



STATE OF NEW MEXICO  
HUMAN SERVICES DEPARTMENT  
**HUMAN SERVICES REGISTER**

---

**I. DEPARTMENT**

Human Services Department

**II. SUBJECT**

Community Services Block Grant (CSBG) State Plan

**III. PROGRAMS AFFECTED**

Community Services Block Grant (CSBG)

**IV. ACTION**

Proposed CSBG State Plan

**V. BACKGROUND**

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

**VI. PROPOSED STATE PLAN**

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

**VII. EFFECTIVE DATE**

October 1, 2017

## VIII. PUBLIC HEARING

A public hearing will be held at 10:00 am on August 10, 2017. The hearing will be held in the Income Support Division Conference Room, 2009 S. Pacheco St., Santa Fe, NM, 87505. Parking accessible for persons with physical impairments is available.

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

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

## IX. ADDRESS

Interested persons may address written or recorded comments to:

Human Services Department  
Attn: CSBG Program Manager  
P.O. Box 2348 Pollon Plaza  
Santa Fe, NM 87504-2348

Interested persons may also address comments via electronic mail to:  
[HSD-isdrules@state.nm.us](mailto:HSD-isdrules@state.nm.us)

## X. PUBLICATION

Publication of this proposed CSBG State Plan approved on June 19, 2017 by:

  
\_\_\_\_\_  
BRENT EARNEST, SECRETARY  
HUMAN SERVICES DEPARTMENT

## Model State Plan(CSBG)

Program Name: Community Services Block Grant

Grantee Name: NEW MEXICO

Report Name: Model State Plan(CSBG)

Report Period: 10/01/2016 to 09/30/2017

Report Status: Saved

### Table of Contents

1. CSBG Cover Page (SF-424M) .....	2
2. Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter .....	4
3. Section 2: State Legislation and Regulation .....	5
4. Section 3: State Plan Development and Statewide Goals .....	6
5. Section 4: CSBG Hearing Requirements .....	8
6. Section 5: CSBG Eligible Entities .....	9
7. Section 6: Organizational Standards for Eligible Entities .....	10
8. Section 7: State Use of Funds .....	11
9. Section 8: State Training and Technical Assistance .....	14
10. Section 9: State Linkages and Communication .....	15
11. Section 10: Monitoring, Corrective Action, and Fiscal Controls .....	18
12. Section 11: Eligible Entity Tripartite Board .....	20
13. Section 12: Individual and Community Eligibility Requirements .....	21
14. Section 13: Results Oriented Management and Accountability (ROMA) System .....	22
15. Section 14: CSBG Programmatic Assurances and Information Narrative .....	23
16. Section 15: Federal Certifications .....	26

**CSBG Cover Page (SF-424M)**

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Administration for Children and Families**  
**Community Services Block Grant (CSBG)**

Form Approved  
 OMB No: 0970-0382  
 Expires 08/31/2016

**COVER PAGE**

* 1.a. Type of Submission: Plan	* 1.b. Frequency: Other (2 Year)	* 1.c. Consolidated Application/Plan/Funding Request?	* 1.d. Version: Initial
		Explanation:	
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:

**7. APPLICANT INFORMATION**

* a. Legal Name: New Mexico			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 1-856000570-A5		* c. Organizational DUNS: 837710722	
* d. Address:			
* Street 1:	Income Support Division/WFSB/CSBG	Street 2:	2009 South Pacheco St.
* City:	Santa Fe	County:	
* State:	NM	Province:	
* Country:	United States	* Zip / Postal Code:	87505 - 2348

**e. Organizational Unit:**

Department Name: Human Services Department	Division Name: Income Support Division
--	--

**L. Name and contact information of person to be contacted on matters involving this application:**

Prefix: Mrs.	* First Name: Anita	Middle Name: C	* Last Name: Medina
Suffix:	Title: CSBG Program Manager	Organizational Affiliation:	
* Telephone Number: (505) 827-7251	Fax Number:	* Email: Anita.Medina@state.nm.us	

**\* 8a. TYPE OF APPLICANT:**

A: State Government

**b. Additional Description:**

**\* 9. Name of Federal Agency:**

	Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles	93569	Community Services Block Grant

**11. Descriptive Title of Applicant's Project**

**12. Areas Affected by Funding:**

**13. CONGRESSIONAL DISTRICTS OF:**

* a. Applicant 03	b. Program/Project: Statewide
----------------------	----------------------------------

Attach an additional list of Program/Project Congressional Districts if needed.

**14. FUNDING PERIOD:**

a. Start Date:	b. End Date:	* a. Federal (\$): 50	b. Match (\$): 50
----------------	--------------	--------------------------	----------------------

**\* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?**

a. This submission was made available to the State under the Executive Order 12372

<b>Process for Review on :</b>	
b. Program is subject to E.O. 12372 but has not been selected by State for review.	
c. Program is not covered by E.O. 12372.	
* 17. Is The Applicant Delinquent On Any Federal Debt? <input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree <input type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)
Attach supporting documents as specified in agency instructions.	

**Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 Administration for Children and Families  
 Community Services Block Grant (CSBG)

Form Approved  
 OMB No:0970-0382  
 Expires:08/31/2016

**SECTION 1**

**CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter**

**1.1. Provide 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. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.**

<b>1.1a. Lead agency</b>		New Mexico Human Services Department (HSD)	
<b>1.1b. Cabinet or administrative department of this lead agency [Check one option and narrative where applicable]</b>			
Human Services Department			
<b>1.1c. Division, bureau, or office of the CSBG authorized official</b>		Office of the Secretary	
<b>1.1d. Authorized official of lead agency</b>		Brent Earnest	
<b>1.1e. Street Address</b>		2009 South Pacheco Street	
<b>1.1f. City</b>	Santa Fe	<b>1.1g. State</b> NM	<b>1.1h. Zip</b> 87505
<b>1.1i. Telephone number and extension ( 505 ) 827 - 7750 ext.</b>		<b>1.1j. Fax number: ( 505 ) 827 - 6286</b>	
<b>1.1k. Email address</b> Brent.Earnest@state.nm.us		<b>1.1l. Lead agency website</b> http://www.hsd.state.nm.us/	

**1.2. Provide the following information in relation to the designated State CSBG point of contact**

<b>1.2a. Agency name</b>		New Mexico Human Services Department/Income Support Division/Work and Family Support Bureau	
<b>1.2b. Name of the point of contact</b>		Anita Medina	
<b>1.2c. Street address</b>		2009 South Pacheco Street	
<b>1.2d. City</b>	Santa Fe	<b>1.2e. State</b> NM	<b>1.2f. Zip</b> 87505
<b>1.2g. Point of contact telephone number ( 505 ) 827 - 7251 ext.</b>		<b>1.2h. Fax number ( 505 ) 827 - 7259</b>	
<b>1.2i. Point of contact email address</b> Anita.Medina@state.nm.us		<b>1.2j. Point of contact agency website</b> http://www.hsd.state.nm.us	

**1.3. Designation Letter:**

*Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.*

## Section 2: State Legislation and Regulation

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
OMB No: 0970-0382  
Expires:08/31/2016

### SECTION 2 State Legislation and Regulation

**2.1. CSBG State Legislation:**

Does the State have a statute authorizing CSBG?  Yes  No

**2.2. CSBG State Regulation:**

Does the State have regulations for CSBG?  Yes  No

2.3. If yes was selected in item 2.1 and/or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.

**2.4. State Authority:**

Select a response for each question about the State statute and/or regulations authorizing CSBG:

2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year?  Yes  No

2.4b. Did the State establish or amend regulations for CSBG last year?  Yes  No

2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency?  Yes  No

## Section 3: State Plan Development and Statewide Goals

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Administration for Children and Families**  
**Community Services Block Grant (CSBG)**

Form Approved  
 OMB No: 0970-0382  
 Expires:08/31/2016

### 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.*

The mission of the New Mexico Human Services Department (HSD) is to reduce the impact of poverty on people living in New Mexico by providing support services that help families break the cycle of dependency on public assistance.

**3.2. State Plan Goals:**

*Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.*

*(Note: This item is associated with State Accountability Measure 15a(i) and may pre-populate the State's Annual Report form.)*

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 CSBG State Office will ensure that CSBG funds are used to provide a wide range of services and activities that have a measurable impact on the causes of poverty. More specifically for FY 2018 and FY 2019, the CSBG State Office goal is to provide support to the eligible entities (Community Action Agencies) so that all six 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.

**3.3. State Plan Development:**

*Indicate the information and input the State accessed to develop this State Plan.*

**3.3a. Analysis of [Check all that apply 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)
- Other data [describe] Comments received from public hearing
- Eligible entity community needs assessments
- Eligible entity plans
- Other information from eligible entities (e.g., State required reports) [describe]

**3.3b. Consultation with [Check all that apply and narrative where applicable]**

- Eligible entities (e.g. meetings, conferences, webinars; not including the public hearing)
- State community action association and regional CSBG T&TA providers
- State partners and/or stakeholders (describe)
- National organizations (describe)
- Federal Office of Community Services
- Other (describe)

**3.4. Eligible Entity Involvement**

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

*(Note: This information is associated with State Accountability Measures 15a(ii) and may pre-populate the State's annual report form)*

CSBG State Office distributed the draft State Plan to eligible entities and the state community action association, and requested comments. Comments received were incorporated into the final State Plan. The eligible entities and the state community action association were also informed of the public hearing scheduled for 10:00 am on August 10, 2017. The hearing was held in the Income Support Division Conference Room, 2009 South Pacheco St., Santa Fe, NM 87505.

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

**3.4b. Performance Management Adjustment:**

How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order

- 1) to encourage eligible entity participation and
- 2) to ensure the State Plan reflects input from eligible entities?

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

*(Note: This information is associated with State Accountability Measures 15b(i) and (ii) and may pre-populate the State's annual report form)*



N/A

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

**3.5. Eligible Entity Overall Satisfaction:**

**Provide the State's target for eligible entity Overall Satisfaction during the performance period: 55**

*(Note: Item 3.3 is associated with State Accountability Measure 85 and may pre-populate the State's annual report form)*

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)**

**Form Approved  
OMB No: 0970-0382  
Expires:08/31/2016**

**SECTION 4  
CSBG Hearing Requirements**

**4.1. Public Inspection:**

**Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.**

A public hearing was scheduled for August 10, 2017, at 10:00 am in Santa Fe, New Mexico. Notice of the public hearing was published on July 11, 2017 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 rulemaking and other materials related to administrative law. These notices provide 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 has been made available for inspection through the same telephone number and hyperlink. Additionally, the final State Plan has been distributed to the eligible entities and the State Community Action Association.

**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 Section 676(a)(2)(B) of the CSBG Act.**

Notice of the August 10, 2017 public hearing was published on July 11, 2017 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 rulemaking and other materials related to administrative law.

