

SuRe® – the Standard for Sustainable and Resilient Infrastructure

Normative Standard

Disclaimer:

GIB Foundation is undergoing a public review of its “Normative Standard v0.4” from August 14th to September 12th 2017. This document, last updated in July 2017, is open for public consultation. Stakeholders are invited to participate in the review process by submitting comments through one of our open channels to the public (directly through our website or via e-mail at: standard@gib-foundation.org)

Following the approval of this document after the second round of public consultation, this document shall supersede all other versions at the onset of its publication (programmed for November 2017). The official language of this document is English, in the case of inconsistency between versions in different languages; the English version shall take precedence over other versions.

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35 Global Infrastructure Basel Foundation (GIB) is a Swiss non-profit foundation working to promote sustainable
36 and resilient infrastructure globally. GIB engages with a wide range of stakeholders to build links between
37 infrastructure projects and sources of finance. GIB is the Standard Owner of SuRe® – The Standard for
38 Sustainable and Resilient Infrastructure, a private, voluntary, third-party verified certification standard.
39

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150 Introduction

151 152 **About the SuRe® Standard for Sustainable and Resilient Infrastructure**

153
154 Global Infrastructure Basel Foundation is a Swiss foundation based in Basel, Switzerland, working to promote
155 sustainable and resilient infrastructure through sustainable infrastructure design and financing on a global
156 scale. Active since 2008, GIB works with multiple stakeholders ranging from city representatives to project
157 developers and infrastructure financiers, with a focus on emerging and developing countries. GIB envisions a
158 world where sustainable and resilient infrastructure is the norm rather than the exception, as such GIB
159 supports the development and financing of sustainable and resilient infrastructure through numerous
160 initiatives and activities including the **SuRe® Standard for Sustainable and Resilient Infrastructure**.

161 SuRe® is a global voluntary standard which integrates sustainability and resilience aspects into infrastructure
162 development and upgrade. SuRe® follows ISEAL’s guidelines for best practice in standard setting, assurance
163 and impact measurement. SuRe® is based on GIB’s Grading for Sustainable Infrastructure, which has been
164 used since 2012 as a self-assessment tool for over 150 infrastructure projects. SuRe® does not favour a
165 particular technology or patented item over another, rather it builds up on existing efforts and encourages
166 best international practice in line with the most relevant international frameworks. For more information on
167 the framework please refer to the document “SuRe® Terms of Reference” found on the SuRe® webpage:
168 www.gib-foundation.org/standard.

169 SuRe® - The Standard for Sustainable and Resilient Infrastructure

170 1 Introduction to This Document

171 The present document details the SuRe® Standard (hereinafter “SuRe®”) criteria and scoring system. This
 172 document is intended for the users of SuRe® - project developers, financiers and public sector institutions –
 173 as well as the general public. Clients wishing to undergo a compliance assessment against SuRe® shall read
 174 and comply with the requirements contained in this document.

175 This document is version 0.4 of the SuRe® Standard. SuRe® will be reviewed at least every five years. The
 176 next revision process is planned for November 2022; however Global Infrastructure Basel Foundation (GIB)
 177 reserves the right to conduct a review process sooner if needed, ensuring stakeholders are appropriately
 178 informed through GIB’s main communication channels (LinkedIn, website, newsletter, etc). For more details
 179 regarding the review process please refer to the SuRe® documents “Standard Setting Procedures PR01” and
 180 the “Work Programme MA04” available on GIB’s website.

181 2 SuRe® Supporting Documents

182 The implementation of the SuRe® Standard for clients is supported by additional documents detailed in
 183 Table 1 below and which are publically available on the “Document Library” on GIB’s website: [www.gib-
 184 foundation.org/standard](http://www.gib-foundation.org/standard). Requirements for certification and accreditation bodies are found in the document
 185 “SuRe® Certification and Accreditation Requirements” available on request to SuRe® accredited bodies.
 186

187 **Table 1.** List of SuRe® Documents for Clients

Code	Title	Description
ST01	SuRe® - the Standard for Sustainable and Resilient Infrastructure	Normative Standard. Content: SuRe®’s criteria for compliance and description of SuRe®’s scoring system.
MA02	SuRe® Terms of Reference	Non-normative Document. Content: SuRe®’s detailed scope, justification, implementation risks, objectives and expected outcomes, principles and added value to target groups.
GO01	SuRe® Governance Bodies Terms of Reference	Normative Document for SuRe® Governance Bodies. Content: Decision-making process of the Standard, application process to decision-making bodies, stakeholder balanced composition of decision-making bodies.
PR01	SuRe® Standard Setting Procedures	Normative Document for SuRe® Governance Bodies. Content: Standard Setting Review and Revision Process.
MA04	SuRe® Work Programme	Non-Normative Document. Content: Timeline of activities for standard

		development, revisions and stakeholder involvement.
PR05	SuRe® Transition Procedure	Normative Document. Content: Transition procedure for certificate holders and new clients when a new version of the Standard is available.
PR01	SuRe® Complaints Procedure	Normative Document. Content: Procedure to submit a complaint and how to address fraud claims.

188

189 3 Terms and Definitions

190 In this document, the following verbal forms are used (adapted from ISO/IEC TS 17021:2013):

- 191 — ‘Shall’ indicates a requirement;
- 192 — ‘Should’ indicates a recommendation;
- 193 — ‘May’ indicates a permission;
- 194 — ‘Can’ indicates a possibility or a capability.

195 The following specific definitions are used:

- 196 — **Infrastructure** refers to: the physical components of systems that provide services required to
197 enable, sustain, or enhance societal living conditions.
- 198 — **The Project**: refers to the unit of certification for the SuRe® Standard, including all assets,
199 activities and actors comprising “The Project” to which the certification applies. The assets,
200 activities and actors included by the term “The Project”, are defined for each project seeking
201 certification, and may typically include, for example: a system of assets within a defined
202 boundary; activities performed as a part of the planning, design, operation, maintenance of the
203 project; the project owner, the engineering procurement contractor(s), the operation and
204 maintenance contractor(s), or any other entity to which responsibility for an element of the “The
205 Project” has been given.
- 206 — **The Project Owner**: refers to the legal entity or entities holding ownership of the Project.

207 NOTE: The ‘Project Owner’ is considered a subset of the term "The Project".

208 Other concepts, terms and phrases used within the SuRe® Standard are defined in the glossary in Annex A.1
209 of this document.

210 Concepts, terms and phrases used within the SuRe® Standard that have more than one definition are defined
211 within the text where such terms or phrases appear.

212 4 About the SuRe® Standard

213 4.1 Objectives and Scope

214 The SuRe® Standard aims to drive the integration of sustainability and resilience aspects into infrastructure
215 development and upgrade by providing guidance and serving as a globally applicable common language tool
216 for infrastructure project developers, financiers and public sector institutions. For a detailed introduction to
217 SuRe®’s objectives, scope, expected outcomes and value added to its main stakeholder groups, please refer
218 to the document “SuRe® Terms of References” available in GIB’s website: www.gib-foundation.org/standard.

219 **4.2 Which Projects can Apply for SuRe® Certification?**

220 SuRe® is relevant for infrastructure projects, as defined in the SuRe® Glossary. For example, infrastructure
 221 projects that are eligible to apply for SuRe® certification include but are not limited to projects providing the
 222 following services:

- 223 — **Water** (including harvesting, storage, management, distribution, treatment and recycling);
- 224 — **Energy** (including generation, storage and distribution);
- 225 — **Solid waste management** (including collection, distribution, processing, recycling and storage);
- 226 — **Transport networks, nodes and fleet** (including pedestrian, bicycle, vehicular, rail, water-borne
 227 and air transportation);
- 228 — **Communication networks** (including telephone, cellular and data);
- 229 — **Social infrastructure** (including education, healthcare, sports and recreation, law enforcement,
 230 fire and emergency services);
- 231 — **Food systems** (including storage, processing and distribution);
- 232 — **Mining and extractive industries** (including mines and processing facilities).

233 Any infrastructure project that by its nature cannot meet the required SuRe® criteria, should not apply for
 234 certification. For example, projects that by their nature do not meet the mandatory Red Criteria related to
 235 climate change or public health and safety risk management should not apply for certification.

236 For the purposes of the SuRe® certification and assessment process, the Unit of Certification shall be defined
 237 at the start of the assessment procedure. The Unit of Certification shall include all assets, activities and
 238 actors comprising the “Project” to which the certification applies. The Unit of Certification is referred to
 239 throughout this document as ‘the Project’ (for more information on terms and definitions, refer to the SuRe®
 240 Glossary in Annex A.1 at the end of this document).

241 Projects can apply for certification under SuRe® either before, during, or after the Project’s construction.
 242 Section 5.2 below gives an overview of the certification process including treatment during the different
 243 infrastructure phases of each Project.

244 **5 Certification Overview**

245 **5.1 General Provisions**

246 This section provides an overview of the SuRe® certification process, a detailed roadmap to certification for
 247 Project guidance is available on SuRe®’s webpage.

248 SuRe® relies on independent third party certification of infrastructure projects throughout their life cycles.
 249 As such, projects wishing to obtain SuRe® certification shall show compliance to SuRe® requirements
 250 presented in this document through a third party audit carried out by accredited certification bodies (for a
 251 list of current SuRe® accredited certification bodies, please refer to SuRe®’s website).

252 Different levels of certification (SuRe® Bronze, SuRe® Silver and SuRe® Gold certified) are awarded
 253 depending on project scores. While certification is available at different stages in the development of an
 254 infrastructure project, SuRe® encourages project developers to implement SuRe® as early as possible during
 255 the design and planning phase, when life cycle thinking can help to optimise sustainability and resilience
 256 benefits.

257 In order to be eligible for certification, a Project must complete the following steps:

- 258 a) **Project Preparation Phase (recommended):** Projects are encouraged (but not required) to consult
 259 the SuRe® materials to prepare for the full certification process.

- 260 b) Registration: Projects shall register in SuRe®'s webpage providing relevant Project and contact
261 information.
- 262 c) Materiality Assessment: Projects shall complete a materiality assessment of the SuRe® criteria
263 against their Project characteristics (for information on Materiality refer to Section 6.1 below).
- 264 d) Certification Body engagement: Projects shall select a SuRe® accredited Certification Body (CB)
265 that will carry out the full assessment of compliance against SuRe® criteria.
- 266 e) Stakeholder consultation: as part of their assessment of compliance against SuRe® criteria,
267 Projects shall successfully complete stakeholder consultation of their compliance against SuRe®
268 criteria.
- 269 f) Compliance with SuRe® criteria: Projects shall successfully demonstrate compliance with required
270 SuRe® criteria (for more information on criteria compliance and scoring refer to Section 8 and
271 Table 2 below).
- 272 g) Reporting: Projects shall annually report on required SuRe® criteria and indicators and undergo
273 yearly surveillance audits (for more information on reporting refer to Section 9 below).
- 274 h) Recertification: SuRe® certification is valid for 5 years from the date of certification. Projects are
275 encouraged to apply for recertification after this period.

276 **Table 2.** SuRe® Levels of certification

SuRe® Certification Levels		
Bronze projects	certified	Go beyond local industry norms. Have thoroughly identified and mitigated key Environmental, Social and Governance risks.
Silver projects	certified	Implement best local and international practices. Can demonstrate significant contribution to international sustainability and resilience frameworks and conventions such as UNFCCC, the Sendai Framework, ILO core conventions, Convention for Biodiversity and the Sustainable Development Goals.
Gold projects	certified	Demonstrate significant innovative practices. Demonstrate significant benefits to society and environment.

277 SuRe® aims to engage projects beyond certification particularly in sectors or regions where barriers to entry
278 for certification may be too high. With this in mind, GIB has developed a self-assessment tool – **The**
279 **SmartScan** - based on the themes of SuRe® but without any certification being awarded. More information
280 on the SmartScan is available on GIB's website.

281

282 **5.2 SuRe® Certification at Different Stages of Infrastructure Development**

283 Projects can apply for certification under SuRe® either before, during, or after the Project construction. The
284 following provisions summarise the requirements for assessment at the different stages, which are explained
285 in detail in the document SuRe® Certification and Accreditation Requirements.

286 A typical infrastructure project undergoes the following development phases: planning & design;
287 construction; commissioning; operation; upgrade, augmentation and/or decommissioning. SuRe® serves as a
288 best practice standard for following Good International Industry Practice in each of these phases which has

289 the objective of contributing to mainstreaming sustainability and resilience in infrastructure. A Project
290 wishing to be SuRe® certified may apply for and retain SuRe® certification in any of these phases.

291 SuRe® requirements span and are applicable throughout the project's lifecycle and through all phases, with
292 SuRe® compliance requirements treated accordingly to the phase the Project is currently at. This means that
293 a project applying for certification in an early phase of development, for example pre-construction (planning
294 and design), will be unable to demonstrate compliance with criteria relating to performance during later
295 phases of development (for example, requirements for compliance with amount materials sourced and used
296 for construction would not have happened yet) In this case, projects are required to make documented
297 commitments to future practice, for example within design documents. Projects are then required to report
298 annually against the achievement of these commitments as they are implemented and as they go through
299 their own development phases.

300 Projects first applying for certification at a later stage of development, for example post-construction (e.g.
301 during operation), are required to demonstrate retrospective or retroactive compliance with criteria relating
302 to any earlier stage of development.

303 **CONSIDER TWO TEXT OPTIONS BELOW:**

304 **OPTION 1** [,provided this earlier stage of development occurred less than 5 years from the time of
305 application for certification. For example, a project may be required to demonstrate retrospective
306 compliance with criteria requiring the Project to have obtained Free, Prior and Informed Consent (FPIC) from
307 stakeholders prior to construction. In this case, retroactive compliance is not possible, therefore, if the
308 Project had not obtained FPIC prior to construction, it would not be eligible for certification until five years
309 after the beginning of construction.]

310 **OR**

311 **OPTION 2** [. If a project is unable to demonstrate retrospective or retroactive compliance with required
312 criteria, it may be ineligible for certification in the future. For example, a project may be required to
313 demonstrate retrospective compliance with criteria requiring the Project to have obtained Free, Prior and
314 Informed Consent (FPIC) from stakeholders prior to construction. In this case, retroactive compliance is not
315 possible, therefore, if the Project had not obtained FPIC prior to construction, it would not be eligible for
316 certification in the future.]

317 If during the development of the Project, significant changes occur that may threaten compliance with the
318 SuRe® criteria, this will trigger the need for one of the following: site visit by a Certification Body to re-assess
319 compliance, review of compliance assessment, additional stakeholder consultation, recertification,
320 suspension or withdrawal of SuRe® certification.

321 In all cases, a site visit and review of the compliance assessment is required within one year of completion of
322 construction of the Project. In cases where projects comprise several staged components to be
323 commissioned more than one year apart, several site visits may be required to ensure that each component
324 is visited.

325 **6 Key Features of the SuRe® Assessment System**

326 **6.1 About the SuRe® Materiality Assessment**

327 This section presents an overview of the SuRe® Materiality Assessment which projects applying for SuRe®
328 certification shall complete as part of their assessment process. This assessment is to be done with input
329 from the Project, the Certification Body, and stakeholders in compliance with the SuRe® Materiality
330 Assessment Methodology.

331 The infrastructure Project shall carry out a materiality assessment against all relevant sustainability and
332 resilience issues, including (but not limited to) issues related to SuRe® criteria, taking into account the

333 project type, size, location, sector and country. The resulting assessment shall be updated throughout the
 334 life cycle of the infrastructure during surveillance audits. The outcomes of the materiality assessment shall
 335 be made readily available to Certification Bodies as part of the SuRe® certification process.

336 The purpose of the Materiality Assessment is to identify which sustainability and resilience issues are of most
 337 importance to each Project applying for SuRe® certification.

338 The Materiality Assessment considers the ‘Importance’ of a sustainability or resilience *issue* to a project
 339 *context* and the ‘Impact’ the Project may have on this *issue*. For the purposes of the SuRe® Materiality
 340 Assessment:

341 — ‘Importance’ refers to whether an *issue* is important to the *context* in which the project is
 342 implemented (including opinions of stakeholders and impacts on society and the environment).
 343 For example, the ‘importance’ of an issue captures whether stakeholders are sensitive to the issue
 344 or if it has particular relevance for other reasons. For example, water resource management may
 345 be more important to a project implemented in a drought stricken region than a region with
 346 plentiful water resources.

347 — ‘Impact’ refers to whether the *project* is likely to cause a material effect upon the *issue*. For
 348 example, a project in a sector which normally uses minimal water (e.g. a transport project), is
 349 going to have less effect on water resources than a project which could potentially use significant
 350 quantities of water (e.g. power generation), therefore it would be rated with a lower ‘Impact’.

351 The Materiality Assessment results in identification of:

- 352 — SuRe® criteria that are of high materiality for the Project;
- 353 — SuRe® criteria that are of medium materiality for the Project;
- 354 — SuRe® criteria that are of low materiality for the Project;
- 355 — SuRe® criteria that are not material for the Project;
- 356 — Additional sustainability or resilience issues that require consideration to what is covered in the
 357 SuRe® Standard requirements.

358 The materiality level (high, medium, low, or not material) impacts how the projects are scored in terms of
 359 their requirements for compliance (refer to Section 8) and to what level of on-going reporting is required of
 360 projects against SuRe® criteria (refer to Section 9).

361 **7 About the SuRe® Criteria**

362 **7.1 General Provisions**

363 SuRe® consists of 61 criteria divided into 14 themes spanning environmental, social and governance (ESG)
 364 aspects. In addition, SuRe® includes two general requirements for compliance: a materiality assessment and
 365 an overarching reporting requirement. SuRe® criteria have been written to ensure that SuRe®’s strategic
 366 objectives and outcomes can be achieved by projects complying with the Standard. In this respect, the
 367 criteria have been drafted using clear, specific, objective and verifiable language.

368 It is important to note that SuRe® criteria do not substitute national law or requirements but rather
 369 complements them by clearly referencing Good International Industry Practice (GIIP) and following the
 370 guidelines established by international frameworks and conventions. Compliance with SuRe® is assessed on
 371 the basis of minimum compliance thresholds, supporting evidence and reports that monitor progress on
 372 compliance. SuRe® criteria are comprised of performance-oriented criteria (PC) and management-oriented
 373 criteria (MC). Table 3 below gives a snapshot of the SuRe® criteria, dimensions and themes.

374

375 **Table 3.** Overview of SuRe® Criteria, Themes and Dimensions

3 Dimensions	14 Themes	61 Criteria	+ 2
Environment	Climate	18	Materiality Assessment Reporting & Impact Assessment
	Biodiversity and Ecosystems		
	Environmental Protection		
	Natural Resources		
Society	Land Use and Landscape	24	
	Human Rights		
	Labour Rights and Working Conditions		
	Customer Focus and Inclusiveness		
	Community Impacts		
Governance	Socioeconomic Development	19	
	Management and Oversight		
	Sustainability and Resilience Management		
	Stakeholder Engagement		
	Anti-corruption and Transparency		

376
377

378 **7.2 Management Criteria**

379 Management Criteria, a total of 45, are criteria which are commitment and process oriented, meaning that
380 projects shall demonstrate that their management systems, approach or processes include the requirements
381 specified in SuRe®. Management criteria are meant to guide projects in improving their performance by
382 providing a list of evidence requirements that support the Project in achieving social, environmental and
383 resilient outcomes. These evidence requirements might take the form of a policy, process, procedure,
384 supporting tasks and other documentation or activities which demonstrate that the organizational culture
385 and management system of the Project is in line with the Project’s own strategic and operation objectives
386 and at the same time support the vision and goal of SuRe® - creating and maintaining sustainable and
387 resilient infrastructure.

388 In order to demonstrate compliance with a Management Criterion (MC), the Project must do each of the
389 following:

- 390 — Comply with all requirements contained in the ‘Description’ section in the management criterion;
- 391 — Provide evidence of compliance with all requirements under the ‘Evidence Requirements’ section
392 in the management criterion;
- 393 — Report against the reporting requirements in the ‘Reporting’ section in each management
394 criterion.

395 SuRe® Management Criteria (MC) have one performance level only, which is the minimum compliance
396 threshold. Compliance to MC therefore results in either a “yes” for compliance or a “no” for non-compliance.

397 **7.3 Performance Criteria**

398 The Performance Criteria, a total of 16, are intended to capture progressively improving performance against
399 quantitative and qualitative requirements.

400 In order to demonstrate compliance with a Performance Criterion (PC), the Project must do each of the
401 following:

- 402 — Comply with all requirements contained in the criterion ‘Description’ section;
- 403 — Comply with all requirements in one of the three Performance Levels (PL);

404 — Report against the ‘Required Indicators’ for Material and Highly Material criteria.

405 The three Performance Levels are defined as: Performance Level 1 (PL1), Performance Level 2 (PL 2) and
 406 Performance Level 3 (PL3). PL1 represents the lowest level of compliance to the Performance Criterion,
 407 whilst PL3 represents the highest level of compliance to the Performance Criterion.

408 Table 4 summarises the intended level of performance of the Performance Levels, noting that due to the
 409 diverse nature of the topics covered in the SuRe® Standard, these intentions are interpreted in a unique way
 410 for each criterion.

411
 412 **Table 4.** Intended Performance Requirements of the Three Performance Levels

Performance Level 1 (PL1)	Performance Level 2 (PL2)	Performance Level 3 (PL3)
The performance requirements of this level are defined to constitute a minimum baseline of sustainable and resilient practice . For most criteria, this means that the project: Performs above industry norms; AND Demonstrates it has thoroughly identified and mitigated key ESG risks.	The performance requirements of this level significantly exceed minimum requirements for sustainable and resilient practice. For most criteria, this means that the project: Performs above Good International Industry Practice (GIIP). AND The Project has zero net negative impact (for criteria dealing with negative impacts).	The performance requirements of this level constitute leading practice . Projects reaching this level are industry leaders and/or innovators in this area. For most criteria, this means that the project: Demonstrates significant innovative practices. OR Demonstrates significant positive impact to society and the environment.

413
 414
 415 NOTE: ‘Required Indicators’ are qualitative indicators intended to: monitor the progress of a project through time; enable
 416 benchmarking against similar projects; and enable impact assessment of SuRe® Certified Projects. Required Indicators are
 417 specified for each Performance Criterion.

418 **7.4 Safeguarding Red Criteria**

419 A number of SuRe® criteria (22) are defined as ‘Safeguarding Red Criteria’, these criteria shall be treated as
420 mandatory requirements, meaning that compliance with these criteria is required in order to achieve
421 certification. The Safeguarding Red Criteria are spread out throughout the 14 SuRe® themes and can be
422 Management or Performance Criteria. Red criteria safeguard the minimum requirements that SuRe®’s
423 stakeholders deem as critical for ensuring that a Project is designed, built, operated and/or decommissioned
424 in a sustainable and resilient manner.

425 Opting out from Safeguarding Red Criteria is not allowed, except in special cases where the non-materiality
426 of a specific criterion/criteria has been identified as a result of the Materiality Assessment and is supported
427 by evidence which has been reviewed and approved by an accredited SuRe® auditor.

428 **8 Scoring Provisions**

429 Projects must comply with a certain number of criteria depending on the level of certification sought
430 (Bronze, Silver, Gold) and the materiality of the criteria, determined during the materiality assessment for
431 each Project. The following provisions define the number of criteria that need to be satisfied for each level of
432 certification:

433 Projects seeking **Bronze** certification must comply with at least the following in each dimension
434 (environment, society and governance):

- 435 — All red criteria
- 436 — 80% of high materiality criteria
- 437 — 70% of medium materiality criteria

438 Projects seeking **Silver** certification must comply with at least the following in each dimension:

- 439 — All red criteria and high materiality criteria
- 440 — 80% of medium materiality criteria
- 441 — 10% of low materiality criteria
- 442 — 80% of high materiality performance criteria to at least PL2
- 443 — 50% medium material performance criteria to at least PL2

444 Projects seeking **Gold** certification must comply with at least the following in each dimension:

- 445 — All red criteria, all highly material and medium material criteria
- 446 — 20% of low material criteria
- 447 — All high materiality performance criteria to at least PL2
- 448 — 80% of medium materiality performance criteria to at least PL2
- 449 — 50% of high materiality performance criteria to at least PL3
- 450 — 30% of high materiality performance criteria to at least PL3

451 These scoring provisions will be updated in future versions of the SuRe® Standard, recognising the need for
452 on-going improvements of projects to match the continuous improvements to human understanding of
453 sustainability issues. Refer to Section 5.2 for details on how projects must transition to comply with changes
454 to Standard Requirements through time.

455 **9 About SuRe® Reporting**

456 The second overarching element for compliance in the SuRe® Standard alongside the Materiality Assessment
457 is the SuRe® Reporting. SuRe® Reporting requirements detail what is expected from projects in terms of
458 reporting to demonstrate continuous compliance against SuRe® criteria. As infrastructure projects have a
459 long-term lifespan, the reporting requirements are meant to provide certainty that the project is following
460 up on commitments and provide encouragement for improving continuous project performance.

461 Reporting requirements of projects to certification bodies detailed in this Standard are separate from the
462 individual reporting that infrastructure projects have as part of their own operations and specific regulations.
463 For example, a Project shall be required, as part of SuRe® criteria, to report annually on number of accidents
464 occurred inside the workplace but the Project itself may have to report on this quarterly for their own
465 purposes. In this case, individual Project reporting may serve as basis to provide the annual reporting to
466 comply with the SuRe® Reporting requirement.

467 To comply with the reporting requirements in SuRe®, a Project shall do the following:

- 468 — Demonstrate compliance with the Reporting requirement in each of the management criteria
469 material to the project in the following way:
 - 470 — High material criteria: all reporting requirements must be met. Annual reporting for surveillance
471 audits is mandatory;
 - 472 — Medium material criteria: all reporting requirements must be met. Annual reporting for
473 surveillance audits is mandatory;
 - 474 — Low material criteria: reporting is encouraged but not mandatory;
 - 475 — Non-material criteria: no reporting required;
 - 476 — Report on any major or significant changes in the Project that may threaten compliance against
477 SuRe® criteria;
 - 478 — Report on any major or significant changes in the Project that may significantly improve the level
479 of compliance against SuRe® criteria.

