



# **Rules for the certification of Occupational Health and Safety Management Systems**

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RINA  
Via Corsica, 12 - 16128 Genova - Italia  
Tel. +39 01053851 - Fax: +39 0105351000  
[www.rina.org](http://www.rina.org)

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Technical Rules

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## CHAPTER 1 - GENERAL

### 1.1

These rules describe the procedures applied by RINA for the certification of Occupational Health and Safety Management Systems (OH&S Occupational Health and Safety) and how organisations can apply for, obtain, retain and use certification as well as its possible suspension and withdrawal.

For matters not covered by this document, reference is to be made to the "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION", available from the Internet site [www.rina.org](http://www.rina.org).

### 1.2

RINA issues certification to organisations whose Occupational Health and Safety Management System has been recognised as fully conforming to all the requirements of the standard

BS OHSAS 18001:2007

### 1.3

Access to 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 may legitimately refuse certification requests from organisations subject to or whose production or activities are subject to 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, business, body or institution, or their parts or combinations, whether associated or not, public or private, which has its own functional and administrative structure and which depends completely on an employer, having full responsibility for the Occupational Health and Safety Management System.

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

### 1.5

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

### 1.6

The body which guarantees 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. 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 the certificate is suspended.

### 1.7

The terminology used in the present rules is the same as that contained in the BS OHSAS 18001 and UNI CEI EN ISO/IEC 17000:2005 standards.

## CHAPTER 2 – REFERENCE STANDARD / REQUIREMENTS FOR CERTIFICATION

### 2.1

To obtain RINA certification, an Occupational Health and Safety Management System must satisfy, both initially and in the long run, the requirements of the BS OHSAS 18001 standard and those indicated in the following paragraphs of this chapter, as well as any additional documents required by accreditation bodies (i.e.: Sincert document "RT-12" for the issue of Occupational Health and Safety Management System certification in Italy with 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, to obtain Occupational Health and Safety Management System certification, the organisation must:

2.2.1 Make available a formal statement of awareness of the fact that compliance with the mandatory rules concerning OH&S is an essential

and unavoidable prerequisite to implement an OH&S Management System and that the organisation has already checked the existence of such a prerequisite;

2.2.2 Provide Chamber of Commerce information (copy of the Chamber of Commerce registration certificate or equivalent document), the list of human resources as well as technical and logistic resources and any previous sanctions and/or convictions concerning Occupational Health and Safety aspects;

2.2.3 Have performed a preliminary analysis which includes:

- a detailed description of the type of activity carried out at the site/s for which Management System certification is requested and of the processes to be audited, including the laws and rules which govern them;
- identification of the occupational health and safety hazards associated with the organisation's activities and related risks and the procedure to accurately identify the hazards, assess the risks and implement the necessary control measures;

2.2.4 Have a Manual which:

- defines the scope of the Occupational Health and Safety Management System, describes the main system elements and their interactions and contains or refers to the relative documented procedures;
- takes into consideration the requirements of the standard and gives a description, even brief, of the resources and procedures used to ensure compliance with these requirements;
- contains a suitable description of the company organisation;

2.2.5 Have established, maintained active and fully operational an Occupational Health and Safety Management System in total conformity with the requirements of the BS OHSAS 18001 standard. A Management System is considered as being fully operational 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;
- a process to identify and assess the occupational health and safety risks has been implemented;
- the occupational health and safety objectives together with the relative programmes have been established and documented in accordance with company policy;
- the risks and related impacts and control of the associated activities have been monitored and recorded;

- continuous improvement and occupational health and safety protection actions have been implemented;

2.2.6 Make available:

- a copy of the documentation which describes the OH&S Management System, including the list of references to worker safety and health legislation mandatory for the type of activity carried out by the organisation;
- the procedure to accurately identify the hazards, assess the risks and implement the necessary control measures;
- the procedure to identify potential accidental events and potential emergency situations.

## 2.3

RINA checks the requirements indicated in paragraph 2.2 through a process comprising a two-stage initial audit:

- Stage 1 audit which can be carried out:
  - in part in the office and in part at the organisation
  - entirely at the organisation's site
- Stage 2 audit  
RINA performs an on-site audit.

