

Table Of Contents

1	DETAILED MODEL PLAN (LIHEAP).....	2
2	DETAILED MODEL PLAN (LIHEAP) Cell Level Cover Page.....	54
3	Delegation of Authority.....	55
4	00 4992 LIHEAP Draft Plan DC Register Notice FY21.....	56
5	Attach 01 DOEE FY20 LIHEAP_REGULAR_Benefits_Table_V2.....	58
6	Attach 01 DOEE FY20 LIHEAP_REGULAR_Benefits_Table_V2.....	60
7	Memo of Public Hearing.....	62
8	DETAILED MODEL PLAN (LIHEAP) Form Level Cover Page.....	66
9	00 Appeal Rights Notice.....	67
10	DC Government_UG-S18 080719 Single Audit FY18.....	68

DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance

Grantee Name: DISTRICT OF COLUMBIA

Report Name: DETAILED MODEL PLAN (LIHEAP)

Report Period: 10/01/2020 to 09/30/2021

Report Status: Submitted

Report Sections

- 1. Mandatory Grant Application SF-424***
- 2. Section 1 - Program Components***
- 3. Section 2 - HEATING ASSISTANCE***
- 4. Section 3 - COOLING ASSISTANCE***
- 5. Section 4 - CRISIS ASSISTANCE***
- 6. Section 5 - WEATHERIZATION ASSISTANCE***
- 7. Section 6 - Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)***
- 8. Section 7 - Coordination, 2605(b)(4) - Assurance 4***
- 9. Section 8 - Agency Designation,, 2605(b)(6) - Assurance 6***
- 10. Section 9 - Energy Suppliers,, 2605(b)(7) - Assurance 7***
- 11. Section 10 - Program, Fiscal Monitoring, and Audit, 2605(b)(10) - Assurance 10***
- 12. Section 11 - Timely and Meaningful Public Participation, , 2605(b)(12) - Assurance 12, 2605(c)(2)***
- 13. Section 12 - Fair Hearings,2605(b)(13) - Assurance 13***
- 14. Section 13 - Reduction of home energy needs,2605(b)(16) - Assurance 16***
- 15. Section 14 - Leveraging Incentive Program ,2607A***
- 16. Section 15 - Training***
- 17. Section 16 - Performance Goals and Measures, 2605(b)***
- 18. Section 17 - Program Integrity, 2605(b)(10)***
- 19. Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters***
- 20. Section 19: Certification Regarding Drug-Free Workplace Requirements***
- 21. Section 20: Certification Regarding Lobbying***
- 22. Assurances***
- 23. Plan Attachments***

Mandatory Grant Application SF-424

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 09/30/2020

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

* 1.a. Type of Submission: <input checked="" type="radio"/> Plan	* 1.b. Frequency: <input checked="" type="radio"/> Annual	* 1.c. Consolidated Application/ Plan/Funding Request? Explanation:	* 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:

7. APPLICANT INFORMATION

* a. Legal Name: Department of Energy and Environment			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 1-536001131		* c. Organizational DUNS: 780986563	
* d. Address:			
* Street 1:	1200 FIRST STREET NE; 5TH FLOOR	Street 2:	
* City:	WASHINGTON	County:	
* State:	DC	Province:	
* Country:	United States	* Zip / Postal Code:	20002 -

e. Organizational Unit:

Department Name: Energy Administration	Division Name: Affordability and Efficiency Division
--	--

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: Ms.	* First Name: Kenley	Middle Name:	* Last Name: Farmer
Suffix:	Title: Associate Director	Organizational Affiliation: DOEE	
* Telephone Number: 202-671-3314	Fax Number: 202-535-2881	* Email: kenley.farmer@dc.gov	

* 8a. TYPE OF APPLICANT:

A: State Government

b. Additional Description:


* 9. Name of Federal Agency:

	Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles	93568	Low-Income Home Energy Assistance

11. Descriptive Title of Applicant's Project

Low Income Home Energy Assistance (LIHEAP) Detailed Model Plan

12. Areas Affected by Funding:

13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant 00		b. Program/Project:	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date: 10/01/2020	b. End Date: 09/30/2021	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			
c. Program is not covered by E.O. 12372.			
* 17. Is The Applicant Delinquent On Any Federal Debt? <input type="radio"/> YES <input checked="" type="radio"/> NO			
Explanation:			
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree <input checked="" type="checkbox"/>			
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.			
18a. Typed or Printed Name and Title of Authorized Certifying Official Tommy Wells		18c. Telephone (area code, number and extension)	
		18d. Email Address tommy.wells@dc.gov	
18b. Signature of Authorized Certifying Official 		18e. Date Report Submitted (Month, Day, Year) 08/31/2020	
Attach supporting documents as specified in agency instructions.			

Section 1 - Program Components

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2020

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Washington, DC 20201

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01

OMB Approval No. 0970-0075

Expiration Date: 09/30/2020

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13) Use of this model plan is optional. However, the information requested is required in order to receive a Low Income Home Energy Assistance Program (LIHEAP) grant in years in which the grantee is not permitted to file an abbreviated plan. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Section 1 Program Components

Program Components, 2605(a), 2605(b)(1) - Assurance 1, 2605(c)(1)(C)

1.1 Check which components you will operate under the LIHEAP program.

(Note: You must provide information for each component designated here as requested elsewhere in this plan.)

Dates of Operation

		Start Date	End Date
<input checked="" type="checkbox"/>	Heating assistance	10/01/2020	09/30/2021
<input checked="" type="checkbox"/>	Cooling assistance	10/01/2020	09/30/2021
<input checked="" type="checkbox"/>	Crisis assistance	10/01/2020	09/30/2021
<input checked="" type="checkbox"/>	Weatherization assistance	10/01/2020	09/30/2021

Provide further explanation for the dates of operation, if necessary

Estimated Funding Allocation, 2604(C), 2605(k)(1), 2605(b)(9), 2605(b)(16) - Assurances 9 and 16

1.2 Estimate what amount of available LIHEAP funds will be used for each component that you will operate: The total of all percentages must add up to 100%.

Percentage (%)

Heating assistance	50.00%
Cooling assistance	13.00%
Crisis assistance	10.00%
Weatherization assistance	15.00%
Carryover to the following federal fiscal year	0.00%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	2.00%

Used to develop and implement leveraging activities	0.00%
TOTAL	100.00%

Alternate Use of Crisis Assistance Funds, 2605(c)(1)(C)

1.3 The funds reserved for winter crisis assistance that have not been expended by March 15 will be reprogrammed to:

<input checked="" type="checkbox"/>	Heating assistance	<input checked="" type="checkbox"/>	Cooling assistance
<input checked="" type="checkbox"/>	Weatherization assistance	<input checked="" type="checkbox"/>	Other (specify:) DOEE provides crisis assistance throughout the year until funding is depleted.

Categorical Eligibility, 2605(b)(2)(A) - Assurance 2, 2605(c)(1)(A), 2605(b)(8A) - Assurance 8

1.4 Do you consider households categorically eligible if one household member receives one of the following categories of benefits in the left column below? ☒ Yes ☐ No

If you answered "Yes" to question 1.4, you must complete the table below and answer questions 1.5 and 1.6.

	Heating	Cooling	Crisis	Weatherization
TANF	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No
SSI	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No
SNAP	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No
Means-tested Veterans Programs	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No

	Program Name	Heating	Cooling	Crisis	Weatherization
Other(Specify) 1		<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No

1.5 Do you automatically enroll households without a direct annual application? ☐ Yes ☒ No

If Yes, explain:

1.6 How do you ensure there is no difference in the treatment of categorically eligible households from those not receiving other public assistance when determining eligibility and benefit amounts?
A household where one member of the household receives a SNAP, TANF or SSI benefit is categorically eligible for LIHEAP assistance. For the purposes of calculating the amount of the LIHEAP benefit, categorically eligible applicants must submit required LIHEAP application documentation to DOEE. DOEE staff calculates the LIHEAP benefit amount for a categorically eligible household according to the District of Columbias LIHEAP Benefit Matrix. Categorical eligibility for SNAP does not apply to the emergency HVAC programs.

SNAP Nominal Payments

1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households? ☐ Yes ☒ No

If you answered "Yes" to question 1.7a, you must provide a response to questions 1.7b, 1.7c, and 1.7d.

1.7b Amount of Nominal Assistance: \$0.00

1.7c Frequency of Assistance

<input type="checkbox"/>	Once Per Year
<input type="checkbox"/>	Once every five years
<input type="checkbox"/>	Other - Describe:

1.7d How do you confirm that the household receiving a nominal payment has an energy cost or need?

Determination of Eligibility - Countable Income

1.8. In determining a household's income eligibility for LIHEAP, do you use gross income or net income ?

<input checked="" type="checkbox"/>	Gross Income
<input type="checkbox"/>	Net Income

1.9. Select all the applicable forms of countable income used to determine a household's income eligibility for LIHEAP

<input checked="" type="checkbox"/>	Wages
<input checked="" type="checkbox"/>	Self - Employment Income

<input checked="" type="checkbox"/>	Contract Income		
<input type="checkbox"/>	Payments from mortgage or Sales Contracts		
<input checked="" type="checkbox"/>	Unemployment insurance		
<input checked="" type="checkbox"/>	Strike Pay		
<input checked="" type="checkbox"/>	Social Security Administration (SSA) benefits		
	<input checked="" type="checkbox"/>	Including MediCare deduction	<input type="checkbox"/> Excluding MediCare deduction
<input checked="" type="checkbox"/>	Supplemental Security Income (SSI)		
<input checked="" type="checkbox"/>	Retirement / pension benefits		
<input checked="" type="checkbox"/>	General Assistance benefits		
<input checked="" type="checkbox"/>	Temporary Assistance for Needy Families (TANF) benefits		
<input type="checkbox"/>	Supplemental Nutrition Assistance Program (SNAP) benefits		
<input type="checkbox"/>	Women, Infants, and Children Supplemental Nutrition Program (WIC) benefits		
<input type="checkbox"/>	Loans that need to be repaid		
<input type="checkbox"/>	Cash gifts		
<input type="checkbox"/>	Savings account balance		
<input type="checkbox"/>	One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc.		
<input type="checkbox"/>	Jury duty compensation		
<input checked="" type="checkbox"/>	Rental income		
<input checked="" type="checkbox"/>	Income from employment through Workforce Investment Act (WIA)		
<input checked="" type="checkbox"/>	Income from work study programs		
<input checked="" type="checkbox"/>	Alimony		
<input checked="" type="checkbox"/>	Child support		
<input checked="" type="checkbox"/>	Interest, dividends, or royalties		
<input type="checkbox"/>	Commissions		
<input type="checkbox"/>	Legal settlements		
<input type="checkbox"/>	Insurance payments made directly to the insured		
<input type="checkbox"/>	Insurance payments made specifically for the repayment of a bill, debt, or estimate		

<input checked="" type="checkbox"/>	Veterans Administration (VA) benefits
<input type="checkbox"/>	Earned income of a child under the age of 18
<input type="checkbox"/>	Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.
<input type="checkbox"/>	Income tax refunds
<input checked="" type="checkbox"/>	Stipends from senior companion programs, such as VISTA
<input checked="" type="checkbox"/>	Funds received by household for the care of a foster child
<input checked="" type="checkbox"/>	Ameri-Corp Program payments for living allowances, earnings, and in-kind aid
<input type="checkbox"/>	Reimbursements (for mileage, gas, lodging, meals, etc.)
<input checked="" type="checkbox"/>	<p>Other</p> <p><i>For the self-employed, gross income is adjusted gross income, calculated according to U.S. Internal Revenue Service (IRS) requirements. DOEE does not provide benefits to utility accounts with a credit on the account greater than \$1000.00. DOEE may reduce the client's benefit amount by the estimated dollar value of net-metering credits or virtual net-metering credits received through the District's Solar for All program, which is accounted for in the District's Benefit Matrix (see: https://doee.dc.gov/sites/default/files/dc/sites/ddoe/service_content/attachments/DOEE-%20Report-%20Solar%20for%20All%20Implementation-%20Final%20for%20Transmittal.pdf)</i></p> <p><i>The District will not consider the COVID-19 economic impact payments (up to \$1,200 for qualifying individuals and an additional \$500 per child) as income for eligibility. These payments count as a rebate or advance payment of a credit that are exempted as income. Section 103(d) of the American Taxpayer Relief Act amended the relevant statutory provision, 26 U.S.C. § 6409, and specifies that, "... any refund (or advance payment with respect to a refundable credit) made to any individual under this title shall not be taken into account as income, and shall not be taken into account as resources for a period of 12 months from receipt, for purposes of determining the eligibility of such individual (or any other individual) for benefits or assistance (or the amount or extent of benefits or assistance) under any Federal program or under any State or local program financed in whole or in part with Federal funds."</i></p>
<p>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</p>	

Section 2 - HEATING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 2 - Heating Assistance

Eligibility, 2605(b)(2) - Assurance 2

2.1 Designate the income eligibility threshold used for the heating component:

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	State Median Income	60.00%

2.2 Do you have additional eligibility requirements for HEATING ASSISTANCE? ☐ Yes ☒ No

2.3 Check the appropriate boxes below and describe the policies for each.

Do you require an Assets test ? ☐ Yes ☒ No

Do you have additional/differing eligibility policies for:

Renters?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters Living in subsidized housing ?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Renters with utilities included in the rent ?	<input checked="" type="radio"/> Yes <input type="radio"/> No

Do you give priority in eligibility to:

Elderly?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Disabled?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Young children?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Households with high energy burdens ?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Other?	<input type="radio"/> Yes <input checked="" type="radio"/> No

Explanations of policies for each "yes" checked above:

Applicants that are residents of subsidized housing or residents of a dwelling unit where utilities are included in the rent must provide proof in the form of a utility bill that they are responsible for paying a portion of their own energy costs. If the renter's situation is one where the utilities are not a distinct charge from the rent, no assistance is provided as there is no individual bill and neither energy cost nor energy burden can be determined.

Determination of Benefits 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

2.4 Describe how you prioritize the provision of heating assistance to vulnerable populations, e.g., benefit amounts, early application periods, etc.

LIHEAP is a non-entitlement benefit, determined and awarded for a single fiscal year. LIHEAP benefit amounts are determined using the District of Columbia's LIHEAP Benefit Matrix which calculates a household's LIHEAP benefit based on household income, household size, type of dwelling (single or multifamily), and fuel type. Benefit amounts are adjusted annually based on a sliding scale in order to allocate scarce resources in such a way that, while serving as many households as feasible, the highest benefits go to households likely to have the highest energy burdens. (See Attachment 2, "District of Columbia LIHEAP Benefit Matrix"). In addition, DOEE provides an early application period (typically the month of October) to those clients who are in crisis (i.e. disconnected from energy service).

2.5 Check the variables you use to determine your benefit levels. (Check all that apply):

<input checked="" type="checkbox"/> Income
<input checked="" type="checkbox"/> Family (household) size
<input checked="" type="checkbox"/> Home energy cost or need:
<input checked="" type="checkbox"/> Fuel type

<input type="checkbox"/>	Climate/region
<input checked="" type="checkbox"/>	Individual bill
<input checked="" type="checkbox"/>	Dwelling type
<input type="checkbox"/>	Energy burden (% of income spent on home energy)
<input type="checkbox"/>	Energy need
<input type="checkbox"/>	Other - Describe:

Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)			
2.6 Describe estimated benefit levels for current FY			
Minimum Benefit	\$250	Maximum Benefit	\$1,800

2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits? <input checked="" type="radio"/> Yes <input type="radio"/> No
If yes, describe.
Subject to available funding, electric space heaters and blankets are provided to households that have been disconnected from energy service or the home heating oil supply is at 5% or less of capacity.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
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Section 3 - COOLING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2020

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 3 - Cooling Assistance

Eligibility, 2605(c)(1)(A), 2605 (b)(2) - Assurance 2

3.1 Designate The income eligibility threshold used for the Cooling component:

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	State Median Income	60.00%

3.2 Do you have additional eligibility requirements for COOLING ASSISTANCE? ☐ Yes ☒ No

3.3 Check the appropriate boxes below and describe the policies for each.

Do you require an Assets test ? ☐ Yes ☒ No

Do you have additional/differing eligibility policies for:

Renters? ☐ Yes ☒ No

Renters Living in subsidized housing ? ☒ Yes ☐ No

Renters with utilities included in the rent ? ☒ Yes ☐ No

Do you give priority in eligibility to:

Elderly? ☐ Yes ☒ No

Disabled? ☐ Yes ☒ No

Young children? ☐ Yes ☒ No

Households with high energy burdens ? ☐ Yes ☒ No

Other? ☐ Yes ☒ No

Explanations of policies for each "yes" checked above:

Applicants that are residents of subsidized housing or residents of a dwelling unit where utilities are included in the rent must provide proof in the form of a utility bill that they are responsible for paying a portion of their own energy costs. If the renter's situation is one where the utilities are not a distinct charge from the rent, no assistance is provided as there is no individual bill and neither energy cost nor energy burden can be determined.

3.4 Describe how you prioritize the provision of cooling assistance to vulnerable populations, e.g., benefit amounts, early application periods, etc.

LIHEAP is a non-entitlement benefit, determined and awarded for a single fiscal year. LIHEAP benefit amounts are determined using the District of Columbia's LIHEAP Benefit Matrix which calculates a household's LIHEAP benefit based on household income, household size, type of dwelling (single or multifamily), and fuel type. Benefit amounts are adjusted annually based on a sliding scale in order to allocate scarce resources in such a way that, while serving as many households as feasible, the highest benefits go to households likely to have the highest energy burdens. (See Attachment 2, "District of Columbia LIHEAP Benefit Matrix").

Determination of Benefits 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

3.5 Check the variables you use to determine your benefit levels. (Check all that apply):

<input checked="" type="checkbox"/>	Income
<input checked="" type="checkbox"/>	Family (household) size
<input checked="" type="checkbox"/>	Home energy cost or need:
<input checked="" type="checkbox"/>	Fuel type

<input type="checkbox"/>	Climate/region
<input checked="" type="checkbox"/>	Individual bill
<input checked="" type="checkbox"/>	Dwelling type
<input type="checkbox"/>	Energy burden (% of income spent on home energy)
<input type="checkbox"/>	Energy need
<input type="checkbox"/>	Other - Describe:

Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

3.6 Describe estimated benefit levels for current FY

Minimum Benefit	\$250	Maximum Benefit	\$1,800
-----------------	-------	-----------------	---------

3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? ☒ Yes ☐ No

If yes, describe.

Subject to available funding, box fans are provided to households with inoperable air conditioning, when a member of the household is over the age of 55, or when a member of the household is under the age of five (5).

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 4 - CRISIS ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2020

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 4: CRISIS ASSISTANCE

Eligibility - 2604(c), 2605(c)(1)(A)

4.1 Designate the income eligibility threshold used for the crisis component

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	State Median Income	60.00%

4.2 Provide your LIHEAP program's definition for determining a crisis.

A household is considered to be in crisis if the household has been disconnected from energy service or the household heating oil is at 5% or less of capacity.

As of May 26, 2020, due to the COVID-19 pandemic, a household is considered to be in crisis if the household has a balance with an energy service vendor of \$250 or more.

4.3 What constitutes a life-threatening crisis?

A household is considered to be in a life-threatening crisis if the household depends on energy service for medical life support equipment and one of the following applies: (a) the household has been disconnected from energy service; (b) the household heating oil is at 5% or less of capacity; or (c) the household has received notice that a disconnection will occur within 48 hours or less. To qualify for life-threatening crisis assistance, applicants must provide certification from a licensed physician that a member of the household relies on energy service for emergency medical and life-support equipment.

As of May 26, 2020, due to the COVID-19 pandemic, a household is considered to be in a life-threatening crisis if the household has a balance with an energy service vendor of \$250 or more.

Crisis Requirement, 2604(c)

4.4 Within how many hours do you provide an intervention that will resolve the energy crisis for eligible households? 48Hours

4.5 Within how many hours do you provide an intervention that will resolve the energy crisis for eligible households in life-threatening situations? 18Hours

Crisis Eligibility, 2605(c)(1)(A)

4.6 Do you have additional eligibility requirements for CRISIS ASSISTANCE?

☒ Yes ☐ No

4.7 Check the appropriate boxes below and describe the policies for each

Do you require an Assets test ?

☐ Yes ☒ No

Do you give priority in eligibility to :

Elderly?

☐ Yes ☒ No

Disabled?

☐ Yes ☒ No

Young Children?

☐ Yes ☒ No

Households with high energy burdens?

☐ Yes ☒ No

Other?

☐ Yes ☒ No

In Order to receive crisis assistance:

Must the household have received a shut-off notice or have a near empty tank?

☒ Yes ☐ No

Must the household have been shut off or have an empty tank?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Must the household have exhausted their regular heating benefit?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Must renters with heating costs included in their rent have received an eviction notice ?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Must heating/cooling be medically necessary?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Must the household have non-working heating or cooling equipment?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Other?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Do you have additional / differing eligibility policies for:	
Renters?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters living in subsidized housing?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Renters with utilities included in the rent?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Explanations of policies for each "yes" checked above:	
<p>Applicants that are residents of subsidized housing or residents of a dwelling unit where utilities are included in the rent must provide proof in the form of a utility bill that they are responsible for paying a portion of their own energy costs. If the renter's situation is one where the utilities are not a distinct charge from the rent, no assistance is provided as there is no individual bill and neither energy cost nor energy burden can be determined. Applicants that have received a shut-off notice or have a near empty tank and meet one of the following: (a) are age 55 or older or (b) use a breathing machine, will be considered for crisis assistance. Applicants who have already exhausted their regular benefit will be considered for crisis assistance if the household has been disconnected from energy service, or the household heating oil is at 5% or less capacity. For the bulleted items following "In order to receive crisis assistance", any one of the checked "yes" bulleted items will be considered a qualifying event. If an applicant goes through the regular application process, is granted a benefit, and still has a need for crisis assistance, the crisis application is processed at the same visit.</p>	
Determination of Benefits	
4.8 How do you handle crisis situations?	
<input checked="" type="checkbox"/>	Separate component
<input type="checkbox"/>	Fast Track
<input checked="" type="checkbox"/>	Other - Describe: Ordinarily a crisis application will be treated separately from a regular benefit application. However, see item 4.7, just above.
4.9 If you have a separate component, how do you determine crisis assistance benefits?	
<input checked="" type="checkbox"/>	Amount to resolve the crisis.
<input checked="" type="checkbox"/>	Other - Describe: Amount to resolve the crisis, up to a maximum of \$600.00.
Crisis Requirements, 2604(c)	
4.10 Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served?	
<input checked="" type="radio"/> Yes <input type="radio"/> No Explain.	
DOEE accepts applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served.	
4.11 Do you provide individuals who are physically disabled the means to:	
Submit applications for crisis benefits without leaving their homes?	
<input checked="" type="radio"/> Yes <input type="radio"/> No If No, explain.	
Travel to the sites at which applications for crisis assistance are accepted?	
<input type="radio"/> Yes <input checked="" type="radio"/> No If No, explain.	
If you answered "No" to both options in question 4.11, please explain alternative means of intake to those who are homebound or physically disabled?	
<p>Under normal operations, all LIHEAP applicants schedule appointments through the District of Columbia's 3-1-1 information call line. When calling 3-1-1, physically disabled applicants may request a home visit to complete the application process. 3-1-1 call operators forward all home visit requests to LIHEAP staff and LIHEAP staff contact the applicant within 24 hours or the next business day to make arrangements for the home visit. Physically disabled applicants may also apply online at doee.dc.gov/liheap. During COVID-19 applicants may apply online at doee.dc.gov/liheap.</p>	

Benefit Levels, 2605(c)(1)(B)			
4.12 Indicate the maximum benefit for each type of crisis assistance offered.			
Winter Crisis	\$600.00	maximum benefit	
Summer Crisis	\$600.00	maximum benefit	
Year-round Crisis	\$600.00	maximum benefit	
4.13 Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits?			
<input checked="" type="radio"/> Yes <input type="radio"/> No If yes, Describe			
Subject to available funding, DOEE provides in-kind crisis assistance in the form of electric space heaters, blankets, box fans, and/or weatherization kits.			
4.14 Do you provide for equipment repair or replacement using crisis funds?			
<input checked="" type="radio"/> Yes <input type="radio"/> No			
If you answered "Yes" to question 4.14, you must complete question 4.15.			
4.15 Check appropriate boxes below to indicate type(s) of assistance provided.			
	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Heating system replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Cooling system repair	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Cooling system replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Wood stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pellet stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Solar panel(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utility poles / gas line hook-ups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Specify): Domestic hot water systems	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4.16 Do any of the utility vendors you work with enforce a moratorium on shut offs?			
<input type="radio"/> Yes <input checked="" type="radio"/> No			
If you responded "Yes" to question 4.16, you must respond to question 4.17.			
4.17 Describe the terms of the moratorium and any special dispensation received by LIHEAP clients during or after the moratorium period.			
<p>The utility vendors for the District of Columbia do not enforce a winter moratorium on shut-offs; however, there is forecast-based disconnection prevention policy. Under Chapter 3 of Title 15 of the District of Columbia Municipal Regulations, commonly referred to as the District of Columbia's Public Service Commission (PSC) "Consumer Bill of Rights" or "CBOR", disconnections of PSC-regulated natural gas and electric utility service are prohibited for most District residences according to the following regulation: "(a) An electric utility shall not disconnect residential electric service during the day preceding and they day of a forecast of extreme temperature, when the National Weather Service forecast for the District of Columbia is ninety-five (95°) degrees Fahrenheit or above or thirty-two (32°) degrees Fahrenheit or below during any time of a day, or if the forecast of extreme temperature precedes a holiday or weekend day, on any day during a holiday or weekend; or (b) a Natural Gas Utility shall not disconnect residential gas service during the day preceding and the day of a forecast of extreme temperature, when the National Weather Service forecast for the District of Columbia is thirty-two (32°) degrees Fahrenheit or below during any time of a day, or if the forecast of extreme temperature precedes a holiday or weekend day, on any day during a holiday or weekend." 15 DCMR §310.3. (Note: a proposed rulemaking was published on May 17, 2019 in the District of Columbia Register that would amend this language.)</p> <p>CBOR also requires utilities to postpone disconnections for a period not to exceed twenty-one (21) days "if the Utility is provided with a physician's certificate or notice from a public health official which states that Disconnection would be detrimental to the health and safety of a bona fide occupant of the premises." 15 DCMR §311.1</p> <p>There is no special dispensation for LIHEAP clients.</p> <p>Note: utilities have been under a moratorium during the COVID-19 Public Health Emergency, as declared by the Mayor.</p>			

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 5 - WEATHERIZATION ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 09/30/2020

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 5: WEATHERIZATION ASSISTANCE

Eligibility, 2605(c)(1)(A), 2605(b)(2) - Assurance 2

5.1 Designate the income eligibility threshold used for the Weatherization component

Add	Household Size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	State Median Income	60.00%

5.2 Do you enter into an interagency agreement to have another government agency administer a WEATHERIZATION component? ☐ Yes ☒ No

5.3 If yes, name the agency.

5.4 Is there a separate monitoring protocol for weatherization? ☒ Yes ☐ No

WEATHERIZATION - Types of Rules

5.5 Under what rules do you administer LIHEAP weatherization? (Check only one.)

☐ Entirely under LIHEAP (not DOE) rules

☐ Entirely under DOE WAP (not LIHEAP) rules

☐ Mostly under LIHEAP rules with the following DOE WAP rule(s) where LIHEAP and WAP rules differ (Check all that apply):

☐ Income Threshold

☐ Weatherization of entire multi-family housing structure is permitted if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days

☐ Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).

☐ Other - Describe:

☒ Mostly under DOE WAP rules, with the following LIHEAP rule(s) where LIHEAP and WAP rules differ (Check all that apply.):

☐ Income Threshold

☒ Weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit.

☒ Weatherization measures are not subject to DOE Savings to Investment Ratio (SIR) standards.

☒ Other - Describe:

Under DOE's currently approved WAP State Plan, WAP is operated on a first come, first serve basis. In the event that a waiting list occurs, DOE will establish a priority point system. US DOE does not recognize SNAP recipients as categorically eligible. Weatherization of entire multifamily housing structure is permitted if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days.

Eligibility, 2605(b)(5) - Assurance 5

5.6 Do you require an assets test? ☐ Yes ☒ No

5.7 Do you have additional/differing eligibility policies for :

Renters	<input checked="" type="radio"/> Yes <input type="radio"/> No
Renters living in subsidized housing?	<input checked="" type="radio"/> Yes <input type="radio"/> No

5.8 Do you give priority in eligibility to:	
Elderly?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Disabled?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Young Children?	<input type="radio"/> Yes <input checked="" type="radio"/> No
House holds with high energy burdens?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Other?	<input type="radio"/> Yes <input checked="" type="radio"/> No
<p>If you selected "Yes" for any of the options in questions 5.6, 5.7, or 5.8, you must provide further explanation of these policies in the text field below.</p> <p>LIHEAP weatherization applicants who are renters must submit a signed permission agreement from the owner of the dwelling unit to DOEE in order to proceed with weatherization work. For multifamily buildings, 66% or more of the dwelling units in the building must be occupied by eligible residents in order to be considered for the LIHEAP weatherization program.</p>	
Benefit Levels	
5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household? <input checked="" type="radio"/> Yes <input type="radio"/> No	
5.10 If yes, what is the maximum? \$20,000	
Types of Assistance, 2605(c)(1), (B) & (D)	
5.11 What LIHEAP weatherization measures do you provide ? (Check all categories that apply.)	
<input checked="" type="checkbox"/> Weatherization needs assessments/audits	<input checked="" type="checkbox"/> Energy related roof repair
<input checked="" type="checkbox"/> Caulking and insulation	<input checked="" type="checkbox"/> Major appliance Repairs
<input checked="" type="checkbox"/> Storm windows	<input checked="" type="checkbox"/> Major appliance replacement
<input checked="" type="checkbox"/> Furnace/heating system modifications/ repairs	<input checked="" type="checkbox"/> Windows/sliding glass doors
<input checked="" type="checkbox"/> Furnace replacement	<input checked="" type="checkbox"/> Doors
<input checked="" type="checkbox"/> Cooling system modifications/ repairs	<input checked="" type="checkbox"/> Water Heater
<input checked="" type="checkbox"/> Water conservation measures	<input checked="" type="checkbox"/> Cooling system replacement
<input type="checkbox"/> Compact florescent light bulbs	<input checked="" type="checkbox"/> Other - Describe: LED light bulbs
<p>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</p>	

Section 6 - Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

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OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2020

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)
MODEL PLAN
SF - 424 - MANDATORY**

Section 6: Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)

6.1 Select all outreach activities that you conduct that are designed to assure that eligible households are made aware of all LIHEAP assistance available:

☒ Place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.

☒ Publish articles in local newspapers or broadcast media announcements.

☐ Include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance.

☒ Mass mailing(s) to prior-year LIHEAP recipients.

☒ Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.

☒ Execute interagency agreements with other low-income program offices to perform outreach to target groups.

☒ Other (specify):

LIHEAP staff regularly conducts targeted outreach in coordination with DOEE's Office of Community Engagement and Outreach. Staff visit Advisory Neighborhood Commission meetings, senior citizen housing complexes, and other local organizations to present program information for the upcoming fiscal year. DOEE's annual mass mailing for the District's Utility Discount Program (UDP) includes information about LIHEAP assistance.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 7 - Coordination, 2605(b)(4) - Assurance 4

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 7: Coordination, 2605(b)(4) - Assurance 4

7.1 Describe how you will ensure that the LIHEAP program is coordinated with other programs available to low-income households (TANF, SSI, WAP, etc.).

<input checked="" type="checkbox"/>	Joint application for multiple programs
<input checked="" type="checkbox"/>	Intake referrals to/from other programs
<input checked="" type="checkbox"/>	One - stop intake centers
<input checked="" type="checkbox"/>	Other - Describe:

The District of Columbia's LIHEAP and the Utility Discount Programs (Residential Aid Credit, Residential Essential Services, and Customer Assistance Program) employ a joint application in order to coordinate energy-related services for low income residents. DOEE also coordinates with a new water affordability program titled the Clean Rivers Impervious Area Charge Residential Relief Program. The District's LIHEAP intake Energy Centers are located in the same building as the District of Columbia's intake offices for the Department of Human Services (DHS), the agency that administers the District's Temporary Assistance for Needy Families (TANF), Supplemental Nutrition Assistance Program (SNAP), and Medicaid programs.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 8 - Agency Designation,, 2605(b)(6) - Assurance 6

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 8: Agency Designation, 2605(b)(6) - Assurance 6 (Required for state grantees and the Commonwealth of Puerto Rico)

8.1 How would you categorize the primary responsibility of your State agency?

<input type="checkbox"/>	Administration Agency
<input type="checkbox"/>	Commerce Agency
<input type="checkbox"/>	Community Services Agency
<input checked="" type="checkbox"/>	Energy / Environment Agency
<input type="checkbox"/>	Housing Agency
<input type="checkbox"/>	Welfare Agency
<input type="checkbox"/>	Other - Describe:

Alternate Outreach and Intake, 2605(b)(15) - Assurance 15

If you selected "Welfare Agency" in question 8.1, you must complete questions 8.2, 8.3, and 8.4, as applicable.

8.2 How do you provide alternate outreach and intake for HEATING ASSISTANCE?

Intake for heating assistance is only provided by DOEE staff. DOEE staff conducts targeted outreach and client intake for heating assistance at sites throughout the District of Columbia.

8.3 How do you provide alternate outreach and intake for COOLING ASSISTANCE?

Intake for cooling assistance is only provided by DOEE staff. DOEE staff conducts targeted outreach and client intake for cooling assistance at sites throughout the District of Columbia.

8.4 How do you provide alternate outreach and intake for CRISIS ASSISTANCE?

DOEE does not provide outreach specific to crisis assistance. However, crisis assistance outreach is incorporated into the heating and cooling assistance outreach identified in items 8.2 and 8.3, above.

8.5 LIHEAP Component Administration.	Heating	Cooling	Crisis	Weatherization
8.5a Who determines client eligibility?	State Administration	State Administration	State Administration	State Administration

	Agency	Agency	Agency	Agency
8.5b Who processes benefit payments to gas and electric vendors?	State Administration Agency	State Administration Agency	State Administration Agency	
8.5c who processes benefit payments to bulk fuel vendors?	State Administration Agency	State Administration Agency	State Administration Agency	
8.5d Who performs installation of weatherization measures?				Non-profits
<p>If any of your LIHEAP components are not centrally-administered by a state agency, you must complete questions 8.6, 8.7, 8.8, and, if applicable, 8.9.</p>				
<p>8.6 What is your process for selecting local administering agencies?</p> <p>For weatherization, non-profits are selected through a competitive Request for Applications process.</p>				
<p>8.7 How many local administering agencies do you use? DOEE's weatherization program currently has three approved non-profits</p>				
<p>8.8 Have you changed any local administering agencies in the last year?</p> <p><input type="radio"/> Yes</p> <p><input checked="" type="radio"/> No</p>				
<p>8.9 If so, why?</p>				
<input type="checkbox"/>	Agency was in noncompliance with grantee requirements for LIHEAP -			
<input type="checkbox"/>	Agency is under criminal investigation			
<input type="checkbox"/>	Added agency			
<input type="checkbox"/>	Agency closed			
<input type="checkbox"/>	Other - describe			
<p>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</p>				

Section 9 - Energy Suppliers,, 2605(b)(7) - Assurance 7

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2020

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 9: Energy Suppliers, 2605(b)(7) - Assurance 7

9.1 Do you make payments directly to home energy suppliers?

Heating ☒ Yes ☐ No

Cooling ☒ Yes ☐ No

Crisis ☒ Yes ☐ No

Are there exceptions? ☐ Yes ☒ No

If yes, Describe.

Payments are made by DOEE directly to the home energy suppliers within 45 business days of the approval of assistance.

9.2 How do you notify the client of the amount of assistance paid?

At the conclusion of the intake process, clients are provided with a written notice that states the exact amount of assistance that will be paid towards their utility bill and the name of the payee. All payments are made directly to the energy supplier.

9.3 How do you assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment?

Vendor agreements are executed annually with each energy and oil company that supplies electric, natural gas or oil service to District residents. The agreements incorporate this assurance.

9.4 How do you assure that no household receiving assistance under this title will be treated adversely because of their receipt of LIHEAP assistance?

Vendor agreements are executed annually with each energy and oil company that supplies electric, natural gas or oil service to District residents. The agreements incorporate this assurance.

9.5. Do you make payments contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households?

☐ Yes ☒ No

If so, describe the measures unregulated vendors may take.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 10 - Program, Fiscal Monitoring, and Audit, 2605(b)(10) - Assurance 10

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 10: Program, Fiscal Monitoring, and Audit, 2605(b)(10)

10.1. How do you ensure good fiscal accounting and tracking of LIHEAP funds?

Federally accepted accounting practices and fiscal controls are used to track administrative and benefit expenditures. Authorized funding is assigned budgetary codes by funding type for tracking, monitoring, and compliance purposes. The LIHEAP program is also subject to District of Columbia internal audits.

Both LIHEAP and WAP are administered by DOEE, therefore weatherization funds are not transferred to a separate state agency and LIHEAP funds are monitoring by in-house by the District's Office of the Chief Financial Officer (OCFO) staff.

All vendor transfers are reconciled on a regular basis and vendor refunds are returned to the same funding index from which they originated. DOEE program monitoring includes, but is not limited to, inspecting and reviewing a random sample of client records, administrative procedures and expenditures, vendor payments, requests for disbursement of funds, and other LIHEAP program-related activities.

The District completed a Single Audit for FY19, however the LIHEAP program was not selected for review. The report has been attached to this application.

Audit Process

10.2. Is your LIHEAP program audited annually under the Single Audit Act and OMB Circular A - 133?

☐ Yes ☒ No

10.3. Describe any audit findings rising to the level of material weakness or reportable condition cited in the A-133 audits, Grantee monitoring assessments, inspector general reviews, or other government agency reviews of the LIHEAP agency from the most recently audited fiscal year.

No Findings ☒

Finding	Type	Brief Summary	Resolved?	Action Taken
1	financial	The auditor selected a sample of 40 applications in Fiscal Year 2016 to test DOEEs compliance with eligibility requirements. The auditor noted that two out of the 40 applications had household income incorrectly recorded into the system by the same intake processor. There was evidence of a review by another processor, but these errors were not caught. As a result, benefit payments were overpaid by a total of \$351.	Yes	procedure/policy changes

10.4. Audits of Local Administering Agencies

What types of annual audit requirements do you have in place for local administering agencies/district offices?
Select all that apply.

- ☒ Local agencies/district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133
- ☐ Local agencies/district offices are required to have an annual audit (other than A-133)
- ☐ Local agencies/district offices' A-133 or other independent audits are reviewed by Grantee as part of compliance process.
- ☐ Grantee conducts fiscal and program monitoring of local agencies/district offices

Compliance Monitoring

10.5. Describe the Grantee's strategies for monitoring compliance with the Grantee's and Federal LIHEAP policies and procedures: Select all that apply

Grantee employees:



Internal program review



Departmental oversight



Secondary review of invoices and payments



Other program review mechanisms are in place. Describe:

Local Administering Agencies / District Offices:



On - site evaluation



Annual program review



Monitoring through central database



Desk reviews



Client File Testing / Sampling



Other program review mechanisms are in place. Describe:

Supervisors conduct additional third level reviews for a sample from each processor.

10.6 Explain, or attach a copy of your local agency monitoring schedule and protocol.

N/A

10.7. Describe how you select local agencies for monitoring reviews.

Site Visits:

N/A

Desk Reviews:

N/A

10.8. How often is each local agency monitored ?

N/A

10.9. What is the combined error rate for eligibility determinations? OPTIONAL

N/A

10.10. What is the combined error rate for benefit determinations? OPTIONAL

N/A

10.11. How many local agencies are currently on corrective action plans for eligibility and/or benefit determination issues? N/A

10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? N/A

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 11 - Timely and Meaningful Public Participation, , 2605(b)(12) - Assurance 12, 2605(c)(2)

<p>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES ADMINISTRATION FOR CHILDREN AND FAMILIES</p>	<p>August 1987, revised 05/92,02/95,03/96,12/98,11/01 OMB Clearance No.: 0970-0075 Expiration Date: 09/30/2020</p>	
<p>LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY</p>		
<p>Section 11: Timely and Meaningful Public Participation, 2605(b)(12), 2605(C)(2)</p>		
<p>11.1 How did you obtain input from the public in the development of your LIHEAP plan? Select all that apply.</p>		
<p><input type="checkbox"/> Tribal Council meeting(s)</p>		
<p><input checked="" type="checkbox"/> Public Hearing(s)</p>		
<p><input checked="" type="checkbox"/> Draft Plan posted to website and available for comment</p>		
<p><input checked="" type="checkbox"/> Hard copy of plan is available for public view and comment</p>		
<p><input checked="" type="checkbox"/> Comments from applicants are recorded</p>		
<p><input checked="" type="checkbox"/> Request for comments on draft Plan is advertised</p>		
<p><input checked="" type="checkbox"/> Stakeholder consultation meeting(s)</p>		
<p><input type="checkbox"/> Comments are solicited during outreach activities</p>		
<p><input checked="" type="checkbox"/> Other - Describe:</p>		
<p>Due to COVID-19, a hard copy of the plan was made available to the public by mail, but not by personal delivery at DOEE's office. Also, DOEE posted a DOEE email address for receipt of comments.</p> <p>The draft State Plan was posted on DOEE's website on July 17, 2020 for public comment, allowing for 33 days of public review. A notice was also place in the DC Register which included a DOEE email address and mailing address for receipt of comments, and the availability of the plan was noted at various virtual stakeholder events.</p>		
<p>11.2 What changes did you make to your LIHEAP plan as a result of this participation?</p>		
<p>No comments were received for the FY21 State Plan.</p>		
<p>Public Hearings, 2605(a)(2) - For States and the Commonwealth of Puerto Rico Only</p>		
<p>11.3 List the date and location(s) that you held public hearing(s) on the proposed use and distribution of your LIHEAP funds?</p>		
	Date	Event Description
1	08/19/2020	Public Hearing via WebEx
<p>11.4. How many parties commented on your plan at the hearing(s)? 0</p>		
<p>11.5 Summarize the comments you received at the hearing(s).</p>		
<p>No comments were received at the hearing and the WebEx recording is available.</p>		
<p>11.6 What changes did you make to your LIHEAP plan as a result of the comments received at the public hearing(s)?</p>		
<p>As no comments were received, no changes were made as a result of the public hearing.</p>		
<p>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</p>		

Section 12 - Fair Hearings, 2605(b)(13) - Assurance 13

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 12: Fair Hearings, 2605(b)(13) - Assurance 13

12.1 How many fair hearings did the grantee have in the prior Federal fiscal year? 8

12.2 How many of those fair hearings resulted in the initial decision being reversed? 0

12.3 Describe any policy and/or procedural changes made in the last Federal fiscal year as a result of fair hearings?

All of the fair hearings were dismissed by the Office of Administrative Hearings in DOEE's favor (i.e., none reversed DOEE's benefit determination).

However, DOEE implemented the following procedure as a result of the most recent HHS monitoring visit:

Section 3.10 Fair Hearing Procedure (Assurance #13, Section 2605(b)(13) of the LIHEAP statute)

3.10.1 The applicant shall receive notice of their right to appeal the benefit determination.

3.10.2 The applicant shall have ninety calendar days following the receipt of a notice of eligibility, in whole or in part, to request a fair hearing (see 20 DCMR 3620).

All in-office clients receive a "Benefit Determination Letter" which includes the following language: "If you disagree with DOEE's decision regarding your LIHEAP application, you may appeal the decision by requesting a fair hearing at the District's Office of Administrative Hearings (OAH). Request a hearing by calling 311; or by visiting or writing OAH at 441 4th Street NW, Suite 450, Washington DC, 20001." An additional notice is posted on DOEE's website at doee.dc.gov/liheap.

12.4 Describe your fair hearing procedures for households whose applications are denied.

The District of Columbia's independent Office of Administrative Hearings (OAH) conducts hearings and resolves cases involving various programs administered by District agencies, including decisions concerning DOEE's LIHEAP non-entitlement benefit. See, generally, the District of Columbia's Municipal Regulations, 1 DCMR §§ 2970 -78.

An applicant, who is dissatisfied with a DOEE LIHEAP decision, including the denial of an application for a benefit, may follow the cited appeal procedures., 1 DCMR 2970.1(l)). An independent OAH administrative law judge issues a written decision for every case that is contested.

12.5 When and how are applicants informed of these rights?

Every applicant for LIHEAP assistance receives at the conclusion of the intake and the processing of their application: (a) a letter confirming the decision, (b) a printout of the database information on which the decision was based, (c) a copy of the matrix used to determine benefit level with a user key, and (d) detailed instructions on how to file an appeal if the applicant is dissatisfied with the decision. (See attached.) If the application was made at a DOEE office, these materials are provided to the applicant in person. If the application was taken at a home, as with a disabled or an elderly and frail person, DOEE provides the applicant with a copy of their rights and mails the benefit determination to the applicant promptly after the decision is made. If the application was completed online, materials (a), (c) and (d) are available online and the applicant may request item (b) by calling the District's Office of Unified Communications at 311.

12.6 Describe your fair hearing procedures for households whose applications are not acted on in a timely manner.

Hearings are held before an administrative law judge at the independent Office of Administrative Hearings.

12.7 When and how are applicants informed of these rights?

At the conclusion of processing of the application, every in-person applicant for LIHEAP assistance receives (a) a letter confirming the decision, (b) a printout of the database information on which the decision was based, (c) a copy of the matrix used to determine benefit level with a user key, and (d) detailed instructions on how to appeal if the applicant is dissatisfied with the decision. If the application was completed online, materials (a), (c), and (d) are available online and the applicant may request item (b) by calling the District's unified call center at 311. (See attached.)

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 13 - Reduction of home energy needs, 2605(b)(16) - Assurance 16

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 09/30/2020

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 13: Reduction of home energy needs, 2605(b)(16) - Assurance 16

13.1 Describe how you use LIHEAP funds to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance?

Up to two (2) percent of awarded funds are used to conduct educational activities to educate participants on how to identify energy waste, increase energy efficiency, and to understand and read their utility bills. These activities are conducted to assist clients in reducing their energy costs. For LIHEAP weatherization cases, DOEE's energy efficiency staff explains his findings to the LIHEAP household members.

13.2 How do you ensure that you don't use more than 5% of your LIHEAP funds for these activities?

A separate line item budget is established for the funds that are used for this purpose. The funds are assigned an index number and tracked and monitored on a monthly basis to assure compliance with funding guidelines. The LIHEAP weatherization work is accounted for separately, as well.

13.3 Describe the impact of such activities on the number of households served in the previous Federal fiscal year.

At the end of each fiscal year an analysis is conducted to determine the estimated savings a single-family household would receive based on the energy conservation measures installed. The following year the same household's energy bills are reviewed to determine the actual costs to quantify the data previously estimated. Please see the actual savings for fiscal years 2018 and 2019 and the estimated savings for fiscal year 2020.

FY18, 70 Clients, 198,561,340/\$7,773 (Electric Savings BTU/Cost), 21,748/\$27,837 (Gas Savings/Cost)

FY19, 104 Clients, 655,230,244/\$25,650 (Electric Savings BTU/Cost), 88,967/\$113,877 (Gas Savings/Cost)

FY20, 27 Clients, 149,609,472 (estimate), 37,949/\$48,574 (estimate)

13.4 Describe the level of direct benefits provided to those households in the previous Federal fiscal year.

An energy audit was conducted for each weatherization applicant to determine the highest energy savings measures to be installed. Energy conservation information was provided to help residents identify potential behavior changes that could lower their utility costs. In addition, DOEE develop and energy saving calendar that was distributed to LIHEAP applicants.

13.5 How many households applied for these services? 50

13.6 How many households received these services? 27

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 14 - Leveraging Incentive Program ,2607A

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01

OMB Clearance No.: 0970-0075

Expiration Date: 09/30/2020

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 14:Leveraging Incentive Program, 2607(A)

14.1 Do you plan to submit an application for the leveraging incentive program?

☐ Yes ☒ No

14.2 Describe instructions to any third parties and/or local agencies for submitting LIHEAP leveraging resource information and retaining records.

N/A

14.3 For each type of resource and/or benefit to be leveraged in the upcoming year that will meet the requirements of 45 C.F.R. § 96.87(d)(2)(iii), describe the following:

Resource	What is the type of resource or benefit ?	What is the source(s) of the resource ?	How will the resource be integrated and coordinated with LIHEAP?
1			

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 15 - Training

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 15: Training

15.1 Describe the training you provide for each of the following groups:

a. Grantee Staff:

☒ Formal training on grantee policies and procedures

How often?

☒ Annually

☐ Biannually

☒ As needed

☐ Other - Describe:

☐ Employees are provided with policy manual

☒ Other-Describe:

When travel is allowed, DOEE sends some LIHEAP staff members to at least one annual meeting, meetings held by the National Energy Assistance Director's Association (NEADA), or training held by the National Utility and Energy Affordability Coalition (NEUAC). Weatherization subgrantees also receive a copy of the Weatherization Operations Manual and Weatherization Field Guide at the annual kick-off meeting.

b. Local Agencies:

☐ Formal training conference

How often?

☐ Annually

☐ Biannually

☐ As needed

☒ Other - Describe: Not applicable as DOEE is the agency of administration

☐ On-site training

How often?

☐ Annually

☐ Biannually

☐ As needed

☒ Other - Describe: N/A

☐ Employees are provided with policy manual

☒ Other - Describe

Not applicable as DOEE is the agency of administration. All intake staff attends bimonthly meetings that include training on DOEEs LIHEAP policies and procedures.

c. Vendors

☐ Formal training conference

How often?

☐ Annually

☐ Biannually

<input type="checkbox"/>	As needed
<input type="checkbox"/>	Other - Describe:
<input checked="" type="checkbox"/>	Policies communicated through vendor agreements
<input type="checkbox"/>	Policies are outlined in a vendor manual
<input type="checkbox"/>	Other - Describe:

15.2 Does your training program address fraud reporting and prevention?

☒ Yes

☐ No

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 16 - Performance Goals and Measures, 2605(b)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 16: Performance Goals and Measures, 2605(b) - Required for States Only

16.1 Describe your progress toward meeting the data collection and reporting requirements of the four required LIHEAP performance measures. Include timeframes and plans for meeting these requirements and what you believe will be accomplished in the coming federal fiscal year.

1. Current practices: DOEE currently collects the data required for the LIHEAP performance measures. DOEE made steps in late FY15 and early FY16 to begin collecting the average annual electricity (non-heat) usage for LIHEAP applicants, which was previously not collected due to the difficulty in accessing this information. DOEE updated the applications forms to include language that granted the applicant's permission to share their secondary utility information. Additionally, DOEE updated the language in the vendor agreements to include the provision of usage data for all LIHEAP applicants regardless of home energy type.
2. Areas of improvement: DOEE communicates regularly with Pepco, Washington Gas, and our software vendor to ensure that any issues that arise are attended to so that DOEE will meet the performance measures mandate.
3. FY21: DOEE will implement a new software system to further improve our data collection and reporting procedures. FY20 and FY19: DOEE began working with APPRISE to evaluate and review the reported data in FY18 and plans to continue to do so in FY21. DOEE has also procured a new software vendor and has been working with this vendor and APPRISE to ensure that additional functionality is incorporated for the reporting of performance measures; including improved tracking of the prevention of disconnections and the restoration of service.
4. Plan: DOEE executed revised three- year Vendor Agreements and implemented revised procedures on October 1, 2018. DOEE is further working to align the software technology to match revised requirements within the Vendor Agreement.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 17 - Program Integrity, 2605(b)(10)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 09/30/2020

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 17: Program Integrity, 2605(b)(10)

17.1 Fraud Reporting Mechanisms

a. Describe all mechanisms available to the public for reporting cases of suspected waste, fraud, and abuse. Select all that apply.

- ☒ Online Fraud Reporting
- ☒ Dedicated Fraud Reporting Hotline
- ☒ Report directly to local agency/district office or Grantee office
- ☒ Report to State Inspector General or Attorney General
- ☐ Forms and procedures in place for local agencies/district offices and vendors to report fraud, waste, and abuse
- ☐ Other - Describe:

b. Describe strategies in place for advertising the above-referenced resources. Select all that apply

- ☒ Printed outreach materials
- ☐ Addressed on LIHEAP application
- ☐ Website
- ☒ Other - Describe:
LIHEAP literature contains information on reporting fraud, waste, and abuse.

17.2. Identification Documentation Requirements

a. Indicate which of the following forms of identification are required or requested to be collected from LIHEAP applicants or their household members.

Type of Identification Collected	Collected from Whom?					
		Applicant Only		All Adults in Household		All Household Members
Social Security Card is photocopied and retained	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested
Social Security Number (Without actual Card)	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested
Government-issued identification	<input checked="" type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required

card (i.e.: driver's license, state ID, Tribal ID, passport, etc.)						
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested

	Other	Applicant Only Required	Applicant Only Requested	All Adults in Household Required	All Adults in Household Requested	All Household Members Required	All Household Members Requested
1		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b. Describe any exceptions to the above policies.

17.3 Identification Verification

Describe what methods are used to verify the authenticity of identification documents provided by clients or household members. Select all that apply

☐ Verify SSNs with Social Security Administration

☐ Match SSNs with death records from Social Security Administration or state agency

☒ Match SSNs with state eligibility/case management system (e.g., SNAP, TANF)

☐ Match with state Department of Labor system

☐ Match with state and/or federal corrections system

☐ Match with state child support system

☐ Verification using private software (e.g., The Work Number)

☐ In-person certification by staff (for tribal grantees only)

☐ Match SSN/Tribal ID number with tribal database or enrollment records (for tribal grantees only)

☒ Other - Describe:

Note: the SNAP/TANF systems cannot be accessed remotely while the agency is under a COVID-19 Mayor's public health emergency order and operating in telework status.

17.4. Citizenship/Legal Residency Verification

What are your procedures for ensuring that household members are U.S. citizens or aliens who are qualified to receive LIHEAP benefits? Select all that apply.

☐ Clients sign an attestation of citizenship or legal residency

☒ Client's submission of Social Security cards is accepted as proof of legal residency

☐ Noncitizens must provide documentation of immigration status

☐ Citizens must provide a copy of their birth certificate, naturalization papers, or passport

☐ Noncitizens are verified through the SAVE system

☐ Tribal members are verified through Tribal enrollment records/Tribal ID card

☒ Other - Describe:

An eligible household member is any individual who is a U.S. citizen or "qualified alien" and is a member of a household that meets the eligibility requirements specified in Section 2605(b)(2) of the Low Income Home Energy Assistance Act (42 U.S.C. § 8624(b)(2)). A "qualified alien" is defined at 8 U.S.C. § 1641(b).

17.5. Income Verification

What methods does your agency utilize to verify household income? Select all that apply.

☒ Require documentation of income for all adult household members

☒ Pay stubs

☒ Social Security award letters

☐ Bank statements

☒ Tax statements

☒ Zero-income statements

☒ Unemployment Insurance letters

<input checked="" type="checkbox"/> Other - Describe:
Documentation of all countable forms of income selected in Section 1.9, above.
<input checked="" type="checkbox"/> Computer data matches:
<input checked="" type="checkbox"/> Income information matched against state computer system (e.g., SNAP, TANF)
<input type="checkbox"/> Proof of unemployment benefits verified with state Department of Labor
<input type="checkbox"/> Social Security income verified with SSA
<input type="checkbox"/> Utilize state directory of new hires
<input checked="" type="checkbox"/> Other - Describe:
Note: the SNAP/TANF systems cannot be accessed remotely while the agency is under a COVID-19 Mayor's public health emergency order and operating in telework status.
17.6. Protection of Privacy and Confidentiality
Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply.
<input type="checkbox"/> Policy in place prohibiting release of information without written consent
<input checked="" type="checkbox"/> Grantee LIHEAP database includes privacy/confidentiality safeguards
<input checked="" type="checkbox"/> Employee training on confidentiality for:
<input checked="" type="checkbox"/> Grantee employees
<input type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Employees must sign confidentiality agreement
<input checked="" type="checkbox"/> Grantee employees
<input type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Physical files are stored in a secure location
<input type="checkbox"/> Other - Describe:
17.7. Verifying the Authenticity
What policies are in place for verifying vendor authenticity? Select all that apply.
<input type="checkbox"/> All vendors must register with the State/Tribe.
<input checked="" type="checkbox"/> All vendors must supply a valid SSN or TIN/W-9 form
<input type="checkbox"/> Vendors are verified through energy bills provided by the household
<input type="checkbox"/> Grantee and/or local agencies/district offices perform physical monitoring of vendors
<input type="checkbox"/> Other - Describe and note any exceptions to policies above:
17.8. Benefits Policy - Gas and Electric Utilities
What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply.
<input type="checkbox"/> Applicants required to submit proof of physical residency
<input checked="" type="checkbox"/> Applicants must submit current utility bill
<input checked="" type="checkbox"/> Data exchange with utilities that verifies:
<input checked="" type="checkbox"/> Account ownership
<input checked="" type="checkbox"/> Consumption
<input checked="" type="checkbox"/> Balances
<input checked="" type="checkbox"/> Payment history
<input checked="" type="checkbox"/> Account is properly credited with benefit
<input type="checkbox"/> Other - Describe:
<input checked="" type="checkbox"/> Centralized computer system/database tracks payments to all utilities

<input checked="" type="checkbox"/>	Centralized computer system automatically generates benefit level
<input checked="" type="checkbox"/>	Separation of duties between intake and payment approval
<input type="checkbox"/>	Payments coordinated among other energy assistance programs to avoid duplication of payments
<input checked="" type="checkbox"/>	Payments to utilities and invoices from utilities are reviewed for accuracy
<input type="checkbox"/>	Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
<input type="checkbox"/>	Direct payment to households are made in limited cases only
<input checked="" type="checkbox"/>	Procedures are in place to require prompt refunds from utilities in cases of account closure
<input checked="" type="checkbox"/>	Vendor agreements specify requirements selected above, and provide enforcement mechanism
<input type="checkbox"/>	Other - Describe:
17.9. Benefits Policy - Bulk Fuel Vendors	
What procedures are in place for averting fraud and improper payments when dealing with bulk fuel suppliers of heating oil, propane, wood, and other bulk fuel vendors? Select all that apply.	
<input checked="" type="checkbox"/>	Vendors are checked against an approved vendors list
<input checked="" type="checkbox"/>	Centralized computer system/database is used to track payments to all vendors
<input checked="" type="checkbox"/>	Clients are relied on for reports of non-delivery or partial delivery
<input type="checkbox"/>	Two-party checks are issued naming client and vendor
<input type="checkbox"/>	Direct payment to households are made in limited cases only
<input type="checkbox"/>	Vendors are only paid once they provide a delivery receipt signed by the client
<input type="checkbox"/>	Conduct monitoring of bulk fuel vendors
<input checked="" type="checkbox"/>	Bulk fuel vendors are required to submit reports to the Grantee
<input checked="" type="checkbox"/>	Vendor agreements specify requirements selected above, and provide enforcement mechanism
<input type="checkbox"/>	Other - Describe:
17.10. Investigations and Prosecutions	
Describe the Grantee's procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients/staff/vendors found to have committed fraud. Select all that apply.	
<input checked="" type="checkbox"/>	Refer to state Inspector General
<input checked="" type="checkbox"/>	Refer to local prosecutor or state Attorney General
<input checked="" type="checkbox"/>	Refer to US DHHS Inspector General (including referral to OIG hotline)
<input checked="" type="checkbox"/>	Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
<input type="checkbox"/>	Grantee attempts collection of improper payments. If so, describe the recoupment process
<input type="checkbox"/>	Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned?
<input type="checkbox"/>	Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated
<input checked="" type="checkbox"/>	Vendors found to have committed fraud may no longer participate in LIHEAP
<input type="checkbox"/>	Other - Describe:
<p>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</p>	

Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.BrBbr.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,"

provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an

explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
8. Nothing contained in the foregoing shall be construed to require

establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

☒ By checking this box, the prospective primary participant is providing the certification set out above.

Section 19: Certification Regarding Drug-Free Workplace Requirements

Section 19: Certification Regarding Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of

the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:,

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance

programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted -- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

1200 First Street NW, 5th Floor

* **Address Line 1**

Address Line 2

Address Line 3

Washington

* **City**

DC

* **State**

20002

* **Zip Code**

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

☒ **By checking this box, the prospective primary participant is providing the certification set out above.**

Section 20: Certification Regarding Lobbying

Section 20: Certification Regarding Lobbying

The submitter of this application certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or

entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

☒ **By checking this box, the prospective primary participant is providing the certification set out above.**

Assurances

Assurances

(1) use the funds available under this title to--

(A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);

(B) intervene in energy crisis situations;

(C) provide low-cost residential weatherization and other cost-effective energy-related home repair;and

(D)plan, develop, and administer the State's program under this title including leveraging programs, and the State agrees not to use such funds for any purposes other than those specified in this title;

(2) make payments under this title only with respect to--

(A) households in which one or more individuals are receiving--

(i)assistance under the State program funded under part A of title IV of the Social Security Act;

(ii) supplemental security income payments under title XVI of the Social Security Act;

(iii) food stamps under the Food Stamp Act of 1977; or

(iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or

(B) households with incomes which do not exceed the greater of -

(i) an amount equal to 150 percent of the poverty level for such State; or

(ii) an amount equal to 60 percent of the State median income;

(except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income.

(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant

program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses 2(A) and 2(B) of this subsection;

(6) to the extent it is necessary to designate local administrative agencies in order to carry out the purposes of this title, to give special consideration, in the designation of such agencies, to any local public or private nonprofit agency which was receiving Federal funds under any low-income energy assistance program or weatherization program under the Economic Opportunity Act of 1964 or any other provision of law on the day before the date of the enactment of this Act, except that -

(A) the State shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the State; and

(B) if there is no such agency because of any change in the assistance furnished to programs for economically disadvantaged persons, then the State shall give special consideration in the designation of local administrative agencies to any successor agency which is operated in substantially the same manner as the predecessor agency which did receive funds for the fiscal year preceding the fiscal year for which the determination is made;

(7) if the State chooses to pay home energy suppliers directly, establish procedures to --

(A) notify each participating household of the amount of assistance paid on its behalf;

(B) assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment made by the State under this title;

(C) assure that the home energy supplier will provide assurances that any agreement entered into with a home energy supplier under this paragraph will

contain provisions to assure that no household receiving assistance under this title will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements; and

(D) ensure that the provision of vendor payments remains at the option of the State in consultation with local grantees and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy costs, minimize the risks of home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;

(8) provide assurances that,

(A) the State will not exclude households described in clause (2)(B) of this subsection from receiving home energy assistance benefits under clause (2), and

(B) the State will treat owners and renters equitably under the program assisted under this title;

(9) provide that--

(A) the State may use for planning and administering the use of funds under this title an amount not to exceed 10 percent of the funds payable to such State under this title for a fiscal year; and

(B) the State will pay from non-Federal sources the remaining costs of planning and administering the program assisted under this title and will not use Federal funds for such remaining cost (except for the costs of the activities described in paragraph (16));

(10) provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the "Single Audit Act");

(11) permit and cooperate with Federal investigations undertaken in accordance with section 2608;

(12) provide for timely and meaningful public participation in the development of the plan described in subsection (c);

(13) provide an opportunity for a fair administrative hearing to individuals whose claims for assistance under the plan described in subsection (c) are denied or are not acted upon with reasonable promptness; and

(14) cooperate with the Secretary with respect to data collecting and reporting under section 2610.

(15) * beginning in fiscal year 1992, provide, in addition to such services as may be offered by State Departments of Public Welfare at the local level, outreach and intake functions for crisis situations and heating and cooling assistance that is administered by additional State and local governmental entities or community-based organizations (such as community action agencies, area agencies on aging and not-for-profit neighborhood-based organizations), and in States where such organizations do not administer functions as of September 30, 1991, preference in awarding grants or contracts for intake services shall be provided to those agencies that administer the low-income weatherization or energy crisis intervention programs.

*** This assurance is applicable only to States, and to territories whose annual regular LIHEAP allotments exceed \$200,000. Neither territories with annual allotments of \$200,000 or less nor Indian tribes/tribal organizations are subject to Assurance 15.**

(16) use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.

Plan Attachments

PLAN ATTACHMENTS
The following documents must be attached to this application
<ul style="list-style-type: none">• Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.
<ul style="list-style-type: none">• Heating component benefit matrix, if applicable
<ul style="list-style-type: none">• Cooling component benefit matrix, if applicable
<ul style="list-style-type: none">• Minutes, notes, or transcripts of public hearing(s).

List of Cell Level Attachments

	File Name	Location
1	Delegation of Authority.pdf	Plan Attachments <ul style="list-style-type: none"> • Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.
2	00 4992 LIHEAP Draft Plan DC Register Notice FY21.pdf	Plan Attachments <ul style="list-style-type: none"> • Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.
3	Attach 01 DOEE FY20 LIHEAP_REGULAR_Benefits_Table_V2.pdf	Plan Attachments <ul style="list-style-type: none"> • Heating component benefit matrix, if applicable
4	Attach 01 DOEE FY20 LIHEAP_REGULAR_Benefits_Table_V2.pdf	Plan Attachments <ul style="list-style-type: none"> • Cooling component benefit matrix, if applicable
5	Memo of Public Hearing.docx	Plan Attachments <ul style="list-style-type: none"> • Minutes, notes, or transcripts of public hearing(s).



MURIEL BOWSER
MAYOR

August 19, 2015

Jeannie Chaffin
Director
Office of Community Services
Administration for Children and Families
U.S. Department of Health and Human Services
370 L'Enfant Promenade, S.W.
Washington, DC 20447

Dear Ms. Chaffin:

Please be advised that for the Low Income Home Energy Assistance Program (LIHEAP), I delegate my signatory authority in all matters concerning this and other grants under the Weatherization Assistance Program and State Energy Program to:

The Director of the Department of Energy and Environment
1200 First Street, N.E., 5th Floor
Washington, DC 20002

This delegation specifically includes the certification of required assurances and monitoring procedures as required by 42 U.S.C. § 8624(c)(1).

Thank you for your attention to this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Muriel Bowser".

Muriel Bowser
Mayor

DEPARTMENT OF ENERGY AND ENVIRONMENT

**NOTICE OF PUBLIC HEARING AND
SOLICITATION OF PUBLIC COMMENT**

**Fiscal Year 2021 (FY 2021) Low Income Home Energy Assistance Program (LIHEAP)
Draft State Plan**

The Department of Energy and Environment (the Department) invites the public to present its comments in writing or at a virtual public hearing on the FY 2021 Draft State Plan for the Low Income Home Energy Assistance Program (LIHEAP).

Public Hearing

HEARING DATE: Wednesday, August 19, 2020
TIME: 11:00 am
VIRTUAL MEETING LINK: Meeting number: 160 893 5880
Password: 4J9yPysvAy3
<https://dcnet.webex.com/dcnet/j.php?MTID=mfea0502418c5156f27ec874aa6ead3bf>
PHONE: 1-650-479-3208 Call-in toll number (US/Canada)
Access code: 160 893 5880

Beginning July 17, 2020, the full text of the **FY 2021 Draft LIHEAP State Plan** will be available online at the Department's website. A person may obtain a copy of the Draft LIHEAP State Plan by any of the following means:

Download from the Department's website, doee.dc.gov/liheap. Look for "LIHEAP FY21 Draft State Plan" near the bottom of the page. Follow the link to the page, where the document can be downloaded in a PDF format.

Email a request to LIHEAP.StatePlan@dc.gov with "Request copy of FY 2021 Draft State Plan" in the subject line.

Write the Department at 1200 First Street NE, 5th Floor, Washington, DC 20002, "Attn: Kenley Farmer RE: FY21 Draft LIHEAP State Plan" on the outside of the envelope.

The deadline for comments is at the conclusion of the public hearing. All persons present at the hearing who wish to be heard may testify in person. All presentations shall be limited to five minutes. Persons are urged to submit duplicate copies of their written statements.

Persons may also submit written testimony by email, with a subject line of "FY 2021 Draft LIHEAP State Plan", to LIHEAP.StatePlan@dc.gov. Comments clearly marked "FY 2021 Draft LIHEAP State Plan" may also be hand delivered or mailed to the Department's offices at the

address listed above. All comments should be received no later than the conclusion of the public hearing. The Department will consider all comments received in its final decision.

Filename: 00 4992 liheap draft plan dc register notice fy21

Attachment 2 - Regular Benefits
DOEE's LIHEAP Regular Benefits Table for FY 2021
See below for explanation

Explanation Key: How to use this table

Use this table to determine how much of a LIHEAP benefit a household may receive for this fiscal year.

Step 1: Before you start working through the table, you must see if the household is eligible for a LIHEAP benefit. That will depend on the size of the household and the combined income of its members.
A household is people who live together. It may be one person, a family, or another group who share the home.

Income Limits for FY 2021

1 person	\$37,575	5 people	\$83,822
2 people	\$49,137	6 people	\$95,383
3 people	\$60,698	Additional guidelines are calculated by taking 132% plus 3 percentage points for each household member above six multiplied by the guideline for a household of four.	
4 people	\$72,260		

IF the household income is less than the income limit for the persons, go to step 2. IF NOT, the household is ineligible.

Step 2: Next, is your house a "single family" home (SF) or "multifamily" (MF)? Multifamily usually means apartments.
Go to the section that lists the "Home Type" group for you -- SF or MF.

Step 3: Now, find the "Income Household's" line for the number of "People" in your home.
This is the number on the table that is just lower than your combined household income.
Example: If you are in an apartment with 4 people, and your annual income is \$4100, you would go the line that says MF 4000 4.

Step 4: Find the home heating source for your home. That tells you the maximum benefit for you.
Example of a household living in a multifamily building, with an income of \$4,000, four people in the household, and a gas heated home. The maximum benefit is \$1800, which may be applied to the electric bill.
The oil benefit is never more than \$1500. But, you can instruct DOEE to pay the utility company that supplies cooking electricity or gas.

Example of a household living in a multifamily building, with an income of \$4,000, four people in the household, and an oil heated home.
MF 4000 4: Instead of paying the oil company, you can have DOEE pay a maximum of \$1,471 electric or \$883 gas.
If your utilities are included in your rent, so that Heat is In Rent (HIR), the benefit can never be more than \$250, paid directly to your utility company for your electric or gas used for cooking or light, etc. DOEE pays the utility company directly.

Note: For households with greater than four people, use the benefit line for "4" people.
(This table continues on the next page.)

A	B	C	D	E	F	G	H	J	L	M	N	O	P	Q
Home Type	Household Income	People	Benefit Type	Benefit	Total Benefit for Solar for All Client	Benefit Type	Benefit	But, pay vendor Gas	But, pay vendor Electric	Benefit Type	Benefit	Total Benefit for Solar for All Client	Benefit Type	Benefit: to pay elec or gas
MF	0	1	Gas	\$1,045	\$545	Oil	\$ 1,500	\$1,139	\$683	Electric	\$729	\$250	HIR	250
MF	0	2	Gas	\$1,229	\$729	Oil	\$ 1,500	\$1,339	\$803	Electric	\$857	\$357	HIR	250
MF	0	3	Gas	\$1,290	\$790	Oil	\$ 1,500	\$1,406	\$844	Electric	\$943	\$443	HIR	250
MF	0	4	Gas	\$1,536	\$1,036	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,071	\$571	HIR	250
MF	2000	1	Gas	\$995	\$495	Oil	\$ 1,500	\$1,084	\$650	Electric	\$694	\$250	HIR	250
MF	2000	2	Gas	\$1,170	\$670	Oil	\$ 1,500	\$1,275	\$765	Electric	\$816	\$316	HIR	250
MF	2000	3	Gas	\$1,229	\$729	Oil	\$ 1,500	\$1,339	\$803	Electric	\$898	\$398	HIR	250
MF	2000	4	Gas	\$1,463	\$963	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,020	\$520	HIR	250
MF	4000	1	Gas	\$918	\$421	Oil	\$ 1,500	\$1,000	\$600	Electric	\$653	\$250	HIR	250
MF	4000	2	Gas	\$1,080	\$580	Oil	\$ 1,500	\$1,177	\$706	Electric	\$768	\$268	HIR	250
MF	4000	3	Gas	\$1,134	\$634	Oil	\$ 1,500	\$1,236	\$742	Electric	\$845	\$345	HIR	250
MF	4000	4	Gas	\$1,350	\$850	Oil	\$ 1,500	\$1,471	\$883	Electric	\$960	\$460	HIR	250
MF	6000	1	Gas	\$842	\$386	Oil	\$ 1,500	\$917	\$550	Electric	\$632	\$250	HIR	250
MF	6000	2	Gas	\$990	\$490	Oil	\$ 1,500	\$1,079	\$647	Electric	\$744	\$250	HIR	250
MF	6000	3	Gas	\$1,040	\$540	Oil	\$ 1,500	\$1,133	\$680	Electric	\$818	\$318	HIR	250
MF	6000	4	Gas	\$1,238	\$738	Oil	\$ 1,500	\$1,349	\$809	Electric	\$930	\$430	HIR	250
MF	8000	1	Gas	\$765	\$351	Oil	\$ 1,500	\$833	\$500	Electric	\$469	\$250	HIR	250
MF	8000	2	Gas	\$900	\$413	Oil	\$ 1,500	\$981	\$589	Electric	\$552	\$250	HIR	250
MF	8000	3	Gas	\$945	\$445	Oil	\$ 1,500	\$1,030	\$618	Electric	\$607	\$250	HIR	250
MF	8000	4	Gas	\$1,125	\$625	Oil	\$ 1,500	\$1,226	\$736	Electric	\$690	\$250	HIR	250
MF	10000	1	Gas	\$727	\$333	Oil	\$ 1,500	\$792	\$475	Electric	\$449	\$250	HIR	250
MF	10000	2	Gas	\$855	\$392	Oil	\$ 1,500	\$931	\$559	Electric	\$528	\$250	HIR	250
MF	10000	3	Gas	\$898	\$412	Oil	\$ 1,500	\$978	\$587	Electric	\$581	\$250	HIR	250
MF	10000	4	Gas	\$1,069	\$569	Oil	\$ 1,500	\$1,165	\$699	Electric	\$660	\$250	HIR	250
MF	12000	1	Gas	\$689	\$316	Oil	\$ 1,500	\$751	\$451	Electric	\$367	\$250	HIR	250
MF	12000	2	Gas	\$810	\$371	Oil	\$ 1,500	\$882	\$529	Electric	\$432	\$250	HIR	250

Attachment 2 - Regular Benefits
DOEE's LIHEAP Regular Benefits Table for FY 2021
See below for explanation

Home Type	Household Income	People	Benefit Type	Benefit	Total Benefit for Solar for All Client	Benefit Type	Benefit	But, pay vendor Gas	But, pay vendor Electric	Benefit Type	Benefit	Total Benefit for Solar for All Client	Benefit Type	Benefit: to pay elec or gas
MF	12000	3	Gas	\$851	\$390	Oil	\$ 1,500	\$927	\$556	Electric	\$475	\$250	HIR	250
MF	12000	4	Gas	\$1,013	\$513	Oil	\$ 1,500	\$1,104	\$662	Electric	\$540	\$250	HIR	250
MF	14000	1	Gas	\$650	\$298	Oil	\$ 1,500	\$708	\$425	Electric	\$347	\$250	HIR	250
MF	14000	2	Gas	\$765	\$351	Oil	\$ 1,500	\$833	\$500	Electric	\$408	\$250	HIR	250
MF	14000	3	Gas	\$803	\$368	Oil	\$ 1,500	\$875	\$525	Electric	\$449	\$250	HIR	250
MF	14000	4	Gas	\$956	\$456	Oil	\$ 1,500	\$1,042	\$625	Electric	\$510	\$250	HIR	250
MF	16000	1	Gas	\$574	\$263	Oil	\$ 1,500	\$625	\$375	Electric	\$306	\$250	HIR	250
MF	16000	2	Gas	\$675	\$310	Oil	\$ 1,500	\$735	\$441	Electric	\$360	\$250	HIR	250
MF	16000	3	Gas	\$709	\$325	Oil	\$ 1,500	\$772	\$463	Electric	\$396	\$250	HIR	250
MF	16000	4	Gas	\$844	\$387	Oil	\$ 1,500	\$919	\$551	Electric	\$450	\$250	HIR	250
MF	18000	1	Gas	\$459	\$250	Oil	\$ 1,500	\$500	\$300	Electric	\$250	\$250	HIR	250
MF	18000	2	Gas	\$540	\$248	Oil	\$ 1,500	\$588	\$353	Electric	\$250	\$250	HIR	250
MF	18000	3	Gas	\$567	\$260	Oil	\$ 1,500	\$618	\$371	Electric	\$250	\$250	HIR	250
MF	18000	4	Gas	\$675	\$310	Oil	\$ 1,500	\$735	\$441	Electric	\$250	\$250	HIR	250
SF	0	1	Gas	\$1,277	\$777	Oil	\$ 1,500	\$1,391	\$835	Electric	\$948	\$448	HIR	250
SF	0	2	Gas	\$1,502	\$1,002	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,116	\$616	HIR	250
SF	0	3	Gas	\$1,577	\$1,077	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,227	\$727	HIR	250
SF	0	4	Gas	\$1,800	\$1,300	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,394	\$894	HIR	250
SF	2000	1	Gas	\$1,216	\$716	Oil	\$ 1,500	\$1,325	\$795	Electric	\$903	\$403	HIR	250
SF	2000	2	Gas	\$1,430	\$930	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,063	\$563	HIR	250
SF	2000	3	Gas	\$1,502	\$1,002	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,169	\$669	HIR	250
SF	2000	4	Gas	\$1,788	\$1,288	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,328	\$828	HIR	250
SF	4000	1	Gas	\$1,122	\$622	Oil	\$ 1,500	\$1,222	\$733	Electric	\$850	\$350	HIR	250
SF	4000	2	Gas	\$1,320	\$820	Oil	\$ 1,500	\$1,438	\$863	Electric	\$1,000	\$500	HIR	250
SF	4000	3	Gas	\$1,386	\$886	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,100	\$600	HIR	250
SF	4000	4	Gas	\$1,650	\$1,150	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,250	\$750	HIR	250
SF	6000	1	Gas	\$1,029	\$529	Oil	\$ 1,500	\$1,121	\$673	Electric	\$823	\$323	HIR	250
SF	6000	2	Gas	\$1,210	\$710	Oil	\$ 1,500	\$1,318	\$791	Electric	\$969	\$469	HIR	250
SF	6000	3	Gas	\$1,271	\$771	Oil	\$ 1,500	\$1,385	\$831	Electric	\$1,066	\$566	HIR	250
SF	6000	4	Gas	\$1,513	\$1,013	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,211	\$711	HIR	250
SF	8000	1	Gas	\$935	\$435	Oil	\$ 1,500	\$1,019	\$611	Electric	\$611	\$250	HIR	250
SF	8000	2	Gas	\$1,100	\$600	Oil	\$ 1,500	\$1,199	\$719	Electric	\$719	\$250	HIR	250
SF	8000	3	Gas	\$1,155	\$655	Oil	\$ 1,500	\$1,258	\$755	Electric	\$791	\$291	HIR	250
SF	8000	4	Gas	\$1,375	\$875	Oil	\$ 1,500	\$1,498	\$899	Electric	\$898	\$398	HIR	250
SF	10000	1	Gas	\$888	\$407	Oil	\$ 1,500	\$967	\$580	Electric	\$584	\$250	HIR	250
SF	10000	2	Gas	\$1,045	\$545	Oil	\$ 1,500	\$1,139	\$683	Electric	\$688	\$250	HIR	250
SF	10000	3	Gas	\$1,097	\$597	Oil	\$ 1,500	\$1,195	\$717	Electric	\$756	\$256	HIR	250
SF	10000	4	Gas	\$1,306	\$806	Oil	\$ 1,500	\$1,423	\$854	Electric	\$859	\$359	HIR	250
SF	12000	1	Gas	\$842	\$386	Oil	\$ 1,500	\$917	\$550	Electric	\$478	\$250	HIR	250
SF	12000	2	Gas	\$990	\$490	Oil	\$ 1,500	\$1,079	\$647	Electric	\$563	\$250	HIR	250
SF	12000	3	Gas	\$1,040	\$540	Oil	\$ 1,500	\$1,133	\$680	Electric	\$619	\$250	HIR	250
SF	12000	4	Gas	\$1,238	\$738	Oil	\$ 1,500	\$1,349	\$809	Electric	\$703	\$250	HIR	250
SF	14000	1	Gas	\$795	\$365	Oil	\$ 1,500	\$866	\$520	Electric	\$452	\$250	HIR	250
SF	14000	2	Gas	\$935	\$435	Oil	\$ 1,500	\$1,019	\$611	Electric	\$531	\$250	HIR	250
SF	14000	3	Gas	\$982	\$482	Oil	\$ 1,500	\$1,070	\$642	Electric	\$584	\$250	HIR	250
SF	14000	4	Gas	\$1,169	\$669	Oil	\$ 1,500	\$1,274	\$764	Electric	\$664	\$250	HIR	250
SF	16000	1	Gas	\$701	\$321	Oil	\$ 1,500	\$764	\$458	Electric	\$398	\$250	HIR	250
SF	16000	2	Gas	\$825	\$378	Oil	\$ 1,500	\$899	\$539	Electric	\$469	\$250	HIR	250
SF	16000	3	Gas	\$866	\$397	Oil	\$ 1,500	\$943	\$566	Electric	\$516	\$250	HIR	250
SF	16000	4	Gas	\$1,031	\$531	Oil	\$ 1,500	\$1,123	\$674	Electric	\$586	\$250	HIR	250
SF	18000	1	Gas	\$561	\$257	Oil	\$ 1,500	\$611	\$367	Electric	\$250	\$250	HIR	250
SF	18000	2	Gas	\$660	\$303	Oil	\$ 1,500	\$719	\$431	Electric	\$250	\$250	HIR	250
SF	18000	3	Gas	\$693	\$318	Oil	\$ 1,500	\$755	\$453	Electric	\$250	\$250	HIR	250
SF	18000	4	Gas	\$825	\$378	Oil	\$ 1,500	\$899	\$539	Electric	\$273	\$250	HIR	250

Name of file: 0 Att 3 DOEE's LIHEAP Regular Benefits Table.xls

Attachment 2 - Regular Benefits
DOEE's LIHEAP Regular Benefits Table for FY 2021
See below for explanation

Explanation Key: How to use this table

Use this table to determine how much of a LIHEAP benefit a household may receive for this fiscal year.

