Raad voor Accreditatie (Dutch Accreditation Council RvA)

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

Document code: | RvA-SAP-C015-UK

Version 4.1, 13-04-2022

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).

Content

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 and documents
- ISO 50003, Energy management systems - Requirements for bodies providing audit and certification of energy management systems
- IAF MD24 Transition requirements for ISO 50003:2021

For the past period, ISO 50003:2014 has been applicable. However, ISO 50003:2021 was published in May of 2021. IAF has issued a transition policy (IAF MD24). Following this policy, the RvA will perform all assessments for EnMS accreditations from the first of March 2022, using the requirements of ISO 50003:2021. The CAB should have performed a GAP analysis, that will be reviewed at this occasion. Before November 2023 (end of the transition period), all accredited CAB's should have achieved compliance with these additional requirements, or the accreditation for this scheme may be withdrawn. One exception is noted to this requirement: since ISO 50003:2021 has some changes in the requirements for time allocation, it is accepted that these changes are introduced at the first re-certification after the accreditation to the new version has been achieved (this could be after the final date of the transition period).

With respect to the application of IAF MD11 (Application of ISO/IEC 17021 for Audits of Integrated Management Systems), it is noted that ISO 14001 and ISO 50001 have a larger overlap than the combinations of standards foreseen in the IAF 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 annex 1 with a reference to the IAF ID1 and NACE 2 codes.

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 and re-assessment may look at EnMS certification only every other year. When the number of certificates is more than 100, the EnMS certification scheme shall be assessed annually. 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;
- an office-assessment 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 witness 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. 9 and the relevant annexes.

During witness audits, the RvA will focus on the CB's audit in line with cl. 9 and its' conclusions on actual energy performance improvements.

5 Changes with regard to the previous version

Compared to version 4 of January 2020, the following significant changes have been made:

- updated transition to ISO 50003:2021

Annex 1: Scope clusters

This table shows the RvA clusters as referred to in chapters 2 and 3 (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	Fabricated metal products
		18	25.4, 28, 30.4, 33.12, 33.2	Light machinery and equipment
		19	26, 27, 33.13, 33.14, 95.1	Electrical and optical equipment (small and medium sized)
		23	31, 32, 33.19	Manufacturing not elsewhere classified
		24	38.3	Recycling
		27	36	Water collection, treatment and supply
		28	41, 42, 43	Construction (small and medium sized contracting)
		29	95.2	Repair of motor vehicles, motorcycles and personal and household goods
		30	55, 56	Hotels and restaurants
		31	52, 61	Storage and communication
2	Industry – heavy	7	17.1	Pulp and paper mills
		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)	Non-metallic mineral products
		16	23.5, 23.6	Concrete, cement, lime, plaster etc.
		17	24 except 24.46,	Basic metals
		18	25.4, 28, 30.4, 33.12, 33.2	Industrial machinery
		19	26, 27, 33.13, 33.14, 95.1	Electrical and optical equipment (large)
		20	30.1, 33.15	Ship building
		21	30.3, 33.16	Aerospace
		22	29, 30.2, 30.9, 33.17	Other transport equipment
		28	41, 42, 43	Construction (large contractors)
3	Buildings	29	46.1	Wholesale on a fee or contract basis (agents)
		32	64, 65, 66, 68, 77	Financial intermediation; real estate; renting
		33	58.2, 62, 63.1	Information technology
		34	71, 72, 74 except 74.2 and 74.3	Engineering services
		35	69, 70, 73, 74.2, 74.3, 78, 80, 81, 82	Other services
		36	84	Public administration services
		37	85	Educational services
		38	75, 86 (except 86.1), 87, 88	Health and social work
		39	37, 38.1, 38.2, 39, 59.1, 60, 63.9, 79, 90, 91, 92, 93, 94, 96	Other social services

RvA Cluster	50003 Technical Area	Includes:		Description of codes
		IAF ID1 codes	NACE 2 codes	
4	Building complexes	36	84	Military/governmental complexes
		36	84	Municipalities
		37	85	Educational complexes
		38	86.1	Hospitals
5	Transport	1	03	Fishing
		29	45, 46 (minus 46.1), 47	Wholesale and retail trade
		31	49, 50, 51, 53	Transport
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
		26	35.2	Gas Supply
		27	35.3	Steam and air conditioning supply

It is noted that some IAF codes and NACE codes occur in more than one technical area (TA), 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.