



GOVERNMENT OF THE DISTRICT OF COLUMBIA
Office of the Chief Technology Officer

OCTO Grant General Terms and Conditions

Government of the District of Columbia
Office of the Chief Technology Officer
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1. This document

Each eligible legal person or entity applying for a grant with the Office of the Chief Technology Officer (OCTO) advertised in the Request for Applications (RFA), the successful Applicant (Grantee), and a subrecipient of funds proceeding from the grant provided pursuant to the RFA (Grant), is subject to and must comply with the following:

- a. The applicable general terms and conditions outlined in this Appendix 1 – OCTO Grant General Terms and Conditions (GT&C);
- b. The promises, certifications, assertions, and assurances made as part of the application in Appendix 2 – OCTO Grant Promises, Certifications, Assertions, and Assurances (PCA); and
- c. The terms, conditions, or restrictions in the Grant award documents, as amended.

The Grantee must review the Grant award documents for additional administrative and programmatic requirements. A condition stated in this GT&C is a continuing condition, unless explicitly stated otherwise or OCTO advises in writing that it is not continuing.

2. Order of precedence

In the event of inconsistency among provisions of the documents governing the Grant, the inconsistency shall be resolved by giving precedence to the following documents, including their attachments and appendices, in the following order:

- a. The most recent OCTO-approved written amendment to the Grant Award Notice (GAN);
- b. The GAN;
- c. An approved work plan, if any;
- d. The RFA; and
- e. The Grantee's submitted application.

3. Communications with OCTO

- a. Communications shall be directed to OCTO offices, or OCTO staff, as the RFA or GAN states.
- b. Reports and other submissions shall be directed to OCTO, as indicated.
- c. If reports are electronically filed, the required signatures shall be reliably and clearly reproduced.

- d. The Grantee shall maintain electronic mail (e-mail) capabilities for communication with OCTO.
- e. A notice shall be deemed timely delivered to OCTO when written confirmation of receipt is provided by OCTO.

4. Grant match: projection and documentation

When documentation of a grant match is required:

- a. In support of an application, the Applicant must provide a basic budget that shows unit rates and quantities, as with hours worked, square feet used, or miles driven; and
- b. In support of an award, the Grantee must provide the following, which must be acceptable to OCTO, unless OCTO revises or waives the requirement in writing:
 - (1) Documentation for salary and for items purchased, in the same form as required in Section 11 (Payment) of the GT&C.
 - (2) Documentation of a proposed in-kind match, including detail for volunteers. Volunteer hours provided to the Grantee by individuals will be valued at rates consistent with those ordinarily paid for similar work in the Grantee organization. If the Grantee does not have employees performing similar work, the rates will be consistent with those ordinarily paid by other employers for similar work in the same labor market. Donated space, as for a meeting or event, may be valued according to a written statement from a property's owner or manager. Donated vehicle use may be valued as provided for reimbursement of travel (and will be subject to the RFA's insurance requirements).

5. Communication of a material change

The Applicant and, if awarded the Grant, the Grantee, shall advise OCTO immediately orally, and thereafter immediately in writing, if:

- a. A material condition of the Application or performance of the Grant has changed; or
- b. The Grantee's insurance coverage has been reduced, or the Grantee has been notified of a cancellation in whole or in part of its insurance.

OCTO shall determine materiality, in its sole discretion. A material condition includes the loss of a staff member proposed as a principal; the lack of funds to pay bills incurred for the Grant's activities; the expenditure of granted funds for non-granted activities, materials, or supplies; or a change in the Applicant's governance.

6. Compliance as a continuing condition of eligibility

The Applicant must continue to comply with the RFA and Grant terms during the period of consideration of its Application, and if awarded a Grant, during the Grant period. If there is a

failure to comply, OCTO may suspend, terminate, withdraw, or recover funds, or take other corrective action.

7. Grant contingent on available funding

The Grant and OCTO's distribution of funds pursuant to the Grant are subject to the availability of funding from the sources identified in the RFA for the particular grant opportunity or project. OCTO's ability to provide funds is, and shall remain, subject to the provisions of the following:

- a. The Federal Anti-Deficiency Act, 31 U.S.C. §§ 1341, 1342, 1349, 1351;
- b. The District Anti-Deficiency Act, D.C. Official Code § 47- 355.01- 355.08; and
- c. Amendments to these statutes.

