




# Rules for EMS Certification of Energy Management Systems

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## 1. GENERAL

These Rules define the additional procedures and/or substitute, applied by QS Quality Services Ltd for the Certification of Energy Management Systems in relation to what is already defined in the QS Quality Services Ltd General Rules for the Certification of Management Systems.

QS Quality Services Ltd issues certification in accordance with the requirements of Standard ISO/IEC 17021-1:2015 and ISO 50003:2021 and applicative IAF to organisations whose Management System has been recognised as fully conforming to all the requirements of the standard: ISO 50001: 2018.

Energy management systems enable an organization to follow a systematic approach in achieving continual improvement of energy performance, including energy efficiency, energy use and energy consumption.

The cost of certification activity is proportional to the number of audit -days (m/d) necessary to the evaluation of the Energy Management Systems and to the level of complexity/criticality of it in reference to the Annex A of standard ISO 50003:2021.

### **1.1 Terms and definitions (in addition to point 3.1 of QS Manual)**

- **central function** function that is responsible for and controls the EnMS of a multi-site organization

Nota 1: The central function is not necessarily operating from the headquarters or a single site.

Nota 2: The authority of the central function is derived from top management. The central function has authority over every site regarding the EnMS.

- **EnMS effective personnel**: personnel who materially contribute to the effectiveness of the EnMS or impact energy performance Nota 1: EnMS effective personnel is not necessarily the total number of employees (headcount). Nota 2: The EnMS effective personnel number is a factor used to determine the audit time

- **EnMS improvement**: improvement in effectiveness of management system

- **Energy performance** measurable result(s) related to energy efficiency, energy use and energy consumption

- **Energy performance indicator EnPI** measure or unit of energy performance as defined by the organization. EnPI can be expressed by using a simple metric, ratio, or a model, depending on the nature of the activities being measured, see ISO 50006 additional information on EnPI

- **Energy performance improvement**: improvement in measurable results related to energy efficiency, energy use, or energy consumption compared to energy baseline

- **Interested parties** person or organization that can affect, be affected by, or perceive itself to be affected by a decision or activity

- **Site**: location with boundaries within energy source(s), energy use(s) and energy performance are under the control of the organization

For other Terms, please consult Terms and definition (point 3) of standard ISO 50001:2018

## 2. REFERENCE STANDARD/REQUIREMENTS FOR CERTIFICATION

In addition to what established at QS Quality Services Ltd General Rules, to obtain QS Quality Services certification, an Energy Management Systems shall initially and over time satisfy the requirements of ISO 50001: 2018/amd 1: 2024 and the additional ones, if required, by the Accreditation Body

- ISO 50004:2020 Energy management systems - Guidance for the implementation, maintenance and improvement of an ISO 50001 energy management system

- ISO 50006:2023 Energy management systems - Evaluating energy performance using energy performance indicators and energy baselines

- ISO 50015:2014 Energy management systems - Measurement and verification of energy performance of organizations - General principles and guidance

## - ISO 50047:2016 Energy savings - Determination of energy savings in organizations

In order to get the Certification of Energy Management Systems, the company shall:

- have performed a preliminary analysis of the energy aspects, including:
  - energy consumption and past and present energy factors on the basis of measurements and other data;
  - identification of significant energy consumption areas, in particular of significant changes in energy use during the preceding period;
  - an estimate of energy consumption for the following period;
  - identification of all the people who work for the organisation or on its behalf, whose actions may lead to significant changes in energy consumption;
  - identification and definition of a scale of priorities related to opportunities to improve energy efficiency.
- have a ~~Manual~~ documented information which:
  - define context, interested parties and relative needs related to their own EnMS
  - define the scope and the boundaries of its Energy Management System (considering issues referred to context and interested parties) the organization shall ensure that it has the authority to control its energy efficiency, energy use and energy consumption within scope and boundaries. The organization shall not exclude an energy type within the scope and boundaries;
  - describe the main system elements and their interactions and contains or refers to the relative documented procedures;
  - take into consideration the requirements of the standard and gives a description, not necessarily detailed, of the resources and procedures used to ensure compliance with these requirements;
  - contain a suitable description of the organisation, management of risks and opportunity, energy review, energy targets
  - have established and maintained active and fully operative an Energy Management System in total conformity with the requirements of ISO 50001: 2018 Standard.

