# Grants Manual

V.2

DFHV

Government of the District of Columbia
Department of For-Hire Vehicles

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# Introduction

This Manual provides an overview of the Department of For-Hire Vehicles (DFHV) grant process from pre-award planning to the final close-out. It sets forth DFHV policies and procedures regarding the award and administration of grants. It implements and supplements guidance and requirements issued by the Executive Office of the Mayor (EOM) through the Mayor's Office on Volunteerism and Partnerships (MOVP) and the Office of Management and Budget (OMB) Circulars.

The Manual also covers the minimum requirements for the programmatic and financial operations of grants and subgrants awarded by DFHV. It is intended to serve as a resource for DFHV's Staff, Contractors, Partners, and Awardees. It should be used with other DFHV-specific directives, instructions, and policy memoranda. In addition to containing applicable policies and procedures, the Manual includes an Appendix containing relevant laws, rules, regulations, and sample forms.

# DFHV · A Grantmaking Agency

## Mission

The mission of the Department of For-Hire Vehicles (DFHV) is to protect the public interest by regulating the vehicle-for-hire industry to allow the citizens and visitors of the District of Columbia to have safe, affordable, and accessible transportation options.

DFHV offers grant funding to fulfill the regulatory responsibility to support the vehicle-for-hire industry's economic viability and enhance customer choice. DFHV is authorized to provide grants to owners of licensed for-hire vehicles legally operating and incorporated in the District for purposes outlined in D.C. Official Code § 50-301.20 (b)(1). As a Grantmaking Agency, DFHV must follow the **Citywide Grant Manual and Sourcebook** guidelines.

## Background

DFHV uses available grant funds to support a wide range of programs and transportation services for DC residents. While such funds offer tremendous opportunity, they also represent potential risks. Failure to adhere to the pertinent guidelines could result, in the best case, in the loss of future funding and, in the worst case, an obligation to repay grant dollars already spent. This Manual identifies important policies and procedures that DFHV, serving both as grantors and "passthrough entities"(PTEs), should adopt and monitor to ensure that recipients remain in compliance with all applicable statutes and regulations.

# DFHV · A Grantmaking Agency

## Grant Sources

**Local grants** receive funding from the District of Columbia Government and are typically governed by the appropriations statute or enabling legislation that authorized or created them. *Subgrants,* on the other hand, must be obligated and expended by District grantmaking agencies in accordance with Title 1 DCMR, Chapter 50. Any entity meeting the subgrant recipient criteria will be monitored by the awarding Agency.

**Federal grants** are funded by Federal Entities. Pursuant to OMB Super Circular (2 CFR Part 200 Subparts A-F), where Federal grant funds are involved, District Pass-Through Entities must comply with specific statutory and/or regulatory requirements that, in turn, apply to the passthrough recipients.

**National Foundations** are usually non-profit corporations or charitable trusts developing grant opportunities to organizations, institutions, individuals, and, at times, government municipalities for purposes like science and health, culture and religion, community development, or transportation for possible supportive assistance intended for innovative projects.

## Type of Grants

### COMPETITIVE GRANTS

Any grant of $50,000 or more that is made pursuant to an authority described in D.C. Code § 1-328.12 shall be awarded on a competitive basis and solely for the purpose or purposes identified in the statute establishing the grantmaking or grant-issuing authority, unless a non-District entity that provides funds to the District to award as grants has rules or requirements that prohibit or otherwise limit competition.

Grant funds awarded through a grant competition are typically required to undergo competitive processes for each successive grant term. However, there are exceptions to this rule. These exceptions can include:

**Continuation or Extension Grant—** the funds are awarded as part of a continuation or extension of the original grant. A continuation grant provides additional funding for budget periods after the initial budget period. Receipt of a continuation grant is usually based on the availability of funds, project performance, and compliance with progress and financial reporting requirements.

**No Cost Extension Grant—**the funds are awarded as part of a No Cost Extension grant. The No Cost Extension Grant is used to request the completion of activities of the grant in the final year of the project period. This extension does not permit spending on new activities that are outside the scope of the original award. It only allows for a single extension of the project's deadline, by up to 12 months, to continue the work already approved in the original grant. The request is submitted at least 10 business days before the expiration date of the specific award. Please see **OMB 2 CFR §200.308** for additional guidance.

### NON-COMPETITIVE GRANTS

The exceptions to making competitive awards are as follows:

**Sole Source—**DFHV may make an award on a sole source basis in appropriate circumstances. These circumstances include, but are not limited to, situations where:

*the authorization for the award designates the Awardee,*

*the applicable law defines eligibility in such a way that there is only one eligible applicant,*

*there is a recognized coalition of service providers through which the broadest community participation may be obtained in serving the targeted clientele, or*

*when the services required by DFHV are available from only one source and no other type of services will satisfy DFHV's requirements.*

# DFHV · A Grantmaking Agency

**Earmark—**An earmark is a sole-source award intended by the law that created it to go to a particular entity. An Agency may make an award as an earmark if the same is clearly contemplated by the legislation or agreement that provides the grant funds.

**Unsolicited Proposal—**DFHV may make an award in response to an unsolicited proposal if:

*DFHV has unobligated funds remaining from the grant due to unusual and unanticipated factors,*

*The applicant has a program or project that clearly furthers the purpose of the grant,*

*The proposal reflects proprietary skills or technology that are limited in availability, and*

*The applicant brings to the total grant program matching resources (cash or in-kind) equivalent to the match assistance required, if any.*

**Incentive Awards—**Are awards valued at less than $50,000 and do not involve the use of any federal funds

*DFHV may make an incentive award that is clearly contemplated by the legislation or Agreement that provides the grant funds.*

*The DFHV Director or his/her designee shall make decisions on award and amount for incentive awards.*

*The awards remain subject to all other provisions, particularly those regarding award documentation requirements, as well as financial and programmatic reporting and monitoring.*

*No subsequent modifications to an incentive award shall be made that singly or in aggregate increase expenditures to exceed $50,000 during a 12-month period, without the grant going through a competitive award process.*

If DFHV determines, for good cause shown, to make an excepted award pursuant to this section, it shall do so in a manner consistent with the **Citywide Grant Manual and Sourcebook**.

## DHFV Supported Grant Programs

The Department of For-Hire Vehicles offers several grants to support the vehicle-for-hire industry's economic viability and provide residents with affordable transportation services. For the latest information on grant programs, please refer to the DFHV Grants page at **https://dfhv.dc.gov/grants**.

# DFHV Grant Process
## *Section 1 · Pre-Award Process*

During the development, implementation, and management of DFHV's grant projects, the primary offices that will be involved are DFHV's Office of the Director, Grants Administrative Department, Chief Performance Division, DFHV Office of the General Counsel, and DC's Office of the Chief Financial Officer (OCFO). The DFHV Administrative Officer, or alternatively, the DFHV's Chief of Staff, is the primary individual tasked with coordinating with all related offices. This role involves seeking assistance from partner or funding agencies as necessary and regularly participating in grant compliance meetings. These meetings are attended by both the DFHV's Project Leads and the Awardee's Program Managers. **The DFHV Executive Director, or designee, is the only person who can commit DFHV to grant projects and agreements.**

DFHV's Grants Department provides grant development and management services for Awardees and potential Awardees to introduce grant innovations or apply for grants being published by the agency. The Grants Department will support, guide, and advise applicants and DFHV staff through the full life cycle of the grant projects from pre-award to post-award to close out.

### Pre-award/Grant Development Responsibilities for DFHV

**Provides information** and expectations of DFHV or partnering agencies.

**Assists applicants and DFHV staff** in transforming an idea into a scope of work to grant proposal.

**Facilitates the planning and development** of each project being introduced.

**Prepares and projects** potential budgets and fiscal developments.

**Collects, reviews and/or conducts marketing research** to assist with the application statistical data to support grant proposal ideas or solutions.

**Administratively reviews submitted applications** to either pass along to the judging grant panel or the DFHV Director to review and approve.

**Coordinates final proposal packages** for award.

**Provides grant technical support** or workshops to interested applicants, companies or DFHV staff.

### Administrative Office Services for Grants

**Provides pre-and post-award administrative support** for applicants, Awardees and staff pertaining to grant projects, financial reporting, financial records keeping, time and effort reporting, and preparation of monthly, quarterly, or annual financial reports.

**Provides funding management support,** including preparation of procurement requests or adjusting grant budget proposals.

**Ensures that grant funds are expended in compliance with DC laws and mandates,** federal requirements, or other funding organizing and partners.

