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1. Purpose and effective date of this document

The purpose of this document is to supplement the RGSG on the Certification of Management Systems (RSSG) of TÜV Italia Srl (hereinafter TÜV Italia) for the certification of asset management systems (hereinafter “AMS”).

2. Field of application

These rules apply to activities for the certification of asset management systems carried out under ACCREDIA certification and also without ACCREDIA certification.

Normative references for AMS are the international standards of the ISO 5500X series.

TÜV Italia applies these rules impartially and in exactly the same way, for all organisations utilising its certification services; in particular, no financial conditions or other undue conditions are ever imposed; access to the certification is not conditional on the size of the organisation or its membership of a particular associational group, nor on the number of previously certified organisations.

It does not prejudice the application of any other regulations on additional certification schemes for which the organisation may be certified by TÜV Italia and/or by other Certification Bodies.

3. Terms and definitions

The terminology used in these regulations corresponds to the following standards:

- ISO 55000: Asset Management – Overview, principles and Terminology
- ISO 55001: Asset Management – Management systems – Requirements
- ISO 55002: Asset Management – Management systems – Guidelines for the application of ISO 55001

Attention is drawn to the following definitions in particular:

organisation

Person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives

(Note 1: The concept of organisation includes, but is not limited to, sole-trader, partnership, corporation, holding, public administration, public authority, charity or benevolent institution, or part or combination thereof, whether incorporated or not, public or private).

In these Rules, the term “organisation” will be used to indicate the company requesting certification of its AMS from TÜV Italia.

objective of the organisation

Overall objective of the organisation, which defines the context and direction of an organisation's activities.

Note 1: organisational objectives are established through the strategic level planning activities of the organisation.

organisational plan

documented information that specifies the programmes to achieve the organisational objectives

boundaries

Physical and/or organisational limitations.

Example: a process; a group of processes; a site; several sites under the control of one organisation or an entire organisation.

(Note 1: The organisation defines the limits of its AMS)

(Note 2: The organisation shall have authority to control energy efficiency, use and consumption within its scope and boundaries)

interested party

Person or organisation that can affect, be affected by, or perceive themselves to be affected by a decision or activity.

asset

item, thing or entity that has potential or actual value to an *organisation*

Note 1: value can be tangible or intangible, financial or non-financial, and includes consideration of risks and liabilities. It can be positive or negative at different stages of the asset life.

Note 2: physical assets usually concern all the facilities and properties owned by the organisation. Physical assets are the opposite of intangible assets, which are non-physical assets such as leases, brands, digital assets, use rights, licences, intellectual property rights, reputation or agreements.

Note 3: a grouping of assets referred to as an asset system could also be considered as an asset.

asset life

period from asset creation to asset end-of-life



life cycle

stages involved in the management of an asset

Note 1: the naming and number of the stages and the activities under each stage usually vary in different industry sectors and are determined by the *organisation*.

asset portfolio

assets that are within the scope of the *asset management system*

Note 1: a portfolio is typically established and assigned for managerial control purposes. Portfolios for physical hardware might be defined by category (e.g.: plant, equipment, tools, land). Software portfolios might be defined by platform (e.g.: PC, server, etc.) or by developer.

Note 2: an asset management system can encompass multiple asset portfolios. Where multiple asset portfolios and *asset management* systems are employed, asset management activities should be coordinated between the portfolios and systems.

asset system

set of assets that interact or are interrelated

asset type

grouping of assets having common characteristics that distinguish those assets as a group or class.

EXAMPLE: physical assets, information assets, intangible assets, critical assets, enabling assets, linear assets, information and communications technology (ICT) assets, infrastructure assets, moveable assets.

critical assets

asset having potential to significantly impact on the achievement of the *organisation's objectives*.

Note 1: assets can be safety-critical, environment-critical or performance-critical and can relate to legal, regulatory or statutory requirements.

Note 2: critical assets can refer to those assets necessary to provide services to critical clients.

Note 3: *asset systems* can be distinguished as being critical in a similar manner to individual assets.

asset management

coordinated activity of an *organisation* to realize value from assets.

Note 1: realization of value will normally involve a balancing of costs, risks, opportunities and performance benefits.

Note 2: activity can also refer to the application of the elements of the asset management system.

Note 3: the term "activity" has a broad meaning and can include, for example, the approach, the planning, the plans and their implementation

strategic asset management plan

SAMP

documented information that specifies how *organisational objectives* are to be converted into asset management objectives, the approach for developing asset management plans, and the role of the asset management system in supporting achievement of the *asset management objectives*.

Note 1: a strategic asset management plan is derived from the *organisational plan*

Note 2: a strategic asset management plan may be contained in, or may be a subsidiary plan of, the *organisational plan*.

asset management plan

documented information that specifies the activities, resources and timescales required for an individual asset, or a grouping of assets, to achieve the *organisation's asset management objectives*

Note 1: the grouping of assets may be by asset type, asset class, asset system or asset portfolio.

