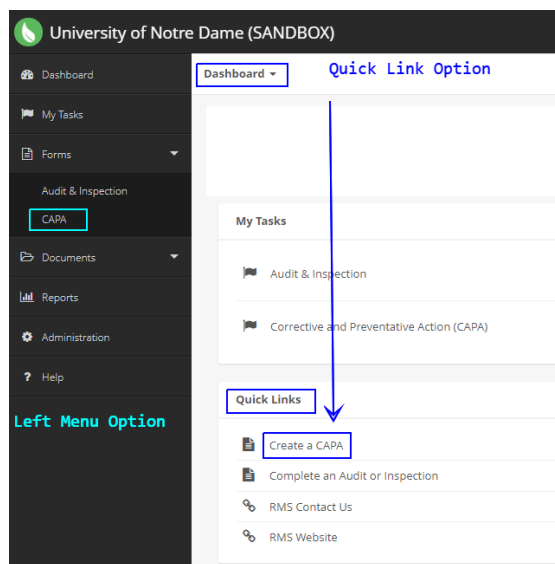


## Corrective and Preventative Action (CAPA)

There are two ways to create a CAPA:

1. Ad-hoc via the CAPA Form
2. CAPA Worksheet

Ad-hoc CAPA creation is found on your dashboard navigation menu under “Forms” or you can click the “Create a CAPA” on your dashboard once signed in.



Click green “Create a CAPA” button

1. Your name should appear in the Identifying Person Field automatically
2. Identification Date will automatically appear as today’s date (you can change this date by clicking the calendar icon to the right of the field).

### Assignment Section

1. Room – click the magnifying glass icon to the right of the field to open room assignment options
2. Click the arrow beside the corresponding room to bring up specific options
3. Click the option & click “ok”
4. Quick search for Business Entity/Dept. begin typing in your dept. name and click the check mark and watch for the auto fill.

Business Entity ?

Risk

→ ✓ ▾ 👤

- If no success using this option you can also search by clicking the group icon (shown below) and choose the hierarchy to drill down to your department.

Business Entity ?

☐

☐



- Click the arrows to open additional choices to locate your department/business entity or begin typing your department name and hit enter to locate.

#### Two Options to locate Business Entity/Department

##### Option A

Business Entity

Search

- University
  - Executive VP and Treasurer
  - VP and Chief Information Officer
  - VP Campus Safety & University Operations
    - Building Services
    - CS&UO Other
    - Notre Dame Fire Department
    - Notre Dame Police Department
    - Risk Management and Safety
    - Warehouse Delivery & Transportation
  - VP Facilities Design & Operations
  - VP University Enterprises & Events
  - President of the University
  - Provost

OK Cancel

##### Option B

Business Entity

Risk ← Type in department name click "enter"

- University
  - Executive VP and Treasurer
    - VP Campus Safety & University Operations
      - Risk Management and Safety

OK Cancel

- Next question: Is this action assigned to a single person  
Yes – assign to person in the next field  
No- You can assign to a Role. Dept. Administrator, Exe. Viewer, Inspector

---

## Action Details Section

1. Choose Action Type: Preventative/Improvement or Corrective/NonConformity
2. Choose a due date
3. Choose Hazard Category. (same search options as previously stated. You can begin typing Fall in the field and click enter and Fall Protection will auto fill. If you need to search the category click the magnifying glass to bring up all hazard categories and click arrows to bring up all choices.

Hazard Category

Fall Protection	✓	
-----------------	---	---

4. The next two fields are free text to describe the finding(s) and describe the action(s)
5. You may add work order information if one is submitted

If applicable, has a work order been submitted?

☒

Opens Priority  
options

Work Order Number

Type in

Priority

	▼
Minor	
Intermediate	
Serious	



## Escalation Section

1. Should this action be escalated? If you choose yes using the drop down it will open additional fields for completion.
2. You can escalate to a single person or a role. When searching for a single person and receive an error message try using the last name to refine your search not the first name and click return to auto fill appropriate person. When clicking in the date field it will bring up a calendar to choose a date.

