



## Teleconference Course Materials

*You may duplicate this for each person attending the conference.*

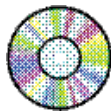
# Implementing an Effective CAPA System: What You Need to Know

by a Panel of Experts from FDA & Industry

**Date:** **Thursday, March 6, 2008**

**Time:** **1:00pm – 2:30pm**      **Eastern Standard Time** (GMT –5 hours)  
 12:00pm – 1:30pm      Central Time  
 11:00am – 12:30pm      Mountain Time  
 10:00am – 11:30am      Pacific Time

**Call-In:** **Dial 1-866-463-5401 approximately 10-15 minutes prior to the start time.**  
**When prompted, enter the PIN code followed by the # key: 630408#**  
 Outside the U.S. & Canada, you will receive special instructions by email.  
 If you become disconnected and cannot reconnect through the number above,  
 you can also call in on +1-212-457-9857.



At the conclusion of the conference, an audio CD will be made available for order. Attendees receive a special reduced price of \$225.  
 To order go to [www.foiservices.com/capa0408](http://www.foiservices.com/capa0408) or call 301-975-9400.

### Important Notice

The information provided in this course by the instructor is his/her personal opinion and does not necessarily represent the opinions of FOI, Inc. or its staff. Companies relying on the information do so at their own risk and assume the risk and any subsequent liability that results from relying on the information.

The information provided does not constitute legal advice.

**Produced by:** **FOI Services, Inc.**  
 704 Quince Orchard Road • Suite 275  
 Gaithersburg MD 20878-1770 USA  
 Phone: 1-800-654-1147 or +1-301-975-9400  
 Fax: 301-975-0702  
 Email: [infofoi@foiservices.com](mailto:infofoi@foiservices.com)  
[www.foiservices.com](http://www.foiservices.com)

## Faculty Biographies & Contact Information

**Richard DeRisio** is Vice President, Global Regulatory Affairs for Advanced Medical Optics, Inc. (AMO). Previously, at Kinetic Concepts, Inc., Johnson & Johnson, and Pfizer, Dick held positions in clinical research, regulatory affairs, quality assurance and compliance. During a ten-year career with FDA, Dick worked in the Division of Field Operations, the Foreign Inspection Branch, and the Office of Compliance in the Center for Devices and Radiological Health. He can be contacted at [Richard.DeRisio@amo-inc.com](mailto:Richard.DeRisio@amo-inc.com)

**Linda Lovett** is the Director of Quality for Medtronic Spinal & Biologics Business. In this capacity she directs all aspects of the Quality Assurance organization to assure compliance with (CDRH) Quality System Regulations, MDD, ISO 13485:2003, ISO 14971, and CDMR for Class I (Sterile), Class II, and Class III products. Previously, Linda was a manager of Product Quality/Operations and a senior QA/ Quality Systems engineer at Abbott Laboratories. Linda can be contacted at [linda.l.lovet@medtronic.com](mailto:linda.l.lovet@medtronic.com)

**Dan Olivier** is President, Certified Compliance Solutions and an acknowledged expert in the field of medical system validation and safety risk management. He has supported over two hundred medical device and pharmaceutical companies in addressing regulatory issues and process improvement. Dan has been engaged by FDA to provide contract training for field investigators and to prepare inputs for FDA validation guidance documents. He is an ISO 9001 RAB certified lead auditor and has been a reviewer for ISO WG10 defining software process assessment standards. He can be contacted at [dolivier@certifiedcompliance.com](mailto:dolivier@certifiedcompliance.com)

**Nancy Singer** is President of Compliance-Alliance, LLC, a firm that specializes in professional development for those employed within the medical device industry. Previously, Nancy served as AdvaMed's Special Counsel for FDA compliance and enforcement matters. Her food and drug career began as an attorney at the Department of Justice where she did litigation for FDA. Subsequently she was a partner at the law firm of Kleinfeld, Kaplan and Becker. Nancy can be contacted at [nancy\\_singer@juno.com](mailto:nancy_singer@juno.com)

**Jan Welch** is a Quality System/IVD Expert in FDA's Center for Devices and Radiological Health. She serves as a Quality System expert for medical device legal actions and other medical device issues involving complex, controversial, and precedent-setting regulatory actions involving GMP requirements. Jan identifies and recommends new policy and administrative or regulatory approaches in highly intricate situations in specialty areas where no policy or precedent exist. She also reviews enforcement actions proposed by FDA's field offices, and decides when regulatory action (based on adherence to the Quality System regulation) is appropriate. Jan can be contacted at [jan.welch@fda.hhs.gov](mailto:jan.welch@fda.hhs.gov)

# Implementing An Effective CAPA System: What You Need to Know

Nancy Singer, Compliance-Alliance

Richard DeRisio, Advanced Medical Optics, Inc

Jan Welch, Office of Compliance, CDRH

Linda L. S. Lovett, Medtronic Spinal and Biologics

Daniel P. Olivier, Certified Compliance Solutions, Inc

# Agenda

- Overview
  - Compliance-Alliance Survey
  - FDA Quality System Regulation Requirements
  - Key Definitions
  - ISO 13485:2003 Requirements
- View From the FDA
  - FDA 483 Observations
  - Warning Letters
- Practical Examples of CAPA Implementation
- Pitfalls

# Overview

Richard DeRisio, Advanced Medical Optics, Inc  
&  
Nancy Singer, Compliance-Alliance

# Compliance-Alliance Survey

## January 2008

- 374 respondents
- Small, medium and large firms
- 262 individual comments regarding survey questions
- The 24 survey questions included:
  - Sources of quality data inputs
  - Use of risk management tools
  - Use of statistical methods for CAPA management
  - Criteria for opening and closing CAPAs
  - Metrics for measuring CAPA effectiveness
  - Techniques for managing the CAPA program
  - Review of CAPA data during management reviews
  - CAPA Challenges

# Quality System Regulation

## 21 CFR 820.100

- Establish a CAPA Procedure
- Analyze (with statistical methodology) sources of quality data to identify sources of quality problems

# Sources of Quality Data



## Sources of Quality Data (continued)

# Establish a CAPA Procedure (continued)

- Investigate causes of nonconformities
  - Most firms (73%) use risk management to determine whether to open a failure investigation
    - FMEA 84%
    - Hazard Analysis 43%
    - Fault Tree Analysis 38%

# Establish a CAPA Procedure (continued)

- Criteria used to open failure investigation
  - Severity 85%
  - Frequency 78%
  - Impact 68%
  
- Effective CAPA Management Reduces Risk
  - Safety
  - Business interruption
  - Product liability
  - Regulatory compliance
  - Loss of customer goodwill

# Establish a CAPA Procedure (continued)

- Identify actions needed to correct and prevent recurrence
- Verify or validate effectiveness
- Implement and record changes in records and procedures
- Disseminate information to affected personnel
- Submit information about problems and corrective/preventive action for management review
- Document activities

