

**Annex II(C)**  
**Management System Checklist**  
**(for EnMS certification)**

**The energy management system certification body shall complete the following checklist, which will be used for the assessment of the energy management system certification body's conformity with HKAS and HKCAS accreditation requirements.**

**This checklist consists of questions based on the requirements of ISO 50003: 2021 and HKCAS SC-10. For further information, please refer to the corresponding document and clause as listed in the second column.**

**The energy management system certification body shall indicate in the 'QM Clause' column, for every question, the clause(s) in its management system manual, operation procedures or other related documentation which can demonstrate the energy management system certification body's conformity with the requirement.**

**The column headed 'OK' is for internal use of HKAS Executive.**

**A softcopy of this completed checklist shall be provided to HKAS Executive by email or other means.**



Management System Checklist (for EnMS certification)

ISO 50003: 2021 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Reviewing audit reports and making certification decisions</p> <p>Do your personnel responsible for reviewing audit reports and making certification decisions within your certification body have knowledge of the terminology from ISO 50001?</p>	7.2.2.2	<input type="checkbox"/>		
<p>Conducting the application review to determine the required audit team competence, to select the audit team members and to determine the audit time.</p> <p>Do your personnel responsible for conducting the application review, selecting the audit team, determining the needed audit competence and determining the audit time have knowledge of the terms and definitions from ISO 50001?</p>	7.2.2.3	<input type="checkbox"/>		
<p>Energy principles</p> <p>Auditing</p> <p>Does your certification body auditor have knowledge of energy principles?</p> <p>Energy principles shall include at a minimum: types of energy, energy uses, energy conversion, calculation of energy in different units (e.g. kWh to TJ) and power.</p>	7.2.3 7.2.3.1	<input type="checkbox"/>		
<p>Does your certification body audit team have knowledge of the following principles?</p> <ul style="list-style-type: none"> <li>- fuel combustion;</li> <li>- energy flow;</li> <li>- energy losses;</li> <li>- energy efficiency;</li> <li>- energy balance.</li> </ul>		<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

ISO 50003: 2021 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Reviewing audit reports and making certification decisions</p> <p>Do your personnel responsible for reviewing audit reports and making certification decisions within your certification body have knowledge of the energy principles, including types of energy, energy uses and energy conversion?</p>	7.2.3.2	<input type="checkbox"/>		
<p>Conducting the application review to determine the required audit team competence, to select the audit team members and to determine the audit time</p> <p>Do your personnel responsible for conducting the application review, selecting the audit team, determining the needed audit competence and determining the audit time have knowledge of the energy principles, including types of energy, energy-uses, energy conversion and calculation of energy in different units (e.g. kWh to TJ)?</p>	7.2.3.3	<input type="checkbox"/>		
<p>Energy related legal requirements</p> <p>Auditing</p> <p>Does your certification body audit team have knowledge of the basic legal structure related to energy and energy consumption?</p>	7.2.4 7.2.4.1	<input type="checkbox"/>		
<p>Reviewing audit reports and making certification decisions</p> <p>Does your team of personnel responsible for reviewing audit reports and making certification decisions within your certification body have knowledge of the basic legal structure related to energy and energy consumption?</p>	7.2.4.2	<input type="checkbox"/>		
<p>Knowledge of ISO 50001 requirements</p> <p>Auditing</p> <p>Does your certification body auditor have knowledge of ISO 50001 requirements?</p>	7.2.5 7.2.5.1	<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

