Version 1.0
Date 27 June 2024

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.

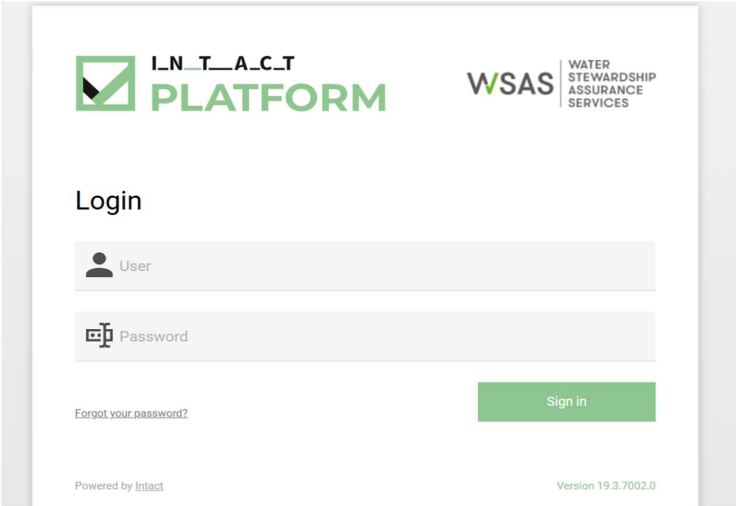
- **Minor Non-Conformities:** Minor non-conformities should be resolved by the date of the next surveillance audit. Refer to the audit report and the platform for specific deadlines.

- **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.

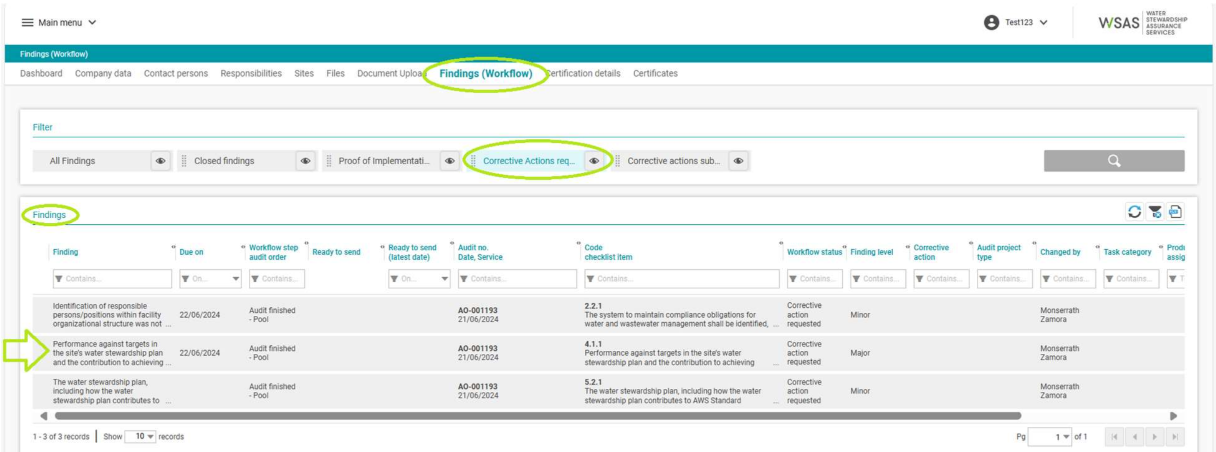
Using screenshots from Intact the document will explain the steps a site needs to take to create Corrective Action Plans and to upload evidence of implementation, in order to close out findings. If a site encounters any problems with the processes, then please contact your Regional Audit Lead or WSAS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

1. STEPS TO CREATE CORRECTIVE ACTION PLANS

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



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.

