

Introductions / Roll Call


- ❖ Your Name
- ❖ Entity you are representing



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Training Objectives: Grantees will...

- ❖ Understand their role and responsibilities and those of a grant administrator and project engineer.
- ❖ Be able to know the slight differences between a RFP and RFQ.
- ❖ Be able to identify and conduct the required procurement steps successfully with no monitoring concerns or findings.



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Role and Responsibility – Grantees

- ❖ Local Team
- ❖ Communication
- ❖ Compliance
- ❖ Citizen Participation
- ❖ Financials
- ❖ Procures and Manages
- ❖ Certifying Signature
- ❖ Trainings & Meetings



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Role and Responsibility - Grant Administrators

- ❖ Compliance Plans, Fair Housing, & Reports
- ❖ Environmental Information Document
- ❖ Grant Files
- ❖ Communication
- ❖ Grant Reimbursement or Advancements
- ❖ Public Meetings, Public Hearings, Construction – Related Meetings
- ❖ National Objective

May assists with easements / acquisitions



Role and Responsibilities – Project Engineers

- ❖ Prior to Release of Funds
 - Engineering Report
- ❖ After Release of Funds
 - Final Design (and related work) and Construction Bid Package and Bidding Activities
 - All Construction-Related Activities and Meetings
 - Construction Pay Applications
 - Compliance
- ❖ May assist with easements / acquisitions.



Quiz 1: Roles and Responsibilities

- ❖ Which role is responsible for developing and evaluating RFPs and RFQs?
 - a) Grantee
 - b) Grant Administrator
 - c) Project Engineer
- ❖ Whose responsibility is it to ensure the construction contractor is paid?
 - a) Grantee
 - b) Grant Administrator
 - c) Project Engineer
- ❖ Who assists the grantee on completely required compliance plans and policies?
 - a) Grant Administrator
 - b) Project Engineer
 - c) Both

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Procurement Overview

❖ Procurement Policy for CDBG-I Program

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Procurement Overview, continue

❖ REAL OR APPARENT

❖ Persons with any CDBG functions or responsibilities with respect to CDBG activities, decision-making power or information may NOT:

- ☐ Obtain a financial interest or benefit from CDBG activity.
- ☐ Have any interest in contract(s) or subcontract(s).
- ☐ Applies to family members and business ties.
- ☐ Applies during tenure and 1-year after project.

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Councils of Government and/or Regional Planning Commissions

- ❖ Under federal regulations, grantees can use regional planning commissions or councils of government for grant administration without procurement.
- ❖ Requires a intergovernmental or inter-entity agreement.
- ❖ Does not relieve grantee of their role and responsibilities.

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Quiz 2: Procurement Overview

- ❖ Can a town or county staff recommend a third-party contractor for grant administration or engineering if she/he plans to work for them after retiring?
 - a) Yes
 - b) No
- ❖ What would happen if a grantee uses their own procurement policy to procure for a grant administrator and project engineer?
 - a) Nothing
 - b) Will have to redo procurement and delay project
 - c) Pay for those services locally


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Procurement Methods for G.A. and P.E.

- ❖ Competitive Proposals (RFPs)
- ❖ Competitive Proposals for Architectural and Engineering (A/E) Services (RFQs)



- ✓ These methods must be used no matter the price of contract
- ✓ May not use a grant administrator and/or project engineering already on retainer or on-call



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RFP and RFQ Procurement Steps



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Step 1: Appoint a Local Selection Review Committee &/or Person


- ❖ Committee consist of either:
 - The entire governing body;
 - A subset of the governing body, as appointed by the Mayor/Chairperson; or
 - A combination of governing body and town/county staff.
- ❖ Must have a written method of conducting technical evaluations and selection.
- ❖ Remember --- Conflict of Interest



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Step 2: Develop the RFP and RFQ


- ❖ Step consist of:
 - Determining the Scope of work
 - Determining the Selection Criteria to Evaluate Respondents
 - Developing short and long versions of RFP/RFQ
- ❖ RFP
 - Cost of service has to be an evaluation criterion.
- ❖ RFQ
 - Cost cannot be an evaluation criterion, cost of service is negotiated after the most qualified firm is selected.



