

Corrective Action Plan (CAP) Development Rubric

<p>WHAT processes and procedures have been implemented to correct the finding?</p> <ul style="list-style-type: none"> Is there supporting documentation? The processes and procedures should be specific and detailed enough that anyone can follow. Are these processes sustainable? 	
<p>WHO is ultimately responsible for implementing the process and internal controls?</p> <ul style="list-style-type: none"> Are there multiple levels of responsibility? 	
<p>HOW will the facility/provider ensure the processes and procedures are followed consistently to prevent recurrence?</p>	
<p>WHEN will the processes and procedures be implemented and at what frequency?</p>	
<p>WHERE will the documentation be retained and for how long?</p>	

Note: Utilize with the CAP Evaluation Checklist to determine whether the responses provided meet the criteria for an acceptable corrective action plan. This rubric is designed to address one finding, if there are multiple findings then multiple rubrics should be used to address each finding’s corrective action. Use additional paper as required. Communicate this information to your facility or provider.

This form can be used by sponsoring organizations to evaluate CAPs submitted to the State agency and to evaluate CAPs received from providers and facilities for noncompliance issues.

Date CAP Due:		Finding (Violation):
Date CAP Submitted (or Received):		
Fiscal Action? Date adjusted:		Root Cause: