



ENERGY STAR® Program Requirements for CFLs Partner Commitments

FINAL VERSION: 03/07/08

Eligible Organizations: Manufacturers and Distributors of Compact Fluorescent Lamps (CFLs)

Commitment

The following are the terms of the ENERGY STAR Partnership Agreement as it pertains to the manufacturing and/or distributing of ENERGY STAR qualified CFLs. The ENERGY STAR PARTNER (PARTNER) must adhere to the following program requirements:

- Comply with current ENERGY STAR Eligibility Criteria, defining the performance criteria that must be met for use of the ENERGY STAR certification mark on product packaging and the testing criteria for CFLs. The Department of Energy (DOE or The Department), at its discretion may conduct tests on products that are referred to as ENERGY STAR qualified through the third party testing portion of the criteria. These products will be obtained on the open retail or commercial distribution market;
- Comply with current ENERGY STAR Identity Guidelines. The guidelines describe how the ENERGY STAR marks and name must be used. PARTNER is responsible for adhering to these guidelines and for ensuring that all its authorized representatives, such as advertising agencies, dealers, and distributors, are also in compliance;
- Qualify, or private label at least one ENERGY STAR qualified CFL model within one year of activating the CFL portion of the agreement. When PARTNER qualifies the product, it must meet the criteria in effect at that time;
- Provide clear and consistent labeling of ENERGY STAR qualified CFLs. The ENERGY STAR certification mark must be clearly displayed on the front or primary display panel of the product packaging, on the PARTNER'S Internet web site where information about its ENERGY STAR qualified models is displayed, and in qualified product literature (e.g., catalogs, user manuals, spec sheets, etc.);
- Provide to DOE, or its ENERGY STAR CFL program contractor, on an ongoing basis, an updated list of its ENERGY STAR qualifying CFL models. PARTNERS must inform the ENERGY STAR CFL program contractor, in these updates if any existing qualified CFL models have been modified or have updated test data or reports, revised model numbers and/or retail product numbers, or will be discontinued or phased out and the timing of such. PARTNER will provide these ongoing updates in order to remain on the list of participating ENERGY STAR CFL PARTNERS;
- Notify the ENERGY STAR CFL program contractor, within 30 days, if the designated supplier of any qualified private labeled CFLs changes to a new supplier. The PARTNER is required to submit, in writing, an updated Private Labeler Qualification Form that identifies the new original equipment manufacturer, specific model, and packaging information;
- For each qualifying CFL model, provide to DOE accredited laboratory test data reports for the specific model(s) to certify that the lamp(s) have met the required safety and performance tests criteria;
- For each qualifying CFL model, provide to the ENERGY STAR CFL program contractor product packaging samples (either electronic or hard copy for the specific model(s)) to meet the criteria packaging requirements. Products will only be added to the ENERGY STAR Qualified Product List and Searches after review and approval of the product test results and product packaging;
- PARTNER is responsible for all associated financial costs if their product(s) are selected for testing within the CFL Third Party Testing and Verification Program. ENERGY STAR requires PARTNERS' participation in the CFL Third Party Testing and Verification Program and will remove PARTNERS from the program if they do not participate in the program.
- Provide to the ENERGY STAR CFL program contractor to DOE, on a bi-annual basis, unit shipment data for ENERGY STAR qualified CFLs. Specifically, PARTNER must submit the total number of ENERGY STAR qualified CFLs shipped in units by:
 - Base type:

- Medium-screw base (E26)
- Candelabra screw base (E12)
- Model type/designs:
 - Bare: mini-spiral, spiral, 2-D, circline, twin-tube, triple-tube, quad-tube
 - Covered: A-shaped, bullet, candle, post, or other
 - Globes: G-25, G-30, G-40
 - Reflectors: R-20, R-30, R-40, PAR38
- Wattage
- Model or product number (if possible)

PARTNER is also encouraged to provide ENERGY STAR qualified unit shipment data segmented by total unit shipments for each model in its product line and percent of total unit shipments that qualify as ENERGY STAR.

The data for each half of the calendar year should be submitted to the ENERGY STAR CFL program contractor, in an electronic spreadsheet format (Microsoft Excel) that is provided by ENERGY STAR, no later than **February 15th** (for July-December) and **August 15th** (for January-June), and may be provided directly from the PARTNER or through a third party that works directly with the PARTNER.

- Notify DOE of a change in the designated responsible party or main contacts for its ENERGY STAR CFL program participation within 30 days.

Performance for Special Distinction

In order to receive additional recognition and/or support from DOE for its efforts within the Partnership, the PARTNER may consider the following voluntary measures and should keep DOE informed on the progress of these efforts:

- Consider energy efficiency improvements in company facilities and pursue to benchmark their buildings through the ENERGY STAR Buildings program;
- Purchase ENERGY STAR qualified products. Revise the company purchasing or procurement criteria to include ENERGY STAR. Provide procurement officials' contact information to DOE for periodic updates and coordination. Circulate general ENERGY STAR qualified product information to employees for use when purchasing products for their homes;
- Ensure the power management feature is enabled on all ENERGY STAR qualified monitors in use in company facilities, particularly upon installation and after service is performed;
- Provide general information about the ENERGY STAR program to employees whose jobs are relevant to the development, marketing, sales, and service of current ENERGY STAR qualified product models;
- Feature the ENERGY STAR promotional or partner mark(s) on PARTNER web site and in other marketing materials. If information concerning ENERGY STAR is provided on the PARTNER web site, DOE may provide links where appropriate to the PARTNER web site;
- Provide a simple plan to DOE outlining specific measures PARTNER plans to undertake beyond the program requirements listed above. By doing so, DOE may be able to coordinate, communicate, and/or promote PARTNER's activities, provide a DOE representative, or include news about the event in the ENERGY STAR newsletter, on the ENERGY STAR web pages, etc. The plan may be as simple as providing a list of planned activities or planned milestones that PARTNER would like DOE to be aware of. For example, activities may include: (1) increase the availability of ENERGY STAR qualified products by converting the entire product line within two years to meet ENERGY STAR guidelines; (2) demonstrate the economic and environmental benefits of energy efficiency through special in-store displays twice a year; (3) provide information to users (via the web site and user's manual) about energy-saving features and operating characteristics of ENERGY STAR qualified products; and (4) build awareness of the ENERGY STAR Partnership and brand identity by collaborating with DOE on one print advertorial and one live press event;
- Provide quarterly, written updates to DOE as to the efforts undertaken by PARTNER to increase availability of ENERGY STAR qualified products, and to promote awareness of ENERGY STAR and its message.



ENERGY STAR® Program Requirements for CFLs
ENERGY STAR Eligibility Criteria
Energy-Efficiency Criteria – Version 4.0

Below are the product criteria for ENERGY STAR qualified Compact Fluorescent Lamps (CFLs) - Version 4.0. A product must meet all of the criteria in order to be qualified as ENERGY STAR.

1) **SCOPE:** This ENERGY STAR criteria for CFLs covers the requirements for self-ballasted CFLs and lamp systems, including:

- A. Medium (Edison) or candelabra screw base compact fluorescent lamps with integral electronic ballasts.
- B. Circline lamps with a maximum diameter of nine inches and square lamps, with a maximum side length of eight inches with medium screw with electronic ballasts that are tested and packaged with the lamp.
- C. Medium (Edison) or candelabra screw base fluorescent lamps with integral electronic ballasts, which have a translucent cover over the bare fluorescent tube. The cover may be globe, bullet, pear, torpedo, candle, or any other shape.
- D. Medium (Edison) screw base compact fluorescent lamps with integral electronic ballasts, which have a reflector that may be open or enclosed. The lamp shall be primarily intended to replace wide beam incandescent reflector lamps.

The vision of this ENERGY STAR program is the replacement, by consumers and businesses, of incandescent products with energy-efficient compact fluorescent lighting.

2) **DEFINITIONS:**

- A. **A2LA:** American Association for Laboratory Accreditation.
- B. **Amalgam:** An alloy of mercury and other metals normally used to control the mercury vapor pressure in the discharge. The alloy absorbs or releases mercury in response to a change in its temperature.
- C. **ANSI:** American National Standards Institute.
- D. **Average Rated Lamp Life:** The length of time declared by the manufacturer at which 50% of any large number of lamps reaches the end of their individual lives.
- E. **Candelabra Screw Base Compact Fluorescent Lamp:** A self-ballasted compact fluorescent lamp, with a screw base, identified with the prefix E-12.
- F. **CIE:** Commission Internationale de l'Eclairage.
- G. **Color Rendition:** The effect the spectral characteristic of the light emitted by the lamp has on the color appearance of the objects illuminated by it is called color rendition. The color-rendering index is defined in terms of a comparison of the spectral tri-stimulus values of the objects under test illumination and standard illumination according to the recommendations of CIE Publication No.13.3-1995.
- H. **Correlated Color Temperature (CCT):** The color appearance, or actual color of the lamp is called the color temperature and is defined in terms of the spectral tri-stimulus values (color coordinates) according to the recommendations of IESNA LM-16. For color coordinates near the Black Body loci, the correlated color temperature, measured in Kelvin (K), is used.
- I. **ICAT Fixture:** Insulated Ceiling Air Tight fixture.
- J. **IESNA:** Illuminating Engineering Society of North America.
- K. **Kelvin:** In lighting, Kelvin is the unit of measure for Color Temperature used to indicate the overall color of the light produced from a source.
- L. **Initial performance values:** The photometric and electrical characteristics at the end of the 100-hour aging period.
- M. **Lamp color:** The color characteristics of a lamp as defined by the color appearance and the color rendition.
- N. **Lumen:** A measure of the luminous flux or quantity of light emitted by a source.
- O. **Lumen maintenance:** The luminous flux or lumen output at a given time in the life of the lamp and expressed as a percentage of the initial luminous flux.
- P. **Luminous Efficacy:** The light output (lumens) of a light source divided by the total power input (watts) to that source. It is expressed in lumens per watt.
- Q. **MacAdam Color Ellipse:** An elliptical region of chromaticity coordinates that is defined using a centroid, a tilt angle relative to a horizontal axis, and a defined level of variance. Such a region defines what chromaticity coordinates can be acceptably associated with a target Correlated Color Temperature. For this criteria, standardized color ellipses are defined using centroids based upon objective chromaticities (x,y) and tilt angles (ϵ) specified in Table 1 and 2 of ANSI C78.376-2001, and a defined variance of seven steps.
- R. **Medium (Edison) Screw Base Compact Fluorescent Lamp:** A self-ballasted compact fluorescent lamp

unit, with an Edison screw base, usually identified with the prefix E-26 as referenced in the American National Standard for Electric Lamp Bases, ANSI/IEC C81.61-2003.

