

ClassNK

Guidelines for Innovation Endorsement
for Providers (Edition 1.1)

[English]



ClassNK

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Introduction

In order to respond to the rapidly changing environment and remarkably changing social needs, enterprises are actively establishing and organizing sustainable and competitive businesses through the transformation of organizations themselves (new integration: innovation) or the transformation of business methods.

By proactively providing certification services for these innovation activities, ClassNK has started a certification service “Innovation Endorsement (IE) Certification” targeting innovation by utilizing digital technology, etc., with the aim of supporting further improvement of environmental conservation and safety of ships at sea and sustainable development as stated in SDGs.

As a part of this IE certification, the "Innovation Endorsement for Providers Guidelines" has been established to implement a new type of certification system (Providers certification) that supports stakeholders such as enterprises and clients to enhance mutual trust by certification by ClassNK, a third party organization, for the efforts of organizations to respond to rapid changes in the social environment and social needs, such as activities to develop and procure green energy by companies themselves, improvement and maintenance of the working environment, and business models utilizing digital transformation (DX).

In order to implement certification emphasizing speed, which is the basic policy of IE certification, and to maximize the value of certification, these Guidelines stipulates that certification can be performed in three stages, i.e., (1) concept, (2) development, and (3) sustainable implementation, according to the organizational maturity of the enterprise' innovative efforts. Through this certification service, ClassNK hopes to contribute to the dissemination and promotion of innovation activities of enterprises that have obtained certification.

ClassNK hopes that these Guidelines will assist in obtaining Innovation Endorsement for Providers.

ClassNK - Innovation Endorsement Approach

As companies pursue ESG-friendly management and SDGs toward the realization of a sustainable society, various innovations are required to solve social issues.

ClassNK provides "Innovation Endorsement (IE)" as a framework to support innovative efforts through third-party certification. The concept of IE is introduced here as "ClassNK Innovation Endorsement Approach."



ClassNK Innovation Endorsement Concept Map

【Background】

IE is ClassNK’s initiative as a third-party certification body to create new value based on "Third party certification/ evaluation/ rating", and it is one of the three business pillars on which "ClassNK Digital Grand Design 2030"*1 (announced in February 2020) is based. It has described the future shape required to a class society in the digital society.

(*1) Related Press Release “ClassNK Digital Grand Design 2030”:

https://www.classnk.or.jp/hp/ja/hp_news.aspx?id=4703&type=press_release

[Policy]

The principal policy of IE is as follows

- Speed-focused: As innovation progresses rapidly, ClassNK focuses on the speed to fully follow its pace, establish evaluation technologies as a third party, and then certify such innovation.
- Cooperation with front runners: Since a clear evaluation standard is unlikely to have yet been established for innovative technologies, ClassNK examines and develops evaluation standards in collaboration with pioneering front runners.
- Certification expected by customers and society: In response to the expansion of the scope of innovative initiatives, the scope and target of certification will be also expanded based on customer needs and social conditions.

[Scope of Certification]

The scope of IE covers four categories: Digital*2, Environment, Safety, and Labour. In addition, "Yours" demonstrates ClassNK's commitment to work to meet any needs of customers and society.

(*2) IE was launched focusing on digital innovation in July 2020.

[Target of Certification]

IE covers three categories as the target of certification: Ships, Products & Solutions, and Providers.

- Notation: For ships, notations such as "DSS"*3, "a-EA"*4, "a-SAFE"*5 and "ELW"*6 indicating advanced initiatives related to the digitalization, environment, safety, and living and working environment on board have been incorporated to the ship, are added to its class certificate and support the enhancement of ship's value.
- P&S certification: For products and solutions (P&S), ClassNK examines and verifies their innovative functions based on our knowledge and experience as a third-party certification body and issue certificates for supporting the deployment of products and services.
- Provider certification: For organizations (providers) engaging in innovative initiatives, ClassNK provides flexible supports from the early stage with three levels of certification, (1) Conception (Class C), (2) Development (Class D), and (3) Sustainable implementation (Class S).

ClassNK is committed to contributing to the sustainable evolution of maritime and offshore business activities by actively supporting innovative technologies through IE,

and monitoring to innovation trends, and continuing its Innovation ecosystem to respond quickly to customers' advanced initiatives.

(*3) DSS: Abbreviation for Digital Smart Ship. See Digital Smart Ship Guidelines.

(*4) a-EA: Abbreviation for Advanced-Environmental Awareness. See Chapter 5 of the Environmental Guidelines.

(*5) a-SAFE: Abbreviation for Advanced Safety. See Advanced Safety Measures Guidelines.

(*6) ELW: Abbreviation for Excellent Living and Working Environment. See Excellent Living and Working Environment Guidelines.

For inquiries and applications, please contact the following:

ClassNK

Certification Department

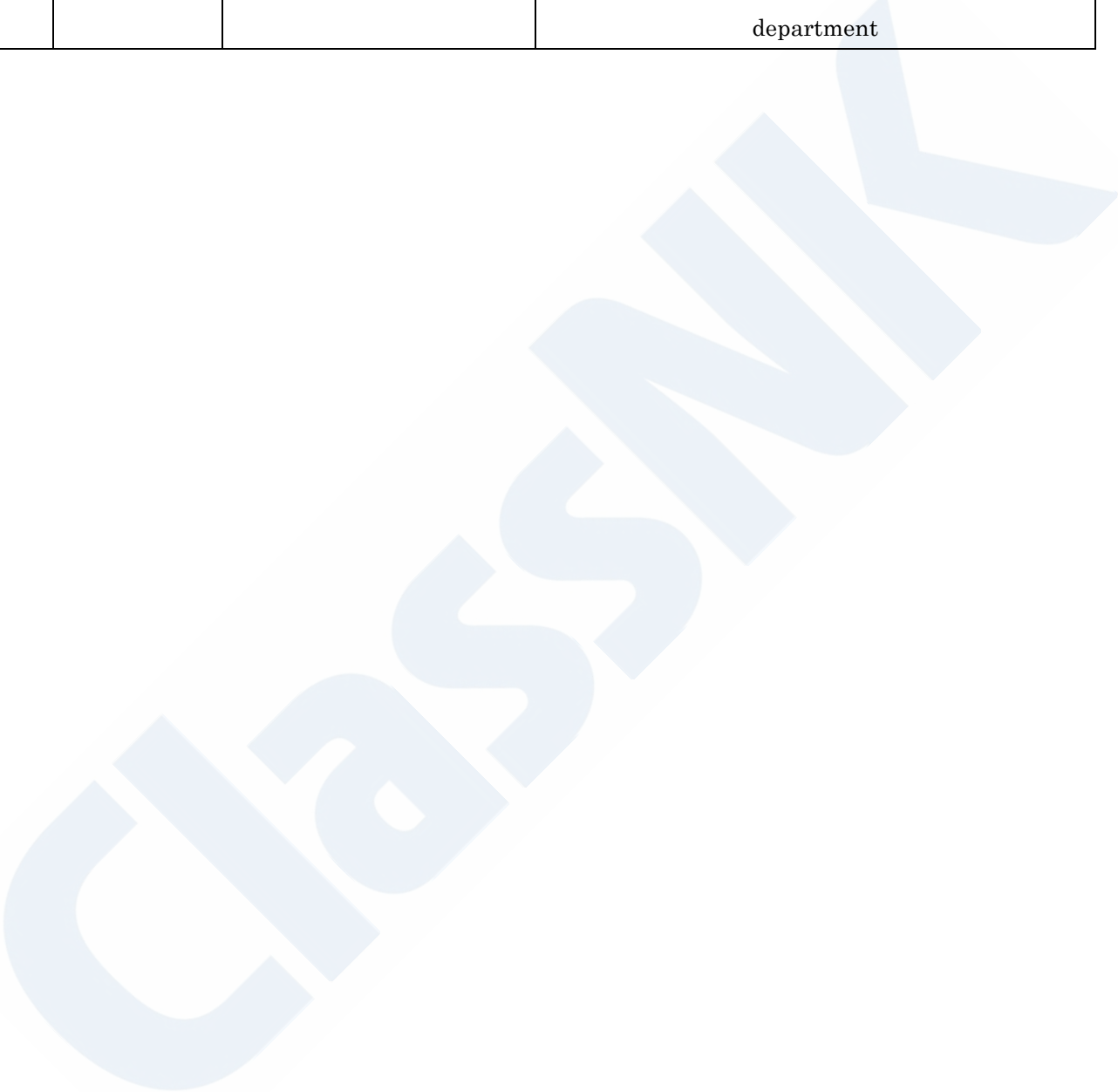
TEL: +81-3-5226-2178

FAX: +81-3-5226-2179

E-Mail: qad@classnk.or.jp

Record of Revision

No.	Date	Revised paragraph	Reason of Revision
1.0	2025.03.28	First issue	First issue
1.1	2026.03.31	Revision	Amended to reflect a change in the responsible department



Guidelines for Innovation Endorsement for Providers

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Chapter 1 General Provision

1.1 General

1.1.1 Application

These Guidelines apply to cases where an application has been made to certify the establishment of innovative corporate activities and business models that respond to the turbulent society as organizational efforts.

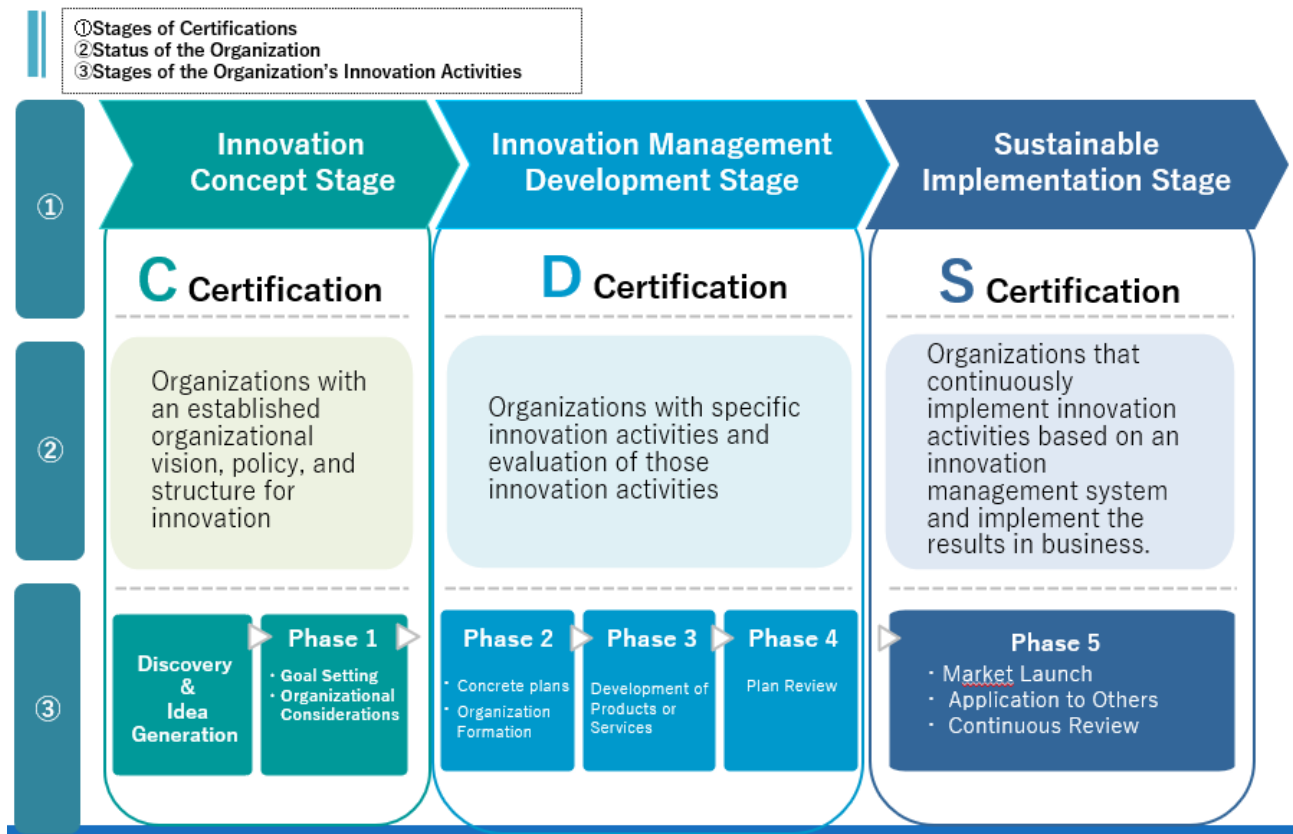
1.1.2 Stages of Certification

- 1. According to the level of organizational maturity related to innovation in corporate efforts, certification is conducted in three stages as specified in these Guidelines.
 - (1) Class C: Innovation concept stage
 - (2) Class D: Innovation management development stage
 - (3) Class S: Sustainable implementation stage with the prospect of commercialization
- 2. For organizations that have received certification regarding the status of efforts in (1) to (3) above, certification certificates (Hereinafter referred to as "Certificate".) corresponding to the classes shall be issued.

1.1.3 Overview of Certification at Each Stage

- (1) Class C: Innovation concept stage
Certification is conducted on how an organization intends to implement innovation (Management commitment and system for concept creation). For example, policies, plans, and organizations related to innovation such as "business activity matrix," "two-story innovation management," and "open innovation" are verified.
- (2) Class D: Innovation management development stage
Certification is conducted on whether an organization at C certification level can implement innovation. Specifically, it is conducted to verify that innovation is being implemented using methods and tools necessary to implement innovation activities such as "innovation compass," "stage gate method," and "knowledge creation process," while taking specific examples of innovation targets. The results of innovation efforts are also verified using the concept of "logic model," etc.
- (3) Class S: Sustainable implementation stage with the prospect of commercialization
D Certification level of organizations that have implemented innovation and implemented the results as a business. For example, these Guidelines developed with reference to ISO56001 is used to verify that an organization is continuously implementing innovation.

< Reference > Status of Organization and Innovation Achievement at Each Certification Stage



Chapter 2 Audit

2.1 Generals

2.1.1 Types of Audit

The types of audit shall be as follows:

- (1) Initial Audit
- (2) Annual Audit
- (3) Renewal Audit
- (4) Occasional Audit (if necessary)

2.1.2 Timing of Audit

The timing of audit shall be as specified in (1) to (4) below.

- (1) The initial audit shall be conducted when the application set forth in Appendix 1 is made.
- (2) In principle, the annual audit shall be conducted three months before and after the day on which one year has passed from the certificate issue date, and three months before and after the day on which two years have passed from the certificate issue date.
- (3) The renewal audit shall be conducted by the expiration date of the certificate.
- (4) An occasional audit shall be conducted in addition to the above audit when there is a significant change in innovation activities or management systems.

2.1.3 Validity of Certification

The validity of certification shall be valid for three years from the date of issuance of certification. In order to maintain certification, it is necessary to undergo annual audit and renewal audit.

2.1.4 Cancellation of Certification

If an organization that has obtained certification falls under any of the following cases, ClassNK shall cancel the certification and notify the organization to that effect.

1	The organization that has obtained certification requests to decline certification.
2	The organization does not undergo the annual or renewal audit.
3	The content of the application documents that served as the basis for certification, the materials checked at the time of on-site audit, or the explanation from the organization are found to be different from the facts, and the certification standards are no longer met.
4	The organization no longer meets the certification standards within the validity period of the certificate.
5	There is a serious violation of laws and regulations.
6	The audit fee is not paid.

7	The certification is cited inaccurately, the certificate and the audit result notice are used in a misleading manner, and the standards for using the certification mark that ClassNK has established are not observed.
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2.1.5 Suspension of Certification

If an organization that has obtained certification falls under any of the following items, ClassNK shall suspend the validity of the certificate and notify the organization to that effect.

1	If ClassNK grants a grace period for revocation of certification in a case that falls under any of the items in 2.1.4 above.
2	If the suspension is requested.

2.1.6 Flow of Certification Acquisition

The overall flow of certification acquisition is as follows.

-1. Application for Audit

- (1) Applicant organizations shall fill in the necessary documents at the time of application and submit them to the Certification Department of ClassNK in writing or electronic data. For the necessary documents, refer to 2.2.2 (Class C and Class D certification) or 2.3.2 (Class S certification).
- (2) Any organization that wishes to estimate the cost of this certification shall fill in request for audit quotation for Innovation Endorsement for Providers (Appendix 6) and submit it to the Certification Department of ClassNK in writing or electronic data.

-2. Application Acceptance. Organization of Audit Team and Prior Investigation

- (1) ClassNK will confirm the contents of the submitted documents and proceed to accept them. The application may not be accepted if the innovation activities or innovation management systems provided by the applicant organization
- (2) If the innovation activities or innovation management systems provided by the applicant organization are outside the scope of ClassNK certification, or if it is difficult to ensure fairness in providing certification services, etc.
- (3) When the acceptance of the application is decided, ClassNK shall obtain the agreement of the organization to be audited in advance regarding the audit process.
- (4) If ClassNK deems it appropriate to conduct an examination by more than one auditor, it shall organize a team capable of conducting an audit on the sufficient audit items or the conformity and effectiveness of the requirements.
- (5) If further information on the business activities or business contents of the applicant organization is required prior to the audit of documents, ClassNK shall collect such information by telephone or email inquiries or by submitting additional documents by the audit organization.

-3. Implementation of Audit

Document audit and on-site audit are conducted.

- (1) Document Audit

- ① For the implementation of document audit, see 2.2.3-1. Document audit (Class C and Class D certification) or 2.3.3-1. Document audit (Class S certification).
 - ② The result of document audit shall be notified to the applicant organization in writing or by email.
- (2) On-site Audit
- ① Based on prior discussions with the applicant organization, ClassNK shall notify the applicant organization in writing or by email of the audit plan including the on-site audit schedule.
 - ② For details on the implementation of on-site audit, see 2.2.3-2. On-site Audit (Class C and Class D certification) or 2.3.3-2. On-site Audit (Class S certification).
 - ③ The results of on-site audit should be reported in writing or by email within 14 days after completion of the audit. If corrective action is required, a request for corrective action should be sent along with the audit report. The applicant organization should implement corrective action and report the results.
- (3) Actions for Items Requiring Corrective Action
- After the corrective action, etc. of the applicant organization has been taken, ClassNK shall confirm the nonconformities and items for which improvement is recommended by either of the following methods.
- ① If on-site verification of corrective action is required, the results shall be verified through a follow-up audit. The results of the follow-up audit shall be reported in writing or by email within 14 days after completion of the audit.
 - ② If on-site verification of corrective action is deemed unnecessary, the conformity and effectiveness of the implemented corrective action shall be confirmed through documentary evidence concerning the implementation of corrective action, or the next audit.
- 4. Decision on Certification
- (1) As a result of the examination, if no nonconformities have been identified (or corrective measures have been completed) and the audit items have been satisfied or the requirements have been met, ClassNK shall decide on certification.
 - (2) After the decision on certification, ClassNK shall issue a certificate containing the organization name, applicable guidelines, scope of application, date of issue, and expiration date. The validity of the certificate shall, in principle, be three years from the date of the decision on certification.
 - (3) An organization that has obtained certification shall observe the following matters.
The certificate shall be properly stored and presented to ClassNK upon request.
 - ① If the certificate is lost or defaced, the organization shall promptly apply to ClassNK for reissuance.
 - ② If there is a change in the description of the certificate, the organization shall promptly apply to ClassNK for reissuance.

- ③ If the certificate is reissued (Except when lost.) or if the certificate is rewritten, the organization shall promptly return the old certificate to ClassNK.
- ④ If the certificate becomes invalid, the organization shall promptly return the certificate to ClassNK.
- ⑤ If the organization obtains the reissued certificate due to loss and subsequently finds the lost certificate, the organization shall promptly return the old certificate to ClassNK.

-5. Request for Audit Fee

After completion of audit, an invoice shall be sent by email or mail. In addition to audit fee, transportation and accommodation expenses required for audit shall also be requested. In addition, if audit is conducted on holidays or outside the designated working hours, an additional fee shall be charged.

-6. Payment of Audit Fee

The applicant organization should pay the fee within 30 days after issuing the invoice.

-7. Disclosure of Certification Information

Information on organizations that have obtained certification will be disclosed on the website of ClassNK.

-8. Standards for Use of Certification Marks and Citation of Certification

An organization that has obtained certification may use the certification mark or cite or indicate its certification status in printed materials (Company brochures, brochures, business cards, etc.), websites, etc. An organization that wishes to use the certification mark must fill in Request for Innovation Endorsement for Providers Logo (Appendix 9) and submit it in writing or electronically to the Certification Department of ClassNK. If there are no problems with the contents of the request form, General Affairs Department of ClassNK will send the data of the certification mark. If it is found that the use of the certification mark violates the standards for use of the certification mark, ClassNK will request corrective action. If no corrective action is taken, ClassNK will take measures such as deleting the registration. (See Appendix 9)

In addition, if the certification is no longer maintained, the use of the certification mark shall be suspended.

