

SEP 50001 (2019) Transition Guide

Revised May 30, 2019

With Addendum 1: December 9, 2019

With Addendum 2: May 13, 2020



ADDENDUM 2: May 13, 2020 Notification of COVID-19 Updates

The SEP 50001 Program Administrator issues the following interpretation, which will also be included in the SEP 50001 Interpretation by the ANSI-accredited SEP 50001 standards developer, Georgia Institute of Technology Energy & Sustainability Services (GTESS).

SEP 50001 (2019) Transition Period Extended by Six Months

SEP 50001 will extend the transition period for the SEP 50001 (2019) program for six months to address the issues organizations and certification bodies / Verification Bodies are experiencing due to COVID-19. This extension aligns with the International Accreditation Forum (IAF) decision for extension of transition periods (see [IAF COVID-19 FAQs](#), scroll to Question 20).

The program anticipates that organizations may need to apply for non-routine adjustments due to operational adjustments to address shutdowns, reduction in operating hours etc. The existing non-routine adjustment process and approval form [SEP 50001 Form 3](#) for the SEP 50001 (2019) program can be used in such cases, therefore, additional modifications related to the model requirements are not considered necessary at this time.

Recertification Activities

An ISO 50001 certificate is audited based on the requirements of ISO/IEC 17021-1:2015 which allows for a certificate to be restored within a six-month period (see § 9.6.3.2.5). This option is also supported by [IAF FAQ, Question 25](#). **During the six-month extension, the SEP 50001 Program Administrator has determined the following provision is permitted for recertification activities:**

- The SEP 50001 (2019) program and ANSI/MSE 50028-2:2019 standard allows for this option.
- For users of the SEP 2017 and SEP 2012 versions, the GTESS SDO and SEP 50001 Program Administrator have confirmed the use of the provision in the ISO/IEC 17021-1:2015 § 9.6.3.2.5 is allowed

This confirmation will allow certification bodies, verification bodies, and organizations to apply the ISO/IEC 17021-1:2015 § 9.6.3.2.5 condition during the six-month transition extension to their SEP 50001 system regardless of which program version is used: SEP 2012, SEP 2017, or SEP 50001 (2019). No additional action is required by the certification body, verification body, or organization to use this provision other than those contained within ISO/IEC 17021-1:2015 and any associated accreditation documents.

The SEP 50001 Program Administrator reserves the right to request a list of certificates to which a certification body or verification body has applied this provision at the end of the six-month extension period.

Refer further questions to the SEP 50001 Program Administrator at SEP50001@ee.doe.gov.

ADDENDUM 1: December 9, 2019 Notification of Program Document Updates

This addendum communicates the effective date and transition guidance for Superior Energy Performance 50001 (2019) documents that were re-issued after the publication of this Transition Guide in response to requested clarifications. The links on page 3 of this document (internal pagination) remain unchanged and direct to the updated documents. The following program documents were re-released on **December 9, 2019**:

- *The [Register of Implemented Energy Performance Improvement Actions](#)* – correction applied to the Reconciliation Factor formulas on the “Automated Register” worksheet (Cell N59) and “Automated Register (Unlocked)” worksheet (Cell N25). Revision V1.0.6; replaces V1.0.5. No requirements were added.
- *[Measurement and Verification \(M&V\) Protocol](#)*, Document date: May 6, 2019, updated October 29, 2019. The following clarifications introduced no new requirements.
 - Practical examples replace general examples in Section 5.1.4.2: *On-site Extraction or Generation of Energy from Natural Resources*.
 - Section 5.1.4.4: *Feedstock and Resulting Energy Types* clarifies that energy that is delivered to the facility and used as a feedstock or flared for its disposal (rather than consumed as energy) may be excluded from the energy accounting. The section also clarifies and expands detail on the energy accounting of energy types resulting from the processing of feedstock that are consumed within or delivered away from the facility boundaries. The organization may select the point at which an energy type resulting from the use of a feedstock is metered and accounted for, as long as it is at a reasonable location in relation to the generation and use of that energy type.
- *[Scorecard](#)* – Revision: **December 1, 2019**; replaces July 17, 2019 version.
 - Added training requirement: the 50001 Certified Practitioner in EnMS who signs the *Declaration* must have completed the [SEP 50001 Specialist Training for 2019](#).
 - Additionally, we clarified the instructions in the Excel-based *Declaration* to help users navigate and populate the spreadsheet more easily.

