

SuRe® – the Standard for Sustainable and Resilient Infrastructure

System Review and Document Control Procedure

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In the case of inconsistency between versions in different languages; the English version shall take precedence over other versions.

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Global Infrastructure Basel Foundation (GIB) is a Swiss non-profit foundation working to promote sustainable and resilient infrastructure globally. GIB engages with a wide range of stakeholders to build links between infrastructure projects and sources of finance. GIB is the Standard Owner of SuRe® – The Standard for Sustainable and Resilient Infrastructure, a private, voluntary, third-party verified certification standard.

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Contents

1	Purpose and Objective	3
2	Associated Documentation	3
3	Duties and Responsibilities	3
4	General	3
4.1	Document and Data Identification, Approval and Use.....	4
4.2	Revising Controlled Documents	4
4.3	External Documents	4
4.4	Uncontrolled Documents.....	5
4.5	Document Change Requests	5
4.6	Superseded Documents	6
5	Records of Documents	6
6	Planned Document Review Cycles	6
7	Notification to Stakeholders of Document Review	6
8	Systems Review Procedure	7
9	Changes to the Assurance System	7

Document Control

1 Purpose and Objective

1.1.1 Global Infrastructure Basel Foundation (GIB) as the scheme owner shall use the present document to control internal and external documents that relate to the assurance system.

1.1.2 This document details the procedure and timeline for review, protocol for implementation of changes, access to documents by relevant bodies and definition of responsibilities in order to maintain the integrity, adequacy and consistency of the assurance system in accordance to ISEAL’s Principle of Assurance.

2 Associated Documentation

Code	Title	Description
RQ01	SuRe® Certification and Accreditation Requirements	Content: Procedure that shall govern the SuRe® certification and accreditation requirements for Certification Bodies.
MA01	SuRe® Risk Management Plan	Content: Procedure for how GIB shall address risks to the assurance system.
GD06	Audit Personnel Code of Conduct	Content: A framework for Certification Bodies and their auditors to follow while conducting audits.

3 Duties and Responsibilities

3.1.1 The SuRe® Secretariat shall be responsible for the communication, implementation and maintenance of this procedure.

3.1.2 The SuRe® Standard Committee shall be responsible of reviewing any new drafts or revisions made in the Assurance Management documents.

3.1.3 The GIB Board shall be responsible of approving all new and revised documents before they are used to ensure procedural compliance.

3.1.4 Accreditation and Certification bodies shall be responsible of ensuring that they use the current versions and adhere to the transition periods.

3.1.5 In addition they shall be responsible of obtaining other external documents relating to the SuRe® Accreditation and Certification documents (e.g. ISO 17021).

4 General

The purpose of this document is to ensure that:

- The SuRe® Standard and its related documents are approved prior to use after drafting or revising;
- Changes are communicated effectively and in time;
- Ensure only current documents are in use;
- Track of changes in order to promote consistency.

4.1 Document and Data Identification, Approval and Use

4.1.1 This document defines the responsibilities and methods for preparation, revision, control, and release of all documents relating to the assurance system.

4.1.2 The official language for all documents shall be English, in the case of inconsistency between versions in different languages; the English version shall take precedence over other versions.

4.1.3 The SuRe® Secretariat shall use illustrations such as tables and figures in order to make the document contents more easily understandable for the recipients.

4.2 Revising Controlled Documents

4.2.1 The SuRe® Secretariat shall be responsible of revising all controlled documents related to the assurance system with input from the Standard Committee and the Stakeholder Council.

NOTE: Controlled documents refer to approved SuRe® Assurance Management System documents that must be maintained for uniformity, process control, and tracking. Controlled documents shall contain:

- Unique identifier number;
- Version or issue number;
- Clear responsibilities for review and approval of documents and authority for issue;
- Effective date for new or revised documents, which allows time for any defined training or communication, after document approval;
- Method for notification to all recorded recipients of a printed copy of a controlled document, when the version is superseded or the document is taken out of use.

4.2.2 The frequency of revising the SuRe® Certification and Accreditation Requirements (RQ01) shall be every 5 years or earlier if any substantial changes are made in the assurance system.

4.2.3 Other related assurance documents shall be revised accordingly by the SuRe® Secretariat to reflect any notable modifications on the SuRe® Certification and Accreditation Requirements (RQ01).

4.2.4 The SuRe® Secretariat shall track changes in all the reviewed documents and circulate them to the Standard Committee for comments.

4.2.5 The SuRe® Standard Committee shall provide feedback within a period of 2 weeks for the SuRe® Secretariat to incorporate their comments.

4.2.6 After the inclusion of the feedback from the Standard Committee, the SuRe® Secretariat shall send the revised documents to the Standard Committee to show how their comments and suggestions were incorporated.

4.2.7 Thereafter, the SuRe® Secretariat shall submit the revised documents to the GIB Board for approval.

4.2.8 Once the documents are approved, the SuRe® Secretariat shall distribute the documents to the Accreditation and Certification bodies electronically, stating clearly when the new changes shall come into effect.

4.2.9 The SuRe® Secretariat shall also make sure that all revised publically available documents are systematically uploaded to the SuRe® website.

4.3 External Documents

4.3.1 The SuRe® Secretariat shall maintain a library of international standards and norms related to the assurance system. The documents shall include:

- International norms by ISO;
- Guidance or norms from ISEAL;

— Other relevant documents for interpretative guidance.

