



BRE Global Limited

Scheme Document

SD 186: Issue No. 12.1

February 2022

Responsible Sourcing Certification Scheme

Commercial-in-Confidence

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Introduction

This certification scheme has been designed to promote the use of sustainable materials and products. Responsible sourcing includes organisational management requirements, supply chain management requirements and requirements related to the management of sustainable development. This scheme will encourage responsible sourcing through a provision of a set of requirements by complying with BRE Global's Framework Standard for Responsible Sourcing (BES 6001). This scheme will provide confidence that materials and products are being responsibly sourced. There are three pathways to certification under this scheme which are outlined in Section 5.

1. Scope

This scheme provides ongoing independent, third party assessment and certification and listing of *responsibly sourced materials and products* to ensure that the performance, marking and classification requirements of the appropriate standards are met and maintained. The Scheme Document must be read in conjunction with PN 110 - the product certification process.

Certification of applicable materials against this scheme provides points within the Materials sections of BREEAM and BRE Global's Home Quality Mark.

2. Applications to join this scheme

To apply for Responsible Sourcing certification the applicant shall complete and return to BRE Global application form BF1703. The application will be reviewed and, if accepted, a proposal will be prepared setting out:

- Material, product or product range included under the scope of certification activities
- Organisation to which the certification will be assigned
- Facility to which the certification will be assigned (if applicable)
- Scope of the assessment activities
- Certification pathway
- Additional requirements for approval
- Maintenance of certification
- Travel and subsistence
- Formal quotation

All proposals and contracts are subject to BRE Global's Standard Terms and Conditions as detailed in TC201B. If the client wishes to continue the certification processes upon receipt of the proposal, they should return the completed declaration section with the assessment fee to enable BRE Global to continue the certification process.

Please see Appendix 1 to view details of the certification process for both new certifications and recertifications.

For more information or help with your application contact BRE Global on +44 (0) 333 321 8811 or e-mail enquiries@bregroup.com.

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3. Assessment Process

In order to achieve certification applicants are required to:

- Submit a completed and signed application form (BF1703).
- Outline the type of certification that they require.
- Comply with all the compulsory elements of BES 6001

Assessment structure

The assessment structure is made up of 3 stages:

- Initial assessment
- Site-assessment or desktop assessment
- Independent Review

Please note: Only applicants undertaking a BES 6001 assessment for the first time are required to undertake a site assessment. For those who are re-certifying with unchanged assessment criteria, a site assessment is not needed. However, BRE Global reserve the right to carry out a site assessment where they believe it is necessary. If any assessment criteria have changed by the time of recertification (e.g. change of site(s), products or processes), then a site assessment needs to be completed.

Initial assessment

The initial assessment enables the applicant to complete the majority of the assessment work using a paper-based process and significantly reduces the amount of time required to complete the overall assessment. Should the assessment auditor identify missing information at the initial assessment stage they will highlight this in an assessment report and request that the applicant present the missing information before the next stage of the process can begin. This is either the site visit for the main certification assessment or the desktop review, depending on the project type.

When a site visit is requested, the applicant can request up to 45 calendar days between receipt of the assessment report and the site visit to ensure all non-conformances can be closed

NOTE 1: *In the case of multiple site assessments the 45 calendar day period runs to the start of the series of site assessments. For multiple site assessments the client and BRE Global will seek to minimise the time between the first and last site assessment.*

NOTE 2: *A non-conformance is issued where there is a breakdown in a process, procedure or a failure in compliance with the BRE Global Scheme documents i.e. core standards, signed agreements etc.*

NOTE 3: *An observation is raised where there is room for improvement in a process or procedure that if left unresolved could lead to a future non-conformity.*

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Site assessment

The number of assessment days required will depend upon several factors including:

- The quality of documents sent to the auditor for the initial assessment.
- The level of assessment sought – Pass, Good, Very Good or Excellent, applications for the higher levels will require more assessment time.
- The number of sites included under the assessment. As a standard rule, the square root of the total number of manufacturing sites will be assessed (selected at random), along with Head Office(s) and/or Regional Office(s). This sampling methodology has been based on the sampling set out in IAF MDI:2018. It is at the discretion of BRE Global to deviate from this standard rule where exceptional circumstances exist.
- The complexity of the assessment, e.g. the amount of evidence that needs to be assessed for a given product and how many suppliers are involved.

