

**COMMUNITY SERVICES BLOCK GRANT
AMENDED STATE PLAN
STATE OF NEW MEXICO
PERIOD OCTOBER 1, 2009 - SEPTEMBER 30, 2011**

May 27, 2010

**Kathryn Falls, NM Human Services Department Secretary
Helen Nelson, Income Support Division Acting Director
Nicole Taylor, Work and Family Support Acting Bureau Chief**

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I. Federal Fiscal Year or Years Covered by this State Plan and Application
Please specify the Federal fiscal year or years covered by this plan.

FFY 2010 and FFY 2011

II. Letter of Transmittal

Cover letter to the Director, Office of Community Services; include the CSBG Program Contact Person, the State CSBG Official who is to receive the CSBG Grant Award with complete addresses, telephone and fax numbers.

Attached in Section VI. Appendices, B.1.

III. Executive Summary

A. CSBG State Legislation

Describe and provide a reference for the State's statutory authority for the Community Services Block Grant Program.

In 1983 the New Mexico State Legislature passed and signed into law the Community Action Act. This Act serves as the statutory basis for the State of New Mexico for the implementation of the block grant program. (A copy of the State Statute is attached in Section VI. Appendices, B.2.)

Under the Community Action Act, the governor of the state of New Mexico is empowered to designate, as a Community Action Agency (CAA) any political subdivisions, combinations of subdivisions and public and private agencies, so long as these entities conform to the criteria set forth in the Federal Act.

B. Designation of Lead State Agency to Administer the CSBG Program
Section 676(a) of the Act requires that the Chief Executive of each State designate an appropriate State agency to act as lead agency for administration of the Community Services Block Grant. (Include letter of designation in Section VI. Appendices B.3.)

Under New Mexico's Community Action Act, the New Mexico Human Services Department is the designated agency responsible for the provision of CSBG funds to Community Action Agencies (CAAs) in the State. (A copy of the State Statute is attached in Section VI. Appendices, B.2.). Within the Human Services Department, the CSBG program is administered by the Income Support Division, under the auspices of the Work and Family Support Bureau.

[The Human Services Department Secretary is Kathryn Falls](#) (letter of designation is attached in Section VI. Appendices B.3). The Income Support Division Acting

Director is Helen Nelson. The Work and Family Support Acting Bureau Chief is Nicole Taylor (the State CSBG Director).

Designated State Lead Agency: Human Services Department (HSD)
Director/Administrator of Designated State Agency: Kathryn Falls

C. Public Hearing Requirements

Describe and provide documentation on how the State complied with legislative hearing requirements of the CSBG Act regarding the State Application and Plan, as follows:

(1) Public Hearing

Specify the date of the public hearing held by the designated lead agency for the Current State plan and describe the statewide distribution of notice of such hearing required under Section 676(a)(2)(B) of the Act.

A public hearing for this plan was held on September 21, 2009 in Santa Fe. The notice of publication appeared in the Albuquerque Journal on the following consecutive dates: August 24, 25, and 26, 2009. The Albuquerque Journal is the only newspaper in New Mexico that is available throughout the State and is the common business and information publication utilized for statewide public announcements. (See attached, Section VI. Appendices, A.2)

(2) Legislative Hearing

Specify the date of the last legislative hearing held in conjunction with Section 676(a)(3) of the Act, which requires each State to hold as least one legislative hearing every three years in conjunction with the development of the State plan.

The CSBG State Plan was submitted to the Legislative Health and Human Services Committee on December 15, 2009 in Santa Fe, New Mexico. (See Attached, Section VI. Appendices, A.1). The FFY 2010 and 2011 plan was submitted for review within the time frames allowed by the COATES Act. According to the COATES Human Services Reauthorization Act of 1998, Community Services Block Grant Act, Section 676 (a) (3) Legislative Hearing, the state is required to hold at least one hearing every 3 years in conjunction with the development of the State plan.

(3) Public Inspection of State Plan

Describe how the State made available for public inspection and comment the Current State plan or revision to the State plan. (Section 676(e)(2) of the Act requires each State to make available to the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan.)

A public hearing was held on September 21, 2009 in Santa Fe, New Mexico. The notice of publication included a toll free telephone number where the public is able to request a copy of the plan prior to the hearing. Several copies of the State plan will be available at the hearing. The plan will be also be available for public inspection on HSD's website at: <http://www.hsd.state.nm.us/isd/ISDPlans.html>. Copies of the plan will be sent to all CAAs located in the state and to Community Action New Mexico. In addition, copies of the plan will be made available to individuals and businesses interested in the plan.

IV. Statement of Federal and CSBG Assurances

As part of the annual or biannual application and plan required by Section 676 of the Community Services Block Grant Act, as amended, (42 U.S. C. 9901 et seq.) (The Act), the designee of the chief executive of the State hereby agrees to the Assurances in Section 676 of the Act -

A. Programmatic Assurances

(1) an assurance that funds made available through this grant or allotment will be used:

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable the families and individuals to:

- (i) to remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
- (ii) to secure and retain meaningful employment;
- (iii) to attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
- (iv) to make better use of available income;
- (v) to obtain and maintain adequate housing and a suitable living environment;
- (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
- (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to—
 - (I) to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and

(II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as—

- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) after-school child care programs; and

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts).

(2) a description of how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in Section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle;

(3) information provided by eligible entities in the State, containing--

(A) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C(a), targeted to low-income individuals and families in communities within the State;

(B) a description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;

(C) a description of how funds made available through grants made under Section 675(a) will be coordinated with other public and private resources; and,

(D) a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting;

(4) an assurance that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be

necessary to counteract conditions of starvation and malnutrition among low-income individuals;

- (5) an assurance that the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and a description of how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 101 of such Act, in the State and in communities with entities providing activities through statewide and local workforce investment systems under the local workforce investment systems under the Workforce Investment Act of 1998;
- (6) an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community;
- (7) an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D;
- (8) an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b);
- (9) an assurance that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations;
- (10) an assurance that the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation;
- (11) an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs;

- (12) an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to Section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section and a description of outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization; and
- (13) information describing how the State will carry out the assurances described in this subsection (**This is the Narrative CSBG State Plan**).

B. Administrative Assurances

The State further agrees to the following administrative assurances, as required under the Community Services Block Grant Act:

- (1) State Application and Plan--To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. ['675A (b)]--
- (2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provision regarding recapture and redistribution of unobligated funds outlined below. ['675C (a) (1) and (2)]
- (3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the community services block grant program. ['675C (a)(3)]
- (4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under Section 675B for administrative expenses, including monitoring activities.['675C(b)(2)]
- (5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675 (c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. ['675 (c)]

- (6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or '675B for the period covered by the State Plan.
['676(a)(2)(B)]
- (7) That the chief executive officer of the State will designate an appropriate State agency for purposes of carrying out State community services block grant program activities.
['676(a)(1)]
- (8) To hold at least one legislative hearing every three years in conjunction with the development of the state plan. ['676(a)(3)]
- (9) To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. ['676(e)(2)]
- (10) To conduct the following reviews of eligible entities:
 - (a) full onsite review of each such entity at least once during each three-year period;
 - (b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;
 - (c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;
 - (d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. ['678B(a)]
- (11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:
 - (a) inform the entity of the deficiency to be corrected;
 - (b) require the entity to correct the deficiency;
 - (c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training technical assistance are not appropriate;
 - (d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;

- (e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [‘678(C)(a)]
- (12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.
- (13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the community services block grant program. [‘678D(a)(3)]
- (14) To participate, by October 1, 2001, and ensure that all eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System. [‘678E(a)(1)]
- (15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under ‘678E(a)(2) of the Act.
- (16) To comply with the prohibition against use of community services block grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678F(a) of the Act.
- (17) To ensure that programs assisted by community services block grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [‘678F(b)]
- (18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S. C. 6101 et seq.) or the respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. [‘678F(c)]
- (19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first

amendment to the Constitution; not to discriminate against an organization that provides assistance under or applies to provide assistance under the community services block grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program. [679]

C. Other Administrative Certifications

The State also certifies the Following:

- (1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122 shall apply to a recipient of community services block grant program funds.
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any sub-awards, which contain provisions for children's services and that all sub-grantees shall certify accordingly.



Kathryn Falls, Secretary
State of New Mexico Human Services Department

Date 6/8/14

V. The Narrative State Plan

A. Administrative Structure

(1) State Administrative Agency

Under New Mexico's Community Action Act, the New Mexico Human Services Department is the designated agency responsible for the provision of CSBG funds to Community Action Agencies (CAAs) in the State. Within the Human Services Department the CSBG program is administered by the Income Support Division's Work and Family Support Bureau.

The Human Services Department (HSD) Secretary is Kathryn Falls. The Income Support Division (ISD) Acting Director is Helen Nelson. The Work and Family Support Bureau (WFSB) Acting Chief is Nicole Taylor (the State CSBG Director).

(a) Outline the mission and responsibilities of the lead agency designated to administer the State's community services block grant program.

The New Mexico Human Services Department (HSD) manages the state and federal funds that provide life's most basic services to many New Mexican individuals and families—touching the lives of one in three New Mexicans with food, access to health care, income, work, energy assistance and community services to New Mexicans who desperately need help in these areas. HSD is the fifth largest state agency with 1,900 employees in 53 office locations statewide.

The Department is organized into five programs led and directed by the Office of the Secretary (OOS): the Child Support Enforcement (CSED); the Income Support (ISD); the Medical Assistance (MAD); Behavioral Health Services Division (BHSD); and Program Support, which includes the Administrative Services Division, (ASD), Division of Information Technology (DoIT), Office of Human Resources (OHR), Office of Inspector General (OIG) and Hearings Bureau.

The New Mexico HSD's mission is to reduce the impact of poverty on people living in New Mexico and to assure low income and disabled individuals in New Mexico equal participation in the life of their communities:

- Serve New Mexicans by coordinating an integrated network of public and private support to those who need it.
- To reduce the impact of poverty on people served by providing services that prevent or reduce poverty;
- To reduce the impact of poverty on the State of New Mexico; and
- To impact positively the social and economic health of New Mexico.

(b) Goals and Objectives: Outline the goals and objectives of the lead agency that administers the State's community services block grant program.

HSD's goals reflect its commitment to providing the best service possible to our clients through three core values: *Access, quality and accountability.*

Access

The Department strives for access to support and services for New Mexicans to move toward self-sufficiency in life.

Quality

The Department commits to quality by providing services in a respectful manner and services that produce results.

Accountability

The Department engages in accountability to all of our customers (clients, employees, the public, and taxpayers) through monitoring, careful explanations and correct decisions.

Together, these values represent our fundamental goals, expectations and vision for the programs we administer.

The goals and objectives of ISD's Work and Family Support Bureau (WFS) are to:

- Ensure community action agencies:
 - (a) provide access to a wide range of services and activities that have a measurable and potential major impact on the causes of poverty in the communities and/or areas served (especially where poverty is a particularly an acute problem).
 - (b) provide programs and activities that relate to the needs of low-income individuals and families in the communities they serve.
 - (c) comply with all federal and state regulations.
 - (d) report Results Oriented Management Accountability (ROMA) on all programs, activities, and funding sources.

- Continue to provide training and technical assistance for the following:
 - (a) Board of Directors fiduciary responsibilities
 - (b) Client Track data collection system
 - (c) CSBG Information System (IS) National Association for State Community Services Program (NASCSPP) federal reporting requirements
 - (d) financial tracking/reporting and fiscal management
 - (e) reporting requirements
 - (f) assist a CAA that is in crisis--has had findings and/or deficiencies reported.
 - (g) corrective action plans

- Establish standards for the ROMA/National Performance Indicator reporting and compliance as mandated by federal regulation. HSD will continue its efforts to improve and enhance ROMA reporting.

- Continue work with the CAAs to make the best use of the state's resources.

- Continue to help build and support strong and effective CAAs in the state of New Mexico.

(2) Eligible Entities:

(a) Provide a list of eligible entities:

Community Services Block Grant Eligible Entities:

Community Action Agency of Southern New Mexico (CAASNМ)

Executive Director: Stacey Cox

3880 Foothills Road, Suite A

Las Cruces, NM 88011

Tele #: (575) 527-8799/ Fax #: (575) 527-9028

Tele #: 1-800-657-8967

www.caasnm.org

Counties: Dona Ana, Grant, Hidalgo, Luna, Sierra

Eastern Plains Community Action Agency (EPCAA)

Executive Director: Dora Pacheco

PO Box 1244 / 210 West Center

Tucumcari, NM 88401

Tele #: (575) 461-1914/ Fax #: (575) 461-1930

www.epcaa.org

Counties: Curry, DeBaca, Guadalupe, Harding, Quay, Roosevelt, Union

Economic Council Helping Others, Inc. (ECHO)

Executive Director: Sara Kaynor

1921 E. Murray Drive

Farmington, NM 87401

Tele #: (505) 325-7466/ Fax #: (505) 326-5025

www.echoinc.org

Counties: San Juan

HELP-New Mexico

Executive Director: John Martinez

5101 Copper NE

Albuquerque, NM 87108

Tele #: (505) 265-3717/ Fax #: (505) 265-5412

www.helpnm.com

Counties: Bernalillo, Colfax, Los Alamos, Mora, Rio Arriba, San Miguel, Santa Fe,

