EPEAT, Inc.

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VERIFICATION PLAN – ROUND PC-2015-04

Personal Computers and Displays
August 2015

I. PURPOSE AND CONTENTS OF THIS DOCUMENT

This document outlines the plan for a Verification Round of Investigations to be performed in accordance EPEAT procedure QP 100, this Verification Plan, and other governing documents.

II. SELECTION OF CRITERIA AND PRODUCTS FOR VERIFICATION

Verification Round PC-2015-04 will focus on two categories of criteria.

(1) Targeted Criteria and Manufacturers:

This category includes those criteria for which, in a previous investigation, corrective actions did not fully address other products potentially impacted by the issue causing the non-conformance for the investigated product. The category will target specific Manufacturers for Level 1 investigations of the following criteria:

- 4.1.4.1 Optional – Elimination of intentionally added lead in certain applications;
- 4.1.7.1 Optional – Batteries free of lead, cadmium, and mercury;
- 4.3.1.9 Optional – Minimum 90% reusable/recyclable; and
- 4.8.3.1 Declaration of recycled content.

(2) Criteria Not Targeted in a Round in the Last 24 Months:

This category will investigate products that have the following criteria:

- 4.5.2.1 Optional – Renewable energy accessory available; and
- 4.7.2.1 Required – Self-certified environmental management system for design and manufacturing organizations.

Verification activities for criterion 4.5.2.1 will use Level 0 and Level 1 investigations. Level 0 investigations will first be used to determine if there is publicly available information that establishes conformance with the criteria. Qualified Verifiers will not contact Manufacturers directly for information during Level 0 investigations. If this information is not available or is inconclusive, the Qualified Verifier will be instructed to proceed with a Level 1 investigation in which Manufacturer submissions are reviewed.

Verification activities for criterion 4.7.2.1 will use Level 1 investigations.

Thirty-four investigations are planned for Verification Round PC-2015-04, and will be chosen as below.

- No Manufacturer will be subject to more than four investigations during this Round.
- For Targeted Criteria and Manufacturers (4.1.4.1, 4.1.7.1, 4.3.1.9 and 4.8.3.1):
  - Prior to the beginning of this Round, EPEAT staff examined the number of investigations performed in the last twelve months for which corrective actions did not fully address other potentially impacted products.
  - After this initial filtering, one Level 1 investigation was specifically targeted for each of criteria 4.1.4.1, 4.1.7.1, 4.3.1.9 and 4.8.3.1.
- For Criteria Not Targeted in a Round in the Last 24 Months (4.5.2.1 and 4.7.2.1):
  - All Manufacturers and products will be considered for inclusion, with one exception. A product will not be investigated against 4.5.2.1 if the criterion was verified within the previous six months.
  - Products will be randomly chosen with consideration of the following:
    - Only products declaring 4.5.2.1 will be selected for investigation of 4.5.2.1, and all Manufacturers declaring criterion 4.5.2.1 will be investigated for that criterion.
    - Only products declaring 4.7.2.1 and not 4.7.2.2 (Optional – Third-party certified environmental management system for design and manufacturing organizations) will be selected for investigation of 4.7.2.1. All Manufacturers declaring 4.7.2.1 and not 4.7.2.2 will be investigated for 4.7.2.1.
    - A Manufacturer will have no more than one investigation performed for each of the criteria.

The Verification Round will proceed in accordance with the current procedures, as outlined below.

1. EPEAT will take a "snapshot" of the Registry. Products will be selected as per this document.

Level 0 Investigations:

2. EPEAT will instruct Product Registration Entities (if applicable – see Section IV) to proceed with the Level 0 investigations for criterion 4.5.2.1.
3. The Product Registration Entities will instruct their Qualified Verifiers to proceed with the assigned Level 0 investigations and to prepare Investigation Reports recommending Conformance, Non-conformance or Inconclusive. The PREs will ensure the Reports are clear, complete and where applicable, supported by evidence. The PREs will then forward the Reports to EPEAT.
4. The Product Verification Committee will review the Level 0 Reports and provide a conformity decision. The products and Manufacturers will not be disclosed to the Product Verification Committee, as the Committee must be blind to the specific product and Manufacturer for which they are making conformity decisions.

- For a decision of Conformance, no further Manufacturer action will be required.
- For a decision of Non-conformance, the Manufacturer will move into the Corrective Action Phase and be required to take corrective action within 14 calendar days to restore the accuracy of the EPEAT Registry. The start of this Corrective Action Phase will coincide with the launch of Level 1 investigations for criterion 4.5.2.1 and other criteria target in the Round.
- For a decision of Inconclusive, a Level 1 investigation will be launched. This will coincide with the launching of the Level 1 investigations for all other criteria in the Round.

Level 1 Investigations and Corrective Action Phase for Applicable Level 0 Investigations:

5. EPEAT will publish the Verification Round Plan on epeat.net, and launch the Level 1 portion of the Verification Round. EPEAT will instruct Product Registration Entities to proceed with Level 1 investigations – both those arising from Level 0 investigations and those pre-planned Level 1 investigations.

6. The PREs will notify subject Manufacturers that their product is being investigated in a Level 1 investigation and, if applicable, send the Level 0 Investigation Report. Where appropriate, the PREs will proceed with the Level 1 investigations and/or the Corrective Action Phase as applicable.

7. As per the Manufacturer's Agreement for Level 1 investigations, Manufacturers will have 30 days to provide required documentation supporting their declarations, and EPEAT will strictly adhere to this schedule.

8. The Qualified Verifiers will perform the Level 1 investigations as assigned within 30 calendar days, and prepare an Investigation Report for each investigation, recommending conformance or nonconformance. Where applicable, these Reports will also incorporate a description of the Level 0 activities.

9. Product Registration Entities will review all Level 1 Investigation Reports to ensure they are clear and complete and the evidence supports the recommendation, and will forward the Reports and supporting evidence to EPEAT. At the same time, Product Registration Entities will forward the Reports (without the final Product Verification Committee's decision) to the subject Manufacturers.

10. The Product Verification Committee will review the reports and make a decision regarding conformity. The products and Manufacturers will not be disclosed to the Product Verification Committee, as the Committee must be blind to the specific product and Manufacturer for which they are making conformity decisions.

11. Product Registration Entities will inform the subject Manufacturers of the Product Verification Committee's conformity decision. For decisions of Non-Conformance, Manufacturers are required to take corrective action within 14 calendar days to restore the accuracy of the EPEAT Registry.

12. EPEAT will publish a "Verification Round Outcomes Report" identifying the nonconforming products and Manufacturers, as well as the action taken to restore accuracy of the Registry.

III. PRODUCT VERIFICATION COMMITTEE

The following individuals are the members of the Product Verification Committee:

- Libby Chaplin, CEO, Arcadian Solutions
- Patty Dillon, Dillon Environmental Associates
- Jack Geibig, President, Ecoform
- Robert Pfahl, Pfahl Consulting L.L.C.
- Annette Roesler, Ph.D., Independent Professional Chemist

IV. PRODUCT REGISTRATION ENTITIES AND QUALIFIED VERIFIERS

All investigations will be conducted through Product Registration Entities (PREs). The following PREs may be involved in investigations for this Verification Round:

- EPEAT PRE
- UL Environment PRE

V. VERIFICATION ROUND PLAN APPROVAL

The Product Verification Committee approved this Verification Round Plan by discussion on August 7, 2015.

VI. SUMMARY OF PC-2015-02 PLANNED INVESTIGATIONS

Criterion	Verification Selection and Process	# Planned Investigations
4.1.4.1	• Level 1 investigations only. • Target specific manufacturers. • Exclusions: Specific products investigated against 4.1.4.1 within the previous six months.	**1**
4.1.7.1	• Level 1 investigations only. • Target specific manufacturers. • Exclusions: Specific products investigated against 4.1.7.1 within the previous six months.	**1**
4.3.1.9	• Level 1 investigations only. • Target specific manufacturers. • Exclusions: Specific products investigated against 4.3.1.9 within the previous six months.	**1**
4.8.3.1	• Level 1 investigations only. • Target specific manufacturers. • Exclusions: Specific products investigated against 4.8.3.1 within the previous six months.	**1**
4.5.2.1	• Level 0 and Level 1 investigations, as needed. • Only products declaring 4.5.2.1 will be included in the selection process. • All Subscribers declaring 4.5.2.1 will be investigated. • Exclusions: Specific products investigated against 4.5.2.1 within the previous six months.	**24**

Criterion	Verification Selection and Process	# Planned Investigations
4.7.2.1	• Level 1 investigations only. • All Subscribers declaring 4.7.2.1 and not declaring 4.7.2.2 will be investigated. • Exclusions: Specific products investigated against 4.7.2.1 within the previous six months.	**6**
	Total	**34**