
AMERICAN NATIONAL STANDARD

ANSI/MSE 50028-2016

Superior Energy Performance[®] – Requirements for verification bodies for use in accreditation or other forms of recognition

Secretariat:
Georgia Tech Energy and Sustainability Services (GTESS)

Approved as an American National Standard on November 22, 2016



ANSI/MSE 50028-2016

American National Standard

Approval of an American National Standard requires review by the American National Standards Institute (ANSI) that the requirements for due process, consensus, and other criteria for approval have been met by the standards developer.

Consensus is established when, in the judgment of the ANSI Board of Standards Review, substantial agreement has been reached by directly and materially affected interests. Substantial agreement means much more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered, and that a concerted effort be made towards their resolution.

The use of American National Standards is completely voluntary; their existence does not in any respect preclude anyone, whether he has approved the standards or not, from manufacturing, marketing, purchasing, or using products, processes, or procedures not conforming to the standards.

ANSI does not develop standards and will in no circumstances give an interpretation of any American National Standard. Moreover, no person shall have the right or authority to issue an interpretation of an American National Standard in the name of the American National Standards Institute. Requests for interpretations should be addressed to the secretariat or sponsor whose name appears on the title page of this standard.

CAUTION NOTICE: This American National Standard may be revised or withdrawn at any time. The procedures of the American National Standards Institute require that action be taken periodically to reaffirm, revise, or withdraw this standard. Users are cautioned to obtain the latest edition. Purchasers of American National Standards may receive current information on all standards by calling or writing the American National Standards Institute.

Published by
Georgia Tech Energy and Sustainability Services
Enterprise Innovation Institute
75 Fifth Street, N.W., Suite 300, Atlanta, GA 30332-0640
© 2016 Georgia Tech Research Corporation. All Rights Reserved.

Copyright Protection Notice for the ANSI/MSE 50028-2016 Standard

Standard Developer:
Georgia Tech Energy and Sustainability Services (GTESS)
Enterprise Innovation Institute
Georgia Institute of Technology
75 Fifth Street, N.W.
Suite 300
Atlanta, GA 30332-0640
770-605-4474
energy@innovate.gatech.edu
www.energymanagementstandards.org

PDF disclaimer

This PDF file may contain embedded typefaces. In accordance with Adobe's licensing policy, this file may be viewed but shall not be edited or printed. In downloading this file, parties therein the responsibility of not infringing Adobe's licensing policy. GTESS accepts no liability in this area.

Adobe is a trademark of Adobe Systems Incorporated.

Details of the software products used to create this PDF file can be found in the General Info relative to the file; the PDF creation parameter were optimized for printing. Every care has been taken to ensure that the file is suitable for use by our customers.

Table of Contents

Foreword.....	v
Introduction	vi
1 Scope.....	1
2 Additional normative references	1
3 Terms and definitions.....	1
4 General requirements	2
4.1 General	2
4.2 Confidentiality	2
4.3 Legal requirements	2
4.4 Conflict of interest	3
5 Competence of personnel.....	3
6 Accreditation	4
7 Information requirements.....	4
7.1 Certificate information	4
7.2 Certificate Conditions	4
7.3 Directory of certified clients.....	4
7.4 Information exchange between a VB and its clients	5
8 Pre-audit activities for certification and recertification	5
8.1 General	5
8.2 Application review	5
8.3 Audit program.....	5
8.4 Audit time.....	5
8.5 Multi-site sampling.....	5
8.6 Audit team selection and assignments	5
8.7 Audit plan.....	6
9 Audit activities for certification and recertification	6
9.1 Stage 1	6
9.2 Stage 2 audit	7
9.3 Initial certification and recertification audit conclusions	8
9.4 Opening and closing meetings for certification and recertification audits	9
9.5 Actions prior to making a decision	9
9.6 Recertification decision.....	9
9.7 Audit report.....	9
10 Audit activities after the certification and recertification	10
10.1 Effectiveness of corrections and corrective actions	10
10.2 Notification of certification or recertification decisions	10
10.3 Additional audits	10
11 Surveillance audits	10

ANSI/MSE 50028-2016

12 Appeals	10
13 Records on certified clients shall include the following.....	10
14 Management system requirements.....	10
Annex A (normative) Audit Day Requirements	11
A.1 Minimum Audit Day Requirements.....	11
Annex B (normative) Multi-site Sampling.....	12
B.1 EnMS Sampling applied to SEP Certification.....	12
B.1.1 Multi-Site Sampling for ISO 50001 EnMS.....	12
B.1.2 Surveillance audits	12
B.2 EnMS and Energy Performance Verification Sampling.....	13
B.3 Certificates for multi-site	13
Annex C (normative) Certificate Conditions	14

ANSI/MSE 50028-2016

Foreword

The American National Standards Institute (ANSI) is a private, non-profit organization [501(c)(3)] that administers and coordinates the U.S. voluntary standardization and conformity assessment system. ANSI is the official U.S. representative to the International Organization for Standardization (ISO). ANSI is a U.S. representative to the International Accreditation Forum (IAF), and, via the U.S. National Committee, represents the U.S. to the International Electrotechnical Commission (IEC). ANSI is also the U.S. member of the Pacific Area Standards Congress (PASC) and the Pan American Standards Commission (COPANT).