**4.3. Public and Legislative Hearings:**

**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.**

*(If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail under Item 4.4.)*

	Date	Location	Type of Hearing [Select an option]
1	08/10/2017	NM HSD Income Support Division 2009 South Pacheco Street, Santa Fe, NM 87504	Public

**4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.**

## Section 5: CSBG Eligible Entities

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)**

Form Approved  
OMB No:0970-0382  
Expires:08/31/2016

### SECTION 5 CSBG Eligible Entities

**5.1 CSBG Eligible Entities:**

*In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)*

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

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency (choose all that apply)	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	Community Action Agency of Southern New Mexico (CAASN)	Nonprofit	Community Action Agency (CAA)	Dona Ana, Grant, Hidalgo, Luna, Sierra	
2	Economic Council Helping Others, Inc (ECHO)	Nonprofit	Community Action Agency (CAA)	San Juan	
3	Eastern Plains Community Action Agency (EPCAA)	Nonprofit	Community Action Agency (CAA)	Curry, DeBaca, Guadalupe, Harding, Quay, Roosevelt, Union	
4	HELP-New Mexico, Inc (HELP NM)	Nonprofit	Community Action Agency (CAA)	Bernalillo, Colfax, Los Alamos, Mora, Rio Arriba, San Miguel, Santa Fe, Sandoval, Taos, Torrance, Statewide seasonal farmworker services	
5	Mid-West New Mexico Community Action Program (MWNMCAP)	Nonprofit	Community Action Agency (CAA)	Catron, Cibola, McKinley, Socorro, Valencia	
6	Southeast New Mexico Community Action Corporation (SNMCAC)	Nonprofit	Community Action Agency (CAA)	Chaves, Eddy, Lea, Lincoln, Otero	

**5.2 Total number of CSBG eligible entities 6**

**5.3 Changes to Eligible Entities List:**

Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission?  Yes  No

*If yes, please briefly describe the changes.*

## Section 6: Organizational Standards for Eligible Entities

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
OMB No: 0970-0382  
Expires 08/31/2016

### 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:**

Check the box that applies. If using alternative standards

- a) attach the complete list of alternative organizational standards,
- b) describe the reasons for using alternative standards, and
- c) describe how the standards are at least as rigorous as the COE-developed standards.

The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138?  Yes  No

6.2a. If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale.

6.3 How will/has the State officially adopt(ed) 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 apply and narrative where applicable]*

- Regulation
- Policy
- Contracts with eligible entities
- Other, describe:

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138? *[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

6.4a. Describe the assessment process.

For 2018, year 1, the organizational standards will be assessed as part of the CSBG State Office biennial onsite monitoring for those eligible entities scheduled for monitoring. Year 1 will allow those eligible entities not scheduled for an ME to conduct and submit a self-assessment which will be reviewed and validated by the CSBG State Office. For 2019, year 2, the organizational standards will be assessed as part of the CSBG State Office biennial onsite monitoring for those eligible entities scheduled for monitoring. Year 2 will allow those eligible entities not scheduled for an ME to conduct and submit a self-assessment which will be reviewed and validated by the CSBG State Office.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138?  Yes  No

6.5a. If yes was selected in item 6.5, list which eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

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

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? *(Provide as a percentage)* 70%

Note: This information is associated with State Accountability Measures 6Sa and may prepopulate the State's annual report form.

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)**

Form Approved  
OMB No: 0970-0382  
Expires:08/31/2016

**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.

Base + Formula

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

**7.2. Planned Allocation:**

Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act.

The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

**Planned CSBG 90 Percent Funds**

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	Community Action Agency of Southern New Mexico (CAASNM)	\$0	17.93%	\$0	17.93%
2	Economic Council Helping Others, Inc (ECHO)	\$0	7.25%	\$0	7.25%
3	Eastern Plains Community Action Agency (EPCAA)	\$0	5.78%	\$0	5.78%
4	HELP-New Mexico, Inc (HELP NM)	\$0	43.49%	\$0	43.49%
5	Mid-West New Mexico Community Action Program (MWNMCAP)	\$0	12.17%	\$0	12.17%
6	Southeast New Mexico Community Action Corporation (SNMCAC)	\$0	13.38%	\$0	13.38%
<b>Total</b>		\$0	100.00%	\$0	100.00%

**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).

HSD implements CSBG by awarding four year professional services contracts, amended annually, to the six eligible entities in New Mexico. For each state fiscal year contract period (July 1st through June 30th) the CSBG State Office provides each eligible entity with its projected allocation of CSBG funds. Each entity then submits an application for funding within approximately 45 days of receiving its projected allocation. The application includes the following documents: 1. Signed application. The Executive Director and the Board of Directors' Chairperson must sign the application. 2. Community Needs Assessment and Community Action Plan. 3. Detailed line item budget showing all projected costs to be charged to CSBG. 4. Budget Justification. A detailed description of the projected costs for each line item in the CSBG budget. The justification identifies the resources and other inputs that will be used to provide the entity's services. 5. Outcome Plan Form/Scope of Work: This describes the entity's results (outputs and outcomes) using the National Performance Indicators (NPIs) of CSBG's performance measurement system, Results Oriented Management and Accountability (ROMA). The entity provides statements of problems for the service area, the program service (employment, education, emergency, health, housing, self-sufficiency, nutrition, income management, and linkages), program objective, the specific ROMA NPI that applies, and the type and number of units (meals, food boxes, bus tokens, individuals, households, partnerships, etc.) expected to achieve the indicator. 6. Client Eligibility Criteria and Application Process/Procedures: A description of the process for determining eligibility. The criteria should explain how clients with special needs are served (disabled, homebound, homeless, etc.) 7. The most recent Administrative Cost Report (IRS 990). 8. The entity's non-discrimination policies. 9. Board of Directors Roster that contains the home addresses of all board members, appointment date, length of service, and the sector they represent (public, low income, or private). 10. The Bylaws of the Board of Directors. The CSBG State Office reviews the application and identifies any concerns to the entity. The budget, justification, and outcome may be revised. Review and revision take approximately 30 days. When finalized, the budget and outcome plan are incorporated into the professional services contract or amendment. The contracts or amendments must be approved within HSD and by other Departments, including the Department of Finance and Administration. Contract or amendment drafting and approval take approximately 60 days. Following the execution of the contract or amendment, and contingent on the availability of federal funds, compensation is by quarterly advance payments to eligible entities in good standing. The State plans to provide these quarterly payments within 30 days of 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. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

*Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the State's annual report form.*

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

**7.5. Performance Management Adjustment:**  
 How is the State 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.

*Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the State's annual report form.*

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

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

7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State plan? The estimate may be in dollars or a percentage 0  \$  %

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? 5

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? 2

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

7.9. Does the State have remainder/discretionary funds?  Yes  No

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

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

For each allowable use of remainder funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 14.2. 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 row a and row c. 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 may pre-populate the State's annual report form*

**Use of Remainder/Discretionary Funds (See Section 675C(b)(1) of the CSBG Act)**

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$0.00	60.00%	\$0.00	0.00%	
b. Coordination of State-operated programs and/or local programs	\$0.00	5.00%	\$0.00	0.00%	These planned services/activities will be described in State Plan section 9, State Linkages and Communication
c. Statewide coordination and communication among eligible entities	\$0.00	15.00%	\$0.00	0.00%	These planned services/activities will be described in State Plan section 9, State Linkages and Communication
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	5.00%	\$0.00	0.00%	As described in 7.2 above, the State will revise its method of allocation. Funds may be used for analysis and modeling
e. Asset-building programs	\$0.00	0.00%	\$0.00	0.00%	The use of discretionary funds for assist building programs is not anticipated.
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	15.00%	\$0.00	0.00%	Funds will be given to CAAs upon request for innovative direct service programs for low-income individuals and families
g. State charity tax credits	\$0.00	0.00%	\$0.00	0.00%	Not applicable in New Mexico
h. Other activities, specify in column 6	\$0.00	0.00%	\$0.00	0.00%	If the FFY 2018 or FFY 2019 grant amounts are insufficient to meet the allocations for contract compensation, funds may be provided to eligible entities to achieve their contracted outcomes. Funding for other discretionary activities would be reduced commensurately.
<b>Total</b>	<b>\$0.00</b>	<b>100.00%</b>	<b>\$0.00</b>	<b>0.00%</b>	

7.10. What types of organizations, if any, does the State plan 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]

- CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) 6
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)

<input type="checkbox"/> Tribes and Tribal Organizations
<input type="checkbox"/> Other
<input type="checkbox"/> None (the State will carry out activities directly)
<b>Note: This response will link to the corresponding CSBG assurance, item 14.2.</b>
<b><i>If this is the first year filling out the automated State Plan, skip the following question.</i></b>
<b>7.11. Performance Management Adjustment:</b> How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.
<b>Note: This information is associated with State Accountability Measures 3Sb, and may pre-populate the State's annual report form.</b>
N/A

## Section 8: State Training and Technical Assistance

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
OMB No: 0970-0382  
Expires:08/31/2016

### SECTION 8 State Training and Technical Assistance

**8.1. 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 7.9(a), Remainder/Discretionary Funds.)**

*Note: This information is associated with State Accountability Measure 3S; and may pre-populate the State's annual report form.*

#### Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
2	Ongoing / Multiple Quarters	Technical Assistance		
3	Ongoing / Multiple Quarters	Training	ROMA	

**8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) \$0**

*If this is the implementation year for organizational standards, skip the following question.*

**8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards that could be used if appropriate?  Yes  No**

*Note: This information 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).*

**8.3. 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 applies and narrative where applicable)**

- CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
- 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 As needed, training and technical assistance will be provided directly to the 6 New Mexico eligible entities and to the state community action association for it to provide T/TA to the eligible entities.

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

**8.4. Performance Management Adjustment:**

**How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.**

*Note: This information is associated with State Accountability Measures 3S; and may pre-populate the State's annual report form*

The CSBG State Office is working with the Association to conduct further training to the eligible entities to ensure continuous efforts of need in regards to the organizational standards, the OLDC modules 2, 3, & 4, the Theory of Change and ROMA NG.



## Section 9: State Linkages and Communication

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)**

Form Approved  
OMB No: 0970-0382  
Expires: 08/31/2016

### 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 plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)).**

*Describe or attach additional information as needed. [Check all that apply and narrative where applicable]*

*Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's annual report form.*

- 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 *[Click paper clip to attach file]*

**9.2. State Linkages and Coordination at the Local Level:**

**Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under Section 675C (b)(B) and as required by assurance under Sections 676(b)(5) of the CSBG Act. Attach additional information as needed.**

*Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.*

Within HSD, the Income Support Division's Work and Family Support Bureau (WSFB) manages the CSBG, LIHEAP, and TANF programs. During 2018-2019, the Bureau will build on this administrative linkage and work to further coordinate service delivery across these programs at the administrative and local level. *[Click paper clip to attach file]*

**9.3. Eligible Entity Linkages and Coordination**

**9.3a State Assurance of Eligible Entity Linkages and Coordination:**

**Describe how the State will assure that the 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)). [Attach additional information as needed.]**

*Note: This response will link to the corresponding CSBG assurance, item 14.3.*

In FY 2016 eligible entities in New Mexico established 2,504 partnerships with 3,068 public, nonprofit, and private organizations in their service areas to provide resources and opportunities for low-income individuals and families. Illustrative examples of ongoing local partnerships include the following: 1. Utilizing the buying power of an eligible entity's food bank, 23 local organizations, including food pantries, women's shelters, and crisis centers saved over \$1 million in food costs for their clients. 2. New Mexico's largest eligible entity was awarded a contract under the Workforce Investment Act to provide services to adults and dislocated workers. 3. An eligible entity's partnership with Goodwill's senior employment program enabled Goodwill clients to learn job skills at the eligible entity's administrative office. 4. An eligible entity's partnership with a community church group resulted in a week-long youth camp. Under supervision, the youth volunteers did simple maintenance and repair work on the homes of 17 elderly, disabled, or low-income residents. In FY 2018-2019, the eligible entities will maintain and further develop their partnerships. As part of its onsite review of eligible entities and assessment of the implementation of the Organizational Standards, the State will monitor the effectiveness of eligible entity partnerships. *[Click paper clip to attach file]*

