

SuRe® – the Standard for Sustainable and Resilient Infrastructure

SuRe® Assurance Public System Report

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

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1 Introduction to this document

The present document describes the assurance system of SuRe® summarising the actors involved in the certification process, how stakeholders can engage in the assurance process, how personnel competence is evaluated, how audit teams should be formed, a description of the assessment process including types of audits, their frequency and intensity and the steps for Projects to be certified.

Global Infrastructure Basel Foundation (GIB) shall ensure that the information contained in this document is made public and available to all stakeholders by making this document available and all subsequent versions available in the SuRe® online Document Library in the following link: <http://www.gib-foundation.org/sure-documents-library/>.

2 Assurance System Structure

2.1.1 Standards being assessed under the assurance system:

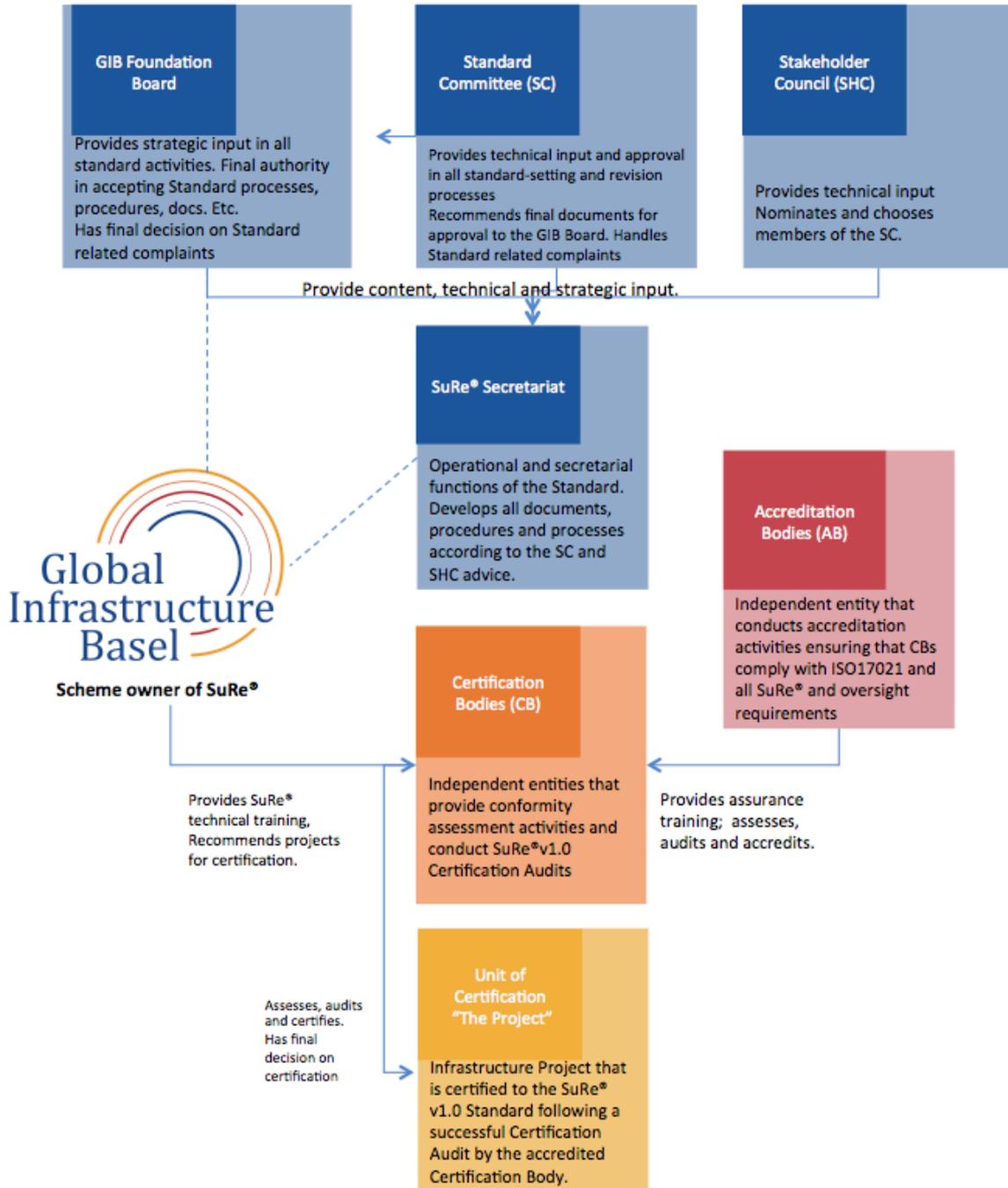
- SuRe® - The Standard for Sustainable and Resilient Infrastructure

