

Manufacturer's Application Required for Product Certification to the SMaRT[®] Consensus Sustainable Product Standard

1. Introduction & Summary

The Standard and all relevant background information are at <http://mts.sustainableproducts.com/standards.htm> scroll to bottom, including MTS Consensus Process. Standard benefits to certifying companies include:

- Sustainable Rating System: Sustainable, Silver, Gold/EPP & Platinum/EPP Sustainable Building Product Achievement Levels
- Multiple Environmental, Social, & Economic Benefits over the supply chain
- Business Benefits: cost savings, design innovation, product differentiation, long term customer relationships, liability reduction, and increased profitability based on peer reviewed Capital Markets Partnership Wall Street due diligence released at NYSE
- Market Definition of Sustainable Building Products & Materials
- Life Cycle Performance Requirements for Sustainable Building Products & Materials

This application is comprised of the following sections:

1. Introduction & Summary
2. Requirements for Documentation & Disclosure of Compliance with Matrix Categories
3. Calculation of Credits to Determine Qualifying Certification Level
4. Documentation for Prerequisites & Metrics Used
5. Optional Innovation Credit Submission
6. Certification
7. Questions for Further Information
8. Required Fees
9. Application Approval Process & Timing
10. Levels 2-5 Credit Worksheet & Documentation

MTS has the right and responsibility to reasonably request information in addition to that submitted on this application, in order to comply with the requirements of section 7 of the Standard to complete a Data Audit & Review, outside third party auditing, and make the necessary certification to the manufacturer of a product's compliance with the earned Achievement Level of Sustainable Building Products.

Within 60 days from receipt of application submittal by the manufacturer, a response for the data audit and review will be generated by MTS, which can be if all required certifications are made, a letter of compliance by MTS and right to use the label pursuant to section 5.2. This letter of compliance constitutes a recognized product certification. Such certification and label award is subject to global third party auditing results and where warranted, section 7 Decertification proceedings based on good cause.

Section 5.2 on Product Labeling & Marking states that manufacturers warranting or certifying compliance with this Standard pursuant to section 7, may mark or label their sustainable building products as “*Best for the Triple Bottom Line*” on their product and literature consistent with the appropriate level in the Matrix. This mark is the SMaRT© logo and is obtained from MTS.

2. Requirements for Documentation & Disclosure of Compliance With Matrix Categories

The Standard's Matrix on pages 28 summarizes six product achievement levels for certification in these six categories:

- Safe for Public Health & Environment (**PHE**) 31 Points Max.
- Renewable Energy & Energy Efficiency (**RE**) 42 Points Max.
- Biobased or Recycled Materials (**MATLS**) 41 Max. with Organic Biobased, & 34 Points Max. Recycled or Conventional Biobased
- Facility or Company Based (**MFG**) 18 Points Max.
- Reclamation, Sustainable Reuse, End of Life Management (**EOL**) 23 Points Max. + 14 Points Innovation
- **Innovation:** Dematerialization (2-5 Pts), & Credits Submitted for Approval by Applicants (15 Pts. Max.)

The six Matrix achievement levels start with prerequisites in Level 1. Levels 2-6 credits/requirements have increasing point totals awarded to qualifying products. Point awards for PHE, RE, MATLS & EOL at the different levels are generally cumulative. For example, this means that for a product achieving *all* PHE Level 2 requirements, it receives the 3 points for the Level 2 prerequisites, plus all 16 points in Level 2 for a total of 19 cumulative points awarded to qualifying products.

Section 7 Certification requirements on page 30 specify that certifying companies must “*provide Statement of the Achievement Level they have attained based on specific Sustainable Attribute Performance for all product stages.*”

Section 7 also states “*manufacturer shall provide metrics that demonstrate the specific achievement level and these will be made publicly available. Manufacturer shall disclose by weight, achieved percent total preconsumer and post consumer recycled content, and percent biobased content.*”

Confidential business information is generally not required to be disclosed publicly, however, summary information is required to be disclosed on the manufacturer’s and / or MTS’ web site that documents the metrics demonstrating the achievement level that the manufacturer certifies to for its qualifying product. This public documentation must also include recycled and biobased content as noted above. Where the biobased content is transitional organic with best management practices (BMPs), it shall be so stated.