ISO 50003: 2021 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Reviewing audit reports and making certification decisions</p> <p>Does your team of personnel responsible for reviewing audit reports and making certification decisions within your certification body have knowledge of ISO 50001 requirements?</p>	7.2.5.2	<input type="checkbox"/>		
<p>Conducting the application review to determine the required audit team competence, to select the audit team members and to determine the audit time</p> <p>Does your team of personnel responsible for conducting the application review, selecting the audit team, determining the needed audit competence and determining the audit time have knowledge of ISO 50001 requirements?</p>	7.2.5.3	<input type="checkbox"/>		
<p>Energy performance indicators, energy baseline, relevant variables and static factors</p>	7.2.6			
<p>Auditing</p> <p>Does your certification body auditor have knowledge of EnPIs, EnPI value, EnB, relevant variables, static factors, and their use in an EnMS and in demonstrating energy performance improvement including normalization techniques?</p>	7.2.6.1	<input type="checkbox"/>		
<p>Does your certification body audit team have knowledge of the use of models such as ratios and simple linear regression to carry out normalization of EnPI value(s) and their corresponding EnB(s)?</p>		<input type="checkbox"/>		
<p>Reviewing audit reports and making certification decisions</p> <p>Does your team of personnel responsible for reviewing audit reports and making certification decisions within your certification body have knowledge of EnPIs, EnPI value, EnB, relevant variables, static factors and their use in demonstrating energy performance improvement in an EnMS?</p>	7.2.6.2	<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

ISO 50003: 2021 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Common energy using systems</p> <p>Auditing</p> <p>Does your certification body audit team have knowledge of energy using systems?</p> <p>For example:</p> <ul style="list-style-type: none"> <li>- boiler and thermal fluid systems;</li> <li>- refrigeration, heating, ventilation and air conditioning;</li> <li>- mechanical systems (e.g. motors, fans, pumps);</li> <li>- thermal, not building envelope (e.g. furnace);</li> <li>- compressed air;</li> <li>- lighting;</li> <li>- additional systems may be included as determined appropriate by your certification body.</li> </ul>	7.2.7 7.2.7.1	<input type="checkbox"/>		
<p>Reviewing audit reports and making certification decisions</p> <p>Does your team of personnel responsible for reviewing audit reports and making certification decisions within your certification body have knowledge of energy using systems?</p> <p>For example:</p> <ul style="list-style-type: none"> <li>- boiler and thermal fluid systems;</li> <li>- refrigeration, heating, ventilation and air conditioning;</li> <li>- mechanical systems (e.g. motors, fans, pumps);</li> <li>- thermal, not building envelope (e.g. furnace);</li> <li>- compressed air;</li> </ul>	7.2.7.2	<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

ISO 50003: 2021 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<ul style="list-style-type: none"> <li>- lighting;</li> <li>- additional systems may be included as determined appropriate by your certification body.</li> </ul>				
Energy performance improvement	7.2.8			
Auditing	7.2.8.1			
Does your certification body auditor have knowledge of potential energy performance improvements in energy using systems?		<input type="checkbox"/>		
Does your certification body audit team have knowledge of the application of current technology used to achieve energy performance improvement?		<input type="checkbox"/>		
Reviewing audit reports and making certification decisions	7.2.8.2			
Does your team of personnel responsible for reviewing audit reports and making certification decisions within your certification body have knowledge of potential energy performance improvements in energy using systems and the application of current technology used to achieve energy performance improvements?		<input type="checkbox"/>		
Principles of data collection, monitoring, measurement, analysis and evaluation	7.2.9			
Auditing	7.2.9.1			
Does your certification body auditor have knowledge of the types of data that are typically included in the EnMS?		<input type="checkbox"/>		
Does your certification body auditor have knowledge of the typical monitoring, measurement and evaluation used in an EnMS?		<input type="checkbox"/>		
Does your certification body auditor have knowledge of the use of evaluation of improvement in energy performance by comparing EnPI(s) values against their corresponding normalized EnB(s)?		<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

