



STATE OF NEW MEXICO
HUMAN SERVICES DEPARTMENT
HUMAN SERVICES REGISTER

I. DEPARTMENT

Human Services Department

II. SUBJECT

Community Services Block Grant (CSBG) State Plan

III. PROGRAMS AFFECTED

Community Services Block Grant (CSBG)

IV. ACTION

Proposed CSBG State Plan

V. BACKGROUND

The Human Service Department is required by the Federal Community Opportunity Accountability Training and Education Services (COATES) Reauthorization Act of 1998 to submit a State Plan to the U.S. Department of Health and Human Services, Office of Community Services in order to receive a grant or allotment for the CSBG program. The Department is required to offer a 30-day comment period for the CSBG State Plan prior to submittal.

VI. PROPOSED STATE PLAN

The proposed CSBG State Plan is available on the Human Services Department website at: <http://www.hsd.state.nm.us/LookingForInformation/income-support-division-plans-and-reports.aspx>. If you do not have Internet access, a copy of the proposed State Plan may be requested by contacting the Income Support Division's Work and Family Support Bureau (WFSB) at 505-827-7251.

VII. EFFECTIVE DATE

October 1, 2015

VIII. PUBLIC HEARING

A public hearing will be held at 11:00 am on July 30, 2015. The hearing will be held at the Income Support Division Conference Room, 2009 S. Pacheco St., Santa Fe, NM, 87505. Parking accessible for persons with physical impairments is available.

Individuals wishing to testify may contact the Income Support Division, P.O. Box 2348, Santa Fe, NM 87504-2348, or by calling 505-827-7251.

If you are a person with a disability and you require this information in an alternative format, or you require a special accommodation to participate in any HSD public hearing, program, or service, please contact the American Disabilities Act Coordinator, at 505-827-7701 or through the New Mexico Relay system, at 711 or toll free at 1-800-659-1779. The Department requests at least a 10-day advance notice to provide requested alternative formats and special accommodations.

IX. ADDRESS

Interested persons may address written or recorded comments to:

Human Services Department
P.O. Box 2348 Pollon Plaza
Santa Fe, NM 87504-2348

Interested persons may also address comments via electronic mail to:
HSD-isdrules@state.nm.us

X. PUBLICATION

Publication of these regulations approved on June 12, 2015 by:



BRENT EARNEST, SECRETARY
HUMAN SERVICES DEPARTMENT

Community Services Block Grant (CSBG) Model State Plan

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- C. New Mexico Community Action Act**
- D. CSBG Monitoring Tool**
- E. Federal Certifications for Lobbying, Drug Free Workplace Requirements, Debarment, and Environmental Tobacco Smoke**

SECTION 1

Designation of Lead Agency and Official State Designation Letter

- 1.1.** Lead Agency designated to administer CSBG in the State, as required by Section 676(a) of the Act. The following information should mirror the information provided in the SF-424M.

1.1a. Agency Name

New Mexico Human Services Department (HSD)

- 1.1b.** Identify the cabinet or administrative department of this Agency

Community Services Department

Human Services Department

Social Services Department

Governor's Office

Community Affairs Department

Other, describe: _____

- 1.1c.** Name the division, bureau, or office of the CSBG Authorized Official
Income Support Division

- 1.1d.** Authorized Official of Lead Agency

Brent Earnest, Cabinet Secretary, New Mexico Human Services Department

Instructional note: The Authorized Official could be the Director, Secretary, Commissioner etc. as assigned in the designation letter

- 1.1e.** Street Address

2009 South Pacheco Street

- 1.1f.** City

Santa Fe

- 1.1g.** State

New Mexico

- 1.1h.** Zip

87504

- 1.1i.** Telephone Number and Extension

505.827.7750

- 1.1j.** Fax Number

505.827.6286

- 1.1k.** Email Address

Brent.Earnest@state.nm.us

- 1.1l.** Website

<http://www.hsd.state.nm.us/>

- 1.2.** Please provide the following information in relation to the designated State CSBG Contact.

Instructional Note: The State CSBG Contact should be the person that will be the main point of contact for CSBG within the State.

1.2a. Agency Name

New Mexico Human Services Department /Income Support Division

1.2b. Point of Contact

Darlene Maestas

1.2c. Street Address

2009 South Pacheco Street

1.2d. City

Santa Fe

1.2e. State

New Mexico

1.2f. Zip

87504

1.2g. Telephone Number

505.827.7287

1.2h. Fax Number

505.827.7259

1.2i. Email Address

Darlene.Maestas@state.nm.us

1.2j. Website

<http://www.hsd.state.nm.us>

- 1.3.** Please attach the State's official designation letter. If either the governor or designated agency has changed, please update the letter.

The Designation letter is attached as Appendix A.

The CSBG State Contact Information Sheet is attached as Appendix B.

Instructional Note: The letter should be from the chief executive officer of the State and include the designated State CSBG Lead Agency, the designated State CSBG Official who is to receive the CSBG grant award, the CSBG Contact Person, and complete addresses and contact information for the agency and individuals.

SECTION 2
State Legislation and Regulation

- 2.1. **CSBG State Legislation** Does the State have a statute authorizing CSBG? Yes No
- 2.2. **CSBG State Regulation** Does the State have regulations for CSBG? Yes No
- 2.3. Attach a copy (or copies) of legislation and/or regulations, as appropriate. **New Mexico Community Action Act, attached as Appendix C**
- 2.4. **State Authority:** Please select a response for each question about the State statute and/or regulations authorizing CSBG:
- 2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? Yes No
- 2.4b. Did the State establish or amend regulations for CSBG last year? Yes No
- 2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? Yes No

SECTION 3

State Plan Development and Statewide Vision and Goals

- 3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the State agency that serves as the CSBG Lead Agency.

The mission of the New Mexico Human Services Department (HSD) 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.

- 3.2. State Plan Vision and Goals:** Describe the State's vision (which encompasses the use of CSBG) and CSBG-specific goals under this State Plan.

HSD's Strategic Goals for FY 2016 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 of the State of New Mexico's CSBG program are derived from the Federal and State Statutes, and the mission of HSD. The CSBG program addresses the reduction of poverty, the revitalization of low-income communities, the empowerment of low-income families and individuals in rural and urban areas to break the cycle of dependency on public assistance become fully self-sufficient, and afford everyone the opportunity to live in decency and dignity. To achieve these goals, the CSBG State Office will ensure that CSBG funds are used to provide a wide range of services and activities that have a measurable impact on the causes of poverty.

- 3.3. State Plan Development:** Indicate the information and input the State accessed to develop this State Plan.

3.3a. Analysis of

State National Performance Indicators (NPIs)

U.S. Census data

State performance management data (e.g., accountability measures, other information from annual reports)

Other data (please describe) **Comments received at the public hearing, recommendations received at the legislative hearing**

Eligible entity community assessments

Eligible entity plans

Other information from eligible entities, e.g., State required reports (please describe) _____

3.3b. Consultation with

Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)

State community action association and regional CSBG T & TA providers

State partners and/or stakeholders (please describe) _____

- National organizations (please describe)
- Federal Office of Community Services
- Other (please describe) _____

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

The State distributed the draft State Plan to eligible entities and requested comments.

If this is the first year filling out the automated State Plan, please skip the following question.

3.4b. Performance Management Adjustment: How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order 1) to encourage eligible entity participation and 2) to ensure the State plan reflects input from eligible entities? Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources. If the State is not making any adjustments, please explain.

N/A

SECTION 4 CSBG Hearing Requirements

4.1. Public Notice/Hearing Describe how the State made this State plan or revision to the State plan available for public inspection, as required under Section 676(e)(2) of the Act.

A public hearing will be scheduled for July 30, 2015, in Santa Fe, New Mexico. The notices of public hearing will be published in the Albuquerque Journal and the New Mexico Register, and distributed to interested parties. The notices will also provide a telephone number individuals can call to obtain a copy of the state plan. Copies of the State plan will be available at the hearing. The plan will be available for public comment on the Department's website at:

<http://www.hsd.state.nm.us/LookingForInformation/income-support-division-plans-and-reports.aspx>. Copies of the plan were sent to all Community Action Agencies in New Mexico and their Association.

4.2. Public Notice/Hearing Describe how the State ensured there was sufficient time and statewide distribution of notice of the hearing(s) to allow the public to comment.

Thirty days before the public hearing, the State will publish a notice of public hearing in the Albuquerque Journal and the New Mexico Register, and distributed to interested parties. This newspaper is available throughout the State and is the publication utilized for statewide public announcements. The Register is the official publication for notices of rulemaking and other materials related to administrative law.

4.3. Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State plan, as required under 676(a)(2)(B) and 676(a)(3) of the Act. (If the State has not held a public hearing in the prior fiscal year or a legislative hearing in the last three years, please provide a complete explanation).