2.1.2 Description of the overall structure of the assurance programme, including the chain of authority and decision-making leading up to the governing body of the standards system (6.1.1 baseline)

Global Infrastructure Basel Foundation (GIB) is the scheme owner of the SuRe® Standard, the SuRe® Secretariat is the operational arm of SuRe® which provides secretarial and operational functions in terms of developing content, documents and procedures for the Standard. An appointed independent accreditation body has the authority for approving certification bodies that will provide assurance services in line with SuRe® certification and accreditation requirements. The independent Certification Bodies (CBs) conduct audits and take the final decision on certifying infrastructure projects, based on their audits and GIB's recommendation. Final authority for the development of the assurance system rests with GIB.

Projects can request information at any time by contacting the SuRe® Secretariat at any time at standard@gib-foundation.org

SuRe® Standard – Assurance System Structure



2.1.3 Required compliance with Standards:

The SuRe® Certification and Accreditation Requirements (document RQ01) have been based on ISO 17021, with its headings mirroring those of ISO 17021. Where additional requirements to ISO 17021 apply or where individual ISO requirements have been changed, these are described under the respective headings. When conflict between SuRe® and ISO requirements is found, SuRe® requirements shall prevail.

All SuRe® CB's shall be accredited to ISO 17021-1 (2015) and shall comply with additional accreditation requirements set by the appointed accreditation body. Additionally, ISO 19011:2011 compliance is normative for all certification bodies.

2.1.4 List of assurance providers (e.g. certification or verification bodies) that are approved to work in the assurance system

SuRe® will start training and accreditation of certification bodies in 2018. Currently there are no approved certification bodies to work on the Standard though GIB is already in conversations with various interested parties. A list of accredited certification bodies approved to work in the assurance system shall be continuously updated and available on the SuRe® website in the following link: <http://www.gib-foundation.org/certification-bodies/>

2.1.5 Description of how and when stakeholders engage in the assurance process, including complaints process:

Engagement of stakeholders in the assurance process:

- In terms of stakeholder engagement during the assessment process, Projects that wish to undergo full SuRe® certification shall register into GIB's online registry where the status of their application and certification (including if their certification has been rescinded or withdrawn from use) shall be made public in the section "List of Certified Projects" in the following link: http://www.gib-foundation.org/certified_projects/. The CBs shall also make this information public through their website and where stakeholders do not have access to the Internet, by handing out printed information in the Project area.
 - As part of the certification process, the CB shall conduct a first public engagement of stakeholders after revising the Materiality Assessment from the Project during initial certification and recertification. This process shall include:
 - Publishing the final Materiality Assessment of the Project on the CB's and SuRe®'s website;
 - Announcing the public consultation of the Materiality Assessment is open for 30 calendar days in which stakeholders can comment and raise any issues regarding the Project and the criteria to be analysed;
 - Treat the comments received to adapt (if necessary) the Materiality Assessment in a period of no more than 10 calendar days after the public consultation has been closed;
 - Adapt (if necessary) the audit plan and timeline.
 - In addition, as part of the pre-audit process, auditors are required to gather information about local stakeholders and contact a representative and diverse sample of stakeholders to interview during the audit.

- CBs must have procedures to ensure confidentiality and to protect the identity of vulnerable stakeholders and stakeholders that request anonymity.

