

SuRe® – The Standard for Sustainable and Resilient Infrastructure

Monitoring and Evaluation Public Summary

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1 Executive Summary

This document summarises the Monitoring and Evaluation M&E system used through the implementation of the SuRe® - The Standard for Sustainable and Resilient Infrastructure. The SuRe® Standard was originally launched in draft format in 2015. Between 2015, SuRe® was further piloted and developed into the first version to which projects could be certified, SuRe® v1.0, in 2017. SuRe® has been developed to service a Theory of Change which aims through the activities of: capacity building, certification, project registration, and impact measuring/monitoring; to support public entities, project developers and financiers of infrastructure developments to select more sustainable and resilient projects for development, to recognise the improved financial performance of more sustainable and resilient projects, and to see a greater volume of more sustainable and resilient projects designed and financed. The ultimate impact of this work is to see more improved projects built, operating and providing benefit to society and the environment.

This document describes the activities that will be completed to monitor and evaluate the achievement of these goals by the SuRe® Standard system. This includes an identification of the indicators that will be measured and evaluated, sources of data, key partners and their roles in identifying impacts, as well as how the learnings from this monitoring and evaluation should feed back into the ongoing development of the SuRe® Standard system.

Contents

1	Executive Summary	iii
2	Scope	1
3	Roles and Responsibilities	1
4	Defining the Intended Change	1
4.1	Unintended Changes	2
5	Performance Monitoring	2
6	Data Management.....	2
7	Outcome and impact evaluation.....	3
8	Improving the Effectiveness of the M&E system	3
	ANNEX A – Theory of Change Schematic Diagrams	4
	ANNEX B – M&E Indicators: Activities, Outputs, Outcomes	6
	ANNEX C – M&E Indicators: Impacts	7

2 Scope

The scope and boundaries of SuRe®'s M&E Plan have been defined based on SuRe®'s Theory of Change, which contains a list of activities, outputs, outcomes and impacts. The scope of SuRe®'s current M&E system covers the following activities:

- Capacity Building
- Certification
- Project Registry
- Impact Measuring/Monitoring

The M&E will also cover a limited scope of the activities of our partners in the public sector, project development sector and financial sector. This is limited by the willingness of these parties to provide data access, which is acknowledged as currently out of our direct influence. The M&E Plan will not cover direct verification of reported data from certification bodies or other third parties.

3 Roles and Responsibilities

GIB's Standards Coordinator, Lorena Zemp, has ultimate responsibility for updating and implementing the M&E Plan. Project staff, who manage the activity components listed above are responsible for M&E actions related to these activities. Staff information, contact details and competence is available on the SuRe® webpage. Responsibilities related to data collection and data management are provided in Annex B. GIB's Standard's Coordinator's roles and responsibilities related to M&E are summarized as follows:

- Develop and implement the M&E Plan, in collaboration with other project staff and external stakeholders;
- Ensure that the M&E Plan and its results are presented to the governing bodies of the SuRe® standard at the appropriate time;
- Ensure appropriate stakeholder selection and engagement in the implementation of the M&E Plan;
- Collect, review and analyze data required for the implementation of the M&E Plan;
- Report on the results of the M&E Plan internally and externally.

4 Defining the Intended Change

The intended medium term outcomes, and long-term impacts are defined in SuRe®'s Theory of Change (Annex A). These include the following:

Medium-Term Outcomes:

- a) Improved selection of more Sustainable and Resilient (S&R) projects and public money spent better;
- b) More improved projects designed & financed;
- c) S&R infrastructure recognised for improved financial performance.

Long-Term Impacts:

- a) More improved projects built, operating and providing benefit to society and the environment, where benefit is categorised by the following broad topics:
 - E1. Climate (improved resilience, reduced emissions)
 - E1. Biodiversity and ecosystems
 - E3. Resource management
 - E4. Pollution
 - E5. Land-use and landscape

- S1. Human rights
- S2. Labour rights and working conditions
- S3. Community protection
- S4. Customer focus and community involvement
- S5. Socioeconomic development
- G1. Management and oversight
- G2. Sustainability and resilience management
- G3. Stakeholder engagement
- G4. Anti-corruption and transparency

For more detailed information on SuRe®'s Theory of Change, please refer to www.gib-foundation.org/monitoring-evaluation/.

4.1 Unintended Changes

The SuRe® M&E Plan also endeavours to capture unintended or unanticipated change, both positive and negative. Negative unintended changes are captured within the SuRe® Risk Management Plan, document number MA01. Positive unintended changes will be documented through a 'Most Significant Change' approach, in which GIB gathers stories of change from infrastructure projects and stakeholders to capture foreseen or unforeseen, unintended changes.

5 Performance Monitoring

SuRe®'s M&E plan will be implemented through a staged process, in which resources commensurate with the uptake of the standard will be invested for M&E. During initial ramp-up period of the standard, focus will be given to learning and improvement of the standard system and M&E plan, with more direct engagement with Projects. As the number of certified projects increases, more focus will be given to overarching data analysis and trend identification among registered and certified projects.

The following activities will be undertaken:

- Data gathering and trend monitoring of performance criteria indicators, corrective actions, and indicators provided in Annex B;
- On-going evaluation of effectiveness of capacity building and actions implemented as a result of capacity building;
- Monitoring of complaints and feedback from CBs and projects;
- Collection of 'Stories of Most Significant Change'.

The indicators that will be used to monitor performance are provided in Annex B, under the categories of 'Activities' and 'Outputs'.

6 Data Management

Data will be gathered from the sources specified in Annex B, and stored in GIB's online project register, as well as in data logs held by the SuRe® Secretariat and reports such as assessment reports and surveillance reports. In order to protect confidentiality of data of third parties, the SuRe® Secretariat will apply the procedures contained in the SuRe® Certification and Accreditation Requirements, section 8.4. The SuRe® Secretariat also contractually requires that certified projects and certification bodies grant access to the SuRe® Secretariat of data required to implement this M&E Plan. Some information deemed sensitive is not

required from the project, and all publically disclosed data will be anonymised unless specific permission has been given for its public use.

7 Outcome and impact evaluation

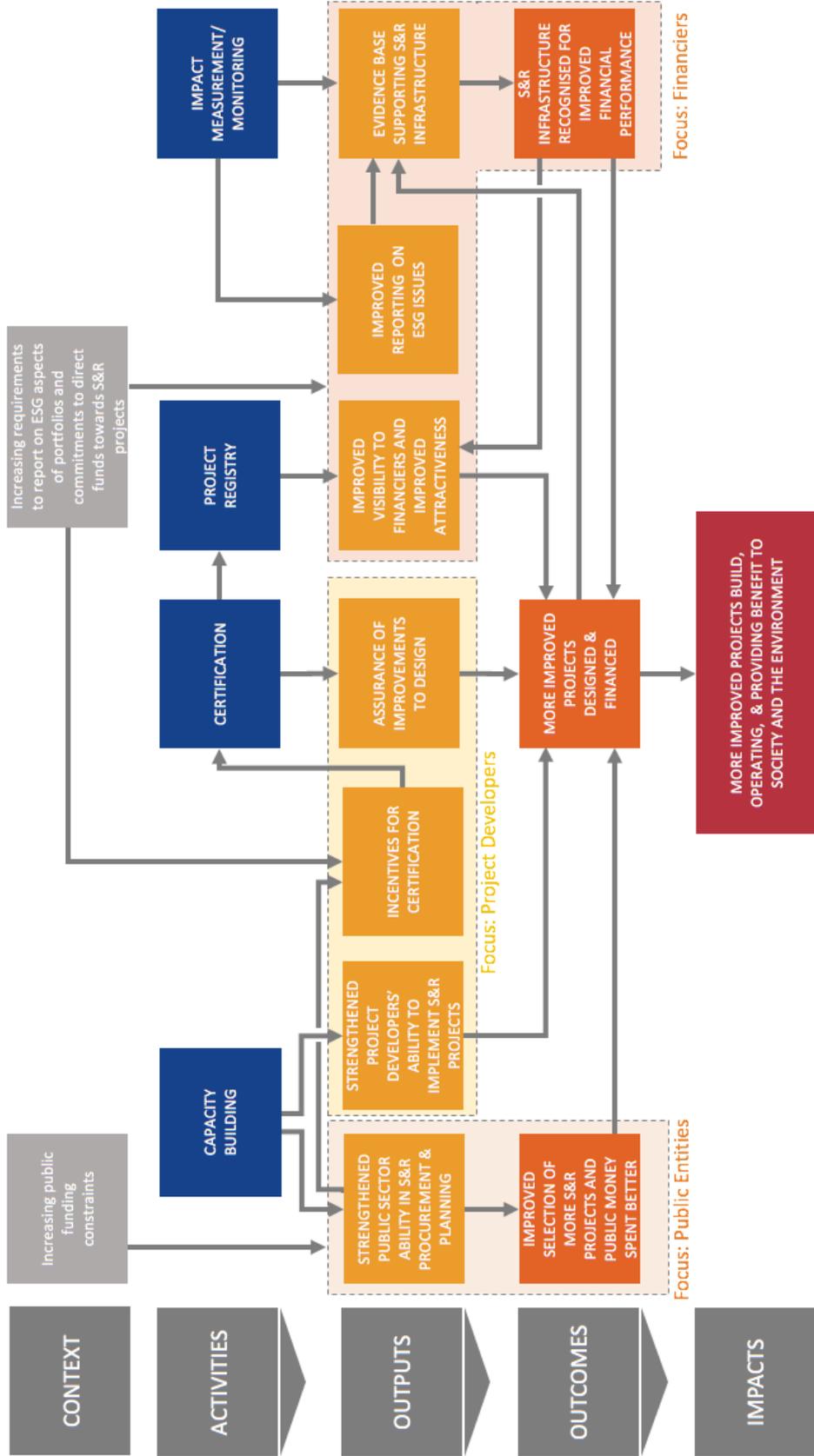
The SuRe[®] Secretariat will conduct outcome and impact evaluation using the indicators specified in Annex B and C under the categories of 'Outcomes' and 'Impacts'. In addition to this, the SuRe[®] Secretariat will collect Stories of Most Significant Change to assist with evaluation of impacts for which quantitative data analysis is not practical or not efficient. Outcome and Impact Evaluation Reports will be published online at least every 5 years, starting 2 years after the first SuRe[®] certificate is granted.

8 Improving the Effectiveness of the M&E system

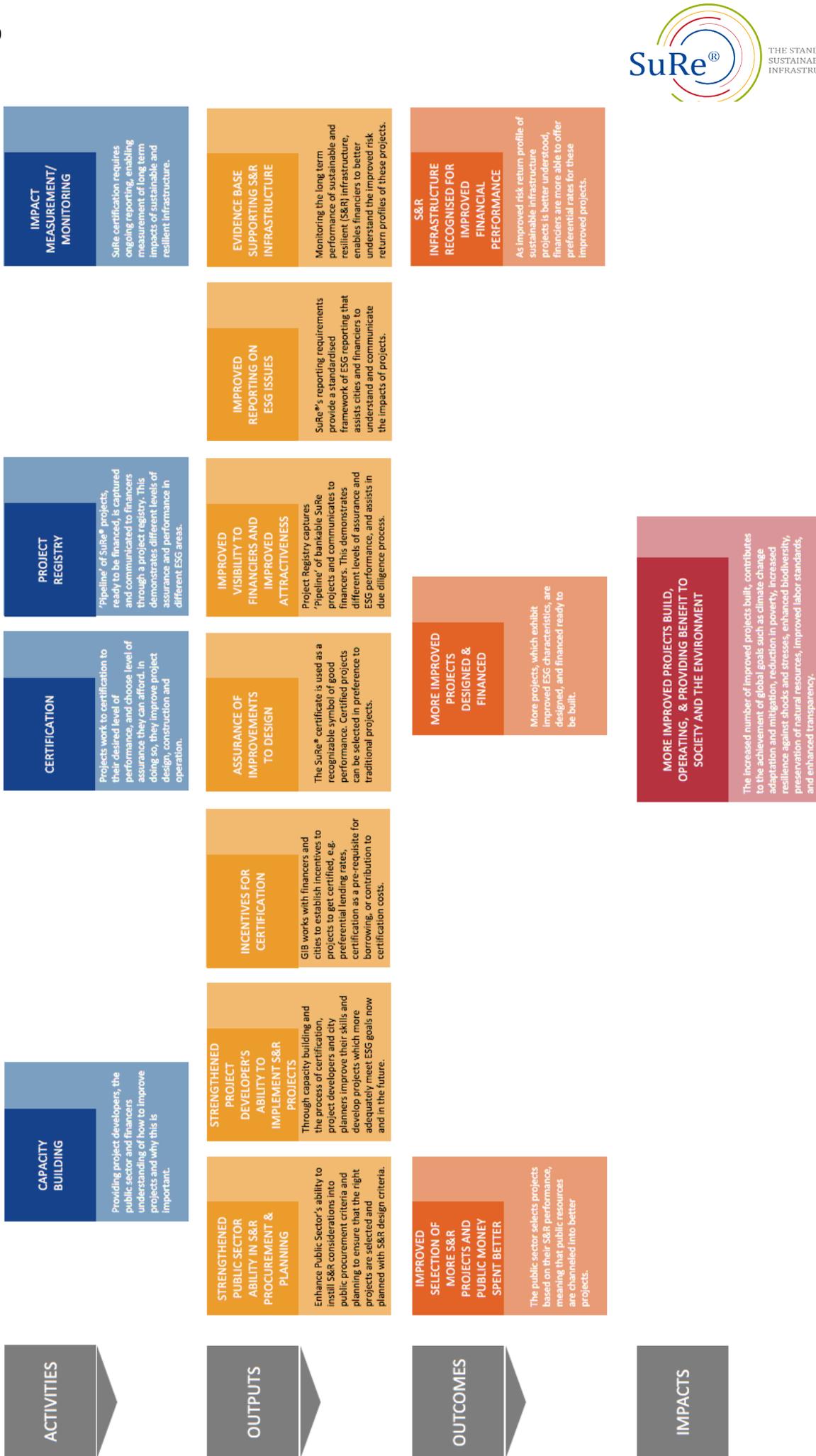
The M&E Plan will be revised and improved after each Outcome and Evaluation Report is published. This on-going review process will be used to improve the efficiency and effectiveness of the M&E approach and to ensure that intended and unintended effects are identified with resource inputs commensurate with the current size of the SuRe[®] scheme.

ANNEX A – Theory of Change Schematic Diagrams

SuRe® Standard – Simplified Theory of Change



SuRe® Standard – Expanded Theory of Change



ANNEX B – M&E Indicators: Activities, Outputs, Outcomes

Monitoring and Evaluation Indicators for Activities, Outputs, Outcomes, Impacts

Indicator Ref.	Indicator	Scope	Unit	Data point	Source	Baseline source (if different)	Baseline Year	Collection frequency	Responsible party (data collection and storage)	Data storage	Desired analysis	Quantitative /Qualitative	
ACTIVITIES													
Capacity Building	101	Training completion rate - public sector	Global	No. People completed training	No. People	Capacity Building Database	N/A	2017	yearly	GIB Director Capacity Building	Capacity Building Database	Change over time	Quantitative
	102	Training completion rate - project developer	Global	No. People completed training	No. People	Capacity Building Database	N/A	2017	yearly	GIB Director Capacity Building	Capacity Building Database	Change over time	Quantitative
	103	level of satisfaction (participant rated)	Global	High/med/low	Average level of satisfaction	Capacity Building Database	N/A	2017	yearly	GIB Director Capacity Building	Capacity Building Database	Change over time, identify kinds of participants most/least satisfied any why	Qualitative
Certification	104	number of projects achieving bronze certification	Certified Projects	No. Projects	No. Bronze Projects	SuRe® Certification Database	N/A	2017	yearly	GIB Standards Coordinator	SuRe® Certification Database	Change over time, identify kinds of projects achieving this level and why	Quantitative
	105	number of projects achieving gold	Certified Projects	No. Projects	No. Gold Projects	SuRe® Certification Database	N/A	2017	yearly	GIB Standards Coordinator	SuRe® Certification Database	Change over time, identify kinds of projects achieving this level and why	Quantitative
	106	number of projects achieving silver	Certified Projects	No. Projects	No. Silver Projects	SuRe® Certification Database	N/A	2017	yearly	GIB Standards Coordinator	SuRe® Certification Database	Change over time, identify kinds of projects achieving this level and why	Quantitative
	107	Corrective actions raised	Certified Unit, all	No. Corrective Actions raised	No. Corrective Actions raised	Corrective Actions Log	SuRe® Audit Assessment Report	2017	yearly	GIB Standards Coordinator	SuRe® Certification Database	Change over time	Quantitative
	108	number of approved auditors	Global	No. Auditors	No. Auditors	List of SuRe® approved auditors	N/A	2017	yearly	GIB Standards Coordinator	Assurance Providers Database	Change over time/Cumulative	Quantitative
Project Registry	109	No. Registered projects	Registered Projects	No. Projects	No. Projects	Project Registration Log	Zero in 2017	2017	yearly	GIB Standards Coordinator	SuRe® Certification Database	Change over time	Quantitative
Impact Measuring	110	No. Performance reviews completed	Global	No. Performance Reviews	No. Performance Reviews	Performance Review Log	Zero in 2017	2017	yearly	GIB Standards Coordinator	Impact Measurement Database	Change over time	Quantitative
OUTPUTS													
STRENGTHENED PUBLIC SECTOR ABILITY IN S&R PROCUREMENT & PLANNING	201	as for indicator 101	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		No. Public authorities who have integrated S&R into processes as a result of SuRe	Global	No. Public Authorities	No. Public Policies/Commitment statements/other communication	Internal operations data	N/A	2017	every two years	GIB Standards Coordinator	Internal operations database	Change over time	Quantitative
STRENGTHENED PROJECT DEVELOPERS' ABILITY TO IMPLEMENT S&R PROJECTS	202	as for 102	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
INCENTIVES FOR CERTIFICATION	203	as for 109	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
ASSURANCE OF IMPROVEMENTS TO DESIGN	204	as for 104,105 and 106	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
IMPROVED VISIBILITY TO FINANCIERS AND IMPROVED ATTRACTIVENESS	205	No. Projects presented to financiers	Global	No. Presentations	No. Presentations to financiers	Internal operations data, website data, workshop participant feedback.	Zero in 2017	2017	yearly	GIB Standards Coordinator	Internal operations database	Change over time	Quantitative
IMPROVED REPORTING ON ESG ISSUES	206	as for 104,105 and 106	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	207	Achieved IRR of certified projects.	Global	%	Percentual IRR per project	Surveillance Audit Report	Sector-specific trends of 'traditional' project (without additional S&R elements)	2017	every three years	GIB Standards Coordinator	Internal operations database	Comparison of certified project against traditional project	Quantitative
	208	Project pre-operational failure rate: no. Projects not making it to operational phase	Global + Regional	%	Suspended/N or approved Applications	Surveillance Audit Report	Sector-specific trends of 'traditional' project (without additional S&R elements)	2017	every three years	GIB Standards Coordinator	Internal operations database	Comparison of certified project against traditional project	Quantitative

ANNEX C – M&E Indicators: Impacts

Impact Measurement

Introduction

The SuRe® Standard aims to create the following long-term impact: "more improved projects built, operating and providing benefit to society and the environment". Through time, SuRe will this impact by collecting information on the number of projects improved, built and operating with assistance from the SuRe® system, and by measuring the benefits to society and environment provided by these projects. Due to the diverse nature of the projects assessed under SuRe®, the nature of these benefits will vary significantly from project to project. In the table below, a list of impact indicators is provided. Each certified Project is required to report on a yearly basis against the indicators which are most material in the context of each project. Due to the varied nature of impacts anticipated, a combined quantitative/qualitative analysis will be made to measure impacts, including where possible quantitative trends of indicators where sufficient data is available. Qualitative analysis based on a Most Significant Change (MSC) approach.

Social and Environmental Impact Indicators

Society

Relevant Criterion	Ref.	Impact Indicator
Criterion S4.2 Provision of Basic Infrastructure Services (PC)	S421	No. of people with new access to a Basic Service as a direct result of The Project, who previously had no access to this service;
	S422	No. of people with improved access to a Basic Service as a direct result of The Project, who previously had unsatisfactory access to this service;
	S423	No. of people with new access to a Basic Service as an indirect result of The Project, who previously had no access to this service;
	S424	No. of people with improved access to a Basic Service as an indirect result of The Project, who previously had unsatisfactory access to this service.
Criterion S4.4 Delivery of Public Health and Safety Benefits (PC)	S441	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:
	S442	Percentage of the population in the community that have access to medical services as a direct or indirect result of The Project;
	S443	Improved sanitation facilities (Percentage of urban and rural population with access to sanitation facilities);
	S444	Health expenditure per capita (in the community);
	S445	Percentage decrease in mortality rate;
	S446	Number of avoided public health incidents due to The Project.
Criterion S5.1 Direct Employment and Training (PC)	S511	Percentage of hired staff that is local (FTE (full time equivalent)/year), disaggregated by gender;
	S512	Number of hours of training per year per employee (including managers and workers) disaggregated by gender and by local community staff OR average amount of money spent per employee on training and development;
	S513	Percentage of staff in formal and informal contracts, disaggregated by gender and by nationality;
	S514	Number of youth and adults in the community that participated in any form of training or education in the previous 12 months, offered by The Project (disaggregated by gender). (Adapted from Sustainable Development Goals indicator 4.3.1).
Criterion S5.2 Indirect/Direct Economic Development Enabled by The Project (PC)	S521	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;
	S522	Number of jobs created (direct and indirect);
	S523	Increase in tax revenues of local and/or national governments
	S524	Economic diversification in the community (e.g. number of different sectors or branches per capita);
	S525	Growth of the community (population growth)
	S526	% increased contribution to the local economy (e.g. Gross Domestic Product (GDP) or Gross National Product (GNP))

Environment

Relevant Criterion	Ref.	Impact Indicator
Criterion E1.1 Climate Change Mitigation (PC)	E111	Projects with anticipated or current emissions less than 25,000 tonnes of CO _{2e} per year shall report on their Scope 1 GHG Emissions annually. For these projects, an in-house low-cost methodology is acceptable.
	E112	Projects with anticipated or current emissions more than 25,000 tonnes of CO _{2e} per year shall report on their Scope 1 and Scope 2 GHG Emissions annually, quantified in accordance with an approved methodology.
	E113	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.
	E114	Projects seeking compliance with Performance Level 3 shall also report on Scope 3 emissions at least for the first tier of Suppliers and Contractors.
Criterion E1.2 Climate Change Adaptation (PC)	E121	In order to demonstrate and maintain compliance, Projects shall define indicators relevant to its context, including a record of climate-related events impacting The Project and the extent of that impact with adaptation measures in place, compared to a baseline scenario without adaptation measures in place. For example:
	E122	Number of days without services due to event (comparison between actual number of days without services compared to avoided number of days without service if the adaptation measures were not there);
	E123	Cost of damage (comparison between actual cost of damage compared with cost of damage if the resilient Infrastructure were not there).
Criterion E2.2 Biodiversity and Ecosystem	E221	Area (m ² or km ²) impacted positively or negatively by The Project;
	E222	Number of protected and Endangered Species (including marine Biodiversity) living in the development area impacted by The Project.
Criterion E3.2 Water Efficiency (PC)	E321	Total potable water used compared with baseline potable/non-replenishable water consumption.
	E322	% of total water used that is recycled.
	E323	Total potable and non-potable water used compared with a baseline.
	E324	Quantity of water used that comes from storm-water or rainwater harvesting.
	E325	Number of events when The Project exceeded storm water retention capacity.
	E326	Change in water-use efficiency over time (Sustainable Development Goals (SDG) Indicator 6.4.1).
	E327	Level of water stress: freshwater withdrawal (by The Project) as a proportion of available freshwater resources (SDG indicator 6.4.2).
	E328	Total storm-water run-off.
Criterion E3.3 Responsible Sourcing of Materials (PC)	E331	Percentage of total materials used that come from local sources
	E332	Percentage of total materials used that come from recycled or reclaimed sources. Percentage or number of primary and secondary Suppliers that have Sustainability sourcing/procurement/management certification
Criterion E3.4 Resource Efficiency (PC)	E341	Resource and material use (tonne) per floor area (m ²) – as the Basic Service provided.
	E342	Impacts per unit material in terms of global warming potential, abiotic depletion potential, toxicity potential average.
	E343	Waste generation (tonne).
	E344	Gross Value Added (GVA, million EUR) and Gross Fixed Capital Formation (GFCF, million EUR).
Criterion E3.5 Waste Management (PC)	E351	Percentage of total non-hazardous waste generated by The Project diverted from landfill (avoided, minimised, recycled, up-cycled, reused).
	E352	Amount of hazardous waste generated; and percentage of hazardous waste disposed of or treated according to national and/or international requirements.
Criterion E4.1 Air and Soil Pollution (PC)	E411	Total soil Pollution generated by The Project (soil);
	E412	Land quality change (before project and after project) measured in m ² or km ² of land cleared of Pollution;
	E413	Ambient/Air quality change (before project and after project) (can include measures of pollutants present in air);
	E414	Annual mean levels of fine particulate matter (e.g. PM _{2.5} and PM ₁₀) in cities (population weighted) (as per Sustainable Development Goals (SDG) indicator 11.6.2)).
Criterion E4.2 Water Pollution (PC)	E421	Percentage of untreated wastewater discharged by The Project to the sewage system;
	E422	Percentage of wastewater safely treated by The Project (adapted from Sustainable Development Goals (SDG) Indicator 6.3.1);
	E423	Percentage of wastewater recycled and re-used within the facility, avoiding release of Pollution to the local water system;
	E424	Number of complaints/claims received due to the release of untreated wastewater;
	E425	Proportion of bodies of water with good ambient water quality near Project site (adapted from SDG Indicator 6.3.2).
Criterion E4.4 Noise, Light, Vibration and Heat (PC)	E441	Level of noise emission and immission range during operation, construction (measured in decibels);
	E442	Approximate excess heat produced and not captured (kW);
	E443	Level of vibration;
	E444	Temperature increase after project (in surrounding areas);
	E445	Number of complaints received due to noise, light, vibration, and heat.
Criterion E5.2 Land Use (PC)	E521	Percentage of The Project area that is located on Greenfield/Brownfield and grey-field land.