



Rules for the certification of Energy Management Systems

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Technical rules

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CHAPTER 1 GENERAL

1.1

These Rules define the additional and/or substitutive procedures applied by RINA for the certification of Energy Management Systems (EnMS) in relation to what is already defined in the

General Rules for the Certification of Management Systems

1.2

RINA issues certification in accordance with the general requirements of the UNI CEI EN ISO/IEC 17021 and with the specific for EnMS requirements of the ISO 50003 international standards to Organisations whose Energy Management System has been recognised as fully conforming to all the requirements of the:

ISO 50001:2011 Standard.

CHAPTER 2 REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

2.1

To obtain the EnMS certification, as well as what is stated in point 2.2 of the General Rules for the certification of management systems, the Organisation should:

2.1.1 have performed an energy audit, 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 previous period;
- an energy consumption estimation 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;
- determination of the current energy performance of facilities, equipment, system and processes related to identified significant energy uses;
- identification and definition of a scale of priorities related to opportunities to improve energy efficiency.

2.1.2 have documented information that include:

- defined scope and boundaries;
- methodology for energy audit definition and assessment of the significance of energy use;
- reference scenario (baseline) of the Organisation's energy performance;

- energy performance indicators;
- action plans for improving energy performance;
- monitoring plan of the significant energy uses;
- main system elements and their interactions;
- a suitable description of the Organisation.

2.1.3 have established, maintained active and fully operative an Energy Management System in total conformity with the requirements of the ISO 50001:2011 international 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 system management review has been carried out and documented;
- the significant energy uses have been assessed and identified;
- the energy objectives and relative management programmes have been established and documented;
- the practice and procedures 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.
- it has been demonstrated an energy performance improvement, as defined in section 3.12 of the SO 50001 Standard.

CHAPTER 3 INITIAL CERTIFICATION

3.1

Organisations must provide RINA, by filling in all parts the specific "Informative Questionnaire" form available at www.rina.org, additional specific information for the scheme:

- the scope required for certification;
- any activities / sites, plants or parts thereof, excluded from the scope of the EnMS, in order to verifying the admissibility of such exclusions, knowing that the ISO 50003 international standard considers for the possibility to include in the boundaries the whole Organisation (both single-site to multi-site) or parts of it as long as energy vectors are not excluded from the defined boundary;
- total annual energy consumption [TJ];

- number and description of energy vectors in use;
- number of significant energy uses;
- EnMS number of employees, divided by function.

3.2

Instead of what is stated in point 3.4 of the General Rules for the Certification of Management Systems, together with or following the certification request, the Organisation is to make the following documents available to RINA:

- final report of the preliminary analysis of the energy uses, possibly including the site/s layout and the energy flow chart (energy vectors);
- energy management system manual (latest valid edition);
- organisation chart;
- 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;
- 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.

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

RINA examines the above documents for conformity with the reference standard and with the requirements of these Rules.

The outcome of this review is notified to the applicant with the despatch of a copy of the audit stage 1 report – document review (if performed at RINA); any non-conformities considered as critical found in the documentation must be eliminated by the Organisation to the satisfaction of RINA before the certification procedure can continue.

The documentation referred to above is normally kept by RINA for its archive.

If the stage 1 audit is performed entirely 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 together with the “on-site” stage 1 report.

3.3

As well as what is stated in point 3.5 of the General Rules for the Certification of Management Systems, during the stage 1 audit, the following will be checked:

- a) the correctness of the information submitted by the Organisation about total annual energy consumption [TJ], number of energy vectors in use, number of significant energy uses and number of EnMS effective personnel;
- b) that the Organisation has documented the evaluation of the significant energy uses and the reliability of this evaluation in relation to the type of Organisation;
- c) 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.

In case of differences between the data initially provided by the organization in the informative questionnaire and the homologous data verified during the stage 1 audit by the audit team, the total audit duration will be reviewed and eventually modified.

In case the audit duration, resulting from the new revision, is greater than the duration previously defined, specific communication to the customer will be given by e-mail to the client providing the correct and new audit duration, calculated according to the algorithms provided by the ISO 50003 Standard.

If the organization does not want to accept the new duration, the organization has to pay RINA for the Stage 1 audit as previously agreed, to provide adequate justification within 10 working days from the receiving communication and to accept the interruption of the certification process.

In absence of response from the Organization to the specific communication, it is tacitly accepted the new term, because based on data verified by the audit team and transparently presented and discussed during the final stage 1 audit meeting.

CHAPTER 4 MAINTENANCE OF CERTIFICATION

4.1

As well as what is stated in point 4.2 of the General Rules for the Certification of Management Systems, the Organisation must keep records of:

- energy uses,
- energy-saving opportunities,
- ongoing proceedings with the competent authorities (for example: request for energy efficiency credits/white certificates)

and must make them available to RINA.

The Organisation must keep RINA informed of 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 boundaries established by the Organisation.

CHAPTER 5 RECERTIFICATION

5.1

As well as what is stated in point 5.1 of the General Rules for the Certification of Management Systems, during the recertification audit it will be checked the correctness of the information submitted by the Organisation about total annual energy consumption [TJ], number of energy vectors in use, number of significant energy uses and number of EnMS effective personnel.

CHAPTER 6 PERFORMANCE OF AUDITS

6.1.

As well as what is stated in point 6.1.1 of the General Rules for the Certification of Management Systems:

- the audit is performed also on the basis of the Energy audit document, in the updated review;
- during the on-site inspection, checks on the plants and interviews with the Organisation's staff involved in the Energy Management System will also be made.

6.2

As well as what is stated in point 6.1.3 of the General Rules for the Certification of Management Systems, non-conformity also means a situation such as to reduce the capacity of the management system to ensure control of the significant energy uses and/or compliance with legislation.

CHAPTER 7 MANAGEMENT OF CERTIFICATES OF CONFORMITY

7.1

As well as what is stated in point 7.1 of the General Rules for the Certification of Management Systems, the Certificate clearly reports, among other things:

- any activities performed in / the site / s subject to certification that are excluded from the scope of the Energy Management System;
- presence of energy self-production (cogeneration, biogas production and exploitation, production of energy from biomass, solar or photovoltaic systems, etc.);

and it is recommended to report:

- presence of any production, design, transportation, maintenance, marketing, service, etc . activity;
- presence of any processes or systems particularly energy-intensive.

CHAPTER 8 SPECIAL PROCEDURES FOR MULTI-SITE ORGANISATIONS

8.1

As well as what is stated in point 9.1 of the General Rules for the Certification of Management Systems:

1. if an Organisation works on more permanent sites and single certificate is requested, the audit activities may be performed by sampling the sites subject to audit, as long as the processes related to the identification and evaluation of the uses and significant energy consumption is substantially homologous in all sites or are organised with similar methods;

2. The Organisation must also demonstrate that the central office ensures as energy requirements:
- harmonised and coherent energy planning processes;
 - harmonised and coherent criteria for the determination and correction of the baseline, relevant variables and energy performance indicators (EnPIs);
 - harmonised and coherent criteria to establish goals, targets and action plans;
 - centralised processes to assess the applicability and effectiveness of the action plans and EnPIs;
 - energy performance data centrally aggregated to show the level of the global energy performance of the Organisation.

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