



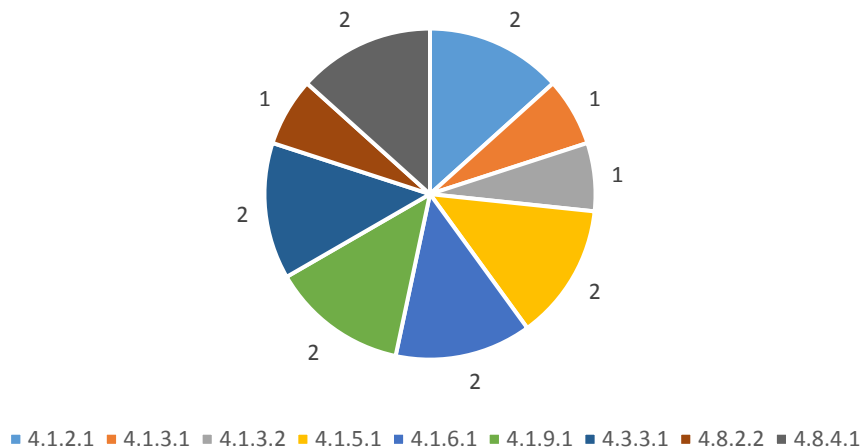
OUTCOMES REPORT EPEAT VERIFICATION ROUND TV-2014-01

1. Overview of Verification Round

This report provides the detailed results of EPEAT Verification Round TV-2014-01. This Round consisted of a total of 15 investigations of the IEEE 1680.3™ criteria listed below:

- 4.1.2.1 Optional – Further reduction of the use of EU RoHS Directive hazardous substances (cadmium)
- 4.1.3.1 Required – Reporting on amount of mercury content in light sources
- 4.1.3.2 Optional – Use of non-mercury containing light sources
- 4.1.4.1 Optional – Further reduction of the use of EU RoHS Directive hazardous substances (lead)
- 4.1.5.1 Optional – Reduction of substances on the EU REACH Candidate List of SVHCs
- 4.1.6.1 Required – Compliance with provisions of EU Battery Directive
- 4.1.9.1 Optional – Inventory of intentionally added chemicals residing in the product
- 4.3.3.1 Required – Notification regarding the identification of both materials and components that have hazardous characteristic or special handling needs
- 4.8.2.2 Optional – Packaging 90% compostable / recyclable
- 4.8.4.1 Optional – Provision of take-back service for packaging

Figure 1: Number of Investigations by Criterion

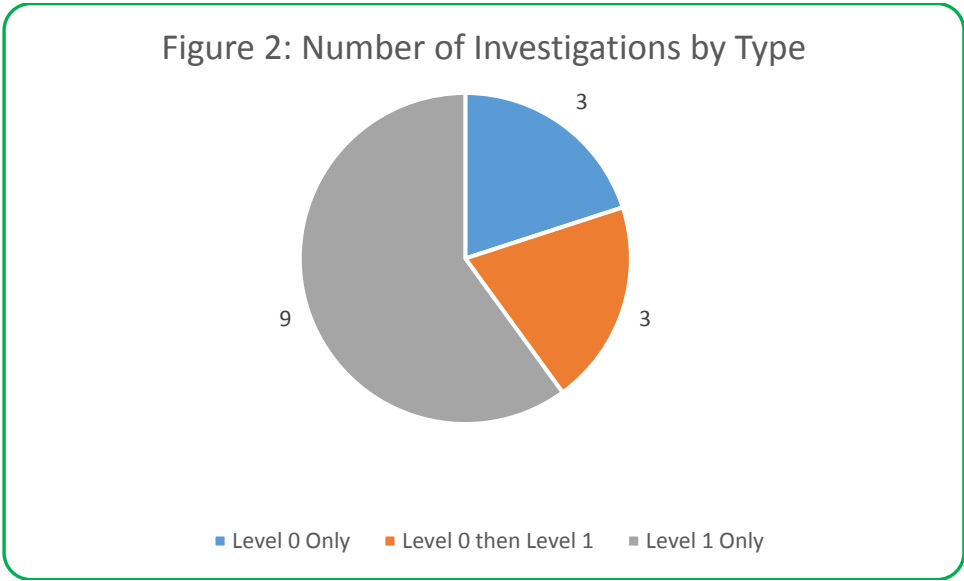




The Verification Round targeted three types of criteria:

