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Introduction

This guide provides users with simple instructions on how to use this CAPA and investigation management software.

Most CAPA Manager questions should be answered in this document. If you're unable to find the answers to your question, then please contact support@adaptivebms.com for more information.

How to request an Adaptive CAPA Manager account?

To request a fully functioning CAPA Manager evaluation account, please click on the ‘Create a CAPA Manager evaluation account’ link on the Adaptive homepage: adaptivebms.com

CAPA Manager purpose

Adaptive CAPA Manager provides an electronic Corrective Action and Preventive Action (CAPA) solution for your business and supply chain. The CAPA Manager software allows internal and external users to record, investigate, track and conclude improvement opportunities in your organization and supply chain. Typical applications include:

- Continual Improvement (CI) management
- Quality management
- Supplier quality management
- Audit action management
- Health, safety and environmental management (HSE)
- Team task management

CAPA Manager ensures that new improvement requests are assigned to the right person in your organization, stakeholders are kept informed of progress via auto e-mail updates.

Adaptive CAPA Manager is intuitive to learn, easy to use and compliant. The system should help your business to quickly gain the competitive edge by allowing your teams to improve rapidly.
CAPA Manager features

- Compliant for ISO 9001, ISO 14001, OHSAS 18001, AS9100, ISO 9001, TS 16949 and QSR 820
- Multiple workflow options: 8D, A3, DMAIC, PDCA, 8 Step, HSE investigations
- Online Corrective Action Reports (CARs)
- Automatically allocate CAPA responsibility
- Automatic email notification
- Classify and prioritize issues
- Improvement statistics and data download
- Multilingual translator function
- 6M (Ishikawa) and 5 Why toolkit
- Attach files to CAPA assignments
- No software installs required
- Comprehensive user guide
- Mobile device compatible
- Data download option
- Advanced CAPA labeling features
- Lots more
Log in to CAPA Manager

Navigate to the CAPA Manager log in page using your Internet browser: https://tm.adaptivebms.com/

To enter the CAPA Manager system, type in your **User Email address** and **Password** as prompted on Log in screen. Then click the ‘**Log in**’ button, you will then enter the CAPA Manager system.

![Login Page](image-url)
Requesting a new CAPA (case, opportunity, audit action)

To request a new CAPA click the ‘New CAPA request’ button in the left sidebar.

**Note:** The ‘New CAPA’ button will automatically choose the default workflow as defined in the Setting menu. Choose alternative workflows by using the click-spot on the right-hand side of the ‘New CAPA’ button. The New CAPA request page will be displayed. Fill in the prompted information as required:

**Enter a description of the problem or opportunity**
Briefly describe the opportunity or problem. Be clear, concise and descriptive.

**Select workflow**
This cell will pre-populate to the default workflow as defined in settings. Choose a different workflow if this is needed.

**Select a priority**
Select the appropriate severity rating for the CAPA assignment. This rating may be used to help prioritize open CAPA assignments and requests.

**Note:** CAPA assignees may change the severity once the CAPA request has been assigned to them.

**Which organization is responsible?**
Select the organization to be assigned the CAPA request.

**Note:** CAPA assignees may change the responsible organization once the CAPA request has been assigned to them.

**Which business function or department is responsible?**
Select the business function to be assigned the CAPA request.

**Note:** CAPA assignees (Team leaders) may change the responsible Business function once the request has been assigned to them.

**Select a target closure date**
Select the target closure date for the CAPA assignment.
Attaching files and optional data fields

Supporting images and documents may be added when raising a new CAPA assignment. Also, additional data may also be added if needed.

![Optional Data Fields](image)

Click the ‘Request CAPA’ button to record and assign the CAPA request, or the ‘Leave without saving’ link to abandon the changes.

Request CAPA

Selecting, searching and viewing CAPA assignments

There are two methods of accessing current CAPA assignments; these are described below:

**To-do page**

Enter the ‘To-do’ page by clicking on the link in the left-hand sidebar, select assignments that you have raised or have been assigned by clicking on either the ‘My CAPA assignments’ or ‘My CAPA requests’ tabs. Select and click on the CAPA assignment that you want to view.

