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|  | ENAS Guideline on Grading and Closure of Assessment Findings | | ID. No.: EG 02 |
| | Revision No: 2 | Revision Date: 28-11-2018 | Page 1 of 4 |

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1. Purpose

The purpose of this guideline is to explain the process for recording and communicating nonconformities found during the assessment to Applicants and to accredited conformity assessment bodies (CABs). It also covers how corrective actions by the conformity assessment body can be considered in order to 'close-out' any nonconformity raised during the assessment process.

It is often necessary, following either an assessment or some surveillance activity, for the CAB to be required to undertake some steps to change or refine its activities.

These are usually called "corrective actions". In addition, at an accreditation assessment, suggestions may be made that the CAB might consider introducing improvements to its operations.

ENAS is essentially concerned with ensuring that the CAB takes appropriate action to rectify any nonconformities with accreditation requirements. Where these are related to serious technical matters a follow-up visit by technical assessors may be necessary. Where the problem is with some issue related to the management system, a visit by the ENAS Lead Assessor may be necessary. For less serious matters, the CAB manager may be asked to correct the problem and advise ENAS that appropriate action has been taken. This will then be verified at the next scheduled assessment or surveillance visit.

2. Scope

This guideline covers the handing of nonconformities and corrective actions following assessment activities.

3. Responsibilities

The Lead Assessor, in consultation with the technical assessors, shall decide the severity of any finding, however, assessment team may refer to ENAS Program Manager (PM) when needed.

It is the responsibility of the CAB to provide the response on assessment findings and submit root cause analysis along with proposed corrective actions. Evidences on implementation corrective actions shall be submitted in time frames defined next in this document.

4. Guideline

4.1 Finding Reporting:

4.1.1 Assessment Team shall report the outcome of any type of assessment (initial assessment, surveillance, extension to scope, reassessment) in ENAS related format (NCR Report).

4.1.2 Each finding shall be categorized by the assessment team based on the description defined in the following table:

| Assessment Findings Categories | |
|--------------------------------|---|
| Category * | Definition |
| Nonconformity (NC) | A finding that identifies nonconformity is indicated as 'NC' (Non Conformity) in the NCR sheet and in the Assessment Report. It indicates a failure to meet accreditation criteria [e.g. Accreditation Standard, ILAC, ENAS requirements, MS requirements ...] that leads to non-valid activity results and/ or threatens the integrity of the Accreditation Body, and/ or leads to non-effectiveness of CAB management system. |
| Observation (O) | A finding that identifies an opportunity for improvement or a weakness that may lead to a nonconformity if not considered (potential nonconformity) |

4.1.3 Once the descriptions of the finding and the agreed category have been recorded in an NCR Report Form, a copy of the Report is provided to the customer in the closing meeting of the assessment.

4.1.4 Each finding in the "NC" category is agreed with the customer at the time of the assessment to ensure that both ENAS and the customer have a good understanding of the reported issue.


4.2 Finding Closure:

4.2.1 The CAB is given a time to analyses the reported finding and establish the root cause analysis, and provide the proposed corrective action to ENAS PM and assessment team members for evaluation and agreement by filling the NCR report Form.

4.2.2 The CAB is required to provide the evidence on the implementation of the corrective actions to ENAS and assessment team within the agreed time frames with the assessment team in the initial CAB response.

4.2.3 ENAS defined the maximum time limit allowed to provide the supporting evidence on the closure of the assessment findings as follows:

| Finding Closure Time frames | | | | | |
|-----------------------------|--|--------------------|--------------|-----------------|--------------|
| Category | Closure of Findings | Initial Assessment | Surveillance | Scope Expansion | Reassessment |
| Nonconformity (NC) | The CAB shall take appropriate action to resolve the nonconformity prior to ENAS granting or confirming continuity of accreditation. Response on action taken is required with supporting evidence against each findings indicated as 'NC' and evidence shall be provided in the time that has been negotiated for response. | 3 months | 2 months | 2 months | 3 month |

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- 4.2.4 The customer is not required to respond on findings in the “O” category, although it may be in the interests of the CAB to do so in order to establish their understanding of the finding.
- 4.1.1 CAB and assessment team shall ensure that assessment findings are closed within periods defined above. ENAS may decide to go for conducting onsite assessment visit in case of delay in response and justification is not accepted by ENAS.
- 4.1.2 Assessment team shall evaluate corrective actions provided by the CAB and report such evaluation using NCR Report Form. LA shall provide ENAS with final assessment recommendation accordingly.