# DFHV Grant Process
## *Section 1 · Pre-Award Process*

## DFHV Project Lead

The primary individual responsible for the daily operations of grant management is the DFHV Project Lead. The key to grant success, effectiveness and efficiency are through direct planning and deadline adjustments being introduced to the project must run through the Project Lead. The Project Lead supervises the daily operations of the grant, including:

*Monitoring Grantees' monthly performance compliance and expenditures.*

*Ensuring purchase requests adhere to DC grant mandates and DFHV grant expectations.*

*Preparing final close-out reports 45 – 90 days prior to the project ending.*

*Ensuring all parts of the project, including record keeping for future audits, are in compliance with DC mandates.*

## Grant Application Process Check List

Prior to submitting a grant application to DFHV, an Awardee should:

*Read the full RFA to get familiar with the grant-specific requirements, the questionnaire and evaluation criteria, and the application deadline.*

*Verify that applying organization meets all eligibility criteria in the RFA.*

*Prepare the responses to the questionnaire.*

*Collect the required documents as indicated in the RFA.*

## Steps to submit a Grant Application to DFHV

**Follow the DFHV application link** provided in the RFA to access the online application page. DFHV web page can be found here: **https://dfhv.dc.gov/grants**

**Sign up on Zoomgrants.com** using your first and last name and create a username and password. DFHV's Zoomgrants' application portal link can be found here: **https://zoomgrants.com/gprop.asp?donorid=2327**

**Sign in** by entering your username and related password to get into the DFHV Grant application.

**Select the Grant Name** to get to the online application form.

**Ensure that the Applicant company** or organization are eligible prior to completing an application.

**Fill out the online form** (Awardee information, responses to the questionnaire)

**Attach requested documents** or any additional documents.

**Receive an email notification** for all applications successfully submitted.

Contact DFHV's Grant administrator via the contact information provided in the RFA for any inquiry.

# DFHV Grant Process
## *Section 2 · Award Process and Procedures*

### The Award Process - Selection & Approval Procedure

DFHV shall determine the recipient of a grant or subgrant, based on the following criteria:

*After the grant or subgrant officer has received the evaluations and records of the review panel, the DFHV Director or his/her designee shall make decisions on award and amount of each grant or subgrant, subject to the advice of any advisory body required by law or regulation for the funding grant.*

*If the DFHV Director or his/her designee decides not to follow the review panel's recommendation, the Director or his/her designee shall provide a written justification in the grant records. Such justification shall include a strong rationale supported by documentation for the decision not to follow the review panel's recommendation.*

### Consideration of High-Risk Applicants

An Awardee shall be considered "high-risk" if the DFHV determines that the Awardee or recipient is otherwise responsible but:

*Has been designated "high risk" by the Federal, State or other entity providing the grant;*

*Has a history of unsatisfactory performance;*

*Is not financially stable;*

*Has a management system which does not meet the management standards outlined in this part; or*

*Has not conformed to terms and conditions of a previous award.*

If, after the RFA process is complete, DFHV determines that an award will be made to a high-risk Awardee or recipient because the applicant can deliver services in a geographic area, then special funding restrictions that address the high-risk status may be included in the award. Funding restrictions may include, but are not necessarily limited to:

*Payment on a reimbursement basis and or the required advance posting of a security bond;*

*Requiring additional and/or more detailed financial or performance reports;*

*Additional monitoring;*

*Requiring the Awardee or recipient to obtain specific technical or management assistance; and*

*Establishing additional prior approvals.*

If the DFHV decides to impose such funding restrictions, it will notify the Awardee as early as possible, in writing, of:

*The nature of the funding restrictions;*

*The reason(s) for imposing them;*

*The corrective actions that must be taken before the restrictions will be removed and the time allowed for completing the corrective actions; and*

*The method of requesting reconsideration of the restrictions imposed.*

DFHV will internally evaluate and score any sole source or unsolicited proposal using the same criteria that would have been applied to a competitive solicitation. DFHV shall prepare a written "sole source justification" memorandum signed by the Director of the Agency explaining the circumstances that justified the absence of competition and maintain in the Agency's file.

# DFHV Grant Process
## *Section 2 · Award Process and Procedures*

## Award Documentation Requirements

The District requires all grant applicants to submit the following documents with their online application:

*Clean Hands Certificate: Compliance status will be checked by DFHV. Only compliant DTS providers at the time of submission will be forwarded to the panel for review.*

*Promises, Certifications, and Assurances.*

*Insurance Affidavit.*

*IRS W-9 form.*

*Current DC Business License.*

*Current Certified Business Enterprise certification.*

*Current SAMs Entity Report (Federal DGS requirements, when applicable).*

## Non-Selection Notification Letter

Before DFHV issues the award documents to successful applicants, it will notify each applicant whose application was not selected for award in writing. This notification may include copies of the reviewers' evaluation and comments, but without identification of the reviewer. The DFHV Director has the discretion to review any claims against the process; however, he or she shall have the final decision on any change to the original funding decision.

## The Award Letter & Agreement Processing

This document contains the total amount awarded, the terms and conditions that apply to the award, any special conditions and performance standards that may apply, any available forms for reporting programmatic and financial activities and to request funds and any requirements for amendment and/or termination of the grant or subgrant. In addition, the grant award letter and agreement may only be signed by the DFHV Director or his/her designee. DFHV's Notices of Grant Award and Agreements ("NOGA") are legal contractual agreements between the DC Government and the awardee that holds both parties accountable and responsible for delivering the outcomes set forth in the agreement and for managing all grant funds appropriately.

## Notification

DFHV or partnering (funding) agencies generally inform the applicant who is listed on the grant proposal as the lead contact person about a new or continuing grant award. Do not assume that the DFHV's Grant Project Leads or Office has been informed of the award. Many times, there are time-sensitive actions that need to be taken by the DFHV Senior Leadership team that have a direct impact on the lifecycle of a grant or continuation of an award. Thus, keep all award letters and agreements in a master file to ensure you or your company may use a reference.

## Negotiating the Award

In some instances, a DFHV Senior Leader (or even a funding agency) may request additional information or clarification on a project or contact the lead project manager to discuss budget adjustments or require revisions. If you or your company receive any communications from DFHV, or a funding partnering agency, inform your DFHV Project Lead or Administrative Officer immediately. DFHV's Grant Department is the primary point of contact with all grant-making and sponsoring projects. The office will negotiate the award including negotiating the grant agreement, scope of work, performance measures, data points, outcomes, expectations, or award amounts in order to prepare legal and programmatic materials for the project and Awardee. The Grant's Department staff has extensive experience in working with a variety of grant programs, funding agencies, and foundations which will be helpful in the efforts to come to an agreement with a potential applicant.

# DFHV Grant Process
## *Section 2 · Award Process and Procedures*

## The Grant Agreement

The grant agreement contains the terms and conditions that apply to the award, any conditions and performance standards that may apply, and any available forms for reporting programmatic and financial activities. This agreement includes, but may not necessarily be limited to, the following information:

*Name, address, cell and office telephone number, and email address of the granting Agency's point of contact;*

*Grant or subgrant number assigned by the granting Agency;*

*Beginning and ending dates of the award;*

*Name, title, address and telephone number of the official point of contact for the Awardee;*

*Awardee's Tax ID or EIN number;*

*Amount of the funds awarded and the amount of any financial or in-kind matching resources, if any, that the Awardee must contribute; and*

*Signature lines for the authorized representatives from the Agency and Awardee completed.*

The terms and conditions shall contain, but not be limited to, the following items:

*A statement that the award is being made from federal grant funds awarded to the Agency, if applicable;*

*Citations to the statute and implementing regulations that authorize the award;*

*The grant's CFDA number, if applicable;*

*All applicable federal and District regulations, such as OMB Circulars A-21, A-102, A-110, A-121 and A-133 and/or 1 DCMR 50 (46 DCR §4517, §4524 dated 5/21/1999);*

*Payment provisions identifying how the Awardee will be paid for performing under the award;*

*Reporting requirements, including programmatic, financial and any special reports required by the Agency;*

*Compliance issues and conditions that the Awardee must meet; (Note that subgrants are not covered by the District's Quick Pay Act, D.C. Official Code 2-221 et. seq.) and*

*Deliverables, deliverable dates, reporting requirements, and the basis for payment.*

A statement that the District reserves all rights to use any remedy available in law or regulation for the non-compliance with the grant agreement. DFHV shall establish the official records of awarded grants or subgrants. DFHV shall incorporate into its award files and retain the records of all awarded applications and subsequent reports for the period required by federal and District guidelines for grant records.

## Grant Kick-Off Award Meeting

Within two weeks of the notice of award, DFHV staff will schedule a grant award kick-off meeting with the administrative, fiscal, and program staff who will be involved in the grant. This meeting is an opportunity for the DFHV project lead and Awardee program manager to ask questions and gain clarification of any aspects of the agency's expectations. At the kick-off meeting, the following grant project details should be discussed and comprehended by both parties:

*Specific fiscal requirements of DFHV or the funding agency/organization*

*Specific next steps and timelines for project implementation and planned activities*

*Best practices for establishing a recordkeeping system*

*How to locate and submit reports, as applicable*

*DC and DFHV grant administrative issuances, policies, and procedures pertaining to the grant project, including purchasing equipment or supplies, contracted or second/third party contractors and consultants, subcontracting, as applicable*

*Expectations regarding monthly meetings, report deadlines, invoicing processes, and performance due dates*

*Any other concerns (Open Forum)*

# DFHV Grant Process
## *Section 3 · Management of Grant Project*

### Best Practices

DFHV, in accordance with the minimum requirements established in the **Citywide Grant Manual and Sourcebook**, shall prescribe and implement grant or sub-granting procedures by written policy or, where applicable, formal rulemaking, to ensure fiscal accountability and prevent waste, fraud, and abuse in program administration.

DFHV shall conduct and document oversight to ensure compliance with the District's or the original Grantor's award requirements. It shall maintain an administrative and monitoring system that ensures that all Awardees perform in accordance with the terms, conditions, and specifications of their grants or subgrants. The system should include a minimum of two monitoring activities per year to check for fiscal and programmatic compliance, including at least one site visit.

