Spark

Agency Corrective Action Plan (CAP)

Agency Name	
Agency Principle	
Date Initiated	
Prepared By *List the name(s) and title(s) of the person(s) preparing this plan.*	

1. Issue Summary

Provides a snapshot of the concern or compliance issue that led to the development of the CAP.

Section	Details
Nature of the Concern *For example: Elevated CTM/Allegation rates indicating potential breakdown in compliance with care standards, supervision, or staff conduct.*	
Date Identified *The date the concern was first noted.*	
Summary of Allegations or Concerns *Summarize the core issues, incidents, or allegations prompting this CAP.*	
Relevant Data *Include supporting data (e.g., number and types of allegations, patterns, and trends over time).*	

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2. Root Cause Analysis

Identifies underlying issues or system failures contributing to the concern.

Component	Details
Contributing Factors *List underlying causes (e.g., inadequate supervision, staffing issues, training gaps, reporting failures, workplace culture).*	
Method of Analysis *Describe how the root causes were identified (e.g., interviews, incident reviews, staff surveys).*	
Key Findings *Summarize the key insights discovered during the analysis that explain why the issue occurred.*	

3. Corrective Action(s)

Details the steps that will be taken to address each identified problem and prevent recurrence.

Action Item #	Description of Corrective Action	Due Date	Resources Needed	Status

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4. Staff Training and Support (if applicable)

Outlines additional training or support needed to correct the issue and build staff capacity.

Field	Instructions
Training Topic(s) *List the training content areas needed (e.g., mandatory reporting, trauma-informed care).*	
Target Audience *Specify who should be trained (e.g., all staff, only supervisors, new hires).*	
Delivery Method *Note how the training will be delivered (e.g., in-person sessions, online LMS modules, virtual meetings).*	
Timeline *Provide the timeframe for training development, delivery, and completion.*	

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5. Monitoring and Evaluation

Explains how the effectiveness and implementation of corrective actions will be tracked and reported.

Field	Instructions
Implementation Monitoring *Describe the system for ensuring corrective actions are carried out as planned.*	
Metrics to Track *Identify measurable indicators (e.g., reduction in monthly allegations, faster resolution times).*	
Monitoring Schedule *Define how often progress will be reviewed (e.g., weekly, monthly).*	
Reporting Structure *Explain how findings will be documented and reported internally.*	

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6. Lessons Learned and Preventive Measures

Captures takeaways and actions to prevent recurrence of the issue in the long term.

Field	Instructions
Policy or Procedure Updates *Note any changes needed to existing policies to prevent recurrence.*	
Long-Term Monitoring Plan *Describe how long-term compliance will be ensured (e.g., regular audits, automated alerts).*	
Preventive Strategies *Outline proactive strategies to mitigate future risks (e.g., leadership coaching, anonymous reporting tools).*	
Communication and Feedback Loop with Staff *Describe how information will be shared and how staff input will be incorporated moving forward.*	

7. Compliance Assessments and CAP Adherence

The Spark Compliance Team will conduct regular assessments to monitor adherence to this Corrective Action Plan:

- Frequency: Weekly or bi-weekly, depending on the agency's assigned monitoring tier.
- Purpose: To evaluate implementation progress, verify CAP commitments, and ensure risk mitigation.
- Assessment Scope: Staff interviews, file reviews, practice observations, and document audits.
- Follow-Up: Findings will be reported to the Agency Principal and used to inform any required CAP adjustments.

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8. Agreement & Sign-Off

This plan has been discussed and agreed upon by the following parties:

Name	Title	Signature	Date
	Agency Principal		
	Spark Compliance Lead		

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