1. Criteria with official Clarifications: 4.1.5.1, 4.6.1.2, 4.6.2.1, 4.7.2.2 and 4.8.2.2
2. Time based criteria: 4.1.2.1, 4.1.5.1, 4.1.6.1, 4.3.3.1
3. Criteria with possible Not Applicable declarations, which may include the following: 4.1.7.1, 4.1.8.1, 4.2.1.2, 4.2.1.3, 4.2.2.2, 4.3.2.1, 4.3.2.3, 4.3.2.4, 4.8.4.1

This Verification Round consisted of 15 investigations that were a mix of Level 0 Surveillance investigations (formerly Level 2) and Level 1 investigations. A Level 0 investigation involves the Qualified Verifier attempting to establish Conformance based on publicly available information, as applicable. A Level 1 investigation involves a review of Subscriber submissions. All active PREs and Subscribers were considered in selection for this Round. If a Subscriber had already received a decision of Conformance for one of the criteria in a different Verification Round, they were not verified again for the same criterion.



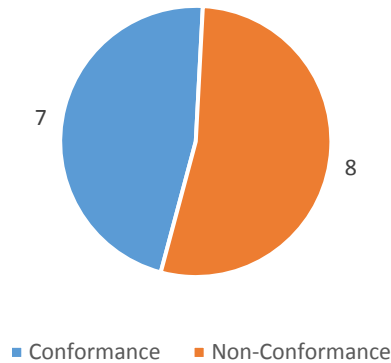
The PREs involved in this Verification Round were Intertek and ULE.

2. Summary of Outcomes

Highlights from this Verification Round are:

- **Up to 16** Investigations Planned
- **15** Investigations Completed
- **7** Decisions of Conformance
- **8** Decisions of Non-Conformance

Figure 3: Overall Conformance Status for TV-2014-01



3. Key Lessons

1680.3: All Criteria requiring Conformance Assurance Systems: When a Conformance Assurance System is required in the Verification Requirements of a criterion, the Subscriber must provide evidence for all four phases of the Conformance Assurance System. The four phases of a Conformance Assurance System are Plan, Do, Check, and Act. In several Non-Conforming investigations the Subscriber did not demonstrate all four phases of the Conformance Assurance System before the end of the Verification Round.

1680.3: 4.1.5.1 Optional - Reduction of substances on the EU REACH Candidate List of SVHCs: Subscribers must ensure that the documents used to demonstrate the Conformance Assurance System are up to date and reference the correct Candidate List based on the date the product was first registered. Subscribers must ensure that they have evidence to support the specific weight by weight requirements in the criterion. Finally, if a risk-based assessment has been done to demonstrate conformance to this criterion, an explanation of the reasoning behind the risk-based assessment choices must be documented and provided as evidence.

1680.3: 4.1.6.1 Required - Compliance with provisions of EU Battery Directive: Subscribers should ensure that their factories are using the requirements specified by the criterion.

1680.3: 4.1.9.1 Optional - Inventory of intentionally added chemicals residing in the product: The evidence should show the weight and percentage of the individual substances and the total weight of the unit. The Subscriber must demonstrate that the percentage of all individual substances and the sum of all IEC 62474 Substances are below the threshold value.

1680.3: 4.3.3.1 Required - Notification regarding and the identification of materials and components with special handling needs: Subscribers should ensure that information needed to track down this information is readily available on their website and that the provided information references the correct standard.

