



**RHODE ISLAND DEPARTMENT OF HUMAN SERVICES**

**TITLE XX/SOCIAL SERVICES BLOCK GRANT INTENDED USE PLAN**

**OCTOBER 1, 2020–SEPTEMBER 30, 2021**

**STATE OF RHODE ISLAND  
DEPARTMENT OF HUMAN SERVICES**

**COURTNEY E. HAWKINS, DIRECTOR**

**September 1, 2020**

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## **Introduction**

Title XX of the Social Security Act provides states with federal funds for social services. In 1981, Congress amended Title XX, making it a Social Services Block Grant (SSBG), thereby giving states considerable flexibility in the use of the federal dollars. Under the Act, states are required to make an annual report to the Secretary, Department of Health and Human Services (DHHS), on the intended use of Title XX funds. The Pre-Expenditure Report must satisfy the statutory requirements of the Act by relating:

- a. The intended use of Title XX funds;
- b. Information on the types of activities to be supported; and
- c. Information on the categories or characteristics of persons to be served.

The Pre-Expenditure Report fulfills the statutory requirements of Title XX of the Social Security Act and regulatory requirements at 45 CFR Section 96.10 (1981).

Services will be offered to help clients reach one or more of the five federal goals which have been identified by Congress for Title XX:

1. Achieving or maintaining economic self-support to prevent, reduce, or eliminate dependency.
2. Achieving or maintaining self-sufficiency, including reduction or prevention of dependency.
3. Preventing or remedying neglect, abuse or exploitation of children and adults unable to protect their own interests, or preserving, rehabilitating, or reuniting families.
4. Preventing or reducing inappropriate institutional care by providing for community-based care, home-based care, or other forms of less intensive care.
5. Securing referral or admission for institutional care when other forms of care are not appropriate or providing services to individuals in institutions.

### **I. State/Federal Fiscal Year**

This Pre-Expenditure Plan covers the Federal Fiscal Year 2021, with a start date of October 1, 2020 and ending on September 30, 2021.

### **II. Letter of Transmittal**

Attached

### **III. Public Inspection**

The Intended Use Plan was posted on the Rhode Island Department of Human Services website along with an invitation for public input on the Plan. A public hearing was held on August 28, 2020 (See Appendices).

## **IV. Narrative Pre-Expenditure Report**

### **A. Administrative Operations**

#### **1. State Administrative Agency**

##### **a) Mission and Responsibilities**

The Rhode Island Department of Human Services (DHS) has been designated by the Governor as the agency responsible for the planning and administration of the Social Services Block Grant.

The Rhode Island Department of Human Services (DHS) is charged by state law “to provide public assistance to residents of the state who are in need and who meet the eligibility requirements of the various programs, which constitute public assistance.”

The programs which DHS administers are:

- RIWorks (TANF)
- Child Care Assistance Program
- Supplemental Nutrition Assistance (SNAP)
- Long-Term Care
- General Public Assistance
- State Supplemental Payment
- Low-Income Home Energy Assistance
- Weatherization Assistance Program
- Eligibility for Medicaid
- Administration of Specialized Federal Grants: Community Service Block Grant, Social Services Block Grant, Family Violence Prevention Services Grant; Refugee Resettlement Grants, Emergency Food Assistance Program grants, state Domestic Violence grants.

Additionally, the department administers programs and services for specific populations and needs through its:

- Office of Healthy Aging
- Office of Veterans Affairs
- Office of Child Support Services
- Office of Rehabilitation Services.

The department’s support service units are:

- Financial Management
- Program Integrity
- Information Technology
- Staff Development

The Department of Human Services administers a broad range of financial aid, medical assistance and social services programs under several funding sources. The Director is appointed by the Governor with the advice and consent of the Senate (Title 40 of the General Laws of Rhode Island). The Director provides leadership in planning and directing all activities and functions of the department; serves as liaison with all other state agencies and federal agencies;

coordinates department activities in respect to state and federal legislation; and responds to inquiries and requests regarding departmental activities from individuals and organizations outside of the department. The Director is assisted by Deputy Directors in the discharge of her responsibility, and by Associate Directors and Administrators who head the divisions within the Department: (1) Division of Community Partnerships, (2) Division of Policy and Operations Services, (3) Office of Healthy Aging, (4) Office of Veterans Affairs (5) Office of Child Support Services, (6) Office of Rehabilitation Services, (7) Division of Financial Management. They are responsible for establishing priorities, program standards and policies, insuring provision for training of staff within their programs and providing general assistance to staff in program areas under their supervision. Within the divisions, specific programs are headed by an Administrator (or equivalent title) that has day to day responsibility for program operation.

