

PROGRAM POLICIES



OVERVIEW

The following document outlines the 3RCertified program policies. As the program grows and modules added, additional policies and/or content will be incorporated into this document. 3RCertified is developed, managed and delivered by Recycling Council of Ontario (RCO). RCO may amend this Program Policies document from time to time without prior notice. However, an updated version of this Program Policies document will be posted on the Program's website – 3RCertified.ca – for reference.

For more information, please contact program staff at: 3RCertified@RCO.on.ca or by phone: 416.657.2797 ext. 8 / 1.888.501.9637 ext. 8.

TERMS

Recycling Council of Ontario hereby referred to as "RCO".

3RCertified program hereby referred to as "the Program".

Certification: means the 3RCertified status has been granted at one of four levels of achievement, upon successful completion of online surveys and onsite evaluation, and subject to program policies and procedures outlined in this document and on program website – 3RCertified.ca.

Annual Assessment Period: means the period that begins at 12 and 24 months from certification date, which requires program users to successfully complete online surveys and onsite evaluation, in order to maintain their 3RCertified status within the certification period.

Program user: refers to all 3RCertified program participants whether at the application stage, or as having one or more sites with an active 3RCertified status.

Applicant: means a 3RCertified program user at the application stage, prior to a site being awarded 3RCertified status.

Certified property: means a site that has been awarded with a 3RCertified status in accordance with program policies and procedures outlined in this document and on program website – 3RCertified.ca.

3RCERTIFIED PROGRAM POLICIES

1. CERTIFICATION PERIOD

Certification is valid for three (3) years from date awarded (indicated on certificate) and subject to meeting the requirements outlined in policy 6.

2. APPLICATION PROCESS

- i) Applicants have up to six (6) months to fill out the online surveys during the initial certification and re-certification phase.
- ii) Applicants have up to three (3) months to fill out the online surveys during the Annual Assessment Period.

3. APPLICATION FEES

3.1 Application fees are provided on the Program's website: 3RCertified.ca and Program Guide. Application Fee Schedule is as follows:

Office Buildings	RCO Member	Non Member
Single Building	\$1,820.00	\$1,950.00
Complex: 2 Buildings	\$2,548.00	\$2,730.00
Complex: 3 Buildings	\$3,822.00	\$4,095.00
Complex: 4 Buildings	\$5,096.00	\$5,460.00
Retail Establishment	\$1,850.00	\$1,980.00
Retail Complex	\$2,000.00	\$2,200.00

Applicants with office park/complex of five or more buildings - please contact program staff.

3.3 Exclusions to paragraph 3.2 apply as follows:

- 3.3A** Access to 3RCertified on Re-TRAC Connect may be revoked at any time in cases where the program user **fails** to:
- i) Earn a 3RCertified status and declines a re-application fee and process; and
 - ii) Maintain certification through the Annual Assessment Period at 12 and 24 months from certification date.
 - a. For clarity, failing to maintain certification as part of the Program's Annual Assessment Period is determined when:
 - i. The user failed to complete all online surveys six months from the date determined as the site's Annual Assessment Period.
- 3.3B** Additional costs associated with 3RCertified evaluator travel may be incurred for site locations outside major urban centres. Travel expenses will be invoiced separately and agreed upon by all relevant parties prior to scheduling an onsite evaluation. Consult RCO directly to check if additional travel costs apply.
- 3.3C** Repeat onsite evaluation is not included in application fees. Specifically, repeated onsite evaluations as part of initial certification application, and/or the Annual Assessment Period. The exclusions apply (but are not limited) to the following circumstances:
- i) Applicant unable to produce access to onsite facilities requiring a second onsite evaluation.
 - ii) Applicant cancels onsite evaluation, providing less than a 24 hour notice.
 - iii) Other reason that necessitates a repeat visit due to the actions of the applicant.
- 3.3D** Application fees charged prior to 2013 do not include onsite evaluation and surveys for the Annual Assessment Period. See policy 11 for reference.

4. RE-APPLICATION AND RE-CERTIFICATION PROCESS AND FEES

4.1 Re-Application Process and fees (final score of 0 to 59.9%)

- i) Unsuccessful applicants may re-apply for 3RCertified at any time after receiving notification of final score; and
- ii) Applicants will be subject to a new application fee as per paragraph 3.1 of this document.

