**[Insert Department Name]**

**Corrective Action Plan**

**[Insert Project Name]**

Version History

| Version # | Date | Author | Key Differences |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Table of Contents

[1 Introduction 5](#_Toc449435770)

[2 Roles and Responsibilities 5](#_Toc449435771)

[3 Corrective Action Plan Attributes 7](#_Toc449435772)

[4 Corrective Action Plan 8](#_Toc449435773)

Introduction to the Corrective Action Plan Template

Corrective action planning is similar to risk and issue management in that it deals with unanticipated problems encountered during the project lifecycle. However, corrective action planning goes further by incorporating processes to investigate the root cause of problems and processes to prevent the causes from recurring. This is especially necessary for incidents identified during systems development stages, such as product development and testing.

The following template provides the suggested structure for the Corrective Action Plan. The template also provides instructions and descriptions to help the reader understand the planning process and how to complete it.

Template style conventions are as follows:

| Style | Convention |
| --- | --- |
| Normal text | Indicates placeholder text that can be used for any project. |
| [Instructional text in brackets] | Indicates text that is be replaced/edited/deleted by the user] |
| *Example text in italics* | *Indicates text that might be replaced/edited/deleted by the user* |

As you complete the template, please remember to delete all instructional text (including this section) and update the following items, as applicable:

* title page
* version history
* table of contents
* headers
* footers

Update the document to a minor version (e.g., 1.1, 1.2) when minimal changes are made and a major version (e.g., 2.0, 3.0) when significant changes are made.

**Project Sample Library:**

The CA-PMF has a Project Sample Library that contains real-world project artifacts from approved projects that you can reference to help you complete CA-PMF templates. Visit the [CA-PMF website](http://capmf.cio.ca.gov/) to access the Project Sample Library.

# Introduction

[Generally, the Corrective Action Plan structure supports the following activities:

* State the problem in specific and concrete terms and determine root causes to reduce recurrence
* Determine and convey the desired outcome, or what will be accomplished
* Identify the responsible party (team owner) for the changes
* Ascertain and document the steps required to accomplish the change
* Implement the corrective action

See the Corrective Action Plan section of the CA-PMF Planning chapter for more information.]

# Roles and Responsibilities

[Describe which roles are going to be responsible for performing the various activities described in the Corrective Action Plan and the relationship of all involved.]

*Example:*

| Name | Role | Responsibility |
| --- | --- | --- |
|  | *Project Sponsor* | * *Provides the necessary support to the Project Manager to ensure that state and vendor resources are available to support the execution of the Corrective Action Plan.*
* *Provides the necessary support to ensure that state and vendor resources commit to the corrective action efforts.*
* *Monitors the efforts to implement corrective action and provides leadership to focus resources on resolving open unplanned issues.*
* *Provides guidance on escalated issues and assists in their resolution.*
 |
|  | *Project Manager* | * *Tracks progress of the corrective action effort by reviewing status reports and communications with team members.*
* *Escalates identified corrective action issues that are beyond the Project Manager’s span of control and decision authority.*
* *Ensures the entire project team, state and vendor, are following the Corrective Action Plan.*
* *Ensures adherence to all other project processes that interact with or provide input to the corrective action effort.*
* *Ensures there are sufficient resources to execute corrective action activities in a timely manner.*
* *Assigns activities to owners.*
 |
|  | *Issue and/or Risk Manager (if necessary)* | * *Reviews the Risk Register, Issue Log and/or reports.*
* *Responsible for understanding the possible effects and impacts of identified corrective actions.*
* *Ensures the Project Manager has a sound plan for implementing corrective actions.*
 |
|  | *Project planning team* | * *Reviews the corrective action work being performed.*
* *Verifies the work complies with the corrective action approach described in the plan.*
* *Shares responsibility for identifying risks and risk events in a timely manner to mitigate the risk and minimize impact to the project.*
 |
|  | *IT Product Owner* | * *Responsible for management, administration, and delivery of assigned corrective actions.*
* *Shared responsibility with the Risk Manager and the Project Manager for ensuring that corrective actions are organized, managed, and controlled, and that risks are identified and mitigated in a timely manner to minimize impact to the project.*
* *Provides status updates to Risk Manager and Project Manager.*
 |
|  | *Business Owner* | * *Provides guidance, feedback and support to the Project Sponsor and Project Manager for corrective actions.*
* *Advises Project Sponsor and Project Manager on possible Stakeholder impacts of planned corrective actions.*
 |

# Corrective Action Plan Attributes

[The Corrective Action Plan template provided in the next section contains the following attributes. Attribute descriptions are provided to help understand usage.

