



# **Rules for the issue of the Certificate of Conformity for food products and granting of the relative Licence to use the Quality Mark**

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Regolamenti Tecnici / Technical Rules

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## CHAPTER 1 - GENERAL

### 1.1

These Rules describe the procedures applied by RINA to certify food products according to a scheme whereby the organisation is granted the right to use the RINA Quality Mark for the purposes of product identification.

The licence to use the Quality Mark for a particular food product is granted on the basis of a scheme requiring it to be certified to national or international regulations or to other reference standard documents and/or technical specifications according to the following applicable models:

- a) Certification of Traceability in the Food Chain (UNI 10939:2001 and UNI 11020:2002);
- b) Certification of Traceability in the Food Chain with product requirements (Controlled Food Chain);
- c) Voluntary certification of products with non-GMO characteristics/requirements (for products specified in the current revision of SINCERT document RT-11);
- d) Voluntary product certification, according to specific Technical Documents (TD), checked and approved by RINA and drawn up by the applicant according to the Guidelines for Drawing up the Technical Document (Annex 4).
- e) Voluntary food product certification according to other reference standard documents and/or technical specifications defined by special RINA Certification Guides (see paragraph 1.5).

Certification is open to all organisations and does not depend on whether they belong to an association or group. RINA will apply the fees established on the basis of its current certification tariffs and guarantees fairness and uniformity of application. RINA is entitled to refuse requests for certification by organisations that have been subject to, or whose production or activities have been subject to, restriction, suspension or proscription by a public authority.

### 1.2

The RINA activities considered in these Rules apply to agricultural and food products of animal and vegetal origins for various product sectors and/or for consumption.

### 1.3

Product certification is indicated by affixing the RINA QM (see Annex 1) to the product (or its primary containers/packaging). This may be done by the organisation following the granting of the relative licence.

### 1.4

The licence to use the QM for a determined food product is granted together with the issue of the Certificate of Conformity of the product with the reference standard documents and/or technical specifications. This Certificate is issued after product samples have been successfully tested according to the reference standard

documents and/or technical specifications and audits have been performed to ensure the organisation operates on the basis of a Quality Management System (QMS) recognised as suitable by RINA, according to the reference standard document and/or technical specifications (see paragraphs 3.6.1 and 3.6.2).

The validity over time of the Certificate of Conformity and consequently the relative licence to use the RINA QM depends on the satisfactory results of subsequent product audits performed by RINA as established in these Rules and/or special Certification Guides and, where appropriate, the continued suitability of the company's QMS applied according to the reference standard document and/or technical specifications.

### 1.5

Depending on the type of food product and the relative manufacturing/production process, RINA prepares specific "Certification Guides" specifying the applicable methods and procedures to obtain the licence to use and retain its QM.

### 1.6

The organisation must take appropriate measures to allow RINA auditors to perform audits in total safety, regardless of the nature of the service provided by the auditors or other people acting on their behalf. The organisation accepts the same responsibilities for the above auditors that an employer does for his own employees in order to observe all the conditions required by the applicable legislation. Generally speaking, RINA auditors must always be accompanied by members of the organisation's staff during audits.

### 1.7

RINA does not provide consulting services to organisations as regards the application of these Rules.

### 1.8

The body guaranteeing the certificates issued by RINA (Accreditation Body) may require its observers to take part in the audits performed by RINA in order to check whether the auditing methods applied by RINA comply with the relative standards, in the case of accredited certification. The participation of these observers is agreed in advance between RINA and the organisation. If the organisation does not allow these observers to take part and the audit is successful, the certificate is issued/validated all the same but the logo of the accreditation body may not appear on it.

## CHAPTER 2 - DEFINITIONS

### 2.1

**"Product certification"**: an act through which an independent third party declares (by issuing a Certificate of Conformity) that, with reasonable reliability, a particular

product complies with one or more standard documents and/or technical specifications.

**"Certificate of Conformity"**: a certificate issued by an independent third party declaring that, with reasonable reliability, a particular product complies with one or more standard documents and/or technical specifications.

**"Licence to use the Quality Mark"**: document through which RINA grants the applicant the right to use the Quality Mark for a particular product.

**"RINA Quality Mark (QM)"**: registered trademark, applied according to these Rules, which indicates that, with reasonable reliability, a particular product constantly conforms to all the requirements for the issue of the Certificate of Conformity, and that the manufacturing process of such a product is controlled by RINA by means of spot checks and audits according to the provisions of these Rules.

**"Declaration of Conformity"**: this is the declaration issued by the organisation, under its sole responsibility and in compliance with the provisions of these Rules, which affirms that a particular product conforms to a specific reference standard document and/or technical specifications specified on the Certificate of Conformity.

**"Organisation"**: public or private company, operator, business, body or association, whether legally recognised or not, with its own functions and administration.

**"Applicant"**: the organisation that applies to RINA for the issue of the Certificate of Conformity and relative Licence to use the QM.

**"Licensee"**: a manufacturer or supplier of a product that has obtained the licence to use the QM from RINA; the licensee is authorised to use the RINA QM and to issue product conformity declarations, as established by these Rules, for all product types covered by the Certificate of Conformity.

**"Standard Document"**: a document specifying the requirements which a product, process or service must comply with; the document may be a regulation, rule, technical specification, state law, ministerial circular or code of practice, etc.

**"Technical Specification"**: a voluntary document which specifies the requirements which a product, process or service must comply with; this document may be a specification drawn up by a manufacturer describing the characteristics of its product, specifications drawn up by a consortium or a co-operative of producers, etc..

**"Food"**: any processed, partially processed or non-processed substance or product for human consumption or that can be reasonably supposed to be for human consumption. This includes drinks, chewing gum and any substance, including water, intentionally added to the food during its production, preparation or treatment. It does not comprise animal feed, live animals (unless they have been prepared for introduction onto the market for

human consumption), vegetables before they are picked, medicines and cosmetics, tobacco and tobacco products, narcotic drugs and psychotropic substances, residues and contaminating agents.

**"Food chain"**: defined group of organisations (or operators) with relative flows of materials that are involved in the formation, distribution, trade and supply of a food product. In this case, "Chain" identifies all the activities and flows that are critically important for product characteristics.

**"Chain traceability"**: capacity to reconstruct the history and monitor the use of a product through documented identification procedures (relative to flows of materials and chain operators).

**"GMO"**: Organism whose genetic material has been modified by means of cross-breeding or natural genetic recombination so as to make it differ from what is found in nature.

**"Technical Document"**: a voluntary standard reference (voluntary technical specifications) drawn up with the agreement of all the parties involved and based on appropriate procedures for the characteristics of the subject of the certification and market requirements. They are generally drawn up by competent bodies and submitted for approval to the certification body which assesses them together with the parties involved.

## 2.2

For all other terms used in these Rules, the definitions in the UNI CEI EN 45020 standard and in the relevant specific Rules apply.