[Sandoval](#), Taos, Torrance

State-wide CSBG Migrant Program

Mid-West New Mexico Community Action Program

Executive Director: Bill Silva

549 Don Pasqual RD

Los Lunas, NM 87103

Tele #: (505) 866-0466/ Fax #: (505) 865-1506

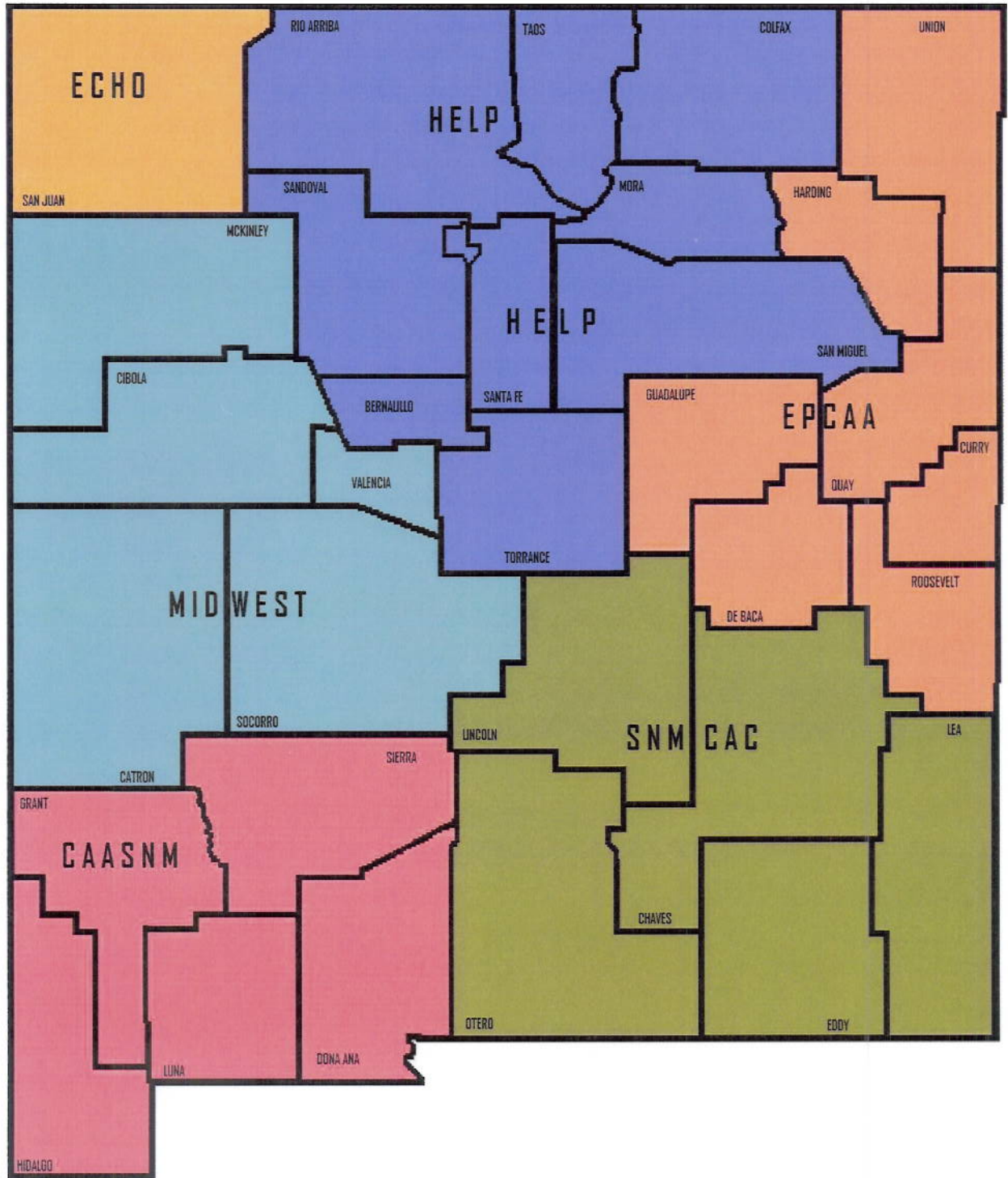
www.midwestnmcap.org

Counties: Catron, Cibola, McKinley, Socorro, Valencia

Southeast New Mexico Community Action Corporation (SENMCAC)
Executive Director: Elisa Davis
1915 San Jose Blvd.
Carlsbad, NM 88220
Tele #: (575) 887-3939/ Fax #: (505) 887-6357
www.snmcac.org
Counties: Chaves, Eddy, Lea, Lincoln, Otero

(b) Show geographic areas served.

The following is a color map of the State divided by counties serviced by each eligible entity.



(3) Distribution and Allocation of Funds

(a) Planned Distribution of Funds for Current Fiscal Year

HSD allocates 90% of the anticipated grant award for the program year to the CSBG agencies to use for the purposes outlined in the COATES Act. Projected funding amounts are specified based upon an administrative award of fifty thousand dollars (\$50,000) to each of the CSBG agencies and a pro-rata distribution of funds based upon county poverty population as listed in the 2007 poverty figures (Census data). The total of these administrative awards and the pro-rata distribution equals ninety percent (90%) of the anticipated award from the U.S. Department of Health and Human Services.

Allocation for FY 2010 and FY 2011 is not known, however, HSD is using a projection of three million, nine hundred sixty-three thousand, three hundred and twenty-six dollars (\$3,963,326.00) which is based on the funding for FY 2009. HSD will distribute in excess of 90% of the funds to the eligible CAAs, or three million, five hundred sixty-six thousand, nine hundred and ninety-three dollars (\$3,566,993.00). WFSB will use the base and formula allocation methodology as follows:

1. A minimum floor for funding has been established at \$50,000. A base allocation of fifty thousand dollars (\$50,000) is made to each of the CAAs.
2. WFSB has, in the past allocated seventy nine thousand, five hundred and fifteen dollars (\$79,515) to HELP New Mexico, one of the CSBG entities, to provide statewide services to seasonal and migrant farm workers. That amount will again be allocated but will be reviewed and reconsidered after some additional information has been gathered during the federal fiscal year.
3. The balance of the ninety percent (90%) of the projected award, which is three million, one hundred thirty-seven thousand, four hundred and seventy-eight dollars (\$3,137,478) is allocated by county based upon poverty population. The Department will use the 2007 U.S. Census Small Area Income and Poverty data for the FFY 10 and FFY11 program years. (Note: The allocation formula may be modified if current poverty statistics are available.) The allocation by county is as follows:

<u>County</u>	<u>% of Poverty 2007</u>	<u>Amount</u>
Bernalillo	26.87	\$843,045
Catron	0.21	\$ 6,456
Chaves	3.60	\$112,956
Cibola	1.81	\$ 56,674
Colfax	0.64	\$ 20,052
Curry	2.37	\$ 74,283

DeBaca	0.10	\$ 2,991
Dona Ana	13.37	\$419,535
Eddy	2.34	\$ 73,508
Grant	1.49	\$ 46,734
Guadalupe	0.29	\$ 8,946
Harding	0.03	\$ 885
Hidalgo	0.34	\$ 10,614
Lea	3.02	\$ 94,873
Lincoln	0.83	\$ 26,153
Los Alamos	0.17	\$ 5,252
Luna	2.51	\$ 78,906
McKinley	5.34	\$167,551
Mora	0.33	\$ 10,314
Otero	3.60	\$113,011
Quay	0.60	\$ 18,758
Rio Arriba	2.49	\$ 78,031
Roosevelt	1.26	\$ 39,439
Sandoval	3.50	\$109,938
San Juan	6.48	\$203,206
San Miguel	2.19	\$ 60,336
Santa Fe	6.11	\$191,588
Sierra	0.83	\$ 26,144
Socorro	1.54	\$ 48,230
Taos	1.60	\$ 50,327
Torrance	1.05	\$ 33,020
Union	0.18	\$ 5,763
Valencia	3.14	\$ 98,667

The agencies serving these counties will have the specific county-based allocations added to the administrative grants as described above.

A copy of the updated distribution, by county, will be distributed to all persons who request a copy of it.

B. Description of Criteria and Distribution Formula

a) Describe criteria and distribution formula for allocation of CSBG funds to eligible entities:

See above for Distribution Formula. The balance of funds is distributed on a pro-rata distribution of funds based upon county poverty population as listed in the 2007 census information. The total of these administrative awards and the pro-rata distribution equals ninety percent plus (90%) of the anticipated award from the U.S. Department of Health and Human Services.

Sole source contracts are implemented with all of the eligible entities that submit the documentation required by the application process. The sum total of these contracts will equal ninety percent plus (90%+) of the anticipated grant award from the Department of Health and Human Services for FFY 10 and FFY 11. In the event that the grant of award is greater than the amount projected in the application package, the contracts will be amended on a pro-rata basis to ensure that at least ninety percent (90%) of the actual grant award is distributed to all eligible entities that complete the application process.

In the event that the grant award is less than the projected amount, contracts will be amended to decrease the amounts awarded to each CSBG agency. Any decrease will continue to ensure a ninety percent (90%) distribution of funds to the eligible agencies.

b) Describe limitations on funding and procedures for use of carry-over balances:

According to the (US Department of Health and Human Services, ACF, Office of Community Services—Division of State Assistance) Information Memorandum, Transmittal No. 00-2004 it states, “ The Purpose of the Information Memorandum is to transmit FY 2005 appropriation language which mandates the manner in which States must handle carryover funds. P.L. 108-447 mandates, that to the extent Community Services Block grant funds are distributed as grant funds by a State to an eligible entity as provided under the (CSBG) Act, and have not been expended by such entity, they shall remain with such entity for carryover into the next fiscal year for expenditures by such entity consistent with program purposes.”

HSD shall require all eligible entities with carryover funding to submit a Scope of Work and a line item expenditure budget. The Scope of Work will detail a description of program service(s), program objective(s), measurements from Results Oriented Management Accountability (ROMA) and the National Performance Indicators, and expected outcomes.

C. Description of Distribution and Use of Restricted Funds

Show the planned distribution of restricted funds allocated under Section 675C(a) of the Act to eligible entities and provide a description of how funds will be used by eligible entities to further the stated purposes of the CSBG for the fiscal year or years covered by this plan. Beginning with FY 2000, identify and describe instances where funds have been recaptured and redistributed, as allowed under Section 675C(a)(3) of the Act.

- (a) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless*

families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable the families and individuals to:

- (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);*
 - (ii) secure and retain meaningful employment;*
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;*
 - (iv) make better use of available income;*
 - (v) obtain and maintain adequate housing and a suitable living environment;*
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and*
 - (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;*
- (b) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, mentoring, life skills training, job creation, and entrepreneurship programs and after-school child care programs; and*
- (c) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). [’676(b)(1)]*

HSD implements the Community Services Block Grant by awarding contracts to designated CAAs in the State. CAAs are required to submit an application packet annually that details the agency’s goal and objectives for the program year that meets the criteria under Section 675C (a) of the Act. The CAA application package contains the following information:

- A signed application. The Executive Director and the Board of Directors’ Chairperson must sign the application.

- A detailed line item budget showing all projected costs to be charged to the CSBG grant. The line item description is based on the New Mexico, Department of Finance, Central Accounting System's Chart of Accounts.
- Budget Justification: Is an explanation for each line item in the CSBG grant budget. In general, it justifies the expenditures in relationship to the goals, objectives and activities to be charged to the grant.
- Administrative Cost Report (IRS 990)
- Community Action Plan: This plan serves several purposes: The plan is required by the assurances signed by the Secretary. The plan provides the Board of Directors and the Executive Director with the basis for monitoring the agency's success in their efforts in the community. The plan outlines the linkages and cooperative efforts between the agency and other public and private organizations in the community addressing the goals of CSBG and ROMA/National Performance Indicators outcomes.
- Client Eligibility Criteria and Application Process/Procedures: A description on how client eligibility is determined. The criteria should explain how clients with "special" needs are served (disabled, homebound, homeless, etc.).
- CSBG Outcome Plan Form/Scope of Work: Describes the agency's goals and objectives based on ROMA/National Performance Indicators. The agency provides the statement of problem for the service area, the direct measurement from ROMA/ National Indicators to be tracked, the program service (employment, education, emergency, health, housing, self-sufficiency, nutrition, income management, and linkages), program objective, the type of unit (individuals, households, meals, partnerships, etc.) and the number expected to achieve the outcome.
- The agency's affirmative action plan/nondiscrimination disclaimer.
- Organizational Chart: The organizational chart shows positions, chain of command, and programs of the agency.
- Letter from the IRS granting the 501(c) (3) status.
- Board of Directors Roster: Containing the home addresses of all board members, appointment date, length of service, and the sector they represent (public, low income, or private).
- The agency's Bylaws and Articles of Incorporation.
- The agency's projected schedule for board meetings for the contract year.

The agencies report activities that describe how funds will be used to meet the criteria under Section 675C (a) of the Act through the Community Action Plan and the Scope of Work.

Activities include:

- Employment Initiatives: On the Job Training, employment training, job placement, self-employment, business development, career development, employment counseling, and support services, i.e., purchase work

clothes/uniforms, employment licensing fees, tools, fees for medical testing, transportation assistance, etc.

- Education Initiatives: vocational training, post-secondary, pre-employment certification training, literacy, GED, tuition fees, school supplies, class room related service (uniforms and tools), Head Start, Pre-K program, private pre-school—with sliding fee scale, before and after school program, dissemination of educational and training materials.
- Income Management: Free tax preparation services (Earned Income Tax Credit), Individual Development Account (IDA), financial counseling and financial literacy classes, home ownership classes, and assistance with affordable financing to build homes.
- Housing Initiative: rehabilitation and weatherization, housing services, Tax Credit Program-Housing, construction of new homes, assisting families to qualify for low-interest mortgages, and energy saving initiatives.
- Emergency Services: emergency rental and mortgage assistance, utility assistance (electric, gas, water, propane, and wood), heating and cooling assistance (portable heaters and coolers), emergency medical assistance (prescriptions, co-payments for doctor, dental, and eye appointments, and eye glasses), emergency food boxes and food vouchers, protection from violence (information and referral), and transportation assistance (vehicle repair, bus tickets).
- Nutrition: food banks, food pantries, food boxes, children and senior meals, summer food program, Child and Adult Care Food program, child food backpack program, delivery of food boxes to homebound seniors and disabled individuals, and provide nutrition/preparation information.
- Linkages: CAAs have established partnerships with a number of organizations (both public and private) statewide to expand resources and opportunities for low-income individuals and families. The partnerships include the following:
 - a. Formal arrangements: memorandums of understanding or service contracts between one or more service providers to coordinate referrals and exchange program participants.
 - b. Financial agreements for the delivery of services.
 - c. Informal arrangements: Informal working relationships with service providers that expand service opportunities for low-income individuals and families. This includes routine service and referral and follow-up contacts.
 - d. Alliances with other organizations that advocate for expanded services or community opportunities for low-income people.

- Self-Sufficiency: case management services, employability plans, financial counseling and budgeting, childcare services, employment and training services, Head Start—parenting classes.
- Health: Adult Day Service, Covering Kids program, and Head Start—children immunization, medical and dental check-ups, information and referral to HSD medical assistance programs, and resources to assist pregnant teens.

D. Description of Distribution and Use of Discretionary Funds

Show how the State plans to use discretionary funds made available from the remainder of the grant, as described in Section 675C(b) of the Act, (excluding administration) for the fiscal year or years covered by this plan. Include a description of how the State will support innovative community and neighborhood-based initiatives.

5% Discretionary -The State of New Mexico sets aside 5% of CSBG funds in accordance with the following section of the COATES Act: Sec. 675C(b)(1)

- (1) Use of Remainder—If a State uses less than 100 percent of the grant or allotment received under section 675A or 675B to make grants under subsection (a), the State shall use the remainder of the grant or allotment under section 675A or 675B (subject to paragraph (2)) for that may include—*
- (A) providing training and technical assistance to those entities in need of such training and assistance;*
 - (B) coordinating State-operated programs and services, and at the option of the State, locally-operated program and services, targeted to low-income children and families with services provided by eligible entities and other organizations funded under this subtitle, including detailing appropriate employees of State or local agencies to entities funded under this subtitle, to ensure increased access to services provided by such State or local agencies;*
 - (C) supporting statewide coordination and communication among eligible entities;*
 - (D) analyzing the distribution of funds made available under this subtitle within the State to determine if such funds have been targeted to the areas of greatest need;*
 - (E) supporting asset-building programs for low-income individuals, such as programs supporting individuals development accounts;*
 - (F) supporting innovative programs and activities conducted by community action agencies or other neighborhood-based*

organizations to eliminate poverty, promote self-sufficiency and promote community revitalization;
(G) supporting State charity tax credits as described in subsection (c);
and
(H) supporting other activities, consistent with the purposes of the subtitle.

Priority for discretionary funds will be given to those requests that provide new and innovative direct services programs for low-income children and adults and are consistent with the priorities listed on page 39. These priorities include employment and education initiatives, income management, housing, self-sufficiency, nutrition, and emergency services. Other examples of discretionary requests might include training and technical assistance, support for an asset-building program, and activities that are within guidelines of the federal regulation.

1. WFSB has established a review process for requesting discretionary funds: Requests for discretionary money will be backed by an explanation of the need and cost proposals, and the appropriate COATES Act section will be referenced in the request.
2. Requests will be made via mail, e-mail or fax to the CSBG Program Manager (PM). The WFSB Bureau Chief will make the final recommendation and Income Support Division Director will make the final decision.
3. The requesting agency will receive notice of approval or denial within 30 working days of the receipt of their request by WFSB. If the request is denied the business reason for the denial will be provided to the agency.

