

AADE DEAP POLICY



POLICY NUMBER: 4

TITLE: DEFICIENCY NOTIFICATION AND CORRECTIVE ACTION

POLICY

DSMT programs have the right to a comprehensive explanation of any determinations that they are not in compliance with the National Standards for Diabetes Self-Management Education and Support in a timely manner and to be given an opportunity to correct deficiencies and/or submit additional evidence to confirm compliance within a reasonable timeframe. They also have the right to appeal any such determinations. Technical assistance will be provided to both accredited DSMT programs and DSMT programs seeking accreditation. Criteria about the deficiencies and unmet elements will determine decisions about corrective action.

PROCEDURE

Accredited DSMT Programs

- When a determination has been made that an accredited DSMT program is out of compliance with NSDSMES and/or requirements for AADE accreditation, AADE staff will notify the program coordinator by email or phone and follow this with written notification within seventy-two hours of the decision.
 - The DSMT program will be given extended time if there are sufficient resources to implement any unmet essential elements that do not jeopardize or adversely affect patient health. Time to complete will be set based on deficiency.
 - Examples of correctable deficiencies (this list is not exhaustive):
 - Std. 1: Revising the organizational chart to accurately depict the organizational structure and relationships
 - Std. 4 or Std. 5: Revising a job description to accurately reflect the scope of responsibilities of DSMT program instructors
 - Std. 6: Updating the curriculum
 - Std. 7: Provide additional chart to ensure compliance with education policy
 - Std. 8: Developing a process that ensures that the referring/treating provider will receive information about educational services provided
 - Std. 10: Revising the performance improvement plan so it includes a systematic CQI process
- The letter will describe the deficiency and include any specific information related to corrective action and the due date for the submission of documents and materials.

Plan of Correction

DSMT programs that do not meet accreditation status must complete a plan of correction according to the AADE's specifications – including timeframes for submitting the plan and any required document submission. The AADE accreditation staff will provide information to the DSMT program that identifies the type of evidence necessary to indicate that the deficiency has been corrected as well as any requirements related to periodic submission to AADE of materials that indicate that the corrective action has been maintained on an on-going basis. The AADE will provide technical assistance to DSMT programs to help with deficiency correction. A reminder system that identifies the time frames required will ensure that the AADE receives any necessary information from the program according to the time frames established.

- Information provided by the DSMT program in response to notification of deficiencies will be reviewed by AADE staff who will determine if the evidence was sufficient to correct the deficiency.
- If the deficiency was not corrected, a decision will be made to either extend the due date or deny accreditation.
- Regardless of whether the deficiency was corrected, the program coordinator will be notified in a follow-up letter, identifying the outcome of the DSMT program's response to the corrective action.
 - If discrepancy was addressed, AADE may require the additional submission of materials for a period of time to monitor ongoing compliance.
 - If a determination of denial of accreditation is made for currently accredited programs, the effective date shall be twenty working days from the notification date unless an appeal is filed.
 - If an appeal is filed, the DSMT program will remain in active status until the appeal process is completed.
- Failure to adhere to due dates will result in withdrawal of accreditation if the cause of a deficiency for which the program was given an opportunity to correct is pervasive and systemic.
- Failure to adhere to due dates will likely not result in withdrawal if there is no evidence of negative outcome or adverse effects to the health of any participant
- **NOTE:** For additional information about withdrawal of accreditation, see *Policy 3: Decision-Making Process*.

DSME Programs Seeking Accreditation – Unmet Standards

- AADE staff will notify the program coordinator by phone or email and follow this with written notification within seventy-two hours of the decision.
- The letter will describe the unmet element(s) and include any specific information related to corrective action and/or evidence necessary to affirm compliance and the due date for the submission of documents/materials.
 - Required materials and documentation must be submitted within stated time frame but no less than forty-five days.
- Information provided by the program in response to the unmet element(s) will be reviewed by AADE staff, who will determine if the evidence was sufficient to affirm substantial compliance, whereby the program will be awarded accreditation.
- If there is indication that the program has still not yet achieved substantial compliance, a decision will be made to either extend the due date, or to deny accreditation (see decision-making criteria). No refunds will be given under either circumstance.