

# **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 <u>https://smartapps.ul.com</u>. 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 noncompliance 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 nonconformances 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					
Pe	ending Initial Response	Pe	ending response			
•	Review findings	•	Respond to any CAPA plans returned by			
•	Submit CAPA plan up to Vendor /		Vendor or Approver			
	Approver	•	Submit CAPA plan up to Vendor or			
•	Upload supporting evidence		Approver			
•	Make improvements					

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:

Item Information	Action: Submit						
	RemediationDate						
Actions	select estimated completion date here						
Approver Documents	CorrectionImmediateAction						
Responder Documents	Type response here						
History	RootCause						
Comments	Type response here						
Responder Details	CorrectiveAction						
Approver Details	Type response here						
	Evidence						
	Drag and drop files here OR						

# 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. <u>https://collateral-library-</u> <u>production.s3.amazonaws.com/uploads/asset\_file/attachment/62289/Guidance\_on\_Ro</u> <u>ot\_Cause\_041224-EN.pdf</u>

# 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.<u>https://collateral-library-</u> production.s3.amazonaws.com/uploads/asset\_file/attachment/61615/Guidance\_on\_Co rrective\_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.

Item Information	Approver Comments	
Actions		
Approver Documents	Comment	
Responder Documents	Thanks for your 1st submission; we accept the section (s): Immediate Action and Root Cause as well as Corrective	Colur
History	Action. However, please note below section (s) is / are INCOMPLETE, requiring revisions and re-submission: You h	SUUL
	ave 3 attempts for submission or this Item will automatically be moved to Pending Onsite Verification. Please rea	V
Comments	d guidance below carefully as the next response will be your 2nd attempt. For help, please email CAPAinfo@ul.co	Filters
Responder Details	m with below format for the email subject line: Factory Name / Client's name / CAPA Summary # / Subject (login i	
Approver Details	ssue, CAPA Plan, CAPA Status, other queries (choose one)). Thank youSupporting Documents: Please submit at	
	least 3 photos in different views indicating that the symbol of the assembly point is marked at all evacuation plot	

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 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

Item Information	Responder Details         Responder Comments         Add Responder Comments
Actions	Correction / Immediate Action Provide first aid kit in canteen
Approver Documents	<mark>Root Cause</mark> Provide first aid kit in canteen
Responder Documents	Corrective Action Provide first aid kit in canteen
History	Remediation Completion Date 11/29/2022
Comments	
Responder Details	
Approver Details	

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 <u>root</u> <u>cause analysis</u> and <u>long-term corrective action</u> 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.

- Immediate Action is ACCEPTED;
- o Root Cause is INCOMPLETE and must be revised;
- o 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. <u>"Management oversight" is an obvious and superficial</u> assessment of what lead to the non-compliance issue and not the root cause for this finding. <u>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.</u>

- Immediate Action is ACCEPTED;
- o Root Cause is INCOMPLETE and must be revised;
- o 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)

Item Information	Responder Details	Responder Comments	Add Responder Comments
Actions	Correction / Immediate / Provide first-aid kit in ca	Action nteen	
Approver Documents	Root Cause management oversight		
Responder Documents	Corrective Action We will assign staff to re	gularly check and maintain all	medicine boxes
History	Remediation Completior 11/29/2022	Date	
Comments			
Responder Details			
Approver Details			

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.

- 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?

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

# 5. Refusal to Submit a CAPA Plan

Item Information	Responder Details	Responder Comments	Add Responder Comments
Actions	Correction / Immediate This is in compliance wit	Action th local law and should not be	a finding
Approver Documents	Root Cause This is in compliance wit	th local law and should not be	a finding
Responder Documents	Corrective Action This is in compliance wit	th local law and should not be	a finding
History	Remediation Completion 11/29/2022	n Date	
Comments			
Responder Details			
Approver Details			

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 <u>CAPAinfo@ul.com</u>, 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.

- o 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**".

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

Summary View Item View							
Filter: 👻	Date Range: 6/8/2022 - 12/8/2022	E Search	manual Ale Same Ma Research Ma Wald	Padas No. Vandas Baitasi	Search R	eset 9 Results	
Escalation	CAPA Item No	CAPA Item Status	CAPA Summary No	Source System Rep	Audit Date	Vendor	
•	364945	Closed	56466	RR92655	11/01/2022	Spring Toy	
•	363564	Pending Onsite Verificatio	56315	RR654656	10/19/2022	Spring Toy	
•	363565	Pending Onsite Verificatio	56315	RR654656	10/19/2022	Spring Toy	
•	353458	Pending Response	55038	SB170141	06/17/2022	Craft Wholesalers	
•	353459	Pending Response	55038	SB170141	06/17/2022	Craft Wholesalers	
•	353460	Pending Response	55038	SB170141	06/17/2022	Craft Wholesalers	
•	353461	Approved	55039	SB170258	06/17/2022	Craft Wholesalers	
•	353462	Approved	55039	SB170258	06/17/2022	Craft Wholesalers	
•	353463	Approved	55039	SB170258	06/17/2022	Craft Wholesalers	

Summary View Item View							
Filter: 👻	Date Ranj	ge: 6/8/2022 - 12/8/2022	Search	man No. Han No. Banot No. Work	Order No. Vendor, Bertony	Search Reset	9 Results
Escalation		CAPA Item No ≡	CAPA Item Status	CAPA Summary No	Source System Rep	Audit Date	Vendor
•		364945	Closed	56466	RR92655	11/01/2022	Spring Toy
•		363564	Pending Onsite Verification	56315	RR654656	10/19/2022	Spring Toy
•		363565	Pending Onsite Verification	56315	RR654656	10/19/2022	Spring Toy
•		353458	Pending Response	55038	SB170141	06/17/2022	Craft Wholesaler
•		353459	Pending Response	55038	SB170141	06/17/2022	Craft Wholesaler
•		353460	Pending Response	55038	SB170141	06/17/2022	Craft Wholesaler
•		353461	Approved	55039	SB170258	06/17/2022	Craft Wholesaler
•		353462	Approved	55039	SB170258	06/17/2022	Craft Wholesaler
•		353463	Approved	55039	SB170258	06/17/2022	Craft Wholesalers

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.

	RemediationDate
Actions	select estimated completion date here
Approver Documents	CorrectionImmediateAction
Responder Documents	Type response here
History	RootCause
Comments	Type response here
Responder Details	CorrectiveAction
Approver Details	Type response here
	Evidence

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.

	Ċ	BROWSE FOR FILES	$\supset$		
File Name	File Size	File Type	Action		
12.8.2022 corrected potos.	0 Byte	docx	î		
				-	
				2 11 10 10	
sponder Comment					
				Save	Sub

# NOTE:

The accepted files type included: **JPG**, **PDF**, **WORD**, **EXCEL**. Please ensure the file is not larger than 3MB 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					
<ul> <li>Review findings</li> <li>Upload supporting evidence</li> <li>Submit CAPA plan to Approver</li> </ul>	<ul> <li>Review findings</li> <li>Review CAPA plan from factory</li> <li>Upload additional supporting evidence</li> <li>Submit acceptable CAPA plan to Approver, or Return CAPA plan back to facility with comments</li> <li>Review any resubmitted plans and submit to client</li> </ul>	<ul> <li>Review findings</li> <li>Urge facility to revise the CAPA plan and submit</li> <li>Revise rejected CAPA plan on behalf of factory and submit to Approver</li> <li>Return CAPA plan back to facility with comments</li> <li>Review any resubmitted plans and submit to client</li> </ul>					

Item View

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

ilter: 🔻 Date	Range: 6/8/2022 - 12/8/202	2 E Search search will be on Sy	mmary No. Item No. Report No. Wor	k Order No. Vendor. Fectory	Search F	9 Results
Escalation	CAPA Item No	CAPA Item Status	CAPA Summary No	Source System Rep	Audit Date	Vendor
•	364945	Closed	56466	RR92655	11/01/2022	Spring Toy
•	363564	Pending Onsite Verification	56315	RR654656	10/19/2022	Spring Toy
•	363565	Pending Onsite Verification	56315	RR654656	10/19/2022	Spring Toy
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•	353459	Pending Response	55038	SB170141	06/17/2022	Craft Wholesaler
•	353460	Pending Response	55038	SB170141	06/17/2022	Craft Wholesaler
•	353461	Approved	55039	SB170258	06/17/2022	Craft Wholesaler:
•	353462	Approved	55039	SB170258	06/17/2022	Craft Wholesaler
•	353463	Approved	55039	SB170258	06/17/2022	Craft Wholesaler

