



HUMAN SERVICES
D E P A R T M E N T

COMMUNITY SERVICES BLOCK GRANT

STATE PLAN

STATE OF NEW MEXICO

OCTOBER 1, 2013 - SEPTEMBER 30, 2015

SEPTEMBER 1, 2013

Sidonie Squier, New Mexico Human Services Department Secretary
Marilyn Martinez, Income Support Division Acting Director
Nicole Taylor, Work and Family Support 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 2014 and FFY 2015

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 subdivision of the state, combination of subdivisions, or a public or private nonprofit agency, 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)

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/Work and Family Support Bureau.

The Human Services Department Secretary is Sidonie Squier (letter of designation is attached in Section VI. Appendices B.3). The Income Support

Division Acting Director is Marilyn Martinez. The Work and Family Support Bureau Chief is Nicole Taylor (the State CSBG Director).

Designated State Lead Agency: Human Services Department

Director/Administrator of Designated State Agency: Sidonie Squier, Secretary

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 August 26, 2013, in Santa Fe. The notice of publication appeared in the Albuquerque Journal on the following consecutive dates: July 26, 27, and 28, 2013. 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.

In conjunction with the development of the CSBG State Plan, the Legislative Health and Human Services Committee held a hearing on October 11, 2012, in Santa Fe, New Mexico. (See Attached, Section VI. Appendices, A.1). The FFY 2012 and 2013 plan was submitted for review within the time frames allowed by the COATES Act.

(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 August 26, 2013, in Santa Fe, New Mexico. The notice of publication included a toll free telephone number where the public was able to request a copy of the plan prior to the hearing. Several copies of the State plan were available at the hearing. The plan is available for public inspection on the Department's website at: <http://www.hsd.state.nm.us/isd/ISDPlans.html>. Copies of the plan were sent to all CAAs located in the state. In addition, copies of the plan are available to individuals and businesses interested in the plan.

IV. Statement of Federal and CSBG Assurances (which includes programmatic, administrative, financial and certifications)

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 – by signature at end of this section.

A. Programmatic Assurances

(1) 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) 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, 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
 - (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). [676(b)(1)]
- (2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in Section 675C (b) of the Act in accordance with the community services block grant, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program. [676(b)(2)]
- (3) To provide information provided by eligible entities in the State, including:
- (a) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C(a) of the Act, 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 the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. [‘676(b)(3)]
- (4) To ensure 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. [676(b)(4)]
- (5) 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 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 local workforce investment systems under the Workforce Investment Act of 1998. [‘676(b)(5)]
- (6) To 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. [‘676(b)(6)]
- (7) To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act.[676(b)(7)]
- (8) That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under the community services block grant program 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) of the Act. [‘676(b)(8)]
- (9) 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. [‘676(b)(9)]
- (10) To 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. [‘676(b)(10)]

- (11) To secure from each eligible entity in the State, as a condition to receipt of funding, 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. [‘676(b)(11)]
- (12) 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) of the Act. [‘676(b)(12)]
- (13) To provide information describing how the State will carry out the assurances. [‘676(b)(13)]

B. Administrative and Financial Assurances

The State further agrees to the following, as required under the Act:

- (1) 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 or 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

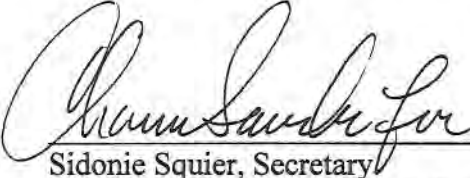
discrimination under, any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S. C. 6101 et seq.) or the respect to an otherwise qualified individual 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.



Sidonie Squier, Secretary
State of New Mexico Human Services Department

8/8/13

Date

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 Sidonie Squier. The Income Support Division (ISD) Acting Director is Marilyn Martinez. The Work and Family Support Bureau (WFSB) 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 HSD's mission is to reduce the impact of poverty on people living in New Mexico by providing support services that help families break the cycle of dependency on public assistance.

HSD manages a \$4.97 billion dollar budget of state and federal funds and administers services to more than 800,000 low-income New Mexicans through programs such as:

- Medicaid and Children's Health Insurance Program (CHIP)
- Supplemental Nutrition Assistance Program (SNAP)
- SNAP Education Program (SNAP-Ed)
- Temporary Assistance for Needy Families (TANF)
- The Emergency Food Assistance Program (TEFAP)
- School Commodity Foods Program
- Homeless Meals
- General Assistance for low-income individuals with disabilities
- Community Services Block Grant (CSBG)
- Refugee Resettlement Program (RRS)
- Low-Income Home Energy Assistance Program (LIHEAP)
- Child Support Establishment and Enforcement
- Behavioral Health Services (mental illness, substance abuse, compulsive gambling)

The programs are administered through four Program Divisions:

1. Medical Assistance Division (MAD)
2. Income Support Division (ISD)
3. Child Support Enforcement Division (CSED)
4. Behavioral Health Services Division (BHSD)

(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 for FY 14 are:

- Goal 1: Modernize and Improve New Mexico's Medical Assistance Programs
- Goal 2: Help New Mexicans Get Back to Work
- Goal 3: Assist Parents with their Child Support Responsibilities
- Goal 4: Improve Behavioral Health Services
- Goal 5: Improve Administrative Effectiveness and Simplicity

The goals and objectives of ISD's Work and Family Support Bureau (WFSB) 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 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 to community action agencies and the state-wide association on areas such as:
 - (a) Board of Directors' fiduciary responsibilities
 - (b) Client Track data collection system
 - (c) CSBG Information System (IS) National Association for State Community Services Program (NASCS) federal reporting requirements
 - (d) financial tracking/reporting and fiscal management
 - (e) reporting requirements
 - (f) assistance to a CAA that is in crisis or vulnerable--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 to 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: Dawn Hommer

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, Inc. (HELP NM)

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 Road

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 (SNMCAC)

Executive Director: Sherra Hester

1915 San Jose Blvd.

Carlsbad, NM 88220

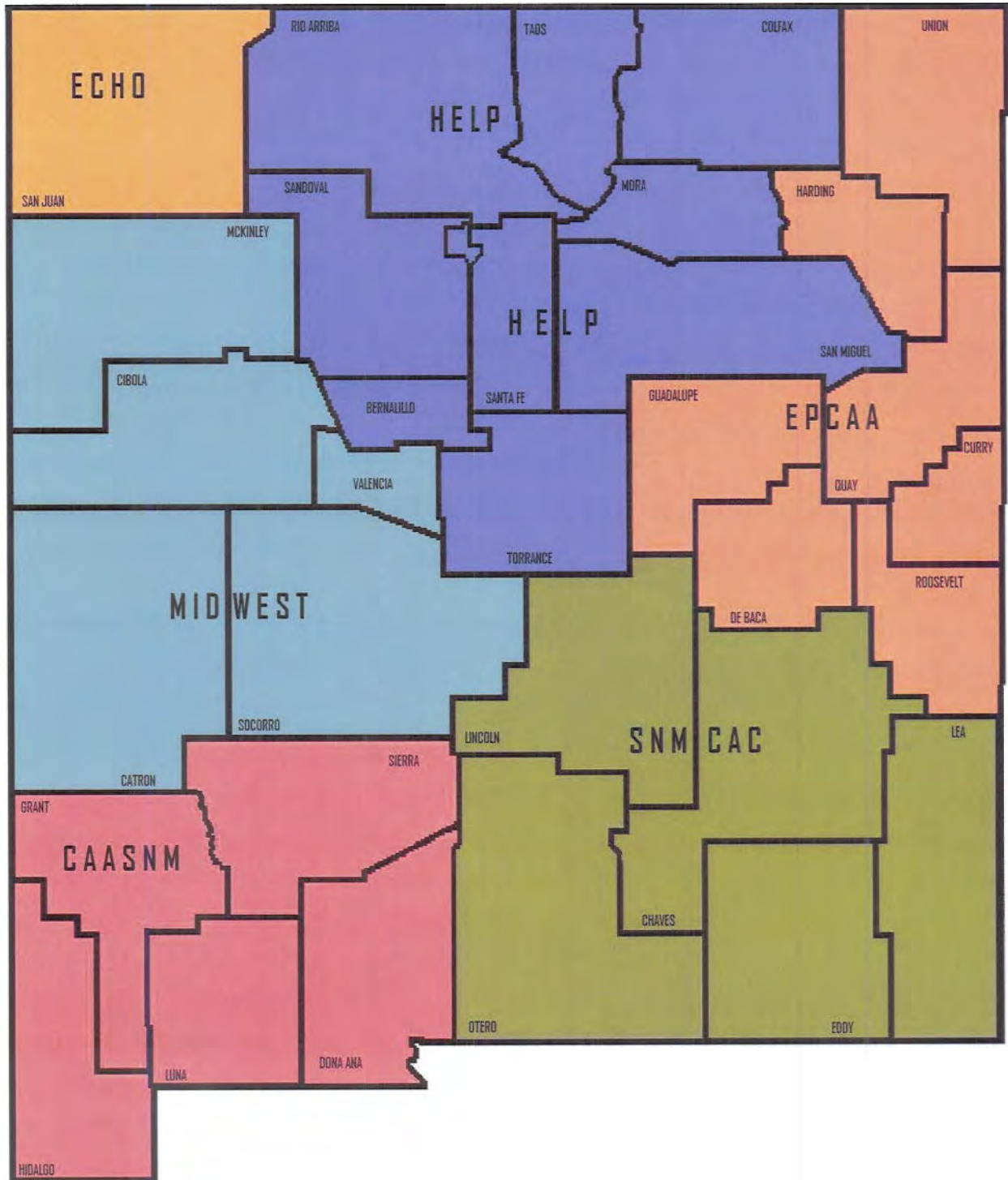
Tele #: (575) 887-3939/ Fax #: (505) 887-6357

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 no less than 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.

