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1. Purpose and effective date of this document

The purpose of this document is to supplement the **Certification of Management Systems Rules (RSSG)** of TÜV Italia srl (hereinafter TÜV Italia) for the certification of energy management systems.

2. Field of application

These rules apply to activities for the certification of energy management systems carried out under ACCREDIA accreditation and also without ACCREDIA accreditation.

The standards and regulations applicable to energy management systems are ISO 50001 and corresponding national standards and laws.

TÜV Italia applies these rules impartially and exactly same way, for all organisations utilising its certification services; in particular, no financial conditions or other undue conditions are ever imposed; access to the certification is not conditional on the size of the organisation or its membership of a particular associational group, nor on the number of previously certified organisations.

It does not prejudice the application of any other regulations on additional certification schemes for which the organisation may be certified by TÜV Italia and/or by other Certification Bodies.

3. Terms and definitions

The terminology used in these regulations corresponds to the following standards:

- **ISO 50001:2018** - "Energy management systems — Requirements with guidance for use"
- **UNI CEI EN ISO 50001:2018** - "Sistemi di gestione dell'energia - Requisiti e linee guida per l'uso";
- **ISO 50003:2021** - "Energy Management Systems – Requirements for bodies providing audit and certification of energy management systems".

In particular, the following definitions are recalled:

Organisation

Person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives.

(Note 1: The concept of organisation includes, but is not limited to, sole-trader, partnership, corporation, holding, public administration, public authority, charity or benevolent institution, or part or combination thereof, whether incorporated or not, public or private).

In these Rules, the term "organisation" will be used to indicate the company requesting certification of its energy management system from TÜV Italia.

Boundaries

Physical or organizational limits

Example: a process; a group of processes; a site; multiple sites under the control of an organization, or an entire organization.

(Note 1: The organisation defines the limits of its Energy Management System)

(Note 2: The organisation shall have authority to control energy efficiency, use and consumption within its scope and boundaries)

Interested party

Person or organisation that can affect, be affected by, or perceive themselves to be affected by a decision or activity.

For the definition of:

- Critical nonconformity/Major NC (**NCMa**)
- Minor nonconformity/Minor NC (**NCMi**)
- Comment (**COM**)

see the RGSG.

4. Responsibilities

These rules set out in detail the responsibilities that the organisation and TÜV Italia are required to fulfil during the contractual relationship relating to the certification activities.



5. Control of the rules

These rules are available to interested parties at www.tuvsud.com. Organisations may request a copy in printed format. The contents of section 5 of the RGSG will also apply.

6. Certification procedure

6.1 General information

The Rules define the specific and/or substitute procedures defined by TÜV Italia, to certify energy management systems in accordance with the contents of section 6.1 of the RGSG.

6.1.1 Certification of Energy Management Systems in accordance with ISO 50001:2018

TÜV Italia issues certifications in accordance with the requirements of ISO/IEC 17021-1:2015 and ISO 50003:2021, to Organisations whose management system has been recognised as conforming to all the requirements of ISO 50001:2018.

In addition to provisions in the RGSG, in order to be certified by TÜV Italia, an Energy Management System (EnMS) must initially and over time meet the requirements of ISO 50001.

Initial certification

In addition to the requirements of the RGSG, together with the document "TÜV ITALIA - Certification of Quality Management Systems - QUESTIONNAIRE" (form C01), the Organisation shall provide the document "TÜV ITALIA - Certification of Energy Management Systems - QUESTIONNAIRE" (form C01-SGE) filled in all its parts, attaching suitable documentation where necessary.

TÜV Italia will evaluate these documents to check compliance with the applicable laws and standards, and with the requirements of these Rules.

To obtain certification of its Energy Management System, the organisation shall have analysed energy aspects including at least the following:

- energy consumption and past and present energy factors based on measurement and other data;
- identification of areas of significant energy consumption, in particular significant changes in energy use during the previous period;
- an estimate of the expected energy consumption during the following period;
- identification of all persons working for or on behalf of the organisation whose actions may lead to significant changes in energy consumption;
- the determination of the current energy performance of structures, equipment, installations and processes related to significant energy use;
- identification and prioritisation of opportunities to improve energy efficiency.

The definition of "site" given in section 3 above under the heading "boundaries" and the attached Explanatory Notes shall be taken into consideration.

Multisite organisations

The organisation may manage activities that are performed in different geographical areas or on multiple sites, while being under the control of a single Energy Management System.

In this situation, TÜV Italia may issue a single certificate, but reserves the right to decide whether to verify each individual site or only sample some of them, in accordance with the methods described in a specific internal procedure, formulated on the basis of applicable requirements.

The eligibility requirements for sampling are as follows:

- The client organization shall have a single EnMS.
- The client organization shall identify its central function. The central function is part of the client organization and shall not be subcontracted to an external organization.
- 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.
- The client organization's single EnMS shall be subject to a centralized management review.
- 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 analyzed. 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 of ISO 50003:2021.

The definition of "site" given in section 3 above under the heading "boundaries" and the attached Explanatory Notes shall be taken into consideration.

Energy analysis

It is the responsibility of the organisation operating the Energy Management System to maintain as documented information the methods and criteria used to develop an energy analysis and to keep documented information on its results.

To develop the energy analysis, the organisation shall:

- a) analyse energy use and consumption on the basis of measurements and other data;
- b) identify Significant Energy Uses (SEU) based on this analysis;
- c) for each identified SEU:
 - 1) determine relevant variables
 - 2) determine current energy performance;
 - 3) identify the person(s) carrying out work under its control that influences or affects the SEUs;
- d) determine and prioritise opportunities to improve energy performance;
- e) estimate future energy consumption(s) and energy consumption.

The energy analysis shall be updated at defined intervals, as well as in response to major changes in energy-consuming structures, equipment, systems or processes.

Continual improvement

In order to obtain certification and subsequent renewals, it is the responsibility of the organisation managing the Energy Management System to demonstrate "the achievement of continual energy performance improvement"¹.

Consistent with this requirement, TÜV Italia will collect, during the planned audit activities, necessary evidence to determine whether the improvement in energy performance has been demonstrated.

6.2 Audit procedure and audit programme

The audit procedure is described in section 6.2 of the RGSG.

6.3 Start of the certification procedure

The contents of section 6.3 of the RGSG will apply.

6.4 Pre-audit

The contents of section 6.4 of the RGSG will apply.

6.5 Stage 1 audit (Initial review of documentation + initial audit)

The contents of section 6.5 of the RGSG will apply, with the clarification that the stage 1 audit is always conducted on the premises of the organisation.

When the audit activities start, the organisation must provide the audit team with the following:

- a copy of obligatory documentation (documented information, energy review);
- a copy of the internal audit plans, highlighting the progress and a summary of the results, showing any Nonconformities identified and the progress of any Corrective Actions;
- the list of Complaints received from interested parties, showing how they have been managed;
- a summary of the company's data on energy performance indicators;
- a copy of current improvement plans;
- a copy of the last Management Review;
- a copy of the document of registration with the Chamber of Commerce and/or a copy of the valid By-laws, for associations, cooperatives, etc.

Audit activities are described below:

¹ ISO 50003, §9.3.2, §9.4.8 e §9.5.4. Examples of how an organisation can demonstrate energy performance improvement are provided in Annex C of ISO 50003.



a) Initial review of Energy Management System documentation

EnMS documentation is usually verified at the Organisation's offices.

In general, EnMS documentation refers to the following:

- the manual (if any) with documented information (or equivalent documents);
- energy review;
- the list of applicable legal requirements together with documents confirming conformity to those requirements.

The purpose of documentation review is to check whether it is complete and meets all the requirements of the reference standard for the Energy Management System; the documentation must also be clear enough as to leave no doubt about its interpretation, and all its parts must be congruent.

b) Initial audit

The initial audit is compulsory and consists of an on-site visit at the site (or sites) of the organisation) and the purposes are indicated below.

At the time of the audit, the Energy Management System shall be in place. In particular, the organisation shall:

- have defined energy policy objectives (quantified and measurable, where possible), and must at least have started to implement plans to fulfil these objectives;
- have carried out at least one management review and the full cycle of internal audits, in accordance with the UNI EN ISO 19011 guideline;
- meet the requirements of section 12 of these Rules.

The initial audit enables TÜV Italia to better understand:

- *the purpose and boundaries of certification;*
- *energy complexity;*
- the size and nature of the organisation's activities;
- the type of the Organisation's significant energy aspects;
- the applicable legal requirements;
- the extent to which the organisation is able to undergo the certification audit;
- the type of experience necessary for the audit team who will be carrying out the certification audit;
- the number of people who will be needed for the certification audit.

During the initial audit, the audit team will check that ISO 50001 has been complied with, at least for the following basic requirements:

- Energy policy
- Legal requirements and other requirements
- Actions to address risks and opportunities
- Targets, energy objectives and planning to achieve them
- Energy review
- Competence
- Communication
- Documentation
- Purchasing
- Assessment of compliance with legislative and other requirements
- Internal audit
- Management review
- Improvement

The audit team will also check that the organisation has all the necessary energy-related authorisations pertaining to all the activities directly or indirectly linked to the certification and will check that these authorisations are valid, complete and correct.