A public hearing will be scheduled for July 30, 2015 in Santa Fe, New Mexico.

A legislative hearing will be scheduled with the interim Legislative Health and Human Services Committee (LHHS)

Instructional Note: Please note the date(s) for the public hearing(s) must have occurred in the year prior to the first Federal fiscal year covered by this plan. Legislative hearings are held at least every three years, and must have occurred within the last three years prior to the first Federal Fiscal Year covered by this plan.

Date	Location	Type of Hearing
July 30, 2015 -- Proposed date	2009 South Pacheco Street Santa Fe, NM 87504	Public
As scheduled by LHHS	411 State Capital, Santa Fe, NM 87501	Legislative

4.4. Attach supporting documentation for the public and legislative hearings.

The final State Plan will include the Notice of Public Hearing, and the Legislative Hearing meeting agenda.

SECTION 5
CSBG Eligible Entities

5.1. CSBG Eligible Entities: In the table below, list each CSBG-funded eligible entity in the State, and indicate public or private, the type of agency, and the geographical area served.

CSBG Eligible Entity	Public or Nonprofit	Type of Agency (choose all that apply)	Geographical Area Served
Community Action Agency of Southern New Mexico (CAASN) 3880 Foothills Rd Ste A Las Cruces, NM 88011	Nonprofit	Community Action Agency (CAA)	Counties: Dona Ana, Grant, Hidalgo, Luna, Sierra
Eastern Plains Community Action Agency (EPCAA) 210 West Center Tucumcari, NM 88401	Nonprofit	CAA	Counties: Curry, DeBaca, Guadalupe, Harding, Quay, Roosevelt, Union
Economic Council Helping Others, Inc. (ECHO) 1921 E. Murray Dr. Farmington, NM 87401	Nonprofit	CAA	Counties: San Juan
HELP-New Mexico, Inc. (HELP NM) 5101 Copper NE Albuquerque, NM 87108	Nonprofit	CAA; migrant/seasonal farmworker services	Counties: Bernalillo, Colfax, Los Alamos, Mora, Rio Arriba, San Miguel, Santa Fe, Sandoval, Taos, Torrance; statewide seasonal farmworker services
Mid-West New Mexico Community Action Program (MWCAP) 549 Don Pasqual Rd Los Lunas, NM 87103	Nonprofit	CAA	Counties: Catron, Cibola, McKinley, Socorro, Valencia
Southeast New Mexico Community Action Corporation (SNMCAC) 1915 San Jose Blvd Carlsbad, NM 88220	Nonprofit	CAA	Counties: Chaves, Eddy, Lea, Lincoln, Otero

5.2 Total number of CSBG eligible entities: 6

5.3 **Changes to Eligible Entities list:** Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? If yes, please briefly describe the changes. Yes No

SECTION 6 Organizational Standards

Organizational Standards for CSBG eligible entities

- 6.1.** Please check the box that applies. If using alternative standards, please a) attach the complete list of alternative organizational standards, b) describe the reasons for using alternative standards, and c) provide evidence that the standards are at least as rigorous as the COE-developed standards.
- The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)
- The State will use an alternative set of organizational standards
- 6.2.** How will/has the State officially adopt(ed) organizational standards for eligible entities in the State? If "Other" is selected, please provide a timeline and additional information, as necessary.
- Regulation
- Policy
- Contracts with eligible entities
- Other, describe:
- 6.3.** How will the State assess eligible entities against organizational standards? If "Other" is selected, please provide additional information, as appropriate.
- Peer-to-peer review (with State validation)
- Self-assessment (with State validation)
- Regular, on-site CSBG monitoring

For FY 2016, Year 1 of this two year State Plan, all eligible entities will prepare a self-assessment, including supporting documentation, and submit the assessment/documentation to the CSBG State Office. The State Office will review and validate the assessment and documentation. For 2017, Year 2, the standards will be assessed as part of State's regular, biennial onsite monitoring for those eligible entities scheduled for monitoring. The eligible entities not scheduled for 2017 onsite monitoring will prepare and submit a self-assessment, which the State Office will validate, as described for Year 1.

Other, describe:

- 6.4.** Briefly describe State procedures for corrective action based on organizational standards. The State Office will schedule individual meetings with each eligible entity to discuss the results of the State validation. For those standards the State has determined are not met, the State will explain its rating. If the eligible entity and the State Office disagree as to whether a specific standard is met, the eligible entity will be permitted to provide supplemental documentation to support its rating. The State Office will be responsible for the final ratings for the organizational standards for each eligible entity. For those standards that are not met, the State and eligible entity will discuss and identify the most appropriate training or technical assistance plan and develop a timeframe, including periodic updates on progress, to meet the standard(s). The results of the State's validation of the eligible entity's assessment, and the training and technical assistance plan and timeframe, will be provided in a written report to the eligible entity. The CSBG State Office will

monitor the eligible entity's progress in achieving the standard. During the period covered by this State Plan, it is anticipated that the corrective action related to the organizational standards will consist of training and technical assistance. The State CSBG Office will follow the formal procedures required prior to a possible reduction or termination of funding to an eligible entity in the event an eligible refuses to implement the COE Standards or fails to make measurable progress in meeting the standards.

- 6.5. If the State is using the COE-developed organizational standards, will the State slightly modify the standards, as described in IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*? Yes No

6.5a. If yes was selected in Item 6.5, describe how the State will modify the COE-developed organizational standards, and provide a justification.

For one eligible entity in New Mexico, HELP-NM, the organizational standards that mention the "governing board" will apply to HELP-NM's CSBG Board of Directors. In addition to its ten county CSBG service area, HELP-NM provides a range of services throughout the state, including Head Start, State Pre-K, and the Child and Adult Care Food Program. For over 15 years, HELP-NM has provided governance and oversight through several Boards of Directors. The CSBG Board provides oversight and governance for HELP's CSBG-funded services in its ten county service area and its statewide migrant/seasonal farmworker programs. HELP-NM's Corporate Board provides oversight and governance for all agency programs and services. Several members of the CSBG Board are also members of the Corporate Board.

- 6.6. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*? Yes No

6.6a. If yes was selected in Item 6.6, list which eligible entities, the State will exempt from meeting organizational standards, and provide a justification.

If this is the first year filling out the automated State Plan, please skip the following question.

- 6.7. Target: What percentage of assessed eligible entities in the State does the State expect will meet the State-adopted organizational standards in the next year?

N/A

SECTION 7 State Use of Funds

90 Percent Funds

7.1 Formula: Please select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

- Historic
- X Base + Formula
- Formula Alone
- Formula with Variables
- Hold Harmless + Formula
- Other

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? Yes No

7.2. Planned allocation: Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act. The estimated allocations may be in dollars or percentages. Please complete either column 2, "Funding Amount in \$," OR column 3, "Funding Amount in %."

Planned CSBG 90 Percent Funds				
CSBG Eligible Entity	Year One		Year Two	
	Funding Amount \$	Funding Amount %	Funding Amount \$	Funding Amount %
CAASNМ		17.926		17.926
EPCAA		5.782		5.782
ECHO		7.252		7.252
HELP-NM		41.074		41.074
HELP-NM (migrant)		2.424		2.424
MWNMСAP		12.166		12.166
SNMCAC		13.376		13.376
Total	Totals will be auto-populated		Totals will be auto-populated	

For FY 2016, New Mexico will use its current "Base plus Formula" method for the allocation of the required 90 percent of the CSBG grant. During FY 2016, the State CSBG Office will revise its funding formula. A workgroup of eligible entities will assist the State Office in the research, development, and modeling of possible allocation methods. Statutory provisions at Section 676(b) (8) will be followed in the event of a reduction in proportional share allocation to an eligible entity. Implementation of the new allocation method will be targeted for FY 2017, Year 2 of this State Plan.

7.3. Contracts: Describe the contracting mechanism and timeframe the State uses to distribute funds to the eligible entities.

HSD implements CSBG by awarding four year professional services contracts, amended annually, to the six eligible entities in New Mexico. Following the execution of the contract or amendment, and contingent on the availability of federal funds, compensation is by quarterly advance payments to eligible entities in good standing.

Prior to the start of the state fiscal year (July 1st through June 30th) the CSBG State Office provides each eligible entity with its projected allocation of CSBG funds. Each entity then submits an application for funding. The application includes the following documents.

- **Signed application. The Executive Director and the Board of Directors' Chairperson must sign the application.**
- **Community Needs Assessment and Community Action Plan.**
- **Detailed line item budget showing all projected costs to be charged to CSBG**
- **Budget Justification: A detailed description of the projected costs for each line item in the CSBG budget. The justification identifies the resources and other inputs that will be used to provide the entity's services.**
- **Outcome Plan Form/Scope of Work: This describes the agency's results (outputs and outcomes) using the National Performance Indicators (NPIs) of CSBG's performance measurement system, Results Oriented Management and Accountability (ROMA). The entity provides statements of problems for the service area, the program service (employment, education, emergency, health, housing, self-sufficiency, nutrition, income management, and linkages), program objective, the specific ROMA NPI that applies, and the type and number of units (meals, food boxes, bus tokens, individuals, households, partnerships, etc.) expected to achieve the indicator.**
- **Client Eligibility Criteria and Application Process/Procedures: A description of the process for determining eligibility. The criteria should explain how clients with "special" needs are served (disabled, homebound, homeless, etc.)**
- **The most recent Administrative Cost Report (IRS 990).**
- **The entity's non-discrimination policies.**
- **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 Bylaws of the Board of Directors.**

The CSBG State Office reviews the application and identifies any concerns to the entity. The budget, justification, and outcome may be revised. When finalized, the budget and outcome plan are incorporated into the professional services contract or amendment. The contracts or amendments must be approved within HSD and by other Departments, including the Department of Finance and Administration.

State Legislative or Administrative Approval

7.4. Must the State get State legislative approval (annually or more frequently) or other types of administrative approval before distributing 90 percent funds to eligible entities? If yes, please describe. X Yes No

Prior to the distribution of funds, the professional services contracts or amendments must be approved by HSD and other Executive Departments, including the Department of Finance and Administration.

7.4a. If yes was selected in previous question, how many business days does this process generally take? **Approximately 60 days**

7.4b. Please describe the approval process.

The contracts/amendments are reviewed by HSD's Contracts and Budget Bureaus, the Office of General Counsel, and the Office of the Secretary. Following approval within HSD, the contracts are reviewed by the Tax and Revenue Department, and the Department of Finance and Administration (DFA). The contracts/amendments are effective upon approval by DFA.

7.5. **Distribution Timeframe after State authority:** After getting State authority, the State expects to make funds available to eligible entities within how many calendar days?

- 1 to 14 calendar days
- X 15 to 30 calendar days
- Over 30 calendar days, specify number of days
- Varies

Note: This information is associated with State Accountability Measure 2Sa; the response may pre-populate the State's annual report form.

7.5a. Please explain the process for making funds available after receiving State authority. Take into the account the time frame that the State specified under Item 7.5. Also include information about agency approval, contractual procedures, etc., as appropriate.

Eligible entities in good standing are eligible to receive quarterly advances, contingent on the availability of federal funds. Each advance amount is 3/12th of the total contract compensation. Upon CSBG State Office request, each eligible entity submits a written request for the advance amount. The CSBG State Office reviews and authorizes the payment using HSD's accounting software. The payment is processed by HSD's accounts payable unit and approved by DFA.

If this is the first year filling out the automated State Plan, please skip the following question.

7.6. **Performance Management Adjustment:** How is the State improving grant administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources. If the State is not making any improvements, please explain.

N/A

Administrative Funds [675C (b) (2) of the CSBG Act]

7.7. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State plan? The estimate may be in dollars or a percentage.

Five percent of each annual grant.

7.8. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? **Five**

7.9. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? **Two**

Remainder/Discretionary Funds [Section 675C (b) of the Act]

7.10. Describe how the State plans to use remainder/discretionary funds, as described in Section 675C (b) of the Act, as required by the assurance in 676(b) (2) of the CSBG Act.

Instructional Note: The information entered in the table below will pre-populate the corresponding assurance [676(b) (2)] under Item 14.2 in the “CSBG Programmatic Assurances and Information Narrative.” Please note: the assurance under 676(b) (2) of the Act specifically requires a description of how the State intends to use remainder/discretionary funds to “support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act].” Please include this description in row “f” of the table below and/or attach the information.

Use of Remainder/Discretionary Funds					
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year One		Year Two		Brief description of services/activities
	Planned \$	Planned %	Planned \$	Planned %	
a. Training/technical assistance to eligible entities		45%		50%	[Not Fillable] These planned services/activities will be described in State Plan Item 8.1
b. Coordination of State-operated programs and/or local programs		5%		5%	[Not Fillable] These planned services/activities will be described in in State Plan Items 9.3 – 9.5
c. Statewide coordination and communication among eligible entities		0%		0%	[Not Fillable] These planned services/activities will be described in State Plan Item 9.1 and 9.2
d. Analysis of distribution of CSBG funds to determine if targeting greatest need		5%		0%	As described in 7.1 A above, the State will revise its method of allocation. Funds will be used for analysis and modeling.

Use of Remainder/Discretionary Funds					
Remainder/ Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Year One		Year Two		Brief description of services/activities
	Planned \$	Planned %	Planned \$	Planned %	
e. Asset-building programs		0%		0%	The use of discretionary funds for asset building programs is not anticipated.
f. Innovative programs/activities by CAAs or other neighborhood groups (may include fatherhood and strengthening families initiatives)		15%		15%	Funds will be given to eligible entities for innovative direct service programs for low-income individuals and families
g. State charity tax credits		0%		0%	Not applicable in New Mexico
h. Other activities, specify An Award to the New Mexico Association of eligible entities		30%		30%	Technical assistance and training to enable all eligible entities to meet the Organizational Standards
i. Other activities, specify Revert to compensation under the professional services contracts with the eligible entities					If the FFY 2016 or FFY 2017 grant amounts allocations for contract compensation, funds may be provided to eligible entities to achieve their contracted outcomes. Funding for other discretionary activities would be reduced commensurately.
Totals	Auto-Calculated	Auto-Calculated	Auto-Calculated	Auto-Calculated	

- 7.11. Indicate the types of organizations to which the State plans to allocate CSBG remainder/discretionary funds (by grant or contract) to carry out the activities in Table 7.10.
- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) 6
 - State association

- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Other _____

If this is the first year filling out the automated State Plan, please skip the following question.

7.12. Performance Management Adjustment: How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources. If the State is not making any adjustments, please explain.

N/A

SECTION 8
State Training and Technical Assistance Plan

8.1. Describe the State’s plan for delivering CSBG funded training and technical assistance to eligible entities under this State plan. (CSBG funding used for this activity is referenced under Item 7.10(a), Use of Remainder/Discretionary Funds).

For Year 1 (Quarters 1-4), the State will provide Training /Technical Assistance (T/TA) to eligible entities to assist them in achieving the Organizational Standards. Available toolkits and resources from national partners (Community Action Partnership, the National Association for State Community Services Programs, etc.) will be made available to all New Mexico eligible entities. The State will also work individually with each eligible entity to identify and deliver entity-specific T/TA related to implementation of the Standards. The State will award funds to the association of eligible entities, the New Mexico Association of Community Partners (NMACP), to assist with T/TA and to provide the services of certified trainers in Results Oriented Management and Accountability (ROMA), the federally-approved CSBG performance management and measurement system. Based on its Year 1 assessments of the status of the implementation of the Organizational Standards by each eligible entity, in Year 2 (Quarters 5-8) the State will, in conjunction with each eligible entity, develop and implement entity-specific Technical Assistance Plans (TAPs) that target unmet standards and are designed to enable the agency to achieve the standard(s) within one year. NMACP will be awarded discretionary funds to assist in the delivery of entity specific training.

Training and Technical Assistance		
FY Quarter	Training, Technical Assistance, or Both	Category
Dropdown options: <ul style="list-style-type: none"> • Quarter (Q) 1 • Q2 • Q3 • Q4 • Q5 • Q6 • Q7 • Q8 • XX Ongoing / Multiple Quarters • All quarters 	Toggle Options: <ul style="list-style-type: none"> • Training • Technical Assistance • XX Both 	Dropdown Options: <ul style="list-style-type: none"> • Fiscal • Governance/Tripartite Boards • XX Organizational Standards – General • XX Organizational Standards – technical assistance for eligible entities with unmet standards • Reporting • XX ROMA • Community Assessment • Strategic Planning • Monitoring • Communication • Technology • Other

8.2. Does the State have in place Technical Assistance Plans (TAPs) for all assessed eligible entities with unmet organizational standards that could be resolved within one year? Yes No

As described above, TAPs will be implemented in Qs 5-8.

If this is the first year filling out the automated State Plan, please skip the following question.

8.3. Performance Management Adjustment: How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources. If the State is not making any adjustments, please explain.

N/A

SECTION 9 State Linkages and Communication

9.1. State-level Linkages and Coordination: Indicate the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State plan and avoid duplication of services, as described under 675C (b) (1) (B) and as required by the assurance under Section 676(b)(5) of the CSBG Act. Please attach additional information as needed. (CSBG funding used for this activity is referenced under Item 7.10(b), Use of Remainder/Discretionary Funds).

