TRANSFER TO NVTQC OF EXISTING QMS/AQMS CERTIFICATES ISSUED BY OTHER CBs
PROCEDURE CUM CHECKSHEET CUM SPECIAL REPORT

(To be filled up by office)
NAME OF THE ORGANIZATION
REQUESTING TRANSFER:
CERTIFICATION BODY WHICH ISSUED THE
CERTIFICATE:
NATURE OF CERTIFICATE (QMS/AQMS):
ACCREDITATION BODY:
EAC/NACE CODE: OIN (FOR AQMS):
DATE OF CERTIFICATION/LAST
RECERTIFICATION:
TEAM CARRYING OUT THIS PRE-TRANSFER
REVIEW (SPECIAL AUDIT):
DATE OF THIS REVIEW:
REVIEW LOCATION (ONSITE/OFFSITE):

SL. No	CHECKPOINT	EVIDENCE/OBSERVATION TO BE FILLED BY OFFICE 1 TO 16, 27, 28 & 29. REMAINING TO BE FILLED BY LA.	Verification by LA for cl. No.4, 7 to 11, 13 to 25. Others to be verified by office.
1	Confirm that customer has requested/consented for transfer of existing certificate to NVTQC.		
2	Confirm that the NVTQC application form duly completed by the organization has been received by NVTQC (For renewal only).		
3	Confirm that NVTQC has ANAB/NABCB accreditation for the applicable EAC/NACE code. If no, transfer request shall not be entertained.		
4	Is contact established with the issuing CB to confirm status of outstanding nonconformities and validity of certificate? If not, record the reasons for not being able to. Maintain record of this communication.		
5	Is the Accreditation Body approved by IAQG (for **AQMS standards**)		

	or an IAF MLA signatory (for ISO 9001)? If no, transfer is not permissible. Client can be considered for fresh certification audit.		
6	Has the validity of accreditation of the issuing CB expired as on date or suspended/withdrawn by its accreditation body or has the CB ceased trading? If answer is yes to any of the above, transfer request can be entertained only with the consent of ANAB/ NABCB.		
7	Ascertain reasons for the organization seeking transfer of certificate and decide whether the reasons are acceptable. If reasons are not acceptable, the transfer request shall not be entertained. Client can be considered for fresh certification audit.		
8	For **AQMS certificate**, verify and confirm that the certificate exists in the OASIS Database. For **QMS certificates**, verify the status of the certificate in the issuing CB's website.		
9	Justification for doing this review offsite. Onsite review mandatory **for AQMS**. **For QMS**, it is mandatory when contact cannot be established with the issuing CB.		
10	Is the existing certificate withdrawn/under suspension/ under threat of suspension by the concerned certification body? If no, decide to go ahead with transfer activity. If yes, transfer of certificate is not permitted. If transfer request is not accepted, client may be considered for fresh certification audit.		
11	Verify and confirm that the details furnished by the organization in its application (regarding the name, site structure, addresses, scope of		

	certification) tally with the information in the certificate and also (for AQMS certificate) with the information in the OASIS Database. Resolve differences if any. If there is any change in scope or in the structure of sites or address, a special audit for scope change is required before transfer of certificate.		
12	Ascertain the remaining life of the existing certificate (years, months, days). If the remaining life is less than 12 months, a two-stage audit is required to be performed before transfer of AQMS certificate.		
13	Due date and type of audits planned (surveillance/renewal) by the accepting CB for the remaining period of the certification cycle.		
14	**For AQMS** certificate, verify whether the last audit report has been uploaded by the issuing CB to the OASIS website. If no, request client to ensure this.		
15	Date and type of last audit by the issuing CB (certification/surveillance/recertification).		
16	Is the next audit by the issuing CB overdue? If next audit is not overdue, decide whether the transfer should be done immediately after successful completion of this review or await completion of the next audit. If the next audit is overdue, the request for certificate transfer cannot be entertained. Client can be considered for fresh certification audit.		
17	Carry out a broad review of client's QMS documentation to ascertain whether it fulfils requirement of applicable standard covering the scope mentioned in the CB's certificate/application.		

18	Obtain audit reports from organisation and review outstanding nonconformities arising from them and all relevant documentation since certification/ last recertification. If reports and relevant records are not made available, the organization has to be treated as new client.		
19	Review customer complaints and action taken. Examine whether there are open customer complaints/ customer related issues.		Lead Auditor
20	Examine whether there are any open issues regarding compliance to regulatory body requirements.		Lead Auditor
21	Examine whether open nonconformities exist out of previous audits by the issuing CB. If yes, contact the issuing CB for their closure. If the CB has ceased trading or is unable to close the nonconformities, prepare a corrective action audit plan to close the open nonconformities. **For AQMS**, the CA audit has to take place onsite except for documentation related nonconformities and closure shall be completed within mutually agreed time. Certificate transfer is not allowed till all open nonconformities are closed out as above. If open nonconformities are not closed as above, the organization can be treated as new client.		Lead Auditor
22	List the areas of concern identified in check points 1 to 21 and agree on a time frame for action and closure**(for AS only).**		Lead Auditor
23	Record details of action on the AOCs and their closure **(for AS only).**		Lead Auditor
24	Based on checkpoints 1 to 23 decide whether certificate transfer is 　(a) possible immediately or 　(b) possible after special audit for scope change/ surveillance audit/ 2 stage recertification audit/		Lead Auditor

	corrective action audit or (c) not possible. If answer to 24 is (a), transfer immediately. If answer to 24 is (c), client can be considered for fresh certification audit		
25	If answer in checkpoint 24 is (b), complete the planned audit and decide on certificate transfer. On completion of audits as required, if the results are satisfactory, issue certificate.		Lead Auditor
26	If it is decided that certificate transfer is not possible, convey the decision to client and propose fresh certification.		Contract
27	If the decision in checkpoint 24 is yes, issue an NVTQC certificate and obtain return of the existing certificate from the organization. Post this information in the NVTQC website.		Certification
28	**For AQMS** certificate, ensure withdrawal of the existing certificate from OASIS DATABASE and replace it by the NVTQC certificate. Ensure that all the certificates and/or reports connected to this transfer activity are uploaded to the **OASIS DATABASE** within 30 days of certificate issue. **(for AS only)**		Certification

Signature of Lead Auditor:

Signature of identified certification authority:

TO BE COMPLETED BY CERTIFICATION MANAGEMENT OFFICE				
1	The right name and address are printed on the draft certificate			
2	The correct version of the standard is used			
3	The right accreditation logo(s) appears(s) on the certificate			
4.	Are the issue date, renewal date and validity of certification on the certificate are correct.			
5.	Is the scope as per the FCR?			

6.	Certification agreement and feedback form received with signature on the agreement.			
7.	Whether organisation has cleared the invoices already sent			
8.	Issue certificate and verify that data entry by CMO, Planning & Contract matches.			

Certificate Signing Authority:

1	Prepare an audit plan for the remaining part of the validity period of the certificate. The plan should be based on the previous CB's agenda (checkpoint 14) unless NVTQC has conducted the recertification audit. **(for AS only)**		Planning