NOTE 4: In the case of a single site assessment all non-conformities must be closed-out by 45 calendar days after this single assessment. For a series of site assessments all non-conformities must be closed out by 45 calendar days after the final assessment.

NOTE 5: A non-conformance is issued where there is a breakdown in a process, procedure or a failure in compliance with the BRE Global Scheme documents i.e. core standards, signed agreements etc.

NOTE 6: An observation is raised where there is room for improvement in a process or procedure that if left unresolved could lead to a future non-conformity.

BRE Global offer management system certification in addition to this certification scheme. Other system certification options include:

- ISO 14001 Environmental Management Systems – Requirements with Guidance for use.
- ISO 45001 Occupational Health and Safety Management Systems - Requirements
- ISO 9001 Quality Management Systems - Requirements

Desktop assessment

Where a site visit is not required the auditor will carry out a desktop review and complete the assessment report (BF1005), documenting the evidence received and the credits achieved in each section of the assessment criteria.

Independent Review

Once the assessment report is completed, it is independently reviewed to ensure that the evidence submitted satisfies the requirements of the credits awarded.

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4. Certification Requirements

In order to ensure that products meet, and continue to meet, the requirements of this scheme document, applicants are required to maintain full control of their production processes and the quality of the products that they supply through a structured documented management system.

Organisations must as a minimum:

- Supply a written policy which includes the principles of responsible sourcing for itself and its supply chain.
- Identify applicable legal requirements and determine how they apply within its written policy which includes the principles of responsible sourcing.
- Hold a documented quality management system which meets and continues to meet the principles of ISO 9001 and addresses requirements of BES 6001.
- Have in place, as appropriate to the purpose and activities of the organisation and its products, a documented management system and purchasing process and approval of its suppliers as per the Supplier Management System requirement.
- Demonstrate there are documented Environmental Management Systems in the supply chain
- Demonstrate there are documented Health and Safety Management Systems in the supply chain.
- Quantify the emissions and removals of greenhouse gases (GHG) related to its direct operations as well as indirect emissions and removals of GHG related to energy use in its direct operations and establish a policy, supported by a documented management system, for the monitoring and reduction of the GHG intensity of its operations.
- Establish a policy, supported by a documented management system, for the efficient use of constituent materials addressing key issues such as preferential use of renewable and/or abundant materials, material resource efficiency and re-use of materials, use of recycled materials, production residues or recyclable materials
- Establish a policy, supported by a documented management system, for the diversion of waste from landfill or from incineration without energy recovery that is in accordance with the waste hierarchy as well as providing evidence that all controlled waste arising from its operations is stored, transported and treated such that risks to human health and the environment are low and that all local regulatory requirements are fulfilled.
- Establish a policy, supported by a documented management system, for the reduction of the intensity of its operations with respect to water usage and abstraction.
- Use life cycle thinking and/or life cycle assessment (LCA) methods to identify significant environmental aspects and impacts throughout the product lifecycle. They shall have in place a documented policy for continual improvement of life cycle environmental performance.
- Establish a policy, supported by a documented management system, for continually reducing environmental impacts associated with the transport of materials, goods and people involved in its operations. The policy shall identify appropriate, significant, direct environmental impacts associated with the modes of transport used by the organisation. The methodology used to identify significant environmental impacts shall

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be documented. The policy shall include mitigation strategies for significant environmental impacts.

- Establish a policy, supported by a documented management system, for the learning and development of its employees. The policy shall include an objective to cover the principles of responsible sourcing as it relates to the organisation's policies.
- Establish a policy, supported by a documented management system, to identify and consult with local community stakeholders directly affected by the activities and operations of the organisation. The organisation shall have written procedures to record all complaints from local community stakeholders and any subsequent associated actions.

Additional points are available under the following clauses:

- Energy use
- Ecotoxicity
- Business ethics

Supplementary points are available under the following clauses:

- Resource Use (environmental stewardship at source specifically refers to biodiversity enhancement & protection)
- Waste
- Water
- Transport
- Business Ethics

BES 6001 performance levels are assessed by different levels of:

- Commitment
- Compliance, and
- Exceeding scheme requirements

5. Certification and listing

Certificates are awarded to organisations when all assessment activities have been satisfactorily completed, the assessment has been independently reviewed and the Certification Scheme Manager has made the certification decision based on the assessment report. Certificates will state the BES 6001 performance level of the named material, product or product range. Certificates will also state the organisation name or organisation name and site that have been assessed for responsible sourcing. Details of the products will also be listed on www.greenbooklive.com.