- State Low Income Home Energy Assistance Program (LIHEAP) office
- State Weatherization office
- State Temporary Assistance for Needy Families (TANF) office
- State Head Start office
- State public health office
- State education department
- State Workforce Innovation and Opportunity Act (WIOA) agency
- State budget office
- Supplemental Nutrition Assistance Program (SNAP)
- State child welfare office
- State housing office
- Other: Child Support Enforcement Division

9.2. Local-level Linkages and Coordination: Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under 675C(b)(1)(B) and as required by the assurance under Section 676(b)(5) of the CSBG Act. Please attach additional information as needed. (CSBG funding used for this activity is referenced under Item 7.10(b), Use of Remainder/Discretionary Funds.)

In FY 2014, the eligible entities in New Mexico established 2,539 partnerships with 1,933 public, nonprofit, and private organizations in their service areas to provide resources and opportunities for low-income individuals and families. In FY 2016-2017, the eligible entities will maintain and further develop their partnerships. Illustrative examples of ongoing local partnerships include the following:

- Utilizing the buying power of an eligible entity's food bank, 23 local organizations, including food pantries, women's shelters, and crisis centers saved over \$1 million in food costs for their clients.
- New Mexico's largest eligible entity was awarded a contract under the Workforce Investment Act to provide services to adults and dislocated workers.
- An eligible entity's partnership with Goodwill's senior employment program enabled Goodwill clients to learn job skills at the eligible entity's administrative office.
- An eligible entity's partnership with a community church group resulted in a week-long youth camp. Under supervision, the youth volunteers did simple maintenance and repair work on the homes of 17 elderly, disabled, or low-income residents.

9.3. Coordination among Eligible Entities: Describe State activities for supporting coordination among the eligible entities. (CSBG funding used for this activity is referenced under Item 7.10(c), Use of Remainder/Discretionary Funds.)

The State CSBG Office’s CSBG network communication strategy supports coordination among the six eligible entities in New Mexico. Regular meetings are held among the eligible entities’ Chief Executive Officers/Executive Directors, the Executive Director of the Association, and CSBG State Office staff and managers to share information and to discuss CSBG network issues, challenges, and solutions. The State Office actively facilitates discussions and collaborations between and among eligible entities. In addition, if federal funds are available, the CSBG State Office plans to provide a discretionary award to the eligible entities’ association, the New Mexico Association of Community Partners, to assist with eligible entity coordination across the network in areas, including training.

9.4 Communication with Eligible Entities: In the table below, describe the State’s plan for communicating with eligible entities and partners under this State plan. Include communication about annual hearings and legislative hearings, as described under Section 6, CSBG Hearing Requirements. (CSBG funding used for this activity is referenced under Item 7.10(c), Use of Remainder/Discretionary Funds.)

The State CSBG Office’s CSBG network communication strategy involves frequent contact with the eligible entities and Association using multiple formats. As issues arise, the most appropriate format is used to convey the information, and obtain comments /responses. Below are anticipated topics for FY 2016 and projected frequencies and formats.

Communication Plan

Topic	Expected Frequency	Format (drop down)
Public and Legislative hearings	Dropdown Options: <ul style="list-style-type: none"> • Daily • Weekly • Twice-Monthly X Monthly • Semi-Annually • Annually 	Dropdown Options: <ul style="list-style-type: none"> • Newsletter • Mailing • Meetings/Presentation • Blog X Email • Website • Social Media • Other _____
Development of State Plan	Monthly	Meetings/presentations
Implementation of the Organizational Standards	At least weekly Monthly	Emails Meeting/conference calls
Implementation of Uniform Administrative Guidance, Cost Principles, Audit Requirements	Monthly Semi-annually	Emails Meetings/presentation
Revision of funding method	Monthly Semi-annually	Emails Meetings/presentation

9.5. Describe how the State will provide feedback within 60 calendar days to local entities and State Community Action Associations regarding performance on State Accountability Measures. The State will provide the feedback electronically to the eligible entities and the Association, and schedule a meeting or conference call to discuss the results.

If this is the first year filling out the automated State Plan, please skip the following question.

9.6. Performance Management Adjustment: How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources. If the State is not making any adjustments, please explain.

N/A

SECTION 10
Fiscal Controls and Monitoring

Monitoring of Eligible Entities (Section 678B (a) of the Act)

10.1. Specify the proposed schedule for planned monitoring visits, including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews, including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate. This is an estimated schedule to assist States in planning. States may indicate “no review” for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, please attach the State’s proposed monitoring schedule.

The CSBG State Office conducts a full onsite review of each eligible entity at least every two years. This includes attendance at a regularly scheduled board meeting of the agency whenever possible.

CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review
Community Action Agency of Southern NM	Onsite	Dropdown Options: FY1 Q1	11/2014
Eastern Plains Community Action Agency	Onsite	FY2 Q3	7/2015
Economic Council Helping Others	Onsite	FY2 Q3	7/2015
HELP-NM	Onsite	FY2 Q4	9/2015
Mid-West NM Community Action Program	Onsite	FY2 Q4	9/2015
Southeast NM Community Action Corp.	Onsite	FY1 Q1	11/2014

10.2. Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.

The current monitoring tool is attached as Appendix D. This tool identifies the substantive areas evaluated by the State CSBG Office during its full onsite review. This tool has been provided to the

eligible entities and is included in the Notice of Review that is sent to the eligible entity 30 days before the scheduled onsite review. During FY 2016, the State CSBG Office plans to revise the monitoring tool, with input from the eligible entities and the Association.

10.3. According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

The State must provide its monitoring report to the eligible entity within 30 days of its monitoring review. The monitoring review may include documents or information received or requested by the CSBG State Office following its onsite visit.

Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)

10.4. Are State procedures for addressing eligible entity deficiencies and documenting closure of findings included in the State monitoring protocols attached above? Yes No

10.4a. If you selected "no," please describe State procedures for addressing eligible entity deficiencies and documenting closure of findings.

The CSBG State Office currently defines eligible entity deficiencies as follows:

- An Exception is a deviation from federal laws, state laws, contract provisions, agency rules or procedures, or CSBG policies and procedures that is resolved during the review.
- A Finding is a deviation from federal laws, state laws, contract provisions, agency rules or procedures, or CSBG policies and procedures. A finding is not subject to negotiation and must be resolved through corrective agency action.

The CSBG State Office will describe the essential components of the corrective action plan. The eligible entity will develop and implement the detailed plan. The CSBG State Office will review the entity's detailed plan and formally approve the plan if it sufficiently addresses the essential components. The State Office will notify the entity in writing of the approval and establish a future review date. At the review date, the State will notify the entity of the review and request documentation to evaluate the status of the corrective action plan. Based on its review of the documentation, the State Office will determine if the Finding is resolved. Depending on the results of its review, the State Office will determine if the corrective action plan has resolved all Findings and should be closed, or if another future review should be scheduled. The State office will notify the entity of the decision in writing, including the date of the future review if applicable.

In FY 2016, Year 1 of this State Plan, the State Office will add the following definition

- A Serious Deficiency is a finding that the eligible entity is not in compliance with Federal or State Laws or eligible entity bylaws; or that the entity has committed fraud, is in financial difficulty, or is not able to provide services.

A Serious Deficiency is more significant than a Finding. A serious deficiency will result in the State Office following the federally established procedures for possible reduction or termination of funding to the involved eligible entity.

10.5. Serious Deficiencies: In the table below, include each eligible entity that has one or more unresolved serious deficiencies as of the date of the submission of this State Plan. Include all the information requested in the table.

At this time, no eligible entity has a serious deficiency.

Eligible Entity	Serious Deficiency or deficiencies	Is the entity on a Quality Improvement Plan?	Are any of the deficiencies related to organizational standards?	Expected resolution data
Drop down choices from 4.1	Please describe – text	Yes/No	Yes/No	Date picker

Total number with unresolved serious Deficiencies: N/A

Subtotal number on QIPs: N/A

Subtotal number on QIPs related to organizational standards: N/A

Note: The QIP information is associated with State Accountability Measures 4Sc. In addition, information about organizational standards corresponds with Section 6 and is associated with State Accountability Measure 6Sb(ii).

