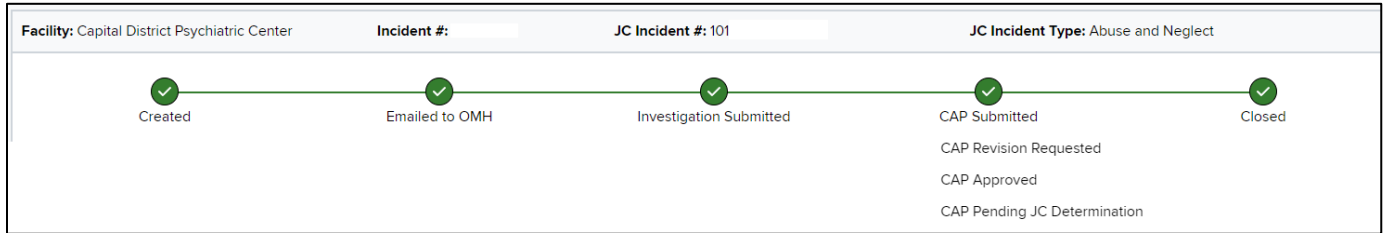




# NIMRS 2.0 How To Enter a Corrective Action Plan (CAP)

CAP statuses include: CAP Submitted, CAP Revision Requested, CAP Approved and CAP Pending JC Determination.



## INVESTIGATION AND IRC REVIEW

Navigate to the Investigation section of the Incident and the Issues of Concern section. Select appropriate Issues of Concern. These will auto-fill the Incident Review Committee (IRC) Issues of Concern grid.

**Issues of Concern:**

Cat 3/4 (a CAT 3 or 4 allegation was substantiated)     Documentation     Incident Management     Personnel/Training

Physical Plant/Environmental     Policies/Procedures     Program/Services/Treatment     Safety/Basic Needs/Patient Rights

Click Save Investigation

Navigate to IRC Review: Issues of Concern Grid will display the Issues selected on the Investigation Page. Click **Edit** Action button for all Issues to record whether or not a Corrective Action is required.

**IRC Review**

**Issues of Concern** + Add Issue of Concern

Show Rows

	Issues of Concern	Corrective Action Required
<a href="#">Edit</a>   <a href="#">Delete</a>	Documentation	Not Selected
<a href="#">Edit</a>   <a href="#">Delete</a>	Policies/Procedures	Not Selected

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**Add/Edit Issue of Concern**

**Issue of Concern:** \*  
 Documentation

**Corrective Action Required:** \*  
 Yes

-- Select --  
 Yes  
 No

**Complete Investigation and IRC Requirements**

“Corrective Action Required” will dictate the CAP Requirements

- Reporting that there are No Issues of Concern or that Corrective Action Required = “No” will allow you to enter a “None CAP” on the CAP pages.

OMH Led Abuse/Neglect Incidents will require an IRC Recommended Outcome to be entered.

**IRC Recommended Outcome:**

Unsubstantiated

Offense substantiated for none of the subject and victim combinations  
 Offense substantiated for all of the subject and victim combinations

JC Led Abuse/Neglect Incidents will prefill the Substantiated vs. Unsubstantiated value.

**IRC Recommended Outcome:**

N/A: JC Led Investigation

OMH Central Office staff will enter the JC Determination Details section when the Determination Letter is received.

**Corrective Action Plan**

CAP Details    Corrective Action

**CAP Due Date:** \* 10/01/2022    **CAP Implemented Date:** \* 09/02/2022

**CAP Manager Details:** \*  
**Name:** \* Mary Hannon    **Email:** \* Mhannon@olvhumanservices.org    **Phone Number:** \* 716-828-7201

**JC Determination Details:** \*

**Any Offense Substantiated by JC?:** \*  
 Yes     No

**Determination Letter Received?:** \*  
 Yes     No

**Determination Date:** \* 08/17/2022

**Note:** If the “Any Offense Substantiated by JC” field is “Yes”, a “None CAP” will not be allowed. If a “None CAP” has already been added, the facility will receive a Revision Request Notification via email stating that a CAP is required.

Confirm IRC Milestone by clicking **Confirm IRC** on Action Bar.

Submit Investigation Milestone by clicking **Submit Investigation** on Action Bar.

## CORRECTIVE ACTION PLAN

Navigate to the CAP Page to complete CAP information.

Complete known information on CAP Details page.

- The “CAP Implemented Date” is not required until Incident Closure.
- The JC Determination Details are entered by Central Office users after CAP Submission.

