

# Certification Candidate Handbook

## ISO 50001 Lead Auditor



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# Information for Applicants

Please read through the following important information before submitting your certification application

## 1. SCOPE

### ISO 50001 Lead Auditor

The purpose of the ISO 50001 Lead Auditor credential is to support the creation of an international workforce focused on maximizing the energy savings impact of ISO 50001 implementation in industrial, commercial, and public sector organizations. This consensus-based, internationally relevant certification scheme for ISO 50001 Lead Auditors builds greater consistency and higher value in ISO 50001 implementations. This credential ensures the qualified candidate is competent in the following ISO 50003 technical areas: buildings, building complexes, and industry – light to medium.

Within the context of the audit plan, the ISO 50001 Lead Auditor will be able to:

- Plan, lead and manage an ISO 50001 audit team effectively to ensure the audit objectives are met
- Conduct the ISO 50001 audit in conformance with ISO 50003 requirements
- Assess conformance to ISO 50001- Energy management systems standard, which includes confirming continual improvement of energy performance and any additional organizational requirements
- Document and report audit findings based upon objective evidence
- Effectively manage the relationship with the client and the auditee
- Communicate, justify, and take responsibility for the audit results both verbally and in a written report to the client.

## 2. ELIGIBILITY

### ISO 50001 Lead Auditor Eligibility Requirements

A candidate will receive the ISO 50001 Lead Auditor certificate only after both:

1. Having passed the examination; and
2. Having submitted evidence of satisfying the Education, Experience, and Audit Day eligibility requirements.

### Academic and Work Experience Tracks

Track	Academic Credential†	Work Experience‡	Audit Days
1	Technical academic degree  3 or more year academic degree from accredited educational institution in one of the following technical fields - energy management, engineering, architecture, science, or math.	48 months	Minimum of 15 audit days

Track	Academic Credential†	Work Experience‡	Audit Days
2	Non-technical academic degree  3 or more year academic degree from accredited educational institution in other disciplines	60 months	Minimum of 15 audit days
3	Technical vocational degree  Minimum 2 year degree from accredited educational institution in a technical field	72 months	Minimum of 15 audit days
4	Other	96 months	Minimum of 15 audit days
†The academic credential must be from an accredited college or university. ‡ Management system experience and/or energy management experience.			

### Audit Days Requirement

Documentation of 15 audit days within the last 5 years that include the following:

- Minimum of 5 audit days in the role of a Lead Auditor for an ISO management system standard; and
- Minimum of 5 audit days as an audit team member for ISO 50001 Energy Management System Standard.

NOTE: Audit days can include audit planning and audit reporting. Experience is documented by an audit log submitted at the time of certification.

### Management System and Energy Management Experience is defined as:

Management system experience is defined as implementing or auditing an ISO management system standard. Energy management experience is defined as energy efficiency experience in facilities, projects, or programs.

### 3. STATEMENT OF NON-DISCRIMINATION

AEE endorses the principles of equal opportunity. Eligibility criteria for examination and certification as a Certified Energy Auditor are applied equally to all individuals regardless of age, race, religion, gender, national origin, veteran status, sexual orientation, or disability.

### 4. STATEMENT OF IMPARTIALITY

AEE's Certification Department adheres to principles of impartiality in all its dealings. The Certification Department shall act impartially towards all applicants, candidates, and certificants.

### 5. THE REQUIRED BODY OF KNOWLEDGE / STUDYING FOR THE EXAM

The examination for each of the 50001 LA certification will encompass knowledge and performance topics consistent with the approved certification scheme and job task analysis. The specific domains

covered for each of the certifications can be viewed by selecting the applicable certification from the [IEnMP.org](http://IEnMP.org) website and clicking the exam preparation link.

### Authoritative References List

The Authoritative References List below provides a concise yet detailed guide to informative professionalism in energy management books. It serves as a valuable tool for all in energy management professionals, especially those preparing for the certification. This list is intended for use as a study aid only. AEE does not intend the list to imply endorsement of these specific references, nor is exam content necessarily taken directly from these sources.

- Energy Management Handbook: Stephen Roosa, Wayne C. Turner and Steve Doty
- Guide to Energy Management: Barney L. Capehart, Wayne C. Turner and William J. Kennedy
- Solutions Manual for Guide to Energy Management: Klaus Dieter E. Pawlik
- Handbook of Energy Engineering: Albert Thumann and D. Paul Mehta.

