Rev. No.	15

RULES FOR CERTIFICATION OF MANAGEMENT SYSTEMS

Date of Establish: October 12, 2007

[redacted]

NIPPON KAIJI KYOKAI

RULES FOR CERTIFICATION OF MANAGEMENT SYSTEMS

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RULES FOR CERTIFICATION OF MANAGEMENT SYSTEMS

CHAPTER 1 GENERAL RULES

1.1 General

NIPPON KAIJI KYOKAI (hereinafter referred to as “the Society”) audits and registers (hereinafter referred to as “certification”) quality, environmental, occupational health and safety, road traffic safety, energy, information security, and railway quality management systems (hereinafter referred to as “the management systems”) of the organizations which are manufacturing and/or supplying products, including ships, steel structure, machinery, material, etc., and servicing for them (hereinafter referred to as “Organizations”) under the provisions of the Rules for Certification of Management Systems of the Society (hereinafter referred to as “the Rules”).

CHAPTER 2 CERTIFICATION OF MANAGEMENT SYSTEMS

2.1 General

-1 The Society carries out initial audits for certification of management systems of organizations by the auditors of the Society in accordance with the provisions of Chapter 3, and registers the management systems of the relevant organizations in the Management System Register Books respectively when the management systems of the organizations are found to conform to the requirements of the management systems standards.

-2 The organization is to specify the applicable standards, scopes of the products to be applied and manufacturing works in the application.
The Society, however, declines the application when the Society considers that the objects of the application do not fall under the scope of the certification specified in the Rules.

-3 The Society shall have a legally enforceable agreement for the provision of certification activities with the organization. In addition, where there are multiple sites of the organization, the agreement shall cover all the sites within the scope of the certification.

2.2 Register Book

-1 The Society registers the certification number and date, the name and address of the organization and/or the manufacturing works that have been allowed to be registered, the organization’s activities, and the applicable standards.

-2 The Society describes the registered items as indicated above -1 in the Register Book and makes it public.

-3 In case the items described in the Register Book are changed, the organization of which management systems are registered (hereinafter referred to as “certified organization”) shall notify the changes to the Society without delay.

-4 In case changes are made to the registered items, the Society revises the relevant parts of the Register Book accordingly.

2.3 Certificate

-1 The Society issues an appropriate Management System Certificate (hereinafter referred to as a "Certificate") to the certified organization.

-2 The validity of the Certificate to be issued on the basis of an initial audit is 3 years counting from the date of certification decision (hereinafter referred to as the "registration date"). The validity of the Certificate to be issued after recertification on the basis of a renewal audit is 3 years.

-3 When the certification is withdrawn under the provisions of 2.7, the certified organization is to promptly discard the invalidated Certificate.
In addition, the certified organization is to discontinue use of all advertising matter that contains any reference to the certification.

-4 The certified organization shall request the Society to reissue the Certificate, without delay, when the Certificate is lost or damaged.

-5 The certified organization shall request the Society to rewrite the Certificate, without delay, when the particulars described on the Certificate are changed.

2.4 Use of Certification Mark and Reference to Certification

2.4.1 Use of Certification Mark

The certified organization may use the certification mark in their stationary and publicity materials in accordance with the Society's criteria for use of the certification mark.

2.4.2 Reference to Certification

The certified organization may make reference to its certification status in their stationary and publicity materials in accordance with the Society's requirements.

2.5 Maintaining Certification

-1 The certified organization is to be subjected to annual audits and occasional audits in accordance with the provisions of Chapter 3 for maintaining Certification.

-2 In case major changes are made to the certified management systems, the certified organization is to notify them to the Society, and is to be subjected to the occasional audit as deemed necessary by the Society according to the nature and extent of the changes, in accordance with the provisions of Chapter 3.

-3 In case that the fraudulent behaviour is found in the certified organization, the Society requests the certified organization to undergo an occasional audit by the auditors of the Society, as necessary, in order to verify the implementation of the actions taken by the certified organization.

-4 The Society requests the certified organization to undergo an occasional audit, where the Society finds the non-conformities to the requirements of the applicable standards in the certified management systems as a result of analysis of the complaints and/or other information.

-5 The Society is to refer to the certified organization, and require it an occasional audit of auditors of the Society as necessary, when the Society leans that a case has occurred in seriously affecting the management system of it.

