LMS Certifications – Certification Process

Initial Certification Decision/ Recertification Decision

Expiry of certification

Three (3) year certification cycle

Ongoing surveillance activities

Client submits application for initial certification

Initial Certification

Surveillance audits
First surveillance audit to take place within 12 months of stage 2 audit, then at least monthly

Recertification
Recertification activity to be complete before expiry of certification

Exchange of information between client and certification body

Select and appoint competent stage 1 audit team

Exchange of information between client and certification body (e.g. change of scope), determine if changes to audit programme required

Review of application for certification

Plan for stage 1 audit

Recertification audit planning

Identification of areas of concern and request for additional information (if applicable)

Perform stage 1 audit

Confirm audit programme and communication to client

Development of audit programme

Resolve stage 1 audit areas of concern (if applicable)

Proposal for certification and confirmation of audit programme

Confirm/appoint competent stage 2 audit team

Confirm/appoint competent audit team

Client and certification body engage in formal arrangements for certification

Plan for stage 2 audit(s)

Plan for surveillance audit

Plan for recertification audit

Perform stage 2 audit(s)

Perform surveillance audit

Perform recertification audit

Resolve stage 2 audit areas of concern (if applicable)

Resolve surveillance audit areas of concern (if applicable)

Resolve recertification audit areas of concern (if applicable)

Initial certification audit conclusions

surveillance audit conclusions

Recertification audit conclusions

Initial certification decision

Recertification decision

Granting of initial certification and issuance of certification documents

Independent review of certification (if required)

Granting of recertification and issuance of certification documents

Confirm or adjust audit programme and appropriate audit follow-up and surveillance activities including frequency and duration, Special