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1 SUBJECT

These Regulations define and describe the conditions and the procedures that are applied by DNV Italy for the certification of Company Management Systems, in accordance with recognised national or international standards, applied to organizations that provide products and/or services.

These Regulations are supplemented by "Special Regulations" that define supplementary conditions and procedures, if present, for individual certification schemes.

The purpose of certification activities is to provide, with an adequate level of confidence, an independent assurance that the Organisation operates in compliance with the requisites defined by the standards for Company Management Systems.

2 POLICIES

DNV Italy provides Company Management System certification services (e.g.: Quality Management Systems, Environmental Management Systems, Safety Management Systems) in accordance with the requisites of the ISO/IEC Standard 17021 and in virtue of the accreditation issued by SINCERT (ACCREDIA) (the Italian Accreditation System for Certification Bodies) or by other Accreditation-Nomination-Notification bodies.

The certification services, relative schemes and specific sectors accredited by SINCERT (ACCREDIA) or by other Accreditation-Nomination-Notification bodies, are defined in detail in the Accreditation Certificates issued to DNV Italy by SINCERT (ACCREDIA) or by other Accreditation-Nomination-Notification bodies.

DNV Italy also provides assessment and certification services related to non-accredited activities, schemes, sectors and standards.

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In these cases, the certifications issued are not included in the sphere of the accreditation granted to DNV Italy by SINCERT (ACCREDIA) or by other Accreditation-Nomination-Notification bodies. The requisites that are valid for accredited activities are, in any case, also applied to activities, schemes and/or sectors that have not yet been accredited. In fact, it is the policy of DNV Italy to gradually extend the accreditation by SINCERT (ACCREDIA) or by other Accreditation-Nomination-Notification bodies to all those sectors in which interest is manifested in independent third-party certification as a guarantee to the market and/or the customer with regard to the organisation's ability to operate in accordance with the principles and requisites of standards of reference relative to Company Management Systems.

DNV Italy applies the conditions and the procedures in a non-discriminatory manner. In other words:

- The services are accessible to all Organisations that request them and that make a contractual commitment to fulfil the requisites of the regulations;
- Conditions that discriminate financially or in any other manner are not applied;
- Access to certification is not conditioned by the size of the Organisation or by membership in special associations or groups.

The correct application of the conditions and procedures is verified by the Committee for the Safeguarding of DNV Italy's Impartiality; said committee is composed of representatives (without the predominance of individual interests) from the parties concerned with certification activities: associations, public administration, standardization bodies and research organizations, customers, producers, consumer organizations.

DNV Italy does not provide consultancy for the design, implementation or maintenance of a Company Management System, in accordance with ISO/IEC Standard 17021.

3 GENERAL INFORMATION

The standards of reference for the certification and registration of the management system are specified in the Special Regulations for the individual schemes.

The Organisation must have a documented management system (Manual, Procedures) in accordance with the standard of reference chosen for the certification and it must demonstrate that it operates the management system in accordance with the requisites contained in the documentation of the system and in the standard of reference related to the field of application of the system itself.

When the initial certification audit (Stage 2) is carried out:

- the system must have been operative for at least 3 months;
- at least one entire cycle of internal audits must have been completed;
- at least one Management Review must have been carried out;

The Organisation must:

- a) always follow the instructions that are applicable to the certification scheme;
- b) guarantee the conditions that are necessary for the performance of an audit: make available the documentation for review, give access to all areas, to records (including the internal audit reports) and to the personnel during each audit;
- c) declare that it is certified exclusively for those activities for which certification has been issued;
- d) not use the certification in a manner that may discredit DNV Italy and not make any declarations that DNV Italy may construe as being misleading or unauthorised;
- e) in the case of suspension or withdrawal of certification, cease to use all advertising materials that contain references to the certification and, upon the request of DNV Italy, return the certification documents (certificate and certification mark);
- f) use certification only to indicate that the Company Management System is in conformity with specific standards or other prescriptive documents and not use the certification in a manner that would imply that the product or service is approved by DNV Italy;
- g) guarantee that no documents, mark or certification report, or parts thereof are used in a misleading way;
- h) follow the rules relative to the use of the mark and the certification as foreseen by DNV Italy on documents

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such as: letters, illustrative or advertising materials.

During the performance of audits, DNV Italy auditors consider their interlocutors to be the representatives of the Organisation indicated in the organisational chart of the Management System undergoing certification. Should the Organisation intend to allow other people to participate in the audit (e.g. consultants) it must ensure that they will do so only as "observers".

4 CERTIFICATION SCHEMES

4.1 Request for Certification

DNV Italy draws up and submits a specific offer, complete with all information related to activities and current prices, to all Organisations that are interested in the certification of a Company Management System.

If an Organisation decides to make use of the services offered, it must return the offer to DNV Italy, duly completed and signed by an authorised representative of the Organisation.

The contract (Standard Agreement) is then sent to the Organisation; the return of a copy of the contract (Standard Agreement), countersigned by an authorised representative of the Organisation, testifies to the will on the part of the same to proceed with the certification process and to the acceptance of that which has been set forth in the general terms and conditions of the contract and of the applicable regulations.

The contractual conditions are to be considered valid if audit activities commence within 1 (one) year of the date of acceptance; otherwise DNV Italy reserves the right to revise the terms of the contract. Should the Organisation decide to cancel the contract it is, in any case, obliged to pay DNV Italy that which has been specified in the general terms and conditions of the contract.

4.1.1 Communication of activities

The audit dates and the names of the members of the Audit Team are transmitted by fax at least one month in advance, unless otherwise agreed. The Organisation has the right to appeal (by stating the reasons in writing) the designation of the members of the Audit Team. In the absence of a confirmation or the notification of a request for a change within 7 (seven) days of the receipt of the fax notification, the dates and the names of the auditors are considered tacitly confirmed. Should the Organisation advise DNV Italy after the terms defined above that it is unable to hold the audit, DNV Italy reserves the right to invoice the cost of the activity according to what is stipulated in the offer and the contract.

The Audit Team has the duty to examine the Organisation's structure, policies and procedures and to confirm whether these fulfil the requisites relative to the scope of certification; as well as whether the procedures have been implemented and are such that they inspire confidence in the products, processes or services promoted by the Organisation itself.

4.2 Audit of the system documentation (Stage 1)

The Organisation must have a management system that is demonstrated in the following documents:

- current Manual of the System (with a controlled copy), even if the system is a computerized one;
- current Procedures of the System (with a controlled copy), which are indispensable to the evaluation of the system;
- general information about the company and about the types of products and/or services that are included in the certification.

DNV Italy will evaluate said documentation with respect to the requisites of the standard of reference. Said activity is generally carried out on the premises of the Organisation at the same time of the Preliminary Visit; however, in the case of special needs and after specific agreement with the Organisation, the documentation can also be sent to DNV Italy offices or shared by means of adequate IT tools in order to carry out the Document Review. Upon completion of the review, DNV Italy will issue a Document Review and Preliminary Visit Report, notifying the Organisation of any findings with respect to the standard of reference.

In the case of any non-conformities and/or observations, the Organisation must make the necessary corrections to its documentation before the performance of the Initial Audit. Said corrections will be verified by DNV Italy at the time of the Initial Audit, prior to its performance.

If the review has a positive outcome or upon the completion of the corrective actions requested, DNV Italy will

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proceed with the subsequent phase of the certification scheme. If the system documentation shows numerous and serious non-conformities with respect to the requisites of the standard of reference, the Document Review will be repeated.

4.2.1 Control of the system documentation

The Organisation must give DNV Italy a controlled copy of its management system documentation (Manual, Procedures) and must commit to keeping the documentation in its archives and ensuring that it is kept up-to-date. These copies constitute the documentation of reference for the DNV Italy auditors for the audits.

The Organization can carry out normal control and improvement activities of the system documentation without the need to notify DNV Italy of said activities or to ask its approval.

The Organization must notify DNV Italy of any particularly significant changes made to these documents; should the changes justify doing so, DNV Italy reserves the right to perform an unscheduled audit to evaluate the impact of said changes on the conformity and effectiveness of the system.

4.3 Preliminary Visit (Stage 1)

This usually coincides with the System Document Review. This audit is documented by means of the Document Review and Preliminary Visit Report and by notifying the Organisation of any Non-conformities with regard to the state of the application of the system. Should any Non-conformities be found, the Organisation must resolve them before the Initial Audit may be performed.

If DNV Italy finds situations that are different from the information that the Organisation transmitted during the request for certification phase and these differences necessitate an increase in the activities foreseen, DNV Italy reserves the right to notify the Organisation of the need to revise the fees stipulated in the contract.

4.4 Initial Audit (Stage 2)

After the Preliminary Visit and the Document Review (**Stage 1**), the Organisation must contact DNV Italy to agree upon the dates for the Initial Audit (**Stage 2**).

The Initial Audit must be performed within a maximum period of six months from the date of the Preliminary Visit and the Document Review, otherwise DNV Italy will evaluate whether the Document Review needs to be repeated.

The purpose of the Initial Audit is to examine the structure and the substance of the policies, objectives and procedures of the Organisation and to confirm if they satisfy all of the requisites relative to the scope of certification, as well as to confirm whether the procedures have been implemented and are such that they inspire confidence in the products, processes or services promoted by the Organisation. The Organisation must demonstrate the application of the system "in the field".

