



Corrective Action Plan (CAP) Submission Form

Master Incident Number:	JC Case Serial Number: (55#)
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VPCR Incident Serial Number: (101- or 301-)	
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*Date of Letter of Determination from the Justice Center:

Please Note: CAPS are due to OPWDD within 65 days of this date*

All CAPs must be approved by the Agency Director/CEO or Designee prior to submission.

Agency Contact Information:

Agency Name:	Agency Address:
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Name:	Phone Number:	E-mail Address:
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Was this a category 3 or 4 substantiated incident?

Yes No

List All Corrective Actions Recommended	Date Implemented
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Documentation of implementation of each Corrective Action must be attached to this form when submitted to OPWDD and corresponding attachments must be labeled (example: CA-1, CA-2)

<input style="width: 50px; height: 20px;" type="text"/>	<input style="width: 100%; height: 30px;" type="text"/>
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<input style="width: 50px; height: 20px;" type="text"/>	<input style="width: 100%; height: 30px;" type="text"/>
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Use Form 161a for additional Corrective Actions

Check all appropriate boxes using the attached definitions of Areas of Concern

Program/Services/Treatment	Safety/Basic Needs/Individual Rights	Documentation
Policies/Procedures	Physical Plant/Environmental	Other
Incident Management	Personnel/Training	

Please submit this form via IRMA file upload using this naming convention:

MIN_JC Case Serial Number_CAP (2014-123456_55123456_CAP)



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Areas of Concern Definitions

Areas of Concern	Definition
Program/Services/Treatment	Action(s) recommended to establish additional services or treatment and/or to improve services to meet an individual receiving services needs/wishes Action(s) recommended to meet standards set by treatment/service plan, regulations, and/or facility policies.
Policies/Procedures	Action(s) recommended to implement or improve policy/procedure in order to meet regulatory requirements.
Incident Management	Actions recommended to improve the agency(ies) incident management practices. This may include internal and/or external reporting, investigation procedures or reports, and/or incident review activities.
Safety/Basic Needs/Individual Rights	Action(s) recommended to make corrections to meet basic needs such as clothing, food, shelter, protection of individuals' rights guaranteed by law/regulation.
Physical Plan/Environmental	Correction of identified physical plant/environmental issue(s) for improvement of sanitation and/or safety issues including (but not limited to) fire safety risks recommended.
Personnel/Training	Action(s) recommended to implement or improve administrative oversight of staff supervision, staffing patterns, and/or staff training to meet regulatory requirements and facility policies, and Awareness Training Feedback Process (State operations only).
Documentation	Action(s) recommended to address missing or incomplete documentation.
Other	To be selected for issues of concern which are not included in other categories.