**Note**: Default view after you have logged in is the CAPA "**Items View**".  Click the CAPA Item No and check the finding that you want to edit

Sui	mmary View		Item View	>			
Filter: 👻	Date Ran	ge: 6/8/2022 - 12/8/2022	Search	mmery No. Item No. Report No. Work Or	der No. Vendor, Fectory	Search Reset	9 Results
Escalation	r i	CAPA Item No =	CAPA Item Status	CAPA Summary No	Source System Rep	Audit Date	Vendor
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•		353462	Approved	55039	SB170258	06/17/2022	Craft Wholesalers
•		353463	Approved	55039	SB170258	06/17/2022	Craft Wholesalers

 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.

Item Information	Action:	Vendor Return to Submitter				
Actions	Remediation Completion Date					
Approver Documents	12/8/2022					
esponder Documents	Correction/ Immediate Action					
History	The factory will install locks on all emo	ergency exits.				
Common and the	Root Cause					
comments	Negligence of management.					
Responder Details	Corrective Action					
Approver Details	1. Safety control procedures will be re 2. Distribute the program to each wor 3. Train the managers and security gu 4. Security guards inspect the emerge 1.考醒新问题之社的规模 2.特醒非下及到最高度 3.划结车间度通常和保护运行给训 4. 图像安每天对紧急出口运行追查,确例	formaland skipp ards of each workshop ncy exits daily to ensure that no occupied doors are closed. 別沒有成品問题门還來現代表。				

Name File Size File Type Action Course of the Size Pile Size File Type Results Found File Size File File Size File Size File Size File File File File File File File F			BROWSE FOR FILES		
No Results Found	e Name	File Size	File Type	Action	
No Results Found ア Tipe					Columns
			No Results Found		⊳ Filters

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.

	Date Range: 6/9/2022 - 12/9/2022	10 Se	arch	al Calastic Verdas Protes	Search	Reset	9 Results
Escalation	n CAPA Item No	CAPA Item Statu	s CAPA Summary No	Source System Rep	Audit Date		Vendor
•	<u>364945</u>	Closed	56466	RR92655	11/01/2022		Spring Toy
•	363564	Pending Onsite	Verification 56315	RR654656	10/19/2022		Spring Toy
•	363565	Pending Onsite	Verification 56315	RR654656	10/19/2022		Spring Toy
•	353458	Pending Approv	al 56038	SB170141	06/17/2022		Craft Wholesalers
•	353459	Pending Respon	se 55038	SB170141	06/17/2022		Craft Wholesalers
•	353460	Pending Respon	se 55038	SB170141	06/17/2022		Craft Wholesalers
•	353461	Approved	55039	SB170258	06/17/2022		Craft Wholesalers
•	353462	Approved	55039	SB170258	06/17/2022		Craft Wholesalers
	353463	Approved	55039	SB170258	06/17/2022		Craft Wholesalers

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

 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.

Su	mmary View		Item View					( >)±	L : (
Filter: 👻	Date Rang	ge: 6/9/2022 - 12/9/2022	Search	ummary list. Here for Resort for 10x10	the No. Yandor Ratton	Search Reset	9 Results	Page: 1 *	- ( )
Escalation	1	CAPA Item No	CAPA Item Status	CAPA Summary No	Source System Rep	Audit Date	Vendor	Factory	Audit Locatio
		364945	Closed	56466	RR92655	11/01/2022	Spring Toy	Spring Toy	United State
		363564	Pending Onsite Verificatio	56315	RR654656	10/19/2022	Spring Toy	Spring Toy	United State
		363565	Pending Onsite Verificatio	56315	RR654656	10/19/2022	Spring Toy	Spring Toy	United State
<b>2</b>		353458	Pending Approval	55038	SB170141	06/17/2022	Craft Wholesalers	Silly Toys Ltd.	United State
		353459	Pending Response	55038	SB170141	06/17/2022	Craft Wholesalers	Silly Toys Ltd.	United State
		353460	Pending Response	55038	SB170141	06/17/2022	Craft Wholesalers	Silly Toys Ltd.	United State
•		353461	Approved	55039	SB170258	06/17/2022	Craft Wholesalers	Silly Toys Ltd.	United State

#### New Message

New Message

isage					
ection					
	353458	Pending Approval	55038	Source System Rep	Audit 06/11

 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.