Complaints Process:

- CB's complaints handling procedure regarding assurance and assurance providers shall, in addition to ISO 17021 requirements, be handled so that the CB shall acknowledge receipt of a complaint within 5 to 10 calendar days. Additionally, CBs shall give formal notice of the end of the complaints-handling process to the complainant and shall inform them of the results within 30 calendar days of the decision being taken. The CB shall report all received and resolved complaints, including the result, to the SuRe® Secretariat within 7 calendar days upon receipt and upon closing the complaints-handling process.
- All complaints submitted to GIB shall follow GIB's "Complaints Procedure" available online in the SuRe® Document Library (<http://www.gib-foundation.org/sure-documents-library/>).
- GIB shall transfer all assurance related complaints submitted through the Complaints form available on the SuRe® website (<http://www.gib-foundation.org/sure-standard/>) to the appropriate accreditation or certification body upon receipt of the complaint.

2.1.6 How does the scheme owner drive improvements in the assurance system (e.g. risk management plan, internal reviews, etc.)

The Assurance System of SuRe® is evolving in a continuous learning process from the application of policies and procedures related to the certification process. The SuRe® Secretariat on behalf of GIB as the scheme owner, shall review assurance system documents every 5 years or earlier if any substantial changes are made in the assurance system. SuRe® has a risk management process defined in its Assurance Management System (AMS) document: "MA01 - Risk Management Plan".

In summary, the SuRe® Secretariat shall create a risk matrix to analyse and rank the risks in terms of their probability of occurrence multiplied by their classification of consequence. This shall then result in the final classification of the risk ranking from "Low" to "Extremely High". The SuRe® shall assess the highest ranked risks and formulate a mitigation strategy or modify the risk to an acceptable level. GIB shall monitor these risks to ensure that the mitigation strategies have worked or to re-evaluate and propose new strategies. The risk mitigation plan will also serve the purpose of highlighting key areas for improvement for the Standard in order to determine strategies to manage and improve the scheme, include the assurance management system.

3 Personnel Competence

3.1.1 How auditors are qualified and what training or experience they are required to have

The requirements for auditors listed in the SuRe® Certification and Accreditation Requirements shall be applied by CBs in conjunction with Annex A of ISO 17021 as they specify some of the required knowledge and skills and adds to them where necessary.

Knowledge Skills shall include:

- A clear and complete understanding of the requirements and processes for SuRe® certification; Successful completion of SuRe®-related training as specified by SuRe®; Scientific background with at least 5 years of experience in civil engineering, environmental sciences, project management, public management or similar;

- Knowledge of national and local law that applies to the project and the client seeking certification particularly regarding infrastructure (management of infrastructure projects, analysis of infrastructure projects or similar) such as Environmental law; Labour law; Construction law; Human rights law; Labour law; Workplace & safety law; Public health & safety law; Laws governing ownership and use of land; Indigenous people's rights, etc.
- In addition knowledge of the local language and experience with the culture where the infrastructure project is situated; Environmental and social management systems; Geographic Information Systems (GIS); Monitoring measurements and techniques; Environmental and social issues in the area of the operation; Multi-stakeholder processes and community management; Sector specific terminology.
- Auditing experience shall be demonstrated by a successful completion of a 4 to 5 day auditor training course on either ISO management standard ISO 19011; Records of continued professional development as relevant for the types of conducted audits, e.g. through advanced courses at least every 2 years. Additionally, participation in 5 on-site audits of infrastructure projects or operations in similar sectors and/or geographical regions.

Note: For a detailed overview please refer to Annex A of the AMS Document "RQ01 – Certification and Accreditation Requirements", available on the SuRe® website in the SuRe® Documents library (<http://www.gib-foundation.org/sure-documents-library/>)

3.1.2 Auditor evaluation process over time and repercussions for poor performance

The CB shall, at a minimum, apply the following methods to evaluate competence of personnel:

- Review of records: All of the listed methods for all personnel involved in managing and conducting SuRe® audit and certification activities.
- Feedback: At least one of the described methods for all personnel.
- Interviews: Employment interview for all personnel, plus one of the other described methods for auditors.
- Observations: For auditors before they begin to carry out SuRe® audit and certification activities.
- Examinations: Two of the described methods for auditors.
- A combination of on-site observation, review of audit reports and substantiated feedback from Projects. the CB evaluating the performance of each auditor on-site during their first stage 2 SuRe® audit.

