

Description of the MS Certification Procedure A850

DIN EN ISO 18295-1 and DIN EN ISO 18295-2



Contents

1	CERTIFICATION PROCEDURE.....	3
1.1	Offer and contract phase.....	3
1.2	Audit preparation	3
1.3	Stage 1 Audit	4
1.4	Stage 2 Audit – Certification Audit.....	4
1.4.1	Specific features of the certification audit to DIN EN ISO 18295-1	5
1.4.2	Specific features of the certification audit to DIN EN ISO 18295-2	5
1.5	Issue of certificate.....	5
1.5.1	Specific features for issue of a certificate according to DIN EN ISO 18295-2	5
2	SURVEILLANCE AUDIT	6
3	RECERTIFICATION AUDIT	6
4	EXTENSION AUDIT	6
5	UNANNOUNCED (SHORT NOTICE) AUDITS	6
6	TRANSFER OF CERTIFICATIONS FROM OTHER CERTIFICATION BODIES	6
7	CERTIFICATION OF MULTI-SITE ORGANISATIONS	7
8	MANAGEMENT OF NONCONFORMITIES	7

Do you have any questions about the description of the assessment? We will be pleased to help.

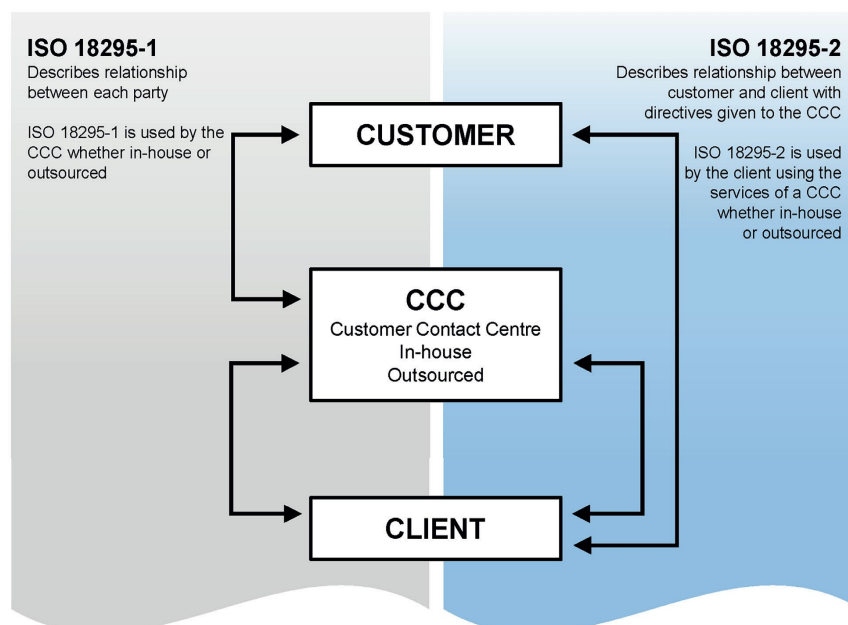
You can reach us by email at info.tncert@tuev-nord.de or personally by telephone from Monday to Friday between 07:30 and 18:00 at 0800 – 2457457.

TÜV NORD CERT GmbH
Langemarckstraße 20
45141 Essen
www.tuev-nord-cert.de

Description of the MS Certification Procedure A850

DIN EN ISO 18295-1 and DIN EN ISO 18295-2

ISO 18295 is the first globally-recognised sector-specific Standard for Customer Contact Centres / Call Centres (in short, CCC). It was developed by the ISO/PC 273 "Customer contact centres" Committee, in cooperation with the CEN/SS A99 "Services - Undetermined" Committee. In October 2017, the version was published, which replaces the previous Standard DIN EN 15838:2010. Because of the failure of DIN EN 15838 to clearly describe the relationship between the three parties (final CCC customers, CCC service providers und clients for the service), DIN EN ISO 18295 was divided into two parts.