480 NOTE: No reporting is needed for criteria to which the Project is not claiming compliance to.
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SuRe[®] Criteria

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Guidance to SuRe® Criteria

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A. Management Criteria

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632 **G1.4 Results Orientation (MC)**

633

634 **A. Description of Requirements**

635 The Project shall define goals and objectives with regard to the primary purpose of the Project and define

636 Key Performance Indicators (KPIs) accordingly. The set of KPIs shall include at least those specified in the

637 design criteria for the infrastructure. The KPIs may include the following types of indicators: sales, costs,

638 production efficiency, number of customers or people serviced by the project, usage of resources directly

639 linked to the purpose of the project (such as energy, materials, water, etc). Performance against set

640 objectives shall be monitored and reported upon based on defined KPIs. The consequences of not meeting

641 these objectives shall be clearly specified and measures to overcome or mitigate this situation shall be

642 clearly defined.

643

644 **B. Evidence Requirements**

645 In order to demonstrate compliance, the Project shall provide the following evidence:

646 — List of indicators defined by the Project (or by the contract with the public entity as the case may

647 be) in order to evaluate the success of a project in regards to its primary purpose.

648

649 **C. Reporting**

650 In order to maintain compliance, the Project shall report on the following:

651

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Monitoring of the indicators including progress towards goals and objectives of the Project.	Annually (for external purposes)	(for The Project)
	Monthly (for internal purposes)	(for internal purposes)

652

653 **D. Voluntary practices for improved performance**

654 The Project is encouraged to include clauses for bonuses and penalties in case of better or lower

655 performance, for example, earlier than anticipated completion of works, better than specified service

656 quality, etc.

657

658 **E. Useful resources**

659

660 **F. References**

661 (Global Infrastructure Basel Foundation, 2016)

662 (International Federation of Consulting Engineers, 2012)

663 (International Finance Corporation, 2012)

664 (International Institute for Sustainable Development, 2017)

665

This is the heading line of the criterion. “(MC)” designates that it is a Management Criterion, as opposed to a Performance Criterion

This section describes the requirements that a project must meet to satisfy this criterion.

This section describes the minimum evidence that a project must provide to demonstrate compliance with the Description of Requirements in section A.

This section describes the requirements that a project must meet to satisfy this criterion.

This section describes voluntary practices encouraged by SuRe®. These are not required, and do not impact scoring or certification. This section is not used in each criterion

This section provides references that may be useful for the project to understand or comply with the criterion. This section is not used in each criterion.

This section provides the references which have been used whilst developing the criterion.

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E4.2 Water Pollution (PC) (RED CRITERION)

A. Description
 The Project shall avoid or when avoidance is not possible, minimize the pollution of water and the transfer of pollution from water to other resources (land, air, etc.)
 The Project shall apply technically and financially feasible pollution prevention techniques to monitor and treat or recycle wastewater discharge in order to avoid pollution harmful to human health and the surrounding environment.

B. Performance Level 1
 The Project has minimized the release of pollutants and contamination of water in at least 20% below Good International Industry Practice (GIIP). The water quality discharge is at least 20% better than industry water discharge requirements

C. Performance Level 2
 The Project avoids the pollution of water. There is zero net negative impact on the quality of water used by the Project as well as the water sources connected to the Project. The Project does not impact water availability nor water quality.

D. Performance Level 3
 In addition to Performance Level 2 requirements, the Project positively impacts the water sources near its Project site by improving water quality (for example, by restoring nearby water ecosystems).

E. Required Indicators

- % of untreated wastewater discharged by the Project to the sewage system,
- Proportion of wastewater safely treated by the Project (adapted from Sustainable Development Goals (SDG) Indicator 6.3.1),
- % of wastewater recycled and re-used within the facility, avoiding release of pollution to the local water system,
- Number of complaints/claims received due to the release of untreated wastewater,
- Proportion of bodies of water with good ambient water quality near Project site (adapted from SDG Indicator 6.3.2).

F. Voluntary Practices for Improved Performance

G. Useful Resources

H. References
 (Equitable Origin, 2012)
 (International Finance Corporation, 2007)
 (United Nations, 2017)

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This is the heading line of the criterion. “(PC)” indicates that it is a Management Criteria, as opposed to a Performance Criteria. “(RED CRITERION)” indicates that it is a safeguarding red criterion, which must be complied with for all projects, regardless of materiality.

This section describes the requirements that a project must meet to satisfy this criteria.

These sections describe requirements that a project must meet in order to qualify for performance level 1, 2, or 3 in this criterion.

This section describes the indicators, which a project must annually report on to maintain compliance with this criterion.

This section describes voluntary practices encouraged by SuRe®. These are not required, and do not impact scoring or certification. This section is not used in each criterion

This section provides references that may be useful for the project to understand or comply with the criterion. This section is not used in each criterion.

This section provides the references, which have been used whilst developing the criterion

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Theme GI: Management and Oversight

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

543 **G1.1 Organisational Structure and Management (MC)**

544 **A. Description of Requirement**

545 Throughout the Project's lifecycle, the Project shall operate under a sound and efficient organisational
546 structure. Such a structure shall include:

- 547 a) A clear separation of roles (for example, separation of board and management, oversight,
548 arbitration, etc.);
- 549 b) An unambiguous allocation of responsibilities and duties (including in terms of accountability).

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

552 **B. Evidence Requirements**

553 In order to demonstrate compliance, the Project shall provide the following evidence:

- 554 — Organogram of the Project and of its Direct Contractors, Sub Contractors and Primary Suppliers (if
555 applicable) identifying main functions and responsibilities of each team and person in charge;
- 556 — Identification of one member of senior management responsible for sustainability and resilience;
- 557 — Articles of association, or equivalent, which demonstrate clear separation of roles and
558 unambiguous allocation of responsibilities and duties.

560 **C. Reporting**

561 In order to maintain compliance, the Project shall report on the following

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Material changes to organogram or to Articles of Association.	Annually, if relevant.	The Project

562 **D. Voluntary Practices for Improved Performance**

563 **E. Useful Resources**

564 **F. References**

- 565 (ARUP, 2016)
- 566 (Global Infrastructure Basel Foundation, 2016)
- 567 (Hargroves, 2014, S. 23-24)
- 568 (Swiss Re, 2016)

574 **G1.2 Team Qualifications and Know-How (MC)**

575

576 **A. Description of Requirements**

577 For the construction and the operation phases of the Project, the Project shall ensure that project teams
 578 including those of its Direct Contractors consist of skilled and experienced professionals qualified to fulfil
 579 their tasks and responsibilities and are appointed based on merit via a transparent recruitment process.

580

581 **B. Evidence Requirements**

582 In order to demonstrate compliance, the Project shall provide the following evidence:

- 583 — Curriculum Vitae (CV) of all people in top management roles, as well as the CVs of people in the
 584 top 5 project management positions in addition to a random sample of 10 CVs from other
 585 professional staff in the Project and its Direct Contractor(s). The CVs shall include the data on the
 586 person's education, professional training, relevant past work experiences, certifications and
 587 accreditation;
- 588 — Recruitment policy and processes.

589 NOTE: Compliance with SuRe® criterion "S2.1 Employment Policy" can be used to demonstrate compliance with this evidence
 590 requirement.

591

592 **C. Reporting**

593 In order to maintain compliance, the Project shall report on the following:

594

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Material changes to top management, departure of critical human resources from the Project Entities, and measures taken to ensure adequate replacement.	Annually. If relevant.	If The Project Company.

595

596 **D. Voluntary practices for improved performance**

597

598 **E. Useful resources**

599

- 600 — Global Infrastructure Basel Foundation (GIB) Sustainability and Resilience Capacity Building
 601 courses, (2016)

602

603 **F. References**

604

- 605 (ARUP, 2014, S. 13. No. 10.)
- 606 (Global Infrastructure Basel Foundation, 2016)
- 607 (Infrastructure Sustainability Council of Australia, 2016)
- 608 (Long Term Infrastructure Investors Association, 2017)
- 609 (Swiss Re, 2016)

610

G1.3 Legal Compliance and Oversight (MC)**(RED CRITERION)****A. Description of Requirements**

The Project Owner shall ensure that the Project complies with the applicable laws and regulations throughout its life cycle. Applicable laws and regulations shall include local (municipal and regional), national legal, regulatory and administrative requirements as well as applicable international law.

B. Evidence Requirements

In order to demonstrate compliance, the Project Owner shall show the following evidence:

- Evidence that the Project is complying with the law (including regulatory requirements) to which it is subject, for example, through a legal compliance register;

C. Reporting

In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Material litigations, administrative proceedings or investigations which are current, threatened or pending before any court, arbitral body or agency which, if adversely determined, is likely to have a material effect on the Project, and measures taken to mitigate the consequences.	Annually, relevant.	if The Project
Representation of the Project Owner that the project has obtained main authorisations and permits to build and operate the project (including relating to environmental issues if relevant).		

D. Voluntary practices for improved performance**E. Useful resources****F. References**

(Equitable Origin, 2012, S. 24 (1.1))

(Transparency International, 2016)

637 **G1.4 Results Orientation (MC)**

638 **A. Description of Requirements**

639 The Project shall define goals and objectives with regard to the primary purpose of the Project and define
 640 Key Performance Indicators (KPIs) accordingly. The set of KPIs shall include at least those specified in the
 641 design criteria for the infrastructure. The KPIs may include the following types of indicators: sales, costs,
 642 production efficiency, number of customers or people serviced by the project, usage of resources directly
 643 linked to the purpose of the project (such as energy, materials, water, etc). Performance against set
 644 objectives shall be monitored and reported upon based on defined KPIs. The consequences of not meeting
 645 these objectives shall be clearly specified and measures to overcome or mitigate this situation shall be
 646 clearly defined.

648 **B. Evidence Requirements**

649 In order to demonstrate compliance, the Project shall provide the following evidence:

- 650 — List of indicators defined by the Project (or by the contract with the public entity as the case may
- 651 be) in order to evaluate the success of a project in regards to its primary purpose.

653 **C. Reporting**

654 In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Monitoring of the indicators including progress towards goals and objectives of the Project.	Annually (for external purposes)	The Project
	Monthly (for internal purposes)	

657 **D. Voluntary practices for improved performance**

658 The Project is encouraged to include clauses for bonuses and penalties in case of better or lower
 659 performance, for example, earlier than anticipated completion of works, better than specified service
 660 quality, etc.

662 **E. Useful resources**

664 **F. References**

- 665 (Global Infrastructure Basel Foundation, 2016)
- 666 (International Federation of Consulting Engineers, 2012)
- 667 (International Finance Corporation, 2012)
- 668 (International Institute for Sustainable Development, 2017)

671 **G1.5 Risk Management (MC)**

672

673 **A. Description of Requirements**

674 The Project shall make regular and comprehensive assessment and management of risks; including natural
 675 hazards, environmental, social, governance, policy, technological and economic risks relating to the
 676 construction and operation phases of the Project. Risks assessed shall include those caused by third parties'
 677 actions that have an impact on the Project's area of influence.

678

679 **B. Evidence Requirements**

680 In order to demonstrate compliance, the Project shall provide the following evidence:

- 681 — Risk analysis identifying where the main risks stand (for example, during construction period, the
 682 areas where significant delays are expected) and the available mitigation measures;
- 683 — Risk register;
- 684 — Evidence of adequate processes to ensure that mitigation measures identified are effectively
 685 implemented (for example as part of a Risk Management Plan).

686

687 **C. Reporting**

688 In order to maintain compliance, the Project Entities shall report on the following:

689

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Updates of the risk register and/or risk management plan, including reviewed risk analysis and evidence that mitigation measures are implemented.	Annually, if relevant.	The Project

690 **D. Voluntary practices for improved performance**

691 The Project is encouraged to develop an integrated risk management system that is in line with best
 692 international practices, such as International Organization for Standardization (ISO) 31000.

693

694 **E. Useful resources**

695 International Organisation for Standardization 31000, (2015)

696

697 **F. References**

698 (ARUP, 2014, S. 12 (8))

699 (Sakamoto & Véron-Okamoto, 2014, S. 51-56)

700 (Global Infrastructure Basel Foundation, 2016)

701 (International Finance Corporation, 2012)

702 (Infrastructure Sustainability Council of Australia, 2016)

703 (United Nations Office for Disaster Risk Reduction, 2015)

704 (International Organization for Standardization, 2015)

705

G1.6 Infrastructure Interconnectivity and Integration (MC)

A. Description of Requirements

The Project shall implement, during all Project phases interconnectivity practices that take into account the Project in its entirety, including in terms of interdependencies with wider infrastructure systems. These interconnectivity practices can include (but are not limited to):

- a) Project design and outcome optimisation in relation to wider city and/or regional master plans where appropriate and cost-effective; where no master plans exist in the city/region, the project is encouraged to influence the development of such master plans for the surrounding area of the project
- b) Integration and greater coordination between infrastructure systems. For example, within types of infrastructure (e.g. integrated waste management systems, integrated transport infrastructure) but also within areas (infrastructure located under-ground 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.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- The Project has consulted the relevant authorities to be aware of any on-going, existing or future project with which it can have possible synergies;
- Best efforts of the Project to adjust to relevant circumstances, for example, adapting its construction time schedule or design to take into account synergies and better integration with other projects.

C. Reporting

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Relevant opportunities for Project synergies and/or adaptation with existing and/or future projects.	Annually (only if relevant).	The Project

D. Voluntary practices for improved performance

The Project is encouraged to apply 'system thinking' approaches to project planning and design, in order to ensure relevant dynamics and connections between infrastructure components, including their implications for the broader environment and the community.

E. Useful resources

F. References

(International Federation of Consulting Engineers, 2012)
 (Sayeg, Starkey, & Huizenga, 2014, S. 14, 17, 20)

744 **G1.7 Public Disclosure (MC)**

745 **A. Description of Requirements**

746 The Project shall, at a minimum, disclose the necessary project information required to comply with
747 applicable laws in addition to disclosing the following information:

- 748 a) Project summary (to be updated annually) including: project name and location; purpose,
749 description and scope; sector and subsector; total anticipated and achieved CAPEX, funding
750 sources; timeline; status of development; anticipated or achieved completion date; reasons for
751 significant project changes (whether related to cost, scope, contract and design);
- 752 b) Ownership information of the Project, including legal structure, shareholders and ultimate
753 ownership beneficiaries;
- 754 c) Any relationship with applicable local authorities, associated departments and entities, including
755 any conflict of interest;
- 756 d) Summary of the Stakeholder Engagement including engagement with the Indigenous People,
757 Minorities and other Affected Communities as identified under SuRe[®] criteria G3.2 Stakeholder
758 Engagement and Participation and S3.1 Minorities and Indigenous People;
- 759 e) Summary of the Environmental and Social Impact Assessment as identified under SuRe[®] criterion
760 G2.1 Environmental and Social Management Systems;
- 761 f) All Project risks that pose a material threat on society and environment, as identified under SuRe[®]
762 criterion G1.5 Risk Management

763 Publicly disclosed information shall be periodically updated at least on an annual basis. Information shall be
764 disclosed in a manner that is readily accessible to the public, through formats such as online publications,
765 public billboards or other formats. Information shall be available in local languages and others if appropriate.
766

767 **B. Evidence Requirements**

768 In order to demonstrate compliance, the Project shall provide the following evidence:

- 769 — Existence of a Project website that provides at least the information listed in the Requirement
770 above;

771 **C. Reporting**

772 In order to maintain compliance, the Project shall report on the following:
773

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Evidence of periodical update of the website, which may include changes to ownership of the infrastructure, changes to the services and coverage provided by the infrastructure, changes to accessibility (physical access and affordability of services provided), information related to environmental and public health and safety.	Annually, if relevant.	The Project

774 **D. Voluntary practices for improved performance**

- 775 — Publicly visible information billboard located at the project site, which states the main features
776 of the project including the website domain.

780

781 **E. Useful resources**

782 Construction Sector Transparency Initiative's Infrastructure Data Standard, (2013)

783

784 **F. References**

785 (Construction Sector Transparency Initiative, 2013)

786 (The Equator Principles Association, 2013)

787 (Equitable Origin, 2012, S. 16, 35)

788 (Infrastructure Sustainability Council of Australia, 2016)

789 (International Federation of Consulting Engineers, 2012)

790 (International Finance Corporation, 2012)

791 (Global Infrastructure Basel Foundation, 2016)

792

G1.8 Financial Sustainability (MC)

A. Description of Requirements

The Project Owner shall ensure that the Project is economically and financially sound and has secured 100% of its funding. The Project shall be able to generate sufficient revenue over the whole life cycle of the assets to cover all its costs, including operational costs, cost of capital, depreciation of the assets, decommissioning and, if relevant, and to the best possible estimate, risk-mitigation costs (including but not limited to disaster risk reduction).

B. Evidence Requirements

In order to demonstrate compliance, the Project Owner shall provide the following evidence:

- Evidence that the Project Owner has carried out an economic and financial analysis and has established a business plan including revenues and costs estimates over the life of the Project, demonstrating the economic soundness of the Project (i.e. Its ability to generate sufficient revenues, including in case of economic/financial stress and other kind of business continuity risk scenarios);
- The Project Owner has established the financing plan of the Project and shall provide reasonable evidence that funding sources will be available to cover the Project's costs;
- If already available, closed contracts for securing funds;

C. Reporting

No periodic reporting is required for this criterion except when a change occurs which may threaten compliance as specified above.

D. Voluntary practices for improved performance

The Project Owner is encouraged to secure a budget allowance for the following items:

- Unanticipated works during defects liability phase;
- Costs for responding to disasters or other shocks (for example business continuity risks);
- Other resilience related costs as determined by the Project.

E. Useful resources

The following resources provide further guidance:

- Sendai Framework for Disaster Risk Reduction 2015-2030: (page 20- paragraph:30m)

F. References

(Sakamoto & Véron-Okamoto, 2014)

(United Nations Office for Disaster Risk Reduction, 2015)

(World Bank, 2013)

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Theme G2: Sustainability and Resilience Management

849
850 Sustainability and resilience shall be embedded at the core of the infrastructure project. Clear systems to
851 achieve set objectives and targets shall be established.
852

G2.1 Environmental and Social Management Systems (MC)**(RED CRITERION)****A. Description of Requirements**

The Project shall make an explicit commitment to sustainable management. 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. The Project shall refer to the World Bank Group (WBG) Environmental, Health, and Safety (EHS) Guidelines or other internationally recognized sources under local and international limits (whichever is more stringent) when evaluating and selecting sustainable management techniques for the Project. If less stringent levels or measures than those provided in the WBG EHS Guidelines are used, complete disclosure and justification for any proposed alternatives is required.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- EMS and SMS are established, maintained and cover the following aspects:
 - a) A policy defining the sustainability and resilience objectives and principles guiding the Project (including resilience and disaster risk-reduction 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 Key Performance Indicators (KPIs) and reporting to senior management.
- Audit reports of Environmental Impact Assessment (EIA) and Social Impact Assessment (SIA) are available upon request.

NOTE: The Project's management system(s) shall be embedded in the decision-making stages of the Project delivery process and shall comply with the requirements of The International Financial Corporation (IFC) Performance Standard 1, Paragraphs 6 – 19, and 22 -24.

C. Reporting

In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Development, progress and significant changes of the EMS and SMS	Annually.	The Project

D. Voluntary practices for improved performance

Implementation of the Standard from the International Organization for Standardization (ISO) 26000.

E. Useful resources

- Environmental and Social Management System Implementation Handbook – CONSTRUCTION, (2014)
- Equator Principles, (2014)
- IUCN, Environmental and Social Management System, (2017)

894 — IUCN, Environmental and Social Management System (ESMS) Manual. Version 2.0 – (May 2016)

895 — ISO 26000 (2014)

896 **F. References**

897 (Sorg, 2015, S. EC02)

898 (The Equator Principles Association, 2014)

899 (Equitable Origin, 2012, S. 25 (1.6). p.60-61 (6.2, 6.3, 6.4))

900 (European Union, 2009)

901 (Hargroves, 2014, S. 21-22)

902 (International Federation of Consulting Engineers, 2012)

903 (International Finance Corporation, 2014)

904 (International Finance Corporation, 2012)

905 (International Organization for Standardization, 2014)

906 (International Organization for Standardization, 2015)

907 (International Union for Conservation of Nature, 2016)

908 (Long Term Infrastructure Investors Association, 2017)

909 (Global Infrastructure Basel Foundation, 2016)

910 (Pöyry, 2016)

911 (United Nations Office for Disaster Risk Reduction, 2015, S. 20, Para 30m)

912 (International Union for Conservation of Nature (IUCN), 2017)

913 (IUCN, 2016)

914 (International Organization for Standardization, 2014)

915

916 G2.2 Life Cycle Approach (MC)

917 A. Description of Requirements

918 The Project shall use a life cycle approach in the design, construction, operation and decommissioning of the
 919 Project. The utility of the Project shall be considered beyond its operational lifespan. Where possible, the
 920 useful life of the delivered Project should be extended by considering its functionality, durability, resilience,
 921 ease of upgrading, expansion, reuse and recyclability. As a minimum, the Project shall make an assessment
 922 across the lifecycle of the Project, which includes at least the following:

- 923 — The goal and scope definition of the Project assessment;
- 924 — An inventory analysis;
- 925 — Environmental and Social Impact Assessments and (ESIA) their interpretation related to the
 926 lifecycle impacts of the Project;
- 927 — Demonstrations of how negative lifecycle impacts are minimised, and positive lifecycle impacts
 928 are sought.

930 B. Evidence Requirements

931 In order to demonstrate compliance, the Project Entities shall show the following evidence:

- 932 — Life-cycle approach report, inventory analysis or reports on extraction, emissions, energy, raw
 933 materials used, water and its possible effects on the environment as a separate document or part
 934 of an Environmental Impact Assessment (EIA);
- 935 — Life-cycle approach documentation: goal and scope definition, inventory analysis, impact
 936 assessment and interpretation;
- 937 — Environmental or Social Management Systems (ESMS) reports.

939 C. Reporting

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Development, progress and significant changes of the life cycle approach	Annually (if applicable) or when substantial changes occur which may threaten compliance as specified above.	The Project

941 D. Voluntary practices for improved performance

942 The Project is encouraged to carry out a full life cycle assessment in accordance with International
 943 Organization for Standardization (ISO)14044/ISO14040.

944 NOTE: Life-cycle assessments may be done as a part of the ESMS, and documented within the ESMS documentation.

946 E. Useful resources

- 947 — ISO 14040 Environmental management — Life cycle assessment (2006)
- 948 — UNEP, Life Cycle Assessment (2017b)

950 F. References

951 (ARUP, 2015, S. 7)

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- 953 (International Federation of Consulting Engineers, 2012)
- 954 (International Organization for Standardization, 2006)
- 955 (Quantis, 2017)
- 956 (United Nations Office for Disaster Risk Reduction, 2015, S. 13, Para 19k)
- 957 (UN Environment , 2017b)
- 958

959 **G2.3 Resilience Planning (MC)**

960 **A. Description of Requirements**

961 The Project shall identify all significant potential short-term and long-term hazards by carrying out a
 962 vulnerability assessment. Projects located in risk-affected sectors (for example, agriculture, water,
 963 hydropower) and/or located in high-risk areas (for example, coastal areas, least developed countries, small
 964 island developing states) shall do so considering all risks related to their particular needs. Based on the
 965 outcomes of the risk assessment and the vulnerability assessment, the Project shall outline and incorporate
 966 short-term and long-term adaptation measures into the Project design. All possible sources of stress, shock
 967 and disasters throughout the Project life cycle shall be considered and monitored over time, whether they
 968 are of a social, economic, cultural, physical, environmental, climate and/or political nature. For this, rigorous
 969 data collection, management and transparency will be necessary.

970 NOTE 1: Examples of climate and environmental hazards which should be considered include: rising sea level; extreme
 971 weather events such as extreme heat and drought, floods, tropical cyclones and similar, storm water flows, earthquakes, fire
 972 and other natural catastrophes.

973 NOTE 2: Examples of social, man-made or systemic hazards which should be considered include: supply disruption of material
 974 resources (for example, energy, water); cyber attacks or severe information and communication technology (ICT) disruptions;
 975 migration and conflicts; terrorism; political cycles; human failure and any combination of the above.

976 **B. Evidence Requirements**

977 In order to demonstrate compliance, the Project shall provide the following evidence:

- 978 — Vulnerability assessment for the Project's life cycle;
- 979 — Outline of short-term and long-term adaptation measures and evidence of how they have been
- 980 incorporated into the Project's design as well as construction and operation phases of the
- 981 infrastructure (for example, energy back up system, back up supplies, renewable energy sources,
- 982 insulation, temperature and climate control system, storm water recycling, etc.);
- 983 — Risk monitoring system is in place to detect natural/climate and social/man-made/systemic
- 984 hazards as early as possible;
- 985 — Analyses of possible hazard scenarios and counter measures for each case;
- 986 — Insurance programme covering replacement costs of the assets and business interruption.

987 **C. Reporting**

988 In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Indicators such as number of days within a year with closure of the infrastructure's services due to extreme weather, number of days within a year with disrupted infrastructure services due to severe weather conditions or due to others of the hazards mentioned in the criterion, and other indicators specific to the nature of the Project.	Annually.	The Project

993 **D. Voluntary practices for improved performance**

994 The Project is encouraged to update its adaptation measures according to experiences with occurred hazards
995 and new developments of technologies (state of the art).

996 The Project is encouraged to seek to empower women and persons with disabilities to promote a gender
997 equitable and accessible response to disaster, risk reduction strategies and resilience planning.

998 The Project is encouraged to understand and implement the concept of “Building Better from the Start” and
999 (if applicable due to the nature and location of the Project, for example in construction in post-disaster
1000 context situations) “Build Back Better” in line with the Sendai Framework for Disaster Risk Reduction.

1001 The Project should consider any other additional opportunities to improve resilience, where relevant and
1002 feasible to do so, for example green infrastructure, disaster risk-reduction strategies and contingency
1003 policies or by applying other nature-based solutions and/or by conducting regular stress tests.

