



Rules for the certification of asset management systems

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RINA Services S.p.A.

Via Corsica, 12 – 16128 Genova

Tel. +39 010 53851 – Fax +39 010 5351000

E-MAIL: info@rina.org, web: www.rina.org

Technical Rules

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CHAPTER 1 - GENERAL

1.1

These Rules define the procedures applied by RINA Services S.p.A. (RINA) for the certification of asset management systems according to the international standard ISO 55001:2014 –Asset Management – Management Systems – Requirements.

1.2

These Rules define how to apply for, obtain, retain and use this certification, as well as its possible suspension and revocation.

For any issues not covered in this document, reference is to be made to the “GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION”, available on the RINA web site.

1.3

RINA issues certification to organisations which apply for it, according to the requirements of the UNI CEI EN ISO/IEC 17021:2011 standard «Conformity Assessment – Requirements for bodies providing audit and certification of management systems».

1.4

Certification is open to all organisations and does not depend on whether they belong to an association or group.

RINA applies its current certification fees and guarantees fairness and uniformity of application.

RINA is entitled to refuse certification requests from organisations which have been subject to, or whose production or activities have been subject to, restriction, suspension or proscription by a public authority.

Should RINA refuse a certification request, the reasons for the refusal will be communicated to the applicant.

1.5

The certificate issued by RINA pertains exclusively to a single organisation, where organisation means a group, company, enterprise, body or institution, or parts and combinations thereof, whether associated or not, public or private, with its own functional and administrative structure.

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

1.6

The participation of observers at audits is to be agreed in advance between RINA and the organisation.

The Body guaranteeing the certificates (Accreditation Body) issued by RINA may require

its observers to participate in the audits performed by RINA, in order to ascertain whether the auditing methods applied by RINA comply with the relative standards.

If the organisation does not allow observers from accreditation bodies to participate, the validity of the certificate is suspended.

1.7

The terminology used in these Rules is the same as the one in the UNI CEI EN ISO/IEC 17000:2005 standard.

CHAPTER 2 – ISSUE OF THE CERTIFICATE OF CONFORMITY

2.1

To obtain RINA certification, an asset management system must comply with the requirements of the ISO 55001:2014 Standard, as well as with any additional elements indicated by the accreditation bodies (for example: ACCREDIA/“RT” documents).

In connection with accreditation, RINA must abide by certain reference documents issued by the accreditation bodies. These documents can be obtained by contacting RINA or the accreditation bodies directly (for example, by consulting their web sites).

2.2

Organisations wishing to obtain certification of their asset management system must provide RINA with the main data of their organisation and pertinent activities carried out, as well as the location of the site(s), by filling in and returning to RINA the “Informative Questionnaire”, which can be downloaded from the site www.rina.org or by contacting RINA.

This information is to be provided by an authorised representative of the applicant organisation.

This information will be used to prepare a quotation.

The organisation is to formalise its order by sending RINA the request form (generally enclosed with the offer) or through a contract duly signed by the Chief Executive Officer or by an authorised representative through a power of attorney.

On receipt of the request form or of the signed contract and following a preliminary check to ensure it is complete, RINA sends the organisation written confirmation of acceptance of the request.

The organisation’s request, which makes specific reference to these Rules, and relative acceptance by RINA contractually formalise the relationship between RINA and the organisation and the applicability of these Rules.

2.3

The contract stipulated between RINA and the organisation covers:

- the initial audit consisting of two stages and, following its successful outcome, issue of the certificate;
- subsequent surveillance audits;
- any additional services specified in the offer, including the pre-audit, if requested by the organisation.

2.4

Together with the request for certification of compliance or immediately after, the organisation is to make available to RINA, in the latest valid edition:

- the documented procedure/manual describing the asset management system,
- the strategic asset management plan (SAMP),
- the list of main applicable legal and regulatory requirements;
- the organization chart;
- a list of internal procedures related to the asset management system;
- a copy of the Chamber of Commerce registration certificate or equivalent document, as evidence that the organization exists and of the activities it carries out;

RINA may ask, at its discretion, to examine also other documents to support the information already received and considered important in relation to the certification in question.

The above documentation is assessed by RINA for compliance with the reference standard and with the requirements of these Rules.

2.5

The initial audit consists of two stages:

- stage 1, which can be carried out in part in the office and in part at the organisation's site or entirely at the organisation's site;
- stage 2 – on site.

The aim of the stage 1 audit is to:

- examine the organisation's management system documentation;
- assess the location and special conditions of the organisation's site and exchange information with the organisation's personnel in order to establish the level of preparation for the stage 2 audit;

- review the organisation's status and understanding of the requirements of the standard, with particular reference to the identification of key performance or of significant aspects, processes, objectives and functioning of the management system;
- collect the necessary information relevant to the asset management system's field of application, the processes and the organisation's location(s), including the pertinent legal and regulatory aspects and compliance with these aspects;
- review the assignment of resources for the stage 2 audit and agree with the organisation on the details of the stage 2 audit;
- focus on the planning of the stage 2 audit, acquiring sufficient knowledge of the management system and of the activities at the organisation's site, with reference to possible significant aspects;
- assess whether the internal audits and management review have been planned and carried out and whether the level of implementation of the management system provides evidence that the organisation is ready for the stage 2 audit.

The stage 2 audit is to be performed within 6 months maximum from the end of the stage 1 audit; after this period, the stage 1 audit will have to be repeated. In special cases, RINA may decide to extend this limit to 12 months.

The stage 2 audit at the organisation's premises is carried out to verify the correct and effective implementation of the management system.

The stage 2 audit essentially consists of:

- an opening meeting with the organisation's personnel to explain the aims and methods of performing the audit and confirming what is established in the audit plan;
- verification that effective action has been taken to resolve findings identified during the stage 1 audit;
- a visit to the organisation's site(s) to check the management system complies with the reference documents and is fully implemented;
- a closing meeting to illustrate the audit conclusions.

2.6

RINA communicates the names of the technical personnel, who will perform the audits, to the

organisation; the latter may object to these appointments, giving its reasons.

2.7

The technical personnel appointed agrees with the organisation, sufficiently in advance, on the date of the audits and sends the audit plan at least one week in advance.

2.8

At the end of the audit, the organisation is given a RINA report, including any nonconformities found and/or recommendations.

The organisation may note down any reservations or observations it has concerning the nonconformities or findings identified by the RINA technical personnel.

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

If there is no written communication from RINA, the report is considered confirmed after three working days from its delivery to the organisation.

In the case of minor nonconformities, after analysing the causes of the nonconformities contained in the above report, the organisation is to propose the necessary handling of these nonconformities, as well as the corrective action/measures necessary and the expected time of implementation, to RINA by the date given in the report. Acceptance of these proposals and relative implementation time is communicated to the organisation by RINA in writing.

In the case of major nonconformities¹, RINA may carry out a supplementary audit within three months to check whether the corrective actions proposed have been properly implemented. Following the successful outcome of the audit, the certification process can continue.

If the above deadline is not met, the checks referred to in paragraph 2.5 are to be redone within six months of the date of the finding.

Once the six-month period has elapsed and the assessment has not been positively concluded, RINA can consider the certification file closed and will charge the time and costs incurred up to that time.

In such a case, an organisation which intends to proceed with RINA certification will have to submit

¹ Major nonconformities mean:

- failure to fulfil one or more requirements of the reference rules/standards;
- a situation such as to cause a serious shortcoming in the asset management system;
- non-compliance with one or more requirements of these Rules.

Minor nonconformities are:

- situations, such as those mentioned in the previous point for major nonconformities, not considered particularly important in terms of asset management system compliance.

a new request and repeat the certification process.

The above time limits may, in special cases, be modified in the case of a justified request, in the opinion of RINA, by the organisation.

2.9

On successful completion of the checks and subject to review by an independent reviewer, as well as approval by the authorised person, a Certificate of Conformity, valid for three years, will be issued to the organisation together with the programme of periodic maintenance audits, normally performed annually.

This programme may be modified by RINA on the basis of the results of the previous periodic audits.

CHAPTER 3 – MAINTENANCE OF CERTIFICATION

3.1

During the period of validity of the Certificate of Conformity, the organisation must ensure its asset management system remains compliant with the ISO 55001:2014 standard.

3.2

RINA carries out periodic maintenance audits and communicates the outcome to the organisation as described in Chapter 2, as applicable.

During the periodic maintenance audits, the action taken following minor nonconformities identified during the previous audit and the method for communicating certification will be reviewed.

3.3

The technical personnel appointed agrees with the organisation, sufficiently in advance, on the date of the periodic maintenance audit and sends the audit plan at least one week in advance.

3.4

Reference is to be made to Chapter 2 as concerns the method of communicating the audit outcome. The validity of the certificate is confirmed following the positive result of the maintenance activities.

3.5

RINA also reserves the right to perform additional audits and/or checks, compared to those established in the three-year programme, announced or unannounced, at the organisation:

- if it receives complaints or reports, considered particularly important, related to the organisation's compliance with the requirements of the reference standard and with these Rules;

- in relation to significant changes which have taken place in the organisation;
- in the case of organisations whose certificate has been suspended.

Should the organisation refuse, without a valid reason, RINA may start the certification suspension procedure.

If the complaints and reports are considered justified by RINA, the cost of performing the additional audit will be charged to the organisation.

3.6

The organisation is to keep a record of any complaints related to the activities covered by certification and of the relative corrective action taken and is to make it available to RINA together with the corrective action taken during the periodical audits, where and when applicable.

3.7

In order to be able to undertake the above checks, the RINA technicians are to be given free access, even without advance notice, during normal working hours, to the premises and archives of the organisation's site(s).

RINA communicates, in advance, the names of the technical personnel, who will perform the audit, to the organisation; the latter may object to these appointments, giving its reasons.

CHAPTER 4 – RECERTIFICATION

4.1

With reference to the three-yearly recertification audit, the organisation is to contact RINA approximately three months before the date established in the organisation's three-year audit programme, to enable the activities to be planned and the date to be agreed for the recertification audit.

The organisation is to send an up-to-date copy of the Informative Questionnaire, completed in all its parts.

If the previous contract is no longer valid, the contract between RINA and the applicant is managed as described in paragraph 2.2.

The date of the recertification audit, agreed with the organisation sufficiently in advance, is officially confirmed to it in writing.

4.2

RINA communicates, in advance, the names of the qualified technical personnel, who will perform the audit, to the organisation; the latter may object to these appointments, giving its reasons.

4.3

The technical personnel appointed agrees with the organisation, sufficiently in advance, on the date of the periodic maintenance audit and sends the audit plan at least one week in advance.

4.4

The aim of the recertification audit is to confirm maintenance of compliance of the asset management system with the ISO 55001:2014 standard.

4.5

On successful completion of the checks and subject to review by an independent reviewer, as well as approval by the authorised person, a Certificate of Conformity, valid for a further three years, will be reissued to the organisation together with the programme of periodic audits.

Written confirmation of approval by RINA of the renewal and consequent issue of the certificate is sent to the organisation.

4.6

The recertification process must necessarily end with a positive outcome before the expiry date indicated on the certificate, which cannot be extended by RINA.

Consequently, the recertification audit must be concluded positively in sufficient time to allow RINA to approve the renewal and reissue the certificate by the above date (at least one month before the expiry date indicated on the certificate).

If the organisation does not meet the above deadlines and does not obtain reissue of the certificate prior to its expiry, the certificate is to be considered as having expired the day after the expiry date indicated on the certificate.

If the organisation intends to re-apply for certification after the expiry date of the certificate it must submit a new request and follow, in general, the whole process established for initial certification.

CHAPTER 5 – MANAGEMENT OF CERTIFICATES OF CONFORMITY

5.1

The Certificate of Conformity issued by RINA is valid for three years starting from the date of issue and contains at least the following information:

- a) the certificate number;
- b) company name and address of the certificate holder;
- c) field of application of the certificate;
- d) reference standard;
- e) date of issue;

- f) validity and expiry date;
- g) signature of the authorised person.

5.2

From the time of issue of the certificate by RINA, both the certificate and related three-yearly audit programme will be made available to the organisation in the “Member Area” of the RINA web site (www.rina.org). The organisation can thus access and download the above documents directly from that area of the RINA site.

If the organisation is unable to access the internet, it can ask the pertinent RINA office for a paper copy.

5.3

The validity of the certificate may be suspended, revoked or renounced, in accordance with what is stated in Chapters 8 and 9.

5.4

RINA publishes and updates the following on its web site www.rina.org:

- the list of certified organisations;
- the validity status of the certificates issued, indicating the status for each certificate: valid, suspended or invalid.

On request, RINA can provide information on the causes which have rendered the certificate invalid.

CHAPTER 6 – CHANGES TO CERTIFICATION

6.1

An organisation which has a Certificate of Conformity may ask for it to be modified or extended, by submitting the “Informative Questionnaire” again, completed in all its parts.

RINA reserves the right to examine the requests, on a case by case basis, and to decide the method of assessment for the purpose of issuing a new Certificate of Conformity.

6.2

The organisation is to promptly inform RINA of any changes made related to aspects which may influence compliance of the product and of the organisation.

This requirement concerns, for example, changes relevant to:

- the legal, commercial, organisational or ownership status;
- the organisation and management (i.e. key personnel or technical staff, decision-making process);
- the sites;
- the field of application of the activities covered by certification;

- significant changes in the management system and processes.

RINA reserves the right to carry out additional audits at the organisation if the changes communicated are considered particularly significant from the point of view of maintaining compliance with the requirements of the reference standard and of these Rules or to review the economic conditions for possible amendment of the contract.

CHAPTER 7 – TRANSFER OF ACCREDITED CERTIFICATES

7.1

If an organisation, whose certificate has been issued according to the system described in these Rules and is a valid certificate issued by another accredited body, submits a request for certification, RINA will perform a check which includes:

- a review of the reports of the previous audits performed by the accredited body which issued the previous certificate;
- an audit of the organisation, whose extent will depend on the level of compliance and validity of the previously issued certificate.

The organisation is also to inform RINA of:

- the reason for wanting to transfer certification;
- any observations or reports from pertinent national or local authorities;
- any complaints received and relative action taken.

The contract between RINA and the applicant is managed as described in paragraph 2.2.

On successful completion of the checks and subject to review by an independent reviewer, as well as approval by the authorised person, a Certificate of Conformity is issued which, in general, maintains the expiry date already established by the body that issued the previous certificate.

In general, also the programming already established by the body that issued the previous certificate is maintained for the execution of the periodical maintenance and renewal audits.

CHAPTER 8 – CERTIFICATE SUSPENSION, REINSTATEMENT AND WITHDRAWAL

8.1

The validity of the certificate issued may be suspended in accordance with what is stated in the

“GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION” and in the following specific cases:

- if the organisation does not allow the periodic maintenance or renewal audits to be carried out when due;
- if minor nonconformities are found which have not been resolved by the deadlines established by RINA;
- if the organisation has not met the established deadlines to communicate the corrective action, following nonconformities reported in the audit report;
- if the organisation has undertaken important restructuring work within the site(s), transfers to another site(s) without informing RINA of these changes;
- confirmation of serious complaints received by RINA;
- in any other circumstance which, in the opinion of RINA, has a negative influence on the conformity of the organisation and of the certified products.

Moreover, the organisation may ask RINA, giving its reasons, to suspend certification for a period in general of not more than six months and, in any case, not beyond the expiry date of the certificate.

Suspension is notified to the organisation in writing; the conditions for reinstating certification are specified as well as the date by which they are to be implemented.

8.2

Reinstatement of certification is dependent on verification that the shortcomings which led to suspension have been resolved and is checked by means of an in-depth audit to verify that the management system complies with all the requirements of the reference standard.

If the causes which led to suspension are not resolved by the above-mentioned deadline, the certificate will be withdrawn.

8.3

If the Certificate of Conformity is withdrawn, the organisation is to immediately cease using it.

CHAPTER 9 – RENUNCIATION OF CERTIFICATION

9.1

An organisation may submit a request to RINA to renounce its certificate due to the fact that it has

ceased its activities or for other reasons.

RINA, on receipt of such a communication, will begin the procedure to render the certificate invalid.

CHAPTER 10 - CONTRACTUAL CONDITIONS

With regard to the contractual conditions, the requirements contained in the current edition of the RINA Rules "GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION" apply.