## 6. PROCEDURES

1. **Confirm Eligibility:** Confirm you meet the eligibility requirement. Refer to number 2 in this candidate handbook. Since certification is based on meeting eligibility criteria and passing the examination, it is important that the applicant understands the eligibility requirements and have attained the prerequisite to qualify for certification.
2. **Submit Application:** By submitting the application you're applying for the certification and registering for the exam via remote proctoring. *The application should be received by the certification department four weeks prior to the desired exam date.*

The Application Form provides an organized method for documenting your eligibility. The Personal Data Form is divided into the following three parts:

- Contact Information – business and personal email, address and phone number
- Education and Professional Registration - name and location of each college or university from which you have earned a degree and any professional registrations (i.e. PE)
- Experience/Employment/Audit Days– list of employers including a description of job functions held for those periods of employment which qualify you for certification. Audit table for demonstration of audit days completed.

The applicant is requested to list on the Application Form all pertinent information in these categories for evaluation by the Certification Board. All applicants must complete the application; a resume does not replace the application.

When submitting an application, you do not need to send supporting documentation. However, you will be required to send supporting documentation if your application is selected for a random audit. A specified percentage of applications are randomly selected for audit. AEE conducts application audits to confirm the experience, audit days, and/or education documented on certification applications. The purpose of the audit is to enhance the credibility of the certification program and of the certification holders.

3. **Application Review:** Once we receive your application, we'll verify that you meet the eligibility criteria and that your experience and/or education is acceptable. Typically the application review

period will take 5–10 days. Once the application review is complete, we'll email you to confirm the upcoming certification exam or request additional information. If we have any questions or issues with your application, we'll notify you via email.

4. **Application Random Audit:** If your application is selected for a random audit, we'll notify you by email with the instructions and documentation needed to complete the verification of experience, audit days, and/or education.

Based on the eligibility requirement, the number of years of required experience to be verified will vary. Past employers may need to be complete the employment verification form. If you are self-employed or are a principal owner of a company, three client verifications are required in the place of employment verification. **All employment verification and/or client verification forms should be completed by the employers and/or clients before sending to AEE. AEE does not send requests to employers or clients. Once forms are received by AEE, we may contact employers and/or clients directly to confirm and verify the information on the form is correct.**

5. **Examination Score:** Candidates must obtain a minimum passing score. Examination scores will be kept on file by the Certification Director for a period of 3 years. Applicants have 3 years to follow up and complete his/her certification file; after 3 years, applicants must restart the process by taking another approved preparatory training, resubmitting the application and retaking the certification exam.
6. **Final Board Review:** To be awarded the 50001 LA designation, candidates must submit a completed application, meet eligibility requirements, and obtain a minimum score on the certification examination. Once the application is complete and the certification exam is passed, all applications are sent to the Certification Board for final approval. Only after Board approval is certification granted and the certification ID # issued.
7. **Remote Testing Information:**  
Your application along with exam fee should be approved by AEE prior to sitting for the exam. You will receive a letter once AEE has approved your application. At that time, you may log in to the remote testing website to begin the exam scheduling process. Once the application is complete and exam is passed, all applications are sent to the Certification Board for final approval. Only after this approval is certification granted. For more information on Remote Testing, visit <https://www.aeecenter.org/remoteproctoring>.

## 8. APPEALS POLICY

An appeal is a formal request for reconsideration of an adverse decision made by the Certification Board or its representatives related to an individual's achievement of a certification. Candidates may appeal the results of eligibility determination or the examinations within 60 days of the date of the results. The appeals process and an application for submitting an appeal is as follows:

- If a candidate has a problem with AEE's determination of their eligibility or with the examination, they should first send an email to the Certification Director to request reconsideration of an adverse decision.
- If the candidate is unsatisfied with the Certification Director's reconsideration of the adverse decision, they must request an appeal form from the Certification Director. Once the Appeals Form

has been completed, it must be forwarded to the Certification Director, who will forward the appeal to the Appeals Board

- Upon receiving the appeal, the Appeals Board has forty-five (45) days in which to consider the appeal. Candidates will be notified of the Appeals Board’s decision after forty-five (45) days.

## 9. FEES:

### APPLICATION FEE

A fee of \$500.00 dollars is payable with the filing of the application. *No application or examination fee refunds are allowed.*

### RETESTING FEE

For each re-examination held via Remote Testing, a fee of \$200.00 will be required. *No refunds allowed.*

### RENEWAL FEE

Three-year renewal fee: \$150 for ISO50001 LA certification until 12/31/2021

\$300 Renewal Fee for all certifications due after January 1, 2022.

*No refunds allowed.*

## 10. INCOMPLETE APPLICATIONS

Incomplete applications will remain on file with the Certification Department for a period of three (3) years. After three years, application materials will be destroyed.

