

Assessment process: Certificate renewal planning and certificate renewal

CLIENT INFORMATION NOTE

Complaints and disputes

Overview

This Client Information Note (CIN) explains our Certificate Renewal Planning and Certificate Renewal processes for Management System assessment and certification. Please see other CINs in this series for explanations of our other processes.

Planning for the certificate renewal

LRQA conducts certificate renewals on a three-yearly basis, planned at the prior surveillance assessment and agreed with you.

The certificate renewal planning process contains three steps: Review, Preview, and Planning. Each of these stages will be summarised in the audit report.

Review

This step includes the review of past performance such as:

- trend information on complaints and other performance indicators
- system documentation improvements

- Improvement Log projects
- lessons learned from audits, and
- trends in our findings.

Based on the review of past performance, our assessor will identify any potential risks in the present management system as related to successful implementation of the strategies and objectives.

Preview

The aim of the preview is to align our assessment activities with your strategy and objectives. Our assessor will hold a conversation with your senior management to understand your longer-term expectations and the potential impact that this may have on the context of the organisation. These may include, for example, strategy issues such as business and operational risks, competitive issues, changes to internal and external environment, etc. Our assessor will establish, through the interview, whether these expectations, objectives, and strategies will impact your management system or the stakeholders of your organisation.

The preview stage will be used to identify themes that can be used in the coming Certificate renewal and for the next three-year cycle.

Planning

The next step in the assessment is planning the Certificate renewal. In this part of the audit, our assessor will:

- identify any aspects of the system that have not been appropriately addressed during the surveillance cycle, and plan how to review them
- use the information gained during the review and preview stages to support the planning process
- confirm any arrangements and plans for Remote Assessment activity such as details of use of information, communication and technology (ICT)
- if appropriate, consider how best to give attention to any themes identified (including the improvement tracking log)
- identify the areas, departments, processes and activities to be assessed
- agree with you durations for each of these, commensurate with risk
- try to identify the best use of resources, and avoid duplication
- add appropriate time for reporting, consolidating and presenting reports, and
- consolidate the information into an audit plan.

Our assessor will allow time for discussion with all relevant managers and for a review of records for all relevant departments.

Conducting Certificate renewal

We conduct the Certificate renewal audit in a similar way to a Stage 2 assessment. We also include a review of your system documentation to ensure that it:

- continues to remain relevant to your organisation, and
- complies with the certification requirements and the scope of certification, including continual improvement.

Audit day

An 'Audit day' is typically a working day of 8 hours. Assessment durations include on-site time at the client premises, and time spent off-site, both before, during and after on-site time, carrying out planning, document review, interacting with client personnel, and report writing.

Reporting

At the end of the Certificate renewal audit, we produce an audit report which details the outcome of the assessment and any findings identified. The assessor will also produce a plan for subsequent surveillance audits that will take place in the next assessment cycle.

Please see related Client Information Notes in this series for details about the full Assessment process, such as CIN Remote Assessment (Non Food), Stage 1 Assessments, Stage 2 assessments etc.

Get in touch

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The LRQA logo consists of the letters 'LRQA' in a bold, sans-serif font. The 'R' is stylized with a teal-colored element. The logo is enclosed within a teal square border.

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CIN010 - Version November 2021

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