

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.

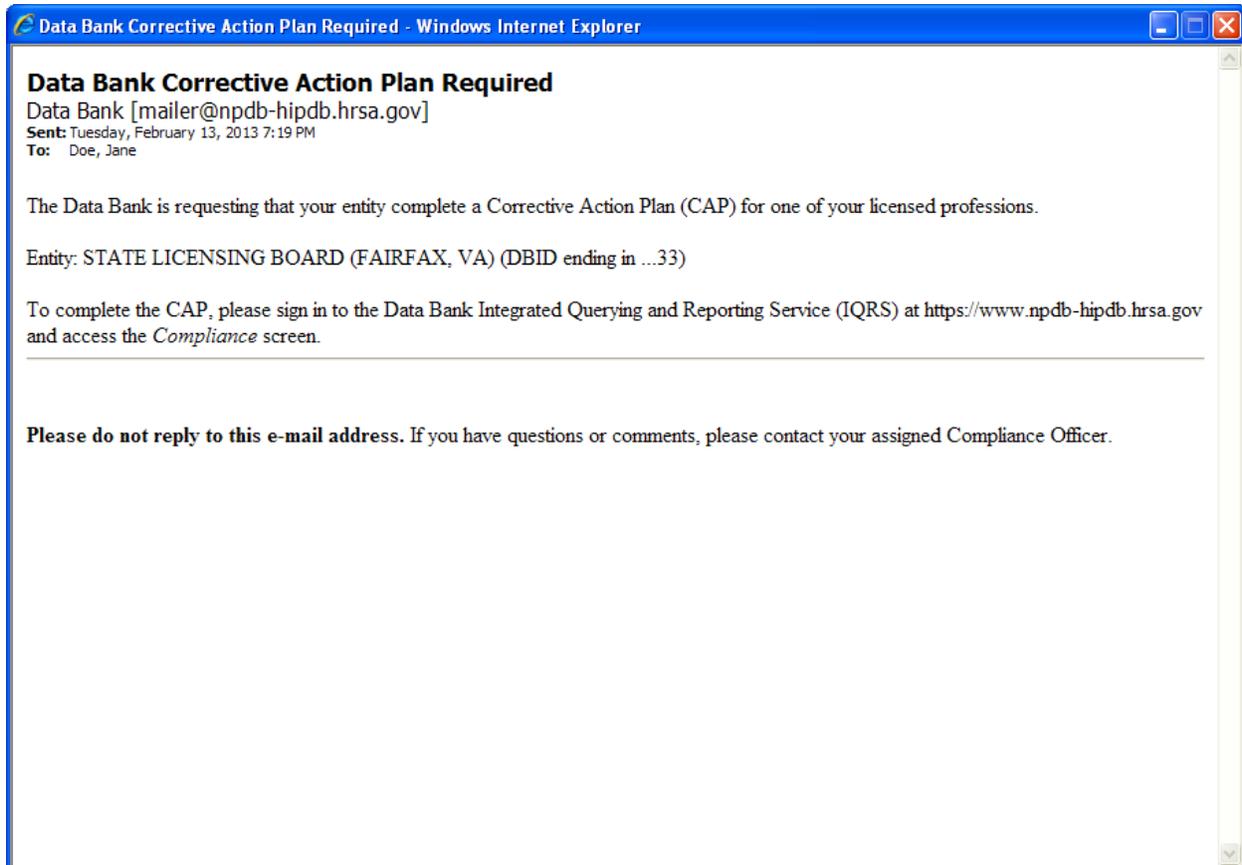
The notification will alert you of the time period that the CAP covers and of the missing reportable actions that must be submitted.

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.”

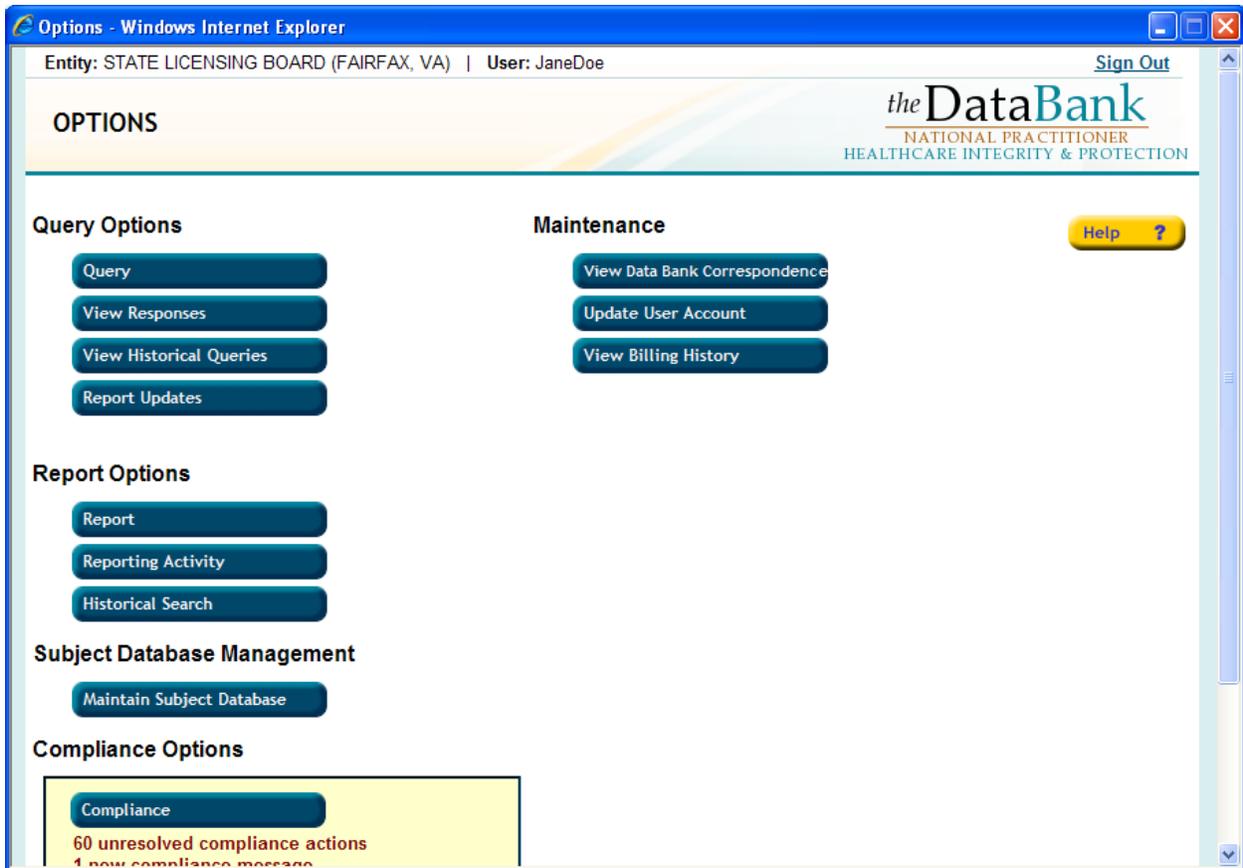
Organizations that do not submit their Corrective Action Plan by the due date, or report missing actions within the specified timeframe, will be publicly listed as “Non-Compliant.”

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.



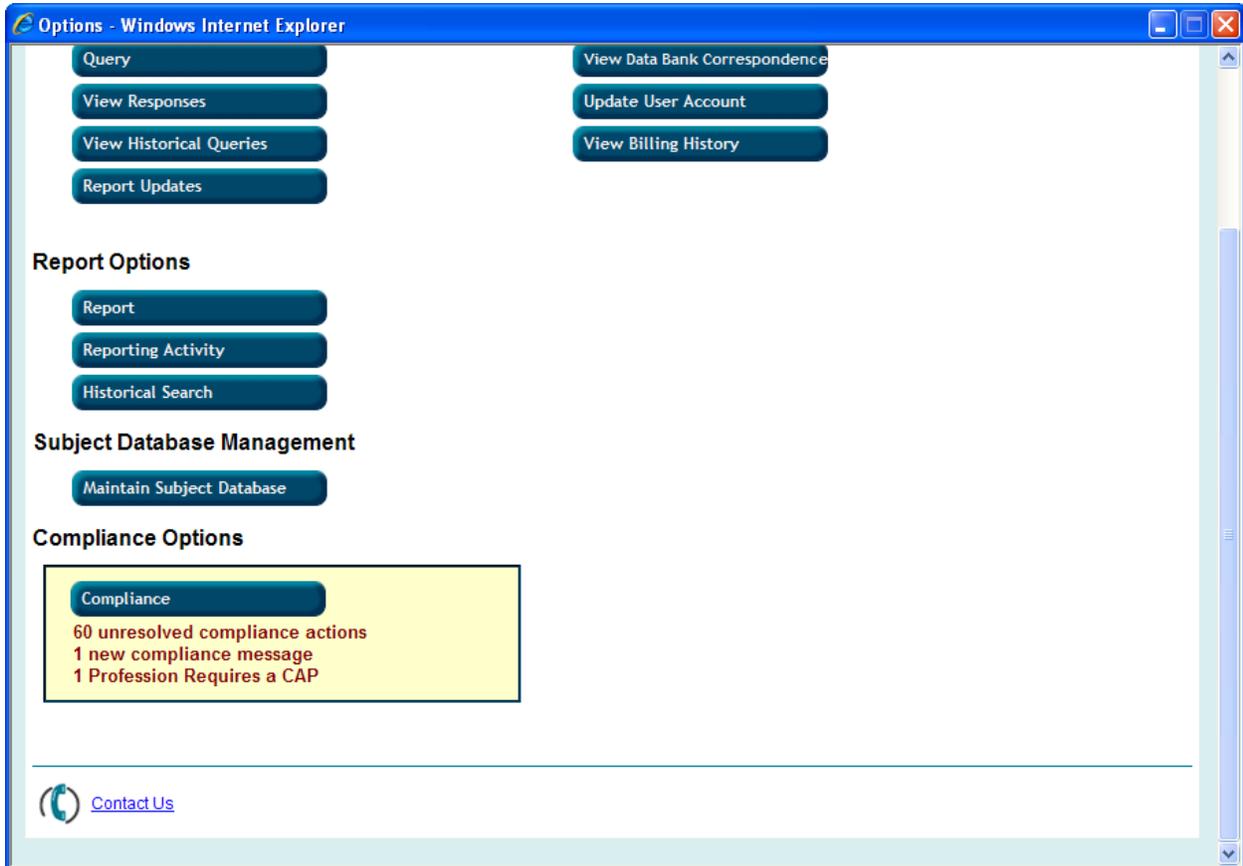
2. Sign into the Data Bank System

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.

Compliance - Windows Internet Explorer

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe Sign Out

COMPLIANCE

the DataBank
NATIONAL PRACTITIONER
HEALTHCARE INTEGRITY & PROTECTION

Compliance Actions
60 unresolved compliance actions

Messages
1 new compliance message

Corrective Action Plan
1 Profession Requires a CAP

Documents
No Documents

Resources

- [Guidebooks](#)
- [What Is Reportable](#)
- [Tutorials](#)
- [Webinars](#)

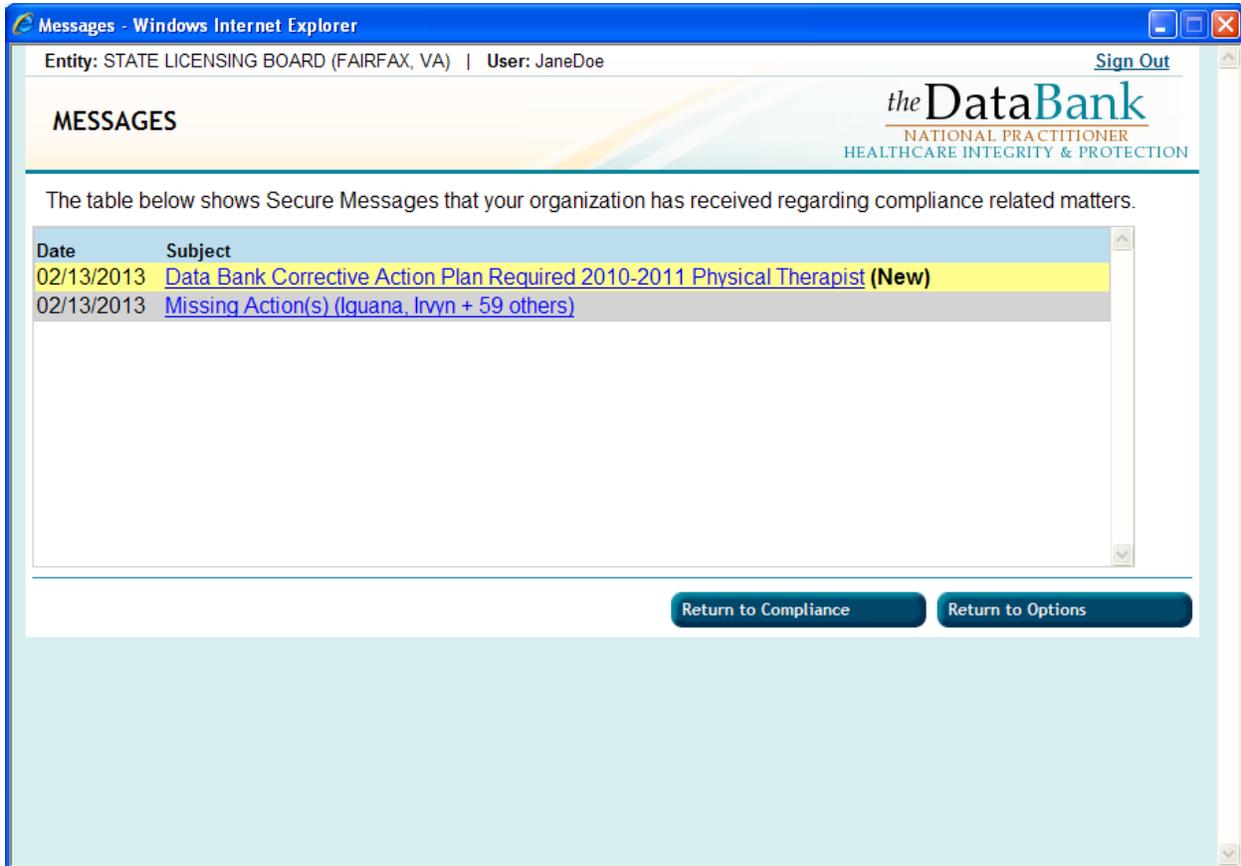
Assigned Compliance Officer

PAT SAMSON
COMPLIANCE OFFICER
(301) 555-8888
Pat_Samson@npdb-hipdb.hrsa.com

[Return to Options](#)