#### Recipients SBTestCompany1@953pmfat.mailosaur.net 🕲 Vendor@953pmfat.mailosaur.net 🕲 > Spring Toy ✓ Craft Wholesalers Vendor@953pmfat.mailosaur.net ✓ STL, inc SBTestCompany1@953pmfat.mailosaur.net Selection Escalation CAPA Item No CAPA Item Status CAPA Summary No Source System Rep. Audit 54417 05/01 348889 Pending Approval

4) Enter subject line and email body text.

Vendor@953pmfat.	mailosaur.net 🔘 SBT	lestCompany1@953pmfat.r	mailosaur.net 🕲				
sject							
lient: XXX / Vendor: YYY	/ Factory: ZZZZ_ How to uploa	d the evidence					
ssage							
rpe email content here							
an add in se					_		
ecuon			CARA Summany No.	Source System Ren	Audit		
Escalation	CAPA Item No	CAPA Item Status	Chi A Summary Ho	and the second second second second			
Escalation	CAPA Item No 353458	CAPA Item Status Pending Approval	55038	58170141	06/13	B Colu	

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**".

4				⊳ Filters	
pload Files		Drag and drop files here OR BROWSE FOR FILES			
File Name	Size	File Type	Action	E Colum	
		No Results Found		nns Þ Filters	

# 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	<ul> <li>First status to begin the workflow when the audit has been completed.</li> <li>Indicates that a response is needed from the Vendor or Facility in the form of a completed CAPA Plan.</li> </ul>
	If there is no Vendor in the supply chain, then the Responder from the Facility may submit directly to the Approver.	
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.	<ul> <li>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:</li> <li>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.</li> <li>Pending CAPA Revision: The CAPA plan submitted by the Responder was incomplete. 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.</li> <li>Pending Training: The Approver requires the responder to improve their skills in a particular area prior to resubmitting the revised CAPA Plan.</li> </ul>
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 <b>no further actions are necessary.</b>
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 <b>some items need to be</b> <b>verified onsite.</b> 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.

Summ	nary View	Item View					
Filter: 👻	Date Range: 1/9/2018 – 12/9/2022	Search	mmery No. Report No. Work Order No	. Vandor, Factory	Search Reset	65 Results	Paj
Escalation	CAPA Summary No	CAPA Summary Sta	Source System Rep	Audit Date	Vendor	Vendor Contacts	Fac
	54413	Approved		04/30/2022	Silly Toys Ltd.	SueBonderman	Silly
	<u>54406</u>	Pending Initial Response	RR04292022	04/29/2022	Craft Wholesalers	VendorTest	Silly
	54407	Pending Approval	RR04292022	04/29/2022	Craft Wholesalers	VendorTest	Silly
	54408	Pending Initial Response	RR04292022	04/29/2022	Craft Wholesalers	VendorTest	Silly
	54409	Approved	RR04292022	04/29/2022	Craft Wholesalers	VendorTest	Silly
	<u>54410</u>	Pending Onsite Verification	RR04292022	04/29/2022	Craft Wholesalers	VendorTest	Silly
	54388	Pending Initial Response	SB2809152	04/28/2022	Silly Toys Ltd.	SueBonderman	Silly
•	54304	Approved	RR04222022	04/22/2022	Craft Wholesalers	VendorTest	Silly
	54305	Closed	RR04222022	04/22/2022	Craft Wholesalers	VendorTest	Silly
	<u>54306</u>	Pending Onsite Verification	RR04222022	04/22/2022	Craft Wholesalers	VendorTest	Silly
	54207	Dending Initial Despense	8804222022	04/33/3033	Croft Miheleselere	MandarTest	C 111

