



GUIDE TO CERTIFICATION

K2A MANAGEMENT
01-01-2017
1ST EDITION, VOL-01

Welcome

We're here to help you through the certification process and make the whole journey easier for you. You may already have everything you need in place, but it's always worth checking.

Before you start your journey toward certification, you can use the checklist and project planning that help keep you on track and stay in control.

Certification checklist

Needs analysis – Define the organization needs and identify any potential weaknesses and areas for improvement in your current system.

Objectives, scope and resources – Write down what your organization hopes to gain from certification, as well as proposed timelines and available resources

Systems, policies, procedures and processes – Consider how your current system compares to the standard and develop supporting documentation

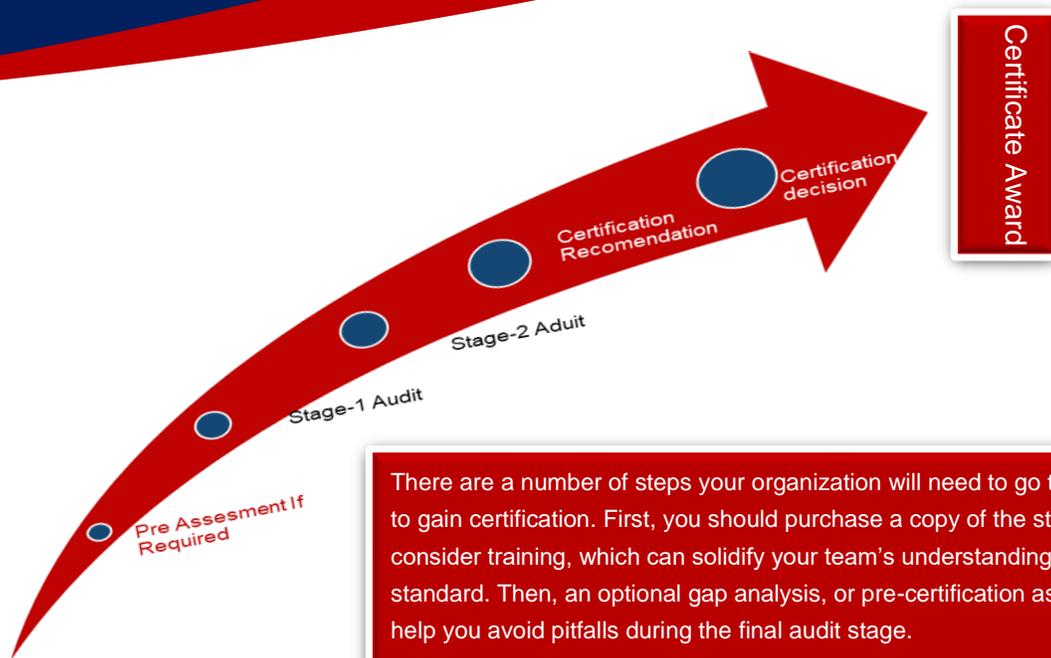
Project plan – This should detail all activities, responsible parties and key timelines for implementation of your management system

Customer and supplier feedback – This is a great way to get input to shape your thinking and create an action plan for necessary improvements

Employee motivation – Keep staff involved and informed at all times with regular communication and updates

Staff training – If your own employees carry out internal audits, you'll gain early insight into any potential problems or ways to improve; alternatively, you may prefer to hire a consultant for these internal audits

What to expect during the process and how ISB-K2A will help you



There are a number of steps your organization will need to go through in order to gain certification. First, you should purchase a copy of the standard. Next, consider training, which can solidify your team's understanding of the standard. Then, an optional gap analysis, or pre-certification assessment, can help you avoid pitfalls during the final audit stage.

ISB-K2A will then conduct a formal assessment in two phases: the Stage 1 and Stage 2 audits. Once you have been recommended for certification by Our Auditor, our compliance team will review their recommendation; if successful, you will be awarded your formal certificate, which is valid for three years.

BEING PREPARED FOR STAGE-1 IS IMPORTANT

A pre-certification assessment: Pre-Certification assessment will help give you a head start. We can carry out a gap analysis, known as a pre-certification assessment. This practice audit provides a closer look at the existing processes and procedures that you have in place and compares them with the requirements of the standard. This pre-assessment reveals any potential oversights or weaknesses so that you can take action. It's also a good introduction to the audit process and gives your team the opportunity to understand what the formal audit will entail.

STAGE-1 YOUR FIRST ASSESSMENT

Once you have implemented your new management system. During your audit, our auditor will confirm whether you have met the requirements of your proposed scope and the objectives you set for 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 prepare you for Stage 2, and we'll work through these challenges with you.

What you need to demonstrate at this Stage?

-  Making sure that you understand the standard, what it requires, and the overall operation of your management system.
-  Reviewing your proposed scope and ensuring it includes statutory and regulatory aspects, as well as highlighting any associated risks
-  Verifying internal audit and management review processes
-  Evaluating the performance of your management system and site operations to ensure you are ready for Stage 2



At the end of the audit, our auditors will discuss and summarize any findings in a report, so you have a better understanding of what is and isn't working. This may mean that there are some elements of your system which need some additional work. Collectively, we call these nonconformities. They are a normal part of the process and should not worry you; however, they will need to be addressed before Stage 2 begins. We recommend at least 30 days between the Stage 1 and Stage 2 audits, but no greater than 90 days; however, this can vary with certain standards. You can discuss this with your auditors or our planning team.

