

Form Approved
OMB No.: 0970-0382
Expires: June 30, 2021

Community Services Block Grant (CSBG) Model State Plan

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Section 1
CSBG Administrative Information

- 1.1. Identify whether this is a one-year or a two-year plan. One-Year Two-Year
- 1.1a. Provide the federal fiscal years this plan covers: Year One 22__ Year Two 23

GUIDANCE: If a state indicates “One-Year” under 1.1., they will only have to provide a response for “Year One”

- 1.2. **Lead Agency:** Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.

Has information in regards to the state lead agency changed since the last submission of the state plan? Yes No

If yes, provide the date of change and select the fields that have been updated **[Date Picker and Check all the apply]**

- | | | |
|--|--|--|
| <input type="checkbox"/> Lead Agency | <input type="checkbox"/> Department Type | <input type="checkbox"/> Department Name |
| <input type="checkbox"/> Authorized Official | <input type="checkbox"/> Street Address | <input type="checkbox"/> City |
| <input type="checkbox"/> Zip Code | <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number |
| <input type="checkbox"/> Email Address | <input type="checkbox"/> Website | |

- 1.2a. Lead agency **[Narrative, 150 Characters]** New Mexico Human Services Department (HSD)]

GUIDANCE: This should only include the exact name of the lead agency and an acronym (as applicable).

EXAMPLE: Office of Community Services (OCS)

- 1.2b. Cabinet or administrative department of this lead agency **[Check One and narrative where applicable]**

- Community Affairs Department
- Community Services Department
- Governor’s Office
- Health Department
- Housing Department
- Human Services Department
- Social Services Department
- Other, describe: **[Narrative, 100 characters]**

- 1.2c. **Cabinet or Administrative Department Name:** Provide the name of the cabinet or administrative department of the CSBG authorized official **[Narrative, 100 Characters]** Office of the Secretary

- 1.2d. Authorized official of the lead agency. The authorized official could be the

director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3.). The authorized official is the person indicated as authorized representative on the SF-424M. **[Narrative, 50 Characters each]**

Name _____ Title _____

David R. Scrase, M.D. Cabinet Secretary

- 1.2e. Street Address **[Narrative, 200 characters]** 1474 Rodeo Road
- 1.2f. City **[Narrative, 50 characters]** Santa Fe
- 1.2g. State **[Dropdown]** New Mexico
- 1.2h. Zip Code **[Numerical Response, 5 digits]** 87505
- 1.2i. Work Telephone Number and Extension (if applicable) **[Numerical Response, 10 – 15 digits to include extensions]** 505-827-7752
- 1.2j. Fax Number **[Numerical Response, 10 digits]** 505-827-6286
- 1.2k. Email Address **[Narrative, 150 characters]** david.scrase@state.nm.us
- 1.2l. Lead Agency Website **[Narrative, 200 characters]** <http://www.hsd.state.nm.us/>

Note: Item 1.2. pre-populates the Annual Report, Module 1, Item A.1.

- 1.3. **Designation Letter:** Attach the state’s official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or designated agency has changed. **[Attach a document.]** No change

GUIDANCE: The designation letter should be updated whenever there is a change to the designee.

Instructional Note: The letter should be from the chief executive officer of the state and include, at minimum, the designated state CSBG lead agency and title of the authorized official of the lead agency who is to administer the CSBG grant award.

- 1.4. **CSBG Point of Contact:** Provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has information regarding to the state point of contact changed since the last submission of the state plan? Yes No

If yes, provide the date of change and select the fields that have been updated **[Date Picker and Check all the apply]**

- | | | |
|--|---|---|
| <input type="checkbox"/> Agency Name | <input type="checkbox"/> Point of Contact | <input type="checkbox"/> Street Address |
| <input type="checkbox"/> City | <input type="checkbox"/> State | <input type="checkbox"/> Zip Code |
| <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number | <input type="checkbox"/> Email Address |
| <input type="checkbox"/> Website | | |

- 1.4a. Agency Name **[Narrative, 150 characters]** NM Human Services Department

1.4b. Point of Contact Name [Narrative, 50 characters each]

Name _____ Title _____

Gayla Delgado CSBG Program Manager

1.4c. Street Address [Narrative, 200 characters] 1474 Rodeo Road

1.4d. City [Narrative, 50 characters] Santa Fe

1.4e. State [Dropdown] NM

1.4f. Zip Code [Numerical Response, 5 digits] 87505

1.4g. Office Telephone Number [Numerical Response, 10 – 15 digits to include extensions] 505-709-5782

1.4h. Fax Number [Numerical Response, 10 digits] n/a

1.4i. Email Address [Narrative, 150 characters] gayla.delgado2@state.nm.us

1.4j. Agency Website [Narrative, 200 characters] http://www.hsd.state.nm.us

1.5. Provide the following information in relation to the State Community Action Association.

GUIDANCE: Under this question, please respond yes and provide the information if there is an entity or organization that serves in the capacity of a state community action association that is located within your state, whether voluntarily or contractually. If the entity that serves as the state community action association is located outside of the state, or if there is only a single eligible entity within the state that also performs the functions of a Community Action Association, please answer no to this question.

There is currently a state Community Action Association within the state. Yes No

Has information in regards to the state Community Action Association changed since the last submission of the state plan? Yes No

If yes, provide the date of change and select the fields that have been updated. **[Date Picker and Check all the apply]**

- | | | |
|--|---|---|
| <input type="checkbox"/> Agency Name | <input type="checkbox"/> Executive Director | <input type="checkbox"/> Street Address |
| <input type="checkbox"/> City | <input type="checkbox"/> State | <input type="checkbox"/> Zip Code |
| <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number | <input type="checkbox"/> Email Address |
| <input type="checkbox"/> Website | <input type="checkbox"/> RPIC Lead | |

1.5a. Agency name [Narrative, 150 characters] New Mexico Association of Community Partners

1.5b. Executive Director or Point of Contact [Narrative, 50 characters each]

Name _____ Title _____

Carolyn VanderGiesen Executive Director

- 1.5c. Street Address **[Narrative, 200 characters]** 3810 Desert Pinon Drive NE
- 1.5d. City **[Narrative, 50 characters]** Rio Rancho
- 1.5e. State **[Dropdown]** NM
- 1.5f. Zip Code **[Numerical Response, 5 digits]** 87144
- 1.5g. Telephone Number **[Numerical Response, 10 – 15 digits to include extensions]**
505-321-1292
- 1.5h. Fax Number **[Numerical Response, 10 digits]** n/a
- 1.5i. Email Address **[Narrative, 150 characters]** carolyn@nmacp.com
- 1.5j. State Association Website **[Narrative, 200 characters]** www.nmacp.com
- 1.5k. State Association currently serves as the Regional Performance Innovation
Consortia (RPIC) lead Yes No

Section 2 State Legislation and Regulation

- 2.1. CSBG State Legislation:** State has a statute authorizing CSBG. Yes No
- 2.2. CSBG State Regulation:** State has regulations for CSBG. Yes No
- 2.3. Legislation/Regulation Document:** Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Items 2.1. and/or Item 2.2. **[Attach a document and/or provide a link, 1500 characters]** we can attach the statute

GUIDANCE: The labeling of all attachments should include the question number for which the document provides supplementary information, the question heading, and the type of document provided. As an example, a state statutory document could be labeled as:

2.3. Legislation/Regulation Document, Washington D.C. Statute

- 2.4. State Authority:** Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:
- 2.4a. Authorizing Legislation:** State legislature enacts authorizing legislation or amendments to an existing authorizing statute last federal fiscal year. Yes No
- 2.4b. Regulation Amendments:** State established or amended regulations for CSBG last federal fiscal year. Yes No
- 2.4c. Designation:** State statutory or regulatory authority designates 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 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. **[Narrative, 2500 characters]**

The mission of the New Mexico Human Services Department (HSD) is to transform lives. Working with our partners, we design and deliver innovative, high quality health and human services that improve the security and promote independence for New Mexicans in their communities.

- 3.2. State Plan Goals:** Describe the state’s CSBG-specific goals for state administration of CSBG under this State Plan. **[Narrative, 3000 characters]**

The goals of the State of New Mexico 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 become fully self-sufficient and afford everyone the opportunity to live in decency and dignity. To achieve these goals, the State CSBG 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. Specifically for FY 2022 and FY 2023, the State CSBG Office goal is to provide support to the eligible entities so that all six continue to meet all 58 organizational standards. The standards will ensure that the eligible entities have the capacity to deliver high quality service to low-income individuals and families in order to break the cycle of dependency. The State CSBG Office will also provide support to the eligible entities as need to continue moving forward after the COVID19 pandemic slows down. The State CSBG Office works with all six (6) eligible entities to ensure consistent reporting of the National Performance Indicators (NPIs) throughout the network. This will enable the State CSBG Office to obtain and report on agreed upon measures and outcomes across the State.

