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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 environmental management systems.

2. Field of application

These rules apply to the certification of environmental management systems carried out with ACCREDIA accreditation.

The standards and regulations applicable to environmental management systems are ISO 14001:2015, as well as corresponding national standards and laws.

The applicable regulations as a reference for the EMAS scheme are Regulation (EC) No 1221/2009, as amended by Regulation (EU) No 2017/1505 and Regulation (EU) No 2018/2026.

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.

Depending on the certification type, and the commodity sector, reference will also be made to the following documents issued by ACCREDIA and available at www.accredia.it:

LS-02 (latest version): "list of standards and reference documents for the accreditation of certification bodies"

RT-09 (latest version): "Additional requirements for the accreditation of organisations certifying environmental management systems (EMS)"

UNI/TR 11331 (latest version): "Indications concerning the application of UNI EN ISO 14001 in Italy, formulated starting from the criticalities emerged and practical experiences"

3. Terms and definitions

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

- UNI ISO 14050:2020: "Environmental management - Vocabulary";
- UNI CEI EN 45020:2007: "Standardization and related activities - General vocabulary".
- UNI CEI EN ISO/IEC 17000:2020 "Conformity assessment - Vocabulary and general principles"

Attention is drawn to the following definitions in particular:

Organisation

Group, company, business, enterprise, entity or institution, or their parts or combinations, whether or not associated, public or private, which have their own functional and administrative structure (Note: within organisations formed of multiple operational units, an individual unit can be termed an organisation).

In these Rules, the term "organisation" will be used to indicate the company requesting certification of its environmental management system from TÜV Italia.

Site

The area on which the activities under the control of an organisation, are performed; It includes: any connected or associated warehouse used to store raw materials, unfinished products, sub-products and waste, and any fixed or mobile equipment or infrastructure involved in these activities.

The boundaries of the site are to be defined in accordance with the provisions of law, national or local regulations.

For the definition of:

- Critical nonconformity (NC)/major NC
- Observation (OBS)/minor NC
- 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 <https://www.tuvsud.com/it>



5. Control of the rules

These rules are available to interested parties at <https://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 environmental management systems in accordance with the contents of section 6.1 of the RGSG.

6.2 Certification of Environmental Management Systems in accordance with ISO 14001:2015

TÜV Italia issues certifications in accordance with the requirements of the ISO/IEC 17021-1:2015 standard, to Organisations whose management system has been recognised as conforming to all the requirements of ISO 14001:2015.

In addition to the contents of the RGSG, in order to obtain certification by TÜV Italia, an Environmental Management System must meet the requirements of the current version of ISO 14001 both initially and over time, and the additional requirements set by ACCREDIA in Technical Regulation RT 09.

6.3 Initial certification

In addition to the requirements of the RGSG, when making the application for certification, or afterwards, the Organisation will have to provide TÜV Italia with the completed "**TÜV ITALIA - INFORMATIVE QUESTIONNAIRE FOR OFFERS OF MANAGEMENT SYSTEMS CERTIFICATION**" together with any supporting documentation.

The list of the Organisation's environmental organisations and the environmental requirements applicable to it may be provided by completing the "PTA Ambiente" form, or providing equivalent documentation.

TÜV Italia will evaluate these documents to check compliance with the applicable laws and standards, and with the requirements of these Rules.

During the certification procedure, the following considerations and special requirements pertaining to the following aspects, must be taken into account:

Scope of the environmental management system, and of the related certification

When defining the scope of the environmental management system, it must be remembered that:

- The Management of the organisation responsible for managing the EMS must have responsibility for all environmental aspects, and the associated impacts, pertaining to the EMS.
- The Management of the organisation responsible for managing the EMS shall have the authority to define the environmental policy, the methods used to implement it, the objectives, goals and plans in place to achieve them.
- The Management of the organisation responsible for managing the EMS shall have the authority to allocate appropriate human and financial resources to control and improve the EMS.
- The limitations of the organisation's responsibility (in terms of its input and output) must be clearly defined.
- Any interfaces with activities or services that are not fully covered by the EMS (for example an effluent treatment system managed jointly with other organisations) must be clearly defined and dealt with, within the EMS.
- The organisation must consider the limits, conditions, and restrictions of the authorisations or permits issued by the supervisory authorities.
- The activities performed within the EMS must be clearly defined.
- The definition of site given in section 3 above, and the concept of "operational unit" as indicated in the document UNI/TR 11331 (latest version) must be kept in mind.
- Temporary sites such as building sites are covered by the EMS of the organisation that controls such sites, wherever they may be located; they may be randomly assessed during the certification procedure. In the case of services for example, it may not be possible to define a specific location; in such a case, the scope of the EMS must take into account both the headquarters of the organisation and the service delivery points. In special cases, where applicable, TÜV Italia may decide that the assessments will take place where the organisation delivers the service; in such situations, the interfaces with Headquarters will also be checked.

