Dutch Accreditation Council (RvA)

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

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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).

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Introduction

This ASR should be read in conjunction with ASR103, only additional or deviating aspects compared to ASR103 are mentioned in this ASR. This means that some paragraph numbers in this ASR may be missing (if all information is already contained in ASR103).

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 documents (mandatory)

- ISO 50003; Energy management systems - Requirements for bodies providing audit and certification of energy management systems.

1.4 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

Specifically for the accreditation described in this SAP, the scope is formulated as follows:

Standard / Normative document	Certification scheme
ISO 50001	Energy management systems according to ISO 50001, for the scopes: (reference to IAF-codes and NACE rev. 2 where relevant): *[The addition of a table with the applicable RvA cluster, technical area, IAF-code and NACE-code as presented in Annex 1]* Accreditation granted in accordance with ISO 50003.

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

3.1 Documents to be provided

For the purpose of RvA assessments, assessors shall be provided with relevant documents as specified in Annex A of ASR103.

In case of witnessing the certification audit of energy management systems, assessors shall be provided additionally with the following documents;

Documents to be provided	Witnessing
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);	√
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.	√

3.2 Nature and content of the assessments

In addition to the general rules for the nature and content of the RvA assessments as laid down in RvA-BR001, the rules from the table below apply to this specific accreditation.

The nature and content of the assessments depend on the requested scope of accreditation, any pre-existing accreditation, the past performance of the organization (if applicable) and risks.

Method of assessment	Initial assessment	Regular assessment in the cycle [1][2]	Scope extension [3][4]
Pre-assessment	√		If applicable
Document assessment			If applicable
Office assessment	√ (customer)files: At least 1 file per IAF-code + Competence files: at least 1 competence file per IAF-code For more than 10 IAF-codes different sampling, see 3.2.1.	√ Annual (when the number of certificates is more than 100) or Every other year (with exception of the first surveillance assessment after the initial assessment) During the accreditation cycle: At least 1 (customer)file and 1 competence file for each technical cluster (see annex 1).	√ (customer)files: At least 1 file per IAF-code + Competence files: at least 1 competence file per IAF-code For more than 10 IAF-codes different sampling, see 3.2.1. For topics during the assessment, see 3.2.2.
Witnessing of activities [5]	√ At least 1 witness assessment per cluster At least 1 of the witnessed audits shall include a stage 1 and 2 audit. When more than 3 clusters are requested, less complex clusters (1, 3 or 5) may be omitted.	During the accreditation cycle: At least 1 witness assessment per cluster	√ Only applicable when an IAF-code is requested in a cluster the CB isn't already accredited for (see annex 1) At least 1 witness assessment per cluster At least 1 of the witnessed audits shall include a stage 1 and 2 audit. When more than 3 clusters are requested, less complex clusters (1, 3 or 5) may be omitted.

(1) A(n) (accreditation) cycle covers a period of four years, starting after a decision on an initial assessment or reassessment has been taken; the cycle therefore includes surveillance assessments and reassessments during this period.

(2) If agreements have been made with a scheme owner or public supervisor about the frequency and/or scope of the assessment, a less intensive assessment program can only be granted if there has been coordination with that party.

(3) Based on the application, the RvA will determine how the assessments of the extension will be carried out.

(4) In principle, a full activity is witnessed, unless the objectives for the assessment activity can also be achieved with partial witnessing.

3.2.1 Different sample files for more than ten requested IAF codes - initial and extension

When more than 10 IAF sectors have been requested, sectors may be omitted in the sample. This is to be determined by the lead assessor, who should apply the following guidelines.

- Files from each of the clusters (see annex 1) should have been assessed (i.e. the sample should be representative for the scope requested).
- Only the less complex sectors should be omitted (i.e. not the critical codes, as identified in the table of annex 1).

- Sectors that are included in the program for witnessing may be excluded.
- In total, more than ten certification dossiers shall be assessed.

3.2.2 Content of the office assessment in case of a scope extension, when the CB already has accreditation for EMS

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.

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

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 (also see explanatory note concerning calculation of man days below).
- 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.

Concerning the calculation of man days for audits, it is noted that ISO 14001 and ISO 50001 have a larger overlap than the combinations of standards foreseen in IAF MD 11 (Application of ISO/IEC 17021 for Audits of Integrated Management Systems. 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.

5 Changes with regard to the previous version

Compared to version 4.1 of April 2022, the following significant changes have been made:

- Processing changes from the SAP template;
- References made to new ASR documents and RvA-BR001;
- Removing explanatory note about the transition to ISO 50003:2021;
- Adding explanatory note about approach when more than 10 IAF-codes are requested in an initial assessment of scope extension, in line with other SAPs where IAF-codes are applicable.

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.

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.

RvA Cluster	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

RvA Cluster	Technical Area	Includes:		Description of codes
		IAF ID1 codes	NACE 2 codes	
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
4	Building complexes	36	84	Military/governmental complexes
		36	84	Municipalities
		37	85	Educational complexes
		38	86.1	Hospitals

RvA Cluster	Technical Area	Includes:		Description of codes
		IAF ID1 codes	NACE 2 codes	
5	Transport	1 29 31	03 45, 46 (except 46.1), 47 49, 50, 51, 53	Fishing Wholesale and retail trade Transport
6	Mining	2	05, 06, 07, 08, 09	Mining and quarrying
7	Agriculture	1	01, 02	Agriculture, forestry
8	Energy Supply	25 26 27	35.1 35.2 35.3	Electricity Supply Gas Supply Steam and air conditioning supply