

WSAS PROCESS TO ADDRESS FINDINGS ON INTACT

INTRODUCTION

The purpose of this document is to describe the steps that sites must take, to create corrective action plans and upload evidence of implementation in closing out findings onto Intact, the WSAS audit platform.

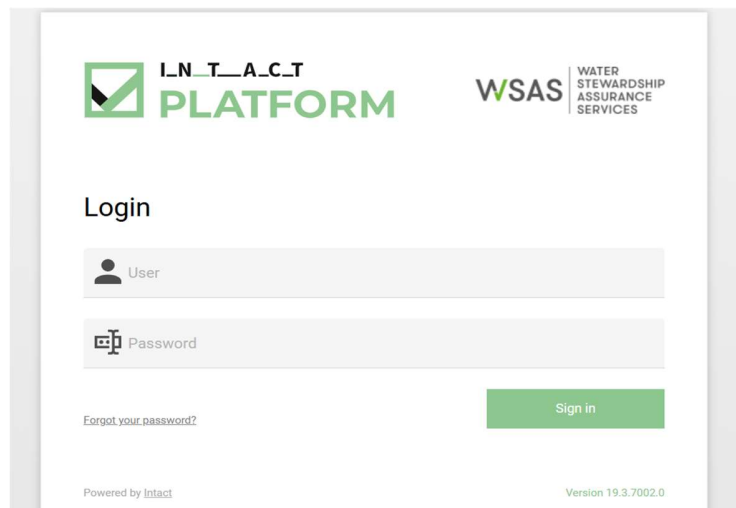
WSAS utilises Intact to carry out all audit and certification processes linked to a site seeking and maintaining their AWS Certificate, including the processes for managing and closing out non-conformities (findings) raised at an audit. Here are the key aspects of the overall process:

- **Audit Report Generation:** The WSAS audit report is automatically generated based on the information provided on the platform. This report outlines the findings from the audit process.
- **Review and Corrective Action Plan:** Upon receiving the audit report, please carefully review the list of findings. For each non-conformity identified, undertake a root cause analysis and develop a comprehensive corrective action plan. These plans should be submitted in **English** within **thirty (30) days** of receiving the audit report.
- **Major Non-Conformities:** Major non-conformities must be addressed promptly. You have **ninety (90) days** from the report's approval by WSAS to satisfactorily resolve all major non-conformities. Certification will be granted only after these findings are resolved.
- **Minor Non-Conformities:** Minor non-conformities should be resolved by the date of the next surveillance audit. Refer to the audit report and the platform for specific deadlines.
- **Evidence of Implementation:** As part of the closure process, upload evidence of implementation via the WSAS audit platform. This evidence supports the closure of non-conformities.

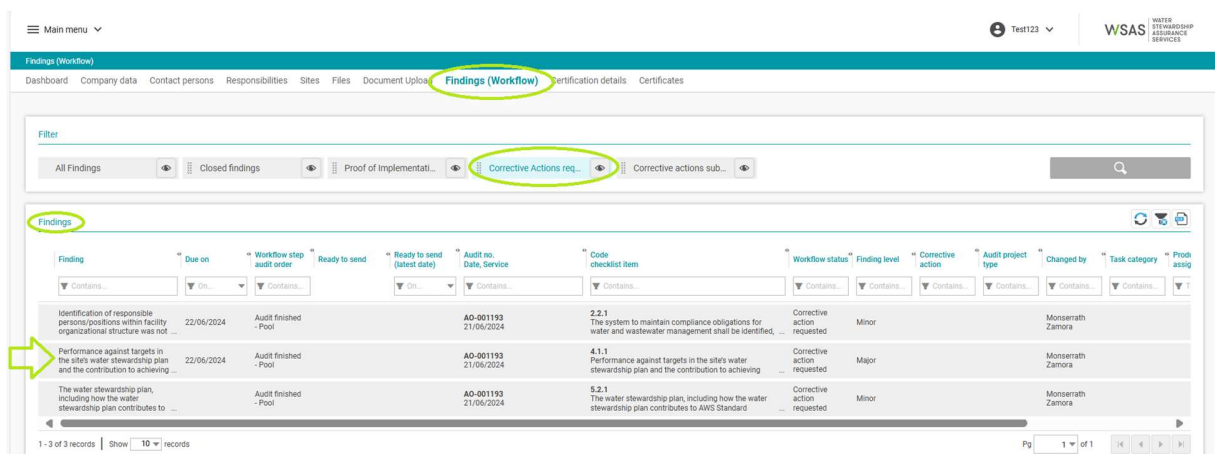
Using screenshots from Intact the document will explain the steps a site needs to take to create Corrective Action Plans and to upload evidence of implementation, in order to close out findings. If a site encounters any problems with the processes, then please contact your Regional Audit Lead or WSAS Operations.