Certification pathways include:

- Certification to BES 6001 Framework Standard.

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- Certification to BES 6001 Framework Standard and approved sector guidance document.
- Certification to BES 6001 Framework Standard and approved sector standard.

Certification options include:

- Whole organisation with multiple sites and products.
- Multiple products within a single organisation.
- Single product within a single organisation.

Where multiple products from a whole organisation with multiple sites are certified against BES 6001, the certificate will display the minimum level of 'Pass', 'Good', 'Very Good' or 'Excellent' that has been achieved across all sites that have been assessed. An annex will also be included, stating the average score for each product and the site names included under the assessment.

Certificates and listing are maintained subject to:

- Successful annual surveillance assessments to BES 6001.
- Compliance with sector specific or bespoke requirements.
- Approval by BRE Global of any proposed modifications to the scheme which may affect performance, production or specification. Requests to assess proposed modifications must be made in writing to BRE Global. The applicant will be advised of the further BRE Global requirements necessary to retain certification.

BES 6001 certification has a duration of 3 years. The maintenance of full certification will require an Annual Surveillance to the version of BES 6001 on which the original certification was based.

The Annual Surveillance will be based on documentary evidence provided by the client, the evidence shall comprise:

- Copies of all relevant 3rd-party certification (e.g., BS EN ISO 14001, ISO 45001 etc.) to demonstrate continuing compliance.
- Evidence of the continued compliance with the supply chain management requirement: traceability through the supply chain.
- Other evidence relating to a minimum of 3 selected clauses from requirements related to the management of sustainable development to confirm continued compliance to the Standard and to the original certified level of performance. (This will be determined as to whether a site visit was carried out as part of the certification work)
- Evidence relating to the response to any observations from the original Certification and from any subsequent Annual Surveillance s.

Where the annual surveillance shows an overall change in the certificate score, the certificate will be withdrawn and re-issued with the new score, and lower level achieved.

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To ensure continuous certification, the re-certification process must be completed prior to the certificate expiry date. Following the successful completion of the second year annual review, the certificated organisation will be sent an application form to begin the recertification process.

It is not the policy of BRE Global to extend certification validity beyond the expiry date and the existing certificate will be withdrawn, regardless of whether re-certification is being undertaken. Any deviation from this will be dealt with on a case by case basis.

If the manufacturing site(s), production inputs (either type and/or source) and/or production processes change then the certificated organisation must inform BRE Global of the change, in writing, within 20 working days of the change taking place. A reassessment of the BES 6001 certification may be required, at an additional cost.

If a change in management or ownership occurs, the certificated organisation must notify BRE Global of the change, within 7 working days of the change taking place. Failure to do so may result in the withdrawal of the certification.

As part of the continual improvement, a certificated organisation may request a data re-evaluation at any time.

After the third year a full re-certification will be required (i.e. after the second Annual Surveillance).

6. Updates to BES 6001

The BES 6001 Standard and certification scheme will be updated from time to time to take account of evolving responsible sourcing principles and practices. Upon application, the most recent version of BES 6001 published at the point of the initial assessment will be used.

Approved sector standards will be updated within 12 months of BES 6001 updates.

7. Certification Mark

Once a certificate has been issued, the BRE Global Mark can be used as directed in the publication PN242 - General Rules and Guidance for the Use of the BRE Global Certification Mark and Badges of Recognition.

The certificated organisation shall use the Certification Marks only in accordance with BREG's instructions. An example of the certification mark that can be used for this scheme is as follows:

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Where 'XXXX' is the certificate number.

8. Licensee Organisations

Certification organisations other than BRE Global, by the way of a License Agreement (BF1785), can deliver to and certify against BES 6001. For more information please contact BRE Global on +44 (0)333 321 8811 or e-mail enquiries@bregroup.co.uk.

9. Complaints and Appeals

BRE Global operates procedures for complaints and appeals. Further details are available on request.

10. Competence of Personnel

Personnel within BRE Global will have attained a minimum level of competence in relation to the separate specific roles within the Scheme (i.e. Certification Scheme Manager, Independent and Auditor). The competence criteria are set out in LP10CRR and QP117.

Licensee organisation within the Scheme are required to meet and maintain comparable knowledge and skill levels.