- S. **NVLAP:** National Voluntary Laboratory Accreditation Program.
- T. **Outdoor Reflector:** A reflector CFL that is primarily marketed for use in outdoor applications and is safety listed for wet locations.
- U. **OSHA:** Occupational Safety & Health Administration.
- V. **Power Factor:** The active power divided by the apparent power (i.e., product of the rms input voltage and rms input current of a ballast). Power factors can range from 0 to 1.0, with 1.0 being ideal.
- W. **Private Labeled CFL:** An ENERGY STAR qualified CFL lamp purchased and marketed under the brand of a PARTNER other than the manufacturer of the product.
- X. **Rated Luminous Flux or Lumen Output:** Initial lumen rating (based on the average 100-hour lumen output measurement), which is specified by the manufacturer.
- Y. **Rated Supply Frequency:** The frequency marked on the lamp.
- Z. **Rated Voltage:** The voltage marked on the lamp.
- AA. **Rated Wattage:** The wattage marked on the lamp.
- BB. **Retired or Discontinued Product:** A product that was properly qualified as ENERGY STAR, but is no longer manufactured (as of the date on the list), but may still be available in the market.
- CC. **Run-up Time:** The time needed after switching on the supply for the lamp to reach 80.0% of its stabilized luminous flux.
- DD. **Self-ballasted Compact Fluorescent Lamp (CFL):** A compact fluorescent lamp unit that incorporates, permanently enclosed, all elements that are necessary for the starting and stable operation of the lamp, and which does not include any replaceable or interchangeable parts.
- EE. **Starting Temperature:** The minimum and maximum temperatures at which the lamp will reliably start.
- FF. **Starting Time:** The time needed after switching on for the lamp to start fully and remain lighted.
- GG. **UL:** Underwriters Laboratories.
- HH. **Watt:** Unit used to measure electric power consumed by a lamp or any electrical device.

- 3) **REFERENCE STANDARDS AND PROCEDURES:** ENERGY STAR qualified compact fluorescent lamps and lamp systems shall comply with the relevant clauses of the following standards, unless the requirements of the ENERGY STAR CFL criteria are more restrictive:

ANSI C78.376-2001	<i>Specifications for the Chromaticity of Fluorescent Lamps</i>
ANSI C78.901– 2005	<i>American National Standard for Electric Lamps – Single Base Fluorescent Lamps – Dimensional and Electrical Characteristics</i>
ANSI C78.5 – 1997	<i>Specifications for Performance of Self-Ballasted Compact Fluorescent Lamps</i>
ANSI/IEEE C62.41 – 1991 (01-May-1991)	<i>Surge Voltages in Low-Voltage AC Power Circuits, Recommended Practice for</i>
ANSI/IEC C81.61-2003	<i>American National Standard for Electric Lamp Bases</i>
CIE Publication No. 13.3 – 1995	<i>Method of Measuring and Specifying Color Rendering of Light Sources</i>
CIE Publication No. 18.2 – 1983	<i>The Basis of Physical Photometry</i>
IESNA LM-9 – 1999	<i>Electric & Photometric Measurement of Fluorescent Lamps</i>
IESNA LM-16	<i>Practical Guide to Colorimetry of Light Sources</i>
IESNA LM-28-89 – 1989	<i>Guide for the Selection, Care, and Use of Electrical Instruments in the Photometric Laboratory</i>
IESNA LM-40 – 2001	<i>Approved Method for Life Performance Testing of Fluorescent Lamps</i>
IESNA LM-41-98 – 1998	<i>Approved Method for Photometric Testing of Indoor Fluorescent Luminaires</i>
IESNA LM-54-99 – 1999	<i>IESNA Guide to Lamp Seasoning</i>
IESNA LM-65-01– 2001	<i>Approved Method for Life Testing of Single-ended Compact Fluorescent Lamps</i>
IESNA LM-66-00 – 2000	<i>Electrical and Photometric Measurements of Single Ended Compact Fluorescent Lamps</i>
UL 1598 – 2004	<i>UL Standard for Safety for Luminaires</i>

UL 1993 – 1993	Standard for Self-Ballasted Lamps and Lamp Adapters
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Performance Characteristics	Test Procedure	
	Compact Fluorescent (see notes below)	Circle design
Lumen Output and Efficacy	IESNA – LM66-00	IESNA – LM9
Lumen Maintenance and Life	IESNA – LM65 & ANSI – C78.5	IESNA – LM40
Color Rendering Index	CIE Publication 13.3 - 1995	
Transient Protection	ANSI/IEEE C62.41 (01-May-1991), Category A, 7 strikes	
Electromagnetic Interference	FCC 47 CFR including Part 2 (Equipment Authorization) and Part 18 (Technical Standards and Emission Limits) for consumer RF Lighting Equipment limits	

Notes:

Testing with reference ballast shall not apply to integrally ballasted compact fluorescent lamps.

These lamps shall be measured with their integral ballasts at 120 volts and 60 Hz.

ENERGY STAR qualified compact fluorescent lamps and lamp systems must comply as applicable with the labeling requirements of the U.S. Federal Trade Commission (16 CFR Part 305.1-.19; more information can be found on this web site:

<http://www.ftc.gov/bcp/edu/pubs/business/energy/bus26.shtm>). The Electromagnetic Interference (EMI) requirements of the U.S. Federal Communications Commission located under 47 CFR including Part 2 (Equipment Authorization) and Part 18 (Technical Standards and Emission Limits) for consumer Radio Frequency (RF) Lighting Equipment.

4A) BARE, COVERED, GLOBE, AND OUTDOOR REFLECTOR CFLS: PHOTOMETRIC TESTING REQUIREMENTS:

Criteria Item	ENERGY STAR Requirements		Sample Size /Specific Requirements	Laboratory Requirement
Lamp Power (Watts) & Configuration¹	Minimum Efficacy: Lumens/watt (Based on initial lumen data ²)		10 units per model – 5 base-up/5 base-down unless the manufacturer restricts specific use or position. If position restricted, manufacturer must test all 10 samples in restricted position. For dimmable/2-way/3-way products, measurements must be made at the highest wattage setting listed for the model.	Must use a laboratory accredited by the National Voluntary Laboratory Accreditation Program (NVLAP) ³
	Efficacy requirements Medium screw-base	Efficacy requirements Candelabra screw-base		
<u>Bare lamp (fixed light output):</u> Lamp power < 10 10 ≤ Lamp power < 15 Lamp power ≥ 15	50 55 65	50 55 NA		
<u>Bare lamp (Dimmable/2-way/3-way):</u> Lamp power < 15 Lamp power ≥ 15	50 60	50 NA		
<u>Covered lamp (no reflector):</u> Lamp power ≤ 7 7 < Lamp power < 15 15 ≤ lamp power < 25 Lamp power ≥ 25	40 45 50 60	35 45 NA NA		
<u>Outdoor Reflectors:</u> Lamp power < 20 Lamp power ≥ 20	33 40	N/A		
Color Rendering Index (CRI)	Average of the 10 samples tested must be greater than 80 , and no more than 3 individual samples can have a CRI less than 77.	Average of the 10 samples tested must be greater than 80 , and no more than 3 individual samples can have a CRI less than 77.		
Correlated Color Temperature (CCT)	PARTNER must identify one of the following designated correlated color temperatures to market their product as: 2700K, 3000K, 3500K, 4100K, 5000K, or 6500K, and at least 9 out of the 10 samples tested must fall within a 7-step ANSI MacAdam ellipse for that color temperature at the 100-hour lumen measurement. Please refer to Section 11 for CCT quality assurance requirements and Appendix C/ANSI Color Ellipses.			
1,000-hour Lumen Maintenance	Average lumen output measurement of the 10 lamps tested must be greater than 90% of initial (100-hour) average lumen output measurement @ 1,000 hours of rated life, and no more than 3 individual samples can have a lumen output measurement less than 85%.			
Lumen Maintenance at 40% of Rated Life	Average lumen output measurement of the 10 samples tested must be greater than 80% of initial (100-hour) average lumen output measurement at 40% of the model's rated life (Per ANSI C78.5, Clause 4.10), and no more than 3 individual samples can have a lumen output less than 75%.			

¹Take performance and electrical requirements at the end of the 100-hour aging period according to ANSI C78.5. The lamp efficacy shall be the average of the lesser of the lumens per watt measured in the base-up and base-down positions or other specified/restricted position. Use wattages placed on packaging to select proper criteria efficacy in this table, not measured wattage.

²Efficacies are based on measured values for lumens and wattages from pertinent test data. Wattages and lumens placed on packages may not be used in calculation and are not governed by this criterion. For multi-level, such as 3-way, or dimmable systems, measurement must be at the highest wattage setting listed for model. Acceptable efficacy, 1,000-hour and lumen maintenance at 40% of rated life average lumen output measurement error is – 3.0%.

³For a list of NVLAP accredited labs, visit <http://ts.nist.gov/Standards/scopes/eelit.htm>.

4B) BARE, COVERED, GLOBE, AND OUTDOOR REFLECTOR CFLS: ELECTRONIC TESTING REQUIREMENTS⁴:

Criteria Item	ENERGY STAR Requirements	Sample Size/Specific Requirements	Laboratory Requirement
Power Factor	Average of 10 samples tested must be greater than 0.5.	10 units per model – 5 base-up/5 base-down unless the manufacturer restricts specific use or position. If position restricted, manufacturer must test all 10 samples in restricted position.	Use NVLAP or A2LA ⁵ accredited labs
Run-up Time: Bare (Non-amalgam)	Average of 10 samples tested must be less than 1.0 minute per ANSI C78.5, clause 3.11 and 4.8.		
Run-up Time: Bare (amalgam), Covered, and Outdoor Reflectors	Average of 10 samples tested must be less than 3.0 minutes per ANSI C78.5, clause 3.11 and 4.8. Partners qualifying bare products must specify if their product contains amalgam during the qualification submission process to be eligible for this requirement.		
Starting Time	Time after switching on until full start (and remain lighted), average of 10 samples shall be less than 1.00 second.		
Transient Protection	Per ANSI/IEEE C62.41 (01-May-1991), Category A, 7 strikes <u>Note:</u> One failure to meet 7 strikes will result in test failure and therefore, failure to meet the criteria.	A minimum of five (5) lamps tested in the <u>base up</u> position unless the product is labeled as a position-restricted by the manufacturer. If position restricted, test lamps in specified position (<i>Must be unique sample for this test only</i>).	Self-certification ⁶
Operating Frequency	≥ 40.0 kHz	1 unit per model	Self-certification
Electromagnetic Interference	Compliance with FCC 47 CFR including Part 2 (<i>Equipment Authorization</i>) and Part 18 (<i>Technical Standards and Emission Limits</i>) for consumer RF Lighting Equipment requirements for consumer limits	1 unit per model	FCC laboratory or manufacturer's laboratory ⁷
Base	Candelabra base – E12 Medium (Edison) screw base - E26	Self-certification ⁶	
Maximum Mercury Content	Lamps less than 25 watts: ≤ 5 milligrams (mg) per lamp Lamps 25 to 40 watts: ≤ 6 milligrams (mg) per lamp <i>Note: Mercury labeling requirements can be found in Part 4C.</i>	Commitment form must be on file with NEMA Voluntary Commitment to Limit Mercury Content in Compact Fluorescent Lights at www.cfl-mercury.org . In addition, the product may not be present on the manufacturer's list of non-conforming products.	

⁴ Input voltage must be 120 V and frequency must be 60 Hz.

⁵ For a list of American Association for Laboratory Accreditation (A2LA), visit <http://www.a2la.org/>.

⁶ Self-certification is a declaration of conformance by the manufacturer to the requirement. For self-certification where data are required (sample size is specified in the requirement), the manufacturer may use data obtained directly from the manufacturer's own facilities that are neither NVLAP nor A2LA accredited.