1. STEPS TO CREATE CORRECTIVE ACTION PLANS

1. Access the WSAS Audit Platform with your username and password: [Intact Platform Login \(watersas.org\)](https://watersas.org)



2. After successfully logging in, you will find the screen below. Navigate to the “Findings (workflow)” tab and locate the “Corrective Actions Requested” section. There, you will see the findings. Please locate the specific finding you need to address.



Finding	Due on	Workflow step	Ready to send	Ready to send (latest date)	Audit no. Date, Service	Code checklist item	Workflow status	Finding level	Corrective action	Audit project type	Changed by	Task category	Prods assign
Identification of responsible persons/positions within facility organizational structure was not ...	22/06/2024	Audit finished - Pool			AO-001193 21/06/2024	2.2.1 The system to maintain compliance obligations for water and wastewater management shall be identified, ...	Corrective action requested	Minor			Monserrath Zamora		
Performance against targets in the site's water stewardship plan and the contribution to achieving ...	22/06/2024	Audit finished - Pool			AO-001193 21/06/2024	4.1.1 Performance against targets in the site's water stewardship plan and the contribution to achieving ...	Corrective action requested	Major			Monserrath Zamora		
The water stewardship plan, including how the water stewardship plan contributes to ...		Audit finished - Pool			AO-001193 21/06/2024	5.2.1 The water stewardship plan, including how the water stewardship plan contributes to AWS Standard ...	Corrective action requested	Minor			Monserrath Zamora		

3. Click on the relevant finding and scroll down to the “Corrective Action” section. Please fill in the blank spaces and follow these steps:

- Provide a root cause analysis for the finding.
- Develop a comprehensive corrective action plan that directly addresses the issue.
- Include a due date for implementing the plan.

4. Click “Save” if you want to work on your corrective action plan later or if you are ready to submit it for review, proceed to the next step.

5. Select “Submit Corrective Action” and click the “Execute” button to finalize the submission.

The screenshot displays the WSAS (Water Stewardship Assurance Services) platform interface. At the top, there is a navigation bar with a 'Main menu' dropdown, a 'Test123' dropdown, and the 'WSAS' logo. Below the navigation bar, there is a 'Ready to send' button and a 'Save for later' button, both highlighted with green circles. A 'Submit corrective action' dropdown menu and an 'Execute' button are also visible. The main content area is divided into several sections: 'Finding' (with a dropdown menu), 'Files', 'Communication', and 'Sites'. Below these, there are sections for 'Audit', 'Checklist item', 'Finding', 'Deadline details', and 'Corrective action (Auditee to complete)'. The 'Corrective action' section contains a 'Corrective action' text area and a 'Root cause analysis' text area, both with green upward arrows. At the bottom, there is a 'Files' section and a 'Comment' section with a green upward arrow.

6. The corrective action plan and root cause analysis will undergo review and approval by WSAS:

a) If the corrective action plan is approved, please proceed to follow the specified steps for uploading evidence of implementation in the subsequent section.

b) If the corrective action plan fails to address the identified finding or lacks clarity, it will be returned to you via the platform for necessary amendments. The WSAS Reviewer will specify a timeframe to make the required revisions. Kindly follow the previously outlined steps to access the findings and refer to the “Comment” section for guidance on amending the plan.

This screenshot shows a detailed view of the corrective action plan submission process. It features a 'Corrective action' text area and a 'Root cause analysis' text area, both with green upward arrows. Below these, there is a 'Files' section and a 'Comment' section with a green upward arrow. The interface is designed to allow users to provide detailed feedback and documentation for their corrective action plans.

Note: In this section, you can review the corrective actions that have been submitted:

The screenshot displays the 'Findings (Workflow)' section of the WSAS Audit Platform. The top navigation bar includes 'Main menu', 'Test123', and 'WSAS WATER STEWARDSHIP ASSURANCE SERVICES'. The 'Findings (Workflow)' tab is active, showing a filter bar with options: 'All Findings', 'Closed findings', 'Proof of Implementati...', 'Corrective Actions req...', and 'Corrective actions sub...'. The 'Findings' table below has columns: Finding, Due on, Workflow step, Ready to send, Audit no., Code checklist item, Workflow status, Finding level, Corrective action, Audit project type, Changed by, and Task category. Two findings are listed:

Finding	Due on	Workflow step	Ready to send	Audit no.	Code checklist item	Workflow status	Finding level	Corrective action	Audit project type	Changed by	Task category
The relevant stakeholders have not been adequately defined	08/07/2022	Review finished		AO-000206	1.2.1 Stakeholders and their water-related challenges shall be identified. The process used for stakeholder	Corrective action submitted	Minor			Lisa Seufert	
The water stewardship plan, including how the water stewardship plan contributes to	29/06/2024	Audit finished - Pool		AO-001193	5.2.1 The water stewardship plan, including how the water stewardship plan contributes to AWS Standard	Corrective action submitted	Minor			BAT Test Site	

At the bottom, it shows '1 - 2 of 2 records' and a pagination control.

