The evaluation of responsible sourcing certification schemes within BREEAM –
Evaluation and Appeals Process v1.0

1 Introduction

1.1 BREEAM includes credits for responsible sourcing. The aim of these credits is to encourage the specification and procurement of responsibly sourced materials (RSM) for major building elements. Evidence of responsible sourcing may be supplied in the form of independent certification from a responsible sourcing scheme.

1.2 The requirements of the standards on which responsible sourcing certification schemes (RSC schemes) are based vary widely and so a set of evaluation criteria has been developed to enable such schemes to be assessed for BREEAM purposes.

1.3 The purposes of the evaluation criteria are:

- to provide a means by which BRE Global can confirm that responsible sourcing certification schemes meet the aims of BREEAM in relation to the Responsible Sourcing of Materials issue (such as Mat 3 in BREEAM UK New Construction 2014),
- to provide a transparent, consistent and meaningful means by which the scope of responsible sourcing assessment standards and schedules can be compared by a broad range of stakeholders, including users of BREEAM assessment systems, and
- to allow BREEAM credits to be linked to sourcing, company and supply chain performance.

1.4 The purposes of the evaluation are not:

- to provide a formal certification or accreditation of the RSC schemes being evaluated,
- to provide a formal endorsement or affiliation by BRE Global of the RSC schemes,
- to provide assurance of the on-going validity or compliance of the RSC schemes.

1.5 This document contains information on the process for the evaluation of RSC schemes using the proposed RSC evaluation criteria and their acceptance within BREEAM. The document sets out the evaluation process, including application and responsibilities for applicants and BRE Global. It also covers quality assurance and appeal processes.

2 Review of RSC schemes for recognition by BREEAM

2.1 Currently recognised schemes:

2.1.1 BREEAM currently recognises a number of RSC schemes within its tier table at level 5 or above. These are listed in the BREEAM New Construction 2011 scheme under Mat 03, table 25. The following schemes are included in this table and rated at a tier level 5 or better:
• BRE Global BES 6001 Product Certification,
• BRE Global BES 6001 Standard Certification (including all accredited schemes),
• Canadian Standards Association (CSA) Chain of Custody Scheme,
• UK CARES Sustainable Reinforcement Scheme,
• Forest Stewardship Council (FSC),
• Programme for the Endorsement of Forests Certification (PEFC), and
• Sustainable Forestry Initiative (SFI).

2.1.2 These currently recognised tier 5 or better schemes will be evaluated against the new BREEAM RSC criteria (i.e. Criteria for the evaluation of responsible sourcing certification schemes within BREEAM – Draft v3.0) free of charge where an application is made by the scheme operator within a period of 3 weeks of BRE Global notifying the scheme operator of the release of the BREEAM RSC criteria. These applications will be evaluated in accordance with the procedures set out in this document.

2.1.3 The process of evaluation of the RSC schemes will essentially consist of self-assessment by the scheme operators and verification by BRE Global. BRE Global will evaluate the submitted applications based only on the information supplied in the application. No other sources of information will be taken into account.

2.1.4 A provisional evaluation outcome will be provided to the scheme operator applicant for review and feedback. This will include the provision of any additional supporting evidence required to demonstrate compliance with the BREEAM RSC criteria before the final List of BREEAM Recognised RSC Schemes is confirmed and published on the BREEAM Website.

2.1.5 It is envisaged that the evaluation of schemes will be completed by the end of August 2014. The final List of BREEAM Recognised RSC Schemes will be implemented within the range of BREEAM schemes in due course but excluding the Code for Sustainable Homes which is owned by the UK Government.

2.1.6 RSC schemes for which a completed application has not been submitted by the submission due date or which are not currently recognised within the BREEAM Tier Table will be excluded from the list of BREEAM Recognised Schemes from the date of publication of the revised list. It will be necessary for the scheme operator to submit a new application for evaluation and pay an evaluation fee before a scheme can be considered for reinstatement to the recognised list. This fee has not yet been determined, but will be set at a level that covers all our administrative and evaluation costs.

2.1.7 The outcome of an evaluation will remain valid until such a time that the RSC scheme changes, at which stage a re-evaluation will be required. Re-evaluation will also be required where changes to the scope, content or requirements of a scheme have been made. This will be carried out in accordance with the normal evaluation procedure as set out in this document and an evaluation fee will be charged.

2.1.8 Subsequent evaluations of schemes will incur an evaluation fee to cover the costs of evaluation and administration. This will be set at a non-profit making level and will be based on the scope of changes being reviewed. The evaluation fees for major scheme evaluation and minor changes will be set out in the BREEAM Fee Schedule when these are determined. All fees due on application will be non-refundable.
2.2 **New RSC schemes**

2.2.1 All RSC schemes which are not currently recognised by BREEAM will require evaluations to be carried out in accordance with the procedures set out in this document; in order to be included in the List of BREEAM Recognised RSC Schemes.

3 **Roles and Responsibilities**

3.1 **BRE Global is responsible for:**

- Carrying out the evaluation of RSC schemes in an impartial manner,
- Managing any conflicts of interest that might occur in the process of evaluating RSC schemes,
- Monitoring and maintaining the competence of BRE Global’s staff involved in the evaluation process,
- Maintaining the List of BREEAM Recognised RSC Schemes,
- Notifying BREEAM assessors of any changes to the List of BREEAM Recognised RSC Schemes,
- Liaison with the Impartiality Committee of BRE Global Governing Body in relation to any dispute arising from the evaluation process.