ISO 50003: 2021 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Reviewing audit reports and making certification decisions</p> <p>Does your team of personnel responsible for reviewing audit reports and making certification decisions within your certification body have knowledge of the types of data that are typically included in the EnMS?</p> <p>Does your team of personnel responsible for reviewing audit reports and making certification decisions within your certification body have knowledge of the typical monitoring, measurement and evaluation used in an EnMS?</p> <p>Does your team of personnel responsible for reviewing audit reports and making certification decisions within your certification body have knowledge of evaluation of improvement in energy performance by comparing EnPI(s) values against their corresponding normalized EnB(s)?</p>	7.2.9.2	<input type="checkbox"/>   <input type="checkbox"/>   <input type="checkbox"/>		
<p><b>Information requirements</b></p>	8			
<p><b>Certification documents</b></p>	8.2			
<p>Do your certification documents identify the scope and boundary(ies) of the EnMS, which may include activities, facilities and processes related to the EnMS?</p>		<input type="checkbox"/>		
<p>Does your certification body ensure the scope of the certification statement not to be misleading nor to include any claims (e.g. 3.5 % improvement in electricity consumption)?</p>		<input type="checkbox"/>		
<p><b>Process requirements.</b></p>	9			
<p><b>Pre-certification activities</b></p>	9.1			
<p>Application</p>	9.1.1			
<p>b) Is the client application including the relevant details to ensure that the necessary information for calculating the audit time, based on Annex A of ISO 50003: 2021, available?</p>		<input type="checkbox"/>		
<p>c) Are application requirements for multi-site audits addressed in accordance with B5.2 of ISO 50003: 2021?</p>		<input type="checkbox"/>		



Management System Checklist (for EnMS certification)

ISO 50003: 2021 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Determining audit time</p> <p>General</p> <p>Does your certification body include the following factors in determining the audit time?</p> <p>a) the number of EnMS effective personnel (see A.2);</p> <p>b) the number of energy types (see A.3);</p> <p>c) the annual energy consumption (TJ);</p> <p>d) the number of significant energy uses (SEUs).</p> <p>Is the audit time determined by using Table A.3 of ISO 50003: 2021 for the initial audit and Table A.4 of ISO 50003: 2021 for surveillance and recertification?</p> <p>Does the Audit time include the time spent on-site at a client's site (permanent or temporary) and time spent off-site carrying out planning, document review, interacting with client personnel and report writing?</p> <p>Are travel (en route or between sites) and any breaks not included in the on-site duration of the audits?</p> <p>Are the justification and calculations for the determination of the audit time, including duration of the audit recorded, retained as documented information and available to the client?</p> <p>Duration of the audit</p> <p>Is duration of the audit a minimum of 80 % of the audit time?</p> <p>Is time for audit reporting, audit planning or communication with the client not more than 20 % of the audit time?</p> <p>Audit days</p>	<p>9.1.4</p> <p>9.1.4.1</p> <p>9.1.4.2</p> <p>9.1.4.3</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

Management System Checklist (for EnMS certification)

ISO 50003: 2021 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Are the audit days based on eight hours per day?</p> <p>Adjustments can be required based on local, regional or national legal requirements (e.g. inclusion of lunch breaks).</p> <p>Are the number of audit days not to be reduced by using longer hours per working day?</p> <p>In case the result after the calculation is a decimal number, is the number of days to be adjusted either up or down to the nearest half day (e.g. 5.3 audit days becomes 5.5 audit days; 5.2 audit days becomes 5 audit days)?</p>		<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>		
<p>EnMS effective personnel</p> <p>Are the number of EnMS effective personnel and the level of EnMS complexity, as defined in Annex A of ISO 50003: 2021, used as the basis for the determination of audit time as shown in Annex D of ISO 50003: 2021?</p> <p>Does your certification body define and maintain documented information on a process for determining the number of EnMS effective personnel for the scope of the certification and for each audit in the audit programme?</p> <p>Does the process for determining the number of EnMS effective personnel ensure that the persons who materially contribute to meeting the requirements of the EnMS are included?</p>	9.1.4.4	<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>		
<p>Multi-site sampling</p> <p>Is the certification of a multi-site organization based on sampling allowed?</p> <p>Are the requirements of multi-site sampling as defined in Annex B of ISO 50003: 2021 followed?</p> <p>Does your certification body retain documented information on the decision criteria for sampling of the permanent sites and temporary sites?</p> <p>Are the criteria for determining the sample of the sites available to the client organization upon request?</p>	9.1.5	<input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>    <input type="checkbox"/>		

Management System Checklist (for EnMS certification)