Revision Effective Date: January 6, 2020

The updated versions will replace the prior versions and go into effect on January 6, 2020. The SEP 50001 Program Administrator will accept applications for certification or recognition from organizations using the updated document or the version that it replaces until January 6, 2020. After this date, the Administrator will only accept applications from organizations using the latest revision. No notification of transition to the updated documents is required. Verification bodies will indicate the revision date of the *M&V Protocol* used on the *Energy Performance Improvement Report* and/or associated audit report.

After January 6, 2020, if a certified organization submits the *Scorecard Declaration* signed by a 50001 CP EnMS who has *not* taken the SEP 50001 Specialist Training (in accordance with the updated requirement), then the organization will need to take steps to satisfy the requirement before the Administrator reviews the *Declaration*. The organization may have the 50001 CP EnMS take the SEP 50001 Specialist Training for 2019, or engage a different individual who already meets the requirements. The 50001 CP EnMS who meets the *Scorecard's* requirements may then re-sign and re-date the *Declaration*, and the organization may resubmit it to the Administrator.

No training or competency requirements were added to the *Register* or *M&V Protocol*. It will be in the organization's best interest to use the updated versions of the *Register* and *M&V Protocol*; however, no penalty will be applied for using the *Register* V1.0.5 or the May 6, 2019 version of the *M&V Protocol* (prior to the updates).

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Name Change

The U.S. Department of Energy (DOE), the administrator of Superior Energy Performance (SEP) program, is committed to continually improving user experiences and benefits connected with the program—thus expanding its adoption and use. A core element of SEP, the ISO 50001 standard for energy management systems, was updated by the International Organization for Standardization (ISO) in 2018. An [ISO 50001 transition guide](#) to review the changes in the 2018 version is available. To streamline and better align with ISO 50001:2018, DOE has released an updated SEP program.

Part of the update includes changing the SEP program name to “SEP 50001” to convey DOE’s cohesive approach to encouraging energy management. DOE’s Advanced Manufacturing Office supports two major programs to encourage uptake of [ISO 50001](#) and prove the business case:

- **50001 Ready:** Recognizes organizations that establish the foundational structure of ISO 50001, without requiring any third-party audits or certifications. Provides user-friendly, self-paced navigation through the proven principles of ISO 50001.
- **Superior Energy Performance 50001 (SEP 50001):** Offers technical resources to help facilities implement ISO 50001 and gain SEP 50001 program certification (including ISO 50001 certification) for demonstrating energy management excellence and sustaining energy savings. Once certified, organizations can apply for DOE recognition for Silver, Gold, and Platinum performance levels. *Formerly named Superior Energy Performance (SEP).*

This name change better reflects DOE’s comprehensive approach to energy management. The separate yet complementary programs encouraging broad use of ISO 50001, allowing any size or type of organization to participate and earn recognition—whatever their level of experience.

Superior Energy Performance 50001™ (SEP 50001™)

Facilities and organizations that achieve sustained excellence in their use of energy management systems (EnMS) may earn certification to **Superior Energy Performance 50001 (SEP 50001)** and gain elevated DOE recognition using the SEP 50001 Scorecard. To become certified, facilities implement an energy management system that meets the ISO 50001 standard and demonstrate improved energy performance. An independent, accredited third party conducts an audit to check conformance with SEP requirements and verify achievements in energy performance improvement.

In the updated 2019 program, once an organization has been certified to SEP 50001, it may use the SEP 50001 Scorecard to earn recognition from DOE at the Silver, Gold, or Platinum performance level. The streamlined Scorecard continues to focus on enhanced energy management and energy performance improvement, but it is now separate from the SEP 50001 program certification program and is no longer part of the certification audit.

Benefits

SEP 50001 (2019) leverages ISO 50001 to enable business leaders to establish a practice around the use of energy that reduces business risk and improves productivity and operations. Verification of energy performance improvement provides proof of performance:

- Optimize energy consumption
- Realize greater cost savings
- Increase cost competitiveness
- Inform decision making with data
- Raise visibility of successful facilities
- Earn national recognition

Key Enhancements

DOE revised the program to reduce costs and facilitate implementation across sectors. Key enhancements:

- **Reduced on-site audits for multiple sites through sampling:** Organizations with multiple facilities save big as audits can now sample both the energy management system and energy performance improvements at just a small share of sample sites. Sampling requirements are consistent with those for enterprise certification to other ISO management systems (i.e., round up from the square root of the total number of sites seeking certification).
 - As examples, an organization with 12 facilities (square root is 3.46) will need only 4 sites audited for the sample, and an organization with 80 facilities (square root is 8.94), only 9.
- **Net-positive performance:** Use of the *SEP 50001 Program Measurement and Verification Protocol* provides strong assurance of continual savings. In alignment with ISO 50001:2018, SEP 50001 requires that energy performance improvements be above zero—helping level the playing field for organizations with a long history of responsible energy management.
- **Flexibility in choice of certification body:** ISO 50001 and SEP 50001 audits may be conducted by the same or different certification bodies (CBs)—a boon for organizations already certified to ISO 50001 *and* for those that already have a CB for ISO-related audits.
- **Highly qualified lead auditors:** Lead auditors must hold the “Energy Professionals International (EPI) ISO 50001 Lead Auditor” credential, which indicates they passed a rigorous exam (consistent with ISO 50003). To audit for SEP 50001, they also complete specialized training on SEP 50001 (2019) program.
- **Performance verification option:** Organizations seeking recertification may have an SEP Performance Verifier return to confirm year-on-year energy performance improvements. Organizations may also use this strategy to benefit from third-party incentives, awards, and other recognition (e.g., more credits within the SEP 50001 Scorecard).

How DOE Can Help You with the Transition

Gain a better understanding of the SEP 50001 (2019) program and ISO 50001:2018:

- **SEP 50001 program website, www.energy.gov/SEP50001**
- **[SEP 50001 Specialist Training for 2019](#)** (\$100): Gain an understanding of the updated SEP 50001 (2019) program in this 3-hour (approximate) online course with knowledge checks.
- **[ISO 50001:2011 to 2018 Transition Guide](#):** This handy guide provides a detailed section-by-section comparison of the differences between the 2011 and 2018 versions of ISO 50001, along with a summary of each change and recommended actions for updating your energy management system to conform with the 2018 version requirements. This guidance was jointly developed by DOE, Lawrence Berkeley National Laboratory, and the U.S. Technical Advisory Group to ISO TC 301.
- **[ISO 50001:2018 Update](#)** (\$99): Register now for this 2-hour online training course with knowledge checks to obtain updates on these changes and define the next steps to align your energy management system with ISO 50001:2018. See [other ISO 50001 and SEP 50001 courses](#).
- **Email support:** contact SEP50001@ee.doe.gov with questions

SEP 50001 (2019) Program Documents

The 2019 versions of the program documents replace earlier versions for certification to SEP 50001 (2019).

To access program documents, click on links in the table below or visit the program pages for [SEP 50001 \(2019\)](#), [SEP 2017](#), and [SEP 2012](#).

SEP 50001 (2019) 	SEP 2017	SEP 2012
ISO 50001: 2018	ISO 50001:2011	ISO 50001:2011
SEP 50001 Application	SEP Application	SEP Application
SEP 50001 (2019) Pre-approval Form for Alternative Approaches	SEP 2017 Pre-approval Form for Alternative Approaches	SEP 2012 Pre-approval Form for Alternative Approaches
	SEP Enrollment Form	SEP Enrollment Form
ANSI/MSE 50028-1:2019	ANSI/MSE 50021-2016	ANSI/MSE 50021-2013
SEP 50001 Program Certification Protocol 2019	SEP Certification Protocol 2016	SEP Certification Protocol 2012
SEP 50001 Program M&V Protocol 2019	SEP M&V Protocol 2017	SEP M&V Protocol 2012
Register of Implemented Energy Performance Improvement Actions	Automated Register of Implemented Actions	
SEP 50001 Scorecard & Declaration (Not needed for certification. For Silver, Gold & Platinum)	SEP Scorecard 2016 (For Gold and Platinum only)	SEP Industrial Facility Best Practice Scorecard 2012 (For mature pathway only)
GTESS Interpretations on SEP 50001 (2019) Documents	GTESS Interpretations on SEP 2017 Documents	GTESS Interpretations on SEP 2012 Documents
		Policy Notification for Commercial Buildings
SEP 50001 (2019) Voluntary Cost/Benefit Form	SEP 2017 Voluntary Cost/ Benefit Form	SEP 2012 Voluntary Cost/ Benefit Form
SEP 50001 (2019) Energy Performance Improvement Report (for SEP 50001 VBs and internal SEP PV at multi-site)	SEP 2017 Energy Performance Improvement Report (for SEP VBs)	SEP 2012 Energy Performance Improvement Report (for SEP VBs)
ANSI/MSE 50028-2:2019 (for SEP 50001 VBs)	ANSI/MSE 50028-2016 (for SEP VBs)	ANSI/MSE 50028-2012 (for SEP VBs)

