



SuRe® – the Standard for Sustainable and Resilient Infrastructure

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NOTE: Abbreviations MC and PC stand for Management Criteria and Performance Criteria respectively. These terms are described in later sections of this document.

Preface

Legal Notice

Should any of the SuRe® Principles and/or Objectives included in this document be in contradiction with local or national law, the latter shall prevail.

Interpretation, Disputes and Complaints Notice

Questions of interpretation of the SuRe® Standard are addressed through procedures devised by the Scheme Owner, the Global Infrastructure Basel Foundation. When disputes and complaints arise between stakeholders concerning compliance or the interpretation of the SuRe Standard, then the relevant SuRe procedures for dispute resolution and interpretation shall apply.

Language Variation Notice

Translations of some documents are provided. If there are any differences between the English and other language versions, the English language version shall prevail.

Notes on the Versions of SuRe®

The Global Infrastructure Basel Foundation (GIB) as Scheme Owner has responsibility for this document, and will periodically (at least every 5 years) review and update it. The next revision is scheduled for 2022, however GIB reserves the right to conduct a review process sooner if needed, ensuring stakeholders are appropriately informed through GIB's main communication channels. GIB also welcomes comments on this document at any time. Contact Email: standard@gib-foundation.org, Global Infrastructure Basel Foundation Elisabethenstrasse 22, 4051 Basel, Switzerland.

The table below lists the previous versions of SuRe® that led to this current version 1.0.

Versions Issued		
Version No.	Date	Description of Amendment
Vo.2	December 2015	Launch of SuRe® version 0.2 at COP21
Vo.3	July 2016	Release of version 0.3 Restructuring of the SuRe® Criteria
V1.0	November 2017	Release of SuRe® version 1.0 at COP23 - First version to which projects may be certified Restructuring of the SuRe® Criteria

About the SuRe® - the Standard for Sustainable and Resilient Infrastructure

Economic and social development relies on having functioning and efficient systems. An important element of these systems is infrastructure. Infrastructure supports social and economic systems by enabling access to critical services such as provision of water, health and education, increasing connectivity among cities

through roads and other means of transport and importantly, providing housing to the whole population. Infrastructure is developed to last for decades and embedding sustainability and resilience aspects into infrastructure development and upgrade present large opportunities to ensure that society is not locked-in to an unsustainable path but rather contributes to achieving societal, governance and environmental sustainability objectives (for example by building infrastructure resilient to natural disasters, that is energy efficient, that considers the local population's needs).

Infrastructure projects, however, need guidance to better understand what elements of sustainability and resilience should be integrated into infrastructure development and how to integrate them. SuRe[®], a global voluntary standard which integrates sustainability and resilience aspects into infrastructure development and upgrade, aims to be the means through which project developers, the public sector and financiers have access to those requirements that should be integrated into infrastructure projects to ensure that they follow Good International Industry Practice (GIIP) in terms of sustainability and resilience in infrastructure.

The SuRe[®] Standard is science and evidence-based, developed through a rigorous stakeholder process. As such, SuRe[®] includes input from scientists and experts on an on-going basis to reflect new findings and understandings in the relevant frameworks for infrastructure, sustainability, and resilience. SuRe[®] was developed following the ISEAL Alliance Codes of Good Practice for standard setting. The SuRe[®] Standard builds up on existing initiatives and encourages best international practice in line with the most relevant international frameworks. SuRe[®] does not favour a particular technology or patented item over another, rather it builds up on existing efforts and encourages best international practice in line with the relevant frameworks for infrastructure sustainability and resilience.

About Global Infrastructure Basel Foundation (GIB)

Global Infrastructure Basel Foundation (GIB) is the scheme owner of SuRe[®]. GIB is a Swiss foundation based in Basel, Switzerland, working to promote sustainable and resilient infrastructure through sustainable infrastructure design and financing on a global scale. Active since 2008, GIB works with multiple stakeholders such as city representatives to project developers and infrastructure financiers, with a focus on emerging and developing countries. GIB envisions a world where sustainable and resilient infrastructure is the norm rather than the exception, as such GIB supports the development and financing of sustainable and resilient infrastructure through numerous initiatives and activities including the **SuRe[®] Standard**, which GIB has developed together with the French investment bank Natixis.

SuRe® - The Standard for Sustainable and Resilient Infrastructure

1 Introduction

1.1 Normative Statement

This document contains SuRe® – the Standard for Sustainable and Resilient Infrastructure (hereinafter “SuRe®”), and is a key document in the SuRe® Standard system. The SuRe® Standard consists of the Preface, Introduction, three Dimensions (Environment, Governance and Society) and their associated Criteria. All of these (the Introduction, Dimensions, Criteria and Glossary) shall be considered normative.

Additionally, the SuRe® Standard incorporates Guidance that provides supplemental information to the SuRe® criteria as well as Optional Good Practices for Improved Performance. The Optional Good Practices for Improved Performance and the listed Useful Resources under the Guidance sections of each criterion do not form part of the normative requirements of SuRe®, but Projects are encouraged to implement them if relevant to their sector and scope.

1.2 About this document

This document is intended for the users of SuRe® - project developers, project promoters financiers and public sector institutions.

For the purposes of SuRe®, the following key definitions and those in the Glossary (found at the end of this document) shall apply. Concepts, terms and phrases used within the SuRe® Standard that have more than one definition are defined within the text where such terms or phrases appear.

- **Infrastructure** refers to: the physical and digital components of systems that provide services required to enable, sustain, or enhance societal living conditions.
- **The Project**: is the unit of certification for the SuRe® Standard; it includes all ‘Infrastructure’, activities and actors comprising “The Project” to which the certification applies. The ‘Infrastructure’, activities and actors included by the term “The Project”, are defined for each project seeking certification, and may typically include, for example: a system of physical components within a boundary; activities performed as a part of the planning, design, construction, operation, maintenance of The Project; The Project owner, the contractor(s), the operation and maintenance contractor(s), or any other entity to which responsibility for an element of the “The Project” has been given. A typical infrastructure project undergoes the following development phases:
 - a) planning & design;
 - b) construction;
 - c) commissioning;
 - d) operation;
 - e) restoration or upgrade,
 - f) augmentation and/or decommissioning.

38 — **The Project Owner:** refers to the legal entity or entities holding ownership of The Project.
 39 Responsibility for ensuring compliance with the SuRe® Standard lies with the person(s) or entities
 40 that is/are the certificate applicant or holder.

41 NOTE: The 'Project Owner' is considered a subset of the term "The Project".

42 2 SuRe® Supporting Documents

43 The implementation of the SuRe® Standard for projects is supported by additional documents detailed in
 44 Table 1 below and which are publically available on the "Document Library" on GIB's website: [www.gib-
 45 foundation.org/standard](http://www.gib-foundation.org/standard). Requirements for certification and accreditation bodies are found in the document
 46 "SuRe® Certification and Accreditation Requirements" available on request to SuRe® accredited bodies.
 47

48 **Table 1.** List of SuRe® Documents for Projects

Code	Title	Description
MA02	SuRe® Terms of Reference <i>Non-normative Document</i>	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 <i>Normative Document for SuRe® Governance Bodies</i>	Decision-making process of the Standard, application process to decision-making bodies, stakeholder balanced composition of decision-making bodies.
PR01	SuRe® Standard Setting Procedures <i>Normative Document for SuRe® Governance Bodies</i>	Standard Setting Review and Revision Process.
MA04	SuRe® Work Programme <i>Non-Normative Document</i>	Timeline of activities for standard development, revisions and stakeholder involvement.
PR05	SuRe® Transition Procedure <i>Normative Document</i>	Transition procedure for certificate holders and new clients when a new version of the Standard is available.
PR01	SuRe® Complaints Procedure <i>Normative Document</i>	Procedure to submit a complaint and how to address fraud claims.

49

50 3 About SuRe®

51 3.1 Objectives

52 The SuRe® Standard's objective is to drive the integration of sustainability and resilience aspects into
 53 infrastructure development and upgrade by providing guidance and serving as a globally applicable common
 54 language tool for infrastructure project developers, financiers and public sector institutions.
 55

3.2 Scope

SuRe® is a globally applicable Standard for infrastructure projects.

SuRe® can be applied to all infrastructure sectors including (but not limited to) transportation, utilities (water, sewage, electricity), energy production and soft infrastructure (such as health and education infrastructure), urban as well as rural infrastructure development projects. For example, projects that are eligible to apply for SuRe® certification include but are not limited to projects providing the following services:

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

SuRe® can be applied to all development phases of infrastructure projects including: planning, design, commissioning, construction, operation and decommissioning. SuRe® is not limited to new infrastructure development (commonly described as ‘green- field’ projects). While project developers are encouraged to apply SuRe® as early as possible in the life cycle of an infrastructure project, the Standard can also be applied during the refurbishment and upgrading of existing infrastructure (i.e. ‘brownfield’ projects).

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

For the purposes of the SuRe® certification and assessment process, The Unit of Certification shall be defined at the start of the assessment procedure. "The Project" is the Unit of Certification and shall include all assets, activities and actors comprising the "Project" to which the certification applies.

Projects may apply for certification under SuRe® either before, during, or after The Project’s construction. Section 4 below gives an overview of the certification process including treatment during the different infrastructure phases of each Project.

3.3 Contributing to International Frameworks

SuRe®, developed through a rigorous stakeholder and research process, integrates requirements for infrastructure projects to contribute at project level to the achievement of the objectives of international frameworks including the United Nations Framework Convention on Climate Change (UNFCCC), the Convention on Biological Diversity (CBD), the Sendai Framework for Disaster Risk Reduction, the International Labour Organisation (ILO) Declaration on Fundamental Principles and Rights at Work and

99 others. SuRe® complements the Equator Principles and integrates the International Finance Corporation
100 (IFC) Performance Standards on Environmental and Social Sustainability.

101 For a detailed list of the international frameworks which SuRe® contributes to, refer to the document “SuRe®
102 Terms of References”.

103 **4 Certification Overview**

104 **4.1 General Provisions for Projects**

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

107
108 SuRe® relies on independent third party certification of infrastructure projects throughout their life cycles by
109 certification bodies accredited to the SuRe certification scheme. As such, projects wishing to obtain SuRe®
110 certification shall show compliance to SuRe® requirements presented in this document through a third party
111 audit carried out by accredited certification bodies (for a list of current SuRe® accredited certification bodies,
112 please refer to SuRe®’s website).

113
114 Different levels of certification (SuRe® Bronze, SuRe® Silver and SuRe® Gold certified) are awarded
115 depending on project scores. While certification is available at different stages in the development of an
116 infrastructure project, SuRe® encourages project developers to implement SuRe® as early as possible during
117 the planning and/or design phase or even before in the government planning phase, when life cycle thinking
118 can help to optimise sustainability and resilience benefits.

119
120 The timeline for SuRe® certification spans between two to six months. In order to be eligible for certification,
121 a Project must complete the following steps:

- 122 a) Project Preparation Phase (recommended): Projects are encouraged (but not required) to consult
123 the SuRe® materials to prepare for the full certification process.
- 124 b) Registration: Projects shall register in SuRe®’s webpage providing relevant Project and contact
125 information.
- 126 c) Materiality Assessment: Projects shall complete a Materiality Assessment of the SuRe® criteria
127 against their Project characteristics (for information on Materiality refer to Section 5 below).
- 128 d) Certification Body engagement: Projects shall select a SuRe® accredited Certification Body (CB)
129 that will carry out the full assessment of compliance against SuRe® criteria.
- 130 e) Stakeholder consultation: as part of their assessment of compliance against SuRe® criteria, the
131 Project shall undergo a stakeholder public consultation of their Materiality Assessment.
- 132 f) Compliance with SuRe® criteria: Projects shall successfully demonstrate compliance with required
133 SuRe® criteria verified by a SuRe® accredited Certification Body (for more information on criteria
134 compliance and scoring refer to Section 7 and Table 2 below).
- 135 g) Reporting: Projects shall annually report on required SuRe® criteria and indicators and undergo
136 yearly surveillance audits (for more information on reporting refer to Section 9 below).
- 137 h) Recertification: SuRe® certification is valid for 5 years from the date of certification. During that
138 period annual surveillance audits will take place to ensure continued compliance with SuRe®
139 criteria. Projects are encouraged to apply for recertification on the 5th year of their certification
140 and before their certificate expires.

NOTE: If The Project is still in the design phase after five years of initial certification, The Project can defer recertification if it can demonstrate, through an official declaration, that there have not been material changes.

Table 2. SuRe® Levels of certification

SuRe® Certification Levels	
Bronze certified projects	Go beyond local industry norms. Have thoroughly identified and mitigated key Environmental, Social and Governance risks. Do not lead to a lock-in to unsustainable development pathways.
Silver certified projects	In addition, Silver certified projects: Implement best in class 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 and the five capitals of Sustainable Development (Natural Capital, Social Capital, Human Capital, Financial Capital, Manufactured Capital).
Gold certified projects	In addition, Gold certified projects: Demonstrate that benefits to society are also accessible to the poor AND EITHER OF: Demonstrate significant (above and beyond best in class) innovative practices. OR Demonstrate significant benefits to society and environment.

4.2 SuRe® Certification at Different Stages of Infrastructure Development

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

- a) A typical infrastructure project undergoes the following development phases: planning and/or design; construction; commissioning; operation; upgrade, augmentation and/or decommissioning. SuRe® supports projects to follow Good International Industry Practice (GIIP) in each of these phases. A Project wishing to be SuRe® certified may apply for and retain SuRe® certification in any of these phases.
- b) SuRe® requirements span and are applicable throughout The Project's lifecycle and through all phases, with SuRe® compliance requirements treated accordingly to the phase The Project is currently at. This means that a project applying for certification in an early phase of development, for example pre-construction (planning and/or design), is not required to demonstrate compliance with SuRe® criteria relating to performance during later phases of development (for example, requirements for compliance with amount materials sourced and used for construction would not have happened yet). In this case, projects are required to make written time-bound commitments to future practice, for example within design documents. These design documents however, shall be verified during the surveillance audits. Projects are then required to report annually against the

166 achievement of these commitments as they are implemented and as they go through their own
167 development phases.

168 c) Projects first applying for certification at a later stage of development, for example post-
169 construction (e.g. during operation), are required to demonstrate retrospective or retroactive
170 compliance with criteria relating to any earlier stage of development. If a project is unable to
171 demonstrate retrospective or retroactive compliance with required criteria, it shall be considered
172 ineligible for certification in the future, unless it can demonstrate that it has taken appropriate
173 mitigation measures, which are approved on a case by case basis by GIB. For example, a project
174 may be required to demonstrate retrospective compliance with criteria requiring The Project to
175 have obtained Free, Prior and Informed Consent (FPIC) from stakeholders prior to construction. In
176 this case, retroactive compliance is not possible; therefore, if The Project had not obtained FPIC
177 prior to construction, it would not be eligible for certification in the future. If, however, The
178 Project can successfully demonstrate that it has taken mitigation measures that have resulted in
179 an equivalent outcome, it could be considered eligible, at the discretion of GIB.

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

184 e) In all cases, a site visit and review of the compliance assessment is required within one year of
185 completion of construction of The Project.

186 NOTE: The completion of construction refers to the moment, when the contractor's performance certificate is
187 returned.

188 f) Summaries of the audit reports should be published in the public domain.

189 g) In cases where projects comprise several staged, commissioned components more than one year
190 apart, several site visits may be required to ensure that each component is inspected.

191 **5 SuRe® Materiality Assessment**

192 This section presents an overview of the SuRe® Materiality Assessment which projects applying for SuRe®
193 certification shall complete as part of their assessment process.

194
195 The Materiality Assessment shall be done with input from The Project, the Certification Body, and
196 stakeholders in compliance with the SuRe® Materiality Assessment Methodology. The purpose of the
197 Materiality Assessment is to identify which sustainability and resilience issues are of most importance to
198 each Project applying for SuRe® certification.

199
200 The infrastructure Project shall carry out a materiality assessment against all relevant sustainability and
201 resilience issues, including (but not limited to) issues related to all SuRe® criteria, taking into account The
202 Project type, size, location, sector and country (context). The resulting assessment shall be updated
203 throughout the life cycle of the infrastructure during surveillance audits. The outcomes of the materiality
204 assessment shall be made readily available to Certification Bodies as part of the SuRe® certification process.
205

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

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

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

219 The Materiality Assessment results in identification of:

- 220 — SuRe® criteria that are of high materiality for The Project;
- 221 — SuRe® criteria that are of medium materiality for The Project;
- 222 — SuRe® criteria that are of low materiality for The Project;
- 223 — SuRe® criteria that are not material for The Project;
- 224 — Additional sustainability or resilience issues that require consideration to what is covered in the
225 SuRe® Standard requirements.

226 The materiality level (high, medium, low, or not material) affects how The Projects are scored in terms of
227 their requirements for compliance (refer to Section 7) and to what level of on-going reporting is required of
228 projects against SuRe® criteria (refer to Section 8).

229

230 **6 SuRe® Criteria**

231 **6.1 General Provisions**

232 SuRe® consists of 61 criteria divided into 14 themes across Environmental, Social and Governance (ESG)
233 aspects. In addition, SuRe® includes two general requirements for compliance: a materiality assessment and
234 an overarching reporting requirement. SuRe® criteria have been developed to ensure that SuRe®’s strategic
235 objectives and outcomes can be achieved by projects complying with the Standard using clear, specific,
236 objective and verifiable language.

237

238 SuRe® criteria do not substitute national law or requirements but rather complement them by clearly
239 referencing Good International Industry Practice (GIIP) and following the guidelines established by
240 international frameworks and conventions. SuRe® criteria may also be adaptable to national and regional
241 conditions and needs.

242

243 Compliance with SuRe® is assessed on the basis of minimum compliance thresholds, supporting evidence
244 and reports that monitor progress on compliance. SuRe® criteria are comprised of performance-oriented
245 criteria (PC) and management-oriented criteria (MC). Table 3 below gives a snapshot of the SuRe® criteria,
246 dimensions and themes.

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

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

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6.2 Management Criteria

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Management Criteria, a total of 46, are criteria which are commitment and process oriented. This means that projects shall demonstrate that their management systems, approach or processes include the requirements specified in SuRe® Management criteria. They are meant to guide projects in improving their performance by providing a list of evidence for activities that support The Project in achieving social, environmental and resilient outcomes. These evidence might relate to a policy, process, procedure, supporting tasks and other documentation or activities. The evidence demonstrates that the organizational culture and management system of The Project is in line with The Project’s own strategic and operation objectives. At the same time, they support the vision and goal of SuRe® - creating and maintaining sustainable and resilient infrastructure.

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

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- Comply with all requirements contained in the ‘Description’ section in the management criterion;
- Provide evidence of compliance with all requirements under the ‘Evidence’ section in the management criterion;
- Report against the reporting requirements in the ‘Reporting’ section in each management criterion.

