



# Rules for the certification of Environmental Management Systems

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Technical regulations



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## CHAPTER 1 GENERAL

### 1.1

These Rules describe the procedures applied by RINA for the certification of Environmental Management Systems (EMS) and how organisations can apply for, obtain, retain and use this certification, as well as its possible suspension and revocation.

For any issues not covered in this document, reference should be made to "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND STAFF CERTIFICATION" which can be downloaded at [www.rina.org](http://www.rina.org).

### 1.2

RINA issues this certificate to organisations whose Environmental Management System has been recognised as fully conforming to the ISO 14001:2004 standard.

Moreover, RINA may audit compliance of an Environmental Management System with other reference regulatory documents (e.g.: EMAS Rules, EPD), on request, and, if appropriate, issue the relative validation of the declaration. The specific RINA rules/guides must also be considered in these cases.

### 1.3

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 tariffs for the certification service and guarantees fairness and uniformity of application. RINA is entitled to refuse requests for certification by organisations that have been the subject, or whose production or activities have been the subject, of restriction, suspension or proscription by a public authority.

### 1.4

The certificate issued by RINA pertains exclusively to a single organisation, where organisation means a group, company, enterprise, body or institution, or parts and combinations thereof, whether associated or not, public or private, with its own functional and administrative structure.

For organisations with more than one operating unit, a single operating unit can be defined as an organisation.

### 1.5

The procedures envisaged in these rules are also applied when Environmental Management System certification is requested under the provisions of the RINA Rules for the classification of ships or other rules applicable to the organisation; in such cases, any additional requirements for the Environmental System contained therein are to be complied with.



## 1.6

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 ascertain whether the auditing methods applied by RINA comply with the relative standards. 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, the validity of its certificate is suspended.

## 1.7

The terminology used in these Rules is indicated in the ISO 14001:2004 and UNI CEI EN ISO/IEC 17000:2005 standards.

## CHAPTER 2

### REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

#### 2.1

Organisations wishing to obtain RINA certification of their Environmental Management System must first and henceforth satisfy the requirements of ISO 14001:2004 and those indicated in the following paragraphs of this Chapter (e.g.: Sincert document "RT-09" for the issue of Environmental Management System certificates in Italy under Sincert accreditation).

During its accreditation activities, in fact, RINA must abide by certain reference documents issued by the accreditation bodies. These documents can be obtained from RINA or directly from the accreditation bodies (consulting their Internet sites, for example).

#### 2.2

In particular, in order to obtain Environmental Management System certification, the organisation must:

2.2.1 have performed a preliminary environmental analysis of the site/s, including:

- A description of the type of activity carried out at the site/s for which Environmental Management System certification is requested;
- Identification of the environmental aspects and impacts associated with the organisation's activities.

2.2.2 have prepared a manual:

- defining the scope of the Environmental Management System, describing the main system elements and their interactions and containing or referring to the relative documented procedures;



- taking into consideration the requirements of the standard and giving a description, not necessarily detailed, of the resources and procedures used to ensure compliance with these requirements;
- containing a suitable description of the company organisation.

2.2.3 have established and maintained active and fully operative an Environmental Management System in total conformity with the requirements of the ISO 14001:2004 standard.

An Environmental Management System is considered as being fully operative when:

- it has been applied for at least three months;
- the internal audit system has been fully implemented and its effectiveness can be demonstrated;
- at least one management review of the system has been carried out and documented;
- the significant environmental aspects have been assessed and identified;
- the environmental objectives and relative environmental programmes have been established and documented;
- the environmental impacts and controls of the associated activities have been monitored and recorded;
- continuous improvement and pollution prevention actions have been implemented.

## 2.3

The requirements indicated in point 2.2 are verified by RINA by means of a two-stage initial audit:

- Audit stage 1, which can be carried out:
  - in part in the office and in part at the organisation
  - or
  - entirely at the organisation's site
- Audit stage 2  
RINA conducts an audit on site.