Step 1: Before you start working through the table, you must see if the household is eligible for a LIHEAP benefit. That will depend on the size of the household and the combined income of its members.
A household is people who live together. It may be one person, a family, or another group who share the home.

Income Limits for FY 2021

1 person	\$37,575	5 people	\$83,822
2 people	\$49,137	6 people	\$95,383
3 people	\$60,698	Additional guidelines are calculated by taking 132% plus 3 percentage points for each household member above six multiplied by the guideline for a household of four.	
4 people	\$72,260		

IF the household income is less than the income limit for the persons, go to step 2. IF NOT, the household is ineligible.

Step 2: Next, is your house a "single family" home (SF) or "multifamily" (MF)? Multifamily usually means apartments.
Go to the section that lists the "Home Type" group for you -- SF or MF.

Step 3: Now, find the "Income Household's" line for the number of "People" in your home.
This is the number on the table that is just lower than your combined household income.
Example: If you are in an apartment with 4 people, and your annual income is \$4100, you would go the line that says MF 4000 4.

Step 4: Find the home heating source for your home. That tells you the maximum benefit for you.
Example of a household living in a multifamily building, with an income of \$4,000, four people in the household, and a gas heated home. The maximum benefit is \$1800, which may be applied to the electric bill.
The oil benefit is never more than \$1500. But, you can instruct DOEE to pay the utility company that supplies cooking electricity or gas.

Example of a household living in a multifamily building, with an income of \$4,000, four people in the household, and an oil heated home.
MF 4000 4: Instead of paying the oil company, you can have DOEE pay a maximum of \$1,471 electric or \$883 gas.
If your utilities are included in your rent, so that Heat is In Rent (HIR), the benefit can never be more than \$250, paid directly to your utility company for your electric or gas used for cooking or light, etc. DOEE pays the utility company directly.

Note: For households with greater than four people, use the benefit line for "4" people.
(This table continues on the next page.)

A	B	C	D	E	F	G	H	J	L	M	N	O	P	Q
Home Type	Household Income	People	Benefit Type	Benefit	Total Benefit for Solar for All Client	Benefit Type	Benefit	But, pay vendor Gas	But, pay vendor Electric	Benefit Type	Benefit	Total Benefit for Solar for All Client	Benefit Type	Benefit: to pay elec or gas
MF	0	1	Gas	\$1,045	\$545	Oil	\$ 1,500	\$1,139	\$683	Electric	\$729	\$250	HIR	250
MF	0	2	Gas	\$1,229	\$729	Oil	\$ 1,500	\$1,339	\$803	Electric	\$857	\$357	HIR	250
MF	0	3	Gas	\$1,290	\$790	Oil	\$ 1,500	\$1,406	\$844	Electric	\$943	\$443	HIR	250
MF	0	4	Gas	\$1,536	\$1,036	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,071	\$571	HIR	250
MF	2000	1	Gas	\$995	\$495	Oil	\$ 1,500	\$1,084	\$650	Electric	\$694	\$250	HIR	250
MF	2000	2	Gas	\$1,170	\$670	Oil	\$ 1,500	\$1,275	\$765	Electric	\$816	\$316	HIR	250
MF	2000	3	Gas	\$1,229	\$729	Oil	\$ 1,500	\$1,339	\$803	Electric	\$898	\$398	HIR	250
MF	2000	4	Gas	\$1,463	\$963	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,020	\$520	HIR	250
MF	4000	1	Gas	\$918	\$421	Oil	\$ 1,500	\$1,000	\$600	Electric	\$653	\$250	HIR	250
MF	4000	2	Gas	\$1,080	\$580	Oil	\$ 1,500	\$1,177	\$706	Electric	\$768	\$268	HIR	250
MF	4000	3	Gas	\$1,134	\$634	Oil	\$ 1,500	\$1,236	\$742	Electric	\$845	\$345	HIR	250
MF	4000	4	Gas	\$1,350	\$850	Oil	\$ 1,500	\$1,471	\$883	Electric	\$960	\$460	HIR	250
MF	6000	1	Gas	\$842	\$386	Oil	\$ 1,500	\$917	\$550	Electric	\$632	\$250	HIR	250
MF	6000	2	Gas	\$990	\$490	Oil	\$ 1,500	\$1,079	\$647	Electric	\$744	\$250	HIR	250
MF	6000	3	Gas	\$1,040	\$540	Oil	\$ 1,500	\$1,133	\$680	Electric	\$818	\$318	HIR	250
MF	6000	4	Gas	\$1,238	\$738	Oil	\$ 1,500	\$1,349	\$809	Electric	\$930	\$430	HIR	250
MF	8000	1	Gas	\$765	\$351	Oil	\$ 1,500	\$833	\$500	Electric	\$469	\$250	HIR	250
MF	8000	2	Gas	\$900	\$413	Oil	\$ 1,500	\$981	\$589	Electric	\$552	\$250	HIR	250
MF	8000	3	Gas	\$945	\$445	Oil	\$ 1,500	\$1,030	\$618	Electric	\$607	\$250	HIR	250
MF	8000	4	Gas	\$1,125	\$625	Oil	\$ 1,500	\$1,226	\$736	Electric	\$690	\$250	HIR	250
MF	10000	1	Gas	\$727	\$333	Oil	\$ 1,500	\$792	\$475	Electric	\$449	\$250	HIR	250
MF	10000	2	Gas	\$855	\$392	Oil	\$ 1,500	\$931	\$559	Electric	\$528	\$250	HIR	250
MF	10000	3	Gas	\$898	\$412	Oil	\$ 1,500	\$978	\$587	Electric	\$581	\$250	HIR	250
MF	10000	4	Gas	\$1,069	\$569	Oil	\$ 1,500	\$1,165	\$699	Electric	\$660	\$250	HIR	250
MF	12000	1	Gas	\$689	\$316	Oil	\$ 1,500	\$751	\$451	Electric	\$367	\$250	HIR	250
MF	12000	2	Gas	\$810	\$371	Oil	\$ 1,500	\$882	\$529	Electric	\$432	\$250	HIR	250

Attachment 2 - Regular Benefits
DOEE's LIHEAP Regular Benefits Table for FY 2021
See below for explanation

Home Type	Household Income	People	Benefit Type	Benefit	Total Benefit for Solar for All Client	Benefit Type	Benefit	But, pay vendor Gas	But, pay vendor Electric	Benefit Type	Benefit	Total Benefit for Solar for All Client	Benefit Type	Benefit: to pay elec or gas
MF	12000	3	Gas	\$851	\$390	Oil	\$ 1,500	\$927	\$556	Electric	\$475	\$250	HIR	250
MF	12000	4	Gas	\$1,013	\$513	Oil	\$ 1,500	\$1,104	\$662	Electric	\$540	\$250	HIR	250
MF	14000	1	Gas	\$650	\$298	Oil	\$ 1,500	\$708	\$425	Electric	\$347	\$250	HIR	250
MF	14000	2	Gas	\$765	\$351	Oil	\$ 1,500	\$833	\$500	Electric	\$408	\$250	HIR	250
MF	14000	3	Gas	\$803	\$368	Oil	\$ 1,500	\$875	\$525	Electric	\$449	\$250	HIR	250
MF	14000	4	Gas	\$956	\$456	Oil	\$ 1,500	\$1,042	\$625	Electric	\$510	\$250	HIR	250
MF	16000	1	Gas	\$574	\$263	Oil	\$ 1,500	\$625	\$375	Electric	\$306	\$250	HIR	250
MF	16000	2	Gas	\$675	\$310	Oil	\$ 1,500	\$735	\$441	Electric	\$360	\$250	HIR	250
MF	16000	3	Gas	\$709	\$325	Oil	\$ 1,500	\$772	\$463	Electric	\$396	\$250	HIR	250
MF	16000	4	Gas	\$844	\$387	Oil	\$ 1,500	\$919	\$551	Electric	\$450	\$250	HIR	250
MF	18000	1	Gas	\$459	\$250	Oil	\$ 1,500	\$500	\$300	Electric	\$250	\$250	HIR	250
MF	18000	2	Gas	\$540	\$248	Oil	\$ 1,500	\$588	\$353	Electric	\$250	\$250	HIR	250
MF	18000	3	Gas	\$567	\$260	Oil	\$ 1,500	\$618	\$371	Electric	\$250	\$250	HIR	250
MF	18000	4	Gas	\$675	\$310	Oil	\$ 1,500	\$735	\$441	Electric	\$250	\$250	HIR	250
SF	0	1	Gas	\$1,277	\$777	Oil	\$ 1,500	\$1,391	\$835	Electric	\$948	\$448	HIR	250
SF	0	2	Gas	\$1,502	\$1,002	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,116	\$616	HIR	250
SF	0	3	Gas	\$1,577	\$1,077	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,227	\$727	HIR	250
SF	0	4	Gas	\$1,800	\$1,300	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,394	\$894	HIR	250
SF	2000	1	Gas	\$1,216	\$716	Oil	\$ 1,500	\$1,325	\$795	Electric	\$903	\$403	HIR	250
SF	2000	2	Gas	\$1,430	\$930	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,063	\$563	HIR	250
SF	2000	3	Gas	\$1,502	\$1,002	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,169	\$669	HIR	250
SF	2000	4	Gas	\$1,788	\$1,288	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,328	\$828	HIR	250
SF	4000	1	Gas	\$1,122	\$622	Oil	\$ 1,500	\$1,222	\$733	Electric	\$850	\$350	HIR	250
SF	4000	2	Gas	\$1,320	\$820	Oil	\$ 1,500	\$1,438	\$863	Electric	\$1,000	\$500	HIR	250
SF	4000	3	Gas	\$1,386	\$886	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,100	\$600	HIR	250
SF	4000	4	Gas	\$1,650	\$1,150	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,250	\$750	HIR	250
SF	6000	1	Gas	\$1,029	\$529	Oil	\$ 1,500	\$1,121	\$673	Electric	\$823	\$323	HIR	250
SF	6000	2	Gas	\$1,210	\$710	Oil	\$ 1,500	\$1,318	\$791	Electric	\$969	\$469	HIR	250
SF	6000	3	Gas	\$1,271	\$771	Oil	\$ 1,500	\$1,385	\$831	Electric	\$1,066	\$566	HIR	250
SF	6000	4	Gas	\$1,513	\$1,013	Oil	\$ 1,500	\$1,500	\$900	Electric	\$1,211	\$711	HIR	250
SF	8000	1	Gas	\$935	\$435	Oil	\$ 1,500	\$1,019	\$611	Electric	\$611	\$250	HIR	250
SF	8000	2	Gas	\$1,100	\$600	Oil	\$ 1,500	\$1,199	\$719	Electric	\$719	\$250	HIR	250
SF	8000	3	Gas	\$1,155	\$655	Oil	\$ 1,500	\$1,258	\$755	Electric	\$791	\$291	HIR	250
SF	8000	4	Gas	\$1,375	\$875	Oil	\$ 1,500	\$1,498	\$899	Electric	\$898	\$398	HIR	250
SF	10000	1	Gas	\$888	\$407	Oil	\$ 1,500	\$967	\$580	Electric	\$584	\$250	HIR	250
SF	10000	2	Gas	\$1,045	\$545	Oil	\$ 1,500	\$1,139	\$683	Electric	\$688	\$250	HIR	250
SF	10000	3	Gas	\$1,097	\$597	Oil	\$ 1,500	\$1,195	\$717	Electric	\$756	\$256	HIR	250
SF	10000	4	Gas	\$1,306	\$806	Oil	\$ 1,500	\$1,423	\$854	Electric	\$859	\$359	HIR	250
SF	12000	1	Gas	\$842	\$386	Oil	\$ 1,500	\$917	\$550	Electric	\$478	\$250	HIR	250
SF	12000	2	Gas	\$990	\$490	Oil	\$ 1,500	\$1,079	\$647	Electric	\$563	\$250	HIR	250
SF	12000	3	Gas	\$1,040	\$540	Oil	\$ 1,500	\$1,133	\$680	Electric	\$619	\$250	HIR	250
SF	12000	4	Gas	\$1,238	\$738	Oil	\$ 1,500	\$1,349	\$809	Electric	\$703	\$250	HIR	250
SF	14000	1	Gas	\$795	\$365	Oil	\$ 1,500	\$866	\$520	Electric	\$452	\$250	HIR	250
SF	14000	2	Gas	\$935	\$435	Oil	\$ 1,500	\$1,019	\$611	Electric	\$531	\$250	HIR	250
SF	14000	3	Gas	\$982	\$482	Oil	\$ 1,500	\$1,070	\$642	Electric	\$584	\$250	HIR	250
SF	14000	4	Gas	\$1,169	\$669	Oil	\$ 1,500	\$1,274	\$764	Electric	\$664	\$250	HIR	250
SF	16000	1	Gas	\$701	\$321	Oil	\$ 1,500	\$764	\$458	Electric	\$398	\$250	HIR	250
SF	16000	2	Gas	\$825	\$378	Oil	\$ 1,500	\$899	\$539	Electric	\$469	\$250	HIR	250
SF	16000	3	Gas	\$866	\$397	Oil	\$ 1,500	\$943	\$566	Electric	\$516	\$250	HIR	250
SF	16000	4	Gas	\$1,031	\$531	Oil	\$ 1,500	\$1,123	\$674	Electric	\$586	\$250	HIR	250
SF	18000	1	Gas	\$561	\$257	Oil	\$ 1,500	\$611	\$367	Electric	\$250	\$250	HIR	250
SF	18000	2	Gas	\$660	\$303	Oil	\$ 1,500	\$719	\$431	Electric	\$250	\$250	HIR	250
SF	18000	3	Gas	\$693	\$318	Oil	\$ 1,500	\$755	\$453	Electric	\$250	\$250	HIR	250
SF	18000	4	Gas	\$825	\$378	Oil	\$ 1,500	\$899	\$539	Electric	\$273	\$250	HIR	250

Name of file: 0 Att 3 DOEE's LIHEAP Regular Benefits Table.xls

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Department of Energy and Environment

MEMORANDUM

TO: The United States Department of Health and Human Services

FROM: Kenley Farmer
Associate Director, Affordability and Efficiency Division

DATE: August 19, 2020

SUBJECT: Comments Read at the Fiscal Year 2021 LIHEAP State Plan Public Hearing for the District of Columbia.

To Whom it May Concern,

Please find here the written comments that were read at the public hearing held today, August 19, 2020:

“Good morning, I would like to call to order the public hearing and solicitation of public comment for the District of Columbia’s Low-Income Home Energy Assistance Program, also known as LIHEAP, State Plan for Fiscal Year 2021 (FY21). The purpose of this hearing is to provide the public with an overview of the proposed State Plan that will be submitted to the Department of Health and Human Services, or HHS, by September 1, 2020. This plan describes how we will operate the LIHEAP program in the District and how the funding from HHS will be utilized.

Notice of this hearing was published in the D.C. Register on July 17, 2020. Beginning July 17, 2019, the full text of the FY21 Draft State Plan was made available on the Department of Energy and Environment’s website. In addition, the plan was made available via email request to the email address Liheap.stateplan@dc.gov, available, upon request, at the Department of Energy and Environment’s main office located at 1200 First Street NE, 5th Floor, in Washington DC and available upon written request.

The deadline for comments to this draft State Plan is August 19, 2020, today, at the conclusion of the public hearing. All persons attending today who wish to be heard may testify. All presentations shall be limited to five minutes. Those providing comments are urged to submit copies of their written statements.

Comments may also be submitted via email to liheap.stateplan@dc.gov or via mail to Department’s offices located at 1200 First Street NE, 5th Floor, WDC, 20002. As of the morning of August 19, 2020, no written comments had been received by DOEE via email or mail.

All verbal and written comments received by the deadline will be reviewed and considered in the draft of the FY21 LIHEAP State Plan.

Before I provide an overview of the FY21 LIHEAP State Plan, I would like to allow DOEE staff in attendance today to introduce themselves. My name is Kenley Farmer and I am the Associate Director with the Affordability and Efficiency Division, within the Energy Administration here at the Department of Energy and Environment.

The purpose of this public hearing is to provide a meaningful opportunity for public comment in accordance with Section 2605(a)(2) of the Low Income Home Energy Assistance Act of 1981 which states that “no funds shall be allotted to such State for any fiscal year under this title unless such State conduct[s] public hearings with respect to the proposed use and distribution of funds to be provided under this title for such fiscal year.”

As defined by Section 2605(a) of the Low-Income Home Energy Assistance Act, the purpose of LIHEAP is “to assist low-income households, particularly those with the lowest income, that pay a high proportion of household income for home energy, primarily in meeting their immediate home energy needs.” At DOEE we provide federal assistance to low-income residents in order to reduce their home energy burden, to address energy crises, and to provide weatherization services.

As part of the annual application required by the Low-Income Home Energy Assistance Act, the chief executive officer of each State certifies that the State agrees to 16 assurances. In the District of Columbia, the chief executive officer, the Mayor, has delegated this authority to the Director of the Department of Energy and Environment, Tommy Wells.

I will now provide a brief overview of the FY21 LIHEAP State Plan:

- DOEE intends to operate the following components under the District’s LIHEAP program: heating assistance, cooling assistance, crisis assistance, and weatherization assistance.
- DOEE estimates that available LIHEAP funds will be allocated in the following way: 50% to heating assistance, 13% to cooling assistance, 10% to crisis assistance, 15% to weatherization assistance, 0% carryover, no more than 10% to administrative and planning costs, 2% to services to reduce home energy needs including needs assessment, and 0% to develop and implement leveraging activities.
- Funds reserved for winter crisis assistance that have not been expended by March 15 will be reprogrammed to heating assistance and cooling assistance.
- DOEE considers SNAP, TANF, and Social Security Disability, SSI recipients, to be categorically eligible for LIHEAP utility assistance. Categorically eligible households will still be required to provide necessary documentation for the calculation of income.
- In FY21, DOEE does not plan to provide benefits to utility accounts with a credit on the account greater than \$1000.
- The income eligibility threshold for assistance in the District is 60% of the State Median Income.
- The District does have differing eligibility policies for renters living in subsidized housing and renters with utility included in the rent. Applicants that are renters of

subsidized housing or residents of a dwelling unit where utilities are included in the rent must provide proof in the form of a utility bill that they are directly responsible for paying their own heating costs.

- LIHEAP is a non-entitlement benefit, determined and awarded for a single fiscal year. LIHEAP benefit amounts are determined using the District of Columbia's LIHEAP Benefit Matrix which calculated a household's LIHEAP benefit based on household income, household size, type of dwelling (single family or multifamily), and fuel type. The proposed FY21 Benefit Matrix is available on DOEE's LIHEAP website as part of the proposed FY21 State Plan.
- In the District, \$250 is the minimum benefit and \$1800 is the maximum benefit.
- Subject to available funding, DOEE provide electric space heaters and blankets to households that have been disconnected from energy service or where the home heating oil supply is at 5% or less of capacity.
- During normal operations, a household is considered to be in crisis if the household has been disconnected from energy service or the household heating oil is at 5% or less of capacity. However, during the COVID-19 Public Health Emergency, a household is considered to be in crisis if the household has a balance on their utility account of \$250 or more.
- During normal operations, a household is considered to be in a life-threatening crisis if the household depends on energy service for medical life support equipment and one of the following applies: (a) the household has been disconnected from energy service; (b) the household heating oil is at 5% or less of capacity; or (c) the household has received notice that a disconnection will occur within 48 hours or less. To qualify for life-threatening crisis assistance, applicants must provide certification from a licensed physician that a member of the household relies on energy service for emergency medical and life-support equipment. Applicants that have received a shut-off notice or have a near empty tank and meet one of the following: (a) are age 55 or older or (b) use a breathing machine, will be considered for crisis assistance. However, during the COVID-19 Public Health Emergency, a household is considered to be in a life-threatening crisis if the household has a balance on their utility account of \$250 or more.
- For crisis assistance, DOEE provides the amount necessary to resolve the crisis, up to a maximum of \$600.
- Under normal operations, LIHEAP applicants may schedule appointments by calling the District's Office of Unified Communications, 311 and physically disabled applicants may request a home visit to complete the application process. During the COVID-19 Public Health Emergency, applicants may apply online at doee.dc.gov/liheap.
- For weatherization assistance, DOEE operates mostly under DOE Weatherization rules, however weatherization measures are not subject to US DOE's Savings to Investment Ratio, or SIR, standards.
- In terms of outreach, LIHEAP staff conducts targeted outreach in coordination with DOEE's Public Information Office. DOEE staff visits Advisory Neighborhood Commission meetings, senior citizen housing complexes, and other local organizations to present program information. DOEE also coordinates the District's Utility Discount Program mass mailing to approximately 17,000 low-income residents in the District.

This concludes a brief overview of the draft plan, additional details can be found in the written document. I would now like to open the hearing the hearing to comments from the public.

[Open comment period.]

Thank you. As all individuals present have had the opportunity to present their comments and be heard, I would now like to close the public hearing for the FY21 LIHEAP State Plan.”

Should you have any questions or comments, please do not hesitate to contact me at kenley.farmer@dc.gov or (202) 671-3314.

List of Form Level Attachments

	File Name
1	00 Appeal Rights Notice.pdf
2	DC Government_UG-S18 080719 Single Audit FY18.pdf

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Department of Energy and Environment

Attachment 3: Appeal Rights Notice for the Low Income Home Energy Assistance Program (LIHEAP)

If you disagree with DOEE's decision on your LIHEAP application, you may appeal the decision by requesting a fair hearing at the District's Office of Administrative Hearings (OAH). **You MUST request a hearing within 90 calendar days of the date on the attached letter or lose your right to appeal.**

How to request a hearing:

1. Call 311 and ask for a fair hearing at the Office of Administrative Hearings, OAH.
2. Submit a written request to the following address: OAH - LIHEAP Appeal, 441 4th Street, N.W., Suite 450 North, Washington, D.C. 20001.
3. Visit OAH's office at: 441 4th Street, N.W., Suite 450 North, Washington, D.C. 20001, in person and complete a written request for a fair hearing.

Hearings: You have the right to be represented by legal counsel or by a lay person who is not an employee of the District at your hearing. You can ask for free legal services that might be available to you and you may bring witnesses. The District will pay reasonable expenses related to the hearing, such as transportation costs for you and your witnesses. OAH will notify you of the date and time that you must appear for the hearing.

Interpretation and Language Access Services: If you or a witness require assistance or translation services, you can ask OAH to provide an interpreter.

Reasons to appeal your LIHEAP decision:

1. DOEE denied your application;
2. The LIHEAP payment is less than you believe it should be; or
3. The credit on your account is less than DOEE told you it would be.

NOTE: You **MUST** request a hearing within 90 calendar days of the date on the attached letter or lose your right to appeal.

Authority: DC Administrative Procedures Act, DC Official Code 2-509; Public Asst. Act, DC Official Code 4-210.04. See 1 DCMR 2970-78, OAH Public Benefits Regulations. Filename: 00 Appeal Rights Notice.docx Revision date: 02-24-20



Government of the District of Columbia

Schedules of Expenditures of Federal
Awards and Reports Required by the
Uniform Guidance
Year Ended September 30, 2018

**Government of the
District of Columbia**

Schedules of Expenditures of Federal
Awards and Reports Required by the
Uniform Guidance
Year Ended September 30, 2018

Government of the District of Columbia

Contents

Independent Auditor's Reports Required by the Uniform Guidance

Independent Auditor's Report on Schedules of
Expenditures of Federal Awards 3-4

Independent Auditor's Report on Compliance
For Each Major Federal Program and Report on
Internal Control Over Compliance Required by the Uniform Guidance 5-11

**Schedule I - Schedule of Expenditures of Federal Awards,
By Federal Grantor 12-27**

**Schedule II - Schedule of Expenditures of Federal Awards,
By District Agency 28-36**

Notes to Schedules of Expenditures of Federal Awards 37-39

Schedule of Findings and Questioned Costs 40-77

Management's Section

Appendix A - Summary Schedule of Prior Audit Findings

Appendix B - Management's Corrective Action Plan



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799 9th Street N.W., Suite 710
Washington, DC 20001

Independent Auditor's Report

To the Mayor and the Council of the Government of the District of Columbia

Report on Schedules of Expenditures of Federal Awards

We have audited the accompanying schedules of expenditures of federal awards of the Government of the District of Columbia for the year ended September 30, 2018, and the related notes (the financial statements).

Management's Responsibility

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of the financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

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Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the expenditures of federal awards of the Government of the District of Columbia for the year ended September 30, 2018, in accordance with accounting principles generally accepted in the United States of America.

BDO USA, LLP

June 27, 2019



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799 9th Street N.W., Suite 710
Washington, DC 20001

**Independent Auditor's Report
on Compliance For Each Major Federal Program and
Report on Internal Control Over Compliance
Required by the Uniform Guidance**

To the Mayor and the Council of the Government of the District of Columbia

Report on Compliance for Each Major Federal Program

We have audited the Government of the District of Columbia's (the District) compliance with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) *Compliance Supplement* that could have a direct and material effect on each of the District's major federal programs for the year ended September 30, 2018. The District's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

The accompanying Schedules of Expenditures of Federal Awards and our audit described below do not include the federal expenditures of the District of Columbia Housing Finance Agency (HFA). Our audit, described below, did not include the operations of HFA because the component unit engaged other auditors to have an audit performed in accordance with Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance).

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for each of the District's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of the Uniform Guidance. Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the District's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our unmodified and modified opinions on compliance for each major federal program. However, our audit does not provide a legal determination of the District's compliance.

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Basis for Adverse Opinion on the Major Federal Program Identified in Table I

As described in the accompanying schedule of findings and questioned costs, and as identified in Table I below, the District did not comply with requirements regarding the following:

Table I - Material Noncompliance Resulting In Adverse Opinion				
Federal Awarding Agency	CDFA Number (s)	Major Program	Compliance Requirement	Finding Number
Health and Human Services	93.558	Temporary Assistance for Needy Families Cluster	Eligibility	2018-006
Health and Human Services	93.558	Temporary Assistance for Needy Families Cluster	Special Tests and Provisions - Child Support Non-Cooperation	2018-008
Health and Human Services	93.558	Temporary Assistance for Needy Families Cluster	Reporting; Special Tests and Provisions - Penalty for Failure to Comply with Work Verification Plan	2018-010

Compliance with such requirements is necessary, in our opinion, for the District to comply with the requirements applicable to that program.

Adverse Opinion on the One Major Federal Program Identified in Table I

In our opinion, because of the significance of the matters discussed in the Basis for Adverse Opinion paragraph, the District did not comply in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on the major federal program identified in Table I for the year ended September 30, 2018.

Basis for Qualified Opinions on the Seven Major Federal Programs Identified in Table II

As described in the accompanying schedule of findings and questioned costs, and as identified in Table II below, the District did not comply with requirements regarding the following:

Table II - Material Noncompliance Resulting In Qualified Opinions				
Federal Awarding Agency	CDFA Number (s)	Major Program	Compliance Requirement	Finding Number
Agriculture	10.551, 10.561	Supplemental Nutrition Assistance Program Cluster	Special Tests and Provisions - ADP System for SNAP	2018-001

Table II - Material Noncompliance Resulting In Qualified Opinions				
Federal Awarding Agency	CDFA Number (s)	Major Program	Compliance Requirement	Finding Number
Agriculture	10.551, 10.561	Supplemental Nutrition Assistance Program Cluster	Special Tests and Provisions - EBT Card Security	2018-002
Agriculture	10.553, 10.555, 10.556, 10.559	Child Nutrition Cluster	Eligibility	2018-003
Labor	17.225	Unemployment Insurance	Special Tests and Provisions - UI Benefit Payments	2018-004
Health and Human Services	93.658	Foster Care - Title IV-E	Eligibility	2018-011
Health and Human Services	93.659	Adoption Assistance - Title IV-E	Eligibility	2018-012
Health and Human Services	93.914	HIV Emergency Relief Project Grants	Activities Allowed or Unallowed and Allowable Costs/Cost Principles	2018-015
Health and Human Services	93.917	HIV Care Formula Grants	Activities Allowed or Unallowed and Allowable Costs/Cost Principles	2018-016

Compliance with such requirements is necessary, in our opinion, for the District to comply with the requirements applicable to those programs.

Qualified Opinions on the Seven Major Federal Programs Identified in Table II

In our opinion, except for the noncompliance described in the Basis for Qualified Opinions paragraph above, the District complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on the major federal programs identified in Table II for the year ended September 30, 2018.



Unmodified Opinions on Each of the Other Major Federal Programs

In our opinion, the District complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its other major federal programs identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs for the year ended September 30, 2018.

Other Matters

The results of our auditing procedures disclosed other instances of noncompliance, which are required to be reported in accordance with the Uniform Guidance and which are described in the accompanying schedule of findings and questioned costs, and as identified in Tables III and IV below. Our opinion on each major federal program is not modified with respect to these matters.

Table III - Other Instances of Noncompliance Noted in Programs with an Adverse Opinion				
Federal Awarding Agency	CDFA Number (s)	Major Program	Compliance Requirement	Finding Number
Health and Human Services	93.558	Temporary Assistance for Needy Families Cluster	Reporting	2018-007
Health and Human Services	93.558	Temporary Assistance for Needy Families Cluster	Special Tests and Provisions - Income Eligibility and Verification System	2018-009

Table IV - Other Instances of Noncompliance				
Federal Awarding Agency	CDFA Number (s)	Major Program	Compliance Requirement	Finding Number
Education	84.370	DC School Choice Incentive Program	Reporting	2018-005
Health and Human Services	93.775, 93.777, 93.778	Medicaid Cluster	Eligibility	2018-013
Health and Human Services	93.775, 93.777, 93.778	Medicaid Cluster	Special Tests and Provisions - Utilization Control and Program Integrity	2018-014



The District's responses to the noncompliance findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The District's responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

Report on Internal Control over Compliance

Management of the District is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the District's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the District's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that have not been identified. However, as discussed below, we identified certain deficiencies in internal control over compliance that we consider to be material weaknesses and significant deficiencies.

A *deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs, and as identified in Table V below, to be material weaknesses.

Table V - Material Weaknesses in Internal Control Over Compliance				
Federal Awarding Agency	CDFA Number (s)	Major Program	Compliance Requirement	Finding Number
Agriculture	10.551, 10.561	Supplemental Nutrition Assistance Program Cluster	Special Tests and Provisions - ADP System for SNAP	2018-001
Agriculture	10.551, 10.561	Supplemental Nutrition Assistance Program Cluster	Special Tests and Provisions - EBT Card Security	2018-002
Agriculture	10.553, 10.555, 10.556, 10.559	Child Nutrition Cluster	Eligibility	2018-003

Table V - Material Weaknesses in Internal Control Over Compliance				
Federal Awarding Agency	CDFA Number (s)	Major Program	Compliance Requirement	Finding Number
Labor	17.225	Unemployment Insurance	Special Tests and Provisions - UI Benefit Payments	2018-004
Health and Human Services	93.558	Temporary Assistance for Needy Families Cluster	Eligibility	2018-006
Health and Human Services	93.558	Temporary Assistance for Needy Families Cluster	Special Tests and Provisions - Child Support Non-Cooperation	2018-008
Health and Human Services	93.558	Temporary Assistance for Needy Families Cluster	Reporting; Special Tests and Provisions - Penalty for Failure to Comply with Work Verification Plan	2018-010
Health and Human Services	93.658	Foster Care - Title IV-E	Eligibility	2018-011
Health and Human Services	93.659	Adoption Assistance - Title IV-E	Eligibility	2018-012
Health and Human Services	93.914	HIV Emergency Relief Project Grants	Activities Allowed or Unallowed and Allowable Costs/Cost Principles	2018-015
Health and Human Services	93.917	HIV Care Formula Grants	Activities Allowed or Unallowed and Allowable Costs/Cost Principles	2018-016

A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings and questioned costs, and as identified in Table VI below, to be significant deficiencies.



Table VI - Significant Deficiencies in Internal Control Over Compliance				
Federal Awarding Agency	CDFA Number (s)	Major Program	Compliance Requirement	Finding Number
Education	84.370	DC School Choice Incentive Program	Reporting	2018-005
Health and Human Services	93.558	Temporary Assistance for Needy Families Cluster	Reporting	2018-007
Health and Human Services	93.558	Temporary Assistance for Needy Families Cluster	Special Tests and Provisions - Income Eligibility and Verification System	2018-009
Health and Human Services	93.775, 93.777, 93.778	Medicaid Cluster	Eligibility	2018-013
Health and Human Services	93.775, 93.777, 93.778	Medicaid Cluster	Special Tests and Provisions - Utilization Control and Program Integrity	2018-014

The District's responses to the internal control over compliance findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The District's responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

BDO USA, LLP

June 27, 2019

**Schedule I - Schedule of Expenditures
of Federal Awards by Federal Grantor**

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
U.S. Department of Agriculture								
AGRICULTURAL RESEARCH_BASIC AND APPLIED RESEARCH	10.001		\$ 26,120	-	\$ -		\$ 26,120	\$ -
PESTICIDE APPLICATOR TRAINING	10.025		-	-	1,946		1,946	-
SPECIALTY CROP BLOCK GRANT PROGRAM - FARM BILL	10.170		60,527	-	30,205		90,732	-
PAYMENTS TO AGRICULTURAL EXPERIMENT STATIONS UNDER THE HATCH ACT	10.203		749,341	-	-		749,341	-
COOPERATIVE EXTENSION SERVICE	10.500		1,461,736	-	144,882		1,606,618	-
SNAP FRAUD FRAMEWORK IMPLEMENTATION GRANT	10.535		-	-	87,000		87,000	-
<u>SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM (SNAP) CLUSTER</u>								
SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM (SNAP) - FOOD STAMPS	10.551		-	-	188,659,803		188,659,803	-
STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM	10.561		-	-	27,147,107		27,147,107	239,694
SUBTOTAL - SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM (SNAP) CLUSTER						\$ 215,806,910		
<u>CHILD NUTRITION CLUSTER</u>								
SCHOOL BREAKFAST PROGRAM	10.553		-	-	12,318,886		12,318,886	12,318,886
NATIONAL SCHOOL LUNCH PROGRAM	10.555		-	-	30,057,037		30,057,037	30,057,037
SPECIAL MILK PROGRAM FOR CHILDREN	10.556		-	-	840,077		840,077	2,457
SUMMER FOOD SERVICE PROGRAM FOR CHILDREN	10.559		-	-	1,872,957		1,872,957	1,791,003
SUBTOTAL - CHILD NUTRITION CLUSTER						45,088,957		
SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN (WIC)	10.557		-	-	12,076,072		12,076,072	3,049,007
CHILD AND ADULT CARE FOOD PROGRAM	10.558		-	-	11,922,325		11,922,325	11,750,190
STATE ADMINISTRATIVE EXPENSES FOR CHILD NUTRITION	10.560		-	-	78,682		78,682	-
NUTRITION, EDUCATION AND TRAINING PROGRAM	10.564		-	-	1,055,884		1,055,884	1,055,884
<u>FOOD DISTRIBUTION CLUSTER</u>								
COMMODITY SUPPLEMENTAL FOOD PROGRAM	10.565		-	-	404,840		404,840	404,840
EMERGENCY FOOD ASSISTANCE PROGRAM (ADMINISTRATIVE COST)	10.568		-	-	182,358		182,358	134,762
SUBTOTAL - FOOD DISTRIBUTION CLUSTER						587,198		
WIC FARMERS' MARKET NUTRITION PROGRAM (FMNP)	10.572		-	-	194,034		194,034	-
SENIOR FARMERS MARKET NUTRITION PROGRAM	10.576		-	-	225,740		225,740	75,480
CHILD NUTRITION DISCRETIONARY GRANTS LIMITED AVAILABILITY, NON-CASH AWARD	10.579		-	-	2,756,588		2,756,588	-

The accompanying notes are an integral part of this schedule.