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

6.3 Performance Criteria

The Performance Criteria, a total of 15, are intended to capture progressively improving performance against quantitative and qualitative requirements of the SuRe® Standard

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

- Comply with all requirements contained in the criterion ‘Description’ section;
- Comply with all requirements in one of the three Performance Levels (PL);
- Report against the ‘Evidence & Reporting’ for Material and Highly Material criteria.

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

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

Table 4. Intended Performance Requirements of the Three Performance Levels

Performance Level 1 (PL1)	Performance Level 2 (PL2)	Performance Level 3 (PL3)
<p>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:</p> <p>Performs above industry norms;</p> <p style="text-align: center;">AND</p> <p>Demonstrates it has thoroughly identified and mitigated key ESG risks.</p>	<p>The performance requirements of this level significantly exceed minimum requirements for sustainable and resilient practice. For most criteria, this means that The Project:</p> <p>Demonstrates best in class local and international practices;</p> <p style="text-align: center;">AND</p> <p>The Project has zero net negative impact (for criteria dealing with negative impacts).</p>	<p>The performance requirements of this level constitute leading practice. Projects reaching this level are industry leaders and innovators in this area. For most criteria, this means that The Project:</p> <p>Demonstrates significant innovative practices.</p> <p style="text-align: center;">AND</p> <p>Demonstrates significant positive impact to society and the environment.</p>

NOTE: ‘Evidence & Reporting’ are both qualitative and quantitative indicators intended to: monitor the progress of a project through time; enable benchmarking against similar projects; and enable impact assessment of SuRe® Certified Projects. Evidence & Reporting indicators are specified for each Performance Criterion.

6.4 Safeguarding Red Criteria

SuRe® has 22 criteria defined as ‘Safeguarding Red Criteria’, these criteria shall be treated as mandatory requirements, meaning that compliance with these criteria is required in order to achieve certification. The Safeguarding Red Criteria are spread out throughout the 14 SuRe® themes and can be Management or

298 Performance Criteria. Red criteria safeguard the minimum requirements that SuRe®'s stakeholders deem as
299 critical for ensuring that a Project is designed, built, operated and/or decommissioned in a sustainable and
300 resilient manner.

301 Opting out from Safeguarding Red Criteria is not allowed, except in special cases where the non-materiality
302 of a specific criterion/criteria has been identified as a result of the Materiality Assessment and is supported
303 by evidence which has been reviewed and approved by an accredited SuRe® auditor.
304

305 **7 Scoring**

306 Projects shall comply with a certain number of criteria depending on the level of certification sought (Bronze,
307 Silver, Gold) and the materiality of the criteria, determined during the materiality assessment for each
308 Project. The following provisions define the number of criteria that need to be satisfied for each level of
309 certification:

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

- 312 — All red criteria
- 313 — 80% of high materiality criteria (including management criteria and performance criteria)
- 314 — 70% of medium materiality criteria (including management criteria and performance criteria)

315 NOTE: Performance criteria shall comply at least with PL1 as outlined in section 6.3
316

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

- 318 — All red criteria and high materiality criteria
- 319 — 80% of medium materiality criteria
- 320 — 10% of low materiality criteria
- 321 — 80% of high materiality performance criteria to at least PL2
- 322 — 50% medium material performance criteria to at least PL2

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

- 324 — All red criteria, all highly material and medium material criteria
- 325 — 20% of low material criteria
- 326 — All high materiality performance criteria to at least PL2
- 327 — 80% of medium materiality performance criteria to at least PL2
- 328 — 50% of high materiality performance criteria to at least PL3
- 329 — 30% of medium materiality performance criteria to at least PL3

330 These scoring provisions will be updated in future versions of the SuRe® Standard, recognising the need for
331 on-going improvements of projects to match the continuous improvements in understanding sustainability
332 issues. Refer to Section 4.2 for details on how projects must transition to comply with changes to Standard
333 Requirements through time.
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336 8 Reporting

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

342
 343 Reporting requirements of projects to certification bodies detailed in this Standard are separate from The
 344 Project reports and performance under the contract that infrastructure projects have as part of their own
 345 operations and specific regulations. For example, a Project shall be required, as part of SuRe® criteria, to
 346 report annually on number of workplace accidents but The Project itself may have to report on this quarterly
 347 for their own purposes. In this case, individual Project reporting may serve as basis to provide the annual
 348 reporting to comply with the SuRe® Reporting requirement.

349
 350 To comply with the reporting requirements in SuRe®, a Project shall do the following:

351 — For Management Criteria:

- 352 ○ Demonstrate compliance with the reporting requirement in each of the management criteria
 353 material to The Project in the following way:
 - 354 ■ High material criteria: all reporting requirements must be met. Annual reporting for
 355 surveillance audits is mandatory;
 - 356 ■ Medium material criteria: all reporting requirements must be met. Annual reporting
 357 for surveillance audits is mandatory;
 - 358 ■ Low material criteria: reporting is encouraged but not mandatory;
 - 359 ■ Non-material criteria: no reporting required;
 - 360 ■ Report on major or significant changes in The Project that may threaten compliance
 361 against SuRe® criteria;
 - 362 ■ Report on major or significant changes in The Project that may significantly improve
 363 the level of compliance against SuRe® criteria.

364 — For Performance Criteria:

- 365 ○ Demonstrate compliance with the reporting requirement for the respective performance
 366 criteria level to The Project in the following way:
 - 367 ■ Description: minimum evidence that a project must provide to demonstrate
 368 compliance with the criterion
 - 369 ■ Performance Level 1-3: These sections describe requirements that a project must
 370 meet in order to qualify for the respective performance level in this criterion.
 - 371 ■ Evidence & Reporting: Describes the indicators that shall be used to demonstrate
 372 compliance with the respective performance level
 - 373 ■ Red Criterion: indicates that it is a safeguarding red criterion, which must be
 374 complied with for all projects, regardless of materiality.

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

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GOVERNANCE

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The Project shall employ management and oversight processes that enhance the sustainability and resilience outcomes of the Project, including improved stakeholder engagement, anti-corruption and transparency.

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Theme GI: Management and Oversight

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428 Infrastructure development and/or operations shall be carried out according to contract terms and best
429 management practice that ensure applicable law is applied in accordance with international and national
430 norms.
431

Criterion G1.1 Organisational Structure and Management (MC)

REQUIREMENTS

A. Description

The Project shall operate under a sound and efficient organisational structure throughout its lifecycle. The structure shall include:

- i) A clear separation of roles (for example, separation of board and management, oversight, arbitration, etc.);
- j) A clear allocation of responsibilities and duties (including accountability).

Interactions between actors shall be clearly defined and function effectively. At least one member of The Project’s senior management team shall be designated responsible for managing sustainability and resilience.

B. Evidence

The Project shall provide the following evidence:

- Organogram of The Project and of its Direct Contractors, Sub Contractors and Primary Suppliers (if applicable) identifying main functions and responsibilities of each team and person in charge;
- Identification of one member of senior management responsible for sustainability and resilience;
- Documentation demonstrating a clear separation of roles and unambiguous allocation of responsibilities and duties, for example, Articles of Association.

C. Reporting

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, relevant.	if The Project

NOTE: This criterion was developed based on the following bibliography:
 (ARUP, 2016)
 (Global Infrastructure Basel Foundation, 2016)
 (Hargroves, 2014, pp. 23-24)
 (Swiss Re, 2016)

GUIDANCE

D. Optional practices for Improved Performance

There is no text in this section.

E. Useful Resources

There is no text in this section.

Criterion G1.2 Project Team Competency (MC)

REQUIREMENTS

A. Description

For the construction and the operation phases of The Project, project team(s), including those of its Direct Contractors, shall consist of skilled and experienced professionals qualified to fulfil their tasks and responsibilities and are appointed based on merit via a transparent recruitment process.

B. Evidence

The Project shall provide the following evidence:

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

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

C. Reporting

The Project shall report on the following:

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

NOTE: This criterion was developed based on the following bibliography:

- (ARUP, 2014, p. 13. No. 10.)
- (Global Infrastructure Basel Foundation, 2016)
- (Infrastructure Sustainability Council of Australia, 2016)
- (Long Term Infrastructure Investors Association, 2017)
- (Swiss Re, 2016)

GUIDANCE

D. Optional practices for Improved Performance

There is no text in this section.

E. Useful Resources

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

Criterion G1.3 Legal Compliance and Oversight (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

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 and indigenous rights.

B. Evidence

The Project Owner shall provide 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 risk analysis;

C. Reporting

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 a 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 legal authorisations and permits to build and operate The Project, including relating to environmental permits. NOTE1: This requirement is not applicable for the design and planning phase.		

NOTE2: This criterion was developed based on the following bibliography:
(Equitable Origin, 2012, p. 24 (1.1))
(Transparency International, 2016)

GUIDANCE

D. Optional practices for improved performance

There is no text in this section.

E. Useful resources

There is no text in this section.

540 Criterion G1.4 Results Orientation (MC)

541 542 REQUIREMENTS

543 544 A. Description

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

553 554 B. Evidence

555 The Project shall provide the following evidence:

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

558 559 C. Reporting

560 The Project shall report on the following:

561 <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) Monthly (for internal purposes)	The Project

562 NOTE: This criterion was developed based on the following bibliography:

- 563 (Global Infrastructure Basel Foundation, 2016)
- 564 (International Federation of Consulting Engineers, 2012)
- 565 (IFC, 2012)
- 566 (International Institute for Sustainable Development, 2017)

567 568 569 GUIDANCE

570 571 D. Optional practices for improved performance

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

575 576 E. Useful resources

577 There is no text in this section.

Criterion G1.5 Risk Management (MC)**REQUIREMENTS**

A. Description

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

B. Evidence

The Project shall provide the following evidence:

- Risk analysis identifying where the main risks stand (for example, during construction period, the areas where significant delays are expected) and the available mitigation measures;
- Risk register;
- Evidence of adequate processes to ensure that mitigation measures identified are effectively implemented (for example as part of a Risk Management Plan).
- Assessment of infrastructure project's impacts and dependencies on natural capital (see Natural Capital Protocol).

NOTE: In many cases, requirements of risk assessments are included in the works contract for The Project, which may also be used as evidence for this criterion.

C. Reporting

The Project shall report on the following:

<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

NOTE: This criterion was developed based on the following bibliography:

- (ARUP, 2014, p. 12 (8))
- (Sakamoto & Véron-Okamoto, 2014, pp. 51-56)
- (Global Infrastructure Basel Foundation, 2016)
- (IFC, 2012)
- (Infrastructure Sustainability Council of Australia, 2016)
- (United Nations Office for Disaster Risk Reduction, 2015)
- (International Organization for Standardization, 2015)
- (Natural Capital Coalition, 2016)

GUIDANCE

D. Optional practices for improved performance

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

E. Useful resources

International Organisation for Standardization 31000, (2015)

Criterion G1.6 Infrastructure Interconnectivity and Integration (MC)

REQUIREMENTS

A. Description

The Project shall implement, interconnectivity practices that take into account The Project in its entirety, including in terms of interdependencies with wider infrastructure systems and cumulative impacts as described in SuRe® criterion E4.5. 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 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 (considering a large area for master planning)
- 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 and to reduce cumulative impacts

NOTE: 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.

B. Evidence

The Project shall provide the following evidence:

- The Project has consulted the relevant authorities and is aware of any on-going, existing or future project with which it can have possible synergies or possible negative cumulative impacts;
- 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

NOTE: This criterion was developed based on the following bibliography:

- (International Federation of Consulting Engineers, 2012)
- (Sayeg, Starkey, & Huizenga, Results Framework on Sustainable Transport, 2014, pp. 14, 17, 20)
- (National Environmental Policy Act , 2015)

GUIDANCE

D. Optional 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. Project Developers should advocate for the development of master plans

E. Useful resources

There is no text in this section.

664 **Criterion G1.7 Public Disclosure (MC)**

665 **REQUIREMENTS**

667 **A. Description**

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

- 670 a) Project summary information including: project name and location; purpose, description and
 671 scope; sector and subsector; total anticipated and achieved CAPEX, funding sources; timeline;
 672 status of development; anticipated or achieved completion date; reasons for significant project
 673 changes (whether related to cost, scope, contract and design);
- 674 b) Ownership information of The Project, including legal structure, shareholders and ultimate
 675 ownership beneficiaries;
- 676 c) Information on any relationship with applicable local authorities, including any conflict of interest
 677 statements;

678 NOTE: Entities in this case refer to the public institutions, which are attached to the local authorities

- 679 d) Summary of the Stakeholder Engagement including engagement with the Indigenous People,
 680 Minorities and other Affected Communities as identified under SuRe® criterion G3.2 Stakeholder
 681 Engagement and Participation and criterion S3.1 Minorities and Indigenous People;
- 682 e) Summary of the Environmental and Social Impact Assessment as identified under SuRe® criterion
 683 G2.1 Environmental and Social Management Systems;
- 684 f) All Project risks that pose a material threat on society and environment, as identified under SuRe®
 685 criterion G1.5 Risk Management

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

690 **B. Evidence**

691 The Project shall provide the following evidence:

- 692 — Existence of a project website that provides the information listed in criterion G1.7 above;

693 NOTE: More evidence shall be delivered if requested

694 **C. Reporting**

695 The Project shall report on the following:

<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

700 NOTE: This criterion was developed based on the following bibliography:
701 (Construction Sector Transparency Initiative, 2013)
702 (The Equator Principles Association, 2013)
703 (Equitable Origin, 2012, pp. 16, 35)
704 (Infrastructure Sustainability Council of Australia, 2016)
705 (International Federation of Consulting Engineers, 2012)
706 (IFC, 2012)
707 (Global Infrastructure Basel Foundation, 2016)
708 (World Bank Group, 2015)

710 GUIDANCE

712 D. Optional practices for improved performance

- 713 — Publically visible information billboard located at The Project site, which states the main features
714 of The Project including the website domain;
- 715 — Disclosure of the high-level plans (route layout) with the public for new infrastructure projects (on
716 their own website or SuRe website (when available);
- 717 — Information Sharing of case studies and learnings with market participants.

719 E. Useful resources

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

721

722 **Criterion G1.8 Financial Sustainability (MC)**

723
724 **REQUIREMENTS**

725
726 **A. Description**

727 The Project shall demonstrate that it is financially sound. The Project shall be able to generate sufficient
728 revenue over the whole life cycle of the assets to cover all its costs, including operational costs, cost of
729 capital, depreciation of the assets, decommissioning and, if relevant, and to the best possible estimate, risk-
730 mitigation costs (including but not limited to disaster risk reduction).

731
732 **B. Evidence**

733 The Project shall provide the following evidence:

- 734 — Evidence that The Project has carried out an economic and financial analysis, that fully
735 incorporates natural and social capital costs, and has established a business plan including
736 revenues and all financial, natural and social capital costs estimates over the life of The Project,
737 demonstrating the economic soundness of The Project (i.e. Its ability to generate sufficient
738 revenues, including in case of economic/financial stress and other kind of business continuity risk
739 scenarios);
- 740 — The Project has established the financing plan;
- 741 — If already available, closed contracts for securing funds.

742
743 **C. Reporting**

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

746
747 NOTE: This criterion was developed based on the following bibliography:

- 748 (Sakamoto & Véron-Okamoto, 2014)
- 749 (United Nations Office for Disaster Risk Reduction, 2015)
- 750 (World Bank, 2013)

751
752 **GUIDANCE**

753
754 **D. Optional practices for improved performance**

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

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

759
760 **E. Useful resources**

761 The following resources provide further guidance:

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

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Theme G2: Sustainability and Resilience Management

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

Criterion G2.1 Environmental and Social Management Systems (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

The Project shall make a written 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 use sustainable management techniques at least as stringent as those articulated in the World Bank Group (WBG) Environmental, Health, and Safety (EHS) Guidelines. If less stringent levels or measures than those provided in the WBG EHS Guidelines are used, complete disclosure and justification for the proposed alternatives is required.

B. Evidence

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 (including disaster risk reduction) objectives, principles and 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.
- Dependencies on natural capital and opportunities e.g. for positive environmental and social outcomes e.g. through restoration or investment in ecological/green infrastructure.

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.

NOTE: The Project has the freedom to determine and demonstrate to the auditor why they used one guideline over the World Bank Group (WBG) Environmental, Health, and Safety (EHS).

C. Reporting

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

NOTE: This criterion was developed based on the following bibliography:

(Sorg, 2015, p. EC02)

(The Equator Principles Association, 2014)

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

(European Union, 2009)

- 825 (Hargroves, 2014, pp. 21-22)
826 (International Federation of Consulting Engineers, 2012)
827 (International Finance Corporation, 2014)
828 (IFC, 2012)
829 (International Organization for Standardization, 2014)
830 (International Organization for Standardization, 2015)
831 (International Union for Conservation of Nature, 2016)
832 (Long Term Infrastructure Investors Association, 2017)
833 (Global Infrastructure Basel Foundation, 2016)
834 (Pöyry, 2016)
835 (United Nations Office for Disaster Risk Reduction, 2015, pp. 20, Para 30m)
836 (International Union for Conservation of Nature (IUCN), 2017)
837 (IUCN, 2016)
838 (International Organization for Standardization, 2014)

839

840 **GUIDANCE**

841

842 **D. Optional practices for improved performance**

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

844

845 **E. Useful resources**

- 846 — Environmental and Social Management System Implementation Handbook – CONSTRUCTION,
847 (2014)
- 848 — Equator Principles, (2014)
- 849 — IUCN, Environmental and Social Management System, (2017)
- 850 — IUCN, Environmental and Social Management System (ESMS) Manual. Version 2.0 – (May 2016)
- 851 — ISO 26000 (2014)

852

853 **Criterion G2.2 Life Cycle Approach (MC)**

854
855 **REQUIREMENTS**

856
857 **A. Description**

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

- 863 — The goal and scope definition of The Project assessment;
- 864 — An inventory analysis;
- 865 — Environmental and Social Impact Assessments (ESIA) and their interpretation related to the
866 lifecycle impacts of The Project;
- 867 — Demonstrations of how negative lifecycle impacts are minimised, and positive lifecycle impacts
868 are sought.

