Infrastructure Sustainability Council of Australia

ISCA Submission Guidelines

Guidance for preparing a submission and completing verification

Version 1.0
September 2018

Published by:
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INTRODUCTION

Purpose

The purpose of this document is to provide guidance for Assessors preparing an IS rating submission (i.e. Design and As Built or Operations).

This document is not intended to replace or replicate any part of the IS Technical Manual. This is a supplement to the formal IS rating scheme materials. The IS Technical Manual will take precedence over this document.

Audience

This document has been developed to support the preparation of an IS rating submission for verification.

The intended audience are IS Assessors who are currently preparing an IS rating submission for a registered project/asset. It has been assumed that the audience for this document are IS Accredited Professionals and are familiar with the IS rating tool and IS rating processes.

For more information on the IS rating scheme in general please visit: http://www.isca.org.au/is_ratings

Scope

The scope of this document has been determined based on feedback provided to ISCA, both formal and informal, and the experiences of ISCA Case Managers and Verifiers.

Topics covered include:

- The relationship with your Case Manager and clarification of the scope of support services
- Kick-off workshops, key invitees and general agenda items
- IS Training offerings that can be used to support education and collaboration while delivering a rating
- Tips and tricks for completing a Weightings Assessment and Base Case Proposal
- Collecting evidence and things to remember for different types of credits
- Preparing for verification including timing considerations and key tips
- The different challenges with Round 1 and Round 2 verifications
- How to best use the Certification event to celebrate the achievement of a project

ENGAGING WITH YOUR CASE MANAGER

Scope of support

Each registered project is assigned an ISCA Case Manager. Case Managers are ISCA employees and are responsible for providing support to Assessors and other members of the project/asset management team throughout the rating process.

Case Managers are responsible for facilitating and maintaining the IS rating process and should ensure that Assessors are aware of the rating process requirements. Any interaction and or engagement of the Assessor and other members of the project team with the Verifiers is managed and facilitated by the Case Manager.

Support services are divided into two categories:

Standard Support: The minimum level of support provided by ISCA and is included as part of the IS rating Support Fee.

Optional Support: Additional support that can be provided by request with additional costs.

Standard Support

Includes:

- Organise and attend an inception meeting with key project personnel, Assessor and project proponent (as appropriate)
- Attend regular progress meetings with the Assessor (usually monthly) and other key stakeholders
- Facilitate, support and attend a rating Kick-off Workshop with the broader project team. (Agenda for the Design Rating included in **Appendix A**)
- Review IS Management Plan (IS Implementation Plan)
- Schedule and attend detailed progress review meetings (quarterly or 6 monthly)
- Provide ad hoc phone and email support
- Process TCs and CIRs
- Do a pre-verification quality check on sample of credits
- Facilitate an optional face to face meeting with Verifiers and the project team
- Assist to organise the certification event
- Facilitate lessons learnt workshop

Always check the rating agreement for detailed fee and service breakdown.

Optional Support

May include:

- Sustainability reviews (full day at regular intervals)
- In-house training:
  - IS Training for Professionals
  - Introduction to Infrastructure Sustainability
  - IS for Project Managers
  - IS for Suppliers
- Targeted discipline workshops (e.g. stakeholder engagement team) to discuss requirements, evidence and action plans
- Leadership workshops delivered by ISCA Senior Management (IS for Executives)
- Participation in supply chain events / forums
- Preliminary review of credit summary forms prior to verification rounds (this can be completed face to face)

Your Case Manager is here to help!

If you are struggling with any part of the rating tool or rating process, make sure you reach out! ISCA can provide advice including how other projects resolved similar difficulties, so don't leave it until it's too late to fix.

For any items not covered under this list which may provide added value or benefit to the Assessor in pursuing the IS rating, please consult and engage with your Case Manager.

Your relationship with your Case Manager is an important part of delivering a certified IS rating. The following is a summary of what you can and cannot expect from the relationship with your Case Manager.

How can your Case Manager help?

Your Case Manager can help by…

Responding to requests made via email/phone **within a reasonable timeframe** (2 business days).

Assisting to **benchmark and provide guidance** based on application of the rating tool across industry.

Scheduling regular monthly progress meetings by phone call or face to face when required.

Being your direct **line of communication to your Verifier** about important project issues.

Supporting each other, so from time to time you may expect correspondence from **more than one Case Manager.**

Connecting Assessors with each other to support knowledge sharing where possible.

Providing **technical guidance** on how to apply the rating scheme.

Reviewing TCs and CIRs and attempt to have them resolved within 4-6 weeks for a TC and 6-8 weeks for a CIR.

Undertaking a pre-verification quality check of the submission for a **sample** of credits before sending it for verification. This refers to checking the layout of the submission, referencing to evidence in the credit summary forms and accessibility of files on SharePoint.

Organising any additional ISCA training that your project team and/or suppliers may seek (for example, in-house IS Training for Professionals courses).

Be your **advocate** and will support your pursuit of a rating.

Your Case Manager will not…

Chase Assessors to attend meetings or deliver on their actions. The Assessor is responsible for delivering on rating milestones and requirements.

Review a submission before it is sent to Verifiers but can review part of, or a sample.

Provide feedback on **how** to improve the rating before it is sent to the Verifiers but may answer any credit-specific questions.

Prepare minutes for the regular meetings. These should be prepared by the Assessor.

Make changes to the rating process, even for specific situations, without approval from the Technical Rating Committee.

Kick-off Workshops

The Kick-off Workshop is the first time where ISCA and the project/asset management team can sit down, engage with each other and discuss the rating as a whole. It is recommended that a good cross section of the team is represented at the workshop to promote internal buy-in and ownership of the IS rating pursuit and infrastructure sustainability more generally. This workshop also enables the team to ask questions and understand their part in the application of the rating. Examples of the participants might include, but are not limited to:

- Project Director
- Construction Manager
- Network Operation
- Quality Manager
- Area Managers
- Sustainability Manager
- Commercial Manager
- Design Leads
- Stakeholder Relationship Managers
- Environmental Manager

Key agenda items include:

- A presentation by ISCA staff of an overview of the IS rating scheme, trends and traction, and the IS rating process.
- A presentation by the Project Director or Assessor to describe how sustainability will be integrated into the project, some of the drivers for pursuing a rating, how the IS rating aligns with other key sustainability targets/contract requirements, and how the IS rating is going to be delivered and managed within the project/asset team.
- Discussion of the project scope and boundaries, schedule, and roles and responsibilities.
- Team break-out sessions: Break-out sessions are typically held during the second half of the workshop and consist of the various disciplines breaking up into small groups and working through various aspects of the IS rating scheme. The focus of these sessions is to have the team identify key risks and opportunities and any key actions relevant to the IS rating tool.

An example agenda for a Kick-Off Workshop is included in Appendix A. This example should be tailored to the specific requirements of the project and associated audience by the assessor and the project team.

Feedback

Feedback is essential to the IS rating process and helps ISCA to improve and do things better. Feedback is formally collected at the end of the rating process following certification during a lessons learnt workshop, however ad-hoc feedback is collected by ISCA throughout the process and during meetings, conversations and other interactions.

We appreciate feedback at ISCA. You can send it directly to your Case Manager or via email to casemanager@isca.org.au

NOTES FROM AN ASSESSOR

When you are setting up your rating, it is a good idea to do an initial review of the credits and decide on which levels are:

- **Aligned with current practices**: evidence is suitable and readily available
- **Easy to achieve**: might include changes to strengthen processes and some additional time
- **Stretch opportunities**: will take some time and resources to make them happen

Make sure you identify as many opportunities as possible. Identifying and considering more opportunities at the start will give greater flexibility when things change (and sometime fall over) throughout the project.

Get buy-in – Identify your key decision makers (e.g. Design Manager, Systems Manager) and make sure they are across the process and understand why achieving a good outcome using the IS rating tool is important.

Documentation from the planning/concept design phase can contribute towards achieving a number of credits. If the client has not passed these over, go and ask for them.

Once you are in the swing of delivering a rating, it is easy to assume that people are doing what they are supposed to and that all your evidence will be what you need. This isn't always the case. Sustainability is just another system that needs to be monitored during implementation. Not only are you looking to make sure all your documentation is being collected, but also that the team is implementing the systems appropriately. The Man-3 credit includes inspection and auditing requirements that can help, but on large projects more frequent monitoring may be required.

A decision-making process is easy to develop and provides a fantastic tool to encourage the Design and Construction teams to think through things well and consider the needs of the client and community. It is also a good way to demonstrate good decision-making practices that might already be happening informally.

