



Executive Standing Committee

AGENDA

(Hybrid Meeting)

Monday, September 16, 2024

1:30 pm

809 Copper Avenue NW

<https://us06web.zoom.us/j/89521286349?pwd=VIJOVFM4RnVrdXVyanNlL0xRaEdKZz09>

Passcode: 624618

Krista Kelley, Chair

Stacy Sacco, Chair-Elect

AGENDA

- Call to Order**
- Roll Call** - Determination of Quorum

Carl Adams, Youth Standing Committee Chair

Marvis Aragon, Bernalillo County Rep

Karla Causey, Treasurer, Finance Standing Committee Chair

Antoinette Holmes, Disability Standing Committee Chair

Honorable Gregg Hull, WCCNM Chief Elected Official

Krista Kelley – Chair, Sandoval County Rep

John Mierzwa – Past Chair

Debbie Ortiz-, Torrance County Rep.

Stacy Sacco - Chair-Elect Bernalillo County Rep

Susan Yasenka – Valencia County Rep.

Vacant – Operations Standing Committee Chair

Approval of Monday, September 16, 2024, Agenda

Motion

Second

Action

Tab 1 **Approval of Minutes: May 20, 2024**

Motion

Second

Action

ACTION ITEMS

Tab 2 **Approval of Administrative Policy No. AP-210 Stevens Amendment Policy**

Motion

Second

Action

Tab 3 **Approval of H1-B Pathways to Infrastructure Jobs Grant Contract Renewal**

Motion

Second

Action

INFORMATION & DISCUSSION ITEMS

Tab 4 **WIOA Updates –**

- **Local 4-year plan update**
- **Performance Negotiations PY24 & 25**
- **USDOL CHANCES Period of Performance Request**
- **USDOL H1B update**
- **NMDWS Monitoring, One-Stop, A&E MRCOG Financial**

PUBLIC COMMENT/ADJOURNMENT

- Public Comments** - Anyone who wishes to address the Executive Standing Committee must register with the secretary of the WCCNM Board
- Adjournment**

NOTES

Next Meeting: WCCNM Joint Chief Elected Official's/Executive Standing Committee, November 18, 2024, 10:00 am

*Anyone requiring special accommodations please notify the MRCOG office at 247-1750 seven (7) days prior to the meeting.
"Equal Opportunity Program"*

MINUTES



Executive Standing Committee

Monday, May 20, 2024

1:30 pm

Mid-Region Council of Governments
809 Copper Ave. NW, Albuquerque, N M
Hybrid

Call to Order – 1:34 pm – John Mierzwa

Member

Carl Adams, Youth Standing Committee Chair

- ✓ **Doug Calderwood**, Performance & Monitoring Chair
- ✓ **Karla Causey**, Treasurer, Finance Standing Committee Chair
- ✓ **Antoinette Holmes**, Disability Standing Committee Chair
- ✓ **Honorable Gregg Hull**, CEO
- ✓ **Krista Kelley** – Chair-Elect, Sandoval County Rep
- ✓ **John Mierzwa** - Chair
- ✓ **Debbie Ortiz**- Past Chair, Torrance County Rep.
- ✓ **Stacy Sacco** - Bernalillo County Rep
- ✓ **Jerry Schalow**, Past-Chair
- ✓ **Susan Yasenka** – Valencia County Rep

Approval of Monday, May 20, 2024, Agenda

Motion: **Stacy Sacco**

Second: **Debbie Ortiz**

No Discussion

Action: Passed unanimously by Roll Call Vote

	Yes	No	Abstain	No Vote
Carl Adams				
Doug Calderwood	X			
Karla Causey	X			
Antoinette Holmes	X			
Gregg Hull	X			
Krista Kelley			X	
John Mierzwa	X			
Debbie Ortiz	X			

Stacy Sacco	X			
Jerry Schalow			X	
Susan Yasenka			X	

Tab 1: Approval of WCCNM Minutes for March 18, 2024

Motion: Debbie Ortiz

Second: Mayor Gregg Hull

No Discussion

Action: Passed unanimously by Roll Call Vote

	Yes	No	Abstain	No Vote
Carl Adams				
Doug Calderwood	X			
Karla Causey			X	
Antoinette Holmes	X			
Gregg Hull	X			
Krista Kelley			X	
John Mierzwa	X			
Debbie Ortiz	X			
Stacy Sacco	X			
Jerry Schalow			X	
Susan Yasenka				X

ACTION ITEMS

Tab 2	<p>Approval of MP-306 Data Validation Policy – New (with approval of MP-306, MP-305 Subject: Data Validation dated 9/25/2023 is rescinded and replaced with MP-306)</p> <p>By: Tawnya Rowland, Program Manager</p> <ul style="list-style-type: none"> ▪ Ms. Rowland, presented MP-306 Data Validation Policy. She stated, last September a Data Validation Policy was done that was required by USDOL. ▪ NMDWS has since then revised their Policy and Guidance that we received on March 18, 2024. ▪ A request was made to the Board to rescind MP-305 Data Validation Policy that was approved on September 25, 2023 and approve the New Data Validation Policy MP-306. ▪ She explained, at least once per year, the NMDSW will run a data validation report for each of the four regions. The Data Validation Report will reflect a pass or fail regarding source documents that we have captured for each of our participants.
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- Source documents are things such as transcripts, social security numbers or driver's license. These are the items the USDOL requires we obtain from participants to document they've actually done something that they've stated.
- In addition to the service providers quality assurance, their quality control process could have different names for these depending on the service provider. Asking that they incorporate a random sampling of source documents obtained for their participants within the past 4 quarters, or however frequently they want to do it.