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
U.S. Department of Agriculture (continued)								
FRESH FRUIT AND VEGETABLE PROGRAM	10.582		-	-	1,459,378		1,459,378	1,386,043
FOREST HEALTH PROTECTION	10.680		-	-	23,246		23,246	-
PARTNERSHIP AGREEMENTS	10.699		-	-	4,744		4,744	-
Total U.S. Department of Agriculture			2,297,724	-	291,543,791	261,483,065	293,841,515	62,265,283
U.S. Department of Commerce								
ATLANTIC COASTAL FISHERIES COOPERATIVE MANAGEMENT ACT	11.474		-	-	(551)		(551)	-
STATE AND LOCAL IMPLEMENTATION GRANT PROGRAM	11.549		-	-	10,310		10,310	-
SCIENCE, TECHNOLOGY, BUSINESS AND/OR EDUCATION OUTREACH	11.620		16,750	-	-		16,750	-
Total U.S. Department of Commerce			16,750	-	9,759	-	26,509	-
U.S. Department of Defense								
PROCUREMENT TECHNICAL ASSISTANCE FOR BUSINESS FIRMS	12.002		-	-	420,750		420,750	-
STATE MEMORANDUM OF AGREEMENT PROGRAM FOR THE REIMBURSEMENT OF TECHNICAL SERVICES	12.113		-	-	330,447		330,447	-
NATIONAL GUARD MILITARY OPERATIONS AND MAINTENANCE (O&M) PROJECTS	12.401		-	-	5,235,584		5,235,584	-
NATIONAL GUARD CHALLENGE PROGRAM	12.404		-	-	2,247,926		2,247,926	-
MILITARY MEDICAL RESEARCH AND DEVELOPMENT	12.420		15,943	-	-		15,943	-
COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR ESTABLISHMENT, EXPANSION, REALIGNMENT, OR CLOSURE OF A MILITARY INSTALLATION	12.607		-	-	262,276		262,276	-
BASIC, APPLIED, AND ADVANCED RESEARCH IN SCIENCE AND ENGINEERING	12.630		142,310	-	-		142,310	-
LANGUAGE GRANT PROGRAM	12.900		-	-	89,135		89,135	-
Total U.S. Department of Defense			158,253	-	8,586,118	-	8,744,371	-

The accompanying notes are an integral part of this schedule.

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
U.S. Department of Housing and Urban Development								
<u>COMMUNITY DEVELOPMENT BLOCK GRANTS/ENTITLEMENT GRANTS CLUSTER</u>								
COMMUNITY DEVELOPMENT BLOCK GRANTS/ENTITLEMENT GRANTS (CDBG)	14.218		-	-	22,050,507		22,050,507	10,211,803
COMMUNITY DEVELOPMENT BLOCK GRANTS/ENTITLEMENT GRANTS (CDBG), OUTSTANDING LOAN BEGINNING BALANCE	14.218		-	-	285,354,340		285,354,340	-
SUBTOTAL - COMMUNITY DEVELOPMENT BLOCK GRANTS/ENTITLEMENT GRANTS CLUSTER						307,404,847		
HOME INVESTMENT PARTNERSHIPS PROGRAM (HOME)	14.239		-	-	7,614,136		7,614,136	-
HOME INVESTMENT PARTNERSHIPS PROGRAM (HOME), OUTSTANDING LOAN BEGINNING BALANCE	14.239		-	-	118,145,766		118,145,766	-
HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS	14.241		-	-	10,020,439		10,020,439	9,818,868
CONTINUUM OF CARE PROGRAM	14.267		-	-	5,740,382		5,740,382	439,795
FAIR HOUSING ASSISTANCE PROGRAM - STATE AND LOCAL	14.401		-	-	100,330		100,330	-
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM	14.905		-	-	435,296		435,296	278,671
Total U.S. Department of Housing and Urban Development			-	-	449,461,196	307,404,847	449,461,196	20,749,137
U.S. Department of the Interior								
<u>FISH AND WILDLIFE CLUSTER</u>								
SPORT FISH RESTORATION PROGRAM	15.605		-	-	1,819,859		1,819,859	30,812
SUBTOTAL - FISH AND WILDLIFE CLUSTER						1,819,859		
SPORTFISHING AND BOATING SAFETY ACT	15.622		-	-	(67,977)		(67,977)	-
STATE WILDLIFE GRANTS	15.634		-	-	113,731		113,731	6,072
ASSISTANCE TO WATER RESOURCES RESEARCH INSTITUTES	15.805		50,916	-	-		50,916	-
HISTORIC PRESERVATION FUND GRANTS-IN-AID	15.904		-	-	666,505		666,505	125,530
Total U.S. Department of the Interior			50,916	-	2,532,118	1,819,859	2,583,034	162,414

The accompanying notes are an integral part of this schedule.

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
U.S. Department of Justice								
SEXUAL ASSAULT SERVICES FORMULA PROGRAM	16.017		-	-	569,623		569,623	566,800
JUVENILE JUSTICE AND DELINQUENCY PREVENTION - ALLOCATION TO STATES	16.540		-	-	330,887		330,887	228,194
STATE JUSTICE STATISTICS PROGRAM FOR STATISTICAL ANALYSIS CENTERS	16.550		-	-	150,000		150,000	-
NATIONAL CRIMINAL HISTORY IMPROVEMENT PROGRAM (NCHIP)	16.554		-	-	279,890		279,890	-
CRIME VICTIM ASSISTANCE PROGRAM	16.575		-	-	5,379,894		5,379,894	5,231,554
CRIME VICTIM ASSISTANCE/DISCRETIONARY GRANTS	16.582		-	-	487,151		487,151	390,841
VIOLENCE AGAINST WOMEN FORMULA GRANTS	16.588		-	-	828,445		828,445	474,796
GRANTS TO ENCOURAGE ARREST POLICIES & ENFORCEMENT OF PROTECT ORDERS	16.590		-	-	34,447		34,447	29,573
RESIDENTIAL SUBSTANCE ABUSE TREATMENT FOR STATE PRISONERS	16.593		-	-	61,784		61,784	-
PUBLIC SAFETY PARTNERSHIP & COMMUNITY POLICING GRANTS	16.710		-	-	1,108,208		1,108,208	-
PREA PROGRAM: DEMONSTRATION PROJECTS TO ESTABLISH "ZERO TOLERANCE"								
CULTURES FOR SEXUAL ASSAULT IN CORRECTIONAL FACILITIES	16.735		-	-	17,500		17,500	-
EDWARD BYRNE MEMORIAL JUSTICE ASSISTANCE GRANT PROGRAM	16.738		-	-	974,019		974,019	813,587
FORENSIC DNA BACKLOG REDUCTION PROGRAM	16.741		-	-	467,308		467,308	-
PAUL COVERDELL FORENSIC SCIENCES IMPROVEMENT GRANT PROGRAM	16.742		-	-	74,777		74,777	-
CRIMINAL AND JUVENILE JUSTICE AND MENTAL HEALTH COLLABORATION PROGRAM	16.745		-	-	63,741		63,741	-
EDWARD BYRNE MEMORIAL COMPETITIVE GRANT PROGRAM	16.751		-	-	541,806		541,806	-
SECOND CHANCE ACT PRISONER REENTRY INITIATIVE	16.812		-	-	100,000		100,000	-
BYRNE CRIMINAL JUSTICE INNOVATION PROGRAM	16.817		-	-	40,264		40,264	-
SMART PROSECUTION INITIATIVE	16.825		-	-	132,632		132,632	-
VISION 21	16.826		-	-	426,071		426,071	406,654
Total U.S. Department of Justice			-	-	12,068,447	-	12,068,447	8,141,999

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
U.S. Department of Labor								
LABOR FORCE STATISTICS	17.002		-	-	579,772		579,772	-
COMPENSATION AND WORKING CONDITIONS	17.005		-	-	87,400		87,400	-
REGISTERED APPRENTICESHIP	17.201		-	-	111,206		111,206	-
<u>EMPLOYMENT SERVICE CLUSTER</u>								
EMPLOYMENT SERVICE/WAGNER-PEYSER FUNDED ACTIVITIES	17.207		-	-	2,362,235		2,362,235	-
DISABLED VETERANS OUTREACH PROGRAM	17.801		-	-	297,823		297,823	-
LOCAL VETERANS EMPLOYMENT REPRESENTATIVE	17.804		-	-	222,471		222,471	-
SUBTOTAL - EMPLOYMENT SERVICE CLUSTER						<u>2,882,529</u>		
UNEMPLOYMENT INSURANCE	17.225		-	-	141,695,139		141,695,139	-
ARRA - UNEMPLOYMENT INSURANCE	17.225		-	-	400,895		400,895	-
<u>WIOA CLUSTER</u>								
WIOA ADULT PROGRAM	17.258		-	-	2,779,653		2,779,653	-
WIOA YOUTH ACTIVITIES	17.259		-	-	3,143,703		3,143,703	-
WIOA DISLOCATED WORKER FORMULA GRANTS	17.278		-	-	4,165,814		4,165,814	-
SUBTOTAL - WIOA CLUSTER						<u>10,089,170</u>		
SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM	17.235		-	-	420,935		420,935	-
TRADE ADJUSTMENT ASSISTANCE	17.245		-	-	62		62	-
WORK OPPORTUNITY TAX CREDIT PROGRAM (WOTC)	17.271		-	-	82,406		82,406	-
TEMPORARY LABOR CERTIFICATION FOR FOREIGN WORKERS	17.273		-	-	9,973		9,973	-
WORKFORCE INVESTMENT ACT (WIA) DISLOCATED WORKER NATIONAL RESERVE								
TECHNICAL ASSISTANCE TRAINING	17.281		-	-	1,812		1,812	-
TRADE ADJUSTMENT ASSISTANCE COMMUNITY COLLEGE AND CAREER TRAINING								
(TAACCCT) GRANTS	17.282		-	-	809,802		809,802	-
CONSULTATION AGREEMENTS	17.504		-	-	549,700		549,700	-
Total U.S. Department of Labor			<u>-</u>	<u>-</u>	<u>157,720,801</u>	<u>12,971,699</u>	<u>157,720,801</u>	<u>-</u>

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
U.S. Department of Transportation								
HIGHWAY RESEARCH AND DEVELOPMENT PROGRAM	20.200		5,404,636	-	-		5,404,636	-
<u>HIGHWAY PLANNING AND CONSTRUCTION CLUSTER</u>								
HIGHWAY PLANNING AND CONSTRUCTION	20.205		-	-	233,319,190		233,319,190	-
RECREATIONAL TRAILS PROGRAM	20.219		-	-	111,790		111,790	-
SUBTOTAL - HIGHWAY PLANNING AND CONSTRUCTION CLUSTER						<u>233,430,980</u>		
HIGHWAY TRAINING AND EDUCATION	20.215		-	-	272,888		272,888	-
NATIONAL MOTOR CARRIER SAFETY	20.218		-	-	703,460		703,460	-
SAFETY DATA IMPROVEMENT PROGRAM	20.234		-	-	2,390		2,390	-
ARRA - HIGH-SPEED RAIL CORRIDORS AND INTERCITY PASSENGER RAIL SERVICE -								
CAPITAL ASSISTANCE GRANTS	20.319		-	-	(7,900)		(7,900)	-
METROPOLITAN TRANSPORTATION PLANNING	20.505		-	-	406,346		406,346	-
<u>TRANSIT SERVICES PROGRAMS CLUSTER</u>								
ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS WITH DISABILITIES	20.513		-	-	78,833		78,833	-
SUBTOTAL - TRANSIT SERVICES PROGRAMS CLUSTER						<u>78,833</u>		
RAIL FIXED GUIDEWAY PUBLIC TRANSPORTATION SYSTEM STATE SAFETY OVERSIGHT								
FORMULA GRANT PROGRAM	20.528		-	-	141,297		141,297	-
<u>HIGHWAY SAFETY CLUSTER</u>								
STATE AND COMMUNITY HIGHWAY SAFETY	20.600		-	-	4,485,386		4,485,386	-
SUBTOTAL - HIGHWAY SAFETY CLUSTER						<u>4,485,386</u>		
PIPELINE SAFETY PROGRAM STATE BASE GRANT	20.700		-	-	401,932		401,932	-
NATIONAL INFRASTRUCTURE INVESTMENTS	20.933		-	-	1,187,710		1,187,710	-
Total U.S. Department of Transportation			<u>5,404,636.00</u>	<u>-</u>	<u>241,103,322</u>	<u>237,995,199</u>	<u>246,507,958</u>	<u>-</u>
U.S. Department of the Treasury								
LOW-INCOME TAXPAYER CLINICS	21.008		-	-	96,761		96,761	-
Total U.S. Department of the Treasury			<u>-</u>	<u>-</u>	<u>96,761</u>	<u>-</u>	<u>96,761</u>	<u>-</u>
Equal Employment Opportunity Commission								
EMPLOYMENT DISCRIMINATION - TITLE VII OF THE CIVIL RIGHTS ACT OF 1964	30.001		-	-	116,713		116,713	-
Total Equal Employment Opportunity Commission			<u>-</u>	<u>-</u>	<u>116,713</u>	<u>-</u>	<u>116,713</u>	<u>-</u>

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
National Aeronautics and Space Administration								
EDUCATION	43.008		33,261	-	-		33,261	-
Total National Aeronautics and Space Administration			33,261	-	-	-	33,261	-
National Endowment for the Humanities								
PROMOTION OF THE ARTS - PARTNERSHIP AGREEMENTS	45.025		-	-	709,881		709,881	-
GRANTS TO STATES	45.310		-	-	931,621		931,621	-
NATIONAL LEADERSHIP GRANTS	45.312		-	-	108,453		108,453	20,000
Total National Endowment for the Humanities			-	-	1,749,955	-	1,749,955	20,000
National Science Foundation								
COMPUTER AND INFORMATION SCIENCE AND ENGINEERING	47.070		22,087	-	-		22,087	-
EDUCATION AND HUMAN RESOURCES	47.076		956,862	-	-		956,862	-
Total National Science Foundation			978,949	-	-	-	978,949	-
U.S. Department of Veterans Affairs								
VETERANS AFFAIRS MEDICAL CENTER	64.009		-	-	1,005,231		1,005,231	-
Total U.S. Department of Veterans Affairs			-	-	1,005,231	-	1,005,231	-
Environmental Protection Agency								
AIR POLLUTION CONTROL PROGRAM SUPPORT	66.001		-	-	863,493		863,493	-
STATE INDOOR RADON GRANTS	66.032		-	-	88,618		88,618	-
SURVEYS, STUDIES, INVESTIGATIONS ACTIVITIES RELATING TO THE CLEAN AIR ACT	66.034		-	-	69,070		69,070	-
MULTIPURPOSE GRANTS TO STATES AND TRIBES	66.204		-	-	48,980		48,980	-
CONSTRUCTION GRANTS FOR WASTEWATER TREATMENT WORKS	66.418		-	-	6,707,684		6,707,684	403,251
WATER POLLUTION CONTROL STATE, INTERSTATE, TRIBAL PROGRAM SUPPORT	66.419		-	-	1,393,066		1,393,066	70,000
WATER QUALITY MANAGEMENT PLANNING	66.454		-	-	100,000		100,000	60,000
NONPOINT SOURCE IMPLEMENTATION GRANTS	66.460		-	-	931,527		931,527	403,129
CHESAPEAKE BAY PROGRAM	66.466		-	-	2,860,921		2,860,921	1,231,703
CHESAPEAKE BAY PROGRAM - NATIONAL FISH & WILDLIFE FOUNDATION	66.466	NFWF12-12	-	-	38,000		38,000	-

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
Environmental Protection Agency (continued)								
<u>DRINKING WATER STATE REVOLVING FUND CLUSTER</u>								
CAPITALIZATION GRANTS FOR DRINKING WATER STATE REVOLVING FUNDS	66.468		-	-	24,992		24,992	-
SUBTOTAL - DRINKING WATER STATE REVOLVING FUND CLUSTER						24,992		
PERFORMANCE PARTNERSHIP GRANTS	66.605		-	-	188,038		188,038	-
POLLUTION PREVENTION GRANTS PROGRAM	66.708		-	-	593,260		593,260	-
SOURCE REDUCTION ASSISTANCE	66.717		-	-	74,248		74,248	74,248
HAZARDOUS WASTE MANAGEMENT STATE PROGRAM SUPPORT	66.801		-	-	254,904		254,904	-
UNDERGROUND STORAGE TANK PREVENTION, DETECTION & COMPLIANCE PROGRAM	66.804		-	-	906,740		906,740	-
SUPERFUND STATE AND TRIBE CORE PROGRAM COOP AGREEMENTS	66.809		-	-	21,689		21,689	-
STATE AND TRIBAL RESPONSE PROGRAM GRANTS	66.817		-	-	275,650		275,650	-
Total Environmental Protection Agency			-	-	15,440,880	24,992	15,440,880	2,242,331
U.S. Department of Energy								
STATE ENERGY PROGRAM	81.041		-	-	210,655		210,655	35,000
WEATHERIZATION ASSISTANCE FOR LOW-INCOME PERSONS	81.042		-	-	575,230		575,230	402,121
NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) MINORITY SERVING INSTITUTION (MSI) PROGRAM	81.123		-	-	199,140		199,140	-
STATE HEATING OIL AND PROPANE PROGRAM	81.138		-	-	6,900		6,900	-
Total U.S. Department of Energy			-	-	991,925	-	991,925	437,121
U.S. Department of Education								
ADULT EDUCATION - BASIC GRANTS TO STATES	84.002		-	-	1,220,374		1,220,374	1,176,745
TITLE I GRANTS TO LOCAL EDUCATIONAL AGENCIES (LEA)	84.010		-	-	44,512,410		44,512,410	43,616,766
FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (SEOG)	84.007		-	624,653	-		624,653	-
FEDERAL WORK-STUDY PROGRAM	84.033		-	226,031	-		226,031	-
FEDERAL PELL GRANT PROGRAM	84.063		-	7,594,524	-		7,594,524	-
FEDERAL DIRECT STUDENT LOANS	84.268		-	23,779,445	-		23,779,445	-
TITLE I STATE AGENCY PROGRAM FOR NEGLECTED & DELINQUENT CHILDREN	84.013		-	-	124,611		124,611	123,876

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

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U.S. Department of Education (continued)								
<u>SPECIAL EDUCATION CLUSTER</u>								
SPECIAL EDUCATION - GRANT TO STATES	84.027		-	-	20,493,287		20,493,287	17,185,454
SPECIAL EDUCATION - PRESCHOOL GRANTS	84.173		-	-	231,251		231,251	187,253
SUBTOTAL - SPECIAL EDUCATION CLUSTER						<u>20,724,538</u>		
HIGHER EDUCATION - INSTITUTIONAL AID	84.031		-	-	5,460,804		5,460,804	-
<u>TRIO CLUSTER</u>								
TRIO - TALENT SEARCH	84.044		-	-	411,795		411,795	-
TRIO - UPWARD BOUND	84.047		-	-	274,348		274,348	-
SUBTOTAL - TRIO CLUSTER						<u>686,143</u>		
CAREER & TECHNICAL EDUCATION - BASIC GRANTS TO STATES	84.048		-	-	3,730,750		3,730,750	3,202,722
REHABILITATION SERVICES - VOCATIONAL REHABILITATION GRANTS TO STATES	84.126		-	-	13,626,452		13,626,452	-
REHABILITATION SERVICES - INDEPENDENT LIVING SERVICES - OLDER INDIVIDUALS WHO ARE BLIND	84.177		-	-	231,416		231,416	-
SPECIAL EDUCATION - GRANTS FOR INFANTS - FAMILIES	84.181		-	-	2,435,467		2,435,467	513,924
SUPPORTED EMPLOYMENT SERVICES FOR INDIVIDUALS WITH THE MOST SIGNIFICANT DISABILITIES	84.187		-	-	181,755		181,755	-
EDUCATION FOR HOMELESS CHILDREN AND YOUTH	84.196		-	-	300,721		300,721	229,448
CHARTER SCHOOLS	84.282		-	-	2,676,578		2,676,578	2,498,991
21ST CENTURY COMMUNITY LEARNING CENTERS-AFTER SCHOOL	84.287		-	-	7,804,933		7,804,933	7,684,853
ENGLISH LANGUAGE ACQUISITION	84.365		-	-	1,369,719		1,369,719	1,335,201
MATHEMATICS & SCIENCE PARTNERSHIP	84.366		-	-	711,857		711,857	692,039
IMPROVING TEACHER QUALITY STATE GRANTS	84.367		-	-	9,090,567		9,090,567	8,726,293
GRANTS FOR STATE ASSESSMENTS & RELATED ACTIVITIES	84.369		-	-	2,909,635		2,909,635	-
DC SCHOOL CHOICE INCENTIVE PROGRAM	84.370		-	-	49,550,210		49,550,210	26,530,712
TEACHER INCENTIVE FUND PROGRAM	84.374		-	-	1,619,300		1,619,300	-
SCHOOL IMPROVEMENT GRANTS	84.377		-	-	1,409,518		1,409,518	1,307,576
STUDENT SUPPORT AND ACADEMIC ENRICHMENT GRANTS	84.424		-	-	1,733,690		1,733,690	1,656,090
Total U.S. Department of Education			-	32,224,653	172,111,448	<u>21,410,681</u>	<u>204,336,101</u>	<u>116,667,943</u>

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

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U.S. Election Assistance Commission								
HELP AMERICA VOTE ACT REQUIREMENTS PAYMENTS	90.401		-	-	995,591		995,591	-
2018 HELP AMERICA VOTE ACT ELECTION SECURITY	90.404		-	-	399,400		399,400	-
Total U.S. Election Assistance Commission			-	-	1,394,991	-	1,394,991	-
U.S. Department of Health and Human Services								
STATE & TERRITORIAL & TECHNICAL ASSISTANCE CAPACITY DEVELOPMENT MINORITY HIV/AIDS DEMONSTRATION PROGRAM	93.006		-	-	492,015		492,015	-
SPECIAL PROGRAMS FOR THE AGING - TITLE VII, CHAPTER 3 - PROGRAMS FOR PREVENTION OF ELDER ABUSE, NEGLECT, AND EXPLOITATION	93.041		-	-	23,660		23,660	23,660
SPECIAL PROGRAMS FOR THE AGING - TITLE VII, CHAPTER 2 - LONG TERM CARE OMBUDSMAN SERVICES FOR OLDER INDIVIDUALS	93.042		-	-	205,267		205,267	205,267
<u>TITLE III AGING CLUSTER</u>								
SPECIAL PROGRAMS FOR THE AGING - TITLE III, PART B - GRANTS FOR SUPPORTIVE SERVICES AND SENIOR CENTERS	93.044		-	-	2,203,842		2,203,842	1,800,366
SPECIAL PROGRAMS FOR THE AGING - TITLE III, PART C - NUTRITION SERVICES	93.045		-	-	3,587,355		3,587,355	-
NUTRITION SERVICES INCENTIVE PROGRAM	93.053		-	-	657,594		657,594	-
SUBTOTAL - TITLE III AGING CLUSTER						6,448,791		
SPECIAL PROGRAMS FOR THE AGING - TITLE IV & TITLE II DISCRETIONARY PROJECTS	93.048		-	-	712,571		712,571	-
ALZHEIMER'S DISEASE DEMONSTRATION GRANTS TO STATES	93.051		-	-	16,594		16,594	-
NATIONAL FAMILY CAREGIVERS SUPPORT TITLE III PART E	93.052		-	-	936,838		936,838	936,838
HOSPITAL PREPAREDNESS PROGRAM (HPP) AND PUBLIC HEALTH EMERGENCY PREPAREDNESS (PHEP) ALIGNED COOPERATIVE AGREEMENTS	93.074		-	-	5,977,586		5,977,586	80,395
COOPERATIVE AGREEMENTS TO PROMOTE ADOLESCENT HEALTH THROUGH SCHOOL- BASED HIV/STD PREVENTION AND SCHOOL-BASED SURVEILLANCE	93.079		-	-	367,941		367,941	66,657
GUARDIANSHIP ASSISTANCE	93.090		-	-	2,794,473		2,794,473	-
AFFORDABLE CARE ACT PERSONAL RESPONSIBILITY EDUCATION PROGRAM	93.092		-	-	210,757		210,757	91,903
FOOD AND DRUG ADMINISTRATION RESEARCH	93.103		-	-	10,000		10,000	-
COMPREHENSIVE COMMUNITY MENTAL HEALTH SERVICES FOR CHILDREN WITH SERIOUS EMOTIONAL DISTURBANCES (SED)	93.104		-	-	797,779		797,779	-

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

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U.S. Department of Health and Human Services (continued)								
PROJECT GRANTS & COOP AGREEMENTS FOR TUBERCULOSIS CONTROL PROGRAMS	93.116		-	-	304,886		304,886	-
COOPERATIVE AGREEMENTS TO STATES/TERRITORIES FOR THE COORDINATION AND DEVELOPMENT OF PRIMARY CARE OFFICES	93.130		-	-	166,030		166,030	-
INJURY PREVENTION & CONTROL RESEARCH & STATE COMMUNITY BASED PROGRAM	93.136		-	-	1,080,209		1,080,209	44,610
PROJECTS FOR ASSISTANCE IN TRANSITION FROM HOMELESSNESS (PATH)	93.150		-	-	226,361		226,361	-
GRANTS TO STATES FOR LOAN REPAYMENT PROGRAM	93.165		-	-	226,119		226,119	-
GRANTS TO STATES TO SUPPORT ORAL HEALTH WORKFORCE ACTIVITIES	93.236		-	-	386,149		386,149	-
SUBSTANCE ABUSE MENTAL HEALTH SERVICES (SAMHS) - PROJECTS OF REGIONAL AND NATIONAL SIGNIFICANCE	93.243		-	-	6,176,837		6,176,837	-
UNIVERSAL NEWBORN HEARING SCREENING	93.251		-	-	267,438		267,438	-
IMMUNIZATION COOPERATIVE AGREEMENTS	93.268		-	-	2,234,366		2,234,366	66,293
ADULT VIRAL HEPATITIS PREVENTION AND CONTROL	93.270		-	-	168,355		168,355	25,178
NATIONAL STATE BASED TOBACCO CONTROL PROGRAMS	93.305		-	-	604,325		604,325	-
EPIDEMIOLOGY AND LABORATORY CAPACITY FOR INFECTIOUS DISEASES (ELC)	93.323		-	-	2,112,543		2,112,543	-
BEHAVIORAL RISK FACTOR SURVEILLANCE SYSTEM	93.336		-	-	297,083		297,083	-
NATIONAL CENTER FOR ADVANCING TRANSLATIONAL SCIENCES	93.350		-	-	22,326		22,326	-
ACL INDEPENDENT LIVING STATE GRANTS	93.369		-	-	326,647		326,647	-
ACL ASSISTIVE TECHNOLOGY	93.464		-	-	344,102		344,102	-
AFFORDABLE CARE ACT (ACA) GRANTS TO STATES FOR HEALTH INSURANCE PREMIUM REVIEW	93.511		-	-	144,699		144,699	-
AFFORDABLE CARE ACT - MEDICARE IMPROVEMENTS FOR PATIENTS AND PROVIDERS	93.518		-	-	7,938		7,938	7,938
THE AFFORDABLE CARE ACT: BUILDING EPIDEMIOLOGY, LABORATORY, AND HEALTH INFORMATION SYSTEMS CAPACITY IN THE EPIDEMIOLOGY AND LABORATORY CAPACITY FOR INFECTIOUS DISEASE (ELC) AND EMERGING INFECTIONS PROGRAMS (EIP)								
COOPERATIVE AGREEMENTS; PPHF	93.521		-	-	312,956		312,956	-
PROMOTING SAFE AND STABLE FAMILIES	93.556		-	-	909,895		909,895	-
<u>TEMPORARY ASSISTANCE FOR NEEDY FAMILIES CLUSTER</u>								
TEMPORARY ASSISTANCE FOR NEEDY FAMILIES	93.558		-	-	85,313,238		85,313,238	-
SUBTOTAL - TEMPORARY ASSISTANCE FOR NEEDY FAMILIES CLUSTER						<u>85,313,238</u>		

The accompanying notes are an integral part of this schedule.

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
U.S. Department of Health and Human Services (continued)								
CHILD SUPPORT ENFORCEMENT PROGRAM	93.563		-	-	18,036,725		18,036,725	-
CHILD SUPPORT ENFORCEMENT RESEARCH	93.564		-	-	47,526		47,526	-
REFUGEE & ENTRANT ASSISTANCE - STATE ADMINISTERED	93.566		-	-	1,925,328		1,925,328	-
LOW INCOME HOME ENERGY ASSISTANCE	93.568		-	-	11,061,824		11,061,824	9,087,752
COMMUNITY SERVICE BLOCK GRANT	93.569		-	-	11,261,780		11,261,780	10,719,070
COMMUNITY SERVICES BLOCK GRANT_DISCRETIONARY AWARDS	93.570		-	-	17,759		17,759	-
<u>CHILD CARE AND DEVELOPMENT FUND (CCDF) CLUSTER</u>								
CHILD CARE & DEVELOPMENT BLOCK GRANT	93.575		-	-	11,034,422		11,034,422	10,720,576
CHILD CARE MANDATORY AND MATCHING FUNDS OF THE CHILD CARE AND DEVELOPMENT FUND	93.596		-	-	2,911,593		2,911,593	-
SUBTOTAL - CHILD CARE AND DEVELOPMENT FUND (CCDF) CLUSTER						<u>13,946,015</u>		
COMMUNITY-BASED CHILD ABUSE PREVENTION GRANTS	93.590		-	-	200,582		200,582	-
GRANTS TO STATES FOR ACCESS AND VISITATION PROGRAM	93.597		-	-	103,589		103,589	-
CHAFEE EDUCATION AND TRAINING VOUCHERS PROGRAM (ETV)	93.599		-	-	121,882		121,882	-
HEAD START	93.600		-	-	16,175,479		16,175,479	1,085,617
ADOPTION AND LEGAL GUARDIANSHIP PROGRAM	93.603		-	-	457,000		457,000	-
DEVELOPMENTAL DISABILITIES BASIC SUPPORT AND ADVOCACY GRANTS	93.630		-	-	447,073		447,073	-
DEVELOPMENTAL DISABILITIES PROJECTS OF NATIONAL SIGNIFICANCE	93.631		-	-	281,281		281,281	-
CHILDREN'S JUSTICE GRANTS TO STATES	93.643		-	-	37,850		37,850	-
CHILD WELFARE - SERVICES - STATE GRANTS	93.645		-	-	408,019		408,019	-
ADOPTION OPPORTUNITIES	93.652		-	-	457,671		457,671	-
FOSTER CARE - TITLE IV-E	93.658		-	-	43,844,733		43,844,733	-
ADOPTION ASSISTANCE - TITLE IV-E	93.659		-	-	9,953,238		9,953,238	-
SOCIAL SERVICES BLOCK GRANT	93.667		-	-	5,257,876		5,257,876	-
CHILD ABUSE AND NEGLECT STATE GRANTS	93.669		-	-	52,200		52,200	-
FAMILY VIOLENCE PREVENTION & SERVICES/GRANT FOR BATTERED WOMEN'S SHELTERS - GRANTS TO STATES & INDIAN TRIBES	93.671		-	-	741,653		741,653	-
CHAFEE FOSTER CARE INDEPENDENCE PROGRAM	93.674		-	-	1,315,252		1,315,252	-
STATE PUBLIC HEALTH APPROACHES FOR ENSURING OUTLINE CAPACITY - FUNDED IN PART BY 2012 PREVENTION & PUBLIC HEALTH FUNDS (PPHF-2012)	93.735		-	-	49,996		49,996	-

The accompanying notes are an integral part of this schedule.

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
U.S. Department of Health and Human Services (continued)								
PPHF: HEALTH CARE SURVEILLANCE/HEALTH STATISTICS - SURVEILLANCE PROGRAM ANNOUNCEMENT: BEHAVIORAL RISK FACTOR SURVEILLANCE SYSTEM FINANCED IN PART BY 2012 PREVENTION & PUBLIC HEALTH FUND (PPHF-2012)	93.745		-	-	93,459		93,459	-
CHILD LEAD POISONING PREVENTION SURVEILLANCE FINANCED IN PART BY PREVENTION AND PUBLIC HEALTH (PPHF) PROGRAM	93.753		-	-	398,005		398,005	63,965
STATE AND LOCAL PUBLIC HEALTH ACTIONS TO PREVENT OBESITY, DIABETES, HEART DISEASE AND STROKE (PPHF)	93.757		-	-	547,199		547,199	131,128
PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT FUNDED SOLELY WITH PREVENTION AND PUBLIC HEALTH FUNDS (PPHF)	93.758		-	-	1,172,126		1,172,126	346,059
ALZHEIMER'S DISEASE INITIATIVE: SPECIALIZED SUPPORTIVE SERVICE PROJECT (ADISS) THRU PREVENTION AND PUBLIC HEALTH FUNDS (PPHF)	93.763		-	-	146,050		146,050	146,050
CHILDREN'S HEALTH INSURANCE PROGRAM	93.767		-	-	45,076,312		45,076,312	-
MEDICARE - HOSPITAL INSURANCE	93.773		-	-	4,059,076		4,059,076	-
<u>MEDICAID CLUSTER</u>								
STATE MEDICAID FRAUD CONTROL UNITS	93.775		-	-	2,077,602		2,077,602	-
STATE SURVEY AND CERTIFICATION OF HEALTH CARE PROVIDERS & SUPPLIERS TITLE (XVIII) MEDICARE	93.777		-	-	1,377,034		1,377,034	-
MEDICAL ASSISTANCE PROGRAM	93.778		-	-	2,142,399,096		2,142,399,096	-
ARRA - MEDICAL ASSISTANCE PROGRAM	93.778		-	-	6,962,330		6,962,330	955,754
SUBTOTAL - MEDICAID CLUSTER						<u>2,152,816,062</u>		
CENTERS FOR MEDICARE & MEDICAID SERVICES (CMS) RESEARCH, DEMONSTRATIONS AND EVALUATIONS	93.779		-	-	125,416		125,416	125,416
OPIOD STR	93.788		-	-	1,190,031		1,190,031	-
MONEY FOLLOWS THE PERSON REBALANCING DEMONSTRATION	93.791		-	-	2,521,789		2,521,789	-
STATE SURVEY AND CERTIFICATION OF HEALTH CARE PROVIDERS & SUPPLIERS TITLE (XIX) MEDICAID	93.796		-	-	2,798,629		2,798,629	-
ORGANIZED APPROACHES TO INCREASE COLORECTAL SCREENING	93.800		-	-	612,753		612,753	352,354
INSURANCE MARKET REFORM GRANT	93.811		-	-	421,816		421,816	-
DOMESTIC EBOLA SUPPLEMENT TO THE EPIDEMIOLOGY AND LABORATORY CAPACITY FOR INFECTIOUS DISEASES (ELC)	93.815		-	-	474,343		474,343	-

The accompanying notes are an integral part of this schedule.

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
U.S. Department of Health and Human Services (continued)								
HOSPITAL PREPAREDNESS PROGRAM (HPP) EBOLA PREPAREDNESS AND RESPONSE ACTIVITIES	93.817		-	-	131,630		131,630	53,787
<u>MATERNAL, INFANT, AND EARLY CHILDHOOD HOME VISITING CLUSTER</u>								
MATERNAL, INFANT, AND EARLY CHILDHOOD HOME VISITING GRANT PROGRAM	93.870		-	-	1,860,822		1,860,822	1,407,861
SUBTOTAL - MATERNAL, INFANT, AND EARLY CHILDHOOD HOME VISITING CLUSTER						<u>1,860,822</u>		
CANCER PREVENTION AND CONTROL PROGRAMS FOR STATE, TERRITORIAL AND TRIBAL ORGANIZATIONS	93.898		-	-	1,296,847		1,296,847	159,911
HIV EMERGENCY RELIEF PROJECT GRANTS	93.914		-	-	23,592,124		23,592,124	17,896,175
HIV CARE FORMULA GRANTS	93.917		-	-	10,530,425		10,530,425	2,495,942
SCHOLARSHIPS FOR HEALTH PROFESSIONS STUDENTS FROM DISADVANTAGED BACKGROUNDS	93.925		-	253,502	-		253,502	-
HEALTHY START INITIATIVE	93.926		-	-	1,698,663		1,698,663	-
COOP AGREEMENTS TO SUPPORT COMPREHENSIVE SCHOOL HEALTH PROGRAM TO PREVENT THE SPREAD OF HIV AND OTHER IMPORTANT HEALTH PROBLEMS	93.938		-	-	212,154		212,154	-
HIV PREVENTION ACTIVITIES - HEALTH DEPARTMENT BASED	93.940		-	-	7,289,817		7,289,817	-
HUMAN IMMUNODEFICIENCY VIRUS (HIV)/ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) SURVEILLANCE	93.944		-	-	1,316,506		1,316,506	-
ASSISTANCE PROGRAMS FOR CHRONIC DISEASE PREVENTION & CONTROL	93.945		-	-	767,584		767,584	-
COOPERATIVE AGREEMENTS TO SUPPPORT STATE BASEDSAFE MOTHERHOOD AND INFANT HEALTH INITIATIVE PROGRAMS	93.946		-	-	417,200		417,200	-
BLOCK GRANTS FOR COMMUNITY MENTAL HEALTH SERVICES	93.958		-	-	1,206,547		1,206,547	-
BLOCK GRANTS FOR PREVENTION AND TREATMENT OF SUBSTANCE ABUSE	93.959		-	-	8,335,552		8,335,552	-
PREVENTIVE HEALTH SERVICES - SEXUALLY TRANSMITTED DISEASES CONTROL GRANTS	93.977		-	-	1,057,662		1,057,662	-
PREVENTIVE HEALTH & HEALTH SERVICES BLOCK GRANT	93.991		-	-	38,474		38,474	-
MATERNAL AND CHILD HEALTH SERVICES BLOCK GRANT TO THE STATES	93.994		-	-	8,186,555		8,186,555	-
Total U.S. Department of Health and Human Services			-	253,502	2,537,220,733	2,260,384,928	2,537,474,235	59,096,522

The accompanying notes are an integral part of this schedule.

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
Corporation for National and Community Service								
RETIRED AND SENIOR VOLUNTEER PROGRAM	94.002		-	-	199,585		199,585	68,606
STATE COMMISSIONS	94.003		-	-	236,799		236,799	-
AMERICORPS	94.006		-	-	3,532,105		3,532,105	3,532,105
TRAINING AND TECHNICAL ASSISTANCE	94.009		-	-	71,410		71,410	-
<u>FOSTER GRANDPARENT/SENIOR COMPANION CLUSTER</u>								
SENIOR COMPANION PROGRAM	94.016		-	-	268,814		268,814	-
SUBTOTAL - FOSTER GRANDPARENT/SENIOR COMPANION CLUSTER						268,814		
Total Corporation for National and Community Service			-	-	4,308,713	268,814	4,308,713	3,600,711
Social Security Administration								
<u>SOCIAL SECURITY DISABILITY INSURANCE CLUSTER</u>								
SOCIAL SECURITY DISABILITY INSURANCE	96.001		-	-	13,648,781		13,648,781	-
SUBTOTAL - SOCIAL SECURITY DISABILITY INSURANCE CLUSTER						13,648,781		
Total Social Security Administration			-	-	13,648,781	13,648,781	13,648,781	-
U.S. Department of Homeland Security								
NON-PROFIT SECURITY PROGRAM	97.008		-	-	1,057,297		1,057,297	1,057,297
BOATING SAFETY FINANCIAL ASSISTANCE	97.012		-	-	385,299		385,299	-
COMMUNITY ASSISTANCE PROGRAM STATE SUPPORT SERVICES ELEMENT (CAP-SSSE)	97.023		-	-	18,211		18,211	-
HAZARD MITIGATION GRANT	97.039		-	-	114,400		114,400	73,359
EMERGENCY MANAGEMENT PERFORMANCE GRANTS	97.042		-	-	3,902,358		3,902,358	-
ASSISTANCE TO FIREFIGHTERS GRANT	97.044		-	-	1,810,911		1,810,911	-
COOPERATING TECHNICAL PARTNERS	97.045		-	-	48,660		48,660	-
PRE-DISASTER MITIGATION	97.047		-	-	211,376		211,376	62,464
PORT SECURITY GRANT PROGRAM	97.056		-	-	188,607		188,607	-
HOMELAND SECURITY GRANT PROGRAM	97.067		-	-	57,096,595		57,096,595	43,514,013

The accompanying notes are an integral part of this schedule.