## CHAPTER 3 - ISSUE OF THE CERTIFICATE OF FOOD PRODUCT CONFORMITY AND GRANTING OF THE RELATIVE LICENCE TO USE THE QUALITY MARK

### 3.1

The applicant submits a request to RINA to issue the Certificate of Food Product Conformity and grant the licence to use the QM for one or more particular products by sending in the relative «Informative Questionnaire» (Annex 2). In particular, the applicant must provide RINA with the following information:

- (a) name and address of its headquarters;
- (b) production site of the product/s for which the Certificate of Conformity and relative use of the QM is requested;
- (c) phone and fax numbers;
- (d) details of its QMS (standard and Certification Body), if there is one;
- (e) description of the product/s for which certification is required;
- (f) reference standard document and/or technical specifications for each product;
- (g) particular characteristics/components of the product/s for which certification is required that make

- it/them certifiable<sup>1</sup>;
- (h) extension of the reference supply chain (where applicable);
  - (i) number of sites involved (where applicable);
  - (j) number and type of raw materials subject to traceability (where applicable).

On the basis of this information and following a preliminary study to check the information provided is complete, RINA formulates an economic offer and sends it to the applicant together with these Rules and the relative Certification Guide, if available.

If the applicant accepts the economic offer, it formalises its certification request by sending RINA the specific form indicated in Annex 3.

A draft of the wording to be included on the Certificate of Conformity must be written in the relative space and must contain a reference to the products/services covered by the reference standard and, where applicable, extension of the supply chain considered by the system. It must also contain, where applicable, the type and number of raw materials traced.

On receipt of the application for certification, RINA sends the applicant written confirmation of the request.

The application for certification and relative acceptance by RINA contractually formalise the actions taken by RINA according to these Rules.

### 3.2

Together with the application for the Certificate of Conformity, or immediately afterwards, the applicant must send RINA:

- descriptive technical documentation (depending on the requirements of the reference document) for review, drawn up, where applicable, according to the methods indicated in the Guidelines for Drawing up the Technical Document (Annex 4);
- list of internal procedures connected with the correct application of the reference standard;
- sampling plan and product tests, where applicable.

As regards voluntary product certification, in accordance with the specific Technical Documents (TD) (see paragraph 1.1), the technical documentation received must include the specific Technical Document (TD) drawn up by the applicant and subject to review and approval by RINA before proceeding with the certification procedure.

The review of the TD consists in checking the information it contains is complete, also as regards the Guidelines in Annex 4, and that applicable legislation and the above-mentioned certification requirements are complied with. Any modifications must be made by the applicant and then approved by RINA.

RINA approval of the Technical Document presented by the applicant is tantamount to receipt of the same by the Certification Body and allows it to be published in the appropriate locations using the appropriate methods.

At its discretion, RINA may request to review other documents supporting the information contained in the TD if it considers it to be important as regards certification of the product in question.

RINA will notify the applicant of the names of the auditors who will carry out the document review; the organisation may object to the appointment of these auditors, stating its reasons.

### 3.3

The documentation attached to the application is examined to check it complies with the requirements of these Rules, the reference standard documents and/or technical specifications and the relative Certification Guide, where present.

### 3.4

If any part of the documentation, including the annexes, is incomplete or non-conforming, the applicant is informed and the certification procedure is suspended until the shortcomings have been made good.

Following specific agreements with the applicant, the above document review may be performed directly at the premises of the organisation (except for the TD).

### 3.5

Following the successful outcome of the review and, where necessary, approval of the TD, RINA informs the applicant of the name of the auditors appointed to carry out the necessary checks for the purpose of issuing the Certificate of Food Product Conformity; the applicant may object to the appointment of these auditors, stating its reasons.

### 3.6

The preliminary certification checks carried out by RINA consist of the following:

- (a) assessment of the applicable QMS at the organisation and/or the production sites and/or any other sites involved, including transport and distribution activities (paragraph 3.6.1);
- (b) sampling, checks and tests of the products for which the Certificate of Conformity is required and the production and control methods (paragraph 3.6.2).

The above checks are performed according to the various reference standard documents and/or technical specifications and/or special Certification Guides, where present.

#### 3.6.1 – Quality Management System (QMS) Assessment

##### 3.6.1.1

At the production site/s and, where applicable, the other sites involved, the organisation must adopt a QMS satisfying the requirements of the reference standard

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<sup>1</sup> If the voluntarily defined characteristics of the product/s for which certification is required are already governed by legally-binding standards and/or do not have a clear and measurable added value that can be achieved by certification, it will not be possible to proceed with the audit procedure

documents and/or technical specifications and, where applicable, the Guidelines for Drawing up the Technical Document (Annex 4).

Any additional requirements for the QMS are defined in the relative Certification Guide, where present, and if not specified in the reference standards.

For this purpose, RINA will deem whether significant evidence has been produced to prove that the QMS has been operational, as regards the manufacture of these products, for at least three months.

### 3.6.1.2

The System will normally be audited during the checks illustrated in the following paragraph 3.6.2.

## 3.6.2 – Checks and tests on the product and on the methods of production and control

### 3.6.2.1

The specifications and, if necessary, the manufacturing specifications of the product for which the Certificate of Conformity has been requested must be submitted to RINA for review in order to verify compliance with the standard reference document and/or technical specifications (see 3.2 and 3.3).

### 3.6.2.2

The organisation must submit to RINA, for review and approval, the documents considered useful to assess the procedures to obtain the products.

In general and inasmuch as applicable, the documents listed below must be presented to RINA, the number of copies and relevant details being determined on a case by case basis. The following list is purely indicative and is finalised with the organisation according to the specific food product to be certified.

- (a) Production specifications;
- (b) Sectorial production specifications;
- (c) Recipes/formulations;
- (d) Production/processing/preparation plans;
- (e) Inspection and test plans;
- (f) Quality plans;
- (g) Any test reports performed on the product or its components.

Conformity of the product and the relative methods of production and inspection will be checked during the preliminary visit to the production site.

### 3.6.2.3

Samples of each product must undergo the tests and inspections considered necessary to verify that the product fully conforms to the standard reference document and/or technical specifications.

Tests and inspections, particularly those envisaged by the standard reference document and/or technical specifications, which also indicate their number and the methods to be used, must be performed on the samples.

### 3.6.2.4

A detailed program of the type tests, where not defined in the reference standard, must be prepared by the organisation and submitted to RINA for approval.

### 3.6.2.5

As a rule, the samples selected by RINA for type tests must be taken from normal production.

### 3.6.2.6

Any samples manufactured specifically for the tests must be obtained using the same means and produced using the same methods as those used for normal production. RINA reserves the right to carry out surveillance on these samples during their production. Some tests, in the opinion of RINA, may have to be subsequently repeated on samples taken from normal production and/or sale (paragraph 5.4) to confirm the results obtained on the prototype samples.