* **Corrective Action Plan ID –** A unique ID number used to identify and track each corrective action.
* **Associated Issue and/or Risk ID –** List any associated Issue Log or Risk Register ID numbers.
* **Action Plan Title:** This cell should contain a brief title describing the action plan.
* **Corrective Action Plan Owner –** List the person responsible for the action plan activities. This may be the person who will manage the action plan activities or a lead person on a team responsible for implementing the action plan.
* **Priority –** List whether the action plan should be implemented as a critical, high, medium, or low priority. This tells the project team where the action plan should be on the list of priorities.
* **Project Change Request Necessary (Yes/No)** – This cell answers the question: Does this action plan require a project change request?
* **Expected Action Plan Implementation Date –** List the estimated date for implementing the action plan.
* **Actual Date Implemented –** Once the action plan is implemented and complete, list the date of actual completion to document any delay or acceleration of the implementation.
* **Issue or Problem Definition –** Provide a specific and comprehensive description of the issue or problem that requires an action plan. The description should focus on what the issue or problem is, but not on what the solution might be.
* **Root Cause Evaluation –** List the specific root cause information resulting from investigation and analysis of the issue or problem.
* **Action Steps –** List the corrective actions and activities taken to eliminate the issue or problem and prevent recurrence.
* **Alternative Considered–** If applicable, list the options considered during action planning activities.
* **Improvement Metric and Timeframe –** Describe the expected metrics for improvement once the action plan is implemented and the expected timeframe for measuring the improvement.
* **Implementation Verification –** Describe how implementation of the action plan will be monitored and then verified as complete. Also, list who will perform the monitoring and verification.]

# Corrective Action Plan

[Sample Corrective Action Plan. Use one template per incident. Change the plan template to suit project needs.]

| General Information |
| --- |
| Corrective Action Plan ID:  | 156 |
| Associated Issue or Risk ID:  | Issue #234 |
| Action Plan Title:  | Planning did not include adequate instructions/specifications for product testing |
| Corrective Action Plan Owner:  | Technical and QA Managers |
| Priority (Critical, High, Medium, Low):  | High |
| Project Change request Necessary (Yes / No):  | Yes |
| Expected Action Plan Implementation Date: | 09/01/16 |
| Actual Date Implemented:  |  |

| Corrective Action Information |
| --- |
| Issue or Problem Definition (be specific and quantify if possible):During the Planning Process Phase, product testing instructions/specifications were not detailed enough to support product testing. Discovered during the product design stage, the test plan will not adequately perform product testing activities once the testing stage begins.  |
| Root Cause Evaluation:After review, the Test and QA Managers were not yet assigned to the project and did not participate in planning activities for product testing. Participants produced a test plan to the best of their abilities. Test plan was not adequately reviewed by anyone with expertise necessary to evaluate the test plan. |
| Action Steps:Engage the Test and QA Managers to evaluate the current test plan, and provide recommendations for improvement to the Executive Steering Committee (ESC). Once recommendations are approved by the ESC, the test plan will be revised and implemented in time to perform the testing activities.  |
| Alternatives Considered (if applicable):An alternative was to contact an independent external vendor to review and revise the test plan.  |
| Improvement Metric and Timeframe:The test plan recommendations are expected to reflect complete testing for all product design components and requirements as described in the documents named System Requirements Specification (SRS), System Design Specification (SDS), and traceability matrix. These expectations will be measured by the Project Manager and Technical Manager once the test plan update is completed by the Test and QA Managers. |
| Implementation Verification (Monitoring and Evaluation):The Project Sponsor and ESC will monitor action plan progress through bi-weekly status reports and meetings, as well as through follow-up conversations with the managers involved. Once the new test plan is reported as complete, the ESC will confirm if it considers the action plan implementation complete.  |