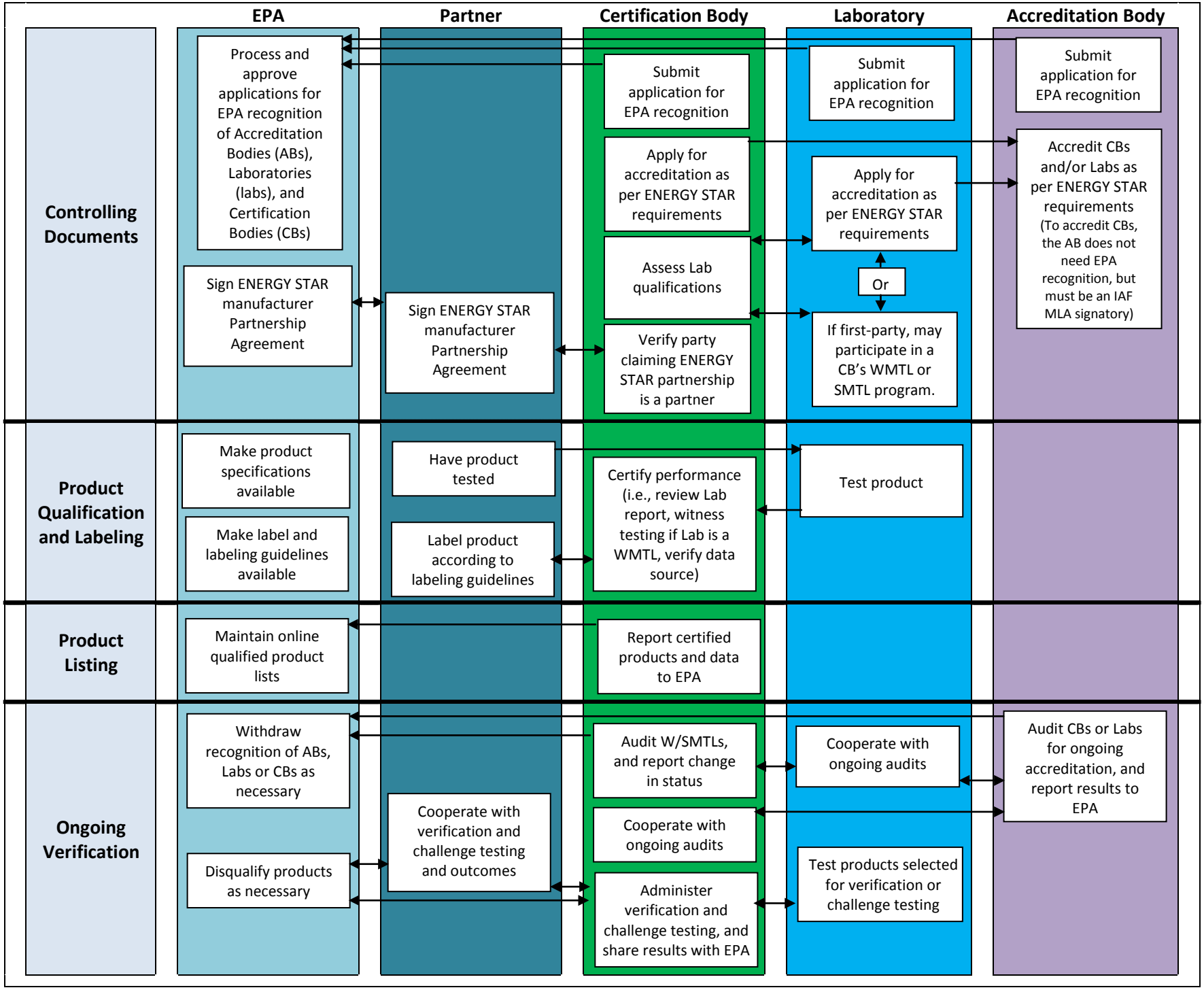
ENERGY STAR Process Flow Diagram



Rev. May 2013

Explanation of the ENERGY STAR Process Flow Diagram

EPA - The United States Environmental Protection Agency ENERGY STAR Program

EPA's responsibilities are to:

- Process and approve applications for EPA recognition of Accreditation Bodies (ABs), Laboratories (labs), and Certification Bodies (CBs): ABs, labs, and CBs must seek EPA recognition by submitting an application EPA will review, and approve or reject.
- Sign ENERGY STAR manufacturer Partnership Agreement (PA): As partners sign onto the ENERGY STAR program via a PA, EPA will countersign it.
- Make product specifications available: EPA writes new or revises current specifications, making them available to all interested parties, but especially those interested in the product qualification process.
- Make label and labeling guidelines available: EPA authorizes use of the label, makes the label and labeling requirements available to partners and other eligible parties, and ensures partners commit to abide by them when qualifying products.
- Maintain online qualified product (QP) lists: EPA maintains QP lists to inform all interested parties of which products are ENERGY STAR qualified. Products are added to these lists upon confirmation of certification by an EPA-recognized CB.
- Withdraw recognition of ABs, CBs, or labs as necessary: As ABs audit EPA-recognized labs or CBs, or as CBs audit their enrolled Witnessed or Supervised Manufacturers' Testing Labs (W/SMTLs), EPA will withdraw its recognition of these bodies upon their loss of accreditation/enrollment. EPA may withdraw recognition of an AB, CB, or lab for reasons external to these audits, as well, given just cause.
- Disqualify products as necessary: EPA disqualifies products based on conclusive evidence they do not meet ENERGY STAR requirements.

