



SESSION 3

GUIDING PRINCIPLES COMPLIANCE PROGRAM OVERVIEW

PRESENTED BY MICAH THOMAS

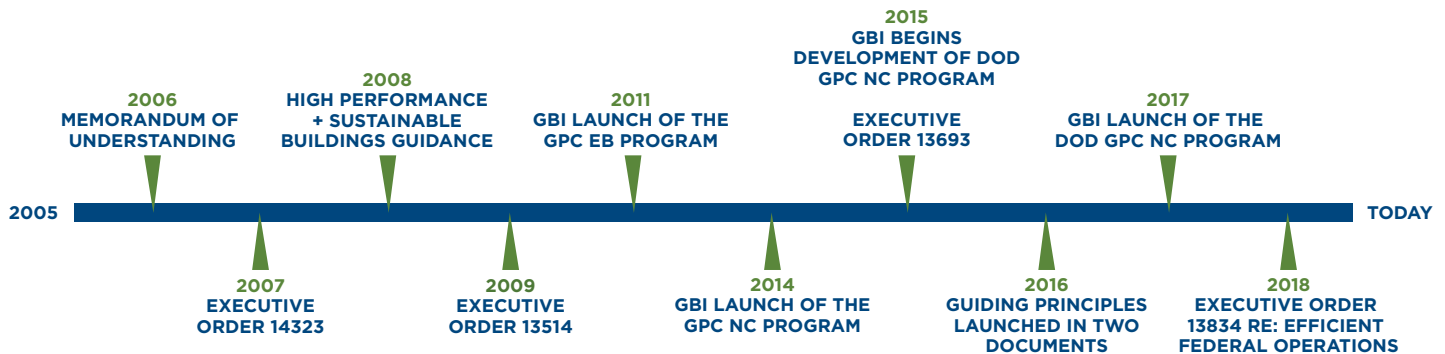
LEARNING OBJECTIVES:

- Recall the background on the Federal Government's Guiding Principles
- Explain what a GPCP is and the benefits to becoming one
- Identify the components of a Guiding Principles Compliance assessment
- Describe the eligibility requirements
- Summarize the benefits of a Guiding Principles Compliance assessment

LESSON 1: GUIDING PRINCIPLES COMPLIANCE BACKGROUND

The Guiding Principles are a set of established requirements for Federal agencies for the design, construction, modernization, and operation of new and existing sustainable Federal buildings.

TIMELINE OF THE GUIDING PRINCIPLES



2006: MEMORANDUM OF UNDERSTANDING (MOU)

BACKGROUND AND FEDERAL POLICY

The Federal government owns approximately 445,000 buildings with total floor space of over 3.0 billion square feet, in addition to leasing an additional 57,000 buildings comprising 374 million square feet of floor space. These structures and their sites affect our natural environment, our economy and the productivity and health of the workers and visitors that use these buildings. Therefore, the Federal government is committed to designing, locating, constructing, maintaining and operating its facilities in an energy efficient and sustainable manner that strives to achieve a balance that will realize high standards of living, wider sharing of life's amenities, maximum attainable reuse and recycling of depletable resources, in an economically viable manner, consistent with Department and Agency missions. In doing so and where appropriate, we encourage the use of life cycle concepts, consensus-based standards and performance measurement and verification methods that utilize good science and lead to sustainable buildings.

ORIGINS AND GOALS OF THE MOU

The origins of the 'Guiding Principles' began in 2006, when signatories from nineteen federal agencies signed an MOU, "Federal Leadership in High Performance and Sustainable Buildings Memorandum of Understanding", committing to federal leadership in High-Performance and Sustainable Buildings. This common set of sustainable Guiding Principles were established for integrated design plus operations and maintenance, energy performance, water conservation, indoor environmental quality, and materials.