869
870 **B. Evidence**

871 The Project shall show the following evidence:

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

878
879 **C. Reporting**

880 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 life cycle approach	Annually (if applicable) or when substantial changes occur which may threaten compliance as specified above.	The Project

881
882 NOTE: This criterion was developed based on the following bibliography:
883 (ARUP, 2015, p. 7)
884 (International Federation of Consulting Engineers, 2012)
885 (International Organization for Standardization, 2006)
886 (Quantis, 2017)
887 (United Nations Office for Disaster Risk Reduction, 2015, pp. 13, Para 19k)
888 (UN Environment , 2017b)

892

893 **GUIDANCE**

894

895 **D. Optional practices for improved performance**

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

898 The LCA can be supported / extended with predictive, spatial modelling of biodiversity and ecosystem
899 services.

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

901

902 **E. Useful resources**

903 — ISO 14040 Environmental management — Life cycle assessment (2006)

904 — UNEP, Life Cycle Assessment (2017b)

905

906 **Criterion G2.3 Resilience Planning (MC)**

907
908 **REQUIREMENTS**

909
910 **A. Description**

911 The Project shall identify all significant potential short-term and long-term hazards by carrying out a
912 vulnerability assessment. Projects located in risk-affected sectors (for example, agriculture, water,
913 hydropower) and/or located in high-risk areas (for example, coastal areas, least developed countries, small
914 island developing states) shall do so considering all current and future risks related to their particular needs.
915 Based on the outcomes of the risk assessment and the vulnerability assessment, The Project shall outline
916 and incorporate short-term and long-term adaptation measures into The Project design. All possible sources
917 of stress, shock and disasters throughout The Project life cycle shall be considered and monitored over time,
918 whether they are of a social, economic, cultural, physical, environmental, climate and/or political nature. For
919 this, rigorous data collection, management and transparency will be necessary.
920 The Project shall update its adaptation measures according to experiences with occurred hazards and new
921 developments of technologies (state of the art).

922
923 NOTE 1: Examples of climate and geophysical hazards which should be considered include: rising sea level; extreme weather
924 events such as extreme heat and drought, floods, tropical cyclones and similar, storm water flows, earthquakes, tsunamis,
925 landslides, fire, melting permafrost, and volcanic eruptions and other natural catastrophes.

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

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931 **B. Evidence**

932 The Project shall provide the following evidence:

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

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943 **C. Reporting**

944 The Project shall report on the following:
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<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

951 NOTE: This criterion was developed based on the following bibliography:
 952 (ARUP, 2014)
 953 (ARUP, 2015)
 954 (Intergovernmental Panel on Climate Change, 2007)
 955 (Sakamoto & Véron-Okamoto, 2014)
 956 (United Nations Framework Convention on Climate Change, 2011)
 957 (Link, et al., 2009)
 958 (World Bank, 2015)
 959 (World Bank, 2017a)

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 961 **GUIDANCE**

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 963 **D. Optional practices for improved performance**

- 964 — The Project is encouraged to seek to empower women and persons with disabilities to promote a
 965 gender equitable and accessible response to disaster, risk reduction strategies and resilience
 966 planning.
- 967 — The Project is encouraged to protect and empower vulnerable groups including for instance,
 968 migrants and displaced persons.
- 969 — The Project is encouraged to understand and implement the concept of “Building Better from the
 970 Start” and (if applicable due to the nature and location of The Project, for example in construction
 971 in post-disaster context situations) “Build Back Better” in line with the Sendai Framework for
 972 Disaster Risk Reduction.
- 973 — The Project should consider any other additional opportunities to improve resilience, where
 974 relevant and feasible to do so, for example green infrastructure, disaster risk-reduction strategies
 975 and contingency policies or by applying other nature-based solutions and/or by conducting
 976 regular stress tests.

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 978 **E. Useful resources**

979 World Bank Climate Screening Tools: <https://climatescreeningtools.worldbank.org/>
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Criterion G2.4 Emergency Response Preparedness (MC)**REQUIREMENTS**

A. Description

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 current and future 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

The Project shall provide the following evidence:

Emergency management plan including an early warning system, 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

The Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
The effectiveness of the Emergency Management Plan based on the Key Performance Indicators (KPIs) below:		
— Number and type of emergency occurred per year;		
— Number and details of emergency occurred that were managed satisfactorily;	Annually, if relevant.	The Project
— Number and type of drills and trainings conducted.		
Collection of feedback or review of any emergency situation that has been experienced.		

NOTE: This criterion was developed based on the following bibliography:
 (Sorg, 2015)
 (Emergency Management Victoria, 2015)
 (Equitable Origin, 2012, pp. 57-58 (5.12))
 (IFC, 2012)
 (Pöyry, 2016)
 (United Nations Office for Disaster Risk Reduction, 2015, pp. 20, Para 33a. Pg 21, Para 33f. Pg 22, Para 34h)

GUIDANCE

D. Optional practices for improved performance

The Project is encouraged to provide emergency preparedness training to Direct Contractors, Sub Contractors and Primary Suppliers.

E. Useful resources

There is no text in this section.

Criterion G2.5 Supply Chain (MC)

REQUIREMENTS

A. Description

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

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

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

- a) The top 10 Direct Contractors, Sub-Contractors and Primary Suppliers', ranked based on the annual expenses related to The Project during construction or operation;
- b) Direct Contractors, Sub-Contractors and Primary Suppliers that contribute to the core function or purpose of the infrastructure during the construction and the operation phases.
For example, suppliers of cement or water treatment chemicals to a water treatment plant would be included, however, suppliers of minor stationary products would not be included.

B. Evidence

The Project shall provide the following evidence:

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

C. Reporting

The Project shall report on the following:

<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.

NOTE: This criterion was developed based on the following bibliography:
(Ecovadis, 2016)
(IFC, 2012)

1084 (Infrastructure Sustainability Council of Australia, 2016, pp. Pro 1-4)
1085 (Long Term Infrastructure Investors Association, 2017)
1086 (Resilient Design Institute, 2012-2013)
1087 (Sustainable Purchasing Leadership Council, 2016)
1088 (Cognizant , 2016)
1089 (Alistair Duff, 2016)

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1091 **GUIDANCE**

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1093 **D. Optional practices for improved performance**

1094 The Project is encouraged to implement more stringent policy, adopt more sustainability clauses within
1095 contracts, increase the share of environmentally conscious products and materials acquired, or support
1096 suppliers with sustainability labels.

1097 The Project is encouraged to investigate emerging methods of supply chain management, such as Blockchain
1098 technology.

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1100 **E. Useful resources**

1101 The following resources provide further guidance:

- 1102 — Blockchain’s Smart Contracts: Driving the Next Wave of Innovation Across Manufacturing Value
1103 Chains, (June, 2016);
- 1104 — Global Symposium for Innovative Financial Inclusion Distributed Ledger Technology - A new
1105 paradigm for Capital market [\(September, 2016\)](#).

Criterion G2.6 Pre-existing Liabilities (MC)

REQUIREMENTS

A. Description

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

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

The Project 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

NOTE: This criterion was developed based on the following bibliography:
 (Equitable Origin, 2012, p. 59 (5.16))
 (US Environmental Protection Agency, 2017)

GUIDANCE

D. Optional practices for improved performance

There is no text in this section.

E. Useful resources

There is no text in this section.

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Theme G3: Stakeholder Engagement

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1161 The Infrastructure Project shall be continuously developed and operated with the consultation and
1162 engagement of all relevant stakeholders.
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Criterion G3.1 Stakeholder Identification and Engagement Planning (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

The Project shall identify a comprehensive list of stakeholders that may be interested in and/or affected by The Project including relevant institutions, project users and beneficiaries and other affected communities. The Project shall prepare a “Stakeholder Engagement Framework” to reduce cumulative impacts in case The Project site is yet unknown but The Project is considered to have significant impact to the surrounding environment.

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

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

B. Evidence

The Project shall provide the following evidence:

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

C. Reporting

The Project shall report on the following:

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

NOTE: This criterion was developed based on the following bibliography:

- (BREEAM, 2015)
 (Equitable Origin, 2012, p. 27 (2.4))
 (Global Infrastructure Basel Foundation, 2016)
 (Infrastructure Sustainability Council of Australia, 2016, pp. Sta-1)
 (IFC, 2012, pp. 13. Para 26-28)
 (International Labour Organization, 1989, p. Article 7. Para 3)
 (Sorg, 2015, p. EM007)
 (United Nations Office for Disaster Risk Reduction, 2015, p. 10. Para 7.)

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GUIDANCE

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D. Optional practices for improved performance

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There is no text in this section.

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E. Useful resources

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

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Criterion G3.2 Engagement and Participation (MC)

REQUIREMENTS

A. Description

The Project shall establish a process of fair, representative and non-discriminatory consultation with relevant stakeholders including project users, beneficiaries and otherwise affected communities in collaboration with host governments where appropriate, ensuring a balanced gender, age and social representation. The process should allow stakeholders to express their views on project risks, impacts and mitigation measures for construction and operation phases, and should provide appropriate time for The Project to consider and respond to these. It should also explore potential opportunities for positive environmental and social impacts of infrastructure projects e.g. through hybrid grey-green infrastructure, restoration, employment etc. The process shall be open and shall avoid designating certain issues as non-negotiable. Adequate and regular communications shall be made with relevant stakeholders and members of the public, in appropriate languages and formats. Stakeholder engagement shall be documented appropriately and reported upon to senior management.

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

B. Evidence

The Project shall provide the following evidence:

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

C. Reporting

The Project shall report on the following:

<u>Reporting Requirement</u>	<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

NOTE: This criterion was developed based on the following bibliography:
 (Equitable Origin, 2012, pp. 28 (2.5). Pg32 (2.8). Pg 46-47 (4.2))
 (IFC, 2012, pp. 13, 14. Para 29 - 31)
 (United Nations Office for Disaster Risk Reduction, 2015, p. 10. Para 7)

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D. Optional practices for improved performance

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There is no text in this section.

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E. Useful resources

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International Finance Corporation (IFC), Performance Standards on Environmental and Social Sustainability,

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Performance Standard 2: Labour and Working Conditions, (2012, paragraphs 29,30 & 31)

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

A. Description

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

B. Evidence

The Project shall provide the following evidence:

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

C. Reporting

The Project shall report on the following:

<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

NOTE: This criterion was developed based on the following bibliography:
 (Equitable Origin, 2012, p. 33)
 (IFC, 2012)
 (Sorg, 2015, pp. EM007, HR12)

GUIDANCE

D. Optional practices for improved performance

There is no text in this section

E. Useful resources

There is no text in this section

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Theme G4: Anti-corruption and Transparency

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1324 The Project shall not engage in and/or tolerate corruption and bribery when planning, developing and/ or
1325 operating the Infrastructure Project but instead proactively take measures to avoid such.
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Criterion G4.1 Anti-bribery and Corruption Management System (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

The Project 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) and any other stakeholder identified as being at risk of causing a conflict of interest. Any relationship with such a person shall be subject to approval by The Project's senior management;
- f) Criminal antecedence checks of Direct Contractors and directors of The Project 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

The Project 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 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);

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

C. Reporting

The Project shall report on the following:

<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

NOTE: This criterion was developed based on the following bibliography:

(Equitable Origin, 2012, p. 25)
 (Ethnic Intelligence, 2017)
 (Global Infrastructure Anti-Corruption Centre, 2016)
 (Global Infrastructure Basel Foundation, 2016)
 (The Gold Standards Framework, 2017)
 (International Organization for Standardization, 2016)
 (Sorg, 2015, p. EC11)
 (Transparency International, 2016)
 (Transparency International , 2013)
 (World Bank , 2017b)
 (United Nations Security Council, 2017)
 (Asian Development Bank, 2017)
 (INTERPOL, 2017)
 (Commercial Crime Services, n.d)
 (Organisation for Economic Co-operation Development , 2013)
 (Transparency International , 2013)

GUIDANCE

D. Optional practices for improved performance

- The Project is encouraged to adding anti-bribery measures or procedures (if there were none) following the Business Principles for Countering Bribery and (if applicable) using the indicators derived from the Organization for Economic Co-operation and Development (OECD) Bribery and Corruption Awareness Handbook for Tax Examiners and Tax Auditors.
- Businesses are encouraged to follow the Business Principles (and detailed indicators) for Countering Bribery (as per requirements of Transparency International).

1404 — The Project is encourage to use the following suggested KPIs: Indicators concerning both
1405 affirmative indications and affirmative acts of bribery, including: Indicators concerning the
1406 taxpayer's external and internal risk environment, the taxpayer's transactions, payments and
1407 money flow, outcomes of transactions and possible recipients of the proceeds of the bribery or
1408 corruption.

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1410 **E. Useful resources**

1411 The following resources provide further guidance:

- 1412 — Business Principles for Countering Bribery, A multi-stakeholder initiative led by Transparency
1413 International, (2013)
- 1414 — *Bribery and Corruption Awareness Handbook for Tax Examiners and Tax Auditors, (2013)*
- 1415 — ISO 37001 Anti-bribery Management Systems, (2016)
- 1416 — World Bank listing of ineligible firms and individuals, (2017)
- 1417 — Consolidated United Nations Security Council sanctions list, (2017)
- 1418 — ADB anticorruption and integrity: sanctions list, (2017)
- 1419 — INTERPOL list of wanted persons, (2017)
- 1420 — ICC Commercial Crime Services criminal list (n.d)
- 1421 — (International Federation of Consulting Engineers-FIDIC)

Criterion G4.2 Financial Transparency on Taxes and Donations (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

The Project shall publicly disclose:

- a) All political and charitable contributions, and shall refrain from making political contributions (notably during election campaigns) in those countries which are providing project financing or in which The Project is being delivered;
- b) All payments made to governments on a country-by-country basis in those countries which are providing project financing or in which The Project is being delivered;
- c) Its holdings of subsidiaries, affiliates, joint ventures and other related entities;
- d) Community contributions in the country where The 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

The Project 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

The Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Budgets and financial statements of The Project, 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

1456 NOTE: This criterion was developed based on the following bibliography:
1457 (International Aid Transparency Initiative)
1458 (Organisation for Economic Co-operation Development, 2008)
1459 (Organisation for Economic Co-operation Development, 2010)
1460 (Organisation for Economic Co-operation Development , 2013)
1461 (Publish What You Found, 2016)
1462 (Financial Action Task Force, 2013)

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1464 **GUIDANCE**

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1466 **D. Optional practices for improved performance**

1467 The Project is encouraged to adopt "financial and tax accounting and auditing practices that prevent the
1468 establishment of "off the books" or secret accounts or the creation of documents which do not properly and
1469 fairly record the transactions to which they relate" (OECD, 2008).

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1471 **E. Useful resources**

1472 The following resources provide further guidance:

- 1473 — OECD Guidelines for Multinational Enterprises, (2008)
- 1474 — OECD Bribery and Corruption Awareness Handbook for Tax Examiners and Tax Auditors, (2013)
- 1475 — FATF's National Money Laundering and Terrorist Financing Risk Assessment, (2013)

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SOCIETY

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The Project shall uphold and promote human rights, labour rights and improved working conditions. The Project shall protect vulnerable elements of the community, and provide clear benefits to all levels of society.

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Theme S1: Human Rights

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1517 The Project shall be developed and operated in respect of human rights as set out in the Universal
1518 Declaration on Human Rights (UDHR, 1948).
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Criterion S1.1 Human Rights Commitment (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

Throughout its lifecycle, The Project shall 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 shall ensure that human rights are adequately taken into account in project policies and that compliance with human rights is appropriately documented.

B. Evidence

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.

NOTE: This criterion was developed based on the following bibliography:

(Equitable Origin, 2012, p. 26)
(International Organization for Standardization, 2014)
(United Nations, 1948)
(United Nations, 2011)

GUIDANCE

D. Optional 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

There is no text in this section.

Criterion S1.2 Human Rights Complaints and Violations (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

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

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

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

NOTE: This criterion was developed based on the following bibliography:

- (Equitable Origin, 2012, pp. 26-27)
- (International Organization for Standardization, 2014)
- (United Nations, 2011)
- (United Nations, 1948)

GUIDANCE

C. Optional practices for improved performance

There is no text in this section.

D. Useful resources

The following resources provide further guidance:

- ISO 26000 – Social Responsibility, (2014)

Criterion S1.3 Human Rights and Security Personnel (MC)

REQUIREMENTS

A. Description

The Project shall ensure that security forces hired to provide security services in, around and throughout the lifecycle of The Project behave in compliance with applicable human rights laws and respect the human rights of workers, contractors and communities, including non discrimination no women or any vulnerable groups. The Project shall also ensure that the security personnel have successfully completed their security and resilience training (if applicable in cases of critical infrastructure) and behave in compliance with local law and respect the local community way of living.

B. Evidence

The Project shall provide the following evidence:

- List of security personnel employed;
- Reasonable inquiries as regards possible implication in past abuses and more generally track record on respect of human rights;
- Training provided to security personnel as regards use of force (and where applicable, firearms), and appropriate conduct toward workers and Affected Communities;
- Training provided to security personnel regarding the particular specifications of The Project including location, significance of the infrastructure, social norms and interactions with the local community
- Specific documented requirements imposed upon security personnel to respect human rights;
- Grievance mechanism available to communities.

C. Reporting

The Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<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

NOTE: This criterion was developed based on the following bibliography:
 (Equitable Origin, 2012, pp. 29-31)
 (IFC, 2012, pp. 30, Para 12-14)
 (International Organization for Standardization, 2014)
 (United Nations, 2011)
 (United Nations, 1948)
 (Federal Law Enforcement Training Centers, 2017)

GUIDANCE

D. Optional practices for improved performance

There is no text in this section.

1639

1640

E. Useful resources

1641

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

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Theme S2: Labour Rights and Working Conditions

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

1668 **Criterion S2.1 Employment Policy (MC)**

1669 **REQUIREMENTS**

1670 **A. Description**

1671 The Project shall develop employment and training policies based on principles of non-discrimination and
1672 equal opportunity in accordance with applicable national and international laws and implement international
1673 leading practice where possible. Throughout the entire project life cycle The Project shall develop
1674 employment and training policies to ensure that workers are not discriminated on the basis of race,
1675 ethnicity, gender and gender identity, national or social origin, caste, age, political affiliation, religion, sexual
1676 orientation, union membership, physical ability, health, pregnancy, marital or family status or any other
1677 status.

1678 The employment policy shall promote “full, productive and freely chosen employment” and aim to ensure
1679 that the work offered is as productive as possible.

1680 These policies should apply to workers engaged throughout the lifecycle of The Project.

1681 **B. Evidence**

1682 The Project shall provide the following evidence:

- 1683 — Employment policy (which is covering the workers rights as stated in the International Labour
1684 Organization (ILO) conventions regarding gender and non-discrimination) and record of its
1685 communication to workers;
- 1686 — Sample record of workers' contracts and its evolutions;
- 1687 — Communication to the workers regarding their rights;
- 1688 — Respect to working conditions addressed in collective bargaining agreements;
- 1689 — Written employment policy (including recruitment and benefits) on outsourcing work to Direct
1690 Contractors, Primary Suppliers and Sub Contractors, employing temporary or casual workers (with
1691 or without a formal contract) sometimes referred to as: "non-standardized forms of
1692 employment".

1693 **C. Reporting**

1694 No periodic reporting is required for this criterion except when a change occurs which may threaten
1695 compliance as specified above.