⁷ Laboratory must be listed on FCC Office of Engineering & Technology web site, and with either NVLAP or A2LA accreditation.

4C) BARE, COVERED, GLOBE, AND OUTDOOR REFLECTOR CFLS: LIFETIME PERFORMANCE TESTING AND PACKAGING REQUIREMENTS:

Criteria Item and Submission	ENERGY STAR Requirements	Sample Size/Specific Requirements	Laboratory Requirement
Interim Life Test	@ 40% of rated life report on lamp life: <ul style="list-style-type: none"> o One sample failure, acceptable; o Two sample failures, requires submission of a product failure report from the manufacturer that describes in detail the specific reasons for the sample product failures. o Three sample failures, does not qualify 	10 units per model, 5 base-up/ 5 base-down, unless specific use or position appears on packaging. <i>Interim and final average rated lifetime tests must use the same samples.</i>	NVLAP, A2LA, or ISO9000 certified laboratories or facilities
Average Rated Lamp Life (Final qualification) <i>PARTNER must complete lifetime test to stated rated lamp life on packaging</i>	≥ 6,000 hours as declared by the manufacturer on submitted packaging and qualification form ≥ 8,000 hours as declared by the manufacturer on submitted packaging and qualification form for all bare medium screw base compact fluorescent lamps (will go into effect 365 days after the effective date of these criteria).		
Rapid Cycle Stress Test	Per ANSI C78.5 and IESNA LM-65 (clauses 2,3,5, and 6) <u>Exception:</u> Cycle times must be 5 minutes on, 5 minutes off. Lamp will be cycled once for every two hours of rated lamp life. At least 5 out of the 6 sample lamps <u>must meet or exceed</u> the minimum number of cycles.	6 units, base up or down as stated by manufacturer. <i>Must be unique sample for this test.</i>	NVLAP, A2LA, or ISO9000 certified laboratories or facilities
End of Life Protection	<i>Specific new EOLL testing requirements are currently under consideration for inclusion in the UL safety standard for SB CFLs (UL 1993). DOE will require all Energy Star CFLs to meet these EOLL requirements under the time frame specified by UL as this standard is amended by UL.</i>	<i>To be determined</i>	<i>To be determined</i>
Warranty	Product packaging must state "Warranty" or "Limited Warranty" and have an "800" number, or mailing address, or web site address (<i>if applicable</i>) for consumer complaint resolution. For Residential Applications: Warranty or limited warranty statement must cover at least a minimum of 24 months, or 2 years , from date of purchase based on no less than 3 hour per day of use (follow the chart below). For Commercial Applications: Warranty or limited warranty statement must cover at least a minimum of 12 months, or 1 year , from date of purchase.	Product Packaging: Must submit electronic draft or hard-copy draft of specific CFL model. Packaging must include the following information: - Model number - Wattage - Lumen output (must be 100 hour average) - Average rated lifetime - Correlated color temperature - Warranty (based on application type and standard average hours/day) - 800 number, or address, or web address - Equivalency to incandescent (if required) - Starting temperature - Electromagnetic interference - Known incompatibility with controls and application exceptions - Mercury Labeling	Self-certification
Product Packaging Language	In English, or English with additional languages. For products that will be sold in Canada, packaging must include both English & French.		
FTC Labeling Requirements	ENERGY STAR qualified compact fluorescent lamps and lamp systems must comply with the labeling requirements of the U.S. Federal Trade Commission Packaging Laws - FTC 16CFR Part 305.1-.19 ⁸ .		
Starting Temperature	Package <u>must</u> state the minimum starting temperatures or geographical zone of use and any other conditions for reliable starting to meet the starting time requirements of ANSI C78.5, Clause 4.7.		
Incompatibility with Controls and Application Exceptions	Lamp package <u>must clearly state</u> any known incompatibility with photo controls, dimmers or timing devices. In addition, packaging should state specific applications exceptions. (e.g., applications that the CFL should not be used in).		

⁸ For information on how CFLs must comply with the FTC's Appliance labeling act, visit <http://www.ftc.gov/bcp/edu/pubs/business/energy/bus26.shtm>

Criteria Item and Submission	ENERGY STAR Requirements	Sample Size/Specific Requirements	Laboratory Requirement
Mercury Labeling	<p>Required product packaging language for mercury content must include the following:</p> <ul style="list-style-type: none"> the symbol "Hg" within a circle "Lamp Contains Mercury" www.epa.gov/bulbrecycling <p>Alternatively, www.lamprecycle.org may be printed in place of www.epa.gov/bulbrecycling, so long as a prominent hyperlink to the EPA's web site is maintained on the alternate's home page.</p>		
CFL/Incandescent Equivalency⁹	<p>PARTNER must use the chart below to declare an incandescent equivalency based on the initial average 100-hour lumen output measurement. If the luminous flux falls outside of the specified range, either do not display an incandescent equivalent or display the lower incandescent wattage equivalence. <i>If displaying an incandescent equivalent for Globe, Decorative, or reflector CFL product, the initial luminous flux for both the CFL and the appropriate incandescent bulb must be displayed side by side in a comparison panel, along with the wattage ratings for both CFL incandescent.</i></p>	Average of data used from 100-hour lumen output measurement	NVLAP only

ENERGY STAR Qualified CFL Warranty and Lifetime Statements Chart <i>Residential Use Only</i>	
ENERGY STAR Qualified CFL Rated Lifetime	Number of Years Claim <i>(Based on minimum use of 3 hours/day)</i>
6,000 hours	5 years
8,000 hours	7 years
10,000 hours	9 years
12,000 hours	11 years
15,000 hours	13 years

ENERGY STAR QUALIFIED CFL/INCANDESCENT EQUIVALENCY CHART	
A-Shaped Incandescent bulb (Watts)	Typical Luminous Flux (Lumens) [†] <i>† Lumens must be 100 hr, initial values for CFLs</i>
	<i>Note: excludes globes, reflectors, or decorative CFLs. Lumens for 3-way lamps correspond to maximum equivalency shown.</i>
25	Minimum of 250
40	Minimum of 450
60	Minimum of 800
75	Minimum of 1,100
100	Minimum of 1,600
125	Minimum of 2,000
150	Minimum of 2,600
30-70-100	Minimum of 1,200
50-100-150	Minimum of 2,150

⁹ If displaying an incandescent equivalence for commonly used A-shaped bulbs (for all bare type models and covered type models that replace an A-shaped incandescent bulb), the CFL initial 100-hour average luminous flux or lumen output must meet or exceed the levels in the table. The table shows typical luminous flux for A-shaped, soft white, incandescent bulbs. Based on research conducted by NLRPIIP (<http://www.lrc.rpi.edu/programs/NLRPIIP/index.asp>) luminous flux varies considerably among bulbs. The table is intended to aid in consumer choice and in no way supercedes or replaces any requirement for product performance contained in this specification.

5A) REFLECTOR CFLS FOR RECESSED DOWNLIGHTS/INDOOR USE: PHOTOMETRIC TESTING REQUIREMENTS:

Criteria Item and Submission	ENERGY STAR Requirements	Sample Size/Specific Requirements	Laboratory Requirement
Lamp Power (Watts) & Configuration¹⁰ Reflectors: Lamp power < 20 Lamp power ≥ 20	Minimum Efficacy: Lumens/watt (Based upon initial lumen data ¹¹) 33 40	10 units per model, all base-up position. For dimmable products, measurements must be made at the highest wattage setting listed for the model.	Use NVLAP accredited laboratory
Correlated Color Temperature (CCT)	Manufacturer must identify one of the following designated correlated color temperatures to market their product as: 2700K, 3000K, 3500K, 4100K, 5000K, or 6500K, and at least 9 out of the 10 samples tested must fall within a 7-step ANSI Mac Adam ellipse for that color temperature at the 100 hour lumen measurement. Please refer to Section 11 for CCT quality assurance requirements and Appendix C/ANSI Color Ellipses.		
Color Rendering (CRI)	Average of the 10 samples tested must be greater than 80, and no more than 3 individual samples can have a CRI less than 77.		
Initial Elevated Temperature Light Output Ratio	Product will meet the minimum requirement of maintaining 90% of initial rated light output. <i>The test must be performed according to the Initial Elevated Temperature Light Output Ratio test procedure, as described within Appendix B.</i>	1 unit per model, base-up position.	Self-certification
Elevated Temperature 1,000-hour Lumen Maintenance	Average lumen output measurement of the 10 lamps tested must be greater than 90% of initial (100-hour) lumen output measurement at 1,000 hours of life, and no more than 3 individual samples can have a lumen output measurement less than 85%. <i>Samples must be tested according to Option A or Option B Elevated Temperature Life Testing procedure, as described within Appendix B.</i>	10 units per model, all base-up position.	To be determined.
Elevated Temperature Lumen Maintenance at 40% of Rated Life	Average lumen output of the 10 samples tested must be greater than 80% of initial (100-hour) lumen output measurement at 40% of model's rated life (Per ANSI C78.5, Clause 4.10), and no more than 3 individual samples can have a lumen output less than 75%. <i>Samples must be tested according to Option A or Option B Elevated Temperature Life Testing procedure, as described within Appendix B.</i>	10 units per model, all base-up position.	To be determined.

¹⁰ Take performance and electrical requirements at the end of the 100-hour aging period according to ANSI C78.5. The lamp efficacy shall be the average of the lesser of the lumens per watt measured in the base-up and base-down positions or other specified/restricted position. Use wattages placed on packaging to select proper criteria efficacy in this table, not measured wattage.

¹¹ Efficacies are based on measured values for lumens and wattages from pertinent test data. Wattages and lumens placed on packages may not be used in calculation and are not governed by this criterion. For multi-level products, such as 3-way, or dimmable systems, measurement must be at the highest wattage setting listed for model. Acceptable efficacy, 1,000-hour and lumen maintenance at 40% of rated life average lumen output measurement error is – 3.0%.

5B) REFLECTOR CFLS FOR RECESSED DOWNLIGHTS/INDOOR USE: ELECTRONIC TESTING REQUIREMENTS¹²:

Criteria Item and Submission	ENERGY STAR Requirements	Sample Size/Specific Requirements	Laboratory Requirement
Power Factor	Average of 10 samples tested must be greater than 0.5.	10 units per model, all base-up position.	Use NVLAP or A2LA accredited laboratories
Run-up Time	Average of 10 samples tested must be less than 3.0 minutes per ANSI C78.5, clause 3.11 and 4.8.		
Starting Time	Time after switching on until full start (and remain lighted), average of 10 samples shall be less than 1.00 second.		
Transient Protection	Per ANSI/IEEE C62.41 (01-May-1991), Category A, 7 strikes <i>Note:</i> One failure to meet 7 strikes will result in test failure and therefore, failure to meet the criteria.	A minimum of five (5) lamps tested in the base up position unless the product is labeled as a position-restricted by the manufacturer. If position restricted, test lamps in specified position <i>Must be unique sample for this test only</i> .	Self-certification ¹³
Operating Frequency	≥ 40.0 kHz	1 unit per model	Self-certification
Electromagnetic Interference	Compliance with FCC 47 CFR including Part 2 (<i>Equipment Authorization</i>) and Part 18 (<i>Technical Standards and Emission Limits</i>) for consumer RF Lighting Equipment requirements for consumer limits	1 unit per model	FCC laboratory or manufacturer's laboratory ¹⁴
Base	Medium (Edison) screw base - E26	Self-certification	
Maximum Mercury Content	Lamps less than 25 watts: ≤ 5 milligrams (mg) per lamp Lamps 25 to 40 watts: ≤ 6 milligrams (mg) per lamp <i>Note: Mercury labeling requirements can be found in Part 5C.</i>	Commitment form must be on file with NEMA Voluntary Commitment to Limit Mercury Content in Compact Fluorescent Lights at www.cfl-mercury.org . In addition, the product may not be present on the manufacturer's list of non-conforming products.	

