SUBJECT: Accreditation Program for ISO 50001 Energy Management Systems (EnMS)

APPLIES TO: ISO 50001 EnMS ANAB-Accredited and Applicant Certification Bodies

PREFACE

This Accreditation Rule is to inform certification bodies (CBs) of ANAB requirements for accreditation to certify organizations for EnMS conforming with ISO 50001.

ACCREDITATION RULE

1. Requirement Documents (current versions unless specified)
   1.1. ISO 50001, Energy Management Systems – Requirements with guidance for use
   1.2. ISO 50003, Energy management systems – Requirements for bodies providing audit and certification of energy management systems
   1.3. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and accreditation of management systems
   1.4. MA 5000, ANAB Accreditation Manual, and applicable ANAB Accreditation Rules
   1.5. IAF Mandatory Documents as applicable

2. Application Process
   2.1. CBs can obtain applications for informational use at www.anab.org.
   2.2. The application process outlined at www.anab.org must be completed via ANAB’s Enterprise Quality Manager (EQM) database when the CB is ready to apply for accreditation.
   2.3. The application fee includes the cost of one assessor day for the off-site documentation review.

3. Initial Assessments for Accreditation
   3.1. An ANAB accreditation assessor shall conduct a full documentation review.
   3.2. After the documents are found acceptable, ANAB shall conduct an office assessment and required witnessed audits.
      3.2.1. The office assessment shall be conducted on site or remotely (at ANAB’s discretion) and is conducted to ensure the CB’s certification process for EnMS conforms with ISO/IEC 17021-1, ISO 50001, and ISO 50003 and is effective.
   3.2.2. ANAB shall witness the CB conducting a two-stage audit process (stages 1 and 2).
      3.2.2.1. The ANAB assessment team shall have the same number of members as the CB audit team.
      3.2.2.2. Because of the level of expertise needed, ANAB may use technical experts for ISO 50001 witnessed audits. ANAB will invoice the CB for the fees and expenses of the technical expert.

4. Surveillance Assessments
   4.1. ANAB shall conduct an annual office assessment and annually witness the CB team conducting an ISO 50001 audit.
      4.1.1. When possible, the office assessment shall be conducted concurrently with assessments for other ANAB accreditation programs for which the CB is accredited.
4.1.2. During the accreditation cycle, ANAB shall evaluate the CB’s full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification). One of the annual witnessed audits (including the stages 1 and 2 certification audits) during the accreditation cycle may be an ISO 50001+SEP audit. The additional witnessed audits required in the accreditation cycle are based on the CB’s audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or ICT. ANAB Accreditation Rule 18 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

4.1.2.1. Because of the level of expertise needed, ANAB may use technical experts for ISO 50001 witnessed audits. ANAB will invoice the CB for the fees and expenses of the technical expert.

5. Re-accreditation Assessments

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

6. Scope of Accreditation

6.1. There are eight scopes of accreditation, based on the technical areas referred to in ISO 50003. They are:
   a. Industry - light to medium
   b. Industry - heavy
   c. Buildings
   d. Building complexes
   e. Transport
   f. Mining
   g. Agriculture
   h. Energy supply

6.2. The CB is responsible for ensuring the required competence to support the scopes of accreditation is achieved and maintained. The CB’s competence system and the organization’s identified scope shall be able to correlate to the scope of accreditation.

6.3. To expand the scope of accreditation, the CB shall provide a completed scope extension application (via EQM) that includes evidence demonstrating an appropriate level of competence for the desired scopes.

6.3.1. A competent accreditation assessor or technical reviewer will review the application and documentation, including the CB’s competencies and processes for the specific scopes, and prepare a written response on the CB’s conformance, which shall result in one of the following recommendations:
   a. Require a witnessed audit prior to granting the scope.
   b. Grant the scope without a witnessed audit.
   c. Grant the scope with a witnessed audit required at the first opportunity after accreditation.
   d. Not grant the scope.

7. Expected Outcomes for Accredited Certification to ISO 50001

7.1. An organization with a certified ISO 50001 EnMS is expected to demonstrate improved energy performance through the use of its EnMS.

7.2. The CB shall have processes to ensure that its auditors and other personnel for certification are knowledgeable of the expected outcomes and consistently reinforce this with its clients.
8. Requirements for Transition to ISO 50001:2018

8.1. IAF agreed to a three-year transition period from the publication date of ISO 50001:2018.

8.2. ANAB’s transition process is outlined in the ISO 50001:2018 transition application and this Accreditation Rule, including Table 1 below.