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

## CHAPTER 3 – INITIAL CERTIFICATION

### 3.1

Organisations wishing to obtain certification for their Occupational Health and Safety Management System are to provide RINA with their main organisation data, relative activities carried out and location of the site(s), by sending the "Informative Questionnaire" duly filled in and available on the web site [www.rina.org](http://www.rina.org) on the basis of which RINA will prepare a quotation.

In particular, the organisation is to communicate the following to RINA:

- information concerning all the processes outsourced by the organisation that affect conformity with the requirements;
- the number of permanent and temporary sites involved in certification and the relative activities carried out there;
- any temporary sites excluded from the field of application of the Occupational Health and Safety Management System to verify acceptability of these exclusions.

This information is required to check in advance that some requirements of the standard have been implemented and to prepare a suitable quotation.

If the organisation accepts the RINA quotation, it makes its application for certification official by sending RINA the specific form enclosed with the quotation, 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 sends 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 contract stipulated between RINA and the organisation covers:

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

RINA will notify the organisation of the names of the auditors who will carry out the stage 1 audit and the stage 2 audit; the organisation may object to the appointment of these auditors, giving their reasons.

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

### 3.2

The organisation is to make the following documentation available to RINA, together with the certification request or subsequently:

- the final report of the preliminary analysis of the organisation;
- Management System manual which describes the policy, objectives and programme(s) for Occupational Health and Safety and the organisation's Management System (latest valid revision);
- organisation chart of the organisation;
- list of internal procedures which are relevant in terms of occupational health and safety management;
- list of the identification data of the occupational health and safety laws applicable to the organisation;

- a copy of the organisation's Chamber of Commerce registration certificate or equivalent document, certifying the existence of the organisation and describing the activity it performs;
- list of current operational yards, describing the activities performed there, where pertinent.

RINA may request, for examination, also other documents, apart from those indicated above, considered important for Management System assessment.

The above documentation will be evaluated by RINA for compliance with the reference standard and with the requirements of these rules.

The outcome of this review will be notified to the applicant by dispatching a copy of the stage 1 audit report – document review (if undertaken in the RINA offices); any findings in the documentation considered critical are to be dealt with by the organisation to the satisfaction of RINA, before the certification procedure can continue.

The above documentation will normally be kept by RINA for its files.

If the stage 1 audit is carried out entirely on site, the outcome of the document review will, in any case, be included in the stage 1 audit report – document review and will be given to the organisation together with the on-site stage 1 report, referred to in 3.3 below.

### 3.3

Except in special cases, the on-site stage 1 audit of the Occupational Health and Safety Management System is made at the organisation's premises.

The purpose of the audit is to

- analyse the System by collecting the necessary information regarding the scope of the Management System, processes and location(s) of the organisation and related statutory and regulatory aspects;
- plan the stage 2 audit by reviewing the allocation of resources for this audit and agreeing with the organisation on the details of the stage 2 audit.

During the stage 1 audit on site, qualified RINA auditors, also performing on-site inspections and interviews with the organisation's personnel, check at least the following:

- a) that the management system documentation, including the procedures, covers all the requirements of the reference standard;
- b) a cycle of complete audits covering all the sites has been made and also the relative management review;
- c) that the Management System includes a sound, dynamic and involved process of hazard identification and assessment of the relative risks including also those derived from processes

established by suppliers who operate, even sporadically, at the site(s) being certified or those relevant to the presence of visitors;

d) the existence and effectiveness of suitable maintenance programmes and/or systems;

e) that the process of identification and analysis of hazards and risk assessment is described in a specific procedure, which specifies over time the monitoring criteria of these risks and which involves the personnel in charge of the various processes;

f) that hazard identification and analysis and assessment of the relative risks are definitely the input for the continuous improvement process;

g) that there are adequate Occupational Health and Safety objectives and that these objectives are supported by technical and financial planning and programming; that the objectives and indicators are in line with the risk assessment;

h) that at least the first Management review has been undertaken;

i) that the human resources training and information plan has been defined on the basis of the relative analysis of needs and implemented;

j) that a procedure has been defined to analyse the non-conformities, incidents, near misses and accidents;

k) that the organisation has the necessary health and safety authorisations, relevant to its activities, and that they are valid;

l) that the organisation complies with the requirements of the documents in k) above and also with the requirements of the applicable health and safety legislation.

