

TITLE XX/SOCIAL SERVICES BLOCK GRANT PRE-EXPENDITURE REPORT  
Hurricane Sandy Supplemental Funding

JULY 1, 2013 –JUNE 30, 2014

STATE OF RHODE ISLAND  
DEPARTMENT OF HUMAN SERVICES

SANDRA M. POWELL, DIRECTOR

June 25, 2013

## **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.

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).

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.

## **FEDERAL GOALS**

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 ADMINISTRATIVE OPERATIONS**

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 Department of Human Services is a multi-service agency which 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 the Deputy Director in the discharge of her responsibility by Associate Directors and Administrators who head the divisions within the Department: (1) Division of Economic and Family Support, (2) Division of Management and Operations Services, (3) Division of Elderly Affairs, (4) Division of Veterans Affairs (5) Division of Child Support Services. 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 Economic and Family Support have overall responsibility for the operation of the Assistance Payment Programs (TANF and GPA), Supplemental Nutrition Assistance Program (SNAP), Child Care and Social Service programs including Social Service Block Grant.

The Division of Elderly Affairs is responsible for the development of comprehensive and coordinated systems for the delivery of services to the elderly in Rhode Island.

The Division of Veterans Affairs has administrative responsibility for the Veterans Home, Veterans Cemetery and other Veterans affairs.

## **II. HURRICANE BACKGROUND**

From October 29, 2012 through October 30, 2012 Hurricane Sandy, a hybrid storm with both tropical and extra tropical characteristics, brought high winds and significant coastal flooding to Rhode Island. The unusual sharp western turn of this hurricane, which made its landfall in New Jersey, allowed 30t foot waves to propagate atop a 5-6 foot storm surge in Block Island and Rhode Island Sounds. Nearly the entire Rhode Island south coast shoreline experienced moderate to major flooding. A survey along Misquamicut Beach in Westerly, RI conducted by the Taunton Weather Forecast Office revealed an inundation extent consistent with the upper boundary of a Category 1

Hurricane and very severe erosion. Winds gusting to 60 mph over the inland and 80t mph along the southern coast created power outages for 122,000 of the state's 410,000 households. Evacuations were ordered in eight municipalities including Westerly, Charlestown, South Kingstown, Narragansett, Bristol, Middletown, Tiverton and Coventry.

On 11/3/12 RI received a major disaster declaration (FEMA-4089-DR). At that time, Public Assistance was authorized for Bristol, Newport and Washington Counties. Based on an assessment of the concentration of damages and the trauma impacts of the disaster, Governor Lincoln Chafee made an amended request the following day seeking to authorize Individual Assistance for Newport and Washington Counties. While the President approved Rhode Island's amended request on 11/12/12, Preliminary Damage Assessment (PDA) counts continued to rise. The more complete data indicated Newport PDA as: 0 Destroyed, 37 Major, 119 Minor, and 98 Affected. As noted by Governor Chafee, there was a specific concentration of damage to residential and commercial structures in Washington County. Specifically, Washington County's count rose to 45 Destroyed, 144 Major, 22 Minor, and 242 Affected. Of critical concern was that FEMA and Town Officials reported an additional 550 homes in Westerly and Charlestown, both within Washington County, had septic system failures and, upon confirmation of such numbers, these 550 homes would also be classified as Major Damage.

The need for Crisis Counseling within Newport and Washington Counties was specifically identified in the amended request. Governor Chafee spoke to recovery concerns for individuals and businesses which included the State's high unemployment, currently second in the nation; the economical and emotional cost of rebuilding and repairing that is not covered by traditional homeowners' insurance; that for a period of time ranging from several days to more than one week, many homes and businesses would be inaccessible either by vehicle or municipal mandate; and that the hardest hit areas had also been significantly impacted by weather events in both 2010 and 2011 (FEMA-1894-DR-RI and FEMA-4027-DR-RI.)

