

Annex to Certification Regulation

TÜV AUSTRIA Group – Business Assurance



Certification Regulation for Energy MS

Standard or Certification scheme:

ISO 50001:2011 / ISO 50001:2018

Accreditation Standard:

ISO 17021-1:2015

Certification Cycle:

The certificate is valid for three years. To maintain the validity of the certificate, annual surveillance audits shall be carried out. Before the expiration date of the certificate, a recertification audit is conducted in order to renew the validity of the certificate for the next three year cycle.

The certification audit is carried out in two stages. Stage 1 may not be implemented at the customer premises. The interval between the two stages shall not exceed six months. If this period elapses or significant changes occur that affect the MS, stage 1 must be repeated. Stage 1 audit findings may lead to postponement or cancellation of Stage 2.

Audit planning and time table. Surveillance audit process has to be completed annually, with due date the date of the certification decision after the Initial Certification audit. Correspondingly the re-certification audit process has to be completed within the same time frame. Example:

Certification Decision	1 st Surveillance audit	2 nd Surveillance	Re-certification audit
15/7/2020	15/7/2021	15/7/2022	15/7/2023

In case of exceeding time limits certificate is suspended for six months and after this period finally withdrawn.

In recertification audits, a stage 1 may be conducted when there have been significant changes in the management system or in the framework within which it operates (eg changes in legislation), and the client.

If continual improvement of the energy performance has not been demonstrated since the last audit, this shall be considered as a Non conformity.

Transition to ISO 50001:2018

As part of the transition plan from ISO 50001:2011 to ISO 50001:2018 governed by international IAF and Accreditation regulations, the following apply:

- ✓ A three-year transition period is provided for the adaptation to the requirements of the ISO 50001:2018 starting from its date of issue until 21 August 2021
- ✓ All ISO 50001:2011 Certifications shall expire or be withdrawn at the end of the transition period (21 August 2021)
- ✓ Conduction of audits, including initial, surveillance and re certification to the ISO 50001:2011 shall cease 18 months (21 February 2020) from the date of publication of the revised standard.
- ✓ After 21 August 2021 the accredited certification bodies shall issue certificates (new certifications / recertifications) exclusively according to the revised EN ISO 50001:2018

Audit Evaluation Criteria / Characterization of Non Conformities:

- | | |
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| <p>1: Full conformity</p> | <p>3: Non Conformity (-ies): Correction through the submission of Documents</p> |
| <p>2: (O): Points of Improvement, the effectiveness of the corrective actions are evaluated during the next audit</p> | <p>4: Non Conformity (-ies): Correction through Re-audit</p> |

Time allowed to close Non

Certification Audit: 2 months after the completion of stage 2.
Surveillance Audit: 2 months after the date of the audit or no later than the due date of

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Conformities:	the Certification Decision Recertification Audit: 2 months after the date of the audit or no later than the due date of the Certification Decision
Contractual Duration:	The duration of the service and the contractual obligation comes into force upon signature by both parties (TÜV AUSTRIA and Client Organization) and is valid for (3) three years of the relevant offer in cases of initial certification or re - certification. In case of Accredited Certification Transfer, the duration covers the validity period of the transferred certificate. In case of transition to a new version of the standard, the duration of contractual obligation is valid until the certification expiry date mentioned on the relative paragraph of the regulation.