



Procedure for Transfer of certificates

- 1. **Purpose:** To describe the procedure to be employed by SIS Certifications for transfer of accredited Certification from other accredited certification body.
- 2. **Scope:** Applicable to any organization holding a currently valid management system certification issued by any accredited Certification body by any IAF MLA signatory.
- 3. **Responsibility:** Director-Operation, Quality Manager and Certification Manager
- 4. **Definition:**
Transfer of Certification: The transfer of certification is defined as the recognition of an existing and valid management system certification, granted by one accredited certification body, (hereinafter referred to as the “issuing certification body”), by another accredited certification body, (hereinafter referred to as the “accepting certification body”) for the purpose of issuing its own certification. Multiple certification (concurrent certification by more than one certification body) does not fall under the definition above, and is not encouraged by IAF.
- 5. **Reference:** IAF MD 2:2017, IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems

6. **Procedure:**

6.1. **Introduction**

SIS may receive requests to take over an accredited certification of any organization certified by another accredited certification body for one or more of the following reasons.

- a) Dissatisfaction with the services provided by the existing certification body.
- b) Loss of Accreditation
- c) Lack of Scope of certification body.
- d) Recognition, merger or restructuring involving the certificated organization
- e) Winding up of the existing certification body from the current location.

SIS Certifications is responsible for ensuring that each certified organization complies with the Rules and Regulations of SIS accredited Management system Certification Scheme, before transfer of certification from another accredited certification body.

6.2. **Eligibility of a Certification for Transfer**

6.2.1. Only certification which is covered by an accreditation of an IAF or Regional MLA signatory at level 3 and where applicable level 4 and 5 shall be eligible for transfer. Organizations holding certification that is not covered by such accreditations shall be treated as new clients.

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- 6.2.2. Only valid accredited certification shall be transferred. Certification which is known to be suspended shall not be accepted for transfer.
- 6.2.3. In cases where certification has been granted by a certification body which has ceased trading or whose accreditation has expired, been suspended or withdrawn, the transfer shall be completed within 6 months or on expiration of the certification whichever is sooner. In such cases, SIS Certifications shall inform the accreditation body, under whose accreditation it intends to issue the certification, prior to the transfer.

6.3. Pre-Transfer Review

- 6.3.1. A "**pre-transfer review**" shall always be carried out by a competent auditor. This review shall be conducted by means of a documentation review and where identified as needed by this review, for example there are outstanding major nonconformities, shall include a pre-transfer visit to the transferring client to confirm the validity of the certification. Additional audit time might be necessary. The audit time depends on the size and complexity of the organization. If necessary, the additional audit time has to be documented in the contract review form.
- 6.3.2. Note: The pre-transfer visit is not an audit.
- 6.3.3. The pre-transfer review is documented in the Checklist / Documentation on Certificate Transfer (SIS-PTR-01).
- 6.3.4. The Pre-Transfer Review must cover the following aspects:
 - a. Confirmation that the client's certification falls within the accredited scope of the issuing and accepting certification body;
 - b. Confirmation that the issuing certification body's accredited scope falls within its accreditation body's MLA scope;
 - c. the reasons for seeking transfer;
 - d. that the site or sites wishing to transfer certification hold a valid accredited certification;
 - e. the initial certification or most recent recertification audit reports, and the latest surveillance report; the status of all outstanding nonconformities and any other available, relevant documentation regarding the certification process. If these audit reports are not made available or if the surveillance audit or recertification audit has not been completed as required by the issuing certification body's audit programme, then the organisation shall be treated as a new client;
 - f. complaints received and the action taken;
 - g. considerations relevant to establishing an audit plan and an audit programme. The audit programme established by the issuing certification body should be reviewed if available;
 - h. any current engagement by the transferring client with regulatory bodies relevant to the scope of the certification in respect of legal compliance.

6.4. Transfer of Certification

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The accepting certification

body shall not issue certification to the transferring client until:

- a) it has verified the implementation of corrections and corrective actions in respect of all outstanding major nonconformities; and
- b) it has accepted the transferring client’s plans for correction and corrective action for all outstanding minor nonconformities. Where the pre-transfer review (document review and/or pre-transfer visit) identifies issues that prevent the completion of transfer, the accepting certification body shall treat the transferring client as a new client.
- c) The justification for this action shall be explained to the transferring client and shall be documented by the accepting certification body and the records maintained.

6.5. Authorization

Upon receipt of a request from any existing certified company for transfer of its Certification to SIS via completely filled Application form.

Based upon the information provided by the organization, a quotation will be prepared following a contract review by QM, based upon the following considerations.

- a. The audit man-days required for a review and assessment of the key elements of the applicants’ documented systems based upon its manpower strength.
- b. The period remaining out of the three-year term of validity of the currently held Certificate of Registration issued by another accredited Certification body and verifies the accreditation of the certificate whether it is an Accredited Certificate or not. Also the certification body from which the organization was earlier certified has the accreditation from the IAF MLA or not.
- c. In this situation documents are reviewed and performance of past during the certification Period is assessed and then decision is taken by scheme manager whether to conduct the Stage-I auditor based upon the past performance Stage-II audit can be done following
- d. The SIS Certifications Pvt. Ltd. methodology of the certification: It should be made clear to the client organization that Certificate to be issued by SIS certifications Pvt. Ltd. upon transfer of Certification will be valid up to remaining period of the previous Certificate, except where a complete reassessment has been conducted for renewal of certification.

6.6. Assessment –

Upon acceptance of the fee proposals and agreement with SIS certifications Pvt. Ltd.

Rules and Regulations for accredited Certification, by the client, the QM will authorize- TC to arrange for the assessment of the client’s documented quality system By a competent Lead Auditor, as per the contract review, on a mutually agreeable date.

The Lead Auditor together with an audit team member, if required, will review the clients documented quality system and assess the key elements of the system for effective implementation e.g. Management Responsibility, Internal Quality Audit System, Customer Complaints, Corrective and Preventive Actions, Document Control and Monitoring, Measurement and Analysis for continual improvement etc.

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The Lead Auditor will specifically review the reports of the previous surveillance audits and the corrective actions reports. Any outstanding non-conformity, together with any major non-conformity identified will require to be closed before recommendation for issue of certification is given.

The Lead Auditor will complete the audit documentation as per SIS Assessment Reporting formats including records of opening and Closing meeting and forward the Same to SIS office for verification by QM as per SIS Procedure for issue of Certificates.

7. Certification - Upon satisfactory compliance and verification as per the Certification Check List by the QM, the Decision maker will authorize the issue of an accredited Certificate of Registration with validity as per the previous certificate.

8. Surveillance – SIS accredited Certificate of Registration will remain valid subject to surveillance audits being arranged by the organization at periodical Intervals as stipulated by SIS

9. Indemnification

It is the responsibility of the organization requesting transfer of certification to SIS to keep its previous certification body advised of its decision to transfer the certification to SIS and indemnify SIS from any claims for loss / disputes with the previous Certification body.



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