



Manage, perform, grow.

What to expect during the process
and how BSI will help you.

bsi.



...making excellence a habit.™

Welcome

We're here to help make the process to certification as straightforward as possible.

You may already have everything in place, but it's always worth checking.

Certification checklist

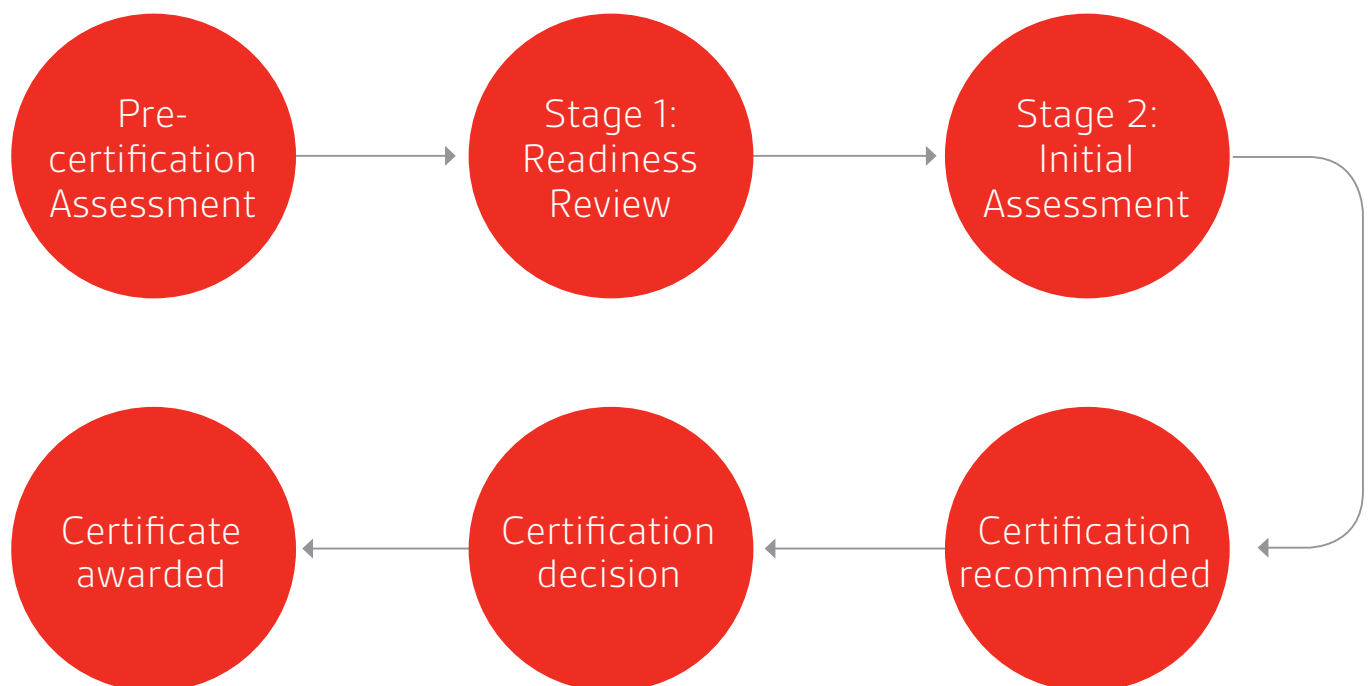
The following checklist will help you keep on track and stay in control.

- **Objectives, scope and resources** – List them. It's critical they are in place
- **A clear statement of benefits** – Define what your organization will aim to gain from certification
- **Teamwork** – Your key staff across all departments need to work together, and know their responsibilities
- **Employee motivation** – Keep them involved and informed at all times with regular communications and updates
- **Systems, policies, procedures and processes** – How do your current ones compare to the standard?
- **Project Plan** – This should detail activities and key timescales for implementation of the system
- **Customer and supplier feedback** – A great way to gain input, shape your thinking and create an action plan for improvement
- **Training** – If your own people carry out internal audits, you'll get early sight of any potential problems or possible improvements



Our assessment process

There are a number of steps your organization will need to go through in order to gain certification. We will carry out two formal assessments, known as Stage 1 and Stage 2. You may wish to consider an optional pre-certification assessment or GAP-analysis which can take place before your Stage 1. Once you have been recommended for certification by your BSI Assessor our compliance team will then review their recommendation, if successful you will be awarded your formal certificate.