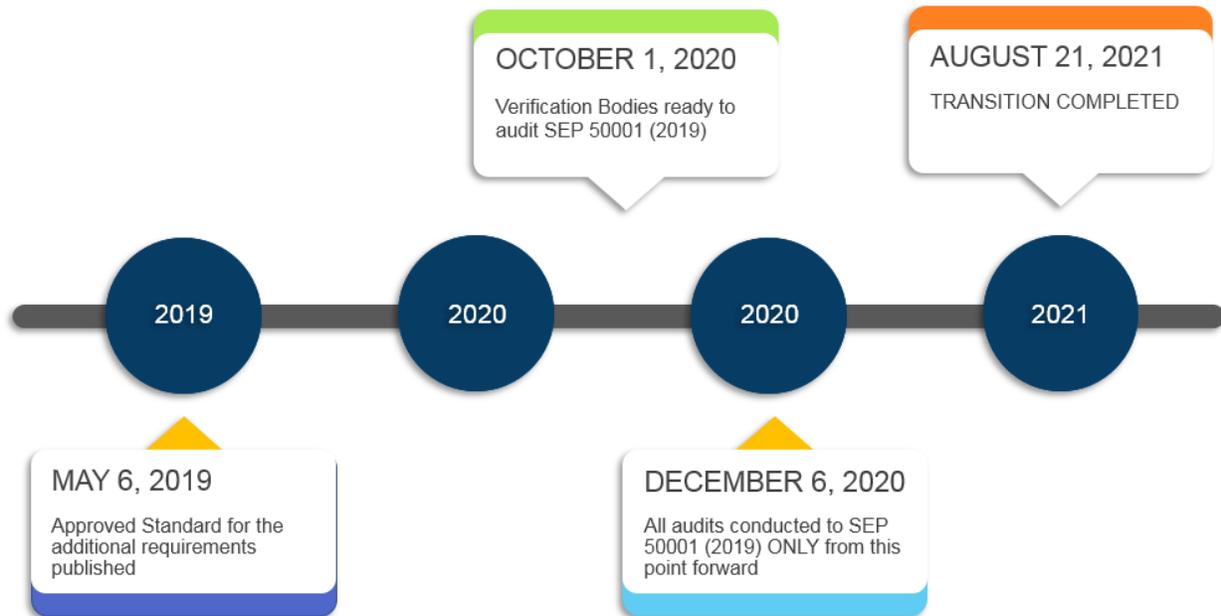
Transition Timing and Options

DOE has streamlined the SEP 50001 transition for participants by aligning with the ISO 50001:2018 transition timeline¹ in which organizations must be fully transitioned by **August 21, 2021**. See [Addendum 2 for COVID-19-related impacts](#). Transitioning sooner versus later is recommended. For organizations already certified to SEP 2017 or SEP 2012 and those pursuing initial certification, the transition timing requirements and options are below.

Transition Timing

See [Addendum 2 for COVID-19-related impacts](#)

ISO 50001	SEP 50001
<ul style="list-style-type: none"> August 21, 2018: ISO 50001:2018 published; ISO 50001 transition begins. 	<ul style="list-style-type: none"> May 6, 2019: SEP 50001 (2019) program standards published; SEP 50001 transition begins
<ul style="list-style-type: none"> February 21, 2019: Accreditation Bodies ready to carry out transition assessments for Certification Bodies. 	<ul style="list-style-type: none"> August 21, 2019: Accreditation Bodies ready to carry out transition assessments for Certification Bodies.
<ul style="list-style-type: none"> February 21, 2020: Certification Bodies complete transition with Accreditation Bodies for ISO 50001:2018 	<ul style="list-style-type: none"> October 1, 2020: Certification Bodies complete transition with Accreditation Bodies for SEP 50001 (2019) program.
<ul style="list-style-type: none"> February 21, 2020: As of this date, no audits (initial, surveillance, recertification, or transfer) shall be conducted to ISO 50001:2011 	<ul style="list-style-type: none"> December 6, 2020: As of this date, no audits (initial, surveillance, recertification, or transfer) shall be conducted to SEP 2012 and SEP 2017.
<ul style="list-style-type: none"> August 21, 2021: By this date, organizations must be fully transitioned to ISO 50001:2018; certificates to ISO 50001:2011 will be withdrawn. 	<ul style="list-style-type: none"> August 21, 2021: By this date, organizations must be fully transitioned to SEP 50001 (2019); certificates to SEP 2017 and SEP 2012 will be withdrawn.



