LEED VOLUME PROGRAM:
OVERVIEW AND PROCESS
U.S. GREEN BUILDING COUNCIL & GREEN BUILDING CERTIFICATION INSTITUTE

Contents

LEED Volume Program Overview

The LEED® Volume Program was designed by the U.S. Green Building Council (USGBC) to meet industry needs for a streamlined approach to certifying like buildings and spaces. The program — through the use of prototype standards — allows organizations to simplify the LEED documentation for multiple buildings or spaces of a similar type or management, achieving certification faster and at a lower cost than with individual building reviews. Acknowledging that organizations can best identify the uniformity and similarities of their projects, the program was designed to be flexible, allowing owners to define the criteria for grouping like buildings and the prototype credits to pursue.

LEED Volume Certification Benefits:

- Achieves economies of scale to reduce costs by taking advantage of uniformity in building design and construction, or operations and maintenance, as well as management practices;

- Encourages building owners to incorporate LEED, including documentation, into standard practices, procedures and tracking processes;

- Streamlines the project certification process, while tailoring it when necessary, to specific situations and participant programs;

- Develops alternative review methods, allowing changes to the way LEED submittal documentation is collected, while maintaining adherence to the LEED credit requirements; and

- Preserves the integrity of the LEED program.

LEED Volume Program: Overview and Process provides a general review of the volume certification process, defining terminology and outlining the three major program phases. Other companion documents can be used in conjunction with this overview:

- *LEED Volume Program: Pricing Summary and Audit Rates* - provides specific information on program costs and the frequency of audits;
- *LEED Volume Program: Submittal Guidance for Design and Construction* and *LEED Volume Program: Submittal Guidance for Operations and Maintenance* - provides detailed information on the process and the required documentation; and
- *LEED Certification Policy Manual,* with appendix, *LEED Volume Program* - available for download when the prototype is registered in LEED Online.

Volume Certification Terminology

The concepts of **Prototype** and **Prototype Credit** are central to understanding the volume certification process.

A **Prototype** is a conceptual building or framework representing a group of projects that either have major design and construction elements in common or similar operations and maintenance practices, along with like management procedures; and therefore can pursue a common set of LEED prototype credits.

For design and construction prototypes, volume certification is currently available under the following rating systems:

- LEED 2009 for New Construction and Major Renovations(LEED-NC)
- LEED 2009 for Commercial Interiors(LEED-CI)
- LEED 2009 for Retail: New Construction (LEED-Retail: NC)
- LEED 2009 for Retail: Commercial Interiors (LEED-Retail: CI)

For operations and maintenance prototypes, volume certification is available under the LEED 2009 for Existing Buildings: Operations & Maintenance (LEED-EB: O&M) rating system. A prototype under this rating system is based more on a standard quality control process and a set of policies, than on a uniform set of physical building features.

Each prototype must be based on a specific version of the chosen LEED rating system.

Prototypes under the LEED-NC and LEED–EB: O&M rating systems may use the International Alternative Compliance Paths (ACPs) available for those rating systems. Prototypes under LEED-Retail: NC, LEED-CI and LEED-Retail: CI may use the International ACPs in cases where the technical requirements for a given prerequisite or credit are identical to those in the rating system for which the compliance path was written. More detail is available in *LEED Volume Program: Submittal Guidance for Design and Construction*.

For each prototype, the participant identifies a set of uniform **Prototype Credits**, which are LEED prerequisites and credits with similar technical approaches or outcomes across a group of projects. Within a given prototype, the prototype credit must be earned using the same LEED compliance path and credit form path and use the same techniques, methods and management strategies. Participants can prototype as many credits as they find useful for a group of projects and can consider the prototype credits like a catalog of options. There are no requirements on how often a prototype credit is used.

To be eligible to use the volume certification process, the **Volume Participant** must be an organization that owns, manages or leases real estate. Consultants, architects and contractors are not eligible.

A **Volume Project** is a specific building or space that meets the criteria of the prototype and has an actual street address, project name, and/or a building permit.

The volume projects of one prototype may share a common design aesthetic or layout; whereas the volume projects of another prototype may differ in design, but share key building performance commonalities or operations and maintenance commonalities. The participant decides how much variance can occur among the group of volume projects under a prototype, but there must be enough uniformity to share a common set of prototype credits.

Some buildings owned or managed by a volume participant may not belong to a prototype because the building(s) lacks the needed uniformity to meet the prototype's criteria. In such cases, the project is best suited for the standard one-off LEED review process, and an **Individual Project** should be pursued.

A volume participant can have more than one prototype, each representing a different standardized volume group, and each with a different set of prototype credits.

A **Portfolio** is created for each participant in LEED Online: the web-based resource for managing the LEED documentation process. This allows all of the participant's LEED projects, including prototypes, volume projects under the prototypes, and individual projects, to be organized in one place.

For additional clarification on terminology, refer to the examples below and the *Glossary* at the end of this document.

Key Components of the LEED Volume Program

Volume Participant	Prototype	LEED Rating System	Volume Projects	Examples of LEED Prototype Credits
XYZ Donuts	National Café Franchise	LEED -Retail: NC	Phoenix, AZ Store Stamford, CT Store St. Louis, MO Store	EAc3, MRc5, IEQc4
ABC Hotels	Regional Owner- Developed Lodging Group	LEED-NC	ABC Richmond, VA Hotel ABC Columbia, MD Hotel ABC Roanoke, VA Hotel	SSc3, WEc1, WEc3

Volume Participant	Prototype	LEED Rating System	Volume Projects	Examples of LEED Prototype Credits
GRN Real Estate Investors	National office properties	LEED-EB: O&M	625 Peachtree Pike, Atlanta GA 1456 Main Street, San Jose, CA Tech Ridge Plaza, Dallas, TX	EAc1, SSc4, MRp1

LEED Volume Certification Process

The volume certification process has three phases:

- Program Admission
- Prototype Precertification
- Certification

The following diagram illustrates key steps and corresponding fees associated with each phase.

Volume Certification Process

	Program Admission	Prototype Precertification	Certification
Steps	• Participant application submitted and reviewed • Program admission awarded • Account manager assigned • Portfolio created in LEED Online • Participant attends required orientation	• Prototype registered in LEED Online • Prototype submitted, reviewed, and awarded precertification • Volume projects may be registered if Volume Project bundle(s) are purchased	• Volume projects - up to the total number purchased in bundles – registered, submitted, reviewed and awarded certification • Volume projects audited, with sampling rates corresponding to the number of bundles purchased.
Fees	Program Admission Fee	Prototype Fee Volume Projects Fee (optional)	Volume Projects Fee: First bundle, if not already purchased Subsequent bundles purchased at participant's option

1.   <u>Program Admission</u>

Potential participants must apply to the LEED Volume Program by completing an application to assess readiness and compatibility with the program requirements. Applicants are asked to provide detailed information on the organization, the participant's experience with LEED, and the potential group of projects seeking volume certification. Once it is determined that the applicant is qualified, USGBC sends a welcome letter, admitting the new participant into the program.

Upon payment of the program admission fee, an **Account Manager** is assigned and a portfolio is created for the applicant in LEED Online. Details on program costs can be found in *LEED Volume Program: Pricing Summary and Audit Rates.*

Each participant is required to complete an orientation program, which includes participating in webinars, reviewing guidance documents, and attending a one-day, in-person training session. One representative per participating organization must complete this program. The program admission fee covers a total of three attendees. Depending on space availability, others can attend for an additional fee. It is highly recommended that the participant's **Prototype Administrator** complete the orientation. Information on the role of the Prototype Administrator is outlined in Section 2.1 Submittals. Participants are required to cover travel expenses to send the representative(s) to the in-person training.

2.   <u>Prototype Precertification</u>

The prototype precertification phase includes the participant registering and submitting the prototype in LEED Online, and the Green Building Certification Institute (GBCI) reviewing it to ensure the prototype meets the LEED Volume Program criteria. To register, the participant enters basic prototype information into LEED Online and pays the prototype fee.

Prototype precertification is a comprehensive review of the standard design and construction or operations and maintenance practices as well as control measures that will be represented by the prototype and implemented on the volume projects under the prototype. At this stage, the prototype is conceptual and not based on a real structure, building or space. The prototype should be representative of general practices for the defined group of projects that will use the prototype standards.

For prototypes under the LEED-EB: O&M rating system, it is highly advisable to limit a prototype to one space type, unless there are specific circumstances that make it feasible for the owner to utilize the same Quality Control Plan and credit approaches across multiple space types within one prototype. In some cases, participants seeking to certify multiple space types in a campus setting can take advantage of both the LEED Volume Program and the options offered through USGBC's

Application Guide for Multiple Buildings and On-Campus Building Projects located at usgbc.org/campusguidance.

In many cases, participants may include projects seeking recertification under a LEED-EB: O&M prototype. For recertification projects to be included under a prototype, all of the standards established by the prototype, including management processes and submittal requirements must be followed. Details on recertification within the LEED Volume Program can be found in section 1 of *LEED Volume Program: Submittal Guidance for Operations and Maintenance.*

Prototype precertification confirms that the steps and measures required to ensure compliance for future projects are in place and that the LEED credit requirements, if built or operated as indicated, can be met by the group of buildings or spaces under the prototype. In addition, to be eligible for precertification, a prototype must include a minimum of all LEED prerequisites and enough credits to achieve LEED certification at the LEED Certified™ level or higher.

For prototype precertification, each prerequisite and credit must include technical documentation demonstrating the satisfaction of the requirements of both the applicable LEED rating system and all Minimum Program Requirements. Information on the quality control and education processes and audit documentation, indicating how the practices will be implemented consistently at the credit level, must also be included.

The participant may choose to purchase and register volume projects at any time once prototype registration is complete. Standard one-off LEED projects have registration and certification fees. The LEED Volume Program groups these fees together in bundles of 25 projects under the volume project fee. Each 25-project bundle is tied to a specific prototype. The participant may register, under that prototype exclusively, volume projects up to the total number covered in the bundle(s) purchased.