1696 NOTE: This criterion was developed based on the following bibliography:

1697 (Equitable Origin, 2012, p. 31 (3.1))

1698 (Global Reporting Initiative, 2014)

1699 (IFC, 2012, pp. 17-18, Para 8, 9, 10)

1700 (International Organization for Standardization, 2014)

1701 (International Labour Office, 2015)

1702 (International Labour Organization, 2006)

1703 **GUIDANCE**

1704 **D. Optional practices for improved performance**

- 1705 — The Project is encouraged to update employment policy according to significant changes in
1706 local/international laws and regulations and country ratification of ILO conventions.

1714 — The Project is encouraged to develop its employment policies according to relevant international
1715 standards (e.g. International Organization for Standardization (ISO) 26000 – Social Responsibility
1716 and ILO Governance Convention C122).

1717

1718 **E. Useful resources**

1719 The following resources provide further guidance:

1720 — Global Reporting Initiative. GRI 4, (2014, page 43)

1721 — International Labour Organization. Recommendation R198 – Employment Relationship
1722 Recommendation, 2006 (No. 198)

1723 — International Organization for Standardization. ISO 26000 – Social Responsibility, Sections 6.4.3.1.
1724 6.4.4. (2014)

1725 — International Finance Corporation Performance Standards on Environmental and Social
1726 Sustainability, Performance Standard 2 Labor and Working Conditions, (2012, Paragraphs 8, 9, 10)

1727

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

REQUIREMENTS

A. Description

The Project 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

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

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

NOTE: This criterion was developed based on the following bibliography:

- (Equitable Origin, 2012, p. 36)
- (De Werna Magalhaes, 2016)
- (International Finance Corporation, 2012)
- (International Finance Corporation, 2012, pp. 3. Para. 13, 14)
- (International Labour Organization, 1948)
- (International Labour Organization, 1971)
- (International Labour Organization, 1971)
- (International Organization for Standardization, 2014, pp. Section 6.3.10.2, 6.4.5.2)
- (Sorg, 2015, pp. LR01, LR16, LR20)
- (The Gold Standards Framework, 2017)

1766 **GUIDANCE**

1767

1768 **D. Optional practices for improved performance**

1769 There is no text in this section.

1770

1771 **E. Useful resources**

1772 — International Finance Corporation (IFC), Performance Standards on Environmental and Social
1773 Sustainability, Performance Standard 2: Labour and Working Conditions, (2012, paragraphs 13 &
1774 14)

1775 — International Organization for Standardization (ISO) 26000 Social Responsibility, sections 6.3.10.2,
1776 6.4.5.2, (2014)

1777 — International Labour Organization, Convention 87, 98 , 135, and Recommendation 143 (1948,
1778 1971)

Criterion S2.3 Non-discrimination (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

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

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 a, d and e.

C. Reporting

The Project shall report on the following:

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

1824
 1825 NOTE: This criterion was developed based on the following bibliography:
 1826 (Organisation for Economic Co-operation Development, 2007)
 1827 (IFC, 2012, pp. 18-19, Para 11, 15, 16, 17)
 1828 (International Labour Organization, 1951)
 1829 (International Labour Organization, 1951)
 1830 (International Labour Organization, 1960)
 1831 (International Labour Organization, 1975)
 1832 (International Labour Organization, 1949)
 1833 (International Labour Organization, 1985)
 1834 (International Organization for Standardization, 2014, pp. Section 6.3.10.2, 6.4.3.2)
 1835 (United Nations Office for Disaster Risk Reduction, 2015, p. 10. Para 7)

1836
 1837 **GUIDANCE**

1838
 1839 **D. Optional practices for improved performance**

- 1840 — The Project is encouraged to make efforts to implement diversity practices that support the
 1841 inclusion of minorities and in particular persons with disabilities; for example liaising with
 1842 appropriate minority associations and encouraging people with disabilities to apply for job
 1843 vacancies when the disability does not constitute a strong impediment to carry out the tasks.
- 1844 — The Project is encouraged to make efforts to empower women in the workplace, for example by
 1845 encouraging women to participate in decision-making procedures and training.
- 1846 — The Project is encouraged to offer vocational rehabilitation measures to all categories of disabled
 1847 persons in order to promote work opportunities for disabled persons in accordance with the ILO
 1848 Convention C159 “Vocational Rehabilitation and Employment (Disabled Persons) 1983.
- 1849 — The Project is encouraged to designate an "equal opportunities or diversity officer" to oversee all
 1850 equality activities in The Project;

1851
 1852 **E. Useful resources**

1853 The following resources provide further guidance:

- 1854 — International Labour Organization (ILO) Convention 100 and 110
- 1855 — World Bank Group “Making Infrastructure Work for Women and Men – A review of World Bank
 1856 Infrastructure Projects” 2010. Available:
 1857 www.siteresources.worldbank.org/EXTSOCIALDEVELOPMENT/Resources/244362-1265299949041/6766328-1270752196897/Gender_Infrastructure2.pdf
 1858

Criterion S2.4 Forced Labour and Child Labour (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

The Project, 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 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. Depending on the country’s special circumstances, The Project shall demonstrate that it complies with Article 17 of the ILO Convention 029 regarding “Forced or Compulsory Labour for Works of Construction or Maintenance”.

B. Evidence

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 minimum 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.
- Proof that no passports of workers are withheld;
- Provide documentation that no recruitment fees are imposed
- 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.

C. Reporting

1903	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 Contractors, Sub Contractors and Primary Suppliers that have been audited in this regard and the results of compliance.	Annually, if relevant.	The Project

1904
 1905 NOTE: This criterion was developed based on the following bibliography:
 1906 (Equitable Origin, 2012, p. 36)
 1907 (IFC, 2012)
 1908 (International Labour Organization, 1998)
 1909 (Sayeg, Starkey, & Huizenga, SLoCAT Results Framework on Sustainable Transport, 2014)
 1910 (Sorg, 2015, pp. LR04-05, LR16-18, HR19-22)
 1911 (The Gold Standards Framework, 2017)

1913 GUIDANCE

1914 D. Optional practices for improved performance

- 1915 — The Project is encouraged to make efforts to provide opportunities for vocational training for
- 1916 children under 18 years of age and to implement the necessary measures to identify, report and
- 1917 assist children in hidden work situations, particularly girls and other groups of children with
- 1918 special vulnerabilities.
- 1919
- 1920 — The Project is encouraged to support the principles against modern slavery (for example as stated
- 1921 by the Government of the United Kingdom in its “Modern Slavery Strategy” 2014) by providing
- 1922 work opportunities to victims of modern slavery in order to support their reintegration into
- 1923 society.

1924 E. Useful resources

1925 The following resources provide further guidance:

- 1926 — International Finance Corporation (IFC) Performance Standards on Environmental and Social
- 1927 Sustainability. Performance Standard 2: Par 21, 22, 27, 29
- 1928
- 1929 — International Organization for Standardization (ISO) 26000 6.3.10.2, Box 7
- 1930
- 1931 — International Labour Organization Conventions: C029, C077, C078, C105, C138, R146, C182, R190
- 1932
- 1933 — International Labour Organization Protocol: P029 Art. 1, 2, 3, 4, 5, 6
- 1934
- 1935 — U.K. Government, “Modern Slavery Strategy”, November 2014. Available:
- 1936 www.gov.uk/government/uploads/system/uploads/attachment_data/file/383764/Modern_Slavery_Strategy_FINAL_DEC2015.pdf

Criterion S2.5 Occupational Health & Safety (MC)

REQUIREMENTS

A. Description

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

B. Evidence

The Project shall provide the following evidence:

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

1978 **C. Reporting**

1979 The Project shall report on the following:

<u>Reporting Requirement</u>	<u>Frequency</u>	<u>Responsible Entity</u>
Reporting on training made and improvements in 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.	Annually	The Project
Implementation of corrective actions to improve OSH conditions.		

1980
1981 NOTE: This criterion was developed based on the following bibliography:

1982 (Global Reporting Initiative, 2014, p. 45)

1983 (IFC, 2012)

1984 (IFC, 2012, pp. 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, p. 19. Para 30e)

2005
2006 **GUIDANCE**

2007
2008 **D. Optional practices for improved performance**

- 2009 — The Project is encouraged to follow the requirements stated in the ILO Convention number 13
- 2010 “C013 White Lead (painting) convention 1921”, ensuring that white lead, sulphate of lead or
- 2011 products containing these pigments are not used (except in the form of paste or paint ready to
- 2012 use) on site. In case these products are used, instructions regarding usage and hygienic
- 2013 precautions shall be distributed to all workers.
- 2014 — The Project is encouraged to follow the requirements stated in the ILO Convention number 148
- 2015 “C148 Working Environment (air, pollution, noise and vibration)”. The Project shall implement

2016 measures to prevent occupational hazards in the work environment related to air, pollution, noise
 2017 and vibration and shall act in consultation with employer and workers representatives to verify
 2018 the application of such measures.

2019 — The Project is encouraged to follow the requirements stated in the ILO Convention number 162
 2020 “C162 Asbestos Convention 1986”. The Project shall ensure that workers and employers comply
 2021 with National Laws and regulations regarding the prevention and occupation hazards due to
 2022 occupation exposure to asbestos. The Project is encouraged to replace asbestos by other
 2023 materials or the use of alternative technologies, which are proven to be less harmful. In case
 2024 asbestos or certain types of asbestos are used, The Project shall provide the necessary training
 2025 and instruction regarding usage and hygienic precautions to all workers.

2026 — The Project is encouraged to offer complimentary opportunities to employees to promote good
 2027 health. (e.g. reduced fee for sports clubs or similar; courses for good nutrition and well-being,
 2028 etc.)

2029 E. Useful resources

2030 — G4 - GRI, pg. 45. Available at:

2031 — [https://www.globalreporting.org/resourcelibrary/GRI-G4-Construction-and-Real-Estate-Sector-](https://www.globalreporting.org/resourcelibrary/GRI-G4-Construction-and-Real-Estate-Sector-Disclosures.pdf)
 2032 [Disclosures.pdf](https://www.globalreporting.org/resourcelibrary/GRI-G4-Construction-and-Real-Estate-Sector-Disclosures.pdf)

2033 — International Finance Corporation, Performance Standards on Environmental and Social
 2034 Sustainability, Performance Standard 2: Labor and Working Conditions, paragraphs 23, 28, and 29

2035 — International Organization for Standardization (ISO) standard 26000 - Social Responsibility

2036 — ILO Convention 097 - Migration for Employment Convention (Revised), 1949 (No. 97), Article no.5

2037 — ILO Convention 102 - Social Security (Minimum Standards) Convention, 1952 (No. 102)

2038 — ILO Convention 155 - Occupational Safety and Health Convention, 1981 (No. 155)

2039 — ILO Convention 161 - Occupational Health Services Convention, 1985 (No. 161)

2040 — ILO Recommendation 97 - Protection of Workers' Health Recommendation, 1953 (No. 97)

2041 — ILO Recommendation 102 - Welfare Facilities Recommendation, 1956 (No. 102)

2042 — ILO Recommendation 164 - Occupational Safety and Health Recommendation, 1981 (No. 164)

2043 — ILO Recommendation 171 - Occupational Health Services Recommendation, 1985 (No. 171)

2044 — ILO Protocol 155 - Protocol of 2002 to the Occupational Safety and Health Convention, 1981

2045 — ILO Guidelines on occupational safety and health management systems. Available:
 2046 [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)
 2047 [nstrument/wcms_107727.pdf](http://www.ilo.org/wcmsp5/groups/public/@ed_protect/@protrav/@safework/documents/normativeinstrument/wcms_107727.pdf)

2048 — “OHS Performance Measurement in the Construction Industry” by the Government of Australia.
 2049 Available:

2050 — [www.safeworkaustralia.gov.au/sites/SWA/about/Publications/Documents/133/OHSPerformance](http://www.safeworkaustralia.gov.au/sites/SWA/about/Publications/Documents/133/OHSPerformanceMeasurement_Construction_PPis_1996_ArchivePDF.pdf)
 2051 [Measurement_Construction_PPis_1996_ArchivePDF.pdf](http://www.safeworkaustralia.gov.au/sites/SWA/about/Publications/Documents/133/OHSPerformanceMeasurement_Construction_PPis_1996_ArchivePDF.pdf)

Criterion S2.6 Employee Grievance Mechanism (MC)

REQUIREMENTS

A. Description

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

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

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.		

NOTE: This criterion was developed based on the following bibliography:

(Equitable Origin, 2012, p. 42 (3.8))

(IFC, 2012, pp. 19-20, Para 20)

(International Labour Organization, 1967)

(Long Term Infrastructure Investors Association, 2017)

GUIDANCE

D. Optional 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)

2091 **Criterion S2.7 Working Hours and Leave (MC)**

2092
2093 **REQUIREMENTS**

2094
2095 **A. Description**

2096 The Project shall respect fair working hours, rest days and legally mandated leave throughout The Project's
2097 lifecycle in accordance with applicable national and international law, as well as recognised Good
2098 International Industry Practice (GIIP) (for example, the International Labour Organization (ILO) standards on
2099 working time).

2100
2101 **B. Evidence**

2102 The Project shall provide the following evidence:

- 2103 — Relevant clause in the employment policy detailing working hours and weekly rest (working hours
2104 not exceeding 48 hours a week on a regular basis, and overtime limited to 12 hours a week on a
2105 voluntary basis);
- 2106 — Establishment of daily and weekly working hours limits;
- 2107 — Weekly rest record of workers;

2108
2109 **C. Reporting**

2110 No periodic reporting is required for this criterion except when a change occurs which may threaten
2111 compliance as specified above.

2112
2113 NOTE: This criterion was developed based on the following bibliography:

- 2114 (Equitable Origin, 2012, p. 43)
- 2115 (IFC, 2012)
- 2116 (International Labour Organization, 1996-2017)
- 2117 (International Labour Organization, 1919)
- 2118 (International Labour Organization, 1930)
- 2119 (International Labour Organization, 1957)
- 2120 (International Labour Organization, 1921)
- 2121 (International Labour Organization, 1970)
- 2122 (International Labour Organization, 1982)
- 2123 (International Labour Organization, 1990)
- 2124 (International Labour Organization, 1930, pp. Para. 12, 13, 18)
- 2125 (International Labour Organization, 1954)
- 2126 (International Labour Organization, 1982)
- 2127 (International Labour Organization, 1957)
- 2128 (International Labour Organization, 1962)
- 2129 (International Labour Organization, 1990)
- 2130 (International Labour Organization, 1996-2017)
- 2131 (International Organization for Standardization, 2014)

2132
2133 **GUIDANCE**

2134
2135 **D. Optional practices for improved performance**

2136 There is no text in this section.

- 2139 **E. Useful resources**
- 2140 — ILO Convention 001 - Hours of Work (Industry) Convention, 1919 (No. 1)
- 2141 — ILO Convention 014 - Weekly Rest (Industry) Convention, 1921 (No. 14)
- 2142 — ILO Convention 001 - Hours of Work (Industry) Convention, 1919 (No. 1)
- 2143 — ILO Convention 029 - Forced Labour Convention, 1930 (No. 29), Article 12, 13 and 18
- 2144 — ILO Convention 030 - Hours of Work (Commerce and Offices) Convention, 1930 (No. 30)
- 2145 — ILO Convention 132 - Holidays with Pay Convention (Revised), 1970 (No. 132)
- 2146 — ILO Convention 158 - Termination of Employment Convention, 1982 (No. 158)
- 2147 — ILO Convention 171 - Night Work Convention, 1990 (No. 171)
- 2148 — ILO Recommendation 098 - Holidays with Pay Recommendation, 1954 (No. 98)
- 2149 — ILO Recommendation 103 - Weekly Rest (Commerce and Offices) Recommendation, 1957 (No.
- 2150 103)
- 2151 — ILO Recommendation 116 - Reduction of Hours of Work Recommendation, 1962 (No. 116)
- 2152 — ILO Recommendation 166 - Termination of Employment Recommendation, 1982 (No. 166)
- 2153 — ILO Recommendation 178 - Night Work Recommendation, 1990 (No. 178)
- 2154 — ISO 26000 – Social Responsibility
- 2155

2156 **Criterion S2.8 Fair Wages and Access to Employee Documentation (MC)**

2157
2158 **REQUIREMENTS**

2159
2160 **A. Description**

2161 The Project shall pay all workers a fair wage, considering both the applicable legal minimum wage plus
2162 associated statutory benefits as well as the prevailing industry standards and taking the higher of the two.
2163 The Project shall apply the principle of equal remuneration for men and women workers for work of equal
2164 value following international principles of the International Labour Organization (ILO) Fundamental
2165 Convention C100 - Equal Remuneration (1951) and the Equal Pay International Coalition (EPIC). Workers
2166 shall have easy and free access to their personal employee documentation in their local language in
2167 accordance with applicable national and international law.

2168 NOTE1: For the purposes of SuRe®, the term fair wage shall be considered as synonym for “living wage” as defined by Global
2169 Wage Coalition (ISEAL, 2013): *Remuneration received for a standard work week by a worker in a particular place sufficient to*
2170 *afford a decent standard of living for the worker and her or his family. Elements of a decent standard of living include food,*
2171 *water, housing, education, health care, transport, clothing, and other essential needs, including provision for unexpected*
2172 *events.*

2173 NOTE2: Personal documentation can include but is not limited to: contracts and agreements pay slips, medical and other
2174 personal files

2175
2176 **B. Evidence**

2177 The Project shall provide the following evidence:

- 2178 — Remuneration policy, which respects the local law and meets the local minimum wage. If there is
2179 no local minimum wage or the local minimum wage is too low, The Project shall refer to the best
2180 possible calculation of living wage in the area;
- 2181 — Remuneration policy, which states that The Project upholds and apply the requirements of the
2182 ILO Convention C100 on Equal Remuneration for men and women workers for equal value work;
- 2183 — Record of all wages paid;
- 2184 — Evidence that: (i) Payment of wages is made on a regular and pre-determined basis, by bank
2185 transfer or in cash or cheque form, in a manner and location convenient to the employees; (ii) all
2186 payments are accompanied by a wage slip which clearly details wage rates, benefits and
2187 deductions where applicable; (iii) employees are not forced to buy provisions from businesses or
2188 facilities owned by The Project; (iv) obligations to employees under applicable law relating to
2189 labour or social security arising from the regular employment relationship are not avoided
2190 through the use of labour-only contracting, subcontracting, or homeworking arrangements; or
2191 through apprenticeship schemes where there is no real intent to impart skills or provide regular
2192 employment; or through the excessive use of fixed-term contracts of employment;
- 2193 — Easy and free access for workers to their personal employee documentation, in the local language
2194 of the workforce, at any time and without the need to give a reason.

2195
2196 **C. Reporting**

2197 No periodic reporting is required for this criterion except when a change occurs which may threaten
2198 compliance as specified above.