4. Messages Page

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

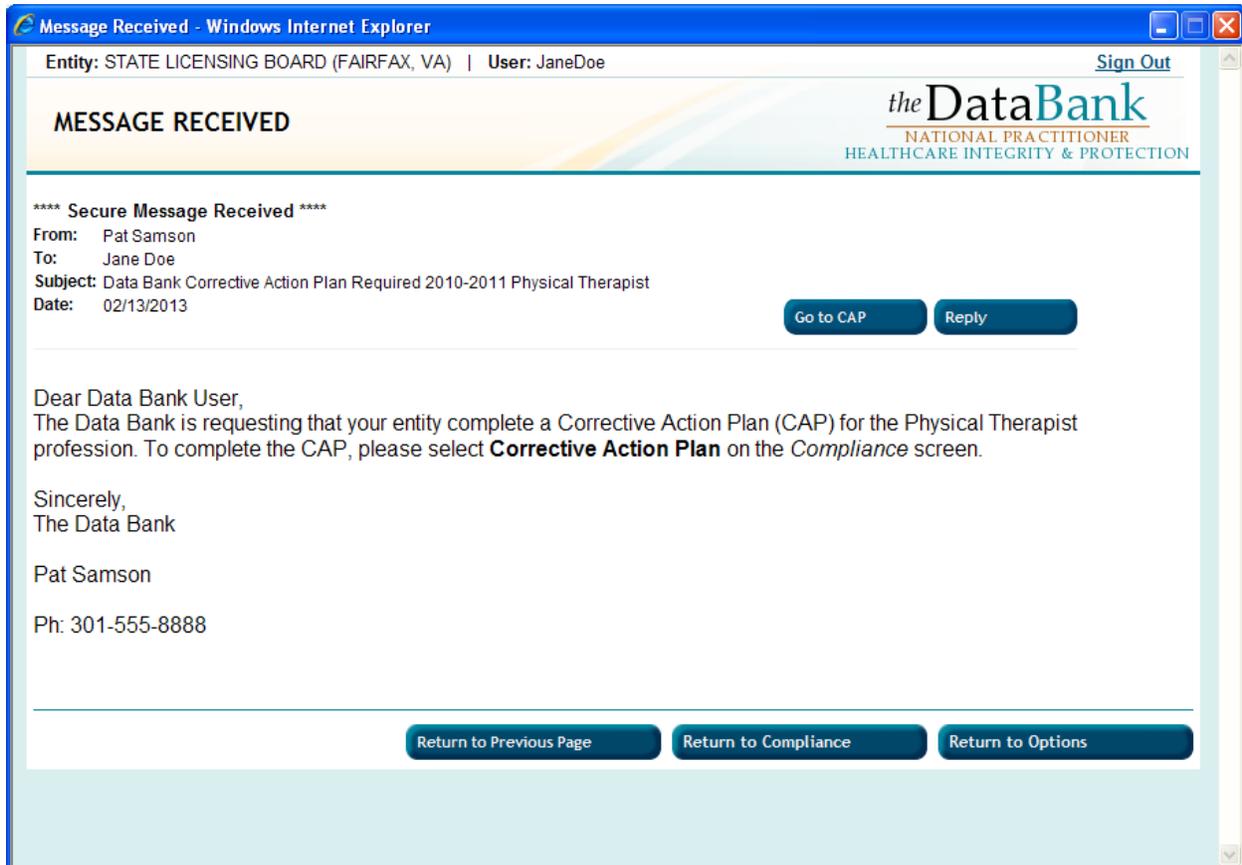


The screenshot shows a web browser window titled "Messages - Windows Internet Explorer". The page header includes "Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe" and a "Sign Out" link. The main heading is "MESSAGES". To the right is the logo for "the DataBank NATIONAL PRACTITIONER HEALTHCARE INTEGRITY & PROTECTION". Below the heading, a text block states: "The table below shows Secure Messages that your organization has received regarding compliance related matters." A table with two columns, "Date" and "Subject", contains two rows. The first row is highlighted in yellow and has "(New)" in bold. The second row is greyed out. At the bottom of the table area are two buttons: "Return to Compliance" and "Return to Options".

Date	Subject
02/13/2013	Data Bank Corrective Action Plan Required 2010-2011 Physical Therapist (New)
02/13/2013	Missing Action(s) (Iguana, Irvin + 59 others)

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 screenshot shows a web browser window titled "Corrective Action Plan - Windows Internet Explorer". The page header includes "Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe" and a "Sign Out" link. The main heading is "CORRECTIVE ACTION PLAN" with the Data Bank logo (NATIONAL PRACTITIONER HEALTHCARE INTEGRITY & PROTECTION). The page contains an introductory paragraph about CAP, a link to "Adverse Licensure Action Comparison Project", and a section for "Physical Therapist" with "Related Correspondence" showing a message from 02/13/2013. Below this, it states the organization has 60 unresolved missing actions for the profession in the time frame January 1, 2010 to December 31, 2011. The form includes fields for "Number of Reports" (with a "Per" dropdown), "Expected Start Date", "Expected Completion Date", and "Additional Notes for the Compliance Officer".

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.”

Corrective Action Plan - Windows Internet Explorer

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe [Sign Out](#)

CORRECTIVE ACTION PLAN

the DataBank
NATIONAL PRACTITIONER
HEALTHCARE INTEGRITY & PROTECTION

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.

The actions covered by each CAP have been reviewed as part of the [Adverse Licensure Action Comparison Project](#).

Physical Therapist

Related Correspondence:

*** Message Received: 02/13/2013 ***

Dear Data Bank User,
The Data Bank is requesting that your entity complete a Corrective Action Plan (CAP) for the Physical Therapist

Your organization has [60 unresolved](#) missing action(s) for this profession in the time frame January 1, 2010 to December 31, 2011 and is required to submit a CAP for the following time frame.

Number of Reports: Per

Expected Start Date:

Expected Completion Date:

Additional Notes for the Compliance Officer:

The certification information will also need to be completed, and then select **Certify**.

and is required to submit a CAP for the following time frame.

Number of Reports: Per

Expected Start Date:

Expected Completion Date:

Additional Notes for the Compliance Officer:

Certification

Our organization certifies that the statements for this Corrective Action Plan 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 Board Representative:

Title of Board Representative:

Phone Number of Board Representative:

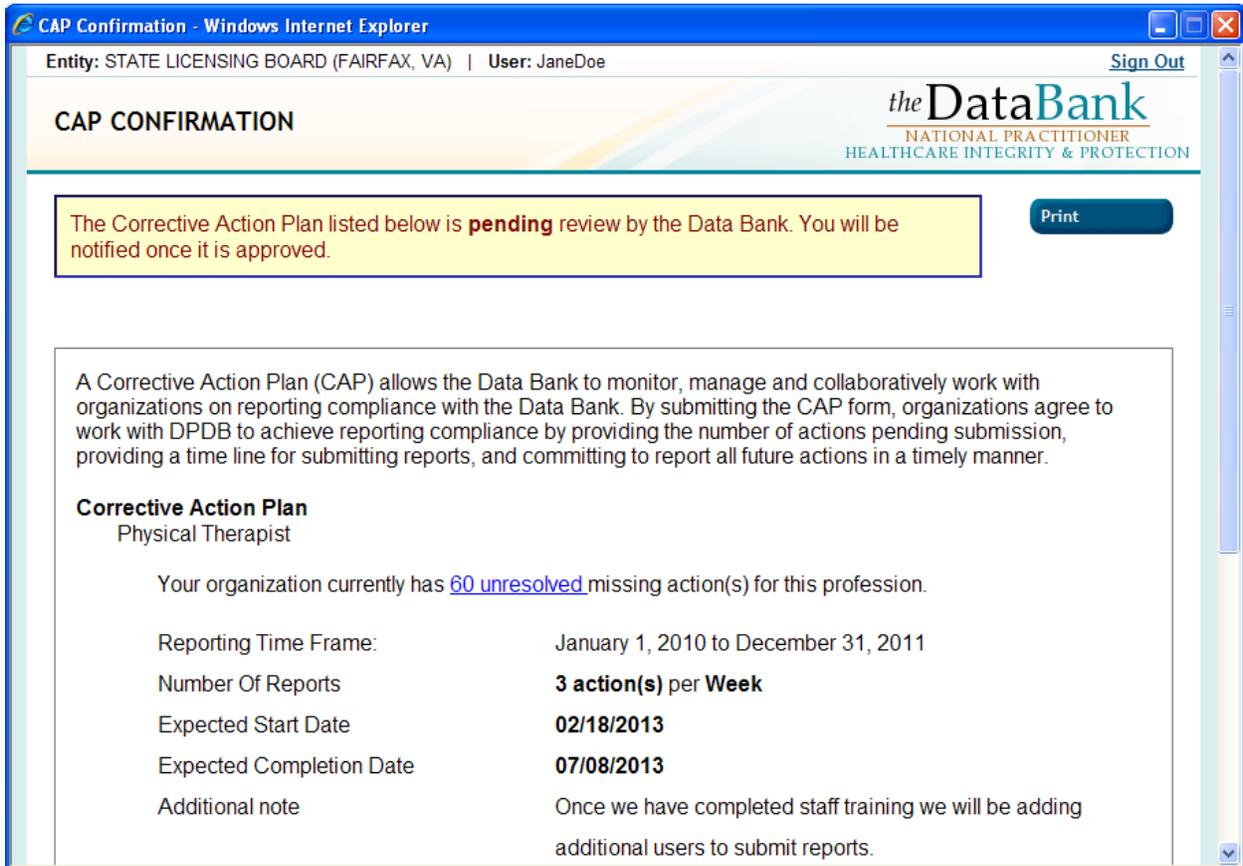
Email Address of Board Representative:

Date:

[Contact Us](#)

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.



The screenshot shows a web browser window titled "CAP Confirmation - Windows Internet Explorer". The address bar shows "Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe" and a "Sign Out" link. The page header includes "CAP CONFIRMATION" and "the DataBank NATIONAL PRACTITIONER HEALTHCARE INTEGRITY & PROTECTION". A yellow box contains a message: "The Corrective Action Plan listed below is **pending** review by the Data Bank. You will be notified once it is approved." A "Print" button is located to the right of this message. Below the message is a text box explaining CAP: "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." The main content is titled "Corrective Action Plan" for a "Physical Therapist". It states: "Your organization currently has [60 unresolved](#) missing action(s) for this profession." Below this is a table of details:

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.

View the Corrective Action Plans for this entity by selecting the **Corrective Action Plans** button.

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 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

[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.

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe [Sign Out](#)

CORRECTIVE ACTION PLANS

The following professions require a Corrective Action Plan (CAP) to assist your organization to meet its reporting requirements.

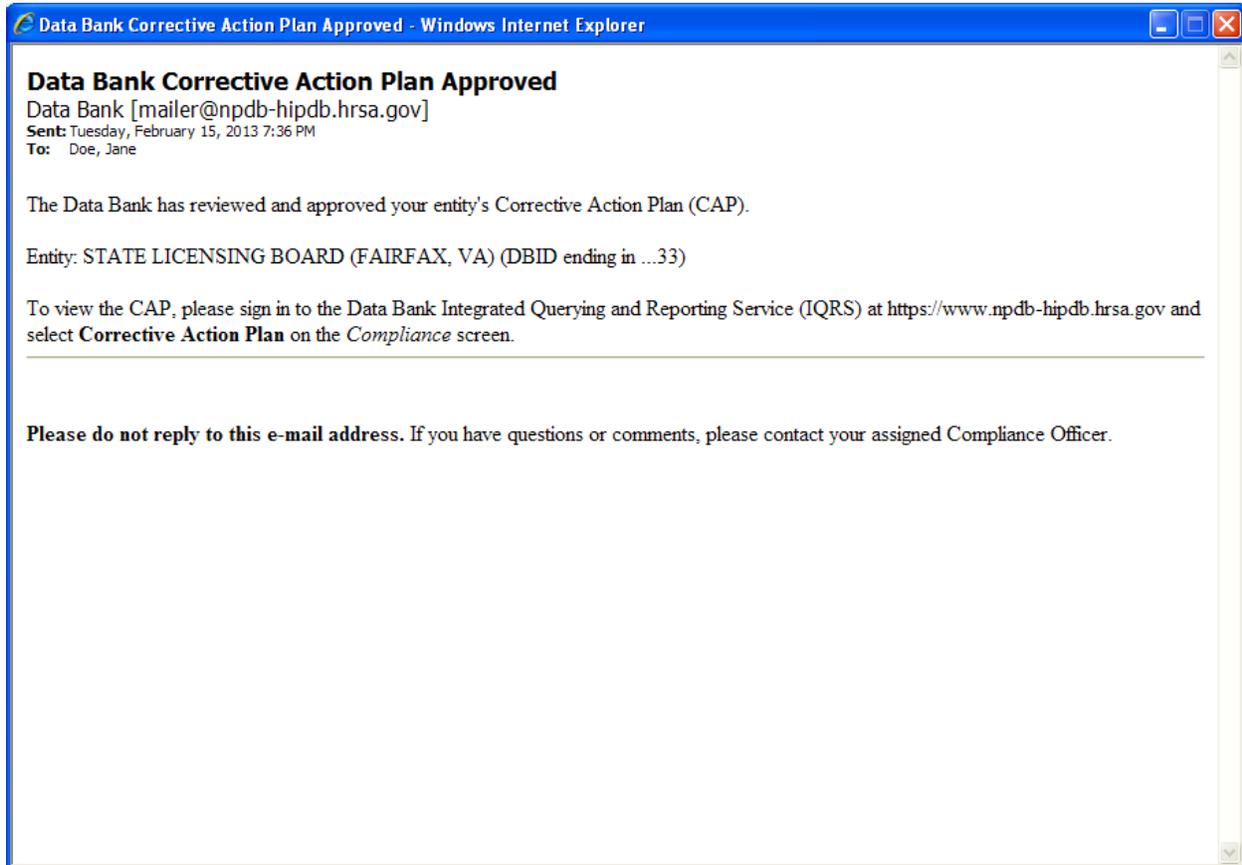
Filter by Profession: Show : [Unresolved](#) | [Pending](#) | [Resolved](#) | [All](#)

Date Notified	Profession	Time Frame	Due Date	Status
02/13/2013	Physical Therapist	2010-2011	02/20/2013	Pending

[Return to Compliance](#) [Return to Options](#)

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.



Now when you return to the *Compliance* page, you will see the approved Corrective Action Plan in the “Documents” section of the *Compliance* page.

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe [Sign Out](#)

COMPLIANCE

the DataBank
NATIONAL PRACTITIONER
HEALTHCARE INTEGRITY & PROTECTION

Compliance Actions
60 unresolved compliance actions

Messages

Corrective Action Plan

Documents
[2010-2011 Physical Therapist CAP \(Unviewed\)](#)

Resources
[Guidebooks](#)
[What Is Reportable](#)
[Tutorials](#)
[Webinars](#)

Assigned Compliance Officer
PAT SAMSON
COMPLIANCE OFFICER
(301) 555-8888
Pat_Samson@npdb-hipdb.hrsa.gov

[Return to Options](#)

On the *CAP Confirmation* page, you will see that the Corrective Action Plan has been approved by the Data Bank.