Questions & Comments

If you would like more detailed information, please request the zoom recording.

Motion: Jerry Schalow

Second: Krista Kelley

No Discussion

Action: Passed by Unanimous Consent.

	Yes	No	Abstain	No Vote
Carl Adams				
Doug Calderwood	X			
Karla Causey	X			
Antoinette Holmes	X			
Gregg Hull	X			
Krista Kelley	X			
John Mierzwa	X			
Debbie Ortiz	X			
Stacy Sacco	X			
Jerry Schalow	X			
Susan Yasenka	X			

Tab 3

Approval of Open Meetings Act and WCCNM Meetings Date

By: Art Martinez, WCCNM Administrator

- Mr. Martinez presented the Open Meetings Act and WCCNM Meetings Date for PY24.
- Any policy-making body of any state agency or any agency formulating public policy is required to follow the Open Meetings Act.
- Mr. Martinez also presented the PY24 WCCNM meeting dates for July 2024 through June 30, 2025.
- Full Board meetings will be scheduled on the third Monday of every other month. Executive Committee will meet every other month on the months

the Full board is not meeting, and Chief Elected Officials will be meeting three times a year.

- The meeting schedule follows the schedule established in 2003.

Motion: Gregg Hull

Second: Debbie Ortiz

No Discussion

Action: Passed by Unanimous Consent.

	Yes	No	Abstain	No Vote
Carl Adams				
Doug Calderwood	X			
Karla Causey	X			
Antoinette Holmes	X			
Gregg Hull	X			
Krista Kelley	X			
John Mierzwa	X			
Debbie Ortiz	X			
Stacy Sacco	X			
Jerry Schalow	X			
Susan Yasenka			X	

INFORMATION & DISCUSSION ITEMS

Tab 3: WIOA Updates

- **Preliminary WIOA Allotments by NMDWS**
- Mr. Martinez stated an email was sent to the board with preliminary allotments. He explained most states are taking a cut and we will take a cut up 9.5% or 9.8%.
- Contracts will be emailed out prior to the Full Board Meeting.

Discussion

- **Future Legal Contract**
- Mid-Region Council of Governments issued RFP-2021-01 titled on call legal services on January 18, 2021.
- We can use any one of these contracts.
- Contracts will end on April 21, 2025, but expect for a renewal and solicitation prior to the expiration date.

PUBLIC COMMENT/ADJOURNMENT

Public Comments – None
Adjournment – 2:33 pm

Next Meeting: July 15, 2024, at 1:30 pm.

*A more detailed account of the meeting and discussions are available for review at the MRCOG
offices at:
809 Copper NW, Albuquerque, NM 87102*

Approved September 16, 2024

Krista Kelley, WCCNM Chair

ATTEST:

Secretary

“Equal Opportunity Program”

**Workforce Connection of Central New Mexico
WCCNM Stevens Amendment Policy
Administrative Policy No. AP-210**

Action Requested:

Request for approval of the new Stevens Amendment Policy No. AP-210.

Background:

The Stevens Amendment is an appropriations provision that requires U.S. Department of Labor and U.S. Department of Health and Human Services grant recipients to acknowledge federal funding when publicly communicating any projects or programs. This requirement to reveal the costs financed with federal funds promotes transparency and accountability and ensures any federally funded research and work are properly credited.

Financial Impact:

None

Do Pass: _____

Do not Pass: _____

WCCNM Executive Standing Committee, September 16, 2024.

Stevens Amendment Policy NO. AP- 210

Subject: Stevens Amendment

Effective: PY24 – 09/16/2024

PURPOSE:

To provide guidance for Workforce Connection of Central New Mexico (WCCNM) service providers and federally funded partners on compliance under the Stevens Amendment pertaining to transparency of the use of federal grant funds.

REFERENCES:

- Public Law 115-31, Division H, Section 505, Page 428
- Public Law 116-260, Division H, Section 505
- U.S. General Accounting Office (GAO) Report to Congress (March 2021)
- NMDWS Policy Issuance #: 400-02
- State Instruction Number 22-01; Effective Date 11/02/2022

BACKGROUND:

The Stevens Amendment is a federal requirement found in H.R. 6157 that requires U.S. Department of Labor (USDOL), and Health and Human Services (HHS) funding information to be included on all projects or programs using federal funds. It is intended to provide transparency for taxpayers and ensure federally funded research and work are properly credited. As of April 30th, 2024, The New Mexico Department of Workforce Solutions (NMDWS) issued Policy #400-02 for guidance on the Stevens Amendment which states that all NMDWS administered federal grants must include a funding statement on all materials that communicate information regarding programs funded in whole or in part with federal funds including award announcements, requests for proposals, bid invitations, presentations, website content, press releases, and marketing materials must include language in compliance with the Stevens Amendment. The NMDWS allows the use of a URL to refer readers to the WCCNM Funding web page instead of providing funding disclosure descriptions and amounts on each document and/or marketing material produced for public distribution.

POLICY:

The WCCNM AE/FA, One-Stop Operator, service providers and all federally funded partner programs must comply with the Stevens Amendment. All materials that communicate information regarding programs funded in whole or in part with USDOL and HHS federal funds must include one or more of the following: electronic materials should have a link to the WCCNM website funding page; hardcopy documents must contain the full URL (not a link) to the WCCNM website funding page. Types of documents and materials required to be in compliance with the Stevens Amendment include:

- Award announcements
- Requests for proposals
- Bid invitations
- Websites
- Press releases

- Social media posts
- Marketing materials
- Blogs
- Brochures
- Email Blasts
- Manuals
- Outreach Materials
- Promotional Materials
- Resource guides
- Any documents that include statements about a federally funded program or project
- Toolkits
- Visual Presentations (e.g. power point presentations)

Compliance is required for activities that directly support and further the goals of the federal award or grant. It is not required for activities covered through indirect costs. For materials funded by multi-year federal grants or awards, only the funding for the current program year must be disclosed. Examples of the funding disclosure *statements that must be on all* electronic and hard copy materials and documents are as follows:

Electronic/Digital Materials Only: This project/publication is supported through the U.S. Department of Labor as part of a grant award financed from state, local, federal and/or non-federal government sources. For full funding disclosure information, please click the link or type the URL in your browser: <https://www.wccnm.org/funding>

Hard Copy Materials Only: This project/publication is supported through the U.S. Department of Labor as part of a grant award financed from state, local, federal and/or non-federal government sources. For full funding disclosure information, please type the following URL in your browser: <https://www.wccnm.org/funding>

Please note: Please see Attachment 1 for the WCCNM PY24 Funding web page, which will be available on the WCCNM.org Website on or before September 30, 2024. WCCNM will update the Funding web page annually every September to reflect current grant funding amounts.

For any electronic or hardcopy materials that include NMDWS funding sources (e.g. services that include WP, VETS, TANF, etc.) the WCCNM Funding web page also includes a link/full URL to the NMDWS Funding web page.

WCCNM will conduct monitoring of all marketing materials (electronic and hard copy) to ensure compliance of the requirements of the amendment. Additionally, policies and procedures regarding the Stevens Amendment should be posted on WCCNM & Partner websites and be updated at least annually.

Failure to comply with the Stevens amendment requirement can be considered as a breach of responsibility and may result in a corrective action plan; conditions could be placed on the award; termination, suspension, or debarment of funds awarded.

For existing hardcopy documents and printed materials describing projects or programs funded in whole or in part with federal money that does not currently include a disclosure statement, they do not need to be thrown away. However, all hard copy and printed materials must contain the full URL as defined above no later than March 31, 2025.

All service providers and partners must demonstrate compliance with the Stevens Amendment by updating their procedures accordingly.

APPLICABILITY:

WCCNM AE/FA, Service Providers, and Federally funded partners (co-located and non-co-located)

INQUIRIES:

WIOA Program Manager 505-724-3658

Krista Kelley, Board Chair

Date



ATTACHMENT 1:

Stevens Amendment

The Stevens Amendment is an appropriations provision that requires U.S. Department of Labor and U.S. Department of Health and Human Services grant recipients to acknowledge federal funding when publicly communicating any projects or programs. This requirement to reveal the costs financed with federal funds promotes transparency and accountability and ensures any federally funded research and work are properly credited.

Workforce Innovation and Opportunity Act (WIOA): The WIOA Title I Program is supported by the Employment and Training Administration (ETA) of the U.S. Department of Labor. The New Mexico Department of Workforce Solutions is the direct recipient for WIOA Title-I grants from the U.S. Department of Labor for the State of New Mexico. Click the following link to view their funding information www.dws.state.nm.us/funding

WIOA - Title I Program funds are sub-granted to Local Workforce Boards. The WCCNM is 100% funded by the U.S. Department of Labor. In PY24, the total amount the WCCNM received is \$9,253,434.00.

The WCCNM is the recipient of the Employment and Training Administration (ETA) of the U.S. Department of Labor Pathway Home 3, Reentry Employment Opportunity Grant, titled CHANCES. All CHANCES grant expenditures are 100% funded through a \$1,999,999.00 grant award through December 2025.