Being prepared for Stage 1 is important

Here are some useful BSI tools that could give you a head start

A pre-certification assessment

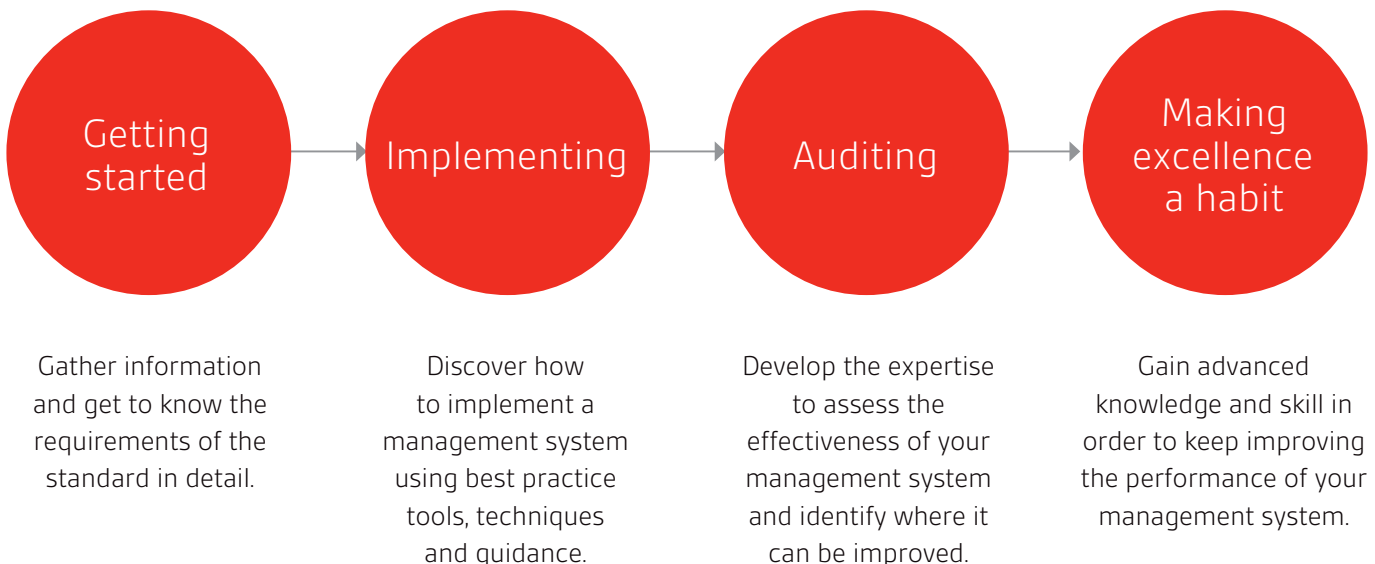
We can carry out an optional Gap Analysis - also called a pre-certification assessment. It looks at the existing processes and procedures that you have in place and compares these with the requirements of the standard.

Any potential oversights or weaknesses are spotted so you can take action now. It's also a good dry run for your team before the formal stages begin.

The BSI Training Academy

The BSI Training Academy provides a step-by-step learning pathway to help you embed excellence in your organization. Each step builds on the previous one, so you can gain the necessary expertise to successfully implement, audit and improve your management system.

The Process





The BSI Customer Services Team

You will be appointed with a dedicated Customer Services Executive who will support you from application to certificate. You will find the details on the covering e-mail inserted in this pack.

Your Customer Services Executive

Your Customer Services Executive (CSE) will be on hand to support you from now through to certification. If you have any questions about the stages involved in getting certified, what to prepare beforehand, what happens on an assessment day – or anything else – please let them know and they will be happy to explain everything. BSI appreciate the commitment that you're making and we are here to make it as rewarding as possible for you, every step of the way.