1680.3: 4.8.2.2 Optional- Packaging 90% compostable / recyclable: The specific definitions of compostable and recyclable are embedded in the text of this criterion. If packaging is being claimed to be recyclable, make sure that the material does meet the definition for recyclable from the standard and be prepared to back claims up with specific evidence.

1680.3: 4.8.4.1 Optional- Provision of take-back service for packaging: In this investigation, the Qualified Verifier attempted to verify conformance using publicly available information through a Level 0 investigation. Providing



EPEAT, Inc.

227 SW Pine Street, Suite 300 • Portland, OR 97204 • V: (503) 279-9382 • F: (503) 279-9381 • www.epeat.net

publicly available contact information for customers is not sufficient, if Subscriber staff responding to queries are not able to provide information on the take-back program. In the case of the Non-Conformance, the Subscriber provided a customer service contact number on their website but when the Qualified Verifier called, the customer service representative was unaware of the take-back service.

1680.3: All Criteria: The Subscriber must provide all evidence within the required 30 days. It is prudent to provide sufficient time within this 30 day period for the Qualified Verifier to review all information and ask questions if needed. In several Non-Conforming investigations the Subscriber waited until the very last days to provide evidence which did not give the Qualified Verifier time to clarify or request additional information before the end of the Verification Round.



4. Investigations Tables

Table 1: Summary of Non-Conformance Findings					
Criterion	Required or Optional	Description	Total	Completed Investigations	Non-Conformances
			Investigations		
4.1.2.1	Optional	Further reduction of the use of EU RoHS Directive hazardous substances (cadmium)	2	2	1
4.1.3.1	Required	Reporting on amount of mercury content in light sources	1	1	0
4.1.3.2	Optional	Use of non-mercury containing light sources	1	1	0
4.1.5.1	Optional	Reduction of substances on the EU REACH Candidate List of SVHCs	2	2	1
4.1.6.1	Required	Compliance with provisions of EU Battery Directive	2	2	1
4.1.9.1	Optional	Inventory of intentionally added chemicals residing in the product	2	2	2
4.3.3.1	Required	Notification regarding the identification of both materials and components that have hazardous characteristics or special handling needs	2	2	1
4.8.2.2	Optional	Packaging 90% compostable / recyclable	1	1	1
4.8.4.1	Optional	Provision of take-back service for packaging	2	2	1
Totals			15	15	8



TABLE 2: Specific Non-Conformance Findings and Corrective Action Taken

Subscriber	Product	Country	Product Type	PRE	Criterion	Required or Optional	Criterion Description	NC Finding Description	Corrective Action Taken
LG	55LA690 0-UD	United States	TV	UL Environment	4.1.9.1	Optional	Inventory of intentionally added chemicals residing in the product	Insufficient documentation to prove conformance	Subscriber provided an updated spreadsheet which showed the % of individual substances and sum of all substances were below the threshold.
Samsung	UN55FH 6030F	United States	TV	UL Environment	4.1.2.1	Optional	Further reduction of the use of EU RoHS Directive hazardous substances (cadmium)	Insufficient documentation to prove conformance	Subscriber provided additional documentation for "Do" and "Check" phases to prove Conformance Assurance System.
Samsung	UN55FH 6030F	United States	TV	UL Environment	4.1.5.1	Optional	Reduction of substances on the EU REACH Candidate List of SVHCs	Insufficient documentation to prove conformance	Subscriber provided additional documentation for "Plan", "Do" and "Check" phases to prove Conformance Assurance System.
Samsung	UN55FH 6030F	United States	TV	UL Environment	4.1.6.1	Required	Compliance with provisions of EU Battery Directive	Insufficient documentation to prove conformance	Subscriber provided additional documentation for "Plan" phase to prove Conformance Assurance System.
Samsung	UN55FH 6030F	United States	TV	UL Environment	4.1.9.1	Optional	Inventory of intentionally added chemicals residing in the product	Insufficient documentation to prove conformance	Subscriber provided additional documentation but did not prove Conformance Assurance System. PRE Archived product.
Samsung	UN55FH 6030F	United States	TV	UL Environment	4.3.3.1	Required	Notification regarding the identification of both materials and components that have hazardous characteristics or special handling needs	Insufficient documentation to prove conformance	Subscriber provided additional information to move into Conformance.
Samsung	UN55FH 6030F	United States	TV	UL Environment	4.8.2.2	Optional	Packaging 90% compostable / recyclable	Demonstrated non-conformance	Subscriber undecleared this criterion to move into Conformance.
Samsung	UN55FH 6030F	United States	TV	UL Environment	4.8.4.1	Optional	Provision of take-back service for packaging	Demonstrated non-conformance	Subscriber provided additional information to move into Conformance.



