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	Department	Date	Name	Signature
Prepared by:	CTCS	2022-04-29	Maurizio Chiappini	<i>Document unsigned, as approved by the TÜV Italia srl digital management system</i>
Checked by:	T&QM	2022-04-29	Stefano Parini	
Approved by:	MDBA	2022-04-29	Francesco Scarlata	



1. Purpose

The purpose of this document is to supplement the RGSG on the Certification of Management Systems (RSSG) of TÜV Italia srl (hereinafter TÜV Italia) with the specific requirements necessary for the certification of occupational health and safety management systems.

2. Field of application

These rules apply to activities for the certification of supply chain security management systems carried out under ACCREDIA certification and also without ACCREDIA certification; TÜV Italia operates in all 39 of the EA classification sectors.

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.

The applicable standards as a reference for supply chain security management systems are:

- ISO 28000: 2007 Specification for security management systems for the supply chain
- ISO 28003:2007 Security management systems for the supply chain - Requirements for bodies providing audit and certification of supply chain security management systems
- ISO 28004:2007 Security management systems for the supply chain - Guidelines for the implementation of ISO 28000

3. Terms and definitions

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

- UNI EN ISO 9000:2015: "Quality management systems - Fundamentals and vocabulary";
- -ISO/IEC 17000:2004 "Conformity assessment- Vocabulary and general principles
- ISO 28000: 2007 Specification for security management systems for the supply chain
- ISO 28003:2007 Security management systems for the supply chain - Requirements for bodies providing audit and certification of supply chain security management systems
- ISO 28004:2007 Security management systems for the supply chain - Guidelines for the implementation of ISO 28000

For the definition of:

- Deficiency (CA)
- Nonconformity (NC) or otherwise named Major Nonconformity (MaNC)
- Observation (OBS) or otherwise named Minor Nonconformity (MiNC)
- Comment (COM)

see the RGSG.

4. Responsibilities

These rules set out in detail the responsibilities of the organisation and TÜV Italia during the contract pertaining to certification activities in accordance with ISO 28000:2007.

The client organisations of TÜV Italia may create a link to the homepage of the TÜV Italia website <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.

If the rules are revised, any organisation that has an existing certification contract will be informed of the new version.

Any changes made to the subsequent versions of the rules (following revisions) will be highlighted as follows:

- the revised and/or additional text will be written in italics
- any cancelled text that has not been substituted will be indicated with {text cancelled}

In the case of new additions, as the changes are significant, the changes will not be highlighted, but the full contents of the document must be relied on

6. Certification procedure

6.1. General information

The procedure for certifying management systems, as adopted by TÜV Italia, is described in the RGSG.

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

Organisations with multiple sites (multi-site certification)/Group

A multi-site organisation is defined as an organisation that provides supply chain security services for more than one site. Such an organisation need not be a single legal entity, but all sites shall have a legal or contractual link with the central office of the organisation and be subject to a common supply chain security management system. This means the central office has the authority to implement corrective actions when necessary, at any site. This should be stated in the contract between the central office and the sites.

Examples of possible multi-site organisations are:

1. organisations operating with franchises;
2. service companies with a distribution network/warehouse, terminals, other sites and logistics that have similar processes and operate with the same procedures;
3. companies with several branches and/or operating sites that provide the same service.

All operational sites shall be audited; a reduction in audit times is possible if the supply chain services related to all sites and all activities are substantially the same and are performed entirely according to the same methods and procedures. However, for all sites, specific threats shall have been identified and assessed for risk by the organisation and controlled by the certification body during an on-site audit

A similar reduction in audit times is possible if the organisation's supply chain security management system is centrally administered and operated according to a controlled process for conducting security assessments and developing security plans. A central system shall also be adopted to collect and review data from sites, regarding:

- local system documentation and system changes;
- management review;
- improvement objectives, targets and management programmes;
- assessment of complaints, incidents, corrective actions.

All sites shall be audited according to the organisation's internal audit programme and the results of the audits of each site shall be assessed before the certification body starts its own evaluation.

Sampling of sites is only envisaged if there are operational sites where the activities performed are mainly administrative and do not have a significant impact on the supply chain security management system

Definition of the scope of certification

The Organisation shall define its certification perimeter in relation to the scope and sites as it sees fit; it is up to the CB to assess whether or not any limitations are consistent with the supply chain security management system.



Compliance with mandatory requirements of legislative provisions (laws, decrees, regulations, etc.) or other requirements which the Organisation decides to comply with

The Organisation shall establish, implement and maintain a procedure:

(a) to identify and access applicable legal and other requirements to which the organisation is subject in relation to security threats and risks, and

(b) to determine how these requirements apply to its threats and security risks. The organisation shall keep this information up to date. It shall communicate relevant information on legal and other requirements to its employees and other interested third parties, including contractors.

The Organisation shall provide a full list of the applicable requirements at the time of each audit.