**CAPA explorer page**

In the left sidebar select the ‘CAPA explorer’ link. All CAPA assignments will be displayed. Use the filters to navigate the assignments, click on ‘apply filter’ to activate your selection. Select and click on the assignment that you want to view.
Working with CAPA assignments

Each stage of the CAPA workflow is displayed under a tab. The workflows run from left to right. The assignee or CAPA teams can enter data under each tab to complete the CAPA:

Editing a CAPA assignment element

To add data to stage, click on its tab and then select the edit icon: 

Enter data as needed, then click the ‘Save changes’ button to record your data.

**CAPA Manager Action:** CAPA Manager will change the tab icon to a ‘tick icon’ when data has been entered into a workflow stage.

Closing a CAPA assignment

In the CAPA assignment that you wish to close. At the top of the page select the Close this assignment link. A confirmation box will be displayed. Click OK to close the assignment.

**CAPA Manager Action:** CAPA Manager will change assignment status to closed (White). An e-mail notification will be sent to the originator and team.
Workflow selection

CAPA Manager provides multiple workflows for users to follow during the CAPA investigation (see Workflow selection). Each workflow is broken down into individual improvement steps or stages.

Note: The use of all workflow elements is not mandatory within the system. Stages can be omitted depending on CAPA requirement. Uncompleted stages display the ‘?’ Icon in their tab. Completed icons will display a ‘tick’ icon: 

Setting your organization's default workflow

Your organization preferred workflow can be selected by any CAPA manager administrator via the settings menu. Setting the default workflow does not prevent alternative workflow from being selected by the team.

Selecting a workflow

The most suitable workflow can be chosen by editing the first tab in any CAPA assignment. A drop-down menu displays the available workflow options. Workflow can be changed at any time regardless of assignment status in accordance with the team’s needs.

Team roles and responsibilities

When adding the CAPA investigation team each person's role and responsibilities can also be defined. Just click the edit symbol next to the team member's name in the 'Form the team' investigation tab.

Tip: To change the Team Leader, edit the settings in the first tab.

<table>
<thead>
<tr>
<th>No.</th>
<th>Name</th>
<th>Role</th>
<th>Edit role</th>
</tr>
</thead>
<tbody>
<tr>
<td>#1</td>
<td>Bob Hope</td>
<td>Subject matter expert</td>
<td></td>
</tr>
<tr>
<td>#2</td>
<td>Adaptive Developer</td>
<td>Six Sigma Black belt</td>
<td></td>
</tr>
</tbody>
</table>

Manage team
Labeling CAPA assignments

CAPA assignments can be associated with editable labels to help future searching and analysis. Just select the labels that apply to the assignment.

**Note:** Labels are defined in the **Settings** page. Unique labels are defined for each workflow.

Action task list

CAPA Manager provides a simple action (task) list for use within CAPA assignments. The ‘Add action’ button will appear depending on the workflow selected:

The task list applies to the entire CAPA assignment and is not stage specific. The following functions are provided:

- Add a new action
- Assign a target date
- Complete an action
- Edit an action
- Delete an action

Only assignment owners, team members, and administrators can interact with the task list.

Attachments (premium accounts only)

Attach supporting files to CAPA assignments using the simple attachment feature. Supporting documents like images, documents, and drawings can be attached to a CAPA assignment when creating a new CAPA or when editing.

- Each uploaded file is limited to a maximum size of 1Mb
- Your organization will have a predefined amount of file storage assigned to it
- Contact our support team to understand or change these limits
Tip: Reduce file size and delete unneeded attachments to maximize storage space!

Updating your details 🧙‍♂️
Go to the My details page. Here you can change your password and personal information.

Adding new users 🧙‍♂️
Using the left navigation bar, click ‘Settings’, then ‘Manage users’. The All users page will be displayed. You will be presented with a table of currently defined users connected to your organization.

Add a user to your organization
Click on the Add a new user button. Enter the full name and email address for the new account.

Tip: Upgrade to a premium account to add more users!

Edit or disable a User
Click on the user's name in the Manage users screen. The edit user screen will be displayed.

Click ‘Save changes’ to record or your browser back button to abandon the changes.
**User Roles**

Users must be allocated a role type when they are first created. Role type determines which CAPA Manager features are available to that user.