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by Federal Grantor

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Research and Development Cluster</i>	<i>Student Financial Assistance Cluster</i>	<i>Other</i>	<i>Cluster Total</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
U.S. Department of Homeland Security (continued)								
HOMELAND SECURITY-RELATED SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (HS STEM) CAREER DEVELOPMENT PROGRAM	97.104		97,698	-	-		97,698	-
SECURING THE CITIES PROGRAM	97.106		-	-	2,214,263		2,214,263	1,876,295
Total U.S. Department of Homeland Security			97,698	-	67,047,977	-	67,145,675	46,583,428
Total Expenditures of Federal Awards			\$ 9,038,187	\$ 32,478,155	\$ 3,978,159,660	\$ 3,117,412,865	\$ 4,019,676,002	\$ 319,966,889

The accompanying notes are an integral part of this schedule.

**Schedule II - Schedule of Expenditures
of Federal Awards by District Agency**

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by District Agency

Year Ended September 30, 2018

Federal Grantor / Pass-Through Grantor / Program or Cluster Title	Federal CFDA Number	Pass Through Entity Identifying Number	Total Federal Expenditures	Passed Through to Subrecipients
HUMAN SUPPORT SERVICES CLUSTER:				
Department of Health				
SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN (WIC)	10.557		\$ 12,076,072	\$ 3,049,007
STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM	10.561		1,601,502	239,694
COMMODITY SUPPLEMENTAL FOOD PROGRAM	10.565		404,840	404,840
WIC FARMERS' MARKET NUTRITION PROGRAM (FMNP)	10.572		194,034	-
SENIOR FARMERS' MARKET NUTRITION PROGRAM	10.576		142,132	-
HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS	14.241		10,020,439	9,818,868
CONTINUUM OF CARE PROGRAM	14.267		439,795	439,795
COMPENSATION AND WORKING CONDITIONS	17.005		87,400	-
STATE & TERRITORIAL & TECHNICAL ASSISTANCE CAPACITY DEVELOPMENT MINORITY HIV/AIDS DEMONSTRATION PROGRAM	93.006		492,015	-
HOSPITAL PREPAREDNESS PROGRAM (HPP) AND PUBLIC HEALTH EMERGENCY PREPAREDNESS (PHEP) ALIGNED COOPERATIVE AGREEMENTS	93.074		5,977,586	80,395
FOOD AND DRUG ADMINISTRATION RESEARCH	93.103		10,000	-
PROJECT GRANTS & COOP AGREEMENTS FOR TUBERCULOSIS CONTROL PROGRAMS	93.116		304,886	-
COOPERATIVE AGREEMENTS TO STATES/TERRITORIES FOR THE COORDINATION AND DEVELOPMENT OF PRIMARY CARE OFFICES	93.130		166,030	-
INJURY PREVENTION & CONTROL RESEARCH & STATE COMMUNITY BASED PROGRAM	93.136		1,080,209	44,610
GRANTS TO STATES FOR LOAN REPAYMENT PROGRAM	93.165		226,119	-
GRANTS TO STATES TO SUPPORT ORAL HEALTH WORKFORCE ACTIVITIES	93.236		386,149	-
UNIVERSAL NEWBORN HEARING SCREENING	93.251		267,438	-
IMMUNIZATION COOPERATIVE AGREEMENTS	93.268		2,234,366	66,293
ADULT VIRAL HEPATITIS PREVENTION AND CONTROL	93.270		168,355	25,178
NATIONAL STATE BASED TOBACCO CONTROL PROGRAM	93.305		604,325	-
EPIDEMIOLOGY AND LABORATORY CAPACITY FOR INFECTIOUS DISEASES (ELC)	93.323		2,112,543	-
BEHAVIORAL RISK FACTOR SURVEILLANCE SYSTEM	93.336		297,083	-
THE AFFORDABLE CARE ACT: BUILDING EPIDEMIOLOGY, LABORATORY, AND HEALTH INFORMATION SYSTEMS CAPACITY IN THE EPIDEMIOLOGY AND LABORATORY CAPACITY FOR INFECTIOUS DISEASE (ELC) AND EMERGING INFECTIONS PROGRAMS (EIP) COOPERATIVE AGREEMENTS; PPHF	93.521		312,956	-
STATE PUBLIC HEALTH APPROACHES FOR ENSURING OUTLINE CAPACITY - FUNDED IN PART BY 2012 PREVENTION & PUBLIC HEALTH FUNDS (PPHF-2012)	93.735		49,996	-
PPHF 2012: HEALTH CARE SURVEILLANCE/HEALTH STATISTICS - SURVEILLANCE PROGRAM ANNOUNCEMENT: BEHAVIORAL RISK FACTOR SURVEILLANCE SYSTEM FINANCED IN PART BY 2012 PREVENTION & PUBLIC HEALTH FUNDS (PPHF-2012)	93.745		93,459	-
STATE AND LOCAL PUBLIC HEALTH ACTIONS TO PREVENT OBESITY, DIABETES, HEART DISEASE AND STROKE (PPHF)	93.757		547,199	131,128
PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT FUNDED SOLELY WITH PREVENTION AND PUBLIC HEALTH FUNDS (PPHF)	93.758		1,172,126	346,059
STATE SURVEY AND CERTIFICATION OF HEALTH CARE PROVIDERS & SUPPLIERS TITLE (XVIII) MEDICARE	93.777		1,377,034	-
STATE SURVEY AND CERTIFICATION OF HEALTH CARE PROVIDERS & SUPPLIERS TITLE (XIX) MEDICAID	93.796		2,798,629	-
ORGANIZED APPROACHES TO INCREASE COLORECTAL SCREENING	93.800		612,753	352,354
DOMESTIC EBOLA SUPPLEMENT TO THE EPIDEMIOLOGY AND LABORATORY CAPACITY FOR INFECTIOUS DISEASES (ELC)	93.815		474,343	-
HOSPITAL PREPAREDNESS PROGRAM (HPP) EBOLA PREPAREDNESS AND RESPONSE ACTIVITIES	93.817		131,630	53,787
MATERNAL, INFANT, AND EARLY CHILDHOOD HOME VISITING GRANT PROGRAM	93.870		1,860,822	1,407,861
CANCER PREVENTION AND CONTROL PROGRAMS FOR STATE, TERRITORIAL AND TRIBAL ORGANIZATIONS	93.898		1,296,847	159,911
HIV EMERGENCY RELIEF PROJECT GRANTS	93.914		23,592,124	17,896,175
HIV CARE FORMULA GRANTS	93.917		10,530,425	2,495,942
HEALTHY START INITIATIVE	93.926		1,698,663	-
HIV PREVENTION ACTIVITIES HEALTH DEPARTMENT BASED	93.940		7,289,817	-
HUMAN IMMUNODEFICIENCY VIRUS (HIV)/ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) SURVEILLANCE	93.944		1,316,506	-
ASSISTANCE PROGRAMS FOR CHRONIC DISEASE PREVENTION & CONTROL	93.945		767,584	-
COOPERATIVE AGREEMENTS TO SUPPORT STATE BASED SAFE MOTHERHOOD AND INFANT HEALTH INITIATIVE PROGRAMS	93.946		417,200	-

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by District Agency

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
HUMAN SUPPORT SERVICES CLUSTER:				
Department of Health (continued)				
PREVENTIVE HEALTH SVCS_SEXUALLY TRANSMITTED DISEASES CONTROL GRANTS	93.977		1,057,662	-
PREVENTIVE HEALTH & HEALTH SERVICES BLOCK GRANT	93.991		38,474	-
MATERNAL AND CHILD HEALTH SERVICES BLOCK GRANT TO THE STATES	93.994		8,186,555	-
Total Department of Health			104,916,122	37,011,897
Office of Human Rights				
FAIR HOUSING ASSISTANCE PROGRAM_STATE AND LOCAL	14.401		100,330	-
EMPLOYMENT DISCRIMINATION_TITLE VII OF THE CIVIL RIGHTS ACT OF 1964	30.001		116,713	-
Total Office of Human Rights			217,043	-
Department of Health Care Finance				
CHILDREN'S HEALTH INSURANCE PROGRAM	93.767		45,076,312	-
MEDICAL ASSISTANCE PROGRAM	93.778		2,113,878,908	-
ARRA - MEDICAL ASSISTANCE PROGRAM	93.778		6,962,330	955,754
MONEY FOLLOWS THE PERSON REBALANCING DEMONSTRATION	93.791		2,521,789	-
Total Department of Health Care Finance			2,168,439,339	955,754
Department of Human Services				
SNAP INTEGRITY GRANT	10.535		87,000	-
SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM (SNAP) - FOOD STAMPS	10.551		188,659,803	-
STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM	10.561		25,199,673	-
SHELTER PLUS CARE	14.238		5,053,912	-
VETERANS AFFAIRS MEDICAL CENTER	64.009		1,005,231	-
SPECIAL PROGRAMS FOR THE AGING - TITLE IV & TITLE II - DISCRETIONARY PROJECTS	93.048		62,666	-
TEMPORARY ASSISTANCE FOR NEEDY FAMILIES	93.558		85,313,238	-
REFUGEE & ENTRANT ASSISTANCE - STATE ADMINISTERED	93.566		1,925,328	-
COMMUNITY SERVICE BLOCK GRANT	93.569		11,261,780	10,719,070
SOCIAL SERVICES BLOCK GRANT	93.667		5,257,876	-
FAMILY VIOLENCE PREVENTION & SERVICES/GRANT FOR BATTERED WOMEN'S SHELTERS - GRANTS TO STATES & INDIAN TRIBES	93.671		741,653	-
MEDICAL ASSISTANCE PROGRAM	93.778		11,967,039	-
Total Department of Human Services			336,535,199	10,719,070
Department on Disability Services				
REHABILITATION SERVICES - VOCATIONAL REHABILITATION GRANTS TO STATES	84.126		13,626,452	-
REHABILITATION SERVICES - INDEPENDENT LIVING SERVICES - OLDER INDIVIDUALS WHO ARE BLIND	84.177		231,416	-
SUPPORTED EMPLOYMENT SERVICES FOR INDIVIDUALS WITH THE MOST SIGNIFICANT DISABILITIES	84.187		181,755	-
SPECIAL PROGRAMS FOR THE AGING - TITLE IV & TITLE III - DISCRETIONARY PROJECTS	93.048		649,905	-
ACL INDEPENDENT LIVING STATE GRANTS	93.369		326,647	-
ACL ASSISTIVE TECHNOLOGY	93.464		344,102	-
DEVELOPMENTAL DISABILITIES PROJECTS OF NATIONAL SIGNIFICANCE	93.631		281,281	-
MEDICAL ASSISTANCE PROGRAM	93.778		13,195,989	-
SOCIAL SECURITY DISABILITY INSURANCE	96.001		13,648,781	-
Total Department on Disability Services			42,486,328	-
Office on Disability Rights				
DEVELOPMENTAL DISABILITIES BASIC SUPPORT AND ADVOCACY GRANTS	93.630		447,073	-
Total Office on Disability Rights			447,073	-

The accompanying notes are an integral part of this schedule.

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by District Agency

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
HUMAN SUPPORT SERVICES CLUSTER:				
Child and Family Services				
GUARDIANSHIP ASSISTANCE	93.090		2,794,473	-
PROMOTING SAFE AND STABLE FAMILIES	93.556		909,895	-
COMMUNITY-BASED CHILD ABUSE PREVENTION GRANTS	93.590		200,582	-
CHAFEE EDUCATION AND TRAINING VOUCHERS PROGRAM (ETV)	93.599		121,882	-
ADOPTION AND LEGAL GUARDIANSHIP PROGRAM	93.603		457,000	-
CHILDREN'S JUSTICE GRANTS TO STATES	93.643		37,849	-
CHILD WELFARE - SERVICES - STATE GRANTS	93.645		408,019	-
ADOPTION OPPORTUNITIES	93.652		457,671	-
FOSTER CARE - TITLE IV-E	93.658		43,844,733	-
ADOPTION ASSISTANCE - TITLE IV-E	93.659		9,953,238	-
CHILD ABUSE AND NEGLECT STATE GRANTS	93.669		52,200	-
CHAFEE FOSTER CARE INDEPENDENCE PROGRAM	93.674		1,315,252	-
Total Child and Family Services			60,552,794	-
Department of Behavioral Health				
CONTINUUM OF CARE PROGRAM	14.267		246,675	-
CRIMINAL AND JUVENILE JUSTICE AND MENTAL HEALTH COLLABORATION PROGRAM	16.745		63,741	-
COMPREHENSIVE COMMUNITY MENTAL HEALTH SERVICES FOR CHILDREN WITH SERIOUS EMOTIONAL DISTURBANCES (SED)	93.104		797,779	-
PROJECTS FOR ASSISTANCE IN TRANSITION FROM HOMELESSNESS (PATH)	93.150		226,361	-
SUBSTANCE ABUSE MENTAL HEALTH SERVICES (SAMHS) - PROJECTS OF REGIONAL AND NATIONAL SIGNIFICANCE	93.243		5,906,791	-
MEDICARE - HOSPITAL INSURANCE	93.773		4,059,076	-
MEDICAL ASSISTANCE PROGRAM	93.778		1,137,018	-
OPIOID STR	93.788		1,190,031	-
BLOCK GRANTS FOR COMMUNITY MENTAL HEALTH SERVICES	93.958		1,206,547	-
BLOCK GRANTS FOR PREVENTION AND TREATMENT OF SUBSTANCE ABUSE	93.959		8,335,552	-
Total Department of Behavioral Health			23,169,571	-
PRIMARY & SECONDARY EDUCATION CLUSTER:				
District of Columbia Public Schools				
LANGUAGE GRANT PROGRAM	12.900		89,135	-
DC SCHOOL CHOICE INCENTIVE PROGRAM	84.370		22,118,485	-
TEACHER INCENTIVE FUND	84.374		1,619,300	-
HEAD START	93.600		14,796,665	-
COOP AGREEMENTS TO SUPPORT COMPREHENSIVE SCHOOL HEALTH PROGRAM TO PREVENT THE SPREAD OF HIV AND OTHER IMPORTANT HEALTH PROBLEMS	93.938		212,154	-
Total District of Columbia Public Schools			38,835,739	-
Office of the State Superintendent of Education				
SCHOOL BREAKFAST PROGRAM	10.553		12,318,886	12,318,886
NATIONAL SCHOOL LUNCH PROGRAM	10.555		30,057,037	30,057,037
SPECIAL MILK PROGRAM FOR CHILDREN	10.556		840,077	2,457
CHILD AND ADULT CARE FOOD PROGRAM	10.558		11,922,325	11,750,190
SUMMER FOOD SERVICE PROGRAM FOR CHILDREN	10.559		1,872,957	1,791,003
STATE ADMINISTRATIVE EXPENSES FOR CHILD NUTRITION	10.560		78,682	-
NUTRITION, EDUCATION AND TRAINING PROGRAM	10.564		1,055,884	1,055,884
EMERGENCY FOOD ASSISTANCE PROGRAM (ADMINISTRATIVE COST)	10.568		182,358	134,762
CHILD NUTRITION DISCRETIONARY GRANTS LIMITED AVAILABILITY, NON-CASH AWARD	10.579		2,756,588	-
FRESH FRUIT AND VEGETABLE PROGRAM	10.582		1,459,378	1,386,043
ADULT EDUCATION - BASIC GRANTS TO STATES	84.002		1,220,374	1,176,745
TITLE I GRANTS TO LOCAL EDUCATIONAL AGENCIES (LEA)	84.010		44,512,410	43,616,766
TITLE I STATE AGENCY PROGRAM FOR NEGLECTED & DELINQUENT CHILDREN	84.013		124,611	123,876
SPECIAL EDUCATION - GRANT TO STATES	84.027		20,493,287	17,185,454
CAREER & TECHNICAL EDUCATION - BASIC GRANTS TO STATES	84.048		3,730,750	3,202,722
SPECIAL EDUCATION - PRESCHOOL GRANTS	84.173		231,251	187,253
SPECIAL EDUCATION GRANTS FOR INFANTS - FAMILIES	84.181		2,435,467	513,924

The accompanying notes are an integral part of this schedule.

Government of the District of Columbia

Schedule of Expenditures of Federal Awards by District Agency

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
PRIMARY & SECONDARY EDUCATION CLUSTER:				
Office of the State Superintendent of Education (continued)				
EDUCATION FOR HOMELESS CHILDREN AND YOUTH	84.196		300,721	229,448
CHARTER SCHOOLS	84.282		2,676,578	2,498,991
21ST CENTURY COMMUNITY LEARNING CENTERS - AFTER SCHOOL	84.287		7,804,933	7,684,853
ENGLISH LANGUAGE ACQUISITION	84.365		1,369,719	1,335,201
MATHEMATICS & SCIENCE PARTNERSHIP	84.366		711,857	692,039
IMPROVING TEACHER QUALITY STATE GRANTS	84.367		9,090,567	8,726,293
GRANTS FOR STATE ASSESSMENTS & RELATED ACTIVITIES	84.369		2,909,635	-
DC SCHOOL CHOICE INCENTIVE PROGRAM	84.370		27,431,725	26,530,712
SCHOOL IMPROVEMENT GRANTS	84.377		1,409,518	1,307,576
STUDENT SUPPORT AND ACADEMIC ENRICHMENT GRANTS	84.424		1,733,690	1,656,090
COOPERATIVE AGREEMENTS TO PROMOTE ADOLESCENT HEALTH THROUGH SCHOOL-BASED HIV/STD PREVENTION AND SCHOOL-BASED SURVEILLANCE	93.079		367,941	66,657
AFFORDABLE CARE ACT PERSONAL RESPONSIBILITY EDUCATION PROGRAM	93.092		210,757	91,903
CHILD CARE & DEVELOPMENT BLOCK GRANT - DISCRETIONARY	93.575		11,034,422	10,720,576
CHILD CARE MANDATORY AND MATCHING FUNDS OF THE CHILD CARE AND DEVELOPMENT FUND	93.596		2,911,593	-
HEAD START	93.600		1,378,814	1,085,617
Total Office of the State Superintendent of Education			206,634,792	187,128,958
University of the District of Columbia				
AGRICULTURAL RESEARCH, BASIC AND APPLIED RESEARCH	10.001		26,120	-
SPECIALTY CROP BLOCK GRANT PROGRAM - FARM BILL	10.170		90,732	-
PAYMENTS TO AGRICULTURAL EXPERIMENT STATIONS UNDER THE HATCH ACT	10.203		749,341	-
COOPERATIVE EXTENSION SERVICE	10.500		1,606,618	-
PARTNERSHIP AGREEMENTS	10.699		4,744	-
SCIENCE, TECHNOLOGY, BUSINESS AND/OR EDUCATION OUTREACH	11.620		16,750	-
MILITARY MEDICAL RESEARCH AND DEVELOPMENT	12.420		15,943	-
BASIC, APPLIED, AND ADVANCED RESEARCH IN SCIENCE AND ENGINEERING	12.630		142,310	-
ASSISTANCE TO WATER RESOURCES RESEARCH INSTITUTES	15.805		50,916	-
TRADE ADJUSTMENT ASSISTANCE COMMUNITY COLLEGE AND CAREER TRAINING (TAACCCT) GRANTS	17.282		809,802	-
LOW-INCOME TAXPAYER CLINICS	21.008		96,761	-
EDUCATION	43.008		33,261	-
COMPUTER AND INFORMATION SCIENCE AND ENGINEERING	47.070		22,087	-
EDUCATION AND HUMAN RESOURCES	47.076		956,862	-
NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) MINORITY SERVING INSTITUTION (MSI) PROGRAM	81.123		199,140	-
FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANTS (SEOG)	84.007		624,653	-
HIGHER EDUCATION - INSTITUTIONAL AID	84.031		5,460,804	-
FEDERAL WORK-STUDY PROGRAM	84.033		226,031	-
TRIO - TALENT SEARCH	84.044		411,795	-
TRIO - UPWARD BOUND	84.047		274,348	-
FEDERAL PELL GRANT PROGRAM	84.063		7,594,524	-
FEDERAL DIRECT STUDENT LOANS	84.268		23,779,445	-
SUBSTANCE ABUSE MENTAL HEALTH SERVICES (SAMHS)_PROJECTS OF REGIONAL AND NATIONAL SIGNIFICANCE	93.243		270,045	-
NATIONAL CENTER FOR ADVANCING TRANSLATIONAL SCIENCES	93.350		22,326	-
COMMUNITY SERVICES BLOCK GRANT_DISCRETIONARY AWARDS	93.570		17,759	-
SCHOLARSHIPS FOR HEALTH PROFESSIONS STUDENTS FROM DISADVANTAGED BACKGROUNDS	93.925		253,502	-
SENIOR COMPANION PROGRAM	94.016		268,814	-
HOMELAND SECURITY-RELATED SCIENCE, TECHNOLOGY, ENGINEERING AND MATHEMATICS (HS STEM) CAREER DEVELOPMENT PROGRAM	97.104		97,698	-
Total University of the District of Columbia			44,123,131	-

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by District Agency

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
GOVERNMENT SERVICES CLUSTER:				
Department of Transportation				
FOREST HEALTH PROTECTION	10.680		23,246	-
HIGHWAY RESEARCH AND DEVELOPMENT PROGRAM	20.200		5,404,636	-
HIGHWAY PLANNING AND CONSTRUCTION	20.205		233,319,191	-
HIGHWAY TRAINING AND EDUCATION	20.215		272,888	-
RECREATIONAL TRAILS PROGRAM	20.219		111,790	-
ARRA - HIGH-SPEED RAIL CORRIDORS AND INTERCITY PASSENGER RAIL SERVICE - CAPITAL ASSISTANCE GRANTS	20.319		(7,900)	-
METROPOLITAN TRANSPORTATION PLANNING	20.505		406,346	-
ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS WITH DISABILITIES	20.513		78,833	-
STATE AND COMMUNITY HIGHWAY SAFETY	20.600		4,485,386	-
NATIONAL INFRASTRUCTURE INVESTMENTS	20.933		1,187,710	-
Total Department of Transportation			245,282,126	-
District Department of the Environment				
PESTICIDE APPLICATOR TRAINING	10.025		1,946	-
ATLANTIC COASTAL FISHERIES COOPERATIVE MANAGEMENT ACT	11.474		(551)	-
STATE MEMORANDUM OF AGREEMENT PROGRAM FOR THE REIMBURSEMENT OF TECHNICAL SERVICES	12.113		330,447	-
SPORT FISH RESTORATION PROGRAM	15.605		1,819,859	30,812
STATE WILDLIFE GRANTS	15.634		113,731	6,072
AIR POLLUTION CONTROL PROGRAM SUPPORT	66.001		863,493	-
STATE INDOOR RADON GRANTS	66.032		88,618	-
SURVEYS, STUDIES, INVESTIGATIONS ACTIVITIES RELATING TO THE CLEAN AIR ACT	66.034		69,070	-
MULTI PURPOSE GRANTS TO STATES AND TRIBES	66.204		48,980	-
CONSTRUCTION GRANTS FOR WASTEWATER TREATMENT WORKS	66.418		6,707,684	403,251
WATER POLLUTION CONTROL STATE, INTERSTATE, TRIBAL PROGRAM SUPPORT	66.419		1,393,066	70,000
WATER QUALITY MANAGEMENT PLANNING	66.454		100,000	60,000
NONPOINT SOURCE IMPLEMENTATION GRANTS	66.460		931,527	403,129
CHESAPEAKE BAY PROGRAM	66.466		2,860,921	1,231,703
CAPITALIZATION GRANTS FOR DRINKING WATER STATE REVOLVING FUNDS	66.468		24,992	-
PERFORMANCE PARTNERSHIP GRANTS	66.605		188,038	-
POLLUTION PREVENTION GRANTS PROGRAM	66.708		593,260	-
SOURCE REDUCTION ASSISTANCE	66.717		74,248	74,248
HAZARDOUS WASTE MANAGEMENT STATE PROGRAM SUPPORT	66.801		254,904	-
UNDERGROUND STORAGE TANK PREVENTION, DETECTION & COMPLIANCE PROGRAM	66.804		906,740	-
SUPERFUND STATE AND TRIBE CORE PROGRAM COOP AGREEMENTS	66.809		21,689	-
STATE AND TRIBAL RESPONSE PROGRAM GRANTS	66.817		275,650	-
STATE ENERGY PROGRAM	81.041		210,655	35,000
WEATHERIZATION ASSISTANCE FOR LOW-INCOME PERSONS	81.042		575,230	402,121
STATE HEATING OIL AND PROPANE PROGRAM	81.138		6,900	-
LOW INCOME HOME ENERGY ASSISTANCE	93.568		11,061,824	9,087,752
CHILD LEAD POISONING PREVENTION SURVEILLANCE FINANCED IN PART BY PREVENTION AND PUBLIC HEALTH (PPHF) PROGRAM	93.753		398,004	63,965
COMMUNITY ASSISTANCE PROGRAM STATE SUPPORT SERVICES ELEMENT (CAP-SSSE)	97.023		18,211	-
COOPERATING TECHNICAL PARTNERS	97.045		48,660	-
Total District Department of the Environment			29,987,796	11,868,053
GOVERNMENT OPERATIONS CLUSTER:				
Office of the Mayor				
RETIRED AND SENIOR VOLUNTER PROGRAM	94.002		199,585	68,606
STATE COMMISSIONS	94.003		236,799	-
AMERICORPS	94.006		3,532,105	3,532,105
TRAINING AND TECHNICAL ASSISTANCE	94.009		71,410	-
Total Office of the Mayor			4,039,899	3,600,711

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by District Agency

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
GOVERNMENT OPERATIONS CLUSTER:				
Office of the Inspector General				
STATE MEDICAID FRAUD CONTROL UNITS	93.775		2,077,602	-
Total Office of the Inspector General			2,077,602	-
Office on Aging				
SENIOR FARMER MARKET NUTRITION PROGRAM	10.576		83,608	75,480
SPECIAL PROGRAMS FOR THE AGING - TITLE VII, CHAPTER 3 - PROGRAMS FOR PREVENTION OF ELDER ABUSE, NEGLECT, AND EXPLOITATION	93.041		23,660	23,660
SPECIAL PROGRAMS FOR THE AGING - TITLE VII, CHAPTER 2 - LONG TERM CARE OMBUDSMAN SERVICES FOR OLDER INDIVIDUALS	93.042		205,267	205,267
SPECIAL PROGRAMS FOR THE AGING - TITLE III, PART B - GRANTS FOR SUPPORTIVE SERVICES AND SENIOR CENTERS	93.044		2,203,842	1,800,366
SPECIAL PROGRAMS FOR THE AGING - TITLE III, PART C - NUTRITION SERVICES	93.045		3,587,355	-
ALZHEIMER'S DISEASE DEMONSTRATION GRANTS TO STATES	93.051		16,594	-
NATIONAL FAMILY CAREGIVERS SUPPORT TITLE III PART E	93.052		936,838	936,838
NUTRITION SERVICES INCENTIVE PROGRAM	93.053		657,594	-
AFFORDABLE CARE ACT - MEDICARE IMPROVEMENTS FOR PATIENTS AND PROVIDERS	93.518		7,938	7,938
ALZHEIMER'S DISEASE INITIATIVE: SPECIALIZED SUPPORTIVE SERVICE PROJECT (ADISS) THRU PREVENTION AND PUBLIC HEALTH FUNDS (PPHF)	93.763		146,050	146,050
MEDICAL ASSISTANCE PROGRAM	93.778		2,035,767	-
CENTERS FOR MEDICARE & MEDICAID SERVICES (CMS) RESEARCH , DEMONSTRATIONS AND EVALUATIONS	93.779		125,416	125,416
Total Office on Aging			10,029,929	3,321,015
Office of the Attorney General				
SMART PROSECUTION INITIATIVE	16.825		132,632	-
CHILD SUPPORT ENFORCEMENT PROGRAM	93.563		18,036,725	-
CHILD SUPPORT ENFORCEMENT RESEARCH	93.564		47,526	-
GRANTS TO STATES FOR ACCESS AND VISITATION PROGRAM	93.597		103,589	-
Total Office of the Attorney General			18,320,472	-
DC Public Library				
GRANTS TO STATES	45.310		931,621	-
NATIONAL LEADERSHIP GRANTS	45.312		108,453	20,000
Total DC Public Library			1,040,074	20,000
Department of Employment Services				
LABOR FORCE STATISTICS	17.002		579,772	-
REGISTERED APPRENTICESHIP	17.201		111,206	-
EMPLOYMENT SERVICE/WAGNER-PEYSER FUNDED ACTIVITIES	17.207		2,362,235	-
UNEMPLOYMENT INSURANCE	17.225		141,695,139	-
ARRA - UNEMPLOYMENT INSURANCE	17.225		400,895	-
SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM	17.235		420,935	-
TRADE ADJUSTMENT ASSISTANCE	17.245		62	-
WIOA ADULT PROGRAM	17.258		2,779,653	-
WIOA YOUTH ACTIVITIES	17.259		3,143,703	-
WORK OPPORTUNITY TAX CREDIT PROGRAM (WOTC)	17.271		82,406	-
TEMPORARY LABOR CERTIFICATION FOR FOREIGN WORKERS	17.273		9,973	-
WIOA DISLOCATED WORKER FORMULA GRANTS	17.278		4,165,814	-
WORKFORCE INVESTMENT ACT (WIA) DISLOCATED WORKER NATIONAL RESERVE TECHNICAL ASSISTANCE TRAINING	17.281		1,812	-
CONSULTATION AGREEMENTS	17.504		549,700	-
DISABLED VETERANS OUTREACH PROGRAM	17.801		297,823	-
LOCAL VETERANS EMPLOYMENT REPRESENTATIVE	17.804		222,471	-
Total Department of Employment Services			156,823,599	-

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by District Agency

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
GOVERNMENT OPERATIONS CLUSTER:				
Board of Election and Ethics				
HELP AMERICA VOTE ACT REQUIREMENTS PAYMENTS	90.401		995,591	-
HELP AMERICA VOTE ACT ELECTION SECURITY GRANT	90.404		399,400	-
Total Board of Election and Ethics			1,394,991	-
Office of the Chief Technology Officer				
STATE AND LOCAL IMPLEMENTATION GRANT PROGRAM	11.549		10,310	-
Total Office of the Chief Technology Officer			10,310	-
PUBLIC SAFETY & JUSTICE CLUSTER:				
Homeland Security / Emergency Management				
NON-PROFIT SECURITY PROGRAM	97.008		1,057,297	1,057,297
HAZARD MITIGATION GRANT	97.039		114,400	73,359
EMERGENCY MANAGEMENT PERFORMANCE GRANTS	97.042		3,902,358	-
PRE-DISASTER MITIGATION	97.047		211,376	62,464
PORT SECURITY PROGRAM GRANT	97.056		177,854	-
HOMELAND SECURITY GRANT PROGRAM	97.067		57,096,595	43,514,013
SECURING THE CITIES PROGRAM	97.106		2,214,263	1,876,295
Total Homeland Security / Emergency Management			64,774,143	46,583,428
Metropolitan Police Department				
NATIONAL CRIMINAL HISTORY IMPROVEMENT PROGRAM (NCHIP)	16.554		279,890	-
PUBLIC SAFETY PARTNERSHIP & COMMUNITY POLICING GRANTS	16.710		1,108,208	-
EDWARD BYRNE MEMORIAL COMPETITIVE GRANT PROGRAM	16.751		409,626	-
NATIONAL MOTOR CARRIER SAFETY	20.218		703,460	-
SAFETY DATA IMPROVEMENT PROGRAM	20.234		2,390	-
BOATING SAFETY FINANCIAL ASSISTANCE	97.012		385,299	-
Total Metropolitan Police Department			2,888,873	-
Fire and Emergency Medical Services				
RAIL FIXED GUIDEWAY PUBLIC TRANSPORTATION SYSTEM STATE SAFETY OVERSIGHT FORMULA GRANT PROGRAM	20.528		141,297	-
CHESAPEAKE BAY PROGRAM - NATIONAL FISH AND WILDLIFE FOUNDATION	66.466	NFWF12-12	38,000	-
ASSISTANCE TO FIREFIGHTERS GRANT	97.044		1,810,911	-
PORT SECURITY GRANT PROGRAM	97.056		10,753	-
Total Fire and Emergency Medical Services			2,000,961	-
Criminal Justice Coordinating Council				
STATE JUSTICE STATISTICS PROGRAM FOR STATISTICAL ANALYSIS CENTERS	16.550		150,000	-
Total Criminal Justice Coordinating Council			150,000	-
DC National Guard				
NATIONAL GUARD MILITARY OPERATIONS AND MAINTENANCE (O&M) PROJECTS	12.401		5,235,584	-
NATIONAL GUARD CHALLENGE PROGRAM	12.404		2,247,926	-
Total DC National Guard			7,483,510	-
Department of Corrections				
SECOND CHANCE ACT PRISONER REENTRY INITIATIVE	16.812		100,000	-
Total Department of Corrections			100,000	-

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by District Agency

Year Ended September 30, 2018

Federal Grantor / Pass-Through Grantor / Program or Cluster Title	Federal CFDA Number	Pass Through Entity Identifying Number	Total Federal Expenditures	Passed Through to Subrecipients
PUBLIC SAFETY & JUSTICE CLUSTER:				
Office of Justice Grants Administration/Office of Victim Services				
SEXUAL ASSAULT SERVICES FORMULA PROGRAM	16.017		569,623	566,800
JUVENILE JUSTICE AND DELINQUENCY PREVENTION - ALLOCATION TO STATES	16.540		330,887	228,194
CRIME VICTIM ASSISTANCE PROGRAM	16.575		5,379,894	5,231,554
CRIME VICTIM ASSISTANCE/DISCRETIONARY GRANTS	16.582		487,152	390,841
VIOLENCE AGAINST WOMEN FORMULA GRANTS	16.588		828,445	474,796
GRANTS TO ENCOURAGE ARREST POLICIES & ENFORCEMENT OF PROTECT ORDERS	16.590		34,447	29,573
RESIDENTIAL SUBSTANCE ABUSE TREATMENT FOR STATE PRISONERS	16.593		61,784	-
PREA PROGRAM: DEMONSTRATION PROJECTS TO ESTABLISH "ZERO TOLERANCE"				
CULTURES FOR SEXUAL ASSAULT IN CORRECTIONAL FACILITIES	16.735		17,500	-
EDWARD BYRNE MEMORIAL JUSTICE ASSISTANCE GRANT PROGRAM	16.738		974,019	813,587
PAUL COVERDELL FORENSIC SCIENCES IMPROVEMENT GRANT PROGRAM	16.742		74,777	-
EDWARD BYRNE MEMORIAL COMPETITIVE GRANT PROGRAM	16.751		132,180	-
BYRNE CRIMINAL JUSTICE INNOVATION PROGRAM	16.817		40,264	-
VISION 21	16.826		426,071	406,654
Total Office of Justice Grants Administration/Office of Victim Services			9,357,043	8,141,999
Department of Forensics Sciences				
FORENSIC DNA BACKLOG REDUCTION PROGRAM	16.741		467,308	-
Total Department of Forensics Sciences			467,308	-
Office of Administrative Hearing				
MEDICAL ASSISTANCE PROGRAM	93.778		184,375	-
Total Office of Administrative Hearing			184,375	-
ECONOMIC DEVELOPMENT AND REGULATION CLUSTER:				
Office of Municipal Planning				
HISTORIC PRESERVATION FUND GRANTS-IN-AID	15.904		666,505	125,530
Total Office of Municipal Planning			666,505	125,530
Commission on Arts & Humanities				
PROMOTION OF THE ARTS - PARTNERSHIP AGREEMENTS	45.025		709,881	-
Total Commission on Arts & Humanities			709,881	-
Department of Housing and Community Development				
COMMUNITY DEVELOPMENT BLOCK GRANTS /ENTITLEMENT GRANTS (CDBG)	14.218		22,050,507	10,211,803
COMMUNITY DEVELOPMENT BLOCK GRANTS/ENTITLEMENT GRANTS (CDBG), OUTSTANDING LOAN				
BEGINNING BALANCE	14.218		285,354,340	-
HOME INVESTMENT PARTNERSHIP PROGRAM (HOME)	14.239		7,614,136	-
HOME INVESTMENT PARTNERSHIPS PROGRAM (HOME), OUTSTANDING LOAN BEGINNING BALANCE	14.239		118,145,766	-
LEAD HAZARD REDUCTION DEMONSTRATION GRANT PROGRAM	14.905		435,296	278,671
Total Department of Housing and Community Development			433,600,045	10,490,474
Public Service Commission				
PIPELINE SAFETY PROGRAM STATE BASE GRANT	20.700		401,932	-
Total Public Service Commission			401,932	-
Deputy Mayor for Economic Development				
COMMUNITY ECONOMIC ADJUSTMENT ASSISTANCE FOR ESTABLISHMENT, EXPANSION,				
REALIGNMENT, OR CLOSURE OF A MILITARY INSTALLATION	12.607		262,276	-
SPORTFISHING AND BOATING SAFETY ACT	15.622		(67,977)	-
Total Deputy Mayor for Economic Development			194,299	-
Department of Small & Local Business Development				
PROCUREMENT TECHNICAL ASSISTANCE FOR BUSINESS FIRMS	12.002		420,750	-
Total Department of Small & Local Business Development			420,750	-

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Government of the District of Columbia

Schedule of Expenditures of Federal Awards by District Agency

Year Ended September 30, 2018

<i>Federal Grantor / Pass-Through Grantor / Program or Cluster Title</i>	<i>Federal CFDA Number</i>	<i>Pass Through Entity Identifying Number</i>	<i>Total Federal Expenditures</i>	<i>Passed Through to Subrecipients</i>
<u>ECONOMIC DEVELOPMENT AND REGULATION CLUSTER:</u>				
Department of Insurance, Securities and Banking				
AFFORDABLE CARE ACT (ACA) GRANTS TO STATES FOR HEALTH INSURANCE PREMIUM REVIEW	93.511		144,699	-
INSURANCE MARKET REFORM GRANT	93.811		421,816	-
Total Department of Insurance, Securities and Banking			566,515	-
<u>OFFICE OF THE CHIEF FINANCIAL OFFICE CLUSTER:</u>				
Office of the Chief Financial Officer				
STATE ADMINISTRATIVE MATCHING GRANTS FOR THE SUPPLEMENTAL NUTRITION	10.561		345,933	-
Total Office of the Chief Financial Officer			345,933	-
Total Expenditures of Federal Awards			\$ 4,019,676,002	\$ 319,966,889

The accompanying notes are an integral part of this schedule.

