

**Raad voor Accreditatie
(Dutch Accreditation Council
RvA)**

**Specific Accreditation
Protocol for Certification of
Asset Management Systems
in accordance with
ISO 55001**

Document code:

RvA-SAP-C023-UK

Version 1, 20-10-2017

A Specific Accreditation Protocol (SAP) describes the assessment service for a specific accreditation. It should be read in conjunction with the generic RvA regulations and policy documents. A current version of the SAP is available through the website of the RvA. (www.rva.nl).

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Introduction

This SAP should be read in conjunction with SAP-C000, only additional or deviating aspects compared to SAP-C000 have been listed in this SAP. This means that some paragraph numbers in this SAP are missing (if all relevant information is already contained in SAP C000).

1 Relevant documents

1.2 Additional standards

- ISO/IEC TS 17021-5 Conformity assessment — Requirements for bodies providing audit and certification of management systems. Part 5: Competence requirements for auditing and certification of asset management systems.

1.5 Documents related to the conformity assessments to be carried out

Certification bodies (CB's) certify against:

- ISO 55001, Asset management systems – Requirements
- For The Netherlands: ISO 55001 certification is also possible in accordance with the Certificatieschema voor NEN-ISO 55001:2014 Assetmanagement – Managementsystemen - Eisen (will be added to the 'BR010-lijst')

2 Scope of accreditation

The RvA will determine the scope of an accreditation in line with the categories and subcategories as indicated in Annex 1. The link with the codes from IAF ID1 is also indicated. The clustering in Annex 1 is a first attempt to cover all types of organisations implementing an Asset Management System. Not all organisations (or their specific asset management activities) may be clearly covered by this clustering. The CB is still required to determine whether or not these activities fall within their scope of accreditation and to ensure appropriate competence of their certification personnel. The clustering will be reviewed after the first experiences with Asset Management Systems Certification Schemes.

3 Accreditation assessments

3.2 The nature and content of the assessments

3.2.1 Initial assessments and extensions of scope

During the initial assessment, the implementation of policies and procedures will be assessed at the office(s) of the certification body. The content and extent of the assessment shall at least ensure the following:

- During the office assessment, the team samples the files of clients and personnel to cover the scope for which accreditation is sought. At least one client and one personnel competence file per subcategory requested shall be reviewed completely.
- The application of the IAF-MD documents shall be verified as applicable.

3.2.2 Surveillance and reassessments

The implementation of the ISO 55001 certification system shall be verified during each surveillance assessment of the RvA. The files reviewed (this includes personnel files and certification files) during the subsequent surveillances and the reassessment in a four years period (accreditation cycle) shall cover all the subcategories mentioned in Annex 1, for which the CB is accredited.

Due to the limited number of certificates currently issued (and the limited amount of experience with the scheme), the sample size is larger than for regular schemes. The total number of certification files to be reviewed for each assessment is based on the number of valid certificates under accreditation according to the table below (approximately 1/2 of the square root of the number of certificates with a maximum of 15 files):

Certificates	1	< 4	< 9	< 16	< 25	< 36	<49	< 64	etc.
Files to be reviewed	1	2	3	4	5	6	7	8	etc.

For each accreditation cycle (surveillances and reassessment), the number of witnesses will be determined based on the rules in paragraph 3.2.3.

3.2.3 Witnessing

General remarks

In addition to BR005 at least two weeks before the witnessing, the RvA team shall be provided with:

- a (summary) description of the most critical assets, managed by the organisation, together with a (summary) description of the various roles relevant for the asset management;
- the records of the CB's contract review for this organization (including qualification records for the auditors used);
- in case a surveillance or recertification audit is witnessed, a copy of the ISO 55001 certificate issued by the CB;
- the report of the CB's pre-assessment or stage 1 assessment of the organization's asset management system (or other latest report) and the audit plan (or the totality of documents, consistent with the requirements of ISO/IEC 17021-1, cl. 9.2.3.2).

Selection of witness audits

In line with IAF MD17, the IAF codes (see IAF ID1) have been merged into a series of categories and subcategories in Annex 1, taking into consideration the applicable regulations, the technicalities of the processes, and the competence needed by CB's audit team for asset management system certification.

The following rules for the selection of witnesses apply for the granting and extension of accreditation of asset management system certification to guarantee appropriate coverage of the applicant's scope:

- If a subcategory has only one IAF code, the RvA shall perform a witnessing activity in this code to grant accreditation for that subcategory.
- If a subcategory has more than one IAF code, the RvA shall perform at least one witnessing activity in one of the IAF codes in that subcategory (next to several document reviews during the office assessment, covering other IAF codes). With that assessment, the RvA can grant accreditation for the other IAF codes of that subcategory.

In the initial accreditation cycle (meaning from first surveillance to the first reassessment), the RvA shall perform at least one witnessing activity in each subcategory. This programme will continue until the CB has demonstrated sufficient experience and performance for an enhanced programme. Then the RvA shall perform at least one witnessing activity in each subcategory, during two successive accreditation cycles. This shall be complemented by other assessment activities to guarantee that each subcategory is assessed during each cycle. The RvA shall justify the reduction of the witnessing programme. Normally, the witnessing frequency established for a first cycle will be reinstated if significant changes occur in the CB's auditor qualification process, auditing practices or audit results and in audit personnel.

4 Specific issues for the RvA assessment

For the Dutch NEN Scheme, the RvA shall in particular focus on the following issues during the assessment of CB's for ISO 55001 certification:

- application of the NEN certification scheme, e.g.:
 - calculation of audit time for audits (documented rationale for determination of complexity);
 - traceability of assessment of themes (report);
- management of competence as explained in ISO/IEC 17021-5, and IAF MD10.

5 Other information

In case accreditation for asset management system certification in line with the NEN scheme is granted, suspended or withdrawn, NEN shall be notified.

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6 Changes to the previous version

Not applicable, this is the first version of this Specific Accreditation Protocol.

Annex 1: Scope categories and links to IAF ID1

RvA Category	Subcategory, i.e. when the certification scope includes management of assets such as:	IAF ID1 code	NACE code (rev. 2)	Description
Physical Assets	(Public) Infrastructure such as roads, rail, shores, tunnels, dikes, bridges, harbours, etc.	36 part	84	Public administration and defence
		28	41 – 43	Construction
	Infrastructural utility networks for electricity, gas, water, telecommunication	25	35.1	Electricity supply
		26	35.2	Gas supply
		27	35.3, 36	Water supply
		31 part	61	Telecommunication
		36 part	84	Public administration
	Installations: part of the production process	2	05, 06, 07, 08, 09	Mining and quarrying
		3	10, 11, 12	Food products, beverages and tobacco
		4	13, 14	Textile and textile products
		5	15	Leather and leather products
		6	16	Wood and wood products
		7	17	Pulp, paper and paper products
		8	58.1, 59.2	Publishing companies
		9	18	Printing companies
		10	19	Manufacture of coke and refined petroleum products
		11	24.46	Processing of nuclear fuel (including processing of radioactive materials and handling radio-active waste)
		12	20	Chemicals, chemical products and fibres
		13	21	Pharmaceuticals
		14	22	Rubber and plastic products
		15	23 (except 23.5, 23.6)	Non-metallic mineral products
		16	23.5, 23.6	Concrete, cement, lime, plaster etc.
	17	24 except 24.46, 25 except 25.4, 33.11	Basic metals and metal products	
	18	25.4, 28, 30.4, 33.12, 33.2	Machinery and equipment	
	19	26, 27, 33.13, 33.14, 95.1	Electrical and optical equipment	
	20	30.1, 33.15	Shipbuilding	
	21	30.3, 33.16	Aerospace	

RvA Category	Subcategory, i.e. when the certification scope includes management of assets such as:	IAF ID1 code	NACE code (rev. 2)	Description
		22	29, 30.2, 30.9, 33.17	Other transport equipment
		23	31, 32, 33.19	Manufacturing n.e.c.
		24	38.3	Recycling
		39 part	37, 38.1, 38.2, 39	Sewage and refuse disposal and sanitation
	Buildings	28	41 – 43	Construction
		29	45, 46, 47, 95.2	Wholesale and retail trade
		30	55, 56	Hotels and restaurants
		31 part	52	Storage
		32	64, 65, 66, 68, 77	Financial intermediation; Real estate; Renting
		34	71, 72, 74 except 74.2 and 74.3	Engineering services
		35	69, 70, 73, 74.2, 74.3, 78, 80, 81, 82	Professional services
		36 part	84	Public administration
		37	85	Education
		38	75, 86, 87, 88	Health and social work
		39 part	59.1, 60, 63.9, 92, 93, 94, 95, 96, 97, 98	Other Social activities
	Means of Transport	-	99	Extraterritorial organisations and bodies
1		03.1	Fishing	
28		41 - 43	Construction	
31 part		49, 50, 51, 53	Transportation	
IT Assets	Includes hardware and software	33	58.2, 62, 63.1	Information technology
Livestock	Plants	1 part	01.1, 01.2, 01.3, 01.5, 02	Agriculture & Forestry
	Animals	1 part	01.4, 03.2	Animal production, Aquaculture
		39 part	91.04	Botanical and zoological gardens and nature reserves
Cultural Heritage	Historical Buildings/Sites	36 part	84	Public Administration
	Artifacts/goods	39 part	91.01, 91.02	Museums
	Buildings/areas	39 part	91.03	Private operators of historical sites, buildings and similar visitor attractions