11. Publications referred to

BES 6001	Framework Standard for Responsible Sourcing
BF1005	Auditor Assessment Report
BF 1703	Application for Certification
BF1785	BES 6001 License Agreement
IAF MDI	IAF Mandatory Document for the Audit and Certification of a Management system Operated by a Multi-Site Organization
ISO 14001	Environmental management systems — Requirements
ISO 45001	Occupational health and safety management system - Requirements
ISO 9001	Quality management systems. Requirements
LP10CRR	Roles and Responsibilities

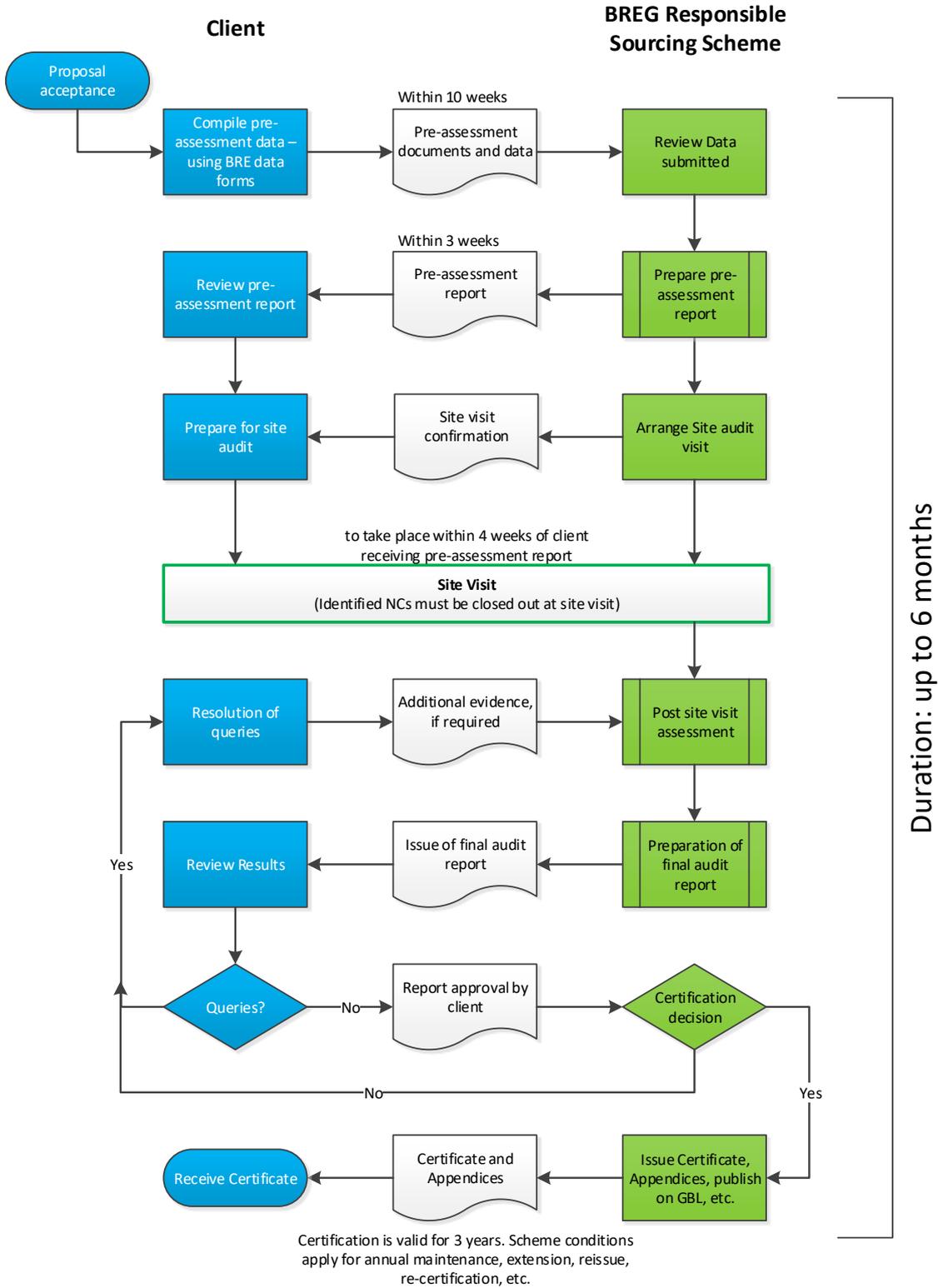
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- PN 110 The product certification process
- PN 242 'General Rules and Guidance for the uses of the of the BRE Global Certification Mark'
- TC201B BRE Global Limited: Terms and Conditions for certification, verification, listing, conformity assessment, and CE marking
- XP130 Competence

For undated references please refer to the most recent dated issue.

