

2 SABRE Licensed Companies, Registered Assessors & Registered Professionals

SABRE assessments are conducted by SABRE Registered Assessors (i.e., an individual), who operate on behalf of SABRE Licensed Companies. SABRE Licensed Companies may be any type of trading entity (e.g., limited company, LLP, sole trader) providing the entity holds the appropriate insurance required of a Licensed Company.

The SABRE scheme requires that certain activities are undertaken by 'competent persons' who have demonstrable experience in a particular aspect of security risk management. An individual may become a SABRE Registered Professional to validate their level of experience and demonstrate suitability for performance of such activities. SABRE Registered Professionals also operate on behalf of SABRE Licensed Companies.

Registrations of Assessors and Professionals are non-transferable. Therefore, should a SABRE Registered Assessor or Professional leave employment of their SABRE Licensed Company their registration will be invalidated. Should they wish to remain SABRE registered, the individual will need to re-register.

Licensed Companies and registered individuals benefit from the use of the SABRE Badge of Recognition (refer to SYI-1102-002P), which may be used to promote their services and capability.

2.1 Licensed Companies

2.1.1 Application

Organisations are granted a 'SABRE Licence' upon the registration of their first SABRE Registered Assessor or Professional and following provision of evidence that they hold the minimum required level of Professional Indemnity Insurance cover. A Licensed Company is identified by their listing in the online SABRE Licensed Company Directory, found at www.security-institute.org, and their use of the Badge of Recognition (see section 2.1.3).

Applications must be made using the SABRE Licence Application/Modification Form (SYI-1101-002F).

Professional Indemnity Insurance certificates must detail the geographical scope of the policy and provide cover of a minimum £1,000,000 per claim or £5,000,000 in the aggregate.

Subsequent applications may be made by the Licensed Company to modify the scope of their Licence (e.g., to add further Registered Assessors).

2.1.2 Confirmation

Upon receipt of a completed Licence Application and Modification Form, The Security Institute will review the contents and associated supporting information.

If any problems are identified with the information, The Security Institute will notify the applicant using the contact details submitted. If the review is successful, The Security Institute will calculate the applicable fee and notify the applicant prior to invoicing.

Refer to sections 2.2 and 2.3 for details regarding the registration of Registered Assessors and Professionals respectively.

2.1.3 Badge of Recognition

The SABRE Badge of Recognition for Licensed Companies may be displayed on the Licensed Company's website and literature to promote associated services. Use of the Badge shall be in accordance with SABRE Imagery Guidance and Rules (SYI-1102-002P).

2.1.4 Listing

The name of the Licensed Company will appear alongside all associated Registered Assessors and Registered Professionals on the online SABRE Licensed Company Directory, found at www.security-institute.org.

2.1.5 Maintenance

Licensed Companies will be required to pay an annual Licence Fee, covering the registration of their Assessors and/or Professionals. Failure to pay the annual Licence Fee or maintain compliance with applicable Licence terms and conditions will result in termination of the Licence and removal of all associated Registered Assessors and Professionals from the online SABRE Licensed Company Directory.

In addition to paying the Licence Fee, a company must have at least one Registered Assessor or Professional for their Licence to remain active.

2.2 Registered Assessors

2.2.1 Training

Individuals seeking to become SABRE Registered Assessors must undertake training with The Security Institute prior to registration. SABRE Registered Assessor Training covers issues including, but not necessarily limited to:

Overview of the Scheme

- Background
- Security Risk Management Systems (SRMS)
- Scheme documentation

Using the Scheme

- Defining an appropriate assessment scope
- How to register a facility/project with the scheme
- Unique Reference Numbers (URN)
- How to conduct a SABRE Pre-assessment
- How to conduct a SABRE Full Assessment
- An introduction to the SABRE Calculator & Tools
- The importance of the SABRE Manual
- How to apply for Certification
- Getting maximum value from SABRE
- Benefits, marketing, and claims

Upon successful completion of training, individuals will be provided with a training completion certificate.

2.2.2 Application

Individuals seeking to become SABRE Registered Assessors must submit a completed Licence Application and Modification Form (SYI-1101-002F) in addition to evidence in support of the criteria listed in Table 1.

Table 1 SABRE Registered Assessor Criteria

Criteria	Detail	Evidence	Compliance Notes
1	3 years' (within the last 5 years) experience in any of the following professional services: <ul style="list-style-type: none"> Security risk management Property / facilities management Management system auditing Building / Infrastructure performance assessment 	CV detailing previous 5 years professional employment.	Applicants will benefit from experience in: <ul style="list-style-type: none"> A client facing role Technical report writing Stakeholder engagement Reading, understanding, and interpreting documentation that relates to the built environment e.g., drawings, specifications, contracts, reports.
2 ¹	Degree or equivalent qualification in a security risk management or built environment discipline.	Copies of education certificates.	Examples of appropriate built environment disciplines include engineering, architecture, town planning and construction.
3	Successfully complete SABRE Assessor Training.	Course attendance certificate.	-
4	Membership to a relevant professional body, to which membership is subject to a code of conduct/ethics.	Valid membership certificate or written confirmation of membership from the applicant's professional body.	The body shall have relevance to the applicant's experience as per criteria 1. Registration, Chartership, Licence or other classification to describe a form of membership may also be acceptable, subject to the presence of a code of conduct/ethics.
5	No unspent convictions that would be inappropriate for the role.	CTC, SC, DV or national equivalent. Basic criminal record disclosure, or national equivalent.	Convictions inappropriate for the role exclude those which are unrelated to the professional integrity of the individual (e.g., motoring convictions).

