

**Name of Guideline: Corrective Action Plan**

**Domain: [INSERT THE DOMAIN]**

**Category: [INSERT THE DOMAIN CATEGORY]**

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**Introduction**

The Corrective Action Plan (CAP) aims to identify, eradicate, and reduce the chances of adverse events recurring in a company or organization. These adverse events may result in any number of ways initiating the corrective action process at this point. It is often required as part of a company or organization's quality management system where it is used to bring about improvements to the organization and its processes by eliminating causes of non-conformities or other undesirable outcomes

Determination of the problem is mostly done through a series of evaluations.

**Description of the Issue**

In this section of the Corrective Action Plan, a clear statement of the problem(s) has to be identified. The description should be clear and accurate. Creating a well-written problem statement will help acclimate everyone towards a solution as well as helping on validating the solution at the end.

Here are some points to remember in order to write a strong problem statement:

* Be concise about the who, what, when, where, and why of the problem.
* Provide context and definitions of unclear terms to better communicate with upper management.
* Include clear validation criteria that will help the team evaluate whether the problem is actually fixed at the end.

**Desired Outcome**

This section of the Corrective Action Plan is where the desired outcome is identified. This component details what will be accomplished by following the action plan. Focusing on the possible outcome as detailed and clear as possible is critical in this step. There are plenty of solutions to a problem.

There are also times when unnecessary delays in the development of a corrective action can occur. This is when agreement can't be reached on the solution to a problem between teams or sponsors involved. This type of situation can be avoided by building a research of alternatives into the plan. Initially, the desired outcome may be less detailed. Also expect a regular update on the desired outcome when critical decisions have been made.

**Action Plan Sponsor**

This section of the plan identifies the overall responsible party for the changes. Depending on the magnitude of the problem, the sponsor may also be responsible for specific action items as well. The following are critical questions you need to ask before identifying the action plan sponsors:

* Who is the owner of this corrective action?
* Is the same person responsible for each step, or does the corrective action need to be routed among multiple individuals (i.e. a team or a department)?
* Who will monitor progress, and who needs to be notified if problems arise with completing the request?
* Who is responsible for verifying the effectiveness of the corrective action and singing off on it?

A more direct method of identifying accountability is for every given problem stated in this Corrective Action Plan. An officer shall be responsible for reaching a specific step of action. The officers in charge shall be held liable for the outcome of the Corrective Action Plan.

In the event that the skills and abilities of the officers in charge shall be lacking in the performance of their tasks, they shall be trained to carry out their expected duties.

**Creating the Solution**

For every given problem, there is a need to create a Simple, Measurable, Achievable, Relevant, and Timely (SMART) solutions that address the root cause. Following the SMART process, the responsible teams would be able to create viable solutions that could be used in the eradication of non-performance, and the other purposes of the Corrective Action Plan.

Specific – solutions should be simplistic. They should clearly define what you are going to do, when you are going to do it, and how.

Measurable – the solutions needs to provide a measurable indicator of success in order to have a tangible evidence after accomplishing your goal.

Achievable – the solutions needs to be realistic. You and your team must possess the skills, resources, abilities, and knowledge to do what needs to be done.

Relevant – the solutions need to be appropriate to a person who will be attempting to achieve it and to the overall goals and objectives of the company.

Timely - solutions should not be open-ended, but set for a specific time. As much as possible, the exact date the goal is to be achieved should be determined. These should be linked to a timeframe to create a practical sense of urgency.

**Implement Solutions/Plan of Action**

This section is also the culmination of all the work in solving the issues identified. It requires careful attention to detail and full focus of the individuals involved in the CAP. Essentially, the plan of action describes what actions are required and how they will be implemented in order to achieve the desired outcome. So unless the problem is simple or routine, there is a need to create a comprehensive plan of action. This involves systematically identifying and documenting the following elements:

**1. The required actions**

Identifying the necessary actions to be taken, as well as the outcome of these actions, is important to achieve the expected results. This is implemented so as to know when they have been carried out successfully.

This part of the action plan can be constructed as follows:

* Stating of the objective
* Listing of the individual goals in the order in which they must be achieved to reach that objective
* Identification of actions required to achieve each goal, making sure the sequence in which they need to be carried out has been determined, and record them
* Definition, in measurable terms, of what a successful outcome will be for each action and add the necessary details to the plan.

Remember that these actions also have to run consecutively when they each use the same resource to its available capacity. On other instances actions can run simultaneously, such as when each member of a team designated is assigned a specific piece of equipment to test and evaluate.

A diagram is also one of the best method of showing your plans This helps you in showing how the actions are made to interact and may reveal areas of possible conflict. The actions done should also be fitted together as much as possible in order to prevent wastage of valuable resources, while allowing some margin for error. To do this, a table time to schedule the actions should be prepared.

**2. Scheduling the actions**

In creating a time schedule for the actions, you must first identify the necessary time required to complete each action. By representing this information on a table or diagram, you can calculate at what stage, relative to the starting time of said action. Each action will then commence and finish, in order to determine the total time required to achieve the objective. Simple plans may be represented by a chart or table which uses bars to show the sequence and duration of the identified actions.