The Lead Auditor will audit the actual commitment to continuous improvement and the consistency of the policies, objectives and goals that have been stated.

Important Note: During the initial phase of the audit, the Lead Auditor will evaluate the actual closing of the non-conformities that were found during the previous phase of the certification process (document review, preliminary visit), a necessary prerequisite for continuing the performance of the audit itself. Any Observations will be evaluated, even if their closure does not constitute a fundamental element for proceeding with the certification process, unless they have degenerated into Non-conformities.

4.4.1 Audit Plan

The Lead Auditor will prepare and communicate a detailed plan of the initial audit to the Organisation.

4.4.2 Opening Meeting

The audit will begin with a meeting, the purpose of which is to:

- introduce the members of the Audit Team;
- present the aims of the audit and the methods for performing the audit, the method used in classifying findings and the audit results;
- establish official lines of communication between the Audit Team and the Organisation being audited and

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- identify a person who will be responsible for handling any controversies that may arise during the audit;
- clarify any doubts and create a climate of trust.

4.4.3 Performance of the audit

The Audit Team will proceed with the evaluation of the actual application of the management system and its conformity in relation to the requisites of the standard of reference and to the documentation of the system. The Organisation must make the system documentation available, as well as information and records that demonstrate the application of the system and it must cooperate during the audit activities. At the end of the activities, the Audit Team will come together to prepare the Initial Audit Report.

4.4.4 Closing meeting

A closing meeting will be held at the end of an audit, during which the Lead Auditor will present the results of the audit and any Non-conformities or Observations. The Lead Auditor will also briefly describe the next steps of the certification process and distribute a copy of the audit report to the Management Representative.

4.4.5 Classification of the findings

The following classification is used by DNV Italy for non-conformities found during audits (Document Review, Preliminary Visit, Initial Audit, Maintenance and Renewal Audits), with respect to product and/or Company Management System requisites:

4.4.5.1 Category 1 (Major) Non-conformities (NC):

Category 1 (or Major) Non-conformities are defined as:

- a.- the absence or inefficacious implementation of one or more elements required by the system, or a situation that generates serious doubts regarding the ability to fulfil the requites of the product or service.
- b.- a group of Category 2 Non-conformities that indicate an inadequate implementation of the system of an element required by the standard of reference.
- c.- a Category 2 Non-conformity that persists over time (or not that is not implemented by the Organisation as agreed upon).

4.4.5.2 Category 2 (Minor) Non-conformities (NC):

Category 2 (or Minor) Non-conformities are defined as:

- a.- the lack of a rule or a control observed during the implementation of the system or a situation that generates doubts regarding the ability to fulfil the requites of the product or service.

4.4.5.3 Observations:

An **Observation** is a finding based on activities included in the scope of certification and is defined as an irregularity that does not have an impact on the management system at the moment, but that could degenerate into a non-conformity over time and that, in the judgment of the Lead Auditor, must be kept under control.

Included are:

- a.- Findings that reveal a situation that is indicative of potential risk or danger;
- b.- Clarifications or notes made in order to call the attention of the client or auditor during future audits.

4.4.6 Resolution of a non-conformity

The Organisation must resolve the irregularities found by DNV Italy with corrective actions that are adequate for their level of seriousness and according to the methods defined in the schemes of specific certifications.

4.4.6.1 Category 1 (or Major) NCs:

Category 1 NCs must be verified and closed by DNV Italy in order to judge the system as being in conformity and to recommend the issuing of the certificate and/or to consider a certificate that has already been issued as valid.

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The resolution must include the following phases:

- The Organisation defines the Corrective Actions in order to resolve the NCs and transmits them to DNV Italy;
- DNV Italy verifies the proposed Corrective Actions;
- The Organisation implements the Corrective Actions.

Category 1 Non-conformities are resolved by verifying the effective implementation of the Corrective Actions defined by the company and reviewed by DNV Italy during the course of an audit for the closing of a Non-conformity (cf. subsequent paragraph) before the Certificate of Conformity can be issued.

The Organisation must implement the Corrective Action and give written notice thereof to the Lead Auditor within 90 days of the issuing of the Non-conformity itself. In order to have an appropriate control of the process, it is recommended that the Organisation send a proposal of the Corrective Actions to the Lead Auditor within 3 weeks of the date that the Non-conformity is issued.

The Closing Audit that is foreseen for Category 1 Non-conformities must take place within the terms agreed upon with the Lead Auditor (and, in any case, within the established 90 days). Should the Organisation not be able to observe said deadline, it will be necessary to repeat the Initial Audit or, in the case of subsequent Periodic Maintenance/Extension Audits, the certificate will be suspended.

If the Initial Audit is successful (absence of Category 1 Non-conformities and adequate proposed Corrective Actions for any Category 2 Non-conformities) or if the Audit for Closing a Non-conformity is successful, the certification process moves forward with the transmission of the documents to the DNV Italy Technical Review Team for consequent evaluation of the proposal for certification.

The Audit for closing a Category 1 Non-conformity must normally be performed on-site in order to evaluate the closing and efficacy of the Corrective Actions and therefore to close or to declassify a Major Non-conformity down to a Minor NC or to an Observation. In exceptional cases and for sufficiently well-founded reasons, the audit for closing a Non-conformity may be performed off-site as a desk review. This may be done when the Lead Auditor believes that the documentary evidence is sufficient for closing a Non-Conformity.

4.4.6.2 Category 2 (or Minor) NCs:

The Corrective Actions and the corresponding correction plan for Category 2 NCs must be verified and approved by DNV Italy. This is necessary in order to judge the system as being in conformity and to recommend the issuing of the certificate and/or to consider a certificate that has already been issued as valid.

The resolution must include the following phases:

- The Organisation defines and plans the Corrective Actions to resolve the NCs and sends this information to DNV Italy;
- DNV Italy verifies the proposed Corrective Actions;
- The Organisation implements the Corrective Actions within the period of time established and DNV Italy evaluates the closing and the efficacy of the measures implemented during the course of the subsequent audit.

The Organisation must apply the Corrective Actions and give written notice thereof to the lead Auditor within 90 days of the issuing of the Non-conformity itself.

4.4.6.3 Observations:

Observations do not compromise the judgment of the system as being in conformity, or rather the recommendation for the issuing of the certificate and/or the continued validity of a certificate that has already been issued. The resolution of any observations must include the following phases:

- The Organisation must implement the actions defined for resolving the irregularities before the subsequent audit takes place;

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- DNV Italy must evaluate the implementation and the efficacy of the actions during the course of the subsequent audit and, if the evaluation is positive, the Observation will be closed. The Observation will remain open as such if the evaluation is not positive (unless the situation has degenerated into a Major or Minor Non-conformity).

4.4.6.4 Ineffectiveness of the Corrective Actions:

Should the Corrective Actions prove to be ineffective in resolving a Non-conformity, DNV Italy must decide upon one of the following options:

CATEGORY 1 (MAJOR)

- Initial or Recertification Audit: repeat the audit or withdraw the certificate.
- Periodic Maintenance Audits: suspend/withdraw the certificate or perform a special audit.

CATEGORY 2 (MINOR)

- Initial or Recertification Audit: a maximum "additional" time period of 4 weeks may be agreed upon. If this extension is granted, and the Organisation is still unable to observe the new agreed-upon date, then the audit will be repeated or the certificate will be withdrawn.
- Periodic Maintenance Audits: a maximum "additional" time period of 4 weeks may be agreed upon. If this extension is granted, and the Organisation is still unable to observe the new agreed-upon date, then the audit will be repeated or the certificate will be withdrawn. This is applied when there is no answer or an adequate one is not received within the 90 day time limit or when a corrective action is found to be inadequate during the course of follow-up activities at the subsequent maintenance audit.

4.4.6.5 Delay in sending the Corrective Actions

The following actions will be taken if the Organisation does not identify the Corrective Actions and does not respond to DNV within the established time limit:

Category 1 (Major) and Category 2 (Minor)*

- Initial or Recertification Audit: if the outcome of audit is negative, it will be repeated or the certificate will be withdrawn.
- Periodic Maintenance Audits: suspension or withdrawal of the certificate.

* If the reasons that the Organisation sends to DNV formally and in writing, are deemed valid, DNV could consider granting an extension period for sending the corrective actions (maximum period allowed: 4 weeks). If the extension is granted and the Organisation is still unable to observe the new time limit, then DNV will proceed as described above.

4.4.6.6 Multi-site certification:

In the case of multi-site certification that is subject to random sampling, the organisation must commit to applying the corrective actions in all sites affected by the Non-conformity. The rules that are provided for in the document "IAF Mandatory Document IAF MD 1 for the Certification of Multiple Sites Based on Sampling" will be applied to such certifications.

4.5 Audit for the closing of Non-conformities

This is a supplementary audit that is to be performed on the premises of the Organisation after the deadline of the terms for the agreed-upon corrective actions and which may prove necessary in order to evaluate the actual and effective implementation of said corrective actions so that the non-conformities found during the audits may be resolved.

The audit is planned, when possible, as closely as possible to the deadline for the completion of the foreseen corrective actions relative to the NCs, but in any case not more than 4 weeks after said deadline.

During the course of the audit the Lead Auditor will verify if the Corrective Actions that have been defined for resolving the NC have actually been implemented and are effective:

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- In the case of Category 1 (or Major) NCs, the entire process affected by such an NC will be reviewed.

The activity is documented by means of an Audit Report for the Closing of a Non-conformity. If the outcome of the audit is positive and the report contains the recommendation for issuing the certificate, it will be sent to the DNV Italy Technical Review Team.

If the Organisation wishes to also verify any Category 2 (or Minor) Non-conformities, the Lead Auditor can also analyse these.

Whenever a corrective action does not completely resolve a Category 1 Non-conformity that has been issued previously, said NC may be reclassified down to a Category 2 Non-conformity. In this case the maximum amount of time allowed for sending the Corrective Actions for completely closing the Non-conformity is 4 weeks; the closure is carried out during the subsequent periodic maintenance audit. The Lead Auditor, if the conditions recur, may request that an unscheduled audit be performed.

If the outcome of the audit is negative, the audit during which the Non-conformity was found must be repeated.

4.6 Issuing of the certificate

The Audit Team transmits the documentation to the DNV Technical Review Team upon successful completion of the audit activities. When the DNV Technical Review Team has approved the certification proposed by the Audit Team, the certification documents relative to the standard of reference and the field of application of the system are issued and sent to the Organisation.

The issuing of the certificate is dependent on the payment of the fees for the relative audit activities performed.

The validity of the certificate begins on the date of the positive evaluation on the part of the DNV Technical Review Team and is subject to periodic surveillance (every 6, 9 or 12 months) and the complete review of the system every three years.

The starting date for planning the Periodic Maintenance Audits is that of the last Initial Audit.

During the evaluation of the documentation received, the Technical Review Team may request clarification, changes or supplementary activities in order to fulfil the requisites set forth by the accreditation body.

4.7 Periodic Maintenance Audits

The purpose of periodic maintenance audits is to ensure the continued and compliant application of the system and the efficacious resolution of any Non-conformities or Observations found during the previous audits.

During each of the periodic maintenance audits, the system is generally subjected to a partial review, thus guaranteeing a complete evaluation over the three-year period.

The frequency of the periodic maintenance audits varies in function of the certification scheme and the certified system and is defined in the specific regulations governing the scheme that is applied.

The following considerations, however, apply to all schemes:

- a) The first periodic maintenance audit must be performed within 12 months of the Initial Audit (Stage 2);
- b) A periodic maintenance audit must be performed at least once a year.

Upon completion of the audit activities, the Organisation will receive a report that describes the audit results and any Non-conformities or Observations that have been found. Appropriate Corrective Actions must be defined for any Non-conformities and an audit for closing said non-conformities must be performed in the case of Major Non-conformities in order for the certificate to remain valid.

The performance of the periodic maintenance audits provided for in the plan is dependent on the condition that the Organisation has made payment for the relative preceding activities. Should this not be the case, DNV Italy reserves the right to interrupt the activities and provide for the suspension of the Certificate of Conformity.

The frequency of the periodic maintenance audits is established during the contractual phase, in accordance with that which is prescribed by the EA Guidelines (in relation to the number of personnel and sites of the company).

The surveillance of the certified system foresees the following:

- ♦ Re-certification audit (after **33 months from the date of certification**).
- ♦ 2 periodic maintenance audits (every **12 months** from the date of certification);
- ♦ 3 periodic maintenance audits (every **9 months** from the date of certification);
- ♦ 5 periodic maintenance audits (every **6 months** from the date of certification);

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If the Organisation expresses special needs, other frequency intervals for the surveillance may be taken into consideration. In any case, the decision regarding the typology of the surveillance to be applied is that of DNV Italy. DNV Italy reserves the right to apply a tolerance with respect to the official frequency of the surveillance audits. In any case, the number of audits to be conducted over the three-year validity period of the certificate must be observed. Any postponement of an audit date beyond the regulated terms must be made up, when possible, at the first or second subsequent audit.

The audits cover the elements of the system indicated in a specific "Periodic Audit Plan" sent by the Lead Auditor at least 3 days prior to the periodic maintenance audit.

N. B.: Independently of the typology of surveillance established, the time dedicated to the surveillance remains unchanged; if the frequency of the audits is reduced, then the amount of time dedicated to each individual audit activity will increase. The official deadline will be used when establishing the dates for the periodic maintenance audits and/or the Re-certification audit; in other words, any anticipation or delays that have occurred in the performance of the previous audit will not be taken into consideration.

4.8 Re-Certification audit

The Re-Certification audit takes place every three years, during the **33rd month** from the date of certification and its purpose is to verify the overall and continued effectiveness of the system in its totality. Said activity evaluates the performance of the system during the past period of certification and includes a review of the documentation and an on-site audit, equivalent to or more extensive than a periodic maintenance audit. It takes into consideration:

- The effective interaction and connection of all elements of the system;
- The overall effectiveness of the system in its totality, in light of the changes that have taken place;
- The demonstration of the commitment to maintaining the effectiveness of the system.

Upon completion of the audit, DNV Italy will give the Organisation an audit report that describes the audit results and any Non-conformities and/or Observations in detail.

Any Non-conformities must be resolved with appropriate Corrective Actions and, in the case of Major Non-conformities, an audit for closing said Non-conformities must be performed by the certificate expiration date so that the certificate may continue to be valid.

4.9 Periodic extension of the validity of the system certification

Prior to the Re-certification audit, DNV Italy confirms and notifies the Organisation about the conditions relative to the subsequent three-year certification. If changes in the Organisation (number of employees or sites) have taken place, the new technical aspects or financial conditions will be specified. Upon receipt of the acceptance of the proposal on the part of the Organisation, DNV Italy will proceed with the performance of the Re-certification audit.

The Re-certification audit is considered to be implicitly accepted unless the Organisation communicates otherwise in writing at least 3 months prior to the foreseen deadline.

The Re-certification audit has the characteristics that are specified in Section 4.8.

Independently of the scheme applied and the surveillance audits carried out, the Re-certification audit will be carried out according to the following modality:

- **every 33 months from the certification audit for all schemes (surveillance audits every 6, 9 or 12 months).**

N.B. The official deadline is used in the definition of the dates of the periodic maintenance audits and/or Re-certification audit; in other words, any anticipation or delays that have taken place in the previous audit will not be taken into consideration.

When situations involving non-conformity are found or there is a lack of evidence of conformity during the course of a certification renewal audit, DNV Italy will define the time limits for corrective actions and for implementing them prior to the expiration of the certification.

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4.10 Audits performed by Accreditation Bodies

The Organisation that is already certified or that is undergoing certification must give access to Audit Teams that have been charged by Accreditation Bodies (e.g. SINCERT (ACCREDIA), RvA, TGA, UKAS, SAAS, ISPRA,...) with assessing the auditing activities of the DNV Italy Audit Team in the field. This is in accordance with EA rules (European co-operation for Accreditation) under the MLA (Multilateral Recognition Arrangement).

The refusal on the part of the Organisation to grant access to the Audit Team charged by the Accreditation Body may lead to the withdrawal of the certificate.

4.11 Audits performed on supplier premises (outsourcing)

In order to verify the effectiveness of the Company Management System of the Organisation, DNV Italy reserves the right to perform audits on the premises of suppliers to the Organisation (within the sphere of the Initial Audit and/or Periodic Maintenance Audits) when some of the processes of the Organisation have been outsourced (Outsourcing).

Such audits are performed especially in cases where, in the judgment of the Lead Auditor, the influence of the supplier's products/processes on the conformity of the Organisation's products/processes is significant and the supplier is not certified by an Accredited Body in accordance with the standard of the Management System.

The supplier must grant access to all records/processes/notifications relative to the processes and products related to those processes and products of the Organisation that are certified by DNV in accordance with the standards of the Management System.

The refusal of the Organisation to permit an audit on the premises of its suppliers could lead to initiating the process for the suspension of the certificate.

4.12 Changes in the field of application of the certification

During the period of validity of the certification the Organisation may request changes in the field of application of the certificate (e.g.: change or extension of the products/services, change in the standard of reference, an increase, decrease or transfer of the manufacturing units covered under the certification). In these cases the Organisation must make a request in writing to DNV Italy which, on the basis of the information received, will evaluate if the changes require supplementary audits and necessitate the revision of the contractual terms and will consequently notify the Organization thereof. If the outcome of the audit activities is positive and the Technical Review Team gives its approval, the certificate of conformity will be reissued.

4.13 Unscheduled audits

DNV Italy reserves the right to perform unscheduled audits of the certified Organisation, giving minimum prior notice, for the purpose of verifying whether the certified system is applied and maintained in an adequate manner and that all the conditions for certification are fulfilled. Such audits are generally performed if DNV Italy has valid reasons for requesting them: e.g. complaints and information about the lack of fulfilment of the conditions for certification, improper use of the certification or the mark, etc.

In specific cases, the details regarding the audit itself will be agreed upon by the Organisation and DNV Italy. The fees normally applied for Unscheduled Audits are calculated in function of the time involved and the current hourly fee (excluding expenses).

5 CONVERSION OF CERTIFICATES

In the case of a request for the conversion of a Company Management System certification that has been issued by a Certification Body accredited under IAF (International Accreditation Forum), the certification scheme foresees the following:

1. Audit of the System Documentation

The following will be verified during the course of such a visit: the reasons motivating the request for conversion, the Audit Reports issued by the previous Certification Body to verify the reliability of the system that has been instituted, any complaints and actions undertaken in their regard, the documentation of the management system, the confirmation of the field of application of the certification, the validity and the status of the previous certificate with regard to the sites and the activities covered under the certification.

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2. Conversion audit

The conversion audit that is performed on the premises of the Organisation should preferably coincide with the first periodic maintenance audit and/or in accordance with the specific requests of the client, if possible.

The conversion audit must cover, assess and document the following:

- The state of the Organisation in relation to the certification audit cycle;
- The status of findings that are still open and their relative existing corrective actions;
- The efficacy of the corrective actions implemented with regard to Category 1 (Major) NCs that were identified in the report of the previous certification body;
- The status of the indicators for measuring processes;
- The status and effectiveness of internal audits;
- Critical processes that affect products/services;
- The adequacy of previous sampling with regard to multi-site clients;
- With regard to environmental/safety systems, the report must document the level of conformity relative to pertinent legal requisites that are in force.

Additionally, the Lead Auditor can extend the sampling of the audit to include other elements/requisites of the standard of reference that are important for assessing the effectiveness of the system based on the information gathered during the Document Review.

When audit activities have been successfully completed, the relative documentation will be transmitted to the DNV Italy Technical Review Team for subsequent evaluation and approval of the certification proposal.

The issue date of the certificate will be the date of approval, whereas the expiration date will be in line with that of the certificate issued by the previous Certification Body.

The certified system will therefore be subject to periodic maintenance audits and a Re-certification audit according to the modalities described in the corresponding section of the regulations.

In the case of a request for the conversion of system certification from a certificate issued (in general or in the product sector of the certificate) by a non-accredited Certification Body under the IAF (International Accreditation Forum), the scheme is applied in its entirety.

6 CHANGES IN THE CERTIFICATION SCHEME

If significant changes are made in the rules of the Certification Scheme and/or the standards of reference, DNV Italy will:

- inform the Organisations involved;
- take into consideration any comments made by the parties involved as related to the changes;
- specify the effective date on which the changes will go into force, agreeing upon a reasonable period of time for the certified companies to make adequate changes in their management systems.

The Organisation (certified or undergoing certification) has the right to cancel certification if it feels that it does not wish to adapt its system to the changes in the certification scheme and/or the standard of reference. This must be done within 60 days from the receipt of the notification of the change; otherwise it will be tacitly understood that the Organisations accepts the modified regulations. The regulations are made available on the Internet website at www.dnv.it.

The decision to cancel certification must be communicated to DNV Italy in writing.

7 COMPLAINTS

The certified Organisation must keep a record of all complaints received (relative to each product or service that is covered by the scope of certification) and the corrective actions implemented for the effective management of the same. It must also make said records available to DNV Italy upon request. Furthermore, if the certificate is covered in one of the schemes and/or sectors for which DNV Italy is accredited, said documents must be made available for any audits on the part of the authorized representative of the Accreditation Body.

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8 CONFIDENTIALITY

DNV Italy guarantees complete confidentiality with regard to the information that it receives and the evaluations expressed by its own personnel and by suppliers of its services.

Due to the nature of the work performed, DNV Italy and its personnel may become privy to technical and commercial information regarding the Organisation's products and/or services. DNV Italy employees and its suppliers of services are required to sign a confidentiality clause and must commit to not divulging to third parties any information gathered during audit activities, unless they have received prior written authorisation from the Organisation and unless provided for by the privacy and confidentiality laws in force.

9 SUSPENSION OF CERTIFICATION

In the case of serious and important issues, DNV Italy has the right to temporarily suspend the Certificate of Conformity, for example, in the cases in which the Organisation:

- does not send adequate Corrective Actions for Non-conformities in the amount of time provided for;
- does not apply adequate Corrective Actions for Non-conformities in the amount of time provided for;
- does not make payment for activities that have already been performed;
- does not observe the conditions that are explained in detail in the regulations of the applicable certifications;
- is unable to guarantee the regular performance of the foreseen audit activities;
- uses the Mark and/or Certificate of Conformity improperly;
- does not manage complaints in a correct manner;
- does not inform DNV Italy of important facts that may invalidate the effectiveness and the reliability of the certified system;
- does not inform DNV Italy of all existing legal proceedings, accidents and/or emergencies relative to the field of application of the certification;
- refuses or hinders audit activities;
- gives evidence that the Management System does not guarantee conformity to laws and legally binding regulations relative to the applied standard of certification;
- voluntarily requests the suspension of the certificate;
- does not consent to surveillance or certification renewal audits within the prescribed frequency;
- does not fulfil, in a persistent or serious manner, the certification requisites including those relative to the effectiveness of the management system.

