

# Compliance and Enforcement

Strategic Alliance 2016



- \* Improve compliance with regulatory requirements in federal-state programs
- \* Build an understanding with one another and awareness among stakeholders of our respective roles in achieving compliance and safeguarding goals.

**Goal**

- \* Establishment of a process for use by SPHDs and SPROs to promote a state-specific strategy for effective and efficient compliance and enforcement efforts.

**Outcome**

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# Members

- \* When we began our work, we planned to focus on identifying when it would be appropriate to use federal authority and when state authority to address violations of regulations associated with cooperative programs.
- \* We quickly recognized that we needed to focus the initial conversation at a more local level to developed tools that would be useful to SPHDs and SPROs.
- \* We shifted our focus to developing tools that could be used to promote a local dialog around state-specific strategies for non-compliance issues.
- \* We gathered data from states about what types of compliance and enforcement tools are available in each state and laid those alongside the available Federal tools.matrix.
- \* We also asked states what their preferred approach is and the overwhelming response was to try outreach first.
- \* From this, we developed two tools for SPHDs and SPROs:
  - \* a compliance strategies template to help identify the most effective compliance and enforcement tools, and
  - \* an outreach and communication planning template.

# Beginning the Initiative









- \* We also developed guidance for how to use these tools.
- \* We piloted the tools with a number of states and received positive feedback from those involved with very few recommendations for change.
- \* We rolled out the tools in a conference call with SPHDs and SPROs on March 8, 2016 with a request that they document their use of the tools and a commitment to return to them in a year to obtain feedback on their usefulness.
- \* We will seek feedback in three areas:
  - \* What specific incidents you used the tools for
  - \* How effective the tools were
  - \* What you would like to see changed
- \* The tools are intended to facilitate the SPHD-SPRO dialog and improve compliance with regulatory requirements in federal-state programs. This dialog will also help build understanding and awareness among stakeholders of our respective roles in achieving compliance and safeguarding goals.
- \* We encourage the leadership of both our organizations to support and monitor the use of the tools to support effective compliance and enforcement efforts locally.

# Implementing the Tools

- \* In the next phase of our work, we plan to return to the dialog about how to most effectively use federal and state authorities in non-compliance issues that are national in scope or involve multiple states. We plan to initiate this discussion in September or October.
- \* We believe our work is substantially complete. We will continue with the dialog and the assessment of the state-specific tools.
- \* We will report back to you when we have completed the assessment and the conversation around multi-state or national issues.

# The Future

**Thank You**