Quick Reference Guide for Submitting a Plan of Correction (POC) for an Inspection Record

To submit a Plan of Correction (POC) following an inspection, please refer to the *Funeral Industry Professionals Licensing Management System Training Handbook* available on the Department's website. The specific instructions for submitting (adding) a POC in the online Licensing Management System (LMS) can be found in *Section 5.2, Investigations / Inspections – Add Plan of Correction (POC)*.

A submitted POC must include specific details outlining the steps the facility and/or responsible individual have taken or will take to resolve the cited violation(s). The POC should include policies, procedures, amended documentation, and specific information explaining how the violation(s) have been corrected.

Required Sections for the POC Submission

For each violation cited, complete the following sections:

1. **Temporary Solution**
   - This section is only required if a permanent solution to the violation has not yet been implemented.
   - Provide a brief description of the temporary measure taken to address the violation until the permanent solution is implemented.
     - Example: If a contract template cannot be immediately updated in the electronic record system, the facility may manually update the contract in the interim.

2. **Date temporary correction was complete**
   - This section is only required if a permanent solution to the violation has not yet been implemented.
   - Enter the date the temporary solution was implemented.

3. **Permanent Solution**
   - This section must always be completed.
   - Clearly outline the steps that were taken to resolve the violation.
   - Specify who was responsible for completing each action.
     - Be sure to list the person(s) and their title, as well as the action they took.
   - List any documents, policies or procedures that were updated or newly implemented as a result of the correction.
   - If staff training was conducted, provide details:
     - Who conducted the training?
     - When did the training occur?
     - How frequently will follow-up training take place?
   - If applicable, upload any relevant document(s) that reflect the correction.
     - Example: If a price list was listed in the SOD, upload the corrected price list.
   - If applicable, upload any relevant photographic evidence showing the correction of the violation.

4. **Date permanent correction will be complete**
   - This section must always be completed.
   - Enter the date the permanent solution was or will be fully implemented.

5. **Monitoring**
   - This section must always be completed.
   - Provide a detailed explanation of the measures the facility and/or responsible individual has implemented to prevent the violation from recurring.
   - Specify who will be reviewing and monitoring the corrective action(s).
     - Be sure to list the person(s) and their title.
   - Indicate how often a review or audit will take place.

How to Resubmit a Rejected POC for an Inspection Record:

If your POC is rejected by the Department, you must resubmit it along with any additional documentation or information requested by the Department.

When a POC is rejected, the LMS will send an automated email notifying the licensee. While the email will list the violations for which the POC was rejected, it will not include the specific reason for the rejection. To find the detailed rejection reason please log into the LMS. For facilities, log into the Facility Portal to access the corresponding Inspection Record. For individuals, log into the Individual Portal to access the Investigation Record. Within the Inspection or Investigation Record, click the red "Actions" button for each violation marked as having a rejected POC. The Department's reason for the rejection will appear at the top of the Actions window in red font, along with the date the rejection occurred. This date is important to note, as any subsequent rejections will be recorded in the same area, and the date will show what additional information is still needed. After all requested information has been added, click "Save" for each violation and resubmit.

Screenshots on the next few pages will guide you on how to review the rejection details.
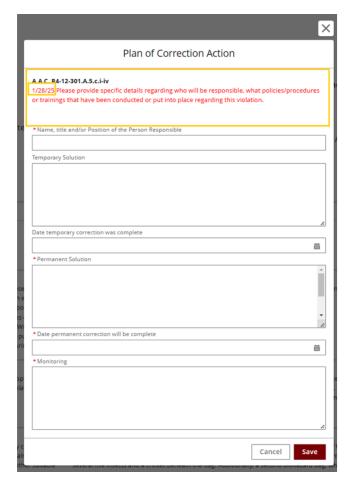
Using the tabs on the left menu, navigate to Inspections (for facilities) or Investigations (for individuals) to locate the Inspection Record that requires the resubmission of a POC:

Select the Inspection Record and click the red "Actions" button for each violation that shows the POC was rejected. The rejection is noted by the red "POC Rejected" text above the cited violation.

If the POC has been rejected once, the detailed reason for the rejection will look similar to this:

If the POC has been rejected multiple times, the detailed reason for the rejections will look similar to this: