PATH™ SmartSuite CAPA User Guide

Standard User Guidelines (Version July 2024)

For Supply Chain Organizations

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OVERVIEW OF THE CAPA PROCESS

The client requested your participation in the Corrective and Preventive Action process via the online CAPA system at https://smartapps.ul.com. The CAPA system will allow you to automate the corrective action process and provides real time access to audit data and associated interactions with the Approver (client or UL CAPA approver who on behalf of the client). This document provides you with information on how to use the CAPA system and provides information on how to create strong responses to non-compliance issues to submit through the CAPA system.

ABOUT CORRECTIVE ACTIONS AND THE CAPA TOOL

There are three key roles for the CAPA system:

Responder = Facility
Responder/Reviewer = Vendor (only if applicable)
Approver = Client or UL CAPA approver who review on behalf of the Client

Upon completion of the audit, any non-compliance findings are transmitted to the CAPA system.

Each facility and vendor provide an email address for the designated individual(s) handling the CAPA responses:

- This person is ultimately responsible for submitting responses with regards to non-compliance findings within their level of the supply chain.
- This person should be someone employed directly by either the facility or the vendor.
- This person should not be an agent, middleman or someone outside the specified supply chain.
- This person will receive an email notification when new CAPA items are waiting for their response, as well as their current escalation status. In this email, a link is provided to access the system.
- When the contact person login the CAPA system at the first time, the new account is required to be created, detailed please refer page 30 in this user guideline.
- A single assessment may generate multiple CAPAs according to the non-conformances found during the audit.

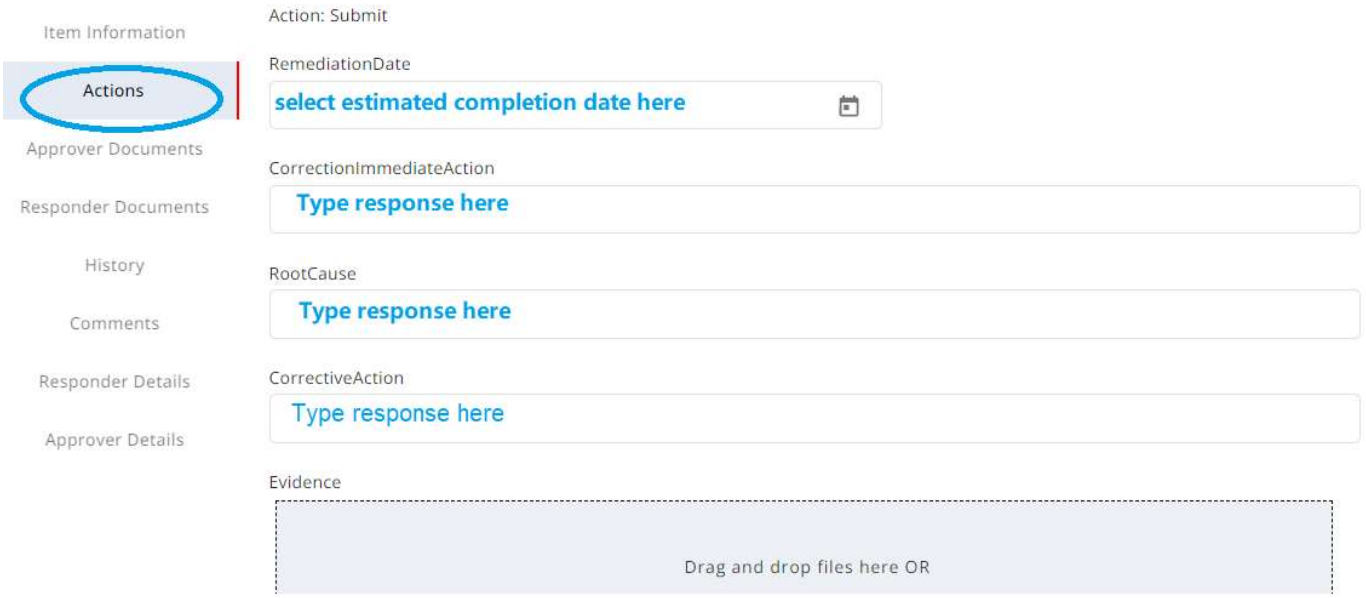
The CAPA system will help you to:

- Track improvements in your factories.
- Communicate those improvements to the client.
- Save time in addressing findings from social compliance assessments.
- Minimize risk to your business.

RESPONDING TO NON-COMPLIANCES IN CAPA SYSTEM.

Facility and / or Vendor Roles	
Pending Initial Response	**Pending response**
• Review findings • Submit CAPA plan up to Vendor / Approver • Upload supporting evidence • Make improvements	• Respond to any CAPA plans returned by Vendor or Approver • Submit CAPA plan up to Vendor or Approver

Vendors should communicate with their facility staff about how they will address compliance findings. For each CAPA finding the facility will be asked to provide information including:



- **Correction/Immediate Action**
  - The short-term action taken instantly to reduce risks posed to workers. This is the action that you will take to immediately correct or remediate the finding.

- **Root Cause**
  - There is a problem in the current system. Root cause is the earliest cause that leads to a non-compliance. By asking yourself a series of questions related to the points below, you can adopt some methods to identify the root cause of your non-compliance issue:
  - First, identify if there are sufficient policies or procedures to make sure the system meets both local regulations and the client's requirements. If you

don't have a policy, then that would most likely be your root cause. If your company does have a policy in place, you will likely need to dig deeper by asking yourself questions like: Do you have a good communication system to ensure workers were adequately trained on this requirement? Do you monitor and track implementation of that training for those employees? Once you've identified the root cause, you can develop a plan to prevent the non-compliance issue from occurring again.

- Below link included detailed instruction on how to analysis the root cause. https://collateral-library-production.s3.amazonaws.com/uploads/asset_file/attachment/62289/Guidance_on_Root_Cause_041224-EN.pdf

- **Corrective Action**
  - Even if you have corrected the finding with the correction/immediate Action, you will still be required to submit a corrective action to prevent the re-occurrence of the non-compliance through long-term systemic changes. The five components listed below should be based on the root cause(s) for the non-compliance you identified above. Whether you already have a policy or monitoring procedure in place, please ensure that information for all five of the below points are included in your corrective action:

    - **Policies and Procedures:** Based on your root cause analysis in the previous step, what policies or procedures should you have in place to prevent these findings from occurring again? Who will be involved in drafting them?

    - **Communication:** Once you have developed your policy and procedure, how will you communicate these policies to managers and employees? Also, how will you communicate these policies and procedures to new hires who have recently started working at your facility?

    - **Training and Skills:** Do your staff and managers have the skills/experience to carry out these new policies? Do they need additional training? How will you train them on these new procedures and how often will you conduct those trainings? Will additional external training be provided?

    - **Monitoring and Tracking:** Checking that the system is actually effective. What system will you put in place to monitor that your

new policy/system is working and being properly maintained? For example: internal audit, regular inspection, or document and record tracking? Please include details about frequency of internal audits or inspections, etc.

- **Governance and Enforcement:**

  Who is the responsible person (position title) for carrying out these policies? For communicating them? For measuring them? Who at the Executive/Ownership level is responsible for this part of the business and how will you ensure that they are doing their job properly? By conducting an internal audit? Or through Management Review?
  If an issue is found during Monitoring & Tracking, what disciplinary actions are taken when policies are not being followed?

- Below link included detailed instruction on how to develop the corrective action plan.https://collateral-library-production.s3.amazonaws.com/uploads/asset_file/attachment/61615/Guidance_on_Corrective_Action_041224_EN.pdf

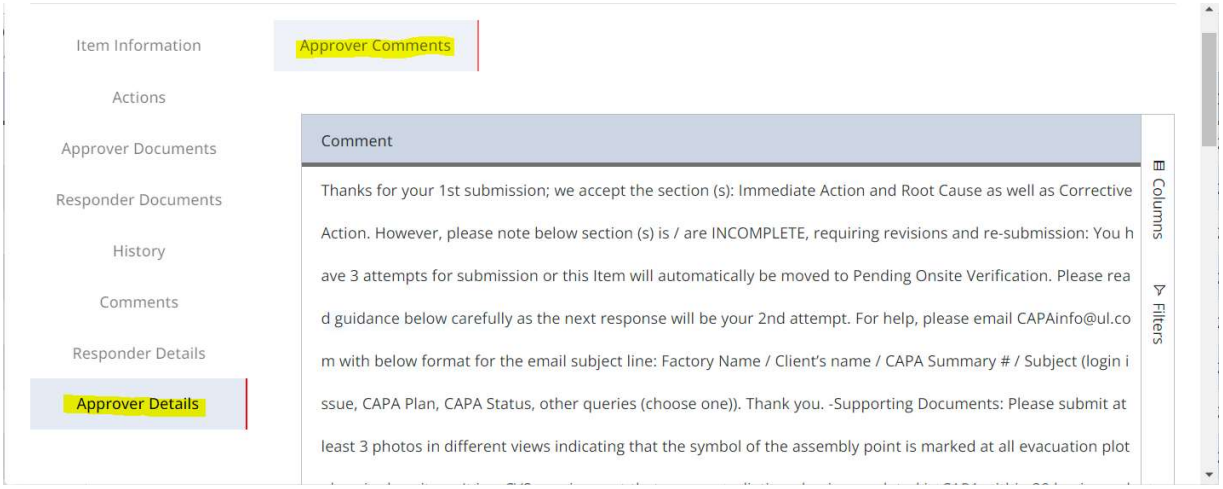
- **Remediation Date:** for implementing the above
  - Ensure this is reasonable and appropriate for the immediate action.
- **Responder Comments**
  - Any additional information the approver should know
- **Evidence**
  - The CAPA Approver may request the following supporting documents to verify corrective actions:
    - Implementation photos/ Certificates / Records
      - photo(s) of the correction as per finding description or 3 (max) sampled photos of the correction action taken
      - The certificates, reports or records which could address the issue.
    - The self-inspection and/or maintenance documents.

For CAPA Items that have been successfully submitted to the system for approval, the status listed under the CAPA Item Status field will change to Pending Approval and an email notification will be sent to the Approver notifying them that they have an item to review.

Note: Please do not contact UL via email to ask for confirmation that your CAPA was successfully submitted to the system as the status change to Pending Approval will already indicate that your information was successfully submitted.

Once a CAPA response is submitted, the Approver will accept or reject the CAPA Response. If the response is incomplete, the facility and vendor will receive an email asking for more information.

If a response is rejected there will be Approver Comments that describe the reason why it was rejected and the additional information necessary to have the response approved. To achieve CAPA item approval, ensure that you have carefully read the Approver Comments and that the Approver's recommendations are followed.



If a response is accepted, the status of the non-compliance will change to 'Approved' and no further action is required. Also, depending on the nature of the non-compliance issue, the status of some items may be transitioned into the 'Pending Onsite Verification' status as an onsite verification is the only way to successfully close out some non-compliance issues.

For each CAPA item, the CAPA Responder is allowed three (3) attempts to respond (unless specified otherwise by the client). If a CAPA response is rejected three times this will typically result in a follow-up audit which will be decided by the client.

Note: Responses for corrective/immediate action, root cause and corrective action should be submitted in English only unless otherwise approved by the client. Evidence that is attached can be in the local language unless otherwise directed by the client.

Please find examples of accepted and unaccepted CAPA responses below:

ACTUAL EXAMPLES OF ACCEPTED CAPA RESPONSE

No. 1 - Working Hours Finding:

Finding Description: According to the provided time records, monthly overtime hours exceed 36 hours for all sampled employees in November 2021, January 2022 and October 2022. The sampled maximum monthly overtime hours are 60, 48 and 50 hours respectively.

No.1 - Provided CAPA Plan:

Correction/Immediate Action
The leadership paid particular attention to excessive overtime problem, had convene a corrective action meeting on November 26, 2022. The conclusion was that factory would hire more 10% new employees by March 2023, partial section need adopt turn shift to reduce the working hours. The target is to ensure the monthly overtime working hours do not exceed 40 hours within 3 months for 50% workers as currently 70% workers exceed this requirement.

Root Cause
The root cause was: 1. there was not enough intensity of supervision for excessive overtime; 2. more orders received in some seasons that cause excessive overtime.

Corrective Action
1. Policies and Procedures: The meeting on November 26 had further defined the responsible person for compilation, update, implement of "employee manual" and "Production planning regulations". Update the working hours control target that the monthly overtime working hours do not exceed 40 hours within 3 months for 50% workers as currently 70% workers exceed this requirement. **2. Communication:** Human Resources Department will post the "working hours control target" and transmit the meeting minutes to all staffs and employees, included the topic into new hire training in case the new workers joined the factory. **3. Training and Skills:** To ensure all employees fully understand the company process on overtime requirement and strictly apply the requirement, the human resources department will provide training to all employees once a year, The production manager will train all production employees and HR responsible for training for management staff. **4. Monitoring and Tracking:** Production Department is responsible to monitor the overtime work each month. If overtime hours is over the company standard, they need take corrective action to control the overtime hours not over the legal requirement. During peak season, Production Department needs to set up proper production schedule including rest time for workers. All the work/rest time arrangement should be well communicated with workers to ensure it's compliance to legal requirement. Besides, Quality Assurance Department monitors the attendance records each month, if any non-compliance found, immediate corrective action should be set and

in place. Quality Assurance Department will also conduct excessive overtime assessment as internal audit and verify if it is improved after corrective actions done.

5. Governance and Enforcement: Overtime timeout organization of preventive measures: overall responsibility for the management representative for overtime timeout issues. Production manager is responsible for the implementation of overtime provisions and HR managers are responsible for overtime policy promotion and training. The Quality Assurance Department is responsible for the internal audit to verify employee's actual monthly overtime. Implementation of the result embodied in the management review report. Production department, human resources department/ quality assurance department reports monthly to the management representative "overtime provisions" implementation, in order to take timely measures for improvement.

No. 2 - Health & Safety Finding:
Finding Description: One viewed emergency exit door on second floor is roller shutter door in workshop.

No. 2 - Provided CAPA Plan:

Correction/Immediate Action
All the roller-shutter doors will be replaced with side-hinged doors.

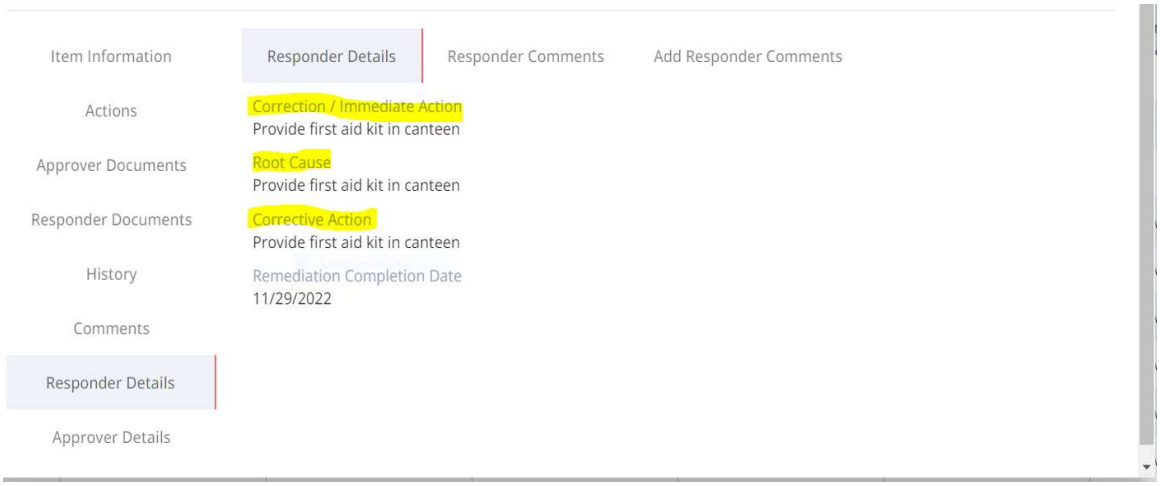
Root Cause
The factory management did not consider this requirement “the emergency exit door should be open outward” into fire safety management.
Corrective Action
1. Policies & Procedures: The factory will update the fire safety management procedure indicating that all exit doors must be side-hinged doors opening in the exit direction **2. Communication:** Policy regarding evacuation doors will be printed and placed near each exit door so everyone will be able to see. This policy will be included in the basic training for all new hires regardless of the position and working area they are hired for. **3. Training and Skills:** The person in charge has enough skill to address this issue and contact a hardware worker to make sure that the doors are replaced and work without problem. This policy will be explained in verbal and in writing to each person, making sure to explain the reason why the factory needs to use side-hinge doors instead of rolling doors every year. If this person is replaced, this and all security policies will be explained in verbal and in writing to the new replacement making sure that the awareness of this security issue is not lost on the transition. Now that the facility understands this security issue and all doors are being replaced.

4. Monitoring and Tracking: All doors will be checked and recorded with a picture. These pictures will be used for CAPA and for internal records and available for future references. Annual fire safety check will include safety exit doors.

5. Governance and Enforcement: The responsible person for overseeing this issue will be factory manager Mr. ZLL. He will personally review all the doors and record that the changes are made and that the policies are printed and announced to all personnel. He will ensure the responsible people are doing their job properly by internal audit and management review

TOP FIVE ACTUAL EXAMPLES OF BAD CAPA RESPONSE

1. Only Provide Same Immediate Action In All Three Sections



In above picture, you can see that the three (3) sentences in the “Immediate Action,” “Root Cause” and “Corrective Action” sections are identical. Please refer to CAPA guidance and note that the “Root Cause” and “Corrective Action” sections are for root cause analysis and long-term corrective action respectively. The sentence “provide first aid kit in canteen” can only be considered as an Immediate Action instead of the Root Cause or Corrective Action.

Comment:

- Immediate Action is ACCEPTED;
- Root Cause is INCOMPLETE and must be revised;
- Corrective Action is INCOMPLETE and must be revised.

2. Unclear Root Cause Analysis (Superficial Root Cause)

Per the picture above, you can see that the provided root cause is “management oversight” which is not an acceptable root cause. Please refer to CAPA guidance and note that root cause is the earliest cause(s) that lead to the non-compliance issue (s). Once you find the root cause, you can develop a plan to prevent the same issue from occurring again. This factory did not dig deep enough to do an effective root cause analysis for this finding. “Management oversight” is an obvious and superficial assessment of what lead to the non-compliance issue and not the root cause for this finding. Most findings result from management oversight. The key is to identify the exact part of your current management system that was insufficient, and which resulted in the non-compliance by asking yourself the “5 Why’s”. Generally, the root cause is related to five components: 1. Policies and Procedures, 2. Communication, 3. Training and Skills, 4. Monitoring and Tracking, and 5. Governance and Enforcement.

Comment:

- Immediate Action is ACCEPTED;
- Root Cause is INCOMPLETE and must be revised;
- Corrective Action is INCOMPLETE and must be revised.

3. **Corrective Action Does Not Include All Five Points**
(1. Policies and Procedures, 2. Communication, 3. Training and Skills, 4. Monitoring and Tracking, and 5. Governance and Enforcement)

Per the picture above, the provided corrective action “We’ve appointed a staff to termly check and maintain all exit signs” only addresses how the facility will monitor and track this issue. Please refer to CAPA guidance and note that corrective action is a long-term plan which shall include all five of the following components: Policies & Procedures, Communication, Training & Skills, Monitoring & Tracking, and Governance & Enforcement. If, for example, members of your management team are all skilled and qualified and no further training is required, then you can mention this under Training & Skills. Please remember to provide information that addresses all five of the required components for the “Corrective Action” section.

Comment:

- Immediate Action is ACCEPTED;
- Root Cause is INCOMPLETE and must be revised;
- Corrective Action is INCOMPLETE and must be revised.

4. Lack of Detail of Five Points in Corrective Action

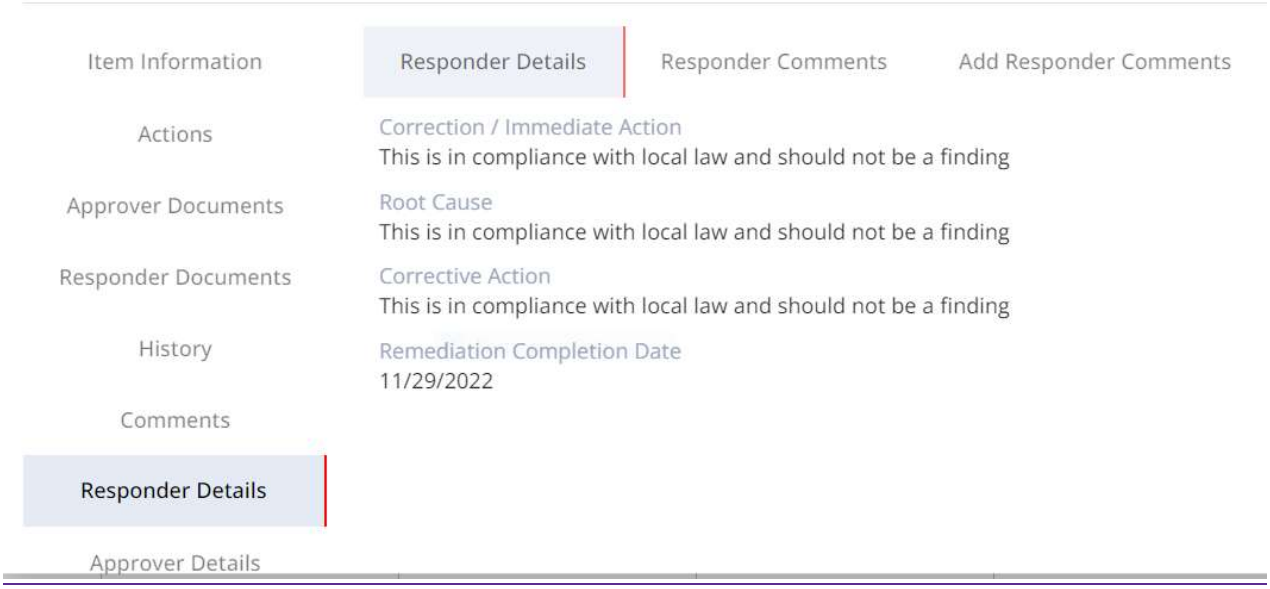
In the example above, the corrective actions listed did address all 5 components (1. Policies and Procedures, 2. Communication, 3. Training and Skills, 4. Monitoring and Tracking, and 5. Governance and Enforcement), however, each action of the five components is oversimplified and does not include specific detail. Please refer to the guidance covering corrective action and note that each action should at least contain basic information like “who, when, how, how often, for whom etc.” See guidance below in red:

1. Create the first aid policy
    a. Who drafted the policy? What information will be added to the policy?
2. Communicate this with all employees
    a. How will the policy be communicated? By what means? How often? Who will be responsible for making sure that these policies are communicated across your company?
3. Provide training for first aider and employees
    a. What kind of training will be provided? Who will train the employees? Will all employees be trained on these new policies? How to train/by what means? How often?
4. Admin. Department inspect the kits regularly
    a. Who specifically in the Administration Department will be responsible? How will this be monitored? What items should be inspected? How often is regularly, e.g., monthly, quarterly, or yearly?
5. Admin. Department will be responsible for this
    a. Again, who specifically in the Administration Department is the responsible and what is his/her title and position? How will details of all the different steps of this corrective action plan be managed?

Comment:

- Immediate Action is ACCEPTED;
- Root Cause is INCOMPLETE and must be revised;
- Corrective Action is INCOMPLETE and must be revised.

5. Refusal to Submit a CAPA Plan



In the example above, this factory states that they were informed by the local fire department that their plant is not required to have a fire certificate. Normally auditor already communicated the non-compliance issues with factory and get confirmation with signature during onsite audit. In case there is any special situation, it's suggested the factory get official supporting proof and send the relevant written documents or records to CAPAinfo@ul.com, UL CAPA team will assist the factory to complete the CAPA process, otherwise, without the client's approval, a complete CAPA plan will still be required for any item listed in the CAPA system.

Comment:

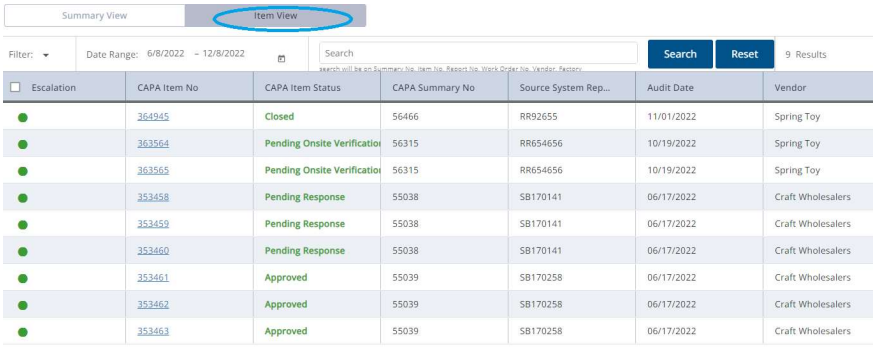
- Immediate Action is INCOMPLETE and must be revised;
- Root Cause is INCOMPLETE and must be revised;
- Corrective Action is INCOMPLETE and must be revised.

SUBMITTING RESULTS AND ADDING EVIDENCE AS ROLE OF FACTORY OR VENDOR

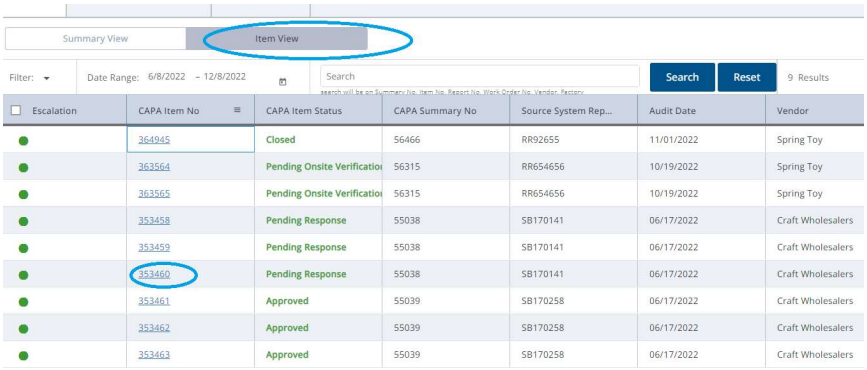
1) Log onto CAPA.

   This is the dashboard page and main page when a facility or vendor logs onto the CAPA system.

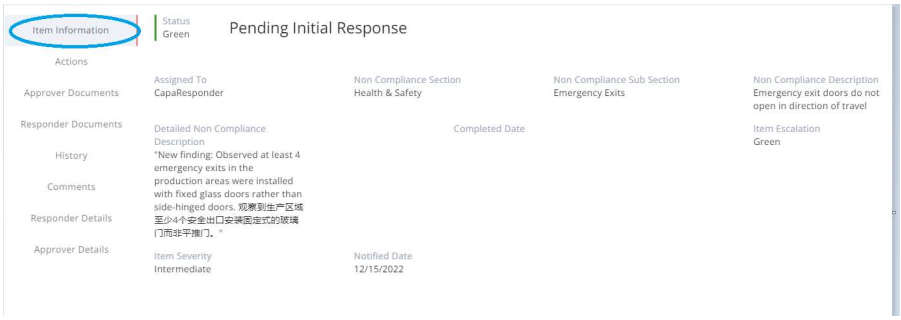
   Please note that from the dashboard there are two views for users: "**Item View**" and "**Summary View**". The default view for vendors and facilities will be "**Item View**".



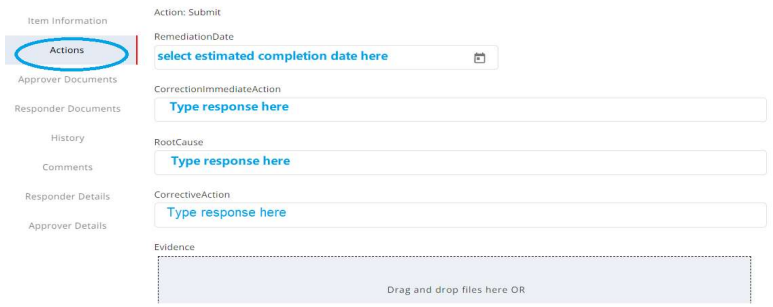
2) Click the CAPA Item No and check the finding that you want to edit.



3) A new screen with Item information will pop up.



4) In the pop-up window, you can click “**Action**” tab, and input the information in relevant sections.



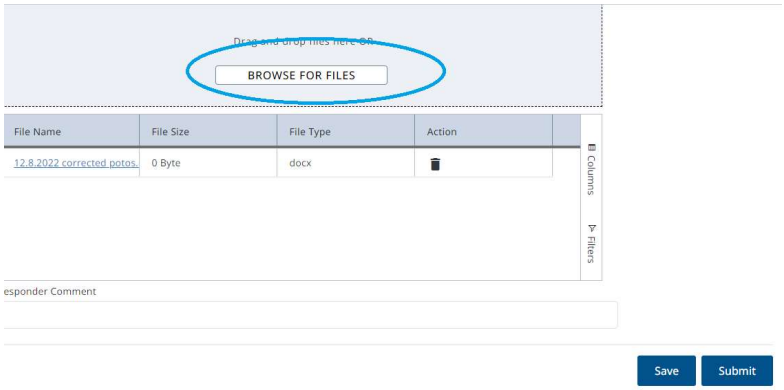
5) Continue to scroll down.

Click on “**BROWSE FOR FILES**” to upload evidence such as photos, training certificates, etc. Include dates with all uploaded evidence.

Please name the uploaded file in English with date.

Acceptable file formats are JPG, PDF, WORD or EXCEL.

File names should be in English characters only.

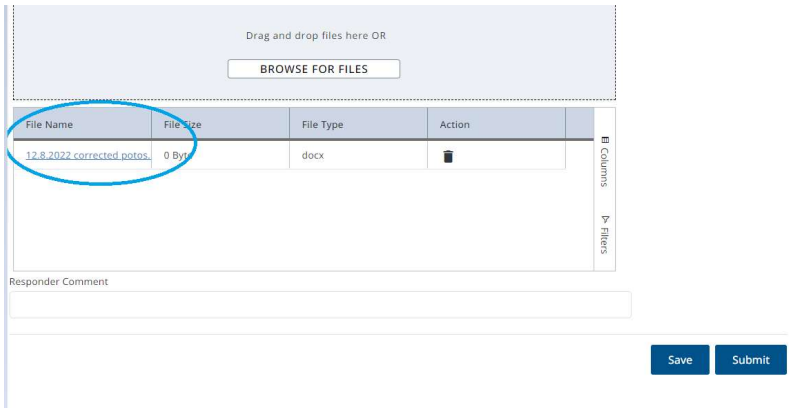


NOTE:
The accepted files type included: **JPG, PDF, WORD, EXCEL**.
Please ensure the file is <u>not larger than 3MB</u> and name the file in English.

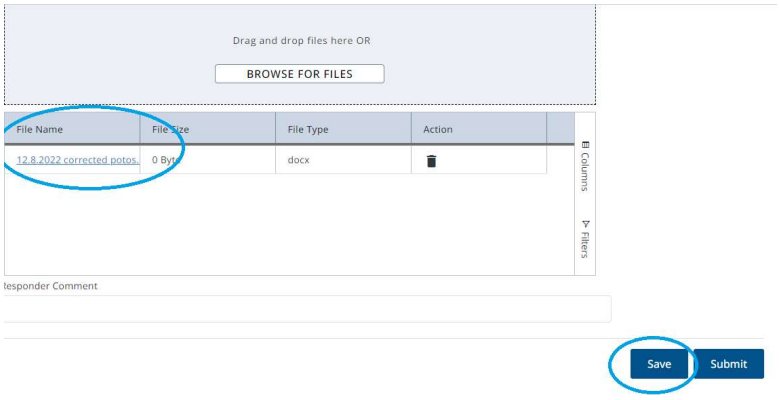
You can click "**Save**" first and edit it after while.

As a best practice, it is recommended that you click "**Save**" throughout the process to save your work.

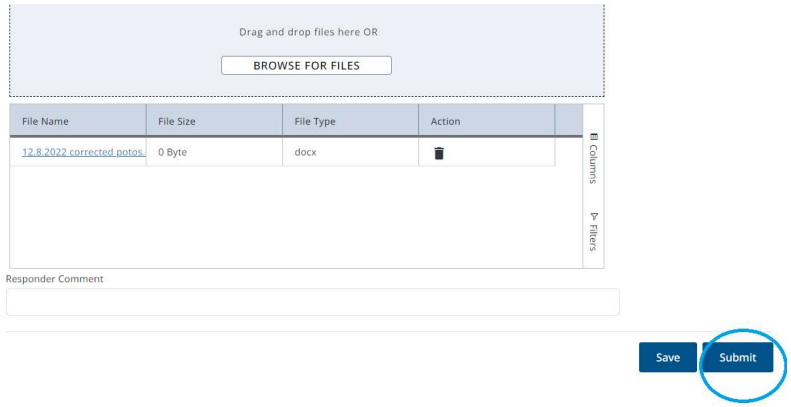
Evidence files that have been successfully saved to the system will appear under the File Name heading in the Evidence(see screenshot below for reference)



6) Click "**Save**".



7) Click "**Submit**".



Notes: Please note that it is a system's requirement to complete the following four fields:

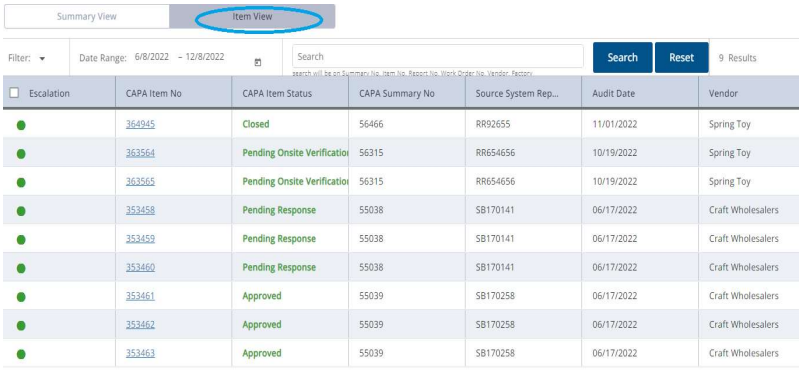
- Correction/Immediate Action
- Root Cause
- Corrective Action
- Remediation Completion Date

If you try to submit your CAPA responses and one or more of the above four fields are not complete, the system will not allow you to submit and an error message indicating which of the fields you did not complete will be displayed.

APPROVING FACILITY RESPONSES AS A VENDOR (IF APPLICABLE)

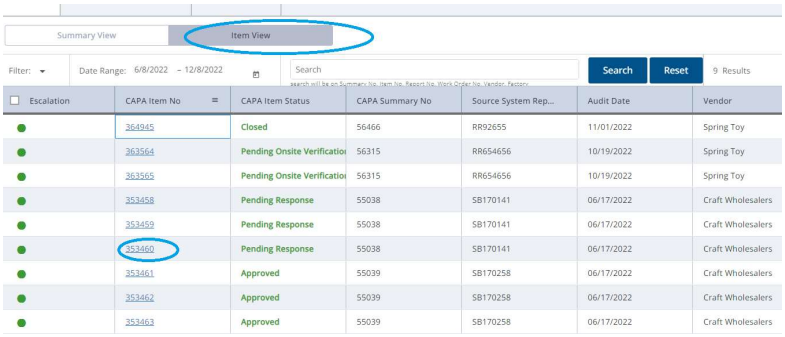
Vendor Roles		
Pending Initial Response	**Pending Vendor Review**	**Pending Response**
• Review findings • Upload supporting evidence • Submit CAPA plan to Approver	• Review findings • Review CAPA plan from factory • Upload additional supporting evidence • Submit acceptable CAPA plan to Approver, or Return CAPA plan back to facility with comments • Review any resubmitted plans and submit to client	• Review findings • Urge facility to revise the CAPA plan and submit • Revise rejected CAPA plan on behalf of factory and submit to Approver • Return CAPA plan back to facility with comments • Review any resubmitted plans and submit to client

1) Log onto CAPA as **"Vendor"**



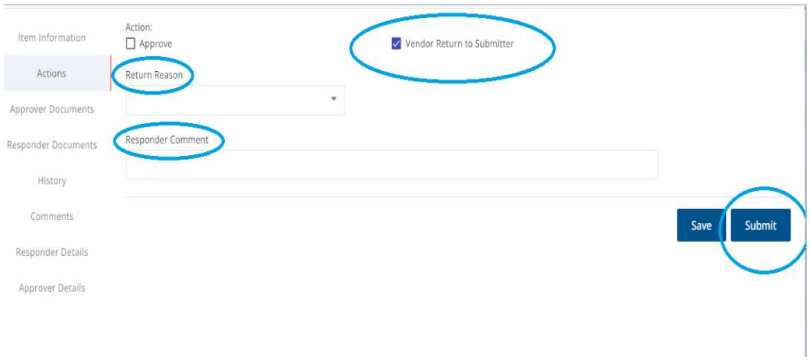
Note: Default view after you have logged in is the CAPA "**Items View**".

2) Click the CAPA Item No and check the finding that you want to edit



3) A new screen will pop up. Click on "**Item Information**".

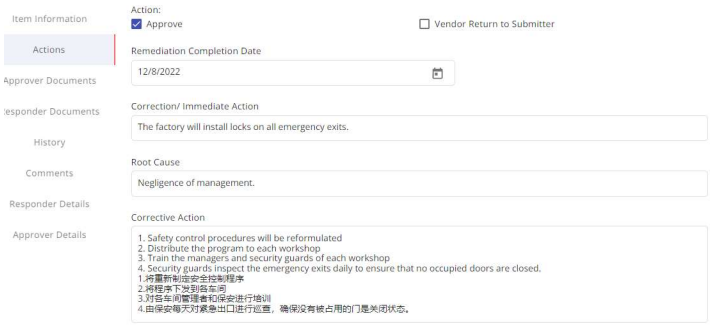
4) If you as the vendor are uncertain of a response submitted by the facility or feel that the submitted response is not acceptable, you can return any response to the facility for edit or you as the vendor can edit on behalf of the facility (please note that this step is optional).



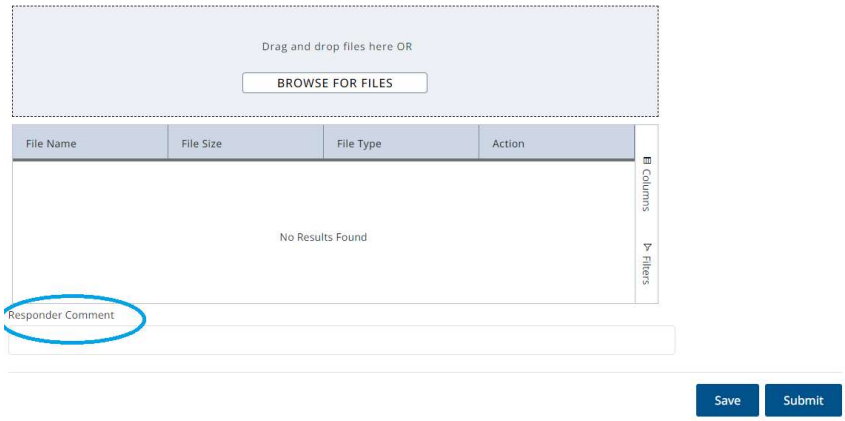
To return an insufficient response back to a facility for review and edit, click "**Vendor Return to Submitter**"

Note: During prompts, you will be asked to add a comment. Any comment you add will automatically be saved as a "**Responder Comment**".

5) If the response submitted by the facility is sufficient but you as the vendor have additional comments, you can add these comments in the "**Responder Comments**" field by clicking the "**Add Responder Comments**" tab and then following the prompts.



6) If you feel the responses submitted by the facility are acceptable and that they are ready to submit to the Approver, click "**Submit**". Follow prompts.



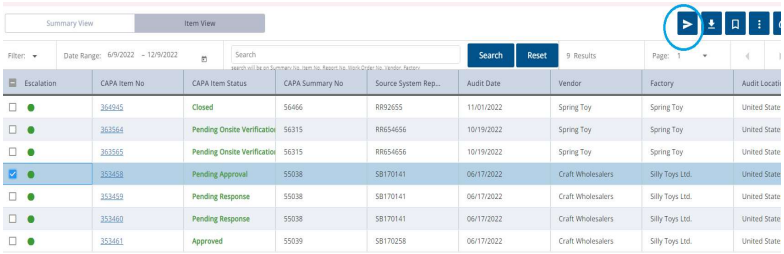
7) Once you have successfully submitted CAPA responses to the Approver, the status under the CAPA Item Status field will change to "**Pending Approval**". This means that the Approver needs to review.

SENDING EMAILS FROM THE CAPA SYSTEM (FROM SUMMARY VIEW OR ITEM VIEW)

1) Check the box next to the findings that you want to send the email about.

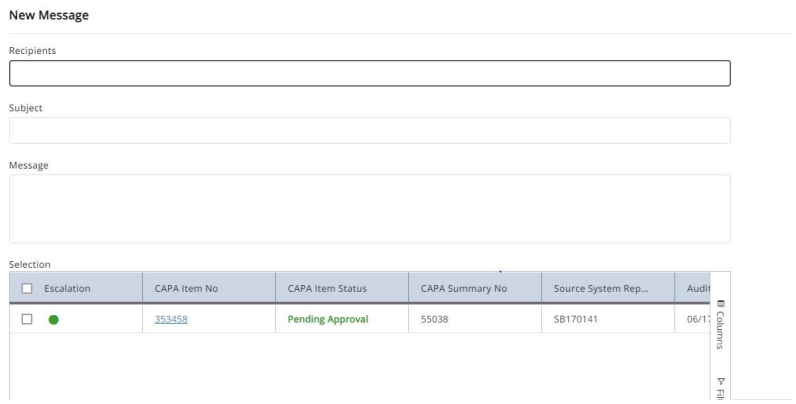
   This will cause the Send Email Notification button to Appear.

   Click the Send Email Notification button.



2) A pop-up box will appear.

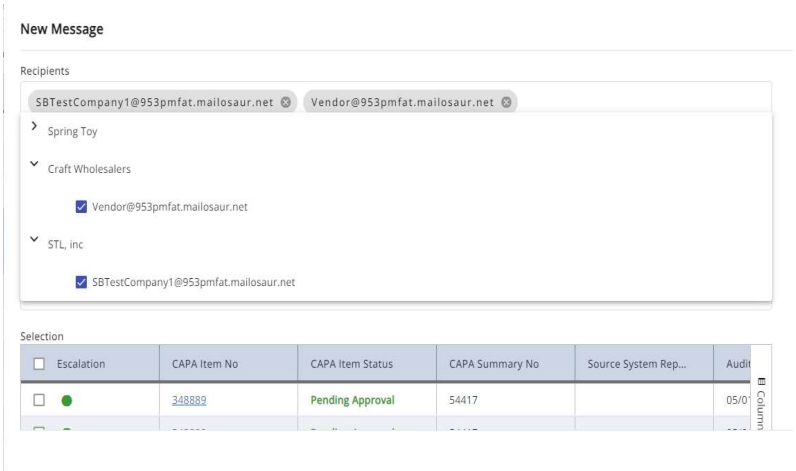
   Click on Add Recipients.



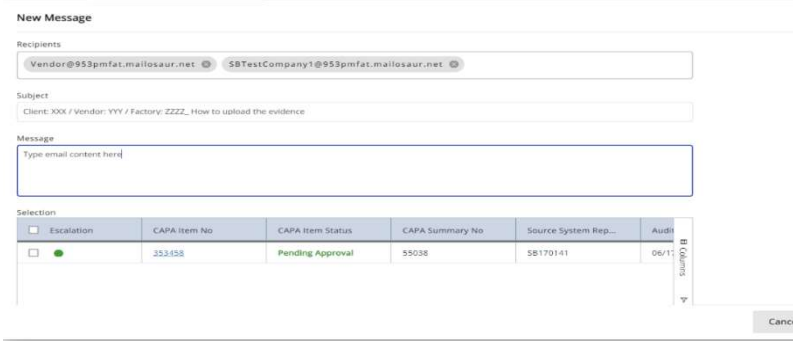
3) Click "**Recipients**" button to view users that have access within the CAPA system already.

   Check the box next to the user's email that you want to send the email to.

   You can also manually type in email addresses by placing your cursor in the To line.



4) Enter subject line and email body text.

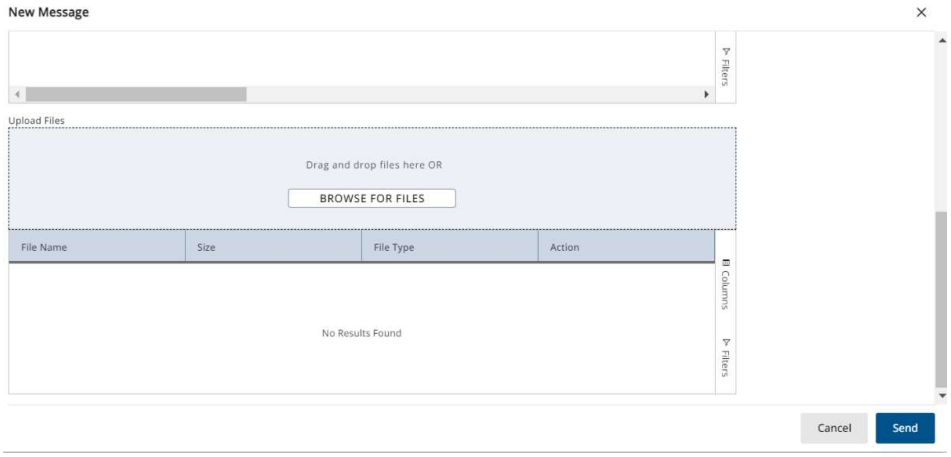


5) Add attachments as needed.

To add attachments, click "**BROWSE FOR FILES**"

Follow prompts to open/attach desired document.

Once email is ready to go, click "**Send**".



REFERENCE INFORMATION

DEFINITIONS OF CAPA STATUSES

The CAPA system uses seven different statuses to identify the progression of each CAPA. The table below lists the status in order from least to most progress.

Please refer to the section titled **CAPA Summary Status versus CAPA Item Status on page 26 for detailed explanation about statuses at the Summary or Item level. **

There are three key roles for the CAPA system:

Responder = Facility
Responder/Reviewer = Vendor (only if applicable)
Approver = Client or UL CAPA approver who review on behalf of the Client

Status	Available Actions	Description
Pending Initial Response	Updates may be made by a Facility Responder and submitted to a Vendor or Vendor can submit responses to the Approver If there is no Vendor in the supply chain, then the Responder from the Facility may submit directly to the Approver.	• First status to begin the workflow when the audit has been completed. • **Indicates that a response is needed from the Vendor or Facility** in the form of a completed CAPA Plan.
Pending Vendor Review	Updates may be made by a vendor responder and submitted to the Approver If there is no vendor in the supply chain this status will not apply.	**Pending Vendor Review is the status when the CAPA is submitted from the facility to the vendor.** All users may view the CAPA in this status, but the vendor is the only one that may take actions.
Pending Approval	Responses have been successfully submitted to the Approver.	CAPA Plan has been successfully submitted to Approver for review. No updates can be made except for comments added by the Approver. If you accidentally submitted your CAPA responses before they were finished (for example you forgot to attach an evidence file), contact your Account Representative or contact the Approver

Pending Response	The same actions may be taken as when in Pending Initial Response.	**Indicates that the Approver requires an additional action to be taken on the CAPA Plan by the responder.** Reasons why the approver requires a change or addition to the CAPA Plan may include: • Pending Document Review: The approver agrees with the approach to remedy the non-compliance issue but asks the Responder to upload documents showing evidence of the correction. • Pending CAPA Revision: The CAPA plan submitted by the Responder was incomplete. The Responder will be informed of the areas where the approver would like greater specificity and will be asked to re-submit the CAPA plan again. • Pending Training: The Approver requires the responder to improve their skills in a particular area prior to resubmitting the revised CAPA Plan.
Approved	No updates or actions may be made. This is the final status in CAPA.	The Approver has approved the corrective/preventive action approach, and **no further actions are necessary.**
Pending Onsite Verification	No updates or actions may be made. When the verification audit is completed, the status will be moved back to Pending Initial Response.	Scenario 1: The responder's approach to address the non-compliance issues is approved, but **some items need to be verified onsite.** Scenario 2: The responder has reached the maximum number of CAPA submission attempts and has automatically been switched to Pending Onsite Verification. The facility will be contacted to schedule the re-audit or verification audit at the discretion of the client. Timeframe for re-audit is ultimately determined by client and any dates listed in the next audit timeframe by the CAPA system are only general suggestions or estimates.
Closed	No updates or actions can be made.	An open CAPA was either dropped or deactivated based on client discretion.

ESCALATION DEFINITIONS

CAPA system uses three Escalation Levels: Green, Yellow and Red.

When CAPAs are created they start at an escalation status of Green. They are also set back to green whenever action is taken against the CAPA. This includes actions that may result in a status change, e.g., Save does not reset escalation back to green.

Actions that will reset the Escalation level back to green include:

- Submit
- Approve
- Return to Submitter
- Pending Onsite Verification
- Close
- Reopen

Escalation Levels are set weekly, and a Weekly Email is distributed as follows:

- After the completion of California's workday (After 3 a.m. EST)
- Before Asia's Monday workday start (3 a.m. Sunday EST)

Escalation Level	Description
Green	Set to green when the CAPA status changes and remains green up to seventh (7) days.
Yellow	Set to yellow between eighth (8) and fourteenth (14) days, i.e., none of the above actions have been completed after eighth (8) to fourteenth (14) days.
Red	Set to red starting at fifteenth (15) days, i.e., none of the above actions have been completed after fifteenth (15) days.

When the item Escalation Level changes:

- Last Modified By shows "UL System."
- Last Modified Date will be updated.
- Email will be sent to vendor and/or facility.

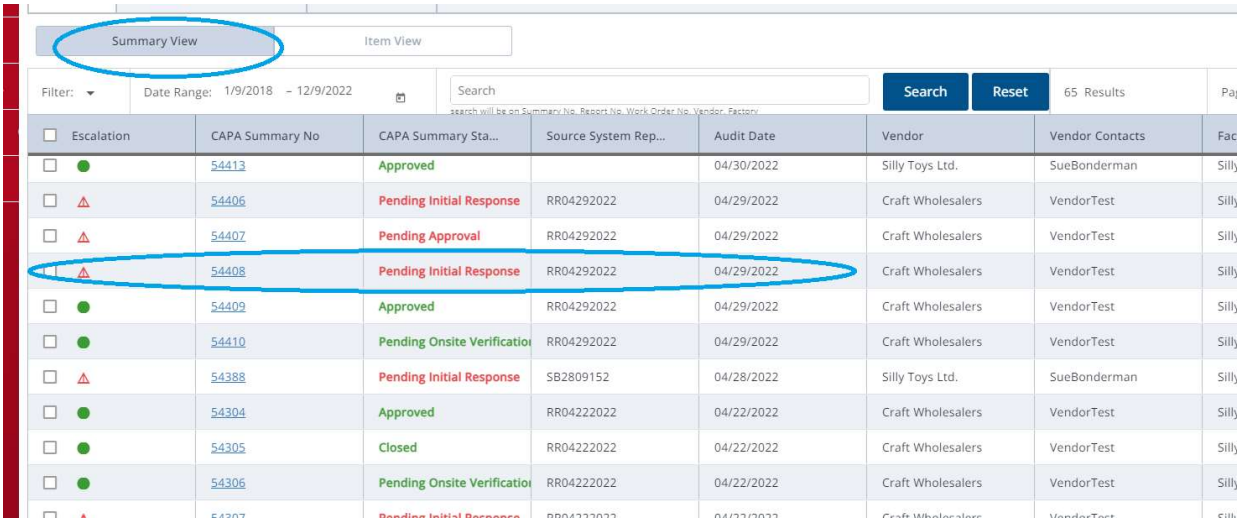
The change in Escalation Level is displayed in the Detailed History tab.