The special features of the initial audit are described in the next chapter.

## CHAPTER 3 INITIAL CERTIFICATION

### 3.1

Organisations wishing to obtain RINA certification for their Environmental Management System must provide RINA with their main organisation/production data and site location



by filling in all parts of the "Informative Questionnaire" form, available at [www.rina.org](http://www.rina.org), and sending it to RINA which will use it to prepare a quotation.

In particular, the organisation must inform RINA of:

- information concerning all the processes outsourced by the organisation that may affect conformity with requirements;
- the number of permanent and temporary sites involved in certification and the relative activities carried out there;
- any activities/sites excluded from the field of application of the Environmental Management System to enable a verification to be made of the admissibility of such exclusions.

This information is required in order to verify the application of certain requirements of the standard beforehand and to draw up a suitable offer.

If organisations accept RINA's quotation, they must make their application official by sending RINA the specific form attached to the offer, indicating the reference standard and, if relevant, any other reference standard document according to which certification is requested.

On receipt of the application for certification and the relative annexes and having ensured they are complete, RINA will send the organisation written acceptance of its application.

The organisation's request, which makes specific mention of these rules, and its acceptance by RINA, contractually formalise the relationship between RINA and the organisation, and the applicability of these rules.

The agreement signed between RINA and the organisation includes:

- the initial audit comprising two stages and the issue of the certificate;
- subsequent surveillance and recertification audits
- any additional services specified in the offer.

RINA informs the organisation of the names of the auditors appointed to conduct the audit stage 1 and audit stage 2; the organisation may object to the appointment of these auditors, stating its reasons.

During the initial audit, the organisation must be able to demonstrate that the Management System has been fully operational for at least three months and that it effectively applies the system and relative documented procedures.



### 3.2

Together with or following the certification request, the Organisation has to present RINA the following documents:

- final report of the preliminary site analysis including the layout of the site/s;
- environmental management manual describing the Environmental Policy, Objectives and Programme/s and the Environmental Management System of the Organisation (last valid revision);
- organisation chart;
- list of internal procedures which are relevant in terms of environmental management;
- list of the environmental authorisations held by the organisation and a list of the environmental fulfilments applicable to the organisation by filling in the "List of environmental authorisations and fulfilments" (attached to the offer) or providing equivalent documentation;
- list of current operational yards, describing the activities performed there, if applicable;
- copy of the Chamber of Commerce registration certificate or an equivalent document, certifying the existence of the organisation and describing the activity it performs.

RINA may ask, at its discretion, to examine other documents, apart from those previously mentioned, that are considered to be important for assessing the Environmental Management System.

RINA examines the above documents for conformity with the reference standard and with the requirements of these Rules.

The outcome of this review is notified to the applicant with the despatch of a copy of the audit stage 1 report – document review (if performed at RINA); any non-conformities considered as critical found in the documentation must be eliminated by the organisation to the satisfaction of RINA before the certification procedure can continue.

The documentation referred above is normally kept by RINA for its files.

If the audit stage 1 is performed entirely on site, the outcome of the document review is, in any case, indicated in the audit stage 1 report – document review and will be given to the organisation together with the "on-site" stage 1 report, as described in point 3.3.

### 3.3

The audit stage 1 "on-site" of the Environmental Management System is generally performed at the organisation's site, except in special cases.

This audit sets out to:

- analyse the system by collecting information concerning the scope of the organisation's Management System, processes and sites, together with the relative legal and regulatory aspects;
- plan audit stage 2, reviewing the resources allocated to perform it and agreeing the details with the organisation.



During the audit stage 1 "on-site", qualified RINA auditors also conduct on-site inspections and interviews with the organisation's staff, verifying at least:

- a) that the Environmental Management System documentation, including the procedures, covers all the requirements of the standard;
- b) that a complete cycle of audits covering all the sites and the relative management review has been performed;
- c) that the organisation has documented the evaluation of the significant environmental aspects and the reliability of this evaluation in relation to the type of organisation;
- d) that the organisation has all the environmental authorisations required to allow it to carry out its activities and that such authorisations are valid;
- e) that the organisation complies with the fulfilments contained in the documents indicated in lett. d), as well as with those required by applicable environmental legislation.

