



Title BES 6001 Framework Standard for Responsible Sourcing Issue 4.0 Guidance Document

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This guidance document is intended to provide a more detailed understanding of the BES 6001: Issue 4.0 Framework Standard for Responsible Sourcing.

It is a supporting document to the application of BES 6001 Issue 4.0 and is aimed at all users, including certification applicants, auditors and licensee organisations.



Contents

4.1 General Requirements	3
4.2 Organisational Management Requirements	4
4.2.1 <i>Responsible Sourcing Policy</i>	<i>4</i>
4.2.2 <i>Compliance Obligations</i>	<i>4</i>
4.2.3 <i>Management Systems & Operational Management of Responsible Sourcing</i>	<i>4</i>
4.2.4 <i>Procurement and Supplier Management</i>	<i>6</i>
4.3. Supply Chain Management Requirements	8
4.3.1 <i>Quality Management Systems in the Supply Chain</i>	<i>9</i>
4.3.2 <i>Environmental Management Systems in the Supply Chain.....</i>	<i>10</i>
4.3.3 <i>Health and Safety Management Systems in the Supply Chain.....</i>	<i>11</i>
4.4. Requirements related to the management of sustainable development	12
4.4.1 <i>Greenhouse Gas Emissions</i>	<i>12</i>
4.4.2 <i>Energy Use.....</i>	<i>13</i>
4.4.3 <i>Resource use and Product Circularity.....</i>	<i>14</i>
4.4.4 <i>Waste Prevention and Waste Management.....</i>	<i>16</i>
4.4.5 <i>Water Usage or Abstraction.....</i>	<i>17</i>
4.4.6 <i>Life Cycle Assessment (LCA)</i>	<i>18</i>
4.4.7 <i>Ecotoxicity</i>	<i>19</i>
4.4.8 <i>Transport Impacts</i>	<i>19</i>
4.4.9 <i>Biodiversity and Site Stewardship.....</i>	<i>21</i>
4.4.10 <i>Human Rights and Modern Slavery.....</i>	<i>21</i>
4.4.11 <i>Business Ethics.....</i>	<i>23</i>
4.4.12 <i>Employment and Skills</i>	<i>23</i>
4.4.13 <i>Local Communities</i>	<i>24</i>
5 Scoring.....	26
5.1 <i>Overview</i>	<i>26</i>
5.2 <i>Methodology.....</i>	<i>26</i>



4.1 General Requirements

The requirements of the Standard (BES 6001 Issue 4.0) and the associated actions are structured into three sections. This guidance document expands on the different requirements using the clause numbers and headings as used in the standard:

Organisational Management Requirements	Supply Chain Management Requirements	Requirements related to the management of sustainable development	
4.2.1 Responsible Sourcing Policy	4.3.1 Quality Management Systems in the Supply Chain	4.4.1 Greenhouse Gas Emissions	4.4.8 Transport Impacts
4.2.2 Compliance Obligations	4.3.2 Environmental Management Systems in the Supply Chain	4.4.2 Energy Use	4.4.9 Biodiversity & Site Stewardship
4.2.3 Management Systems & Operational Management of Responsible Sourcing	4.3.3 Health and Safety Management Systems in the Supply Chain	4.4.3 Resource Use and Product Circularity	4.4.10 Human Rights and Modern Slavery
4.2.4 Procurement and Supplier Management		4.4.4 Waste Prevention and Waste Management	4.4.11 Business Ethics
		4.4.5 Water Usage or Abstraction	4.4.12 Employment and Skills
		4.4.6 Life Cycle Assessment (LCA)	4.4.13 Local Communities
		4.4.7 Ecotoxicity	

Within the standard, the description of the requirements identifies which of the actions are compulsory, earning the minimum performance rating (points), and which of the actions provide the opportunity to earn higher performance ratings.

Throughout BES 6001, where the requirements refer to consultation with stakeholders, the organisation shall consult with its stakeholders, and take appropriate actions as a result of that consultation, in accordance with the guidance given in BS 8900.

Where requirements refer to an 'accredited body/organisation', the 'organisation' shall be a certification body accredited by an accreditation body which is a member of IAF (International Accreditation Forum) e.g. UKAS.

4.2 Organisational Management Requirements

4.2.1 Responsible Sourcing Policy

This criterion aims to promote having a responsible purchasing protocol in place to guide sourcing activities within an organisation, either as a stand-alone policy (or suite of policies) or as part of a broader policy (e.g., sustainability policy).

To fulfil the compulsory clause, the organisation is required to have a written policy and procedures that address the principles of responsible sourcing as outlined in Section 3 of BES 6001.

Whatever the policy's title or configuration, it must be approved by an appropriate senior manager of the organisation under assessment, be integrated into the organisation's management system, be regularly reviewed in line with the organisation's management system review requirements (typically annually) and be effectively communicated and accessible to all staff and stakeholders.

Common methods of policy communication to staff include (but are not limited to) briefings on responsible sourcing activities through staff e-news, newsletters, specific emails or 'Toolbox Talks', or inclusion within formal staff induction training.

The above criteria are compulsory requirements. No points are available in section 4.2.1.

4.2.2 Compliance Obligations

This criterion aims to ensure a company has a working system in place to identify applicable laws and determine their implications for the organisation's responsible sourcing policy.

To fulfil the compulsory clause, the organisation is required to demonstrate that it has in place an effective procedure within its management system that can identify and review all current and new legal requirements which impact on the organisation's operations.

The organisation shall ensure that when establishing, implementing, and maintaining its responsible sourcing policy and management systems, the requirements of the relevant laws and regulations are adhered to.

Common examples of suitable procedures are the use of internal or external legal specialists to analyse developing legal issues associated with an organisation's activities, or the use of external legal database systems by internal specialists.

Whilst adherence to laws and regulations is the accepted requirement, having a prosecution does not mean that an organisation is unable to achieve BES 6001 certification. In the event of a prosecution, the organisation would be expected to show how it was taking steps to prevent any further non-compliance.

The above criteria are compulsory requirements. No points are available in section 4.2.2.

4.2.3 Management Systems & Operational Management of Responsible Sourcing

This criterion aims to promote the application of appropriate management systems and the procedures of responsible sourcing.

A key purpose of this clause is to ensure the company has an appropriate documented management system(s) including within their scope the products undergoing assessment.

To fulfil the compulsory clause, the organisation under assessment is required to have in place a documented quality, environmental and health and safety management system(s) which implement the core principles of responsible sourcing. The management system(s) shall follow the fundamentals of ISO 9001, ISO 14001, and ISO 45001.

Fundamentals of ISO 9001	Fundamentals of ISO 14001	Fundamentals of ISO 45001
<ul style="list-style-type: none"> • Determine the scope of the QMS • Leadership and commitment • Customer focus • Quality Policy • Organizational roles, responsibilities, and authorities • Actions to address risks and opportunities • Quality objectives and planning to achieve them • Competence • Awareness • Communication • Control of documented information • Operational Planning and Control • Requirements for products and services • Design and development of products and services • Control of externally provided processes, products, and services • Production and service provision • Monitoring, measurement, analysis, and evaluation • Internal Audit • Management Review • Nonconformity and corrective action • Continual improvement 	<ul style="list-style-type: none"> • Determine the scope of the EMS • Leadership and commitment • Environmental Policy • Organizational roles, responsibilities, and authorities • Actions to address risks and opportunities • Determination of compliance obligations • Environmental objectives and planning to achieve them • Competence • Awareness • Communication • Control of documented information • Operational Planning and Control • Emergency preparedness and response • Monitoring, measurement, analysis and evaluation • Internal Audit • Management Review • Nonconformity and corrective action • Continual improvement 	<ul style="list-style-type: none"> • Determine the scope of the HSMS • Leadership and commitment • OH&S Policy • Organizational roles, responsibilities, and authorities • Consultation and participation of workers • Actions to address risks and opportunities • Determination of legal requirements and other requirements • OH&S objectives and planning to achieve them • Competence • Awareness • Communication • Control of documented information • Operational Planning and Control • Eliminating hazards and reducing OH&S risks • Emergency preparedness and response • Monitoring, measurement, analysis, and evaluation • Internal Audit • Management Review • Incident, Non-conformity and corrective action • Continual improvement

To achieve 1 point in section 4.2.3.2, the organisation must have satisfied the compulsory requirements and is required to have their quality management system certified to ISO 9001 (or equivalent), certificated by an accredited organisation. The certificate must be valid and cover (as a minimum) the product(s) and material(s) under assessment; and have within its scope all sites where the product(s) and material(s) under assessment are manufactured.

