**Date**      :  February 1, 2019

**To**        :  Certification Bodies (CBs)
                 Accreditation Bodies (ABs)

**Subject** :  Transfer of Certificates

## *Transfer of Certificates*

Transfer of certificates shall be conducted in accordance with IAF MD2, 9104-001 requirements. CBs should also be aware of any IAQG OPMT resolutions or 9104-001 FAQs that provide clarification of these requirements.

In the case of a transfer, IAF MD2 requires that the accepting CB has taken the certification decision and issued the certificate before conducting the next scheduled audit either Surveillance or Recertification (see IAF MD2 clause 2.3.5).

The Recertification audit completes the current certification cycle and is not part of a new certification cycle therefore if you are not the issuing CB of the certificate, a Special audit shall be completed by the accepting CB, a certification decision made, and the audit and the certificate shall be published in OASIS before starting the Recertification audit.

In OASIS, transfer of certificates can **only** be done with a Special audit in accordance with IAF MD2 and 9104-001 requirements. CB should be aware that the IAQG Transfer certificate fee will be applied.

The Special audit for transfer must be separate and completed with a certification decision and publication in OASIS of the Special audit and transferred certificate before initiating any Surveillance or Recertification audit (ref. 9104-001 FAQ # 39).

a) **Steps for Transfer of Certification during the Surveillance cycle:**
   1. Plan the Special audit
   2. Conduct the Special audit for Transfer and then make a Certificate reissue decision
   3. Certificate issuance and Special audit publication in OASIS. Utilize the existing certificate issue and expiry date and establish a new re-issue certificate date in OASIS.

   **Transfer complete**

   4. Then begin planning the Surveillance audit in OASIS.

Special audit scope = Verify that the QMS conforms to the standard and existing certification is valid. Audit to sufficient depth to validate the integrity of the existing certificate.

**b) Steps for Transfer of Certification when certificates are expiring within the next 12 Months (Refs: 9104-001, clause 8.8.c):**

1. Plan the Special audit (Stage 1 and Stage 2 audit activities and reporting)
2. Conduct the Special audit for Transfer and then make a Certificate reissue decision
3. Certificate issuance and publication of the Special audit in OASIS. Use the existing certificate issue and expiry date and establish new re-issue certificate date in OASIS.

   **Transfer complete**

5. Then begin planning the Recertification audit in OASIS.

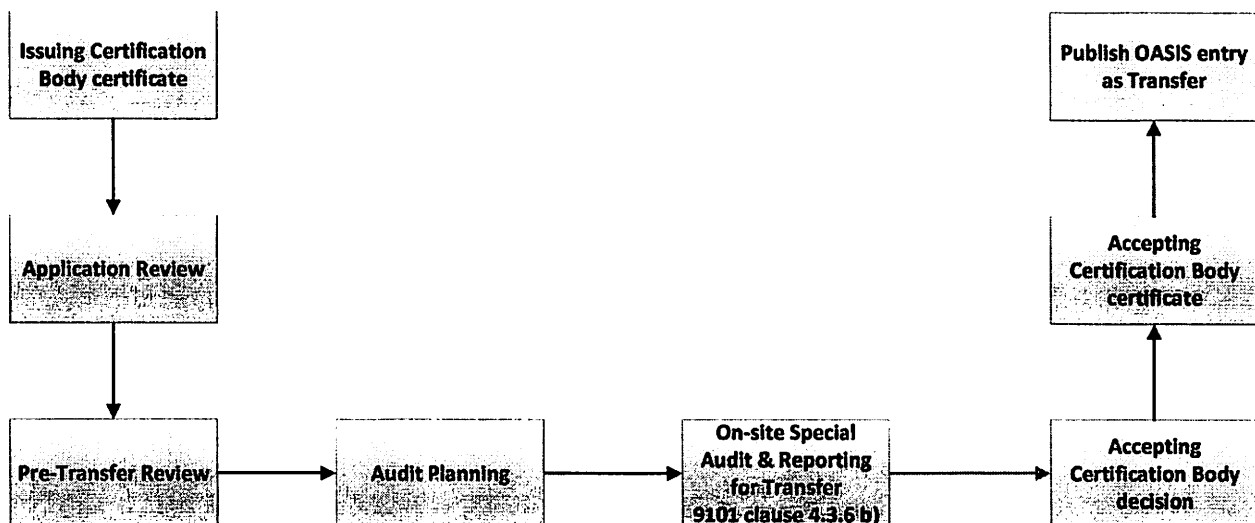Stage 1 = 17021-1; Section 9.3.1.2 and 9101:2016 criteria (must be on site)
Stage 2 = Special audit scope = Verify that the QMS conforms to the standard and existing certification is valid. Audit to sufficient depth to validate the integrity of the existing certificate.

The Stage 1 and Stage 2 audit activities supporting the Special audit for Transfer may be performed on consecutive days since the Special audit for Transfer occurs post initial certification.

**Audit Duration:**

The CB must ensure that sufficient audit duration is utilized to meet the audit objectives and the justification for the determined audit duration shall be documented and a record maintained (Refs: 9104-001, 8.2.e).

**Process Flow:**

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┌─────────────────────┐                                              ┌─────────────────────┐
│ Issuing Certification│                                              │  Publish OASIS entry│
│   Body certificate   │                                              │     as Transfer     │
└──────────┬──────────┘                                              └──────────▲──────────┘
           │                                                                     │
           ▼                                                                     │
┌─────────────────────┐                                              ┌─────────────────────┐
│                     │                                              │     Accepting       │
│ Application Review  │                                              │  Certification Body │
│                     │                                              │     certificate     │
└──────────┬──────────┘                                              └──────────▲──────────┘
           │                                                                     │
           ▼                                                                     │
┌─────────────────┐     ┌─────────────────┐   ┌──────────────────┐   ┌─────────────────────┐
│                 │     │                 │   │  On-site Special │   │     Accepting       │
│ Pre-Transfer    │────▶│  Audit Planning │──▶│ Audit & Reporting│──▶│  Certification Body │
│ Review          │     │                 │   │   for Transfer   │   │      decision       │
│                 │     │                 │   │9101 clause 4.3.6 b)│  │                     │
└─────────────────┘     └─────────────────┘   └──────────────────┘   └─────────────────────┘
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**Further Assistance:**

In case of conformance questions, please contact your AB or utilize the IAQG OASIS feedback function to communicate 9104-001 questions to your respective Sector Document Representative (SDR).

If OASIS issues arise contact the IAQG support function at: IAQGsupport@sae.org or your OASIS Sector Representative:

- Americas     -     Becky Lemon          rebecca.lemon@sae.org
- Asia/Pacific     -     Takayoshi Maehata          takayoshi.maehata@sjac.or.jp
- Europe     -     Ian Folland          icf@iseesols.com

Sincerely,

IAQG 9104-001 IDR/SDRs

IAQG Database Team