2199
2200 NOTE: This criterion was developed based on the following bibliography:
2201 (ARUP, 2014)

- 2202 (Equitable Origin, 2012, pp. 44-45 (3.10))
2203 (International Labour Organization, 1930)
2204 (International Labour Organization, 1949)
2205 (International Labour Organization, 1951)
2206 (International Labour Organization, 1970)
2207 (International Labour Organization, 1949)
2208 (International Labour Organization, 1951)
2209 (International Labour Organization, 1967)
2210 (International Labour Organization, 1970)
2211 (International Organization for Standardization, 2014)
2212 (International Labour Organization, 2017)
2213 (ISEAL Alliance, 2013)
2214 (ISEAL Alliance, 2014)
2215 (De Werna Magalhaes, 2016)
2216

2217 GUIDANCE

2218

2219 **D. Optional practices for improved performance**

- 2220 • The Project is encouraged to promote the objective appraisal of jobs regarding the work to be
2221 performed. Differential rates or wages between workers which corresponded to the objective
2222 appraisal (regardless of sex) shall not be considered against the principle of equal remuneration for
2223 men and women workers for work of equal value.
- 2224 • The Project is encouraged to involve stakeholders in the process of defining their worker wages and
2225 using available methodologies such as the Global Living Wage Coalition Anker Methodology.
2226

2227 **E. Useful resources**

- 2228 — ILO Convention 029 - Forced Labour Convention, 1930 (No. 29), Article 14 and 15
- 2229 — ILO Convention 085 - Labour Inspectorates (Non-Metropolitan Territories) Convention, 1947 (No.
2230 85)
- 2231 — ILO Convention 095 - Protection of Wages Convention, 1949 (No. 95)
- 2232 — ILO Convention 100 - Equal Remuneration Convention, 1951 (No. 100)
- 2233 — ILO Convention 130 - Medical Care and Sickness Benefits Convention, 1969 (No. 130)
- 2234 — ILO Convention 135 - Workers' Representatives Convention, 1971 (No. 135)
- 2235 — International Organization for Standardization (ISO) 26000 – Social Responsibility
- 2236 — ILO - Conditions of Work and Employment Series No. 29.
- 2237 — Global Living Wage Coalition Anker Methodology ISEAL Alliance
- 2238 — Equal Pay International Coalition (EPIC)
2239

2240 **Criterion S2.9 Retrenchment (MC)**

2241

2242 **REQUIREMENTS**

2243

2244 **A. Description**

2245 The Project shall implement retrenchment at any time during the life cycle of The Project as a last resort and
2246 in the absence of any viable alternative. The Project shall carry out all retrenchments without discrimination,
2247 in accordance with contractual requirements and in compliance with applicable national and international
2248 laws. Adequate retrenchment procedures shall be established from the start of The Project and cover
2249 notification and compensation (including severance and benefits) in accordance with applicable laws and
2250 Good International Industry Practice (GIIP).

2251

2252 **B. Evidence**

2253 The Project shall provide the following evidence:

- 2254 — Retrenchment policies and procedures are made available either as inclusion in the employment
2255 contract or employee handbook of The Project.

- 2256 — In all instances, regardless of whether retrenchment has occurred, retrenchment policies and
2257 procedures shall be in place that ensure the following evidence would be available in the event of
2258 retrenchment:
 - 2259 a) Absence of viable alternatives to retrenchment;
 - 2260 b) Dialogue with workers, their organisations and the government (if appropriate);
 - 2261 c) Compliance with all legal requirements (for example, notice of dismissal, wages and
2262 compensation of workers dismissed);
 - 2263 d) Retrenchment and fair compensation given in a timely manner to employees and
2264 workers.

2265

2266 **C. Reporting**

2267 No periodic reporting is required for this criterion except when a change occurs which may threaten
2268 compliance as specified above.

2269

2270 NOTE: This criterion was developed based on the following bibliography:

2271 (IFC, 2012)

2272 (International Labour Organization, 1982)

2273

2274 **GUIDANCE**

2275

2276 **D. Optional practices for improved performance**

2277 There is no text in this section.

2278

2279 **E. Useful resources**

- 2280 — International Finance Corporation, Performance Standards on Environmental and Social
2281 Sustainability, Performance Standard 2: Labour and Working Conditions, paragraph 18 and 19
- 2282 — ILO Convention 158 - Termination of Employment Convention, 1982 (No. 158)
- 2283 — ILO Recommendation 166 - Termination of Employment Recommendation, 1982 (No. 166)

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Theme S3: Community Protection

2301 The Project development and operation shall not negatively impact cultural artefacts or the community
2302 residing in the vicinity, including indigenous people and historically disadvantaged groups. When avoidance
2303 is not achievable, the mitigation hierarchy (minimisation, restoration, compensation) shall be applied.
2304

Criterion S3.1 Minorities and Indigenous People (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

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 planning, 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 when a compensation plan is required, this plan shall include as the minimum, the requirements under International Finance Corporation (IFC) PS7, Paragraph 14 and 19.

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

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;

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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.

NOTE: This criterion was developed based on the following bibliography:
(Equitable Origin, 2012, p. 46)
(IFC, 2012)
(IFC, 2012, pp. 47-52)
(International Labour Organization, 1989)
(Sayeg, Starkey, & Huizenga, Results Framework on Sustainable Transport, 2014)
(United Nations Office for Disaster Risk Reduction, 2015, pp. 14-15) (United Nations Office for Disaster Risk Reduction, 2015, pp. 14-15)

GUIDANCE

D. Optional practices for improved performance

Implement revenue sharing models to empower the local communities and to encourage ownership of infrastructure

E. Useful resources

There is no text in this section.

Criterion S3.2 Resettlement (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

The Project shall commit to avoid wherever possible the involuntary resettlement of affected communities, including indigenous people. 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

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 to confirm that compensation has been demonstrated as adequate.

NOTE: Adequate in this context refers to at least equalling the loss created through the resettlement

- 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.

NOTE: This criterion was developed based on the following bibliography:

- (Equitable Origin, 2012, p. 32 (2.9))
- (The Gold Standards Framework, 2017)
- (International Association for Impact Assessment, 2015)
- (International Federation of Consulting Engineers, 2012)
- (IFC, 2012)
- (ISEAL Alliance, 2015)
- (United Nations Educational, Scientific and Cultural Organization, 1972)

2415 **GUIDANCE**

2416

2417 **D. Optional practices for improved performance**

2418 There is no text in this section.

2419

2420 **E. Useful resources**

2421 The following resources provide further guidance:

- 2422 — International Finance Corporation (IFC) Performance Standards on Environmental and Social
- 2423 Sustainability, Performance Standard 5: Land Acquisition and Involuntary Resettlement (2012).

2424 **Criterion S3.3 Cultural Heritage (MC)**

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2426 **REQUIREMENTS**

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2428 **A. Description**

2429 The Project shall comply with applicable law on the protection of cultural heritage throughout the life cycle
2430 of The Project, particularly during the construction phase of The Project. Applicable law includes the host
2431 country's obligation under the Convention Concerning the Protection of the World Cultural and Natural
2432 Heritage. Any risk of impacts on (or findings of previously undiscovered) cultural heritage and complication
2433 to the accessibility of the local people to the site shall be promptly identified and assessed by qualified
2434 professionals. Where such risks exist, The Project shall explore alternatives to project design and execution
2435 and Informed Consultation and Participation (ICP) method will be used to consult with affected communities
2436 on appropriate courses of action. Such engagement shall be properly documented and reported upon as
2437 appropriate and shall enable a fair and equal distribution of benefits generated from the commercialization
2438 of such knowledge innovation and practices.

2439 The plan for commercialisation of the cultural heritage, knowledge, innovations and practices of the
2440 Indigenous People must first obtain approval from those affected communities with relevant laws and
2441 consequences of the development properly studied and communicated. The Project shall inform the
2442 communities of their rights under national law, the scope and nature of the proposed commercial
2443 development and the potential consequences of such development.

2444

2445 **B. Evidence**

2446 The Project shall provide the following evidence:

- 2447 — Identification process of cultural heritage and chance finds procedure (including through experts);
- 2448 — Procedures to remove replicable and non-replicable cultural heritage if unavoidable;
- 2449 — Identification of legally protected cultural heritage areas;
- 2450 — Result of the Informed Consultation and Participation (ICP) with the Affected Community on the
2451 use and the impact to their cultural heritage.

2452

2453 **C. Reporting**

2454 No periodic reporting is required for this criterion except when a change occurs which may threaten
2455 compliance as specified above.

2456

2457 NOTE: This criterion was developed based on the following bibliography:

2458 (ARUP, 2014)

2459 (Equitable Origin, 2012, pp. 48-49)

2460 (The Gold Standards Framework, 2017)

2461 (IFC, 2012, pp. 53-56)

2462 (ISEAL Alliance, 2015)

2463 (United Nations Educational, Scientific and Cultural Organization, 1972)

2464

2465 **GUIDANCE**

2466

2467 **D. Optional practices for improved performance**

2468 There is no text in this section.

2470

E. Useful resources

2471

There is no text in this section.

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

REQUIREMENTS

A. Description

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

B. Evidence

The Project shall provide the following evidence:

A decommissioning plan which includes the following:

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

C. Reporting

The Project shall report on the following:

<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

NOTE: This criterion was developed based on the following bibliography:
(United Nations Office for Disaster Risk Reduction, 2015)
(Sendai Framework, 2015)

GUIDANCE

D. Optional practices for improved performance

- The Project is encouraged to consider integrating disaster risk reduction measures into The Project in regards to the rehabilitation and reconstruction phases of The Project, including practices such as “Build Back Better” as stated by the Sendai Framework.

2511 — The Project is encouraged to evaluate the possibility of reusing project facilities for the benefit of
2512 the local communities (for instance Project site offices could be turned into health centres or
2513 schools)

2514

2515 **E. Useful resources**

2516 There is no text in this section.

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

A. Description

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

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

- a) Infrastructure and equipment design and safety;
- b) Hazardous materials management and safety;
- c) Exposure to diseases;
- d) Provision of ecosystem services that are important for human health and safety;
- e) Emergency preparedness and response in line with applicable SuRe[®] requirements G2.3 Resilience Planning and G2.4 Emergency Response Preparedness.

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

B. Evidence

The Project shall provide the following evidence:

- Assessment of the risks to public health and safety
- Procedures to monitor health of the local community
- Measures have been taken to minimize negative impact on public health

C. Reporting

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

NOTE: This criterion was developed based on the following bibliography:

- (Equitable Origin, 2012, p. 33)
- (International Federation of Consulting Engineers, 2012)
- (The Gold Standards Framework, 2017)
- (Hargroves, 2014)
- (Infrastructure Sustainability Council of Australia, 2016, pp. Hea-3)
- (International Federation of Consulting Engineers, 2012)
- (IFC, 2012)
- (ISEAL Alliance, 2015)
- (Sakamoto & Véron-Okamoto, 2014)
- (Sayeg, Starkey, & Huizenga, SLOCAT Results Framework on Sustainable Transport, 2014)
- (United Nations Office for Disaster Risk Reduction, 2015, p. 21) (United Nations Office for Disaster Risk Reduction, 2015, p. 21)

2562 **GUIDANCE**

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2564 **D. Optional practices for improved performance**

2565 There is no text in this section.

2566

2567 **E. Useful resources**

2568 There is no text in this section.

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Theme S4: Customer Focus and Community Involvement

2585
2586 The Project shall be accessible to the identified users and beneficiaries and affordably meet their needs
2587 without any form of discrimination, which shall be verified appropriately through open, inclusive, and
2588 transparent processes.
2589

2590 **Criterion S4.1 Physical Accessibility (MC)**
2591

2592 **REQUIREMENTS**
2593

2594 **A. Description**

2595 The Project shall ensure that The Project and related services shall be accessible to all intended users and
2596 beneficiaries, without discrimination on the grounds of race, gender, sexual orientation, language, religion,
2597 national or social origin, political or other opinion. The needs of the elderly and disabled shall be carefully
2598 considered through appropriate engagement, particularly where such infrastructure is to be accessed by the
2599 public. Such considerations shall be made as early as possible, in the design phase of The Project, and their
2600 effects monitored during the operation phase.

2601 NOTE1: This criterion is not to be considered material for projects that do not have direct end users.
2602

2603 **B. Evidence**

2604 The Project shall provide the following evidence:

- 2605 — The Project has taken reasonable measures to identify relevant accessibility needs (for example
2606 by conducting surveys, focus groups with intended users), and has employed adequate
2607 accessibility features to cater for these needs (for example by adding adequate access features
2608 such as ramps for all users with mobility restrictions, etc.).

2609
2610 **C. Reporting**

2611 No periodic reporting is required for this criterion except when a change occurs which may threaten
2612 compliance as specified above.

2613
2614 NOTE2: This criterion was developed based on the following bibliography:

2615 (IFC, 2012)

2616 (Global Infrastructure Basel Foundation, 2016)

2617 (Robinson, 2016)

2618 (Sayeg, Starkey, & Huizenga, Results Framework on Sustainable Transport, 2014)

2619 (UN Habitat, 2017)
2620

2621 **GUIDANCE**
2622

2623 **D. Optional practices for improved performance**

2624 When found appropriate, make a previous participatory assessment to identify potential intended users that
2625 might need specific measures for their inclusion.
2626

2627 **E. Useful resources**

2628 There is no text in this section.

2629 **Criterion S4.2 Provision of Basic Infrastructure Services (PC)**
2630

2631 **REQUIREMENTS**
2632

2633 **A. Description**

2634 The Project shall directly or indirectly improve access to basic infrastructure services, and shall be aligned
2635 with the city, regional and/or community development objectives. For the purposes of this criteria, basic
2636 infrastructure services include provision of: water, waste, transport, energy, education, health or approved
2637 alternative services.
2638

2639 **B. Performance Level 1**

2640 The Project is able to demonstrate that it is aligned with city, regional and/or community development
2641 objectives, where they formally exist. The Project is also able to demonstrate that it has directly provided
2642 access to a basic infrastructure service, where this service was previously not accessible or was
2643 unsatisfactory. For example, The Project has provided electricity to new homes, which previously had no
2644 electricity or intermittent supply.

2645 NOTE: Guidance material for definition of satisfactory basic infrastructure services is provided in the SuRe® Glossary.
2646

2647 **C. Performance Level 2**

2648 In addition to the Performance Level 1 requirements, The Project is able to demonstrate that it indirectly
2649 enables access to one additional basic infrastructure service, where this service was previously not accessible
2650 or was unsatisfactory.
2651

2652 **D. Performance Level 3**

2653 In addition to Performance Level 2 Requirements, The Project is able to demonstrate that it indirectly
2654 enables access to two or more additional basic infrastructure services, where these services were previously
2655 not accessible or were unsatisfactory.
2656

2657 **E. Evidence & Reporting**

2658 In order to demonstrate and maintain compliance, Projects shall indicate:

- 2659 — No. of people with new access to a basic service as a direct result of The Project, who previously
2660 had no access to this service;
- 2661 — No. of people with improved access to a basic service as a direct result of The Project, who
2662 previously had unsatisfactory access to this service;
- 2663 — No. of people with new access to a basic service as an indirect result of The Project, who
2664 previously had no access to this service;
- 2665 — No. of people with improved access to a basic service as an indirect result of The Project, who
2666 previously had unsatisfactory access to this service.

2667
2668 NOTE: This criterion was developed based on the following bibliography:
2669 (European Commission, 2016)
2670 (United Nations Economic and Social Council, 2016)
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2672
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2675 **GUIDANCE**

2676

2677 **F. Optional practices for Improved Performance**

2678 There is no text in this section.

2679

2680 **G. Useful Resources**

2681 There is no text in this section.

2682 **Criterion S4.3 User Affordability (MC)**

2683
2684 **REQUIREMENTS**

2685
2686 **A. Description**

2687 The Project shall provide services using an inclusive pricing structure to increase accessibility and
2688 affordability for all, considering the needs of disadvantaged groups including low-income and poorer groups.
2689 The Project shall conduct a poverty impact assessment (this may be a part of The Project’s Social Impact
2690 Assessment), including an assessment of ability-to-pay. The Project shall identify, implement and monitor
2691 measures to improve affordability to low-income and poorer groups. The Project shall define and monitor
2692 indicators for effective access, as compared to nominal access (for example, No. people actually using a
2693 service, as opposed to No. people with physical access to a service but inability to afford service fees).

2694 NOTE 1: For definitions on nominal and effective access, please refer to the SuRe® Glossary.

2695 NOTE 2: This criterion is not to be considered material for projects that do not have direct end users.

2696
2697 **B. Evidence**

2698 The Project shall provide the following evidence:

- 2699 — Documented poverty impact assessment;
- 2700 — Documented evidence that the measures above have been complied with;
- 2701 — Evidence of on-going monitoring against defined indicators for effective access.

2702
2703 **C. Reporting**

2704 No periodic reporting is required for this criterion except when a change occurs which may threaten
2705 compliance as specified above.

2706
2707 NOTE: This criterion was developed based on the following bibliography:

2708 (Penelope Brook, 2001)

2709 (Gulyani, 2016)

2710
2711 **GUIDANCE**

2712
2713 **D. Optional practices for Improved Performance**

2714 The Project is encouraged to investigate alternative measures to increase affordability and effective access,
2715 such as tiered pricing structures, or versatile payment options that meet the needs of disadvantaged groups,
2716 for example, mobile payment, e-payment booths, or pre-payment options as appropriate.

2717
2718 **E. Useful Resources**

2719 There is no text in this section.

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

A. Description

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

B. Performance Level 1

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

C. Performance Level 2

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

D. Performance Level 3

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

E. Evidence & Reporting

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

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

NOTE: This criterion was developed based on the following bibliography:

(United Nations, 2017, pp. 14-16)

(World Bank , 2017)

(Marieke Verschuuren, 2013)

2766 **GUIDANCE**

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2768 **F. Voluntary Indicators for Improved Performance**

2769 There is no text in this section.

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2771 **G. Useful Resources**

2772 There is no text in this section.

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Theme S5: Socioeconomic Development

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The Project shall create long-term benefits for the socio-economic development and improvement of quality of life for the local communities and their members while ensuring gender equality and empowerment of minorities.

2795 **Criterion S5.1 Direct Employment and Training (PC)**

2796 **REQUIREMENTS**

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2799 **A. Description**

2800 The Project shall hire people from the local communities as workers, professionals and in managerial
2801 positions during construction and operation of The Project. The Project shall favour suppliers that provide
2802 local employment. The Project shall support positive skill, technology and capability transfer and
2803 development of all staff (including local staff) and the wider communities in the form of training, workshops,
2804 or other activities.

2805

2806 NOTE: For the purposes of this criterion, 'local suppliers' is defined as those suppliers who are domestically owned and who
2807 employ the majority of their workforce from the local community in the city The Project operates.