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1005 **E. Useful resources**

1006

1007 **F. References**

1008 (ARUP, 2014)

1009 (ARUP, 2015)

1010 (Intergovernmental Panel on Climate Change, 2007)

1011 (Sakamoto & Véron-Okamoto, 2014)

1012 (United Nations Framework Convention on Climate Change, 2011)

1013 (Link, et al., 2009)

1014 (World Bank, 2015)

1015 (World Bank, 2017a)

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G2.4 Emergency Response Preparedness (MC)

A. Description of Requirements

The Project shall implement an emergency management plan covering emergency preparedness, contingency policies as well as disaster response plans relating to the construction and operation phases of the Project. All significant 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, relocation and in the case of critical infrastructure (e.g. health institutions) continuous operation shall be planned. The Project shall train all workers (regardless of their gender) in sustainability and resilience including the emergency and disaster-response measures defined as part of compliance with this criterion in order to reduce disaster risk.

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

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

Emergency management plan including disaster response plans, emergency preparedness, and emergency measures in place. The emergency management plan shall include at a minimum:

- All potential adverse impacts on workers, users, infrastructure service provision, the surrounding environment and how wider or interconnected systems have been considered;
- Emergency measures including for evacuation and relocation are established;
- Evacuation plan and clear instructions on emergency measures are taught and made available to all workers at the Project site;
- Mandatory periodic trainings and drills on evacuation and emergency situation management are conducted with a reasonable number of workers / managers on site;
- All processes and equipment related to emergency preparedness shall comply with applicable national laws, international standards and industry specific emergency management requirements, whichever is more stringent;
- Equipment necessary for emergency response is available, maintained, and periodically checked for its proper functionality. The equipment may include, for example, first response kits; fire management equipment such as fire extinguisher or blanket, and fire alarm system; communication equipment; security cameras and alarm system; emergency doors; emergency lighting equipment; siren; life vests; emergency supply of food and water; backup energy systems; and bunkers;
- All emergency response plans and measures are coordinated with relevant local authorities.

C. Reporting

In order to maintain compliance, the Project Entities shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
The effectiveness of the Emergency Management	Annually,	if The Project

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Plan based on the Key Performance Indicators (KPIs) relevant.
below:

- Number and type of emergency occurred per year;
- Number and details of emergency occurred that were managed satisfactorily;
- Number and type of drills and trainings conducted.

Collection of feedback or review of any emergency situation that has been experienced.

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D. Voluntary practices for improved performance

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The Project is encouraged to provide Sustainability & Resilience training to Direct Contractors, Sub Contractors and Primary Suppliers.

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E. Useful resources

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F. References

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(Sorg, 2015)

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(Emergency Management Victoria, 2015)

1068

(Equitable Origin, 2012, S. 57-58 (5.12))

1069

(International Finance Corporation, 2012)

1070

(Pöyry, 2016)

1071

(United Nations Office for Disaster Risk Reduction, 2015, S. 20, Para 33a. Pg 21, Para 33f. Pg 22, Para 34h)

1072

1073 G2.5 Supply Chain (MC)

1074 A. Description of Requirements

1075 The Project Entities shall follow sustainable procurement Good International Industry Practice (GIIP)
1076 throughout the Project's lifecycle, at least as stringent as that articulated in the International Finance
1077 Corporation (IFC) Performance Standards 1 and 2. The Project shall take steps to ensure that Direct
1078 Contractors, Sub-Contractors and Primary Suppliers comply with the requirements of this standard in
1079 relation to their activities in the Project. These steps shall include, at a minimum:

- 1080 — A supplier risk management system that includes identification and monitoring of supply chain
1081 sustainability risks;
- 1082 — Analysis of which Direct Contractors, Sub-Contractors and Primary Suppliers may be at risk of non-
1083 compliance with SuRe® requirements, and how these risks shall be managed and monitored to
1084 reasonably ensure compliance and on-going improvement against set targets throughout the
1085 Project's lifecycle;
- 1086 — A supplier selection process that includes sustainability assessment requirement and excludes
1087 suppliers that contribute to irreversible conversion of critical natural and cultural habitats;
- 1088 — Public disclosure of Direct Contractors, Sub-Contractors and Primary Suppliers;
- 1089 — Public sustainable procurement commitment.

1090 NOTE: for the purposes of this criteria, the terms 'Direct Contractors', 'Sub-Contractors' and 'Primary Suppliers' refer to
1091 entities falling into either or both of the following categories:

- 1092 a) The top 10 Direct Contractors, Sub-Contractors and Primary Suppliers', ranked based on the annual expenses related
1093 to the Project during construction or operation;
- 1094 b) Direct Contractors, Sub-Contractors and Primary Suppliers that contribute to the core function or purpose of the
1095 infrastructure during the construction and the operation phases.

1096 For example, suppliers of cement or water treatment chemicals to a water treatment plant would be included,
1097 however, suppliers of minor stationary products would not be included.

1100 B. Evidence Requirements

1101 In order to demonstrate compliance, the Project shall provide the following evidence:

- 1102 — Documents demonstrating the effective implementation of the requirements above. This may
1103 include: documented management system, risk assessment and monitoring, sustainability
1104 requirements in used procurement assessment and evidence of public disclosure requirements.

1106 C. Reporting

1107 In order to maintain compliance, the Project Entities shall report on the following:

1108 <u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Changes in key suppliers; changes in performance of key suppliers and changes in the supplier selection processes.	Annually, if relevant.	The Project Company.

1110 D. Voluntary practices for improved performance

1111 The Project is encouraged to implement more stringent policy, adopt more sustainability clauses within
1112 contracts, increase the share of environmentally conscious products and materials acquired, or support
1113 suppliers with sustainability labels.

1114 The Project is encouraged to investigate emerging methods of supply chain management, such as Blockchain
1115 technology.

1116

1117 **E. Useful resources**

1118 The following resources provide further guidance:

1119 — Blockchain’s Smart Contracts: Driving the Next Wave of Innovation Across Manufacturing Value
1120 Chains, (June, 2016);

1121 — Global Symposium for Innovative Financial Inclusion Distributed Ledger Technology - A new
1122 paradigm for Capital market [\(September, 2106\)](#).

1123

1124 **F. References**

1125 (Ecovadis, 2016)

1126 (International Finance Corporation, 2012)

1127 (Infrastructure Sustainability Council of Australia, 2016, S. Pro 1-4)

1128 (Long Term Infrastructure Investors Association, 2017)

1129 (Resilient Design Institute, 2012-2013)

1130 (Sustainable Purchasing Leadership Council, 2016)

1131 (Cognizant , 2016)

1132 (Alistair Duff, 2016)

1133

G2.6 Pre-existing Liabilities (MC)

A. Description of Requirements

The Project shall transparently address and remedy legacies in collaboration with affected parties (or stakeholders) if the project is connected to pre-existing social, economic or environmental grievances dating back five years from the time of application for certification. In case of human rights, the Project shall comply with the requirements under criterion S1.2 Human Rights Complaints and Violations of this Standard.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- The Project has identified its pre-existing liabilities included in documents such as: Commercial Register dating back from at least 5 years that shows no financial liabilities (such as bankruptcy); Enforcement and Compliance History of the Project (for example, in the US the Environmental Protection Agency's tool on "enforcement and compliance history online");
- The Project has enacted mitigation measures to deal with these liabilities included in documents such as a Logbook of previous liabilities and the process followed to deal with them;
- The Project does not have previous nor current liabilities related to involvement in organized crime, or corruption;
- The Commercial Registry of the Project shows no existing liabilities.

C. Reporting

In order to maintain compliance, the Project Entities shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Update on any outstanding liabilities, attestation from the commercial register that there are no severe outstanding liabilities and any new occurrences.	Annually, if relevant.	The Project

D. Voluntary practices for improved performance

E. Useful resources

F. References

(Equitable Origin, 2012, S. 59 (5.16))
 (US Environmental Protection Agency, 2017)

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Theme G3: Stakeholder Engagement

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The Infrastructure Project shall be developed and operated with the consultation and engagement of all relevant stakeholders.

1186 **G3.1 Stakeholder Identification and Engagement Planning (MC) (RED CRITERION)**

1187 **A. Description of Requirements**

1188 The Project shall identify a comprehensive list of stakeholders that may be interested in and/or affected by
1189 the Project including relevant institutions, project users and beneficiaries and other affected communities.

1190 The Project shall prepare a “Stakeholder Engagement Framework” in case the project site is yet unknown
1191 but the Project is considered to have significant impact to the surrounding environment.

1192 The Project shall establish and implement a sound stakeholder engagement plan based on identified issues
1193 upon which feedback from the stakeholders is required, ensuring adequate representation of the interests of
1194 women, children, youth, persons with disabilities, poor people, migrants, indigenous people, older persons,
1195 and other vulnerable or disadvantaged groups.

1196 Stakeholder identification shall be documented appropriately. Engagement should be timed to start ahead
1197 of project planning whenever possible and continue throughout the life cycle of the Project. In cases where
1198 stakeholder engagement is a government responsibility, the Project shall ensure that the level of stakeholder
1199 engagement is consistent with the requirements of the SuRe® Standard and shall provide the government
1200 with additional support if necessary to achieve this.

1201 **B. Evidence Requirements**

1202 In order to demonstrate compliance, the Project shall provide the following evidence:

- 1203 — List of stakeholders to be consulted including the name of their institution (when relevant);
- 1204 — List of Affected Communities if appropriate, for example, those stakeholders who are materially
1205 affected by the Project;
- 1206 — Stakeholder Engagement Plan;
- 1207 — Studies carried out in cooperation with the people concerned (e.g. indigenous people) to assess
1208 the social, spiritual, cultural and environmental impact of the planned construction or
1209 development activities.

1210 **C. Reporting**

1211 In order to maintain compliance, the Project Entities shall report on the following:

1212 <u>Reporting Requirement</u>	1213 <u>Frequency</u>	1214 <u>Responsible Entity</u>
1215 Material changes to the Stakeholder Engagement Plan and material changes to the Project due to stakeholder feedback.	1216 Annually, if relevant.	1217 The Project

1218 **D. Voluntary practices for improved performance**

1219 **E. Useful resources**

- 1220 — International Finance Corporation (IFC), Performance Standards on Environmental and Social
1221 Sustainability, Performance Standard 2: Labour and Working Conditions, (2012, paragraphs 26, 27
1222 & 28)

1223 **F. References**

1224 (BREEAM, 2015)
1225 (Equitable Origin, 2012, S. 27 (2.4))

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- 1227 (Global Infrastructure Basel Foundation, 2016)
1228 (Infrastructure Sustainability Council of Australia, 2016, S. Sta-1)
1229 (International Finance Corporation, 2012, S. 13. Para 26-28)
1230 (International Labour Organization, 1989, S. Article 7. Para 3)
1231 (Sorg, 2015, S. EM007)
1232 (United Nations Office for Disaster Risk Reduction, 2015, S. 10. Para 7.)
1233

1234 G3.2 Engagement and Participation (MC)

1235 A. Description of Requirements

1236 The Project shall establish a process of fair, representative and non-discriminatory consultation with relevant
 1237 stakeholders including project users, beneficiaries and otherwise affected communities in collaboration with
 1238 host governments where appropriate, ensuring a balanced gender, age and social representation. The
 1239 process should allow stakeholders to express their views on project risks, impacts and mitigation measures
 1240 for construction and operation phases, and should provide appropriate time for the Project to consider and
 1241 respond to these. The process shall be open and shall avoid designating certain issues as non-negotiable.
 1242 Adequate and regular communications shall be made with relevant stakeholders and members of the public,
 1243 in appropriate languages and formats. Stakeholder engagement shall be documented appropriately and
 1244 reported upon to senior management.

1245 For projects with potentially significant adverse impacts on affected communities, the process shall be
 1246 formalised into an Informed Consultation and Participation (ICP) process. Such ICP shall involve a more in-
 1247 depth exchange of views and information and an organised and iterative consultation. The Project shall then
 1248 incorporate into project decision-making processes the views of affected communities on matters that affect
 1249 them directly whenever feasible.

1250 B. Evidence Requirements

1251 In order to demonstrate compliance, the Project shall provide the following evidence:

- 1252 — Disclosure of relevant information to Affected Communities (in a language and format
 1253 understandable to them through the website, meetings, pamphlets or other documents; different
 1254 channels and languages ensuring that all affected stakeholders have a chance to participate, etc.);
- 1255 — Registration of Affected Communities views and concerns on the Project's risks, impacts and
 1256 mitigations measures;
- 1257 — Response of the project to Affected Communities concerns;
- 1258 — Integration of outcomes of the stakeholder engagement in the Project decision-making process.

1261 C. Reporting

1262 In order to maintain compliance, the Project shall report on the following:

1263 <u>Reporting Requirement</u>	1264 <u>Frequency</u>	<u>Responsible Entity</u>
On-going stakeholder consultation over the life cycle of the Project (notably on-going reporting to Affected Communities).	Annually, if relevant.	The Project

1265 D. Voluntary practices for improved performance

1266 E. Useful resources

1267 International Finance Corporation (IFC), Performance Standards on Environmental and Social Sustainability,
 1268 Performance Standard 2: Labour and Working Conditions, (2012, paragraphs 29,30 & 31)

1270 F. References

1271 (Equitable Origin, 2012, S. 28 (2.5). Pg32 (2.8). Pg 46-47 (4.2))
 1272 (International Finance Corporation, 2012, S. 13, 14. Para 29 - 31)
 1273 (United Nations Office for Disaster Risk Reduction, 2015, S. 10. Para 7)

1276 **G3.3 Public Grievance and Customer Feedback Management (MC)**

1278 **A. Description of Requirements**

1279 The Project shall establish an efficient and inclusive mechanism to capture customer feedback and public
 1280 grievances. This mechanism shall facilitate the prompt resolution of customer and public concerns and
 1281 grievances about the Project, including its environmental and social performance during design, construction
 1282 and operation phases of the Project. The mechanism shall: be scaled to the identified risks and adverse
 1283 impacts of the Project; be open to affected communities to use; be made transparent, consultative,
 1284 culturally acceptable and accessible to all people at no cost and without retribution to the complaint; and
 1285 not impede access to judicial or administrative remedies. All related documents must be written in a way
 1286 that can also be understood by people without expert knowledge. The customer feedback mechanism shall
 1287 include a documented process that ensures relevant feedback is used for decision-making related to service
 1288 delivery improvements.

1290 **B. Evidence Requirements**

1291 In order to demonstrate compliance, the Project shall provide the following evidence:

- 1292 — A process and mechanisms for dealing formally with complaints and grievances (such as specifying
 1293 which department in the company or person is responsible for processing complaints and
 1294 grievances and what are the steps to be followed to raise, address and resolve a complaint);
- 1295 — Complaints and grievances log including how many were successfully addressed and how many
 1296 are still pending/in process;
- 1297 — Evidence of a documented process for using customer feedback for decision-making related to
 1298 service delivery improvements.

1300 **C. Reporting**

1301 In order to maintain compliance, the Project Entities shall report on the following:

1302 <u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Public grievance incidents summarised into an annual report including the details and data of complaints received, resolved, and pending. The report may include suggestions for improvements and methods for mitigation of future complaints.	Annual	The Project

1304 **D. Voluntary practices for improved performance**

1306 **E. Useful resources**

1308 **F. References**

1309 (Equitable Origin, 2012, S. 33)
 1310 (International Finance Corporation, 2012)
 1311 (Sorg, 2015, S. EM007, HR12)

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Theme G4: Anti-corruption and Transparency

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The Project Owner shall not engage in and/ or tolerate corruption and bribery when planning, developing and/ or operating the Infrastructure Project.

G4.1 Anti-bribery and Corruption Management System (MC)**(RED CRITERION)****A. Description of Requirements**

The Project Owner shall develop and implement a comprehensive anti-bribery and corruption management system for the Project to be used throughout the Project's life cycle. The anti-bribery and corruption management system shall be aligned with Good International Industry Practice (GIIP) and standards, at least as stringent as that articulated in the Transparency International Business Principles for Countering Bribery and International Organization for Standardization (ISO) 37001 - Anti-bribery Management Systems.

Such a management system shall include at least the following elements:

- a) Identification and assessment of bribery and corruption risks;
- b) Implementation of appropriate measures and processes to manage and mitigate such risks, which includes training and reading materials provided to staff;
- c) Thorough investigation of cases where bribery and/or corruption is suspected to have taken place;
- d) Implementation of appropriate corrective measures to address any cases of bribery and/or corruption. The programme shall specify internal reporting and public disclosure procedures and be enforceable on all parties involved in the project using an Integrity Pact or equivalent;
- e) Identification and risk assessment of any relationship between the Project and politically exposed persons (PEPs). Any relationship with PEP shall be subject to approval by the Project's senior management;
- f) Criminal antecedence checks of Primary Contractors and directors of the Project Company personnel to determine these individuals or firms are not listed on relevant international blacklists including: the World Bank listing of ineligible firms and individuals; Consolidated United Nations Security Council Sanctions List; Asian Development Bank Anticorruption and Integrity Sanctions List; INTERPOL list of wanted persons; and the International Chamber of Commerce Commercial Crime Services Criminal List.

B. Evidence Requirements

In order to demonstrate compliance, the Project Owner shall show the following evidence:

- Business documents stating the vision, mission, values and codes of conduct of the company used to prevent bribery from occurring;
- Anti-bribery policy that was developed with top management leadership, has been distributed to all staff and the management of related companies (including suppliers). Evidence of this communication: e-mails, letters, posters, website, etc.;
- Job description of the person has been or will be designated to oversee anti-bribery compliance;
- Anti-bribery Training's material, minutes, guidelines, brochures or any other material derived from Training of personnel;
- Anti-bribery risk-assessment and record of due diligence of processes;
- Integrity Management System (as detailed in by the International Federation of Consulting Engineers – FIDC);

- 1374 — Anti-bribery management system is in place, which includes prevention, monitoring, investigation,
 1375 and correction of activities, which may relate to bribery, such as receiving gifts, donations and
 1376 hospitalities, etc. The management system shall include also whistle-blower procedures;
- 1377 — Disclosure of controversies, remediation actions, evidence of enforceability on all parties involves
 1378 in the project.

1379

1380 C. Reporting

1381 In order to maintain compliance, the Project Entities shall report on the following:

1382

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Any trainings done throughout the year that include anti-bribery subjects; Quarterly reporting of the staff member appointed to oversee anti-bribery actions; Ant-bribery measures included in the general risk assessment of the project; Changes made to anti-bribery policies and management system.	Annually, if relevant.	The Project

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1384 D. Voluntary practices for improved performance

1385 The Project is encouraged to adding anti-bribery measures or procedures (if there were none) following the
 1386 Business Principles for Countering Bribery and (if applicable) using the indicators derived from the
 1387 Organization for Economic Co-operation and Development (OECD) Bribery and Corruption Awareness
 1388 Handbook for Tax Examiners and Tax Auditors.

1389 Businesses are encouraged to follow the Business Principles (and detailed indicators) for Countering Bribery
 1390 (as per requirements of Transparency International).

1391 The Project is encourage to use the following suggested KPIs: Indicators concerning both affirmative
 1392 indications and affirmative acts of bribery, including: Indicators concerning the taxpayer's external and
 1393 internal risk environment, the taxpayer's transactions, payments and money flow, outcomes of transactions
 1394 and possible recipients of the proceeds of the bribery or corruption.

1395

1396 E. Useful resources

1397 The following resources provide further guidance:

- 1398 — Business Principles for Countering Bribery, A multi-stakeholder initiative led by Transparency
 1399 International, (2013)
- 1400 — *Bribery and Corruption Awareness Handbook for Tax Examiners and Tax Auditors, (2013)*
- 1401 — ISO 37001 Anti-bribery Management Systems, (2016)
- 1402 — World Bank listing of ineligible firms and individuals, (2017)
- 1403 — Consolidated United Nations Security Council sanctions list, (2017)
- 1404 — ADB anticorruption and integrity: sanctions list, (2017)
- 1405 — INTERPOL list of wanted persons, (2017)
- 1406 — ICC Commercial Crime Services criminal list (n.d)
- 1407 — (International Federation of Consulting Engineers-FIDIC)

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1409 **F. References**

1410 (Equitable Origin, 2012, S. 25)

1411 (Ethnic Intelligence, 2017)

1412 (Global Infrastructure Anti-Corruption Centre, 2016)

1413 (Global Infrastructure Basel Foundation, 2016)

1414 (The Gold Standards Framework, 2017)

1415 (International Organization for Standardization, 2016)

1416 (Sorg, 2015, S. EC11)

1417 (Transparency International, 2016)

1418 (Transparency International , 2013)

1419 (World Bank , 2017b)

1420 (United Nations Security Council, 2017)

1421 (Asian Development Bank, 2017)

1422 (INTERPOL, 2017)

1423 (Commercial Crime Services, n.d)

1424 (Organisation for Economic Co-operation Development , 2013)

1425 (Transparency International , 2013)

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G4.2 Financial Transparency on Taxes and Donations (MC)**(RED CRITERION)****A. Description of Requirements**

The Project Owner 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 Project 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 at least as stringent as that articulated by the Financial Action Task Force's (FATF) National Money Laundering and Terrorist Financing Risk Assessment.

B. Evidence Requirements

In order to demonstrate compliance, the Project Owner shall show the following evidence:

- Disclosure of the list of donations and taxes paid with details of date, value, and receiver information;
- Appropriate wording in the Project's policy on transparency (SuRe® model clauses can be used when appropriate);
- Reports, for example, financial report and financial audit reports;
- Contract and tender documents (when applicable) will include directives concerning the possibility of auditing/disclosing information (to authorised agents) of payments made by the Project to contractors or subcontractors
- Transparency and disclosure policy.

C. Reporting

In order to maintain compliance, the Project Owner shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Budgets and financial statements of the Company, including (but not limited to) the following criteria: all political and charitable contributions, all payments made to governments on a country-by-country basis, its holdings of subsidiaries, affiliates, and other related entities, community contributions in the country where the project is being delivered and taxes.	Annually, relevant.	if The Project

1461 **D. Voluntary practices for improved performance**

1462 The Project Owner is encouraged to adopt "financial and tax accounting and auditing practices that prevent
1463 the establishment of "off the books" or secret accounts or the creation of documents which do not properly
1464 and fairly record the transactions to which they relate" (OECD, 2008).

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1466 **E. Useful resources**

1467

1468 — OECD Guidelines for Multinational Enterprises, (2008)

1469 — OECD Bribery and Corruption Awareness Handbook for Tax Examiners and Tax Auditors, (2013)

1470 — FATF's National Money Laundering and Terrorist Financing Risk Assessment, (2013)

1471 **F. References**

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1473 (International Aid Transparency Initiative)

1474 (Organisation for Economic Co-operation Development, 2008)

1475 (Organisation for Economic Co-operation Development, 2010)

1476 (Organisation for Economic Co-operation Development , 2013)

1477 (Publish What You Found, 2016)

1478 (Financial Action Task Force, 2013)

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Theme S1: Human Rights

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

S1.1 Human Rights Commitment (MC)**(RED CRITERION)****A. Description of Requirements**

The Project shall its lifecycle protect, promote and respect human rights and comply with applicable national and international human rights laws (for example the Universal Declaration on Human Rights, 1948). The Project Entities shall ensure that human rights are adequately taken into account in project policies and that compliance with human rights is appropriately documented.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- Provision of internal policies stating commitment of the Project to respect human rights (as stated by the Universal Declaration on Human Rights by the United Nations (UN)), including processes to address complaints, to investigate alleged violations and commitment to report on outcomes;
- Provision of contracts (with Direct Contractors, Sub Contractors and Primary Suppliers) providing obligations for these actors to respect, protect, and promote human rights;

C. Reporting

No periodic reporting is required for this criterion except when a change occurs which may threaten compliance as specified above.

D. Voluntary practices for improved performance

The Project is encouraged to consider implementing relevant voluntary standards such as the UN Guiding Principles on Business and Human Rights, and the International Organization for Standardization (ISO) 26000 - Social Responsibility.

E. Useful resources**F. References**

(Equitable Origin, 2012, S. 26)

(International Organization for Standardization, 2014)

(United Nations, 1948)

(United Nations, 2011)

S1.2 Human Rights Complaints and Violations (MC)**(RED CRITERION)****A. Description of Requirements**

The Project shall disclose any incident of human rights violations (including pending court cases).

The Project shall not have been found guilty (for example, 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 five years.

If any alleged violations and complaints have been claimed in the last five years, the Project shall provide evidence of how such claims have been investigated promptly, thoroughly and in good faith in accordance with applicable international standards (for example, International Organization for Standardization (ISO) 26000). The Project shall equally disclose any corrective or remediation actions implemented as a result.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- Disclosure by the Project of any incidents of human rights;
- Actions taken to address these violations;
- In case of violations claims, evidence of investigations in a timely and fair manner and of corrective actions taken;
- Absence of negative judgment within the previous 3 years for Direct Contractors, Sub Contractors and Primary Suppliers.
- Evidence of how claims have been investigated and treated (if applicable).

A. Reporting

In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Progress on managing allegations, complaints or grievances (for example, evidence of investigation carried out promptly and fairly and outcomes/recommendations being implemented).	Annually, if relevant.	The Project

C. Voluntary practices for improved performance**D. Useful resources**

The following resources provide further guidance:

- ISO 26000 – Social Responsibility, (2014)

E. References

(Equitable Origin, 2012, S. 26-27)

(International Organization for Standardization, 2014)

(United Nations, 2011)

(United Nations, 1948)

1591 **S1.3 Human Rights and Security Personnel (MC)**

1592 **A. Description of Requirements**

1593 The Project shall ensure that security forces hired to provide security services in, around and throughout the
1594 lifecycle of the Project behave in compliance with applicable human rights laws and respect the human
1595 rights of workers, contractors and communities.

1596 **B. Evidence Requirements**

1597 In order to demonstrate compliance, the Project shall provide the following evidence:

- 1598 — List of security personnel employed;
- 1600 — Reasonable inquiries as regards possible implication in past abuses and more generally track
1601 record on respect of human rights;
- 1602 — Training provided to security personnel as regards use of force (and where applicable, firearms),
1603 and appropriate conduct toward workers and Affected Communities;
- 1604 — Requirements for security personnel to respect human rights;
- 1605 — Grievance mechanism available to communities.