Your CSE will be in touch regularly to see how you're getting along and what more they can do. Together we'll plan your assessments and make sure that you get certified within your time frame.

To learn more visit:
bsigroup.nl/training
or ask your Customer
Services Executive

Stage 1

Readiness Review

By now you've implemented your new management system. Your BSI Assessor will be there to confirm whether you have met the objectives you set yourself.

This will be done in a constructive and positive way to ensure you get the most from your management system. We may leave you with some additional work to do, but don't worry; the aim is to get you in good shape for Stage 2 and we'll work through these challenges with you.

Your first assessment will need to be completed within 12 months of your application, although many organizations choose to do this within the first 6 months. During our visit we'll summarize our findings in a report and make a plan for the Stage 2 assessment.

Your BSI Assessor will support you by:

- Making sure that you understand the standard, what it requires and the overall operation of your management system
- Talking to your employees
- Review all your documents
- Reviewing your scope, and ensuring it includes statutory and regulatory aspects, as well as highlighting any associated risks
- Determine what knowledge is desired to obtain
- Comparing the performance of your management system and site operations to ensure you are ready for Stage 2.

Before the BSI Assessor leaves, he will discuss and summarize his findings in a report so you have a good understanding of what is and isn't working. This may mean there are some elements of your system which need some additional work. Collectively, we call these non-conformities and they are a normal part of the process and should not worry you.

The usual time frame between Stage 1 and 2 is 4 to 6 weeks; however, this can vary with certain standards. You can discuss this with your Customer Services Executive.



Stage 1 - Non-conformities

A non-conformity will outline an area that doesn't match the standard and we group these into two categories: minor and major.

Minor non-conformities

These are not seen as very serious. You must simply develop, follow and complete your own internal corrective action plan (CAP) before Stage 2. There is no need to send us a corrective action plan for minor non-conformities at Stage 1.

Major non-conformities

These are more serious and you'll need to produce a CAP for BSI with actions to complete before Stage 2. You will need to submit your CAP to us in advance of your Stage 2 and we will pay particular attention to it at our next visit.

Send your CAP to: MSBeneluxreport@bsigroup.com and include your BSI report number (SMO) in the subject line.

**Collate. Correct. Complete.
Take charge with Action Manager.**

To help you manage any identified further improvements, we have developed a web-based tool called BSI Action Manager. You can record findings including non-conformities, improvements, recommendations, positive actions and best practice found, either during an assessment, or as you discover them. You can also ensure that the issue is resolved effectively.

Explore how BSI Action Manager can help you at www.bsigroup.com/action-manager or speak with your BSI Assessor.

Stage 2

Initial Assessment

This is the final and more formal assessment. Stage 2 confirms your management system is fully aligned to the standard and is fully operational within your organization. We'll evaluate the implementation and its effectiveness, and make a recommendation for your formal certification.

Your BSI Assessor will:

- Gather evidence that you align to the requirements of the standard
- Ask you to demonstrate clear monitoring, measuring, reporting and reviewing of your system against key performance objectives
- Check your management system complies with appropriate legal requirements
- Evaluate the operational control of your processes
- Ensure internal audits and sufficient management reviews have been undertaken
- Make a recommendation for certification for review by BSI's compliance team
- How your management system is performing compared to your objectives.

When your Stage 2 is complete, there may be the need for some final improvements. At this stage, additional non-conformities may be highlighted. These will need to be resolved with new corrective action procedures. As with Stage 1, these are nothing to worry about and should be seen as a positive way of improving your management system.

The good news is that provided you have a corrective action procedure for any minor non conformities in place, this will not delay your certificate. The more serious ones will need to be addressed before a certificate can be issued and we will come back to visit you within 3 months to check your progress.



Stage 2 - Non-conformities

A non-conformity will outline an area that doesn't match the standard and we group these into two categories: minor and major.

Minor non-conformities

Unlike at Stage 1, this time a written corrective action plan (CAP) must be sent to BSI at Stage 2 as this is when a certification decision is made.

