Sustainable Performance Institute

Organizational Certification Program

APPLICATION GUIDE

Helping you deliver on your sustainability promises
Transforming practice, recognizing leadership

Revised Draft, April 2012

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SPI Mission, Principles, Inception

Sustainable Performance Institute (SPI) mission

The mission of the SPI program is to promote continuous improvement in professional practice so that sustainable, regenerative design is a natural extension of best practices in the profession. **SPI defines for the industry what constitutes excellence in professional practice for sustainability services**.

To that end, SPI conducts industry research to identify best practices, provides tools, education and resources to build capacity, facilitates leadership development and builds community through the SPI Leadership Circle and administers a Certification program to evaluate the capabilities of companies in the building industry to deliver consistent, high quality sustainability services. The SPI Certification credential is the best way for companies to differentiate themselves in the market and get 3rd party validation of their excellence in sustainable design, construction and operations.

This Application Guide specifically addresses the Certification process and details of the Evaluation Criteria.

Need for SPI Certification

The built environment has profound and lasting impacts on the planet. The buildings and infrastructure created by the industry affect the environment, the economy, public health and society. A paradigm shift is needed in the fundamental approach to design and the synthesis between natural and human-made systems. At a minimum, sustainable development "meets the needs of the present without compromising the ability of future generations to meet their own needs" [Brundtland Commission]. Ideally, the built environment can become a catalyst for regeneration and synergistic with natural systems.

In order to meet this challenge, the industry needs to move beyond individual success and commit to sustainability at all levels of their organizations from management and operations through project delivery. Individual champions within companies are not enough, the culture and shared vision within every company must be based on a fundamental premise that integrative, holistic, high-performance design is integral to excellence in professional practice. Design culture must change and be held accountable in its systems, processes, methodologies and protocols.

Purpose of SPI Organizational Certification

The Sustainable Performance Institute (SPI) created the Organizational Certification program to recognize true leaders and transform mainstream practices. SPI's Certification process helps to strengthen the ability of organizations that develop, design, construct or manage property to achieve high performance by evaluating and validating their consistent use of processes that reliably yield desired results.

For companies who have long been committed to sustainable practice, this program recognizes that their commitment is true and measurable and that their capability is reliable and proven. It distinguishes them from companies who market capabilities that they may not have.

For companies who are on a journey to institutionalize sustainability in their culture, systems, processes and collaborations, SPI supports their efforts with a roadmap, metrics and resources to ensure, and accelerate, success.

Expectations of Professional Practice

It is a basic premise of SPI that "best practices" in the industry represent a standard of care that is intrinsically rooted in the principles of sustainable design. This means that the fundamental principles of healthy, high performance, integrative design are present as a basis of design excellence on all projects regardless of the client's demands and the ability to deliver "sustainable" or "green" is not an add-on service that greatly differs from core services.

This does <u>not</u> mean that every project is net zero, has solar panels or a green roof, but it does mean that excellence in (sustainable) practice is based on critical thinking and a collaborative design process aligned with the following principles:
- Performance-based design
- Collaborative process of analysis and effective decision-making
- Reliance on metrics and accountability
- Focus on systems integration and optimization
- Effective use of tools and analysis to inform critical decisions
- Feedback loops for continuous learning from built work and operations

It doesn't cost more to ask the right questions.

Barriers and challenges may exist and the performance of every project is a result of many factors including building type, geographic context, client, budget, schedule, contract structure, etc. Still, efforts must be made to adhere to best practices on every project.

Principles of the SPI Certification Program

The following list represents the purpose and principles which are the foundation of SPI and relate both to the intended impact of the program and our relationship with the companies we certify:

- **Validation of success.** Third party Certification should be a meaningful and valid representation of a company's capabilities and valuable for Owners wishing to verify the qualifications of a prospective team member.
- **Meaningful results**. Certification should facilitate continuous improvement in the organization that produces meaningful sustainability performance.
- **Minimal effort.** The Certification process itself should be as easy as possible and not incur extraneous efforts that don't contribute directly to a company's performance or profitability.
- **Simplicity**. The certification process should be clear and easy to understand.
- **Improved organizational performance**. Achieving certification should be synonymous with improving profitability and performance while promoting an organization's long-term success.
- **Improved project performance**. The success of aligning sustainability goals with systems, processes and project delivery should ultimately yield an improvement in overall project performance.
- **Universal relevance.** Certification should not disproportionately reflect the interests of any one design/build group—e.g., architects, planners, engineers, contractors, or owner/clients—but rather should represent the industry overall and contribute to a higher level of effective collaborations.
- **Integrative design**. Certification should advance the principles and practices of integrated design as a basis of design excellence, with all the stakeholders working together effectively.
- **Higher quality, better value**. Certification should be at a dollar cost that reflects high value and return on organizations' investment in the process.
- **Excellence in Customer Service**. SPI should be responsive and thoughtful in its interactions with the companies it works with.

Evolution of the Certification Program

The SPI Evaluation Criteria are the result of 12 years of program evolution, culminating in an open, peer-reviewed, industry-based process.

The predecessor to the SPI Certification program was the "Green Firm Boot Camp" program. Boot Camp provided strategic, technical and educational support to developers, design and construction companies to institutionalize sustainability and align their sustainability goals with organizational systems, processes and project delivery methodologies. Boot Camp did not include a 3rd party certification, but did serve to identify the success factors for sustainability practice that later evolved into the first version of Evaluation Criteria.

These Boot Camp efforts, together with the organization's work developing design team selection criteria for building owners and its participation in the nationally developed ANSI standard for integrative design, all contributed to the development of SPI's Certification. William Ronco of Gathering Pace Consulting, an expert in the field of organizational performance, leadership, partnering and strategy for the building industry, provided invaluable input into the first version.

After a one-year pilot period, during which the criteria were applied to seven (7) companies, SPI refined the criteria and developed a second version to incorporate lessons learned from the pilots. Feedback was solicited from the industry and from a wide range of industry stakeholder groups during a two-month public comment period in early 2011. Industry input, peer review and public comment will continue regularly.

In addition to conducting Certification audits, SPI currently provides technical assistance, education and consulting support to companies becoming certified who are in need of help. This is done to accelerate the development of the program and create a feedback loop to incorporate rapidly changing industry practices into the criteria. (This may change at some point in the future to conform more fully with ISO requirements for certification bodies.) Companies becoming certified are not required to engage SPI's support services and can meet their needs in other ways. Additional outside reviewers, qualified by SPI, also conduct audits and provide support. In order to maintain third-party objectivity, if a company has received sustainability consulting services from SPI or one of our reviewers, a different organization will conduct that company's audit.

Certification Requirements

To achieve SPI Certification, organizations must demonstrate consistent use of processes and methodologies that effectively produce consistent, high quality sustainability services and company performance. Certification examines performance by evaluating a company's:

1. Goals, strategy, policies and leadership
2. Production or program management processes (e.g., schematics, design development, construction administration, maintenance and operations protocols)
3. Support functions such as human resources, professional development, marketing, communications, internal design and/or specification standards, tools and resources
4. Partnerships and collaborations (e.g., proposals, contracts, decision-making and analysis processes, and working relationships with other stakeholders)
5. Environmental (sustainability) footprint of the corporation from operations and portfolio.
   SPI Certification is awarded based on review of:
   - Surveys of internal staff and external clients and team members
   - Review of internal systems, resources, protocols and methodologies
   - Project documentation for a sampling of the last 3 years of work
   - Selected interviews with inside and outside parties

- Other evidence assembled by the company, such as goals and policies, handbooks, manuals, specifications, training curricula, etc.

These requirements are detailed in the Guide to the SPI Evaluation Criteria, later in this document.

Certification Designations

The program recognizes the following stages in the Certification process, which are listed in the SPI Company Directory on SPI's website:

Pending: the organization is registered and working toward meeting the requirements

Provisional: SPI has seen evidence that all systems and processes are in place to meet certification requirements, but new policies or protocols may not have had time to prove effective

Certified: the organization has met all the requirements for certification (and may also have documented optional processes) and should be deemed a truly capable provider of consistent, high quality sustainability services.

The SPI Company Directory will list the scope of the company certified. Some companies may have specific offices, divisions or other segments of the company certified, but not the entire organization.

Beyond Certification, every company will have its own unique stories and approaches to delivering sustainability services and will competitively differentiate themselves further in this way. Although SPI Certification qualifies that the company is truly green, there are many other aspects of culture, personality, methodology and value that contribute to its ability to compete for work.

Certification Process

The SPI process generally follows 4 steps:

1. Registration and intake
2. Assessment
3. Preparation; addressing gaps
4. Audit and certification

Note that the second step, Assessment, can also be undertaken as a stand-alone process by companies not ready to embark on full certification.

Also note: the order of these activities may change depending on a number of factors. For example, while it is ideal to discuss the survey results during the kick-off/assessment, sometimes company leadership wants to do a kick-off meeting first to better understand the program and its requirements before beginning surveys or interviews. This can be discussed prior to the Assessment and does not significantly impact the overall process or outcome.

Step 1: Registration & Intake

Once a company has decided to pursue SPI Certification, the first step is to sign up, pay the registration fee and provide some basic information about the organization:

Define scope of participation: Ideally an entire company will undertake the certification process to validate that all of its services, divisions and locations can deliver consistent, high quality sustainability services. However, larger companies may elect to begin with one or several offices or divisions and gradually roll-out or expand the program. Companies who begin with a gradual approach can use SPI as a roadmap to develop an effective strategy to bridge locations, disciplines or other divides and accelerate the process of institutionalizing sustainability across all systems, processes and methodologies. Additionally, success in one part of a company can be a good motivator to encourage and inspire other areas of the company.

Complete the online Intake Survey This survey gives SPI a definition of company size, location(s), scope of services and other aspects that help us understand who you are. For companies wishing to certify multiple locations, this also provides the information SPI needs to determine discount pricing, which depends on factors such as degree of centralization of administrative functions across the company.

Register and pay the program fee. Once formally registered, the company will receive a spreadsheet to use in tracking progress toward meeting the program requirements.

Identify a point person within the organization for the SPI effort. This "project manager" can be at any level, but must have full, visible leadership support in order to succeed.

Provide a table of projects Provided as an output from your company's existing tracking systems, SPI needs a listing of active projects over the past 3 years, including budget, type, services provided, responsible staff, stage of development/completion and other features that will allow us to select a sampling of projects to review. We will spot-check material from the various projects, either via temporary access to your server or though files you upload or send to us.

Step 2: Assessment

Once your company has registered and SPI has a basic profile of your size, geography, projects and range of services, you can begin your Assessment. The purpose of the Assessment is to develop a baseline understanding of your company's capabilities, identify gaps, and define a path forward. The Assessment phase includes:

SPI Internal Survey This confidential survey of staff at all levels and in different departments reveals the culture and perceptions of staff relative to sustainability, including any disconnects that may exist between leadership perception and the rest of the company. It helps identify gaps related to methodology, access to tools and resources, communication and relationship issues. It is also a great marketing and communication tool internally to help reinforce the message to all staff that sustainability is important and the decision to become SPI Certified is a clear sign of that commitment.

An 80% response rate is generally required. The survey is administered by SPI. The invitation email is generally sent by the company but can also be sent by SPI. Responses will be reported back to the company in aggregate, along with a comparison to industry-wide results. SPI provides the company with sample language and templates that can be used for communication.

SPI External Survey   Feedback from a representative sampling of clients and outside team members is critical to establishing a full company profile, ensuring quality control and surfacing any unknown issues of concern. This is also a marketing opportunity for your company to communicate your commitment to sustainability in the context of becoming certified. SPI provides a sample survey that can be modified, if desired, to reflect the company's corporate "voice". SPI administers the survey and it is also confidential. The survey notice/link is ideally distributed by SPI, although it can also be sent by the company. The survey should be sent to as many clients and team members as possible, including but not limited to those associated with the projects selected for review.

Selected Interviews SPI may conduct brief telephone interviews with selected internal and external contacts if it is helpful to clarify and/or expand on information that surfaces through the surveys or review of internal systems and processes.

Preliminary Review of Evaluation Criteria The kick-off/assessment meeting is most valuable when the company brings together different people to do a quick review of the criteria in advance. This helps to get everyone on the same page. Typically these people include leadership (operations, finance, etc), IT, HR, marketing, education, and several project delivery staff (from different levels). If the company has different service areas, a representative from each service area should be part of the internal review meeting. If multiple offices are participating in certification at least one representative from each office should be included.

Kick-off/Assessment meeting   The purpose of this meeting, which is facilitated by SPI staff, is: 1) to review the program, its process and the evaluation criteria so those implementing the program understand what is required, 2) to begin to determine how the company will demonstrate its compliance with each of the categories, and 3) to identify any gaps that exist and begin to devise a plan to fill them. Although the timing may vary, the assessment meeting is ideally conducted once the surveys and interviews have been completed.

The assessment meeting is typically conducted virtually over Skype, GotoMeeting or other electronic means, but may be done in person for an extra fee, or if an SPI provider is nearby or an SPI Workshop is concurrent in your area.

Deliverable / Product: The end result of the Kick Off meeting will be a) a "report card that summarizes the current state of the organization and 2) the "first draft" of the tracking spreadsheet, filled out by the company, cataloguing/notating how they will meet various criteria in order to prepare for the audit.

As the categories are discussed, it may become evident that there are gaps that need to be addressed. In that case, this is noted and SPI will make recommendations about how to address the gaps and provide resources when appropriate and possible.

Following this meeting, anyone involved should have a clear understanding of their roles, responsibilities and what it will take to achieve certification. If gaps are identified, strategies, systems, processes or necessary resources will be clarified.

Step 3: Planning, Filling Gaps and Preparation

Once the Assessment is complete, the company works to address any gaps and assemble evidence of compliance with the SPI requirements.

For those companies who have institutionalized sustainability and don't have any significant gaps, this part of the process focuses primarily on identifying items for the audit. For companies who engage with the program to fully transform their practices, this step will be longer - with time spent to put key measures, policies and systems in place. This can be done independently, with SPI's help, or with the help of other outside parties. The amount of time will vary depending on what issues need to be addressed.

Tracking. Company identifies and catalogs the systems, processes and other evidence of institutionalized sustainability for tracking and eventual audit. These are noted in the SPI tracking document, including where each piece of evidence can be found. These may be in public documents, in materials uploaded to SPI's secure FTP server, or in the company's printed or electronic files.

Questions and confirmation/review. Certification program staff is available to answer questions that arise during this period. Program staff confirms the scope of materials needed to complete the audit, and helps to make sure that all of the items needed in the audit have been identified. SPI staff may also review materials on a rolling basis during this period.

Step 4: Audit and Certification

Once a company has gone through its process to institutionalize sustainability, it is then ready to be audited for Certification, to validate publicly that it has achieved this success.

Depending on the circumstances, the SPI audit can be done in person, with a combination of short interviews and review of materials, or virtually with electronic documentation being shared via FTP or other means. Materials previously shared during the Preparation stage need not be reviewed again unless gaps were identified.

Once the audit is complete, SPI identifies specific elements that can be tracked or pursued in a "Roadmap" for continuous improvement that the company can use internally, and is the starting point for annual reviews and the next audit. Certification is revisited once every 3 years, with brief annual check-ins to ensure that there have been no major changes and progress continues.

The SPI audit is not intended to require the creation of new, unnecessary documentation. It is the explicit intention of the program to minimize bureaucracy and onerous paperwork so that the SPI certification process is efficient and effective. Whenever possible we will seek to review existing materials, processes, policies and systems. Companies that already consistently achieve excellence in sustainable practice should have to produce little to no new documentation.

Ongoing Re-certification

Once certified, organizations can recertify with modest effort. To maintain certification, organizations must be evaluated annually with a brief review that allows for updates and the establishment of new milestones. Every three years a firm must undertake a more extensive review.

Valid certifications will always be listed/maintained on the SPI website.

Consulting Assistance

SPI will provide sample documentation and other materials to assist applicants in the certifications process. Some organizations may find it useful to obtain additional assistance in planning and preparing their documentation. Consulting assistance is available from SPI, or SPI can suggest other providers, or companies may use the consultant of their choice to help with either strategic or implementation activities. This may include such tasks as facilitating team meetings; goal-setting; assisting in drafting policies and processes; recommending training curricula; etc.

How SPI Compares to Other Standards

Understanding similarities and differences between SPI and other standards helps to clarify SPI's goals and focus.

Name	description	Applies to	Industry specific?	Cross-reference to SPI Certification
SPI	evaluates capability and effectiveness in delivering sustainability services	organizations	yes	
LEED Building Rating System	Rates sustainable building features	Buildings	Yes	Project performance outcomes
LEED Green Associate/LEED AP	Recognition of individual knowledge (& some experience)	individuals	Yes	HR, training
ISO	Compliance with best practices	organizations	No	Processes, outcomes
B Corp	Corporate Sustainability reporting	organizations	No	Social & economic outcomes
Ceres	Corporate Sustainability reporting	organizations	No	Social & economic outcomes
GRI	CSR	organizations	Somewhat	Social &

			(Real Estate and Construction Sector Supplement)	economic outcomes
LEAN Construction	Efficient construction processes	Organizations	Yes	processes
Green Advantage	Trade-specific Training cert	Individuals (subcontractors)	Yes	
ABC Green Contractor	Focus on green workplace environment & training	Organizations (contractors, subcontractors)	Yes	Organizational outcomes

SPI certification resembles ISO in important ways. The ISO 9000 series, which monitors and audits quality in organizations, provides a useful parallel. As ISO focuses on identifying, monitoring and auditing processes essential to delivering consistently high quality, SPI identifies, monitors and audits the essential processes that achieve green building performance. As with ISO, SPI does not seek to impose uniform systems or documentation. Rather, we certify that an organization consistently uses appropriate and effective systems and that these systems allow the organization to achieve high levels of sustainable performance. SPI differs from ISO in that ISO measures *compliance* while SPI seeks evidence that best practices are being *deployed effectively*.

SPI differs from LEED in focusing on organization-wide processes, not an individual's technical knowledge or the performance of a particular building or large-scale project.   Achieving LEED certification for projects offers one measure of the effectiveness of an organization's sustainable processes, and having LEED Accredited Professionals in the firm can help achieve sustainable results. Neither of these, however, guarantees that an entire organization has consistent capabilities. SPI is also similar to LEED-EBOM (LEED for Existing Buildings: Operations & Maintenance) in that it begins with the establishment of policies whose impacts are evaluated over time. Participating organizations are then re-evaluated periodically to validate maintenance of quality

Guide to the SPI Evaluation Criteria

Introduction

This section details the intent and requirements for each aspect of SPI Certification. It provides a roadmap and a set of clarifying examples to support companies in increasing sustainability and achieving Certification. The approaches outlined here are not intended to restrict or limit a company's options in fulfilling the requirements; alternate paths and approaches are welcome and encouraged. This guide will be updated periodically to continually reflect best practices in the industry.

The SPI Evaluation Criteria focus on quantitative metrics where possible and also recognize the importance of qualitative data in painting a complete picture of sustainability within your organization.

The intent of the SPI program is to establish a baseline for consistent, high quality sustainability services. Most of the Evaluation Criteria are therefore required elements. To leave room for innovation, and to account for areas where industry norms make compliance especially difficult, a few of the elements are marked "optional".

NOTE: *The evaluation criteria are not "credits" and they have no point value. While SPI has taken care to articulate in great detail each of the success factors that contribute to excellence in sustainability practice, we also know that different organizations have different approaches to operations, management and project delivery. SPI evaluates each company individually, relative to the SPI critiera and validates that sustainability is institutionalized in such a way as to realize consistent and measurable performance. While we hope the detail is helpful, it should not be perceived as overly prescriptive; participants should feel free to provide alternate evidence particular to their practice.*

The Guide is structured as follows:

Section X.0   Intent of each section
Sub-section X.X.   Intent and suggested implementation for this sub-section
Criterion X.X.X   Specific requirements and examples for each criterion

Each section, subsection or criterion begins with the intent, as presented in the Evaluation Criteria document, formatted in italics.   Further detail or clarification, if any, follows in plain text.

SPI Green Firm Evaluation Criteria: Summary

1.0 Leadership, Strategy & Policy
1.1 Vision and Goals
1.2 Strategy & Implementation Plan
1.3 Policy
1.4 Leadership
1.5 Feedback Loops
1.6 Leadership Support
1.7 Innovation

2.0 Project Delivery
2.1 Pre-Project Assessment
2.2 Building an Integrated Team
2.3 Goals and Planning
2.4 Project or Program Phases
2.5 Operations, Maintenance and Cont. Improvement
2.6 Innovation

3.0   Infrastructure and Support Systems
3.1 Tools and resources
3.2 Human Resources
3.3 Training/Education/ Continuous Learning and Mentoring
3.4 Marketing
3.5 Quality Control Processes
3.6 R&D
3.7 Innovation

4.0 Partnering & Collaboration
4.1 Proactive Team Building
4.2 Project Solicitation
4.3 Contractual Agreements
4.4 Partner Performance & Team Communications
4.5 R&D Partnering
4.6 Innovation

5.0 Outcomes and Metrics
5.1 Project Portfolio
5.2 Company Sustainability Footprint
5.3 Innovation

Intent

An organization's success implementing sustainability initiatives is based on the strength of leadership, the clarity of strategy and the implementation of policies throughout the organization. Clear metrics and feedback loops to monitor strategies provide indication to leaders about effectiveness over time.

Many companies beginning the SPI process do not have clear "SMART"* goals, metrics or accountability structures in place to support sustainability outcomes. Instead, they have "random acts of sustainability" which usually include a number of LEED certified projects and Accredited Professionals, some internal initiatives like recycling and some goals that talk about "commitment to sustainability" but without metrics or timelines.

The success of any organization-wide initiative depends on strong and effective leadership, well-formulated goals and strategies, and activities and policies that support them. Leadership at all levels and across all departments of a company is necessary to ensure that sustainability is embedded in the company's culture and values. Intentional change management strategies must be incorporated into strategic sustainability plan implementation.

This section identifies key aspects of leadership, accountability and policy that will position your company for continued success. Many of the subsequent sections depend on what is established relative to these elements, so the first internal step that company leaders should take is to review this section and initiate a dialogue to revisit, or create a clear vision for sustainability and well articulated goals.

*(SMART=specific, measurable, attainable, results-oriented, time-bound)

1.0 Leadership, Strategy & Policy includes the follows sub-sections:

1.1 Vision and Goals
1.1.1 Organizational Goals
1.1.2 Project Goals
1.2 Strategy & Implementation Plan
1.2.1 Well Defined Strategies
1.2.2 Implementation Plan
1.3 Policy
1.3.1 Policies Exist as appropriate
1.3.2 Policies Communicated Effectively
1.4 Leadership
1.4.1 Visible Commitment
1.4.2 Accountability Structure
1.5 Feedback Loops
1.5.1 Indicators Defined
1.5.2 Feedback Tracked
1.6 Leadership Support
1.6.1 Internal Capacity Building
1.6.2 External Support - Consultants   (optional)

1.7 Innovation (optional)

1.1 Vision and Goals
Intent
The organization has a clear and compelling vision for sustainability and "SMART"* goals for organization-wide institutionalization of sustainability in all aspects of the business (management, operations and collaborations), at all levels, and all stakeholders (internal and external) know what they are.
(SMART=specific, measurable, attainable, results-oriented, time-bound)

Implementation:
Most companies who begin the SPI process do not have SMART goals in place related to sustainability. This gap is critical to address and may take some time because these goals are usually set (or signed off on) by company leadership.

It is strongly suggested that a goal setting/visioning session be held. Unless you have specific internal capability this session should ideally be facilitated by an outside party (SPI and its program partners can facilitate, or you may engage the provider of your choice.) In deciding on what the SMART goals should address, leaders should consider all aspects of the SPI criteria, as well as any existing corporate or business objectives.

At a minimum, SMART goals must address project performance and the corporate footprint. We strongly suggest you also formulate goals that address accountability structure, partnerships, and other aspects of sustainability identified by this program.

Goals should be a mix of short and longer term. They should include both "BHAG" (big, hairy, audacious goals) and more modest goals. During SPI yearly reviews we will look at the aggressiveness of the goals as well as the company's success in achieving them.
Some examples:
business goal: we will provide net zero construction services at no extra cost by 2014
performance goal: we will adopt the 2030 challenge and meet targets for carbon reduction.
capacity goal: we will develop in-house capability to perform building energy analysis and simulation using XYZ tool within the next 12 months

1.1.1   Organizational Goals
Intent
The organization has established SMART goals related to company performance overall (environmental footprint, scope of services, R&D, partnerships, etc - non-project specific) and has communicated them effectively internally and to partners.

The company has established internally driven goals that relate to operations, business development, capabilities and other non-project specific goals. These goals are visible and clearly tied to all business activities.

Requirements
Written goals that are specific, measurable, achievable, realistic and time-bound

Goals must be clearly articulated to all staff (demonstrate where these are posted or how they are communicated) and everyone should understand them and know that they are real and important (demonstrated through the internal survey and interviews)

Where appropriate, goals should be visible to external audiences as well (via website and/or other mechanisms)

Goals will ideally be reflected in job descriptions and policies.

For operations, the organization may begin doing a carbon footprint analysis (using an intern or other outside help) to identify biggest impact areas that can be prioritized for strategic reductions over time. One goal may be to review all leases of office space to identify opportunities to negotiate "green" lease terms as renewals come up.

Examples
All PMs will have the tools/methodology/training to perform/lead life cycle costing by [date]
Goal for operational footprint is X/sf energy/lighting, etc (stated in FM guide, lease agreements)
Goal for purchasing includes X% recycled etc.
Goal for all future (new) office space to have "green lease" and be Energy Star rated or LEED EBOM certified space

1.1.2   Project Goals
Intent
The organization has SMART goals for project performance and has communicated them effectively internally - and to partners. Adherence with 2030 Commitment is recognized within this category.

The organization has set clearly articulated minimum goals for project performance, independent of its clients, and has institutionalized processes to ensure that project performance goals are the focus of every project early on.

Requirements
Internal documentation and communication about minimum performance goals for all project leaders. This can be publicly stated or part of internal communications.
Evidence in project management protocols that performance criteria are part of early meeting or kick-off discussions. This can include Agenda templates, workplan templates

Examples
All projects (over X SF) meet LEED Certification requirements regardless of whether the client requests 3rd party verification.
All projects will be designed to be net zero by 20XX
All projects exceed energy code by Y% (documented in handbook or wherever is appropriate).
All planning projects will integrate LID principles
We will provide net zero construction services at no extra cost by [date]

1.2 STRATEGY & IMPLEMENTATION PLAN
Intent

The organization has articulated clear strategies and an implementation plan to achieve its sustainability goals (both short and long-term) for both organization and project delivery. These strategies serve to translate sustainability goals into systems, practices and processes.

Implementation
Strategic and implementation plans can be more or less formal. The most important outcome is that clear strategies exist to support organizational goals, that there is a plan to implement every strategy and that responsible parties are designated for accountability. It is critical that any sustainability strategies incorporate intentional change management efforts to ensure success.

If your company has an existing business or strategic plan, these goals can and should be integrated into that existing plan. If your company does not, this is an opportunity to think about business development in the context of sustainability. Many companies begin to create a Sustainability Strategic Plan, which is less comprehensive than a full business or organizational strategic plan, and focuses specifically on the goals, strategies and implementation of the sustainability initiative.

Once SMART goals are established, it should become clear which strategies are needed to support those goals. This, in turn, will inform which staff will be responsible for executing the strategies. Those staff should be part of establishing the strategies and the metrics for tracking their success.

1.2.1 Strategies
Intent
The organization has identified strategies to achieve its goals in both the short and long term.

Requirement
Documentation of strategies to achieve goals can be part of a more formal strategic or business plan, or informal internal meeting minutes, memos, website, intranet or other relevant content.

Examples
If your company is an architecture firm, and its project performance goal is to be able to deliver net zero buildings by 20XX, then you might have the following strategies to support that goal:
- Partnerships: work with key consultants (MEP, daylighting, etc) to jointly establish working methodologies to execute analysis needed to evaluate NZ design
- Develop internal tools and resources to enable PMs to do preliminary or detailed analysis
- Develop an educational plan that targets key project staff to expand their skills using specific software analysis tools
- Establish a knowledge management system that can track case studies, successfully implemented strategies and 3rd party resources to support all of your teams efforts

1.2.2 Implementation Plan
Intent
The organization has created a plan for implementing strategies over time. This plan includes the established SMART goals, how they are prioritized over time, what indicators will be tracked to measure effectiveness and responsible parties who will be accountable for overseeing the implementation of strategies and tracking success.

Requirement

As above, this information may be part of a formal business or strategic plan, or sustainability plan. If not, there should be evidence in internal meeting minutes, memos, intranet or other relevant internal communications.

Examples

From the example in the previous section (1.2.1), if your architecture firm wants to be able to deliver net zero buildings by 20XX, and one of your strategies to achieve this goal is to develop strategic partnerships with key consultants who can help provide technical analysis than your implementation plan will include the following:

- Review of contracts (scope and deliverables) to revise as appropriate and align all future working relationships with the goals of NZ design. (This may include shifting timing and scope of involvement, more specific criteria articulated about the qualitative and quantitative nature of deliverables)
- Possibly development of RFQ to solicit new consultants/partners for specific scopes of work.
- *(Both of these items may require an internal meeting for your company to clarify its expectations of what key partners/consultants bring to the project and how they work with you, so that you can articulate that to them in a way that is effective.)*
- Identifying specific tools or resources, used by your company or by your key partners, which are needed to support technical or financial analysis, and make sure those are attained, staff are trained appropriately and the use of those tools is integrated into the project management timeline.
- Working with these key partners, perhaps outside the scope of a specific project, to identify any research or activities that needs to be done in order to develop capacity of your team to deliver NZ in the future. (This could relate to energy modeling, building envelope design strategies, the development of a proprietary carbon tracking tool for internal use, or proficiency using an existing tool, etc.)

For each of the above items, there is a timeframe articulated and designation of responsible people to deliver or manage the implementation item.

1.3 POLICY

Intent
The organization establishes, implements and maintains policies to support organizational goals, as appropriate.

Implementation

For some of the aforementioned SMART goals, there <u>may</u> be a need for supporting policies. For many goals, policies may not be necessary or appropriate and SPI does not suggest the creation of policies for their own sake. However, there are circumstances in which policies are necessary to ensure consistent behavior or implementation (especially across a large organization).

For operational goals aiming to reduce the company's environmental footprint, there may be policies related to purchasing (recycled content of paper, use of water purifiers instead of bottled water, etc.).

For project related goals, there may be policies related to professional development (requirements for certain staff to become LEED AP or financial reimbursement for successfully completing the exam) or project performance targets (adopting the 2030 challenge or policy relating to tracking performance of projects over time).

Once SMART goals are established, company leadership will ascertain which of those goals require new or refined policies and how those policies will be publicized and enforced.

1.3.1 Policies Exist

Intent

The organization has written policies, where needed, supporting goals and strategies for institutional sustainability.

Requirement

Policies are documented in appropriate places such as Employee Handbook, training and orientation materials, intranet and other places where they would be relevant.

Examples

Policies to purchase office materials with high % post-consumer recycled content would be set, purchasing staff (in all offices) would be notified and possibly a memo would be sent to vendors/suppliers who provide those materials to notify them of the new policy.

Policies related to energy conservation may include gradual switching over to more efficient fixtures, appliances and equipment. This would involve purchasing staff, office managers, building maintenance staff and possibly relate (in tenant situations) to new leases. Some examples may include re-lamping with CFL or LED lights (as appropriate), "upgrading" leased copying equipment to more energy efficient models and requiring Energy Star labeled appliances, or requiring that internal drafts be printed without large blank spaces (the software to implement this would be listed in section 3.1.8)

1.3.2 Policies are Communicated Effectively

Intent

These policies are documented in appropriate places (employee handbook, intranet, orientation materials, PM materials, etc). They are distributed effectively, and employees perceive them as relevant and implemented.

Requirements

Evidence that policies are accessible, visible and posted in relevant places. Acknowledgement by staff (through surveys, interviews, or other means) that they are aware of these policies and that they perceive them to be important.

Examples

Communication strategies may include making sure all new policies are reviewed during performance reviews, general office meetings, intranet portal (pop up announcements, etc, in places staff need to access as part of their daily work).

1.4 LEADERSHIP & ACCOUNTABILITY

Intent

There is a clear accountability structure to support sustainability, with well-articulated roles in leadership positions at different levels, as appropriate. Commitment to sustainability is integrated into communications (external and internal).

There is no substitute for strong leadership and a sincere commitment to sustainability. A clear and compelling vision that is translated into a call to action and well-defined path forward will inspire staff and grow the excitement to engage in the sustainability initiative. In the context of SPI, "leadership" is not limited to the CEO or president, but to a broader set of leaders at different levels of the company.

Implementation
There is not a single model for leadership or accountability structure. They have taken many forms depending on the type of company, size, scope of services, culture and existing management structure.

Two critical ingredients for success are 1.) creating a sense of urgency for these efforts and 2.) developing an effective leadership team structure with accountability.

By joining SPI and going through the organizational Assessment, a company will develop a valuable sense of urgency that can be leveraged to diffuse the effort across the organization. The next step is to make sure that an effective leadership team is formed, that it has some level of authority and provides value that is aligned with core business purposes. This will tie directly to a company's ability to maintain momentum and ensure that efforts gel into a cohesive and comprehensive initiative.

Historically, many companies formed "green teams" made up of passionate, committed sustainability champions. However, that team usually did not have any authority or impact on decisions being made organizationally. They tended to be thought of as a fringe group whose core purpose was not related to the fundamental business objectives of the company. One of the keys to success is to understand what works in your company's culture and how to align the functions of this sustainability leadership team with core business objectives.

The sustainability structure:
- Does not require a "new hire" or "Sustainability Director", but that can be a valuable option
- Should be perceived as highly valued within the organization
- Should have authority in some way (possibly to approve the sustainability plans submitted by different divisions or departments, distribute a discretionary budget for specific purposes, etc.)
- Should include and/or connect to the executive/decision-making team
- Must integrate with existing corporate initiatives
- Is typically made up of key people responsible for overseeing or executing the SMART goals
- May be a group of people who are "elected" for a term and must compete for this 'coveted' and respected position

Companies who began with "green teams" many years ago have seen that the purpose and function of that team has changed over time. Originally formed to provide 'green expertise' to projects, almost like in-house consultants, they frequently evolve to have an *integrating function* more connected to quality control and consistency. The original function tended to create an unintentional dependency on this group for knowledge as opposed to building capacity across the organization. As this changed in many organizations, the function of the group changed. They began to be perceived as more valuable to the business overall.

For companies who feel that they have a lack of capacity or leadership for sustainability and are interested in hiring new position(s), there are different business models for doing that. Many companies have hired a Sustainability Director or Manager and required that the person be supported largely through billable work (supporting sustainability across different projects in the office as well as organizational initiatives) and others support that position directly from overhead (marketing, general).

If your company does not yet have a sustainability leadership team, or has a green team that has not been able to be effective, the SPI program is a good opportunity to establish one or revisit what you have.

1.4.1 Visible Commitment
Intent
There is public, written information about sustainability commitment (& leadership) that is visible to internal and external audiences.

It is important that all employees know and believe that the sustainability initiative is important and that they all have a role in its success. It is also important that clear public statements exist so that clients, partners and others know.

Requirement
Public statements on website and in marketing materials about the organization's commitment to sustainability.

Example
Vision statements on website in main pages, in leader bios.

1.4.2 Accountability Structure
Intent
There is an accountability structure for sustainability with clearly articulated roles and responsibilities that ensure consistent activities and support to achieve goals.
If new positions are created, this information is shared effectively with all staff and external partners (email, memo, website, other).

Requirement
Clear roles and responsibilities are identified in an organizational chart, job descriptions or by other means so that all in the organization (and external partners) know who is responsible for what regarding sustainability. For operational issues, staff know who is responsible for environmentally preferable purchasing, and so on for other issues, including professional development and IT/tools & resources. Additionally, project staff knows how to access mentors or Subject Matter Experts (SMEs) to support their work developing sustainability strategies in design or construction.

This may be found in an org chart or other document or may be tagged or linked through Sharepoint or other IT infrastructure, regularly used for other purposes.

Examples
Org chart, job description(s) and/or narrative explaining who is responsible for various aspects of sustainability and how they interact with each other and with the organization as a whole

Evidence that these people are expected to dedicate time to the sustainability issues (timesheet code, job descriptions, meeting schedule, meeting notes, memos, etc.)

1.5 FEEDBACK LOOPS

Intent

There are systems in place to collect, monitor and evaluate progress based on the indicators and metrics of the stated SMART goals, strategies and tactics outlined above. This allows for mid-course corrections as needed.

Implementation

Depending on what the SMART goals are, feedback loops may exist in different forms.

If you have goals about project/portfolio performance, you will need IT systems that record and track various data for energy consumption, carbon, water, etc. If your goals include leadership support and effectiveness, your feedback loop may be based in communication – possibly as part of internal surveys or performance reviews. If there are goals about effective implementation of educational resources and training, you can be tracking attendance in workshops, "hits" to online resources to see which have been most valuable, etc. The objective is to devise ways of tracking your progress against specified goals to know whether the company is on track and achieving the value intended, or if there are changes that need to be made.

1.5.1 Indicators Defined

Intent

Key performance indicators are defined and feedback loops are established.

For every goal that is established, there will be indicators for success. Those indicators may be profit, improved performance or time saved. Defining indicators to track goes hand-in-hand with goal setting.

Requirement

If your company has a formal plan (strategic, sustainability) these goals and indicators will be identified in that document. Otherwise, these performance metrics will likely show up in a management tool, either project specific or tied to a job description and/or performance review. If your company has a Sustainability Leadership Team, they may do a quarterly or annual report that tracks this information.

Examples

Indicators for operational efficiency tend to relate to energy or water consumption or reduction of solid waste. Tracking energy (or dollars) saved, water saved or higher recycling rates is relatively straightforward.

Effective use of tools & resources that support sustainable design may be more challenging. Depending on the tools & resources used, a company may be able to track how frequently staff are accessing it and if its being used widely. This, together with an annual survey that includes questions as to which tools are most valuable, and similar question in performance reviews would all help to contribute to evaluating if investment in certain tools or resource should continue.

For design firms who are concerned with improving the performance of their projects, or achieving specific building rating levels, and who have experienced significant gaps between the "predicted" and "actual" energy use, they may want to create feedback loops related to both tools and processes. They may want to set indicators that track what types of assumptions are consistently shared in the creation of an energy model, or hours spent doing analysis and, of course, the predicted consumption figures versus the actual consumption.

1.5.2 Feedback Tracked

Intent

Those responsible for executing strategies track their metrics and communicate periodically, at the appropriate leadership levels, to share information and feedback and to coordinate.

Based on the indicators established, methods for tracking and communicating enable people to see if they are reaching their goals.

Requirement

The company will describe its methods for tracking its various goals. Some of the feedback loops will be in communication (verbal, electronic, through surveys and/or performance reviews) and some will use IT infrastructure (data cataloguing, BIM information, utility bills, dollars spent or saved). Findings can be communicated weekly, monthly, quarterly or annually as is appropriate for the type of action they are reflecting and the intended impact of the information.

Examples

Performance review may include questions such as the following:

"Do you feel that you have access to SMEs or other resources to adequately support your sustainable design efforts? Please give specific examples."

"What tools do you find most valuable for x, y or z?"

Annual review of all relevant projects' "predicted" vs. "actual" energy data that has become available in that year to see trends, evaluate success factors or identify issues. (information shared with team members who participated in analysis)

Internally developed tools/templates such as life cycle costing templates accessed thru company IT system – IT manager can verify how often tools are downloaded and send a query to confirm that they were useful.

1.6 LEADERSHIP SUPPORT

Intent

Sustainability Leaders receive the support they need to be successful - both in terms of training and skill building as well as outside support, such as consulting or professional services.

Many companies focus on technical skills and capabilities as the path to achieve their sustainability goals. Equally important are the non-technical skills of communication, leadership, change management and basic negotiation skills to overcome resistance that must be supported in order to truly institutionalize sustainability.

Aside from leadership development for key management positions across the organization, there are skills needed to support leadership relating to client services. For example, project managers that must lead highly collaborative, integrative design processes must have a comfort level with many different communication and negotiation skills in order to make sure that sustainability goals are met and conditions are created that are conducive to success.

Implementation

First, it is important to understand what skills and capabilities are needed in the organization for different roles. Ideally, these skills are aligned with the company's SMART goals. Once the leadership

(and HR) can identify the skills and the people who need them, an assessment can be done of current capacity. Leadership development is an ongoing effort to nurture and support people at different levels of the company.

1.6.1 Internal Capacity
Intent

Skills & Knowledge - key communication and leadership skills are nurtured (at various, appropriate levels), technical content (to the degree necessary) is supported (includes but is not limited to building science, energy modeling, sustainability business case preparation) - this is part of prof. development but specifically focused on the leadership functions that support sustainability.

Requirement

Identify in job descriptions and performance reviews and/or qualifications being advertised for new positions. Technical positions should articulate appropriate and relevant technical skills and executive/management and project management positions should include communication and other nontechnical skills.

Relating to the Infrastructure Section, 3.3 Education, the company's professional development plan will also outline what skills and capabilities need to be supported and how that happens.

There are also protocols laid out by management to address cross-linking connections when developing capabilities is not appropriate or possible. For example, in an architecture office a senior level project architect may be working with a more junior BIM designer so that comfort with software and knowledge of construction can be integrated in a way not possible with one person. Or in a mechanical engineering firm, a senior engineer experienced in energy modeling and simulation is linked with a younger engineer who may be more familiar with new software programs. Descriptions of any such protocols would be noted in the tracking spreadsheet

Examples

Job description examples, professional development plan samples

1.6.2 External Support
Intent

Professional services provided by outside experts provide support functions for issues such as change management, strategic planning or meeting facilitation, which can be crucial to institutionalize sustainability.

On occasion, a company relies on outside consultants to provide expertise or skills that don't exist internally or aren't part of the normal operations. When the need occurs, the support needed is acquired. In the context of sustainability this can be facilitation training (to manage integrative design processes), a strategy consultant to develop a sustainability strategic plan, training for specific software tools, or other support functions.

Requirement

Depending on what kind of support was needed, the evidence of this may be meeting agendas, proposals by outside consultants, reports, workshop/training attendee lists or other.

Examples

Change management consultants being engaged, especially after merger/acquisition, professional facilitator used to lead internal discussions of the leadership team to set sustainability SMART goals or set policies, negotiation skills training or coaching.

1.7 INNOVATION

Intent

Innovations in this category

There may be some very innovative practices or activities that companies undertake to develop leadership or commitment to sustainability, or use that leadership to develop a corporate value system as a cultural element of the organization. These may include internal programs specifically recognizing sustainability leadership (similar to the Six Sigma for business acumen) or retreats/field trips to see glaciers or other inspiring environmental phenomenon. Any action, strategy or tactic taken that dramatically / significantly supports strong leadership, accountability or effectiveness of sustainability beyond best practices.

SECTION 2: PROJECT DELIVERY & PROPERTY MANAGEMENT

The most compelling evidence that a company has truly institutionalized sustainability is in its projects or property management. If the systems, processes and methodologies to support sustainability goals are in place and used consistently, every project will benefit, regardless of external drivers or client-driven goals. This section addresses all phases of project-specific activities that connect the internal commitment to sustainability to the external delivery of work or satisfaction of clients.

SPI will work with each Participant to identify a representative sampling of their projects or properties and determine which of the elements below apply and what existing project documentation will be audited.

All clients and team members on the selected projects will be included in the external survey.

2.0 Project Delivery & Property Management includes the follows sub-sections:
    2.1 Pre-Project Assessment
        2.1.1 Assessment
        2.1.1 Pre-Construction Services
    2.2 Building an Integrated Team
        2.2.1 Team Structure & Expectations
        2.2.2 Team Building
    2.3 Goals and Planning
        2.3.1 Project Performance Goals
        2.3.2 Process Design
    2.4 Project Phases:
        2.4.1 Conceptualization
        2.4.2 Criteria Design
        2.4.3 Detailed Design
        2.4.4 Implementation Documents
        2.4.5 Agency Review
        2.4.6 Buyout
        2.4.7 Construction Administration
        2.4.8 Closeout
    2.5 Operations
        2.5.1 Long Term Carbon Reduction
        2.5.2 Energy Reduction, Management & Data Tracking
        2.5.3 Green O&M Plan
        2.5.4 Remodeling & Repairs
        2.5.5 New Construction or Gut Rehab
    2.6 Innovation (Optional)

Although this section of criteria is subject to audit of existing project materials, and therefore simpler to prepare for, there are a number of other elements in the SPI program that are interrelated with project delivery. In order for SPI to understand how well your company's systems, resources and methodologies support your project delivery, it is frequently helpful for the company to spend a little time "mapping" out their services.

SPI recommends an exercise where representatives from different services areas or disciplines in your company spend time together to 'map' each standard set of services, as they evolve in time, from start to finish.

Chart the process of the particular service from initial engagement with client, through delivery of final work.

For each service or type of project, document the following:
- Skillsets needed
- Process steps to complete each task
- Methodology (approach to the task)
- Tools & Resources used at critical steps
- Partnerships/relationships engaged – expectations from that relationship at each step

This has a few benefits. First it helps make sure that everyone in your company has a shared understanding of how sustainability is integrated into all steps of your project work (especially helpful for your non-technical staff). Second, it helps you to validate that the systems and infrastructure that support projects is aligned with these processes. Third, it helps SPI understand better how you use your systems and resources to support sustainability work.

Additionally, it is common that companies may have methodologies being used by some people or in some divisions of a company, but those methodologies are not being used consistently. Because there is usually no documentation of what the "standard, or recommended methodology" is for the company, this exercise can be helpful to establish that and provide a tool to communicate expectations and migrate best practices across the organization.

Intent

Organizational infrastructure and support systems (processes and procedures) provide the institutional foundation to support implementation of sustainability goals throughout the company and enable consistent, high quality sustainability services on all projects.

Implementation

Project delivery is often the main focus of companies trying to institutionalize sustainability, but all client services depend on supporting systems, tools and resources. This section identifies the different areas of organizational infrastructure that enable project delivery and company operations. The "mapping" exercise described at the end of Section 2.0 is good way to identify, at each step of your processes, which critical tools, resources, and methodologies are being (or should be) used. Doing this will help identify what critical infrastructure is needed, if it is being used effectively and whether the company has any gaps or needs to fill.

Frequently, companies find that they need more internal tools, such as templates for workplans, charrette agendas, life cycle costing, etc. that may not exist, or may not be easily accessible to everyone who needs them. Another common gap is support for managing integrative design processes. This support may show up in areas such as education and training programs, internal project management protocols, or templates for consultant contracts and span a range of different infrastructure elements.

Once SMART goals are established for both project delivery and operations, it is advisable for your company to do an internal review of systems, processes and resources to ensure that you have the infrastructure support that you need to achieve those goals.

3.0 Infrastructure and Support Systems includes the follows sub-sections:

3.1 Tools and resources
>   3.1.1 Project Management Tools & Templates
>   3.1.2 Product Evaluation
>   3.1.3 Reference & Sample Libraries
>   3.1.4 Analysis - Bldg Performance
>   3.1.5 Design Standards
>   3.1.6 Specification Standards
>   3.1.7 Templates
>   3.1.8 IT Processes
>   3.1.9 Communication

3.2 Human Resources
>   3.2.1 Performance Management
>   3.2.2 Employee Manual and Orientation
>   3.3.4 Tracking Metrics

3.3 Training/Education/ Continuous Learning and Mentoring
>   3.3.1. Education Plan
>   3.3.2 Interpersonal Skills
>   3.3.3 Management Skills
>   3.3.4 Technical Skills

3.4 Marketing
>   3.4.1 Website
>   3.4.2 Collateral

3.4.3 Proposals

3.4.4 Public Presence

3.5 Quality Control Processes

3.5.1 QC systems

3.5.2 QC effectiveness

3.6 R&D

R&D Activities focused on development of best practices, tools, technologies, etc. (optional)

3.7 Innovation (optional)

3.1 TOOLS AND RESOURCES

Intent

The organization provides and maintains critical tools and resources to support its sustainability goals at all levels, from operations through project delivery.

Implementation

Tools and resources should support both project delivery (software and analysis tools, templates and internal standards) and operational sustainability (purchasing guidelines, utility tracking, green lease guidelines or building operations & maintenance protocols). This section identifies a range of different resources.

3.1.1 Project Management Tools & Templates

Intent

Tools that support consistent implementation of Integrative design and project delivery are included here, including internal tools (meeting agendas, design charrette templates, workplans) and external tools such as knowledge & project management and BIM.

Requirement

Evidence that critical tools exist and are used effectively and consistently across projects. This may be evident through IT systems (like Sharepoint), project management training and annual reviews, workplan templates, project files, internal design or construction standards or specifications.

Examples

Process: integrative design guides internally (either use existing 3rd party materials, or develop methodologies that are applicable for your particular service area); these may include project management checklists, templates within scheduling software that identify key milestones and deliverables and agenda templates for different phases of design.

Analysis: tools may range from training and protocols for using analysis software, to process guides making sure that all relevant staff--across projects--are interacting with clients and/or consultants most effectively, to external tools (subscriptions to online resources) and internal guidelines for product evaluation, etc.

BIM: both software and training protocol for all relevant parties, as well as protocol for interaction with outside team members

The number of tools and resources is constantly growing. These include EVATool (knowledge management), Lorax Pro and LEED User (LEED project support), BuildingGreen and Pharos (green materials) and many others too numerous to list here.

3.1.2 Product Evaluation
Intent
Internal and external tools and resources to evaluate green products - online subscriptions, reference materials, internal documents, etc.

Requirement
Internal guiding principals or standards for what your company will specify (min requirements), templates for communicating with manufacturers, processes and/or tools for product evaluation and internal specifications.

Examples
"We avoid materials containing chemicals on the Living Building Challenge: Materials Red List.
We maximize recycled content whenever possible. We use BuildingGreen's Greenspec and Pharos as our primary sources of information on materials.   When further information is needed we use the attached template to solicit information from the manufacturer."
(note: these may also tie in to goals/policy section)

3.1.3 Reference & Sample Libraries
Intent
Library of essential sustainability information & product samples, if appropriate.

Requirement
This can be a mix of physical samples, online subscriptions or internal IT databases or other programs that provide product information, strategies, case studies and other reference materials needed to deliver sustainable design, construction or operations.

Example
Your company may have its own knowledge management system that catalogues specific information relative to design strategies (daylight optimization standards, geothermal design, displacement ventilation, etc), which may include case studies, standard specifications for specific strategies, links to outside websites or subject matter experts within or outside the company.
If you have a product samples library, you may have developed a system to identify those products your company (or a valid 3rd party) classifies as "green" by some standard.

3.1.4 Analysis - Bldg Performance
Intent
Software tools to analyze building performance and cost (energy, daylight, etc) including BIM.

Requirement
If analysis is done, evidence of tools used consistently. This would also relate to performance tracking and feedback loops and closing the gap between "predicted" and "actual" performance.

Examples
Internal use of tools such as IES, Radiance, eQuest, D-Profiler or other proprietary or 3rd party software used for analysis.

3.1.5 Design and/or Construction Standards
Intent
Internal design and/or construction standards represent best practices for energy efficiency, health and performance, include specific details for sustainable strategies (green roof, alternative site water management strategies, etc) and are maintained and used consistently across projects.

Requirement
Evidence of internal standards and description of how they are disseminated, maintained and updated (to show how they are used effectively and don't just sit on a shelf).

Staff should be able to identify green specifications/drawings/design details within the standards. If they don't exist and there is a need for them, provide a list of the details you will develop and how they will be disseminated.

Examples
Architecture: may include specification standards for non-VOC paints, sealants and adhesives, design standards for passive house design or other high-efficiency building envelope, green roofs, geothermal systems, external shading devices.

Mechanical Engineering: may include specifications for certain control systems, specific high efficiency equipment, design standards for displacement ventilation strategies, etc.

Construction: may include specific details for site prep, envelope sealing/moisture control, protection of HVAC equipment and filters during construction, etc.

Planning: may include LID strategy details, green roof details, porous pavement specifications and details, etc.

3.1.6 Specification Standards
Intent
Specification standards represent best practices for health, performance, resources efficiency and environmental impact. They are maintained and used consistently across projects.

Requirement
Evidence of internal spec standards and description of how they are maintained. Similar to above.

Examples
Similar to above 3.1.5

3.1.7 LCC Templates
Intent
Life cycle costing templates are created and used consistently on projects.

Requirement
Evidence that recommendations to the client (that include cost information) are made in the context of life cycle costs and not only first costs. If the client specifically and explicitly does not want that information, evidence that this methodology is in place to be used whenever possible and that the tools/templates for doing LCC are in place and accessible to all appropriate staff.

Examples

"Systems" approaches to HVAC, lighting and controls that have ROIs over a certain payback period, which may have increased first cost. This could be demonstrated with a project example, a policy that the template is used whenever possible and evidence of how that is communicated to clients.

3.1.8 IT Processes

Intent

IT processes support sustainable design. This includes internal communication, knowledge management and other IT functions. IT systems are audited and maintained to increase energy efficiency as much as possible.

Requirement

Demonstrate that there are effective means for communicating 'lessons learned', methodologies and design strategies. This could be through the intranet, email blasts, memos, online knowledge management system, office meetings or internal peer reviews. Project management and any other IT system supporting sustainable design can be included.

Also describe what steps have been taken to increase efficiency of IT systems and infrastructure. Energy efficient equipment, protocols for powering on and off, efficient printing protocols etc.

Examples

Screen shots of intranet showing PM software or other systems to support design efforts.
Description of upgrades made to CPUs or server equipment for better efficiency, inter-office memos about increasing efficiency in compute/printer use (power on or off, automatic controls, duplex printing etc).

3.1.9 Communication

Intent

Communication processes, systems, mechanisms, protocols support sustainability goals

Requirement

Describe communication protocols for sharing lessons learned from projects, general knowledge sharing, how subject matter experts (SMEs) are identified and contacted by staff, internal team communications related to project management and coordination

This would also include communication from leadership about commitment to sustainability, expectations for company's best practices and corporate culture. (emails, website, intranet)

Examples

Evidence may include screen shots of knowledge management system, company calendar showing in-house peer reviews or internal project charrettes that are used for both project benefit and knowledge sharing, list of scheduled "lunch-n-learns", new employee orientation or handbook description of communication protocols, workplan templates which include communication expectations, etc.

3.2 HUMAN RESOURCES

Intent

Formal HR policies, systems and processes support sustainability goals

HR support varies across companies. Generally, this includes hiring (job descriptions, performance reviews), Employee Handbook (policies, company values, etc), new employee orientation and education/professional development. Depending on your company's SMART goals, there will (or should) be evidence in these resources related to sustainability skills and qualifications, continuous learning, policies related to 2030 Commitment, financial incentives (ranging from LEED AP test reimbursement to salary increases tied to acquiring key skills), time sheet/tracking relative to sustainability related efforts, etc.

Implementation

As with other sections, your company's SMART goals will determine what specific HR functions and resources are relevant. Reviewing those goals and identifying the key HR support will help you understand what to look for. No matter what your company does, there is probably a need for clear descriptions of sustainability responsibilities in job descriptions (and therefore performance reviews), Handbook and other related systems (time sheets, billing, etc). Once HR staff understands the connection between their resources and corporate sustainability goals, they can identify how to best share that evidence.

3.2.1 Performance Management

Intent

Employee performance, relative to sustainability goals, is addressed in job descriptions, performance reviews and incentives (financial or nonfinancial) reward commitment and success. Promotions include recognition of performance related to sustainability where appropriate.

Requirement

Job descriptions may not exist for "sustainability" jobs explicitly, but there should be job descriptions (and related performance review criteria) for technical/project management staff that refers to:
- knowledge (familiarity with LEED, energy efficiency, proficiency with certain types of analysis),
- skills (proficiency with specific software tools, integrative design facilitation/project management, charrette facilitation)
- experience (past experience working with rating systems, achieving levels of performance, creating or leading internal "green teams", leadership in sustainability such as participation in professional associations, etc.)

Examples
- Job descriptions or postings for new positions that specify specific skills or capabilities relative to sustainability services.
- Specific job descriptions that explicitly say "sustainability" where appropriate
- Performance reviews that include reference to professional development (related to sustainability), success or effectiveness implementing sustainability strategies in projects (e.g. achieving LEED certifications) or as part of the company's operations (reducing paper waste)
- Examples of HR policies for financial or nonfinancial incentives (LEED Test reimbursement, promotion includes specific sustainability achievements)

3.2.2 Employee Manual and Orientation

Intent

HR Employee Manuals reflect organizational commitment to sustainability, accountability structure and expectations of staff at different levels. Manual documents policies and protocols in place to support

sustainability. Orientation for new employees includes focus on sustainability as appropriate, from organizational commitment to project delivery expectations, tools and performance targets.

Requirement

Employee manual contains appropriate references to sustainability. These may be part of company vision statement and values, included in org chart/job descriptions, defined as supported volunteer activities (community related or participation as volunteer in NGO) or policies related to office operations, travel, professional development or other.

Orientation for new employees includes references to sustainability in all appropriate areas (such as company vision and values as well as clearly articulated expectations for sustainability being a fundamental approach to design/construction excellence and not only "on-demand")

Examples

Sample job descriptions or performance reviews
Relevant sections of Employee Handbook
Relevant materials from new employee orientation materials (can include videos, agendas as well as slides, written materials).

3.2.3 Tracking Metrics

Intent

Systems exist (and are used) to track organizational and project sustainability metrics including tracking project profitability related to integrative / collaborative design processes.

Different from tracking energy use data and other impacts, this refers to tracking profitability and performance, which can fall under the umbrella of HR

Requirement

Utilization rates, book-to-bill ratios, evaluating the impacts of different delivery methods and design processes on profitability (IPD contracts, Design-Build, or highly integrative design processes may optimize time inputs and shift hours from end to beginning of process, have been shown to reduce wasted time and increase profitability).

Examples

Evidence may include time sheet tracking, project management tool (screen captures), manager assessment of staff efforts (in quarterly or monthly reports) or annual review of time impacts of different contract structures on profitability. Also related are reports from "super-charrettes" (compressed, intensive design processes) together with overall project schedules and fees.

3.3 Training, Education, Continuous Learning and Mentoring

Intent

Formal education/professional development program supporting capability to deliver sustainable design exists (and is specifically aligned with the SMART goals that the organization has for project performance). Professional development plan supports continuous learning for interpersonal, management and technical skills, through various pedagogical models: passive, project-based, mentoring. Some or all of the plan elements may also fulfill AIA/GBCI and other CEU requirements.

Implementation:

Most companies already have continuous learning or professional development programs. Sometimes there are more formal educational plans and other times it is left more to the individual staff to pursue and maintain their professional development.

Ideally, SPI would like to see that educational plans are tied directly to the previously mentioned SMART goals and that there is some intentional planning around capability – development and maintenance as well as some level of validation that the educational investments are actually manifesting in project work.

For example, if one of your company's SMART goals is to be able to deliver net zero projects by 2030, then your education planning will identify who among your staff needs to develop what skills and capabilities (including proficiencies with specific tools and resources) to realize that goal.

If your company is committed to research and development, you may also have an educational (and partnering) plan that supports the specific R&D focus you would like to achieve. For example, partnership between a healthcare institution, engineering firm, national lab and professional association (ASHRAE) was established to develop new standards for displacement ventilation in healthcare facilities.

3.3.1. Education Plan
Intent
A plan exists and is maintained, which identifies skills and capabilities required at different levels, for different roles to implement sustainable design. This plan lays out different <u>methodologies</u> for continuous learning and sharing of information within the firm (and/or with partners). Plan will identify how learning will be achieved (individual learning, formal training programs, peer-to-peer, internal "clinics" / project reviews or crits, etc.)

Requirement
Ideally, your company has developed and implemented an educational plan, as described above. If this has not been done, a preliminary outline should be drafted that identifies your SMART goals and then lists relevant skillsets and capabilities, tied to specific roles in the organization.

Examples
Some companies have goals to be able to deliver LEED on all projects over a certain dollar amount. The education plan should identify which staff need to become/maintain which LEED accreditation and other related capacity building (peer review of other projects, mentoring, lunch and learns, tool trainings).

Other companies have committed to the 2030 challenge. This will require that staff become educated in 2030's protocols, potentially attend 2030 trainings, learn how to use carbon tracking and assessment tools and other relevant information.

Many companies are integrating BIM into their practice. This requires long term planning to develop capabilities and proficiencies as well as cross-linking between technical experts for software and design.

3.3.2 Interpersonal Skills

Intent

Interpersonal skills improve the effectiveness of staff to champion sustainability, lead initiatives, overcome resistance to ideas and build effective collaborations. They include the following:
- *Facilitation (internal & client meetings, design charrettes)*
- *Communication and Presentation skills (oral & written) to effectively convey ideas*
- *Conflict resolution & negotiation skills to overcome resistance or contribute to change management*
- *Leadership*
- *Team Building & Partnering*

Requirement

Evidence that appropriate staff have undergone formal training, mentoring or other skill building to support these capabilities. May also be evidence of performance in memos, meeting notes, performance reviews, etc.

Examples

Attendance at public workshops, internal workshops, mentoring (internal) or coaching (internal or external) or webinars attended.

3.3.3 Management Skills

Intent

Management skills and practices are the core mechanism to deliver integrative design and must be completely aligned with integrative design principals. This includes three critical aspects:
- *Project Management*
- *People Management*
- *Time Management*
- *Change Management*

Requirement

Most companies have training, tools and/or protocols for project management; SPI is seeking evidence that your company integrates the objectives of collaborative decision-making into project management activities. Aside from basics of good project management, there should be consistency and clarity around collective development of project performance criteria, critical path decision-making roadmap/workplan (relative to sustainability performance goals), and effective engagement of team members to contribute in a valuable way.

Examples

Attendance at public workshops, internal workshops, mentoring (internal) or coaching (internal or external) or webinars attended. Evidence may also include actual workplans, project management timelines (with key types of deliverables defined), or meeting minutes, email communications that deal with engaging people and managing workflow.

3.3.4 Technical Skills

Intent

Technical skills must maintain capability in all aspects of sustainable project delivery that are appropriate to company's scope of services and goals. Technical capability applies to both content knowledge <u>and</u> ability to apply it, using critical tools for analysis. Content knowledge would include subjects relevant to professional services. For building projects this would include areas such as:
- *Building science*

- Energy Efficient and Net Zero Design
- Water conservation, alternative management strategies
- Sustainable site design
- Green Products and life cycle assessment
- Indoor env. quality
- Life cycle costing
- Construction best practices

Requirement
Evidence that the key technical skills needed to deliver work are developed, maintained and upgraded as appropriate.   This may be covered by the Educational Plan mentioned above.

Examples
Evidence includes lists of internal technical trainings conducted, participation in external workshops, coaching or mentoring for skill building or online webinars or tutoring for software tools/analysis (such as BIM).

3.4 Marketing
Intent
Firm's capability to deliver sustainability is portrayed accurately (using metrics and past performance) in all aspects of communications.

Every company claims to be "green", but this may be no more than "professional greenwashing". SPI looks for evidence that a company's claims are specific and accurate.

Clients are becoming more sophisticated and aren't satisfied with broad statements. Additionally, more and more companies can make claims that are true, but not representative of their overall capability—for example, having projects in a portfolio that achieved LEED certification does not mean that your company has the capability to deliver consistent, high quality sustainability services–so SPI encourages the use of actual data and metrics in marketing.

Implementation
Review of existing marketing materials (website, brochures, etc) to ensure that no false or misleading claims are being made. Evaluation of response to RFPs to see how to include valuable project data as part of qualifications (this may require new/enhanced communication between project staff and marketing staff about projects, and involve IT departments for data management).

3.4.1 Website
Intent
Commitment and services related to sustainability are found on website

Requirement
Sustainability should be present on website. This does not have to be explicit (using the words "sustainability" or "green") but the underlying values and principles of resource efficiency, health, collaborative design and other related goals should be articulated in a way that is appropriate to the company's culture. The website should not include false claims.

Screen shots or links to web pages, PDFs of marketing materials that may be downloadable from site.
(*Screen captures/PDFs are helpful as things change frequently*)

3.4.2 Collateral
Intent
Brochures, other marketing material demonstrate commitment/approach

Requirement
Similar to above, PDFs or links to collateral

Examples
Screen captures of electronic brochures, PDF of hard copies.

3.4.3 Proposals
Intent
Proposals to clients address project performance and methodology (if not explicitly mentioning sustainability).

Requirement
Proposals should include descriptions of approach and methodology (how your company achieves project sustainability goals), collaboration (how you work with teams to achieve goals) and examples of relevant work that show what you've accomplished. Sustainability may not be called out explicitly, but these principles should be integrated into your presentation of qualifications even when the client is not asking for "sustainable design".

Examples
Sample proposals.

3.4.4 Public Presence
Intent
Company represents its commitment to sustainability (either explicitly or by focusing on performance and methodology) in public engagements where seen by the larger community. This includes conferences, trade shows, public speaking or through presence on a board of directors or local government task force, or other political participation.

Requirement
Companies (or their employees) typically have relationships with professional associations, community groups or other entities that relate to sustainability. Wherever an employee is representing the company through its participation as a volunteer in an professional association or committee, making presentations at conferences or engaging in other community activities, this would be considered evidence of engaging in public presence.

Examples
Company memberships or affiliations in sustainability organizations, positions held by staff in volunteer leadership or committee roles, lists of presentations made at conferences or in other public forums. This could include screenshots, weblinks, online presentations or videos, lists of memberships and affiliations or other recognition of participation.

3.5 Quality Control Processes

Intent
Systems, processes and protocols are in place to manage and maintain a consistent level of quality control across departments and on all projects.

Companies typically have quality control processes generally; in this case SPI is referring to particular intersections with sustainable design objectives.

Implementation
Review of existing QC protocols to make sure that they align with project sustainability SMART goals (detailing related to energy efficiency, water reuse, etc)

3.5.1 QC Systems

Intent
Systems, processes and protocols are in place and implemented consistently by specific people who are responsible for their success.

Requirement
Identification of any current systems or processes for quality control that relate to sustainable design or construction objectives.

Examples
This can include field SOPs, internal systems for reviewing details and RFIs, etc.

3.5.2 QC Effectiveness

Intent
QC processes are regularly evaluated and tracked to ensure effectiveness.

Requirement
Description of how QC protocols are reviewed. Annual evaluations, post-project evaluations – as is relevant to current practices.

Examples
Internal communication, documentation or meeting minutes that address QC review.

3.6 Research and Development

Intent
Ongoing commitment to and investment in research and development - related to organizational sustainability goals, as appropriate.

3.6.1 R&D Activities

Intent
Ongoing commitment to and investment in research and development - related to organizational sustainability goals, as appropriate.

Company may invest time and resources into research and development of new tools, processes, resources and best practices that advance the "state of the art" in sustainability.

Requirement

R&D is not required, but many companies who position themselves as "innovators" pursue R&D projects. These may be less intensive (defining industry standards or methodologies) or may be very intense (requiring cross-disciplinary partnerships to develop new tools, products or building types). If R&D activities are being pursued, these projects are usually published somewhere or presented in professional settings.

Examples

Evidence may include published materials (on website or in presentations), partnership agreements, actual samples of the research being conducted (excerpts, screen shots, documents) or final products successfully completed.

3.7 Innovation

Innovation in this category may include the creation of proprietary tools for analysis, project management or data tracking, new business models for internal 'green team' support, highly effective models for knowledge sharing or mentoring, or R&D projects that influence the industry.

SECTION 4: PARTNERING & COLLABORATION

Intent

Relationships with external partners support team building and are structured and managed to create conditions conducive for successful collaboration.

The ability to deliver consistent, high quality sustainability services depends on much more than internal capability, tools and resources. External relationships can make or break a team's ability to deliver and achieve high performance, especially in a cost-effective manner. This section addresses those relationships and identifies different aspects of interaction that can influence project outcomes and profitability.

Implementation

This is a subject that is often challenging for companies to take on proactively. For companies driving the process, it may be slightly easier to engage team members and address, define, or set expectations for working relationships. For consultants who are not driving the work process, it can be more challenging to work "up the food-chain" of authority. Whatever your company's role, going back to your SMART goals is the first step and will influence and inform what aspects of your relationships are important and what expectations you need to articulate to make sure those collaborations are effective.

In addition to your SMART goals, you will need to understand how your workflow and partnerships connect. If you are going to do the suggested exercise (refer back to the end of Section 2.0 Project Phases, Implementation, and "mapping" your service areas) you will have identified the critical junctures where your external relationships come into play. Then you can focus on how the external relationships either support or challenge your desired outcomes.

For example, if your company goal is to be able to deliver net zero or Living Building projects by a certain time frame, you will need to engage your partners in a dialogue to figure out what that means, how you will work together, what the contractual (scope and fee) parameters might be, if you need to develop any new, proprietary tools or build capability to use 3rd party tools, etc.

For well-designed, high performance buildings (as opposed to the extreme goal of net zero) we find that companies with highly effective partnerships have revisited the terms of their working relationships to align them with their sustainability goals and integrative design process. This has meant articulating expectations (about deliverables or methodologies) that may not have been defined very clearly before, it may mean shifting the timing and nature of interactions, it may mean shifting scope or fee or engaging the property owner around perceived risk or liability that prohibits the team from pushing the envelope.

4.0 Partnering & Collaboration includes the follows sub-sections:
 4.1 Proactive Team Building
  4.1.1 Ongoing team building Activities" (Optional)
  4.1.2 Repetitive Teaming (optional)
 4.2 Project Solicitation
  4.2.1 RFP
  4.2.2 Proposals
  4.2.3 Design Team Selection Process
 4.3 Contractual Agreements
  4.3.1 Legal Contracts
  4.3.2 Additional Consultants

4.1 PROACTIVE TEAM BUILDING

Intent

Company engages in ongoing pro-active team building with partners to build capability and effectiveness working together.

Implementation

Discussing team-building and partnership issues while in the midst of an active project can be challenging. It is helpful to proactively engage in team building activities with partners without the constraints and pressures of an active project. These interactions can be explicitly designed to discuss the nature of the working relationship and redefine expectations or can be purely fun and bonding experiences. The interactions can serve more than one purpose: Educational workshops can build relationships while enhancing professional development and skill building. Professional association committee activities and community volunteer efforts can also provide non-work opportunities to engage with outside team members.

4.1.1 Ongoing team building Activities

Intent

Company engages in ongoing activities to nurture effective, collaborative relationships with partners - outside the specific context of a project. This can be focused on mutual use of tools (BIM) or on mutual respect and trust - team building - or other focus that enhances the team's ability to achieve high performance.

Requirement

This is an optional activity, but can greatly enhance your company's working relationships. If you engage in any proactive team building activities, you can provide announcements, invitations, agendas, slides, registration lists or other materials that show what has been happening.

Examples

PDFs, announcements, photos or other collateral showing activities (golf outings, parties, educational workshops, committee work)

4.1.2 Repetitive Teaming

Intent

Company works repeatedly with specific partners in an effort to increase team capability and effectiveness on project work.

Many companies will work repeatedly with a core group of partners. This does not always mean that everyone is happy with those working relationships, but it does afford the parties the ability to develop a comfort level, common language and expectations. Repetitive teaming, done intentionally with a focus

on continuous improvement and an effective working relationship, can greatly enhance productivity and mutual learning.

Requirement
Identify the key partners that you work with consistently, the nature of those relationships and ways the ongoing partnering has changed over time to support sustainability work.

Examples
At a minimum, a listing of those partners that you particularly value working with on projects that have high sustainability goals, and ideally, any documentation (email, memo, meeting minutes) of how the partnership has specifically addressed the working relationship. Feedback on this issue will also be evident in SPI's "external partner/client survey".

4.2 PROJECT SOLICITATION
All aspects of project solicitation integrate explicit expectations for sustainability (project performance and methodology) and integrative process for project delivery.

Solicitation can refer to general design or construction services, or for services of a consultant or contractor. If you solicit services from an outside provider, this refers to the expectations articulated about their contribution to sustainability efforts.
This section may not apply to all companies becoming SPI Certified.

4.2.1 RFP
Intent
Owner/client publishes RFP that includes: sustainability performance goals and methodology/outcomes for project, integrative design process, sustainability qualifications and past performance. Solicitation for services from prime contract (architect) should also include similar requirements of the consultants.

Requirement
Evidence that RFP or RFQ clearly articulates expectations relative to sustainability and collaboration among the team.

Examples
Sample RFP or RFQ.

4.2.2 Proposals
Intent
Service providers explicitly address project performance and processes to achieve performance targets. Proposed budgets should reflect team understanding of how they will implement integrative project delivery within the project constraints.

Proposals should describe scope of work, flow of interactions and budget that supports sustainable design methodologies, whether or not sustainability is explicitly articulated.

Requirement
Provide samples of proposals that show both responses for highly demanding RFPs (where sustainability is strongly spelled out in some way – if those exist) and those that show no interest, but your company has articulated a methodology to deliver efficient, best practices.

Examples
Sample proposals.

4.2.3 Design Team Selection Process
Intent
At a minimum, selection process (owner requirements or team presentation) should include focus on performance targets and processes to achieve them. Owners may also use the "Mini-Charrette" process as an alternative design team selection approach *

* The mini-charrette process gives clients a sense of team dynamics and capability for collaborative problem solving, and reduces the amount of time, energy and money invested by design teams to win a project.

Requirement
Show evidence that the interview process has focused on methodologies for achieving performance goals as well as methodologies for collaborative decision-making. This can be evident in invitation to interview, the RFP, agenda, record of questions asked during the interview or "scoring sheet" that client may use to rate the teams being interviewed.

Examples
RFP excerpt, invitation to interview, scoring sheet, reviewer notes

4.3 CONTRACTUAL AGREEMENTS
Intent
Contractual relationships support collaborative teamwork and integrative project delivery. When contracts or other external forces present challenges to ideal team structure, the team works together to design an approach to address collaboration and performance in the best way possible.

Implementation
Legal contracts can be a significant barrier to integrative design and negatively impact project cost and performance. Most companies becoming certified by SPI cannot directly influence the contracts being used or how they are structured. If your company can determine the contract and its structure, the expectation is that it will be a tool to create conditions conducive to success for high performance, healthy projects. If your company cannot influence the contract, you should be able to articulate how you deal with the barriers it presents in order to achieve sustainability goals.

4.3.1 Legal Contracts
Intent
Team structure and construction delivery method are addressed in earliest phase of project. Those decisions should (ideally) enable the project team to achieve sustainability goals. Legal contracts with team members align with project sustainability goals and create conditions conducive to success. Contracts also include language relating to performance criteria and rating system levels, where appropriate. Scope, fee and deliverables for each party reflect the work needed to effectively and efficiently achieve performance targets. If standard contracts, required by owner do not allow for integrated project delivery, please provide narrative describing how project performance goals are pursued.

Requirement

Provide examples of contracts for work that supported successful projects. If you work in sectors that have challenging contractual issues (such as some public sector contracts) you will need to describe how you work with the team to deliver green building despite the contractual barriers.

Examples

Specific contracts. Sample documentation (meeting minutes, agendas, workplans) that show how you achieve goals regardless of contracts.

4.3.2 Additional Consultants

Intent

Any additional expertise not included in prime contracts should have appropriate scope and fee to contribute to sustainability goals.

Sometimes additional consultants are brought on after the original scope and contracts have been executed. As these parties are added to the team, their scope and fee should be coordinated appropriately so that no gaps or overlaps are created inadvertently relative to sustainable design efforts.

Requirement

Evidence that appropriate scope of work and coordination of technical input has been managed.

Examples

Sample contracts, scope of work or email communications can provide evidence of this.

4.4 PARTNER PERFORMANCE & TEAM COMMUNICATIONS

Intent

Kick off and ongoing meetings intentionally address trust and communications, either through a formal Partnering process, or by incorporating key elements of partnering methodology into communication activities.

Implementation

Formal partnering processes, developed in the construction industry, are not engaged in by all companies in the real estate industry. For those who engage in formal partnering, many benefits are realized that contribute to team success. For those who do not, the principles of team building, trust and communication only serve to enhance your ability to achieve high performance and profitability. If you are not familiar with Partnering, company leadership should become familiar with it and the principles it serves. The book, Partnering, by William Ronco is a valuable primer to review. Your company can choose to engage an outside Partnering Facilitator and pilot this approach or try to apply the same principles internally on projects.

4.4.1 Formal Partnering

Intent

Projects use formal partnering (5 step methodology) to ensure effective team communications and addressing of sustainability issues and challenges. Company maintains agreements to do so as standard practice (policy).

If your company chooses to engage in formal Partnering, this is evident in your workplan, schedule and meeting minutes.

Examples

Partnering agreements, contracts for outside facilitators, workplans, meeting agendas, minutes or reports.

4.4.2 Partnering Methodology

Intent

If formal partnering is not being pursued, specific activities are put in place at project kick-off to optimize team effectiveness.

Requirement

Efforts are made to build trust and optimize team effectiveness during the analysis, design, and decision-making process.

Examples

Contracts for outside facilitators, scopes of work, workplans, meeting agendas, minutes or reports.

4.4.3 Collaboration Effectiveness

Intent

Performance feedback communications - team members have a system and process in place to evaluate the effectiveness of their collaboration and performance between projects.

Requirement

Many companies do performance reviews and some do "360" or "180" reviews internally. Annual reviews between partnering companies provide similar insights into collaboration effectiveness and provide an opportunity to proactively build relationships, address issues and revisit dynamics of collaboration. This "debrief" may happen more informally following completion of projects or prior to responding to a new RFP. If no annual review currently happens, and your company does not regularly debrief informally after projects, you should consider which model of communication would be most valuable to you.

Examples

Internal documents or templates for annual or periodic review of working relationship (sample questions, etc), meeting notes, internal staff feedback about partners/consultant companies and SPI's "external client/partner survey".

4.5 R&D PARTNERING

Intent

Specific efforts to establish partnerships for the explicit purpose of doing research or development

For those companies pursuing R&D, many enter into partnerships with product manufacturers, national government labs, universities or other service providers.

Requirement

If your company has R&D partnerships, evidence of this may be on your website, published presentations or white papers or in other materials.

Examples

Website links, PDFs of materials produced, contracts or MOUs between entities.

4.6 Innovation

Innovations in this category may include radically different contract structures (IPD is still considered an innovation), use of "super Charrette" or other workflow optimization vehicles, "mini-charrette" design team interviewing process or other means that transform working relationships beyond traditional means.

Intent

Companies who have institutionalized sustainability will have metrics to track related to both project portfolio and corporate sustainability footprint. The ultimate objective of institutionalizing sustainability is to harmonize the relationship of the built and natural environments, reduce negative impacts and increase health. If the efforts to align systems, processes and capabilities with sustainability are effective, the measurable improvements in projects and company operations are the outcome.

Implementation

This section may require new efforts. Tracking portfolio performance is not something that is currently standard practice, but it is the direction that the market is moving in, so companies that begin to establish systems and processes for doing this will be ahead of the curve. It is also the only way to understand the effectiveness of design strategies and construction methods to inform the evolution of those standards. If your company has adopted the 2030 Challenge, then you are already committed to tracking these metrics. Tracking portfolio performance is a complex endeavor because it can involve many parties, happens over time and your company may not be directly connected to the property owners. At this point in time, we do not require the completion of data tracking, but SPI requires that your company begin to institutionalize the request for this information and lay the foundation to collect data as it becomes available.

Tracking your corporate footprint may be more straightforward, but will still require you to allocate time and resources to the effort. Once you establish which tools to use and what you will track, this is the kind of activity that you can develop an intern program for, either independently or through one of the 3rd party environmental organization internship programs.

5.0 Outcomes and Metrics includes the follows sub-sections:
5.1 Project Portfolio
        5.1.1 Third Party Certifications (optional)
        5.1.2 Performance Tracking Request
        5.1.3 Performance Tracking
        5.1.4 Performance Feedback Loop
5.2 Company Sustainability Footprint
        5.2.1 Environmental Impact Baseline
        5.2.2 Social Impact Baseline
        5.2.3 Goals, Priorities and Implementation plan
        5.2.4 Tracking Systems
        5.2.5 Corporate Certification   (optional)
        5.2.6 Performance Feedback Loop
5.3 Innovation (optional)

5.1 Project Portfolio
Intent
The performance of projects (across company's entire portfolio) is tracked over time and feedback loops are institutionalized to request information and track it.

Implementation

There are many metrics that can be tracked relative to project performance. Energy and/or carbon tend to be the priority, but water, habitat, and other impacts are also valuable. At this time, SPI prioritizes a focus on energy or carbon at a minimum. Your decision about what else to track should relate to your company's vision and values, your clientele and their interests and your role in the team. There is still no industry standardization about what to track and how. EUI (energy use intensity) is one metric, but does not take into account fuel source, therefore carbon impact. Your first step is to make a decision about this. The decision should include relevant parties, including project managers, IT staff and possibly others. At a minimum, you will need to create a standard "request" letter to send to the appropriate party requesting building performance data information as part of your ongoing efforts to improve standard practice through feedback loops. Then, if you are truly able to begin tracking information at all, you will need to decide where you will be gathering that information, what tool you will use and how that information will be shared internally, or with your partners.

5.1.1 Third Party Certifications
Intent
LEED, BREEAM, Energy Star, Green Star, Living Building Challenge or other 3rd party certifications indicate some level of performance - of design intent or actual performance (depending on the certification).

Requirement
Although your company may not determine if a project will pursue certification, you are likely to have projects among your portfolio that have. If applicable, your projects' successful certification by an independent 3rd party is evidence of either design intent or actual performance. Listing of these projects illustrates accomplishment.

Examples
Screen shot of website listing, PDF or other means of communicating achievements.

5.1.2 Performance Tracking Request
Intent
Templates exist for all responsible parties to use as communication with clients/partners, requesting project performance information.

Requirement
This refers to standardized communication between your company and client to receive building performance data. The intention is to make this request consistently across all projects.

Examples
Sample letter and evidence that it is being sent out consistently.

5.1.3 Performance Tracking
Intent
Project Performance data is collected, and maintained somewhere accessible. Information is shared within the company (and with partners, as appropriate)

Requirement
Your company has established standards for what information you will track, where you will maintain that data (spreadsheets, databases, etc) and how data will be collected (project managers report for their projects, one person tracks info across all projects, or other alternatives).

Sample spreadsheet, screen shot of database or online collection tool.

5.1.4 Performance Feedback Loop
Intent
Evidence that project performance was used as feedback to inform ongoing projects

Requirement
Describe how the performance of your projects informs the sustainable design or construction strategies you use.

Examples
Evidence may be in meeting minutes, Sharepoint or other systems, revisions to design standards, communications to consultants (who worked with you on buildings that may have underperformed, to discuss lessons learned and revised approaches) or partner debrief sessions.

5.2 Company Sustainability Footprint
Intent
Organizational impacts are measured and tracked. A plan for continuous improvement is put in place, which responds to a baseline of information and sustainability goals of the company. If the corporation is engaged in other 3rd party corporate sustainability programs, they are recognized in this category.

Implementation
Many corporate sustainability programs are centered on the measurement of a company's environmental footprint. If your company already participates in GRI, CERES, B-Corp or other Corporate Sustainability Reporting (CSR), or the 2030 Commitment, then that effort will be recognized for this section.

If you do not yet have a program in places, this could be the focus of internal "green team" efforts and a great opportunity to engage interns from design, business or other sectors. SPI requires that your company look at both environmental <u>and</u> social impacts and begin to address them by putting a plan in place to do so over time.

5.2.1 Environmental Impact Baseline
Intent
Baseline established to understand impacts (where company 'is') and how to prioritize targets over time. These may relate to 2030 Commitment, which would be recognized here. Scope of elements should include (but not limited to):
- Energy consumption/carbon impact
- Water
- Waste
- Purchasing
- Transportation

Requirement
Your company will report its environmental impact baseline (if already established) or will establish the metrics that it will track over time and begin to develop a baseline to record your company's current state and a methodology for maintaining or revising this information over time.

Examples

2030 reporting tool, independent 3rd party carbon tracking software, sustainability "report card" of other corporate sustainability reporting programs.

5.2.2 Social Impact Baseline

Intent

Social impacts to assess and improve include (but are not limited to):
- Diversity and hiring practices (governance, partner relationships)
- Community engagement (community of practitioners, geographic, religious, etc)
- Living wage / sustainable lifestyles of employees/ impacts on family life
- "Fenceline" impacts

Requirement

Your company will establish priorities and metrics related to social impacts that you want to track over time. These metrics could relate to diversity or community involvement. If your company designs or specifies products that impact 'fenceline' communities, you could focus on policies or design standards that eliminate those impacts.

Examples

Hiring practices (recruiting new staff) through associations, institutions or other organizations that increase the diversity of your employees over time (notices, advertisement placements).

Relationships with colleges, universities or trade schools with high diversity to cultivate recruitment.

Community engagement activities and charitable giving that support sustainability (public health, environment, alternative transportation, etc).

Activities to increase sustainability in personal practices of staff and associates

5.2.3 Goals, Priorities and Implementation Plan

Intent

Based on baseline and other factors (social, economic), SMART goals are set for the short and long term, priorities are established, appropriate strategies are devised and an implementation plan is put in place.

The establishment of SMART goals and the development of metric tracking (and baseline) can be an iterative process. SMART goals set initially should consider these impacts, both environmentally and socially.

Requirement

The development of priorities and plans to strategically target improvements (in portfolio performance, operational footprint or social impacts) will be part of your overall "sustainability strategic plan", which may be part of an existing business or strategic plan, or may be its own effort.

Once your company has established a baseline—for example of operational energy consumption or carbon impacts—you will know where your biggest targets are. You may find that, based on actual data, your biggest carbon impacts are related to vehicle miles travelled between offices for non-client meetings, or air miles travelled rather than energy consumed for office operations. That will tell you where to focus efforts to reduce impacts.

An internal document that identifies priorities for reducing impacts. This could be internal memo, sustainability report to an executive committee, workplan for "green team" or other methods of communicating priorities.

5.2.4 Tracking Systems

Intent

Tracking systems are established, maintained and monitored by responsible parties (internal and /or external) for indicators/data and feedback loops for each strategy and goal set in the plan. (See 3.2.3 - cross-reference w/ Infrastructure)

Requirement

Your company will decide how to track information, whether through spreadsheets, internal databases, 3rd party online websites or other. Describe what tool you are/will be using.

Examples

Screen shots, sample PDF of spreadsheet, or similar

5.2.5 Corporate Certification

Intent

Certifications provided by other organizations (ISO, B-Corp, GRI, CERES)

Requirement

As previously mentioned, if your company already participates in a CSR program, you can share the screen capture of acknowledgement of your participation, a CSR report generated by your company or similar.

Examples

GRI report, CERES coalition membership, B-Corp or GBB Certificate.

5.2.6 Performance Feedback Loop

Intent
Evidence of improvements over time in response to data collected

Requirement

Once you have prioritized your strategies to reduce impacts, you will track the impact of those strategies over time. If you have a goal to reduce paper consumption by X% over Y time, you will be able to measure that. If you aim to reduce energy consumption in an office through efficiency upgrades in lighting and equipment, you will be able to track those savings over time.

Examples

Energy bills, reduction in purchasing (paper),etc.

5.3 Innovation

Innovations in this category may include programs to radically change impacts such as becoming a paperless office, reducing travel for meetings by XX% (a significant percentage) by using virtual meeting infrastructure, programs that increase diversity dramatically or policies that eliminate the use of products that cause "fenceline" health problems.

APPENDICES

Draft Heads-up Letter from Participating Company (prior to External Survey):

Sustainability is a top priority for Company. We are always seeking to improve our efficiency and effectiveness in delivering sustainability services. As part of this effort, we are pursuing Green Firm Certification through the Sustainable Performance Institute (SPI), an organization that provides independent, 3rd party certification to validate a company's claims of excellence in green building. As part of their evaluation, we ask that you complete a brief survey about our project performance, support of sustainable processes and effectiveness in integrating sustainability into the design/construction process.

The survey is administered by the Sustainable Performance Institute and you will be receiving an email from them in the next few days. Your responses are confidential; unless you request that we contact you, only aggregate results will be reported to us.

Thank you in advance for your input.

External Survey Letter from SPI:

Dear [First Name],

We are seeking your input in connection with PARTICIPANT NAME's participation in the Sustainable Performance Institute's (SPI) Green Firm Certification program.   You are receiving this e-mail because you have been identified as having worked with PARTICIPANT NAME.

SPI Certification evaluates and validates the capability of design and construction companies to deliver consistent, high-quality sustainability services. A comprehensive audit is performed, looking at a wide range of information, including client and partner feedback, project track record and evidence of organizational systems, processes, standards and quality control protocols that support their capability and ensure performance.

As part of this effort, we ask that you complete a brief survey about PARTICIPANT NAME's project performance, support of sustainable processes and effectiveness in integrating sustainability into the design/construction process. The survey takes approximately 15 minutes to complete. The deadline to complete the survey is DATE. You can access the survey here: [SurveyLink]

Your input is especially important because we have selected one or more of your PARTICIPANT NAME projects for review as part of the SPI audit process. Your feedback serves as a key component to the project information we will be reviewing.

The survey is administered by the Sustainable Performance Institute (SPI). Your responses are confidential. Unless you ask to be contacted, only aggregate results will be reported to PARTICIPANT NAME.

Survey Opting Out Instructions:
If you do not know PARTICIPANT NAME well enough to evaluate them, please let us know by reply email and we will remove you from their list. If another person on your team would like to comment on PARTICIPANT NAME, please email us their name, title and e-mail address and we will send them a personal survey link.

If you wish to opt out of all SPI participant surveys, click here: [RemoveLink] .   (Note that if you opt out using this link you will not be able to participate in any SPI survey, even if requested by another client/partner who is pursuing certification.)

Thank you very much for your participation!

External Survey Text

Sustainable Performance Institute (SPI) provides independent, 3rd party certification to validate a company's claims of excellence in green building. PARTICIPANT is pursuing SPI Certification and this confidential survey is one element of the evaluation and audit process. (We also survey employees, evaluate projects and performance, and review organizational systems, processes, methodologies, standards and quality control protocols.)

The purpose of this survey is to obtain your feedback on PARTICIPANT's capability to deliver consistent, high quality sustainability services as a core competency. Sustainability in professional practice means that the fundamental principles of healthy, high performance, integrative design are present as a basis of design and construction excellence on all projects and are not just an 'added on' service which is the exception to the rule.

Excellence in sustainability practice is based on critical thinking and a collaborative design process aligned with the following principles:
• Performance based design
• Collaborative process of analysis and effective decisionmaking
• Reliance on metrics and accountability
• Focus on systems integration and optimization
• Effective use of tools and analysis to inform critical decisions
• Feedback loops for continuous learning from built work and operations
• Intentional efforts to improve the corporation's own sustainability 'footprint'

Your experiences working with PARTICIPANT reflect many aspects of performance. In completing this survey, please focus your answers on aspects of sustainability in particular.

The survey will take approximately 15 minutes to complete, and we ask that you respond to each item. Your responses are confidential and will be used only for our evaluation purposes. Unless you request otherwise, you will remain anonymous and only aggregate information will be reported to PARTICIPANT.

If you have any questions about this survey or the SPI Green Firm Certification program, please contact certification@sustainableperformance.org.

Thank you for your time and participation.

*1. What is your relationship to this company?
    Client
    Partner/consultant/team member
    Other (please specify)

2. What is your role on projects (in relation to this company)?
    Property owner/developer
    Architect
    Engineer
    Contractor
    Subcontractor
    Other Consultant (please specify below)
    Other (please specify below)

If you selected other, please specify here

Please evaluate this company based on your experience by selecting from the following rating scale.

    Strongly Agree // Agree // Neutral // Disagree // Strongly Disagree // Don't Know

3. Leadership and Commitment

Company leadership is visibly committed to sustainability

Company approach to sustainability is clearly spelled out in marketing materials and proposals

Company has accountability structure in place to ensure that sustainability is implemented consistently (on projects)

Company incorporates sustainability strategies all the time and not just "on demand"

Company helps set clear, meaningful goals for projects

Comment:

4. Project Delivery & Collaboration

Staff has the skills, knowledge and capability to deliver high quality sustainability services

Staff contributes effectively to analysis and decision making

Staff is able to lead, or work, in a highly collaborative process

Basic sustainability is integral to the Company's work and not treated as an added or extra service

Company maintains strong team building relationships with its partners which contributes to success on projects

Company consistently meets or exceeds project sustainability goals (including but not limited to achieving LEED, Labs21, CHPS or other rating system certifications)

Company has effective quality control protocols and processes
Company effectively uses tools & resources to support project delivery and collaboration (may include software for analysis, BIM, internal design/spec standards, etc)

Comment:

5. Corporate Sustainability

Company is conscious about its sustainability footprint and makes efforts to reduce its environmental impact

Company tries to understand long term performance of its projects

Comment:
6. How would you rate this company's capability to deliver consistent, high quality sustainability services as compared to their competition?

Less capable than their competition
About the same as their competition
Superior to their competition
It depends (please elaborate below)

I don't know (please explain below)

7. Please list the three most important things that this company does well with respect to sustainability.
1. __
2. __
3. __

8. Please list the three most important things that this company can improve on in the context of its sustainability services.
1. __
2. __
3. __

9. Do you have any other comments, observations or feedback that would inform our assessment of this company's capability in sustainable design or construction?

10. Optional: If you would like the company to receive your response and follow up with you, please provide your name, company, and phone number and/or email below. Otherwise, only aggregate results will be reported and you will remain anonymous.

Thank you for filling out this survey.

If you would have any questions about this survey or the SPI Certification program, please contact certification@sustainableperformance.org.

Sustainable Performance Institute (SPI) Certification Program

Sustainable Performance Institute (SPI) provides training, education, consulting, resources and certification to the organizations that design, build, develop and maintain the built environment.

SPI operates with the guidance of program advisors consisting of representatives of the following associations:

American Society of Heating, Refrigerating and Air Conditioning Engineers
Associated General Contractors, Massachusetts Chapter
Associated General Contractors, Connecticut Chapter
Boston Society of Architects
Construction Specifications Institute
CORENET Global, New England Chapter
Design Build Institute of America
International Facilities Managers Association
International Society of Plumbing Engineers
National Association of Office and Industrial Parks
Society of College and University Planners
US Green Building Council

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