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| Carbon Trust Certification LimitedOrganisational Standard - Assessment Form |
|  Applicant Information |
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| Company name: |   |
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| Applicant type: [ ]  Organisation ☐ Subsidiary/Part organisation [ ]  Site |

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| Estimated annual waste management expenditure: |   |  |
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| Company size: | *Choose a size* |
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| Period of assessment: | *Start of Assessment Period*To*End of Assessment Period* | *Refers to the minimum period over which historical waste data must be provided:**For very large/large organisations, 3 year historical period**For medium organisations, 2 year historical period* *For small organisations, 1 or 2 year historical period* |
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| Industry classification: |

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|  | Private Sector | [ ]  | Retail & Distribution |  | Public Sector |
| ☐ | Utilities and waste | [ ]  | Financial Services | [ ]  | Armed Forces & Emergency Services |
| ☐ | Industrials and manufacturing | [ ]  | Hi-Tech & Professional Services | [ ]  | Central Government Departments |
| ☐ | Manufacture of Basic Materials | [ ]  | Telecoms & Media | [ ]  | Education |
| ☐ | Chemicals  | ☐ | Transport & Infrastructure | ☐ | Executive Agencies |
| ☐ | Household & Consumer Goods | [ ]  | Construction & Property | [ ]  | Local and Municipal Government |
| ☐ | Food Production & Agriculture | ☐ | Hospitality & Leisure | ☐ | NHS Trust |
| ☐ | Beverages, Brewing & Tobacco | ☐ | Healthcare & Pharmaceuticals | ☐ | Other Public Buildings |

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| Contact: |   | Position: |   |
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| Address: |   |
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| Email: |   |
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| Phone: |   | Mobile: |   |

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| Waste Measurement |
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| Calculation of waste arisings should follow the principles and requirements outlined in the Corporate Waste Protocol. All waste arisings should be reported in tonnes.  |
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| **Organisational boundary:** This isused to define which parts of an organisation are included in the waste arisings measurement and includes selecting an approach for inclusion of waste arisings from joint venture and subsidiaries |
| Description of organisational boundary:*(See agreed proposal for assessment)*  | Click here to enter text. |
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| How are joint-owned or controlled assets accounted for: | *Choose an item.* |
|  |  |
| Specific facilities/divisions included in boundary: *e.g. 150 retail stores across UK plus London HQ (please mark UK and overseas facilities)* |        |
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| **Exclusions:** |
| Waste arisings which were excluded (de minimis): each must be less than 1% of the total waste arisings and must total no more than 5% of the total waste arisings |
| **Waste arisings** | **Estimated % of total waste arisings** | **Reason for exclusion and explanation of calculation** |
| 1.
 | % |   |
| 1.
 | % |   |
| 1.
 | % |   |
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| **Benchmarks:** Waste arisings can be compared year on year on an absolute basis (measured in tonnes) or using a relative benchmark (e.g. tonnes of waste/tonne product, tonnes of waste/£m turnover, etc. |
| If a relative benchmark is to be used please specify the denominator: *e.g. tonne product, £m turnover* |   |
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| Rationale for benchmark: |   |
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| *Assessor: Has the applicant measured waste arisings accurately, and according to The Corporate Waste Protocol? If not, please explain the deficiencies in the data.* |   |

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| Waste Reduction |
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| To enable a like-for-like comparison, the reduction rules must apply to the same organisational boundary (i.e. adjusted to take into account any acquisitions or divestments). The applicant may choose to use an absolute or relative basis for comparison in accordance with *The Corporate Waste Protocol.* |

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| Reduction assessment based on: | *Choose an item.* |

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| Identify any structural changes in the organisation which have resulted in adjustment of the waste arisings figures to enable like-for-like comparisons (e.g., outsourcing, divestments or acquisitions):*Please note: adjustments should only be made for structural changes (e.g. buying or selling of part of a business) and not for organic changes (e.g. closing of an office)* |
| Structural change: | Waste arisings (tonnes) | Adjustment made: |
| *e.g. Divestment of division X June 2007* | *100* | *Waste arisings of division X excluded from calculations using the ‘adjustment’ tab of the calculator* |
| 1.
 |   |   |
| 1.
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| 1.
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| Adjusted figures used for reduction criteria - please enter information from ‘Summary of Results’ sheet in the *Waste Spreadsheet* |
| **Reduction Type** | **Historical data** | **Base Year(s) data** | **Pass / Fail** |
| Absolute waste arisings (tonnes) |   |   | Choose an item. |
| Relative benchmark *e.g. tonnes of waste/tonne product* |   |   | Choose an item. |
| Turnover benchmark *e.g. tonnes of waste/£mn* |   |   | Choose an item. |
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| Please list the top 3 waste reduction initiatives/actions taken during the period of assessment, along with estimated impact:  |
| **Initiative:** | **When?** | **Estimated annual waste reduction (tonnes)** |
| 1.
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| 1.
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| 1.
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| *Assessor: Has the applicant achieved an absolute or relative reduction according to The Corporate Waste Protocol?* |   |
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| Waste Management |
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| * For each of the questions below please provide a brief self-explanatory description in the box provided, referencing any relevant documents.
* The key documents (e.g. waste policy, extract of annual report, copy of communications material) should be referenced and attached as evidence. Other documents referred to should be provided to the Assessor during the site visit if requested.
* We recommend no more than 20 additional pages should be attached; please only attach relevant sections of documents.
* The example evidence provided with each question is not exhaustive and only relevant elements should be submitted.
* Where appropriate, achievement of other certification can be used as evidence e.g., ISO14001.
* Assessment will be made taking into consideration the size and circumstance of the organization.
* Please discuss these questions with your assessor to decide the most appropriate piece of evidence.
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| *To be completed by assessor: please provide any relevant context for the moderator e.g., organisation description, previous certification.* |
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| Section I: GOVERNANCE  |
| 1. Policy: Does the organisation have a waste policy?

