



P49

SUSTAINABILITY RATING SCHEME APPLICATION DURING TENDER AND DELIVERY OF CAPITAL WORKS PROJECTS

WAKA KOTAHI SUSTAINABILITY RATING TEAM, PROGRAMME &
STANDARDS

1 APRIL 2022

V_2

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1.1.3 More information

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1. PURPOSE AND SCOPE

1.1. Purpose

This specification outlines the requirements for implementation of the Waka Kotahi Sustainability Rating Tool Policy (the Policy). This specification applies to all capital works projects required to gain an Infrastructure Sustainability (IS) Rating through the Infrastructure Sustainability Council (ISC).

1.2. Waka Kotahi Sustainability Drivers and Outcomes

Projects must demonstrate alignment to the sustainability drivers and outcome areas for Waka Kotahi. These include the following documents (as amended and updated):

- Toitū te Taiao (Our Sustainability Action Plan)
- Resource Efficiency Policy
- Climate Change Policy and Emissions Reduction Plan
- Broader Outcomes Strategy
- Te Ara Kotahi (Our Maori Strategy)

1.3. Definitions

For the purposes of this specification, defined terms are as follows. Any defined term not specified shall have the meaning set out in the IS Technical Manual:

- IS Accredited Professional* or *ISAP* is a recognised industry specialist who has completed the IS Training for Professionals and has maintained their accreditation to apply the IS Rating Scheme on registered projects and assets.
- Infrastructure Sustainability Rating Scheme* or *IS Rating Scheme* includes the IS Rating tool, the rating process, and the ISC education and training programme as described in IS Technical Manual. Rated projects are assessed against their performance across themes and categories, and total credits are achieved at certain distinct phases in the Project or asset lifecycle including the Planning, and Design and Construction, phases.
- IS Technical Manual* means the applicable IS Technical Manual selected for the project, being *IS v1.2*, *IS v2.1* or any subsequent versions.
- IS v1.2* means the IS version 1.2 Technical Manual (as amended from time to time).
- IS v2.1* means the IS version 2.1 (Design & As-Built) Technical Manual (as amended from time to time).
- Rating Scheme Certification* refers to an Infrastructure Sustainability Council IS Rating Scheme Certification.
- Principal* means Waka Kotahi, and for the purposes of this specification is the Waka Kotahi Project Manager, in association with the Waka Kotahi Sustainability Rating Scheme representative
- Sustainability Management Plan* or *IS Management Plan* is defined in section DL 1.2 of IS v2.1.
- Weightings Assessment* means the process to identify the most important (material) sustainability issues for the project, and in particular results in adjustments to weightings within the IS Rating tool to tailor and focus the tool to the specific project/asset stakeholders and context.

2. TENDER PHASE REQUIREMENTS

Where the project is subject to a tender process, the Supplier shall:

- a) Specify the applicable IS rating version.
- b) Identify an overall sustainability rating award level.
- c) Where IS v1.2 is used, assess the opportunity to substitute or trial (pilot) v2.1 credits or categories and provide a recommendation (refer IS v1.2 Innovation Credit Guideline and Innovation Challenge Appendix).
- d) Complete a preliminary IS Weightings Assessment for the project. Where a preliminary Weightings Assessment has been provided, review and update the assessment.
- e) Identify preliminary target levels for each credit being pursued.
- f) Prepare a preliminary Sustainability Management Plan.
- g) Identify the Sustainability Lead Assessor who will lead the IS Rating, including their relevant sustainability qualifications and experience to provide sustainability leadership and advice to guide the achievement of the IS rating certification.
- h) List other supplier project personnel as nominated sustainability practitioners including ISAPs.

3. DELIVERY PHASE REQUIREMENTS

3.1. Key Roles and Responsibilities

The Supplier shall assign personnel for the duration of the Contract to act as:

- a) A Sustainability Lead “Assessor” with qualifications and experience commensurate with the scale, nature and complexity of the project to provide sustainability leadership and advice, to guide the achievement of the IS rating, and to be the point of contact with ISC and the Principal.
- b) An ISAP to implement the IS Rating Scheme, including the coordination, development and assessment of evidence, and preparation of submissions for certification.

At least one member of the Supplier’s senior management team responsible for delivery shall be responsible for, and accountable for, achieving the necessary IS rating certification. The Supplier shall also ensure that other key roles (e.g. credit owners, risk manager, design/construction manager, procurement lead) have responsibility for, and are accountable for, achieving the necessary IS rating certification as part of their substantive roles.

3.2. IS Rating Scheme Implementation

The Supplier shall implement the IS Rating Scheme in general accordance with the applicable IS Technical Manual, the related ISC tools, guidance and templates and the approved Sustainability Management Plan.

The Supplier shall:

- a) Liaise with the Principal and ISC Case Manager throughout all key steps including kick-off meeting preparation, Weightings Assessment; and the Sustainability Management Plan development.
- b) Register the project with the ISC within two months of Contract award (or such later date as agreed with the Principal).

- c) Pay any relevant fees or costs to the ISC rating scheme organisation, including registration, support and verification.
- d) Act as the primary agent to manage the rating and relationship with the ISC Rating Scheme organisation, including liaison with the ISC Case Manager as required to confirm submission details and approach, and any day-to-day administration of the IS Rating Scheme.
- e) Obtain ISC verification of the Weightings Assessment and undertake credit self-assessment early in the project delivery to optimise the benefit of the application of the IS Rating Scheme.
- f) Submit a final Sustainability Management Plan to the Principal for review within three months of Contract award (or such longer period as agreed with the Principal).
- g) Lead and co-ordinate the submission to ISC and the verification process.
- h) Throughout the project liaise regularly, and at a minimum quarterly, with the Principal to update the team on progress in achieving the required sustainability rating.
- i) Keep the Sustainability Management Plan up to date and undertake, at a minimum, annual reviews of the Sustainability Management Plan.
- j) Upon practical completion of the Contract Works, provide formal documentation to the Principal that the ISC Rating Scheme Certification has been achieved to the required level.
- k) Achieve the minimum credit requirements stated in Appendix A.

3.3. IS Rating Scheme Implementation - Design Phase

The Supplier shall:

- a) Provide the Principal with a copy of the verified Energy/Carbon, Water and Materials footprints (Base Case) that is supplied to ISC.
- b) Achieve an IS 'Design' rating score for the design of the Contract Works (including the Temporary Works) within six months of submission of the Detailed Design.

3.4. IS Rating Scheme Implementation - As Built (Construction Phase)

The Supplier shall:

- a) If not already registered for an As-Built rating, register the project with ISC within two months of Contract award (or such later date as agreed with the Principal).
- b) Within three months of commencement of construction, provide the Principal with an updated Sustainability Management Plan and updated self-assessment for the IS As-built rating.
- c) Submit the first-round assessment for the IS 'As-Built' rating for the Contract Works (including the Temporary Works) to ISC within two month of Practical Completion of the Contract Works or such longer period as agreed with the Principal).

4. REPORTING AND DOCUMENTATION

4.1. Quarterly Reporting

The Supplier shall prepare and submit a quarterly report to the Principal that summarises progress towards implementation of the IS Sustainability Rating Scheme including credit target levels. The report shall include key achievements, opportunities, risks and challenges. A template can be obtained by emailing a request through to sustainability@nzta.govt.nz.

4.2. Resource and Materials Use

To support Waka Kotahi's sustainability monitoring and reporting, the Supplier shall document resources and materials used for the duration of the Contract Works. Data shall be collected on a monthly basis, and be reported to the Principal quarterly. This data shall be reported in accordance with the Waka Kotahi P48 Specification (Resource Efficiency).

4.3. Annual Reporting

The Supplier shall prepare an annual report summarising the previous 12 months progress towards implementation of the IS Sustainability Rating Scheme and the results of any relevant management reviews (completed in accordance with the v1.2 Man-5 or v2.1Lea-1 credit). The report shall include key achievements to date; and identify key opportunities, risks and focus areas for the next 12 months. The annual report shall be presented in a knowledge sharing session with Waka Kotahi. The annual report shall be submitted via email to the Principal.

4.4. Documentation

The Supplier shall:

- a) Upon request, provide the Principal access to, or copies of, any documentation or submissions prepared for the IS Rating Scheme Certification process, including Technical Clarifications and Credit Interpretation Requests.
- b) Provide the Principal formal documentation that the final rating has been achieved to the required level and a copy of the final submission.
- c) Prepare at least one case study for each rating type (e.g. one for Design and one for As-built) of a sustainability initiative achieved on the project that can be published on the Waka Kotahi Sustainability Rating Scheme website.

APPENDIX A: MINIMUM CREDIT REQUIREMENTS

IS VERSION 1.2

The Supplier shall achieve the mandatory credits and minimum credit levels outlined in Table 1, unless otherwise scoped out (excluded) or a change is approved by the Principal.

Adjustments to the minimum credit requirements in Table 1 (e.g. from credit substitutions (pilot)) of later versions of the IS scheme must be approved by the Principal.

Table 1 Required Minimum Credits for V1.2 rating

Credit	Description	Required Level for Commended rating	Required level for Excellent rating
Man-1	Sustainability Leadership	Level 1	Level 2
Man-2	Risk & Opportunity Management	Level 1	Level 2
Man-4	Inspection & Auditing	N/A	Level 1
Man-5	Reporting and Review	Level 1	Level 1
Man-7	Decision Making	Level 1	Level 1
Pro-1	Sustainable Procurement	Level 1	Level 2
Pro-2	Identification of Suppliers	Level 1	Level 2
Pro-3*	Supplier Evaluation	Level 1	Level 2
Cli-1	Climate Change Risk Assessment	Level 1	Level 2
Cli-2	Climate Adaptation Measures	Level 1	Level 1
Ene-1	Energy and Carbon Monitoring and Reduction	Level 1	Level 1 plus 10% reduction
Wat-1	Water Use Monitoring and Reduction	Level 1	Level 1
Mat-1	Materials Life Cycle Impact Measurement	Level 1	Level 1 plus 10% reduction
Dis-1	Receiving Water Quality	Level 1	Level 1
Eco-1	Ecological Value	Level 1	Level 1
Sta-1	Stakeholder Engagement	Level 1	Level 1

Was-1	Waste Management	Level 1	Level 1
Was-2	Diversion from landfill	N/A	Level 1
Hea-1	Community Health and Wellbeing	Level 1	Level 1
Her-1	Heritage Assessment and Management	Level 1	Level 1
Her-2*	Monitoring of Heritage*	Level 1	Level 2
Urb-1	Urban Design	Level 1	Level 2
Urb-2	Implementation	Level 2	Level 2

**Note – these credits are not applicable during the Design Rating.*

IS VERSION 2.1

For projects seeking a V2.1 Certification, no mandatory credits are currently specified. Credit selection and credit target levels must align with Waka Kotahi sustainability drivers and outcomes and shall be outlined in the relevant Sustainability Management Plan.