

Cracking the Compliance Code

Mastering IL Grantee Monitoring & Success



Session Description

Compliance monitoring is central to the Independent Living Program and a partnership between grantee and the federal funder. There are three types of monitoring; baseline, targeted and comprehensive. In this training participants will learn more about each of these types and gain information on useful tools needed for success before, during and after a monitoring event.

Participants will learn:

- How baseline, targeted and comprehensive monitoring reviews fit into normal operations
- Triggers that may prompt a review
- Steps CILs can take to be ready for a review
- About useful tools to promote a healthy CIL and successful monitoring event

Key Takeaways

- **Understand** the different review types and how they might impact you.
- **Manage** compliance comfortably and efficiently by understanding the monitoring partnership process.
- **Develop** strategies to successful engagement with reviewers, documentation preparation, and effective response to review requests.
- **Apply** the learned tools and resources available and utilize any findings for continuous improvement.

Presenters

Ed Ahern

Office of Independent Living Programs (OILP)

Administration for Community Living (ACL)

Paula McElwee

Director of Technical Assistance

Independent Living Training & Technical Assistance Center

Tyler Morris

Director of Training

Independent Living Training & Technical Assistance Center



Why Compliance Monitoring?

- Build a strong IL network
- Ensure adherence to federal laws
- Confirm program and fiscal accountability
- Protect consumer rights
- Explore risks or gaps
- Build transparency and trust
- Identify opportunities for training and technical assistance



What can trigger a compliance review?

- A review can be random. OILP/ACL is required to do site monitoring 15% of centers each year
- A review can be triggered by:
 - questions on the PPR (Program Performance Report), especially if concerns arise over multiple years that haven't been resolved.
 - a complaint.
 - unusual spending patterns based on the PMS data.
 - a CIL that operates or manages residential homes, day programs, or the CIL offers or facilitates full guardianships.
- Remember, baseline monitoring occurs all the time. It's just part of the IL program.

See a compliance review as an opportunity for partnership and to learn and improve.

The review process...

You've been notified - Now what?

- You will first be invited to an introductory meeting. This provides an opportunity to answer grantee questions, discuss review process, and provide an overview of next steps. This meeting includes the review team, Executive Director and Board Chair.  
- Some reviews will occur virtually with some onsite at your CIL. Throughout the review process, you may be asked to participate in video calls, interviews and other discussions. Invite your staff and board to participate as appropriate. 
- The reviewers and your key staff and board will engage in conversations about what you are doing and how you are meeting requirements. Remember, this is a partnership.
- If there are areas of improvement, you'll be asked to develop a corrective action plan for how you will address them. But don't worry – there's resources to help!

Review approaches

- Self-Assessment: You and your Board should always be in a self-assessment mindset. There are tools that can make this process easier.
- Peer-Based Review: Working with the IL T&TA, you have access to some of the mostly knowledgeable peers in the IL community. Use them.
- ACL Monitoring and Compliance Process
 - Baseline Monitoring
 - Targeted Review
 - Comprehensive Review





How to respond effectively

- Be prepared to tell them all about your CIL. They want to know about the great work you're doing. Be proud.
- See this as an opportunity for learning and a partnership with OILP. Welcome the review team and their input. Ask questions.
- You're not in this alone. Your CIL success is everyone's goal. There is support available throughout the process.
- Be proactive. If a suggestion is made for a change in your practices, draft a revision to your policies and get feedback on those change.
- Use the feedback to make changes and strengthen your program performance and long-term impact.

+

•

○

It's over – What's next?

- Breathe and relax for a bit. Chances are this was VERY stressful. This initial phase is over.  
- You may have to develop a Corrective Action Plan (CAP). Take it seriously. It helps you get where you need to be. 
- Be prepared to do the work.
- Use the tools available at your disposal
- Technical assistance will provide personalized support to help you navigate challenges, stay compliant, and innovate.
- Improvement is continuous, not just a one-time event.

Tools for Success

- [Project Officer Contact List](#)
- Monitoring Overview
- Baseline Monitoring Overview
- Targeted Monitoring Overview
- Comprehensive Monitoring Overview
- [SILC Indicators and DSE Assurances](#)
- [CIL Evaluation Tool](#)
- [CIL Program Performance Report \(PPR\) Completion Tool](#)
- [Fiscal Review Information and Checklist](#)



Evaluation

Thank you for participating today.

Your feedback is important and helps us plan future training.

Please this link to share your feedback.

[Evaluation Link](#)



Contact Information

Independent Living Training & Technical Assistance Center

Rural Institute for Inclusive Communities at the University of Montana

 (406) 243-5300

 ilttacenter@mso.umt.edu

 www.ILTTACenter.org

 Stay Connected [Email Sign Up](#) | [Facebook](#) | [LinkedIn](#) | [Instagram](#)

The Independent Living Training & Technical Assistance Center is on assignment with the U.S. Department of Health and Human Services, Administration for Community Living.

Independent Living Training and Technical Assistance Center

The Independent Living Training and Technical Assistance Center (IL T&TA Center) is available to you through a **contract with the US Department of Health and Human Services**.

The IL T&TA Center provides **expert training and technical assistance** to Centers for Independent Living (CILs), State Independent Living Councils (SILCs), and Designated State Entities (DSEs).

The Center is operated by the University of Montana's **Rural Institute for Inclusive Communities**.