The Division of Community Partnerships has overall responsibility for the operation of Grants and Contract Management including administration of the Social Service Block Grant.

### **b. Goals and Objectives**

The complete goals and objectives of the Rhode Island Department of Human Service are quite extensive given the range of programs and services for which the department is responsible. Below are the goals of the department from the current Strategic Plan and strategic objectives for the unit within the Division of Community Partnerships that is responsible for the administration of the Social Services Block Grant. The strategic objectives have, in turn, Action Steps leading to the accomplishment of those objectives.

#### **Goals**

**Goal 1:** Improve Timeliness and Accuracy of Benefits

**Goal 2:** Ensure the Highest Quality of Customer Experience

**Goal 3:** Improve Longer-Range Outcomes for RIDHS Customers

#### **Strategic Objectives: Grants and Contract Management**

**Objective 1:** Prepare Drafts of Contracts Three Months in Advance of Performance Period Start Date

**Objective 2:** Submit applications and state plans as required to obtain federal funds

**Objective 3:** Expend federal dollars within prescribed time period

**Objective 4:** Submit federal reports as required

**Objective 5:** Integrate Active Contract Management Principles in RIDHS contracts

**Objective 6:** Ensure Community Action Programs (CAPs) have addressed all federal Performance Indicators

**Objective 7:** Ensure that all CAPs have met organizational standards

## **2. State Offices/Departments**

### **a. State Entities Allocated SSBG Funds**

- i.** Department of Human Services
- ii.** Executive Office of Health and Human Services
- iii.** Office of Housing and Community Development

**iv. Department of Behavioral Health, Developmental Disabilities, and Hospitals**

**b. Services Supported by the State Entities**

**i. Department of Human Services**

Services provided directly by the Department of Human Services consist primarily of casework counseling and case management and include the cost of planning and administration of all SSBG activities and some staff training. They also include the referral to and authorization of contracted services.

Health services assist people to attain and maintain better physical and mental health by helping them to identify and understand their health needs and resources available to them including the Rhode Island Medical Assistance Program and Residential Services. Housing services help people to obtain and retain adequate housing in the community, avert heating and utility shutoffs, mediate landlord/tenant problems, and address emergency shelter needs.

The Department's social workers play a key role in the area of Information and Referral Services linking people with appropriate community resources. Crisis intervention and follow-up activities are included in this component.

Specialized services are provided to individuals with physical or mental disabilities including individuals who are blind or visually impaired.

**ii. Executive Office of Health and Human Services**

Transportation services are provided to elderly and disabled populations for non-emergency purposes: doctors' appointments, therapy, medical tests, adult day care, and congregate meal sites for lunches.

**iii. Office of Housing and Community Development**

The Office of Housing and Community Development within the Rhode Island Executive Office of Commerce leverages funding to provide for the establishment and operation of shelters and supportive services for the homeless.

**iv. Department of Behavioral Health, Developmental Disabilities, and Hospitals**

This department provides access to services and supports for Rhode Islanders with developmental disabilities, mental health and substance abuse issues, and chronic long term medical and psychiatric conditions. Funding is used for Integrated Health Home, Health Home and Assertive Community Services to individuals with mental health and/or substance abuse issues to avoid acute or institutional care.

## **B. Fiscal Operations**

Social Services Block Grant (SSBG) funds are appropriated by the Rhode Island General Assembly to the Department of Human Services as a component of the total budget of the Department for the range of services it provides. When expenditures are made for social service activities, federal and state resources are distributed concurrently. Federal funds received by the state are deposited in the General Fund. The estimate of the amount of federal reimbursement is considered one of the revenue sources when the State Budget is developed and is considered by the Legislature when appropriations are made.

### **1. Criteria for Distribution: Allocations to State Entities**

In allocating funds to various programs, DHS considers funds available through SSBG, TANF transfer and other state and federal sources. These funds are allocated within federal regulations to reflect the needs of Rhode Islanders and the geography of the state.