The screenshot shows a web browser window titled "CAP Confirmation - Windows Internet Explorer". The address bar shows "Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe" and a "Sign Out" link. The page header includes the logo for "the DataBank" with the tagline "NATIONAL PRACTITIONER HEALTHCARE INTEGRITY & PROTECTION". The main content area is titled "CAP CONFIRMATION" and contains a message: "The Corrective Action Plan listed below was **approved** by the Data Bank on 02/15/2013." A "Print" button is located to the right of this message. Below the message is a detailed description of a CAP: "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." The "Corrective Action Plan" section is for a "Physical Therapist" and states: "Your organization currently has **60 unresolved** missing action(s) for this profession." A table of details follows: 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." The "Certification" section states: "Our organization certifies that the statements on the professions specified are true and correct to the best of".

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe [Sign Out](#)

CAP CONFIRMATION

The Corrective Action Plan listed below was **approved** by the Data Bank on 02/15/2013. [Print](#)

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 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.

CAP Confirmation - Windows Internet Explorer

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 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

[Contact Us](#) [Return to Compliance](#) [Return to Table of CAPs](#)

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**.

The screenshot shows a web browser window titled "Compliance - Windows Internet Explorer". The address bar displays "Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe" and a "Sign Out" link. The main content area is titled "COMPLIANCE" and features the "the DataBank" logo with the tagline "NATIONAL PRACTITIONER HEALTHCARE INTEGRITY & PROTECTION".

On the left side, there are three stacked boxes:

- Compliance Actions**: 100 unresolved compliance actions
- Messages**: 1 new compliance message
- Corrective Action Plan**: 1 Profession Requires a CAP

In the center, there is a "Documents" section with a link to "2010-2011 Physical Therapist CAP".

On the right, there is a "Resources" section with links to "Guidebooks", "What Is Reportable", "Tutorials", and "Webinars".

Below the resources is an "Assigned Compliance Officer" section for **PAT SAMSON**, with contact information: "COMPLIANCE OFFICER (301) 555-8888" and email "Pat_Samson@npdb-hipdb.hrsa.com".

A "Return to Options" button is located at the bottom right of the main content area.

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.”

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe [Sign Out](#)

CORRECTIVE ACTION PLANS

The following professions require a Corrective Action Plan (CAP) to assist your organization to meet its reporting requirements.

Filter by Profession: Show : [Unresolved](#) | [Pending](#) | [Resolved](#) | [All](#)

Date Notified	Profession	Time Frame	Due Date	Status
02/14/2013	Physical Therapy Assistant	2010-2011	02/20/2013	Pending
02/13/2013	Physical Therapist	2010-2011	02/20/2013	Unresolved

[Return to Compliance](#) [Return to Options](#)

Here you will see Physical Therapy Assistant with 40 unresolved missing actions.

Corrective Action Plan - Windows Internet Explorer

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe Sign Out

CORRECTIVE ACTION PLAN

the DataBank
NATIONAL PRACTITIONER
HEALTHCARE INTEGRITY & PROTECTION

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.

The actions covered by each CAP have been reviewed as part of the [Adverse Licensure Action Comparison Project](#).

Physical Therapy Assistant

Related Correspondence:

*** Message Received: 02/14/2013 ***

Dear Data Bank User,

The Data Bank is requesting that your entity complete a

Your organization has [40 unresolved](#) missing action(s) for this profession in the time frame January 1, 2010 to December 31, 2011 and is required to submit a CAP for the following time frame.

Number of Reports: Per

Expected Start Date:

Expected Completion Date:

Additional Notes for the Compliance Officer:

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.

The screenshot shows a web browser window titled "Corrective Action Plan - Windows Internet Explorer". The page header includes "Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe" and a "Sign Out" link. The main heading is "CORRECTIVE ACTION PLAN" next to the logo for "the DataBank NATIONAL PRACTITIONER HEALTHCARE INTEGRITY & PROTECTION".

The main content area contains the following text:

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.

The actions covered by each CAP have been reviewed as part of the [Adverse Licensure Action Comparison Project](#).

Physical Therapy Assistant

Related Correspondence:

*** Message Received: 02/14/2013 ***

Dear Data Bank User,

The Data Bank is requesting that your entity complete a

Your organization has [40 unresolved](#) missing action(s) for this profession in the time frame January 1, 2010 to December 31, 2011 and is required to submit a CAP for the following time frame.

Number of Reports: Per

Expected Start Date:

Expected Completion Date:

Additional Notes for the Compliance Officer:

In the same manner as before, complete the certification information and then select **Certify**.

Corrective Action Plan - Windows Internet Explorer

Number of Reports: Per

Expected Start Date:

Expected Completion Date:

Additional Notes for the Compliance Officer:

Certification

Our organization certifies that the statements for this Corrective Action Plan 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 Board Representative:

Title of Board Representative:

Phone Number of Board Representative:

Email Address of Board Representative:

Date:

[Contact Us](#)

The Corrective Action Plan is submitted and is pending review and approval by the Data Bank.

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe [Sign Out](#)

CAP CONFIRMATION

The Corrective Action Plan listed below is **pending** review by the Data Bank. You will be notified once it is approved. [Print](#)

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	

Certification

The compliance officer will review the information and a confirmation will be sent once the review is complete.

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

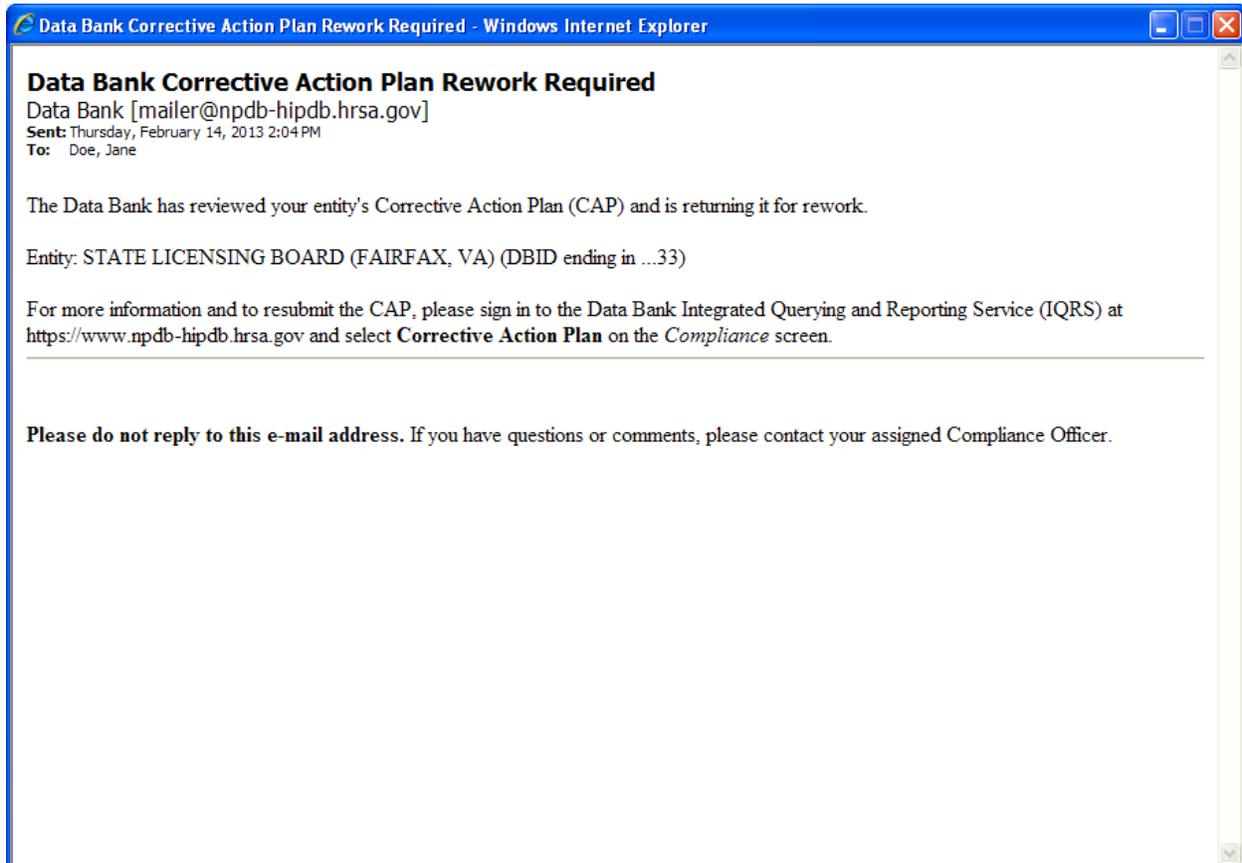
Email Address of Board Representative: janedoe@stateboard.gov

Date: 02/14/2013

[Contact Us](#) [Return to Compliance](#) [Corrective Action Plans](#)

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.