# Information Examined During Management Reviews

- Volume and Aging Report 77%
- CAPA Quality System Effectiveness Report 47%
- Analytical statistics from quality data sources 47%
- CAPA Effectiveness Report 46%
- Comparison across all quality data sources 35%
- Scrap/Yield Report 35%
- Comparison to other product lines 21%
- Use “As Is” Report 19%
- Risk Impact Report 19%
- Change Control Impact Record 12%

# QSIT

- 1997-1999 FDA reengineered Quality System Inspections  
<http://www.fda.gov/cdrh/comp/qsitpage.html>
- QSIT training provided definitions

# Definitions From FDA QSIT Slides

- Correction refers to repair, rework, or adjustment and relates to the disposition of the existing nonconformity
- Corrective action refers to action taken to eliminate the causes of an **existing** non-conformity, defect or other undesirable situation in order to prevent it recurrence
- Preventive action refers to action taken to eliminate the cause of the **potential** non-conformity, defect or other undesirable situation in order to prevent occurrence

# ISO 9000:2005

- Nonconformity: non-fulfillment of a requirement (3.1.2)
- Correction: action to eliminate a detected nonconformity (3.6.2)
- Corrective action: action to eliminate the cause of a detected nonconformity (3.6.2) or other undesirable situation
- Preventive action: action to eliminate the cause of a potential nonconformity (3.6.2) or other undesirable potential situation



# Examples from QSIT Training

- Correction: Devices returned because out-of-box failures are repaired and put back into inventory
- Corrective action: Defective components damaged by ESD during assembly caused out-of-box failures. ESD controls instituted; operators are trained in ESD controls.

# Examples from QSIT Training

- Preventive action: SPC chart indicated process is drifting toward the upper limit for diameter of injection molded part. Investigation determines cause of drift is wear to mold. Replace mold, and verify/validate that process yields parts meeting specs.

# ISO 13485:2003

Corrective and Preventive Action  
Requirements of the Standard

# 8.5.1 – Improvement: General

- Organization shall:
  - Identify and implement changes to ensure suitability and effectiveness of the quality management system
    - Quality Policy
    - Quality Objectives
    - Audit Results
    - Analysis of Data
    - Corrective and Preventive Action
    - Management Review
  - Establish documented procedures for the issuances of advisory notices
  - Review customer complaints and provide information if necessary to other organizations involved
  - If complaint not followed by CAPA, document the reason
  - Establish procedures for reporting adverse events

## 8.5.2 – Corrective Action

- Organization shall take action to eliminate the cause of nonconformities to prevent recurrence;
- The corrective action shall be appropriate to the level of the effects of the nonconformance
- Documented procedure shall include:
  - Reviewing nonconformities including complaints
  - Determining the cause of nonconformities
  - Evaluating the need for action to prevent recurrence
  - Determining and implementing action needed
  - Updating documentation, as appropriate
  - Recording the results of any investigation and action
  - Reviewing the corrective action taken and effectiveness

## 8.5.3 – Preventive Action

- Organization shall determine action necessary to eliminate the cause of potential nonconformities to prevent occurrence
- The preventive action shall be appropriate to the effects of the potential problem
- A documented procedure shall define how to:
  - Determine potential nonconformities and their causes
  - Evaluate the need for prevent nonconformities
  - Determine and implement the action needed
  - Record the results of an investigation and action taken
  - Review preventive action and its effectiveness

# CAPA System Practices: From the FDA Perspective

Jan Welch

Quality System Expert

Office of Compliance, CDRH

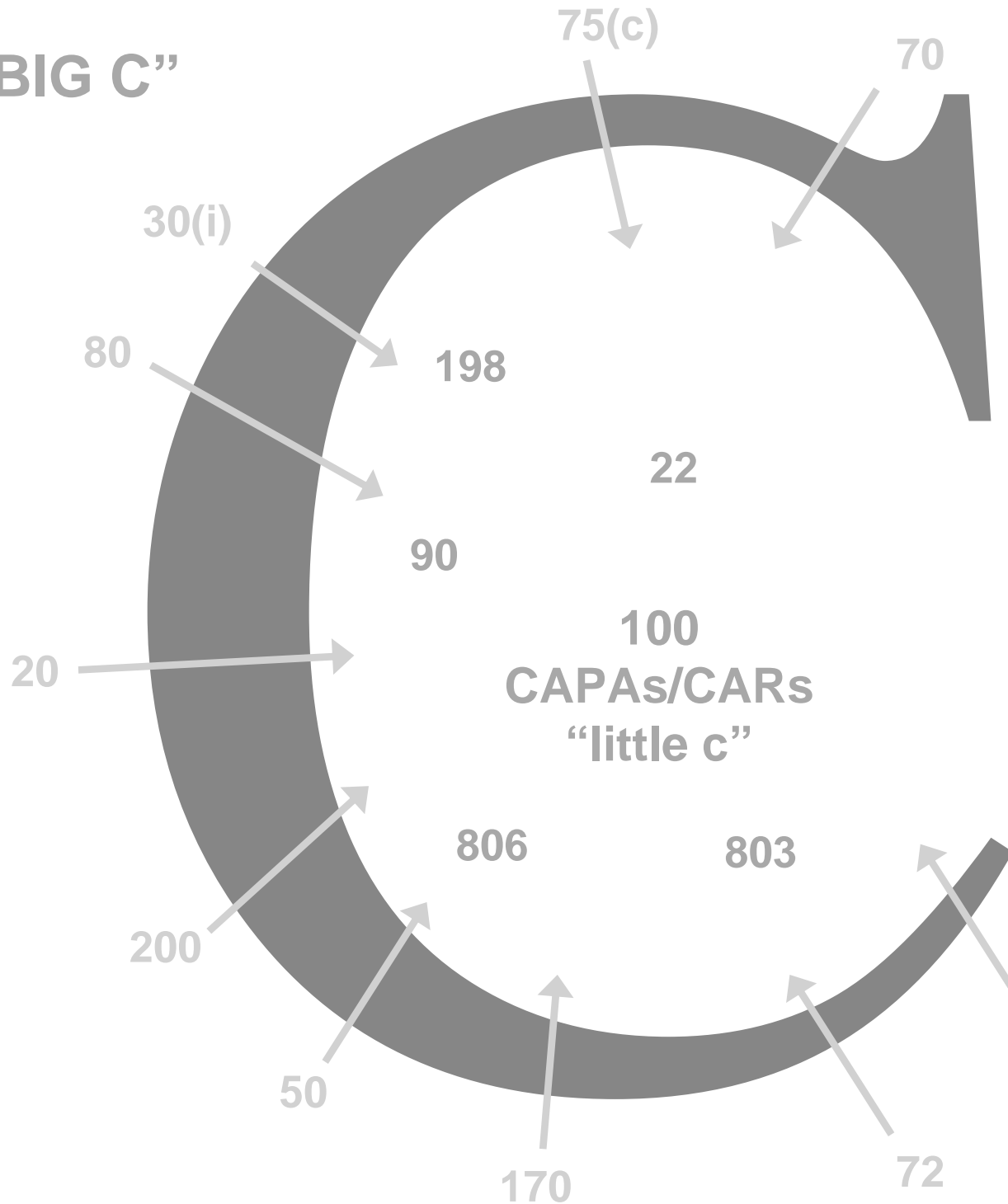
Food and Drug Administration

# CAPA System Advice

- ▶ “CAPA system” is not just the formal, tracking mechanism for elevated, opened investigations
- ▶ More than the paper files or databases established for these functions
- ▶ A true and robust CAPA system encompasses all of the mechanisms and data sources that a sound quality system uses to monitor the quality of people, processes, product, and problems
- ▶ This includes complaint handling, nonconforming product mechanisms, medical device reporting, corrections, removals, and recalls



# “BIG C”



- 820.100 CAPA
- 820.22 Internal audits
- 820.90 Non-Conformances
- 820.198 Complaints
- 820.75(c) Process Changes
- 820.70 Production
- 820.30(i) Design Changes
- 820.80 Acceptance
- 820.20 Management
- 820.200 Service
- 820.50 Purchasing
- 820.170 Installation
- 820.72 Calibration
- 820.40(b) Document Changes
- 806 Corr/Removals
- 803 MDRs

# CAPA System Advice

- ▶ A robust CAPA system will constantly be supplied with data from many sources within the QMS, and from several external to the QMS
- ▶ Feed the CAPA system! Don't be afraid!
- ▶ Management often afraid to have numerous CAPAs; perception that this is a bad thing and reflects poor control of the QMS
- ▶ Au contraire!
- ▶ Must have appropriate mechanisms in place to determine when a situation merits a formal CAPA

# CAPA System Advice

- ▶ FDA's focus is not on numbers of CAPAs
- ▶ FDA wants to see how the QMS handles the data flow
- ▶ Is the CAPA system doing what it needs to?
- ▶ Not every situation can be a code red, priority one, major fire...really!
- ▶ So what to do about that?
- ▶ Use risk management tools to prioritize CAPA work

# CAPA System Advice

- ▶ When CAPAs are open for longer periods of time, include status information and milestones in the record
- ▶ It is not good when a CAPA is open for a long period of time, with no indication of activity
- ▶ Document decision-making rationale in the CAPA record

# CAPA System Advice

- ▶ If corrective action is made to only some devices and not all devices, this decision-making process needs to be thoroughly explained
- ▶ FDA certainly focuses on this
- ▶ See this in software “fixes,” “upgrades,” “corrections”
- ▶ Corrective action made on new models, returned devices, but not made to all devices in use; document why!

# 2007 CAPA Data

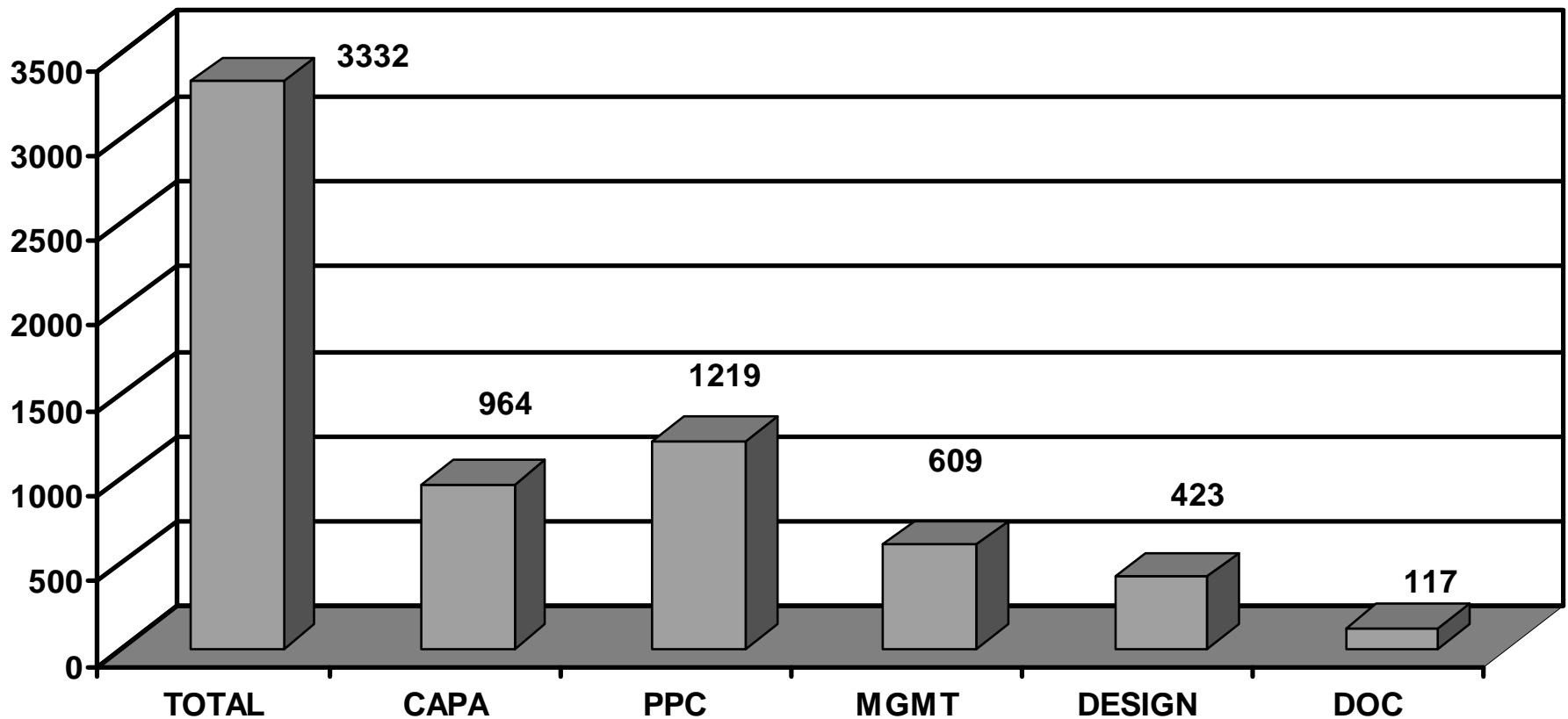
- ▶ Analysis of data from FDA's Turbo EIR database.
- ▶ Time frame 1/1/2007 to 12/31/2007
- ▶ 3332 observations were cited on the FDA-483s for 21 CFR 820 deficiencies

# 2007 CAPA Data

- ▶ 200 observations were cited for 21 CFR 803 deficiencies (MDR Reporting)
- ▶ 38 observations were cited for 21 CFR 806 deficiencies (Corrections/Removals)
- ▶ 1 observation was cited for 21 CFR 821 deficiency (Tracking)

