

LOTUS New Construction V3

Submission Guidelines

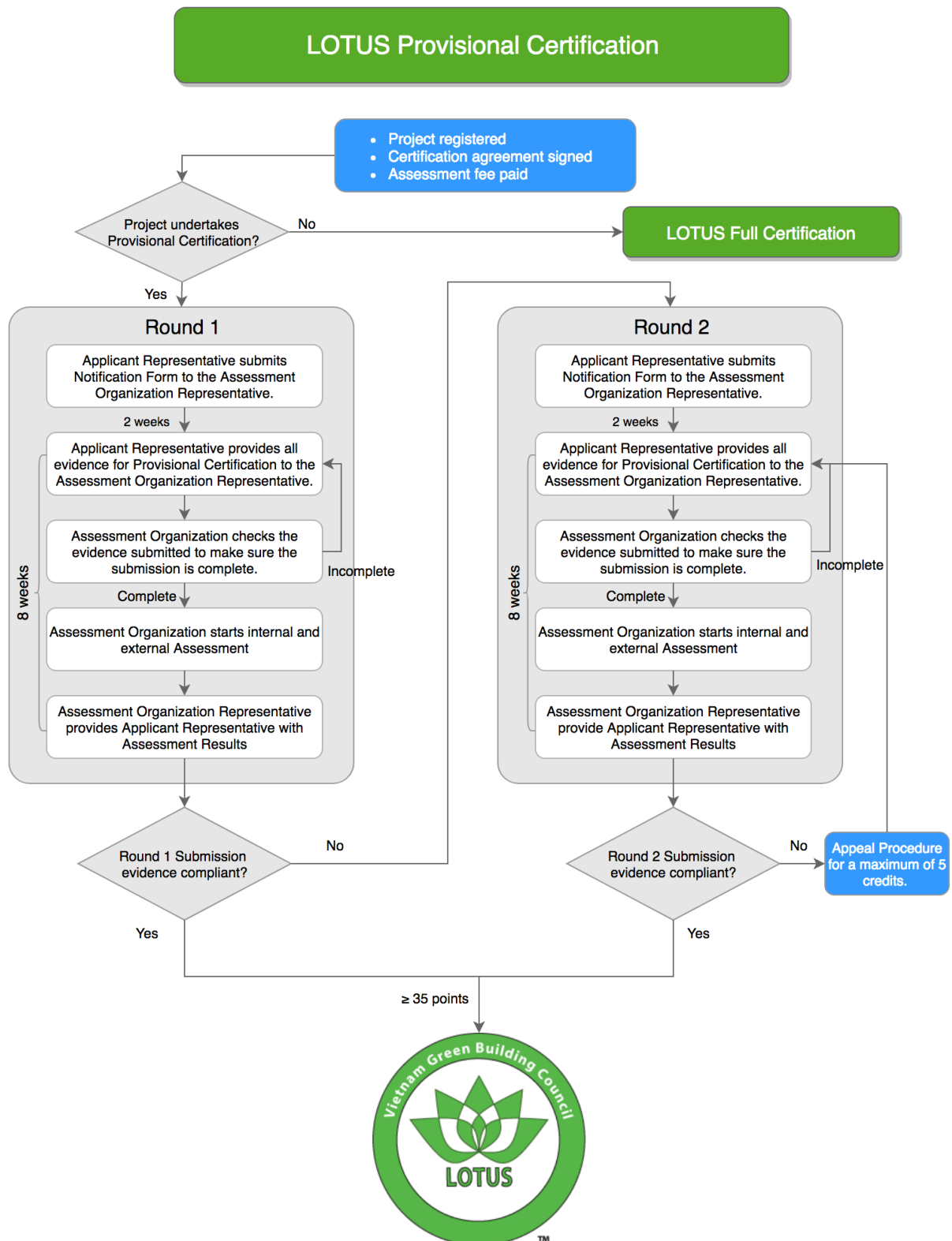
This document describes the Submission Guidelines that projects need to follow in the scope of LOTUS NC V3 certification.