8. Bonding requirements

A bond is not required of the Grantee unless OCTO states the requirement in writing.

If OCTO does require a bond, the Grantee, before accepting the Grant, must secure the bond in an amount not less than the total amount of the funds awarded, against losses of money and losses of other property:

- a. Caused by fraudulent or dishonest act, and
- b. Committed by an employee, board member, officer, partner, shareholder, trainee, or volunteer.

9. Risk Factor Assessment

1. OCTO will conduct an annual review of agencies' requests for funding, in addition to grantees' programmatic and financial reports and publicly available information in order to determine whether, if their proposal is selected for funding, they are a Low, Medium or High-Risk award recipient for the agency.
2. Factors considered for determining risk level include:
 - a. Award amount
 - b. Prior experience managing same or similar awards
 - c. Substantial changes to personnel or the budget in a fiscal year
 - d. Timely submission of financial and program performance reports
 - e. Results of audits
 - f. Number of request for advance(s)
 - g. Site visit findings
3. Depending on the risk level assessed, OCTO may require award recipients or applicants selected for funding to comply with one or more of the following special conditions in order to receive funding:
 - a. Provide monthly financial statements that include, at a minimum, balance sheet, cash flow, or Profit and Loss Statements.

- b. Provide an organizational budget and any subsequent revision to it.
 - c. Provide project cost documentation upon request. This may include but is not limited to payroll journals, timesheets, vendor invoices, cancelled checks, credit card statements, and compliance with internal procurement policies.
 - d. Deliver Accounting Journal Entries and Ledgers upon request.
 - e. Offer copies of other grant agreements upon request.
 - f. Complete additional Performance Measure, Financial, or Program Reports.
 - g. Report its staffing plan and immediately report new hire updates.
 - h. Immediately report any changes to their Personnel or Financial Manuals.
 - i. Verify reported data and outcomes with backup information.
 - j. Any other requirements determined by OCTO's Chief Technology Officer or his/her designee.
4. Failure to comply with any Special Award Condition may result in award termination and make the grantee ineligible to receive continued or increased funding.

10. Grant period

The period of this Grant shall begin on the date of the Director's signature on a GAN, which is the "begin date." The Grantee's rights to funds will be contingent upon OCTO's completion of its internal financial controls, evidenced by delivery to the Grantee of the GAN. On and after the begin date, the RFA, the documents it incorporates, and the documents specified in Section 1 of this Appendix 1 apply to the Applicant as "Grantee."

The period of the Grant shall end on the date stated in the GAN, as amended in writing, as the "end date."

11. Payment

- a. The Grantee will be reimbursed for work performed and expenses incurred.
- b. OCTO will not reimburse the Grantee for Grant-related expenditures made before the begin date.
- c. Timely submission of an invoice is a precondition to timely payment.
 - (1) Ordinarily OCTO pays proper invoices within 30 days.
 - (a) The Grantee should submit invoices for Grant-related reimbursement during the Grant period.
 - (2) The Grantee should not submit invoices after September 30 for goods and services incurred in a preceding fiscal year.
 - (3) The Grantee must use the DC Vendor Portal at www.vendorportal.dc.gov to submit invoices. To register for use of the portal, the Grantee must have a business license issued by the District Department of Licensing and Consumer Protection.