-6 In cases a certified organization wish to restore its suspended certification, the organization shall undergo an occasional audit by the Society.

2.6 Continuing Certification

-1 In order to keep the certification at its expiration, the certified organization is to be subjected to a renewal audit in accordance with the provisions of Chapter 3.

-2 Where the renewal audit are successfully completed prior to the expiry date of the existing certificate, the new certificate shall be issued based on the expiry date of the existing certification.

-3 Where the renewal audit has not been completed prior to the expiry date of the existing certificate, the certification shall be withdrawn.

-4 Following expiration of certification, where the outstanding renewal audit activities are completed within 6 months, the validity of the certification can be restored. In this case, the expiry date of the new certificate shall be based on prior certification cycle.

2.7 Refusing, Withdrawing, Suspending, Restoring following Suspension, Expanding or Reducing the Scope of Certification

2.7.1 Refusing Certification

The Society refuses the certification and notifies the relevant client organization of it in case of one of the following cases:

(1) A certification agreement cannot be made with the client organization

(2) A relationship with the client organization poses an unacceptable threat to impartiality

(3) Business activities not acceptable socially, such as serious illegal business activities, are found to be made by the client organization;

(4) At initial audits, the fraudulent behaviour is found in the client organization

(5) The initial audit cannot be completed.

2.7.2 Withdrawing Certification

-1 The Society withdraws the certification and notifies the relevant certified organization of it in case of one of the following cases:

(1) The certified organization is not subjected to the audits as defined in 2.5 and/or renewal audits;

(2) At the audits as defined in 2.5 and/or renewal audits, persistent or serious nonconformities are found, and thereupon, the Society considers that the certification of the relevant organization shall be withdrawn;

(3) When it is found that there is fraudulent behaviour in the certified organization as defined in 2.5, and it is judged to have a serious impact on the certification decision, and the Society deems it appropriate to withdraw the registration;

(4) the requirements of the Rules are changed and the certified organization has no intention to comply with the changed requirements or is unable to conform thereto;

(5) the certified organization improperly uses the certification system, the certificate and audit report by the way to bring about misunderstanding, and the certified organization dose not conform to the criteria for use of the Certification Mark specified by the Society;

(6) the activities with respect to the certification have been suspended for a long time;

(7) business activities not acceptable socially, such as serious illegal business activities, are found to be made by the certified organization; and

(8) audit fees are not paid.

-2 Where the cancellation of the certification is requested by the certified organization itself, the Society withdraws the certification and notifies the relevant certified organization of it.

-3 A certified organization whose registration has been withdrawn due to fraudulent behaviour shall

not accept an application for registration for a period to be determined by the Society.

2.7.3 Suspending and Restoring following Suspension

-1 The Society suspends the validity of the Certificate, and notify that to the relevant certified organization if correspond to any of the followings.

(1) the Society deems it appropriate to give a grace period for withdrawal of the certification, when the case comes under 2.7.2 -1 in above; and

(2) the certified organization requests suspension of the certification.

-2 The certification shall be restored if the issue that has resulted in the suspension has been resolved within the specified period by the Society.

2.7.4 Expanding and Reducing the Scope of Certification

-1 When receiving the application for extension to the scope of a certification from an organization, the Society shall conduct an occasional audit necessary to decide whether or not the extension may be granted, and if the requirements are fulfilled, extend the scope of certification and issue a new Certificate to the organization.

-2 The Society reduces the scope of the certification and notifies it to the certified organization, if correspond to any of the followings:

(1) At annual audits and/or renewal audits as defined in 2.5, persistent or serious nonconformities are found, and thereupon, and the Society deems it appropriate to reduce the scope of certification; and

(2) the certified organization requests reduce of the scope of the certification.

2.8 Transfer of Certification

When receiving the application for transfer of certification from an organization, the Society shall review the situation against the specified requirements, and if the requirements are fulfilled, transfer the certification and issue a new Certificate to the organization.

CHAPTER 3 CERTIFICATION

3.1 General

-1 Application for an initial audit, a renewal audit, an annual audit or an occasional audit is to be made by the organization or the certified organization.

-2 The renewal audit is to be conducted by the date of expiry of the Certificate.

-3 Annual audits shall be conducted in the first and second years following initial certification or re-certification decisions.

-4 Occasional audit under the provisions of 2.5 -2 is to be made, if correspond to any of the followings:

(1) major changes to the certified management system have been made; and

(2) the requirements of the applicable standards have been changed.