# FDA-483 Observations (n=3332)

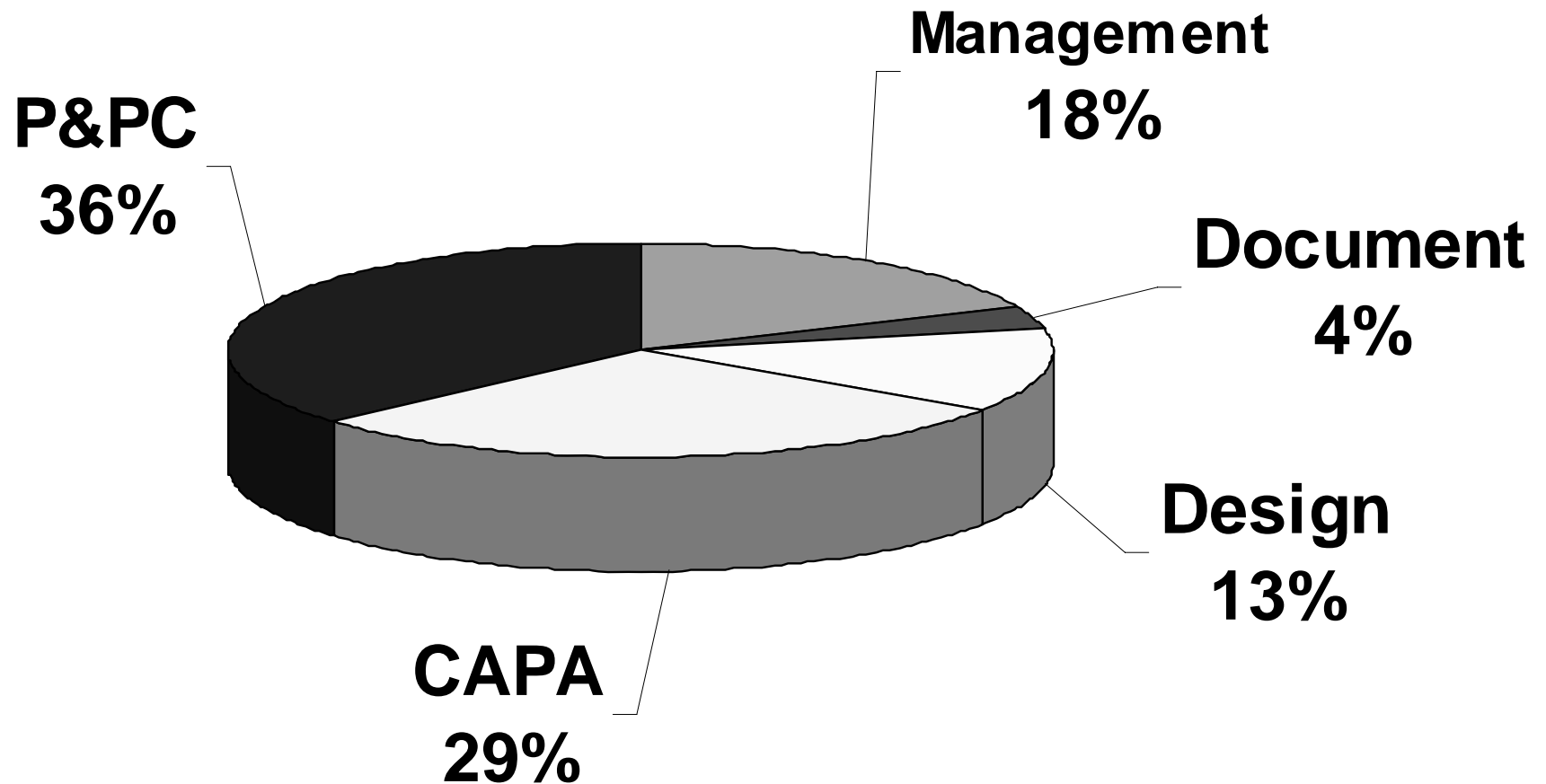
## 1/1/2007 to 12/31/2007



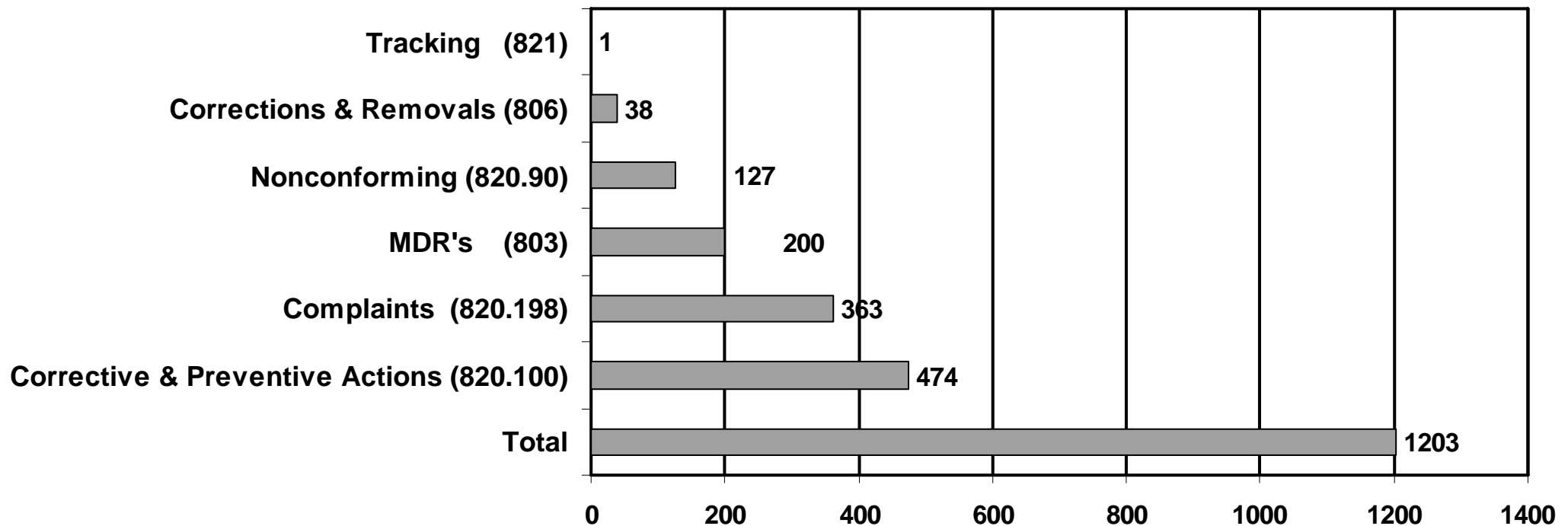


# Observations by Subsystem

## 1/1/07 to 12/31/07



# Number of CAPA Subsystem Observations by CFR Cite -2007

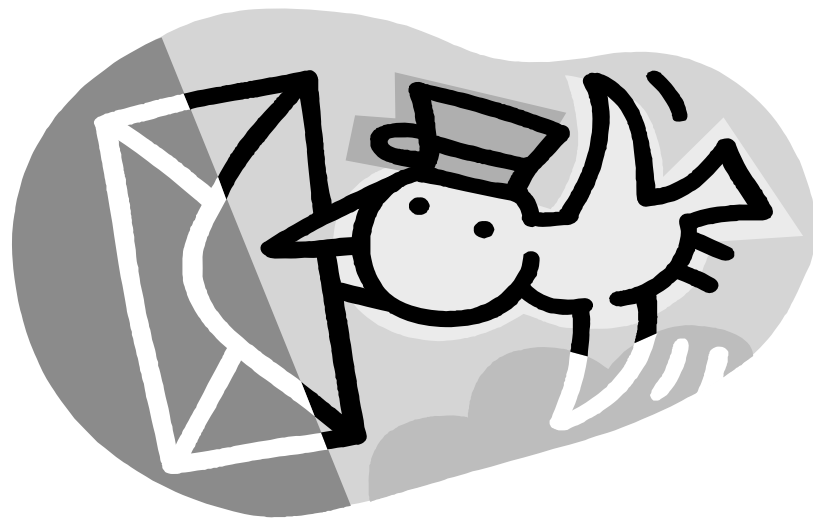


# 21 CFR 820.100 Data

820.100(a)	104
820.100(a)(1)	79
820.100(a)(2)	36
820.100(a)(3)	45
820.100(a)(4)	27
820.100(a)(5)	25
820.100(a)(6)	4
820.100(a)(7)	10
820.100(b)	144
Total	474