*Does it set organisational boundary? Does it have clear waste objectives? Does it prioritise waste prevention, continual improvement and the application of the waste hierarchy? Does it assign responsibilities effectively, and have appropriate methods of communicating its provisions to staff? Is it reviewed and updated regularly?* *Please provide a copy of your waste policy. This may be part of a wider environmental policy and should evidence clear objectives and an action plan. Please clarify who has signed it off (e.g. management, Board, union representatives, etc.) and if it is available on any internal or external websites.* |
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| **Assessor comments and justification of score**:  **What could be done better?** **Evidence document(s) name, page no.:**   | Mark (out of 5) |
|  | 0 |
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| 1. Responsibility: Which Board Committee or other executive body has overall responsibility for matters relating to waste?

*How often is waste performance reviewed by senior management? What is the day-to-day management structure? Example evidence may include relevant organisational charts; minutes from relevant board meetings; number of FTEs with responsibility for waste management (% of time).*Response: |
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| **Assessor comments and justification of score**:  **What could be done better?** **Evidence document(s) name, page no.:**   | Mark (out of 5) |
|  | 0 |
|  |
| 3. Communication: How is waste management performance communicated to relevant stakeholders? *Are organisational boundaries used? Does organisation communicate total waste generated; waste split according to type and subtype; financial metrics; explanation of any significant exclusions or recalculations; and reduction goals and progress? Example evidence may include Annual/CSR Report; website printouts; reporting to parent organisation.*Response: |
|   |
| **Assessor comments and justification of score**:  **What could be done better?** **Evidence document(s) name, page no.:**   | Mark (out of 5) |
|  | 0 |
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| Section II: WASTE ACCOUNTING1. Monitoring, measuring and reporting: Does the organisation ensure that waste arisings data, and related operations are measured and documented for waste destined for reuse, recycling, energy recovery, landfill and incineration without energy recovery?

*Does the organisation conduct routine waste stream reviews (including determining which wastes may be moved up the hierarchy) and update the reviews annually? Are these procedures documented and verifiable?* *Example evidence may include recorded measurements of waste arisings prior to leaving the site; EDOCS; waste transfer notes; weigh bills; and invoices.*Response: |
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| **Assessor comments and justification of score**:  **What could be done better?** **Evidence document(s) name, page no.:**   |  Mark (out of 10) |
|  | 0 |

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| 1. Waste hierarchy: Does the organization understand the concept of the waste hierarchy? Does it take all necessary measures to apply the waste hierarchy within the defined boundaries? Does the organisation ensure that all waste handlers in the disposition chain also apply the waste hierarchy?

*Do operations prioritise waste reduction? When waste cannot be reduced, does the organisation apply the hierarchy in priority sequence both in-house and when waste is transferred? Does the organisation have evidence to demonstrate that all waste transferred is dealt with in a priority sequence as required by the hierarchy? Does the organisation declare compliance with the hierarchy on its waste transfer notes?*Response: |
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| **Assessor comments and justification of score**:  **What could be done better?** **Evidence document(s) name, page no.:**   | Mark (out of 10) |
|  | 0 |
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| Section III: MANAGEMENT1. Targets: Does the organisation have waste reduction and waste hierarchy target(s)?
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| *Are these targets challenging and quantifiable? Are they measured against a baseline year? Example evidence may include documentation of target(s).*Response:  |
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| **Assessor comments and justification of score**:  **What could be done better?** **Evidence document(s) name, page no.:**   | Mark (out of 5) |
|  | 0 |
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| 1. **Training and competence:** Are there awareness programmes for all staff and appropriate training for those with responsibility for waste management? Are staff sufficiently competent to carry out their obligations?