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Step 3: Solicitation for Proposals (RFP and RFQ)


- ❖ Must be published in a newspaper of general circulation for at least 15 days.
- ❖ Must be published on the IPS System and HUB websites.
- ❖ Must also be sent directly to at least three sources
 - ❖ Must include qualified M/WBE, small businesses, and Section 3 businesses



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Required Notice Language

- ❖ Reference CDBG-I Program
- ❖ Encouragement language for M/WBE, HUB, small businesses, and Section 3 businesses
- ❖ Equal Opportunity Employer
- ❖ Limited English Proficiency (LEP) statements with contact information




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Required Notice Language – LEP Statements

- ❖ LEP sentences with contact information:

"This information is available in Spanish or any other language upon request. Please contact *[insert name]* at *[insert phone number]* or at *[insert physical location]* for accommodations for this request.

"Esta información está disponible en español o en cualquier otro idioma bajo petición. Por favor, póngase en contacto con *(insert name)* al *(insert phone number)* o en *(Insert physical location)* de alojamiento para esta solicitud."



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Step 4: Review & Evaluate Received Proposals

- ❖ Must receive at least 2 responses to move forward
 - If less than 2, RFP/RFQ must be republished in a larger newspaper or wider distribution for at least 15 days and a boarder direct solicitation effort meant be done.
 - If only 1 response, follow non-competitive proposal procedure
- ❖ Committee must review and score submissions using the written method and evaluation sheet.
 - Reviewers must sign and date their evaluation forms
- ❖ All responses must be considered to the maximum extent practical.
- ❖ Potential contractors must be checked against the [NC Department of Administration Debarred Vendors](#) list and the Federal [sam.gov/SAM](#).

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Non-Competitive Proposal Process

- ❖ Submit to Division all procurement documentation to request sole-source prior to award.
- ❖ CDBG-I Program will approve the use of the non-competitive proposal on a case-by-case basis.



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Step 5: Approve Selected Contractor and Award

- ❖ RFP
 - Responsible firm with the most advantageous proposal, considering price and other factors identified in RFP.
- ❖ RFQ
 - Most qualified firm, where price is not an evaluation factor.
- ❖ Contracts are a fixed price or a cost-reimbursement / "not to exceed."
- ❖ Local governing board approval of award.
 - For RFQ, after award, price can be negotiated.



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Step 6: Record Keeping

- ❖ It does not matter what type of procurement process you follow, you must document every step and every decision.



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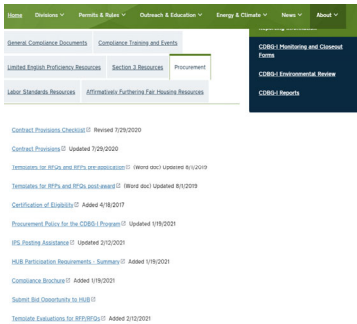
- ❖ How many responses are necessary to proceed to Step 5? What does a grantee need to do if the minimum isn't received?

- ❖ How is a grant administrator proposal selected and awarded the contract?
 - a) Most advantageous proposal considering price and other evaluation factor in RFP.
 - b) Most qualified firm where price was not an evaluation factor in RFP.



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<https://deq.nc.gov/about/divisions/water-infrastructure/i-have-funding/cdbg-i-compliance-and-reporting-information#procurement>



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Contact Us!

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What you should have learned.....

- ❖ Your role responsibilities and those of a grant administrator and project engineer.
- ❖ The slight differences between a RFP and RFQ.
- ❖ Identifying and conducting the required procurement steps successfully with no monitoring concerns or findings.
- ❖ Resources and templates available on Division website.



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QUESTIONS




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