1606 **C. Reporting**

1607 In order to maintain compliance, the Project shall report on the following:

1608 <u>Reporting Requirement</u>	1609 <u>Frequency</u>	1610 <u>Responsible Entity</u>
Investigations of all allegations of unlawful or abusive acts of security personnel, actions taken to prevent recurrence, and reports on unlawful and abusive acts to public authorities.	Annually, if relevant.	The Project

1611 **D. Voluntary practices for improved performance**

1612 **E. Useful resources**

1613 International Finance Corporation (IFC), Performance Standards on Environmental and Social Sustainability,
1614 Performance Standard 4: Community, Health, Safety and Security, (2012, Paragraphs 12 to 14)

1615 **F. References**

- 1616 (Equitable Origin, 2012, S. 29-31)
- 1617 (International Finance Corporation, 2012, S. 30, Para 12-14)
- 1618 (International Organization for Standardization, 2014)
- 1619 (United Nations, 2011)
- 1620 (United Nations, 1948)

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Theme S2: Labour Rights and Working Conditions

1640
1641 The rights of workers shall be recognised and respected throughout the life cycle of the Project in
1642 accordance with the International Labour Organisation (ILO) Core Standards outlined in the ILO Declaration
1643 on Fundamental Principles and Rights at Work (1998). The term `workers' refers to direct workers,
1644 contracted workers, supply chain workers and migrant workers.
1645

1646 **S2.1 Employment Policy (MC)**

1648 **A. Description of Requirements**

1649 The Project shall develop employment and training policies based on principles of non-discrimination and
 1650 equal opportunity in accordance with applicable national and international laws and implement international
 1651 leading practice where possible. The Project shall enforce the employment policy and give all workers
 1652 (irrespective of race, sex, religion, nationality, social origin, or contract types – temporary, fixed term and
 1653 open ended employment) the best possible opportunity of qualifying for and using their skills in their
 1654 respective jobs, with particular care on ensuring the empowerment of women.

1655 The employment policy shall promote “full, productive and freely chosen employment” and aim to ensure
 1656 that the work offered is as productive as possible.

1657 These policies should apply to workers engaged throughout the lifecycle of the Project.

1659 **B. Evidence Requirements**

1660 In order to demonstrate compliance, the Project shall provide the following evidence:

- 1661 — Employment policy (which is covering the workers rights as stated in the International Labour
 1662 Organization (ILO) conventions regarding gender and non-discrimination) and record of its
 1663 communication to workers;
- 1664 — Sample record of workers' contracts and its evolutions;
- 1665 — Communication to the workers regarding their rights;
- 1666 — Respect to working conditions addressed in collective bargaining agreements;
- 1667 — Written employment policy (including recruitment and benefits) on outsourcing work to direct
 1668 contractors, primary suppliers and sub contractors, employing temporary or casual workers (with
 1669 or without a formal contract) sometimes referred to as: "non-standardized forms of
 1670 employment".

1672 **C. Reporting**

1673 No periodic reporting is required for this criterion except when a change occurs which may threaten
 1674 compliance as specified above.

1676 **D. Voluntary practices for improved performance**

1677 The Project is encouraged to update employment policy according to significant changes in
 1678 local/international laws and regulations and country ratification of ILO conventions.

1679 Projects are also encouraged to develop their employment policies according to relevant international
 1680 standards (e.g. International Organization for Standardization (ISO) 26000 - Social Responsibility and ILO
 1681 Governance Convention C122).

1683 **E. Useful resources**

1684 The following resources provide further guidance:

- 1685 — Global Reporting Initiative. GRI 4, (2014, page 43)
- 1686 — International Labour Organization. Recommendation R198 - Employment Relationship
 1687 Recommendation, 2006 (No. 198)
- 1688 — International Organization for Standardization. ISO 26000 – Social Responsibility, Sections 6.4.3.1.
 1689 6.4.4. (2014)

1690 — International Finance Corporation Performance Standards on Environmental and Social
1691 Sustainability, Performance Standard 2 Labor and Working Conditions, (2012, Paragraphs 8, 9, 10)

1692

1693 **F. References**

1694 (Equitable Origin, 2012, S. 31 (3.1))

1695 (Global Reporting Initiative, 2014)

1696 (International Finance Corporation, 2012, S. 17-18, Para 8, 9, 10)

1697 (International Organization for Standardization, 2014)

1698 (International Labour Office, 2015)

1699 (International Labour Organization, 2006)

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S2.2 Rights to Association and Collective Bargaining (MC)

A. Description of Requirements

The Project including its Direct Contractors, Sub Contractors and Primary Suppliers shall respect workers' and employer's freedom of association and collective bargaining during construction and operation phases, including in countries where national law is either silent or restrictive on the subject, in accordance with the national implementation of International Labour Organization (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).

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- Evidence that employees are aware of their rights as regards collective bargaining. This shall be made evident by including relevant clause(s) in employment policy that explicitly states that the employer does not prevent employees from associating freely, that it does not prevent collective bargaining and that the Project adheres to collective bargaining agreements where they exist;
- If a union is present: evidence of syndicate formation, evidence of worker representative election, minutes of meetings held, recommendations and follow-up derived from these meetings, etc.;
- Interviews with workers showing that the right of freedom of association is respected.

C. Reporting

In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Any changes to the employment policy concerning worker's rights. If a workers union exists, the report shall include results derived from negotiations between the union and the Project and its Direct Contractors, Sub Contractors and Primary Suppliers.	Annually, if relevant.	The Project

D. Voluntary practices for improved performance

E. Useful resources

- International Finance Corporation (IFC), Performance Standards on Environmental and Social Sustainability, Performance Standard 2: Labour and Working Conditions, (2012, paragraphs 13 & 14)
- International Organization for Standardization (ISO) 26000 Social Responsibility, sections 6.3.10.2, 6.4.5.2, (2014)
- International Labour Organization, Convention 87, 98, 135, and Recommendation 143 (1948, 1971)

F. References

(Equitable Origin, 2012, S. 36)

ST01

- 1739 (De Werna Magalhaes, 2016)
- 1740 (International Finance Corporation, 2012)
- 1741 (International Finance Corporation, 2012, S. 3. Para. 13, 14)
- 1742 (International Labour Organization, 1948)
- 1743 (International Labour Organization, 1971)
- 1744 (International Labour Organization, 1971)
- 1745 (International Organization for Standardization, 2014, S. Section 6.3.10.2, 6.4.5.2)
- 1746 (Sorg, 2015, S. LR01, LR16, LR20)
- 1747 (The Gold Standards Framework, 2017)
- 1748

S2.3 Non-discrimination (MC)**(RED CRITERION)****A. Description of Requirements**

The Project shall respect and enforce throughout the duration of the project, 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, in accordance with the national implementation of International Labour Organization (ILO) Fundamental Conventions C100 - Equal Remuneration (1951) and C111 - Discrimination (Employment and Occupation) (1958). Special measure of assistance or protection to counteract past discrimination or to meet the particular requirements of persons who, for reasons such as sex, age, disablement, etc. require special protection or assistance, shall not be considered as discrimination.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall show evidence of the following:

- a) Application of non-discrimination principles; for example as stated in relevant clauses in the project's employment policy with commitment by the Project company and its Direct Contractors, Sub contractors and Primary Suppliers;
- b) Recruitment policies and procedures, which demonstrate gender sensitive and non-discriminatory practices with regard to race, national or social origin particularly in regard to minorities. For example, these policies may impact upon job descriptions, job advertisements, anonymized Curriculum Vitae (CVs); excluded interview questions regarding family plans, marital status, religion and ensuring good gender representation and minorities' inclusion both in the interview and recruitment phase;
- c) Implementation of gender sensitive practices relevant to the Project and in accordance with relevant national law, for example maternity and paternity leave, adequate gender representation in teams;
- d) Evidence of internal and external relevant documentation to be non-discriminatory in regards to gender or nationality, for example, using gender sensitive language in reports, e-mails, policies, using a good balance of gender and racial representation in the images included in brochures, presentations, hand-outs and other materials;
- e) Evidence of monitoring and reporting of gender indicators, for example: number of women in management positions, number of women interviewed for vacancies, etc;

NOTE: Compliance with criterion S5.3 Gender Equality and Women Empowerment can be used to demonstrate compliance against evidence requirements a, d and e.

C. Reporting

In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
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ST01

Relevant and applicable labour indicators such as number of workers from minority groups (disaggregated by gender). Annually The Project

The application of the ILO Convention C111 and the actions taken in pursuance of the policy and the results of these actions Annually, if relevant The Project

1787

1788

D. Voluntary practices for improved performance

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— The Project is encouraged to make efforts to implement diversity practices that support the inclusion of minorities and in particular persons with disabilities; for example liaising with appropriate minority associations and encouraging people with disabilities to apply for job vacancies when the disability does not constitute a strong impediment to carry out the tasks.

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— The Project is encouraged to make efforts to empower women in the workplace, for example by encouraging women to participate in decision-making procedures and training.

1795

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— The Project is encouraged to offer vocational rehabilitation measures to all categories of disabled persons in order to promote work opportunities for disabled persons in accordance with the ILO Convention C159 "Vocational Rehabilitation and Employment (Disabled Persons) 1983.

1798

1799

— The Project is encouraged to designate an "equal opportunities or diversity officer" to oversee all equality activities in the Project;

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1801

E. Useful resources

1802

The following resources provide further guidance:

1803

— International Labour Organization (ILO) Convention 100 and 110

1804

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1807

— World Bank Group "Making Infrastructure Work for Women and Men – A review of World Bank Infrastructure Projects" 2010. Available: www.siteresources.worldbank.org/EXTSOCIALDEVELOPMENT/Resources/244362-1265299949041/6766328-1270752196897/Gender_Infrastructure2.pdf

1808

1809

F. References

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(Organisation for Economic Co-operation Development, 2007)

1811

(International Finance Corporation, 2012, S. 18-19, Para 11, 15, 16, 17)

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(International Labour Organization, 1951)

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(International Labour Organization, 1951)

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(International Labour Organization, 1960)

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(International Labour Organization, 1975)

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(International Labour Organization, 1949)

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(International Labour Organization, 1985)

1818

(International Organization for Standardization, 2014, S. Section 6.3.10.2, 6.4.3.2)

1819

(United Nations Office for Disaster Risk Reduction, 2015, S. 10. Para 7)

1820

S2.4 Forced Labour and Child Labour (MC)**(RED CRITERION)****A. Description of Requirements**

The Project, its Director Contractors, Sub Contractors and Primary Suppliers shall not resort to any form of forced labour or child labour during the life cycle of the Project and shall comply with all applicable national and international laws, including the national implementation of International Labour Organization (ILO) Fundamental Conventions C029 - Forced Labour (1930), C105 - Abolition of Forced Labour (1957), C138 - Minimum Age Convention (1973), C182 - Worst Forms of Child Labour Convention (1999) and ILO Recommendation R190 – Worst Forms of Child Labour. In particular, the Project and its Direct Contractors, Sub Contractors and Primary Suppliers shall ensure that no child under 18 or (in special circumstance depending on the country's context) 16 years of age is engaged in hazardous work (as defined by the ILO Recommendation 190 "Worst forms of child labour") that could put at risk their health and well-being, paying special attention to the girl child. The Project its Direct Contractors, Sub Contractors and Primary Suppliers shall not resort to modern slavery in any way and shall ensure (as much as their capacity permits) that no form of compulsory or forced labour was involved in the production of materials used for the construction and operation of the Project.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- Policy or statement against child labour and forced labour;
- Record of ages of all employees (anonymized);
- Relevant monitoring plans for employees under 18 years, for example, monitoring health, working conditions, hours of work and training provided.
- Each member state that has ratified the ILO convention 138 on Child Labour shall respect the minimum working age determined by the member state. In those countries where the working age is less than the age of completion of compulsory schooling (15 or at maximum 14 years), the Project shall provide authorisations, records or other proof that no child under 15 or 14 (depending on the country's special circumstances) is employed and that no child under 16 years of age is employed in "hazardous" work.
- Record of corrective actions established to remedy any risks or incidents related to child labour and forced labour;
- Records of audits done regarding the presence of working minors in the (construction/project) site;
- Contract clauses, tender documents and policies shared with Direct Contractors, Sub Contractors and Primary Suppliers which includes a "no child-labour" disclaimer, policy reference or similar..
- Depending on the country's special circumstances, Article 17 of the ILO Convention 029 regarding "Forced or Compulsory Labour for Works of Construction or Maintenance" shall be complied with.

C. Reporting

In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Results of auditing process, number of Direct	Annually, if	The Project

Contractors, Sub Contractors and Primary Suppliers relevant.
that have been audited in this regard and the results
of compliance.

1863
1864 **D. Voluntary practices for improved performance**

- 1865 — The Project is encouraged to make efforts to provide opportunities for vocational training for
1866 children under 18 years of age and to implement the necessary measures to identify, report and
1867 assist children in hidden work situations, particularly girls and other groups of children with
1868 special vulnerabilities.
- 1869 — The Project is encouraged to support the principles against modern slavery (for example as stated
1870 by the Government of the United Kingdom in its “Modern Slavery Strategy” 2014) by providing
1871 work opportunities to victims of modern slavery in order to support their reintegration into
1872 society.

1873
1874 **E. Useful resources**

1875 The following resources provide further guidance:

- 1876 — International Finance Corporation (IFC) Performance Standards on Environmental and Social
1877 Sustainability. Performance Standard 2: Par 21, 22, 27, 29
- 1878 — International Organization for Standardization (ISO) 26000 6.3.10.2, Box 7
- 1879 — International Labour Organization Conventions: C029, C077, C078, C105, C138, R146, C182, R190
- 1880 — International Labour Organization Protocol: P029 Art. 1, 2, 3, 4, 5, 6
- 1881 — U.K. Government, “Modern Slavery Strategy”, November 2014. Available:
1882 www.gov.uk/government/uploads/system/uploads/attachment_data/file/383764/Modern_Slavery_Strategy_FINAL_DEC2015.pdf
1883

1884
1885 **F. References**

- 1886 (Equitable Origin, 2012, S. 36)
- 1887 (International Finance Corporation, 2012)
- 1888 (International Labour Organization, 1998)
- 1889 (Sayeg, Starkey, & Huizenga, SLoCAT Results Framework on Sustainable Transport, 2014)
- 1890 (Sorg, 2015, S. LR04-05, LR16-18, HR19-22)
- 1891 (The Gold Standards Framework, 2017)
- 1892

1893 S2.5 Occupational Health & Safety (MC)

1894 A. Description of Requirements

1895 The Project, its Direct Contractors, Sub Contractors and Primary Suppliers shall provide a safe and healthy
 1896 working environment, in accordance with the ILO standards (International Labour Organization (ILO)
 1897 Convention “C167 Safety and Health in Construction” (1988)). The Project and its Direct Contractors, Sub
 1898 Contractors and Primary Suppliers shall develop and enforce an occupational safety and health (OSH) policy
 1899 and culture that includes “information, consultation and training” of all relevant stakeholders and
 1900 contributes to the protection of workers. The OSH Policy shall follow and enforce at least the minimum
 1901 requirements on the ILO Recommendation R053 on “Safety Provisions (Building)” and ILO C062 “Safety
 1902 Provisions (Building)” Technical Convention, in particular related to scaffolds, hoisting appliances, safety
 1903 equipment, first aid and other miscellaneous construction and building related issues. The Project shall
 1904 identify and assess risks and potential hazards relating to the project, type of infrastructure, location and
 1905 region. Preventive and protective measures shall be implemented during the design, construction operation
 1906 and decommissioning phases to minimise the causes of such hazards and prevent their occurrence as far as
 1907 reasonably practicable in order to prevent occupational injuries, diseases and deaths and ensure the
 1908 protection of workers. Any occupational accidents, diseases and incidents shall be documented and reported
 1909 in accordance with applicable laws and recognised standards. Particular attention shall be paid to the
 1910 protection of health and safety of workers who become active after an emergency or disaster has occurred.
 1911

1912 B. Evidence Requirements

1913 In order to demonstrate compliance, the Project shall provide the following evidence:

- 1914 — Occupational Safety and Health Policy which includes measures to prevent accidents, injury and
 1915 diseases caused by work;
- 1916 — Key Performance Indicators (KPIs) follow up such as annual rate of accident frequency with and
 1917 without sick leaves, annual rate of accident severity;
- 1918 — Training of workers (for instance, through annual rate of workers trained on Health and Safety
 1919 Issues);
- 1920 — Presence of one staff trained as emergency first-aiders and voluntary firemen/fire assistants for
 1921 every 50 staffs on site. Minimum one trained staff is required when the site has less than 50
 1922 staffs. In case of shift work, more people may need to be trained so that minimum number of
 1923 trained staffs are always present during working hours;
- 1924 — Posters, pamphlets, policy, guidelines on OSH;
- 1925 — OSH management system documentation;
- 1926 — Preventives and correctives actions and accountability (who is responsible for OSH);
- 1927 — In case accommodation is provided to the workers by the Project, the provision shall be proved to
 1928 be given without discrimination and the living environment shall be clean and sanitary.
 1929

1930 C. Reporting

1931 In order to maintain compliance, the Project shall report on the following:

1932 <u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
1933 Reporting on training made and improvements in	Annually	The Project

the OSH management system, policies implemented, frequency of site safety meetings, and number of OHS plans submitted.

Reporting on accidents, which include information about number of fatalities, days lost, non-injury incident, and near misses.

Implementation of corrective actions to improve OSH conditions.

1934

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D. Voluntary practices for improved performance

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- The Project is encouraged to follow the requirements stated in the ILO Convention number 13 “C013 White Lead (painting) convention 1921”, ensuring that white lead, sulphate of lead or products containing these pigments are not used (except in the form of paste or paint ready to use) on site. In case these products are used, instructions regarding usage and hygienic precautions shall be distributed to all workers.

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- The Project is encouraged to follow the requirements stated in the ILO Convention number 148 “C148 Working Environment (air, pollution, noise and vibration)”. The Project shall implement measures to prevent occupational hazards in the work environment related to air, pollution, noise and vibration and shall act in consultation with employer and workers representatives to verify the application of such measures.

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- The Project is encouraged to follow the requirements stated in the ILO Convention number 162 “C162 Asbestos Convention 1986”. The Project shall ensure that workers and employers comply with National Laws and regulations regarding the prevention and occupation hazards due to occupation exposure to asbestos. The Project is encouraged to replace asbestos by other materials or the use of alternative technologies, which are proven to be less harmful. In case asbestos or certain types of asbestos are used, the Project shall provide the necessary training and instruction regarding usage and hygienic precautions to all workers.

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- The Project is encouraged to offer complimentary opportunities to employees to promote good health. (e.g. reduced fee for sports clubs or similar; courses for good nutrition and well-being, etc.)

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E. Useful resources

1958

- G4 - GRI, pg. 45. Available at:

1959

- <https://www.globalreporting.org/resourcelibrary/GRI-G4-Construction-and-Real-Estate-Sector-Disclosures.pdf>

1960

1961

- International Finance Corporation, Performance Standards on Environmental and Social Sustainability, Performance Standard 2: Labor and Working Conditions, paragraphs 23, 28, and 29

1962

1963

- International Organization for Standardization (ISO) standard 26000 - Social Responsibility

1964

- ILO Convention 097 - Migration for Employment Convention (Revised), 1949 (No. 97), Article no.5

1965

- ILO Convention 102 - Social Security (Minimum Standards) Convention, 1952 (No. 102)

1966

- ILO Convention 155 - Occupational Safety and Health Convention, 1981 (No. 155)

- 1967 — ILO Convention 161 - Occupational Health Services Convention, 1985 (No. 161)
- 1968 — ILO Recommendation 97 - Protection of Workers' Health Recommendation, 1953 (No. 97)
- 1969 — ILO Recommendation 102 - Welfare Facilities Recommendation, 1956 (No. 102)
- 1970 — ILO Recommendation 164 - Occupational Safety and Health Recommendation, 1981 (No. 164)
- 1971 — ILO Recommendation 171 - Occupational Health Services Recommendation, 1985 (No. 171)
- 1972 — ILO Protocol 155 - Protocol of 2002 to the Occupational Safety and Health Convention, 1981
- 1973 — ILO Guidelines on occupational safety and health management systems. Available:
1974 [www.ilo.org/wcmsp5/groups/public/@ed_protect/@protrav/@safework/documents/normativei](http://www.ilo.org/wcmsp5/groups/public/@ed_protect/@protrav/@safework/documents/normativeinstrument/wcms_107727.pdf)
1975 [nstrument/wcms_107727.pdf](http://www.ilo.org/wcmsp5/groups/public/@ed_protect/@protrav/@safework/documents/normativeinstrument/wcms_107727.pdf)
- 1976 — “OHS Performance Measurement in the Construction Industry” by the Government of Australia.
1977 Available:
- 1978 — www.safeworkaustralia.gov.au/sites/SWA/about/Publications/Documents/133/OHSPerformance
1979 [Measurement_Construction_PPIS_1996_ArchivePDF.pdf](http://www.safeworkaustralia.gov.au/sites/SWA/about/Publications/Documents/133/OHSPerformance)

1980

1981 **F. References**

- 1982 (Global Reporting Initiative, 2014, S. 45)
- 1983 (International Finance Corporation, 2012)
- 1984 (International Finance Corporation, 2012, S. Performance Standard 2. Para 23, 28, 29)
- 1985 (International Labour Organization, 1949)
- 1986 (International Labour Organization, 1981)
- 1987 (International Labour Organization, 1956)
- 1988 (International Labour Organization, 1981)
- 1989 (International Labour Organization, 1985)
- 1990 (International Labour Organization, 1985)
- 1991 (International Labour Organization, 1953)
- 1992 (International Labour Organization, 2002)
- 1993 (International Labour Organization, 1952)
- 1994 (International Labour Organization, 2009)
- 1995 (International Labour Organization, 1921)
- 1996 (International Labour Organization, 1977)
- 1997 (International Labour Organization, 1986)
- 1998 (International Labour Organization, 1988)
- 1999 (International Labour Organization, 1937)
- 2000 (International Labour Organization, 1937)
- 2001 (International Organization for Standardization, 2014)
- 2002 (Health and Safety Executive, 2014)
- 2003 (National Occupational Health & Safety Commission, 1999)
- 2004 (United Nations Office for Disaster Risk Reduction, 2015, S. 19. Para 30e)
- 2005

S2.6 Employee Grievance Mechanism (MC)

A. Description of Requirements

The Project 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 and international standards such as the International Labour Organization (ILO) Recommendation 130.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- Existence of a grievance mechanism procedure;
- Information provided to the workers about the existence of this grievance mechanism and the possibility to access it in an anonymous way;
- Anonymized record of workers claims and complaints addressed;
- Transparency of the process and provision of a timely feedback.

C. Reporting

In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Any changes to the grievance mechanism procedure and policies.	Annually, if relevant	The Project
Reporting on the number of complaint versus number of complaints resolved and the procedures of handling complaints.		

D. Voluntary practices for improved performance

The Project is encouraged to involve a neutral third party for complaints resolution in the event that a consensus is not reached using internal complaint resolution procedures or in the event that there is a conflict of interest between the concerned parties.

E. Useful resources

- International Finance Corporation (IFC), Performance Standards on Environmental and Social Sustainability, Performance Standard 2: Labour and Working Conditions, paragraph 20
- ILO Recommendation 130 - Examination of Grievances Recommendation, 1967 (No. 130)

F. References

(Equitable Origin, 2012, S. 42 (3.8))
 (International Finance Corporation, 2012, S. 19-20, Para 20)
 (International Labour Organization, 1967)
 (Long Term Infrastructure Investors Association, 2017)

2041 **S2.7 Working Hours and Leave (MC)**

2042 **A. Description of Requirements**

2043 The Project shall respect fair working hours, rest days and legally mandated leave throughout the Project's
 2044 lifecycle in accordance with applicable national and international law, as well as recognised Good
 2045 International Industry Practice (GIIP) (for example, the International Labour Organization (ILO) standards on
 2046 working time).

2047 **B. Evidence Requirements**

2048 In order to demonstrate compliance, the Project shall provide the following evidence:

- 2049 — Relevant clause in the employment policy detailing working hours and weekly rest (working hours
 2050 not exceeding 48 hours a week on a regular basis, and overtime limited to 12 hours a week on a
 2051 voluntary basis);
- 2052 — Establishment of daily and weekly working hours limits;
- 2053 — Weekly rest record of workers;
- 2054 — Working hours should be in compliance with national and international laws and regulations;
- 2055 — Conditions on working hours, holidays, rest days, night work, part-time and leave shall follow the
 2056 national law that is in line with ILO conventions and International Labour Standards on Working
 2057 Times.

2058 **C. Reporting**

2059 No periodic reporting is required for this criterion except when a change occurs which may threaten
 2060 compliance as specified above.

2061 **D. Voluntary practices for improved performance**

2062 **E. Useful resources**

- 2063 — ILO Convention 001 - Hours of Work (Industry) Convention, 1919 (No. 1)
- 2064 — ILO Convention 014 - Weekly Rest (Industry) Convention, 1921 (No. 14)
- 2065 — ILO Convention 001 - Hours of Work (Industry) Convention, 1919 (No. 1)
- 2066 — ILO Convention 029 - Forced Labour Convention, 1930 (No. 29), Article 12, 13 and 18
- 2067 — ILO Convention 030 - Hours of Work (Commerce and Offices) Convention, 1930 (No. 30)
- 2068 — ILO Convention 132 - Holidays with Pay Convention (Revised), 1970 (No. 132)
- 2069 — ILO Convention 158 - Termination of Employment Convention, 1982 (No. 158)
- 2070 — ILO Convention 171 - Night Work Convention, 1990 (No. 171)
- 2071 — ILO Recommendation 098 - Holidays with Pay Recommendation, 1954 (No. 98)
- 2072 — ILO Recommendation 103 - Weekly Rest (Commerce and Offices) Recommendation, 1957 (No.
 2073 103)
- 2074 — ILO Recommendation 116 - Reduction of Hours of Work Recommendation, 1962 (No. 116)
- 2075 — ILO Recommendation 166 - Termination of Employment Recommendation, 1982 (No. 166)

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2081 — ILO Recommendation 178 - Night Work Recommendation, 1990 (No. 178)

2082 — ISO 26000 – Social Responsibility

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2084 **F. References**

2085 (Equitable Origin, 2012, S. 43)

2086 (International Finance Corporation, 2012)

2087 (International Labour Organization, 1996-2017)

2088 (International Labour Organization, 1919)

2089 (International Labour Organization, 1930)

2090 (International Labour Organization, 1957)

2091 (International Labour Organization, 1921)

2092 (International Labour Organization, 1970)

2093 (International Labour Organization, 1982)

2094 (International Labour Organization, 1990)

2095 (International Labour Organization, 1930, S. Para. 12, 13, 18)

2096 (International Labour Organization, 1954)

2097 (International Labour Organization, 1982)

2098 (International Labour Organization, 1957)

2099 (International Labour Organization, 1962)

2100 (International Labour Organization, 1990)

2101 (International Labour Organization, 1996-2017)

2102 (International Organization for Standardization, 2014)

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S2.8 Fair Wages and Access to Employee Documentation (MC)

A. Description of Requirements

The Project shall pay all workers a fair wage, 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. The Project shall apply the principle of equal remuneration for men and women workers for work of equal value. 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 International Labour Organization (ILO) Fundamental Convention C100 - Equal Remuneration (1951).