3.2 **The applicant (who will be the operator of an RSC scheme) is responsible for:**

- Providing all information required to allow for a full and in depth evaluation of the scheme against BREEAM RSC criteria.
- The submission of the application and supply of all necessary supporting evidence ensuring that this is complete and includes the full referencing of scheme document clauses and procedures against the specific requirements set out in the published BREEAM RSC criteria.
- Payment of the evaluation fee where applicable.
- Provision of feedback on the provisional evaluation report as necessary to ensure that the provisional evaluation fairly and accurately reflects the scheme.

4 **Application process**

4.1 Applications for recognition of an RSC scheme under BREEAM should be prepared and submitted by the scheme operator. Applications from other organisations or individuals will not be accepted.

4.2 The applicants must fully justify how their scheme complies with the published BREEAM RSC criteria and must provide all supporting evidence properly referenced in the application form. Where such supporting evidence is not provided, or is not properly and accurately referenced, BRE Global will not be able to take account of it and the application is likely to be rejected.

4.3 Where the BREEAM RSC criteria require compliance with the requirements of a specific standard, it will be sufficient to provide formal evidence of certification/accreditation against that standard to demonstrate compliance. Examples
would be formal documentation such as a certificate and schedule from UKAS (or an equivalent accreditation body) or CPET.

4.4 BRE Global will provide applicants with a standard application form. The applicant shall clearly set out the basis on which they claim compliance with the BREEAM RSC criteria and shall provide full references for all supporting evidence. Referencing requirements are as follows: Document; Publication date; Document location/accessibility; Section; Clause; Page number.

4.5 All supporting documentation must either be provided in a digital pdf or hard copy format or be accessible directly from the scheme operator's website. All scheme documentation must be formal in nature, branded, clearly dated and version controlled and openly accessible for public scrutiny.

5 Evaluation of RSC Schemes

5.1 Evaluation process

5.1.1 The process of evaluation of the RSC schemes will essentially consist of the following steps:

Step 1: Self-assessment by the scheme operators
Step 2: BRE Global reviews the submitted self-assessment application and verifies
Step 3: Scheme operators provide additional information in support of the claims made in the original application if applicable
Step 4: BRE Global publishes a List of the BREEAM Recognised RSC Schemes and associated score on the BREEAM website

5.1.2 Upon receipt of an application from a scheme operator, the application will be processed to check that it is complete and properly referenced. Once an application has been initially checked for completeness, it will be acknowledged by email.

5.1.3 The application will be allocated to a suitably competent member of BRE Global staff to carry out the verification of the submitted self-assessment against the published BREEAM RSC criteria. She/he shall prepare a provisional verification outcome summary document within a period of 2 weeks from acknowledgement of receipt of the application.

5.1.4 BRE Global staff involved with the verification shall not have any direct personal role or management responsibility in connection with any individual RSC schemes and BRE Global will take all responsible steps to identify and manage any other conflicts of interest which might have a bearing on the evaluation process.

5.1.5 The provisional verification outcome summary document will be quality reviewed within the BREEAM Team and approved by the BREEAM Technical Director prior to release.

5.2 Notification of provisional outcome

5.2.1 On completion of the verification, the provisional outcome summary document will be sent to the applicant together with any request for further justification information.

5.2.2 The applicant will have a period of up to 1 week from the date of correspondence being issued by BRE Global to question the findings of the verification and/or provide additional information as requested.
5.3 Additional information from the Applicants

5.3.1 The applicant may question the verification findings on the grounds of misinterpretation of, or a failure to take account of the evidence provided with the application as well as the provision of additional evidence in support of the claims of compliance already made in the application.

5.3.2 The applicant cannot submit evidence to demonstrate compliance with criteria that were not claimed in the original application at this stage, i.e. making new claims is equivalent to submitting a new application form for which BRE Global will apply an evaluation fee.

5.4 Verification review

5.4.1 BRE Global will review any further information submitted within 10 working days from receipt, BRE Global will then finalise and amend the provisional outcome summary document as appropriate in the light of this additional information.

5.4.2 This final verification outcome will be reviewed and approved by the BREEAM Technical Director.

5.5 Notification of the final evaluation results

5.5.1 BRE Global will formally write to the applicants in relation to the final evaluation outcome of their scheme.

5.5.2 All RSC schemes that meet the stated mandatory requirements will be listed in alphabetical order on the BREEAM website in the form of a List of BREEAM Recognised RSC Schemes. In addition the final results for all RSC schemes evaluated will be summarised in a table including scores and evidence/references and published on the BREEAM website. For transparency, BRE Global reserves the right to publish any other aspect of the self-evaluation submission and verification summaries prepared during this process to ensure that the process is open to scrutiny. This will include the self-assessment and verification information for any schemes which are not deemed to meet the requirements for recognition under BREEAM.

6 Recognition of RSC Schemes within BREEAM

6.1 Current BREEAM schemes

6.1.1 All RSC schemes that have been evaluated and included in the List of BREEAM Recognised RSC Schemes will be recognised initially within the BREEAM UK New Construction 2014 scheme. In addition BRE Global intends to amend other currently operating and new schemes to take account of the findings from this RSC scheme evaluation process as follows:

- BREAM UK Non-domestic Refurbishment and Fit Out (currently under development),
- BREAM UK Domestic Refurbishment 2012, and
A guidance note will be prepared for previous versions of BREEAM schemes that are currently still operating.

7 **Appeal Process**

7.1 Disputes between the BRE Global and the Applicant will be considered by a panel comprising the BRE Global Managing Director, the Legal and Compliance Director and the BREEAM Director. The BREEAM Technical Director will inform this review but will not be involved in making decisions. This panel will only consider evidence provided within the formal submission.

7.2 Where the Applicant is dissatisfied with the outcomes of this review the dispute will be referred to the Impartiality Committee of the BRE Global Governing Body. This body will review the impartiality of any decisions made by BRE Global. In the event that they uphold the complaint, the committee will refer the dispute back to BRE Global for further technical review.