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.

Effective Date 11/1/09