For SMEs, confirmation that the company maintains Factory Production Control (FPC) certification (or equivalent) AND evidence that the quality management system follows the fundamentals of ISO 9001, AND that they are 'actively' working towards ISO certification is accepted as an alternative to ISO 9001 certification.

To achieve 1 point in section 4.2.3.3, the organisation must have satisfied the compulsory requirements and is required to have their environmental management system certified to ISO 14001, EMAS (or equivalent), certificated by an accredited organisation. The certificate must be valid and cover (as a minimum) the product(s) and material(s) under assessment; and have within its scope all sites where the product(s) and material(s) under assessment are manufactured.

For SMEs, confirmation that the company EMS is structured in compliance with BS 8555 (where audits for phases one to four are completed) or ISO 14005 (where the highest maturity levels have been reached in phases one to five) is accepted.

To achieve 1 point in section 4.2.3.4, the organisation must have satisfied the compulsory requirements and is required to have their health and safety management system certified to ISO 45001 (or equivalent), certificated by an accredited organisation. The certificate must be valid and cover (as a minimum) the product(s) and material(s) under assessment; and have within its scope all sites where the product(s) and material(s) under assessment are manufactured.

For SMEs, confirmation that the company maintains a health and safety management system which is in line with the principles of ISO 45001 is accepted.

Organisations certified to alternative sector specific schemes (equivalent schemes) may be accepted where ISO certification has not been sought. The scheme's alignment with the relevant ISO scheme will be reviewed on a case-by-case basis whereby the organisation under assessment must demonstrate to the auditor that the equivalent scheme meets the requirements as set out in the relevant ISO standard.

ISO 9001, ISO 14001 and ISO 45001 are management system standards (not product standards). However, as part of the certification process the standards specify the range of products covered by the certification. This scope is used to ensure the certified quality, environment and health & safety principles cover the products under assessment.

NOTE: The higher performance levels in this clause are not sequential and the higher performance ratings are independent of one another. It is possible to achieve any or all the higher performance ratings in isolation. The organisation must have achieved the compulsory level as a minimum.

A total of 3 points are available in section 4.2.3.

4.2.4 Procurement and Supplier Management

This criterion aims to ensure that an organisation has robust supplier approval procedures and purchasing processes in place.

To fulfil the compulsory clause, the organisation shall have a documented management system in place for its purchasing process and for approval of its suppliers.

The management system must reference the responsible sourcing policy and include some formal references between the purchasing procedure documentation and the principles of responsible sourcing as identified in 4.2.1. (i.e., the responsible sourcing policy must not stand in isolation). The supplier approval process shall review a supplier's commitment to the principles of responsible sourcing.

The supplier management system may form part of a larger existing management system.

The organisation must also maintain a list of approved suppliers of constituent materials in the assessed product(s); and the approval process and approved list must be documented within the supplier management system.

AND

Where organisations source constituent materials from outside the UK, EU, or from countries that have not declared adherence to the *OECD Guidelines for Multinational Enterprises*, the organisation must also demonstrate that it undertakes appropriate risk assessments and demonstrate due diligence in its monitoring of supplier compliance with the *ILO Declaration on Fundamental Principles and Rights at Work*.

If any constituent material is sourced from a supplier based outside the UK/EU/OECD, risk assessments and due diligence must be provided for 98% of constituent materials (by mass, volume, or cost). e.g., if 60% of suppliers are within the UK/EU/OECD, the organisation shall provide risk assessments to cover 38% of the remaining constituent materials which are sourced outside the UK/EU/OECD.

Risk assessments must be appropriate to the circumstances of the country of origin, region, and industry from which the material is derived.

It is acknowledged that the maturity of the sector is a challenge, so in the situation where a Tier 1 supplier of an input material used in a product under assessment is located in the EU, but constituent materials for that material are extracted from outside the EU, (best practice aside) BES 6001 does not require the organisation under assessment to have undertaken a risk assessment and to demonstrate due diligence on the Tier 2 supplier.

The following are considered appropriate mechanisms for demonstrating due diligence:

- Membership of the Ethical Trade Initiative
- Membership of the United Nations Global Compact
- Certification to the Social Accountability International SA8000 standard
- SEDEX
- Salvo Code of good practice

To achieve 1 point in section 4.2.4.2, the organisation must have satisfied the compulsory requirements and is required to have aligned their procurement processes with the principles of sustainable procurement as set out in ISO 20400. This includes the following principles:

- Accountability
- Transparency
- Ethical Behaviour
- Full and fair opportunity
- Respect for stakeholder interest
- Respect for the rule of law and international norms or behaviours
- Respect for human rights
- Innovative solutions
- Focus on needs
- Integration
- Analysis of all costs
- Continual improvement

The organisation is also required to have a Code of Conduct in place for its suppliers which outlines their expectations of suppliers. The code may include components such as labour standards, environmental standards, and ethical values.

Adherence with the code shall be an obligation for all suppliers and will be signed as part of the supplier agreement. The code will be regularly reviewed, at least in line with the organisation's management system review cycle and be approved by an appropriate senior manager of the organisation under assessment.

To achieve 1 point in section 4.2.4.3, the organisation must have satisfied the compulsory requirements and must demonstrate that they actively engage with its constituent material supply chain, as identified as traceable in Section 4.3 Supply Chain Management Requirements, on the principles of responsible sourcing. This may be in the form of workshops, supplier meetings, forums, regular digital communication sharing best practice etc.

NOTE: for suppliers certified to BES 6001, this is not expected. If all suppliers are certified to BES 6001, this point may be awarded.

To achieve 2 points in section 4.2.4.4, the organisation shall have in place a documented risk assessment and undertake due diligence in relation to the potential for environmental and social risks for the constituent material supply chain as identified as traceable in Section 4.3 Supply Chain Management Requirements as a minimum. The risk assessments and due diligence process shall be undertaken at regular intervals appropriate to the organisation.

Where the assessed organisation is responsible for the extraction of a raw material at source and can demonstrate traceability from the source of the raw material to the assessed product through any subsequent processes of product realisation, the organisation shall have in place a documented risk assessment and undertake due diligence in relation to the potential for environmental and social risks for the sites supplying the constituent material.

Where the assessed organisation is legally required to conduct supply chain due diligence (e.g., organisations subject to the requirements of the forthcoming Supply Chain Due Diligence Act in Germany) and evidence of compliance through the publication of an annual report can be demonstrated, the points can be awarded.

NOTE: The higher performance levels in this clause are not sequential and the higher performance ratings are independent of one another. It is therefore possible to achieve any or all the higher performance ratings in isolation. The organisation must have achieved the compulsory level as a minimum.

A total of 4 points are available in section 4.2.4.

4.3. Supply Chain Management Requirements

For each of the sub sections within 4.3, constituent materials are required to be traced to the supplier(s) responsible for:

- The extraction of raw materials; or
- The provision of recycled or recovered material; or
- The production of by-products; or
- The processing of commodity traded materials

Definitions for the above 'sources' are as follows:

Extraction, winning or acquisition of raw material – here, the traceability of the input needs to go as far back as the mining, quarrying, growing, harvesting or extraction by any other means of the raw material.

Provision of recycled or recovered materials – here, the traceability of the input material needs to go as far back as the factory trading in the material, e.g., for scrap steel it is the scrap yard, not the scrapyards' suppliers; for recycled aggregate it is the processor of building waste, not the demolition contractor.

