

SEC Sustainability Plan

TABLE OF CONTENTS

Section 1: Agency Policy and Strategy *(Update Only as Required)*

- I. Agency Policy Statement**
- II. Sustainability and the Agency Mission**
- III. Greenhouse Gas Reduction (GHG) Goals**
- IV. Plan Implementation**
 - A. Internal Coordination and Communication
 - B. Coordination and Dissemination of the Plan to the Field
 - C. Leadership & Accountability
 - D. Agency Policy and Planning Integration
 - E. Agency Budget Integration
 - F. Methods for Evaluation of Progress
- V. Evaluating Return on Investment**
 - A. Economic Lifecycle Cost / Return on Investment
 - B. Social Costs & Benefits
 - C. Environmental Costs & Benefits
 - D. Operations & Maintenance and Deferred Investments
 - E. Other, as defined by agency
- VI. Transparency**

Section 2: Performance Review & Annual Update *(Update and Submit Annually)*

- I. Summary of Accomplishments:**
- II. Goal Performance Review:**
 - 1. GOAL: Scope 1 & 2 Greenhouse Gas Reduction
 - 2. GOAL: Scope 3 Greenhouse Gas Reduction
 - 3. GOAL: Develop and Maintain Agency Comprehensive Greenhouse Gas Inventory
 - 4. GOAL: High-Performance Sustainable Design / Green Buildings
 - 5. GOAL: Regional and Local Planning
 - 6. GOAL: Water Use Efficiency and Management
 - 7. GOAL: Pollution Prevention and Waste Elimination
 - 8. GOAL: Sustainable Acquisition
 - 9. GOAL: Electronic Stewardship and Data Centers
 - 10. GOAL: Agency Innovation

Section 3: Agency Self Evaluation

Appendix 1: Acronyms and Abbreviations

Appendix 2: Supplemental Handbook

SEC Sustainability Plan

Section 1: Agency Policy and Strategy¹ (Update Only as Required)

I. Agency Policy Statement

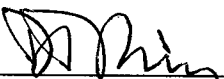
The Securities and Exchange Commission (SEC) is committed to the effort outlined in Executive Order (E.O.) 13514 to reduce energy consumption on a government wide level. It is the intent of the SEC to make sustainability a priority and to strive to operate using more efficient means.

The SEC will explore methods to improve the energy efficiency and reduce greenhouse gas emissions in all spaces that the agency occupies. The SEC leases its office space; in its facilities, the agency will attempt to build energy efficiency requirements into lease agreements. The agency also will make reasonable efforts to educate its employees in, and promote, energy efficient practices. It is expected that beginning phases will include energy and water audits for SEC facilities. The purpose of the audits will be to determine the baseline greenhouse gas emissions, energy and water consumption, and waste. The audits will also identify potential reduction percentages for 2020 target values.

To maximize our efforts in reducing facility greenhouse gas emissions and waste minimization, improvements will focus on items with the highest return on investment (ROI). This will allow the agency to meet targets in the most effective and economically sound manner.

With respect to our existing leases, the SEC plans to work with building owners to improve energy efficiency within the constraints of the lease agreements. Our goal is to have all facilities meet the requirements of E.O. 13123, E.O. 13101, and E.O. 13423. The SEC requires buildings to have an Energy Star rating of at least 75 whenever possible. In a recent lease award, the SEC stipulated a requirement that the building achieve Gold certification level in the US Green Building Council's (USGBC) Leadership in Energy and Environmental Design (LEED) for Existing Building: Operations and Maintenance (EBOM) program. The SEC will continue to strive for LEED for Commercial Interiors (CI) certification in future leased spaces.

Signed:



Diego T. Ruiz, Executive Director
Senior Sustainability Officer

II. Sustainability and the Agency Mission

The SEC has a proven track record of being at the forefront of sustainability efforts. Prior to the signing of the E.O., the agency has looked for ways to improve its energy usage and reduce its carbon footprint. As an example, the SEC already has achieved LEED Gold status for its Child Development Center located at its headquarters building. Moreover, five of its six leased agency vehicles are capable of running on the ethanol blend fuel E85. The SEC will continue to promote efficiency and sustainable habits.

The SEC strongly believes that transparency in government is a benefit to the American people. The SEC believes that promoting environmentally responsible behavior in the agency's own work environment is an important and integral component to good government.

SEC Sustainability Plan

III. Greenhouse Gas Reduction (GHG) Goals

Because the SEC has and/or intends to pursue full services leases for all of its facilities, the agency requested, and was granted, a waiver pertaining to Scope 1 & 2 emissions. The agency was granted permission to count all emissions within the Scope 3 category. The SEC will endeavor to achieve a Scope 3 GHG emission reduction of 15% by 2020. The agency will use a combination of energy and waste audits, modification of leasing strategies, promotion of energy efficient practices, and the procurement of sustainable energy sources to achieve this goal.

The agency recognizes the need to approach this problem from multiple avenues and not only reduce building energy usage, but also change the habits of its staff. Large percentages of GHG emissions factors fall in areas such as air and commuter travel. GHG emissions from these sources factor heavily into currently non-quantified Scope 3 emissions.

IV. Plan Implementation

- A. Internal Coordination and Communication
 1. The Office of Administrative Services (OAS) will report to the Senior Sustainability Officer (SSO)
 2. The SSO will oversee sustainability efforts within the agency
 3. OAS and SSO will communicate current program status and events
- B. Coordination and Dissemination of the Plan to the Field²
 1. The OAS Newsletter, published quarterly, will be used to keep members of the agency informed of standard progress
 2. Major milestones may be announced through an Administrative Announcement
- C. Leadership & Accountability
 1. The SEC has a proven track record of commitment to sustainability prior to the announcement of the E.O.
 2. The agency prides itself on being proactive and setting an example in sustainability matters
 3. It is the intent of the agency to make sustainability a priority and to strive to operate using more efficient means
- D. Agency Policy and Planning Integration
 1. The SSO and OAS will review current policies, plans, and internal systems for potential changes due to sustainability requirements
 2. Potential changes to items outside the direct control of the SSO and OAS, such as information technology (IT) matters, will be coordinated with the appropriate personnel
- E. Agency Budget Integration
 1. OAS will determine expected costs for implementing plan, and any reduction measures
 2. OAS will report budget requirements to appropriate personnel
- F. Methods for Evaluation of Progress
 1. Administrative Announcements will notify personnel of any changes that will effect day-to-day operations and procedures
 2. General status updates will appear in the OAS Newsletter on a quarterly basis

SEC Sustainability Plan

Table 1: Critical Planning Coordination³

Originating Report / Plan	Scope 1 & 2 GHG Reduction	Scope 3 GHG Reduction	Develop and Maintain Agency Comprehensive GHG Inventory	High-Performance Sustainable Design / Green Buildings	Regional and Local Planning	Water Use Efficiency and Management	Pollution Prevention and Waste Elimination	Sustainable Acquisition	Electronic Stewardship and Data Centers	Agency Specific Innovation
GPRA Strategic Plan	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
A-11 300s	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Budget	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	TBD
Circular A-11 Exhibit 53s	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

V. Evaluating Return on Investment

A. Economic Lifecycle Cost / Return on Investment

1. Products must first meet sustainable requirements set forth by the SEC before consideration. Beyond meeting sustainability requirements, lifecycle costs will take precedence over first costs.
2. The greatest challenge facing purchases based on lifecycle cost analysis is higher initial costs. Budgetary restrictions may limit the availability of proper funding needed to fully take advantage of long-term savings.

B. Social Costs & Benefits

1. The SEC will promote socially responsible behavior in its purchases and policies. Products will be required to meet specific criteria before being considered for purchase. Once it is determined that a product meets the given criteria, it will be evaluated from a monetary standpoint.
2. The greatest challenge prohibiting purchases based on social costs is that socially responsible behaviors are not always the least expensive approach. Funding will need to be made available for this type of purchase to be made.

C. Environmental Costs & Benefits

1. All products purchased will be required to meet specific criteria set forth in the Green Procurement Plan, currently under development. Limited exclusions will be allowed when, for instance, a given product that is required is not available or does not fully meet the needs of the agency.
2. The greatest challenge prohibiting purchases based on environmental costs is that products are typically more expensive than their environmentally damaging counterparts. Funding will need to be made available for this type of purchase to be made.

D. Operations & Maintenance and Deferred Investments

1. The SEC intends to pursue full service leases. This would eliminate the direct O&M component. Leases would then be structured to include sustainable requirements for building owners from whom they rent space.

SEC Sustainability Plan

2. The greatest challenge facing sustainability in operations and maintenance is that the SEC will need to monitor building owners and property managers to ensure that they are delivering what is required by lease agreements. This may require additional personnel dedicated to the task of oversight.