Allocation of SSBG funds to State entities is guided by aligning unmet needs in the missions of the various state departments with the overall goals of the Social Services Block Grant program and the particular categories of services allowed. The use of SSBG funds for activities by State entities is also informed by determining the greater impact that might be gained from leveraging SSBG funds with other sources of funding to benefit particular populations or program goals.

For example, SSBG funds are allocated to the Office of Housing and Community Development within the Rhode Island Executive Office of Commerce in order to be pooled with federal Emergency Services Grant funds directed to principal municipalities and the State of Rhode Island, and state funds budgeted to the RI Housing Resources Commission. These funds create a Consolidated Homeless Fund which allows the state to streamline a Request for Proposals process while allowing service agencies to submit comprehensive proposals. Funding streams are tracked separately so that the particular goals and restrictions of the grants can be respected and accurate reporting obtained.

### **2. Planning Process for Use and Distribution of Funds**

Once allocations for State entities are decided, for the balance of the SSBG funding that would be earmarked for private organizations the Director of the RI Department of Human Services seeks the advice of the Associate Directors of the various units and divisions within the department. Two principal criteria are used in planning the use and distribution of SSBG funds: assessing what needs of low-income Rhode Islanders surface as prominent in the daily work of the department, and how the funds can best advance the mission and goals of the department in conjunction with the goals of the Social Services Block Grant program.

Once particular populations and needs that might be well-served through use of SSBG funds are identified, drafts of Requests for Proposals are written and shared with the Office of the Governor. After receiving guidance from the Office of the Governor, the department proceeds with the Request for Proposals process as directed by the Office of Purchasing in the RI Department of Administration.

Responses to the Requests for Proposals are reviewed and scored and then the department enters into contracts for the delivery of services.

Agencies that enter into a contract with the Department of Human Services (or have subcontracts under Title XX) may not charge a fee for Title XX services, except in connection with an approved co-payment system. An agency may charge for other services not funded by DHS.

All providers agree to meet the requirements of all applicable State and Federal law including Title VI of the Civil Rights Act of 1965 and Section 504 of the Rehabilitation Act of 1973, as well as the longstanding policies of nondiscrimination in all DHS programs and the Drug Free Workplace Regulations. All providers agree to comply with the requirements of the Governor's Executive Order No. 05-01 and the Federal Anti-Drug Abuse Act of 1988.

All providers report to DHS and submit fiscal and program reports to fulfill the requirements of the SSBG program.

### **3. Financial Operations System**

RI DHS uses the Direct Allocation method to assign contract and vendor costs. For salary and fringe benefits of program staff, RI DHS uses the time study methodology of cost allocation. The purpose of the time studies is to determine the amount of time that specific groups of employees spend in administering to the different benefit programs functioning within the Department of Human Services so that the costs may be properly allocated among the appropriate agencies.

The Office of the Auditor General (OAG) is the State of Rhode Island's legislative audit agency. They conduct financial and performance audits to provide independent and reliable information to the General Assembly on a variety of topics including the State's financial condition, its use of federal funds in compliance with federal law and regulations, and whether programs are operating efficiently and effectively. The Office of the Auditor General completed its single audit report for the year ending June 30, 2019. The auditor performed a statewide audit of the financial statements and a single audit of federal grants including the Social Services Block Grant. Copies of the entire audit and of these particular findings are available at: [http://www.oag.state.ri.us/reports/SA\\_RI\\_2019.pdf](http://www.oag.state.ri.us/reports/SA_RI_2019.pdf) or upon request from the RI Department of Human Services.

## **C. Program Operations**

### **1. SSBG Statutory Goals the State Plans to Achieve**

The table below depicts the various service categories that will be reflected in the activities funded by the Social Services Block Grant, and which federal goal those service categories will address. The specific activities and how they relate to the service categories as defined in the Uniform Definition of Services are listed in section **C.3**.



TYPE	SSBG FEDERAL GOALS				
Service Categories	Achieve or maintain economic self-support to prevent, reduce or eliminate dependency	Achieve or maintain self-sufficiency including reduction or prevention of dependency	Preventing or remedying abuse or exploitation of children and adults unable to protect their own interests or preserving rehabilitating or reuniting families	Preventing or reducing inappropriate institutional care by providing for community-based care, home-based care or other forms of less intensive care	Securing referral or admission for institutional care when other forms of care are not appropriate or providing services to individuals in institutions.
Case Management Services	X	X	X	X	
Day-Care Children	X	X	X	X	X
Health-Related Services	X	X	X	X	X
Information & Referral	X	X	X	X	X
Prevention & Intervention	X	X	X	X	
Protective Services for Adults	X	X	X	X	
Residential Treatment					X
Transportation Services	X	X		X	

## 2. Characteristics of Individuals to be Served

Services are available in every community in the State of Rhode Island. All persons in the State may apply for social services. There are no requirements related to duration of residence.