Signing back into the Data Bank system and returning to the *Compliance* page, notice that there is a new message. Select the **Messages** button.

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe [Sign Out](#)

COMPLIANCE

the DataBank
NATIONAL PRACTITIONER
HEALTHCARE INTEGRITY & PROTECTION

Compliance Actions
100 unresolved compliance actions

Messages
1 new compliance message

Corrective Action Plan
1 Profession Requires a CAP

Documents
[2010-2011 Physical Therapist CAP](#)

Resources
[Guidebooks](#)
[What Is Reportable](#)
[Tutorials](#)
[Webinars](#)

Assigned Compliance Officer
PAT SAMSON
COMPLIANCE OFFICER
(301) 555-8888
Pat_Samson@npdb-hipdb.hrsa.com

[Return to Options](#)

On the *Messages* page there will be a new message. Select the new message to view it.

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe [Sign Out](#)

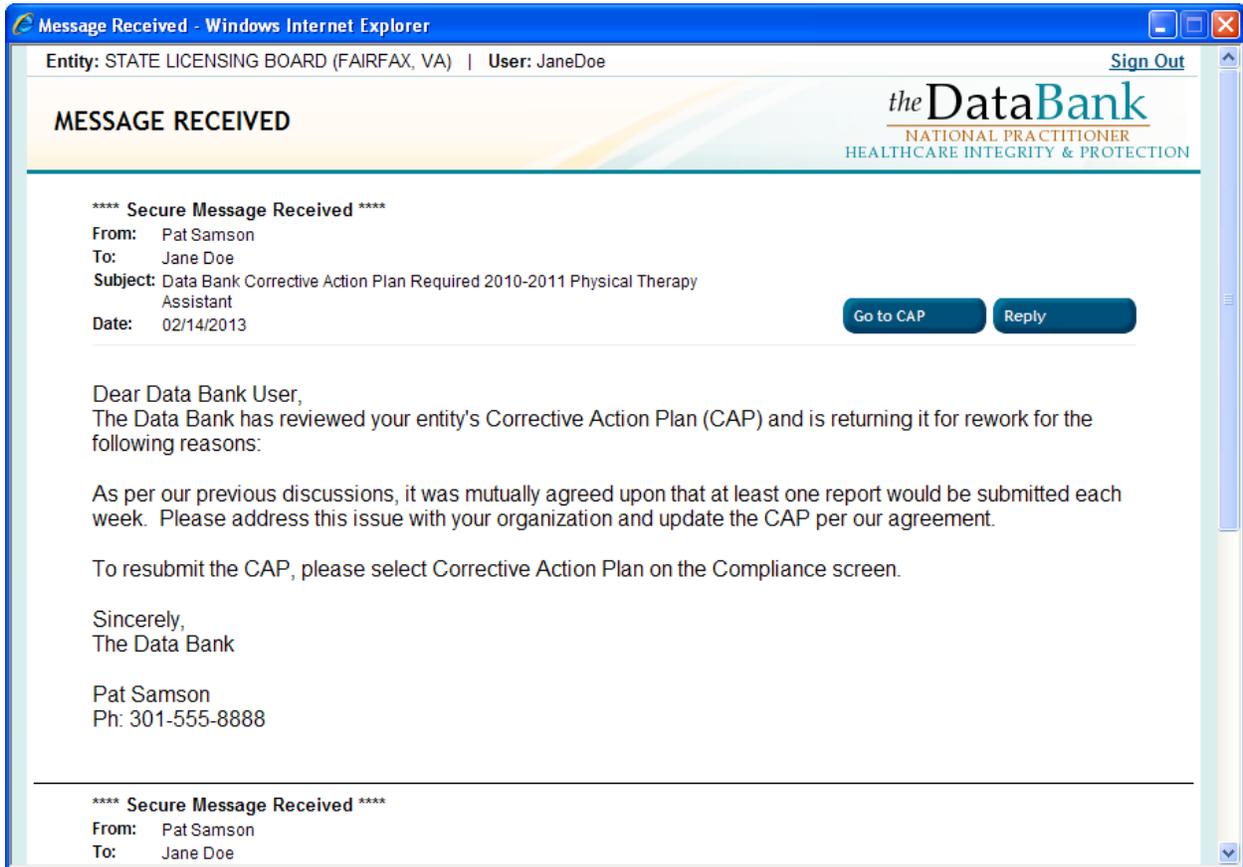
MESSAGES

The table below shows Secure Messages that your organization has received regarding compliance related matters.

Date	Subject
02/14/2013	Data Bank Corrective Action Plan Required 2010-2011 Physical Therapy Assistant (Unread reply received 02/14/2013)
02/14/2013	Missing Action(s) (Kiwi, Karon + 39 others)
02/13/2013	Data Bank Corrective Action Plan Required 2010-2011 Physical Therapist
02/13/2013	Missing Action(s) (Iguana, Irvyn + 59 others)

[Return to Compliance](#) [Return to Options](#)

In the secure message, the compliance officer has asked for a report to be submitted every week instead of every month.



The screenshot shows a web browser window titled "Message Received - Windows Internet Explorer". The address bar shows "Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe" and a "Sign Out" link. The page header includes "MESSAGE RECEIVED" and the logo for "the DataBank NATIONAL PRACTITIONER HEALTHCARE INTEGRITY & PROTECTION".

The main content of the message is as follows:

**** 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

Buttons for "Go to CAP" and "Reply" are visible next to the date.

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.