Note 2: an asset management plan is derived from the strategic asset management plan.

Note 3: an asset management plan may be contained in, or may be a subsidiary plan of, the *strategic asset management plan*

asset management system

management system for *asset management* whose function is to establish the asset management policy and asset management *objectives*

Note 1: the asset management system is a subset of asset management.

For the definition of:

- Critical nonconformity Major NC (**MaNC**)
- Minor nonconformity/Minor NC (**MiNC**)
- Comment (**Com**)

see the RGSG.



4. Responsibilities

These rules set out in detail the responsibilities that the organisation and TÜV Italia are required to fulfil during the course of the contract pertaining to the certification activities.

The client organisations of TÜV Italia may create a link to the homepage of the TÜV Italia website which is www.tuvsud.com/it.

5. Control of the rules

These rules are available to interested parties at www.tuvsud.com/it

Organisations may request a copy in printed format.

The contents of section 5 of the RGSG will also apply.

6. Certification procedure

6.1 General information

The Rules define the specific and/or substitute procedures defined by TÜV Italia, to certify AMS in accordance with the contents of section 6.1 of the RGSG.

6.1.1 Certification of Asset Management Systems in accordance with ISO 55001:2014

TÜV Italia issues certifications in accordance with the requirements of ISO/IEC 17021-1:2015, to Organisations whose Management System has been recognised as conforming to all the requirements of ISO 55001:2014.

In addition to provisions in the RGSG, in order to be certified by TÜV Italia, an Asset Management System must initially and over time meet the requirements of ISO 55001.

6.1.2 Initial certification

To obtain certification of its AMS, the Organisation shall have complied with all the requirements of the reference standard.

The following are the key elements, around which the standard specifies the relevant requirements:

- HLS;
- Management System policy;
- the analysis of risks and opportunities, considering the internal and external aspects that may have an impact on the value of the assets, according to the economic, performance and risk management dimensions;
- the assessment of significance;
- a strategic asset management plan;
- objectives according to a holistic approach taking into account technical, financial and human requirements as well as economic, performance and risk management aspects (consistent with the policy and analysis of risks and opportunities);
- an operational plan to achieve the objectives;
- management commitment and leadership: definition of responsibilities, resources, policies, organisational roles,
- communication flows, alignment of all processes, resources and functional contributions to the outcomes foreseen by the Asset Management System;
- resources, competencies, communication.

A central point within the standard covers the 'significance' analysis carried out by the Organisation to identify its strategic assets.

this aspect will be verified in the initial audit in stage 1.

The following will also be verified during audit activities:

- the definition of the SAMP (strategic asset management plan), which sets out the relationship between the

organisational objectives and the AMS objectives;

- the identification of strategic risks and opportunities related to the management/non-management of the

assets;

- the proper allocation of resources and internal responsibilities;
- the verification of any existing interrelationships with subjects and/or bodies outside the organisation, throughout the "life cycle" of the assets identified;



- the definition of internal policies and practices to ensure effective asset management (including in terms of synergies between different business functions);
- more generally, the consideration of all those factors (internal and external) and variables that may condition or influence the performance of assets throughout their life cycle

6.2 Audit procedure and audit programme

The audit procedure is described in section 6.2 of the RGSG.

6.3 Start of the certification procedure

The contents of section 6.3 of the RGSG will apply.

6.4 Pre-audit

The contents of section 6.4 of the RGSG will apply.

6.5 Stage 1 audit (Initial review of documentation + initial audit)

The contents of section 6.5 of the RGSG will apply, with the clarification that the stage 1 audit is always conducted on the premises of the organisation.

When the audit activities start, the organisation must provide the audit team with the following:

- a copy of context analysis and SAMP (strategic asset management plan) documentation
- a copy of the internal audit plans, highlighting the progress and a summary of the results, showing any Nonconformities identified and the progress of any Corrective Actions
- the list of Complaints received from interested parties, showing how they have been managed.
- a summary of the company's data on energy performance indicators
- a copy of current improvement plans
- a copy of the last Management Review.
- a copy of the document of registration with the Chamber of Commerce and/or a copy of the valid By-laws, for associations, cooperatives, etc.

Audit activities are described below:

a) Initial review of AMS documentation

AMS documentation is usually verified at the organisation's offices.

In general, AMS documentation refers to the following:

- the manual (if any) with documented information (or equivalent documents);
- the strategic asset management plan
- the list of applicable legal requirements together with documents confirming conformity to those requirements.

The purpose of documentation review is to check whether it is complete and meets all the requirements of the reference standard for the AMS; the documentation must also be clear enough as to leave no doubt about its interpretation, and all its parts must be congruent.

b) Initial audit

The initial audit is compulsory and consists of an on-site visit at the site (or sites) of the organisation) and the purposes are indicated below.

