

CORRECTIVE ACTION TRACKER

Operational Improvement & Follow-Through

PURPOSE
Use this tool to document, assign, track, verify, disposition, and close corrective actions requiring follow-through beyond the review or activity in which they were identified. GS-OP-004 provides traceability from the original finding through final disposition and helps prevent unresolved corrective actions from being lost, prematurely closed, or carried forward without accountability. **Corrective-action closure does not, by itself, mean the underlying condition or risk has been eliminated.**

WHEN TO USE THIS TOOL
Use GS-OP-004 when an identified finding requires action beyond the current review or activity, including:

☐ Assigned corrective work

☐ Resolution of an unresolved deficiency

☐ Carry-forward into future operational planning or readiness

☐ Follow-up verification

☐ Escalation for additional authority, resources, expertise, or decision-making

☐ Formal disposition of a condition that cannot be fully corrected

Routine observations or improvement suggestions that do not require assigned follow-through, verification, escalation, or carry-forward do not require entry into GS-OP-004.

1 | ACTION CONTROL

GS-OP-004 Action ID:

Date Entered:

Organization / Ministry:

Entered By:

Role:

SOURCE TYPE

☐ GS-OP-002 - Event Quick Scan

☐ GS-OP-003 - After-Action Review

☐ Incident Report

☐ Exercise / Drill

☐ Inspection / Assessment

☐ Other Authorized Source: _____

Source Reference No.:

Date Identified:

Event / Incident / Activity:

HANDOFF RULE

A corrective action requiring GS-OP-004 follow-through is not considered transferred until a GS-OP-004 Action ID has been assigned. Record that Action ID on the originating record when the originating record remains available for update.

TRACEABILITY RULE: The source record and corrective-action record should remain traceable to one another.

2 | FINDING / DEFICIENCY

FINDING / DEFICIENCY IDENTIFIED

Describe the condition requiring corrective action. Record what was observed, determined, or documented. Do not substitute assumptions about cause for the finding itself.

OPERATIONAL IMPACT / CONCERN
Identify the capability, requirement, process, safety measure, readiness condition, or operational outcome affected by the finding.

3 | CORRECTIVE ACTION REQUIRED

REQUIRED CORRECTIVE ACTION

State the **result that must be achieved**, not merely an activity to be performed.

VERIFICATION REQUIREMENT - REQUIRED
State what evidence, test, observation, document, demonstration, or other method will establish that the corrective action adequately resolves or controls the original finding. **The verification requirement must test or establish the required corrective outcome-not merely confirm that an assigned activity, purchase, revision, training, or other task occurred.**

☐ TO BE ESTABLISHED BEFORE COMPLETION SUBMISSION

Reason:

Approved By - Authorized Decision-Maker:

Date:
A corrective action is not ready for assignment until the required outcome and verification requirement are sufficiently defined, unless delayed establishment of the verification requirement has been documented and approved by an Authorized Decision-Maker. The verification requirement must be established before the action may be submitted for verification.

CHANGE CONTROL
The method used to achieve the required corrective outcome may change as work progresses. Any material change to the **required corrective outcome** or **verification requirement** must be documented and approved by an Authorized Decision-Maker.

Material Change Approved By:

Date:

Change / Reference:

4 | PRIORITY & ASSIGNMENT

☐ ROUTINE - Corrective action is required, but the condition does not presently demand accelerated leadership attention.

☐ ELEVATED - The condition materially affects readiness, capability, safety, or operations and warrants prioritized follow-through.

☐ URGENT - The condition requires prompt leadership attention because delay may materially affect safety, readiness, or operational capability.

URGENT classification does not replace immediate emergency action when an immediate threat exists.

Responsible Person / Role:

Assigned By:

Date Assigned:

Target Completion Date:

Supporting Person / Department, if applicable:

Assignment establishes responsibility. It does not establish completion, verification, or closure.

PRIORITY REASSESSMENT: Priority may be reassessed when conditions, consequences, available information, or operational circumstances materially change. Document any change in Section 6 - Action / Progress Record.

TRACK & ESCALATE

5 | ACTIVE ACTION STATUS

Select the status that accurately describes the action's current position.

