



bsi.

Inspiring trust with BSI Certification

What to expect during
the process

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.

We have produced a simple video to take you through your journey to certification. It is only 7 minutes long and may save a lot of time down the line:

[Play Video Now](#)

Certification checklist

The following checklist is a great basis for a project planning template to 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
- ✓ **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
- ✓ **Customer and supplier feedback** – A great way to gain input, shape your thinking and create an action plan for improvement
- ✓ **Staff training** – If your own people carry out internal audits, you'll get early sight of any potential problems or possible improvements
- ✓ **Technology** – An efficient way to control audit schedules, findings and actions is through the use of a digital tool so think about these requirements up front

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. Once you have been recommended for certification by your Client Manager (who conducted the audits), our compliance team will then review their recommendation, if successful you will be awarded your formal certificate.

- 1 Pre-certification
- 2 Stage 1 Assessment
- 3 Stage 2 Assessment
- 4 Certification recommended
- 5 Certification decision
- 6 Certificate awarded

BSI's four levels of Immersive Technology:



Level 1

Live-web streaming

Virtual connection via video conferencing, leveraging client laptops and computers, with their chosen application.



Level 2

Smartphones

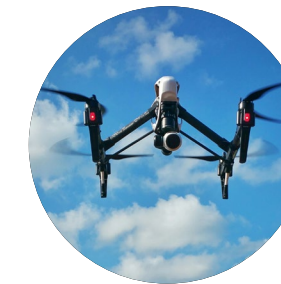
Connecting via smartphone technology to perform site assessments. This approach uses BSI's Augmented Reality (AR) tool for telestration and image capture features.



Level 3

Smartglasses

Virtual connection via smartglasses into the assessment, which also connects to BSI's Augmented Reality (AR) tool for an interactive hands-free data capture experience.



Level 4

Aerial and LiDAR technology

BSI's spatial technology uses aerial imagery and lidar scanning to create aerial orthomosaic maps and 3d models – providing a digital interior and exterior site record.

Optional pre-certification

You may wish to consider a pre-certification assessment, also known as a gap assessment, which can take place before your Stage 1.

It's an ideal introduction to the assessment process to give you confidence as you begin your journey. The auditor will look at the existing processes and procedures that you have in place and compare these with the requirements of the standard. This will help you identify how close your existing set up is to meeting the standards requirements and show any omissions or weaknesses that need your focus before formal assessment.

Please let us know if you're interested in scheduling a pre-certification assessment into your certification programme.

A blended assessment

We use both onsite and remote audits to support you on your certification journey. The approach will vary depending on your management system and the scheme requirements, however, rest assured that whatever approach we take will deliver an effective assessment programme that supports your journey towards continual improvement.

Our remote delivery uses a unique range of immersive technologies, across four different levels, to suit different client environments. We'll discuss the proposed approach with you during your assessment planning, considering scheme specific requirements and technology infrastructure.

Being prepared for Stage 1 is important

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

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.

BSI Connect Portal

To help manage your assessments effectively, we have a convenient self-service portal. It gives you access to all your essential information, such as your next 12 months of visit dates, audit reports, and certificates so you can understand your performance and act to improve it. You also have the opportunity to upgrade to get additional tools that help manage audit and compliance activities with our BSI Connect Plus or Custom subscriptions.

The process:



01

Getting started

Gather information and get to know the requirements of the standard in detail.



02

Implementing

Discover how to implement a management system using best practice tools, techniques and guidance.



03

Auditing

Develop the expertise to assess the effectiveness of your management system and identify where it can be improved.



04

Making excellence a habit

Gain advanced knowledge and skills in order to keep improving the performance of your management system.

Your BSI support team

You will be appointed with a dedicated advisor who will support you from application to certificate. You will find the details of your advisor on the supporting communications received with this pack.

Your Onboarding Executive

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

To learn more visit: bsigroup.com or ask your Onboarding Executive.

Stage 1

Your first assessment

By now you've implemented your new management system. Your Client Manager 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 and are in good shape for your Stage 2 assessment.

