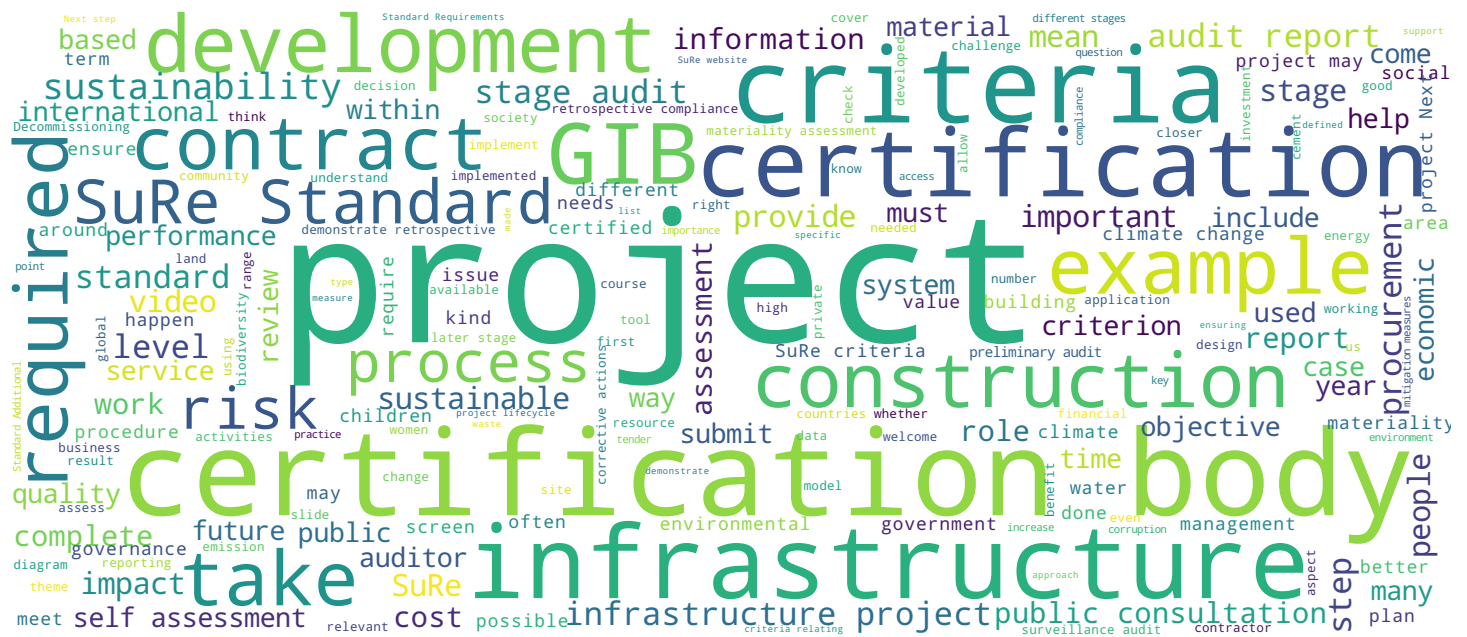


## Building expertise on sustainable and resilient infrastructure

# Louis Downing





# Topics in this Video



- 01 SuRe® Certification Timeline
- 02 SuRe® Certification Roles
- 03 Levels of Certification
- 04 Certifying Infrastructure at Different Stages of the Project Lifecycle

Hello and welcome. In this video, we will take an overview of the steps to completing a certification assessment under the SuRe® Standard. Additional information can be found in the SuRe® Standard Requirements document ST01. You can download this document from the SuRe® website and read it in conjunction with this video. We are going to take a swing through the following topics: the certification timeline, what steps are needed, and how long they generally take; the Roles of the different actors involved in certification; the difference between the levels of certification, bronze, silver and gold; before discussing how the certification is done at different stages of the infrastructure project cycle. Ok, let's get started with the Certification Timeline.

