Revised e-Stewards Transition Plan
Requirements for Transitioning from V2 to V3 of e-Stewards Standard
Published and effective August 9, 2017
(Key revisions in green font)

IMPORTANT NOTE, applicable to all, regarding expiration of V2 certifications: As of close of business on September 15, 2018, the e-Stewards program administrator will withdraw Version 2.0 of the e-Stewards Standard (V2) and all accreditations and certifications to V2 must be withdrawn and will become invalid. This is also the date when the ISO 14001:2004 Standard becomes invalid.

e-Stewards® Accreditation Bodies (AB), Certification Bodies (CBs), Certified e-Stewards Recyclers/Refurbishers (organizations), and organizations in the process of becoming certified to the e-Stewards Standard must meet the following requirements for transition to the e-Stewards Standard Version 3 (V3):

1. **For Certified e-Stewards Recyclers/Refurbishers (organizations)**

Certified e-Stewards organizations must have their systems certified to V3 by September 15, 2018, or lose certification on that date, as both the ISO 14001:2004 standard and e-Stewards Version 2.0 become obsolete at that time.

Certified e-Stewards organizations shall obtain a copy of the revised e-Stewards Standard Version 3.0 at http://e-stewards.org/learn-more/for-recyclers/access-the-standard/purchase-the-standard/. The Standard has changed in format, fully reflecting the new structure and content of ISO 14001:2015, as well as some limited changes in performance and administrative requirements, and should be reviewed thoroughly. Measures to upgrade your existing management system to conform to V3 should be implemented as soon as possible. This is to ensure that your upgraded management system is implemented, with results recorded and reviewed by top management prior to the next scheduled audit.

Certified e-Stewards organizations that have surveillance or recertification audits scheduled before January 1, 2018 may choose to be audited to either V2 or V3 of e-Stewards Standard. Organizations, however, are encouraged to use the V3 Standard as audit criteria starting in September 2017 or sooner, so that your company can remain on your regular annual cycle and close out all V3 nonconformities prior to V2 certificates becoming invalid on Sept 15, 2018. After January 1, 2018, all audits will be conducted using V3, and any discrepancies will be noted as nonconformities.

Also, please be aware that, following consultation with stakeholders and in order to minimize disruption to annual audit schedules, the e-Stewards program administrator has decided to allow CBs to conduct audits to V3 once each CB has determined they are able to support an audit to V3 (e.g., auditor competence, audit duration, etc.) but before they have fully transitioned their accreditation to V3 with ANAB.

However, a certificate to V3 cannot be issued until the CB has transitioned its accreditation to V3 with ANAB. Therefore, this could mean a delay in receiving a V3 certificate, if your CB has not yet completed its transition process with the accreditation body when they complete your audits. Ask your CB about

the status of their transition to e-Stewards V3 accreditation and proceed with an agreed-upon plan for transition to V3.

2. **For organizations in the process of initial e-Stewards certification**

These organizations may choose to be certified to either V2 or V3 until January 1, 2018. However, V2 becomes obsolete on September 15, 2018, and it is essential to prepare for V3 certification months in advance of audits to ensure that the management system is implemented, with results recorded and reviewed by top management prior to the initial audit. In addition, you may need months of time to close out any nonconformities following the CB audits. At this time, an incoming recycler/refurbisher would be well advised to set up their system and be certified to V3.

3. **For e-Stewards Certification Bodies**

Accredited e-Stewards Certification Bodies (CBs) shall obtain a copy of the V3 Standard and review it thoroughly. CBs should implement the revised Standard within their own management systems within 2 months of the issue date of V3 and achieve transition/accreditation to V3 as soon as possible. The e-Stewards program administrator is allowing CBs to complete their transition to V3 accreditation utilizing the new 'Declaration of Transition' process by ANAB, including requirements found in Annex A of ANAB's e-Stewards 'Declaration of Transition' document.