### a) Definitions

- **Child:** “Child” is defined as a person under the age of eighteen (18)
- **Adult:** “Adult” is defined as a person eighteen (18) years of age and older
- **Family:** “Family” is defined as two or more people who are related by blood, marriage, guardianship, adoption, foster care, or kinship caretaking.

### b) Eligibility Criteria

Although an individual or family may be eligible for most Block Grant Social Services, this does not mean that entitlement for a specific service exists. Additional eligibility requirements may

be prescribed by the governing contracts and/or DHS Policy Manual. For example, transportation is only provided for the elderly or individuals with disabilities, and documentation of the disability is required. Provision of services depends not only upon the need of the individual or family, but also upon the availability of funding and the capacity of the provider agency. Waiting lists may be established when a provider is at the limit of its capacity to respond.

The State provides a system and procedure for fair hearings under which applicants or recipients may appeal denial, reduction or termination of services or failure to act upon a request for service within a reasonable time.

### **c) Income Guidelines**

Income Guidelines for participation in the programs follow those of the Rhode Island State Plan for the Low-Income Home Energy Assistance Program for adults and families (60% of Household Median Income in Rhode Island), and for children, the Income Guidelines for Medicaid Eligibility (261% FPL).

### **3. Types of Activities to be Supported**

Services are provided within the RI Department of Human Services and through Service Agreements and Contracts negotiated with other State entities and a number of community agencies and organizations for the provision of specific services that include:

- Statewide, immediate shelter and related supportive services to adult and youth victims of family violence, domestic violence, dating violence, victims of violent crimes and their dependents;
- A crisis hotline that will receive and respond to calls for assistance in domestic violence situations;
- Individual and group counseling, peer support groups, and referral to community-based services to assist family violence, domestic violence, dating violence victims, other violent crimes and their dependents, in recovering from the effects of the violence;
- Case management services, and information and referral services, concerning issues related to family violence, domestic violence, or dating violence intervention and prevention;
- Prevention services, including outreach to underserved populations;
- 365/24/7 statewide information and referral services that are linguistically and culturally appropriate using telephone and online tools that would direct clients to appropriate social services that include programs and services administered by the Rhode Island Department of Human Services;
- Case Management, Housing, and Information and Referral services for clients coming into the RIDHS field offices;
- Transportation services are provided to populations for non-emergency purposes;
- Support of Integrated Health Home, Health Home and Assertive Community Services to individuals with mental health and/or substance abuse issues to avoid acute or institutional care;

- Supportive services for the homeless.

Delineated by the categories of services supported by the Social Services Block Grant, the programs and services obtained through contracts and agreements with other state agencies and community agencies and organizations would be:

- Case Management
- Day Care – Children
- Health-Related Services
- Information and Referral
- Prevention & Intervention
- Protective Services – Adults
- Residential Treatment
- Transportation Services

The SSBG statutory goals are identified in the above table. The table below depicts the methods of delivery and the geographic area where the services will be provided:

	<b>Public Delivery of Services</b>	<b>Private Delivery of Services</b>	<b>Geographic Area of Service Provision</b>
<b>Case Management Services</b>	X	X	Statewide
<b>Day-Care Children</b>	X	X	Statewide
<b>Health-Related Services</b>	X	X	Statewide
<b>Information &amp; Referral</b>	X	X	Statewide
<b>Prevention &amp; Intervention</b>		X	Statewide
<b>Protective Services for Adults</b>		X	Statewide
<b>Residential Treatment</b>		X	Statewide
<b>Transportation Services</b>		X	Statewide

