



RULES FOR THE ENVIRONMENTAL TECHNOLOGY VERIFICATION (ETV)

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CHAPTER 1 – GENERAL

These Rules illustrate the procedure implemented by RINA for inspection for the Environmental Technology Verification (ETV) according to the ISO 14034, as well as the procedure which Proposers are to follow to request the inspection.

The objective of the ETV inspection is to provide developers, producers and investors access to independent performance validation of innovative environmental technology through scientifically recognised procedures.

In these Rules, the terms “inspection” and “ETV verification” are used as synonyms.

For any issues not covered by these Rules, reference is to be made to the “GENERAL CONTRACT CONDITIONS GOVERNING SYSTEM, PRODUCT AND PERSONNEL CERTIFICATION”, which can be downloaded from the web site www.rina.org.

Access to the ETV inspection is open to all Proposers which make a formal request and does not depend on whether they belong to an association or group.

RINA will apply the fees established on the basis of its current tariffs for these inspection activities and guarantees fairness and uniformity of application.

The terminology used in these Rules is the one contained in the standards and reference documents indicated in Chapter 4.

CHAPTER 2 – AIM AND FIELD OF APPLICATION

These Rules establish the criteria and procedures to carry out inspection activities according to ISO 14034 and management of relations between RINA and applicant Proposers.

ETV inspections concern innovative environmental technology and consist of an assessment of conformity in relation to the requirements applicable to the contract and to the reference standards and technical documents indicated in Chapter 4 below, by verifying that performance claims put forward by technology developers and manufacturers are complete, fair and based on reliable test results.

To access the ETV verification, innovative environmental technology must firstly meet the following criteria:

- To be an environmental technology which is innovative in terms of design, raw materials involved, production processes, use, recyclability or final disposal when compared with relevant alternatives;
- To have the potential to contribute to the efficient use of natural resources and a high level of environmental protection; and
- To be ready for commercialisation or already commercially available.



CHAPTER 3 – DEFINITIONS

The definitions of some terms used in these Rules are given below:

Initial performance claim: a set of technical specifications representative of the technical performance and potential environmental impacts of a technology under specified conditions of testing or use (operational parameters).

Technical Manager: the person who takes full responsibility for ensuring that the verification activities are performed in compliance with UNI CEI EN ISO/IEC 17020.

Proposer: any legal entity or natural person established within the European Union or outside it who requests an inspection activity and on the basis of which the activity is performed. It can be the technology manufacturer or an authorised representative of the technology manufacturer. If the technologies manufacturers concerned agree, the Proposer can be another stakeholder undertaking a specific verification programme involving several technologies (for example, as part of pre-procurement procedures).

Specific Verification Protocol (SVP): means the protocol/report describing the specific verification of a technology as developed applying the principles and procedures of the ISO 14034.

Environmental technologies: all technologies whose use is less environmentally harmful than relevant alternatives.

Innovative environmental technologies: environmental technologies presenting a novelty in terms of design, raw materials involved, production process, use, recyclability or final disposal, when compared with relevant alternatives.

CHAPTER 4 – REFERENCE STANDARDS

The list of the main references which these Rules refers to is given below:

- ISO 14034 - Environmental management – Environmental technology verification (ETV).
- ISO/IEC 17020 – Conformity assessment – Requirements for the operation of various types of bodies performing inspection.
- ISO/IEC 17025 – General requirements for the competence of testing and calibration laboratories.
- ACCREDIA RG-01-04 – Regolamento per l'Accreditamento degli Organismi di Ispezione.



CHAPTER 5 – VERIFICATION EXECUTION

5.1 APPLICATION FOR THE ETV VERIFICATION AND ELIGIBILITY CHECK

A Proposer is to submit a request in writing (application) for the ETV verification: the request can also be made by e-mail, to the contact addresses available from the public site www.rina.org. RINA sends the Proposer a specially prepared form which the Proposer is requested to fill in, sign and return to RINA.

The application aims to provide RINA the needed data to prepare a quotation and perform the eligibility check (preliminary check) of the technology. RINA may ask the Proposer to revise and complete the application.

RINA prepares a quotation: it provides a detailed cost estimate on the basis of the expected workload for the service offered, together with a list of potential tests and analyses to be performed. On receipt of acceptance of the quotation and of the signed order, following a preliminary review to check they are complete, RINA will inform the proposer that the order has been accepted.

Once order is signed, RINA makes a short, pre-verification ("Quick Scan") of some of the main characteristics of the technology to be verified in order to:

- Assess the suitability of the technology for inspection;
- Identify the relevant technology group; and
- Give a first indication of the complexity and cost of a full verification.