If the contents of the above letters d) and e) are not totally satisfied, please refer to the contents of point 3.6.

At the end of the audit stage 1, the organisation is given a copy of the audit stage 1 "on-site" report which, among other things, indicates any findings detected, including those that could be classified as non-conformities/ observations during the audit stage 2.

The actions taken by the organisation to eliminate these findings are generally checked during the audit stage 2 referred to in point 3.4.

In the event of findings deemed to be particularly important, in the judgement of the surveyors who performed the audit, the organisation may be required to totally eliminate them before the audit stage 2 takes place.

The stage 2 audit is to be carried out within a maximum of 6 months from the end of the stage 1 audit, after which the stage 1 audit will have to be repeated. In special cases, RINA may decide to extend this limit to 12 months.

### **3.4**

The audit stage 2 is conducted at the organisation in order to verify the correct implementation of the Environmental Management System.

Before conducting the audit stage 2, RINA sends an audit plan to the site/s of the organisation giving a detailed description of the activities and the requirements for conducting the audit.

If the organisation performs its activities on more than one operative site, the audit will be performed according to criteria established by RINA and communicated to the Organisation.

This audit is performed by qualified RINA surveyors, on the basis of the audit stage 1 and the following updated documents prepared by the organisation:



- Environmental Management System manual,
- informative questionnaire filled in by the organisation,
- list of internal procedures,
- management procedures and other Environmental Management System documents,
- Preliminary Environmental Analysis.

The audit stage 2 essentially comprises:

- an initial meeting with the technicians of the organisation in order to agree and confirm the audit objectives and methods indicated in the audit plan;
- verification that the corrective actions relative to the observations found during the audit stage 1 have been effectively implemented;
- an inspection of the production site/s of the organisation to verify conformity of the Environmental Management System with the reference documents and its complete implementation; during this inspection, checks on the plants and interviews with the staff involved in the Environmental Management System will also be made;
- a closing meeting to explain the outcome of the audit.

### 3.5

At the end of the audit stage 2, the organisation is given a copy of the audit report containing any non-conformities found (type "A" finding), observations relevant to implementation of the Environmental Management System (type "B" finding) as well as any recommendations (type "C" finding).

The organisation may indicate any reservations or comments concerning the findings by the RINA surveyors in the relative space in the audit report.

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

If there is no written communication from RINA, the report is to be considered as confirmed three days after being received by the organisation.

After analysing the reasons for any non-conformities and/or observations indicated in the above report, the organisation must, within the data indicated on the report, inform RINA of its proposals for handling the non-conformities and/or observations, as well as the corrective action required and the dates envisaged for its implementation.

The "Member Area" of the RINA website ([www.rina.org](http://www.rina.org)) can be used to send handling and corrective action proposals to RINA for acceptance.

The organisation, in fact, may propose handling methods and corrective action by filling in the relative forms directly in the "Member Area" of the RINA website ([www.rina.org](http://www.rina.org)).<sup>1</sup>

RINA will notify the organisation in writing of acceptance of the proposals and of the relative implementation deadlines.

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<sup>1</sup> If it is impossible to access the Internet, the organisation may fill in a paper form and send it to the pertinent RINA Office.



### 3.6

If environmental authorisations or equivalent documents, required by current legislation, are not forthcoming, the certification process is suspended unless the organisation can at least demonstrate that:

- it has presented a complete and correct application for authorisation at least 6 months ago;
- it has taken all the rights steps for the authorisation procedure;
- it has solicited the public authority responsible for issuing the authorisation on a reasonably continuous basis and in written form;
- it observes the limits established by law, if existing.

If the audits reveal findings connected with the non-observance of environmental legislative requirements<sup>2</sup>, the certification process, except in special cases, is suspended until the organisation has demonstrated it observes these requirements.