-5 The Society notifies the organization in advance the plan of audit including the schedule and information of audit team.
However, the Society may change the plan on the way of audit when the Society deems it

necessary to change the plan for audit on relevant non-conforming matters.

-6 The Society notifies the organization or the certified organization of any result of the audit after completion of it.

-7 The certified organization shall maintain the management system in compliance with the requirements of the applicable standards.
In case non-conformities with the applicable standards are found in the management system, the certified organization is required to take appropriate corrective action immediately.

3.2 Initial Audit

3.2.1 General

In advance, the Society reviews the documents submitted relating to the relevant management systems according to 3.2.2 (hereinafter referred to as "stage 1 audit (document)", and confirms the systems in compliance with the requirements of the applicable standards. Thereafter, the Society carries out the stage 1 audit (visit) and Stage 2 audit as defined in 3.2.3 -2 and 3.2.4 respectively, and verifies the performance of the management systems conforms to the requirements of the applicable standards.

3.2.2 Documents To Be Submitted

-1 The organization who applies for certification of the Quality Management Systems is required to submit the documents mentioned below to the Society.

(1) Quality management system documents,

(2) List of documented information such as procedures and/or work instructions related to the quality management system,

(3) List of the products applied to the quality management system,

(4) Outline of the organization (general features of the organization, including significant aspects of its process and operations, and any relevant legal obligations),

(5) Outline of the business (general information, relevant for the field of certification applied for, concerning the organization, such as its activities, human and technical resources, functions and relationship in a larger corporation, if any), and

(6) Other reference materials explaining the quality management system (information concerning all outsourced processes used by the organization that will affect conformity to requirements.).

-2 The organization who applies for certification of the Environmental Management System is required to submit the documents mentioned below to the Society.

(1) Environmental management system,

(2) Evaluation of environmental aspects,

(3) Environmental management programs,

(4) Outlines of legal and other requirement,

(5) Outline of the organization (general features of the organization, including significant aspects of its process and operations, and any relevant legal obligations),

(6) Outline of the business (general information, relevant for the field of certification applied for, concerning the organization, such as its activities, human and technical resources, functions and relationship in a larger corporation, if any), and

(7) Other reference materials explaining the environmental management system (information concerning all outsourced processes used by the organization that will affect conformity to requirements.).

-3 The organization who applies for certification of the Occupational Health and Safety Management System is required to submit the documents mentioned below to the Society.

(1) Occupational health and safety management system,

(2) Hazards, occupational health and safety risks and hazardous materials,

(3) Objectives and programme(s),

(4) Outlines of legal and other requirement applicable,

(5) Outline of the organization (general features of the organization, including significant aspects of its process and operations, and any relevant legal obligations),

(6) Outline of the business (general information, relevant for the field of certification applied for, concerning the organization, such as its activities, human and technical resources, functions and relationship in a larger corporation, if any), and

(7) Other reference materials explaining the occupational health and safety management system (information concerning all outsourced processes used by the organization that will affect conformity to requirements.).

-4 The organization who applies for certification of the Road Traffic Safety Management System is required to submit the documents mentioned below to the Society.

(1) Road Traffic Safety Management System,

(2) Documents for Performance factors, and for risks and opportunities to be addressed,

(3) Management program (Road traffic safety objectives and detailed objectives established, and the action plan for achieving them),

(4) Outlines of legal and other requirement applicable,

(5) Outline of the organization (general features of the organization, including its process and any important aspects relevant its operations),

(6) Outline of the business (general information, relevant for the field of certification applied for, concerning the organization, such as its activities, human and technical resources, functions and relationship in a larger corporation, if any), and

(7) Other reference materials explaining the management system (information concerning all outsourced processes used by the organization that will affect conformity to requirements.).

-5 The organization who applies for certification of the Energy Management System is required to submit the documents mentioned below to the Society.

(1) Energy Management System,

(2) Documents for Energy performance (Energy resources, energy consumption, energy efficiency and so on),

(3) Management program (Objectives established for the improvement of energy performance, and the action plan for achieving them),

(4) Outlines of legal and other requirement applicable,

(5) Outline of the organization (general features of the organization, including its process and any important aspects relevant its operations),

(6) Outline of the business (general information, relevant for the field of certification applied for, concerning the organization, such as its activities, human and technical resources, functions and relationship in a larger corporation, if any), and

(7) Other reference materials explaining the management system (information concerning all outsourced processes used by the organization that will affect conformity to requirements.).