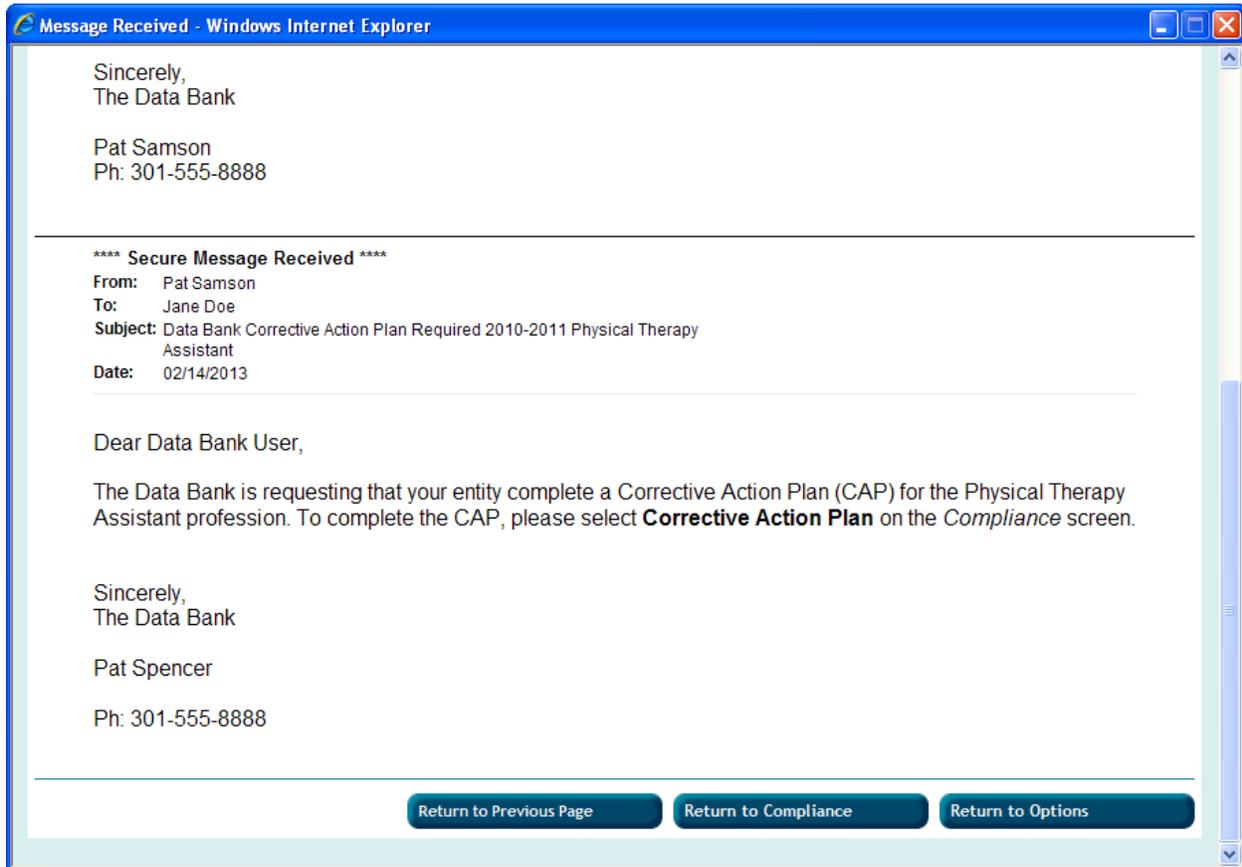
To resubmit the CAP, please select Corrective Action Plan on the Compliance screen.

Sincerely,
The Data Bank

Pat Samson
Ph: 301-555-8888

At the bottom of the message, there is a footer that repeats: **** Secure Message Received ****, From: Pat Samson, To: Jane Doe.

Select **Return to Compliance**.



Back on the *Compliance* page, select **Corrective Action Plan**.

Compliance - Windows Internet Explorer

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe Sign Out

COMPLIANCE

the DataBank
NATIONAL PRACTITIONER
HEALTHCARE INTEGRITY & PROTECTION

Compliance Actions
100 unresolved compliance actions

Messages

Corrective Action Plan
1 Profession Requires a CAP

Documents

[2010-2011 Physical Therapist CAP](#)

Resources

[Guidebooks](#)

[What Is Reportable](#)

[Tutorials](#)

[Webinars](#)

Assigned Compliance Officer

PAT SAMSON
COMPLIANCE OFFICER
(301) 555-8888
Pat_Samson@npdb-hipdb.hrsa.com

[Return to Options](#)

The Corrective Action Plan requiring modification is highlighted. Select the highlighted plan to update the CAP.

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe [Sign Out](#)

CORRECTIVE ACTION PLANS

the DataBank
NATIONAL PRACTITIONER
HEALTHCARE INTEGRITY & PROTECTION

The following professions require a Corrective Action Plan (CAP) to assist your organization to meet its reporting requirements.

Filter by Profession: Show : [Unresolved](#) | [Pending](#) | [Resolved](#) | [All](#)

Date Notified	Profession	Time Frame	Due Date	Status
02/14/2013	Physical Therapy Assistant	2010-2011	02/20/2013	Pending
02/13/2013	Physical Therapist	2010-2011	02/20/2013	Unresolved

[Return to Compliance](#) [Return to Options](#)

On the Corrective Action Plan, update the details to match the increased reporting rate.

The screenshot shows a web browser window titled "Corrective Action Plan - Windows Internet Explorer". The page header includes the entity name "STATE LICENSING BOARD (FAIRFAX, VA)", the user name "JaneDoe", and a "Sign Out" link. The main heading is "CORRECTIVE ACTION PLAN" next to the logo for "the DataBank NATIONAL PRACTITIONER HEALTHCARE INTEGRITY & PROTECTION".

The main content area contains a paragraph explaining the CAP process and a link to the "Adverse Licensure Action Comparison Project". Below this is a section for "Physical Therapy Assistant (Returned for Rework)".

Under "Physical Therapy Assistant (Returned for Rework)", there is a "Related Correspondence" section with a message received on 02/14/2013. The message text is: "Dear Data Bank User, The Data Bank has reviewed your entity's Corrective Action".

Below the correspondence, a message states: "Your organization has 40 unresolved missing action(s) for this profession in the time frame January 1, 2010 to December 31, 2011 and is required to submit a CAP for the following time frame."

The form includes the following fields:

- Number of Reports: 1 Per Month
- Expected Start Date: 03012013
- Expected Completion Date: 07012016
- Additional Notes for the Compliance Officer: (empty text area)

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."

The screenshot shows a web browser window titled "Corrective Action Plan - Windows Internet Explorer". The page header includes "Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe" and a "Sign Out" link. The main heading is "CORRECTIVE ACTION PLAN" with the "the DataBank" logo and "NATIONAL PRACTITIONER HEALTHCARE INTEGRITY & PROTECTION" text.

A paragraph explains that a CAP allows the Data Bank to monitor, manage, and collaboratively work with organizations on reporting compliance. It states that actions covered by each CAP have been reviewed as part of the [Adverse Licensure Action Comparison Project](#).

The form is for a "Physical Therapy Assistant (Returned for Rework)". Under "Related Correspondence:", there is a message received on 02/14/2013: "Dear Data Bank User, The Data Bank has reviewed your entity's Corrective Action".

The form indicates that the organization has [40 unresolved](#) missing action(s) for this profession in the time frame January 1, 2010 to December 31, 2011 and is required to submit a CAP for the following time frame:

Number of Reports:	1	Per	Week
Expected Start Date:	03012013		
Expected Completion Date:	01012014		
Additional Notes for the Compliance Officer:	The CAP has been updated per our agreement.		

As before, add the certification information and select **Certify**.

Corrective Action Plan - Windows Internet Explorer

Number of Reports: Per

Expected Start Date:

Expected Completion Date:

Additional Notes for the Compliance Officer:

Certification

Our organization certifies that the statements for this Corrective Action Plan 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 Board Representative:

Title of Board Representative:

Phone Number of Board Representative:

Email Address of Board Representative:

Date:

[Contact Us](#)

The Corrective Action Plan is now pending, and will be reviewed again for approval by the compliance officer.

CAP Confirmation - Windows Internet Explorer

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe [Sign Out](#)

CAP CONFIRMATION

the DataBank
NATIONAL PRACTITIONER
HEALTHCARE INTEGRITY & PROTECTION

The Corrective Action Plan listed below is **pending** review by the Data Bank. You will be notified once it is approved. [Print](#)

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 Week
Expected Start Date	03/01/2013
Expected Completion Date	01/01/2014
Additional note	The CAP has been updated per our agreement.

Certification

Select **Corrective Action Plans**.

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 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

[Contact Us](#) Return to Compliance Corrective Action Plans

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.