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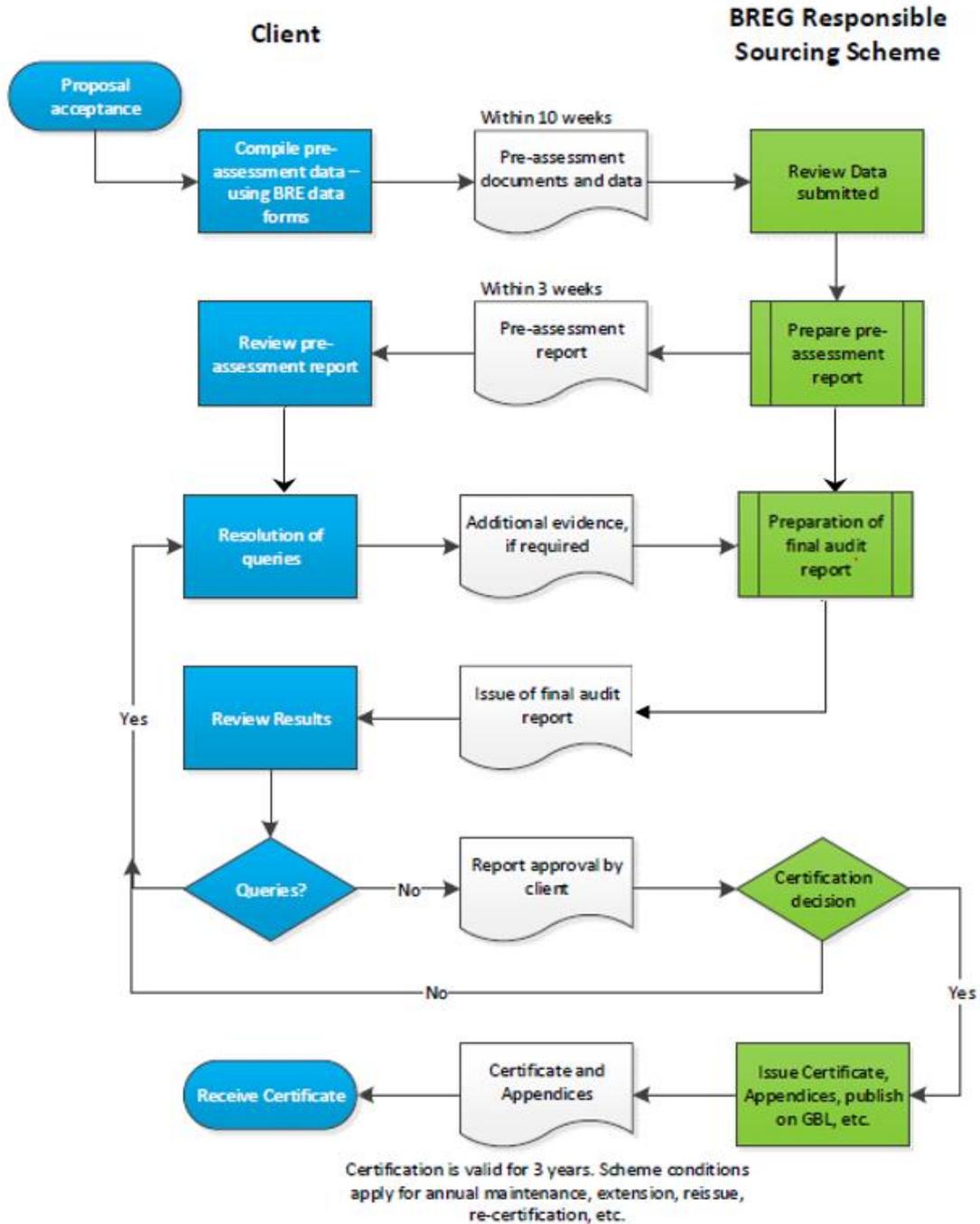
Appendix 1
The certification process for new applicants



Please note: the revised assessment criteria may include: more sites added to the assessment, more products added to the assessment or a change in the company's process, for example

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The certification process for recertification with unchanged assessment criteria



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