CORRECTIVE ACTION PLAN: A Tutorial for Data Bank Reporters

State Licensing Boards, which license or certify health care practitioners, are required by law to report actions to the Data Bank. These actions must be reported within 30 days of the date the action was taken. To ensure that all State Licensing Boards report to the Data Bank as required by law, the Division of Practitioner Data Banks has embarked upon an ongoing compliance effort.

Occasionally, State Boards may not have submitted all reportable actions to the Data Bank. When this occurs the Board will be out of compliance with Data Bank reporting requirements. State Boards are obligated to report all missing reportable actions in order to become compliant.

When necessary, the Data Bank will formalize a plan with the State Board to make sure the missing reportable actions are submitted. This plan is called a Corrective Action Plan (CAP).
1. Notification- Corrective Action Plan Required

If your organization is required to submit a Corrective Action Plan, you will receive notification in your Data Bank account. The notification will include the date the Corrective Action Plan is due.

The notification will alert you of the time period that the CAP covers and of the missing reportable actions that must be submitted.

When completing the Corrective Action Plan, your organization must indicate the number of reports it plans to submit during a specified timeframe. Before a Corrective Action Plan can be implemented, it must first be approved by the Data Bank.

Organizations that are in the process of reporting missing actions in accordance with their approved Corrective Action Plan will be considered “Working Toward Compliance.”

Organizations that do not submit their Corrective Action Plan by the due date, or report missing actions within the specified timeframe, will be publicly listed as “Non-Compliant.”
The process will work as follows. After being notified by the Data Bank and working with your compliance officer, you will receive an email that a Corrective Action Plan is required for your licensing board.

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Data Bank Corrective Action Plan Required

Data Bank [mailer@npdb-hipdb.hrsa.gov]
Sent: Tuesday, February 13, 2013 7:19 PM
To: Doe, Jane

The Data Bank is requesting that your entity complete a Corrective Action Plan (CAP) for one of your licensed professions.

Entity: STATE LICENSING BOARD (FAIRFAX, VA) (DBID ending in ...33)

To complete the CAP, please sign in to the Data Bank Integrated Querying and Reporting Service (IQRS) at https://www.npdb-hipdb.hrsa.gov and access the Compliance screen.

Please do not reply to this e-mail address. If you have questions or comments, please contact your assigned Compliance Officer.
2. Sign into the Data Bank System

After signing into the Data Bank system, on the Options page, you will see a yellow alert box around the “Compliance Options” section.
3. Continue to **Compliance**

Select the **Compliance** button.
Once on the *Compliance* page, select the **Messages** button.
4. **Messages Page**

On the *Messages* page, you will see there is a new message. Select the new message to view it.

![Message Page Screenshot](Image)
The secure message will inform you that a Corrective Action Plan is required.

Select **Go to CAP** and start filling in the Corrective Action Plan.
5. Corrective Action Plan Page

The Corrective Action Plan page will inform you of the number of missing reportable actions from the Data Bank. You will be able to select the link to view the complete list.

You are required to inform the Data Bank of the number of reports you will submit and the timeframe for which you plan to submit the reports. This will include an expected start date and an expected completion date for submission.

By completing the Corrective Action Plan, you are also agreeing to submit all future reports in a timely manner.
The Corrective Action Plan must be filled in. For this example, the number of reports will be three per week, the expected start date will be 02/18/2013, the end date will be 07/08/2013, and in the “Additional Notes for the Compliance Officer” box we will enter, “Once we have completed staff training we will be adding additional users to submit reports.”
The certification information will also need to be completed, and then select **Certify**.
6. **CAP Confirmation Page**

Notice that the Corrective Action Plan is now pending review and approval by the Data Bank. Your compliance officer will review your information and you will receive a confirmation once the review is complete.

![CAP Confirmation Page](image-url)
View the Corrective Action Plans for this entity by selecting the **Corrective Action Plans** button.

**Corrective Action Plan**

- **Physical Therapist**
- Your organization currently has **80 unresolved** missing action(s) for this profession.

**Reporting Time Frame:** January 1, 2010 to December 31, 2011

**Number Of Reports:** 3 action(s) per Week

**Expected Start Date:** 02/18/2013

**Expected Completion Date:** 07/08/2013

**Additional note:** Once we have completed staff training we will be adding additional users to submit reports.

**Certification**

Our organization certifies that the statements on the professions specified are true and correct to the best of our knowledge. I further certify that I am authorized to submit these statements on behalf of our organization.

- **Name of Licensing Board/Agency:** STATE LICENSING BOARD
- **Name of Board Representative:** JANE DOE
- **Title of Board Representative:** State Board License Specialist
- **Phone Number of Board Representative:** 7035551212
- **Email Address of Board Representative:** janedoe@stateboard.gov
- **Date:** 02/13/2013

[Image of CAP Confirmation - Windows Internet Explorer]

- Contact Us
- Return to Compliance
- Corrective Action Plans
7. Return to the *Corrective Action Plan* Page

Notice you can view the Corrective Action Plan at any time. Currently, the status of the Physical Therapist Corrective Action Plan is pending while the compliance officer reviews it for approval.
8. Corrective Action Plan Approved

After your compliance officer has reviewed and approved the CAP, you will receive an email indicating that your Corrective Action Plan has been approved.