10.6. Has the State reported all of the eligible entities with unresolved serious deficiencies to the Office of Community Services?
 N/A Yes No

10.7. Does the State assure, according to Section 676(b)(8), that “any eligible entity that received CSBG funding the previous fiscal year 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).” (This response will pre-populate the corresponding assurance under Section 14.8.)
X Yes No

10.8. Does the State CSBG statute or regulations provide for the designation of new eligible entities?
X Yes No

10.9. Does the State CSBG statute or regulations provide for de-designation of eligible entities?
X Yes No

10.10. Does the State statute or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity?
 Yes X No

Fiscal Controls and Audits and Cooperation Assurance:

10.11. Describe how the State’s fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Title 2 of the

Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200.302(a)).

a) **The State CSBG Office and HSD's Grants Management Bureau collaborate to ensure the accuracy of the SF-425. The bureau follows statewide model accounting practices and applicable regulations. These include maintaining notices of grant award and their related available funds, assignment of project and activity coding within the state financial system, accumulating and allocating costs, and reconciling expenditures to cash draw down accounts. The State CSBG Office reviews the SF-425 prior to certification and submission by the bureau.**

b) **The eligible entities submit monthly expenditure reports to the State CSBG Office. The reports include the details of each transaction using CSBG funds. These transactions are carefully reviewed for allocability and allowability under the Cost Principles.**

10.12. Describe State procedures for issuing management decisions for eligible entity single audits, as required by Title 2 of the Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200.521). If these procedures are described in the State monitoring protocols attached under item 10.2, please indicate the page number.

The eligible entities are contractually required to submit their Single Audits to the CSBG State Office. A desk review of the audit report is performed by the State Office. The State Office will also obtain and evaluate the entity's corrective action plan, if applicable. Copies of the desk audit report are provided to HSD's Compliance and Financial Systems Bureau (CFSB), which monitors contractor compliance with state and federal laws and regulations, and HSD's Office of Inspector General (OIG). The State CSBG Office and CFSB will collaborate in the evaluation of audit finding and the issuance of the management decision to subrecipients as required by 2 CFR 200.331 and 2 CFR 200.521.

10.13. Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under 676(b)(7) of the CSBG Act. (This response will pre-populate Item 14.7) **X Yes** No

If this is the first year filling out the automated State Plan, please skip the following question.

10.14. Performance Management Adjustment: How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources. If this State is not making any adjustments, please explain.

N/A

SECTION 11
Eligible Entity Tripartite Board

- 11.1.** Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act?
- Attend Board meetings
 - Review copies of Board meeting minutes
 - Keep a register of Board vacancies/composition
 - Other _
- 11.2.** How often does the State require eligible entities to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? This does not apply to those entities under a Corrective Action Plan or Quality Improvement Plan.
- Annually
 - Biannually
 - Quarterly
 - Monthly
- 11.3.** Describe how the State will carry out the assurance under Section 676(b)(10) of the Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board. (This response will pre-populate the corresponding Item 14.10.)

The CSBG State Office requires each eligible entity to have written procedures on the democratic selection process for board representation of low-income persons. This includes procedures for individuals and organization to petition the entity for representation on the Board. These procedures are evaluated during the biennial onsite monitoring review.

Section 12 Individual and Community Eligibility Requirements

12.1. Required individual income eligibility:

12.1a. Is individual income eligibility for services set at 125% of the HHS poverty line? If no, what is the income eligibility threshold in the State? If it varies, please describe.

X Yes No Varies

For programs providing direct care and support to low-income individuals and households, income eligibility is based on gross income at or below 125% of the HHS poverty guidelines.

12.1b. Does the State have a policy for participant eligibility? If yes, please attach or describe the policy. If no, please explain.

X Yes No

Annually, in June, the State CSBG Office provides the HHS Poverty Guidelines to the eligible entities. The guidelines are in effect for the next State Fiscal Year (July 1st through June 30th). Participant eligibility for CSBG funded services is determined by the eligible entities. The entities are required to maintain accurate documentation of applicant eligibility determination. A random sample of the eligibility determinations are tested during the State's onsite monitoring review.

12.2. Income eligibility for general/short term services: For services with limited in-take procedures (where individual income verification is not possible or practical), how do eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

Some entities provide short term or general services for which it is not practical to individually verify income eligibility each time the service is provided. For these services, such as monthly food distributions, entities may verify a client income annually and provide the client with a ticket for access to the distribution. As another example, an entity may provide services to families and target school age children who qualify for free or reduced lunch.

12.3. Community-targeted services: For services that provide a community-wide benefit (e.g., development of community assets/facilities; building partnerships with other organizations), how do eligible entities ensure the services target low-income communities?

Eligible entities engaged in community activities partner with organizations that serve low-income clients, such as the Salvation Army, Goodwill, and local churches. The partnerships provide services or facilities, such as a food pantry, which address the specific needs of the low-income community.

SECTION 13
Results Oriented Management and Accountability System (ROMA)

13.1. ROMA participation

In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act? (This item corresponds with Section 14.12, CSBG Programmatic Assurances and Information Narrative, of this plan.)

The Results Oriented Management and Accountability (ROMA) System

Another performance management system developed pursuant to section 678E(b) of the CSBG Act

An alternative system for measuring performance and results

13.1a. If you selected ROMA above, please attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

HSD provides CSBG funds to eligible entities through professional services contracts. The ROMA National Performance Indicators (NPIs) are used to describe the services and activities in the Scope of Work/Outcome Plan for each contract. In addition, the entities are contractually required to use an HSD-approved software system that tracks outcomes and services provided to the low-income population in their service areas. The ability to collect data and generate reports using ROMA is a pre-requisite for HSD approval of the software.

13.1b. If you did not select ROMA above, please describe the system the State will use for performance measurement.

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization (as required under Section 676(b)(12) of the CSBG Act)?

CSBG National Performance Indicators (NPIs)

NPIs and others

Others

Eligible entities will use ROMA Next Generation, the revised set of NPIs, to measure the impact of CSBG in promoting self-sufficiency, family stability, and community revitalization.

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

Please see the response to section 8.1 above.

13.4. How is the State validating that the eligible entities are using data to improve service delivery? **The State CSBG Office will require the eligible entities to report at least semi-annually on the results of their contracted outcomes. The State Office will review the reports and discuss the use of the data with the eligible entities. In addition, entity use of outcome data will be a focus of the biennial onsite reviews.**

SECTION 14
CSBG Programmatic Assurances and Information Narrative
(Section 676(b) of the CSBG Act)

14.1 Eligible entity program activities

Activities Targeting Seven Programmatic Purposes

14.1a. Describe how CSBG funds will be used to support activities to assist low-income families and individuals, including families receiving Temporary Assistance to Needy Families (TANF), the homeless, migrant or seasonal farmworkers, and elderly low-income individuals and their families, to help them achieve the seven programmatic purposes under 676(b)(1)(A). Please include information about each programmatic purpose.

As part of their annual applications for funds, the eligible entities describe the services and activities they will perform to address the seven programmatic purposes. For each purpose, an illustrative list is provided below of services or activities previously performed by one or more entities. It is anticipated that these, or similar services, will be provided in Years 1 and 2 of this State Plan. The CSBG State Office will monitor the performance of the eligible entities to ensure that funds are used for the programmatic purposes.

i. self sufficiency

Case management services, employability plans, financial counseling and budgeting, childcare services, employment and training services, Head Start parenting classes.

ii. employment

On-the-Job Training, employment training, job placement, self-employment, business development, career development, employment counseling, and support services, including purchase of work clothes/uniforms, employment licensing fees, tools, fees for medical testing, transportation assistance, employment information and referrals.

iii. education

vocational training, post-secondary, pre-employment certification training, ABE/GED, tuition fees, school supplies, classroom related services, Pre-K programs, private pre-school with sliding fee scale, before and after school programs, dissemination of educational and training materials, and education/training referrals.

iv. use of income

Free tax preparation services, Individual Development Account (IDA), Child Savings Accounts, financial counseling and financial literacy classes, and assistance with affordable financing to build homes.

v. housing

Housing services, assisting families to qualify for low-interest mortgages, information and referrals to housing programs/resources.

vi. emergency assistance

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), transportation assistance (vehicle repair), and emergency information and referrals.

- vii. community participation, including documenting best practices and engaging law enforcement agencies

Eligible entities have established partnerships with numerous public and private organizations across the state to expand resources and opportunities for low-income individuals and families in their communities. HSD requires that each entity 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 onsite monitoring review.

Needs of Youth

- 14.1b. Describe how the activities of the local CSBG eligible entities will address the needs of youth in low-income communities as described under 676(b)(1)(B)

An illustrative list is provided below of services or activities previously performed by one or more entities. It is anticipated that these, or similar services, will be provided in Years 1 and 2 of this State Plan. The CSBG State Office will monitor the performance of the eligible entities to ensure that funds are used to address the needs of youth. Services/activities include: Pre-K programs, private pre-school with sliding fee scale, before and after school programs, dissemination of educational and training materials, and education/training referrals.

Coordination of Other Programs

- 14.1c. Describe how the activities of the local CSBG eligible entities will make more effective use of, and coordinate with, other programs related to the purposes of CSBG, as described under 676(b)(1)(C).

