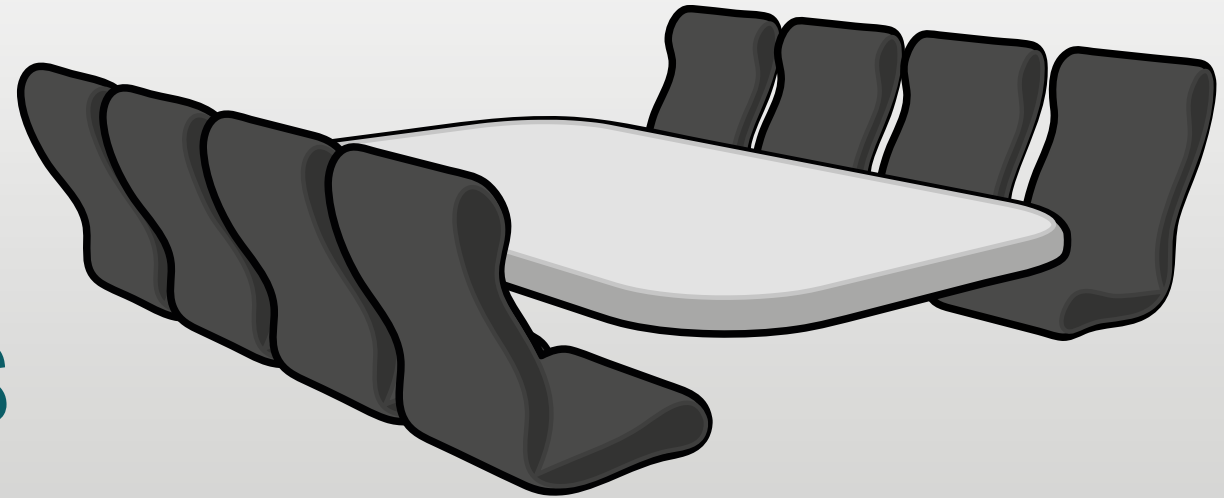




**Department of State**  
Community Services

- ❖ **TRIPARTITE BOARD COMPLIANCE AND GUIDANCE**
- ❖ **FINDING FORM**
- ❖ **STATE PLAN COMMENTS**



COMMUNITY SERVICES BLOCK GRANT

AUGUST 21, 2025

# WELCOME AND HOUSEKEEPING



Welcome and  
Introduction of presenters



We will have time for  
questions at the end of  
each section



We will send the slides  
following the webinar



We will send you an  
evaluation link

# TRIPARTITE BOARD COMPLIANCE AND GUIDANCE

STATE OF NEW YORK  
**DEPARTMENT OF STATE**  
ONE COMMERCE PLAZA  
99 WASHINGTON AVENUE  
ALBANY, NY 12231-0001  
[HTTPS://DOS.NY.GOV](https://dos.ny.gov)

KATHY HOCHUL  
GOVERNOR  
WALTER T. MOSLEY  
SECRETARY OF STATE

## MEMORANDUM

**TO:** Community Services Block Grant (CSBG) Grantees

**FROM:** New York State Department of State, Division of Community Services

**DATE:** 5/28/2025

**RE:** Tripartite Board Compliance and Guidance

## Introduction

- The guidance is intended to communicate NYS DOS's interpretation of the existing CSBG Act regarding tripartite board composition.
- “DOS aims to help Eligible Entities fulfill the goals of CSBG”
- Eligible Entities have the flexibility to create their own processes and implementation methods, as long as they are reasonable and appropriate.

# CSBG Tripartite Board Composition – CSBG Act

- *“The entity shall administer the CSBG program through a tripartite board...that fully participates in the development, planning, implementation, and evaluation of the program to serve low-income communities”.*
- The composition of a tripartite board consists of:
  - *“1/3 of the members are elected public officials”,* their representatives or appointed public officials. Commonly referred to as the “Public Sector”
  - *“not fewer than 1/3 of the members are...representative of low-income individuals and families in the neighborhood served”.* “Commonly referred to as the “Low-Income Sector”.
  - *“the remainder of the members are officials or members of business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served.”* Commonly referred to as the “Private Sector”.