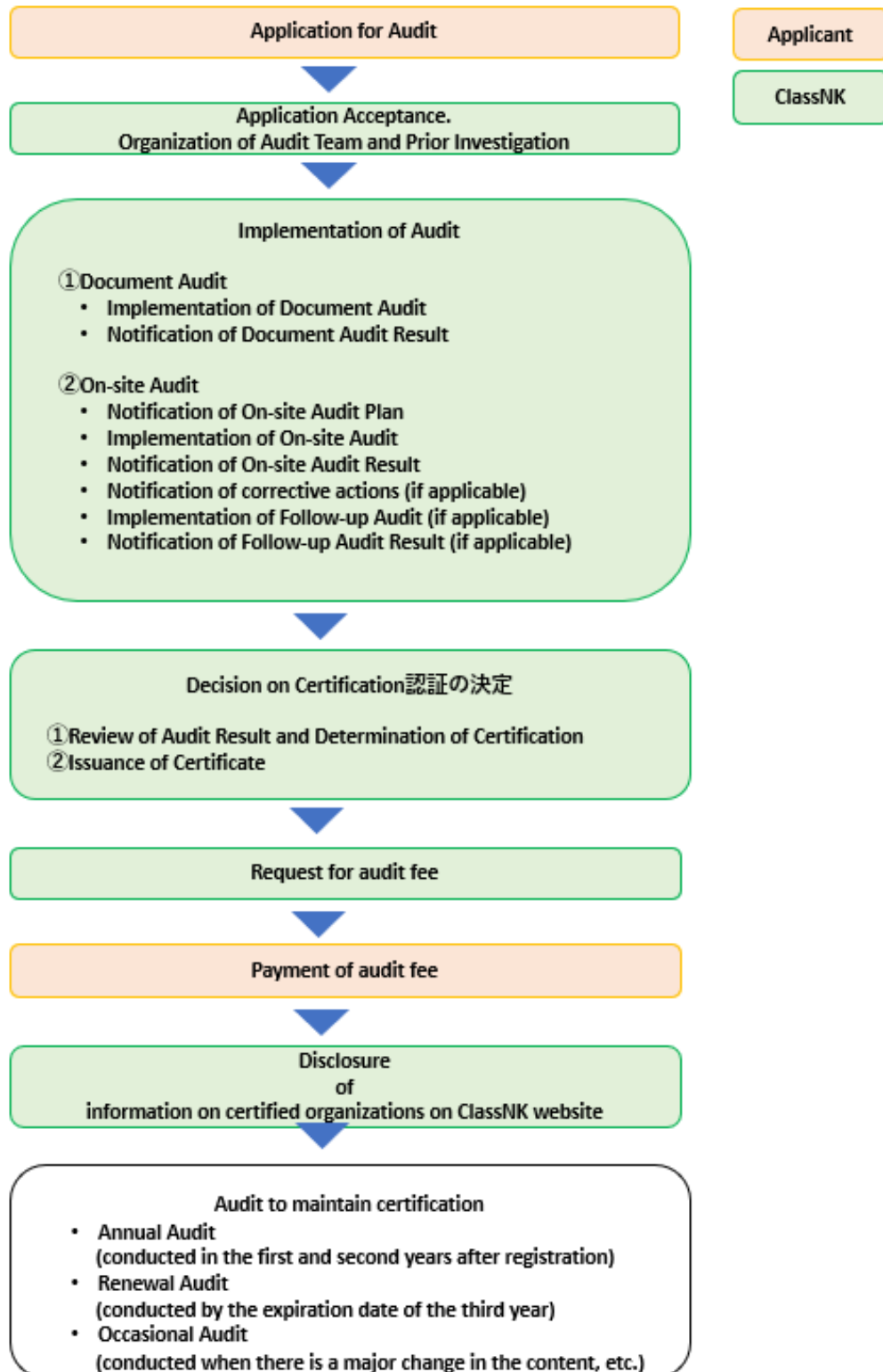
-9. Audit to Maintain Certification

After the initial audit, ClassNK will conduct an annual audit to ensure that certified organization continues to meet the audit criteria or meet the requirements. Furthermore, at the request of certified organization, a renewal audit will be conducted to maintain certification after the expiration of the certificate. In addition, an occasional audit will be conducted when significant changes are made to innovation activities or management systems.

- (1) Prior to the audit, a certified organization will complete a prescribed application form and submit it to Certification Department of ClassNK in writing or electronic data along with the necessary documents attached.
- (2) For the conduct of annual audit, see 2.4 Annual Audit.
- (3) For the conduct of renewal audit, see 2.5 Renewal Audit.
- (4) For the conduct of occasional audit, see 2.6 Occasional Audit.



< Reference > Audit Procedure Flowchart



2.2 Initial Audit (Class C and Class D Certification)

2.2.1 General

-1. In the audit for Class C and Class D certification, document review and on-site audits shall be conducted in accordance with the organization's stage of innovation development to confirm compliance with the applicable requirements of these Guidelines.

2.2.2 Documents to be submitted

- 1. At the time of application for certification audit, an organization that intends to undergo audit shall complete and submit the Application Form for Innovation Endorsement for Providers (Appendix 1) and the Innovation Endorsement for Providers Questionnaire (Appendix 3, Appendix 4).
- 2. If existing materials exist for the items required in the questionnaire in the preceding -1., it is possible to submit those materials in lieu of filling in the questionnaire.
- 3. If ClassNK deems it necessary, submission of additional documents may be required.

2.2.3 Audit Method

-1. Document Audit

Based on the questionnaire submitted at the time of application (Appendix 3 and Appendix 4) and accompanying documents, it is confirmed whether the audit items for Class C and Class D certification specified in 2.2.4 below are satisfied.

-2. On-site Audit

After the document audit, an on-site audit is conducted to evaluate compliance with the requirements and their effectiveness by an auditor who has expertise and work experience in the business activities to be audited. In principle, the on-site audit is conducted according to the following procedure.

1	First meeting : introduction of the audit team or auditor (Hereinafter referred to as "audit team"), confirmation of the purpose and scope of the audit, and confirmation of the schedule of the on-site audit.
2	Confirmation of the audit items. Class C: Interview with top management. Class D: Interview with top management, managers, and persons in charge and confirmation of the records specified in the audit items.
3	Audit team meeting: Review of the audit results by the audit team, evaluation, and conclusion summary.
4	Final meeting: Report of the review findings (including corrective requirements, if any), and explanation of subsequent procedures.

If there are no records in documents, etc., the audit items shall be deemed to have been confirmed if they can be confirmed through interviews or interviews with

employees. However, the auditor shall provide advice on the preparation of records, and the advice shall be described as an observation item.

Furthermore, if it is confirmed that the audit items require improvement, the auditor may request the organization to revise the documents and submit them again.

In addition, if any nonconforming matter is confirmed, a written recommendation for correction is prepared before the final meeting and confirmation by the management supervisor is requested.

The audit report is sent within 14 days after the end of the audit. If corrective action is required, the corrective action shall be reported by the organization. If on-site confirmation for the corrective action is required, the verification is conducted at the follow-up audit.

2.2.4 Contents of Audit

In the audit of Class C and Class D certification, the organization’s compliance with the following requirements shall be confirmed.

(1) Class C

1	The external environment has been investigated and analyzed.
2	The supervisor (top management) of the company wishing to obtain certification has a vision, policy, and strategy for innovation.
3	There is a plan to achieve innovation, and the organization is organized or the organization is being considered.

