



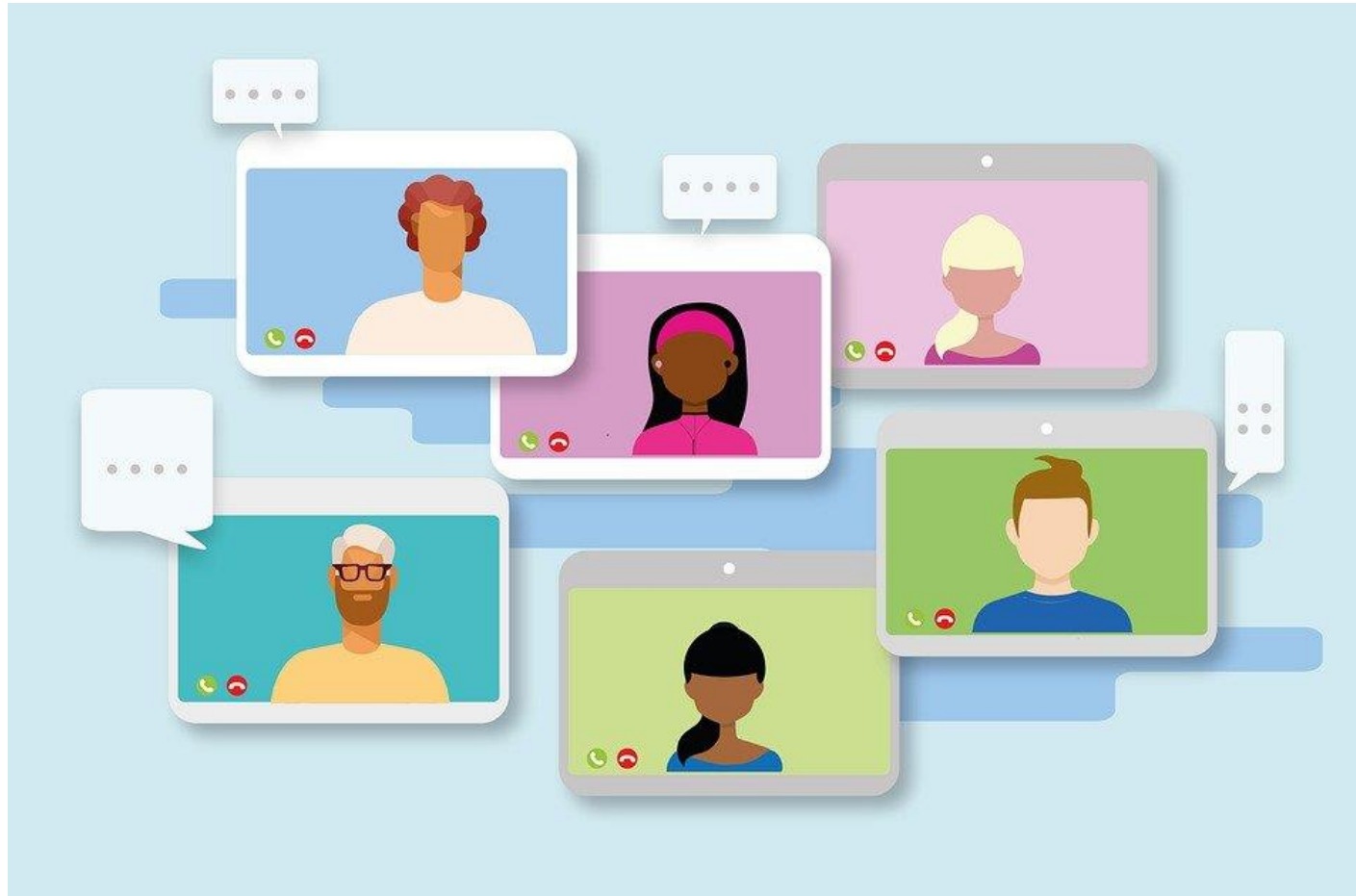
NATIONAL ASSOCIATION FOR STATE COMMUNITY SERVICES PROGRAMS

OCS State Assessment Member Only Conversation

May 27, 2021

NASCS P | OCS State Assessment Member Only Conversation | May 27,
2021

Introductions



Agenda

State Assessment Overview

How to prep for a State Assessment

Common issues, opportunities for improvement, findings

Discussion & peer administrator lessons learned

OCS State Assessment Schedule

CSBG-DCL-2021-12 outlines OCS' Virtual Monitoring Schedule for FFY 2021

Fiscal Year 2021 — State Assessment Schedule

State	Evaluation #	Type	Approximate Date
Colorado	2021-01	Virtual	December 7-11, 2020 (completed)
Arizona	2021-02	Virtual	December 14-18, 2020 (completed)
Washington	2021-03	Virtual	April 2021
New Mexico	2021-04	Virtual	May 2021
South Dakota	2021-05	Virtual	June 2021
Maryland	2021-06	Virtual	June 2021
Oregon	2021-07	Virtual	July 2021
North Dakota	2021-08	Virtual	August 2021
Delaware	2021-09	Virtual	August 2021
New Hampshire	2021-10	Virtual	September 2021