VI. Transparency

The SEC will communicate its objectives and policies internally within its own intranet. As policies are created or modified, all pertinent SEC employees will be notified through the use of internal communications. The agency will report progress in line with E.O. 13514 compliance to the public as required.

SEC Sustainability Plan

Section 2: Performance Review & Annual Update *(Update and Submit Annually)*

I. **Summary of Accomplishments:**⁴

- A. Four SEC locations were evaluated for the purposes of establishing annual baseline energy, water, and waste values. The audits also identified target reductions for these facilities.
- B. All recommendations will be continually evaluated for feasibility. Those being outside of the scope of the SEC's control, due to leasing agreements, will be passed along to the building owner for evaluation and possible implementation.
- C. Modified new lease terms have and will be developed to include sustainable requirements. The newly awarded lease for the San Francisco Regional Office will require the landlord to achieve certain energy performance goals as part of the lease agreement.
- D. Agency has and will establish policies for minimum building Energy Star ratings. New leases will require that buildings have a minimum Energy Star rating of 75 in markets where space is available.
- E. A long-term Green Procurement Plan is being developed. Once finalized, it will set a standard by which all new products are to be purchased.

II. **Goal Performance Review:**

1. **Scope 1 & 2 Greenhouse Gas Reduction**

- a. The SEC only leases space and does not own any buildings. The agency prefers full service leases where utility consumption is included with operating costs. As a result, Scope 1 & 2 will be completely eliminated. In the event that leases are not able to be transferred to full service type, the agency will attempt to achieve a reduction of GHG emissions of 15% by 2020.
- b. The Leasing Branch will handle the implementation of new leasing strategies.
- c. The Senior Sustainability Officer will oversee the GHG emissions portion of the process.
- d. The SEC will continue to conduct comprehensive energy audits of existing facilities. Where leases extend through the E.O. 13514 dates, the SEC will implement recommendations that offer the best cost to benefit ratio in line with E.O. 13514 goals.

SEC Sustainability Plan

Table 1: Planning Table - Scope 1 & 2 GHG Emissions Targets

	Unit	FY 10	FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	FY 17	FY 18	FY 19	FY 20
Energy Intensity Reduction Goals (BTU/SF reduced from FY03 base year)	%	1%	2%	3%	5%	6%	8%	10%	14%	16%	18%	20%
Renewable Electricity Goals (Percent of electricity from renewable sources)	%	1%	1%	1%	2%	2%	2%	4%	4%	4%	7.5%	7.5%
Scope 1 & 2 - Reduction Target (reduced from FY08 base year) ⁵	%	1%	2%	3%	4%	5%	6%	7%	9%	11%	13%	15%
Leveraged Investment (funded through annually recurring existing budget items, such as capital improvement, O&M, etc. or ARRA)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Incremental Investment (funded through new program budget requests specific to this EO)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Alternative Investment (funded through ESPC, UESC, EUL, PPA, rebates, or other funding assistance)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

2. Scope 3 Greenhouse Gas Reduction

- a. The SEC will aim to achieve a reduction of GHG emissions of 15% by 2020.
- b. The Senior Sustainability Officer will oversee the process to reduce GHG emissions.
- c. Regarding Federal employee travel:
 - i) The SEC is currently seeking to only lease space in buildings that have some level of LEED certification. A building having LEED certification and being located along public transportation routes will help promote the use of public transportation as an alternative to driving.
 - ii) Programs focusing on the use of public transportation will be promoted to gain employee participation.
- d. Regarding contracted waste disposal:
 - i) Recycling programs will continue throughout SEC offices to promote the responsible disposal of waste that can be recycled.
- e. The SEC will request metered data regarding utility usage from property owners/managers. The data will be tracked to evaluate both near and long-term success rates.
- f. The SEC will conduct comprehensive energy audits of existing facilities. Where leases extend through the EO 13514 dates, the SEC will seek to implement recommendations that offer the best cost to benefit ratio in line with EO 13514 goals.
- g. GHG emission targets may shift between Scope 1 & 2 and Scope 3 emissions as the leasing strategy changes.

