

How to Write Corrective Action Plans A Ten Step Process

A corrective action plan is to be implemented by the consultant when directed to do so by APD; when the participant or representative mis-uses or mis-manages CDC+ funds by making purchases that are not approved or by not being able to produce documentation for a purchase made with CDC+ funds; when problems with quality of care exist; or when any other *consistent* problem with the participant's or representative's care management, program management, or budget management responsibilities is identified.

- 1) **Gather Information:** Identify the problem or concern. Does the participant or representative recognize or agree there is a problem? Use objective, neutral terms to describe the problem. Inform the participant/representative a corrective action plan is needed.
- 2) **Assess the situation:** Is this a problem the participant can solve if direction, support or education were provided? Is the situation causing direct harm to the participant? Does the situation indicate neglect of program responsibilities?
- 3) **Listen:** What is the participant/representative's suggested corrective action plan?
- 4) **Identify:** What supports would assist the participant/representative in correcting the problem?
- 5) **Negotiate:** The corrective action plan should be negotiated with the participant/representative and agreed upon by all parties.
 - The corrective action plan must be signed by the participant and/or representative and the consultant;
 - The corrective action plan may be written in an informal manner but must identify the problem or concern which precipitated the need for a corrective action;
 - The corrective action plan must identify the specific corrective action to be taken to resolve the problem.
- 6) **Implement** the corrective action plan and increase contacts and supports.
 - The corrective action plan must have an implementation date and an ending date;
 - Advise the local APD Area Liaison for CDC+ that corrective action has been implemented – provide copy of CAP to the Area Office;
 - All contacts related to the CAP must be documented in the participant record.
- 7) **Monitor** progress in correcting problems. Offer assistance and feedback as needed.
- 8) **Communicate:** Inform the participant/representative of your assessment of progress or lack of progress with the corrective action plan. Provide concrete examples to document your assessment of progress or lack of progress.
- 9) **Revise:** Revise or discontinue the corrective action plan as needed.
- 10) **Document:** Document the successful resolution of problems and discontinuation of a correction action plan.
 - Notify local APD Area Liaison for CDC+ of resolution;
 - If problems are not resolved, the consultant should follow the procedures for disenrollment.

NOTE: Only the CDC+ Program Administrator in the APD Central Office has the authority to approve the involuntary disenrollment of a consumer recommended for disenrollment by the APD Area Office.