The WCCNM is the recipient of the Employment and Training Administration (ETA) of the U.S. Department of Labor H-1B Pathway to Infrastructure Jobs grant. All H-1B grant expenditures are 100% funded through a \$1,999,976.00 grant award through December 2026.

Workforce Connection of Central New Mexico WCCNM Service Provider Annual Contract Renewal Reports

Action Requested:

Request for approval of inter-agency agreement renewals for PY24 (July 1, 2024 – June 31, 2025) for:

- 1) US DOL H1-B Pathways to Infrastructure Jobs Grant (5 year grant)

Background:

Each year, the MRCOG prepares contract renewal reports for the WCCNM Board's consideration.

Accompanying this AISS request, the MRCOG AE/FA has provided the above contract renewal reports along with Risk Assessments for the H1-B Pathways to Infrastructure Jobs Grant.

Financial Impact:

None

Do Pass: _____

Do not Pass: _____

Approved: WCCNM Executive Standing Committee, September 16, 2024.

WCCNM Service Provider Annual Contract Renewal Risk Assessment for MRCOG H1-B Pathways To Infrastructure Grant

September 16, 2024 WCCNM Executive Committee Meeting

General Assessment

(Yes responses indicate risk)

1. Is the entity new to operating or managing state and/or federal funds (has not done so within the past five years)?

Yes _____ No X N/A _____

Comments: The MRCOG has provided oversight of the WCCNM WIOA Title (Adult/Dislocated Worker and Youth programs) since 2003.

2. Is this program new for the entity (*managed for less than three years*)?

Yes _____ No X N/A _____

Comments:

3. Has there been high staff turnover or agency reorganization that affects this program?

Yes _____ No X N/A _____

Comments:

4. Are the staff assigned to the program inexperienced with the program (*worked with the program for less than two funding cycles*)?

Yes _____ No X N/A _____

Comments:

5. Has the entity been untimely in the submission of:

a. applications Yes _____ No X N/A _____

b. amendments Yes _____ No X N/A _____

c. fiscal reporting Yes _____ No X N/A _____

d. draw downs Yes _____ No X N/A _____

e. budgets/revisions Yes _____ No X N/A _____

Comments:

6. Has the entity been timely in responding to program/fiscal questions?

Yes X No _____ N/A _____

Comments:

WCCNM Service Provider Annual Contract Renewal Risk Assessment for MRCOG H1-B Pathways To Infrastructure Grant

7. Is the program unusually complex (*e.g., program, funding, matching requirements*)?
Yes ___ No X N/A ___

Comments:

8. Have any other entities (program offices, auditors, staff employed by the entity, etc.) alerted us of potential risk areas?
Yes ___ No X N/A ___

Comments: The MRCOG AE/FA provides services for the WCCNM, which include ensuring the independent annual monitoring of its subrecipient program service provider contracts. It is not uncommon for independent program monitors to identify Areas of Concern or Findings in their annual service provider monitoring reports. When monitors identify program weaknesses, the MRCOG is able to immediately correct deficiencies and develop and implement new policies and procedures to mitigate any concerns before issues arise. Due to firewall policies, MRCOG AE/FA may not monitor any of the MRCOG subrecipient contractor's performance.

9. Does the entity have effective procedures and controls?
Yes X No ___ N/A ___

Comments:

10. Other areas of general assessment risk (entity-specific)

Legal Assessment (Yes responses indicate risk)

1. Does the agency/entity have or previously had a lawsuit(s) filed against them?
If yes, list all pending and/or previous lawsuits with detailed information regarding who filed the lawsuit, the reason for filing and the final judgment rendered.
Yes ___ No X N/A ___

Comments:

2. Is agency/entity currently or previously been suspended or debarred?
Yes ___ No X N/A ___

If yes, explain. _____
(Attach additional sheet if needed).

**WCCNM Service Provider Annual Contract Renewal
Risk Assessment for MRCOG H1-B Pathways To Infrastructure
Grant**

Comments:

3. Have any organization staff been jailed, convicted of a felony or are currently under criminal investigation?

Yes ___ No X N/A ___

Comments:

4. Other areas of legal assessment risk (entity-specific)

Monitoring/Audit Assessment
(Yes responses indicate risk)

1. Have more than last three funding cycles passed since the entity had an on-site monitoring visit?

Yes ___ No X N/A ___

Comments:

2. Were there findings/violations in the prior visit?

Yes ___ No X N/A ___

What were the number and extent of findings/violations in prior visit (more violations/more severe=higher risk)?

Comments:

3. Has it been more than one year since the recipient received a single audit? (no single audit=higher risk)

Yes ___ No X N/A ___

If Not, Why Not?

4. Has it been more than one year since the program audited was as a major program?

Yes ___ No X N/A ___

Comments:

If no, then were there findings?

Yes ___ No X N/A ___

WCCNM Service Provider Annual Contract Renewal Risk Assessment for MRCOG H1-B Pathways To Infrastructure Grant

What were the number and extent of findings/violations in prior visit (more violations/more severe=higher risk), and does the entity have a corrective action plan for correcting the finding?