Government of the District of Columbia

Notes to Schedules of Expenditures of Federal Awards Year Ended September 30, 2018

1. Summary of Significant Accounting Policies

Reporting Entity

The Schedules of Expenditures of Federal Awards (the “Schedules” or the “SEFA”) include the activity of all federal award programs administered by the Government of the District of Columbia (the “District”), except for the District of Columbia Housing Finance Agency (HFA), for the fiscal year ended September 30, 2018. This component unit engaged other auditors to perform an audit in accordance with Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance), and, as such the federal awards for this entity are excluded from the Schedules.

Federal award programs include direct expenditures, monies passed through to nonstate agencies (i.e., payments to subrecipients), nonmonetary assistance, and loan programs.

Basis of Presentation

The Schedules present total federal awards expended for each individual federal program in accordance with the Uniform Guidance. Federal award program titles are reported as presented in the Catalog of Federal Domestic Assistance (Catalog). Federal award program titles not presented in the Catalog are identified by Federal awarding agency’s two digit prefix (or 99) followed by (contract number or UNKNOWN).

Basis of Accounting

The expenditures for each of the federal award programs are presented in the Schedules on a modified accrual basis. The modified accrual basis of accounting incorporates an estimation approach to determine the amount of expenditures incurred if not yet billed by a vendor. Thus, those Federal programs presenting negative amounts on the Schedules are the result of prior year estimates being overstated and/or reimbursements due back to the grantor.

Matching Costs

Matching costs, the nonfederal share of certain programs costs, are not included in the Schedules.

2. Relationship to Federal Financial Reports

The regulations and guidelines governing the preparation of Federal financial reports vary by Federal agency and among programs administered by the same agency. Accordingly, the amounts reported in the Federal financial reports do not necessarily agree with the amounts reported in the accompanying Schedules, which are prepared on the basis explained in Note 1.

3. Indirect Cost Rate

The District did not elect to use the 10-percent de minimis indirect cost rate allowed under the Uniform Guidance.

Government of the District of Columbia

Notes to Schedules of Expenditures of Federal Awards Year Ended September 30, 2018

4. Federally Funded Loan Programs

Community Development Block Grants (CFDA #14.218)

The amount of total program expenditures in the accompanying schedules is \$22,050,507, which includes current year loan disbursements. The outstanding loans cumulative balance as of September 30, 2018, is \$284,586,590.

Home Investment Partnerships Program (CFDA #14.239)

The amount of total program expenditures in the accompanying schedules is \$7,614,136, which includes current year loan disbursements. The outstanding loans cumulative balance as of September 30, 2018, is \$118,093,902.

Federal Direct Student Loan Program (CFDA #84.268)

The District, through the University of the District of Columbia (UDC), participates in the Federal Direct Student Education Loan Program. Beginning July 1, 2010, UDC began participating in the Federal Direct Loans Program. In fiscal year 2018, new loans made to students enrolled at UDC under the Federal Loan Program, CFDA #84.268 totals \$23,779,445. This amount is included in the Schedules.

Beginning Balance	\$ 177,001,454
Add: New Loans	23,779,445
	200,780,899
Less: Principal payments	-
Ending Balance	\$ 200,780,899

5. Rebates from the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC)

During fiscal year 2018, the District received cash rebates from infant formula manufacturers totaling \$3,844,052 on sales of formula to participants in the WIC program (CFDA #10.557), which are netted against total expenditures included in the Schedules.

Rebate contracts with infant formula manufacturers are authorized by 7 CFR 246.16(m) as a cost containment measure. Rebates represent a reduction of expenditures previously incurred for WIC food benefit costs.

6. Unemployment Insurance

State unemployment tax revenues and government, tribal, and non-profit reimbursements in lieu of State taxes (State UI funds) must be deposited to the Unemployment Trust Fund in the U.S. Treasury, and are primarily used to pay benefits under the federally-approved State unemployment law. Consequently, State UI funds as well as Federal funds are included in the total expenditures of CFDA #17.225 in the accompanying Schedules.

Government of the District of Columbia

Notes to Schedules of Expenditures of Federal Awards Year Ended September 30, 2018

The composition of CFDA #17.225 in fiscal year 2018 is as follows:

State UI Benefits	\$ 125,289,045
Federal UI and Extended UI Benefits	5,580,816
Federal UI Administrative Expenditures	10,825,278
Subtotal	141,695,139
Additional Federal Unemployment Compensation ARRA - Federal UI	400,895
Total	\$ 142,096,034

Schedule of Findings and Questioned Costs

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Section I - Summary of Auditor's Results

Basic Financial Statements

1. The basic financial statements of the District as of and for the year ended September 30, 2018, were audited by other auditors whose report dated January 23, 2019, expressed unmodified opinions on the governmental activities, the business-type activities, the aggregate discretely presented component units, each major fund, and the aggregate remaining fund information of the District.
2. The audit by other auditors identified no material weaknesses and no significant deficiencies in internal control over financial reporting in connection with the basic financial statements of the District as of and for the year ended September 30, 2018.
3. The audit by other auditors identified no instances of noncompliance that are material to the basic financial statements of the District as of and for the year ended September 30, 2018.

Schedules of Expenditures of Federal Awards (SEFA)

Type of auditor's report issued on the SEFA: Unmodified

Internal control over financial reporting on the SEFA:

- Material weakness(es) identified? _____ yes X no
- Significant deficiency(ies) identified? _____ yes X none reported
- Noncompliance material to financial statements noted? _____ yes X no

Federal Awards

Internal control over major federal programs:

- Material weakness(es) identified? X yes _____ no
- Significant deficiency(ies) identified? X yes _____ none reported

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Type of auditor's report issued on compliance for major programs:

#	Major Program/Cluster	CFDA Number(s)	Type of Report Issued
1	Supplemental Nutrition Assistance Program Cluster	10.551, 10.561	Qualified
2	Child Nutrition Cluster	10.553, 10.555, 10.556, 10.559	Qualified
3	Special Supplemental Nutrition Program for Women, Infants and Children	10.557	Unmodified
4	Unemployment Insurance	17.225	Qualified
5	Highway Planning and Construction Cluster	20.205, 20.219	Unmodified
6	Title I Grants to Local Educational Agencies	84.010	Unmodified
7	DC School Choice Incentive Program	84.370	Unmodified
8	Temporary Assistance for Needy Families Cluster	93.558	Adverse
9	Child Support Enforcement Program	93.563	Unmodified
10	Child Care and Development Fund Cluster	93.575, 93.596	Unmodified
11	Foster Care - Title IV-E	93.658	Qualified
12	Adoption Assistance - Title IV-E	93.659	Qualified
13	Medicaid Cluster	93.775, 93.777, 93.778	Unmodified
14	HIV Emergency Relief Project Grants	93.914	Qualified
15	HIV Care Formula Grants	93.917	Qualified
16	Homeland Security Grant Program	97.067	Unmodified

There were audit findings that are required to be reported in accordance with 2 CFR 200.516(a) of the Uniform Guidance for the year ended September 30, 2018.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

The major Federal programs of the District for the year ended September 30, 2018 were as follows:

#	Major Program/Cluster	CFDA Number(s)
1	Supplemental Nutrition Assistance Program Cluster	10.551, 10.561
2	Child Nutrition Cluster	10.553, 10.555, 10.556, 10.559
3	Special Supplemental Nutrition Program for Women, Infants and Children	10.557
4	Unemployment Insurance	17.225
5	Highway Planning and Construction Cluster	20.205, 20.219
6	Title I Grants to Local Educational Agencies	84.010
7	DC School Choice Incentive Program	84.370
8	Temporary Assistance for Needy Families Cluster	93.558
9	Child Support Enforcement Program	93.563
10	Child Care and Development Fund Cluster	93.575, 93.596
11	Foster Care - Title IV-E	93.658
12	Adoption Assistance - Title IV-E	93.659
13	Medicaid Cluster	93.775, 93.777, 93.778
14	HIV Emergency Relief Project Grants	93.914
15	HIV Care Formula Grants	93.917
16	Homeland Security Grant Program	97.067

The dollar threshold used to distinguish between Type A and Type B programs was \$12,059,028 for Federal awards for the year ended September 30, 2018.

Auditee qualified as low risk auditee? _____ Yes X No

Section II - Financial Statement Findings

There were no findings related to the basic financial statements and the schedules of expenditures of federal awards which are required to be reported in accordance with generally accepted government auditing standards (GAGAS).

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Section III - Federal Award Findings and Questioned Costs

Finding Number: 2018-001
Prior Year Finding Number: 2017-004
Compliance Requirement: Special Tests and Provisions - ADP System for SNAP

Program:

U.S. Department of Agriculture

Supplemental Nutrition Assistance Program Cluster (SNAP)

CFDA #: 10.551, 10.561

Award #: Various

Award Year: 10/01/2017 - 09/30/2018

Government Department/Agency:

Department of Human Services
(DHS)/DC Access System (DCAS)

Program Management Administration

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

Per 2 CFR Section 272.10(a), "All State agencies are required to sufficiently automate their SNAP operations and computerize their systems for obtaining, maintaining, utilizing, and transmitting information concerning SNAP."

Per 2 CFR Section 272.10(b), "In order to meet the requirements of the Act and ensure the efficient and effective administration of the program, a SNAP system, at a minimum, shall be automated in each of the following program areas (1) Certification and (2) Issuance Reconciliation and Reporting. Under Certification - States agencies must determine eligibility and calculate benefits or validate the eligibility worker's calculations by processing and storing all casefile information necessary for the eligibility determination and benefit computation (including but not limited to all household members' names, addresses, dates of birth, social security numbers, individual household members' earned and unearned income by source, deductions, resources and household size). Also, State agencies must redetermine or revalidate eligibility and benefits based on notices of change in households' circumstances."

Condition - The District is self-reporting findings it noted from its ongoing efforts to resolve issues with the ADP system for SNAP. The issues identified and the estimated impact follows:

- 2,501 cases of underpayments were identified which resulted from the customers who had lost benefits as a result of not recertifying before October 31, even though they did not receive proper notice. Of those 2,501 cases, 210 cases recertified during the grace period and only partial amount of these cases are considered to be true overpayment. Multiple system validations were put in place to prevent terminations in the future including manual notice generation and termination approval. Total impact of the error amounted to \$526,193.
- 2,724 cases of overpayments were identified which resulted from case workers having the ability to reactivate a closed SNAP Product Delivery Cases (PDC) when another SNAP PDC was already active on the Integrated Case (IC) because the 'Check for Duplicate Benefits' feature does not run any other time than at approval of a new application. This created potential for two active PDC's that issue duplicate benefits to the same person. A validation was put in place on the 'Reactive and

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Apply Changes' feature that will check for duplicate benefits for an individual include in the meal group. Total impact of the error amounted to \$77,171.

- 1,529 cases of overpayments were identified which resulted from a human error in which over 8,000 notices of varying types failed to print. The system was corrected to avoid future system limitation. Total impact of the error amounted to \$415,399.
- 959 cases of overpayments were identified which resulted from the DCAS system treating the decrease in TANF benefits (sanctions) as a reduction in income, therefore increasing the SNAP amount. This error in the system was corrected in a later system release. Total impact of the error amounted to \$243,460.

These amounts represent 1% of the total amounts paid by DHS in claims for beneficiary payments. DHS paid a total of \$188,659,803 in beneficiary payments to all SNAP beneficiaries in fiscal year 2018.

Questioned Costs - Known amount is \$1,262,223.

Context - This is a condition identified per review of DHS' compliance with specified requirements resulting from a system implementation.

Effect - Without an effectively designed and operated system in place, ineligible beneficiaries may receive benefits under the SNAP grant and DHS may make payments on behalf of those beneficiaries resulting in noncompliance with the eligibility requirements. Inaccurate beneficiary allotment payments could result in participants receiving benefits that they are not entitled to receive under the program.

Cause - DHS did not effectively design and operate their new ADP system for SNAP which resulted in inaccurate benefit payments.

Recommendation - We recommend that DHS continue to evaluate and improve the new ADP system for SNAP to ensure that it addresses all the administration requirements of the SNAP program.

Related Noncompliance - Material noncompliance.

Views of Responsible Officials and Planned Corrective Actions - The Department of Human Services (DHS) and the Department of Healthcare Finance (DHCF)/DCAS Program Management Administration agree with the findings noted in this report. All are known issues that have been addressed through prior system fix/enhancement or separate mitigation plans. The result of previous and future enhancements, in addition to enhanced reporting and validations, will prevent similar overpayments from occurring in the future. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-002
Prior Year Finding Number: 2017-005
Compliance Requirement: Special Tests and Provisions - EBT Card Security

Program:

U.S. Department of Agriculture

Supplemental Nutrition Assistance Program Cluster (SNAP)

CFDA #: 10.551, 10.561

Award #: Various

Award Year: 10/01/2017 - 09/30/2018

Government Department/Agency:

Department of Human Services

(DHS)/Office of Finance and Treasury

(OFT)

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

Per 7 CFR Section 274.8(b)(3), As an addition to or component of the Security Program required of Automated Data Processing (ADP) systems, the State agency shall ensure that the following electronic benefits transfer (EBT) security requirements are established:

- (i) Storage and control measures to control blank unissued EBT cards and PINs, and unused or spare POS devices;
- (ii) Measures to ensure communication access control. Communication controls shall include the transmission of transaction data and issuance information from POS terminals to work-stations and terminals at the data processing center;
- (iii) Message validation;
- (iv) Administrative and operational procedures;
- (v) A separate EBT security component shall be incorporated into the State agency Security Program for ADP systems. The periodic risk analyses required by the Security Program shall address the following items specific to an EBT system - (B) Completeness and timeliness of the reconciliation system; and
- (vi) The State agency shall incorporate the contingency plan approved by FNS into the Security Program.

Condition - OCFO/OFT for DHS are required to maintain adequate security over, and documentation/records for EBT cards, to prevent their theft, embezzlement, loss damage, destruction, unauthorized transfer, negotiation, or use. OCFO/OFT have contracted with Fidelity National Information Service (FIS) for the issuance and security of the EBT cards; however, it is OCFO/OFT's ultimate responsibility to ensure the contractor has controls in place to maintain adequate security over, and documentation/records of EBT cards. During our tests of the design and implementation of internal controls, we noted the following issues:

- For one (1) out of the 60 samples, although the EBT card reconciliation package was signed and dated, the date included by the Manager was earlier than the date on the balance sheet due to a typographical error.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

- For one (1) out of the 60 samples, during the reconciliation the manager did not identify the error made by the employee on the EBT balance sheet (listed 26 cards as being the number of destroyed cards instead of the number of replacement cards issued).
- For one (1) out of the 60 samples, although the EBT balance sheets for both workstations agreed with the received and returned amounts on the EBT Issuance Logs, we noted that the destruction detail for four (4) cards was not included on the Destruction Log.
- For 35 out of the 60 samples, although both EBT balance sheets reconciled with the EBT card issuance logs included in the package, we noted the following deficiencies:
 - For thirteen (13) of the samples, for at least one client a card number written on EBT Issuance Log did not agree with the number on the United Planning Organization (UPO) EBT Center Intake form.
 - For one (1) of the samples, for at least one client the name and card numbers on the EBT Card Issuance Log do not agree with information on the UPO EBT Center Intake Form. In addition, for at least one client, the card numbers on the EBT Card Issuance Log do not agree with information on the UPO EBT Center Intake Form.
 - For four (4) of the samples, for at least one client no card number was listed on the EBT Intake Form, although listed on the EBT Issuance log.
 - For ten (10) of the samples, there were no card numbers documented on the UPO EBT Center Intake Form for either of the workstation. It is noted that the requirement to include the card number was removed from the process manual in August 2018. This reconciliation date occurred prior to that time but no card numbers were included.
 - For seven (7) out of the 60 samples, for at least one client, the form of identification presented at the EBT Card Center was a referral; however, but no Photo ID Referral form was attached. In addition, for one (1) of these samples at least one client did not have a form of identification listed on the UPO EBT Center Intake Form.

Questioned Costs - None.

Context - This is a condition identified per review of DHS' compliance with specified requirements using a statistically valid sample.

Effect - Without adequate internal controls to ensure compliance with EBT Card Security requirements, there is an increased risk that the inventory of EBT cards will not be properly maintained and accounted for.

Cause - DHS does not have adequate policies and procedures in place to ensure adequate safeguarding, documentation and monitoring of EBT cards.

Recommendation - We recommend that DHS implement formal policies and procedures to maintain adequate security over, and documentation/records for EBT Cards.

Related Noncompliance - Material noncompliance.

Views of Responsible Officials and Planned Corrective Actions - DHS concurs with this finding. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-003
Prior Year Finding Number: 2017-006
Compliance Requirement: Eligibility

Program:

U.S. Department of Agriculture

Child Nutrition Cluster

CFDA #: 10.553, 10.555, 10.556, 10.559

Award #: 1DC300302

Award Year: 10/01/2017 - 09/30/2018

Government Department/Agency:

District of Columbia Public Schools
(DCPS)

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

7 CFR Section 210.8 states:

“Claims for reimbursement: The school food authority shall establish internal controls which ensure the accuracy of lunch counts prior to the submission of the monthly Claim for Reimbursement. At a minimum, these internal controls shall include: an on-site review of the lunch counting and claiming system employed by each school within the jurisdiction of the school food authority; comparisons of daily free, reduced price and paid lunch counts against data which will assist in the identification of lunch counts in excess of the number of free, reduced price and paid lunches served each day to children eligible for such lunches; and a system for following up on those lunch counts which suggest the likelihood of lunch counting problems.”

Condition - We selected samples of 120 students and 40 Community Eligibility Program (CEP) schools in fiscal year 2018 to test DCPS’ compliance with eligibility requirements. The sample of 120 consisted of 60 students who were determined to be eligible through the application process, and 60 students who were directly certified through participation in other federal assistance programs. During our test work over the eligibility requirement for the Child Nutrition Cluster, we noted deficiencies in DCPS’ eligibility determination process. These deficiencies also affected DCPS’ ability to report complete and accurate meal count claims for reimbursement to the Office of the State Superintendent of Education (OSSE). Specifically, we noted the following:

- For direct applications and schools not participating in CEP, claim reimbursement is based on the individual student level. For two (2) students from direct applications and fifteen (15) students from schools not participating in CEP, per student account history in WebSMARTT, the students were served a meal on a day that the students’ attendance record documented them as absent.
- For schools participating in CEP, claim reimbursement is based on total meals served on a daily basis. For four (4) instances in four (4) schools, the production records and edit check summary showed that the school claimed more meals than what was actually served.

Questioned Costs - Known amount is \$279.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Context - This is a condition identified per review of DCPS' compliance with specified requirements using a statistically valid sample.

Effect - DCPS did not comply with the eligibility and reporting requirements of the Child Nutrition Cluster. DCPS could have claimed more than the eligible amount from the federal grant.

Cause - DCPS does not have fully effective internal controls over the eligibility determination process to ensure participants are accurately being assessed for free and reduced price lunch, and that meal count claims submitted for reimbursement include only claims for students who are eligible. Additionally, DCPS must reassess existing controls to ensure that the student receiving the meal is properly identified to avoid having a served meal associated with a child marked as absent.

Recommendation - We recommend DCPS establish adequate controls over eligibility and reporting that ensure compliance with the requirements of the Child Nutrition Cluster. This includes (1) Data corrections are properly recorded in WebSMARTT; and (2) Enhance controls at the point of sale to improve the accuracy of identifying the student as they are served the meal.

Related Noncompliance - Material noncompliance.

Views of Responsible Officials and Planned Corrective Actions - DCPS agrees with the conditions and recommendations of this finding. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-004
Prior Year Finding Number: N/A
Compliance Requirement: Special Tests and Provisions - UI Benefit Payments

Program:

U.S. Department of Labor (DOL)

Unemployment Insurance (UI)

CFDA #: 17.225

Award #: Various

Award Year: 10/01/2017 - 09/30/2018

Government Department/Agency:

Department of Employment Services
(DOES)

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

20 CFR Section 602.11(d), State Workforce Agencies (SWAs) are required to operate and maintain a quality control system. The Benefits Accuracy Measurement (BAM) program is DOL's quality control system designed to assess the accuracy of UI benefit payments and denied claims.

According to the Employment and Training Administration (ET) Handbook No. 395, pursuant to 20 CFR Section 602.30(a), "Each state must develop written procedures to guide the operation of the BAM program. The procedures must cover all investigative and administrative functions of the BAM unit."

Per the requirement above, DOES has developed the Benefit Accuracy Measurement Standard Operating Procedures (BAM SOP) with effective date June 1, 2017.

The BAM SOP states "Upon completion of investigations, investigators shall submit cases to the BAM Supervisor for review. When reviewing cases, the supervisor looks at the case documentation and coding to ensure all necessary changes were made. Additionally, the supervisor will complete the supervisory review and sign-off the BAM case investigation. In rare and circumstantial cases, the supervisor may close out cases without review. In such instances, the supervisor must document the reason for no review for future references."

Condition - During our test work of 40 samples selected to test the Special Tests and Provisions - Benefit Payments, we noted the following:

- Twenty one (21) instances where there was no evidence of review performed by the BAM supervisor. In addition, there was no documentation that these cases were closed by the supervisor without review.

Questioned Costs - Not determinable.

Context - This is a condition identified per review of DOES' compliance with specified requirements using a statistically valid sample.

Effect - Investigations of paid and denied cases might have been improperly/inadequately conducted in the absence of proper review.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Cause - The review controls are not operating effectively over BAM investigations conducted to determine that payments were properly made to eligible claimants and benefits were properly denied for ineligible claimants.

Recommendation - We recommend that DOES enforce existing policies and procedures to ensure that BAM investigations are properly reviewed and documented.

Related Noncompliance - Material noncompliance.

Views of Responsible Officials and Planned Corrective Actions - Management concurs with the finding. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-005
Prior Year Finding Number: N/A
Compliance Requirement: Reporting

Program:

U.S. Department of Education

DC School Choice Incentive Program

CFDA #: 84.370

Award #: U370B170001

Award Year: 9/27/2017 - 09/26/2018

Government Department/Agency:

District of Columbia Public Schools
(DCPS)

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

The grant agreement requires that final performance report is submitted for each budget period 90 days after expiration or termination of the award. Performance reports are also required by 34 CFR 75.118.

Condition - We examined the final performance report submitted by DCPS for the grant period ended September 26, 2018 and noted that the number of teachers rated as effective and highly effective reported were for the school year period 2016-2017 rather than school year 2015-2016 as required by the grant agreement. Subsequently, DCPS amended the report submitted on April 15, 2019.

Questioned Costs - Not applicable.

Context - This is a condition identified per review of DCPS' compliance with specified requirements using a statistically valid sample.

Effect - DCPS was not in compliance with the stated provisions and inaccurate information may have been reported to the Federal government.

Cause - It appears that existing policies and procedures, including review over reporting procedures to evaluate proper data was used, were not functioning as intended.

Recommendation - We recommend that DCPS strengthen its existing policies and procedures regarding the preparation and review of the final performance report to ensure correct and accurate information are included prior to submission to the Federal agency.

Related Noncompliance - Noncompliance.

Views of Responsible Officials and Planned Corrective Actions - DCPS agrees with the conditions and recommendations of this finding. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-006
Prior Year Finding Number: 2017-010
Compliance Requirement: Eligibility

Program:

U.S. Department of Health and Human Services

Temporary Assistance for Needy Families Cluster (TANF)

CFDA #: 93.558

Award #: Various

Award Year: 10/01/2017 - 09/30/2018

Government Department/Agency:

Department of Human Services

(DHS)/Economic Security

Administration (ESA)

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

Per 45 CFR Section 205.60 (a), "The State agency will maintain or supervise the maintenance of records necessary for the proper and efficient operation of the plan, including records regarding applications, determination of eligibility, the provision of financial assistance, and the use of any information obtained under Section 205.55, with respect to individual applications denied, recipients whose benefits have been terminated, recipients whose benefits have been modified, and the dollar value of these denials, terminations and modifications. Under this requirement, the agency will keep individual records which contain pertinent facts about each applicant and recipient. The records will include information concerning the date of application and the date and basis of its disposition; facts essential to the determination of initial and continuing eligibility (including the individual's social security number, need for, and provision of financial assistance); and the basis for discontinuing assistance."

Condition - During our testing over beneficiary eligibility compliance requirements of the Temporary Assistance for Needy Families (TANF) program, we selected a sample of 60 beneficiaries in fiscal year 2018 to test DHS' compliance with eligibility requirements. We noted the following:

- For four (4) out of 60, the applications related to the latest fiscal year 2018 recertification's shown in the DC Access System (DCAS) were not found in the Document Imaging Management System (DIMS). Therefore, we were unable to verify the household composition, the Income, and the Social Security Numbers for all individuals included on the application.
- For five (5) out of 60, DHS was unable to provide sufficient documentation to support that assistance was not provided to any individual who was fleeing to avoid prosecution, or custody or confinement after conviction, for a felony or attempt to commit a felony, or who is violating a condition of probation or parole imposed under Federal or State law.
- For 60 out of 60, DHS was unable to provide support that would allow us to test that cash assistance was not provided to an individual during the 10-year period that began on the date the individual was convicted in Federal or State court of having made a fraudulent statement or representation with respect to place of residence in order to simultaneously receive assistance from two or more States under TANF, Title XIX, or the Food Stamp Act of 1977, or benefits in two or more States under the Supplemental Security Income program under Title XVI of the Social Security Act.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

- For fifteen (15) out of 60, the applications related to the application or recertification that occurred prior to the tested payment obtained from the DC Access System (DCAS) were partially completed in Document Imaging Management System (DIMS).
- For one (1) out of 60, DHS was unable to provide sufficient documentation to support that the client was a U.S. Citizen.
- For one (1) out of 60, DCAS indicates that \$1,435 was used as income for April 2018; however, support entered into DCAS indicates that paystubs provided by the client only totaled \$949, a variance of \$486.
- For one (1) out of 60, we noted that one of the cases was initially a household of 10 individuals that changed to 11 during the year; however, the payment was not properly revised causing overpayment.

These amounts represent 100% of the total eligibility amounts tested related to the 60 sampled items of \$237,799.

Questioned Costs - Known amount is \$237,799.

Context - This is a condition identified per review of DHS' compliance with specified requirements using a statistically valid sample.

Effect - Without properly maintaining documentation to support eligibility determinations, ineligible beneficiaries may receive benefits under the TANF grant and DHS may make payments on behalf of those beneficiaries resulting in noncompliance with the eligibility requirements.

Cause - DHS did not consistently adhere to its established policies and procedures requiring it to maintain documentation supporting participant eligibility.

Recommendation - We recommend that DHS strengthen its existing policies and procedures over the review and maintenance of appropriate documentation to ensure compliance with eligibility requirements.

Related Noncompliance - Material noncompliance.

Views of Responsible Officials and Planned Corrective Actions - DHS concurs with this finding. ESA will follow through on the outlined internal control procedures to ensure that documentation is maintained to support eligibility decisions and that customer files are properly retained. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-007
Prior Year Finding Number: N/A
Compliance Requirement: Reporting

Program:

U.S. Department of Health and Human Services

Government Department/Agency:

Department of Human Services (DHS)

Temporary Assistance for Needy Families Cluster (TANF)

CFDA #: 93.558

Award #: Various

Award Year: 10/01/2017 - 09/30/2018

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

According to Title IV-A, Section 411 of the Social Security Act (the Act), 45 CFR 265.3, and the American Recovery and Reinvestment Act (ARRA) of 2009, (Public Law 111-5), each State must file an annual report containing information on the TANF program and the State's maintenance-of-effort (MOE) program(s) for that year, including strategies to implement the Family Violence Option, State diversion programs, and other program characteristics. States are required to submit the ACF-196R report quarterly, beginning in FFY 2015, in lieu of the SF-425, Federal Financial Report (financial status). Each State files quarterly expenditure data on the State's use of Federal TANF funds, State TANF MOE expenditures, and State expenditures of MOE funds in separate State programs. If a State is expending Federal TANF funds received in prior fiscal years, it must file a separate quarterly TANF Financial Report for each fiscal year that provides information on the expenditures of that year's TANF funds. This form must be used for reporting regular TANF grant funds, Contingency Funds, and ARRA-Emergency Fund for TANF State Programs funds. See TANF-ACF-PI-2014-02, available at <http://www.acf.hhs.gov/programs/ofa/resource/tanf-acf-pi-2014-02>, for more information.

Condition - During our test work over the quarterly ACF-196R, we noted the following:

- For Grant Identifying number - G-1602DCTANF there was a variance between the amount reported on the ACF-196R and the amount included in SOAR for the final adjusted report for the 4th quarter. We noted that less expenditures were included on the SEFA/CFOSolve Report (\$15,307,539) than included on the ACF-196R (\$15,338,082), resulting in a variance of (\$30,543).
- For Grant Identifying number - G-1702DCTANF there was a variance between the amount reported on the ACF-196R and the amount included in SOAR for the final adjusted report for the 4th quarter. We noted that less expenditures were included on the SEFA/CFOSolve Report (\$8,106,552) than included on the ACF-196R (\$8,131,114), resulting in a variance of (\$24,562).
- For Grant Identifying number - G-1802DCTANF there was a variance between the amount reported on the ACF-196R and the amount included in SOAR for the final adjusted report for the 4th quarter. More expenditures were included on the SEFA/CFOSolve Report (\$59,956,713) than included on the ACF-196R (\$59,821,107), resulting in a variance of \$135,606.

Questioned Costs - None.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Context - This is a condition identified per review of DHS' compliance with specified requirements.

Effect - Without proper internal controls and policies and procedures in place to ensure that ACF-196R balances were properly reported, the TANF program incorrectly reported expenditures on the final ACF-196R report for each of the three grants for the fourth quarter in fiscal year 2018. In addition, inadequate internal controls may lead to incorrect reporting of performance data.

Cause - Management did not have proper internal controls and policies and procedures in place to ensure that the ACF-196R properly reviewed prior to approval.

Recommendation - We recommend that DHS implement policies and procedures that will ensure the amounts reported for each open grant are accurate for ACF-196R prior to approval.

Related Noncompliance - Noncompliance.

Views of Responsible Officials and Planned Corrective Actions - DHS concurs with this finding. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-008
Prior Year Finding Number: 2017-011
Compliance Requirement: Special Tests and Provisions - Child Support Non-Cooperation

Program:

U.S. Department of Health and Human Services

Temporary Assistance for Needy Families Cluster (TANF)

CFDA #: 93.558

Award #: Various

Award Year: 10/01/2017 - 09/30/2018

Government Department/Agency:

Department of Human Services

(DHS)/Economic Security

Administration (ESA)

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

Per 45 CFR § 264.30 (a) (1) The State agency must refer all appropriate individuals in the family of a child, for whom paternity has not been established or for whom a child support order needs to be established, modified or enforced, to the child support enforcement agency (i.e., the IV-D agency). (2) Referred individuals must cooperate in establishing paternity and in establishing, modifying, or enforcing a support order with respect to the child.

Per 45 CFR § 264.30 (b) If the IV-D agency determines that an individual is not cooperating, and the individual does not qualify for a good cause or other exception established by the State agency responsible for making good cause determinations in accordance with section 454(29) of the Act or for a good cause domestic violence waiver granted in accordance with § 260.52 of this chapter, then the IV-D agency must notify the IV-A agency promptly.

Per 45 CFR § 264.30 (c) The IV-A agency must then take appropriate action by: (1) Deducting from the assistance that would otherwise be provided to the family of the individual an amount equal to not less than 25 percent of the amount of such assistance; or (2) Denying the family any assistance under the program.

Per 45 CFR § 262.5 (d) The burden of proof rests with the State to fully explain the circumstances and events that constitute reasonable cause for its failure to meet a requirement. The state must provide us with sufficient relevant information and documentation to substantiate its claim of reasonable cause.

Condition - During our compliance test work for the Special Tests and Provisions - Child Support Non-Cooperation compliance requirement, we tested 60 cases out of 1,210 cases referred by Child Support Enforcement (CSE) to the TANF program as having not cooperated with Child Support. We noted that there were no internal controls implemented by DHS over this compliance requirement. Of the 60 cases selected for compliance testing, we noted 15 exceptions:

- For one (1) instance, sanction notification or actual sanction was not done timely.
- For five (5) instances, no child support sanction was imposed in DC Access System (DCAS), although the client was receiving TANF benefits at the time that the request was made.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

- For seven (7) instances, individuals were improperly included in the population, as the clients were not receiving TANF benefits at the time of the sanction request or the cases were closed before proper action can be taken.
- For one (1) instance, an individual was improperly included in the population. The individual did not receive TANF benefits in fiscal year 2018 and therefore no sanction action could be taken on the case.
- For one (1) instance, DHS was unable to locate any case associated with the sample item. Therefore we were unable to determine why this client was included in the population.

For the 15 instances, management was unable to provide the applicable documentation to support “good cause” for not sanctioning cases referred to by Child Support Services Division (CSSD). We reviewed the TANF policy for Child Support noncooperation sanctions and noted ESA has the authority to not impose sanctions if it finds “good cause” exceptions. However, per interpretation of 45 CFR 262.5 and as of the timing of our audit procedures, we were unable to determine whether there was sufficient evidence to substantiate the “good cause” exception to sanctions.

Questioned Costs - Known amount is \$3,028.

Context - This is a condition identified per review of DHS’ compliance with specified requirements using a statistically valid sample.

Effect - Without adequate internal controls to ensure compliance with TANF Child Support Non-Cooperation requirements, there is an increased risk that TANF beneficiaries will receive incorrect TANF benefits.

Cause - Management is not adhering to their policies and procedures to ensure that DHS is in compliance with TANF Child Support Non-Cooperation compliance requirements. Documentation as to the “good cause” for exemptions to this requirement is not maintained and available for review.

Recommendation - We recommend that DHS enforce existing policies and procedures and implement internal controls to ensure that Child Support Non-Cooperation sanctions are consistently applied and adequate documentation is maintained to support DHS’ compliance with the TANF Child Support Non-Cooperation compliance requirements, especially when it comes to substantiating the “good cause” exception to sanctions.

Related Noncompliance - Material noncompliance.

Views of Responsible Officials and Planned Corrective Actions - DHS concurs with this finding. ESA will follow through on the outlined internal control procedures to ensure that the sanctions are consistently applied and adequate documentation is maintained to support DHS’ compliance with the TANF Child Support Non-Cooperation compliance requirement. The District’s corrective action is described in the Management’s Corrective Action Plan included as Appendix B of the attached Management’s Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-009
Prior Year Finding Number: 2017-012
Compliance Requirement: Special Tests and Provisions - Income Eligibility and Verification System

Program:

U.S. Department of Health and Human Services

Temporary Assistance for Needy Families Cluster (TANF)

CFDA #: 93.558

Award #: Various

Award Year: 10/01/2017 - 09/30/2018

Government Department/Agency:

Department of Human Services

(DHS)/Economic Security

Administration (ESA)

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

Per 45 CFR Section 205.56(a)(1)(i), "The State agency shall review and compare the information obtained from each data exchange against information contained in the case record to determine whether it affects the applicant's or the recipient's eligibility or the amount of assistance."

Per 45 CFR Section 205.60 (a), "The State agency will maintain or supervise the maintenance of records necessary for the proper and efficient operation of the plan, including records regarding applications, determination of eligibility, the provision of financial assistance, and the use of any information obtained under Section 205.55, with respect to individual applications denied, recipients whose benefits have been terminated, recipients whose benefits have been modified, and the dollar value of these denials, terminations and modifications. Under this requirement, the agency will keep individual records which contain pertinent facts about each applicant and recipient. The records will include information concerning the date of application and the date and basis of its disposition; facts essential to the determination of initial and continuing eligibility (including the individual's social security number, need for, and provision of financial assistance); and the basis for discontinuing assistance."

Condition - During our test work of 60 cases selected to test the Special Tests and Provisions - Income Eligibility and Verification Systems (IEVS), we noted that DHS was unable to provide sufficient documentation to support all eligibility determinations tested during the fiscal year 2018 audit. Specifically, out of the 60 beneficiary disbursements tested, we noted the following exceptions:

- For three (3) instances, we noted there was no information obtained through the IEVS as reported in DC Access System (DCAS) that was close to the date of application or recertification, or the sample month selected, so we were unable to confirm that the IEVS was used as required at the time of application process.

Questioned Costs - Not determinable.

Context - This is a condition identified per review of DHS' compliance with specified requirements using a statistically valid sample.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Effect - The District is not in full compliance with its policies and with Federal program compliance requirements surrounding records maintenance. Further, ineligible TANF beneficiaries may receive benefits under the TANF grant and the District may make payment on behalf of those beneficiaries.

Cause - Controls are not adequate to ensure that the District adheres to its established policies and procedures requiring it to maintain documentation supporting participant eligibility.

Recommendation - We recommend that DHS enforce existing policies and procedures and implement additional policies and procedures for maintaining and monitoring case record documentation to ensure that Income Eligibility and Verification System requirements are complied with.

Related Noncompliance - Noncompliance.

Views of Responsible Officials and Planned Corrective Actions - DHS concurs with this finding. ESA will follow through on the outlined internal control policies and procedures for maintaining and monitoring case record documentation to ensure that Income Eligibility and Verification System requirements are complied with. DHS will also share our internal review processes with the Department of Health Care Finance to support future eligibility decisions. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-010
Prior Year Finding Number: 2017-014
Compliance Requirement: Reporting;
Special Tests and Provisions - Penalty for Failure to Comply With Work
Verification Plan

Program:

U.S. Department of Health and Human Services

Government Department/Agency:

Department of Human Services (DHS)

Temporary Assistance for Needy Families Cluster (TANF)

CFDA #: 93.558

Award #: Various

Award Year: 10/01/2017 - 09/30/2018

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

Per 45 CFR Section 261.61 (a), “A State must support each individual’s hours of participation with documentation in the case file. In accordance with Section 261.62, a State must describe in its Work Verification Plan the documentation it uses to verify hours of participation in each activity.”

According to the DC State Verification Plan, the D.C. Department of Human Services (DHS), Department of Human Services Monitoring Unit reviews and audits all documentation submitted by vendors reflecting the activities of recipients in TANF Employment program. This documentation includes time sheets, activity logs, school records, pay stubs, and verification of employment, work experience and on-the-job training. The Monitoring Unit completes this audit process to determine if sufficient documentation exists to substantiate reported time and attendance data, to warrant a payment to TANF Employment program vendors, and submission of countable hours for federal reporting purposes.

Per 45 CFR Section 265.7 (a)-(c), “Each State’s quarterly reports (the TANF Data Report, the TANF Financial Report (or Territorial Financial Report), and the SSP-MOE Data Report) must be complete and accurate and filed by the due date.”

For disaggregated data report, ‘a complete and accurate report’ means that:

- (1) The reported data accurately reflect information available to the State in case records, financial records, and automated data systems, and include correction of the quarterly data by the end of the fiscal year reporting period;
- (2) The data are free from computational errors and are internally consistent (e.g., items that should add to totals do so);
- (3) The State reports data for all required elements (i.e., no data are missing);
- (4)(i) The State provides data on all families; or (ii) if the State opts to use sampling, the State reports data on all families selected in a sample that meets the specification and procedures in the TANF Sampling Manual (except for families listed in error); and

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

- (5) Where estimates are necessary (e.g., some types of assistance may require cost estimates), the State uses reasonable methods to develop these estimates.

For an aggregated data report, “a complete and accurate report” means that:

- (1) The reported data accurately reflect information available to the State in case records, financial records, and automated data systems;
- (2) The data are free from computational errors and are internally consistent (e.g., items that should add to totals do so);
- (3) The State reports data on all applicable elements; and
- (4) Monthly totals are unduplicated counts for all families (e.g., the number of families and the number of out-of-wedlock births are unduplicated counts).”

