

This report appendix is to be used for existing BS EN 16001:2009 certified clients that want to transfer to ISO 50001:2011. This document needs to be completed to confirm that key subjects of ISO 50001:2011 have been assessed so that the client's energy management system has been found to be conforming such that a recommendation for certification can be made.

Note that a simple "Yes" or "No" response in any of the tables in this document will not be considered acceptable without supporting commentary recording effectiveness. All information required should be in this document.

If the client is found not to comply with the requirement, then a non-conformity must be raised. It is at the discretion of the auditor whether failing to provide adequate evidence in any area results in a major non-conformity or a minor-nonconformity. All major non-conformities must be closed before a recommendation for transfer to ISO 50001:2011 can be made.

Requirement – clause 4.1 <b>General requirements</b>	Assessment evidence and result
Includes requirements for continual improvement of its energy performance and of its EnMS.	

*Guidance:*

*Energy performance is discussed in the Introduction to the Standard and includes energy efficiency, use and consumption.*

*Continual improvement of the EnMS was not a specified requirement of BS EN 16001 although it was implied.*

Requirement – clause 4.2 <b>Top management</b>	Assessment evidence and result
New clause relating to Top Management commitment.  This clause brings together all of the requirements relating to Top Management.  It is envisaged that some of this can be demonstrated through reviewing documentation, such as the minutes of management review.  It is suggested that this list of requirements forms the basis of a Top Management interview to be conducted during the Stage 2 assessment.	

Requirement – clause 4.2.2 <b>Management Representative</b>	Assessment evidence and result
There are many additional requirements for the management representative. Some of these may be outside the job description of the current management representative. We are looking for evidence to show that the management representative does have the authority to fulfil these requirements.	

Requirement – clause 4.3 <b>Energy Policy</b>	Assessment evidence and result
<p>Additional requirements relating to the Energy Policy are:</p> <p>b) includes a commitment to continual improvement in energy performance;</p> <p>f) supports the purchase of energy-efficient products and services, and design for energy performance improvement;</p>	

*Guidance: Note that the policy is no longer required to be publically available.*

Requirement – clause 4.4.1 <b>Energy Planning - General</b>	Assessment evidence and result
<p>The organisation is required to conduct and document an energy planning process. This is illustrated in the Annex in Figure A.2</p>	

*Guidance: This must be formally documented within the EnMS either as a standalone document or as part of an existing manual or procedure. This is similar to requirement to 4.1 a) and b) of ISO 9001:2008.*

Requirement – clause 4.4.2 <b>Legal requirements and other requirements</b>	Assessment evidence and result
<p>Legal requirements and other requirements shall be reviewed at defined intervals.</p>	

*Guidance: Client should be able to state what the frequency is for reviewing legal and other requirements and also to describe how this will be conducted.*

Requirement – clause 4.4.3 <b>Energy review</b>	Assessment Evidence and Result
<p>This is a significant rewording of the clause called Identification and review of energy aspects in BS EN 16001.</p> <p>The key differences are detailed below. Please assess this whole clause in detail as if you were looking at the client's system for the first time.</p> <p>The methodology and criteria used to develop the energy review shall be documented.</p> <p>Organisation needs to...</p>	

<ul style="list-style-type: none"> <li>• identify the facilities, equipment, systems, processes ...that significantly affect energy use and consumption;</li> <li>• determine the current energy performance of facilities, equipment, systems and processes related to identified significant energy uses;</li> </ul> <p>The energy review shall be updated ...in response to major changes in facilities, equipment, systems, or processes.</p>	
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<p>Requirement – clause 4.4.4 <b>Energy baseline</b></p>	<p>Assessment evidence and result</p>
<p>This is a new requirement. The purpose of establishing the energy baseline is so that the organisation can compare its current and future performance against its baseline.</p>	

*Guidance: Some organisations may already have a baseline set some time ago and they may be setting targets against this baseline e.g. reduce energy consumption to 10% of 2007 levels.*

<p>Requirement – clause 4.4.5 <b>Energy performance indicators</b></p>	<p>Assessment evidence and result.</p>
<p>This is a new requirement. EnPIs (Energy Performance Indicators) are different to the objectives and targets.</p> <p>They are Key Performance Indicators relating to Energy.</p>	

<p>Requirement – clause 4.4.6 <b>Energy objectives, energy targets and energy management action plans</b></p>	<p>Assessment evidence and result</p>
<p>Additional requirements are:</p> <p>When establishing and reviewing objectives and targets, an organization shall take into account ... opportunities to improve energy performance, as identified in the energy review.</p> <p>The action plans shall include:</p> <ul style="list-style-type: none"> <li>• a statement of the method by which an improvement in energy performance shall be verified;</li> <li>• a statement of the method of verifying the results.</li> </ul>	

Requirement – clause 4.5.2 <b>Competence, training and awareness</b>	Assessment evidence and result
The requirements for Competence, Training and Awareness have been increased. This brings the requirements in line with ISO 14001:2004.	