2808

2809 **B. Performance Level 1**

2810 The Project satisfies all of the following:

- 2811 — At least 60% of overall workforce is local;
- 2812 — At least 70% of supplier purchase costs are coming from local suppliers;
- 2813 — At least 10% of professional positions are held by local female staff.

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2815 **C. Performance Level 2**

2816 The Project satisfies together all of the following:

- 2817 — At least 70% of overall workforce is local;
- 2818 — At least 70% of supplier purchase costs are coming from local suppliers;
- 2819 — It has established a local training programme to train local community members;
- 2820 — At least 20% of professional positions are held by local female staff.

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2822 **D. Performance Level 3**

2823 The Project satisfies together all of the following:

- 2824 — At least 80% of overall workforce is local;
- 2825 — At least 70% of supplier purchase costs are coming from local suppliers;
- 2826 — It has established a local training programme to train local community members;
- 2827 — At least 30% of professional positions are held by local female staff.

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2829 **E. Evidence & Reporting**

2830 In order to demonstrate and maintain compliance, Projects shall indicate:

- 2831 — Percentage of hired staff that is local (FTE (full time equivalent/year), disaggregated by gender);
- 2832 — Number of hours of training per year per employee (including managers and workers)
2833 disaggregated by gender and by local community staff OR average amount of money spent per
2834 employee on training and development;
- 2835 — Percentage of staff in formal and informal contracts, disaggregated by gender and by nationality;

- 2836 — Number of youth and adults in the community that participated in any form of training or
2837 education in the previous 12 months, offered by The Project (disaggregate by gender). (Adapted
2838 from Sustainable Development Goals indicator 4.3.1).

2839 NOTE: This criterion was developed based on the following bibliography:
2840 (International Labour Organization, 2004)
2841 (Bersin by Deloitte , 2015)
2842 (United Nations, 2017)

2843

2844 **F. Optional practices for Improved Performance**

2845 The Project should take additional measures to improve hiring and training local staff, for example by:

- 2846 — The Project should limit the number of temporary contracts;
- 2847 — The Project should encourage hiring of female local staff for management positions;
- 2848 — The Project should implement other forms of empowerment for local women (such as exclusive
2849 trainings tailored to the needs of the community;
- 2850 — The Project should make available all documents and job advertisements are made readily
2851 available in local language and distributed through local channels;
- 2852 — The Project should offer opportunities for skills and knowledge transfer to the community in the
2853 form of apprenticeships for the local population or other programs for skill development;
- 2854 — The Project should use innovative technology solutions to offer training.

2855

2856 **G. Useful Resources**

- 2857 — International Labour Organization (ILO 195), Human Resources Development Recommendation,
2858 (2004)
- 2859 — Bersin by Deloitte, Corporate Learning Factbook 2015: Benchmarks, Trends, and Analysis of the
2860 U.S. Training Market

Criterion S5.2 Indirect/direct Economic Development Enabled by The Project (PC)**REQUIREMENTS**

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. All these matters should be taken into consideration in connection to environmental aspects as social and economic development are intertwined with healthy, functioning ecosystems.

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. Evidence & Reporting

In order to demonstrate and maintain compliance, Projects shall indicate:

- 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);
- Increase in tax revenues of local and/or national governments
- Economic diversification in the community (e.g. number of different sectors or branches per capita);
- Growth of the community (population growth)
- % increased contribution to the local economy (e.g. Gross Domestic Product (GDP) or Gross National Product (GNP))

NOTE: This criterion was developed based on the following bibliography:
(Global Infrastructure Basel Foundation, 2016)

2907 **GUIDANCE**

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2909 **F. Optional practices for Improved Performance**

2910 There is no text in this section.

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2912 **G. Useful Resources**

2913 There is no text in this section.

Criterion S5.3 Gender Equality and Women Empowerment (MC)

REQUIREMENTS

A. Description

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

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

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

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

B. Evidence

The Project shall provide the following evidence:

- Evidence that all points above have been satisfied.

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

- Gender Equality Analysis and Gender Action Plan.
- All relevant data collected by The Project is sex-disaggregated (e.g. number of workers, number of trainings given, number of lavatories, etc.).

- Project documents (e.g. plans, policies, design plans, brochures, informative pamphlets, job vacancy documents, etc.) are gender sensitive, support gender equality mainstreaming and use gender specific language (e.g. referring explicitly to “men and women workers” rather than just “workers”) with all genders and individuals equally represented (e.g. in pictures, images or other visuals).
- The Project provides evidence of efforts to reach women for job vacancies, opportunities for engagement, involvement and training (e.g. by sharing information and/or documentation in women-frequented locations, etc.)

C. Reporting

The Project shall demonstrate that data collection methods are gender 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

NOTE: This criterion was developed based on the following bibliography:

- (African Development Bank Group, 2009)
- (European Investment Bank Group, 2016)
- (FAO, IFAD & ILO, 2010)
- (Japan International Cooperation Agency, n.d)
- (United Nations Office for Project Services (UNOPS), n.d)
- (UNOPS, 2014)
- (United Nations Development Programme (UNDP), 2013a)
- (UNDP, 2013b)
- (United Nations High Commissioner for Human Rights, 1979)

GUIDANCE

D. Optional practices for improved performance

The Project is encouraged to:

- Consult with a gender expert at each stage of The Project’s lifecycle (from design to decommissioning), to ensure that gender activities are being implemented and monitored.
- Provide women with services targeted specifically to their needs, for example transport services to and from the worksite, childcare facilities, private space for breastfeeding young children or expressing milk, etc.
- Consult women on the forms of payment that can more easily support their empowerment and security (cash or food for work).
- Have the construction manager run periodic checks to ensure that all gender sensitive measures are followed (e.g. that allowances are fairly and equally disbursed, that sanitation facilities are correctly used, etc.).

- 2995 — Have a “gender budget” to allow for gender mainstreaming target activities (eg. clearance and
2996 lightning of transportation stops, time allowances for nursing mothers, etc.).
- 2997 — Favour women owned companies or companies who provide evidence (e.g. organisation
2998 structure) that shows significant proportion of qualified positions are held by women, as suppliers
2999 and contractors,.
- 3000 — Partner with organization that safeguard and promote gender equality in the region.

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3002 **E. Useful resources**

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ENVIRONMENT

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The Project shall minimise negative environmental impacts of infrastructure development and operation and maximise environmental benefits by improving climate change mitigation and adaptation; protecting or enhancing biodiversity and ecosystems; minimising resource depletion; minimising pollution; and enhancing land use practices and landscape.

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Theme E1: Climate

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3044 The Project shall be designed and operated to avoid negative impacts on climate, and create net positive
3045 outcomes wherever possible.
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Criterion E1.1 Climate Change Mitigation (PC)**(RED CRITERION)****REQUIREMENTS**

A. Description

The Project shall avoid, or if not feasible, reduce project related Greenhouse Gas (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: adoption of renewable energy sources; energy efficiency improvements; reduction of fugitive emissions; reduction in embodied energy; afforestation and reduction in deforestation; or other changes to project siting or design which reduce GHG emissions required for service delivery.

The Project shall demonstrate that any GHG emissions it creates, enables, or induces in third parties are minimised. Where significant emissions are created, enabled or induced in third parties, The Project shall demonstrate that such emissions are necessary to achieve a greater development objective, which could not be achieved practically through other more sustainable means. For example, an airport in a remote rural location may demonstrate that the GHG emissions it enables by aircraft are necessary for the development objective of enabling access to urgent healthcare for remote populations, which was not available through more sustainable means.

B. Performance Level 1

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

- A baseline emissions quantity for a comparable service in a similar region;

OR

- An emissions quantity coherent with the Nationally Determined Contribution (NDC) of the country or countries in which The Project is implemented, and interpreted for the specific region and sector of The Project. If The Project is implemented in a country or countries which are not signatories of the Paris Agreement, The Project shall demonstrate that its greenhouse gas emissions are coherent with a global average temperature rise of less than 2°C by the end of the century.

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;

AND

- It has taken measures to significantly reduce its embodied carbon, as calculated across the lifecycle of The Project, including construction phase emissions.

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E. Evidence & Reporting

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In order to demonstrate and maintain compliance:

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- 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.

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- 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.

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- Projects shall provide any additional analyses and documentation to demonstrate compliance with the requirements above, including quantification of The Project's contribution to development objectives to justify emissions created, enabled or induced by The Project.

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- Projects seeking compliance with Performance Level 3 shall also report on Scope 3 emissions at least for the first tier of suppliers and contractors.

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NOTE: This criterion was developed based on the following bibliography:

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(World Business Council for Sustainable Development, 2001)

3107

(International Finance Corporation, 2006, pp. 7-8)

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(Center for Climate and Energy Solutions, 2009)

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(IPCC, 2014)

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(European Investment Bank, 2014)

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GUIDANCE

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F. Optional practices for Improved Performance

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

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G. Useful Resources

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

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

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

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- Onsite production of electricity, steam, or heat;

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

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

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

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

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- Production and transportation of construction or operating supplies;

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- Emissions from disposed waste;

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- Employee business or commuting travels.

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

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- Quantifying the total greenhouse gas emissions attributable to The Project,

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

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- Subtracting any eligible offsets from outside of The Project activities.

Criterion E1.2 Climate Change Adaptation (PC)**(RED CRITERION)****REQUIREMENTS**

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 risks and hazards include: rising sea level; salt water intrusion; seawater acidification; accelerated degradation of building materials; increased frequency and intensity of heat-waves, droughts, floods, tropical cyclones, forest fires, melting permafrost and other natural catastrophes.

B. Performance Level 1

The Project can demonstrate that it has been designed and built to withstand or adapt to 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 (2014), for the anticipated lifespan of The Project.

NOTE 2: RCP 4.5 predicts a global average temperature rise of 1.1°C to 2.6°C (mean 1.8°C), and a global average sea-level rise of 0.32m to 0.63m (mean 0.47m) 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 has used an interpretation of future climate change data to the specific location of The Project, including impacts expected only locally, for example, increased temperature due to heat island effect, local water scarcity, local soil effects etc.

The Project also 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 (2014), for the anticipated lifespan of The Project.

NOTE 3: RCP 6.0 predicts an average global temperature rise in the likely range of 1.4°C to 3.1°C (mean 2.2°C), and a global average sea-level rise in the likely range of 0.33m to 0.63m (mean 0.48m) 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:

3185 intermediate energy intensity, heavy reliance on fossil fuels, stable methane emissions, CO₂ emissions peak in 2060 (IPCC
3186 2014).

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3188 **E. Evidence & Reporting**

3189 In order to demonstrate and maintain compliance, Projects shall define indicators relevant to its context,
3190 including a record of climate-related events impacting The Project and the extent of that impact with
3191 adaptation measures in place, compared to a baseline scenario without adaptation measures in place. For
3192 example:

3193 — Number of days without services due to event (comparison between actual number of days
3194 without services compared to avoided number of days without service if the adaptation measures
3195 were not there);

3196 — Cost of damage (comparison between actual cost of damage compared with cost of damage if the
3197 resilient infrastructure were not there).

3198 NOTE: This criterion was developed based on the following bibliography:
3199 (Intergovernmental Panel on Climate Change, 2014)

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3201 **GUIDANCE**

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3203 **F. Optional practices for Improved Performance**

3204 — The Project should evaluate the probability of resource depletion in the different scenarios that
3205 might affect its operations and includes adaptation measures to this variable in its risk
3206 management plan.

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3208 **G. Useful Resources**

3209 — Stockholm Environment Institute, A guide to Representative Concentration Pathways. Available:
3210 www.sei-international.org/mediamanager/documents/A-guide-to-RCPs.pdf

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Theme E2: Biodiversity and Ecosystems

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3228 The Project shall be designed as far as possible in a way that integrates ecosystem services as a part of the
3229 planned infrastructure function and avoids negative impacts on biodiversity and ecosystems. Wherever
3230 possible, The Project should identify potential for further positive impacts in accordance with the Convention
3231 on Biological Diversity and related Protocols.
3232

Criterion E2.1 Biodiversity and Ecosystem Management (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

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 the mitigation hierarchy and following consultation with affected communities and external experts.

B. Evidence

The Project shall provide the following evidence:

- HCV Assessment or equivalent 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 evaluated, implemented and 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

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

NOTE: This criterion was developed based on the following bibliography:
 (Business and Biodiversity Offsets Programme, 2012)
 (IFC, 2012)
 (Long Term Infrastructure Investors Association, 2017)

3274 (Natural Capital Coalition, 2015)
3275 (Secretariat of the Convention on Biological Diversity, 2004)
3276 (United Nations, 1993)
3277 (UNEP Convention on Biological Diversity, 1999)

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3279 GUIDANCE

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3281 D. Optional practices for improved performance

3282 Biodiversity offset program that creates net positive impact.

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3284 E. Useful resources

3285 The following resources provide further guidance:

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— Business and Biodiversity Offset Programme (BBOP) Guidelines. Available: www.bbop.forest-trends.org/pages/guidelines

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— International Union for Conservation of Nature. Guiding Principles and Recommendations for Responsible Business Operations in and around Key Biodiversity Areas (KBAs), Draft 2

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— HCV Network. Methodology and guidance documents Available: www.hcvnetwork.org/resources/;

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— 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

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Criterion E2.2 Biodiversity and Ecosystem Conservation (PC)**(RED CRITERION)****REQUIREMENTS**

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;
- Avoid negative impact on public health and safety by decreased provision of ecosystem services (reference criterion S3.5).

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 Threat Categories 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

- 3340 The Project **avoids** negative impacts on biodiversity, habitat and ecosystem services, for example, through
3341 spatial or temporal planning/placement of infrastructure. To meet this Performance Level, The Project shall:
- 3342 — Achieve net positive impact (NPI) or “like for better”, for example by creating additional natural
3343 capital (for example, through the use of nature-based solutions) and/or strengthening habitat
3344 connectivity, or enhancing biodiversity (targeting preferable threatened species/ecosystems);
 - 3345 — Not cause negative impact on species except those categorised as ‘Least Concern’ (LC) under IUCN
3346 categorisation or equivalent;
 - 3347 — Not impact IUCN Protected Area Categories Ia, Ib, II, III, IV, V or equivalent protected area
3348 categorisation under local legislation, or enable others to more easily impact these areas. For
3349 example, a road that enables new access to these areas, for activities by others that may lead to
3350 future fragmentation of the area does not meet this performance level, even when this Project is
3351 not build directly on the Protected Area itself.

3352 **E. Evidence & Reporting**

3353 In order to demonstrate and maintain compliance, Projects shall indicate:

- 3354 — Area (m² or km²) impacted positively or negatively by The Project;
- 3355 — Number of protected and endangered species (including marine biodiversity) living in the
3356 development area impacted by The Project.

3357 NOTE: This criterion was developed based on the following bibliography:

3358 (PricewaterhouseCoopers, 2010)

3359 (International Union for Conservation of Nature (IUCN), 2017)

3360 (IUCN, 2015)

3361 (IUCN, 2012)

3362 (Business and Biodiversity Offsets Programme, 2012)

3363 (International Finance Corporation , 2012)

3364 (Hardner, 2015)

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3366 **GUIDANCE**

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3368 **F. Optional practices for Improved Performance**

- 3369 — The Project should be involved in local initiatives to protect biodiversity and ecosystem, for
3370 example, by monitoring that none of its workforce engages in “bushmeat” activities;
- 3371 — The Project should implement the High Conservation Values approach;
- 3372 — The Project should implement nature based solutions whenever beneficial.

3373 **G. Useful Resources**

3374 There is no text in this section.

3375

Criterion E2.3 Invasive Alien Species (MC)

REQUIREMENTS

A. Description

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

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

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

NOTE: This criterion was developed based on the following bibliography:

(Equitable Origin, 2012, pp. 51-52)
 (The Gold Standards Framework, 2017)
 (International Federation of Consulting Engineers, 2012)
 (IFC, 2012)
 (IFC, 2012, pp. 16-21)
 (International Union for Conservation of Nature, 2000)
 (ISEAL Alliance, 2015)
 (Natural Capital Coalition, 2015)
 (Pöyry, 2016)
 (Robinson, 2016)
 (UNEP Convention on Biological Diversity, 1999)
 (United Nations, 1993)
 (EPPO, 2017)
 (GRIIS, 2017)

3418 **GUIDANCE**

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3420 **D. Optional practices for improved performance**

3421 The Project is encouraged to combat invasive species within The Project site boundaries if invasive species
3422 are present in The Project site or its surroundings. Combatting should primarily focus on biological and
3423 biotechnical measures and only turn to synthetic pesticides as a last resort.

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3425 **E. Useful resources**

- 3426 — Convention on Biological Diversity Guiding Principles for the Prevention, Introduction and
3427 Mitigation of Impacts of Alien Species that Threaten Ecosystems, Habitats or Species (1999)
- 3428 — European and Mediterranean Plant Protection Organization (EPPO) Lists of Invasive Alien Plants
3429 (2017);
- 3430 — Global Register of Introduced and Invasive Species (GRIIS) (2017)
- 3431 — IUCN Guidelines for the Prevention of Biodiversity Loss Caused by Alien Invasive Species (2000)

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Theme E3: Resource Management

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The Project shall responsibly source materials, use materials efficiently, and minimise waste production.

Criterion E3.1 Responsible Sourcing of Water (MC)**(RED CRITERION)****REQUIREMENTS**

A. Description

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

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

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

NOTE: This criterion was developed based on the following bibliography:

- (Alliance for Water Efficiency, 2016)
- (Australian Government, 2016)
- (European Union, 2015)
- (National League of Cities, 2013)
- (National League of Cities, 2013)
- (United Nations, 2017)
- (International Water Centre, 2007)
- (Sustainable Cities Institute, 2012a)
- (Sustainable Cities Institute, 2012b)

GUIDANCE

D. Optional 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

- 3495 — The Project should include integrated water resource planning to establish long term water goals
3496 aligned with The Project’s operations to ensure water resource protection and support to the
3497 community’s water needs as seen in the Sustainable Development Goals (SDGs) indicator 6.5.1
3498 Degree of integrated water resources management implementation 0 – 100.
- 3499 — The Project should demonstrate compliance with the Water Stewardship Standard

3500 NOTE 2: Sustainable water planning understands the interdependence among water infrastructure, ecological systems, and
3501 the built environment. Plans should simultaneously address and integrate habitat conservation; water storage, treatment,
3502 and conveyance methods; and water uses (2012)

3503 NOTE 3: Integrated resource planning, or IRP, is a comprehensive form of water planning that considers water supply,
3504 wastewater, storm-water, water quality, and the interrelationship between them. Its ultimate objective is to establish long-
3505 term, least-cost goals that sustainably support a community’s needs and ensure water resource protection. IRP emphasizes
3506 scenario planning and develops a portfolio of options for water services through an open, coordinated, and participatory
3507 decision-making process (2012).