¹ To learn about ISO 50001 updates, please visit the ISO website and view the [ISO 50001:2011 to 2018 Transition Guide](#). This SEP 50001 Transition Guide does not provide a complete overview of ISO 50001 updates or transition.

Transition Options

SEP 50001 Verification Bodies will work with their clients to develop the best pathway for the transition. For example, transition options through a SEP 50001 Verification Bodies may include a variety of options, such as transition at recertification, through a special audit, or surveillance + recertification, or surveillance + special audit. Certified organizations should confer with their SEP 50001 Verification Bodies to assess transition options offered and which option is best suited to meet the organization's needs. If the organization is interested in using the multi-site option available in the SEP 50001 (2019) program, they need to contact their SEP 50001 Verification Bodies to determine the best plan for this option.

Key Changes in SEP 50001 (2019)

SEP 50001 (2019) includes improvements throughout its program documents. Key changes are noted below. Some items below were already included in the SEP 2017, so not a change from SEP 2017 to SEP 50001 (2019).

- Allows multi-site ISO 50001 and SEP 50001 certification per ISO 50003 and multi-site sampling of surveillance audits for SEP 50001
- Required energy performance improvement for certification, now aligned with ISO 50001, is greater than zero
- Uses same technical areas as ISO 50003; all technical areas are eligible for SEP 50001
- An organization can attain ISO 50001 certification and add SEP 50001 certification (but cannot get certified to SEP 50001 and then add ISO 50001 certification)
- SEP 50001 certificates are not reinstated, unlike ISO 50001 which allows certificates to be restored if, following expiration of certification, the certification body can restore certification within six months provided that the outstanding recertification activities are completed
- ISO 50001 & SEP 50001 audits may be conducted by the same or different certification bodies
- Scope and boundary statement needed for each site in SEP 50001 even for multi-site (enterprise) level ISO 50001
- SEP 50001 scope and boundaries may be different than that of ISO 50001 system (may be a subset of the latter)
- Facility now defines as subset, whole or multiple sites. A facility made of "multiple sites" could be:
 - a) multiple sites within close geographic proximity as one facility with a common ISO 50001 EnMS or
 - b) multiple facilities under one central office, per ISO 50003
- Performance levels (Silver, Gold, and Platinum) are no longer part of SEP 50001 certification.
- SEP 50001 Scorecard is no longer a normative reference and not audited for certification
- The enrollment form is discontinued, now incorporated in the application
- The *Register of Implemented Energy Performance Improvement Actions* is a required form and is submitted to the SEP 50001 Verification Body, this incorporates a "Bottom up Comparison"
- "Primary energy" and "delivered energy" terms are new
- Updated renewable information and included net zero information
- Develop a list of equipment, systems and processes that account for 80% of the total annual energy consumption
- Training for energy team shall be recorded
- Improved alignment with ISO 50047 Determination of energy savings in organizations
- Added 30-day pause to Stage 2 audit to obtain SEP 50001 Program Administrator approvals that are determined as needed
- Early recertification is allowed, one or two years after the last certification/recertification
- An internal audit of SEP 50001 requirements is conducted at least once in every certification cycle and prior to initial certification
- SEP 50001 Lead Auditor replaced with "Lead Auditor for SEP 50001" (an EPI ISO 50001 Lead Auditor with additional SEP 50001 training)
- SEP 50001 certificates no longer list the verified SENPI value (this is included in the Energy Performance Improvement Form)
- Audit duration updated and clarified
- Audit program planning required for surveillance and recertification updated

Certified Personnel

SEP 50001 (2019) Certified Personnel – Transition Audit Team Requirements

Credentials for the SEP 50001 (2019) program are listed below. A transition audit shall only be conducted by qualified third party auditors who are competent in SEP 50001 (2019). The Institute for Energy Management Professionals (IEnMP) maintains an online list of certified personnel which indicate the status relative to the SEP 50001 (2019), SEP 2017, and SEP 2012 programs (<https://ienmp.org/certifications/find-a-professional/>, click on the “See All Professionals” button).

