
Transfer of Accredited Management System Certification

1. PURPOSE

To explain the requirements for transitioning management systems certification from another certification body (CB) to NCS International Pty Ltd. The requirements of this document are based on IAF MD2:2007 ('IAF Mandatory document for the transfer of Accredited Certification of Management Systems').

These requirements also aim to ensure that the integrity of accredited management system certifications can be maintained between certification bodies

2. SCOPE

This document applies to the transfer of any accredited program from another CB to NCS International Pty Ltd. These requirements will apply, regardless of the Accreditation Body utilised by NCS International Pty Ltd for accreditation of a given program (i.e. JAS-ANZ versus ANSI).

Unaccredited programs may be managed differently at NCSI's discretion and in accordance with the requirements of the relevant Scheme Owners.

3. RESTRICTIONS

Only certificates that are covered by an Accreditation Body that is an IAF MLA (International Accreditation Forum Multilateral Recognition Arrangement) signatory may be eligible for transfer through this process. Your NCSI Client Manager can verify this with the Technical team if required. Where an organisation holds a certificate that does not meet this requirement, they will be treated as a new applicant.

Where satisfactory closure of non-conformities raised by the previous CB cannot be demonstrated, then it will be necessary to apply as a new client.

4. TRANSFER PROCESS

Transfer processes allow some fast-tracking of steps when compared to gaining certification as a new applicant. In order to transfer an organisation with existing certification, a review of the organisation's certification status, documentation & progress as detailed in section 4.1 of this document. Additional considerations in relation to the transfer are outlined in section 4.2.

4.1 Pre-transfer review

What needs to be done?

Prior to accepting a client for transfer, NCSI will need to determine the following:

- That current, valid certification is held for the proposed scope and that the issuing CB is accredited by a member of the IAF MLA (this promotes consistency). Where it is determined that your certification was not held with an appropriately accredited certification body, you will be treated as a new client, and additional steps will be required.
- That the proposed scope of certification is the same as the scope of certification previously held.
- What the reasons are for seeking a transfer. This information will be kept on file.
- Whether the organisation is engaged in any current legal compliance or regulatory body issue with respect to the proposed scope of certification.
- A copy of the previous audit reports. This includes surveillance reports going back to the last reassessment. This will include a review of any non-conformities arising from these audits and whether satisfactory close out is evident. This may from time to time require us to contact your previous CB.
- If your scheduled surveillance audit is overdue, then we will be obliged to treat your certification as we would a new client.

How will the review be done?

The exact methodology for the transfer review will, in part, be dependent on the individual circumstances of your organisation's transfer and certification phasing. In general terms however, the following will be considered:

- As a minimum a review of previous reports and certificate scopes from the previous certification body as well as complaints and key processes must be carried out. In addition a document review will normally occur.
- In addition, an on-site visit will be undertaken within three months at key sites. Where an audit has not occurred for more than six months, or where the client is considered high risk an appropriate sample of sites will be audited.

4.2 Other considerations that may impact eligibility to transfer:

- In instances where your existing certification body has ceased trading, NCS International will review the transfer requirements on a case by case basis. If the certification body was accredited by JAS-ANZ or other similarly recognised accreditation body, then permission may be sought from JAS-ANZ to transfer the certification directly.
- If your certification is under suspension or threat of suspension at the time of the request for transfer, then it cannot be accepted for transfer in this manner.
- Where possible, non-conformities should be closed out with the issuing certification body prior to transfer. Where this is not possible NCS International will review for appropriate closure or progress prior to processing the certificate.
- When transferring your certification cycle, your old certificate expiry date is retained.
- Transfers are subject to NCS International's usual technical review processes. Issues identified at the technical review stage will also need to be addressed before certification is granted.

4.3 How will this impact your organisation's listing on the JAS-ANZ register?

If your certification is eligible for listing on the JAS-ANZ register, NCS International cannot list you as a certified client until all audits or reviews have been completed, non-conformities closed out and technical review processes completed by NCSI.

Please note that some certification bodies remove clients from the JAS-ANZ register as soon as you notify them that you are transferring, even though your certificate may still be valid. NCSI will assist you as much as possible to make the transition a smooth one, but we cannot control the actions of other certification bodies. Please discuss with your NCSI Client Manager or Technical team if you have concerns.

5. FURTHER QUESTIONS

If you have further questions or concerns regarding these matters, please contact your NCSI Client Manager. Alternatively, you can contact the NCSI Technical department on either (07) 3870 7566 or (03) 9817 7319.