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Ships and marine technology — Ship recycling management systems — Requirements for bodies providing audit and certification of ship recycling management

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National foreword

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**Ships and marine technology — Ship
recycling management systems —
Requirements for bodies providing audit
and certification of ship recycling
management**

*Navires et technologie maritime — Systèmes de management de
recyclage des navires — Exigences pour les organismes assurant
l'audit et la certification de management de recyclage des navires*



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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO 30003 was prepared by Technical Committee ISO/TC 8, *Ships and marine technology*.

This first edition of ISO 30003 cancels and replaces ISO/PAS 30003:2008.

Introduction

This International Standard is intended for use by bodies that carry out audit and certification of ship recycling management systems. Certification of ship recycling management systems is a third-party conformity assessment activity (see ISO/IEC 17000:2004, 2.4). A body performing this activity is therefore a third-party conformity assessment body; the term used in this International Standard is certification body (3.1). This wording should not be an obstacle to the use of this International Standard by bodies with other designations that undertake activities covered by the scope of this International Standard. Indeed, this International Standard should be usable by any body involved in the assessment of ship recycling management systems.

NOTE 1 Certification of a ship recycling management system is sometimes also called registration, and certification bodies are sometimes called registrars.

NOTE 2 A certification body can be non-governmental or governmental (with or without regulatory authority).

NOTE 3 This International Standard can be used as a criteria document for accreditation or peer assessment or other audit processes.

Certification of ship recycling management systems should be delivered by certification bodies who have demonstrated competence to do so. One means of demonstrating competence for the certification bodies and accreditation bodies is available from the International Accreditation Forum (IAF).

This International Standard defines the minimum requirements of a certification body and its associated auditors, recognizing the unique need for insight and knowledge when auditing and certifying a client organization.

Requirements for ship recycling management systems can originate from a number of sources, and this International Standard has been developed to assist in the certification of ship recycling management systems that fulfil the requirements of ISO 30000.

As such, this International Standard:

- provides harmonized guidance for the accreditation of certification bodies applying for ISO 30000 certification/registration;
- defines the rules applicable to the audit and certification of a ship recycling management system complying with the management system for safe and environmentally sound ship recycling facilities requirements (or other sets of specified ship recycling management systems requirements);
- provides the customers with the necessary information and confidence about the way certification of their waste and other material handling or service companies has been granted.

Certification of management systems for safe and environmentally sound ship recycling facilities of an organization is one means of providing assurance that the organization has implemented a system for ship recycling management in line with its policy.

This International Standard specifies requirements for certification bodies. Observance of these requirements is intended to ensure that certification bodies operate ship recycling management systems certification in a competent, consistent and reliable manner, thereby facilitating the recognition of such bodies and the acceptance of their certifications on a national and international basis. This International Standard should serve as a foundation for facilitating the recognition of ship recycling management systems certification in the interests of the international community.

Certification of a ship recycling management system provides independent verification that the ship recycling management system of the organization:

- a) conforms to specified requirements;
- b) is capable of consistently achieving its stated policy and objectives;
- c) is effectively implemented.

Certification of a ship recycling management system thereby provides value to the organization, its customers and interested parties.

This International Standard aims to provide the basis for recognition of the competence of certification bodies in their provision of ship recycling management system certification. This International Standard can be used as the basis for recognition of the competence of certification bodies in their provision of ship recycling management system certification (such recognition may be in the form of notification, peer assessment, or direct recognition by regulatory authorities or industry consortia).

Certification activities involve the audit of an organization's ship recycling management system. The form of attestation of conformity of an organization's ship recycling management system to a specific standard (for example ISO 30000) or other specified requirements is normally a certification document or a certificate.

It is for the organization being certified to develop its own ship recycling management systems (including ISO 30000 ship recycling management system, other sets of specified management system requirements, quality systems, environmental management systems or occupational health and safety management systems) and, other than where relevant legislative requirements specify the contrary, it is for the organization to decide how the various components of these shall be arranged. The degree of integration between the various ship recycling management systems components will vary from organization to organization. It is therefore appropriate for certification bodies that operate in accordance with this International Standard to take into account the culture and practices of their clients in respect of the integration of their ship recycling management system within the wider organization.

Ships and marine technology — Ship recycling management systems — Requirements for bodies providing audit and certification of ship recycling management

1 Scope

This International Standard contains principles and requirements for bodies providing the audit and certification of ship recycling management systems according to management system standards and standards such as ISO 30000.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 17000, *Conformity assessment — Vocabulary and general principles*

ISO 19011, *Guidelines for quality and/or environmental management systems auditing*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17000 and the following apply.

3.1

certification body

third-party conformity assessment body

NOTE See ISO/IEC 17000:2004, 2.5.

3.2

certified client

organization whose ship recycling management system has been certified/registered by a qualified third party

3.3

management system consultancy and/or associated process and operation assessment

participation in designing, implementing or maintaining a ship recycling management system and in conducting process and operation assessments including:

- a) preparing or producing manuals or procedures;
- b) giving specific advice, instructions or solutions towards the development and implementation of a ship recycling management system;

- c) conducting internal audits;
- d) conducting process and operation assessment and analysis

NOTE Arranging training and participating as a trainer is not considered consultancy provided that, where the course relates to ship recycling management systems or auditing, the course is confined to the provision of generic information that is freely available in the public domain, i.e. the trainer does not provide company-specific solutions.

3.4 multiple-site organization

organization that provides ship recycling services or directly related services (e.g. pre-cleaning, removal of certain materials or wastes, preparation of ship for later dismantling and recycling) from more than one location

4 Principles for certification bodies

4.1 General

4.1.1 The principles given in this clause are the basis for the subsequent specific performance and descriptive requirements in this International Standard. It does not give specific requirements for all situations that can occur. These principles should be applied as guidance for the decisions that might need to be made for unanticipated situations.

4.1.2 The overall aim of certification is to give confidence to all parties that a ship recycling management system, process or service fulfils specified requirements. The value of certification is the degree of public confidence and trust that is established in a management system, process or service after it has been impartially and competently assessed by a third party. Parties that have an interest in certification include, but are not limited to:

- a) the clients of the certification bodies;
- b) the customers of the organizations whose management systems are certified;
- c) governmental authorities;
- d) non-governmental organizations;
- e) waste and other material handling or service companies and other members of the public.

4.1.3 Principles for inspiring confidence include:

- a) impartiality;
- b) competence;
- c) responsibility;
- d) openness;
- e) confidentiality;
- f) resolution of complaints.

4.2 Impartiality

4.2.1 Being impartial, and being perceived to be impartial, is necessary for a certification body to deliver certification that provides confidence.

4.2.2 It is recognized that the source of revenue for a certification body is its client paying for certification, and that this is a potential threat to impartiality.

4.2.3 To obtain and maintain confidence, a certification body has to be able to demonstrate that its decisions are based on objective evidence of conformity (or nonconformity) obtained by the certification body, and that its decisions are not influenced by other interests or by other parties.

4.2.4 Threats to impartiality include:

- a) Self-interest threats — threats that arise from a person or body acting in their own interest. A concern related to certification, as a threat to impartiality, is financial self-interest.
- b) Self-review threats — threats that arise from a person or body reviewing the work done by themselves. Auditing the ship recycling management systems of a client to whom the certification body provided ship recycling management systems consultancy would be a self-review threat and is therefore not acceptable.
- c) Familiarity (or trust) threats — threats that arise from a person or body being too familiar or trusting of another person instead of seeking audit evidence is a familiarity threat to impartiality.
- d) Intimidation threats — threats that arise from a person or body having a perception of being coerced openly or secretly, such as a threat to be replaced or reported to a supervisor.

4.3 Competence

Competence of the personnel supported by the organizational infrastructure is necessary for the certification body to deliver certification that provides confidence. Competence is the demonstrated ability to apply appropriate knowledge and skills effectively. Such competence may be demonstrated by suitable registration with such bodies as the International Accreditation Forum (IAF).

4.4 Responsibility

4.4.1 The client organization, not the certification body, has the responsibility for conformity with the requirements for certification.

4.4.2 The certification body has the responsibility to assess sufficient objective evidence upon which to base a recommendation for certification. Based on audit recommendations it makes a decision to grant certification if there is sufficient evidence of conformity, or not to grant certification if there is not sufficient evidence of conformity.

Audit evidence shall be verifiable. It is based on samples of the information available, since an audit is conducted during a finite period of time and with finite resources. The appropriate use of sampling is closely related to the confidence that can be placed in the audit conclusions.

4.5 Openness

4.5.1 Openness is access to or disclosure of information. Therefore, a certification body shall provide public access to or disclosure of appropriate and timely information about the audit process and certification process, and about the certification status (i.e. the granting, suspending, reducing the scope of, or withdrawing of certification) of any organization, in order to gain confidence in the integrity and credibility of certification.

4.5.2 To gain or maintain confidence in certification, a certification body shall provide appropriate access to or disclosure of non-confidential information about the conclusions of specific audits (e.g. audits in response to complaints) to specific interested parties.

4.6 Confidentiality

To gain the privileged access to information that is needed for the certification body to assess conformity to requirements for certification adequately, a certification body shall keep confidential any sensitive, proprietary- or vulnerability-related information about an organization's ship recycling management system.

4.7 Resolution of complaints

Parties that rely on certification expect to have complaints investigated and, if these are found to be valid, should be confident that the complaints will be appropriately addressed and a reasonable effort will be made to resolve the complaints.

NOTE An appropriate balance between the principles of openness and confidentiality, including resolution of complaints, is necessary in order to demonstrate integrity and credibility to all users of certifications.

5 General requirements

5.1 Legal and contractual matters

5.1.1 Legal responsibility

The certification body shall be a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all its certification activities. A governmental certification body is deemed to be a legal entity on the basis of its governmental status.

5.1.2 Certification agreement

The certification body shall have a legally enforceable agreement for the provision of certification activities to its client organizations. In addition, where there are multiple offices of certification bodies or multiple sites of a certified client, the certification body shall ensure there is a legally enforceable agreement between the certification body granting certification and issuing a certificate, and the certified client, explicitly covering each certified site of the client. The agreement shall clearly define to which standard(s) or other normative documents the certification shall conform.

5.1.3 Responsibility for certification decisions

The certification body shall retain authority and shall be responsible for its decisions relating to certification, including the granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification.

5.2 Management of impartiality

5.2.1 The certification body shall have top-management commitment to impartiality in ship recycling management system certification activities. The certification body shall have a publicly available statement that it understands the importance of impartiality in carrying out its ship recycling management system certification activities, manages conflicts of interest and ensures objectivity of its ship recycling management system certification activities.

5.2.2 The certification body shall identify, analyse and document the possibilities for conflict of interests arising from the provision of certification including any conflicts arising from its relationships. Having relationships does not necessarily present a certification body with a conflict of interest. However, if any relationship creates processes and operations that threaten impartiality, the certification body shall document how it eliminates or minimizes such processes and operations and shall be able to demonstrate this to the committee specified in 6.2. The demonstration shall cover all potential sources of conflict of interests that are identified, whether they arise from within the certification body or from the activities of other persons, bodies or organizations.