☐ OPEN - Assigned; substantive corrective work has not yet been documented.

☐ IN PROGRESS - Corrective work is actively underway.

☐ PENDING VERIFICATION - The Responsible Person / Role reports the required corrective work complete; verification remains required.

☐ ESCALATED - Resolution requires authority, resources, expertise, or decision-making beyond the normal corrective-action process.

CLOSED is established only through Section 11 - Closure Authorization.

OVERDUE CONDITION

☐ OVERDUE

OVERDUE is a condition, not an Action Status. An overdue action retains its actual status until properly resolved or dispositioned.

OVERDUE REVIEW - REQUIRED WHEN APPLICABLE

When an action passes its Target Completion Date without qualifying for PENDING VERIFICATION, document the reason for delay and select the required response.

Reason for Delay:

☐ Revised Target Completion Date:

☐ Escalation - Complete Section 7

☐ Deferral Decision - Complete applicable disposition controls in Section 10

Reviewed By:

Date:

6 | ACTION / PROGRESS RECORD

Document meaningful corrective work, decisions, changes in status or priority, barriers, follow-up, and other developments necessary to maintain an accurate action history.

DATE	ACTION / DEVELOPMENT	BY	STATUS / NEXT STEP

7 | ESCALATION

Complete when normal corrective-action authority or capability is insufficient to resolve the action.

REASON FOR ESCALATION

☐ Materially overdue without adequate resolution

☐ Responsible Person / Role lacks required authority or resources

☐ Corrective attempt was unsuccessful

☐ Significant operational or safety concern remains unresolved

☐ Leadership decision or authorization is required

☐ Specialized assistance or review is required

☐ Other:

Escalated To:

Role / Authority:

Date Escalated:

DECISION / ASSISTANCE REQUIRED

Follow-Up / Review Date:

ESCALATED

ESCALATED is not a final disposition. The action remains accountable until an authorized disposition is documented.

8 | COMPLETION SUBMISSION

Complete when the Responsible Person / Role believes the required corrective work has been completed and is ready for verification.

ACTION TAKEN / WORK COMPLETED

SUPPORTING EVIDENCE / REFERENCE

☐ Required corrective work is submitted for verification.

Responsible Person / Role:

Date Submitted:

Submission for verification does not constitute closure.

Status upon submission: PENDING VERIFICATION

VERIFY, DISPOSITION & CLOSE

9 | VERIFICATION

Verification determines whether the completed corrective action adequately resolves or controls the **original finding**. Verify the operational result-not merely whether an assigned task was performed.

Original Finding / Reference:

Verification Requirement:

VERIFICATION METHOD USED

- ☐ Direct Observation
- ☐ Document / Record Review
- ☐ Interview / Confirmation
- ☐ Functional Test
- ☐ Demonstration / Exercise
- ☐ Other:

VERIFICATION FINDINGS

VERIFICATION DETERMINATION

Does the completed corrective action adequately resolve or control the original finding?

- ☐ YES - Proceed to Section 10 - Disposition
- ☐ NO - Return to Corrective Action Status returns to **IN PROGRESS**. Document the deficiency or additional action required in Section 6.
- ☐ UNRESOLVED - Escalate Status becomes **ESCALATED**. Complete Section 7 and document the authority, decision, or assistance required.

Verifier:Role:

Verification Date:

10 | DISPOSITION

Disposition describes how the original finding is being resolved or managed. **Not every disposition permits closure.**

☐ CORRECTED	The original deficiency has been resolved and verification confirms the required condition or capability has been restored.	Closure permitted: YES - successful verification required.
☐ MITIGATED	The condition remains, but verified measures reduce or manage its likelihood, consequence, exposure, or operational impact to an authorized level.	Closure permitted: YES - successful verification, documentation of the residual condition, and approval by an Authorized Decision-Maker are required.
☐ RISK ACCEPTED	The residual condition remains and a person authorized by the organization to accept the identified residual risk knowingly accepts it after reviewing the finding, existing controls, and available corrective options.	Closure permitted: YES - residual risk must be documented and acceptance by the Authorized Decision-Maker is required.
☐ DEFERRED	Required corrective action remains outstanding pending a defined future date, decision, resource, or condition.	Closure permitted: NO.
☐ TRANSFERRED	Responsibility for resolving or managing the condition has formally moved to another authorized person, role, department, organization, process, or tracking system.	Closure permitted: YES - confirmed receiving-side acceptance and a traceable receiving record or accountable process are required.