The table below gives an overview of the differences between the available user roles:

<table>
<thead>
<tr>
<th>Function</th>
<th>Basic user</th>
<th>Manager</th>
<th>Administrator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request CAPA:</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>View CAPA assignment details:</td>
<td>All CAPA’s (not hidden)</td>
<td>Any</td>
<td>Any</td>
</tr>
<tr>
<td>Edit CAPA assignments:</td>
<td>As a team leader or member</td>
<td>Any</td>
<td>Any</td>
</tr>
<tr>
<td>Edit problem statement:</td>
<td>New CAPA only</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Setup users:</td>
<td>No</td>
<td>No</td>
<td>Add/delete</td>
</tr>
<tr>
<td>Setup business functions:</td>
<td>No</td>
<td>No</td>
<td>Add/delete</td>
</tr>
<tr>
<td>Settings menu:</td>
<td>No</td>
<td>No</td>
<td>Full control</td>
</tr>
<tr>
<td>Approve new assignments:</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Approve assignment closure:</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Approve new CAPA assignments and closures

It is possible to enforce approval for CAPA requests before they are assigned or closed. This function is controlled in the Settings page. When either feature is enabled, the nominated approver is responsible for allowing CAPA request and assignments to move through the CAPA manager system.

Setup approvers

Under 'Settings' choose the Approver tab. You can select company approvers from the list

- Only Administrators and Manager can select as an approver
- At least one approver must be defined for your organization

CAPA approvals

In the To-do page approvers will be presented with the following tabs:

- Assignment requests
- Closure requests

A list of CAPA requests and assignments awaiting approval can be found under each tab.

Approve a new CAPA request

To assign a new CAPA request, click on it and select an assignee.

Approve the closure of a CAPA request

To approve an assignment for closure, click on it and select ‘Close this assignment’.
Notification E-mail function
CAPA Manager will automatically send an email to key stakeholders as CAPA assignments are raised, progressed, updated and closed:

Team leader (assignment owner)
Will be informed of new CAPA requests assigned to them.

Originator
Originators will be informed when their CAPA request is closed.

Team members
Team members will be informed when they are added to a team or when an assignment, they are involved with is closed.

CAPA request approvers (when enabled)
Approvers are informed when a new request requires approval.

Tip: In Microsoft® Outlook, notification e-mails can be added directly to your Outlook Tasks. Just drag the notification e-mail to the task list using your mouse.

Adding/changing a business function
Business functions are at the heart of CAPA Manager. CAPA Manager decides whom to assign investigations to base on the responsible business function chosen when raising a new CAPA request.

Using the left navigation bar, click Settings, then Business functions. The Browse function screen will be displayed. You will be presented with a table of currently defined Business Functions and their relevant default team leaders.

Edit a business function
Click on the Business Function you want to edit. Further Business Function detail will be displayed. Click on the ‘Edit details’ icon to edit the name or default Team leader as required. Click ‘Save changes’ to record or select your browser back button to abandon the changes.

Add a new business function
Click on the ‘Add a new function’ link on the left. Enter the new Business Function name and its default assignee as required. Click the ‘Save changes’ button to record, or the ‘Leave without saving’ link to abandon the changes. Tip: Business functions cannot be deleted. If you want to remove a business function then simply rename it as ‘N/A’ or similar.
Linking to other organizations

Using the left navigation bar, click ‘Settings’, then click ‘Linked organizations.’ The ‘Manage organizations’ screen will be displayed. You will be presented with a table of currently defined ‘linked’ organizations.

You can raise and allocate CAPA assignments to linked organizations and track progress. CAPA assignments that have been passed on to another organization may be viewed by the initiator. Only teams within the organization can update and progress CAPA requests assigned to them.

Add a new organization

Click on the ‘Add a new linked organization’ link on the left. Enter the new Organizations name as required.

Click the ‘Save Changes’ icon to record, or ‘Leave without saving’ to abandon the changes.

Severities and workflows

CAPA Manager come pre-equipped with powerful workflows. A complete list of the available work flows can be found at the end of this guide: See CAPA Manager workflows

Customize severity text

Severity text can be configured for each workflow. This allows audit workflows to use different severity text to problem-solving workflows. Administrators can edit the business severity rating text by clicking on the Settings menu in the left sidebar and selecting Severities.