2.2.3 Badge of Recognition

The SABRE Badge of Recognition for Registered Assessors may be displayed on the Licensed Company's website and literature and on the individual's correspondence. Use of the Badge shall be in accordance with SABRE Imagery Guidance and Rules (SYI-1102-002P).

2.2.4 Listing

Registered Assessors will be listed on the online SABRE Licensed Company Directory, found at www.security-institute.org.

2.2.5 Maintenance

In addition to payment of the Licence fee by the Licensed Company, Registered Assessors must maintain adherence to the criteria in Table 1 to remain registered.

2.2.6 Monitoring

Ongoing registration of Assessors is subject to individual performance. This shall be ascertained through the auditing of submitted SABRE assessments by BRE Global (refer to section 3.5).

¹ Alternative means of demonstrating degree-level understanding of the subject matter are considered on a case-by-case basis, and acceptance of alternative evidence is at the discretion of The Security Institute.

2.3 Registered Professionals

2.3.1 Application

Individuals seeking to become SABRE Registered Professionals must submit a completed Licence Application and Modification Form (SYI-1101-002F) in addition to evidence in support of the criteria listed in Table 2.

Table 2 SABRE Registered Professional Criteria

Criteria	Detail	Evidence	Compliance Notes
1	3 years' (within the last 5 years) experience in a security advisory (or similar) role.	CV detailing previous 5 years professional employment.	The experience must clearly demonstrate a practical and well-rounded understanding of factors affecting security in relation to construction and the built environment.
2 ¹	Degree or equivalent qualification in a security risk management subject or a built environment discipline with demonstrable relevance to the field of security.	Copies of education certificates.	Compatible disciplines may include, but are not limited to: <ul style="list-style-type: none"> • Engineering • Risk and security management • Building surveying • Security consultancy • Asset management • Information security and risk management • Security sector management • Criminology and security science • Estates management
3	Demonstrable experience in one or more of the following technical specialisms (as applicable to their application): <ul style="list-style-type: none"> • Threat assessment² • Risk assessment² • Security Strategy² • Security Design & Engineering • Operational Security 	Minimum 1500-words (per specialism) describing the applicant's experience. Case study examples should be used to re-enforce the written statement, but not replace it.	To demonstrate competence for each specialism, The Security Institute will be seeking to establish whether the role and responsibilities of the individual were commensurate with the expectations of a SABRE Registered Professional, and consistent with the activities described in the relevant Technical Issues of the SABRE scheme listed below, as applicable to the application: <ul style="list-style-type: none"> • Threat assessment (FSR2.2) • Risk assessment (FSR2.3, FSR2.4, FSR2.5) • Security Strategy (PSF1.1 to PSF1.7) • Security Design & Engineering (PSF2.1) • Operational Security (PSF3.1) <p>Client and project confidentiality may be maintained by redacting sensitive information. However, there must be sufficient context to allow The Security Institute to establish whether the applicant's knowledge and experience, together with roles and responsibilities held, were commensurate with the expectations of a SABRE Registered Professional.</p>
4	Membership to a relevant professional body, to which membership is subject to a code of conduct/ethics.	Valid membership certificate or written confirmation of membership from the applicant's professional body.	The body shall have relevance to the applicant's experience as per criteria 1. Registration, Chartership, Licence or other classification to describe a form of membership may also be acceptable, subject to the presence of a code of conduct/ethics.
5	No unspent convictions that would be inappropriate for the role.	CTC, SC, DV or national equivalent. Basic criminal record disclosure, or national equivalent.	Convictions inappropriate for the role exclude those which are unrelated to the professional integrity of the individual (e.g., motoring convictions).

² Individuals who successfully demonstrate experience in 'Threat Assessment', 'Risk Assessment' and 'Security Strategy' will also be awarded the designation of 'Suitably Qualified Security Specialist' (SQSS). This is specifically for the purpose of communicating that the individual meets the requirements defined in section HEA 06 of the BREEAM UK New Construction scheme to undertake Security Needs Assessments (SNAs).

2.3.2 Badge of Recognition

The SABRE Badge of Recognition for Registered Professionals may be displayed on the Licensed Company's website and literature and on the individual's correspondence. Use of the Badge shall be in accordance with SABRE Imagery Guidance and Rules (SYI-1102-002P).

2.3.3 Listing

Registered Professionals will be listed on the online SABRE Licensed Company Directory, found at www.security-institute.org.

2.3.4 Maintenance

In addition to payment of the Licence fee by the Licensed Company, Registered Professionals must maintain adherence to the criteria in Table 2 to remain registered.

3 SABRE Assessment & Certification process

3.1 Appointment of a SABRE Assessor

Clients seeking assessment and certification of a New or In-Use facility must appoint a SABRE Registered Assessor. Clients can use the online SABRE Licensed Company Directory, found at www.security-institute.org, to search for an Assessor or to verify that an individual holds registered status.