ISO 50003: 2021 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p><b>Initial certification</b></p> <p>Stage 1</p> <p>Does the Stage 1 include the following?</p> <p>a) a review of documented information on the scope and boundary(ies);</p> <p>b) a confirmation of the scope and boundary(ies) of the EnMS for certification;</p> <p>c) a confirmation of the number of EnMS effective personnel, energy types, SEUs and annual energy consumption, in order to review and confirm the audit time;</p> <p>d) a review of the documented information from the EnMS planning process;</p> <p>e) a review to confirm that EnPI(s) and corresponding EnB(s) are used by the client organization to determine energy performance;</p> <p>f) a review of documented information regarding determined and prioritized energy performance improvement opportunities as well as the objectives, energy targets and action plans.</p> <p>Does your certification body confirm the competence needed for Stage 2 based on the outputs of Stage 1?</p> <p>Stage 2</p> <p>Does your audit team review the necessary audit evidence to determine whether or not continual energy performance improvement has been demonstrated prior to making a recommendation during Stage 2 audits?</p> <p>Does your certification body analyse the necessary audit evidence to determine whether or not continual energy performance improvement has been demonstrated prior to making a certification decision?</p>	<p><b>9.3</b></p> <p>9.3.1</p> <p>9.3.2</p> <p>9.3.2.1</p> <p>9.3.2.2</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

Management System Checklist (for EnMS certification)

ISO 50003: 2021 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
Is the confirmation of continual energy performance improvement required for granting the initial certification?		<input type="checkbox"/>		
<b>Conducting audits</b>	<b>9.4</b>			
General	9.4.1			
Does your certification body confirm the suitability of the EnMS scope and boundary(ies) as defined by the client during each audit within the audit programme?		<input type="checkbox"/>		
Audit report	9.4.8			
Does the audit report include the following?				
a) the scope and boundary(ies) of the EnMS being audited;		<input type="checkbox"/>		
b) at certification decisions:				
1) a statement of the achievement of continual improvement of the EnMS with a record of audit evidence to support the statement;		<input type="checkbox"/>		
2) a statement of the achievement of continual energy performance improvement with a record of audit evidence to support the statement		<input type="checkbox"/>		
c) at surveillance audits, a statement confirming that the client organization has demonstrated implementation of actions for energy performance improvement (see clause 9.6.2 of ISO 50003: 2021).		<input type="checkbox"/>		
<b>Certification decision</b>	<b>9.5</b>			
Information for granting initial certification	9.5.3			
Does your certification body review the necessary audit evidence to determine whether or not a continual energy performance improvement has been demonstrated prior to making an initial certification decision?		<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

ISO 50003: 2021 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Information for granting recertification</p> <p>Does your certification body review the necessary audit evidence to determine whether or not a continual energy performance improvement has been demonstrated prior to making a recertification decision?</p> <p>Is the confirmation of continual energy performance improvement required for granting the recertification?</p>	9.5.4	<input type="checkbox"/>  <input type="checkbox"/>		
<p><b>Maintaining certification</b></p>	9.6			
<p>General</p> <p>When conducting EnMS audits, does your certification body ensure that, across the certification cycle, evidence related to the whole of the EnMS, including energy performance and energy performance improvement, is collected, evaluated and recorded as evidence in the audit reports?</p>	9.6.1	<input type="checkbox"/>		
<p>Surveillance audit</p> <p>Does your certification body review the necessary audit evidence to determine whether or not the client organization has demonstrated the implementation of actions for energy performance improvement at the time of a surveillance audit?</p>	9.6.2	<input type="checkbox"/>		
<p>Recertification</p> <p>Does your audit team review the necessary audit evidence to determine whether or not a continual energy performance improvement has been demonstrated prior to making a recommendation during a recertification audits?</p> <p>Do the recertification audits take into account any major change(s) including those in facilities, equipment, systems or processes?</p>	9.6.3	<input type="checkbox"/>  <input type="checkbox"/>		

