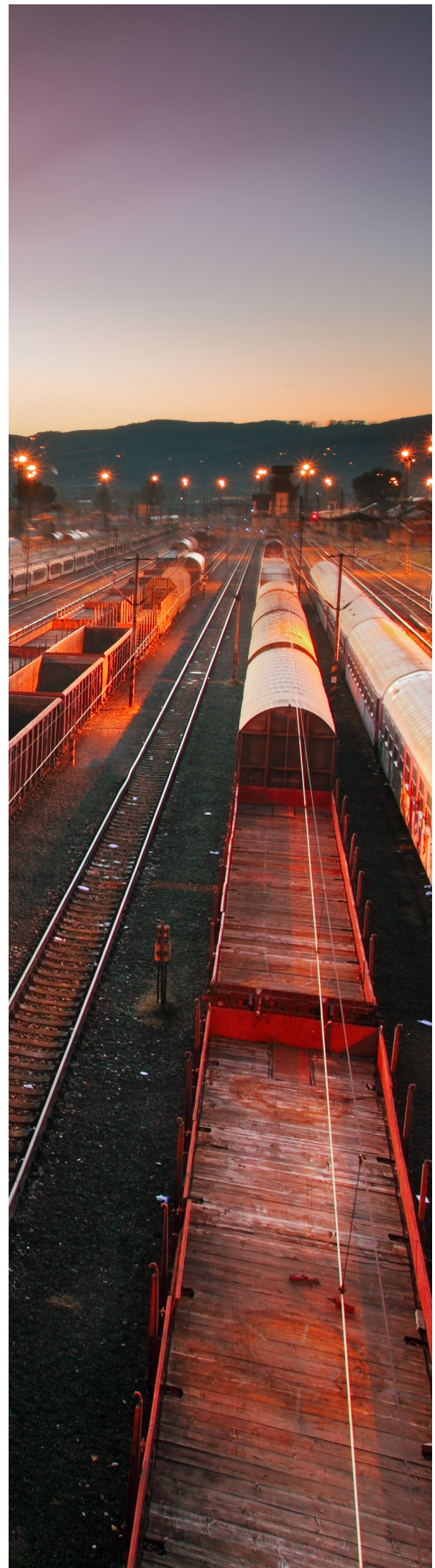




SuRe®
The Standard for Sustainable
and Resilient Infrastructure
v 0.3

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1 Introduction to this document

This document provides an overview of the requirements covered by SuRe® - the Standard for Sustainable and Resilient Infrastructure (hereinafter “SuRe®”). After the present introduction, Chapter 2 provides a brief overview of SuRe®; Chapter 3 describes the requirements covered by the Standard, and Chapter 4 contains relevant appendices and references.

This document has been created for the intended users of the SuRe® – project developers, financiers and public sector institutions – as well as a general audience. More background information regarding SuRe® is available in the *Guide to SuRe®* (December 2015).

Figure 1 below provides an overview of the versions to date of SuRe®, while Figure 2 lists the relevant documents that accompany SuRe®.

Figure 1 - Changes made to this document so far

Version no	Date	Description of Amendment
0.1 (Consultation draft)	5 September 2015	Chapter 5 of the SuRe® Handbook was added.
0.2	9 December 2015	SuRe® requirements were restructured and provided in one separate document based on Chapter 5 of the SuRe® Handbook and following the first public consultation.
0.3	27 July 2016	SuRe® requirements have been refined based on the outcomes of a consultation with the Standard Committee. Two overarching requirements have been introduced.

Figure 2 - Related SuRe® documents

Name	Code	Version number	Publication date	Effective date
Guide to SuRe®	GD1	1.0	9 December 2015	9 December 2016
SuRe® Standard-Setting Procedures	SS1	1.0	16 April 2015	16 April 2015
SuRe® Governance Bodies	GO1	1.0	16 April 2015	16 April 2015

2 About SuRe®

SuRe® is a global voluntary standard which integrates sustainability and resilience aspects into infrastructure development and upgrade. SuRe® consists of **63 criteria** divided into 14 themes spanning environmental, social and governance (ESG) aspects plus two general requirements which apply across the board. SuRe® relies on independent verification and certification of infrastructure projects throughout their life cycles.

Figure 3 - Overview of SuRe® dimensions and themes

3 Dimensions	14 Themes	63 criteria	+ 2	
ENVIRONMENT	Climate	19	Materiality Assessment	Reporting
	Biodiversity and Ecosystems			
	Environmental Protection			
	Natural Resources			
	Land Use and Landscape			
SOCIETY	Human Rights	25		
	Labour Rights and Working Conditions			
	Customer Focus and Inclusiveness			
	Community Impacts			
	Socioeconomic Development			
GOVERNANCE	Management and Oversight	19		
	Sustainability and Resilience Management			
	Stakeholder Engagement			
	Transparency and Accountability			

2.1 Objectives & Scope

SuRe® aims to drive the integration of sustainability and resilience aspects into infrastructure development and upgrade by:

- establishing a common language and understanding of sustainable and resilient infrastructure projects between project developers, financiers, local authorities and end-users;
- providing guidance on how to manage sustainability and resilience aspects of an infrastructure project, both from a risk management and a benefit creation perspective, and starting from as early as possible in the project’s lifecycle.

SuRe® combines sustainability and resilience by recognising the mutually beneficial relationships between these issues and the need to take a long-term view to infrastructure development in order to meet both the present and future generations’ needs.

SuRe® seeks to support transformative actions towards the rollout of more sustainable and resilient infrastructure globally, including in developing and emerging economies where significant infrastructure development is anticipated over the next decades. As such, SuRe® can be used to leverage both public and private investments in infrastructure in a way that ensures cost-effective access to critical services while strengthening resilience, maximising environmental or social benefits and limiting both the social and environmental footprints.

SuRe® is based on GIB’s Grading for Sustainable Infrastructure, which has been used since 2012 as a self-assessment tool for over 150 infrastructure projects.

SuRe® is applicable to infrastructure projects, including assets and services, with a focus on infrastructure that meets public needs (i.e. beyond the needs of a corporation, individual or exclusive private group).

The scope of SuRe® is not limited to new infrastructure development (commonly described as 'greenfield' projects). While project developers are encouraged to apply SuRe® as early as possible in the life cycle of an infrastructure project, the standard can also be applied during the refurbishment and upgrading of existing infrastructure (i.e. 'brownfield' projects).

SuRe® can be applied globally. In developing and emerging countries SuRe® could accelerate the transition towards sustainable and resilient infrastructure by referring to international standards of sustainability and resilience as well as recognised best practices. Moreover, there is a clear opportunity in these regions to leapfrog old technologies in favour of more efficient, contextually appropriate and integrated infrastructure development options (including also green infrastructure), which is particularly attractive in the face of rising infrastructure needs. In developed countries SuRe® is particularly relevant for Infrastructure refurbishment and modernisation upgrades as well as new infrastructure development.

2.2 Intended Audience

SuRe® provides general benefits in terms of advancing sustainability and resilience best practices in infrastructure. It is meant to be user-friendly and to facilitate the clear communication of a project's benefits while enabling project comparability. SuRe® also provides a tool that is compatible with international guidelines and safeguards used by international financial institutions (including Multilateral Development Banks (MDBs)).

SuRe® is intended to be primarily relevant to three target groups:

- **Project developers** - this group refers to all participants in the infrastructure project throughout its life cycle and may include infrastructure project owners or companies, constructors, engineers working on the project, other contractors and subcontractors, operations and maintenance (O&M) agents depending on the nature and stage of development of the infrastructure project.
- **Infrastructure financiers** - this group refers to both public and private financiers, including financial services (e.g. banks, funds, private equity funds, investment analysts, asset managers etc.), public and development finance institutions, institutional investors, private companies and communities depending on the financing approach of the project and associated sources of finance.
- **Public sector institutions** – this group refers to all public sector departments and institutions that have authority to procure, select, authorise and/or finance infrastructure projects at local, regional, national and international levels depending on the location and scale of the infrastructure project.

2.3 Key Concept Definitions

The term *infrastructure* refers to the physical components of interrelated systems that provide services essential to enable, sustain, or enhance societal living conditions.

SuRe® is relevant to all types of infrastructure. It is applicable to different types of infrastructure services including, but not limited to, the following services:

- **water** (including harvesting, storage, management, distribution, treatment and recycling)
- **energy** (including generation, storage and distribution)
- **solid waste** (including collection, distribution, processing, recycling and storage)
- **transport networks, nodes and fleet** (including pedestrian, bicycle, vehicular, rail, water-borne and air transportation)¹
- **communication networks** (including telephone, cellular and data)
- **social infrastructure** (including education, healthcare, sports and recreation, law enforcement, fire and emergency services)
- **food systems** (including production, storage, processing and distribution)
- **mining and extractive sites**

The *sustainability* of an infrastructure system refers to its ability to meet service needs in a manner that does not make wasteful use of resources, minimises or reverses environmental damage and improves social equality. Sustainable infrastructure systems are those that²:

- preserve natural capital, including diversity;
- reduce environmental impact(s);
- increase service value;
- advance social inclusiveness and equality;
- promote transparency and accountability; and
- strengthen human and labour rights and improve working conditions.