If prototypes of certain products cannot be built for testing purposes, RINA may consider the possibility of assessing product conformity, as regards the aspects connected with the tests, by checking objective documents (e.g.: other representative, repeatable, reproducible and suitably validated laboratory tests).

### 3.6.2.7

The tests must be performed (at the organisation's expense) by an independent laboratory accredited according to UNI CEI EN ISO/IEC 17025 for the type of tests performed and/or at the organisation's laboratory, subject to ascertainment by RINA that it complies with the above-mentioned rule and is suitable for the tests in question.

The tests at the organisation's laboratory must be performed in the presence of RINA technical staff.

RINA reserves the right to take part in the preparation and/or execution of tests performed in an accredited laboratory.

For each characteristic identified, the requirements that must be satisfied, the test methods to be adopted (including evaluation of the tolerance to apply to the results), the product sampling criteria and the acceptance criteria of the results must be indicated.

## 3.7

At the end of the checks illustrated in paragraphs 3.6.1 and 3.6.2, the organisation will be given an audit report illustrating any non-conformities found as well as any remarks.

The organisation may indicate any reservations or observations concerning the non-conformities or findings by the RINA technical staff.

The contents of this report are subsequently confirmed by RINA in writing.

If no written communication is received from RINA,

the report may be considered as confirmed three days after receipt by the organisation.

After analysing the causes of any non-conformities contained in the above report, the organisation must propose the necessary corrective actions to RINA as well as the expected deadline required for their implementation, within the limit fixed in the audit report.

Acceptance of the proposals will be notified in writing to the organisation by RINA.

### 3.8

In the event of serious non-conformities,<sup>2</sup> the certification process is suspended; in the event of other findings, the number of which, in the audit team's judgement, may lead to the delivery of a product that is non-conforming or non-compliant with current applicable legislation, the certification process is also suspended.

In these cases, RINA may perform a supplementary audit visit within three months in order to ascertain whether the proposed corrective action has been taken; if this audit is successful the certification process will be resumed.

If this deadline is exceeded, the checks illustrated in paragraphs 3.6.1 and 3.6.2 must be repeated within six months of the date of the finding.

After the six month period has elapsed and the outcome of the assessment is still negative, RINA reserves the right to definitively close the certification file and charge the time spent and expenses incurred up to that moment. In this case, if the organisation wishes to proceed with RINA certification, it must submit a new application and repeat the certification procedure.

In special cases, the above time limits may be modified at the request of the organisation, if considered justified by RINA.

### 3.9

After satisfactory completion of the controls and validation by the relative RINA committee, a Certificate of Food Product Conformity and relative licence to use the QM (see Annex 5) will be issued.

## CHAPTER 4 – VALIDITY OF THE CERTIFICATE

### 4.1

Unless otherwise indicated in the reference standard documents and/or technical specifications, certification

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<sup>2</sup> "Serious non-conformities" means:

- the total non-consideration of one or more points contained in the reference standard documents and/or technical specifications,
- the non-conformity of test/control results with the reference standard documents and/or technical specifications,
- a situation that could lead to the delivery of a non-conforming product or a product which does not comply with the laws applicable to it,
- the non-observance of one or more requirements of these Rules.

has no expiry date and its validity is dependent on compliance with the criteria established in Chapter 5.

Details of the checks to be carried out if certification is to be renewed are indicated in the specific Certification Guides, where available.

## CHAPTER 5 – MAINTAINING VALIDITY OF THE CERTIFICATE

### 5.1

During the period of validity of the Certificate of Conformity, the licensee undertakes not to alter the conditions which enabled the certificate to be issued.

The licensee is fully responsible for ensuring substantial correspondence of the product with the respective samples subjected to the type tests as per paragraph 3.6.2 (except, of course, for any modifications made with the approval of RINA as stated in Chapter 8).

### 5.2

During the period of validity, the licensee is required to carry out all the tests prescribed by the reference standard document and/or technical specifications on the production, according to the methods and frequency previously agreed with RINA.

### 5.3

During the above period, the licensee is required to keep the tested sample/s at the disposal of RINA auditors. RINA may authorise the sale of these samples provided suitable documentation, in RINA's opinion, is kept in order to allow RINA to verify conformity of production with the sample/s subjected to the tests at any time and under any circumstance.

### 5.4

RINA performs periodic surveillance visits, as indicated in the following paragraphs, both on the QMS and on production and informs the licensee of the results of its findings as indicated in paragraph 3.7.

The periodical checks of the QMS, if certified by RINA, are carried out in accordance with the RINA "Rules for the Certification of Quality Management Systems".

If this is not the case, the QMS, where applicable, will be subject to periodic audits at least once a year during visits to the production unit and/or to any other sites involved.

Production inspections are periodically performed by RINA by means of tests on product samples, both finished and semi-finished, taken from the production line, from the warehouse or, if appropriate, from the market; for this purpose, the licensee shall authorise RINA to take the necessary samples in order to perform the above checks.

The correct use of the RINA QM will also be checked during the above inspections.

## 5.5

The periodic visits must be made according to the frequency and methods indicated in the reference standard document and/or technical specifications and, where present, in the applicable Certification Guides.

The dates of the periodic audits will be agreed with the licensee in due time and officially confirmed at least one week beforehand.

Each periodic audit must be performed within 12 months of the previous one.

If this limit is exceeded for justified reasons, this must be agreed in advance with RINA and recovered with the subsequent audit.

## 5.6

The validity of the Certificate is confirmed following the successful outcome of the surveillance audit.

## 5.7

In the event of serious non-conformities or other findings whose number in the opinion of the audit team is such as to lead to the delivery of a product that is non-conforming or non-compliant with the current applicable legislation, the licensee will be subject to a supplementary audit within the time limits established by RINA depending on the importance of the non-conformities and, in any case, not more than three months after the end of the surveillance audit.

If these non-conformities are not eliminated by the established deadlines, RINA may suspend certification until the non-conformities have been eliminated.

All expenses deriving from any supplementary audits will be charged to the licensee.

## 5.8

RINA also reserves the right to make supplementary controls and/or audit visits to the licensee in the event of what it considers to be particularly significant claims or reports concerning the conformity of the certified product with the requirements of the reference standard and these Rules.

If this is refused by the organisation without a justified reason, RINA may decide to suspend the Certificate.

If RINA considers the claims and reports to be justified, the cost of the supplementary visit will be charged to the licensee.

## 5.9

The licensee shall record any complaints concerning products covered by the licence to use the QM together with any corrective action taken and make them available to the RINA auditors.

## 5.10

In order to perform the above checks, RINA auditors must be guaranteed free access, even without prior

warning, during normal working hours, to the offices and files of the production site of the certified product. RINA will inform the licensee of the names of these auditors; the organisation may object to the use of these people and explain their reasons.

## CHAPTER 6 - CONDITIONS FOR EXTENDING THE VALIDITY OF THE CERTIFICATE

### 6.1

A licensee that desires to extend certification and relative use of the RINA QM to cover other products produced in the same production site or products already certified but due to be built in another production site must submit an application using the form indicated in Annex 2. This also applies in the case of certification of a product whose standard document and/or technical specification is not the same as the one for which the product was originally certified.