Management System Checklist (for EnMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<b>GENERAL REQUIREMENTS</b>				
<p>Is there a contract signed between the applicant organisation and your certification body to confer your certification body the authority to carry out the responsibility in accordance with HKCAS 003?</p>	<p>HKCAS SC-10 3 HKCAS SC-10 3.1</p>	<input type="checkbox"/>		
<p>Does the contract also confer your certification body the authority to carry out the responsibility in accordance with HKCAS SC-10?</p>		<input type="checkbox"/>		
<b>RESOURCE REQUIREMENTS</b>				
<p>Does your certification body have at least one competent auditor or audit team in every area (classified in accordance with Appendix C) for which your certification body has applied or is holding current accreditation?</p>	<p>HKCAS SC-10 4</p>	<input type="checkbox"/>		
<p>Does your certification body define the competence criteria and the pre-requisite levels of education, work experience and training for personnel responsible for certification functions such as the following?</p> <ul style="list-style-type: none"> <li>- conducting contract review,</li> <li>- selecting and verifying the competence of EnMS auditors,</li> <li>- auditing,</li> <li>- leading the audit team,</li> <li>- reviewing audit reports and</li> <li>- making certification decisions.</li> </ul>	<p>HKCAS SC-10 4.1</p>	<input type="checkbox"/>		
<p>Are the requirements in Annex A of HKCAS 003 and the competence requirements for the auditor(s) and personnel involved in the EnMS certification process as defined in ISO 50003: 2021 applied?</p>	<p>HKCAS SC-10 4.2</p>	<input type="checkbox"/>		
<p>Does your certification body demonstrate that your personnel comply with such criteria through a proper appraisal system and keep the evidence of competence?</p>		<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body have a process to ensure that the audit team is composed of auditors with appropriate competence for conducting an EnMS audit?</p>	<p>HKCAS SC-10 4.3</p>	<input type="checkbox"/>		
<p>Does each audit team have appropriate technical knowledge and knowledge of the requirements on energy management or energy utilisation laid down by the relevant regulatory bodies in Hong Kong applicable to the client organisation which it audits?</p>		<input type="checkbox"/>		
<p>Is the audit of an applicant organisation performed by an audit team consisting of a lead auditor and where necessary, auditor(s) and technical expert(s)?</p>	<p>HKCAS SC-10 4.4</p>	<input type="checkbox"/>		
<p>When the audit is conducted by a team (more than one auditor), does the levels of skills required held within the team as a whole?</p>		<input type="checkbox"/>		
<p>Does each audit team have sufficient knowledge and expertise and appropriate work experience required to audit all relevant EnMS activities of the organisation, including developing energy review, establishing energy baseline, identifying EnPI and legal requirements and other energy-related requirements such as agreements with customers and voluntary programmes, knowledge of design and procurement activities related to energy performance, calibration of equipment, and energy measurement and analysis?</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that the lead auditors and auditors have successfully completed appropriate training on audit technique based on ISO 19011: 2011?</p>	<p>HKCAS SC-10 4.5</p>	<input type="checkbox"/>		
<p>Technical experts may be included in the audit team. They provide technical support to the auditor or the team. Although technical experts need not be trained on auditing techniques, do they have the required qualification, experience and technical knowledge on the activities to be audited? During an EnMS audit, do they work under the direction and close supervision of a qualified auditor or a lead auditor?</p>	<p>HKCAS SC-10 4.6</p>	<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>The audit team may include a trainee auditor who works under close supervision of a qualified lead auditor or auditor. Is the responsibility assigned to him/her less than the level for a qualified auditor?</p>	HKCAS SC-10 4.7	<input type="checkbox"/>		
<p>Does your certification body identify and evaluate training needs for your personnel and provide them with necessary training, such as up-to-date knowledge in operation of energy management system, control of significant energy uses, EnMS standard and other relevant normative documents, HKAS accreditation criteria, and skills in auditing?</p>	HKCAS SC-10 4.8	<input type="checkbox"/>		
<p>After training, is the competence of the personnel involved in EnMS certification activities evaluated?</p>		<input type="checkbox"/>		
<p>Certification decisions may be made by a staff member or a committee. In case the certification decision is made by a committee, does your certification body ensure that the committee members who make the decision on granting/withdrawing a certification have a level of knowledge and experience sufficient for making a sound decision based on the results or information obtained from the auditing processes?</p>	HKCAS SC-10 4.9	<input type="checkbox"/>		
<p>Does your certification body have documented procedures and criteria for the committee to make certification decisions?</p>		<input type="checkbox"/>		
<p>Have the committee members been trained on the decision criteria?</p>		<input type="checkbox"/>		
<p>Are detailed records of the factors considered by the committee and the deliberation kept?</p>		<input type="checkbox"/>		
<p>Is the performance of the committee monitored?</p>		<input type="checkbox"/>		
<p>Does your certification body implement a system to monitor the performance of your personnel involved in the EnMS audit, including lead auditors, auditors and technical experts?</p>	HKCAS SC-10 4.10	<input type="checkbox"/>		
<p>Does your certification body perform on-site performance evaluation for every auditor and lead auditor at least once every three years?</p>		<input type="checkbox"/>		