Source: ISO 18295-1:2017-10, Page 6

Standard DIN EN ISO 18295-1 corresponds to a large extent to DIN EN 15838:2010 and defines quality characteristics of customer contact centres which are either operated in-house or outsourced to external providers. Part 1 continues to concentrate on operative control and performance of multichannel customer contact centres and considers aspects such as the generation of positive customer experiences, communication of information to employees and to customers, handing of customer data, quality assurance in relation to customer interaction and also developing the skills of call centre agents.

DIN EN ISO 18295-2 defines quality characteristics of a client who commissions a customer contact centre (in-house or outsourced) and makes use of its services. Part 2 defines certain aspects which are the responsibility of the client of a customer contact centre. The focus is on holistic control of the customer-focussed service provision, taking certain aspects into consideration. These include identification of customer requirements, establishment of the customer experience, customer access and contact strategy, exchange of information and the relationship with the client, the responsibility with regard to customer data, ensuring ethical behaviour and protection of customers, and also monitoring the performance of the commissioned customer contact centres.

Description of the MS Certification Procedure A850

DIN EN ISO 18295-1 and DIN EN ISO 18295-2



While it is possible to undertake certification of DIN EN ISO 18295-1:2017 alone, certification according to DIN EN ISO 18295-2:2017 can only take place for a customer contact centre certified to DIN EN ISO 18295-1 and in relation to specific projects.

The certification procedure for the management system based on DIN EN ISO 18295-1 and/or DIN EN ISO 18295-2 consists of the offer and contract phase, the audit preparation, performance of the audit, issue of the certificate and surveillance/recertification.

The auditors are selected by the Head of the Certification Body of TÜV NORD CERT GmbH (TN CERT) according to their approval for the specific sector and their qualifications and receive training on a regular basis.

1 CERTIFICATION PROCEDURE

1.1 Offer and contract phase

During the offer and contract phase the applicant organisation provides TN CERT with the information on its structural and procedural organisation which is most important for the offer calculation. This includes:

For DIN EN ISO 18295-1

- Scope of the certification (Project/CCC Client related or complete management system of the CCC)
- Number of employees in the overhead (in FTE) and agents (in FTE – full time equivalent),
- Number of involved CCC sites
- Number of CCC projects in operation and their complexity

For DIN EN ISO 18295-2

- Scope of the certification.
- Number of the commissioned CCC projects and their complexity
- Number of the involved CCC sites / CCC service providers
- Information regarding the service providers for the CCC projects and their certification according to DIN EN ISO 18295-1.

The organisation receives an offer from TN CERT based on this information.

1.2 Audit preparation

Following conclusion of the contract, the lead auditor prepares him/herself for the audit based on the client offer questionnaire (A850_F001) and the calculation sheet and discusses and agrees the further procedure with the client.

As an option, in this phase TN CERT offers the organisation the opportunity to attend a project meeting (clarification of the framework data) and/or a preliminary audit (assessment of the readiness for certification). Both services are subject to costs depending on the time required and the daily rate which applies at the time.

During preparation for the surveillance or re-assessment audit, organisations are obliged to inform the Certification Body of important changes in their structural and procedural organisation. These include for example changes in the number of employees (in FTE), the sites involved, the number of outsourced CCC projects operated in-house/outsourced, and their complexity.

Description of the MS Certification Procedure A850

DIN EN ISO 18295-1 and DIN EN ISO 18295-2



1.3 Stage 1 Audit

A Stage 1 audit serves to assess the current situation of the organisation and establish the readiness for certification. A Stage 1 Audit is not necessary as a matter of principle in the certification procedure to DIN EN ISO 18295-1 / DIN EN ISO 18295-2. In so far as the client explicitly wishes to order a Stage 1 Audit and/or the specialist management at TN CERT and/or the PC (Profit Centre) management responsible for the order considers it necessary, a Stage 1 Audit can be performed.