Should this action be escalated?

Does this action escalate to a single person?

Escalate To ?

  ☒  

Escalate To found too many results. Please refine your search.

Type in last name

Escalation Date ?

## Review Section

If the CAPA or escalation does not need reviewed choose “no” in the first field asking Should this action be reviewed? If you would like to include a supervisor or manager for review clicking “yes” will bring up additional fields similar to those above so you can identify a role or person to review.

Search Tip: If you know the person’s first name or unsure how to spell their last name you can click the magnifying glass to bring up a search box. You can type in part of the last name such as “gru” and hit enter and it will bring up like people that have a name that is closely related to the typed information. You can then click on the name to auto fill the form. See below –

Reviewer

Name	Username	Business Entity
Carla Gruse	cbeadles@nd.edu	
John Gr	@nd.edu	

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## Attachment Section

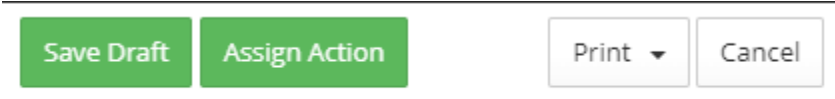
A CAPA form allows attachments. Click the paperclip area where you will be asked to upload an attachment from your phone or computer.

### Attachments



## Final Steps

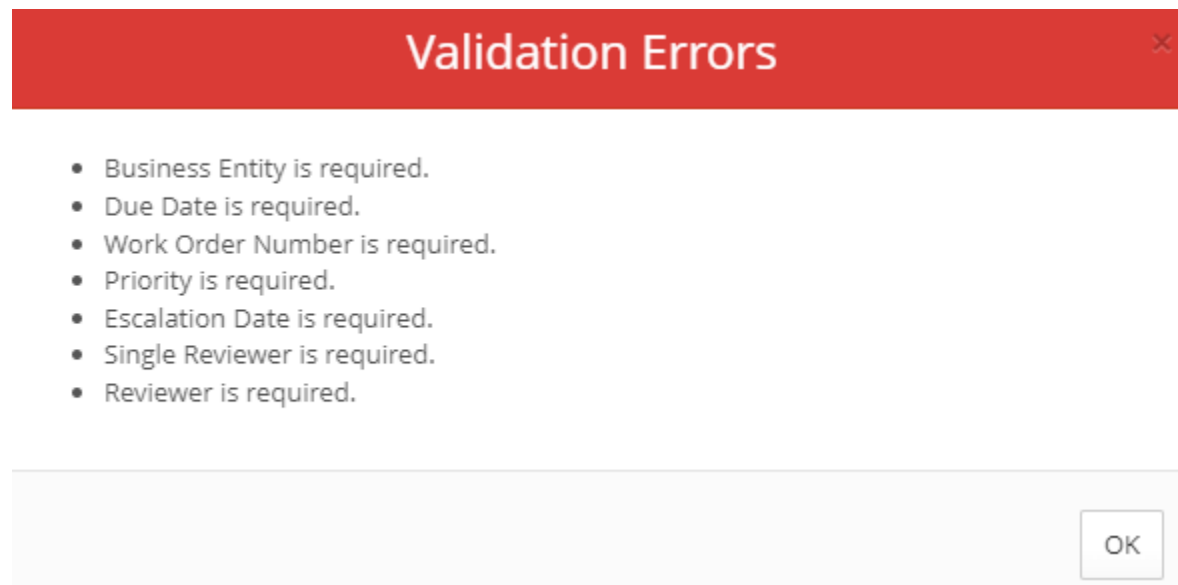
Located at the top of CAPA screen



You can save a draft in the event you cannot complete the CAPA fully. To locate the saved draft later click on the "My Tasks" area on the left menu bar.

If the CAPA is complete you can click "Assign Action" and follow prompts to move the CAPA forward. This will generate an email to the assigned person and escalated person if applicable.