- (4) Prior to acceptance of the Grant, the Grantee must timely inform the OCTO point of contact of objections or limitations with the use of the Portal.
- d. The Grantee's submittal for payment must include a signed invoice, on organization letterhead, with federal tax identification number and supporting documentation. The submittal to OCTO must also include:
- (1) For employee labor: For the relevant period, submit proof of the paid labor. Proof could include a payroll report, with information drawn from an official book or record, like a payroll register, official time sheet or timecard/s. The Grantee should seek OCTO's pre-approval of the form of proof of employee labor.
 - (2) For a contractor expenditure: Support each expenditure with the contractor's invoice. In turn, each contractor invoice must rest on information drawn from an official book or record.
 - (3) For another expenditure: Support each expenditure with an invoice or receipt.
- e. The Grantee must keep backup documentation to show:
- (1) For Grantee:
 - (a) For labor: the official books and records information showing employee name, title, hours worked that are charged to the Grant, and pay rate for the period (typically a payroll register, official time sheet, or timecard/s);
 - (b) For non-labor: an invoice and receipt that identifies or describes the invoiced item, showing quantity, rate or price, and for a procured item, including a contractor and subgrantee invoice, proof of payment.
 - (2) For Grantee's contractor or subgrantee:
 - (a) For labor: the official books and records information showing employee name, title, hours worked that are charged to the Grant, and pay rate for the period (typically a payroll register, official time sheet, or timecard/s); and
 - (b) For a non-labor item: an invoice or receipt that identifies or describes the invoiced item, showing quantity, rate or price, and for a procured item, proof of payment.
- f. In some circumstances, OCTO as a precondition to payment, may require documents supporting an accounting entry. Such information may include:
- (1) General ledger screen shot or excerpt showing paid bills or expenditures;
 - (2) Copy of a canceled check or a bank statement of an electronic transfer;

- (3) Statement from contractor, subcontractor, or vendor that the bill has been paid; or
 - (4) Report of on-site inspection or audit.
- g. In limited circumstances, and at OCTO's sole discretion according to its policy, OCTO may provide a portion of Grant funds for the Grantee's start-up costs as an advance. *See* RFA Parts 1.8, and 6.2. The following specifics control over general terms in the cited provisions:
- (1) The Grantee must have requested such funding in its Application.
 - (2) Advance payments shall not exceed the lesser of 25% of the grant award or \$100,000. An exceptional case that may justify a greater amount, such as for the purchase of equipment, requires the written approval of OCTO's Director.
 - (3) The advance funds must be spent by the Grantee within the DC Government fiscal year during which the advance is made. The Grantee must submit to OCTO documentation showing evidence of the expenditures using the advance.
- h. Until all grant-funded activities have been completed OCTO may, in its sole discretion, withhold from the total to be paid the greater of either (1) an amount equal to the total of advanced funds or (2) an amount up to 10% of the Grant. Such activities include the Grantee's submission of the final report.
- i. The sum of all monies paid to the Grantee pursuant to the Grant shall not exceed the total amount stated for the Grant.
- j. Notwithstanding the above, OCTO may withhold payment if OCTO determines that the Grantee has failed to comply with a material term of the Grant. OCTO may, in its sole discretion, determine materiality.

12. Unethical conduct

- a. The Applicant/Grantee shall avoid unethical conduct with respect to securing and administering granted funds, with ethical conduct to be measured generally against the provisions of the District Ethics Manual (most recent edition as of the time the Grant is awarded), found at <https://bega.dc.gov>.
- b. In particular, the Grantee shall avoid:
 - (1) Apparent and actual conflicts of interest;
 - (2) Contributing to a violation of the District's restrictions on gifts to District personnel; and
 - (3) Contributing to a violation of the two-year ban on District personnel taking certain actions regarding a "particular matter" described in the District Ethics Manual.

- c. No Applicant/Grantee shall employ or retain a person or selling agency to solicit or secure the Grant, a payment under it, or an amendment, upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee. Exception: An Applicant or Grantee may condition its compensation for a bona fide employee on grant-related job performance and may retain an attorney for compensation permitted by the District's Rules of Professional Conduct.
- d. Except as may be allowed under the District Ethics Manual for items that are unsolicited and of nominal value, with respect to grant funds, the Grantee and Grantee's employees, officers, or agents shall not solicit or accept a gift, gratuity, favor, or anything of monetary value, from a contractor, subcontractor, vendor, subgrantee, party to a related agreement, or a beneficiary of the Grant.
- e. If the Grantee is a natural person, he or she shall not participate in the selection, award, or administration of funds from the Grant if that would create a real or apparent conflict of interest. This prohibition also applies to a Grantee's employee, officer, or agent. An example of a conflict would be when the Grantee decides to employ, or buy from, a person or entity in which he or she, or a member of his or her immediate family, including a domestic partner, has an employment or financial interest.