# Warning Letters with CAPA System Cites 2007

- January – December 2007
- FDA issued 74 Warning Letters to medical device firms for QS/GMP deficiencies
- 62/74 or 84% contained cites for CAPA system deficiencies
- 21 CFR 820.90, 820.100, or 820.198 cites



# Warning Letters CAPA Data

<b>Year</b>	<b># WLs</b>	<b># w/ CAPA cite</b>	<b>%</b>
2007	74	62	84
2006	79	69	87.3
2005	97	85	88
2004	113	89	79
2003	69	61	88

# 2007 Warning Letter Example

“Specifically, your complaint files are incomplete, investigations are incomplete and in some cases not performed at all, and some complaints have no documentation of activity for 5 or 6 months after receipt. [21 CFR § 820.198]”

# 2007 Warning Letter Example

“Management reviews at your .... facility did not include non-conformances and quality data analysis from all sources, in that re-works, re-sterilizations, preventive maintenance corrective actions and returned goods (sources of quality problems) were not addressed in management reviews.”

# Warning Letter Database

- Go to FDA's web site and use this link:

<http://www.fda.gov/foi/warning.htm>

- These WLs redacted for FOI purposes; trade secret, proprietary info blacked out



# Implementing an Effective CAPA System: What you need to Know

**Presented by:**

Linda L. S. Lovett  
Quality Systems Director

Medtronic  
Spinal and Biologics

# Key Challenges:

## CAPA in Medical Device Industry

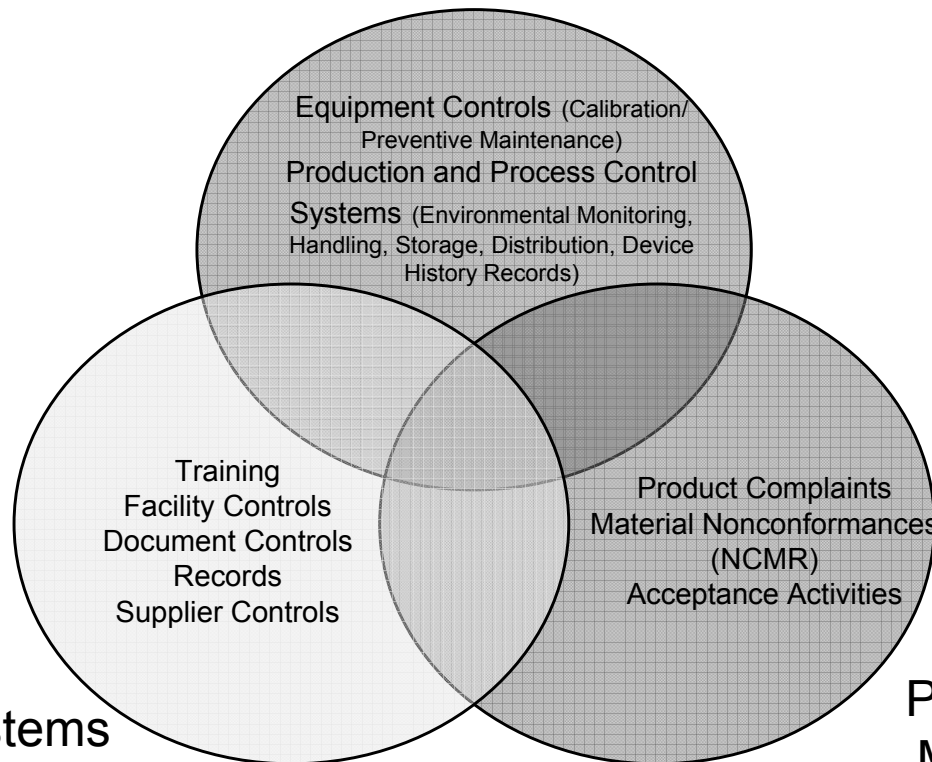
**Companies are struggling with some of the same fundamental challenges....**

- **More companies are under increased scrutiny by regulatory agencies and authorities**
  - Enforcement Actions taken (Form 483 Observations, Warning Letters, Consent Decrees, Injunctions, Product Seizures, etc.)
- **Focus is on product/ material issues rather than efforts to resolve systemic issues**
  - Companies tend to look at product/ material issues and correcting them and neglect to look beyond into the processes and procedures (quality systems).
  - Fast forward to the solution without identifying the “Root Cause”
- **Developing, Implementing, and Maintaining a “Closed Loop” CAPA system that “Integrates Compliance” into business practices and quality systems**
  - Not all inputs are identified
  - Required process steps are not always completed
  - Trending and data is not always analyzed and/ or visible to the appropriate level in the organization.
  - Employees don’t always know or understand their responsibility or authority
- **Using your CAPA system to “Improve Profitability by Decreasing the Cost of Quality”**
  - High cost of quality impacts the bottom line (rework, scrap, delays in product approval, resource inefficiency, etc.)
  - Data and risk driven – helps to determine where to focus actions and resources
- **Many companies are still using manual paper based systems**
  - Difficult to manage

