

## Transition Period from AWS Standard v1.0 To v2.0

This document outlines the policies for using version 1.0 or version 2.0 of the AWS standard during the one-year transition period, as outlined in the *AWS Standard Development Procedure v1.0 Feb 2017*.

### **Standard Development Procedure v1.0 Feb 2017:**

#### *2.10 Transition Period*

Aim: Certificate holders, CABs and Accreditation Bodies have adequate time and notice to comply with any new requirements.

- 2.10.1 AWS shall note in the standard:
  - 2.10.1.1 the date of a revision or reaffirmation of the standard; and
  - 2.10.1.2 the transition period by which the revised standard will come into effect.
  - 2.10.1.3 revised standards shall generally become effective as of 1st January each year.
  - 2.10.1.4 Notice that a revised standard is being introduced shall be given to CABs and any Accreditation Body associated with AWS at least 3 months prior to this date.
  - 2.10.1.15 In the first year, extended timelines may be given to existing certificate holders to come into compliance with changes to the standard i.e. Major Non-Conformities may be given one year for compliance, rather than the usual three months.
- 2.10.2 AWS shall promptly inform its stakeholders of the revised standard and transition period, in particular Conformity Assessment Bodies, and will require them to inform certified enterprises and those who are in the process of certification.

### Overview of current AWS Certification cycle (from AWS Certification Requirements v1.0 July2015):

- Certificate Holders are recertified every three years [section 3.6 of the Certification Requirements].
- Surveillance Audits are carried out every <13 months [section 3.1.2.2].
- Major Non-conformities identified in an audit or surveillance audit must be closed out within 3 months (90 days) and shall be made publicly available in the certificate report [section 2.8].
- Minor non-conformities - 90 days' time period to close out (with some flexibility) [section 2.9].

### Standard Revision timings and how they affect transition periods for certification audits:

Nov 2018: AGM – V2.0 approved and published, CABs notified  
 Dec 2018 – May 2019: CABs trained, and audit materials developed  
 May 2019 – Oct 2019: sites can use v. 1 or v.2 within the audit  
 Nov 2019 (12 months after publication of V2.0): All sites audited against V 2.0.

### Audit cycle timings

Sites may start to use version 2.0 to prepare for certification or recertification from the date of publication (approval expected at the AGM 1<sup>st</sup> November 2018), and under specific conditions that the CAB confirms its readiness.

From May 2019 all sites will be encouraged to use V 2.0 but can choose to be audited against v 1.0 under the conditions below.

For first certifications a site audited against v 2.0 will have 3 months to close out non-conformities (90 days), as per the Certification Requirements. Existing certificate holders will have up to 12 months to close out major non-conformities should they choose to be audited against version 2.0.

The tables below clarify the different options for using version 1.0 or version 2.0 during the year transition period, for first site certifications, recertifications or surveillance audits and the time allowed to address any major non-conformities.

First Site Certification in 2018/2019:

Certification audit		
Month of Your Audit	Standard Used	Major Non-Conformities
< Oct 2018	V 1.0	3 months
Nov 2018	V 1.0	3 months
Dec 2018	V 1.0	3 months
Jan 2019	V 1.0	3 months
Feb 2019	V 1.0	3 months
Mar 2019	V 1.0	3 months
April 2019	V 1.0	3 months
May 2019	V 1.0*/ V 2.0	3 months (V 1.0)
June 2019	V 1.0*/ V 2.0	3 months (V 1.0))
July 2019	V 1.0*/ V 2.0	3 months (V 1.0)
Aug 2019	V 1.0*/ V 2.0	3 months (V 1.0)
Sept 2019	V 1.0*/ V 2.0	3 months (V 1.0)
Oct 2019	V 1.0*/ V 2.0	3 months (V 1.0)
Nov 2019	V 2.0	3 months
Dec 2019	V 2.0	3 months

Re-certification/Surveillance Audit in 2018/2019:

Re-certification/ Surveillance Audit		
Month of Your Audit	Standard Used	Major Non-Conformities
<Oct 2018	V 1.0	3 months
Nov 2018	V 1.0	3 months
Dec 2018	V 1.0	3 months
Jan 2019	V 1.0	3 months
Feb 2019	V 1.0	3 months
Mar 2019	V 1.0	3 months
April 2019	V 1.0	3 months
May 2019	V 1.0*/ V 2.0	3 months (V 1.0) 12 months (V 2.0)
June 2019	V 1.0*/ V 2.0	3 months (V 1.0) 12 months (V 2.0)
July 2019	V 1.0*/ V 2.0	3 months (V 1.0) 12 months (V 2.0)
Aug 2019	V 1.0*/ V 2.0	3 months (V 1.0) 12 months (V 2.0)
Sept 2019	V 1.0*/ V 2.0	3 months (V 1.0) 12 months (V 2.0)
Oct 2019	V 1.0*/ V 2.0	3 months (V 1.0) 12 months (V 2.0)
Nov 2019	V 2.0	3 months
Dec 2019	V 2.0	3 months

\* Between May to end Oct 2019 – if the audit is against V1.0 the audit report shall include a gap-analysis to be compliant with V 2.0 at the next surveillance audit.