13. Grant purchases, including equipment, exceeding \$5,000 per unit cost

- a. The Grantee shall not purchase with grant funds equipment or supplies exceeding \$5,000 per unit cost (“Big Grant Purchase”) without OCTO’s written agreement.
- b. For each Big Grant Purchase, the Grantee shall give advance written notice to OCTO to allow OCTO to approve or disallow the purchase.
- c. Identification of a Big Grant Purchase in a OCTO -approved application constitutes approval of the Big Grant Purchase. If a Big Grant Purchase is not identified in a OCTO-approved application, advance notice shall be given four (4) weeks in advance of the commitment to purchase. OCTO may waive this time period in writing, for good cause.
- d. For all Big Grant Purchases, the Grantee shall maintain an inventory record (“Big Grant Purchase Inventory”) showing:
 - (1) Purchase price;
 - (2) Grant number;
 - (3) Name of item;
 - (4) Manufacturer's name;
 - (5) Serial number (if applicable);
 - (6) Acquisition history (purchase order, invoice, packing slip);
 - (7) Guarantee or warranty lapse date;

- (8) Storage location;
 - (9) Unit price; and
 - (10) Additional costs, if any, for transportation, installation, and taxes, each as a separate item.
- e. The Big Grant Purchase Inventory shall be updated annually, or at the Grant end date, whichever occurs first.
 - f. OCTO may inspect and reclaim all or part of the inventoried equipment within twelve (12) weeks of the Grant end date.
 - g. Warranties for Big Grant Purchases are governed by the provisions for purchases of materials and labor with an aggregate value of over \$5,000 as set forth in the “Contracts, subcontracts, or subgrants” section of this document.

14. Modifications of the Grant, including extensions and increases

The terms and conditions of the Grant may be modified only upon OCTO’s prior written approval. The modification shall take the form of an amendment to the GAN.

- a. Through an amendment, OCTO may increase or reduce the Grant amount, change scope, and/or extend or reduce the Grant period.
- b. If OCTO notifies the Grantee that a funding increase or an extension of the Grant period is available, the Grantee must apply for the increase or extension in writing according to the terms of the OCTO notification. Typically, OCTO requires an application to extend a grant period eight (8) weeks in advance of the grant’s then-current end date. The application must justify the amendment, and include a description of proposed changes to scope, performance schedule, description of proposed outcomes, and budget.

15. Contracts, subcontracts, or subgrants

- a. Nothing in the GAN shall be construed to create a contractual relationship between OCTO and any of the following: Grantee, Grantee's contractor, subcontractor, subgrantee, or vendor.
- b. Any Grant-related work and/or activity that is contracted, subcontracted, or subgranted is subject to applicable District law and OCTO 's review and approval. The Grantee shall give OCTO advance notice of contracts, subcontracts, and subgrants with enough time to allow OCTO to determine whether its approval is needed, and, if so, whether approval must come before the Grantee’s execution of the contract, subcontract, or subgrant.
- c. The Grantee’s contract, subcontract, or subgrant shall specify that the contractor, subcontractor, or subgrantee, and its contractors, subcontractors, or subgrantees, shall be subject to the conditions and prohibitions of the GAN.

- d. Warranties for labor and materials shall be obtained for purchases of materials and labor having an aggregate value of over \$5,000. These warranties shall be for at least two (2) years. OCTO may waive this requirement in writing for demonstration or research grants.
- e. If the Grantee, its contractors, subcontractors, or subgrantees disturb work guaranteed under another District contract or grant, the Grantee shall be responsible to restore the disturbed work to a condition comparable to its original condition and warranty such restored work, or alternatively to pay the District for the damage.
- f. No Grantee shall use grant funds to procure services or materials from a vendor, contractor, or subcontractor that is suspended or debarred by the District or the federal government.

16. Establishing and managing subgrants

If the Grant authorizes or provides for a subgrants, the Grantee, as a pass-through entity, must:

- a. Be responsible for selecting each subgrantee and, as appropriate, conducting a competition for each subgrant.
- b. Ensure that all subgrant documents, including agreements, are in writing and address all elements of the subgrant documents identified in the RFA and GAN, and in their appendices and attachments.
- c. Ensure that each subgrantee is aware that it is subject to all applicable terms, conditions, and requirements of the RFA, GAN, and their appendices and attachments.
- d. Establish and follow a system for monitoring subgrantee performance that includes elements required by the RFA, GAN, and appendices and report the results of the monitoring in required performance reports.
- e. Establish and maintain an accounting system that ensures compliance with the maximum funding limitation established in the GAN and with the requirements for payment of costs under the Grant. This includes establishment of written procedures for determining that subaward costs are allowable under the GAN, and may provide for determinations on a pre-award basis, through ongoing monitoring of costs that subgrantees incur, or a combination of both approaches, provided the Grantee documents its determinations.
- f. The Grantee shall extend the Grant's OCTO-approved indirect cost rate to payments made to a nonprofit subgrantee or to a nonprofit contractor. Except that the following are excluded from this paragraph's requirement of this compensation structure: a foundation, hospital, college, and university.