The CAP will be reviewed by your BSI Assessor and must detail the non-conformity, the cause, the proposed corrective action, who is responsible and the date the action will be implemented. You will have 2 weeks to do this.

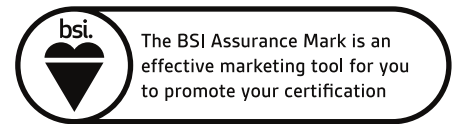
Major non-conformities

If a major non conformity is raised or is outstanding from your Stage 1, an additional visit will need to be booked. This is to confirm the implementation of the effective CAP.

This additional visit will take place within 3 months; however you can request to have the visit earlier.

Send your CAP to
MSBeneluxreport@bsigroup.com
and include your BSI report number
(SMO) in the subject line.

The next three years with BSI



Congratulations you've achieved certification. Now share your success with everyone that matters.

Promote your achievement to clients, employees and the world - put out a press release, communicate the significance internally and update your corporate stationery and website with the internationally recognized BSI Assurance Mark. BSI will work with you to promote your success and recognize the achievement that you've gained.

'Metal Certificate'

Your obtained certificate is the most tangible evidence of the result you achieved. To create even more value with your certificate, BSI offers you the possibility to order your certificate printed on metal. By positioning the certificate in the right, strategic place you will emphasize the importance of your certification. The price of the 'Metal Certificate' is € 85,-. You can purchase the 'Metal Certificate' by sending an email to marketing.nl@bsigroup.com or call +31 (0) 20 346 07 80.



The Continuing Assessment Visit

Over the next 3 years, we will work with you to ensure you get the most out of your investment and continue to improve your business. The Continuing Assessment Visit (CAV) is a regular event that maybe completed in stages, typically every 12 months.

CAVs are planned over a three-year period and will ensure that all elements of the organization covered in the assessment at Stage 2 are re-assessed. They give you the reassurance that all your systems and processes are doing exactly what you originally planned for them to do. The first visit will be 10 months after your Stage 2, and then 12 monthly after that.

These assessments will always cover the following areas:

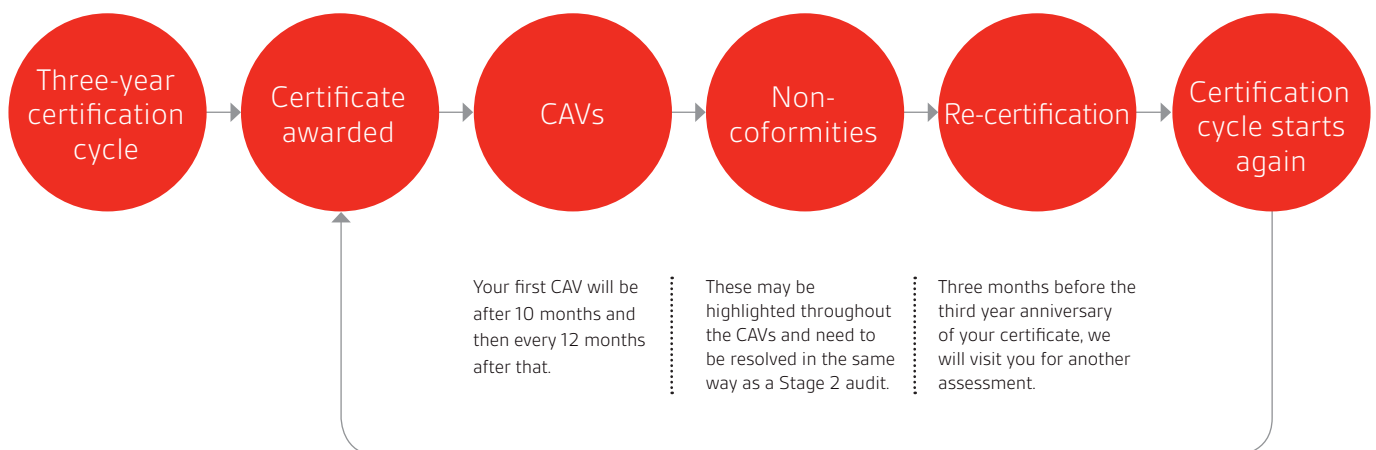
- System maintenance
- Effectiveness of internal audits and follow-up actions
- Management reviews
- Preventive actions
- Corrective action processes
- Customer complaints
- Changes to the documented system.

