

A Mark Ratings Private Limited			Procedure Manual
Section Name	Procedure for transfer of accredited management system certification		
Section No.: OP -19		Issue No. 01	Issue Date 10-09-2017
Page 1 of 4		Rev. No. 04	Rev. Date: 01-04-2025

Procedure for transfer of accredited management system certification

1.0 Purpose

To define the process for the transfer of management system certificates between certification bodies to assure the maintenance of integrity of accredited management system certificates issued by one certification body if subsequently transferred to AMRPL to realize a complete and effective audit of the client's management system, in accordance with requirements of ISO/IEC 17021-1:2015, and other applicable international standards for certification bodies providing management system certification (e.g. ISO 17021-2:2016, ISO 17021-3:2017, ISO 17021-10:2018, ISO 17021-9:2016, ISO 22003-1:2022, ISO 27006-1:2024, ISO 50003:2021, MD 9) and IAF mandatory document for the transfer of management system certificates between certification bodies for managing the audit and certification of the management system operated by a multi-site organization, IAF MD2.

2.0 Scope

This procedure is applicable to all accredited quality management system, environmental management system, occupational health and safety management system, food safety management system, information security management system, energy management system, and medical devices quality management system, Anti-Bribery Management System certificates against the standards ISO 9001:2015, ISO 14001:2015, ISO 45000:2018, ISO 22000:2018, ISO 27001:2022, ISO 50001:2018, ISO 13485:2016, ISO 37001:2016 which may transferred from another Certification Bodies to AMRPL.

3.0 Responsibility

Certification planning section head
Scheme manager

4.0 Terms and definitions

4.1 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.

4.2 Multiple certifications

Concurrent certification by more than one certification body.

Note: Multiple certifications does not fall under the definition of "transfer of certification"

4.3 Client organization

A Mark Ratings Private Limited			Procedure Manual
Section Name	Procedure for transfer of accredited management system certification		
Section No.: OP -19		Issue No. 01	Issue Date 10-09-2017
Page 2 of 4		Rev. No. 04	Rev. Date: 01-04-2025

Entity or defined part of an entity operating a management system.

5- Procedure

5.1 AMRPL Approach/ Eligibility for transfer of management system certification

5.1.1 AMRPL only transfer the 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.

5.1.2 AMRPL treats the organizations holding certification that is not covered by such accreditations as new clients.

5.1.3 AMRPL transfer only valid accredited certification. Certification which is known to be suspended shall not be accepted for transfer.

5.1.4 In cases where certification has been granted to an organization by a certification body which has ceased trading or whose accreditation has expired, been suspended or withdrawn, AMRPL will complete the transfer within 6 months or on expiration of the certification whichever is sooner. In such cases, the AMRPL shall inform the accreditation body, under whose accreditation it intends to issue the certification, prior to the transfer.

5.2 Pre-Transfer Review

5.2.1 AMRPL shall carry out a review of the certification of the transferring client. This review shall be conducted by means of a documentation review and where identified as needed a visit to the prospective client.

5.2.2 If for example, there are outstanding major nonconformities; AMRPL shall include a pre-transfer visit to the transferring client to confirm the validity of the certification.

5.2.3 AMRPL shall assign a competent auditor according to the competence criteria to perform a review of the certification of the prospective client. The review should cover the following aspects:

- Confirmation that the client's certification falls within the accredited scope of the issuing and AMRPL certification body;
- Confirmation that the issuing certification body's accredited scope falls within its accreditation body's MLA scope;
- Identification to the reasons for seeking a transfer;
- Ensuring that the site or sites wishing to transfer certification hold a valid accredited certification;

A Mark Ratings Private Limited			Procedure Manual
Section Name	Procedure for transfer of accredited management system certification		
Section No.: OP -19		Issue No. 01	Issue Date 10-09-2017
Page 3 of 4		Rev. No. 04	Rev. Date: 01-04-2025

- Availability of the initial certification or most recent recertification audit reports, and the latest surveillance report; the status of all outstanding nonconformities that may arise from them 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 organization shall be treated as a new client;
- Availability of complaints received and action taken towards it;
- Considerations relevant to establishing an audit plan and an audit programme. The audit programme established by the issuing certification body should be reviewed BY AMRPL if available.
- Availability of any current engagement by the transferring client with regulatory bodies relevant to the scope of the certification in respect of legal compliance.

5.2.4 AMRPL will retain appropriate records for this review according to the record control procedure.

5.3. Transfer of Certification

5.3.1 In accordance with clause 9.5.2 of ISO/IEC 17021-1:2015, AMRPL shall not issue certification to the transferring client until:

- AMRPL has verified the implementation of corrections and corrective actions in respect of all outstanding major nonconformities; and
- AMRPL has accepted the transferring client's plans for correction and corrective action for all outstanding minor nonconformities.

5.3.2 Where the pre-transfer review (document review and/or pre-transfer visit) identifies issues that prevent the completion of transfer, AMRPL shall treat the transferring client as a new client. The justification for this action is explained to the transferring client and documented by the AMRPL and the appropriate records maintained.

5.3.3 AMRPL applies carefully the normal certification decision making process in accordance with clause 9.5 of ISO/IEC 17021-1:2015 and taking into account that the personnel making the certification decision be different from those carrying out the pre-transfer review.

5.3.4 If no problems are identified by the pre-transfer review, the certification cycle shall be based on the previous certification cycle and AMRPL shall establish the audit programme for the remainder of the certification cycle.

A Mark Ratings Private Limited			Procedure Manual
Section Name	Procedure for transfer of accredited management system certification		
Section No.: OP -19		Issue No. 01	Issue Date 10-09-2017
Page 4 of 4		Rev. No. 04	Rev. Date: 01-04-2025

5.3.5 AMRPL can quote the organization's initial certification date on the certification documents with the indication that the organization was certified by a different certification body before a certain date.

Where AMRPL has had to treat the client as a new client as a result of the pre-transfer review, the certification cycle shall begin with the certification decision.

5.3.6 AMRPL shall take the decision on certification before any surveillance or recertification audits are initiated.

5.4. Cooperation between AMRPL and the Issuing and Certification Bodies

5.4.1 The cooperation between AMRPL and the issuing certification bodies is essential for the effective process for transfer and the integrity of certification. When requested, the issuing certification body shall provide to AMRPL all the documents and information required by this document. Where it has not been possible to communicate with the issuing certification body, AMRPL shall record the reasons and make every effort to obtain necessary information from other sources.

5.4.2 The transferring client shall authorize that the issuing certification body provides the information sought by AMRPL. The issuing certification body shall not suspend or withdraw the organization's certification following the notification that the organization is transferring to AMRPL if the client continues to satisfy the requirements of certification.

5.4.3 AMRPL and/or the transferring client shall contact the accreditation body which accredits the issuing certification body where the issuing certification body

(i) Has not provided the requested information to AMRPL, or

(ii) Suspends or withdraws the transferring client's certification without cause

According to the accreditation body procedures regarding this issue, it will act accordingly with the issuing certification body and informs AMRPL with the results.

5.4.4 Once AMRPL has issued the certification it shall inform the issuing certification body.

6. Records

The following Records are maintained for Transfer of Certificate

- Pre-Transfer Review Form
- The correspondences between AMRPL and Transferring client and Issuing certification body