

	Procedure		Document No.	P-11
	Transfer of Accredited Certification		Version	2.01
			Date of Issue	July 01, 2017
Reviewed & Approved by	Name	Designation	Signature	Date
	Kaushal Goyal	Managing Director		July 01, 2017

Transfer of Accredited Certificates

Revision History

Version	Date	Description	Remarks
1.00	Mar 01, 2008	Original Release as per standard ISO/IEC 17021	
2.00	Nov 02, 2015	Modified for transition to 17021:2015	
2.01	July 01, 2017	Amended to refer to directions of the board	

1.0 Purpose

To lay down the procedure for transfer of accredited Certification from other Certification body.

2.0 Scope

Transfer of Certificates which are covered by an accreditation of an IAF MLA signatory

3.0 Responsibility & Authority

Audit Manager

4.0 Policy & Procedure

4.1 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 (hereinafter referred to as the “issuing certification body”), by KBS for the purpose of issuing its own certification.

4.2 Application for Transfer and Pre-Transfer Review

4.2.1 Application process for transfer of certification is same as one for initial certification for a new client. Audit Manager carries out a review of the certification of the prospective client. This review is conducted by means of both a paper enquiry and, normally, a visit to the prospective client. Reasons for not conducting a visit are to be fully justified and documented and a visit is conducted if no contact can be made with the issuing certification body. The review is conducted covering the following aspects and its findings are fully documented as per F-44.

- (1) Confirmation that the client’s certified activities falls within the accredited scope of KBS.
- (2) The reason for seeking a transfer.
- (3) That a valid accredited certificate, in terms of authenticity, duration, scope of activities covered by the management system and scope of accreditation, is held in respect of the site or sites wishing to transfer. If practical, the validity of certification and the status of outstanding nonconformities are verified with the issuing certification body unless it has ceased trading. Where it has not been possible to communicate with the issuing certification body, KBS records the reasons thereof.
- (4) A consideration of the last certification/re-certification audit reports, subsequent surveillance reports and any outstanding nonconformities that may arise from them. This consideration also includes any other available, relevant documentation regarding the certification process i.e. handwritten notes, checklists. If the last certification, recertification or subsequent surveillance audit reports are not made available or if the surveillance audit is overdue then

Transfer of Accredited Certificates

- the organization is treated as a new client.
- (5) Complaints received and action taken.
 - (6) The stage in the current certification cycle.
 - (7) Any current engagement by the organization with regulatory bodies in respect of the legal compliance

4.2.2 For accepting that customer's certificate granted by other certification body is valid, the conditions are following:

- (1) the issuing certification body has been accredited by a recognized accreditation body IAF MLA member.
- (2) that interval from latest assessment to application for transfer does not exceeds more than 3 months over 12 months of maximum gap between two assessments.
- (3) Customer has not been penalized with suspension of certification or stronger than it from 'issuing certification body' when the customer applies to KBS for transfer.

4.2.3 Acceptance of Application for Transfer

- (1) Transfer is normally only be of a current valid accredited certificate but, in the case of a certificate issued by a certification body that has ceased trading, or that has had its accreditation withdrawn, the acceptance of customer's application for transfer is decided in accordance with Audit Manager's own judgment. In such cases, before it proceeds with the transfer, KBS obtains the consent of the accreditation body, whose mark is to be placed on the certificate and complies with the direction of the accreditation board as applicable. In the case of acquisitions the KBS will, where practical, fulfill the contractual obligations of the acquired certification body.
- (2) Certificates those are known to have been suspended or to be under threat of suspension are not accepted for transfer. If KBS has not been able to verify the status of the certification with the issuing certification body, organization needs to confirm that the certificate is not suspended or under threat of suspension.
- (3) Outstanding nonconformities are closed out, if practical, with the issuing certification body, before transfer. Otherwise they are closed out by KBS.

4.3 Certification

- (1) If no further outstanding or potential problems are identified by the pre-transfer review a certificate, dated from the date of completion of the review, is issued as per normal decision making process for new clients. The programme of ongoing surveillance is based on the previous certification regime unless as a result of review, KBS has performed an initial or re-assessment audit.
- (2) Assessment for transfer, if needed is conducted accordance with the KBS procedure Certification System (P-01).
- (3) Where doubt continues to exist, after pre-transfer review, as to the adequacy of a

Transfer of Accredited Certificates

current or previously held certification, KBS, depending upon the extent of doubt, either:

- a. Treat the applicant as a new client
- or
- b. Conduct an audit concentrating on identified problem areas.

The decision as to the action required depends upon the nature and extent of any problems found and is explained to organization and justification for the decision are recorded and maintained.

5.0 Records

- (1) Pre-Transfer Review (F-44)