NOTE A relationship that threatens the impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing, and payment of a sales commission or other inducement for the referral of new clients, etc.

5.2.3 When a relationship gives rise to a threat to impartiality that cannot be eliminated or minimized, such as a wholly owned subsidiary of the certification body requesting certification from its parent, then certification shall not be provided.

5.2.4 A certification body shall not certify another certification body for its ship recycling management system certification activities.

NOTE A relationship that threatens the impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing, and payment of a sales commission or other inducement for the referral of new clients, etc.

5.2.5 The certification body and any part of the same legal entity shall not offer or provide ship recycling management system consultancy and/or associated process and operation assessments. This also applies to that part of government identified as the certification body.

5.2.6 The certification body and any part of the same legal entity shall not offer or provide internal audits to its certified clients. This also applies to that part of government identified as the certification body.

NOTE Internal audits in which auditors suggest solutions (to identified nonconformities or opportunities for improvement) are considered an unacceptable threat to impartiality.

5.2.7 The certification body shall not certify a ship recycling management system on which a client has received ship recycling management system consultancy and/or associated process and operation assessments or internal audits where the relationship between the consultancy organization and the certification body poses an unacceptable threat to the impartiality of the certification body.

NOTE 1 Allowing a minimum period of two years to elapse following the end of the ship recycling management system consultancy and/or associated process and operation assessments or internal audits is one way of reducing the threat to impartiality to an acceptable level.

NOTE 2 Internal audits in which auditors suggest solutions (to identified nonconformities or opportunities for improvement) are considered an unacceptable threat to impartiality.

5.2.8 The certification body shall not outsource audits to organizations that pose an unacceptable threat to the impartiality of the certification body (see 7.2).

5.2.9 The certification body's activities shall not be marketed as linked with the activities of an organization that provides ship recycling management system consultancy and/or associated process and operation assessments. The certification body shall take action to correct inappropriate claims by any consultancy organization stating or implying that certification would be simpler, easier, faster or less expensive if the certification body were used. A certification body shall not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization were used.

5.2.10 To ensure that there is no conflict of interests, personnel who have provided ship recycling management system consultancy and/or associated process and operation assessments to the client, including those acting in a managerial capacity, shall not be employed to take part in an audit or in certification activities within two years following the end of the consultancy.

5.2.11 The certification body shall take action to respond to any threats to its impartiality arising from the actions of other persons, bodies or organizations.

5.2.12 All certification body personnel, either internal or external, or committees, who could influence the certification activities, shall act impartially and shall not allow commercial, financial or other pressures to compromise impartiality.

5.2.13 Certification bodies shall require personnel, internal and external, to reveal any situation known to them that may present them or the certification body with a conflict of interests. Certification bodies shall use this information as input to identifying threats to impartiality raised by the activities of such personnel or by the organizations that employ them and shall not use such personnel, internal or external, unless they can demonstrate that there is no conflict of interests.

NOTE The fact that the organization employing the auditor is known to have provided ship recycling management system consultancy and/or associated process and operation assessments on the ship recycling management system, within two years following the end of the consultancy, is likely to be considered as a high threat to impartiality.

5.3 Liability and financing

5.3.1 The certification body shall be able to demonstrate that it has evaluated the processes and operations arising from its certification activities and that it has arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations in each of its fields of activity and the geographical areas in which it operates.

5.3.2 The certification body shall evaluate its finances and sources of income and demonstrate to the committee specified in 6.2 that initially, and on an ongoing basis, commercial, financial or other pressures do not compromise its impartiality.

6 Structural requirements

6.1 Organizational structure and top management

6.1.1 The structure of the certification body shall be such as to give confidence in its certification.

6.1.2 The certification body shall identify the top management (board, group of persons, or person) having overall authority and responsibility for each of the following:

- a) development of policies relating to the operation of the body;
- b) supervision of the implementation of the policies and procedures;
- c) supervision of the finances of the body;
- d) performance of audits, certification and resolution of complaints;
- e) decisions on certification;
- f) delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf;
- g) contractual arrangements;
- h) providing adequate, qualified resources for certification activities.

6.1.3 The certification body shall document the organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees. When the certification body is a defined part of a legal entity, the structure shall include the line of authority and the relationship to other parts within the same legal entity.

6.1.4 The certification body shall have formal rules for the appointment, terms of reference and operation of any committees that are involved in the certification activities.

6.2 Committee for safeguarding impartiality

6.2.1 The structure of the certification body shall safeguard the impartiality of the activities of the certification body and shall provide for a committee:

- a) to assist in developing the policies relating to impartiality of its certification activities;
- b) to counteract any tendency on the part of the owners of a certification body to allow commercial or other considerations to prevent the consistent objective provision of certification activities;
- c) to advise on matters affecting confidence in certification, including openness and public perception.

Other tasks or duties may be assigned to the committee. However, such additional tasks or duties should not compromise its essential role of ensuring impartiality.

6.2.2 The composition, terms of reference, duties, authorities, competence of members and responsibilities of this committee shall be formally documented and authorized by the top management of the certification body to ensure:

- a) representation of a balance of interests such that no single interest predominates (internal or external employees of the certification body are considered to be a single interest and should not predominate);
- b) access to all the information necessary to enable it to fulfil its functions (see also 5.2.2 and 5.3.2);
- c) that if the top management of the certification body does not respect the advice of this committee, the committee shall have the right to take independent action (e.g. informing authorities, accreditation bodies, stakeholders). In taking independent action, committees shall respect the confidentiality requirements of 8.5 relating to the client and certification body.

Although this committee cannot represent every interest, a certification body should identify and invite key interests. Such interests can include: clients of the certification body, customers of organizations whose ship recycling management systems are certified, representatives of industry trade associations, representatives of governmental regulatory bodies or other governmental services, or representatives of non-governmental organizations, including waste and other material handling or service companies/organizations.

7 Resource requirements

7.1 Competence of management and personnel

7.1.1 The certification body shall ensure all personnel involved in the audit and certification of ship recycling facilities and other material handling or service companies are competent for the roles they carry out.

It shall have processes to ensure that personnel have appropriate knowledge, skills and experience relevant to types of ship recycling management systems and geographical areas in which it operates.

It shall determine for each technical area (as relevant for the specific certification scheme), and for each function in the certification activity, the qualifications and competence required.

It shall determine the means for the demonstration of competence prior to carrying out specific functions. Records of the determination shall be maintained.

7.1.2 In determining the competence requirements for its personnel performing certification, the certification body shall address the functions undertaken by management and administrative personnel in addition to those directly performing audit and certification activities.

7.1.3 The certification body shall be able to document extensive experience in assessing the design, construction and surveying of merchant ships and of shipyard, repair yard, recycling facility operations or comparable activities.

7.1.4 The certification body should have comprehensive procedures for auditing ship recycling facility management systems, published and continually upgraded through research and development programmes.

7.1.5 The certification body shall publish an annual register of the facilities it has certified.

7.1.6 Certification bodies should consult with each other periodically with a view to maintaining equivalence of their standards and the implementation thereof.

7.2 Personnel involved in the certification activities

7.2.1 The certification body shall have as part of its own organization, personnel having sufficient competence for managing the type and range of audit programmes and other certification work performed. Certification shall only be carried out by personnel exclusively employed by the certification body.

7.2.2 The certification body shall ensure that personnel assigned to perform ship recycling certification audits, as far as these have contact with confidential information, can be trusted to maintain confidential information obtained during verification work and that they do not create a ship recycling breach.

7.2.3 Personnel assigned to perform ship recycling management system audits shall have, as a minimum, personal attributes, knowledge, skills and education as described in ISO 19011:2002, 7.2, 7.3.1, 7.3.2 and 7.4, relevant to ship recycling management and processes and operations analysis.

7.2.3.1 Auditor competence should be demonstrated by relevant registration with an international accreditation body (e.g. IAF).

7.2.3.2 The ship recycling management auditor shall have competencies in processes and operations analysis, analysis of critical control points, process and operation management methodologies, and information confidentiality. This includes, but is not limited to, the following.

- a) Understanding the requirement of the ship recycling management standard or other management standard (e.g. ISO 30000):
 - understanding of environmental management systems (e.g. ISO 14001);
 - understanding the requirements of the International Maritime Organization International Convention for Safe and Environmentally Sound Recycling of Ships [“Hong Kong Convention”, Res. MEPC. 179(54)].
- b) Understanding of waste and hazardous substances handling, transport or service companies process flow, including analysis of critical control points, knowledge of relevant processes and practices within waste stream management and other material handling, transport or service companies.
- c) Process and operation assessment and analysis — understanding the principles of process and operation assessment and analysis.
- d) Processes and operations minimization, mitigation and control:
 - understanding the principles of processes and operations minimization, mitigation and management;
 - knowledge of ship recycling methodologies and technologies, especially preventative measures and techniques.
- e) Accident, incident and pollution planning and preparedness:
 - knowledge of the role of government and first responders;
 - knowledge of relevant communications protocols;
 - knowledge of relevant mitigation, response and recovery.

7.2.3.3 Each ship recycling management system auditor shall also have successfully completed training (see, for example, Annex C) and be able to demonstrate competence in the understanding and application of ship recycling methodologies and processes and operations analysis and management principles and should be a certified management system auditor.

7.2.3.4 Each ship recycling management system auditor shall undertake appropriate continual training according to their specific qualification requirements. Certification bodies shall annually review a targeted training plan for their auditors on ship recycling methodologies, processes and operations analysis and

management principles, analysis of critical control points, audit techniques, and in particular on the competence items listed in 7.2.3.2 a) to e). This training shall

- a) be planned as the result of an analysis of needs on the subjects and competence items given above,
- b) be recorded,
- c) include audit case studies allowing an auditor's competence to be evaluated,
- d) be supported by information such as interpretation of the application of applicable management system standards, FAQs, workshop records, standard correction on case studies and this should be available to the auditor,
- e) be evaluated according to training requirements, and certification bodies shall take appropriate action on the basis of the training result, and
- f) be performed by qualified trainers.

7.2.3.5 The ship recycling management system auditor shall have a minimum of two years experience relevant to processes and operations analysis and management, or auditing against best industry practices and standards. The auditor shall have qualifications from a tertiary institution recognized by the certification body within a relevant field of engineering, physical science or environmental practices.

7.2.3.6 A person with the status of lead auditor for ship recycling management systems shall perform a minimum number of relevant audits, carried out with a minimum of five on-site audit days per year to maintain his/her qualification. For auditor competence, this may include ISO 9001 and ISO 14001 audits, and for relevance to recycling facilities, shipyard and repair facility audits or similar may be accepted.

7.2.3.7 The certification body shall be able to demonstrate that every auditor has appropriate training and experience for the particular categories for which they are considered competent. Competence shall be recorded [see ISO 19011:2002, 5.5 c)].

