
Unit 7: Developing a Corrective Action Program

Objectives

At the end of this unit, you should be able to:

1. Explain the purpose of a Corrective Action Program (CAP).
 2. Explain how a CAP benefits and supports a continuity program.
 3. Identify the requirements for corrective action.
 4. Propose a CAP for your agency.
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Scope

- Unit Overview and Objectives
 - Purpose of a CAP
 - Developing an Effective CAP
 - Implementing a CAP
 - Summary and Transition
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Time Plan

The suggested time plan for this unit is shown below.

Topic	Time
Unit Overview and Objectives	5 minutes
Purpose of a CAP	10 minutes
Developing an Effective CAP	20 minutes
Implementing a CAP	45 minutes
Summary and Transition	5 minutes
Total Time	1 hour 25 minutes



**Unit 7: Developing a Corrective
Action Program**



A Corrective Action Program (CAP) is developed to support and enhance an effective continuity program. The topics covered in unit 7 are:

- The purpose of a CAP.
- Developing an effective CAP.
- Implementing a CAP.

Unit Objectives

- Explain the purpose of a CAP.
- Explain how a CAP benefits and supports a continuity program.
- Identify the requirements for a CAP.
- Identify important planning considerations for a CAP.
- Propose a CAP for your agency.



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Purpose of a CAP

An effective CAP ensures that:

- Requirements for corrective actions are addressed.
- Expertise is available for corrective actions.
- All continuity activities are managed and monitored.
- Corrective actions are implemented into the plan.
- The continuity program evolves and improves.



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Benefits of a CAP

- Promotes continual continuity program improvement
- Stimulates preemptive planning to avoid future failures
- Delineates clear lines of communication and responsibility by publicizing points of contact
- Encourages open dialog to identify program weaknesses



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Developing an Effective CAP

Requirements for corrective action will surface through test, training, and exercise (TT&E) events or following an actual continuity event.



Through this continual process, new requirements are identified, and new solutions are implemented.



Developing an Effective CAP

What activities are needed to develop an effective CAP?



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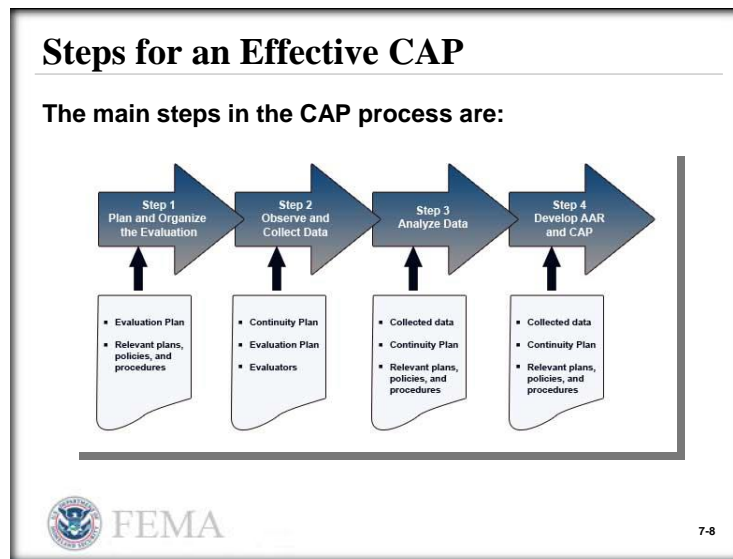
Developing an Effective CAP

- Plan and organize the evaluation.
- Gather information from other continuity programs to benefit from successful experiences and learn from failures.
- Focus on the functional areas of the continuity program.
- Add functional area experts to the CAP team.
- Enlist senior leaders' support and involvement.
- Document development decisions and outcomes.
- Establish acceptance criteria for corrective actions.



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The main steps in the CAP process are:

Step 1: Plan and organize the evaluation based on:

- The Continuity Evaluation Plan.
- Relevant plans, policies, and procedures.

Step 2: Observe and collect data based on the:

- Continuity Plan.
- Evaluation Plan.
- Evaluator feedback.

Step 3: Analyze data based on the:

- Data collected.
- Continuity Plan.
- Relevant plans, policies, and procedures.

Step 4: Develop an after-action report and CAP based on the:

- Data collected.
- Continuity Plan.
- Relevant plans, policies, and procedures.

Step 1: Plan and Organize the Evaluation

Planning and organizing the evaluation involves:

- Appointing a lead evaluator.
- Defining the Evaluation Plan.
- Finalizing the Evaluation Plan.
- Conducting an evaluator briefing.



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Step 2: Collect Data

When collecting and analyzing data, be sure to record:

- The function involved.
- The action that occurred and who took the action.
- When the action took place.
- Why the action took place or the decision was made.
- The result of the action.



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Step 3: Analyze Data

Context for analyzing data:

- The Continuity Plan's Concept of Operations
- Directives, policies, and procedures for continuity operations
- Demonstrated strengths, as well as areas for improvement
- Chronological narrative of operations



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Step 4: Develop AAR and CAP

Evaluators develop a chronological narrative of the decisions, actions, and outcomes of continuity operations focusing on:

- Execution of the Concept of Operations.
- On-time, acceptable performance of essential functions.
- Adequacy of ERG training or cross-training.