Allocations for FY 2014 and FY 2015 are not known, however, HSD is using a projection of three million, four hundred sixty seven thousand, one hundred and thirteen dollars (\$3,467,113) which is based on the funding for FY 2013. HSD will distribute in excess of 90% of the funds to the eligible CAAs, or three million one hundred twenty thousand four hundred and two dollars (\$3,120,402). 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 90%+ of the projected award, which is two million seven hundred forty thousand eight hundred and eight seven dollars (\$2,740,887) 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 14 and FFY 15 program years. (Note: The allocation formula may be modified.) The allocation by county is as follows:

<u>County</u>	<u>% of Poverty 2007</u>	<u>Amount</u>
Bernalillo	26.87	\$736,481
Catron	0.21	\$ 5,640
Chaves	3.60	\$ 98,678
Cibola	1.81	\$ 49,510
Colfax	0.64	\$ 17,518
Curry	2.37	\$ 64,893
DeBaca	0.10	\$ 2,613
Dona Ana	13.37	\$366,504
Eddy	2.34	\$ 64,216

Grant	1.49	\$ 40,827
Guadalupe	0.29	\$ 7,815
Harding	0.03	\$ 773
Hidalgo	0.34	\$ 9,273
Lea	3.02	\$ 82,881
Lincoln	0.83	\$ 22,847
Los Alamos	0.17	\$ 4,588
Luna	2.51	\$ 68,932
McKinley	5.34	\$146,372
Mora	0.33	\$ 9,010
Otero	3.60	\$ 98,726
Quay	0.60	\$ 16,387
Rio Arriba	2.49	\$ 68,167
Roosevelt	1.26	\$ 34,454
Sandoval	3.50	\$ 96,041
San Juan	6.48	\$177,520
San Miguel	2.19	\$ 53,836
Santa Fe	6.11	\$167,371
Sierra	0.83	\$ 22,839
Socorro	1.54	\$ 42,133
Taos	1.60	\$ 43,966
Torrance	1.05	\$ 28,846
Union	0.18	\$ 5,035
Valencia	3.14	\$ 86,195

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 provided upon request.

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 basis according to the 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 14 and FFY 15. 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 no less than 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 of 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, “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.

HSD implements the CSBG 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 meet 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’s

Department of Finance and Administration, Financial Control Division, Expenditure Chart of Accounts.

- Budget Justification: An explanation for each line item in the CSBG grant budget. In general, it justifies the expenditures charged to the grant in relationship to the goals, objectives and activities outlined.
- 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 in 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 that contains 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 (e.g. purchase of work clothes/uniforms, employment licensing fees, tools, fees for medical testing, transportation assistance, etc.).

- Education Initiatives: vocational training, post-secondary, pre-employment certification training, ABE/GED, tuition fees, school supplies, classroom related services (uniforms and tools), Head Start, Pre-K program, private pre-school with sliding fee scale, before and after school programs, and 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: housing services, 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), 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 bank, 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 distribution of 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: memoranda 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 Services, senior services (e.g., foster grandparent companion service, housekeeping services and transportation), Covering Kids program, and Head Start—children immunization, medical and dental check-ups, information and referral to HSD medical assistance programs.

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 no more than 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 service programs for low-income children and adults and are consistent with the priorities listed on pages 32-33. 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, capacity building, 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 the 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.

In the event that the FFY 14 and FFY 15 grants are less than the projected amounts, discretionary funds may be provided to CAAs to achieve their contracted outcomes.

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 HSD/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
- ◆ Prepare the state plan and amendment(s) to the plan. Conduct a public hearing, and/or legislative hearing
- ◆ Draft, prepare, implement, and update the 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.
- ◆ Promulgate 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
- ◆ 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 staffs with regard to ROMA/ National Performance Indicators, 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 staffs 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 and association offices: Office of Community Services, National Association for State Community Services Programs, Head Start State Collaboration Office, Regional Office, and the CAA Association
- ◆ 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 each CAA contains a detailed Scope of Work that describes the agency's goals and objectives based on ROMA and the National Performance Indicators. The agency provides statements of problems for the service area, the direct measurements from ROMA and National Performance Indicators to be tracked, the program service (education, health, nutrition, income management, etc.), program objective, 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 2013 was approximately \$3.4 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	13.0%	Urban area/rural
Grant	1.5%	Rural
Hidalgo	0.3%	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	0.03%	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	2.0%	Rural
Sandoval	3.5%	Urban/rural/tribal
Santa Fe	6.0%	Urban/rural/tribal
Taos	2.0%	Rural/tribal
Torrance	1.0%	Rural

In addition, HELP New Mexico 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	5.0%	Rural/tribal
Socorro	1.5%	Rural
Valencia	3.0%	Rural/tribal

- Southeast New Mexico Community Action Corporation serves five counties:

County:	Poverty %:	Geographic Area:
Chaves	3.6%	Urban/rural
Eddy	2.0%	Rural
Lea	3.0%	Rural
Lincoln	0.8%	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: memoranda 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 2014 and 2015 the CAAs will provide the total number of organizations, that they actively work with to promote family and community outcomes, and the total number of partnerships for each type of organization. These organizations include:

- Non-Profit
- Faith Based
- Local Government
- State Government
- Federal Government
- For-Profit Business/Corporation
- Consortiums/Collaborations
- Housing Consortiums/Collaborations
- School Districts
- Institutions of post secondary education/training
- Financial/Banking Institutions
- Health Services Institutions
- Statewide Associations / Collaborations
- Recognized Tribes

According to the 2012 CSBG IS /NASCSP report, CAAs established 2,466 partnerships with 1921 organizations 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 Housing 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; New Mexico Association of Community Partners; 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 2012, CAAs in New Mexico were able to serve 116,521 people with the coordination of CSBG funds and other public and private resources. CAAs mobilized \$47.6 million. The CAAs received \$38,508,214 in federal funds. This includes funding from Department of Energy--Weatherization, LIHEAP-Weatherization, Head Start, Early Head Start, Older Americans Act, Assets For Independence, USDA Non-Food Programs, USDA Food Programs, US Department of Housing and Urban Development, US Department of Labor--Employment and Training Programs, Corporation for National and Community Services Programs, and FEMA; \$1,960,336 in State funding was received for the following programs: nutrition, day care and early childhood, housing and homeless, seniors, education, and State Head Start; \$2,143,438 was received in local public funding, including the value of in-kind goods and services; and \$4,977,630 was received from private sources which included foundations, individual contributors, and donation of goods and services.

CAAs 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:

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

ECHO's Home Ownership Problems Eliminated (HOPE) purpose is to assist families to purchase their own homes with affordable mortgages. The agency collaborates with numerous entities, such as, Homebuilders Associations, mortgage lenders, bankers, the affordable Housing Alliance, San Juan County, New Mexico Mortgage Finance Authority, Federal Home Loan Bank, Housing Assistance Council, HUD, USDA Rural Development, contractors, and realtors. CSBG funds are used solely for administrative costs.

ECHO HOPE has developed homebuyer education classes; identified multiple sources of mortgages, subsidies and grants for homebuyers; counseled and qualified families; and identified and obtained, either through purchase or option, affordable land.

- **HELP New Mexico**

HELP New Mexico has implemented in a five county service area in southern New Mexico the Families Learning at School and Home (FLASH) Pack initiative. FLASH Pack is a Readiness and Parent Engagement Interactive Program. Building on research that establishes the beneficial impact of

parental involvement on early learning by children, the program provides materials and identifies activities that parents can use to support their child's development, with a focus on reading. FLASH Pack provides books to read, suggestions for storytelling, and describe at-home activities to reinforce the math, science, health, and reading concepts taught in school. The program also supports a library.

The program has established a community sponsorship initiative to solicit monetary support from various community partners to purchase books for the center library. Various community organizations and individuals, including librarians, police officers, State Legislators, City Mayors, and teachers visit the library and read to the children. Nearly 700 families participate in FLASH-Pack project each year.

o **Southeast New Mexico Community Action Corporation**

Southeast New Mexico Community Action Corporation (SNMCAC) developed a partnership with the Group Workcamp Foundation. The Group Workcamp is a powerful example of an intergenerational approach to improving outcomes for vulnerable individuals. The Foundation recruits youth from across the United States and Canada to participate in home repair as part of its week-long faith based mission camps. In June 2012, 284 teenagers, under experienced supervision, rehabilitated or weatherized the residences of low-income, elderly, and disabled individuals in and around the city of Roswell. The teens performed a variety of interior and exterior work, including ramp repair and painting.

These 284 teens contributed approximately 8,520 labor hours to make much needed repairs on 46 homes in Roswell and the surrounding area.

By improving the conditions in which they live, the quality of life was increased for the individuals who received the services.

(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.

CAAs are required to complete and submit an application packet to the state office prior to the implementation of a contract. 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. 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.

- (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 roster of its Board of Directors and the sector each member represents. The roster should include how long the board member has served in order to adhere to the term limit requirements of the NM Community Action Act. CAAs must also submit the process by which they ensure the selection of representatives of the low-income population 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 and selection processes as part of the review of the CAAs' application packet, periodically during the contract period, and during the CSBG management evaluation. Corrective action plans are developed as needed to ensure ongoing compliance with this requirement.

- (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 (e.g. purchase of 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, ABE/GED, tuition fees, school supplies, classroom related service (uniforms and tools), Head Start, Pre-K program, private pre-school with sliding fee scale, before and after school programs, and dissemination of educational and training materials and education/training 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:** housing services, 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 bank, 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, and other medical information and referrals.
- 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.

(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.

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, to overcome food insecurity and deprivation.

(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 the Mortgage Finance Authority, Department of Health, Department of Workforce 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. WFSB requires that each CAA take an active role as a leader in local community coalitions of service providers. Partnership information is required in the annual application for funds, the year-end report, and is reviewed during the monitoring visit.

HELP New Mexico is the only CAA in the state that receives Workforce 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. 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 the 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), and USDA commodities for school breakfast/lunch program and Summer 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 in the Scope of Work. All eligible entities are required to report their listing of all organizations and 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 includes but is not limited to the following:

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 services
- 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 sources' 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. WFSB reviews the submitted plan. If accepted, WFSB notifies the agency of the acceptance and will monitor implementation of the plan. If the plan is rejected, WFSB provides technical assistance. Following acceptances of a revised plan, the agency is notified and WFSB monitors implementation.

(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 had 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 training and technical assistance are given priority for the WFSB's staff and resources and visits are made as needed. We visit or contact troubled agencies approximately 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 the management and Board of Directors of any agency that has had its funding terminated by other funding sources 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.

(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	4/23/13	Oct 2011-Sept 2012
Eastern Plains Community Action Agency	11/6/12	Jul 2011-Jun 2012
Economic Council Helping Others (ECHO), Inc.	1/10/13	Oct 2011-Sept 2012
HELP-New Mexico	10/26/12	Jul 2011-Jun 2012
Mid-West Community Action Program	3/26/13	Sept 2011-Aug 2012
Southeast NM Community Action Corp.	11/12/12	Jul 2011 -Jun 2012

(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, the guidance provided in the OCS CSBG Information Memorandum Transmittal No. 116, 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. 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.

- 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 make the final determination. 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 contract.

- **Decertification**

If the contract 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 the Governor's 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. In addition, the Administrative Services Division (ASD) of HSD is responsible for the receipt, distribution and accounting of all 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 by WFSB staff utilizing all applicable state and federal guidelines, rules, regulations and statutes.

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, audit standards, all applicable Office of Management and Budget Circular requirements, and other related documents and 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 need additional fiscal assistance.

