

# Assessment process: Stage 2

## CLIENT INFORMATION NOTE

### Overview

This Client Information Note (CIN) explains LRQA's 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 Assessment

During this assessment our assessor will focus on how your management system has been put into practice.

The Stage 2 assessment 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 Stage 2 Audit

The assessment follows the plan prepared during the Stage 1 audit. Members of the assessment team will assess areas with guides or support depending on whether the audit activity is taking place on site or remotely.

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 audit findings related to:

- follow-up of issues identified from the Stage 1 assessment
- 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 potential non-conformities. We finalise the grade of non-conformities at the end of the assessment.

The assessment ends with a closing meeting to present a summary of the audit outcome, and to agree the next stage of the assessment process. The assessor will provide a complete report to your management representative. If we have not recorded 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 recorded, we will delay approval and may need to carry out a follow up assessment to review corrective actions. Our team leader will agree with you any arrangements for this.

## Reporting

At the end of the assessment we produce a report which details the outcome of the audit and any non-conformities identified. The assessor will also produce a plan for surveillance assessments.

*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, Assessment Process etc.*

## Get in touch

Visit [www.lrqa.com](http://www.lrqa.com) for more information

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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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CIN014 - Version November 2021

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