### 6.2

RINA performs the checks considered necessary and if the results are satisfactory, issues the required extension to certification.

## CHAPTER 7 – LICENSEE'S DECLARATION OF CONFORMITY

### 7.1

For each product, or lot of products, with the same characteristics and period of production, on which the RINA QM is affixed, the licensee must issue a Declaration of Conformity with the reference document according to the facsimile shown in Annex 6.

### 7.2

The Declaration of Conformity must contain at least the following indications:

- (a) Name and address of the licensee.
- (b) Characteristic product data.
- (c) Number of the Certificate of Conformity.
- (d) Reference standard document and/or technical specifications of the product.
- (e) Date of issue of the declaration.
- (f) Signature of the person authorised to issue the declaration.

### 7.3

The information contained in the Declaration of Conformity must make it possible to trace the results of the tests on which the Declaration is based.

### 7.4

RINA may ask the licensee to keep a register of all

the Declarations of Conformity issued. This register will be examined by RINA auditors during audit visits.

This register will generally be asked for when univocal product traceability is required.

## **CHAPTER 8 - PRODUCT MODIFICATIONS**

### **8.1**

The licensee must inform RINA of every significant modification it intends to make to a product for which the Certificate of Conformity has been obtained, to the production and control processes or to the applicable QMS adopted.

### **8.2**

Following an evaluation of the effect that the proposed modifications will have on the conformity of the product to the reference standard document and/or technical specifications, RINA may require the initial checks referred to in Chapter 3 to be repeated either in full or in part.

### **8.3**

Following the above checks, RINA may extend validity of the relevant certification and authorisation to the modified products.

### **8.4**

The licensee may not use the RINA QM for modified products until written approval has been obtained from RINA.

RINA undertakes to inform the licensee in writing of its decision within 30 days of the notification concerning the proposed modifications.

## **CHAPTER 9 - MODIFICATIONS TO REFERENCE STANDARD DOCUMENTS AND/OR TECHNICAL SPECIFICATIONS**

### **9.1**

RINA will notify the licensee of any modifications made to the reference standard documents and/or technical specifications and its rules which apply to the certified products.

### **9.2**

Considering the implications of the modifications, mainly health, safety and the environment, and taking into account the need to avoid inadvertently favouring a particular organisation or a particular product from a commercial point of view, RINA will establish the date by which the products must comply with the new standard.

### **9.3**

The inspections and tests considered necessary by RINA to verify conformity of the product to the new rules must be performed by the established date on a product prototype and/or samples taken from the production line.

### **9.4**

Following the successful outcome of the checks, RINA will issue a new Certificate of Conformity and licence to use the QM, modified as appropriate to refer to the new standard.

### **9.5**

If the licensee does not ensure its products comply with the new reference standard by the established deadline or if the results of the tests are not satisfactory, the Certificate of Conformity and the relative licence for that particular product will be revoked.

### **9.6**

If the licensee intends to voluntarily adopt new editions of reference standard documents and/or technical specifications, he must notify RINA prior to applying them to the manufacture of the products; the above-mentioned procedure will then be followed but the date of compliance with the new documents may be chosen by the licensee.

## **CHAPTER 10 – SUSPENSION, REVOCATION AND WITHDRAWAL OF THE CERTIFICATE**

### **10.1**

The validity of the Certificate issued (and consequently the relative licence to use the QM) may be suspended in the following cases:

- (a) as indicated in paragraphs 5.7 and 5.8;
- (b) following significant modifications to certified products and/or the methods of production and control that were not communicated to RINA;
- (c) if the licensee improperly uses or advertises the Certificate;
- (d) if the organisation refuses or obstructs surveillance audits;
- (e) if the organisation fails to pay RINA for its services;
- (f) if justified and serious claims received by RINA are confirmed;
- (g) any other circumstances that RINA considers have a negative influence on the conformity of certified products.

The licensee may also make a justified request to suspend certification, normally for not more than six months.

### **10.2**

RINA will notify the licensee of the suspension by

registered letter, stating the conditions for re-establishing certification and the date by which the new conditions must be complied with.

Suspension of validity of the Certificate of Conformity may be made public by RINA.

Certification will be restored once it has been found that the shortcomings responsible for suspension have been eliminated; RINA will notify the licensee of this in writing by registered letter and make it public if the notice of suspension was also made public.

Suspension of certification may generally not last more than six months.

### 10.3

Failure to fulfil the conditions as per 10.2 by the established deadline will lead to revocation of the Certificate of Conformity and relative licence to use the QM.

The Certificate of Conformity may also be revoked in the following cases:

- (a) when there are circumstances such as those indicated in 10.1 for suspension, which are held to be particularly serious;
- (b) upon formal request of the licensee (withdrawal from certification – paragraph 10.4), including cases in which the licensee does not wish to or cannot comply with the new provisions issued by RINA (see chapter 9);
- (c) if the licensee suspends the supply of a certified product for a period generally greater than six months;
- (d) if the organisation regularly fails to pay RINA for its services;
- (e) if the licensee has made incorrect use of the RINA QM and Certificate of Conformity and does not take the corrective measures required by RINA;
- (f) for findings concerning issues relative to the product and its non-conformity with legally-binding health and safety regulations;
- (g) if the licensee does not accept the new economic conditions established by RINA due to a modification in the contract;
- (h) for any other reason that RINA deems to be serious.

### 10.4

Revocation of the Certificate of Conformity and the relative licence to use the QM will be notified in writing by registered letter to the organisation, unless the organisation asks for revocation, and made public by RINA.

If necessary, the notice of revocation will also include the action that the licensee must take for products already in the warehouse or on the market.

The organisation whose Certificate has been revoked must return it to RINA.

Any organisation which, following revocation of its Certificate, wishes to be re-certified, must submit a new application and follow the entire procedure all over again.

### 10.5

The licensee may present a request to RINA to withdraw certification of some or all of the products for which it had obtained certification due to termination of production or other reasons.

In the event of partial withdrawal, RINA will update the Certificate issued excluding the products involved in the withdrawal and establishing, if necessary, any action that the licensee must take for products that have already been manufactured.

If withdrawal is extended to all certified products, the contents of the previous paragraph apply.

### 10.6

During the period of suspension, or in the event of withdrawal, the organisation must no longer affix the QM to the products involved. The organisation is also required to comply with any other measures established by RINA.

## CHAPTER 11 – PUBLICATION BY RINA

### 11.1

RINA will issue and update on its Internet site the list of organisations and their product typologies that have obtained certification.

Information on the validity of the Certificate is shown in the above list.

This list contains:

- the name and address of the organisation;
- list of certified products and relative reference standard document and/or reference technical specifications;
- the validity status of the Certificate;
- the initial certification date;
- the scope of the Certificate, where necessary.