7.2.4 The certification body shall employ or have access to a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed.

7.2.5 The certification body shall make clear to each person concerned their duties, responsibilities and authorities.

7.2.6 The certification body shall have defined processes for selecting, training, formally authorizing and monitoring auditors and for selecting technical experts used in the certification activity. The initial competence evaluation of an auditor shall include observing an on-site audit undertaken by the person being evaluated.

7.2.7 The certification body shall have a process to achieve and demonstrate effective auditing, including the use of auditors and audit team leaders possessing generic auditing skills and knowledge as well as skills and knowledge appropriate for auditing in specific technical areas. This process shall be based on the guidance provided in ISO 19011, transformed into appropriate documented requirements (see Annex C and ISO 19011:2002, Clause 7).

7.2.8 Ship recycling management system auditors shall have knowledge and experience of ship recycling applicable to the waste and other material handling or service companies and the industrial and business sectors they audit.

7.2.9 Ship recycling management system auditors shall have, or undertake training to acquire and demonstrate, the competences described in Annex D.

7.2.10 Competence shall be verified by written examinations. The examination pass mark should be set so that only those candidates that demonstrate a comprehensive understanding of the content of the modules and have achieved the objective of the course will be allowed to pass.

7.2.11 The certification body shall ensure that auditors are familiar with certification activities, certification requirements, audit methodology and other relevant requirements. The certification body shall give auditors access to an up-to-date set of documented procedures giving audit instructions and all relevant information on the certification activities.

7.2.12 The certification body shall use auditors and technical experts only for those certification activities where they have demonstrated competence.

NOTE Assignment of auditors to teams for specific audits is addressed in Clause 9.

7.2.13 The certification body shall identify training needs and shall offer or provide access to specific training to make its auditors, technical experts, and other persons involved in the certification activities, knowledgeable of certification requirements and processes.

7.2.14 The group of auditors or individual auditors that takes the decision on granting, maintaining, renewing, extending, reducing, suspending or withdrawing certification shall have knowledge and experience sufficient to evaluate the audit processes and related recommendations of the audit team.

7.2.15 The certification body shall ensure the satisfactory performance of all personnel involved in the audit and certification activities. There shall be documented procedures and criteria for monitoring and measuring the performance of all persons involved based on the frequency of their usage and the level of processes and operations linked to their activities. In particular, the certification body shall review the competence of its personnel in the light of their performance in order to identify training needs.

7.2.16 The documented procedures shall include a combination of on-site observation, review of audit reports and feedback from clients or from the market and shall be based on the guidance provided in ISO 19011, transformed into appropriate documented requirements. This shall be designed in such a way as to minimize the disturbance of the normal processes of certification, especially from the client's viewpoint.

7.2.17 The certification body shall periodically observe the performance of each auditor on-site. The frequency of on-site observations shall be based on need, determined from all monitoring information available.

7.3 Personnel records

The certification body shall maintain up to date records of relevant qualifications, training, experience, affiliations, professional status and competence of each person involved in the certification activity. These records shall be archived for at least five years.

The procedure shall include the process that the audit body will implement for ship recycling auditors who default. These should include implementing the organization's disciplinary procedure, including suspending auditors while investigations are carried out. Records shall be retained for periods that certification bodies deem and justify to be appropriate. National, international and other legal requirements should be taken into account when determining record retention periods.

8 Information requirements

8.1 Publicly accessible information

8.1.1 The certification body shall maintain and provide, upon request, information about the activities and geographical areas in which it operates.

8.1.2 Information provided by the certification body to any client or to the marketplace, including advertising, shall be accurate and not misleading.

8.1.3 The certification body shall make information about certifications granted, suspended or withdrawn publicly accessible.

8.1.4 Upon request from any party, the certification body shall provide the means to confirm the validity of a given certificate.

8.1.5 If the total information is split between several sources (e.g. in printed or electronic form or a combination of both), a system ensuring traceability and absence of ambiguity between the sources should be implemented (e.g. unique numbering system, or hyperlinks on the Internet).

8.2 Certification documents

8.2.1 The certification body shall provide by any means it chooses (see 8.1.5) certification documents to the certified client.

8.2.2 The effective date on a certification document shall not be earlier than the date of the certification decision.

8.2.3 The certification document(s) shall identify:

- a) the name and identifiable physical location(s) of each site of the client organization whose ship recycling management system is certified;
- b) the dates of granting, extending or renewing certification;
- c) the expiry date consistent with the recertification cycle;
- d) the standard(s) and/or other normative document including issue and/or revision used for assessment of the certified client;
- e) the scope of certification applicable to activities undertaken within the client's ship recycling management system including service, process, abilities on the handling and management of specific materials, etc., as applicable at each site;
- f) clear identification of the hazardous materials the recycling facility is able to manage;
- g) the name and/or certification mark of the certification body [if the certification body is entitled to do so, other marks (e.g. accreditation symbol) may be used, however, the certification body, as the issuing authority for the certificate, should ensure that the meaning of the mark(s) is not misleading or ambiguous];
- h) any other information required by the standard used for certification.

8.3 Directory of certified clients

The certification body shall maintain and make available to the public, by any means it chooses, a directory of valid certificates that, as a minimum, shall show the name, relevant normative document, scope of the activities and organizational elements, geographical location (city/town and country) for each certified client.

NOTE The directory remains the sole property of the certification body.

8.4 Reference to certification and use of marks

8.4.1 A certification body shall have a policy governing any mark that it authorizes certified clients to use. This shall assure, among other things, traceability back to the certification body. There shall be no ambiguity, in the mark or accompanying text, as to what has been certified and which certification body has granted the certification. This mark shall not be used on a service or service packaging seen by the waste and other material handling or service companies or in any other way that may be interpreted as denoting service conformity.

NOTE ISO/IEC 17030 provides guidance for use of third-party marks.

8.4.2 A certification body shall not permit its marks to be applied to laboratory test, calibration or inspection reports, as such reports are deemed to be products in this context.

8.4.3 The certification body shall require that, within a reasonable time frame, the client organization

- a) conforms to the requirements of the certification body when making reference to its certification status in communication media such as the internet, documents, brochures or advertising,
- b) does not make or permit any misleading statement regarding its certification,
- c) does not use or permit the use of a certification document or any part thereof in a misleading manner,
- d) discontinues its use of all advertising matter that contains a reference to certification upon suspension or withdrawal of its certification, as directed by the certification body (see 9.6.3 and 9.6.6),
- e) amends all advertising matter when the scope of certification has been reduced,
- f) does not allow reference to its ship recycling management system certification to be used to imply that the certification body certifies any waste and other material handling or service companies or any element of a waste and other material handling or service companies,
- g) does not imply that the certification applies to activities that are outside the scope of certification, and
- h) does not use its certification in such a manner that would bring the certification body and/or certification system into disrepute and lose public trust.

8.4.4 The certification body shall exercise proper control of ownership and take action to identify and deal with incorrect references to certification status or misleading use of certification marks or audit reports.

NOTE Such action could include request for corrective action, withdrawal of certification, publication of the transgression and, if necessary, legal action.

8.5 Confidentiality

8.5.1 The certification body shall, through legally enforceable agreements, have a policy and arrangements to safeguard the confidentiality of the information obtained, created during the performance of certification activities at all levels of its structure, including committees and external bodies or individuals acting on its behalf.

8.5.2 The certification body shall inform the client, in advance, of the information (as defined in 4.5.1 and 8.3) it intends to place in the public domain. All other information, except for information that is made publicly available by the client, shall be considered confidential.

8.5.3 Except as required in this International Standard, information about a particular client or individual shall not be disclosed to a third party without the written consent of the client/individual concerned. Where the certification body is required by law or statutory bodies to release confidential information to a third party, the client or individual concerned shall, unless regulated by law or required by statutory bodies, be notified in advance of the information provided.

8.5.4 Information about the client from sources other than the client (e.g. complainant, regulators), shall be treated as confidential, consistent with the certification body's policy.

8.5.5 Personnel, including any committee members, personnel of external bodies or individuals acting on the certification body's behalf, shall keep confidential all information obtained or created during the performance of the certification body's activities.

8.5.6 The certification body shall have available and use equipment/facilities that ensure the secure handling of confidential information (e.g. documents, records).

8.5.7 When confidential information is made available to other bodies (e.g. accreditation body), the certification body shall inform pertinent regulatory bodies and its client of this action.

8.6 Information exchange between a certification body and its clients

8.6.1 Information on the certification activity and requirements

The certification body shall provide and update clients on the following:

- a) a detailed description of the initial and continuing certification activity, including the application, initial audits, surveillance audits, and the process for granting, maintaining, reducing, extending, suspending or withdrawing certification and recertification;
- b) the normative requirements for certification;
- c) information about the fees for application, initial certification and continuing certification;
- d) the certification body's requirements for the prospective client
 - 1) to comply with certification requirements,
 - 2) to make all necessary arrangements for the conduct of the audits, including provision for examining documentation and the access to all processes and areas, records and personnel for the purposes of initial certification, surveillance, recertification and resolution of complaints, and
 - 3) to make provisions, where applicable, to accommodate the presence of observers (e.g. accreditation auditors);
- e) documents describing the rights and duties of certified clients, including requirements, when making reference to its certification in communications of any kind, in line with the requirements in 8.4;
- f) information on procedures for handling complaints and appeals.

8.6.2 Notice of changes by a certification body

The certification body shall give its certified clients due notice of any changes to its requirements for certification. The certification body shall verify that each certified client complies with the new requirements.

NOTE Contractual arrangements with certified clients might be necessary to ensure implementation of this subclause.

8.6.3 Notice of changes by a client

The certification body shall have legally enforceable arrangements to ensure that the certified client informs the certification body, without delay, of matters that can affect the capability of the ship recycling management system to continue to fulfil the requirements of the standard used for certification, for example changes relating to:

- a) legal, commercial, organizational status or ownership;
- b) organization and management, e.g. key managerial decision making, identified risks related to the organization's processes, or technical staff;
- c) contact address and sites;
- d) scope of operations under the certified ship recycling management system;
- e) major changes to the ship recycling management system and processes.

8.6.4 Information about the ship recycling management system

The certification body shall have procedures in place that ensure a secure exchange of information regarding the functioning of the client's ship recycling management system between the certification body, its client and other parties who are allowed access to the information. The certification body shall ensure that clients and these other parties are timely informed about these procedures.

9 Process requirements

9.1 General requirements applicable to any audit

9.1.1 The process of auditing shall include at least a two-stage initial audit, surveillance audits, and a recertification audit. The determination of the audit programme and any subsequent adjustments shall consider the size of the client, the scope and complexity of its ship recycling management system and processes, as well as demonstrated levels of ship recycling management system effectiveness and the results of any previous audits.

9.1.2 The certification body shall ensure that an audit plan, based on the guidance provided in ISO 19011, is transformed into appropriate documented requirements for preparing the audit. It is established for each audit to provide the basis for agreement regarding the conduct and scheduling of the audit activities.

9.1.3 The certification body shall have a process for selecting and appointing the audit team, including the audit team leader, taking into account the competence needed to achieve the objectives of the audit. This process shall be based on the guidance provided in ISO 19011, transformed into appropriate documented requirements.