As required by Standard Sections 5 & 7, the purpose for summary public documentation on the manufacturer’s web site is to help ensure that the documentation is accurate and not misleading pursuant to the Federal Trade Commission Environmental Marketing Guides 16 CFR Part 260: <http://www.ftc.gov/bcp/gmrule/guides980427.htm>.

Manufacturers are required to submit evidence sufficient for MTS and its auditors to make a bona fide and reasonable determination of compliance with the SMaRT prerequisites and additional SMaRT credits claimed. Manufacturers are also required to comply with the separate approved SMaRT Policies:

- **SF6 Climate Change Pollutant Policy**
- **Carcinogen Policy**
- **Legal Operations Policy**
- **Environmental Product Declaration (EPD) Policy**

3. Calculation of Credits to Determine Qualifying Certification Level

Standard Section 7 on Certification sets forth the point totals needed from the Matrix In order to certify products:

ACHIEVEMENT LEVELS:

Sustainable Building Product Achievement	28 to 40 points
Silver Sustainable Building Product Achievement	41 to 60 points
Gold\EPP Sustainable Building Product Achievement	61 to 89 points
Platinum\EPP Sustainable Building Product Achievement	90 to 165 points

Level 1 sets forth required prerequisites & total points for prerequisites:

PHE 1-1: Feedstock Inventory Documentation	[1 pt]
PHE 1-2: Input Stockholm Chemicals	[1 pt]
PHE 1-3: Output Stockholm Chemicals	[1 pt]
RE 1-1: Energy Inventory [1 pt] Manufacturing Facility Only	[1 pt]
MATLS Prerequisite FSC Certified Wood for all wood used	[0 pts]
MATLS 1-1: Inventory Biobased and Recycled Content Materials	[2 pts]
MFG 1-1: EMS Environmental Policy & Targets	[1 pt]
MFG 1-2: Social Equity Reports	[1 pt. Manufacturer]
MFG 2-2: ISO Compliant LCA	[4 pts]

EOL 1-1: Operational Reclamation Program

[1 pt]

EOL 1-2: Performance Durability

[1 pt]

Total Points for Prerequisites:

14 points

In addition to the prerequisites above, 14 additional points are required from anywhere on the Matrix on pages 28-30 in order to achieve the minimum certification “*Sustainable Product Achievement*.”

4. Documentation for Prerequisites & Metrics Used

Public Disclosure of summary information on web site of metrics used to document achievement level (§ 7). Please provide Link or Anticipated Link. Web site can be manufacturer’s or third party including MTS.

PHE 1-1: Feedstock Inventory - identify material composition for components present at 1% (10 parts per thousand), for Stockholm Convention Persistent Organic Pollutants [1 pt]. The Stockholm Convention on Persistent Organic Pollutants, (signed in Stockholm, May 23, 2001) is intended to eliminate or restrict the production, use and/or release of twelve chemicals that, due to their persistence in the environment, can affect human health throughout the globe, regardless of the location of their use. The chemicals include; pesticides (Aldrin, Chlordane, DDT, Heptachlor, Hexachlorobenzene, Dieldrin, Mirex, Toxaphene), industrial products (PCBs, polychlorinated biphenyls) and byproducts, i.e., unintentionally formed chemicals (polychlorinated dioxins and furans).

Documentation: ISO 14040 compliant LCA, and/or supplier audit data.