An audit is prepared by a qualified independent accounting 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 accounting firm. These audits follow the requirements 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. 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 fiscal compliance is achieved

In these circumstances, WFSB will ensure 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.

In the event of a proposed redistribution of funds, notice and an opportunity for a hearing on the record will be provided by WFSB prior to the determination of cause.

If an eligible entity fails to meet or comply with the appropriate standards, goals, and other requirements specified in the COATES Act, the State Statute, or 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. Each contract contains a detailed Scope of Work that identifies the appropriate ROMA/National Performance Indicators (NPIs). The Scope of Work describes the agency's program service(s), program objectives, the outcome measurements from ROMA/ NPIs, type of unit, and the number expected to achieve the outcome. CAAs are required to track and report ROMA/NPI outcome measurements. This information is compiled and submitted in their year-end report.

HSD collects, analyzes, and reports ROMA/NPI outcome measurements for the annual CSBG/IS. In addition, the Client Track data collection system was updated to include an NPI enrollment screen. This will allow the CAAs to capture the number of participants enrolled into an NPI and the number achieving the outcome measurement.

Based on the Scope of Work that relates to ROMA/National Performance Indicators the following are examples 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 A: Number and percent of participants in tax preparation programs who qualified for any type of Federal or State tax credit and the expected aggregated dollar amount of credits.

NI 1.3 C: Number and percentage of participants 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 D: Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days.

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

NI 1.3 F: 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 2.1D: 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 E: Increase or preservation of neighborhood quality-of-life resources.

NI 2.3 B: Number of volunteer hours donated to the agency.

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, boards 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 6.4—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 dependent.
- (F) Obtained food assistance
- (I) Obtained other non-emergency energy assistance.

NI 6.5—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:

(a) Performance Objectives:

For the 2012 CSBG/IS NASCSP federal report New Mexico successfully reported data on the ROMA/NPIs. (See Attachment in Section VI. Appendices, B.5.)

(b) Program Accomplishments and Activities:

In the 2012 CSBG/IS NASCSP federal report New Mexico reported the following program accomplishments and activities under Part 1, Section D:
Accomplishments and Coordination of Funds:

➤ **Strategic Thinking for Long Term Solutions:**

○ HELP-New Mexico

● ***How did the agency identify the community need?***

Industrial lift trucks (forklifts) are used extensively in agricultural workplaces. Untrained operators can cause serious injury or death to themselves or other workers. After a fatal forklift-related accident, HELP-NM developed and implemented a forklift operator training program for agricultural workers in southwest New Mexico.

HELP-NM provides statewide services to agricultural and seasonal workers. HELP- NM Staff contacted their extensive network of farmers, owners and farm labor contractors, talked to farmworkers and their agency partners who serve farmworkers, and identified a need for an affordable local training alternative to the expensive out of state training programs.

Having identified the need, HELP-NM recognized that the training program would not only address workplace safety, but would also provide participants with skills attractive to employers. HELP-NM developed a plan to implement OSHA compliant training. One staff person who had previous experience operating industrial lift machinery became a certified industrial lift truck operator trainer. An eight hour course with English and Spanish language training materials was developed that met OSHA standards. Following CSBG State Office approval, another Community Action Agency (CAA) provided a forklift.

● ***How were CSBG funds used to plan, manage, and/or develop the approach?***

CSBG funds were used to train the trainer, develop materials in both Spanish and English, advertise the program, create the infrastructure to keep and maintain records, and transport the forklift to the training site. In addition, CSBG provided the funds for the original purchase of the forklift by the other CAA.

● ***What local partners were involved, and how did each contribute to the program?***

- ❖ Community Action Agency of Southern New Mexico (CAASNM) provided the forklift to HELP-NM.

- ❖ Three Chips Company, in Deming, New Mexico provided a truck and trailer, and the manpower to assist HELP-NM move the forklift to the training site.
 - ❖ Adams Farms, a longtime supporter of HELP-NM's National Farmworker Jobs Program (NFJP), provided a place to house the forklift and a training site in Hatch, New Mexico. In addition, it plans to work with HELP-NM to train its workers on safe forklift operation.
 - ❖ The New Mexico Department of Workforce Solutions Office in Las Cruces advertised the program.
 - ❖ The Las Cruces office of Manpower, Inc. also advertised the training to potential clients.
- *What outcome indicators did the agency use to measure success?*
This program is designed to improve agricultural workplace safety by reducing forklift related accidents in the targeted area, and provide job-related skills to individuals. Participants who successfully complete the course will receive an OSHA recognized certificate and an industrial lift operator license.
 - *What outcomes have resulted?*
Training began February 2013. A schedule for future training has been developed.

➤ **Delivering High-Quality, Accessible, and Well-Managed Services**

Top State Management Accomplishments

- Community Action Agency of Southern New Mexico:
The New Mexico State CSBG top management accomplishment is their support of the CAAs in New Mexico. They are a consistent source of encouragement, knowledge and advice. Repeatedly, the team advocates for the CAAs with the goal of making our agencies stronger, more efficient and effective. CAASNM cannot emphasize enough how grateful it is for oversight and experience in accomplishing our shared missions for the people of New Mexico. One example of this is the State CSBG's role in helping to re-establish the New Mexico Association of Community Partners as the statewide coalition for CAA entities. Due in part by the State CSBG office, NMACP hired the Executive Director who has been exemplary at connecting the five member CAA programs (out of six in the state). She has taken the lead on convening trainings and discussions around CSBG Organizational Standards, ROMA, and Performance Management Activities. The State CSBG management team continues to be an active participant in NMACP's efforts to build the capacity of its members.

- Economic Council Helping Others (ECHO):
The Human Services Department CSBG Program Manager was out of the office for several months due to family medical issues. It was very helpful that the State Office had been able to hire and train an additional staff person previously who carried on the work with almost no lapses in the normal workflow. CSBG is fairly unique so having a knowledgeable person in place kept the operation running in the manager's absence.
- Eastern Plains Community Action Agency:
The State CSBG office management team is very supportive to the local agencies throughout the year. The technical assistance provided as well as guidance has paid off, the contractors look up to the state office for leadership in order to manage local programs efficiently and more effectively. Excellent oversight of the CSBG program is provided with the assurance we are operating our local programs to full capacity and coordination of services, as well as showcasing some of our programs in New Mexico to the rest of the country and the Community Action Network. We are proud of the CSBG state office and look forward to another challenging but exciting New Year.
- HELP New Mexico:
As the Executive Director of HELP-NM and Chair of the "new" State Community Action Association's Board of Directors, I cannot underestimate or undervalue the support and assistance that the State of New Mexico's office or Community Service Block Grant (CSBG) provides its eligible entities in the state.

In addition to the customary excellent oversight that we have come to expect of the regular and migrant CSBG, this reporting period, the state CSBG office has also assisted the state association and its member eligible entities in its critical formation by providing direct training at the Association's strategic planning session, ongoing mentoring and support to the new Association's Executive Director and a supportive CSBG Discretionary grant.

We are aware that this is not the standard in many other states in terms of the relationship between the state funding and oversight authority and the local community action agencies (eligible entities). In spite of the limited resources (Federal, State, and Corporate) in our state, we are lucky to have a supportive and effective State CSBG unit available to the eligible entities. Their support and assistance is priceless!

It is clear that the New Mexico CSBG contract authority (its two staff) has been the personification of responsible informed leadership that has led to effective and efficient management of the CSBG program.

- Mid-West Community Action Program:
Our State CSBG Representatives continue to do an outstanding job in providing Mid-West New Mexico Community Action Program with timely and accurate

information. Additionally, our State Representatives have always been available to provide clarification and technical assistance as needed. The need for timely response is critical given the ever changing environment that we operate under.

- Southeast New Mexico Community Action Corporation:
State management staff has provided training and technical assistance to community action programs in New Mexico. Our agency had new administrative staff that required extra training time and it was provided to them in a competent and professional manner. They do an excellent job of monitoring our reports (programmatic and fiscal) and providing timely feedback. The state office is very accessible and knowledgeable. They are prompt to return phone calls and emails.

Top Three CAA Management Accomplishments:

- Community Action Agency of Southern New Mexico
The CEO of CAASNМ undertook an administrative reorganization and comprehensive program review to increase operational efficiency, adjust to shifting revenue streams, and achieve outcomes impacting economic stability.

She spent significant time working on organizational development and external communications, including a visibility plan and branding strategy. Several staff positions were consolidated into the new position of development director, charged with contract management and revenue enhancement. The reporting structure was streamlined, increasing the agency’s ability to respond quickly and providing the CEO more direct access to program management.

Concurrent with the administrative reorganization was an examination of all programs for return on investment and alignment with the agency’s strategic focus—leveraging resources to provide more clients with opportunities for long-term economic stability. Several programs were transitioned to other agencies. CAASNМ’s resources were redirected to asset development and benefit screening programs.

The operational changes and performance management approach position the agency to succeed in an environment of reduced funding coupled with an emphasis on results.

- Economic Council Help Others, Inc.
Core values, including honesty, integrity, respect, and trust, define the relationship between the leadership of Economic Council Helping Others Inc. (ECHO), and its employees, clients, and partner organizations. These values provide the foundation for the agency’s management strategy: commitment to the values creates strong managers who hire skilled and committed staff empowered to innovate in order to provide efficient and effective client service.

ECHO experienced a 10% revenue decline in 2012 from 2011. As this shortfall became apparent, ECHO's senior management and its employees devised creative, cost-saving solutions to maintain the level of services despite the loss of revenue.

Employees developed and implemented many solutions, including:

- Cultivating and utilizing volunteers. The Farmington Warehouse now sponsors "team building" activities for private companies. The company brings a team of their employees to work in the warehouse for a morning of packing boxes and backpacks, or sorting food, and then uses the afternoon for other exercises and activities. Company team building contributed to the over 16,000 hours of volunteer time—the equivalent of 7.5 full time staff positions— ECHO realized in 2012. Some of the individuals became volunteers on their own time after seeing the need.
- Extracting maximum value from office supplies. Employees started rolling up adding machine tape and turning it over to get double the usage out of one roll. They laminated sheets of plain paper for use as a dry erase template for food 'Best Used By' dates on all the food in the warehouses.
- Community involvement. ECHO reuses boxes originally provided to hospitals. Organizations, vendors and individuals now provide their own grocery bags.
- Materials for crafts and activities at its pre-school site are purchased at yard sales.

In combination with management initiatives that reduced utility costs, these actions allowed ECHO to actually increase services to individuals, despite the reduction in revenue.

o Mid-West NM Community Action Program

Mid-West CAP continued to use information technology to increase operational efficiency and effectiveness.

