



# GEN 3

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## Reporting UKAS Assessments

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### CHANGES SINCE LAST EDITION

Minor changes to reflect current practice and changes to 4.6:  
Inclusion of reference to the use of the Improvement Action Summary Form with the submission of evidence of corrective action.  
Inclusion of requirement for organisations to confirm the implementation of improvement actions required to address Mandatory Findings where UKAS has indicated that detailed evidence need not be supplied.

## 1 OBJECTIVES

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- 1.1 The purpose of UKAS Reports is to communicate to the customer the assessment findings and conclusions and to record the actions agreed with the customer.
- 1.2 UKAS Reports, any notes made by assessors and other information collected by the assessment team to support the conclusions of the assessment are used by UKAS for accreditation decision-making purposes.

## 2 POLICY

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- 2.1 UKAS Reports may be handwritten or typed, and appropriate forms are available in either format. UKAS Reports are generally issued electronically where it is possible.
- 2.2 Notes made by assessors to indicate areas/activities assessed are retained by UKAS to aid accreditation decision-making, future planning of assessments and as a record of the assessment.
- 2.3 All reports of assessments and related records are maintained in the customer file for a defined period of time in accordance with the UKAS policy for maintaining assessment records.

## 3 CONSTRAINTS

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- 3.1 It may not always be possible to provide a typed report of an assessment, e.g. due to the particular circumstances of an assessment, restrictions specified by the customer, the size of the assessment team or the ability of the assessment team to use electronic equipment.
- 3.2 There is always a small risk of electronic equipment such as laptops failing. Assessment teams will generally keep a set of report forms available for use in such an emergency situation.

## 4 CONSIDERATIONS

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### Pre-Assessment

- 4.1 Pre-assessment reports may be issued at any point in the pre assessment stage, as agreed with the customer.

A UKAS Pre-assessment Report may be issued on completion of:

- a document review
- a meeting

- a site/office visit (s)
- a witnessed activity
- or any other agreed pre-assessment activity.

The purpose of the Pre-assessment is to advise the customer of the actions that the customer needs to take to prepare for the UKAS assessment and to agree a plan of action.

If more than one pre-assessment report is issued, the latest report will cross reference any previously issued reports.

## Assessment

4.2 UKAS will report the outcome of any type of assessment (initial assessment, surveillance, extension to scope, reassessment) using:

- UKAS Improvement Action Report(s)
- UKAS Assessment Report

There may also be attachments to the Assessment Report providing additional/supplementary information.

### 4.3 Improvement Action Report

4.3.1 Improvement Action Reports record the following types of findings:

- Nonconformities (an issue that requires corrective action by the assessed organisation to enable it to meet accreditation requirements)
- Opportunities for improvement (including potential nonconformities)

4.3.2 The Lead Assessor will determine the nature of the findings by analysing all the relevant assessment evidence and discussing with the other assessment team members and customer as appropriate. A finding may be based on evidence found in procedures, records and through observations made at interviews, discussions, witnessed activities etc. Evidence could be documentary or non-documentary. Lack of evidence of demonstration of competence, integrity or conformity could also lead to a finding being reported.

4.3.3 In addition to the recorded finding the report may also indicate the sample size, supporting evidence and where appropriate the risk and the impact of the finding to the assessed organisation's business.

4.3.4 Where appropriate, the main clause of the accreditation criteria and reference to relevant guidance documents relating to the reported finding will be stated in the Improvement Action Report.

4.3.5 Each finding reported in Improvement Action Reports will be categorised as follows:

- 'M' - Action is Mandatory  
A finding that identifies nonconformity is indicated as 'M' (Action is Mandatory) in the Improvement Action Report. The customer will need to take appropriate action to resolve the nonconformity prior to UKAS granting or confirming continuity of accreditation. All actions against findings indicated as 'M' will need to be resolved by the customer within an agreed timescale.
- 'R' - Action is Recommended  
A finding that identifies an opportunity for improvement or a potential nonconformity is indicated as 'R' (Action is Recommended) in the Improvement Action Report. The customer is recommended to take appropriate action to resolve any finding that is

indicated as 'R' but the customer is not required to agree improvement actions with UKAS (although it may be in the interests of the customer to do so in order to establish their understanding of the finding) or to provide evidence of such improvement actions.