9.1.4 The certification body shall have formal rules and/or contractual conditions to ensure that each team member acts in an impartial manner. Each team member shall inform the certification body, prior to accepting assignment of the audit, about any known existing, former or envisaged link to the organization to be audited.

9.1.5 The certification body shall determine, in accordance with documented procedures, the auditor time needed to accomplish a complete and effective audit of the client's ship recycling management system at the locations included in the scope of certification, as shown in Annex A.

9.1.6 Ship recycling practices and operations are unique to each operational site; therefore all operational sites included in an organization's scope of certification/registration shall be subject to audit. The organization shall implement operational controls for each site accordingly. All operational sites shall be subject to certification/registration body audits and other non-operational sites shall be evaluated and audited commensurately. This includes downstream waste management sites, facilities or organizations such as transporters, recyclers, re-users, landfill facilities and other disposers.

The auditor time determined by the certification body for each site/location, and the justification for the determination, shall be based on the requirements in Annexes A and B and shall be recorded. In determining the auditor time, the certification body should consider, among other things, the following aspects:

- a) the requirements of the relevant ship recycling management system standard;
 - b) complexity;
 - c) operations and related materials;
 - d) size;
 - e) processes and operations and related precautions, including protective measures and structural arrangements;
 - f) technological and regulatory context;
 - g) number of sites and multiple site considerations;
- NOTE Requirements for organizations that operate multiple sites are described in Annex B.
- h) downstream waste management complexity.

The auditor man-days shall be based on the values given in Tables A.1 and A.2. Although Annex A is informative, the man-days for the audit of a waste and other material handling or service companies operating company are unlikely to be less than those given in Annex A.

9.1.7 Sampling of auditing and certification is not appropriate for organizations that operate multiple operational sites, even where the activities are substantially the same. Each site of the organization, and each downstream waste management organization, including transporters, recyclers, re-users and disposers, shall be audited if related processes are carried out, or are likely to be carried out there. The auditor shall check records of previous downstream waste management and ensure such sites are represented in the plan and auditing.

9.1.8 In the event of the preparation of the audit plan being assigned to someone other than the audit team leader, the audit team leader shall review and approve the plan.

9.1.9 The tasks given to the audit team shall be clearly defined and made known to the client organization, and shall require the audit team to:

- a) examine and verify the structure, policies, processes, procedures and related documents (records) of the client organization relevant to the ship recycling management system;
- b) determine that these meet all the requirements relevant to the intended scope of certification;
- c) determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the ship recycling management system of the client organization;
- d) identify to the client organization, for its action, any inconsistencies between their policy, objectives and targets, and results.

9.1.10 The certification body shall provide the name and, when requested, make available background information on each member of the audit team, with sufficient time for the client organization to object to the appointment of any particular auditor or technical expert and for the certification body to reconstitute the team in response to any valid objection.

9.1.11 The audit plan shall be communicated and the dates of the audit shall be agreed upon, in advance, with the client organization.

9.1.12 The certification body shall have a process for conducting on-site audits based on the guidance provided in ISO 19011, transformed into an appropriate documented procedure.

NOTE In addition to visiting physical locations (e.g. storage and separation sites), “on-site” can include remote access to electronic sites that contains information that is relevant to the assessment of the ship recycling management system.

9.2 Initial audit and certification

9.2.1 Application

The certification body shall require an authorized representative of the applicant organization to provide the necessary information to enable it to establish

- a) the desired scope of the certification,
- b) the general features of the applicant organization, including its name and the address(es) of its physical location(s), significant aspects of its process and operations, including the identification of related risks, and any relevant legal obligations,
- c) general information relevant for the field of certification applied for concerning the applicant organization—such as its activities, human and technical resources, functions, and relationship in a larger corporation, if any,
- d) the standards or other requirements for which the applicant organization is seeking certification, and

- e) information concerning the use of consultancy relating to the ship recycling management system.

9.2.2 Application review

9.2.2.1 Before proceeding with the audit, the certification body shall conduct a review of the application and supplementary information for certification to ensure that

- a) the information about the applicant organization and its ship recycling management system is sufficient for the conduct of the audit,
- b) the requirements for certification are clearly defined, documented and have been provided to the applicant organization,
- c) any known difference in understanding between the certification body and the applicant organization is resolved,
- d) the certification body has the competence and ability to perform the certification activity,
- e) the scope of certification sought, location and number of the applicant organization's operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety and environmental conditions, threats to impartiality, etc.),
- f) the hazardous materials which are to be managed are clearly identified, and
- g) records of the justification for the decision to undertake the audit shall be maintained.

9.2.2.2 Based on this review, the certification body shall determine the competences it needs to include in its audit team and for the certification decision (see 7.2.7).

9.2.2.3 Where a certification body is taking account of certification or other audits already granted to the applicant organization, it shall collect sufficient, verifiable information to justify and record any adjustments to the audit programme.

9.2.2.4 After having conducted the application review, the certification body shall notify the applicant as to whether it is accepting or not accepting the application. The reasons for non-acceptance shall be conveyed to the applicant.

9.2.2.5 Before commencing the audit, an agreement (see 5.1.2) shall be established between the certification body and the applicant organization which:

- a) defines the scope of work to be undertaken, including the intended scope of certification, hazardous materials of concern and site details;
- b) requires the applicant organization to supply any information needed for its intended certification;
- c) requires the applicant organization to comply with the requirements for certification.

9.2.2.6 The certification body shall, in response to an application for extension of the scope of a certification already granted, undertake a feasibility review and audit activities necessary to determine whether or not the extension may be granted.

9.2.2.7 The audit team shall be appointed (see 9.1.3) and composed of auditors who satisfy the requirements given in 7.2 and, between them, have the totality of the competences identified by the certification body, as specified in 9.2.2.2, for the certification of the applicant organization. The selection of the team shall be performed with reference to the designations of competence of auditors given in 7.2.5, and may include use of both internal and external human resources.

9.2.2.8 The individual(s) who will be conducting the certification decision shall be appointed to ensure appropriate competence is available (see 7.2.9).

9.2.2.9 The audit team needs a background which ensures that the members understand the requirements relating to the system they are auditing. Each audit team shall have a general understanding and background in each technological and industrial sector in which it operates. It shall be able to determine whether or not a particular ship recycling management system standard adequately complies with the requirements of the standard.

9.2.2.10 The above requires that the audit team, deployed in each case by a certification body to conduct an audit of an organization's ship recycling management system standard, know what elements, general to the processes and procedures, are essential to the waste and other material handling or service companies in question. The audit team shall have the necessary competence, including sector or regulatory credentials, to determine whether the system covers these essential elements in a manner that gives adequate confidence that the system can be assured to meet specified requirements.

9.2.2.11 In certain instances, particularly where there are critical requirements and special procedures, the background knowledge of the audit team may be supplemented by briefing, specific training or experts in attendance. The certification body may attach non-auditor experts to their audit teams. If a certification body does use technical experts, its management control systems shall provide for it and for keeping competence up to date. The documentation shall include details of how technical experts are selected and how their competence is assured. The certification body may rely on outside help, for example, from industry, administrations or professional institutions.

The certification body shall ensure that personnel provided to perform this subclause are bound by the same requirements as auditors for confidentiality and impartiality.

9.2.3 Initial certification audit

The initial certification audit of a ship recycling management system shall be conducted in two stages: stage 1 and stage 2.

9.2.3.1 Stage 1 audits

9.2.3.1.1 Stage 1 audits shall have an audit plan that addresses the points defined in 9.1.2 and 9.2.3.1.2.

9.2.3.1.2 The audit team shall perform the stage 1 audit of a client organization's ship recycling management system on-site.

9.2.3.1.3 The stage 1 audit shall be performed to:

- a) evaluate the applicant organization's location and site-specific conditions and to undertake discussions with the client organization's personnel to determine the preparedness for the stage 2 audit;
- b) review the client organization's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives, identified risks and operation of the ship recycling management system;
- c) collect and review necessary information regarding the scope of the ship recycling management system, information about the process and operation assessment performed, processes and location(s) of the client organization, and related statutory, regulatory aspects and compliance, e.g. legal aspects of the applicant organization's operation, identified processes and operations;
- d) review the allocation of resources for stage 2 and agree with the client organization on the details of the stage 2 audit;
- e) provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the organization's ship recycling management system and site operations in the context of possible significant aspects;
- f) evaluate if the internal audits and management review are being planned and performed and that the level of implementation of the ship recycling management system substantiates that the client organization is ready for the stage 2 audit.

9.2.3.1.4 Stage 1 audit results shall be documented and communicated to the client organization, including identification of any areas of concern that could be classified as nonconformity during the stage 2 audit.

9.2.3.1.5 Any part of the ship recycling management system that is audited during the stage 1 audit and determined to be fully implemented, effective, and in conformity with requirements, may not need to be re-audited during the stage 2 audit. However, the certification body has to ensure that the already audited parts of the ship recycling management system continue to conform to the certification requirements. In this case, the stage 2 audit report shall include these findings and clearly state that conformity has been established during the stage 1 audit.

9.2.3.1.6 In determining the interval between stage 1 and stage 2, consideration shall be given to the needs of the client to resolve areas of concern identified during the stage 1 audit. The certification body may also need to revise its arrangements for stage 2.

9.2.3.2 Stage 2 audit

9.2.3.2.1 Stage 2 audits shall have an audit plan (see 9.1.2). The plan shall follow the guidance in ISO 19011, transformed into appropriate documented requirements and take into account the information obtained during the stage 1 audit.

9.2.3.2.2 The stage 2 audit shall take place at the site(s) of the client organization. The purpose of the stage 2 audit is to evaluate the implementation and effectiveness of the client's ship recycling management system.

9.2.3.2.3 The audit team shall conduct the stage 2 audit to gather audit evidence that the ship recycling management system conforms to the standard and other certification requirements.

9.2.3.2.4 The audit team shall audit a sufficient number of examples of the activities of the client organization in relation to the ship recycling management system and activities, so as to get a sound appraisal of the implementation, including the effectiveness, of the ship recycling management system.

9.2.3.2.5 As part of the audit, the audit team shall interview a sufficient number of the staff, including top management and operational personnel of the audited facility, to provide assurance that the system is implemented and understood throughout the client organization.

9.2.3.2.6 The audit team shall analyse all information and audit evidence gathered during the stage 1 and stage 2 audits to determine the extent of fulfilment with all certification requirements and decide on any nonconformities. The audit team may propose opportunities for improvement but shall not recommend specific solutions.

9.2.3.2.7 The stage 2 audit shall cover an examination of the organization's ship recycling management system which addresses at least the following:

- a) information and evidence about conformity to all requirements of the applicable normative document;
- b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets;
- c) the organization's ship recycling management system and performance as regards legal and regulatory compliance;
- d) operational control in general and related to identified risks and significant aspects;
- e) internal auditing and management review;
- f) management responsibility for the client organization's policies;

- g) links between the normative requirements, policy, performance objectives and targets, any applicable legal requirements, responsibilities, personnel competence, operations, procedures, performance data, and internal audit results;
- h) waste stream management including storage, transport and disposal of wastes.