RINA also provides this information to:

- accreditation bodies, depending on the status and type of accreditation;
- federations of Certification Bodies of which RINA is a member;

in order to allow them to enter it in their databases.

## CHAPTER 12 ADVERTISING - USE OF THE RINA QUALITY MARK

### 12.1

The licensee is entitled to make public the fact that it has obtained authorisation to affix the RINA QM to its products. If the licensee wishes to publish only part of the reports of the tests pertaining to certification of a product, written authorisation from RINA must be obtained.

## 12.2

Advertising must be truthful and must not give rise to doubts or misinterpretations concerning the type, category, characteristics and performance of the relevant products. It must also be prepared so as to avoid any misunderstanding between marked and non-marked products.

## 12.3

Similarly, the instructions or information for use enclosed with the product, where required by the applicable standard documents and/or technical specifications, must be approved by RINA.

## 12.4

Following the issue of the Certificate of Conformity, the licensee is authorised to mark the certified products with the RINA QM.

## 12.5

Except where otherwise established at the time of issue of the Certificate of Conformity, the RINA QM is engraved or indelibly stamped on each product for which use has been authorised; if the size or type of product so requires, authorisation could be granted to affix the mark to the smallest container in which the unit product is put on the market or the use of special labels.

Proposals by the licensee for other ways of affixing the QM can be considered by RINA.

## 12.6

The Quality Mark may be reproduced in any size provided it is clearly legible, in the opinion of RINA, and provided it is a true reproduction of the original, that is, it complies with the colours and proportions, as specified in Annex 1.

Use of the QM ceases immediately in the case of expiry, suspension or revocation of the Certificate; in such cases, the organisation must remove the logo from all documents to which it was affixed.

## 12.7

The Certificate of Conformity number must always be placed next to the Mark.

The licensee must ensure that detailed indications of the standard document and/or technical specifications (including the edition), on the basis of which the product has been certified, are, except for legal requirements concerning product labelling, clearly shown near the mark.

## 12.8

The method for affixing the QM must be examined beforehand by RINA.

## 12.9

RINA will perform controls on the use of the QM by examining the licensee's documents and catalogues, packaging, wrapping and also the products, whether they are at the production site or on the market. RINA will also check the licensee's advertising.

## 12.10

When using the RINA Certificate and QM, the licensee must ensure that the Certificate cannot be interpreted as being extended to products not covered by certification.

## 12.11

If the Certificate or QM is not used in accordance with the conditions stipulated in the previous paragraphs or is used illicitly, RINA will be entitled to terminate the agreement with immediate effect. The organisation must pay a fine amounting to five times the fee paid for initial certification, save compensation of further damage and appropriate legal action.

## CHAPTER 13 - APPEALS

### 13.1

The organisation may appeal against the decisions of RINA by explaining the reasons for its disagreement within 30 days of the date of notification of the decision.

### 13.2

RINA will examine the appeal within two months of submission and consult the organisation's representatives, if necessary.

### 13.3

All costs related to the appeal are at the organisation's expense, unless there are good grounds for the appeal.

## CHAPTER 14 – DISPUTES – ARBITRATION – COURT OF JURISDICTION

### 14.1

Except as established in par. 14.8 below concerning disputes deriving from the payment of fees and expenses due to RINA and those deriving from the use of the mark, logo, name or other distinguishing feature of RINA, any other dispute arising between the parties in connection with the interpretation and implementation of these Rules will be submitted to a Board of three arbiters, one appointed by each of the two parties and the third chosen by the first two or, failing such agreement, by the President of the Council of the Bar Association of Genova following the request of the most diligent party.

#### 14.2

In the event of a dispute, the petitioning party appoints its arbiter, indicating the questions it intends to submit to the Board, in an act which is communicated to the other party by registered letter with return receipt, requesting the other party to appoint its arbiter within two weeks of receipt of the letter.

In the following two weeks, the summoned party likewise appoints its arbiter and indicates the questions it intends to submit to the Board. If the summoned party does not appoint its arbiter within the above two weeks, the said arbiter will be appointed by the President of the Council of the Bar Association of Genova at the request of the petitioning party.

#### 14.3

The two appointed arbiters appoint the third arbiter to act as President of the Board within two weeks of the appointment of the second arbiter, except in the case of disagreement and consequent appeal by the most diligent party to the President of the Council of the Bar Association of Genova.

#### 14.4

The board will meet in Genova and the arbitration process will be informal and legally binding.

#### 14.5

The arbiters will carry out the procedure informally, but respecting the principle of cross-examination.

#### 14.6

The arbitration award must be made within 120 days of the date the Board was formally established, except in the case of any extensions granted by the parties and the right of the Board to extend the term of office by up to a

further 120 days, should this become necessary for the purpose of acquiring further evidence for the case.

#### 14.7

The decision of the arbiters is binding on the parties.

#### 14.8

Notwithstanding the above, any disputes arising from the payment of fees and expenses due to RINA for services rendered or in any way connected with these Rules, and those deriving from the use of the mark, logo, name or other distinguishing feature of RINA, will be exclusively settled by the Court of Genova.

### CHAPTER 15 - CONFIDENTIALITY

#### 15.1

The information acquired during the certification process is considered and treated as strictly confidential.

### CHAPTER 16 - RESPONSIBILITY

#### 16.1

In all cases, the organisation is and remains solely responsible, both towards its customers and to consumers and/or any other third party, as regards its activities and the production, sale and subsequent use and disposal of the products and compliance of these products with all the standards, legislation and or regulations pertaining to such use.

In this context, the issue and maintenance of product certification may never be or be interpreted as being certification and recognition by RINA that such regulations are complied with by the licensee.

**Annex 1 – FACSIMILE OF THE QUALITY MARK**

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FACSIMILE of the RINA Logo to be used according to the provisions of the Rules, for food products certified according to the following applicable models (pursuant to point 1.1 of the Rules):

- a) Certification of Traceability in the Food Chain pursuant to UNI 10939:2001;



FACSIMILE of the RINA Logo to be used according to the provisions of the Rules, for food products certified according to the following applicable models (pursuant to point 1.1 of the Rules):

- a) Certification of Traceability in the Food Chain pursuant to UNI 11020:2002;



FACSIMILE of the RINA Logo to be used according to the provisions of the Rules, for food products certified according to the following applicable models:

- a) Certification of Traceability in the Food Chain with product requirements (Controlled Chain);
- b) Voluntary certification of products with non-GMO characteristics/requirements (for products specified in the current revision of SINCERT document RT-11);
- c) Voluntary product certification, according to specific Technical Documents (TD), checked and approved by RINA and drawn up by the applicant according to the Guidelines for Drawing up the Technical Document (Attachment 4).
- d) Voluntary food product certification according to other reference regulatory documents and/or technical specifications defined by special RINA Certification Guides (see paragraph 1.5);



FACSIMILE of the RINA Logo to be used according to the provisions of the Rules, for food products certified according to the International Standard "BRC Global Standard – Food".