The *resilience* of an infrastructure system refers to its ability to maintain and recover functionality in the face of stresses and shocks, whether these can be anticipated or not. For an infrastructure system to be resilient, it shall³:

- be cognizant of change and uncertainty;
- be robust and designed to anticipate potential failures;
- be flexible and adaptable to changing circumstances;
- be resourceful in order to maintain or restore functionality when facing shock or stress;
- include redundancy i.e. building spare capacity to support continuity and accommodate pressures and changes in demand;
- be inclusive and broad in scope to favour social acceptance;
- be integrated with other societal systems to support the achievement of common outcomes.

More information about the above definitions is included in the Guide to SuRe® v 1.0 (December 2015) as well as in the Definitions appendix in section 4.1 of the present document.

¹ Note: This does not include exclusive-use vehicles such as private automobiles, boats or planes.

² UN-Habitat. 2012. *Urban patterns for a green economy: Optimising Infrastructure*. Nairobi: UNON. Pages 11-15.

³ ARUP. 2014. *City Resilience Index: City Resilience Framework*. London: Ove Arup and Partners Limited. Pages 3-5.

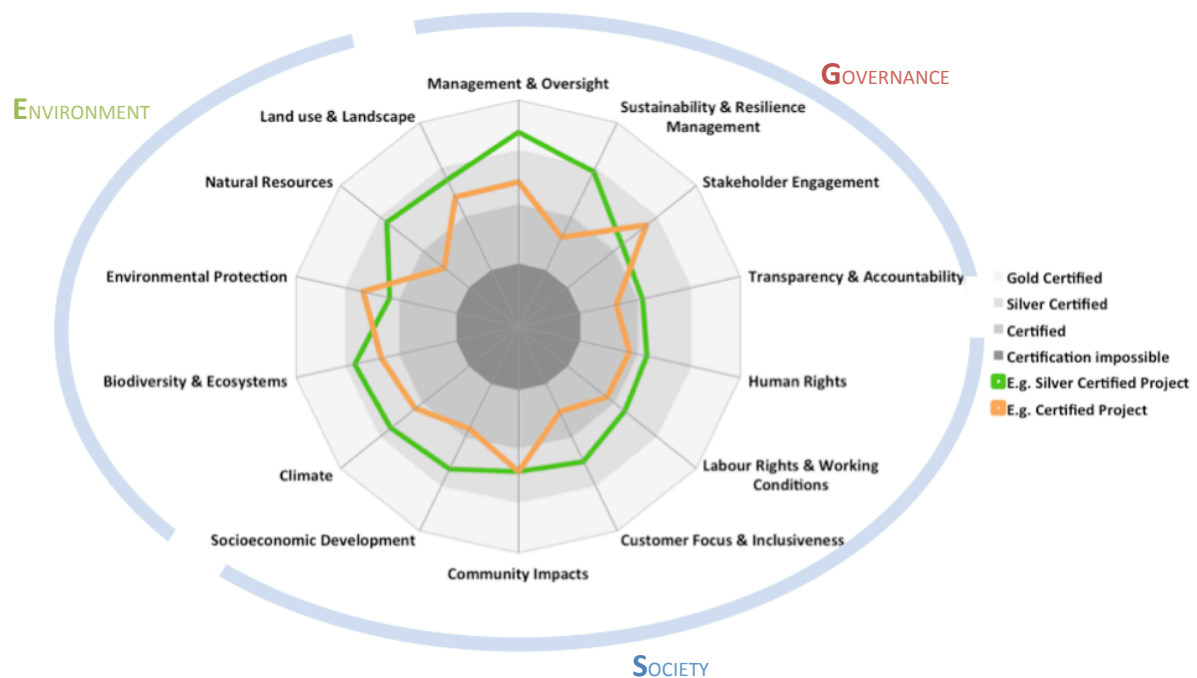
2.4 Assessment & Certification Overview

Certification is possible for infrastructure projects throughout the world and across the different types of infrastructure described in section 2.3, including both greenfield and brownfield projects. Projects shall have a CAPEX amounting to a minimum of USD 10 million⁴ in order to be eligible.

Compliance with SuRe[®] is assessed on the basis of minimum compliance thresholds, supporting evidence and reports that monitor progress on compliance. SuRe[®] comprises performance-oriented criteria (PC) and management-oriented criteria (MC). While PC are outcome/results oriented, MC are commitment/process oriented. For PC (about one third of all criteria), performance is assessed on the basis of up to three performance levels, differentiating between minimum compliance (PL 1) and superior performance leading to additional positive impacts (PL 3). MC (about two thirds of all criteria) have one performance level only, which is the minimum compliance threshold.

A number of SuRe[®] criteria - currently 21 - are mandatory requirements, meaning that compliance with these criteria is required in order to achieve certification. Opting out from certain requirements is not allowed, except in special cases where the non-applicability of a specific criterion/criteria is supported by evidence which has been reviewed and approved by the auditor.

Figure 4 - Overview of the SuRe[®] certification approach



SuRe[®] certification is based upon independent audits and verification carried out by accredited third parties.⁵ The SuRe[®] Standard aims to formulate certification requirements such that contract performance can provide evidence of compliance wherever this is appropriate. For a project, this means that contract performance can provide evidence of compliance if this requirement has adequately been integrated in the relevant contractual clauses.

⁴ Certification for projects with a CAPEX below USD 10 million will be considered on a case by case basis provided that the relevant documentation to demonstrate compliance with the SuRe[®] Standard is readily available.

⁵ These will be published online once accredited; more information on the accreditation process will follow in due course.

Different levels of certification (SuRe[®], SuRe[®] Silver, SuRe[®] Gold certifications) are awarded depending on project scores, as highlighted in Figure 4. The final rating system, which will also take into account aspects such as *innovation*, *outstanding achievement*, *superior performance* and *transformative potential* of projects, is currently under development.

While certification is available at different stages in the development of an infrastructure project, SuRe[®] encourages project developers to implement SuRe[®] as early as possible during the design and planning phase, when life cycle thinking can help to optimise sustainability and resilience benefits.

SuRe[®] aims to engage projects beyond certification particularly in sectors or regions where barriers to entry for certification may be too high. With this in mind, GIB developed a self-assessment tool based on the themes of SuRe[®] but without any certification being awarded. This tool is designed to be completed by project developers themselves as a way of identifying sustainability and resilience risks based on SuRe[®] and also to assess the extent to which the project manages these risks.

3 SuRe® - the Standard for Sustainable and Resilient Infrastructure

This chapter provides a description of the criteria covered by SuRe®. As outlined in Figure 3 in Chapter 2, SuRe® consists of 63 criteria divided into 14 themes covering ESG aspects, plus two general requirements which apply across all other criteria. Criteria highlighted in red are mandatory requirements. Failure to comply with any of these prevents certification under SuRe® regardless of the project's performance against other criteria (see Guide to SuRe® - section 4.2 for more information). Please note that further information on criteria interpretation and performance assessment will be provided in an Auditors' Handbook to be developed for use during the pilot phase and released publicly after completion of the pilot phase and the final SuRe® v 1.0.

General Requirements

A. Materiality Assessment

The infrastructure project shall carry out a materiality assessment against all relevant sustainability and resilience issues, including (but not limited to) SuRe® criteria, taking into account the project type, size, location, sector and country. Such assessment should be based on reputable guidance and methodologies such as (but not limited to) GEMI's Quick Guide on Materiality or SASB's Guidance on Materiality Assessment. The resulting assessment shall be regularly updated throughout the life cycle of the infrastructure. The outcomes of the materiality assessment shall be made readily available to authorised auditors as part of the SuRe® certification process. While these outcomes may affect the *rating* of the project, they do not influence the *applicability* of the SuRe® criteria including those that have not been identified as material.

B. Reporting

Impacts and progress made across all applicable SuRe® criteria should be monitored and reported upon on a regular basis (at least annually). The resulting report(s) could be based on reputable guidance such as, for example, the Global Reporting Initiative's (GRI) Sustainability Reporting Standards and should be made available to authorised auditors as part of the SuRe® certification process.

Specific Requirements

1. Governance

1.1. Management and Oversight

Infrastructure development and/or operations shall be carried out according to best management practices and contract terms that ensure applicable law is applied in accordance with international norms.

1.1.1. Organisational Structure and Management (MC)

A sound and efficient organisational structure shall be established.

Such a structure shall include:

- (a) A clear separation of roles (e.g. separation of board and management, oversight, arbitration, etc.);
- (b) An unambiguous allocation of responsibilities and duties;
- (c) Appropriate checks and balances (including in terms of accountability);
- (d) Monitoring and evaluation processes so that any issues are promptly identified and reported to management.

Interactions between actors shall be clearly defined and function effectively. At least one member of the project senior management team will be responsible for managing sustainability and resilience.

