

COMPLIANCE ACTIONS

ACTION	COMPLIANCE STATUS				
	Compliant	Concern	Corrective	Conditional	Going Concern
1. Communication to Provider	None	Letter of Concern	Corrective Action Letter	Conditional Letter	Notification of going-concern status and request Board approved Turnaround Plan
2. Provider Responsibilities	None	Request technical assistance as necessary	Draft and finalize Corrective Action Plan; complete actions per plan	Attend Compliance Meeting; draft and finalize Compliance Plan; complete actions per plan; participate in compliance site visit	Submission of the Turnaround Plan
3. Plan Submission Deadline for Provider	None	No plan required	15 business days (22 calendar days) from date of notification letter	15 business days (22 calendar days) from date of compliance meeting	Six (6) weeks from notification letter
4. PHS and DOHMH Responsibilities	None	Provide technical assistance as necessary	Review and accept Corrective Action Plan	Convene Compliance Meeting; review and accept Compliance Plan; conduct compliance site visit	Review and Accept Turnaround Plan
5. Plan Review and Acceptance Deadline for PHS and DOHMH	None	No plan required	30 business days (45 calendar days) from date of the letter	30 business days (45 calendar days) from date of compliance meeting	30 business days (45 calendar days) from date of the Plan
6. Measurable Outcome	None	No plan required	Corrective Action Plan submitted by deadline	Compliance Plan submitted by deadline	Semi-annual update on progress of Turnaround Plan submitted by deadline
7. Contractual Implication	None	None	None	Yes – Compliance plan amended to contract	None
8. Disclosure Requirement	None	None	None	Yes – Must disclose Conditional Status in future funding proposals to all funders	Yes – Disclosed in the organization’s audit

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9. Financial Implications	None	None	PB – cap and/or restriction on enhancement/additional funding for the impacted contract within the contract year	CB – reimbursement is limited by a cumulative quarterly cap; payments not to exceed budget for quarter PB – cap and/or enhancement/additional funding for the impacted contract within the contract year	None
10. Frequency of Compliance Assessment	Semi Annually; after the first and after the last 6 months of the contract year	Semi Annually; after the first and after the last 6 months of the contract year	Semi Annually; after the first and after the last 6 months of the contract year	Semi Annually; after the first and after the last 6 months of the contract year	Semi-annually
11. Time Period for Compliance Status	Until Next Compliance Panel (5 or 7 months)	Until Next Compliance Panel (5 or 7 months)	Until next Compliance Panel (5 or 7 months)	Until next Compliance Panel (5 or 7 months)	Annual
12. Minimum Frequency for Changing Status	Semi Annually	Semi Annually	Semi Annually	Semi Annually	Annually until auditors remove going concern
13. Maximum Duration on Status	Not Applicable	6 months	12 months	12 months	Until auditors remove going concern