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- Remuneration policy, which respects the local law and meets the local minimum wage. If there is no local minimum wage or the local minimum wage is too low, the Project shall refer to the best possible calculation of living wage in the area;
- Remuneration policy, which states that the Project upholds and apply the requirements of the ILO Convention C100 on Equal Remuneration for men and women workers for equal value work.
- Record of all wages paid;
- Evidence that: (i) Payment of wages is made on a regular and pre-determined basis, by bank transfer or in cash or cheque form, in a manner and location convenient to the employees; (ii) all payments are accompanied by a wage slip which clearly details wage rates, benefits and deductions where applicable; (iii) employees are not forced to buy provisions from businesses or facilities owned by the Project; (iv) obligations to employees under applicable law relating to labour or social security arising from the regular employment relationship are not avoided through the use of labour-only contracting, subcontracting, or homeworking arrangements; or through apprenticeship schemes where there is no real intent to impart skills or provide regular employment; or through the excessive use of fixed-term contracts of employment;
- Easy and free access for workers to their personal employee documentation at any time and without the need to give a reason;

C. Reporting

No periodic reporting is required for this criterion except when a change occurs which may threaten compliance as specified above.

D. Voluntary practices for improved performance

The Project is encouraged to promote the objective appraisal of jobs regarding the work to be performed. Differential rates or wages between workers which corresponded to the objective appraisal (regardless of sex) shall not be considered against the principle of equal remuneration for men and women workers for work of equal value.

E. Useful resources

- ILO Convention 029 - Forced Labour Convention, 1930 (No. 29), Article 14 and 15
- ILO Convention 085 - Labour Inspectorates (Non-Metropolitan Territories) Convention, 1947 (No. 85)

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- 2149 — ILO Convention 095 - Protection of Wages Convention, 1949 (No. 95)
- 2150 — ILO Convention 100 - Equal Remuneration Convention, 1951 (No. 100)
- 2151 — ILO Convention 130 - Medical Care and Sickness Benefits Convention, 1969 (No. 130)
- 2152 — ILO Convention 135 - Workers' Representatives Convention, 1971 (No. 135)
- 2153 — International Organization for Standardization (ISO) 26000 – Social Responsibility

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F. References

- 2155 (ARUP, 2014)
- 2156 (Equitable Origin, 2012, S. 44-45 (3.10))
- 2157 (International Labour Organization, 1930)
- 2158 (International Labour Organization, 1949)
- 2159 (International Labour Organization, 1951)
- 2160 (International Labour Organization, 1970)
- 2161 (International Labour Organization, 1949)
- 2162 (International Labour Organization, 1951)
- 2163 (International Labour Organization, 1967)
- 2164 (International Labour Organization, 1970)
- 2165 (International Organization for Standardization, 2014)
- 2166 (ISEAL Alliance, 2014)
- 2167 (De Werna Magalhaes, 2016)
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2170 **S2.9 Retrenchment (MC)**

2172 **A. Description of Requirements**

2173 The Project shall implement retrenchment at any time during the life cycle of the Project as a last resort and
2174 in the absence of any viable alternative. The Project shall carry out all retrenchments without discrimination,
2175 in accordance with contractual requirements and in compliance with applicable national and international
2176 laws. Adequate retrenchment procedures shall be established from the start of the Project and cover
2177 notification and compensation (including severance and benefits) in accordance with applicable laws and
2178 Good International Industry Practice (GIIP).

2180 **B. Evidence Requirements**

2181 In order to demonstrate compliance, the Project shall provide the following evidence:

- 2182 — Retrenchment policies and procedures are made available either as inclusion in the employment
2183 contract or employee handbook of the Project.
- 2184 — In all instances, regardless of whether retrenchment has occurred, retrenchment policies and
2185 procedures shall be in place that ensure the following evidence would be available in the event of
2186 retrenchment:
 - 2187 a) Absence of viable alternatives to retrenchment;
 - 2188 b) Dialogue with workers, their organisations and the government (if appropriate);
 - 2189 c) Compliance with all legal requirements (for example, notice of dismissal, wages and
2190 compensation of workers dismissed);
 - 2191 d) Retrenchment and fair compensation given in a timely manner to employees and
2192 workers.

2194 **C. Reporting**

2195 No periodic reporting is required for this criterion except when a change occurs which may threaten
2196 compliance as specified above.

2198 **D. Voluntary practices for improved performance**

2200 **E. Useful resources**

- 2201 — International Finance Corporation, Performance Standards on Environmental and Social
2202 Sustainability, Performance Standard 2: Labour and Working Conditions, paragraph 18 and 19
- 2203 — ILO Convention 158 - Termination of Employment Convention, 1982 (No. 158)
- 2204 — ILO Recommendation 166 - Termination of Employment Recommendation, 1982 (No. 166)

2206 **F. References**

2207 (International Finance Corporation, 2012)
2208 (International Labour Organization, 1982)

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Theme S3: Customer Focus and Inclusiveness

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2227 The Project development and/or operation shall not impact negatively the community residing in the
2228 vicinity, including indigenous people and historically disadvantaged groups. When avoidance is not
2229 achievable, the mitigation hierarchy (minimisation, restoration, compensation) shall be applied.
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S3.1 Minorities and Indigenous People (MC)**(RED CRITERION)****A. Description of Requirements**

When the Project is implemented in contexts in which minorities and indigenous people are identified as marginalised and vulnerable, and are impacted by the Project's activities, the Project shall consult with these groups during the design and construction phases of the Project regarding the project design and anticipated impacts to ensure that their local knowledge and practices are taken into account and to obtain their Free, Prior and Informed Consent (FPIC). This includes cases where the Project is on, or may affect, land or resources traditionally owned or under the customary use of such indigenous people or minorities. Any adverse impacts upon these groups shall be promptly identified and remedies shall be proposed in accordance with the mitigation hierarchy. The Project shall ensure that these groups participate in the formulation, implementation and evaluation of the planned Project if it affects them directly and that the people from the Affected Communities are involved in the studies carried out to assess the social, spiritual, cultural and environmental impact of the planned activities. Ultimately, the Project shall provide overall benefit to the Affected Communities.

In cases where the management of marginalised and vulnerable indigenous or minority groups is a government responsibility, the Project shall ensure that the level of management is consistent with the SuRe® Standard and shall collaborate with the responsible government or provide the government with additional support if necessary to achieve this.

In cases where the Project can demonstrate that it does not impact indigenous people or minorities who are considered marginalised and vulnerable, there are no further requirements for this criterion.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- Implementation, and documentation of the process of Informed Consultation and Participation (ICP) and engagement; and evidence of FPIC where relevant; a description of the government-provided entitlements of affected Indigenous Peoples; the measures proposed to bridge any gaps between such entitlements and SuRe® requirements; and the financial and implementation responsibilities of the government agency and/or the Project.
- List of communities of Indigenous People and Minority Groups identified through environmental Impact Assessment (EIA) or Social Impact Assessment (SIA), within the project area of influence who may be affected by the Project;
- Studies and documentation to assess the social, spiritual, cultural and environmental impact of the planned activities of the Project in the Affected Communities and which show the concerned peoples' participation.
- Information of the Affected Communities of Indigenous People of their land rights;
- Assessment of the land and natural resource use by the Affected Communities of Indigenous People and documents which shows that efforts have been made to avoid or minimise the impact on this land;
- The compensation plan shall include as the minimum, the requirements under International Finance Corporation (IFC) PS7, Paragraph 14 and 19

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C. Reporting

No periodic reporting is required for this criterion except when a change occurs which may threaten compliance as specified above.

D. Voluntary practices for improved performance

E. Useful resources

F. References

(Equitable Origin, 2012, S. 46)
(International Finance Corporation, 2012)
(International Finance Corporation, 2012, S. 47-52)
(International Labour Organization, 1989)
(Sayeg, Starkey, & Huizenga, Results Framework on Sustainable Transport, 2014)
(United Nations Office for Disaster Risk Reduction, 2015, S. 14-15) (United Nations Office for Disaster Risk Reduction, 2015, S. 14-15)

S3.2 Resettlement (MC)**(RED CRITERION)****A. Description of Requirements**

The Project shall commit to avoid wherever possible the involuntary resettlement of affected communities, including indigenous people during the construction phase of the Project. The Project shall avoid or minimise physical and economic displacement by considering alternative project designs, and shall make design decisions that balance environmental, social and financial costs and benefits. Where resettlement is unavoidable, the Project 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.

In cases where resettlement procedures are a government responsibility, the Project shall ensure that the level of resettlement procedure is consistent with the SuRe® Standard and will provide the government with additional support if necessary to achieve this.

In cases where the Project can demonstrate that resettlement is not required, there are no further requirements for this criterion.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- Consideration of alternative design to avoid resettlement;
- Engagement plan with Affected Communities (incl. grievance mechanism);
- The implementation of the Resettlement Action Plan (for physical displacement) or Livelihood Restoration Plan (for Economic displacement) shall comply with the requirements of International Finance Corporation (IFC) Performance Standard 5, Paragraphs 12 – 29;
- Procedures to manage and evaluate implementation of the Resettlement Action Plan (for example by hiring competent professionals);
- Documentation of all transactions to acquire land rights as well as compensation measures.

C. Reporting

No periodic reporting is required for this criterion except when a change occurs which may threaten compliance as specified above.

D. Voluntary practices for improved performance**E. Useful resources**

The following resources provide further guidance:

- International Finance Corporation (IFC) Performance Standards on Environmental and Social Sustainability, Performance Standard 5: Land Acquisition and Involuntary Resettlement (2012).

F. References

- (Equitable Origin, 2012, S. 32 (2.9))
- (The Gold Standards Framework, 2017)
- (International Association for Impact Assessment, 2015)
- (International Federation of Consulting Engineers, 2012)
- (International Finance Corporation, 2012)

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2335 (ISEAL Alliance, 2015)

2336 (United Nations Educational, Scientific and Cultural Organization, 1972)

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S3.3 Cultural Heritage (MC)**A. Description of Requirements**

The Project shall comply with applicable law on the protection of cultural heritage throughout the life cycle of the Project, particularly during the construction phase of the Project. Applicable law includes the host country's obligation under the Convention Concerning the Protection of the World Cultural and Natural Heritage. Any risk of impacts on (or findings of previously undiscovered) cultural heritage and complication to the accessibility of the local people to the site shall be promptly identified and assessed by qualified professionals. Where such risks exist, the Project shall explore alternatives to project design and execution and Informed Consultation and Participation (ICP) method will be used to consult with affected communities on appropriate courses of action. Such engagement shall be properly documented and reported upon as appropriate and shall enable a fair and equal distribution of benefits generated from the commercialization of such knowledge innovation and practices.

The plan for commercialisation of the cultural heritage, knowledge, innovations and practices of the Indigenous People must first obtain approval from those affected communities with relevant laws and consequences of the development properly studied and communicated. The Project shall inform the communities of their rights under national law, the scope and nature of the proposed commercial development and the potential consequences of such development.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- Identification process of cultural heritage and chance finds procedure (including through experts);
- Procedures to remove replicable and non-replicable cultural heritage if unavoidable;
- Identification of legally protected cultural heritage areas;
- Result of the Informed Consultation and Participation (ICP) with the Affected Community on the use and the impact to their cultural heritage.

C. Reporting

No periodic reporting is required for this criterion except when a change occurs which may threaten compliance as specified above.

D. Voluntary practices for improved performance**E. Useful resources****F. References**

- (ARUP, 2014)
- (Equitable Origin, 2012, S. 48-49)
- (The Gold Standards Framework, 2017)
- (International Finance Corporation, 2012, S. 53-56)
- (ISEAL Alliance, 2015)
- (United Nations Educational, Scientific and Cultural Organization, 1972)

2382 **S3.4 Decommissioning and Legacy: Risks to Future Generations (MC)**

2384 **A. Description of Requirements**

2385 The Project shall consider the interests of future as well as present generations throughout the life cycle of
 2386 the Project. The Project shall assess, and make relevant provisions to address any major health and safety
 2387 issues (for example, in relation to hazardous waste and natural or man-made disasters) and other adverse
 2388 impact on natural resources, which could arise from the infrastructure over time including after its useful
 2389 life. If relevant, the Project shall have adequate processes in place to comply with its obligations related to
 2390 the decommissioning of the infrastructure.

2392 **B. Evidence Requirements**

2393 In order to demonstrate compliance, the Project shall provide the following evidence:

2394 A decommissioning plan which includes the following:

- 2395 — Process of decommissioning which has been reviewed through multi-stakeholder process;
- 2396 — Appointment of a Decommissioning Manager (if applicable);
- 2397 — Clear responsibilities and the roles of people who will be involved in the decommissioning work;
- 2398 — Quality Assurance of the decommissioning work which includes the possible environmental and
 2399 social impact;
- 2400 — Cost of the decommissioning has been estimated and funding for the decommissioning work is
 2401 secured;
- 2402 — Necessary license needed for decommissioning including waste management is available or can
 2403 be obtained;
- 2404 — Compliance to national waste management requirements.

2406 **C. Reporting**

2407 In order to maintain compliance, the Project shall report on the following:

2408 <u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Changes to legislation or regulations of waste management, introduction of new technology used during decommissioning and involved parties for decommissioning.	Annually, if relevant.	The Project

2410 **D. Voluntary practices for improved performance**

- 2411 — The Project Entities is encouraged to consider integrating disaster risk reduction measures into
 2412 the project in regards to the rehabilitation and reconstruction phases of the Project, including
 2413 practices such as “Build Back Better” as stated by the Sendai Framework.
- 2414 — The project is encouraged to evaluate the possibility of reusing project facilities for the benefit of
 2415 the local communities (for instance Project site offices could be turned into health centres or
 2416 schools)

2418 **E. Useful resources**

2420 **F. References**
2421 (United Nations Office for Disaster Risk Reduction, 2015)
2422 (Sendai Framework, 2015)
2423

2424 **S3.5 Management of Public Health and Safety Risks (MC)** **(RED CRITERION)**

2426 **A. Description of Requirements**

2427 The Project shall evaluate all potential risks and impacts to the health and safety of the affected
 2428 communities and general public during the Project's life cycle. Where such risks and associated negative
 2429 impacts are identified, the Project shall establish preventive control and contingency measures consistent
 2430 with good international industry practice (GIIP). The Project shall identify risks and impacts and propose
 2431 mitigation measures that are commensurate with their nature and magnitude. Such measures should favour
 2432 the avoidance of risks and impacts over minimisation. Where avoidance is not feasible, the Project shall
 2433 mitigate all potential risks and impacts to the health and safety of the affected communities through the
 2434 Project's life cycle.

2435 The following aspects should be carefully considered where relevant, and documented accordingly:

- 2436 a) Infrastructure and equipment design and safety;
- 2437 b) Hazardous materials management and safety;
- 2438 c) Exposure to diseases;
- 2439 d) Emergency preparedness and response in line with applicable SuRe® requirements G2.3 Resilience
 2440 Planning and G2.4 Emergency Response Preparedness.

2441 NOTE: Projects that use technology or materials that could conceivably lead to mass destruction of population or the
 2442 environment shall not meet this criterion.

2444 **B. Evidence Requirements**

2445 In order to demonstrate compliance, the Project shall provide the following evidence:

- 2446 — Assessment of the risks to public health and safety
- 2447 — Procedures to monitor health of the local community
- 2448 — Provision of medical services to the local community

2450 **C. Reporting**

2451 No periodic reporting is required for this criterion except when a change occurs which may threaten
 2452 compliance as specified above.

2454 **D. Voluntary practices for improved performance**

2456 **E. Useful resources**

2458 **F. References**

- 2459 (Equitable Origin, 2012, S. 33)
- 2460 (International Federation of Consulting Engineers, 2012)
- 2461 (The Gold Standards Framework, 2017)
- 2462 (Hargroves, 2014)
- 2463 (Infrastructure Sustainability Council of Australia, 2016, S. Hea-3)
- 2464 (International Federation of Consulting Engineers, 2012)
- 2465 (International Finance Corporation, 2012)
- 2466 (ISEAL Alliance, 2015)
- 2467 (Sakamoto & Véron-Okamoto, 2014)

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2468 (Sayeg, Starkey, & Huizenga, SLoCAT Results Framework on Sustainable Transport, 2014)
2469 (United Nations Office for Disaster Risk Reduction, 2015, S. 21) (United Nations Office for Disaster Risk
2470 Reduction, 2015, S. 21)
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Theme S4: Community Impact

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

S4.1 Physical Accessibility (MC)**A. Description of Requirements**

The Project shall ensure that the Project 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. Such considerations shall be made as early as possible, in the design phase of the project, and their effects monitored during the operation phase.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- The Project has taken reasonable measures to identify relevant accessibility needs (for example by conducting surveys, focus groups with intended users), and has employed adequate accessibility features to cater for these needs (for example by adding adequate access features such as ramps for all users with mobility restrictions, etc.).

C. Reporting

No periodic reporting is required for this criterion except when a change occurs which may threaten compliance as specified above.

D. Voluntary practices for improved performance**E. Useful resources****F. References**

(International Finance Corporation, 2012)

(Global Infrastructure Basel Foundation, 2016)

(Robinson, 2016)

(Sayeg, Starkey, & Huizenga, 2014)

(UN Habitat, 2017)

2525 **S4.2 Provision of Basic Infrastructure Services (PC)**

2527 **A. Description**

2528 The Project shall directly or indirectly improve access to basic infrastructure services, and shall be aligned
2529 with the city, regional and/or community development objectives. For the purposes of this criteria, basic
2530 infrastructure services include provision of: water, waste, transport, energy, education, health or approved
2531 alternative services.

2533 **B. Performance Level 1**

2534 The Project is able to demonstrate that it is aligned with city, regional and/or community development
2535 objectives, where they formally exist. The Project is also able to demonstrate that it has directly provided
2536 access to a basic infrastructure service, where this service was previously not accessible or was
2537 unsatisfactory. For example, the Project has provided electricity to new homes, which previously had no
2538 electricity or intermittent supply.

2539 NOTE: Guidance material for definition of satisfactory basic infrastructure services is provided in the SuRe® Glossary.

2541 **C. Performance Level 2**

2542 In addition to the Performance Level 1 requirements, the Project is able to demonstrate that it indirectly
2543 enables access to one additional basic infrastructure service, where this service was previously not accessible
2544 or was unsatisfactory.

2546 **D. Performance Level 3**

2547 In addition to Performance Level 2 Requirements, the Project is able to demonstrate that it indirectly
2548 enables access to two or more additional basic infrastructure services, where these services were previously
2549 not accessible or were unsatisfactory.

2551 **E. Required Indicators**

- 2552 — No. of people with new access to a basic service as a direct result of the Project, who previously
2553 had no access to this service;
- 2554 — No. of people with improved access to a basic service as a direct result of the Project, who
2555 previously had unsatisfactory access to this service;
- 2556 — No. of people with new access to a basic service as an indirect result of the Project, who
2557 previously had no access to this service;
- 2558 — No. of people with improved access to a basic service as an indirect result of the Project, who
2559 previously had unsatisfactory access to this service.

2561 **F. Voluntary Practices for Improved Performance**

2563 **G. Useful Resources**

2565 **H. References**

2566 (European Commission, 2016)

2567 (United Nations Economic and Social Council, 2016)

2569 **S4.3 User Affordability (MC)**

2570 **A. Description of Requirements**

2571 The Project shall provide services using an inclusive pricing structure to increase accessibility and
2572 affordability for all, considering the needs of disadvantaged groups including low-income and poorer groups.
2573 The Project shall conduct a poverty impact assessment (this may be a part of the Project's Social Impact
2574 Assessment), including an assessment of ability-to-pay. The Project shall identify, implement and monitor
2575 measures to improve affordability to low-income and poorer groups. The project shall define and monitor
2576 indicators for effective access, as compared to nominal access (for example, No. people actually using a
2577 service, as opposed to No. people with physical access to a service but inability to afford service fees).
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2580 NOTE: For definitions on nominal and effective access, please refer to the SuRe® Glossary.

2581 **B. Evidence Requirements**

2582 In order to demonstrate compliance, the Project shall provide the following evidence:

- 2583 — Documented poverty impact assessment;
- 2584 — Documented evidence that the measures above have been complied with;
- 2585 — Evidence of on-going monitoring against defined indicators for effective access.

2586 **C. Reporting**

2587 No periodic reporting is required for this criterion except when a change occurs which may threaten
2588 compliance as specified above.

2589 **D. Voluntary Practices for Improved Performance**

2590 The Project is encouraged to investigate alternative measures to increase affordability and effective access,
2591 such as tiered pricing structures, or versatile payment options that meet the needs of disadvantaged groups,
2592 for example, mobile payment, e-payment booths, or pre-payment options as appropriate.
2593

2594 **E. Useful Resources**

2595 **F. References**

2596 (Penelope Brook, 2001)

2597 (Gulyani, 2016)

2603 **S4.4 Delivery of Public Health and Safety Benefits (PC)**

2604 **A. Description**

2605 The Project shall measure direct and/or indirect benefits to the public health and safety as a result of the
 2606 Project's activities. Benefits to public health and safety include but are not limited to: improved access to
 2607 medical services, improved sanitation facilities, decrease of crime rates, decreased traffic accidents,
 2608 decreased risk of exposure to harmful waste, decreased risk of natural hazards.

2609 **B. Performance Level 1**

2610 The Project can quantify an improvement of the health and safety of the community and population directly
 2611 impacted by its activities as compared to Good International Industry Practice (GIIP) and previous situation
 2612 without the Project.

2613 **C. Performance Level 2**

2614 In addition to the Level 1 requirements, the Project proactively monitors and evaluates its impact upon
 2615 public health and safety of local communities, including a review of monitoring data, and re-evaluation at
 2616 least every 5 years.

2617 **D. Performance Level 3**

2618 In addition to the Level 2 requirements, the Project contributes to public health and safety beyond the direct
 2619 scope of the project's primary service delivery, based on an assessment of the public health and safety needs
 2620 of the community. For example, the project may deliver public health and safety benefits through by funding
 2621 a mobile health clinic, or delivering community training on water and sanitation practices.

2622 **E. Required Indicators**

2623 The project shall define indicators relevant to its context, including quantification of the number of people
 2624 for which public health and safety has been improved, and the extent to which it has been improved. Where
 2625 possible, this data should be disaggregated by age and gender. For example, the Project may report on:

- 2626 — Percentage of the population in the community that have access to medical services as a direct or
 2627 indirect result of the Project;
- 2628 — Improved sanitation facilities (Percentage of urban and rural population with access to sanitation
 2629 facilities);
- 2630 — Health expenditure per capita (in the community);
- 2631 — % decreased of mortality rate;
- 2632 — No. avoided public health incidents due to the Project.

2633 **F. Voluntary Indicators for Improved Performance**

2634 **G. Useful Resources**

2635 **H. References**

2636 (United Nations, 2017, S. 14-16)

2637 (World Bank , 2017)

2638 (Marieke Verschuuren, 2013)

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Theme S5: Socioeconomic Development

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2666 The Project shall create long-term benefits for the socio-economic development and improvement of quality
2667 of life of local communities.
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2669 **S5.1 Direct Employment and Training (PC)**

2671 **A. Description**

2672 The Project shall hire people from the local communities as workers, professionals and in managerial
 2673 positions during construction and operation of the Project. The Project shall favour suppliers that provide
 2674 local employment. The Project shall support positive skill, technology and capability transfer and
 2675 development of all staff (including local staff) and the wider communities in the form of training, workshops,
 2676 or other activities.

2678 **B. Performance Level 1**

2679 The Project satisfies all of the following:

- 2680 — At least 60% of overall workforce is local;
- 2681 — At least 70% of supplier purchase costs are coming from local suppliers;
- 2682 — At least 50% of these 70% of purchase costs are coming from suppliers which hire a majority of
 2683 local workforce;
- 2684 — At least 10% of professional positions are held by local female staff.

2686 **C. Performance Level 2**

2687 The Project satisfies together all of the following:

- 2688 — At least 70% of overall workforce is local;
- 2689 — At least 70% of supplier purchase costs are coming from local suppliers;
- 2690 — At least 50% of these 70% of purchase costs are coming from suppliers which hire a two thirds of
 2691 local workforce;
- 2692 — It has established a local training programme to train local community members;
- 2693 — At least 20% of professional positions are held by local female staff.

2695 **D. Performance Level 3**

2696 The Project Entities satisfies together all of the following:

- 2697 — At least 80% of overall workforce is local;
- 2698 — At least 70% of supplier purchase costs are coming from local suppliers;
- 2699 — At least 70% of the 70% of purchase costs are coming from suppliers which hire a 2/3 of local
 2700 workforce;
- 2701 — It has established a local training programme to train local community members;
- 2702 — At least 30% of professional positions are held by local female staff.

2704 **E. Required Indicators**

- 2705 — Percentage of hired staff that is local (FTE (full time equivalent/year), disaggregated by gender);
- 2706 — Number of hours of training per year per employee (including managers and workers)
 2707 disaggregated by gender and by local community staff OR average amount of money spent per
 2708 employee on training and development;

- 2709 — Percentage of staff in formal and informal contracts, disaggregated by gender and by nationality;
- 2710 — Number of youth and adults in the community that participated in any form of training or
- 2711 education in the previous 12 months, offered by the Project (disaggregate by gender). (Adapted
- 2712 from Sustainable Development Goals indicator 4.3.1).