### Post-Award Grants Management and Compliance – DFHV Grant's Team

**Processes award documents,** conducts negotiations, and drafts sub-agreements, MOUs, and similar documents.

**Ensure all financial, performance and data points** are inputted into the Zoomgrants' profile for Awardee and DFHV staff to maintain compliance and oversight.

**Assists with analyzing, interpreting, and applying** Federal, State, and local government statutes, OMB Guidance, CFR, private funders' requirements, and other regulations for grant administration and implements related DFHV processes.

**Serves as a resource** for staff and project leads during the project implementation process to focus on allowable expenditures and project budget.

**Monitors budget** for proper use of funds and ensures compliance with fiscal partners or other agencies regarding purchasing regulations, equipment inventory, or closing documents.

**Provides oversight** to facilitate the preparation and submission of reports and documentation required by DFHV or partnering agency.

**Conducts monthly monitoring meetings** with project leads and Awardee's program managers to review performance and financial activities. During these sessions, suggestions for potential adjustments, spending recommendations, or other possible remedies are discussed when needed.

### Risk & Compliance Award Management

Grant compliance is becoming more of a focal point for DFHV, funding partners and other stakeholders. Federal requirements have expanded for evaluation and monitoring of grant project outcomes, and increased scrutiny of risk management and financial accountability including transparency, especially when receiving American Rescue Plan Act ("ARPA") funding. For both DFHV Awardee(s) and staffers, regulatory guidance can be found at: OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR part 200.[1]

The risk management cycle is a framework for nonstop discovery, analysis, improvement, and innovation. Risk mitigation is taking appropriate action to address potential issues, including imposing the appropriate types and tiers of responsibilities and providing appropriate types of monitoring and technical assistance. Monitoring is the process followed to assess how well a grant is being implemented or managed to comply with the agreement's requirements and expectations.

When DFHV allocates subawards of federal funds to sub-recipients (Awardees) as pass through entities, DFHV must assess the risks of the Awardees, maintain control and manage the sub-awards, communicate any federal law or regulatory changes impacting the grant funds, document all activities of the project, and manage all funding aspects by the Awardee to remain in compliance with federal regulations.

1 Code of Federal Regulations link: **https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1**

# DFHV Grant Process
## *Section 3 · Management of Grant Project*

## Managing a DFHV Grant Budget

Upon receipt of the notice of award, fully executed notice of grant award and agreement ("NOGA"), and project budget, the DFHV Grant Team will develop the project's internal budget account based on the approved DFHV budget. The account will be used for any project-related purchases, reimbursements for services, or products, including direct costs[2] impacting the project's progress.

DC Government does use a wire-transfer methodology to pay its Awardees. Awardees will need to contact the District of Columbia's DIFS Supplier Portal to register and set up an account to be reimbursed. To register, please go to **https://cfo.dc.gov/supplier_portal** and click on the New Supplier Registration button. For any questions, email the DIFS help support team at: **suppliers@dc.gov**, or call 202-442-6870 Monday through Friday, 8:00 a.m. to 5:00 p.m. ET.

Once the budget is established, the DFHV's Grant Management Specialist and Project Lead will review the fiscal management and invoicing process to validate supporting documentations to ensure the Agency's expectations are met. The DFHV Project Lead may request access to real-time data or database platforms to oversee and approve services or products being delivered by the Awardee. Both the DFHV Project Lead and the Awardee's Program Manager should be familiar with the budget, cost categories (direct costs, indirect costs, allowable costs, etc.), and approved funding amounts.

NOTE: If the DFHV Director should receive formal notification from a funding agency or the District of Columbia's Mayor's Office that a budget adjustment was made and financial adjustments would be made, the DFHV's Grant Team and Legal division will devise a NOGA amendment for the Awardee to review, negotiate, and sign to keep services from being interrupted.

## Expending Grant Funds

All expenditures of grant funds must comply with the approved budget and funding guidelines. Allowable expenditures are allocable, permitted, and necessary for accomplishing the objectives of the agreement or program. These goals are specified in the approved Request for Applicants ("RFA") and Notice of Funding Availability ("NOFA") defining the grant award for implementing services and activities. Certain allowable costs including printing, marketing, outreach materials, special equipment or supplies, and other direct expenses must be approved by the DFHV Director or his/her designee, especially if such costs are identified in the original budget approved by DFHV or the funding agency (DFHV's partner).

If multiple funding sources and guidelines apply, the most restrictive spending condition governs.

For any expenses that may be in question, an Awardee should contact their DFHV Project Lead for clarification and direction.

Common costs that are disallowed, include, but are not limited to:

*Lobbying, including salaries and overhead and out-of-pocket expenses,*

*Entertainment,*

*Alcohol,*

*Most food,*

*Land purchases,*

*Rental of office space, some vehicles, and some equipment,*

*Employee salaries and benefits,*

*Accounting and bookkeeping services,*

*Computers, tables, mobile phones and printers,*

*Plants and tress-plantings,*

*Small tools,*

*Some field equipment, typically below $5,000 in value,*

*Postage and shipping services,*

*Some travel, meals, and lodging, and*

*Insurance costs.*

2 Direct Costs shall be identified by the applicant within their application's detailed budget.

# DFHV Grant Process
## *Section 3 · Management of Grant Project*

## Approved Expenditures

Prior to expending funds, the DFHV Grant's Team should review the costs to ensure they are an allowable expense and directly related to the grant objective and are provided for in the grant budget. DFHV's Project Lead or Grant Management Specialist should approve expenditures in Zoomgrants' (DFHV's grant portal) platform. The approval should be supported by the Administrative Officer or Chief Performance Officer. Evidence of approval should be a part of the grant file for all expenditures, including special requests.

## Supplemental Expectations

Grant funds must supplement or add to, enhance, expand, increase, extend the programs and services, or introduce innovative ideas to support[3] the for-hire industry. Grant funds are not permitted to be used to take place of or replace previous business or local granted funds used to offer the same services or product development. Grant funds should increase the overall amount of resources available to the Awardee. If an expense was previously paid for with DFHV or DC grant funds, it should not be charged to a grant subsequently unless specifically approved by the DFHV Director.

## Grant Budget Revisions

Grant budgets approved by the DFHV (or other funding partners) is a final plan for achieving DFHV's expectations and outcomes of each funded project. Grant funds may only be expended within the cost categories and amounts approved with the grant budget and fully executed agreement. Any changes in planning the project (scope of work) may require a budget enhancement or modification. Federal and District guidelines are usually flexible to allow minor (less or equal to 10%) line item variances without prior approval from the senior leadership of DFHV but should be reported to the DFHV Project Lead. If a larger change is expected, the Awardee will need to contact the DFHV's Grant Office to discuss major changes to the scope of work, budget, product, and service adjustments which need to be approved by the DFHV Director.

Upon the receipt of a written request, DFHV (and its funding partner) will review and officially approve or disapprove the change in writing. No budget enhancements or modifications may be made until an official, written notification is received. This process can take several weeks so it is important to make adjustments as early as possible. The revised budget and copies of written approvals will be recorded within the grant files and Zoomgrants' portal storing each program's documentation.

## Program Changes

All program changes being introduced by either DFHV staff or Awardee must be discussed with the DFHV's Grant Office. The DFHV Grant staff will contact the DFHV Director or funding partner to discuss the potential changes needed to ensure the necessary legal agreement and budget enhancements and modifications are formally made. Types of programmatic changes that may need DFHV Grant staff involved may include:

*Personnel and contact information changes*

*Scope of work enhancements*

*No-cost extensions*

*Project reports and deadlines*

*Narrative and Progress reports*

3 Supporting the for-hire industry definition means: removing transportation barriers, enhancing safety, sanitary, and security for people seeking for-hire transportation services, which includes tourists and visiting guests to the District of Columbia.

# DFHV Grant Process
## *Section 3 · Management of Grant Project*

## Disallowed Expenditures

Grant funds cannot be used for the expenses that are not related to the grant objectives. This can include personal expenses and acquisition of general-purpose equipment or property that is not directly attributable to specific grant purpose, unless costs that are disallowable, include, but are not limited to:

*Lobbying, including salaries and overhead and out-of-pocket expenses,*

*Entertainment, Alcohol, Food,*

*Rental of office space, some vehicles, and some equipment,*

*Employee salaries and benefits,*

*Accounting and bookkeeping services,*

*Computers, tablets, mobile phones and printers,*

*Plants and tree-plantings,*

*Small tools,*

*Some field equipment, typically below $5,000 in value,*

*Postage and shipping services,*

*Some Travel, meals, and lodging, and*

*Insurance costs.*

## Performance Standards

Awards are made to organizations possessing the demonstrated ability to perform successfully under the terms and conditions of a proposed grant or subgrant. When comparable, fundable proposals have been received from two applicants for a grant or subgrant and one applicant has been designated "high-risk" by an Agency, the award should be made to the applicant that has demonstrated the ability to perform but has the lowest risk assessment, unless other factors identified in the RFA permit a contrary result.