Management System Checklist (for EnMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does the evaluation cover all aspects of the activities that the auditors have been authorised by your certification body to perform?		<input type="checkbox"/>		
Does your certification body take corrective actions if there is any doubt on the competence of an auditor and a lead auditor?		<input type="checkbox"/>		
<b>INFORMATION REQUIREMENTS</b>				
Does your certification body include all names and geographic locations of a certified organisation covered by a certification in a certification document?	HKCAS SC-10 5			
Does your certification body include all names and geographic locations of a certified organisation covered by a certification in a certification document?	HKCAS SC-10 5.1	<input type="checkbox"/>		
Are the activities carried out in each geographic location covered by an EnMS certification clearly specified in the certification documents?		<input type="checkbox"/>		
Does your certification body ensure that the scope and boundaries of the EnMS are clearly defined by the top management of the applicant organisation and stated in the certification documents in a way that would not create misleading impression?	HKCAS SC-10 5.2	<input type="checkbox"/>		
Does your certification body ensure the integrity of the EnMS within the defined scope and boundaries such that it can be implemented effectively?		<input type="checkbox"/>		
<b>PROCESS REQUIREMENTS</b>				
Does your certification body specify the information to be provided by an applicant organisation which applies for its certification?	HKCAS SC-10 6			
Upon receiving an application, does your certification body review and check whether sufficient information has been provided by the organisation and ask for supplementary information if necessary?	HKCAS SC-10 6.1	<input type="checkbox"/>		
To ensure that essential information will not be missed out, has your certification body designed an application form which lists all the information required for use by the organisations?		<input type="checkbox"/>		
		<input type="checkbox"/>		
		<input type="checkbox"/>		
		<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body confirm the suitability of the scope and boundaries at each audit in accordance with ISO 50003?	HKCAS SC-10 6.2	<input type="checkbox"/>		
Does your certification body have an effective system to enable the analysis of your own competencies in energy management and your audit work to ensure that you have the competence and ability required for each technical area in the certification process?	HKCAS SC-10 6.3	<input type="checkbox"/>		
Is such competence analysis conducted by your certification body for each client organisation before performing the contract review?		<input type="checkbox"/>		
Are the details of the analysis and the outcome recorded?		<input type="checkbox"/>		
For the stage 1 audit, does your certification body include on-site visit at an applicant organisation's premises including both permanent location(s) and temporary site(s) where the organisation carries out work or service?	HKCAS SC-10 6.4	<input type="checkbox"/>		
Does your certification body record the justifications for not doing so, e.g. your certification body has audited the organisation recently for certification of another management system, and all important information relevant to the EnMS certification has been collected?		<input type="checkbox"/>		
Does your certification body audit an applicant organisation's EnMS documentation in the stage 1 audit to determine whether and when the organisation is ready for the stage 2 audit?	HKCAS SC-10 6.5	<input type="checkbox"/>		
Does your certification body determine the interval between stage 1 and stage 2 audits and shall only conduct stage 2 audit after the findings identified in the stage 1 audit have been adequately resolved by the organisation?		<input type="checkbox"/>		
In general, the organisation will need some time to adequately resolve findings identified in the stage 1 audit, scheduling the stage 1 and stage 2 audits back to back is not recommended.		<input type="checkbox"/>		
Is the interval between stage 1 and stage 2 audits and its justification recorded?		<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body repeat stage 1 audit if changes to an applicant organisation's EnMS have rendered the information collected in the original stage 1 audit invalid?</p>		<input type="checkbox"/>		