There are also times when more complex plans require a more flexible structure, like a chain diagram or flowchart. These diagrams can help you to arrange the actions in a way which makes best use of the time and other resources allocated. In creating a schedule, it is vital not to be over-optimistic in the time you allow for each action step. Be sure to accommodate delays and unforeseen obstacles to the action plan, particularly those that needs to be completed on time.

**3. The resources required**

Each action have resources required that are precisely defined along a number of parameters, including the type, amount, and the time to when they are required. Each resource is considered individually:

TIME is key resource in certain situations of an action plan. This can be defined by answering some simple questions:

* How much time is available before the deadline for achieving each action/goal/the overall objective?
* Are the timings compatible?
* Whose time is required, in terms of teams or sponsors?
* Will this time be spent within normal working hours (e.g. Monday to Friday)?

MANPOWER may also come from within and outside the company or organization. It can be defined by answering the following questions:

* How many people are required to complete an action?
* What knowledge, skills, and qualities will they need to carry out the actions required?
* Will they be available when they are required?
* When and where will they be required?
* Will they be available for the length of time required to do the action?
* What briefing and training will they need to be able to carry out their specific tasks effectively?

MONEY here can be defined by answering the following questions:

* How much cost will be needed?
* In what form will this take? (e.g. cash, foreign currency, cheque)
* How will it be acquired? (e.g. endowment, loan, grant)
* What will be the source of money? (e.g. profits, local or central government, merchant bank)
* How will it be used and is this compatible with the source? (e.g. if it's a development grant does the plan use it appropriately?)
* When and where will it be required?
* Will it be available when and where required?
* Does it need to be repaid, if so when?
* Will it be recouped, how, and when?

* Will there be any additional cost in using this money? (e.g. interest or handling charges)
* Have the costs of all other resources been included?

MATERIALS includes consumables, raw materials, and equipment in terms of your action plan. Define the material requirements of your action plan by answering the following questions:

* What type of materials are required for the action?
* If capital equipment is required, how will it be financed? (e.g. loan or lease)
* What are the specifications' of the materials required? (e.g. size or quantity)
* What wastage is likely to occur when using said materials?
* In what quantities are they required?
* When and where will they be required?
* Will they be available when they are required for use?
* Will transport be required to move the materials?
* What kind of handling (human and mechanical) will be required?
* Will storage space be required, where, how much, for how long, and will it be available during the course of the action taken?

SPACE can be defined by answering the following questions:

* What kind of space is required?
* How much space will be required?
* Where will the space be at?
* Does it have to be of a particular type or within what particular dimensions?
* How long will the space be required?

INFORMATION forms a part of the manpower resource but it can also be a resource in its own right, for example: renting a mailing list for a direct mail campaign. To define this kind of resource you need to answer the following questions:

* What specific information will be required?
* Is this information available from within the organisation or does it have to be taken from somewhere else?
* Where specifically is it available?
* When and where will it be needed?
* Will it be available when it is required?
* How long will it be needed?

When calculating the resources required to implement a solution, it's vital not to underestimate any of the factors or variables involved. A shortage in these resources could disrupt implementation completely and can possibly incur heavy penalties. Once you have made a complete list of the resource requirements for the actions, draw up a schedule of resources that shows how and when they will be requested, also from whom, when, and where they are needed.

**Plan Monitoring**

Once you have identified the processes, resources, and have taken the necessary actions, it is imperative to develop ways to manage the progress made. There is a need to create procedures to track and monitor the progress for your action plan.

You can track and monitor progress through:

* Automating the corrective action plan processes
* Using management information system and tools
* Periodic reports and analysis
* Following quality control and assurance procedures
* Monitoring and tracking of the CAP’s progress while implementing processes from the action plan is critical to the growth and success of the organization. Doing it right the first time always helps to save quality time, energy, and resources.

This monitoring method will help you and your team determine when the action plan needs to be improved and what changes are needed.

**Evaluation**

This section is important in determining whether the Corrective Action Plan in place is effective at reducing or eliminating causes of non-conformities or other undesirable outcomes in the organization or company.

Focus on steps such as:

* Looking at your problem statement: Compare the result against the criteria you outlined in your problem statement. Can you link the results directly to your original goal?
* Calculating residual risk: A final risk assessment will tell you whether corrective action has lowered risk to an acceptable level.
* Building in future checks: Make sure to add a question to your informal walkthroughs or audits related to the fix.

Corrective action is often seen as just another task to check off the list. But if you’re not doing it effectively, that only means more work (and problems) later on down the line. Ask these five questions of every action to ensure you’re not just spinning your wheels, and are instead taking meaningful action towards a long-term solution.



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1. Point the mouse where you want to edit and delete the sample text and then you can add your text.
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**To Edit Table:**

1. Point the mouse in the table where you want to edit and delete the sample text and then you can add your text.
2. You can adjust the row & column size of the table in the Main Tab: Layout



**To Edit Chart:**

1. Select the chart which is going to edit and then
2. In Main tab: Design -> Edit Data
3. It will open the excel sheet where you can edit the values of the chart