17. Entry onto a project site

The Grantee must provide the District with access to the project site(s) and to books and records for the funded project. The Grantee also must secure from the relevant property

owner permission in writing for OCTO or its designee to access a project site/s at reasonable times to inspect the work performed by the Grantee, its contractor, subcontractor, subgrantee, or vendor. The Grantee must obtain the written consent in advance of performing the work.

18. Facilities controlled by the Grantee

- a. If a facility controlled by the Grantee is used during the performance of projects under the Grant, the facility shall meet all applicable District, federal, state, and local regulations for the intended use. Such a facility includes an office, training room, storage yard, or staging area.
- b. With respect to such a facility, the Grantee shall identify an emergency site facility to finish the activities of the Grant if the primary facility becomes unavailable for use due to a catastrophic event.
- c. Each facility controlled by the Grantee that is used for activities under the Grant shall be accessible to mobility-limited persons consistent with the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 701 *et seq.*, and the Americans with Disabilities Act, 42 U.S.C. § 12101 *et seq.* This means that if a facility is not required to be modified under either Act, the Grantee need not modify it, but OCTO will require the Grantee to explain how it will seek to accommodate mobility-limited persons.

19. Safe work environment

The Grantee, and its contractors, subcontractors, or subgrantees, shall provide a safe work environment for work on OCTO -funded projects. The Grantee shall provide a procedure for reporting unsafe working conditions and addressing reports made. If the Grantee, contractor, subcontractor, or subgrantee receives an allegation of an unsafe working condition or practice or has a safety incident, the pertinent party shall investigate the reported unsafe condition or practice and take appropriate action to address the situation in a timely manner. The incident and response shall be described in the Grantee's next grant report.

20. Unusual incident reporting

The Grantee shall report each unusual incident involving or affecting performance of the Grant to the Grant Administrator within twenty-four (24) hours of the incident or of the Grantee's learning of the incident. The initial report may be oral or in writing (typically by e-mail). The Grantee shall, within five (5) days of the incident, communicate in writing to the Grant Administrator a full description of the incident and any response(s) taken or to be taken in response to the incident.

An unusual incident is an event or occurrence significantly different from routine or established procedure that affects or may affect performance of the Grant. Examples include serious injury, traffic accident, theft, or firing or resignation of a principal staff member or contractor identified in the Application.

21. Termination

The Grant, and the offer of the Grant, shall be subject to OCTO's termination:

- a. At any time, in whole or in part, for the convenience of the Government should OCTO determine that such termination is in the best interest of the public or the Government;
- b. Immediately for:
 - (1) Lack of funding;
 - (2) Failure of the Grantee to follow District or applicable federal law, including statutes, rules and regulations;
 - (3) Failure of the Grantee to carry out OCTO's ordered grant remediation plan;
 - (4) An ethics violation involving the Grant, pursuant to the ethical standards in the most recent version of the District Ethics Manual, published by the District's Board of Ethics and Government Accountability (bega.dc.gov), as of the date that the GAN was sent;
 - (5) Cessation of insurance coverage without replacement of similar coverage; or
 - (6) Fraud, waste, or abuse.
- c. After the Grantee has acknowledged or otherwise signified receipt of the Grant, fourteen (14) calendar days after the Grantee receives from OCTO written notice of termination due to:
 - (1) *Force majeure*, as defined and described below; or
 - (2) Cause, as defined and described below.

22. Termination for *force majeure* or cause

- a. For *force majeure* OCTO may terminate the grant and the Grantee may seek certain reimbursement, as described in this section.
- b. For cause OCTO may terminate the grant, but the Grantee may not receive the reimbursement allowed for termination on the basis of *force majeure*.
- c. Cause and *force majeure* defined:
 - (1) Cause is a basis for OCTO's termination of the Grant, when OCTO determines that the Grantee has:
 - (a) Failed to achieve the intended outputs within the time frame that has been approved;

- (b) Performed incompetently, recklessly, or unlawfully.
- (2) *Force majeure* is a condition or occurrence which provides a valid excuse to failure to perform within the time frame of the Grant, an unexpected and disruptive event which OCTO determines could not have reasonably been anticipated or controlled, and includes:
- (a) Timely applying for a government permit or approval but not timely receiving same from the government agency;
 - (b) A change in applicable law;
 - (c) An unforeseen weather event;
 - (d) Organized labor strike or slowdown; and
 - (e) Refusal of a necessary third party to approve, agree, or participate, following the Grantee's reasonable attempts to secure same.
- d. The Grantee may not invoke *force majeure* as an excuse for poor planning, failure to accommodate foreseeable delays by suppliers, or the Grantee's failure to manage its own resources.
- e. For *force majeure*, the Grantee may seek reimbursement for otherwise-reimbursable expenditures incurred up to the date of termination, as well as reasonable costs incurred for demobilization.

23. Unspent funds

Funds provided under this Grant, but not spent to fulfill the terms of the Grant, shall be returned immediately to OCTO upon completion of all work required under the Grant, termination of the Grant, or the Grant end date, whichever is earliest.

24. Grant fiscal performance review and remediation plan

- a. After eight (8) weeks of the Grantee's Grant performance, OCTO may perform a complete grant fiscal compliance review to determine patterns and rates of expenditures.
- b. If OCTO identifies deficiencies, OCTO may require that the Grantee undertake a grant remediation plan to improve and correct fiscal problems. Grant remediation may include:
 - (1) Repayment of Grant funds;
 - (2) Reduction in the Grant award; and
 - (3) Reallocation of Grant funds.

25. Accounting and audits

- a. The Grantee shall maintain an accounting system that:
 - (1) Conforms to generally accepted accounting principles;
 - (2) Permits an audit of all income received and expenditures made by the Grantee during performance of the activities approved for the Grant; and
 - (3) Allows for the identification and review of documents supporting an accounting entry.
- b. The Grantee shall assist, and shall require that its contractors, subcontractors, and subgrantees assist, in the inspection and provision of financial records relevant to the Grant, including financial statements and tax returns. The Grantee shall seek such assistance from each vendor of a Big Grant Purchase.
- c. At any time before final payment on this Grant, or the end of the District fiscal year in which the Grant ends, whichever is later, and for three (3) years thereafter, the District shall have the right to audit the Grantee, its contractors, subcontractors, or subgrantees. The District may, during this period, seek to audit vendors of Big Grant Purchases. If federal funds have been granted or subgranted, a federal agency may undertake such audits. The Grantee shall assist the District in obtaining the cooperation of its contractors, subcontractors, subgrantees, and vendors in such audits.

If federal funds have been included in the OCTO Grant to the Grantee, and the Grantee spends over the following amounts of federal funds, from all sources, the Grantee shall obtain an independent audit of program expenditures in accordance with federal rules:

- (1) If the Grantee's fiscal year that started after 12/26/14, for an aggregate of federal funds spent of \$750,000 or more (including this Grant) in its own fiscal year, the Grantee shall obtain an independent audit of program expenditures in accordance with 2 CFR Part 200, Subpart F.
 - (2) In any event, the Grantee of federal funds shall comply with all applicable federal regulations contained in 2 CFR Part 200.
 - (3) A copy of the audit findings and the audit report shall be submitted to the Grant Administrator no later than thirty (30) days from the issuance of the audit findings.
- d. If a federal agency undertakes an audit of the Grantee in connection with the Grant, the Grantee shall make available to OCTO all information that the audit requires, including information from its contractors, subcontractors, subgrantees, and, as practicable, vendors.
 - e. The Grantee shall, upon OCTO request, repay to OCTO a reimbursed expenditure that OCTO has disallowed after an audit.