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1. LOTUS Provisional Certification



1.1 Round 1

1.1.1 Notification of Submission

Once the Project Certification Team has compiled all evidence for Provisional Certification Assessment, the **Applicant Representative** must notify the Assessment Organization Representative of the date when all evidence will be submitted to Assessment Organization by completing and sending the **Notification Form**. A minimum of a two-week notice must be provided.

1.1.2 Submission

The Applicant Representative submits all evidence to the Assessment Organization Representative. It is recommended to provide these submissions before the beginning of construction work to ensure the most efficient management of the project.

Further information regarding the content of submissions can be found in Section 3. Submissions.

1.1.3 Scan of the submission

The data supplied to the Assessment Organization Representative will be checked to make sure it is complete. In case documentation is missing, the Assessment Organization Representative will request the Applicant Representative to promptly provide the missing data.

1.1.4 Assessment

The data supplied to the Assessment Organization Representative will be assessed by the Project Assessment Committee (PAC). This committee is led by the Assessment Organization's project manager and consists of experts from the Assessment Organization and from external independent experts.

1.1.5 Results

An assessment report detailing the results of the round will be issued to the Applicant Representative by the Assessment Organization within 8 weeks of the submission date.

1.2 Round 2

If Round 1 submission for any credit or prerequisite is denied, or the Applicant would like the opportunity to score higher for some credits, a second round of submissions for re-assessment is available for projects.

This round will give the possibility to provide further evidence to demonstrate to the PAC that pending credits and prerequisites have finally been achieved. There is no limit to the number of credits and prerequisites that may be re-submitted, and the applicant is encouraged to re-submit all queried credits and prerequisites so long as they can provide new submittal information.

Results of the assessment will be provided to the Applicant Representative within 8 weeks of the submission date. In special cases further appeals and/or applications may be permitted, however these may generate additional fees.

1.3 Appeal Procedure

After the assessment report from Round 2 is received, in the case that the Applicant is still not satisfied with the results, a procedure is available to appeal the outcome of a maximum of 5 prerequisites/credits (additional appeals levy extra costs). Further evidence should be provided to demonstrate how appealed prerequisites/credits have finally been achieved.

The following rules and conditions apply:

- The Appeal should be submitted in writing to the Assessment Organization within 30 calendar days after receiving the assessment report from Round 2.
- Final Appeal Application will be reviewed by the PAC. Feedback will be issued within 8 weeks after the reception of the application.

1.4 Provisional Certificate

At the end of Round 1, Round 2 or after the appeal procedure, if the project can demonstrate compliance with all the prerequisites and enough credit criteria to reach a total of 35 points, LOTUS Provisional Certification can be awarded.