- 4.3.6 At initial assessments, evidence of action taken for all findings indicated as 'M' will need to be provided to UKAS within agreed timescales. At reassessments, surveillance and extension to scope assessments the UKAS Lead Assessor will make a judgement as to whether any evidence of the agreed improvement actions will need to be provided to UKAS or whether a statement to confirm implementation is sufficient. When making such judgements, the Lead Assessor will take account of the significance of the finding, the organisation's proposed improvement action and the organisation's past performance with respect to timeliness and effectiveness of improvement actions.
- 4.3.7 Once the descriptions of the finding and the agreed improvement action have been recorded in an Improvement Action Report Form, a copy of the Report is provided to the customer. The improvement action is agreed with the customer at the time of the assessment to ensure that both UKAS and the customer have a good understanding of the reported issue. An organisation may need time to analyse the reported finding and establish the root cause; thus the improvement action may be an outline proposal to address the finding rather than the specific corrective action itself. Agreement of the improvement action at the time of the assessment eliminates the need for certification bodies and inspection bodies to send *proposed* actions for UKAS agreement following the assessment.
- 4.3.8 Improvement Action Reports may be provided during or at the end of the assessment and are normally provided to the customer before leaving the assessment location.

#### 4.4 **Assessment Report**

- 4.4.1 Lead Assessors will report the results and conclusions of the assessment under the key headings of Scope, Organisation, Management, Evaluation Processes, Technical Competence and Impartiality & Integrity in the Assessment Report.

*Note: The term Evaluation Processes could be described as testing processes, calibration process, inspection processes or certification processes in the Assessment Report as appropriate to the business of the organisation being assessed.*

- 4.4.2 The information normally included in an Assessment Report is detailed in Appendix 1. Where a customer requires a more detailed report due to a business need (eg, a customer may request additional information about a particular aspect of their system to determine resource/investment needs) this should be requested in advance of the visit at the planning stage. UKAS will produce an Assessment Report which will include additional relevant information.
- 4.4.3 The Assessment Report will include comments on the extent of competence and conformity of the assessed organisation. Findings that do not require the customer to take improvement action may also be included in the Assessment Report.
- 4.4.4 A UKAS Assessment Report will be issued on completion of every assessment, before leaving the assessment location or soon after, as agreed with the customer. If the Assessment Report is not issued on the day of the assessment, the UKAS Lead Assessor will provide an oral report to the customer before leaving the assessment location. Alternatively, the Lead Assessor may agree with the customer to issue an Executive Summary on the day and provide the rest of the report soon after the assessment.

4.4.5 The customer will be asked to acknowledge the Assessment Report to confirm receipt of the Report, including any referenced Improvement Actions as a commitment from the customer to implement the necessary actions within the agreed timescales. Acknowledgement may be in the form of a signature on a hard copy or, more usually, an electronic acknowledgement.

#### 4.5 Notes of assessment

4.5.1 The purpose of any notes taken during an assessment, which may be in the form of assessor notes, proformas or other format, is to act as a record of the assessment.

#### 4.6 Improvement Actions

4.6.1 Where Improvement actions have been identified the Assessment Team will indicate the mechanism for addressing these in the Assessment Report. Documentary evidence of Improvement Actions is usually requested to be sent to UKAS; occasionally an additional visit may be required. Where documentary evidence and/or confirmation are required it shall be submitted with an accompanying Improvement Action Summary Form.

4.6.2 UKAS will require evidence to be provided of those improvement actions indicated as 'Y' in the Improvement Action Report. Evidence of those actions indicated as 'Y' must be accepted as satisfactory by UKAS before grant or maintenance of accreditation. All findings indicated as 'M' at initial assessments will be marked as 'Y' in the Improvement Action Report.

4.6.3 It is not necessary for the customer to provide evidence of those improvement actions indicated as 'N' in the Improvement Action Report but such improvement actions will need to be completed by the customer within the agreed timescales. The customer shall confirm the implementation of the improvement action on the Improvement Action Summary Form which shall be returned to UKAS within the timescale specified in the Assessment Report. UKAS reserves the right to verify completion of any agreed improvement actions recorded against a finding at any time after the agreed completion date.

4.6.4 The timescales allowed for providing evidence of corrective action by the assessed organisation for various types of assessment activities are as follows.

