



STATE OF RHODE ISLAND
DEPARTMENT OF ADMINISTRATION
Enterprise Policy

Pandemic Recovery Office – REQUEST FOR AUTHORIZATION TO SPEND COVID DIRECT AWARD – 2020

Pandemic Recovery Office

COVID Direct Award Authorization to Spend Approval Process

Date of The Last Revision: July 24, 2020

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1. Scope of Coverage

This COVID Direct Award Authorization to Spend Approval Process (“Policy”) applies to all state departments and quasi-public corporations receiving COVID Direct Awards from a federal awarding agency.

2. Definitions

ARB means Authorized Red Balance.

COVID Act means (1) the Coronavirus Preparedness and Response Supplemental Appropriations Act, (2) the Families First Coronavirus Response Act, (3) the Coronavirus Aid, Relief, and Economic Security (CARES) Act, (4) the Paycheck Protection Program and Health Care Enhancement Act, or (5) any subsequent federal act that provides funds for relief associated with the Coronavirus pandemic.

COVID Direct Award means any federal funding awarded under a **COVID Act** directly to a State Agency from a federal agency.

Budget Office means Department of Administration, Office of Management and Budget.

GCO means the Grants Compliance Office.

Purchasing means the Department of Administration, Division of Purchases.

State Agency means any state agency, office, department, division, commission, board, council, or other entity of the state, or any quasi-public corporation.

3. Policy and Procedures

- a. Agencies must complete and submit the following forms to the GCO **prior to spending any funds received as a result of a COVID Direct Award from a federal awarding agency.**
 - i. Request for Authorization to Spend COVID Award Form (Request to Spend *Form 001-GCO*)– A Request for Authorization to Spend COVID Award form must be completed for each direct award received from a federal awarding agency funded by any COVID Act. For example, if a federal agency issues three awards under the same program, a Request to Spend Form would need to be completed for each

award. The online fillable Request to Spend Form can be accessed at <https://airtable.com/shrvtOxvODSdBnBXm>.

- ii. COVID Budget Form (Form 002-GCO) – Agencies must complete a budget and budget justification for each direct award received from a federal awarding agency funded by any COVID Act and attach it to Request for Authorization to Spend COVID Award Form in the designated field. The Budget Form template can be found on the SharePoint site in the COVID Tools folder.
 - iii. COVID Line Sequence Request Form (Form 003-GCO) – Agencies must complete a Line Sequence Request form for each direct award received from a federal awarding agency funded by any COVID Act and attach it to the Request for Authorization to Spend COVID Award Form in the designated field. The Line Sequence Request Form template can be found on the SharePoint site in the COVID Tools folder.
- b. GCO will review the Agency COVID Funding submission.
- i. Agencies will be notified if the Request is incomplete or requires additional information. An explanation as to why the submittal is being flagged will be provided to the person who submitted the Request. Agencies must address any deficiencies.
- c. GCO will take the following actions related to the of the agency submission:
- i. GCO will approve all *Requests for Authorization to Spend COVID Awards* and *COVID Budget Forms* where there are no match and/or maintenance of effort requirements, and/or proposed new FTEs or contract employees and amount of the award is less than \$250,000.
 - ii. GCO will forward the *Requests for Authorization to Spend COVID Awards* and *COVID Budget Forms* that include match and/or maintenance of effort requirements, and/or proposed new FTEs or contract employees, and/or are for amounts of \$250,000 or more to the Budget Office for review and approval.
 - iii. The Budget Office may forward *Requests for Authorization to Spend COVID Awards* and *COVID Budget Forms* that include match and/or maintenance of effort requirements, and/or proposed new FTEs or contract employees, and/or are for amounts of \$250,000 or more to the Governance Committee for review when a strategic decision needs to be made regarding use of funds.
 - iv. GCO will return the signed and approved *Requests for Authorization to Spend COVID Award* to the Agency with a copy to the Budget Office and the Division of Purchases.
- d. The Budget Office will notify the Agency of the line item sequences to use and issue ARBs, when necessary. After receiving notice of approval of the ARB, the Agency may begin to obligate funds out of the appropriate COVID line item account.
- e. State Agencies are required to follow state purchasing rules and regulations.

- i. All goods and services will be processed on a Purchase Requisition/Purchase Order in accordance with approved *Request for Authorization to Spend COVID Award* and *COVID Budget Form*. No direct payments will be allowed.
- ii. Agencies should not procure goods/services prior to the proper Purchase Order being in place.
- f. State Agencies must attach the Approved Authorization to Spend COVID Award document to the following purchasing transactions:
 - i. New Purchase Requisition/Purchase Orders
 - ii. Change Orders Requisitions created in RIFANS
 - iii. Releases against Purchase Agreements
- g. Requisitions deemed to be consistent with GCO guidelines and procurement rules and regulations will be processed by Purchasing on an expedited basis. **Requisitions will be returned to the Agency if deemed to be inconsistent with GCO guidelines or procurement rules and regulations or the required documentation is not attached.**
- h. Once the Purchase Order has been set up, the agency has the authority to purchase the stated goods and services using COVID funds.
- i. This Policy is subject to change based on federal or state legislative, regulatory or guidance revisions or additions specifically pertaining to the implementation of COVID and the approval and allocation of COVID funds. GCO will provide timely electronic and hard copy written notice to all Agencies of any changes to Policy.

4. Signatures



Director, Pandemic Recovery Office

July 24, 2020

Date