



Subrecipient Monitoring Process

Presentation Objectives

- Understanding expectations of the monitoring process (including fiscal and programmatic)
- Review the documents used during the monitoring process
- Strengths and challenges of the monitoring process
- Hear the perspective of the sites that have been through the monitoring process

Indiana State Department of Health's Requirements While Monitoring

- Conduct one annual on-site Programmatic/ Administrative and Fiscal visit to providers (sub-recipients)
- Monitor the sub-recipient program and uses of funding to check for compliance with federal requirements
- Provide technical assistance and strengthen collaborative relationships with sub-recipients
- Write a report of the visit and implement a corrective action plan if necessary



Why Monitor?

- **It's a Federal Requirement!**

- ISDH has a mandate to understand and check on the award monies that we give to our sub-recipients
- ISDH must monitor to assure **compliance** with federal requirements and program objective
 - This process happens for EACH funded service category

- **Technical Assistance**

- Any findings in a monitoring site visit allow ISDH to provide on site assistance to help bring recipients into compliance.

- **Understanding Services**

- Funded services are great on paper, but we like to see them in action!
- Monitoring allows programs to have showcase of new and innovative ideas that are working to serve HIV+ clients across the state.

- **Partnership Power!**

- There is power in understanding services being done across the state
- Collaboration and Trust





What are the steps?

Step One: Before the Visit

- At least four weeks before the visit, we will let you know who is coming onsite, the proposed dates of the visit, the list of documents we will need, and our monitoring tool
 - There is a pre-screening tool used by ISDH staff to determine need and risk per site. *An example of that can be found in your manual.*
- Two weeks before the visit, we will set up a call with you.
 - This call is to establish:
 - The purpose of visit
 - The site visit agenda
 - Determine if multiple sites need to be visited (satellite sites, administrative offices, etc.)
 - Discuss entrance/exit conferences and determine who should be present
 - Answer questions about requested documents
 - Confirm meeting with consumers (if this is something that is needed)
 - Review process for selecting client charts and making them available

Step Two: Onsite

- Entrance Meeting
 - ISDH reviews purpose of visit
 - Sub-recipient presents
 - 1-hour agency overview
 - How Part B services have been implemented
 - Successes and challenges of the program
- Monitoring Activities
 - Use review tools
 - Staff discussion and document review
- Exit Meeting
 - Inform sub-recipient of compliance issues and opportunities for improvement
 - Make every effort to communicate findings that will be reflected in report – no surprises!



Day 1:			
Entrance Conference <u>ISDH:</u> Introductions Purpose of the visit. <u>Sub recipient:</u> Provide an overview of the program, describing how Part B services have been implemented and any successes/challenges of the program. A short slide presentation is welcomed, but not necessary.	Recipient Staff:	ISDH HSP Site Visit Team:	

10:00 AM – 10:30 AM	Tour of the Facility		
10:30 AM – 12:00 PM	Concurrent Activities: Staff interviews and document reviews. For the purposes of this Pilot Phase Site Visit, the entire team will be involved with the Administrative and Fiscal review process. A typical site visit would have Administrative review and Fiscal review occurring in two separate rooms.		
Room Location: North Room, 1st floor	Recommend we begin with Administrative/Programmatic Review, then to Fiscal Review, then to Chart Reviews over the course of the visit.		

Onsite Continued

- There are **TWO** parts to each monitoring visit: programmatic and fiscal
- Both have specific monitoring tools and requirements
- Each department also has specific staff designated to each area
- Compliance isn't just for one area, its for both!
 - Monitoring will look at the compliance factors for both programmatic and fiscal requirements

Programmatic + Fiscal =



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What are some things we look for?

Programmatic

- Compliance with federal requirements
- Compliance with policies and procedures
- Eligibility verification
- Payor of last resort verification
- Credentialing and Medicaid status verification if required
- Referral Relationships
- Over access to services and service standards

Fiscal

- Policies and implementation
- Program income
- Financial management
- Property standards
- Auditing requirements
- Fiscal Procedures



The Review Process

- There is a blended discussion along with document review
 - We make note if there is a need for Technical Assistance
- Compliance is checked with “Met”, “Not Met”, “Yes”, “No”
 - Partial compliance is noncompliance!
- Client files will be requested for review
- There is also a strong chance that we will want to sit with a group of clients
 - This focus group will allow clients to give their feedback on services, unmet needs, and any barriers they have

Step Three: After the Visit

- Monitoring reports will be compiled by ISDH
 - ISDH has 45 days from the last day of the visit to get the final report to the sub-recipient
 - These reports are generated and approved by ISDH leadership
- Corrective Action Plan
 - To address findings in the monitoring reports sub-recipient will submit a CAP within 10 working days
 - ISDH approves/modifies the CAP within 7 working days and returns the plan back to the sub-recipient
 - ISDH monitors resolution of corrective actions
- Follow-up Visits
- Site Visit Evaluation

What have we learned so far?

- We all have a learning curve!
- Ryan White funding has a lot of pieces, that we need to work together to maintain
- Our sub-recipients are very open to learn the process and very willing to help develop our monitoring process
- We have a way to go yet.
 - We have done three site visits so far, but ISDH's training wheels are officially off!
 - We will begin to implement our system as we roll out the next sites to be monitored.

What's next?

- ISDH is developing a policy a site visit schedule
 - We are waiting to hear back about a site visit exemption
- Quality management is an upcoming development that will be reflected on monitoring site visit
- ISDH will be in contact with each sub-recipient to give them their monitoring timeline



