

NYS-OMH NIMRS Reference Guide for Abuse and Neglect Correction Action Plan (CAPS)

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CAPS Process Flow: STEPS to Closing a CAP

Performed By:	Action
Step 1: Provider	The provider completes the “Investigation Findings and IRC” tab and Closes the investigation.
Step 2: Provider	The provider develops and documents the initial Corrective Actions on the “Corrective Action Plan” tab page in NIMRS.
Step 3: Provider	Provider proceeds with Implementation of established Corrective Actions pending receipt of the NYS Justice Center Determination Letter. NOTE: Determination Letter is required before a CAP can be submitted for Central Office Review.
Step 4: Central Office	1. Central Office Attaches the NYS-JC Determination Letter Note, 2. Documents if any offense was substantiated (AOS) by the NYS-JC, and 3. Records the date that the Determination Letter was Issued NOTE: CAP Due Dates are based on 90 Days from the date that the NYS- JC issues the Determination Letter
Step 5: Provider	The Provider reviews the Determination Letter and submits the CAP to Central Office for review. NOTE: Corrective Actions are required for any event substantiated by NYS-JC, OMH Central Office or Provider’s IRC.
Step 6: Central Office	Central Office reviews the CAP for Quality, Applicability, and Compliance. NOTE: CAPS that are deemed inappropriate, inadequate, or incomplete will be returned to the Provider as “Provider Revision Required” and will need to be corrected and resubmitted by the provider.
Step 7: Provider	After Approved by Central Office: 1. Provider ensures implementation of all Corrective Actions Listed 2. Provider records the final “Implementation Date” 3. Provider “closes” the Incident in NIMRS NOTE: When the Incident is “Closed,” the CAP Status will be marked “Implemented”

When are CAPS Required?

Providers are always able to develop Corrective Action Plans in NIMRS for all incidents. However CAPS are **always required** for the following:

1. All Allegations of Abuse and Neglect Investigations substantiated by the Providers Incident review Committee (IRC).	2. All Allegations of Abuse and Neglect Investigations containing “Any Offense Substantiated” (AOS) by the NYS Justice Center.
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CAPS Status Definition

- 1. Pending CAP** – This is the default status for any incident, regardless of type, for which a CAP has not been created.
- 2. Created** – This status indicates that Corrective Actions have been entered in the “Corrective Actions” table on the CAP tab page.
- 3. Pending JC Determination** – This status indicates that the Provider is ready to submit the CAP for review, but is waiting for the NYS-JC Determination Letter.
- 4. Submitted to CO** – This status indicates that the Provider successfully submitted the CAP for OMH Central Office review.
- 5. Provider Revision Required** – This status indicates that a CAP was reviewed by OMH Central Office and returned to the Provider for correction as it was inadequate or incomplete.
- 6. Approved** – This status indicates that a CAP was reviewed by OMH Central Office and approved for implementation
- 7. Implemented** – This is the final status prior to Incident Closure. It indicates that all Corrective Actions documented and approved in the CAP have been successfully implemented by the Provider.

For Assistance or Questions regarding the CAPS Process,
Please contact the Office of Quality Management at:
518-474-3619



Office of
Mental Health