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 the BSI Client Manager 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
- Checking all your documents
- Reviewing your scope, and ensuring it includes statutory and regulatory aspects, as well as highlighting any associated risks
- Comparing the performance of your management system and site operations to ensure you are ready for Stage 2

Before they leave, they will discuss and summarize their 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 or non-conformance reporting (NCRs) 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 months; however, this can vary with certain standards. You can discuss this with your Onboarding Executive.

Example agenda

01

Opening meeting

02

Management system review

Understanding, measures, processes, objectives, applicable documented information and operation including:

- **Context of the organization** – Issues and interested parties
- **Leadership** – Policy, communication, intended outcomes
- **Planning** – Risks and opportunities, objectives
- **Support** – Competence, awareness, documented information
- **Operations** – Planning
- **Performance and evaluation** – Internal audits, management review
- **Improvement** – Non-conformity and corrective action, continual improvement

03

Stage two audit planning

04

Report preparation

05

Closing meeting

Stage 1 – Non-conformity reports

A non-conformity report (NCR) will outline any areas that don't match the standard and we group these into two categories: minor and major.

Minor non-conformities

These are not seen as 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'll pay particular attention to it at our next visit. Please log in to BSI Connect Portal to submit your CAP. Not yet activated? Get in touch and we'll share an activation email with you.

Take control of your findings and actions.

To help you manage your findings and maximize opportunities for improvements, you can upgrade to our web-based tool BSI Connect Plus. It allows you to record findings during your own internal audits or as your team discover them using an intuitive mobile app. It also helps you automate workflows to manage and close out actions effectively. More details are available in the BSI Connect Portal or you can speak with your Client Manager.



Stage 2 Gaining approval

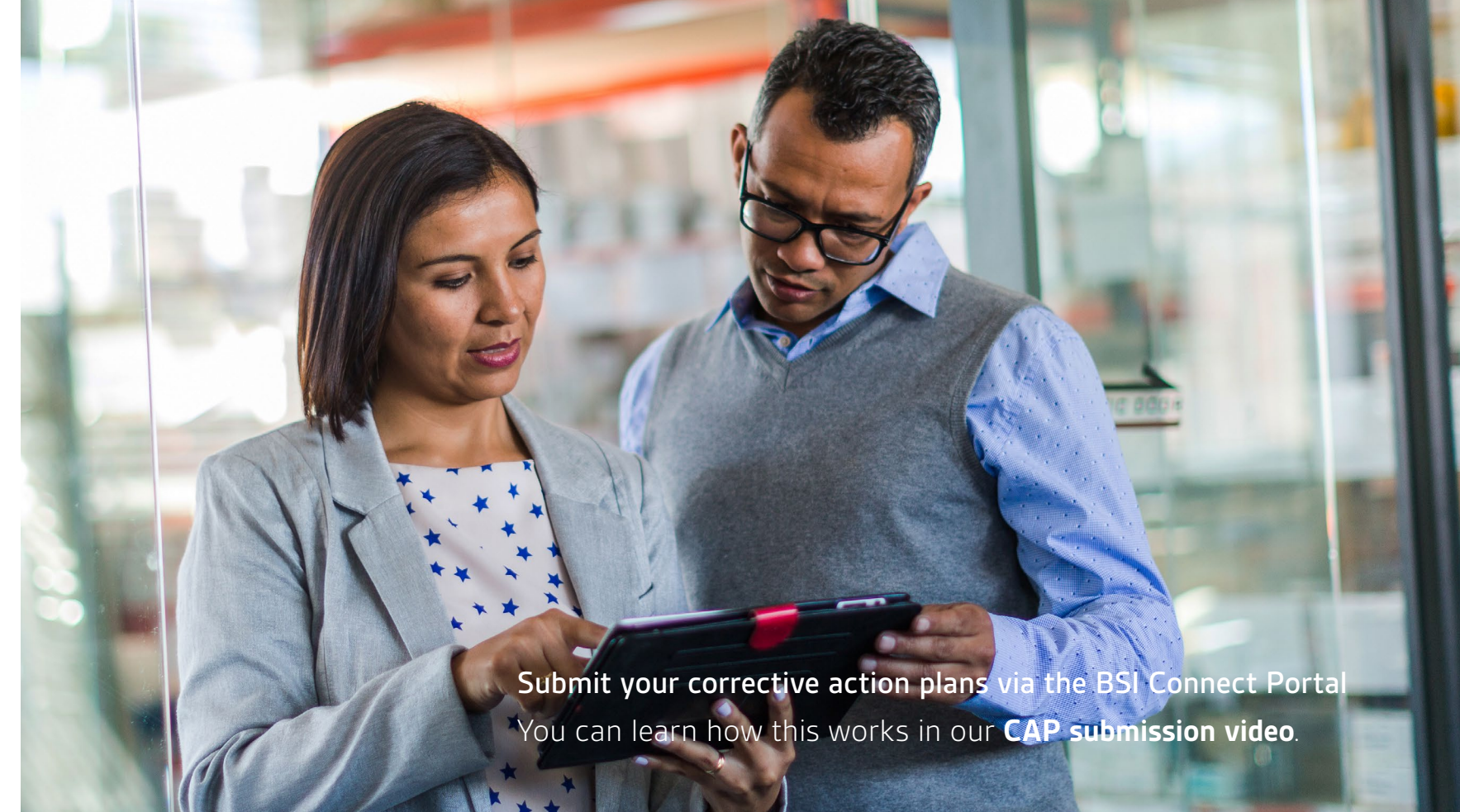
This is the final and more formal assessment. Stage 2 confirms your management system is fully aligned to the standard and is fully operational within your organization. We'll evaluate the implementation and its effectiveness, and make a recommendation for your formal certification.