GUIDANCE: States should take into account feedback from OCS, their eligible entities, and the ACSI survey completed by eligible entities when creating their state plan goals.

Instructional Note: For examples of “goals,” see State Accountability Measure 1Sa(i).

Note: This information is associated with State Accountability Measure 1Sa(i) and pre-populates the state’s Annual Report, Module 1, Item B.1.

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

3.3a. Analysis of state-level tools [Check all that applies and narrative where applicable]

- State Performance Indicators and/or National Performance Indicators (NPIs)

- U.S. Census data
- State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- Monitoring Visits/Assessments
- Tools not identified above (specify) **[Narrative, 500 characters]**

3.3b. Analysis of local-level tools [Check all that applies and narrative where applicable]

- Eligible entity community needs assessments
- Eligible entity community action plans
- Public Hearings/Workshops
- Tools not identified above (e.g., state required reports) [specify] **[Narrative, 500 characters]**

The State CSBG Office has created quarterly reporting tools to track the achievement of annual goals and simplify annual reporting for the CAAs. The State CSBG Office incorporated quarterly reporting for FY21. The State CSBG Office in partnership with the State Association brought NASCSP in to assist the eligible entities with uniformity in their performance indicators so each eligible entity is reporting the same outcome. NASCSP provided training on reporting tools for Modules 3 and 4. Organizational Standards review and quarterly CSBG meetings, all provided analysis of local level tools. Due to the late submission of this annual report the two processes implemented in FY21 have provided additional information utilized in preparing this State Plan.

3.3c. Consultation with [Check all that applies and narrative where applicable]

- Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
 - State Association
 - National Association for State Community Services Programs (NASCSPP)
 - Community Action Partnership (The Partnership)
 - Community Action Program Legal Services (CAPLAW)
 - CSBG Tribal Training and Technical Assistance (T/TA) provider
 - Regional Performance Innovation Consortium (RPIC)
 - Association for Nationally Certified ROMA Trainers (ANCRT)
 - Federal CSBG Office
 - Organizations not identified above (specify) **[Narrative, 500 characters]**
- Tracking software- The State CSBG Office will require all eligible entities to received annual training on the software they use to track CSBG outcomes.

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the state took in developing the State Plan to involve the eligible entities. [Narrative, 3000 Characters]

The eligible entities and the State Association were provided a copy of the draft plan on May XX, 2021 for comment and feedback. The eligible entities and State

Association were also informed of the public hearing which was held on June XX, 2021 from 10 to 11 am. The virtual public hearing was held via Zoom. *** **Need to update**

Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the state's annual report form.

3.4b. Performance Management Adjustment: Describe how the state has adjusted its State Plan development procedures under this State Plan, as compared to previous plans, in order to 1) encourage eligible entity participation and 2) 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, such as the public hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 3000 Characters]**

1. The State CSBG Office will encourage eligible entities to participate in the planning process of the State Plan, by communicating and requesting feedback.
2. The State CSBG Office will ensure the State Plan reflects relevant input from eligible entities.

Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.

3.5. Eligible Entity Overall Satisfaction: Provide the state's target for eligible entity Overall Satisfaction during the performance period. Year One ~~75~~ Year Two 75. **[Numerical, 3 digits]**

Instructional Note: The state's target score will indicate improvement or maintenance of the states' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state's eligible entities.

Note: Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the state's annual report form.

GUIDANCE: The targets reported here should match the future target set in the Annual Report, Section B, Table B.2.

GUIDANCE: Review the [ACSI IM](#) about setting targets for your eligible entity overall satisfaction that are realistic, reasonable, attainable, and possible.

Section 4 CSBG Hearing Requirements

- 4.1. Public Inspection:** Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act. **[Narrative, 2500 Characters]**

A virtual public hearing was held on June XX, 2021 from 10 am to 11 am. Notice of the public hearing was published in (1) the Albuquerque Journal, a newspaper available throughout the State that is used for public announcements; and (2) the New Mexico Register, the official publication for notices of rule-making and other materials related to administrative law. These notices provided a telephone number to request a copy of the proposed State Plan, and also provide the following hyperlink to the proposed Plan on HSD's website: <http://www.hsd.state.nm.us/LookingForInformation/income-support-division-plans-and-reports.aspx>. The final State Plan will be available for inspection through the same telephone number and hyperlink. Additionally, the final State Plan will be distributed to the eligible entities and the State Association.

GUIDANCE: Under this question, detail how the state provided the State Plan to the public, including providing sufficient time (ideally no fewer than 30 days) for the public to provide feedback prior to the public hearing. Distribution to the public should include distribution directly to the eligible entities (e.g. via email or publication on a public website with specific notification to the eligible entities) in the state as well as any other interested parties.

- 4.2. Public Notice/Hearing:** Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act. **[Narrative, 2500 Characters]**

Notice of the virtual public hearing was published 30 days prior to the public hearing in (1) the Albuquerque Journal, a newspaper available throughout the State that is used for public announcements; and (2) the New Mexico Register, the official publication for notices of rule-making and other materials related to administrative law.

- 4.3. Public and Legislative Hearings:** In the table below, 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 Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

Instructional Note: A public hearing is required for each new submission of the State Plan. 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 <i>[Select an option]</i>	If a Combined Hearing was held confirm that the public was invited.
[Select a date]	[Narrative, Facility and City, 100 characters]	<input type="radio"/> Public <input type="radio"/> Legislative <input type="radio"/> Combined	<input type="checkbox"/>

ADD a ROW function Note: States will be able to add as needed for each additional hearing.

GUIDANCE: A combined hearing refers to having one joint public and legislative hearing.

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.
[Attach supporting documentation or provide a hyperlink(s), 500 characters]

GUIDANCE: Supporting documentation may include, but is not limited to, agendas, sign-in sheets, transcripts, and notices/advertisements of the hearings. All attachments should include the question number, question heading, type of document and the date of the hearing/meeting (as applicable).

EXAMPLE: An agenda would be named: 4.4. Public and Legislative Hearings Agenda 062117

Section 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities: In the table below, indicate whether eligible entity in the state public or private, the type(s) of entity, and the geographical area served by the entity.

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity (choose all that apply)
[READ-ONLY]	[READ-ONLY]	[READ-ONLY]	<ul style="list-style-type: none"> • Community Action Agency • Limited Purpose Agency • Migrant or Seasonal Farmworker Organization • Tribe or Tribal Organization
			•
			•
			•
			•
THE ADD-A-ROW FUNCTION WILL NOT BE AVAILABLE ON THIS TABLE. ANY ADDITIONS/DELETIONS TO THE ELIGIBLE ENTITY LIST SHOULD BE MADE WITHIN THE MASTER LIST.			

Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other

#	CSBG Eligible Entity	Geographical Area Served by county (Provide all counties)	Public or Nonprofit	Type of Entity [choose all that apply]
•	Community Action Agency of Southern New Mexico	Hidalgo County, Luna County, Dona Ana County, Sierra County, Grant County	Non-Profit	Community Action Agency
•	Economic Council Helping Others, Inc.	San Juan County	Non-Profit	Community Action Agency
•	HELP-New Mexico	Rio Arriba County, Taos County, Colfax County, Mora County, San Miguel County, Los Alamos County, Santa Fe County, Torrance County, Bernalillo County, Sandoval County	Non-Profit	Community Action Agency, Migrant or Seasonal Farmworker Organization
•	Mid-West New Mexico Community Action Program	McKinley County, Cibola County, Valencia County, Socorro County, Catron County	Non-Profit	Community Action Agency
•	Eastern Plains Community Action Agency	Union County, Harding County, Guadalupe County, Quay County, Curry County, De Baca County, Roosevelt County	Non-Profit	Community Action Agency
•	Southeast New Mexico Community Action Corporation	Lincoln County, Chaves County, Lea County, Eddy County, Otero County	Non-Profit	Community Action Agency

5.2 Total number of CSBG eligible entities 6

Note: Table 5.1. pre-populates the Annual Report, Module 1, Table C.1.

GUIDANCE: Under *Type of Entity*, select more than one type by holding down the CTRL key while making selections.

Commented [GD1]: This will be entered in the above once the template is released

Note: Whether nonprofit or public, entities that receive CSBG funds are generally considered to be Community Action Agencies for the purpose of administering CSBG. The only specific exceptions outlined in the CSBG Act are Limited Purpose Agencies, Migrant and Seasonal Farmworker organizations, and Tribes and Tribal Organizations

Instructional Note: Limited Purpose Agency refers to an eligible entity that was designated as a limited purpose agency under Title II of the Economic Opportunity Act of 1964 for fiscal year 1981, that served the general purposes of a community action agency under Title II of the Economic Opportunity Act, that did not lose its designation as a limited purpose agency under Title II of the Economic Opportunity Act as a result of failure to comply with that Act and that has not lost its designation as an eligible entity under the CSBG Act.