3509 E. Useful Resources

3510 There is no text in this section

Criterion E3.2 Water Efficiency (PC)**(RED CRITERION)****REQUIREMENTS**

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.

NOTE 1: 80th percentile rainfall events represent a precipitation amount which 80 percent of all rainfall events for the period of record do not exceed, and likewise for 95th and 99th percentile.

E. Evidence & Reporting

In order to demonstrate and maintain compliance, Projects shall indicate:

- Total potable water used compared with 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.

- 3558 — Change in water-use efficiency over time (Sustainable Development Goals (SDG) Indicator 6.4.1).
- 3559 — Level of water stress: freshwater withdrawal (by The Project) as a proportion of available
- 3560 freshwater resources (SDG indicator 6.4.2).
- 3561 — Total storm-water run-off.

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3563 NOTE: This criterion was developed based on the following bibliography:
3564 (Sustainable SITES Initiative , 2014, pp. 31-34)
3565 (United Nations, 2017)

3566 **GUIDANCE**

3567 **F. Optional practices for Improved Performance**

- 3568 — Projects should minimize the use of materials (such as zinc roofs, copper made structures, etc.)
- 3569 that can pollute storm water.
- 3570 — Projects should reuse greywater, captured rainwater, HVAC blow-down, or any other type of
- 3571 recycled water or condensate water for irrigation purposes (SITES v0.2).
- 3572 — Projects should implement smart monitoring, metering and water management to measure water
- 3573 efficiency throughout the lifespan of The Project.
- 3574 — Projects should implement smart monitoring, metering and water management to measure water
- 3575 efficiency throughout the lifespan of The Project.

3576 **G. Useful Resources**

3577 There is no text in this section.
3578

Criterion E3.3 Responsible Sourcing of Materials (PC)

REQUIREMENTS

A. Description

The Project 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 sourcing practices.

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

- Soil: within 50km

3623 — Rocks, and aggregate: within 50km

3624 — Wood and plants: within 250km

3625 — All other materials: within 500km

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3627 NOTE: Performance Level adapted from SITES V2 2014

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3629 **E. Evidence & Reporting**

3630 In order to demonstrate and maintain compliance, Projects shall indicate:

3631 — Percentage of total materials used that come from local sources

3632 — Percentage of total materials used that come from recycled or reclaimed sources. Percentage or
3633 number of primary and secondary suppliers that have sustainability
3634 sourcing/procurement/management certification

3635 NOTE: This criterion was developed based on the following bibliography:

3636 (Sustainable SITES Initiative , 2014)

3637 (Sustainable SITES Initiative, 2017)

3638 (Sustainable SITES Initiative, 2009)

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3640 **GUIDANCE**

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3642 **F. Optional practices for Improved Performance**

3643 — The Project should divert some of its “left-over” materials for on-site use instead of disposal; for
3644 example by “removing on-site concrete pavement and crushing it for aggregate” (Source: SSI,
3645 2009)

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3647 **G. Useful Resources**

3648 — LEED

3649 — Forestry Stewardship Council

Criterion E3.4 Resource Efficiency (PC)**(RED CRITERION)****REQUIREMENTS**

A. Description

The Project shall be designed to maximise efficient use of materials and energy 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: Water efficiency is excluded from this criterion as it is covered under criterion E3.2 Water Efficiency.

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 (for example 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 SuRe® Glossary for an explanation on how to start impact calculation.

E. Evidence & Reporting

In order to demonstrate and maintain compliance, Projects shall indicate:

- 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).

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3697 NOTE4: This criterion was developed based on the following bibliography:
3698 (ECORYS, 2014)
3699 (Sustainable SITES Initiative , 2014)
3700 (International Labour Organization, 1977)
3701 (Whole Building Design Guide, 2016)
3702 (World Health Organization , 2017)
3703 (World Health Organization , 2009)

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3705 **GUIDANCE**

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3707 **F. Optional practices for Improved Performance**

- 3708 — The Project should continuously adapt new technologies to utilize its resources even more
3709 efficiently than what was originally designed or constructed.
- 3710 — The Project should demonstrate resource productivity of 15% better than local good practice.

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3712 **G. Useful Resources**

3713 There is no text in this section.

Criterion E3.5 Waste Management (PC)

REQUIREMENTS

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. Evidence & Reporting

In order to demonstrate and maintain compliance, Projects shall indicate:

- 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.

NOTE: This criterion was developed based on the following bibliography:
(UN Environment, 2017a)
(Sustainable SITES Initiative, 2009, p. 185)

GUIDANCE

F. Optional practices for Improved Performance

- The Project should integrate international best practices such as integrated solid waste management guidelines (by United Nations Environment Programme (UNEP)).

3761 — The Project should integrate disaster waste guidelines (by the United Nations Office of the
3762 Coordination of Humanitarian Affairs (OCHA) as part of their disaster risk management plan.

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3764 **G. Useful Resources**

3765 — Solid waste management guidelines UNEP

3766 — Disaster waste guidelines by OCHA

3767 — The Sustainable Sites Initiative

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Theme E4: Pollution

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3784 The Project shall, during its' whole life cycle, aim to avoid practices that lead to pollution of the environment
3785 such as air, soil, water, and can lead to negative impacts on human health and wellbeing. The mitigation
3786 hierarchy (avoid, prevent, minimise, reduce or offset adverse impacts) shall be applied.
3787

Criterion E4.1 Air and Soil Pollution (PC)**(RED CRITERION)****REQUIREMENTS**

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. Evidence and Reporting

In order to demonstrate and maintain compliance, The Project shall report on the following annually:

- 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)).

NOTE: This criterion was developed based on the following bibliography:

(FAO, 2015)

(FAO, 2017)

(FAO, 2000)

(FAO, 2015)

3835 (Sustainable SITES Initiative, 2009, p. 185)
3836 (United Nations Economic Commission for Europe , 1979)
3837 (United Nations Economic Commission for Europe , 2017)
3838 (World Health Organization , 2005)
3839 (World Health Organization , 2016)
3840 (United Nations, 2017)

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3842 GUIDANCE

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3844 F. Optional practices for Improved Performance

3845 The Project is encouraged to use Direct Contractors, Sub Contractors and Primary Suppliers who show
3846 commitment of reducing diesel emissions from their transportation and construction vehicles.

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3848 G. Useful Resources

- 3849 — WHO Air quality guidelines. Available:
- 3850 — www.apps.who.int/iris/bitstream/10665/69477/1/WHO_SDE_PHE_OEH_06.02_eng.pdf
- 3851 — UNECE Convention on Long-range Transboundary Air Pollution
- 3852 — 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/)
3853 [a15f-db564161fee0/](http://www.fao.org/documents/card/en/c/e60df30b-0269-4247-a15f-db564161fee0/)
- 3854 — Sustainable Sites Initiative, Guidelines and performance benchmarks, pg, 185 (2009)
- 3855 — WHO Air quality guidelines. Available: www.who.int/mediacentre/factsheets/fs313/en/
- 3856 — UNECE: Environment Policy, 2017. Available:www.unece.org/env/lrtap/30anniversary.html
- 3857 — FAO: Management and natural processes affecting the biological and chemical aspects of soils,
3858 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/)
3859 [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/)
- 3860 — FAO: assessing soil contamination
- 3861 — FAO: status of the world's soil resources 2015

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Criterion E4.2 Water Pollution (PC)**(RED CRITERION)****REQUIREMENTS**

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. Evidence & Reporting

In order to demonstrate and maintain compliance, Projects shall indicate:

- % of untreated wastewater discharged by The Project to the sewage system,
- % 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).

NOTE: This criterion was developed based on the following bibliography:
 (Equitable Origin, 2012)
 (International Finance Corporation, 2007)
 (United Nations, 2017)

GUIDANCE

F. Optional practices for Improved Performance

There is no text in this section.

G. Useful Resources

There is no text in this section.

Criterion E4.3 Pest Management (MC)

REQUIREMENTS

A. Description

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

B. Evidence

The Project shall provide the following evidence:

- Pest management strategy aiming at (1) minimizing harm to natural enemies of the target pests, and (2) minimizing risks associated with the development of resistance in pests and vectors;
- The plan shall include guidelines and training program on handling, storage, safe use and disposal of chemical pesticides and personal equipment in accordance with the Food and Agriculture Organization's (FAO) International Code of Conduct on the Distribution and Use of Pesticides or other Good International Industry Practice (GIIP);
- List of pesticides used. The pesticides used shall be manufactured by a valid licensed producer, properly packaged and come with user manual with safety guidance;
- The pesticides shall not be those listed in the Rotterdam Convention, Stockholm Convention, and WHO Recommended Classification of Pesticides by Hazard Class Ia and Ib.

C. Reporting

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

NOTE: This criterion was developed based on the following bibliography:

(IFC, 2012, pp. 22-26)

(Secretariat of the Convention on Biological Diversity, 2004)

(The Secretariat of the Stockholm Convention, 2004)

GUIDANCE

D. Optional practices for improved performance

- The Project is encouraged to phase out controversial pesticides now and in the future (for example, pesticides which are not listed in the Rotterdam or Stockholm Conventions, but that are controversial nonetheless).
- Where The Project involves the management of pesticides and related substances, an integrated, qualitative pest management (or vector management) approach including prohibition of prophylactic use should be considered. The Project should seek to minimise and mitigate any adverse impacts related to the use of such substances on local ecosystems and biodiversity as

3954 well as public and occupational health and safety, in accordance with SuRe® criteria S2.5
3955 Occupational Health and Safety and S3.5 Management of Public Health and Safety Risks

3956 — **The Project is encouraged to implement integrated pest management.**

3957 **E. Useful resources**

3958 The following resources provide further guidance:

3959 — Rotterdam Convention, List of Chemicals. Available:

3961 [www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-](http://www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx)
3962 [US/Default.aspx](http://www.pic.int/TheConvention/Chemicals/AnnexIIIChemicals/tabid/1132/language/en-US/Default.aspx)

3963 — Stockholm Convention, Persistent Organic Pollutants (2002) List of PoPs. Available:

3964 www.chm.pops.int/TheConvention/ThePOPs/ListingofPOPs

3965 — World Health Organization, Recommended Classification of Pesticides by Hazard Class. Available:

3966 www.who.int/ipcs/publications/pesticides_hazard_2009.pdf

3967 — Integrated pest management resources: [http://www.fao.org/agriculture/crops/thematic-](http://www.fao.org/agriculture/crops/thematic-sitemap/theme/spi/scpi-home/managing-ecosystems/integrated-pest-management/ipm-links0/en/)
3968 [sitemap/theme/spi/scpi-home/managing-ecosystems/integrated-pest-management/ipm-](http://www.fao.org/agriculture/crops/thematic-sitemap/theme/spi/scpi-home/managing-ecosystems/integrated-pest-management/ipm-links0/en/)
3969 [links0/en/](http://www.fao.org/agriculture/crops/thematic-sitemap/theme/spi/scpi-home/managing-ecosystems/integrated-pest-management/ipm-links0/en/)

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

REQUIREMENTS

A. Description

The Project shall minimise negative impacts on human health related to excessive noise, light, vibrations and heat. When doing so, 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). 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. Relevant sources of disturbance should be identified and associated risks minimised through prevention and mitigation measures where appropriate. The Project shall engage with stakeholders to minimize disturbances to the nearby community.

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

B. Performance Level 1

Noise, Light, Vibration and Heat levels caused by The Project meet national and local regulation and are meeting Good International Industry Practice (GIIP) for daytime and night-time project activities.

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

C. Performance Level 2

In addition to performance level 1, The Project can effectively demonstrate that noise, light, vibration and heat levels have not significantly increased compared with pre-project levels. It has taken measures (such as installing automatic lights and insulating walls) to reduce out-door noise, light, vibration and heat (including backlight, up-light and glare) spillage.

D. Performance Level 3

In addition to performance level 2, The Project can effectively demonstrate that noise, light, vibration and heat levels have significantly decreased compared with pre-project levels. For example, the infrastructure has implemented nature based solutions (such as forests) to contain outdoor noise, light, vibration and heat; reduced upward illumination of the night sky by placing lamps in the correct position using international best practice, applied other green infrastructure principles to create quieter communities, etc.

E. Evidence & Reporting

In order to demonstrate and maintain compliance, Projects shall indicate:

- Level of noise emission and immission range during operation, construction (measured in decibels);
- Approximate excess heat produced and not captured (kW);
- Level of vibration;
- Temperature increase after project (in surrounding areas);
- Number of complaints received due to noise, light, vibration, and heat.

NOTE: This criterion was developed based on the following bibliography:

- 4016 (Canadian Centre for Occupational Health and Safety, 2017)
4017 (Government of India, Ministry of Environment & Forests, 2017)
4018 (International Labour Organization, 1977)
4019 (Sustainable SITES Initiative , 2014)
4020 (World Health Organization , 2017)
4021 (World Health Organization , 2009)

4022

4023 **GUIDANCE**

4024

4025 **F. Optional practices for Improved Performance**

4026 — The Project should use alternate innovative practices for illumination such as “full cut off” or “fully
4027 shielded” where no light emitted from The Project is visible as per the Illuminating Engineering
4028 Society (IES) (adapted from SSI, 2014),

4029 — The Project should use nature-based solutions to reduce heat, noise, light and vibration levels.

4030

4031 **G. Useful Resources**

4032 There is no text in this section.

4033

4034 **Criterion E4.5 Cumulative Impacts (MC)**

4035
4036 **REQUIREMENTS**

4037
4038 **A. Description**

4039 The Project shall identify and appropriately manage cumulative impacts and risks of project activities on
4040 society and the environment. The Project shall conduct a Cumulative Impact Assessment (CIA), including at
4041 least the following elements:

- 4042 — Identification and assessment of the short and long term potential impacts and risks of The
4043 Project and how they interact with other development activities and natural stressors to affect
4044 selected Valued Environmental and Social Components (VECs);
- 4045 — Identification and engagement of stakeholders in the impact and risks assessment process to
4046 identify and address their concerns on the cumulative impacts of The Project;
- 4047 — Determination of the probability of identified impacts and risks to interfere with the selected
4048 VECs and in limiting the realization of The Project's value;
- 4049 — Identification and implementation of mitigation measures to minimize the impacts of the
4050 cumulative impacts and risks on the VECs;
- 4051 — Development of a monitoring and management plan for the cumulative impacts throughout The
4052 Project lifecycle.

4053 Such measures shall be implemented in accordance with recognised guidance such as the International
4054 Finance Corporation (IFC's) Good Practice Handbook on Cumulative Impact Assessment and Management:
4055 Guidance for the Private Sector in Emerging Markets.

4056
4057 **B. Evidence**

4058 The Project shall provide the following evidence:

- 4059 — Cumulative impacts have been assessed, for example, within Environmental Impact Assessment
4060 (EIA);
- 4061 — The mitigation measures with regard to a project's contribution to cumulative impacts are
4062 included as an integral component of The Project's Environmental and Social Management
4063 System (ESMS);
- 4064 — Strategic Environmental Assessment to address cumulative impacts.

4065
4066 **C. Reporting**

4067 No periodic reporting is required for this criterion except when a change occurs which may threaten
4068 compliance as specified above.

4069
4070 NOTE: This criterion was developed based on the following bibliography:

4071 (IFC, 2012, p. 15)

4072 (Pöyry, 2016)

4078 **GUIDANCE**

4079

4080 **D. Optional practices for improved performance**

4081 The Project is encouraged to update a cumulative impact assessment as the state of knowledge and general
4082 business practice improves.

4083

4084 **E. Useful resources**

4085 IFC's Good Practice Handbook on Cumulative Impact Assessment and Management: Guidance for the Private
4086 Sector in Emerging Markets, 2012.

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Theme E5: Land Use and Landscape

4104 The Project shall minimise negative impacts on the surrounding landscape, conserve green-field land where
4105 possible, restore soils and use land responsibly.

4106
4107

4108 **Criterion E5.1 Location, Project Siting and Design in Relation to Landscape (MC)**
4109

4110 **REQUIREMENTS**

4111
4112 **A. Description**

4113 The Project shall carefully assess The Project location and siting during the design and construction phases of
4114 The Project, in consultation with affected communities and relevant public authorities. It shall also avoid
4115 degrading critical natural capital areas that provide important ecosystem services (at various scales - both
4116 local and global). This assessment shall include:

- 4117 a) A location analysis (if not already conducted by the public authorities) – covering aspects such as local
4118 geological considerations, the presence of green infrastructure, opportunities for nature-based
4119 solutions, as well as the implications of slopes and flood plains – with the purpose of keeping negative
4120 impacts associated with construction and operation to a minimum. This shall be in line with SuRe®
4121 criteria E2.2 Biodiversity and Ecosystem Conservation and S3.5 Management of Public Health and Safety
4122 Risks;
- 4123 b) The identification of how landscape will be affected by The Project in terms of landscape scale planning,
4124 features, character and aesthetics;
- 4125 c) The evaluation of how vulnerable or sensitive the landscape is and will be to the likely effects of The
4126 Project (including increased pressure on frontier resources and activity displacement if any);
- 4127 d) Suggestions for integrated design and operational features that minimise or mitigate the impacts of The
4128 Project on landscape.

4129
4130 **B. Evidence**

4131 The Project shall show the following evidence:

- 4132 — Location Analysis.
- 4133 — Environmental Impact Assessment (EIA) addressing impacts on landscape.
- 4134 — Project design, and proposals made by The Project for integrated design.
- 4135 — Fit within Strategic Environmental Assessment at larger scales for broader planning and policy,
4136 where possible

4137
4138 **C. Reporting**

4139 No periodic reporting is required for this criterion except when a change occurs which may threaten
4140 compliance as specified above.

4141 NOTE: This criterion was developed based on the following bibliography:

- 4142 (BREEAM, 2015)
4143 (Equitable Origin, 2012, p. 56 (5.9))
4144 (The Gold Standards Framework, 2017)
4145 (International Federation of Consulting Engineers, 2012, pp. 16-19)
4146 (ISEAL Alliance, 2015)
4147 (Pöyry, 2016)
4148 (Netzwerk Nachhaltige Bauen Schweiz, 2015)
4149 (Netzwerk Nachhaltige Bauen Schweiz, 2015)
4150 (Netzwerk Nachhaltige Bauen Schweiz, 2015)

4155 **GUIDANCE**

4156

4157 **D. Optional practices for improved performance**

4158 Where The Project does not have the freedom to select other project site, or when location cannot be
4159 changed due to authoritative reasons, The Project is recommended to do all in their power to change
4160 location, or communicate this to other projects/authorities, with the intention that projects can influence
4161 future actions by these authorities.

4162

4163 **E. Useful resources**

4164 There is no text in this section.

4165

4166 **Criterion E5.2 Land Use (PC)**

4167
4168 **REQUIREMENTS**

4169
4170 **A. Description**

4171 The Project shall minimise the use of green-field land. The Project shall also employ technologies that reduce
4172 footprint and minimise impervious space.