3.2 Determining the Assessment Scope

3.2.1 Identifying the scheme and the building type

The first step in determining the assessment scope is to identify whether the project should be assessed against the New Facility or In-Use requirements of SABRE. Whilst in most cases this will be apparent based on the lifecycle stage of the project, the Registered Assessor should always confirm this aspect of the project scope with their client. Facilities can be assessed in the following ways:

- a) New Facility (Design Interim)
- b) New Facility (Shell & Core)
- c) New Facility (Full)
- d) In-Use

In the case of the refurbishment of existing buildings, a judgement should be made by the SABRE Registered Assessor as to whether the project warrants a New Facility assessment, or an In-Use assessment.

Generally, refurbishment projects can be assessed using the New Facility assessment method. This is especially true when the project is, in all other respect, a typical construction project.

However, it may be appropriate (where a facility is already SABRE In-Use certified) for the refurbishment project to be captured during the certification renewal process under the Project Management requirements outlined in the SABRE scheme, for example, if the proposed works are relatively small-scale or minor in nature.

In all instances, classification of the assessment type is at the discretion of the SABRE Registered Assessor who may refer to The Security Institute for guidance.

3.2.2 Identifying the spatial scope

The next step in determining the assessment scope is to establish the precise spatial scope of the assessment. This is to ensure the assessment includes only the areas and spaces as intended by the client. For example, a client may wish to:

- Exclude tenanted areas from an In-Use assessment because the tenant is not participating the assessment process; or
- Have only a single building certified on a multi-building site.

The Registered Assessor will need to ensure the facility address accurately reflects the spatial scope when making the formal application to register the facility with The Security Institute. For the examples above:

- Building ABC (landlord areas only), Address Line 1, Address Line 2, Post Code.
- Building No. 14, XYZ Trading Estate, Address Line 1, Address Line 2, Post Code.

Where the spatial scope is more complex, it may be necessary to supplement the application with a scope drawing(s) identifying the areas and spaces in and out of scope.

3.2.3 Facility Type

The SABRE scheme covers a range of facility types. However, should the assessment relate to a facility type not listed within the scheme, the Registered Assessor should indicate 'Other' at the relevant stage(s) during the SABRE application process.

3.3 Facility Registration

Registering a facility with The Security Institute is the first step in the process of applying for certification. Registration secures the facility to the version of the scheme current on the date of registration, the assessment stage (New Facility or In-Use) and the certification fees applicable at that time.

A facility must be registered with The Security Institute prior to submission of a SABRE assessment to BRE Global. BRE Global will only audit and certify an assessment submitted by a Registered Assessor on behalf of the organisation holding the facility registration.

3.3.1 Application Form

SABRE Registered Assessors (or their clients) must register facilities with The Security Institute using the appropriate application form, available on The Security Institute website.

3.3.2 Amending or transferring registration

It is possible for changes to be made to an existing facility registration. This may be necessary or desirable for several reasons, including errors contained in the original application information.

Such requests should be made in writing to The Security Institute accompanied by the appropriate level of information necessary to implement the change. Changes will be subject to an administration fee except in cases where the change is a result of an error by The Security Institute.

3.3.3 Validity

There is currently no limit on the amount of time a facility registration remains valid for following the expiry date of the scheme version (or launch date of the updated scheme version or replacement scheme). However, The Security Institute reserves the right to annul any facility registration after five years following expiry of the scheme version to which it was registered.

The scheme version expiry date is used rather than the facility's assessment registration date to set a fixed point in time that is the same for all facilities registered under that version. This enables The Security Institute and Registered Assessors to manage and communicate scheme expiry in a clear and co-ordinated manner.

3.4 Undertaking an assessment

SABRE is a third-party assessment and certification scheme. The Registered Assessor's assessment and the BRE Global quality assurance audit process are the fundamental tenets of the scheme, ensuring consistency of, and confidence in, the SABRE Rating awarded by the Assessor.

To maintain this consistency and credibility, all certification decisions taken by BRE Global must be based on verifiable and credible project information that is traceable, i.e., evidence based. This is important to managing risk to clients and Registered Assessors if a certification outcome is challenged.

It is the Registered Assessor who determines the SABRE Rating and their assessment is the formal record of the facility's performance against the criteria defined in the SABRE scheme document. The certificate issued by BRE Global provides assurance that the service provided by the Assessor (that is, the process of conducting and documenting the assessment) was in accordance with the requirements of the SABRE scheme. The purpose of the certificate is to give the client confidence in the Assessor's performance in determining a SABRE Rating.

Fundamentally, an assessment involves the appointed Registered Assessor collating and reviewing evidence relevant to facility security and using it along with the SABRE assessment tools to calculate and report the performance (credits and section/category scores) and SABRE Rating achieved. The assessment report submitted to BRE Global for a certification decision is the formal record of this process.

Whilst this Operations Handbook describes the basic functional process of undertaking an assessment, the Registered Assessor can and often does have a more in-depth, hands-on role, which is usually necessary to ensure a successful and cost-effective outcome. This is particularly the case for New Facility assessments, where the Assessor is often involved from the design stage through to construction and handover. In all cases, the Assessor may support clients and project teams through the information gathering and scheme compliance process.