If the contents of the above letters k) and l) are not fully satisfied, reference is to be made to the contents of point 3.6.

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

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

In the event of findings deemed to be particularly important, in the opinion of the auditors who performed the audit, the organisation may be required to totally eliminate them before the stage 2 audit takes place at the organisation's premises.

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 stage 2 audit is carried out at the organisation in order to verify that the Occupational Health and Safety Management System is being correctly implemented.

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

If the activities to be checked are performed on more than one operational site, the audit will be undertaken according to previously established criteria communicated by RINA to the organisation.

The audit is carried out by qualified RINA auditors on the basis of the stage 1 audit report and of the following updated documents prepared by the organisation:

- Occupational Health and Safety Management System manual,
- informative questionnaire filled in by the organisation,
- list of internal procedures,
- managerial procedures and other Management System documents,
- preliminary audit report,
- risk assessment documents.

The stage 2 audit essentially comprises:

- an initial meeting with the technical staff of the organisation to confirm the aims and methods of the audit indicated in the audit plan;
- verification that the corrective actions relative to the findings identified during the stage 1 audit have been effectively implemented;
- an inspection of the organisation's production site(s) to verify conformity of the Management System with the reference documents and its complete implementation. During this inspection, checks will be made on the plants and interviews held with the organisation's personnel involved in the Management System;
- a final meeting to explain the outcome of the visit.

### 3.5

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

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

The content of the report will subsequently be confirmed by RINA in writing.

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

After analysing the causes of any non-conformities and/or observations contained in the above report, the organisation must propose the necessary corrective actions to RINA as well as the expected time required for their implementation by the date shown on the report.

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>.

Acceptance of the proposals and of the time foreseen for implementation will be notified in writing to the organisation by RINA.

### 3.6

The certification process will be suspended if the authorisations or equivalent documents, required by the laws in force, in the health and safety fields, are missing.

If findings are detected during the audits linked to non compliance with mandatory legal requirements in the Occupational Health and Safety field<sup>2</sup>, the certification process will be suspended, except in particular cases, until the organisation demonstrates compliance with 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 supplementary audit may be carried out on site or on a documentary basis, in relation to the type of

corrective action to be checked in the opinion of the audit team.

All expenses related to any supplementary audits required, as a result of shortcomings in the Occupational Health and Safety Management System, are to be paid for by the organisation.

If the above period is exceeded, the organisation's Management System will be completely re-examined within six months of the stage 2 audit completion date.

After the six-month period has elapsed with no positive outcome of the assessment, RINA may consider the certification file closed and will charge the time spent and expenses incurred up to that moment. In such a case, if the organisation wishes to proceed with RINA certification, it will have to submit a new application and repeat the certification procedure.

The above time limits may, in special cases, 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 Technical Committee, a Certificate of Conformity (a facsimile is available on the site [www.rina.org](http://www.rina.org)) is issued for the Occupational Health and Safety Management System under review, valid for three years.

The validity of the certificate is dependent on the outcome of subsequent periodic surveillance audits and on the three-yearly complete review of the Management System.

The frequency and extent of subsequent audits, for certification maintenance, are established by RINA on a case by case basis through a three-year audit programme sent 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 maintain its Management System in compliance with the reference standard.

### 4.2

The organisation is to keep a record of:

- accidents /emergencies on the production site(s) and other events that could have had a negative effect on worker health and safety;

<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

<sup>2</sup> Mandatory legal requirements means:  
 - Limits and/or legal provisions;  
 - Limits and/or prescripts stated on authorisations/licences or in other regulatory documents, etc.