STAGE 1 ASSESSMENT

Stage-1 Audit Report

An Audit Report will outline general observations, as well as any areas that don't comply with the standard. We group nonconformities into two categories: minor and major.

Minor nonconformities

These are not seen as serious. You must simply develop, follow, and complete your own internal Corrective Action Plan (CAP) before Stage 2. You are not required to send us your CAP for minor nonconformities at Stage 1. Examples of minor nonconformities include:

- A two-month lapse in the audit program
- A training record not available

Major nonconformities

These are more serious and you'll need to produce a CAP for BSI with all actions completed before Stage 2. You will need to submit your CAP to us before scheduling Stage 2 and we will pay particular attention to it at our next visit. Send your CAP to your auditor and include your BSI report number in the subject line. Examples of major nonconformities may include:

- Document changes routinely made without authorization
- No future planned internal audits

STAGE-2 GAINING APPROVAL

This is the second part of your initial audit and takes place after you've successfully completed Stage 1 and corrected any nonconformities. 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.

WHAT DO YOU NEED TO DEMONSTRATE AT THIS STAGE?

- ❖ Making sure that you understand the standard, what it requires, and the overall operation of your management system
- ❖ Reviewing your proposed scope and ensuring it includes statutory and regulatory aspects, as well as highlighting any associated risks
- ❖ Checking all your documents
- ❖ Talking to your employees and inspecting your site
- ❖ Verifying internal audit and management review processes
- ❖ Evaluating the performance of your management system and site operations to ensure you are ready for Stage 2.



STAGE-2 ASSESSMENT

Stage 2 Audit Report

The Audit Report will outline all findings from the Stage 2 assessment. This report will include any positive observations, as well as opportunities for improvement and areas that don't comply with the standard.

These areas, known as nonconformities, are grouped into two categories: minor and major.

Minor nonconformities

Unlike at Stage 1, a written Corrective Action Plan (CAP) must be sent to ISB-K2A 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 nonconformity, the cause, the proposed corrective action, who is responsible and the date the action will be implemented; you will have 7 working days to do this

Major nonconformities

If a major nonconformity is raised or remain outstanding from Stage 1, an additional visit will need to be booked; this is to confirm the implementation of an effective CAP

This additional visit will take place within 30 days; however, you may request to have the visit earlier

Major nonconformities must be addressed within six months of the assessment and prior to the issuance of the certificate
Send your CAP to your Client Manager and include your ISB-K2A report numbers.

Opportunities for Improvement

When conducting an audit, your Auditor may encounter a situation that doesn't qualify as a nonconformity, but could improve your system.

These Opportunities for Improvement (OFI) are revealed during the audit process and include any suggestions for improvement, as well as any findings that could lead to potential nonconformities.

While it's not required to include OFIs in your CAP, your Auditor will include them in your auditing report to encourage Continual improvement.

CERTIFICATE RECOMMENDATION

At this Stage- ISB-K2A Auditor recommend you for certification based on the Stge-2 Audit findings and send the approval to ISB-K2A certification decision Committee. This will take 7-10 Days after you get the final certification decision in your favor.

CERTIFICATE APPROVAL

Based on Auditor Recommendation and submission of Audit reports ISB-K2A Certification Department will issue you a certificate. The certification cycle remain 3 years subject to maintain surveillance audits each year.



THE NEXT THREE YEARS WITH ISB-K2A

Celebrate your Success and Promote

Once you have achieved certification, it's essential you get the message out there to everyone that matters. Promote your achievement to clients, put out a press release, communicate the significance internally, and update your corporate stationery and website with the internationally recognized ISB-K2A Assurance Mark. We will work with you to promote your success and recognize the achievement that you've gained.



SURVEILLANCE AUDITS

Over the three years after certification, we will work with you to ensure you get the most out of your investment and continue to improve your business. The surveillance audit is a regular event that may be completed in stages, typically every year. Surveillance is 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. It gives you the reassurance that all your systems and processes are doing exactly what you originally intended.

These audits 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

Our Audit Team will assess the following at each surveillance audit:

- A review of actions relating to any previous nonconformities
- How effective 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 assurance marks and any other reference to certification
- Records and processes relating to any complaint about the client that has been referred to ISB-K2A

Not only will every surveillance audit help you check that you are getting the benefits you wanted from the audit, but they will also help get you ready for the recertification audit which is planned at the end of each three-year certification cycle.

Recertification:

Your certificate is valid for three years after the issue date, before which you will need to recertify. The recertification process requires an on-site assessment and does not normally involve a Stage 1 audit. The purpose of recertification is to:

- Verify the effectiveness of your management system in its entirety
- Demonstrate your commitment to continual improvement and maintain the effectiveness of your certified management system
- Determine if the operation of your management system contributes to the achievement of the organization's policies and objectives
- Develop a strategic assessment plan for the next certification cycle



ISO CERTIFICATION BODY ISB-K2A



Office Adress

346, Street 21 BT Boeung Tumpun
Khan Meanchey, Phnom Penh, Cambodia



Telephone

+855964339789
+855 70460000



Email

Info@k2amanagement.com

K2A MANAGEMENT CO., LTD

KNOWLEDGE TO ACTION

Singapore | UK | Cambodia | Canada

www.iso-certifications.com