E. Description of Use of Administrative Funds

Section 675(b)(2) of the Act specifies that no State may use more than the greater of \$55,000, or 5 percent of its grant or allotment for administrative expenses, including monitoring activities. Describe and provide a breakdown of planned State administrative expenses for the fiscal year or years covered by this plan. Specify use of CSBG funds for the State's Charity Tax Credit Program, if applicable.

In planning the budget and corresponding cost centers for the implementation of CSBG for the program year, HSD develops its administrative budget based upon five percent (5%) of the anticipated grant award from the U.S. Department of Health and Human Services. In the event that the actual award is different from the anticipated amount, the administrative budget will be adjusted up or down so that it remains within the five percent (5%) limit allowed under the COATES Act for administrative expenses at the state level.

The majority of the 5% allowed for State administrative expenses is used for salaries and benefits for employees involved with administering the CSBG funds. The administrative duties include but are not limited to the following:

- ◆ Participate in the contractual process with entities entering into agreements with the Human Services Department/ISD/Work and Family Support Bureau.
- ◆ Develop, prepare, and review professional services agreements, sole source agreements, memoranda of understanding, and/or request for proposals, as appropriate, to procure services for the WFSB.
- ◆ Preparation of the state plan and amendment(s) to the plan. Conduct a public hearing, and/or legislative hearing.
- ◆ Draft, prepare, implement, and update policy and procedures manual that reflects the intent of program regulations.
- ◆ Ensure that all contracts, agreements, invoices, correspondences, and program packets between the state agency/bureau and the agencies or other organizations are completed.
- ◆ Monitor and review agencies for program compliance.
- ◆ Work with the agencies on problem resolution and corrective action.
- ◆ Keep apprised of all federal and/or state regulations.
- ◆ Review and comment on pending federal legislation.
- ◆ Analyze, clarify and interpret federal and/or state regulations for this program.
- ◆ Promulgation of rules through state procedures when required.
- ◆ Develop, prepare, review, and analyze all forms and communication between the recipient agencies/other organizations and the bureau to ensure that all organizations have access to program information in a clear and up-to-date format.
- ◆ Oversight responsibility for entitlement tracking--work closely with the fiscal managers on the tracking of the grant of award.
- ◆ Review requests for discretionary funds. Make recommendation regarding each request. In addition, track the distribution of discretionary funds.
- ◆ Review and approve monthly expenditure reports. Review the agencies single annual audit.
- ◆ Provide training and technical assistance to the CAAs and their staff with regards to ROMA/ National Performance Indicator, Scope of Work, Client-Track, NASCSP/CSBG IS reporting, fiscal management, etc.
- ◆ Review monthly CSBG program reports.
- ◆ Compile, edit and submit the annual NASCSP/CSBG IS federal report.
- ◆ Communicate with other states' program staff regarding the practices and procedures from those states for shared programs.
- ◆ Communicate with Shah Software regarding the Client-Track data collection system.
- ◆ Communicate with federal offices: OCS, NASCSP, Head Start State Collaboration Office, and Regional Office.
- ◆ Attend CSBG meetings and conferences.

F. State Community Services Program Implementation

(1) Program Overview: Describe the following using information provided to the State by eligible entities, as required under Section 676(b)(2) of the Act:

(a) Service Delivery System: A description of the service delivery system for services provided or coordinated with funds made available through grants made to eligible entities with restricted funds, targeted to low-income individuals and families in communities within the State. Include a description of the geographical area served and a listing of eligible entities (grantees) and service areas.

The service delivery system in New Mexico covers the entire state. The contract entered into between HSD and the CAAs contains a detailed Scopes of Work that describes the agency's goals and objectives based on ROMA and the National Performance Indicators. The agency provides the statement of problem for the serve area, the direct measurement from ROMA and National Indicators to be tracked, the program service (education, health, nutrition, income management, etc), program objective, identify the type of unit (individuals, households, meals, partnerships, etc.) and the number expected to achieve the outcome. Clients and activities are quantified and specific dates for the achievement of each activity are stated.

CSBG federal funding available to CAAs in New Mexico for 2009 was approximately \$3.9 million for 33 counties--shared among the eligible CAAs. Poverty percentage is based on the US Census 2007 poverty statistics. The service delivery area is as follows:

- Community Action Agency of Southern New Mexico serves five counties:

County:	Poverty%:	Geographic Area:
Dona Ana	13%	Urban area/rural
Grant	1.5%	Rural
Hidalgo	.03%	Rural
Luna	2.5%	Rural
Sierra	0.8%	Rural

- Eastern Plains Community Action Agency serves seven counties:

County:	Poverty %:	Geographic Area:
Curry	2.4%	Rural
DeBaca	0.1%	Rural
Guadalupe	0.3%	Rural
Harding	.03%	Rural
Quay	0.6%	Rural
Roosevelt	1.3%	Rural
Union	0.2%	Rural

- Economic Council Helping Others, Inc. (ECHO) serves one county:

County:	Poverty %:	Geographic Area:
San Juan County	6.5%	Rural/tribal
- HELP New Mexico serves ten counties:

County:	Poverty %:	Geographic Area:
Bernalillo	26.9%	Urban/tribal
Colfax	0.6%	Rural
Los Alamos	0.2%	Urban
Mora	0.3%	Rural
Rio Arriba	2.5%	Rural/tribal
San Miguel	2%	Rural
Sandoval	3.5%	Urban/rural/tribal
Santa Fe	6%	Urban/rural/tribal
Taos	2%	Rural/tribal
Torrance	1%	Rural

In addition, HELP NM serves the migrant/seasonal farm worker population statewide.

- Mid-West Community Action Program serves five counties:

County:	Poverty %:	Geographic Area:
Catron	0.2%	Rural
Cibola	1.8%	Rural/tribal
McKinley	5%	Rural/tribal
Socorro	1.5%	Rural
Valencia	3%	Rural/tribal
- Southeast New Mexico Community Action Corporation serves five counties:

County:	Poverty %:	Geographic Area:
Chaves	3.6%	Urban/rural
Eddy	2%	Rural
Lea	3%	Rural
Lincoln	.8%	Rural
Otero	3.6%	Rural/Tribal

(b) Linkages: A description of how linkages will be developed by local entities to fill identified gaps in services, through the provision of information, referrals, case management, and follow up consultations.

CAAs have established partnerships with a number of organizations (both public and private) statewide to expand resources and opportunities for low-income individuals and families. The partnerships include the following:

- Formal arrangements: memorandums of understanding or service contracts between one or more service providers to coordinate referrals and exchange program participants.
- Financial agreements for the delivery of services.
- Informal arrangements: Informal working relationships with service providers that expand service opportunities for low-income individuals and families. This includes routine service and referral and follow-up contacts.
- Alliances with other organizations that advocate for expanded services or community opportunities for low-income people.

For FFY 2010 and 2011 the CAAs will provide the number of organizations, both public and private that they actively work with to promote family and community outcomes. These organizational partnerships include:

- Non-Profit
- Faith Based
- Local Government
- State Government
- Federal Government
- For-Profit Business or Corporation
- Consortiums/Collaboration
- Housing Consortiums/Collaboration
- School Districts
- Institution of post secondary education/training
- Financial/Banking Institutions
- Health Services Institutions
- Statewide associations or collaborations
- National associations or collaborations

According to the 2008 NASCSP/CSBG IS report CAAs established 2,389 partnerships statewide to expand resources and opportunities to low-income individuals and families.

Examples of partnerships: Human Services Department, Department of Children Youth and Families, Department of Work Force Solution, Mortgage Finance Authority, US Department and Urban Development, Housing Authority, Department of Aging and Long Term Care, Department of Health, US Department of Labor, USDA, Head Start, faith based organizations—Salvation Army, Saint Vincent de Paul, and local churches, United Way, local government agencies, domestic violence shelters, private industry—Wal-Mart, Home Depot, local pharmacies, mortgage companies, utility companies, etc, educational institutions—University of New Mexico, Central New Mexico Community College, NM State University, NM Highlands University, public schools, etc., Voices for Children, tribal governments, health care facilities, NM Project for Financial Literacy, Northwest NM Community Development Corporation, Community Action New

Mexico, Center of Law and Poverty, and many other organizations.

(c) Coordination with Other Public and Private Resources: A description of how funds made available through grants to eligible entities will be coordinated with other public and private resources.

In 2008, CAAs in New Mexico were able to serve approximately 153,660 people with the coordination of CSBG funds and other public and private resources. CAAs mobilized \$41,559,539 in non-CSBG federal programs (Weatherization, LIHEAP-Fuel, LIHEAP-Weatherization, Head Start, Early Head Start, Older Americans Act, Medicare/Medicaid—HHS, USDA Food Programs, Community Development Block Grant, HUD, Employment and Training Programs—US Dept. of Labor, Corporation for National Services Programs, and FEMA; \$3,823,777 in State funding for nutrition programs, day care and early childhood programs, energy programs, health programs, youth development programs, State Head Start programs, senior programs, education programs and asset development program; \$2,311,604 in local public funding (including the value of in-kind goods and services); and \$6,563,288 in private sources (including foundations, individual contributors, and goods and services donated).

CAAs are required to provide information regarding their coordination with other public and private resources through the Scope of Work and their annual year-end report.

(d) Innovative Community and Neighborhood-based Initiatives: A description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the CSBG, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting.

CAAs continue to strive to create and improve innovative programs that strengthen communities and families. Such initiatives include:

- **Community Action Agency of Southern New Mexico (CAASNМ)**
CAASNМ Food Bank was very successful in developing new and creative community collaborations to bring awareness to the problem of food uncertainty among low income people in southern New Mexico. In addition, these creative food and fund-raising activities enabled the Food Bank to collect 126,632 pounds of food (in-kind value estimated at \$94,974) and \$4,895.00 for the purchase of food from various sources.

For the first time, during the Bataan Memorial Death March sponsored by the US Army at White Sands Missile Range, the 800 participants who were packing 35 pounds of shelf-stable food such as beans and rice, in their backpacks, were able to donate that food at the end of the March to

CAASNM's Food Bank. The US Army coordinators of the March arranged a collection point at the end of the march so it was very convenient to collect and load the food for transport to Las Cruces, NM. Volunteer hours for participants and Food Bank staff totaled approximately 4,500 hours. The 12,000 pounds of food collected had an in-kind value of \$9,000.00.

CAASNM Food Bank also collaborated with fraternities, sororities, the New Mexico State University business office, the Reserve Officers Training Corps (ROTC) at New Mexico State University, and Las Cruces High School ROTC to focus their volunteer and service activities on raising awareness of food insecurity and the role of the Food Bank in easing hunger throughout the community as a condition of poverty among low income families. The participating fraternities and sororities include: TKE's, Pi Beta Phi, Delta Zeta, Delta Sigma Phi, Zeta Tau Alpha and Sigma Alpha Epsilon. New Mexico State University championed this effort through the provision of volunteers for food drives. These groups collected 97,832 pounds of food with an in-kind value of \$73,374.00 on campus and delivered it to CAASNM's Food Bank for storage and distribution. An additional \$1,895.00 in cash contributions was also raised for the purchase of food to be distributed to pantries in Dona Ana County by the Food Bank.

○ **Economic Council Helping Others (ECHO), Inc.**

ECHO Home Ownership Problems Eliminated (ECHO HOPE) purpose is to assist families to purchase their own homes with affordable mortgages. A recent City of Farmington Housing Needs Assessment shows that in excess of six hundred (600) homes need to be built every year between 2009 and 2020 to meet the need for affordable mortgages/ housing in San Juan County.

ECHO Inc. and its Board of Directors are committed to bringing affordable mortgages/homes to families in San Juan County. No other program currently exists to do this and ECHO Inc. only recently started to receive funding assistance through the NM Mortgage Finance Authority to offset some of the operating costs. ECHO HOPE has developed homebuyer education classes; identified multiple sources of mortgages, subsidies and grants for homebuyers; counseled and qualified families; identified and obtained, either through purchase or option, affordable land; and is now looking at developing a 60 lot subdivision to provide a ready source of affordable land. In addition, ECHO HOPE purchased two lots, at \$30,000 each, in Aztec, NM on which to build affordable homes. Only 6% of San Juan County is privately owned so land costs are excessively high and a huge barrier to providing affordable mortgages for low income families. The average lot in San Juan County costs from \$40-\$45,000. The greatest community change achieved was to educate surrounding home owners. Affordable mortgages have a vastly different connotation than "affordable housing." It became a very involved process to educate families and the Aztec Planning and Zoning Commission.

The City of Farmington, San Juan County, the New Mexico Mortgage Finance Authority and the Enterprise Foundation have contributed \$55,000 for the Affordable Housing Strategic Plan which covers all of San Juan County. This is unique in that, generally, a strategic plan is based on one city and not three (Farmington, Aztec and Bloomfield) as well as the county.

Partners involved in the ECHO HOPE Program currently involve the City of Farmington - \$15,000 for strategic Plan; San Juan County - \$10,000 for Strategic Plan; New Mexico Mortgage Finance Authority - \$10,000 for strategic plan and \$29,000 for homebuyer education and counseling programs; Enterprise Foundation - \$15,000 for strategic plan; Foundation for Building - \$5,000 for qualifying families for rehabilitation services to their homes; Rural Community Assistance Corporation (RCAC) – technical assistance; City of Aztec - \$10,000 for capacity building.

○ **HELP New Mexico**

Parents as Leaders (P.A.L.) Program is an effort of collaboration, relationship-building, leadership development and advocacy education in which parents are provided the opportunities to enhance their knowledge and skills to allow their voices to be heard in order to impact change within their communities, families and self. The program is delivered through L.O.V.E. (Listening, Observing, Valuing and Encouraging Parents & Families) and a vision of family empowerment.

Goals of Empowered Families:

- Ability to access resources in the community
- Decision-making abilities
- Assertiveness
- Feeling of hope
- A belief in the family unit
- Ability to express anger in non-destructive ways
- A feeling of being part of a group

Four Major Kinds of Parent Participation/Engagement:

- Participation in the process of making decisions about the nature & operation of the program.
- Participation in the classroom as paid employees, volunteers or observers.
- Activities for parents which they have helped to develop.
- Working with their children in connection with the center staff.

Positive Impact: In its second year, HELP-New Mexico has empowered and developed parent leaders who now speak on behalf of their children, families and communities and have their voices heard.

○ **Southeast New Mexico Community Action Corporation**

Southeast NM Community Action Corporation has been working with the community, city government, county government and state legislators to establish an Adult Day Care facility in Eddy County that would allow for families and caregivers to have a safe place to have their loved one cared for and would avoid their early institutionalization. The NM State Legislature designated a total of \$800,000 towards the construction of a facility and the Eddy County Commissioners designated \$500,000 towards the construction of a facility. The following additional partners contributed funding to assist with operational expenses: City of Artesia (\$26,000), Eddy County (\$26,000), Chase Foundation (\$20,000), and the Yates Foundation (\$20,000). The facility is licensed to service up to 44 elderly. Services are provided to individuals and the families of persons diagnosed with dementia or Alzheimer's.

The following descriptions provide innovative community and neighborhood-based initiatives related to the purposes of the Recovery Act, which promotes food, housing, health services and employment-related services and activities.