Organisations with multiple sites (multi-site certification)

The organisation may manage activities that are performed in different geographical areas or on multiple sites, while being under the control of a single EMS.

In such a situation, TÜV Italia may issue a single certificate, but may decide whether to audit each site or whether to audit only a sample of them, according to the method described in its internal procedure, formulated on the basis of the requirements in the EA and IAF guidelines,



and the contents of the ACCREDIA Regulation for EMS, RT-09 "Additional requirements for the accreditation of organisations certifying environmental management systems (EMS)".

Conformity to legal requirements (laws, decrees, regulations, etc.)

Regarding compliance with legal requirements, the general principle is that the maintenance and assessment of this area falls under the responsibility of the organisation that manages the EMS; TÜV Italia merely carries out random checks to obtain assurance that the EMS is effective from this point of view and that – in the event of failure to conform to the requirements – the Organisation will take appropriate corrective actions.

This general principle takes the form of the following detailed requirements:

- At the start of the stage 1 audit, the organisation shall provide evidence of its compliance with legal requirements, including obtaining, or applying for (before the start of the stage 1 audit), the necessary approvals from the authorities.
- However, (during the stage 1 and 2 audits, surveillance and renewal audits), TÜV Italia may detect one or more instances of the organisation's failure to comply with the legal requirements; the audit team will then issue one or more non-conformities; the deficiencies or non-conformities will only be considered to be successfully resolved if, at the next audit, the organisation can demonstrate that:
 - it has completed a new, assessment of its EMS, with a particular focus on compliance with the applicable legal requirements
 - it has already taken appropriate corrective actions in respect of the specific findings of the TÜV Italia audit team, or based on the findings of the organisation itself during the global reassessment;
 - it has already obtained, or at least requested the corresponding approvals from the authorities.
- Regardless of the findings of the TÜV Italia audit team, the organisation itself may detect breaches of the legal requirements, after it has submitted the evidence referred to above; in such situations the organisation must itself put in place appropriate corrective actions, and in particular it must demonstrate that it has obtained or requested the necessary approvals from the authorities; the TÜV Italia audit team will check all of this during the next audit and if necessary will issue critical non-conformities which will be dealt with as described in the second paragraph.

Significant environmental aspects

It is the responsibility of the organisation that manages the EMS to define a procedure identifying the criteria according to which the environmental aspects and related impacts are judged to be significant.

However, TÜV Italia assesses not only that the requirements have been respected and implemented, but also that they are consistent with the policy, objectives and goals of the organisation, and that they are effective.

Continual improvement

It is the responsibility of the organisation that manages the EMS to define the methods and tools through which the commitment to continual improvement, as contained in the health and safety policy, is implemented, and how the improvements are actually measured.

However, TÜV Italia assesses not only that the requirements have been respected and implemented, but also that they are consistent with the policy, objectives and goals of the organisation, and that they are effective.

6.4 Audit procedure

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

6.5 Start of the certification procedure

The certification procedure will be started when TÜV Italia issues the order confirmation.

The contents of section 6.3 of the RGSG will apply.

6.6 Pre-audit

The contents of section 6.4 of the RGSG will apply.

6.7 Stage 1 audit - (Initial review of documentation + initial audit)

The contents of section 6.5 of the RGSG will apply. The stage 1 audit is always conducted at the Organisation's headquarters.

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

- Copy of mandatory documentation (documented information and environmental statement, if applicable)
- A copy of the internal audit plans highlighting the progress and a summary of the results, showing any Non-conformities and the progress of any Corrective Actions
- List of Complaints received from Interested Parties, showing how they have been managed.
- Summary of the company's data on process performance indicators
- Copy of the current improvement plans
- Copy of the last Management Review.



- 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:

Initial review of EMS documentation

EMS documentation is usually verified at the Organisation's offices.