At the time of the audit, the AMS shall be adopted. In particular, the organisation shall:

- have identified the assets included in its asset management system, based on their relative significance
- defined the policy for asset management (as far as possible quantified and measurable)
- have defined and documented a strategic asset management plan (SAMP)
- have defined asset management objectives
- have defined and at least started to implement asset management plans
- have carried out at least one management review and the full cycle of internal audits, in accordance with the UNI EN ISO 19011 guideline;
- meet the requirements of section 12 of these Rules.

The initial audit enables TÜV Italia to better understand:

- the purpose and boundaries of certification;
- the complexity of asset management activities and related management system;
- the size and nature of the organisation's activities;
- the applicable legal requirements;



- the extent to which the organisation is able to undergo the certification audit;
- the type of experience necessary for the audit team who will be carrying out the certification audit;
- the number of people who will be needed for the certification audit.

The audit team will also check that the organisation has all the necessary authorisations for all activities directly or indirectly linked to the certification and will check that these authorisations are valid, complete and correct.

The results of the stage 1 audit are contained in an assessment report issued after the audit, according to the procedures described in section 6.5 of the RGSG.

6.6 Stage 2 audit (Certification audit)

The contents of section 6.6 of the RGSG will apply.

To further clarify the RGSG, please note that in this stage, the following conditions need to be met:

- the AMS shall have been adopted for at least three months;
- a full cycle of internal audits shall have been completed;
- a management review must have been carried out;
- the asset portfolio included in the management system must have been identified and assessed;
- the asset management objectives must have been defined;
- procedures and practices have been defined, implemented and maintained to help prevent situations that could lead to deviations in terms of alignment between the organisation's objectives, the asset management policy, the strategic asset management plan, the asset management objectives and the asset management plans;
- requirements for the monitoring, measurement and identification of the objectives of its own asset management plans have been described and documented;
- controlled management of outsourced activities that may have an impact on the achievement of asset management objectives, including assessment of associated risks, has been implemented;
- requirements for monitoring, measurement, analysis and evaluation have been identified and documented in order to evaluate asset performance, the performance achieved in asset management (including financial and non-financial aspects) and the effectiveness of the asset management system.
- processes are in place aimed at proactively identifying any deficiencies in asset performance with an evaluation of the need for any preventive actions and subsequent adoption.

6.7 First issue of certification and renewals

The provisions of § 6.7 of the RGSG and § 6.1 of this document apply.

Issue of the certification automatically allows the organisation to use the certificate issued by TÜV Italia, in accordance with the conditions in section 8 of these Rules, together with the contents of section 8 of the RGSG.

6.8 Surveillance audit

The contents of section 6.8 of the RGSG will apply.

The Organisation shall keep TÜV Italia informed of any observations/reports received from national or local authorities or situations of legal nonconformities, for all activities carried out by the Organisation regardless of the scope of the asset management system and the boundaries established by the Organisation.

6.9 Renewal audit

The contents of section 6.9 of the RGSG will apply.

6.10 Unscheduled audits

The contents of section 6:10 of the RGSG will apply.

7. Register of certified organisations

The contents of section 7 of the RGSG will apply.

8. Referencing the certification. Use of the certificate

The contents of section 8 of the RGSG will apply.



9. Suspension of certification

The contents of section 9 of the RGSG will apply.

10. Withdrawal/cancellation of the certification

The contents of section 10 of the RGSG will apply.

11. Management of claims and reports by client organisations and by interested parties

The contents of section 11 of the RGSG will apply.

12. Checking of management system documentation, and of TÜV Italia srl audit reports

The certified organisation shall allocate a controlled copy of its energy management system documentation to TÜV Italia.

The contents of section 12 of the RGSG will apply.

13. Changes to the management system

The contents of section 13 of the RGSG will apply.

14. Changes to the certification system rules

The contents of section 14 of the RGSG will apply.

15. Special requirements for organisations already certified by another body

An organisation with a management system, specifically an asset management system, which is already certified according to a specific standard by another certification body accredited for the organisation's industry, may also request certification from TÜV Italia.

The contents of section 15 of the RGSG will apply.

In situation a) and situation b) referred to in the RGSG, TÜV Italia's certification audit has the object of auditing all the requirements of ISO 55001:2014 according to the methods described in section 6.6 of these Rules.

16. Confidentiality

The contents of section 16 of the RGSG will apply.

17. Complaints (or Appeals)

The contents of section 17 of the RGSG will apply.

18. Complaints against TÜV Italia

The contents of section 18 of the RGSG will apply.

19. Disputes

In the event of any dispute with TÜV Italia srl, the Court of Milan has jurisdiction.

20. Financial conditions

The contents of section 20 of the RGSG will apply.