*Is there regular internal or external training for those with waste management responsibilities? Do these programmes engage all staff in reducing waste? Evidence may include communication material; e-mails; articles; contents page of training material; external training courses attended or certification achieved; calculated man-days of training time.*Response: |
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| **Assessor comments and justification of score**:  **What could be done better?** **Evidence document(s) name, page no.:**   | Mark (out of 5) |
|  | 0 |
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| 1. Waste minimisation programmes and investments: What programmes exist to minimise waste and implement the waste hierarchy across the defined boundaries? What capital investments to reduce waste have been made over the last 4 years? What plans are there for further investment?

*What programmes or quality control mechanisms does the organisation have in place to ensure that the operating procedures and practices of all sites and equipment minimise waste? Please provide documentation of key actions taken to minimise waste, e.g. reduction of waste at source, increased recycling rates, new operating instructions, maintenance changes, operating instructions/terms of reference, and documentation of current and planned investments.*Response: |
|   |
| **Assessor comments and justification of score**:  **What could be done better?** **Evidence document(s) name, page no.:**   | Mark (out of 15) |
|  | 0 |
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| 1. Upstream impacts: Does the organisation consider the impacts of its supply chain?

*Does the organisation have a detailed and enforced procurement policy which specifies preference for products/materials that are less waste intensive and divertible when no longer useful? E.g. does the organisation consider the recyclability, recycled content, reusability, etc. of procured goods? Does this procurement policy prioritise the waste hierarchy? Does the organisation consider the waste management policies/credentials of organisations from which services are procured? Does the organisation collaborate with supply chain to reduce waste? Evidence may include a copy of the procurement policy; evidence of past and current purchases for comparison and evaluation; emails and other communication documents.*Response: |
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| **Assessor comments and justification of score**:  **What could be done better?**  **Evidence document(s) name, page no.:**   | Mark (out of 5) |
|  | 0 |
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| 1. Downstream impacts: Does the organisation consider the downstream impacts of its products and services?

*Does the organisation have a detailed and enforced policy which deals with the downstream considerations of products/packaging and/or services? Are there programmes in place that reduce the lifecycle waste impact of organisation’s products/packaging and/or services? E.g. product take-back initiatives, packaging optimisation, redesigned products to reduce raw materials, toxicity, and to increase durability, and recyclability? Does the organisation demonstrate that their products and packaging have conformed to other standards? Example evidence may include a copy of the policy; documents about initiatives and products that seek to minimise lifecycle waste.* Response: |
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| **Assessor comments and justification of score**:  **What could be done better?** **Evidence document(s) name, page no.:**   | Mark (out of 5) |
|  | 0 |
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| 1. Waste management services: Has the organisation exercised its duty of care obligations? Has it ensured that its waste contractors carry out their duty in a responsible manner? Has the organisation conducted sufficient due diligence for its procured waste management services?

*Does the organisation produce evidence of each hauling and handling service for all waste streams? Does the organisation specifiy preference for waste contractors that handle waste in a hierarchical manner? Evidence may include EDOCS or paper records; waste transfer notes; e-mail communications inquiring about material handling and disposal.*Response: |
|   |
| **Assessor comments and justification of score**:  **What could be done better?** **Evidence document(s) name, page no.:**   | Mark (out of 5) |
|  | 0 |
| 1. Leadership and other initiatives (Bonus): Has the organisation developed and implemented any other measure(s) that demonstrate leadership and/or innovation?
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| *Do these initiative demonstrate sector leadership, best practice and innovation?* |
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| **Assessor comments and justification of score**:  **What could be done better?** **Evidence document(s) name, page no.:**   | Mark (out of 5) |
|  | 0 |
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|  Section IV: SITE VISIT (To be completed by the assessor) |
| 1. *Site visit: Based on the site visits, does the organisation display good overall waste management practices? For recertification, has the organisation responded appropriately to previous recommendations?*
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| **Assessor comments and justification of score**:  **What could be done better?**  | Mark (out of 10) |
|  | 0 |
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| Summary of Qualitative Scores\*\*Instructions for use: once the form is complete and all the scores are filled out in the tables above, please right click on each score in the table below and select ‘Update Field’. Don’t forget to also update the field of the Total – this must be done after all the individual scores have been updated as it is a ‘sum’ function of the scores in this summary table. |
| Section I: Governance | Policy  | 0 |
|  | Responsibility | 0  |
|  | Communication | 0 |
| Section II: Waste accounting | Monitoring, measuring and reporting | 0 |
|  | Waste hierarchy | 0 |
| Section III: Management | Targets | 0 |
|  | Training and competence | 0 |
|  | Waste minimisation programmes and investments |  |
|  | Upstream impacts | 0 |
|  | Downstream impacts | 0 |
|  | Waste management services | 0 |
|  | Leadership and other initiatives  | 0 |
| Section IV: Site Visit | Site Visit | 0 |
| Total qualitative mark (out of 90)*Note: score of 54/90 or 60% constitutes a pass* | 0 |
| Assessor recommendation: *Choose an item.*Assessor comments and justification of score:   |

**Queries**

If you have any questions about this form, please contact your assessor or email your query to assessments@carbontrust.com.

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