RINA informs the Proposer about the eligibility of the technology, on whether to perform a full verification or not. RINA considers a technology ineligible mainly if it is not ready to market or if its performance and innovation levels are obviously too low compared to the alternatives.

Apart from these cases, the decision to proceed is up to the Proposer, even when RINA does not recommend performing the verification.

On the basis of the contract and technical reference documents, RINA plans the inspection activities and defines the audit team, identifying qualified and independent verifiers to carry out the inspection. The names of the verifiers who will be part of the audit team are communicated to the proposer who may ask, in writing, for them to be replaced, giving its reasons.

5.2 SPECIFIC VERIFICATION PROTOCOL

The Proposer and the verification team are responsible for defining the SVP. RINA sends the Proposer a specially prepared form which the Proposer is requested to fill in, sign and return to RINA. The Proposer prepares a first draft of the SVP and submits the draft to the verification team. The SVP may also be examined by independent technical experts.



The names of the verification team and technical experts are communicated to the proposer who may ask, in writing, for them to be replaced, giving its reasons.

To define the SVP, agreement has to be reached with the Proposer on the performance parameters (i.e. the revised performance claim), on the type of tests, on data quality and on requirements on test data, measurement and calculation.

RINA requires the Proposer's formal acceptance of the Final Revision of the SVP.

In the case of a disagreement between the RINA (Verification Body) and the Proposer, RINA reserves the right to terminate the contract in the case of non-acceptance of the Statement of Verification by the Proposer within 3 months from RINA approval, requiring payment for the activities carried out, according to the contractual agreement.

5.3 ASSESSMENT OF EXISTING DATA

The Proposer provides the verification team with the available technical documentation on existing data, i.e. data obtained prior to approval of the SVP. The team assesses the acceptability of the data submitted in relation to the SVP and to the data quality required. If necessary, the verification team may ask the Proposer for additional tests to conform to the SVP.

RINA carries out an initial assessment of the supporting evidence backing the performance claim given in the proposal, which also includes acceptability of the test data submitted and determines whether additional tests or measures are necessary to comply with the requirements of the verification under ISO 14034, as indicated in the SVP.

RINA will decide on acceptance and/or the need for additional tests.

5.4 ASSESSMENT OF THE TEST BODY

In the cases required by the ISO, the verification team conducts an audit on the Test Body. In the case of an unfavorable outcome of the audit, the Proposer has three options: (1) to require RINA to perform an additional audit before going ahead with the testing phase; (2) to make use of a different Test Body accredited under ISO 17025 for methods within the relevant area of analysis; and (3) to make use of a different Test Body not accredited under ISO 17025 for methods within the relevant area of analysis, but in this last case an additional audit is necessary before going ahead with the testing phase.

The additional audit activity mentioned above (i.e., referred to option 1 and option 3) requires a new contractual agreement.

5.5 TESTS AND TEST PLAN

If additional tests are necessary, the Proposer should designate one or more Test Bodies but may perform the necessary tests in-house; in this case, the test plans, all preparatory measures such as sampling and the tests themselves are prepared and implemented in agreement with and, if necessary, witnessed by an independent test body.

The Test Body or the Proposer, in the case of tests carried out in-house, prepares the "Test Plan", performs the tests and drafts a "Test Report" on the basis of specially prepared forms provided by RINA based on the requirements of the Verification Protocol.



5.6 ASSESSMENT OF ALL DATA AND VERIFICATION

The final assessment of data starts when the performance data, including the test report data and acceptable data from the existing data prior to verification, are considered complete by RINA. They also must satisfy data quality requirements as provided in the SVP.

The Verification Body undertakes a final assessment of these data, reviews the procedures followed during testing and determines if there is a pertinent and complete data set for verification and reporting.

5.7 DRAFTING THE FINAL VERIFICATION REPORT AND STATEMENT OF VERIFICATION

Following final assessment of the data, the verification team draws up a "Verification Report" (Final Report) which includes all relevant documents produced during verification such as the Application, SVP, Test Plan and Test Report (if any).

The team also draws up a "Statement of Verification". The Statement of Verification is a summary of the verification of about 4 pages and includes a summary description of the technology and purpose, the verified claim related to performance parameters, test design, operation conditions, test results and additional information.

The Verification Report and Statement of Verification are also reviewed by qualified and independent technical experts.

CHAPTER 6 – USE OF THE STATEMENT OF VERIFICATION AND ETV LOGO

The Statement of Verification may be used by the Proposer in any dealings with other organisations, for marketing purposes and for official approval and may be included in the technical documentation of the verified technology. The Proposer is to make the statement available in full and is not to use parts of the statement for any purpose. The Proposer may quote the Statement of Verification as follows: the XX technology has been verified for the purpose PP in YY matrix by QQ verification body on DD.MM.YYYY.