**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.**

*Note: This response will link to the corresponding CSBG assurance, item 14.3b.*

In FY 2018 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, education institutions, nonprofits, and tribal entities, the eligible entities will share information, and make and receive referrals, so that low-income individuals and families receive the services they need. The State CSBG Office will emphasize the importance of the development of linkages by the eligible entities to fill identified service gaps. The CSBG State Office will monitor during its onsite reviews the eligible entities' progress in identifying gaps and creating linkages.

**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 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.

9.4b. 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.

One eligible entity in New Mexico also receives funding for WIOA's Adult, Dislocated Workers, and Youth programs. In collaboration with that entity, HSD will identify and evaluate methods of using CSBG funds to coordinate service delivery of training and employment activities across programs.

**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(h)(6) of the CSBG Act.

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

HSD is the designated State agency for the administration of the Low Income Home Energy Assistance Program (LIHEAP) program. Most eligible entities use CSBG or other funding to provide emergency utility payment assistance. All the entities have effective working relationships with the HSD Income Support Division offices in their service areas, make and receive client referrals, and may assist clients applying for LIHEAP benefits. Utility payment assistance and local coordination between the eligible entities and HSD will continue in FY 2018 and FY 2019.

**9.6. State Assurance: 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(h)(9) of the CSBG Act.

*Note: this response will link to the corresponding assurance, item 14.9.*

Eligible entity partnerships result from the entities' knowledge of other programs, funding, and agencies in their service areas. The partnerships are achieved through formal arrangements, financial agreements, informal arrangements and alliances. These partnerships for coordinated service delivery will continue in FY 2018 and FY 2019. Using the applicable ROMA National Performance Indicator 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, implemented and assessed, also require each eligible entity to demonstrate its partnerships throughout the community. [Click paper clip to attach file]

**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.

*Note: this response will link to the corresponding assurance, item 14.3c.*

In FY 2016 Eligible entities in New Mexico were able to serve 95,514 individuals and 28,690 families through the coordination of CSBG funds and other public and private resources. In addition to the \$3.16 million from CSBG, the eligible entities mobilized \$49.9 million in funding from federal, state, local, and private sources to provide services to these individuals and families. The New Mexico CSBG network used CSBG funding to provide direct services, to augment other programs, and to maintain the organizational infrastructure needed to provide efficient, coordinated service delivery. In FY 2018 and FY 2019 the entities will continue to use CSBG funds to leverage funding from other sources and to provide direct care and support services.

**9.8. Coordination among Eligible Entities and State Community Action Association:**

Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

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

**9.9 Communication with Eligible Entities and the State Community Action Association:**

In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

**Communication Plan**

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	Public and Legislative hearing	Other	Email	A Public hearing is conducted every 2 years and a Legislative hearing is conducted every 3 years
2	Development of State Plan	Monthly	Email	
3	Implementation of The Organizational Standards	Twice-Monthly	Other	Emails and Meeting/Conference calls
4	Implementation of Uniform Administrative Guidance, Cost Principles, Audit Requirements	Monthly	Other	Emails and Meeting/Conference calls
5	Revision of funding method	Monthly	Other	Emails and Meeting/Conference calls
6	ROMA performance management, and implementation of ROMA "Next Gen"	Monthly	Other	Emails and Meeting/Conference calls

**9.10. Feedback to Eligible Entities and State Community Action Association:**

**Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.**

*Note: This information is associated with State Accountability Measure 5N(ii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.*

The State will provide the feedback electronically to the eligible entities and the Association, and schedule a meeting or conference call to discuss the results

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

**9.11. Performance Management Adjustment:**

**How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.**

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

The CSBG State Office will work with the six eligible entities and the Association to potentially make changes to the Communication Plan

## Section 10: Monitoring, Corrective Action, and Fiscal Controls

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
OMB No: 0970-0382  
Expires: 08/31/2016

### SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

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

**10.1. Specify the proposed schedule for planned monitoring visits - including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews - including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.**

This is an estimated schedule to assist States in planning. States may indicate "no review" for entities the State does not plan to monitor in the performance period.

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

*Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State's annual report form.*

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
1	Community Action Agency of Southern New Mexico (CAASNM)	Other	FY1 Q1	12/07/2016	CSBG State Office conducted a full review via Conference Calls, Skype, Fax and email to comply with scheduled Management Evaluation.
2	Economic Council Helping Others, Inc (ECHO)	Full onsite	FY1 Q2	09/21/2015	
3	Eastern Plains Community Action Agency (EPCAA)	Full onsite	FY1 Q2	08/17/2015	
4	HELP-New Mexico, Inc (HELP NM)	Full onsite	FY1 Q2	09/09/2015	
5	Mid-West New Mexico Community Action Program (MWNMCAP)	Full onsite	FY1 Q2	08/11/2015	
6	Southeast New Mexico Community Action Corporation (SNMCAC)	Other	FY1 Q1	12/13/2016	CSBG State Office conducted a full review via Conference Calls, Fax and email to comply with scheduled Management Evaluation.

**10.2. Monitoring Policies:**

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

The Current monitoring tool is attached. This tool identifies the substantive areas evaluated by the CSBG State Office during its full onsite review. This tool has been provided to the eligible entities and is included in the Notice of Review that is sent to the eligible entity 30 days prior to the scheduled onsite review. During FY 2018, the State CSBG Office plans to revise the monitoring tool, with input from the eligible entities and the Association.