9.2.3.2.8 Action to be undertaken after the completion of a stage 2 audit shall include at least the following:

- a) a record of any identified and agreed nonconformities shall be left with the client prior to departure from the audit site;
- b) the audit report specified in 9.2.4 shall be established.

9.2.3.2.9 Nonconformity shall be defined as the absence of, or the failure to implement and maintain, one or more quality management system requirements, or a situation which would, on the basis of available objective evidence, raise significant doubt as to the quality of what the organization is supplying.

The certification/registration body is free to define different grades of deficiency and areas for improvement (e.g. major and minor nonconformities, observations).

9.2.4 Initial certification audit reports

9.2.4.1 The certification body shall have documented reporting procedures.

9.2.4.2 The stage 1 audit report shall include comments on the adequacy of the ship recycling management system documentation, the organization's analysis of key performance or significant aspects and whether the level of implementation of the ship recycling management system indicates that it is ready for the stage 2 audit. The stage 1 audit report shall report on the requirements in 9.2.3.1.3.

9.2.4.3 The stage 2 audit report shall be based on the guidance provided in ISO 19011, transformed into appropriate documented requirements.

9.2.4.4 The auditor's internal audit report shall include or refer to at least the following:

- a) identification of the audit client;
- b) identification of the auditee representatives;

NOTE The term auditee, as used in ISO 19011, means the organization being audited.
- c) identification of the certification body;
- d) identification of audit team leader and members;
- e) the audit objectives;
- f) the audit scope, particularly identification of the organizational and functional units or processes audited, the time period covered and the elements of the waste and other material handling or service companies assessed;
- g) the audit criteria;
- h) the reference to the ship recycling management standards and/or other normative reference documents used;
- i) the dates and sites where the on-site audit activities, including contractors and subcontractors, were conducted and the date of the previous audit;
- j) the audit findings:

- 1) summary of the most important observations, positive as well as negative, regarding the implementation and effectiveness of the ship recycling management system;
 - 2) overview and summary of the most constructive/beneficial information, positive as well as negative, regarding the implementation and effectiveness of the process and operation assessment methodology;
 - 3) nonconformities raised during the audit against specific standard requirements;
 - 4) report on the clearing of each nonconformity revealed previously;
- k) the audit conclusions:
- 1) degree of reliance that can be placed in the ship recycling management system and process and operation assessment methodology;
 - 2) audit team recommendations regarding certification status.

9.2.4.5 As a minimum these documented procedures shall ensure, after a stage 2 audit, that a written client audit report is provided within a mutually agreed period of time to the audited organization, including audit findings and conclusions, positive and negative, on fulfilment, including effectiveness, of the ship recycling management system (in particular, referencing the effectiveness of the internal audit process and achievement of policy commitments) with all requirements of the standard, including identifying any nonconformities.

9.2.4.6 Ownership of the audit report shall be maintained by the certification body. Where the contents of reports include ship recycling sensitive data, then custody of the report may be delegated to the organization, but ownership and the right to amend reports remains with the certification body.

9.2.5 Post-audit activities

9.2.5.1 The audited organization shall be requested to describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities and their causes, within a defined time, to remedy any identified nonconformities.

9.2.5.2 The audited organization shall be informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future surveillance audits) will be needed to ensure effective correction and corrective actions. This decision will be based on the types and number of nonconformities identified.

9.2.5.3 Correction and corrective actions by the audited organization shall be reviewed by the certification body to determine if the actions are sufficient and, if already implemented, effective.

9.2.6 Initial certification decision granting or extending certification

9.2.6.1 The information provided by the audit team to the certification body for the certification decision shall include, as a minimum:

- a) the reports indicated in 9.2.4;
- b) comments on the nonconformities, and the correction and corrective actions taken by the audited organization;
- c) confirmation of the information provided to the certification body used in the application review (see 9.2.2);
- d) recommendation whether or not to grant certification, along with any conditions or observations.

9.2.6.2 The certification body shall make the certification decision on the basis of an evaluation of the audit results and any other relevant information (e.g. public information, comments on the audit report from the client).

9.2.6.3 The certification body shall ensure that the person(s) or committees that participate in the certification decisions are different from those who carried out the audits.

9.2.6.4 The certification body shall confirm, prior to making a decision, that

- a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification,
- b) it has reviewed and accepted the performance of satisfactory correction and corrective action, including actions to eliminate the cause to prevent recurrence, for all nonconformities that denote either
 - 1) absence of, or failure to, implement and maintain the fulfilment of one or more ship recycling management system requirements, or
 - 2) a situation that, on the basis of available objective evidence, would raise significant doubt as to the capability of the client organization to meet requirements consistently and the effectiveness of the ship recycling management system,
- c) for any other nonconformities, it has accepted the organization's planned activities of correction and corrective action, including actions to prevent recurrence.

9.3 Surveillance activities

9.3.1 General

9.3.1.1 The certification body shall develop its surveillance activities so that representative areas and functions covered by the scope of the ship recycling management system are monitored on a regular basis, and take into account changes to its certified clients and their ship recycling management system.

9.3.1.2 Surveillance activities shall include on-site audits assessing the certified client's ship recycling management system's fulfilment of specified requirements with respect to the standard(s) and other normative documents to which the certification is granted. Other surveillance activities may include:

- a) enquiries from the certification body to the certified client on aspects of certification;
- b) reviewing any client's statements with respect to its operations (e.g. promotional material, website);
- c) requests to the client to provide documents and records (on paper or electronic media);
- d) other means of monitoring the certified client's performance, including unannounced audits.

9.3.1.3 The certification body shall have an established programme for carrying out periodic surveillance audits at sufficiently close intervals to confirm that the certified ship recycling management system continues to fulfil all certification requirements and to be effective.

9.3.1.4 The date of the first surveillance audit, following initial certification, shall be programmed from the end of stage 2 of the initial audit (e.g. from the date of the closing meeting).

9.3.2 Surveillance audit

9.3.2.1 Surveillance audits are on-site audits, but are not full system audits and shall be planned together with the other surveillance activities, so that the certification body can maintain confidence that the certified ship recycling management system continues to fulfil requirements in between recertification audits. The annual surveillance audit programme shall include, at least:

- a) internal audits, ship recycling assessment and planning, and management review;
- b) a review of action taken on nonconformities identified during the previous audit;
- c) treatment of complaints;
- d) effectiveness of the ship recycling management system with regard to achieving the certified client's objectives;
- e) progress of planned activities aimed at continual improvement;
- f) continuing operational control;
- g) review of any changes; and
- h) use of marks and/or any other reference to certification.

9.3.2.2 Surveillance audits shall be conducted at least once a year.

9.3.2.3 Surveillance audits shall have an audit plan (see 9.1.2).

9.3.2.4 The duration of a surveillance audit shall take account of the guidance in Annex A and be determined by the certification body with due regard to:

- a) the processes and operations category of the processes and elements of the waste and other material handling or service companies;
- b) the number of waste and other material handling or service companies elements, sites, processes and services;
- c) the number of employees related to ship recycling;
- d) the size of the random sampling;
- e) the number of nonconformities observed at previous audits;
- f) changes in the organization, services or processes.

9.3.3 Surveillance audit report

9.3.3.1 For surveillance audits, the report from the audit team shall include:

- a) the ship recycling management system standard requirements that were audited;
- b) comments on the fulfilment of certification requirements, including effectiveness; and
- c) verification of the effective implementation of corrective action for every nonconformity from the audit;
- d) any new nonconformities.

This report shall be based on the guidance provided in ISO 19011, transformed into appropriate documented requirements.

9.3.3.2 This report shall be provided to the certified client and to the certification body.

9.3.3.3 When, during a surveillance audit, instances of nonconformity or lack of evidence of conformity are identified, the certification body shall define time limits for correction and corrective actions to be implemented.

NOTE It is recommended that time limits be based on the severity of the nonconformity and its impact.

9.3.3.4 The audited organization shall be informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future surveillance audits) will be needed to ensure effective correction and corrective actions. This decision will be based on the types and number of nonconformities identified.

9.3.4 Maintaining certification

The certification body shall maintain certification based on demonstration that the client continues to satisfy the requirements of the ship recycling management system standard. It may maintain an organization's certification based on a positive recommendation by the audit team leader without further independent review, provided that:

- a) for any nonconformity or other situation that may lead to suspension or withdrawal of certification, the certification body has a system that requires the audit team leader to initiate a review by appropriately competent personnel (see 7.2.9), different from those who carried out the audit, to determine whether certification can be maintained;
- b) the criteria to deal with nonconformities and any subsequent corrective actions are known by the team leader;
- c) appropriately competent personnel of the certification body monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

9.4 Recertification

9.4.1 Recertification cycle

The time interval between the initial certification audit and recertification audit or between two recertification audits shall not exceed three years.

9.4.2 Recertification audit plan

9.4.2.1 A recertification audit shall be planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant normative document. The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the ship recycling management system as a whole, and its continued relevance and applicability for the scope of certification.

9.4.2.2 The recertification audit shall consider the performance of the ship recycling management system over the period of certification, and include the review of previous surveillance audit reports (9.3.3).

9.4.2.3 Recertification audit activities do not need to have a stage 1 audit in situations where there have been no significant changes to the ship recycling management system, the organization, or the context in which the ship recycling management system is operating (e.g. changes to legislation).

9.4.2.4 In the case of multiple sites or multiple ship recycling management system certifications being provided by the certification body, the planning for the audit shall ensure adequate on-site audit coverage to provide confidence in the certification.

9.4.2.5 The results of recent surveillance audits and the certified client's internal audit(s) should be taken into account. The audit plan shall be based on the guidance in ISO 19011, transformed into appropriate documented requirements.

9.4.2.6 The duration of recertification audits shall be based on the guidance in Annex A.

9.4.3 Recertification audit

The recertification audit shall include an on-site audit (which may replace or extend a regular surveillance audit). This recertification audit shall address the following ship recycling management system requirements:

- a) the effective interaction between the processes of the ship recycling management system;
- b) the effectiveness of the ship recycling management system in its entirety in the light of internal and external changes;
- c) demonstrated commitment to maintaining the effectiveness and improvement of the ship recycling management system in order to enhance overall performance;
- d) that the operation of the certified ship recycling management system contributes to the achievement of the organization's policy and objectives.

9.4.4 Recertification audit report

9.4.4.1 For recertification audits, the report from the audit team to the certified client and to the certification body shall comment on the following:

- a) the ship recycling management system reviewed;
- b) the fulfilment of certification requirements;
- c) the review and verification of the continued effective implementation of corrective action for every nonconformity from the previous audit; and
- d) the effectiveness of the audited organization's ship recycling management system.

This report shall be based on the guidance provided in ISO 19011, transformed into appropriate documented requirements.

9.4.4.2 When, during a recertification audit, instances of nonconformity or lack of evidence of conformity are identified, the certification body shall define time limits for correction and corrective actions to be implemented.