4.2 Re-Certification Process

- i) Program users wishing to re-certify may do so by notifying RCO at any time during final year of certification or once certification has expired. Notification will ensure access to 3RCertified on Re-TRAC Connect is maintained and access to a new set of surveys is provided; and
- ii) Re-certification applicants will be subject to a new application fee as per paragraph 3.1 of this document.

5. APPLICATION FEE REFUND

- 5.1** No refund will be issued for applicants that are unable to achieve certification and/or are unable to maintain certification during the Annual Assessment Period.
- 5.2** Full refund may be provided for errors made in good faith. Some administration fee may apply depending on the method of payment.

6. OBTAINING CERTIFICATION; MAINTAINING CERTIFICATION; "LOSING" CERTIFICATION

6.1 Certification is granted subject to the following:

- i) Applicant has submitted an application using the appropriate module (e.g. Office, Retail Complex, Hotel);
 - a. Asset types are defined in policy 12 of this document.
- ii) All mandatory criteria have been met;
- iii) Onsite evaluation has been successfully conducted, including back-up/evidence provided as required;
- iv) Applicant has earned a minimum final score of 60%; and
- v) There are no arrears associated with the applicant's site-specific account.

- 6.2** Certification must be maintained and is subject to the following:
- i) Annual Assessment Period requirements are met at approximately 12 and 24 months from certification date; and
 - ii) Annual Assessment Period requirements are as follows:
 - a. Complete a new Site Profile;
 - b. Complete an Annual Assessment Survey;
 - c. Complete new Waste Stream Profiles;
 - d. Onsite evaluation is conducted within three (3) months of the site's Annual Assessment Period.

- 6.3** Certification may be revoked when:
- i) The program user has failed to meet one or more of the Annual Assessment Period requirements as outlined in paragraph 6.2;
 - ii) The program user has failed to submit payment for additional onsite evaluations, if required, as outlined in paragraph 3.3C; and
 - iii) The program user has failed to submit payment for Annual Assessment Period as applicable to all pre-2013 applications, and as outlined in policy 11; and
 - iv) Any false claims made in bad faith may result in the review and revocation of the certification.

7. ONSITE EVALUATION

All applications are subject to onsite evaluations during initial certification phase and during the Annual Assessment Period. Onsite evaluations are conducted by 3RCertified evaluators which are third-party representatives of RCO.

7.1 Missing documents/evidence

If the evaluator deems there are one or more missing documents and/or other information as part of the evidence collecting process, the program user shall have no more than thirty (30) calendar days to provide the required information.

7.2 Repeated onsite evaluation

In cases where a second onsite evaluation is required during the initial phase of certification or the Annual Assessment Period, a written notice will be sent to the program user. A second onsite evaluation must then be scheduled and executed at the program user's expense. See paragraph 3.3C for more information.

8. CERTIFICATION SCORE AND SCORE UPGRADE

8.1 Final Certification Score

- i) Certification score and level of achievement is maintained throughout the three-year certification cycle, including the Annual Assessment Period.
- ii) Official certification score is not subject to change solely based on variation in performance during the Annual Assessment Period.

8.2 To upgrade a certification level the program user must:

- i) Submit the request in writing to 3RCertified@rco.on.ca;
- ii) Submit payment for one of the following options:
 - a. Partial payment (50% of original fee); original certification date and period remain in effect.
 - b. Submit full payment and submit a full application; new certification date is granted and is effective for three-years from the new certification date, when granted.
- iii) The final score obtained during the upgrade process shall be the final certification score and associated level of achievement.

9. CHANGE IN OWNERSHIP/PROPERTY MANAGEMENT

Certification is awarded per site (e.g. building, facility). Upon changes in ownership and/or property management team, the program user must notify RCO in writing.

Certification will remain in place; however, it is the responsibility of the new owner and/or property manager to ensure all requirements for maintaining certification as outlined in paragraph 6.2 are implemented.