-6 The organization who applies for certification of the Information Security Management System is required to submit the documents mentioned below to the Society.

(1) Information Security Management System,

(2) Documents for the information security policy, statement of applicability, organization chart, floor plan of the target site, etc.,

(3) Outline of the organization (general features of the organization, including significant aspects of its process and operations, and any relevant legal obligations),

(4) Outline of the business (general information, relevant for the field of certification applied for, concerning the organization, such as its activities, human and technical resources, functions and relationship in a larger corporation, if any), and

(5) Other reference materials explaining the management system (information concerning all outsourced processes used by the organization that will affect conformity to requirements.).

-7 The organization who applies for certification of the Railway Quality Management System is required to submit the documents mentioned below to the Society.

(1) Railway Quality Management System,

(2) Outline of the organization (general features of the organization, including significant aspects of its process and operations, and any relevant legal obligations),

(3) Outline of the business (general information, relevant for the field of certification applied for, concerning the organization, such as its activities, human and technical resources, functions and relationship in a larger corporation, if any), and

(4) Other reference materials explaining the management system (information concerning all outsourced processes used by the organization that will affect conformity to requirements.).

-8 In addition to those mentioned in -1, -2, -3, -4, -5, -6 and -7 above, the Society may require the organization to submit the additional materials with respect to the relevant management systems if deemed necessary the Society.

3.2.3 Stage 1 Audit

-1 Where the non-conformities with the requirements of the applicable standards are found in the documents submitted as mentioned above 3.2.2 at the stage 1 audit (document), the Society requires the organization to correct the related documents accordingly.

-2 The auditors visit the organization and carry out the stage 1 audit (visit) in advance of the stage 2 audit in order to understand the structure, details of business, etc., to evaluate the preparedness for the stage 2 audit, and thereupon to draw up the plan for the stage 2 audit.

3.2.4 Stage 2 Audit

-1 In the stage 2 audit, the Society audits conformance of the management systems with the requirements of the applicable standards referring to the management system documents and records, and the results of the Stage 2 audit are to be notified to the organization.

-2 The Society requires the organization to take corrective actions where non-conformities with the requirements of the applicable standards are found in the stage 2 audit.

-3 The Society confirms effectiveness of the corrective actions taken by the organization for non-conformities pointed out in the stage 2 audit at the follow-up audit.

-4 The completion of the corrective actions to all nonconformities is the condition for certification. The initial audit is completed by sending the follow-up audit report to the organization.

3.3 Renewal Audit

3.3.1 Items, Scope and Extent of Renewal Audit

In the renewal audit, the Society shall confirm the overall continuing conformity and effectiveness

of the management systems in their entity, and their continuing relevance and applicability for the scope of certification.

3.3.2 Planning and Conducting Audit

-1 The renewal audit shall be planned to be completed by the date of expiry of the Certificate together with related recertification activities. The recertification activities shall include all the activities from planning and conducting of the audit and dealing with nonconformities to recertification decision.

-2 In compliance with -1 above, the renewal audit shall be conducted within the range of period between 6 months and 1 months, both prior to the expiry of the Certificate.

3.3.3 Actions for Non-conformities

When nonconformity(s) are identified during a renewal audit, correction and corrective actions shall be implemented within the time limit defined by the Society. For any major nonconformity, these actions shall be implemented immediately by the organization and verified by the Society prior to the expiration of certification. For any minor nonconformity, the organization shall make plans for correction and corrective actions and obtain the Society's confirmation prior to the expiration of certification.

3.4 Annual audit (surveillance audit)

3.4.1 Items, Scope, and Extent of Surveillance

-1 In the annual audit, the Society confirms that the management systems of the certified organization are effectively maintained in compliance with the requirements of the applicable standards through the review of the records and other materials.

-2 Certified organizations can choose to undergo annual audits twice a calendar year. In this case, the annual audit will be planned and conducted so as to achieve objectives through the two times audits in a calendar year.

3.4.2 Conducting audit

The date of the first annual audit following initial certification shall not be more than 12 months from the certification decision date. The subsequent annual audits shall be conducted at least once a calendar year, except in renewal (recertification) years.