Instructional Note: 90 percent funds are the funds a state provides to eligible entities to carry out the purposes of the CSBG Act, as described under Section 675C of the CSBG Act. A state must provide “no less than 90 percent” of their CSBG allocation, under Section 675B, to the eligible entities.

5.2. Total number of CSBG eligible entities: 06 [This will automatically update based on Table 5.1.]

5.3. Changes to Eligible Entities List: Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list: **[Check all that apply].**

- Designation and/or Re-Designation
- De-designations and/or Voluntary Relinquishments
- Mergers
- No Changes to Eligible Entities List

GUIDANCE: The following three questions will only need to be answered based on your response to 5.3.

5.3a. Designation and Re-Designation: Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity. N/A

CSBG Eligible Entity	Type	Start Date	Geographical Area Served
[Narrative, 150 characters]	[Dropdown: <ul style="list-style-type: none"> • Designation • Permanent Re-Designation • Interim Re-Designation] 	[Date Picker]	[Narrative, 550 characters]
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.			

GUIDANCE: A designation refers to an entity that was not receiving funding in the previous federal fiscal year(s) and/or was not included in the previous CSBG State Plan. Re-designation refers to an entity that is already designated/receiving funds but is now receiving funds to serve an additional geographic area previously served by another entity. A permanent re-designation **must be conducted consistent with procedures outlined in Section 676A of the CSBG Act.** An interim re-designation may be noted when an entity has been identified to provide services after a voluntary relinquishment pending official designation of a permanent entity consistent with the requirements of Section 676A. See CSBG Act 676A, *Designation and Redesignation...*, for more information.

5.3b. De-Designations and Voluntary Relinquishments: Identify any entities that are no longer receiving CSBG funding. Include any eligible entities have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last federal fiscal year. N/A

CSBG Eligible Entity	Reason
[Narrative, 150 characters]	[Dropdown: <ul style="list-style-type: none"> • Termination/De-designation • Voluntary Relinquished]
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.	

5.3c. Mergers: In the table below, provide information about any mergers or other combinations of two or more eligible entities that were each listed in the prior year state plan.

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.
[Narrative, 500 characters] <i>List and number all entities involved.</i>	[Narrative, 150 characters]	[Narrative, 150 characters]	[Narrative, 150 characters]
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.			

GUIDANCE: This question refers to the merger of two or more existing CSBG eligible entities only. If an organization that was not previously a CSBG eligible entity merges is the surviving organization in a merger with a CSBG eligible entity, the new entity should be listed under 5.3a. as a new designation, while the previously funded CSBG eligible entity should be included under 5.3b.

N/A

Section 6 Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

6.1. Choice of Standards: Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period. **[Select one]**

- COE CSBG Organizational Standards
- Modified version of COE CSBG Organizational Standards
- Alternative set of organizational standards

Note: Item 6.1. pre-populates the Annual Report, Module 1, Item D.1.

6.1a. Modified Organizational Standards: In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.
[Narrative, 2500 characters]

6.1b. Alternative Organizational Standards: If using an alternative set of organizational standards, attach the complete list of alternative organizational standards. **[Attachment (as applicable)]**

6.1c. Alternative Organizational Standards: If using an alternative set of organizational standards: 1) provide any changes from the last set provided during the previous State Plan submission; 2) describe the reasons for using alternative standards; and 3) describe how they are at least as rigorous as the COE- developed standards.

There were no changes from the previous State Plan submission **[Narrative, 2500 characters if not selected]**

Provide reason for using alternative standards **[Narrative, 2500 characters]**

Describe rigor compared to COE-developed Standards **[Narrative, 2500 characters]**

6.2. Implementation: Check the box that best describes how the state officially adopted organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. **[Check all that applies and narrative (as applicable)]**

- Regulation
- Policy
- Contracts with eligible entities
- Other, describe: **[Narrative, 5000 characters]**

6.3. Organizational Standards Assessment: Describe how the state will assess eligible entities against organizational standards this federal fiscal year(s). **[Check all that apply]**

- Peer-to-peer review (with validation by the state or state-authorized third party)
- Self-assessment (with validation by the state or state-authorized third party)
- Self-assessment/peer review with state risk analysis
- State-authorized third party validation
- Regular, on-site CSBG monitoring
- Other

6.3a. Assessment Process: Describe the planned assessment process. **[Narrative, 5000 characters]**

The State CSBG Office uses several monitoring tools to ensure the six (6) eligible entities continue to meet all 58 Organizational Standards throughout the year. The State CSBG Office will continue to ensure the monitoring tools and processes put into place do not need adjustments. The State CSBG Office will obtain verification on compliance for all Standards where the calendar of events state if changed or as needed during the yearly application/ amendment process. Standards that are met with Board minutes/packets will be obtained four (4) to six (6) times a year depending on how often the eligible entity holds board meetings. The Board minutes will meet a standard as long as there is a Board quorum, and the minutes document a conversation and/or approval of a standard. For 2023, year two (2), the organizational standards will be assessed as part of the State CSBG Offices daily operations, the application/amendment process, annual report will be done yearly and two (2) onsite management evaluations for those eligible entities that are scheduled for an onsite management evaluation will take place.

GUIDANCE: Descriptions should also include improvements to the process made since the previous year including any new processes to increase efficiency or consistency of assessments.

6.4. Eligible Entity Exemptions: Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? Yes No

GUIDANCE: The following question will only need to be answered based on your response to 6.4.

6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption. Total Number of Exempt Entities: **[Auto – calculated]**

CSBG Eligible Entity	Exemption Provided	Description/Justification
[Narrative, 150 characters]	[Select Yes or No]	[If Yes is selected, provide a narrative, 2500 characters]

CSBG Eligible Entity	Exemption Provided	Description/Justification
ADD a ROW function Note: Rows will be able to be added for each additional exception.		

6.5. Performance Target: Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for the FFY(s) of this planning period. **[Insert a percentage]**

Year One 100%

Year Two 100%

Note: Item 6.5. is associated with State Accountability Measures 6Sa and pre-populate the Annual Report, Module 1, Table D.2.

GUIDANCE: Prior to setting the target, states should review [IM 138](#), review previous performance, and collaborate with the eligible entities and state association in identifying targets.

**SECTION 7
State Use of Funds**

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1. Formula: Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Check one and narrative where applicable]**

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

7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities. **[Narrative, 5000 characters]**

New Mexico provides a base amount of \$50,000 to each eligible entity and then the remainder of funds are allocated by using census data and the number of persons in poverty by county. New Mexico has 33 counties. The eligible entities in New Mexico service anywhere from one (1) to ten (10) counties.

7.1b. Statute: Does a state statutory or regulatory authority specify the formula for allocating “not less than 90 percent” funds among eligible entities? Yes No

7.2. Planned Allocation: Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and “not less than 90 percent funds” as described under Section 675C(a) of the CSBG Act. In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

Year One 90% %Year Two 90% %

Commented [AM2]: Have you worked with Stephanie to verify the financial pieces of this report?

Planned CSBG 90 Percent Funds – Year One	
CSBG Eligible Entity	Funding Amount \$
Pre-populates from the CSBG Eligible Entity Master List	Enter the dollar amount for each eligible entity for the first FFY covered by this plan
Total	Auto-calculated

Year One	90.00%	Year Two	90.00%
Planned CSBG 90 Percent Funds			
CSBG Eligible Entity	Year One Funding Amount \$	Del	ete

Community Action Agency of Southern New Mexico	668,067.
Economic Council Helping Others, Inc.	\$265,824
HELP-New Mexico	\$1,619,837
Mid-West New Mexico Community Action Program	\$451,023
Eastern Plains Community Action Agency	\$210,444
Southeast New Mexico Community Action Corporation	\$496,611
Total	\$3,594,123

Planned CSBG 90 Percent Funds – Year Two	
CSBG Eligible Entity	Funding Amount \$
Pre-populates from the CSBG Eligible Entity Master List	Enter the dollar amount for each eligible entity for the second FFY covered by this plan
Total	Auto-calculated

Year One	90.00%	Year Two	90.00%
Planned CSBG 90 Percent Funds			
CSBG Eligible Entity	Year One Funding Amount \$	Del	ete
Community Action Agency of Southern New Mexico	668,067.		
Economic Council Helping Others, Inc.	\$265,824		
HELP-New Mexico	\$1,619,837		
Mid-West New Mexico Community Action Program	\$451,023		
Eastern Plains Community Action Agency	\$210,444		
Southeast New Mexico Community Action Corporation	\$496,611		
Total			\$3,594,123

Note: This information pre-populates the state’s Annual Report, Module 1, Table E.2.