### 3.7

In the event of non-conformities<sup>3</sup> the certification process is suspended; in the event of observations, the number of which, in the audit team's judgement, may compromise the efficiency of the system, the certification process is also suspended.

In these cases, RINA must perform a supplementary audit within three months in order to ascertain the effectiveness of the proposed handling methods and corrective action; if this audit is successful the certification process will be resumed.

The auditing team may decide to perform the supplementary audit on site or on the documents, depending on the type of corrective action involved.

The auditing team may decide to perform the supplementary audit on site or on the documents, depending on the type of corrective action involved.

All costs relative to any additional audits deriving from shortcomings in the Quality Management System will be charged to the Organisation.

If the above period is exceeded, the Environmental Management System is completely re-examined within six months of the completion date of the stage 2 audit.

After the six month period has elapsed with no positive outcome of the assessment, RINA reserves the right to definitively close the certification file and charge the time spent

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<sup>2</sup> Legal requirements mean:

- Legal limits and/or provisions;
- Limits and/or provisions indicated on authorisations or other regulatory documents, etc.

<sup>3</sup> "Non-conformities" mean:

- total non-observance of one or more reference standard requirements;
- non-compliance with one or more requirements of these Rules;
- situations that could cause serious shortcomings in the management system or reduce its capacity to ensure the control of environmental aspects/impacts and/or compliance with legislation.



and expenses incurred up to that moment. In such a 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.

### **3.8**

After the satisfactory completion of the evaluation and validation by the relative RINA committee, a Certificate of Conformity of the Environmental Management System, valid for three years, will be issued (the facsimile of which is available at [www.rina.org](http://www.rina.org)).

The validity of the certificate is subject to the result of the subsequent annual surveillance audits and the three-yearly recertification of the Environmental Management System.

The frequency and extension of the subsequent audits for maintaining certification are established by RINA on a case-by-case basis by drawing up a three-year audit plan which it sends to the organisation.

For details on the management and validity of the certificates of conformity issued by RINA, see chapter 6.

## **CHAPTER 4 MAINTENANCE OF CERTIFICATION**

### **4.1**

The organisation must ensure its Environmental Management System continues to comply with the Reference Standards.

### **4.2**

The organisation must keep records of:

- environmental aspects/impacts;
- environmental accidents/emergencies on the site/s and other events that could have had negative effects on the environment;
- any complaints received concerning environmental impacts;

and must make them available to RINA together with the relative corrective action implemented during the periodic audits.

The Organisation must keep RINA informed of any observations/remarks from national or local authorities responsible for environmental control and of any situations of legislative non compliance related to all the Organisation's activities, regardless of the field of application of the Environmental Management System.



### 4.3

RINA performs periodic audits on the Environmental Management System in order to evaluate whether it remains compliant with the requirements of the reference standard.

Certification maintenance audits are divided into two types:

- surveillance audits, generally performed at least once a year.  
Sample checks are made of the Environmental Management System according to the schedule indicated in point 3.8 in the organisation's possession.
- recertification audit (see charter 5);  
The Environmental Management system must be totally reviewed every three years.

### 4.4

Surveillance audits are performed at the organisation's site/s, according to a three-year programme which enables each item contained in the reference standard according to which the Environmental Management System was certified to be audited at least once during the three years of validity of the Certificate

The following aspects will be considered during the surveillance audits:

- a) internal audits and management reviews;
- b) a review of the action taken as a result of the non-conformities/observations identified during the previous audit;
- c) handling of complaints;
- d) the effectiveness of the Management System in achieving objectives;
- e) the progress of activities implemented to promote continual improvement;
- f) continual operative control;
- g) a review of any changes.

Details of the activities and instructions for performing surveillance audits at the site/s are described in the surveillance audit plan which RINA sends to the organisation before performing the audit.