¹² Input voltage must be 120 V and frequency must be 60 Hz.

¹³ Self-certification is a declaration of conformance by the manufacturer to the requirement. For self-certification where data are required (sample size is specified in the requirement), the manufacturer may use data obtained directly from the manufacturer's own facilities that are neither NVLAP nor A2LA accredited.

¹⁴ Laboratory must be listed on FCC Office of Engineering & Technology web site, and with either NVLAP or A2LA accreditation.

5C) REFLECTOR CFLS FOR RECESSED DOWNLIGHTS/INDOOR USE: LIFETIME PERFORMANCE TESTING AND PACKAGING REQUIREMENTS:

Criteria Item and Submission	ENERGY STAR Requirements	Sample Size/Specific Requirements	Laboratory Requirement
Maximum Ambient Temperature Rating for Reflectors	Maximum temperature rating of at least 50° C for which the warranty is valid.		Self-certification
Rapid Cycle Stress Test	Per ANSI C78.5 and IESNA LM-65 (clauses 2,3,5, and 6) <u>Exception:</u> Cycle times must be 5 minutes on, 5 minutes off. Lamp will be cycled once for every two hours of rated lamp life. At least 5 out of the 6 sample lamps <u>must meet or exceed</u> the minimum number of cycles.	6 units, base up or down as stated by manufacturer. <i>Must be unique sample for this test.</i>	NVLAP, A2LA, or ISO9000 certified laboratories or facilities
Elevated Temperature Interim Life Test	@ 40% of rated life report on lamp life: <ul style="list-style-type: none">o One sample failure, acceptable;o Two sample failures, requires submission of a product failure report from the manufacturer that describes in detail the specific reasons for sample product failures.o Three sample failures, does not qualify <i>Samples must be tested at in one of the Elevated Temperature Test apparatus, as described within Appendix B.</i>	10 units per model, all base-up position.	To be determined
Elevated Temperature Life Testing (Final qualification) <i>PARTNER must complete lifetime test to stated rated lamp life on packaging</i>	≥ 6,000 hours as declared by the manufacturer on submitted packaging and qualification form for medium based reflectors for recessed downlights or indoor use. <i>Must follow the testing procedures, as described within Appendix B.</i>	10 units per model, all base-up position.	To be determined
End of Life Protection	<i>Specific new EOLL testing requirements are currently under consideration for inclusion in the UL safety standard for SB CFLs (UL1993). DOE will require all Energy Star CFLs to meet these EOLL requirements under the time frame specified by UL as this standard is amended by UL.</i>	<i>To be determined</i>	<i>To be determined</i>
Warranty	Product packaging must state “Warranty” or “Limited Warranty” and have an “800” number, or mailing address, or web site address (<i>if applicable</i>) for consumer complaint resolution. <u>For Residential Applications:</u> Warranty or limited warranty statement must cover at least a minimum of 24 months, or 2 years , from date of purchase based on no less than 3 hour per day of use (follow the chart below). <u>For Commercial Applications:</u> Warranty or limited warranty statement must cover at least a minimum of 12 months, or 1 year , from date of purchase.	Product Packaging: Must submit electronic draft or hard-copy draft of specific CFL model. Packaging must include the following information: <ul style="list-style-type: none">- Model number- Wattage- Lumen output (<i>must be 100 hour average</i>)- Average rated lifetime- Correlated color temperature- Warranty (<i>based on application type and standard average hours/day</i>)- 800 number, or address, or web address- Equivalency to incandescent (<i>if applicable</i>)- Starting temperature- Electromagnetic interference- Known incompatibility with controls and application	Self-certification
Product Packaging Language	In English, or English with additional languages. For products that will be sold in Canada, packaging must include both English and French.		
FTC Labeling Requirements	ENERGY STAR qualified compact fluorescent lamps and lamp systems must comply with the labeling requirements of the U.S. Federal Trade Commission Packaging Laws - FTC 16CFR Part 305.1-.19.		

Criteria Item and Submission	ENERGY STAR Requirements	Sample Size/Specific Requirements	Laboratory Requirement
Starting Temperature	Package <u>must</u> state the minimum starting temperatures or geographical zone of use and any other conditions for reliable starting to meet the starting time requirements of ANSI C78.5, Clause 4.7.	<i>exceptions (e.g., outdoor reflectors)</i> - Mercury Labeling	
Incompatibility with Controls and Application Exceptions	Lamp package <u>must clearly state</u> any known incompatibility with photo controls, dimmers or timing devices. In addition, packaging should state specific applications exceptions. (e.g., applications that the CFL should not be used in).		
Mercury Labeling	Required product packaging language for mercury content must include the following: <ul style="list-style-type: none"> • the symbol "Hg" within a circle • "Lamp Contains Mercury" • www.epa.gov/bulbrecycling Alternatively, www.lamprecycle.org may be printed in place of www.epa.gov/bulbrecycling , so long as a prominent hyperlink to the EPA's web site is maintained on the alternate's home page.		

6) **CERTIFICATION:** Manufacturers shall certify that ENERGY STAR qualified compact fluorescent lamps sold using the ENERGY STAR certification mark have:

1. Been tested by a third party and listed to UL Standard 1993 for Self-Ballasted Lamps and Lamp Adapters by a Nationally Recognized Testing Laboratory (NRTL) accredited by the Occupational, Safety, and Health Administration (OSHA).
2. Met the manufacturers' declared performance and use criteria that are found on the packaging.
3. Met or exceeded the minimum performance requirements contained in these ENERGY STAR Criteria for the characteristics shown above.

7) **QUALIFICATION FOR BARE, GLOBE, COVERED, OR OUTDOOR REFLECTOR PRODUCTS:** PARTNERS can submit their bare or covered CFLs for ENERGY STAR qualification by the following the 2-step procedure below:

A. STEP 1: Initial Qualification

PARTNER must submit a report that includes the following **completed** tests (see below) from either their properly accredited laboratory or properly accredited third-party testing facility, which must certify to the authenticity and integrity of the test data. In addition, PARTNER must complete PAGE 1 and the accredited laboratory must complete PAGE 2 of the ENERGY STAR CFL Qualification Form and submit it with the packaging proofs and a product image or photo. A product photo will be required for qualification to assist in identifying the current version of the qualified product. This will also provide identification of the correct product for the CFL Third Party Testing and Verification Program. The test reports must indicate that the model meets all initial requirements. Incomplete test reports, product packaging, or qualification forms will not be accepted or processed for ENERGY STAR qualification. PARTNERS must complete the following tests before they will be considered for INITIAL ENERGY STAR qualification:

Bare, Covered, and Outdoor Reflector Products:

- Base
- Efficacy (based on the average 100-hour lumen output measurement)
- Rapid Cycle Stress Test
- 1,000-hour lumen maintenance
- Color Rendering (CRI)
- Correlated Color Temperature (CCT) at 100 hours
 - Chromaticity measurements for each sample
 - Submission of ANSI Color Ellipse graph (optional – see Appendix C)
- Power Factor
- Run-up Time
- Starting Time
- Transient Protection

- Operating Frequency
- Electromagnetic Interference
- Mercury (Hg)¹⁵
- Lumen Maintenance at 40% of rated life
- Interim Life Time Test at 40% of rated life
- *End of Life Protection (TBD)*
- **Packaging Review:** All PARTNERS who are qualifying a CFL must submit electronic or hard copy labeling and packaging samples for the specific CFL model. Packaging must meet all of the requirements that are identified under the Lifetime Performance and Packaging Requirements. Failure to meet the packaging requirements will delay the qualification process and the CFL model in question will not be qualified until all packaging requirements are met. The specific qualified model must be distributed within this approved product packaging. If products are found being sold or distributed in alternative non-approved packaging, that model will be immediately disqualified from the ENERGY STAR program for failure to meet the criteria. If a PARTNER has multiple cases where products are being sold in unapproved packaging, this may cause their ENERGY STAR Partnership Agreement to be terminated.

Products that meet the above requirements will be considered initially qualified for ENERGY STAR and the PARTNER will receive correspondence (via e-mail or letter) stating the product has met all necessary **initial** requirements and can begin to market the CFL model as ENERGY STAR by using the certification mark on the product packaging, and identifying the product within marketing materials, and the company's Web site.

B. STEP 2: Full Qualification for Bare, Covered, or Outdoor Reflector Products:

PARTNERS will be given a due date in their initial qualification correspondence to submit the **final average rated life time** test report to complete their ENERGY STAR CFL qualification process and fulfill the Full Qualification requirements. This due date will be based on the date the average rated lifetime test began and the rated lifetime of the CFL, which was recorded on the ENERGY STAR Qualification Form. Failure to submit this final test report within 60 days of completion of the test will result in an immediate disqualification of the model. After the final test report review, if a product does not meet the recorded average rated lifetime, then the disqualification process will be put into effect (see Sections 12 and 13).

Once a model has reached full qualification, it must be requalified every **36 months** to ensure ongoing design or manufacturing changes maintain overall performance against the program requirements. See Section 14 for more information on the **ENERGY STAR CFL REQUALIFICATION PROCEDURE**.

C. Upgrading the Lifetime of a Previously Qualified Product:

Once a product has been qualified under the procedures above, ENERGY STAR PARTNERS may increase the lifetime of a product only by demonstrating full compliance with the ENERGY STAR criteria at the new lifetime. Specifically, to increase the lifetime of a bare, covered, or outdoor reflector product, PARTNER must submit a report that includes the following **completed** tests from either their properly accredited laboratory or properly accredited third-party testing facility, which must certify to the authenticity and integrity of the test data:

- Rapid Cycle Stress Test as required at new lifetime
- Lumen Maintenance at 40% of new rated lifetime
- Interim Life Test at 40% of new rated lifetime
- Average Rated Lifetime Test at new lifetime

In addition, PARTNERS must complete PAGE 1 and submit it with the packaging proofs, which will be subject to the same review as in the initial qualification process. The accredited laboratory must complete PAGE 2 of the ENERGY STAR CFL Qualification Form and submit it with the test report. If PARTNER plans to initially qualify a product at 6000 hours, then later upgrade the lifetime, it is suggested that initial Rapid Cycle Stress Test be completed in anticipation of final product lifetime.

