

Appendix P-0b: Guideline Management Supporting Information

Overview of the Guideline Management Process

- At the start of each phase (or year of operation), the Guideline Leader reviews the B3 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 B3 Guidelines are sought, the Guideline Leader (whether from the agency/owner in early phases or from the design team in later design phases) shall request the variance to the Appropriated Agency (via the B3 Guidelines Tracking Tool at www.msbgtracking.com) 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 following:
 - The name of the guideline or portion of the guideline (eg. S.3 F which is the 6th criteria under guideline S.3)
 - Supporting Documentation: In the request, the team shall:
 - First try to identify a modified performance level and/or compliance method that comes as close to meeting the guideline as written as possible and explain why the modifications are needed for the particular project. (For example, if a thorough search and proactive conversation with local waste management services in a rural Minnesota town yields no options for the required 75% construction waste recycling identify from the research what is the maximum waste recycling available in the region and support that modified performance threshold figure in the variance request.)
 - Second, if the first option with modified performance level and/or compliance method is not possible or applicable, The team shall explain why that is, and list what strategies they will use to best meet the intent of the guideline.
 - Third, if the first and second approaches are not possible or applicable, for example if a team feels the intent and objectives of a guideline simply do not apply to the building type, they shall explain the reasons why the first or second approaches are not possible and the reasons claimed for the non-applicability of the guideline.
 - Note that variances are not required for recommended guidelines.
- The Work Team for the responsible organization (planning team, design team, construction team, or operations team depending on phase) works towards the B3 Guidelines 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.)
- The Guideline Leader submits the required documentation to the Appropriated Agency for Compliance Review using the B3 Guidelines Tracking Tool (www.msbgtracking.com), and archives relevant documentation 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, location or scale. The Variance Review Process is led by the Appropriated Agency and consists of the following key steps:

- The Appropriated Agency receives the variance request from The Work Team consisting of the elements described in the Guideline Management Process above.
- 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 documents variance approval or rejection using the B3 Guidelines Tracking Tool (www.msbgtracking.com).

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 Phase Summary Report from the Guideline Leader, submitted electronically using the B3 Guidelines Tracking Tool (www.msbgtracking.com).
- 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 B3 Guidelines Tracking Process.)

B3 Guidelines Tracking Process

This consists primarily of updating and maintaining the project information. Related activities may include posting data from the project on an informational B3 Guidelines web site, using project information to improve the usability and effectiveness of the B3 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 completes required approval process for each phase using the B3 Guidelines Tracking Tool (www.msbgtracking.com). Depending on the phase, Outcome Documentation may also call for Commissioning or other reports to be attached. These attachments will be included in the online submission.
- CSBR receives Compliance and Outcome information from the Agency, via the Tracking Tool.
- 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 required documentation in the B3 Guidelines Tracking Tool (www.msbgtracking.com) 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:

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 B3 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 B3 Guidelines Tracking Tool.
- 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 B3 Guidelines tracking team. CSBR leads the B3 Guidelines 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 B3 Guidelines informational web site. It may also be used for selected audits, to improve the usability and effectiveness of the B3 Guidelines, and to translate building performance in to state economic, human, and environmental outcomes. CSBR tracks the B3 Guidelines on direction of the State.

Guideline Management Reporting

B3 Guidelines Tracking Tool

All B3 Guideline tracking activities are completed online at www.msbgtracking.com.