45 CFR Section 265.7 (f) states that “States must maintain records to adequately support any report, in accordance with Section 75.361 through 75.370 of this title.”

Condition - During our test work over a sample of 60 participants for Special Tests and Provisions - Penalty for Failure to Comply with Work Verification Plan and Reporting, we noted:

- For three (3) instances, we noted that there was no evidence of review and approval by the ESA-OPM staff and that no audit performed (no decision was made) for these participants for some or all of the hours reported in CATCH by the TANF Employment Program (TEP) Provider.
- For twenty-four (24) instances, it did not appear that the hours were properly reported as the recalculated average of approved hours did not agree to the number of hours reported on the ACF-199 report. In addition, based on the recalculated average hours we noted that these participants did not meet the work participation requirement; but DHS indicated that the participants met the work participation requirement.
- For seven (7) instances, we noted that these participants in CATCH listed the name of provider as “DHS/ESA CATCH 2.7” meaning that they were non-compliant or had no recently entered time in the system. We additionally noted that during the audit DHS indicated that the process for sanctioning the above referenced group will begin at that time which was around April 22, 2019. Consequently, we deem that these actions were not performed in a timely manner.
- For one (1) instance, we noted that this participant in CATCH listed the name of provider as “DHS/ESA JPSP 3.0” meaning that this participant was Waitlisted for not being fully compliant within a 60-90 days period. Per DHS staff robocalls and letters will begin to be sent out confirming sanctions on 4/22/19. We additionally noted that the period to be tested was fiscal year 2018. We deem these actions were not performed in a timely manner.
- For thirty-one (31) instances, there were no hours recorded in CATCH although there were hours reported on the ACF-199 report. In addition, we noted that there were no timesheets for these participants. Based on the hours reported, DHS indicated that the participants met the participation requirements.
- For two (2) instances, we noted that these participants did not meet the work participation requirement, as the average of approved hours was less than the hours required per week.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

- For seven (7) instances, we noted that although the participants met the work participation requirement, it did not appear that the hours were properly reported as the average of approved hours did not agree to the number of hours reported on the ACF-199.
- For one (1) instance, we noted that it did not appear that the hours were properly reported as the average of approved hours did not agree to the number of hours reported on the ACF-199.

The information tested in our sample represents the underlying data used in Reporting for the 3rd and 4th quarters of fiscal year 2018. Consequently, DHS incorrectly reported data in the ACF-199 report for the 3rd and 4th quarters of fiscal year 2018.

Questioned Costs - Not determinable.

Context - This is a condition identified per review of DHS' compliance with specified requirements using a statistically valid sample.

Effect - Data within the ACF-199 report may not be complete and accurate. Specifically, if the work participation data is not substantiated, or inconsistencies are noted, it may result in inaccurate data being reported and may lead to an incorrect ACF-199 report, and could result in an incorrect allocation of Federal Funds to the state.

Cause - Controls are not operating effectively over the documentation of work participation data to ensure that adequate evidence of the work participation is maintained.

Recommendation - We recommend that DHS enforce existing policies and procedures and implement additional controls to ensure that adequate documentation is maintained to substantiate the work participation data reported in the ACF-199 report in accordance with the District of Columbia Work Verification Plan.

We also recommend that DHS implement policies, procedures and controls that will enable an accurate reconciliation between the original data sources used in the preparation of the ACF-199 report to ensure proper reporting of data elements, such as child care subsidies.

Related Noncompliance - Material noncompliance.

Views of Responsible Officials and Planned Corrective Actions - DHS concurs with this finding. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-011
Prior Year Finding Number: 2017-015
Compliance Requirement: Eligibility

Program:

U.S. Department of Health and Human Services

Foster Care - Title IV-E

CFDA #: 93.658

Award #: Various

Award Year: 10/01/2017 - 09/30/2018

Government Department/Agency:

Child and Family Services Agency
(CFSA)

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

45 CFR Section 92.20(b)(2), "Accounting records, "Grantees and sub grantees must maintain records which adequately identify the source and application of funds provided for financially assisted activities. These records must contain information pertaining to grant or subgrant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income."

45 CFR Section 233.90(b)(3), states "a Title IV-E agency may provide foster care maintenance payments on behalf of youth who have attained age 18, but are under the age of 19, and who are full-time students expected to complete their secondary schooling or equivalent vocational or technical training before reaching 19."

45 CFR Section 1356.30(f), "In order for a child care institution to be eligible for title IV-E funding, the licensing file for the institution must contain documentation which verifies that safety considerations with respect to the staff of the institution have been addressed."

45 CFR Section 1356.30(a) states, "The Title IV-E agency must provide documentation that criminal records checks have been conducted with respect to prospective foster and adoptive parents."

42 U.S. Code Section 671(a)(20)(A), "In order for a State to be eligible for payments under this part, it shall have a plan approved by the Secretary which provides procedures for criminal records checks of national crime information databases for any prospective foster or adoptive parent before the foster or adoptive parent may be finally approved for placement of a child regardless of whether foster care maintenance payments or adoption assistance payments are to be made on behalf of the child under the State plan."

42 U.S. Code Section 671(a)(20)(B), "In order for a State to be eligible for payments under this part, it shall have a plan approved by the Secretary which provides that the State shall check any child abuse and neglect registry maintained by the State for information on any prospective foster or adoptive parent and on any other adult living in the home of such a prospective parent, and request any other State in which any such prospective parent or other adult has resided in the preceding 5 years, to enable the State to check any child abuse and neglect registry maintained by such other State for such

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

information, before the prospective foster or adoptive parent may be finally approved for placement of a child."

Furthermore, per 45 CFR Section 1356.21(a), "Statutory and regulatory requirements of the Federal foster care program, "To implement the foster care maintenance payments program provisions of the title IV-E plan and to be eligible to receive Federal financial participation (FFP) for foster care maintenance payments under this part, a Title IV-E agency must meet the requirements of this section, 45 CFR 1356.22, 45 CFR 1356.30, and Parts 472, 475(1), 475(4), 475(5), 475(6)."

Condition - During our audit we noted that in fiscal year 2018, the Foster Care program had total disbursements of \$16,444,167 for 7,194 Maintenance payments. We selected a sample of 60 participants representing disbursed federal funds totaling \$37,020, we noted the following deficiencies:

- For one (1) of 60 samples, CFSA was unable to provide documentation supporting that a youth over 18 was a full-time student expected to complete their secondary schooling or equivalent vocational or technical training.
- For nineteen (19) of 60 samples, CFSA was not able to provide the licensing documentation for the selected individuals.
- For ten (10) of 60 samples, CFSA was provided the licensing documentation for the selected individuals; however, we were unable to determine the relationship with the individual on the license to the selected client.
- For twenty-six (26) of 60 samples, CFSA did not provide evidence that criminal record checks, including fingerprint-based checks from the national crime information databases were performed.
- For one (1) of 60 samples, the neglect registry check provided for review by CFSA did not pertain to the period under audit.
- For one (1) of 60 samples, the child abuse and neglect registry check revealed that the applicant was responsible for the abuse or neglect of a child and was provided benefits when they should not have been.

These deficiencies represent 53% of the total disbursements tested.

Questioned Costs - Known amount is \$19,755.

Context - This is a condition identified per review of CFSA's compliance with specified requirements using a statistically valid sample.

Effect - CFSA was not in compliance with the eligibility requirements of the Foster Care program.

Cause - CFSA does not have adequate controls in place to ensure that eligibility files are being properly reviewed and the required documentation is being maintained to evidence compliance with eligibility requirements.

Recommendation - We recommend CFSA reevaluate and strengthen its existing policies and procedures over the review and maintenance of appropriate documentation to ensure compliance with eligibility requirements in accordance with the program.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Related Noncompliance - Material noncompliance.

Views of Responsible Officials and Planned Corrective Actions - CFSA concurs with this finding. As for the findings pertaining to licensing documentation, criminal record checks, including fingerprint-based checks from the national crime information databases, and the neglect registry check, CFSA continues to strengthen its process requiring the scanning and storing of licenses, child protection registry checks and criminal background checks at the time of licensure. CFSA will enhance its quality assurance system to better track and reconcile licensure documentation discrepancies early in the process by: a) conducting monthly management and team meetings solely focused on reviewing licensing documentation and cross-referencing it against each quarter's foster care claim; b) CFSA will include licensing documentation as an area of focus in its monthly Continuous Quality Improvement (CQI) work group. Lastly, it should be noted that 81% of the cases with findings were "transfer cases", i.e. cases that transferred from one of CFSA's outgoing seven private agency providers to one private agency provider as part of CFSA's Temporary Safe Haven Redesign. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-012

Prior Year Finding Number: 2017-016

Compliance Requirement: Eligibility

Program:

U.S. Department of Health and Human Services

Adoption Assistance - Title IV-E

CFDA #: 93.659

Award #: Various

Award Year: 10/01/2017 - 09/30/2018

Government Department/Agency:

Child and Family Services Agency
(CFSA)

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

According to 45 CFR Section 92.20(b)(2), Accounting records, "Grantees and sub grantees must maintain records which adequately identify the source and application of funds provided for financially assisted activities. These records must contain information pertaining to grant or subgrant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income."

42 U.S. Code Section 671(a)(20)(A), "in order for a State to be eligible for payments under this part, it shall have a plan approved by the Secretary which provides procedures for criminal records checks of national crime information databases for any prospective foster or adoptive parent before the foster or adoptive parent may be finally approved for placement of a child regardless of whether foster care maintenance payments or adoption assistance payments are to be made on behalf of the child under the State plan."

42 U.S. Code Section 671(a)(20)(B), " In order for a State to be eligible for payments under this part, it shall have a plan approved by the Secretary which provides that the State shall check any child abuse and neglect registry maintained by the State for information on any prospective foster or adoptive parent and on any other adult living in the home of such a prospective parent, and request any other State in which any such prospective parent or other adult has resided in the preceding 5 years, to enable the State to check any child abuse and neglect registry maintained by such other State for such information, before the prospective foster or adoptive parent may be finally approved for placement of a child."

42 U.S. Code Section 673(a)(4)(A), "Notwithstanding any other provision of this section, a payment may not be made pursuant to this section to parents or relative guardians with respect to a child (i) who has attained (I) 18 years of age, or such greater age as the State may elect under section 675(8)(B)(iii) of this title; or (II) 21 years of age, if the State determines that the child has a mental or physical handicap which warrants the continuation of assistance; (ii) who has not attained 18 years of age, if the State determines that the parents or relative guardians, as the case may be, are no longer legally responsible for the support of the child; or (iii) if the State determines that the child is no longer receiving any support from the parents or relative guardians, as the case may be. (B) Parents or relative guardians who have been receiving adoption assistance payments or kinship guardianship assistance payments under this section shall keep the State or local agency administering the program under this

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

section informed of circumstances which would, pursuant to this subsection, make them ineligible for the payments, or eligible for the payments in a different amount.”

Condition - In fiscal year 2018, CFSA had total disbursements of \$9,313,068 for 11,850 subsidy payments. We selected a sample of 60 participants representing disbursed funds totaling \$45,664 to test compliance with eligibility requirements. Based on our review, we noted that management’s internal control over compliance with the program’s eligibility requirements were not operating effectively to prevent or detect noncompliance with the program requirements. Our audit revealed the following deficiencies:

- For ten (10) out of 60 samples, CFSA was unable to provide evidence that the program eligibility checklist was appropriately approved.
- For twenty-one (21) out of 60 samples, CFSA was unable to provide evidence that the annual subsidy application was reviewed and that the reviews were properly documented. Additionally, we noted that CFSA mailed the letter on October 26, 2018 which is after the fiscal year under audit.
- For eleven (11) out of 60 samples, CFSA was unable to provide evidence that the neglect registry check was done at the time of the adoption.
- For three (3) out of 60 samples, CFSA provided documentation that was outside the period to demonstrate whether the neglect registry check was done at the time of the adoption.
- For eleven (11) out of 60 samples, CFSA was unable to provide documentation evidencing that prospective adoptive parent(s) had met a criminal history record check, including a fingerprint-based check.
- For three (3) out of 60 samples, CFSA provided documentation that was outside of the period for prospective adoptive parent(s) criminal history record check, including a fingerprint-based check.
- For one (1) out of 60 samples, CFSA issued a license to adoptive parents even though both individuals had a criminal history record. Additionally, we noted that the applicants listed two other members living in the household; however, we noted no evidence that a child protection check registry or criminal history check were performed on these individuals.

These deficiencies represent 50% of the total disbursements tested.

Questioned Costs - Known amount is \$22,716.

Context - This is a condition identified per review of CFSA’s compliance with specified requirements using a statistically valid sample.

Effect - Without proper controls in place to ensure case files are properly reviewed and documentation maintained, CFSA was not in compliance with the eligibility requirements of the Adoption Assistance program. In addition, we were unable to determine whether each child remains eligible and whether the subsidy should have continued.

Cause - CFSA does not have adequate controls in place to ensure that eligibility files are being properly reviewed and required documentation is being maintained to ensure compliance with eligibility requirements as required by the program.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Recommendation - We recommend CFSA evaluate and strengthen its existing policies and procedures over the review and maintenance of appropriate documentation to ensure compliance with eligibility requirements of the program.

Related Noncompliance - Material noncompliance.

Views of Responsible Officials and Planned Corrective Actions - CFSA concurs with this finding.

- CFSA concurs that for ten (10) out of 60 samples, CFSA was unable to provide evidence that the program eligibility checklist was appropriately approved. We further noted that the case files did not contain a referral. CFSA will complete (and approve) the checklist for all adoption assistance cases at the time of finalization and ensure it is included in each adoption subsidy file. CFSA will also scan and store each checklist. It must be noted that the eligibility checklist is not a federal requirement for Title IV-E claiming, a point the Department of Health and Human (HHS) Administration for Children and Families (ACF) highlighted in their March 18 and March 26, 2019 ACF Decision letters (A-03-18-33813 and A-03-16-30398 respectively).
- CFSA concurs that for twenty (21) out of 60 samples, CFSA was unable to provide evidence that the annual subsidy application was reviewed and that the reviews were properly documented. Each year, CFSA sends each adoptive parent an annual questionnaire seeking information on the status and well-being of each adopted child. CFSA has updated its process and forms to ensure that documentation of the annual questionnaires exists for and covers each fiscal year. CFSA will scan each letter and securely store going forward. It's important to note that of the questionnaires CFSA mails, approximately 75% of are returned by adoptive parents. CFSA also follows up on communication it receives regarding the status or well-being of an adopted child. CFSA researches and investigates where applicable, and contacts adoptive parents as appropriate. As necessary, CFSA sends the adoptive parent a *Notice of Action* to remedy verified status changes which might impact adoption assistance. Equally important, it is necessary to note that the federal Child Welfare Policy Manual states "There is no Federal statute or provision requiring annual renewals, recertifications or eligibility re-determinations for title IV-E adoption assistance". Further, documentation of annual reviews is not a federal eligibility requirement, a point the ACF highlighted in their March 18 and March 26, 2019 ACF Decision letters (A-03-18-33813 and A-03-16-30398 respectively). CFSA will ensure that documentation of the adoption subsidy annual review is placed in the adoption subsidy file.
- CFSA concurs with the remaining findings pertaining to evidence that the neglect registry check was done at the time of the adoption, and documentation evidencing that prospective adoptive parent(s) had met a criminal history record check, including a fingerprint-based check. CFSA will update its process to obtain scan and store licenses, child protection registry checks and criminal background checks at the time of licensure, ensuring that the documentation will be accessible and available at the time of adoption finalization. The enhancement to the process will include: a) conducting monthly management and team meetings focused on reviewing licensing documentation and cross-referencing it against each quarter's adoption assistance claim; and b) including licensing documentation as an area of focus in CFSA's monthly Continuous Quality Improvement (CQI) work group. It is important to note that more than 70% of the adoption cases with findings were finalized between fiscal year 2003 to fiscal year 2013, prior to the implementation of CFSA's documentation improvement process which was implemented in October 1, 2014; and in September 30, 2015, CFSA implemented an improved process for centralizing the

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

storage, maintenance and retrieval of all criminal background checks and child abuse and registry checks for all Title IV-E eligible Adoption Assistance cases for which CFSA is claiming Title IV-E funds. More than half of the more recent cases identified in the audit were sighted for lack of “Annual Review Application” which is not a federal eligibility requirement. In fact, ACF noted that state child welfare agencies cannot require adoptive parent to complete and submit the form in question. CFSA is committed to continuing to work to ensure that newly finalized adoption assistance cases contain the criminal history checks and child protection registry checks, as well as other required documentation.

The District’s corrective action is described in the Management’s Corrective Action Plan included as Appendix B of the attached Management’s Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-013
Prior Year Finding Number: 2017-019
Compliance Requirement: Eligibility

Program:

U.S. Department of Health and Human Services

Medicaid Cluster

CFDA #: 93.775, 93.777, 93.778

Award #: 1705DC5MAP

Award Year: 10/01/2017 - 09/30/2018

Government Department/Agency:

Department of Health Care Finance

(DHCF)/Department of Human Services

(DHS)/Economic Security

Administration (ESA)

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

The Medicaid State Plan: Citation 42 CFR Section 431.17AT-79-29. Section 4.7 (Maintenance of Records) states, *“The Medicaid agency maintains or supervises the maintenance of records necessary for the proper and efficient operation of the plan, including records regarding applications, determination of eligibility, the provision of medical assistance, and administrative costs and statistical, fiscal and other records necessary for reporting and accountability, and retains these records in accordance with Federal requirements. All requirements of 42 CFR 431.17 are met.”*

Economic Security Administration (ESA) Policy Manual, Section 1.3, *“All eligibility criteria and clarifying information are documented on the Record of Case Action, form 1052. The case record should speak for itself. An outside reviewer shall be able to follow the chronology of events in the case by reading the narrative. All application documents including verification and correspondence must be date-stamped. For working recipients, the record should include the dates pay is received and how often the recipient is paid. When the recipient’s statement is the best available source, the record should include the application/recipient and agency efforts to verify the information. All address changes should be documented.”*

Condition - During testing over beneficiary eligibility for the Medicaid benefits, we noted that the District’s Economic Security Administration (ESA) was unable to provide sufficient documentation to support the beneficiary’s eligibility determination during the fiscal year 2018 audit. Specifically, out of a sample of 132 participant files tested, we noted the following exceptions:

- One (1) participant file where ESA was unable to provide a signed application form covering the audit period.
- One (1) participant file where ESA did not process the application within the 45 day timeframe.
- One (1) participant file where ESA did not verify participant’s citizenship and that the participant was a non-qualified alien.

Without ESA maintaining the proper documentation in the case files, we were unable to verify whether certain participants were properly enrolled in the Medicaid program.

ESA is using the Document Imaging Management System (DIMS) to maintain participant documentation. The DIMS is a record retention system used to record and scan all incoming documents that support the

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

case record. However, even with the use of automated files, the DHS was still unable to retrieve the required supporting documentation.

In addition, the Department of Health Care Finance, as the State Medicaid Agency, lacks a quality control oversight system to ensure that eligibility documentation is maintained to support the eligibility decision.

Questioned Costs - Not determinable.

Context - This is a condition identified per review of ESA's compliance with specified requirements using a statistically valid sample.

Effect - Lack of supporting documentation for program services and noncompliance with program requirements could result in disallowances of costs and participants could be receiving benefits that they are not entitled to receive under the program.

Cause - ESA does not appear to have adequate internal control procedures to ensure that participant documentation is recorded and scanned in DIMS in order to maintain participant documentation in a centralized location.

Recommendation - We recommend that ESA improve internal control procedures to ensure that documentation is maintained to support eligibility decisions and that files are properly retained. In addition, we recommend that DHCF establish a quality control system to ensure that ESA maintains documentation to support the eligibility determination decision.

Related Noncompliance - Noncompliance.

Views of Responsible Officials and Planned Corrective Actions - The District does not dispute the findings provided by BDO. ESA will adopt the outlined internal control procedure to ensure that documentation is maintained to support eligibility decisions and that customer files are properly retained. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-014
Prior Year Finding Number: N/A
Compliance Requirement: Special Tests and Provisions - Utilization Control and Program Integrity

Program:

U.S. Department of Health and Human Services

Medicaid Cluster

CFDA #: 93.775, 93.777, 93.778

Award #: 1705DC5MAP

Award Year: 10/01/2017 - 09/30/2018

Government Department/Agency:

Department of Health Care Finance
(DHCF)

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

The Medicaid State Plan: Citation 42 CFR Section 431.17AT-79-29. Section 4.7 (Maintenance of Records) states, *“The Medicaid agency maintains or supervises the maintenance of records necessary for the proper and efficient operation of the plan, including records regarding applications, determination of eligibility, the provision of medical assistance, and administrative costs and statistical, fiscal and other records necessary for reporting and accountability, and retains these records in accordance with Federal requirements. All requirements of 42 CFR 431.17 are met.”*

Per 42 CFR part 456, DHCF is required to have methods and procedures to safeguard against unnecessary utilization of care and services. The DHCF may conduct this review directly or contract with a Quality Improvement Organization (QIO). DHCF contracted with Delmarva Foundation for Medical Care, Inc. (Delmarva), Qlarant Quality Solutions, Inc., and Liberty Healthcare Corporation to perform these assessments.

Condition - During testing of level of care assessments, we noted that the District’s Department of Healthcare Finance (DHCF) was unable to provide documentation to support whether the participant’s assessments were completed during the fiscal year 2018 audit. Specifically, out of the sample of 60 level of care assessments tested, we noted the following exceptions:

- Nine (9) out of the 48 level of care assessments performed by the Delmarva, DHCF was unable to provide documentation to support whether the participants’ assessments were completed during the fiscal year 2018.

Without DHCF maintaining the proper documentation in the system, we were unable to verify whether the level of care assessments were completed by the Delmarva for certain participants.

In addition, the Department of Health Care Finance, as the State Medicaid Agency, lacks a quality control oversight system to ensure safeguard against unnecessary utilization of care and services.

Questioned Costs - Not determinable.

Context - This is a condition identified per review of DHCF’s compliance with specified requirements using a statistically valid sample.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Effect - Lack of supporting documentation for the level of care assessments and noncompliance with program requirements could result in disallowances of costs. There is a risk that the participants could be receiving Medicaid related services that they are not entitled to receive under the program.

Cause - DHCF does not appear to have adequate internal control procedures to ensure maintenance of complete and proper documentation for the level of care assessments performed by the Delmarva.

Recommendation - We recommend that DHCF improve internal control procedures to ensure that proper and complete documentation is maintained to ensure safeguard against unnecessary utilization of care and services.

Related Noncompliance - Noncompliance.

Views of Responsible Officials and Planned Corrective Actions - DHCF concurs with the facts of the finding. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-015
Prior Year Finding Number: 2017-020
Compliance Requirement: Activities Allowed or Unallowed and Allowable Costs/Cost Principles

Program:

U.S. Department of Health and Human Services

Government Department/Agency:

Department of Health (DOH)

HIV Emergency Relief Project Grants

CFDA #: 93.914

Award #: Various

Award #: 2 H89HA00012-28-00, H89HA00012-27-00

Award Year: 03/01/2018 - 02/28/2019, 03/01/2017 -
02/28/2018

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

Per 2 CFR Section 200.430 Compensation - Personal Services:

“Costs of compensation are allowable to the extent that they satisfy the specific requirements of this part, and that the total compensation for individual employees:

- (1) Is reasonable for the services rendered and conforms to the establish written policy of the non-Federal entity consistently applied to both Federal and non-Federal activities;
- (2) Follows an appointment made in accordance with a non-Federal entity’s laws and/or rules or written policies and meets the requirements of Federal statute, where applicable; and
- (3) Is determined and supported as provided in paragraph (i) of this section, Standards for Documentation of Personnel Expenses, when applicable.”

2 CFR Section 200.430(i):

“*Standards for Documentation of Personnel Expenses* (1) Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed. These records must:

- (i) Be supported by a system of internal control which provides reasonable assurance that the charges are accurate, allowable, and properly allocated;
- (ii) Be incorporated into the official records of the non-Federal entity;
- (iii) Reasonably reflect the total activity for which the employee is compensated by the non-Federal entity, not exceeding 100% of compensated activities;
- (iv) Encompass both federally assisted and all other activities compensated by the non-Federal entity on an integrated basis, but may include the use of subsidiary records as defined in the non-Federal entity’s written policy;
- (v) Comply with the established accounting policies and practices of the non-Federal entity;
- (vi) [Reserved]

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

- (vii) Support the distribution of the employee's salary or wages among specific activities or cost objectives if the employee works on more than one Federal award; a Federal award and non-Federal award; an indirect cost activity and a direct cost activity; two or more indirect activities which are allocated using different allocation bases; or an unallowable activity and a direct or indirect cost activity.
- (viii) Budget estimates (i.e., estimates determined before the services are performed) alone do not qualify as support for charges to Federal awards."

Condition - We noted that DOH continued to allocate payroll expenditures to the HIV Emergency Relief Project Grant (HIVER) program during fiscal year 2018 based on budgeted percentages. These percentages were entered into the PeopleSoft Human Resources/Payroll System (PeopleSoft) at the beginning of the fiscal year and were based on management's estimate of the respective employee's level of effort for each program. PeopleSoft calculated the payroll costs every payroll cycle for each employee and program based on the predetermined percentage, and reported it through the Labor Distribution Report (485 Report). However, management did not perform a periodic comparison of actual costs to the budgeted costs and make any necessary adjustment as required by 2 CFR Section 200.430. Specifically, 30 out of 60 sampled payroll items tested for the HIVER grant were recorded based on estimated hours and not actual hours.

Questioned Costs - Not determinable.

Context - This is a condition identified per review of DOH's compliance with specified requirements using a statistically valid sample. Payroll costs including fringe benefits, for HIVER program in fiscal year 2018 were \$2,784,646.

Effect - DOH was unable to demonstrate that the payroll expenditures charged to the HIVER grant accurately reflected the time incurred on the program and were properly supported in accordance with 2 CFR Part 200.430 time and effort reporting requirements.

Cause - DOH did not have policies and procedures in place to review and reconcile the estimated amounts of payroll expenditures charged to the HIVER program to the actual expenditures incurred. Per corrective action plans and status updates submitted by DOH to BDO in fiscal year 2018, DOH has a plan still in progress to develop a program manager-level certification of employee time and effort reflected in bi-weekly payroll records (485 Reports). It has not been completed by the end of fiscal year 2018.

Recommendation - We recommend that DOH fully implement its current corrective action plan to deploy policies and procedures to periodically compare employees' estimated hours per the 485 Report to the actual hours incurred, and make any necessary adjustments as required by 2 CFR 200.430.

Related Noncompliance - Material noncompliance.

Views of Responsible Officials and Planned Corrective Actions - The Department of Health (DC Health) concurs with the finding and explanation. The current corrective action plan (CAP) is progressing and will be fully implemented by July 31, 2019. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

Finding Number: 2018-016
Prior Year Finding Number: 2017-021
Compliance Requirement: Activities Allowed or Unallowed and Allowable Costs/Cost Principles

Program:

U.S. Department of Health and Human Services

Government Department/Agency:

Department of Health (DOH)

HIV Care Formula Grants

CFDA #: 93.917

Award #: 2 X07HA00045-28-00, 2 X07HA00045-27-00

Award Year: 04/01/2018 - 03/31/2019, 04/01/2017 - 03/31/2018

Criteria - The Uniform Guidance in 2 CFR Section 200.303 requires that non-Federal entities receiving Federal awards (i.e., auditee management) establish and maintain internal control designed to reasonably ensure compliance with Federal statutes, regulations, and the terms and conditions of the Federal award.

Per 2 CFR Section 200.430 Compensation - Personal Services:

“Costs of compensation are allowable to the extent that they satisfy the specific requirements of this part, and that the total compensation for individual employees:

- (1) Is reasonable for the services rendered and conforms to the establish written policy of the non-Federal entity consistently applied to both Federal and non-Federal activities;
- (2) Follows an appointment made in accordance with a non-Federal entity’s laws and/or rules or written policies and meets the requirements of Federal statute, where applicable; and
- (3) Is determined and supported as provided in paragraph (i) of this section, Standards for Documentation of Personnel Expenses, when applicable.”

2 CFR Section 200.430(i):

“*Standards for Documentation of Personnel Expenses* (1) Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed. These records must:

- (i) Be supported by a system of internal control which provides reasonable assurance that the charges are accurate, allowable, and properly allocated;
- (ii) Be incorporated into the official records of the non-Federal entity;
- (iii) Reasonably reflect the total activity for which the employee is compensated by the non-Federal entity, not exceeding 100% of compensated activities;
- (iv) Encompass both federally assisted and all other activities compensated by the non-Federal entity on an integrated basis, but may include the use of subsidiary records as defined in the non-Federal entity’s written policy;
- (v) Comply with the established accounting policies and practices of the non-Federal entity;
- (vi) [Reserved]

Government of the District of Columbia

Schedule of Findings and Questioned Costs Year Ended September 30, 2018

- (vii) Support the distribution of the employee's salary or wages among specific activities or cost objectives if the employee works on more than one Federal award; a Federal award and non-Federal award; an indirect cost activity and a direct cost activity; two or more indirect activities which are allocated using different allocation bases; or an unallowable activity and a direct or indirect cost activity.
- (viii) Budget estimates (i.e., estimates determined before the services are performed) alone do not qualify as support for charges to Federal awards."

Condition - We noted that DOH continued to allocate payroll expenditures to the HIV Care Formula Grant (HIV Care) program during fiscal year 2018 based on budgeted percentages. These percentages were entered into the PeopleSoft Human Resources/Payroll System (PeopleSoft) at the beginning of the fiscal year and were based on management's estimate of the respective employee's level of effort for each program. PeopleSoft calculated the payroll costs every payroll cycle for each employee and program based on the predetermined percentage, and reported it through the Labor Distribution Report (485 Report). However, management did not perform a periodic comparison of actual costs to the budgeted costs and make any necessary adjustment as required by 2 CFR 200.430. Specifically, 31 out of 60 sampled payroll items tested for the HIV Care grant were recorded based on estimated hours and not actual hours.

Questioned Costs - Not determinable.

Context - This is a condition identified per review of DOH's compliance with specified requirements using a statistically valid sample. Payroll costs including fringe benefits, for HIV Care program in fiscal year 2018 were \$1,689,491.

Effect - DOH was unable to demonstrate that the payroll expenditures charged to the HIV Care grant accurately reflected the time incurred on the program and were properly supported in accordance with 2 CFR Part 200.430 time and effort reporting requirements.

Cause - DOH did not have policies and procedures in place to review and reconcile the estimated amounts of payroll expenditures charged to the HIV Care program to the actual expenditures incurred. Per corrective action plans and status updates submitted by DOH to BDO in fiscal year 2018, DOH has a plan still in progress to develop a program manager-level certification of employee time and effort reflected in bi-weekly payroll records (485 Reports). It has not been completed by the end of fiscal year 2018.

Recommendation - We recommend that DOH fully implement its current corrective action plan to deploy policies and procedures to periodically compare employees' estimated hours per the 485 Report to the actual hours incurred, and make any necessary adjustments as required by 2 CFR 200.430.

Related Noncompliance - Material noncompliance.

Views of Responsible Officials and Planned Corrective Actions - The Department of Health (DC Health) concurs with the finding and explanation. The current corrective action plan (CAP) is progressing and will be fully implemented by July 31, 2019. The District's corrective action is described in the Management's Corrective Action Plan included as Appendix B of the attached Management's Section.

GOVERNMENT OF THE DISTRICT OF COLUMBIA

OFFICE OF THE CHIEF FINANCIAL OFFICER



Jeffrey S. DeWitt
Chief Financial Officer

Appendix A

**Government of the District of Columbia
Summary Schedule of Prior Audit Findings**

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
2017-001 <i>Prior Year Finding: N/A</i> DHS	US Dept. of Agriculture Supplemental Nutrition Assistance Program Cluster 10.551, 10.561	Activities Allowed or Unallowed and Allowable Costs/Cost Principles	Corrected.
2017-002 <i>Prior Year Finding: N/A</i> DHS	US Dept. of Agriculture Supplemental Nutrition Assistance Program Cluster 10.551, 10.561	Activities Allowed or Unallowed and Allowable Costs/Cost Principles Costs	Corrected.
2017-003 <i>Prior Year Finding: N/A</i> DHS	US Dept. of Agriculture Supplemental Nutrition Assistance Program Cluster 10.551, 10.561	Cash Management	Corrected.
2017-004 <i>Prior Year Finding: N/A</i> DHS/DCAS	US Dept. of Agriculture Supplemental Nutrition Assistance Program Cluster 10.551, 10.561	Special Tests and Provisions - ADP System for SNAP	Status: Finding repeated in the current year (2018-001). Reason for Recurrence: In FY18, DHS has experienced additional DCAS system and processing errors causing SNAP overpayments and underpayments. The issues identified in the finding have been resolved with system

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>fixes in releases with the exceptions of notices which are on-going.</p> <p>FY 2018/2019 Corrective Action Plan: Many of the sources of the listed issues have already been addressed, but DHS will continually work to make the ADP system for SNAP better. Currently, the process is that if an error is discovered, it is reported to the triage team to investigate its root cause, and then a fix is prioritized by a combination of policy experts, the operations team, and the systems team. Once the fix is prioritized, the solution can be developed and released. This process is ongoing for the life of the system.</p> <p><u>2,501 cases /Total Impact \$526,193</u></p> <p>Major enhancements were delivered to DCAS in September 2018 through Releases v2.17 & v2.18 to ensure that customers receive their accurate recertification notices timely. These updates have resulted in a 99% successful pass rate as of May 2019. The \$526,193 overpayments described above were paid to beneficiaries in real time. However, since the implementation of the system enhancements delivered throughout FY 2018; this error should not occur in the future and should be considered resolved as of September 8, 2018.</p> <p><u>2,724 cases /Total Impact \$77,171</u></p> <p>DCAS added a validation script to the system December 2017 in</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>Release v2.13 specifically to address the root cause of this overpayment. This validation will prevent the authorization of a duplicate benefit if an individual has received a matching or previous benefit. The \$77,171 overpayments described above were paid to beneficiaries in real time. However, since the implementation of the validation script on December 21, 2017; this error should not occur in the future.</p> <p><u>1,529 cases /Total Impact \$415,399</u></p> <p>DCAS developed a notice remediation plan; with the goal of identifying system related notice issues. Supporting this effort, DCAS and DHS assembled a cross-functional notices workgroup. As a result, Pass Rates for notices improved from 89% in January 2018 to >99% in December 2018. DCAS has maintained an average Pass rate of >99% since December 2018 - this continues as of May 2019. The \$415,399 overpayments described above were paid to beneficiaries in real time. However, since the implementation of the system enhancements delivered throughout FY 2018 this error should be mitigated moving forward.</p> <p><u>959 cases /Total Impact \$243,460</u></p> <p>An enhancement was delivered to DCAS in September 2018 via Release v2.17 and 2.18 to address this overpayment. The system's code was updated to count the full grant amount instead of the reduced grant amount when determining the SNAP benefit. The</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>\$243,460 overpayments described above were paid to beneficiaries in real time. However, since the implementation of the system enhancements delivered on September 8, 2018; this error should not occur in the future and considered resolved.</p> <p>Partially Corrected: Start date: October 1, 2018 Estimated completion date: December, 2018</p>
2017-005 <i>Prior Year Finding: 2016-002</i> DHS/OFT	US Dept. of Agriculture Supplemental Nutrition Assistance Program Cluster 10.551, 10.561	Special Tests and Provisions - EBT Card Security	<p>Status: Finding repeated in the current year (2018-002).</p> <p>Reason for Recurrence: A number of the discrepancies are related to the failure to comply with the policies and procedures in place regarding the completion of the EBT intake form. DHS, OFCO and FIS will continue to work with UPO to ensure the process improvements occur.</p> <p>FY 2018/2019 Corrective Action Plan: DHS will continue to hold staff accountable and enforce its progressive disciplinary process with staff who continue to commit errors. UPO will add and maintain a supervisor at each site and hire a new manager. The creation of the additional supervisor position will increase operational efficiencies, ensure contract compliance with the 48 hours requirement for the supervisor/manager to review/sign off on the balance sheets, and maintain consistent and appropriate supervisor/manager level oversight at each site.</p> <p>On August 22, 2018, OFT updated the standard operating procedures manual to combat and prevent</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>further incidents of errors. The update provides more explicit instructions/guidelines for staff. The following processes are being utilized to eliminate errors: staff are required to perform a check of their paperwork and their co-worker's paperwork (issuance logs and intake forms) at the beginning and end of the day. At the end of the day, staff perform a final check before signing the required forms (balance sheet and checklist). Staff utilize the staff checklist to perform a daily check of each component of the card printing process. Any corrections that need to be made to an entry require staff to draw a line through the mistake and to, record the correct information; two initials are needed to verify that the change was made.</p> <p>Managers/supervisors are required to perform a final review of the paperwork within 48 hours. Managers/supervisors utilize the manager checklist to perform a check of all components of the card printing process for each site's daily paperwork. The addition of the checklist holds the manager/supervisor and staff accountable for the quality of their work. There has been a decrease in errors since the implementation of the new procedures.</p> <p>DHS has implemented a quality improvement plan as of February 2019. The quality review process involves a multilayer system check for performance improvement. This counterbalancing system is regulated using 4 layers of review: daily at the staff and the supervisor/manager level, weekly at the division director level, and quarterly at UPO's Office of</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>Performance Management level. This process should ensure all aspects of the program are reviewed and assessed by the appropriate personnel.</p> <p>Partially Corrected: Start date: Previously started September, 2018 Estimated completion date: September 30, 2020</p>
2017-006 <i>Prior Year Finding: 2016-003</i> DCPS	US Dept. of Agriculture Child Nutrition Cluster 10.553, 10.555, 10.556, 10.559	Eligibility	<p>Status: Finding repeated in the current year (2018-003).</p> <p>Reason for Recurrence: In the prior year DCPS developed a corrective action plan to target issues with meal accountability by doing a quarterly audit of 3% of SOP students and 3% of CEP sites. Upon execution of the process, reinforcements were made to the original plan as it was deemed insufficient to adequately address the finding.</p> <p>FY 2018/2019 Corrective Action Plan: DCPS developed a corrective action plan to target issues with meal accountability by doing a quarterly audit of 3% of SOP students and 3% of CEP sites. After much deliberation with OSSE, OSSE decided that the 3% audit was insufficient in determining absence reconciliation for DCPS Food and Nutrition Services (FNS). Effective December 2018, DCPS FNS developed a new policy to correct meal counts for students who are recorded as 100% absent for lunch meal transactions. To date, OSSE is satisfied with this new policy and outcomes.</p> <p>DCPS FNS will continue with this model to correct erroneous</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>charges or meal count data on claim forms. As part of the process, DCPS FNS receives an absence data list monthly from an internal DCPS team that has this information in their student data system. Once that information is received, meal transaction data for each school is compared to determine if any matches exist for 100% absent students. In instances where these matches occur, the respective number of meals are removed from the edit check and submitted in a clean data per school sheet to OSSE of USDA reimbursement.</p> <p>DCPS FNS also plans to strengthen accountability procedures with our food service management contract vendors. Annual trainings at the beginning of the school year cover daily accountability policies and procedures, including point of sale transactions and the meal line process. DCPS will continue to conduct annual accountability reviews at every national school lunch program site to ensure daily accountability policies and procedures are followed.</p> <p>Partially Corrected: Start date: Previously started December 1, 2018</p> <p>Estimated completion date: September 30, 2019</p>
2017-007 <i>Prior Year Finding: 2016-007</i> DDS	US Dept. of Education Rehabilitation Services - Vocational Rehabilitation Grants to States 84.126	Eligibility	Corrected.