The remainder of this section provides guidance on ensuring impartiality in the assessment process, information on the tools for undertaking an assessment, collating evidence and record keeping, and submitting an assessment to BRE Global for certification.

3.4.1 Conflicts of Interest

Impartiality within the assessment and certification process is paramount for ensuring the credibility of the outcome. The scheme and its Registered Assessors must take reasonable steps to maintain their impartiality and an appropriate degree of objectivity in the assessment process.

If the Registered Assessor believes there is, or may be potential for, a conflict of interest then the first step to managing it is to declare it to BRE Global, along with any measures proposed or taken to manage the potential conflict. BRE Global can then confirm or advise steps that need to be taken by the relevant parties to maintain the objectivity of the assessment and its outcome.

The assessor should inform BRE Global of any potential conflict at the earliest possible opportunity; or at the appropriate time thereafter when the potential conflict becomes apparent and before the assessment is submitted for a certification decision.

The most likely potential for conflict of interest is where a Registered Assessor (knowingly or inadvertently) combines their role as the Assessor with one or more other roles within the project team for the facility they are assessing. For example, they are also the architect or security consultant on the project. Dual roles present a challenge to maintaining impartiality as the Registered Assessor

could be putting themselves in a position where they are assessing and verifying their own work (or verifying solutions/performance which they advised clients on). In such circumstances it is necessary to eliminate the conflict by ensuring the individual Registered Assessor does not combine their role with others which directly influence facility security outcomes.

Another example of a potential threat to impartiality is where a client or other third party is putting pressure on the Registered Assessor to determine a favourable outcome by falsely claiming compliance; or where a client, Registered Assessor or other third party is aware of a Registered Assessor who is falsely claiming compliance. In such circumstances it is advisable to contact BRE Global so that appropriate steps can be taken to maintain the objectivity of the assessment.

Such conflicts of interest and threats to impartiality have the potential to invalidate the outcome and leave the scheme open to abuse, which undermines both the scheme and other Registered Assessors (by way of reputation and commercially).

Where a conflict of interest exists, or there is potential for one, the assessment and evidence submitted is likely to be subject to closer scrutiny during the Quality Assurance audit. Where BRE Global has unresolved concerns, additional measures may be imposed to verify the integrity of the submitted assessment. These measures may include escalation of the audit level and/or a site visit conducted by BRE Global. Reasonable costs of implementing these measures will be charged to the Licensed Company of the Registered Assessor. Where such measures fail to satisfy those concerns, BRE Global will not certify the assessment or, where certification has taken place and a conflict has subsequently come to light, BRE Global may withdraw the certificate.

Furthermore, if a Registered Assessor has been found to be in breach of the Licence terms, their registered status may be suspended and eventually terminated (in accordance with the relevant terms and conditions of licensing).

Registered Assessors can and often will need to advise clients, project teams and facility owners/managers on whether one or more proposed solutions comply and how to interpret assessment criteria for the purpose of determining, designing or proposing compliant solutions. This type of advice does not necessarily constitute a conflict of interest, but assessors should be mindful in doing so that it does not lead to one.

3.4.2 Assessment Reporting & Tools

Registered Assessors must undertake, complete, and submit their assessments in accordance with the submission requirements of the scheme. A typical submission comprises:

- SABRE Manual (i.e., Assessment Evidence)
- SABRE Assessment Report
- SABRE Calculator

These components are detailed further in the subsequent corresponding sections.

The Security Institute has produced basic templates which may be used by Assessors in the preparation of submissions. However, Licensed Companies may develop their own reporting templates and tools or utilise third party software tools for assessment purposes provided that these tools are recognised and approved by The Security Institute before initial use.

3.4.3 SABRE Manual 'Assessment Evidence'

The Registered Assessor is responsible for determining compliance or otherwise with the assessment criteria defined within the SABRE scheme. The assessor determines compliance using the evidence sourced by or supplied to them by the relevant parties.

As a minimum standard for certification, SABRE requires all facilities to have a Security Risk Management System Manual 'SABRE Manual'. For further information, refer to the sections of Scheme Document SD0229:

- In-Use facilities: MAN1.10
- New Facilities: MAN3.12

The SABRE Manual contains or provides suitable wayfinding to the body of evidence used in support of the SABRE assessment and certification process.

The Registered Assessor is responsible for gathering evidence from the relevant parties, e.g., professionals, design team, contractor, facilities manager, building owner, etc. at the appropriate time. Typically, upon appointing a Registered Assessor the client will ask them to co-ordinate the gathering of evidence from the various parties.

Registered Assessors rely on information and evidence provided to them by third parties and the Assessor is responsible for maintaining the record of this information and ensuring that it is correctly interpreted against the assessment criteria. The Assessor is therefore responsible for the correctness and completeness of all information relied upon and referenced in an assessment for the purpose of demonstrating compliance.

In the absence of appropriate coordination by the Assessor and the timely provision of adequate information from the relevant parties, the assessment will likely take longer to complete. It is recommended that Assessors, their clients and the project team work closely together to ensure all evidence required is in place prior to submitting the assessment for any quality assurance audit and certification decision.

As part of the quality assurance audit, the auditor may wish to inspect the entire SABRE Manual content or evidence related to specific credits. This information should only be submitted upon receipt of a request from BRE Global.