1.1.2. Team Qualifications, Know-how and Capacity Building (MC)

Project teams shall consist of skilled and experienced professionals, qualified to fulfil their tasks and responsibilities and appointed based on merit via a transparent recruitment process. Where relevant, the project owner shall provide training to staff and contractors, including training on sustainability and resilience.

1.1.3. Legal Compliance and Oversight (MC)

The project, including any related public and documented commitments, shall comply with all applicable laws throughout the life cycle of the project. Applicable law shall include local (municipal and regional), national legal, regulatory and administrative requirements as well as applicable international law.

1.1.4. Results Orientation (MC)

The project shall define goals and objectives (including any positive externalities attributable to the project) based on a materiality assessment. Key Performance Indicators (KPIs) shall be defined. Performance against set objectives shall be monitored and reported upon based on defined KPIs. The consequences of not meeting these shall be clearly specified.

1.1.5. Risk Management (MC)

There shall be regular and comprehensive assessment of environmental, social and economic risks. Such assessment shall be informed by a materiality assessment covering the project boundaries and its direct spillovers. Infrastructure asset protection over time, social and environmental externalities as well as technologies and approaches that could increase the risk of lock-in on an unsustainable development path should be carefully considered in this assessment.

1.1.6. Infrastructure Interconnectivity and Integration (MC)

The project shall be considered in its entirety, including in terms of interdependencies with wider infrastructure systems. In particular, the project shall explore opportunities for:

- (a) Project design and outcome optimisation in relation to wider city and/or regional master plans where appropriate and cost-effective;
- (b) Integration and greater coordination between infrastructure systems. Infrastructure integration should be encouraged both within types of infrastructure (e.g. integrated waste management systems, integrated transport infrastructure) but also within areas (e.g. infrastructure located underground such as transport, district heating, telecommunications, water and sewage pipes) in order to improve project and wider infrastructure performance and support cost savings where synergies exist.

1.1.7. Public Disclosure (MC)

Transparency in relation to SuRe[®] criteria is strongly encouraged throughout the project life cycle. Public disclosure of project performance shall at least comply with applicable laws and follow internationally recognised good practice such as the Construction Sector Transparency Initiative's Infrastructure Data Standard.

Public disclosure is specifically required for the following aspects:

- (a) Project summary (to be updated annually) including: project name and location; purpose, description and scope; sector and subsector; budget, funding sources; timeline; status of development; (anticipated) completion date; completion cost; reasons for project changes (whether related to cost, scope, contract and design).
- (b) Ownership information including the project owner, legal structure, shareholders and ultimate ownership beneficiaries.

(c) Any relationship with applicable local authorities, associated departments and entities, including any conflict of interest.

Publicly disclosed information shall be periodically updated at least on an annual basis. Public disclosure shall be made in online format, complemented by disclosure in other formats and language/s if appropriate.

1.1.8. Financial Sustainability (MC)

The project shall be financially sound and fully fundable as evidenced by relevant documentation made available to authorised auditors. The project shall embed mechanisms for cost recovery and/or revenue generation. The cost structure shall consider costs across the whole life cycle of the project including operational costs, cost of capital, asset value and depreciation. In addition, the project shall provide reasonable evidence that financial arrangements have been made and are being maintained.

Relevant documentation shall include those aspects of a Project Appraisal Document (PAD) or equivalent that cover financial aspects, as per the World Bank's Guidelines for a PAD, namely:

- (a) An economic analysis confirming the economic soundness of the project
- (b) A financial analysis confirming its financial viability.

1.2. Sustainability and Resilience Management

Sustainability and resilience shall be embedded at the core of the infrastructure project. Clear systems to achieve set objectives and targets shall be established.

1.2.1. Environmental and Social Management System(s) (MC)

An explicit commitment to sustainability management shall be made. This shall include carrying out a comprehensive Environmental and Social Impact Assessment (ESIA) and establishing, as well as maintaining, an Environmental Management System (EMS) and a Social Management System (SMS) appropriate to the nature and scale of the project. System thinking shall also be applied to ensure that relevant dynamics and connections between components, including their implications for the broader environment and the community, are taken into account. Such environmental and social management system(s) shall cover the following aspects:

- (a) A policy defining the sustainability and resilience objectives and principles guiding the project (including resilience planning);
- (b) The identification of risks and impacts in line with the outcomes of the materiality assessment;
- (c) Management programmes covering adequate mitigation and performance improvement measures and actions;
- (d) Organisational capacity and competency;
- (e) Monitoring and review, including monitoring of performance against set KPIs and reporting to senior management.

Such management system(s) shall be embedded in the decision-making stages of the infrastructure delivery process.

1.2.2. Life Cycle Approach (MC)

The infrastructure project shall apply life cycle thinking. As a minimum, the project shall widen the scope of environmental and social management systems to consider the extraction, production and use of any raw materials until the end of the project life cycle. Carrying out a full life cycle assessment in accordance with ISO 14044 is encouraged, but not required.

The utility of the infrastructure shall be considered beyond its operational lifespan. Where possible, the useful life of the delivered project should be extended by considering its functionality, durability, resilience, ease of upgrading, expansion and recyclability.

1.2.3. Resilience Planning (MC)

The project shall identify all potential short-term and long-term hazards by carrying out a vulnerability assessment, in particular if the project is in risk-affected sectors (e.g. agriculture, water, hydropower) and/or located in high-risk areas (e.g. coastal areas). Based on the outcomes of the vulnerability assessment, the project owner shall outline and incorporate short-term and long-term adaptation measures into the project design. All possible sources of stress and shock throughout the project life cycle shall be considered and monitored over time, whether they are of a social, economic, cultural, physical, environmental, climate and/or political nature. For this, rigorous data collection and management will be necessary. The project owner should consider any other additional opportunities to improve resilience, where relevant and feasible to do so, for example green infrastructure or by applying other nature-based solutions and/or by conducting regular stress tests.

Examples of climate and environmental hazards which should be considered include: rising sea level; extreme weather events such as extreme heat and drought, floods, tropical cyclones and similar, storm water flows, earthquakes, fire and other natural catastrophes.

Examples of social, man-made or systemic hazards which should be considered include: supply disruption of material resources (e.g. energy, water); cyber attacks or severe ICT disruptions; migration and conflicts; terrorism; political cycles; human failure and any combination of the above.

1.2.4. Emergency Preparedness (MC)

The project owner shall implement an emergency management plan covering emergency preparedness as well as disaster response plans. All potential adverse impacts on workers, users, infrastructure service provision, the surrounding environment and wider or interconnected systems shall be considered, and emergency measures including for evacuation and relocation shall be planned.

Processes and equipment related to emergency preparedness should comply with applicable national laws and international standards. Response plans and measures should be coordinated with relevant local authorities, where relevant.

1.2.5. Supply Chain (MC)

The project owner shall require relevant third parties – whether contractors, subcontractors or suppliers – to take reasonable steps to ensure compliance with sustainability and resilience requirements specified in this standard, including (but not limited to) the following themes: Human Rights (2.1), Labour Rights and Working Conditions (2.2.), Environmental Protection (3.3) and Natural Resources (3.4). Appropriate processes shall be established to monitor supply chain risks and to encourage improvements in line with set targets throughout the project life cycle. Such processes should also cover sustainable procurement and purchasing best practices during project delivery. Besides a clear commitment to sustainable procurement, suppliers shall be identified, evaluated and awarded contracts based on adequate sustainability information and documented evidence.

1.2.6. Pre-existing Liabilities (MC)

If the project is connected to pre-existing social, economic or environmental grievances going back five years, the project owner shall transparently address and remedy such legacies in collaboration with affected parties (or stakeholders).

1.3. Stakeholder Engagement

The infrastructure project shall be developed and operated based on the consultation and engagement of all relevant stakeholder groups.

1.3.1. Stakeholder Identification and Engagement Planning (MC)

The project owner shall identify a comprehensive list of stakeholders that may be interested in and/or affected by the project including project users and beneficiaries and other affected communities.

The project owner shall establish and implement a sound stakeholder engagement plan based on identified issues upon which feedback from the stakeholders is required. Non-negotiable issues shall be kept to a minimum and stakeholders informed accordingly.

Stakeholder identification shall be documented appropriately. Engagement should be timed to start ahead of project planning whenever possible and continue throughout the life cycle of the project.

1.3.2. Engagement and Participation (MC)

The project owner shall establish a process of fair, representative and non-discriminatory consultation with relevant stakeholders including project users, beneficiaries and otherwise affected communities and in collaboration with host governments where appropriate. The process should allow stakeholders to express their views on project risks, impacts and mitigation measures, and should provide appropriate time for the project owner to consider and respond to these. Adequate and regular communications shall be made with relevant stakeholders and members of the public, in appropriate languages and formats. Stakeholder engagement shall be documented appropriately and reported upon to senior management.