- **Community Action Agency of Southern NM:**

- 1) Food Assistance: The agency plans to distribute 210,000 pounds of food to communities in the 5 county areas to low-income families.
- 2) Housing Project (Home rehabilitation and construction): The agency is working with the City of Las Cruces to rehabilitate five low-income homes; and the agency has secured additional funding from HOME to build five single family homes.
- 3) Child Care Business Development: The creation 5 commercial childcare businesses thus creating employment opportunities; and create and/or sustain 25 home based child care businesses.
- 4) Nursing Licensing Assistance project: Targeting nursing students who have completed all course work and practicum and do not have the resources to obtain their certification license. Community Action Agency of Southern NM will provide the resources to assist eligible clients in obtaining their certification license for employment.
- 5) Single Stop project will provide information and referral to a variety of local, state and federal benefits. .

- **Eastern Plains Community Action Agency**

- 1) Case Management and Job Training Project: Eastern Plains Community Action Agency has collaborated with the Economic Development Agencies, community leaders and employers regarding job creation and sustained employment opportunities. Lack of sufficient skilled workers has been identified as an obstacle for employment growth in the rural counties. Eastern Plains Community Action Agency will implement a case management and job training project to help with the development of economic

growth and sustain employment opportunities. The agency will target 200 low-income individuals including TANF clients.

- **Economic Council Helping Others (ECHO):**

- 1) **Housing Project:** The Recovery Act funds will create the initial capacity for the ECHO's HOPE (Home Ownership Problems Eliminated) Housing Program to become self-sustaining at the conclusion of the stimulus grant. ECHO will create or retain seventy-eight (78) jobs in the San Juan County area. ECHO will build a minimum of twelve homes for families who the agency has assisted to obtain USDA Rural Development mortgages through the Homebuyers Education classes and counseling.
- 2) **Emergency Project:** Emergency services will be provided to low-income families and individuals impacted the economic situation. Emergency services include the following: rental/mortgage assistance, medical care (prescription, eye care, etc), car repairs and energy bills.

- **HELP New Mexico:**

- 1) **HELP New Mexico** is the only CAA that currently provides workforces services funded through the Work Force Investment Act. HELP New Mexico will expand the following employment initiatives through the CSBG Recovery Act funds: CSBG Employment Training, Combined Employment Training and Classroom Training, Training Related Supportive Services, and Job Readiness. Target population will include individuals meeting the adjusted CSBG income poverty guideline of up to 200%. These individuals include the unemployed, under-employed, displaced workers, TANF recipients, and low-income agricultural workers statewide. The Recovery Act funds will cover nine counties and seasonal and migrant farm workers statewide. HELP New Mexico will partner with local business to sustain economic growth and employment opportunities.
- 2) **HELP New Mexico** in partnership the New Mexico Statewide Solar Energy Association or other groups will provide specialized training for the installation of the photovoltaic solar panels. As part of the "green jobs" initiative five training classes will be held in various communities. The goal is to provide employment opportunities in the "green job" sector.
- 3) **Emergency Assistance:** Emergency services will be provided to low-income families and individuals impacted by the economic situation. Emergency services include the following: food vouchers, rental/mortgage and utility assistance, medical care, and transportation.

- **Mid-West NM Community Action Program**
 - 1) **Direct Care and Support:** This initiative will provide the following:
 - ◆ Case management services through their Striving Toward Achievement Responsibility and Success (S.T.A.R.S.) program.
 - ◆ Emergency services, i.e., rental/mortgage assistance, utilities, transportation, food boxes, tuition, other educational expenses, and medical (eye glasses, prescriptions, and dental) services.
 - ◆ Expansion of the food pantry located in Valencia County to accommodate and serve more residence.
 - ◆ Creation of a combined resource centers which will include the Community Action Program (CAP) offices with Head Start Centers and the Child and Adult Care Food Program offices.
 - ◆ Low cost weatherization program for participants needing emergency weatherization services.
 - 2) **New Start Jobs Training Programs & Case Management:**
 - ◆ A training program that partners participants with an employer for a work experience opportunities. Individuals are assessed and placed in an employment setting that meets the participant's career choice. The plan is to work with displaced workers, underemployed and/or unemployed clients.
 - ◆ This program will entail intense case management, emergency services and other supportive services (uniforms, tools, transportation, etc.).

- **Southeast NM Community Action Corporation (SNMCAC)**

SNMCAC met with community leaders to discuss where stimulus dollars would best be utilized for their CSBG designated region. The region SNMCAC serves has a relatively low unemployment rate. Feedback from community leaders' stress that training opportunities for the unemployed and underemployed are needed for the region. SNMCAC has coordinated with the institutions of higher education in the five county area as well as the economic development agencies that are working at bringing industry or growing industry and jobs to the region. Stimulus funding will assist in meeting the training demands for future growth and the future industries workforce.

SNMCAC will implement the following employment opportunities:

- 1) **Energy Technician Certification:** This certification is a basic certification that will assist a client in getting hired in the nuclear, solar, wind or gas and oil industry. Advancement for the employee will require industry specific training.
- 2) **Commercial Drivers License Certificate Program with HAZMAT**

Certification: This will assist a client in finding employment with local and national industries. The HAZMAT Certification will make the employee more attractive to the nuclear, gas and oil industries. It is also a requirement for employment at Waste Isolation Pilot Plant (WIPP) located in southeast New Mexico.

- 3) Energy Audit Certificate Program: This certification program will assist a client in getting hired in the construction field. Qualified applicants in the construction field are in demand in this region.
- 4) Police Officer Certification: This certification program will assist a client in getting hired with many of the local police and sheriff departments. Smaller departments cannot afford to send applicants to training and pay wages during the training period.
- 5) Certified Nursing Assistance: This certification program will assist a client in getting hired with area hospitals, home health agencies and nursing homes.

Other Projects:

- 1) Community Solar Installation Presentations: The training will show interested homeowners “How to Install a Solar Panel System”. 10 workshops will be held.
- 2) Artesia Community Health Track: The development of a community center health track serving the community at large. SNMCAC collaborated with the City of Artesia and Eddy County to promote physical fitness.

- (2) Community Needs Assessments: Describe how the State will comply with the following assurance in ‘676(b)(11): The State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs. Information describing how the State will carry out this assurance:**

CAAs are required to complete and submit an application packet to the state office prior to the implementation of a contract with them. One component of that application is the submission of a Community Action Plan. The Community Action Plan incorporates specific needs of the community from the Community Needs Assessment.

A Community Action Plan serves several purposes. It provides the basis for the application for funds. It provides a basis for both board and community monitoring and evaluation of the CSBG agency’s performance in addressing the poverty-related problems of the community; and it provides a basis for formal and informal linkages and coordination between the entity and other public and private efforts to eliminate or

alleviate poverty and its consequences in the community, and to encourage self-sufficiency.

In the contract between the state and the CAAs the Community Action Plan requirements are specifically noted. Funds will not be distributed to any agency until this plan is submitted and approved.

For the purpose of the CSBG Recovery Act funds HSD created the CSBG Stimulus Funds Survey form that requests demographic information from the CAA's designated area(s). The document contains population, persons below poverty, unemployment rate and Supplemental Nutrition Assistance Program (SNAP) increased % rate demographic data. CAAs utilized this information when developing their planned projects and activities regarding the CSBG Recovery Act funds.

- (3) Tripartite Boards: Section 676B of the Act requires that, in order for a private non-profit entity or public organization to be considered to be an eligible entity for the purposes of the community services block grant program, it must administer the community services block grant program through a tripartite board or another mechanism specified by the State, whose members are chosen in accordance with democratic selection procedures to assure that not fewer than 1/3 of its members are representative of low-income individuals and families in the neighborhood served; reside in the neighborhood served; and are able to participate actively in the development, planning, implementation, and evaluation of the program to serve low-income communities. Describe State policies and procedures to ensure this requirement is met:**

As part of the requirements for completing the application for funds, each CAA must submit to WFSB a listing of its Board of Directors and the sector he/she represents. The list should include how long the board member has served in order to adhere to the board requirements of the NM Community Action Act. CAAs must also submit the process by which they ensure membership of representatives of the poor is done in a democratic manner. In the event that the Board Roster or the Certifications do not indicate compliance with the Community Action Act, the eligible entity is required by contract to amend its board composition appropriately.

WFSB reviews and verifies the Board composition during the management evaluation. As part of the monitoring and review process, HSD staff review previous and current board minutes and attend a meeting of the Board at least biennially. Corrective action plans are developed as needed to ensure ongoing compliance with this requirement. Finally, funded agencies are required to notify HSD of any changes in their Boards of Directors.

- (4) State Charity Tax Program: If there is in effect under State law a charity tax credit program: (a) specify the amount of the contribution to the charity tax**

credit program from the community services block grant program; and (b) describe how the State will ensure that such funds will ensure that benefit only qualified charities that primarily assist poor individuals, as defined under Section 675C of the Act. Information describing how the State will carry out this requirement:

Not applicable in the State of New Mexico.

(5) Programmatic Assurances

Describe how each of the assurances outlined in Section 676(b) of the CSBG Act will be carried out, as follows:

(a) Assurance ‘676(b)(1):

- (1) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable the families and individuals to:**
- (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);**
 - (ii) secure and retain meaningful employment;**
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;**
 - (iv) make better use of available income;**
 - (v) obtain and maintain adequate housing and a suitable living environment;**
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and**
 - (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.**
- (2) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of**

youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs; and

(3) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts).

WFSB implements CSBG by entering into contracts with the eligible entities designated as CAAs in the State. CAAs are required to submit an application packet outlining how they will conduct the specific activities listed above under (a) Assurance '676(b)(1), (2) and (3). WFSB will continue to monitor CAAs to ensure that they are carrying out the above assurance.

The agencies report activities that describe how funds will be used to meet the criteria under Section 676(b) of the Act through the Community Action Plan and the Scope of Work.

Activities include:

- **Employment Initiatives:** On the Job Training, employment training, job placement, self-employment, business development, career development, employment counseling, and support services, i.e., purchase work clothes/uniforms, employment licensing fees, tools, fees for medical testing, transportation assistance, employment information and referrals, etc.
- **Education Initiatives:** vocational training, post-secondary, pre-employment certification training, literacy, GED, tuition fees, school supplies, class room related service (uniforms and tools), Head Start, Pre-K program, private pre-school—with sliding fee scale, before and after school program dissemination of educational and training materials, and education/training information and referrals.
- **Income Management:** Free tax preparation services (Earned Income Tax Credit), Individual Development Account (IDA), financial counseling and financial literacy classes, and assistance with affordable financing to build homes.
- **Housing Initiative:** rehabilitation and weatherization, housing services, Tax Credit Program-Housing, construction of new homes, assisting families to qualify for low-interest mortgages, energy saving initiatives, information and referrals to housing programs/resources.

- Emergency Services: emergency rental and mortgage assistance, utility assistance (electric, gas, water, propane, and wood), heating and cooling assistance (portable heaters and coolers), emergency medical assistance (prescriptions, co-payments for doctor, dental, and eye appointments, and eye glasses), emergency food boxes and food vouchers, protection from violence (information and referral), transportation assistance (vehicle repair, bus tickets), and emergency information and referrals.
- Nutrition: food banks, food pantries, food boxes, children and senior meals, summer food program, Child and Adult Care Food program, Commodity Supplemental Food Program, The Emergency Food Assistance Program, child food back-pack program, delivery of food boxes to homebound seniors and disabled individuals, information and referrals to other food/nutrition programs.
- Self-Sufficiency: case management services, employability plans, financial counseling and budgeting, childcare services, employment and training services, Head Start—parenting classes.
- Health: Adult Day Service, Covering Kids program, and Head Start—children immunization, medical and dental check-ups, information and referral to HSD medical assistance programs, other medical information and referrals, and resources to assist pregnant teens.
- Linkages: CAAs will provide the number of organizations, both public and private that they actively work with to promote family and community outcomes. These linkages also include information and referrals, Single Stop, and One Stop Centers.

(b) Assurance ‘676(b)(4): Eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.

All of the CAAs in New Mexico provide emergency assistance as mandated in the COATES Act. Emergency services include the following: emergency rental and mortgage assistance, utility assistance (electric, gas, water, propane, and wood), heating and cooling assistance (portable heaters and coolers), emergency medical assistance (prescriptions, co-payments for doctor, dental, and eye appointments, and eye glasses), emergency food boxes and food vouchers, protection from violence (information and referral), and transportation assistance (vehicle repair, bus tickets). In addition, some of the agencies receive The Emergency Food Assistance Program (TEFAP) commodities and have pantries and/or food banks associated with their community based organizations. By combining these programs and utilizing the CSBG agencies throughout the State, we are able to provide services to clients in some

of the most remote areas in New Mexico, especially in regard to our efforts to overcome food insecurity and deprivation, while making the most efficient use of department staff in reviews, monitoring and other oversight activities.

(c) State Assurance ‘676(b)(5): and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998.

HSD will continue to work with Mortgage Finance Authority, Department of Health, Department of Work Force Solutions, Department of Children Youth and Families, and other organizations and agencies to address shared concerns and goals for providing assistance to low-income citizens of the state.

CAAs have established partnerships with numerous organizations (both public and private) statewide to expand resources and opportunities for low-income individuals and families in their communities. As part of their role, WFSB requires through contract language that each CAA take an active role as a leader in local community coalitions of service providers. This information is required in their annual application for funds, year-end report and is reviewed during the monitoring visit.

HELP New Mexico is the only CAA in the state that receives Work Force Investment Act funding for twelve counties. In addition, they also carry out employment initiatives statewide through the National Farmworkers Jobs Program and the CSBG Migrant program.

(d) Assurance ‘676(b)(6): The State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities.

HSD oversees the Low Income Home Energy Assistance Program (LIHEAP) in New Mexico. CAAs assist clients in completing applications, getting documentation necessary to be eligible for LIHEAP benefits and actively support the program in NM. One of the CAAs also administers the Weatherization Assistance Programs (WAP) in their service area. WFSB and the CAAs strive to increase coordination and collaboration with other organizations and programs in order to better serve their shared clients.

(e) Assurance ‘676(b)(9): The State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and

members of the groups served by the State, including religious organizations, charitable groups, and community organizations.

HSD will continue to coordinate and consolidate programs, where possible. HSD has consolidated the Work and Family Support Bureau to include Low Income Home Energy Assistance Program (LIHEAP), TANF New Mexico Works Program, Refugee Resettlement Program, and CSBG. HSD also administers TANF, Supplemental Nutrition Assistance Program (SNAP), Medicaid, State Coverage Insurance program, Child Support Enforcement, General Assistance, The Emergency Food Assistance Program (TEFAP), USDA commodities for school breakfast/lunch program, Summer Food Program and Child and Adult Care Food Program.

CAAs are required to continue to maintain partnerships with various community organizations, faith-based organizations, and other state agencies to ensure compliance with the Act. They have established partnerships with a number of organizations (both public and private) statewide to expand resources and opportunities for low-income individuals and families. These partnerships are done through formal arrangements, financial agreements, informal arrangements and alliances. Goal 4 from the National Performance Indicator (Partnerships among supporters and providers of services to low-income people are achieved.) is outlined on the Scope of Work. All eligible entities are required to report their listing of all partnerships.

