

Exhibit A

Minnesota Sustainable Design Guide – B3 Process & Roles

Guideline Management Process

- At the start of each phase (or year of operation), the Guideline Leader reviews the MSBG guidelines and associated Outcome Documentation Forms, plans the tasks to be done for that phase to keep on track for meeting the guidelines, and communicates this with the work team.
- If exceptions to the MSBG guidelines are sought, the Guideline Leader (whether from the agency/owner in early phases or from the design team in later phases) shall request the variance in writing to the Appropriated Agency for Variance Review before the completion of the schematic design phase. For each guideline for which variance is requested, the request for variance shall include the name of the guideline, an explanation of why variance is requested, and supporting information demonstrating the reason whether it be for financial hardship or other reasons.
- The Work Team for the responsible organization (planning team, design team, construction team, or operations team depending on phase) works towards the MSBG requirements. At the end of the phase, the work team completes the Outcome Documentation Forms and Compliance Summary Form and gives them to the Guideline Leader.
- The Guideline Leader collects the Compliance Summary Form and Outcome Documentation Forms for each topic area at the end of each phase (or annually during facility operation.)
- Optionally, in addition, the Guideline Leader summarizes the extent of compliance and the progress towards outcomes for the whole project and organizes all of this into a cohesive, end-of-phase Guideline Report.
- The Guideline Leader submits the Guideline Report (even if it only contains the required forms) to the Appropriated Agency for Compliance Review, and archives relevant documentation for that phase (or year) that supports the Guideline Report in the project files, for future reference.

Variance Review Process

The Variance Review Process defines the steps for reviewing a request to not adhere to a portion of the guideline as written. This is intended to be used very sparingly, for issues such as non-applicability to a building type or scale. It is led by the Appropriated Agency and consists of the following key steps:

- The Work Team (or Guideline Leader if applicable) submits a variance request in writing to the Appropriated Agency before the completion of the schematic design phase. The request shall document the reasons for each variance request.
- After review, the Appropriated Agency either accepts or rejects the request for variance, or may specify a compromise equivalency or conditions for the variance.
- The Appropriated Agency sends a copy of the variance request and extent approved to CSBR

Compliance Review Process

The Compliance Review Process is designed to provide checkpoints for regularly reviewing compliance with the guidelines over time from initial phases through ongoing occupancy. The Appropriated Agency leads the Compliance Review Process which consists of the following key components:

- The Appropriated Agency receives the end-of-phase Compliance Summary Form and Outcome Documentation Forms (and optionally Guideline Report) from the Guideline Leader.
- The Appropriated Agency reviews the extent and nature of compliance as documented by the Guideline Leader and decides if the extent of compliance is acceptable. (The Appropriated Agency, is not responsible for determining compliance, but may question if compliance is achieved if in doubt.)
- The Appropriated Agency then either approves the extent of compliance for that phase, or directs the Guideline Leader to revisit compliance measures with the work team.
- After successful completion of the correction period or the first year of operation, whichever is longer, the Appropriated Agency may end its role in Compliance Review. In any case, the annual reporting will continue to be sent to CSBR throughout the life of the project's operation. (See MSBG Tracking Process.)

MSBG Tracking Process

This consists primarily of updating and maintaining the project information. Related activities may include posting data from the project on an informational MSBG web site, using project information to improve the usability and effectiveness of the MSBG guidelines, and translating reported building performance into economic, human, and environmental outcomes for use by the State of Minnesota. This process consists of the following elements:

- Agency sends Compliance Summary form and all Outcome Documentation Forms (and Guideline Reports if applicable), at the end of each phase, and annually during operations to CSBR for use in the MSBG Tracking Process. Depending on the phase, Outcome Documentation may also call for Commissioning or other reports to be attached.
- CSBR receives Compliance and Outcome forms from the Agency.
- CSBR uses the information received to update and maintain project information.
- CSBR uses project information at the direction of the State of Minnesota.

Guideline Management Roles

Work Team: The Work Team is responsible for the facility performance progress in a particular phase. Depending on the phase, this may be the planning team, predesign team, design team, construction team, or operations team. This team works towards the guideline performance criteria appropriate to their phase, and completes Compliance Summary and Outcome Documentation Forms at the end of each phase (or annually during Ongoing Occupancy.)

Guideline Leader: The Guideline Leader is the person who coordinates the completion, and documentation of tasks to comply with the sustainable guidelines. They shall work within the organization contractually responsible for a phase (or be a consultant hired by that organization), thus the role may be filled by different people for each phase. They are the contact person for guideline compliance. Some Agency processes, may have a different name for this role, or not designate this role, leaving it up to a representative from the Work Team to coordinate the tasks of the Guideline Leader. The person and organization mostly likely to play the role of the Guideline Leader in each phase is as follows:

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Phase:	Recommended Guideline Leader:
Agency Planning	Facility Project Manager
Predesign-Programming	Facility Project Manager or Predesign Consultant
Predesign-Site Selection	Facility Project Manager or Predesign Consultant
Schematic Design	Design Team Project Manager or Sustainable Consultant
Design Development	Design Team Project Manager or Sustainable Consultant
Construction Documents	Design Team Project Manager or Sustainable Consultant
Construction Administration	Design Team Project Manager or Sustainable Consultant
Construction	Construction Supervisor
Correction Period	Commissioning Team Leader/ Coordinator
Ongoing Occupancy	Facility Operations Manager
Next Use	Facility Project Manager for Next Use

The Guideline Leader's duties include:

- Coordinate and Support the Guideline Management Process
- Maintain continuity as Guideline leader position transfers across phases and responsible organizations
- Support an interdisciplinary, participatory team approach. (See Guideline [P.3](#) Integrated Design and Construction Process for details.)

The Guideline Leader should possess the following qualities:

- Familiar with MSBG guidelines and generally with sustainable practices
- Good facilitation and communications skills (verbal and written)

Appropriated Agency: The Appropriated Agency is the agency that received funding from the capital bond proceeds on behalf of the project and is responsible for compliance review. The role includes the following:

- The appropriated agency is responsible for reviewing, (but not necessarily determining), compliance with the guidelines according to the Compliance Review Process based on the extent of compliance represented and documented in the Outcome Documentation and Compliance Summary Forms (and optional Guideline Report.)
- The Appropriated Agency also reviews and decides whether to accept applications for variance from the guidelines according to the Variance Review Process.
- The Appropriated Agency may choose to cease involvement in project compliance monitoring after successful completion of the correction period or 1 year of operation, whichever is longer.

CSBR: The Center for Sustainable Building Research (CSBR) at the University of Minnesota acts as the MSBG tracking team. CSBR leads the MSBG Tracking Process, updates and maintains project information with required forms and optional Guideline Reports from each phase of project development and each year of operational data. This data may be posted on an MSBG informational web site. It may also be used for selected audits, to improve the usability and effectiveness of the MSBG guidelines, and to translate building performance in to state economic, human, and environmental outcomes. CSBR tracks the MSBG on direction of the State.

Guideline Management Reporting

Compliance Summary Form: A Compliance Summary Form is filled out for the project at the end of each phase or annually during Ongoing Occupancy. It includes statements of compliance, or progress towards compliance appropriate to the phase signed by the responsible party for each guideline. See Form [P-A](#).

Outcome Documentation Forms: An Outcome Documentation Form is filled out for each topic (Site, Energy, etc.) indicating key documentation of performance and outcome results for each guideline within a topic. The Outcome Documentation Form and attachments are completed at the end of each phase (or annually during Ongoing Occupancy.) See Process Documentation and Outcome Documentation Guidelines and forms for further description and sample templates.

Guideline Report (Optional): The Guideline Report provides information to the Compliance Review Process, and the MSBG Tracking Process. Guideline Reports are submitted for compliance review at the end of each phase (or annually during operations.) They are phase-specific and compare the state of design documentation or facility operation at a specific time or time period to the guideline requirements for that phase. In addition to the required forms, the Guideline Report provides a narrative of progress, and may discuss issues to be resolved or lessons learned along the way.

The Guideline Report consists of:

- Required compliance summary forms and outcome documentation forms for the phase.
- Executive summary of the extent of guideline compliance for that phase.
- Executive summary of performance achieved (or estimated progress towards that performance in planning and design phases.)

Project Archive(Optional): The Project Archive is the performance planning, design, and ongoing maintenance history of the project. This body of information should include: performance parameters and basis for design, design actions taken towards MSBG criteria, ongoing monitoring, measurement and verification over time, actions to resolve problems over time, and results of those actions. It includes each released version of the Guideline Reports and Commissioning Reports. The Guideline Leader and Work Team maintain the Project Archive each phase and facilitate its transition to leaders of following phases.