If certification is suspended, DNV Italy will send an official suspension notice via registered post or by an equivalent means, indicating the amount of time available for rescinding the suspension and for making the suspension public. If certification is suspended, the certification of the management system of the Organisation is temporarily invalidated and the Organisation must refrain from publicizing and using its certification.

When DNV Italy verifies that the Organisation has effectively rectified the conditions that caused the suspension, the suspension will be rescinded and the Organisation will be informed; otherwise DNV Italy will provide for the Withdrawal/Annulment of the Certificate. If the certificate has been suspended, it will no longer appear on the Internet websites www.DNV.it and www.SINCERT.it and will be placed on these sites again only when it is reactivated.

10 WITHDRAWAL AND ANNULMENT OF THE CERTIFICATION

If the conditions which led to suspension are not rectified by the deadline indicated in the suspension notice, DNV Italy will provide for the withdrawal of the certificate. The Certificate can also be withdrawn without the application of the suspension phase for cases involving serious irregularities on the part of the Organisation. The certificate will be annulled/withdrawn if the Organisation does not plan to maintain certification and confirms this decision in writing.

The certificate will be annulled/withdrawn in the case of legal action.

The certificate will be annulled/withdrawn in the case of non-renewal of the certification at the end of the three-year period of validity.

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The Organisation will be officially notified of the annulment/withdrawal of the certificate via registered post or by other equivalent means. Starting from the date of the withdrawal letter, the Organisation must no longer use the certificate and any other documentation that attests to certification.

In the case of the annulment/withdrawal of the certificate, the Organisation must return the old certificates, the Regulations and User's Manual for the Certification Mark and the CD at its own expense.

If the certificate has been withdrawn, it will no longer appear on the Internet websites at www.DNV.it and www.SINCERT.it

11 MANAGEMENT OF COMPLAINTS, APPEALS AND LITIGATION

The Organisation has the right to make complaints or appeals in writing.

A complaint is the manifestation of the Organisation's dissatisfaction with respect to administrative and technical aspects of the activities performed by DNV Italy.

An appeal is the explicit manifestation and documentation of the refusal to accept the decisions made by DNV Italy in the sphere of the audit activities.

Litigation stems from the possible non-acceptance on the part of the Organisation of the decisions communicated with regard to an appeal.

An appeal must be addressed and sent to the management within 15 days from the date of DNV Italy's decision, making explicit reference to the fact an appeal is being made in accordance with this section of the regulations. DNV Italy will proceed with an investigation regarding the matter and will transmit a written answer to the Organisation with the results of the investigation and the relative decision within 30 days from the date of receiving the appeal.

Any litigation will be brought before a group of three arbitrators; two will be chosen by the two parties from among experts of the sector, while the third will be chosen by the first two arbitrators, or if they cannot reach an agreement, by the Court of Monza.

The expenses relative to subsequent investigations that are deemed necessary will be borne by the petitioner, unless the appeal is granted.

12 PUBLICATION

Currently valid Certificates are placed on the Internet website at www.DNV.it for publication.

SINCERT (ACCREDIA) also has a public website www.SINCERT.it, which is periodically updated and on which the Certificates can be seen.

13 CONCESSION AND USE OF THE MARK AND THE CERTIFICATE OF CONFORMITY

When the audit process has been successfully completed and the relative certificate has been issued, the Organisation is authorised to use the system certification mark and the certificate. The mark is the exclusive property DNV Italy and use without its explicit authorisation (which is given along with the letter of sending the certificate) is forbidden, as is the case when the certificate has been suspended and/or withdrawn, as per contractual provisions.

The Organisation must use the mark and/or the certificate in accordance with the requisites defined in the "Regulations and User's Manual for the DNV Italy System Certification Mark".

14 FINANCIAL CONDITIONS

The financial conditions relative to certification activities are established by DNV Italy in accordance with a policy that ensures that the services are performed in a manner that guarantees sufficient profit and the autonomy of DNV Italy in the performance of its activities and that permits continuous improvement and innovation, thereby creating competitive advantages for both its clients as well as for DNV Italy itself.

DNV Italy draws up and submits, to all Organisations that are interested in certification, an offer in function of the specific scheme chosen, that is complete with all information related to activities and that is based on the current pricing policy.

DNV Italy draws up and transmits, to all Organisations requesting a quote, an offer that is specific and complete with all of the information relative to the technical aspects and the financial conditions which are based on the following data: the number of company employees, the standard(s) of reference, the number of company sites, the geographical location of the manufacturing site(s), the number and characteristics of products and/or production

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processes, the principal safety and environmental aspects that are connected to the activities, requisites that are established by Accreditation Bodies and/or provided for in EA guidelines in terms of the minimum amount of time that can be dedicated to audit activities in function of the size of the Organisation.

The re-issues of the certificate of conformity subsequent to the first are always subject to a fee.

All prices quoted are subject to VAT.

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