G. Fiscal Controls and Monitoring

(1) State Program Monitoring: Describe the lead agency's plans for conducting the following reviews of eligible entities, as required under Section 678B(a) of the Act:

(a) a full onsite review of each such entity at least once during each 3-year period;

WFSB conducts a review of each CAA at least every two years (biennial). This visit includes whenever possible, attendance at a regularly scheduled board meeting of the agency. A full onsite review entails the following and is not limit to:

Administrative Review:

- Agency's Personnel Policy and Procedures
- Equal Opportunity Employer Certification (non-discrimination provision)
- Personnel files
- Submission of the agency's organizational chart
- Blanket fidelity bond coverage
- Certificate of insurance for comprehensive general liability
- Certificate of insurance for comprehensive Board liability
- IRS 990

Board of Directors:

- Tripartite membership requirement

- 15 membership requirement per New Mexico State Statute
- Term limits per State Statute
- Areas represented
- Article of Incorporation
- Board Bylaws
- Board's Responsibilities
- Board Minutes—review of financial statements, development of a Community Action Plan, approval on all program proposals and budgets, audit reports, evaluation of Executive Director, etc.
- Board training

Program Review:

- Community Action Plan
- Community Need Assessment
- Program Policy and Procedures—eligibility criteria
- Income Guidelines
- Non-discrimination disclaimer
- Informing the service area of the agency's programs and service
- Linkages—partnerships
- Scope of Work
- Program reports—demographic data, program/services data, ROMA/National Indicator tracking, NASCSP/CSBG IS annual report
- Client records
- Other funding source's monitoring reports and resolutions

Fiscal Review:

- Financial Policy and Procedures
- Internal Controls
- General Ledger
- Expenditure Reports
- Cost Allocation Plan
- Chart of Accounts
- Actual versus budgeted expenditures
- Line of credit
- Check signing policy/authorized check signers/signature stamps
- Payroll
- Tracking of employees leave
- Accounts payable/receivable
- Procurements
- Property Management
- Petty Cash
- Time sheets
- Travel—per diem
- Cash disbursements/receipts

- Fixed assets
- Property inventory record
- Maintenance, repair and protection of property
- Annual agency audit

CAAs are required to respond to any findings or recommendation reported by the monitoring team. The agency shall submit a corrective action plan within 30 days of the review report.

(b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;

New Mexico has no newly designated entities established since April 2000. WFSB conducts reviews for the community services block grant program according to federal regulations and on an as-needed basis.

(c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;

CAAs that demonstrate the need for additional T & TA are given priority for the WFSB's staff and resources and visits are made as needed. Roughly, we visit or contact troubled agencies every 3 to 6 months, depending on their need.

(d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the CSBG program) terminated for cause.

HSD will request from the CAAs copies of their monitoring reports from their other funding sources. The CAAs will provide a copy of their corrective action plan if findings are reported. Training and technical assistance will be offered to CAAs needing assistance to ensure compliance.

WFSB will meet with any agency and their Board of Directors that has had their funding terminated due to cause. An assessment of the agency shall be conducted to identify the areas of concern and weaknesses. Technical assistance will be offered. If the agency fails to make improvements or comply with program requirement, HSD will revoke the agency's quarterly advance payments and place the agency in a monthly reimbursement status. HSD will make every effort to assist the agency with training and technical assistance. Close monitoring of the agency's progress will be conducted. HSD will follow the procedures outlined in the contract instrument and CSBG Policy and Procedures Manual to reduce or terminate funding for an agency that has failed to comply with program requirements. (See assurance (2) Corrective Action, Termination and Reduction in Funding below).

(e) specify the date of the last audit conducted and the period covered by the audit for each eligible entity:

<u>Eligible Entity:</u>	<u>Date:</u>	<u>Period of Audit:</u>
Community Action Agency of Southern NM	12/22/08	OCT 2007-SEPT 2008
Eastern Plains Community Action Agency	01/23/09	JUL 2007-JUNE 2008
Economic Council Helping Others (ECHO), Inc.	02/10/09	OCT 2007-SEPT 2008
HELP-New Mexico	10/03/08	JUL 2007-JUN 2008
Mid-West Community Action Program	02/05/09	SEPT 2007-AUG 2008
Southeast NM Community Action Corp.	11/04/08	JUL 2007-JUN 2008

(2) Corrective Action, Termination and Reduction of Funding: Describe the State's plan for complying with the requirements of Section 678C of the Act. (Section 678C of the Act requires states to comply with certain requirements in the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State, including performance objectives)

All actions relating to a reduction in funding or a termination of funding shall be governed by the COATES Act, the NM Community Action Act and the contract instrument for CSBG.

A. Notice of Reduction in Funding or Termination of funding:

If an entity has failed to comply with the legislative and administrative eligibility requirements, HSD will issue a Notice of Reduction in Funding or a Notice of Termination letter to the CAA's Executive Director and Board of Directors informing them of the failure or deficiency to be corrected, and requiring the agency to submit a Corrective Action Plan to address the failure or deficiency to be corrected. HSD will offer help and technical assistance and give the agency sixty (60) days to correct the deficiency or failure. The letter will contain the specific cause(s) for this action.

B. Corrective Action Plan

The CAA shall develop and implement a quality improvement plan to correct the failure or deficiency and submit that plan to HSD within 60 days of the Notice of Reduction in Funding or Termination of Funding.

HSD will approve the plan or specify the reasons why the proposed plan cannot be approved within 30 days after receiving such a plan. If the plan is adequate to correct the failure or deficiency HSD will monitor the agency's progress in implementing the plan. If the plan is not submitted or is inadequate to correct the failure or deficiency, HSD will notify the CAA that the reduction in funding or termination of funding will proceed and will offer the CAA an opportunity for a hearing.

The WFSB notification shall include a date beyond which no CSBG funds may be expended by the CAA, or alternatively, other restrictions on CSBG expenditures as WFSB may require.

If the CAA requests a hearing HSD will contract with an Administrative Hearing Officer who is not an employee of HSD to chair the hearing and provide a recommendation to the HSD Secretary or Deputy Secretary within fifteen (15) days of the hearing. The HSD Secretary shall review the Administrative Hearing Officer's decision and either agree with it or disagree with it. The HSD Secretary will send a letter to the CAA informing them of the action that will be taken by HSD according to the hearing results. All reduction and termination procedures will be done according to the COATES Act and the agreement.

C. Decertification

If the agreement between HSD and the CAA is terminated or expired due to the above process, HSD will request that the governor of the state revoke the agency's designation as a CAA in the State of New Mexico and as an agency eligible to receive CSBG funds. This request will be sent to the Governor by the HSD Secretary or Deputy Secretary.

The Decertification will be final upon written notice to the CAA of such action by the Governor or his designee.

(3) Fiscal Controls, Audits, and Withholding

Describe the State's systems of fiscal controls, procedures, and plans for audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act. (4) Assurances:

There are several activities and procedures that the state has implemented to ensure fiscal control and the proper disbursement of and accounting for CSBG funds. Among these systems is financial oversight by the Office of the Inspector General (OIG) of HSD. This section within HSD performs the audit and investigation functions for the Department. A copy of each agency's yearly audit is sent to OIG for their review. In addition, the Administrative Services Division (ASD) of HSD is responsible for the receipt, distribution and accounting for of all of the federal and state funds received by the Department.

The WFSB of the Income Support Division is responsible for the development and implementation of the contracts with the agencies funded with CSBG monies. All payments made under this grant are reviewed and approved by WFSB staff utilizing all applicable state and federal guidelines, rules, regulations and statutes.

The WFSB staff has developed a CSBG policy and procedures manual for use by the state and the CAAs. This manual includes sections outlining all relevant fiscal and accounting requirements for the CSBG contracts. It includes audit standards, all applicable Office of Management and Budget Circular requirements and other related documents information.

Utilizing a comprehensive checklist of financial and accounting procedures, WFSB will continue to monitor the fiscal operations of the funded agencies. Material weaknesses and concerns will be worked on with the CAAs for resolution. Training and technical assistance will be offered and provided for agencies that have need for additional fiscal assistance.

Compliance with the reviews implemented by WFSB, all applicable statutes, regulations and rules, and the contract instrument mandates responses to audits. An audit report of the HSD is prepared by a qualified independent Certified Public Accountant firm each year. In addition, the eligible agencies receiving CSBG and other federal funds of more than \$500,000 have an audit report prepared by an independent Certified Public Accounting firm. These audits follow the mandates outlined in OMB Circular A-133 and other applicable guidelines.

If a CAA is not required to procure services from an auditor, the State CSBG office will procure such services at no cost to the agency.

In the event that a CAA does not provide an audit report in accordance with the contractual arrangement, or in the event that the audit report does not express an opinion on the financial status of an agency, WFSB will take corrective measures with that agency. Those corrective measures may include, but are not limited to:

- a) increased documentation and ongoing audits of expenses
- b) a special audit conducted by a certified public accountant hired by WFSB and reporting directly to WFSB
- c) training and technical assistance
- d) suspension of quarterly advance payments
- e) suspension of funds until basic fiscal compliance is achieved

In these circumstances WFSB will insure that services are continued to eligible clients and that the CSBG agency is afforded every opportunity to rectify its problems.

Describe how each of these assurances, outlined in Section 676(b) of the Act, will be carried out, as follows:

- (a) The assurance ‘676(b)(7): The State will permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act.**

The State will permit and cooperate to the fullest extent with any and all Federal investigations undertaken in accordance with the above-mentioned section of the Act.

- (b) The assurance ‘676(b)(8): Any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a**

hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) of the Act.

If an eligible entity fails to meet or comply with the appropriate standards, goals, and other requirements based on the COATES Act, the State Statute and the contract, they shall be given a notice of reduction or termination and an opportunity for a hearing. Reduction or termination of funding policies is outlined in our CSBG Policy and Procedures Manual (copy attached in Section VI. Appendices, B.4).

- (c) The assurance ‘676(b)(10): The State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.**

The state requires each CAA to have written procedures on the democratic selection process for board representation of low-income persons. These procedures are a part of the application packet submitted annually.

H. Accountability and Reporting Requirements

- (1) Results Oriented Management and Accountability: Describe how the State will comply with the following assurance, in ‘676(b)(12) of the Act: The State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System or another performance measure system for which the Secretary facilitated development pursuant to Section 678E(b) of the Act. (Include a description of outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization) These measures must measure performance towards meeting the following stated National Goals of the Community Services Block Grant Program:)**

Goal 1: Low-income people become more self-sufficient (self-sufficiency)

Goal 2: The conditions in which low-income people live are improved (community revitalization).

Goal 3: Low-income people own a stake in their community.

Goal 4: Partnerships among supporters and providers of services to low-income people are achieved.

Goal 5: Agencies increase their capacity to achieve results.

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems (family stability).

HSD implements CSBG by awarding sole-source contracts to designated CAAs in the State. The contracts contain a detailed Scope of Work that relates to appropriate

ROMA/National Performance Indicators. The Scopes of Work describes the agency's program service(s), program objectives, the outcome measurements from ROMA/National Performance Indicators, type of unit, and the number expected to achieve the outcome. CAAs are required to track and report ROMA/National Performance Indicators outcome measurements. This information is compiled and submitted in their year-end report.

In order to accommodate the reporting requirements under the American Recovery and Reinvestment Act (ARRA), the National Association for State Community Services Programs' (NASCSPP) has updated the CSBG/Information Survey forms for 2009. In addition to the updates, several additions and changes have been made to the National Performance Indicators of the report. The State CSBG office has released the new information to all CAAs and is currently planning a statewide training session. In addition, new coding for the Client-Track data collection system has been created. This new coding was necessary since there are significant language changes to several of the National Performance Indicator and new additions. The new codes and instructions have been sent to all CAAs. The CAAs are required to update the Client Track data collection system with the new and revised codes for the National Performance Indicators. The State CSBG office has requested immediate implantation of the new and revised National Performance Indicators.

Based on the Scope of Work that relates to ROMA/National Performance Indicators the following are an example of measurements to be tracked and reported by CAAs:

Goal 1: Low-income people become more self-sufficient:

NI 1.1A: Unemployed and obtained a job.

NI 1.1B: Employed and maintained a job for at least 90 days.

NI 1.1C: Employed and obtained an increased in employment income and/or benefits

NI 1.2 A: Obtained skills/competencies required for employment.

NI 1.2 B: Completed ABE/GED and received certificate or diploma.

NI 1.2 D: Enrolled children in before or after school programs.

NI 1.2 E: Obtained care for child or other dependent.

NI 1.2 F: Obtained access to reliable transportation and/or driver's license.

NI 1.2 I: Obtained food assistance.

NI 1.2 L: Obtained other non-emergency assistance:

NI 1.3 (A1): Number and percent of participants in tax preparation programs who qualified any type of Federal or State tax credit and the expected aggregated dollar amount of credits.

NI 1.3 (A3): Number and percentage enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings.

NI 1.3 (B1): Number and percent demonstrating ability to complete and maintain a budget for over 90 days.

NI 1.3 (B2): Number and percent opening an Individual Development Account (IDA) or other savings account.

NI 1.3 (B3): Number and percent of participants who increased their saving through IDA or other savings accounts and the aggregated amount of savings.

Goal 2: The conditions in which low-income people lives are improved:

NI 2.1 A: Jobs created or saved from reduction or elimination in the community.

NI 2.1 C: Safe and affordable housing units created in the community.

NI 2.1 D: Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy.

NI 2.2—Community quality of life and assets (E): Increase or preservation of neighborhood quality-of-life resources.

NI 2.3—Community engagement: (B) Number of volunteer hours donated to the agency.

NI 2.4—Employment growth from ARRA (A) Jobs created at least in part by ARRA funds.

Goal 3: Low-income people own a stake in their community:

NI 3.1: Total number of volunteer hours donated by low-income individuals to Community Action.

NI 3.2 A: Number of low-income people participating in formal community organizations, government, board or councils that provide input to decision making and policy setting through community action.

NI 3.2 B: Number of low-income people acquiring businesses in their community as a result of community action assistance.

NI 3.2 D: Number of low-income people engaged in non-governance community activities or groups created or supported by community action.

Goal 4: Partnerships among supports and providers of services to low-income people are achieved:

NI 4.1: The number of organizations, both public and private, community action actively works with to expand resources and opportunities in order to achieve family and community outcomes.

Goal 5: Agencies increase their capacity to achieve results:

NI 5.1: The number of human capital resources available to Community Action that increase agency capacity to achieve family and community outcomes.

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems (family stability):

NI 6.1—Independent Living: The number of vulnerable individuals receiving services from community action that maintain an independent living situation as a result of those services: (A) Senior citizens and (B) Individuals with disabilities.

NI 6.2—Emergency Assistance: The number of low-income individuals or families served by community action that sought emergency assistance and the percentage of those households for which assistance was provided, including such services as:

(A) Emergency Food

(B) Emergency fuel or utility payments funded by LIHEAP or other public and

- private funding sources.
- (C) Emergency Rent or Mortgage Assistance
- (D) Emergency Car or Home Repair
- (F) Emergency Medical Care,

NI 6.3—Child and Family Development: The number and percentage of all infants, children, youth, parents, and other adults participating in development or enrichment programs that achieve program goals.

NI 6.3—Family Supports: Low-income people who are unable to work, especially seniors, adults with disabilities, and caregivers, for whom barriers to family stability are reduced or eliminated:

- (A) Enrolled children in before or after school programs
- (B) Obtained care for child or other dependant.
- (F) Obtained food assistance
- (I) Obtained other non-emergency energy assistance.