## V. Pre-Expenditure Reporting Form

Part A. Estimated Expenditures and Proposed Provision Method						
STATE: Rhode Island		FISCAL YEAR: 2021				
Contact Person: Patrick Ward		Phone Number: 401-462-6551				
Title: Chief, Program Development		E-Mail Address: patrick.ward@dhs.ri.gov				
Agency: Rhode Island Department of Human Services		Submission Date: 8-28-2020				
Service Supported with SSBG Expenditures	SSBG Expenditures		Expenditures of All Other Federal, State and Local funds**	Total Expenditures	Provision Method	
	SSBG Allocation	Funds transferred into SSBG*			Public	Private
1	Adoption Services					
2	Case Management	1,932,544		13,000,000	14,932,544	X
3	Congregate Meals					
4	Counseling Services					
5	Day Care--Adults					
6	Day Care--Children	784,793	7,560,000	52,000,000	60,344,793	X
7	Education and Training Services					
8	Employment Services					
9	Family Planning Services					
10	Foster Care Services--Adults					
11	Foster Care Services--Children					
12	Health-Related Services	13,671		200,000	213,671	X
13	Home-Based Services					
14	Home-Delivered Meals					
15	Housing Services					
16	Independent/Transitional Living Services					
17	Information & Referral	75,000		1,195,350	1,270,350	X
18	Legal Services					
19	Pregnancy & Parenting					
20	Prevention & Intervention	314,355		1,800,000	2,114,355	X
21	Protective Services--Adults	1,439,598		3,500,000	4,939,598	X
22	Protective Services--Children					
23	Recreation Services					
24	Residential Treatment	110,000		300,000	410,000	X
25	Special Services--Disabled					
26	Special Services--Youth at Risk					
27	Substance Abuse Services					
28	Transportation	255,152		3,500,000	3,755,152	X
29	Other Services***					
30	SUM OF EXPENDITURES FOR SERVICES	4,925,113		75,495,350	87,980,463	
31	Administrative Costs	250,000				
32	SUM OF EXPENDITURES FOR SERVICES AND ADMINISTRATIVE COSTS	5,175,113				
* From which block grant(s) were these funds transferred TANF						
** Please list the sources of these funds:		United Way, RI Foundation, RI State, CDBG, VOCA, VAWA, FVPS, FVPA, Municipalities, Legislative Grant, Community Fundrais				
*** Please list other services:						

**Part B. Estimated Recipients**

STATE: <b>Rhode Island</b>	FISCAL YEAR: <b>2020</b>
Contact Person: Patrick Ward	Phone Number: 401-462-6551
Title: Chief, Program Development	E-Mail Address: patrick.ward@dhs.ri.gov
Agency: Rhode Island Department of Human Services	Submission Date: 8-28-2020

Service Supported with SSBG Expenditures	Children	Adults			Total Adults	Total
		Adults Age 59 Years & Younger	Adults Age 60 Years & Older	Adults of Unknown Age		
1 Adoption Services						
2 Case Management		9,100	9,855	1,950	20,905	20,905
3 Congregate Meals						
4 Counseling Services						
5 Day Care--Adults						
6 Day Care--Children	15,500					15,500
7 Education and Training Services						
8 Employment Services						
9 Family Planning Services						
10 Foster Care Services--Adults						
11 Foster Care Services--Children						
12 Health-Related Services		80	10	-	90	90
13 Home-Based Services						
14 Home-Delivered Meals						
15 Housing Services						
16 Independent/Transitional Living Services						
17 Information & Referral		97,000	25,200	-	122,200	122,200
18 Legal Services						
19 Pregnancy & Parenting						
20 Prevention & Intervention		180	260	-	440	440
21 Protective Services--Adults		995	30	35	1,060	1,060
22 Protective Services--Children						-
23 Recreation Services						
24 Residential Treatment		385	45		430	430
25 Special Services--Disabled						
26 Special Services--Youth at Risk						
27 Substance Abuse Services						
28 Transportation			1,710		1,710	1,710
29 Other Services***						
30 SUM OF RECIPIENTS OF SERVICES	15,500	107,740	37,110	1,985	146,835	162,335

## **VI. Appendices**

## Appendix A

### STATE OF RHODE ISLAND DEPARTMENT OF HUMAN SERVICES PUBLIC NOTICE OF PROPOSED ADOPTION –DHS STATE PLAN

In accordance to Rhode Island General Laws (RIGL) 42-35 and 42 USC 9008, notice is hereby given that the Department of Human Services proposes the following DHS State Plan:

#### **2021 Social Services Block Grant**

The Social Services Block Grant (SSBG) is funded through the United States Department of Health and Human Services. The purpose of Social Services Block Grant funding is “to furnish services directed at the goals of:

- (1) achieving or maintaining economic self-support to prevent, reduce, or eliminate dependency;
- (2) achieving or maintaining self-sufficiency, including reduction or prevention of dependency;
- (3) preventing or remedying neglect, abuse, or exploitation of children and adults unable to protect their own interests, or preserving, rehabilitating or reuniting families;
- (4) preventing or reducing inappropriate institutional care by providing for community-based care, home-based care, or other forms of less intensive care; and
- (5) securing referral or admission for institutional care when other forms of care are not appropriate or providing services to individuals in institutions.”