The Stage 1 audit is performed in order to:

- audit the management system documentation of the client;
- assess the site and the site-specific conditions of the client and hold discussions with the personnel of the client's organisation in order to determine readiness for the Stage 2 audit;
- assess the status of the client and the client's understanding with regard to the requirements of the Standard, in particular with regard to identification of key services or performance, significant aspects, processes, objectives and assess the operation of the management system;
- collect necessary information with regard to the scope of the management system, the processes and the sites involved and also the relationship between the clients for the CCC service and the providers of the CCC service;
- to create a special focus for the planning of the Stage 2 audit, by gaining sufficient understanding of the client's management system and the activities at the site, together with possible significant aspects,
- assess the allocation of resources for the Stage 2 Audit and also agree the details of the Stage 2 Audit with the client
- assess if the level of implementation of the management system demonstrates that the organisation is ready for the Stage 2 Audit.

If weaknesses are identified in the course of the Stage 1 Audit, these are communicated to the client in writing and have to be eliminated by the applicant organisation by the time of the Stage 2 Audit.

If it is not possible to confirm that the client is ready for the Stage 2 audit, the assessment procedure is aborted after the Stage 1 Audit.

1.4 Stage 2 Audit – Certification Audit

The lead auditor draws up the audit plan in cooperation with the applicant organisation. This includes the time schedule and the sequence in which the individual themes will be considered. Around 2 weeks before the start of the Stage 2 Audit, the contact at the application organisation receives the agreed plan.

The audit at the different sites of the organisation begins with a kick-off meeting in which the participants introduce themselves and the auditors declare their independence and the confidentiality to be exercised when dealing with confidential information. The procedure in the audit is explained by the lead auditor, as well as the sequence, taking any short-notice changes into consideration.

During the audit, the auditors assess and evaluate the effectiveness of the management system installed by the client based on objective evidences based on DIN EN ISO 18295-1 and/or DIN EN ISO 18295-2. It is the task of the auditors to investigate the practical use of the management system based on the documented procedures and to audit it for fulfilment of the requirements of the Standard. This is achieved through

Description of the MS Certification Procedure A850

DIN EN ISO 18295-1 and DIN EN ISO 18295-2



interviews with the management and other employees, monitoring of the live operation, viewing the other applicable documents, records, orders and guidelines and also by inspecting relevant areas of the organisation on site and, if applicable, by means of remote audit methods.

A final meeting takes place at the end of the on-site audit. At least those employees who have management functions in the organisation and whose areas were involved in the audit take part in this meeting. The Lead Auditor reports on the individual elements and explains positive and negative findings.

If nonconformities are established, the lead auditor can only recommend issue of the certificate to the organisation after acceptance or verification of the corrective actions which have to be evidenced by the organisation, see Section 7 "Management of nonconformities".

The audit is conducted taking data protection into account, and the confidentiality is documented. This documentation is provided in the audit report (separately for the Stage 1 Audit and the Stage 2 Audit) and is supplemented by further records, e.g. notes made by hand or electronically.

1.4.1 Specific features of the certification audit to DIN EN ISO 18295-1

Standard DIN EN ISO 18295-1 specifies requirements for the services provided by customer contact centres, with the aim of supporting contact centre clients and final customers in the provision of services which proactively fulfil or exceed their needs on a continuous basis. The scope of the certification can therefore relate to the cross-project or project-specific management system of the customer contact centre.

1.4.2 Specific features of the certification audit to DIN EN ISO 18295-2

Standard DIN EN ISO 18295-2 specifies requirements for organisations which use the services of customer contact centres. In order to ensure that the customer requirements are consistently met by means of the provision and management of suitable agreements with customer contact centres, certification to DIN EN ISO 18295-2 is only possible in combination with customer contact centres who act in accordance with and are certified to Standard DIN EN ISO 18295-1. There is a particular focus on the interfaces and the relationship and also the interaction between the commissioning client and the customer contact centre and also the interaction between them.

1.5 Issue of certificate

The certificate is issued following positive review/release of the certification procedure by the Head of the Certification Body or by his/her Deputy or other persons appointed for the task. The reviewer/veto person may not have taken part in the audit.

The certificate can only be issued when all the nonconformities have been corrected, i.e. when the corrective actions have been accepted or verified by the audit team.

The certificates are normally valid for 3 years.

1.5.1 Specific features for issue of a certificate according to DIN EN ISO 18295-2

Information regarding the involved customer contact centres which demonstrably work and act in accordance with DIN EN ISO 18295-1 and are also certified are listed in the Annex to the certificate.

2 SURVEILLANCE AUDIT

Surveillance audits have to be performed on an annual basis during the period of validity of the certificate, with the exception of the years in which a recertification audit is carried out.

The first surveillance audit which follows the initial certification has to be carried out at the latest 12 months after the date of the certification decision. All the subsequent surveillance audits are planned by TRC on the basis of the ARD (Audit Relevant Date) and must be conducted at least once per calendar year.

The client receives a report following the surveillance audit.

3 RECERTIFICATION AUDIT

The audit for recertification has to be conducted before the expiry date of the certificate. A tolerance period of max. 6 months is then available for evaluation of the corrective actions and for any necessary re-audits and also for the decision on recertification within the framework of the release procedure. In the recertification audit, a review of the documentation of the management system of the organization is undertaken, as well as an on-site audit. Here, the results of the previous surveillance programme(s) over the term of the certification have to be taken into consideration. All the requirements of the standard are audited.

Activities for recertification audits can require a Stage 1 Audit if significant changes have occurred in the management system or in connection with the activities of the organisation (e.g. changes in the law).

The audit methods used in the recertification audit correspond to those used in a Stage 2 audit.

4 EXTENSION AUDIT

If it is intended to extend the scope of an existing certificate, this can be implemented by means of an extension audit. An extension audit can be conducted within the framework of a surveillance audit, a recertification audit or at a time which is set independently.

The extension audit does not change the period of validity of a certificate. Any exceptions must be justified in writing.

5 UNANNOUNCED (SHORT NOTICE) AUDITS

It may be necessary for the certification body to conduct audits of certified clients at short notice to investigate complaints, or in response to changes, or as follow up on suspended assessments. In such cases,

- the Certification Body lays down the conditions under which these short-notice visits are to be conducted
- it is not possible for the client to object to an audit team member or members.

6 TRANSFER OF CERTIFICATIONS FROM OTHER CERTIFICATION BODIES

Not possible in this case.

7 CERTIFICATION OF MULTI-SITE ORGANISATIONS

A sampling procedure can be used for organizations with several sites (“multisite certification”). In this case, the client assures the certification body that the following requirements are met for all the sites which fall within the scope of the certificate. Any changes or non-fulfilment of one or several prerequisites shall (i.e. must) be communicated to the certification body immediately.

Prerequisites for multisite certification:

- A multi-site organization does not have to be one single legal entity. However, all the sites shall (i.e. must) have a legal or contractual relationship with the headquarters (“central office”) of the organization and be subject to a common management system, which is specified and installed by the central office and is subject to regular monitoring and internal audits by the central office. This means that the central office has the right to require the sites to implement corrective actions, if these are necessary at a particular site.
- The processes must be basically the same at all sites and must be implemented using similar methods and procedures.
- The management system of the organization must be administered under a centrally controlled plan and must be subject to a central management review.
- It must be demonstrated that the central office of the organisation has installed a management system in compliance with the relevant management system standard(s) which form the basis for the audit and that the entire organization fulfils the requirements of the standard.
- The organization must demonstrate its ability to collect and analyse data from all sites, including the central administration function (central office) and its management, and shall instigate any necessary organizational changes, including those related to:
 - Complaints,
 - Corrective actions,
 - Legal requirements
- A contract must be concluded between the client and the certification body which is legally enforceable at all branches/production sites.

8 MANAGEMENT OF NONCONFORMITIES

An analysis of the causes shall be performed for each nonconformity and corresponding corrective actions shall be implemented. The organization has the duty, depending on the seriousness of the nonconformity, to inform the audit team within 6 weeks after the last day of the audit either with regard to the corrective actions which have been laid down and the dates for their implementation or that the corrective actions have been implemented. If this period is not observed, the audit is considered not to be successful, i.e. not to be passed. No certificate can be issued, or an existing certificate is withdrawn.