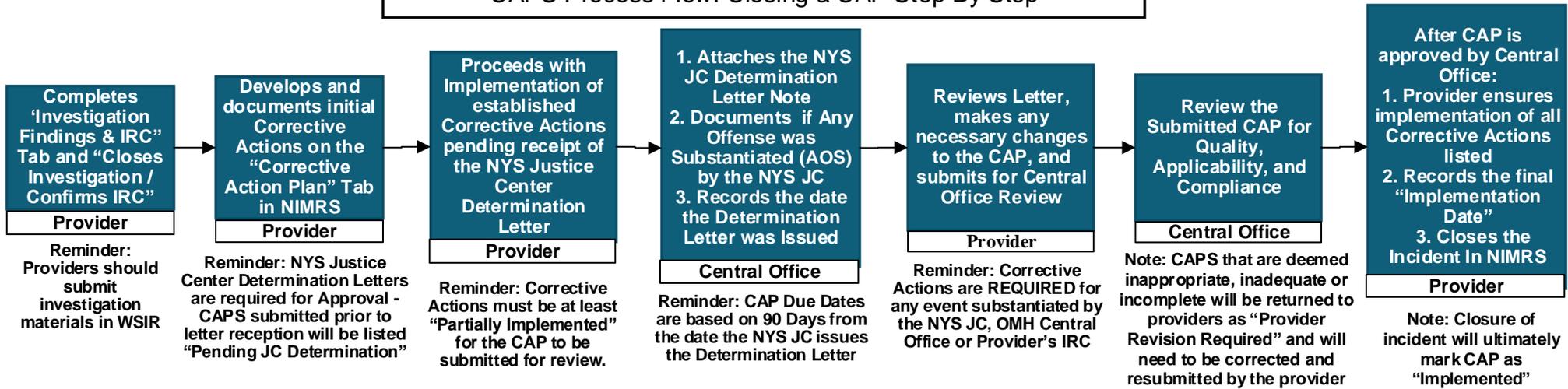


NYS OFFICE of MENTAL HEALTH: NIMRS Reference Guide for Abuse and Neglect Corrective Action Plans (CAPS)



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CAPS Process Flow: Closing a CAP Step By Step



When Are CAPS Required?

Providers are always able to develop Corrective Action Plans in NIMRS for all incidents. However, CAPS are REQUIRED:

1. For all Allegations of Abuse and Neglect Investigations Substantiated by the Provider's IRC
- AND / OR
2. For all Allegations of Abuse and Neglect Investigations containing Any Offense Substantiated (AOS) by the NYS Justice Center.

Such substantiations are documented in the JC Determination Letter

CAP Status Definitions

1. PENDING CAP: This is the default CAP status for any incident, regardless of incident type, in which a CAP has not yet been created.
2. CREATED: This status indicates that Corrective Actions have been entered in the Corrective Actions Table on the CAP Tab.
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 to CAP for OMH Central Office review. The CAP may be returned if corrections are required.
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 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, and it marks 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