When assessing the project, don't be guided by the amount of 'space' on the scorecard or credit summary form. It is important to provide a reasonable amount of evidence and explanation for the Verifiers. To ensure everything is captured, a good explanation should tell a story and be able to direct the Verifier to the relevant evidence.

Lastly, it is always best to prepare your credit summaries progressively rather than doing them all at the end. Often, you think everything is fine until you start writing the summaries and then realise you've overlooked something critical in the story or connections. It is important to be able to correct these oversights at the time rather than scrambling at the end.

Commentary summarised based on a presentation made for ISCA.

Remember that timing is important!

There are parts of rating application that are time sensitive and if not addressed at the right time, opportunities may be missed. An example of sustainability aspects which need to be addressed early in the process include procurement and purchasing.

WEIGHTINGS ASSESSMENT AND BASE CASE

Weightings Assessment

The Weightings Assessment is a mandatory part of the IS rating process and should be completed early in the Assessment phase and submitted for verification shortly after the Kick-off Workshop. It is an essential part of the IS rating scheme and enables the rating tool to be tailored accordingly to different asset types, sizes, delivery models and across various locations. The points for each credit are re-weighted when the materiality scores are changed. Completing the Weightings Assessment at the initial stage enables better planning and certainty of approaching the credit. It also ensures an appropriate level of effort is allocated to those material areas.

This is a risk and opportunity-based process and should focus on potential impacts prior to the application of any control measures.

This process includes a questionnaire built into the IS Scorecard, which should be completed by a multi-disciplinary team and for which supporting evidence must be provided to justify the materiality scores claimed. This might include documents such as; a description of project scope, baseline assessments, environmental approval documents, location maps, construction methodology etc.

An important aspect of the Weightings Assessment process is the ability to manually adjust the Materiality score if the automatic score generated from answering the questions is not appropriate. The questions are a guide to begin tailoring the materiality scores to the project, and after answering the questions, the materiality scores should be reviewed to ensure they are appropriate to the project and context. When a manual adjustment is made, a justification for the change needs to be included. Justifications for changing the materiality score might include:

- State policy commitment or regulatory requirement
- National & International priorities
- Particular issues or opportunities specific to the location or asset
- Stakeholder feedback or interest (including the community)

Justifications for changing the materiality score should not include contractual requirements or limitations based on the project scope or design.

Verification: The Weightings Assessment will undergo a two-round verification process similar to that undertaken as part of the final rating submission. This provides the Assessor with one opportunity to respond to Verifiers' feedback and to update and clarify the Weightings Assessment justification and evidence.

Things to Consider

The Weightings Assessment process needs to be formally completed and verified following registration, early in the assessment phase. However, the process can be completed informally at any time. For example, where there exists a contractual requirement to achieve a particular IS rating (or score), project proponents should be completing a draft Weightings Assessment (preferably verified) and including it as part of tender documents.

This will enable the supply chain to respond appropriately and consider materiality consistently as part of their responses.

This process mitigates some risks related to points chasing and should be used as a way to guide the overall strategy for sustainability of a project/asset.

Again, it is important to note that this document only acts as a guideline for the Weighting Assessment and Base Case submission. Any information provided in the ISCA Technical Manual overrides this document.

An example process for completing the Weightings Assessment is outlined below:

Preparation and Initial Review

- Assessor undertakes an initial review in collaboration with a small group of key stakeholders, and prepares a draft Weightings Assessment
- Prepare a summary for the workshop

Assessment through a workshop (ISCA Kick-off or other)

- Review the initial assessment completed by the Assessor
- Consider the materiality score for each question as it's reviewed and amend if appropriate
- Using the weightings summary graph, consider the overall balance of materiality and make changes (if necessary)
- Minute consensus

Verification

- Collect evidence to support materiality scores
- Prepare a memo summarising how the Weightings Assessment was completed and who the involved stakeholders were
- Include commentary and justification and reference to evidence for the Weightings Assessment in the scorecard document
- Submit to ISCA for review and verification and notify Case Manager of the submission.
- Assessors have an opportunity after the first round of verification to respond to any questions, queries and clarifications needed by the Verifiers before the second submission.

Base Case

NOTE: The process for undertaking a Base Case is different for a Design & As Built rating and an Operations rating. See the Base Case chapter in the relevant Technical Manual for more information on the process requirements.

The below section is focused on the Design and As Built requirements.

The Base Case is not a compulsory part of the IS rating process; however, it is required to achieve higher than Level 1 in the following credits:

- Ene-1 Energy and carbon monitoring and reduction
- Wat-1 Water use monitoring and reduction
- Mat-1 Materials lifecycle impact measurement

Please note that Ene-2 and Wat-2 require the use of information collated as part of the footprinting exercise for Ene-1 and Wat 1.

The Base Case aims to establish a Business as Usual (BAU) footprint which can be used as a comparison to the Actual design footprints to measure performance across Energy, Water and Materials. Another term for Base Case is baseline or reference design.

All footprints developed under these categories must be for the life of the asset (that is, must include maintenance and operational impacts) and must also cover construction impacts (e.g. fuel use from plant and machinery).

The Base Case process is the one area of the rating tool that industry has had the most challenges grappling with. Typically, these challenges include:

- Selecting a suitable design and dataset to build the resource footprint
- Expertise required to develop energy, water and materials footprints
- Struggling to find time to prepare the Base Case proposal on time, i.e. early in the design phase
- Managing the process when there have been a number of scope changes
- Getting access to information from early project designs

Determining the most appropriate Base Case

To develop the Base Case, Assessors essentially need to do four things:

1. Identify a point in the design process when:
    a. Sufficient information and data are available to develop energy, water and materials footprints, and;
    b. The design components/initiatives align with industry standards and Business As Usual (BAU)
2. Review the design and identify any initiatives or components which are beyond BAU, then replace these with BAU equivalents.
3. Complete the Base Case proposal and submit to ISCA for verification to confirm assumptions.
4. Build the three Base Case footprints (energy, water, materials) in parallel with the actual design footprints.

Note: Most likely, the Base Case footprints will be a combination of data from multiple designs and across various timeframes. This is because the Base Case design needs to be aligned with the Actual design to scope, function and purpose. (Please see Appendix C for Base Case establishment diagram)

The Assessor needs to use their judgement and logic when deciding on the suitable design. The important thing is not that a complete design is selected – as the objective is to identify the energy, water and materials footprints of the project if it were constructed as BAU, **the important thing is to identify a design that matches the actual scope (or can be adjusted to match), that uses BAU technologies and processes (or can have BAU practices applied to it), and that has enough data to enable footprints to be determined.** Due to the timing of submission, only reasonable estimates are needed. It is a common occurrence for teams to over complicate things trying to find 'exact' numbers.

Base Case Proposal Form

The Base Case Proposal Form is used to outline the proposed methodology for developing a Base Case. The first few sections of the form require general information on the Base Case as well as detail on the Base Case qualities. The form should be used to outline all components of the data/design that will be used and how the adjusted or augmented design matches the scope and function of the actual design, is transparent with key stakeholders, applies BAU technologies (or how it will be adjusted), and has an appropriate level of accuracy and detail to build footprints.

The last section of the form called 'Base Case footprint calculation' should be used to explain the methodology for developing each footprint. This should also include the BAU assumptions, which may be provided as an appendix. For example, a road project might highlight the assumptions related the aggregates and the amount of recycled content, earthmoving methodologies related to fuel use, lighting solutions for operations, and water use in dust suppression.

This section should also outline any tools that might be used to develop each footprint.

Verification: The Base Case will undergo a two-round verification process identical to that of the Weightings Assessment.

An example Base Case is included in Appendix B.

Things to Consider

The Base Case process is always going to be a team effort. This should be a key part of the very early conversations with the broader project team and may also be appropriate to discuss at the ISCA Kick-off Workshop.

Project proponents should consider how they can support this process through providing previously verified BAU assumptions in tender documents. This helps the contractors to understand their target scores for Using Resources better and allows consistency when comparing their sustainability approaches.

The Base Case footprints will continue to evolve as the actual design becomes more detailed. Continue to review and develop the Base Case and Actual footprints throughout the design phase. Footprints need to measure both construction and operational impacts.

COLLECTING EVIDENCE

Introduction

The IS rating scheme includes a third party independent verification process to assess and verify project claims before a certified rating is awarded. The verification process requires evidence to be presented, along with a completed IS Scorecard, so Verifiers can assess the project's performance against each of the IS Credits.