For prototypes under the four eligible design and construction rating systems, the construction of a building or renovations to a space cannot begin until the prototype has been precertified. For prototypes under the LEED-EB: O&M rating system, the performance period for volume projects must include at least three months after precertification is achieved and at least three months after a property has been acquired and/or brought under the participant's management.

2.1 Submittals

The prototype precertification application requires documentation for both **General Submittals** and **Credit Submittals**.
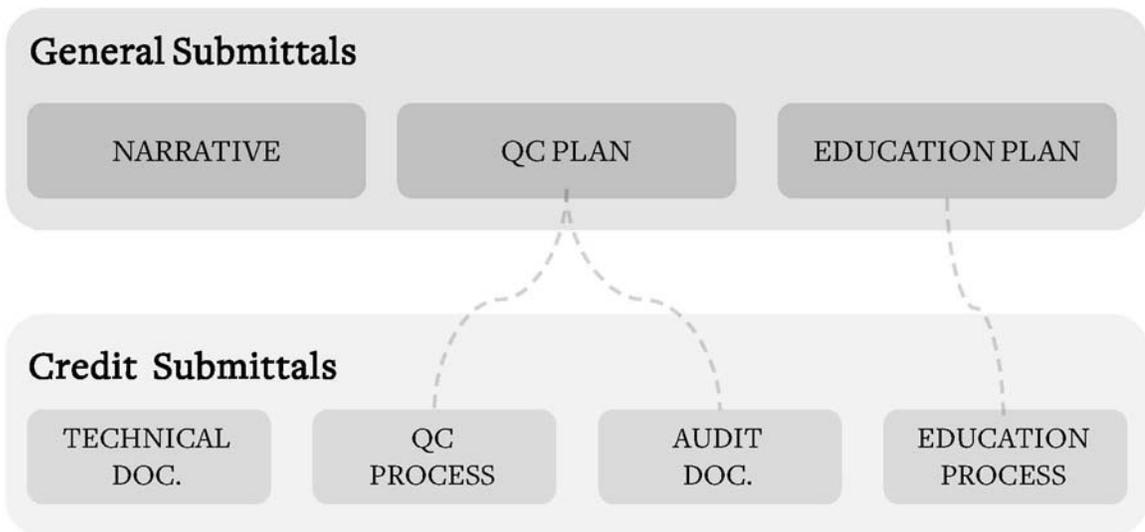
General Submittals Documentation:
- Volume Certification Narrative
- Quality Control Plan
- Education Plan

Credit Submittals Documentation (must be provided for each prototype credit):
- Technical Documentation
- Quality Control Process
- Education Process
- Audit Documentation

The diagram below illustrates General and Credit Submittal Documentation submitted for the Prototype Precertification process.

Prototype Precertification Submittals

General Submittals

| NARRATIVE | QC PLAN | EDUCATION PLAN |

Credit Submittals

| TECHNICAL DOC. | QC PROCESS | AUDIT DOC. | EDUCATION PROCESS |

The format for both the General and Credit submittals is flexible to allow participants to leverage their own organizational processes and technology platforms in facilitating LEED. As the LEED Volume Program evolves, standard documentation models may be developed, but the Participant's ability to customize precertification submittals will remain. For additional details regarding submittals, see *LEED Volume Program: Submittal Guidance for Design and Construction* and *LEED Volume Program: Submittal Guidance for Operations and Maintenance.*

General Submittals

The **Volume Certification Narrative** is a high-level overview of the volume participant's organization and construction program that describes what is intended to be certified through volume certification. It should include contact information for the **Portfolio Administrator** and the **Prototype Administrator**. The portfolio administrator is the program-level management contact who is responsible for signing legal documents related to LEED certification. The prototype administrator is the day-to-day contact person responsible for managing all the prototype submittals. One person can hold both positions. However, the portfolio administrator must be employed by the participant; the prototype administrator can be a service provider.

Every volume project will need to identify a **Volume Project Administrator**, who will be responsible for managing submittals for the volume project and for coordinating with the Prototype Administrator on the quality control and education processes. The volume project and prototype administrator roles can be held by the same person.

The **Quality Control Plan** (QC Plan) must address prototype-level details by providing and explaining the tools and processes the participant will use to deliver projects that consistently meet the LEED credit requirements. A good QC Plan includes a series of tools such as checklists, design review or maintenance reports, construction submittals, or performance tracking documents that are used by the participant to deliver completed projects. The QC Plan output or audit documentation will become the required submittals for any volume projects that are audited.

Through the **Education Plan,** the LEED Volume Program seeks organizational change to ensure LEED design and construction or operations and maintenance practices are standardized. Therefore, when a participating organization implements an Education Plan for staff, consultants and contractors, it should be designed to institutionalize LEED practices and change how the organization conducts business where necessary.

The Education Plan must consist of standardized training materials that integrate LEED measures into existing processes, providing technical green building information and defining roles and responsibilities. The plan should outline the communications strategy to ensure those responsible for meeting LEED requirements understand their roles, including local design and construction teams and building management groups. In addition, the plan must also indicate how the technical green building concepts are conveyed to these team members. Materials provided for review can include training sessions, meeting presentations, required readings and online databases.

