

# P20 Transfer of Certification

## 1. Purpose

The purpose of this document is to describe the procedure for transfer of audit client certification to and/or from *Quality Innovation Performance Certifications Pty Ltd* (QIP Certifications) and another validated Conformity Assessment Body (CAB).

This procedure follows IAF MD2:2017 Issue 2 and should be read in conjunction with this document.

## 2. Scope

This procedure covers all transfers of certification requests to or from Referenced Documents

	JAS-ANZ Management System Accreditation Manual
IAF MD2:2017 Issue 2	IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems
F30	Pre-Transfer Review Report
F47	Application for Certification form
F98	Request for Transfer form

Table 1-Referenced Documents

## 3. Workplace Health & Safety

No identified workplace health and safety issues have been identified.

## 4. Terms and Definitions

Accepting Certification Body	An accredited certification Body selected by the audit client to accept and transfer a valid and existing certification granted by another accredited certification body.
CAB	Conformity Assessment Body
EM	Executive Manager
IAF	International Accreditation Forum
Issuing Certification Body	An accredited certification body that previously granted and issued an existing valid certification to a client and is releasing that certification to another accredited certification body.
JAS-ANZ	Joint Accreditation System of Australia and New Zealand
MLA	Multilateral Recognition Agreements
QIP Certifications	<i>Quality Innovation Performance Certifications Pty Ltd</i>
QMR	Quality Management Representative
Transfer of Certification	Recognition of an existing and valid management system certification, granted by one accredited certification body, by another accredited body for the purpose of issuing its own certification.

Table 2-Terms and Definition

## 5. Procedure

### 5.1. Process for Transfer

The following process applies to the transfer of certification between QIP Certifications and other Joint Accreditation System of Australia and New Zealand (JAS-ANZ) accredited bodies. This process may also be followed in a certification transfer between QIP Certifications and CAB that hold accreditation under another IAF or Regional MLA signatory.

#### 5.1.1. Determine the Eligibility of the Client with Certification for Transfer

Only certification that is covered by a JAS-ANZ accredited CAB shall be deemed eligible for transfer. Audit clients holding a certification that is not JAS-ANZ based will be treated as a new client.

The Executive Manager (EM) will determine through the client application process and a CAB and JAS ANZ Portal search:

- That the certification is genuine and valid;
- That the client's certified activities fall within the accredited scope of QIP Certifications;
- That the client certification certificate is still within acceptable date range i.e. not expired; and
- That the certification is not suspended or withdrawn.

If the issuing CAB has ceased trading, their accreditation has lapsed, been suspended or withdrawn the EM will:

- Complete the transfer of certification within 6 months or on the expiry date of the existing certificate, whichever is soonest; and
- Inform JAS ANZ prior to the transfer.

### 5.2. Pre-Transfer Review

The EM will carry out the Review or delegate the Review to a suitably assessed and competent member of the CAB, usually the Quality Management Representative (QMR). The QMR will review the information provided by the transferring audit client in their application within 2 working days of delegation and commence the pre-transfer review.

This review process includes:

- Informing the audit client of the pre-transfer process and its steps;
- A review of the client F47 Application for Certification form and identification of any information gaps;
- Checking the audit programme and the stage of the transferring client in their audit cycle;
- Appraisal of any audit reports or corrective action plans to determine any outstanding major nonconformities;
- Seeking clarification of any extra information required to validate the issued certification;
- Documenting the relevant information obtained in the F30 Pre-Transfer Review Report;

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- A pre-transfer visit (wherever practical) to the transferring client to confirm the validity of the current certification.

## 5.2.1. The Pre-Transfer Visit

- The Pre-Transfer Visit is not an audit;
- The EM will determine and document the competence of the personnel assigned to complete the pre-transfer visit;
- The QMR will ensure through prior competency assessment that the persons conducting the visit have the equivalent competence to an audit team appropriate for the scope of certification.
- The visit may be carried out by one or more assessed competent persons;

## 5.2.2. Pre-Transfer Review Outcomes

Where the pre-transfer visit and review report identify issues that prevent the completion of a transfer, QIP Certifications will inform the transferring client that the transfer cannot go ahead and that they will be treated as a new client.

If this occurs:

- The EM will give the transferring client a written Justification Statement detailing the evidence from the Pre-Transfer Review for transfer refusal; and
- The EM will offer the client a new audit cycle and programme that will meet certification requirements to the nearest practical date of the previous certificate expiry.

Where no issues are identified by the pre-transfer visit and review report:

- The QMR will commence the continuation of the certification cycle with an audit programme based on the previous certifications cycle time frames; and
- The EM will complete the F30 Pre-Transfer Review Report and take the decision on certification to the Certifications Decisions group prior to any surveillance/maintenance or recertification audit initiation by the QMR.

Notes:

- QIP Certifications may quote the audit clients initial certification date on the certification certificate(s) and report(s) with the indication that the audit client was certified by a different certification body before a certain date;
- If the last certification, recertification or subsequent surveillance audit reports are not made available or if the surveillance audit is overdue, then the organisation shall be treated as a new client; and
- The program of ongoing surveillance should be based on the previous certification regime unless the accepting CAB has conducted an initial or recertification audit as a result of the review.