Determinations of demonstrated performance shall be in writing and take into consideration such matters as whether the organization has:

*Adequate financial resources or the ability to obtain them;*

*The ability to meet the program design specifications at a reasonable and competitive cost, as well as the ability to meet performance goals;*

*A satisfactory record of past performance in the grant or subgrant subject area, including demonstrated quality of service delivery;*

*Documentation that the Awardee has the legal status (i.e., business license, nonprofit incorporation, etc.) to conduct business within the District of Columbia;*

*A satisfactory record of integrity, business ethics, and fiscal accountability; and*

*The necessary organization, experience, accounting and operational controls and the technical skills to perform the work.*

## Compliance Reviews

As stewards of District and Federal funds, DFHV must ensure that project implementation and project expectations are met by monitoring the progress of the grant activities. By ensuring the integrity of the projects and DFHV's business reputation, the agency may develop stronger relationships with funding agencies and other grant-making authorities to focus on future funding opportunities and grant projects.

DFHV's Project Lead will schedule monthly compliance meetings that will review the project's performance with the Awardee's program managers and possibly funding partners to discuss fiscal matters and answer any outstanding questions any party may have. The frequency of these meetings will be determined based on the complexity of the project, scope of work or support needed by the Awardee to successfully complete each project task within the contracted timeline.

Furthermore, annual file reviews should be conducted approximately one month prior to the deadlines for final reports and an additional review will be conducted one month prior to the deadlines for closeout reports, if the grant project is to be determined at the end of the fiscal year. In addition, a project should have a performance review prior to implementing the option year of an agreement to ensure any unimplemented tasks or duties are answered and logged into the grant record.

# DFHV Grant Process
## *Section 4 · Project Evaluation*

The evaluation process is a key aspect of any grant project, and an evaluation plan becomes paramount within grant proposals, RFAs and NOFAs. The evaluation informs progress toward achieving DFHV's expectations and projected outcomes of a project, as well as whether processes, strategies and tactics require adjustments during the grant period (fiscal year). Expectations for rigorous and highly-detailed evaluation plans have increased in recent years, as mentioned above when using Federal Government funding. Thus, it is crucial to keep in mind that evaluations must be an ongoing process throughout the lifecycle of the grant. DFHV's Project Lead must be familiar with the reporting schedules and be prepared to collect data and analyze such when a funder requests progress reports. There are many approaches to project evaluations with the two most common being performance assessments and administrative assessments.

Programmatic assessments consist of the following types of inquiries:

*Is the project meeting the goals, objectives and outcomes listed in the agreement and RFA?*

*Is the project meeting the overall requirements and objectives of the grant program?*

*Is the project programmatically compliant?*

Administrative assessments consist of the following Q&A inquiries:

*Is the project meeting its milestones and deliverables?*

*Do the expenditures agree with the original budget?*

*Are required reports submitted correctly and on time?*

DFHV's funding partners may require several types of program monitoring activities to measure successful achievements, these types of monitoring activities may include, but are not limited to:

*Basic mandatory monitoring: including the review of performance, progress, and financial reports, along with final cumulative reports at the fiscal year end (closeout reporting) to include audits, budget adjustments and justifications, A-133 audits, or communication logs between DFHV and Awardee.*

*Periodic on-site monitoring: including program reviews, process review, staffing and general on-site observations, inspection of records, and testing operational status.*

DFHV's Grant Team may develop a comprehensive evaluation plan that may not be limited to the following topics to review, report and document per grant project:

*List of goals, expectations, milestones, data reported, and work plans to be scrutinized and measured against the agreement for success;*

*Compare the Awardee's performance against the funding agency's expectations and possible future project enhancements to determine the capacity and capability of the Awardee to complete the project;*

*Hire an external evaluator to determine if collected data or evaluation of the project was conducted fairly and accepted by both parties, if applicable;*

*Establish a pattern of evaluation activities that may include a complete baseline of documentation, surveys, post-survey or feedback sessions, and follow-up within monthly or quarterly meetings;*

*Finalize all data collected to show progress towards objectives using performance indicators and create plans to systemically pull and analyze data for funding partners;*

*Engage and collect stakeholder feedback to be included in an expectation and satisfactory survey to compare with the grant goals and accomplishment to report within the comprehensive plan;*

*Monitor the budget to ensure all financial reports are submitted on time are within proposed budget guidelines; and*

*Document and disseminate the results and lessons learned per project, and the findings should be considered in decisions and actions that affect the project or funding agency.*

# DFHV Grant Process
## *Section 5 · Grant Closeout*

The Grant Closeout process includes the DFHV Director, Chief of Staff, Administrative Officer, Chief Performance Officer, Deputy Program Administrator, and Office of the General Counsel to determine whether each grant project's requirements meet the goals of the agreement between DFHV and the Awardee. Completing a grant project is just as important as publishing a new grant project. Closing out a grant project involves making sure all of the grant agreement activities have been completed and funding has been exhausted.

It is highly recommended by DFHV staff and award staff alike to review the Grant Closeout requirements at least six months prior to the end of the fiscal year or the date of project termination. Upon a project's closeout, the Awardee shall forward all grant documents that cannot be stored in the Zoomgrants' portal to be sent to the DFHV Project Lead to be labeled, filed and archived.

The typical way to close out a grant is handled in a timely fashion by collecting reports and data showing the quality outcomes of each project. DFHV will typically use the following steps to closeout a grant:

*Conduct a pre-closeout meeting to discuss activities,*

*Conduct a budget review with Awardee,*

*Collect any personnel changes and contact information for the record,*

*Obtain purchase records of equipment and supplies,*

*Conduct file report reviews,*

*Collect and archive hardcopy files not uploaded into Zoomgrants.*

## Disposition of Equipment

Equipment purchased with District or federal funds must be used in the grant project for which it was acquired for as long as the equipment is needed. Grant equipment with a current per unit fair market value ("FMV") of $5,000 or less may be retained, sold, or otherwise disposed of with no further obligation to the awarding agency. DFHV's Project Lead should complete an inventory and ensure the equipment list is updated in Zoomgrants. If the FMV is in excess of $5,000, the Federal or DC funding agency should be contacted for instruction prior to an Awardee selling or disposing of such equipment, according to the terms and conditions of the grant agreement. If there is any dispute regarding determination of the FMV, DFHV's determination shall control.

## Closeout Final Reporting

Grant closeout also includes the preparation and collection of programmatic and technical reports, which include financial and budget adjustment reports. DFHV or its funding partners may have additional forms to complete. All final reports should be submitted to the Project Lead for review, including all hardcopy documents not uploaded into the Zoomgrants' portal for a final review, labeling, and archiving.

## Records Management

The District of Columbia follows the Federal Government rules of retaining grant records and agreements for a minimum of three years for auditing purposes. DFVH requires all Awardee to store and make available upon audit request all grant records for a minimum of three years.[4]

4 More specifically: 2 CFR Section 200.334. A detailed review of the federal requirement may be found here: **https://www.govinfo.gov/app/details/CFR-2024-title2-vol1/CFR-2024-title2-vol1-sec200-334**

# DFHV Grant Process
## *Section 6 · Compliance & Audits*

Failure to comply with the terms and conditions could result in a finding of non-compliance and legal action resulting in the following:

*An Awardee could be given a label as a high-risk applicant, which could result in suspension or termination of current grant projects and impact the applicant's future grant program prospects;*

*Reimbursements may be withheld until any given deficiency is corrected;*

*All or part of the costs of the project activity that is not in compliance may be disallowed;*

*Future awards for the project may be withheld; and/or*

*Legal remedies by DFHV or funding partners may be imposed.*

## Audit Preparedness

An important reminder to Awardees, all grant project records are subjected to internal and external audits, including Freedom of Information Act requests ("FOIA"). When Awardees receive grant funds from DFHV, they are subjected to the same federal and District laws and regulations as the DFHV. Awardees must use fiscal control and accounting procedures to ensure proper disbursement of and accounting for these funds. The effective management of public and private funds should be the result of ongoing evaluations to be audit-ready. If an Awardee needs additional technical assistance, the Awardee may contact the DFHV Grant Office for guidance.

## Audit Standards

### AUDIT REQUIREMENTS

Grantees that expend $500,000 or more annually in federal financial assistance must have a single audit or program-specific audit (if certain criteria are met) performed in accordance with the Single Audit Act Amendments of 1996, and Office of Management and Budget (OMB) Circular A-133, Audits of States, Local Governments, and Non-profit Organizations. The circular is effective for audits of fiscal years beginning after June 30, 1996. OMB defines federal financial assistance within the scope of the circular as assistance received or administered in the form of grants, cooperative agreements, loans, loan guarantees, property (including donated surplus property), interest subsidies, insurance food commodities, direct appropriations, and other assistance.

For those grantees exempt from single audit requirements, financial and compliance records still must be made available for review or audit by other federal officials or pass-through entities. FMCS may also request that a limited program–specific audit be conducted using grant funds.

### BACKGROUND

The Single Audit Act of 1984 required audits of states and local

governments (including Indian tribal governments) that administer federal financial assistance programs. A single audit encompasses a grantee's financial statements and schedule of expenditures of federal awards for the entire organization or the respective departmental units administering federal funds, as opposed to a program-specific audit, which focuses on one particular program (thus, the concept of "single" audit). OMB implemented the act by issuing Circular A-128, Audits of State and Local Governments. By 1990, OMB extended single audit requirements to non-profit organizations with the issuance of Circular A-133, Audits of Institutions of Higher Education and Other Non-Profit Organizations. (Colleges and universities were included, but hospitals were not.)