BRE Global will not be able to make a positive certification decision where evidence is missing or lacking clarity of compliance for the credits and rating claimed. In most cases, insufficient and inaccurate referencing of evidence is the main reason for delays in certification.

3.4.4 Site Visits

In addition to formal documentation supplied by the client and other relevant parties, Assessors will need to conduct site visits (except for New Facility Design Stage assessment). Site visits provide an efficient and robust means of verifying that the security decisions and commitments made in the facility documentation have been implemented at the facility.

There is no set requirement for the minimum number of site visits. The Assessor should determine what is appropriate for the purpose of efficient and robust verification of compliance given the size and complexity of the project.

In the case of New Facility assessment, good practice suggests that between 2 and 3 site visits is appropriate as a minimum. One of these can occur near the start of works on-site to ensure all parties are aware of their responsibilities in terms of maintaining/delivering the design stage performance in the final build. Further follow-up site visits during key stages in the programme enable the assessor to witness and photograph compliance with criteria, particularly for elements which become more difficult to check as the build progresses towards completion. A final site visit at or just prior to completion and handover is normally necessary and allows the Assessor to check and verify any outstanding items prior to completing and submitting their final assessment for certification.

In the case of an In-Use facility, good practice suggests that at least 2 site visits are appropriate as a minimum. One of these can occur near the start of assessment (and may even be combined with the pre-assessment activity), followed by a final site visit just prior to completion of the assessment.

Making regular site visits not only aids compliance checking, but it also allows the Assessor to spot potential problems and advise the client accordingly (saving time and cost for both). Whilst several items can be verified in a single site visit toward the end of the project, relying on this as the sole site visit runs the risk of discovering non-compliant or unverifiable items and not being able to maintain or achieve the required rating. This in turn can potentially leave some Assessors open to the risk of pressure to confirm compliance for items they have not been able to credibly witness or verify, particularly where a rating is a condition of planning or contract.

A lack of credible or falsified evidence of compliance will result in non-conformities during the quality assurance audit, a delay in certification and potentially suspension of an Assessor's registration.

Where an Assessor uses records from their site visit(s) as evidence of compliance with the technical criteria of the scheme, they will need to record the information outlined below as a minimum in a site inspection report. Such records should be incorporated into the SABRE Manual.

- Date of visit
- Assessor name and contact details
- Project details
- Unique reference number
- Issues/criteria inspected
- Details of state of compliance (written notes and/or photographic evidence)
- Recommendations made and shared with the client / relevant parties, where appropriate.

3.4.5 Referencing assessment evidence

Recording and referencing the collated evidence within the assessment report is a critical element for the purpose of quality assurance and certification. A correct and complete record of evidence in an assessment is essential because:

- It provides protection to the Assessor in the event of an assessment outcome being challenged – allowing evidence to be quickly identified.
- It is the primary route for BRE Global to determine whether the assessment meets the requirements of the scheme.
- Without it, BRE Global has less certainty that the appropriate evidence has been examined and verified by the Assessor and, therefore, that the rating is accurate.

3.4.6 SABRE Assessment Report

The assessment report is the formal record of the SABRE assessment. It details the following key information:

- Particulars of the facility.
- SABRE assessment scope.
- Level of compliance with the applicable scheme minimum standards.
- Breakdown of the SABRE scoring, identifying which credits were and were not awarded.
- Justifications as to why credits were awarded.
- References to evidence used to satisfy each credit awarded.
- Facility SABRE Score and associated SABRE Rating.

At the discretion of the Assessor, the report may also contain recommendations relating to the improvement of the SABRE Score/Rating. Any such recommendations are not a requirement of the scheme and shall not be subject to review during the QA process.

3.4.7 SABRE Calculator

The SABRE Calculator is used to document the awarded credits, establish section scores and the overall SABRE score and rating.

3.4.8 Record Keeping

The Licensed Company is responsible for implementing and maintaining internal quality management procedures for record keeping. Licensed Companies are required to keep a copy of all assessments (including associated calculators) conducted by them until the expiry date of the SABRE certificate.

Licensed Companies should also inform their clients of the benefits of retaining assessments beyond the expiry date of the SABRE certificate.

Please note, submitting copies of evidence to BRE Global for quality assurance and certification purposes, whether hard copies or digital format, does not release Assessors from their obligation to store their own records of assessment. BRE Global will use evidence provided by the Registered Assessor for the purpose of making a certification decision and do not keep records of all assessment evidence once a certification decision has been made.

3.4.9 Submitting assessments and evidence to BRE Global

Once an assessment is completed and verified by a Registered Assessor it can be submitted to BRE Global for quality assurance audit and a certification decision. Following receipt of the assessment, BRE Global will determine the level of audit required and the extent of evidence needed to conduct the audit process.

Registered Assessors are responsible for submitting supporting evidence from the SABRE Manual following a request from BRE Global. All evidence requested by BRE Global must arrive within ten working days of a request and must be in a coherent, structured format. Failure to do so may result in a QA failure and a failed audit charge. To avoid delay, Registered Assessors may submit all supporting evidence with their assessment.