Switch off unwanted workflows

Unwanted workflows can be disabled, so they are not available for the users to select. Administrators can disable workflows by clicking on the Settings menu in the left sidebar and selecting Severities.
Auto reminder feature

Team leaders can be automatically reminded that they have open assignments that are past their due date. Reminder intervals can be set via the Settings menu.

User configurable fields

Administrators can configure some data fields to match the organization's particular needs. Click on the Settings menu in the left sidebar, then select the Configure fields tab to set the field name and field tooltip.

Note: User-defined fields are not available for the audit workflows. Compliant fields are already pre-defined for these.

KPI charts

Using the left navigation bar, click KPI charts. A full range of graphical views and reports are available. Select the type of graph or report you require from the list.
Producing a corrective action report

Select the first tab of any CAPA assignment. Selecting the ‘Create report’ will bring up the 8D report page. The report can be saved or printed via your web-browser.

Exporting data (premium only)

A copy of your organization's CAPA database can be exported in .csv format for analysis using third-party software packages. The data download function is available to administrators only and can be found in the left-hand sidebar.

Link CAPA assignments

Link to other CAPA assignments by typing the text ‘Task #ID number.’

Language translation

CAPA Manager has been designed to be compatible with your favorite browser translator.
Restricting access to private assignments

It is possible to restrict who can see the details of any assignment. Only the assignment team and administrators are able to see the assignment details when this feature is enabled.

Private assignments can be enabled by selecting ‘Restrict access’ when raising a new assignment or under the D0 tab.

Security policy setup

CAPA Manager user access can be configured to meet your organization’s security policy. Administrators can access these options under: Settings>Setup>Security Policy

Password strength and special rules

As a minimum, all CAPA Manager user passwords must be at least 8 characters long. They must contain one uppercase, one lowercase, and one numeric character.

Special rules can be enforced to ensure all passwords contain at least one special character (£&# etc.), and cannot have three consecutive characters (111, bbb etc.)

Password expiry option

Password time limits can be set to suit your needs. If this feature is enabled, users will be forced to update their passwords at the interval required by your organization. Expiry notifications will begin seven days before password deletion.

If a user’s password expires before they are able to update their details, they should use the reset password link on the Log in page to generate a new password.

Failed attempt banning options

Three failed Log in attempts are tolerated by CAPA Manager. After three failed login attempts, CAPA Manager will take action to prevent a possible security risk by either:

- Banning the user account for 24Hrs
- Offer a math recapture dialogue

The above security logic can be set by an account administrator.

Un-banning a user account
Account administrators can unban a user at any time editing their user details and selecting Reset security. This button resets the failed log in attempts counter for that user.

**Tablets and handheld devices**

CAPA Manager works great on most Tablet PCs and other handheld devices. This enables users to record opportunities for improvement and progress issues whilst on the move.

**Support and help**

If you experience difficulties, please contact support@adaptivebms.com describing the issue encountered and the browser version you are using, and we’ll aim to resolve the problem as fast as we can.
Security information

Communication between your browser and the CAPA Manager server is via premium HTTPS (Hypertext Transport Protocol Secure). This provides security against eavesdropping and “man-in-the-middle” tampering with data.

Individual user accounts are password protected, failed attempt banning is also incorporated into this system. Users must follow secure and sensible password policies. The CAPA Manager software does not enforce any particular password policy since different Organizations have different (and mutually incompatible) standards. However, the following points may serve as a broad guideline:

- Passwords should be of sufficient complexity, changed regularly and never revealed to a third party, either deliberately or inadvertently - not even to employees or representatives of Adaptive Business Management Systems Ltd. We will not, under any circumstances, ask users to reveal their passwords to us.

- User accounts should never be shared by two or more people.

- Users should change their passwords immediately if they suspect that the secrecy of their current ones may have been compromised.

Unfortunately, Adaptive Business Management Systems Ltd. cannot accept responsibility for any loss or alteration of information, or any breach of privacy caused by an intruder successfully “cracking” a user’s password.