## CSBG Tripartite Board Composition – CSBG Act & NYS Requirements

- “*The members of the board...shall be selected by the entity*”. The organization itself must select the directors to serve on the board.
- “Eligible Entities should maintain current documentation to support tripartite composition of the board of directors for DOS review.”
- In NYS, “a board must have a minimum of 3 directors”.
- “The number of directors serving on a tripartite board does not need to be evenly divisible by three.”
  - “If the board is not evenly divisible by three, then compliance with tripartite proportionality is determined by rounding up.”
    - Example: a board with eight directors must have three public officials, at least three representatives of the low-income community, and the remainder can be the private sector.

## Sector Documentation



# Public Sector Documentation (Private & Public)

- *“ 1/3 of the members of the board are elected public officials, holding office on the date of selection, or their representatives, except that if the number of such elected officials reasonably available and willing to serve on the board is less than 1/3 of the membership of the board, membership on the board of appointive public officials or their representatives may be counted in meeting such 1/3 requirement”*
- The Eligible Entity should maintain documentation:
  - The public official is holding elected or appointed\* office at the time of appointment.
  - If a public official appoints a representative, documentation is needed to show public official is in office at the time of appointing a representative, and a dated letter from the public official naming their representative
  - If an appointed\* public official is selected, documentation should be provided to show what efforts were made to first find public officials to serve on the board.
    - DOS will ask!!
  - Board minutes to reflect board approved selection of candidate.
  - Copy of Conflict-of-Interest Statement signed prior to board appointment.

# Low-Income Sector Documentation (Private)

- *“(i) Not fewer than one third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that these members are representatives of low-income individuals and families in the neighborhood served, and (ii) each representative of low-income individuals and families selected to represent a specific neighborhood within a community under clause (i) resides in the neighborhood represented by the member.”*
- The Eligible Entity should maintain documentation:
  - To show that the democratic selection process was followed.
    - Provide copies of dated ballots, signature vote forms, public meeting announcements, attendance records, etc.
  - If specified in the bylaws, proof of residency in the neighborhood served.
  - Board minutes to reflect board approved selection of the candidate.
  - Copy of Conflict-of-Interest Statement signed prior to board appointment.

# Low-Income Sector Documentation (Public)

- *“a tripartite board, which shall have members selected by the organization and shall be composed so as to assure that not fewer than 1/3 of the members are persons chosen in accordance with democratic selection procedures adequate to assure that these members—*
  - *(A) are representative of low-income individuals and families in the neighborhood served;*
  - *(B) reside in the neighborhood served; and*
  - *(C) are able to participate actively in the development, planning, implementation, and evaluation of programs..”*
- The Eligible Entity should maintain documentation:
  - To show that the democratic selection process was followed.
    - Provide copies of dated ballots, signature vote forms, public meeting announcements, attendance records, etc.
  - Proof of residency in the neighborhood served.
  - Board minutes to reflect board approved selection of candidate.
  - Copy of Conflict-of-Interest Statement signed prior to board appointment.

# Private Sector Documentation (Private & Public)

- Also known as “Representatives of Major Groups and Interest in the Community”
- *“the remainder of the members are officials or members of business, industry, labor, religious, law enforcement, education, or other major groups and interest in the community served.”*
- The Eligible Entity should maintain documentation:
  - To show which specific group or interest the candidate represents.
    - Provide copies of a dated letter from the group/interest, business cards, resumes, etc.
  - Board minutes to reflect board-approved selection of the candidate.
  - Copy of Conflict-of-Interest Statement signed prior to board appointment.

# DOS Monitoring of Ongoing Tripartite Compliance

## DOS monitors Tripartite Board Composition status through:

1. Eligible Entities shall notify DOS within 10 business days of “lack of compliance with tripartite board requirements” (i.e., board vacancy)
2. DOS monitors Eligible Entity board minutes and attending board meetings.
3. Updated ‘Fiscal and Program Quarterly Attestation’ submitted by the Eligible Entity
  - Governance question #1
4. ACROS/TRACS Category 5 – Board Governance

# Good Practices in Preparation for DOS Review

**In considering good practices, DOS recommends the following be included in all board minutes:**

- Date and time of meeting
- All directors and guests in attendance
- Documentation that a quorum has been achieved
- Actions taken by the board
- Documentation of all elections and/or appointments of directors
- To document compliance with the CSBG Organizational Standards, board meeting minutes should document the actions of the board and list any reports presented to the board.