4173 If the site may contain chemical, biological or radioactive contamination, The Project shall ensure that the
4174 site is adequately decontaminated prior to construction.

4175
4176 **B. Performance Level 1**

4177 Less than 75% of The Project is located on greenfield land.

4178 Total farmland developed for The Project does not constitute more than 20% of the total land developed for
4179 the infrastructure.

4180
4181 **C. Performance Level 2**

4182 The Project is located 100% on grey-field or brownfield land.

4183 Total farmland developed for The Project constitutes 0% of the total land developed for the infrastructure.

4184
4185 **D. Performance Level 3**

4186 The Project is located 100% on brownfield land and has taken measures to ensure that previous pollution is
4187 effectively mitigated.

4188 The Project has contributed to the restoration and conservation of farmland located in the nearby
4189 community of where The Project is located.

4190 The Project has contributed to an increase in the resilience of the land and (or nearby land) and positively
4191 impacted local populations dependent on that land (through technology transfers or land management
4192 techniques).

4193
4194 **E. Evidence & Reporting**

4195 In order to demonstrate and maintain compliance, Projects shall indicate:

- 4196 — Percentage of The Project area that is located on greenfield/brownfield and grey-field land.

4197 NOTE: This criterion was developed based on the following bibliography:

4198 (UN HABITAT, 2010)

4199 (United Nations Convention to Combat Desertification, 2016)

4200 (Sustainable Development Knowledge Platform, 2016)

4201 (Sustainable SITES Initiative, 2009)

4202
4203 **GUIDANCE**

4204
4205 **F. Optional practices for Improved Performance**

- 4206 — The Project integrates land use planning techniques together with the local authorities to
4207 determine the most efficient and less damaging way to use the land;

- 4208 — The Project creates a soil management plan;

- 4209 — The Project applies the High Conservations Values (HCV) approach.

4210 **G. Useful Resources**

4211 There is no text in this section.

4212 **Criterion E5.3 Soil Restoration (MC)**
4213

4214 **REQUIREMENTS**
4215

4216 **A. Description**

4217 The Project shall promote sustainable use of soil through protection and restoration measures.

4218 The Project shall:

- 4219 — Assess the pre-existing physical, chemical and hydrological functions of the soils that will be
4220 disturbed by The Project;
- 4221 — Minimise the soil disturbance required;
- 4222 — Restore disturbed soils to their original functions;
- 4223 — Enhance, where feasible, the soil quality in The Project's area;
- 4224 — Not leave toxic or hazardous soils after decommissioning of The Project.

4225
4226 **B. Evidence**

4227 The Project shall provide the following evidence:

4228 Documents demonstrating that requirements above have been met or are planned, for example:

- 4229 — Detailed soil restoration plan;
- 4230 — Environmental Impact Assessment (EIA).

4231
4232 **C. Reporting**

4233 No periodic reporting is required for this criterion except when a change occurs which may threaten
4234 compliance as specified above.

4235
4236 NOTE: This criterion was developed based on the following bibliography:

4237 (Equitable Origin, 2012, pp. 52-53 (5.5))

4238 (Hargroves, 2014, pp. 22-23)

4239 (Infrastructure Sustainability Council of Australia, 2016, pp. Lan-3, Man-3)

4240 (Natural Capital Coalition, 2015)

4241 (WRI, UN Global Compact, WBCSD, 2015)

4242
4243 **GUIDANCE**
4244

4245 **D. Optional practices for improved performance**

4246 The Project is encouraged to restore previously disturbed soils to their original functions and quality, for
4247 example, in the case of brownfield developments.

4248
4249 **E. Useful resources**

4250 There is no text in this section.

9 Glossary

Term	Acronym	Definition	Reference
Affected Communities	-	Local communities directly affected by The Project.	(IFC, 2012, p. 1)
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.	(International Labour Organization, 1986)
Assessor Licensing Scheme	ALS	N/A	
Auditor	-	A person who audits infrastructure projects to determine their level of SuRe® compliance, in a manner befitting the training received from GIB.	Inspired by Oxford Dictionary online
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.	(IFC, 2012, pp. Ps 2, p. 3)
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.	(International Finance Corporation , 2012, pp. Ps 6 Par1, p. 1)
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.	(International Finance Corporation , 2012, pp. Ps 6, p. 2)
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.	(International Organization for Standardization, 2016)
Brownfields &	-	Generally speaking, brownfields are sites that have	(World Bank,

Term	Acronym	Definition	Reference
Brownfield Project		been developed in the past that may or may not be contaminated. Accordingly, brownfield projects are developed projects (operating or abandoned).	2010)
Business and Biodiversity Offsets Programme	BBOP	N/A	(Business and Biodiversity Offsets Programme, 2012)
Capital Expenditures	CAPEX	N/A	
Carbon Neutral	-	Condition in which the net GHG emissions associated with an entity, product or activity is zero for a defined duration.	(The Carbon Neutral Protocol, 2011, p. 4)
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.)	(ILO, 1999)
Climate Change Adaptation		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.	(UNFCC, 2017)
Climate Change Mitigation		Human interventions to reduce the emissions of greenhouse gases or enhance their removal from the atmosphere.	(UNFCC, 2009)

Term	Acronym	Definition	Reference
Contractor	-	An organisation or individual that signs a contract with the infrastructure project owner for the provision of a service, e.g. construction.	<i>Inspired by Oxford Dictionaries Online</i>
Convention on the Elimination of All Forms of Discrimination Against Women	CEDAW		(OHCHR, 2017)
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.	(IFC, 2012)
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.	(IFC, 2017)
Critical Infrastructure		<p>The physical structures, facilities, networks and other assets which provide services that are essential to the social and economic functioning of a community or society.</p> <p>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</p>	(Commission of The European Communities, 2004)

Term	Acronym	Definition	Reference
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.	(IUCN, 2012)
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.	(IFC, 2012, p. 1)
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.	(IFC, 2012, p. 19)
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.	(IFC, 2012, p. 21)
Curriculum Vitae	CV	N/A	
Direct Contractor	-	For the purposes of this Standard, the terms 'Direct Contractors', 'Sub-Contractors' and 'Primary Suppliers' refer to entities falling into either or both of the following categories: The top 10 Direct Contractors, Sub-Contractors and Primary Suppliers', ranked based on the annual expenses related to The Project during construction or operation; Direct Contractors, Sub-Contractors and Primary Suppliers that contribute to the core function or purpose of the infrastructure during the construction	GIB 2016

Term	Acronym	Definition	Reference
		<p>and the operation phases.</p> <p>For example, suppliers of cement or water treatment chemicals to a water treatment plant would be included, however, suppliers of minor stationary products would not be included.</p>	
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>	(International Labour Organization, 1960)
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>	(IFC, 2012, p. 17)
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</p>	(IFC, 2012, p. 1)

Term	Acronym	Definition	Reference
		that maintain the other services.	
Effective Access		Electricity connection and used as primary source for lighting Piped water connection in the home or yard and used as primary source Private toilet or one shared with less than 20 people Organized garbage collection and trash is collected at least weekly Street lights exist and they work most of the time Public sewer, or septic tank or soak pit that is emptied when full Access road is surfaced and in good condition (at least) during the dry season.	(World Bank, 2016)
Embodied Energy	-	The embodied energy of a material or product is the sum of energy that was used in the production of the material or product, including raw material extraction, transport manufacture and all the undertaken processes until the material or product is completed and ready. Concerning infrastructure project, the following terms are used Initial Embodied Energy: The energy consumed to create the building, including; extraction, processing and manufacture, transportation and assembly. Recurring embodied energy: The energy consumed in refurbishing and maintaining the building during its life. Operational energy: The energy consumed in heating, cooling, lighting and powering appliances in the building. Demolition energy: The energy consumed in the disposal of the building.	(Institution of Civil Engineers, 2015)
Emergency Management Plan		Tool to help identify risks to The Project, critical areas of and how to best protect them. It also covers continuity and recovery planning to help The Project prepare for and survive any emergency situation.	(Australian Department of Industry, Innovation, and Science, 2017)
Employment and Occupation	-	Employment and occupation include access to vocational training, access to employment and to particular occupations, and terms and conditions of employment.	(International Labour Organization, 1960)

Term	Acronym	Definition	Reference
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.	(European Commission, 2012)
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.	(IUCN, 2012)
Energy Efficiency	-	The ratio of output of performance, service, goods or energy to input of energy.	(European Commission, 2012)
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.	(European Commission, 2012)
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, its workers, local communities directly affected by The Project (the Affected Communities) and, where appropriate, other stakeholders (i.e. those not directly affected by The Project but who have an interest in it). Drawing on the elements of the established business management process of “plan, do, check, and act,” the ESMS entails a methodological approach to managing environmental and social risks and impacts in a structured way on an on-going 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.	(IFC, 2012)
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	(Brisbane Declaration, 2007)

Term	Acronym	Definition	Reference
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	N/A	(EPPO, 2017)
Financial Action Task Force	FATF	N/A	
Financial Feasibility	-	Financial feasibility throughout the life cycle includes external costs and means any mitigation measure that has a Return on Investment	GIB 2016
Food and Agriculture Organization	FAO	N/A	(FAO, 2017)
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 	(International Labour Organization, 1951)

Term	Acronym	Definition	Reference
		<p>threatened calamity, such as fire, flood, famine, earthquake, violent epidemic or epizootic diseases, 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	N/A	(FSC, 2017)
Free, Prior and Informed Consent	FPIC	<p>FPIC is understood as expanding the process of Informed Consultation and Participation (ICP) described in IFC 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>	(IFC, 2012)
Gender		Gender refers to both women and men and the relations between them	(UNDP, 2013, p. 4)
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.	(UNICEF, 2014) (ADB, 2017)
Gender equality		According to UNDP Gender equality has a qualitative and quantitative definition. Quantitative aspect refers to the desire to achieve equal representation of	(UNDP, 2013, p. 4)

Term	Acronym	Definition	Reference
		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.	(UNDP, 2013, p. 5)
Gender responsive infrastructure		This includes promoting “Gender responsive infrastructure” which aims to enhance women’s mobility, economic opportunities and well-being	(Japan International Cooperation Agency, n.d)
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.	(EIGE, 2017)
Global Register of Introduced and Invasive Species	GRIIS	N/A	(GRIIS, 2017)
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.	(IFC, 2012)
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 reused	(EPA, 2016)
Green Infrastructure	-	Green infrastructure is a cost-effective, resilient approach to managing wet weather impacts that provides many community benefits. While single-purpose 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	(EPA, 2017)

Term	Acronym	Definition	Reference
		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	-	Greenfields are sites that have not yet been developed.	(World Bank, 1996)
Greenhouse Gases	GHG	N/A	
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)	(UNFCCC, 2017)
Gross Domestic Product	GDP	N/A	
Gross Fixed Capital Formation	GFCF	N/A	
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.	(IFC, 2012)
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.	(Envision®, 2012)
High Conservation Values	HCV	N/A	
Illuminating Engineering Society	IES	N/A	(IES, 2017)

Term	Acronym	Definition	Reference
Indigenous People	-	A social group with identities that are distinct from mainstream groups in the national societies.	(IFC, 2012)
Industry Norms	-	Current industry regulatory standards for a particular activity.	Inspired by Oxford Dictionaries Online
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 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.	(International Finance Corporation, 2012)
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 wellbeing 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.	(Envision®, 2012)
Integrated Environmental and Social Impact Assessment	IESIA	Assessment that is conducted in order to identify and assess the likely environmental and social impacts of a proposed project, to determine its magnitude and significance, and to determine management or mitigation measures designed to avoid and minimize where possible, or if not, to offset or compensate for adverse impacts and risks.	(African Development Bank Group)
Intergovernmental Panel on Climate Change	IPCC		
International Federation of Consulting Engineers	FIDIC		

Term	Acronym	Definition	Reference
International Financial Corporation	IFC	N/A	(IFC, 2017)
International Labour Organization	ILO	N/A	(ILO, 2017)
International Organization for Standardization	ISO	N/A	(ISO, 2017)
International Union for Conservation of Nature	IUCN	N/A	(IUCN, 2017)
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.	(Convention on Biological Diversity, 2017)
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.	(IFC, 2012)

Term	Acronym	Definition	Reference
IUCN Ia Strict Nature Reserve IUCN Ib Wilderness Area IUCN II National Park IUCN III Natural Monument or Feature IUCN IV Habitat Species/Management Area IUCN V Protected Landscape/Seascape VI Protected area with sustainable use of natural resources		<p>Category Ia are strictly protected areas set aside to protect biodiversity and also possibly geological/geomorphic 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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>Category V: 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.</p> <p>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</p>	(IUCN, 2012)

Term	Acronym	Definition	Reference
		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.	
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.	(IUCN, 2012)
Lesbian, Gay, Bisexual, Trans and Queer	LGBTQ	N/A	
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).	(Equitable Origin, 2012)
Life Cycle Approach		Management tool that assists in decision-making at all levels regarding product development, production, procurement, and final disposal.	(UNEP, 2017)
Lifespan		The length of time for which a person or animal lives or a thing functions	<i>Inspired by Oxford Dictionary</i>
Livelihood	-	The full range of means that individuals, families, and communities utilise to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade, and bartering.	(IFC, 2012)
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.	(Anker, 2011, p. 5)
Management Criterion/a	MC	N/A	

Term	Acronym	Definition	Reference
Materiality	-	Materiality is the principle of defining the social, environmental, economic and governance topics that matter to an organisation and its stakeholders. In the context of infrastructure, materiality is the threshold at which social, environmental, economic and governance opportunities and risks can impact - in the present or the future - the infrastructure itself, stakeholders and society and should therefore be adequately assessed, managed and monitored.	<i>Adapted from GEMI (2015), GRI and RobecoSAM (2015)</i>
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.	(United Nations Minorities Declaration, 1992)
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.	(IFC, 2012)
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.	(IFC, 2012)
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 where the principle of prevention is accorded the highest priority.	(International Labour Organization, 1988)
Natural Capital		Natural capital is another term for the stock of renewable and non-renewable resources (e.g. plants,	GIB 2016

Term	Acronym	Definition	Reference
		animals, air, water, soils, minerals) that combine to yield a flow of benefits to people	
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.	(IFC, 2012)
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.	<i>European Commission (2015)</i>
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.	(IUCN, 2012)
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.	(IUCN, 2015)
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	(IUCN, 2015)

Term	Acronym	Definition	Reference
		<p>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:</p> <p>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.</p>	
Nominal Access		<p>Access of a household to services such as:</p> <p>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</p>	(World Bank, 2016)
Occupational Safety and Health Policy	OSH	N/A	
Organization for Economic Co-operation and Development	OECD	N/A	(OECD, 2017)
Organogram		A graphic representation of the structure of an organization showing the relationships of the positions or jobs within it.	(Oxford Dictionary , 2017)
Performance Certificate		The certificate issued towards the Performance of the Contractor's obligations, stating the date on which the Contractor completed his obligations under the Contract.	Adopted from (FIDIC, 2010)
Performance Criterion/a	PC	-	

Term	Acronym	Definition	Reference
Policy risk	-	Direct or indirect risks posed by changes in government policies, programmes, or plans, which can impact The Project.	Adapted from (EPPA, 2017)
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).	(FATF, 2013)
Pollution	-	Hazardous and non-hazardous chemical pollutants in the solid, liquid, or gaseous phases, including other components such as pests, pathogens, thermal discharge to water, GHG emissions, nuisance odours, noise, vibration, radiation, electromagnetic energy, and the creation of potential visual impacts including light.	(IFC, 2012)
Primary Supplier	-	Primary suppliers are those suppliers who, on an on-going basis, provide the majority of living natural resources, goods, and materials essential for the core business processes of The Project.	(IFC, 2012)
Project	-	A defined set of activities, including those where specific physical elements, aspects, and facilities likely to generate risks and impacts, have yet to be identified. Where applicable, this could include aspects from the early developmental stages through the entire life cycle (design, construction, commissioning, operation, decommissioning, closure or, where applicable, post-closure) of a physical asset. In this context, a project is understood to be an infrastructure project.	(IFC, 2012)
Project Owner	-	The term 'Project Owner' is used throughout the Performance Standards broadly to refer to the party responsible for implementing and operating The Project that is being financed, or the recipient of the financing, depending on The Project structure and type of financing.	(IFC, 2012)
Project Team		A group of individuals assembled to perform activities that contribute toward achieving a common task related goal, composed of members based on their skills related to The Project. In the context of a infrastructure project, the composition of The Project	GIB 2016

Term	Acronym	Definition	Reference
		Team can change at different phases and vary with ownership.	
Public Procurement	-	The action of a public authority, such as a government agency, to procure goods or services.	Inspired by Oxford Dictionaries Online
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.	(Envision®, 2012)
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.	(International Labour Organization, 1951)
Renewable Energy	RNE	N/A	(Envision®, 2012)
Renewable Energy	-	Energy from renewable non-fossil sources, namely wind, solar, aerothermal, geothermal, hydrothermal and ocean energy, hydropower, biomass, landfill gas, sewage treatment plant gas and biogases.	(European Parliament and European Council, 2009)
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.	(ARUP, 2014)
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.	(IFC, 2012)
Salvage	-	For re-use in other sites	GIB 2016

Term	Acronym	Definition	Reference
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. 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.	(IFC, 2012)
Stormwater	-	Water that originates during precipitation events. Stormwater that does not soak into the ground becomes surface runoff.	(Envision®, 2012)
Subcontractor	-	An individual or business that performs part or all of a contractor's obligations.	Inspired by Oxford Dictionary online
Supplier	-	An individual or business that provides goods or materials used by the infrastructure project.	Inspired by Oxford Dictionary online
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.	(Envision®, 2012)
Sustainable Development Goals	SDG	N/A	
Transport Node		Interaction of several components that serve travel, neighbourhood, cargo and traveller movement and an arrangement of transport procedures.	(MBA Skool, 2017)
UN	United	N/A	(UN, 2017)

Term	Acronym	Definition	Reference
Unit of Certification	-	The Unit of Certification (UoC) of a infrastructure Project is what is assessed by the Certification Body (CB) and its expert team during a project assessment.	Adopted from (FSC, 2017)
United Nations Environment Programme	UNEP	N/A	(UNEP, 2017)
United Nations Office of the Coordination of Humanitarian Affairs	OCHA	N/A	(UNOCHA, 2017)
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 contents of a display case. 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. 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 	The Center for Universal Design.

Term	Acronym	Definition	Reference
		<p>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>	
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)	(IFC, 2012, p. 21)
Water Sanitation and Hygiene	WASH	N/A	
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.	(Envision®, 2012)
World Bank Group	WBG	N/A	(WorldBank, 2017)
World Health Organization	WHO	N/A	(WHO, 2017)

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