- 7.3. Distribution Process:** Describe the specific steps in the state’s process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission). **[Narrative, 5000 characters]**

The Human Services Department (HSD) implements CSBG by awarding a four (4) year Governmental Services Agreement (GSA), amended annually if needed, to the six (6) eligible entities in New Mexico. For each state fiscal year contract period (July 1st through June 30th) the State CSBG Office provides each eligible entity with its projected allocation of CSBG funds. Each entity then submits an application or amendment for funding within approximately 45 days of receiving its projected allocation. Yearly, through the application or amendment, many documents are obtained which help each eligible entity meet the 58 organizational standards. The State CSBG Office reviews the application or amendment and all documentation submitted and identifies any concerns to the entity. The budget, budget justification forms, and outcome plans may be revised. Review and revisions by the State CSBG Office takes approximately 30 days. When finalized, the budget and outcome plan are incorporated into the GSA or amendment. The GSA or amendments must be approved within the HSD, Contract or amendment drafting and approval takes approximately 60 days. Following the execution of the GSA or amendment, and contingent on the availability of federal funds, compensation is by quarterly advance payments to eligible entities in good standing. The State will provide these quarterly payments within 30 days of notification of the distribution of the federal award.

7.4. Distribution Timeframe: Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? Yes No

7.4a. Distribution Consistency: If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.
[Narrative, 5000 Characters]

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may pre-populate the state's annual report form.

7.5. Performance Management Adjustment: Describe the state's strategy for improving grant and/or contract 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, such as the public hearing. If the state is not making any improvements, provide further detail.
[Narrative, 5000 Characters]

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 State CSBG Office request, each eligible entity submits a written request for the advance amount. The State CSBG Office reviews and authorizes the payment using the HSD accounting software. The payment is processed by HSD accounts payable unit and approved by the New Mexico Department of Finance and Administration.

Note: This information is associated with State Accountability Measure 2Sb and may pre-populate the state's annual report form.

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

7.6. Allocated Funds: Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State Plan.

Year One 5 ___% Year Two 5 ___% [Numeric response, specify %]

Note: This information pre-populates the state’s Annual Report, Module 1, Table E.4.

7.7. State Staff: Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan.

Year One 5 ___ Year Two 5 ___ [Numeric response, 0.00 – 99.99]

7.8. State FTEs: Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan?

Year One 2 ___ Year Two 2 ___ [Numeric response, 0.00 – 99.99]

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

7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds, as described in Section 675C(b) of the CSBG Act? Yes No

GUIDANCE: “No” should only be selected if the percentages provided under 7.2. and 7.6. equal to 100%.

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below. **Year One 5 ___%** **Year Two 5 ___%**

Note: This response will link to the corresponding assurance, Item 14.2.

Instructional Note: The assurance under 676(b)(2) of the Act (Item 14.2 of this State Plan) 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].” Include this description in Item 7.9f of the table below and/or attach the information.

If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. – 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.

Note: This information is associated with State Accountability Measures 3Sa and pre-populates the Annual Report, Module 1, Table E.7.

Use of Remainder/Discretionary Funds – Year One		
Remainder/Discretionary Fund Uses <small>(See 675C(b)(1) of the CSBG Act)</small>	Planned \$	Brief Description of Services and/or Activities
7.9a. Training/technical assistance to eligible entities	Enter either a planned \$ for each item listed	These planned services/activities will be described in State Plan Item 8.1 [Read Only]

Use of Remainder/Discretionary Funds – Year One		
Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
7.9b. Coordination of State-operated programs and/or local programs	for the first FFY that this plan covers.	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read Only]
7.9c. Statewide coordination and communication among eligible entities		These planned services/activities will be described in State Plan Section 9, State Linkages and Communication [Read Only]
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need		[Narrative, 5000 characters]
7.9e. Asset-building programs		[Narrative, 5000 characters]
7.9f. Innovation programs/activities by eligible entities or other neighborhood group		Describe here. [Narrative, 5000 characters]
7.9g. State charity tax credits		[Narrative, 5000 characters]
7.9h. Other activities [Specify under Column 4]		Specify the other activities funded through discretionary funds here. [Narrative, 5000 characters]
Totals		Auto-calculated

7.9a. Training/technical assistance to eligible entities	\$55,000.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$10,000.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$5,000.00	submission of the FY2020 state plan.
7.9e. Asset-building programs	\$0.00	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$13,500.00	Workshops, conference and or national presenters.
Total	\$83,500.00	
Remainder/Discretionary Fund Uses	Year Two Planned \$	Brief description of services/activities
7.9a. Training/technical assistance to eligible entities	\$60,000.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$10,000.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$5,000.00	To be revised by the state upon initialization and submission of the FY2021 state plan.
7.9e. Asset-building programs	0	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	

7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$5,500.00	\$5,500. for Workshops, conference and or national presenters
Total	\$75,000.00	

GUIDANCE: If the percentages provided under 7.2. and 7.6. do not equal 100%, the remaining percentage should be reported under 7.9. If the state does not have any remainder/ discretionary fund activities (as listed in 7.9a. – 7.9g.), the remainder should be described in 7.9h.

7.10. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the state plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in Table 7.9. **[Check all that apply and narrative where applicable]**

- The state directly carries out all activities (No Partnerships)
- The state partially carries out some activities
- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **[Numeric response, 0 – 100]**
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other **[Narrative, 2500 characters]**

Note: This response will link to the corresponding CSBG assurance in Item 14.2.

7.11. Performance Management Adjustment: Describe any adjustments the state will make to 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, such as the public hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 5000 Characters]**

There were no comments received regarding the Performance Management Adjustments during our Public Hearing and Public Comment Period. In both year one (2022) and two (2023), the State CSBG Office will partner with the State Association to conduct a statewide community needs assessment. The State CSBG Office and the State Association will continue to provide guidance and training to all eligible entities to ensure consistent reporting of NPIs across the network. Additionally, training and technical assistance (T/TA) will continually be made available to the eligible entities to increase knowledge within the network regarding ROMA, Community Action Plans and Strategic Planning. Any remaining discretionary funds from FFY 2022 will be moved into the SFY 2023 GSAs.

Note: This information is associated with State Accountability Measures 3Sb, and may pre-populate the state’s annual report form.

SECTION 8
State Training and Technical Assistance

8.1. Training and Technical Assistance Plan: Describe the state’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9a., Use of Remainder/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remainder/discretionary funds.)

Note: This information is associated with State Accountability Measure 3Sc and pre-populates the Annual Report, Module 1, Table F.1.

GUIDANCE: Table 8.1. should only include the trainings that are being paid for using state discretionary training and technical assistance funds as noted under 7.9a.

Training and Technical Assistance – Year One			
Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Dropdown Options: <ul style="list-style-type: none"> • FY1 Q1 • FY1 Q2 • FY1 Q3 • FY1 Q4 • Ongoing/Multiple Quarters • All quarters 	Toggle Options: <ul style="list-style-type: none"> • Training • Technical Assistance • Both 	Dropdown Options: <ul style="list-style-type: none"> • Fiscal • Governance/Tripartite Boards • Organizational Standards – General • Organizational Standards – for eligible entities with unmet TAPs or QIPs • Correcting Significant Deficiencies Among Eligible Entities • Reporting • ROMA • Community Assessment • Strategic Planning • Monitoring • Communication • Technology • Other 	If other is selected in column 3, describe in this column
[Select one dropdown per row]	[Select one dropdown per row]	[Select one dropdown per row]	[Narrative, 500 characters]
ADD A ROW function Note: Rows will be able to be added for each additional training			

Training and Technical Assistance – Year Two			
Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
Dropdown Options: <ul style="list-style-type: none"> • FY2 Q1 • FY2 Q2 • FY2 Q3 	Toggle Options: <ul style="list-style-type: none"> • Training • Technical Assistance 	Dropdown Options: <ul style="list-style-type: none"> • Fiscal • Governance/Tripartite Boards • Organizational Standards – General 	If other is selected in column 3, describe in this column

Training and Technical Assistance – Year Two			
Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
<ul style="list-style-type: none"> FY2 Q4 Ongoing/Multiple Quarters All quarters 	<ul style="list-style-type: none"> Both 	<ul style="list-style-type: none"> Organizational Standards – for eligible entities with unmet TAPs or QIPs Correcting Significant Deficiencies Among Eligible Entities Reporting ROMA Community Assessment Strategic Planning Monitoring Communication Technology Other 	
[Select one dropdown per row]	[Select one dropdown per row]	[Select one dropdown per row]	[Narrative, 500 characters]

ADD A ROW function Note: Rows will be able to be added for each additional training

Training and Technical Assistance - Year One				
	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	FY1-Q1	Training	Organizational Standards - General	
2	FY1-Q1	Training	Governance/Tripartite Boards	
3	FY1-Q1	Technical Assistance	ROMA	
4	FY1-Q1	Technical Assistance	Other	NPIs
5	FY1-Q2	Technical Assistance	Community Assessment	
6	FY1-Q2	Training	ROMA	
7	FY1-Q2	Technical Assistance	Governance/Tripartite Boards	
8	FY1-Q2	Training	Other	NPIs
9	FY1-Q3	Technical Assistance	Organizational Standards - General	
10	FY1-Q3	Training	ROMA	
11	FY1-Q3	Both	ROMA	
12	FY1-Q4	Technical Assistance	Other	Human Resources
13	FY1-Q4	Training	Governance/Tripartite Boards	
14	FY1-Q4	Training	Communication	
15	FY1-Q4	Training	Monitoring	
16		Both		

Commented [GD3]: When this is entered into OLDC, the following changes will occur Make the Governance/Tripartite board technical assistance instead of training for both year one and year two. We are unable to make that change on this document.