For projects with potentially significant adverse impacts on affected communities, the process shall be formalised into an Informed Consultation and Participation (ICP) process. Such ICP shall involve a more in-depth exchange of views and information and an organised and iterative consultation. The project owner should then incorporate into project decision-making processes the views of affected communities on matters that affect them directly.

1.3.3. Public Grievance Redress Mechanism (MC)

The project owner shall establish an efficient and inclusive grievance mechanism to facilitate the prompt resolution of public concerns and grievances about its environmental and social performance. Such grievance mechanism should be scaled to the identified risks and adverse impacts of the project and be open to affected communities to use. It should seek to resolve concerns promptly, using an understandable and transparent consultative process that is culturally appropriate and readily accessible, and at no cost and without retribution to the party that originated the issue or concern. The mechanism shall not impede access to judicial or administrative remedies.

1.4. Anti-corruption and Transparency

The project owner shall not engage in and/or tolerate corruption and bribery when planning, developing and/or operating the infrastructure project.

1.4.1. Anti-bribery Management System (MC)

The project owner shall develop and implement a comprehensive anti-bribery management system for the project throughout the life cycle. The anti-bribery management system shall be aligned with international best practice and standards such as the Transparency International Business Principles for Countering Bribery or the upcoming ISO 37001 - Anti-bribery Management Systems.

Such a management system shall effectively include:

(a) Identification and assessment of bribery risks;

- (b) Implementation of appropriate measures and processes to manage and mitigate such risk;
- (c) Thorough investigation of cases where corruption is suspected to have taken place;
- (d) Implementation of appropriate corrective measures to address any cases of corruption.

The programme shall specify internal reporting and public disclosure procedures and be enforceable on all parties involved in the infrastructure project using an Integrity Pact or equivalent.

1.4.2. Financial Transparency on Taxes and Donations (MC)

The project owner shall, and shall effectively ensure that all parties involved in the infrastructure project shall, publicly disclose:

- (a) All political and charitable contributions, and shall refrain from making political contributions (notably during election campaigns) in those countries which are providing project financing or in which the project is being delivered;
- (b) All payments made to governments on a country-by-country basis in those countries which are providing project financing or in which the project is being delivered;
- (c) Its holdings of subsidiaries, affiliates, joint ventures and other related entities;
- (d) Community contributions in the country where the infrastructure is being delivered;
- (e) Information on applicable jurisdictions where taxes are being paid and where the financial vehicle/company concerned with the project is exempt from paying taxes.

Such disclosure shall comply with applicable international law and reputable international standards and guidance such as FATF's National Money Laundering and Terrorist Financing Risk Assessment.

2. Society

2.1. Human Rights

The infrastructure shall be developed and operated in respect of human rights as set out in the Universal Declaration on Human Rights (UDHR, 1948).

2.1.1. Human Rights Commitment (MC)

The project owner and its contractors shall protect, promote and respect human rights and comply with applicable national and international human rights laws (e.g. UDHR, 1948). The project owner should consider implementing relevant voluntary standards such as the UN Guiding Principles on Business and Human Rights, and ISO 26000 - Social Responsibility. The project owner shall ensure that human rights are adequately taken into account in project policies and that compliance with human rights is appropriately documented.

2.1.2. Human Rights Complaints and Violations (MC)

The project owner shall disclose any incident of human rights violations (including pending court cases) related to the project seeking certification.

The project owner shall not have been found guilty (i.e. final verdict of guilty after exhausting all appeals) of a violation of human rights for any of its activities in the country of operation within the previous three years.

If any alleged violations and complaints have been claimed in the last five years, the project owner shall provide evidence of how such claims have been investigated promptly, thoroughly and in good faith in accordance with applicable international standards (e.g. ISO 26000). The project shall equally disclose any corrective or remediation actions implemented as a result. The same requirements shall apply to contractors.

2.1.3. Human Rights and Security Personnel (MC)

The project owner shall ensure that security forces hired to provide security services in and around the project behave in compliance with applicable human rights laws and respect the human rights of workers, contractors and communities.

2.2. Labour Rights and Working Conditions

The rights of workers shall be recognised and respected throughout the life cycle of the project and in accordance with the ILO Core Standards outlined in the ILO Declaration on Fundamental Principles and Rights at Work (1998). The term 'workers' refers to direct workers, contracted workers, supply chain workers and migrant workers.

2.2.1. Employment Policy (MC)

The project owner shall develop employment policies in accordance with applicable national and international laws and in line with SuRe[®] and other relevant international standards (e.g. ISO 26000 - Social Responsibility).

2.2.2. Right to Association and Collective Bargaining (MC)

The project owner shall respect workers' freedom of association and collective bargaining, including in countries where national law is either silent or restrictive on the subject, in accordance with the national implementation of ILO Fundamental Conventions 1 - Freedom of Association and Protection of the Right to Organise (1948) and 2 - Right to Organise and Collective Bargaining Convention (1949).

2.2.3. Non-discrimination (MC)

The principles of equal opportunity and non-discrimination on the grounds of race, colour, gender, sexual orientation, language, religion, national or social origin, or political or other opinion shall be respected and enforced throughout the project, in accordance with the national implementation of ILO Fundamental Conventions 7 - Equal Remuneration (1951) and 8 - Discrimination (Employment and Occupation) (1958).

2.2.4. Forced Labour and Child Labour (MC)

The project owner shall not resort to any form of forced labour or child labour and shall comply with all applicable national and international laws, including the national implementation of ILO Fundamental Conventions 3 - Forced Labour (1930), 4 - Abolition of Forced Labour (1957), 5 - Minimum Age Convention (1973) and 6 - Worst Forms of Child Labour Convention (1999).

2.2.5. Occupational Health and Safety (MC)

The project owner shall provide a safe and healthy working environment, in accordance with applicable international standards such as the ILO standards. The project owner shall identify and assess risks and potential hazards relating to the project, type of infrastructure, location and region. Preventive and protective measures shall be implemented to minimise the causes of such hazards and prevent their occurrence as far as reasonably practicable. Any occupational accidents, diseases and incidents shall be documented and reported in accordance with applicable laws and recognised standards. Particular attention shall be paid to the protection of health and safety of workers who become active after an emergency has occurred.

2.2.6. Employee Grievance Mechanism (MC)

The project owner shall establish transparent disciplinary procedures and accessible employee grievance mechanisms to register, investigate and promptly address any complaints arising during the life cycle of the project. Such procedures and mechanisms shall comply with applicable national and international law including, where relevant, applicable international standards (e.g. ILO standards).

2.2.7. Working Hours and Leave (MC)

Fair working hours, rest days and legally mandated leave shall be respected in accordance with applicable national and international law, as well as recognised international standards and best practice (e.g. ILO standards on working time).

2.2.8. Fair Wages and Access to Employee Documentation (MC)

Workers shall be paid fair wages, considering both the applicable legal minimum wage plus associated statutory benefits as well as the prevailing industry standards and taking the higher of the two. Workers shall have easy and free access to their personal employee documentation in accordance with applicable national and international law, as well as recognised international standards on the subject such as ILO Fundamental Convention 7 - Equal Remuneration (1951).

2.2.9. Retrenchment (MC)

Should the project resort to retrenchment at any time during the life cycle of the infrastructure asset, such retrenchments shall be implemented as a last resort and in the absence of any viable alternative. Retrenchments shall be carried out without discrimination, in accordance with contractual requirements and in compliance with applicable national and international laws. Adequate retrenchment procedures should be established from the start of the project and cover notification and compensation (including severance and benefits) in accordance with applicable laws and industry best practice.

2.3. Customer Focus and Inclusiveness

The project shall meet the needs of the identified users and beneficiaries without any form of discrimination, which shall be verified appropriately.

2.3.1. Physical Accessibility (MC)

The infrastructure and related services shall be accessible to all intended users and beneficiaries, without discrimination on the grounds of race, gender, sexual orientation, language, religion, national or social origin, political or other opinion. The needs of the elderly and disabled shall be carefully considered through appropriate engagement, particularly where such infrastructure is to be accessed by the public.

2.3.2. Affordability (MC)

Where the infrastructure addresses the basic needs of the population or is considered to constitute critical infrastructure for local communities, the project shall carefully consider the affordability of related services to historically disadvantaged groups including low-income and poorer groups of the population. Any changes to the pricing structure or user charges should be reported and adequately justified. Critical infrastructure services include (but are not limited to) access to water and sanitation, energy, public transport, education, and healthcare.

2.3.3. Infrastructure Adequacy (MC)

The project owner, contractors and operators shall regularly engage with the intended users (where applicable) and beneficiaries of the infrastructure to ensure the adequacy of the infrastructure and related services. Such engagement should consider all possibilities bearing in mind the design and contractual constraints. It shall also cover the design of quality indoor and outdoor environments in relation to user comfort during the planning phase.

2.3.4. Service Improvement (PC)

The project shall define Key Performance Indicators (KPIs) relevant to the type of infrastructure and the location to assess the quality and quantity of infrastructure service provision. Such indicators shall help to record relevant disruptions to, or complaints about, the service provision and how these have

been managed. Once the infrastructure is operational, the service provider shall establish a customer-friendly complaint mechanism and related processes to act upon complaints within a reasonable timeframe.