PHE 1-2 & 1-3: Input & Output Stockholm Chemicals – Document that Stockholm Convention Persistent Organic Pollutants are not present at 0.1% or greater in the product, and that manufacturer does not have Stockholm Convention Persistent Organic Pollutant emissions at or above TRI reporting thresholds. [1 pt each]

Documentation: certified lab product test results, ISO 14040 compliant LCA, and/or supplier audit data.

RE & ER 1-1: Electrical and Thermal Energy Inventory – For the manufacturing facility only, document 100% of production electrical and thermal energy requirements. Thermal energy is energy such as heat or steam for industrial, commercial, heating or cooling purposes, including through the sequential use of energy. For onsite generated energy, identify fuel type (e.g. natural gas, diesel oil, fuel oil, bauxite coal). For offsite generated energy (e.g. supplied electricity) document percent from renewable versus non-renewable sources. [1 pt]

Documentation: manufacturer energy data or audit.

MATLS 1-1: Inventory Biobased and Recycled Content Materials – Document the recycled and biobased content. Recycled content shall be classified by pre-consumer/post industrial or post-consumer materials in accordance with ISO 14021 and the FTC Environmental Marketing Guides. Biobased materials are those produced under sustainable agricultural practices as described in 4.23 and incorporate the Best Management Practices for Soil Erosion and Runoff Control as described in 4.1. This includes FSC Certified Wood practices as well as USDA Organic practices. [2 pts]

Documentation: third party certified or company data.

MFG 1-1: Environmental Management System Environmental Policy & Publicly Available Targets –the Manufacturer shall document a formal Environmental Management System & Policy. and publicly declare its environmental targets, objectives and metrics pursuant to ISO 14001. Public declaration shall be via one of the following two vehicles: 1 – Company’s web site; 2 – Company’s publicly available annual report. [1 pt]

Documentation: ISO 14001 environmental report.

MFG 1-2: Social Indicator Reporting – Report social indicator metrics as shown in Table 2 for the manufacturer certifying the product. It is not the intent of this requirement that companies supplying chemicals that end up at de minimis levels in the product being evaluated, be contacted and asked for this information. The reporting of employment information required in Table 2 can be made by either a detailed breakdown or general summary of compliance.

[1 pt manufacturer submitting for certification]

Documentation: publicly disclosed Global Reporting Initiative report data, and/or company summary/supplier social indicator data.

MFG 2-2: ISO Compliant LCA - Manufacturer shall have completed a Life-Cycle Assessment (LCA) process for the product undergoing assessment. The LCA shall be completed in accordance with the ISO 14040 standard for life cycle assessment. Appendix 1 BEES Please Inventory is the required Life Cycle inventory and impact assessment pollutants assessed.

[4 pts]

Documentation: ISO Compliant LCA report using Appendix 1 for Life Cycle Inventory pollutants and LCA impact categories, and where achieved, meeting PHE 3-1 Criteria for LCA Impacts

EOL 1-1: Operational Reclamation Program – Manufacturer shall describe where operational reclamation opportunities exist for the manufacturer’s product to be certified. This means that the product is recyclable pursuant to the FTC Guides 16 CFR § 260.7(d).

[1 pt]

Documentation: evidence of volume or weight of product reclaimed per year for each reclamation facility including facility locations, evidence of facility operation and processing of reused material subject to SMaRT Certification.

EOL 1-2: Performance Durability – Manufacturer shall demonstrate the product meets the applicable performance durability testing requirements to an accepted industry consensus standard or government requirement or guidance. [1 pt]

Documentation: test results from company or third party testing to Standard specified tests.

5. Optional Innovation Credit Submission

Identified innovation credits in Standard:

EOL 6-1 to 6-11: Greater than 30% Product Reclamation - Manufacturer shall document product reclamation rate of greater than 30%. Reclamation rate shall be calculated as described in Section 6.5.2 [1 point awarded for every 2% reclamation rate up to 40%.] *All points awarded above 39% reclamation are innovation points.*

- EOL 6-5: 39-40% reclamation - 1 pt
- EOL 6-6: 41-49% reclamation - 1 pt
- EOL 6-7: 50-59% reclamation - 1 pt
- EOL 6-8: 60-69% reclamation - 1 pt
- EOL 6-9: 70-79% reclamation - 1 pt
- EOL 6-10: 80-89% reclamation - 1 pt
- EOL 6-11: 90-100% - 1 pt

Total of 14 innovation points maximum: EOL 6-5 to EOL 6-11.

Documentation: evidence of volume or weight of product reclaimed per year for each reclamation facility including facility locations, evidence of facility operation and processing of reused material subject to SMaRT Certification.

6.6.2 Specific Innovation Credit for Dematerialization:

Credit is provided for process, and product or product lines that provide equal function using less material by percent weight per square foot, which reduces impacts as measured over all product stages. The intent for this credit is to use design innovation to achieve dematerialization.

[2-5 pts].

7.2 Express Warranty or Equivalent Option. Manufacturers adhering to this standard expressly warrant in a certification in section 7 submitted along with the level of sustainable attributes achieved in section 6 for their products:

"The product vendor/manufacturer expressly warrants as part of its purchase agreement, that the data and responses to the information requests of this standard are accurate and reliable to the best of the building product vendor's/manufacturer's knowledge."

Name & Title of Company Representative

Date

Address

Phone & Email

This express warranty is a general requirement for adherence to this standard; this warranty and its documentation will be publicly available and placed on the manufacturer's or a third party's web site.

7.2.1 Equivalent Option. An equivalent option can be used satisfying § 7.1, in lieu of providing the express warranty above for general adherence to this standard. To do this, product manufacturer must certify in writing that their communications regarding this standard and applicable sections, comply with the Federal Trade Commission *Environmental Marketing Guides* at 16 C.F.R. Part 260 (1998) for accurate, reliable, and documented communications: <http://www.ftc.gov/bcp/grnrule/guides980427.htm>.

This certification must also state that "both the express and implied meaning of the certification about the data, responses to information, and provisions of the standard, is reasonable and based on competent and reliable scientific evidence prepared by qualified professionals in the relevant area, using procedures to produce accurate and reliable results."

Name & Title of Company Representative

Date

Address

Phone & Email

See 16 C.F.R. § 260.5. Further, such certification and its documentation will be publicly available and placed on the manufacturer's or third party's web site.

This application is also used for product recertification that is required every three years (§ 7.1.4).

7. Questions for Further Information

For further information or questions, contact MTS at 202-338-3131, or MTS@sustainableproducts.com

8. Required Fees

Standard section 5.5 allows for Certification of Product Platforms, i.e., groupings of individual products or product lines with a high degree of uniformity of environmental attributes. Please see the separate SMaRT Fee Policy for the required fee to accompany the Application.

9. Application Approval Process & Timing

Within 60 days after receipt of an application with all required documentation and certifications, MTS will issue the applicant a letter of compliance by MTS and right to use the label pursuant to section 5.2. This letter of compliance constitutes a recognized product certification. Application approval and issuance of certification are subject to global third party auditing results, and where warranted, any Section 7 Decertification Proceeding.

10. Levels 2-6 Credit Work Sheet & Documentation

Please fill out the following worksheet to identify optional credits achieved and resulting point totals, checking the box and completing a documentation sheet (last page below) for each credit achieved.

Total all points achieved, add the prerequisite and any innovation points, and calculate the grand total to determine whether the product is certified at the Sustainable, Silver, Gold/EPP, or Platinum/EPP levels pursuant to the point ranges at section 3 above.

<u>Credit</u>	<u>Points</u>	<u>Achieved</u>	<u>Total</u>
<u>PHE</u> 2-1 Emissions Inventory	2	<input type="checkbox"/>	
PHE 2-2 Inventory Media Pollutants	2	<input type="checkbox"/>	
PHE 2-4 Reductions Beyond Compliance	8 max.	<input type="checkbox"/>	

<u>Credit</u>	<u>Points</u>	<u>Achieved</u>	<u>Total</u>
PHE 3-1 10-25% Reductions	2	<input type="checkbox"/>	
PHE 3-2 Minimize Indoor VOCs/Green L.	1	<input type="checkbox"/>	
PHE 3-3 Minimize Carcinogenic VOCs	1	<input type="checkbox"/>	
PHE 4.1 26-50% Reductions	2	<input type="checkbox"/>	
PHE 4-2 Minimize Formaldehyde	1	<input type="checkbox"/>	
PHE 4-3 No PBDE	1	<input type="checkbox"/>	
PHE 5-1 51-75% Reductions	2 max.	<input type="checkbox"/>	
PHE 5-2 Supply Chain Stockholm Chem.	2 max.	<input type="checkbox"/>	
PHE 6-1 No or De Minimis Pollutants	3	<input type="checkbox"/>	
<u>RE &ER renewables or energy reduction</u>			
RE 2-1 1% Renewables Man. Facility	2	<input type="checkbox"/>	
RE 2-2 Cleaner & Greener Level 1	1	<input type="checkbox"/>	
RE 3-1 2% Renewables Man. Facility	2	<input type="checkbox"/>	
RE 3-2 5% Renewables Man. Facility	2	<input type="checkbox"/>	
RE 3-3 8% Renewables Man. Facility	2	<input type="checkbox"/>	
RE 3-4 Climate Ch. Emissions Reduc.	1	<input type="checkbox"/>	
RE 4-1 11% Renewables Man. Facility	2	<input type="checkbox"/>	
RE 4-2 15% Renewables Man. Facility	2	<input type="checkbox"/>	
RE 4-3 20% Renewables Man. Facility	2	<input type="checkbox"/>	
RE 5-5 1-9% Renewables Upstream	3	<input type="checkbox"/>	
RE 5-1 26% Renewables Man. Facility	2	<input type="checkbox"/>	
RE 5-2 35% Renewables Man. Facility	2	<input type="checkbox"/>	
RE 5-3 50% or more Man. Facility	4	<input type="checkbox"/>	
RE 5-6 10-18% Renewables Upstream	2	<input type="checkbox"/>	
RE 6-1 19-27% Renewables Upstream	2	<input type="checkbox"/>	

RE 6-2 28-35% or more Renew. Upstream 4

For all renewable and energy efficiency percentages (RE): future energy reductions as measured by total energy reduced per square yd. of product or over an entire facility making the certified product. Point totals are additive for all percentages above 1%.

MATLS 2-1 5% Biobased or Recycled	1	<input type="checkbox"/>
MATLS 2-2 10% Biobased or Recycled	2	<input type="checkbox"/>
MATLS 2-3 15% Biobased or Recycled	3	<input type="checkbox"/>
MATLS 2-4 20% Biobased or Recycled	4	<input type="checkbox"/>
MATLS 3-1 25% Biobased or Recycled	1	<input type="checkbox"/>
MATLS 3-2 30% Biobased or Recycled	2	<input type="checkbox"/>
MATLS 3-3 35% Biobased or Recycled	3	<input type="checkbox"/>
MATLS 3-4 40% Biobased or Recycled	4	<input type="checkbox"/>
MATLS 4-2 45% Biobased Org. or Recy.	1	<input type="checkbox"/>
MATLS 4-3 50% Biobased Org. or Recy.	2	<input type="checkbox"/>
MATLS 4-4 60% Recycled	3	<input type="checkbox"/>
MATLS 4-4 60% Biobased Organic/BMP	4	<input type="checkbox"/>
MATLS 5-2 70% Biobased Org. or Recy.	2	<input type="checkbox"/>
MATLS 5-3 75% Recycled	2	<input type="checkbox"/>
MATLS 5-3 75% Biobased Organic/BMP	3	<input type="checkbox"/>
MATLS 5-4 80% Recycled	3	<input type="checkbox"/>
MATLS 5-4 80% Biobased Organic/BMP	4	<input type="checkbox"/>
MATLS 6-2 88% Biobased Org. or Recy.	2	<input type="checkbox"/>
MATLS 6-3 91% Recycled	2	<input type="checkbox"/>
MATLS 6-3 91% Biobased Organic/BMP	4	<input type="checkbox"/>

<u>Credit</u>	<u>Points</u>	<u>Achieved</u>	<u>Total</u>
MATLS 6-4 94% Recycled	3	<input type="checkbox"/>	
MATLS 6-4 94% Biobased Organic/BMP	4	<input type="checkbox"/>	
MATLS 6-5 97% Recycled	4	<input type="checkbox"/>	
MATLS 6-5 97% Biobased Organic/BMP	5	<input type="checkbox"/>	
<u>MFG</u> 2-1 Social Equity for Supplier	1	<input type="checkbox"/>	
MFG 2-2 LCA Process	4	<input type="checkbox"/>	
MFG 3-1 Transp. Matls. Reclam. System	5	<input type="checkbox"/>	
MFG 4-1 Adopted Df E Process	2	<input type="checkbox"/>	
MFG 5-1 EMS System Certification	2	<input type="checkbox"/>	
MFG 6-1 Sust./EPP Product Transactions	2	<input type="checkbox"/>	
<u>EOL</u> 2-1 Extended Product Life of System	2	<input type="checkbox"/>	
EOL 2-2 1-2% Product Reclamation	1	<input type="checkbox"/>	
EOL 2-3 3-4% Product Reclamation	1	<input type="checkbox"/>	
EOL 2-4 5-6% Product Reclamation	1	<input type="checkbox"/>	
EOL 3-1 7-8% Product Reclamation	1	<input type="checkbox"/>	
EOL 3-2 9-10% Product Reclamation	1	<input type="checkbox"/>	
EOL 3-3 11-12% Product Reclamation	1	<input type="checkbox"/>	
EOL 4-1 13-14% Product Reclamation	1	<input type="checkbox"/>	
EOL 4-2 15-16% Product Reclamation	1	<input type="checkbox"/>	
EOL 4-3 17-18% Product Reclamation	1	<input type="checkbox"/>	
EOL 4-4 19-20% Product Reclamation	1	<input type="checkbox"/>	
EOL 5-1 21-22% Product Reclamation	1	<input type="checkbox"/>	

<u>Credit</u>	<u>Points</u>	<u>Achieved</u>	<u>Total</u>
EOL 5-2 23-24% Product Reclamation	1	<input type="checkbox"/>	
EOL 5-3 25-26% Product Reclamation	1	<input type="checkbox"/>	
EOL 5-4 27-28% Product Reclamation	1	<input type="checkbox"/>	
EOL 5-5 29-30% Product Reclamation	1	<input type="checkbox"/>	
EOL 6-1 31-32% Product Reclamation	1	<input type="checkbox"/>	
EOL 6-2 33-34% Product Reclamation	1	<input type="checkbox"/>	
EOL 6-3 35-36% Product Reclamation	1	<input type="checkbox"/>	
EOL 6-4 37-38% Product Reclamation	1	<input type="checkbox"/>	

Grand Total: **Number of Credits Achieved** **Total Points**

Levels 2-6 Credit Documentation Worksheet

Must be typed or legibly printed. Use additional pages if needed.

Public Disclosure of summary information on web site of metrics used to document achievement level (§ 7). Please provide Link. Web site can be manufacturer's or third party including MTS. If LCA is used for Standard compliance, building product manufacturers shall provide results of publicly available life cycle assessments complying with ISO LCA General Principles Standard (§ 5.1). BEES LCAs completed by NIST meet this requirement.

Documentation of Credit Achievement