- 8) **QUALIFICATION FOR REFLECTOR CFLS FOR RECESSED DOWNLIGHTS/INDOOR USE:** PARTNERS can submit their reflector CFL for ENERGY STAR qualification by the following 2-step procedure:

A. STEP 1: Initial Qualification

PARTNER can submit their reflector CFL for ENERGY STAR qualification by submitting a report that includes the following **completed** tests (see below) from either their properly accredited laboratory or properly accredited third-

¹⁵ As noted in table 4B above, Partner's commitment form must be on file with NEMA Voluntary Industry Commitment to Limit Mercury Content in Self-Ballasted CFLs Sold in the U.S. at www.cfl-mercury.org. In addition, the product may not be present on the manufacturer's list of non-conforming products.

party testing facility, which must certify to the authenticity and integrity of the test data. In addition, PARTNERS must complete PAGE 1 and the accredited laboratory must complete PAGE 2 of the ENERGY STAR CFL Qualification Form and submit it with the packaging proofs and a product image or photo. A product photo will be required for qualification to assist in identifying the current version of the qualified product. This will also provide identification of the correct product for the CFL Third Party Testing and Verification Program. The test reports must indicate that the model meets all initial requirements. Incomplete test reports, product packaging, or qualification forms will not be accepted or processed for ENERGY STAR qualification. PARTNER must complete the following tests before they will be considered for INITIAL ENERGY STAR qualification:

- Base
- Efficacy (based on the average 100-hour lumen output measurement)
- Rapid Cycle Stress Test
- Initial Elevated Temperature Light Output Ratio
- Elevated Temperature 1,000 hour Lumen Maintenance
- Elevated Temperature Lumen Maintenance at 40% of rated lifetime
- Elevated Temperature Interim Life Test at 40% of Rated Lifetime
- Power Factor
- Run-up Time
- Starting Time
- Correlated Color Temperature (CCT) at 100 hours
 - Chromaticity measurements for each sample
 - Submission of ANSI Color Ellipse graph (optional – see Appendix C)
- Color Rendering Index (CRI)
- Transient Protection
- Operating Frequency
- Electromagnetic Interference
- Mercury (Hg)¹⁶
- *End of Life Protection (TBD)*
- Packaging Review: All PARTNERS who are qualifying a CFL must submit electronic or hard copy labeling and packaging samples for the specific CFL model. Packaging must meet all of the requirements that are identified under the Lifetime Performance and Packaging Requirements. Failure to meet the packaging requirements will delay the qualification process and the CFL model in question will not be qualified until all packaging requirements are met. The specific qualified model must be distributed within this approved product packaging. If products are found being sold or distributed in alternative non-approved packaging, that model will be immediately disqualified from the ENERGY STAR program for failure to meet the criteria. If a PARTNER has multiple cases where products are being sold in unapproved packaging, this may cause their ENERGY STAR Partnership Agreement to be terminated.

Products that meet the above requirements will be considered initially qualified for ENERGY STAR and the PARTNER will receive correspondence (via e-mail or letter) stating the product has met all necessary **initial** requirements and can begin to market the CFL model as ENERGY STAR by using the certification mark on the product packaging, and identifying the product in marketing materials, and Web site.

B. STEP 2: Full Qualification For Reflector CFLs for Recessed Downlights/Indoor Use:

Manufacturers will be given a due date in their initial qualification correspondence to submit the **elevated temperature life testing test report** to complete their ENERGY STAR CFL qualification process and fulfill the Full Qualification requirements. This due date will be based on the date the average rated lifetime test began and the rated lifetime of the CFL. Failure to submit this final test report within 60 days of completion of the test will result in an immediate disqualification of the model. After the final test report review, if a product does not meet the recorded average rated lifetime, then the disqualification process will be put into effect (see Sections 12 and 13).

Once a model has reached full qualification, it must be requalified every **36 months** to ensure ongoing design or manufacturing changes maintain overall performance against the program requirements. See Section 14 for more information on the **ENERGY STAR CFL Requalification Procedure**.

C. Upgrading the Lifetime of a Previously Qualified Product:

Once a product has been qualified under the procedures above, ENERGY STAR PARTNERS may increase the lifetime of a product only by demonstrating full compliance with the ENERGY STAR criteria at the new lifetime. Specifically, to increase the lifetime for a reflector CFL for recessed downlights/indoor use, PARTNER must submit

¹⁶ As noted in table 5B above, Partner's commitment form must be on file with NEMA Voluntary Industry Commitment to Limit Mercury Content in Self-Ballasted CFLs Sold in the U.S. at www.cfl-mercury.org. In addition, the product may not be present on the manufacturer's list of non-conforming products.

a report that includes the following **completed** tests from either their properly accredited laboratory or properly accredited third-party testing facility, which must certify to the authenticity and integrity of the test data:

- Rapid Cycle Stress Test as required at new lifetime
- Elevated Temperature Lumen Maintenance at 40% of new rated lifetime
- Elevated Temperature Interim Life Test at 40% of new rated lifetime
- Elevated Temperature Average Rated Lifetime Test at new lifetime

In addition, PARTNERS must complete PAGE 1 and submit it with the packaging proofs, which will be subject to the same review as in the initial qualification process. The accredited laboratory must complete PAGE 2 of the ENERGY STAR CFL Qualification Form and submit it with the test report. If PARTNER plans to initially qualify a product at 6000 hours, then later upgrade the lifetime, it is suggested that initial Rapid Cycle Stress Test be completed in anticipation of final product lifetime.

9) PRIVATE LABELING PRODUCTS: ENERGY STAR PARTNERS may purchase existing qualified CFL products and submit them for ENERGY STAR qualification by completing and submitting a Private Labeler Qualification Form (*available from your ENERGY STAR CFL Account Manager*) and product packaging draft for review and approval. Once the private labeler form and product packaging have been reviewed and accepted, the private labeling PARTNER will receive correspondence from ENERGY STAR stating that the model will be added to the CFL qualified product list and can begin to use the ENERGY STAR certification mark on its packaging and marketed as an ENERGY STAR qualified product.

A. Packaging for Private Labeled CFLs: PARTNERS must submit packaging proofs for each private labeled CFL. Packaging must identify the exact information (wattage, lumen output, rated lifetime, equivalency, etc.) their supplier has submitted to ENERGY STAR, since the products are exactly the same. If packaging is submitted with incorrect information, the model will not be qualified as ENERGY STAR until the correct packaging is submitted.

B. Changing of Qualified CFL Supplier: PARTNERS are required to inform ENERGY STAR within 30 days of changing their supplier of one or more of their private labeled CFLs. PARTNERS must submit a new Private Labeler Form and new product packaging for each product to reflect the updated information.

NOTE: The private labeled products, or products with different model or product numbers, fall under the same quality assurance and disqualification protocol as the originally tested model. Therefore, if the original qualified model is disqualified from the ENERGY STAR program, the corresponding private labeled model(s) will also be disqualified from the ENERGY STAR program.

10) COMMERCIAL PACKAGING OF PRODUCTS: ENERGY STAR qualified CFL products that will be bulk packaged for retail or commercial sales must submit a package proof for the container that the qualified products will be shipped in and that clearly displays all of the required criteria to fulfill the packaging requirements for ENERGY STAR.

NOTE: Those PARTNERS found distributing qualified CFL products in unidentified packaging or white boxes will be contacted immediately and may have that specific model disqualified from the program.

Once all requirements have been met for packaging, identified in Tables 4C and 5C, ENERGY STAR will add the new private labeled CFLs to the ENERGY STAR qualified lists and searches. All labeling must be in accordance with ENERGY STAR Identity Guidelines found in the Partnership Agreement/Program Requirements and FTC's Appliance Labeling Act regulations. Packaging and promotional materials using the certification mark should be submitted to your ENERGY STAR CFL Account Manager for final review and approval.

11) QUALITY ASSURANCE: Original Equipment Manufacturers (OEM) PARTNERS will be required to provide documentation that describes the measures they are taking to assure their ENERGY STAR qualified CFLs and those products they sell to private labelers meet program and criteria requirements.

A. Manufacturing Quality Control Documentation: DOE will accept any of the following industry quality control processes:

- Adherence to the International Standards Organization (ISO) 9000 family of international quality management standards and guidelines, used as the basis for establishing quality management systems.
- Employment of the Six Sigma methodology to measure and improve a company's operational performance, practices and systems; or an equally recognized industry process.
- Other quality control systems or formats that are accepted industry standards.

B. Color Consistency: The following quality requirements must be met during the production runs of each lamp

model:

1. The lamp manufacturer is required to maintain color control such that a **minimum of 90 percent** of the ongoing production (*as represented by samples tested from each production shift for the same color and when typically evaluated over 12 month period*) will fall within the seven-step MacAdam color ellipse associated with the designated (manufacturer declared) target color.
2. For the purposes of meeting color control, the lamp manufacturer must maintain testing equipment calibrated to international practices and standards and must compile the ongoing color control data in a manner so that it can be easily reviewed upon DOE request.
3. At a minimum, the manufacturer's color quality control program must maintain the following information for a 3-year period:
 - a. Test dates and sample size (minimum of two lamps per production shift)
 - b. Test results (x,y) for each sample lamp measured
 - c. Test results (all x,y data) for sample lamps plotted graphically against the designated seven-step color MacAdam ellipse and available for review at least on a quarterly basis (*See Appendix C*)
 - d. Records to substantiate that 90 percent of the (x,y) data points fall within the applicable seven-step MacAdam ellipse. Manufacturers are encouraged to exceed this target.

12) INDEPENDENT ENERGY STAR CFL THIRD PARTY TESTING AND VERIFICATION PROGRAM: Manufacturer, distributor, and retailer PARTNERS who are active members of the ENERGY STAR CFL program must participate in the ongoing, CFL Third Party Testing and Verification Program, which uses independent, third-party, NVLAP accredited facilities. This third-party testing program is necessary to provide an active system to verify quality of ENERGY STAR qualified CFL products in the marketplace. This program will conduct random off-the-shelf testing of ENERGY STAR qualified CFLs and provide the results to the PARTNER.

- A. An **independent program** has been selected as the means for third party testing for several fundamental reasons, including:
 - It will allow for fair and open assessment of third party test data for the U.S. Department of Energy.
 - It will serve as an effective firewall for proprietary data sent to the U.S. Department of Energy.
- B. The **goals** of the Third Party Testing and Verification Program are to:
 - Develop a CFL testing program that will aid DOE in maintaining quality control of its ENERGY STAR CFL Program;
 - Develop a mechanism providing added assurance to ENERGY STAR PARTNERS that sponsor CFL Programs and to manufacturer competitors alike that qualified products do in fact meet the ENERGY STAR criteria;
 - Provide a basis upon which the DOE can reasonably make decisions on disqualifying products not exhibiting the necessary qualifications to keep its ENERGY STAR qualification status; and
 - Maintain the precepts of the ENERGY STAR Program, the highest of which is that the consumer receives superior products that perform as advertised.
- C. **Third Party Testing and Verification Program** will be managed using funds derived from a percentage of testing fees and will have **product selection** and **technical and research working groups**. These working groups shall be representative of both manufacturer and non-manufacturer stakeholders.
 1. **Product Selection Working Group:** The Product Selection Working Group will oversee the final product selection process for each testing cycle.

The Product Selection Working Group will be comprised of **five representatives** – two members from industry (ENERGY STAR CFL manufacturers, retailers, or distributors), two members from an ENERGY STAR state, utility, or energy efficiency program sponsor partners and DOE, which will serve as the committee chair. The Third Party Testing Program Administrator will assist the committee.