Type of Assessment	Period allowed for providing evidence for Closing Out of Corrective Actions.
Initial Assessment	Normally no more than 3 months.
Surveillance & Re Assessment	Normally 1 month, exceptionally 3 months.
Extensions to Scope	Normally no more than 3 months.

## 5 APPENDIX

### APPENDIX1 - Information Included in an Assessment Report

#### 1.0 Data included on the cover sheet

Type of assessment  
 UKAS Reference Number  
 Date(s) of assessment  
 Name & address of organisation  
 Assessment location (s)  
 Business Event ID(s)  
 Schedule issue number (s)  
 Date (s) of assessment plan  
 Name(s) & role(s) of assessment team members  
 Assessment standard / criteria  
 Name of Organisation Representative (s)  
 E-mail address of the organisation  
 Number of Findings classified as **Mandatory**  
 Number of Findings classified as **Recommended**  
 Number of (M) Findings requiring evidence by UKAS  
 Anticipated method of reviewing evidence: remote/ site/ both  
 Estimated effort for reviewing evidence: ( ) / Quote to follow  
 Agreed action completion date  
 Number of appendices attached  
 Name of the person who issued the report  
 Date of issue of report  
 Name of the person who acknowledged the report  
 Signature of the person who acknowledged the report (handwritten reports only)  
 Report acknowledged date  
 Report acknowledged method (Typed reports only)

#### 2.0 Areas Sampled at the Assessment

On Page 2 of the Assessment Report, the areas sampled at the assessment will be indicated as 'X' under the following headings of accreditation criteria.

##### **Organisation**

Legal status  
 Liabilities cover (CB / IB Only)  
 Management of finances (CB / IB only)  
 Resources  
 Organisation structure  
 Responsibility & authority

##### **Management**

Management system including documented policies & procedures  
 Roles & responsibilities for quality  
 Control of documents & records  
 Management of sub contractors and purchases  
 Service to clients (test / calibration only)  
 Handling complaints, appeals and disputes  
 Control of nonconforming items & dealing with corrective & preventive actions & improvements  
 Internal audit & management review

Supervision & monitoring of staff  
Conditions for granting & maintaining certification (CB only)

### **Impartiality, integrity**

Independence, impartiality and integrity  
Confidentiality

### **Evaluation Processes**

Design & development of methods & schemes  
Enquiries, tenders & contracts  
Planning & resource allocation  
Testing/calibration/inspection/auditing (as appropriate)  
Reports & certificates  
Decisions/opinions  
Certification & maintenance of certification (CB Only)

### **Technical competence**

Personnel  
Methods/Schemes  
Facilities/equipment (Test/Cal/IB Only)  
Environmental conditions (Test/Cal Only)  
Assurance of Quality of test/calibration (Test/Cal Only)  
Cooperation (IB Only)

### **Witnessed Activities**

### **Other (specify)**

## **3.0 The Body of the Report**

### Executive Summary (not more than 1 – 1 ½ Pages)

The purpose of the Executive Summary is to give an overview of the assessment to the top management of the assessed organisation. The main conclusion of the assessment based on the findings will be included in the Executive Summary. Where appropriate, the recommendation for accreditation and the next step of the accreditation process will also be included in the Executive Summary. In the Executive Summary or within the other sections of the Assessment Report the following will be addressed.

- The scope of assessment
- The key strengths and weaknesses of the organisation and where appropriate significant risks to the accredited organisation's business based on assessment evidence
- Comments on the extent of competence of the assessed organisation
- Comments on conformity with accreditation requirements
- Effectiveness of management systems
- Reliability of internal audits
- Where applicable, how effectively the results of quality assurance / quality control techniques such as proficiency testing, inter laboratory comparisons are used to reduce the risk of providing incorrect test/ calibration/ inspection/ certification results
- Where applicable, useful comparisons with results of previous assessments

*Note: For surveillance visits of accredited organisations with a limited scope of accredited activities, it may be possible to report the whole assessment as an Executive Summary, provided all aspects listed above are adequately covered. However, at initial assessments, reassessments or where it is considered necessary by the Assessment Manager or where*

*requested by the customer, the assessment results will be reported in more detail using, as appropriate, the key/subheadings listed on Page 2 of the Assessment Report.*