2.4. Community Impacts

The project development and/or operation shall not negatively impact the community residing in the vicinity, including indigenous people and historically disadvantaged groups. When avoidance is not achievable, the mitigation hierarchy (minimisation, restoration, compensation) shall be applied.

2.4.1. Minorities and Indigenous People (MC)

If the project is on, or may affect, land or resources traditionally owned or under the customary use of indigenous people and minorities, the project owner shall consult with previously identified affected communities regarding the project design and anticipated outcomes and obtain their Free, Prior and Informed Consent (FPIC). Any adverse impacts should be promptly identified and remedies should be proposed in accordance with the mitigation hierarchy.

Minorities are intended as minority groups based on national or ethnic, cultural, religious and linguistic identity. For the purposes of this standard, minorities shall specifically include nomadic communities, Roma, and other national or regional minorities.

2.4.2. Resettlements (MC)

The project owner shall commit to avoiding the involuntary resettlement of affected communities, including indigenous people, wherever possible. Alternative project designs shall be considered in order to avoid or minimise the displacement of people and/or related socioeconomic activities, while balancing environmental, social and financial costs and benefits. Where resettlement is unavoidable, the project owner shall engage with affected communities on the development of a resettlement action plan and offer adequate compensation as part of it. Such engagement shall be properly documented and be fair, inclusive and in compliance with applicable human rights laws.

2.4.3. Cultural Heritage (MC)

The project owner shall comply with applicable law on the protection of cultural heritage throughout the life cycle of the project and infrastructure asset. Applicable law includes the host country's obligation under the Convention Concerning the Protection of the World Cultural and Natural Heritage (UNESCO CCPWCNH, 1972). Any risk of impacts on (or findings of previously undiscovered) cultural heritage shall be promptly identified and assessed by qualified professionals. Where such risks exist, the project owner shall explore alternatives to project design and execution and consult with affected communities on appropriate courses of action. Such engagement shall be properly documented and reported upon as appropriate.

2.4.4. Public Health and Safety (MC)

The project owner shall evaluate all potential risks and impacts to the health and safety of the affected communities and general public during the project life cycle. Where such risks and associated negative impacts are identified, the project owner shall establish preventive and control measures consistent with good international industry practice. The project owner shall identify risks and impacts and propose mitigation measures that are commensurate with their nature and magnitude. Such measures should favour the avoidance of risks and impacts over minimisation.

The following aspects should be carefully considered where relevant, and documented accordingly:

- (a) Infrastructure and equipment design and safety;
- (b) Hazardous materials management and safety;

(c) Exposure to diseases;

(d) Emergency preparedness and response in line with applicable SuRe® requirements (see e.g. 1.2.4).

2.4.5. Decommissioning and Legacy: Risks to Future Generations (MC)

The project owner shall consider the interests of future as well as present generations throughout the life cycle of the project. The project shall assess, and make relevant provisions to address, any major health and safety issues (e.g. in relation to hazardous waste) and other adverse impact on natural resources which could arise from the infrastructure over time, including legacies related to the decommissioning of the infrastructure.

2.5. Socioeconomic development

The project shall create long-term benefits for the socioeconomic development and improvement of quality of life of local communities.

2.5.1. Hiring and Training Local Staff (PC)

The project owner and team shall seek to support positive skill, technology and capability spillovers from the project to the community where relevant and applicable. For example, by hiring local staff, including from minority groups, and by training them accordingly or by sharing knowledge and learning outcomes with interested parties as part of wider development programmes.

2.5.2. Improving Access to Critical Infrastructure (MC)

Where the infrastructure addresses the basic needs of the population or is considered to constitute critical infrastructure, the project shall consider extending infrastructure provision to disadvantaged communities and/ or underserved areas and build in the outcomes of relevant assessment(s) in the design within reason. Critical infrastructure services include (but are not limited to) access to water and sanitation, energy, public transport, education, and healthcare.

2.5.3. Community Benefits (PC)

The project shall meet the needs of local communities and contribute to creating sustainable livelihoods by:

- (a) Enhancing public space where applicable and compensating for lost public space where possible;
- (b) Strengthening social cohesion;
- (c) Contributing to national efforts to achieving international socioeconomic goals such as the Sustainable Development Goals.

2.5.4. Socioeconomic Development (PC)

The infrastructure project shall contribute to local socioeconomic development priorities throughout its life cycle and beyond, aligned with local and national development goals. These include but are not limited to employment creation (see 2.5.1) and support to economic activity, growth and development through access to infrastructure and related services, as well as technology transfer and capacity building.

3. Environment

3.1. Climate

The project shall be designed and operated to avoid negative impacts on climate change, and create net positive outcomes wherever possible.

3.1.1. Greenhouse Gas Emissions (PC)

The project owner shall seek to lower greenhouse gas emissions related to the infrastructure development and operation, in comparison to applicable benchmarks and baselines and in accordance with

the UN Framework Convention on Climate Change (UNFCCC, 1994) and related protocols. Where possible, the infrastructure, particularly if newly built, should aim to become carbon neutral or to achieve very low levels of emissions.

Greenhouse gas emissions in the context of infrastructure include direct and indirect emissions, including emissions released from carbon sinks following land use changes caused by the project. Emissions shall also include those associated with relevant substances used to replace ozone-depleting substances (ODS) in line with the Montreal Protocol on Substances that Deplete the Ozone Layer (1989, universally ratified).

The project owner shall consider alternatives and implement cost-effective options that are both technically and financially viable in order to reduce project-related greenhouse gas emissions during the construction and operation of the project. These options may include alternative project locations; adoption of renewable or low carbon energy sources; sustainable agricultural, forestry and livestock management practices; the reduction of fugitive emissions; and the reduction of gas flaring.

3.1.2. Energy Efficiency (PC)

The project owner shall maximise energy savings and energy efficiency during construction and operation. The project should commit from the design phase to explore options to reduce energy consumption where relevant and feasible. Energy audits shall be carried out regularly during operation to confirm expected energy savings in comparison with industry norms. Consideration should also be given to reducing the project's embodied energy over the infrastructure lifespan as part of a life cycle energy assessment.

3.1.3. Renewable Energy (PC)

The project owner shall maximise the use of sustainably managed renewable energy as a proportion of total energy consumption to effectively reduce dependency on fossil fuel inputs.

3.1.4. Climate Resilience and Infrastructure Adaptability (PC)

Where the project is expected to be or already is at risk due to climate change impacts (based on the outcomes of the vulnerability assessment carried out under 1.2.3. Resilience planning), the project owner shall demonstrate the project design's ability to withstand, within reason, identified climate change risks and hazards in different yet plausible scenarios.

Examples of climate and environmental hazards which should be considered include: rising sea level; extreme weather events such as extreme heat and drought, floods, tropical cyclones and similar, storm water flows, earthquakes, fire or other natural catastrophes.

3.2. Biodiversity and Ecosystems

The infrastructure project shall be designed as far as possible in a way that integrates ecosystem services as a part of the planned infrastructure function and avoids negative impacts on biodiversity and ecosystems. Wherever possible, the infrastructure project should identify potential for further positive impacts in accordance with the Convention on Biological Diversity and related protocols.

3.2.1. Biodiversity and Ecosystem Management (MC)

The project and associated developments shall seek as much as possible to avoid negative impacts and maximise positive impacts on the conservation of biodiversity, natural habitats, ecological corridors and ecosystems which could arise from the infrastructure project. Possible direct and indirect impacts should be assessed by referring to internationally recognised approaches (for example the High Conservation Values (HCV) assessment approach).

Where negative direct or indirect impacts on biodiversity and ecosystem services cannot be avoided, the project owner shall seek to minimise impacts and implement restoration measures in accordance with a 'zero net loss' approach, based on the mitigation hierarchy and following consultation with affected communities.

3.2.2. Habitat and Ecosystem Conservation (PC)

The project owner and team shall seek to protect natural capital, including habitats and ecosystems, in close collaboration with state and local agencies as well as local communities. In addition to SuRe® requirements on biodiversity and ecosystem management, the project shall insofar as possible not be built or cause negative impacts on:

- (a) Critical habitats and endangered species as per recognised international approaches (e.g. IUCN's Red List);
- (b) Legally protected and internationally recognised areas;
- (c) Other areas of high conservation value (e.g. wetlands, rivers) as identified through internationally recognised approaches (e.g. HCVA or IUCN's Key Biodiversity Areas Standard).

Where this cannot be avoided, a 'zero net loss' approach shall be favoured and include adequate compensation measures for any affected communities, in accordance with applicable law and international standards.

3.2.3. Forest Restoration and Conservation (PC)

The project should achieve 'zero net loss' of forests. Any impacts on existing forests should be minimised and mitigated according to the mitigation hierarchy. Where deforestation is unavoidable and forests are cleared for the project, at least an equivalent area should be afforested/reforested.