Comments: The NMDWS has not yet conducted WCCNM/MRCOG WIOA Adult/Dislocated Worker program monitoring for PY21 or PY22. The USDOL completed A/DW monitoring in August 2023 and there were no findings or areas of concern.

The Eastern Area Workforce Development Board completed the PY23 A/DW Monitoring on April 3, 2024. All concerns identified in the monitoring report have been addressed.

5. Other factors of monitoring/risk assessment (entity-specific)

Financial System Assessment

(No responses indicate risk)

1. Does the state require the use of a uniform financial management/accounting system?

Yes No N/A (If "Yes" proceed to Question 3)

Comments:

2. Does the entity have a financial management system in place to track and record the program expenditures? (Example: QuickBooks, Visual Bookkeeper, Socrates Media, Peachtree or a Custom Proprietary System)

Yes No N/A

Comments:

3. Does the accounting system identify the receipts and expenditures of program funds separately for each award?

Yes No N/A

Comments:

4. Will the accounting system provide for the recording of expenditures for each award by the budget cost categories shown in the approved budget?

Yes No N/A

Comments:

WCCNM Service Provider Annual Contract Renewal Risk Assessment for MRCOG H1-B Pathways To Infrastructure Grant

5. Does the entity have a time and accounting system to track effort by cost objective?

Yes No N/A

Comments:

6. Are time distribution records (time studies) maintained for all employees when his/her effort cannot be specifically identified to a particular program cost objective?

Yes No N/A

If "No," does the entity have an approved alternative system to account for time distribution, and when was it approved?

Comments:

7. Does the entity have an indirect cost rate that is approved and current?

Yes No N/A (If "Yes," who approved the rate?)

Comments: The MRCOG AE/FA is the Fiscal Agent for the H1-B Pathways Grant program. The MRCOG indirect rate was approved by the United States of Department of the Interior.

8. Are the Federal base dollars of this indirect cost rate calculation comparable to other organizations of similar size, purpose and budget?

Yes No N/A

Comments:

9. Other items of financial system assessment (entity-specific)

Overall Fiscal Assessment **(Yes responses indicate risk)**

1. Is this grant large in terms of percentage of overall funding for the entity?

Yes No N/A

Comments:

2. Is there an unusual level of discretion in monetary decisions?

Yes No N/A

Comments:

WCCNM Service Provider Annual Contract Renewal Risk Assessment for MRCOG H1-B Pathways To Infrastructure Grant

3. Has the entity frequently been untimely in the drawn down of funds?

Yes ___ No X N/A ___

Comments:

4. Are there variations between expenditures and the budget?

Yes ___ No X N/A ___ (*large variations=higher risk*)

Comments:

5. Has the entity returned (lapsed) significant unspent funds?

Yes ___ No X N/A ___

Comments:

6. Does the entity have a large amount of budget carryover?

Yes ___ No X N/A ___

Comments:

7. Are the entity's fiscal statistics outside of tolerance or trends (*e.g., much more expenditures on supplies than average*)?

Yes ___ No X N/A ___

Comments:

8. Other items of overall fiscal assessment (entity-specific)

The MRCOG AE/FA and the WCCNM Finance Standing Committee monitors and oversees all fiscal activities.

Financial Stability Assessment

The assessment of financial stability of an entity will vary depending upon the type of entity being assessed. If the entity is a public entity (e.g., school district, public university, municipality, local air authority, etc.) the Public Entity criteria below may be used to assess financial stability. Non-public entities should be assessed using the Non-Public/Not-For-Profit/Community Base Organizations criteria.

Financial Stability Assessment: Public Entities

(Yes responses indicate risk)

WCCNM Service Provider Annual Contract Renewal Risk Assessment for MRCOG H1-B Pathways To Infrastructure Grant

1. Has the State or other authority placed the entity in a special financial status (e.g., financial watch, fiscal emergency, high risk, etc.)?

Yes ___ No X ___ N/A _____

Comments:

2. Has the entity ever used special loan or funding programs to meet its cash needs?

Yes ___ No X ___ N/A _____

Comments:

3. Has the entity had difficulties raising local revenue (e.g., taxes, levies, etc.)?

Yes ___ No X ___ N/A _____

Comments:

4. Has the State or other authority placed special financial conditions on the entity's award?

Yes ___ No X ___ N/A _____

Comments:

5. Do the financial reports show an insufficient fund balance after meeting its obligations?

Yes ___ No X ___ N/A _____

Comments:

6. Has the entity had difficulty meeting matching/maintenance of effort requirements?

Yes ___ No X ___ N/A _____

Comments:

7. Do the entities financial reports indicate cash flow problems?

Yes ___ No X ___ N/A _____

Comments:

8. Do the financial reports indicate possible supplanting issues?

Yes ___ No X ___ N/A _____

Comments:

WCCNM Service Provider Annual Contract Renewal Risk Assessment for MRCOG H1-B Pathways To Infrastructure Grant

9. Do the entity's financial reports indicate a large number of corrections or journals?

Yes ___ No X ___ N/A _____

Comments:

10. Has the entity provided adequate supporting documentation for draws and reporting requirements?

Yes X ___ No ___ ___ N/A _____

Comments:

11. Other items of financial stability assessment (public entity-specific)

Financial Stability Assessment: Non-Public/Not-For Profit/ Community Base Organizations

THE FOLLOWING IS NOT APPLICABLE TO MRCOG H1B The MRCOG AE/FA, MRCOG New Mexico Workforce Connection One-Stops, and the MRCOG H1-B Pathways to Infrastructure Grant program are not considered Non-Public/Not-for-Profit Community Based Organizations. The MRCOG/WCCNM programs are independently audited on an annual basis. Financial Statements are available.