# Observations and Findings

# Observation- Tripartite Board

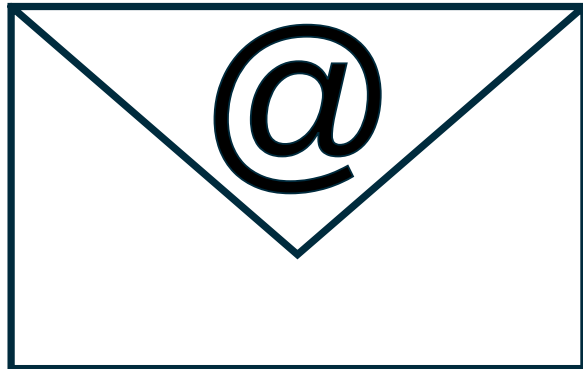
**“Recognizing an Eligible Entity needs time to recruit and seat eligible board members, DCS will treat the non-compliance related to the tripartite board structure as an Observation for the first 90 days following a vacancy, providing the Eligible Entity time to regain compliance.”**

DOS will:

- Notify the Eligible Entity via email that an Observation has been issued and why (specifies vacancy identified).
- Ask the Eligible Entity for a plan to fill the vacancy.
- Provide technical assistance as requested.
- Monitor vacancy until filled (minimum every 30-day follow-up)

**NOTE:** If tripartite composition compliance is not achieved within 90 days, the Observation will become a Finding.

# Finding Form (Process)



COMMUNITY SERVICES BLOCK GRANT  
DOS FINDING REPORT FORM

NEW YORK STATE DEPARTMENT OF STATE  
DIVISION OF COMMUNITY SERVICES

Grantee: Choose an item. Contract #: Choose an item.  
FFY: 2025 Type of Contract: CSBG Entitlement

**Per Monitoring Guide:**

**Finding**

Findings are minor or short-term violations of laws, regulations, cost principles, contracts, State Plans, or policies. Generally, Findings can be corrected by a Subrecipient through simple actions and have not existed longer than ninety days. Findings will be documented in the SMR or GSCR-F. A Finding may also be memorialized in a Letter of Concern. If appropriate, DOS may provide or arrange for training and technical assistance to address the Finding. Subrecipients are expected to correct a Finding immediately or within a reasonably short time.

For example, a FFR may note a small, immaterial disallowance. The Subrecipient then removes the cost from the CSBG ledger and charges it to an appropriate funding source before the next time it submits a voucher.

A Subrecipient that is not able to correct a Finding within the required timeframe may submit a written request to DOS explaining the circumstances that have prevented the Subrecipient from correcting the Finding and the anticipated date of correction. DOS, in its sole discretion, may extend the time in which a Subrecipient has to correct a Finding. Findings that proliferate or remain uncorrected may become Deficiencies.

DOS has determined the following is a Finding:

|  |  |                                     |  |
|--|--|-------------------------------------|--|
| <b>Description of Finding:</b>   |  |                                     |  |
|  |  |                                     |  |
| <b>Laws, regulations, cost principles, contracts, State Plans, or policies referenced:</b> |  |                                     |  |
|  |  |                                     |  |
| <b>Corrective Action(s) Required:</b>  |  |                                     |  |
|  |  |                                     |  |
| <b>Date Finding identified by DOS:</b>   |  | <b>Date Finding to be resolved:</b> |  |
|  |  |                                     |  |
| <b>DOS Authorizing Signatures</b>  |  |                                     |  |
| <b>Assigned Program Analyst/Fiscal Rep</b>   |  | <b>Date</b>                         |  |
| <b>Supervising Analyst/Fiscal Rep</b>  |  | <b>Date</b>                         |  |
| <b>Dep. Director/Supervising Acct.</b>   |  | <b>Date</b>                         |  |
| <b>DCS Division Director/Fiscal Director</b>   |  | <b>Date</b>                         |  |

|   |  |   |  |
|---|--|---|--|
| <b>Subrecipient to Complete: Time Extension Request for Finding noted above</b> |  |   |  |
| <b>Steps taken by Subrecipient to correct Finding noted above:</b>              |  |   |  |
|   |  |   |  |
| <b>Brief Explanation as to why a time extension is needed:</b>                  |  |   |  |
|   |  |   |  |
| <b>Date in which Finding will be corrected:</b>                                 |  | <b>Subrecipient Authorized Signatures</b> |  |
| <b>Subrecipient Exec. Director/CEO</b>  |  | <b>Date</b>                               |  |

# DOS Finding Report Form

**“Findings are minor or short-term violations of laws, regulations, cost principles, contracts, State Plans, or policies.”** (Program and Fiscal Monitoring Process and Guidelines)