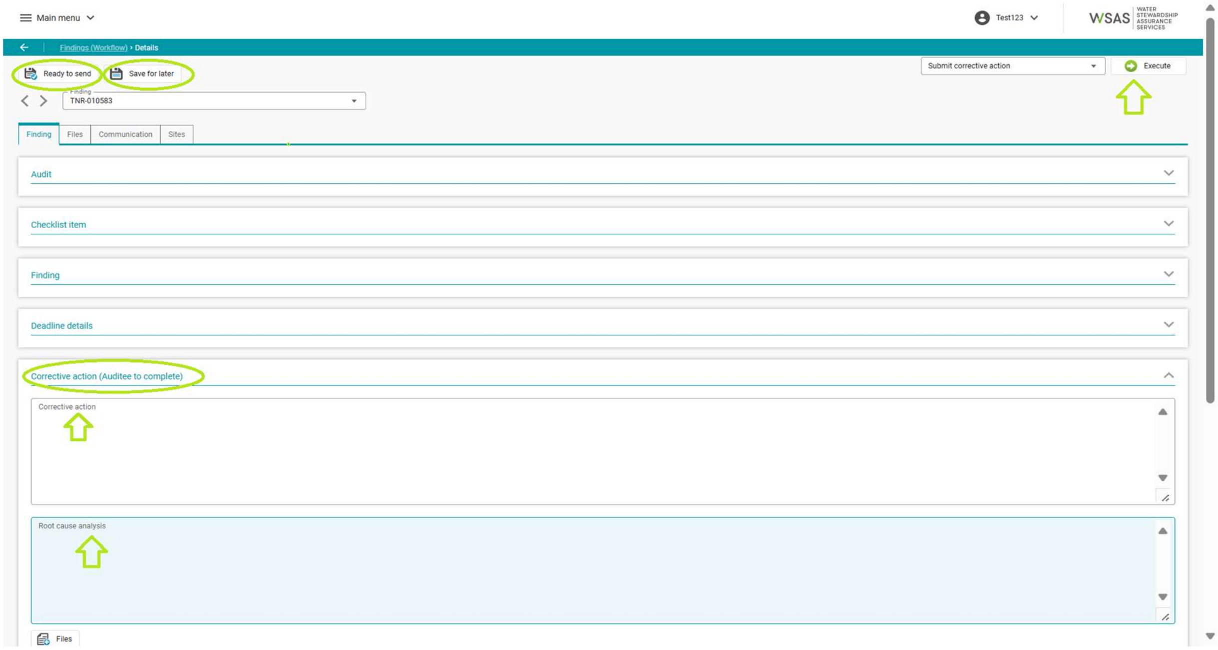


3. Click on the relevant finding and scroll down to the "Corrective Action" section. Please fill in the blank spaces and follow these steps:

-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.

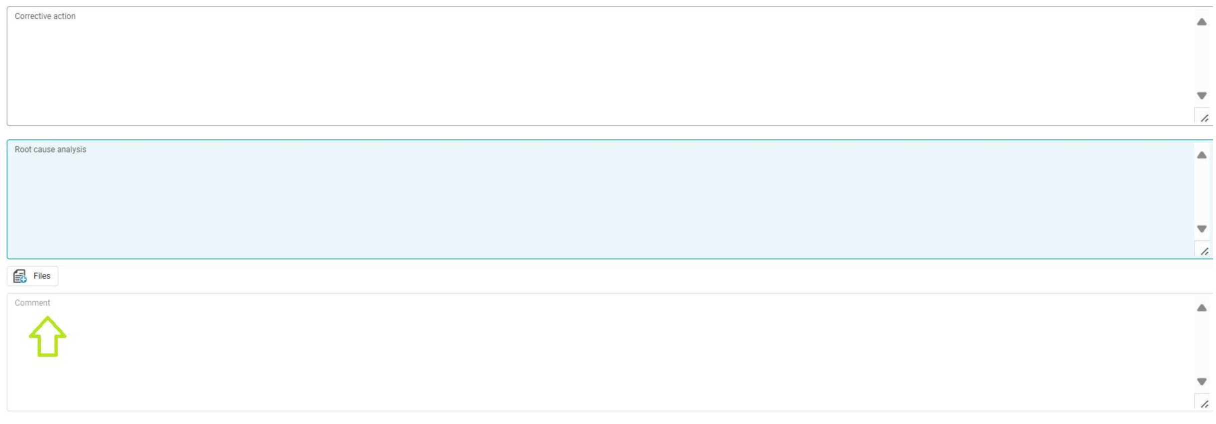
5. Select “Submit Corrective Action” and click the “Execute” button to finalize the submission.