<sup>3</sup> Non-conformities means:  
 • The total non consideration of one or more reference standard requirements,  
 • Non compliance with one or more requirements of these Rules,  
 • a situation such as to cause a serious deficiency in the management system or to reduce its capacity to guarantee control of health and safety aspects as well as legislative compliance.

- any complaints received concerning health and safety risks which have occurred;
- any observations or remarks from national or local authorities responsible for controlling the workplace;

and must make this record available to RINA together with the relative corrective actions taken.

In particular, the organisation is required to inform RINA without delay of any observations or remarks received from national or local authorities responsible for controlling the workplace, referable to point 3.6 for all the activities performed by the organisation, regardless of the field of application of the Occupational Health and Safety Management System and RINA will decide accordingly what action to take.

Moreover, in cases where either the body guaranteeing the certificates issued by RINA (OdC) and/or the pertinent authorities inform RINA of criticalities linked to occupational health and safety management, what is stated in point 4.5 applies.

#### 4.3

RINA carries out periodic audits on the Occupational Health and Safety Management System in order to check whether compliance with the requirements of the reference standard is being maintained.

Periodic audits are of two types:

- surveillance audits, generally performed at least once a year.  
A sample partial assessment is made of the Occupational Health and Safety Management System in accordance with the programme referred to in 3.8, in the hands of the organisation.
- recertification audit (see chapter 5).  
The Management System is to be reassessed in its entirety generally once 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 Occupational Health and Safety 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 the 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 by which the audits must be performed is indicated on the three-yearly audit programme sent to the organisation.

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

In particular, for certificates issued in Italy, 2/3 of the audit are to be performed at the site(s) before recertification activities are undertaken, the frequency varying in relation to the organisation's activities, on the basis of the Sincert document RT-12 (this document is available on the Sincert web site [www.sincert.it](http://www.sincert.it) or by contacting RINA).

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 stage 2 audit.

#### 4.6

RINA also reserves the right to make unannounced audits, compared to the three-yearly programme, of the organisation:

- if it receives complaints or reports, considered to be particularly significant, relative to the non-compliance of the 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 certificate has been suspended.

If the organisation refuses, for no justified reason, RINA may decide to suspend/withdraw the certificate.

If RINA considers the complaints and communications to be justified, the cost of the additional 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 qualified 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 audit will be notified as described in point 3.5 above.

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 are not eliminated within the established times or if the observations are such as to prevent control of the aspects linked to Occupational Health and Safety and applicable legal requirements, RINA may suspend the certificate until these non-conformities/observations have been eliminated and, in any case, as specified in point 10.1.

All costs related to any additional audits due to shortcomings in the Occupational Health and Safety Management System will be charged to the organisation.

### CHAPTER 5 – RECERTIFICATION

#### 5.1

On the occasion of the recertification audit of the Occupational Health and Safety Management System, generally foreseen every three years, the organisation is to contact RINA about three months before the date indicated on the three-year audit programme in its possession, by sending an updated and completed copy of the Informative Questionnaire (available on the web site [www.rina.org](http://www.rina.org)), so that the

activity can be planned and the recertification audit date agreed.

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

The names of the qualified auditors appointed to perform the audit will be notified in advance 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 stage 2 audit.

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 the scope of 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 the recertification audit 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 by the above date (at least one month before the expiry date indicated on the certificate).

If the 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 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 Occupational Health and Safety 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.

The activities performed by the organisation, for which implementation of the Occupational Health

and Safety Management System has been checked, are indicated on the certificate.

#### 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 programme are 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.

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 by the established deadlines, as indicated in chapter 5 above.

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 OF 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, together with the documentation referred to in point 3.2, duly updated. RINA reserves the right to examine these requests on a case-by-case basis and decide the evaluation method for issuing a new certificate, in compliance with the "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION" and with the BS OHSAS 18001 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 conformity of the 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 – REQUIREMENTS FOR MULTI-SITE ORGANISATIONS

### 8.1

Where an organisation has more than one production site, they will all have to adopt and have certified the Occupational Health and Safety Management System also on the basis of a programme defined and delimited in reasonable chronological terms.

