



Rules for the Performance of Assessment Activities

Revision: 03

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Technical Rules

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1 GENERAL

1.1 SCOPE

These rules define the procedures applied by RINA for the performance of Assessment activities on the basis of reference standards/technical specifications, in order to assess their application level.

The application level of the reference document (standard / technical specifications) is assessed by an independent and documented rating method which does not assure the compliance of the system applied by an Organization but the use of the reference document as a guideline to integrate activities, policies, strategies, procedures and goals of the Organization.

The Assessment activity ends with the issue of an assessment report by RINA specifying the implementation level of the reference document within the Organization.

RINA can publish specific rules/guidelines to integrate the requirements of these rules.

RINA applies its current fees ensuring equity and uniformity of application.

RINA may legitimately not accept any assessment verifications concerning organizations and/or their products/activities subject to any restrictions, suspensions or disqualifications by a public Authority.

1.2 ASSESSMENT PRINCIPLES

RINA recognizes the fundamental guiding principles of the assessment process and carries out all activities ensuring accuracy, prudence, pertinence, credibility, reliability, completeness, consistency, transparency, impartiality, independence, safeguard against conflicts of interest and confidentiality.

2 CONTRACT REVIEW

2.1 APPLICATION

The organizations that wish to obtain a certificate on the integration/application of one of the reference documents listed in Annex 1

inside their Organization shall provide RINA with the required information by completely filling in a specific questionnaire.

This information will be used by RINA to prepare an offer.

RINA can prepare an offer if at least the following information/documents are available:

- Organization's name and address;
- type, purpose and nature of the activities carried out by the Organization;
- location and characteristics of the sites involved in the verification;
- further information contained in the informative questionnaire.

After receiving and examining the informative questionnaire, RINA prepares an economic offer and sends it to the applicant Organization, together with the form "Application for Assessment".

2.2 CONTRACT

The organizations must formalize their orders by providing RINA with the application form duly undersigned by the Chief Executive Officer or an authorized representative through a power of attorney.

After receiving the application form or the signed contract with the relevant annexes/documents, after a preliminary check to verify completeness of the same, RINA will inform the Organization that the order has been accepted.

Only after RINA has informed of the acceptance of the order, the contract between RINA and the Organization can be deemed to be official.

The contract signed between RINA and the Organization includes:

- examination of the Organization's document management system, if applicable;
- any subsequent actions (interviews by telephone or e-mail);
- on-site assessment audit;
- issue of an audit report and a declaration, both handed to the Organization;
- any additional services specified in the offer.

3 AUDIT TEAM SELECTION

3.1 AUDIT TEAM SELECTION

RINA will select the audit team who will carry out the activities and the personnel who will perform the independent technical review, according to the necessary knowledge, skills and competences.

3.2 INFORMATION ABOUT THE AUDIT TEAM

Before starting the audit, RINA will inform the Organization of the names of the audit team members; the Organization may object to these appointments, within 5 working days from the communication, justifying the reasons for the objection.

RINA will redefine the audit team following valid objections.

4 ASSESSMENT ACTIVITY

4.1 GENERAL

RINA assesses the application of the requirements of the reference document by comparing the Organization's performances with a series of criteria, including:

- the goals and scope of the assessment;
- the application and implementation of the reference document requirements;
- the test level provided by complete, consistent, accurate and transparent objective evidences, collected during the on-site audit.

This process will produce:

- an audit report describing the assessment process;
- a final declaration on the use of the reference document to integrate the social responsibility into the Organization's activities, policies, strategies, procedures and targets.

4.2 DOCUMENT MANAGEMENT SYSTEM EXAMINATION (optional)

The Organization must provide RINA with the documentation concerning the

integration/application of the selected standard within its own organization.

After examining the documentation, the audit team will identify additional issues and aspects to be further analyzed with the Organization.

4.3 ON-SITE AUDIT

This process requires an on-site audit to interview the representatives of the Organization and of the main interested parties and to collect evidences of the application of the document management system implemented by the Organization.

The date of the on-site audit will be agreed upon, quite in advance, with the Organization and will be officially confirmed at least one week before the audit.

4.4 AUDIT REPORT / FINAL ASSESSMENT AND ANY ANNEXES

Once the on-site audit is completed, the audit team will prepare and provide the Organization with an audit report containing the results of the assessment process.

The audit report will show the implementation level of the requirements of the reference document by the Organization, highlighting strengths and weaknesses and possible areas of improvement.

The transposition level of each requirement detailed in the reference document shall be expressed by a 4-value scale:

| | |
|--------------------------------|--|
| 0 – Not implemented | The assessed element is not formally or informally incorporated in the Organization's strategies and operational procedures. |
| 1 – Partially attained | The assessed element is present in an informal and unstructured format in the Organization's processes and practices; no documented supporting information is produced. There are no evidences of systematic monitoring and measurement activities relating to the assessed element. |
| 2 – Largely attained | In addition to what is expected by level 1, prescriptive documented information is produced and stored (policies, procedures, instructions, etc.). |
| 3 – Completely attained | In addition to the requirement of level 2, a monitoring and measurement process is defined and implemented: this process must be able to objectively demonstrate the Organization's ability to ensure that a specific element is systematically applied and the ability to improve its effectiveness in the long term. |

In the conclusion section of the audit report, the audit team will record the overall judgment on the level of application of the document/reference guideline by the organization.

5 CONTRACTUAL CONDITIONS

With regard to contractual conditions, the provisions set out in the current version of RINA document "GENERAL TERMS AND CONDITIONS FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS, PERSONNEL AND INSPECTION ACTIVITIES" apply.

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