

<b>LMS CERTIFICATIONS PVT. LTD.</b>		<b>Procedure Manual</b>	
Section Name	<b>Procedure for Transfer of Certification</b>		
Section No.: <b>PM-19</b>	Issue No. 01	Issue Date 01-11-2015	
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## Procedure for Transfer of Certification

### **1.0. Purpose:**

To document, establish, implement and maintain the system for transfer of ISO quality management system certificates from other certification bodies to LMS as per requirements of ISO/IEC 17021-1:2015, & ISO/IEC 17021-2:2016, ISO/IEC 17021-3:2016, ISO/IEC 17021-10:2018, ISO 22003-1:2022, ISO/IEC 27006-1:2024, ISO 50003:2021 and the IAF mandatory document for the transfer of accredited certification of management systems; IAF MD 2. This is to assure that the integrity of the accredited management system certificates issued by one certification body is maintained if subsequently transferred to LMS.

### **2.0. Scope:**

**2.1.** This procedure is applicable to transfer of management system certifications between certification bodies i.e. from other certification bodies to LMS.

**2.2.** This procedure is also applicable in case of acquisitions of certification bodies accredited by an IAF MLA signatory.

### **3.0. Responsibility:**

Scheme Manager

### **4.0. Procedure:**

#### **4.1. General.**

**4.1.1.** The transfer of certification is defined as the recognition of an existing and valid management system certification, granted by one accredited certification body (issuing certification body), by another accredited certification body (accepting certification body) for the purpose of issuing its own certification. Multiple certifications (concurrent certification by more than certification body) do not fall under this definition.

**4.1.2.** LMS shall accept for transfer those valid certificates covered by an accreditation of an IAF MLA signatory only.

#### **4.2. Pre transfer review**

**4.2.1.** For any organization accepted for transfer by LMS, LMS shall conduct a pre transfer review of the organization. The review shall include a site a visit and cover the following aspects and its findings shall be fully documented:

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- (a) Confirmation that the client's certified activities fall within the accredited scope of LMS
- (a) Client's reason for the transfer
- (b) The site or the sites wishing to transfer certification hold an accredited certification that is valid in terms of authenticity, duration and scope of the activities covered the management system certification. If practical the validity of certification and the status of outstanding non-conformities should be verified with the issuing certification body unless it has ceased trading. Where it has not been possible to communicate with the issuing certification body LMS shall record the reasons.
- (c) A consideration of the last certification or re-certification audit reports, subsequent surveillance reports and any out standing non-conformities that may arise from them. If these audit reports are not made available or if the surveillance audit is over due then the organization shall be treated as a new client
- (d) Complaints received and actions taken
- (e) The stage in the current certification cycle
- (f) Any current engagement by the organization with regulatory bodies is respect of legal compliance

**4.2.2.** LMS shall depute an auditor (team leader grade), competent in the management system being considered for the review and shall be minimum of one-day duration. The date of review shall be agreed with the client in advance.

**4.2.3.** The auditor shall confirm the application review during the stage 1 audit

**4.2.4.** The certification panel shall review the reports and based on the findings shall take a decision whether to accept or not to accept the client for granting certification.

### **4.3. Certification**

**4.3.1.** LMS shall transfer only valid accredited certification. LMS shall treat organizations as new clients under the following circumstances,

- (a) Organizations holding certificates that are not covered by accreditation as stated in section 4.1.2 or organization has unaccredited certificate
- (b) Organizations holding certificates issued by a certification body who has ceased trading, whose accreditation has expired, been suspended or withdrawn

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**4.3.2.** In the case of acquisitions LMS shall, where practical, fulfill the contractual obligations of the acquired certification body.

**4.3.3.** LMS shall not accept for transfer any organization whose certification has been suspended or is under threat of suspension. If the status of certification cannot be confirmed from the issuing certification body LMS shall confirm through other means that the certificate is not suspended or under threat of suspension.

**4.3.4.** Outstanding nonconformities should be closed out, if practical, with the issuing certification body, before transfer. Other wise they shall be closed by LMS.

**4.3.5.** If no further outstanding or potential problems are identified by the pre-transfer review LMS shall issue the certification as per PM-11, Procedure for Granting, Maintaining, Renewing, Extending, Reducing, Suspending and withdrawing of Certification.

**4.3.6.** The program of ongoing surveillance should be based on the previous certification regime unless LMS has conducted an initial or re-certification audit as a result of the review.

**4.3.7.** If doubt exists after the review as to the adequacy of the current or previously held certification LMS shall treat the applicant as the new client.

**4.3.8.** If the client is accepted for transfer of certificate, LMS shall complete other certification requirements as per the established system.

**4.3.9.** In case of the transfer, validity of certification shall be for the remaining period as in the current accredited certificate issued by the other certification body.

## **5.0 Records:**

- (a) **LMS-FM-005** – Application Review

## **6.0 References**

PM-11- Procedure for Granting, Maintaining, Renewing, Extending, Reducing, Suspending and withdrawing Of Certification