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2714 **F. Voluntary Practices for Improved Performance**

2715 The Project should take additional measures to improve hiring and training local staff, for example by:

- 2716 — The Project should limit the number of temporary contracts;
- 2717 — The Project should encourage hiring of female local staff for management positions;
- 2718 — The Project should implement other forms of empowerment for local women (such as exclusive
- 2719 trainings tailored to the needs of the community);
- 2720 — The Project should make available all documents and job advertisements are made readily
- 2721 available in local language and distributed through local channels;
- 2722 — The Project should offer opportunities for skills and knowledge transfer to the community in the
- 2723 form of apprenticeships for the local population or other programs for skill development;
- 2724 — The Project should use innovative technology solutions to offer training.

2725

2726 **G. Useful Resources**

- 2727 — International Labour Organization (ILO 195), Human Resources Development Recommendation,
- 2728 (2004)
- 2729 — Bersin by Deloitte, Corporate Learning Factbook 2015: Benchmarks, Trends, and Analysis of the
- 2730 U.S. Training Market

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2732 **H. References**

2733 (International Labour Organization, 2004)

2734 (Bersin by Deloitte , 2015)

2735 (United Nations, 2017)

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S5.2 Indirect/direct Economic Development Enabled by the Project (PC)**A. Description**

The 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, growth and development of local economic activities through access to infrastructure and related services, as well as technology transfer and capacity building, and involvement of local Small and Medium Enterprises (SMEs) during construction and operation of the Project.

B. Performance Level 1

The project has assessed local development plans, and contributes positively to the achievement of local development objectives.

C. Performance Level 2

The Project can demonstrate that it significantly improves productivity in the local community, for example by building capacity and skills in the local workforce, creating more jobs in comparison to a pre-Project scenario.

D. Performance Level 3

In addition to Performance Level 2 requirements, the Project can demonstrate that it significantly improves the business environment in the local and surrounding communities to its Project site; for example by bringing more Foreign Direct investment (FDI) to the community, creating more jobs in the community besides those directly created by the Project's operations.

E. Required Indicators

- Number of Small and Medium Enterprises (SME) or start-ups for which the Project has provided an enabling service, or existing SMEs which have increased their business due to the services provided by the Project;
- Number of jobs created (direct and indirect);
- % increased contribution to the local economy (e.g. Gross Domestic Product (GDP) or Gross National Profit (GNP))

F. Voluntary Practices for Improved Performance**G. Useful Resources****H. References**

(Global Infrastructure Basel Foundation, 2016)

2776 **S5.3 Gender Equality and Women Empowerment (MC)**

2777 **A. Description of Requirements**

2778 The Project Owner shall mainstream gender equality into infrastructure design, planning construction,
2779 decommissioning and provision of services in line with Good International Industry Practice (GIIP) and
2780 respecting the *Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW)*.

2781 The Project shall conduct an analysis on gender equality as part of (or separate from) its Social Impact
2782 Assessment (SIA) using appropriate tools (such as the Harvard Gender Analysis Framework) in order to
2783 identify how the resources, facilities, and infrastructure services impact and will be used by all stakeholders;
2784 with special care to address the needs of and impacts upon women and other sensitive groups such as
2785 lesbian gay bisexual trans or queer (LGBTQ) individuals. The Project shall develop and implement a Gender
2786 Action Plan (GAP) to address the negative effects of the infrastructure and positive opportunities for gender
2787 mainstreaming and results in gender responsive infrastructure.

2788 As part of the Project's GAP to mainstream gender, the Project shall, at a minimum:

- 2789 a) Ensure women, LGBTQ individuals and other sensitive groups are fairly represented in Project
2790 consultations with the community and among the Project team.
- 2791 b) Adapt the infrastructure design and services to eradicate (or if not possible, mitigate) negative
2792 effects of the Project on women and other sensitive groups (for example, by considering the travel
2793 patterns of women and their higher risk to violence in isolated or poorly lit areas, or designing for
2794 persons with special needs);
- 2795 c) Identify opportunities for empowering women as part of the Project's activities (e.g. by enhancing
2796 women's right to and ownership of resources, by ensuring women are benefitting from new
2797 labour opportunities traditionally held by men, by providing targeted opportunities for women to
2798 vocational training, etc.);
- 2799 d) Implement gender sensitive facilities, including sanitation facilities (e.g. well-lit shelters for
2800 transport waiting, separate lavatories for men and women, water, sanitation and hygiene (WASH)
2801 and menstrual hygiene management (MHM) facilities/latrines, breastfeeding areas, etc.);
- 2802 e) Provide gender training to all staff by making targeted efforts to include men as well as women
2803 workers, supervisors, managers and if possible contractors and suppliers;
- 2804 f) Have a zero tolerance policy in regards to sexual and any other type of harassment, discrimination,
2805 violence and/or abuse of men, women and LGTB individuals.

2806 **B. Evidence Requirements**

2807 In order to demonstrate compliance, the Project shall provide the following evidence:

- 2808 — Evidence that all points above have been satisfied.

2809 NOTE: Evidence used against SuRe® criteria G3.1 Stakeholder Identification and Engagement Planning and G3.2
2810 Engagement and Participation may be used to demonstrate compliance with point "a" above.

- 2811 — Gender Equality Analysis and Gender Action Plan.
- 2812 — All relevant data collected by the Project is sex-disaggregated (e.g. number of workers, number of
2813 trainings given, number of lavatories, etc.).
- 2814 — Project documents (e.g. plans, policies, design plans, brochures, informative pamphlets, job
2815 vacancy documents, etc.) are gender sensitive, support gender equality mainstreaming and use
2816 gender specific language (e.g. referring explicitly to "men and women workers" rather than just
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2819 “workers”) with all genders and individuals equally represented (e.g. in pictures, images or other
2820 visuals).

- 2821 — The Project provides evidence of efforts to reach women for job vacancies, opportunities for
2822 engagement, involvement and training (e.g. by sharing information and/or documentation in
2823 women-frequented locations, etc.)

2825 C. Reporting

2826 In order to maintain compliance, the Project shall demonstrate that data collection methods are gender
2827 sensitive, use sex-disaggregated data and report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Monitor report on progress on the gender action plan	Annually	The Project Owner

2830 D. Voluntary practices for improved performance

2831 The Project is encouraged to:

- 2832 — Consult with a gender expert at each stage of the Project’s lifecycle (from design to
2833 decommissioning), to ensure that gender activities are being implemented and monitored.
- 2834 — Provide women with services targeted specifically to their needs, for example transport services
2835 to and from the worksite, childcare facilities, private space for breastfeeding young children or
2836 expressing milk, etc.
- 2837 — Consult women on the forms of payment that can more easily support their empowerment and
2838 security (cash or food for work).
- 2839 — Have the construction manager run periodic checks to ensure that all gender sensitive measures
2840 are followed (e.g. that allowances are fairly and equally disbursed, that sanitation facilities are
2841 correctly used, etc.).
- 2842 — Have a “gender budget” to allow for gender mainstreaming target activities (eg. clearance and
2843 lightning of transportation stops, time allowances for nursing mothers, etc.).
- 2844 — Favour as suppliers and contractors women owned companies, or companies who provide
2845 evidence (e.g. organisation structure) that shows X% of qualified positions are held by women.
- 2846 — Partner with organization that safeguard and promote gender equality in the region.

2848 E. Useful resources

2850 F. References

- 2851 (African Development Bank Group, 2009)
- 2852 (European Investment Bank Group, 2016)
- 2853 (FAO, IFAD & ILO, 2010)
- 2854 (Japan International Cooperation Agency, n.d)
- 2855 (United Nations Office for Project Services (UNOPS), n.d)

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- 2856 (UNOPS, 2014)
- 2857 (United Nations Development Programme (UNDP), 2013a)
- 2858 (UNDP, 2013b)
- 2859 (United Nations High Commissioner for Human Rights, 1979)
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ENVIRONMENT

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Theme E1: Climate

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

E1.1 Climate Change Mitigation (PC)**(RED CRITERION)****A. Description**

The Project shall reduce project related GHG emissions by assessing and implementing alternative solutions considered to be feasible technically and financially throughout the lifecycle of the project. These measures may include, for example: energy efficiency improvements; adoption of renewable energy sources; afforestation and reduction in deforestation; reduction of fugitive emissions; reduction in embodied energy; or other changes to project siting or design which reduce GHG emissions required for service delivery.

B. Performance Level 1

The Project can demonstrate that its Scope 1 and Scope 2 emissions are the lower of either:

- A baseline emissions quantity for a comparable service in a similar region;
- OR
- Coherent with the Nationally Determined Contribution (NDC) of the country or countries in which the Project is implemented.

C. Performance Level 2

The Project can demonstrate that it is responsible for zero net greenhouse gas emissions during the operation phase of the project, considering at least Scope 1 and Scope 2 emissions, quantified in accordance with an approved methodology.

D. Performance Level 3

The Project can demonstrate that it is responsible for zero net greenhouse gas emissions during the operation phase of the project, considering Scope 1, Scope 2 and Scope 3 emissions, quantified in accordance with an approved methodology.

E. Required Indicators

Projects with anticipated or current emissions less than 25,000 tonnes of CO_{2-e} per year shall report on their Scope 1 GHG emissions annually. For these projects, an in-house low-cost methodology is acceptable.

Projects with anticipated or current emissions more than 25,000 tonnes of CO_{2-e} per year shall report on their Scope 1 and Scope 2 GHG emissions annually, quantified in accordance with an approved methodology.

F. Voluntary Practices for Improved Performance

Projects are encouraged to disseminate lessons learnt publically, and to provide open access to GHG emissions data.

G. Useful Resources

- <http://www.ghgprotocol.org>

H. References

- (World Business Council for Sustainable Development, 2001)
- (International Finance Corporation, 2006, S. 7-8)
- (Center for Climate and Energy Solutions, 2009)
- (IPCC, 2014)

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2947 NOTE 1: A list of approved methodologies can be found on the SuRe® webpage.

2948 NOTE 2: Scope 1 GHG emissions refer to direct emissions from the activities or assets comprising the Project. Scope 1
2949 emissions include emissions resulting from:

2950 — Onsite production of electricity, steam, or heat;

2951 — Emissions due to transportation of materials, products, waste, and employees from combustion vehicles;

2952 — Fugitive emissions such as methane and nitrous oxide emission from waste water treatment plants, methane
2953 leakages from gas transport, or leakage of ozone depleting substances from air conditioning equipment.

2954 NOTE 3: Scope 2 GHG emissions refers to indirect emissions associated with the generation of imported/purchased electricity,
2955 steam or heat.

2956 NOTE 4: Scope 3 GHG emissions refers to other indirect emissions that are a consequence of the activities of the Project, but
2957 are emitted by sources outside of the Project boundary. Scope 3 emissions include emissions resulting from:

2958 — Production and transportation of construction or operating supplies;

2959 — Emissions from disposed waste;

2960 — Employee business or commuting travel.

2961 NOTE 5: Net zero greenhouse gas emissions refers to zero greenhouse gas emissions after:

2962 — Quantifying the total greenhouse gas emissions attributable to the Project,

2963 — Subtracting any removals of greenhouse gas emissions from the atmosphere due to activities by the Project; and

2964 — Subtracting any eligible offsets from outside of the Project activities.

2965

E1.2 Climate Change Adaptation (PC)**(RED CRITERION)****A. Description**

The Project shall demonstrate its ability to withstand identified climate change risks and hazards in plausible scenarios throughout the Project's lifecycle. The Project shall conduct an assessment based on the best practicably available information and ensure that the project is designed and built to withstand the future climate conditions as identified by the Intergovernmental Panel on Climate Change (IPCC).

NOTE 1: Examples of hazards which should be considered, depending on the context of the Project include: rising sea level; sat water intrusion; seawater acidification; accelerated degradation of building materials; increased frequency and intensity of heat-waves, drought events, flood events, tropical cyclones, storm water flows, forest fire or other natural catastrophes.

B. Performance Level 1

The Project can demonstrate that it has been designed and built to withstand the reasonably foreseeable direct and indirect impacts associated with a global climate change consistent with Representative Concentration Pathway (RCP) 4.5, as defined in the IPCC Fifth Assessment Report, for the anticipated lifespan of the Project.

NOTE 2: RCP 4.5 predicts a temperature rise of 1.1°C to 2.6°C, and a sea-level rise of 0.32m to 0.63m by the end of the century relative to levels during 1986 – 2005. This scenario was developed to represent an 'intermediate emissions' scenario, consistent with: lower energy intensity, strong reforestation programmes, CO₂ emissions increase only slightly before decline commences around 2040, stable methane emissions, and stringent climate policies (IPCC 2014).

C. Performance Level 2

In addition to the Performance Level 1 requirements, the Project maintains a monitoring and evaluation mechanism for adaptation measures, which occurs at least once every 5 years and includes at least the following elements:

- Review of best practicably available information;
- Review of effectiveness of adaptation measures;
- Business continuity plan and reserved budget to enact measures identified to resume services following a climate change-related disaster.

D. Performance Level 3

In addition to the Performance Level 2 requirements, the Project can demonstrate that it has been designed and built to withstand the reasonably foreseeable direct and indirect impacts associated with a global climate change consistent with Representative Concentration Pathway (RCP) 6.0, as defined in the IPCC Fifth Assessment Report, for the anticipated lifespan of the Project.

NOTE 3: RCP 6.0 predicts an average global temperature rise in the likely range of 2.6°C to 4.8°C, and a sea-level rise in the likely range of 0.33m to 0.63m by the end of the century relative to levels during 1986 – 2005. This scenario was developed to represent a higher 'intermediate emissions' scenario, consistent with: intermediate energy intensity, heavy reliance on fossil fuels, stable methane emissions, CO₂ emissions peak in 2060 (IPCC 2014).

E. Required Indicators

The Project shall define indicators relevant to its context, including a record of climate-related events impacting the Project and the extent of that impact with adaptation measures in place, compared to a baseline scenario without adaptation measures in place. For example:

- 3013 — Number of days without services due to event (comparison between actual number of days
3014 without services compared to avoided number of days without service if the resilient
3015 infrastructure were not there);
- 3016 — Cost of damage (comparison between actual cost of damage compared with cost of damage if the
3017 resilient infrastructure were not there).

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3019 **F. Voluntary Practices for Improved Performance**

- 3020 — The Project, as part of its Environmental Impact Assessment (EIA) should assess the impact that
3021 climate change will have in the Project and the adaptation measures required to be implemented
3022 in different scenarios throughout the lifecycle of the Project.
- 3023 — The Project should evaluate the probability of resource depletion in the different scenarios that
3024 might affect its operations and includes adaptation measures to this variable in its risk
3025 management plan.

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3027 **G. Useful Resources**

- 3028 — Stockholm Environment Institute, A guide to Representative Concentration Pathways. Available:
3029 www.sei-international.org/mediamanager/documents/A-guide-to-RCPs.pdf

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3031 **H. References**

3032 (Intergovernmental Panel on Climate Change, 2014)

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Theme E2: Biodiversity and Ecosystems

3051 The Project shall be designed as far as possible in a way that integrates ecosystem services as a part of the
3052 planned infrastructure function and avoids negative impacts on biodiversity and ecosystems. Wherever
3053 possible, the Project should identify potential for further positive impacts in accordance with the Convention
3054 on Biological Diversity and related Protocols.
3055

E2.1 Biodiversity and Ecosystem Management (MC)**(RED CRITERION)****A. Description of Requirements**

The Project shall take actions to avoid negative impacts and maximise positive impacts on the conservation of biodiversity such as species habitats (natural, modified, and/or critical), legally protected and internationally recognized areas, ecological corridors and ecosystems, which might arise from the Project. Possible direct and indirect impacts should be assessed by referring to internationally recognised approaches that involve peer-review or similar quality control measures (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 shall seek to minimise impacts and implement restoration measures in accordance with a 'zero net loss' approach and where possible seek 'net gain' or Net Positive Impact (NPI), based on the mitigation hierarchy and following consultation with affected communities and external experts.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- HCV Assessment by an approved assessor, Environmental Impact Assessment (EIA) and other type of assessment of direct and indirect impacts onto biodiversity and ecosystems and identification of mitigation or restoration measures;
- Proposal of prevention, mitigation, restoration, and compensation methods in case environmental degradation or damage to species, habitats, ecological corridors and ecosystems are inevitable, based on Business and Biodiversity Offsets Programme (BBOP) concepts and methodologies;
- Demonstration that the Project is in accordance with local, regional, national and/or international policies on protection of the environment and biodiversity, whichever is more stringent;
- Evidence that stakeholders, especially of the Affected Communities, have been consulted regarding the Project plans and the proposed/expected biodiversity protection and conservation measures. The feedback must be reflected in the final plan;
- Comply with the Guiding Principles and Recommendations for Responsible Business Operations in and around Key Biodiversity Areas (KBAs) of the International Union for Conservation of Nature (IUCN).

C. Reporting

In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Mitigation methods, monitoring of biodiversity and ecosystem changes, and new impacts identified over time.	Annually, if relevant.	The Project

D. Voluntary practices for improved performance

Biodiversity offset program that creates net positive impact.

E. Useful resources

3097 The following resources provide further guidance:

- 3098 — Business and Biodiversity Offset Programme (BBOP) Guidelines. Available: www.bbop.forest-trends.org/pages/guidelines
- 3100 — International Union for Conservation of Nature. Guiding Principles and Recommendations for Responsible Business Operations in and around Key Biodiversity Areas (KBAs), Draft 2
- 3102 — HCV Network. Methodology and guidance documents Available: www.hcvnetwork.org/resources/;
- 3104 — International Finance Corporation Performance Standards on Environmental and Social Sustainability, Performance Standard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources, Paragraphs 9 – 20

3107

F. References

- 3108 (Business and Biodiversity Offsets Programme, 2012)
- 3109 (International Finance Corporation, 2012)
- 3110 (Long Term Infrastructure Investors Association, 2017)
- 3111 (Natural Capital Coalition, 2015)
- 3112 (Secretariat of the Convention on Biological Diversity, 2004)
- 3113 (United Nations, 1993)
- 3114 (UNEP Convention on Biological Diversity, 1999)

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E2.2 Biodiversity and Ecosystem Conservation (PC)

(RED CRITERION)

A. Description

The Project shall collaborate with state and local agencies in the protection and conservation of natural capital, critical habitats, ecosystems and species as recognised by the International Union for Conservation of Nature (IUCN) Red list. The Project shall also include the identification of endangered species and define biodiversity values in the Project site both inland and in water (as applicable) to conserve the biodiversity and ecosystem throughout the Project's life. As part of their Environmental Impact Assessment (EIA), the Project shall conduct a Flora & Fauna assessment to identify and mitigate the negative impacts, including those caused by noise, light, heat and vibration caused by the Project. Projects shall propose and execute construction alternatives that do not interfere with ecological corridors. The Business and Biodiversity Offsets Programme (BBOP) Mitigation Hierarchy and the Precautionary Principle shall be applied to activities in all of the infrastructure development phases.

B. Performance Level 1

The Project uses **mitigation** measures that show performance that exceeds Good International Industry Practice (GIIP), at least as stringent as that articulated within the BBOP Standard on Biodiversity Offsets and International Finance Corporation (IFC) Performance Standards (IFC PS6: 6, 8, 10, 13-20, 24, 25 and IFC PS6: 7). In addition, the Project shall:

- Not cause negative impact on Endangered (EN) and Critically Endangered Species (CR);
- Not cause negative impact on IUCN protected areas Category Ia or Ib;
- Avoid negative impacts on priority ecosystem services.

C. Performance Level 2

The Project achieves "**No Net Loss**" (NNL), for example, through offsets of by minimizing the duration and intensity of the impacts on biodiversity, habitat, species and ecosystem services caused by the Project, noting that some impacts cannot be offset. In addition, the Project shall:

- Not cause negative impact on species except those categorised as 'Least Concern' (LC) and 'Near Threatened' (NT) under IUCN categorisation or equivalent;
- Not cause negative impact on areas classified by IUCN as Protected Area Category Ia, Ib, II or equivalent protected area categorisation under local legislation.

NOTE 1: No Net Loss in biodiversity value as defined in the No Net Loss and Net Positive Impact Approaches for Biodiversity (2015) "like for like": No Net Loss (NNL) calls for negative biodiversity impact caused by the project to be balanced through compensation measures implemented in the project. Achieving NNL goal for a given project ultimately means no net reduction in the: diversity within and among species and vegetation types; long-term viability of species and vegetation types and functioning of species assemblages and ecosystems, including ecological and evolutionary processes.

NOTE 2: Loss of a critical habitat that would have a detrimental and irreversible effect on certain animal or plant species might not be offset. For example, a project can change a water regime on a river that can wipe out endemic fish species.

D. Performance Level 3

The Project **avoids** negative impacts on biodiversity, habitat and ecosystem services, for example, through spatial or temporal planning/placement of infrastructure. To meet this Performance Level, the Project shall:

- Achieve net positive impact (NPI) or "like for better", for example by creating additional natural capital (for example, through the use of nature-based solutions) and/or strengthening habitat connectivity, or enhancing biodiversity (targeting preferable threatened species/ecosystems);

- 3162 — Not cause negative impact on species except those categorised as ‘Least Concern’ (LC) under IUCN
3163 categorisation or equivalent;
- 3164 — Not cause negative impact on IUCN Protected Areas Category Ia, Ib, II, III, IV, V or equivalent
3165 protected area categorisation under local legislation.

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E. Required Indicators

- 3167 — Area (m² or km²) impacted positively or negatively by the Project;
- 3168
- 3169 — Number of protected and endangered species (including marine biodiversity) living in the
3170 development area impacted by the project.

3171

F. Voluntary Practices for Improved Performance

- 3172 — The Project should be involved in local initiatives to protect biodiversity and ecosystem, for
3173 example, by monitoring that none of its workforce engages in “bushmeat” activities;
- 3174
- 3175 — The Project should implement the High Conservation Values approach;
- 3176 — The Project should implement nature based solutions whenever beneficial.

3177

G. Useful Resources

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H. References

- 3179 (PricewaterhouseCoopers, 2010)
- 3180 1. (International Union for Conservation of Nature (IUCN), 2017)
 - 3181 2. (IUCN, 2015)
 - 3182 3. (IUCN, 2012)
 - 3183 4. (Business and Biodiversity Offsets Programme, 2012)
 - 3184 5. (International Finance Corporation , 2012)
 - 3185 6. (Hardner, 2015)
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 - 3187

E2.3 Invasive Alien Species (MC)

A. Description of Requirements

The Project shall employ measures to prevent the deliberate or accidental introduction of alien or non-native species (as specified by international accepted instruments or guidelines such as European and Mediterranean Plant Protection Organization (EPPO) list or the International Union for conservation of Nature and Natural Resources (IUCN)' Global Register of Introduced and Invasive Species (GRIIS) of flora and fauna in the project site and its surroundings. References to such species shall be carefully studied prior to construction and operation of the Project.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- A public policy declaring that no species considered alien and invasive following the criteria of/being registered under GRIIS are introduced to the project site;
- Any imported plant or animal based materials used in the construction and operation of the infrastructure are appropriately inspected, treated and verified as safe for import to the project site.

C. Reporting

In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Compliance with the public policy related to invasive species.	Annually and/or as changes happen that might threaten compliance with this criterion	The Project

D. Voluntary practices for improved performance

The Project is encouraged to combat invasive species within the project site boundaries if invasive species are present in the project site or its surroundings. Combatting should primarily focus on biological and biotechnical measures and only turn to synthetic pesticides as a last resort.

E. Useful resources

- Convention on Biological Diversity Guiding Principles for the Prevention, Introduction and Mitigation of Impacts of Alien Species that Threaten Ecosystems, Habitats or Species (1999)
- European and Mediterranean Plant Protection Organization (EPPO) Lists of Invasive Alien Plants (2017);
- Global Register of Introduced and Invasive Species (GRIIS) (2017)
- IUCN Guidelines for the Prevention of Biodiversity Loss Caused by Alien Invasive Species (2000)

F. References

(Equitable Origin, 2012, S. 51-52)
 (The Gold Standards Framework, 2017)
 (International Federation of Consulting Engineers, 2012)

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- 3227 (International Finance Corporation, 2012)
- 3228 (International Finance Corporation, 2012, S. 16-21)
- 3229 (International Union for Conservation of Nature, 2000)
- 3230 (ISEAL Alliance, 2015)
- 3231 (Natural Capital Coalition, 2015)
- 3232 (Pöyry, 2016)
- 3233 (Robinson, 2016)
- 3234 (UNEP Convention on Biological Diversity, 1999)
- 3235 (United Nations, 1993)
- 3236 (EPPO, 2017)
- 3237 (GRIIS, 2017)
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Theme E3: Environmental Protection

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3257 Infrastructure development and operation shall minimise negative impacts and maximise positive impacts on
3258 the environment, including ecosystems and biodiversity. The mitigation hierarchy (avoid, prevent, minimise,
3259 reduce or offset adverse impacts) shall be applied.
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E3.1 Responsible Sourcing of Water (MC)**(RED CRITERION)****A. Description of Requirements**

The Project shall ensure that water extracted and used for the needs of the Project is withdrawn responsibly and in a manner that maintains environmental flows, minimises drawdown of aquifers or does not cause other significant negative impacts on the quality or quantity of water available at water sources. The Project shall avoid (or when not possible, reduce) using and impacting non-replenishable water sources needed by other users in the community.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- Environmental Impact Assessment (EIA) showing the evaluation of water sourcing, demonstrating that the Project will not cause significant negative impact on the quality or quantity of water at water sources throughout the Project's anticipated life cycle.
- Environmental Flows* (ecological flows) studies (or similar) done according to relevant regional standards.

NOTE 1: For the purposes of this Standard, Environmental Flows describes the quantity, timing, and quality of water flows required to sustain freshwater and estuarine ecosystems and the human livelihoods and well-being that depend on these ecosystems (Brisbane Declaration, 2007).