The agency established a Wide Area Network (WAN), linking all Mid-West CAP offices to a central server in its main administration office. This enabled central office staff to remotely monitor and assist local offices, conduct virtual meetings across sites, and made local office printers extensions of the main office. As a result, travel to local offices has been reduced by 33%, with a commensurate reduction in travel costs. Telephone costs have been reduced by approximately 8%. Postage and mailing costs have also decreased.

The Agency refined its document storage and back-up systems, improving information access and strengthening its Disaster Recovery Plan.

Finally, the Agency implemented an on-line information portal. The Head Start Policy Council, Board of Directors, and staff can easily access information from home or other locations. A variety of reports are posted to the Agency's website

on a monthly basis. Authorized individuals can log on to the portal and review reports, policies and procedures, obtain forms, or retrieve and send e-mails. In addition to the cost savings and operational efficiencies, these improvements increase the effectiveness of the agency, by allowing field staff to spend more time in direct client service.

➤ **Mobilizing Resources to Support Innovative Solutions**

- HELP New Mexico, Inc. (HELP-NM)
 - **Program name:** Low Income Home Energy Assistance Program (LIHEAP), Residential Energy Assistance Challenge Program (REACH)
 - **CSBG service category:** Emergency Services/Health/Education
 - **Description of program (capacity, duration, targeted population, etc.):** REACH is intended to address the home energy needs of LIHEAP eligible households by accomplishing the following goals:
 - ❖ Minimize health & safety risks that result from high energy burdens on low-income New Mexicans;
 - ❖ Reduce home energy vulnerability and prevent homelessness as a result of inability to pay energy bills;
 - ❖ Increase the efficiency of energy usage by low-income families helping them achieve energy self-sufficiency; and
 - ❖ Target energy assistance to individuals most in need.

HELP-NM, in partnership with the HSD, used REACH funds to provide vulnerable households (households with elderly members, small children or disabled individuals) using bulk fuel in four predominantly rural counties with the following services:

- ❖ Vendor payments for bulk fuel;
- ❖ Assistance with the cost of safety inspections of propane systems and wood stoves;
- ❖ Assistance with the cost of safety related repairs of propane systems and wood stoves;
- ❖ Home energy audits;
- ❖ Assistance with the cost of energy efficiency upgrades or repairs.

Included with REACH was the Energy Efficiency Education Services program (EEES), which provided the following services to eligible households:

- ❖ Educational materials pertaining to weatherization, energy efficiency, wood stove and propane system safety;
- ❖ Home energy saving or home weatherization kits.

REACH and EEES services were provided from July 2011 through March 2012.

- ***How was the agency's approach innovative or creative?***

Unlike many utility assistance programs that provide funding only for utility payments, HELP-NM used REACH funding to provide additional energy-related services. A household receiving bulk fuel payment assistance could receive one or more of the other services identified above. For example, a household receiving a voucher to purchase firewood could also receive an inspection of their wood burning system by a chimney sweep. Based on the chimney sweep's recommendations, the family might then have the woodstove and pipes cleaned or necessary safety repairs completed. The chimney sweep might also install carbon monoxide detectors, smoke detectors, or fire extinguishers in the home. Some households received a home energy audit by a certified inspector. The inspector would then meet with the family to discuss ways to save energy in the home. Based on the inspector's recommendations, upgrades, weatherization, or repairs would be performed.

- ***Outcomes achieved (include the number of people enrolled and areas affected)***

300 households received one or more of the REACH services, including 121 households received safety inspections of their heating systems, and 114 households received safety-related repairs. A total of 590 home kits were distributed, and educational materials on energy efficiency or heating system safety were provided to over 1100 households.

HELP-NM conducted pre and post service client surveys to measure the impact of the services provided. The pre-service survey was completed by 221 clients; 120 clients completed the post-service survey. The survey documented an increase in knowledge about energy efficiency and heating system safety, with 77% of the post survey respondents reporting an increase in knowledge about energy efficiency, 65% reporting increased knowledge about propane heating system safety, and 67% reporting increased knowledge of wood stove safety.

- ***How were CSBG funds used?***

CSBG funds were used to supplement REACH funding for administrative expenses such as rent, salaries, and utilities. Utilization of CSBG funds allowed HELP-NM to exceed the REACH and EEES target service counts, and provide these critical energy-related services to more New Mexicans.

- ***What local partners were involved, and how did each contribute to the program?***

HELP-NM collaborated with many local businesses to provide REACH services, including bulk fuel vendors, chimney sweeps, certified home audit inspectors, and building contractors. Several of the contractors were very

supportive of the program and provided materials and services as in-kind donations.

➤ **Providing Positive Results for Vulnerable Populations**

Youth Focus Initiative:

○ Southeast New Mexico Community Action Corporation (SNMCAC)

• ***Description of initiative:***

SNMCAC developed a partnership with the Group Workcamp Foundation. The Foundation recruits youth from across the United States and Canada to participate in home repair as part of its week-long faith based mission camps. In June, 2012, 284 teenagers, under experienced supervision, rehabilitated or weatherized the residences of low-income, elderly, and disabled individuals in and around the city of Roswell. The teens performed a variety of interior and exterior work, including ramp repair and painting.

• ***What local partners were involved, and how did each contribute to the program?***

- ❖ Group Workcamp Foundation: site writing, partnership development with SNMCAC and schools, volunteer recruitment and camp administration. Each volunteer pays \$399 plus the cost of travel to attend the camp. A portion of the total is used to pay for materials
- ❖ Lowe's: discounted building supplies
- ❖ Sherwin Williams: discounted paint and supplies
- ❖ Roswell Independent School District: housing and meal preparation for the teen volunteers
- ❖ City of Roswell: permit fees, dumpsters and free passes to the community pool
- ❖ Roswell Daily Record (newspaper): news coverage
- ❖ Roswell Hispano Chamber of Commerce: "goody bags" to each participant

• ***Outcomes achieved (include the number of people enrolled and areas affected)***

The Group Workcamp is a powerful example of an intergenerational approach to improving outcomes for vulnerable individuals. 284 teens contributed approximately 8,520 labor hours to make much needed repairs on 46 homes in Roswell and the surrounding area. By improving the conditions in which they live, the quality of life was increased for the individuals who received the services. There were also economic benefits to the community, as the chaperons and teen volunteers purchased gasoline, souvenirs, beverages and other items from local merchants.

- ***How were CSBG funds used?***
CSBG funds were used to pay for volunteer meals during the project, and enabled SNMCAC staff to conduct outreach, application intake, site selection, project coordination and communications.

Senior Focus Initiative:

- HELP-NM, Inc.

- ***Description of initiative:***
In coordination with the Corporation for National and Community Service, a federal agency, and the State of New Mexico Aging and Long Term-Services Department, HELP-NM administers the Senior Companion Program (SCP). SCP has a dual purpose: to engage persons age 55 and older, particularly those with limited incomes, in volunteer service; and to provide companionship and assistance to elderly or disabled adults.

After receiving 40 hours of training, the senior volunteers spend their time in private homes and care settings such as retirement homes, adult day care centers, nursing homes, and adult foster care homes. A volunteer might take a homebound senior grocery shopping, assist with simple chores, help an individual with developmental disabilities learn a new life skill, escort a frail adult to a medical appointment, or provide a period of respite to primary caregivers. There is no cost to the clients for these services. Program funds provide the volunteers a non-taxable hourly stipend, mileage reimbursement, and a meal.

The Senior Advisory Council provides program oversight and coordination. The eight member Council is comprised of school teachers, doctors, nurses, and retired individuals from the service area.

- ***What local partners were involved, and how did each contribute to the program?***
Community partners leverage their resources, services and support to add value to the SCP. Local and state law enforcement agencies provide the necessary criminal background checks for program volunteers at no cost to the program. Private and public primary health care practitioners provide physical examinations to volunteers who do not have adequate insurance. The Los Alamos National Laboratory Foundation and a community college provide meeting space at no cost. Local faith based organizations, hospitals, and home health organizations refer clients to the program.
- ***Outcomes achieved (include the number of people enrolled and areas affected)***

In a four county area of northern New Mexico, 49 senior companions serve 110 individuals and families. SCP enables clients to live with dignity and maintain the highest possible level of independence. For example, the program allows some elderly adults to continue living at home. A survey of clients and their families documented complete satisfaction with the companion services. Respondents felt these services improved client well-being and mental abilities, and expressed their desire that the volunteers spend additional time with the individuals. Demand for the services continues to increase.

Senior volunteers' lives are enriched, knowing that they are making an impact. As one of the senior companions stated, *"Instead of sitting home, I am out doing something useful. I think that this program has helped me as much as my clients."*

SCP also benefits the communities it serves by meeting a critical need.

- ***How were CSBG funds used?***

CSBG funds were used for:

- ❖ Direct program costs such as salaries, facilities and other associated expenses of administrative personnel
- ❖ Food vouchers and utility assistance to eligible senior volunteers and clients
- ❖ Indirect, administrative costs for travel, utilities, rents, and supplies

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

(1) Planned Distribution of Funds to Eligible Entities vs. Actual Expenditures FY 2012:

	Planned:	Actual:
Eligible Entities (CAAs):	\$3,571,756	\$3,514,044

NOTE: No funds were recaptured and redistributed.