## SERVICES

### South County Community Action – RI HOPE PROJECT

South County Community Action Agency is a private, non-profit social service agency founded in 1967. SCCA serves Washington County and under the declaration for Superstorm Sandy served Newport County as well. SCCA employs over sixty social workers, case managers and other professionals under the direction of Joseph DeSantis, Chief Operating Officer and Brenda Dowlatsahi, Chief Executive Officer and an 18-member volunteer Board of Directors. Individuals and families often come to SCCA with a single problem and find SCCA can coordinate a vast array of services to improve their quality of life. SCCA is committed to providing economically disadvantaged individuals and families with quality, comprehensive social, advocacy, and crisis services while promoting self-sufficiency. Each year, SCCA helps over 3,000 families. Programs are funded through federal, state and local grants and private contributions. As the major

education and social services provider in Washington County, the agency has a significant impact on the people and communities they serve.

South County Community Action was a major partner in RI HOPE. RI HOPE is a short term disaster relief program to help survivors of the natural disaster, Hurricane Sandy. The purpose was to begin to recover from the adverse reactions of the disaster and begin to rebuild their lives. Through community outreach RI HOPE was responsible for adhering to the core principles and best practice crisis counseling program model including:

- Strengths based focus
- Outreach oriented approach
- A more practical than psychological program in nature
- Services of a supportive and educational nature, not diagnosis oriented.

Following the planning stage of the project, Outreach Workers were ready to canvass each area to assess unmet needs and provide emotional support, resources and assistance. Outreach workers were deployed in teams of two each morning, Monday through Saturday to areas most affected in order to implement a very aggressive, active and progressive team outreach effort. Outreach Workers were able to complete door to door canvassing using RI HOPE brochures. In Washington County/Newport County a special effort was made to establish contacts and resources for at risk populations. Two populations identified by were the Narragansett Indian Tribe and senior citizens. RI HOPE Outreach Workers canvassed eighty five (85) streets in Washington County and ten (10) streets in Newport County. These streets were pinpointed through RI United Way 211 and FEMA data. A total of 710 RI HOPE brochures were distributed to residents in the areas most affected by the storm.

#### RIVOAD – Rhode Island Voluntary Organizations Active in Disaster

RIVOAD (Rhode Island Voluntary Organizations Active in Disaster) is the organization that provides Rhode Islanders with assistance for unmet needs resulting from natural disasters. RIVOAD is a nonprofit, nonpartisan, membership based organization that serves as the forum where organizations share knowledge and resources throughout the disaster cycle including preparation, response and recovery to help disaster survivors and their communities. RIVOAD operates the State's Long Term Recovery Committee's Recovery Center. It is this center which determines the unmet needs among the survivors and attempts to meet these needs. RIVOAD coordinated volunteers to assist victims with immediate housing needs such as flooding and property destruction. They provided volunteer resources such as lodging, food and equipment to clean up people's homes.

#### Food Assistance

Given the sustained power outages and loss of wages, food assistance was instrumental to victims of Hurricane Sandy. An example is the Jonnycake Center. The mission of the Jonnycake Center of Peace Dale is to improve the quality of life for individuals and families by providing comprehensive assistance to those in need of food, clothing, and household items and through individual and systemic advocacy for our clients. The

Jonnycake Center's Emergency Food Pantry provides food to individuals and families who are having a hard time making ends meet. Households can come to the Center and receive nutritionally balanced food baskets that contain enough food including milk, eggs, and frozen meats to prepare three meals a day for an entire week for all household members.

### III Fiscal Operations

#### Distribution and Use of Funds

Agencies which 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, of course, 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 agree to report to DHS and to submit economy, efficiency and program results, reviews, investigations and evaluations and audits which may be required on a quarterly fiscal basis with annual audits.

#### Program Services Related to Federal Goals

TYPE	SSBG FEDERAL GOALS				
Program Service	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.
Food Assistance	X	X		X	
Community Assistance— Information & Referral	X	X	X	X	X
Case	X	X	X	X	X

Management					
Home-Based Services	X	X	X		

**Description of Financial Operations System**

RI DHS uses the Direct Allocation method to assign contract and vendor costs.