<p>Where parts of an applicant organisation's EnMS have been confirmed to be in conformity with the certification criteria in the stage 1 audit and not be re-audited in the stage 2 audit, does your certification body in the stage 2 audit verify that no substantial changes have been made to those parts?</p>	HKCAS SC-10 6.6	<input type="checkbox"/>		
<p>For such cases, is it clearly stated in the stage 2 audit report that conformity of those parts has been established during the stage 1 audit?</p>		<input type="checkbox"/>		
<p>Does your certification body have documented procedures for determining the amount of time required for any initial audit (stage 1 and stage 2), surveillance audit and re-certification audit in accordance with ISO 50003?</p>	HKCAS SC-10 6.7	<input type="checkbox"/>		
<p>Does your certification body ensure that the audit team has sufficient time to cover all relevant elements in accordance with ISO 50001 requirements at each audit stage?</p>		<input type="checkbox"/>		
<p>Are the justification and calculations for the determination of the audit time, including duration of the audit, provided to the client organisation as part of the contract and available to HKAS assessment team?</p>		<input type="checkbox"/>		
<p>Where the EnMS audit is to be combined with audits of other management systems, for example, quality management system (QMS) and environment management system (EMS), does your certification body able to demonstrate that the EnMS audit complies with all requirements as specified in ISO 50003 and with all relevant HKAS accreditation criteria?</p>	HKCAS SC-10 6.8	<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Where your certification body offers multiple-site certification, does your certification body have documented procedures for multiple-site sampling audit in accordance with ISO 50003?</p>	HKCAS SC-10 6.9	<input type="checkbox"/>		
<p>Does your certification body record the justification for the sampling plan of a multiple-site sample audit?</p>		<input type="checkbox"/>		
<p>To ensure consistent quality of audits, does your certification body have documented procedures, criteria and quality assurance measures for all certification schemes your certification body operates?</p>	HKCAS SC-10 6.10	<input type="checkbox"/>		
<p>Does your certification body, in particular, implement a system to ensure that the certification activities are operating effectively and certification decisions are made by parties not involved in the audit?</p>		<input type="checkbox"/>		
<p>During audits, does your certification body evaluate whether the applicant organisation has appropriate process for ensuring the competence of personnel and any persons working on behalf of the organisation responsible for EnMS activities?</p>	HKCAS SC-10 6.11	<input type="checkbox"/>		
<p>Does your certification body examine carefully the system of the organisation for ensuring that such activities are implemented, operated and maintained properly?</p>		<input type="checkbox"/>		
<p>Do audit teams of your certification body have the required expertise to carry out such competence evaluation and devote sufficient time to carry out the evaluation properly?</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that the applicant organisation has established an appropriate interval for reviewing and evaluating compliance with legal requirements and other energy-related requirements to which the applicant organisation subscribes?</p>	HKCAS SC-10 6.12	<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body also evaluate whether the organisation has appropriate processes in place and has assigned duties and responsibilities of personnel to implement the actions needed for complying with any updated requirements?</p>		<input type="checkbox"/>		
<p>Does your certification body evaluate whether the applicant organisation has relevant analysis of energy use and consumption, and whether the areas of significant energy use and the opportunities for improving energy performance have been appropriately identified?</p>	HKCAS SC-10 6.13	<input type="checkbox"/>		
<p>Does your certification body also ensure that methodology and criteria for prioritizing opportunities for improving energy performance have been developed and documented by the organisation?</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that the applicant organisation has developed a process for collecting and recording consistent and reliable data related to energy management at appropriate frequency, for example, annually?</p>	HKCAS SC-10 6.14	<input type="checkbox"/>		
<p>Your certification body is recommended to consider the industry best practices in evaluating such time intervals, and the justification for accepting the frequency shall be recorded.</p>		<input type="checkbox"/>		