3.4.3 Actions for Non-conformities

When nonconformity(s) are identified during an annual audit, correction and corrective actions shall be implemented by the organization. For any major nonconformity, these actions shall be implemented immediately by the organization and verified by the Society within the time limit defined by the Society. For any minor nonconformity, the organization shall make plans for correction and corrective actions and obtain the Society's confirmation within the time limit defined by the Society.

3.5 Occasional Audit

-1 In the occasional audit under 2.5 -2, the Society carries out an audit on the necessary items according to the respective changes specified in 3.1 -4, and verifies that the management systems conform to the requirements of the applicable standards and to be maintained effectively.

-2 In the occasional audit under 2.5 -3, the Society carries out an audit on the necessary corrective actions for fraudulent behaviour have been taken and that they comply with and maintain the requirements of the applicable standard.

-3 In the occasional audit under 2.5 -4, the Society carries out an audit on complaint and confirm that the necessary corrective actions have been taken against the complaint, and that the contents has complied with the requirements of the applicable standards.

-4 In the occasional audit under 2.5 -5, the Society carries out an audit to investigate into the matter, and verifies that the necessary corrective actions are taken for the matter and conform to the requirements of the applicable standards.

-5 In the occasional audit under 2.5 -6, the Society carries out an audit to confirm settlement of the cause of the suspension by the deadline set by the Society.

-6 An occasional audit of a certified organization shall in principle be carried out at the request of the organization and in accordance with the agreement of the organization after due notice. When the Society however does not consider it appropriate to give such notice in advance, the organization shall accept the occasional audit without having advance notice.

3.6 Preparations for Audits

3.6.1 Preparations for Audit

-1 The organization which undergoes an audit of the Society shall make the necessary preparations according to the audit plan notified by the Society.

-2 The organization which undergoes an audit of the Society shall assign the personnel who are fully conversant with the items of the audit and have the ability to assist the audit, and make them attend at the audit.
And the organization shall ensure that the auditors are able to access all documents and records related to the management systems.

-3 The organization or the certified organization is to make all necessary arrangements for the conduct of the audits, including provision for examining documentation and the access to all processes and areas, records and personnel for the purposes of initial certification, surveillance, recertification and resolution of complaints.

-4 The organization or the certified organization is to make provisions, where applicable, to accommodate the presence of observers (e.g. personnel of accreditation organizations or trainee auditors of the Society).

3.6.2 Suspension of Audit

Where the organization does not make the necessary preparations including personnel to assist the audit, or the auditor judges that the audit is unsafe, the audit may be suspended.

CHAPTER 4 FEES AND EXPENSES

4.1 Fees

-1 Fees will be charged in accordance with the separate provisions at each case of the followings:

(1) Audit is performed in accordance with the Rules;

(2) A Certificate is issued, reissued or rewritten in accordance with the Rules; and

(3) Audit specified above (1) is performed, and management system of certified organization is certified in accreditation bodies or maintained its certification.

-2 The Society charges fees according to the standards separately established in addition to -1 above

to the certified organization having the certificate with the symbols or symbol marks of accreditation organizations.

4.2 Expenses

When an audit is performed in accordance with the Rules, traveling and other expenses will be charged in accordance with the separate provisions.

CHAPTER 5 MISCELLANEOUS

5.1 Provision of Information

-1 The certified organization is to furnish the Society with complete and correct information deemed necessary by the Society for maintaining certification.

-2 The certified organization shall ensure that the Society is able to access the records of all communications and actions taken in accordance with the applicable standards or other criteria.

-3 The Society is to maintain and make public the information in accordance with the requirements for the certification bodies.

-4 On the requirements for certification, the Society is to provide the information and update the certified organizations

5.2 Confidentiality

The Society is responsible for not disclosing any confidential information for a particular organization obtained or created during the performance of certification to third parties without the written consent of the relevant organization excluding the disclosure of the following.

(1) Information that is made public in accordance with the requirements for the certification bodies

(2) Information that is made publicly accessible by the relevant organization

When the Society is required by law to release confidential information, the relevant organization shall, unless prohibited by law, be notified of the information provided.

5.3 Maintenance of Ownership

The Society is to maintain the ownership of the audit reports issued after the audits.

5.4 Appeals and Complaints

Where the organization has any appeals or complaints regarding the audit performed in accordance with this Rule, the organization can appeal to the Society within the period otherwise specified.

Supplements

The Rules become effective on 1 April 2026.