## 11. EXAMINATION

The ISO 50001 Lead Auditor Certification requires passing a single 4-hour certification exam. The exam consists of:

Domain ID	Domain Name	Domain Weight
01	Energy Performance Auditing	14%
02	EnMS Auditing	10%
03	Management Systems Auditing (general)	10%
04	Auditing (general)	7%
05	Pre-audit Team Leader Duties	3%
06	Stage 1 Auditing Team Leader Duties	11%
07	Stage 2, Surveillance, and Recertification Auditing Team Leader Duties	9%
08	Communication for Team Leader Duties	11%
09	Energy Fundamentals and Technical	13%
10	General ISO 50001 Audit Knowledge	6%
11	Leading Audit Team Knowledge	6%
<b>Total:</b>		<b>100%</b>

## 12. LANGUAGE

The Exams are only offered in English.

## 13. AMERICANS WITH DISABILITIES ACT

Special arrangements may be provided to candidates with a disability (as defined by Title III of the Americans with Disabilities Act) who submit with their certification application, a written explanation of their needs along with appropriate medical documentation. An ADA request form is available on the website – [www.aeecenter.org/certification/ADA](http://www.aeecenter.org/certification/ADA).

## 14. RESCHEDULING EXAMS

While application and exam fees are nonrefundable, a candidate may reschedule taking the exam for any reason. Candidates taking the exam at Remote Testing, if you need to reschedule your confirmed exam date or location, please contact ProctorU via your testing account to reschedule.

## 15. INCLEMENT WEATHER

If any candidate is unable to arrive at a designated exam site because of inclement weather, terrorist acts, a natural disaster, or other unforeseen emergencies beyond control of the candidate as determined by AEE, the candidate will be allowed to take a future examination without being charged a re-examination fee.

If for any reason the exam is unable to be administered, then the examination will be rescheduled within a reasonable period of time. Candidates may take the exam at a future administration without being charged a re-examination fee. Candidates will be responsible for their own associated expenses for future testing.

## 16. TEST ADMISSION PROCEDURES

Candidates must report to the test location on time. Sign-in begins 30 minutes to one hour before the posted exam time. Candidates must present a government-issue photo ID when checking in to take the exam. Candidates who arrive more than thirty minutes late or without a photo ID will NOT be permitted to enter the test center, and their examination fees will be forfeited. Distribution of test materials, and testing instructions will begin within five minutes of the posted start time of the exam. The total testing time is four hours. Additional time has been allotted for instructions. You can expect to leave the testing center at approximately 4.5 hours after the posted start time for the exam. There are no scheduled breaks.

## 17. TESTING SITE RULES

The following are rules enforced at all test administrations. Candidates found not to be in compliance with these standards will immediately be removed from the exam and their test papers collected. The incident will be reported to the Certification Director.

- All candidates must have proper photo ID in order to be admitted to the test
- Candidates are admitted only at their assigned time
- Candidates will log in to their ProctorU account 3-5 minutes before the scheduled exam start time to go through the exam system checklist with the proctor.
- No guests are permitted in the examination room
- Each candidate is authorized to bring in standards to reference during the exam. The following standards are allowed to be referenced during the exam.
  - ISO 50001
  - ISO 50003
  - ISO 17021
- Candidates are encouraged to bring a non-programmable hand-held calculator to the exam.

- Use of laptops, cell phones, recording devices, PDAs, or other wireless capable devices is not permitted during the exam.
- No unauthorized material is allowed in the exam.
- No device capable of taking images is allowed in the exam.
- No talking or reading aloud is permitted during the exam.
- You will only be allowed to make exam notes/calculations on the whiteboard or scratch paper. You may not add or remove any paper to and from your binder during the test.
- While testing, it is the candidate's responsibility to always keep their testing materials in their own space in view of the proctor(s). An examinee that is found in violation of the testing rules will be automatically disqualified, dismissed, and reported. A retake of the exam will not be permitted for six months
- Absolute silence must be maintained during the exam
- Upon request, candidates will be excused for bathroom breaks. Upon return, candidate must complete secure room check with proctor before resuming exam.
- Candidates must erase whiteboard in view of proctor and destroy scratch paper in view of proctor before exiting the exam.
- All answers will be recorded electronically in the exam software.
- Scoring is based on the number of correct answers. Because there is no penalty for wrong answers, it is to your advantage to answer every question in each section. If a question is difficult, you may decide to come back to the question after you have completed all of the questions with which you are familiar.
- The 50001 LA exam will be 4.0 hours.

## 18. EXAMINATION IRREGULARITIES

Any problems, suspected incidences of cheating, alleged inappropriate examination administration, environmental testing conditions severe enough to cause disruption of the process, or other irregularities related to test administration should be addressed to the onsite proctor or to the Certification Director. All such matters will be reported, investigated, and subject to further action based upon policies and procedures adopted by AEE.

## 19. HANDLING OF TESTS

AEE will take all available precautions to ensure the appropriate and secure handling of completed tests. In the rare and extreme case in which the tests become lost or unreadable, candidates will be required to undergo retesting, without being charged a re-examination fee. Candidates will be responsible for their own travel-associated expenses for future testing.