2. STEPS TO UPLOAD EVIDENCE OF IMPLEMENTATION TO CLOSE OUT FINDINGS

1. Once the corrective action plan is approved, you will be required to provide evidence of implementation to close out any findings. Access the WSAS Audit Platform with your username and password: [Intact Platform Login \(watersas.org\)](https://watersas.org)

The screenshot shows the login page for the Intact Platform. The header includes the 'I.N.T.A.C.T PLATFORM' logo and the 'WSAS WATER STEWARDSHIP ASSURANCE SERVICES' logo. The main content area is titled 'Login' and contains a form with two input fields: 'User' and 'Password'. Below the 'Password' field is a link that says 'Forgot your password?'. To the right of the form is a green 'Sign in' button. At the bottom of the page, it says 'Powered by Intact' on the left and 'Version 19.3.7002.0' on the right.

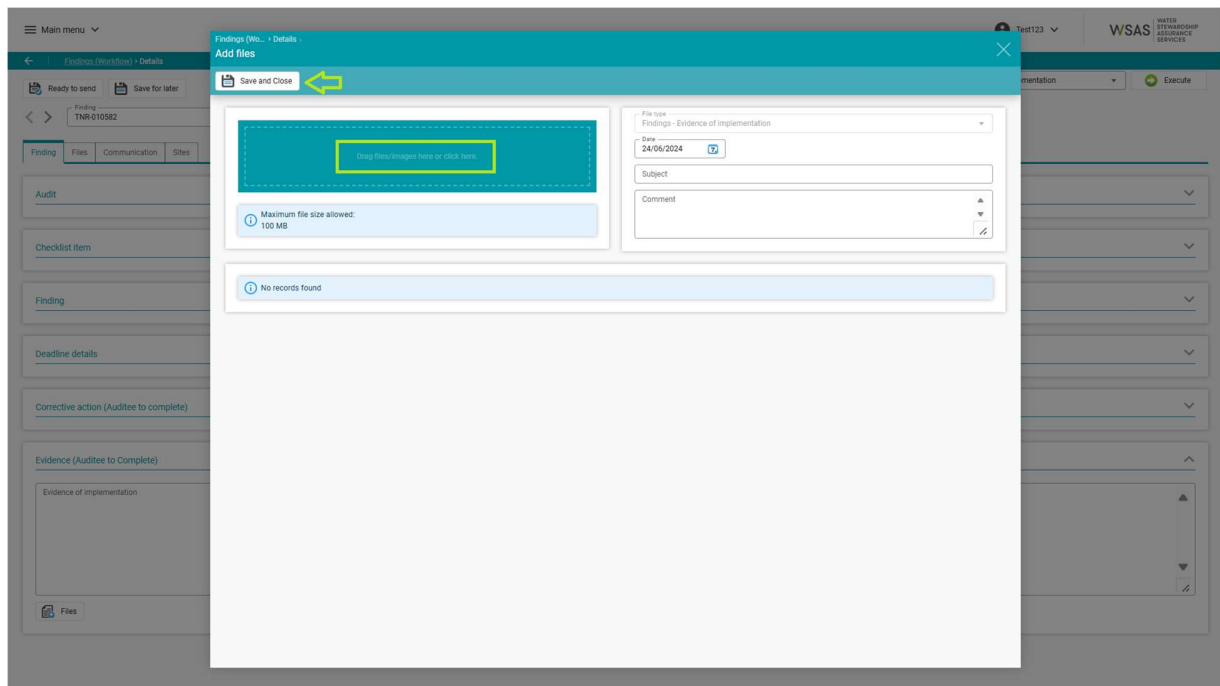
2. After successfully logging in, you will find the screen below. Navigate to the “Findings (workflow)” tab and locate the “Proof of Implementation Requested” section. There, you will see the findings. Please locate the specific finding for which you need to provide evidence of implementation.