An Energy Management System is considered as being fully operative when:

- it has been applied for at least three months;
- the internal audit system has been fully implemented and its effectiveness can be demonstrated;
- at least one management review of the system has been performed out and documented;
- the significant energy aspects have been assessed and identified;
- the energy objectives and relative energy management programmes have been established and documented;
- the procedures and practice which contribute towards preventing situations which could lead to deviation from the energy policy and objectives have been defined, implemented and maintained active;
- the requirements for monitoring, measurement and identification of the objectives of the organisation's energy management programme have been described and documented
- an energy accounting plan has been defined, documented and implemented

Mandatory legislative requirements are:

- Limitations and/or provisions by law;
- Limits and/or rules given on authorizations or other prescriptive documents etc

### **3. CERTIFICATION APPLICATION**

In addition to what established at point 10.1 of QS Rules, the company shall fill in a specific application form for ISO 50001 certification together with the main application form. The company must provide the following information to QS:

- energy sources/types
- significant energy uses
- energy consumption
- number of EnMS effective personnel

determining EnMS effective personnel, the process shall start with the entire set of potential persons including all permanent, full-time, temporary and part-time personnel. Additionally, contractors or external service providers who either affect energy performance or affect energy performance improvement shall be considered

In addition to what established at point 10.1 at QS Quality Services Ltd General Rules, the organisation must inform to QS QUALITY SERVICES of any activities/sites, plants or parts thereof, excluded from the scope of application of the Energy Management System, for the purpose of checking the admissibility of such exclusions.

#### **4. INITIAL CERTIFICATION**

QS shall conduct the audit according ISO 17021 and ISO 50003:21 requirements.

Replacing with the corresponding point of 10.4 of QS Quality Services Ltd General Rules, together with or following the certification request, the organisation has to make the following documents available to QS Quality Services:

- final report of the preliminary analysis of the energy aspects, possibly including the layout of the site/s and the energy flow chart (energy vectors);
- energy management system manual (latest valid edition);
- list of internal procedures which are relevant in terms of energy management system implementation;
- list of mandatory and possibly also voluntary fulfilments underwritten, in the energy field, applicable to the organisation, by filling in the form “List of energy fulfilments” (attached to the offer) or providing equivalent documentation;
- copy of the Chamber of Commerce registration certificate or an equivalent document, certifying the existence of the organisation and describing the activity it performs;
- list of current operational yards, describing the activities performed there, if applicable;

QS Quality Services Ltd may ask, at its discretion, to examine other documents, apart from those previously mentioned, that are considered important to assess the Energy Management System.

QS Quality Services Ltd examines the above documents for conformity with the reference standard and with the requirements of these Rules.

The auditor shall confirm the suitability of the scope and boundaries at each audit. The scope of certification shall define the boundaries of the EnMS including activities, facilities, processes and decisions related to the EnMS. The scope may be entire organization with multi-site, a site within an organization, or a subset within a site such as building, facility or process. When defining the boundaries, an organization shall not exclude energy sources.

The outcome of this review is notified to the applicant by the transmission of a copy of the audit stage 1 report – document review (if performed at QS QUALITY SERVICES office); any findings in the documentation considered as critical must be solved by the organisation to the satisfaction of QS Quality Services Ltd, before to continue the certification process.

The above documentation is generally retained for archival use by QS Quality Services Ltd.

If the stage 1 audit is entirely performed on site, the outcome of the document review is, in any case, indicated in the stage 1 audit report – document review and will be given to the organisation “on site”.