(2) Class D

1	The external environment is investigated and analyzed.
2	There are methods and tools to achieve innovation by developing the concepts in 2 and 3 of Class C above.
3	There are indicators, methods, timing, and evaluation results for evaluating innovation activities.
4	There is a system for implementing innovation activities.

2.3 Initial Audit (Class S Certification)

2.3.1 General

In Class S Certification, an organization establishes a management system for creating effective and efficient innovation, conducts and evaluates innovation activities based on the system, and conducts a document audit and an on-site audit to confirm that they conform to the applicable requirements of these Guidelines.

2.3.2 Documents to be submitted

-1. An organization that intends to undergo the initial audit shall submit the following documents together with the application form for Innovation Endorsement for Providers (Appendix 1) at the time of application for certification audit.

Attachment	
(1)	Documents related to innovation management systems (Hereinafter referred to as "management system".)
(2)	List of documents related to business procedures related to the management system
(3)	Overview of organization
(4)	Details of business subject to audit

-2. In the event that further information is required regarding the contents of the business or the status of the establishment of the management system described in the preceding -1, a preliminary investigation (confirmation of additional submitted documents and/or company visit) may be conducted prior to the implementation of the audit.

2.3.3 Audit Method

-1. Document Audit

Compliance with the requirements (Hereinafter referred to as "Requirements".) of the management system developed with reference to ISO 56001 shall be audited based on the documents submitted at the time of application. If there are no records in writing, etc., the requirements shall be deemed to have been confirmed if they can be confirmed through hearings or interviews with employees. However, the auditor shall provide advice on the preparation of records, and the advice shall be described as an observation item.

In addition, if matters that do not conform to the requirements (Hereinafter referred to as "non-conforming matter".) are confirmed, the auditor may request the organization to revise the documents and submit them again.

-2. On-site Audit

After the document audit, an on-site audit is conducted to evaluate compliance with the requirements and their effectiveness by an auditor who has expertise and work experience in the business activities to be audited. In principle, the on-site audit is conducted according to the following procedure.

1	First meeting : introduction of the audit team or auditor (Hereinafter referred to as "audit team".), confirmation of the purpose and scope of the audit, and confirmation of the schedule of the on-site audit.
2	Confirmation of the audit items. Class S: Interviews with top management, managers and persons in charge and confirmation of records, etc. specified in the examination items.
3	Audit team meeting: Review of the audit results by the audit team, evaluation, and conclusion summary.

4	Final meeting: Report of the review findings (including corrective requirements, if any), and explanation of subsequent procedures.
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If any items that do not meet the requirements are confirmed, a written recommendation for correction is prepared before the final meeting, and confirmation from the management supervisor is requested.

The audit report is sent within 14 days after the end of the audit. If corrective action is required, the corrective action shall be reported by the organization. If on-site confirmation for the corrective action is required, the verification is conducted at the follow-up audit.

2.3.4 Contents of Audit

Based on "Class S Requirements" (Appendix 8), the status of establishment and implementation of the management system will be audited. The main audit items are as follows.

1	Organization status: understanding the organization and its status, understanding the needs and expectations of stakeholders, determining the scope of application of the management system, establishing the management system, etc.
2	Leadership: leadership and commitment, innovation policy, etc.
3	Planning: addressing opportunities and risks, innovation objectives and planning to achieve them, organizational structure, etc.
4	Support system: management resources, competence, awareness, documented information, tools and methods, etc.
5	Activities: planning and management of activities, innovation initiatives, processes, etc.
6	Performance evaluation: monitoring, measurement, analysis and evaluation, internal audit, management review, etc.
7	Improvement: deviations, nonconformities and corrective actions, continuous improvement, etc.

2.4 Annual Audit

2.4.1 General

In the annual audit, records, etc. are used to confirm that the organization's innovation activity and management system are in compliance with the requirements of these Guidelines.

2.4.2 Audit Items

-1. For Class C certification, check whether there have been any changes in the following audit items since the initial audit.

If there have been any changes, check that the changes are in compliance with the applicable provisions of these Guidelines.

1	Continual investigation and analysis of changes in the external environment, etc.
2	The supervisor (top management) of the company wishing to obtain certification has a vision, policy, and strategy for innovation.
3	Whether there have been any changes in the plan and organization for achieving innovation or the organization under consideration.
4	Actions taken for nonconformities identified in the previous audit have been reviewed.

-2. For Class D certification, check whether there have been any changes in the following audit items since the initial audit.

If there have been any changes, check that the changes are in compliance with the applicable provisions of these Guidelines.

1	Continual investigation and analysis of changes in the external environment, etc.
2	Whether there have been any changes in the methods and tools for achieving innovation by developing the concepts in 2 and 3 of Class C above.
3	There are indicators, methods, timing, and evaluation results for evaluating innovation activities.
4	There is a system for implementing innovation activities.
5	Actions taken for nonconformities identified in the previous audit have been reviewed.

-3. In Class S certification, the following requirements are confirmed through document audit and on-site audit.

1	Internal audits and management reviews have been conducted.
2	Actions taken regarding nonconformities identified in the previous audit have been reviewed.
3	Complaints have been appropriately handled.
4	Planned activities aimed at continuous improvement have been conducted.
5	Continuous operation management has been conducted.
6	Any changes have been reviewed.

2.5 Renewal Audit

2.5.1 General

-1. Class C and Class D certification shall confirm the continuing conformity of the organization's innovation activities and the continued relevance and applicability of the organization's innovation activities to the scope of the registry.

-2. Class S certification shall confirm the continuing conformity and effectiveness of the management system as a whole and the continued relevance and applicability of the management system to the scope of the registry.

2.5.2 Audit Items

-1. For Class C certification, compliance with the following requirements is confirmed through document audit and on-site audit.

1	Changes in the external environment are investigated and analyzed.
2	The vision, policy, and strategy for innovation of the supervisor (top management) of the organization wishing to obtain certification are functioning effectively.
3	The plan and organization for achieving innovation are functioning effectively.
4	Actions taken for nonconformities identified in the previous audit are reviewed.

-2. For Class D certification, compliance with the following requirements is confirmed through document audit and on-site audit.

1	Changes in the external environment are investigated and analyzed.
2	There are methods and tools for achieving innovation by developing the concepts in 2 and 3 of Class C above.
3	There are indicators, methods, timing, and evaluation results for evaluating innovation activities.
4	There is a system for implementing innovation activities.
5	Actions taken for nonconformities identified in the previous audit are reviewed.

-3. For Class S certification, document audit and on-site audit shall confirm that the following items have been implemented based on "Class S Requirements" (Appendix 8).

1	The overall effectiveness of the management system for internal and external changes, and its continued relevance and applicability to the scope of certification
2	A demonstrated commitment to maintaining the effectiveness and improvement of the management system to enhance overall performance
3	The effectiveness of the management system in achieving organizational objectives and the intended results of the management system

2.6 Occasional Audit

-1. For Class C and Class D certification, the following changes shall be examined, and it shall be confirmed that the requirements are met and maintained.

1	Significant changes have been made to the innovation activities and processes of the organization
2	Changes have been made to the scope of certified business activities and establishments (scope of the organization's innovation activities)
3	Significant changes have been made to the organization and management
4	Significant changes have been made to legal, commercial, organizational status, or ownership

-2. For Class S certification, an audit is conducted according to the following changes, and it is confirmed that the changes conform to the requirements and are maintained.