Fiscal Year 2022 — State Assessment Schedule

State	Evaluation #	Type	Approximate Date
West Virginia*	2022-01	Virtual	October 2021
Puerto Rico*	2022-02	Virtual	February 2022

State Assessment Overview

Required by CSBG Act

Typical Process:

- Notification via DCL that includes the Monitoring Schedule
- OCS communication from David Barrie's team
 - Final dates selected
- Document request list provided by OCS
 - State provides documentation in advance of OCS official visit
- OCS visit
 - Entrance conference; meetings with key staff; exit conference
- OCS report generation
 - State provides comments or planned corrective action
 - Final report is published:
<https://www.acf.hhs.gov/ocs/report/csb-g-state-assessments>

Document Request List

Description of Requested Documents	PL 105-285 Section
<p>1. Organizational Structure Documents:</p> <ul style="list-style-type: none"> ➤ State Policy and Procedures manual governing CSBG. ➤ The State Policy and Procedures for financial reporting of the FFR, procurement, property, travel, and administrative and accounting processes. We understand that these procedures may be housed in other areas of state government. ➤ Organizational Chart identifying positions, along with names of key staff. 	676
<p>2. Financial and Administrative Documents:</p> <ul style="list-style-type: none"> ➤ Detailed General Ledger to include revenue and expenses associated with the CSBG award for FY 2019 (10/1/2018– 9/30/2020), along with Trial Balances, and detailed Financial Statements ➤ If CSBG was tested during the last 3 years as part of the state Single Audit, please provide any documentation regarding the audit and any findings including corrective actions, if applicable. ➤ Cost Allocation Policy, if applicable. ➤ The Approved Indirect Cost Rate for state indirect costs, if applicable. ➤ Summary of Discretionary and Administrative charges by month for FY 2019 (10/1/2018 – 9/30/2020) ➤ Any applicable revisions of CSBG Budgets and/or State Plans for CSBG in the past 3 years. <p><i>Note:</i> Please include the chart of accounts and names/codes, which will uniquely identify CSBG's entries. As a preferred method for submitting the GL and other related financial records, we would like to recommend Excel or a compatible format. Additionally, please forward correspondences associated with prior approvals and/or scope changes, if applicable.</p>	675 & 678 (D)
<p>3. CSBG's Monitoring and other related records:</p> <ul style="list-style-type: none"> ➤ State Monitoring Procedures, if not included in the CSBG policies provided with the state plan. ➤ State Monitoring Reports with supporting documentation of corrective action. ➤ Policies and Procedures for Termination & Reduction of Funding, if not included in the policies provided with the state plan. ➤ Policies and Procedures for Designation and Re-designation of Eligible Entities, if not included in the policies provided with the state plan. ➤ ROMA Manual and Sample of ROMA Performance Management Tool. 	678(B), C & (E)

CSBG IM 102

https://www.acf.hhs.gov/sites/default/files/documents/ocs/im_no_102_csbg_monitoring_checklist.pdf

ADMINISTRATIVE OPERATIONS

CSBG Application and Plan

Purpose: To determine that the State Application and Plan are in compliance with the duties and responsibilities required for the receipt and usage of CSBG funding.

Program Requirements: The Chief Executive Officer of the State must designate an agency to carry out the State activities for the Community Services Block Grant (CSBG) Program. The designated agency has a current State Plan on file at the Office of Community Services (OCS). Legislative hearings are convened at least once every three years and in conjunction with the development of the State Plan. A successful legislative hearing has rules of conduct and a standard agenda, both of which are available to the public prior to the hearing. The State offers a public inspection [sec. 676(e) (2)] of the Plan or revised Plan in a manner to allow review and comment of the Plan.

Question 1: Did the State provide specific details regarding the administrative operations of the State Community Services Block Grant program?