Management of risks

It is the responsibility of the organisation that manages the supply chain security management system to define procedures for risk management (identification of risks + assessment of risks + identification of appropriate health and safety measures to mitigate risks and/or keep them under control).

TÜV Italia will assess not only that the relevant requirements have been respected and implemented, but also that they are effective.

Continual improvement

It is the responsibility of the organisation managing the supply chain security management system to define the methods and means by which the commitment to continual improvement contained in the supply chain security management policy will be achieved and how improvement will be measured.

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.

6.2. Audit procedure

The audit procedure as described in the RGSG.

6.2.1. Parties involved in the audit

The organisation shall guarantee the availability of senior management and key roles in the management system at all relevant stages of the audit in accordance with the audit plan, which TÜV Italia will provide, ahead of the audit.

6.3. Start of the certification procedure

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

The contents of the RGSG will apply

6.4. Pre-audit

The contents of the RGSG will apply.

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

The contents of the RGSG will apply.

The following has also been added

The stage 1 audit shall have a specific audit plan and includes:

- verification of supply chain security management system documentation;
- the initial on-site audit of sites within the certification perimeter.

In exceptional cases, step 1 could be carried out without an on-site visit. The decision not to visit the site(s) shall be justified and documented and the client informed that it may create a risk for the stage 2 audit. This justification should be based on the size, location, risk of the organisation etc..

In general these two activities will be done at the same time, at the actual site (or sites) of the organisation. The outcomes will be contained in a single report.



Only in special cases may TÜV Italia and the client agree, in the contract, for these two activities to be done separately; in any case the activities will usually be done within a period of 4 weeks, and will conclude with a single report; in these particular cases, the documents can also be examined at the offices of TÜV Italia instead of on the organisation's premises.

The stage 1 audit shall be conducted to:

- (a) assess the organisation's location and site-specific conditions and enter into discussions with staff of the client organisation to determine preparation for the stage 2 audit;
- (b) assess the status of the client's organisation and understanding of the requirements of the standard, in particular as regards the identification of key performance or significant aspects, processes, objectives and operation of the supply chain security management system;
- (c) collect and review necessary information regarding the purpose of the supply chain security management system, information on the risk assessment carried out, the client organisation's processes, and legal, regulatory and compliance aspects
- (d) re-evaluate the allocation of resources for stage 2 and agree on the details of the stage 2 audit with the client organisation;
- (e) provide a focus for stage 2 audit planning
- (f) assess whether the internal audits and management review have been planned and carried out, the level of implementation reached by the client organisation's supply chain security management system, and whether the organisation is ready for the stage 2 audit.

The results of the Stage 1 audit shall be documented and communicated to the client organisation, including the identification of any areas and findings that could be classified as nonconformities during the Stage 2 audit.

When determining the interval between stage 1 and stage 2, the client's needs to address the findings identified during the stage 1 audit should be taken into account. It may also be necessary for the certification body to review its stage 2 arrangements.

The maximum time between stage 1 and stage 2 is set at 6 months; any exceptions shall be justified and documented.

If the implementation of the Supply Chain Security Management System is found to be deficient, the client shall be informed in this report.

If the documentation examination highlights any Deficiencies, the organisation must correct them before the on-site audit is conducted; however, the stage 2 audit may be carried out, and will include an examination of corrections of the Deficiencies; if any Deficiencies in the documentation still exist when the stage 2 audit is conducted, the certificate cannot be issued and a post-audit will be necessary.

If the documentation examination highlights any Deficiencies that, in the opinion of the lead auditor, require another documentation examination, that opinion will be formalised in the Stage 1 report; obviously in this situation, another documentation examination will have to be carried out, after the organisation has remedied the reported Deficiencies

In the light of findings from the stage 1 audit, when TÜV Italia has had an opportunity to learn about the organisation's situation, TÜV Italia may consider whether it needs to change its quote.

6.6. Stage 2 audit

The contents of the RGSG will apply.

In addition, please note that:

The certification audit is always conducted on-site (on the site or sites of the organisation) within 6 months from the start of the stage 1 audit.

This audit will be conducted on the basis of an audit plan, which is designed to take into account the results of activities already carried out (stage 1 audit), and special importance is given to the aspects of the supply chain security management system found to be most significant; in general, the plan will include all the requirements of the applicable standard, but it may also not include any requirements that were found to be fully satisfactory during the course of the stage 1 audit.

The organisation will be informed of the plan in advance.

The purpose of the certification audit is to check that the supply chain security management system is implemented in accordance with the relevant documentation (manual, procedures, instructions, legal requirements, any other applicable requirements, programmes, etc.), in an efficient manner, and that it meets the requirements of the reference standard.



The stage 2 audit shall include a review of the organisation's supply chain security management system covering at least the following:

- (a) information and evidence of conformity to all requirements of the applicable normative document;
- (b) monitoring, measuring, reporting and re-evaluating performance against objectives and targets;
- (c) the organisation's supply chain security management system and performance with regard to regulatory compliance;
- (d) operational control;
- (e) internal audit and management review;
- (f) management responsibility for the policies of the client organisation;
- (g) links between regulatory requirements, policy, objectives and performance targets, any applicable legal requirements, responsibilities, staff competence, operations, procedures, performance data, and internal audit results.

6.7. First issue of certification and renewals

The contents of the RGSG will apply.

During the audit that provide for the issue of the certificate (certification, renewal, extension) must be acquired and attached to the practice the SOA declaration (Statement of Applicability - ISO 28000). In the SOA declaration must be clearly explicitly explicit. the certification perimeter including the processes and activities affected by the SGSSC

6.8. Surveillance audit

The contents of the RGSG will apply.

The date of the first surveillance audit, following initial certification, shall be scheduled from the end of stage 2 of the initial audit (e.g. from the date of the closure meeting). Surveillance audits shall be conducted at least once a year.

Overall, surveillance audits in the three-year period cover the entire supply chain security management system at least once.

Surveillance audits are on-site audits, but they are not full system audits and shall be planned in conjunction with other surveillance activities so that the certification body can maintain confidence that the certified supply chain security management system continues to meet requirements between recertification audits. The annual surveillance audit programme shall include at least the following:

- (a) internal audits, security assessment and planning, and management review;
- (b) a review of actions taken on nonconformities identified during the previous audit;
- (c) the handling of complaints;
- (d) the effectiveness of the supply chain security management system in relation to the achievement of the certification of the client's objectives;
- (e) progress of planned activities aimed at continual improvement;
- (f) continual operational control;
- (g) review of any amendments; and
- (h) use of marks and/or any other reference to certification.

6.9. Renewal audit

The contents of the RGSG will apply.

6.10. Unscheduled audits (Special audits)

The contents of the RGSG will apply.

7. Register of certified organisations

The contents of the RGSG will apply.

8. Referencing the certification - Use of the certificate and mark

The contents of the RGSG will apply.



9. Suspension of certification

In general, the contents of the RGSG and specifically the rules on suspension of certification, may apply in one of the following cases:

- (a) the client's certified supply chain security management system has persistently or seriously failed to meet the certification requirements, including the requirements for the effectiveness of the supply chain security management system;
- (b) the certified client does not allow surveillance or recertification audits to be conducted at the established frequencies;
- (c) the certified client has voluntarily requested a suspension.
- d) the organisation is not up to date with the payments for work already done.

If the certification is suspended, TÜV Italia will officially notify the organisation, giving details of the conditions that the organisation has to meet – within a specified period of time – in order for the certificate to regain validity, and to avoid it being definitively cancelled.

Should the organisation, after the suspension of the certification, continue to refer to it in any way, TÜV Italia may take legal action.

If the organisation meets the conditions established by TÜV Italia, TÜV Italia will lift the suspension of the certificate, immediately notifying the organisation officially.

Within TÜV Italia, all decisions connected to suspension of the certification (and lifting of the suspension) will be taken by the approval committee.

Sole responsibility for informing the public authorities and customers lies with the organisation whose certification was suspended. This is subject to any requirements deriving from applicable regulations or national laws

10. Withdrawal/cancellation of the certification

The contents of the RGSG will apply. The announcement of withdrawal of certification to the public authorities or clients is also the sole responsibility of the organisation whose certification was withdrawn. This is subject to any requirements deriving from applicable regulations or national laws

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

The organisation (already certified by TÜV Italia or not yet certified, but which nevertheless uses TÜV Italia's certification services) shall have prepared and implemented a documented procedure for managing reported deficiencies which can assure:

- the registration of reported information concerning non-compliance received from 'interested parties' and related to the operation of the supply chain security management system;
- the carrying out and registration of appropriate investigations of the reported information;
- the formal response to each report received (this response should be within a reasonable timeframe defined by the organisation)
- the adoption, where necessary, of corrective actions and their registration.

The organisation must make the records available to TÜV Italia for examination at each audit.

12. Control of supply chain security management system documentation and audit reports by TÜV Italia srl

The contents of the RGSG will apply.

13. Changes to the management system

The contents of the RGSG will apply.

14. Changes to the certification system rules

The contents of the RGSG will apply.



15. Special requirements for organisations already certified by another body

An organisation whose management system is already certified according to ISO 28000:2007 by another certification body may also apply for certification by TÜV Italia as described in the following certification scheme.

TÜV Italia may assess whether or not this model applies, also based on the results of a preliminary investigation to verify the following:

- the reasons for the organisation's request;
- confirmation of the validity of the pre-existing certification (from the point of view of authenticity, suitability of scope, time limits of issue and expiry, absence of any suspension in progress, etc.).

The model cannot be applied if the existing certification is subject to a suspension order, due to technical reasons.

16. Confidentiality

The contents of the RGSG will apply

17. Complaints (or Appeals)

The contents of the RGSG will apply.

18. Complaints against TÜV Italia

The contents of the RGSG will apply.

19. Disputes

The contents of the RGSG will apply.

20. Financial conditions

The contents of the RGSG will apply.