In addition to what is stated at point 10.6 QS Quality Services Ltd General Rules, during the stage 1 audit, the following will be checked:

- a) that the organisation has documented the evaluation of the significant energy aspects and the reliability of this evaluation in relation to the type of organisation;
- b) that the organisation complies with the requirements of the mandatory legislation in the energy field and with any additional requirements, voluntarily subscribed to by the organisation, again in the energy field.

If the contents of the above letters a) and b) are not totally satisfied, please refer to the contents of point 10.8.

The audit is performed also on the basis of the Analysis of energy aspects document, in its updated version. During the audit (stage 2) of the site/s, the auditor shall collect and verify audit evidence related to energy performance, including at minimum:

- c) energy planning
- d) operational control
- e) monitoring measurement and analysis

furthermore will be performed assessment on the plants and interviews with the staff of the organisation involved in the Energy Management System.

As well as what is stated in point 10.8 QS Quality Services Ltd General Rules, non-conformity is also meant as a situation such as to reduce the capacity of the management system to ensure control of the significant energy aspects and/or compliance with legislation.

If the audits reveal findings connected with the non-observance of energy legislative requirements, the certification process, except in special cases, is suspended until the organisation has demonstrated it complies with these requirements.

During the Stage 2 the auditor shall determine whether or not energy performance improvement has been demonstrated prior to making a certification decision.

Temporary sites may be included within the scope of the EnMS certification and included on the certification documents. Inclusion on the certification documents is subject to agreement between the client and the certification body.

## **5. MAINTENANCE OF CERTIFICATION**

The purpose of surveillance audit is to review the necessary audit evidence to determine whether or not continual energy performance improvement has been demonstrated.

In surveillance audits, an organisation must demonstrate 'the implementation of actions for the improvement of energy performance'.

In addition to what is stated at point 10.10 of QS QUALITY SERVICES General Rules, the organisation must keep records of:

- energy aspects
- energy-saving opportunities
- processes ongoing with the energy and gas Authorities (AEEG) (for example: request for energy efficiency credits/white certificates (TEE) and must make them available to QS Quality Services Ltd

The organisation shall keep QS Quality Services Ltd informed about any observations/remarks from national or local Authorities related to the organisation's energy activities or of any situations of legislative non compliance, in the energy field, related to all the organisation's activities, regardless of the field of application of the Energy Management System and of the exclusion established by the organisation.

## **6. RECERTIFICATION AUDIT**

The purpose of the recertification audit is review the necessary audit evidence to determine whether or not continual energy performance improvement has been demonstrated prior to make a re-certification decision. The re-certification audit shall also take in to account any major change in

facilities, equipment, systems or processes. Confirmation of continual energy performance is required for granting recertification.

## **7. ELEGIBILITY FOR SPECIAL PROCEDURES FOR MULTI-SITE ORGANIZATIONS**

In addition to what established at point 11 of QS Quality Services Ltd General Rules, are applied the condition of ANNEX B of ISO 50003:2021; also the following activities are supposed to be managed by the organisation's head office:

**The multisite sampling is applicable just to the follow conditions:**

- a) The client organization shall have a single EnMS.
- b) The client organization shall identify its central function.
- c) The central function is part of the client organization and shall not be subcontracted to an external organization
- d) The central function shall have organizational authority to define, establish and maintain the single EnMS. The data appropriate for demonstrating energy performance is collected and can be analysed by the central function.
- e) The client organization's single EnMS shall be subject to a centralized management review.
- f) All sites shall be subject to the client organization's internal audit programme.

The central function shall be responsible for ensuring that data (energy and other) from all sites is collected and analysed. It shall be able to demonstrate its authority and ability to initiate organizational change as required in regard to, but not limited to, the data given in Tables B.1 and B.2.