HSD provides numerous support services to help clients break the cycle of dependence and enable self-sufficiency, including LIHEAP and TANF. Eligible entities have established relationships with HSD offices in their service areas. Clients are informed about the availability of child support services and referred to their local HSD office. The entities assist clients to apply for cash, food, or medical assistance using HSD's web portal.

State Use of Discretionary Funds

- 14.2 Describe how the State will use remainder/discretionary funds as described under 676(b) (2) of the CSBG Act.

Please see the responses in 7.10 and 7.11 above.

Eligible Entity Service Delivery, Coordination, and Innovation

- 14.3. Based on the information provided by eligible entities, describe how the State will carry out the assurance under Section 676(b) (3) of the CSBG Act.

Eligible Entity Service Delivery System

- 14.3a. Describe the service delivery system of the local CSBG eligible entities, for services provided or coordinated with CSBG funds, targeted to low-income families in the State.

The Professional Services contracts between HSD and the eligible entities contain detailed Outcome Plans based on ROMA and the National Performance Indicators. In these plans, the eligible entities identify: (a) the poverty-related needs and problems of the service areas, (b) program service objectives, and (c) quantified outputs and outcomes.

The network of six eligible entities provides CSBG-funded services to every county in the state. The eligible entities and their county level service areas are listed below.

Community Action Agency of Southern New Mexico

- Dona Ana
- Grant
- Hidalgo
- Luna
- Sierra

Eastern Plains Community Action Agency

- Curry
- DeBaca
- Guadalupe
- Harding
- Quay
- Roosevelt
- Union

Economic Council Helping Others

- San Juan

HELP-NM

- Bernalillo
- Colfax
- Los Alamos
- Mora
- Rio Arriba
- San Miguel
- Sandoval
- Santa Fe
- Taos
- Torrance
- Statewide services for migrant/seasonal farmworkers

Mid-West New Mexico Community Action Program

- Catron
- Cibola
- McKinley
- Socorro
- Valencia

Southeast New Mexico Community Action Corporation

- Chaves
- Eddy
- Lea
- Lincoln
- Otero

Within their service areas, the eligible entities have one or more locations at which they provide services to clients. Each entity's service plan includes procedures for individuals with special needs (e.g. homebound, homeless, disabilities). Each entity has a website that identifies the services provided by the agency and contact information. Through media outlets and community outreach, the entities notify their communities of available services and programs.

Eligible Entity Linkages

14.3b. Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations.

Eligible entities will continue to use their established linkages with public, private, and nonprofit organizations across the state to provide information, resources, and opportunities for low-income individuals and families. In FY 2014, the six entities identified a combined 2,539 partnerships with 1,933 organizations. Through formal and informal arrangements with government agencies, businesses, faith-based organizations, education institutions, nonprofits, and tribal entities, the eligible entities will share information, and make and receive referrals, so that low-income individuals and families receive the services they need.

Eligible Entity Funds Coordination

14.3c. Describe how the eligible entities will coordinate CSBG funds with other public and private resources.

In FY 2014, eligible entities in New Mexico were able to serve 100,457 individuals and 36,874 families through the coordination of CSBG funds and other public and private resources. In addition to the \$3.1 million from CSBG, the eligible entities mobilized \$46.8 million in funding from federal, state, local, and private sources to provide services to these individuals and families. The New Mexico CSBG network used CSBG funding to provide direct services, to augment other programs, and to maintain the organizational infrastructure needed to provide efficient, coordinated service delivery.

In FY 2016 and FY 2017 the entities will continue to use CSBG funds to leverage funding from other sources and to provide direct care and support services.

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

14.3d. Describe how the local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle which may include fatherhood and other initiatives with the goal of strengthening families and encouraging parental responsibility. Please note: these activities relate to "Innovative programs and activities by CAAs or other neighborhood groups" [Section 675C (b) (1) (F)]; the State indicates any CSBG discretionary funds allocated for these activities under Item 7.10 of this State Plan.

The New Mexico eligible entities use CSBG funds allocated for contract compensation to create and improve innovative programs that strengthen communities and families. Based on their Community

Needs Assessments, entity mission, operational capacity and partnerships, entities design and implement community and neighborhood based programs. Examples include:

- **Using CSBG funds for administrative costs, one eligible entity assists families ^{with} obtaining affordable mortgages for home purchase. The entity provides financial literacy and homebuyer education classes, and collaborates with numerous entities, including 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 to identify multiple sources of mortgages, subsidies and grants for homebuyers.**
- **Another eligible entity has developed a partnership with the national Group Workcamp Foundation. The Group Workcamp is an 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. Teenagers, under experienced supervision, weatherized or made minor repairs on 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. By improving the conditions in which they live, the quality of life was increased for the individuals who received the services.**

In FY 2016 and FY 2017 entities will continue to develop and implement programs that positively impact communities and neighborhoods. In addition, as described in section 7.10 above, the CSBG State Office plans to make discretionary funding available for innovative programs.

Eligible Entity Coordination/Linkages: Emergency Food and Nutrition

14.4. Describe how the local eligible entities in the State will provide emergency supplies and services to counteract conditions of starvation and malnutrition, according to the State's assurance under Section 676(b)(4) of the CSBG Act.

The eligible entities in New Mexico provide emergency food and nutrition assistance directly to clients and through their support of other community organizations. Entities deliver food boxes to homebound individuals, give food vouchers, and distribute food on a biweekly or monthly basis. Some entities also receive funding under The Emergency Food Assistance Program (TEFAP), and the Commodity Supplemental Food Program (CSFP). Entities also use CSBG funds to purchase food for community food banks and food pantries affiliated with community partners.

The eligible entities will continue to provide food and nutrition assistance in 2016 and 2017.

State and Eligible Entity Coordination/Linkages: Employment and Training

14.5. According to the State's assurance under Section 676(b)(5) of the CSBG Act, describe how the State and local eligible entities will coordinate with, and establish linkages between, governmental and other social services programs to assure the effective delivery of employment and training services and avoid duplication; and describe coordination of

employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act (WIOA), in the State and in entities providing activities through WIOA systems.

Please see the responses to section 9.1 and 9.2 above.

Note: The following questions (14.5a and b) about the WIOA Combined State Plan may change depending on the outcome of work with the U.S. Department of Labor and Education to develop this plan.

14.5a. WIOA Combined State Plan: Does the State intend to meet this assurance by describing CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act? Yes No

One eligible entity in New Mexico receives Workforce Investment Action funding for Adult, Dislocated Workers, and Youth programs. HSD will identify and evaluate methods of coordinating training and employment activities using CSBG and WIOA funding. HSD will determine if a Unified or Combined State Plan aligns with the State's plan for employment and training services.

14.5b. If the State selected "no" under 14.5a, please describe how the State will meet this assurance.

State Coordination/Linkages: Low-Income Home Energy Assistance

14.6. According to the State's assurance under Section 676(b)(6) of the CSBG Act, describe how the State will ensure coordination between antipoverty programs in each community, and ensure, where appropriate, communities conduct emergency energy crisis intervention programs (relating to low-income home energy assistance).

HSD is the designated State agency for the administration of the Low Income Home Energy Assistance Program (LIHEAP) program. Several eligible entities use CSBG or other funding to provide emergency utility payment assistance. The entities have effective working relationships with the HSD Income Support Division offices in their service areas, and make and receive client referrals, and may assist clients applying for LIHEAP benefits. Utility payment assistance and local coordination between the eligible entities and HSD will continue in FY 2016 and FY 2017.

State Fiscal Controls and Monitoring: Federal Investigations

14.7. Will the State carry out the assurance under Section 676(b) (7) of the CSBG Act, as indicated in Item 10.12 of this plan?

Yes.

State Fiscal Controls and Monitoring: Procedures in the event of reducing or terminating funding to an eligible entity

14.8. Will the State carry out the assurance under Section 676(b) (8) of the CSBG Act, as indicated in Item 10.7 of this plan.

Yes.

Eligible Entity Coordination/Linkages: Faith-based organizations, charitable groups, community organizations

14.9. According to the State’s assurance under Section 676(b) (9) of the CSBG Act, describe how local eligible entities in the State will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations.

Eligible entity partnerships result from the entities’ knowledge of other programs, funding, and agencies in their service areas. The partnerships are effectuated through formal arrangements, financial agreements, informal arrangements and alliances. Using the applicable ROMA National Performance Indicator for their Outcome Plan, eligible entities are contractually required to describe their partnerships with government, private, nonprofit and faith-based organizations at the community, state, and national levels. These partnerships for coordinated service delivery will continue in FY 2016 and FY 2017.

Eligible Entity Tripartite Board Representation

14.10. Description of how the State will carry out the assurance under Section 676(b) (10) of the CSBG Act from Section 11.3 of this plan.