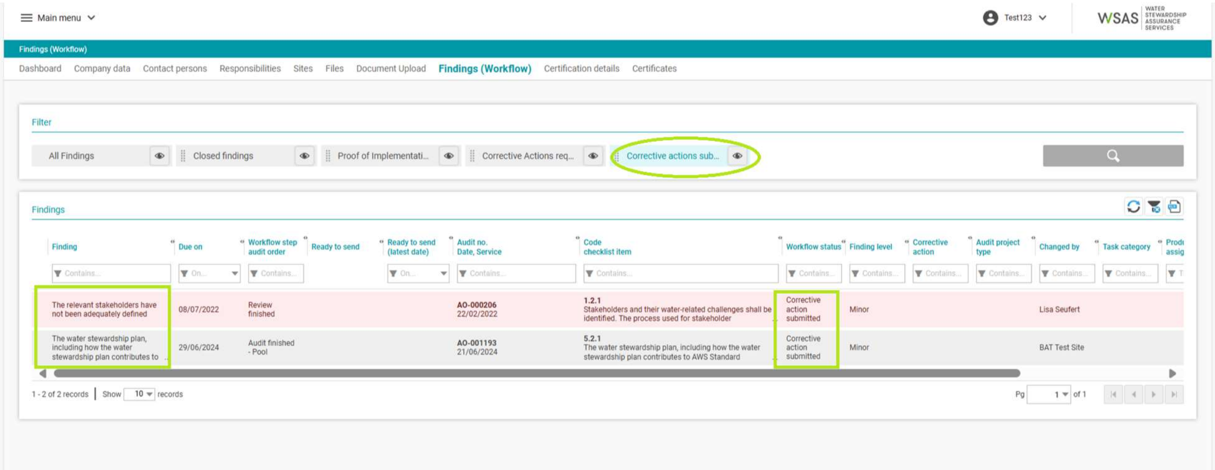
6. The corrective action plan and root cause analysis will undergo review and approval by WSAS:

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.

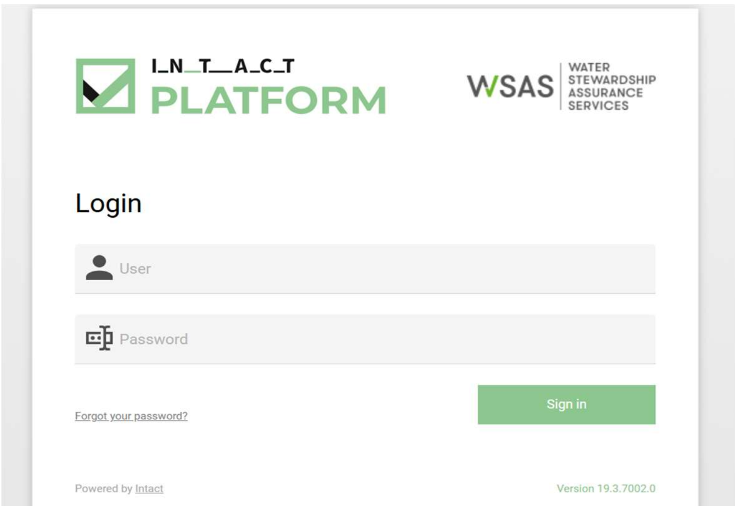


Note: In this section, you can review the corrective actions that have been submitted:

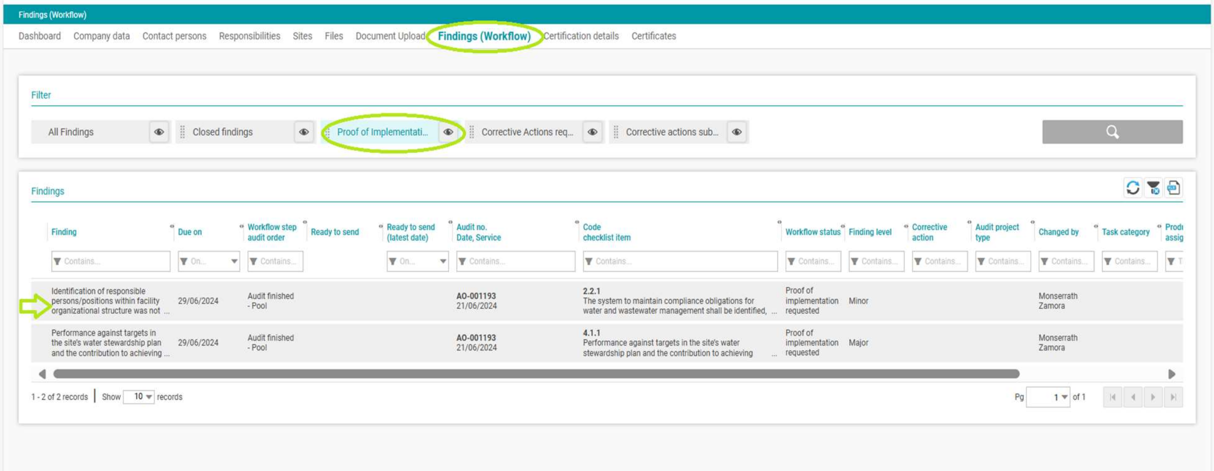


2. STEPS TO UPLOAD EVIDENCE OF IMPLEMENTATION TO CLOSE OUT FINDINGS

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)]