And at each CAV the following will be audited:

- Actions relating to any previous non-conformities
- How your management system is performing compared to your objectives
- The progress of any new and planned activities aimed at continual improvement
- Results from any previous internal audits
- The use of marks and any other reference to certification
- Records and processes relating to any complains about the client that has been referred to BSI.

Three year certification cycle

Each CAV will help you check that you are getting the benefits you wanted from certification, but they will also help get you ready for the re-certification audits which are planned at the end of each three-year certification cycle.



Common terms we use

Certification – This means that you have been successfully assessed against the requirements of a management system standard. We will issue you with a certificate and an approval mark that you can use to promote your achievement. You can then say you are 'approved', 'registered' or 'certified'.

Non-conformity – The failure to conform to part of the standard and can be described as minor or major. Minor non-conformities, are generally nothing to worry about and should be viewed as an opportunity to develop and add maturity to your management system. Major non-conformities however, may delay your application for certification, but remedying them will really help your organization improve. Your BSI Assessor will be there to support you through the corrective action process.

Accreditation – Your achievement with BSI does not mean you are 'accredited'. It's BSI that is accredited by the Dutch Accreditation Council (RvA) and the ANSI-ASQ National Accreditation Board (ANAB). This means we have the expertise and professionalism to carry out independent assessments. Accredited certification holds greater commercial value and integrity than non-accredited approval.

Corrective Action – These are improvements to an organization's processes taken to eliminate causes of non-conformities. They focus on the root causes of non-conformities to prevent their recurrence.

Corrective Action plan – A plan to address the root cause of a non-conformity raised during an assessment.

How to contact BSI

Our Customer Services Team is available from 8am – 5.30 pm, Monday-Friday. They can support you with any aspect of your certification and answer any questions.

Call us on +31 (0) 20 3460 780 or email us at nl.customerservices@bsigroup.com



Frequently asked questions

Q: How long is my application valid for?

A: Your Stage 1 assessment will need to be completed within 12 months of submitting your application and your assessments are agreed on mutually convenient dates. If you decide not to progress to assessment within 12 months, you may need to re-apply.

Q: When should we book our assessment visits?

A: This will depend on the management system structure your organization already has in place, and how aligned to the standard you are. Not sure if you're ready? You can discuss this with your BSI Customer Services Team who will help plan your approach. A GAP analysis day may help. Ask us for details.

Q: How can I be sure you will send somebody competent to do my audit?

A: BSI is accredited by the Dutch Accreditation Council (RvA). Accreditation is essential for certification bodies such as BSI in order to demonstrate competence and impartiality in auditing and certifying organizations which conform to management system standards.

Q: Am I going to see a different person every audit?

A: You will be allocated a BSI Assessor who has knowledge of your industry, and where possible, not too far from your site. To demonstrate impartiality, we may make a change from time to time, but we appreciate that familiarity generally creates a more constructive working relationship.

Q: Can BSI help me with consultancy style advice to embed the standard?

A: For some organizations, commitment to continual improvement may be hindered by resources, time or in-house expertise. As we are acting as your auditor, we are not allowed to offer consultancy advice ourselves, but that is where BSI's Associate Consultant Programme (ACP) can help. It gives you access to a network of independent consultants who can offer support. We do not represent, recommend or certify these consultants, but we do know that our members have extensive experience of working with certified management systems. Ask us and we will put you in touch with a selection of them.

Q: When will I receive the plan for my assessments?

A: Once a visit is booked, you will receive a detailed assessment plan confirming the plan for the assessment day/s.

Q: How do I change the date of an assessment?

A: Call or email us as soon as you can to change your date and we will do our best to accommodate your request. Please note, however, that if you postpone an assessment within 30 days of its scheduled date, you will need to pay for the assessment.

Q: What time can we expect our assessor to arrive?

A: Based on a full day's assessment, we would expect your BSI Assessor to arrive for 9am.