Reprocessing of a company's own product in its own production cycle is not accepted as being a recycled material. For example, a company making a cheap product and then intentionally reprocessing it to make a marketable product is not accepted as being a recycled product.

Production by-products or production residues – here, the traceability of the input material needs to go as far back as the organisation manufacturing the product of which the component material is considered to be the by-product or residue, e.g., for pulverised fuel ash (PFA) it is the power station, not the coal supplier.

By-products such as coal tar which have well-established processing routes as a major part of the industry that it is a part of; or by-products generated as a result of planned production inefficiencies (i.e., by-products from an intentionally wasteful production route) are not accepted as by-products in BES 6001.

Processing of commodity traded chemicals and materials - Here the traceability of the input material needs to go as far back as the trader of the chemical/material. In this case the trader may be sourcing the chemical in a commodity market where their supplier changes depending on price and availability. The trader is simply buying in bulk then re-packaging and selling on. It is not feasible to readily capture

traceability information in such a supply chain. Some materials are identified as 'commodity traded' as they may be supplied in bulk via a common infrastructure shared by several suppliers, for example:

- gaseous or liquid chemicals supplied in bulk via pipeline from various suppliers to various users
- minerals (including ores) where various suppliers contribute to common stockpiles at, for example harbours or railheads which are then shipped in an undifferentiated manner to various users

For raw and commodity traded materials, all non-acceptable practice should be already dealt with in law. For example, it would be unacceptable to use wood or wood-based products from non-sustainably managed forests.

Definitions of materials categories:

Raw material (Cambridge dictionary) – Any material, such as oil, cotton, or sugar in its natural condition, before it has been processed for use.

Recycled materials (ISO 14021:2016) – Material that has been reprocessed from recovered [reclaimed] material by means of a manufacturing process and made into a final product or into a component for incorporation into a product.

Commodity traded material (www.businessdictionary.com) – A reasonably interchangeable good or material, bought and sold freely as an article of commerce. Commodities include agricultural products, fuels, and metals (as ingots) and are traded in bulk on a commodity exchange or spot market.

By-products (Cambridge dictionary) – Something that is produced as a result of making something else, or something unexpected that happens as a result of something.

In 3.3. Supply Chain Management Requirements, the % performance rating for each sub-section should be based on any ONE of a number of criteria e.g., volume OR mass OR cost, whichever is most appropriate for the product being assessed.

This choice must be clearly defined and justified by the organisation undergoing assessment and whichever metric is used, it must be the same for all clauses in 4.3.

For example, where complex products are not sold or traded on a mass, volume, or linear metric; where there are a significant number of constituent components and suppliers; and components are purchased by value/function (i.e., number) rather than by mass or volume; it may be most appropriate for the calculation for % performance rating to be based on economic value or cost.

Performance ratings in section 4.3 are determined by the proportion of constituent materials that is traceable to suppliers using the required mechanisms.

Organisations are required as a minimum to demonstrate that 70% of constituent material(s) in the assessed product are traceable to supplier(s) with relevant management systems; additional performance levels can be achieved where organisations demonstrate higher proportions of traceability to suppliers with certified management systems.

BES 6001 certification is accepted where suppliers can demonstrate that the organisational requirements for certified management systems have been achieved.

4.3.1 Quality Management Systems in the Supply Chain

This criterion promotes the fundamentals of ISO 9001 and the importance of responsible quality management through the supply chain.

To fulfil the compulsory clause, the organisation is required to demonstrate that a minimum of 70% of constituent material(s) in the assessed product are traceable to supplier(s) who have their quality management system certificated by an accredited organisation to ISO 9001 (or equivalent). It is the

responsibility of the organisation under assessment to disclose the nature of each supplier, from the categories listed in section 4.3.

For suppliers classed as SMEs, confirmation that the company has a valid Certificate of Factory Production Control (FPC) AND evidence that the suppliers Quality Management System follows the fundamentals of ISO 9001 is accepted as traceable.

Auditors are required to confirm the breakdown of materials provided by the organisation are a true representation of the quantity of materials purchased within the timeframe specified. This can be confirmed with a selection of purchase and delivery records for the materials or waste shipment forms.

To achieve 1 point in section 4.3.1.2, the organisation is required to demonstrate that 80% of the constituent material(s) in the assessed product are traceable to supplier(s) according to the criteria above.

To achieve 1 point in section 4.3.1.3, the organisation is required to demonstrate that 90% of the constituent material(s) in the assessed product are traceable to supplier(s) according to the criteria above.

Suppliers or organisations certified to alternative sector specific schemes (equivalent scheme) may be accepted where ISO 9001 certification has not been sought. The scheme's alignment with ISO 9001 will be reviewed on a case-by-case basis whereby the organisation under assessment must demonstrate to the auditor that the equivalent scheme meets the requirements as set out in ISO 9001.

Valid BES 6001 certification is accepted where suppliers can demonstrate that the requirements for certified management systems have been achieved. For suppliers certified to BES 6001 v4, the point in 4.2.3.2, and maximum points in 4.3.1 must have been achieved. For suppliers certified to BES 6001 v3.2, the higher performance rating in 3.2.3 and the maximum performance rating in 3.3.1 must have been achieved.

A total of 2 points are available in section 4.3.1.

4.3.2 Environmental Management Systems in the Supply Chain

This criterion promotes the fundamentals of ISO 14001 and the importance of environmental responsibility through the supply chain.

To fulfil the compulsory clause, the organisation is required to demonstrate that a minimum of 70% of constituent material(s) in the assessed product are traceable to supplier(s) with an EMS. It is the responsibility of the organisation under assessment to disclose the nature of each supplier, from the categories listed in section 4.3.

Supplier EMS must follow the fundamentals of ISO 14001 and include within its scope key processes of raw material extraction and primary material production (where appropriate to the scope of its operations).

Constituent materials that are recycled or recovered materials or by-products satisfy this requirement without further verification. The compulsory point is awarded if for example the organisation can provide evidence to demonstrate that the product under assessment contains 70% or more recycled material.

To achieve 1 point in section 4.3.2.2, the organisation is required to demonstrate that a minimum of 70% of constituent material(s) in the assessed product are traceable to supplier(s) who have their environmental management system certified by an accredited organisation to ISO 14001, EMAS (or equivalent).

For suppliers classed as SMEs, confirmation that the company EMS is structured in compliance with BS 8555 (where audits for phases one to four are completed) or ISO 14005 (where the highest maturity levels have been reached in phases one to five) is accepted.

To achieve 1 point in section 4.3.2.3, the organisation must have satisfied the requirements of the preceding sections and is required to demonstrate that 80% of the constituent material(s) in the assessed product are traceable to supplier(s) according to the criteria above.

To achieve 1 point in section 4.3.2.4, the organisation must have satisfied the requirements of the preceding sections and is required to demonstrate that 90% of the constituent material(s) in the assessed product are traceable to supplier(s) according to the criteria above.

Suppliers or organisations certified to alternative sector specific environmental schemes (equivalent scheme) may be accepted where ISO 14001 certification has not been sought. The environmental schemes and their alignment with ISO 14001 will be reviewed on a case-by-case basis whereby the organisation under assessment must demonstrate to the auditor that the equivalent scheme meets the requirements as set out in ISO 14001.

Valid BES 6001 certification is accepted where suppliers can demonstrate that the requirements for certified management systems have been achieved. For suppliers certified to BES 6001 v4, the point in 4.2.3.3, and maximum points in 4.3.2 must have been achieved, or for suppliers certified to BES 6001 v3.2, the maximum performance rating in 3.3.2 must have been achieved.

A total of 3 points are available in section 4.3.2.

4.3.3 Health and Safety Management Systems in the Supply Chain

This criterion promotes the fundamentals of ISO 45001 and the importance of responsible health and safety management through the supply chain.

To fulfil the compulsory clause, the organisation is required to demonstrate that a minimum of 70% of constituent material(s) in the assessed product are traceable to supplier(s) with a HSMS. It is the responsibility of the organisation under assessment to disclose the nature of each supplier, from the categories listed in section 4.3.