NOTE: External documents refer to any documents that GIB has referenced in its documents for SuRe® Assurance Management System but does not have control over their content as they are property of external sources.

4.3.2 The SuRe® Secretariat shall regularly check to make sure that all the external documents relating to the assurance system are in their current version and update the SuRe® document library accordingly.

4.3.3 Where deemed necessary, the SuRe® Secretariat shall give notification of the revisions to the Accreditation and Certification bodies.

4.3.4 On a case-by-case basis, the SuRe® Secretariat shall decide on which old version documents to retain in the library and which to consider obsolete.

4.3.5 All previous versions of internal documents shall be kept in records and will be available upon request.

4.4 Uncontrolled Documents

4.4.1 The SuRe® Secretariat shall only issue uncontrolled documents to parties outside the Certification and Accreditation Bodies for information, possible revisions and training only.

NOTE: An uncontrolled document is usually no longer part of the Assurance Management System (printed versions) or has never been part of it (documents that fall outside the scope of the Assurance Management System). Uncontrolled documents can refer to copies of controlled documents used for training, audits or public information .

4.4.2 The uncontrolled documents shall not be considered to be under revision control.

4.4.3 The SuRe® Secretariat shall inform all parties with access to uncontrolled documents to destroy them after use to ensure confidentiality of the information.

4.5 Document Change Requests

4.5.1 In cases where documents are found to be inadequate, request for changes in the documents shall be made to the SuRe® Secretariat through:

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Tel: +41 61 205 10 59, Fax: +41 61 271 10 10
<http://www.gib-foundation.org>,
E-mail: standard@gib-foundation.org.

4.5.2 Any approval to review any document based on received feedback shall be on the discretion of GIB as scheme owner.

4.6 Superseded Documents

4.6.1 The SuRe® Secretariat on behalf of GIB shall notify the Accreditation and Certification body on the documents that are no longer in use.

4.6.2 The SuRe® Secretariat shall remove all superseded documents from use but retain an electronic copy of the document in the “superseded folder”.

4.6.3 Superseded documents shall be retained for a minimum of 5 years before they can be permanently destroyed by the SuRe® Secretariat.

4.6.4 External documents shall also be considered superseded once the organisation that produced them issues a new version.

4.6.5 External and internal superseded documents shall be kept in a “superseded folder” and made available upon request.

5 Records of Documents

5.1.1 The SuRe® Secretariat shall develop a procedure for filing hard copy and electronic copies in order to ensure easy maintenance, access and retrieval of the documents by concerned parties.

5.1.2 Electronic records shall be stored in the GIB database and backed-up automatically.

5.1.3 Hard copies of assurance system shall be stored in secure cabinets to minimise the risk of damage.

5.1.4 The master files and documents shall be protected to prevent any unauthorised changes from being made.

6 Planned Document Review Cycles

6.1.1 Internal Assurance Management System documents shall be subject to periodic review to ensure continuity and relevance.

6.1.2 The SuRe® Secretariat on behalf of GIB as the scheme owner, shall review assurance system documents every 5 years or earlier if any substantial changes are made in the assurance system.

7 Notification to Stakeholders of Document Review

7.1.1 The SuRe® Secretariat shall communicate the review cycle of documents related to the SuRe® Assurance Management System to the Accreditation, Certification bodies and the SuRe® Governing bodies.

7.1.2 The SuRe® Secretariat shall notify the Standard Committee and GIB Board of any document approval required in order to remain within the review cycles.

8 Systems Review Procedure

8.1.1 GIB as the scheme owner has developed procedures for reviewing its assurance programme to ensure the continuous integrity, adequacy and effectiveness of the standard system.

8.1.2 The results of the review process shall be used to improve and adapt the system to keep it on the highest possible level and generate relevant additional input from stakeholders.

8.1.3 The results will be used to update the risk mitigation plan in terms of strategies and prioritisation of the risks identified.

8.1.4 The system review process includes quality control measures, assurance related activities and integrity checks at the level of the product.

8.1.5 A System Review Procedure shall take place at least once every 12 months. Alternatively, a whole review process can be divided into segments but shall also be completed within a 12-month time window.

8.1.6 All review processes shall be recorded and documented.

8.1.7 Possible review procedures for the system review can include (but are not limited to):

- Internal and external audits of the system;
- Systematic review, analysis and evaluations of client assessments;
- Audits by external assurance providers;
- Requesting feedback forms from clients regarding system processes;
- Stakeholder consultations about the quality, applicability and accuracy of the system;
- Continuous monitoring of trends on the market and in the public/scientific debate.

8.1.8 To make use of the input generated from the review processes follow up processes shall include decisions on the following topics:

8.1.9 Management review shall include decisions and actions related to the following topics:

- Increasing the effectiveness of the management system and its processes;
- Improvement of the certification bodies capacities in fulfilling of the SuRe® Standard;
- Discussion of resource needs.

9 Changes to the Assurance System

9.1.1 GIB as the scheme owner ensures that stakeholder involved in or affected by the assurance system are immediately informed after changes of requirements have been made.

9.1.2 The defined procedures for such changes have been outlined in the standard document PR05 – Transition Procedures available in the SuRe® Document Library.