5. General Message to Subscribers

Provision of information for Verification Rounds: The IEEE 1680 standard and the EPEAT subscriber agreements require that Subscribers provide the information identified in Verification Requirements to prove the accuracy of their declarations within 30 days of EPEAT's request. Failure to provide that information is inconsistent with the agreement and may result in termination of the Subscriber from EPEAT.

Initial response to Qualified Verifiers: When contacted regarding participation in a Verification Round, EPEAT staff continue to request that Subscribers respond to the Qualified Verifier as soon as possible to let them know they are communicating with the correct person or to inform them of the correct contact. This step also helps the Qualified Verifier know that s/he has a valid email address.

6. Looking Forward

Plans for Future Verification Activities: There are no additional Verification Rounds in 2014 for televisions. There are two Verification Rounds planning for televisions in 2015.

Conformity Assessment Protocols: This and all future Verification Rounds have and will be conducted according to the guidance provided in the Conformity Assessment Protocols posted on www.epeat.net.

7. Background

To assure the credibility of the EPEAT Registry, verification of the claims by participating manufacturers (called "Subscribers") are rigorous, independent and transparent. Verification is conducted strictly according to policies and procedures described in the IEEE 1680 Standard and in documents provided on www.epeat.net. Subscribers are given no forewarning that their products will be verified and verification is performed based on the declarations as they are in the database at the time the round begins.

Level 0 investigations are based on the Qualified Verifier attempting to establish Conformance based on publicly available information (without obtaining a product). This type of investigation is only applicable to some criteria. If the Qualified Verifier is unable to establish conformance based on publicly available information, the investigation proceeds to Level 1. In Level 1 verification investigations, Subscribers are required to provide detailed and accurate information to demonstrate their conformance to each criterion of the standard in a timely manner that demonstrates Conformance, such as supply chain management records. In Levels 2 and 3 investigations, EPEAT buys or borrows products without the Subscriber's knowledge, disassembles them, and conducts detailed analytical testing if needed.

Investigations are performed by expert technical contractors who are free of conflicts of interest, and their recommended decisions are reviewed and finalized by a five-person panel of independent technical experts (called the Product Verification Committee) who are also contractors free of conflicts of interest. Verification activities conducted by the Product Verification Committee are done blind to the identity of the products and companies they are judging. The Committee makes a Conformance/Non-Conformance decision on each investigation, based on evidence collected and analyzed by Qualified Verifiers. A serious consequence of receiving a Non-Conformance is that it is published publicly in an Outcomes Report, for purchasers, competitors, and others to see.

Subscribers must correct Non-Conformances, either by bringing the product into Conformance, by un-declaring the criterion until Conformance is achieved, or by removing the product from the Registry. (EPEAT recommends that Subscribers also examine other products to determine if these declarations should be corrected as well.) If a Subscriber corrects the Non-Conformance by un-declaring the criterion and the criterion is an optional criterion, they lose that point, and possibly the product drops a rating tier. If it is a required criterion, they must archive the product. If it is a required corporate criterion, all their products must be archived.