The HSMS must be compliant with local legislation and incorporate as a minimum:

- Near miss incidents
- Time loss incidents
- Fatal incidents

To achieve 1 point in section 4.3.3.2, the organisation is required to demonstrate that a minimum of 70% of constituent material(s) in the assessed product are traceable to supplier(s) who have their health and safety management system certified by an accredited organisation to ISO 45001 (or equivalent).

For suppliers classed as SMEs, confirmation that the company maintains a health and safety management system which follows the fundamentals of ISO 45001 is accepted.

To achieve 1 point in section 4.3.3.3, the organisation must have satisfied the requirements of the preceding sections and is required to demonstrate that 80% of the constituent material(s) in the assessed product are traceable to supplier(s) according to the criteria above.

To achieve 1 point in section 4.3.3.4, the organisation must have satisfied the requirements of the preceding sections and is required to demonstrate that 90% of the constituent material(s) in the assessed product are traceable to supplier(s) according to the criteria above.

Suppliers or organisations certified to alternative sector specific health and safety schemes (equivalent scheme) may be accepted where ISO 45001 certification has not been sought. The health and safety schemes and their alignment with ISO 45001 will be reviewed on a case-by-case basis whereby the organisation under assessment must demonstrate to the auditor that the equivalent scheme meets the requirements as set out in ISO 45001.

Valid BES 6001 certification is accepted where suppliers can demonstrate that the requirements for certified management systems have been achieved. For suppliers certified to BES 6001 v4, the point in 4.2.3.4, and maximum points in 4.3.3 must have been achieved, or for suppliers certified to BES 6001 v3.2, the maximum performance rating in 3.3.3 must have been achieved.

A total of 3 points are available in section 4.3.3.

4.4. Requirements related to the management of sustainable development

NOTE: As used in BES 6001, stakeholder reporting is intended to enable a comparison of data on a year-to-year basis, and the reporting shall be freely and publicly available to all stakeholders.

Common examples of accepted stakeholder reporting include reporting via the organisation's website and/or through freely available periodic published information, e.g., Sustainability Report, Environmental Report, Corporate Social Responsibility Report or Annual Report. These must be readily obtainable without payment and without the need to ask permission from the organisation under assessment.

Stakeholder reporting can be at organisational level or site level. However, the organisation must confirm the organisation level reporting includes data for the manufacturing process of the products/sites under assessment.

If, due to competition rules, stakeholder reporting at organisation level is not possible, reporting must then be at sector level e.g., via a trade body.

4.4.1 Greenhouse Gas Emissions

The aim of this criterion is to encourage the measurement, reporting and reduction of greenhouse gas emissions by the organisation.

Suitable metrics need to be established for measuring the *greenhouse gas* emissions.

To fulfil the compulsory clause, the organisation is required to have policy for the monitoring and reduction of the greenhouse gas intensity of its operations.

The policy must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and be effectively communicated to and accessible to all staff.

The organisation is further required to quantify the intensity of emissions resulting from its direct operations (i.e., scope 1); and the indirect emissions related to energy use in its operations (i.e., scope 2). Emissions may be calculated using internationally recognised standards, including:

- The Greenhouse Gas Protocol Corporate Standard - <https://ghgprotocol.org/sites/default/files/standards/ghg-protocol-revised.pdf>
- ISO 14064-1 Greenhouse gases — Part 1: Specification with guidance at the organization level for quantification and reporting of greenhouse gas emissions and removals

To achieve 2 points in section 4.4.1.2, the organisation must have satisfied the compulsory requirements and is required to have in place a documented process to identify its significant sources of scope 3 emissions AND quantify the intensity of their scope 3 emissions.

This includes indirect emissions such as the extraction and production of purchased materials and fuels, transport-related activities in vehicles not owned or controlled by the reporting entity, electricity-related

activities (e.g. T&D losses) not covered in Scope 2, outsourced activities, waste disposal etc. as specified in the GHG Protocol: [Scope3 Calculation Guidance 0.pdf \(ghgprotocol.org\)](#)

To achieve 1 point in section 4.4.1.3, the organisation must have satisfied the compulsory requirements and is required to have set targets for the reduction of greenhouse gas emissions, relative to output over time. The targets shall be informed by climate science, be in line with the target of net zero emissions by 2050 and include near-term and long-term goals/milestones. Targets shall be approved by senior management, and performance against targets shall be regularly reviewed (annually as a minimum).

To achieve 1 point in section 4.4.1.4, the organisation must have satisfied the compulsory requirements and is required to report to its stakeholders on their emissions of greenhouse gases. Reporting shall include, as a minimum, levels of scope 1 and scope 2 greenhouse gas emissions quantified as part of the compulsory point and shall be reported on an annual basis. Where there are sector specific standards already established for reporting greenhouse gas emissions, these are acceptable methods for reporting.

To achieve 1 point in section 4.4.1.5, the organisation must have satisfied the compulsory requirements and is required to have external verification of all their greenhouse gas information and data. Verification must be undertaken by an independent third-party organisation or suitable individual.

External verification schemes (e.g., PAS 2050, CRC etc) would have to cover the scope of the organisation and the products under assessment in the BES 6001 certification.

NOTE: Environmental Product Declarations (EPD) are not accepted as a means to demonstrate stakeholder reporting or verification in this section as EPD are related specifically to products, whereas clause 3.4.1 relates to the organisation.

NOTE: The performance levels in this clause are not sequential and the higher performance ratings are independent of one another. It is therefore possible to achieve any or all of the higher performance ratings in isolation. The organisation must have achieved the compulsory level as a minimum.

A total of 5 points are available in section 4.4.1.

4.4.2 Energy Use

The aim of this criterion is to encourage the identification of any opportunity for reducing the energy intensity of the organisation's operations (the reduction of actual energy intensity of the process, rather than the carbon intensity).

To fulfil the compulsory clause, the organisation must have a policy for the monitoring and reduction of the energy intensity* of the operations over which the organisation has financial and/or operational control.

The policy must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed, be integrated into the organisation's document management system, and should be effectively communicated to and accessible to all staff.

*energy intensity is the amount of energy required for each unit of output.

An independent policy is not necessary if energy use principles are covered in existing policies such as a sustainability policy or carbon policy incorporating GHG and energy use.

The scope of the issue covers operations within the organisational boundary, defined as those operations which are under financial and/or operational control of the organisation. This includes operations where operational and/or financial control is shared with another organisation e.g., equity share of an extraction operation, or shared production facilities.

Indirect activities relating to the production process where the organisation has no control over the associated energy use, e.g. transport of materials to factories by external contractors or transport of finished products to clients can be/should be excluded from the policy.

An appropriate metric is required for the monitoring of performance.

Energy management system(s) certified to ISO 50001 by a third-party certification body (or Conformity Assessment Body) accredited for that standard by an accreditation body that is a member of the IAF (International Accreditation Forum); or compliance to ESOS or equivalent audit obligation meets this requirement.

Equivalent schemes and their alignment with the relevant standard(s) outlined above will be reviewed on a case-by-case basis whereby the organisation under assessment must demonstrate to the auditor that the equivalent scheme meets the requirements as set out in the relevant standard(s).

For SMEs, an EnMS that follows the fundamentals of ISO 50005:2021 meets the compulsory requirement where the company can demonstrate that Level 3 has been reached for all 12 elements.

To achieve 1 point in section 4.4.2.2, the organisation must have satisfied the compulsory requirements and is required to have set targets for the reduction of energy usage, relative to output over time. Targets shall be approved by senior management, and progress against targets is regularly reviewed (annually as a minimum).

To achieve 1 point in section 4.4.2.3, the organisation must have satisfied the compulsory requirements and is required to report to its stakeholders on their energy usage. Reporting shall include levels of energy usage relative to output over time and shall thereafter be reported on an annual basis.