# What is an effective Nonconformance Control/ CAPA system?

## Examples:

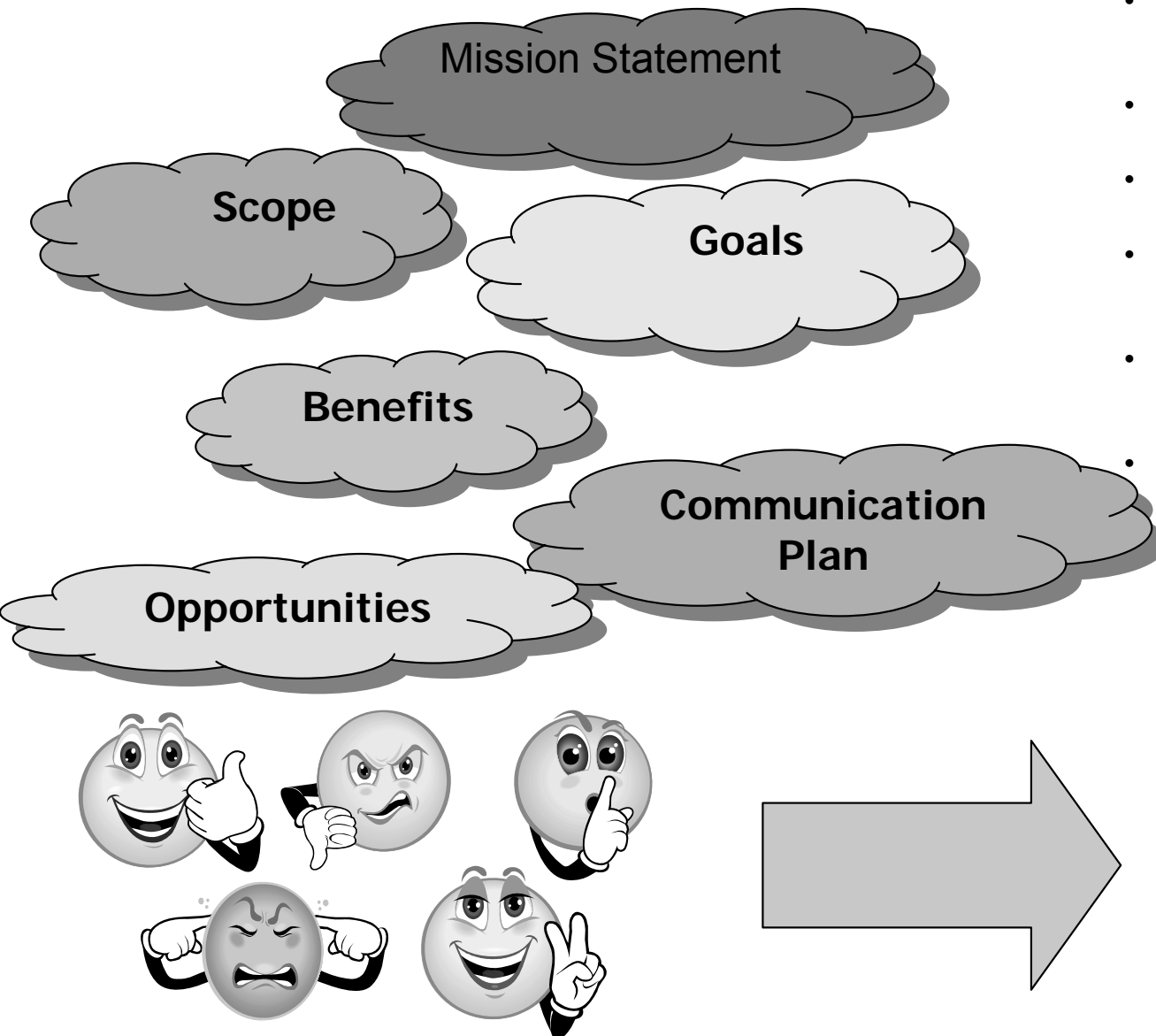
### Processes



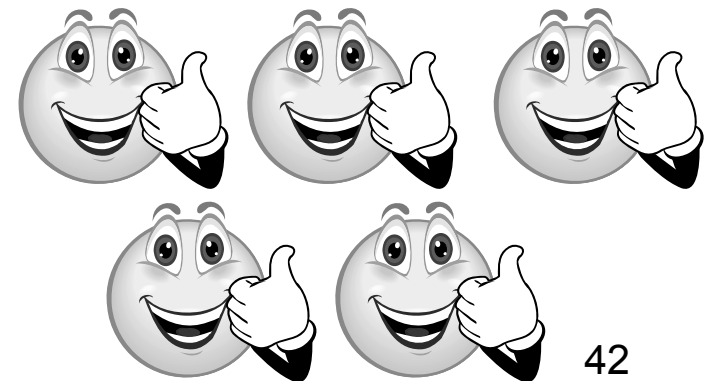
## A system that .....

- includes all nonconformance inputs from internal and external sources for product, processes, and quality systems
- identifies existing or potential causes of nonconforming products or other quality problems.
- evaluates/ investigates for root cause consistent with the associated risk
- identifies actions needed to correct or prevent recurrence
- verifies/ validates the CAPA for effectiveness and assures that the actions do not adversely affect finished product
- has a closed feedback loop – data that is collected, reviewed, analyzed and further action is identified as an output that becomes an input back into the process
- is measured, monitored, and reported to management

# Developing an Effective Nonconformance Control and CAPA system



- Identify Team Resources, Champions, Executive Sponsors
- Determine the timeline and schedule
- Kick-Off Meeting
- Provided CAPA System Training (QSR, QSIT, ISO 13485:2003, MDD, etc.)
- Team Discussion – Benefits, Opportunities, Experiences
- Established the Project ...
  - Mission Statement
  - Scope
  - Goals
  - Communication Plan



# Developing an Effective Nonconformance Control and CAPA system

## Benefits

- **Increase Capacity and Revenue**
- **Increase Company Credibility, Reputation, and Good Will**
- **Enhance Supplier Communication and Relationships**
- **Increase resources for Product Development**
- **Increase Customer Base**
- **Decrease Cost of Quality (Non conformances, Field Actions, Complaints, Operational Scrap, Process Variability)**
- **Decrease Resource Consumption**
- **Decrease Supplier Risk**
- **Prevent Regulatory Sanctions (Fines, Consent Decree, Injunction, Product Seizure)**