Notes

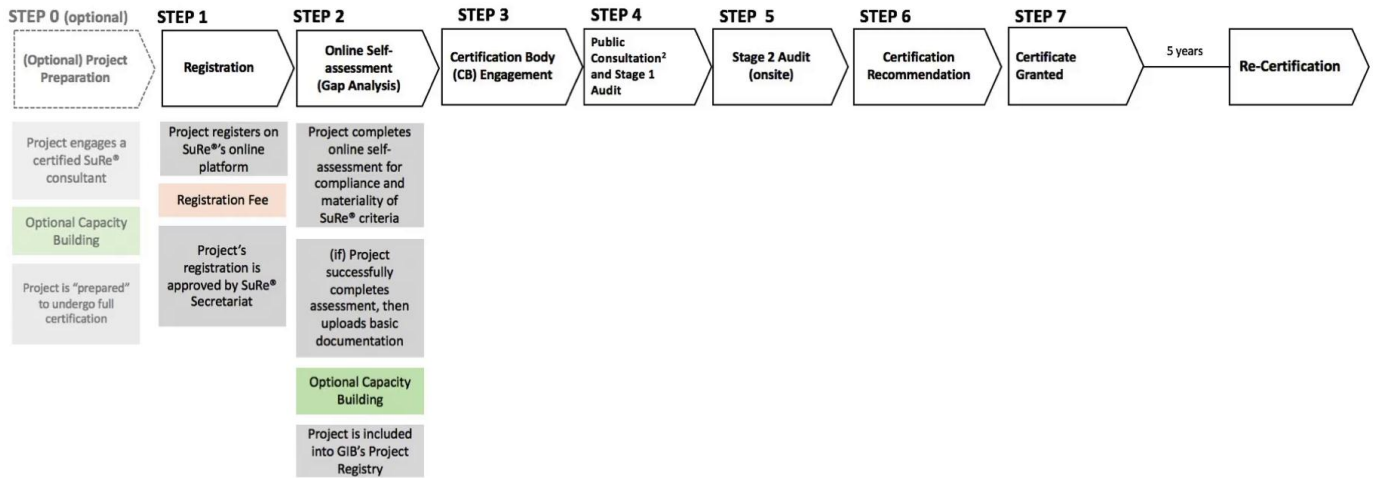
Summary



0m 05s



# Certification Timeline



Here are the 7 steps to getting certified. We will quickly step through each one to take a look at what they involve. Step zero is optional. Depending on the situation, a project may want to get assistance to prepare themselves for certification. This means going through the standard and seeing what modifications to the project may be required to meet the requirements. Regardless of whether a project is seeking certification or not, this can be a very useful exercise to improve the quality of the infrastructure project. Next we have Registration. The project registers online via the SuRe website and pays a small fee. At this point, the SuRe secretariat can approve the application or not. We do this to screen out projects that we know will never achieve certification by their nature, for example highly polluting industries, or weapons manufacturing, tobacco production etc. Next, the project completes an online self assessment. This allows the project to assess itself from two different perspectives: Materiality and Compliance. Materiality allows projects to rate which criteria they think are most important to their project; and Compliance allows the project to assess the extent to which the project satisfies the criteria.