In general, EMS documentation refers to the following:

- the manual and procedures (or equivalent documents); the environmental declaration.
- a list of the applicable legal requirements together with documents confirming conformity to those requirements (see section 8.2 above).

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

Initial audit

The initial audit will always take place. It consists of an on-site visit (at the site or sites of the organisation) and the purposes of it are indicated below.

At the time of the audit, the EMS must be in application. In particular, the organisation must have:

- have defined environmental policy objectives (quantified and measurable, where possible), and must at least have started to implement plans to fulfil these objectives;
- 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 size and nature of the organisation's activities;
- the type of the Organisation's significant environmental aspects;
- 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.

During the initial audit, the audit team will check that ISO 14001 has been complied with, at least for the following basic requirements:

- Environmental policy (requirement 5.2)
- Environmental aspects from a Life Cycle Perspective (requirement 6.1.2)
- Legal and other requirements (requirement 6.1.3)
- Objectives, goals and plans (requirement 6.2)
- Resources, roles, responsibilities and authorities (requirement 5.3)
- Communication (requirement 7.4)
- Documentation (requirement 7.5)
- Assessment of compliance with requirements (requirement 9.1.2)
- Nonconformities, corrective and preventive actions (requirement 10.2)
- Internal audit (requirement 9.2)
- Management review (requirement 9.3)

As regards the auditing of requirement 6.1.2, the audit team will verify the reliability of the organisation's own assessment of environmental aspects, and will thus assess the method used to determine the materiality of these aspects.

As regards requirement 6.1.3, the audit team will identify applicable environmental laws, based on the organisation's environmental aspects, and will verify compliance with those laws.

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

The achievement and maintenance of legal compliance has to be declared as an essential point in the organisation's Environmental Policy, prior to defining the management system.



For each of these requirements, the EMS must have been implemented, and the corresponding records must be available.

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.

In addition to the contents of section 6.5, please note that non-compliance or partial compliance with the applicable environmental laws is considered to be a deficiency. If such a situation persists at the time of the stage 2 audit, this will prevent the immediate issue of the certification and will require a post-audit.

6.8 Stage 2 audit - (for the initial inspection of the management system or 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 EMS must have been in application for at least three months;
- a full cycle of internal audits shall have been completed;
- a management review shall have been carried out.

6.9 First issue of certification and renewals

The contents of section 6.7 of the RGSG will apply.

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

6.10 Surveillance audit

The contents of section 6.8 of the RGSG will apply.

6.11 Renewal audit

The contents of section 6.9 of the RGSG will apply.

6.12 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 and mark

The contents of section 8 of the RGSG will apply.

For management systems that are only certified in accordance with the Standard, the following mark will apply, subject to updates:



Note: for further certifications of the management system obtained through TÜV Italia srl, a specific mark will be sent, if available. This will also refer to the other schemes for which certification was obtained.

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 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

TÜV Italia may make changes to the certification system as described in these Rules and/or in the RGSG (see section 14). If it does, TÜV Italia will allow the already-certified organisations to make observations on the proposed changes.

Once the changes have been decided, TÜV Italia will specify the date on which they will come into force, and will give details of the corrective actions required from the organisations, allowing them a reasonable period of time to fulfil the requirements.

If an organisation cannot or does not want to adapt to the new rules, TÜV Italia will withdraw or cancel the certification (see section 10).

15. Special requirements for EMAS

15.1 Small organisations

A small organisation, as defined in Regulation (EC) 1221/2009, for which the following aspects are verified during audit activities:

- there are no significant environmental risks
- no substantial changes are planned (as defined in Article 8 of Regulation (EC) 1221/2009)
- the organisation does not contribute to locally significant environmental problems

the organisation may request a derogation of the timeframe for verification and validation of the Environmental Statement in accordance with Article 7 of Regulation (CE) 1221/2009.

If the application by the Committee for the Ecolabel and Ecoaudit - EMAS Italy section is approved, TÜV Italia, as accredited Environmental Verifier, will agree on a timeframe for the duration of the Verification and Validation Statement of 4 years, instead of 3, and a monitoring frequency of every two years instead of every year.

15.2 Organisations already certified or verified by another body under EMAS

An organisation with a management system, specifically an environmental 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 14001 /EMAS Regulation according to the methods described in section 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.