

Transition Plan: From Version 4.0 to 4.1 of the e-Stewards Standard

Version 4.1 of the e-Stewards standard was published on 22 February 2022. [Version 4.1](#), when implemented, will be the authority for e-Stewards requirements. The transition and implementation timeline is explained below. The new version 4.1 incorporates Sanctioned Interpretations Parts A and B, found [here](#). The Sanctioned Interpretations can be used as a resource for establishing context and to provide a better understanding of the revisions to e-Stewards 4.0 that resulted in Version 4.1. We also have produced a [highlighted version](#) of the Standard 4.1 for recognizing the changed areas easily.

A 14-month transition period, ending 22 April 2023, has been established for full transition of the program from Version 4.0 to 4.1. However, Certified e-Stewards Organizations are expected to have implemented the new Sanctioned Interpretations by 22 April 2022.

Accreditation Bodies, Certification Bodies, Certified e-Stewards Recyclers, and organizations in the process of becoming certified to the e-Stewards Standard are now expected to meet the following requirements:

1. For Existing Certified e-Stewards Recyclers: Existing Certified e-Stewards processors shall obtain a copy of Version 4.1 of the standard and ensure they are competent in it. The Sanctioned Interpretations, Parts A and B, and the highlighted version of 4.1 can be used for clarification in understanding the revisions. Measures to implement the changes should be in place no later than 22 April 2022 (two months from the publication date of Version 4.1). This allows time to ensure that the revised management system can be established by the certified e-Stewards recycler's management and personnel in preparation for the next audit. Certifications will remain valid under Version 4.0 until the recycler completes a successful audit for transition to Version 4.1, after which a Certificate to Version 4.1 will be issued, or the end of the full transition period, whichever comes first.

Certified e-Stewards Recyclers that have surveillance or recertification audits scheduled within the two-month implementation period may choose to be audited to either Version 4.0 or 4.1 of the e-Stewards Standard. However, after 22 April 2022 (two months after the publication date of Version 4.1), all audits must be conducted to Version 4.1. If a recertification is issued to Version 4.0, the expiration date on the certificate must be no later than 22 April 2023.

2. For organizations in the process of initial e-Stewards certification: These organizations may choose to be certified to either Version 4.0 or 4.1 until 22 April 2022. If Version 4.0 is the basis for certification, the expiration date on the certificate will be no later than 22 April 2023.

3. For Accredited e-Stewards Certification Bodies (CBs): CBs shall obtain a copy of Version 4.1 of the standard (a copy with highlighted changes is also available, as well as stand-alone Sanctioned Interpretations Parts A and B) and ensure they are competent in Version 4.1 of the standard before conducting any audits to Version 4.1. CBs will be responsible for implementing Version 4.1 within their own management and certification systems, as well as ensuring their auditors and other personnel are competent in Version 4.1 by 22 April 2022. e-Stewards Administration will not be conducting a special training for the new Sanctioned Interpretations due to the relative simplicity of the changes but will incorporate these changes into future training programs. CBs will complete the transition of their accreditation to Version 4.1 before issuing any accredited certifications to Version 4.1.

CB audits of certified e-Stewards recyclers that are scheduled as of the issue date of 4.1 and until 22 April 2022 (up to two months after the issue date of Version 4.1) may be conducted to either Version 4.0 or 4.1 of e-Stewards Standard, as requested by the clients. As of 22 April 2022 (two

months after issue of Version 4.1), all audits must be conducted to Version 4.1. Certification must be withdrawn from any recycler failing to upgrade its system to conform to Version 4.1 by 22 April 2023 (within 14 months of the issue date).

4. For Accreditation Bodies (ABs): ABs shall obtain a copy of Version 4.1 of the standard (a copy with highlighted changes is also available) and ensure they are competent in Version 4.1 of the standard. The Sanctioned Interpretations, Parts A and B, and highlighted version of the Standard 4.1 can be used for clarification in understanding the revisions. ABs shall use the *Declaration of Transition* process to transition Version 4.0 accredited CBs to Version 4.1. ABs shall commence using Version 4.1 for the basis of office and witness assessments by 22 April 2022 or when the accredited CB has transitioned, whichever comes first. ABs will issue identified nonconformity(ies) if a CB has not effectively transitioned. ABs shall not be required to perform special witness or office assessments to support transition of the CB to Version 4.1.

5. Expiration of Version 4.0 Certifications: As of 22 April 2023, (14 months after the issue date of Version 4.1), Version 4.0 will be withdrawn by the Basel Action Network, and all accreditations and certifications to Version 4.0 will be withdrawn and become invalid.

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