26. Document retention for three years

- a. For three (3) years after the final OCTO payment of the Grant, or the end of the District fiscal year in which the Grant ends, whichever is later, the Grantee must maintain complete documentation of the Grant activities, including financial records and other documents supporting accounting entries. Upon OCTO's request, the Grantee must be able to produce for review the documentation, including for OCTO audit or, if applicable, federal audit.
- b. The Grantee must produce these materials for review, permit review of them, and respond promptly to questions regarding them, upon OCTO's or an auditor's request.
- c. If a claim, litigation, or audit is filed or commenced before the expiration of the three-year period, the documentation retention period shall be tolled, and documentation must be preserved until the claim, litigation, or audit has been finally resolved.
- d. The Grantee shall secure the agreement to the provisions of this section in writing from a person that this appendix subjects to an audit requirement.

27. Attribution of funding

- a. When communicating in writing (including in signage, on garments, and electronically) about the activity or project which the Grant funds, the Grantee must identify publicly the support of OCTO. The Grantee shall include a OCTO logo, which OCTO will provide.
- b. The Grantee shall follow OCTO Sign Design Guidelines and Publication Design Guidelines.
- c. If federal or other funds have been subgranted, and if OCTO requests, the Grantee must similarly acknowledge the funds' source.

28. Rights in data and other information

- a. OCTO retains ownership of all information produced pursuant to this Grant, including data regarding persons surveyed, interviewed, and/or counted, and any information regarding to whom services or things were provided.
- b. To ensure the protection of persons' confidentiality and compliance with District law and policies regarding confidentiality, the Grantee may not publish scientific or technical articles based on these data and/or information without OCTO's prior written consent.
- c. OCTO is, for federal funding, subject to certain information restrictions, and may require that the Grantee give notice to, and request a decision from, the federal funder.
- d. OCTO will not unreasonably withhold consent to a request by the Grantee for a nonexclusive license to use aggregated, non-confidential data, including for publication

in professional and scientific journals and at professional meetings.

- e. The documents for this Grant are public documents and may be disclosed under the District's Freedom of Information Act, D.C. Official Code §§ 2-531 to 540. OCTO shall have the right to disclose to a third party the identity of a person providing a service or good under this Grant and the terms of insurance obtained pursuant to this Grant.
- f. The Grant may involve activities in which confidential information is provided to the Grantee. OCTO may also advise the Grantee in writing as to the content and nature of confidential information. When the Grantee uses or has access to confidential information, it shall treat the information as follows:
 - (1) The Grantee shall use confidential information only to the extent required to accomplish the purposes of this Grant.
 - (2) The Grantee shall not disclose confidential information to others without the express written permission of OCTO. Exception: The Grantee may disclose confidential information to its contractors or subgrantees who have agreed in writing to be bound by the disclosure limitations in this section.
 - (3) To be considered confidential information subject to the disclosure limitations in this section, OCTO 's orally provided information shall be identified as confidential at the time of disclosure, summarized in writing and the summary delivered within thirty (30) days of disclosure.
 - (4) Confidential information shall not pass in ownership to the Grantee. The furnishing of confidential information does not constitute a license to the Grantee to use the information for purposes beyond the activities of this Grant.
 - (5) After being requested by OCTO to destroy confidential information, the Grantee shall return or destroy it within seven (7) days. Destruction shall be verified by the Grantee in writing by a duly authorized officer or manager. Confidential information that is not returned or destroyed shall remain subject to the confidentiality obligations set forth in this section.
 - (6) The confidential information shall not be copied or reproduced at any time without the prior written consent of OCTO, except for distribution to employees or contractors in accordance with, and subject to, the provisions of this section.
 - (7) The requirements of this section shall continue past the term of this Grant.
 - (8) The Grantee shall secure from contractors and subgrantees the agreement, in writing, to be bound by this section if they use or have access to confidential information.
 - (9) Confidential information shall include, but not be limited to homeowner names, phone numbers, social security numbers, financial information, and home security arrangements.

29. Indemnification

Unless prohibited by law, the Grantee shall indemnify, defend, and hold harmless the District of Columbia and its officers, agents, and employees from any and all claims that are in any way connected to the Grant. Unless prohibited by law, the Grantee shall require its principal contractors, subcontractors, subgrantees, and/or, if practicable, vendors for this Grant to do the same.

30. Insurance

The Grantee shall meet the Insurance Requirements, unless the Grantee has requested and received a written waiver from OCTO for specified requirement(s). An Applicant for a grant is not required to have the necessary insurance in place at the time of application, but if awarded a Grant, the Grantee must have or obtain all required insurance at the time that work under the Grant begins. Meeting insurance requirements is a condition for receipt of funds under the Grant.

