

ASC Findings

(Pre-June 1, 2013 and Post-June 1, 2013)

The charts below provide an explanation of ASC Findings and rating criteria. ASC Findings were revised effective June 1, 2013.

Pre-June 1, 2013

Compliance Reviews conducted prior to June 1, 2013, were subject to the following ASC Findings:

ASC Findings	Rating Criteria
In Substantial Compliance	<ul style="list-style-type: none">• Applies when no issues of non-compliance or violations of Title XI, ASC Policy Statements or AQB Criteria are identified.
Not In Substantial Compliance	<ul style="list-style-type: none">• Applies when there are one or more issues of non-compliance or violations of Title XI, ASC Policy Statements and/or AQB Criteria but the concerns do not rise to the level of "Not In Compliance."
Not In Compliance*	<ul style="list-style-type: none">• Applies when the number, seriousness, and/or repetitiveness of the Title XI, ASC Policy Statements and/or AQB Criteria violations warrant this finding.

* An ASC Finding of "Not In Compliance" may result in significant consequences to the State. See Policy Statement 5, *Reciprocity*; see also Policy Statement 8, *Interim Sanctions*.

Post-June 1, 2013

Compliance Reviews conducted after June 1, 2013, are subject to the following ASC Findings:

ASC Finding	Rating Criteria	Review Cycle**
Excellent	<ul style="list-style-type: none"> • State meets all Title XI mandates and complies with requirements of ASC Policy Statements • State maintains a strong regulatory Program • Very low risk of Program failure 	2-year
Good	<ul style="list-style-type: none"> • State meets the majority of Title XI mandates and complies with the majority of ASC Policy Statement requirements • Deficiencies are minor in nature • State is adequately addressing deficiencies identified and correcting them in the normal course of business • State maintains an effective regulatory Program • Low risk of Program failure 	2-year
Needs Improvement	<ul style="list-style-type: none"> • State does not meet all Title XI mandates and does not comply with all requirements of ASC Policy Statements • Deficiencies are material but manageable and if not corrected in a timely manner pose a potential risk to the Program • State may have a history of repeated deficiencies but is showing progress toward correcting deficiencies • State regulatory Program needs improvement • Moderate risk of Program failure 	2-year with additional monitoring
Not Satisfactory	<ul style="list-style-type: none"> • State does not meet all Title XI mandates and does not comply with all requirements of ASC Policy Statements • Deficiencies present a significant risk and if not corrected in a timely manner pose a well-defined risk to the Program • State may have a history of repeated deficiencies and requires more supervision to ensure corrective actions are progressing • State regulatory Program has substantial deficiencies • Substantial risk of Program failure 	1-year
Poor*	<ul style="list-style-type: none"> • State does not meet Title XI mandates and does not comply with requirements of ASC Policy Statements • Deficiencies are significant and severe, require immediate attention and if not corrected represent critical flaws in the Program • State may have a history of repeated deficiencies and may show a lack of willingness or ability to correct deficiencies • High risk of Program failure 	Continuous monitoring

* An ASC Finding of “Poor” may result in significant consequences to the State. *See Policy Statement 5, Reciprocity; see also Policy Statement 8, Interim Sanctions.*

**Program history or nature of deficiency may warrant a more accelerated Review Cycle.