This proposed intended use plan for SSBG funds for the federal fiscal year 2021 is accessible on the DHS website <http://www.dhs.ri.gov> or available in hard copy upon request (401) 462-1669. A virtual public hearing will be held to consider the proposed plan on Friday, August 28, 2020 at 10:00 AM, conducted by the RI Department of Human Services. Persons wishing to testify may do so by joining the virtual hearing at:

#### **Join Zoom Meeting**

<https://us02web.zoom.us/j/4689102469?pwd=NmZiOWFmdTNQWUhvWVVVTQTdhdjJKdz09>

Meeting ID: 468 910 2469

Passcode: 7UGfGx

#### **Join by telephone:**

+19292056099,,4689102469#,,,,,0#,,706073# US (New York)

+13017158592,,4689102469#,,,,,0#,,706073# US (Germantown)

Dial by your location

+1 929 205 6099 US (New York)

+1 301 715 8592 US (Germantown)

+1 312 626 6799 US (Chicago)

+1 669 900 6833 US (San Jose)

+1 253 215 8782 US (Tacoma)  
+1 346 248 7799 US (Houston)

Meeting ID: 468 910 2469

Passcode: 706073

Find your local number: <https://us02web.zoom.us/j/9102469>

You may also submit written testimony by Wednesday, August 26, 2020 to Frederick Sneesby, Social Services Block Grant Administrator, Department of Human Services, Louis Pasteur Building, 25 Howard Avenue, Cranston RI 02920, or email to **frederick.sneesby@dhs.ri.gov**.

The hearing will begin at 10:00 A.M. and will conclude when the last speaker finishes testimony or at 11:00 A.M., whichever comes first. Individuals with hearing impairments may request an interpreter's presence by calling 711 or Relay RI 1-800-745-6575 (Voice) and 1-800-745-5555 (TTY). Requests for this service must be made at least 72 hours in advance of the hearing date.

The Department of Human Services does not discriminate against individuals based on race, color, national origin, sex, gender identity or expression, sexual orientation, religious belief, political belief or handicap.



**Appendix B**  
**Certifications**

## CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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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.

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### 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)

25 Howard Avenue  
Cranston, RI 02920 Providence County

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.

Frederick J. Sneesby, Administrator  
Rhode Island Department of Human Services

August 28, 2020  
Date

## **CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity. By signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

\_\_\_\_\_  
Frederick J. Sneesby, Administrator  
Rhode Island Department of Human Services

August 28, 2020  
Date

## CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned 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.

August 28, 2020

Signature and Date

Frederick J. Sneesby, Administrator

Name/Title

Rhode Island Department of Human Services

Organization

## **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.

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.

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#### 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.

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#### 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.

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Frederick J. Sneesby, Administrator  
Rhode Island Department of Human Services

August 28, 2020  
Date

## **Appendix C Proof of Audit**

The Office of the Auditor General (OAG) is the State of Rhode Island's legislative audit agency. They conduct financial and performance audits to provide independent and reliable information to the General Assembly on a variety of topics including the State's financial condition, its use of federal funds in compliance with federal law and regulations, and whether programs are operating efficiently and effectively. The Office of the Auditor General completed its single audit report for the year ending June 30, 2019. The auditor performed a statewide audit of the financial statements and a single audit of federal grants including the Social Services Block Grant. Copies of the entire audit and of these particular findings are available at **[http://www.oag.state.ri.us/reports/SA\\_RI\\_2019.pdf](http://www.oag.state.ri.us/reports/SA_RI_2019.pdf)** or upon request from the Department of Human Services.

**Appendix D**

**TANF ACF-196-R**

Submitted Electronically

**Appendix E**  
**Form SF-424 M**

Submitted electronically

**Appendix F**  
**Form SF-425**

Submitted electronically