NOTE It is recommended that the time limits be based on the severity of the nonconformity and its impact, and not be so long as to have the credibility of the certification called into question.

9.4.4.3 The audited organization shall be informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future surveillance audits), will be needed to ensure effective correction and corrective actions.

9.4.5 Recertification decision

9.4.5.1 The certification body shall ensure that the persons or committees that make the recertification decisions are different from those who carried out the audits.

9.4.5.2 The certification body shall make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and the complaints received from users of the certification.

9.4.5.3 The certification body shall confirm, prior to making a decision, that:

- a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;

- b) it has reviewed and accepted the performance of satisfactory correction and corrective action, including actions to eliminate the cause, to prevent recurrence, for all nonconformities that denote either:
 - 1) failure to maintain the fulfilment of one or more ship recycling management system requirements; or
 - 2) a situation that, on the basis of available objective evidence, would raise significant doubt as to the capability of the client organization to meet requirements consistently and the effectiveness of the ship recycling management system;
- c) for any other nonconformities, it has accepted the organization's planned activities of correction and corrective action, including actions to prevent recurrence.

9.5 Special audits

It may be necessary for the certification body to conduct audits of certified clients at short notice to investigate complaints (see 9.8, or in response to changes see 8.6.3). In such cases:

- a) the certification body shall describe and make known in advance to the certified clients (e.g. in documents as described in 8.6.1) the conditions under which these short notice visits are to be conducted;
- b) the certification body shall exercise additional care in the assignment of the audit team because of the lack of opportunity for the organization to object to audit team members.

9.6 Suspending, withdrawing or reducing the scope of certification

9.6.1 The certification body shall have a policy and documented procedure(s) for suspension, withdrawal or reduction of the scope of certification and specify the subsequent actions by the certification body.

9.6.2 The certification body shall suspend certification in cases when, but not limited to:

- a) the client's certified ship recycling management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the ship recycling management system;
- b) the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies; or
- c) the certified client has voluntarily requested a suspension.

9.6.3 Under suspension, the client's ship recycling management system certification is temporarily invalid. The certification body shall have enforceable arrangements with its clients to ensure that in cases of suspension, the client refrains from further promotion of its certification. The certification body shall make the suspended status of the certification publicly available (see 8.1.3) and take any other measures it deems appropriate.

9.6.4 Failure to resolve the issues that have resulted in the suspension within the time frame established by the certification body shall result in withdrawal or reduction of the scope of certification.

NOTE In most cases, the suspension should not exceed six months.

9.6.5 The certification body shall reduce the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction shall be in line with the requirements of the standard used for certification.

9.6.6 The certification body shall have enforceable arrangements with the certified client concerning conditions of withdrawal [see 8.4.3 d)], ensuring that upon notice of withdrawal of certification, the client discontinues their use of all advertising matter that contains any reference to a certified status.

9.6.7 Upon request by any party, the certification body shall correctly state the status of certification of a client's ship recycling management system as being suspended, withdrawn or reduced.

NOTE Information reflecting those actions should be provided in accordance with 8.6.4.

9.7 Appeals

9.7.1 The certification body shall have a documented process to receive, evaluate and make decisions on appeals.

9.7.2 A description of the appeals handling process shall be publicly available.

9.7.3 The certification body shall be responsible for all decisions at all levels of the appeals handling process. The certification body shall ensure that the persons engaged in the appeals handling process are different from those who carried out the audits and made the certification decisions.

9.7.4 Investigation and decisions on appeals shall not result in any discriminatory actions against the appellant.

9.7.5 The appeal handling process shall include at least the following elements and methods:

- a) an outline of the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals;
- b) tracking and recording appeals, including actions undertaken to resolve them;
- c) ensuring that any appropriate correction and corrective action is taken.

9.7.6 The certification body shall acknowledge receipt of the appeal and provide the appellant with progress reports and the outcome.

9.7.7 The decision to be communicated to the appellant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal.

9.7.8 The certification body shall give formal notice of the end of the appeal handling process to the appellant.

9.8 Complaints

9.8.1 Clients and users of certification (see 4.1.2 and 4.7) can expect to have complaints investigated, and if determined to be valid, be confident that the complaints will be appropriately addressed and that a reasonable effort will be made to resolve the complaint.

NOTE The effective resolution of complaints is an important means of protection for the certification body, its clients, the bodies authorizing certification bodies and other users of certification against errors, omissions or unreasonable behaviour. Confidence in certification activities is safeguarded when complaints are processed appropriately.

9.8.2 A description of the complaints handling process shall be publicly available.

9.8.3 Upon receipt of a complaint, the certification body shall confirm whether the complaint relates to certification activities that it is responsible for, and if so shall deal with it. If the complaint relates to a certified client then examination of the complaint shall consider the effectiveness of the certified ship recycling management system.

9.8.4 Any complaint about a certified client shall also be referred by the certification body to the certified client in question at an appropriate time.

9.8.5 The certification body shall have a documented process to receive, evaluate and make decisions on complaints. This process shall be subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.

9.8.6 The complaints handling process shall include at least the following elements and methods:

- a) an outline of the process for receiving, validating and investigating the complaint, and for deciding what actions are to be taken in response to it;
- b) tracking and recording complaints, including actions undertaken to resolve them;
- c) ensuring that any appropriate correction and corrective action is taken.

NOTE ISO 10002 provides guidance for handling complaints.

9.8.7 The certification body receiving the complaint shall be responsible for gathering and verifying all necessary information to validate the complaint.

9.8.8 Whenever possible, the certification body shall acknowledge receipt of the complaint, and provide the complainant with progress reports and the outcome.

9.8.9 The decision to be communicated to the complainant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint.

9.8.10 Whenever possible, the certification body shall give formal notice of the end of the complaint handling process to the complainant.

9.8.11 The certification body, together with the client and the complainant, shall determine whether, and if so to what extent, the subject of the complaint and its resolution shall be made public. Any decision to keep the complaint confidential is subject to appeal by any party to the complaint and shall be justified.

9.9 Records on applicants and clients

9.9.1 The certification body shall maintain records on the audit and certification activity for all clients, including all organizations that submitted applications, and all organizations audited, certified, or with certification withdrawn.

9.9.2 Records on certified clients shall include:

- a) application information and initial, surveillance and recertification audit reports;
- b) justification of the methodology used for any reduction of audit durations;
- c) justification for auditor time determination (see 9.1.5);
- d) verification of correction and corrective actions;
- e) records of complaints and appeals, and any subsequent correction or corrective actions;
- f) committee deliberations and decisions, if applicable;
- g) documentation of the certification decisions;
- h) certification documents, including the scope of certification with respect to service or process, as applicable; and
- i) related records necessary to establish the credibility of the certification, such as evidence of auditor and technical expert qualifications and competency.

9.9.3 The certification body shall keep the records on clients secure to ensure that the information is kept confidential. Records shall be transported, transmitted or transferred in a way that ensures that confidentiality is maintained.

9.9.4 The certification body shall have a documented policy and documented procedures on retention of records. Records shall be retained for the duration of the current cycle plus one full certification cycle.

NOTE In some jurisdictions, the law stipulates that records need to be maintained for a longer time period.

10 Management system requirements for certification bodies

10.1 General

The certification body shall establish and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard. In establishing its management system, the certification body shall implement a management system in accordance with the requirements given in 10.2 or 10.3. This system shall be certified by an independent body of auditors recognized under a national accreditation scheme or similar (e.g. IAF).

10.2 Option 1: management system requirements in accordance with ISO 9001

10.2.1 General

The certification body shall establish and maintain a management system, in accordance with the requirements of ISO 9001, that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard (in particular, see 10.2.2 to 10.2.5).

10.2.2 Scope

For application of the requirements of ISO 9001, the scope of the management system shall include the design and development requirements for its certification services.

10.2.3 Customer focus

For application of the requirements of ISO 9001, when developing its management system, the certification body shall enhance the credibility of certification and address the needs of all parties that rely upon its audit and certification services (as specified in 4.1.2), not just its clients.

10.2.4 Management review

For application of the requirements of ISO 9001, the certification body shall include as input for management review, information on relevant complaints and appeals from users and stakeholders of its certification activities.

10.2.5 Design and development

For application of the requirements of ISO 9001, when developing a new management system certification scheme, or adapting an existing one to special circumstances, the certification body shall ensure that the guidance given in ISO 19011, and which is appropriate to third-party situations, is included as a design input.

10.3 Option 2: general management system requirements

10.3.1 General

The certification body shall establish, document, implement and maintain a management system that is capable of supporting and demonstrating the consistent achievement of the requirements of this International Standard.

The certification body's top management shall establish and document policies and objectives for its activities. The top management shall provide evidence of its commitment to the development and implementation of the management system in accordance with the requirements of this International Standard. The top management shall ensure that the policies are understood, implemented and maintained at all levels of the certification body's organization.

The certification body's top management shall appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that includes:

- a) ensuring that processes and procedures needed for the management system are established, implemented and maintained;
- b) reporting to top management on the performance of the management system and any need for improvement.

10.3.2 Management system manual

All applicable requirements of this International Standard shall be addressed either in a manual or in associated documents. The certification body shall ensure that the manual and relevant associated documents are accessible to its personnel.

10.3.3 Control of documents

The certification body shall establish procedures to control the documents (internal and external) that relate to the fulfilment of this International Standard.

The procedures shall define the controls needed to

- a) approve documents for adequacy prior to issue,
- b) review and update as necessary and re-approve documents,
- c) ensure that changes and the current revision status of documents are identified,
- d) ensure that relevant versions of applicable documents are available at points of use,
- e) ensure that documents remain legible and readily identifiable,
- f) ensure that documents of external origin are identified and their distribution controlled, and
- g) prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

10.3.4 Maintenance and destruction of documents of a sensitive nature

The certification body shall establish and implement procedures to ensure that clients' documents and records of a ship recycling sensitive nature and the information and data derived from audits such as auditors' notes are kept secure at all times and are archived and subsequently destroyed with due regard to the ship recycling classification.

Documents, data and records of a ship recycling sensitive nature shall only be made available to certification body's personnel and others external to the certification body on a need-to-know basis.

NOTE Documentation can be in any form or type of medium.

10.3.5 Control of records

The certification body shall establish procedures to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of its records related to the fulfilment of this International Standard.

The certification body shall establish procedures for retaining records for a period consistent with its contractual and legal obligations. Access to these records shall be consistent with the confidentiality arrangements.

NOTE For requirements for records on certified clients, see also 9.9.

10.3.6 Management review

10.3.6.1 General

The certification body's top management shall establish procedures to review its management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness, including the stated policies and objectives related to the fulfilment of this International Standard. These reviews shall be conducted at least once a year.

10.3.6.2 Review inputs

The input to management review shall include information related to:

- a) results of audits;
- b) feedback from clients and interested parties related to the fulfilment of this International Standard;
- c) status of preventive and corrective actions;
- d) follow-up actions from previous management reviews;
- e) fulfilment of objectives;
- f) changes that could affect the management system;
- g) appeals and complaints.