Credit Submittals

Prototype credit documentation must demonstrate that the participant's standard policies and practices meet the requirements for any attempted LEED prerequisite or credit. The documentation must include information for all credits that will be included in the prototype. Participants are given the flexibility to prototype as many credits as they believe are suitable for the group of volume projects under the prototype.

There are no requirements on how frequently a given prototype credit must be used on volume projects. Rather, based on the anticipated frequency of use, the participant is able to determine the credits to include in the prototype precertification vs. those credits to be treated as individual credits for specific volume projects. The prototype credits can be used as a catalog from which credits can be selected for any given volume project under the prototype and supplemented by individual credits in unique circumstances. More detail on individual credits is included in Section 3.3 Individual Credits.

For each prototype credit, only one **Credit Approach** is typically submitted. A credit approach is defined as a complete package of technical documentation, QC and education processes, and audit documentation to support one of the cases, options, or paths outlined in the requirements of a prerequisite or credit. ACP approaches may also be used. A credit approach must be based on a uniform technical strategy and tools, uniform quality control steps taken on each volume project, and uniform education resources and training. Based on this consistency, a credit approach must result in one consistent output which forms the basis of uniform audit documentation across all buildings using the credit approach. If a technical or management scenario requires a project or group of projects to collect alternate documentation, then an additional credit approach or an individual credit must be used.

In addition to the typical one credit approach per prototype credit, the participant may also submit up to five additional credit approaches per prototype. Participants can decide to apply all five additional approaches to one prototype credit or can choose to spread the five options among several prototype credits. If the participant wishes to pre-certify more than five, then the additional credit approaches can be indicated in the prototype documentation and the required fee submitted.

For prototypes under the LEED-EB: O&M rating system, participants often choose to include additional credit approaches in the prototype to accommodate a wider range of variance among volume projects.

Allowance for Credit Approach Submissions for Specific Prototype Credits

Minimum Energy Performance and Optimize Energy Performance Credit
(Design and Construction)

When preparing to submit the Minimum Energy Performance and Optimize Energy Performance prototype credit documentation, the participant — if whole building energy simulation is pursued — can include under one credit approach, up to nine different climate zones in the energy model.

Sustainable Sites Alternative Transportation Credit
(Design and Construction)

When preparing to submit a prototype credit where a combination of paths is used for a single building or space, such as the Sustainable Sites Alternative Transportation credit, the participant may submit any or all of the available paths together as a single credit approach. Individual volume projects can then use any combination of the paths submitted for the prototype credit.

Credits with Varying Achievement Levels
(Operations and Maintenance)

When preparing a prototype credit, such as Optimize Energy Efficiency Performance or Sustainable Sites Alternative Commuting Transportation, where through one credit approach the achievement level for volume projects will vary based on performance at the volume project level, the prototype will receive the full number of points associated with each credit. Achievement on the volume projects must be verified against the total number of points available, and the volume project scorecard submitted for certification must indicate the actual performance that has been documented through the QC process.

Technical Documentation includes completed LEED credit forms and supporting materials to demonstrate that the credit requirements are met through a given technical approach. For design and construction prototypes, design credits should be fully documented with the standard policy, practice, or demonstrated performance level. Construction credits may not be fully developed at this phase, as actual construction data is often needed to document performance. However, the documentation must demonstrate the methods that will be used to ensure credit requirements are met. For prototypes under the LEED-EB: O&M rating system, specific performance achievement levels can often vary among buildings. Thus, the technical documentation involves describing a standard technical approach and assessment methodologies.

The **Quality Control Process** (QC Process) demonstrates for each prototype credit the organizational standards and procedures that will lead to the required performance levels being consistently met. The credit-specific QC process ties into the general QC Plan for the prototype and illustrates how LEED documentation will be checked at multiple levels in the organization.

The **Education Process** demonstrates how the technical and managerial requirements will be communicated to each of the responsible parties participating in the QC process. For each prototype credit, both the technical LEED requirements and organizational procedures must be clearly communicated in order for prototype credits to be successfully implemented on volume projects.

Audit Documentation includes identifying and providing sample deliverables that will be collected for each prototype credit to demonstrate that the QC process was followed and the technical requirements were met. Sample audit documentation is introduced and approved during the prototype precertification phase. Volume participants identify the documentation strategy that works best for their portfolio and quality control and education processes.

Identifying audit documentation in the precertification phase represents a change from the earlier LEED Volume Pilot Program. This change has been implemented to ensure that both the participant and the LEED review team have a clear understanding of the documentation that will be requested in volume project audit reviews. When audit documentation for a prototype credit is precertified, it becomes the only documentation that is required for volume project audits.

2.2 Review Timeline

Prototype precertification reviews, as well as subsequent volume project reviews, are performed by a small, dedicated review team to ensure consistency. GBCI targets (but does not guarantee) delivery of the preliminary review within thirty-five (35) business days of receipt of a completed precertification submission. The participant has twenty five (25) business days to respond to the preliminary review. Once the participant has responded to the preliminary review, GBCI targets (but does not guarantee) delivery of the final review within twenty-five (25) business days. At the end of the final review, the prototype is awarded precertification for all achieved prerequisites and credits. The participant must formally accept the final review in order for it to be official.

The participant may decline to accept the final precertification review in order to appeal one or more credits. These appeals must be submitted within twenty-five (25) business days of the final precertification review. Appeals receive one review, for which GBCI targets (but does not guarantee) delivery within twenty-five (25) business days.

2.3 Prototype Effective Term

Participants may register a prototype in LEED Online until the date that full certification is available in the next version of LEED. For example, if certification is launched for LEED 2012 for Commercial Interiors on December 1st, 2012, a prototype could be registered in the prior version of LEED-CI up until November 30th, 2012. All prototypes must be submitted for preliminary precertification review within one year after the prototype registration deadline. Any prototypes which are registered but not submitted for precertification review prior to this submission deadline are cancelled and the associated fees are forfeited.

Participants may purchase volume project bundles under a prototype up to one year after the prototype submission deadline, regardless of how many years have passed since the completion of the precertification. All volume project bundles expire three years after the date of purchase. While the participant has the ability to purchase additional bundles under a prototype during the timeframe described above, any volume projects within a bundle, for which both registration and preliminary submission for certification are not completed within three years, are cancelled and the associated fees are forfeited.

The following diagram illustrates the overall timeframes for registration and certification in the LEED Volume Program, in relationship to the release of the next version of the LEED rating systems.

Registration and Certification Timelines
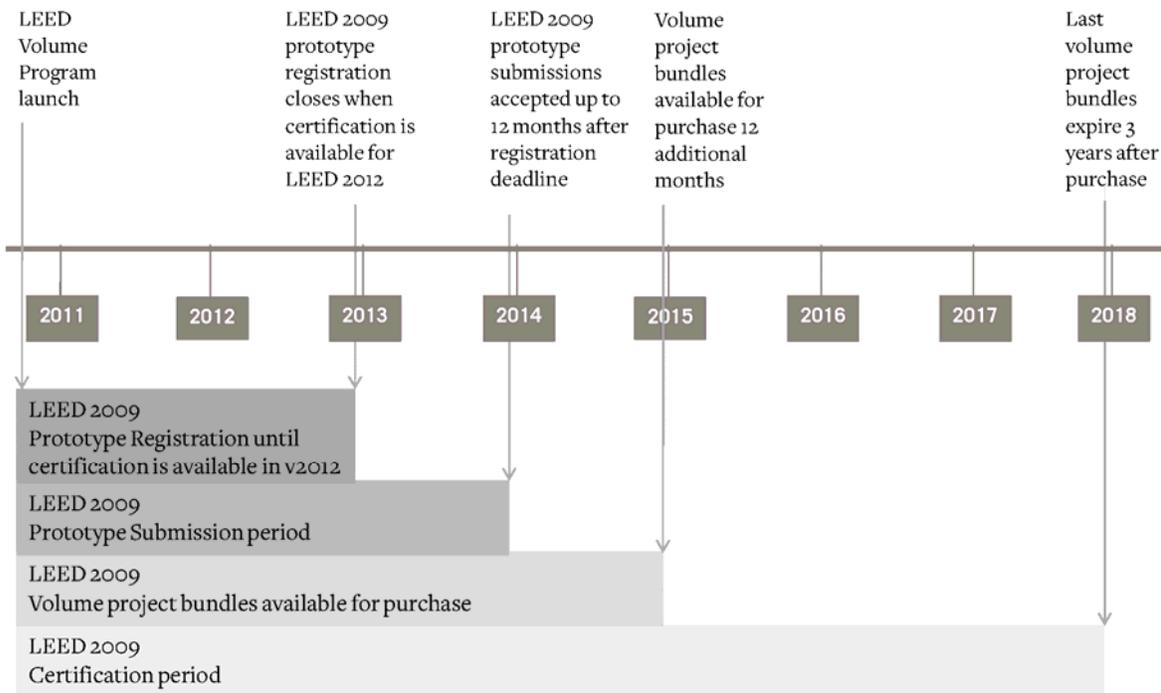
2.4 Additional or Changed Credits

If there are changes affecting prototype credits on subsequent volume projects (e.g. changes of materials, construction methods, and policy updates) after prototype precertification, the participant must report these changes to the Account Manager. The account manager assists the participant in determining if the changes are minor or substantive. If the changes affect the QC process, audit documentation, credit options or paths, or the performance levels of the credits (in design and construction), then they are considered substantive and a subsequent renewal precertification review will be necessary for those credits. There will be an additional charge for these credits and the timeline for review will be the same as in the precertification phase.

Additional credits or revised credits can be submitted for a prototype at any point during the certification phase for a fee. The submission of additional or revised credits can be made through a process which uses similar technology mechanisms to the appeals process for standard one-off projects, but is not an appeal. Submission of additional or revised credits must also include updates to the volume certification narrative, QC Plan, and/or Education Plan to reflect the additional or revised credits.

3.   <u>Certification</u>

After a prototype has achieved precertification, the participant enters the certification phase and volume projects can be certified using the prototype standards. At this time for design and construction prototypes, construction may begin on all volume projects. For operations and maintenance prototypes, the performance period for volume projects must include a minimum of three months after precertification has been achieved. In the case of new acquisitions, the performance period must also include a minimum of three months during which the building is under the participant's management. To ensure ongoing performance and that the requirements for managerial and technical uniformity are achieved, it is critical that all stakeholders for each volume project maintain the processes established in the quality control and education plans.

Every volume project will need to provide basic information to the review team for the preliminary review. This will include registration information, such as project name, address, square footage and completion date, as well as the LEED **Volume Project Scorecard** and completed Project Information Forms in LEED Online. Volume projects under operations and maintenance prototypes will also need to complete a set of key metrics. A list of these key metrics can be found in the *LEED Volume Program: Submittal Guidance for Operations and Maintenance.*

On the volume project scorecard, the project team will need to indicate a final tally showing which prototype credits were achieved. When project-specific variances occur for prototype credits that prevent the volume project from achieving the credit requirements, such credits should be removed

from the scorecard. Pro-active removal of a prototype credit from the volume project scorecard does *not* constitute a "failure" in the context of the Consequences of Failure described in Section 3.2.

Verifying the accuracy of the volume project scorecard submitted for certification is a critical step in the participant's QC process. The scorecard must reflect accurate credit achievement and a certification level that has been verified prior to submission.

For every volume project, the participant collects documentation for all completed credits prior to the submission of the volume project scorecard, according to the processes set-up in the QC Plan. Unless the volume project is selected for audit, the documentation is maintained by the participant, and is not required to be submitted to LEED Online.

3.1 Audits

Volume projects are audited to ensure compliance with the LEED standards that have been established in the precertification. Audit rates are tied to the total number of volume projects purchased. As the number of volume projects purchased under a prototype raises, the audit rate drops. If a large number of volume project bundles are purchased at one time early in the process, the volume projects are subject to having an even distribution of audits at a low rate. Conversely, if the 25-project bundles are purchased one at a time, the audit rates are higher at the beginning and gradually balance out to a lower sampling rate. This is based on the total number of volume projects purchased at a given point in the process. For prototypes with large numbers of volume projects, the audit rates can reach as low as 5%. However, for each purchase, a minimum of two volume projects are audited.

The first three projects under a prototype are always audited. Following the initial three audits, the audit rates are as follows:

- If 25 are purchased, seven additional projects are audited (10 out of 25 total);
- If 50 are purchased, nine additional projects are audited (12 out of 50 total); and
- If more than 50 are purchased, 5% of all additional projects purchased are audited.

The following table summarizes the audit rates based on the number of project bundles purchased.

Audit Rates for LEED Volume Projects

# of Projects	Initial Audits	Random Audits	Total Audits	% of Total Audited	% Randomly Audited
25	3	7	10	40%	28%
50	3	9	12	24%	18%
75	3	10	13	18%	14%
100	3	12	15	15%	12%
150	3	14	17	11%	9%
200	3	17	20	10%	8%
500	3	32	35	7%	6%

Additional details on audit rates can be found in *LEED Volume Program: Pricing Summary and Audit Rates.*

When a volume project is selected for audit, the participant will need to submit documentation for each of the prerequisites and credits included on the volume project scorecard. The submittal will consist of the completed quality control output, or audit documentation that was identified during the prototype precertification. The goal of the audit process is to verify that the organization's quality control and education processes are working properly, such that any credits marked as complete on the scorecard have been thoroughly verified within the organization.

3.2   Consequences of Failure

During an audit, projects having failed prototype credits which were marked as complete on the volume project scorecard will be allowed to pursue appeals through the standard appeal process. When a volume participant does not prevail during the course of a prototype credit appeal, the failed prototype credit is removed from the prototype scorecard and cannot be earned as a prototype credit until it has been precertified again. A failed prototype credit can be re-precertified using the process to add or revise credits noted in section 2.4 Additional or Changed Credits.

When an audit of a volume project indicates the failure of three or more prototype credits, or alternatively, when the failure of one or more prototype credits for an audited project reduces the total number of points awarded such that the project cannot achieve the level of LEED certification indicated on the volume project scorecard, such events constitute a failure of the QC process, and thus, a failure of the volume project. When an audit of a volume project indicates

the failure of a prerequisite, this too, constitutes a failed volume project because the project cannot achieve the level of LEED certification indicated on the volume project scorecard.

Following a failed volume project, the participant must complete a corrective action report identifying the cause of the failure in the QC process and the steps taken to correct the failure before submitting any additional volume projects for certification. The corrective action report must include the following:

- A description of the source and scope of failure in the QC process for the audited project,
- A description of any related issues on other volume projects under the prototype,
- A description of changes that are being implemented to correct the failure, including clarifications to the prototype's general submittals, and
- Clarifications to the technical documentation (if applicable), QC and education processes, and audit documentation for each of the failed prototype credits.

Once the corrective action report has been reviewed and approved, the next three volume projects submitted for certification will be audited. These additional audits are imposed in addition to the audit rates described in section 3.1.

The participant is required to pay the corrective action fee upon submission of the corrective action report to cover the review of the report and the three additional audits.

In the event that one of these additional three audits indicates the failure of three or more prototype credits, or the failure of one prerequisite or one or more prototype credits causes the project to not achieve the level of LEED certification indicated on the volume project scorecard, the entire prototype is considered to be suspended and must go through the precertification phase again.

To re-precertify a prototype, the participant must provide full precertification submittals, including information on all prototype prerequisites and credits. Some components of the prototype's technical documentation and management processes may not have contributed to the failure, so the information submitted for re-precertification of these components can be the same documentation as originally submitted.

The participant determines what aspects of the prototype's precertification submittals must change in order to correct the failure. Volume project bundles are not forfeited when a prototype is suspended, but volume projects cannot submit for certification until re-precertification is complete. Re-precertification of a prototype requires the participant to pay the prototype fee again.

3.3 Individual Credits

For a specific volume project, the participant may wish to submit additional credits that were not included in the prototype precertification. Typically, these **Individual Credits** represent a small portion of the overall credits submitted with any volume project, since the majority of credits pursued are included as prototype credits. Review and approval of individual credits can be accomplished through the standard review process for volume projects.

The project team must indicate individual credits as distinct from prototype credits on the volume project scorecard that is submitted in LEED Online with the basic information and Project Information Forms for preliminary review. Fees for individual credits included on the volume project scorecard are invoiced with the return of the preliminary review. Documentation for individual credits is reviewed during the final review. For projects that are selected for audit, the individual credit documentation is reviewed concurrently with the audit documentation.

Documentation for individual credits consists of standard LEED submittals, including LEED credit forms and any accompanying documents. No quality control or education requirements apply to individual credits.

3.4 Review Timeline

GBCI reviews the volume project scorecard and Project Information Forms for all volume projects and targets (but does not guarantee) delivery of the preliminary review within ten (10) business days. If the volume project is not selected for audit, the participant will have twenty – five (25) business days to accept certification.

If the volume project is selected for audit, the participant will have fifteen (15) business days to provide the requested audit documentation. Once the audit documentation is submitted, GBCI targets (but does not guarantee) delivery of the final review within twenty-five (25) business days. Once complete, the participant has twenty-five (25) business days to accept or appeal the review. When a participant submits a corrective action report following a failed volume project, as described in section 3.2, the corrective action report receives one review, for which GBCI targets (but does not guarantee) delivery within fifteen (15) business days.

When a volume project is in the audit review process, the review timeline for subsequent volume projects will commence when the audit review process is complete. Multiple audit reviews may run concurrently. However, the first three audit reviews must be completed to establish that the QC process is working smoothly, before subsequent audit reviews begin.

Participants must retain all project documentation which demonstrates the satisfaction of the LEED prerequisites and credits for each volume project for a period of two years after the volume

project is submitted for certification, regardless of whether the project is selected for audit or not. Retaining the audit documentation as output of the quality control program for all volume projects demonstrates that the participant is continuing the commitments made during prototype precertification.

Conclusion

The LEED Volume Program provides a streamlined process to certify like buildings and spaces. It is a flexible and cost-effective approach that allows organizations to create prototype(s) and identify credits that are most compatible with their unique projects, staff expertise and sustainability goals. This overview provides a general description of the program. For additional information, reference the following companion documents:

- *LEED Volume Program: Pricing Summary and Audit Rates*
- *LEED Volume Program: Submittal Guidance for Design and Construction*
- *LEED Volume Program: Submittal Guidance for Operations and Maintenance*
- *LEED Certification Policy Manual,* including the program-specific appendix, *LEED Volume Program*, available for download when the prototype is registered.

Revisions of this Document

As necessary, this document will be updated to provide additional clarification on the intent and requirements of the LEED Volume Program. Prototypes and volume projects must comply with the version of this document that is current at the time of the prototype registration. It is the participant's responsibility to be familiar with the current version at the time that the prototype is registered. Additionally, participants will always have the option to reference versions published after a prototype's registration date.

Changes made in December 2011 Release

The following list includes some of the most significant changes and additions the December 15th, 2011 update:
- Revision to certification timelines and prototype effective term to extend the period for prototype submissions and the purchase of volume project bundles under LEED 2009 rating systems
- Clarification regarding the ability to use International ACPs in the LEED Volume Program
- Clarification regarding additional credit approaches
- Clarification regarding the ability to include recertification projects under a LEED-EB: O&M prototype
- Revision to the review process for individual credits to eliminate the delay associated with using the appeals process

Glossary

Account Manager: The program's point-of-contact with a Volume Participant. The account manager assists Volume Participants throughout the process, from initial recruitment and pre-registration activities, through prototype precertification and certification.

Audit Documentation: The deliverables identified in the precertification phase and collected in the certification phase for each prototype credit to demonstrate that the quality control process is followed and the technical requirements are met.

Credit Approach: A complete package of technical documentation, QC and education processes, and audit documentation to support one of the cases, options, or paths outlined in the requirements of a prerequisite or credit. For each prototype credit, only one credit approach is typically submitted. However, alternative compliance path approaches may also be used. In addition to the typical one credit approach per prototype credit, the participant may also submit up to five additional credit approaches per prototype.

Credit Submittals: The portion of the submittals provided for a prototype during the precertification phase that provides detailed documentation for each prototype credit. Credit submittals for each prototype credit include: technical documentation, quality control process, education processes, and audit documentation information.

Education Plan (General Submittals): The participant's internal training methods for staff, consultants and contractors on how to implement LEED measures and incorporate them into existing quality control programs. The training must be directed at those responsible for meeting new requirements, such as local design and construction teams, and those who verify that new requirements have been met, such as corporate review of contracted work or project managers who review on-site procedures.

Education Process (Credit Submittals): Demonstration of how the technical requirements and management procedures for a given prototype credit will be communicated to each of the responsible parties participating in the quality control process. The credit-specific education process must tie into the general education plan for the prototype.

General Submittals: The portion of the submittals provided for a prototype during the precertification phase that demonstrates the overall uniformity in design, construction, operations and maintenance, and management processes for the prototype. General submittals include: the volume certification narrative, quality control plan, and education plan.

Individual Credit: A LEED credit not included in the prototype, which is reviewed using the standard LEED submittal forms.

Individual Project: A standard one-off LEED project completed outside of the volume program that is not associated with a prototype. Individual projects follow standard documentation requirements, including full LEED forms and supporting materials. Volume participants may choose to pursue individual projects in cases where a specific building or space does not meet the technical and managerial uniformity of a prototype.

LEED Online: The web-based resource for managing the LEED documentation process.

Portfolio: The grouping tool in LEED Online that allows each volume program participant to organize their prototype(s), volume projects under the prototype(s), and individual projects in one place.

Portfolio Administrator: The volume participant's program-level management contact with GBCI. The portfolio administer must be employed by the participant and must sign legal documents related to LEED certification. The employee should be knowledgeable about the LEED rating system and the LEED Volume Program.

Prototype: A conceptual building or framework representing a group of projects that either have major design and construction elements in common or similar operations and maintenance practices, along with like management procedures; and therefore can pursue a common set of LEED prototype credits.

For design and construction projects, volume certification is currently available under the following rating systems:

- LEED 2009 for New Construction and Major Renovations
- LEED 2009 for Commercial Interiors
- LEED 2009 for Retail: New Construction
- LEED 2009 for Retail: Commercial Interiors

For operations and maintenance, volume certification is available under the LEED 2009 for Existing Buildings: Operations and Maintenance rating system. A prototype under this rating system is based more on a standard quality control process and a set of policies, rather than on a uniform set of physical building features. Each prototype must be based on a specific version of the chosen LEED rating system.

Prototype Administrator: The primary day-to-day contact responsible for managing all submittals for the prototype. The prototype administrator is responsible for coordinating with the portfolio

administrator and with all those who participate in the quality control process. The role may be held by the same person who serves as the portfolio administrator. The role may also be held by someone outside the participant organization, such as a service provider.

Prototype Credit: A LEED prerequisite or credit with a similar technical approach or outcome to the same prerequisite or credit within other projects under a prototype. Within a given prototype, the prototype credit must be earned using the same LEED compliance path and credit form path, and use the same techniques, methods and management strategies.

Prototype Precertification: The process in which prototype standards are developed and reviewed prior to the implementation of volume projects. Precertification of a prototype confirms that the LEED credit requirements can be met, and the steps and measures required to ensure compliance for future projects are in place.

Quality Control Plan (General Submittals): The general methods the participant uses to ensure that the sustainable intent for its volume projects becomes reality, ensuring that LEED requirements have been incorporated into its standard building practices and processes. The QC Plan describes generic, organization-level checking and verification processes used across multiple types of building project issues and technical goals.

Quality Control Process (Credit Submittals): Builds on and supplements the prototype-level QC Plan by providing detailed, credit-specific methods tailored to, and suitable for, each specific type of building process (e.g. plan review, commissioning, field inspections, periodic preventive maintenance and review of automation trend logs). Describes all aspects of the participant's internal verification processes (who, what, when, where, how, and to what extent). This level of detail is required for all prototype credits.

Technical Documentation: The documentation that is required to demonstrate that each of the attempted prerequisites and credits for a prototype meet the LEED requirements. Technical documentation is submitted in the precertification phase and is typically based on standard LEED submittal forms.

Volume Certification Narrative: A high-level overview of the volume participant's organization and construction program that describes what is intended to be certified through the volume certification process.

Volume Participant: An organization that owns, manages or leases real estate is eligible to use volume certification. Consultants, architects, and contractors are not.

Volume Program Applicant: An organization that expresses intent to participate in the LEED Volume Program by submitting an application to demonstrate their readiness to enter the program, and their compatibility with the program requirements.

Volume Project: A project at a single location which follows a prototype, and for which the volume certification process is used to document LEED certification.

Volume Project Administrator: The person who is responsible for managing submittals for a given volume project, and for coordinating with the prototype administrator on the quality control and education processes. The role may be held by the same person as the prototype administrator.

Volume Project Scorecard: The scorecard that is submitted in LEED Online for a volume project, demonstrating achievement levels which have been thoroughly verified through the participant's QC process prior to submission.