31. Special provisions for certain programs or projects

The Grantee shall provide OCTO with the necessary information to complete the following reports required by the CPF and the U.S. Treasury:

- **Project and Expenditure Report (P&E):** A quarterly report to provide information on Projects funded, obligations, expenditures, project status, outputs, performance indicators, and other information.
- **Performance Report:** An annual report to provide information on CPF-funded Programs and to describe the outputs and outcomes of Programs.

32. Requests for reconsideration of certain OCTO decisions

In certain limited circumstances OCTO provides the following procedure for an applicant to seek review or reconsideration of a grant-making decision:

Request for reconsideration

- a. When the Department decides to award a grant to a successful applicant, it will notify in writing each applicant whose application was not selected for award. At the Department's discretion this notification may include a statement regarding eligibility, a reviewer's evaluation and comments, or a summary. It will not identify a reviewer or provide the contents of an application. Written notification may be made electronically, typically by email.
- b. If an unsuccessful applicant wishes to better understand the decision regarding an offered grant, the applicant may ask the Department's Grants Division for further information. The Department may meet with the applicant and explain the decision, and may provide reviewer evaluation, comment, or a summary.

- c. If an unsuccessful applicant wishes the Department to reconsider the decision, the applicant must file a “Request for Reconsideration” in writing within seven (7) days of the date of the Department’s notification. The filing should be addressed to the OCTO Director.
- d. A written request may be made electronically, typically by email to the published email address for the Grant competition. OCTO encourages electronic communication.
- e. A Request for Reconsideration must include a concise statement of the reason(s) for the request and include all documentation and other evidence supporting the request.
- f. A request must identify the reasons for reconsideration and provide supporting evidence, or it will be denied.

OCTO response

- a. A change to the award decision will be made only because of fraud, a criminal act, or a material error in the determination of eligibility.
- b. The OCTO Director, or designee, will consider the Request for Reconsideration and the evidence provided.
- c. Ordinarily a decision will be issued within seven (7) days, except the Director may extend that time, and will notify the requestor in writing of an extension.
- d. The Director may halt the award of the Grant while the Request for Reconsideration is pending.
- e. After reconsideration, the Director will inform the requestor in writing of the determination.
- f. If the Director determines that a valid basis for a change to the award exists, the Director may:
 - (1) Reopen the Grant application process, in whole or in part;
 - (2) Revise or revoke an award; or
 - (3) Take other appropriate action to address an error.

Effect of the award

Unless OCTO states otherwise in writing, either (a) seven (7) days after a grant award’s announcement, or (b) upon affirmation of a grant after considering a request for reconsideration, an award of the grant constitutes final Department action on the grant.

33. Cybersecurity

- a. The Grantee must have policies and procedures reasonably designed to detect, prevent, and respond to cyberattacks. These policies and procedures shall include employee training and monitoring of compliance with the Grantee's cybersecurity policies and procedures.
- b. The Grantee shall promptly notify OCTO of any cybersecurity breach which may affect OCTO or the Grantee's performance of work under the Grant.

34. Federal funding

If the American Rescue Plan Act of 2021 (ARPA) is a source of funds for the Grant identified in RFA Section 1.3 (Source of Funds) or in the GAN, the Grantee must comply with all applicable federal requirements regarding use of ARPA funds and record-keeping. The citation for ARPA is Pub. L. 117-2 (Mar. 11, 2021). Much of ARPA was codified at 42 U.S.C. § 802 *et seq.*

If the Infrastructure Investment and Jobs Act (IIJA) is a source of funds for the Grant identified in RFA Section 1.3 (Source of Funds) or in the GAN, the Grantee must comply with all applicable federal requirements regarding use of IIJA funds and recordkeeping, including the Build American, Buy American provisions of the IIJA and the Davis-Bacon Act. The citation for the IIJA is Pub. L. 117-58 (Nov. 15, 2021).

***This Grant General Terms and Conditions was last updated in August 2024. In our commitment to maintaining accuracy and relevance, we plan to review and revise this document annually. Should the need arise for updates before the scheduled review, revisions will be made accordingly.