With the passage of the Single Audit Act Amendments of 1996 (31 U.S.C. Chapter 75), single audit requirements were statutorily imposed on non-profit organizations that administer federal financial assistance programs, including colleges and universities and hospitals.

# DFHV Grant Process
## *Section 6 · Compliance & Audits*

### RAISED THRESHOLD FOR AUDIT

Under OMB Circular A-133, the threshold for determining whether a single audit or program-specific audit must be performed has been raised from $25,000 in federal funds received to $500,000 expended annually. Thus, nonfederal entities (both recipients and subrecipients) that expend $500,000 or more annually in federal funds must have an audit under Circular A-133. Nonfederal entities that expend less than $500,000 annually are exempt from federal audit requirements for that year.

Many grantees are no longer required to have single audits performed under the new threshold but may be required to have other types of audits or evaluations performed (e.g., performance audits or reviews). In addition, grantees must maintain records for review of audits by federal agency officials, the General Accounting Office or pass-through entities. Under Circular A-133, a limited scope audit includes an agreed-upon procedures engagement conducted in accordance with Generally Accepted Auditing Standards or attestation standards, paid for and arranged by a primary grantee, addressing one or more type(s) of compliance requirements (specifically, allowable costs/cost principles, eligibility, matching, level of effort, earmarking and reporting. (Limited scope audits are available for subrecipient monitoring purposes only.)

Pass-through entities that award federal funds to subrecipients remain responsible for monitoring subrecipient activities to ensure they comply with program requirements. Pass-through entities can monitor subrecipients that expend $300,000 or more in federal assistance by reviewing the results of that subrecipient's single audit. For those subrecipients exempt from a single audit, pass-through entities are responsible for monitoring and oversight by relying on other procedures.

## Preparing for the Audit

The grantee is responsible for making arrangements to have an audit performed and ultimately faces the consequences of an audit examination. Careful planning and preparation beforehand by the grantee are an essential ingredient of a successful audit engagement.

### PREPARING FOR AUDIT

In general, grantees can take five basic steps to prepare for an audit:

*determine whether an audit is required by law, regulations or grant agreements);*

*select and engage an auditor (unless the audit will be conducted by a federal auditor);*

*reach a mutual understanding with the auditor about the type of audit to be performed and its required scope (in doing so, identify the entity to be audited the entire organization, individual components, governmental departments or units);*

*collect and make available to the auditor relevant financial and organizational documentation (e.g., charters, by-laws, bank account authorizations, financial statements of assets and liabilities, schedules of expenditures of federal awards, accounting records, cost allocation plans); and*

*collect and make available to the auditor relevant compliance documentation (e.g., previous audit reports, major contracts, grant agreements, a list of subrecipients, federal guidance, government-wide directives, statues, program descriptions).*

# DFHV Grant Process
## *Section 6 · Compliance & Audits*

### AUDIT RESPONSIBILITIES

With the enactment of the Single Audit Act Amendments of 1996 and issuance of revised Circular A-133, grantees face new pre-audit reporting responsibilities, such as the preparation of a summary schedule of prior year audit findings. In preparing for a single or program-specific audit under the revised circular, the grantee must:

*arrange for an audit in accordance with proper procurement of audit services;*

*maintain internal control (ongoing);*

*comply with laws; regulations and grant agreement provisions (ongoing);*

*identify all federal awards received and expended so that the auditor can determine which programs are major programs under applicable definitions and must be tested, and how to design audit tests considering various risk factors, such as changed conditions, the extent to which the program is subgranted or contracted out and the adequacy of controls;*

*prepare the schedule of expenditures of federal awards (list federal programs by agency, the name of any pass-through entities and their identification numbers. The total amount of federal awards expended for each program, a description of significant accounting practices used to prepare the schedule and total amounts awarded to subrecipients);*

*prepare financial statements (a balance sheet of assets and liabilities); and*

*prepare a summary schedule of prior audit findings.*

Toward the end of the audit process, the grantee will have additional reporting tasks to perform:

*prepare portions of the Data Collection Form*

*ensure the single audit is performed and reports submitted on time;*

*prepare any necessary corrective action plan; and*

*follow-up and take corrective action on current audit findings.*

### AUDIT PURPOSE

Single audits performed under the act and revised Circular A-133 cover the entire operation of a grantee or at least those departments or units that receive, expend, or administer federal financial assistance. The purpose of the single audit is to determine whether:

*The grantee's financial statements present fairly its true financial position and picture of operations, in accordance with generally accepted accounting principles;*

*he grantee has internal accounting and other control systems to provide reasonable assurance that its administration of federal awards complies with relevant laws and regulations; and*

*the grantee is in compliance with laws, regulations and agreements that could have a material effect on its financial statements and on each major federal assistance program, as defined in the act and revised Circular A-133.*

For further information concerning OMB Circular A-133 Audits of State, Local Governments, Institutions of Higher Education and Other Non-Profit Organizations/Institutions, please consult the revised OMB Circular A-133.

# DFHV Grant Process
## *Section 6 · Compliance & Audits*

## Notice and Opportunity to Correct Deficiency

If DFHV determines that the Awardee has failed to comply with one or more terms and conditions of the grant or that there is other cause to warrant penalties, suspension, discontinuation, or termination, it will notify the Awardee in writing of the deficiency and include notice that failure to correct the deficiency may result in penalties, suspension, discontinuation, or termination of the grant. DFHV may include a suspension, discontinuation, or termination individually or jointly in the notice. The Awardee will be requested to respond to the written notice within a specified timeframe (typically 14 calendar days) from the date of the letter, describing what action it has taken or plans to take to correct the deficiency. If the Awardee fails to respond adequately within the specified period, DFHV may process with the suspension, discontinuation, or termination with corresponding penalties or legal actions imposed as necessary.

## Penalties & Program Fines

This section outlines the penalties for non-compliance with grant regulations and procedures. It serves as a reference guide for staff, ensuring clarity and transparency regarding the consequences of deviating from established protocols. By understanding and adhering to these penalties, DFHV upholds accountability and integrity in our grant management practices.

If an awardee fails to comply with the regulations or the terms and conditions of an award agreement, DFHV (Grantor) may impose additional penalties or fines based on the severity of the situation. If DFHV determines that noncompliance cannot be remedied through a standard audit and resolution negotiations between the Grantor and Grantee, DFHV may take one or more of the following actions, as determined appropriate:

*Temporarily withhold cash payments until the grantee corrects the deficiency, or until more severe enforcement action is taken by the DFHV or pass-through entity.*

*Disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance.*

*Wholly or partly suspend or terminate the award.*

*Initiate suspension or debarment proceedings as authorized by the Grantor or their designated representative.*

*Withhold further awards for the project or program.*

*Explore alternative legal remedies that may be available.*

## Suspension Duration

DFHV sets the duration of the suspension considering the nature and severity of the deficiency and the time needed for the Awardee to comply. DFHV may condition the suspension period on the achievement of certain corrective actions. If the corrective action remains incomplete, DFHV, in its discretion, may extend the period of suspension, discontinue funding the grant if the period of suspension coincides with the end of the grant period, or decide to terminate the grant during the suspension period. During the suspension, the Awardee may not incur new obligations in connection with the grant or the portion of the grant suspended without written authorization from DFHV. When the corrective action is completed to the satisfaction of DFHV, it will notify the Awardee in writing that the suspension is lifted. If the deficiency is not corrected to the satisfaction of DFHV, DFHV may issue a notice of discontinuation or termination, setting forth the terms of the action and its effective date.

## Emergency Determination

If DFHV determines that it must suspend, discontinue, or terminate the grant without advance notice to protect the interests of the government, it will notify the Awardee in writing of the action, without providing the notice and opportunity to respond described in paragraph above. Circumstances that may trigger an emergency determination to suspend or terminate without notice and opportunity to respond include but are not limited to when:

*DFHV determines that a serious risk of substantial injury to or loss of project funds or property exists;*

*A violation of a federal, state, or local criminal statute exists; or*

*The nature and severity of the deficiency require immediate action to protect the beneficiaries of the grant or the government's interests.*

## Termination by Agreement[5]

Circumstances may arise where either DFHV or the Awardee wishes to terminate a project. When both parties agree that continuation of the project would not produce the desired objectives or have other reasons for ending all or part of the grant, the grant may be terminated by mutual agreement. If the Awardee wishes to terminate the project, it should notify DFHV in writing at least 60 days in advance of the proposed termination to allow DFHV to make appropriate arrangements to replace the Awardee and continue services without interruption. Normally, Awardees should discuss the proposed termination with DFHV staff before sending the formal notice. The notice from the Awardee should state the reasons for the termination, what steps it proposes to take to ensure continuity of services to its clients, how it will affect an orderly closeout and transition with any substitute Awardees, and the process and time frame for notifying clients, and Awardee staff. DFHV may accept, modify, or reject the terms of the proposed termination. When termination is mutually agreed upon, DFHV may terminate a grant by sending a notice to the Awardee setting forth the terms and effective date of the termination.

5 Under DC Code § 1-328.15a a Grantee must receive Grantor's consent to terminate an agreement and negotiate a closure timeline. **https://code.dccouncil.gov/us/dc/council/code/sections/1-328.15a**

# Appendices

## *Appendix A · DFHV Grant Pre-Award Process Checklist*

This checklist serves as a guide for the pre-award phase of the grant cycle. Use this document beginning six months prior to applying to a Request for Applications (RFA).