The Proposer is not to use the ETV logo alone, neither on products nor on published matter (printed, web or other) other than the Statement of Verification.

The Proposer is obliged to report any information on changes in the technology to RINA with the data needed to evaluate whether the conditions for verification have changed. If, after evaluation, RINA concludes that the conditions for verification have changed, the Proposer is to start a new verification procedure for this technology or, alternatively, the Statement of Verification is to be withdrawn.

The Verification Report is considered proprietary to the proposer. However, for reasons of transparency, proposers are recommended to accept publication of the Report. If the Verification Report is published, then the full report is to be published. Publication of parts of the Verification Report is acceptable only if the legitimate interests of the Proposer in relation to the verified technology, in particular intellectual property, could suffer disproportionately great harm because of the full publication of the Report. In the case of publication of parts of the Verification Report, the Verification Body should check, before publication and at the cost of the Proposer, that the parts to be published may not lead the reader to misinterpret the meaning or results of verification under ETV. The Verification Report is to be accessible upon request by other verification bodies and by national accreditation bodies under the same conditions of confidentiality applicable to the Verification Body.

The Statement of Verification will be withdrawn by RINA if misused by the proposer. Misuse is defined as violation of the conditions of the EU ETV programme. In the case of withdrawal, the Statement of Verification and the Report or parts of the Report are to be removed from the web.



CHAPTER 7 – CONFIDENTIALITY

RINA observes professional secrecy with regard to all information obtained in carrying out its tasks during the verification activities according to ISO; proprietary rights are protected.

RINA guarantees the Proposer that the activities of its subsidiaries or subcontractors do not affect confidentiality.

CHAPTER 8 – IMPARTIALITY

RINA guarantees that it is not involved in activities which could be in conflict with its independence of judgement or integrity in relation to the verification activities for which it has been selected. This also applies to its top level management, to the personnel assigned to carry out the verification tasks as well as to consultancy services.

RINA guarantees the Proposer that the activities of its subsidiaries or subcontractors do not affect the objectivity or impartiality of the verification activities; it guarantees that it carries out the verification activities with the highest degree of professional integrity and the requisite technical competency in the specific field and that it is free from all pressures and inducements, particularly financial, which could influence its judgement or the result of the verification activities, especially as regards people or groups of people with an interest in the results of the verifications.

CHAPTER 9 – PROPOSER'S RESPONSIBILITIES

The Proposer is responsible for reviewing and approving the plans and reports prior to their validation by RINA; for providing timely access to technology, accessories, manuals and training; for contracting and paying the test bodies for any services provided by analytical laboratories (for example, in the case of in-house testing); for compliance with the rules for use of the Statement of Verification.

If further tests are necessary after assessment of existing test data, the Proposer can carry out the necessary tests in-house provided the testing plans and all preparatory measures, such as sampling and the tests themselves, are prepared and implemented in agreement with RINA or with an independent Test Body. The test report is to be drawn up by the Proposer and approved by RINA or by the Test Body.

CHAPTER 10 – RINA RESPONSIBILITIES

RINA guarantees that it is able to undertake all the tasks assigned to it in the technology groups for which it is accredited, whether or not these tasks are performed by it directly or on its behalf and under its responsibility.

RINA has in place a system of quality management and quality assurance documenting, coordinating and monitoring the measures taken to ensure that the verification activities are implemented in compliance with the requirements of the General Verification Protocol.

RINA is responsible for having at its disposal either personnel with technical knowledge and sufficient and appropriate experience to perform the verification tasks or, if the above personnel include external



experts, the necessary agreements or conventions ensuring availability of personnel concerned by ETV procedures.

CHAPTER 11 – COMPLAINTS AND APPEALS MANAGEMENT

The Organisation can appeal against the decisions of RINA, setting out the reasons for the dissent, within 30 days from the date of notification of the decision.

RINA will keep the Organisation informed of the progress in evaluating the complaint or appeal, will investigate the matter and specify its proposed actions in response to the complaint or appeal within 3 months of its receipt.

If justified complaints are received by RINA against a validated/verified claim, RINA reserves the right to carry out a verification on the validated/verified claim itself, aimed at checking the correct handling of the complaint. If the complaint proves to be well founded and of high gravity, RINA reserves the right to suspend, withdrawal or modify the validation/verification statement.

The cost of the verification that RINA carries out on the basis of the complaint, if justified, is borne by the Organisation owning the validated/verified claim.

CHAPTER 12 – CONTRACTUAL CONDITIONS

For the contractual conditions and for anything not provided for in these Rules, the provisions contained in the RINA document "GENERAL TERMS AND CONDITIONS FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL", available on the website www.rina.org, apply.



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Technical rules