When submitting evidence to BRE Global via an online upload facility, the files and folders should be zipped to retain their structure and sorted into individual folders per category and per issue (reflecting the category and issue titles in SABRE scheme).

Assessors wishing to make use of third-party FTP (file transfer protocol) upload websites for sending assessments and supporting evidence must be aware of the following requirements:

- All submissions must be to the BRE Global QA team at BREEAM@bregroup.com, and must be downloadable by any individual in the BRE Global team, rather than 'locked' to only one person/account.
- The download email should clearly state the assessment Unique Reference Number (URN) issued by The Security Institute when registering the facility.
- Files must be submitted in PDF format, or any other format native to Microsoft Windows.
- Where possible please ensure that there is no time limit for the download. Where this is not possible, a minimum of 30 days is required, and the download email should clearly set out the time limit.
- Where a password is required, this should be sent in a separate standalone email, also clearly referencing the assessment report reference.

Registered Assessors are responsible for the security of their data and documentation, and for ensuring that all data sharing activity is in accordance with information security requirements defined by the client. This covers information that is submitted to BRE Global via third party FTP websites. BRE Global will not accept liability for any issues occurring (including lost or stolen data) because of the use of such websites.

Evidence submitted to BRE Global in support of an assessment may be redacted for privacy reasons provided that the redaction does not impede the BRE Global auditor in determining whether the evidence satisfies the requirements of the target credit(s).

3.4.10 Innovation Credit Applications

In addition to the standard categories of assessment, SABRE contains an 'Innovation' section. The innovation section aims to provide additional recognition for a procurement strategy, design feature, management process or technological development that innovates in the field of security, above and beyond the level that is currently recognised and rewarded within standard scheme criteria.

The primary way of achieving credits for innovation is via submission of an Innovation Application followed by an independent peer-review of each proposed Innovation. This review is carried out by BRE Global, on receipt of a completed Innovation Application. Applications for the approval of innovations can only be made by Registered Assessors.

3.5 Assessment Review (QA)

All Registered Assessors and the assessments they undertake are subject to Quality Assurance (QA audits) by BRE Global.

QA audits of the Assessor and their assessments serves to uphold the robustness of the process and helps ensure the validity of the outcome for the client. It also protects both the credibility of the scheme and the Registered Assessor if a certification decision is challenged.

The QA process adopted by BRE Global is a 'risk-based' approach. This means that each QA audit does not necessarily check and verify the assessment of every individual issue and criteria assessed. The purpose of the QA audit is, through a process of random checking and a minimum frequency of audit types, to provide a reasonable degree of confidence that the assessor has produced an assessment and rating in accordance with the procedures and processes defined within the SABRE scheme.

This makes it possible to deliver a given level of confidence that appropriate quality standards are being maintained in an effective way.

3.5.1 Process

The BRE Global QA process considers the key risk factors likely to affect the quality of the assessment but is predominantly informed by the level of experience and past performance of the individual Registered Assessor.

These risks are essentially tied to the behaviours of Registered Assessors and their employers and are therefore not likely to occur on a random basis (although an element of random selection does exist within the BRE Global QA audit process). We would expect a competent, diligent and honest individual to provide a standard of service that will be of an acceptable quality.

Upon application for certification of an assessment the audit level for the assessment is identified and the assessment assigned to a QA auditor. Once an assessment has passed the QA audit, the assessment can be certificated by BRE Global. Following a positive certification decision, the certificate will be issued to the Registered Assessor and listed on www.redbooklive.com.

Assessors should note, and inform their clients where relevant, that timescales for completion of a QA audit may vary according to the audit level required.

3.5.2 Audit Levels

There are three quality assurance audit levels that can be assigned to a Registered Assessor when they submit an assessment for certification:

Administrative audits

These are carried out on all assessment reports to confirm the provision of essential details required for accurate certification.

Partial audits

These are carried out on a selection of assessments determined by the audit status of the Registered Assessor submitting the assessment. This involves the QA auditor checking a number of the issues assessed (including supporting evidence) to verify that the assessment and any calculations have been completed correctly; the evidence requirements are properly understood, and credits correctly awarded.

Full audits

These are carried out on a selection of assessments determined by the audit status of the Registered Assessor submitting the assessment. This involves the QA auditor checking a significant percentage of the issues assessed (including the supporting evidence) to verify that the assessment and any calculations have been completed correctly, the evidence requirements are properly understood, and credits correctly awarded for issue checked.

When Registered Assessors submit their first assessment it will be subjected to a full audit. The second assessment they submit will go through a partial audit (unless the severity of the outcome of the first audit justifies a second full audit). Thereafter, an Assessor's audit level is determined by the frequency of, and performance during, previous audits.

Assessors must note that a full audit does not check every issue/criterion assessed and passing QA does not imply that BRE Global is verifying the accuracy or compliance of all the assessment issues within a single assessment (this is the Assessor's responsibility). The purpose of the QA audit is to check and have confidence in the assessment undertaken by the Registered Assessor, it is not to confirm or verify compliance of the facility. This point is important to appreciate not only for the assessment in question, but also for future assessments. An assumption should not be made that the assessment of a particular issue or criterion will pass a future QA audit, on the basis that it is identical or similar to the issue assessed in a previous assessment that passed the QA audit.