NI 6.4—Service Counts: The number of services provided to low-income individuals and/or families:

- (A) Food Boxes
- (B) Pounds of Food
- (C) Units of Clothing
- (E) Information and Referrals Calls

These efforts in New Mexico ensure participation in ROMA and compliance to Section 678E(b) of the Act. [‘676(b)(12)]

- (2) Annual Report: Section 678E(a)(2) of the Act requires each State to prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities. In order to address with Congressional reporting requirements under Section 678E of the Act, this report must include at a minimum information that is pertinent and comprehensive, and which describes in detail CSBG activities and services as well as addresses outcomes which measure how CSBG funds were used to promote self-sufficiency, family stability, and community revitalization.**

Use the following outline to report on CSBG services and activities and outcome measurements for the prior fiscal year 2006:

(a) Performance Objectives:

In the 2008 NASCSP CSBG/IS federal report New Mexico successfully reported data on the ROMA/National Performance Indicators. (See Attachment in Section VI. Appendices, B.5.)

(b) Program Accomplishments and Activities:

In the 2008 NASCSP CSBG/IS federal report New Mexico reported the following program accomplishments and activities:

- In 2008 the Human Services Department (HSD) implemented a Low-Income Home Energy Assistance Program (LIHEAP) Bulk Fuel Project. HSD identified that 16% of LIHEAP participants heat their home with bulk fuel such as propane and wood/pellets. There was concern that in a rural State, bulk fuel participants under-utilize the LIHEAP program. In 2007 according to a poll of LIHEAP bulk fuel providers, the average propane tank fills with 200 gallons of fuel at over \$2 per gallon. Most bulk fuel providers require a minimum purchase prior to the delivery of fuel. The average LIHEAP payment of \$127 is often not enough for a delivery of fuel. In addition, bulk fuel customers are not protected by the winter heating disconnect moratorium

HSD held conference calls with the Community Action Agencies (CAAs) in the State outlining the LIHEAP Bulk Fuel initiative. All CAAs were engaged in the conversation but HELP New Mexico offered to coordinate the program statewide. As a result HSD entered into a Professional Services Contract (PSC) with HELP New Mexico to carry out the LIHEAP Bulk Fuel Project. The PSC allows the contractor to subcontract only with eligible entities. HSD has identified CAAs as eligible entities as per the LIHEAP and CSBG federal regulations. All CAAs in the State were given an opportunity to subcontract with HELP New Mexico. Eastern Plains Community Action Agency, Mid-West NM Community Action Program and Southeast NM Community Action Corporation partnered and subcontracted with HELP New Mexico to help carry out the purpose of the initiative.

The purpose of the project was to increase bulk fuel LIHEAP participation statewide. The performance target was 9,000 new bulk fuel LIHEAP households participating in LIHEAP for a total of 18,000 bulk fuel households including those served by Tribal/Pueblos that administer their own LIHEAP program and that choose to participate in this bulk fuel project. Clients enrolled in the LIHEAP Bulk Fuel Project received a supplemental payment of \$300 in addition to their regular LIHEAP benefit.

The LIHEAP Bulk Fuel Project successfully provided \$5,400,000, 18,000 units of supplements payments to 11,954 low-income families. Those families identified as most vulnerable by HSD, i.e., elderly, families with small children, the disabled received an additional payment.

In addition, HELP New Mexico and its subcontractor provided the following services for this initiative: 35,362 families received information and training regarding energy efficiency and conservation; 28,948 families were referred to the weatherization program; 1,581 families were assisted with completing the LIHEAP application for non-bulk fuel assistance; discount rates were negotiated

with the NM Propane Gas Association and other bulk fuel vendors; NM Propane Gas Association a earmarked \$10,000 to insert marketing flyers of the bulk fuel initiative in all billing statements of propane users in the state; State LIHEAP reported an increase in vendor participation with the LIHEAP program.

The partnership with the CAAs enabled HSD to successfully implement the LIHEAP Bulk Fuel Project. CSBG State staff assisted with the coordination and implementation of the initiative. Participating CAAs utilized their CSBG staff to assist with outreach, enrollment and vendor participation.

- The New Mexico CSBG State office provided the following training and technical assistance to the community action agencies (CAAs) in FFY 2008:
 - (i) December 4-5, 2007 the CSBG State office held a statewide training session on the Client Track data collection system. The training included an overview of the data collection system which entailed the following: client intake, services rendered, registered outcomes/National Performance Indicators (NPI), case management component, scales, reporting and troubleshooting. Approximately 32 participants were in attendance representing the following CAAs: Eastern Plains Community Action Agency, HELP New Mexico, Mid-West NM Community Action Program, Open Hands, and Southeast NM Community Action Corporation.
 - (ii) January 25, 2008 the CSBG Program Manager provided CSBG training to Eastern Plains Community Action Agency's governing Board of Directors. The training included the tripartite board requirements (COATES Act and NM State Statute—Community Action Act), Board roles and responsibilities, monitoring, and program outcomes.
 - (iii) April 21, 2008 and April 22, 2008 the State office conducted CSBG/Information System NASCSP federal reporting training and Results Oriented Management Accountability (ROMA)/NPI training for HELP New Mexico, Work Force Development Division staff.
 - (iv) July 23, 2008, Open Hands' Financial Director, Grant Developer, CSBG Administrator, and Planner received training and technical assistance in regards to the CSBG program requirements. The training consisted of program and contractual requirements, i.e., expenditure and program reports, single agency audit report, Results Oriented Management Accountability (ROMA)/National Performance Indicators (NPI), and the tripartite governing board requirements. Our office provide information on the COATES Act, NM State Statute—Community Action Act, OMB Circulars, cost allocation plan, and NM CSBG Policy and Procedures Manual. In addition, we updated the Client Track data collection system

with the correct federal poverty income guideline and provided the agency with the website and password to update its system to the most recent version.

- (v) July 26, 2008 the CSBG Program Manager provided technical assistance to Mid-West NM Community Action Program's Board of Directors Bylaws committee with the revision of its Bylaws.
- The CSBG State office provided CSBG discretionary funds for training and technical assistance for the following CAAs:
 - (i) Eastern Plains Community Action Agency received funding for training and technical assistance for its governing Board of Directors, Head Start Policy Council, and staff members to ensure compliance with the new regulations under the Improving Head Start for School Readiness Act and the CSBG program. Feldsman, Tucker, Leifer, Fidell, LLP provided training for the governing Board and Head Start Policy Council. In addition, the Executive Director attended the CAPLAW national training conference; and the agency upgraded its Client Track data collection system to the web-based internet version.
 - (ii) Empowering Our Communities in New Mexico: Meliora Partners, Inc. conducted evaluation/assessment of Empowering Our Communities in New Mexico. The agency has been identified and reported as an agency in crisis. During Meliora Partners, Inc visit they provided technical assistance to the agency regarding governance, financial management, human resource, and administration. Currently on going training and technical assistance is being provided and the State CSBG office has authorized the use of discretionary funds for a financial consultant, business consultant, a board trainer, and peer to peer board mentoring.
 - (iii) HELP New Mexico received funding to for training and technical assistance ensure compliance with the new regulations under the Improving Head Start for School Readiness Act. Funding was authorized to assist the agency with the new governing Board requirements, Policy Council, fiscal management, human resources, eligibility and enrollment and other program changes impacted by the new federal regulation. In addition, key staff members and Board members attended the following national training conferences: CAPLAW, WIPFLI Grant Funded Management Program; National Council of La Raza (NCLR), and Community Action Partnership.
 - (iv) Mid-West NM Community Action Program received funding to assist the agency with compliance with the Improving Head Start for School Readiness Act. Key staff members attended the CAPLAW training conference and WIPFLI Grant Funded Management Program training. The purpose of the training was to obtain training and information to assist the

agency with the new federal regulation changes impacting the Head Start program. In addition, the agency upgraded its Client Track data collection system to the web-based internet version as a corrective action measure to address its reporting requirements for the CSBG program.

- (v) Southeast NM Community Action Corporation received funding to support a combined training session for its governing Board of Directors, Head Start Policy Council, and staff members to ensure compliance with the new regulations under the Improving Head Start for School Readiness Act. Feldsman, Tucker, Leifer, Fidell, LLP provided training which entailed the new regulation changes mandated in the Head Start Act. In addition, key staff members attended the CAPLAW national training conference and WIPFLI Grant Funded Management Program training.

(c) Comparison of Planned and Actual Expenditures for Prior Fiscal Year:

(1) Planned Distribution of Funds to Eligible Entities vs. Actual Expenditures FY 2008:

	Planned:	Actual:
Eligible Entities (CAAs):	\$3,232,670	\$3,232,670

NOTE: No funds were recaptured and redistributed.

(2) Planned Distribution of Funds for Discretionary Purposes vs. Actual Expenditures in FY 2008:

	Planned:	Actual:
Discretionary Projects:	\$178,658	\$140,937

(3) Planned Use of Funds for State Administration vs. Actual Expenditures in FY 2008:

	Planned:	Actual:
State Administrative Costs	\$178,658	\$185,184

NOTE: Total Funds planned vs. actual expenditures for FY 2008:

	Planned:	Actual:
Total:	\$3,589,986	\$3,558,791

(d) Profile of Participants Served (Number of characteristics of clients served) FY 2008:

Number of Agencies Reporting:

Total unduplicated # of persons whom one or more characteristics were obtained:

Total unduplicated # of persons whom no characteristics were obtained:

Total unduplicated # of families whom one or more characteristics were obtained:

Total unduplicated # of families whom no characteristics were obtained:

	8
	33,751
	119,909
	19,797
	76,394

Gender:	# of Persons:
Male:	14,085
Female:	19,132
TOTAL:	33,217

Age:	# of Persons:
0-5	8,620
6-11	5,835
12-17	2,699
18-23	1,960
24-44	5,474
45-54	3,615
55-69	3,246
70+	2,302
TOTAL:	33,751

Ethnicity and Race	
Ethnicity:	# of Persons:
Hispanic or Latino:	19,055
Not Hispanic of Latino:	9,706
TOTAL:	28,761
Race:	# of Persons:
White:	19,762
Black African American:	536
American Indian and Alaska Native:	3,441
Asian:	22
Native Hawaiian and Other Pacific:	35
Other:	4,474
Multi-race (any 2 or more of the above):	491
TOTAL:	28,761

Education Level of Adult:	# of Persons 24 and Older:
0-8:	1,444
9-12/non graduates:	3,938
high school grad/GED:	4,812
12+some post second:	1,164
2 or 4 yr college grad:	514
TOTAL:	11,872

Other Characteristics:	# of Persons
	# person # surveyed
No health insurance:	8,014 18,421
Disabled:	6,297 19,676

Family Type:	# of Families
Single parent/female	2,400
Single parent/male	391
2-parent household	2,136
Single person	6,091
2 adults/no children	2,136
Other:	454
TOTAL:	13,608

Family Size:	# of Families:
One	6,089
Two	2,011
Three	1,285
Four	969
Five	536
Six	233
Seven or more	129
Total:	11,252

Source of Family Income:	# of Families:
Unduplicated # of Families Reporting 1 or More Sources of Income:	12,326
No Income:	1,097
TOTAL:	13,423
TANF	667
SSI	2,172
Social Security	3,454
Pension	402
General Assistance	238
Unemployment Insurance	216
Employment + Other Sources	910
Employment Only	3,572
Other	1,253

Level of Family Income (% of HHS Guideline)	# of Families:
Up to 50%	3,527
51% to 75%	2,187
76% to 100%	2,534
101% to 125%	1,073
126% to 150%	402
151% and over	489
TOTAL:	10,212

Housing:	# of Families:
Own	4,965
Rent	5,147
Homeless	212
Other	1,287
TOTAL:	11,611

(e) Statistical Report on CSBG Program Services:

Service Category	# of Agencies Reporting	CSBG Funds
Education	6	\$226,337
Emergency Services	7	\$889,875
Health	6	\$232,618
Housing	6	\$334,815
Income Management	8	\$413,516
Linkages	8	\$354,279
Nutrition	6	\$621,741
Employment	5	\$176,739
Self-sufficiency	4	\$123,687
Other	0	0

(f) Training and Technical Assistance Provided by the State 2008:

The New Mexico CSBG State office provided the following training and technical assistance to the community action agencies (CAAs) in FFY 2008:

- December 4-5, 2007 the CSBG State office held a statewide training session on the Client Track data collection system. The training included an overview of the data collection system which entailed the following: client intake, services rendered, registered outcomes/National Performance Indicators (NPI), case management component, scales, reporting and troubleshooting. Approximately 32 participants were in attendance representing the following CAAs: Eastern Plains Community Action Agency, HELP New Mexico, Mid-West NM Community Action Program, Open Hands, and Southeast NM Community Action Corporation.
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- April 21, 2008 and April 22, 2008 the State office conducted CSBG/Information System NASCSP federal reporting training and Results Oriented Management Accountability (ROMA)/NPI training for HELP New Mexico, Work Force Development Division staff.
- July 23, 2008, Open Hands’ Financial Director, Grant Developer, CSBG Administrator, and Planner received training and technical assistance in regards to the CSBG program requirements. The training consisted of program and contractual requirements, i.e., expenditure and program reports, single agency audit report, Results Oriented Management Accountability (ROMA)/National Performance Indicators (NPI), and the tripartite governing board requirements. Our office provide information on the COATES Act, NM State Statute—Community Action Act, OMB Circulars, cost allocation plan, and NM CSBG Policy and Procedures Manual. In addition, we updated the Client Track data collection system with the correct federal poverty income guideline and provided the agency with the website and password to update its system to the most recent version.

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The CSBG State office provided CSBG discretionary funds for training and technical assistance for the following CAAs:

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- Empowering Our Communities in New Mexico: Meliora Partners, Inc. conducted evaluation/assessment of Empowering Our Communities in New Mexico. The agency has been identified and reported as an agency in crisis. During Meliora Partners, Inc visit they provided technical assistance to the agency regarding governance, financial management, human resource, and administration. Currently on going training and technical assistance is being provided and the State CSBG office has authorized the use of discretionary funds for a financial consultant, business consultant, a board trainer, and peer to peer board mentoring.
- HELP New Mexico received funding to for training and technical assistance ensure compliance with the new regulations under the Improving Head Start for School Readiness Act. Funding was authorized to assist the agency with the new governing Board requirements, Policy Council, fiscal management, human resources, eligibility and enrollment and other program changes impacted by the new federal regulation. In addition, key staff members and Board members attended the following national training conferences: CAPLAW, WIPFLI Grant Funded Management Program; National Council of La Raza (NCLR), and Community Action Partnership.
- Mid-West NM Community Action Program received funding to assist the agency with compliance with the Improving Head Start for School Readiness Act. Key staff members attended the CAPLAW training conference and WIPFLI Grant Funded Management Program training. The purpose of the training was to obtain training and information to assist the agency with the new federal regulation changes impacting the Head Start program. In addition, the agency upgraded its Client Track data collection system to the web-based internet version as a corrective action measure to address its reporting requirements for the CSBG program.
- Southeast NM Community Action Corporation received funding to support a combined training session for its governing Board of Directors, Head Start Policy Council, and staff members to ensure compliance with the new regulations under the Improving Head Start for School Readiness Act. Feldsman, Tucker, Leifer, Fidell, LLP provided training which entailed the new regulation changes mandated in the Head Start Act. In addition, key staff members attended the CAPLAW national training conference and WIPFLI Grant Funded Management Program training.

VI. Appendices

A. Documentation of Legislative and Public Hearings

(Include copies of public notices, letters, newspaper articles, etc.)