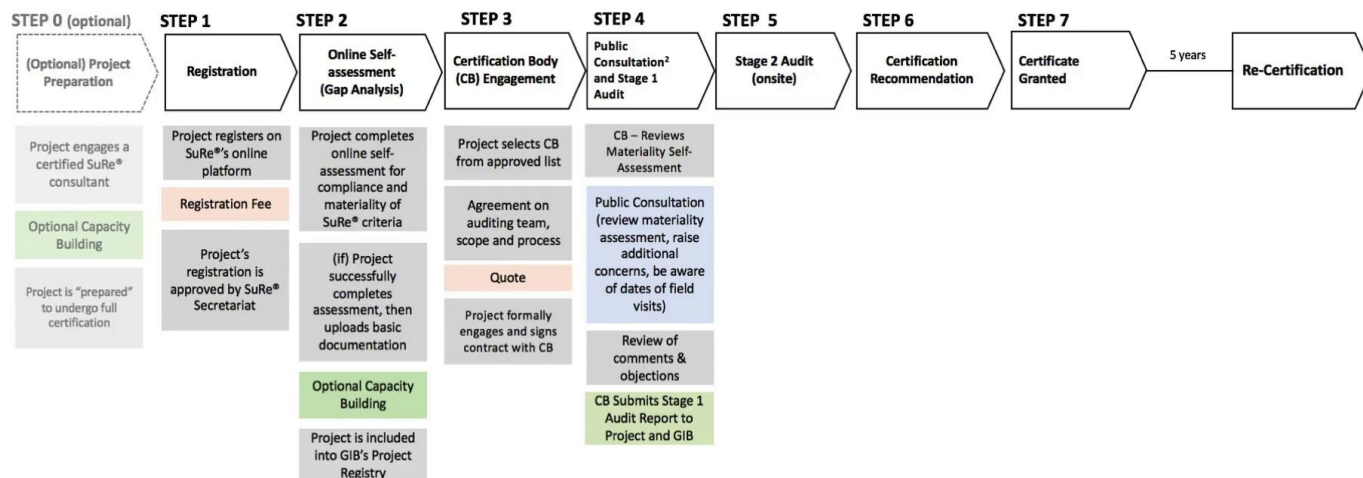
Notes

Summary





# Certification Timeline



They will also be asked to identify evidence that can be used to verify their claims. In this process, the project may identify the need for additional capacity building to help them understand and implement the criteria in the standard. Once successfully completed, the project is included into the GIB Project Registry. Next step: engagement with a certification body. The project can choose from a list of accredited certification bodies and reach an agreement with the regarding the scope, timing and procedure for the auditing steps to come. This will be captured in a contract between the certification body and the project. Next step: public consultation and stage 1 audit. Once the contract between the certification body and the project is signed, the certification body conducts the Stage 1 audit. This is a desktop assessment based on a review of the self assessment information given by the project. In parallel, the certification body opens a public consultation allowing the public, including interest groups and affected communities, to review a summary of the self assessment material, and the project's application for certification.

