

PERFORMANCE METRICS

Performance Metric	Compliance Threshold	Initial Compliance Implication	Contract Type Cost-based (CB); Performance-based (PB); Deliverables-based (DB)	Payment or Reporting Implications
1) Spending/Drawdown	If less than 85% of prorated MRA is drawn down at point of review	Concern Status	<ul style="list-style-type: none"> • Cost-Based • Performance-Based 	<ul style="list-style-type: none"> • PB-payment for reported, billable services only • CB-payment for reported costs only • No payment implication beyond the direct result of low spending and billing, as well as potential for one-time or permanent takedown of the budget amount. • Report progress updates in the electronic Program Narrative Report (ePNR)
2) Service Provision	If more than 25% of billable/reportable service types fall below 85% of prorated year-to-date projections (75% in Year 1)	Concern Status	<ul style="list-style-type: none"> • Cost-Based • Performance-Based 	<ul style="list-style-type: none"> • PB-payment for reported, billable services only • No payment implications for CB contracts • Report progress updates in the electronic Program Narrative Report (ePNR)
	If more than 50% of billable/reportable service types fall below 85% of prorated year-to-date projections (75% in Year 1)	Corrective Status	<ul style="list-style-type: none"> • Cost-Based • Performance-Based 	<ul style="list-style-type: none"> • PB-payment for reported, billable services only • No payment implications for CB contracts • Report progress updates in the electronic Program Narrative Report (ePNR)
3) Service Documentation	If less than 90% of billable/reportable services reviewed are documented and verifiable	Corrective Status	<ul style="list-style-type: none"> • Cost-Based • Performance-Based 	<ul style="list-style-type: none"> • PB-undocumented or unverifiable services may result in recoupment of billable service or % of undocumented services of the prorated MRA (current) or Annual (prior year) • No payment implications for CB contracts • Report progress updates in the electronic Program Narrative Report (ePNR)

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4) Required Credential	Any instance of provision of services by staff without required credential	Corrective Status	<ul style="list-style-type: none"> All 	<ul style="list-style-type: none"> PB-missing credentials, will result in recoupment of billable services CB or DB-missing credentials, may result in recoupment Report progress updates in the electronic Program Narrative Report (ePNR)
5) Scope Requirements (consumer input, grievance procedure, staff training, etc.)	Failure to develop or adhere to requirements	Concern Status	<ul style="list-style-type: none"> All 	<ul style="list-style-type: none"> Payment may be held until identified deficiency is corrected Report progress updates in the electronic Program Narrative Report (ePNR)
6) Client Eligibility (Federal)	If 5% or more of client files reviewed are missing verifiable eligibility documentation for one or more Federal eligibility criteria, including HIV status, residency, and income.	Corrective Status	<ul style="list-style-type: none"> All 	<ul style="list-style-type: none"> For Federal eligibility criteria, recoupment would include payments for all services provided since the start of the contract year Report progress updates in the electronic Program Narrative Report (ePNR)
7) Client Eligibility (Local)	If 25% or more of client files reviewed are missing verifiable eligibility documentation for one or more local eligibility criteria, including age, demographics, etc.	Concern Status	<ul style="list-style-type: none"> All 	<ul style="list-style-type: none"> Decision to recoup made on a case-by-case basis in collaboration with DOHMH Report progress updates in the electronic Program Narrative Report (ePNR)
8) Implementation Timeline (Year 1)	Failure to adhere to significant milestones	Concern Status	<ul style="list-style-type: none"> Initial Year of All Contracts 	<ul style="list-style-type: none"> No payment implications

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9) Service Quality	If services do not adhere to requirements of Program Model and/or Program Manual (as applicable)	Concern Status	<ul style="list-style-type: none"> All 	<ul style="list-style-type: none"> Decision to recoup made on a case-by-case basis if services do not meet negotiated standards for billing (in consultation with DOHMH and PHS management) Report progress updates in the electronic Program Narrative Report (ePNR)
10) Internal Controls Questionnaire and Year-End Cost Report (Performance-Based Contracts Only)	If questionnaire or report is not submitted after two requests	Corrective Status	<ul style="list-style-type: none"> Performance-Based 	<ul style="list-style-type: none"> Payments placed on hold until documents or CAP are submitted
11) Audit Report	If organization is classified as “going concern” in their audit report.	<p>For organizations that are not likely to be assisted by the State = Conditional.</p> <p>For organizations that are expected to receive financial assistance from the State to avoid failure/bankruptcy = Going Concern.</p>	<ul style="list-style-type: none"> All 	<ul style="list-style-type: none"> Payments are held until external audit, turnaround plan, semiannual update are submitted Conditional: <ol style="list-style-type: none"> Request turnaround plan, Semi-annual update from organization or more frequent as appropriate, Annual update via external audit reports, and For cost-based contracts, extra review of supporting documentation to ensure that contract funds are being used appropriately. Going Concern: <ol style="list-style-type: none"> Request turnaround plan,

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				<ol style="list-style-type: none"> 2. Annual update via external audit reports, and 3. May request additional backup documentation for organization's cost-based contracts if concerns arise during routine fiscal site visit or support documentation review or if routine reviews were conducted six months prior to the submission due date of the organization's audit report.
12) Reporting Timeliness	Within the review period, more than two (2) occurrences of a failure to submit ePNR and/or eMER within 10 business days following the due date (with allowance for execution dates)	Concern Status	<ul style="list-style-type: none"> • All (as applicable) 	<ul style="list-style-type: none"> • Payments are held until reports are submitted • Report progress updates in the electronic Program Narrative Report (ePNR)
13) Fiscal Supporting Documentation (Cost-based contracts only)	Failure to submit minimum required supporting documentation for review. Compliance status will be imposed if one or more of the below indicators are met: <ul style="list-style-type: none"> • Submission of less than 20% of documentation of reported expenses (e.g. 6 pieces or more supporting documents missing from a total of 30 expected pieces of documentation) OR • Value of missing support documentation is 20% or 	Corrective or Conditional Status (depending on significance of lack of documentation)	<ul style="list-style-type: none"> • Cost-Based contracts 	<ul style="list-style-type: none"> • Failure to produce the required minimum requested documentation and/or compliance with payroll tax filings may result in withholding of payment. In addition, monthly backup submission may be required. Note: Findings regarding unallowable and/or undocumented expenses for a current or prior contract period will result in recoupment in the current contract period • Report progress updates in the electronic Program Narrative Report (ePNR)

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	greater of the total monthly amount under review (e.g. total reported expenditures for sample of three months is \$40K but documentation for \$8K worth of reported expenses is missing) OR <ul style="list-style-type: none"> • Non-payment of payroll taxes 			
14) Insurance	Failure to maintain appropriate and up-to-date Insurance	None	<ul style="list-style-type: none"> • All 	<ul style="list-style-type: none"> • Contracts will not be executed without proof of insurance. Payments will be held until proof of insurance is provided
15) Quality Improvement/Quality Management Plan	Failure to respond to requests for QI & QM projects	Concern Status	<ul style="list-style-type: none"> • All (RWPA only) 	<ul style="list-style-type: none"> • Report progress updates in the electronic Program Narrative Report (ePNR)