**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?

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

30

#### 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 documenting the closure of findings, included in the State monitoring protocols attached above?  Yes  No

**10.4a. If no describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of the closure of findings.**

The CSBG State Office currently defines eligible entity deficiencies as follows: 1. An Exception is a deviation from federal laws, state laws, contract provisions, agency rules or procedures, or CSBG policies and procedures that is resolved during the review. 2. A Finding is a deviation from federal laws, state laws, contract provisions, agency rules or procedures, or CSBG policies and procedures. A finding is not subject to negotiation and must be resolved through corrective agency action. The CSBG State Office will describe the essential components of the corrective action plan. The eligible entity will develop and implement the detailed plan. The CSBG State Office will review the entity's detailed plan and formally approve the plan if it sufficiently addresses the essential components. The State Office will notify the entity in writing of the approval and establish a future review date. At the review date, the State will notify the entity of the review and request documentation to evaluate the status of the corrective action plan. Based on its review of the documentation, the State Office will determine if the finding is resolved. Depending on the results of its review, the State Office will determine if the corrective action plan has resolved all Findings and should be closed, or if another future review should be scheduled. The State office will notify the entity of the decision in writing, including the date of the future review, if applicable. In FY 2018, Year 1 of this State Plan, the State Office will add the following definition - A Serious Deficiency is a finding that the eligible entity is not in compliance with Federal or State Laws or eligible entity bylaws; or that the entity has committed fraud, is in financial difficulty, or is not able to provide services. A Serious Deficiency is more significant than a finding. A serious deficiency will result in the State Office following the federally established procedures for possible reduction or termination of funding to the involved eligible entity.

**10.5. Quality Improvement Plans (QIPs):**

How many eligible entities are currently on Quality Improvement Plans?

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

0

**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

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

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

**10.7. Assurance on Funding Reduction or Termination:**

Does the State assure, according to Section 676(b)(8), "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)".  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. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities?  Yes  No

10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

New Mexico Statutes §27-8-5

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

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of eligible entities.

New Mexico Statutes §27-8-5

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

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

**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).

a) The State CSBG Office and HSD's Grants Management Bureau collaborate to ensure the accuracy of the SF-425. The bureau follows statewide model accounting practices and applicable regulations. These include maintaining notices of grant award and their related available funds, assignment of project and activity coding within the state financial system, accumulating and allocating costs, and reconciling expenditures to cash draw down accounts. The State CSBG Office reviews the SF-425 prior to certification and submission by the bureau. b) The eligible entities submit monthly expenditure reports to the State CSBG Office. The reports include the details of each transaction using CSBG funds. These transactions are carefully reviewed for allocability and allowability under the Cost Principles 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. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. [CLICK HERE FOR LINK TO 45 CFR §75.521](#)

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

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

**10.13. Assurance on Federal Investigations:**

Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D(a)" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act?  Yes  No

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

**10.14. Performance Management Adjustment:**

How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This item is associated with State Accountability Measure 4Sband may pre-populate the State's annual report form.

The CSBG State Office, with the eligible entities and the Association will be reviewing the monitoring procedures to determine changes, additions and deletions to utilize the best methods.

## Section 11: Eligible Entity Tripartite Board

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Administration for Children and Families**  
**Community Services Block Grant (CSBG)**

Form Approved  
 OMB No.0970-0382  
 Expires:08/31/2016

### SECTION 11 Eligible Entity Tripartite Board

**11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act?** *[Check all that applies and narrative where applicable]*

- Attend Board meetings
- Review copies of Board meeting minutes
- Keep a register of Board vacancies/composition
- Other

**11.2. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards?** *[Check all that applies and narrative where applicable]*

- Annually
- Semiannually
- Quarterly
- Monthly
- Other

**11.3. Assurance on Eligible Entity Tripartite Board Representation:**  
 Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

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

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

**11.4. 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.**

## Section 12: Individual and Community Eligibility Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
OMB No: 0970-0382  
Expires:08/31/2016

### SECTION 12 Individual and Community Income Eligibility Requirements

**12.1. Required Income Eligibility:**

What is the income eligibility threshold for services in the State?

*[Check one item below.]*

125% of the HHS poverty line

*% [Response Option: numeric field]*

**12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.**

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

**12.2. Income Eligibility for General/Short-Term Services:**

For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

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 clients 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 lunch.

**12.3. Community-targeted Services:**

For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
OMB No: 0970-0382  
Expires: 08/31/2016

### SECTION 13 Results Oriented Management and Accountability (ROMA) System

**13.1. ROMA Participation:**

In which performance measurement system will the State and all eligible entities participate, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act?

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

- 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. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.**

HSD provides CSBG funds to eligible entities through professional services contracts. The ROMA National Performance Indicators (NPIs) are used to measure the services and activities in the Scope of Work/Outcome plan for each contract. In addition, the entities are contractually required to use an HSD-approved software system that tracks outcomes and services provided to the low-income population in their service areas. The ability to collect data and generate reports using ROMA is a pre-requisite for HSD approval of the software. The CSBG State Office supports the activities of the State Community Action Association and has provided CSBG remainder/discretionary fund to ensure that ROMA certified trainers are available to all New Mexico eligible entities. Using discretionary and other funds, the Association certified ROMA trainers.

**13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]**

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

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

- CSBG National Performance Indicators (NPIs)
- NPIs and others
- Others

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

*Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State 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.*

Please see the response in sections 8 1 and 13 1

**13.4. Eligible Entity Use of Data:**

How is the State validating that the eligible entities are using data to improve service delivery?