3.2.4. Invasive Alien Species (MC)

The project owner shall avoid the deliberate or accidental introduction of alien or non-native species of flora and fauna into areas where they are not normally found.

3.3. Environmental Protection

Infrastructure development and operation shall minimise negative impacts and maximise positive impacts on the environment, including ecosystems and biodiversity. The mitigation hierarchy (avoid, prevent, minimise, reduce or offset adverse impacts) shall be applied.

3.3.1. Waste (PC)

Waste generation, in particular hazardous waste, shall be avoided where possible, and waste shall otherwise be minimised, treated, destroyed, or disposed of in a safe and environmentally sound manner. A waste management plan should be implemented throughout the life cycle of the project.

3.3.2. Pollution (PC)

The project shall be designed, implemented and operated in a way that avoids or minimises the pollution of air, water and soil and avoids the transfer of pollution from one of these environmental components to the other.

Where it is not possible to avoid adverse impacts, the project owner shall consider ambient conditions and apply technically and financially feasible pollution prevention principles and techniques that are best suited to minimise adverse impacts on human health and the environment, consistent with applicable laws and standards as well as good international industry practice.

3.3.3. Pest Management (MC)

The project shall not use any pesticides listed under applicable international conventions such as the Rotterdam Convention (2004) and the Stockholm Convention on Persistent Organic Pollutants (2004).

Where the project involves the management of pesticides and related substances, an integrated pest management (or vector management) approach should be considered. The project should seek to minimise and mitigate any adverse impacts related to the use of such substances on local ecosystems and biodiversity as well as public health and safety, in accordance with the relevant SuRe[®] requirements.

3.3.4. Noise, Light, Vibration and Heat (PC)

The infrastructure shall be designed, implemented and operated in a way that minimises negative impacts on human and ecosystem health related to excessive noise, light, vibrations and/or heat. Relevant sources of disturbance should be identified and associated risks minimised through prevention and mitigation measures where appropriate. Stakeholder engagement is recommended for projects and types of infrastructure where such disturbances are significantly high.

3.4. Natural Resources

The development and operation of the infrastructure shall aim to protect natural resources and commit to responsible sourcing.

3.4.1. Resource Efficiency (PC)

The infrastructure shall be designed to maximise resource efficiency throughout its life cycle. The project owner shall implement technically and financially feasible measures for improving efficiency in relation to the consumption of energy, water, as well as any other applicable resources and material inputs. Such measures should integrate the principles of cleaner production into project design and construction with the objective of conserving raw materials, energy, and water. Where benchmarking data is available, the project owner shall establish relative levels of efficiency. Where fossil fuel inputs are used, resource efficiency targets should be established in accordance with industry norms or in comparison with baseline data.

3.4.2. Preservation of Water Resources (PC)

The project shall operate with water resources that maintain sustainable water balances and exhibit consistent and socially acceptable water quality levels. Accordingly, the project owner and team should preserve water resources during the project's design, construction and operation. In particular, losses in water supply should be reduced in comparison to business-as-usual or applicable industry norms. Further, the project should avoid using or impacting on non-replenishable water resources, limit storm runoffs, and monitor closely water usage performance where applicable.

3.4.3. Materials (PC)

The project owner shall commit to the sustainable sourcing of materials in order to minimise their life cycle impact in accordance with internationally recognised standards such as LEED's requirements on building materials and material-specific standards such as FSC for wood. The project should seek to favour low-impact and non-hazardous materials which are locally sourced and made from reclaimed or recycled materials where possible. The project should also identify and take advantage of by-product synergies where cost-effective and feasible to do so. The project should refrain from purchasing products from regions where there are significant social and environmental risks.

3.4.4. Cumulative Impacts (MC)

The project owner shall consider cumulative impacts of project activities on the environment and manage them appropriately. Cumulative impacts are the negative public health or environmental effects from exposure to the combined emissions and discharges in a geographic area. Such impacts should be assessed carefully and measures should be implemented in accordance with recognised guidance on the subject such as the IFC's Good Practice Handbook on Cumulative Impact Assessment and Management: Guidance for the Private Sector in Emerging Markets.

3.5. Land Use and Landscape

The infrastructure project shall minimise negative impacts on the surrounding landscape and use land responsibly.

3.5.1. Location, Project Siting and Design in Relation to Landscape (MC)

The project owner shall carefully assess infrastructure location and siting, in consultation with affected communities and relevant public authorities. Such assessment should cover:

(a) A location analysis – covering aspects such as local geological considerations, the presence of green infrastructure, opportunities for nature-based solutions, as well as the implications of slopes and flood plains – with the view of keeping negative impacts associated with construction and operation to a minimum and in line with other relevant SuRe® criteria (e.g. 3.2.2 and 2.4.4).

(b) The identification of how landscape and local communities will be affected by the project in terms of landscape scale planning, features, character and aesthetics;

(c) The evaluation of how vulnerable or sensitive the landscape is and will be to the likely effects of the project (including increased pressure on frontier resources and activity displacement if any);

(d) Suggestions for integrated design and operational features that minimise or mitigate the impacts of the project on landscape.

3.5.2. Land Use (PC)

The project shall minimise land use and urban sprawl by favouring grey fields in order to preserve green fields (including farm land) and minimise impervious surfaces.

3.5.3. Soil Restoration (MC)

Soils disturbed during construction and previous development shall be restored. Restoration should allow such soils to be reused for functions comparable to their original ecological and hydrological functions.

4 Appendices and References

4.1 Overview of References to Existing Conventions, Standards and Guidelines

Figure 5 below lists the international conventions, standards and guidelines that are directly referenced in the SuRe® Criteria.

Figure 5 - Documents directly referenced in the SuRe® criteria

SuRe® Criterion	Referenced Document(s)
B. Reporting	Global Reporting Initiative's (GRI) Sustainability Reporting Standards
1.1.7 Public Disclosure	Construction Sector Transparency Initiative (CoST)'s Infrastructure Data Standard
1.4.1 Anti-bribery Management System	Transparency International Business Principles for Countering Bribery ISO 37001 (to be published)
1.4.2 Financial Transparency on Taxes and Donations	FATF National Money Laundering and Terrorist Financing Risk Assessment (2013)
1.1.8 Financial Sustainability	World Bank Template and Guidelines for the Project Appraisal Document (PAD)
2.1 Human Rights	ISO 26000 - Social Responsibility Universal Declaration on Human Rights (UDHR, 1948) UN Guiding Principles on Business and Human Rights
2.2 Labour Rights and Working Conditions	ILO Declaration on Fundamental Principles and Rights at Work (1998) ILO Fundamental Conventions
2.2.2 Right to Association and Collective Bargaining	ILO Fundamental Conventions 1 - Freedom of Association and Protection of the Right to Organise (1948) and 2 - Right to Organise and Collective Bargaining Convention (1949).
2.2.3 Non-discrimination	ILO Fundamental Conventions 7 - Equal Remuneration Convention (1951) and 8 - Discrimination (Employment and Occupation) (1958)
2.2.4 Forced Labour and Child Labour	ILO Fundamental Conventions 3 - Forced Labour (1930), 4 - Abolition of Forced Labour (1957), 5 - Minimum Age Convention (1973) and 6 - Worst Forms of Child Labour Convention (1999)
2.4.2 Cultural Heritage	Convention Concerning the Protection of the World Cultural and Natural Heritage (UNESCO CCPWCNH, 1972)
2.5.4 Socioeconomic Development	UN Sustainable Development Goals
3.1.1 Greenhouse gas emissions	UN Framework Convention on Climate Change (UNFCCC, 1994) Montreal Protocol on Substances that Deplete the Ozone Layer (1989)
3.2 Biodiversity and Ecosystem (theme)	Convention on Biological Diversity (CBD, 1993)
3.2.1 Biodiversity and Ecosystem Management	High Conservation Values assessment approach
3.2.2 Habitat and Ecosystem Conservation	IUCN Red List IUCN's Key Biodiversity Areas Standard

SuRe [®] Criterion	Referenced Document(s)
3.3.3 Pest Management	Rotterdam Convention (2004) Stockholm Convention on Persistent Organic Pollutants (2004)
3.4.4 Cumulative Impacts	IFC Good Practice Handbook on Cumulative Impact Assessment and Management: Guidance for the Private Sector in Emerging Markets

Figure 6 illustrates how SuRe[®] Criteria and performance levels take into consideration, and where applicable build upon, existing standards, notably:

- Equitable Origin (EO100™)
- Envision[®] (Env)
- GIB's Grading Tool (GIB GT)
- IFC's Performance Standards (IFC PS)
- ISCA's Infrastructure Sustainability rating scheme (ISCA IS)

Note - At the time of writing, and following comments received during the public consultation, the SuRe[®] Standard Committee is currently reviewing all performance levels to ensure that these are consistent and coherent for all SuRe[®] Criteria.