If you require alternative security arrangements the please contact our support team who will be happy to provide what you need.
System requirements

Compatible Browsers

- AOL®
- Google Chrome™
- Firefox®
- Internet Explorer®
- Konqueror®
- Mozilla®
- Netscape
- Opera browser©
- Safari®
- Any other standards-compliant browser

**Note:** Older, non-compliant browsers may not display CAPA Manager pages correctly or may not fully support some of the system’s functionality. If you experience problems, ensure that:

- You are using the latest version of your browser software
- You have JavaScript enabled
## CAPA Manager workflows

<table>
<thead>
<tr>
<th>8D (Problem-solving)</th>
<th>Business improvement (Cost down)</th>
<th>DMAIC (Process optimization)</th>
<th>PDCA (Process improvement)</th>
<th>A3-PDCA (Process improvement)</th>
<th>H&amp;S Investigation</th>
<th>Audit Non-conformity</th>
<th>Environmental incident</th>
</tr>
</thead>
<tbody>
<tr>
<td>D0: Assignment summary</td>
<td>Assignment summary</td>
<td>DEFINE: Problem statement</td>
<td>PLAN: Opportunity summary</td>
<td>PLAN: Project title</td>
<td>Incident description</td>
<td>Non-conformance statement</td>
<td>Brief incident description</td>
</tr>
<tr>
<td>D1: Form the team</td>
<td>Identify support team</td>
<td>DEFINE: Form the team</td>
<td>PLAN: Form the team</td>
<td>PLAN: Form the team</td>
<td>Investigating team</td>
<td>Responsibility</td>
<td>Investigating team</td>
</tr>
<tr>
<td>D2: Describe the problem</td>
<td>Pre-diagnostic (initial top-level data gathering)</td>
<td>DEFINE: Describe customer, process &amp; expected output</td>
<td>PLAN: Establish objectives and plan changes</td>
<td>PLAN: Define current condition</td>
<td>Description of incident</td>
<td>Evidence and clause</td>
<td>Description of incident</td>
</tr>
<tr>
<td>PPM: Calculator</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Audit data</td>
<td>Audit data</td>
<td>Audit data</td>
</tr>
<tr>
<td>D3: Interim containment actions</td>
<td>Diagnostics (identify key measures)</td>
<td>MEASURE: Define measurement plan</td>
<td>DO: Make interim changes</td>
<td>PLAN: Define the goal</td>
<td>Remedial immediate actions</td>
<td>Immediate corrections</td>
<td>Remedial immediate actions</td>
</tr>
<tr>
<td>D4: Root cause analysis</td>
<td>Analyze data (define current state)</td>
<td>ANALYZE: List analysis summary</td>
<td>DO: Define and deploy measures</td>
<td>PLAN: Root cause analysis</td>
<td>Actual probable causes</td>
<td>Root cause causes</td>
<td>Actual probable causes</td>
</tr>
<tr>
<td>D5: Permanent corrective actions</td>
<td>Design the ‘To-be’ model</td>
<td>IMPROVE: Define opportunities</td>
<td>CHECK: Analyze results</td>
<td>DO: Deploy countermeasures</td>
<td>Permanent corrective actions</td>
<td>Corrective action summary</td>
<td>Permanent corrective actions</td>
</tr>
<tr>
<td>D6: Implement and validate</td>
<td>Define rollout plan</td>
<td>Describe deployment plan</td>
<td>ACT: Identify further changes</td>
<td>CHECK: Effective confirmation</td>
<td>Deploy corrective actions</td>
<td>Corrective actions</td>
<td>Deploy corrective actions</td>
</tr>
<tr>
<td>D7: Prevent recurrence</td>
<td>Implement changes</td>
<td>CONTROL: Define ongoing measures</td>
<td>ACT: Further improvement plan</td>
<td>ACT: Follow-up actions</td>
<td>Detail procedure changes</td>
<td>Management system changes</td>
<td>Detail procedure changes</td>
</tr>
<tr>
<td>D8: Closure and team celebration</td>
<td>Analyze success and report</td>
<td>CONTROL: Update processes and report</td>
<td>ACT: Document changes and report</td>
<td>ACT: Document changes and report</td>
<td>Summarize and close investigation</td>
<td>Validation statement</td>
<td>Summarize and close investigation</td>
</tr>
</tbody>
</table>

[adaptivebms.com](http://adaptivebms.com)