(2) Planned Distribution of Funds for Discretionary Purposes vs. Actual Expenditures in FY 2012:

	Planned:	Actual:
Discretionary Projects:	\$184,836	\$50,000

(3) Planned Use of Funds for State Administration vs. Actual Expenditures in FY 2012:

	Planned:	Actual:
State Administrative Costs	\$184,836	\$184,837

Total Funds planned vs. actual expenditures for FY 2012:

	Planned:	Actual:
Total:	\$3,941,428	\$3,748,881

(d) Profile of Participants Served (Number of characteristics of clients served) FY 2012:

Number of Agencies Reporting:

Number of Agencies Reporting:	6
Total unduplicated # of persons whom one or more characteristics were obtained:	71,677
Total unduplicated # of persons whom no characteristics were obtained:	44,844
Total unduplicated # of families whom one or more characteristics were obtained:	17,924
Total unduplicated # of families whom no characteristics were obtained:	33,986

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:

Gender:	# of Persons:
Male:	21,979
Female:	26,176
TOTAL:	48,155

Family Type:	# of Families
Single parent/female	3,641
Single parent/male	507
2-parent household	3,387
Single person	6,662
2 adults/no children	1,068
Other:	1,590
TOTAL:	16,855

Age:	# of Persons:
0-5	13,094
6-11	7,834
12-17	4,246
18-23	2,620
24-44	6,593
45-54	4,061
55-69	15,734
70+	4,316
TOTAL:	58,498

Family Size:	# of Families:
One	6,662
Two	2,756
Three	2,711
Four	2,148
Five	1,505
Six	630
Seven or more	481
Total:	16,893

Ethnicity and Race	
Ethnicity:	# of Persons:
Hispanic or Latino:	32,752
Not Hispanic of Latino:	25,616
TOTAL:	58,368

Source of Family Income:	# of Families:
Unduplicated # of Families Reporting	
1 or More Sources of Income:	12,757
No Income:	1,227
TOTAL:	13,894

Race:	# of Persons:
White:	37,310
Black African American:	1,127
American Indian and Alaska Native:	8,873
Asian:	54
Native Hawaiian and Other Pacific:	53
Other:	10,374
Multi-race (any 2 or more of the above):	577
TOTAL:	58,368

TANF	933
SSI	2,303
Social Security	3,066
Pension	269
General Assistance	281
Unemployment Insurance	492
Employment + Other Sources	1,556
Employment Only	3,737
Other	1,199

Education Level of Adult:	# of Persons 24 and Older:
0-8:	1,934
9-12/non graduates:	3,821
high school grad/GED:	5,500
12+some post second:	1,130
2 or 4 yr college grad:	577
TOTAL:	12,962

Level of Family Income (% of HHS Guideline)	# of Families:
Up to 50%	5,104
51% to 75%	3,214
76%to 100%	3,404
101% to 125%	1,640
126% to 150%	424
151% and over	389
TOTAL:	14,175

Other Characteristics:	# of Persons
	# person # surveyed
No health insurance:	7,977 27,478
Disabled:	5,592 39,928

Housing:	# of Families:
Own	4,605
Rent	7,399
Homeless	163
Other	1,749
TOTAL:	13,916

(e) Statistical Report on CSBG Program Services:

Service Category	# of Agencies Reporting	CSBG Funds
Education	6	\$363,922
Emergency Services	6	\$763,105
Health	5	\$194,329
Housing	4	\$272,898
Income Management	5	\$418,147
Linkages	6	\$412,912
Nutrition	5	\$598,463
Employment	6	\$317,362
Self-sufficiency	4	\$172,906
Other	0	0

(f) Training and Technical Assistance (T/TA) Provided by the State:

During FY 12 and FY 13, the CSBG State office provided T/TA to the entire New Mexico CAA network, to the CAA association, and to individual CAAs on an as needed/requested basis. The training and assistance was provided via correspondence, conference call and/or customized in-person workshops.

T/TA provided to all CAAs:

- Updated and revised the CSBG Policy and Procedures Manual. This manual provides guidance and instructions to CAA to ensure compliance with the requirements of the Federal and State Statutes, and to promote the efficient use and management of CSBG funds
- Provided CAPLAW training materials and other resources regarding immigrant eligibility for CSBG funded programs
- Coordinated the distribution, implementation, and certification of HSD mandated civil rights training

T/TA provided to the CAA Association:

- The New Mexico Association of Community Partners, formed in 2011, received discretionary funding for training and capacity building
- Through regular and frequent meetings and conference calls, orientation and training to the Executive Director on ROMA/NPIs, Federal and State statutory requirements, procurement requirements, budget and expenditure reporting, CSBG funding, proposed Organizational Standards, etc.

T/TA provided to individual CAAs:

- Community Action Agency of Southern New Mexico (CAASNM)
 - ❖ Board of Directors training: CSBG overview and funding, tripartite composition, selection and term requirements, ROMA/NPIs, bylaws

- ❖ Revision of eligibility manual
- ❖ Community Action Plan documentation
- ❖ CSBG overview to program directors
- Eastern Plains Community Action Agency (EPCAA)
 - ❖ Board of Directors training: CSBG overview and funding, tripartite composition, selection and term requirements, ROMA/NPIs
- Economic Council Helping Others (ECHO)
 - ❖ Board of Directors training: CSBG overview and funding, tripartite composition, selection and term requirements, ROMA/NPIs
- HELP-NM, Inc.:
 - ❖ Board of Directors training: CSBG overview and funding, tripartite composition, selection and term requirements, fiduciary and legal responsibilities, ROMA/NPIs
 - ❖ CSBG Overview and ROMA/NPIs reporting to line staff and program managers
- Southeast New Mexico Community Action Corporation (SNMCAC)
 - ❖ Board of Directors training: CSBG overview and funding, tripartite composition, selection and term requirements, ROMA/NPIs
 - ❖ Orientation to the new CSBG coordinator,
 - ❖ Vendor grievance process
 - ❖ ROMA/NPIs reporting for line staff and program directors

VI. Appendices

A. Documentation of Legislative and Public Hearings

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

1. Legislative Hearing
2. Public Hearing

B. Additional Data or Information

1. Letter of Transmittal
2. State Statute
3. Letter of Designation
4. CSBG Policy and Procedures Manual
5. Outcomes of Efforts FFY 2012, National Performance Indicators
6. Certifications:
 - Environmental Tobacco Smoke
 - Lobbying
 - Drug Free Workplace Requirements
 - Debarment, Suspension and Other Responsibility Matters

Section VI. Appendix A-1

Legislative Hearing

Revised: October 10, 2012

**TENTATIVE AGENDA
for the
FIFTH MEETING
of the
LEGISLATIVE HEALTH AND HUMAN SERVICES COMMITTEE**

**October 10-12, 2012
State Capitol, Room 322
Santa Fe**

Wednesday, October 10

- 9:00 a.m. **Welcome and Introductions**
—Senator Dede Feldman, Chair, Legislative Health and Human Services
Committee (LHHS)
- 9:05 a.m. **Medicaid Innovations: North Carolina Community Care**
—L. Allen Dobson, Jr., M.D., President and Chief Executive Officer, Community
Care of North Carolina
- 10:35 a.m. **Public Health Vision for New Mexico**
—Robert G. Frank, President, University of New Mexico (UNM)
- 11:30 a.m. **UNM Health Sciences Center Update and Statewide Role and Mission in
New Mexico**
—Paul Roth, M.D., Chancellor for Health Sciences; Dean, School of Medicine,
UNM
- 12:00 noon **Lunch**
- 1:30 p.m. **New Mexico Health Connections (NMHC) — a Consumer-Operated and
-Oriented Health Plan**
—Nandini Kuehn, Ph.D., President, Board of Directors, NMHC
—Martin Hickey, Ph.D., Chief Executive Officer, NMHC
- 2:30 p.m. **Aging and Long-Term Services Department (ALTSD) Update**
• Elder Abuse and Data on Incidence; ALTSD's Role in Investigating
• Continuing Care Act Rulemaking
• Prescription Drug Dependence Among Elders
• Hunger Programs for Seniors
—Retta Ward, Secretary, ALTSD
- 4:00 p.m. **Public Comment**
- 4:30 p.m. **Recess**

Thursday, October 11

- 9:00 a.m. **Hotspotting**
—Jeffrey Brenner, M.D., Director, Institute for Urban Health at Cooper University Hospital; Executive Director, Camden Coalition of Healthcare Providers
- 11:00 a.m. **Rural Care Coordination Innovations**
—Charlie Alfero, Director, Center for Health Innovation, Hidalgo Medical Services
- 12:00 noon **Lunch**
- 1:00 p.m. **Tribal Consortium**
—Ileen Sylvester, Vice President of Executive and Tribal Services, Nuka Institute Coordinator, Southcentral Foundation
- 2:30 p.m. **Statewide Expansion of Cancer Clinical Trials**
—Terri Stewart, M.S., Executive Director, New Mexico Cancer Care Alliance (NMCCA)
—Cal Ridgeway, M.D., Co-Chair, NMCCA Board of Directors
—Cheryl Willman, M.D., Co-Chair, NMCCA Board of Directors
- 3:30 p.m. **Community Services Block Grant Update**
—Ted Roth, Director, Income Support Division, Human Services Department
- 4:00 p.m. **Public Comment**
- 4:30 p.m. **Recess**

Friday, October 12

- 9:00 a.m. **Dental Therapists and Access to Dental Care in Rural and Tribal Areas**
—Pamela K. Blackwell, J.D., Project Director, Oral Health Access, Health Action New Mexico
—Daniel Kennedy, D.H.A.T., Dental Therapist, Alaska
—Todd Hartsfield, D.D.S., Assistant Professor of Clinical Dentistry, Clinical Faculty in the Advanced Education in General Dentistry Residency Program at the Arizona School of Dentistry and Oral Health, Arizona
—Don Weidemann, Administrator, Union County General Hospital, Clayton
—Michael Bird, M.S.W., M.P.H., Pueblo of Kewa/Santo Domingo, Public Health Consultant
- 10:25 a.m. **Approval of August Minutes**

- 10:30 a.m. **Public Comment**
- 11:00 a.m. **Report from the Task Force on Work-Life Balance**
 —Giovanna Rossi Pressley, President, Collective Action Strategies
 —Lee Reynis, Ph.D., Director, Bureau of Business and Economic Research,
 UNM
- 12:00 noon **Working Lunch: Physician Aid in Dying**
 —Barak Wolff, M.P.H., Consultant
 —Steve Allen, J.D., American Civil Liberties Union of New Mexico
 —Katherine Morris, M.D., F.A.C.S., Surgical Oncologist, UNM Health Sciences
 Center (HSC)
 —Barbara Lee, P.A., F.N.P., J.D., President, Compassion and Choices
- 1:00 p.m. **Nurse Advice New Mexico (NANM) and Health Care Delivery Innovations**
 —Connie Fiorenzo, Director, NANM
 —Robin Hunn, Consultant to NANM
- 1:30 p.m. **Greater Albuquerque Medical Association (GAMA) Pre-Hospital Navigation
 Program**
 —H. Diane Snyder, Executive Director, GAMA
 —Kurt Krumperman, Executive Director, Albuquerque Ambulance Service
 —Darren Braude, M.D., M.P.H., E.M.T.-P., Professor, UNM HSC, Department
 of Emergency Medicine; Medical Director, Emergency Medical Services
 Academy, UNM HSC
 —Robert McDaniels, M.S., N.R.E.M.T.-P., Director, Emergency Medical
 Services Academy, UNM HSC
- 2:00 p.m. **Essential Health Benefits**
 —John Franchini, Superintendent of Insurance, Public Regulation Commission
- 3:00 p.m. **Adjourn**



Presentation to the
Legislative Health and Human Services Committee
Penny Jimerson, ISD Deputy Director
Nicole Taylor, ISD - Work and Family Support Bureau Chief
October 11, 2012

West Virginia Human Services Department

Community Services Block Grant (CSBG)

- ▶ A Block Grant from the 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 (COATES) Act
- ▶ No State funds are involved to support the program



Community Services Block Grant (CSBG) (cont'd)