To achieve 1 point in section 4.4.2.4, the organisation must have satisfied the compulsory requirements and is required to have external verification of all their energy information and data. Verification must be undertaken by an independent third-party organisation or suitable individual.

Energy management system(s) certified to ISO 50001 by a third-party certification body (or Conformity Assessment Body) accredited for that standard by an accreditation body that is a member of the IAF (International Accreditation Forum) meets this requirement. The certificate must be valid and cover (as a minimum) the product(s) and material(s) under assessment; and have within its scope all sites where the product(s) and material(s) under assessment are manufactured.

To achieve 1 point in section 4.4.2.5, the organisation must have satisfied the compulsory requirements and have developed and implemented an action plan for the continual reduction of use of energy from fossil fuels and for the increase of use of energy from renewable energy sources within their operations. The action plan will be appropriate in nature to the purpose, scope, size, and location of the organisation. The action plan shall be approved by senior management, and progress against the plan is regularly reviewed (annually as a minimum).

NOTE: The performance levels in this clause are not sequential and the higher performance ratings are independent of one another. It is therefore possible to achieve any or all of the higher performance ratings in isolation. The organisation must have achieved the compulsory level as a minimum.

A total of 4 points are available in section 4.4.2.

4.4.3 Resource use and Product Circularity

The aim of this criterion is to encourage the efficient use of resources.

To fulfil the compulsory clause, the organisation is required to have policy for the efficient use of constituent materials and for the assessment of the circularity of the product(s) under assessment.

The policy must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and be effectively communicated to and accessible to all staff.

The policy and associated documents may be part of 'wider' management system documentation but should address the following key issues:

- Use of renewable and/or abundant materials over non-renewable and/or scarce materials
- Material resource efficiency – using less material to achieve a given function
- Reuse of materials
- Use of recycled materials and/or by-products
- Use of recyclable materials

Where an organisation determines that one or more of key issues is not applicable to the product under assessment, e.g., where the product requires the use of specific (scarce) materials; where there are legal reasons why recycled materials cannot be used (e.g., recycled PVC in potable water pipes); or where quality issues require the use of virgin materials in the product; evidence will be required to demonstrate the exceptions.

To achieve 2 points in section 4.4.3.2, the organisation must have satisfied the compulsory requirements and is required to demonstrate at least two of the following:

- Actions taken to encourage future resource use at end-of-life of the product(s) under assessment
- Actions to extend the lifetime of the product(s) under assessment
- Declaration of recycled content in the product(s) under assessment
- A product development approach to design products for a circular economy

The actions regarding both the encouragement of future resource use at end-of-life or product lifetime extension must have significant input, involvement and support of the organisation being assessed.

End-of-life actions can include but are not limited to; support of post-consumer retrieval schemes, active participation in close loop recycling schemes (e.g. CAB Closed Loop Recycling Scheme, RecoVinyl etc) and/or research regarding recyclability or re-use options.

Where an organisation can demonstrate that the assessed product is embedded/physically integrated into another product (e.g., cement into concrete, dry mortars, adhesives, etc) and as a result, actions taken to improve future resource use at end-of-life are beyond the control of the organisation under assessment, the requirement is satisfied.

Actions to extend the lifetime of the assessed product may include provision of refurbishment, maintenance or repair services etc.

Where an organisation can demonstrate that the assessed product has an established service life beyond the lifetime of a typical building/project in which it is used (e.g., masonry products), the actions to extend the lifetime of the assessed product requirement is satisfied.

The calculation and declaration of recycled content in the product(s) under assessment shall be in accordance with the requirements for recycled content in ISO 14021 or recognised sector standard and must include the proportion, by mass of recycled material. Only pre-consumer and post-consumer material shall be considered as recycled content.

- Pre-consumer material is the material diverted from the waste stream during a manufacturing process. Excluded is reutilization of materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process that generated it.

- Post-consumer material generated by households or by commercial, industrial and institutional facilities in their role as end-users of the product, which can no longer be used for its intended purpose. This includes returns of material from the distribution chain. For the purposes of the calculation, the term 'product' refers to the final product as delivered to the construction site and incorporated in the works.

A product development approach to design products for a circular economy may include approaches to design for reuse, refurbishment, remanufacture or recyclability. The approach shall include in its scope, but is not limited to, the product under assessment.

To achieve 1 point in section 4.4.3.3, the organisation must have satisfied the requirements of sections 4.4.3.1 and 4.4.3.2 and is required to report to its stakeholders on its resource use activities in all areas where it has claimed activity in the earlier sections.

Reporting shall be at least annual and be freely and publicly available to all stakeholders.

To achieve 1 point in section 4.4.3.4, the organisation must have satisfied the requirements of sections 4.4.3.1 and 4.4.3.2 and is required to have external verification of their resource use and product circularity information and data in all areas where it has claimed activity in the earlier sections. Verification must be undertaken by an independent third-party organisation or suitable individual.

A total of 4 points are available in section 4.4.3.

4.4.4 Waste Prevention and Waste Management

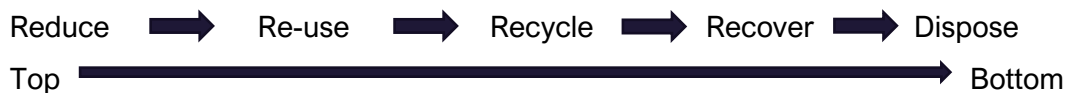
The aim of this criterion is to reduce waste sent to landfill or incineration and to control waste arising from operations.

To fulfil the compulsory clause, the organisation is required to have a policy for the diversion of waste from landfill or incineration without energy recovery in accordance with the waste hierarchy.

The policy must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and be effectively communicated to and accessible to all staff.

The policy and associated documents may be part of 'wider' existing management system documentation.

The waste hierarchy is:



The organisation must also provide evidence that all controlled waste arising from its operations is stored, transported and treated such that risks to human health and the environment are minimised and that all local regulatory requirements are fulfilled.

The organisation will need to understand the scope of its controlled waste. In the UK, controlled waste is defined in the Environment Protection Act 1990 and the Controlled Waste Regulations 1992 as 'household, industrial and commercial waste or any such wastes that require a waste management licence for treatment, transfer or disposal'.

NOTE: An organisation who maintains an environmental management system certificated to ISO 14001 by an accredited organisation, fulfils the second aspect of the compulsory clause.

To achieve 1 point in section 4.4.4.2, the organisation must have satisfied the compulsory requirements and is required to have set targets for waste prevention and waste management. This must include as a

minimum a target for reducing levels of waste production relative to output over time, and a target for the diversion of waste from landfill or incineration without energy recovery.

Targets are approved by senior management and progress against targets is regularly reviewed (annually as a minimum).

If the organisation can demonstrate they have achieved their waste targets and are sending zero waste to landfill or incineration without energy recovery, this point may be awarded.

To achieve 1 point in section 4.4.4.3, the organisation must have satisfied the compulsory requirements and is required to report to its stakeholders on its performance in terms of waste prevention and waste management. Stakeholder reporting must include:

- levels of waste production relative to output over time, and thereafter reported on an annual basis, as a minimum; and
- comparison to industry benchmarks, where available.

Stakeholder reporting should be at least annual, and the reporting shall be freely available to all stakeholders.

To achieve 1 point in section 4.4.4.4, the organisation must have satisfied the compulsory point and is required to have external verification of their waste information and data. Verification must be undertaken by an independent third-party organisation or suitable individual.

NOTE: The higher performance levels in this clause are not sequential and the higher performance ratings are independent of one another. It is therefore possible to achieve any or all of the higher performance ratings in isolation. The organisation must have achieved the compulsory level as a minimum.

A total of 3 points are available in section 4.4.4.

4.4.5 Water Usage or Abstraction

The aim of this criterion is to promote efficient water usage or abstraction and the reduction of the intensity of the water use of the organisation's operations.

To fulfil the compulsory clause, the organisation is required to have a policy for the monitoring and reduction of the intensity of their water abstraction and/or water usage.

The policy must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and be effectively communicated to and accessible to all staff.