3.5.3 QA Timescales

If one of your assessments is selected for a partial or full audit BRE Global aims to inform you of this at the earliest opportunity following your report submission. At this point BRE Global will also indicate the estimated date by which you can expect QA feedback, including the outcome of the audit i.e., whether a resubmission is required (or not as the case may be).

It should be noted that published or confirmed timescales are for QA feedback and not certification. Certification is dependent on passing the QA audit, timescales will therefore vary depending on QA outcome and, if relevant, subsequent time taken to address any identified non-conformities and resubmit and re-audit an assessment (see following section). Furthermore, the stated feedback date is subject to change, particularly in the event of work being put on-hold, which can occur for example where an outstanding invoice reaches 90 days without payment or a company's licence has been suspended.

3.5.4 Feedback / Non-conformity / Observations

During the quality assurance audit the QA auditor will review several issues, criteria and supporting evidence to check for completeness and accuracy of assessment. Where the assessment of a particular issue is found to be lacking in this respect, a non-conformity will be identified. Depending on its severity a non-conformity will be classified as either a minor or major non-conformity.

If any non-conformities are raised during the audit, the assessment will not pass the QA audit. Where an assessment does not pass the audit, feedback will be provided to the Registered Assessor in a standard format. In this instance the assessment cannot proceed to certification until the non-conformities identified have been addressed and the assessment re-submitted for further checks.

Assessors should note that an additional, full assessment fee (current at the time) will be charged for any assessment that is re-submitted six months after the date of QA feedback from BRE Global (on

the first assessment submission). Whilst we believe six months is sufficient time to address any non-conformities identified in audited submissions for most assessments, if circumstances beyond the control of the project team prevent close-out of identified non-conformities and resubmission of the assessment within the 6 months, then please feel free to contact BRE Global to identify such projects and discuss timescales for resubmission. Please note that this does not in any way affect the validity of a facility's registration. Assessors and their clients can still submit assessments to us at any time whilst the registration remains valid under the same reference, scheme, and scheme version.

A non-conformity is typically issued where there is:

- an error/omission resulting in incorrect/invalid assessment,
- no or incorrect documentation/evidence provided,
- inappropriate/inaccurate referencing of documentation/evidence.

Essentially, where scheme credits are sought, if it is not clear that the project has been assessed in accordance with the scheme criteria, i.e., there are ambiguities in compliance or errors in assessment, then it is very likely a non-conformity will be identified and the assessment will not pass the audit without corrective action by the Assessor.

To help maximise consistency in the QA audit BRE Global maintains a list of standard examples of minor and major non-conformities. These examples are based on common errors witnessed in recent and historical QA audits. The QA auditor will use this list of examples to determine and support the status of a non-conformity.

The Security Institute can assist Assessors in interpreting the application of criteria for any given assessment scenario. Such 'technical' support is provided by The Security Institute and not the QA auditor. It is important to stress that throughout an assessment and during the quality assurance and certification process, BRE Global staff are not able to offer advice on how to comply with scheme criteria. Similarly, they cannot address any non-conformities identified during the QA audit. To do so would affect impartiality and undermine their independence as third-party certifier.

BRE Global is also not able to identify in the QA audit feedback assessment issues that have been audited unless a non-conformity exists (or an observation is made – see below). As outlined above, for this reason Assessors should not interpret the absence of a non-conformity as confirmation that an assessment issue has passed the QA audit, as not all assessment issues are audited. BRE Global do endeavour to provide the Assessor with feedback on the general quality of their assessment through the feedback form, any observations made against assessment issues should be noted for future assessments.

In addition to non-conformities QA auditors may issue observations. Observations differ from a non-conformity in that the Assessor is required to take corrective action to address a non-conformity to pass the QA audit, but they do not need to act within that same assessment to address observations. Observations are made to assist and guide the Assessor in future assessments and minimise the risk of future non-conformities occurring.

3.5.5 Failure

In certain circumstances BRE Global will charge a fee for assessment failure. This is to encourage the submission of assessments to the required quality, avoid misuse of the QA process and ensure efficient use of QA auditors' time (and therefore avoid delays in auditing other Registered Assessors' assessments).

The assessment failure charge applies to the following circumstances:

- Where a significant number of non-conformities are identified.
- The non-conformities indicate a fundamental misunderstanding by the Assessor of how to apply to and comply with the scheme - we reserve the right to conduct an audit of additional parts of the assessment where non-conformities are indicative of systematic misinterpretation of the scheme by the Assessor.

- The Assessor submits supporting evidence beyond the ten working day deadline.

Where an assessment failure has been identified, a report is issued to the Assessor identifying the relevant corrective actions he/she needs to take before re-submitting the assessment. The assessment failure fee will be charged to the Licensed Company by BRE Global.

3.6 Certification of Assessments

Once an assessment has passed the appropriate level of Quality Assurance it can be certified. The mechanics of certification involve a review of the QA auditor's evaluation and following this review, a certification decision. Once a positive certification decision has been made BRE Global releases the certificate(s) to the Registered Assessor as an electronic secured file (.pdf). The Assessor is responsible for sending the certificate(s) to their client.

BRE Global will only produce the certificate(s) once, however at the Registered Assessor's request certificates can be amended and re-issued after their initial issue.

The following information is included on the certificate:

- Facility Name
- Facility Address
- The SABRE Score achieved (%)
- The SABRE Rating achieved
- A breakdown of the section scores
- The stage of assessment (if applicable)
- The scheme and version number
- The name of the Registered Assessor and associated Licensed Company that has undertaken the assessment
- The names of owner and occupier (if known)
- Scheme logo, certification mark and signature on behalf of BRE Global
- Date the certificate was issued
- Certificate reference and issue number
- Valid from and Valid until information

At the request of the Assessor, the SABRE Score and Rating, along with the breakdown of the section scores may be withheld from a certificate for confidentiality purposes. However, in these cases the Assessor and client may only claim to have achieved SABRE certification and cannot claim to have achieved a specific SABRE Rating unless those details are contained on the certificate.

Please note that if a SABRE Score of less than 40% is achieved, and/or the minimum standards within the SABRE scheme are not met, the project will be 'unclassified' and a certificate will not be issued. In such instances a statement from BRE Global may be issued in-lieu of the certificate to confirm that an assessment has taken place and undergone the quality assurance process. The statement will also provide the reason for absence of formal certification, e.g., the assessment has not met the minimum standards for an 'Acceptable' SABRE Rating or it was assessed using an 'expired' scheme.

4 Certificates

4.1 Validity

A valid SABRE certificate displays the LPCB logo, the BRE company logo and the LPCB certification mark along with a unique reference number.

Following certification, the assessed facility is listed on www.redbooklive.com. Anyone can use the Red Book Live website to verify the certified status of a facility.

Certificate validity periods are detailed in the SABRE scheme documentation.

4.2 Renewal

SABRE In-Use certificates have an expiry date and need to be renewed and re-certified on a regular basis to remain valid. The frequency of renewals is detailed in the SABRE scheme documentation.

Certificate renewal needs to be facilitated by a Registered Assessor through re-assessment of the facility and the associated SABRE Manual, and submission of an assessment report to BRE Global including the updated SABRE Score and Rating. BRE Global will apply the normal QA process to such assessments.

If a 'project' as defined in the SABRE scheme document has occurred at facility since the previous certification, the Registered Assessor will need to assess compliance against the relevant sections of the SABRE scheme.

Reminders will not normally be sent to the Registered Assessor who conducted the previous assessment on the facility before the certificate expiry date. Therefore, it is recommended that Assessors and/or certificate holders maintain an awareness of the expiry dates of certificates relating to their facilities and begin the re-assessment process in good time.

Once the client has indicated that certificate renewal is being sought, it is their responsibility to notify the Registered Assessor of any significant changes to their asset or management practices that may affect their certification.

4.3 Publicising the certified status of a building, asset, or development

It is in everyone's interest that the integrity and value of the assessment and certification process is maintained, and that precise wording is used when claims are made about a facility's status in this respect.

It is acceptable to publicise a rating only after the certificate has been issued by BRE Global - never before – and only if the client opts to publish the rating on their certificate. We require that any publicity associated with the rating clearly indicates whether the rating is for an In-Use Facility or New Facility, and for the latter whether the rating is for the design stage, shell & core or full.

We do check and enforce these requirements and will take necessary action where misuse of its trademarks and certification marks occurs. The Registered Assessor is responsible for informing the client of these requirements.

4.4 Use of logos, certification marks and badges of recognition

All SABRE logos and badges of recognition must be used in line with the SABRE Imagery Guidance and Rules (SYI-1102-002P). All LPCB marks must be used in line with the guidance and rules for use, which are issued by BRE Global.

4.5 Amendments

At the Registered Assessor's request, certificates can be amended and re-issued after their initial issue. For example, where changes to the certificate content are required such as names or titles. There is an additional fee charged for amendments and certificate re-issue (refer to BRE Global).

4.6 Suspension/Withdrawal

There may be instances after certification is issued to a client that could lead to certification being updated or invalidated leading to suspension or withdrawal of certification.

Typically, BRE Global will suspend certification when there is evidence that there is nonconformity with the certification requirements, the organisation that is the 'holder' of certification enters insolvency, there is a breach of contract or there are overriding matters of public interest.

There are several potential causes of a certification withdrawal, including but not limited to those mentioned above and a failure to take sufficient corrective actions in a timely manner following certification suspension. Certification can also be withdrawn where the certification expiry date is reached, the client no longer wishes to maintain certification status (voluntary withdrawal) or the scope of certification changes – this is particularly the case for the SABRE In-Use scheme.

Once a certification suspension has been authorised by BRE Global, a notification letter is issued to the client informing them of this action. The letter also includes any corrective actions they can take for the suspension to be lifted, along with any other requirements relating to certification status, e.g., ceasing any certification claims and use of certification marks. Notification of a suspension is posted under the relevant listing on the Red Book Live website and other stakeholders will also be notified where appropriate, e.g., the Registered Assessor. If corrective actions satisfactorily resolve the nonconformities within the required timescales the suspension is lifted.

The process for certification withdrawals and notification is like that described above for certification suspensions. In addition, any certification documents requested must be returned to BRE Global, e.g., certificates. Clients have the right to appeal certification suspensions and withdrawals, in accordance with the BRE Global appeals procedure (refer to BRE Global).