SOP WAREHOUSESOP

FREE PRINTABLE CHECKLIST

Corrective and Preventive Action (CAPA) Checklist

Best practice: no regulation governs this procedure, so none is cited.

FACILITY	AREA OR EQUIPMENT ID	DATE	SHIFT
INSPECTED BY (PRINT)		SIGNATURE	

1. Procedure checks

Tick each step as it is done, in this order.

DONE	CHECK	NOTES
☐	Spot a repeat problem, a complaint, or an audit finding? Request a CAPA, anyone can	
☐	Contain it today: hold the product, block the location, correct the customer	
☐	Get a CAPA number in the log before the analysis starts	
☐	Ask why past the person until you hit a process cause	
☐	Fix it here (corrective) and everywhere else it lurks (preventive)	
☐	One named owner, one real due date, evidence when done	
☐	Verify after 30 to 90 days with data: did it actually stop?	
☐	Close only on verified evidence; a failed check reopens the CAPA	

2. Compliance checks

Tick each item that is in place.

DONE	CHECK	NOTES
☐	A single facility-wide CAPA log exists with unique sequential numbering, and every entry shows source, owner, due dates, status, verification result, and closure date	
☐	Every CAPA shows containment recorded before root cause analysis, and no CAPA is closed on containment alone	
☐	Every CAPA contains a structured root cause analysis worksheet whose stated cause is a process cause, not a person, and passes the reversibility test	
☐	Every CAPA answers the preventive question explicitly: where else the same cause exists was checked and the answer recorded, even when it is nowhere	
☐	Every action has one named owner and a specific due date, and completion is recorded with evidence rather than claimed	
☐	Effectiveness verification is performed at the defined interval by someone independent of the action owner, using recurrence data and direct observation, and a failed verification reopens the CAPA at root cause analysis	

☐	Overdue actions are escalated to management review by number with the owner present, and no due date slips more than once without a site leader decision	
☐	A quarterly trend report is produced from the log, and repeat causes across departments are consolidated into a single systemic CAPA	
☐	Document changes arising from CAPAs are issued through the Document Control SOP and the revision is traceable from the CAPA file	
☐	At least three closed CAPA files with full evidence, including verification, can be produced on request for a customer audit	

WARNINGS

Never close a CAPA on containment or on 'retrained the employee' alone: neither removes the cause

Never skip effectiveness verification: an unverified fix is an open problem with better paperwork

Never let an overdue action slip silently: escalate it to management review by number

SUPERVISOR REVIEW

REVIEWED BY (SUPERVISOR)	SIGNATURE	DATE