The policy and associated documents may be part of 'wider' existing management system documentation.

Where the product(s) under assessment do not require the direct input of water, the policy need only be appropriate in scale to the usage level of water.

An example of an appropriate metric for the monitoring of performance would be a 'water footprint' calculation to ISO 14046 (Environmental management - Water footprint - Principles, requirements and guidelines).

The organisation must also quantify the intensity of their water usage or abstraction. This should include the amount of water usage/abstraction that is required for a unit of output. Where the product(s) under assessment do not require the direct input of water, the intensity of water usage can be quantified at site level. When this is the case, an alternative metric to measure intensity can be applied (e.g., amount of water usage per person or per area).

To achieve 1 point in section 4.4.5.2, the organisation must have satisfied the compulsory requirements and is required to demonstrate ONE of the following:

- They have set targets for the reduction of the intensity of their water usage. The targets must be approved by senior management and progress of the organisation's performance against these targets should be regularly reviewed (annually as a minimum).

OR

- The organisation shall have processes in place to implement the use of sustainable water sources at their manufacturing site(s). This may include rainwater harvesting, or water recovery, for example.

To achieve 1 point in section 4.4.5.3, the organisation must have satisfied the compulsory requirements and is required to report to its stakeholders on their water abstraction and/or use. Reporting shall include the intensity of their water usage or abstraction (as quantified for the compulsory clause) and shall thereafter be reported on an annual basis.

To achieve 1 point in section 4.4.5.4, the organisation must have satisfied the compulsory requirements and is required to have external verification of all their water information and data. Verification must be undertaken by an independent third-party organisation or suitable individual.

NOTE: The verification point may be awarded if the organisation can provide evidence of a valid EPD for the product(s) under assessment; a valid product group EPD where the product(s) under assessment are included in the scope of the EPD; or where an organisation can demonstrate they have provided product specific data as part of a Trade Association's independently verified EPD.

NOTE: The higher performance levels in this clause are not sequential and the higher performance ratings are independent of one another. It is therefore possible to achieve any or all of the higher performance ratings in isolation. The organisation must have achieved the compulsory level as a minimum.

A total of 3 points are available in section 4.4.5.

4.4.6 Life Cycle Assessment (LCA)

The aim of this criterion is to promote a life cycle approach to manufacturing processes and the determination of the environmental impacts of products at each stage of products' life cycle.

To fulfil the compulsory clause, the organisation is required to demonstrate that it uses life cycle thinking and/or life cycle assessment (LCA) methods to identify significant environmental aspects and impacts over the whole life cycle of the product(s) undergoing assessment.

The organisation must also have in place a documented approach for continual improvement of life cycle environmental performance. The approach must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle and be integrated into the organisation's document management system.

To achieve 2 points in section 4.4.6.2, the organisation must have satisfied the compulsory requirements and have independently verified Environmental Product Declaration (EPD) for all product(s) undergoing assessment that conforms to the requirements of ISO 14025 and ISO 21930, or EN 15804.

The independently verified Environmental Product Declaration (EPD) must be freely available to stakeholders on the EPD Scheme Operator's website and the organisation's website.

Where an organisation has an independently verified EPD for a range of products, and the product(s) under assessment are included in the scope of the EPD, the higher credits may be awarded.

Where an organisation can demonstrate they have provided product specific data as part of a Trade Association's independently verified EPD, and the EPD is freely available to stakeholders on the EPD Scheme Operator's website and the organisation's website, the higher credits may be awarded.

A total of 2 points are available in section 4.4.6.

4.4.7 Ecotoxicity

The criterion aims to identify potential biological, chemical or physical stressors which could be affecting ecosystems and to promote a pro-active approach to the assessment of chemical hazards in the supply chain for the assessed product.

To fulfil the compulsory clause, the organisation is required to have undertaken a hazard assessment of chemicals present in, and used in making, the assessed product.

NOTE: COSHH risk assessments (or equivalent) are accepted as evidence of a hazard assessment. However, Safety Data Sheets alone are not accepted as evidence of a hazard assessment as these are not specific to your workplace and do not take into account the organisation's particular environment.

Equivalent assessments and their alignment with COSHH regulations will be reviewed on a case-by-case basis whereby the organisation under assessment must demonstrate to the auditor that the equivalent assessment meets the requirements as set out in the relevant regulations.

The scope of the assessment must also include any substances listed in Annex XIV of EU REACH & UK REACH and Substances on the EU and UK REACH SVHC Candidate Lists.

The organisation shall maintain a procedure for monitoring changes to the substances in Annex XIV of EU REACH & UK REACH and Substances on the EU and UK REACH SVHC Candidate List.

The assessment only needs to include those chemicals used by the organisation directly in its production process. Chemicals or materials used in support of the manufacturing process e.g., office supplies, machine lubricants need not be included.

The EU Reach Authorisation List can be found at: <https://echa.europa.eu/authorisation-list>

The UK REACH Authorisation List can be found at: <https://www.hse.gov.uk/reach/authorisation-list.htm>

The latest EU REACH SVHC Candidate List can be found at: <https://echa.europa.eu/candidate-list-table>

UK REACH Candidate list can be found at: <https://www.hse.gov.uk/reach/candidate-list.htm>

Where an organisation can demonstrate that there are no chemicals present in or used in the manufacturing of the assessed product(s), a hazard assessment is not required to be provided and the compulsory criteria is achieved.

Examples of demonstration include an up to date COSHH assessment (or equivalent) or a declaration from senior management confirming that chemicals are not used in the manufacturing of the product.

As the above criteria are compulsory requirements, no points are available in section 4.4.7.

4.4.8 Transport Impacts

This criterion aims to promote the effective transportation of materials, goods, and people within the organisation to lower the impacts on the environment.

To fulfil the compulsory clause, the organisation is required to have policy for continually reducing the environmental and social impacts associated with the transport of materials, goods and people involved in their own operations.

The policy must identify appropriate, significant, direct impacts associated with the modes of transport used by the organisation and must include mitigation strategies for significant environmental and social impacts.

Impacts may include, but are not exclusive to, emissions to air, land pollution, water pollution, noise pollution, light pollution, dust, packaging, local congestion, and safety hazards.

The policy must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and be effectively communicated to and accessible to all staff. The policy and associated documents may be part of 'wider' existing management system documentation.

Furthermore, a procedure to identify significant environmental and social impacts must be documented. This may comprise actions to:

- map out the scope of the transport activities over which the organisation itself has direct financial or operational control
- identify impacts e.g., fuel use; emissions to air, land and water; accidental emissions to air, land and water (e.g., spills, escapes); noise; packaging used for the purpose of transport and distribution
- identify actions to reduce impact e.g., driver training for fuel efficiency, load optimisation, 'car share' schemes etc.
- prioritise impact reduction activities
- regularly review and report progress on these activities.

To achieve 1 point in section 4.4.8.2, the organisation must have satisfied the compulsory requirements and is required to have set targets to reduce the impacts of their own transport use, as identified to fulfil the compulsory requirement, over time. The targets must be approved by senior management and progress of the organisation's performance against these targets should be regularly reviewed (annually as a minimum).

To achieve 1 point in section 4.4.8.3, the organisation must have satisfied the compulsory requirements AND is required to report to its stakeholders on their transport use. Reporting shall include, as a minimum, significant environmental and social impacts of the transport of the assessed product(s) identified by the organisation, and mitigation strategies, and shall thereafter be reported on an annual basis.

To achieve 1 point in section 4.4.8.4, the organisation must have satisfied the compulsory requirements AND extended the scope of its transport policy and procedures to cover transport issues associated with the supply of traceable constituent material(s) in the assessed product.

Where the assessed organisation is responsible for the constituent material(s) at the source, the scope and boundaries of the policy shall cover all transport modes used from the source of the constituent material(s) to the assessed product(s).

'Traceable constituent materials' relates to the proportion of the constituent material(s) which are claimed to be traceable as determined in 4.3. As a minimum the scope of the policy and procedures shall cover transport of constituent materials from direct suppliers. It is not required to cover transport of constituent materials to source.