SEC Sustainability Plan

Table 2: Planning Table - Scope 3 GHG Emissions Targets

	Units ⁶	FY 10	FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	FY 17	FY 18	FY 19	FY 20
Overall Agency Scope 3 Reduction Target (reduced from FY08 base year) ¹⁷	%	1%	2%	3%	4%	5%	6%	7%	9%	11%	13%	15%
Sub-Target for Federal Employee Travel	%	1%	2%	3%	4%	5%	6%	7%	9%	11%	13%	15%
Sub-Target for Contracted Waste Disposal	%	1%	2%	3%	4%	5%	6%	7%	9%	11%	13%	15%
Sub-Target for Transmission and Distribution Losses from Purchased Energy	%	1%	2%	3%	4%	5%	6%	7%	9%	11%	13%	15%
Leveraged Investment (funded through annually recurring existing budget items, such as capital improvement, O&M, etc. or ARRA)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Incremental Investment (funded through new program budget requests specific to this EO)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Alternative Investment (funded through ESPC, UESC, EUL, PPA, rebates, or other funding assistance)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

3. Develop and Maintain Agency Comprehensive Greenhouse Gas Inventory

- a. New lease agreements between the SEC and building owners will be structured in a way that allows the agency to have access to data critical to determining the greenhouse gas inventory that directly results from SEC activities. As new leases are awarded with the proper language in place, the tracking will become more accurate and refined. The short term results may be difficult to evaluate, but long term results should be much more reliable.

4. High-Performance Sustainable Design / Green Buildings

- a. The SEC only leases buildings and is not the owner. The goal of the agency is to only occupy buildings that have a minimum of LEED certification and an Energy Star rating of 75 or higher. The agency will not build any new structures.
- b. All major renovations or repairs and alteration of federal buildings will comply with, "Guiding Principles for Federal Leadership in High Performance and Sustainable Buildings (Guiding Principles)".
- c. The agency will seek to have at least 15% of the agency's existing buildings and building leases to meet guiding principles by FY 2015 [5,000 GSF threshold for existing buildings and building leases].
- d. The agency will seek to demonstrate annual progress toward 100% conformance with Guiding Principles for entire building inventory.
- e. The agency will seek to demonstrate use of cost-effective, innovative building strategies to minimize energy, water, and materials consumption.
- f. The agency will work to manage existing building systems to reduce energy, water, and materials consumption in a manner that achieves a net reduction in agency deferred maintenance costs.
- g. The agency will seek to optimize performance of the agency's real property portfolio – examine opportunities to decrease environmental

SEC Sustainability Plan

impact through consolidation, reuse, and disposal of existing assets prior to adding new assets.

- h. Agency to ensure use of best practices and technology in rehabilitation of historic Federal properties.

Table 3: Planning Table – Sustainable High Performance Buildings

Buildings Meeting Guiding Principles⁸	Units	FY 10	FY 11	FY 12	FY 13	FY 14	FY 15
Owned Facilities Targets	%	NA	NA	NA	NA	NA	NA
Leased Facilities Targets	%	3%	5%	8%	10%	13%	15%
Total Facility Targets	%	3%	5%	8%	10%	13%	15%
Leveraged Investment (funded through annually recurring existing budget items, such as capital improvement, O&M, etc. or ARRA)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD
Incremental Investment (funded through new program budget requests specific to this EO)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD
Alternative Investment (funded through ESPC, UESC, EUL, PPA, rebates, or other funding assistance)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD

5. Regional and Local Planning

- a. With the goal of only occupying space in LEED certified buildings, the existing local and community transportation should be sufficient to meet the needs of the employees.
- b. All new lease agreements will seek to require building owners to maintain the highest standards of energy efficiency. Where alternatives are available, buildings not meeting these requirements will not be considered.

Table 4: Planning Table – Regional and Local Planning

	Units	FY 10	FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	FY 17	FY 18	FY 19	FY 20
Leveraged Investment (funded through annually recurring existing budget items, such as capital improvement, O&M, etc. or ARRA)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Incremental Investment (funded through new program budget requests specific to this EO)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Alternative Investment (funded through ESPC, UESC, EUL, PPA, rebates, or other funding assistance)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

6. Water Use Efficiency and Management

- a. The agency will seek to reduce potable water use intensity by at least 30% by FY 2020
- b. The agency will seek to reduce industrial, landscaping, and agricultural water use by at least 20% by FY 2020
- c. The Senior Sustainability Officer will oversee the process of reducing water usage and promote better usage efficiency and management.
- d. The agency will seek to install low flow faucets in all restroom locations
- e. The agency will explore potential lease modifications to reduce irrigation water consumption.

SEC Sustainability Plan

- f. The agency will monitor and track water consumption performance to evaluate the level of program success.

Table 5: Planning Table – Water Use Efficiency and Management

	Units	FY 10	FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	FY 17	FY 18	FY 19	FY 20
Potable Water Reduction Targets (gal/SF reduced from FY07 base year)	%	2%	4%	6%	8%	10%	12%	14%	15%	20%	25%	30%
Industrial, Landscaping, and Agricultural Water Reduction Targets (gal reduced from FY10 base year)	%	NA	2%	4%	6%	8%	10%	12%	14%	16%	18%	20%
Leveraged Investment (funded through annually recurring existing budget items, such as capital improvement, O&M, etc. or ARRA)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Incremental Investment (funded through new program budget requests specific to this EO)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Alternative Investment (funded through ESPC, UESC, EUL, PPA, rebates, or other funding assistance)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

7. Pollution Prevention and Waste Elimination

- a. The Senior Sustainability Officer will oversee the process to reduce waste streams from the SEC.
- b. The SEC executes all construction, modifications, and alterations through the building owners. Maintenance and janitorial services are inherent to the leased space. The SEC will work with the respective landlords to increase source reduction of pollutants and waste with initial or supplemental lease agreements to accomplish the following:
 - i) Substitute products with low/no volatile organic compound (VOC) contents
 - (1) Cleaning supplies
 - (2) Paints & coatings
 - (3) Sealants & adhesives
 - (4) Carpeting and flooring systems
 - (5) Composite wood & agrifiber contain no added urea-formaldehyde
 - ii) Construction and Demolition (C&D) projects to include Air Quality Management Plan that identify procedures to limit exposure of occupied/conditioned spaces and ventilation equipment:
 - (1) Interrupt pathway between construction areas and finished areas
 - (2) Institute cleaning activities during C&D that remove dirt, dust, and debris daily
 - (3) Protect all porous building material from moisture

SEC Sustainability Plan

- (4) Do not run permanent HVAC equipment during C&D; if required, install minimum efficiency reporting value (MERV) 8 filters and replace before occupancy
 - (5) Seal all duct and equipment openings with plastic during C&D
- iii) Install MERV 13 filtration media before occupancy
- iv) Perform building flush-out or air testing prior to occupancy
- v) Include above requirements in requests for pricing (RFP) and construction specifications
- c. The SEC Leasing and Construction Branches will work with the respective landlords to divert at least 50% non-hazardous solid waste by FY 2015, excluding construction and demolition (C&D) debris and:
 - i) Identify waste haulers and recycling/diversion facilities
 - ii) Include requirements in requests for pricing (RFP) and construction specifications
- d. The SEC will work with the respective landlords to divert at least 50% C&D materials and debris by FY 2015 and:
 - i) Identify waste haulers and recycling/diversion facilities
 - ii) Include requirements in requests for pricing (RFP) and construction specifications
- e. While the agency has been implementing practices that will reduce printing requirements, it will continue to:
 - i) Utilize digital file sharing software
 - ii) Reduce paper consumption
 - iii) Continue to educate staff to consider not printing unless necessary
- f. The agency presently uses uncoated printing and writing paper and will continue to use products that contain at least 30% postconsumer fiber and:
 - i) The SEC Green Acquisition Plan will:
 - ii) Identify products meeting requirements
 - iii) Use GSA Advantage website as a tool to search for compliant paper products
- g. The SEC will work with the respective landlords to reduce and minimize the acquisition, use, and disposal of hazardous chemicals and materials
- h. The SEC Leasing Branch will coordinate with the landlords to increase diversion of compostable and organic materials from the waste stream and:
 - i) Identify vendors specializing in collecting compostable material
 - ii) Explore potential for on-site collection of compostable material
- i. The pest and landscape management responsibilities rest with the respective landlords. The SEC will work with the landlords to implement integrated pest management and landscape management practices to reduce and eliminate the use of toxic and hazardous chemicals and materials and:
 - i) Prioritize use of non-toxic products, then least-toxic alternatives, in lieu of toxic products

SEC Sustainability Plan

- ii) Minimize use of chemicals, only in targeted locations, for targeted pest
- iii) Increase frequency of routine inspection and monitoring
- iv) Control erosion and sedimentation control to keep soil on-site, and prevent air pollution and run-off
- v) Limit use of chemical fertilizer by using locally adapted plants, less polluting alternatives to chemical fertilizers, or other low-impact maintenance
- vi) Divert landscape waste via mulching, composting, or other low-impact means
- j. While the agency does not use chemicals or related processes, it will work with the landlords and appropriate building management staff to increase the use of acceptable alternative chemicals and processes
- k. The SEC will work with the building management to decrease the use of chemicals to assist agency in achieving FY 2020 GHG reduction targets [See Section II - 1 and 2 above]
- l. The agency will report in accordance with Sections (301-313) of the Emergency Planning and Community Right-to-Know Act (EPCRA) of 1986⁹ as required.

Table 6: Planning Table – Pollution Prevention & Waste Elimination

	Units	FY 10	FY 11	FY 12	FY 13	FY 14	FY 15
Non-Hazardous Solid Waste Diversion Targets (non C&D)	%	5%	10%	20%	30%	40%	50%
C&D Material & Debris Diversion Targets	%	5%	10%	20%	30%	40%	50%
Leveraged Investment (funded through annually recurring existing budget items, such as capital improvement, O&M, etc. or ARRA)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD
Incremental Investment (funded through new program budget requests specific to this EO)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD
Alternative Investment (funded through ESPC, UESC, EUL, PPA, rebates, or other funding assistance)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD

8. Sustainable Acquisition

- a. The Green Procurement Plan, currently under development, will ensure 95% of new contract actions, including task and delivery orders under new contracts and existing contracts, require the supply or use of products and services that are energy efficient (Energy Star or FEMP-designated), water efficient, biobased, environmentally preferable (excluding EPEAT-registered products), non-ozone depleting, contain recycled content, or are non-toxic or less toxic alternatives.

Table 7: Planning Table – Sustainable Acquisition

	Units	FY 10	FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	FY 17	FY 18	FY 19	FY 20
New Contract Actions Meeting Sustainable Acquisition Requirements	%	20%	50%	50%	50%	50%	95%	95%	95%	95%	95%	95%
Energy Efficient Products (Energy Star FEMP-designated, and low standby power devices)	%	20%	50%	50%	50%	50%	95%	95%	95%	95%	95%	95%

SEC Sustainability Plan

Water Efficient Products	%	20%	50%	50%	50%	50%	95%	95%	95%	95%	95%	95%
Biobased Products	%	20%	50%	50%	50%	50%	95%	95%	95%	95%	95%	95%
Recycled Content Products	%	20%	50%	50%	50%	50%	95%	95%	95%	95%	95%	95%
Environmentally Preferable Products/Services (excluding EPEAT)	%	20%	50%	50%	50%	50%	95%	95%	95%	95%	95%	95%
SNAP/non-ozone depleting substances	%	20%	50%	50%	50%	50%	95%	95%	95%	95%	95%	95%
Leveraged Investment (funded through annually recurring existing budget items, such as capital improvement, O&M, etc. or ARRA)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Incremental Investment (funded through new program budget requests specific to this EO)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Alternative Investment (funded through ESPC, UESC, EUL, PPA, rebates, or other funding assistance)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

9. Electronic Stewardship and Data Centers

- a. The SEC will integrate goals and objectives described in E.O. 13514 into current and future IT improvement plans.
- b. The SEC will evaluate emerging practices and methods for reducing electric usage in data centers.
- c. Upon identification of suitable methods for reducing data center electrical usage, long-term goals will integrate new technologies and methods into purchasing requirements.
- d. Old, inefficient equipment will be phased out as budgets allow.

SEC Sustainability Plan

Table 8: Planning Table – Electronic Stewardship & Data Centers

	Units	FY 10	FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	FY 17	FY 18	FY 19	FY 20
% of device types covered by current Energy Star specifications that must be energy-star qualified ¹⁰	%	NA	90%	90%	90%	90%	90%	95%	95%	95%	95%	95%
% of electronic assets covered by sound disposition practices ¹¹	%	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
% of cloud activity hosted in a data center	%	TBD	30%	30%	30%	30%	30%	60%	60%	60%	60%	60%
% of agency data centers independently metered or advanced metered and monitored on a weekly basis	%	TBD	90%	90%	90%	90%	90%	100%	100%	100%	100%	100%
Reduction in the number of agency data centers	%	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
% of agency, eligible electronic products with power management and other energy-environmentally preferable features (duplexing) actively implemented and in use ¹²	%	TBD	95%	95%	95%	95%	95%	100%	100%	100%	100%	100%
% of agency data centers operating with an average Central Processing Unit (CPU) utilization of 60-70%	%	TBD	50%	50%	50%	50%	50%	75%	75%	75%	75%	75%
% of agency data centers operating at a PUE range of 1.3 – 1.6	%	TBD	25%	25%	25%	25%	25%	50%	50%	50%	50%	50%
% of covered electronic product acquisitions that are EPEAT- registered	%	TBD	95%	95%	95%	95%	95%	95%	95%	95%	95%	95%
% of agency data center activity implemented via virtualization	%	TBD	30%	30%	30%	30%	30%	40%	40%	40%	40%	40%
Leveraged Investment (funded through annually recurring existing budget items, such as capital improvement, O&M, etc. or ARRA)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Incremental Investment (funded through new program budget requests specific to this EO)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Alternative Investment (funded through ESPC, UESC, EUL, PPA, rebates, or other funding assistance)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

10. Agency Innovation

- a. The SEC is creating a Green Procurement Plan. The plan is currently under development, but upon completion will lay out procedures and policies for all agency purchases. The plan will be a living document that will be modified as new procedures are introduced and/or changed. Purchasers will be notified of any changes to the document through the agency's internal notification system.

Table 9: Planning Table – Agency Innovation

	Units	FY 10	FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	FY 17	FY 18	FY 19	FY 20
Leveraged Investment (funded through annually recurring existing budget items, such as capital improvement, O&M, etc. or ARRA)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Incremental Investment (funded through new program budget requests specific to this EO)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD
Alternative Investment (funded through ESPC, UESC, EUL, PPA, rebates, or other funding assistance)	\$ M	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD

SEC Sustainability Plan

Section 3: Agency Self Evaluation

Note: OMB and CEQ will update these questions annually to reflect Administration priorities. For 2010, please respond to the following items. Each agency's total response for this section should be limited to one or two pages.

- I. Please answer 'yes' or 'no' to the following questions. If the answer is 'no', provide an explanation below.

Does your plan provide/consider overarching strategies and approaches for achieving long-term sustainability goals?	Yes
Does your plan identify milestones and resources needed for implementation?	Yes
Does your plan align with your agency's 2011 budget submission?	Yes
Is your plan consistent with your agency's FY 2011 budget and appropriately aligned to reflect your agency's planned FY 2012 budget submission?	Yes
Does your plan integrate existing EO and statutory requirements into a single framework and align with other existing mission and management related goals to make the best use of available resources?	Yes
Does your plan provide methods for obtaining data needed to measure progress, evaluate results, and improve performance?	Yes

Narrative requested:

- II. What is your agency's planned actions for the following year (in 6 month increments, July-Dec 2010 & Jan-June 2011) to achieve the sustainability and energy standards for success on the OMB Scorecard? Please use short, descriptive, and action-oriented bullets for key milestones and associated target dates. Agencies may highlight text within its Sustainability Plan to emphasize these key actions and milestones.¹³

1. Planned Actions:

a. July through December 2010

- i. A Green Procurement Plan is expected to be completed and will set internal policy for the acquisition of sustainable products.
- ii. Steps to implement low/no cost energy conservation measures such as low flow faucet fixtures is expected to be started across all offices as feasibility allows. It is expected that these measures will deliver a high rate of return on investment and efforts will be made for their implementation regardless of remaining lease terms given their rapid payback periods.
- iii. The agency will seek to finalize internally the performance and sustainability requirements for new leases. Whenever feasible, priority will be given to buildings meeting the requirements for any new leases and lease extensions.

SEC Sustainability Plan

- b. January through June 2011
 - i. As leases expire, office space will be identified to meet the leasing guidelines set by the SEC.
 - ii. The agency will continue to evaluate projects not included in the initial low/no cost stage. Any additional measures will be implemented to achieve the highest possible rate of return but could be expected to have higher initial costs than the those implemented during the first six months. These measures may include IT upgrades, lighting upgrades, and HVAC upgrades.

SEC Sustainability Plan

Appendix 1: Acronyms and Abbreviations

AFV	Alternative Fuel Vehicle
ARRA	American Recovery and Reinvestment Act of 2009
BTU or Btu	British Thermal Unit
C&D	Construction and Demolition
CEQ	Council on Environmental Quality
CFL	Computer for Learning
CIO	Chief Information Officer
CPU	Central Processing Unit
EBOM	Existing Building: Operations and Maintenance
EISA	Energy Independence and Security Act
EMS	Environmental Management System
EO	Executive Order
EPA	Environmental Protection Agency
EPAct	Energy Policy Act
EPCRA	Emergency Planning and Community Right-to-Know Act
EPEAT	Electronic Product Environmental Assessment Tool
EPP	Environmentally Preferable Purchasing
ESPC	Energy Services Performance Contract
EUL	Enhanced Use Lease
FEMP	Federal Energy Management Program
FTE	Full Time Employee
FY	Fiscal Year
gal	Gallon
GHG	Greenhouse Gas
GPRA	Government Performance and Results Act
GSA	General Services Administration
GSF	Gross Square Feet
IT	Information Technology
LEED	Leadership in Energy and Environmental Design
MERV	Minimum Efficiency Reporting Value
MILCON	Military Construction
mtCO ₂ e	Metric tons of Carbon Dioxide Equivalent
NEPA	National Environmental Policy Act
O&M	Operations and Maintenance
OMB	Office of Management and Budget
PPA	Power Purchase Agreement
PUE	Power Usage Efficiency
R2	Responsible Recyclers
RIA	Regulatory Impact Analysis
ROI	Return on Investment
SF	Square Feet or Square Footage
SNAP	Significant New Alternatives Policy
SRPO	Senior Real Property Officer
SSO	Senior Sustainability Officer

SEC Sustainability Plan

TRI	Toxics Release Inventory
USC	United States Code
UESC	Utility Energy Services Contract
USGBC	US Green Building Council

SEC Sustainability Plan

Appendix 2: Supplemental Handbook

¹ Section 1 should be submitted in FY 2010 and represents an overall sustainability policy and implementation plan. In future years, agencies need only submit changes to the plan.

² Agencies should specify how they will distribute the plan to the field to ensure its implementation in the field as well as central office.

³ Agencies should remove plans/reports that they currently are not required to complete and add any additional relevant plans/reports not currently included in the table.

⁴ In the FY 2010 submission, agencies are encouraged to discuss planning efforts from current and previous years in order to identify progress associated with ongoing programs. In FY 2011, agencies should discuss FY 2010 accomplishments. Agencies should follow this pattern for future year submissions.

⁵ GHG emissions are measured in mtCO₂e and the percentage reductions are reductions in mtCO₂e

⁶ GHG emissions are measured in mtCO₂e and the percentage reductions are reductions in mtCO₂e.

⁷ Refer to the OFEE Scope 3 GHG Emissions Reduction Target Tool and User's Manual for detailed descriptions of each scope 3 categories and calculation methods. When writing narrative for this goal area, please note that it is not necessary to provide a great deal of detail. Agencies should focus on general strategy for reducing Scope 3 emissions and should plan to provide greater detail on milestones and actions taken to reduce emissions associated with agency-specific targets in subsequent updates to this plan.

⁸ Applies to buildings at least 5,000 sf. Do not calculate the incremental cost associated with selecting a different leased facility. The costs should reflect actual quantifiable costs such as 3rd party certification programs, facility upgrades, or similar. If there are no quantifiable costs, enter \$0 for costs. Use the text write up to describe the methodology for working towards the goal.

⁹ 42 U.S.C. 11001 et seq

¹⁰ Device types are the electronic products listed under the Energy Star program that the Agency purchases or leases. This count should include the percentage of products that met energy star standards at the time of purchasing. Please note it includes products with stand-by power. For the purposes of this metric, Energy Star products are not electronics such as lighting and appliances that are covered by the Sustainable Acquisition Goal. You can go to <http://www.energystar.gov/> under "Computers and Electronics" section for the list of targeted products. The goals/targets within Goal 9 are more narrowly scoped to include computers, monitors, peripherals, and other office equipment.

¹¹ Electronic assets are generally those electronics products owned and/or leased by the Agency that need to be disposed of in accordance with acceptable end-of-life practices. Some examples of sound disposition practices include, but are not limited to, GSA Xcess, recycling through Unicor, donation through GSA's Computer for Learning (CFL) or other non-profit organizations, and/or recycling through a private recycler certified under the Responsible Recyclers (R2) guidance or equivalent. Agencies are encouraged to describe in the narrative write-up approximately which percentage is attributed to each disposal method. At this point, the percentage is set by the agency. Agencies should set a target as close to 100% as is reasonably achievable.

SEC Sustainability Plan

¹² Eligible electronic products are products with power management and other environmental and energy features. This list includes, but is not limited to, computers, laptops, monitors, imaging equipment (copiers, faxes, printers, scanners, etc.), hand-held devices (blackberries, cell phones, etc.), etc.

¹³ When referring to the Sustainability Plan, please refer to sections by number, letter, and/or sub heading. Do not reference page numbers, as these may change.