**Corrective Action Plan**

CAP Details | Corrective Action

**CAP Due Date:** \*

**CAP Implemented Date:** \*

mm/dd/yyyy

**CAP Manager Details:** \*

**Name:** \* | **Email:** \* | **Phone Number:** \*

TestName | TestName@gmail.net | (123) 456-7890

**JC Determination Details:** \*

**Any Offense Substantiated by JC?:** \*

Yes  No

**Determination Letter Received?:** \*

Yes  No

Confirm JC Determination | Save CAP | Cancel Changes

### Cap Due Date:

- Abuse/Neglect: 45 Days after Justice Center Determination Date.
- Significant Incidents and Death: 45 Days after the Incident Date.

**Corrective Action Plan**

CAP Details    Corrective Action

CAP Due Date: \*    CAP Implemented Date: \*

10/01/2022    09/02/2022

**+ 45 Days**

CAP Manager Details: \*

Name: \*    Email: \*    Phone Number: \*

Mary Hannon    Mhannon@olvhumanservices.org    716-828-7201

JC Determination Details: \*

Any Offense Substantiated by JC?: \*    Determination Letter Received?: \*    Determination Date: \*

Yes     No     Yes     No    08/17/2022

Navigate to Corrective Action page. Click “Edit” to add CAP information for each Issue of Concern that requires a Corrective Action.

- Additional Corrective Actions not identified during IRC/Investigation can also be added here using the “+ Add Corrective Action” button.

**Corrective Action Plan**

CAP Details    **Corrective Action**

+ Add Corrective Action    + No Corrective Action

Show Rows 5

	Issues of Concern	Corrective Action Type	Implementation Status	Target Completion Date	Approval Status
<a href="#">Edit</a>   <a href="#">Delete</a>	Program/Services/Treatment	Medication Review	Partially Implemented	01/05/2025	Created
<a href="#">Edit</a>   <a href="#">Delete</a>	Personnel/Training	Clinical Case Record Review	Fully Implemented	01/10/2025	Revision Requested
<a href="#">Edit</a>   <a href="#">Delete</a>	Safety/Basic Needs/Patient Rights	Employee Suspension	Fully Implemented	01/06/2025	Submitted
<a href="#">View</a>	Inadequate Security system and process	External Consultation - Program Wide	Fully Implemented	01/10/2025	Approved

1 - 4 of 4 items

<< < 1 > >>

Enter all Required fields as indicated by Bold font and a red asterisk. “Save and Return” will return you to the CAP pages.

Click **Submit CAP** to Submit the CAP and meet this milestone.

Update OMH    Confirm IRC    Close Investigation    **Submit CAP**    Close Incident

Central Office will complete the JC Determination Details section. Central office staff may approve the CAP and Close the incident or they may request additional information. If revisions are necessary, click “Edit” on the appropriate Issue of Concern row. Once the updates are complete, click **Submit CAP** again for approval.

**Corrective Action Plan**

CAP Details **Corrective Action**

+ Add Corrective Action + No Corrective Action

Show Rows 5

	Issues of Concern	Corrective Action Type	Implementation Status	Target Completion Date	Approval Status
<a href="#">Edit</a>   <a href="#">Delete</a>	Program/Services/Treatment	Medication Review	Partially Implemented	01/05/2025	Created
<a href="#">Edit</a>   <a href="#">Delete</a>	Personnel/Training	Clinical Case Record Review	Fully Implemented	01/10/2025	Revision Requested
<a href="#">Edit</a>   <a href="#">Delete</a>	Safety/Basic Needs/Patient Rights	Employee Suspension	Fully Implemented	01/06/2025	Submitted
<a href="#">View</a>	Inadequate Security system and process	External Consultation - Program Wide	Fully Implemented	01/10/2025	Approved

1 - 4 of 4 items

Update OMH Confirm IRC Close Investigation **Submit CAP** Close Incident

Notes concerning CAPs can be added by clicking Comments on the side menu bar and clicking into the CAP Comments tab. If there are comments added but not yet read, an alert bell will appear on the tab.

Incident

Individuals Involved

Investigation

IRC Review

CAP

**Comments**

History

Attachments

**Comments**

General Comments Investigation Comments **CAP Comments**

03/12/2024 11:12 AM [Jstcsdc] :  
Test comment

Enter comment below (max. 500 characters):

Once Central Office Approves the CAP, status will be updated in the subway bar. If all required information has been added, the incident can now be closed.

Facility: Baker Hall, Inc. dba Baker Victory Service Incident #: JC Incident #: JC Incident Type: Abuse and Neglect

Created Emailed to OMH Investigation Submitted **CAP Submitted (CAP Approved)** Closed