Figure 6 - SuRe[®]'s consideration of existing standards

Code	SuRe [®] Criterion	EO 100™	Env	GIB GT	IFC PS	ISCA IS
1.1.1	Organisational Structure and Management			x		x
1.1.2	Team Qualifications, Know-how and Capacity building			x		x
1.1.3	Legal Compliance and Oversight	x				
1.1.4	Results Orientation			x		
1.1.5	Risk Management					x
1.1.6	Infrastructure Interconnectivity and Integration		x			x
1.1.7	Public Disclosure ⁶					x
1.1.8	Financial Sustainability					
1.2.1	Environmental and Social Management System				x	
1.2.2	Life Cycle Approach		x		x	
1.2.3	Resilience Planning ⁷		x			x
1.2.4	Emergency Preparedness	x				
1.2.5	Supply Chain					x
1.2.6	Pre-existing Liabilities	x				
1.3.1	Stakeholder Identification and Engagement Planning				x	x
1.3.2	Engagement and Participation				x	x
1.3.3	Public Grievance Redress Mechanism	x			x	
1.4.1	Anti-Bribery Management System					
1.4.4	Financial Transparency on Taxes and Donations					

⁶ 1.1.7 also considers CoST Infrastructure Data Standard.

⁷ 1.2.3 also considers Arup's Cities Resilience Framework.

Code	SuRe® Criterion	EO 100™	Env	GIB GT	IFC PS	ISCA IS
2.1.1	Human Rights Commitment	x				
2.1.2	Human Rights Complaints and Violations	x				
2.1.3	Human Rights and Security Personnel				x	
2.2.1	Employment Policy				x	
2.2.2	Right to Association and Collective Bargaining	x			x	
2.2.3	Non-discrimination	x			x	
2.2.4	Forced Labour and Child Labour				x	
2.2.5	Occupational Health and Safety				x	
2.2.6	Employee Discipline and Grievance Mechanism				x	
2.2.7	Working Hours and Leave	x			x	
2.2.8	Fair Wages and Access to Employee Documenta- tion	x				
2.2.9	Retrenchment				x	
2.3.1	Physical Accessibility					
2.3.2	Affordability					
2.3.3	Infrastructure Adequacy			x		
2.3.4	Service Improvement			x		
2.4.1	Minorities and Indigenous People				x	
2.4.2	Resettlements				x	
2.4.3	Cultural Heritage				x	
2.4.4	Public Health and Safety				x	
2.4.5	Decommissioning and Legacy: Risks to Future Generations					
2.5.1	Hiring and Training Local Staff		x	x		
2.5.2	Improving Access to Critical Infrastructure					
2.5.3	Community Benefits		x	x		
2.5.4	Socioeconomic Development	x	x	x		
3.1.1	Greenhouse Gas Emissions		x		x	
3.1.2	Energy Efficiency		x			x
3.1.3	Renewable Energy		x			x
3.1.4	Climate Resilience and Infrastructure Adaptability					
3.1.5	Emergency Preparedness	x				
3.2.1	Biodiversity and Ecosystem Management				x	
3.2.2	Habitat and Ecosystem Conservation		x		x	
3.2.3	Forest Restoration and Conservation					
3.2.4	Invasive Alien Species				x	
3.3.1	Waste				x	
3.3.2	Pollution		x		x	
3.3.3	Pest Management				x	
3.3.4	Noise, Light, Vibration and Heat	x				
3.4.1	Resource Efficiency				x	
3.4.2	Preservation of Water Resources		x			x
3.4.3	Materials		x		x	x
3.4.4	Cumulative Impacts	x				
3.5.1	Location, Project Siting and Design in Relation to Landscape	x	x			

Code	SuRe® Criterion	EO 100™	Env	GIB GT	IFC PS	ISCA IS
3.5.2	Land Use ⁸		x			
3.5.3	Soil Restoration		x			

4.2 Definitions

Keyword	Definition	Reference
Auditor	A person who audits infrastructure projects to determine their level of SuRe® compliance, in a manner befitting the training received from GIB.	
Affected Communities	Local communities directly affected by the project.	<i>According to IFC PS1, Par1, p. 1</i>
Basic Services (basic needs)	Basic services/needs refer to minimum space, supply of water, adequate sewage and garbage disposal systems, appropriate protection against heat, cold, damp, noise, fire and disease-carrying animals, adequate sanitary and washing facilities, ventilation, cooking and storage facilities and natural and artificial lighting, and in some cases basic medical services.	<i>According to IFC PS 2, p. 3</i>
Biodiversity	The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species, and of ecosystems.	<i>According to the Convention on Biological Diversity, in IFC PS 6 Par1, p. 1</i>
Biodiversity Off-set	Biodiversity offsets are measurable conservation outcomes resulting from actions designed to compensate for significant residual adverse biodiversity impacts arising from project development and persisting after appropriate avoidance, minimisation and restoration measures have been taken.	<i>According to IFC 6, p. 2</i>
Bribery	Term used to refer to the offering, promising, giving, accepting or soliciting of an undue advantage of any value (which could be financial or non-financial), directly or indirectly, and irrespective of location(s), in violation of applicable law, as an inducement or reward for a person acting or refraining from acting in relation to the performance of that person's duties.	<i>According to ISO/DIS 37001:2015</i>
Brownfields & Brownfield Project	Generally speaking, brownfields are sites that have been developed in the past that may or may not be contaminated. Accordingly, brownfield projects are developed projects (operating or abandoned).	<i>According to The World Bank Group 2016</i>

⁸ 3.5.2 also considers BREEAM Communities Tool

Keyword	Definition	Reference
Contractor	An organisation or individual that signs a contract with the infrastructure project owner for the provision of a service, e.g. construction.	<i>Inspired by Oxford Dictionaries Online</i>
Critical Habitat	Critical habitats, also known as hotspots, are areas with high biodiversity value, including (i) habitats of significant importance to critically endangered and/or endangered species; (ii) habitats of significant importance to endemic and/or restricted-range species; (iii) habitats supporting globally significant concentrations of migratory species and/or congregatory species; (iv) highly threatened and/or unique ecosystems; and/or (v) areas associated with key evolutionary processes.	<i>IFC PS6 (2012: 4)</i>
Critical Cultural Heritage	Critical cultural heritage consists of one or both of the following types of cultural heritage: (i) the internationally recognised heritage of communities who use, or have used within living memory the cultural heritage for long-standing cultural purposes; or (ii) legally protected cultural heritage areas, including those proposed by host governments for such designation.	<i>IFC (2012)</i>
Cultural Heritage	Cultural heritage refers to (i) tangible forms of cultural heritage, such as tangible moveable or immovable objects, property, sites, structures, or groups of structures, having archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values; (ii) unique natural features or tangible objects that embody cultural values, such as sacred groves, rocks, lakes, and waterfalls; and (iii) certain instances of intangible forms of culture that are proposed to be used for commercial purposes, such as cultural knowledge, innovations, and practices of communities embodying traditional lifestyles.	<i>IFC PS8 (2012: 1)</i>
Ecosystem Services	The benefits that people, including businesses, derive from ecosystems. Ecosystem services are organised into four types: (i) provisioning services, which are the products people obtain from ecosystems; (ii) regulating services, which are the benefits people obtain from the regulation of ecosystem processes; (iii) cultural services, which are the non-material benefits people obtain from ecosystems; and (iv) supporting services, which are the natural processes that maintain the other services.	<i>IFC PS 6 (2012: 1)</i>
Embodied Energy	The embodied energy of a material or product is the sum of energy that was used in the production of the material or product, including raw material extraction, transport manufacture and all the undertaken processes until the material or product is completed and ready.	<i>Envision® (2012: 170)</i>
Environmental and Social Management System (ESMS)	An Environmental and Social Management System (ESMS) is a dynamic and continuous process initiated and supported by management, and involves engagement between the project owner, its workers, local communities directly affected by the project (the Affected Communities) and, where appropriate, other stakeholders (i.e. those not directly affected by the project but who have an interest in it). Drawing on the elements of the established business management process of “plan, do, check, and act,” the ESMS entails a methodological approach to managing environmental and social risks and impacts in a structured way on an ongoing basis. A good ESMS appropriate to the nature and scale of the project promotes sound	<i>IFC PS 1 (2012: 1)</i>

