Sanction Matrix - WORKING DRAFT

	Type of violation:	Minor 1st	Minor 2nd	Minor 3rd	Material 1st	Material 2nd	Material 3rd	Significant 1st	Significant 2nd	Significant 3rd	Severe 1st	Severe 2nd	Severe 3rd
Enforcement	**Policy Statement 7**												
Cases not resolved within 1 year with no special circumstances documented.	7.B	1	2 ,3	4	1	2,3	4,6	1,2,3	4,6	4,6,7	1,2,3	2,3,4,6,7	4,7,8
Dismissal of case without investigation.	7.B.1	1	2 ,3	4	1	2,3	4,6	1,2,3	4,6	4,6,7	1,2,3,4	2,3,4,6,7	4,7,8
Persons analyzing complaints are not knowledgeable about USPAP.	7.B.2	1	2 ,3	4	1	2,3	4,6	1,2,3	4,6	4,6,7	1,2,3	2,3,4,6,7	4,7,8
Not analyzing to determine if addtional violations should be added to the complaint.	7.B.2	1	2 ,3	4	1	2,3	4,6	1,2,3	4,6	4,6,7	1,2,3	2,3,4,6,7	4,7,8
Enforcement dispositions are not consistent.	7.B.2.	1	2 ,3	4	1	2,3	4,6	1,2,3	4,6	4,6,7	1,2,3	2,3,4,6,7	4,7,8
Enforcement dispositions are not appropriate and equitable.	7.B.2.	1	2 ,3	4	1	2,3	4,6	1,2,3	4,6	4,6,7	1,2,3	2,3,4,6,7	4,7,8
Complaint files are not well-documented and do not clearly show the status of the complaints.	7.B.3	1	2 ,3	4	1	2,3	4,6	1,2,3	4,6	4,6,7	1,2,3	2,3,4,6,7	4,7,8
Complaint log inadequate.	7.B.4	1	2 ,3	4	1	2,3	4,6	1,2,3	4,6	4,6,7	1,2,3	2,3,4,6,7	4,7,8
Complaint log missing.	7.B.4	1	2 ,3	4	1	2,3	4,6	1,2,3	4,6	4,6,7	1,2,3	2,3,4,6,7	4,7,8

*The working group suggested that footnotes be added to each matrix regarding the following: A. The suggested actions are based on multiple State reviews, not one single review. B. The actions are suggestions. The ASC has the discretion to add or subtract actions based on the number and severity of the violations found. C. The goal of the matrix is to ensure fair, equitable and consistent actions taken by the ASC.

Potential Actions:													
1. Warning													
2. Training - Board members													
3. Training - Staff members													
4. Consultation with State authorities													
5. Meeting with affected parties													
6. Expedited Review													
7. Continuous Monitoring													
8. Require State use of Voluntary Disciplinary Sanction Matrix													
9. Interim suspension of credential													
10. Revocation of credential													
11. Interim derecognition													
12. Derecognition													