An organization shall meet one or more of the following conditions to apply this annex:

- a) all sites are operated using similar activities or processes or SEUs;
- b) a certain number of sites can be organized into subsets that can be sampled where each site within the subset is operated using similar activities or processes or SEUs;
- c) several sites can be considered a single site if they are in close proximity to each other.

Where some of the sites under consideration have similar, but fewer, activities or processes than others, they can be eligible for inclusion under multi-site certification provided that the sites which perform the most energy intensive processes are subject to more frequent audits.

Site selection shall take into account the following criteria:

- a) results of internal site audits and management reviews or previous certification audits;
- b) significant variations in the size of the sites;
- c) variations in shift patterns and work process or procedures;
- d) complexity of the management system;
- e) processes conducted at different sites;
- f) modifications since the last certification audit;
- g) certification body's knowledge of the client organization;
- h) differences in language, and legal requirements and other requirements;
- i) geographical dispersion;
- j) complexity of energy types, energy consumption and SEUs;
- k) energy performance

The central function shall be audited during every initial certification and recertification audit and at least annually as a part of surveillance. The audit at the central function shall include a review of the energy performance from all the sites included in the entire organization certificate.

When nonconformities, as defined in ISO/IEC 17021-1:2015, are found at any individual site, either through the organization's internal auditing or from auditing by QS auditors, an investigation shall take place to determine whether the other sites can be affected.

Therefore, the client organization shall review the nonconformities to determine whether or not they indicate an overall system deficiency applicable to other sites. If they are found to do so, corrective action shall be taken and verified both at the central function and at the individual affected sites. If they are found not to do so, the client organization shall be able to demonstrate to the certification body the justification for limiting its follow-up corrective action. QS will confirm that the client analysed the cause and described the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time including determining whether the other sites have been affected. QS shall require the client organization to review the nonconformities to determine if corrections or corrective action needs to be applied to the other sites.

## **8. INFORMATION ON TRANSITION TO THE NEW STANDARD ISO 50001:2018**

~~The new ISO 50001:2018 has been issued on August 20th 2018, and to entry into force, following the IAF approach and ESYD instruction, has established a transitional period of 3 years from its publication.~~

~~The certifications issued in accordance with ISO 50001:2011, issued after the publication of the new standard, will automatically lose their validity after three years from that date.~~

~~This means that the validity of the certificates issued in compliance with the ISO 50001:2011 are not valid after the end of the transition period (August 19th, 2021), regardless of the actual expiry date that may be later. Therefore, the adoption of the new standard and the relative assessment of the effective implementation of the system should be carried out no later than 3 years after the publication of the new edition.~~

~~The man/days time of a migration audit will be at least 1 day (will be calculated from time to time based on the data and company realities/risks/consumptions/energy sources/activities etc) to be added to what is already indicated in the certification agreement concluded with QS~~

~~QS is under process of extending accreditation with respect to the new standard, it estimates that it can carry out audits in accordance with the new standard starting from 2020. QS will inform customers as soon as the accreditation process is completed~~

### **SUMMARY OF THE VALIDITY OF CERTIFICATIONS**

#### **NEW CERTIFICATIONS AND RENEWALS**

~~Until to 3 years from the publication of the new iso 50001:2018, new certifications and renewals issued for both editions of ISO 50001 will be valid, (ed. 2011 or 2018). The expiry date of the ISO 50001:2011 certifications issued during the transitional period of 3 years shall correspond to the end of this period on August 2018).~~

~~From August 2020 it will not be possible to issue new certifications or renewals in compliance with the ISO 50001:2011~~

#### **WITHDRAWAL OF CERTIFICATIONS**

~~After 3 years from the publication of the new ISO 50001:2018 certification issued in compliance with ISO 50001:2011 will cease to be valid and will be revoked at the same time.~~

Attention: According the new IAF communication because of pandemic covid19 crisis, the time to migrate to the new ISO 50001:2018 is postponed of 06 months, thus the customers has time till February 2022