The purpose of this section is to use the Financial Statements of the entity/organization to determine its financial health. If independently audited financial statements are not available, the organization's Chief Financial Officer should be asked to prepare and certify a financial statement. Generally Accepted Accounting Principles require organizations to maintain the following information:

- Financial Statements:
 - a. Balance sheet or statement of financial position
 - b. Income statement or statement of operations
 - c. Statement of cash flows
 - d. Other statements, such as:
 - i. Retained earnings statement
 - ii. Industry-specific statements
- Notes to the Financial Statements, such as:
 - a. Accounting policies
 - b. Related party transactions
 - c. Subsequent events
 - d. Contingent liabilities
 - e. Details about debt and equity investments, inventories, fixed assets and depreciation, long-term debt and capital stock

WCCNM Service Provider Annual Contract Renewal Risk Assessment for MRCOG H1-B Pathways To Infrastructure Grant

f. Disclosures as needed in other areas (e.g., leases, pensions or income taxes)

The Balance Sheet Statement can answer these questions:

1. Can the organization pay its bills?

Yes ___ No ___ N/A ___

Comments:

2. Is there cash left over after the organization pays its bills?

Yes ___ No ___ N/A ___

Comments:

Specifically Answer:

a) What is the organization's debt trend?

Answer:

b) What is the "current ratio"? (Current Assets ÷ Current liabilities)

Note: A 1 ÷ 1 ratio means that the organization can just pay its bills.

Answer:

(c) What is the "Acid Test Ratio"?

The formula is:

Current Assets – Inventories

Liabilities _____

Note: The current asset – current liabilities ratio provides you with a working capital index. This ratio measures the immediate debt paying ability of an organization. A 1.0 to 1.01 acid-test ratio is usually considered adequate because it indicates that for every dollar of debt there is one dollar of assets that can be converted into cash on short notice to meet current obligations.

(d) What is the organization's Debt to Equity Ratio?

The formula is:

Total Liabilities ÷ Total Equity _

Note: The "debt to equity ratio" provides information on what the organization owns.

Answer:

3. Statement of Cash Flows

The Statement of cash flows shows cash "coming in and going out" and can help answer important questions, like:

- What generated the entity's increase (or decrease) in cash balance?

WCCNM Service Provider Annual Contract Renewal Risk Assessment for MRCOG H1-B Pathways To Infrastructure Grant

- How did the entity utilize the cash provided by operations?
- How did the entity finance any fixed asset purchases or long-term investments?
- What uses did the entity make of cash generated by borrowing or by issuing stock?
- If a entity operated at a loss, how was it able to pay its bills?
- If an entity operated at a profit, why didn't the cash balance increase?
- Can cash flow support future needs such as debt requirements?

(a) Has the organization operated at a loss for the current or past periods?

Yes____ No____ N/A_____

Comments:

(b) Is debt growing or declining?

Growing____ Declining_____

4. Notes to the Financial Statement and Report of the Independent Auditor

The notes and “management letters” contain information and disclosures important to the understanding of the financial statements. The notes may seem lengthy and detailed, but some of the real story may be gleaned from a careful reading of these notes.

(a) Do the notes to the financial statements or management letters disclose potential financial problems at the organization (e.g., pending lawsuits, outstanding judgments, major loans to or from officers, etc.)?

Yes____ No____ N/A_____

Comments:

(b) Do the loan notes reflect (including loans from officer) indicating poor financial health (e.g., unusually high interest rates, unusual repayment provisions, etc.)?

Yes____ No____ N/A_____

Comments:

(c) Does the independent audit report for the most recent fiscal year contain an unqualified audit opinion?

Yes____ No____ N/A_____

If not, what kind of opinion did the auditor express? Why did the entity not receive an unqualified opinion?

WCCNM Service Provider Annual Contract Renewal Risk Assessment for MRCOG H1-B Pathways To Infrastructure Grant

5. Other non-public entity financial stability assessment (entity-specific)

Programmatic Assessment

Similar to the sections above, the programmatic risk assessment should include items that assess risks in meeting program requirements and objectives. The examples below are geared toward Department of Education assessments. However, agencies using this tool should review their applicable programmatic requirements found in statute, rule and supplements to develop specific risk criteria.