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

The CSBG State Office will require the eligible entities to report at least semi-annually on the results of their contracted outcomes. The CSBG State Office will review the reports and discuss the use of the data with the eligible entities. In addition, eligible entities use of outcomes data will be a focus of the biennial onsite reviews

**Community Action Plans and Needs Assessments**

**13.5. 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.**

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

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

**13.6. State Assurance:**

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.

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

As part of the application for annual funding, each eligible entity must submit a Community Needs Assessment for its service area. The CSBG State Office will assess the content of the Community Needs Assessment as it applies to Organizational Standards.



## Section 14: CSBG Programmatic Assurances and Information Narrative

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
OMB No:0970-0382  
Expires:08/31/2016

### 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 farm workers, 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;

As part of the application for annual 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 1 and 2 of this State Plan. The CSBG State Office will monitor the performance of the eligible entities to ensure that funds are used for the programmatic purposes. i. Self-sufficiency--Case management services, employability plans, financial counseling/ budgeting, childcare services, employment/training services, Head Start parenting classes. ii. Employment--Training, employment training, job placement, self-employment, business development, career development, employment counseling, and support services, including purchase of work clothes/uniforms, employment licensing fees, tools, fees for medical testing, transportation assistance, employment information/ referrals. iii. Education--Vocational training, post-secondary, pre-employment certification training, ABE/GED, tuition fees, school supplies, classroom related services, Pre-K programs, private pre-school with sliding fee scale, before/after school programs, dissemination of educational/ training materials, education/training referrals. iv. Use of income--Free tax preparation services, IDAs, Child Savings Accounts, financial counseling/ financial literacy classes, assistance with affordable financing to build homes. v. Housing--Housing services, assisting families to qualify for low-interest mortgages, information /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. HSD requires that each entity take an active role as a leader in local community coalitions of service providers. Partnership information is required in the annual application for funds, the NASCSP IS, 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;

The CSBG State 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 Years 1 and 2 of this State Plan. Services/activities include: Pre-K programs, private pre-school with sliding fee scale, before and after school programs, distribution of educational and training materials, education/training referrals, youth savings accounts, sports programs, 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)

The New Mexico Human Services Department (HSD) provides numerous support services to help clients break the cycle of dependence and enable self-sufficiency, including LIHEAP and TANF. Eligible entities have established relationships with HSD offices in their service areas. Clients are informed about the availability of child support services and referred to their local HSD office. The entities assist clients to apply for cash, food, energy or medical assistance 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*

#### 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..."

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;

The network of six eligible entities provides CSBG-funded services to every county in the state. The eligible entities and their county level service areas are listed below: Community Action Agency of Southern New Mexico 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 homebound, 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.*

#### 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."

*Note: The State describes this assurance in the State Linkages and Communication section, item 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 Section 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 675 (b)(1)(f). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).*

One eligible entity has addressed family empowerment by helping families increase their personal assets through training, financial literacy and business development. Using CSBG funds for administrative costs, another eligible entity assists families obtain affordable mortgages for home purchase. The entity provides financial literacy and homebuyer education classes, and collaborates with numerous entities, including Homebuilders Associations, mortgage lenders, bankers, the affordable Housing Alliance, County Housing Authority, New Mexico Mortgage Finance Authority, Federal Home Loan Bank, Housing Assistance Council, HUD, USDA Rural Development, contractors, and realtors to identify multiple sources of mortgages, subsidies and grants for homebuyers. 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. Using CSBG funds, one eligible entity has established both formal and informal relationships with various community partners, including community base organizations, private sector, public sector business & organizations, and faith based organizations. In 2018 and 2019 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."

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 homebound individuals, give food vouchers, and distribute food on a biweekly or monthly basis. Some entities also receive funding under The Emergency Food Assistance Program (TEFAP), and the Commodity Supplemental Food Program (CSFP). Entities also use CSBG funds to purchase food for community food banks and food pantries affiliated with community partners. The eligible entities will continue to provide food and nutrition assistance in 2018 and 2019.

#### 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.*

**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.*

**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.*

**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.*

**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 section, item 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 in the Eligible Entity Tripartite Board section, 11.3.*

**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 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."

*Note: The State describes this assurance in the ROMA section, 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 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.*

**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.*

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

**Section 15: Federal Certifications**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Administration for Children and Families  
Community Services Block Grant (CSBG)

Form Approved  
OMB No:0970-0382  
Expires:08/31/2016

**SECTION 15  
Federal Certifications**

**CERTIFICATION REGARDING LOBBYING**

**Certification for Contracts, Grants, Loans, and Cooperative Agreements**

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Statement for Loan Guarantees and Loan Insurance**

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

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

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

**15.1. Lobbying**

After assurance select a check box:

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

**CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

#### Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

&nbsp;1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

&nbsp;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.

&nbsp;3. For grantees other than individuals, Alternate I applies.

&nbsp;4. For grantees who are individuals, Alternate II applies.

&nbsp;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.

&nbsp;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).

&nbsp;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).

&nbsp;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).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

### Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency

designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

**15.2. Drug-Free Workplace Requirements**

After assurance select a check box:

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

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -  
Primary Covered Transactions

Instructions for Certification

&nbsp;1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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.

&nbsp;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

&nbsp;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

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.

**15.3. Debarment**

After assurance select a check box:

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

**CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

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

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

**15.4. Environmental Tobacco Smoke**

After assurance select a check box:

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

**THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)**

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.



# State of New Mexico

**Susana Martinez**  
*Governor*

April 29, 2015

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

**Dear Secretary Earnest:**

I hereby designate you, Brent Earnest, as Cabinet Secretary of the New Mexico Human Services Department (NMHSD); Grantee for the Community Services Block Grant (CSBG), the authority to sign the Assurances, Certifications and Reports for this program as required by the United States Department of Health and Human Services.

This authority shall be delegated to you for the length of time you are in the position of NMHSD Cabinet Secretary.