**4.5**

At least one surveillance audit must be performed at intervals of not more than 12 months and the date within which the audits must be performed is indicated on the three yearly audit plan sent to the organisation.

This programme may be modified by RINA according to the results of the previous surveillance audits.

If the limits of the surveillance audits are exceeded for justified reasons, this must be agreed in advance with RINA and recovered at the subsequent audit.

In any case, the date of the first surveillance audit following initial certification must be established within 12 months from the final date of the audit stage 2.

**4.6**

RINA also reserves the right to perform additional short-notice audits, with respect to those established in the three-year programme, at the Organisation:

- if it receives complaints or reports, considered to be particularly significant, relative to the non-compliance of the Environmental Management System with the requirements of the reference standard and of these Rules
- in relation to changes taking place in the organisation
- to organisations whose certification has been suspended.

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

If RINA considers the complaints and reports to be justified, the cost of the supplementary audit will be charged to the organisation.

**4.7**

The dates of the surveillance audits will be agreed with the organisation in due time and officially confirmed in writing.

The names of the side auditors appointed to perform the audits will be notified by RINA to the organisation which may object to the appointments, giving its reasons.

**4.8**

The outcome of the audits is notified as described in section 3.5.

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

**4.9**

In the case of non-conformities or observations whose number in the opinion of the audit team is such as to impair the correct functioning of the system, the organisation will be subject to a supplementary audit within the time limits established by RINA in relation to the importance of the non-conformities/observations and, in any case, not more than



three months after the end of the surveillance audit in order to ascertain the effectiveness of the proposed handling methods and corrective action.

If the non-conformities/observations are not eliminated within the established times or if the observations found do not ensure control of environmental aspects/impacts and applicable legal requirements, RINA may suspend certification until these non-conformities have been eliminated and, in any case, as specified in point 10.1.

All costs relative to any additional audits deriving from shortcomings in the Environmental Management System will be charged to the organisation.

## **CHAPTER 5 RECERTIFICATION**

### **5.1**

For the recertification audit of the Environmental Management System, performed every three years, the organisation must contact RINA about three months before the date indicated on the three-year audit plan in its possession, and send an updated and complete copy of the Informative Questionnaire (available at [www.rina.org](http://www.rina.org)) in order to allow RINA to plan the activity and agree on the date of the recertification audit.

The date of the recertification audit will be agreed with the organisation in due time and officially confirmed in writing.

The names of the auditors appointed to perform the audits will be notified by RINA to the organisation which may object to the appointments, giving its reasons.

### **5.2**

The recertification audit sets out to confirm maintenance of the conformity and effectiveness of the overall Management System and is mainly based on an audit to perform on-site, generally, using the same criteria as the audit stage 2.

In particular, the recertification audit comprises an on-site audit which considers, among other things, the following aspects:

- a) the effectiveness of the overall Management System in the light of internal and external changes and its continual pertinence and applicability for scope of the certification;
- b) the commitment demonstrated in maintaining the effectiveness and improvement of the Management System in order to improve overall performance;
- c) If the effectiveness of the Management System contributes towards the pursuit of the organisation's policy and objectives.

Details of the activities and instructions for performing recertification audits at the site/s are described in the recertification audit plan which RINA sends to the organisation before performing the audit.**5.3**



Following the successful outcome of the recertification audit, the auditing team submits a recertification proposal to RINA in order to allow it to reissue the certificate of conformity.

RINA reissues the certificate of conformity following the positive outcome of the assessment of the above proposal.

Confirmation of recertification approval by RINA with consequent issue of the certificate is sent to the organisation in writing.

For details on the management and validity of the certificates of conformity issued by RINA, see chapter 6.

#### **5.4**

The recertification procedure must be successfully terminated before the expiry date indicated on the certificate. This date cannot be extended by RINA.

Consequently, the recertification audit must be successfully terminated in sufficient time to allow RINA to approve the recertification proposal and reissue the certificate within the above date (at least one month before the expiry date of indicated on the certificate).