Keyword	Definition	Reference
	and sustainable environmental and social performance, and can lead to improved financial, social, and environmental outcomes.	
Free, Prior and Informed Consent (FPIC)	FPIC is understood as expanding the process of Informed Consultation and Participation (ICP) described in Performance Standard 1.3.2. and will be established through good faith negotiations between the project owner and the affected communities of indigenous peoples. The project owner will document: (i) the mutually accepted process between the project owner and Affected Communities of Indigenous Peoples, and (ii) evidence of agreement between the parties as the outcome of the negotiations. FPIC does not necessarily require unanimity and may be achieved even when individuals or groups within the community explicitly disagree.	<i>IFC PS7 (2012)</i>
Good International Industry Practice	The exercise of professional skill, diligence, prudence, and foresight that would reasonably be expected from skilled and experienced professionals engaged in the same type of undertaking under the same or similar circumstances globally or regionally.	<i>IFC PS 1 (2012: 3)</i>
Green Infrastructure	Green infrastructure is a cost-effective, resilient approach to managing wet weather impacts that provides many community benefits. While single-purpose gray stormwater infrastructure — conventional piped drainage and water treatment systems — is designed to move urban stormwater away from the built environment, green infrastructure reduces and treats stormwater at its source while delivering environmental, social, and economic benefits. Depending on local risks and needs, green infrastructure practices can support climate change resilience by helping to manage flooding, prepare for droughts, reduce urban heat island effect, lower building energy demand and protect coastal areas.	<i>US EPA</i>
Greenfields & Greenfield Project	Generally speaking, greenfields are sites that have not yet been developed. Accordingly, greenfield projects are new projects (to be built).	<i>According to The World Bank Group 2016</i>
Habitat	A terrestrial, freshwater, or marine geographical unit or airway that supports assemblages of living organisms and their interactions with the non-living environment. Habitats are divided into ‘modified’, ‘natural’, and ‘critical’. ‘Critical’ habitats are a subset of modified or natural habitats.	<i>IFC PS6 (2012: 12)</i>
Heat Island	An urban area that is significantly warmer than its surrounding rural areas due to materials that cause heat accumulation and lack of vegetation, which cools through evapotranspiration. While the heat island effect has not been proven to influence the earth’s global temperatures, it can increase the need for air conditioning and other forms of cooling that require energy.	<i>Envision® (2012: 172)</i>
Industry Norms	Current industry regulatory standards for a particular activity.	<i>Envision® (2012: 172)</i>

Keyword	Definition	Reference
Infrastructure	Infrastructure projects deliver the technical and physical structures (roads, bridges, water supplies and treatment works, dams, and more) required to support the community economy and contribute to the well-being of a community. Typically, they are long-lived, expected to last 30-70 years, depending on the type of structure and how it is maintained. In addition, their performance efficiency and effectiveness depends to a large degree on their fit and harmony with other elements of infrastructure, and their collective ability to adapt to change.	<i>Envision® (2012: 172)</i>
Involuntary Re-settlement	Involuntary resettlement refers both to physical displacement (relocation or loss of shelter) and to economic displacement (loss of assets or access to assets that leads to loss of income sources or other means of livelihood) as a result of project-related land acquisition and/or restrictions on land use. Resettlement is considered involuntary when affected persons or communities do not have the right to refuse land acquisition or restrictions on land use that result in physical or economic displacement. This occurs in cases of (i) lawful expropriation or temporary or permanent restrictions on land use and (ii) negotiated settlements in which the buyer can resort to expropriation or impose legal restrictions on land use if negotiations with the seller fail. Unless properly managed, involuntary resettlement may result in long-term hardship and impoverishment for the Affected Communities and persons, as well as environmental damage and adverse socioeconomic impacts in areas to which they have been displaced. For these reasons, involuntary resettlement should be avoided.	<i>IFC PS 5 (2012: 1)</i>
Livelihood	The full range of means that individuals, families, and communities utilise to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade, and bartering.	<i>IFC PS 5 (2012: 1)</i>
Materiality	Materiality is the principle of defining the social, environmental, economic and governance topics that matter to an organisation and its stakeholders. In the context of infrastructure, materiality is the threshold at which social, environmental, economic and governance opportunities and risks can impact - in the present or the future - the infrastructure itself, stakeholders and society and should therefore be adequately assessed, managed and monitored.	<i>Adapted from GEMI (2015), GRI and RobecoSAM (2015)</i>
Minorities	Minority groups based on national or ethnic, cultural, religious and linguistic identity. For the scope of this standard, minorities specifically include nomadic communities, Roma, and other national or regional minorities.	
Mitigation Hierarchy	The mitigation hierarchy provides an approach to prioritising actions. First, attempts should be made to anticipate and avoid negative impacts. If this is not possible then negative impacts must be minimised. If neither of these is possible, then compensation and/or offsets must be provided for risks and impacts to the environment, workers and/or affected communities.	<i>IFC PS1 (2012: 1)</i>
Natural Habitat	Natural habitats are areas composed of viable assemblages of plant and/or animal species of largely native origin, and/or where human activity has not essentially modified an area's primary ecological functions and species composition.	<i>IFC PS6 (2012: 3)</i>
Nature-Based Solutions	Nature-based solutions aim to help societies address a variety of environmental, social and economic challenges in sustainable ways. They use the	<i>European Commis-</i>

Keyword	Definition	Reference
	features and complex system processes of nature, such as its ability to store carbon and regulate water flow, in order to achieve desired outcomes such as reduced disaster risk, improved human well-being and socially inclusive green growth. These nature-based solutions are ideally energy and resource-efficient and resilient to change, but to be successful they must be adapted to local conditions.	<i>sion</i> (2015: 5)
Pollution	Hazardous and non-hazardous chemical pollutants in the solid, liquid, or gaseous phases, including other components such as pests, pathogens, thermal discharge to water, GHG emissions, nuisance odours, noise, vibration, radiation, electromagnetic energy, and the creation of potential visual impacts including light.	IFC PS3 (2012: 1)
Primary Supplier	Primary suppliers are those suppliers who, on an ongoing basis, provide the majority of living natural resources, goods, and materials essential for the core business processes of the project.	IFC PS6 (2012: 7)
Project	A defined set of activities, including those where specific physical elements, aspects, and facilities likely to generate risks and impacts, have yet to be identified. Where applicable, this could include aspects from the early developmental stages through the entire life cycle (design, construction, commissioning, operation, decommissioning, closure or, where applicable, post-closure) of a physical asset. In this context, a project is understood to be an infrastructure project.	IFC PS 1 (2012: 2)
Project Owner	The term 'project owner' is used throughout the Performance Standards broadly to refer to the party responsible for implementing and operating the project that is being financed, or the recipient of the financing, depending on the project structure and type of financing.	IFC page (2012: i)
Public Procurement	The action of a public authority, such as a government agency, to procure goods or services.	<i>Inspired by Oxford Dictionaries Online</i>
Public Space	A social space that is open and accessible to all, regardless of gender, race, ethnicity, age, or socioeconomic level, such as a common, town square, or public park.	<i>Envision®</i> (2012: 173)
Renewable Energy	Energy that comes from natural resources such as sunlight, wind, rain, tides, and geothermal heat, which are naturally replenished.	<i>Envision®</i> (2012: 173)
Resilience	Resilience describes the capacity of socio-ecological systems to function so that the people living and working in them – particularly the poor and vulnerable – survive and thrive no matter what stresses or shocks they encounter.	<i>Inspired by ARUP's definition of resilience in cities</i>
Retrenchment	Retrenchment can cover a wide range of dismissals that do not essentially relate to the conduct or capability of the worker. These include: <ul style="list-style-type: none"> (i) the closure of a plant, factory, mine, or other workplace, with the total or near-total loss of jobs; (ii) job losses arising from a reduction in staffing requirements due to efficiency gains or falling demand for the company's products 	IFC Good Practice Note - Managing Retrenchment-

Keyword	Definition	Reference
	or service; (iii) job losses arising from a downsizing in operations or restructuring of the workforce following, for example, privatisation.	<i>ment</i> (2005: 1)
Stormwater	Water that originates during precipitation events. Stormwater that does not soak into the ground becomes surface runoff.	<i>Envision</i> [®] (2012: 174)
Subcontractor	An individual or business that performs part or all of a contractor's obligations.	<i>Inspired by Oxford Dictionar- ies Online</i>
Supplier	An individual or business that provides goods or materials used by the infrastructure project.	
Sustainability	A set of environmental, economic and social conditions in which all of society has the capacity and opportunity to maintain and improve its quality of life indefinitely without degrading the quantity, quality or the availability of natural resources and ecosystems.	<i>Envision</i> [®] (2012: 174)
Wetland	An area of land whose soil is saturated with water, either permanently or seasonally. Wetlands are typically categorised by characteristic vegetation and provide a unique ecosystem for flora and fauna, which may not be found in other ecosystems.	<i>Envision</i> [®] (2012: 175)

4.3 Acronyms

EO100™	Equitable Origin
Env	Envision
ESG	Environmental, Social and Governance (criteria)
ESIA	Environmental and Social Impact Assessment
ESMS	Environmental and Social Management System
FPIC	Free, Prior and Informed Consent
GHG	Greenhouse Gases
GIB	Global Infrastructure Basel Foundation
GIB GT	GIB's Grading Tool
GRI	Global Reporting Initiative
HCVA	High Conservation Value Area
ICP	Informed Consultation and Participation
IFC PS	IFC's Performance Standards
IUCN	International Union for the Conservation of Nature
ISCA IS	ISCA's Infrastructure Sustainability rating scheme
ISEAL	International Social and Environmental Accreditation and Labelling
KPIs	Key Performance Indicators
MC	Management-oriented criterion/criteria
ODS	Ozone Depleting Substance
PAD	Project Appraisal Document
PC	Performance-oriented criterion/criteria
PPP	Public-Private Partnership

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