If there are required areas of the form incomplete you will receive a response asking you to validate errors similar to the one below.

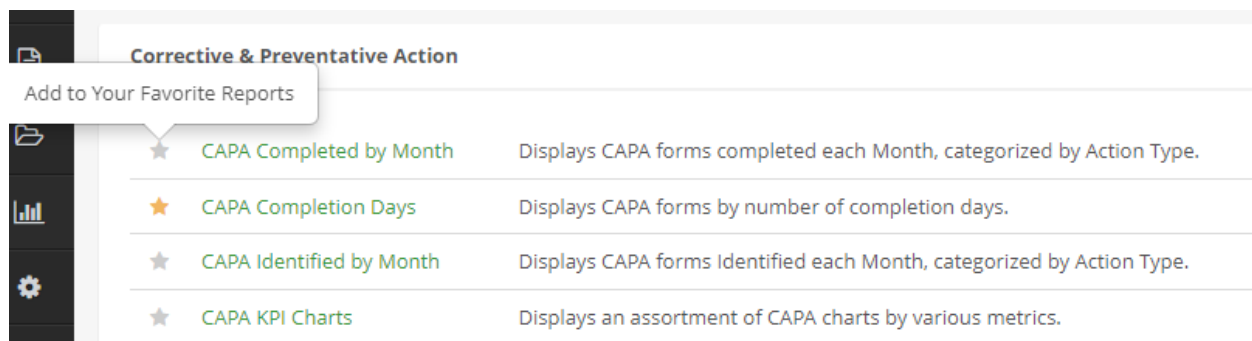


Click "ok" to remove the error and review the form. All the items listed on the Validation popup will also be highlighted in red on the form. Once you complete these errors the form will be ready for submission.

You may print the form or cancel the form. There may be times you realize the CAPA is not needed or you wish to begin again at a later point and do not wish to save as a draft. The cancel button will allow this option.

## CAPA Reports

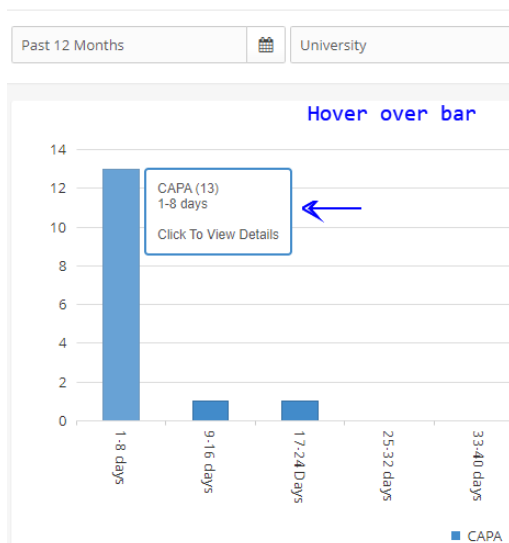
There are several reports available for CAPA's. Those reports can be found by opening the "Report" area on the left side menu. Scroll down until you see Corrective & Preventative Action. You can click the stars next to the report and add them to your "favorites." This will help if you have reports you visit over and over.




You can hover over bar graphs for more information as well as click on the bar graph for detailed information. You can change the date duration for the report as it defaults to the last 12 months upon opening the reporting screen. You can export the report to excel and many other options using the tool bar shown below.

## CAPA Completion Days

[Home](#) / [Reports](#) / CAPA Completion Days



## Email Notification

  
**CAPA - Awaiting Completion - C-1805-0003 - Scranton**  

A CAPA form has been created from Scranton and is AWAITING COMPLETION.

You may view or print this action by clicking this link:

[View C-1805-0003](#)

  
**Identification**

Identifying Person	Sean Skinner
Identification Date	2018-05-01
Identification Source	Corrective and Preventative Action (CAPA)

  
**Assignment**

Business Entity	Scranton
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