The CB shall evaluate auditor performance on-site periodically, at least every two years. The frequency of on-site evaluations shall be based on need determined from all monitoring information available and shall be increased (occurring more often than every two years) if necessary.

If auditors do not successfully complete the SuRe® training and/or present poor performance, they shall not be accredited to conduct any audits or any other conformity assessment activities until they successfully complete the SuRe® training programme and are approved for conducting assurance activities under SuRe® by the CB.

3.1.3 Additional ways in which auditor competence is ensured and strengthened

Refresher Trainings provided on both the SuRe® Standard system and the Certification and Accreditation Requirements shall be conducted every 5 years and whenever the SuRe® Standard or the Certification and

Accreditation Requirements undergo significant revisions and modifications. The CB shall pay the fee for the induction training and for any refresher trainings to the SuRe® Secretariat/to the appointed accreditation body for all auditors and technical experts that participate in training sessions on their behalf.

4 Assessment

4.1.1 Description of assessment process, including: Types of audits (on-site, desk audits, etc.) and independence level or combination (1st, 2nd, 3rd party)

- Infrastructure Projects wishing to undergo SuRe® certification shall be subject to independent 3rd party audits provided by an independent Certification Body (CB) which has been accredited to conduct conformity assessment activities for the SuRe® Standard.
- Types of audits: for initial certification, the CB shall conduct Stage 1 and Stage 2 audits. Stage 1 audits shall be desk review audits of the Project's documentation, Stage 2 audits shall be on-site audits;
- Independence level: SuRe® relies on independent third party certification of Infrastructure projects throughout their life cycles by certification bodies accredited to the SuRe® certification scheme.

For a step to step summary of how the assessment process for an infrastructure Project shall be carried out please look at Annex1 of this document "Roadmap to Certification" and the GIB's brochure "How to certify a Project" available on the SuRe® online Document Library.

Frequency and intensity of audits including how risk is integrated if relevant

- The CB shall conduct one surveillance audit every year after the initial certification or re-certification, with a re-certification audit conducted in the fifth year if the Project wishes to get re-certified. Surveillance audits shall be carried out as desk-review audits. In cases where the Project comprises several staged components to be commissioned more than one year apart, several site visits may be required to ensure that each component is visited.
- The CB has the right to conduct unannounced audits of the certificate holder to ensure continuous conformity with the SuRe® Standard.

4.1.2 Structure of audit teams (if audit team is used);

- An audit may be carried out by one lead auditor or by a team of auditors as long as the required qualifications and competencies are present for the audit (as per competencies outlined in RQ01 SuRe® Certification and Accreditation Requirements). An audit team can consist of one or more auditors conducting the audit, supported if needed by technical experts and/or translators.
- The audit team must have a lead auditor which is the auditor given the main responsibility for a specified audit. In order to ensure impartiality, no auditor shall conduct more than three consecutive audits of one and the same client

4.1.3 Whether and how knowledge sharing is allowed within the audit process

The CB may explain its findings and/or clarify the requirements of normative documents, but shall not offer advice or consultancy to certification clients on how to come into compliance with the SuRe® Standard.

The CB can however offer training and templates under the following conditions:

- a) Training:

- 1) Related to SuRe® requirements: shall only cover generic information that is freely available in the public domain;
- 2) Shall not provide Project-specific solutions nor be conducted one-on-one with the certification client.

b) Templates:

- 1) Shall be publicly available;
- 2) Shall not provide Project-specific solutions;
- 3) Shall include a disclaimer, specifying that the template is no guarantee for conformity with SuRe® requirements. It is the responsibility of the client to conform with SuRe® requirements;
- 4) Shall be voluntary to use;
- 5) May include sample procedures, which can be created for specific types of Projects, as long as they only contain generic information and fictional examples;
- 6) Shall not include Project-specific procedures, manuals and handbooks developed by the CB.

Advice of any other nature provided to clients shall be recorded in the audit reports.

4.1.4 Decision-making mechanism and how levels of non-conformity are determined

Non-conformities shall be deemed as such when projects do not comply with any safeguarding red criteria of SuRe®; or any other material criteria that are required for the level of certification (Bronze, Silver, Gold) sought by the Project as determined by the Materiality Assessment and Scoring Provisions (refer to document ST01 – Normative Standard). Non-conformities are graded as either minor or major. They are graded as minor if they are temporary, unusual or non-systematic lapse; the impacts of the non-conformity are considered small relative to the temporal or spatial scale of the Project; or do not result in a serious failure to achieve the objective of the relevant SuRe® requirement. Non-conformities are graded as major if they cannot be graded as minor.

The Certification Body (CB) shall only issue a certificate after a positive certification decision has been taken by the CB's certification decision-making entity and after receiving a recommendation from the SuRe® Secretariat to issue a certification.

4.1.5 Remediation and sanctions for different gradations of non-conformity

Clients are required to propose corrective actions to CBs to deal with all identified nonconformities. The timelines for implementing corrective actions to resolve nonconformities shall commence from the moment the corrective action is agreed between the CB and the client, and shall be as follows:

- Corrective action for minor nonconformities shall be implemented within the maximum period of one year;
- Corrective action for major nonconformities shall be implemented within the maximum period of three months;

Within three months of implementing corrective action, the client shall provide satisfactory evidence to the CB that the non-conformity has been resolved. The CB shall determine whether corrective action has been appropriately implemented within the timeframes. If the action taken is not considered adequate, then:

- A minor nonconformity shall become a major nonconformity and shall be corrected within a maximum period of three months (or in exceptional and justified circumstances, six months);
- A major nonconformity shall lead to immediate suspension of certification.

Major nonconformities shall not be downgraded to minor nonconformities.

The CB shall inform the client if an additional on-site audit is required to verify that nonconformities have been corrected.

The CB may withdraw a certification if contractual or administrative reasons apply and/or if the Project has not made adequate progress in addressing nonconformities. The maximum period that a certification may remain suspended is twelve months. After this period, the certification shall be withdrawn, unless all major nonconformities have been successfully corrected.

4.1.6 Overview of group certification model, where applicable

Not applicable to SuRe®

5 Oversight

5.1.1 General description of the oversight model, including whether using ISO 17011 model, and frequency and intensity of oversight

- GIB works with an independent accreditation body and third-party certification bodies, which shall be accredited by the appointed accreditation body. As for 2018, GIB has appointed ASI (accreditation Services International GmbH) to act as its exclusive accreditation body to administer the assurance component of the system. ASI's accreditation services must comply with ISO 17011.
- The frequency and intensity of oversight is determined by the appointed Accreditation Body of SuRe®.

5.1.2 List of the accreditation or oversight bodies operating in the standards system

Accreditation Services International GmbH (ASI) – *as of first quarter of 2018*

5.1.3 Whether proxy accreditation is used, and the additional measures taken to assess competence in those cases

Not applicable to SuRe®

6 On-going Scrutiny

6.1.1 Description of market surveillance and repercussions of fraud

Clients with certified sites must adhere to SuRe® logo use licensing requirements when referring to the certification. These provisions are also contained in the certification agreement between GIB as the Standard Owner and the client. SuRe® Certification and Accreditation Requirements explains that GIB will suspend certification where the client breaches the trademark use and licensing agreement. For more information on please refer to document PR03 - Complaints Procedure and GD07 - Guide to Claims (in continuous development) available in the online SuRe® Document Library.