	<u>Planned Timeframe</u>	<u>Training, Technical Assistance, or Both</u>	<u>Topic</u>	<u>Brief Description of "Other"</u>
1	<u>FY2-Q1</u>	<u>Training</u>	<u>Governance/Tripartite Boards</u>	
2	<u>FY2-Q1</u>	<u>Training</u>	<u>Fiscal</u>	
3	<u>FY2-Q1</u>	<u>Training</u>	<u>ROMA</u>	
4	<u>FY2-Q2</u>	<u>Training</u>	<u>Governance/Tripartite Boards</u>	
5	<u>FY2-Q2</u>	<u>Training</u>	<u>Organizational Standards - General</u>	
6	<u>FY2-Q2</u>	<u>Training</u>	<u>ROMA</u>	
7	<u>FY2-Q3</u>	<u>Both</u>	<u>Governance/Tripartite Boards</u>	
8	<u>FY2-Q3</u>	<u>Training</u>	<u>Other</u>	<u>NPIs</u>
9	<u>FY2-Q3</u>	<u>Technical Assistance</u>	<u>ROMA</u>	
10	<u>FY2-Q4</u>	<u>Training</u>	<u>Organizational Standards - General</u>	
		<u>Training</u>		

8.1a. Training and Technical Assistance Budget: The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9):

Year One 83,500

Year Two 75,500

[Prepopulated with the budget allocation for years one and two under 7.9a]

8.1b. Training and Technical Assistance Collaboration: Describe how the state will collaborate with the State Association and other stakeholders in the planning and delivery of training and technical assistance. **[Narrative, 2500 characters]**

The State CSBG Office will collaborate with the State Association to develop a statewide T/TA plan. The State Association will employ a T/TA survey to collect data from the six (6) eligible entities. The quarterly training events will highlight the five (5) to six (6) highest ranking needs. The State CSBG Office and State Association will meet quarterly with the six (6) eligible entities to ensure the plan is on target and include any changes in the quarterly training calendar.

8.2. TAPs and QIPs: Does the state have Technical Assistance Plans (TAPs) and/or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, if appropriate? **[Select one]** Yes No

Note: 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the state, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the state should put a TAP in place to support the entity in meeting the standard(s).

8.2a. Address Unmet Organizational Standards: Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. **[Narrative, 2500 characters]**

8.3. Training and Technical Assistance Organizations: Indicate the types of organizations through which the state plans to provide training and/or technical assistance as described in Item 8.1, and briefly describe their involvement. (Check all that apply.) **[Check all that applies and narrative where applicable]**

- CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) **[Numeric response, 0 – 100]**
- Other community-based organizations
- State Community Action Association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations
- Other **[Narrative, 1000 characters]**

8.4. Performance Management Adjustment: Describe adjustments the state made to 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, such as the public hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

The State CSBG Office will expand efforts in the areas of consistent reporting parameters of NPIs, ROMA, CSBG Annual Report and Theory of Change. The State CSBG Office, in partnership with the State Association, will work with National and Regional Partners to ensure these efforts are successful. The State CSBG Office will refer to the ACSI survey as a tool to enhance customer service and will consider all feedback from eligible entities, OCS and all sources to ensure proper T/TA. The State CSBG Office, in partnership with the State Association, is also reaching out to the eligible entities through recorded webinars which allow our eligible entities to access these T/TA webinars as needed.

Note: This information is associated with State Accountability Measures 3Sd and may pre-populate the state’s annual report form.

SECTION 9

State Linkages and Communication

Note: This section describes activities that the state may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The state may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

- 9.1. State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the state level that the state intends 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 required by the assurance under Section 676(b)(5)). Describe additional information as needed. **[Check all that apply from the list below and provide a Narrative, 5000 Characters]**

Note: This response will link to the corresponding CSBG assurance, Item 14.5. In addition, this information is associated with State Accountability Measure 7Sa and pre-populates the Annual Report, Module 1, Item G.1.

- 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. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the state intends to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Section 676(b)(5) – (6)). **[Narrative, 5000 Characters]**

Within the Human Services Department (HSD), the Income Support Division's Work and Family Support Bureau (WSFB) manages the CSBG, LIHEAP, TANF and Refugee programs. During 2020-2021, the WSFB built on administrative linkages between these programs and worked to further coordinate service delivery across these programs at the administrative and local level. WSFB would like to continue providing opportunities to bring together all six (6) eligible entities, New Mexico TANF contractors and New Mexico Work Force Solutions to allow each participant an opportunity to speak about their

program needs in their communities and the struggles they experience in hopes that partnerships between the eligible entities and New Mexico Department of Workforce Solutions and TANF contractors can be created

Note: This response will link to the corresponding CSBG assurances, Items 14.5 and 14.6, and pre-populates the Annual Report, Module 1, Item G.2.

9.3. Eligible Entity Linkages and Coordination

9.3a. State Assurance of Eligible Entity Linkages and Coordination: Describe how the state will assure that eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). **[Narrative, 5000 Characters]**

FFYs 2020 and 2021, brought new challenges to all six (6) eligible entities in New Mexico. Faced with the COVID19 pandemic, the eligible entities were forced to be creative in finding ways to reach and help those individuals and families in need. That need skyrocketed when the Governor of New Mexico ordered the complete shutdown of the state in March 2020. The state began the slow process of reopening in 2021, but the need is still great. During this time, the eligible entities partnered with many public, nonprofit, and private organizations in their service areas to provide services, resources and opportunities for individuals and families in need.

Note: This response will link to the corresponding CSBG assurance, Item 14.5. and pre-populates the Annual Report, Module 1, Item G.3a.

9.3b. State Assurance of Eligible Entity Linkages to Fill Service Gaps: 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, according to the assurance under Section 676(b)(3)(B) of the CSBG Act. **[Narrative, 5000 Characters]**

In FY 2022 and 2023, 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. Through formal and informal arrangements with government agencies, businesses, faith-based organizations, educational 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. The State CSBG Office will emphasize the importance of the development of linkages by the eligible entities to fill identified service gaps. The State CSBG Office along with the State Association will incorporate discussions about developing linkages to fill identified gaps during each quarterly CSBG meetings.

Note: This response will link to the corresponding CSBG assurance, Item 14.3b. and pre-populates the Annual Report, Module 1, Item G.3b.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training

Activities: Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?

Yes No

Note: This response will link to the corresponding CSBG assurance, Item 14.5.

9.4a. WIOA Combined Plan: If the state selected yes under Item 9.4, provide the CSBG-specific information included in the state’s WIOA Combined Plan. This information includes a description of how the state and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy. **[Narrative, 5000 Characters]**

9.4b. Employment and Training Activities: If the state selected no under Item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system. **[Narrative, 5000 Characters]**

WIOA programs under HELPNM:

Northern WIOA Adult and Dislocated Worker: This program provides work information, work readiness, job training and job development along with supportive services to assist individuals ages 18 and above in finding meaningful employment and provides assistance to employers to find the skilled workers they need to compete and succeed in business. Coordination for employment and training activities and co-location within NM Workforce Center offices assists clients in accessing available workforce programs. **Northern WIOA Youth Program** The purpose of the WIOA youth services is to assist youth 16 - 24 in making a successful transition to employment and further education. This is a comprehensive year-round program for youth in which activities and services are tailored to meet the unique needs of youth within a local workforce area. The eligible entity that provides this service ensures that applicants and participants are provided with information on the full array of applicable and available services including the ten program elements that are available through its program design. Coordination for employment and training activities and co-location within NM Workforce Center offices assists clients in accessing available workforce programs. **YouthBuild:** Low-income young people learn construction skills through building affordable housing for homeless and low-income people in their neighborhoods and other community assets such as schools, playgrounds, and community centers. For unemployed young people who left high school without a diploma, YouthBuild is an opportunity to reclaim their educations, gain the skills they need for employment, and become leaders in their communities.

Close coordination with workforce activities and partners are required.

