)(i)(C)]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
c. Do the Invitations For Bids (IFBs) include specifications and pertinent attachments that clearly define the items or services needed in order for the bidders to properly respond? [24 CFR 84.44(a)(3)(i) or 24 CFR 85.36(d)(2)(ii)(A)]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A

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d. Are contracts awarded to the lowest responsive and responsible bidders? [24 CFR 84.44(d) or 24 CFR 85.36(d)(2)(ii)(D)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

E. COMPETITIVE PROPOSALS

11.

For each sample transaction that followed the competitive proposals procurement method:			
a. Do the Request for Proposals (RFPs) clearly and accurately state the technical requirements for the goods or services to be procured? [24 CFR 84.44(a)(3)(i) or 24 CFR 85.36(d)(3)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
b. Were proposals solicited from an adequate number of qualified sources? [24 CFR 84.43 or 24 CFR 85.36(d)(3)(ii)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
c. Does the program participant publicize RFPs and honor reasonable requests by parties to compete to the maximum extent practicable? [24 CFR 84.43 or 4 CFR 85.36(d)(3)(i)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
d. Does the program participant conduct technical evaluations of submitted proposals? [24 CFR 84.40 or 24 CFR 85.36(d)(3)(iii)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
e. Does the program participant determine responsible offerors from such evaluations? [24 CFR 84.40 or 24 CFR 85.36(d)(3)(iii)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
f. Was the contract awarded to the responsible firm whose proposal was most advantageous to the program, with price and other factors considered? [24 CFR 84.40 or 24 CFR 85.36(d)(3)(iv)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
Describe Basis for Conclusion:			

F. NONCOMPETITIVE PROPOSALS

12.

If the program participant procured services noncompetitively, can it show that other methods of procurement (small purchases, sealed bids or competitive proposals) were infeasible because:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> • the items were available from a single source; OR • a public exigency or emergency was of such urgency to not permit use of competitive solicitation, after solicitation of a number of sources; OR • competition is determined inadequate; OR • approval was granted by HUD? 	Yes	No	N/A
[24 CFR 84.46(b) or 24 CFR 85.36(d) (4)]			
Describe Basis for Conclusion:			

G. CONTRACTING WITH SMALL AND MINORITY FIRMS, WOMEN'S BUSINESS ENTERPRISES AND LABOR SURPLUS AREA FIRMS

13.

Is the program participant taking affirmative steps to use small, minority-owned and women-owned businesses in line with 24 CFR 84.44(b)? [24 CFR 84.44(b) or 24 CFR 85.36(e)]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Describe Basis for Conclusion:	