1. Notice of Legislative Hearing
2. Notice of Public Hearing

B. Additional Data or Information (as needed)

1. Letter of Transmittal
2. State Statute
3. Letter of Designation
4. CSBG Policy and Procedures Manual
5. Part II: Outcomes of Efforts, FY 2008—National Performance Indicators

Section VI. Appendix, A

Notice of Legislative Hearing and Public Hearing



New Mexico Human Services Department

Bill Richardson, Governor
Kathryn Falls, Secretary-Designate

Office of the Secretary
PO Box 2348
Santa Fe, NM 87504-2348
Phone: (505) 827-7750; Fax: (505) 827-6286

December 15, 2009

House Representative Danice Picraux, Committee Chair
Senator Dede Feldman, Committee Chair
Legislative Health and Human Services Committee
Legislative Council Services
411 State Capital
Santa Fe, New Mexico 87501

RE: Community Services Block Grant

Dear Committee Chairs:

This letter requests Legislative input for the New Mexico Community Services Block Grant (CSBG) 2010 and 2011 State Plan. In order to be eligible to continue to receive CSBG federal funding, the New Mexico Human Services Department (HSD) is required to request Legislative input for the CSBG State Plan every three years. Usually this is accomplished by presenting the Plan at a Legislative hearing; however, the committee agenda was full so HSD is providing the attached overview of the CSBG program along with the new State Plan for the committee's review and input. HSD staff last presented the Plan to the New Mexico Legislative Health and Human Services Committee in 2006.

Please provide your comments by January 19, 2010 to the following address:

NM Human Services Department
Income Support Division
Work and Family Support Bureau
PO Box 12740
Albuquerque, NM 87195-2740

Should you have questions regarding the attached materials including the CSBG State Plan, please contact Cathy Sisneros, Bureau Chief at 505-476-9211 or email Cathy.Sisneros@state.nm.us.

We thank you for time and support.

Sincerely,


Kathryn Falls
Secretary-Designate

Cc: Helen Nelson, ISD Acting Director

Encl: CSBG Power Point Presentation
CSBG State Plan 2010-2011

Access • Quality • Accountability



COMMUNITY SERVICES BLOCK GRANT (CSBG)

Presentation to the Legislative
Health and Human Services
Committee December 18, 2009



What is CSBG?

- A Block Grant from US Health and Human Services Department
- Provides a flexible funding source to local communities through a network of community action agencies for the reduction of poverty
- Regulated by the federal Community Opportunities Accountability Training and Education Services Act (COATES)



Designation

- New Mexico's Community Action Act, designates Human Services Department (HSD) responsible for CSBG
- HSD aligns CSBG with the Work and Family Support Bureau in the Income Support Division (ISD) - Also responsible for TANF

3



Federal Requirement

- For continued funding – Legislative Input on State Plan is required every three years.

4



CSBG Federal Funding

CSBG REGULAR FUNDING

- 2009--\$3,963,326
- 2008--\$3,703,671
- 2007--\$3,573,164

CSBG ARRA FUNDING

- 2009-2010--\$5,695,092

5



Required Allocation of Funds

CSBG REGULAR FUNDING

- 90% Eligible Entities
- 5% HSD administrative expenses
- 5% Discretionary

6



Required Allocation of Funds

CSBG ARRA FUNDING

- 99% Eligible Entities
- 1% Benefits enrollment and coordination of activities

7

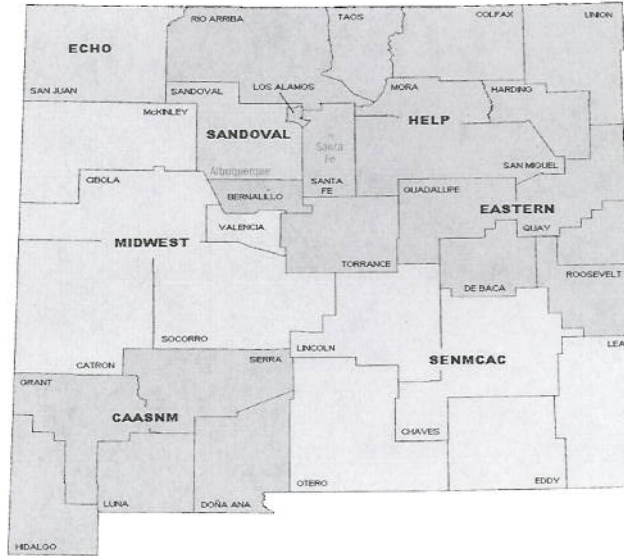


NM CSBG Eligible Entities

- 6 Community Action Agencies (CAAs) designated by the Governor or designated under the provision of the federal Economic Opportunity Act of 1964 on September 30, 1981:
 1. Community Action Agency of Southern NM
 2. Eastern Plains Community Action Agency
 3. Economic Council Helping Others, Inc.
 4. HELP New Mexico
 5. Mid-West NM Community Action Program
 6. Southeast NM Community Action Corp.
- A professional services contract for Sandoval County is awaiting approval from the Department of Finance.
- Only two agencies now make up the Community Action NM Association

8

Geographic Areas Served



9

Fund Distribution to CAAs

CSBG REGULAR FUNDING

- A base allocation of \$50,000 to each CAA
- \$79,515 to HELP-NM for state-wide seasonal and migrant farm workers services

Note: HELP-NM is the only migrant farm worker agency in New Mexico

- Remainder apportioned by county poverty census data to CAAs

10



Fund Distribution to CAAs

CSBG ARRA FUNDING

- A base allocation of \$100,000 to each CAA
- Remainder apportioned by county poverty census data to CAAs

11



NM Service Initiatives

- Employment
 - OJT, work experience, job placement, counseling, self employment, business development, etc.
- Education
 - Head Start, Pre-K, before and after school programs, vocational training, post secondary, GED, pre-employment certification training, literacy, school supplies, etc.

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NM Service Initiatives Cont.

- Emergency Services
 - Emergency rental and mortgage assistance, utility assistance, emergency medical assistance, food vouchers and/or boxes, emergency information and referral, etc.
- Nutrition
 - Food Banks, food pantries, food boxes, children and senior meals, summer food program, child back-pack program, and delivery of food to home bound seniors and disabled individuals

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NM Service Initiatives Cont.

- Income Management
 - Free tax preparation services (EITC), Individual Development Account (IDA), financial counseling and financial literacy classes
- Housing
 - Rehabilitation and weatherization, construction of new homes, USDA Rural Development mortgages, Homebuyers Education classes and counseling, etc.

14



NM Service Initiatives Cont.

- Health Initiatives
 - Prescription assistance, Adult Day Services, Covering Kids program, and Head Start—children immunization, medical and dental check-ups information and referral

15



NM Service Initiatives Cont.

- Build Partnerships
 - To expand resources and opportunities for low-income individuals and families
- Promote Self-Sufficiency
 - Case management services, financial counseling and budgeting, childcare services, employment and training services, parenting classes, etc.

16



Some FFY 2008 NM Outcomes

- HSD Annual Federal Report
- CAAs leveraged \$54,258,208 of federal, state, local and private funding using CSBG funding
- CAAs served
 - 119,909 individuals
 - 76,394 families
- Outcomes (not all inclusive)
 - 5 CAAs reported
 - 12,429 tax preparation assistance program participants
 - \$4,518,516 in federal and state tax credits realized
 - 8 CAAs reported
 - 465,223 emergency food boxes distributed
 - 7 CAAs reported
 - 6,939 households receiving fuel/energy bills and rent/mortgage assistance
 - 6 CAAs reported
 - 2,949 children enrolled in pre-school activities to develop school readiness skills

17



HSD Fiscal Controls and Monitoring

- HSD full on-site reviews at least every two (2) years
 - Administrative Review
 - Board of Directors Compliance
 - Program Review
 - Fiscal Review

18



September 2010-2011 State Plan Input

Comments Due by: January 19, 2010

To: Cathy Sisneros, Bureau Chief

Phone: 505-476-9211

or

Yvonne Rodriguez-Ulanowicz, Program Manager

1-888-523-0051 or 505-383-2492

Email: Cathy.Sisneros@state.nm.us

Yvonne.Rodriguez-Ulanowicz@state.nm.us

Mail: PO Box 12740

Albuquerque, NM 87195-2740

Notice of Public Hearing



**Human Services Department
Income Support Division
Work and Family
Support Bureau**

In accordance with the Federal Community Opportunities Accountability Training and Education Services (COATES) Reauthorization Act of 1996, the State of New Mexico Human Services Department will hold a public hearing on Monday, September 21, 2009 at 11:00 A.M. at the New Mexico Human Services Department Law Library, Pollon Plaza, 2009 S. Pacheco, Santa Fe, New Mexico. The purpose of the hearing is to allow public input on the State Community Services Block Grant (CSBG) State Plan.

In accordance with the Federal COATES Reauthorization Act of 1996, the State of New Mexico will submit a State Plan to the federal government Department of Health and Human Services, Office of Community Services in order for the State to receive a grant or allotment for the CSBG program.

The Department proposes to implement the plan effective October 1, 2009.

Individuals wishing to testify or requesting a copy of the proposed plan should contact the Income Support Division, Work and Family Support Bureau, PO Box 42740, Albuquerque, New Mexico 87195, or by calling 1-888-523-0051.

Individuals not wishing to attend the hearing may send written or recorded comments. Written or recorded comments must be received by 5:00 P.M. on the date of the hearing.

If you are an individual with a disability and you require the information in an alternative format or require a special accommodation to participate in any HSD public hearing program or service, please contact the Department toll free at 1-888-523-0051, or through the New Mexico relay system, toll free 1-800-659-8331. The Department requests at least a 10 day advance notice to provide requested alternative formats and special accommodations.

Journal: August 24, 25, 26, 2009

Clipped Legal Notices

Human Services Department Income Support Division Work and Family Support Bureau In accordance with the Federal Community Opportunities Accountability Training and Education Services (COATES) Reauthorization Act of 1996, the State of New Mexico Human Services Department will hold a public hearing on Monday, September 21, 2009 at 11:00 A.M. at the New Mexico Human Services Department Law Library, Pollon Plaza, 2009 S. Pacheco, Santa Fe, New Mexico. The purpose of the hearing is to allow public input on the State Community Services Block Grant (CSBG) State Plan. In accordance with the Federal COATES Reauthorization Act of 1996, the State of New Mexico will submit a State Plan to the federal government Department of Health and Human Services, Office of Community Services in order for the State to receive a grant or allotment for the CSBG program. The Department proposes to implement the plan effective October 1, 2009. Individuals wishing to testify or requesting a copy of the proposed plan should contact the Income Support Division, Work and Family Support Bureau, PO Box 12740, Albuquerque, New Mexico 87195, or by calling 1-888-523-0051. Individuals not wishing to attend the hearing may send written or recorded comments. Written or recorded comments must be received by 5:00 P.M. on the date of the hearing. If you are an individual with a disability and you require the information in an alternative format or require a special accommodation to participate in any HSD public hearing program or service, please contact the Department toll free at 1-888-523-0051, or through the New Mexico relay system, toll free 1-800-659-8331. The Department requests at least a 10 day advance notice to provide requested alternative formats and special accommodations. Journal: August 24, 25, 26, 2009

Published on August 26, 2009

Section VI. Appendix B-1

Letter of Transmittal



New Mexico Human Services Department

Bill Richardson, Governor
Kathryn Falls, Secretary

Income Support Division
Office of the Director
PO Box 2348
Santa Fe, NM 87504-2348
Phone: (505) 827-7750; Fax: (505) 827-7203

May 27, 2010

Yolanda J. Butler, Ph.D., Acting Director
Office of Community Services
US Department of Health and Human Services
Administration for Children and Families
370 L'Enfant Promenade, S.W., 5th Floor West
Washington, D.C. 20447

Dear Ms. Butler:

Enclosed is the Community Services Block Grant (CSBG) Amended Plan for the State of New Mexico for FFY 2010-2011.

The State CSBG Official to receive the CSBG Grant of Award is:

Helen Nelson, Acting Director
New Mexico Human Services Department
Income Support Division
PO Box 2348
Santa Fe, New Mexico 87505
Telephone: (505) 827-1300 Fax: (505) 827-7203

The State CSBG Program Contact Person:

Nicole Taylor, Acting Bureau Chief
NM Human Services Department/Income Support Division
Work and Family Support Bureau
PO Box 2348
Santa Fe, New Mexico 87505
Telephone: (505) 476-9211 Fax: (505) 827-7259

Yvonne Rodriguez-Ulanowicz, Program Manager
NM Human Services Department/Income Support Division
Work and Family Support Bureau
PO Box 12740
Albuquerque, New Mexico 87195-2740
Telephone: (505) 383-2492 Fax: (505) 383-2551

Should you have questions, comments, or concerns regarding New Mexico CSBG State Plan, please call Nicole Taylor at (505) 827-7227 or Yvonne Rodriguez-Ulanowicz, Staff Manager at (505) 383-2492.

Sincerely,

Helen Nelson
Acting Director

Section VI. Appendix B-2

State Statute

ARTICLE 8 COMMUNITY ACTION

Section

- 27-8-1. Short title.
- 27-8-2. Policy; purpose.
- 27-8-3. Definitions.
- 27-8-4. Financial assistance for community action agencies.
- 27-8-5. Community action agencies; designation; powers.
- 27-8-6. Community action agencies; board; local participation.
- 27-8-7. Community action programs.
- 27-8-8. Regulations.
- 27-8-9. Financial assistance; limitations.

27-8-1. Short title.

This act [27-8-1 to 27-8-9 NMSA 1978] may be cited as the "Community Action Act".
History: Laws 1983, ch. 139, § 1.

Legislator contracting with agency must ascertain how agency organized. - A legislator contracting with a community action agency will have to ascertain how the agency is organized to determine whether the prohibitions of N.M. Const., art. IV, § 28 will apply. If it is a county, county agency or a private agency, the contract will not be covered by the provision, but if it is a municipality or municipal agency, the contract will be prohibited if it was authorized by law during the legislator's term. 1989 Op. Att'y Gen. No. 89-34.

27-8-2. Policy; purpose.

Although in recent years New Mexico has shown improvement in indices such as personal income and the number of families below the poverty level, the state continues to compare poorly with other states. New Mexico has risen from 48th in 1974 to 41st in per capita personal income; however, poverty continues to be the lot of a substantial number of New Mexicans. New Mexico can achieve its full economic and social potential only if every individual has the opportunity to contribute to the full extent of his capabilities and to participate in the working of our society. It is, therefore, the policy of this state to eliminate the paradox of poverty in the midst of plenty in this state by opening to everyone the opportunity to live in decency and dignity. It is the purpose of the Community Action Act [27-8-1 to 27-8-9 NMSA 1978] to strengthen, supplement and coordinate efforts in furtherance of that policy.

History: Laws 1983, ch. 139, § 2.

27-8-3. Definitions.

As used in the Community Action Act [27-8-1 to 27-8-9 NMSA 1978]:

A. "poverty level" means the official poverty level established by the federal director of the office of management and budget and revised periodically by the federal secretary of health and human services; and

B. "secretary" means the secretary of human services.

History: Laws 1983, ch. 139, § 3.

27-8-4. Financial assistance for community action agencies.

A. The secretary may provide financial assistance to community action agencies for the planning, conduct, administration and evaluation of community action programs as described in the Community Action Act [27-8-1 to 27-8-9 NMSA 1978] in accordance with state and federal law and regulations.

B. No funds provided pursuant to Subsection A of this section shall be distributed to a community action agency unless the agency has submitted to the secretary a plan on the proposed use of the funds and the secretary has approved that plan.

C. Subject to applicable federal law or regulation, community action agencies shall be eligible to receive federal funds, including but not limited to community services block grant funds, which have been previously designated as antipoverty funds.