1	Significant changes have been made to the innovation activities and processes of the organization
2	Changes have been made to the scope of certified business activities and establishments (scope of the organization's innovation activities)
3	Significant changes have been made to the organization and management
4	Significant changes have been made to legal, commercial, organizational status, or ownership

-3. In principle, an occasional audit shall be conducted at the request or consent of the certified organization and with advance notice

Chapter 3 Miscellaneous Provisions

3.1 Provision of Information

The applicant shall provide sufficient and accurate information that ClassNK considers necessary to maintain the validity of the Innovation Endorsement for Providers certification.

3.2 Confidentiality

ClassNK shall not provide any information learned during the Innovation Endorsement for Providers certification audit conducted in accordance with these Guidelines to third parties without the permission of the applicant.

3.3 Conditions of Service Delivery and Other Matters

Conditions of Service Delivery and other matters not described in these Guidelines shall be subject to ClassNK's Technical Service Regulations, which are separately specified.

3.4 Appendix List

Appendix1 : Application Form for Innovation Endorsement for Providers

Appendix2 : Instructions for Application Form for Innovation Endorsement for Providers

Appendix3 : Innovation Endorsement for Providers Questionnaire [for C certification]

Appendix4 : Innovation Endorsement for Providers Questionnaire [for D certification]

Appendix5 : Instructions for Innovation Endorsement for Providers Questionnaire

Appendix6 : Request for Evaluation of Innovation Endorsement for Providers

Appendix7 : Certification of Innovation Endorsement for Providers

Appendix8 : Requirements for Class S certification

Appendix9 : Request for Innovation Endorsement for Providers logo

Appendix1 : Application Form for Innovation Endorsement for Providers

To ClassNK

Applicant

Name of Organization		Date of Application	yyyy/mm/dd
Address	〒	T E L	
		F A X	
Department in Charge	Department :	E - m a i l	

We accept ClassNK's "Innovation Endorsement for Providers Guidelines" and apply for the Innovation Endorsement for Providers service.

Application details

Type of Audit	<input type="checkbox"/> Initial Audit <input type="checkbox"/> Annual Audit <input type="checkbox"/> Renewal Audit <input type="checkbox"/> Occasional Audit (Reason : _____)			
Certification Class	Class C	Innovation concept stage	<input type="checkbox"/>	
	Class D	Innovation management development stage	<input type="checkbox"/>	
	Class S	Sustainable implementation stage	<input type="checkbox"/>	
Organization to be audited	Certification Number	(Note: No need to fill out the form for the initial audit)		
	Organization Name	〒		
	Address	〒		
	Organization Representative	Name	Title	
	Responsible person subject to audit	Name	Department/ Title	
	Contact person	Name	Department/ Title	
		Tel.	E-mail	
Subject				
Overview of Innovation				
Attached documents	< Classes C and D > <input type="checkbox"/> Innovation Endorsement for Providers Questionnaire <input type="checkbox"/> Materials related to the content of the Questionnaire <Class S > <input type="checkbox"/> Information documenting the innovation management system			

	<input type="checkbox"/> A list of documents related to the operational procedures related to the innovation management system <input type="checkbox"/> Overview of the Company <input type="checkbox"/> Details of the business subject to the audit
Remarks	

Billing address

(If the payer of the fee, etc. for this audit is different from the applicant, please enter the billing address below.)

Company Name		T E L	
Address		F A X	
Person in charge	Department :	E - m a i l	

*The audit fee will be charged to the applicant regardless of the success or failure of the service.

Issuance of Certificate *

Please fill out this attached form only in the following cases and submit it with the application form.

1. When applying for the initial audit or renewal audit
2. In cases other than 1 above, when changing the contents of the "Type of certificate to be issued" or "Description in English" column below

Organization Name _____

Type of certificate to be issued	Please enter <input checked="" type="checkbox"/> in parentheses <input type="checkbox"/> for the type of certificate to be issued.	
	<input type="checkbox"/> Certificate in Japanese	
	<input type="checkbox"/> Certificate in English	
Copy of certificate	Please enter <input checked="" type="checkbox"/> and the required number in parentheses <input type="checkbox"/> for the type of certificate to be issued.	
	<input type="checkbox"/> Japanese certificate (required number of copies : _____)	
	<input type="checkbox"/> English certificate (required number of copies : _____)	
Description in English	Organization Name	
	Address	
	Innovation activities	
Remarks		

Note 1: The fee for issuing a copy of the certificate: 5,000 JPY per copy.

Appendix2: Instructions for Application Form for Innovation Endorsement for Providers

1. About filling in the application form

(1) Applicant

Please fill in the applicant's company name, address, contact information, person in charge, and application date.

(2) Type of Audit

Please check the appropriate place . In the case of an occasional audit, please include the reason for the audit in parentheses (). If there is not enough space, please fill in the remarks column or attach a separate document with necessary information. In principle, the following cases are subject to occasional audit.

<Class C and Class D>

1	Significant changes have been made to the innovation activities and processes of the organization
2	Changes have been made to the scope of certified business activities and establishments (scope of the organization's innovation activities)
3	Significant changes have been made to the organization and management
4	Significant changes have been made to legal, commercial, organizational status, or ownership

<Class S>

1	Significant changes have been made to the innovation activities and processes of the organization
2	Changes have been made to the scope of certified business activities and establishments (scope of the organization's innovation activities)
3	Significant changes have been made to the organization and management
4	Significant changes have been made to legal, commercial, organizational status, or ownership

(3) Certification Class

Please check the appropriate place .

(4) Organization to be audited

Please enter the certification number (In the case of the initial audit, it is not necessary to fill in. The certification number is on the certificate.), the name and address of the organization subject to audit, the name and title of the representative of the organization, the name and title of the person responsible for the audit, and the name, title, and contact information of the contact person.

(5) Subject

Please enter the subject of the innovation subject to audit.

(6) Overview of Innovation

Please provide an outline of the innovation subject to audit

(7) Attachments

For the documents to be attached, please check the appropriate place . If the documents are to be sent later, please write "Submit separately" in the remarks column. For Class C and Class D certifications, the attached Innovation Endorsement for Providers questionnaire will be used for document audit to confirm that the items to be audited are met. For Class S, the attached information documenting your company's innovation management system will be used for document audit to confirm that it meets the requirements based on these guidelines.

(8) Billing address for the audit fee

If the payer of the fee, etc. for this audit is different from the applicant of (1), please enter the billing address.

(9) Type of Certificate to be issued

With regard to the type of certificate to be issued, please check the appropriate place .

(10) Copy of Certificate

For the copy of the certificate you wish to obtain, please check the appropriate place and enter the number of copies required.

(11) Description in English

Please enter the official name of your company in English for reference when issuing the certificate in English.

2. Remarks

The review process is set out in the Technical Service Regulations and the "Innovation Endorsement for Providers Guidelines" and is available on our website. Please accept the terms and conditions before applying.

Appendix3 : Innovation Endorsement for Providers Questionnaire [Class C]

1. Your company's Vision, Policy, and Strategy for Innovation

*Please describe your company's vision, policy, and strategy for innovation as the background of your innovation.

2. About innovations subject to this certification

When reviewing the Innovation Endorsement for Providers certification, please fill in the following items according to the stage of your company's innovation efforts.

*If you have a document explaining the following items, you can omit the details by including the title of the document and the corresponding page.

Subject of innovation	
Details of audit	Class C
Overall view of the innovation to be audited	
Purpose of innovation	
Organizational status (Issues)	
Goals of innovation	
Overview of innovation	

<p>Plan for achieving innovation</p>	
<p>Organization and person in charge of innovation subject to audit</p>	
<p>Organization or Support structure (Organization chart, etc.)</p>	
<p>Name of responsible person and person in charge of each department</p>	

Appendix4 : Innovation Endorsement for Providers Questionnaire 【Class D】

1. Your company's Vision, Policy, and Strategy for Innovation

*Please describe your company's vision, policy, and strategy for innovation as the background to this innovation.

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2. About innovations subject to this certification

When reviewing the Innovation Endorsement for Providers certification, please fill in the following items according to the stage of innovation at your company.

*If you have a document explaining the following items, you can omit the details by including the title of the document and the corresponding page.

Subject of innovation	
Details of audit	Class D
Overall view of the innovation to be audited	
Purpose of innovation	
Organizational status (Issues)	
Goals of innovation	
Overview of innovation	

Plan to achieve innovation	
Approach to achieve innovation	
Documentation (including procedures)	
Hardware tools	
Evaluation of demonstration	
Evaluation indicators	
Evaluation method	
Evaluation time	
Evaluation results	
Organization and person in charge of innovation subject to audit	
Organization or Support structure (Organization chart, etc.)	
Name of responsible person and person in charge of each department	

Appendix5 : Instruction for Innovation Endorsement for Providers Questionnaire

Document audit for Class C and Class D will be conducted based on the content of the submitted Innovation Endorsement for Providers Questionnaire. For Class C and Class D, the content to be written is partially different, so please refer to this instruction.

1. Your company's Vision, Policy, and Strategy for Innovation

< Common for Class C and Class D >

Please describe your company's Vision, Policy, and Strategy for Innovation.

2. Innovation subject to this certification

(1) Subject of innovation

< Common for Class C and Class D >

Please enter the subject line of the innovation to be reviewed.

(2) Overall view of the innovation to be audited

① Purpose of innovation

< Common for Class C and Class D >

Please enter the purpose of your company's innovation.

② Organizational status (Issues)

< Common for Class C and Class D >

Please enter the results of research and analysis of the external environment and the requirements and expectations of stakeholders. Also, please describe the status and challenges of your organization.

③ Goals of innovation

< Common for Class C and Class D >

Please enter the goals of the innovation activities to be audited.

④ Overview of innovation

< Common for Class C and Class D >

Please enter an overview of the innovation to be audited.

⑤ Plan to achieve innovation

< Common for Class C and Class D >

Please enter a specific plan for innovation activities of ④.

(3) Approach to achieve innovation

① Documentation (including procedures)

<Class C>

No entry required.

<Class D>

Please describe the method (document) for achieving innovation activities.

② Hardware tools

<Class C>

No entry required.

<Class D>

Please describe the method (hardware tool) to achieve innovation activities.

(4) Evaluation of demonstration

<Class C>

No entry required.

<Class D>

Please enter the "evaluation index," "evaluation method," "evaluation period," and "evaluation result" used in the demonstration of the innovation activity.

(5) Organization and person in charge of innovation subject to audit

① Organization or Support structure (Organization chart, etc.)

< Common for Class C and Class D >

Please describe your organization and support structure to achieve the innovation activities to be audited.

② Name of the person in charge of each department

< Common for Class C and Class D >

Please enter the name of the person in charge of each department listed in ①.

3. Remarks

- (1) If there is a document explaining the item, it is possible to omit the description by submitting the document.
- (2) If there is a document related to the content described, please submit it together. (Examples: Management strategies, organizational charts, etc.)

- (3) " Approach to achieve innovation" and " Evaluation of demonstration " are audit items for Class D. If you are applying for Class C, if there are already established items, please write them for reference.

ClassNK

Appendix6 : Request for Audit Quotation for Innovation Endorsement for Providers

To ClassNK

Request for Quotation

We request ClassNK to estimate the cost of the Innovation Endorsement for Providers certification. The information related to the certification is as follows:

1	Organization Name			
2	Address	〒		
3	Certification Class	<input type="checkbox"/> Class C (Innovation concept stage) <input type="checkbox"/> Class D (Innovation management development stage) <input type="checkbox"/> Class S (Sustainable implementation stage with the prospect of commercialization)		
4	Types of Audit	<input type="checkbox"/> Initial <input type="checkbox"/> Annual <input type="checkbox"/> Renewal <input type="checkbox"/> Occasional		
5	Outline of Innovation			
6	Target date to acquire certification	yyyy/mm		
7	Contact	Department		
		Name of person in charge		
		TEL	E-mail	
8	Attachments	*If possible, please attach a company brochure, organizational chart or brochure that provides an overview of your company's business.		
9	Other Information	_____ _____ _____ _____		

Certificate No. XXLDXXXXX

Endorsement for Annual audit

THIS IS TO CERTIFY that, at an annual audit required by the ClassNK's guidelines on innovation endorsement for providers, the organization has been reviewed and found in order in accordance with the guidelines.

Due range for Annual audit: within 3 months before or after DD MM, each year

<p>Annual Audit Place: _____ Date: _____</p> <p style="text-align: right;">Signed: _____ (Auditor to NIPPON KAIJI KYOKAI)</p>
--

<p>Annual Audit Place: _____ Date: _____</p> <p style="text-align: right;">Signed: _____ (Auditor to NIPPON KAIJI KYOKAI)</p>
--

Appendix 8 : Class S Requirements

1. Purpose

An organization can create effective and efficient innovation by managing all its activities and related resources as a system. An innovation management system is a system for systematically creating innovation with the aim of realizing value. Based on this system, innovation activities are implemented and evaluated to achieve the intended result.

2. Application

These guidelines can be applied to all organizations.
Items 4 and subsequent items are referred to only as necessary.

3. Citation Standard

Innovation management system -Requirements (ISO56001:2024)

4. Building an Innovation Management System

4.1 Circumstances within and around the organization

The organization shall periodically investigate, analyze and clarify internal and external conditions and challenges that may affect the achievement of innovation goals, as well as areas where potential opportunities exist.

4.2 Stakeholder needs and expectations

The organization shall clarify, monitor and review the requirements and expectations of stakeholders and stakeholders, as well as collaboration with stakeholders. The organization shall identify, monitor and review stakeholders, their demands and expectations, and their coordination with stakeholders.

4.3 Scope of the Innovation Management System

To define the scope of the Innovation Management System, the organization shall determine the objectives of innovation and the applicable boundaries of the Innovation Management System, taking into account 4.1 and 4.2.

4.4 Establishment of the Innovation Management System

The organization shall establish, implement, maintain and continuously improve the Innovation Management System in accordance with the objectives of innovation.