**WHY:** DOS developed and instituted the use of the form because of suggestions made during OCS monitoring.

**Start Date:** DOS began using the Finding Form on May 1, 2025

**NOTE:** Failure to maintain tripartite composition is a violation of the CSBG Act.

**WARNING:** Failure to resolve a Finding could result in a Notice of Deficiency.

|   |  |
|---|--|
| COMMUNITY SERVICES BLOCK GRANT<br>DOS FINDING REPORT FORM | NEW YORK STATE DEPARTMENT OF STATE<br>DIVISION OF COMMUNITY SERVICES |
| Grantee: <u>Choose an item.</u>                           | Contract # <u>Choose an item.</u>                                    |
| FFY: <u>2025</u>  | Type of Contract: <u>CSBG Entitlement</u>                            |

Per Monitoring Guide:

## Finding

Findings are minor or short-term violations of laws, regulations, cost principles, contracts, State Plans, or policies. Generally, Findings can be corrected by a Subrecipient through simple actions and have not existed longer than ninety days. Findings will be documented in the SMR or GSCR-F. A Finding may also be memorialized in a Letter of Concern. If appropriate, DOS may provide or arrange for training and technical assistance to address the Finding. Subrecipients are expected to correct a Finding immediately or within a reasonably short time.

For example, a FFR may note a small, immaterial disallowance. The Subrecipient then removes the cost from the CSBG ledger and charges it to an appropriate funding source before the next time it submits a voucher.

A Subrecipient that is not able to correct a Finding within the required timeframe may submit a written request to DOS explaining the circumstances that have prevented the Subrecipient from correcting the Finding and the anticipated date of correction. DOS, in its sole discretion, may extend the time in which a Subrecipient has to correct a Finding. Findings that proliferate or remain uncorrected may become Deficiencies.

DOS has determined the following is a Finding:

|   |  |                              |  |
|---|--|------------------------------|--|
| Description of Finding:   |  |                              |  |
|   |  |                              |  |
| Laws, regulations, cost principles, contracts, State Plans, or policies referenced: |  |                              |  |
|   |  |                              |  |
| Corrective Action(s) Required:  |  |                              |  |
|   |  |                              |  |
| Date Finding identified by DOS:   |  | Date Finding to be resolved: |  |
|   |  |                              |  |
| DOS Authorizing Signatures  |  |                              |  |
| Assigned Program Analyst/Fiscal Rep   |  | Date                         |  |
| Supervising Analyst/Fiscal Rep  |  | Date                         |  |
| Dep. Director/Supervising Acct.   |  | Date                         |  |
| DCS Division Director/Fiscal Director   |  | Date                         |  |

|  |  |      |  |
|--|--|------|--|
| Subrecipient to Complete: Time Extension Request for Finding noted above |  |      |  |
| Steps taken by Subrecipient to correct Finding noted above:              |  |      |  |
|  |  |      |  |
| Brief Explanation as to why a time extension is needed:                  |  |      |  |
|  |  |      |  |
| Date in which Finding will be corrected:                                 |  |      |  |
| Subrecipient Authorized Signatures                                       |  |      |  |
| Subrecipient Exec. Director/CEO  |  | Date |  |

# Step 1: Description of Finding

- The form provides written notification of the Finding and the date by which the finding should be resolved.
- It will be sent to the CAA after the Finding has been identified

DOS has determined the following is a Finding:

|  |  |                                     |  |
|--|--|-------------------------------------|--|
| <b>Description of Finding:</b>   |  |                                     |  |
|  |  |                                     |  |
| <b>Laws, regulations, cost principles, contracts, State Plans, or policies referenced:</b> |  |                                     |  |
|  |  |                                     |  |
| <b>Corrective Action(s) Required:</b>  |  |                                     |  |
|  |  |                                     |  |
| <b>Date Finding identified by DOS:</b>   |  | <b>Date Finding to be resolved:</b> |  |
|  |  |                                     |  |
| <b>DOS Authorizing Signatures</b>  |  |                                     |  |
| <b>Assigned Program Analyst/Fiscal Rep</b>   |  | <b>Date</b>                         |  |
| <b>Supervising Analyst/Fiscal Rep</b>  |  | <b>Date</b>                         |  |
| <b>Dep. Director/Supervising Acct.</b>   |  | <b>Date</b>                         |  |
| <b>DCS Division Director/Fiscal Director</b>   |  | <b>Date</b>                         |  |

## Step 2: Request Time Extension (if Necessary)

- The form provides the CAA to request an extension of the due date.
- CAA will complete the form if an extension is needed, and a revised resolution date, noting steps taken to date to fill the vacancy.
- ED/CEO and Board President sign the form.