To achieve 1 point in section 4.4.8.5, the organisation must have satisfied the compulsory requirements AND is required to report to its stakeholders on the transport of its constituent materials. Reporting shall include, as a minimum, significant environmental and social impacts identified by the organisation in 4.4.8.4, and mitigation strategies, and shall thereafter be reported on an annual basis.

NOTE: The performance levels in this clause are not sequential and the higher performance ratings are independent of one another. It is therefore possible to achieve any or all of the higher performance ratings in isolation. The organisation must have achieved the compulsory level as a minimum.

A total of 4 points are available in section 4.4.8.

4.4.9 Biodiversity and Site Stewardship

This criterion promotes the awareness of biodiversity principles within the business' operations and encourages the protection of local wildlife.

To fulfil the compulsory clause, the organisation is required to have a policy for managing the risks and impacts, both actual and potential, of the organisation's activities on biodiversity and ecosystems. The scope of this policy will cover the activities taking place on at least the site(s) under assessment.

The policy must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and be effectively communicated to and accessible to all staff. The policy and associated documents may be part of 'wider' existing management system documentation.

To achieve 1 point in section 4.4.9.2, the organisation will have satisfied the compulsory requirement, and have developed and implemented a biodiversity action plan to protect and enhance the natural environment and biodiversity of the site(s) under assessment.

The action plan will be appropriate in nature to the purpose, scope, size, and location of the organisation, and may include the following actions:

- identifying and protecting the best sites for wildlife to thrive
- identifying and protecting local/native species at risk

Where it can be proven that the organisation is unable to implement a meaningful action plan for their site(s) under assessment, evidence that the organisation supports initiatives that actively protect and enhance the natural environment and biodiversity shall fulfil this requirement. These initiatives need not necessarily be local to the organisation.

As such, being in an industrial setting is no barrier to protecting and enhancing biodiversity.

To achieve 1 point in section 4.4.9.3, the organisation will have satisfied all preceding requirements, and will report to stakeholders on demonstrable actions the organisation has taken to fulfil the preceding requirement.

The report will be updated at intervals appropriate to the scale and scope of the organisation's demonstrable activities in this area, and the reported information shall be made freely and publicly available to all stakeholders.

A total of 2 points are available in section 4.4.9.

4.4.10 Human Rights and Modern Slavery

This criterion promotes the awareness of human rights principles and risks within the business' operations.

To fulfil the compulsory clause, the organisation is required to have a policy to respect human rights and to protect workers in the organisation's employ. The policy will be appropriate in nature to the purpose, scope, and size of the organisation.

The policy must be approved at the most senior level of the business, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and effectively communicated to and accessible to all staff and stakeholders. The policy and associated documents may be part of 'wider' existing management system documentation.

Organisations certified to SA 8000 by a third-party certification body (or Conformity Assessment Body) accredited for that standard by an accreditation body that is a member of the IAF (International Accreditation Forum) meets this requirement.

To achieve 1 point in section 4.4.10.2, the organisation will have fulfilled the compulsory requirements of this section and have in place a documented risk assessment and due diligence process for identifying and acting upon actual and potential human rights risks.

The scope of this process will cover the following groups:

- workers in the organisation's employ
- stakeholders identified by the organisation as posing actual and potential human rights risks. This may include:
 - workers within the organisation's supply chain
 - workers within outsourced services utilised by the organisation.

One example of an appropriate risk assessment and due diligence framework is the Ethical Trade Initiative's Human Rights Due Diligence Framework.

This process shall be reviewed at regular intervals appropriate to the organisation.

To achieve 1 point in section 4.4.10.3, the organisation will have fulfilled the compulsory requirements of this section and shall publish an annual Modern Slavery and Human Trafficking statement. The statement shall set out the steps taken by the organisation to prevent modern slavery in their business and their supply chains and demonstrate a commitment to continual improvement.

For organisations with a legal requirement to publish an annual Modern Slavery statement, all national guidance for best practice shall be followed and proposed requirements for future compliance in addition to addressing the aforementioned criteria and minimum legal requirements shall be met.

For example, in the UK, the Modern Slavery Act 2015 sets out the UK Government's legal requirements for how organisations must address and report on modern slavery. The law applies to any company doing business in the UK with an annual turnover of £36 million or more. The requirements apply to these companies' own operations and their supply chains.

In 2020 the UK Government committed to some new requirements for the Modern Slavery Act. Many of the new requirements will be mandatory once the changes to the Act have been approved by the UK Parliament.

To achieve the credit, organisations with a legal requirement to publish an annual statement shall:

- Publish an annual modern slavery statement
- Explain steps taken that year by the organisation to identify, prevent and mitigate modern slavery in their operations and supply chains
- Cover actions in six specific areas. Currently, these are "recommended" areas to include, but will soon become legal requirements:
 - Organisation and supply chain structure
 - Policies on modern slavery and human trafficking
 - Due diligence processes
 - Risk assessment and management
 - Actions taken to prevent modern slavery (and measurement against performance indicators, if relevant)
 - Staff training on modern slavery and human trafficking

If an organisation is unable to report on any area, include an explanation on why this is the case.
- Publish the annual statement each year on the online [UK Government registry](#).
- Include in the statement the date of corporate board approval and director sign-off

- Ensure Group statements identify every entity within the remit of the UK Act, or within the remit of the Group.

NOTE: The performance levels in this clause are not sequential and the higher performance ratings are independent of one another. It is therefore possible to achieve any or all of the higher performance ratings in isolation. The organisation must have achieved the compulsory level as a minimum.

A total of 2 points are available in section 4.4.10.

4.4.11 Business Ethics

This criterion promotes the awareness of ethical principles within the business' operations.

To fulfil the compulsory clause, the organisation must have a documented code of business ethics of a nature appropriate to the organisation's size and scope. Adherence with the code of business ethics must be obligatory for all employees of the organisation.

The 'Code' must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and be effectively communicated to and accessible to all staff.

A means of demonstrating acceptance and adherence must be seen in evidence for this requirement to be fulfilled. An example of such acceptance and adherence would be that each employee signs a statement regarding the Code as a fundamental part of their employment at the time of the induction training.

The organisation must also conduct and document a regular risk assessment of its operations focussed on the avoidance of bribery and corruption. This risk assessment will be reviewed at regular intervals appropriate to the organisation.

The organisation will also have in place a policy and a mechanism for the confidential reporting, investigation and resolution of suspected cases of bribery and/or corruption.

The mechanism or procedure for the confidential reporting must be a part of the organisation's documented management system and be accessible by all staff. The mechanism need not be limited to the bribery/corruption element of business ethics. Common mechanisms of confidential reporting include confidential company or external telephone helpline.

The policy shall also stipulate that whistle-blowers will be protected from harassment or victimisation, and an appropriate grievance process will be in place.

As the above criteria are compulsory requirements, no points are available in section 4.4.11.

4.4.12 Employment and Skills

The aim of this criterion is to encourage a systematic, transparent, and regularly reviewed approach to the learning and development of employees.

To fulfil the compulsory clause, the organisation is required to have a policy for the learning and development of its employees and to carry out regular reviews of its performance.

The policy must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and be effectively communicated to and accessible to all staff. The policy and associated documents may be part of 'wider' existing management system documentation.

The organisation must also demonstrate that responsible sourcing awareness or training is provided in all relevant professional and functional training. Furthermore, the organisation shall operate an induction programme which refers specifically to aspects related to the following topics: health and safety; human rights; sustainability; corporate responsibility and business ethics.

The organisation must also be able to demonstrate their human resource practices for recruitment, contracts, fair wages and working hours are communicated and accessible to all staff and are appropriate to the size and scope of the organisation.

Such practices must be approved by senior management and comply with all relevant legislative requirements.

Having *Investors in People* (IiP) certification is not, in itself a means of securing the compulsory point. However, elements of the organisation's IiP activities may well provide the appropriate evidence required in this clause.