To be eligible to serve on the Product Selection Working Group, candidates must be recommended or nominated by a current ENERGY STAR partner (which includes manufacturers, retailers, utilities, states, or energy efficiency program sponsors). The main criteria for membership on the product selection working group will be an unbiased view of the existing CFL marketplace, knowledge of current lighting market trends and consumer practices, and a demonstrated ability and desire to contribute to improving the overall quality of ENERGY STAR qualified CFLs. DOE will review nominations and select the candidates to serve on the working group. Once the working group has been established, the members will serve for a period

of two years. Working Group members can be re-nominated to serve another two years once their term is completed.

2. **Technical and Research Working Group:** The Technical and Research Working Group will monitor technical and scientific developments involving lighting industry specifications, regulations, and testing processes. The working group's responsibilities include identifying new or updated product test procedures to incorporate into the program, evaluating testing uncertainties and data anomalies, identifying and recommending testing tolerance levels, and developing management protocols to address these topics. The working group will provide technical expertise to DOE and the Third Party Testing Program Administrator.

The membership of the Technical and Research Working Group will consist of CFL manufacturers, accredited testing laboratories, ENERGY STAR state, utility, and energy efficiency program sponsor partners. DOE will select a Technical and Research Chair from the initial group. The Third Party Testing Administrator will assist the working group. This working group has no limit on the number of participating members.

To be eligible to serve on the Technical and Research Working Group, candidates must have experience or be able to demonstrate their proficiency in CFL design, measurement testing, or statistics, along with a demonstrated ability and desire to contribute to improving the overall quality of ENERGY STAR qualified CFLs. A technical and research working group participation form will be developed and distributed to all ENERGY STAR CFL program partners once the criteria is finalized. Once the Technical and Research Working Group has been established, the members will serve for a period of two years and are eligible to renew their membership after the two years is complete.

- D. **Third Party Tests and Verification to be conducted:** All tests or verification listed below will be conducted as per the qualification stipulations of the current ENERGY STAR criteria for CFLs. These tests will form the basis for product qualification verification:

1. **Bare, Covered, and Outdoor Reflector Products:**

- Base
- Efficacy
- Rapid Cycle Stress Test
- Correlated Color Temperature (CCT)
 - Chromaticity measurements for each sample
 - Submission of ANSI Color Ellipse graph (optional)
- Color Rendering Index (CRI)
- Run-up Time
- Starting Time
- 1,000 Hour Lumen Maintenance
- Lumen Maintenance at 40% of rated lifetime
- Interim Life Test at 40% of rated lifetime
- Power Factor
- *End of Life Protection (TBD)*

2. **Reflector Products for Recessed Downlights/Indoor Use:**

- Base
- Efficacy
- Rapid Cycle Stress Test
- Correlated Color Temperature (CCT)
 - Chromaticity measurements for each sample
 - Submission of ANSI Color Ellipse graph (optional)
- Color Rendering Index (CRI)
- Run-up Time
- Starting Time
- Initial Elevated Temperature Light Output
- Elevated Temperature 1,000 hour Lumen Maintenance
- Elevated Temperature Lumen Maintenance at 40% of Rated Lifetime
- Elevated Interim Life Test at 40% of Rated Lifetime
- Power Factor
- *End of Life Protection (TBD)*

E. Product Nomination, Selection and Procurement Process: The timing of the nomination and testing cycles will be scheduled around the normal ENERGY STAR lighting market transformation activities (e.g., Change A Light Campaign) to provide ample time for product appeals, discontinuations, or disqualifications. The product nomination and selection timetable and process will begin after the criteria are finalized. The schedule below is an example and subject to change based on effective date of the criteria:

1 st Cycle Distribution of Nomination Forms:	March 15
1 st Cycle Random Product Generation:	March 20
1 st Cycle of Product Nomination Due:	April 15
1 st Cycle Review of Product Nominations (with randomly selected products):	April 28
1 st Cycle Final List of Products:	May 15
1 st Cycle Product Procurement:	May 10-June 30
1 st Cycle Product Testing Begins:	July 1
2 nd Cycle Distribution of Nomination Forms:	September 15
2 nd Cycle Random Product Generation:	September 20
2 nd Cycle of Product Nomination Due:	October 15
2 nd Cycle Review of Product Nominations (with randomly selected products):	November 1
2 nd Cycle Final List of Products:	November 15
2 nd Cycle Product Procurement:	November 15-Jan 31
2 nd Cycle Product Testing Begins:	February 1

F. Product Nominations:

1. Products will be selected for third party testing on both a random and nomination selection basis. The program will target to test 20% of the total number of current qualified bulbs during a calendar year; half of the products will be selected via a random generator, the other half will be selected by DOE and participating ENERGY STAR partners (utilities, manufacturers, states, efficiency program sponsors, or other government entities (e.g., Natural Resources Canada)).
2. The product testing pool will be comprised of all distinct ENERGY STAR qualified CFLs models (technical designs).
3. A maximum of six models per CFL PARTNER may be tested within the fiscal year (two-cycle timeframe).
4. Qualified CFL products that are within six months of its requalification date will be excluded from an upcoming testing cycle.
5. Following the suggested schedule timeline, the Third Party Testing Program Administrator will send all PARTNERS a nomination form to complete. The parties who wish to nominate products will be required to submit their nominations electronically by the specified deadline to the Third Party Testing Program Administrator.
6. During the 30-day product nomination timeframe, the Third Party Testing Program Administrator will generate a list of qualified products through the random generator. This initial product list will be reviewed to identify which products are readily available in the marketplace and which products are not. Those products that are not readily available in the marketplace will be removed from the nomination group.
7. CFL PARTNERS who wish to nominate other PARTNERS' ENERGY STAR qualified CFLs will be required to follow the nomination guidelines. The basic guidelines will address the following:
 - Product nomination limits: Nominations will be limited to no more than two models per manufacturer per testing cycle. There is no upper limit for total number of nominations.
 - Rationale for product nomination: Will need to supply evidence on the poor performance of a product, which can include test data, consumer complaints, product returns, etc. Nominations submitted without ample evidence to demonstrate the need for third party testing will be disregarded.

All other PARTNERS (e.g. state, utility, or energy efficiency program sponsor partners) can nominate an unlimited number of CFL products.

G. Product Selection: Submitted product nominations forms will be collected and compiled with the list of randomly selected products by the Third Party Testing Program Administrator.

The Third Party Testing Program Administrator will distribute the overall list of product nominations (random generator and PARTNER nominations) to the Product Selection Committee to review. The Third Party Testing Program Administrator will organize a conference call (or meeting) with the Product Selection Committee to discuss the product nominations and finalize a list of products to test within each cycle. The Product Selection Committee will have five business days to review the nominations and approve the final list of products to test per testing cycle.

DOE will approve the final product list and then the Third Party Testing Program Administrator will contact each CFL PARTNER to inform them their product or products will be tested. In addition, the Third Party Testing Program Administrator will also notify the PARTNER which participating NVLAP accredited laboratory they will be working with.

- H. Costs of Third Party Testing and Verification Program and Laboratory-PARTNER Logistics:** PARTNERS will pay for the testing of their products. The testing fee will vary as a function of the rated lifetime of the product and all participating laboratories will provide fixed fees. Included in the fee will be a per model charge for the Third Party Program Administrator services, which will not exceed 20%.

Each participating laboratory will provide the established quotation (based on the rated lifetime of the product) to the specific ENERGY STAR CFL PARTNER. This quotation will include the fixed fee for testing, procurement, and shipment. In addition, the laboratory will provide a confidentiality clause that automatically permits the test laboratory to release the data only to the Third Party Testing Program Administrator and to the manufacturer. PARTNERS will send payment directly to the testing facility within the allotted timeframe. Administrator fees will be distributed by the laboratory to the Third Party Testing Program Administrator.

Costs for product procurement will be set at a flat fee plus the total retail costs of the samples (*to be determined by participating laboratory(ies)*). The flat fee costs cover the logistical costs to purchase the products (transportation, telephone, hotel, etc.). The laboratories will work to identify the best retail price to procure the products. The procurement prices will be reviewed after each cycle to identify whether the cost needs to be adjusted.

Costs for product shipment to the testing facility will be a uniform cost (*to be determined once participating laboratory(ies) have been selected for the program*).

Third Party Testing Program Administrator Fees will cover (*estimating 20% of overall testing costs*):

- Test Report Development
- Coordination of accredited NVLAP laboratories
- Verification of Qualified Product Information
- Coordination of Technical and Nomination Committees
- Notify PARTNERS of product selection and provide selected laboratory information
- Administrative tasks (conference calls; mailings; etc.)

PARTNERS whose products are retested due to marginal failure will pay for the retest and any additional product samples and shipment costs needed to complete the retest.

- 1. Product Procurement:** PARTNERS will assist the assigned laboratory in identifying distribution channels to purchase products from and products will be purchased from these identified retail sources or Internet shopping venues. At a minimum, at least two different date or lot codes will make up the samples of bulbs per model tested. Products will be purchased in accordance with these procurement guidelines:

- Store Selection: If available, samples must be purchased from a minimum of three different retail or commercial outlets.
- Geographic location selection: At a minimum, samples must be purchased from two (2) separate geographic regions of the U.S. The recommended number of locations is four (4).

The following information will be recorded to assist in clarifying any issues that may arise in the testing process:

- Lot numbers
- Date code
- Geographic location of purchase (city, State, zip code, store number)
- Retailer or distributor where product was purchased
- Product Photo

- Product Packaging

2. **Information Flow and Data Management:** Each PARTNER having product tested will receive the complete test reports for its product(s) directly from the testing laboratory. The Third Party Testing Program Administrator will also receive the complete testing reports from the testing laboratory. The Third Party Testing Program Administrator will deliver the compiled test results to DOE to review and identify which products met the ENERGY STAR criteria.

DOE will notify PARTNERS of one of the following outcomes:

- Qualification verification
- Marginal failure
- Intend to disqualify the product

The Third Party Testing Program Administrator will be responsible for archiving information for each testing cycle to develop consolidated trend data reports. These data reports will include:

- Overall pass/fail statistics
- Pass/fail statistics by product type
- Statistical scatter plots of measured performance test data
- Statistical analysis of mean, median
- Year-by-year or round-by-round trend data

The Third Party Testing Program Administrator will prepare a consolidated trend data report that will include all trend data of the tests identified in section 12.D. This report will be made available to interested parties.

3. **Testing Review Process:** Based on the results and incorporation of measurement tolerances, DOE will categorize the tested products into three groups:

- Qualification verification
- Marginal failure
- Intent to disqualify

Qualification verification is defined when a product meets or exceeds all of the ENERGY STAR qualification testing requirements of the Third Party Testing and Verification Program.

Marginal failure is defined as having one sample exceed the allowable failure rate for one test. An example of a marginal failure is a result of 4 out of 6 samples passing the rapid cycle stress test or if the interim lifetime testing results in failure of 2 samples (out of the 10 samples). The reason behind the establishment of a marginal failure is that if a product meets or exceeds all of the other testing requirements, especially the efficacy and 1,000-hour lumen maintenance tests and fails the rapid cycle stress test, it then causes a conflict on the quality of the product. To provide a reasonable and fair alternative, DOE will follow the process below to gather additional data to help resolve the performance issues.