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Step 4: Develop AAR and CAP

Performance factors included in the after-action report:

- Resource shortcomings that inhibit the ability to perform identified essential functions
- Coordination of agency personnel to perform tasks and support functions
- Whether a need exists for additional plans, policies, and procedures to support essential functions



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Step 4: Develop AAR and CAP

Development of the CAP follows acceptance of the AAR.
The CAP should include:

- Actions and recommendations presented in the AAR.
- Individuals responsible for taking corrective action.
- Timelines for completing each corrective action.



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Steps for the CAP Process

Step 1: Plan and Organize the Evaluation

Appoint a Lead Evaluator	<p>Early in the exercise process—or before an incident requiring Continuity Plan activation occurs—the Planning Team Leader should appoint a lead evaluator to oversee all facets of the evaluation process. The lead evaluator participates fully as a member of the planning team and should be a senior-level individual who is familiar with:</p> <ul style="list-style-type: none"> ▪ The agency’s Continuity Plan. ▪ Operations related to the agency’s essential functions. ▪ Interagency and/or interjurisdictional coordination issues related to continuity operations. <p>The lead evaluator must have the management skills needed to oversee a team of evaluators during extended operations, and the knowledge and analytical skills to undertake a thorough and accurate analysis of all continuity operations.</p>
Define Evaluation Requirements	<p>Before assembling an evaluation team, the planning team must define evaluation requirements by considering the exercise scope and objectives (if evaluating an exercise) or continuity operations within each function (if evaluating actual continuity operations). The final evaluation plan should be developed based on the evaluation requirements.</p>

Step 2: Observe and Collect Data

Collect Data	<p><u>Collecting data</u> requires detailed observation of operations, as well as feedback from the exercise players (if evaluating an exercise), ERG personnel, and/or the agency leader. It is critical for evaluators to keep an accurate written record of what they observe and the feedback that they receive from key personnel. Data should also be collected from participating personnel following the exercise or operations. Finally, any supplemental data that are crucial to fill in information gaps (e.g., records produced by an automated system) should be collected.</p>
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Step 3: Analyze Data

Analyze Data	<p><u>Analyzing data</u> involves consolidating the data collected and transforming them into narratives that address demonstrated strengths and areas for improvement. Continuity operations require comprehensive data evaluation.</p>
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Steps for the CAP Process (Continued)**Step 4: Develop AAR and CAP**

Develop AAR and CAP

Developing the AAR and CAP involves developing a chronological narrative of the decisions, actions, and outcomes of continuity operations. The narrative should focus on:

- How well the ERG executed the Continuity Plan's Concept of Operations.
- Whether the ERG performed the essential functions to an acceptable level.
- Whether staff training or cross-training was adequate.

Performance factors should be included in the AAR, which should also specify whether additional plans, policies, and/or procedures are necessary to support the performance of the agency's essential functions.

After the AAR is accepted, the Corrective Action Plan should be developed. The Corrective Action Plan should:

- Identify actions necessary to address areas needing improvement and the associated recommendations.
- Assign responsibilities for taking corrective actions to individuals or groups.
- Include the timeline for each corrective action.

Corrective actions should be implemented, tested, and validated through exercises.

Task 1: Implementing CAP

Explain CAP to those affected by the program to ensure that they understand it. Consider:

- Senior leaders.
- Other managers.
- Continuity personnel.
- Other experts, as required.



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Task 2: CAP Concept Document

Develop and distribute a concept document. The concept document:

- Explains the program.
- Outlines the acceptance criteria.
- Describes the process to be followed.
- Defines responsibility for corrective action.



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Managing a CAP

The tasks required for CAP management are:

- Checking on progress and revising the plan, as necessary.
- Monitoring successes.
- Conducting periodic assessments.
- Maintaining records.



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Managing a CAP

The success of a CAP correlates with:

- The number of requirements identified.
- The number actually addressed.

Keep good records to verify whether improvements in the continuity program are a result of the corrective action process.



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Activity: Corrective Action Planning

Purpose: The purpose of this activity is to give you an opportunity to practice corrective action planning.

Instructions: Follow the steps below to complete this activity.

1. Work in your table group to complete this activity.
2. Read the scenario below, and answer the questions that follow:

Your agency has recently conducted an exercise. The after-action report highlights the following issues:

- The call-down roster was not current.
- The Continuity Program Manager was on temporary duty. The delegation of authority delegated an individual who retired 2 months ago.
- Cell phones did not work in the continuity facility.
- Some vital records were not up to date.
- The continuity facility had supplies for only 3 days of operations.
- Headquarters badges did not work for access to the continuity facility.

What are the issues, in order of priority, for continuity operations?

How will you resolve each issue?

3. You will have 15 minutes to complete this activity.
 4. Be prepared to present and discuss the decisionmaking process behind your prioritized list of the continuity site issues.
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Summary and Transition

This unit covered:

- Corrective action planning.

Unit 8:

- Will address the issues involved in family support planning.



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This unit covered Corrective Action Planning. An effective Corrective Action Program provides valuable information about what works—and what does not—in the continuity program.

Employees will perform better in a continuity situation if they know that their families are provided for. Unit 8 will cover the issues involved in family support planning.

Summary and Transition

Questions?



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