Your BSI Client Manager 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
- Review 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 NCRs may be highlighted. These will need to be resolved with new corrective action plans. 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 NCRs 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 30 days to check your progress.



Submit your corrective action plans via the BSI Connect Portal
You can learn how this works in our [CAP submission video](#).

Stage 2 – Non-conformity reports

A non-conformity report (NCR) will outline any areas that don'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 Client Manager and must detail the NCR, the cause, the proposed corrective action, who is responsible and the date the action will be implemented. You will have five working days to do this.

Major non-conformities

If a major NCR 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 after 30 days; however you can request to have the visit earlier.

These NCRs must be addressed within six months of the assessment and prior to issue of the certificate.



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 Mark of Trust**. BSI will work with you to promote your success and recognize the achievement that you've gained.



Your Continuing Assessment Visit

Over the next three 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 may be 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 4 or 10 months after your Stage 2, then regular assessments every year after that.

These assessments will always cover:

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

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 shift in
- Records and processes relating to any complaint about the client that has been referred to BSI
- A non-conformity report (NCR) will outline any areas that don't match the standard and we group these into two categories: minor and major



Three year certification cycle

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

- 1 **Three-year certification cycle**
- 2 **Certificate awarded**
- 3 **CAVs** – Your first CAV will be either 4 or 10 months after certificate issue, then regular assessments every year after that
- 4 **NCRs** – These may be highlighted throughout the CAVs and need to be resolved in the same way as a Stage 2 audit
- 5 **Re-certification** – Three months before the third year anniversary of your certificate, we will visit you for another assessment
- 6 **Certification cycle starts again**

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 a BSI Mark of Trust that you can use to promote your achievement. You can then say you are 'approved', 'registered' or 'certified'
- **Non-conformity report (NCR)** – 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 Client Manager 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 United Kingdom Accreditation Service (UKAS). 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

Frequently asked questions

01

How long is my application valid for?

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.

02

When should we book our assessment visits?

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 are ready? You can discuss this with your BSI Onboarding Executive who will help plan your approach. A gap assessment day may help. Ask us for details.

03

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

BSI is accredited by the United Kingdom Accreditation Service (UKAS). 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.

04

Am I going to see a different person every audit?

You will be allocated a Client Manager 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.

05

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

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 200 members across the UK have extensive experience of working with certified management systems. Ask us and we will put you in touch with a selection of them.

06

When will I receive the plan for my assessments?

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

07

How do I change the date of an assessment?

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.

08

What time can we expect our assessor to arrive?

Based on a full day's assessment, we would expect your Client Manager to arrive for 9:00.



How to contact BSI

Our Client Services Team is available from 08:00-17:00, Monday-Friday. They can support you with any aspect of your certification and answer any questions.

Call us on **0345 080 9000**
BSI, Kitemark Court, Davy Avenue,
Milton Keynes MK5 8PP