## Pre-Award (30-60 days prior to RFA due date)

**DFHV GRANTS TEAM · NOFA**

**Before making a grant or subgrant,** the Agency shall prepare and disseminate a Notice of Funding Availability (NOFA).

**An Agency may submit the NOFA for publication** less than 14 days before release where it determines there is good cause to do so.

**District Agencies are required to provide their NOFAs and RFAs** to the Office of Partnerships and Grant Services (OPGS) for inclusion in its Grants Information Data System (GIDS), publication in the weekly Funding Alert and posting on the District's Grants Clearinghouse of the OPGS website no later than three (3) business days prior to publication on the following Monday.

**An agency may choose to disseminate a NOFA** by publishing it in local newspapers and community newsletters, directly mailing it to all prospective applicants or any other reasonable form of distribution.

**APPLICANT · RFA**

**If you have applied to a DFHV grant competition in the past, review past applications to identify any strengths, weaknesses, or areas for improvement.** Contact the Grant Team if you did not receive feedback on previous applications.

**Review** the requirements, objectives, and eligibility criteria outlined in the RFA.

**Prepare** the responses to the questionnaire.

**Gather** all required documents listed in the RFA.

## Application submission process

Steps to submit a Grant Application to DFHV:

*Follow the DFHV application link provided in the RFA to access the online application page. DFHV web page can be found here:* ***https://dfhv.dc.gov/grants***

*Sign up on Zoomgrants.com using your first and last name and create a username and password. DFHV's Zoomgrants' application portal link can be found here:* ***https://zoomgrants.com/gprop.asp?donorid=2327***

*Sign in by entering your username and related password to get into the DFHV Grant application.*

*Select the Grant Name to get to the online application form.*

*Ensure your company or yourself are eligible prior to completing an application.*

*Fill out the online form (Awardee information, responses to the questionnaire)*

*Attach requested documents or any additional documents.*

*Click "Save" to submit the application to DFHV.*

*Receive an email notification for all applications successfully submitted.*

Contact DFHV' Grant administrator via the contact information provided in the RFA for any inquiry.

## Documentation Requirement Checklist

The District requires all grant applicants to submit the following documents with their online application:

- ☐ ***Clean Hands Certificate:*** *Compliance status will be checked by DFHV. Only compliant DTS providers at the time of submission will be forwarded to the panel for review.*
- ☐ *Promises, Certifications, and Assurances.*
- ☐ *Insurance Affidavit.*
- ☐ *IRS W-9 form.*
- ☐ *Current DC Business License.*
- ☐ *Current Certified Business Enterprise certification.*
- ☐ *Current SAMs Entity Report (Federal DGS requirements, when applying for federal supported grants).*

# Appendices
## *Appendix B · DFHV Grant Management Checklist*

This checklist provides a comprehensive overview of managing a grant from the award to the closeout. DFHV shall conduct and document oversight to ensure compliance with the District's or the original Grantor's award requirements. It shall maintain an administrative and monitoring system that ensures that all Awardees perform in accordance with the terms, conditions, and specifications of their grants or subgrants.

## Managing a DFHV Grant Budget

**Upon receipt of the notice of award,** fully executed notice of grant award and agreement ("NOGA"), and project budget, the DFHV Grant Team will develop the project's internal budget account based on the approved DFHV budget.

**DC Government does use a wire-transfer methodology** to pay its Awardees. Awardees will need to contact the District of Columbia's DIFS Supplier Portal to register and set up an account to be reimbursed.

### REGISTERING FOR DIFS SUPPLIER PORTAL

To register, please go to **https://cfo.dc.gov/supplier_portal** and click on the New Supplier Registration button.

For any questions, email the DIFS help support team at: **suppliers@dc.gov**, or call at 202-442-6870 Monday through Friday, 8:00 a.m. to 5:00 p.m. ET.

## Expending Grant Funds

### ALLOWABLE COSTS

**Review the approved Request for Applicants ("RFA")** and Notice of Funding Availability ("NOFA") for expenditures that are allocable, allowable, and necessary for accomplishing the objectives of the program.

**Allowable direct costs related to a grant such as:** printing, marketing, outreach materials, special equipment or supplies, and other related direct costs to keep the project fluent must be approved the DFHV Director or his/her designee, especially if the eligible expenditures were included in the original budget approved by DFHV or the funding agency (DFHV's partner).

### DISALLOWED COSTS

**Review the RFA and NOFA** for disallowed costs for the grant. Common costs that are disallowed, include, but are not limited to:

*Lobbying, including salaries and overhead and out-of-pocket expenses,*

*Entertainment,*

*Alcohol,*

*Most food,*

*Land purchases,*

*Rental of office space, some vehicles, and some equipment,*

*Employee salaries and benefits,*

*Accounting and bookkeeping services,*

*Computers, tables, mobile phones and printers,*

*Insurance costs.*

### APPROVED EXPENDITURES

**Prior to expending funds,** the DFHV Grant's Team will review the costs to ensure they are an allowable expense and directly related to the grant objective and are provided for in the grant budget.

**DFHV's Project Lead or Grant Management Specialist** should approve expenditures in Zoomgrants' (DFHV's grant portal) platform, the approval should be supported by the Administrative Officer or Chief Performance Officer.

**Evidence of approval** should be a part of the grant file for all expenditures, including special requests.

# Appendices
# *Appendix B · DFHV Grant Management Checklist*

## Grant Budget Revisions

**Any changes in planning the project (scope of work)** may require a budget enhancement or modification. Federal and District guidelines are usually flexible to allow minor (less or equal to 10%) line item variances without prior approval from the senior leadership of DFHV but should be reported to the DFHV Project Lead.

**If a larger change is expected,** the Awardee will need to contact the DFHV's Grant Office to discuss major changes to the scope of work, budget, product and service adjustments which need to be approved by the DFHV Director.

## Risk & Compliance Award Management

The risk management cycle is a framework for nonstop discovery, analysis, improvement, and innovation.

When DFHV allocates subawards of federal funds to sub-recipients (Awardees) as pass through entities must assess the risks of the Awardees, maintain control and manage the sub-awards, communicate any federal law or regulatory changes impacting the grant funds, document all activities of the project, and manage all funding spending by the Awardee to remain in compliance with federal regulations.

## Monitoring

Monitoring is the process followed to assess how well a grant is being implemented or managed to comply with the agreement's requirements and expectations.

The system should include a minimum of two monitoring activities per year to check for fiscal and programmatic compliance, including at least one site visit.

## Program Changes

All program changes being introduced by either DFHV staff or Awardee must be discussed with the DFHV's Grant Office.

Types of programmatic changes that may need DFHV Grant staff involved may include:

*Personnel and contact information changes*

*Scope of work enhancements*

*No-cost extensions*

*Project reports and deadlines*

*Narrative and Progress reports*

## Performance Standards

Awards are made to organizations possessing the demonstrated ability to perform successfully under the terms and conditions of a proposed grant or subgrant.

Determinations of demonstrated performance shall be in writing and take into consideration such matters as whether the organization has:

*Adequate financial resources or the ability to obtain them;*

*The ability to meet the program design specifications at a reasonable and competitive cost, as well as the ability to meet performance goals;*

*A satisfactory record of past performance in the grant or subgrant subject area, including demonstrated quality of service delivery;*

*Documentation that the Awardee has the legal status (i.e., business license, nonprofit incorporation, etc.) to conduct business within the District of Columbia;*

*A satisfactory record of integrity, business ethics, and fiscal accountability; and*

*The necessary organization, experience, accounting and operational controls, and the technical skills to perform the work.*

# Appendices
# *Appendix C · DFHV Grant Award Evaluation Checklist*

Use this document throughout the grant cycle to evaluate your progress toward achieving DFHV's expectations and projected outcomes of a project. The evaluation informs progress toward achieving DFHV's expectations and projected outcomes of a project.

## Programmatic & Administrative Assessment

**Programmatic assessments consist of the following types of inquiries:**

Is the project meeting the goals, objectives and outcomes listed in the agreement and RFA?

Is the project meeting the overall requirements and objectives of the grant program?

Is the project programmatically compliant?

**Administrative assessments consist of the following Q&A inquiries:**

Is the project meeting its milestones and deliverables?

Do the expenditures agree with the original budget?

Are required reports submitted correctly and on time?

### MONITORING ACTIVITIES

DFHV's funding partners may require several types of program monitoring activities to measure successful achievements, these types of monitoring activities may include, but are not limited to:

*Basic mandatory monitoring: including the review of performance, progress, and financial reports, along with final cumulative reports at the fiscal year end (closeout reporting) to include audits, budget adjustments and justifications, A-133 audits, or communication logs between DFHV and Awardee.*

*Periodic on-site monitoring: including program reviews, process review, staffing and general on-site observations, inspection of records, and testing operational status.*

# Appendices

## *Appendix D · DFHV Grant Pre-Closeout & Closeout Checklists*

Use this document beginning six months prior to the closeout period of a one-year grant, which according to the District of Columbia's fiscal year schedule would start in the month of March. If you have a multi-year grant, these forms will be used towards the end of the fiscal year, which would be prior to the month of September, but the grant will not officially close until the entire project is either completed or upon exhaustion of funds.

### Grant Pre-Closeout Checklist

#### PRE-CLOSEOUT (6 MONTHS PRIOR TO CLOSEOUT)

**If you do not anticipate the project will be completed on time,** determine if a no-cost extension is appropriate and allowed. Contact the Grant Team for technical assistance if the no-cost extension is to be requested.

