PUBLICLY AVAILABLE SPECIFICATION

ISO/PAS 30003

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.

In other circumstances, particularly when there is an urgent market requirement for such documents, a technical committee may decide to publish other types of document:

— an ISO Publicly Available Specification (ISO/PAS) represents an agreement between technical experts in an ISO working group and is accepted for publication if it is approved by more than 50 % of the members of the parent committee casting a vote;

— an ISO Technical Specification (ISO/TS) represents an agreement between the members of a technical committee and is accepted for publication if it is approved by 2/3 of the members of the committee casting a vote.

An ISO/PAS or ISO/TS is reviewed after three years in order to decide whether it will be confirmed for a further three years, revised to become an International Standard, or withdrawn. If the ISO/PAS or ISO/TS is confirmed, it is reviewed again after a further three years, at which time it must either be transformed into an International Standard or be withdrawn.

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

Introduction

This Publicly Available Specification 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 17021:2006, 5.5). Bodies performing this activity are therefore third-party conformity assessment bodies named in this Publicly Available Specification "certification body/bodies". This wording should not be an obstacle to the use of this Publicly Available Specification by bodies with other designations that undertake activities covered by the scope of this document. Indeed, this Publicly Available Specification should be usable by anybody involved in the assessment of ship recycling management systems.

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 document 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 Publicly Available Specification has been developed to assist in the certification of ship recycling management systems that fulfil the requirements of ISO 30000, *Ships and marine technology — Ship recycling management systems — Specifications for management systems for safe and environmentally sound ship recycling facilities*.

As such, this Publicly Available Specification:

— provides harmonized guidance for the accreditation of certification bodies applying for ISO 30000 certification/registration;

— defines the rules applicable for the audit and certification of a ship recycling management system complying with the ship recycling management system standard's requirements (or other sets of specified ship recycling management systems requirements);

— provides the customers the necessary information and confidence about the way certification of their waste and other material handling or service companies have been granted.

Certification of ship recycling management systems 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 Publicly Available Specification specifies requirements for certification bodies. Observance of these requirements is intended to ensure that certification bodies operate ship recycling management system 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 Publicly Available Specification should serve as a foundation for facilitating the recognition of ship recycling management system 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 Publicly Available Specification aims at being the basis for recognition of the competence of certification bodies in their provision of ship recycling management system certification. It 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 the 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 system components will vary from organization to organization. It is therefore appropriate for certification bodies that operate in accordance with this Publicly Available Specification 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.

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

1 Scope

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

Certification of ship recycling management systems is a third-party conformity assessment activity (see ISO/IEC 17000:2004, 5.5). Bodies performing this activity are therefore third-party conformity assessment bodies named in this Publicly Available Specification "certification body/bodies".

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 Publicly Available Specification can be used as a criteria document for accreditation or peer assessment or other audit processes.

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 17000:2004, *Conformity assessment — Vocabulary and general principles*

ISO 14001, *Environmental management systems — Requirements with guidance for use*

ISO 19011:2002, *Guidelines for quality and/or environmental management systems auditing*

ISO/PAS 30000, *Ships and marine technology — Ship recycling management systems — Specifications for management systems for safe and environmentally sound ship recycling facilities*

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

3.2
management system consultancy and/or associated process and operation asessments
participation in designing, implementing or maintaining a ship recycling management system and in conducting process and operation assessments such as

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, and

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, it is confined to the provision of generic information that is freely available in the public domain, i.e. the trainer should not provide company-specific solutions.

4   Principles for certification bodies

4.1   General

4.1.1   This clause provides the basis for the subsequent specific performance and descriptive requirements in this Publicly Available Specification. It does not give specific requirements for all situations that can occur. These principles should be applied as guidance for the decisions that may need to be made for unanticipated situations. Principles are not requirements.

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 therefore is 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 secretively, 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 bodes as the International Accreditation Forum (IAF).

4.4 Responsibility

4.4.1 The client organization, not the certification body, has the responsibility of conforming to 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.

NOTE   Audit evidence is 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 A certification body needs to provide public access or disclosure of appropriate and timely information about the audit process and certification process, and about the certification status (i.e. granting, suspending, reducing the scope of, or withdrawing, certification) of any organization, in order to gain confidence in the integrity and credibility of certification. Therefore, openness is access to, or disclosure of, information.

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

4.6 Confidentiality

In order 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 needs to keep confidential any sensitive, proprietary and/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 have confidence that the complaints will be appropriately addressed and that a reasonable effort will be made to resolve them.

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 certification.

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) and/or other normative documents the certification shall take place.

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 conflict 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 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 to 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 applies also 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 applies also 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 is used. A certification body shall not state or imply that certification would be simpler, easier, faster or less expensive if a specified consultancy organization is 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 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 a serious 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 activities and the geographic 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.

NOTE   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.

7   Resource requirements

7.1   Competence of management and personnel

7.1.1   The certification body shall ensure that all personnel involved in the audit and certification of operating companies of waste 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 the types of ship recycling management systems and geographic 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.