- ▶ New Mexico's Community Action Act § 27-8-1 et seq. NMSA 1978, designates the Human Services Department (HSD) as responsible for CSBG
- ▶ Within HSD the CSBG program is administered by the Income Support Division's Work and Family Support Bureau
- ▶ Federal statute requires a legislative hearing at least every three years on the CSBG State Plan



3

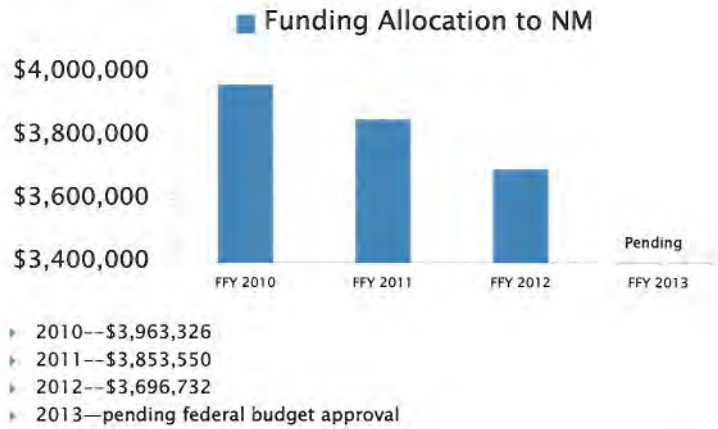
Fiscal Controls and Program Oversight

- ▶ HSD reviews monthly expenditure and program reports for compliance
- ▶ HSD requires the Community Action Agencies (CAAs) to submit a single agency financial audit report annually
- ▶ HSD conducts fiscal and program on-site management evaluations/reviews
 - Administrative Review
 - Board of Directors Compliance
 - Program Review
 - Fiscal Review



4

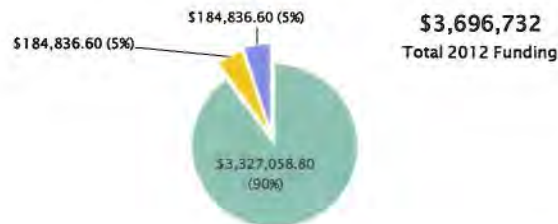
CSBG Federal Funding



5

Distribution of CSBG Funding

- ▶ 90% Eligible Entities—Community Action Agencies (CAAs)
- ▶ 5% HSD's administrative expenses
- ▶ 5% Discretionary



6

CSBG Discretionary

▶ The CSBG Act allows States to allocate no more than 5% of the grant to support initiatives that are outlined in the CSBG program. In NM, discretionary funds support CAAs' initiatives and activities. Below are examples of the use of discretionary funds:

- Supported the Kids Backpack food program
- Supported free Tax Preparation services to low-income individuals and families in Eastern and Southern NM
- Supported Eastern Plains Community Action Agency's emergency assistance program
- Supported training/technical assistance and capacity building to CAAs



7

Eligible Entities—Community Action Agencies (CAAs)

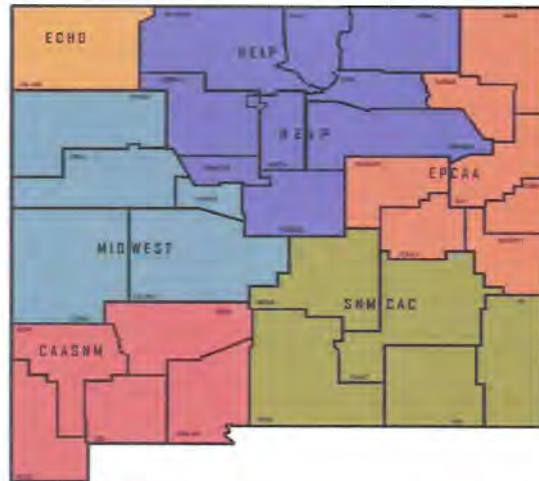
In NM, six CAAs were designated as eligible entities on September 30, 1981 by the federal Economic Opportunity Act of 1964

1. Community Action Agency of Southern NM (CAASN)
2. Eastern Plains Community Action Agency (EPCAA)
3. Economic Council Helping Others, Inc. (ECHO)
4. HELP New Mexico (HELP)
5. Mid-West NM Community Action Program (MIDWEST)
6. Southeast NM Community Action Corp. (SNMCAC)



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Geographic Areas Served by the CAAs



Annual Distribution of CSBG Funds to CAAs

- ▶ A base allocation of \$50,000 to each CAA
- ▶ Additional \$79,515 to HELP-NM for statewide seasonal and migrant farm workers services
- ▶ Remainder apportioned to the CAAs is determined by the county poverty census data

Federally Approved Categories of Services Provided in NM

- ▶ \$786,991 of CSBG funds were used to support emergency services
- ▶ \$644,910 of CSBG funds were used to support nutrition initiatives
- ▶ \$486,715 of CSBG funds were used to support income management services

Federally Approved Categories of Services Provided in NM (cont'd)

- ▶ \$443,920 of CSBG funds were used to expand resources and opportunities for low-income individuals and families
- ▶ \$359,788 of CSBG funds were used to support employment initiatives
- ▶ \$325,896 of CSBG funds were used to support education initiatives

Federally Approved Categories of Services Provided in NM (cont'd)

- ▶ \$278,408 of CSBG funds were used to support housing initiatives
- ▶ \$212,718 of CSBG funds were used to support health initiatives
- ▶ \$174,903 of CSBG funds were used to support self-sufficiency initiatives



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NM CSBG Fiscal Outcomes in FFY 2011

- ▶ Leveraged \$50,956,284 of federal, state, local, and private funding using CSBG funds
 - Federal Resources: \$41,793,023 (Note: this amount does not include CSBG funds)
 - State Resources: \$2,135,752
 - Local Resources: \$2,055,363
 - Private Sector Resources: \$4,972,146



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NM CSBG Demographics in FFY 2011

- ▶ 75% of NM families served were in poverty (0–100% of the federal income guideline)
- ▶ 33% of NM families served were in severe poverty (0–50% of the federal income guideline)
- ▶ Served by the CAAs during FFY 2011:
 - 114,199 individuals
 - 50,953 families
 - 22,736 children
 - 17,745 seniors
 - 5,870 people with disabilities



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NM CSBG Performance Outcomes Achieved in FFY 2011

- ▶ **Food Services**
6.1 million pounds of food were distributed to needy individuals and 52,432 needy individuals receive food assistance
- ▶ **Volunteers**
337,510 volunteer hours were donated to the CAAs
- ▶ **Income Management Services**
8,811 participants received free tax preparation assistance resulting in \$4.3 million in federal and state tax credits and refunds; and 190 participants increased their savings through the Individual Development Account (IDA) program.
- ▶ **Healthcare Services**
6,094 individuals received age-appropriate medical services



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NM CSBG Performance Outcomes Achieved in FFY 2011 (cont'd)

- ▶ **Utility and Weatherization Services**
10,031 individuals received utility assistance and/or energy discounts; and 636 housing units were improved through weatherization or rehabilitation assistance
- ▶ **Employment Services**
6,238 participants obtained employment related services (e.g., tools, licenses, jobs)
- ▶ **Education and Child/Youth Related Services**
5,986 children, youth and families were assisted with parenting, counseling and school readiness activities
- ▶ **Housing Assistance**
1,694 individuals received emergency rental/mortgage assistance; and 29 families were assisted in the purchase of their homes



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CSBG State Plan and CAAs

CSBG State Plan

October 1, 2011 – Sept. 30, 2013

<http://www.hsd.state.nm.us/pdf/NM%20CSBG%20State%20Plan%20FFY%202012%20and%20-2013.pdf>

CSBG Program and CAAs in New Mexico

<http://www.hsd.state.nm.us/isd/cap.html>



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Additional Questions, Contact:

Ted Roth

Income Support Division
Director
Human Services Department
(505) 827-7215 Work
(505) 670-7452 Mobile
Ted.Roth@state.nm.us
2009 South Pacheco St.
Polon Plaza
Santa Fe, NM 87505

Penny Jimerson

Income Support Division
Deputy Director
Human Services Department
(505) 827-7265 Work
(505) 660-1666 Mobile
penny.jimerson@state.nm.us
2009 South Pacheco
Polon Plaza
Santa Fe, NM 87504

Nicole Taylor

Income Support Division
Work & Family Support Bureau
Human Services Department
(505) 827-7287 Work
Nicole.Taylor1@state.nm.us
2009 South Pacheco St.
Polon Plaza
Santa Fe, NM 87505



Section VI. Appendix A-2

Public Hearing



NM 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 1998, the State of New Mexico Human Services Department will hold a public hearing on Monday, August 26, 2013 at 11:00 A.M. at the New Mexico Human Services Department's Law Library, Pollon Plaza, 2009 S. Pacheco, Santa Fe, New Mexico. The purpose of the hearing is to obtain public input on the Community Services Block Grant (CSBG) State Plan.

In accordance with the Federal COATES Reauthorization Act of 1998, the State of New Mexico will submit a State Plan to the U.S. 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, 2013.

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 505-383-2492 or 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. Written and recorded comments will be given the same consideration as oral comments made at the public 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.



**NM 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 1998, the State of New Mexico Human Services Department will hold a public hearing on Monday, August 26, 2013 at 11:00 A.M. at the New Mexico Human Services Department's Law Library, Pollon Plaza, 2009 S. Pacheco, Santa Fe, New Mexico. The purpose of the hearing is to obtain public input on the Community Services Block Grant (CSBG) State Plan.

In accordance with the Federal COATES Reauthorization Act of 1998, the State of New Mexico will submit a State Plan to the U.S. 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, 2013.

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 505-383-2492 or 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. Written and recorded comments will be given the same consideration as oral comments made at the public 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: July 26, 27, 28, 2013



Published in the Albuquerque Journal on Friday July 26, 2013

NM 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 1998, the State of New Mexico Human Services Department will hold a public hearing on Monday, August 26, 2013 at 11:00 A.M. at the New Mexico Human Services Department's Law Library, Pollon Plaza, 2009 S. Pacheco, Santa Fe, New Mexico. The purpose of the hearing is to obtain public input on the Community Services Block Grant (CSBG) State Plan. In accordance with the Federal COATES Reauthorization Act of 1998, the State of New Mexico will submit a State Plan to the U.S. 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, 2013. 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 505-383-2492 or 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. Written and recorded comments will be given the same consideration as oral comments made at the public 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: July 26, 27, 28, 2013

Section VI. Appendix B-1

Letter of Transmittal



Susana Martinez, Governor
Sidonie Squier, Secretary
Marilyn Martinez, Acting Director

August 19, 2013

Jeannie L. Chaffin, 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. Chaffin,

Enclosed is the State of New Mexico's application and State Plan for Community Services Block Grant (CSBG) funds for FFY 2014 and 2015.

