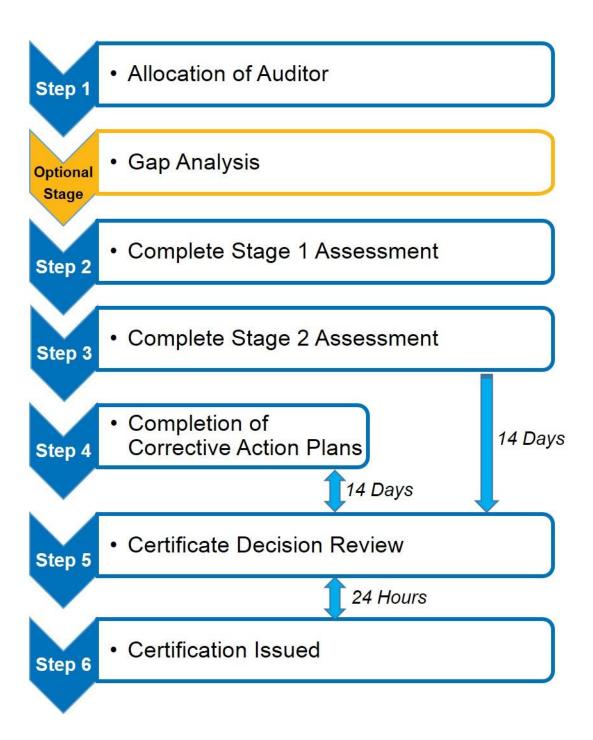


## The ISOComply Customer Experience Great you're on board, now what?

This document should help to guide you through the certification process including some of the back office activities that we have to do that you don't usually see







### Step by step guide to your certification process

#### Step 1

### Allocation of Auditor

We will allocate one of our trained, experienced auditors to you, ensuring the best match to your company. This will be based on:

- Your activities and risk levels
- Your location
- Your preference
- Auditor availability

A date for the Stage 1 audit will be agreed between yourselves and the auditor. We accept that "things happen" sometimes and audit dates may need to be moved. However, as auditors diaries get booked up well in advance, we cannot always guarantee the best match or same auditor will be available if you move the date.



## Optional Stage

You can purchase a gap analysis day as a dry run of your assessment to help you gauge how ready you are for the certification process. As the name suggests, this will leave you with a report of any gaps against the requirements of the major elements of the standard(s) so you can formulate your implementation action plan.

The gap analysis is not part of the certification process.



#### Step 2

#### Complete Stage 1 Assessment

The Stage 1 assessment looks at your documented management system and the planning aspects of your system.

We will review your documents and check you have included all of the required procedures, manual(s), documented policy and objectives etc. and confirm there is a system in place to manage the continuous improvement process. It will help the audit to go smoothly if at this point you can have the following available:

- Your system manual and your documented scope of certification
- Your documented objectives and action plans on how you will achieve them
- Your audit plan and examples of audits to review
- A completed management review
- Examples of corrective and preventive action to review (e.g. from complaints, your internal audits, accidents or incidents or internal nonconformances)
- Examples of risk assessments and aspects evaluation
- Your legal register (if you are using one)

During this assessment, your auditor will raise non-conformances against any gaps in the standard requirements to help you plan and prioritise for the next stage.

We will also review your activities and produce a detailed audit plan for the Stage 2 assessment during this visit.



#### Step 3

#### Complete Stage 2 Assessment

The Stage 2 assessment looks at your whole management system and confirms it has been effectively implemented. At this stage we should be auditing a live system; therefore, it is unlikely we can evidence a live system unless it has been running for at least 3 months. The gap between a Stage 1 and Stage 2 assessments should be between 1 and 6 months, if it is any longer we will have to review if the Stage 1 is still valid.

We will include site visits to view your activities carried out on site if applicable.

During this assessment, your auditor will raise minor non-conformances against any isolated lapses of implementation against the standard requirements and your procedures. If there are any significant legal breaches or gaps against the standard requirements at this stage, a major non-conformance will be raised and your auditor will not be able to recommend certification.

If certification cannot be recommended a further visit will be arranged to close out any major non-conformances identified.

A plan covering the next three year's surveillance audit programme will be prepared. Depending on the number of days you need, you may be asked to choose between having all your days once a year or spread between 2 visits a year at 6 monthly intervals.



#### Step 4

# Completion of Corrective action plans

If you have any minor non-conformances raised at Stage 2 assessment, your auditor will give you an Improvement Action Plan Form for you to complete to let us know how you are going to address the issues raised.

Your auditor will review your action plans and either accept them or ask for a further submission(s) until they can be accepted.

We cannot issue a certificate until the Improvement Action Plan is accepted, so the sooner you send it in the sooner we can progress your application.



#### Step 5

# Certificate Decision Review

Once your Stage 2 assessment has been completed and we have accepted your Improvement Action Plan (if needed) we have to carry out a technical review of the whole process to ensure our procedures have been followed and the accreditation requirements have been met.

We aim to get this completed within 14 days of receiving your report and accepted Improvement Action Plan.



#### Step 6

### Certification Issue

We will issue a certificate to you by email so you can print off as many copies as you like. We aim to issue your certificate with 24 hours of the certification decision being made.

If you would like a formal presentation, please contact the office and our marketing team will be happy to arrange this. We will also send you information and artwork for you to use the UKAS approved logo applicable to the standards you have been awarded.