D. Each community action agency receiving funds pursuant to this section shall report annually to the secretary concerning the use of the funds.

E. The secretary shall provide annually for an audit of funds distributed pursuant to this section to community action agencies and shall make any requirements necessary to insure fiscal responsibility and accountability and effective, efficient handling of funds.

History: Laws 1983, ch. 139, § 4.

27-8-5. Community action agencies; designation; powers.

A. A community action agency is a political subdivision of the state, a combination of political subdivisions or a public or private nonprofit agency that:

(1) has the power and authority to enter into contracts with public and private nonprofit agencies and organizations in fulfilling the purposes of the Community Action Act [27-8-1 to 27-8-9 NMSA 1978];

(2) is capable of planning, conducting, administering and evaluating a community action program;

(3) has a service area at least equivalent to the geographic boundaries of a county; and

(4) is designated a community action agency by the governor or by federal law or was officially designated a community action agency, community action program or limited purpose agency under the provisions of the federal Economic Opportunity Act of 1964 on September 30, 1981.

B. The governor is empowered to declare that an entity designated as a community action agency under Subsection A of this section is no longer a community action agency upon a determination that such entity is unable or unwilling to carry out its responsibilities under the Community Action Act.

C. A community action agency is empowered to:

(1) receive, administer and transfer funds in support of a community action program under the Community Action Act; and

(2) delegate powers to other agencies and programs subject to the powers of its governing board and its overall program responsibilities.

History: Laws 1983, ch. 139, § 5.

Economic Opportunity Act. - The federal Economic Opportunity Act of 1964, referred to in Subsection A(4), appears as 42 U.S.C.S. § 2704 et seq.

27-8-6. Community action agencies; board; local participation.

A. Each community action agency shall administer its community action program through a community action board consisting of fifteen members. Board members shall be selected as follows:

(1) one-third of the members of the board shall be elected public officials currently holding office in the geographical area to be served by the community action agency or their representatives, except that if the number of elected officials reasonably available and willing to serve is less than one-third of the membership of the board, membership on the board of appointive officials may be counted in meeting this one-third requirement;

(2) at least one-third of the members shall be persons chosen in accordance with democratic selection procedures adequate to assure that they are representative of the poor in the area served; and

(3) the other members shall be officials or members of business, industry, labor, religious, welfare, education or other major groups and interests in the community.

B. Each member of the board selected to represent a specific geographic area within a community shall reside in the area represented.

C. No person selected under Paragraph (2) or (3) of Subsection A of this section shall serve for more than five consecutive years or more than a total of ten years.

History: Laws 1983, ch. 139, § 6.

27-8-7. Community action programs.

Each community action agency shall use available funds for a community action program which:

A. provides a range of services and activities which have a measurable and potentially major impact on causes of poverty in the community;

B. provides activities designed to assist low-income participants, including the elderly poor, to:

(1) secure and retain meaningful employment;

(2) attain an adequate education;

(3) make better use of available income;

(4) provide and maintain adequate housing and a suitable living environment;

(5) obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including the need for health services, nutritious food, housing and employment-related assistance;

(6) remove obstacles and solve problems which block the achievement of self-sufficiency;

(7) achieve greater participation in the affairs of the community; and

(8) make more effective use of other programs related to the purposes of the Community Action Act [27-8-1 to 27-8-9 NMSA 1978];

C. provides on an emergency basis for the provision of such supplies and services, nutritious food and related services as may be necessary to counteract conditions of starvation and malnutrition among the poor;

D. coordinates and establishes linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals;

E. encourages the use of entities in the private sector of the community in efforts to alleviate poverty in the community; and

F. furthers any other purpose consistent with federal or state law or regulations.
History: Laws 1983, ch. 139, § 7.

27-8-8. Regulations.

The secretary shall adopt such rules and regulations as may be necessary to carry out the provisions of the Community Action Act [27-8-1 to 27-8-9 NMSA 1978].
History: Laws 1983, ch. 139, § 8.

27-8-9. Financial assistance; limitations.

The secretary, consistent with federal law, shall make grants of not less than ninety percent of the annual allocation of funds available under the community services block grant to community action agencies defined in Subsection A of Section 5 [27-8-5 NMSA 1978] of the Community Action Act. The human services department is authorized to implement, by regulation or contract, a limitation on the amount of community services block grant funds allocated to administrative costs.

History: Laws 1983, ch. 139, § 9.

Section VI. Appendix B-3

Letter of Designation



State of New Mexico
Office of the Governor

Bill Richardson
Governor

March 17, 2010

Katie Falls
Cabinet Secretary
NM Human Services Dept.
PO Box 2348
Santa Fe, NM 87504-2348

Dear Secretary Falls:

I hereby delegate to you, as Cabinet Secretary of the Human Services Department, grantee for the Low Income Home Energy Assistance Program (LIHEAP), Community Services Block Grant (CSBG) and the Community Food and Nutrition Program (CFN), the authority to sign the Assurances and Certifications for these programs, as required by the US Department of Health and Human Services. This authority shall be delegated to you for the length of time you are in the position of the Human Services Department Cabinet Secretary.

Sincerely,

A handwritten signature in black ink that reads "Bill Richardson".

Bill Richardson
Governor of New Mexico

BR/fl

Section VI. Appendix B-4

CSBG Policy and Procedures Manual

[http://www.hsd.state.nm.us/pdf/CSBG-Policy-Manual-FY2009-2012\[2\].pdf](http://www.hsd.state.nm.us/pdf/CSBG-Policy-Manual-FY2009-2012[2].pdf)

Section VI. Appendix B-5

**Part II: Outcomes of Efforts, FY 2008
National Performance Indicators**

National Performance Indicators – State-Level Forms

Name of State Reporting: NEW MEXICO

Goal 1: Low-income people become more self-sufficient.

National Performance <u>Indicator 1.1</u> Employment The number and percentage of low-income participants in community action employment initiatives who get a job or become self-employed as measured by <u>one or more</u> of the following:	Eligible Entities Reporting (#)	Number of Participants Enrolled in Program(s) (#)	Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	Number of Participants Achieving Outcome in Reporting Period (#)	Percentage Achieving Outcome in Reporting Period (%)
A. Unemployed and obtained a job	5	682	610	587	96.2%
B. Employed and obtained an increase in employment income	4	412	341	291	85.3%
C. Achieved “living wage” employment and benefits	2	2	2	2	100.0%
<i>In the rows below, please include any additional indicators that were not captured above.</i>					
Additional: Employed with no increase in employment income.	7	2,216	2,275	2,112	92.8%

Goal 1: Low-income people become more self-sufficient.

National Performance Indicator 1.3 Economic Asset Enhancement and Utilization The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of community action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measured by <u>one or more</u> of the following:		Eligible Entities Reporting (#)	Number of Participants Enrolled in Program(s) (#)	Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	Number of Participants Achieving Outcome in Reporting Period (#)	Percentage Achieving Outcome in Reporting Period (%)	Aggregated Dollar Amounts (Payments, Credits or Savings) (\$)
E N H A N C E M E N T	1. Number and percent of participants in tax preparation programs who identify any type of Federal or State tax credit and the aggregated dollar amount of credits	5	12,519	12,172	12,429	102.1%	\$4,518,516
	2. Number and percentage obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments.	1	3	3	2	66.7%	\$3,600
	3. Number and percentage enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings.	6	19,163	23,958	18,570	77.5%	\$6,788,086
<i>In the rows below, please include any additional indicators that were not captured above.</i>							

Goal 2: The conditions in which low-income people live are improved.

National Performance Indicator 2.2 Community Quality of Life and Assets The quality of life and assets in low-income neighborhoods are improved by community action initiative or advocacy, as measured by <u>one or more</u> of the following:	Eligible Entities Reporting (#)	Number of Program Initiatives or Advocacy Efforts (#)	Number of Community Assets, Services, or Facilities Preserved or Increased (#)
A. Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets	1	1	1
B. Increase in the availability or preservation of community facilities	1	1	1
C. Increase in the availability or preservation of community services to improve public health and safety	3	6	6
D. Increase in the availability or preservation of commercial services within low-income neighborhoods			
E. Increase in or preservation of neighborhood quality-of-life resources	5	12	14
<i>In the rows below, please include any additional indicators that were not captured above.</i>			
Additional: Increase in the availability of food nutrition and preparation information.	7	10	275

Goal 3: Low-income people own a stake in their community.

<u>National Performance Indicator 3.1</u> Civic Investment The number of volunteer hours donated to Community Action.	Eligible Entities Reporting (#)	Total Number of Volunteer Hours (#)
Total number of hours volunteered to community action *	8	432,140

In the rows below, please include any additional indicators that were not captured above.

* Please report the number found in Part I: Section F, Subsection IV (g) of the CSBG/IS Survey.

Goal 3: Low-income people own a stake in their community.

<u>National Performance Indicator 3.2</u> Community Empowerment Through Maximum Feasible Participation The number of low-income people mobilized as a direct result of community action initiative to engage in activities that support and promote their own well-being and that of their community as measured by <u>one or more</u> of the following:	Eligible Entities Reporting (#)	Number of Low-Income People (#)
A. Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision-making and policy setting through community action efforts	8	116
B. Number of low-income people acquiring businesses in their community as a result of community action assistance	5	28
C. Number of low-income people purchasing their own homes in their community as a result of community action assistance	4	11
D. Number of low-income people engaged in non-governance community activities or groups created or supported by community action	7	1,053

In the rows below, please include any additional indicators that were not captured above.

Goal 4: Partnerships among supporters and providers of services to low-income people are achieved.

<p><u>National Performance Indicator 4.1</u></p> <p>Expanding Opportunities Through Community-Wide Partnerships</p> <p>The number of organizations, both public and private, community action actively works with to expand resources and opportunities in order to achieve family and community outcomes.</p>	<p>Eligible Entities Reporting</p> <p>(#)</p>	<p>Number of Organizational Partnerships</p> <p>(#)</p>	<p>Number of These Partnerships That Were With Faith-Based Organizations</p> <p>(#)</p>
<p>Number of organizations community action agencies work with to promote family and community outcomes.</p>	<p>8</p>	<p>2,389</p>	<p>197</p>

In the rows below, please include any additional indicators that were not captured above.

Goal 5: Agencies increase their capacity to achieve results.

National Performance Indicator 5.1	Eligible Entities Reporting	Dollars Mobilized	Percentage Of Total
Broadening the Resource Base	(#)	(\$)	(%)
The number of dollars mobilized by community action, including amounts and percentages from:			
A. Community Services Block Grant (CSBG)	8	\$3,373,607	5.9%
B. Non-CSBG Federal Programs	8	\$41,559,539	72.1%
C. State Programs	8	\$3,823,777	6.6%
D. Local Public Funding	6	\$2,311,604	4.0%
E. Private Sources (including foundations and individual contributors, goods and services donated)	8	\$6,563,288	11.4%
TOTAL		\$57,631,815	100.0%

In the rows below, please include any additional indicators that were not captured above.

* Please report using the totals found in Part I: Section F, Subsection I - IV of the CSBG/IS Survey.

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

<u>National Performance Indicator 6.1</u>		Number of Vulnerable Individuals Living Independently (#)
Independent Living The number of vulnerable individuals receiving services from community action that maintain an independent living situation as a result of those services:	Eligible Entities Reporting (#)	
A. Senior Citizens	7	21,087
B. Individuals with Disabilities	8	6,843
<i>In the row below, please include any additional measure that was not captured above.</i>		

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

<u>National Performance Indicator 6.2</u>				
Emergency Assistance The number of low-income individuals or families served by community action that sought emergency assistance and the percentage of those households for which assistance was provided, including such services as:	Eligible Entities Reporting (#)	Unit of Measurement	Number Seeking Assistance (#)	Number Receiving Assistance (#)
A. Food –Indicate <u>your state's</u> unit of measurement, such as bags, packages, cartons, families, individuals, etc.	8	Boxes	465,635	465,223
B. Emergency Vendor Payments, including Fuel and Energy Bills and Rent/Mortgage Payments	7	Households	15,170	6,939
C. Temporary Shelter	4	Households	94	54
D. Emergency Medical Care	6	Households	353	235
E. Protection from Violence	4	Households	39	21
F. Legal Assistance	4	Households	123	98
G. Transportation	5	Households	327	296
H. Disaster Relief		Households		
I. Clothing	5	Households	2,278	2,222
<i>In the rows below, please include any additional indicators that were not captured above (please include the type of unit being reported).</i>				
Additional: Emergency School Supply Program		Households	831	827

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

National Performance Indicator 6.3							
Child and Family Development The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs that achieve program goals, as measured by <u>one or more</u> of the following:			Eligible Entities Reporting	Number of Participants Enrolled in Program(s)	Number of Participants Expected to Achieve Outcome in Reporting Period (Target)	Number of Participants Achieving Outcome in Reporting Period	Percentage Achieving Outcome in Reporting Period
			(#)	(#)	(#)	(#)	(%)
I N F A N T S & C H I L D R E N	1. Infants and children obtain age appropriate immunizations, medical and dental care	1.	6	4,208	4,129	4,171	101.0%
	2. Infant and child health and physical development are improved as a result of adequate nutrition	2.	6	12,573	12,853	12,522	97.4%
	3. Children participate in pre-school activities to develop school readiness skills	3.	6	3,093	2,974	2,949	99.2%
	4. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1 st Grade	4.	6	1,474	1,288	1,267	98.4%
Y O U T H	1. Youth improve physical health and development	1.	4	1,741	1,730	1,649	95.3%
	2. Youth improve social/emotional development	2.	5	518	508	426	83.9%
	3. Youth avoid risk-taking behavior for a defined period of time	3.	4	514	506	422	83.4%
	4. Youth have reduced involvement with criminal justice system	4.	3	446	443	372	84.0%
	5. Youth increase academic, athletic or social skills for school success by participating in before or after school programs	5.	4	450	449	376	83.7%
A D U L T S	1. Parents and other adults learn and exhibit improved parenting skills	1.	7	910	911	804	88.3%
	2. Parents and other adults learn and exhibit improved family functioning skills	2.	6	622	620	598	96.5%

In the rows below, please include any additional indicators that were not captured above.

A D D I T I O N A L	1. Family Maintenance:(specify outcome) Parents and other adults obtain access to reliable " <i>transportation</i> " services in order to obtain and/or maintain educational and/or training related services.					
	2. Family Maintenance:(specify outcome) Parents and other adults obtain and/or maintain " <i>educational and/or training</i> " related services for employment opportunities.	2	217	217	217	100.0%
	3. Family Maintenance:(specify outcome) Parents and other adults obtain access to reliable child and/or dependent care services in order to obtain and/or maintain educational and/or training related services.	2	32	32	31	96.7%
	4. Family Maintenance:(specify outcome) Households obtain access to ongoing food and nutrition assistance in order to work toward achievement of their potential.	6	32,617	32,617	32,612	99.9%
	5. Family Maintenance:(specify outcome) Individuals obtain access to health and safety related assistance in order to work toward achievement of their potential.	4	1,799	1,832	1,784	97.4%

Certifications

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

Secretary

Title

New Mexico Human Services Department
Organization

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.

Kathryn Falls
Signature
HSD Deputy Secretary
Title
Human Services Dept.
Organization

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)

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

Secretary
Title

New Mexico Human Services Department
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.

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.

Kathryn Falls

Signature

Secretary _____
Title

New Mexico Human Services Department
Organization