For each of these requirements, the Energy Management System must have been implemented, and the corresponding records must be available.

The results of the stage 1 audit are contained in an assessment report issued after the audit, according to the procedures described in section 6.5 of the RGSG.

6.6 Stage 2 audit (Certification audit)

The contents of section 6.6 of the RGSG will apply.

To further clarify the RGSG, please note that in this stage, the following conditions need to be met:

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- the Energy Management System shall have been adopted for at least three months;
- a full cycle of internal audits shall have been completed;
- a management review must have been carried out;
- identification and assessment of significant energy aspects;
- definition of energy management objectives, targets and related programmes;
- necessary and sufficient evidence has been gathered to demonstrate an improvement in energy performance;
- procedures and practices have been defined, implemented and maintained to help prevent situations that could lead to deviations from the energy policy and energy objectives and targets;
- requirements for the monitoring, measurement and identification of the objectives of its own energy management plans have been described and documented;
- an Energy Data Collection Plan has been defined, documented and implemented;
- monitoring and measurement requirements have been identified and documented to ensure that the equipment used to measure key characteristics provides accurate and repeatable data.

6.7 First issue of certification and renewals

The provisions of § 6.7 of the RGSG and § 6.1 of this document apply.

Issue of the certification automatically allows the organisation to use the certificate and the mark of TÜV Italia, in accordance with the conditions in section 8 of these Rules, together with the contents of section 8 of the RGSG.

6.8 Surveillance audit

The contents of section 6.8 of the RGSG will apply. In addition, the Organisation shall maintain records relating to:

- Energy aspects
- Energy saving opportunities
- Ongoing proceedings with the Energy and Gas Authorities (AEEG) (for example: application for energy efficiency certificates/white certificates (TEE))

and shall make them available to TÜV Italia.

The Organisation shall keep TÜV Italia informed of any observations/reports received from national or local authorities or situations of legal nonconformities, which are energy-related, for all activities carried out by the Organisation regardless of the scope of the Energy management system and the boundaries established by the Organisation.

*In addition, at the time of a surveillance audit, the client organization shall be able “to demonstrate implementation of actions for energy performance improvement”.*²

6.9 Renewal audit

The contents of section 6.9 of the RGSG and § 6.1 of this document apply.

6.10 Unscheduled audits

The contents of section 6:10 of the RGSG will apply.

7. Register of certified organisations

The contents of section 7 of the RGSG will apply.

8. Referencing the certification. Use of the certificate and mark

The contents of section 8 of the RGSG will apply.

For management systems that are only certified in accordance with the Standard, the following mark will apply, subject to updates:

² ISO 50003, §9.4.8 e §9.6.2.



Note: for further certifications of the management system obtained through TÜV Italia srl, a specific mark will be sent, if available. This will also refer to the other schemes for which certification was obtained.

9. Suspension of certification

The contents of section 9 of the RGSG will apply.

10. Withdrawal/cancellation of the certification

The contents of section 10 of the RGSG will apply.

11. Management of claims and reports by client organisations and by interested parties

The contents of section 11 of the RGSG will apply.

12. Checking of management system documentation, and of TÜV Italia srl audit reports

The certified organisation shall allocate a controlled copy of its Energy Management System documentation to TÜV Italia.

The contents of section 12 of the RGSG will apply.

13. Changes to the management system

The contents of section 13 of the RGSG will apply.

14. Changes to the certification system rules

The contents of section 14 of the RGSG will apply.

15. Special requirements for organisations already certified by another body

An organisation with a management system, specifically an energy management system, which is already certified according to a specific standard by another certification body accredited for the organisation's industry, may also request certification from TÜV Italia.

The contents of section 15 of the RGSG will apply.

In situation a) and situation b) referred to in the RGSG, TÜV Italia's certification audit has the object of auditing all the requirements of ISO 50001:2018 according to the methods described in section 6.6 of these Rules.

16. Confidentiality

The contents of section 16 of the RGSG will apply.

17. Complaints (or Appeals)

The contents of section 17 of the RGSG will apply.

18. Complaints against TÜV Italia

The contents of section 18 of the RGSG will apply.

19. Disputes

In the event of any dispute with TÜV Italia srl, the Court of Milan has jurisdiction.

20. Financial conditions

The contents of section 20 of the RGSG will apply.