![Image of email showing approved CAP]

The Data Bank has reviewed and approved your entity's Corrective Action Plan (CAP).

Entity: STATE LICENSING BOARD (FAIRFAX, VA) (DBID ending in ...33)

To view the CAP, please sign in to the Data Bank Integrated Querying and Reporting Service (IQRS) at https://www.npdb-hipdb.hrsa.gov and select Corrective Action Plan on the Compliance screen.

Please do not reply to this e-mail address. If you have questions or comments, please contact your assigned Compliance Officer.
Now when you return to the *Compliance* page, you will see the approved Corrective Action Plan in the “Documents” section of the *Compliance* page.
On the *CAP Confirmation* page, you will see that the Corrective Action Plan has been approved by the Data Bank.

![CAP Confirmation](image)

**CAP CONFIRMATION**

The Corrective Action Plan listed below was **approved** by the Data Bank on 02/15/2013.

**Corrective Action Plan**

**Physical Therapist**

Your organization currently has **60 unresolved** missing action(s) for this profession.

- **Reporting Time Frame:** January 1, 2010 to December 31, 2011
- **Number Of Reports:** 3 action(s) per Week
- **Expected Start Date:** 02/18/2013
- **Expected Completion Date:** 07/08/2013
- **Additional note:** Once we have completed staff training we will be adding additional users to submit reports.

**Certification**

Our organization certifies that the statements on the professions specified are true and correct to the best of
You will also see the approved CAP data along with the current number of missing reportable actions. Return to the *Compliance* page by selecting the **Return to Compliance** button.
9. Compliance Actions, Messages, and Corrective Action Plan

On the Compliance page there are the alerts for Compliance Actions, Messages, and Corrective Action Plan. Select Corrective Action Plan.
10. Additional Corrective Action Plans

On the Corrective Action Plans page, you will see “Physical Therapy Assistant” and “Physical Therapist.” Since the Physical Therapists’ Corrective Action Plan was completed and received approval, let’s see what happens when the Data Bank requests a Corrective Action Plan on a different profession. Select “Physical Therapy Assistant.”
Here you will see Physical Therapy Assistant with 40 unresolved missing actions.
The Corrective Action Plan will need to be completed in the same way it was done earlier. The number of reports to be completed for this example is one per month, the expected start date is 03/01/2013, and the expected completion date is 07/01/2016. For the purpose of this example, the “Additional Notes for the Compliance Officer” box is left blank.
In the same manner as before, complete the certification information and then select **Certify**.
The Corrective Action Plan is submitted and is pending review and approval by the Data Bank.

A Corrective Action Plan (CAP) allows the Data Bank to monitor, manage and collaboratively work with organizations on reporting compliance with the Data Bank. By submitting the CAP form, organizations agree to work with DPDB to achieve reporting compliance by providing the number of actions pending submission, providing a time line for submitting reports, and committing to report all future actions in a timely manner.

### Corrective Action Plan
Physical Therapy Assistant

Your organization currently has 40 unresolved missing action(s) for this profession.

- Reporting Time Frame: January 1, 2010 to December 31, 2011
- Number Of Reports: 1 action(s) per Month
- Expected Start Date: 03/01/2013
- Expected Completion Date: 07/01/2016
- Additional note
The compliance officer will review the information and a confirmation will be sent once the review is complete.

![CAP Confirmation - Windows Internet Explorer](image)

**Corrective Action Plan**

**Physical Therapy Assistant**

Your organization currently has **40 unresolved** missing action(s) for this profession.

- **Reporting Time Frame:** January 1, 2010 to December 31, 2011
- **Number Of Reports:** 1 action(s) per Month
- **Expected Start Date:** 03/01/2013
- **Expected Completion Date:** 07/01/2016
- **Additional note:**

**Certification**

Our organization certifies that the statements on the professions specified are true and correct to the best of our knowledge. I further certify that I am authorized to submit these statements on behalf of our organization.

- **Name of Licensing Board/Agency:** STATE LICENSING BOARD
- **Name of Board Representative:** Jane Doe
- **Title of Board Representative:** State Board License Specialist
- **Phone Number of Board Representative:** 7035551212
- **Email Address of Board Representative:** janedoe@stateboard.gov
- **Date:** 02/14/2013
11. Corrective Action Plan – Rework Required

In this example, the Data Bank reviews the Corrective Action Plan and determines that the Corrective Action Plan needs revision. The Data Bank will send an email stating that rework of the Corrective Action Plan is required.