Notes

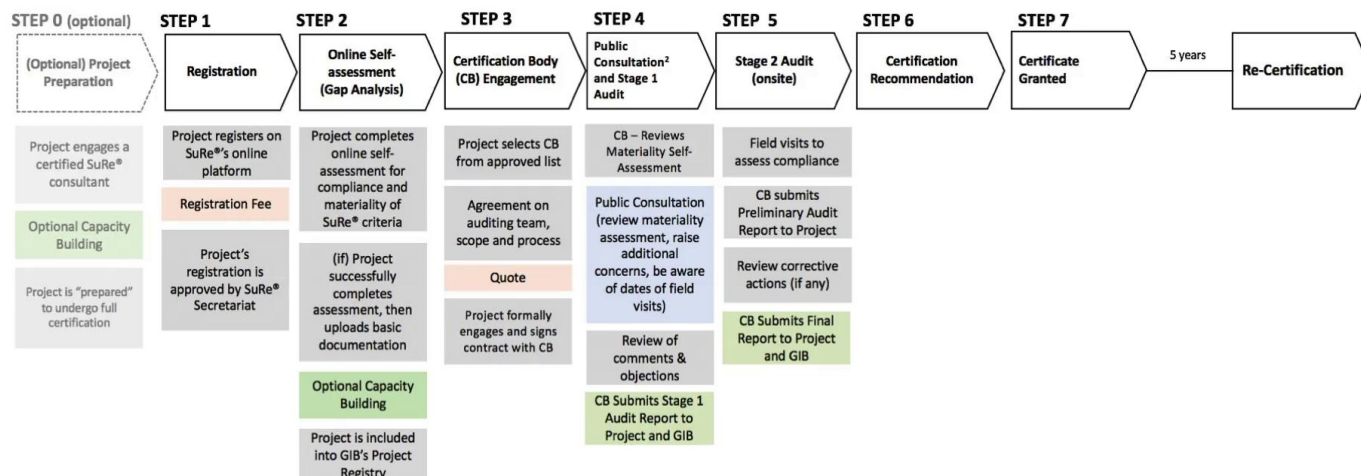
Summary



2m 21s



# Certification Timeline



This enables the public to bring matters to the attention of the certification body that may have been neglected by the project in its self assessment, and also to review the materiality assessment, in case stakeholders have a different view of which criteria are most relevant to the project. It also provides the project with an incentive to be as accurate and objective as possible in the information it provides. The public consultation is open for at least 30 days, after which time the certification body reviews the feedback and updates the materiality and compliance assessments of the project. It is the responsibility of the certification body to ensure that stakeholder views are accurately portrayed in the assessments. After the stage 1 audit and the public consultation are complete, the Certification body submits the Stage 1 audit report to the SuRe secretariat and to the project. Next comes the field visit. In the Stage 2 audit, the auditors are required to come to site to conduct an assessment for compliance to the criteria. This should typically take 1 to 3 days, depending on the size of the project.

Notes

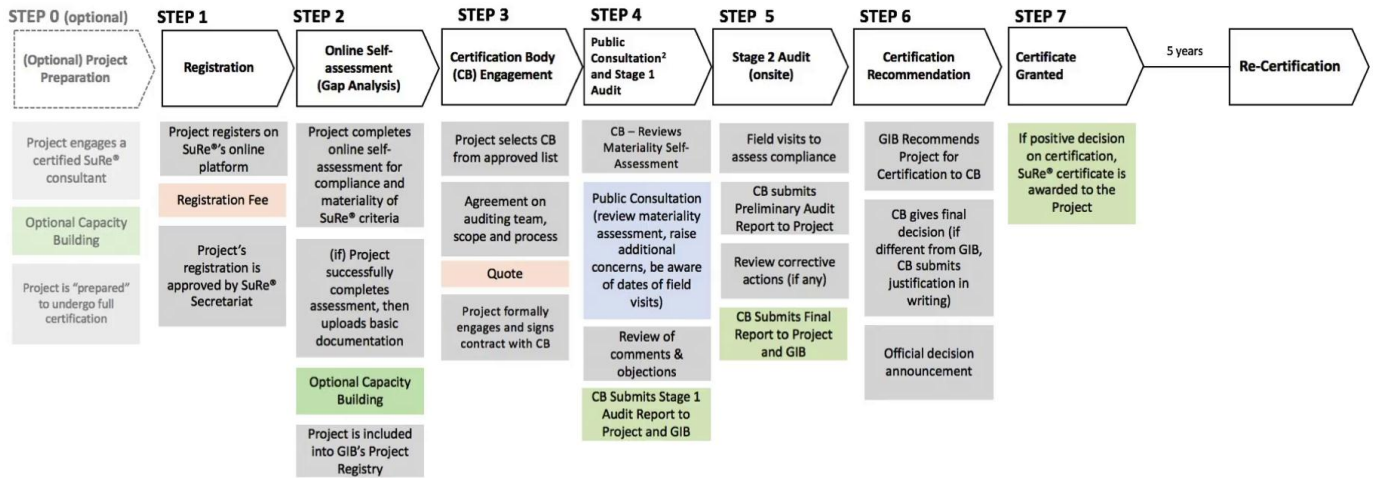
Summary



3m 40s



# Certification Timeline



The auditor will request selected evidence from the project, and based on the findings of the assessment, will submit the Preliminary Audit Report to the Project. This report will probably contain a range of corrective actions, which the project will have to respond before a certain deadline, specified by the certification body. They will also specify whether the non-conformity is major or minor. Minor non-conformities will need to be responded to within at least 1 year, whilst major non-conformities need to be dealt with within 3 months. After reviewing the results of the preliminary audit report with the project, the certification body will finalise the report and submit it to GIB and the Project. Within this report, the certification body will communicate whether the project has satisfactorily satisfied the standard requirements to warrant certification. To get certified, the project will need a green light from both GIB and the certification body. The way this works, is that GIB will recommend the project for certification, based on the Final audit report, and the certification body will take the final decision. If the decision is positive, the project becomes certified.

Notes

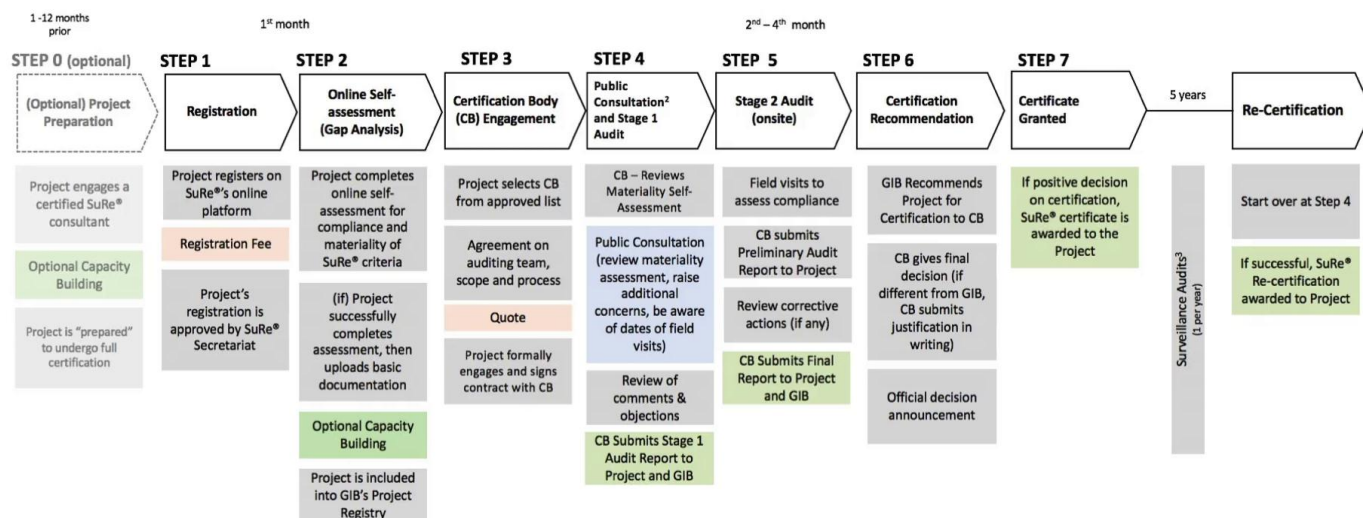
Summary



5m 02s



# Certification Timeline



To maintain the certification, the certification body does a desk top surveillance audit with the project once per year. After 5 years the project needs to undergo re-certification which is essentially a repeat of the process from Step 4.

Notes

Summary





# Topics in this Video



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In the next few slides, we'll summarise the process we've just described, looking at exactly what the role of each actor is, by going through this diagram.

Notes

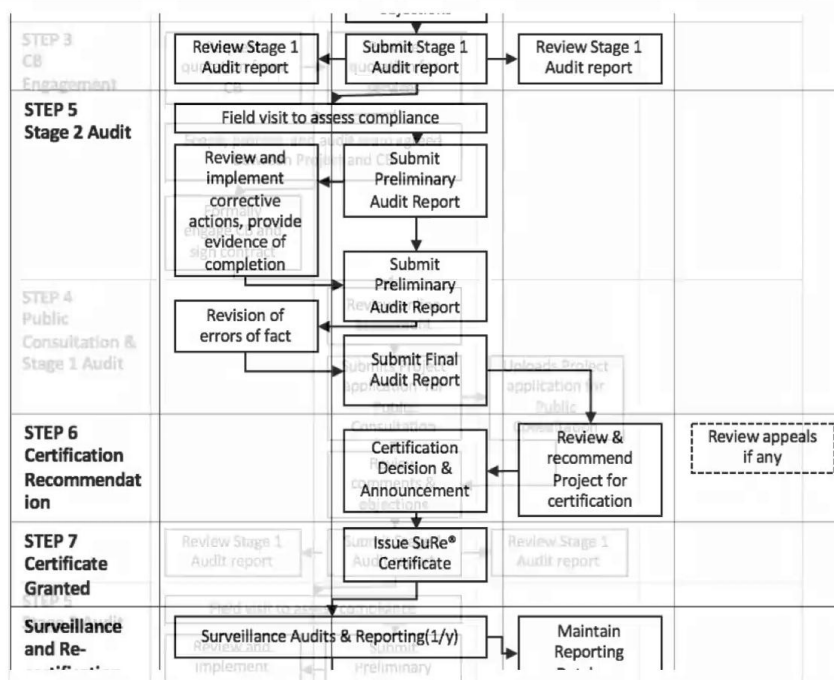
Summary



6m 46s



# Certification Roles



It is too small to see on your screen so we'll zoom in on each section. Pause the video at any time to take a closer look. The applicant is the project, the certification body is the organisation using auditors to assess the project, GIB is the standard setter and the accreditation body is the oversight body responsible for ensuring that the certification body is fulfilling its duties properly. We will not cover the activities of the accreditation body in this diagram. So steps one and two happen between the Project and GIB, online. At step 3, the project engages the certification body, and the exchange shown on the screen then occurs. We continue to step 4, where the certification body performs the stage 1 desktop audit and submits the project to GIB for public consultation. Once complete, the Certification body submits the Stage 1 Audit report to GIB and the Project, before moving to step 5, the stage 2 audit. This involves the onsite visit by the auditors, submission of the preliminary audit report to the project raising corrective actions, and then again to check for errors of fact before submitting the final audit report to GIB.

Notes

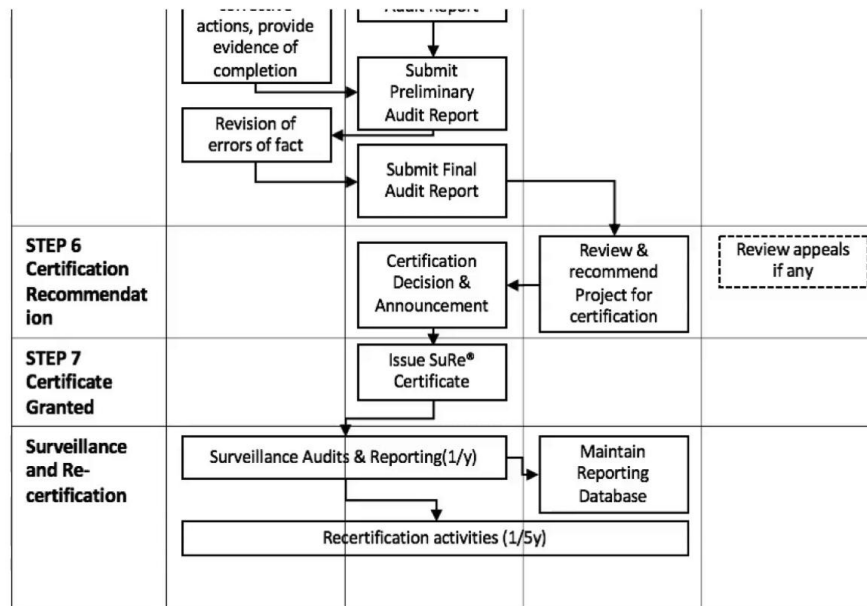
Summary



6m 56s



# Certification Roles



Once GIB has recommended the project for certification, the certification body makes the final decision and announces this publically and finally submits the SuRe certificate. Once certified, the certification body continues to review annual surveillance reports from the project and shares this information with GIB. Once every 5 years, the project will undergo re-certification.

Notes

Summary



8m 25s



# Topics in this Video



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Next we will briefly discuss levels of certification.

Notes

Summary



8m 59s



# SuRe® Certification Levels



## 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

### 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.

There are three levels of certification possible, gold, silver and bronze. Which level the project achieves, will depend on the number and materiality of the criteria the project has met. This is determined by the scoring rules of the SuRe standard, that fall outside the scope of this video. Please pause the slide to take a closer look at the characteristics of each of the levels.

## Notes

## Summary



9m 01s



# Topics in this Video



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Finally, we will look at what happens when a project seeks certification at different stages of its project lifecycle.

Notes

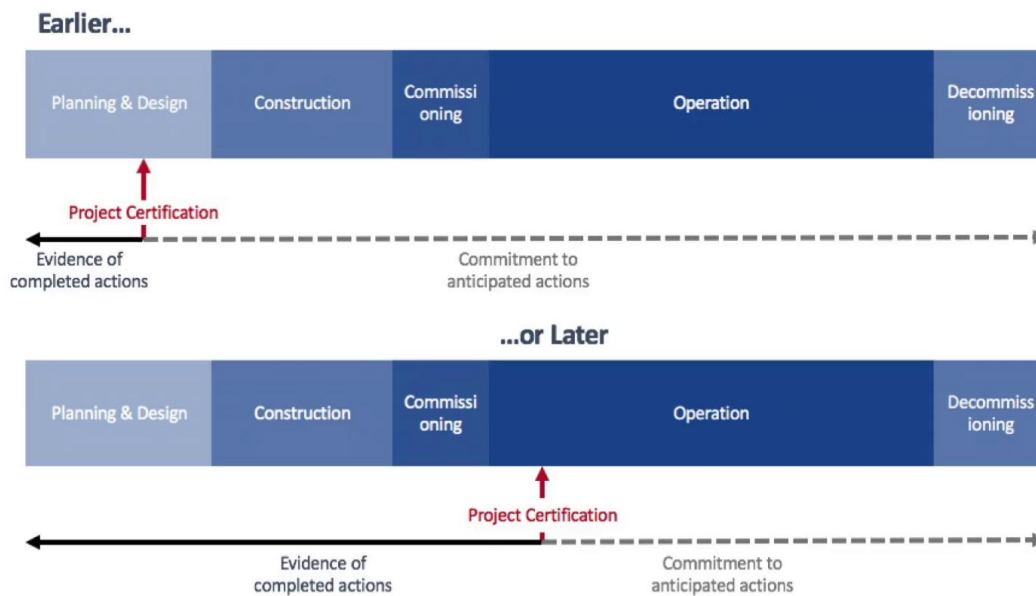
Summary



9m 28s



# Certification at different stages of infrastructure development



The project lifecycle can be broadly broken down into the following stages: Planning & Design, Construction, Commissioning, Operation, and Decommissioning. It is possible for the project to get certified at any one of these stages, however, the role of the auditor will change a little from stage to stage. SuRe® requirements span the entire The Project's lifecycle, but the SuRe® compliance requirements are treated according to the stage The Project is currently at. This means that a project applying for certification in an early phase of development, for example before construction, is not required to demonstrate compliance with SuRe® criteria relating to performance during later stages of development. For example, requirements related sourcing materials 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 achievement of these commitments as they are implemented through time.

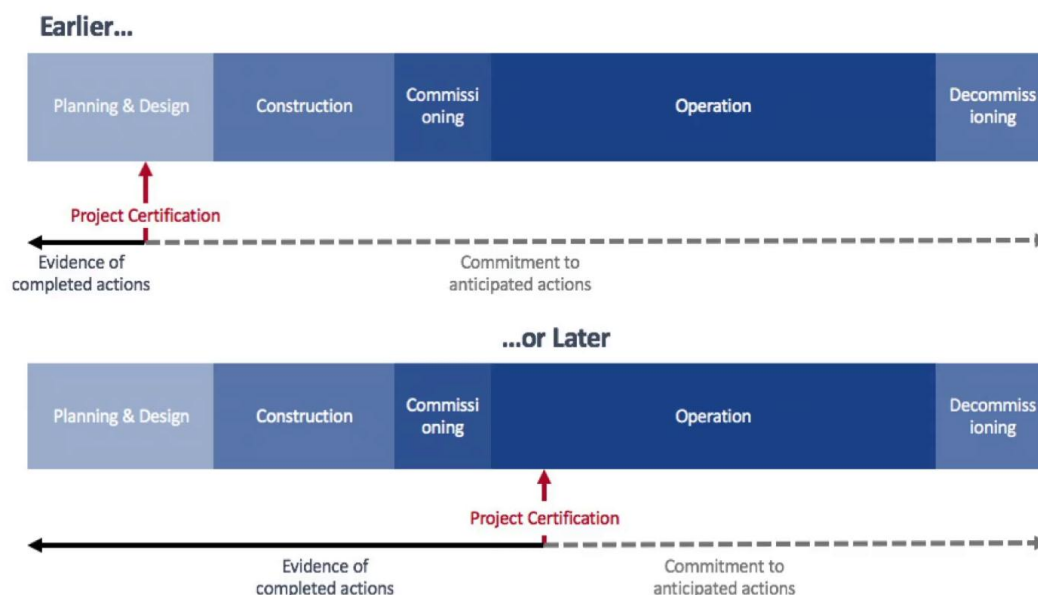
Notes

Summary





# Certification at different stages of infrastructure development



Likewise, a project that first applies for certification at a later stage of development, for example post-construction, is required to demonstrate retrospective compliance with criteria relating to any earlier stage of development. If a project is unable to demonstrate retrospective or retroactive compliance with required criteria, it shall be considered ineligible for certification in the future, unless it can demonstrate that it has taken appropriate mitigation measures. These are approved on a case by case basis by GIB. For example, a project might be required to demonstrate retrospective compliance with criteria requiring The Project to have obtained Free, Prior and Informed Consent (FPIC) from stakeholders prior to construction. In this case, retrospective compliance is not possible; therefore, if The Project had not obtained FPIC prior to construction, it would not be eligible for certification in the future. If, however, The Project can successfully demonstrate that it has taken mitigation measures that have resulted in an equivalent outcome, it could be considered eligible, but this can only happen at the discretion of GIB.

Notes

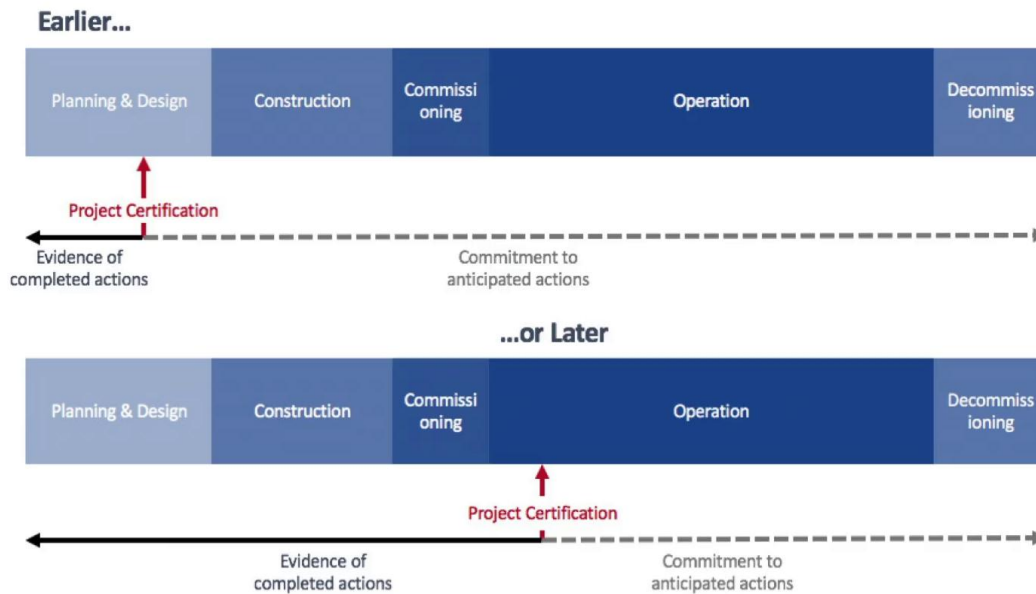
Summary



11m 02s



# Certification at different stages of infrastructure development



If during the development of The Project, significant changes occur that threaten compliance with the SuRe® criteria, this will trigger the need for a site visit by a Certification Body to re-assess compliance or an additional stakeholder consultation, or recertification, or suspension or withdrawal of the certification. If the project initially got its certification before it was constructed, then a certification body will need to do a site visit within one year after the construction is complete.

Notes

Summary



12m 25s



# Conclusion



With this we conclude our section on assessing compliance to XX Requirements in the SuRe® Standard. Additional in depth information is available during face-to-face training on the SuRe® Standard. Thank-you for watching and goodbye.

Notes

Summary



12m 58s