**Part A. Estimated Expenditures and Proposed Provision Method**

OMB NO.: 0970-0234

EXPIRATION DATE: 06/30/2014

REPORT PERIOD: 7/1/2013 - 6/30

STATE: Rhode Island	FISCAL YEAR: 2014	REPORT PERIOD: 7/1/2013 - 6/30
Contact Person: Lissa DiMauro	Phone Number: (401) 462-6356	
Title: Associate Director	E-Mail Address: LDiMauro@dhs.ri.gov	
Agency: Rhode Island Department of Human Services	Submission Date: June 28, 2013	

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	\$100,000			\$100,000	X	
3 Congregate Meals				\$0		
4 Counseling Services				\$0		
5 Day Care--Adults				\$0		
6 Day Care--Children				\$0	X	
7 Education and Training Services				\$0		
8 Employment Services				\$0		
9 Family Planning Services				\$0		
10 Foster Care Services--Adults				\$0		
11 Foster Care Services--Children				\$0		
12 Health-Related Services				\$0	X	
13 Home-Based Services	\$191,000			\$191,000	X	
14 Home-Delivered Meals	\$15,000			\$0		
15 Housing Services				\$0	X	
16 Independent/Transitional Living Services				\$0		
17 Information & Referral	\$200,528			\$200,528	X	
18 Legal Services				\$0		
19 Pregnancy & Parenting				\$0		
20 Prevention & Intervention				\$0		
21 Protective Services--Adults				\$0		
22 Protective Services--Children				\$0	X	
23 Recreation Services				\$0		
24 Residential Treatment				\$0	X	
25 Special Services--Disabled				\$0		
26 Special Services--Youth at Risk				\$0		
27 Substance Abuse Services				\$0		
28 Transportation				\$0	X	
29 Other Services***				\$0		
30 SUM OF EXPENDITURES FOR SERVICES	\$506,528	\$0	\$0	\$491,528	X	
31 Administrative Costs	\$10,000			\$10,000		
32 SUM OF EXPENDITURES FOR SERVICES AND ADMINISTRATIVE COSTS	\$516,528	\$0	\$0	\$501,528		
* From which block grant(s) were these funds trans						
** Please list the sources of these funds:						
*** Please list other services:						



U.S. Department of Health & Human Services

## Administration for Children & Families

OFFICE OF COMMUNITY SERVICES

Increasing the Capacity of Individuals, Families and Communities

### **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)

57 Howard Ave.

Cranston, RI 02920

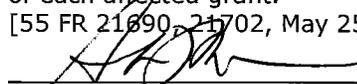
Check if there are workplaces on file that are not identified here.

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]

  
\_\_\_\_\_  
Signature

Director

\_\_\_\_\_  
Title

Rhode Island Department of Human Services

\_\_\_\_\_  
Organization

U.S. Department of Health & Human Services

## Administration for Children & Families

OFFICE OF COMMUNITY SERVICES

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### 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.



Signature

Director

Title

Rhode Island Department of Human Services

Organization

U.S. Department of Health &amp; Human Services

## Administration for Children &amp; Families

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**CERTIFICATION REGARDING LOBBYING**

## Certification for Contracts, Grants, Loans, and Cooperative Agreements

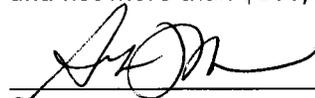
The undersigned certifies, to the best of his or her knowledge and belief, that:

- (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.



Signature

Director

Title

Rhode Island Department of Human Services

Organization

**Administration for Children & Families**

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**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.

#### 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.

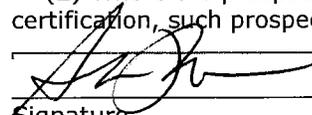
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person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

  
\_\_\_\_\_

Signature  
Director

Title  
Rhode Island Department of Human Services

Organization