**Annex 2 – FACSIMILE OF THE QUESTIONNAIRE FOR CERTIFICATION OF CONFORMITY FOR FOOD PRODUCTS**

**CERTIFICATION OF CONFORMITY FOR FOOD PRODUCTS AND GRANTING OF THE RELATIVE LICENCE  
TO USE THE QUALITY MARK  
INFORMATIVE QUESTIONNAIRE TO BE FILLED IN AND RETURNED TO RINA**

<b>ORGANISATION</b>			
<b>REGISTERED NAME</b>			
<b>HEAD OFFICE ADDRESS</b>			<b>POST CODE/TOWN</b>
<b>CONTACT PERSON</b>			
<b>VAT N°</b>	<b>TELEPHONE</b>	<b>FAX</b>	<b>E-MAIL</b>

<b>PRODUCTION SITE (IF DIFFERENT FROM THE HEAD OFFICE)</b>			
<b>REGISTERED NAME</b>			
<b>HEAD OFFICE ADDRESS</b>			<b>HEAD OFFICE ADDRESS</b>
<b>CONTACT PERSON</b>			
	<b>TELEPHONE</b>	<b>FAX N°</b>	<b>TELEPHONE</b>

<b>ANY OTHER PRODUCTION SITE(S) CURRENTLY IN OPERATION<sup>(*)</sup></b> (ATTACH ADDITIONAL SHEET, IF NECESSARY)				
<b>NAME</b>	<b>ADDRESS</b>	<b>ACTIVITY</b>	<b>N° OF EMPLOYEE</b>	<b>NOTES</b>

\* Also indicate cooking centres, meals delivery points, warehouses outside the factory

<b>REFERENCE DOCUMENT</b>	<input type="checkbox"/> <b>SUPPLY CHAIN TRACEABILITY - UNI 10939:2001 / UNI 11020:2002</b> <input type="checkbox"/> <b>SUPPLY CHAIN TRACEABILITY WITH PRODUCT REQUIREMENTS (CONTROLLED CHAIN) - UNI 10939:2001 / UNI 11020:2002</b> <input type="checkbox"/> <b>VOLUNTARY CERTIFICATION OF PRODUCTS WITH NON-GMO CHARACTERISTICS/REQUIREMENTS (REF.: SINCERT RT-11 / UNI 10939:2001 / UNI 11020:2002)</b> <input type="checkbox"/> <b>BRC - GLOBAL STANDARD - FOOD (CURRENT EDITION)</b> <input type="checkbox"/> <b>VOLUNTARY PRODUCT CERTIFICATION – PRODUCT CONFORMITY WITH TECHNICAL DOCUMENT (DT)</b> <input type="checkbox"/> <b>OTHER (SPECIFY) .....</b>
---------------------------	--

Is the organisation part of a larger group? <input type="checkbox"/> YES <input type="checkbox"/> NO	
If so, which one?	Head Office of Group:
Year the organisation was set up:	
Approximate turnover last year:	
Total staff (n°):	
N° of work shifts	Special hours:
How long has the Reference System been applied for?	
Any other system certificates? <input type="checkbox"/> YES <input type="checkbox"/> NO	Obtained from which Certification Body?

**Annex 2 – FACSIMILE OF THE QUESTIONNAIRE FOR CERTIFICATION OF CONFORMITY FOR FOOD PRODUCTS**

Type and quantity of GMO-risk raw materials to sample (for RT-11 Sincert)
<b>PURPOSE OF CERTIFICATION (Type of activity and type of product/service supplied)</b>
Product/s for which Traceability Certification is requested (wording required on the certificate of conformity – <b>not for RT11</b> ):
Field of Application of the Traceability System ( <i>extension of the reference supply chain</i> )
Brief description of production cycle and production equipment (attach documentation if necessary):
Main legislation governing the activity (attach documents if necessary):
Is there an in-house laboratory? <input type="checkbox"/> YES <input type="checkbox"/> NO
Is it accredited or recognised? <input type="checkbox"/> YES <input type="checkbox"/> NO         If yes, by whom?
Are tests required to be performed by an external laboratory accredited and recognised by RINA? <input type="checkbox"/> YES <input type="checkbox"/> NO <i>(Please note that tests performed by external laboratories must be authorised by RINA and performed at Sinal-accredited laboratories)</i>
Does the organisation supply other products and/or services apart from the one/s it requires certification for? <input type="checkbox"/> YES <input type="checkbox"/> NO
If yes, what are they?

In connection with provisions of Law no. 675 of 31/12/1996 concerning the “*protection of persons and other subjects with regard to the handling of personal information*”, the organisation hereby authorises RINA S.p.A., inasmuch as necessary, to handle its personal information as per the attached information bulletin (Form QUASQA01A – ALL – 06/03) taken from Art. 10 of Law 657/96 that the organisation declares it has received.

\_\_\_\_\_ on \_\_\_\_\_

**Stamp and Signature**  
*(Give name and position)*

**For use by RINA**

N° SITES C.V.:                      /	TAR FOR C.:	TAR FOR V.:
NOTES:		
DATE _____	INITIALS _____	



# RINA

## **Attachment to the informative questionnaire- Information on the treatment of personal data**

In connection with the provisions of Law n° 675 of 31/12/1996 concerning the “*protection of persons and other subjects with regard to the handling of personal information*”, the Customer is informed that such information may also be handled by means of automated memorisation, processing and transmission equipment and that maximum security and confidentiality will be ensured in all cases.

The information in question may be:

- a) used to fulfil the obligations relative to or connected with the management and/or execution of the contract;
- b) communicated to third parties that perform specific activities on behalf of RINA (accounting, company reports, tax and social security obligations, management of information systems, market research);
- c) communicated to banks for the management of payments deriving from the execution of the contract;
- d) communicated to credit recovery organisations, consortiums or associations;
- e) communicated to accreditation bodies and associations or other organisations of which RINA is a member (such as IACS, SINCERT, CISQ, etc.), in the sphere of the obligations of RINA towards the same, also as regards insertion in the relative publications and subsequent paper and/or electronic distribution;
- f) distributed in the sphere of the publications of RINA (such as the Register Book, the Register of Certified Companies, the Register of Certified Products, etc.), as well as through the RINA Internet system;
- g) used to inform the customer of the activities and commercial initiatives of RINA and of its subsidiaries as regards certification and training;
- h) communicated to members of the RINA Group for the purposes of informing the Customer of their activities and commercial initiatives carried out in the sphere of certification and training;
- i) used, communicated and/or distributed in the cases provided for by law.

Authorisation to handle information for the purposes indicated in letters (a) to (f) and letter (i) must be held to be necessary for contractual purposes and refusal would prevent the contract from being executed.

The authorisation to handle information for the purposes indicated in letters (g) and (h), is optional and the Customer, in spite of the permission given, may revoke such authorisation at any time by means of an express declaration.