Sincerely,

A handwritten signature in black ink that reads "Martinez".

**Susana Martinez**  
**Governor**

## ARTICLE 8 COMMUNITY ACTION

### Section

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

### 27-8-1. Short title.

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

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

### 27-8-2. Policy; purpose.

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

**History:** Laws 1983, ch. 139, § 2.

**27-8-3. Definitions.**

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

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

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

History: Laws 1983, ch. 139, § 3.

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

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

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

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

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

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

History: Laws 1983, ch. 139, § 4.

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

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

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

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

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

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

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

C. A community action agency is empowered to:

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

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

**History:** Laws 1983, ch. 139, § 5.

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

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

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

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

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

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

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

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

**History:** Laws 1983, ch. 139, § 6.

#### **27-8-7. Community action programs.**

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

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

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

(1) secure and retain meaningful employment;

(2) attain an adequate education;

(3) make better use of available income;

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

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

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

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

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

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

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

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

F. furthers any other purpose consistent with federal or state law or regulations.

**History:** Laws 1983, ch. 139, § 7.

#### **27-8-8. Regulations.**

The secretary shall adopt such rules and regulations as may be necessary to carry out the provisions of the Community Action Act [27-8-1 to 27-8-9 NMSA 1978].

**History:** Laws 1983, ch. 139, § 8.

#### **27-8-9. Financial assistance; limitations.**

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

**History:** Laws 1983, ch. 139, § 9.



## **New Mexico CSBG MSP 2018-2019**

### **Section 10 State Monitoring Policies**

The current monitoring tool is attached. This tool identifies the substantive areas evaluated by the CSBG State Office during its full onsite review. This tool has been provide to the eligible entities and is included in the Notice of Review that is sent to the eligible entity 30 days before the scheduled onsite review.

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

During FY 2018, the CSBG State Office plans to revise the monitoring tool, with input form the eligible entities and the Association.

**NM HUMAN SERVICES DEPARTMENT/ INCOME SUPPORT DIVISION**

**WORK AND FAMILY SUPPORT BUREAU**

**COMMUNITY SERVICES BLOCK GRANT (CSBG)  
MONITORING AND ASSESSMENT REPORT**

**AGENCY:**

**DESIGNATED SERVICE AREA:**

**MONITORING DATE:**

**LAST REVIEW DATE:**

**REVIEW TEAM:**

**EXECUTIVE DIRECTOR:**

**BOARD CHAIRPERSON:**

**CAA FISCAL OFFICER:**

**BOARD MEMBERS ATTENDING  
EXIT CONFERENCE:**

---

---

**EXECUTIVE DIRECTOR'S  
SIGNATURE:**

---

**LEAD REVIEWER'S  
SIGNATURE:**

---

**DATE:**

---

**ADMINISTRATIVE REVIEW**

<b>PERSONNEL:</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>	<b>Comments</b>
Does the agency have written Personnel Policies and Procedures? (Date of most recent revision: _____)				
Do the procedures include Equal Opportunity Employer Certification (non-discrimination provisions)?				
Do the policies and procedures contain the following: Leave policies (annual, sick, compensatory, etc) Family Medical Leave Act Hiring/Firing policy Nepotism policy Sexual Harassment policy Conflict of Interest policy Confidentiality policy Drug and Alcohol policy ADA and reasonable accommodations Work related injuries (worker's comp) procedures Employee Grievance procedures Disciplinary Action procedures Evaluation/Performance Review policy Travel/Per Diem Whistleblower Protection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are policies and procedures available to all staff?  Employees are informed of the above personnel policies and procedures through: <input type="checkbox"/> New Staff Orientation <input type="checkbox"/> Agency Packet <input type="checkbox"/> Training <input type="checkbox"/> Reference <input type="checkbox"/> Other _____				

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

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

**BOARD REVIEW**

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

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

<p>Do the bylaws define:          Mission and/or purpose?          Election of officers?          Geographic service area?          Board membership/composition?          Term of office?          Quorum requirements?          Recruitment of new members?          Vacancies and removal of officers?          Duties of committees?          Duties of the executive director?          Frequency of Board meetings?          Code of ethics?          Democratic selection process-- representatives of the poor?</p>				
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____

Additional Notes:

	YES	NO	N/A	Comments
<b>BOARD MINUTES/MEETINGS:</b> Are Board minutes recorded and submitted to the state office within 30 days after each meeting? (no signature required)				
Are the minutes on file at the agency fully executed? (Robert Rules of Order)				
Do the minutes reflect a quorum was attained where business was conducted? (Robert Rules of Order)				
Has the Board followed its bylaws regarding the number and time frames of meetings to be held?				



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

**PROGRAM REVIEW**

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

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

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

<p>state agencies? community development organizations? advocacy organization? other ( _____ )?</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>Additional Notes:</p>									
<p><b>REPORTING:</b></p>									
<p>Did the agency track and report services outlined in their Scope of Work on the CSBG/IS NASCSP report: Fiscal section? ROMA section?</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>
<p>Did the agency meet their goal(s) as outlined in the scope of work?</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>
<p>Did the agency report other services (not specified in the scope of work) on the CSBG/IS NASCSP report: Fiscal section? ROMA section?</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>
<p>Does the agency submit the following within a timely manner: monthly CSBG report? annual CSBG NASCSP/IS survey (yr. end report)?</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p>
<p>The agency reported on the following ROMA National Goals: Goal 1: Self Sufficiency Goal 2: Community Revitalization (Conditions improved) Goal 3: Community Revitalization (...people own a stake..) Goal 4: Agency (Partnerships) Goal 5: Agency (Increase capacity to achieve results) Goal 6: Family Stability</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>

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

**FISCAL REVIEW**

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

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



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

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

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