Data Bank Corrective Action Plan Rework Required

Data Bank [miller@npdb-hipdb.hrsa.gov]
Sent: Thursday, February 14, 2013 2:04 PM
To: Doe, Jane

The Data Bank has reviewed your entity’s Corrective Action Plan (CAP) and is returning it for rework.

Entity: STATE LICENSING BOARD (FAIRFAX, VA) (DBID ending in ...33)

For more information and to resubmit the CAP, please sign in to the Data Bank Integrated Querying and Reporting Service (IQRS) at https://www.npdb-hipdb.hrsa.gov and select Corrective Action Plan on the Compliance screen.

Please do not reply to this e-mail address. If you have questions or comments, please contact your assigned Compliance Officer.
Signing back into the Data Bank system and returning to the Compliance page, notice that there is a new message. Select the Messages button.
On the *Messages* page there will be a new message. Select the new message to view it.
In the secure message, the compliance officer has asked for a report to be submitted every week instead of every month.

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**MESSAGE RECEIVED**

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**** Secure Message Received ****
From: Pat Samson
To: Jane Doe
Subject: Data Bank Corrective Action Plan Required 2010-2011 Physical Therapy Assistant
Date: 02/14/2013

Dear Data Bank User,
The Data Bank has reviewed your entity’s Corrective Action Plan (CAP) and is returning it for rework for the following reasons:

As per our previous discussions, it was mutually agreed upon that at least one report would be submitted each week. Please address this issue with your organization and update the CAP per our agreement.

To resubmit the CAP, please select Corrective Action Plan on the Compliance screen.

Sincerely,
The Data Bank

Pat Samson
Ph: 301-555-8888
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**** Secure Message Received ****
From: Pat Samson
To: Jane Doe
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Select **Return to Compliance**.

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Sincerely,
The Data Bank

Pat Samson
Ph: 301-555-8888

**** Secure Message Received ****
From: Pat Samson
To: Jane Doe
Subject: Data Bank Corrective Action Plan Required 2010-2011 Physical Therapy Assistant
Date: 02/14/2013

Dear Data Bank User,

The Data Bank is requesting that your entity complete a Corrective Action Plan (CAP) for the Physical Therapy Assistant profession. To complete the CAP, please select **Corrective Action Plan** on the **Compliance** screen.

Sincerely,
The Data Bank

Pat Spencer
Ph: 301-555-8888
Back on the *Compliance* page, select **Corrective Action Plan**.
The Corrective Action Plan requiring modification is highlighted. Select the highlighted plan to update the CAP.
On the Corrective Action Plan, update the details to match the increased reporting rate.
The number of reports will be updated to one per week, the completion date will be updated to 01/01/2014, and in the note box add; “The CAP has been updated per our agreement.”
As before, add the certification information and select **Certify**.
The Corrective Action Plan is now pending, and will be reviewed again for approval by the compliance officer.
Select Corrective Action Plans.

![Corrective Action Plan](CAP_confirmation.png)

Your organization currently has 40 unresolved missing action(s) for this profession.

- Reporting Time Frame: January 1, 2010 to December 31, 2011
- Number Of Reports: 1 action(s) per Week
- Expected Start Date: 03/01/2013
- Expected Completion Date: 01/01/2014
- Additional note: The CAP has been updated per our agreement.

**Certification**

Our organization certifies that the statements on the professions specified are true and correct to the best of our knowledge. I further certify that I am authorized to submit these statements on behalf of our organization.

- Name of Licensing Board/Agency: STATE LICENSING BOARD
- Name of Board Representative: Jane Doe
- Title of Board Representative: State Board License Specialist
- Phone Number of Board Representative: 7035551212
- Email Address of Board Representative: janedoe@stateboard.gov
- Date: 02/15/2013
12. Corrective Action Plans - Status

Returning to the Corrective Action Plans page, see that the Corrective Action Plan for “Physical Therapy Assistant” is pending approval and the other Corrective Action Plan for “Physical Therapist” is unresolved. The reason the “Physical Therapist” plan is unresolved is that it was previously approved, but not all the missing actions have been reported. Thus, the Corrective Action Plan is still open.
A short time later you will receive an email stating that the resubmitted Corrective Action Plan was approved by the Data Bank.

[Image: Email notification of Corrective Action Plan approval]

The Data Bank has reviewed and approved your entity’s Corrective Action Plan (CAP).

Entity: STATE LICENSING BOARD (FAIRFAX, VA) (DBID ending in ...33)

To view the CAP, please sign in to the Data Bank Integrated Querying and Reporting Service (IQRS) at https://www.npdb-hipdb.hrsa.gov and select Corrective Action Plan on the Compliance screen.

Please do not reply to this e-mail address. If you have questions or comments, please contact your assigned Compliance Officer.
When you return to the Compliance page, you will see the approved Corrective Action Plan for “Physical Therapy Assistant” in the “Documents” section of the Compliance page.

If you have questions about or need help with the Corrective Action Plan process, please contact your assigned compliance officer. Your assigned compliance officer is listed on the Compliance screen in the Data Bank system.