In relation to the about handling of information and considering the above, the Customer is entitled to exercise all the rights as per art. 13 of law 675/96 including, in particular, obtaining cancellation, modification, correction or integration, and opposing the illegitimate handling of information or done so for reasons of commercial information, despatch of advertising material, direct sales and interactive commercial communication.

The Customer is informed and takes note that RINA has appointed its Managing Director as the person responsible for the handling of personal information.





## **Guidelines for drawing up the Technical Document**

**Annex to the Rules for the issue of the Certificate of Conformity  
for food products and granting of the relative Licence to use the  
Quality Mark (annex nr 4)**

**Effective from 1st March 2004**

RINA Società per azioni  
Via Corsica, 12 - 16128 Genova - Italia  
Tel. +39 01053851 - Fax: +39 0105351000  
E-MAIL [info@rina.org](mailto:info@rina.org) - WEB [www.rina.org](http://www.rina.org)  
C.F./P.Iva 03794120109  
Cap. Soc. EURO 30.192.800,00 i.v.  
R.I. Genova N. 03794120109

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Linee Guida / Guidelines

## **Annex 4 - GUIDELINES FOR DRAWING UP THE TECHNICAL DOCUMENT**

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### **INTRODUCTION**

This document illustrates the guidelines for drawing up the Technical Document (TD), which must be evaluated and approved by RINA for the purposes of product certification and subsequent granting of the licence to use the quality mark, in accordance with the special certification scheme of which this document is an integral part.

The following guide lists the elements that must be included in the Technical Document before it can be submitted for evaluation by RINA S.p.A..

The Technical Document is to be divided into two defined and distinct parts:

The first part is a general summary which clearly identifies the product and its characteristics. This part must be made available for public consultation, either openly or on request.

The second part is mainly technical and contains the production characteristics and information relative to product and TD management, including control plans and all information considered as confidential (at the Applicant's discretion) which may not be divulged and/or all information considered as specific know-how. This part is not made available to the public and is covered by the specific confidentiality undertaking made by RINA S.p.A..

*The notes in italics are indications and comments that may be of help to the Applicant while preparing the TD.*

*The Technical Document should be integrated with the HACCP system and any management systems applied by the company.*

### **PART ONE (General introduction – public)**

#### **1. GENERAL**

*The introductory Section is to contain general information defining the sphere and context of the TD. It more or less summarises the contents of the document without omitting:*

- 1.1. Presentation of the Applicant and/or Supply Chain involved (*including the type and number of sites involved, structures, resources and all other information defining the characteristics of the organisation, plus the continuous updating of the organisations in the supply chain*)
- 1.2. Scope and field of application (object of the TD, extension of the supply chain, etc.)
- 1.3. Certification policy and objectives (*including Management declarations, the defined objectives of the certification in question, the advantages of applying the TD, etc.*)
- 1.4. Definitions, abbreviations and glossary (referring to and explaining the technical terms, abbreviations, initials, acronyms, etc., used in the TD and in general referred to the product under certification)
- 1.5. Reference documents (*applicable legal regulations, optional standards, technical specifications, other technical documents*).

#### **2. PRODUCT DESCRIPTION**

The product to be certified and/or the supply chain involved must be clearly described in detail in order to illustrate the special and distinctive characteristics that make it specific and therefore certifiable. The following defined characteristics, where present and/or relevant, are to be included:

- 2.1. Description of the product to be certified (*including its intended use and intrinsic characteristics, production standards, limits of applicable law, reference to other standards, etc.*)
- 2.2. Special characteristics (*production parameters and standards that highlight its special features compared with normal production, thereby making it certifiable. These requirements, whether they be organoleptic, physical, chemical, microbiological, nutritional, production, commercial, etc., must also include, where applicable, the characteristics of the packaging and/or all the relative distinctive characteristics associated with the commercial presentation of the product. These characteristics,*

#### **Annex 4 - GUIDELINES FOR DRAWING UP THE TECHNICAL DOCUMENT**

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however, must be clearly defined and measurable. The test methods chosen to measure them must also be equally representative, reproducible and repeatable).

- 2.3. Commercial characteristics *(the methods of presenting and marketing the product to be certified must be clearly described and include, where applicable, the information required for their correct use and/or preservation)*
- 2.4. Labelling and use of the quality mark *(the characteristics of the product to be certified and for which conformity has been ascertained must be clearly defined and explained. The methods and characteristics of use of the licensed RINA quality mark must also be defined.)*

### **PART TWO (production processes – confidential)**

*The second part of the TD must include all information concerning quality management systems, including, first of all, a description of the structure and management of the Technical Document.*

### **3. MANAGEMENT SYSTEM**

*The second part of the TD describes the characteristics of the applicable management system, including the responsibilities and tasks connected with drawing up, modifying, verifying, approving, handling, storing, archiving and distributing the TD and its contents.*

It must contain a constantly updated company organisation chart defining the internal responsibilities of the organisation and, where appropriate, another one describing the relative supply chain.

*A table summarising the responsibilities for management of the TD and the activities it defines should also be drawn up.*

*The necessary skills and training requirements for the staff performing activities affecting product quality are also to be defined.*

### **4. PROCUREMENT**

The organisation must identify, manage and control the procurement activities of raw materials and all other materials, whether they be semi-finished products, components, other ingredients, packaging, etc., that directly affect the product to be certified and/or its defined characteristics.

*The suppliers of the above products are to be suitably qualified. The qualification activities and responsibilities defined for auditing the capacity of suppliers to provide products compliant with the defined specifications must be recorded.*

### **5. PRODUCTION PROCESSES - PROCESSING - DISTRIBUTION**

*As well as describing the production processes of the product to be certified, all the phases directly affecting the characteristics of the product must also be described. This therefore includes raw materials and other materials directly affecting product quality.*

*The description must include a flow chart showing the production phases and related phases. For supply chains, it must include all the relations between the components and the relative processing stages in the supply chain.*

### **6. IDENTIFICATION AND TRACEABILITY**

The methods for identifying and recording material flows (whether they be raw materials, semi-finished products, components, other ingredients, packaging, etc.) that directly affect the product to be certified and/or its specified characteristics are to be defined.

*The management methods for these products within the production cycle and, if necessary, among various organisations in the supply chain, also include responsibilities relative to the management of the above processes and of the management system itself.*

The same activities must be defined and managed, also and especially as regards the product to be certified

#### **Annex 4 - GUIDELINES FOR DRAWING UP THE TECHNICAL DOCUMENT**

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and also include identification and traceability during the distribution phase.

