

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

**Specific Accreditation  
Protocol for Certification of  
Energy Management  
Systems (ISO 50001)**

Document code:

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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 from the website of the RvA. ([www.rva.nl](http://www.rva.nl)).

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## INTRODUCTION

This SAP should be read in conjunction with SAP-C000. This SAP only mentions additional or deviating aspects. This means that paragraph numbers in this SAP are missing if the information is already included in SAP C000.

### 1 Relevant documents

#### 1.1 Standard used for accreditation

- EN ISO/IEC 17021-1, Conformity assessment - Requirements for bodies providing audit and certification of management systems - Part 1: Requirements

#### 1.2 Additional standards

- EN ISO 50001; Energy management systems - Requirements with guidance for use
- ISO 50003, Energy management systems - Requirements for bodies providing audit and certification of energy management systems

Additional to EN ISO/IEC 17021-1, ISO 50003 has been applicable from October 15, 2017 onwards. It is noted that ISO 50003 refers to 'ISO 17021:2011'; this shall be read as 'ISO/IEC 17021-1'.

IAF Resolution 2017-14 states that "The General Assembly, acting on the recommendation of the Technical Committee, resolved that the Transitional Arrangement for the Revision of ISO 50001:2011 Energy Management Systems – Requirements with guidance for use, be three years from the date of publication of the revised standard. All ISO 50001:2011 certifications shall expire or be withdrawn at the end of the transition period. Within this transition timeline:

- ABs shall be ready to carry out transition assessments for ISO 50001:2018 within 6 months from the date of publication of the revised standard;
- CABs shall complete the transition with ABs for ISO 50001:2018 within 18 months from the date of publication of the revised standard;
- CABs shall cease conducting audits, including initial, surveillance and recertification to the ISO 50001:2011 18 months from the date of publication of the revised standard. The outcomes of such audits to the revision of ISO 50001:2011 shall be considered by the CAB for further decision on accredited certifications to ISO 50001:2011 as deemed appropriate.

Since ISO 50001:2018 was published in August 2018, the transition deadlines translate as follows: within 6 months is by February 2019, within 18 months is by February 2020.

Thus, RvA has started assessing the readiness of the CABs for the new standard early 2019. The CABs should have completed their readiness by February 2020 and should not perform any audits against the 2011 version after that date, noting that in case of "failed" audits against the new version, the CAB should still be able to take an informed decision with respect to ISO 50001:2011 version.

### 1.3 Additional documents

With respect to the application of IAF MD11, it is noted that ISO 14001 and ISO 50001 have a larger overlap than the combinations of standards foreseen in the IAF guidance document. It could even be argued that an energy management system (EnMS) often is a subset of an environmental management system (EMS), with extra attention for the energy inventory, an energy efficiency plan and subsequent monitoring thereof. Thus, with respect to the allocation of audit time, the maximum reduction that may be applied can be higher than the guidance of IAF MD11. The CB should develop a policy for these combinations and should be able to demonstrate that all requirements of both standards have been audited. It is expected that the maximum reduction applied to the audit time for the Energy Management System should not be more than 50% of audit time to be applied for an EnMS on its own.

### 1.5 Documents related to the conformity assessment to be carried out

Certification bodies certify against:

- ISO 50001; Energy management systems – Requirements with guidance for use.

## 2 Scope of accreditation

The scope of accreditation will include a reference to ISO 50003 and will mention the technical areas as referenced in ISO 50003, table 2 with a reference to the IAF ID1 and NACE 2 codes (see [annex 1](#), under reference to IAF Resolution 2016-23).

#### Transition of the accreditation scope to new format:

At the first regular assessment, the RvA assessor appointed for the EnMS scheme shall prepare a proposal for an administrative change from the old scope to the new one in line with [annex 1](#), provided that the CAB is not requesting any new codes. In the latter case, an additional scope extension assessment has to be planned.

## 3 Accreditation assessments

### 3.2 Nature and contents of the assessments

#### 3.2.1 Initial assessments

It is expected that most of the CB's that apply for accreditation of their EnMS certification scheme, already hold an accreditation for their EMS certification scheme. In that case, the initial assessment for this scheme shall include an office assessment and one or more witness assessments.

The office assessment shall focus on the following topics:

- work instructions and guidance documents for EnMS;
- competence requirements for EnMS;
- the availability and qualification process of competent personnel;

- at least 1 certification and 1 auditor competence file per IAF sector requested shall be reviewed completely, unless more than 10 IAF sectors have been requested, in which case sectors may be omitted in the sample.

For the selection of audits to be witnessed the following rules apply:

1. The RvA will select witness assessment per cluster (ref. IAF Resolution 2016-23); when more than 3 clusters have been requested within the scope, witness assessments in the less complex clusters (e.g. 1, 3 or 5) may be omitted;
2. At least 1 of the audits should include both a stage 1 and a stage 2 audit. If for scheduling reasons it is not possible to perform these with the same client, the RvA may consider to perform these at separate clients. The auditee for the audit which will be observed should, in the opinion of RvA, be a reasonable representative for the requested scope of accreditation.

When the accreditation for the EnMS certification has not been preceded by an accreditation for EMS, a full initial assessment against all requirements of ISO/IEC 17021-1 will be performed (document review, office and witness assessments); see RvA-BR002.

### 3.2.2 *Surveillance and reassessments*

The implementation of the certification system will be verified during the first surveillance assessment of the RvA. Subsequent surveillances may look at EnMS certification only every other year (as long as the number of certificates is less than 100). The files reviewed during the subsequent surveillances and the reassessment in the four years accreditation cycle shall cover all the clusters mentioned in [annex 1](#) for which the CB is accredited.

### 3.2.3 *Scope extension*

The assessment by the RvA in case of an application for an additional scope sector (application with RvA-F105) consists of one or more of the following assessment methods:

- a review of documents and records;
- a visit to the office of the CB, to verify documents and records and to interview relevant staff;
- a witness assessment.

At least the defined requirements for competence in that sector, records of the qualification process of auditors for that sector, and a complete certification dossier in that sector will be verified in a scope extension assessment. The strategy for the assessment depends on the sector and the already accredited scope. In case accreditation is requested in a IAF ID1 code in a new cluster, a witnessed is obligatory. In case of deviation from this rule, the justification should be documented.

### 3.2.4 *General remarks on witnessing*

At least two weeks before the witnessing the RvA team shall be provided with:

- the manual describing the energy management system of the organization to be audited, or an extended description of the organization (specifying its activities, structure, top level procedures and boundaries of the EnMS);

- the output (records/procedures) of the organization to be audited related to their determination of significant energy impacts of the organisation and the energy efficiency plan for the upcoming period.

#### **4 Specific issues for the RvA assessment**

During office assessments, the RvA shall in particular focus on the following issues (mainly related to ISO 50003 aspects):

- avoidance of conflict of interest with ISO 50002 energy audits;
- confirming scope *and boundaries*;
- calculation (and recorded justification) of man days for audits, including multi-site sampling.
- management of competence;
- reporting (including documenting audit evidence, demonstrating implementation of ISO 50003, cl. 5.7, 5.8 and 5.9.

During witness audits, the RvA will focus on the CB's audit in line with 5.5, 5.7, 5.8 and 5.9 and it's conclusions on actual energy performance improvements.

#### **5 Changes with regard to the previous version**

Compared to version 3 of October 2018, the following significant changes have been made:

- updated transition to ISO 50001:2018

## Annex 1: Scope clusters

This table shows the RvA clusters as referred to in chapters 2 and 3 (ISO 50003 technical areas), and relates these to codes used in IAF ID1 and NACE 2.

RvA Cluster	50003 Technical Area	Includes:		Description of codes
		IAF ID1 codes	NACE 2 codes	
1	Industry – light to medium	3	10, 11, 12	Food products, beverages and tobacco
		4	13, 14	Textiles and textile products
		5	15	Leather and leather products
		6	16	Wood and wood products
		7	17.2	Paper products
		8	58.1, 59.2	Publishing companies
		9	18	Printing companies
		14	22	Rubber and plastic products
		17	25 except 25.4, 33.11 25.4, 28, 30.4, 33.12,	Fabricated metal products
		18	33.2 26, 27, 33.13, 33.14,	Light machinery and equipment
		19	95.1 31, 32, 33.19	Electrical and optical equipment (small and medium sized)
		23	38.3	Manufacturing not elsewhere classified
		24	36	Recycling
		27	41, 42, 43	Water collection, treatment and supply
		28	95.2	Construction (small and medium sized contracting)
		29	55, 56	Repair of motor vehicles, motorcycles and personal and household goods
		30	52, 61	Hotels and restaurants
		31		Storage and communication
		2	Industry – heavy	7
10	19			Manufacture of coke and refined petroleum products
11	24.46			Nuclear fuel
12	20			Chemicals, chemical products and fibres
13	21			Pharmaceuticals
15	23 (except 23.5, 23.6) 23.5, 23.6			Non-metallic mineral products
16	24 except 24.46,			Concrete, cement, lime, plaster etc.
17	25.4, 28, 30.4, 33.12,			Basic metals
18	33.2 26, 27, 33.13, 33.14,			Industrial machinery
19	95.1 30.1, 33.15			Electrical and optical equipment (large)
20	30.3, 33.16			Ship building
21	29, 30.2, 30.9, 33.17			Aerospace
22	41, 42, 43			Other transport equipment
28		Construction (large contractors)		

RvA Cluster	50003 Technical Area	Includes:		Description of codes
		IAF ID1 codes	NACE 2 codes	
3	Buildings	29	46.1	Wholesale on a fee or contract basis (agents) Financial intermediation; real estate; renting Information technology Engineering services  Other services  Public administration services Educational services Health and social work  Other social services
		32	64, 65, 66, 68, 77	
		33	58.2, 62, 63.1	
		34	71, 72, 74 except 74.2 and 74.3	
		35	69, 70, 73, 74.2, 74.3, 78, 80, 81, 82	
		36	84	
		37	85	
		38	75, 86 (except 86.1), 87, 88	
		39	37, 38.1, 38.2, 39, 59.1, 60, 63.9, 79, 90, 91, 92, 93, 94, 96	
4	Building complexes	36	84	Military/governmental complexes Municipalities Educational complexes Hospitals
		36	84	
		37	85	
		38	86.1	
5	Transport	1	03	Fishing Wholesale and retail trade  Transport
		29	45, 46 (minus 46.1), 47	
		31	49, 50, 51, 53	
6	Mining	2	05, 06, 07, 08, 09	Mining and quarrying
7	Agriculture	1	01, 02	Agriculture, forestry
8	Energy Supply	25	35.1	Electricity Supply Gas Supply Steam and air conditioning supply
		26	35.2	
		27	35.3	

It is noted that some IAF codes and NACE codes occur in more than one technical area (TA) as described by ISO 50003, e.g. IAF ID1 code 18 occurs in the TA “industry – light to medium” and in the TA “Industry – heavy”. The description should then clarify to which group an individual organisation belongs (based on size and complexity). The same goes e.g. for IAF ID1 code 36, which occurs in TA “Buildings”, when only the administrative functions are included, but in TA “Building complexes” when a municipality, with for instance responsibilities for energy production and/or distribution etc. are included.