1. Did the entity meet Annual Measurable Achievement Objectives?

Yes No N/A

Comments

2. Does the entity have a system in place for participant notification?

Yes No N/A

Comments:

3. Did the entity meet notification requirements?

Yes No N/A

Comments:

4. Other criteria which are required by applicable statute/rule.

The MRCOG and its affiliated workforce programs follow all Federal (USDOL) and State (NMDWS) applicable statutes and rules.

Through Professional Service and Subrecipient Agreements, the Mid-Region Council of Governments (MRCOG) serves the Workforce Connection of Central New Mexico (WCCNM) Board in the role of:

1. Administrative Entity and Fiscal Agent (AE/FA);
2. One-Stop Operator, and;
3. WIOA Adult and Dislocated Worker (A/DW) Service Provider.
4. Youth Development Inc. (YDI) serves the WCCNM as the WIOA Youth Service Provider; and
5. Youth Development Inc. (YDI) serves the WCCNM as the CHANCES (REO Grant) Service Provider.
6. Central New Mexico Community College and UNM Valencia Campus H1B Training Provider and Sector Strategy and Outreach Consultant(s).

The H1-B Pathways to Infrastructure Jobs grant inter-governmental agreement is also renewable on an annual basis for one or two option years until September 30, 2028.

The AE/FA Professional Services Agreement is a formal Inter-Governmental Agency Agreement consistent with NM State Procurement Statute whereas the WCCNM, a "Local Public Body", is authorized to contract with the MRCOG, a "Local Public Body."

H1-B Pathways to Infrastructure Jobs Grant

To facilitate the WCCNM Board decision to extend/renew the H1-B Pathways agreement. The following report provides a PY23 (July 1, 2023, through June 30, 2024) performance summary evaluation of the services provided to the WCCNM by MRCOG Staff.

a. Scope of Work

In September 2023 the WCCNM was awarded the US Department of Labor Employment and Training Administration- H1-B Pathways to Infrastructure Jobs Grant, a 5-year development grant that provides some training funding but focuses on administrative support to develop sector strategies in the employment sectors of broadband, renewable energy, and transportation. This grant has two subrecipients— Central New Mexico Community College and University of New Mexico Valencia County, to help facilitate sector strategies and seeking participants going into the sectors above mentioned. The scope of work for the H1-B Pathways to Infrastructure includes the following:

- Goal of staggered participant enrollments and exits of 250 individuals over a 48-month period and staggered Follow-Up activities over a 12-month period. Of that 250 the goal of 225 participants beginning training and 200 completing a program, 185 obtaining a credential, 136 finding a job, and 36 incumbent workers skilling up.
- Target population includes un and underemployed individuals who are 17 and older and out of secondary school. This project will particularly recruit individuals who are underrepresented in targeted sectors, including veterans, people of color, and women.
- Serve eligible incumbent workers through short-term customized training,

- with vacated positions open to new project graduates.
- For workforce tracking, WCCNM uses the New Mexico Workforce Connection system to track employment characteristics, services, activities, and outcomes for participants in the workforce system; this system is capable of tracking and reporting per state and federal grant requirements.
 - Adhere to WCCNM Administrative Entity and Financial Agent Policies.
 - Serve as central point of contact for coordinating all program referrals, collecting all participant data, WCOS data entry input, tracking and reporting to MRCOG Program Director.
 - Based on participant eligibility, co-enroll participants in WCCNM WIOA Title I, Title II, and Department of Vocational Rehabilitation (DVR) programs to receive paid training, supportive services, and employment resources. Track and report all co-enrollments as Leveraged Resources. Grant funds for stipends and incentives are available to help participants while they are in training.
 - Facilitate Employer and Industry Sector Advisory Council that will review programs of study, curricula, discuss hiring and credential needs, and any training gaps in the three sectors.
 - Convene a Diversity Equity, Inclusion and Accessibility Stakeholder Committee to address program design worker voice, and address participation barriers for historically underserved communities.
 - Provide pre-release services including job preparation, developing IDPs that identify barriers to employment, career exploration and planning, experience and skill matching, counseling, assistance obtaining state identification required for employment, and assistance with linking incarcerated individuals to the social services required to help them transition back to their communities. Pre-release occupational training resulting in credentials and/or certifications is highly encouraged.
 - Working with WIOA Title I partner, facilitate post-release activities including WIOA-funded training, skill-building services, such as Registered Apprenticeships, transitional jobs, On-the-Job Training (OJT), internships, or other occupational training in in-demand industries, as determined by WCCNM local area need, that lead to industry-recognized credentials.
 - Based on participant eligibility, co-enroll participants in WCCNM WIOA Title I, Title II, and Department of Vocational Rehabilitation (DVR) programs to receive paid training, supportive services, and employment resources. Track and report all co-enrollments as Leveraged Resources. Grant funds for stipends and incentives are available to help participants while they are in training.
 - Work with WCCNM and New Mexico Workforce Connection One-Stop partners to identify job opportunities, OJTs, internships, Registered Apprenticeships, or other paid occupational training opportunities in in-demand industries that lead to industry-recognized credentials, or direct employment.