Please see the response to section 11.3 above.

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. As required by the State’s assurance under Section 676(b)(11) of the CSBG Act, has or will the State secure a Community Action Plan from each eligible entity that is for the duration of this State plan that includes a community-needs assessment? You may upload additional information and/or community action plans. X Yes No

As part of the application for annual funding, each eligible must submit a Community Action Plan. The plan will include the entity’s Community Needs Assessment for its service area. The CSBG State Office will monitor the completion of the Needs Assessment in FY 2016 and FY 2017 under the appropriate Organizational Standard.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. Will the State and all eligible entities participate in the Results Oriented Management and Accountability System (ROMA), as required by the assurance under Section 676(b) (12) of the CSBG Act? X Yes No

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. Click the “validation” button below to ensure the State has described how it will carry out all the assurances under section 676(b), as required by Section 676(b) (13) of the CSBG Act.

SECTION 15

Federal Certifications

Please attach the following four Federal certifications, each signed by the State authorized CSBG official.

After each assurance, a check box must be selected.

15.1 Lobbying

- By checking this box, the prospective primary participant is providing the certification set out above.

15.2 Drug-Free Workplace Requirements

- By checking this box, the prospective primary participant is providing the certification set out above.

15.3 Debarment

- By checking this box, the prospective primary participant is providing the certification set out above.

15.4 Environmental Tobacco Smoke

- By checking this box, the prospective primary participant is providing the certification set out above.

The Certifications are attached as Appendix E. For the final version of the State Plan, the federal oversight office will provide instructions for electronic certification and submission.



Appendix
A

State of New Mexico

Susana Martinez
Governor

April 29, 2015

Brent Earnest
Cabinet Secretary
Human Services Department
PO Box 2348
Santa Fe, NM 87504-2348

Dear Secretary Earnest:

I hereby designate you, Brent Earnest, as Cabinet Secretary 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 United States 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 that reads "Martinez".

Susana Martinez
Governor

**DHHS/ACF/OCS
Division of State Assistance/CSBG Branch
370 L'Enfant Promenade, S.W.
5th Floor, West Wing
Washington, DC 20447**

Attn: Sara Lee

**(Community Service Block Grant Program)
State Contact Information**

(State)

State Tribe/Tribal Organization

New Mexico

**(Name and Title of Official to Receive CSBG Grant Award)
Marilyn Martinez, Director**

**(State or Tribe/Tribal Organization Agency)
Human Services Department /Income Support Division**

**(Mailing Address)
PO Box 2348**

**(City, State, Zip Code)
Santa Fe, NM 87504-2348**

**(Telephone Number, Fax Number, Email Address)
505.827.7215; 505.827.7203; Marilyn.Martinez@state.nm.us**

**(Name of CSBG Program Manager)
William G. Wuestenhagen**

**(Division or Office)
Human Services Department/Income Support Division/Work and Family Support Bureau**

**(Street Address)
2009 S Pacheco St**

**(City, State, Zip Code)
Santa Fe, NM 87505**

**(Telephone Number, Fax Number, Email Address)
505.827.7251; 505.827.7259; WilliamG.Wuestenhag@state.nm.us**

**(Name, Title and Phone Number of Contact Person for Audit Issues)
Donna Sandoval, Deputy Director, Administrative Services Division, 505.827.7057**

**(EIN Number)
85-6000570**

(5/18/15)

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.

NM HUMAN SERVICES DEPARTMENT/ INCOME SUPPORT DIVISION

WORK AND FAMILY SUPPORT BUREAU

COMMUNITY SERVICES BLOCK GRANT (CSBG)
MONITORING AND ASSESSMENT REPORT

AGENCY:

DESIGNATED SERVICE AREA:

MONITORING DATE:

LAST REVIEW DATE:

REVIEW TEAM:

EXECUTIVE DIRECTOR:

BOARD CHAIRPERSON:

CAA FISCAL OFFICER:

BOARD MEMBERS ATTENDING
EXIT CONFERENCE:

EXECUTIVE DIRECTOR'S
SIGNATURE:

LEAD REVIEWER'S
SIGNATURE:

DATE:

Have personnel files been prepared for each staff member?					
Does each employee file contain the following? W-4 Application/Resume Job Description Hire Date Annual Evaluation Salary	—	—	—	—	—
Does the Board evaluate the executive director annually?					
Does each employee have I-9 filed (after November 1986)?					
Is the proper ID documentation attached to the I-9?					
Is the I-9 filed separate from the employee's personnel file?					
Additional Notes:					
PROGRAM ADMINISTRATION:	YES	NO	N/A	Comments	
Do the following employees have access to the CSBG Policy and Procedures Manual? Fiscal director CSBG program coordinator	—	—	—	—	
Did the agency submit an Organizational Chart with their CSBG application?					
Does the Organizational Chart contain positions, chain of command, and programs?					
Did the agency complete and submit the CSBG application for funds within the time prescribed?					

<p>Does the agency have a certificate documenting Worker's Compensation coverage? (CSBG P&P Manual)</p> <p>Did the agency submit a copy to the state office?</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>
<p>Does the agency have on file a blanket fidelity bond coverage for the activities of the contract in an amount of at least 25% of the total amount of the total agency budget? (CSBG P&P Manual)</p> <p>Did the agency submit a copy to the state office?</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>
<p>Does the agency have a Certificate of Insurance for comprehensive general liability for not less than \$500,000? (CSBG P&P Manual)</p> <p>Did the agency submit a copy to the state office?</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>
<p>Does the agency have a Certificate of Insurance for comprehensive Board liability insurance? (CSBG P&P Manual)</p> <p>Did the agency submit a copy to the state office?</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>
<p>Does the agency have a current 990 on file which maintains the 501(c) 3 status as a non-profit?</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>
<p>Was the 990 filed with the Office of the Attorney General/Registry of Charitable Organizations?</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>
<p>Was the 990 filed with the Federal Audit Clearing House?</p> <p>Does the agency have a current Certificate of Good Standing and Compliance from the Public Regulation Commission?</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>
<p>Additional Notes:</p>	<p>—</p>	<p>—</p>	<p>—</p>	<p>—</p>

BOARD REVIEW

BOARD OF DIRECTORS:	YES	NO	N/A	Comments
Does the agency have a current Board of Directors roster?				
Does the roster include the following?				
Address of each Board member				
Date of appointment				
Length of service				
Segment of representation (public, private, or low income)				
County representing (only if the agency serves more than one county)				
Did the agency submit a copy to the state office with the CSBG application?				
Are letters of acceptance or appointment from elected officials on file? (Board member representing the public sector)				
Did the agency submit copies to the state office with the CSBG application?				
Does the Board have the required 15 members? (State Statue)				
Is the Board complying with the tri-partite requirement?				
Low Income (no less than 1/3)				
Public (1/3)				
Private (1/3)				
Is the Board in compliance with the term limits for private and low income representatives?				
Does the Board roster contain alternates? If so, they are in non-compliance with the State Statue.				

Are multi-counties represented?					
What type of training has the Board received?					
BYLAWS/ARTICLES OF INCORPORATION:	YES	NO	N/A	Comments	
Does the agency have a current copy of their Articles of Incorporation?	—	—	—		
Did the agency submit a copy to the state office?	—	—	—		
Does the agency have a current copy of the Board Bylaws? Date of most recent revision (_____)	—	—	—		
Did the agency submit a copy to the state office?	—	—	—		
Does the Board have policies to address the following: conflict of interest? nepotism? sexual harassment?	—	—	—		
Do the bylaws adequately outline the board's responsibilities: (CSBG Policies & Procedures Manual) 1. Development of the Community Action Plan? 2. Hire/fire and evaluate the performance of the executive director? 3. Determine major personnel, organization, fiscal, and program policies? 4. Determine overall program goals and priorities, including provisions for evaluating programs for performance? 5. Make final approval of all program proposals and budgets? 6. Determine rules and procedures for the governing board? 7. Hire an auditor? 8. Review the agency's annual audit and ensure that any corrective action is taken?	—	—	—		

Did the agency submit a schedule to the state office with the CSBG application?												
Do the minutes reflect that the Board reviewed and approved the CSBG application for funding?												
Were the CSBG contracts and/or amendments presented to the board for review and approval?												
Do the minutes reflect the Board's involvement in the following decisions: Approving expenditures over \$5000? Salary increases (staff and executive director)? Approval on all program proposals and budgets? Hiring of an auditor?	—	—	—	—	—	—	—	—	—	—	—	—
Are monthly financial statements presented, reviewed, and approved by the Board at every meeting?												
Was the agency's single audit presented, reviewed, and approved by the Board following the release of the audit report?												
Is there any indication the CSBG funds are being used to support lobbying or other political activities?												
Additional Notes:												

PROGRAM REVIEW

CONTRACT/ CSBG POLICY & PROCEDURES	YES	NO	N/A	Comments
Did the agency submit a Community Action Plan to the state office within the time prescribed annually?				
Is the Plan modified or revised yearly?				
Does the Plan include the following: (CSBG Contract 2.G) 1. Description of the service delivery system for low income people in the service area? 2. Description of how linkages will be developed ...information and referral, case management...? 3. Description of how funding under this contract will be coordinated with other public and private resources?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Has the agency conducted a community needs assessment? Date of most recent community needs assessment (_____).				
Does the agency have procedures for CSBG related services?				
Does the agency have written policy and procedures for the following: program requirements? poverty guidelines? client eligibility criteria? application intake, referral, and processing? confidentiality? release of information? client grievance/appeals process? client rights and responsibilities? maintenance of client records? household definitions and guidelines? (5/20/02)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Are staff members aware and familiar of these written policy and procedures (including staff located at the satellite sites)?				