**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.

Clipboard	Image Iools		Shapes		Color	5
Sur	nmary View	Item View	>			
Filter: 👻	Date Range: 1/9/2018 - 12/9/2022	Search	immery No. Item No. Report No. Work O	rder No. Vendor, Fectory	Search Reset	176 Results
Escalation	CAPA Item No	CAPA Item Status	CAPA Summary No	Source System Rep	Audit Date	Vendor
	348867	Pending Vendor Review	54406	RR04292022	04/29/2022	Craft Wholesalers
	348868	Pending Initial Response	54406	RR04292022	04/29/2022	Craft Wholesalers
	348869	Approved	54407	RR04292022	04/29/2022	Craft Wholesalers
	348870	Pending Approval	54407	RR04292022	04/29/2022	Craft Wholesalers
	348871	Pending Initial Response	54408	RR04292022	04/29/2022	Craft Wholesalers
	348872	Approved	54408	RR00292022	04/29/2022	Craft Wholesalers
	348873	Pending Initial Response	54408	RR04292022	04/29/2022	Craft Wholesalers
	348874	Approved	54409	RR04292022	04/29/2022	Craft Wholesalers
	348875	Approved	54409	RR04292022	04/29/2022	Craft Wholesalers
	348876	Approved	54409	RR04292022	04/29/2022	Craft Wholesalers
	348877	Pending Onsite Verification	54410	RR04292022	04/29/2022	Craft Wholesalers
	348878	Pending Onsite Verification	54410	RR04292022	04/29/2022	Craft Wholesalers
	<u>348879</u>	Approved	54410	RR04292022	04/29/2022	Craft Wholesalers

# 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.

 A pop-up window will appear. On the lefthand side of the popup window, click on the "Supply Chain & Contacts tab".

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

Sun	nmary View	Item View					
Filter: •	Date Range: 1/9/2018 - 12/9/2022	g Search	man ka kaset ka weri Orlar k	a Vandor Aasters	Search Reset	65 Results	Pa
Escalation	CAPA Summary No	CAPA Summary Sta	Source System Rep	Audit Date	Vendor	Vendor Contacts	Fac
•	54413	Approved		04/30/2022	Silly Toys Ltd.	SueBonderman	Silly
	54406	Pending Initial Response	RR04292022	04/29/2022	Craft Wholesalers	VendorTest	Silly
	54407	Pending Approval	RR04292022	04/29/2022	Craft Wholesalers	VendorTest	Silly
	54408	Pending Initial Response	RR04292022	04/29/2022	Craft Wholesalers	VendorTest	510
•	54409	Approved	RR04292022	04/29/2022	Craft Wholesalers	VendorTest	5.05
•	54410	Pending Onsite Verification	RR04292022	04/29/2022	Craft Wholesalers	VendorTest	Silly
	54388	Pending Initial Response	SB2809152	04/28/2022	Silly Toys Ltd.	SueBonderman	Silly
•	54304	Approved	RR04222022	04/22/2022	Craft Wholesalers	VendorTest	SIII)
	54305	Closed	RR04222022	04/22/2022	Craft Wholesalers	VendorTest	589
•	54306	Pending Onsite Verification	RR04222022	04/22/2022	Craft Wholesalers	VendorTest	Silly
	54307	Boo diversity of Boose street	00010330033	10.4173 (2007)	dente talendaria la constana	Manufacture West	

2/0071			Contraction and the second	Audit Dat
11001.1	Pending Initial Response	54408	RR04292022	04/29/20
348872	Approved	54408	RR04292022	04/29/202
348873	Pending Initial Response	54408	RR04292022	04/29/202
	<u>348872</u> 348873	348872         Approved           348873         Pending Initial Response	348872         Approved         54408           348873         Pending Initial Response         54408	348872         Approved         54408         RR04292022           348873         Pending Initial Response         54408         RR04292022

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 <u>UL.DoNotReply@ul.com</u> to your address book so these emails do not go to your Spam Folder.

