



# **National Accreditation Board for Certification Bodies**

## **NABCB Policy for Transition to ISO 50001: 2018**

### **1. Background information**

1. The second edition of ISO 50001 Standard has been published **in August 2018** by the International Organization for Standardization (ISO) under the ISO Technical Committee, ISO/TC 301. This second edition cancels and replaces the first edition (ISO 50001:2011), which has been technically revised.
2. The standard specifies requirements for establishing, implementing, maintaining and improving an energy management system (EnMS). The intended outcome is to enable an organization to follow a systematic approach in achieving continual improvement of energy performance and the EnMS.
3. The standard conforms to ISO's requirements for management system standards, including a high-level structure, identical core text, and common terms and definitions, thereby ensuring a high level of compatibility with other management system standards.

### **2. IAF Transition Policy**

#### **2.1 Transition Period**

**IAF Resolution 2017-14** was passed by the IAF General Assembly in Vancouver in October 2017 endorsing a 3-year transition period to ISO 50001:2018 from the date of publication (August 2018).

#### **2.2 Validity of certifications to ISO 50001:2011**

2.2.1 EnMS certifications as per ISO 50001:2011 will not be valid after three years from publication of ISO 50001:2018 (31 August 2021). During this period both ISO 50001:2011 and the revised version ISO 50001:2018 will co-exist

2.2.2 The expiry date of certifications to ISO 50001:2011 issued during the transition period shall correspond to the end of the three year transition period (31 August 2021).

### **3. NABCB Plan for Transition**

**3.1** In the absence of any IAF guidance, NABCB has decided to follow the plan detailed in this document

**3.2 Guidance for Certification Bodies** – The certification bodies are expected to



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follow as given below:

- (i) Accredited certifications to ISO 50001:2018 shall only be issued once the CB has been accredited to deliver certification to the revised standard and after the organization has demonstrated conformity to ISO 50001:2018
- (ii) CBs can conduct transition activities during a routine surveillance, recertification audit or a special audit.
- (iii) Where transition audits are carried out in conjunction with scheduled surveillance or recertification (i.e. progressive or staged approach) then a minimum of **1 auditor man-day** is required to be added to cover existing and new requirements implied by ISO 50001:2018.
- (iv) Recognizing that each client and transition audit is unique, the audit duration will be increased above the minimum as needed to sufficiently demonstrate conformity to ISO 50001:2018.
- (v) CB's shall communicate their transition arrangements to their clients at the earliest
- (vi) CB's shall develop transition plans to address the following:
  - a) Arrangements for communicating with its clients.
  - b) Training and verification of competence of auditors and other staff.
  - c) Timelines for transition of existing clients to ISO 50001:2018 as well as for existing applicants and the cut-off date beyond which the CB will not accept applications as per the old standard
  - d) Arrangements for auditing conformity to the new requirements of standard (for example, will it be a single visit or a staged approach.
  - e) How the CB will ensure clients' ongoing conformity to ISO 50001:2011 through the transition process.
  - f) How the CB plans to use the results of any evaluation activities conducted during the DIS or latest draft stage document before the ISO 50001:2018 was published, if any.
  - g) Action to be taken in respect of clients that have failed to complete the transition by three years after the publication of ISO 50001:2018. For example, the level of audit necessary for certification to be restored.

### **3.3 CB shall also ensure the following:**

- (i) Smooth transition of existing clients to ISO 50001:2018 version, before the expiry of the previous version of the standard
- (ii) All issues that require client action for conformity with the new requirements shall be clearly identified and raised as documented findings
- (iii) Only when all identified outstanding issues have been appropriately addressed and the effectiveness of the management system demonstrated, can auditors recommend certification to the published ISO 50001:2018 standard.



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- (iv) Records shall be available to verify that all prior transition audit findings have been evaluated for corrective action and conformity before any recommendation for approval to ISO 50001:2018 can be made
- (v) The evaluation of a client's conformity to the new requirements during the transition phase does not interfere with the client's on-going conformity to ISO 50001:2011.
- (vi) The decision to issue certification to ISO 50001:2018 shall only be made once actions in respect of all outstanding major non-conformities have been reviewed, accepted and verified and the client's corrective action plan for any minor non-conformities has been reviewed and accepted.

### **3.4 Steps planned to be taken by NABCB**

The following items will be considered by NABCB AT while assessing transition, through offsite document review, onsite assessment and witness assessments as applicable:

- (i) Adequacy of the transition plan drawn out by the CB to ensure smooth transition of its clients to the standard ISO 50001: 2018 and its implementation.
- (ii) Adequacy of the changes made by the CB in its documentation system (including procedures, format, etc) reflecting the changed requirements, to ensure effective transition and the implementation of the documented system
- (iii) Training and verification of competence of assessors and other staff, including the training related to auditing EnMS.
- (iv) Demonstration of appropriate skills and knowledge, as identified by the CB, based on the requirements of ISO 17021-1 and ISO 50003 including evaluation of achieved competence. Identification of competence criteria (Skills and knowledge) shall include all functions of the CB involved in certification activities.
- (v) Assessments that include the transition to ISO 50001:2018 shall focus on changes to be implemented by CBs as a result of implementing the new requirements; primary consideration will be given to consistent interpretation of the requirements, competence, reporting and any associated change in audit methodology. The assessment will also review the CB's arrangements for transiting its clients.
- (vi) For accredited CBs that have issued only accredited ISO 50001:2011 certificates, at a minimum NABCB shall conduct a **documentation review for a minimum of one assessor man-day. This can be done during an onsite office assessment, if desired by the CB.**
  - a) If the output of the review is positive the new accreditation certificate may be issued
  - b) If the output is negative, NABCB will decide about any additional evaluation needed (i.e. additional documentation review or an office assessment or witnessing an audit conducted by the CB)



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### **4.0 Implementation:**

Keeping in view the processing times for new applications, NABCB has approved the following policy for transition;

1. All CBs, accredited/applicants to ISO/IEC 17021-1 for EnMS (ISO 50001:2011) scheme, shall submit a plan for transition by **31 January 2019**. The plan shall clearly indicate the date by which the CB would transit to ISO 50001:2018.
2. Any application for accreditation pending on **28 February 2020** shall be processed for accreditation only after the CB demonstrates that it has switched to ISO 50001:2018.
3. All applications after **28 February 2020** would be accepted for certification to ISO 50001:2018.
4. All assessments of accredited/applicant CBs, after **28 February 2020**, shall be conducted for certification as per ISO 50001:2018. Any request for assessment before this date for certification against ISO 50001:2018 shall be accepted.
5. Any non-compliance relating to implementation of the revised version of ISO 50001:2018 shall be raised as Concern till **31 August 2020** after which they shall be raised/upgraded as NCs and would have to be addressed by CBs within prescribed timelines.
6. CBs shall cease conducting audits, including initial, surveillance and recertification to the ISO 50001:2011 wef **31 August 2020**. The outcomes of such audits to the revision of ISO 50001:2011 shall be considered by the CBs for further decision on accredited certifications to ISO 50001:2011 as deemed appropriate.
7. Since IAF has declared a three year transition policy from Aug 2018 (from the date of publication of the revised standard), the above arrangement of timing the transition assessment (document review) would continue till **28 February 2021**. Thereafter, CBs who have not followed up on informing the changes and getting the changes reviewed, would be subject to a special office assessment organized for the transition as per item **3.4 (vi)** described above.

This policy shall apply to all accredited and applicant certification bodies (CBs) seeking accreditation by NABCB for the provision of EnMS certification as per ISO 50001:2018.

This policy shall remain current until **31 August 2021**.

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