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

Marilyn Martinez, Acting Director
Human Services Department/Income Support Division
PO Box 2348
Santa Fe, NM 87504-2348
Telephone: (505) 827-7215 Fax: (505) 827-7203

The State CSBG Program Contact Person is:

Nicole Taylor, Bureau Chief
Human Services Department/Income Support Division
Work and Family Support Bureau
PO Box 2348
Santa Fe, NM 87504-2348
Telephone: (505) 827-7287 Fax: (505) 827-7259

The State Fiscal Contact Person is:

Donna Sandoval, Deputy Director
Human Services Department/Administrative Services Division
PO Box 2348
Santa Fe, NM 87504-2348
Telephone: (505) 827-7057 Fax: (505) 827-7187

Should you have question, comments, or concerns regarding the New Mexico CSBG State Plan, please call Nicole Taylor at (505) 827-7287 or Arleen Martinez, Staff Manager at (505) 827-7227.

Sincerely,

Marilyn Martinez, Acting Director
Income Support Division

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

Susana Martinez
Governor

May 18, 2011

Sidonie Squier
Cabinet Secretary
Human Services Department
P O Box 2348
Santa Fe, New Mexico 87504-2348

Dear Secretary Squier,

I hereby delegate to you as Cabinet Secretary, Sidonie Squier of the New Mexico Human Services Department (NMHSD), grantee for the Community Services Block Grant (CSBG), the authority to sign the Assurances, Certifications and Reports for this program, as required by the U.S. Department of Health and Human Services. This authority shall be delegated to you for the length of time you are in the position of NMHSD Cabinet Secretary.

Sincerely,

A handwritten signature in black ink, appearing to read "S. Martinez".

Susana Martinez
Governor

Section VI. Appendix B-4

CSBG Policy and Procedures Manual

<http://www.hsd.state.nm.us/isd/cap.html>

Section VI. Appendix B-5

**Outcomes of Efforts FFY 2012
National Performance Indicators**

New Mexico

Outcomes of Efforts, FY 2012 - NPI 1.1

Number of Agencies Reporting: 6

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

Employment

The number and percentage of low-income participants who get a job or become self-employed, as a result of Community Action Assistance, as measured by one or more of the following:

	I.) Number of Participants Enrolled in Program(s) (#)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period [(III/II=IV) (%)
A. Unemployed and obtained a job	4	571	409	91.29%
B. Employed and maintained a job for at least 90 days	3	909	620	90.38%
C. Employed and obtained an increase in employment income and/or benefits	5	322	172	89.58%
D. Achieve "living wage" employment and/or benefits	2	70	70	100.00%

NPI Additional Indicators, FY 2012 - NPI 1.1

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

National Performance Indicator 1.1

Employment

Agency Name: **Economic Council Help Others, Inc.**

Employed with no increase in employment income.

	I.) Number of Participants Enrolled in Program(s) (#)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period (III/II=IV) (%)
Employed with no increase in employment income.	22	20	20	100.00%

Number of Agencies Reporting: 6

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

Employment Supports

The number of low-income participants for whom barriers to initial or continuous employment are reduced or eliminated through assistance from Community Action, as measured by one or more of the following:

	I.) Number of Participants Enrolled in Programs (#)	II.) Number of Participants Achieving Outcome in Reporting Period (#)
A. Obtained skills/competencies required for employment	5 3,927	3,888
B. Completed ABE/GED and received certificate or diploma	3 256	139
C. Completed post-secondary education program and obtained certificate or diploma	2 24	20
D. Enrolled children in before or after school programs	2 735	735
E. Obtained care for child or other dependant	6 3,158	3,158
F. Obtained access to reliable transportation and/or driver's license	2 266	266
G. Obtained health care services for themselves and/or family member	4 1,566	1,566
H. Obtained and/or maintained safe and affordable housing	3 378	378
I. Obtained food assistance	3 2,222	2,028
J. Obtained non-emergency LIHEAP energy assistance	3 721	449
K. Obtained non-emergency WX energy assistance	2 74	74
L. Obtained other non-emergency energy assistance (State/local/private energy programs. Do not include LIHEAP or WX)	3 1,789	1,789

NPI Additional Indicators, FY 2012 - NPI 1.2

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

National Performance Indicator 1.2

Employment Supports

Agency Name: **HELP-New Mexico**

Obtained clothing, tools, licenses, and/or testing in support of employment stability.
Obtained career guidance assistance in order to gain employment.

**I.) Number of
Participants
Enrolled in
Programs (#)**

**II.) Number of
Participants
Achieving
Outcome in
Reporting
Period (#)**

295	295
512	512

Number of Agencies Reporting: 5

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

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 one or more of the following:

Enhancement A. Number and percent of participants in tax preparation programs who qualified for any type of Federal or State tax credit and the expected aggregated dollar amount of credits

Enhancement B. Number and percent of participants who obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments

Enhancement C. Number and percent of participants who were enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings

I.) Number of Participants Enrolled in Programs (#)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period [(III/II=IV) (%)	V.) Aggregated Dollar Amounts (Payments, Credits, or Savings) (\$)
4	3,735	3,945	105.62%	\$2,644,475
1	1	1	100.00%	\$810
4	3,880	3,756	96.80%	\$242,957

Number of Agencies Reporting: 6

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

Economic Asset Enhancement and Utilization

	I.) Number of Participants Enrolled in Programs (#)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period [III/II=IV] (%)	V.) Aggregated Dollar Amounts (Payments, Credits, or Savings) (\$)
Utilization D. Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days	4	240	181	91.16%	
Utilization E. Number and percent of participants opening an Individual Development Account (IDA) or other savings account	3	99	55	105.45%	
Utilization F. Number and percent of participants who increased their savings through IDA or other savings accounts and the aggregated amount of savings	3	121	77	103.90%	\$223,754
Utilization G. Number and percent of participants capitalizing a small business with accumulated IDA or other savings	2	42	22	100.00%	\$110,368
Utilization H. Number and percent of participants pursuing post-secondary education with accumulated IDA or other savings	2	28	17	111.76%	\$47,888
Utilization I. Number and percent of participants purchasing a home with accumulated IDA or other savings	3	24	13	92.31%	\$60,037
Utilization J. Number and percent of participants purchasing other assets with accumulated IDA or other savings	0				

NPI Additional Indicators, FY 2012 - NPI 1.3

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

National Performance Indicator 1.3

Economic Asset Enhancement and Utilization

	I.) Number of Participants Enrolled in Programs (#)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period [(III/I=IV) (%)	V.) Aggregated Dollar Amounts (Payments, Credits, or Savings) (\$)
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Agency Name: **Community Action Agency of Southern New Mexico**

Number and percent of participants who completed financial literacy training.	7	7	7	100.00%	

Agency Name: **Economic Council Help Others, Inc.**

Number and percent of participants who completed financial literacy training.	59	59	59	100.00%	

NPI Additional Indicators, FY 2012 - NPI 1.3

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

National Performance Indicator 1.3

Economic Asset Enhancement and Utilization

	I.) Number of Participants Enrolled in Programs (#)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period [III/II=IV] (%)	V.) Aggregated Dollar Amounts (Payments, Credits, or Savings) (\$)
Agency Name: HELP-New Mexico					
Number and percent of participants who completed financial literacy training.	14	14	14	100.00%	

Number of Agencies Reporting: 5

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

Community Improvement and Revitalization

Increase in, or safeguarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Action projects/initiatives or advocacy with other public and private agencies, as measured by one or more of the following:

	I.) Number of Projects or Initiatives (#)	II.) Number of Opportunities and/or Community Resources Preserved or Increased (#)
A. Jobs created, or saved, from reduction or elimination in the community	3 7	503
B. Accessible "living wage" jobs created, or saved, from reduction or elimination in the community	2 2	70
C. Safe and affordable housing units created in the community	2 3	44
D. Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy	3 7	464
E. Accessible safe and affordable health care services/facilities for low-income people created, or saved from reduction or elimination	1 2	142
F. Accessible safe and affordable child care or child development placement opportunities for low-income families created, or saved from reduction or elimination	5 7	830
G. Accessible before-school and after-school program placement opportunities for low-income families created, or saved from reduction or elimination	1 1	23
H. Accessible new or expanded transportation resources, or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation	3 7	537
I. Accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and post secondary education	4 12	2,975

NPI Additional Indicators, FY 2012 - NPI 2.1

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

National Performance Indicator 2.1

Community Improvement and Revitalization

**I.) Number of
Projects or
Initiatives (#)**

**II.) Number of
Opportunities
and/or Community
Resources Preserved
or Increased (#)**

Agency Name: **Southeast New Mexico Community Action Corporation**

Accessible safe and affordable Adult Day Care placement opportunities created or maintained.
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2

104

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Number of Agencies Reporting: 6

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

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 one or more of the following:

	I.) Number of Program Initiatives or Advocacy Efforts (#)	II.) 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	3
B. Increase in the availability or preservation of community facilities	2	1,593
C. Increase in the availability or preservation of community services to improve public health and safety	4	372
D. Increase in the availability or preservation of commercial services within low-income neighborhoods	0	
E. Increase in or preservation of neighborhood quality-of-life resources	5	512

NPI Additional Indicators, FY 2012 - NPI 2.2

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

National Performance Indicator 2.2

Community Quality of Life and Assets

I.) Number of Program Initiatives or Advocacy Efforts (#)

II.) Number of Community Assets, Services, or Facilities Preserved or Increased (#)

Agency Name: **Community Action Agency of Southern New Mexico**

Increase in the availability of food nutrition and preparation information.	3	83

Agency Name: **Eastern Plains Community Action Agency**

Increase in the availability of food nutrition and preparation information.	1	40

Agency Name: **Economic Council Help Others, Inc.**

Increase in the availability of food nutrition and preparation information.	2	24

Agency Name: **HELP-New Mexico**

Increase in the availability of food nutrition and preparation information.	1	40

NPI Additional Indicators, FY 2012 - NPI 2.2

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

National Performance Indicator 2.2

Community Quality of Life and Assets

I.) Number of
Program
Initiatives or
Advocacy
Efforts (#)

II.) Number of
Community
Assets, Services,
or Facilities
Preserved or
Increased (#)

Agency Name: **Southeast New Mexico Community Action Corporation**

Increase in the availability of food nutrition and preparation information.

4

42

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Number of Agencies Reporting: 6

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

Community Engagement

The number of community members working with Community Action to improve conditions in the community.

**I.) Total
Contribution by
Community (#)**

A. Number of community members mobilized by Community Action that participate in community revitalization and anti-poverty initiatives

6	4,044
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B. Number of volunteer hours donated to the agency
(This will be ALL volunteer hours)

6	376,475
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Number of Agencies Reporting: 1

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

Employment Growth from ARRA Funds

The total number of jobs created or saved, at least in part by ARRA funds, in the community.