SNAP Employment & Training (E & T) under HELPNM: The Statewide SNAP Employment and Training (SNAP E&T) Program provided by one eligible entity helps SNAP participants gain skills, training, or work experience to increase their ability to obtain regular employment that leads to economic self-sufficiency. Additionally, the E&T program offers a way to allow SNAP recipients to meet SNAP work requirements. YouthBuild is a WIOA funded program.

- 9.5. Emergency Energy Crisis Intervention:** Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act.

[Narrative, 5000 Characters]

HSD is the designated State agency for the administration of the Low-Income Home Energy Assistance Program (LIHEAP). Most eligible entities use CSBG or other funding to provide emergency utility payment assistance. All entities have effective working relationships with the HSD Income Support Division offices in their service areas. They make and receive client referrals and may assist clients applying for LIHEAP or other benefits. Utility payment assistance and local coordination between the eligible entities and HSD will continue in FY 2022 and FY 2023.

Note: This response will link to the corresponding CSBG assurance, Item 14.6.

- 9.6. Faith-based Organizations, Charitable Groups, Community Organizations:** Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act. **[Narrative, 5000 characters]**

Eligible entity partnerships result from the eligible entities' knowledge of other programs, funding, and agencies in their service areas. The partnerships are achieved through formal and informal arrangements, financial agreements, memorandums of understanding and alliances. These partnerships for coordinated service delivery will continue in FY 2022 and FY 2023. Using the applicable ROMA National Performance Indicators for their Outcome Plans, eligible entities are contractually required to describe their partnerships with government, private, nonprofit and faith-based organizations at the community, state, and national levels. The Organizational Standards, also require each eligible entity to demonstrate its partnerships throughout the community.

Note: this response will link to the corresponding assurance, Item 14.9

- 9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:** Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act. **[Narrative, 5000 Characters]**

Associations regarding performance on State Accountability Measures. **[Narrative, 5000 Characters]**

The State CSBG Office holds a quarterly face to face or virtual meetings with all eligible entities and will incorporate a discussion on the state accountability measures during these meetings. The State CSBG Office will provide the feedback electronically to the eligible entities and the State Association and will schedule a meeting or conference call to discuss the results if information cannot wait until the next quarterly meeting. Notes from the meeting will be distributed electronically.

Note: This information is associated with State Accountability Measure 5S(iii) and will pre-populate the Annual Report, Module 1, Item G.6.

GUIDANCE: Under this question, include how the state will provide information to local entities and state associations within 60 days of receiving feedback from OCS.

9.11. Performance Management Adjustment: Describe any adjustments the state made to 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, such as the public hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 5000 Characters]**

The State CSBG Office and the State Association have worked together using feedback from the six (6) eligible entities to update the communication plan. It is important to the State CSBG Office that we communicate the changes and request feedback and find a method to ensure a strong Plan is developed and utilized.

Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the state’s annual report form.

SECTION 10
Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the CSBG 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.

Note: This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.

GUIDANCE: Monitoring that is specific to organizational standards should be referenced within Section 6, Item 6.3a.

Monitoring Schedule – Year One						
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
Narrative, 150 characters	[Dropdown Options: <ul style="list-style-type: none"> • Full On-Site • Newly Designated • Follow-up • Other • No Review] 	[Dropdown Options: <ul style="list-style-type: none"> • Onsite Review • Desk Review] 	[Dropdown Options: <ul style="list-style-type: none"> • FY1 Q1 • FY1 Q2 • FY1 Q3 • FY1 Q4] 	Select a Date	Select a Date	If “Other” is selected in Column 2, describe in this column [Narrative, 500 characters]

CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
Community Action Agency of Southern New Mexico	Full On-site	Onsite Review	FY1 Q1	12/12/2018	12/14/2018	

Economic Council Helping Others, Inc.	Other	Desk Review	FY1 Q4	11/06/2017	11/08/2017	Desk Review for the Organizational Standards, Fiscal, Annual Report and Application/ amendment.
HELP-New Mexico	Other	Desk Review	FY1 Q4	12/2/19	12/6/19	Desk Review for the Organizational Standards, Fiscal, Annual Report and Application/ amendment.
Mid-West New Mexico Community Action Program	Other	Desk Review	FY1 Q4	10/03/2017	10/05/2017	Desk Review for the Organizational Standards, Fiscal, Annual Report and Application/ amendment.
Eastern Plains Community Action Agency	Other	Desk Review	FY1 Q4	11/13/16	11/15/19	Desk Review for the Organizational Standards, Fiscal, Annual Report and Application/ amendment.

Southeast New Mexico
Community Action Corporation Full On-site Onsite Review FY1 Q1 11/14/2018 11/16/2018

1	Community Action Agency of Southern New Mexico	Other	Desk Review	FY2 Q4	12/12/2018	12/14/2018	Desk Review for the Organizational Standards, Fiscal, Annual Report and Application/ amendment.
2	Economic Council Helping Others, Inc.	Other	Desk Review	FY2 Q1	11/06/2017	11/08/2017	ECHO is planned for a modified Onsite assessment in the 4 th quarter of FY20 which should take take place prior to September 30, 2021

3	HELP-New Mexico	Full onsite	Onsite Review	FY2 Q1	11/13/2017	11/15/2017	Desk Review for the Organizational Standards, Fiscal, Annual Report and Application/ amendment.
4	Mid-West New Mexico Community Action Program	Other	Desk Review	FY2 Q4	10/03/2017	10/05/2017	Midwest is planned for a modified Onsite assessment in the 4 th quarter of FY20. Which should take place prior to September 30, 2021
5	Eastern Plains Community Action Agency	Full onsite	Onsite Review	FY2 Q4	10/16/2017	10/18/2017	Desk Review for the Organizational Standards, Fiscal, Annual Report and Application/ amendment.
6	Southeast New Mexico Community Action Corporation	Other	Desk Review	FY2 Q4	11/14/2018	11/16/2018	Desk Review for the Organizational Standards, Fiscal, Annual Report and Application/ amendment.

Monitoring Schedule – Year Two						
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
This column will auto-populate	[Dropdown Options: • Full On-Site • Newly Designated	[Dropdown Options: • Onsite Review • Desk	[Dropdown Options: • FY2 Q1 • FY2 Q2 • FY2 Q3	Select a Date	Select a Date	If "Other" is selected in Column 2, describe in this column

Monitoring Schedule – Year Two						
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
from the CSBG Eligible Entity Master List	<ul style="list-style-type: none"> Follow-up Other No Review] 	Review]	<ul style="list-style-type: none"> FY2 Q4] 			[Narrative, 500 characters]

GUIDANCE: Comprehensive monitoring includes a review of program, administrative, fiscal and organizational standards.

If you are monitoring an entity as a follow up to an issue with another program this can be listed under "Other."

When providing the date of your last full onsite review – this could be for any type of review that took place onsite. No dates for desk reviews should be provided here.

10.2. Monitoring Policies: Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink. **[Attach a document or add a link]**

Commented [GD4]: We will attached our monitoring process

10.3. Initial Monitoring Reports: According to the state’s procedures, by how many calendar days must the state disseminate initial monitoring reports to local entities? **[Insert a number from 1 – 100]** 30

Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the state’s annual report form.

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

10.4. Closing Findings: Are state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings included in the state monitoring protocols attached above? Yes No

10.4a. Closing Findings Procedures: If no, describe state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings. **[Narrative, 2500 characters]**

10.5. Quality Improvement Plans (QIPs): Provide the number of eligible entities currently on QIPs, if applicable. **[Numeric Response, 0 – 100]** 0

Note: The QIP information is associated with State Accountability Measures 4Sc.

10.6. Reporting of QIPs: Describe the state’s process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the state approving a QIP? **[Narrative, 5000 characters]**

Within 30 days of approving a QIP, the New Mexico CSBG Point of Contact will provide an official letter to OCS that reports the eligible entity.

Note: This item is associated with State Accountability Measure 4Sa(iii)).

- 10.7. Assurance on Funding Reduction or Termination:** The state assure 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)” per Section 676(b)(8) of the CSBG Act. Yes No

Note: This response will link with the corresponding assurance under item 14.8.