SEP 50001 (2019) Version	SEP 2017 Version	SEP 2012 Version
Lead Auditor for SEP 50001 (EPI ISO 50001 Lead Auditor with SEP Specialist 50001 Update Training for 2019)	SEP Lead Auditor (SEP LA)	SEP Lead Auditor (SEP LA)
SEP Performance Verifier	SEP Performance Verifier	SEP Performance Verifier
50001 Certified Practitioner in Energy Management Systems (50001 CP EnMS)	Certified Practitioner in Energy Management Systems (CP EnMS)	Certified Practitioner in Energy Management Systems (CP EnMS)

Update Your Credential to SEP 50001 (2019)

For those who already hold the SEP 2017 and SEP 2012 credentials, additional training with knowledge checks is necessary to update to SEP 50001 (2019):

1. [ISO 50001: 2018 Update](#) (\$99): Learn about the recent changes to ISO 50001. This ~2-hour online training with knowledge checks is offered by Georgia Tech Professional Education.
2. [SEP 50001 Program Specialist Training for 2019](#) (\$100): Gain an understanding of the 2019 version of the SEP 50001 program. This online training with knowledge checks is offered by Georgia Tech Professional Education, which will provide a completion certificate upon successful completion.

These trainings are offered online for access anywhere, anytime. Knowledge checks must be completed with at least an 80% passing score, with three attempts to pass. IEnMP will issue a certificate for the 2019 program credentials when the candidate has provided the information required. (See the [IEnMP website](#) for details on the information required for each type of certified personnel).

Individuals already certified to CP EnMS, SEP LA, and SEP PV can maintain their current certifications based on the SEP 2012 and SEP 2017 Program Documents until audits to SEP 2012 and SEP 2017 are no longer allowed.

Requirements Changed for Lead Auditor for SEP 50001

The SEP Lead Auditor credential will be sunsetted on the date that audits are no longer allowed for SEP 2012 and SEP 2017; to be replaced by the **Lead Auditor for SEP 50001**. The new requirements for this credential are:

1. [Energy Professionals International \(EPI\) ISO 50001 Lead Auditor](#) credential, an internationally-recognized certification administered by the IEnMP. To prepare for the exam, optional [training](#) is available. (Until IEnMP updates this exam to incorporate for ISO 50001:2018, the [ISO 50001: 2018 Update](#) training with knowledge checks is also required.)

2. [SEP 50001 Program Specialist Training for 2019](#) (\$100): Gain an understanding of the 2019 version of the SEP 50001 program. This online training with knowledge checks is offered by Georgia Tech Professional Education, which will provide a completion certificate upon successful completion.

New Entrants

Professionals who are not yet certified by IEnMP will qualify for SEP 50001 (2019) by passing certification exams. Certification exams are being revised to comply with the SEP 50001 Program Documents and will be available starting later this year. All exams will be offered in testing centers which are arranged based on the candidate's location and preferences.

Certification	Exam Description	Time Frame	Time Commitment	Cost
50001 CP EnMS	50001 CP EnMS Exam	Q1 2020	Estimated 5 hours	\$ 590.00 Exam
EPI ISO 50001 Lead Auditor*	EPI ISO 50001 LA Exam	Q4 2019	Estimated 3 to 4 hours	\$ 495.00 Exam
SEP Performance Verifier	SEP PV Exam	Q1 2020	Estimated 3 to 4 hours	\$ 495.00 Exam

*To serve as the Lead Auditor for SEP 50001, the EPI ISO 50001 Lead Auditor will also complete the SEP 50001 Program Specialist Training for 2019.

International Availability

These exams are available internationally upon request. Past participants have included Canada, Mexico, Republic of Korea, Turkey, and others. International candidates should contact IEnMP for more information.

SEP 50001 Verification Bodies

Verification Bodies will submit an application to ANAB to update its accreditation to SEP 50001 (2019), and can certify facilities to SEP 50001 (2019) program once:

- Audit team members have completed online training with knowledge checks, [Update on ISO 50001:2018](#) and [SEP 50001 Specialist Training for 2019](#). Upon successful completion of the online training, Georgia Tech Professional Education will issue a completion certificate to the audit team member.
- Procedures and processes have been updated to the SEP 50001 (2019) program
- ANAB application has been approved.

Once accreditation for SEP 50001 (2019) is successfully completed, the Verification Body will sign an agreement with the U.S. Department of Energy to officially become and serve as an SEP 50001 Verification Body.

Contact

For questions, please contact the SEP 50001 Program Administrator: SEP50001@ee.doe.gov