Statutory References	Critical Information	Examples of Supportive Information
Sec. 676 - Program Administration Sec. 676(b)(3) - Legislative Hearing Sec. 676(e)(1) - Revisions Sec. 676(a)(2)(B) - Public Inspection Sec. 676(a)(1) - Lead Agency Section 676(b)(13) - Narrative CSBG	<input type="checkbox"/> Legislative Hearing - documentation from the State Plan showing that, in conjunction with the development of the State Plan, at least one legislative hearing was held every three years. <input type="checkbox"/> Public Inspection - evidence that the lead agency of the State's CSBG program held at least one public hearing about the proposed use and distribution of CSBG funds, in sufficient time to provide for public response and comment. <input type="checkbox"/> Designation - document from the Chief Executive Officer of the State designating, in an application to OCS, an appropriate State agency to act as a lead agency for carrying out the State's CSBG program. <input type="checkbox"/> Statutory Authority - reference to the State's statutory authority for the CSBG program. <input type="checkbox"/> State Application and Plan - evidence that the State submitted an Application and State Plan for not less than one fiscal year and not more than two fiscal years, no later than 30 days prior to the beginning of the first fiscal year covered by the Plan. <input type="checkbox"/> Narrative CSBG State Plan - evidence of the State's use of CSBG funds to carry out the Assurances. <input type="checkbox"/> Assurances - dated document, signed by the designee of the Chief Executive Officer of the State assuring that funds made available through the grant will be used according to the Assurances in Section 676 of the CSBG Act.	<input type="checkbox"/> Examples of public comments or responses to the State Plan, if applicable. <input type="checkbox"/> Revisions - indication or verification of revisions to the State Plan by the Chief Executive Officer

Schedule

Date: April 19, 2021

Entrance Conference Time:
10:00 am PT / 1:00 pm ET

Location:

Virtual Desk Review
State of Washington/Region X
Department of Commerce
1011 Plum Street SE
Olympia, Washington 98504
Phone: (360) 485-2984

For questions about the review,
please contact the following DCA
team:

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Norris Phillip
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Monday, April 19, 2021 –

Entrance Conference & Virtual Desk Review

10 AM (PT) Entrance Conference with **Program, Fiscal, and Budget Staff**

11 AM – 12:30 PM (PT) Program Meeting with **CSBG Staff**

1 – 2:30 PM (PT) **Fiscal, Single Audit, and Budget Staff Meeting**

Tuesday, April 20, 2021 – Virtual Desk Review

Continue Monitoring Review of Washington State

10 – 11 AM (PT) **Fiscal & Budget Meeting**

11:45 AM - 12:30 PM (PT) Program Meeting with **CSBG Staff**

Wednesday, April 21, 2021 – Virtual Desk Review

Continue Monitoring Review of Washington State

8:30 – 10 AM (PT) Program Meeting with **CSBG Staff**

1:30 – 3 PM (PT) **Fiscal & Budget Meeting**

Thursday, April 22, 2021 – Virtual Desk Review

Continue Monitoring Review of Washington State

11:30 AM – 1 PM **Fiscal & Budget Meeting**

1:30 – 3 PM (PT) Program Meeting with **CSBG Staff**

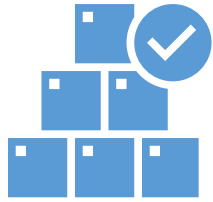
Friday, April 23, 2021- Wrap-up Monitoring Review – Exit Conference

11 AM – 12 PM (PT) Exit Conference with **Fiscal & Budget Staff** not
mandatory and **CSBG Staff** required

CSBG Staff

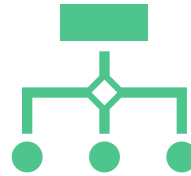
**Fiscal/Budget
Staff**

Monitoring Report



**By category, the report
will identify:**

Issues of non-compliance
Opportunities for improvement
Notable Practices



**State responds to each
issue of non-compliance
or opportunity for
improvement**

Do not have to accept OCS'
recommendations for improvement
necessarily!



**Ongoing follow up with
OCS on corrective actions
(including opportunities
for improvement)**

Strategies for Success

Before Review

- Meet with your internal team in advance
- Ensure everyone knows their role and what is needed from them
- Send any questions to OCS in advance
- Review previous monitoring reports:
<https://www.acf.hhs.gov/ocs/report/csbg-state-assessments>
- Prepare for the unexpected
 - Last minute document requests, staff out, etc.

During Review

- Regular check-ins with OCS staff
 - Get any documents to OCS
- Just the facts

After Review

- Follow up & communicate with OCS

Common Areas of Focus



Tripartite Board Compliance



First-in, First Out



Processes for review
and oversight of fiscal
compliance

Single audits
Indirect Rates



Review of Performance Management
Data

Discussion

