

Client information note

Assessment process – Stage 2

Overview

This Client Information Note explains our Stage 2 process for Management System assessment and certification. Please see other CINs in this series for explanations of our other processes.

Purpose of the visit

During this visit our assessor will focus on how your management system has been put into practice. The Stage 2 visit aims to confirm that:

- your policies, objectives, programmes and procedures are effectively put into practice
- there is a planned and systematic approach for improvement
- you are managing your processes effectively, and
- the management system meets all the requirements of the assessment standard.

Carrying out the visit

The assessment follows the plan prepared during the Stage 1 visit. Members of the assessment team will visit areas with guides who can witness the findings and help the assessment. The Stage 2 assessment usually includes a meeting with your representative of senior management with overall responsibility for the management system.

Our assessment team will report, as a minimum, any findings related to:

- follow-up of findings from the Stage 1 visit
- activities, products, and services identified in the agreed scope for the assessment
- how effective the management system is at achieving your organisation's policy including continual improvement and customer satisfaction
- putting into practice the arrangements to manage the product realisation processes
- progress to achieve objectives through the management programme
- putting into practice the systems required by the management system, and maintaining appropriate records

- putting into practice monitoring and measurement arrangements to assess how the management system performs and whether objectives are achieved
- how involved in, and committed to, the management system the senior management are, and
- how effective the internal audit, corrective and preventive action, and management review processes are.

The assessment team will hold review meetings with you each day to discuss any findings. Appropriate staff should be present to confirm that you accept these findings. We finalise the grade of findings at the end of the visit.

The visit ends with a closing meeting to present a summary of the findings, and to agree the next stage of the assessment process. The assessor will give a complete report to your management representative. If we have not reported any Major Nonconformities, and you have informed the assessor of your proposed corrective action for any Minor Nonconformities, the assessor will recommend approval to the assessment standard (although this depends on an independent technical review by our office.) However, if any Major Nonconformities have been reported, we will delay approval and carry out a follow up assessment to review corrective actions. Our team leader will agree with you the arrangements for this.

Reporting

At the end of the visit we produce a report which details the outcome of the visit and any findings raised. The assessor will also produce a plan for surveillance visits.

Further information

To find out more about how LRQA can help you to increase performance and reduce risk, please visit our website www.lrqa.com. From here you can also visit one of our country specific websites to find out about LRQA in your country.