CAPA SUMMARY STATUS VERSUS CAPA ITEM STATUS

The CAPA Summary Status indicates the stage of the CAPA process based on a cumulative analysis of all CAPA's for a particular facility or vendor. It is updated to reflect the item status with the least progress, or in other words, the status reflecting the item that is in the earliest phase of the CAPA process. Note that there are two ways to view this information: the CAPA Summary View, and the CAPA Items View. Please see detailed descriptions of each view below:

From the CAPA Summary View:

When in CAPA Summary View, you will see one line for all findings associated with a particular audit regardless of the number of findings associated with that audit. The CAPA summary status will reflect the status of the individual CAPA item that has the least progress. Additionally, the CAPA summary will reflect the highest escalation level.

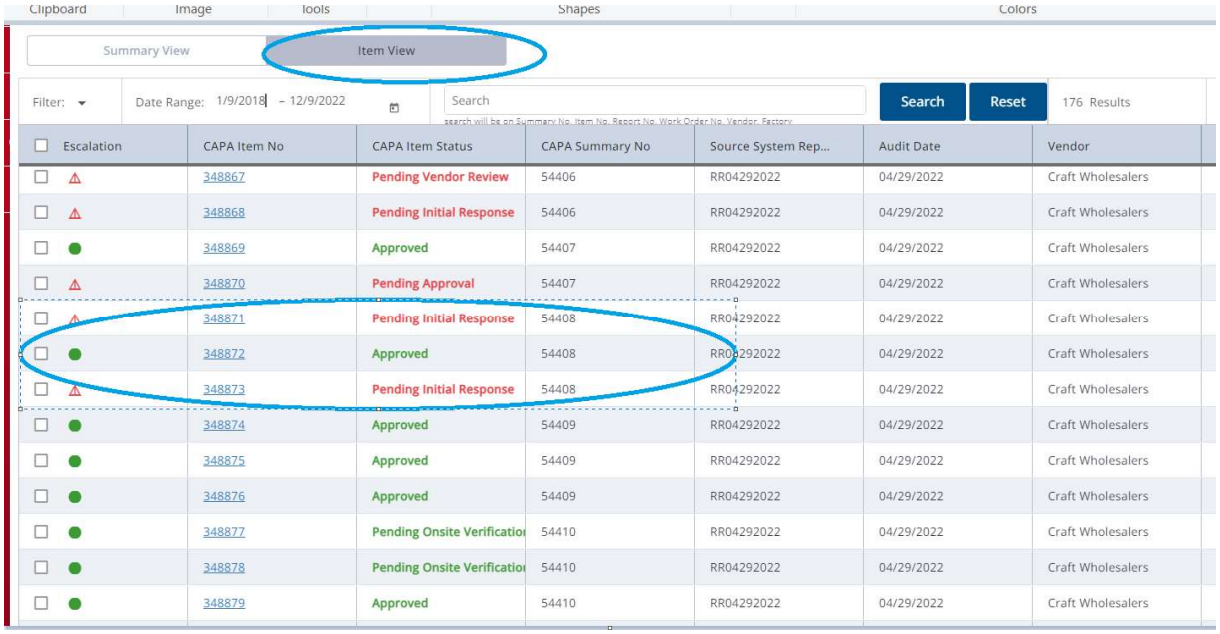


Escalation	CAPA Summary No	CAPA Summary Sta...	Source System Rep...	Audit Date	Vendor	Vendor Contacts
	54413	Approved		04/30/2022	Silly Toys Ltd.	SueBonderman
	54406	Pending Initial Response	RR04292022	04/29/2022	Craft Wholesalers	VendorTest
	54407	Pending Approval	RR04292022	04/29/2022	Craft Wholesalers	VendorTest
	54408	Pending Initial Response	RR04292022	04/29/2022	Craft Wholesalers	VendorTest
	54409	Approved	RR04292022	04/29/2022	Craft Wholesalers	VendorTest
	54410	Pending Onsite Verificatio	RR04292022	04/29/2022	Craft Wholesalers	VendorTest
	54388	Pending Initial Response	SB2809152	04/28/2022	Silly Toys Ltd.	SueBonderman
	54304	Approved	RR04222022	04/22/2022	Craft Wholesalers	VendorTest
	54305	Closed	RR04222022	04/22/2022	Craft Wholesalers	VendorTest
	54306	Pending Onsite Verificatio	RR04222022	04/22/2022	Craft Wholesalers	VendorTest

Note: If there are two CAPA items for one facility and one CAPA is Pending Initial Response while the other is Pending Approval, the overall CAPA Summary Status for that facility will be Pending Initial Response as this is the CAPA Item Status that reflects the least progress.

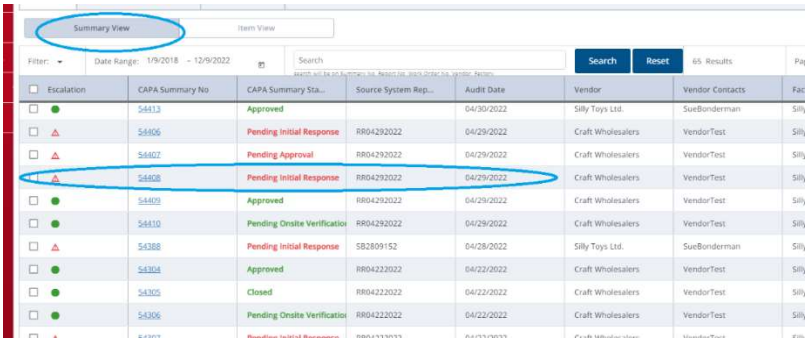
From the CAPA Items View:

When in the CAPA Items view you will see one line per each individual finding found during a given audit. In the example screenshot below we can see that there were 3 non-compliance findings for the audit identified by CAPA Summary Number 54408.



VIEWING VENDOR AND FACTORY SUPPLY CHAIN CONTACTS

1) **Note**: This can only be done from the CAPA Summary View.



To view contacts for a given vendor or factory, start by selecting a specific CAPA Summary No from the main CAPA page. Click on the CAP Summary number that you want to view.

2) A pop-up window will appear. On the left-hand side of the pop-up window, click on the "**Supply Chain & Contacts tab**".

A list outlining the client name, the vendor name (if

applicable), and the facility name will populate.

Contact details of the vendor and facility can be viewed by clicking on the “>” signs next to each entity name.

3) The email addresses for all CAPA contacts will populate under the company name with which they are associated. The email address also serves as the contact’s username.

If a contact is not listed here, they do not have access to the CAPA system.

If a contact’s email address is spelled incorrectly, the correct contact is not listed, or a contact’s email address needs to be updated entirely, please refer the user guideline Page 33.

CAPA EMAIL NOTIFICATIONS OVERVIEW

When you receive an automated email from the CAPA system, you need to log into the system and take actions.

Every time an item is modified in the CAPA system, an automatic email called the CAPA Daily Action Summary is generated to CAPA users. Without having to log into the system, this email will help you see if any new Items are pending your response.

Please be sure to add UL.DoNotReply@ul.com to your address book so these emails do not go to your Spam Folder.

Summary ID	Item ID	Client	Vendor	Factory	Work Order Type	Non Comp. Desc.	New Status	Escalation Level	Client Supply Chain ID

The CAPA Daily Email contains a spreadsheet of all the CAPA summary status activity for the day.

EXPORT FINDINGS

It may be convenient for you to download all finding information and approver comments in an easy to read excel format that can be reviewed when you are logged off the CAPA system.

- Make sure that you are in "**Item View**" before exporting all your findings.
- Check all CAPA items you want to view and click "**Download**" tab which appeared on the upper right screen
- The exported file would be download and saved in the local drive

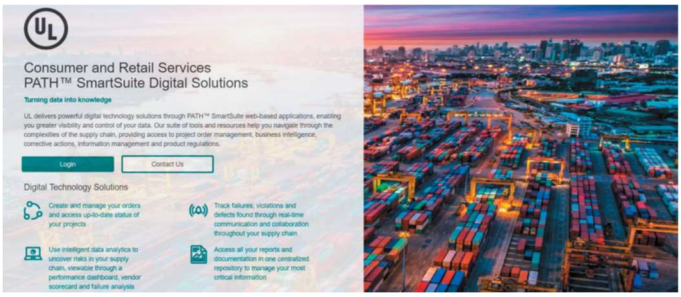
NOTE:
It's suggested the facility to choose the category information to be included into the exported file:

1. Checked the CAPA items the facility want to review
2. Click "Column", check the category from the dropdown list that you want view in the exported file; Or click "- ", then all categories should be included into the file
3. Click "Download" button, The exported file would be downloaded and saved in the local drive

CAPA TROUBLESHOOTING: HOW TO LOGIN THE CAPA SYSTEM

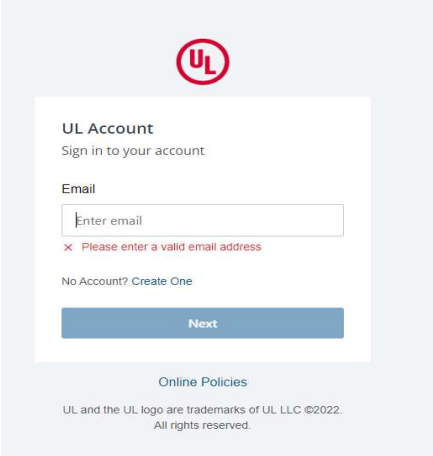
1. When the factory received the CAPA notification email, the contact person could login https://smartapps.ul.com