Due to a possible time gap between ANAB accreditation to V3 and each CB's regularly scheduled office assessment by ANAB, which will include verification of the Declaration, BAN will be conducting 'desk audits' with each CB after they transition.

The CB must develop and implement a written e-Stewards Transition Plan, ensuring its own e-Stewards V3 certification program is revised and its clients' V3 certifications are achieved by the deadlines. The CB's Transition Plan shall document with deadlines:

a) Each aspect of the CB's transition necessary to fully implement V3 requirements for existing clients and for new clients, including having:
   - Adequate competent V3 personnel (see below);
   - Upgraded all relevant documents within the CB's management system , including, as appropriate, applications for certification, quotation templates, auditor time calculation formulae, audit checklist, audit report template, nonconformity report template, certificate template, etc.;
   - A process to assure all certificates issued to V2 will expire by September 15, 2018;
   - A process to assure no V3 certificates are issued prior to accreditation for V3 by ANAB;
   - Management review and approval of the CB's transition plan to V3; and
   - CB's communication with existing clients regarding the process for transition to V3 with identified deadlines including internal deadlines defined by the CB;
b) How the CB is monitoring the effectiveness of its transition to V3; and
c) How the CB will confirm that its clients have fully implemented the requirements of V3 before a certificate is issued to V3.

All e-Stewards auditors, personnel that manage the e-Stewards certification program, at least one certification decision-maker, and at least one designated technical review person are required to attend

and pass a mandatory e-Stewards V3 Upgrade Auditor Training, conducted by the e-Stewards program administrator (an 8 hour webinar training, with limited course offerings: http://e-stewards.org/learn-more/for-recyclers/lead-auditor-training/e-stewards-v3-auditor-upgrade-training/). The same person may perform some of these roles, as long as there is no conflict of interest. Please note that e-Stewards V3, Appendix C states that a CB must initially have at least two competent e-Stewards lead auditors; this will be the required minimum number of auditors for a CB to transition to V3.

The CB shall have a process to determine audit duration that supports e-Stewards V3, according to requirements in e-Stewards Standard V3, Appendix C and ISO/IEC 17021-1.

CB audits of certified e-Stewards that occur prior to January 1, 2018 may be conducted to either V2 or V3 of e-Stewards Standard, as requested by clients. However, starting on January 1, 2018 all audits must be conducted using V3.

Certification must be withdrawn from any e-Stewards client failing to upgrade and certify its system to V3 by close of business for the applicable CB on September 15, 2018.

In order to minimize disruption to annual audit schedules, the e-Stewards program administrator will allow CB audits to V3 prior to transitioning its accreditation to V3 but only after the CB has determined they are able to audit to V3 (e.g., competence, audit duration, etc.) and the CB has a process to ensure that only competent personnel are used in conducting any audit to the revised standard.

However, a certificate to V3 cannot be issued until the CB has transitioned its ANAB accreditation to e-Stewards V3. The CB is expected to keep all existing and new clients informed of its accreditation status and ability to issue accredited certificates.

4. **For e-Stewards Accreditation Body**

The e-Stewards Accreditation Body (AB) shall obtain a copy of the V3 Standard and review the changes thoroughly. All AB assessors and at least one designated technical review person are required to attend a mandatory e-Stewards Auditor V3 Upgrade Training conducted by the e-Stewards program administrator, and are expected to do so during one of the available courses.

AB shall accredit CBs via its process for Declaration of Transition, including verification of evidence of transition at its next regularly scheduled office assessment. All regularly scheduled AB witnessed audits and office assessments conducted starting January 1, 2018 shall be conducted using e-Stewards V3.

NOTE TO ALL: In order to encourage a shift to V3, Version 2 of the Standard will no longer be available on the e-Stewards website starting January 1, 2018. However, if needed after that deadline, V2 and its Sanctioned Interpretations will be available by contacting info@e-stewards.org until September 15, 2018.