7 Exceptions Policy

7.1.1 The CB shall seek approval of the SuRe® Secretariat of any exceptions to the normative requirements of SuRe® that it considers applicable prior to submitting the preliminary assessment report. The CB may only apply the exception after receiving approval from the SuRe® Secretariat.

Such exception may include but are not limited to:

- Extensions in timelines (for example, in providing preliminary and final assessment reports, for conducting the audits, etc.).

7.1.2 The CB shall take note of all approved exceptions, valid at the time of the assessment, and as informed by the SuRe® Secretariat and published on the SuRe® website.

NOTE: These exceptions shall only be valid until the next standard review has been completed, when they will be integrated into the SuRe® standard system or removed from use.

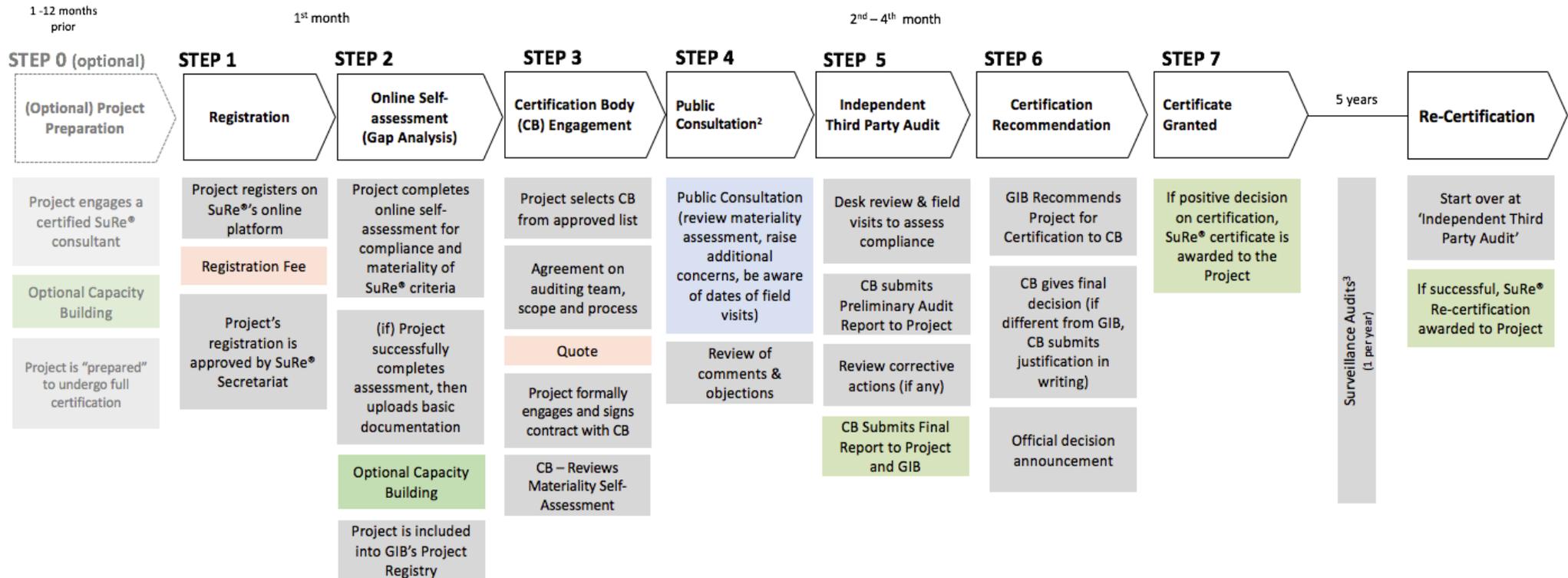
At the time of writing of this report there were no list of approved exception, these shall be developed starting certification activities in 2018.



Annex 1

Roadmap to SuRe® Certification

Timeline¹



NOTE 1: Times given are only indicative and depend heavily on the individual characteristics of the Project

NOTE 2: Public consultation period shall be at a minimum 30 days.

NOTE 3: Surveillance audits may be desktop reviews based on the annual report submitted by the Project.