Partner - The ENERGY STAR manufacturing partner who has signed a partnership agreement with EPA

The partner's responsibilities are to:

- Determine partnership eligibility: ENERGY STAR requires partners to be brand owners or licensees that sell products directly to consumers in the U.S. and/or Canada.
- Sign an ENERGY STAR manufacturer PA: Organizations join the ENERGY STAR program by signing a PA.
- Have products tested: Partners must have their products tested at an EPA-recognized laboratory in order for them to be eligible for qualification.
- Label product according to labeling guidelines: Partners must abide by EPA's labeling guidelines.
- Cooperate with product verification and challenge testing and outcomes: Partners must abide by verification and challenge testing requirements and outcomes, including cooperating with CB efforts to select, procure, and test products, and EPA product control measures to address product testing failures.

Certification Body (CB) – An organization that meets the requirements outlined in *Conditions and Criteria for Recognition of Certification Bodies for the ENERGY STAR Program*

The CB's responsibilities are to:

- Submit an application for EPA recognition: To participate in the ENERGY STAR program, and thereby certify products for qualification, the CB must apply for and gain EPA recognition.

- Apply for accreditation per ENERGY STAR requirements: Before applying for EPA recognition, the CB must gain accreditation to ISO/IEC Guide 65 or ISO/IEC 17065[1] by an AB that is an IAF MLA signatory.

- Verify signed ENERGY STAR manufacturer Partnership Agreement: Before determining whether a product it is certifying meets ENERGY STAR requirements, the CB must verify the party seeking qualification is an ENERGY STAR partner.

- Assess laboratory qualifications: Before accepting test results from a lab, including its own lab, the CB must verify that EPA has recognized the lab to conduct the relevant tests.

- Certify performance: Before EPA lists a product as qualified, a CB must certify its performance by reviewing all relevant reports, verifying the data source is an EPA-recognized lab, and witnessing testing if the lab is a WMTL.

- Report certified products and data to EPA: Once the CB has certified a product's performance, it must report all required data to EPA to permit EPA to list the product as qualified.

- Cooperate with ongoing accreditation: To maintain EPA recognition, the CB must cooperate with the ongoing accreditation requirements of the AB that accredited it.

- Administer verification and challenge testing, and share testing results with EPA: The CB must select and obtain qualified products to verify ongoing performance through verification and challenge testing to ensure products continue to meet ENERGY STAR requirements after initial qualification.

- Communicate with EPA as needed: Correspondence with EPA does not cease upon gaining EPA recognition. At times, EPA seeks input from CBs on a variety of subjects that may impact their ENERGY STAR-related work. Therefore, EPA expects CBs to maintain open lines of communication with EPA, for example, by replying to EPA correspondence by the stated deadline or participating in all required meetings and conference calls with EPA.

Laboratory (lab) – A lab that meets the requirements outlined in *Conditions and Criteria for Recognition of Laboratories for the ENERGY STAR Program*. Certain EPA-recognized CBs may enroll manufacturers' (first-party) labs in the CB's W/SMTL program

[1] The International Accreditation Forum (IAF) expects ISO/IEC Guide 17065 to be in effect and replace Guide 65 by September 15, 2015.

The lab's responsibilities are to:

- Submit an application for EPA recognition: To participate in the ENERGY STAR program, and thereby test products towards qualification, the lab must apply for EPA recognition. Alternatively, if it is a first-party lab, it may enroll in a CB's W/SMTL program.

- Apply for accreditation per ENERGY STAR requirements: Before applying for EPA recognition, the lab must gain accreditation to ISO/IEC 17025 and the test methods required by the relevant ENERGY STAR product specification.

  Or

- Participate in a CB's W/SMTL program: Many CBs operate programs whereby they conduct an initial and periodic assessments of a given first-party lab, and build confidence in it over time. Once the CB has provided EPA with its list of all such labs, EPA permits the CB to accept data from these labs for the purpose of qualification.

- Test products: The lab tests products towards certification, and thereby, qualification.

- Cooperate with ongoing audits (accreditation/assessment): To maintain EPA recognition, the lab will have to cooperate with the ongoing accreditation requirements of the AB that accredited it, or the assessments of the CB that enrolled it in its W/SMTL program.

- Test products selected for verification or challenge testing: As the CB schedules products for verification or challenge testing, tests will need to occur at EPA-recognized labs. In-house labs may conduct this testing only if an EPA-recognized CB witnesses it, and the test unit(s) have to be procured from the manufacturing line for testing.

Accreditation Body (AB) – An organization that meets the requirements outlined in *Conditions and Criteria for Recognition of Accreditation Bodies for ENERGY STAR Laboratory Recognition*

The AB's responsibilities are to:

- Submit an application for EPA recognition: To accredit labs for their participation in the ENERGY STAR program, the AB must apply for and gain EPA recognition.

- Accredit CBs and/or labs per ENERGY STAR requirements: For CBs or labs to participate in the ENERGY STAR program, they must be accredited. Labs must be accredited by an EPA-recognized AB that meets the conditions and criteria for recognition of ABs (alternatively, as described in the section immediately above, an unaccredited lab may gain recognition through enrollment in an EPA-recognized CB's W/SMTL program). CBs must be accredited by an AB that is a signatory to the International Accreditation Forum Multilateral Recognition Agreement.

- Audit CBs or labs for ongoing accreditation, and report results to EPA: The AB must provide ongoing accreditation of CBs and labs, and notify EPA if there is any change in accreditation that may affect their recognition.