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

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1	Summary View		Item View						
2	Filter: 👻 Date Ran	ige: 1/1/2018 - 12/9/2022	E Search	mmery No. Item No. Report No. Work O	rder No. Vendor, Factory	Search Reset	176 Results	Page: 1	•
	Escalation	CAPA Item No	CAPA Item Status	CAPA Summary No	Source System Rep	Audit Date	Vendor	Factory	Audit Locatio
		348882	Approved	54413		04/30/2022	Silly Toys Ltd.	Silly Toys Ltd.	United Sta 🔺
-		348866	Pending Approval	54406	RR04292022	04/29/2022	Craft Wholesalers	Silly Toys Ltd.	United Sta
		348867	Pending Vendor Review	54406	RR04292022	04/29/2022	Craft Wholesalers	Silly Toys Ltd.	United Sta
	□ ▲	348868	Pending Initial Response	54406	RR04292022	04/29/2022	Craft Wholesalers	Silly Toys Ltd.	United Sta
		348869	Approved	54407	RR04292022	04/29/2022	Craft Wholesalers	Silly Toys Ltd.	United Sta
		348870	Pending Approval	54407	RR04292022	04/29/2022	Craft Wholesalers	Silly Toys Ltd.	United Sta
	Δ	348871	Pending Initial Response	54408	RR04292022	04/29/2022	Craft Wholesalers	Silly Toys Ltd.	United Sta
	•	348872	Approved	54408	RR04292022	04/29/2022	Craft Wholesalers	Silly Toys Ltd.	United Sta
	☑ ▲	348873	Pending Initial Response	54408	RR04292022	04/29/2022	Craft Wholesalers	Silly Toys Ltd.	United Sta
		348874	Approved	54409	RR04292022	04/29/2022	Craft Wholesalers	Silly Toys Ltd.	United Sta
		<u>348875</u>	Approved	54409	RR04292022	04/29/2022	Craft Wholesalers	Silly Toys Ltd.	United Sta

## 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

Su	mmary View	Item View							> ± 🛛 :	۵
Filter: 👻	Date Range: 1/1/201	8 - 12/9/2022	Search	maran Na Tana Na Sasara Na Wash /	Nadao No Visadao Basteri	Search Reset	176 Results	Page:	1	•
E Escalation	CAPA Iten	n No CAPA It	em Status	CAPA Summary No	Source System Rep	Audit Date	Vendor	Factor	Pivot Mode	1
	348882	Approv	ed	54413		04/30/2022	Silly Toys Ltd.	Sil 🔺	Surch	E Col
	348866	Pending	s Approval	54406	RR04292022	04/29/2022	Craft Wholesalers	Sil	Escalation	*
	348867	Pending	Vendor Review	54406	RR04292022	04/29/2022	Craft Wholesalers	Sil	CAPA Item No	Ľ
	348868	Pending	Initial Response	54406	RR04292022	04/29/2022	Craft Wholesalers	Sil	CAPA Item status	> Filte
	348869	Approv	ed	54407	RR04292022	04/29/2022	Craft Wholesalers	Sil	Source System Repor Audit Date	2
	348870	Pending	Approval	54407	RR04292022	04/29/2022	Craft Wholesalers	Sil	Vendor	
▲ 🛛	348871	Pending	Initial Response	54408	RR04292022	04/29/2022	Craft Wholesalers	Sil	Audit Location	
•	348872	Approv	ed	54408	RR04292022	04/29/2022	Craft Wholesalers	Sil	Work Order Type	
☑ 🔺	348873	Pending	Initial Response	54408	RR04292022	04/29/2022	Craft Wholesalers	Sil	Non Compliance Sect	*
•	348874	Approv	ed	54409	RR04292022	04/29/2022	Craft Wholesalers	Sil	I Row Groups	
	348875	Approv	ed	54409	RR04292022	04/29/2022	Craft Wholesalers	Sil	Drag here to set row groups	
	348876	Approv	ed	54409	RR04292022	04/29/2022	Craft Wholesalers	Sil		
•	348877	Pending	onsite Verification	54410	RR04292022	04/29/2022	Craft Wholesalers	Sil	Σ Values	
	348878	Pending	Onsite Verification	54410	RR04292022	04/29/2022	Craft Wholesalers	Sil 🔻	Drag here to aggregate	

# CAPA TROUBLESHOOTING: HOW TO LOGIN THE CAPA SYSTEM

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

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.