The IS Technical Manual includes additional guidance for each credit that describes the requirements for meeting the credit. The additional guidance is not explicit on the types of documentation that is required to meet each credit, however, some suggested evidence is included in the criteria table under the benchmarks.

It is important that the Assessor considers, early on, what types of evidence they are required to collect throughout the rating phase. If they are unsure, they should check with a Case Manager. A project delivery timeline for the design and construction of the asset should be provided to highlight a general overview of the process.

Top tips for collecting and presenting evidence

- **Get in front of it**. Prepare a detailed plan, early on (shortly after the Kick-off Workshop is recommended) and be clear about who is responsible for producing the evidence, where they need to save it, and whether revisions are required. Make sure the evidence producers understand what specific things you will be looking at their reports/drawings etc for.
- **Don't leave it all until the end**. The biggest mistake Assessors can make is to leave the evidence collection process until the end. Evidence is usually collected from all parts of the project team and leaving its collection until the end potentially means that it may be lost, misplaced or not created at all.
- **Be Clear**. The Verifiers have limited time to review the documentation. It is important to be extremely clear in the explanation for each credit in the credit summary form. Sufficient explanation or background information should be provided to put the evidence into context. This might include providing overriding assumptions, methodologies or baseline assessment. Make sure the relationship between evidence and the credit criteria is explicit, this means pin-point referencing. An example of pin-point referencing is demonstrated in **Appendix E**. Whilst concise explanations are best, ensure that you provide enough context for the evidence to make sense. Explanations should be succinct and pertinent to the evidence that is being used to address must statements and/or credit criteria.
- **Less is more**. Sometimes, there is a tendency to provide more information and evidence than is necessary to make sure 'all bases are covered'. This approach isn't recommended as it causes confusion and miscommunication, particularly if there isn't a well written and referenced Credit Summary. It is better to provide the evidence that best demonstrates in a concise manner the verification of the criteria. If in doubt, the Verifiers will ask for further clarification for Round 2.

  As a rule of thumb, you will know if you have enough evidence if a person who is completely unfamiliar (just like a verifier will be) with the project is able to justify your claim to the criteria when looking at your credit summary form and supporting evidence, without needing to hunt around to understand what you're trying to say.

  For credits that will require monitoring reports or evidence of implementation, you may provide representative sampling e.g. inspection reports including sample reports for non-conformances.

- **Consider the difference between Design and As Built**. Not all credits require ongoing evidence through Design and As Built, but most do. Consider the differences and plan appropriately. The best way to look at it is where demonstration of implementation is required or say for instance Man-7 – Decision Making, where demonstration of the continuation of the process into construction is required.
- **Look for the "Must" and "Should".** The technical manual stipulates things that "must" or "should" be done. The latest version of the tool also provides a reminder of this for each credit. Ensure that the evidence covers both of these aspects as the Verifiers will ask for this information. Should statements still need to be addressed through evidence unless it can be justified why they aren't appropriate/necessary. **Don't forget to provide justification as to why a should statement is not relevant to the project.**

Evidence types and tricky credits

There are no black and white rules for how much is enough evidence, what is good versus bad and exactly what needs to be provided. Evidence for each credit may come from more than one document and the same document may be used for more than one credit. However, it would be beneficial for the same document to be renamed and uploaded to their corresponding credit folder on Sharepoint (i.e. if the document is named '*Sustainability Management Plan'* and it is used for Man-3 and Dis-1, then list it as 'Man-3a_Sustainability_Mgmt_Plan' and 'Dis-1a_Sustainability_Mgmt_Plan' in their corresponding folders). This ensures that Verifiers are directly guided to the correct evidence and that no evidence is missed. It is common for Assessors to collate evidence from different documents and not just from one neat report. Some general rules for particular credits are listed below:

- When **'for the duration of the rating phase'** is referenced (e.g. Man-1 'Policies must have been in place for the entire duration of the relevant rating phase') make sure that the current version/file presented does not include a review/expiry date that's before the end of the rating. Where relevant, the project can justify using Ruling General.02 which states:

  "For the design and as built ratings an establishment period at the start of the design or construction phases may be necessary for establishing management systems. Audits/monitoring/review of these management systems therefore do not need to be undertaken during this establishment period, but the length of the establishment period needs to be justified. The establishment period must be no longer than 6 months."

For As Built ratings, check the documentation submitted through design and update if the version has been superseded or a review milestone has been passed.

Relevant Credits: Man-1 & Pro-1

- **Review, inspection, monitoring, audit** type credits can mean that there are hundreds of documents that could be presented as evidence. Generally, if the total number of documents is 10 or less then present them all. If it is more than 10, provide a sample of records based on time or type, present the schedule/program to show consistency and a snapshot of where the files are saved to show they were all completed.

For example, for the Man-4 credit (inspection and auditing). The criteria states "Internal environmental inspections of site management are undertaken at least weekly during construction." For the As Built rating, it would be recommended that the Assessor presents the inspection and or audit schedule showing the frequency of the inspections, a snapshot of the

document management system, showing all files (with the inspection date in the file name), and a sample of inspection sheets (up to 10) taken at random across the construction period.

Relevant Credits: Man-2, Man-4, Man-3, Man-5, Pro-3, Pro-4, Dis (monitoring), Lan-2 (soil records), Was-2 (waste collection and processing records), Her-2, Sta-3 & Sta-4 (surveys/feedback forms)

- Credits which require **audits** allow for an establishment period of up to 6 months while management systems are being confirmed. The establishment period needs to be clearly justified and means that audits do not need to be completed during this time

  Relevant Credits: Man-3, Man-5, Was-1, Sta-3 & Sta-4

- When **demonstrating implementation through design and construction**, the level of evidence varies. For some credits, implementation of each initiative/management approach should be evidenced, e.g. Inn-1. For others, where the management approach is varied and extensive, evidence of some implementation should be provided e.g. for the Discharge credits a sample of implementation evidence should be selected based on materiality or importance to the project.

  It is important to remember that implementation includes implementation in design (i.e. present in design drawings/reports) and implementation in construction or As Built (i.e. built and can be shown in a date stamped photograph). Where a design rating requires implementation of something during construction, evidence to demonstrate these have been committed to and will be monitored during construction is required.

  For example, for the Dis-2 credit, the criteria states *"Measures to mitigate noise during construction and operation have been identified and implemented"*. Evidence might include design aspects like noise walls, community notices, or construction time management practices. Evidence should include the Noise Management Plan, potentially review or audit outcomes that show compliance with the Management Plan, and a handful of examples that show how the management measures have been implemented or will be for those which can only be implemented during construction.

  Relevant Credits: Cli-2 (adaptation measures), Ene-1, Wat-1 & Mat-1 (design elements), Discharges (management measures), Lan-4, Was-1, Hea-2, Urb-1, Inn-1.

- When a particular credit requires **independent review**, the additional guidance states that the reviewer/auditor must be independent from the project, must be engaged to act independently and may be from a client, parent company or third party. They cannot be involved in the preparation of any project documentation or documentation specifically related to the IS rating (e.g. Technical Clarification forms).

  To demonstrate independence where the reviewer is from a parent or client organisation, the project team can provide a contract between the reviewer and the project team, an MOU, a commitment statement from the professional, and include a scope of services which clearly defines the work as independent.

  To demonstrate independence where the reviewer is from a consultancy that is undertaking other prohibited work (e.g. preparing the carbon and energy footprint) then the consultancy

should be clear in their agreement how independence will be managed and what processes are in place to make sure the individual is not exposed to other work within the organisation related to that particular project.

Relevant Credits: Man-3 (sustainability professional review), Was-1, Sta-3 and Sta-4

- When a particular credit requires the work to be undertaken by a **Suitably Qualified Professional** it is important to note that the qualifications, years of experience and types of experience are important. For some credits, the local context or practices of the organisations providing the evidence, there is the potential that this requirement is part of BAU. However, this is not universally the case for all disciplines, organisations or regulatory requirements.

Of particular note are the:

- Independent sustainability professional engaged to monitor and review performance must have at least five (5) years of experience providing sustainability advice, in addition to ten (10) years of experience in one or more of the environmental/social/economic areas and qualifications.
- Ecology credits, for which an ecologist as opposed to an 'impact assessment' qualification would be required to meet requirements.
- Projects with low to no impacts as assessed through desktop assessment for one or both Indigenous and Non-Indigenous heritage also require suitably qualified person to manage/review/audit.

Relevant Credits: Man-3, Man-4 (audit), Ene-1, Mat-1, Lan-3, Was-1, Eco-1, Eco-2, Her-1, Sta-1, Sta-3, Sta-4, Urb-1, Urb-2

Common mistakes:

Assuming that if your project met Approval requirements therefore is deemed as meeting IS requirements.

Expecting that the Verifier can search through 400-page documents to find a section you are asking. Please reference the section of the document to ensure important information will not be missed.

Expecting that the Verifier will take an informal piece of communication as a sign off that a certain requirement has been met without looking at the technical details e.g. Lan-4 Modelling Results

Writing argumentative evidence e.g. listing all the reasons why this credit criteria is not relevant. Instead, keep to the facts and explain process and outcome as relevant to the Technical Manual.

Proposing your own new definitions as superseding those of ISCA. Refer to the ISCA Technical Manual for definitions or ask your Case Manager if unsure.

Claiming Level 3 for everything when you know you are seeking Level 1.

Submitting scorecard with the default Weightings Assessment rather than your Verified Weighting Assessment.

Only addressing the requirements of Level 2 or 3 criteria which may result to Level 1 not being awarded as well especially in cases where no sufficient evidence may be found to award at the higher level.

Summary

There is no black and white rule for what evidence is the right evidence for each credit. This means that you can try to make the tool fit with your current systems and practices, rather than needing to generate new processes and documents.

Providing a clear link between evidence documents and the credit criteria is essential to ensuring a positive outcome through verification. This includes providing specific references throughout the summary to the page/section where the evidence is located

The best resource for considering the types of evidence needed is your ISCA Case Manager. They can provide advice on what other projects have done and can seek approval to share information.

The ISAP network is a network of professionals all working with the IS rating tool. Take the lead and start sharing information around. This will help you by getting feedback and will help the broader network to understand what works and what doesn't.

TIP: Join an IS Working Group – get in touch with your Case Manager to find out more about ISCA's various Working Groups. They provide great networks to find out challenges or approaches that other local projects and Assessors have experienced and resolved.

AN INTERVIEW WITH A VERIFIER

Do you enjoy being a verifier?

Being a verifier is hard. On the one hand, I want to support and assist projects to deliver better outcomes and be recognised for the great work they have done, but on the other hand I have a duty and responsibility to ISCA to complete a third party independent review and measure performance in accordance with the Technical Manual.

Overall, I really enjoy the challenge and enjoy learning about all the different projects going through the IS rating.

What's the biggest challenge that you face?

The biggest challenge would definitely be to do with the level of documentation and credit summaries that are presented for verification.

We have seen a trend, particularly with the introduction of mandated requirements and targets related to IS performance, where assessors are throwing everything at us (including the kitchen sink). I believe they think this is insurance for them – they are putting it all in there 'just in case'. I can understand this reasoning but unfortunately, this approach simply confuses us and more often than not increases the risk that information is overlooked or not interpreted correctly in the right context.

The best approach is to try to be OBJECTIVE. Consider the role of the verifier and what they have been asked to do. Then, make logical decisions about what information should be provided to meet the credit. Include clear and CONCISE summaries (without emotional reasoning) in the credit tabs to point Verifiers to the correct places across the various evidence documents.

The Verifiers appreciate TRANSPARENCY and can tell when something appears 'not quite right'. Generally, if I feel that an Assessor is trying to hide information or is trying to justify a point instead of simply providing the evidence, it will be highlighted in the Verifier's comments and will require that they respond through subsequent rounds.

How do you apply discretion when you're doing a review?

Discretion has always been part of the IS rating process. It is an important part of the process because this is an infrastructure tool and therefore needs to be applied to significantly different asset types. It is also important that discretion stays apart of the process to minimise the risk the Technical Manual becomes 1000 pages long and just full of instruction.

Generally, the Verifiers will consider their options in Round 1, ask for more information and documents, and then make an informed and considered decision as part of the final Round 2 verification review.

As an Assessor if you think your process or outcomes don't quite meet the credit requirements or aim, the best thing to do is to speak to your Case Manager and use the TC/CIR process. It seems like a risky strategy to leave it up to the discretion of 2 Verifiers.

Commentary above is based off general feedback collected by the ISCA team.

VERIFER INFORMATION

Verifier qualifications

IS Verifiers are independent specialists assigned to project/assets during the rating process to provide independent verification of the Weightings Assessment, Base Case proposal and self-assessment. Each verifier has a strong reputation and level of expertise in infrastructure sustainability, understands the project lifecycle across different stakeholder perspectives and asset types, and has experience in sustainability assessment, auditing, or sustainable planning, design, construction and/or operation.

Verifiers come from the public and private sector and generally have experience across multiple asset types and phases. The verifier panel has grown significantly since it was first established and ISCA has subsequently starting categorising Verifiers based on their experience and areas of specialty. For example, Verifiers are now joining the panel and will only work on a particular type of project or rating type.

Verifier's role

The Verifier's job is to make sure sustainability ratings are being awarded to infrastructure projects and assets that deserve the rating. They perform much the same role as an External Auditor would in ISO certification for Quality, Safety, Environmental Management Systems and as such don't necessarily need to be technical specialists in every aspect of every credit but must be able to review the evidence presented and the credit requirements and evaluate as to whether the evidence supports the claim that the credit requirement is met.

Standard interaction with Verifiers include Round 1 and Round 2 verifications. Verifiers are required by ISCA to check all pieces of evidence, plus the information presented in the scorecard, against the credit criteria AND additional guidance. This may include IS Rulings. They are allowed to ask anything of the Assessors which will help them to determine whether the project has met the criteria requirements.

All Verifiers must:

- be a current IS Accredited Professional;
- have experience on a number of projects/assets applying the IS rating scheme preferably through the full rating process
- have experience in one or more of sustainability assessment, environmental auditing or sustainable design;
- have substantial direct and relevant industry experience in a variety of infrastructure projects/assets in Australia with respect to planning, delivery and operation phases; and
- have relevant tertiary qualifications related to the themes and categories of the scheme (i.e. science, engineering, environmental management, finance, social policy etc).

It is their job to check all parts of a submission and seek clarification or additional evidence where the team have not clearly demonstrated they have met the criteria.

The onus is on the Assessor to demonstrate using evidence how they comply with the criteria.

Additional Interaction (optional)

The IS rating process currently has 2 options where the Assessor and key team have an opportunity to engage with the Verifier.

1. Verifier briefing

A Verifier briefing is an opportunity for the Assessor and other members of the delivery team to engage directly with the Verifier to explain the scope and objective of the project. While this briefing is optional for the project to undertake, it is included in the standard support package.

This 1-hour session is typically run using a video call connection (WebEx) and is set up and organised by the Case Manager. The session typically covers the following:

- Project scope
- Key stakeholders and influencers
- Project team structure and any nuances in roles/responsibility
- Project systems and how the IS rating will be rolled out

It is recommended that the Assessor delivers a short presentation for the verifier and allows them to ask questions about different aspects as they go along.

This session would usually be facilitated early in the rating process, preferably before the Weightings Assessment and Base Case are submitted.

Note: An alternative approach to a video run Verifier briefing is to prepare a briefing note that explains the project, scope etc. and submit this with the Weightings Assessment and/or Base Case as part of the verification submission. By doing so, the Verifiers gain a greater understanding of the project. It also enables them to understand any challenges and preliminary comment on approaches such as innovation ideas and unique issues for the project. This approach provides the Verifiers the full picture rather than having them build the picture piece by piece through each credit. It is also seen as a great opportunity to meet and put faces to names.

2. Face to face verification meeting

The intention of this meeting is **not for the Assessor to present evidence** or try to address any of the Round 1 feedback. The meeting should be used **to discuss and clarify** feedback from Round 1 verification.

Feedback indicates that this meeting adds a significant amount of value to the verification process.

It allows the Assessor to get a better understanding of what the Verifiers want with the Round 2 submission.

The face to face verification meeting is facilitated between the Round 1 feedback and the Round 2 submission. It gives the Assessor an opportunity to ask questions about the Round 1 verification feedback and hear first-hand what the Verifier would like to see as part of the Round 2 submission.

The Case Manager will organise this meeting at a time that is suitable for the Assessor and the Verifiers. The meeting will run for **2 hours** and will be facilitated by video call connection (WebEx).

There is no option to extend the time of this meeting. Assessors are not permitted to directly contact the Verifiers to discuss or seek advice outside the rating process. Engagement and communication with Verifiers must be made through Case Managers.

To prepare for the meeting, the Assessor needs to:

1. Identify the credits and specific comments which they would like further clarification on
2. Prepare a list of the clarifications and outline the specific question/query
3. Send the list of questions to the Case Manager at least 3 days prior to the meeting to allow the Verifiers to prepare

This meeting is chaired by the Case Manager, but the pace and tone is set by the Assessor. It is really up to the Assessor to make sure that the meeting moves along at the desired pace and by the end of the 2 hours, all queries have been discussed.

The Case Manager will take notes, keep a record of the meeting and will provide them to the Verifier and the Assessor for approval before they are finalised. Following the face to face you will see a change to your Round 1 feedback in the scorecard. The Round 1 feedback will be edited and updated with the clarifications from the face to face meeting.

Note: Some Assessors choose to wait for their Round 1 feedback and verification outcome before deciding whether a face to face is necessary. This is acceptable. However, such a meeting may not be able to be scheduled for a period of 2 weeks.

This interaction with the verifiers is an optional extra and incurs an additional fee if it is taken up. Assessors should notify their Case Manager before signing the Rating Agreement if they would like to include the verifier interaction, however, they can also opt to take this up at a later stage if required.

The additional cost is included in the rating fees information on the website. As a guide, the cost to include verifier interaction on $150m project would be $4120 (excl. GST) for a member organisation. See website for more information: http://www.isca.org.au/is_ratings.

At the time of writing this Submission Guidelines, an update has been made to ISCA rating agreement to incorporate the cost for the face to face verification meeting. Please double check if the face to face verification meeting is included in your rating fees as outlined in the rating agreement.

PREPARING FOR VERIFICATION

Checklist

- Had the Base Case and Weightings Assessment verified
- Completed and uploaded the Scorecard, including the asset input page and the self-assessed score
- Signed the materials calculator for Mat-1
- Included pin point referencing in credit summaries (incl. page references)
- Addressed ALL credit criteria and must statements
- Checked that each document is uploaded into the right folder
- Completed a spot check to make sure files are working
- Notified Case Manager that the submission is ready and uploaded

Timing

The exact timing of when a self-assessment should be submitted will be agreed with the Case Manager on a case by case basis and will depend on a number of factors. Some general guidance has been included below. It should be considered in relation to any contractual requirements regarding the timing of submission held between the design and construction delivery partners and the Principal.

Design

The Design submission should be sent to ISCA between 80-100% design. This is only a guide and is dependent on factors such as when construction is starting, if there are multiple design packages with different percent complete etc. A decision on the final timing for the self-assessment submission should be made in collaboration with the Case Manager.

Remember, the driver for completing a Design rating is to submit all the design-related documentation and get feedback on the management processes and plans for the construction phase. If the design submission is made too early, there will still be gaps in the design documentation that need to be closed out during As Built. If the submission is made too late, and construction is already in full swing, then the opportunity to get feedback on construction documents and implement corrections will be lost.

In some cases, finding this right time is a challenge. When deciding on the best time to make the submission, consider the following:

- Are you able to meet all the credit requirements?
- Have you allowed time for internal review?
- How far off from construction are you?
- Do you plan to turn around the Round 2 submission quickly?
- Are there any key project milestones that might correlate with the certification event?

Planning is the key!

As Built

The timing for making an As Built submission is more challenging. It is always best to seek advice from a Case Manager when finalising the As Built submission timing. In an ideal world, the Round 1 submission should be made before practical completion (PC), once all the impact causing work is finished and the evidence for all credits can be produced. The Round 1 feedback can then be received before the majority of staff have moved off the project and certification can be achieved shortly after practical completion.

In reality, this ideal scenario isn't always practical and in some cases, PC cannot be awarded until a contractual obligation to achieve their Certified rating has been achieved.

The overall works schedule will have the most significant influence on when the As Built submission can be put in. It is important that evidence can be presented which shows how all the credits have been addressed. This will include final monitoring data for the discharge credits, Was-2, Lan-2 and Lan-3 and the using resources credits. It will also include evidence of how the various initiatives have been implemented into the built infrastructure.

It is important that the Assessor thinks about the timing of the As Built submission early. It is also important, that where support is going to be needed from project personnel following PC, they are informed and are prepared to assist.

Technical Clarifications and Credit Interpretation Requests

TCs and CIRs are a very important part of the IS rating process, as they allow rulings to be generated which means that the Verifiers can minimise the level of discretion they need to apply, and also means that the issues are resolved for industry, rather than just for one project.

So, when is the right time to submit a TC or CIR?

- **TCs** should be used to clarify aspects of the additional guidance or make minor adjustments to the additional guidance to assist the credit to suit different circumstances (e.g. when groundwater may be deemed as potable or not potable.). They are also commonly used to approve alternative guidelines, State specific requirements, clarification of terms or definitions, or special circumstance rulings (e.g. small project guidance)
- **CIRs** should be used to adjust aspects of the credit criteria or make significant changes to the scope/application of the credit (e.g. adjust the benchmark structure for Urb-1 to make it more applicable for rural projects) which are consistent with the credit aim. CIRs are most commonly used where an approach meets the intent of the credit but doesn't

align with criteria or where all criteria don't apply and an alternative approach should be considered. A good example is when the option for an audit as an alternative to community surveys was introduced in the Sta-3 and Sta-4 credits.

Note that when CIRs are being submitted, supporting information is usually required. This is particularly relevant for some of the more technical credits e.g. Dis-5 Light spill. Generally, it is a good idea to seek technical advice from your Case Manager before submitting a CIR to make sure the proposed approach can be endorsed, and then seek confirmation from that specialist in writing. This confirmation should be submitted with the CIR form (usually as an attachment) to ISCA.

The TC/CIR process can be lengthy, so it is important to make sure the forms are submitted with plenty of time to get it resolved before verification.

Rulings result from TCs/CIRs. If the outcome of TC/CIR is project-specific, then it only applies to that project. However, if the outcome is applicable to the whole industry, then it becomes a New Ruling and Assessors will be notified through our What's On newsletters.

Recently there have been trends emerging in rating submissions:

- Non-consideration of IS Rulings, or not reviewing these regularly to see if there are new Rulings which might influence your project
- Not flagging the need or identifying the potential for TCs/CIRs with the Case Manager throughout the Assessment phase, rather they are taking their chances through verification and hoping that the Verifiers will accept their reasoning.

Corrections

From time to time, ISCA makes corrections to the Technical Manual which have originated from processes other than the TC/CIR process. Corrections are Mandatory when they have been released prior to the registration date of your project and optional if the registration date is after the date in which they were posted.

For example, a project which Registered on 23 May 2017 then the following correction is applicable, but optional for projects registered before that date:

"Updated in May 2017 Technical Manual. Requirements for monitoring during operations were removed from the Waste, Community Health and Well-being, Heritage, and Stakeholder Participation categories."

It is recommended that all projects review the Corrections (denoted by a **C**) in the IS-Rulings table regularly throughout the self-assessment period. Assessors may also wish to download an updated Technical Manual annually to capture these corrections.

Scorecard Updates

From time to time, ISCA releases an update to the current version of the scorecard for the ratings version which is associated with your project (i.e. V1.2 Design and As-Built). It would be worth considering whether you move to the latest release of the tool, depending on where you are in the completion of the rating and the effort required to transition and to discuss this with your ISCA Case Manager.

V2.0

Projects which are currently registered for V1.2 of the scheme will not automatically be allowed to transition to V2.0 of the tool. Should your project wish to consider transition to the new tool, it is recommended that you discuss this with the Case Manager as soon as possible following its release.

SharePoint

SharePoint is a cloud-based platform that's used by ISCA to manage the documentation submitted for verification. SharePoint allows ISCA to establish separate rating sites for different project/assets and set different permission levels for different users.

For example, Verifier permissions are set so they are able to view the project documentation without being able to download it.

The Case Manager will set up the rating site soon after registration and will send an invitation to the Assessor to join the site. The Assessor needs to advice the Case Manager in writing if invitations should be sent to other members of the project team.

As a minimum, this site must be used to submit documentation to ISCA for review and for formal submission of the Weightings Assessment, Base Case and self-assessment for verification. SharePoint can be accessed using Microsoft emails (including work emails if the organisation uses Office 365). If an individual does not have a Microsoft email, personal or work, they will need to set one up to access the site.

The site can also be used by the Assessor to store documentation throughout the rating phase. The Case Manager will not review anything or send anything for verification until notified by the Assessor.

Acceptable file formats for verifier review: PDF, Word, Excel, PNG, BMP, JPEG.

Some things to note in uploading your files on SharePoint:

1. If you propose a different file format submission or different pro-forma (other than scorecard) , please speak with your Case Manager.
2. Avoid long file names for your files because sometimes these cannot be opened or downloaded properly.
3. Email (Outlook) files should be in PDF format to ensure readability.
4. Documents related to a given credit may be appended together in one pdf file as long as pin point referencing in your credit summary forms are clear.
5. Keep your file size at maximum 50MB if possible.
6. Be concise in your credit summary forms. CSFs in MS Word file should be no more than 10 pages.
7.

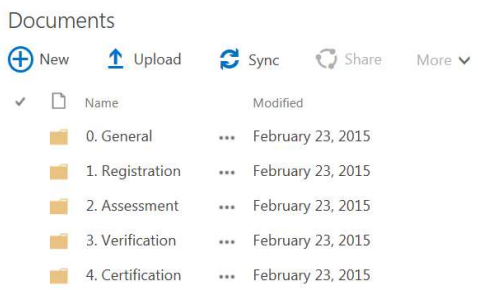


Figure 1: JXXX Project Name (Project Phase) - example of documentation folder structure

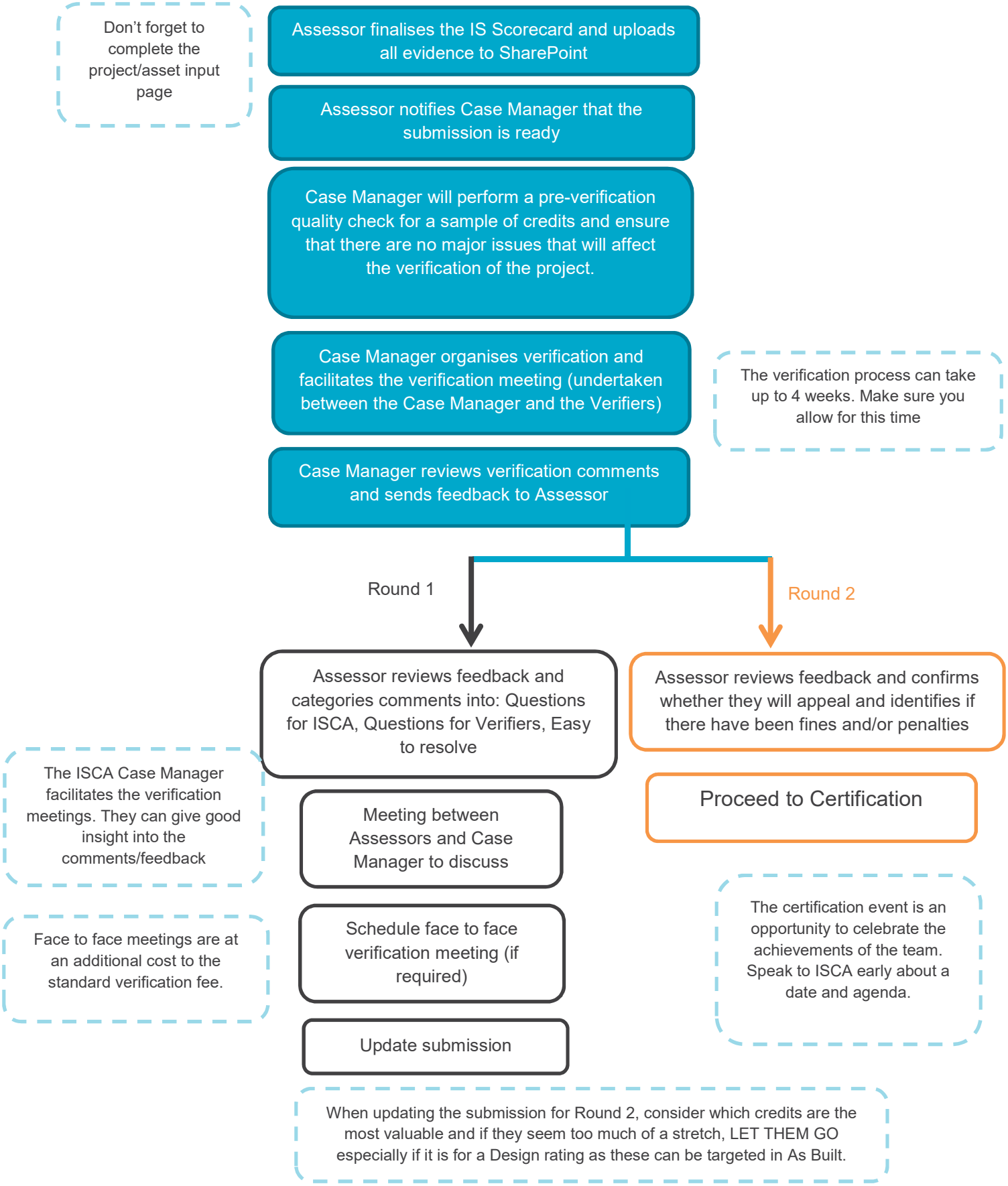
Things to remember

- The Verifiers have limited time to complete their verification. If the credit summaries are not completed well, with pin point referencing to the various evidence they will not dig or search for information to meet the criteria
- You should notify your Case Manager in advance when you will be submitting for verification. They will then be able to let the Verifiers know when they should expect the verification and when the feedback will be expected.
- Your Case Manager can complete a pre-verification review. This is best delivered through a meeting where the assessor talks through some challenging credits and the Case Manager provides feedback.
- Keep a log of your credit queries and use your time with your Case Manager to go through each query and identify whether a TC/CIR is required. Do this throughout the assessment process so there is time to prepare and submit any TC/CIRs. This process is taken through ISCA's Technical Ratings Committee (a sub-committee of ISCA's Board), which normally meets monthly. Where complex or very technical aspects are involved the timescales may be increased as ISCA will need to seek the opinion of their subject matter experts. Your Case Manager will inform you if this is required.
- It's a good idea to get a third-party sustainability professional to review the submission before it is sent to ISCA for review. This will help to pick up any high-level issues and make sure credit summaries in the IS Scorecard are concise and clear.
- Ensure viewing rights to evidence is provided (e.g. unlock pdf's).
- Evidence documents should be stored in the evidence folder under sub-folders as set out. Use appropriate file naming convention, use _ (underscores) for spaces and avoid periods (.) *e.g. Man-1a_Sustainability_Mgmt_Plan_[Sec3_p10].pdf*.

Case Managers will undertake random quality checks of credit submissions and associated evidence prior to organising verification. Where submissions do not meet the quality criteria in this submission guidelines, they will be referred back to the Assessor to update.

ROUND 1 AND ROUND 2

The verification process includes two rounds of review before a final score is confirmed:



Round 1 feedback

Round 1 feedback is provided by the Case Manager to the Assessor within the verifier feedback section of the scorecard.

> The Case Manager can help to explain the verifier feedback.

The feedback is in writing and should clearly outline the Verifiers query and what they would like to see as part of the Round 2 submission. The quality of feedback is dependent on the quality of the submission. If a credit summary is detailed and clearly explains the evidence provided and how it meets the credit criteria, this enables the feedback provided to be clear in outlining what additional information is needed. If a credit summary is vague and does not directly address credit criteria, it is not feasible to expect feedback which outlines exactly what needs to be demonstrated to achieve the credit requirements.

The Round 1 verification process can take up to 4 weeks. The Case Manager can confirm the exact timing once the submission has been uploaded to SharePoint.

Updating the self-assessment

The Round 2 submission is the final opportunity to address the Verifiers queries and secure a verified outcome that's as close to the self-assessed score as possible.

Note: Additional information cannot be provided in the Round 2 submission unless requested by the Verifiers. The self-assessed score cannot be changed between Round 1 or Round 2 unless the self-assessed level is being decreased. This means that the revised levels cannot be higher than the original self-assessed level. If it is very likely that a higher level (say Level 2) can be claimed; however, you are not ready with all the evidence required by the time you submit for Round 1, Assessors are encouraged to aim and submit against Level 2 requirements. The additional evidence to address the Verifiers' comments can be provided during Round 2.

Ideally, the Round 2 submission should be submitted to ISCA approximately 6 weeks following the receipt of the Round 1 feedback. The Scorecard needs to be updated with the self-assessed score for Round 2 and reference any additional evidence that has been included.

Additional evidence can be provided as long as it is related to a question or query raised by the verifier in the first round. Evidence labelling should continue and must be stated in the credit summary forms.

CERTIFICATION EVENTS

Certification events are an opportunity for the project team to celebrate the sustainability achievements and showcase their leadership through an industry event.

ISCA will organise and facilitate the certification event in collaboration with the project team and are flexible with the event model and format.

A common structure for these events is:

Event Host: registrant or project sponsor

Event location: project site office or corporate office

Time: breakfast event or afternoon/evening event

Format:

1. Welcome – Project Director / Senior Representative
2. Certification Award – ISCA CEO or General Manager
3. Sustainability Presentation (highlighting achievements) – Sustainability Manager or other
4. Guest speaker – key rating contributor (e.g. key stakeholder, technical expert)
5. Networking

Case study and project fact sheets should be prepared to support the certification and any media that might be released following the event.

There are several case study templates on the ISAP resources page on the ISCA website. A project highlights sheet is included in **Appendix D**.

TRAINING

ISCA provides a number of training offerings to support project teams pursing a certified IS rating. These range from scheduled external workshops to in-house sessions which enable engagement from the whole team. Each training offering is tailored to engage different members from the project team so that they are aware of their sustainability requirements in order to drive best outcomes. Visit the website for more details: http://www.isca.org.au/training

Introduction to Infrastructure Sustainability

This 2-hour interactive session offers an introduction to the benefits of infrastructure sustainability and the tools used to drive improved outcomes through the design, construction and operation of projects/ assets using the IS rating scheme.

Members from the project team who have specific requirements to contribute towards the delivery of an IS rating should participate in this session so that they gain an improved understanding of the IS rating scheme and the benefits associated with its correct implementation.

IS Training for Professionals (IST4P): Design and As Built

This is a two-day intensive session that provides participants with the understanding to implement the IS rating scheme to achieve an IS Certified Design & As Built rating. By successfully completing this course, participants achieve accreditation as an IS Accredited Professional (ISAP) and be recognised as an experienced IS rating scheme professional.

Sustainability professionals who are tasked with delivering the IS rating scheme on projects must have participated in this training and maintain a current ISAP status. This is a requirement under the Management and Governance theme.

IS Training for Professionals: Operations

This course is completed as two webinars for participants who have successfully completed IS Training for Professionals: Design & As Built. The training provides participants with the knowledge to benchmark sustainability performance through achieving a Certified IS Operations rating and drive continuous improvement into the future.

Sustainability professionals who are implementing the IS Rating scheme for Operations should complete this course. The differences between Design & As Built and the Operations rating scheme will be discussed in detail to ensure the scheme can be implemented with the best results.

IS Training for Project Managers

This course provides guidance to senior managers to enable them to implement best practice to achieve sustainability goals and objectives and lead a culture which actively supports teams to deliver an IS rating.

The target audience are Project Managers on projects that are required to achieve an IS rating. The course will ensure that the leaders understand that good sustainability outcomes are formed through decision making processes and leadership from senior managers, and it is their responsibility to drive sustainability.

IS Training for Suppliers:

This course is under development. Visit the website for updates.

Appendix A: KICK-OFF WORKSHOP AGENDA (SAMPLE)

IS Rating Tool: Kick off Workshop

Project:
Date:
Location:

Attending:

Name	Title	Organisation	Email address
	Case Manager	ISCA	
	Sustainability Manager		
	Project Officer - Sustainability		
	Project Director		
	Construction Manager		
	Environmental Coordinator		
	Network Operations & Quality Manager		
	Area Manager		
	Commercial Manager		
	Project Accountant		
	Design Lead		
	Stakeholder Relationships Manager		
	Management Systems & Quality Coordinator		
	Drainage Designer		

AGENDA

This workshop has been split into two key sections. Item 1-5 aim to provide background information on the IS rating tool and raise awareness of sustainability on the project more generally. These sessions should be attended by all key members of the project team.

Items 6-10 are working sessions which will be focussed on specific areas of the rating tool. Only the relevant people for each session should attend. It is expected that people will come in and out through the second part of the workshop.

Item No	Description	Who	Time
1	**Welcome, Introductions, Objectives and context**		9.00
2	**IS Rating tool** IS rating scheme IS rating process		9.10
3	**Project boundaries / Schedule / Roles / Governance** Confirm project boundaries for rating purposes Key dates for project and rating process IS Management Plan		9.30
4	**Where are we to date**		9.40
	Break		10.00
5	**Design Session** Using Resources: Baseline, Energy and Carbon, Water, Materials Urban and Landscape Design Safety in Design Innovation		10.20
6	**Procurement Session** Procurement approaches		11.20
7	**Stakeholder and Community Session** Stakeholder strategy Stakeholder participation Community health and wellbeing Community safety perception		11.40
8	**Construction Session** Emissions, pollution and waste Ecology Heritage		12.00
9	**Meeting Close**		1.00

Appendix B: BASE CASE PROPOSAL FORM (SAMPLE)

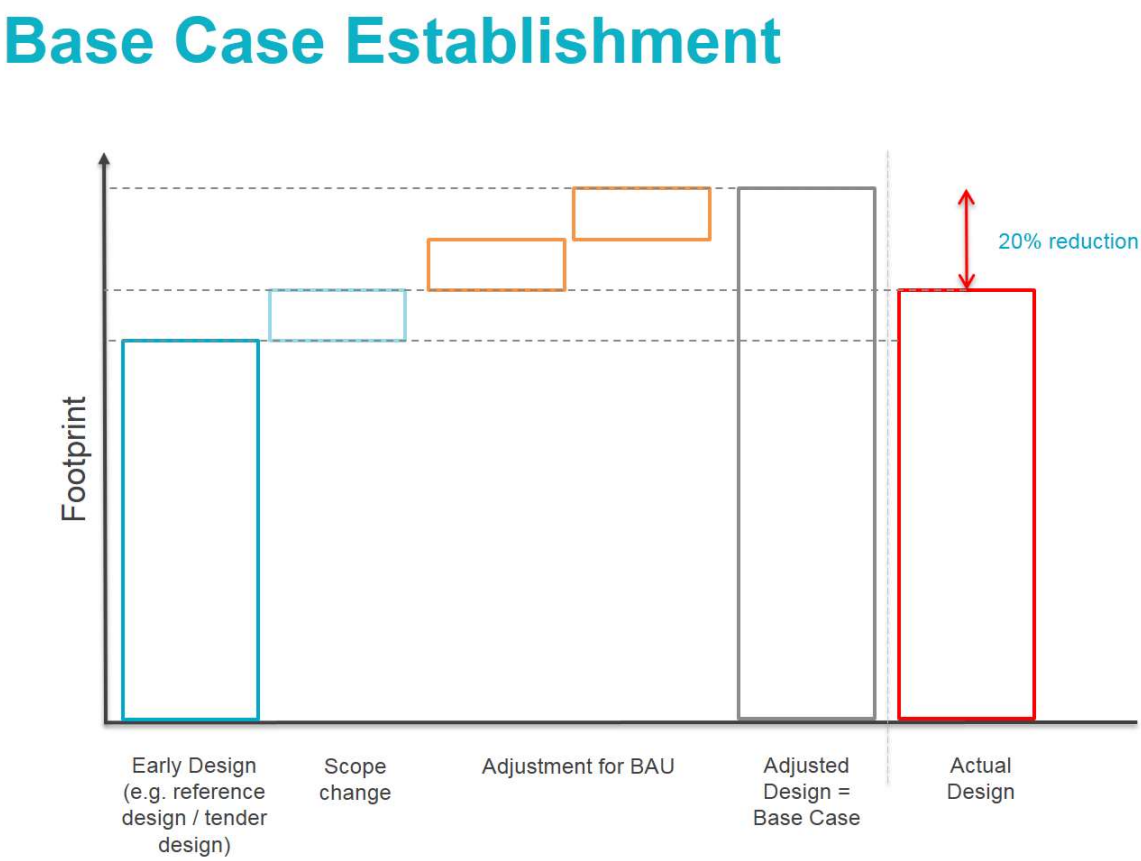
Background	This form is required to be used to propose a suitable Base Case which can be used for the purposes of relevant credits in the Energy & Carbon, Water and Materials categories, and should be used in conjunction with the Base Case Establishment Procedure. Please fill out this form as completely as possible. Text in the light blue boxes is for explanation only and can be typed over. Use as much space as needed. Refer to and provide attachments as necessary.		
General Project/Asset Information			
Rating Number		**Project/Asset Name**	
Project/Asset Description	What the project/asset is about, where it is located, what is the scope and boundaries?		
Base Case Information			
Specific Name of the Base Case	e.g. Project X tender design package xxx-yyy		
Date of the Base Case			
Designer	Who developed the Base Case?		
Purpose of the Base Case	i.e. What was this design developed for? What function does it serve in the project/asset development process? Where in the overall development process was the design developed?		
Base Case Function (Product or Service provided)	What is the specific function provided by the project/asset described in the Base Case (e.g. treating x ML of water to potable standard for supply into the local towns water network)?		
Base Case Life	What is the overall design life (e.g. life of the shortest lived non-consumable or non-maintenance component)?		
Base Case Description	Provide suitable brief information to describe the Base Case (e.g. Design Report, drawings).		
Base Case Qualities – Please explain how the Base Case demonstrates each of the following qualities:			
Applies Business As Usual Technologies	BAU technologies should be recent, used for similar purposes and in similar locations. What assumptions have been made?		
Transparency	Is the design accepted by key stakeholders? Was it developed independently of those delivering the project/asset (designing and constructing)?		
Matching Scope	Does the scope of the Base Case match the scope of the IS rating? Are there any boundary differences and if so, how materially significant are they? How will they be addressed?		

