

SECTION 01 33 29

SUSTAINABILITY REQUIREMENTS AND REPORTING  
**02/21**

PART 1 GENERAL

1.1 REFERENCES

The publications listed below form a part of this specification to the extent referenced. The publications are referred to within the text by the basic designation only.

COUNCIL ON ENVIRONMENTAL QUALITY (CEQ) (WHITE HOUSE)

HPSB Guiding Principles	(2016) Guiding Principles for Sustainable Federal Buildings and Determining Compliance with the Guiding Principles for Sustainable Federal Buildings
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GREEN BUILDING INITIATIVE (GBI)

GBI DOD GP Compliance	(2017) GBI Department of Defense Guiding Principles Compliance Program for New Construction
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GREEN BUSINESS CERTIFICATION INC. (GBCI)

GP Assessment (DOD)	Guiding Principles Assessment for Department of Defense
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U.S. DEPARTMENT OF DEFENSE (DOD)

UFC 1-200-02	(2020) High Performance and Sustainable Building Requirements
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U.S. DEPARTMENT OF ENERGY (DOE)

Energy Star	(1992; R 2006) Energy Star Energy Efficiency Labeling System (FEMP)
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U.S. GREEN BUILDING COUNCIL (USGBC)

LEED v4 BD+C	LEED v4 Building Design and Construction
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1.2 SUMMARY

This section includes requirements for Sustainability documentation and reporting submittals per the federally mandated High Performance and Sustainable Building (HPSB) or HPSB "Guiding Principles" (GP), [ and Third Party Certification (TPC) requirements,] in accordance with UFC 1-200-02 High Performance and Sustainable Building Requirements.

1.3 SUBMITTALS

Government approval is required for submittals with a "G" classification. Submittals not having a "G" classification are for Contractor Quality Control approval. Submit the following in accordance with Section 01 33 00

SUBMITTAL PROCEDURES:

SD-01 Preconstruction Submittals  
Sustainability Action Plan; G

SD-11 Closeout Submittals  
High Performance and Sustainable Building Checklist; G  
Final Sustainability eNotebook; G  
Amended Final Sustainability eNotebook; G  
[ Third Party Certification Certificate, Assessment, or Validation  
and Compliance Report; G  
Amended Final High Performance And Sustainable Building Checklist;  
G

]1.4 GUIDING PRINCIPLES VALIDATION (GPV)

Provide the following sustainability activities and documentation to  
verify achievement of HPSB Guiding Principles Validation (GPV):

1.4.1 Sustainability Action Plan

Include the following information in the Sustainability Action Plan:

- a. Analysis of each HPSB Guiding Principles and how project will comply. Final government approved narrative(s) must be included in the HPSB Checklist submittal.
- b. Name and contact information for: Contractor's Point of Contact (POC) ensuring sustainability goals are accomplished and documentation is assembled.
- c. HPSB Checklist. No changes to the HPSB Checklist are allowed without approval from the Contracting Officer, in accordance with Section 01 33 00 SUBMITTAL REQUIREMENTS. Immediately bring to the attention of the Contracting Officer any project changes that impact meeting the approved HPSB Guiding Principles for this project. Demonstrate the change will not increase the life-cycle cost and maintains or improves the building performance.
- d. Documentation of all work required to incorporate the applicable HPSB Guiding Principles requirements indicated on the HPSB Checklist and in this contract.
- e. Indoor Air Quality plan.

For each designated construction related HPSB Guiding Principles Requirement that is not achieved, provide a narrative explaining how the mission or activity precludes achieving the specific sustainability requirement or goal. Include final, government approved narratives with the HPSB checklist.

1.5 SUSTAINABILITY SUBMITTALS

1.5.1 High Performance Sustainable Building (HPSB) Checklist

Provide construction documentation that provides proof of, and supports compliance with, the completed HPSB Checklist. Submit updated HPSB Checklist with each Sustainability eNotebook submittal. Include the final HPSB Checklist(s) with the interim DD1354 Real Property Record Submittal.

1.5.2 Sustainability eNotebook

The Sustainability eNotebook is an electronic organizational file that serves as a repository for all required sustainability submittals. To

support documentation of compliance with an approved HPSB[ and TPC] checklist, provide and maintain a comprehensive and current Sustainability eNotebook. Include all required data in Sustainability eNotebook, to support full compliance with the HPSB Guiding Principles Requirements, including:

- a. Sustainability Action Plan
- b. Calculations
- c. Labels
- d. Sustainability submittals
- [ e. HPSB checklist
- ][f. Certifications, assessments, or validations and compliance report
- ][g. TPC documentation required in paragraph THIRD PARTY CERTIFICATION (TPC).

#### ]1.5.2.1 Sustainability eNotebook Format

Provide Sustainability eNotebook in the form of an Adobe PDF file; bookmark each HPSB Guiding Principles Requirement[, TPC requirement,] and sub-bookmark at each document. Match format to HPSB Guiding Principles numbering system indicated herein. Maintain up-to-date information, such as spreadsheets, templates, with each current submittals.[ For TPC projects, provide a second Table of Contents using TPC numbering system, for maintaining documentation unique to TPC.]

Contracting Officer may deduct from the monthly progress payment accordingly if Sustainability eNotebook information is not current and on track per project goals.

#### 1.5.2.2 Sustainability eNotebook Submittal Schedule

Provide Sustainability eNotebook Submittals at the following milestones of the project:

- a. Final Sustainability eNotebook  
Submit updated Sustainability eNotebook with updated High Performance and Sustainable Building Checklist[ with TPC Checklist] at Beneficial Occupancy Date (BOD). Final progress payment retainage may be held by Contracting Officer until Final Sustainability construction phase documentation is complete.
- [ b. Amended Final Sustainability eNotebook  
Amend and resubmit the Amended Final Sustainability eNotebook with Amended Final High Performance and Sustainable Building Checklist[ and amended TPC Checklist], to include post-occupancy corrections, updates, and requirements. Final progress payment retainage may be held by Contracting Officer until amended final sustainability documentation is complete. Submit the Amended Final Sustainability eNotebook Submittal on DVDs to the Contracting Officer no later than 30 days after final GP[, TPC] determination.

#### ]1.6 DOCUMENTATION REQUIREMENTS

- a. Incorporate each of the applicable UFC 1-200-02 HPSB Guiding Principles requirements into project and provide documentation that proves compliance with each listed requirement. For life-cycle cost analysis requirements, one document with all analyses is acceptable, with Contracting Officer approval.

- b. For the following items, Japanese acceptable alternatives are listed.  
For all other items, see UFC 1-200-02.

#### 1.6.1 Energy Efficient Products

Products do not have to have the Energy Star label, but they shall have Federal Energy Management Program (FEMP) recommended efficiencies. Energy efficient products can be referenced at:

<https://www.energy.gov/eere/femp/federal-energy-management-program> and  
<http://www.energystar.gov/>.

#### 1.6.2 Indoor Water Use

Products do not have to have the EPA WaterSense label, but they shall comply with WaterSense efficiency requirements.

#### 1.6.3 Reduce Volatile Organic Compounds (VOC) (Low-Emitting Materials)

F 4-Star and 4VOC combined ratings are acceptable Japanese alternatives for low-VOC materials. For Construction submittal documentation, provide certifications or labels that demonstrate compliance with cited requirements.

#### [1.6.4 Additional Sustainability Requirements

Provide the additional sustainability requirements cited in this paragraph.

##### [1.6.4.1 Third Party Certification (TPC) Documentation

Third Party Certification certificate, assessment, or validation, and compliance report requirements are in addition to all requirements under header above GUIDING PRINCIPLES VALIDATION (GPV).

##### 1.6.4.1.1 TPC Registration

This project has been designed for, and must be constructed to achieve [ LEED v4 BD+C][GP Assessment (DOD)][GBI DOD GP Compliance]. Project is already registered with the TPC Organization. Provide construction related sustainability documentation, in the format required by the TPC Organization, to the Contracting Officer for approval, and for final approval by the TPC organization. Third Party Certification is met when Government receives TPC organization certificate, assessment, or validation and compliance report. Execute the following:

- a. Refer to TPC Checklist at the end of this specification section.  
(Multiple checklists indicate multiple buildings that require TPC.)
- b. Immediately bring to the attention of the Contracting Officer any project changes that impact meeting the approved TPC Requirements for this project. Demonstrate the change will not increase the life-cycle cost and maintains or improves the building performance.
- c. Complete all work required to incorporate the applicable TPC Requirements.
- d. Maintain the construction related information in the Sustainability eNotebook pertaining to additions and changes to the approved sustainability requirements. Maintain the Sustainability eNotebook in electronic format. For more explanation, refer to paragraph

SUSTAINABILITY eNOTEBOOK. Provide the following components in the Sustainability eNotebook, in addition to the GPV components above:

- (1) TPC Checklist
  - (2) Provide construction documentation required to achieve third party certification
- e. Provide the following information in the Sustainability Action Plan. Provide this TPC information in addition to the GPV Action Plan items above:
- (1) Planned method to achieve each TPC requirement.
  - (2) For each TPC requirement that is attempted but not achieved, provide narrative explaining how mission or activity precludes achieving specific sustainability requirement or goal. Provide analysis of particular requirement and level to which project is able to comply.
  - (3) Provide name and contact information for: Sustainability Point of Contact (POC) and other names of sustainability professionals responsible for ensuring TPC sustainability goals are accomplished and documentation is assembled. Sustainability POCs are also responsible for ensuring GPV required in paragraph GUIDING PRINCIPLES VALIDATION (GPV) above.
- f. Bear all costs associated with construction changes that affect sustainability design requirements, constructing, demonstrating, and documenting that project complies with approved TPC requirements, including but not limited to:
- (1) TPC coordination with Government's AE and other consultants, TPC website requirements, and management for construction related documentation.
  - (2) Construction work required to incorporate TPC requirements.
  - (3) Submittals required to demonstrate compliance with Government approved TPC checklists.
  - (4) Documentation illustrating compliance with TPC requirements and additional documentation required by the TPC.
- g. Provide all calculations, product data, and certifications, assessments, or validations required in this contract to demonstrate compliance with the TPC Requirements of this section.

][1.6.4.2 Third Party Certification (TPC) Documentation

Third Party Certification certificate, assessment, or validation, and compliance report requirements are in addition to all requirements under header above GUIDING PRINCIPLES VALIDATION (GPV).

[1.6.4.2.1 TPC Registration Required

Pay all fees associated with registration and achievement of Third Party Certification (TPC), by meeting all TPC and project requirements to achieve [LEED v4 BD+C [GP Assessment (DOD)] sustainability certification, assessment, or validation. Third Party Certification is met when

Government receives TPC organization certificate, assessment, or validation and compliance report

Register project with TPC organization using the following format and content:

- a. Project Title First Line: Building Owner (US Army, US Air Force, US Navy or US Marine Corps), Building Name (if known)
- b. Project Title Second Line: MILCON P#, DD1391 Project Name
- c. Project Address: UIC (Installation code), Category code, RPUID (Real Property Unique Identifier) Number
- d. Project Owner Organization: US Army, US Air Force, US Navy or US Marine Corps
- e. Primary Contact, Project Owner: Component Project Manager
- f. Building Owner Organization: US Army, US Air Force, US Navy or US Marine Corps
- g. Building Owner Organization Project Number
- h. Additional Contact, Building Owner: Department of Public Works, Public Works Officer, Base Civil Engineer, or Designee

#### ]1.6.4.2.2 TPC Already Registered

Project is already registered with TPC organization to achieve [ LEED v4 BD+C] [GP Assessment (DOD)][GBI DOD GP Compliance]. When applicable, request TPC online access turnover from Government. Manage and provide all documentation for requirements of TPC and obtain Final Certification or validation. Third Party Certification is met when Government receives TPC organization certificate, assessment, or validation and compliance report.

#### ]1.6.4.2.3 TPC Management and Certification

Execute the following TPC Certification, assessment, or validation requirements:

- a. Refer to TPC Checklist at the end of this specification section. (Multiple checklists indicate multiple buildings that require TPC.)
- b. Immediately bring to the attention of the Contracting Officer any project changes that impact meeting the approved TPC Requirements for this project. Demonstrate the change will not increase the life-cycle cost and maintains or improves the building performance.
- c. Complete all work required to incorporate the applicable TPC Requirements.
- d. Maintain the construction related information in the Sustainability eNotebook pertaining to additions and changes to the approved sustainability requirements. When construction changes are made that affect design sustainability requirements, provide all required updates to affected design requirements and update in the Sustainability eNotebook. Maintain the Sustainability eNotebook in

electronic format. For more explanation, refer to paragraph SUSTAINABILITY eNOTEBOOK. Provide the following components in the Sustainability eNotebook, in addition to the GPV components above:

- (1) TPC Checklist
  - (2) Completed TPC forms. Transmit by the method required by the TPC organization.
  - (3) Copy of all correspondence with the TPC organization including proof of TPC registration
  - (4) Documentation illustrating compliance with TPC requirements and additional documentation as requested by the TPC
  - (5) TPC Award Certificate, assessment, or validation and compliance report.
- e. Provide the following information in the Sustainability Action Plan. Provide this TPC information in addition to the Sustainability Action Plan items above:
- (1) Planned method to achieve each TPC requirement.
  - (2) For each TPC requirement that is attempted but not achieved, provide narrative explaining how mission or activity precludes achieving specific sustainability requirement or goal. Provide analysis of particular requirement and level to which project is able to comply.
  - (3) Provide name and contact information for: Sustainability point of contact (POC) and other names of sustainability professionals responsible for ensuring TPC sustainability goals are accomplished and documentation is assembled. Sustainability POCs are also responsible for ensuring GPV required in paragraph GUIDING PRINCIPLES VALIDATION (GPV) above.
- f. Bear all costs associated with construction changes that affect sustainability design requirements, constructing, demonstrating, and documenting that project complies with approved TPC requirements, including but not limited to:
- (1) Final TPC review, certification, assessment, or validation fees.
  - (2) Online (or offline with secure facilities) TPC management and documentation.
  - (3) Obtaining TPC certification or validation based on Government-approved sustainability goals.
  - (4) Construction work required to incorporate TPC requirements.
  - (5) Submittals required to demonstrate compliance with Government approved TPC checklists.
- g. Provide all calculations, product data, and certifications, assessments, or validations required in this specification to demonstrate compliance with the TPC Requirements.

- h. Provide all TPC management and documentation. Transmit TPC requirements by the method required by TPC organization.
- i. Provide all required responses to third party organization.
- [ j. Facilitate and participate in required TPC site visit. Coordinate with the Contract Officer to determine participating team members. Include Commissioning provider on applicable projects.
- ][k. Provide TPC Certificate, assessment, or validation. Provide TPC compliance report that includes level achieved and reasons for non-compliance or not applicable elements. Use format below to create the Certificate, assessment or validation, compliance report, and Letter of Congratulations (when provided). Forward to parties designated by Contracting Officer:
  - (1) Certificate, Assessment or Validation:

Project Title, first line: P-(X); Form DD1391 Project Name).

Project Title, second line: UIC (Installation code)
  - (2) Letter Congratulations (when provided): Address letter to Facility's Installation Commander Name. Address the letter to an individual person.
  - (3) Compliance Report: Title page must cite Project title: P-(X); (1391 Project Name); Final Building Name if known; UIC (installation code); Owner Service; User organization if known; date of compliance. Include TPC scoresheet if applicable.
- ] 1. Once Final Certification is achieved, turn over Administrative rights to online TPC to the [Base Civil Engineer] [Department of Public Works] [Public Works Office] or designee, contact information provided by the Contracting Officer.

#### ]][1.6.5 Additional Sustainability Requirements

The following requirements are included, as required by the project scope or the applied sustainability Third Party Certification program:

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#### ]PART 2 PRODUCTS

Not used.

#### PART 3 EXECUTION

##### 3.1 SUSTAINABILITY COORDINATION

Provide sustainability focus and coordination at all meetings to achieve sustainability goals. Coordinate meeting requirements with other UFGS Sections meeting requirements in this project. Ensure the designated [TPC accredited ]sustainability professional responsible for GP [and TPC ]documentation participates in these meetings to coordinate documentation completion. Review GP[ and TPC] sustainability requirements, HPSB Checklist[ and TPC] documentation, Sustainability Action Plan, and completeness status of Sustainability eNotebook[, and TPC status] at the following meetings:



- a. Pre-Construction Conference
- b. Construction Quality Control Meetings
- c. Facility Turnover Meetings

Conduct review no later than 60 days before final turnover and identify any outstanding issues that affect correct completion of all documentation[ and final TPC certification, assessment or validation], and actions that will achieve requirements. Conduct corrective actions prior to turnover, to ensure all requirements are achieved.

[3.2 THIRD PARTY CERTIFICATION CERTIFICATE, ASSESSMENT, OR VALIDATION AND COMPLIANCE REPORT

Finalize the process requirements and obtain the TPC Certificate, assessment, or validation, and compliance report, indicating completion of the project's sustainability goals. Include TPC compliance report with final TPC scoresheet as applicable.

[Provide one original framed copy of the certificate, assessment, or validation, mounted in 25 mm deep metal frames, with double matt, and wire hangers, in location approved by Contracting Officer. ]Deliver [one][\_\_\_\_\_] original certificate, assessment, or validation, and compliance report to Contractor Officer, unless otherwise instructed.

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-- End of Section --