

**DUE DATE:** \_\_\_\_\_  
**PROGRAM SPECIALIST FAX #:** \_\_\_\_\_

**Child Care Food Program  
 CORRECTIVE ACTION PLAN**

PAGE \_\_\_\_\_ OF \_\_\_\_\_  
 AUTHORIZATION #: \_\_\_\_\_  
 REVIEW DATE: \_\_\_\_\_

Item #	Corrective Action	Individual Responsible	Implementation Date	Approved by DOH	
				(√) Yes	(√) No
<p><b>Note:</b> CAP must be signed by all Responsible Principals and Individuals (or delegated authority)* (PRINT NAME / SIGN NAME)</p> <p>Owner/Chairman of the Board/Executive Director/President _____ Date _____ Owner/Chairman of the Board/Executive Director/President _____ Date _____</p> <p>Owner/Chairman of the Board/Executive Director/President _____ Date _____ Owner/Chairman of the Board/Executive Director/President _____ Date _____</p>					
<p><b>DOH Use Only</b></p> <p>DOH REPRESENTATIVE _____ DATE _____ <input type="checkbox"/> Approved <input type="checkbox"/> Denied</p>					

## CORRECTIVE ACTION PLAN (CAP) GUIDELINES

### 1) Why are CAPs needed?

- A. To ensure that responsible principals and individuals understand what they are doing wrong and what they need to do to make improvements.
- B. To document the facility's plan for improvement and to provide an opportunity for the plan to be accepted by the Department; or for the Department to request additional information or clarification.
- C. To provide sufficient detail so that during future reviews a determination can be made about whether the facility staff made and maintained the corrective action(s).

### 2) When are CAPs required?

Any time issues of non-compliance are found.

### 3) What information must be included?

- A. The plan must *specifically* address *each* issue of non-compliance noted on the review form or the Notice of Serious Deficiency.
- B. The plan must clearly state how the issue(s) of non-compliance will be corrected, who will correct them, and when they will be corrected (within the specified time-frame). **Note:** The plan should not merely restate the issue(s) with vague assurances, e.g., "we will correctly complete the meal count worksheet" or "management will take greater care to...." It is best to number the items on the CAP with the corresponding finding on the review form or Notice of Serious Deficiency.
- C. Generally, CAPs should be submitted within ten (10) days of the review.

### 4) What will happen once I have submitted the CAP?

- A. Your response will be reviewed, issue by issue, to ensure that you have provided a clear statement of How, Who, and When the issue(s) of non-compliance will be corrected.
- B. If the CAP is approved, the Department will conduct a follow-up review to verify that the CAP has been implemented. The CAP is only approved if all of the item(s) in the CAP are acceptable. For example, if only 4 out of 5 items are approved and acceptable, then the entire CAP must be denied. However, only the item(s) that was not approved and accepted must be resubmitted for approval.
- C. If the CAP is denied, you will be notified and if time remains before the CAP due date you may resubmit the CAP. If no time remains you will either receive a Notice of Serious Deficiency or a Propose to Terminate letter.
- D. If the follow-up review reveals that the CAP was not fully and permanently corrected and implemented, then a Notice of Serious Deficiency or a Propose to Terminate letter will be issued which could result in the facility and owners being terminated from the Child Care Food Program.

\*Responsible Principal and/or Individuals (RPI's) - A principal or individual, whether compensated or uncompensated, who the state agency or FNS determines to be responsible for an institution's serious deficiency.