<p>Did the agency submit a copy of their client eligibility criteria and application process/procedures to the state office with their CSBG application?</p> <p>Did the client eligibility criteria explain how "special" needs people (disabled, homebound, homeless, transients, etc.) are served and the eligibility requirements?</p>	<p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p>
<p>Does the agency notify clients that they have the right to appeal and/or file a grievance?</p> <p>Is the client complaint procedure: Posted? Issued to the client at the time of the application? Explained to the client during the time of their interview? (Verification form signed by client)</p>	<p>—</p> <p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p>
<p>Does the agency have policy governing the receipt of assistance by: Employees and/or their relatives? Board members and/or their relatives?</p>	<p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p>
<p>Are the correct gross income guidelines used?</p>	<p>—</p>	<p>—</p>	<p>—</p>
<p>Does the agency take appropriate steps to ensure privacy and confidentiality of client information?</p>	<p>—</p>	<p>—</p>	<p>—</p>
<p>Are all client service locations accessible to persons with disabilities?</p>	<p>—</p>	<p>—</p>	<p>—</p>
<p>Are clients notified that services are provided to all regardless of race, color, national origin, gender, sexual preference, age, handicap, or religion (non-discrimination disclaimer)?</p>	<p>—</p>	<p>—</p>	<p>—</p>
<p>Non-discrimination is: posted at the agency (including satellite sites) that is visible to all clients? on the agency's application for services?</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>	<p>—</p> <p>—</p>

<p>listed in the agency's brochures/flyers? other ()?</p> <p>What does the agency use to inform the service area(s) of its programs and services: brochures? newsletter? radio/newspaper announcements? advertisement? press release? agency web site? annual reports? posters? other ()?</p>	<p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p>	
<p>Does the agency advertise their services in their service area(s)?</p>				
<p>Are announcements available: in the newspaper? in the community for the general public (community centers, schools, churches, hospitals, etc)? in business? employment & training agencies? human services agencies? local government agencies? public transportation outlets? other ()?</p>	<p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p>	
<p>Is the agency's outreach activities sufficient to reach the majority of low-income people in its service area(s)?</p>				
<p>Has the agency established linkages to other organizations to enhance services to low income people: other community action agencies? other non-profit agencies? local governments? local business?</p>	<p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p>	<p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p> <p>—</p>	

state agencies? community development organizations? advocacy organization? other ()?					
Additional Notes:					
REPORTING: Did the agency track and report services outlined in their Scope of Work on the CSBG/IS NASCSP report: Fiscal section? ROMA section? Did the agency meet their goal(s) as outlined in the scope of work? Did the agency report other services (not specified in the scope of work) on the CSBG/IS NASCSP report: Fiscal section? ROMA section? Does the agency submit the following within a timely manner: monthly CSBG report? annual CSBG NASCSP/IS survey (yr. end report)? The agency reported on the following ROMA National Goals: Goal 1: Self Sufficiency Goal 2: Community Revitalization (Conditions improved) Goal 3: Community Revitalization (..people own a stake..) Goal 4: Agency (Partnerships) Goal 5: Agency (Increase capacity to achieve results) Goal 6: Family Stability	YES	NO	N/A	Comments	

CLIENT-TRACK:	YES	NO	N/A	Comments
Did the agency update Client Track with the correct poverty income level?				
Did the agency update Client-Track with the services approved by the state office?				
Did the agency update Client-Track with services <u>not</u> approved by the state office?				
Did the agency update Client-Track with the ROMA and National Performance Indicator measurements approved by the state office?				
Did the agency update Client-Track with measurements <u>not</u> approved by the state office?				
Did the agency update Client-Track with system updates provided by Shah Software?				
Is the agency using Client-Track to track client services?				
Is the agency using Client-Track to track ROMA measurements and National Performance Indicators regarding individuals and families?				
Does the agency retain their records for a period of three years?				
Additional Notes:				

FISCAL REVIEW

FISCAL MANAGEMENT/ACCOUNTING		YES	NO	N/A	Comments
Does the agency have a Financial Procedures Manual?					
Date of most recent revision (_____)					
Does the procedures manual describe:					
Accounts payable					
Accounts receivable					
Internal Control					
Purchasing (over \$5,000)					
Check signing policies					
Payroll					
Cash receipts					
Procurements					
Property management					
Petty Cash					
Timesheets					
Travel					
Credit card policies					
Describe from the following those that are utilized or maintained by the agency/grantee:					
Cash Receipts Journal					
Cash Disbursement Journal					
General Journal					
General Ledger					
Bank Statements/Cancelled Checks					
Monthly Balance Sheets					

Other _____ _____ _____				
Does the general ledger reflect all funding sources? (GAAP)				
Does the agency have a Cost Allocation Plan? Does it clearly identify and distribute all costs?		_____ _____	_____ _____	
Does the agency have a chart of accounts?				
Does the agency prepare a report to compare actual versus budgeted expenditures?				
Does the agency maintain a bank account balance under \$250,000 or at the federal insurance amount?				
Does the agency use a line of credit? What is the max? (_____) What is the average monthly balance? (_____)				
Are bank reconciliations current? (GAAP)				
Does the agency's check signing policy have a check and balance system in place? (At least 2 people involved in the check signing procedure.) CSBG P&P Manual				
Additional Notes:				

<p>Are checks signed manually on every corporate check and/or are the corporate checks signed with a signature stamp?</p> <p>List of persons and titles who have authority to sign and/or persons and titles whose names appear on the checks.</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>				
<p>Does the agency have written policies regarding the use of a signature stamp?</p>				
<p>Do all of the authorized check signers have Board or By-law approval to sign checks? (GAAP) (CSBG P&P Manual)</p>				
<p>Are their current bank signature cards on file with the financial institution(s)?</p>				
<p>Are deposits being tracked appropriately and made within 24 hours?</p>				
<p>Could a sample of cash disbursements be traced from original accounting entries to:</p> <p>Cancelled checks?</p> <p>Appropriate purchase orders or other contracts for goods and services?</p> <p>Approved activities identified in the contract?</p> <p>Appropriate bills and invoices?</p>				

Are reimbursement requests (expenditure reports) submitted by the 15th of each month? (CSBG Contract)					
Are the closeout reports submitted within the ninety days after the end date of each grant year?					
Are expenditures approved appropriately and according to the agency's Financial Procedures Manual?					
Are the limits for accrued leave, specified in the agency's personnel and/or other policy manuals adhere to?					
Is the employees' work and leave time tracked, documented, and compensated according to the agency's policy?					
Are payroll taxes submitted to the Internal Revenue Service and the NM Taxation and Revenue Department timely?					
How often does the agency pay its employees? weekly? bi-weekly? monthly? bi-monthly? other ()	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Review per diem files (per diem paid with CSBG funds) to determine whether the agency is in compliance with state DFA rule.					
PROPERTY:	YES	NO	N/A	Comments	
Does the agency have a current property inventory record?					
When was the last physical inventory conducted? ()					

Does the property inventory reflect Department approval and title for property with a purchase price of \$5000 or greater? (CSBG Contract)					
Is there a program in place for maintenance, repair, and protection of property? (CSBG Contract)					
How often are fixed assets depreciated? ()					
AUDIT:	YES	NO	N/A		Comments
Did the agency submit their annual audit timely? (Six to nine months after the agency's fiscal year end or within the audit schedule of the agency's cognizant funding source.)					
Does the agency have a competitive bid process to select an auditor?					
Has the agency retained the same auditor for more than four consecutive years? (If yes, they are in non-compliance with the contract.)					
Does the audit contain a report of financial expenditures by category for each program?					
Has the agency resolved all audit findings?					
Additional Notes;					

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.

Signature

Secretary

Title

New Mexico Human Services Department
Organization

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