8.3. CB Transition Application Process

8.3.1. The CB shall apply for transition by 2019/06/21 following the application process in EQM.

8.3.2. The ISO 50001 transition application specifies the evidence required from the CB.

8.3.3. ANAB will assign an EATL or technical reviewer to review the application and supporting evidence.

8.3.4. The reviewer typically will recommend transition to ANAB management after the application review is successfully completed.

8.3.4.1. If the CB’s documented system, including evidence, cannot be verified during the application review, ANAB’s reviewer shall recommend an office assessment and/or witnessed audit and ANAB will work with the CB to expedite scheduling of the assessment(s).

8.4. Transition Decision Process

8.4.1. After the CB successfully completes the transition activity, ANAB management will make a transition decision in accordance with MA 5000.

8.4.2. When the CB has successfully transitioned, ANAB will update EQM and ANAB’s website.

8.5. ANAB encourages early transition to support market demands; the CB shall be transitioned (including ANAB’s transition decision) by 2019/08/21 (i.e., within 10 months after publication of the standard).

8.5.1. ANAB has established additional critical dates to support the transition timeline as indicated in Table 1 below.

8.5.2. ANAB will follow the process outlined in MA 5000 for suspension and withdrawal of accreditation.

Table 1

<table>
<thead>
<tr>
<th>Critical Date</th>
<th>CB Required Action</th>
<th>ANAB Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>2019/01/01</td>
<td>New application must also include ISO 50001:2018</td>
<td>Accept only applications that also include ISO 50001:2018</td>
</tr>
<tr>
<td>2019/06/21</td>
<td>Apply for transition</td>
<td>Recommend suspension if CB misses deadline</td>
</tr>
<tr>
<td>2019/08/21</td>
<td>Achieve transition</td>
<td>Recommend suspension if CB misses deadline</td>
</tr>
<tr>
<td>2019/10/21</td>
<td>Achieve transition</td>
<td>Recommend withdrawal if CB misses deadline</td>
</tr>
<tr>
<td>2020/02/21</td>
<td>All Audits conducted by CB will be to the revised standard, ISO 50001:2018</td>
<td>If CB uses previous version of standard, identify NCR(s) with potential suspension recommendation</td>
</tr>
<tr>
<td>Date determined for each CB</td>
<td>ANAB office assessment to verify effective implementation of transition process and activity</td>
<td></td>
</tr>
<tr>
<td>Date determined for each CB</td>
<td>ANAB witnessed audit to verify effective implementation of transition process and activity</td>
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</tr>
<tr>
<td>Before or at end of three-year transition period (2021/08/21)</td>
<td>All ISO 50001:2011 certifications expire</td>
<td>All accreditations for ISO 50001:2011 will be withdrawn</td>
</tr>
</tbody>
</table>
8.6. Verification of Effective Implementation

8.6.1. ANAB will verify continued implementation of the revised system at the CB’s next normally scheduled office assessment and at an ISO 50001:2018 witnessed audit during the transition period.

8.6.2. ANAB will conduct the witnessed audit at the earliest possible opportunity following the CB’s transition.

8.6.3. The witnessed audit will fulfill an annual required witnessed audit and the scheduling process will be in accordance with Accreditation Rule 18.

8.7. Transition for CBs with Certified ISO 50001 Clients

8.7.1. The expiration date of ISO 50001:2011 certifications issued during the transition period shall be 2021/08/21 to correspond to the end of the three-year transition period.

8.7.2. The CB can conduct ISO 50001 transition audits to the standard prior to the CB’s transition with ANAB.

8.7.3. After the effective date of the CB’s ISO 50001:2018 accreditation, the CB can issue ANAB-accredited certificates to ISO 50001:2018 in alignment with the requirements in MA 5000 (certification documents section).

8.7.3.1. All witnessed audits in 2020 and beyond shall be conducted to ISO 50001:2018.

8.7.3.2. If ISO 50001:2011 certificates remain in the marketplace after 2021/08/21, ANAB will issue an NCR or suspend the CB’s accreditation.

8.8. Requirement for Data Collection

8.8.1. On a regular basis, the CB shall provide the following data:
   a. Number of ANAB-accredited certifications for ISO 50001:2011
   b. Number of ANAB-accredited certifications for ISO 50001:2018

8.8.2. Submittals are to be completed and provided to ANAB according to the schedule indicated in Table 2 below.

<table>
<thead>
<tr>
<th>Table 2</th>
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<tbody>
<tr>
<td><strong>Reporting Period End Date</strong></td>
</tr>
<tr>
<td>2019/08/31</td>
</tr>
<tr>
<td>2019/12/31</td>
</tr>
<tr>
<td>2020/06/30</td>
</tr>
<tr>
<td>2020/12/31</td>
</tr>
<tr>
<td>End of each month 2021/01/31 through 2021/08/21 (end of transition period)</td>
</tr>
</tbody>
</table>