SUBJECT: Accreditation Program for Superior Energy Performance Certification

APPLIES TO: Superior Energy Performance ANAB-Accredited and Applicant Verification Bodies

PREFACE

This Accreditation Rule is to inform verification bodies (VBs) of ANAB requirements for accreditation to verify organizations for Superior Energy Performance® (SEP™).

The SEP program specifies energy performance achievement levels and methods for verification of energy savings and is authorized by the U.S. Department of Energy. Verification body requirements are further specified at https://www.energy.gov/eere/amo/superior-energy-performance.

Two versions of Superior Energy Performance are currently available: SEP 2012 and SEP 2017. Both are addressed in this Accreditation Rule and will remain effective until the 2018 version of the SEP program is available and the transition period is complete.

Note: For this program, the terms certification body (or CB) and verification body (VB) as used by ANAB and in other relevant documents, including ISO standards, shall be considered equivalent, such that requirements for CBs apply equally for VBs.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)

   1.1. 2012 Program
   
   
   
   
   1.1.4. SEP Industrial Facility Best Practice Scorecard 2012 (available at https://www.energy.gov/eere/amo/sep-2012-standards-and-protocols)
   
   1.1.5. SEP Certification Protocol 2012 (available at https://www.energy.gov/eere/amo/sep-2012-standards-and-protocols)

   1.2. 2017 Program
   
   1.2.1. ANSI/MSE 50028:2016, Superior Energy Performance – Requirements for verification bodies for use in accreditation or other forms of recognition
   
   1.2.2. ANSI MSE 50021:2016, Superior Energy Performance – Additional Requirements for Energy Management Systems
   
1.2.4. SEP Scorecard 2016 (available at https://www.energy.gov/eere/amo/sep-2017-standards-and-protocols)


1.3. Both Programs


1.3.2. ISO 50001, Energy management systems – Requirements with guidance for use

1.3.3. IAF Mandatory Documents as applicable

1.3.4. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems

1.3.5. MA 5000, ANAB Management Systems Accreditation Manual, and applicable ANAB Accreditation Rules

2. Prerequisites

2.1. The VB shall be accredited or in application for accreditation by ANAB for ISO 50001 and maintain accreditation to certify organizations for ISO 50001 energy management systems.

2.2. Because of this prerequisite, if the VB’s accreditation for ISO 50001 is suspended or withdrawn, accreditation for ISO 50001 plus SEP also shall be suspended or withdrawn.

3. Application Process

3.1. VBs can obtain applications for informational use at www.anab.org.

3.2. The application process outlined at www.anab.org must be completed via ANAB’s Enterprise Quality Manager (EQM) database when the VB is ready to apply for accreditation.

3.3. The application fee includes the cost of one assessor day for the off-site documentation review.

4. Initial Assessments for Accreditation

4.1. An ANAB accreditation assessor shall conduct a full documentation review.

4.2. After the documented information is found acceptable, ANAB will determine if the applicant is ready to proceed to the assessment stage of the accreditation process.

4.3. ANAB will conduct a witnessed audit of a SEP verification.

4.3.1. The witnessed audit will be conducted as a two-stage audit process (stages 1 and 2) for each pathway as specified in section 7 below. Note: If stage 1 is conducted remotely, the VB is responsible for ensuring access for the ANAB assessor(s) for witnessing.

4.3.2. Because of the level of expertise needed, ANAB may use technical experts for SEP witnessed audits. ANAB will invoice the VB for the fees and expenses of the technical expert.

4.4. ANAB shall conduct an office assessment (normally on site) to ensure VB personnel are competent for the program and the VB’s certification process for SEP conforms with ANSI/MSE 50028:2012 for the 2012 program or ANSI/MSE 50028:2016 for the 2017 program and is effective.
5. Surveillance Assessments

5.1. ANAB shall conduct an annual office assessment and annually witness VB teams conducting SEP audits.

5.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other ANAB accreditation programs for which the VB is accredited.

5.2. Witnessed audits shall be initial certification (stage 1 and 2) or recertification audits so ANAB can witness the VB audit team performing SEP verification activity.

5.2.1 In the absence of initial or recertification audits, ANAB may accept surveillance audits on a case-by-case basis.

5.2.2. ANAB Accreditation Rule 18 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

5.2.3. Because of the level of expertise needed, ANAB may use technical experts for SEP witnessed audits. ANAB will invoice the CB for the fees and expenses of the technical expert.

6. Reaccreditation Assessments

6.1. ANAB shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

7. Scope of Activities and Accreditation

7.1. There are two parts for scoping accreditation for SEP: verification activities and scopes.

7.2 Verification activities

7.2.1. The SEP 2012 program includes two pathways: energy performance and mature energy performance.

   a. The energy performance pathway requires verified energy performance improvement in accordance with the SEP 2012 program Measurement and Verification Protocol.

   b. The mature energy performance pathway requires verified energy performance improvement over the previous five to 10 years after the baseline period in accordance with the SEP 2012 program Measurement and Verification Protocol, and use of the SEP 2012 program scorecard.

7.2.2. The SEP 2017 program includes four performance levels: bronze, silver, gold and platinum.

   a. The bronze and silver energy performance improvement achievement levels require verified energy performance improvement in accordance with the SEP 2017 program Measurement and Verification Protocol.

   b. The gold and platinum performance improvement achievement levels require the SEP 2017 program scorecard to be evaluated in addition to verified energy performance improvement in accordance with the SEP 2017 program Measurement and Verification Protocol.

7.2.3. A witnessed assessment is required for each verification activity for which the VB seeks accreditation; however, if the VB is accredited for the SEP 2012 mature energy pathway and/or SEP 2017 gold or platinum energy performance improvement achievement level, additional verification for the energy performance pathway and/or bronze or silver energy performance improvement level is not required.
7.3. SEP program scopes

7.3.1. SEP 2012 technical areas for each pathway as defined in ANSI/MSE 50028:2012:
   a. Industry
   b. Commercial buildings
   c. Transportation
   d. Energy supply

7.3.2. SEP 2017 scopes are equivalent to ISO 50001 and are as outlined in the VB’s scope of accreditation for EnMS (see Accreditation Rule 31 and the specific VB’s accreditation certificate).

7.4. Expanding the scope of activities

7.4.1. The VB shall provide a completed application that includes evidence demonstrating an appropriate level of competence for the desired verification activity (e.g., mature pathway or energy performance pathway).

7.4.2. A competent accreditation assessor or technical reviewer will review the application and documentation, including the VB’s competencies and processes for the verification activity, and prepare a written response on the VB’s conformance, which shall result in one of the following recommendations:
   a. Witness a VB audit prior to further review of the application and the conditions of the witnessed audit.
   b. Grant the scope.
   c. Not grant the scope.

8. Expected Outcomes for Accredited SEP Certification

8.1. A SEP-certified organization is expected to demonstrate improved energy performance that is verifiable according to the requirements of the appropriate SEP Measurement and Verification Protocol.

8.2. The VB shall have processes to ensure that its auditors and other personnel are knowledgeable of the expected outcomes and consistently reinforce them with the VB’s clients.