Entity: STATE LICENSING BOARD (FAIRFAX, VA) | User: JaneDoe [Sign Out](#)

CORRECTIVE ACTION PLANS

the DataBank
NATIONAL PRACTITIONER
HEALTHCARE INTEGRITY & PROTECTION

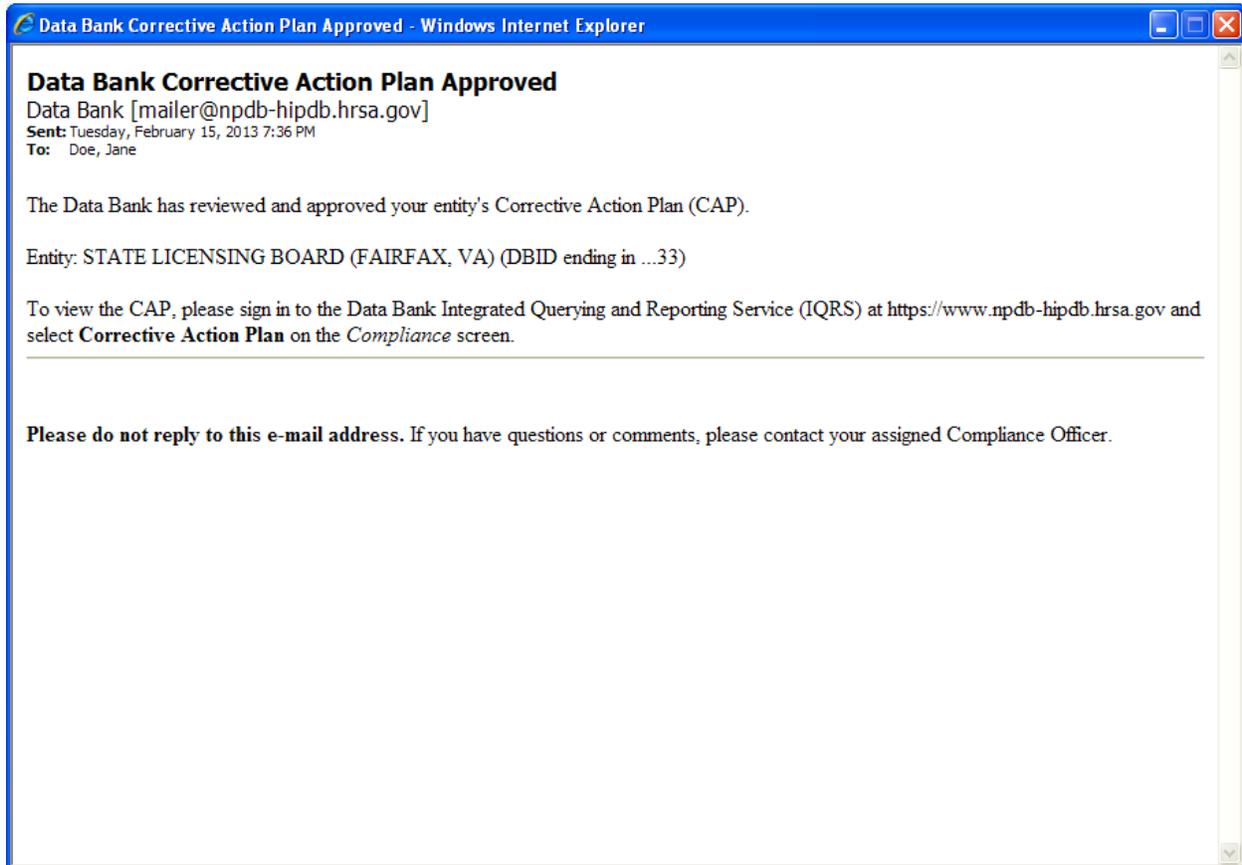
The following professions require a Corrective Action Plan (CAP) to assist your organization to meet its reporting requirements.

Filter by Profession: Show : [Unresolved](#) | [Pending](#) | [Resolved](#) | [All](#)

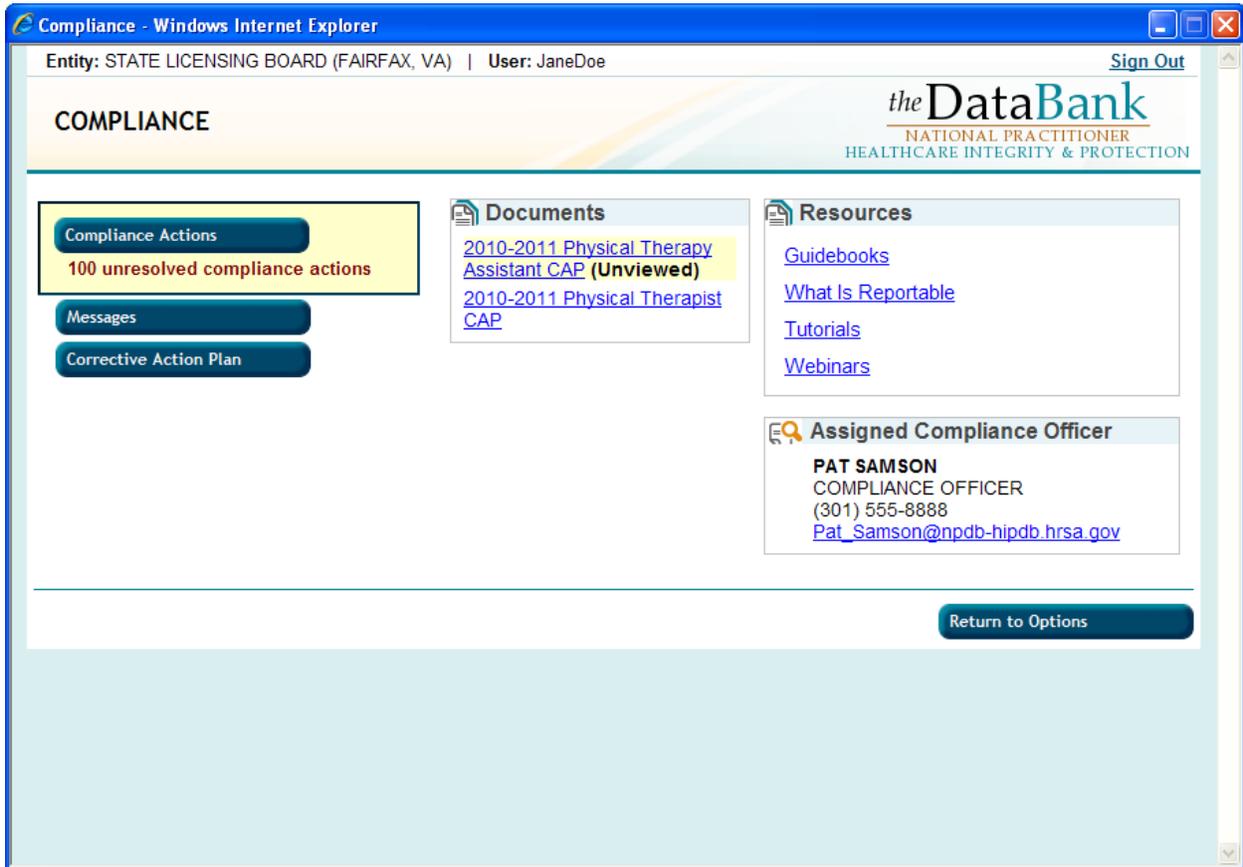
Date Notified	Profession	Time Frame	Due Date	Status
02/14/2013	Physical Therapy Assistant	2010-2011	02/20/2013	Pending
02/13/2013	Physical Therapist	2010-2011	02/20/2013	Unresolved

[Return to Compliance](#) [Return to Options](#)

A short time later you will receive an email stating that the resubmitted Corrective Action Plan was approved by the Data Bank.



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.