

Title of Manual: Mid-South Substance Abuse Commission Policy and Procedures		Page 1 of 3	
		HISTORY 01/2005	
Section: A012	Subject: Progressive Corrective Action Policy		Replaces: 1/2005
			Last Reviewed: 4/2009
Recommended By: Executive Director	Approved By: Board of Directors	Scope: All Treatment and Prevention Providers	Effective: 4/27/2009
	Date: 4/27/2009		

1. **POLICY**

Mid-South endeavors to develop and maintain quality substance use disorder (SUD) treatment and prevention services throughout its region. To ensure ongoing quality and compliance, it is Mid-South's policy to establish specific quality standards and requirements that the SUD treatment and prevention providers are to meet monthly, quarterly, and yearly. These standards and requirements shall be monitored and reviewed to ensure compliance and that quality and effective services are being delivered to Mid-South residents.

2. **PURPOSE**

The purpose of this policy is to ensure that as problem identification occurs with contracted SUD treatment and prevention providers, there is a progressive corrective action process to remedy or dispose of the finding(s). Problems must be resolved efficiently and effectively, and in a timely fashion.

- 2.1. Problems are identified from many sources, including but not limited to, non-compliance with objective QI criteria, non-compliance with contractual requirements, including performance-based outcomes, review of client records, client and/or staff complaints, audit reports, financial and clinical site reviews, incident reports, client satisfaction surveys, normative statistics and empirical findings, and recommendations from licensing, other funding agencies, and accreditation bodies.
- 2.2. Mid-South's Program Development Committee will be informed of any contracted SUD treatment and prevention provider who has been determined by the QI review process to have not met the quality standards and/or requirements. Depending on the severity of the issue and the status of the corrective action process, the Program Development Committee will then determine to make recommendations to the Board of Directors' to suspend, reduce or revoke privileges, and potentially terminate the contract, whichever would be appropriate for the circumstances.

3. **PROBLEM IDENTIFICATION AND CORRECTIVE ACTION PROCESS**

As documented in the Problem Identification and Correction Action Process flow chart, the following is the process for the resolution of quality concerns:

- 3.1. **Step One:** the problem(s) is identified and discussed with the prevention and/or SUD treatment provider;
- 3.2. **Step Two:** a resolution to the identified problem with steps for correction, a time frame in which to accomplish the improvements and how the resolution will be monitored, is agreed to by the SUD treatment and/or prevention provider and Mid-South;
- 3.3. **Step Three:** if there has been no improvement during the agreed resolution timeframe, the next step in the corrective action process is a corrective action plan written by Mid-South and accepted by the SUD treatment and/or prevention provider. Mid-South will continue monitoring compliance. Mid-South staff will notify the Program Development Committee of the concerns;
- 3.4. **Step Four:** review of the written corrective action plan within the specified timeframe and if there has been sufficient progress in improvement, no further action is necessary.

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- 3.4.1. If there is unsatisfactory improvement and further action is necessary, the Program Development Committee will be notified and given the Mid-South staff recommendation of sanctions.
 - 3.4.2. The sanctions recommended will depend on the severity of the concerns/problems and may include but are not limited to, either immediate termination of contract or be placed on probationary status.
 - 3.4.3. If it is probationary status, timeframes are given for compliance and ongoing review by Mid-South;
 - 3.5. **Step Five:** If there is satisfactory improvement and compliance, the probationary status is completed. However, if the results are not satisfactory, the Program Development Committee may recommend termination of the contract to the Board of Directors.
 - 3.6. In case of suspected client endangerment or failure to protect client welfare, Mid-South will take immediate action to assess the risk to clients and assure client safety. The assessment and action will vary with the situation but may include suspension of referrals and authorizations. Such action may take place prior to the investigation of potential contractual and/or policy non-compliance. The Care Coordination Center will be responsible for arranging appropriate alternative care in cooperation with the SUD treatment provider for clients being seen by the contracted SUD treatment provider whose privileges have been suspended or terminated. It will be the responsibility of the contracted SUD treatment provider to ensure that the pertinent treatment information in the client files follow the clients to the alternative care provider.
 - 3.7. The contracted SUD treatment provider will be given written notification detailing the reasons for the corrective action and/or sanction. At the time of notification, the SUD treatment provider will be informed of the right to appeal the decision and the specific process to utilize as detailed in the Formal Appeal to the Mid-South Commission Policy A003 located on the Mid-South website, www.mssac.com.
4. Decisions to suspend, reduce or revoke privileges and potentially terminate a subcontract include but are not limited to the following:
 - 4.1. Loss of licensure or certification;
 - 4.2. Loss of accreditation;
 - 4.3. Loss of malpractice insurance coverage;
 - 4.4. Numerous substantiated client or other service complaints;
 - 4.5. Geographical relocation of the physical location of a facility;
 - 4.6. Less than average clinical outcomes as determined from quality assurance and utilization review activities;
 - 4.7. Evidence of violation of professional ethics or fraudulent activity;
 - 4.8. Felony conviction;
 - 4.9. Misrepresentation or omission from the contractual application;
 - 4.10. Violations of contractual provisions or inability to perform contractual functions;
 - 4.11. Other reasons not specified that would interfere, limit, negate, or subvert the goals and objectives of Mid-South;
 - 4.12. Any reason other than those prohibited by law even if the professional or other provider meets credentialing standards.

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5. SANCTIONS

Sanctions for identified violations of contractual/policy requirements shall be commensurate with the severity of the violation. Sanctions may include, but are not limited to:

- 5.1. Termination of contract,
- 5.2. Thirty-day (30) compliance notice,
- 5.3. Probation with corrective action required,
- 5.4. Corrective action only,
- 5.5. Suspension of contract,
- 5.6. Suspension of referrals and/or authorizations,
- 5.7. Suspension of payment.

References:

Problem Identification and Correction Action Process Flow Chart
 Formal Appeal to the Mid-South Commission Policy A003