Policies on Eligible Entity Designation, De-designation, and Re-designation

- 10.8. Eligible Entity Designation:** Do the state CSBG statute and/or regulations provide for the designation of new eligible entities? Yes No

10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation. **[Narrative, 2500 Characters]**

New Mexico Article 8 Community Action 27-8-5

10.8b. New Designation Procedures: If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public. **[Narrative, 5000 Characters]**

- 10.9. Eligible Entity Termination:** Do state CSBG statute and/or regulations provide for termination of eligible entities? Yes No

10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation. **[Narrative, 2500 characters]**

10.9b. Termination Procedures: If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public. **[Narrative, 5000 characters]**

The CSBG Policy and Procedure Manual section 16.2 “Corrective Action Termination or Reduction of Funding” was updated with CSBG Numbered Memo 2019-09 which states: “All actions relating to a reduction in funding or a termination of the contract between the Human Services Department (HSD) and the eligible entities shall be governed by the COATS Act, the NM Community Action Act and the Professional Services Contract for CSBG. CSBG Numbered Memo 2019-09 was emailed to Eligible Entities on August 9, 2019

- 10.10. Eligible Entity Re-Designation:** Do the state CSBG statute and/or regulations provide for re-designation of an existing eligible entity? Yes No

10.10a. Re-Designation Citation: If yes, provide the citation(s) of the law and/or

regulation. [Narrative, 2500 Characters]

10.10b. Re-Designation Procedures: If no, describe state procedures for re-designation of existing eligible entities and how the procedures were made available to eligible entities and the public. [Narrative, 5000 Characters]

The CSBG Policy and Procedure Manual section 16.1 "Designation and Re-designation of Eligible Entities in Unserved Areas was updated with CSBG Numbered Memo 2019-09 which states: "If a county or counties in New Mexico cease to be covered by an eligible entity, the State will issue a Request for Proposal (RFP) for the unserved county or counties. The State will follow the New Mexico Procurement Code when preparing the RFP and also State Statute 27-8-1 when a new designation from the Governor is required." CSBG Numbered Memo 2019-09 was emailed to Eligible Entities on August 9, 2019

GUIDANCE: Re-designation implies that an entity that is already designated/receiving funds is now performing the duties and receiving funds that were previously designated to another entity, in addition to the funding that they are already receiving. This is different from a merger as an entity is not absorbing another entity. This re-designation may be permanent (**requires a formula redistribution**) or temporary while the state has officially designated a new entity and has completed a formula redistribution. See CSBG Act 676A, *Designation and Redesignation...*, for more information.

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting: 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 Block Grant regulations applicable to CSBG at 45 CFR 96.30(a). [Narrative, 5000 Characters]

a) The State CSBG Office and the Human Services Department's Grants Management Bureau collaborate to ensure the accuracy of the SF-425. The Grants Management 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 Grant Management 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 and the CSBG Statute.

10.12. Single Audit Management Decisions: Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant

regulations applicable to CSBG at 45 CFR 75.521. **[Narrative, 5000 Characters]**

The eligible entities are contractually required to submit their Single Audits to the State CSBG Office. A desk review of the audit report is performed by State CSBG Office staff. The staff will also obtain and evaluate the entity's corrective action plan. Copies of the desk audit report are provided to the HSD Compliance and Financial Systems Bureau (CFSB), which monitors contractor compliance with state and federal laws and regulations. The State CSBG Office and CFSB will collaborate in the evaluation of audit findings and the issuance of the management decision to sub recipients as required by 45 CFR 75.521.

Note: This information is associated with State Accountability Measure 4Sd.

- 10.13. Assurance on Federal Investigations:** The state will “permit and cooperate with Federal investigations undertaken in accordance with Section 678D” of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act. Yes No

Note: This response will link with the corresponding assurance, Item 14.7

- 10.14. Performance Management Adjustment:** Describe any adjustments the state made to 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, such as the public hearing. If the state is not making any adjustments, provide further detail. **[Narrative, 2500 Characters]**

The State CSBG Office, with input from the eligible entities and the State Association, created four (4) separate monitoring tools that will allow the State to monitor the eligible entities more frequently but with less on-site disruptions. While onsite monitoring will take place every three years, the eligible entities will be monitored yearly on the organizational standards, annual report and application/amendment.

Note: This item is associated with State Accountability Measure 4Sb and may pre-populate the state’s annual report form.

SECTION 11
Eligible Entity Tripartite Board

11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act. **[Check all that applies and narrative where applicable]**

- Attend Board meetings
- Organizational Standards Assessment
- Monitoring
- Review copies of Board meeting minutes
- Track Board vacancies/composition
- Other **[Narrative, 2500 characters]**

11.2. Tripartite Board Updates: Provide how often the state requires eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc. **[Select one and narrative where applicable]**

- Annually
- Semiannually
- Quarterly
- Monthly
- As It Occurs
- Other **[Narrative, 2500 characters]**

The State CSBG Office requires each eligible entity to submit their ratified Board minutes along with the Board packet for every meeting held within 15 days from the date the minutes were ratified. This allows the State CSBG Office to maintain an accurate account of each eligible entities Tripartite Board composition.

11.3. Tripartite Board Representation Assurance: Describe how the states will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act. [Narrative, 2500 Characters]

The State CSBG 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 organizations to petition the entity for representation on the Board. These procedures are part of the 58 organizational standards and are evaluated annually during a desk review.

Note: This response will link with the corresponding assurance, Item 14.10.

11.4. Tripartite Board Alternative Representation: Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, “another mechanism specified by the state to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs” as allowed under Section 676B(b)(2) of the CSBG Act? Yes No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. **[Narrative, 2500 Characters]**

Section 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility: Provide the income eligibility threshold for services in the state. **[Select one item below and numeric response where applicable.]**

- 125% of the HHS poverty line
- X % of the HHS poverty line (fill in the threshold): _____% **[Numeric response]**
- Varies by eligible entity **[Narrative, 5000 characters]**

During COVID19, the State allowed 200% for both CARES and regular funding until September 30, 2022.

GUIDANCE: Under *Varies by eligible entity*, provide the threshold and the reason that it varies by entity.

12.1a. Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition. **[Narrative, 5000 Characters]**

For programs providing direct care and support to low-income individuals and households, prior to COVID19 income eligibility was based on gross income at or below 125% of the Federal Poverty guidelines. With Cares funding we allowed income eligibility based on gross income at or below 200%.

12.2. Income Eligibility for General/Short Term Services: Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance. **[Narrative, 5000 Characters]**

Some eligible 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's 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 USDA programs for free or reduced lunches.

12.3. Community-targeted Services: Describe how the state ensures eligible entities' services target and benefit low-income communities for those services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations). **[Narrative, 5000 Characters]**

Eligible entities engage in community activities partnering with organizations that serve low-income clients, such as the Salvation Army, Goodwill and local churches. These partners 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 (ROMA) System

- 13.1. Performance Measurement System:** Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act. **[Select one]**

Note: This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item I.1.

- The Results Oriented Management and Accountability (ROMA) System
- Another performance management system that meets the requirements of Section 678E(b) of the CSBG Act
- An alternative system for measuring performance and results

- 13.1a. ROMA Description:** If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA. **[Narrative, 5000 characters]**

HSD provides CSBG funds to eligible entities through professional services contracts. The ROMA National Performance Indicators (NPIs) are used to measure the services and activities in the 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. The State CSBG Office also facilitates a quarterly meeting with Executive Directors and Staff of all eligible entities to review processes and procedures for reporting data directly related to NPI's. The National Certified ROMA Trainer's (NCRT's) in New Mexico are supported by CSBG discretionary funds provided to the State Association. With these funds, the State Association conducted data analysis in FFY 20. This is in addition to the introduction to ROMA Training offered as an open class to all eligible entities and their staff. All three (3) New Mexico NCRT's were re-certified in FFY 2018.

- 13.1b. Alternative System Description:** If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement. **[Narrative, 5000 characters]**

- 13.2. Outcome Measures:** 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. **[Select one and Narrative, 5000 characters]**

Note: This response will also link to the corresponding assurance, Item 14.12.

- CSBG National Performance Indicators (NPIs)

- NPIs and others
- Others

13.3. Eligible Entity Support: Describe how the state supports the eligible entities in using ROMA or an alternative performance management system. **[Narrative, 5000 characters]**

Please see the response in sections 8.1 and 13.1

Note: The activities described under Item 13.3 may include activities listed in “Section 8: Training and Technical Assistance.” If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, Item 14.12.

13.4. Eligible Entity Use of Data: Describe how the state plans to validate that the eligible entities are using data to improve service delivery. **[Narrative, 5000 characters]**

The State CSBG Office will require the eligible entities to report at least quarterly on the results of their contracted outcomes. The State Association has developed a data analysis class to support data interpretation. The State CSBG Office will review the reports and discuss the use of the data with the eligible entities. In addition, the eligible entities use of outcome data will be a focus of the annual report desk reviews.

Note: This response will also link to the corresponding assurance, Item 14.12.

Community Action Plans and Needs Assessments

13.5. Community Action Plan: Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act. **[Narrative, 5000 characters]**

As part of the application/amendment for annual funding, each eligible entity must submit a Community Outcome Plan based on the entities Community Needs Assessment. The State CSBG Office will assess the content of the Community Outcome Plan as it applies to both the Organizational Standards and the Community Needs Assessment.

Note: This response will link to the corresponding assurance, Item 14.11.