## Goals

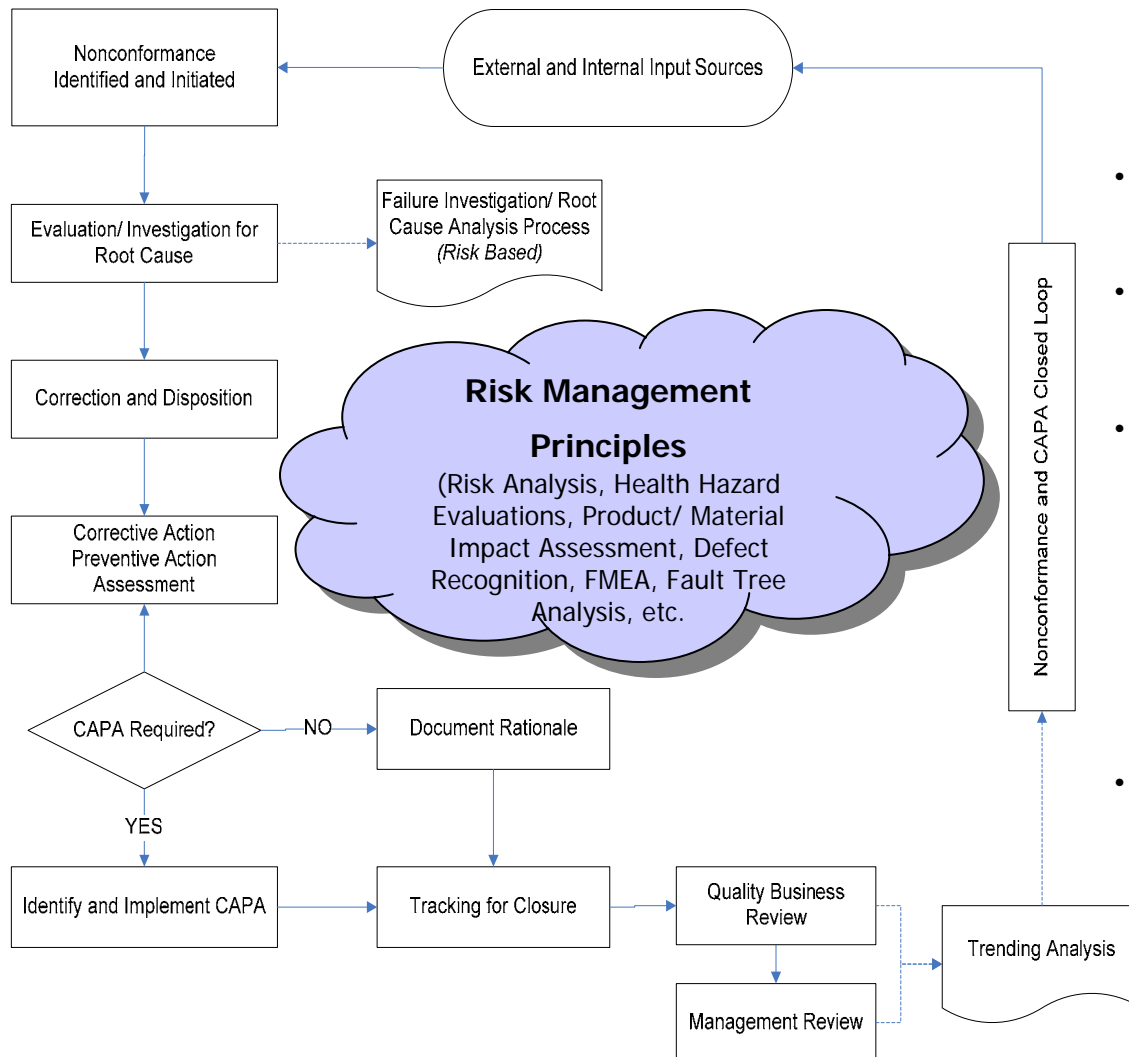
- **Meet global requirements (QSR/ISO/MDD/CMDR/etc.)**
- **Design and implement a comprehensive enhanced Closed loop CAPA system that includes inputs from product, processes, materials, and Quality System nonconformances.**
- **System will be scalable, simple, risk based, and easily integrated throughout the organization.**
- **Achieve Global employee understanding and ownership (Accountability) without adding additional resources.**
- **Achieve consistent and sustainable practices by utilizing tiered training programs, subject matter experts/ trainers, and process owners.**
- **Implement measurement, data analysis tools, and processes for different levels of the organization.**

# Developed Gap Analysis - Example

- Identify all potential opportunities for non conformances for each key support system
- Determine current documentation practices
- Identify/ Classify potential nonconformance types – product/ material, process, or QS
- Develop the plan to eliminate gaps

Quality System Elements	Potential Nonconformance Opportunities	Current Procedures	Record or Form used to document the nonconformance (Current)	Nonconformance Type (Product, Process, QS)
Control of Inspection, Measuring and Test Equipment	New Equipment not Calibrated	Calibration Management		
	Calibration record not reviewed			
	Calibration record/ form incomplete			
	Equipment not labeled as to calibration status			
	Limited Calibration not appropriately identified			
	Parameters not approved			
	Procedure Not Followed			
Training	Inadequate training	Training Procedure		
	Job performed before training			
	Not training to matrix requirements			
	Procedure Not Followed			
	Trained by an unqualified trainer			
	Training to incorrect revision			

# Nonconformance Control/ CAPA Process



Implementing an Effective CAPA System: What you need to Know

- **Identification, Evaluation/ Investigation**
  - Determine the nonconformance type and Risk level
    - Products/ Parts
    - Process
    - Quality System
  - Isolate the issue (lot number, timeframe, etc)
  - Identify root cause
- **Correction**
  - Immediate fix of the issue
  - Product or material disposition
- **CAPA Assessment**
  - Determine the need for a corrective and/ or preventive action
  - Document Rationale
- **CAPA Identification and Implementation**
  - CA: Actions necessary to eliminate the cause(s) of the nonconformity and to prevent recurrence.
  - PA: Action necessary to eliminate the cause(s) of the potential nonconformity to prevent occurrence.
  - EV: The objective evidence that the root cause was appropriately corrected and/ or the investigation has adequately addressed the root cause.
    - Identify a measurable, statistically significant objective
    - Don't rely only on post distribution data
- **Trend and Data Analysis**
  - Day to day data collection and analysis (SPC, NST, etc.)
  - Monthly Nonconformance Control, CAPA Oversight, and Business Metric Reviews – Trending Analysis
  - Management Reviews for suitability and effectiveness

# CAPA Assessment – Thinking/ Talking Points

Questions to ask to determine the need for a CAPA.....

**Corrective Action:** What needs to be done to prevent or stop the cause(s) of the same nonconformity from happening again (prevent or stop recurrence)?

- Does the procedure need to be updated for gaps or clarification?
- Is the procedure missing?
- Do risk documents require an update?
- Was training not adequate or missing?
- Are multiple corrective actions required?
- Are there other same products, different lot or serial numbers affected?

- If a corrective action is not performed, why?

**Preventive Action:** What needs to be done to prevent or stop the cause(s) of a similar nonconformity from happening within other parts of the quality system, other products, or other processes (prevent/ eliminate occurrence)?

- Do other procedures need to be updated for gaps or clarification?
- Are other procedures missing?
- Do other product or process risk documents require an update?
- Are multiple preventive actions required?
- Are there other parts of the quality system, other products, or other processes affected?

- If a preventive action is not performed, why?

**Effectiveness Verification:** Evidence based to address the root cause of the issue.

- What will be measured and what is the acceptance criteria?
- How many records or products need to be reviewed, measured, trended, or tested to the acceptance criteria? Statistically significant sampling plan.
- Who will perform the effectiveness check?
- When will the effectiveness be performed? How long after the CAPA implementation?
- Are multiple effectiveness checks required?

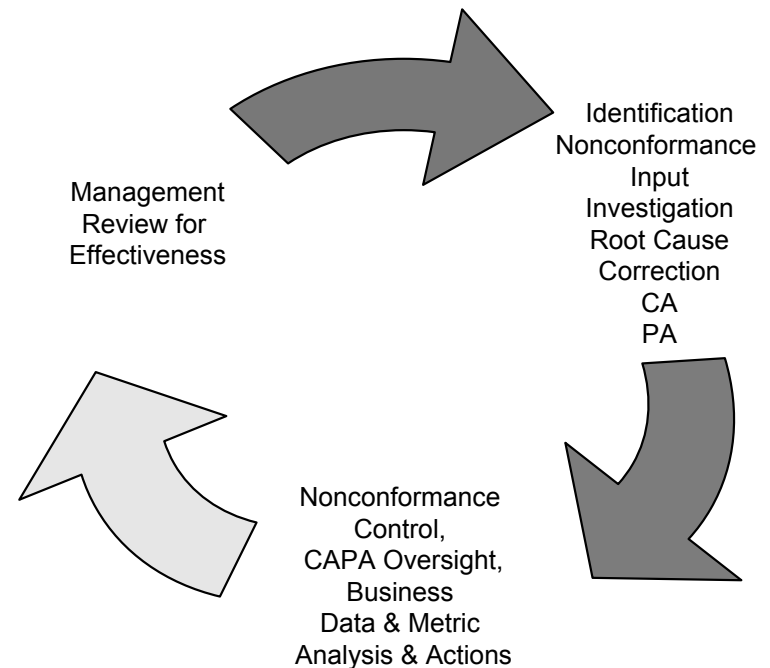
- Don't rely only on post distribution data!