10. GRIEVANCE MECHANISM

If a matter should arise that a program user is not satisfied with an evaluator's score and/or related decision that affects the site's final score and/or maintenance of 3RCertified status; then the program user may submit a request for review. The submission must be written and addressed to RCO no later than thirty (30) calendar days after a decision is issued.

RCO will exercise its best judgement along with counsel of a program committee to determine how the grievance shall be addressed and resolved.

RCO cannot guarantee that the grievance(s) will be addressed to the satisfaction of the program user.

11. PRE-2013 PARTICIPANTS

Program participants registered prior to the 2013 launch of the revised version of 3RCertified are under the old fee structure. As such, program participants are required to pay a fee for onsite evaluation associated with the Annual Assessment Period. For more information, contact 3RCertified program management.

12. CONFIDENTIALITY AND PRIVACY

12.1 Information obtained via a 3RCertified submission is confidential. Any program reports that include data from 3RCertified submissions will be combined with data from other survey participants and will not be traceable to any individual participating buildings/organizations. All data will be reported in an aggregated format.

12.2 RCO is committed to the protection of personal and corporate information that is acquired through its 3RCertified program. Information submitted to RCO as part of this program is available only to the project team managing this information for the purpose of assessing an application as part of achieving a 3RCertified status, and to inform sector performance benchmarks, where possible. RCO uses appropriate security measures to protect against the loss, misuse, or alteration of data used by its system(s).

13. ASSET TYPE DEFINITIONS

13.1 Office Building

A property providing environments conducive to the performance of management and administrative activities, accounting, marketing, information processing, consulting, human resources management, financial and insurance services, educational and medical services and other professional services.³ At least 75% of the interior space is designed and finished to accommodate office usage but the space may include other usage.

- Source: *NAIOP Terms and Definitions: North American Office and Industrial Market*, NAIOP Research Foundation, 2012. http://www.naiop.org/~media/Research/Terms%20and%20Definitions/Terms%20and%20Definitions_080612.ashx

13.2 Office Complex (also referred to as Office Park/Campus)

- i) A group of two or more properties that are contiguous.*
- ii) The buildings must share common management staff and procedures.

Important: The number of applications is determined by the number of waste audits completed per single or group of building(s).

- **Example 1:** three tower complex with two waste rooms and two waste audits conducted. The applicant needs to register for Complex 2 buildings.

Example 2: Two-tower complex that conducts one waste audit and has one waste room, should register for single Office Building category.

* Source: *NAIOP Terms and Definitions: North American Office and Industrial Market*, NAIOP Research Foundation, 2012.

13.3 Retail Establishment

Retail Establishment refers to individual stores used to conduct the retail sale of food and/or non-food consumer goods such as clothing, books, toys, sporting goods, office supplies, hardware, and electronics. Buildings containing multiple stores should be classified as enclosed mall, lifestyle center, or strip mall.*

* Adapted from: *ENERGY STAR Portfolio Manager® Glossary*. <https://portfoliomanager.energystar.gov/pm/glossary#RetailStore>

See additional clarification under “II. Freestanding Stores” in *Canadian Retail Real Estate Standard*, Global Research Network, International Council of Shopping Centres, 2010. <http://c.yimcdn.com/sites/www.realpac.ca/resource/resmgr/research/icsc-canadianshopping-centre.pdf>

Single use sporting and entertainment venues may qualify under the Retail Establishment category. Refer to program staff for more information.

13.4 Retail Complex

A retail property that is planned, built, owned and managed as a single entity, comprising commercial rental units (CRU) and common areas, and a minimum of three CRUs. Onsite parking is also generally provided.*

For the purposes of 3RCertified categorization, Retail Complex includes all properties that are defined under the Traditional and Speciality Shopping Centres categories in *Canadian Retail Real Estate Standard*, Global Research Network, International Council of Shopping Centres, 2010.**

* Adapted from: *Canadian Retail Real Estate Standard*, Global Research Network, International Council of Shopping Centres, 2010.
<http://c.ymcdn.com/sites/www.realpac.ca/resource/resmgr/research/icsc-canadianshopping-centre.pdf>

** Ibid.

Properties that host multiple uses that include entertainment, sports and retail, sharing common areas and is managed by a single entity may also be categorized under Retail Complex.
