



Interstate Commission  
for Adult Offender Supervision  
**ICAOS Policies**

**Policy Number:** 02-2015  
**Issued:** 2015-09-01  
**Revised:** 2017-06-20

## **CORRECTIVE ACTION PLANS 02-2015**

### **I. Authority**

The Executive Committee is vested with the power to adopt a policy on behalf of the Interstate Commission during periods when the Interstate Commission is not in session. The Executive Committee oversees the day-to-day activities managed by the Executive Director.

### **II. Applicability**

This policy applies to Commissioners, Compact Administrators, Deputy Compact Administrators, State Legal Representatives, and all persons engaged in the business of the Compact.

### **III. Policy**

When dealing with matters of rule compliance the Executive Committee may require State or US Territory to implement an approved corrective action plan. The purpose of requiring a corrective action plan is to correct and prevent rule violations.

### **IV. Guidelines**

- A. When a State or Territory is required by the Executive Committee to submit a corrective action plan the entity must submit the written corrective action plan to the national office within 30 days.
- B. All extensions must be approved by the Executive Committee.
- C. When the national office receives a corrective action plan it shall be presented to the Executive Committee for approval.
- D. All corrective action plans shall be submitted in writing and contain the following information:
  1. A problem statement;
  2. A description of the desired outcome;
  3. The implementation start date;
  4. For each task the plan must identify the person responsible, the stakeholders, resources, constraints, due date and the metrics used to measure success;
  5. The corrective action plan must be signed by the Commissioner

E. During the implementation quarterly progress reports are required using the format in the attached example;

F. When the plan is fully implemented, the Commissioner of the submitting jurisdiction must notify the national office. Once notified the national office is required to obtain the approval of the Executive Committee.

## **Corrective Action Plan Template**

### **I. State the Problem**

- a. Define the issue, its cause, frequency and impact.
- b. State what should occur and how the problem will be fixed.

### **II. List individuals accountable for the Corrective Action Plan (CAP)**

- a. Who is responsible for ensuring CAP is followed.
- b. Who is responsible for reporting on the CAP.

### **III. Establish Timelines**

- a. Indicate the date the CAP will be implemented
- 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 quarterly progress report dates.

### **IV. Define the Plan**

- a. Describe the tasks and/or steps developed to resolve the issue.
- b. For each task, identify the person responsible, the stakeholder, resources, constraints, due dates and metrics used to measure success.
- c. Determine what, if any, technical and training assistance is needed.
- d. Outline how the plan will be implemented and ensure it is signed by the Commissioner.

### **V. Identify the Resolution**

- a. Specify the actions being taken to prevent the issue(s) from reoccurring.
- b. Justify how the action being taken will resolve the issue(s).
- c. Explain how the resolution of the issue(s) will be determined.

# CORRECTIVE ACTION PLAN (Sample)

I. STATE THE PROBLEM:
II. LIST INDIVIDUALS ACCOUNTABLE FOR CAP:
III. ESTABLISH TIMELINES:
IV. DEFINE THE PLAN:
V. IDENTIFY THE RESOLUTION:

Task	Responsible Party	Stakeholders	Resources	Constraints	Metric	Due Date	Percent Complete	Comments