**Contact the Administrative Officer and Grant Management Specialist to review all expenditures,** encumbrances, and projected final expenses.

*Best practice: Keep in mind that materials and supplies needed for project completion should be purchased at least 60 days prior to the grant period end date, delivered, and implemented prior to the termination of the grant project. Review if any mass or unusual purchases at the end of the grant period were conducted.*

Be sure to schedule the preparation and completion of the final narrative and financial reports in accordance with the grant agreement or DFHV's expectations.

#### BUDGET AND PURCHASING (FINAL 30 – 60 DAYS OF GRANT PERIOD)

Two months prior to closeout, DFHV Project Leads should:

**Clear out all open encumbrances from the grant budget,** discuss any pending items with the Administrative Officer or Grant Management Specialist

**Ensure all subrecipient invoices have been paid,** if applicable. Review and report the status of any outstanding invoices, final invoices, and confirm all payments have been made with DFHV's OCFO representatives.

**Confirm that all interim and final reports (deliverables)** from the Awardee or consultants (third-party subrecipients) have been received, analyzed and processed within Zoomgrants.

**Follow-up on any open purchase orders and requisition requests** to make sure timely receipt of goods and services from any third-party vendor or Awardee.

**Note:** Purchases of supplies or equipment can be disallowed by Project Leads or DFHV's Grant Team if the purchases occur too late in the closeout process to be a legitimate need.

# Appendices
## *Appendix D · DFHV Grant Pre-Closeout & Closeout Checklists*

One month prior to closeout:

**Project Leads/Grant Management Specialist** will work with the Awardee Program Manager to reconcile items and process any purchase adjustments.

**Ensure all institutional matches** (cash, in-kind services, volunteer hours, etc.) documentation is submitted within Zoomgrants.

**Inventory all grant equipment and supplies** to be sure they are accounted for and/or returned to DFHV according to the grant agreement, i.e.:

*Vehicles*

*Vehicles' titles*

*Insurance policies,*

*Maintenance Plans,*

*Any and all equipment including electric meters, consoles, printers, card readers, panic buttons, keys/ fobs/manufacturers' access cards, vehicle door codes, voice-activated coding for access, cameras, recording devices, security equipment that would include all ADA and child booster seats or belts purchased with grant funds.*

### GRANT FILES

**Ensure all grant files are current** and include all the documents listed in the NOGA are a part of the checklist.

**Upload all official files to Zoomgrants** and ensure the documents mirror the grant agreement requirements and DFHV's project expectations, this would include labeling, data-entry or document maintenance, and storage (archiving).

### FINAL REPORTING

Project Lead ensures all supporting documentation related to services and product delivery are completed.

*All financial reports should be uploaded into Zoomgrants five days prior to the expiration of the grant project.*

*Project Lead and Grant Management Specialist should review prior to the expiration of the grant timeline to make any necessary adjustments.*

Final project evaluation completed and uploaded.

*Final project evaluation by the Project Lead needs to be conducted and uploaded into Zoomgrants.*

# Appendices
# *Appendix D · DFHV Grant Pre-Closeout & Closeout Checklists*

## Grant Project Closeout Checklist

The following provides guidance for both the Awardee and DFHV Project Lead/ Grant Team as projects near (within 60 days) of closeout. Even though this closeout checklist is being introduced by DFHV, DFHV's funding partner may have different requirements or deliverable expectations upon the end of the grant's lifecycle. DFHV Project Leads should follow this checklist and any other grant agreement required. This checklist should be uploaded into the Zoomgrants' portal tied to closing the grant project. For technical assistance uploading into Zoomgrants, see DFHV's Administrative Officer or Grant Management Specialist.

Project budget cost categories at the end of the grant period should show a zero balance.

*If there are funds remaining at the end of the grant period, please explain the reason for the excess:*

*If there is any overspending and the grant budget is prematurely exhausted, provide an explanation for the variance:*

Project objectives should be accomplished and outcomes should be recorded as completed, partially completed, or not completed. For partially completed or not completed, provide an explanation as to why, including: milestones, deliverables, and barriers or best practices:

Project Leads meet with Program Managers to finalize closeout:

*Verify all accounts are closed as of the last day of the grant project period.*

*Prepare final financial reports to be submitted to any DFHV funding partner or CA's Office.*

*Develop a plan for disposition of equipment and reassignment of supplies remaining.*

*Ensure all grant funded employees, customers, stakeholders, and advances are notified of the grant project's ending.*

*Verify Zoomgrants' portal is completed and all records transferred into the platform.*

*Discuss options for seeking additional external funding to continue the project outside of DFHV or DC Government direct support.*

# Appendices
## *Appendix D · DFHV Grant Pre-Closeout & Closeout Checklists*

Signature: _____ Date: _____

*Project Lead*

Signature: _____ Date: _____

*Grant Management Specialist*

Signature: _____ Date: _____

*Administrative Officer*

# Appendices
## *Appendix E · DFHV Compliance & Audits Checklist*

This document covers grant compliance and audits. Grant compliance is the key to grant management and success. Once the grant award is accepted, the Awardee (and DFHV) accepts the legal responsibility and accountability to follow the rules and regulations of the grant including requirements stated in the RFA, NOFA, and any other DFHV's funding partner's requirements

### Compliance Reviews

**DFHV must ensure that project implementation** and project expectations are met by monitoring the progress of the grant activities.

**DFHV's Project Lead will schedule monthly compliance meetings** that will review the project's performance with the Awardee's program managers and possibly funding partners to discuss fiscal matters and answer any outstanding questions any party may have.

**Annual file reviews** should be conducted approximately one month prior to the deadlines for final reports and an additional review will be conducted one month prior to the deadlines for closeout reports.

### Non-Compliance

Failure to comply with the terms and conditions could result in a finding of non-compliance and legal action, resulting in the following:

*An Awardee could be given a label as a high-risk applicant, which could result in suspension or termination of current grant projects and impact the applicant's future grant program prospects,*

*Reimbursements may be withheld until any given deficiency is corrected,*

*All or part of the costs of the project activity that is not in compliance may be disallowed,*

*Future awards for the project may be withheld, and/or*

*Legal remedies by DFHV or funding partners may be imposed.*

### Audit Preparedness

An important reminder to Awardees: All grant project records are subject to internal and external audits, including Freedom of Information Act requests ("FOIA"). When Awardees receive grant funds from DFHV, they are subjected to the same federal and District laws and regulations as the DFHV.

### Notice & Opportunity to Correct Deficiency

If DFHV determines that the Awardee has failed to comply with one or more terms and conditions of the grant or that there is other cause to warrant suspension, discontinuation, or termination, it will notify the Awardee in writing of the deficiency and include notice that failure to correct the deficiency may result in suspension, discontinuation, or termination of the grant.

### Suspension Duration

If the corrective action remains incomplete, DFHV, at its discretion, may extend the period of suspension, discontinue funding the grant if the period of suspension coincides with the end of the grant period, or decide to terminate the grant during the suspension period.

# Appendices
# *Appendix E · DFHV Compliance & Audits Checklist*

## Emergency Determination

If DFHV determines that it must suspend, discontinue, or terminate the grant without advance notice to protect the interests of the government, it will notify the Awardee in writing of the action, without providing the notice and opportunity to respond described in Paragraph above. Circumstances that may trigger an emergency determination to suspend or terminate without notice and opportunity to respond include but are not limited to when:

*DFHV determines that a serious risk of substantial injury to or loss of project funds or property exists;*

*A violation of a federal, state, or local criminal statute exists; or*

*The nature and severity of the deficiency require immediate action to protect the beneficiaries of the grant or the government's interests.*

## Termination by Agreement

Circumstances may arise where either DFHV or the Awardee wish to terminate a project. When both parties agree that continuation of the project would not produce the desired objectives or have other reasons for ending all or part of the grant, the grant may be terminated by mutual agreement.

### TERMINATION BY THE AWARDEE

**If the Awardee wishes to terminate the project,** it should notify DFHV in writing at least 60 days in advance of the proposed termination to allow DFHV to make appropriate arrangements to replace the Awardee and continue services without interruption.

**Awardees should discuss the proposed termination with DFHV staff** before sending the formal notice.

**The notice from the Awardee should state the reasons for the termination,** what steps it proposes to take to ensure continuity of services to its clients, how it will affect an orderly closeout and transition with any substitute Awardees, and the process and time frame for notifying clients, and Awardee staff.

**DFHV may accept, modify, or reject** the terms of the proposed termination.

**When termination is mutually agreed upon,** DFHV may terminate a grant by sending a notice to the Awardee setting forth the terms and effective date of the termination.

# Appendices
## *Appendix F · DFHV Penalties & Program Fines*

Effective management of grants is vital to achieving our DFHV's mission and objectives. As the receiver of grant funds, it is necessary that all staff and stakeholders adhere to the guidelines and procedures outlined in this manual. However, failure to comply with these requirements may result in penalties or program fines.

### Penalties & Program Fines

If an Awardee fails to comply with the regulations or the terms and conditions of an award agreement, DFHV (Grantor) may impose additional penalties or fines based on the severity of the situation. If DFHV determines that noncompliance cannot be remedied through a standard audit and resolution negotiations between the Grantor and Grantee, DFHV may take one or more of the following actions, as determined appropriate:

*Temporarily withhold cash payments until the grantee corrects the deficiency, or until more severe enforcement action is taken by the DFHV or pass-through entity.*

*Disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance.*

*Wholly or partly suspend or terminate the award.*

*Initiate suspension or debarment proceedings as authorized by the Grantor or their designated representative.*

*Withhold further awards for the project or program.*

*Explore alternative legal remedies that may be available.*

*Explore alternative business remedies that may be available.*

# Appendices
## *Appendix G · Glossary of Terms*

**Administrative Action**
Post award administrative request to modify the conditions of the original grant.

**Administrative Cost**
All direct and indirect costs associated with the management of grant programs. They are often capped by the grantor at a certain percentage of the grant.

**Application Package**
A group of specific forms and documents for a specific funding opportunity which are used to apply for a grant.

**Award**
Financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants and other agreements in the form of money or property in lieu of money, by District agency to an eligible recipient. The term does not include: technical assistance, which provides services instead of money; other assistance in the form of loans, loan guarantees, interest subsidies, or insurance; direct payments of any kind to individuals; and contracts which are required to be entered into and administered under the OCP procurement regulations.

**Catalog of Federal Domestic Assistance (CFDA)**
An online database of all federal programs available to state and local governments, federally recognized Indian tribal governments, territories and possessions of the United States, domestic public, quasi-public, and private profit and nonprofit organizations and institutions, specialized groups, and individuals.

**Catalog of Federal Domestic Assistance (CFDA) Number**
The identifying number that a federal program is assigned in the Catalog of Federal Domestic Assistance (CFDA).

**Closeout**
Process by which the awarding DFHV determines that all applicable administrative actions and all required work of the award have been completed by the recipient and the awarding agency.

**Continuation Grant**
A continuation grant provides additional funding for budget periods subsequent to the initial budget period.

**Date of Completion**
The date on which all work under an award is completed or the date on the award document, or any supplement or amendment thereto, on which awarding agency sponsorship ends.

**Grant**
Those funds obtained by the District of Columbia, by and through any Agency, Office, or instrumentality of the District of Columbia, for the funding a public purpose, which funds are obtained pursuant to (i) any federal program administered by a federal agency pursuant to an authorizing statute and implementing regulations, or (ii) a grant agreement duly executed by any private entity or person and the District of Columbia.

**Grant Agreement**
A legal instrument for the transfer of funds from the funder to the Awardee and which sets forth the terms and conditions of the award.

**Grant Award Notification (GAN)**
An official document signed by a program official who is authorized to obligate the agency financial matters. The GAN states the amount, terms, and conditions of award for a discretionary grant or cooperative agreement.

**Indirect Costs**
Are those facilities and administrative costs incurred for a common or joint purpose and therefore cannot be identified readily and specifically with a particular sponsored project or instructional activity or other institutional activity ("direct costs").

**Intra-District**
An agreement between two District Agencies whereby one Agency (the "seller") provides services to another (the "buyer"), as formalized in a Memorandum of Understanding between the Agencies.

**Mandatory Forms**
Mandatory forms are the forms that are required for the application.

**Notice of Funding Availability (NOFA)**
A publicly available document by which a District agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds.

**Outcomes**
Results of a program, services, or products provided and refer to changes in knowledge, attitude, or behavior that is expected to occur as a result of implementing a project or program, service or activity.

# Appendices
## *Appendix G · Glossary of Terms*

**Partnership**
Partnerships involve similar organizations that help each other meet their respective goals. This collaboration may lead to significant changes in the services each organization offers.

**Project Period**
The period established in the award document during which awarding agency sponsorship begins and ends.

**Recipient**
An organization receiving financial assistance directly from DFHV to carry out a project or program.

**Request for Applications (RFA)**
The document that describes the requirements for subgrant applications.

**Review Panel**
A team of qualified individuals responsible for reviewing, scoring, and recommending applicants for grant or subgrant awards.

**Subgrant**
The award of federal or private grant funds by a District Agency to a private (nonprofit or for-profit) subrecipient organization to accomplish the same public purpose as defined by the law or grant specifications that authorize the original grant.

**Subrecipient or Sub-Awardee**
The legal entity to which a subaward is made and which is accountable to the recipient for the use of the funds provided.

**Suspension**
A post-award action by DFHV that temporarily withdraws the agency's financial assistance sponsorship under an award, pending corrective action by the recipient or pending a decision to terminate the award.

**Termination**
The cancellation of DFHV's sponsorship, in whole or in part, under an agreement at any time prior to the date of completion.

# Appendices
## *Appendix H · List of Abbreviations*

**AWS** · Amazon Web Service

**BTG** · Business Transformation Grant

**CFSA** · Child and Family Service Agency

**DCMR** · DC Municipal Regulations

**DEB** · Driver Earnings Boost

**DFHV** · Department of For-Hired Vehicles

**DTS** · Digital Taxicab Solution

**EIN** · Employee Identification Number

**EV** · Electric Vehicles

**MOVA** · Mayor's Office of Veteran Affairs

**MOVP** · Mayor's Office of Volunteerism and Partnerships

**NOFA** · Notice of Funding Availability

**OCFO** · Office of Chief Financial Officer

**OMB** · U.S. Office of Management and Budget

**OPGS** · Office of Partnership and Grant Services

**PO** · Purchase Order

**RFA** · Request for Applications

**TAAS** · Transportation as A Service

**TDC** · Transport DC

**WAV** · Wheelchair Accessible Vehicles

# Appendices
# *Appendix I · Sample Grant Monthly Report*

## Monthly Performance Narrative

To capture Awardee learning and achievement, the DC Department of For-Hire Vehicles (DFHV) Program expects Awardees to report on the progress made in meeting the goals and objectives of their grants. These reports are the primary mechanisms through which DFHV can better understand the significant innovations and successes resulting from your grant, the challenges you have encountered and strategies for resolution, and technical assistance needed to ensure the successful implementation of your project. This guide is designed to provide DFHV Awardees with general information on what to report, the format for the monthly performance report, and the reporting due dates. Please note DFHV may ask that additional information be collected and reported as technical assistance efforts take shape or as on-site visits occur to facilitate the sharing of best practices, lessons learned and quality improvements.

**Instructions:** Email the monthly performance narrative to the Project Lead at **DFHV.Grants@dc.gov**. The reports are due on the 5th of each month. Please feel free to add rows to the reporting section template, as needed. Instructions for the performance report and submission procedures appear at the end of this template.

**Key Issues and Technical Assistance Needs**
*Highlight specific challenges and needs facing your grant and any action taken (for example attempted collaboration with partners, etc.). For outstanding challenges and needs from previous months re-list the issues and recommendations, and add actions taken, etc.*

| CHALLENGERS/NEEDS | ACTIONS TAKEN |
|---|---|
| | |
| | |
| | |

**Best Practices and Lessons Learned**
*Describe any practices that your organization engages in that could be useful for DFHV and other partners to know about.*

| PRACTICE AREA | DESCRIPTION OF PRACTICE |
|---|---|
| | |
| | |
| | |

**Injury or Incidents**
*Were there any injury incidents? If so, please complete the injury/incident report for DFHV files.*

**Success Stories**
*Describe any practices that your organization engages in that could be useful for DFHV and other partners to know about.*

## Performance Narrative Guidelines

**Key Issues and Technical Assistance Needs ·** Summarize any significant issues or problems encountered this month and resolution of previous issues and challenges identified in previous months. Describe any actions taken or plans for addressing issues, any questions you have, and technical assistance needs.

**Best Practices and Lessons Learned ·** Please describe in detail promising approaches, innovative processes, and lessons learned in this section each month, as appropriate. This section is intended to provide additional, more in-depth information than the summary section about promising approaches, new processes, and/or lessons learned.

**Injury or Incident Report ·** Provide information on any injury or incident that took place during a trip for DC Transport. Complete the DFHV incident/injury report.

**Success Stories ·** Include any success stories you may have about a passenger/driver etc.

# Appendices
## *Appendix J · Program Incident Report Form*

### Program Incident Report Form

Provide a detailed account of what happened, including the events leading up to the incident.

| PART ONE (REPORTER INFORMATION) | | |
|---|---|---|
| Name of Reporter (Print): | | |
| Title/Position: | | |
| Grant Program Name: | | |
| Phone Number: | | |
| Date Reported: | | Time Reported: |
| Was this incident reported to the company's Program Manager: | ☐ Yes ☐ No ☐ I do not know | |
| If "yes", provide the following information: | | |
| Person reporting to Manager/Supervisor: | | |
| Title/Position: | | |
| Telephone Number: | | |
| Was this incident reported MPD? | ☐ Yes ☐ No | |
| Was this incident reported DCFD? | ☐ Yes ☐ No | |

DFHV
Government of the District of Columbia
Department of For-Hire Vehicles

# Appendices
## *Appendix J · Program Incident Report Form*

| PART TWO (INCIDENT INFORMATION) | |
|---|---|
| Type of Incident: | |
| Date of Incident: | Time of Incident: |
| Location of Incident: | |
| Individuals involved and/or witnesses to the incident: | |

| PART THREE (INCIDENT DETAILS) |
|---|
| (Who? What? When? Where?)<br>If additional detail is needed, please attach on separate sheet of paper to this report: |