**Section 132.31 Certification Review Cycle**

a) Initial Certification Review

Within 14 months after the date of the approval of the application for certification, the Certifying State Agency shall conduct an initial on-site certification review.

1) At the review, the Certifying State Agency shall evaluate the Provider's compliance with this Part and note the Provider's level of compliance as follows:

A) Level 1 – Compliant: 90-100% Compliance

i) Providers who achieve Level 1 will be considered to be in good standing with the Certifying State Agency.

ii) The Certifying State Agency shall report any deficiencies to the Provider during an exit conference. The Certifying State Agency shall issue a Notice of Deficiencies to the Provider within 30 days after the completion of the review.

iii) The Provider will not be required to submit a Plan of Correction in response to the Notice of Deficiencies.

B) Level 2 – Substantially Compliant: 75-89% Compliance

i) Providers who achieve Level 2 will be considered to be in good standing with the Certifying State Agency.

ii) The Certifying State Agency shall report any deficiencies to the Provider during an exit conference. The Certifying State Agency shall issue a Notice of Deficiencies to the Provider within 30 days after the completion of the review.

iii) The Provider shall submit a written Plan of Correction to address each of the deficiencies included in the Notice of Deficiencies. The Plan of Correction must identify the actions that have been, or will be taken to comply with this Part and the timeframes for implementing the corrective actions.

iv) The Provider must submit the Plan of Correction to the Certifying State Agency by the due date indicated on the Notice of Deficiencies, which will be approximately 30 days after the date of the Notice of Deficiencies.

v) The Certifying State Agency shall review the Plan of Correction and notify the Provider of the results of the review within 30 days after submission of the Plan of Correction. If a Provider submits a Plan of Correction that does not address the deficiencies noted during a review, the Certifying State Agency shall notify the Provider within 30 days after receipt of the Provider's Plan of Correction. The Provider shall submit a revised Plan of Correction that addresses the deficiencies within 10 days after the date it was notified of the unacceptable Plan of Correction. Pursuant to Section 132.47, the Certifying State Agency may suspend the Provider's certification if the Provider fails to submit an acceptable revised Plan of Correction within 10 days after the date of notification.

C) Level 3 – Minimally Compliant: 50-74% Compliance

i) Providers who score a Level 3 will not be considered to be in good standing with the Certifying State Agency.

ii) The Certifying State Agency shall report any deficiencies to the Provider during an exit conference. The Certifying State Agency shall issue a Notice of Deficiencies to the Provider within 30 days after the completion of the review.

iii) The Provider shall submit a written Plan of Correction to address each of the deficiencies included in the Notice of Deficiencies. The Plan of Correction must identify the actions that have been, or will be, taken to comply with this Part and the timeframes for implementing the corrective actions.

iv) The Provider must submit the Plan of Correction to the Certifying State Agency by the due date indicated on the Notice of Deficiencies, which will be approximately 30 days after the date of the Notice of Deficiencies.

v) The Certifying State Agency shall review the Plan of Correction and notify the Provider of the results of the review within 30 days after submission of the Plan of Correction. If a Provider submits a Plan of Correction that does not address the deficiencies noted during a review, the Certifying State Agency shall notify the Provider within 30 days after receipt of the Provider's Plan of Correction. The Provider shall submit a revised Plan of Correction that addresses the deficiencies within 10 days after the date it was notified of the unacceptable Plan of Correction. Pursuant to Section 132.47, the Certifying State Agency may suspend the Provider's certification if the Provider fails to submit an acceptable revised Plan of Correction within 10 days after the date of notification.

vi) Within 90 days after the date that the Plan of Correction is approved, the Certifying State Agency shall conduct a Level 3 focused review to evaluate the Provider's implementation of the Plan of Correction. The Provider's level of compliance must reach the equivalent of at least Level 2 to demonstrate implementation of the Plan of Correction.

vii) The Certifying State Agency shall report any remaining deficiencies to the Provider during an exit conference.

viii) If the Provider fails to implement the Plan of Correction within 90 days from the date of the Plan of Correction acceptance, as evidenced by less than the equivalent of a Level 2, the Certifying State Agency may suspend the Provider's certification to provide services pursuant to this Part.