If an organisation operates on more than one permanent site and a single certificate is requested, the 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 a 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 of documents and their modifications;
- management review of the Management System;
- complaints from interested third parties;
- assessment of the effectiveness of the corrective actions;
- planning/execution of internal audits and assessment of their results;
- analysis and assessment of site risks;
- existence 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).

### 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 at one site during the audits, the organisation is to evaluate whether they are due to shortcomings common to more than one site and, if so, it must take corrective action both at the head office and at the other production 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 specific extension audits, additional sites may be included on a pre-existent certificate.

## CHAPTER 9 – TRANSFER OF ACCREDITED CERTIFICATES

### 9.1

If an organisation, which has a valid certificate issued by another system certification body, accredited by an accreditation body belonging 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 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.

Moreover, the organisation is to inform RINA of:

- any observations or communications from pertinent 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.

Following the satisfactory completion of the above activities, a Certificate of Conformity of the Occupational Health and Safety Management System in question is issued which generally maintains the deadline established by the body which issued the previous certificate.

In general, surveillance and recertification audits of the System are also performed according to the plan established by the certification body which issued the previous certificate.

## CHAPTER 10 – SUSPENSION, REINSTATEMENT AND REVOCATION OF THE CERTIFICATE

### 10.1

The validity of the Certificate of Conformity may be suspended in accordance with the "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION" and in the following cases:

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

- the organisation has not complied with the time limits established to communicate corrective action following non-conformities indicated in the audit report;
- the organisation has made important structural changes to its production site(s) or moves to another site without informing RINA;
- the organisation has made significant modifications to its Management System which have not been accepted by RINA;
- the organisation has undergone important restructuring without informing RINA;
- the organisation refuses or obstructs participation in the audits of observers from an accreditation body;
- there is evidence which shows that the Management System does not guarantee compliance with the laws and rules applicable to the activities and/or site(s);
- 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.

Suspension will be notified to the organisation by registered letter, stating the conditions for re-establishing certification and the date by which the new conditions are to be complied with.

Suspension of the validity of the certificate is made public by RINA directly on the website [www.rina.org](http://www.rina.org) as indicated in point 6.3.

## 10.2

Certification will be restored once it has been found that the shortcomings responsible for suspension have been eliminated. This will be done through a thorough audit to check the Occupational Health and Safety Management System complies with all the requirements of the reference standard.

RINA will notify the organisation of reinstatement in writing by registered letter and make it public via the website [www.rina.org](http://www.rina.org) as indicated in point 6.3.

## 10.3

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

The Certificate of Conformity may also be revoked in accordance with the "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION" and in the following cases:

- when there are circumstances such as those indicated in 10.1 for suspension, which are held to be particularly serious;
- the organisation stops supplying the product or service, covered by the certified Management System for a period in general lasting more than six months;
- the organisation does not accept the new economic conditions established by RINA due to a modification in the contract;
- in the case of a multi-site organisation, if the head office or one of the sites does not satisfy the criteria necessary to maintain the certificate;
- for any other reason that RINA deems to be serious, as for example the proven inability of the system to achieve its objectives of compliance with legislative, contractual or product safety requirements.

Revocation of the Certificate of Conformity will be notified in writing by registered letter to the organisation and made public by RINA as per point 6.3.

Any organisation, following revocation of its Certificate, which takes effect from the date of despatch of the notification, that wishes to be re-certified, is to submit a new application and follow the entire procedure again.

## CHAPTER 11 – RENUNCIATION OF CERTIFICATION

A certified organisation can send a formal communication in which it renounces RINA certification, before the certificate expires, including the case in which the organisation does not want or cannot conform to the new instructions given 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 - CONTRACTUAL CONDITIONS

As regards the contractual conditions, the provisions contained in the current edition of the RINA "General contract conditions governing System, Product and Personnel certification", apply.



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RINA  
Via Corsica, 12 - 16128 Genova - Italia  
Tel. +39 01053851 - Fax: +39 0105351000  
[www.rina.org](http://www.rina.org)

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Technical Rules