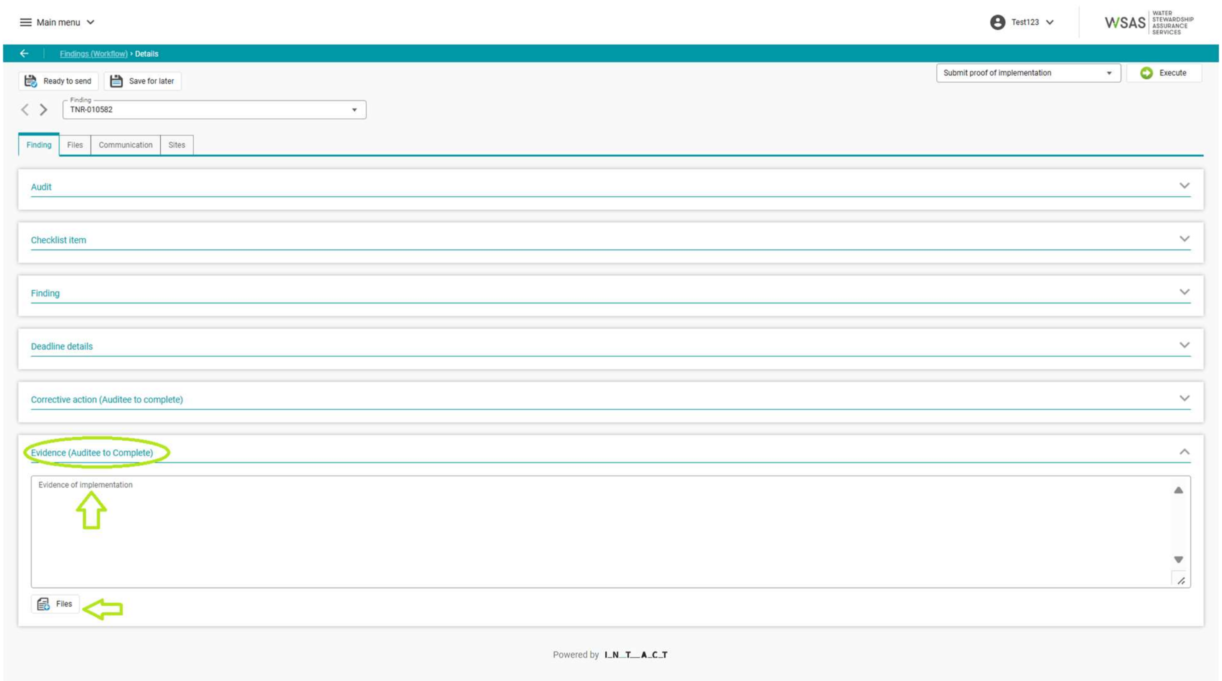


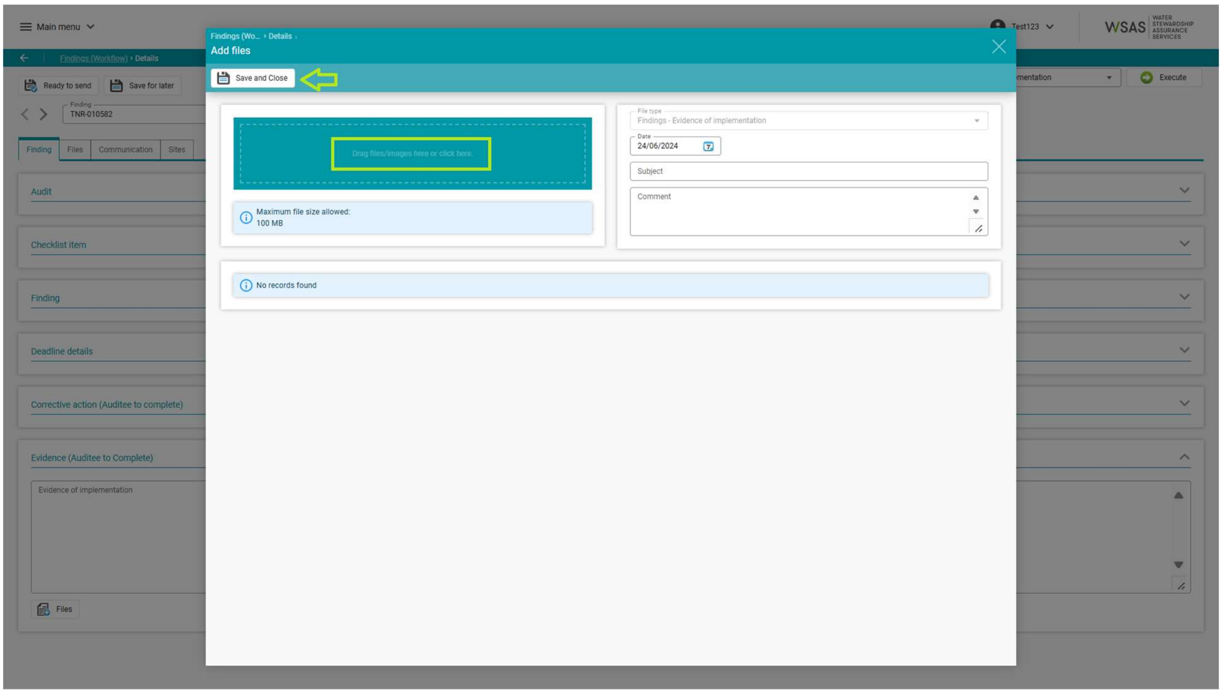
2. After successfully logging in, you will find the screen below. Navigate to the “Findings (workflow)” tab and locate the “Proof of Implementation Requested” section. There, you will see the findings. Please locate the specific finding for which you need to provide evidence of implementation.



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

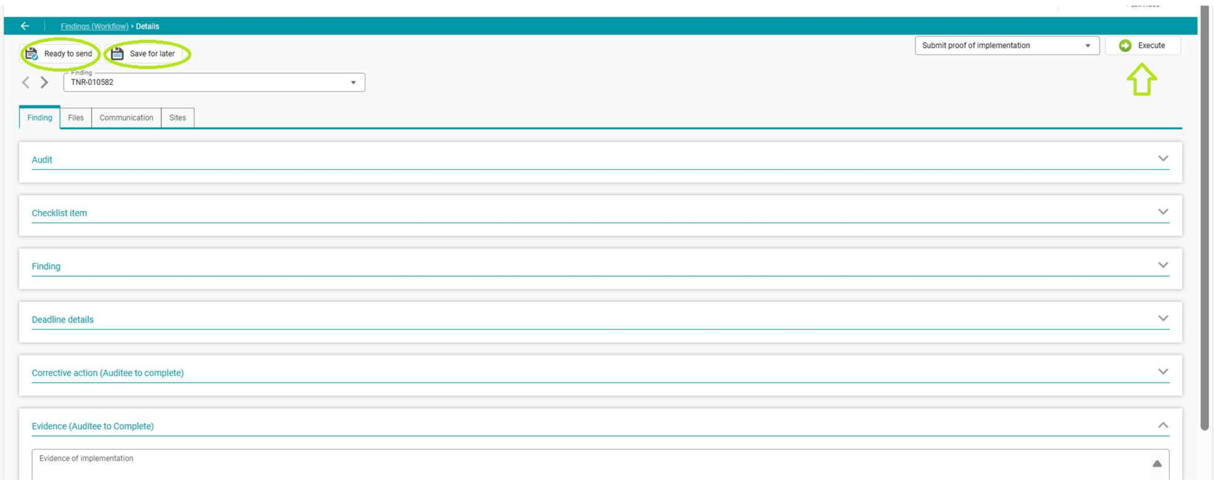
-Provide your comments.
-Click the “files” button to upload the evidence.
-Remember to “save” before closing the file window.





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