If it organisation fails to abide by the above deadlines and does not obtain the reissued certificate within the date of expiry, the certificate must be considered as expired starting from the day after the date of expiry indicated on the certificate.

Organisations intending to obtain certification following the expiry of the certificate must present a new application and, generally, repeat the entire initial certification procedure.

#### **5.5**

In the case of non-conformities or observations whose number in the opinion of the auditing team is such as to impair the correct functioning of the system, the organisation must effectively implement the relative handling and/or corrective action before the date of expiry of the certificate of conformity.

This means that the RINA must perform the supplementary audit to verify the elimination of these non-conformities/observations in sufficient time for the subsequent issue of the certificate.

The established times within which RINA must perform the supplementary audit are communicated to the organisation in the recertification audit report.

The auditing team may decide to perform the supplementary audit, aimed at ascertaining the effectiveness of the proposed handling methods and corrective action, on site or on the documents, depending on the type of corrective action involved.

All costs relative to any additional audits deriving from shortcomings in the Environmental Management System will be charged to the organisation.



## **CHAPTER 6 MANAGEMENT OF CERTIFICATES OF CONFORMITY**

### **6.1**

The certificate of conformity issued by RINA is valid for three years starting from the date of approval by RINA of the initial certification or recertification proposal.

Among other things, the Certificate indicates any activities performed in the site/s subject to certification that are excluded from the scope of the Environmental Management System.

### **6.2**

From the moment of issue of the certificate by RINA, an original copy of the same and of the relative three-year audit plan is made available to the organisation in the "Member Area" of the RINA website ([www.rina.org](http://www.rina.org)). The organisation may therefore enter and download the above documents directly from this area of the RINA website.

In any case, RINA will send the original files of the certificate of conformity and of the three-year audit programme, present in the "Member Area", by electronic mail.

If it is impossible to access the Internet, the organisation may request a hardcopy original from the pertinent RINA Office.

### **6.3**

The validity of the certificate, throughout the three years of validity, is subject to the results of the subsequent surveillance audits.

The certificate of conformity is reissued following the successful outcome of each recertification audit within the established deadlines, as indicated in chapter 5 hereto.

The validity of the certificate may be suspended, withdrawn or relinquished in accordance with the contents of Chapters 10 and 11.

RINA directly publishes and updates the following on its website [www.rina.org](http://www.rina.org):

- the list of certified organisations;
- the status of validity of the certificates issued, indicating valid, suspended or invalid for each certificate;
- copies of valid certificates.

On request, RINA provides information on the reasons for the invalidity of the certificate.



## **CHAPTER 7 MODIFICATION TO CERTIFICATION AND COMMUNICATION OF CHANGES**

### **7.1**

An organisation in possession of certification may request a modification or extension by presenting a new certification application, accompanied by the duly updated documentation indicated in point 3.1. RINA reserves the right to examine requests on a case-by-case basis and to decide the evaluation methods for the purpose of issuing a new certificate according to the "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND STAFF CERTIFICATION" and ISO 14001:2004 standard.

### **7.2**

The organisation must promptly inform RINA of any changes in factors that may affect the capacity of the Management System to continue to satisfy the requirements of the standard used for certification.

This requirement concerns, for example, modifications to:

- a) the legal, commercial, organisational or ownership status;
- b) organisation and management (e.g.: key managers or technical staff, decision-making process);
- c) contact addresses and sites;
- d) field of application of the activities covered by the certified management system;
- e) significant changes in the management system and processes.

RINA reserves the right to perform additional audits on the organisation if the modifications communicated are considered particularly significant as regards maintaining the conformity of the Environmental Management System with the requirements of the reference standard and of these Rules or to review the economic conditions for the possible modification of the contract.