13.6. Community Needs Assessment: Describe how the state will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity’s Community Action Plan, as required by Section 676(b)(11) of the CSBG Act. **[Narrative, 5000 characters]**

In past years, as part of the annual application/amendment for funding, each eligible entity must submit a Community Needs Assessment. Each eligible entity will use the "A Community Action Guide to Comprehensive Community Needs Assessments" issued by the National Association for State Community Services Programs (NASCSPP) and the State

CSBG Office will use the "Checklist for Monitoring Community Needs Assessments for State CSBG Offices" when reviewing the content of the Community Needs Assessment as it applies to Organizational Standards. However due to COVID19, it was determined that a Statewide Needs Assessment should take place. This Statewide Needs Assessment should be completed by the end of FY23. Until the Statewide Needs Assessment is completed, eligible entities will need to amend their current Needs Assessment.

Note: This response will link to the corresponding assurance, Item 14.11.

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

14.1. Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A) Describe how the state will assure “that funds made available through grant or allotment will be used –

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

[Narrative, 5000 characters]

As part of the application for funding, eligible entities describe the services/activities they will perform to address the purposes. Examples are provided below of services/activities performed by one or more entities. It is anticipated that these, or similar services, will be provided in Years one (1) and two (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--Employability plans, financial counseling/ budgeting, childcare services, employment/training services, Head Start parenting classes.
- ii. Employment--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/referrals.
- iii. Education--Vocational training, post-secondary, pre-employment certification training, ABE/GED, tuition fees, school supplies, classroom related services, Pre-K programs, before/after school programs, dissemination of educational/ training materials, education/training referrals.
- iv. Use of income--Free tax preparation services, financial counseling/ financial literacy classes.
- v. Housing--Referrals to housing programs/resources.
- vi. Emergency assistance--Rental/ mortgage assistance, utility assistance (electric, gas, water, propane, wood), emergency medical assistance (prescriptions, co-payments for doctor, dental, and eye appointments, eye glasses), emergency food boxes, food vouchers, protection from violence (information and referral), transportation assistance (vehicle repair), emergency information /referrals.
- vii. Community participation-- eligible entities have established partnerships with many public and private organizations across the state to expand resources and opportunities for low- income individuals and families in their communities. The State CSBG Office 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 CSBG Annual Report, and at the onsite review.

Needs of Youth

- 14.1b. 676(b)(1)(B)** Describe how the state will assure “that funds made available through grant or allotment will be used –
- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

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

[Narrative, 5000 characters]

The State CSBG Office will monitor the performance of the eligible entities to ensure that funds are used to address the needs of youth. 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 Year one (1) and two (2) of this State Plan. Services/activities include: Before and after school programs, distribution of educational and training materials, education/training referrals, counseling and mentoring.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the state will assure “that funds made available through grant or allotment will be used –

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

[Narrative, 5000 characters]

The New Mexico Human Services Department (HSD) provides numerous support services, by working with our partners, we design and deliver innovative, high quality health and human services that improve the security and promote independence for New Mexicans in their communities. 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 eligible entities assist clients to apply for LIHEAP, TANF, SNAP or Medicaid using HSD's web portal.

State Use of Discretionary Funds

14.2. 676(b)(2) Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

Note: the State describes this assurance under “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10

[No response; links to items 7.9 and 7.10.]

Eligible Entity Service Delivery, Coordination, and Innovation

- 14.3. 676(b)(3)** “Based on information provided by eligible entities in the State, a description of...”

Eligible Entity Service Delivery System

- 14.3a. 676(b)(3)(A)** Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;”

[Narrative, 5000 characters]

The network of six (6) 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 1. Dona Ana, 2. Grant, 3. Hidalgo, 4. Luna, 5. Sierra. Eastern Plains Community Action Agency 1. Curry, 2. DeBaca, 3. Guadalupe, 4. Harding, 5. Quay, 6. Roosevelt, 7. Union. Economic Council Helping Others 1. San Juan. HELP-NM 1. Bernalillo, 2. Colfax, 3. Los Alamos, 4. Mora, 5. Rio Arriba, 6. San Miguel, 7. Sandoval, 8. Santa Fe, 9. Taos, 10. Torrance, 11. Statewide services for migrant/seasonal farmworkers. Mid-West New Mexico Community Action Program 1. Catron, 2. Cibola, 3. McKinley, 4. Socorro, 5. Valencia. Southeast New Mexico Community Action Corporation 1. Chaves, 2. Eddy, 3. Lea, 4. Lincoln, 5. 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 (individuals that are home-bound, homeless, or have 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 – Approach to Filling Service Gaps

- 14.3b. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations.”

Note: The state describes this assurance in the State Linkages and Communication section, item 9.3b.

In FY 2022, 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. Through formal and informal arrangements with government agencies, businesses, faith-based organizations, educational 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. The State CSBG Office will emphasize the importance of the development of linkages by the eligible entities to fill identified service gaps. The State CSBG Office along with the State Association will incorporate discussions about developing linkages to fill identified gaps during each quarterly CSBG meetings.

[No response; links to 9.3b.]

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

In FY 2018, eligible entities in New Mexico were able to serve 55,338 individuals and 20,447 families through the coordination of CSBG funds and other public and private resources. In addition to the \$3.538 million from CSBG, the eligible entities mobilized \$45.2 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.

Commented [GD5]: All this will be updated with the annual report

Note: The state describes this assurance in the State Linkages and Communication section, item 9.7.

[No response; links to 9.7]

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

14.3d. 676(b)(3)(D) Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using state remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the state indicates funds allocated for these activities under item 7.9(f).

[Narrative, 5000 characters]

One eligible entity works with community partners and providers in education, workforce, health, and other sectors to collaborate at the community level with the

Commented [GD6]: This will be updated with the annual report

Thriving Families effort. Thriving Families empowers people by working with families to overcome adversity. Thriving Families provides home visiting and workforce development services to families facing barriers to employment and education. The program leverages public and private sector services to meet the complex needs of people in a comprehensive way. Using CSBG funds, one eligible entity has formed a partnership with Southeast New Mexico Veterans Transportation Network to serve veterans. This partnership has allowed veterans to obtain medical transportation to the VA facilities in New Mexico. One eligible entity continues to be the lead agency in administering and delivering the Senior Hunger Initiative Program in Valencia County. This program is designed to assist low income seniors 60 years or older to obtain nutritious food directly from senior specific sites. This program was a joint initiative between the Village of Los Lunas, Valencia County Senior Center, Road Runner Food Bank and Mid-West New Mexico Community Action Program. In 2022 and 2023 eligible entities will continue to develop and implement programs that positively impact communities and neighborhoods. In addition, as described in section 7.9 f above, the CSBG State Office plans to make discretionary funds available for innovative programs.

Eligible Entity Emergency Food and Nutrition Services

- 14.4. 676(b)(4)** Describe how the state will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

[Narrative, 5000 characters]

The eligible entities in New Mexico provide emergency food and nutrition assistance directly to clients and through their support of other community organizations. Eligible entities staff deliver food boxes to home-bound 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 2022 and 2023.

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

- 14.5. 676(b)(5)** Describe how the state will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

Note: The state describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b]

State Coordination/Linkages and Low-income Home Energy Assistance

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low- income home energy assistance) are conducted in such community.”

Note: The state describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

[No response; links to 9.2 and 9.5]

Federal Investigations

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

[No response; links to 10.13]

Funding Reduction or Termination

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

[No response; links to 10.7]

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

- 14.9. 676(b)(9)** Describe how the state will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the

State, including religious organizations, charitable groups, and community organizations.”

Note: The state describes this assurance in the State Linkages and Communication, item 9.6.

[No response; links to 9.6]

Eligible Entity Tripartite Board Representation

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

Note: The state describes this assurance under Eligible Entity Tripartite Boards, item 11.3

[No response; links to item 11.3]

The State CSBG 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 organizations to petition the entity for representation on the Board. These procedures are part of the 58 organizational standards and are evaluated annually during a desk review.

Eligible Entity Community Action Plans and Community Needs Assessments

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

[No response; links to items 13.5 and 13.6]

State and Eligible Entity Performance Measurement: ROMA or Alternate system

- 14.12. 676(b)(12)** Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented

Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

Note: The state describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

[No response; links to 13.1, 13.2, 13.3, and 13.4]

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide “information describing how the State will carry out the assurances described in this section.”

Note: The state provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.

[No response for this item]

By checking this box, the state CSBG authorized official is certifying the assurances set out above.

SECTION 15

Federal Certifications

The box after each certification must be checked by the State CSBG authorized official.

15.1. Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- By checking this box, the state CSBG authorized official is providing the certification set out above.

15.2. 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 to 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 10 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).

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) **[Narrative, 2500 characters]**

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]

By checking this box, the state CSBG authorized official is providing the certification set out above.

15.3. Debarment

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 Exclusive-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 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, 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 five 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 and 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.
- By checking this box, the state CSBG authorized official is providing the certification set out above.

15.4. Environmental Tobacco Smoke

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

By checking this box, the state CSBG authorized official is providing the certification set out above.