10.3.6.3 Review outputs

The outputs from the management review shall include decisions and actions related to:

- a) improvement of the effectiveness of the management system and its processes;
- b) improvement of the certification services related to the fulfilment of this International Standard; and
- c) resource needs.

10.3.7 Internal audits

10.3.7.1 The certification body shall establish procedures for internal audits to verify that it fulfils the requirements of this International Standard and that a management system is effectively implemented and maintained.

NOTE ISO 19011 provides guidelines for conducting internal audits.

10.3.7.2 An audit programme shall be planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits.

10.3.7.3 Internal audits shall be performed at least once a year. The frequency of internal audits may be reduced if the certification body can demonstrate that its management system continues to be effectively implemented according to this International Standard and has proven stability.

10.3.7.4 The certification body shall ensure that:

- a) internal audits are conducted by qualified personnel, knowledgeable in certification, auditing and the requirements of this International Standard;
- b) auditors do not audit their own work;
- c) personnel responsible for the area audited are informed of the outcome of the audit;
- d) any actions resulting from internal audits are taken in a timely and appropriate manner;
- e) any opportunities for improvement are identified.

10.3.8 Corrective actions

The certification body shall establish procedures for identification and management of nonconformities in its operations. The certification body shall also, where necessary, take actions to eliminate the causes of nonconformities in order to prevent recurrence. Corrective actions shall be appropriate to the impact of the problems encountered. The procedures shall define requirements for:

- a) identifying nonconformities (e.g. from complaints and internal audits);
- b) determining the causes of nonconformity;
- c) correcting nonconformities;
- d) evaluating the need for actions to ensure that nonconformities do not recur;
- e) determining and implementing, in a timely manner, the actions needed;
- f) recording results of actions taken;
- g) reviewing effectiveness of corrective actions.

10.3.9 Preventive actions

The certification body shall establish procedures for taking preventive actions to eliminate the causes of potential nonconformities. Preventive actions taken shall be appropriate to the probable impact of the potential problems. The procedures for preventive actions shall define requirements for:

- a) identifying potential nonconformities and their causes;
- b) evaluating the need for action to prevent occurrence of nonconformities;

- c) determining and implementing the action needed;
- d) recording results of actions taken;
- e) reviewing effectiveness of the preventive actions taken.

NOTE The procedures for corrective and preventive actions do not necessarily have to be separate.

Annex A (informative)

Guide for process to determine auditor time

A.1 Guidance for calculating man-days

A.1.1 Table A.1 specifies the number of audit days of the initial audit (stage 1 and stage 2), depending on the number of employees and complexity and/or processes and operations of the organization.

Table A.1 — Number of audit days for initial audit

Continuum number of effective employees See NOTE 2 below	Average man-days (medium complexity and/or processes and operations)	Minimum man-days (low complexity and/or processes and operations)	Typical man-days (high complexity and/or processes and operations)	Reduction if organization is certified to another management system (MS) standard or ship recycling code which is integrated with the ship recycling MS
Below 20	1	1	1	0
20 to 50	3	3	3	0
50 to 500	4	3	5	0
500	5	4	8	< 20 %
2 000	10	8	15	< 20 %

NOTE 1 If the audit team requires the help of translators with understanding written material, then the time above should be increased by 10 % and a further 10 % if verbal translators are required.

NOTE 2 Typically, the stage 1 part of the audit will be about 1/3 of the man-days above and the stage 2 the remainder.

Table A.2 specifies the number of additional audit days of the initial audit (stage 1 and stage 2) depending on the number of contractors/subcontractors and complexity and/or processes and operations of the organization (see NOTE 3).

Table A.2 — Number of additional audit days for initial audit

Continuum number of contractors/subcontractors See NOTE 3 below	Average man-days (medium complexity and/or processes and operations)	Minimum man-days (low complexity and/or processes and operations)	Typical man-days (high complexity and/or processes and operations)	Reduction if contractors'/subcontractors' organization is certified to another management system (MS) standard or ship recycling code which is integrated with the ship recycling MS
Below 5	1	1	1	0
5 to 10	2	2	2	0
10 to 20	4	3	4	0
Above 20	5	4	6	< 20 %

NOTE 3 If the number of contractors/subcontractors is significantly above 20, the given man-days can be increased by simple multiplication.

A.1.2 The starting point for man-days will be based on the number of effective employees in Table A.1 and number of contractors/subcontractors in Table A.2.

A.1.3 All attributes of the organization's facility, site, systems, processes, and services should be considered and a fair adjustment can be made based on the justifiable factors in Table A.1. Additive factors may be offset by subtractive factors. In all cases where adjustments are made to the time provided in the auditor Timetable, sufficient evidence and records shall be maintained to justify the variation.

A site plan should be obtained, especially for large sites and organizations, to help with evaluating man-days for the audit so that all features of the site and facilities can be considered. Consideration should be given to neighbouring assets and the closeness of roads, rivers and other relevant particulars influencing possible impacts of the processes and operations carried out by the organization/on-site, etc.

A.1.4 "Effective employees" are those individuals described in the organization's management system and covered by the scope of the certification, including non-permanent (seasonal, temporary, and subcontracted) staff, whose work has the potential to affect ship recycling processes in the organization being audited. The certification body and the organization to be audited should agree on the timing of the audit which will best demonstrate the full scope of the organization. The consideration could include season, month, day/date and shift, as appropriate.

Part-time employees should be treated as full-time-equivalent employees. This determination will depend upon the number of hours worked as compared with a full-time employee; see A.1.8 for calculation of the impact of shifts. When calculating effective employees, due consideration should be given to those persons whose work impacts on ship recycling. E.g. those employed in the finance department may not impact as much as those employed directly in manual processes.

A.1.5 "Auditor time" includes the time spent by an auditor or audit team planning (including off-site document review, if appropriate), interfacing with the organization and other relevant personnel, records, documentation and processes and report writing. It is expected that the "auditor time" involved in such planning and report writing combined should not typically reduce the total on-site "Auditor time" to less than 80 % of the time allocated for the audit. This applies to initial, surveillance and reassessment audits. Where additional time is required for planning and/or report writing, this will not be justification for reducing on-site auditor time. Auditor travel time is not included in this calculation, and is additional to the auditor time referenced in Tables A.1 and A.2.

A.1.6 "Auditor time", as referenced, is stated in terms of "auditor-days" spent on the assessment. An "auditor-day" is typically a full normal working day of eight hours. The number of auditor-days employed may not be reduced at the initial planning stages by programming longer hours per workday.

A.1.7 During the first three years assessment cycle, surveillance time for a given organization should be proportional to the time spent at initial assessment with the total amount of time spent annually on surveillance being about 1/3 of the time spent on the initial assessment. The planned surveillance time should be reviewed from time to time to account for changes in the organization, system maturity, etc., and at least at the time of reassessment.

A.1.8 The total amount of time spent performing the recertification will depend upon the findings from reviews of the effectiveness of the management system and its implementation over the previous three-year period. The amount of time spent at reassessment should be proportional to the time that would be spent at the initial assessment of the same organization and should be not less than 2/3 of the time that would be required for an initial assessment of the same organization at the time that it is to be reassessed. Reassessment is time spent above and beyond the routine surveillance time, but, when reassessment is carried out at the same time as a planned routine surveillance visit, the reassessment will suffice to meet the requirement for surveillance as well.

A.1.9 If a significant part of the operations is carried out in shifts, the total number of employees, e_t , may be calculated as follows:

$$e_t = (e_n) + [(e_s)/(s - 1)]$$

where

e_n is the number of employees not in shift work;

e_s is the number of employees in shift work;

s is the number of shifts.

This reduction can be applied providing there are no significant differences between the shifts with respect to the type and intensity of activities.

A.1.10 Complexity should be derived from the number and type of operations undertaken. Processes and operations should be derived from a qualitative assessment of processes and operations affecting criteria such as: the potential ship recycling threats; types of, and likelihood of effects; geographical vulnerability; local culture; history, infrastructure and trends of incidents; etc.

A.1.11 An organization with one effective employee is an owner/operator.

Annex B (normative)

Criteria for auditing organizations with multiple sites

B.1 Multiple-site organizations

A multiple-site organization (3.4) need not be a unique legal entity, but all sites shall have a legal or contractual link with the central office of the organization and be subject to a common ship recycling management system, which is laid down, established and subject to continual surveillance by the central office. This means that the central office has rights to implement corrective actions when needed on any site. Where applicable, this should be laid down in the contract between the central office and the sites.

Examples of possible multiple-site organizations are:

- a) organizations operating with franchises;
- b) service companies or otherwise organized groups, such as associations offering specific services, including a network of collection/storage, processing, further dismantling and separation or other sites and logistics which carry out similar processes and operate to the same procedures;
- c) companies with multiple branches and/or operational sites all providing the same service.

B.2 Eligibility criteria for the organization

B.2.1 Ship recycling risks are unique to each operational site; therefore, all operational sites included in an organization's scope of certification/registration shall be subject to audit. The organization shall have carried out a risk, process and operation assessment for each site and shall implement operational controls accordingly. Similarly, ship recycling risks applicable to non-operational sites, such as those providing support administrative services, are also unique, but by the nature of the activities undertaken, may present a lower portion in the whole ship recycling process. (All operational sites shall be subject to certification/registration body audits and the processes and operations presented by other non-operational sites shall be evaluated and audited commensurate to those processes and operations.)

B.2.2 There are situations where some relaxation from site-by-site audits may be acceptable. For example, where the services, the sites and all activities provided by waste and other material handling or service companies are substantially the same and are carried out fully in accordance with the same methods and procedures, then there may be some scope for reducing the audit man-days for some of the sites operated by the same organization. However, for all sites, site-specific processes and operations shall have been identified and subject to a process and operation assessment by the organization and audited by the certification body during an on-site audit. In order for reduced auditing to be considered, the following criteria shall be met:

- The organization's ship recycling management system shall be centrally administered and operated in accordance with a centrally controlled process for carrying out ship recycling assessments and developing ship recycling facility plans;
- The organization's ship recycling management system shall be subject to a central system for collating and reviewing data from sites related to
 - local system documentation and system changes,
 - management review,

- improvement objectives, targets and management programmes, and
- evaluation of complaints, incidents, corrective actions.

All the relevant sites (including the central administration function) shall be subject to the organization's internal audit programme and evaluation of audit results and each location shall have been audited in accordance with that programme prior to the certification/registration body starting its assessment.

It shall be demonstrated that the central office of the organization has established a ship recycling management system in accordance with the assessment standard and that the whole organization meets the requirements of the certification standard. This shall include consideration of relevant regulations.

B.2.3 The organization shall demonstrate its ability to collect and analyse data (including but not limited to the items listed below) from all sites, including the central office and its authority and ability to initiate organizational change, if required:

- system documentation and system changes;
- management review;
- improvement objectives, targets and management programmes;
- evaluation of complaints, incidents, corrective actions;
- internal audit planning and evaluation of the results.