## **CHAPTER 8 SPECIAL PROCEDURES FOR MULTI-SITE ORGANISATIONS**

### **8.1**

If an organisation works on more than one permanent site and a single certificate is requested, auditing activities can be performed by sampling the sites subject to audit, as long as:

- the processes of all the sites are essentially of the same type and are carried out using similar methods and procedures. In the case of different processes in different places, they are to be connected (i.e. manufacture of electronic components in one place, assembly of these same components by the same organisation in various other places);
- the management system is managed and administered at head office level and is subject to review by the senior management.



The organisation must also demonstrate that the head office has established an environmental management system in compliance with the reference standard and that the entire organisation meets its requirements.

In particular, at least the following activities are to be managed by the head office of the organisation:

- assessment of training requirements;
- control and modification of documents;
- senior management review of the Management System;
- complaints from interested third parties;
- assessment of the effectiveness of corrective actions;
- planning/execution of internal audits and assessment of results;
- environmental site analysis;
- modification of associated aspects and impacts for environmental management systems;
- presence of different legal requirements.

Before the initial audit by RINA, the organisation must have performed an internal audit on each site and assessed conformity of its management system with the reference standard.

## 8.2

If the organisation meets the above requirements, RINA checks anyhow the feasibility of sampling all sites and decides whether to limit sampling in the following cases:

- requirements connected to variable local factors;
- sectors or activities included in the field of application;
- size of the sites suitable for a multi-site audit;
- variations in local implementation of the management system, as the need to have frequent recourse to the use, in relation to the management system, of plans which have different activities or different contractual or regulatory systems;
- use of temporary sites (operational yards).

In the case of organisations which provide services, if the sites where the activities subject to certification are carried out are not all ready at the same time to undergo certification, the organisation is to inform RINA in advance of the sites to be included in the certification and those to be left out.

## 8.3

On the basis of the information provided by the organisation, RINA establishes the applicable sampling plan.

This activity, in general, is performed during the audit process and can also be done after the audit has been completed at the headquarters. In any case, RINA informs the headquarters of the sites which will be included in the sampling.

**8.4**

RINA issues a single certificate with the name and address of the headquarters of the organisation. A list of all the sites to which the certificate refers is indicated in an annex or on the certificate.

The organisation may be issued with a certificate extract for each site covered by certification, provided it indicates the same purpose or a sub-element, and includes a clear reference to the main certificate.

**8.5**

For any non-conformities and/or observations found on one site during audits, the organisation must evaluate whether they are due to shortcomings common to more than one site and, if so, it must adopt corrective action both at the headquarters and at the other sites.

If, on the other hand, the non-conformities and/or observations are not of the above type, the organisation is to provide adequate evidence and reasons for limiting its follow-up corrective action.

If non-conformities are found on even one site, the certification process is suspended for the entire network of sites listed until the non-conformities have been made good and in any case, in accordance with what is stated in point 10.1.

The Organisation is not allowed, in order to overcome the obstacle created by the existence of a non-conformity in one single site, to exclude this/these site(s) from the scope during the certification process.

**8.6**

The organisation is to keep RINA informed of any site covered by certification which it closes. If the organisation fails to do so, RINA may decide whether to continue as per point 10.1.

Following surveillance or recertification audits or extensions of certification scopes, additional sites may be included on a pre-existent certificate.

**CHAPTER 9  
TRANSFER OF ACCREDITED CERTIFICATES****9.1**

If an organisation with a valid certificate issued by another System Certification Body, accredited by an Accreditation Body adhering to the IAF mutual recognition agreement, intends to transfer its certificate to RINA, it must send RINA the "Informative Questionnaire" as per point 3.1, giving its reasons for requesting transfer.

If the organisation accepts the economic offer, it must send RINA the "Certification Request" and enclose the following documents:



- copy of the valid certificate issued by a Certification Body for Environmental Management Systems, accredited by an accreditation body signatory to the IAF MLA mutual recognition agreements;
- copy of the certification audit report or of the last recertification audit report and subsequent surveillance audit reports;
- copy of the last management review.

The organisation must also inform RINA of:

- any observations or reports by national or local authorities;
- any complaints received and relative action taken.

