



# **Rules for the certification of Environmental Management Systems**

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Technical rules



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## **CHAPTER 1 GENERAL**

### **1.1**

These Rules define the additional and/or substitutive procedures applied by RINA for the certification of Environmental Management Systems in relation to what is already defined in the

General Rules for the Certification of Management Systems

The points in these Rules refer (and maintain the same numbering) to the corresponding points in the General Rules for the Certification of Management Systems for which changes and/or additions have been made.

### **1.2**

RINA issues certification in accordance with the requirements of the UNI CEI EN ISO/IEC 17021:2011 Standard to organisations whose Management System has been recognised as fully conforming to all the requirements of the

ISO 14001:2004 standard

## **CHAPTER 2 REFERENCE STANDARD / CERTIFICATION REQUIREMENTS**

### **2.1**

As well as what is stated in point 2.1 of the General Rules for the Certification of Management Systems, to obtain RINA certification an Environmental Management System must first and henceforth satisfy the requirements of ISO 14001 and the additional requirements of accreditation bodies (e.g.: ACCREDIA documents "RT-09").

### **2.2**

Instead of what is stated in point 2.2 of the General Rules for the Certification of Management Systems, 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 associated with the organisation's activities and related impacts;

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.

## **CHAPTER 3 INITIAL CERTIFICATION**

### **3.1**

As well as what is defined in point 3.1 of the General Rules for the Certification of Management Systems, the Organisations is to inform RINA of any activities/sites excluded from the scope of application of the Environmental Management System, for the purpose of checking the admissibility of such exclusions

### **3.2**

Instead of what is stated in point 3.2 of the General Rules for the Certification of Management Systems, together with or following the certification request, the Organisation is to make the following documents available to RINA:

- 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;



- copy of the Chamber of Commerce registration certificate or an equivalent document, certifying the existence of the organisation and describing the activity it performs;
- list of current operational yards, describing the activities performed there, if applicable.

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 of the General Rules for the Certification of Management Systems.

### 3.3

As well as what is stated in point 3.3 of the General Rules for the Certification of Management Systems, during the stage 1 audit, the following will be checked:

- a) 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;
- b) that the organisation has all the environmental authorisations required to allow it to carry out its activities and that such authorisations are valid;
- c) that the organisation complies with the fulfilments contained in the documents indicated in b), as well as with those required by applicable environmental legislation.

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

### 3.4

As well as what is stated in point 3.4 of the General Rules for the Certification of Management Systems:

- the audit is performed also on the basis of the Preliminary Environmental Analysis document, in its updated form;
- during the inspection of the site/s, checks on the plants and interviews with the staff of the organisation involved in the Environmental Management System will also be made.



### 3.6

As well as what is stated in point 3.6 of the General Rules for the Certification of Management Systems, non-conformity also means a situation such as to reduce the capacity of the management system to ensure control of environmental aspects/impacts and/or compliance with legislation.

Moreover, 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:

- a) it has presented a complete and correct application for authorisation sufficiently in advance and in any case, in not less than the time the law allows the Competent Authority to grant the authorisation and that it has taken all the right steps for the authorisation procedure;
- b) it can produce objective evidence related to formal reminders sent to the pertinent authorities, after the deadlines established by law which the authorities in question should have complied with;
- c) it observes the limits established by law, if existing.

The deadline as per a) above may be considered suspended until a reply is sent in cases where the Authority requests additional documentation to that already sent.

Where the law does not indicate a specific date, it should be looked for in general rules, administrative procedures or in internal rules which the Competent Authority has adopted to deal with specific processes.

If no deadline is available, a six-month deadline can be considered reasonable and prudent (except in those cases where the law envisages the so-called "silent refusal").

If the audits reveal findings connected with the non-observance of environmental legislative requirements<sup>1</sup>, the certification process, except in special cases, is suspended until the organisation has demonstrated it observes these requirements.

## CHAPTER 4 MAINTENANCE OF CERTIFICATION

### 4.2

As well as what is stated in point 4.2 of the General Rules for the Certification of Management Systems, 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;

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<sup>1</sup> Legal requirements mean:

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



- any observations or reports from national or local authorities responsible for environmental control

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.

## **CHAPTER 7 MANAGEMENT OF CERTIFICATES OF CONFORMITY**

### **7.1**

As well as what is stated in point 7.1 of the General Rules for the Certification of Management Systems, the certificate clearly indicates any activities performed in the site/s subject to certification that are excluded from the scope of the Environmental Management System.

## **CHAPTER 9 SPECIAL PROCEDURES FOR MULTI-SITE ORGANISATIONS**

### **9.1**

As well as what is stated in point 9.1 of the General Rules for the Certification of Management Systems, also the following activities are to be managed by the organisation's head office:

- environmental site analysis;
- modification of associated aspects and impacts for environmental management systems.

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