Requirement – clause 4.5.3 <b>Communication</b>	
<p>Additional requirements are <u>underlined</u>:</p> <p><u>The organization shall establish and implement a process by which any person working for, or on behalf of the organization can make comments or suggest improvements to the EnMS.</u></p> <p>The organization shall decide whether to communicate externally about its <u>energy policy</u>, EnMS and energy performance, and shall document its decision.</p>	

Requirement – clause 4.5.4.1 <b>Documentation requirements</b>	Assessment evidence and result
<p>Although this clause includes more requirements than the equivalent clause in BS EN 16001, the requirements are not new as they were already included in a variety of clauses within BS EN 16001.</p> <p>The requirement relating to technical documentation in BS EN 16001 clause 3.4.4 b) is now included in ISO 50001 clause 4.5.4.2.</p>	

Requirement – clause 4.5.4.2 <b>Control of documents</b>	Assessment evidence and result
The requirements for Document Control have been increased. This brings the requirements in line with ISO 14001:2004.	

Requirement – clause 4.5.5 <b>Operational control</b>	Assessment evidence and result
<p>This is the clause on Operational Control. Some of the requirements of BS EN 16001:2009 have been moved to new clauses.</p> <p>The main difference in this clause is that the organisation not only has to set criteria for effective operation and maintenance, but also demonstrate that it is following the set criteria.</p>	

Requirement – clause 4.5.6 <b>Design</b>	Assessment evidence and result
<p>New clause.</p> <p>This is an extension of clause 3.4.6 (d) in BS EN 16001. As it is significantly different, please assess how the client is going to cover the additional requirements.</p>	

Requirement – clause 4.5.7. <b>Procurement of energy services, products, equipment and energy</b>	Assessment evidence and result
<p>New clause.</p> <p>This is an extension of clause 3.4.6 (c) in BS EN 16001. As it is significantly different, please assess how the client is going to cover the additional requirements.</p>	

Requirement – clause 4.6.1 <b>Monitoring, measurement and analysis</b>	Assessment evidence and result
<p>This clause now covers analysis of data.</p> <p>Key characteristics for monitoring, measuring and analysis are defined. Please ensure that the client's system covers these requirements.</p> <p>The results from monitoring and measurement of the key characteristics are to be recorded.</p> <p>The organization is required to define and periodically review its measurement needs.</p> <p>Results of these activities shall be maintained.</p>	

*Guidance: This is significant re-organisation of clause 3.5.1 of BS EN 16001. The main change here is the addition of the requirement to analyse the results of the monitoring activity.*

Requirement – clause 4.6.3 <b>Internal audit of the EnMS</b>	Assessment evidence and result
The organization shall conduct internal audits at planned intervals to ensure that the EnMS: <ul style="list-style-type: none"> <li>• is effectively implemented and maintained, <u>and improves energy performance.</u></li> </ul>	

*Guidance: This additional requirement focuses on demonstrating that the EnMS delivers improved energy performance.*

Requirement – clause 4.6.4 <b>Nonconformities, correction, corrective action and preventive action</b>	Assessment evidence and result
The additional requirement is to make corrections as well as taking corrective action.	

*Guidance: This brings the requirements in line with ISO 14001:2004.*

Requirement – clause 4.6.5 <b>Control of records</b>	Assessment evidence and result
Although this clause has been re-worded it is considered that the majority of clients will already be addressing this. Please review the client's arrangements to check conformance with the requirements of the clause.	

Requirement – clause 4.7 <b>Management review</b>	Assessment evidence and result
Inputs to the management review shall include: <ul style="list-style-type: none"> <li>c) review of energy performance and related EnPIs;</li> <li>i) recommendations for improvement.</li> </ul> Outputs from the management review shall include any decisions or actions related to: <ul style="list-style-type: none"> <li>c) changes to the EnPIs;</li> </ul>	

*Guidance: The additional requirements for management review are highlighted above. Please check to ensure that these are covered in the organisation's arrangements for Management Review.*