ANSI approval of a standard verifies the principles of openness and due process have been followed in the approval procedure and a consensus of those directly and materially affected by the standards has been achieved. A Draft National Standard was circulated to the Georgia Tech Energy and Sustainability Services (GTESS) Consensus Board, consisting of a balanced group of materially affected interests and to those responding to the public announcements in *ANSI Standards Action*. Approval of this Standard as an American National Standard requires acceptance by a minimum of 80 percent of the Consensus Board members casting a vote.

ANSI/MSE 50028-2016, *Superior Energy Performance[®]—Requirements for verification bodies for use in accreditation or other forms of recognition*, was developed by GTESS. No patent rights or requirements for specific equipment or services are included in this Standard. ANSI/MSE 50028-2016 addresses requirements for bodies performing Superior Energy Performance[®] energy management system audit and certification and energy performance verification.

ANSI/MSE 50028-2016 contains three normative annexes (Annex A, Annex B, and Annex C) that provide requirements which are considered mandatory to this Standard.

Submit formal requests for interpretations of ANSI/MSE 50028-2016 requirements to GTESS Standards Coordinators, Holly Grell-Lawe (holly.lawe@innovate.gatech.edu) or Deann Desai (deann.desai@gatech.edu), Georgia Tech Energy and Sustainability Services, Enterprise Innovation Institute, 75 Fifth Street, N. W., Suite 300, Atlanta, GA 30332-0640; Telephone: 770-605-4474; Web: www.energymanagementstandards.org. The GTESS Interpretations Committee will review and determine disposition of each request.

ANSI/MSE 50028-2016 has been developed with the assistance of the following cooperating organizations:

3M	Freescale
AdvanTek, Inc.	Imel Engineering, LLC.
American Council for an Energy-Efficient Economy	Kaeser Compressors, Inc.
ARCADIS U.S., Inc.	Lawrence Berkeley National Laboratory
Arkema	Leidos
Association of Energy Engineers	Robert Auerbach Associates
(University of Florida, Department of Industrial and Systems Engineering)	Siemens, Building Technologies Division
DEKRA Certification, Inc.	Sterling Energy Management
DNV GL - Energy	Texas Industries of the Future, Center for Energy and Environmental Resources, the University of Texas at Austin
Dow Chemical TCO	Toyota Motor Engineering and Manufacturing North America, Inc.
Energy PRO-USA	TRA Certification International, Inc.
Expo Energy & Environmental, Inc.	Trinity Consultants, Inc.
Ford Motor Company, Purchasing – Lean Supplier Optimization	Triple Point Energy, Inc.

ANSI/MSE 50028-2016

Introduction

Certification of an energy management system and verification of its energy performance by a competent verification body provides assurance that the organization has implemented a system that conforms to ISO 50001 and has attained a verified level of energy performance improvement in accordance with Superior Energy Performance[®] (SEP[™]) requirements.

This Standard specifies requirements for verification bodies performing SEP certification and energy performance verification. Observance of these requirements is intended to ensure that verification bodies (VBs) verify conformance to SEP requirements in a competent, consistent and impartial manner, thereby facilitating the recognition of such bodies and the acceptance of their certifications on a national and international basis. This Standard serves as a foundation for facilitating the recognition of SEP verification in the interests of international trade.

Certification to SEP requirements provides independent demonstration of energy performance improvement.

Conformity assessment and verification of energy performance provides value to the organization, its customers and interested parties.

This Standard is intended for use by bodies that verify energy performance in accordance with SEP requirements. Such bodies are referred to as verification bodies. This wording should not be an obstacle to the use of this Standard by bodies with other designations that undertake activities covered by the scope of this document.

Auditor competence is addressed for SEP through this Standard and the personnel certification schemes from the Institute of Energy Management Professionals[™] (IEnMP).

In this Standard, the word “shall” indicates a requirement and the word “should” a recommendation.

Superior Energy Performance[®] (SEP[™]) – Requirements for verification bodies for use in accreditation or other forms of recognition

1 Scope

This Standard applies to verification bodies seeking to perform SEP verification services.

2 Additional normative references

ISO/IEC 17021-1:2015, *Conformity Assessment – Requirements for bodies providing audit and certification of management systems – Part 1: Requirements*

ISO 50003:2014, *Energy management systems – Requirements for bodies providing audit and certification of energy management systems*

ANSI/MSE 50021, *Superior Energy Performance[®] — Additional Requirements for Energy Management Systems*

Superior Energy Performance[®] Certification Protocol
NOTE 1 This is also called the *SEP Certification Protocol*

Superior Energy Performance[®] Measurement and Verification Protocol
NOTE 2 This is also called the *SEP M&V Protocol*

Superior Energy Performance[®] Scorecard
NOTE 3 This is also called the *SEP Scorecard*

3 Terms and definitions

3.1 Superior Energy Performance[®] (SEP[™])

program that specifies energy performance achievement levels and the methods for verification of energy performance

3.2 SEP Lead Auditor (SEP LA)