- Conduct outreach (social media and networking) to employers, unions, and community organizations to promote the H1-B Pathways to Infrastructure Grant program and the hiring of participants.
- Monitor follow-up to verify participant's employment status 2nd and 4th Quarter after exit.

c. Continuous Quality Improvement

PY 23 was an implementation year for the H1-B Pathways to Infrastructure Grant program requiring CQI initiatives to consistently monitor the effectiveness of program policies, procedures, and services in meeting the needs of participants while at the same time leading to successful performance outcomes. CQI Initiatives the future will require an annual review of the policies to adequately address the needs of case manager and participants and allow additional incentives to assist with engagement and retention of participants. Participant files will be reviewed with coordinators and WIOA Adult and Dislocated Worker staff to support all data and develop additional service plans in addressing and obtaining Measurable Skills Gains to build program performance and build to strengthen sector strategies.

The H1-B Pathways to Infrastructure Jobs staff will continue to review program effectiveness in increasing employment opportunities throughout the life of the grant (9/30/2028). New CQI initiatives will be developed and implemented as needed to ensure success participants participation.

d. Performance – Sept 30, 2023 – September 1, 2024

The H1-B grant began enrolling participants during PY23 Q3 (Jan 1, 2024-June 30, 2024) and as of September 1st, 2024, has enrolled 16 participants. Recent outreach activities include convening the sector advisory council and meeting with 5 employers within the three sectors and working closely with WIOA Adult and Dislocated Worker to reengage sector employers in WCCNM services.

e. Fiscal – Sept 30, 2023 – July 30, 2024

WCCNM was awarded \$2,999,976 in PY23 the MRCOG expenditures has totaled \$206,315.71 to date. The MRCOG Administrative Entity and Fiscal staff are closely monitoring fiscal activities and will continue with Quarterly Performance and Fiscal monitoring to include the H1-B Pathways to Infrastructure Jobs grant.

The MRCOG requests the opportunity for MRCOG to continue serving the WCCNM and the Central Region in its contractual capacity as the H1-B Pathways to Infrastructure Program Administrative and Coordinator of Services provider.

**Workforce Connection of Central New Mexico
MRCOG- H1-B Pathways to Infrastructure Jobs Grant
Risk Assessment Questionnaire**

Name of Organization

Mid-Region Council of Governments

Questions:	Response:	Comments:
1. What is your organization type? (for-profit, not-for-profit, government)	government	
2. Is your organization registered on SAM.gov? <i>If yes, do you have active exclusions?</i> <i>Note: All organizations doing business with PHS must have an active DUNS number and be registered at SAM.gov Presbyterian does not engage in business with organizations that have active exclusions on SAM.gov.</i>	Yes No	
3. Does the organization have a single audit? <i>If yes, are there any significant or relevant findings? Include management responses to any findings in the Comments section</i>	Yes No	
4. Does your organization have experience in administering federal awards? <i>If so, please provide example in the Comments section. Include the awarding agency, total dollar amount and period of performance.</i>	Yes	See SEFA in MRCOG's Financial Report
5. Does your organization have a negotiated indirect cost rate? (Y/N). If yes, please provide the rate in the Comments section	Yes	20.33%
6. Are you aware of any potential conflicts of interest? To the best of your knowledge: does any WCCNM Board member, Officer or employee have a financial interest in your organization? does any family member of a WCCNM Board member, Officer or employee have a financial interest in your organization? does any member of your organizations Board of Directors also have a Director, or Management role at WCCNM? <i>If yes to any of the questions above, please provide the name, relationship and nature of the financial interest in the Comments section.</i>	No No No	

Subrecipient Monitoring Questionnaire

Does your organization have a financial management system that provides records that can identify the source and the application of funds for award supported activities?	Yes	
Are duties segregated so that no one individual has complete authority over an entire financial transaction?	Yes	
Does your organization's financial management provide for the control and accountability of project funds, property and other assets?	Yes	
What is the frequency (ie, monthly, semi-annually or other) of financial statements being prepared, approved and submitted for review to management, the board of directors, or an audit committee?		Monthly
Describe the method that your organization uses to support labor and benefit charges: We use Kronos for time and effort tracking-Fund numbers are used to track by grant and activity numbers are used to track various activities within each grant.		
Has there been any turn-over of key personnel in the last 12 months (ie CFO, Executive Director, program personnel working on projects funded with federal awards)?	No	
If "Yes" please list who and the organizations plan to address any identified risks as a result of the vacancy as it relates to federal funding.		
Does your organization have formal, written policies that address:		
• Pay Rates and Benefits	Yes	
• Time and Attendance / Effort Reporting	Yes	
• Leave	Yes	
• Travel	Yes	
• Purchasing	Yes	
• Conflict of Interest	Yes	
Does your organization have a formal policy of nondiscrimination and a formal system for complying with United States federal civil rights requirements?	Yes	