Accuracy and Detail	How does the Base Case provide suitable detail to allow robust estimation of appropriate Reference Footprints? How will any gaps be addressed? Explain how the Base Case information covers the full infrastructure lifecycle (construction and operation).
Alternatives	What alternative designs were considered for adoption as the Base Case and why were these not chosen? Relate this back to the Base Case qualities above. Alternative 1 Alternative 2 etc
Credits for which the Base Case is intended to be used	Check all that are targeted: ☐Ene-1 (Level 2 or 3) ☐Wat-1 (Level 2 or 3) ☐Wat-3 (Level 1 or 2) ☐Mat-1 (Level 2 or 3)
Base Case Footprint Calculation – Please explain how the Base Case Footprint(s) will be calculated from the Base Case including any BAU assumptions	
Energy and Carbon	
Water	
Materials	
Assessor	**Proposal Date**

ISCA Case Manager		**Date**	
Case Manager Comments			

IS Verifier(s)		**Verifier recommendation**	Suitable / Not suitable / Further information required (see comments)
Verifier(s) Comments			
Date Verified			

Appendix C: Base Case diagram



Appendix D: PROJECT HIGHLIGHT SHEET

Background	This form is required to be used to certify an IS rating after it has gone through the full assessment and verification process and should be used in conjunction with the Certification Procedure.

Project/Asset Details

Project/Asset Name		**Project Number**	
Description			
Proponent		**Start Date**	
Design, Construction and Operation		**Design Completion**	
Location		**Practical Completion**	
Capital Value		**Current Status**	
Infrastructure Type		**Rating Type**	

Rating Process Details

Assessor		**Verifier 1**	
Case Manager		**Verifier 2**	
Registered		**Target Rating Level**	
Kick-off Workshop			
Assessment Submitted		**Assessed Score**	
Fines and Penalties			
Verification 1st Round (date)		**Verified Score (Round 1)**	
Verification Final (date)		**Final Verified Score**	
Verifiers' Recommendation		**Recommended Rating Level**	
Verifiers' Comments			

Rating Highlights

Category	Score	Credits	Achievements

Areas for Improvement

Category	Score	Credits	Issues
Case Manager Comments			
Supporting Information			

Appendix E: Pin point referencing in Credit Summary Form (sample)

Background	This form may be used to describe the response to credit criteria. This can assist verifiers with reviewing assessments. One form should be used for each credit. Please fill out this form as completely as possible. Text in the light blue boxes is for explanation only and can be typed over. Use as much space as needed. Refer to evidence as necessary.				
General Project/Asset Information					
Rating Number	xxx	**Project/Asset Name**	xxx		
Credit Information					
Credit Reference and Title	Man-3 Organisational Structure, and Roles and Responsibilities				
Benchmark level claimed	<sample only> 2				
Rulings					
Have you used a ruling to address this credit?	Yes or No	**Ruling Type**	-	**Ruling Number**	-
Ruling description	-				
Additional comments (as required)	-				
Criteria Information (repeat for each level and each criteria)					
Level	**1**				
Criterion	A member(s) of the senior management team has central responsibility for managing sustainability. AND A principal participant in the team is an IS Accredited Professional whose role is to provide sustainability advice.				
How was the criterion met?	<Project> is led by <Organisation>. The <Organisation> is primarily responsible for providing corporate governance and leadership to the <Organisation> and ensuring the, Organisation> delivers the performance and value expected. The <Organisation> comprises the General Manager and individuals drawn from the Participants reporting directly to the General Manager. The primary functions of the <Organisation> are to: • Provide day-to-day leadership to the Wider Project Team; • Develop Key Result Area (KRA) reports; • Resolve day-to-day issues prior to presentation; • Ensure delivery of the Works to achieve the Program Objectives and Targets; and • Be accountable to the General Manager. (Refer to evidence – Man-3a – Governance Plan [Section 3.3, p11-12]). <Name> is the Stakeholder Interface Manager for the project. In addition, he was the Environment and Sustainability representative on the <Organisation> and the Sustainability KRA Champion for the <Organisation>. As per the <Organisation's> Sustainability Management Plan, the Sustainability KRA Champion works in				

	conjunction with the Program Sustainability and Environmental Manager (PSEM) to communicate sustainability issues and opportunities at weekly meetings, and support the broader project teams to meet the sustainability objectives (refer to evidence Man-3b – Organisational Chart and Man-1c - Sustainability Management Plan Section x.x.x, Table y, page z. Accountability for sustainability outcomes at all levels is formally recorded in the Roles and Responsibilities Matrix using the RASCI (Responsible, Accountable, Supports, Consulted, Informed) framework (refer to Man-3d – Roles and Responsibilities Matrix Extract). <Name>, the <Organisation> Program Sustainability and Environmental Manager (PSEM), led and managed a team of sustainability and environmental professionals on the project. The team is responsible for managing environmental compliance and the IS and Green Star accreditations. The PSEM reports directly to <Name>, (refer to Man-3b – Organisational Chart). During the life of the project, the following were IS Accredited Professionals (ISAP): • <Name> | Program Sustainability and Environment Manager • <Name> | Sustainability Manager; • <Name> | Sustainability and Environment Advisor; and • <Name> | Environment Advisor. (Refer to evidence – Man-3e – ISAP Certificates). <Name>, as the Sustainability Manager, is responsible for managing the delivery of sustainability requirements for projects. <Name> has over 15 years' experience in consulting and advising on infrastructure sustainability, strategy, and risk management. <Name> role includes managing the IS accreditation process and liaising with stakeholders, ISCA, and project team members to meet objectives within the IS rating scheme (refer to evidence Man-3c Sustainability Management Plan Table x, page y).
Evidence	Man-3a – Governance Plan Man-3b – Organisational Chart Man-1c – Sustainability Management Plan Section x.x.x Man-3d – Roles and Responsibilities Matrix Extract Man-3e – ISAP Certificates
Level	**2**
Criterion	The requirements for Level 1 are achieved. AND An independent sustainability professional is engaged to monitor and review sustainability performance.
How was the criterion met?	<Project> engaged two independent sustainability professionals to review sustainability performance on the project. These were: • <Name> | <Position; Company>; and • <Name> | <Position; Company> <Name> and <Name> are independent to the <Organisation> as they do not work directly on the project, nor has any responsibilities for the project. <Name> has extensive experience in sustainability and construction across Australia, and has coordinated, prepared and reviewed multiple IS submissions for the company. (refer to evidence Man-3g - Curriculum Vitae) <Name> is also a qualified Integrated Management System Lead Auditor and as such, has a comprehensive understanding of ISO 19011 Guidelines for Auditing Management Systems (refer to evidence Man-3h – Lead Auditor Certificate). As per these guidelines <Name> is required to act independently (refer to evidence Man-3i - ISO 19011-2014 [Section x, px and Section y, py]). <Name> meets the years, area

	of focus and sustainability experience requirements for this criterion (refer to evidence Man-3g). The independent sustainability audit was undertaken on <date> and covered both design and construction as they relate to sustainability (refer to evidence Man-3j – Independent Sustainability Audit xx dd-mm-yy). An opportunity for improvement identified in the audit was to increase knowledge sharing activities from within the project to the broader industry. Examples of these are provided in Man-6. A second independent review with <Name> was held in <date> and further detail will be provided in the IS As Built submission.		
Evidence	Man-3g – Curriculum Vitae Man-3h – Lead Auditor Certificate Man-3i - ISO 19011-2014 [Section x, px and Section y, py] Man-3j –Independent Sustainability Audit xx dd-mm-yy		
Assessor	<Name>	**Date**	<date>