

# SBP

Sustainable Biomass Program

## SBP Framework Instruction Document 3G: SBP Certification Body Requirements for Certificate Transfer

[www.sbp-cert.org](http://www.sbp-cert.org)



## Version 1.0 December 2017

*For further information on the SBP Framework and to view the full set of documentation see*

[www.sbp-cert.org](http://www.sbp-cert.org)

### *Document history*

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# 1 General Requirements of the Transfer Process

A Certificate Holder may request to transfer their certificate to a new Certification Body. The following process shall be applied:

1.1 The Certificate Holder informs their current Certification Body that they are applying for a certificate transfer to a new Certification Body.

1.2 The Certificate Holder contacts the new Certification Body and completes the application process for that Certification Body.

1.3 The new Certification Body requests from the previous Certification Body that all relevant documentation about the Certificate Holder (including history of non-conformities) is made available, including all outcomes from an ASI surveillance assessment or spot audit regarding compliance of the Certificate Holder to certification requirements.

1.4 The Certificate Holder's previous Certification Body shall send a record of non-conformities to the new Certification Body within two (2) weeks of the request.

1.5 The new Certification Body shall confirm there are no pending major non-conformities.

1.6 The new Certification Body proposes a transfer date to the previous Certification Body and the Certificate Holder, on which all rights and obligations shall be transferred.

1.7 The new Certification Body shall inform SBP of all relevant information regarding the transfer, including transfer date.

1.8 The new Certification Body shall conduct a transfer audit within three (3) months of the agreed transfer date according to the requirements for a surveillance evaluation. The audit shall include a review of all pending non-conformities which were issued by the previous Certification Body.

**Note:** Certification Bodies will need to terminate / create Business Relationships in the DTS as appropriate.

## 2 Reasons a certificate cannot be transferred

An SBP certificate cannot be transferred under the following circumstances:

2.1 If the SBP certificate has been transferred previously within the five (5) year period of the certificate's validity, unless a full SBP evaluation audit is undertaken.

2.2 The SBP certificate is suspended.

2.3 All parties (new Certification Body, previous Certification Body, Certificate Holder) are unable to agree a transfer date.

2.4 There are outstanding major non-conformities against the Certificate Holder; these must be closed to the satisfaction of the previous Certification Body before the transfer process may continue.

2.5 All relevant documentation about the Certificate Holder (records, history of CARs) is not made available to the new Certification Body.

## 3 Status of the SBP certificate

3.1 The period of validity of an SBP certificate shall not exceed five (5) years. As such a transferred certificate shall retain the same expiry date as the previous certificate.

3.2 The scope of the transferred SBP certificate shall be retained. Where a Certificate Holder requests a change or extension in scope this shall be evaluated by the new Certification Body in line with the relevant requirements after the date of transfer.

3.3 All minor non-conformities that are applicable to the previous certificate shall remain applicable to the succeeding certificate, and shall be evaluated by the new Certification Body according to the defined timelines.

## 4 Updates to the SBP website and SBP Data Transfer System (DTS)

**The new Certification Body shall undertake the following activities:**

- a) Ten (10) working days before the transfer date, the new Certification Body shall submit to SBP an updated Certificate Holder Information form with the new Certificate Number for the transferred Certificate Holder and other updates as necessary.
- b) Within three (3) days from the date of transfer the new Certification Body shall send a copy of the new certificate to SBP.
- c) After the date of transfer the new Certification Body shall check the SBP website entry for correctness and completeness.

**SBP shall undertake the following activities:**

- a) On the date of transfer (or next available working day) the SBP website Certificate Information shall include the following changes, at minimum:
  - i. A change to the Certification Body.
  - ii. A change to the Certificate Number.
  - iii. A reference to the previous Certificate Number.
  - iv. A date of issue – which will be the agreed Transfer Date (to ensure that the five (5) year audit cycle is maintained).
- b) Within three (3) days from the date of the transfer the DTS system will be updated with the new SBP Certificate code.

## 5 Issuing a certificate to a former Certificate Holder after withdrawal or termination of the certificate

5.1 Where a Certification Body issues an SBP certificate to a new client at any time after the withdrawal or termination of the client's previous certificate with another Certification Body, and the main evaluation is conducted within twelve (12) months from the expiry or termination of the previous certificate, the new Certification Body shall consider any major or minor non-conformities which had not been closed at the time of withdrawal or termination.