<p>Does your certification body ensure details such as identification of required data, roles and responsibilities of personnel involved in the process, frequency of collecting data, data source and storage location, methods of recording data, and verification of data have been defined and documented by the organisation?</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that the applicant organisation uses recent and reliable data to establish the energy baseline, and periodically review the energy baseline to determine if adjustments are required?</p>	HKCAS SC-10 6.15	<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body ensure that the applicant organisation has selected and used appropriate methods or models for calculating EnPIs?</p> <p>Reference to international practices such as ISO 50006 shall be made as far as possible.</p>	HKCAS SC-10 6.16	<input type="checkbox"/>		
<p>Does your certification body ensure that the applicant organisation has determined other variables such as weather, seasonal effect and operating schedule that can significantly affect an EnPI?</p> <p>Does your certification body ensure that the organisation has evaluated the correlation of the EnPI with such variables and appropriate model is used in its EnPIs calculation?</p>	HKCAS SC-10 6.17	<input type="checkbox"/>		
<p>Does your certification body ensure that the applicant organisation has reviewed, and updated if necessary, their EnPIs at appropriate time intervals?</p>	HKCAS SC-10 6.18	<input type="checkbox"/>		
<p>Does your certification body ensure that the applicant organisation's energy objectives and targets are consistent with the energy policy, and appropriate action plans are in place for achieving its objectives and targets?</p>	HKCAS SC-10 6.19	<input type="checkbox"/>		
<p>Does your certification body ensure that the action plans are documented and updated at appropriate time intervals?</p>		<input type="checkbox"/>		
<p>Does your certification body ensure that the applicant organisation has established appropriate calibration programmes for equipment used for monitoring and measurement of key characteristics of the organisation's EnMS?</p>	HKCAS SC-10 6.20	<input type="checkbox"/>		
<p>Does your certification body ensure that the organisation has checked and/or calibrated the equipment in accordance with appropriate specifications before use?</p>		<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Does your certification body ensure that calibration methods, requirements and frequencies are specified?		<input type="checkbox"/>		
Does your certification body ensure that the responsibilities of personnel involved in the calibration process for ensuring the equipment is properly calibrated are defined by the organisation?		<input type="checkbox"/>		
Does your certification body ensure that the records including equipment information and identification, location and status of equipment, adjustments and maintenance of equipment, calibration schedule, calibration report, and verification of calibration results are maintained?		<input type="checkbox"/>		
Does your certification body require the applicant organisation to define an appropriate time interval for conducting internal audit and management review of the EnMS?	HKCAS SC-10 6.21	<input type="checkbox"/>		
Does your certification body record the justification for accepting such time interval?		<input type="checkbox"/>		
Subject to the agreement of its applicant organisations, an accredited certification body may take and/or keep photos and/or video images of process lines to demonstrate that the organisations have implemented EnMS effectively or to show details of any observed defects.	HKCAS SC-10 6.22	<input type="checkbox"/>		
Does your certification body keep records of supplementary information necessary for the interpretation of such photos and video images recorded?		<input type="checkbox"/>		
<b>MANAGEMENT SYSTEM REQUIREMENTS FOR CERTIFICATION BODIES</b>	HKCAS SC-10 7			
Has your certification body established and maintained a management system for offering EnMS certification service and appropriate documented procedures covering EnMS specific elements in accordance with the requirements of HKCAS 003?	HKCAS SC-10 7.1	<input type="checkbox"/>		

Management System Checklist (for EnMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
Do the management system and documented procedures cover the auditing of the EnMS of the applicant organisation in accordance with ISO 50001 or the certification scheme?		<input type="checkbox"/>		