C. Reporting

In order to maintain compliance, the Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Water levels on the primary and secondary water sources for Project Activities	Annually	The Project

D. Voluntary Practices for Improved Performance

- The Project should implement sustainable water planning/water conservation to determine and apply good methods for sourcing of water.
- The Project should align land use and water management plans
- The Project should include integrated water resource planning to establish long term water goals aligned with the Project's operations to ensure water resource protection and support to the community's water needs as seen in the Sustainable Development Goals (SDGs) indicator 6.5.1 Degree of integrated water resources management implementation 0 – 100.

NOTE 2: Sustainable water planning understands the interdependence among water infrastructure, ecological systems, and the built environment. Plans should simultaneously address and integrate habitat conservation; water storage, treatment, and conveyance methods; and water uses (2012)

NOTE 3: Integrated resource planning, or IRP, is a comprehensive form of water planning that considers water supply, wastewater, storm-water, water quality, and the interrelationship between them. Its ultimate objective is to establish long-term, least-cost goals that sustainably support a community's needs and ensure water resource protection. IRP emphasizes scenario planning and develops a portfolio of options for water services through an open, coordinated, and participatory decision-making process (2012).

E. Useful Resources

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3305 **F. References**

3306 (Alliance for Water Efficiency, 2016)

3307 (Australian Government , 2016)

3308 (European Union, 2015)

3309 (National League of Cities, 2013)

3310 (National League of Cities, 2013)

3311 (United Nations, 2017)

3312 (International Water Centre, 2007)

3313 (Sustainable Cities Institute, 2012a)

3314 (Sustainable Cities Institute, 2012b)

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E3.2 Water Efficiency (PC)**(RED CRITERION)****A. Description**

The Project shall implement practices and use technology that allows for sustainable and efficient use of water resources. The Project shall reduce potable and non-replenishable water consumption, opting for the usage of treated/recycled water, grey-water and storm-water to meet water needs. The Project shall minimize unintentional water losses.

B. Performance Level 1

The Project shall reduce potable and/or non-replenishable water use to at least Good International Industry Practice (GIIP).

The Project shall utilize, treat or retain storm-water for at least 80th percentile precipitation events. When the Project is located on green-field land, it shall leave the land with similar hydrological characteristics to pre-project conditions. When the Project is located on grey or brownfield land, it shall leave the site with an increase of at least 40% water storage capacity.

The Project shall use captured rainwater and/or recycled waste/grey-water for at least 70% of all its outdoor water needs.

C. Performance Level 2

The net consumption of potable and/or non-replenishable water of the Project is zero.

The Project shall utilize, treat or retain storm-water for at least 90th percentile precipitations events. When the Project is located on greenfield land, it shall leave the land with similar hydrological characteristics to pre-project conditions. When the Project is located on grey or brownfield land, it shall leave the site with an increase of at least 80% water storage capacity.

The Project uses captured rainwater and/or recycled waste/grey-water, air-conditioner condensate or other types of treated non-potable water for all of its outdoor water needs.

D. Performance Level 3

The Project meets all requirements for Performance Level 2 and in addition improves quality and or quantity of water available for surrounding communities.

The Project shall utilize treat or retain storm-water for at least 99th percentile precipitations events. When the Project is located on grey or brownfield land, it shall leave the site with hydrological characteristics similar to that of a green-field site.

E. Required Indicators

- Total potable water used compared with a baseline potable/non-replenishable water consumption.
- % of total water used that is recycled.
- Total potable and non-potable water used compared with a baseline.
- Quantity of water used that comes from storm-water or rainwater harvesting.
- Number of events when the Project exceeded storm water retention capacity.
- Change in water-use efficiency over time (Sustainable Development Goals (SDG) Indicator 6.4.1).
- Level of water stress: freshwater withdrawal (by the Project) as a proportion of available freshwater resources (SDG indicator 6.4.2).
- Total storm-water run-off.

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F. Voluntary Practices for Improved Performance

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- Projects should minimize the use of materials (such as zinc roofs, copper made structures, etc.) that can pollute storm water.

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- Projects should reuse greywater, captured rainwater, HVAC blow-down, or any other type of recycled water or condensate water for irrigation purposes (SITES v0.2).

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- Projects should implement smart monitoring, metering and water management to measure water efficiency throughout the lifespan of the Project.

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G. Useful Resources

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H. References

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(Sustainable SITES Initiative , 2014, S. 31-34)

3373

(United Nations, 2017)

3374

E3.3 Responsible Sourcing of Materials (PC)

A. Description

The Project and its Direct Contractors, Sub Contractors and Primary Suppliers shall commit to the sustainable sourcing of materials and major equipment (through an accountable and transparent procurement process) in order to minimise their life cycle impact in accordance with internationally recognised standards such as Leadership in Energy and Environmental Design (LEED's) requirements on building materials and material-specific standards such as Forest Stewardship Council (FSC) for wood. The Project and its direct contractors 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 and its direct contractors should also identify and take advantage of by-product synergies where cost-effective and feasible to do so. The Project and its direct contractors should refrain from purchasing products from regions where there are significant social and environmental risks.

B. Performance Level 1

10 to 29% of materials used come from recycled or reclaimed sources. The Project engages only with Director Contractors Sub Contractors and/or Primary Suppliers that can demonstrate sustainable sourcing practices.

At least 50% of materials used for the Project come from local sources, meeting the following distance requirements:

- Soil: within 100km
- Rocks, and aggregate: within 100km
- Wood and plants: within 500km
- All other materials: within 1000km

C. Performance Level 2

30% to 59% of materials used come from recycled or reclaimed sources. The Project engages only with Director Contractors Sub Contractors and/or Primary Suppliers that can demonstrate (through certifications or other documents) sustainable sourcing practices.

At least 70% of materials used for the Project come from local sources, meeting the following distance requirements:

- Soil: within 100km
- Rocks, and aggregate: within 100km
- Wood and plants: within 500km
- All other materials: within 1000km

D. Performance Level 3

60% to 100% of materials used come from recycled or reclaimed sources. The Project engages with Director Contractors Sub Contractors and/or Primary Suppliers who can demonstrate (through certifications or other claims document) that they use sustainable procurement practices.

At least 70% of materials used for the Project come from local sources meeting the following distance requirements:

- Soil: within 50km

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3418 — Rocks, and aggregate: within 50km

3419 — Wood and plants: within 250km

3420 — All other materials: within 500km

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3422 NOTE: Performance Level adapted from SITES V2 2014

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3424 **E. Required Indicators**

3425 — Percentage of total materials used that come from local sources

3426 — Percentage of total materials used that come from recycled or reclaimed sources. Percentage or
3427 number of primary and secondary suppliers that have sustainability
3428 sourcing/procurement/management certification

3429

3430 **F. Voluntary Practices for Improved Performance**

3431 — The Project should divert some of its “left-over” materials for on-site use instead of disposal; for
3432 example by “removing on-site concrete pavement and crushing it for aggregate” (Source:SSI,
3433 2009)

3434

3435 **G. Useful Resources**

3436 — LEED

3437 — Forestry Stewardship Council

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3439 **H. References**

3440 (Sustainable SITES Initiative , 2014)

3441 (Sustainable SITES Initiative, 2017)

3442 (Sustainable SITES Initiative, 2009)

3443

E3.4 Resource Efficiency (PC)**(RED CRITERION)****A. Description**

The Project shall be designed to maximise efficient use of materials throughout its life cycle. Such measures should integrate the principles of cleaner production into project design and construction with the objective of conserving materials. The Project shall refer to the World Bank Group (WBG) Environmental, Health, and Safety (EHS) Guidelines or other internationally recognized sources under local and international limits (whichever is more stringent) when evaluating and selecting resource efficiency and control techniques for the Project. If less stringent levels or measures than those provided in the WBG EHS Guidelines are used, complete disclosure and justification for any proposed alternatives is required. Where benchmarking data is available, the Project shall establish relative levels of efficiency targets.

NOTE 1: Energy and water efficiency are excluded from this criterion as they are covered under criterion E1.2 Energy Efficiency and criterion E3.2 Water Efficiency respectively.

B. Performance Level 1

The Project can reasonably demonstrate resource efficiency at least in line with Good International Industry Practice (GIIP). The Project has implemented measures to tangibly reduce consumption of resource inputs (fuels, steel, copper and aluminium, wood, concrete, clay, etc.) throughout its lifecycle.

NOTE 2: For the purposes of this criterion, 'resource efficiency' is defined as the amount of resources used for achieving the desired purpose (Source: ECORYS, 2014).

C. Performance Level 2

The Project can reasonably demonstrate resource efficiency 15% better than GIIP. The Project has implemented measures to tangibly reduce consumption of resource inputs (fuels, steel, copper and aluminium, wood, concrete, clay, etc.) throughout its lifecycle.

D. Performance Level 3

In addition to Performance Level 2 requirements, the Project can demonstrate that it has reduced the potential impacts from the materials it uses (fuels, steel, copper and aluminium, wood, concrete, clay, etc.) in the following 3 main categories: (i) global warming potential, (ii) abiotic depletion potential, (iii) toxicity potential average. The Project has implemented innovative measures to achieve resource efficiency and productivity such as nature based solution alternatives where feasible and cost-effective to do so.

NOTE 3: Adapted from ECORYS, 2014, Please refer to glossary for an explanation on how to start impact calculation.

E. Required Indicators

- Resource and material use (tonne) per floor area (m²) – as the basic service provided.
- Impacts per unit material in terms of global warming potential, abiotic depletion potential, toxicity potential average.
- Waste generation (tonne).
- Gross Value Added (GVA, million EUR) and Gross Fixed Capital Formation (GFCF, million EUR).

F. Voluntary Practices for Improved Performance

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3490 — The Project should continuously adapt new technologies to utilize its resources even more
3491 efficiently than what was originally designed or constructed.

3492 — The Project should demonstrate resource productivity of 15% better than local good practice.

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3494 G. Useful Resources

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3496 H. References

3497 (ECORYS, 2014)

3498 (Sustainable SITES Initiative , 2014)

3499 (International Labour Organization, 1977)

3500 (Whole Building Design Guide, 2016)

3501 (World Health Organization , 2017)

3502 (World Health Organization , 2009)

3503

E3.5 Waste Management (PC)

A. Description

The Project shall avoid, minimise, recycle (e.g. through relevant co- and by-products) and reuse waste as much as possible. When waste is generated, it shall be treated, destroyed, or disposed of in a safe and environmentally sound manner. The Project shall avoid the generation of hazardous waste; where creation of hazardous waste is unavoidable, the hazardous waste shall be disposed of safely and following local law and international good practice. A waste management plan shall be implemented throughout the Project's life cycle. The Project shall refer to the World Bank Group (WBG) Environmental, Health, and Safety (EHS) Guidelines or other internationally recognized sources under local and international limits (whichever is more stringent) when evaluating and selecting waste management techniques for the Project. If less stringent levels or measures than those provided in the WBG EHS Guidelines are used, complete disclosure and justification for any proposed alternatives is required.

B. Performance Level 1

The Project avoids, minimises, recycles, up-cycles, diverts and re-uses at least 50% of waste generated. In cases where generation of hazardous waste is unavoidable, the Project disposes 100% of it in a safe manner for people and the environment and sets objectives to reduce the quantity of hazardous waste generated throughout the Project's lifecycle.

C. Performance Level 2

The Project avoids, minimises, recycles, up-cycles, diverts and re-uses) all waste generated. No hazardous waste is generated.

D. Performance Level 3

The Project diverts (avoids, minimises, recycles, up-cycles and re-uses) all waste generated from landfill. No hazardous waste is generated.

The Project salvages at least 10% of the waste for re-use in other sites. The Project reuses and recycles all vegetation, rocks and soil debris generated during construction.

E. Required Indicators

- Percentage of total non-hazardous waste generated by the Project diverted from landfill (avoided, minimised, recycled, up-cycled, reused).
- Amount of hazardous waste generated; and percentage of hazardous waste disposed of or treated according to national and/or international requirements.

F. Voluntary Practices for Improved Performance

- The Project should integrate international best practices such as integrated solid waste management guidelines (by United Nations Environment Programme (UNEP)).
- The Project should integrate disaster waste guidelines (by the United Nations Office of the Coordination of Humanitarian Affairs (OCHA) as part of their disaster risk management plan.

G. Useful Resources

- Solid waste management guidelines UNEP
- Disaster waste guidelines by OCHA

3549 — The Sustainable Sites Initiative

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3551 **H. References**

3552 (UN Environment, 2017a)

3553 (Sustainable SITES Initiative, 2009, S. 185)

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Theme E4: Natural Resources

3571 The development and operation of the infrastructure shall aim to protect natural resources and commit to
3572 responsible sourcing practices.
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E4.1 Air and Soil Pollution (PC)**(RED CRITERION)****A. Description**

The Project shall be designed, built, operated and decommissioned in a way that avoids or minimises the pollution of air and soil and avoids the transfer of pollution from air to soil or from soil to air.

The Project shall in no way cause nutrient depletion of soils in the Project's site or nearby site area, and should integrate sustainable soil management techniques according to Food and Agriculture Organization (FAO's) Charter and Sustainable Soil management criteria.

The Project shall consider surrounding environmental conditions and apply air prevention techniques that are technically and financially feasible to minimise impact. The Project shall maintain air pollutant emissions below those specified by: applicable local regulations or guidelines; the World Health Organization (WHO) Air Quality Guidelines; and those specified within the World Bank Group (WBG) Environmental, Health, and Safety (EHS) Guidelines; whichever is more stringent.

NOTE: Green House Emissions are excluded from this criterion as they are covered under criterion E1.1. All water pollution is excluded from this criterion as it is covered under criterion E4.2

B. Performance Level 1

The Project's air and soil pollution are below Good International Industry Practice (GIIP) local and/or international limits (whichever is more stringent).

C. Performance Level 2

The Project has zero net negative impact on air and soil quality.

The Project causes no nutrient depletion of soils (including nearby soils).

The Project has received no complaints for odour production.

D. Performance Level 3

In addition to Performance Level 2 requirements the Project has positively impacted the condition of the surrounding air and soil, for example by using greener and innovative technologies for its operations, by replacing older equipment with newer, and by restoring or rehabilitating nearby degraded soils.

E. Required Indicators

- Total soil pollution generated by the project (soil);
- Land quality change (before project and after project) measured in m² or km² of land cleared of pollution;
- Ambient/Air quality change (before project and after project) (can include measures of pollutants present in air);
- Annual mean levels of fine particulate matter (e.g. PM_{2.5} and PM₁₀) in cities (population weighted) (as per Sustainable Development Goals (SDG) indicator 11.6.2)).

F. Voluntary Practices for Improved Performance

- The Project may engage with Direct Contractors, Sub Contractors and Primary Suppliers who show commitment of reducing diesel emissions from their transportation and construction vehicles.

G. Useful Resources

- 3620 — WHO Air quality guidelines. Available:
- 3621 — www.apps.who.int/iris/bitstream/10665/69477/1/WHO_SDE_PHE_OEH_06.02_eng.pdf
- 3622 — UNECE Convention on Long-range Transboundary Air Pollution
- 3623 — FAO: World Soil Charter. Available: [www.fao.org/documents/card/en/c/e60df30b-0269-4247-](http://www.fao.org/documents/card/en/c/e60df30b-0269-4247-a15f-db564161fee0/)
- 3624 — [a15f-db564161fee0/](http://www.fao.org/documents/card/en/c/e60df30b-0269-4247-a15f-db564161fee0/)
- 3625 — Sustainable Sites Initiative, Guidelines and performance benchmarks, pg, 185 (2009)
- 3626 — WHO Air quality guidelines. Available: www.who.int/mediacentre/factsheets/fs313/en/
- 3627 — UNECE: Environment Policy, 2017. Available:www.unece.org/env/lrtap/30anniversary.html
- 3628 — FAO: Management and natural processes affecting the biological and chemical aspects of soils,
- 3629 — 2017. Available: [www.fao.org/soils-portal/soil-degradation-restoration/global-soil-health-](http://www.fao.org/soils-portal/soil-degradation-restoration/global-soil-health-indicators-and-assessment/soil-health-biological-and-chemical/en/)
- 3630 — [indicators-and-assessment/soil-health-biological-and-chemical/en/](http://www.fao.org/soils-portal/soil-degradation-restoration/global-soil-health-indicators-and-assessment/soil-health-biological-and-chemical/en/)
- 3631 — FAO: assessing soil contamination
- 3632 — FAO: status of the world's soil resources 2015

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3634 H. References

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3636 (FAO, 2015)

3637 (FAO, 2017)

3638 (FAO, 2000)

3639 (FAO, 2015)

3640 (Sustainable SITES Initiative, 2009, S. 185)

3641 (United Nations Economic Commission for Europe , 1979)

3642 (United Nations Economic Commission for Europe , 2017)

3643 (World Health Organization , 2005)

3644 (World Health Organization , 2016)

3645 (United Nations, 2017)

3646

E4.2 Water Pollution (PC)**(RED CRITERION)****A. Description**

The Project shall avoid or when avoidance is not possible, minimize the pollution of water and the transfer of pollution from water to other resources (land, air, etc.)

The Project shall apply technically and financially feasible pollution prevention techniques to monitor and treat or recycle wastewater discharge in order to avoid pollution harmful to human health and the surrounding environment.

B. Performance Level 1

The Project has minimized the release of pollutants and contamination of water in at least 20% below Good International Industry Practice (GIIP). The water quality discharge is at least 20% better than industry water discharge requirements

C. Performance Level 2

The Project avoids the pollution of water. There is zero net negative impact on the quality of water used by the Project as well as the water sources connected to the Project. The Project does not impact water availability nor water quality.

D. Performance Level 3

In addition to Performance Level 2 requirements, the Project positively impacts the water sources near its Project site by improving water quality (for example, by restoring nearby water ecosystems).

E. Required Indicators

- % of untreated wastewater discharged by the Project to the sewage system,
- Proportion of wastewater safely treated by the Project (adapted from Sustainable Development Goals (SDG) Indicator 6.3.1),
- % of wastewater recycled and re-used within the facility, avoiding release of pollution to the local water system,
- Number of complaints/claims received due to the release of untreated wastewater,
- Proportion of bodies of water with good ambient water quality near Project site (adapted from SDG Indicator 6.3.2).

F. Voluntary Practices for Improved Performance**G. Useful Resources****H. References**

(Equitable Origin, 2012)

(International Finance Corporation, 2007)

(United Nations, 2017)

3689 **E4.3 Pest Management (MC)**

3690

3691 **A. Description of Requirements**

3692 The Project shall not use, for the purpose of construction and operation of the Project, any pesticides listed
3693 under applicable international conventions including the Rotterdam Convention (2004) and the Stockholm
3694 Convention on Persistent Organic Pollutants (2004) as well as products which fall in World Health
3695 Organization (WHO) Recommended Classification of Pesticides by Hazard Class Ia and Ib. WHO
3696 Recommended Classification of Pesticides by Hazard Class II can be used only when the Project has the
3697 permission and training of appropriate handling of the chemicals.

3699 **B. Evidence Requirements**

3700 In order to demonstrate compliance, the Project shall provide the following evidence:

- 3701 — Pest management plan aiming at avoidance of harming natural enemies of the target pest, and if
3702 not possible minimization, and avoidance of risks associated with the development of resistance
3703 in pests and vectors,
- 3704 — The plan shall include guidelines and training program on handling, storage, safe use and disposal
3705 of chemical pesticides and personal equipment in accordance with the Food and Agriculture
3706 Organization's (FAO) International Code of Conduct on the Distribution and Use of Pesticides or
3707 other Good International Industry Practice (GIIP),
- 3708 — List of pesticides used. The pesticides used shall be manufactured by a valid licensed producer,
3709 properly packaged and come with user manual with safety guidance,
- 3710 — The pesticides shall not be those listed in the Rotterdam Convention, Stockholm Convention, and
3711 WHO Recommended Classification of Pesticides by Hazard Class Ia and Ib,
- 3712 — Evidence provided by the Project that no pesticides in the Rotterdam Convention or Stockholm
3713 convention are being used.

3715 **C. Reporting**

3716 No periodic reporting is required for this criterion except when a change occurs which may threaten
3717 compliance as specified above.

3719 **D. Voluntary practices for improved performance**

- 3720 — The Project is encouraged to phase out controversial pesticides now and in the future (for
3721 example, pesticides which are not listed in the Rotterdam or Stockholm Conventions, but that are
3722 controversial nonetheless).
- 3723 — Where the Project involves the management of pesticides and related substances, an integrated
3724 pest management (or vector management) approach should be considered. The Project should
3725 seek to minimise and mitigate any adverse impacts related to the use of such substances on local
3726 ecosystems and biodiversity as well as public and occupational health and safety, in accordance
3727 with SuRe® criteria S2.5 Occupational Health and Safety and S3.5 Management of Public Health
3728 and Safety Risks

3730 **E. Useful resources**

3731 The following resources provide further guidance:

3732

- 3733 — Rotterdam Convention, List of Chemicals
- 3734 — Available: [www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-](http://www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx)
- 3735 [US/Default.aspx](http://www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx)
- 3736 — Stockholm Convention, Persistent Organic Pollutants (2002) List of PoPs
- 3737 — Available: www.chm.pops.int/TheConvention/ThePOPs/ListingofPOPs
- 3738 — World Health Organization, Recommended Classification of Pesticides by Hazard Class. Available:
- 3739 www.who.int/ipcs/publications/pesticides_hazard_2009.pdf

3740

3741 **F. References**

- 3742 (International Finance Corporation, 2012, S. 22-26)
- 3743 (Secretariat of the Convention on Biological Diversity, 2004)
- 3744 (The Secretariat of the Stockholm Convention , 2004)
- 3745

3746 **E4.4 Noise, Light, Vibration and Heat (PC)**

3748 **A. Description**

3749 The Project shall minimise negative impacts on human health related to excessive noise, light, vibrations
 3750 and/or heat. When doing so, the Project shall refer to the World Bank Group (WBG) Environmental, Health,
 3751 and Safety (EHS) Guidelines or other internationally recognized sources under local and international limits
 3752 (whichever is more stringent). If less stringent levels or measures than those provided in the WBG EHS
 3753 Guidelines are used, complete disclosure and justification for any proposed alternatives is required. Relevant
 3754 sources of disturbance should be identified and associated risks minimised through prevention and
 3755 mitigation measures where appropriate. The Project shall engage with stakeholders to minimize
 3756 disturbances to the nearby community.

3758 NOTE: all impacts to flora and fauna are excluded from this criterion as these are covered under criterion E2.2 Biodiversity
 3759 and Ecosystem Conservation.

3761 **B. Performance Level 1**

3762 Noise, Light, Vibration and Heat levels caused by the Project are at least 10% better than local regulation or
 3763 Good International Industry Practice (GIIP), whichever is more stringent, for daytime and night-time project
 3764 activities.

3765 The Project can effectively demonstrate (through records, videos, documents) that it has engaged with
 3766 stakeholders from the communities it impacts and has implemented mitigation measures to reduce its
 3767 negative impacts in the community.

3769 **C. Performance Level 2**

3770 Noise, Light, Vibration and Heat levels caused by the Project meet national regulation and are meeting GIIP
 3771 for daytime and night-time.

3772 The Project has involved stakeholders and taken measures (such as installing automatic lights and insulating
 3773 walls) to reduce out-door heat, vibration and light (including backlight, up-light and glare) spillage.

3774 The Project can satisfactorily demonstrate that stakeholders are satisfied with noise, light, vibration and heat
 3775 levels.

3777 **D. Performance Level 3**

3778 Noise, light, vibration and heat levels have improved by >5% compared with pre-project levels. For example,
 3779 the infrastructure has implemented nature based solutions (such as forests) to contain outdoor noise, light,
 3780 vibration and heat; reduced upward illumination of the night sky by placing lamps in the correct position
 3781 using international best practice, applied other green infrastructure principles to create quieter
 3782 communities, etc.

3784 **E. Required Indicators**

- 3785 — Noise level range during operation, construction (measured in decibels);
- 3786 — Approximate excess heat produced and not captured (kW);
- 3787 — Temperature increase after project (in surrounding areas);
- 3788 — Number of complaints received due to noise, light, vibration, heat.

3790 **F. Voluntary Practices for Improved Performance**

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3791 — The Project should use alternate innovative practices for illumination such as “full cut off” or “fully
3792 shielded” where no light emitted from the Project is visible as per the Illuminating Engineering
3793 Society (IES) (adapted from SSI, 2014),

3794 — The Project should use nature-based solutions to reduce heat, noise, light and vibration levels.

3795

3796 G. Useful Resources

3797

3798 H. References

3799 (Canadian Centre for Occupational Health and Safety, 2017)

3800 (Government of India, Ministry of Environment & Forests, 2017)

3801 (International Labour Organization, 1977)

3802 (Sustainable SITES Initiative , 2014)

3803 (World Health Organization , 2017)

3804 (World Health Organization , 2009)

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E4.5 Cumulative Impacts (MC)

A. Description of Requirements

The Project shall identify and appropriately manage cumulative impacts and risks of project activities on society and the environment. The Project shall conduct a Cumulative Impact Assessment (CIA), including at least the following elements:

- Identification and assessment of the short and long term potential impacts and risks of the Project and how they interact with other development activities and natural stressors to affect selected Valued Environmental and Social Components (VECs);
- Identification and engagement of stakeholders in the impact and risks assessment process to identify and address their concerns on the cumulative impacts of the project;
- Determination of the probability of identified impacts and risks to interfere with the selected VECs and in limiting the realization of the project's value;
- Identification and implementation of mitigation measures to minimize the impacts of the cumulative impacts and risks on the VECs;
- Development of a monitoring and management plan for the cumulative impacts throughout the Project lifecycle.

Such measures shall be implemented in accordance with recognised guidance such as the International Finance Corporation (IFC's) Good Practice Handbook on Cumulative Impact Assessment and Management: Guidance for the Private Sector in Emerging Markets.

B. Evidence Requirements

In order to demonstrate compliance, the Project shall provide the following evidence:

- Cumulative impacts have been assessed, for example, within Environmental Impact Assessment (EIA);
- The mitigation measures with regard to a project's contribution to cumulative impacts are included as an integral component of the Project's Environmental and Social Management System (ESMS).

C. Reporting

No periodic reporting is required for this criterion except when a change occurs which may threaten compliance as specified above.

D. Voluntary practices for improved performance

The Project is encouraged to update a cumulative impact assessment as the state of knowledge and general business practice improves.