*This activity is necessary in order to handle claims and/or product recalls.*

*Identification and traceability are fundamental to the following activities.*

### **7. PROCESS CONTROL**

*“A process is an activity, supported by resources and management, which transforms inputs into outputs” – Definition from ISO 9001:2000*

*This definition is used to identify the primary processes (those directly affecting the product) which, with various additions, lead to the formation of the product to be certified.*

*The above processes must be analysed, managed and controlled. A useful way of doing this is the HACCP method which is already applied by food companies.*

*The HACCP method involves identifying the product and its intended use and then constructing and checking a flow chart (these activities have already been discussed in the previous paragraphs). Then a risk analysis is performed and the critical control points identified. The latter are associated with critical acceptability limits and a monitoring system, including corrective action (in the presence of non-conforming parameters/points).*

*These activities are already used by companies in the food sector and are usually summarised in a control plan containing all the above information. It is the main tool used to check and evaluate the product to be certified against the defined specifications.*

Together with the sampling and test plan, the control plan, drawn up in the form of a diagram, is the fundamental document which must show the above information together with the responsibilities, control frequencies and required registrations.

The process control management method must also be defined more generally and, where necessary, the methods and equipment used to perform the controls are to be highlighted.

### **8. SAMPLING AND TESTING**

*The sampling methods, applicable standards (if existing) and/or otherwise referable standard procedures, responsibilities, performance times and methods must be defined. The number and minimum quantities of sampled products, together with the packing, identification and storage methods used, are also to be defined.*

A sampling and test plan must be defined for the product to be certified and, where necessary, for all the products (raw materials, semi-finished goods, components, packaging, etc.) that directly affect the defined characteristics of the product.

*Where possible, the sampling points defined in the process flow chart should be marked.*

As well as defining the information required for the sampling activities, the plan must also contain the number and type of tests to be performed on the samples. The information must also refer to the test methods (*test methods that have been regulated, normalised and at least validated and/or applied to the product in question – i.e.: Sinal accredited test methods - should be applied*), evaluation of the uncertainty of measurement applicable to the methods and clear indications about the repeatability and reproducibility of the same (for test methods accredited by Sinal, these indications are superfluous as reference to the accredited method is sufficient).

The above tests must be performed by competent staff in internal or external laboratories certified to ISO/IEC 17025.

The sampling and test plan must be correctly drawn up and checked by the Applicant and sent to RINA. It is an integral part of the documentation examined during the preliminary assessment.

*For the purpose of conformity certification, this plan must be defined and tests performed at least on the product to be certified at least once every six months.*

Records of the above sampling activities and test results must be written and kept, along with any modifications and additions to the sampling and test plan which must be communicated to RINA together with the new plan, where necessary.

**Annex 4 - GUIDELINES FOR DRAWING UP THE TECHNICAL DOCUMENT**

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**9. NON-CONFORMITY MANAGEMENT**

*Non-conformity means the non-fulfilment of a specified requirement (ISO 9000:2000).*

Activities relative to non-conformities, whether they are directly referable to the product and/or components or generated by the management of the applied system, must be defined, managed and recorded. The responsibilities and actions to be implemented must be defined, also as regards evaluating the reasons and the seriousness of the non-conformity in question.

**10. CORRECTIVE AND PREVENTIVE ACTION, CLAIMS AND PRODUCT RECALL**

The management methods and relative responsibilities connected with corrective and preventive action deriving from non-conformity management must be clearly defined.

Action and responsibility for the management of claims and possible non-conforming product recall from the distribution channel and/or the market must be established.

The above activities must be recorded and kept.

**11. AUDITS**

*The methods must be defined and the frequency of and responsibilities for internal audits must be planned in order to ensure the management system is compliant, as defined in the TD, and effective throughout the process and/or supply chain.*

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For information purposes only, the corresponding paragraphs of ISO 9001:2000 are given: 4.1, 4.2, 5.2, 5.4.2, 5.5, 6.2, 6.3, 6.4, 7.1, 7.2, 7.4, 7.5 (not 7.5.4), 7.6, 8.1, 8.2.2, 8.2.3, 8.2.4, 8.3, 8.5.2, 8.5.3.

**Annex 5 - FACSIMILE OF THE CERTIFICATE OF CONFORMITY FOR FOOD PRODUCTS AND RELATIVE GRANTING OF THE LICENCE TO USE THE QUALITY MARK**



**RINA**

www.rina.org

**CERTIFICATO N.**  
**CERTIFICATE No**

XXX/YY/NN

SI CERTIFICA CHE IL SEGUENTE PRODOTTO AGROALIMENTARE  
*IT IS HEREBY CERTIFIED THAT THE FOLLOWING FOOD PRODUCT*

PRODOTTO DALLA / *PRODUCED BY*

NEL SEGUENTE STABILIMENTO / *IN THE FOLLOWING FACTORY*

E / O NELLE SEGUENTI UNITA' OPERATIVE / *AND / OR IN THE FOLLOWING OPERATIONAL UNITS*

E' CONFORME ALLA NORMA E / O DOCUMENTO DI RIFERIMENTO  
*IS IN COMPLIANCE WITH THE STANDARD AND / OR REFERENCE DOCUMENT*

DESCRIZIONE DEL PRODOTTO / *PRODUCT DESCRIPTION*

DESCRIZIONE DELLA FILIERA (OVE APPLICABILE) / *FOOD CHAIN DESCRIPTION (IF APPLICABLE)*

**Per informazioni sulla  
validità del certificato,  
visitare il sito  
www.rina.org**

Il presente documento costituisce formale concessione della Licenza d'uso del Marchio di Qualità RINA  
*This document represents formal concession of the Licence to use the RINA Quality Mark*

L'uso e la validità del presente certificato sono soggetti al rispetto del documento RINA:

Regolamento per il rilascio del Certificato di Conformità del prodotto agroalimentare e relativa concessione della Licenza d'uso del Marchio di Qualità  
*The use and validity of this certificate are subject to compliance with the RINA document:*

*Rules for the Issue of the Certificate of Conformity for food products and granting of the relative Licence to use the Quality Mark*

*For information  
concerning validity of  
the certificate, you can  
visit the site  
www.rina.org*

Prima Emissione  
**First Issue**  
Emissione Corrente  
**Current Issue**

\_\_\_\_\_  
\_\_\_\_\_

---

**RINA SpA**  
Via Corsica 12 – 16128 Genova Italy

La validità del presente certificato è subordinata a sorveglianza periodica almeno annuale / *The validity of this certificate is dependent on, at least, an annual audit*

**Annex 6 - FACSIMILE OF THE DECLARATION OF CONFORMITY**

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COMPANY LOGO

We hereby declare that the <product> .....  
covered by the RINA Quality Mark:

INSERT THE AUTHORISED RINA LOGO (LICENSEE'S RESPONSIBILITY)

which our company has been authorised to use under Licence N° ....., was produced in our factory  
of ..... in compliance with the following reference standard documents:

- Rules for the issue of the Certificate of Conformity for food products and granting of the relative Licence to use the Quality Mark
- .....
- .....

and, as regards the production process and components used, with the sample subjected to type testing by RINA as per Certificate of Conformity N° XXX .....of .....

Moreover, the product was produced within the field of application of the Technical Document .....  
adopted by our Company, deemed suitable by RINA and controlled by means of systematic audits.

Date, .....

THE COMPANY

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