| Subrecipient to Complete: Time Extension Request for Finding noted above                         |  |      |  |
|--|--|------|--|
| Steps taken by Subrecipient to correct Finding noted above:                                      |  |      |  |
|  |  |      |  |
| Brief Explanation as to why a time extension is needed:  |  |      |  |
|  |  |      |  |
| Date in which Finding will be corrected:   |  |      |  |
| Subrecipient Authorized Signatures   |  |      |  |
| Subrecipient Exec. Director/CEO  |  | Date |  |
| Subrecipient Board Chairperson (or documentation delegating authorization to Exec. Director/CEO) |  | Date |  |

| DOS Determination on the Subrecipient's Request for a Time Extension   |  |      |  |
|--|--|------|--|
| DOS has determined that the Subrecipient's request has been <input type="checkbox"/> Accepted <input type="checkbox"/> Not Accepted                        |  |      |  |
| Failure to correct the above noted Finding (by date specified here) may result in a reclassification to a Deficiency. Please see <i>Monitoring Guide</i> . |  |      |  |
|  |  |      |  |
| DCS Division Director/Fiscal Director  |  | Date |  |

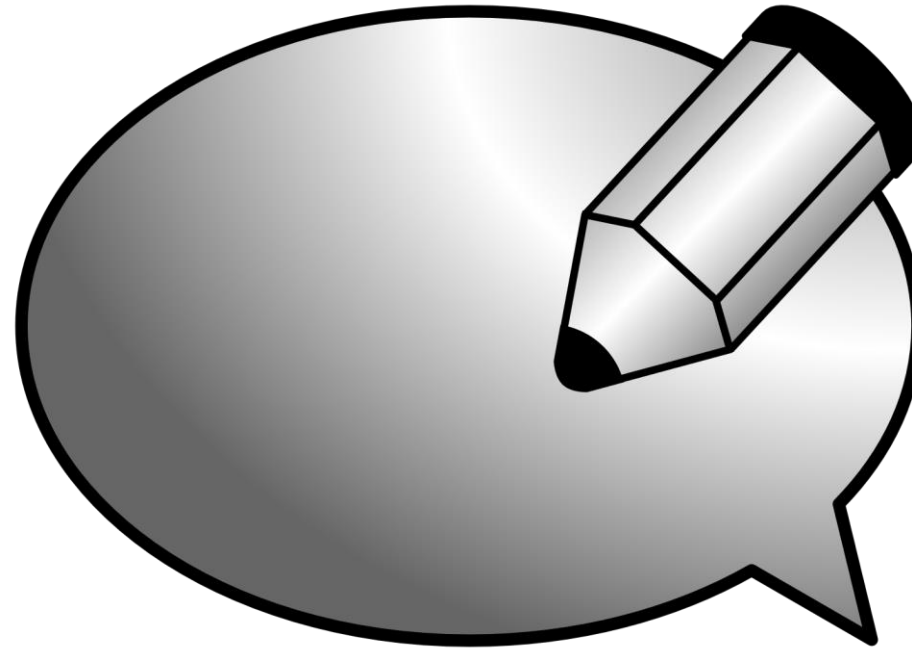
## Step 3: Resolution of Finding

- The form provides a section for DOS to acknowledge a resolution of the Finding.
- DOS will sign and date when the Finding is resolved.
- Finding Form emailed to CAA.

| DOS Determination - Finding has been Resolved   |  |      |  |
|---|--|------|--|
| Brief description of completed corrective action(s) by the Subrecipient and determination by DOS: |  |      |  |
|   |  |      |  |
| Date in which Finding was resolved:   |  |      |  |
| DOS Follow Up   |  |      |  |
|   |  |      |  |
| DOS Authorizing Signatures  |  |      |  |
| Assigned Program Analyst/Fiscal Rep   |  | Date |  |
| Supervising Analyst/Fiscal Rep  |  | Date |  |
| Dep. Director/Supervising Acct.   |  | Date |  |
| DCS Division Director/Fiscal Director   |  | Date |  |



# State Plan Comments



# State Plan Comments (Positives/Strengths)

- Supports the current State payment structure (25% advance, award remaining funds when expenditure milestones are met)
- Continue partnership with New York State Community Action Association (NYSCAA)
- Commitment to promote linkages with State and Local efforts to address poverty
- Faith-based organizations are able to submit proposals for CSBG discretionary funding
- Supports the provision that DOS will implement the highest allowable CSBG eligibility income level (currently set at 200%)
- Administers CSBG funds that allows creative programming to serve low-income communities
- Supportive of the decision to remove the Minority and Women-owned Business Enterprise (MWBE) initiative from CSBG contracts
- Supports the efforts of DOS to include eligible entities in the development of the plan and encourages DOS to continue its efforts to solicit meaningful feedback on a regular basis from the grantees.

