

Corrective Action Plan (CAP) Worksheet

Use this worksheet to document a compliance finding, assign an owner and deadline, and record the evidence that closes it. Type directly into the fields below and save a copy for your records. General compliance information only — not legal advice.

1. THE FINDING

Finding — what is not meeting the requirement?

Describe it plainly: what you saw, where, and when.

Requirement — the rule, contract term, or policy it must meet

e.g., BAA required under HIPAA; state telemedicine consent law

Source of finding

Risk level (low / medium / high)

Sources: internal audit, client complaint, regulator, partner review, employee report

Root cause — why did this happen?

Process gap, missing owner, vendor issue, training, etc.

2. THE PLAN

Corrective action — the specific steps that will fix it

Be concrete: who does what, by when, and what changes.

Owner — one named person responsible

Due date

Evidence of completion — what proves it is done?

e.g., signed BAA, updated policy, training log, screenshot, license report

Follow-up check — how and when you will confirm it stays fixed

e.g., re-check in 90 days; add to quarterly audit

Status (open / in progress / closed)

Date closed

3. FINDINGS LOG — track multiple findings
One row per finding. Copy this page if you need more rows.

Finding	Owner	Due date	Evidence	Status