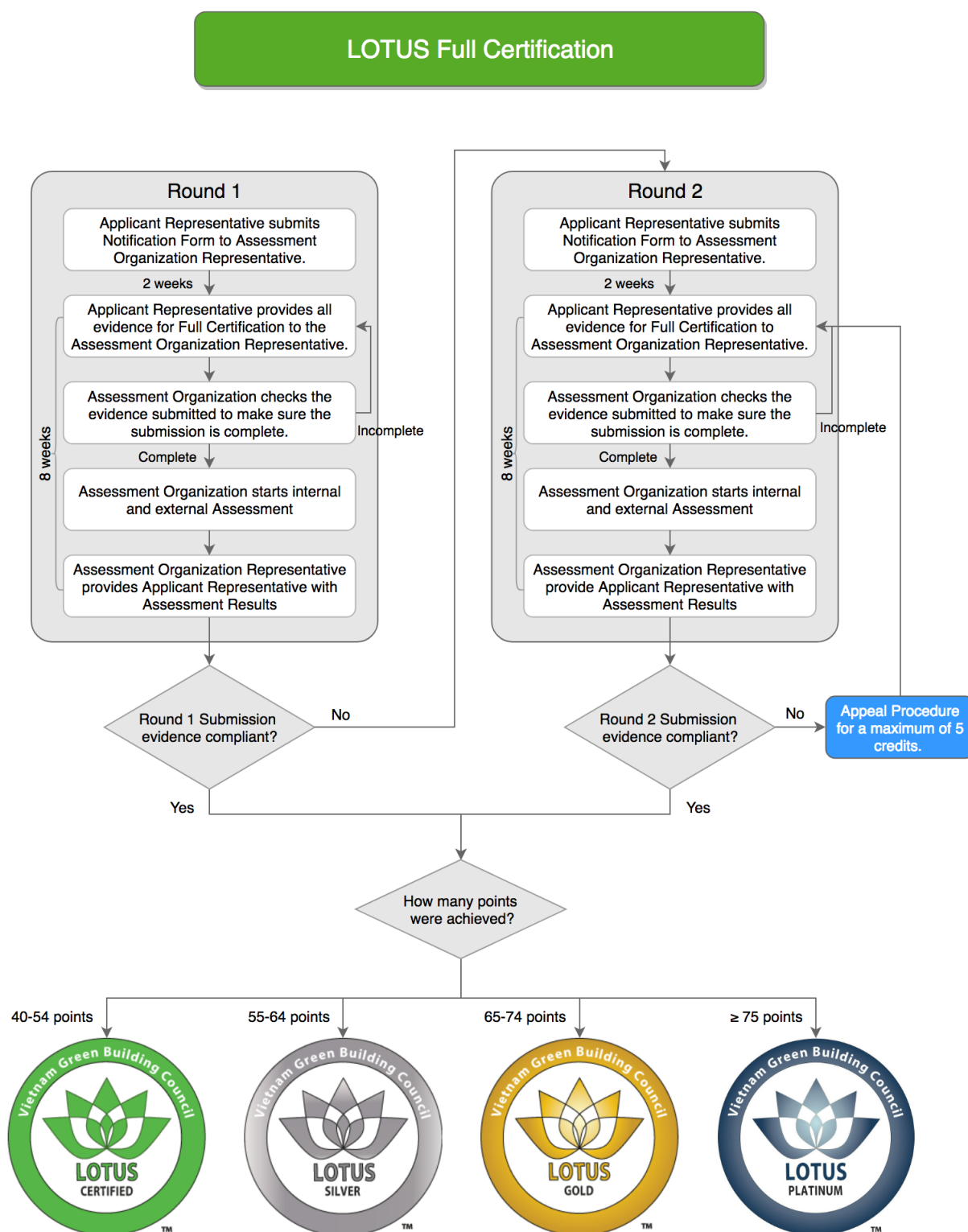
Provisional Certification represents the intention of a project to be certified at Full Certification stage and allows for marketing opportunities prior to construction completion.

No certification level is awarded to projects at Provisional Certification stage, only an indication that the project is on-track to achieve an anticipated level of certification at Full Certification stage is given.

A Provisional Certificate can be issued by the VGBC on demand by the Applicant.

LOTUS Provisional Certification is valid for a maximum period of 18 months after the completion of construction at which point Full Certification must be completed to maintain a LOTUS Certification for the project.

2. LOTUS Full Certification



2.1 Assessment Process

Upon completion of the construction, the as-built and as-installed features of the building will be assessed for the LOTUS Full Certification stage.

The assessment process for LOTUS Full Certificate is the same as the LOTUS Provisional Certificate and consists also of two rounds of assessment and one potential appeal procedure. The difference is that instead of verifying design and tender documentation, the LOTUS Full Certificate assessment verifies as-built and as-installed evidence.

At the Full Certificate assessment, in case of deviation or addition from the Provisional stage, it is possible for a project to lose credits that were gained in the Provisional Certificate stage but also to gain extra credits for which evidence can be provided.

The assessment for LOTUS Full Certification is to be undertaken within 18 months of the completion of construction.

2.2 Site Inspections

At Full Certification stage, in complement of the Full Certification submissions, some site inspections may be conducted by members of the PAC. The aim of the site inspections is to provide a more complete and precise assessment and make observations of the green features.

Site inspections will be conducted within 8 weeks following the submissions for Round 1 of Full Certification. There will be site inspections on all the projects targeting LOTUS Gold and LOTUS Platinum Certification and some random site inspections on other projects.

Site inspections do not replace Full Certification stage submissions and the projects that will be inspected still need to provide all the submittals required in the prerequisites and targeted credits. However, site inspections may be used to validate or invalidate some of the evidence provided by the project.

2.3 Full Certificate

The LOTUS Full Certificate will be issued by the VGBC upon successful completion of this final assessment. Building projects will be issued with LOTUS Certified, LOTUS Silver, LOTUS Gold or LOTUS Platinum certificates depending on the number of points achieved.

The Full Certificate is valid for 5 years provided that energy and water consumption data is submitted on a yearly basis. After 5 years, the certificate is expired and cannot be extended. Projects are then encouraged to pursue LOTUS Buildings in Operation (LOTUS BIO).

3. Submissions

3.1 Types of Submissions

There are two different types of submissions:

- Provisional Certification stage submissions, happening at the design/tender stage and which are required for LOTUS Provisional Certification
- Full Certification stage submissions, happening at the as-built stage and which are required for LOTUS Full Certification

3.1.1 Provisional Certification submissions

The list of all submittals to be provided for Provisional Certification stage is given at the end of each prerequisite and credit. Submittals mostly include tender and design documents showing the project is on-line to meet LOTUS requirements at the end of construction.

The structure of the submissions should follow the description provided in the section Submission Process below.

3.1.2 Full Certification submissions

The list of all submittals to be provided for Full Certification stage is given at the end of each prerequisite and credit. Submittals mostly include as-built documents and evidence showing that LOTUS requirements have been met.

The structure of the submissions should follow the description provided in the section Submission Process below.

Where the sentence “If not already approved at Provisional Certification or if there is any change” is written, all the submittals listed below this sentence do not need to be submitted for Full Certification if all of the following is true:

- The submittals have been provided for Provisional Certification
- The assessment report at Provisional Certification shows that the submittals have been approved by the Assessment Organization
- No change (deviation or addition) impacting the credit has occurred since the submittals have been provided to the Assessment Organization

This means that, for some credits that have been awarded by the Assessment Organization at Provisional Certification, no submission may be required for Full Certification.

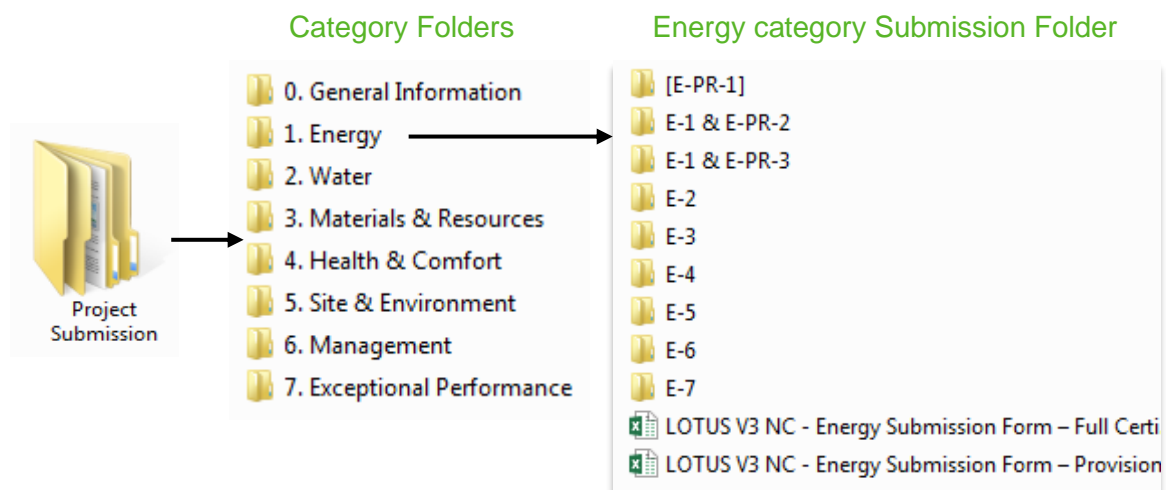
3.2 Submission Process

At each round of both types of submissions, a complete portfolio of evidence should be submitted at one time, demonstrating that a project meets the requirements of all the prerequisites and all the credits targeted.

Once payment for Registration Fee has been received and the Certification Agreement has been duly signed, the Assessment Organization Representative provides the Applicant Representative with a complete package of documentation that includes a pre-arranged Project Submission Folder and a Resources Folder.

3.2.1 Project Submission Folder

The Project Submission Folder is the main folder provided that, upon completion, will be returned to the Assessment Organization Representative for assessment. The Project Submission Folder contains 8 sub-folders for the 7 LOTUS NC Categories and one General Information Folder.



For each submission, the Applicant Representative must use the Project Submission Folder as shown in the above Figure. More information about the different sub-folders is given in the following.

General Information Folder

All general project information should be provided in the General Information Folder. If information is not provided, this could cause problems validating evidence when assessing individual credits.

This folder should include:

- The completed LOTUS NC V3 Project General Information spreadsheet.

This file provides the Assessment Organization with important information about the project, including:

- Project location
- Construction/completion dates
- List of consultants involved in the building construction and/or certification
- General information on building and site including a breakdown of spaces
- Summary of all the credits targeted by the project and the status of the submittals
- Any critical correspondence between the Applicant Representative and the Assessment Organization Representative that may impact the project assessment.
- A full set of project documentation including design drawings and specifications (where available) for all architectural, civil, structural, mechanical, electrical, hydraulic and building controls (VGBC recommends files are provided in .PDF format).

The General Information Folder should be updated with latest information and included in each submission from the Applicant Representative.

Category Folder

Within each of the 7 category folders are included two Category Submission Forms (one for Provisional Certification and one for Full Certification) and a credit folder for each individual credit or prerequisite in that category.

Credit Folder

Credit folders should be submitted for each of the credits targeted. Each credit folder should contain all supporting evidence for the credit.

Category Submission Forms

The Category Submission Forms aim to provide a template for the Applicant to describe the strategies implemented and to submit all the evidence required.

In order to make the submission and assessment work easier and quicker, Category Submission Forms have been formatted to refer to the submissions section of each credit.

For each prerequisite and targeted credit, the following sections must be completed:

- Points: Select the number of points claimed for the credit
- Approach and Implementation: Insert a summary to explain how the credit requirements have been met: solutions implemented, methodology used, main features and results. If appropriate, the Applicant may provide further information such a description of the challenges of realizing the credit.
- Documents submitted: Complete the table by:
 - Adding the exact name of the electronic file(s) submitted in “File(s) Name”

- Adding a “Reference” which will be used to guide the reviewer when assessing long or complicated documents which only partly address credit requirements (e.g. page 10, section 3.4, table 4.3)

3.2.2 Resources Folder

This folder contains a few documents that are provided to the Applicant Representative:

- LOTUS NC V3 Management Tool: a tool that can be helpful to manage the project, select appropriate pathways, track progression, set targets, etc. The Applicant Representative can use this tool at their own discretion.
- Calculators, which are excel files performing calculations, such as:
 - LOTUS Calculator - Water Calculations: a tool that can perform all the calculations necessary for the Water credits. VGBC strongly encourages the use of this tool as a submission document for the calculations of the Water Credits.
 - LOTUS Calculator - OTTV Calculation. VGBC strongly encourages the use of this tool to perform the OTTV calculations necessary for E-3 Building Envelope Option A.
 - additional calculators that can be used for different credits requiring calculations
- Guidelines providing additional information and guidance, such as:
 - LOTUS NC V3 Guidelines - Energy Performance Calculation Method. This document provides all the guidelines that have to be followed to realize the simulations required in the scope of E-PR-3 and E-2 Total Building Energy Use.
 - LOTUS Guidelines - CFD Simulation. This document provides requirements to follow for projects performing CFD simulation for credit E-4 Building Cooling.
- Templates, which are excel files to fill in, such as:
 - LOTUS Template - Energy modelling Input tables. This file must be completed and submitted for compliance with E-PR-3 and E-2 Total Building Energy Use.

4. Documentation Content and Presentation

All documentation submitted should respect the following guidelines on content and presentation:

Content
All documentation should be in English where possible; however, Vietnamese submissions are acceptable.
For all credits, a narrative including the performance achieved, the method of compliance and any relevant information to facilitate the review process should be provided.
All steps of calculations should be clearly developed and explained. Results standing alone will not be accepted.
All calculations should be made in SI units.
Presentation
All documentation provided for the assessment must be inserted in the electronic folder provided after registration. Each document should be inserted in the corresponding credit folder.
The information that demonstrates compliance with a credit should be highlighted in the submitted documents.
All calculations should be provided in a modifiable excel file.
All document titles should be consistent with the names of the credit, their contents and the revision number to avoid any confusion (e.g. E-1 Energy Simulation Report Rev 1, E-1 Appendix A – Pumps Selection)

5. Glossary

Applicant - The person / organization applying for LOTUS Certification of a project.

Applicant Representative - The Applicant Representative is responsible for all elements of the certification and submission process within LOTUS Rating Systems. The Applicant Representative will directly liaise with the Assessment Organization Representative throughout all stages of LOTUS Certification.

Assessment Organization - The organization that performs the assessment of the projects applying for LOTUS Certification.

Assessment Organization Representative - The Assessment Organization Representative is nominated within the Registration Process and will be the Assessment Organization primary representative that liaises with the Applicant Representative throughout the project.

Category - A Category is a grouping of Credits that have a similar area of focus and perceived environmental impact.

Certification Agreement - The Certification Agreement is the legally binding contract signed between the Applicant and the Assessment Organization upon registration.

LOTUS Certified Rating - The LOTUS Certified Rating is the result obtained after Submission has been assessed at Full Certification stage by the Assessment Organization. A project can achieve 4 levels of certification, LOTUS Certified, LOTUS Silver, LOTUS Gold or LOTUS Platinum.

LOTUS Technical Manual - The LOTUS Technical Manual is a user's guide to attaining a LOTUS Certification. It provides technical guidance for all LOTUS Credits in order for users to understand intents, requirements, approaches and implementations, calculations and submissions.

Notification Form - The Notification Form is submitted by the Applicant Representative to notify the Assessment Organization that the Applicant is ready to provide ALL submissions in order to be assessed for LOTUS Certification. The Notification Form must be submitted a minimum of 2 weeks prior to the main Submissions in order for the Assessment Organization to organize the period in which the project will be assessed.

Project Assessment Committee (PAC) - The committee led by the Assessment Organization's project manager that consists of experts drawn from within the Assessment Organization and externally from the private sector, academia, institutes and public

departments that are responsible for the independent assessments of projects submitted for LOTUS Certification.

Submission - The Submission is the process where all documents are provided to the Assessment Organization Representative for assessment.

Submission Section - In each Credit, the Submission Section details all requirements that will be assessed for LOTUS Certification.