- 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

Sign in to your account	(দ)
Email	UL Account
Enter email	Create an account
I	Let's verify your email address
la Account2 Crasta One	Empil
NO ACCOUNTY Cleare One	Enter email
Next	Prote access
	Already have an account? Sign in
	Send Verification Code
Online Policies	
UL and the UL logo are trademarks of UL LLC @2022. All rights reserved.	Online Policies UL and the UL logo are trademarks of UL LLC ©2022 All rights reserved.
	Create your password
	Create your password ✓ Email address verified. You can now continue. First name
	Create your password Create your password Email address verified. You can now continue. First name Enter first name
UL Account	Create your password Create your password Email address verified. You can now continue. First name Enter first name Last name
<b>UL Account</b> Verify your email	Create your password  Create your password  Create your password  First name  Enter first name  Last name  Enter first name
<b>UL Account</b> Verify your email	Create your password Create your password Email address verified. You can now continue. First name Enter first name Enter last name
UL Account Verify your email ✓ A verification code has been sent to your email. Please enter it below.	Create your password  Create your password  Create your password  Create your password  First name  Enter first name  Enter last name  Password
UL Account Verify your email ✓ A verification code has been sent to your email. Please enter it below.	Create your password  Create your password  Create your password  Create your password  First name  Enter first name  Enter last name  Password  ******
UL Account Verify your email A verification code has been sent to your email. Please enter it below. Verification code	Create your password  Create your password  Create your password  Create your password  First name  Enter last name  Password  Create your password must:
UL Account Verify your email A verification code has been sent to your email. Please enter it below. Verification code Enter verification code	Create your password  Create your password  Create your password  First name  Enter first name  Enter last name  Password  ******  Your password must:  Between 8 and 64 characters in length
UL Account Verify your email A verification code has been sent to your email. Please enter it below. Verification code Bettemptidet Sent Enter verification code	Create your password  Create your password  Create your password  First name  Enter first name  Enter last name  Password  ******  Your password must:  Bebetween 8 and 64 characters in length Contain at least 1 lowercase and 1 uppercase letter
UL Account Verify your email A verification code has been sent to your email. Please enter it below. Verification code Enter verification code Resend code	Create your password  Create your password  Create your password  First name  Enter first name  Enter last name  Password  Vour password must:  Be between 8 and 64 characters in length Contain at least 1 lowercase and 1 uppercase letter Contain at least 1 number (0-9)

#### 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."
- 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

(U)
UL Account Enter your password ← BJS.uat.2022@gmail.com
Password Enter password
Forgot your password? Sign in
Online Policies
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# 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 <u>noreply@mail.account.ul.com</u> to whitelist.

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

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 <u>ENF.clientsupport@ul.com</u> with Client Name, Company Name, 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.

CAPA Dispo	sition for Inspection C	onfiguration				
Summary View	Item Viev	ı			>	± 🛛 : (
iter: • Date Range:	/13/2022 - 12/13/2022	Search search will be on Summary No, Ite	m No, Report No, Work Order	Search Reset	115 Results Page: 1	•
Escalation	CAPA Item No	CAPA Item Status	CAPA Summary No	Source System Rep	Audit Date	Vendor
Δ	345003	Pending Initial Response	53789	RR03112022	03/11/2022	Craft Wholesalers
] ▲	345004	Pending Initial Response	53789	RR03112022	03/11/2022	Craft Wholesalers
▲	345005	Pending Initial Response	53789	RR03112022	03/11/2022	Craft Wholesalers
•	344145	Approved	53678	RR2282022	03/01/2022	Craft Wholesalers
•	344146	Pending Response	53678	RR2282022	03/01/2022	Craft Wholesalers
•	344147	Pending Approval	53678	RR2282022	03/01/2022	Craft Wholesalers
1	344044	Suspended	53660	RR2282022	02/28/2022	Craft Wholesalers

If after taking the above steps, you still cannot see the CAPA data please contact <u>capainfo@ul.com</u> 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 <u>ENF.clientsupport@ul.com</u> 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.