
**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*.

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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.

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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.

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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 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*

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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).

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4.4 Responsibility

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

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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.