# State Plan Comments (Positives/Strengths)

- DOS staff have been supportive and offered guidance and joined key events.
- Assigned Program Analyst's thorough follow-up and tracking allowed CAA staff to focus on strategic improvements and results.
- The 2026-2027 Monitoring Guide reflects a thoughtful evolution of processes. The implementation of the statewide document portal focuses on the reduction of redundant requests and proactive documentation tracking.
- Appreciates DOS's ongoing efforts to make the monitoring process more thoughtful and supportive. The use of the Risk Assessment, annual and triennial assessment scores, and Individual Monitoring Plan allows for a balanced and targeted approach, ensuring that oversight is responsive to actual needs.
- Appreciates the internal efforts DOS has made, such as using SharePoint, in reviewing and advancing documents through the contracting process, and encourages the state to continue exploring methods to further modernize such efforts.

# State Plan Comments (Opportunities/Recommendations)

- Encourage DOS to engage other state offices (such as OTDA, OCFS, HCR, DOH and others) to work through DOS to facilitate the work of local CAAs. Elaborate on what “additional language” will be added to CSBG discretionary RFPs to encourage faith-based participation.
- Recommends DOS explore standing regional stakeholder workgroups, composed of agency leaders and program staff.
- Unable to make any comments regarding the State Triennial Accountability Review (STAR) to replace the Triennial Review for Accountability and Compliance with Standards (TRACS) because the STAR has not yet been made available.
- Too many priorities listed for discretionary funding. These items should be prioritized to maximize impact.
- Recommends the review of the CSBG State Plan semi-annually at CSBG Advisory Council meetings – to ensure processes and goals are being met.
- No recollection of a discussion where CAAs have to fill a board vacancy within 90 days or be issued a Finding; managing the tripartite board structure is complicated and time-consuming.

## State Plan Comments (DOS Responses/Updates)

- DOS is committed to developing partnerships and linkages with other State Offices and stakeholders. Efforts to connect and schedule meetings with other State offices and potential stakeholders will be tracked and shared with the network.
- Language updated in 9.6 (of the State Plan) to elaborate on “additional language” to encourage faith-based participation: **The State will work to strengthen the relationship between faith-based community organizations and the statewide network, through language specific to the initiative(s) that will encourage participation in future Request for Applications (RFAs).**
- DOS will work in partnership with NYSCAA to explore holding regional stakeholder meetings (planning forums), possibly engaging Economic Development Centers.
- Reaffirm, through messaging, that the use of CSBG discretionary funds is left broad, to be as flexible as possible, to allow innovative ways to meet the needs of CAAs and local communities.
- DOS commits to the CSBG Advisory Council meeting, at a minimum of twice per year. DOS will share progress on the plan with the Advisory Council.

# State Plan Comments (DOS Responses/Updates)

- DOS acknowledges that managing the tripartite board structure is complicated; however, it is required by the CSBG Act. DOS will provide technical assistance to the network on Tripartite Board Compliance and Guidance, review efforts to track noncompliance, discuss the approval of extensions, and the flexibilities of the State office.
- Updated language in 6.3a and 10.14 (of the State Plan) and the State Triennial Review section (of the Monitoring Guide) regarding comments on the STAR:
  - **(State Plan Sections 6.3a and 10.14) DOS is in the development phase of a new triennial assessment tool. The STAR tool is intended to thoughtfully reduce the redundancies of monitoring and provide a comprehensive, balanced, and responsive approach to oversight. The transition to the STAR tool is planned for FY2027 and intends to replace the current TRACS tool once finalized and approved for use. DOS plans to release the STAR document prior to implementation for feedback and comment evaluation from the network. This transition process is further referenced in the 2026-2027 DOS Monitoring Guide, page 12 (attached in section 10.2).**
  - **(Monitoring Guide)The transition to the STAR tool is planned for FY2027, and intends to replace the current TRACS tool, once finalized and approved for use. DOS plans to release the STAR document, prior to implementation, for feedback and comments from the network.**





**Department of State**  
**Community Services**