The above documentation is examined to check whether the certification scope is included among the scopes for which RINA is accredited, the validity of the certificate issued by the previous certification body and if there are any non conformities pending.

If the certificate issued by the previous certification body has been suspended or it is not possible to verify the validity of the certificate, the transfer procedure will not be undertaken.

The above checks generally include a visit to the organisation which has requested the transfer of its certificate.

The contract between RINA and the applicant is managed as indicated in paragraph 3.1, depending on the scope of auditing activities.

After the satisfactory completion of the above activities, a Certificate of Conformity is issued for the Environmental Management System under review, which generally maintains the deadline established by the body which issued the previous certificate.

Generally speaking, surveillance and recertification audits are also performed according to the plan established by the organisation that issued the previous certificate.

## **CHAPTER 10 SUSPENSION, RENEWAL AND WITHDRAWAL OF CERTIFICATION**

### **10.1**

The validity of the certificate of conformity may be suspended as indicated in the "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION" and in the following specific cases:

- if the organisation does not allow scheduled audits to be performed at the requested frequencies;
- if non-conformities are found in the Environmental Management System which have not been corrected within the time limits established by RINA;



- if the organisation does not observe the deadlines established for the communication of corrective actions, following non-conformities/observations indicated on the audit report;
- if the organisation has made far-reaching changes to its Site/s or moves to another site without informing RINA of such changes;
- if the organisation has made modifications to its Environmental Management System that have not been accepted by RINA;
- if the organisation has undergone important re-structuring and has not reported this to RINA;
- if it refuses or obstructs the participation in audits of the observers of an accreditation body;
- for evidence that the Environmental Management System does not guarantee respect of the laws and regulations applicable to the activity and/or the site/s;
- if justified and serious complaints received by RINA are confirmed.

The organisation may also make a justified request to suspend certification, normally for not more than six months and, in any case, not after the expiry date of the certificate.

This suspension will be notified to the organisation in writing, stating the conditions for re-instating certification and the date by which the new conditions are to be complied with.

Suspension of the validity of the certificate becomes effective on the date of dispatch of the notification and is made public by RINA directly on its website [www.rina.org](http://www.rina.org) as established in point 6.3.

## 10.2

Reinstatement of certification is subject to verification that the shortcomings which led to the suspension itself have been eliminated. This is achieved by means of an analytical audit checking the compliance of the Environmental Management System with all the requirements of the reference standard.

It is notified to the organisation in writing and made public by RINA on its website [www.rina.org](http://www.rina.org) as established in point 6.3.

## 10.3

Failure to fulfil the conditions as per point 10.2 above by the established date will lead to revocation of the Certificate of Conformity.

Revocation of the certificate of conformity may be decided as indicated in "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION" and in the following specific cases:

- when there are reasons such as those indicated in point 10.1 for suspension, which are held to be particularly serious;



- if the organisation stops the activities or services covered by the certified Environmental Management System for over six months as a rule;
- if the organisation does not accept the new economic conditions established by RINA due to a modification in the contract;
- for the case of multi-site organisations, if the headquarters or one of the sites does not comply with the criteria required to maintain certification;
- for any other reason that RINA deems to be serious, as for example but not only, proven inability of the system to pursue its objectives of compliance with binding obligations or contractual obligations or of product safety.

Withdrawal of the Certificate of Conformity is notified in writing to the organisation and made public by RINA as indicated in point 6.3.

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

## **CHAPTER 11 RELINQUISHMENT OF CERTIFICATION**

A certified organisation may send formal communication of withdrawal of certification to RINA, before the expiry of the certificate, including the case in which the organisation does not wish to or cannot conform to new provisions established by RINA.

Upon receipt of this communication, RINA starts the procedure for invalidating the certificate.

Generally speaking, within one month from the date of the communication, RINA updates the validity status of the certificate.

## **CHAPTER 12 CONTRACT CONDITIONS**

For contract conditions, the contents of the current edition of RINA document "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION" apply.

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Technical regulations