The screenshot shows the 'Findings (Workflow)' dashboard. At the top, there's a navigation bar with tabs: Dashboard, Company data, Contact persons, Responsibilities, Sites, Files, Document Upload, **Findings (Workflow)**, Certification details, and Certificates. Below the navigation bar is a filter section with buttons for 'All Findings', 'Closed findings', 'Proof of Implementati...', 'Corrective Actions req...', and 'Corrective actions sub...'. A search bar is on the right. The main section is titled 'Findings' and contains a table with columns: Finding, Due on, Workflow step, Ready to send, Ready to send (latest date), Audit no. Date, Service, Code checklist item, Workflow status, Finding level, Corrective action, Audit project type, Changed by, Task category, and Prodi assign. Two findings are listed: 'Identification of responsible persons/positions within facility organizational structure was not ...' and 'Performance against targets in the site's water stewardship plan and the contribution to achieving ...'. The first finding is highlighted with a green arrow. At the bottom, there's a pagination bar showing '1 - 2 of 2 records' and 'Pg 1 of 1'.

3. Click on the relevant finding and scroll down to the “Evidence of Implementation” section. Please follow these steps:

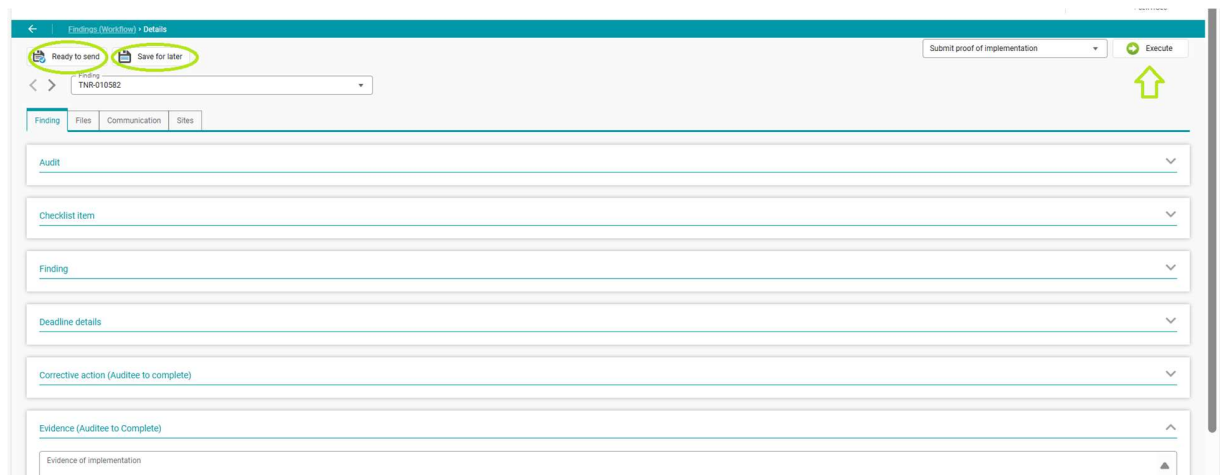
- Provide your comments.
- Click the “files” button to upload the evidence.
- Remember to “save” before closing the file window.

The screenshot shows the 'Findings (Workflow) Details' page. At the top, there's a navigation bar with tabs: Main menu, Test123, and WSAS WATER STEWARDSHIP ASSURANCE SERVICES. Below the navigation bar is a header section with 'Ready to send', 'Save for later', and 'Submit proof of implementation' button. The main section is titled 'Findings' and contains a table with columns: Finding, Files, Communication, and Sites. The 'Files' tab is selected. Below the table, there's a section titled 'Evidence of Implementation' with a green arrow pointing to it. The section contains a text area for 'Evidence of implementation' and a 'Files' button with a green arrow pointing to it. At the bottom, there's a footer that says 'Powered by I.N.T.A.C.T'.



4. Click “Save” if you want to work on the evidence of implementation later or if you are ready to submit it for review, proceed to the next step.

5. Select “Submit Proof of Implementation” and click the “Execute” button to finalize the submission.



6. The evidence of implementation will undergo review and approval by WSAS:

a) If the evidence of implementation is approved, the finding will be closed.

b) If the evidence of implementation lacks clarity, it will be returned to you via the platform for necessary amendments. The WSAS Reviewer will specify a timeframe to make the required revisions. Kindly follow the previously outlined steps to access the findings and refer to the “Comment” section for guidance on amending the evidence of implementation.

c) Please refer to the information below, which outlines three different scenarios in case a site fails to address all open non-conformities:

Case Description	Requirement	Action
New site aiming for certification: Major non-conformities are not addressed within 90 days after report approval	Site is notified	Another full certification audit is required
Certificate Holder: Major non-conformities not addressed within 90 days	Site is notified	WSAS shall suspend or withdraw the certificate
Certificate Holder: Minor non-conformities	Must be addressed by the next surveillance audit	If not addressed, WSAS shall upgrade to a major non-conformity