   Click “**Login**” button

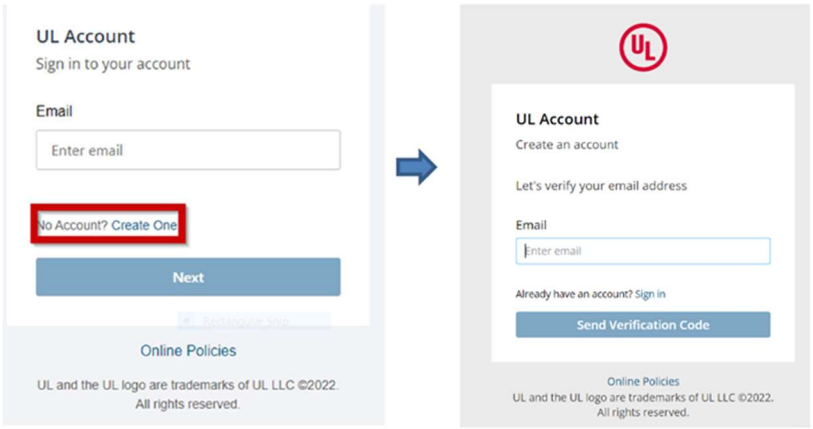


2. Input the username from the pop-up new page, then click “**Next**”, input the password, and click “**Next**” Button.

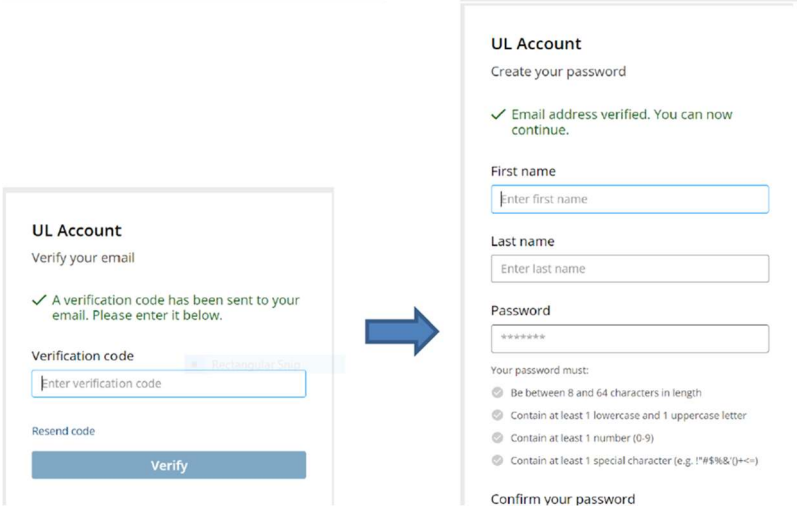
   If you are first login the CAPA system, you are required to create the new account through the link.



3. Click “**Create one**” and following the pop-up page to setup the individual account. click “**Send Verification Code**”, a verification code will be sent to your mailbox.



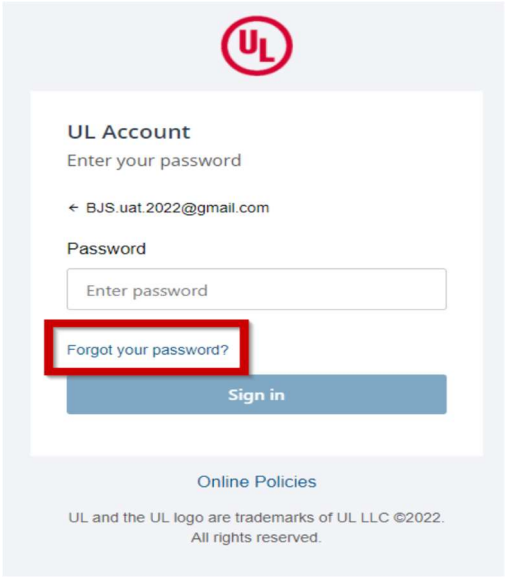
4. Input the verification code and complete the account setting



Notes

- Suggested to use the Microsoft Edge
- Time displayed on user’s computer must match the local time when you Google the words “local time.”

5. If you have lost or forgotten your password, then click on Forgot Password?
Enter your Username and click Next.
The system will send you an email with a link to change your password



ISSUE: I CAN NOT RECEIVE THE VERIFICATION CODE

When create the account, the facility may report that the verification code cannot be received.

- Firstly, please confirm if the account was created by click "**Create One**" link on the login screen
- Please check junk/spam email for the verification code.
- Please add noreply@mail.account.ul.com to whitelist.

If above steps was checked and still could not receive the verification code, please provide below information to ENF.clientsupport@ul.com

Client Name, Company Name, Username, User's Email Address

ISSUE: NO SUPPLIER CHAIN ASSOCIATED

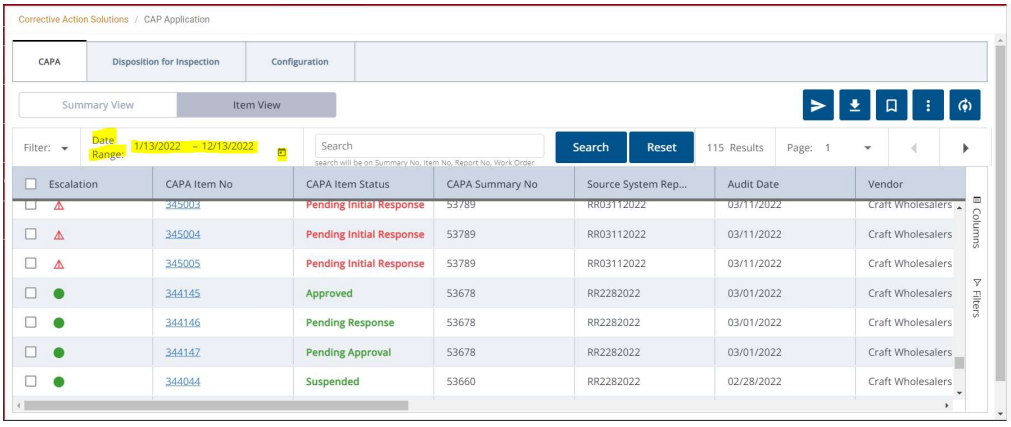
After creating the account and login the CAPA system, it's found the factory did not associate with any supplier chain.

The facility could send email to ENF.clientsupport@ul.com with Client Name, Company Name, Username, User's Email Address to ask the access right, and also include the screen shot for easy identification.

ISSUE: I CAN NOT FIND THE CAPA INFORMATION AFTER LOGIN THE CAPA SYSTEM

Note that by default the system will initially only load into the main screen of CAPA, data from the past three (3) months based on the most current audit date. This does not mean that the CAPA data that is more than three (3) months old is no longer in the CAPA system. To view CAPA data in which the most recent audit date is outside of the pre-populated date range users should take the following steps:

- Please use the filter of Date Range to select the proper date based on the CAPA you want to check.



If after taking the above steps, you still cannot see the CAPA data please contact capainfo@ul.com for further assistance. Please also provide the CAPA screen shots of what it is that you do see.

ISSUE: I WANT TO CHANGE CONTACT PERSON IN CAPA SYSTEM

If the supplier would like to update new contact person, or change the access right for current user, please send below information to ENF.clientsupport@ul.com in English.

1. Client name
2. Factory name
3. Factory address
4. Contact person full name (one or more person)
5. Email address of contact person
6. Contact from facility or vendor

INSTRUCTION ON HOW TO ANALYSIS ROOT CAUSE AND HOW TO DEVELOP THE CORRECTIVE ACTION.

Root cause analysis instruction in English	https://collateral-library-production.s3.amazonaws.com/uploads/asset_file/attachment/62289/Guidance_on_Root_Cause_041224-EN.pdf
Root cause analysis instruction in Chinese	https://collateral-library-production.s3.amazonaws.com/uploads/asset_file/attachment/61614/Guidance_on_Root_Cause_041224-CN.pdf
Corrective action instruction in English	https://collateral-library-production.s3.amazonaws.com/uploads/asset_file/attachment/61615/Guidance_on_Corrective_Action_041224_EN.pdf
Corrective action instruction in Chinese	https://collateral-library-production.s3.amazonaws.com/uploads/asset_file/attachment/61616/Guidance_on_Corrective_Action_041224_CN.pdf

CONTACT INFORMATION

UL Contact (audit and CAPA access or error questions; CAPA response questions)
capainfo@ul.com

Please include the information of **client name, vendor name, factory name and audit date** when send the email.