# Closed Loop Monitoring, Trend Analysis, Effectiveness Reporting

- **Determine frequency of data analysis and metric review and to what extent.**
- **Determine risk based measurement, data analysis tools and processes for reviewing data**
  - Assure meaningful data is captured
  - Configure data such that problems can be identified
  - Determine when and what actions should be taken
- **Assure accurate and timely communication to management**
- **Metric and Data Analysis and Review (Examples)**
  - Facility/ Equipment Control (Calibration/ Preventive Maintenance)
  - Training
  - Inspection Results (Incoming, Production/ Manufacturing)
  - Nonconformance Control/ CAPA Oversight
  - Complaint Handling/ Corrections/ Removals
  - Business metrics (Technical Support, Cost, Strategic Initiatives)
  - Audit Results and responsiveness
  - Cost of Quality



Key Support System	Metric ID	Functional Area Owner	Frequency	Description of the Metric	Action Criteria
Facility/ Equipment	<b>CAL 1</b>	<b>Quality</b>	<b>Monthly</b>	<b>*Number of items Scheduled for calibration per month vs. Actual</b>	<b>NST, 3 consecutive increases for late calibration</b>
	<b>CAL 2</b>	<b>Quality</b>	<b>Monthly</b>	<b>*Number of Calibration Impact Assessments with Out of Tolerance (OOT) results and disposition</b>	<b>NST, 3 consecutive increases for OOT calibrations/Impact Assessments</b>
Training	<b>TRN 2</b>	<b>Quality</b>	<b>Monthly</b>	<b>Late Training Exceptions (Approved/ Unapproved)</b>	<b>NST, decrease in overall or department compliance</b>

# Nonconformance Control and Closed Loop CAPA Program

## In Summary

- Make the Nonconformance Control/ CAPA system scalable, simple, risk based, and easily integrated throughout the organization. Assure that sufficient mechanisms are in place so that all steps are completed for each event.
- Have a Closed loop Nonconformance Control/ CAPA system throughout the entire organization that includes external and internal inputs from product life cycle, processes, and quality systems.
- Integrate risk management throughout product life cycle, processes, and quality systems.
- Implement measurement, data analysis tools, and processes for different levels of the organization. Configure data such that problems related to product, process, or quality system can be identified. Results of the analysis and/ or any further decision to take action are identified as an output of the CAPA system.
- Assure that there are linkages within between products, processes, quality systems, and across multiple divisions and/ or facility locations.
- Drive for employee understanding and ownership (Accountability) by implementing consistent and sustainable practices and tiered training program.

# Contact Information

Medtronic  
Spinal and Biologics

1221 Crossman Ave  
Sunnyvale, California 94089  
408-548-6500

Linda L. S. Lovett  
Quality Systems Director

Direct: 408-548-5263

Cell: 408-616-0361

Main: 408-548-6500

Email: [Linda.l.lovet@medtronic.com](mailto:Linda.l.lovet@medtronic.com)

# *QSR Complaint and CAPA Compliance*

**Presented by:  
Daniel P. Olivier  
Certified Compliance Solutions, Inc.  
16787 Bernardo Center Drive Suite A-1  
San Diego, CA 92128  
(858) 675-8200  
dolivier@certifiedcompliance.com**

# Achieving the Right Balance

- How much is enough
  - Number of process steps
  - Number of signatures
  - Detail of CAPA forms
  - Depth of investigations
  - Follow-up required for closure

# Defining the Criteria for CAPAs

- The CAPA system should be significant sources of quality problems, not:
  - All complaints
  - All safety complaints
  - Variable based on proximity to next audit
  - A means to get more attention to problems that are overdue

# Failure Investigations

- These “root causes” suggest that the failure investigation did not go far enough
  - Training
  - User error
  - Operator error
  - Testing
- Is a failure investigation always required?

# Effectiveness Checks

- 820.100(a)(4) Verifying or validating the ... action to ensure that such action is effective and does not adversely affect the finished device
- ISO 13485:2003 8.5.2.e reviewing the ... action taken and its effectiveness
- Emphasis should be on finding the right fix, not on monitoring
- Effectiveness for design should be V&V
- Monitoring should be in place for all processes, not just CAPAs



# Concealing CAPA Problems

- Extending the due date for late CAPAs
- Closing out several CAPAs to create a new one(s) to reset due dates
- Evaluating CAPA completeness based on report volume
- Defining training and SOP updates when a substantive root cause can't be found
- Relaxing closure criteria when deadlines get close

# CAPA Process Solutions

- Resolving problems is key to achieving significant quality improvements
- Escalating the right elements heightens process effectiveness (risk based)
- Streamlining processes provides efficiency
- Measurement provides visibility

# Questions and Answers

**Please return the evaluation form!**

Your completed evaluation will be entered into a drawing for a \$100 Amazon.com gift certificate.



# Training Evaluation Form

TC001320A

Implementing an Effective CAPA System: What You Need to Know  
March 6, 2008 — Presented by a Panel of Experts from FDA & Industry

**Win a \$100 Amazon.com Gift Certificate from FOI!**

Just complete this form and fax it to +1-301-975-0702 by March 13, 2008  
and you will be entered in a drawing for an Amazon.com Gift Certificate

**Please indicate your primary job responsibility (circle one):**

Regulatory Affairs    QA/QC    Statistics    Medical Writing    Electronic Submissions    General Management  
Other (please specify): \_\_\_\_\_

**Please rate various aspects of this course**

(1 = Poor; 2=Fair; 3=Good; 4=Very Good; 5=Excellent – please circle your answers)

What is your overall rating of the course?	1	2	3	4	5
How do you rate the content of the course?	1	2	3	4	5
Were course materials clear and understandable?	1	2	3	4	5
Was the length of the course adequate to cover the content?	1	2	3	4	5
Were the instructors knowledgeable about the subject matter? <i>(please note any comments about specific instructors below)</i>	1	2	3	4	5
How would you rate the instructors overall?	1	2	3	4	5

**Other comments:**

Please feel free to comment on any aspect of this course, including the instructors, content, and technical arrangements:

---



---



---



---



---



---



---

**By providing the information below and faxing this page to +1-301-975-0702 by Thursday, March 13, 2008, you will be entered in a drawing for a \$100 Amazon.com Gift Certificate from FOI.**

Your Name: \_\_\_\_\_

Company Name: \_\_\_\_\_

Email Address: \_\_\_\_\_