

# OCS Federal Monitoring

## CSBG State Assessments

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ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

# State Selection Criteria

- Length of time since last full state assessment
- Review of Program Information
- CSBG Funding Allocation
- Analysis of Single Audit findings for CSBG and other ACF programs

# State Assessment Process – Pre-Field Work

## Pre-Field Work

- Engagement Letter
  - ❑ Request list
- Review of Documentation
  - ❑ Verify state plan assurances
  - ❑ State monitoring of eligible entities
  - ❑ Single audit for state and eligible entities
- Fiscal Analysis
  - ❑ Analysis of eligible entities' financial position
- Coordinate with State CSBG Office
  - ❑ Select eligible entities for a site visit
  - ❑ Identify specific technical assistance needs of the state

# State Assessment Process – Field Work

## Field Work

- Kick Off Meeting
  - ❑ Explanation of the process and anticipated deadlines
- Staff Interviews And Sample Testing
  - ❑ Program and Fiscal Monitoring staff
  - ❑ Financial and Accounting representatives
- Using our State Assessment Tool
  - ❑ Assure compliance to CSBG and Appropriations Acts
  - ❑ Assure compliance to Block Grant rules and other requirements
- Exit Conference
  - ❑ Report observations and potential findings
  - ❑ Discuss opportunities for improvement
  - ❑ Discuss areas of strengths and weaknesses
  - ❑ Discuss draft report and next steps

# State Assessment Process – Post-Field Work

## Post-Field Work

- Wrap Up Work papers
  - ❑ Address open items
- Prepare Draft Report
  - ❑ Federal Accountability Measure – 30 Days
  - ❑ Respond within 30 Days
- Final Report
  - ❑ Incorporate state response into the report
  - ❑ Evaluate the response and determine next steps
- Follow Up
  - ❑ Periodically check in to determine if any necessary corrective action was implemented
  - ❑ Share observations that are not reportable with the state if applicable

# Common Observations

## Strengths

- ❑ Strong use of technology to improve communication with eligible entities
- ❑ Some states provide CSBG funds to eligible entities quickly
- ❑ Reviews of Organizational Standards have been robust and well supported
- ❑ Significant issues with eligible entities have been properly shared with OCS Program Staff

## Opportunities for Improvements

- ❑ More policies/procedures to assure consistency
- ❑ Improved Risk Assessments may allow for more efficient use of state monitoring resources
- ❑ Reduce the length of time in Tripartite Board vacancies
- ❑ Follow-up on A-133 issues, including other program or financial
- ❑ Errors in SF 425, late draws of CSBG Funds



Thank you