The organization shall have carried out a risk-specific process and operation assessment for each site, shall implement the operational controls accordingly and be able to demonstrate through records the effectiveness of those controls for all sites including those not subject to certification/registration body audits.

B.2.4 If there is any deviation from the man-day audit durations given in Annex A or the “all sites shall be audited by the certification registration body” approach for any location that is included in the scope of certification/registration, then the certification/registration body shall document and implement procedures which apply a process and operation management approach to justify any deviation from the audit durations and “all sites shall be audited” approach prescribed in this International Standard. Such considerations by the certification/registration body shall include:

- scope sectors or activities (i.e. based on the assessment of processes and operations or complexity associated with that sector or activity);
- type and size of sites eligible for multiple site assessment;
- variations in the local implementation of the ship recycling management system, such as the need for consideration of local regulations, behavioural characteristics, infrastructural factors and abilities, the use of ship recycling plans within the ship recycling management system to address different activities or different contractual or regulatory systems;
- use of temporary sites which operate under the ship recycling management system of the organization.

B.2.5 Records maintained by the central location(s) shall demonstrate the effectiveness of the ship recycling management systems and its implementation for all locations, including those not visited by the certification/registration body.

B.3 Eligibility criteria for the certification/registration body

B.3.1 General

The certification/registration body shall provide information to the organization about the criteria laid down herein before starting the assessment process, and should not proceed with it if any of the criteria are not met. Before starting the assessment process, it should inform the organization that the certificate/registration will not be issued if during the assessment nonconformities in relation to these criteria are found.

B.3.2 Contract review

B.3.2.1 The certification/registration body's procedures should ensure that the initial contract review identifies the complexity and scale of the activities covered by the ship recycling management system, subject to certification/registration and any differences between sites as the basis for determining the level of sampling.

B.3.2.2 The certification/registration body shall identify the central function of the organization which is its contractual partner for the performance of the certification/registration.

B.3.2.3 The certification/registration body should check, in each individual case, to what extent sites of an organization produce or provide substantially the same kind of processes or services according to the same procedures and methods. Only after a positive examination by the certification/registration body that all the sites proposed for inclusion in the multiple-site exercise meet the criteria may the reduced audit procedure be applied to the individual sites.

B.3.3 Assessment

B.3.3.1 The certification/registration body shall have documented procedures to deal with assessments under its multiple-site procedure. Such procedures shall establish the way the certification/registration body satisfies itself, inter alia, that the same ship recycling management system governs the activities at all the sites, is actually applied to all the sites and that all the criteria in B.2 are met.

B.3.3.2 If more than one audit team is involved in the assessment/surveillance of the network, the certification/registration body should designate a unique audit team leader whose responsibility is to consolidate the findings from all the audit teams and to produce a synthesis report.

B.3.4 Dealing with nonconformities

B.3.4.1 When nonconformities are found at any individual site, either through the organization's internal auditing or from auditing by the certification/registration body, an investigation should take place to determine whether the other sites may be affected. Therefore, the certification/registration body should require the organization to review the nonconformities to determine whether or not they indicate an overall system deficiency applicable to all sites. If they are found to do so, corrective action should be performed both at the central office and at the individual sites. If they are found not to do so, the organization should be able to demonstrate to the certification/registration body the justification for limiting its follow-up action.

B.3.4.2 The certification/registration body shall require evidence of these actions and increase its sampling frequency until it is satisfied that control is re-established.

B.3.4.3 At the time of the decision making process, if any site has a nonconformity, certification/registration may be denied to the whole network pending satisfactory corrective action in situations where the activity found to be nonconforming could adversely affect the conformity of operations at other sites.

B.3.4.4 It shall not be admissible that, in order to overcome the obstacle raised by the existence of a nonconformity at a single site, the organization seeks to exclude from the scope the "problematic" site during the certification/registration process.

B.3.5 Certificates/registrations

B.3.5.1 One single certificate/registration shall be issued with the name and address of the central office of the organization. A list of all the sites to which the certificate/registration relates shall be issued, either on the certificate/registration itself or in an appendix or as otherwise referred to in the certificate/registration. The scope or other reference on the certificate/registration shall make clear that the certified/registered activities are performed by the network of sites in the list. If the certification/registration scope of the sites is only issued as part of the general scope of the organization, its applicability to all the sites shall be clearly stated in the certificate/registration and any annex.

B.3.5.2 A sub-certificate/registration may be issued to the organization for each site covered by the certification/registration under condition that it contains the same scope, or a sub-scope of that scope, and includes a clear reference to the main certificate/registration.

B.3.5.3 The certificate/registration will be withdrawn in its entirety if the central office or any of the sites does not fulfil the necessary criteria for the maintaining of the certificate /registration.

B.3.5.4 The list of sites shall be kept updated by the certification/registration body. To this effect, the certification/registration body shall request the organization to inform it about the closure of any of the sites. Failure to provide such information will be considered by the certification/registration body as a misuse of the certificate/registration, and it will act consequently according to its procedures.

B.3.5.5 Additional sites can be added to an existing certificate as the result of surveillance/reassessment activities. The certification/registration body shall have a procedure for the addition of new sites.

Temporary sites, such as those acquired or mobilized for specific operational or service purposes by an organization in order to carry out specific activities, shall not to be included in any multiple-site certification scheme.

Annex C (normative)

Auditor education, work and audit experience and training durations

Examples of levels of education, work experience, auditor training and audit experience for auditors conducting certification or similar audits are given in Table C.1.

Table C.1 — Levels of education, work experience, auditor training and audit experience for auditors conducting certification or similar audits

Parameter	Auditor	Auditor with previous experience in other management system disciplines	Audit team leader
Education	Tertiary education ^a	Same as for auditor	Same as for auditor
Total work experience	Five years ^b	Same as for auditor	Same as for auditor
Relevant work experience in ship recycling ^c	At least two years of the total five years, or training as specified in Annex D	Same as for auditor	Same as for auditor
Audit experience	Four complete audits for a total of at least 20 days of audit experience as an auditor-in-training under the direction and guidance of an auditor competent as an audit team leader ^d . The audits should be completed within the last three consecutive years	At least one complete audit covering all clauses of the audit standard/other standard resulting in satisfactory demonstration ^d	Three complete audits for a total of at least 15 days of audit experience acting in the role of an audit team leader under the direction and guidance of an auditor competent as an audit team leader ^d . The audits should be completed within the last two consecutive years (see NOTE 2)
Auditor training	40 h training, including: 16 h auditor training, 8 h management system (MS) specific training	24 h training, including: 8 h MS specific training (see NOTE 3)	Same as for auditor

Ship recycling specific work experience may be concurrent with the general work experience.

NOTE 1 The purpose of training in the ship recycling discipline is to acquire knowledge of the relevant standards, laws, regulations, principles, methods and techniques.

NOTE 2 Lead auditors qualified to lead audit teams of other disciplines need only demonstrate their competence to lead an audit team when applying the requirements of the ship recycling management system standard or standard, e.g. ISO 30000.

NOTE 3 Auditors qualified to audit other disciplines need not repeat the 16 h generic auditor training module.

^a Post-tertiary education, also known as third-stage, third level education, or higher education, is the non-compulsory educational level following the completion of a school providing a secondary education, such as a high school, secondary school, or gymnasium.

^b The number of years of work experience may be reduced by 1 year if the person has completed appropriate post-tertiary education.

^c Ship recycling management system and/or shipbuilding and ship operation business management system experience shall include formal knowledge and skills in processes and operations identification, analysis, control, and management.

^d A complete audit is an audit covering all of the steps of conducting document review, preparing for the on-site audit activities, conducting on-site audit activities, and conducting the opening meeting. The overall audit experience should cover this standard procedure.

Annex D (normative)

Auditor competence requirements

D.1 General

Clauses D.2 to D.8 specify the competence requirements for ship recycling management system auditors.

Relevant activities in shipyards and ship repair facilities falling within the scope of ISO 30000^[6] may be taken into account.

D.2 Process and operation assessment methodologies and tools

Ship recycling management system auditors shall have knowledge and ability in:

- a) understanding aspects and impacts of waste and other material handling or service companies;
- b) ship recycling process and operation assessment, analyses, methodologies, and techniques including understanding of the specific risks for health and safety of personnel involved in ship recycling;
- c) ship recycling assessment tools, including on-scene ship recycling surveys and the typical output documentation;
- d) processes and operations management, mitigation and control.

D.3 The requirements and interpretation of the audit

Ship recycling management system auditors shall have knowledge and ability in:

- a) the content, structure and application of ship recycling management system standards or associated standards;
- b) the purpose and objectives of ship recycling management system standards or other associated standards;
- c) the lexicon of ship recycling management system standards and associated standards;
- d) the applicability of ship recycling management system standards and associated standards for various stages of the waste and other material handling or service companies.

D.4 Governmental and intergovernmental regulations, initiatives and programmes impacting on ship recycling

Auditors shall be able to demonstrate their knowledge and ability in:

- a) export/import procedures affecting ship recycling;
- b) minimum certification/documentation requirements;

- c) governmental and intergovernmental regulations, initiatives and programmes impacting on ship recycling;
- d) waste and other material handling or service companies' specific process and operation assessment methodologies.

D.5 Knowledge on ship recycling and other material handling processes

Ship recycling management system auditors shall have knowledge and ability in:

- a) current ship recycling particulars, operations and patterns;
- b) material identification and handling techniques and methods;
- c) monitoring, corrective and preventive measures to reduce impacts caused or likely to be caused by ship recycling processes and operations, especially pollution mitigation;
- d) preventing occupational health and safety hazards.

D.6 Audit techniques

Auditors shall be able to demonstrate their ability to:

- a) review and approve a ship recycling management systems and facility plans, including the associated process and operation assessment documentation;
- b) explain the types of verification audits;
- c) explain the auditor's responsibilities and authority;
- d) explain the certification bodies own procedures relating to ship recycling management certification;
- e) state the conditions for issuing and maintaining ship recycling management certificates.

D.7 Auditing ship recycling data and information

Ship recycling management system auditors shall have knowledge and ability in sensitive and confidential ship recycling data and information, including auditors' liabilities.

D.8 Incident planning, preparedness and response and post-incident recovery and actions

Ship recycling management system auditors shall have knowledge and ability in incident planning, preparedness and response and post-incident recovery and actions, including the roles of official bodies and first responders, internal and external communication protocols and requirements.

Bibliography

- [1] ISO 9001, *Quality management systems — Requirements*
- [2] ISO 10002, *Quality management — Customer satisfaction — Guidelines for complaints handling in organizations*
- [3] ISO 14001, *Environmental management systems — Requirements with guidance for use*
- [4] ISO/IEC 17021, *Conformity assessment — Requirements for bodies providing audit and certification of management systems*
- [5] ISO/IEC 17030, *Conformity assessment — General requirements for third-party marks of conformity*
- [6] ISO 30000, *Ships and marine technology — Ship recycling management systems — Specifications for management systems for safe and environmentally sound ship recycling facilities*
- [7] IMO Res. MEPC. 179(59), *The Hong Kong International Convention for the Safe and Environmentally Sound Recycling of Ships*

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