RESIDUAL CONDITION / RISK

Complete for MITIGATED or RISK ACCEPTED, and whenever a material condition remains after disposition.

CONTROLS REMAINING IN PLACE

Review / Reactivation Trigger or Date, if applicable:

MITIGATION APPROVAL Required for CLOSED - MITIGATED. Is the documented residual condition acceptable with the verified controls in place? ☐ YES☐ NO - Remain open or escalate Authorized Decision-Maker: Role / Authority: RISK ACCEPTANCE DECISION Required for RISK ACCEPTED. Authorized Decision-Maker: Role / Authority: Basis for Acceptance: Risk acceptance does not mean the underlying condition has been corrected. The person responsible for the corrective work may not solely authorize RISK ACCEPTED unless that person independently holds organizational authority to accept the identified residual risk.	DEFERRAL CONTROL Required for DEFERRED. ☐ Previous Deferral: NO If YES - Number of Prior Deferrals: Reason for Deferral: Date: Reassessment Date OR Review / Reactivation Trigger: Authorized Decision-Maker: Date: A deferred action remains outstanding and does not qualify for closure solely because it has been deferred. REPEATED DEFERRAL: When an action reaches its reassessment date or trigger and remains unresolved, continued deferral requires a new documented decision by an Authorized Decision-Maker. The reason for continued deferral, current residual condition or risk, and next required action must be documented. Repeated deferral must not be used as a substitute for corrective action, risk acceptance, transfer, or escalation.
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TRANSFER CONTROL

Required for TRANSFERRED.

Transferred To - Person / Role / Process:Receiving Organization / Department, if applicable:

Transfer Date:Receiving Record / Tracking No. or Accountable Process:
☐ Receipt / Acceptance Confirmed: YES☐ Receipt / Acceptance Confirmed: NO

Acceptance Confirmed By Receiving Person / Role / Process:Date Accepted:

Transfer does not qualify for closure until acceptance by the receiving person, role, or process is confirmed and the continuing accountability is traceable.
The person initiating the transfer cannot solely confirm receiving-side acceptance unless the receiving process itself provides independently traceable confirmation.

11 | CLOSURE AUTHORIZATION

CLOSED may be established only when the requirements for the selected disposition have been satisfied.

- ☐ CLOSED - CORRECTED
- ☐ CLOSED - RISK ACCEPTED
- ☐ REMAINS OPEN - DEFERRED
- ☐ ESCALATED
- ☐ CLOSED - MITIGATED
- ☐ CLOSED - TRANSFERRED
- ☐ REMAINS OPEN / IN PROGRESS
- CLOSED - DEFERRED is not permitted.

Authorized Decision-Maker:Role / Authority:Closure Date, if applicable:

CLOSURE RULE: Closure of this corrective-action record does not, by itself, mean the underlying condition or risk has been eliminated. The final disposition and any residual condition must be documented.

ROLE SEPARATION

Did the same person perform more than one of these functions: Responsible Person / Role, Verifier, Authorized Decision-Maker?

- ☐ NO
- ☐ YES

If YES - Explain why independent review was

not reasonably practicable:

INDEPENDENT VERIFICATION: The Responsible Person / Role should not serve as the sole Verifier and Authorized Decision-Maker for their own corrective action when independent review is reasonably practicable.

12 | CARRY-FORWARD / READINESS IMPACT

Does this corrective action, disposition, or residual condition affect future operational planning or readiness?

- ☐ NO
- ☐ YES - Carry forward to the applicable planning, readiness, review, or other authorized operational process.

Process / Record:Reference No., if assigned:

Required Follow-Up:

Next Review / Trigger:

Carry-forward does not replace corrective-action accountability. An unresolved action remains accountable under GS-OP-004 until its final disposition is documented and applicable closure requirements are satisfied.

OPERATING PRINCIPLE	Assignment establishes responsibility. Completion establishes work performed. Verification establishes effectiveness. Authorization establishes closure.
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