D) Level 4 – Unsatisfactorily Compliant: Under 50% Compliance

i) Providers who score a Level 4 will not be considered to be in good standing with the Certifying State Agency.

ii) The Certifying State Agency shall report any deficiencies to the Provider during an exit conference. The Certifying State Agency shall issue a Notice of Deficiencies to the Provider within 30 days after the completion of the review.

iii) The Provider shall submit a written Plan of Correction to address each of the deficiencies included in the Notice of Deficiencies. The Plan of Correction must identify the actions that have been, or will be, taken to comply with this Part and the timeframes for implementing the corrective actions.

iv) The Provider must submit the Plan of Correction to the Certifying State Agency by the due date indicated on the Notice of Deficiencies, which will be approximately 30 days after the date of the Notice of Deficiencies.

v) The Certifying State Agency shall review the Plan of Correction and notify the Provider of the results of the review within 30 days after the submission of the Plan of Correction. If a Provider submits a Plan of Correction that does not address the deficiencies noted during a review, the Certifying State Agency shall notify the Provider within 30 days after receipt of the Provider's Plan of Correction. The Provider shall submit a revised Plan of Correction that address the deficiencies within 10 days after the date it was notified of the unacceptable Plan of Correction. Pursuant to Section 132.47, the Certifying State Agency may suspend Provider's certification if the Provider fails to submit an acceptable revised Plan of Correction within 10 days after the date of notification.

vi) Within 60 days after the date that the Plan of Correction is approved, the Certifying State Agency shall conduct a Level 4 focused review to evaluate the Provider's implementation of the Plan of Correction. The Provider's level of compliance must reach the equivalent of a least Level 3 to demonstrate implementation of the Plan of Correction.

vii) The Certifying State Agency shall report any remaining deficiencies to the Provider during an exit conference.

viii) If the Provider fails to implement the Plan of Correction within the designated timeframe, as evidenced by achieving less than the equivalent of Level 3, the Certifying State Agency may suspend the Provider's certification to provide services pursuant to this Part.

ix) Within 90 days after the date that the Plan of Correction is approved, the Certifying State Agency may conduct a Second Level 4 focused review to evaluate the Provider's implementation of the Plan of Correction. The Provider's level of compliance must reach the equivalent of at least Level 2 to demonstrate implementation of the Plan of Correction. If the Provider's level of compliance in the first Level 4 focused review reached the equivalent of a least at Level 2, the Second Level 4 focused review is not required.

x) The Certifying State Agency shall report any remaining deficiencies to the Provider during an exit conference.

xi) If the Provider fails to implement the Plan of Correction within 60 days from the date of the Plan of Correction acceptance, as evidenced by achieving less than the equivalent of Level 2, the Certifying State Agency may suspend the Provider's certification to provide Part 132 services.

2) Initial Certification Focus Review

For all Providers that scored a Level 2 through 4 in their initial certification review, within 12 months after the date that the Plan of Correction was approved, the Certifying State Agency shall conduct an initial certification focus review to evaluate the Provider's implementation of the Plan of Correction.

A) The Certifying State Agency shall report any remaining deficiencies to the Provider during an exit conference. The Certifying State Agency shall issue an Initial Certification Focus Review Notice of Deficiencies to the Provider within 30 days after the completion of the review.

B) The Provider shall submit a written Amended Plan of Correction to address each of the remaining deficiencies. The Amended Plan of Correction must identify the actions that have been, or will be, taken to comply with this Part and the timeframes for implementing the corrective actions.

C) The Provider must submit the Amended Plan of Correction to the Certifying State Agency by the due date indicated on the Notice of Deficiencies, which will be approximately 30 days after the date of the Notice of Deficiencies.

D) The Certifying State Agency shall review the Amended Plan of Correction and notify the Provider of the results of the review within 30 days after submission of the Plan of Correction.

b) Three Year Recertification Review

The Certifying State Agency will conduct a full review of the Provider's compliance with all requirements of this Part on or around the expiration date of the current certification. At this review, the Certifying State Agency shall evaluate the Provider's level of compliance under subsection (a)(1).

1) For all Providers that score a Level 2 through 4 in their three year recertification review, within 14 months after the date that the Recertification Review Plan of Correction was approved, the Certifying State Agency shall conduct a recertification focus review to evaluate the Provider's implementation of the Plan of Correction. The focus review and follow-up will be conducted pursuant to subsection (a)(2).

2) For all Providers that score Level 2 through 4 in their three year recertification review, a follow-up focus review may be done within 12 months after the date that the Recertification Focus Review Plan of Correction was approved to evaluate the Provider's implementation of the Plan of Correction. The focus review and follow-up will be conducted pursuant to subsection (a)(2).

c) The Certifying State Agency, or its respective agents, shall be granted access to all Provider sites. All records shall be made available to the Certifying State Agency, HFS, or their respective agents, on request during any certification, recertification or other compliance review for Part 132 services. Access to records shall occur in accordance with the Confidentiality Act.

(Source: Added at 38 Ill. Reg. 15550, effective July 1, 2014)