



Corrective Action Plan (CAP) Instructions

What is a Corrective Action Plan?

Corrective action plans (CAP) consist of documented strategies to diagnose, address, and correct root causes of issues contributing to non-compliance and must include clear, measurable goals and timelines for achieving and maintaining compliance.

States may be required to create and complete a CAP pursuant to ICJ Compliance Policies [Performance Measurement Policy and Standards](#) or [Response to Allegations of Default](#). States are responsible for creating their own CAP using the Commission's approved template below and may request [Training and Technical Assistance](#).

What does the process look like?

When required, CAPs are due within 30 days from the date of notification. The Compliance Committee may review the CAP and provide suggestions or amendments. For CAPs related to Performance Measurement Assessments, progress reports are due monthly. For CAPs related to other compliance matters, progress reports are due quarterly. A final report is due at the end of the CAP.

The Compliance Committee will review progress reports, as well as final reports, and determine if the CAP is complete, requires an extension, or if other compliance action needs to be considered.



The following elements are provided to assist with the development of a CAP:

- I. Problem Statement
 - a. Summarize the finding, frequency or duration of issue, explanation of conditions that led to the compliance issue, and impact.
 - b. If a CAP is required due to a Performance Measurement Assessment, indicate the relevant compliance standard(s).
- II. Success Statement
 - a. Identify the desired outcome of the CAP.
 - b. Specify the actions being taken to prevent the issue(s) from reoccurring.
 - c. Explain how the action being taken will resolve the issue(s).
- III. Establish Timelines
 - a. Indicate the date the CAP will be implemented and the estimated completion date.
 - b. Ensure there are deadlines associated with each step of the plan and that they are adequate to comply with all the processes.
 - c. Specify the monthly or quarterly progress report due dates as determined by the start date of the CAP.

- IV. List individuals accountable for the Corrective Action Plan (CAP)
 - a. Indicate who is responsible for ensuring CAP is followed and who will submit progress reports.
- V. Define the Plan
 - a. Describe the tasks and/or steps developed to resolve the issue (training/education, process development, staff allocation/changes). Consider action items related to the following areas:
 - i. Education – Is it one-time or ongoing?
 - ii. Stakeholder Engagement & Rapport Building
 - iii. Policy & Procedure Adjustments
 - b. For each task, identify the stakeholders, resources, constraints, and metrics used to measure success.
 - c. Determine what, if any, technical and training assistance is needed. See the Commission's [*Training and Technical Assistance Policy*](#) and [*ICJ Request Form*](#).
 - d. Outline how the plan will be implemented.
 - e. Define how resolution will be determined.
 - f. Ensure plan is reviewed and signed by the compact administrator and commissioner, or their voting designee.