

Approved by: Managing Director



PSA

Document Title : Transfer of Certificates

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4.11 Transfer of Certificates

- 4.11.1 A decision to transfer a certificate shall be voluntary by the certificate holder.
- 4.11.2 Issuing of a certificate to a former certificate holder after expiry or termination of the certificate
 - 4.11.2.1 An ASC-accredited CAB may issue an ASC certificate to a new client at any time after the expiry or termination of the client's existing certificate with another CAB, based on a full assessment according to ASC certification requirements.
 - 4.11.2.2 If the audit for this client is conducted within a period of twelve (12) months from the expiry or termination of the former certificate, the succeeding CAB shall consider any major or minor non-conformity(s) which have not been closed at the time of expiry / termination.
 - a) The CAB that issued the existing certificate shall send these non-conformities to the succeeding CAB within ten (10) days of the transfer upon request made using FORM 2.
- 4.11.3 Principles for a transfer of certificates
 - 4.11.3.1 ASC certificates shall only be transferred once within the period of validity of a certificate.
 - a) If a certificate holder wishes to change CAB more than once within the period of validity, the second and all other succeeding CABs shall conduct full ASC audits.
 - 4.11.3.2 ASC certificates shall not be transferred in any of the following situations:
 - a) The certificate is suspended.
 - b) Major non-conformities have not been closed.
 - i. All major non-conformities shall be closed to the satisfaction of the preceding CAB before the certificate may be transferred.
 - c) The parties involved in the transfer cannot agree on the transfer date.

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d) Relevant documentation about the certificate holder (all records, including reports and history of non-conformities) is not being made available to the succeeding CAB by the preceding CAB.

i. In cases where the succeeding CAB is able to receive all relevant documentation from the certificate holder directly, a transfer of documentation according to 4.11.3.2 d) is not required.

4.11.4 Certificate Transfer procedure

4.11.4.1 Once the holder of an active valid certificate has informed the current CAB that they are applying for a certificate transfer with another CAB; the transfer of the certificate shall be conducted as follows:

a) The expiry date of the succeeding certificate shall be the same as the expiry date of the preceding certificate.

b) The scope of the succeeding certificate shall be the same as the scope of the preceding certificate. If the certificate holder is requesting a change in scope, the succeeding CAB shall evaluate this request in line with relevant ASC requirements.

c) All minor non-conformities and associated actions together with timelines that are applicable to the preceding certificate shall remain applicable to the succeeding certificate.

d) The results of any accreditation body assessment regarding the compliance of the certificate holder to certification requirements shall be applicable to the succeeding CAB.

e) The succeeding CAB shall propose a transfer date to the preceding CAB and the certificate holder on which all rights and obligations for maintaining the certificate shall be passed from the preceding to the succeeding CAB.

i. Both CABs shall keep a record of the agreed date.

f) The succeeding CAB shall carry out an on-site transfer audit within three (3) months of the agreed transfer date according to the requirements for a surveillance evaluation.

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i. This audit shall include a review of all pending minor non-conformities which were issued by the preceding CAB.

ii. If the audit is conducted in a way that satisfies all the formal requirements for a main evaluation, a new certificate may be issued.

g) The preceding and succeeding CABs shall update the ASC database according to the instructions issued by the ASC.

4.11.5 Certificate Transfer when the issuing CAB is losing or terminating its accreditation

4.11.5.1 The procedure in 4.11.4 above shall be followed with the following changes:

- a) Suspended certificates may be transferred.
- b) Certificates with open major non-conformities may be transferred, and non-conformities shall be closed in accordance with requirements as set out in this document.
- c) Section 4.11.4 f shall be conducted as a desk audit unless it is determined by the succeeding CAB that results will not deliver the required level of confidence for the succeeding CAB to issue their certificate.
- d) Section 4.11.4.f.i shall include major non-conformities.
- e) Section 4.11.4 f ii shall not apply unless an on-site audit is conducted.