## 20. NOTIFICATION OF RESULTS

Candidates are notified via email of their examination results within 30 days of the test administration. Candidates who successfully complete the examination and whose credentials and application entitle them to certification will be notified by letter and be granted certification. Candidates who did not successfully complete the examination will be notified via email and given a diagnostic report on the reason for their failing.

## 21. RETESTING

In the event that a candidate fails his or her first attempt to pass the exam, AEE requires a waiting period of at least 60 days between the first and second attempt to pass that same exam. Additionally, before any candidate's third attempt or any subsequent attempt to pass the exam, the candidate is required to wait for

a period of at least 60 days from his or her last attempt to pass the exam. Candidates must submit a retesting form, which is provided at [www.aeecenter.org/certification/retest](http://www.aeecenter.org/certification/retest). If the candidate passes the exam, the candidate is prohibited from retaking the same certification exam.

## 22. MAINTAINING CERTIFICATION

The continuing education of certified professionals is essential to cope with the rapidly changing field of energy. Certification renewal notices are mailed and emailed in the 3<sup>rd</sup> year for 50001 LA certification six months prior to the expiration date, which falls on December 31 of that year. Completed certification renewals are to be submitted to the Certification director by December 31<sup>st</sup>. ***Renewal data accrued during the renewal period are not maintained by AEE. It is the responsibility of the individual to maintain a record of renewal data accrued and submit this information at the time of renewal.***

### Activities required for 50001 LA renewal

- 10 PDH of training on topics cover in the exam BOK
- 15 Audit Days, 5 of which are in the role of lead auditor

## 23. RETIRED CERTIFICATION STATUS

A 50001 LA, upon retiring and reaching the age of sixty-five, will be designated as “Retired,” will no longer be required to pay renewal fees, and will no longer be listed in our directory of actively practicing certified professionals. No further reporting is necessary except to notify the Certification Director of meeting the age requirement by sending a copy of the retired applicant’s Driver’s License.

## 24. REINSTATEMENT OF CERTIFICATION

Certified Professionals who do not acquire sufficient certification maintenance requirements to be recertified on the recertification date will be dropped from active certifications and notified in writing of suspension from using the certification designation. They will also no longer be listed as a certified professional in any AEE publication. A 50001 LA that is lapsed more than one year must resubmit to the certification process and successfully meet the criteria for certification by personal data information and pass the examination.

## 25. REQUEST FOR DUPLICATE CERTIFICATE

Any certified professional may request additional copies of his or her certification document. Requests must be made in writing to AEE and may be made at any time. The fee of \$20 must be included with the request. The request for a duplicate certificate form can be found at [www.aeecenter.org/certification/Certrequest](http://www.aeecenter.org/certification/Certrequest).

## 26. USE OF DESIGNATION

The certificate mark and logo are the property of AEE. Permission to use the certification mark or logo is granted to certified persons at the discretion of the AEE’s Certification Board, for permissible uses only. Only AEE Certified Professionals may use the designation with his/her name on organization letterheads, business cards, certain internet listings and forms of address. Certificants may be required to surrender the certificate in the event that it is revoked or suspended

Certification is for individuals only. The designation may not be used to imply that an organization, company or firm is certified. AEE does not endorse or recommend any individual certificant, product or service. Improper usage of certification or AEE logo may result in suspension. If you have questions about usage of the designation, please contact AEE.

**Sample Correct Usage** (Signature or Business Card):

Mary Jones, C.E.M., ISO 50001 LA

**Web Usage:**

John A. Smith is an individual member of the Association of Energy Engineers ([AEE](#)) and is a ISO 50001 Lead Auditor (50001 LA).

**Incorrect Usage:**

ABC Company is Certified by AEE.

**Correct Usage:**

- ABC Company has many ISO 50001 Lead Auditor on its staff.
- ABC Company is looking for a ISO 50001 Lead Auditor candidate for a position.
- John Smith, President of ABC Company, is an individual member of the Association of Energy Engineers and is a ISO 50001 LA
- ABC Company is a Corporate Member of the Association of Energy Engineers (AEE) and has five current ISO 50001 Lead Auditors on staff including.....

## 27. PROGRAM DISPUTES AND SUBMISSION OF PROGRAM COMPLAINTS

Individuals with disputes regarding the assessments, personnel, certificants or other elements of the certification program are encouraged to discuss these with the individuals involved to try to resolve the matter informally. In some cases, however, informal resolution is not possible, and individuals may wish to file a formal complaint. A complaint shall be submitted in writing using the *Complaint Submission Form*, available from the Certification Director upon request, and submitting it to the Certification Director within 90 days of the incident's occurrence. The submission may be mailed, emailed, or faxed. The submission shall include sufficient objective evidence to substantiate the claims and allow for a decision to be made and the appropriate action to be taken. Dissatisfaction based on hearsay shall not be considered as a complaint.