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
2017-008 <i>Prior Year Finding: N/A</i> DDS	US Dept. of Education Rehabilitation Services - Vocational Rehabilitation Grants to States 84.126	Reporting	Corrected.
2017-009 <i>Prior Year Finding: 2016-008</i> DHS	US Dept. of Education Rehabilitation Services - Vocational Rehabilitation Grants to States 84.126	Special Tests and Provisions - Completion of Individualized Plan for Employment (IPEs)	Corrected.
2017-010 <i>Prior Year Finding: 2016-009</i> DHS/ESA	US Dept. of HHS Temporary Assistance for Needy Families Cluster (TANF) 93.558	Eligibility	<p>Status: Finding repeated in the current year (2018-006).</p> <p>Reason for Recurrence: A significant number of staff failed to properly index and tag documents to electronic case records, creating an increased number of "orphan documents" which could not be located in DIMS during the audit. DHS is continuing to make improvement in both systems and processes as it relates to improving locating documents. Internal audits are occurring monthly to ensure applications and supporting documents are being properly scanned and associated with the correct case in DIMS, checking for completeness and citizenship. The Consolidated application is being updated to ensure that cash assistance is being provided to individuals during the 10-year period that began on the date the individual was convicted in Federal or State court of having made a fraudulent statement or representation with respect to place of residence in order to</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>simultaneously receive assistance from two or more States under TANF, Title XIX, or the Food Stamp Act of 1977, or benefits in two or more States under the Supplemental Security Income program under Title XVI of the Social Security Act.</p> <p>FY 2018/2019 Corrective Action Plan: DHS, Division of Program Operations (DPO) Executive Management Team will continue to receive and monitor statistical scanning reports (Pending and Hold Batch and Orphan/Default reports) from the Office of Information Systems (OIS) to check for staff scanning inconsistencies such as documents scanned that are considered orphaned (unable to attach to a case) across all service centers. The DPO office will also ensure that documents are scanned and tagged on the same day they are received per the Business Process Redesign (BPR). The Office of Information Systems (OIS) completed the Release 2 of the DataCap upgrade in May 2019. The upgrade included the implementation of Optical Character Recognition (OCR) feature that allows the system to automatically enter the correct metadata for a document, which reduces incorrect metadata submissions for a document that can be made by a case worker. The reduction in human errors will result in finding documents associated with the correct cases. The upgrade also included a performance boost that reduces the time it takes to scan, tag and index a document by half. In addition, the search interface is now more intuitive and simplified</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>to allow users to find documents that were previously hard to access through the prior complex search interface.</p> <p>DHS, Division of Program Development, Training and Quality Assurance (DPDT & QA), Office of Quality Assurance will continue to conduct monthly internal audits on the Orphan/Default report to ensure applications and supporting documents are being properly scanned and associated with the correct case in DIMS and checking for completeness. The Office of Quality Assurance will continue to report the findings to DPO Executive Management Team.</p> <p>DHS is working on revising the consolidated application to verify information that cash assistance was not provided to an individual during the 10-year period that began on the date the individual was convicted in Federal or State court of having made a fraudulent statement or representation with respect to place of residency in order to simultaneously receive assistance from two or more States, DHS will add a self-attestation question to its consolidated application for the customer to answer if they have falsely made a statement or misrepresentation with respect to place of residence in order to simultaneously receive assistance from two or more States.</p> <p>Partially Corrected: Start date: Previously started August 1, 2018 Estimated completion date: September 30, 2020</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
2017-011 <i>Prior Year Finding: N/A</i> DHS/ESA	US Dept. of HHS Temporary Assistance for Needy Families Cluster (TANF) 93.558	Special Tests and Provisions - Child Support Non-Cooperation	<p>Status: Finding repeated in the current year (2018-008).</p> <p>Reason for Recurrence: The interface between the DC Access System (DCAS) and the Office of Attorney General, Child Support Services Division (OAG, CSSD) is not properly working. DHS is continuing to work with DCAS and the OAG on the interface. Issues with the work around have been addressed and resolved. Internal audits are being conducted monthly to ensure DHS is effectively implementing and removing sanctions request in a timely manner.</p> <p>FY 2018/2019 Corrective Action Plan: The DHS/ESA Sanction Team will continue to receive transmitted cooperation data from the Office of Attorney General (OAG) Child Support Services Division (CSSD) until another process is developed. OAG will continue to send excel spreadsheet on a bi-weekly basis with cooperation and non-cooperation data. The DCAS-OAG Interface fixes are in the process of being designed, but they will be launched in March of 2020. The DCAS team is working with both ESA and OAG to ensure proper design and testing of the interface.</p> <p>A Micro Strategy report titled "TANF Absent Parent Child Support Eligibility Indicator (OAG)" was created for the Sanction team to use as a work around until the interface between OAG and ESA in DCAS is working. The DHS/ESA Sanction team began using the Micro Strategy report on January 29, 2019.</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>The DHS/ESA Sanction team will continue to ensure that sanctions are imposed and lifted in a timely manner and to ensure document sanction information is in DCAS under the case details section once a sanction has been imposed or lifted.</p> <p>Partially Corrected: Start date: Previously started August 1, 2018 Estimated completion date: September 30, 2020</p>
2017-012 <i>Prior Year Finding: 2016-010</i> DHS/ESA	US Dept. of HHS Temporary Assistance for Needy Families Cluster (TANF) 93.558	Special Tests and Provisions - Income Eligibility and Verification System	<p>Status: Finding repeated in the current year (2018-009).</p> <p>Reason for Recurrence: The DC Access System (DCAS) is not consistently calling out to the external income verification systems and returning the evidence to apply to all cases during application and recertification. DHS is continuing to work with DCAS to ensure the system is verifying external income sources at the time of application and recertification.</p> <p>FY 2018/2019 Corrective Action Plan: A memorandum was shared with all DHS/ESA eligibility staff informing them of the automatic BENDEX verification process in the current eligibility system. Training will be provided to the staff to reiterate to our process, where the information can be viewed and how information should be annotated in the case record.</p> <p>DHS will also work with the DCAS Project Team to ensure that DCAS calls out to the external income verification systems consistently and returns the evidence to apply</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>to all cases. DHS Center Management will be required to randomly select cases for review to ensure that staff is adhering to instructions provided as it relates to BENDEX.</p> <p>Partially Corrected: Start date: Previously started July 2, 2018 Estimated completion date: September 30, 2020</p>
2017-013 <i>Prior Year Finding: 2016-011</i> DHS/ESA	US Dept. of HHS Temporary Assistance for Needy Families Cluster (TANF) 93.558	Special Tests and Provisions - Penalty for Refusal to Work	Corrected.
2017-014 <i>Prior Year Finding: 2016-012</i> DHS	US Dept. of HHS Temporary Assistance for Needy Families Cluster (TANF) 93.558	Reporting; Special Tests and Provisions - Penalty for Failure to Comply With Work Verification Plan	<p>Status: Finding repeated in the current year (2018-010).</p> <p>Reason for Recurrence: There are 3 issues, which contributed to this finding. The first is the interface between DCAS and Q5i is not pulling all of the correct data fields, and results in discrepancies or errors. DHS is continuing to work with the DCAS team and Q5i system managers to ensure that there is a clean and accurate file from DCAS to Q5i. The second issue is a documentation issue. DHS will continue to work with providers and case reviewers to ensure consistency and accuracy across files. The third issue is that verified hours in CATCH do not match reported hours on the ACF-199. DHS continues to review the logic, and also, is working to amend the verification plan.</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>FY 2018/2019 Corrective Action Plan: DHS will work to make sure the interface between DCAS and Q5i is reconciled, such that the system of record (DCAS) matches that which is submitted to Q5i, and in turn reported on the ACF-199 reports that are supported by documentation. A substantial part of this functionality is complete, whereby DCAS hours are part of the monthly file; whereas in FY18, it simply reported employment status. DHS will also update the Work Verification Plan to align with the practice that only necessary hours are reported in the ACF 199. Finally, DHS will continue to execute the sanction policy, such that customers without hours receive a work sanction.</p> <p>Partially Corrected: Start date: Previously started July 2, 2018 Estimated completion date: September 30, 2020</p>
2017-015 <i>Prior Year Finding: 2016-017</i> CFSA	<p>US Dept. of HHS Foster Care - Title IV-E</p> <p>93.658</p>	Eligibility	<p>Status: Finding repeated in the current year (2018-011).</p> <p>Reason for Recurrence: A major reason for the recurrence was CFSA's transition from seven private agencies to one private agency provider, as approximately 81% of the cases in question were managed by private agencies.</p> <p>FY 2018/2019 Corrective Action Plan: CFSA will continue to strengthen its process requiring the scanning and storing of licenses, child protection registry checks and criminal background checks at the time of licensure. CFSA will</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>enhance its quality assurance system to better track and reconcile licensure documentation discrepancies early in the process by: a) conducting monthly management and team meetings solely focused on reviewing licensing documentation and cross-referencing it against each quarter's foster care claim; b) CFSA will include licensing documentation as an area of focus in its monthly Continuous Quality Improvement (CQI) work group.</p> <p>Partially Corrected: Review of files and improved quality assurance. Start date: Previously started July 1, 2019 Estimated completion date: December 31, 2019</p>
<p>2017-016 <i>Prior Year Finding: 2016-022</i> CFSA</p>	<p>US Dept. of HHS Adoption Assistance - Title IV-E 93.659</p>	<p>Eligibility</p>	<p>Status: Finding repeated in the current year (2018-012).</p> <p>Reason for Recurrence: Recurrences in checklist and subsidy review of application documentation were oversights which should be corrected with a closer case review and QA. The annual questionnaire documentation recurrence was due to process changes which have since been corrected. In addition, many of the adoption subsidy cases in question were finalized 5 - 10 years ago which was prior to CFSA implementing process improvements in 2014 and 2015.</p> <p>FY 2018/2019 Corrective Action Plan: CFSA will continue to strengthen its process requiring the scanning and storing of licenses, child protection registry checks and criminal background checks at the</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>time of licensure. CFSA will enhance its quality assurance system to better track and reconcile licensure documentation discrepancies early in the process by: a) conducting monthly management and team meetings solely focused on reviewing licensing documentation and cross-referencing it against each quarter's foster care claim; b) CFSA will include licensing documentation as an area of focus in its monthly Continuous Quality Improvement (CQI) work group.</p> <p>Partially Corrected: Review of files and improved quality assurance. Start date: Previously started January 1, 2018 Estimated completion date: September 30, 2019</p>
2017-017 <i>Prior Year Finding: N/A</i> CFSA	US Dept. of HHS Adoption Assistance - Title IV-E 93.659	Matching, Level of Effort, Earmarking	Corrected.
2017-018 <i>Prior Year Finding: N/A</i> DHCF	US Dept. of HHS Medicaid Cluster 93.775, 93.777, 93.778	Activities Allowed or Unallowed and Allowable Costs/Cost Principles	Corrected.
2017-019 <i>Prior Year Finding: 2016-023</i> DHCF/ DHS/ESA	US Dept. of HHS Medicaid Cluster 93.775, 93.777, 93.778	Eligibility	<p>Status: Finding repeated in the current year (2018-013).</p> <p>Reason for Recurrence: A number of staff failed to properly scan documents to electronic case records, creating cases with "missing application documents", which could not be located in DIMS during the audit. More staff support and oversight is needed in this area. We're making improvements in both systems and</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>processes as relates to better locating documents.</p> <p>FY 2018/2019 Corrective Action Plan:</p> <p><u>DHS Activities:</u></p> <p>ESA will adopt the outlined internal control procedure to ensure that documentation is maintained to support eligibility decisions and that customer filers are properly retained. To ensure that files are properly retained and that documentation is maintained, DHS will:</p> <ol style="list-style-type: none"> 1. Improve Scanning Quality Oversight (DHS, Division of Program Operations (DPO)): DHS DPO Executive Management will continue to receive and monitor statistical scanning reports (Pending and Hold Batch and Orphan/Default reports) from the Office of Information Systems (OIS) to check for staff scanning inconsistencies such as documents scanned that are considered orphaned (unable to attach to a case) across all service centers. DPO will also ensure that documents are scanned and tagged on the same day per the Business Process Redesign (BPR). The Office of information System (OIS) has completed the Release 2 of the DataCap upgrade to all Service Centers. In addition, OIS is currently working on a Release 2 upgrade in DIMS Search application as well as creating a Program Manager dashboard for the DPO Management staff which will allow them to view all orphan,

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>default, pending and hold documents.</p> <p>2. Scanning Quality Assurance (DHS, Division of Program Development, Training and Quality Assurance (DPDT), Office of Quality Assurance (QA)): DPDT and QA will continue to conduct monthly internal audits on the Orphan/Default report to ensure applications and supporting document are being properly scanned and associated with the correct case in DIMS and checking for completeness. The Office of Quality Assurance will continue to report the findings to DPO Executive Management Team.</p> <p><u>Single State Medicaid Agency (DHCF) Oversight:</u></p> <p>DHCF will take the following actions:</p> <p>1. Quarterly Quality Control Oversight Audits: DHCF has instituted a quarterly control audit of ESA Medicaid applications to support appropriate documentation. To redress the findings in the audit, DHCF will continue to conduct quarterly quality control oversight audits of ESA Medicaid applications to ensure, among other things: 1) proper documentation of applications/renewal forms are included in case files to support accurate eligibility decisions; 2) application forms are signed, as required by regulations; 3) applications are being processed timely within the 45 day timeframe.</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>2. Caseworker Training: DHCF will conduct a train-the-trainer course for DHS/ESA managers and caseworkers relating to Medicaid requirements for verification of citizenship.</p> <p>Partially Corrected: Start date: Previously started July 1, 2018 Estimated completion date: September 30, 2020</p>
<p>2017-020 Prior Year Finding: 2016-024 DOH</p>	<p>US Dept. of HHS HIV Emergency Relief Projects Grants 93.914</p>	<p>Activities Allowed or Unallowed and Allowable Costs/Cost Principles</p>	<p>Status: Finding repeated in the current year (2018-015).</p> <p>Reason for Recurrence: The FY 2018 finding was issued while the corrective action plan for the prior year's (FY 2017) finding is still being implemented. The prior year's (FY 2017) CAP already accounted for crossing fiscal years in order to cover a range of review/study, stakeholder engagement, development, implementation activities guided by technical assistance from a contractor/subject matter expert procured specifically for this purpose.</p> <p>DC Health has developed with a contractor (ICS, LLC) final Standard Operating Procedure (SOP) for Time and Effort Certification which is under review by senior DOH Management.</p> <p>FY 2018/2019 Corrective Action Plan: The current corrective action plan (CAP) is progressing and will be fully implemented by July 31, 2019.</p> <p>A corrective action plan (CAP) has been underway with several milestones reached prior to</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>determination of this FY18 finding. Consistent with the CAP, DC Health contracted a study of best options for time and effort reporting and certification, with consideration of specific needs of the DC Health operations, program structures and the portfolio of awards. Some reporting and certification methods (e.g. Personnel Activity Reports and use of combo codes in PeopleSoft) were deemed not optimum given staff size, and the number and complexity of federal awards managed by DC Health personnel. Also considered was the number of routine program changes that align with time and effort reporting (e.g. budget revisions, staff reassignments, temporary delegations, etc.) and multiple budget periods managed simultaneously.</p> <p>As of this response, a final Standard Operating Procedure (SOP) for Time and Effort Certification is under review by senior DOH management. The SOP directs program and fiscal managers to conduct at a minimum, a monthly review and written certification of employee time worked, aligned with cost objectives and fund source reflected in bi-weekly payroll records (i.e. 485 Reports). Requirements for reconciliation and redirection of staff time assigned to cost objectives are addressed in the SOP.</p> <p>Corrective actions include: (1) Finalization of a Time Reporting SOP for monthly management certification of time distribution reports; (2) SOP distribution and training for managers, and (3) Submission of a request for</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>approval on this method to the cognizant federal agency.</p> <p>Partially Corrected: Start date: Previously started January 2017 Estimated completion date: July 31, 2019</p>
2017-021 Prior Year Finding: N/A DOH	US Dept. of HHS HIV Care Formula Grants 93.917	Activities Allowed or Unallowed and Allowable Costs/Cost Principles	<p>Status: Finding repeated in the current year (2018-016).</p> <p>Reason for Recurrence: The FY 2018 finding was issued while the corrective action plan for the prior year's (FY 2017) finding is still being implemented. The prior year's (FY 2017) CAP already accounted for crossing fiscal years in order to cover a range of review/study, stakeholder engagement, development, implementation activities guided by technical assistance from a contractor/subject matter expert procured specifically for this purpose.</p> <p>DC Health has developed with a contractor (ICS, LLC) final Standard Operating Procedure (SOP) for Time and Effort Certification which is under review by senior DOH Management.</p> <p>FY 2018/2019 Corrective Action Plan: The current corrective action plan (CAP) is progressing and will be fully implemented by July 31, 2019.</p> <p>A corrective action plan (CAP) has been underway with several milestones reached prior to determination of this FY18 finding. Consistent with the CAP, DC Health contracted a study of best options for time and effort reporting and</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			<p>certification, with consideration of specific needs of the DC Health operations, program structures and the portfolio of awards. Some reporting and certification methods (e.g. Personnel Activity Reports and use of combo codes in PeopleSoft) were deemed not optimum given staff size, and the number and complexity of federal awards managed by DC Health personnel. Also considered was the number of routine program changes that align with time and effort reporting (e.g. budget revisions, staff reassignments, temporary delegations, etc.) and multiple budget periods managed simultaneously.</p> <p>As of this response, a final Standard Operating Procedure (SOP) for Time and Effort Certification is under review by senior DOH management. The SOP directs program and fiscal managers to conduct at a minimum, a monthly review and written certification of employee time worked, aligned with cost objectives and fund source reflected in bi-weekly payroll records (i.e. 485 Reports). Requirements for reconciliation and redirection of staff time assigned to cost objectives are addressed in the SOP.</p> <p>Corrective actions include: (1) Finalization of a Time Reporting SOP for monthly management certification of time distribution reports; (2) SOP distribution and training for managers, and (3) Submission of a request for approval on this method to the cognizant federal agency.</p>

Finding Number	Program Name & CFDA #	Type of Finding	Current Status
			Partially Corrected: Start date: Previously started January 2017 Estimated completion date: July 31, 2019
2017-022 <i>Prior Year Finding: N/A</i> HSEMA	US Dept. of Homeland Security Disaster Grants - Public Assistance 97.036	Activities Allowed or Unallowed and Allowable Costs/Cost Principles	Corrected.
2017-023 <i>Prior Year Finding: N/A</i> HSEMA	US Dept. of Homeland Security Disaster Grants - Public Assistance 97.036	Activities Allowed or Unallowed and Allowable Costs/Cost Principles; Special Tests and Provisions - Project Accounting	Corrected.
2017-024 <i>Prior Year Finding: N/A</i> HSEMA	US Dept. of Homeland Security Disaster Grants - Public Assistance 97.036	Period of Performance	Corrected.
2017-025 <i>Prior Year Finding: N/A</i> HSEMA	US Dept. of Homeland Security Disaster Grants - Public Assistance 97.036	Reporting	Corrected.
2017-026 <i>Prior Year Finding: N/A</i> HSEMA	US Dept. of Homeland Security Securing the Cities Program 97.106	Reporting	Corrected.

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Appendix B

Page Number	Finding	Contact	Estimated Completion Date	Corrective Action
43	2018-001	Steph Bloch Newman, Acting Deputy Administrator of Innovation and Change Management/Senior Policy Advisor	September 8, 2018	<p>Management concurs with the finding. Many of the sources of the listed issues have already been addressed, but DHS will continually work to make the ADP system for SNAP better. Currently, the process is that if an error is discovered, it is reported to the triage team to investigate its root cause, and then a fix is prioritized by a combination of policy experts, the operations team, and the systems team. Once the fix is prioritized, the solution can be developed and released. This process is ongoing for the life of the system.</p> <p>1. <u>2,501 cases /Total Impact \$526,193</u></p> <p>Major enhancements were delivered to DCAS in September 2018 through Releases v2.17 & v2.18 to ensure that customers receive their accurate recertification notices timely. These updates have resulted in a 99% successful pass rate as of May 2019. The \$526,193 overpayments described above were paid to beneficiaries in real time. However, since the implementation of the system enhancements delivered throughout FY 2018; this error should not occur in the future and should be considered resolved as of September 8, 2018.</p>
			December 21, 2017	<p>2. <u>2,724 cases /Total Impact \$77,171</u></p> <p>DCAS added a validation script to the system December 2017 in Release v2.13 specifically to address the root cause of this</p>

Page Number	Finding	Contact	Estimated Completion Date	Corrective Action
			December, 2018	<p>overpayment. This validation will prevent the authorization of a duplicate benefit if an individual has received a matching or previous benefit. The \$77,171 overpayments described above were paid to beneficiaries in real time. However, since the implementation of the validation script on December 21, 2017; this error should not occur in the future.</p> <p>3. <u>1,529 cases /Total Impact \$415,399</u></p> <p>DCAS developed a notice remediation plan; with the goal of identifying system related notice issues. Supporting this effort, DCAS and DHS assembled a cross-functional notices workgroup. As a result, Pass Rates for notices improved from 89% in January 2018 to >99% in December 2018. DCAS has maintained an average Pass rate of >99% since December 2018 - this continues as of May 2019. The \$415,399 overpayments described above were paid to beneficiaries in real time. However, since the implementation of the system enhancements delivered throughout FY 2018 this error should be mitigated moving forward.</p>
			September 8, 2018	<p>4. <u>959 cases /Total Impact \$243,460</u></p> <p>An enhancement was delivered to DCAS in September 2018 via Release v2.17 and 2.18 to address this overpayment. The system's code was updated to count the full grant amount instead of the reduced grant amount when determining the SNAP benefit. The \$243,460 overpayments described above were paid to beneficiaries in real time. However, since the implementation of the system enhancements delivered on September 8, 2018; this error should not occur in the future and considered resolved.</p>
45	2018-002	Valencia Gregory, Program Analyst	September 30, 2020	<p>DHS concurs with the findings. As a result of the findings, FIS:</p> <p>Will continue to hold staff accountable and enforce its progressive disciplinary process</p>

Page Number	Finding	Contact	Estimated Completion Date	Corrective Action
				<p>with staff who continue to commit errors. UPO will add and maintain a supervisor at each site and hire a new manager. The creation of the additional supervisor position will increase operational efficiencies, ensure contract compliance with the 48 hours requirement for the supervisor/manager to review/sign off on the balance sheets, and maintain consistent and appropriate supervisor/manager level oversight at each site.</p> <p>On August 22, 2018, OFT updated the standard operating procedures manual to combat and prevent further incidents of errors. The update provides more explicit instructions/guidelines for staff. The following processes are being utilized to eliminate errors: staff are required to perform a check of their paperwork and their co-worker's paperwork (issuance logs and intake forms) at the beginning and end of the day. At the end of the day, staff perform a final check before signing the required forms (balance sheet and checklist). Staff utilize the staff checklist to perform a daily check of each component of the card printing process. Any corrections that need to be made to an entry require staff to draw a line through the mistake and to, record the correct information; two initials are needed to verify that the change was made. Managers/supervisors are required to perform a final review of the paperwork within 48 hours. Managers/supervisors utilize the manager checklist to perform a check of all components of the card printing process for each site's daily paperwork. The addition of the checklist holds the manager/supervisor and staff accountable for the quality of their work. There has been a decrease in errors since the implementation of the new procedures.</p> <p>FIS has implemented a quality improvement plan as of February 2019. The quality review process involves a multilayer system check for performance improvement. This</p>

Page Number	Finding	Contact	Estimated Completion Date	Corrective Action
				counterbalancing system is regulated using 4 layers of review: daily at the staff and the supervisor/manager level, weekly at the division director level, and quarterly at UPO's Office of Performance Management level. This process should ensure all aspects of the program are reviewed and assessed by the appropriate personnel.
47	2018-003	Rob Jaber, Director OFNS, District of Columbia Public Schools (DCPS)	September 30, 2019	<p>DCPS agrees with the conditions and recommendations of this finding.</p> <p>DCPS developed a corrective action plan to target issues with meal accountability by doing a quarterly audit of 3% of SOP students and 3% of CEP sites. After much deliberation with OSSE, OSSE decided that the 3% audit was insufficient in determining absence reconciliation for DCPS Food and Nutrition Services (FNS). Effective December 2018, DCPS FNS developed a new policy to correct meal counts for students who are recorded as 100% absent for lunch meal transactions. To date, OSSE is satisfied with this new policy and outcomes.</p> <p>DCPS FNS will continue with this model to correct erroneous charges or meal count data on claim forms. As part of the process, DCPS FNS receives an absence data list monthly from an internal DCPS team that has this information in their student data system. Once that information is received, meal transaction data for each school is compared to determine if any matches exist for 100% absent students. In instances where these matches occur, the respective number of meals are removed from the edit check and submitted in a clean data per school sheet to OSSE of USDA reimbursement.</p> <p>DCPS FNS also plans to strengthen accountability procedures with our food service management contract vendors. Annual trainings at the beginning of the school year cover daily accountability policies and procedures, including point of sale transactions and the meal line process. DCPS will continue to conduct annual</p>

Page Number	Finding	Contact	Estimated Completion Date	Corrective Action
				accountability reviews at every national school lunch program site to ensure daily accountability policies and procedures are followed.
49	2018-004	Natalie Mayers, Agency Fiscal Officer	June 7, 2019	<p>Management concurs with the finding.</p> <p>As accurately stated within the criteria of the finding, Department of Employment Services Benefit Accuracy Measurement (BAM) unit SOP stipulates a higher standard of 100% supervisory review rather than the random case sampling review. No instructions, references or requirements for the BAM supervisory review are required during case sign-off other than using code (0), indicating without review, and code (1) with review.</p> <p>The case review process fell short of the 100% supervisory review standard due to the BAM supervisors' extended absence as some of the cases were submitted via the SUN System without review. This is permissible by ETA 395 handbook. However, in July 2018, the latter part of Fiscal Year 2018, management recognized this condition prior to the audit and designated staff that will be available always to assist with review and approval in the event of any absence of the BAM supervisor. This implementation ensures that the entire population of investigated cases are reviewed for accuracy, timeliness and completeness before USDOL SUN System transmittal.</p>
51	2018-005	Jessica Swanson, Director, Budgetary Strategy	May 31, 2019	<p>DCPS agrees with the conditions and recommendations of this finding.</p> <p>DCPS will implement an additional layer of review prior to submitting the grant report.</p>
52	2018-006	Garlinda Bryant-Rollins, Deputy Administrator	September 30, 2020	<p>The agency agrees with this finding. To ensure that files are properly retained and that documentation is maintained:</p> <p>DHS, Division of Program Operations (DPO) Executive Management Team will continue to receive and monitor statistical scanning reports (Pending and Hold Batch and</p>

Page Number	Finding	Contact	Estimated Completion Date	Corrective Action
				<p>Orphan/Default reports) from the Office of Information Systems (OIS) to check for staff scanning inconsistencies such as documents scanned that are considered orphaned (unable to attach to a case) across all service centers. The DPO office will also ensure that documents are scanned and tagged on the same day they are received per the Business Process Redesign (BPR). The Office of Information Systems (OIS) completed the Release 2 of the DataCap upgrade in May 2019. The upgrade included the implementation of Optical Character Recognition (OCR) feature that allows the system to automatically enter the correct metadata for a document, which reduces incorrect metadata submissions for a document that can be made by a case worker. The reduction in human errors will result in finding documents associated with the correct cases. The upgrade also included a performance boost that reduces the time it takes to scan, tag and index a document by half. In addition, the search interface is now more intuitive and simplified to allow users to find documents that were previously hard to access through the prior complex search interface.</p> <p>DHS, Division of Program Development, Training and Quality Assurance (DPDT & QA), Office of Quality Assurance will continue to conduct monthly internal audits on the Orphan/Default report to ensure applications and supporting documents are being properly scanned and associated with the correct case in DIMS and checking for completeness. The Office of Quality Assurance will continue to report the findings to DPO Executive Management Team.</p> <p>DHS is working on revising the consolidated application to verify information that cash assistance was not provided to an individual during the 10-year period that began on the date the individual was convicted in Federal or State court of having made a fraudulent statement or representation with respect to place of residency in order to</p>

Page Number	Finding	Contact	Estimated Completion Date	Corrective Action
				simultaneously receive assistance from two or more States, DHS will add a self-attestation question to its consolidated application for the customer to answer if they have falsely made a statement or misrepresentation with respect to place of residence in order to simultaneously receive assistance from two or more States.
54	2018-007	Morris Thorpe, HSSC Controller	June 30, 2019	DHS concurs with this finding. The Department of Human Services Service incorporates the reporting requirements as reflected in Title IV-A, Section 411 of the SSA and 45 CFR 265.3 and the American Recovery and Reinvestment Act of 2009 in the policies and procedures as it relates to reporting for the TANF grant and is the basis for preparing the report. To ensure there are no discrepancies, the Agency Fiscal Officer and the Accounting Officer will perform a detailed review of the ACF-196R and confirm that it is in agreement with the CFOSolve report prior to submission. Additionally, the year-end review will include a reconciliation between the ACF-196R, CFOSolve and the SEFA.
56	2018-008	David Ross, Deputy Administrator	September 30, 2020	<p>DHS concurs with this finding. The DHS/ESA Sanction Team will continue to receive transmitted cooperation data from the Office of Attorney General (OAG) Child Support Services Division (CSSD) until another process is developed. OAG will continue to send excel spreadsheet on a bi-weekly basis with cooperation and non-cooperation data. The DCAS-OAG Interface fixes are in the process of being designed, but they will be launched in March of 2020. The DCAS team is working with both ESA and OAG to ensure proper design and testing of the interface.</p> <p>A Micro Strategy report titled "TANF Absent Parent Child Support Eligibility Indicator (OAG)" was created for the Sanction team to use as a work around until the interface between OAG and ESA in DCAS is working. The DHS/ESA Sanction team began using the Micro Strategy report on January 29, 2019.</p>

Page Number	Finding	Contact	Estimated Completion Date	Corrective Action
				The DHS/ESA Sanction team will continue to ensure that sanctions are imposed and lifted in a timely manner and to ensure document sanction information is in DCAS under the case details section once a sanction has been imposed or lifted.
58	2018-009	Garlinda Bryant-Rollins, Deputy Administrator	September 30, 2020	<p>DHS concurs with this finding. A memorandum was shared with all DHS/ESA eligibility staff informing them of the automatic BENDEX verification process in the current eligibility system. Training will be provided to the staff to reiterate to our process, where the information can be viewed and how information should be annotated in the case record.</p> <p>DHS will also work with the DCAS Project Team to ensure that DCAS calls out to the external income verification systems consistently and returns the evidence to apply to all cases. DHS Center Management will be required to randomly select cases for review to ensure that staff is adhering to instructions provided as it relates to BENDEX.</p>
60	2018-010	Brian Campbell, Senior Policy Analyst	September 30, 2020	DHS concurs with this finding. DHS will work to make sure the interface between DCAS and Q5i is reconciled, such that the system of record (DCAS) matches that which is submitted to Q5i, and in turn reported on the ACF-199 reports that are supported by documentation. A substantial part of this functionality is complete, whereby DCAS hours are part of the monthly file; whereas in FY18, it simply reported employment status. DHS will also update the Work Verification Plan to align with the practice that only necessary hours are reported in the ACF 199. Finally, DHS will continue to execute the sanction policy, such that customers without hours receive a work sanction.
63	2018-011	John Simmons, Jr., Business Services Administrator	December 31, 2019	CFSA concurs with this finding. CFSA will continue to strengthen its process requiring the scanning and storing of licenses, child protection registry checks and criminal

Page Number	Finding	Contact	Estimated Completion Date	Corrective Action
				<p>background checks at the time of licensure. CFSA will enhance its quality assurance system to better track and reconcile licensure documentation discrepancies early in the process by:</p> <ol style="list-style-type: none"> 1. Conducting monthly management and team meetings solely focused on reviewing licensing documentation and cross-referencing it against each quarter's foster care claim; 2. CFSA will include licensing documentation as an area of focus in its monthly Continuous Quality Improvement (CQI) work group.
66	2018-012	John Simmons, Jr., Business Services Administrator	September 30, 2019	<p>CFSA concurs with this finding. CFSA will continue to strengthen its process requiring the scanning and storing of licenses, child protection registry checks and criminal background checks at the time of licensure. CFSA will enhance its quality assurance system to better track and reconcile licensure documentation discrepancies early in the process by:</p> <ol style="list-style-type: none"> 1. Conducting monthly management and team meetings solely focused on reviewing licensing documentation and cross-referencing it against each quarter's foster care claim; 2. CFSA will include licensing documentation as an area of focus in its monthly Continuous Quality Improvement (CQI) work group.
70	2018-013	Danielle Lewis Wright, Associate Director, Division of Eligibility Policy	September 30, 2020	<p>DHCF concurs with the facts of the finding. To redress the challenges identified, the District proposes to take the following actions:</p> <p><u>DHS Activities:</u></p> <p>ESA will adopt the outlined internal control procedure to ensure that documentation is maintained to support eligibility decisions and that customer filers are properly retained. To</p>

Page Number	Finding	Contact	Estimated Completion Date	Corrective Action
			September 30, 2020	<p>ensure that files are properly retained and that documentation is maintained, DHS will:</p> <ol style="list-style-type: none"> 1. Improve Scanning Quality Oversight (DHS, Division of Program Operations (DPO)): DHS DPO Executive Management will continue to receive and monitor statistical scanning reports (Pending and Hold Batch and Orphan/Default reports) from the Office of Information Systems (OIS) to check for staff scanning inconsistencies such as documents scanned that are considered orphaned (unable to attach to a case) across all service centers. DPO will also ensure that documents are scanned and tagged on the same day per the Business Process Redesign (BPR). The Office of information System (OIS) has completed the Release 2 of the DataCap upgrade to all Service Centers. In addition, OIS is currently working on a Release 2 upgrade in DIMS Search application as well as creating a Program Manager dashboard for the DPO Management staff which will allow them to view all orphan, default, pending and hold documents. 2. Scanning Quality Assurance (DHS, Division of Program Development, Training and Quality Assurance (DPDT), Office of Quality Assurance (QA)): DPDT and QA will continue to conduct monthly internal audits on the Orphan/Default report to ensure applications and supporting document are being properly scanned and associated with the correct case in DIMS and checking for completeness. The Office of Quality Assurance will continue to report the findings to DPO Executive Management Team. <p><u>Single State Medicaid Agency (DHCF) Oversight:</u></p> <p>DHCF will take the following actions:</p> <ol style="list-style-type: none"> 1. Quarterly Quality Control Oversight Audits: DHCF has instituted a quarterly control audit of ESA Medicaid applications

Page Number	Finding	Contact	Estimated Completion Date	Corrective Action
				<p>to support appropriate documentation. To redress the findings in the audit, DHCF will continue to conduct quarterly quality control oversight audits of ESA Medicaid applications to ensure, among other things: 1) proper documentation of applications/renewal forms are included in case files to support accurate eligibility decisions; 2) application forms are signed, as required by regulations; 3) applications are being processed timely within the 45 day timeframe.</p> <p>2. Caseworker Training: DHCF will conduct a train-the-trainer course for DHS/ESA managers and caseworkers relating to Medicaid requirements for verification of citizenship.</p>
72	2018-014	leisha Gray, Director, Long Term Care Administration	September 15, 2018	<p>The Long Term Care Assessment vendor during this timeframe was responsible for initiating and maintaining all documentation (required by regulation) for all assessments completed. DHCF submitted corrective action plans to the Office of Contracts and Procurement due to concerns regarding their ability to consistently meet agency expectations and contractual obligations.</p> <p>As a result, the agency used the 2018 re-procurement of the third party assessment to make substantive changes to the contract language. This included, but it is not limited to the following: shifting from a fixed rate payment structure to an indefinite delivery indefinite quality structure for increased control over service delivery and payment, more stringent reporting requirements for increased quality oversight, and more stringent requirement of the staffing plan and composition.</p> <p>In addition, DHCF has employed multiple new controls over this process as of the fourth quarter of FY2018: design and deployment of a new DHCF-owned and operated IT system for direct and assessment tool used in numerous state Medicaid programs and internationally.</p>

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74	2018-015	Clara Ann McLaughlin, Chief, Office of Grants Management	July 31, 2019	<p>The Department of Health (DC Health) concurs with the finding and explanation. The current corrective action plan (CAP) is progressing and will be fully implemented by July 31, 2019.</p> <p>A corrective action plan (CAP) has been underway with several milestones reached prior to determination of this FY18 finding. Consistent with the CAP, DC Health contracted a study of best options for time and effort reporting and certification, with consideration of specific needs of the DC Health operations, program structures and the portfolio of awards. Some reporting and certification methods (e.g. Personnel Activity Reports and use of combo codes in PeopleSoft) were deemed not optimum given staff size, and the number and complexity of federal awards managed by DC Health personnel. Also considered was the number of routine program changes that align with time and effort reporting (e.g. budget revisions, staff reassignments, temporary delegations, etc.) and multiple budget periods managed simultaneously.</p> <p>As of this response, a final Standard Operating Procedure (SOP) for Time and Effort Certification is under review by senior DOH management. The SOP directs program and fiscal managers to conduct at a minimum, a monthly review and written certification of employee time worked, aligned with cost objectives and fund source reflected in bi-weekly payroll records (i.e. 485 Reports). Requirements for reconciliation and redirection of staff time assigned to cost objectives are addressed in the SOP.</p> <p>Corrective actions include: (1) Finalization of a Time Reporting SOP for monthly management certification of time distribution reports; (2) SOP distribution and training for managers, and (3) Submission of a request for approval on this method to the cognizant federal agency.</p>

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76	2018-016	Clara Ann McLaughlin, Chief, Office of Grants Management	July 31, 2019	<p>The Department of Health (DC Health) concurs with the finding and explanation. The current corrective action plan (CAP) is progressing and will be fully implemented by July 31, 2019.</p> <p>A corrective action plan (CAP) has been underway with several milestones reached prior to determination of this FY18 finding. Consistent with the CAP, DC Health contracted a study of best options for time and effort reporting and certification, with consideration of specific needs of the DC Health operations, program structures and the portfolio of awards. Some reporting and certification methods (e.g. Personnel Activity Reports and use of combo codes in PeopleSoft) were deemed not optimum given staff size, and the number and complexity of federal awards managed by DC Health personnel. Also considered was the number of routine program changes that align with time and effort reporting (e.g. budget revisions, staff reassignments, temporary delegations, etc.) and multiple budget periods managed simultaneously.</p> <p>As of this response, a final Standard Operating Procedure (SOP) for Time and Effort Certification is under review by senior DOH management. The SOP directs program and fiscal managers to conduct at a minimum, a monthly review and written certification of employee time worked, aligned with cost objectives and fund source reflected in bi-weekly payroll records (i.e. 485 Reports). Requirements for reconciliation and redirection of staff time assigned to cost objectives are addressed in the SOP.</p> <p>Corrective actions include: (1) Finalization of a Time Reporting SOP for monthly management certification of time distribution reports; (2) SOP distribution and training for managers, and (3) Submission of a request for approval on this method to the cognizant federal agency.</p>