I.) Number of Jobs (#)

A. Jobs created at least in part by ARRA funds

0	
---	--

B. Jobs saved at least in part by ARRA funds

1	12
---	----

Number of Agencies Reporting: 6

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

Community Enhancement through Maximum Feasible Participation

The number of volunteer hours donated to Community Action

I.) Total
Number of
Volunteer

A. Total number of volunteer hours donated by low-income individuals to Community Action (This is ONLY the number of volunteer hours from individuals who are low-income)

6	245,270
---	---------

Number of Agencies Reporting: 6

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

Community Enhancement through Maximum Feasible Participation

The number of low-income people mobilized as a direct result of Community Action initiatives to engage in activities that support and promote their own well-being and that of their community, as measured by one or more of the following:

I.) 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	5	91
B. Number of low-income people acquiring businesses in their community as a result of Community Action assistance	2	140
C. Number of low-income people purchasing their own home in their community as a result of Community Action assistance	3	14
D. Number of low-income people engaged in non-governance community activities or groups created or supported by Community Action	6	4,154

Number of Agencies Reporting: 6

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

Expanding Opportunities through Community-Wide Partnerships

The number of organizations, both public and private, that Community Action actively works with to expand resources and opportunities in order to achieve family and community outcomes.

	I.) Unduplicated Number of Organizations (#)	II.) Number of Partnerships (#)
A. Non-Profit	6 363	456
B. Faith Based	6 154	190
C. Local Government	6 279	362
D. State Government	6 108	237
E. Federal Government	6 40	49
F. For-Profit Business or Corporation	5 615	682
G. Consortiums/Collaboration	4 37	37
H. Housing Consortiums/Collaboration	5 36	45
I. School Districts	6 61	74
J. Institutions of postsecondary education/training	6 48	100
K. Financial/Banking Institutions	6 40	45
L. Health Service Institutions	6 116	155
M. State wide associations or collaborations	6 20	26

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

1	1	1
1	1	3
0		

N. Total number of organizations and total number of partnerships CAAs work with to promote family and community outcomes (automatically calculates)

1,919	2,462
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NPI Additional Indicators, FY 2012 - NPI 4.1

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

National Performance Indicator 4.1

Expanding Opportunities through Community-Wide Partnerships

Agency Name: **Economic Council Help Others, Inc.**

Navajo Tribe

Jicarilla Apache Tribe

I.) Number of Organizations (#)

II.) Number of Partnerships (#)

1 1

1 3

Number of Agencies Reporting: 6

Goal 5: Agencies increase their capacity to achieve results

Agency Development

The number of human capital resources available to Community Action that increase agency capacity to achieve family and community outcomes, as measured by one or more of the following:

	I.) Resources in Agency (#)	
A. Number of Certified Community Action Professionals	0	
B. Number of Nationally Certified ROMA Trainers	0	
C. Number of Family Development Certified Staff	5	37
D. Number of Child Development Certified Staff	6	255
E. Number of Staff attending trainings	6	873
F. Number of Board Members attending trainings	6	71
G. Hours of staff in trainings	6	28,971
H. Hours of Board Members in trainings	6	918

NPI Additional Indicators, FY 2012 - NPI 5.1

Goal 5: Agencies increase their capacity to achieve results

National Performance Indicator 5.1

Agency Development

I.) Resources in Agency (#)

Agency Name: **Eastern Plains Community Action Agency**

Number of policy council members attending training.	21
Hours of policy council members in training.	168

Agency Name: **HELP-New Mexico**

Number of policy council members attending training.	20
Hours of policy council members in training.	200

Agency Name: **Mid-West NM Community Action Program**

Number of policy council members attending training.	15
Hours of policy council members in training.	105

Agency Name: **Southeast New Mexico Community Action Corporation**

Number of policy council members attending training	8
Hours of policy council members in training	12

Number of Agencies Reporting: 6

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

Independent Living

The number of vulnerable individuals receiving services from Community Action who maintain an independent living situation as a result of those services:

I.) Number of Vulnerable Individuals Living Independently (#)

A. Senior Citizens (seniors can be reported twice, once under Senior Citizens and again if they are disabled under Individuals with Disabilities, ages 55-over)

6	19,849
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B. Individuals with Disabilities

Ages:

0-17

4	553
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18-54

4	1,541
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55-over

4	2,248
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Age Unknown

3	1,250
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TOTAL individuals with disabilities

5,592

NPI Additional Indicators, FY 2012 - NPI 6.1

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

National Performance Indicator 6.1

Independent Living

Agency Name: **HELP-New Mexico**

I.) Number of
Vulnerable
Individuals Living
Independently (#)

Children 5 and under identified as vulnerable per LIHEAP REACH program regulation.

58

Number of Agencies Reporting: 6

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

Emergency Assistance

The number of low-income individuals served by Community Action who sought emergency assistance and the number of those individuals for whom assistance was provided, including such services as:

	I.) Number of Individuals Seeking Assistance (#)	II.) Number of Individuals Receiving Assistance (#)
A. Emergency Food	4 40,873	38,649
B. Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources	6 18,855	6,303
C. Emergency Rent or Mortgage Assistance	5 5,612	1,283
D. Emergency Car or Home Repair (i.e. structural, appliance, heating system, etc.)	1 241	124
E. Emergency Temporary Shelter	1 161	2
F. Emergency Medical Care	4 151	141
G. Emergency Protection from Violence	0	
H. Emergency Legal Assistance	1 15	15
I. Emergency Transportation	1 455	408
J. Emergency Disaster Relief	0	
K. Emergency Clothing	3 3,270	3,198

NPI Additional Indicators, FY 2012 - NPI 6.2

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

National Performance Indicator 6.2

Emergency Assistance

I.) Number of
Individuals
Seeking
Assistance (#)

II.) Number of
Individuals
Receiving
Assistance (#)

Agency Name: **Economic Council Help Others, Inc.**

Emergency Funeral Assistance

9

2

Agency Name: **Mid-West NM Community Action Program**

Emergency School Supplies

87

87

New Mexico

Outcomes of Efforts, FY 2012 - NPI 6.3

Number of Agencies Reporting: 6

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

Child and Family Development

The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs who achieve program goals, as measured by one or more of the following:

		I.) Number of Participants Enrolled in Program(s) (#)	II.) Number of Participants Expected to Achieve Outcome in Reporting Period (Target) (#)	III.) Number of Participants Achieving Outcome in Reporting Period (Actual) (#)	IV.) Percentage Achieving Outcome in Reporting Period <small>(III/II=IV) %</small>
Infant and Child A. Infants and children obtain age appropriate immunizations, medical, and dental care.	6	5,877	5,504	5,792	105.23%
Infant and Child B. Infant and child health and physical development are improved as a result of adequate nutrition	6	13,819	13,427	13,719	102.17%
Infant and Child C. Children participate in pre-school activities to develop school readiness skills	6	4,095	4,143	4,096	98.87%
Infant and Child D. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade	5	1,619	1,619	1,619	100.00%
Youth E. Youth improve health and physical development	2	347	347	347	100.00%
Youth F. Youth improve social/emotional development	4	908	908	905	99.67%
Youth G. Youth avoid risk-taking behavior for a defined period of time	3	776	776	776	100.00%
Youth H. Youth have reduced involvement with criminal justice system	3	776	776	776	100.00%
Youth I. Youth increase academic, athletic, or social skills for school success	3	939	939	928	98.83%
Adult J. Parents and other adults learn and exhibit improved parenting skills	5	1,473	1,466	1,433	97.75%
Adult K. Parents and other adults learn and exhibit improved family functioning skills	4	973	966	973	100.72%

Number of Agencies Reporting: 6

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

Family Supports (Seniors, Disabled, and Caregivers)

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, as measured by one or more of the following:

- A. Enrolled children in before or after school programs
- B. Obtained care for child or other dependant
- C. Obtained access to reliable transportation and/or driver's license
- D. Obtained health care services for themselves or family member
- E. Obtained and/or maintained safe and affordable housing
- F. Obtained food assistance
- G. Obtained non-emergency LIHEAP energy assistance
- H. Obtained non-emergency WX energy assistance
- I. Obtained other non-emergency energy assistance (State/local/private energy programs. Do not include LIHEAP or WX)

	I.) Number of Participants Enrolled in Program(s) (#)	II.) Number of Participants Achieving Outcome in Reporting Period (#)
A.	0	
B.	3	138
C.	2	1,376
D.	3	1,294
E.	2	129
F.	5	13,405
G.	2	152
H.	2	107
I.	3	1,390

Number of Agencies Reporting: 6

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

Service Counts

The number of services provided to low-income individuals and/or families, as measured by one or more of the following:

	I.) Number of Services (#)	
A. Food Boxes	5	650,614
B. Pounds of Food	3	6,138,803
C. Units of Clothing	3	3,483
D. Rides Provided	3	13,452
E. Information and Referral Calls	6	35,976

NPI Additional Indicators, FY 2012 - NPI 6.5

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

National Performance Indicator 6.5

Service Counts

I.) Number of Services (#)

Agency Name: **HELP-New Mexico**

Weatherization and Energy Kits Provided

88

Energy/Safety Information Distributed

297

Section VI. Appendix B-6

Certifications

Environmental Tobacco Smoke

Lobbying

Drug Free Workplace Requirements

Debarment, Suspension and Other Responsibility Matters

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 the 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.

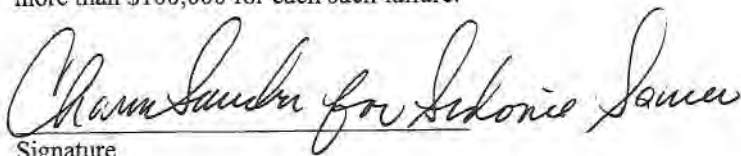
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Reporting 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 \$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 \$10,000 and not more than \$100,000 for each such failure.



Signature

Secretary

Title

New Mexico Human Services Department

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.

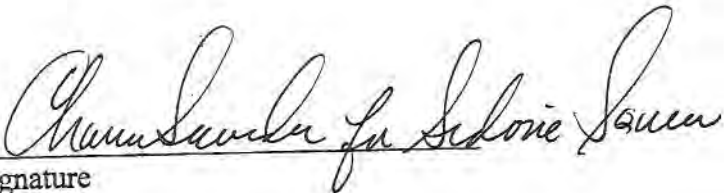
Alternate II. (Grantees Who Are Individuals)

(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.

Cherissa Saavedra for Sidone Saucedo

Signature

Secretary

Title

New Mexico Human Services Department

Organization