Recognizing the Federal government's responsibility as the country's largest landowner, the stated aim of these principles is to help Federal agencies and organizations to:

- "Reduce the total ownership cost of facilities;
- Improve energy efficiency and water conservation;
- Provide safe, healthy, and productive built environments; and,
- Promote sustainable environmental stewardship."¹

2007: EXECUTIVE ORDER (EO) 13423

The MOU led to the signing of Executive Order (EO) 13423, "Strengthening Federal Environmental, Energy and Transportation Management," on January 24, 2007. This EO requires 15% of existing agency buildings to incorporate the sustainability measures of the Guiding Principles by 2015. With this EO, the Federal Government committed itself to providing national leadership in implementing goals and strategies for maintaining high performance and sustainable buildings.

Section 2. Goals for Agencies includes:

- Improving energy efficiency and reducing greenhouse gas emissions, with energy intensity reduction targets for 2015;
- Reducing water consumption through life-cycle cost-effective measures, with water consumption intensity reduction targets for 2015;
- Use of sustainable environmental practices in the use and acquisition of goods and services, with a focus on energy-efficient, water-efficient, bio-based, environmentally preferable, and recycled-content products.
- Reducing quantity of toxic and hazardous chemicals and materials acquired, used, or disposed, including diversion of solid waste in cost effective waste prevention and recycling programs for agency facilities;
- Compliance for new construction and major renovation of agency buildings with the Guiding Principles; and
- 15 percent (15%) of existing Federal capital asset building inventory of each agency comply with the Guiding Principles by end of fiscal year 2015.

In March of 2007 in consultation with the Director of the Office of Management and Budget, the Chairman of the Council on Environmental Quality issued instructions and defined requirements for implementing E.O. 13423. The implementation instructions identify the entities responsible for coordination and oversight of the executive order and define strategies for agencies to meet the requirements.

¹ Federal Leadership in High Performance and Sustainable Buildings Memorandum of Understanding, (February 2006)

2008: HIGH PERFORMANCE AND SUSTAINABLE BUILDINGS GUIDANCE

To help Federal agencies understand the new Guiding Principles requirements, The Interagency Sustainability Working Group (ISWG) issued “High Performance and Sustainable Buildings Guidance” in December 2008 to assist agencies in meeting the high performance and sustainable buildings goals of E.O. 13423, section 2(f). This document established separate Guiding Principles for Sustainable Existing Buildings and clarified reporting requirements for accuracy and consistency across agencies.

Release of the “High Performance and Sustainable Buildings Guidance” capped off what would become the ongoing revision process: after each Executive Order pertaining to the Guiding Principles is released ISWG issues a guidance document to establish requirements and provide help for Federal agencies.

2009: EXECUTIVE ORDER 13514

In October 2009, the White House issued Executive Order 13514 “Federal Leadership in Environmental, Energy, and Economic Performance,” which **did not** rescind or eliminate the requirements of EO 13423. Instead, the new EO expanded on environmental performance requirements for Federal agencies, as originally identified in EO 13423. The goal of EO 13514 was “*to establish an integrated strategy towards sustainability in the Federal Government and to make reduction of greenhouse gas emissions (GHG) a priority for Federal agencies.*”²

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Presidential Documents

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Executive Order 13514 of October 5, 2009

The President

Federal Leadership in Environmental, Energy, and Economic Performance

By the authority vested in me as President by the Constitution and the laws of the United States of America, and to establish an integrated strategy towards sustainability in the Federal Government and to make reduction of greenhouse gas emissions a priority for Federal agencies, it is hereby ordered as follows:

Section 1. Policy. In order to create a clean energy economy that will increase our Nation’s prosperity, promote energy security, protect the interests of taxpayers, and safeguard the health of our environment, the Federal Government must lead by example. It is therefore the policy of the United States that Federal agencies shall increase energy efficiency; measure, report, and reduce their greenhouse gas emissions from direct and indirect activities:

² <http://www.fedcenter.gov/programs/eo13514/>

The many requirements outlined in EO 13514 Section 2(g) included:

- that all new construction, major renovation, or repair and alteration of Federal buildings comply with the Guiding Principles;
- that at least 15 percent of each agency's existing buildings (above 5,000 gross square feet) meet the Guiding Principles by fiscal year 2015; and
- that each agency make annual progress toward 100% conformance with the Guiding Principles for its building inventory;

In addition, EO 13514 specified the following targets for agencies:

- Reduce petroleum consumption by 2% per year through FY2020 (applies to agencies with fleets of more than 20 vehicles) (Baseline FY2005).
- Reduce by 2% annually:
- Potable water intensity by FY2020 (26% total reduction) (Baseline FY2007).
- Industrial, landscaping, and agricultural water intensity by FY2020 (20% total reduction) (Baseline FY2010).
- Achieve 50% or higher diversion rate:
- Non-hazardous solid waste by FY2015.
- Construction and demolition materials and debris by FY2015.
- Ensure 95% of all new contracts, including non-exempt contract modifications, require products and services that are energy-efficient, water-efficient, biobased, environmentally preferable, non-ozone depleting, contain recycled-content, non-toxic or less-toxic alternatives.

2011: GBI LAUNCHES GBI GUIDING PRINCIPLES COMPLIANCE PROGRAM

In 2011, the Green Building Initiative (GBI), a 501(c)(3) non-profit organization & ANSI Accredited Standards Developer, was asked by the U.S. Department of Veterans Affairs to provide compliance assessments to the Guiding Principles for over 180 buildings on 11 different campuses to comply with the 2015 deadline as mandated by EO 13514.

As a well-established provider of Green Globes sustainability assessment and certification services within the federal sector, GBI created a scoring protocol and assessment methodology to assess and rate compliance to the Guiding Principles. A GBI Technical Committee, made up of independent sustainability experts, identified documentation needed to verify compliance, and developed a scoring methodology to assign points to those documents to measure levels of compliance based upon the percentage of points achieved.

The Guiding Principles Compliance for Existing Buildings (GPC EB) program was the first third-party program to assess compliance to the Federal Guiding Principles. GBI's GPC EB program provided uniform scoring methodology and a third-party on-site assessment, which established a repeatable and consistent way to interpret, evaluate, and assess federal agency buildings for compliance.

2014: GBI LAUNCH OF THE GPC NC PROGRAM

Following three years of experience in assessing compliance to the Guiding Principles for Existing Buildings, GBI developed a Guiding Principles Compliance for New Construction (GPC NC) program. Like Green Globes for New Construction, **the GPC NC process includes two assessments:**

1. Preliminary Design Assessment
2. On-Site Assessment

The Preliminary Design Assessment is a third-party review of design documents to determine whether the federal new construction or major renovation/modernization building is projected to be compliant. The Design Assessment Report specified what requirements were in compliance, in progress towards compliance, or projecting to be non-compliant. All requirements projected as non-compliant were itemized in a Roadmap to Compliance included in each report, providing design teams with specifics on how to get into full compliance.

The On-Site Assessment Report provided the final verdict of compliance or non-compliance, and also included a Roadmap to Compliance – for non-compliant buildings, how to get into compliance; and for compliant buildings, how to maintain compliance.

Same as the GPC EB program, GPC NC was developed as a “generic” survey, meaning that any Federal agency could utilize the program because there were no agency-specific requirements. Also like the GPC EB program, the GPC NC survey asked whether the “Intent” of each Guiding Principle was being met, and then asked for documentation for verification by the third-party assessor.

2015: GBI BEGINS DEVELOPMENT OF DOD GPC NC PROGRAM

In February 2015, GBI began development of a Guiding Principles Compliance for New Construction tailored to the needs and requirements of Department of Defense, based on their Unified Facilities Criteria 1-200-02, “High Performance and Sustainable Building Requirements.” Department of Defense had revised UFC 1-200-02 to mirror the requirements of the Guiding Principles in addition to meeting implementation requirements for “Energy Policy Act of 2005,” the “Energy Independence and Security Act of 2007,” and Executive Order 13514.

Development of DOD GPC NC was spearheaded through sustainable design and development contacts within both Navy (NAVFAC) and Air Force. The purpose of the effort was to create a third-party assessment program that specifically looked at UFC 1-200-02’s requirements for the Guiding Principles.

2015: EXECUTIVE ORDER 13693

A month later, March 2015, Executive Order 13693 “Planning for Federal Sustainability in the Next Decade” was released, which revoked both EO 13423 and EO 13514. This new EO updated and expanded on agency target deadlines, identified additional requirements, and expanded on the Guiding Principles for Federal agency buildings.

EO 13693 required that, where life-cycle cost-effective (LCCE), agencies reduce building energy intensity by 2.5% annually through the end of FY2025. Additionally, the EO required that Federal Agencies meet minimum percentage of total amount of building electric energy and thermal energy be “clean energy” (renewable electric and alternative energy):

- 10% in fiscal years 2016 and 2017;
- 13% in fiscal years 2018 and 2019;
- 6% in fiscal years 2020 and 2021;
- 20% in fiscal years 2022 and 2023; and
- 25% by fiscal year 2025 and each year thereafter.

The EO also set potable water consumption intensity reduction target of 36% by FY 2025, to be achieved by reducing water consumption by 2% annually (relative to 2007 baseline).

EO 13693 set several additional targets unrelated to the Guiding Principles for Federal buildings, including fleet greenhouse gas emissions.

One of the many purposes of the new EO was to establish a new set of Guiding Principles for new construction/modernization and existing buildings, building upon and replacing the previous Guiding Principles.

2016: GUIDING PRINCIPLES LAUNCHED IN TWO DOCUMENTS

In February 2016, the White House Council on Environmental Quality (CEQ), Office of Sustainability issued guidance for the 2016 Guiding Principles in two documents:

1. “Determining Compliance with the Guiding Principles for Sustainable Buildings” specified exactly what criteria the Office of Management and Budget (OMB) would be reporting on in their role as reviewer of each agency’s progress towards compliance with the Guiding Principles.

This was the first type of official guidance on exactly what would be reviewed for compliance to the Guiding Principles.

2. “Guiding Principles for Sustainable Federal Buildings and Associated Instructions” was a corresponding document that provided instructions, guidance and recommended practices for Federal agencies to meet compliance to the requirements as outlined in “Determining Compliance with the Guiding Principles for Sustainable Buildings” document.

These two documents additionally provided the first guidance on how to identify and report on requirements that are “Not Applicable,” based on agency mission, life-cycle cost-effectiveness, and other criteria.

2017: GBI LAUNCH OF THE DOD GPC NC PROGRAM

In response to the revised, 2016 Guiding Principles, Department of Defense updated their UFC 1-200-02 to reflect the new requirements, issuing the new UFC on December 1, 2016. As part of DOD GPC NC development GBI updated all materials, and in 2017 GBI launched the DOD GPC NC Program.

Parting with the previous method of assessing compliance to the Guiding Principles the DOD GPC NC program outlines specific requirements tied to each UFC requirement, which when met would signal compliance to the respective Guiding Principle. This reversal on determining compliance meant that the DOD GPC NC materials – Scoping Checklist, Survey, and Technical Manual – were more specific than previous GPC programs with what exactly project teams needed to accomplish. Additionally, the GPC “Rating System” was dropped altogether, replaced with a simple “Compliant” or “Not Compliant.”

Unlike Green Globes, DOD GPC NC *does not* provide a “certification,” but rather a “verification of compliance” to the Guiding Principles for High Performance and Sustainable Federal Buildings. **The DOD program also expanded the total number of assessment options based on feedback from ongoing DOD GPC NC projects:**

1. Preliminary Design Assessment (optional)
2. Final Design Assessment
3. On-Site Assessment

2018: EXECUTIVE ORDER 13834

A new Executive Order (13834) “Regarding Efficient Federal Operations,” which impacts the Guiding Principles was released May 17, 2018. No further guidance or updates have been released, and in the meantime, the latest EO continues to direct agencies to report on performance improvements, cost reductions, energy and water savings, and many other sustainable initiatives as identified by the Guiding Principles. Although EO 13834 is likely to revise the Guiding Principles in some manner, the Guiding Principles remain in effect for all Federal agencies and are expected to continue through the foreseeable future.

When guidance and implementation documents are released for EO 13834, GBI will update all GPC materials accordingly.

LESSON 2: GPC PROGRAMS

GBI develops Guiding Principles Compliance programs specific to agencies’ needs. The Guiding Principles Compliance Program is the first 3rd party assessment and rating program designed specifically for federal agencies to assess compliance with the Guiding Principles. The most mature of GBI’s Guiding Principles Compliance programs is Department of Defense Guiding Principles Compliance for New Construction, which verifies compliance to Unified Facilities Criteria 1-200-02 High Performance and Sustainable Buildings. GBI also maintains and administers Guiding Principles Compliance for New Construction, which is currently under construction.

A GPCP is an independent consultant qualified to offer project management and technical support to clients undergoing the GPC building assessment and certification process.

GBI’S GPC PROGRAMS

DOD GPC for NC

- Measures compliance with specific DOD requirements that meet the Guiding Principles for NC

GPC for NC

- Measures compliance with the Guiding Principles for NC
- Pending updates per E.O. 13834 (issued May 17, 2018), guidance release expected Fall 2018

COMPONENTS

The program includes a simple to use Excel survey, a third-party on-site assessment to verify compliance, a detailed Assessor report outlining the compliance status and recommendations as well as supplemental tools to enhance and clarify the Guiding Principles Compliance process.

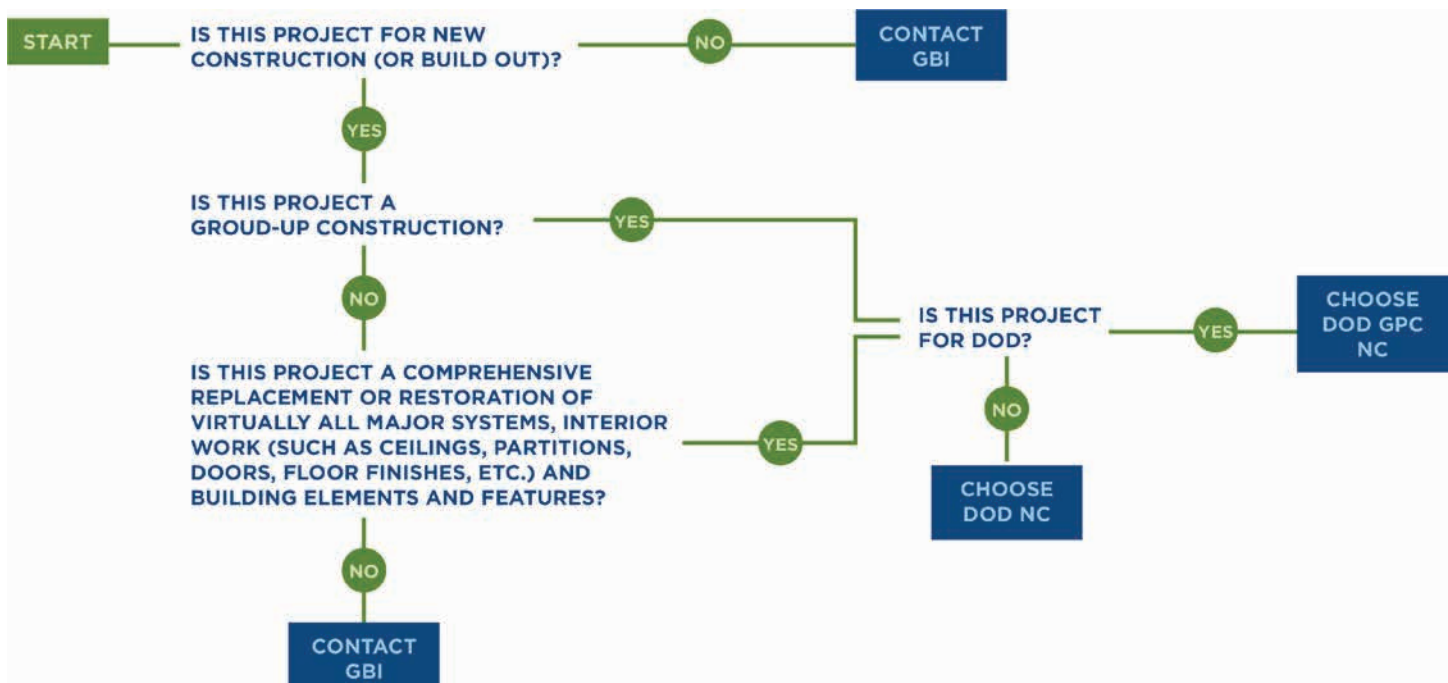
GPC for New Construction includes a mandatory preliminary review (Design) and either a third-party on-site assessment or Post Construction Document Review. Additional preliminary reviews are available for an additional fee.

ELIGIBILITY REQUIREMENTS

Buildings must meet the following requirements to be eligible to participate in this program:

- The Federal Government must be the owner or lessee (special considerations for local or state government)
- The building must be at least 5,000 square feet in size
- New construction project may be occupied <18 months
- Major renovations and additions can be certified under this program
- At the time of registration, users will need to determine the program that best fits their project/building. This diagram provides a high-level decision path to help users in that effort.

GUIDING PRINCIPLES COMPLIANCE ELIGIBILITY DECISION CHART



GUIDING PRINCIPLES COMPLIANCE VERSION

Refer to the below charts to determine which UFC and survey versions your project should use to determine compliance (DOD projects):

Only one Design Assessment is included with the On-Site Assessment in DOD GPC NC program registration. Project teams are given the choice if they would like an additional Design Assessment (with additional cost), which can happen at any point during design prior to construction.

Multiple versions of DOD GPC NC are maintained to direct project teams to the correct UFC 1-200-02 and its associated requirements. The following is a list of the different UFC 1-200-02 versions, and how to determine **which is appropriate for the project:**

Design-Bid-Build: The following UFC & Survey versions are applicable based on Design-Bid-Build projects that have not proceeded beyond 35% design completion as of...

Design-Build: The following UFC & Survey versions are applicable for Design-Build projects with RFP issuance date of...

| Date | | UFC 1-200-02 Version | GBI DOD GPC Survey Version |
|-------------------------------------|-----|---|----------------------------|
| 7 September 2018 or later | Use | Change 3 (to Dec. 2016), September 2018 | DOD GPC NC Survey v1.3 |
| 7 June 2018 - 6 September 2018 | Use | Change 2 (to 1 Dec. 2016), 7 June 2018 | DOD GPC NC Survey v1.2 |
| 1 October 2017 - 6 June 2018 | Use | Change 1 (to 1 Dec. 2016), 1 October 2017 | DOD GPC NC Survey v1.2 |
| 1 December 2016 - 30 September 2017 | Use | 1 December 2016 | DOD GPC NC Survey v1.1 |
| 7 November 2014 - 30 November 2016 | Use | Change 3 (to 1 Mar. 2013), November 2014 | DOD GPC NC Survey v1.0 |

*When an RFP is issued in multiple phases, use the date of the last phase of the RFP issuance.

Projects that have a delay, either planned or unintentional, of more than 18 months between design completion and the solicitation of offers for construction, must be re-evaluated to determine if any design revision is necessary due to changes in criteria (including codes and standards) or site infrastructure (e.g., water supply for fire department vehicle access). The evaluation must also include retroactive requirements that have been included in the new editions of the criteria.

All versions of UFC 1-200-02 "High Performance and Sustainable Building Requirements" can be found on the Whole Building Design Guide website, <http://www.wbdg.org/ffc/dod/unified-facilities-criteria-ufc/ufc-1-200-02>.

GPC PROGRAM FEATURES

The following documents are available for use during a GPC assessment. The Process Guide, Scoping Checklist and Technical Manual are all available on the GBI website free of charge. The GPC survey is issued once the project registration is ordered and paid.

- The GPC for New Construction and Modernization Process Guide outlines the available tools and assessment steps. It lists instructions for creating a GBI account, requesting a quote and ordering your assessment.
- The DOD GPC Scoping Checklist is for use during the planning stage to identify all goals for the project, as relate to meeting the Federal Guiding Principles (via compliance with UFC 1-200-02 “High Performance and Sustainable Building Requirements”) and to define requirements for the project.
- The Technical Manual includes all criteria, suggested compliance and other survey content in addition to external hyperlinks to additional references and tools.
- The GPC NC survey is the primary document utilized by design and construction teams, in addition to the assigned third-party Assessor, to track and determine compliance throughout the construction or renovation project undergoing a GPC NC assessment.

PATHS TO VERIFICATION OF COMPLIANCE

There are two options for the final assessment: Post-Construction Document Review or On-site Assessment. The project must undergo one of these options as part of the assessment process.

Final Assessment Option 1: Post-Construction Document Review

The Post-Construction Document Review is a third-party assessment of the project’s completed construction. A completed Design Review is required prior to a Post-Construction Document Review. Final validation of compliance is based upon the Assessor’s review of additional supporting documentation such as submittals, cut sheets, commissioning reports and inspection reports.

Final Assessment Option 2: On-site Assessment

The On-site Assessment is a third-party assessment of the project’s completed construction. A completed Design Review is required prior to an On-site Assessment. Final validation of compliance is based upon the assessor’s site visit results, including review of additional supporting documentation as necessary. Regardless of Final Assessment Option select, the assigned third-party Assessor will verify compliance with the Guiding Principles based upon the actual building construction and final contract documents.

GPC ASSESSMENT CONSIDERATIONS

Guiding Principles assessments verify documentation and implementation of measures taken to support compliance for the specific building being assessed.

For multiple building assessments on a campus (applies primarily to existing buildings):

- Each criterion is reviewed individually reviewed, but
- Responses and supporting documentation may be used for multiple buildings on a campus, allowing for duplication of data across surveys.

Assessor's professional judgment is critical and assures accuracy and objectivity.

PROGRAM BENEFITS

The table below outlines the benefits to the GBI Guiding Principles Compliance Program:

| BENEFITS OF A GUIDING PRINCIPLES COMPLIANCE ASSESSMENT | |
|---|--|
| GBI Customer Service | Staff accessibility and support throughout the entire process. |
| Scoping Checklist & Supplemental Tools | Provides clear instruction and guidance identifying the documentation needed to complete the surveys and site visit. |
| Compliance Survey | Simple, easy-to-use and enhanced with tool-tips for guidance. |
| Assessment by a Third-Party Sustainability Expert | Verification of actual building characteristics and documentation establishes an accurate and consistent compliance assessment. |
| Compliance Assessment Reporting | Simplifies agency reporting processes with clear, standardized data analysis which provides benchmarking for future comparison. |
| Certificate of Achievement & Compliance Verification Plaque | Recognition of the compliance level with a visual representation of the building's sustainability achievements. |
| A Tested Compliance Program | The experience of an organization and group of sustainability experts who have completed over 260 Guiding Principles Compliance assessments. |