## 5.3. Cooperation between QIP Certifications and the Issuing CAB

### 5.3.1. Advise the Issuing Certification Body

The EM will oversee and maintain all communication between QIP Certifications and any issuing CAB to ensure a successful process that maintains the integrity of the certification. This responsibility may be delegated during any situation of EM's absence provided an appropriate competency assessment is completed of the delegated QMR.

When each transfer is requested by an audit client, the EM will:

- Complete an F30 Pre-Transfer Review Report and save in the CRM for the transferring audit client.
- The EM will ensure that the transferring client has authorised communication with the issuing CAB in their signed Application form.
- The EM will then complete the F98 Request for Transfer form;
- The EM will then advise the issuing CAB formally that the audit client has authorised QIP Certifications to commence the process for certification transfer.

This advice to the issuing CAB will include:

- A completed F98 Request for Transfer form;
- A date for completion of the transfer - this should be no more than one month ahead of the request;
- The proposed date for the commencement of the continuing certification;
- All information that may be needed from the issuing CAB to complete the request, including:
  - The last certification audit report(s);
  - The last issued and current Certificate(s);
  - The previous audit programme if relevant;
  - Any Major non-conformities and Follow-up report(s);
  - Any Corrective Action Plan(s) that may be closed or have Actions outstanding.

### 5.3.2. Provide the Information Sought

The issuing CAB is obligated to assist the transfer by providing:

- Any reasonable request for information sought information by QIP Certifications;
- The requested information within 5 working days from the date of the formal notification of an authorised transfer using F98 Request for Transfer by the EM; and

The EM will continue to communicate or monitor communications with the CAB until a certification transfer is closed.

## 5.4. Certification

When granting certification to a transferring organisation, the following activities shall be observed:

- In most cases, only valid accredited certification should be transferred. However, in cases where the certification has been granted by a CAB that has ceased trading, or whose accreditation has expired, QIP Certifications may grant certification at its discretion and shall obtain an agreement from JAS-ANZ;
- Certification that is suspended or is under threat of suspension shall not be accepted for transfer.

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- If QIP Certifications is unable to verify the status of the certification with the issuing CAB, the organisation must confirm that the certificate is not suspended or under threat of suspension;
- QIP Certifications will confirm with the issuing CAB before transfer that all nonconformities have been closed out;
- Should no further outstanding or potential problems be identified by the pretransfer review, QIP Certifications may issue certification following the normal decision making process;
- If QIP Certifications has any doubt as to the adequacy of a current or previously held certification, it may:
  - Treat the applicant as a new client, or,
  - Conduct an audit concentrating on areas identified in the F30 Pre-Transfer Review Report as issues preventing continuance of certification(s).

Any decisions and subsequent actions will depend upon the nature and extent of any issues identified and will be communicated to the organisation through the formal Justification Statement by the EM and all records maintained in the audit client file on the CRM.

On completion of the transfer and issuing the new certification the EM will inform the issuing CAB that the process is now closed.

## 5.5. Notification to QGSA

QIP Certifications shall send a copy of the new certificate to the QGSA when it transfers certification of a human service organisation from another CB, together with a copy of the associated report of the on-site visit. If the decision to transfer certification was not based on a site visit, the CB shall provide the following information to the QGSA:

- The date of the review leading to the decision to transfer certification;
- The name of the previous CB;
- The date of the next scheduled audit.

Note: the requirements of HS Part 1 and IAF MD 2 also apply for transferring certification.

## 5.6. Where QIP Certifications is the issuing CAB

The EM is responsible for all activities within the audit client certification transfer process.

The EM will carry out the transfer or delegate the certification transfer to a suitably assessed and competent member of the CAB, usually the QMR.

The EM or delegated QMR will:

- Cooperate with the accepting CAB and communicate in a professional and respectful manner;
- Ensure that all information and documentation requested is delivered to the accepting CAB within their identified timeframes;
- Complete the Pre-Transfer Review Report as the issuing CAB representative;
- Provide the Report and the completed collated documents requested to the EM for transfer to the accepting CAB within 4 working days of the agreed date;

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- Complete the archiving and/or secure storage of all necessary information of audit client certification transfer generated; and
- The EM or delegated QMR will ensure all documentation is saved in the CRM file and check that all files and documentation for the transferred audit client is archived from the Y: Drive.

## 6. Refusal of Request for Information

If the issuing CAB refuses, declines or ignores a request for information within five working days, QIP Certification shall adhere to the following process:

- Advise JAS-ANZ - QIP Certifications shall advise JAS-ANZ of the circumstances and seek a timeframe within which to complete the transfer;
- Obtain confirmation - If QIP Certifications is unable to verify the validity of the certification, the transferring organisation shall provide a written statement stating at the time of transfer, its certificate has not been suspended;
- Visit the Transferring Organisation - QIP Certifications will visit the transferring organisation to establish what is required to complete the transfer and the reasons supporting the decision; or
- Assess the Transfer - QIP Certifications will retain all documentation relating to the discharge of transfer obligations. These may be subject to an assessment at any time by surveillance activity conducted by JAS-ANZ.

## 7. Revision History

Revision	Effective Date	Section	Change Description
1	11/10/2018	All	Initial document release.
2	16/04/2019	All	Maintain conformity with IAF MD 2:2017 Issue 2
3	7/08/2019	All	Additional wording added in response to JAS-ANZ Document review