E. Useful resources

IFC's Good Practice Handbook on Cumulative Impact Assessment and Management: Guidance for the Private Sector in Emerging Markets, 2012.

F. References

(International Finance Corporation, 2012, S. 15)

(Pöyry, 2016)

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Theme E5: Land Use and Landscape

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

E5.1 Location, Project Siting and Design in Relation to Landscape (MC)**A. Description of Requirements**

The Project shall carefully assess the Project location and siting during the design and construction phases of the Project, in consultation with affected communities and relevant public authorities. This assessment shall include:

- a) A location analysis (if not already conducted by the public authorities) – 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 purpose of keeping negative impacts associated with construction and operation to a minimum. This shall be in line with SuRe® criteria E2.2 Biodiversity and Ecosystem Conservation and S3.5 Management of Public Health and Safety Risks;
- b) The identification of how landscape 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.

B. Evidence Requirements

In order to demonstrate compliance, the Project Entities shall show the following evidence:

- Location Analysis.
- Environmental Impact Assessment (EIA) addressing impacts on landscape.
- Project design, and proposals made by the Project for integrated design.

C. Reporting

No periodic reporting is required for this criterion except when a change occurs which may threaten compliance as specified above.

D. Voluntary practices for improved performance

Where the Project does not have the freedom to select other project site, or when location cannot be changed due to authoritative reasons, the Project is recommended to do all in their power to change location, or communicate this to other projects/authorities, with the intention that projects can influence future actions by these authorities.

E. Useful resources**F. References**

- (BREEAM, 2015)
- (Equitable Origin, 2012, S. 56 (5.9))
- (The Gold Standards Framework, 2017)
- (International Federation of Consulting Engineers, 2012, S. 16-19)
- (ISEAL Alliance, 2015)
- (Pöyry, 2016)
- (Netzwerk Nachhaltige Bauen Schweiz, 2015)
- (Netzwerk Nachhaltige Bauen Schweiz, 2015)

3916 E5.2 Land Use (PC)

3917 A. Description

3918 The Project shall minimise the use of green-field land. The Project shall also employ technologies that reduce
3919 footprint and minimise impervious space.

3920 If the site may contain chemical, biological or radioactive contamination, the Project shall ensure that the
3921 site is adequately decontaminated prior to construction.

3922 B. Performance Level 1

3923 Less than 75% of the Project is located on greenfield land.

3924 Total farmland developed for the Project does not constitute more than 20% of the total land developed for
3925 the infrastructure.

3926 C. Performance Level 2

3927 The Project is located 100% on grey-field or brownfield land.

3928 Total farmland developed for the Project constitutes 0% of the total land developed for the infrastructure.

3929 D. Performance Level 3

3930 The Project is located 100% on brownfield land and has taken measures to ensure that previous pollution is
3931 effectively mitigated.

3932 The Project has contributed to the restoration and conservation of farmland located in the nearby
3933 community of where the Project is located.

3934 The Project has contributed to an increase in the resilience of the land and (or nearby land) and positively
3935 impacted local populations dependent on that land (through technology transfers or land management
3936 techniques).

3937 E. Required Indicators

- 3938 — Percentage of the Project area that is located on greenfield/brownfield and grey-field land.

3939 F. Voluntary Practices for Improved Performance

- 3940 — The Project integrates land use planning techniques together with the local authorities to
3941 determine the most efficient and less damaging way to use the land;
- 3942 — The Project creates a soil management plan;
- 3943 — The Project applies the High Conservations Values (HCV) approach.

3944 G. Useful Resources

3945 H. References

3946 (UN HABITAT, 2010)

3947 (United Nations Convention to Combat Desertification, 2016)

3948 (Sustainable Development Knowledge Platform, 2016)

3949 (Sustainable SITES Initiative, 2009)

3959 **E5.3 Soil Restoration (MC)**
3960

3961 **A. Description of Requirements**

3962 The Project shall promote sustainable use of soil through protection and restoration measures. The project
3963 shall:

- 3964 — assess the pre-existing physical, chemical and hydrological functions of the soils that will be
3965 disturbed by the project;
- 3966 — minimise the soil disturbance required;
- 3967 — restore disturbed soils to their original functions;
- 3968 — enhance, where feasible, the soil quality in the Project's area;
- 3969 — not leave toxic or hazardous soils after decommissioning of the project.

3970
3971 **B. Evidence Requirements**

3972 In order to demonstrate compliance, the Project shall provide the following evidence:

3973 Documents demonstrating that requirements above have been met or are planned, for example:

- 3974 — Detailed soil restoration plan;
- 3975 — Environmental Impact Assessment (EIA).

3976
3977 **C. Reporting**

3978 No periodic reporting is required for this criterion except when a change occurs which may threaten
3979 compliance as specified above.

3980
3981 **D. Voluntary practices for improved performance**

3982 The project is encouraged to restore previously disturbed soils to their original functions and quality, for
3983 example, in the case of brownfield developments.

3984
3985 **E. Useful resources**

3986
3987 **F. References**
3988

3989 (Equitable Origin, 2012, S. 52-53 (5.5))

3990 (Hargroves, 2014, S. 22-23)

3991 (Infrastructure Sustainability Council of Australia, 2016, S. Lan-3, Man-3)

3992 (Natural Capital Coalition, 2015)

3993 (WRI, UN Global Compact, WBCSD, 2015)
3994

ANNEX A

A.1 SuRe® Glossary

Term	Acronym	Definition
Affected Communities	-	Local communities directly affected by the project.
Asbestos	-	The fibrous form of mineral silicates belonging to rock-forming minerals of the serpentine group, i.e. chrysotile (white asbestos), and of the amphibole group, i.e. actinolite, amosite (brown asbestos, cummingtonite-grunerite), anthophyllite, crocidolite (blue asbestos), tremolite, or any mixture containing one or more of these.
Assessor Licensing Scheme	ALS	
Auditor	-	A person who audits infrastructure projects to determine their level of SuRe® compliance, in a manner befitting the training received from GIB.
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.
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.
Biodiversity Offset	-	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.
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.
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).

Term	Acronym	Definition
Business and Biodiversity Offsets Programme	BBOP	N/A
Carbon Neutral	-	Condition in which the net GHG emissions associated with an entity, product or activity is zero for a defined duration.
Child Labour	-	Includes All forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced or compulsory labour, including forced or compulsory recruitment of children for use in armed conflict; The use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performances; The use, procuring or offering of a child for illicit activities, in particular for the production and trafficking of drugs as defined in the relevant international treaties; Work, which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children. (The term “Child” shall apply to all persons under the age of 18.)
Climate Change Adaption		Adaptation refers to adjustments in ecological, social, or economic systems in response to actual or expected climatic stimuli and their effects or impacts. It refers to changes in processes, practices, and structures to moderate potential damages or to benefit from opportunities associated with climate change.
Climate Change Mitigation		Human interventions to reduce the emissions of greenhouse gases or enhance their removal from the atmosphere.
Contractor	-	An organisation or individual that signs a contract with the infrastructure project owner for the provision of a service, e.g. construction.
Convention on the Elimination of All Forms of Discrimination Against Women	CEDAW	www.ohchr.org/EN/HRBodies/CEDAW/.../CEDAWIndex.aspx
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.

Term	Acronym	Definition
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.
Critical Infrastructure		Critical infrastructure is physical and information technology facilities, networks, services and assets that, if disrupted or destroyed, would have a serious impact on the health, safety, security or economic well-being of citizens or effective functioning of governments. Critical infrastructures extend across many sectors of the economy, including banking and finance, transport and distribution, energy, utilities, health, food supply and communications, as well as key government services
Critically Endangered Species	CR	A taxon is Critically Endangered when the best available evidence indicates that it meets any of the criteria A to E for Critically Endangered (see Section V), and it is therefore considered to be facing an extremely high risk of extinction in the wild.
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.
Cumulative Impact	-	Cumulative impacts are those that result from the successive, incremental, and/or combined efforts of an action, project, or activity when added to other existing, planned, and/or reasonably anticipated future ones.
Cumulative Impact Assessment	CIA	It is the process of (a) analysing the potential impacts and risks of proposed developments in the context of the potential effects other human activities and natural environmental and social external drivers on the chosen VECs over time, and (b) proposing concrete measures to avoid, reduce, or mitigate such cumulative impacts and risk to the extent possible.
Curriculum Vitea	CV	N/A

Term	Acronym	Definition
Discrimination	-	<p>Includes:</p> <p>Any distinction, exclusion or preference made on the basis of race, colour, sex, religion, political opinion, national extraction or social origin, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation;</p> <p>Such other distinction, exclusion or preference which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation as may be determined by the Member concerned after consultation with representative employers' and workers' organisations, where such exist, and with other appropriate bodies.</p> <p>Any distinction, exclusion or preference in respect of a particular job based on the inherent requirements thereof shall not be deemed to be discrimination.</p>
Displacement	-	<p>Displaced persons may be classified as persons (i) who have formal legal rights to the land or assets they occupy or use; (ii) who do not have formal legal rights to land or assets, but have a claim to land that is recognized or recognizable under national law;19 or (iii) who have no recognizable legal right or claim to the land or assets they occupy or use. The census will establish the status of the displaced persons.</p> <p>Project-related land acquisition and/or restrictions on land use may result in the physical displacement of people as well as their economic displacement.</p>
Ecosystem Services	-	<p>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.</p>
Effective Access		<p>Electricity connection and used as primary source for lighting</p> <p>Piped water connection in the home or yard and used as primary source</p> <p>Private toilet or one shared with less than 20 people</p> <p>Organized garbage collection and trash is collected at least weekly</p> <p>Street lights exist and they work most of the time</p> <p>Public sewer, or septic tank or soak pit that is emptied when full</p> <p>Access road is surfaced and in good condition (at least) during the dry season.</p>

Term	Acronym	Definition
Embodied Energy	-	<p>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.</p> <p>Concerning infrastructure project, the following terms are used</p> <p>Initial Embodied Energy: The energy consumed to create the building, including; extraction, processing and manufacture, transportation and assembly.</p> <p>Recurring embodied energy: The energy consumed in refurbishing and maintaining the building during its life.</p> <p>Operational energy: The energy consumed in heating, cooling, lighting and powering appliances in the building.</p> <p>Demolition energy: The energy consumed in the disposal of the building.</p>
Employment and Occupation	-	Employment and occupation include access to vocational training, access to employment and to particular occupations, and terms and conditions of employment.
Empowerment of women		It refers to raising awareness, building self-confidence, expansion of choices, increased access to and control over resources for women and actions to transform the structures and institutions, which perpetuate gender discrimination and inequality.
Endangered	EN	A taxon is Endangered when the best available evidence indicates that it meets any of the criteria A to E for Endangered (see Section V), and it is therefore considered to be facing a very high risk of extinction in the wild.
Energy Efficiency	-	The ratio of output of performance, service, goods or energy to input of energy.
Energy Saving	-	An amount of saved energy determined by measuring and/or estimating consumption before and after implementation of an energy efficiency improvement measure, whilst ensuring normalisation for external conditions that affect energy consumption.
Environmental and Social Impact Assessment	ESIA	N/A
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

Term	Acronym	Definition
		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 and sustainable environmental and social performance, and can lead to improved financial, social, and environmental outcomes.
Environmental Flow	-	The quantity, timing, and quality of water flows required to sustain freshwater and estuarine ecosystems and the human livelihoods and well-being that depend on these ecosystems
Environmental Impact Assessment	EIA	N/A
Environmental Management System	EMS	N/A
Environmental or Social Management Systems	ESMS	N/A
Environmental, Health, and Safety	EHS	N/A
European and Mediterranean Plant Protection Organization	EPPO	www.eppo.int/
Financial Action Task Force	FATF	N/A
Food and Agriculture Organization	FAO	www.fao.org/
Forced or Compulsory Labour	-	<p>All work or service, which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily.</p> <p>The term in the SuRe® Standard shall not include:</p> <ul style="list-style-type: none"> Any work or service exacted in virtue of compulsory military service laws for work of a purely military character; Any work or service which forms part of the normal civic obligations of the citizens of a fully self-governing country; Any work or service exacted from any person as a consequence of a conviction in a court of law, provided that the said work or service is carried out under the supervision and control of a public authority and that the said person is not hired to or placed at the disposal of private individuals, companies or associations; Any work or service exacted in cases of emergency, that is to say, in the event of war or of a calamity or threatened calamity, such as fire, flood, famine, earthquake, violent epidemic or epizootic diseases,

Term	Acronym	Definition
		<p>invasion by animal, insect or vegetable pests, and in general any circumstance that would endanger the existence or the well-being of the whole or part of the population;</p> <p>Minor communal services of a kind which, being performed by the members of the community in the direct interest of the said community, can therefore be considered as normal civic obligations incumbent upon the members of the community, provided that the members of the community or their direct representatives shall have the right to be consulted in regard to the need for such services.</p>
Foreign Direct investment	FDI	N/A
Forest Stewardship Council	FSC	www.ch.fsc.org/de-ch
Free, Prior and Informed Consent	FPIC	<p>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.</p>
Gender		Gender refers to both women and men and the relations between them
Gender Action Plan	GAP	This refers to the strategy that a project will use to promote gender equality across all its activities and work. It includes clear targets, quotas, gender design features and quantifiable performance indicators to ensure women's participation.
Gender equality		According to UNDP Gender equality has a qualitative and quantitative definition. Quantitative aspect refers to the desire to achieve equal representation of women-increasing balance and parity, while the qualitative aspect refers to achieving equal influence on establishing development priorities and outcomes for men and women
Gender mainstreaming		It refers to the development of separate women's projects within work programmes, women components within existing activities in the working programmes and making gender perspectives (what women and men do and what resources and decision-making processes they have access to) more central at all policy development, research, development, implementation and monitoring of norms and standards, and planning, implementation and monitoring of projects.

Term	Acronym	Definition
Gender responsive infrastructure		This includes promoting “Gender responsive infrastructure” which aims to enhance women’s mobility, economic opportunities and well-being
Gender Sensitive		It refers to the aim of understanding and taking account of the societal and cultural factors involved in gender-based exclusion and discrimination in the most diverse spheres of public and private life. It focuses mainly on instances of structural disadvantage in the positions and roles of women.
Global Register of Introduced and Invasive Species	GRIIS	N/A
Good International Industry Practice	GIIP	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.
Greenhouse Gas Emissions		Emissions of Carbon dioxide (CO ₂), Methane (CH ₄), - Nitrous oxide (N ₂ O), - Perfluorocarbons (PFCs), Hydrofluorocarbons (HFCs), Sulphur hexafluoride (SF ₆)
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.
Greenfields & Greenfield Project	-	Generally speaking, greenfields are sites that have not yet been developed. Accordingly, greenfield projects are new projects (to be built).
Greenhouse Gases	GHG	N/A
Grey water	-	Grey water is reusable wastewater from residential, commercial and industrial bathroom sinks, bathtub shower drains, and clothes washing equipment drains that can be
Gross Domestic Product	GDP	N/A
Gross Fixed Capital Formation	GFCF	N/A

Term	Acronym	Definition
Gross National Profit	GNP	N/A
Gross Value Added	GVA	N/A
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.
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.
High Conservation Values	HCV	N/A
Ia Strict Nature Reserve		Category Ia are strictly protected areas set aside to protect biodiversity and also possibly geological/geomorphical features, where human visitation, use and impacts are strictly controlled and limited to ensure protection of the conservation values. Such protected areas can serve as indispensable reference areas for scientific research and monitoring.
Ib Wilderness Area		Category Ib protected areas are usually large unmodified or slightly modified areas, retaining their natural character and influence without permanent or significant human habitation, which are protected and managed so as to preserve their natural condition.
II National Park		Category II protected areas are large natural or near natural areas set aside to protect large-scale ecological processes, along with the complement of species and ecosystems characteristic of the area, which also provide a foundation for environmentally and culturally compatible, spiritual, scientific, educational, recreational, and visitor opportunities.
III Natural Monument or Feature		Category III protected areas are set aside to protect a specific natural monument, which can be a landform, sea mount, submarine cavern, geological feature such as a cave or even a living feature such as an ancient grove. They are generally quite small protected areas and often have high visitor value.
Illuminating Engineering Society	IES	www.ies.org/

Term	Acronym	Definition
Indigenous People	-	A social group with identities that are distinct from mainstream groups in the national societies.
Industry Norms	-	Current industry regulatory standards for a particular activity.
Information and Communication Technology	ICT	N/A
Informed Consultation and Participation	ICP	This refers to a more in depth exchange of views and information, and organized and iterative consultation leading to the Project Entities incorporating into their decision making process the views of the Affected Communities in matters that affect them directly, such as proposed mitigation measures, the sharing of development benefits and opportunities, and implementation issues.
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.
Intergovernmental Panel on Climate Change	IPCC	
International Federation of Consulting Engineers	FIDIC	fidic.org/
International Financial Corporation	IFC	www.ifc.org/
International Labour Organization	ILO	
International Organization for Standardization	ISO	www.iso.org/
International Union for Conservation of Nature	IUCN	www.iucn.org/

Term	Acronym	Definition
Invasive Alien Species	-	Invasive alien species are plants, animals, pathogens and other organisms that are non-native to an ecosystem, and which may cause economic or environmental harm or adversely affect human health. In particular, they impact adversely upon biodiversity, including decline or elimination of native species - through competition, predation, or transmission of pathogens - and the disruption of local ecosystems and ecosystem functions.
Involuntary Resettlement	-	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.
IV Habitat/Species Management Area		Category IV protected areas aim to protect particular species or habitats and management reflects this priority. Many Category IV protected areas will need regular, active interventions to address the requirements of particular species or to maintain habitats, but this is not a requirement of the category.
Key Biodiversity Areas	KBAs	N/A
Key Performance Indicators	KPIs	N/A
Leadership in Energy and Environmental Design	LEED	N/A
Least Concern	LN	A taxon is Least Concern when it has been evaluated against the criteria and does not qualify for Critically Endangered, Endangered, Vulnerable or Near Threatened. Widespread and abundant taxa are included in this category.
Lesbian, Gay, Bisexual, Trans and Queer	LGBTQ	N/A

Term	Acronym	Definition
Liabilities (social and environmental)	-	A legal obligation to make a future expenditure due to the past or on-going activities that adversely affect the environment or society (adapted from USEPA).
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.
Living wage		Living wage refers to the principle that workers and their families should be able to afford a basic, but decent, life style that is considered acceptable by society at its current level of economic development.
Management Criterion/a	MC	-
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.
Menstrual Hygiene Management	MHM	N/A
Minorities	-	Minority groups based on gender, 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.
Modified Habitat	-	Modified habitats are areas that may contain a large proportion of plant and/or animal species of non-native origin, and/or where human activity has substantially modified an area's primary ecological functions and species composition. Modified habitats may include areas managed for agriculture, forest plantations, reclaimed coastal zones, and reclaimed wetlands.
National Determined Contributions	NDCs	N/A
National Preventative Safety and Health Culture	-	A culture in which the right to a safe and healthy working environment is respected at all levels, where government, employers and workers actively participate in securing a safe and healthy working environment through a system of defined rights, responsibilities and duties, and

Term	Acronym	Definition
		where the principle of prevention is accorded the highest priority.
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.
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 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.
Near Threatened	NT	A taxon is Near Threatened when it has been evaluated against the criteria but does not qualify for Critically Endangered, Endangered or Vulnerable now, but is close to qualifying for or is likely to qualify for a threatened category in the near future.
Net Positive Impact	NPI	NPI goals are biodiversity goals for development projects. These goals call for negative biodiversity impacts caused by the project to be outweighed by biodiversity gains through compensation measures implemented in the project region. The biodiversity gains are evaluated against a baseline (e.g. a reference point or trajectory without the project occurring, or prior to the project occurring) of the relevant biodiversity values being impacted by the project. From a conservation perspective, achieving an NPI goal for a given project ultimately means no net reduction in the: Diversity within and among species and vegetation types; Long-term viability of species and vegetation types; and, Functioning of species assemblages and ecosystems, including ecological and evolutionary processes.
No Net Loss	NNL	NNL goals are biodiversity goals for development projects. These goals call for negative biodiversity impacts caused by the project to be balanced by biodiversity gains through compensation measures implemented in the project region. The biodiversity gains are evaluated against a baseline (e.g. a reference point or trajectory without the project occurring, or prior to the project occurring) of the relevant biodiversity values being impacted by the project. From a conservation perspective, achieving an NNL goal for a given project ultimately means no net reduction in the: Diversity within and among species and vegetation types; Long-term viability of species and vegetation types; and, Functioning of species assemblages and ecosystems, including ecological and evolutionary processes.

Term	Acronym	Definition
Nominal Access		Access of a household to services such as: Electricity connection Piped water connection at home or yard Sanitation access Organized garbage collection and trash Street lights Public sewer, or septic tank or soak pit Access road
Occupational Safety and Health Policy	OSH	N/A
Organization for Economic Co-operation and Development	OECD	www.oecd.org/
Performance Criterion/a	PC	-
Policy risk	-	Direct or indirect risks posed by changes in government policies, programmes, or plans, which can impact the Project.
Politically exposed person	PEP	A politically exposed person (PEP) is as an individual who is or has been entrusted with a prominent public function. Due to their position and influence, it is recognised that many PEPs are in positions that potentially can be abused for the purpose of committing money laundering (ML) offences and related predicate offences, including corruption and bribery, as well as conducting activity related to terrorist financing (TF).
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.
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.
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.

Term	Acronym	Definition
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.
Public Procurement	-	The action of a public authority, such as a government agency, to procure goods or services.
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.
Remuneration	-	Remuneration includes the ordinary, basic or minimum wage or salary and any additional emoluments whatsoever payable directly or indirectly, whether in cash or in kind, by the employer to the worker and arising out of the worker's employment. Equal Remuneration for men and women workers for work of equal value refers to rates of remuneration established without discrimination based on sex.
Renewable Energy	RNE	N/A
Renewable Energy	-	Energy that comes from natural resources such as sunlight, wind, rain, tides, and geothermal heat, which are naturally replenished.
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.
Retrenchment	-	Retrenchment can cover a wide range of dismissals that do not essentially relate to the conduct or capability of the worker. These include: the closure of a plant, factory, mine, or other workplace, with the total or near-total loss of jobs; job losses arising from a reduction in staffing requirements due to efficiency gains or falling demand for the company's products or service; job losses arising from a downsizing in operations or restructuring of the workforce following, for example, privatisation.
Salvage	-	For re-use in other sites
Small and Medium Enterprises	SME	N/A
Social Impact Assessment	SIA	N/A
Social Management System	SMS	N/A
Stakeholder Engagement	-	Stakeholder engagement is the basis for building strong, constructive, and responsive relationships that are essential for the successful management of a project's environmental and social impacts.

Term	Acronym	Definition
		Stakeholder engagement is an on-going process that may involve, in varying degrees, the following elements: stakeholder analysis and planning, disclosure and dissemination of information, consultation and participation, grievance mechanism, and on-going reporting to Affected Communities. The nature, frequency, and level of effort of stakeholder engagement may vary considerably and will be commensurate with the project's risks and adverse impacts, and the project's phase of development.
Stormwater	-	Water that originates during precipitation events. Stormwater that does not soak into the ground becomes surface runoff.
Subcontractor	-	An individual or business that performs part or all of a contractor's obligations.
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.
Sustainable Development Goals	SDG	N/A
UN	United Nations	www.un.org/en/
United Nations Environment Programme	UNEP	www.unep.org/
United Nations Office of the Coordination of Humanitarian Affairs	OCHA	www.unocha.org
Universal Design	-	<p>Universal Design describes the concept of designing all products and the built environment to be aesthetic and usable to the greatest extent possible by everyone, regardless of their age, ability, or status in life.</p> <p>Further description of the principles of universal design is:</p> <ol style="list-style-type: none"> 1. Equitable use. The design is useful and marketable to people with diverse abilities. For example, a website that is designed to be accessible to everyone, including people who are blind and use screen reader technology, employs this principle. 2. Flexibility in Use. The design accommodates a wide range of individual preferences and abilities. An example is a museum that allows visitors to choose to read or listen to the description of the

Term	Acronym	Definition
		<p>contents of a display case.</p> <p>3. Simple and intuitive. Use of the design is easy to understand, regardless of the user's experience, knowledge, language skills, or current concentration level. Science lab equipment with clear and intuitive control buttons is an example of an application of this principle.</p> <p>4. Perceptible information. The design communicates necessary information effectively to the user, regardless of ambient conditions or the user's sensory abilities. An example of this principle is captioned television programming projected in a noisy sports bar.</p> <p>5. Tolerance for error. The design minimizes hazards and the adverse consequences of accidental or unintended actions. An example of a product applying this principle is software applications that provide guidance when the user makes an inappropriate selection.</p> <p>6. Low physical effort. The design can be used efficiently, comfortably, and with a minimum of fatigue. Doors that open automatically for people with a wide variety of physical characteristics demonstrate the application of this principle.</p> <p>7. Size and space for approach and use. Appropriate size and space is provided for approach, reach, manipulation, and use regardless of the user's body size, posture, or mobility. A flexible work area designed for use by employees who are left- or right-handed and have a variety of other physical characteristics and abilities is an example of applying this principle</p>
V Protected Landscape/ Seascape		A protected area where the interaction of people and nature over time has produced an area of distinct character with significant, ecological, biological, cultural and scenic value: and where safeguarding the integrity of this interaction is vital to protecting and sustaining the area and its associated nature conservation and other values.
Valued Environmental and Social Components	VECs	VECs are environmental and social attributes that are considered to be important in assessing risks. They may be: physical features, habitats, wildlife populations, ecosystem services, natural processes (e.g., water and nutrient cycles, microclimate), social conditions (e.g., health, economics), or cultural aspects (e.g., traditional spiritual ceremonies)
VI Protected area with sustainable use of natural resources		Category VI protected areas conserve ecosystems and habitats together with associated cultural values and traditional natural resource management systems. They are generally large, with most of the area in a natural condition, where a proportion is under sustainable natural resource management and where low-level non-industrial use of natural resources compatible with nature conservation is seen as one of the main aims of the area.
Water Sanitation and Hygiene	WASH	N/A

Term	Acronym	Definition
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.
World Bank Group	WBG	www.worldbank.org/
World Health Organization	WHO	www.who.int/

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