5. Leadership and Commitment of Top Management

5.1 Leadership and Commitment

Top management shall demonstrate leadership and commitment by:

- a) Regularly evaluate the effectiveness and efficiency of the innovation management system and promote continuous improvement to achieve its objectives.
- b) Establish a vision, strategy, policy and objectives for innovation that are consistent and compatible with the organization's status and strategic direction.
- c) Assist all management and leaders to provide leadership in their areas of responsibility.
- d) Ensure that the organizations and resources required for the innovation management system are available.

- e) Communicate the importance of the innovation management system, foster an organizational culture in which people can actively participate and cooperate, and support the creation of systems in which innovators are appropriately evaluated.
- f) The requirements of the organization's innovation management system shall be incorporated into the existing organization and business processes as necessary.

5.2 Innovation Policy

Top management shall establish, implement and maintain an innovation policy. The innovation policy shall be communicated, understood and applied in the organization through documentation, etc.

5.3 Responsibilities and Authority

Top management shall communicate and understand responsibilities and authority for the assigned roles in the organization.

6. Planning of Innovation Activities

6.1 Determining Opportunities and Risks

When planning an innovation management system, the organization shall determine opportunities and risks by taking into account the internal and external challenges described in Section 4.1 and the needs and expectations of stakeholders described in Section 4.2.

6.2 Purpose of Innovation

The organization shall formulate the purpose of innovation for each relevant department and maintain documents, etc.

6.3 Plan for Achieving the Purpose of Innovation

When the organization plans innovation activities, it shall decide the following matters:

- a) Outline of implementation (fields where opportunities exist and types of innovation)
- b) Internal and external stakeholders
- c) System and support necessary for project implementation

【Example】

- Organization
 - Securing human resources (Including outsourcing and cooperation) and organizing effective teams
 - Securing time for innovation activities
 - Preserving, protecting, and utilizing knowledge, information, and data obtained through intelligence and experience
 - Procuring and allocating financial resources and investing in innovation activities
 - Infrastructure for innovation activities such as equipment, hardware, and software required for facilities and research buildings
- d) Responsible person
 - e) Timing of achieving each stage (milestones)
 - f) Strategic criteria and portfolio criteria used to evaluate innovation efforts

- g) Methods of evaluating results (including the use of innovation performance indicators)
- h) Methods of protecting and utilizing results
- i) Methods of communicating implementation measures
- j) Documents to be retained or maintained

7. Implementation of Innovation Activities

7.1 Implementation of Innovation Activities

In order to implement the decisions made in section 6.3, the organization shall plan, implement, and manage innovation efforts, processes, organizations, and support through:

- a) Establishment of standards for innovation efforts and processes
- b) Implementation of management of innovation efforts and processes in accordance with the standards

When the organization changes plans, it shall manage the changes, and when unintended changes occur, it shall review the results and take action as necessary.

When innovation activities are implemented through outsourcing or collaboration, it shall ensure that the efforts and processes of the external organization are managed.

7.2 Records and their management

The organization shall maintain enough documents to confirm that innovation initiatives and processes have been implemented as planned.

8. Evaluation of Innovation Activities

8.1 Evaluation Methods and Timings

The organization shall determine the following matters in order to evaluate innovation activities.

- a) Evaluation indicators and targets
- b) Tools and methods for observation, measurement, analysis and evaluation
- c) Timing of observation and measurement
- d) Timing of analysis and evaluation of observation and measurement results
- e) Responsible Person

8.2 Analysis and Evaluation

The organization shall analyze and evaluate the performance of innovation activities and the effectiveness and efficiency of the innovation management system from the following perspectives:

- a) Strategy and objectives of innovation, and realization and redistribution of value resulting from innovation activities
- b) Elements of the innovation management system and their interactions

8.3 Records and their management

The organization shall maintain appropriate documentation as evidence of results.

9. Internal Audit

9.1 Implementation of Internal Audit

The organization shall conduct internal audits at predetermined intervals to

verify whether the innovation management system meets the requirements and is functioning effectively.

9.2 Records and their management

The organization shall maintain documentation of the implementation of the audit program and evidence of audit results and follow-up activities.

10. Management review

10.1 Conduct of management review

Top management shall review the organization's innovation management system at predetermined intervals to ensure that it remains appropriate, reasonable, effective and efficient.

10.2 Records and their management

The organization shall retain documents as evidence of the results of the management review.

11. Improvements

11.1 Implementation of Improvements

The organization shall take into account the results of the performance evaluation, identify where improvements in the innovation management system are needed, and take action.

11.2 Corrective actions

When deviations or nonconformities occur, the organization shall take appropriate action, review the effectiveness of all corrective actions taken, and make changes to the innovation management system as necessary.

11.3 Records and their management

The organization shall maintain documents as evidence of:

- a) the nature of the deviations or nonconformities and all actions taken against them.
- b) the results of corrective actions.

11.4 Continuous improvement

The organization shall continuously improve the appropriateness, adequacy, effectiveness and efficiency of its innovation management system.

Appendix9 : Request for Innovation Endorsement for Providers Logo

ClassNK Innovation Endorsement Certification Logo Use Application

To ClassNK (gad@classnk.or.jp)

We hereby apply to use ClassNK's Innovation Endorsement Certification Logo as follows: If the relevant certification becomes invalid or if requested by your society, we will immediately suspend the use.

Application Date	Click or tap to enter a date.		
Company (Organization) Name	Click or tap here to enter the text.		
Name and Department of the Person in Charge of Application	Click or tap here to enter the text.		
Email address	Click or tap here to enter the text.		
Phone number	Click or tap here to enter the text.		
<i>Please check the logo you wish to use (see next page).</i>			
	<input type="checkbox"/> Products and Solutions Certification <i>*If you use this on a business card, please include the approved product on the card.</i> <input type="checkbox"/> Providers Certification Class: Select Class		
Related Certificate Number	Click or tap here to enter the text.	Certificate Issue Date	Click or tap to enter the date.
Purpose of Use <i>Check all applicable items.</i>	<input type="checkbox"/> Brochure <input type="checkbox"/> Website <input type="checkbox"/> Business card <input type="checkbox"/> Other ()		
When to start Use	Click or tap here to enter the text.		
Remarks	Click or tap here to enter the text.		

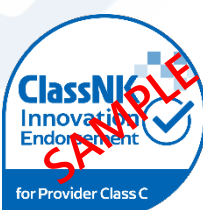
-
- The personal information obtained through this application form is managed appropriately by ClassNK for the purpose of managing the status of use of the logo.
 - Certified logo marks related to ClassNK, ClassNK APPROVED, safety management system based on ISM code, and ISO management system are managed by each department in charge. Please let us know if you need it.

Innovation Endorsement Certification Logo (2024)

Products and Solutions Certification



Providers Certification with Class Notation : As shown in the Class C example below, a file corresponding to the obtained Class and one without Class notation are provided.



Contact Information

If you have any questions regarding the contents of these Guidelines, please contact the following:

ClassNK
 Certification Department
 Tel : +81-3-5226-2178
 E-mail : qad@classnk.or.jp



ClassNK

Business Assurance Division

Certification Department

4-7 Kioi-cho, Chiyoda-ku, Tokyo 102-0094, JAPAN

Tel: +81-3-5226-2178

Fax: +81-3-5226-2179

E-mail: qad@classnk.or.jp

www.classnk.or.jp