To achieve 1 point in section 4.4.12.2, the organisation must have satisfied the compulsory requirements and is required to report to its stakeholders on its performance relating to the learning and development of its employees. Reporting of this information will be made annually at a minimum and shall be freely and publicly available to all stakeholders.

To achieve 1 point in section 4.4.12.3, the organisation must have satisfied the compulsory requirements and is required to have external verification of their performance with regards to the learning and development of their employees. Verification must be undertaken by an independent third-party organisation or suitable individual and may include total training hours; number of training hours per employee; number of employees trained vs targets; completion of performance reviews; completion of induction/mandatory training.

To achieve 1 point in section 4.4.12.4, the organisation must have satisfied the compulsory requirements and is required to establish a policy for enhancing the diversity and inclusiveness of its workforce and carry out regular reviews of its performance (annually as a minimum).

The policy must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and should be effectively communicated to and accessible to all staff. The policy and associated documents may be part of 'wider' existing management system documentation.

Issues of inclusiveness and diversity should be considered by the organisation in its broadest terms:

Inclusion is about a work environment where everyone has an opportunity to fully participate in creating business success and where each person is valued for their distinctive skills, experiences, and perspectives.

Diversity is the recognition of the existence of many unique individuals in the workplace. This includes men and women from different nations, cultures, ethnic groups, generations, backgrounds, skills, abilities, and other unique differences.

A total of 3 points are available in section 4.4.12.

4.4.13 Local Communities

This criterion aims to encourage systematic, transparent, and regularly reviewed engagement with stakeholders and local economies.

The definition of 'local' is defined here as anywhere within an administrative area where the production facility is located (the home administrative area), or a neighbouring administrative area of the same rank. Such a neighbouring administrative area may lie over a national boundary. However, it is acknowledged that there is no one uniform definition for 'local', and as such an organisation may adopt a different definition if it is justified to be appropriate with the organisation's location and scope.

To fulfil the compulsory clause, the organisation is required to have a policy to identify and consult with local community stakeholders directly affected by the activities and operations of the organisation.

The policy must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and be effectively communicated to and accessible to all staff. The policy and associated documents may be part of 'wider' existing management system documentation.

The organisation must also have written procedures to record all complaints from local community stakeholders and any subsequent and associated actions including prosecutions.

The local communities' complaints procedures may be integrated with the procedures to respond to complaints from customers or it may be a stand-alone procedure. The procedure must include the recording of (as a minimum) complainant details, nature of complaint, actions taken, communications details, including closure. The procedure must be regularly reviewed in line with the organisation's management system review cycle, and the results/outcomes formally recorded.

Additionally, the organisation is required to carry out regular reviews, at least annually, of its performance in terms of local community relationships, stakeholder engagement and complaints incidents.

To achieve 1 point in section 4.4.13.2, the organisation must have fulfilled the compulsory requirements, and report, annually as a minimum, to its stakeholders on its performance in terms of local community engagement, stakeholder engagement and complaint incidents. Stakeholder reporting must be publicly and freely available to all stakeholders.

Local community stakeholders may include, but are not limited to, residents, charities, businesses, or road users as such being in an industrial setting is no barrier to relating and engaging with the local community.

To achieve 1 point in section 4.4.13.3, the organisation must have fulfilled the compulsory requirements, and have external verification of their local community engagement, liaison activities and complaint incidents. Verification must be undertaken by an independent third-party organisation or suitable individual.

To achieve 1 point in section 4.4.13.4, the organisation must have fulfilled the compulsory requirements, and have a policy to promote local sourcing of products and services, and the use of local staff and expertise where appropriate and practical.

Local suppliers and services may be defined as those that are based in the same geographic market as the organisation, however the organisation may adopt a different definition if it is justified to be appropriate with the organisation's location and scope.

The policy must be approved by an appropriate senior manager of the organisation under assessment, be regularly reviewed in line with the organisation's management system review cycle, be integrated into the organisation's document management system, and should be effectively communicated to and accessible to all staff. The policy and associated documents may be part of 'wider' existing management system documentation.

A total of 3 points are available in section 4.4.13.

5 Scoring

5.1 Overview

An organisation that meets the requirements of the Standard receives an Overall Assessment Score and a corresponding Performance Rating as detailed in Table 2.

The organisation must satisfy all compulsory elements and achieve additional levels of compliance within the (voluntary) requirements of the Standard to achieve a performance rating. The Overall Assessment Score is recorded on the Certificate.

5.2 Methodology

Assessment against the Standard is divided into three sections:

- | | |
|-----|---|
| 4.2 | Organisational Management Requirements |
| 4.3 | Supply Chain Management Requirements |
| 4.4 | Requirements related to the management of sustainable development |

Each section consists of a number of requirements.

Each requirement may have a number of elements.

Each element is either voluntary (in which case it is assigned a number of 'points') or it is compulsory (in which case it is not assigned points).

Some sections are non-sequential. Therefore, the voluntary points available within some sections can be awarded in isolation once the compulsory credit is achieved.

A summary of all available points is shown in Table 1.

Table 1: A summary of all available points throughout this standard.

	REQUIREMENTS		POINTS AVAILABLE				TOTAL POINTS AVAILABLE
4.2.1	Responsible Sourcing Policy	C					0
4.2.2	Compliance Obligations	C					0
4.2.3 *	Management Systems & Operational Management of Responsible Sourcing	C	1	1	1		3
4.2.4 *	Procurement and Supplier Management	C	1	1	2		4
4.3.1	Quality Management Systems in the Supply Chain	C	1	1			2
4.3.2	Environmental Management Systems in the Supply Chain	C	1	1	1		3
4.3.3	Health and Safety Management Systems in the Supply Chain	C	1	1	1		3
	TOTAL						15
4.4.1 *	Greenhouse Gas Emissions	C	2	1	1	1	5
4.4.2 *	Energy Use	C	1	1	1	1	4
4.4.3 *	Resource Use and Product Circularity	C	2	1	1		4
4.4.4 *	Waste Prevention and Waste Management	C	1	1	1		3
4.4.5 *	Water Abstraction	C	1	1	1		3
4.4.6 *	Life Cycle Assessment (LCA)	C	2				2
4.4.7	Ecotoxicity	C					0
4.4.8 *	Transport Impacts	C	1	1	1	1	4
4.4.9	Biodiversity & Site Stewardship	C	1	1			2
4.4.10 *	Human Rights and Modern Slavery	C	1	1			2
4.4.11	Business Ethics	C					0
4.4.12 *	Employment and Skills	C	1	1	1		3
4.4.13 *	Local Communities	C	1	1	1		3
	TOTAL						35

* Indicates requirements where voluntary points are not sequential and can be scored independently on the basis of meeting the compulsory requirement.

The Overall Assessment Score depends on:

- The total score achieved in the requirements of sections 4.2 and 4.3 combined; and
- The total score achieved in section 4.4

The overall assessment rating is given by the lowest score achieved in either the combined sections 4.2 & 4.3, or 4.4 as shown in Table 2 (e.g., if an organisation achieves a 'Very Good' in 4.2 & 4.3 but only achieves a 'Good' in 4.4, then it will receive an Overall Assessment Score of 'Good').

Table 2: Threshold scores required to achieve an Overall Assessment Score in the Standard

Section	Pass	Good	Very Good	Excellent
Total score in 4.2. & 4.3	Compulsory	5	7	10
Total score in 4.4	Compulsory	10	20	30

6 Amendment History

Revision No	Amendment Details	Date
3.1	Minor changes to wording in criteria in section 3.	Sep 2016
3.2	Minor changes to wording in section 3 to include UK & EU requirements post-Brexit.	Jan 2021
4.0	Major changes to criteria and scoring structure.	Nov 2022



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The CSP family of schemes and standards, which includes the BES 6001 Responsible Sourcing Framework, address different key sustainability aspects of products and assets: environmental impacts declaration for various life cycle stages of construction products, responsible/ethical supply chain management, and ethical sourcing of labour.