
	<b>ENAS Guideline on Grading and Closure of Assessment Findings</b>		<b>ID. No.: EG 02</b>
	<b>Revision No: 3</b>	<b>Revision Date: 04-07-2022</b>	<b>Page 1 of 4</b>

## Contents

1. Purpose .....	2
2. Scope .....	2
3. Responsibilities .....	2
4. Guideline .....	3
4.1 Finding Reporting: .....	3
4.2 Finding Closure: .....	3

	<b>ENAS Guideline on</b>		<b>ID. No.: EG 02</b>
	<b>Grading and Closure of Assessment Findings</b>		
	<b>Revision No: 3</b>	<b>Revision Date: 04-07-2022</b>	<b>Page 2 of 4</b>

## 1. Purpose

The purpose of this guideline is to explain the categories of findings and process of recording and communicating findings observed during the ENAS assessments.

This guideline also covers the required response from the Conformity Assessment Body (CAB) 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 and may review risks to its activities accordingly.

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 during 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 on time agreed with assessment team members. Evidences on the implementation of corrective actions shall be submitted in time frames defined next in this document.

It is the responsibility of the Lead Assessor and assessment team members to follow up with the CAB and to inform ENAS Program Manager (ENAS PM) with the assessment team recommendation and input in case the CAB exceeds the agreed timeframe to close out the non-conformities raised during ENAS assessment.

	<b>ENAS Guideline on Grading and Closure of Assessment Findings</b>		<b>ID. No.: EG 02</b>
	<b>Revision No: 3</b>	<b>Revision Date: 04-07-2022</b>	<b>Page 3 of 4</b>

#### 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 CAB after the closing meeting of the assessment.

4.1.4 Each finding is agreed with the CAB during the assessment to ensure that both ENAS and the CAB 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 as four months for all types of assessments, ENAS Program Manager on the recommendation of LA and assessment team members may extend the duration in special circumstances

4.2.4 The CAB 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.

	<b>ENAS Guideline on Grading and Closure of Assessment Findings</b>		<b>ID. No.: EG 02</b>
	<b>Revision No: 3</b>	<b>Revision Date: 04-07-2022</b>	<b>Page 4 of 4</b>

- 4.2.5 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.
- 4.2.6 Assessment team shall evaluate corrective actions provided by the CAB and report such evaluation in the respected ENAS Form related to each Scheme. LA shall provide ENAS with final assessment recommendation accordingly along with accepted corrective actions evidences.
-