

Corrective Action Plan (CAP)



New Mexico
Department of Finance
and Administration
Infrastructure Planning
and Development Division

This Corrective Action Plan (CAP) outlines the steps the subrecipient will take to permanently correct findings of non-compliance identified during monitoring or audit activities. The CAP is structured to clearly identify who will do what, how, when, and why, in accordance with 2 CFR Part 200.

Program Information

Agency/Division issuing Non-Compliance: _____

Subrecipient Organization: _____

Project Name: _____

Award Number: _____

Project Period: _____

Date of Non-Compliance Notice: _____

Description of Non-Compliance (from Non-compliance letter)

Example: During monitoring, it was determined that the subrecipient did not maintain adequate documentation to support contractor payments for post-fire debris removal and slash disposal activities charged to the federal forestry clean-up grant.

Root Cause Analysis

Example: The non-compliance occurred because contractor invoices lacked sufficient detail regarding locations, quantities, and dates of forestry clean-up activities, and staff were not fully trained on federal documentation requirements under 2 CFR Part 200.

Contact information of person responsible for corrective action

Name:

Title:

Email:

What Action Will Be Implemented?

Corrective Action Plan (CAP)



How the Action Will Be Implemented?

Why This Action Will Prevent Future Non-Compliance?

Start Date:

Completion Date:

Ongoing Compliance & Monitoring

Describe how you will ensure ongoing compliance, including monitoring, internal reviews and oversight.

Training & Technical Assistance

Describe any additional training that will be provided, staff required to attend, frequency of training and training materials/resources used.

Certification

I certify that the corrective actions described in this plan will be implemented and maintained to ensure ongoing compliance grant requirements.

Authorized Representative Name:

Title:

Signature:

Date:

This form should be submitted to the <<Agency/Division>> contact within 30 days of the date of the Letter of Non-Compliance or monitoring report.