Marginal Failure Process:

1. After testing has been completed through 40% of rated lifetime, products will be reviewed to identify a marginal failure. If a product is deemed a marginal failure, DOE will immediately contact the PARTNER and inform them.
2. At this time, DOE will institute an immediate retest for the test that was failed to verify the initial results. DOE will instruct the Third Party Testing Program Administrator to coordinate with the participating testing laboratory(ies) to procure the samples and ship them to one of the approved third party testing laboratories. The manufacturer of the product is responsible for all retesting costs (as stated in Section H).
3. In addition, the PARTNER can request to receive the failed lamp(s) so they can perform an autopsy analysis on the product.
4. During this retesting process, the product in question will retain its ENERGY STAR qualification status to avoid confusion or unnecessary administration costs to prematurely remove product from the retail channels.
5. If the retest results in the product meeting the originally failed test requirement, it will remain ENERGY STAR qualified.
6. If the product fails the requirement retest, then DOE will institute the disqualification appeals process (see below).

Intent to disqualify is defined when a product fails one or more of any of the ENERGY STAR qualification testing or Third Party Testing requirements. If a product is so categorized, DOE will begin the **disqualification and appeals process**.

- 13) **DISQUALIFICATION AND APPEALS PROCESS:** The following product disqualification process applies to both the normal ENERGY STAR qualification process and the Third Party Testing and Verification Program.
- A. For those products intended to be disqualified, DOE will work with its ENERGY STAR CFL program contractor to develop an official letter to inform the PARTNER of DOE's intent to disqualify the product based on the Third Party Testing results.
1. DOE will contact the PARTNER by e-mail or by hard copy letter to inform of the intent to disqualify the model(s) and will provide 30 days for the PARTNER to respond to the notification. Within this 30-day period, the product(s) in question will remain designated as ENERGY STAR qualified to avoid any consumer confusion or unnecessary logistical costs.
 2. If a product is designated for disqualification as a result of the Third Party Testing, the PARTNER can submit a request to the testing laboratory to receive the failed lamp(s) so that the manufacturer can perform an autopsy analysis to try and determine the root cause of the failures.
 3. During the 30-day appeals timeframe, a PARTNER can present to DOE conclusive manufacturing or design evidence, or quality assurance information on why their product did not perform up to ENERGY STAR standards and how the manufacturer has addressed the identified performance issues (poor efficacy or lumen maintenance, early failures, etc.).
 4. If the PARTNER does not respond within 30 days or does not supply sufficient evidence or quality assurance information to why their product should continue to be ENERGY STAR qualified, DOE will move forward and disqualify the PARTNER'S product(s) (and any corresponding retail products or SKUs or private labeled products) and will send a letter to the PARTNER to specify the following actions they must complete:
 - The PARTNER must immediately stop shipment of the specific model(s) and corresponding product or packaging configurations so it inhibits the product from entering into the retail or distribution markets further;
 - The PARTNER must cease use of the ENERGY STAR certification mark on the disqualified model's packaging design, web page, and other marketing materials. The ENERGY STAR Partnership Agreement stipulates the specific actions necessary to stay in compliance with the program;
 - To requalify a product, the manufacturer must make the necessary improvements to the product(s) design or manufacturing process and resubmit all completed test reports, qualification forms and corresponding packaging proofs demonstrating full compliance with the current ENERGY STAR criteria for CFLs.
 - Products that have been disqualified from the ENERGY STAR CFL program must wait six months from the disqualification date to submit for requalification.
 - In addition, a pattern of disqualifications may result in termination of the Partnership Agreement.
- B. Within the Third Party Testing and Verification Program, once the 30-day appeals timeframe begins, DOE will send correspondence to all utility, regional efficiency program sponsors, retailers, and lighting stakeholders to provide a timeline when the final product disqualification list will be distributed. After the 30-day appeals timeframe, DOE will compile the final list of products that are disqualified from the program and will distribute this information to these groups via the following communication avenues:
- E-mail announcement
 - Posting as "disqualified" on the ENERGY STAR CFL qualified product list and search
- C. After a product is officially disqualified, retailers, distributors, or other consumer channels will have **90 days from the disqualification date** to remove or sell off existing inventory or cover up the ENERGY STAR certification mark on the product packaging so that it is not identified as an ENERGY STAR qualified product.
- D. In addition, within the Third Party Testing and Verification Program, if a PARTNER has at least three products selected for testing (out of the maximum six) and all of the tested products fail, then this will automatically initiate mandatory testing for all of the manufacturer's qualified products.
- E. Disqualification of a model can also result from evidence of non-compliance with the ENERGY STAR Partnership Agreement and/or criteria.

- 14) **ENERGY STAR CFL REQUALIFICATION PROCEDURE:** Once a model is qualified, it must be **requalified every 36 months** to ensure ongoing design or manufacturing changes maintain overall performance against the program requirements.

To requalify a product, PARTNERS must follow the current ENERGY STAR CFL qualification testing procedure and complete all of the required tests except for the Electromagnetic Interference (EMI) test. The ENERGY STAR CFL program contractor will track and inform PARTNERS when their qualified products must begin testing for requalification. The 36-month requalification clock will not start until the product has achieved full qualification under Version 4.0 (completion of all required tests including average rated lifetime test). Specifically, PARTNERS must:

- A. Submit their product for requalification testing at an accredited NVLAP testing facility within 45 days of notification from the ENERGY STAR CFL Account Manager.
- B. Submit the test qualification reports and product packaging to the ENERGY STAR CFL Account Manager for review and approval.

Products that meet the ENERGY STAR criteria will continue to be recognized as ENERGY STAR qualified. Products that fail to meet the criteria will be categorized for immediate disqualification.

- 15) **RETIREMENT/DISCONTINUATION OF PRODUCTS:** PARTNERS who are discontinuing or retiring a model need to submit to their ENERGY STAR CFL Account Manager a formal letter stating the specific date this model will be out of the marketplace so it can be identified on the qualified product list as “retired/discontinued ” since it will no longer be available.

- 16) **EFFECTIVE DATE:** The effective date for the ENERGY STAR Program Requirements and Criteria for CFLs – Version 4.0 will be December 2, 2008, and replaces all previous versions. All products, including models originally qualified prior to Version 4.0, will be required to meet the new Version 4.0 requirements in order to use the ENERGY STAR certification mark on products or product literature by the effective date.

- o **Resubmission of Most Current Test Report:** Partners that have existing qualified products meeting the future Version 4.0 criteria requirements can resubmit the most recent qualification test report to their ENERGY STAR CFL Account Manager to show the product meets all Version 4.0 criteria requirements, including the additional CCT/chromaticity requirements and any of the consistency criteria changes. This process will be applicable for Bare, Bare-Specialty, Covered, and Outdoor Reflectors.
- o **New Testing:** Existing products that will not meet the future Version 4.0 criteria requirements will need to submit new testing reports to their ENERGY STAR CFL Account Manager to demonstrate the product will meet Version 4.0. CFL reflectors that are designated for recessed Downlights or indoor use will need to be requalified to the elevated temperature testing requirements.

All products that qualify under the Version 4.0 criteria will have 36-months from the product’s full qualification date to requalify the CFL product.

- 17) **FUTURE CRITERIA REVISIONS:** ENERGY STAR reserves the right to change the criteria should technological and/or market changes affect its usefulness to consumers, industry, or the environment. Within one year of the effective date of this version, ENERGY STAR will review comments and suggestions for future revisions to the current criteria.

Appendix A:

DUTIES AND RESPONSIBILITIES OF THE THIRD PARTY TESTING AND VERIFICATION PROGRAM ADMINISTRATOR:

1) MANAGEMENT OF THE PARTICIPATION OF NVLAP ACCREDITED TESTING LABORATORIES:

- Identifies which laboratory will conduct the testing for each product.
- Develops a rotating testing schedule, to include all laboratories participating in the program, taking into account each facility's testing capacity.
- Monitors the laboratory's work to assure the laboratory(ies) are following the testing schedule and are meeting the identified deadlines for report submissions and updates. If there are delays in the product procurement or other areas of the schedule, the Administrator will work with DOE and the laboratories to revise the testing schedule and will notify the selected CFL PARTNERS of the updated schedule.

2) MANAGEMENT OF THE THIRD PARTY TESTING AND VERIFICATION PROCEDURE:

- Third Party Testing Program Administrator will notify the PARTNERS which testing laboratory will conduct its tests.
- Each participating laboratory will provide the established quotation to the specific ENERGY STAR CFL PARTNER. This quotation will include the fixed testing, procurement, and shipment costs and a confidentiality clause that automatically permits the test laboratory to release the data to the Third Party Testing Program Administrator and to the manufacturer.
- PARTNERS will send payment directly to the testing facility and will assist in identifying distribution channels to purchase products from.
- The testing laboratory will distribute up to 20% of the testing cost to the Third Party Testing Program Administrator for management and administrative costs. The testing laboratory will be responsible for product procurement and delivery to their testing facility.
- The testing laboratory will deliver the final testing reports to the individual manufacturers and the Third Party Testing Program Administrator.
- The Third Party Testing Program Administrator will deliver the cycle summary test reports to DOE to review and identify which products met the ENERGY STAR criteria. DOE will notify PARTNERS of one of the following outcomes:
 - Qualification verification
 - Marginal failure
 - Intend to disqualify the product
- The Third Party Testing Program Administrator will prepare generic consolidated trend data reports and provide these to all interested parties. Consolidated trend data reports will include overall pass/fail statistics, pass/fail statistics by product type, statistical scatter plots of measured performance test data, statistical analysis of mean, median, and year-by-year or round-by-round trend data without identifying specific manufacturers or model numbers.

3) VERIFICATION OF QUALIFIED PRODUCTS:

The ENERGY STAR CFL program contractor will work with the Third Party Testing Program Administrator to review the following parameters to assure the most accurate information is being used to manage the program:

- Which products are manufactured and which are private labeled
- Verification of Where Products are Sold/Distributed
- Product Disqualifications or Discontinuations
- PARTNER Contact Information

APPENDIX B:

ENERGY STAR® REFLECTOR CFL ELEVATED TEMPERATURE TEST PROCEDURES

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APPENDIX B:

1 Introduction

This document provides a description of the test method for the initial elevated temperature light output ratio and life testing of integrated compact fluorescent reflector lamps (R-CFLs) in an elevated temperature environment. Two options, "A" and "B," are provided for Elevated Temperature Life Testing. The procedure simulates the environment of an R-CFL in an IC-rated airtight (ICAT) downlight installed within an insulated ceiling. Non-reflector compact fluorescent lamps and non-integrated compact fluorescent lamps are excluded from this test procedure.

2 Power Requirements

The power supply utilized in the testing shall be capable of providing the nominal rated input voltage and frequency for the lamp(s) under test. The input voltage of the power supply shall be regulated to within $\pm 2\%$ of the rated rms value. In addition to the preceding voltage regulation requirements, the power supply shall meet the criteria as detailed in IESNA LM-28¹ and IESNA LM-65.

Note: When selecting a power supply for use with integrated R-CFLs, it is necessary to apply an appropriate power factor when specifying the Volt-Amp rating of the power supply. Many integrated compact fluorescent reflector lamps have a power factor in the range of 0.5 to 0.6.

3 Photometric Measurements

The photodetector used for photometric measurements shall be a silicon detector corrected to closely fit the Commission Internationale de l'Eclairage (CIE) spectral luminous efficiency curve (V_{λ}).

3.1 Lamp Seasoning

Prior to the first readings, the lamps shall be seasoned for 100 hours in accordance with IESNA-LM-54-99 and shall be preburned in the base-up position. This seasoning shall be accomplished outside of the elevated temperature testing apparatuses.

3.2 Lamp Stabilization

Lamps shall be considered stabilized when monitoring of light output over a 30-minute period produces differences of sequential readings no greater than 0.5% with a minimum of three readings approximately 15 minutes apart.

3.3 Lamp Transfer and Restabilization

Lamps to be removed from the elevated temperature housing for photometric testing shall be allowed to cool down for at least 15 minutes before being transported to the photometric equipment. Care shall be exercised to maintain base-up lamp orientation and avoid shaking or bumping the lamp during the transfer. Lamps shall be restabilized prior to taking any measurements.

4 Temperature Measurement

Temperature measurements shall be acquired using a thermocouple junction and measuring instrument. Thermocouples shall be chosen based on the range of temperatures that are likely to be experienced in the

¹ For complete list of Standards and Test Procedures referenced in this Appendix, see Section 9.

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course of ambient temperature testing (typically between 25°C and 100°C). Specially designed ambient temperature probes are commercially available and may be used for ambient temperature measurements.

5 Sample Selection

Samples for Initial Elevated Temperature Light Output Ratio Testing and Elevated Temperature Life Testing shall be representative of the manufacturer's typical product. The samples shall be cleaned and thoroughly inspected before testing. Any flaws or inconsistencies in the lamp samples shall be noted.

6 Initial Elevated Temperature Light Output Ratio

6.1 Thermal Chamber

The test environment shall be clean and free from large amounts of dust and moisture.

6.2 Controlled Draft Enclosure

Some air movement within the thermal chamber is necessary to prevent stratification. A controlled draft enclosure shall be used to limit air movement across the lamp to a maximum of 0.08 m/s (15.7 ft/min) as suggested by IESNA LM-41 when placed in the thermal chamber.

6.3 Temperature Measurement Location

Temperature measurements shall be taken at a location 1-in. below the base (defined as the lowest point on the metal Edison socket when installed in a base-up position) of the lamp and 2-in. from the base of the lamp toward the enclosure wall.

6.4 Photometric Measurement Location

The photodetector shall be secured such that it remains in the same position during the test.

6.5 Test Procedure

- a) Season one lamp according to Section 3.1 above.
- b) Situate the controlled draft enclosure in the thermal chamber.
- c) Install the lamp in the enclosure.
- d) Apply the rated lamp voltage while operating the thermal chamber such that the temperature at the test point is stable at 25°C within 1°C for 15 minutes as determined by three measurements 5 minutes apart.
- e) Achieve lamp stabilization per Section 3.2.
- f) Record the light output, the input electrical values and the test point temperature.
- g) Repeat steps d) thru f) with the thermal chamber maintained at 50°C ± 5°C.
- h) Reduce the temperature to 25°C and shutdown the system as required.

6.6 Test Report

The test report shall include at least the following test information:

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- a) Manufacturer's name and product identification
- b) Name and location of the testing facility
- c) Test date
- d) Electrical and photometric reading at the 25°C ambient condition.
- e) Electrical and photometric reading at the 50°C ambient condition.
- f) Initial Elevated Temperature Light Output Ratio, calculated as the light output at the 50°C ambient condition divided by the light output at the 25°C ambient condition, expressed as a percentage.

7 Elevated Temperature Life Testing (Option A)

7.1 Operating Cycle

Operation of the lamps shall be consistent with the provisions set forth in IESNA LM-65 Section 6.1; three hours ON and 20 minutes OFF.

7.2 Ambient Conditions

The test environment shall be clean and free from large amounts of dust and moisture. The ambient temperature shall be maintained at 25°C + 10°C. Drafts shall be minimized and the perimeter of the test apparatus shall be kept clear of obstacles.

7.3 Elevated Temperature Housing and Support

Testing shall be conducted using the Halo[®] model H7UICAT incandescent downlight housing. No substitutions shall be allowed. No trim shall be used. Luminaires shall be oriented such that the lamp operates vertical base-up during the life test. The luminaires may be arranged in a horizontal plane or stacked vertically. If stacked vertically, a minimum spacing of 24 inches must be maintained between the bottoms of each row.

7.4 Lamp Monitoring

The lamps shall be monitored for continued operation at a period in accordance with Section 6 of IESNA LM-65

7.5 Test Procedure

- a) Season ten lamps according to Section 3.1.
- b) At the 100-hour point, transfer the lamps to photometric measurement equipment and conduct measurement of each lamp following the procedures set forth in LM-66. Record the results.
- c) Install the lamps in their respective elevated temperature housings. Operate lamps according to Section 7.1.
- d) Monitor the lamps according to Section 7.4.
- e) At the 1000-hour point, repeat steps b) thru d).
- f) At 40% of the lamps' rated life repeat steps b) thru d).
- g) Continue to monitor the lamps according to Section 7.4 until rated life is achieved.

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7.6 Test Report

The test report shall include at least the following test information:

- a) Manufacturer's name and product identification
- b) Name and location of testing facility
- c) Test date
- d) Photometric measurements at 100 hours, 1,000 hours, and 40% of rated life.
- e) Elevated Temperature 1000-hour Lumen Maintenance calculated as the 1000-hour light output divided by the 100-hour light output, expressed as a percentage.
- f) Elevated Temperature Lumen Maintenance at 40% of Rated Life calculated as the 40% of rated life light output divided by the 100-hour light output, expressed as a percentage.
- g) Number of hours of operation before failure or note that the lamp reached rated life.
- h) Notes describing the envelop failure (broken glass, cracking or excessive discoloration) of any lamp that competes testing

8 Elevated Temperature Life Testing (Option B)

8.1 Operating Cycle

Operation of the lamps shall be consistent with the provisions set forth in IESNA LM-65 Section 6.1; three hours ON and 20 minutes OFF. At the onset of the OFF cycle, the exhaust fan shall automatically operate to purge the apparatus with ambient air.

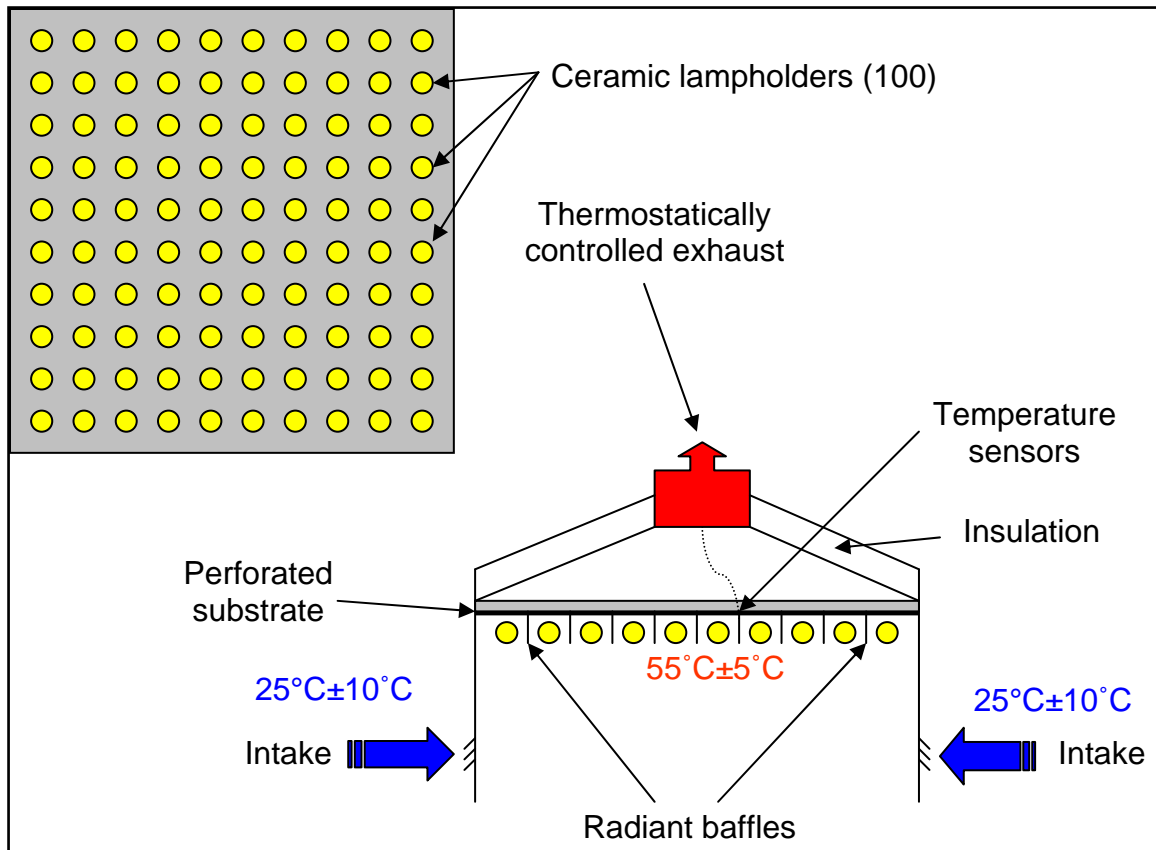
8.2 Ambient Conditions

The test environment shall be clean and free from large amounts of dust and moisture. The ambient temperature shall be maintained at $25^{\circ}\text{C} + 10^{\circ}\text{C}$. The perimeter of the apparatus shall be kept clear of obstacles so that airflow is not inhibited from entering the apparatus during the purge portion of the test cycle. The operating temperature within the apparatus (represented as the average of at least four measurement locations specified in Section 8.4 (below) shall be maintained at $55^{\circ}\text{C} \pm 5^{\circ}\text{C}$ during the on-cycle. The operating temperature within the apparatus shall be achieved within 45 minutes upon on-cycle initiation (additional incandescent lamps may be added as heat sources to achieve this).

8.3 Elevated Temperature Testing Apparatus

The interior of the Elevated Temperature Testing Apparatus shall be a flat section of perforated substrate with ceramic lampholders arranged in a rectangular array. The perforated substrate shall have holes of a minimum diameter of $\frac{1}{4}$ -in. spaced at a maximum spacing of 1-in. on center. The spacing between lampholders shall be no less than 8-in. on center and no greater than 12-in. on center. Radiant baffles shall be installed at the mid-point between all lampholders and along the perimeter of the lampholder array. The radiant baffles shall be constructed of an opaque, rigid material and shall be a minimum of 10-in. in height. The exterior of the Elevated Temperature Testing Apparatus shall be sealed and insulated to a minimum level of R-13 on all four sides and the hood. The sides of the apparatus shall extend a minimum of 12-in. below the bottom of the radiant baffles and shall have an intake section a minimum of 6-in. in height below the sides of the apparatus. The slope of the hood of the apparatus shall be at least 30° above the horizontal. The top of the hood shall be equipped with an exhaust fan and louver. The fan shall be sized to deliver a minimum of 4.0 cubic feet per minute (cfm) per square foot of apparatus area net of intake and exhaust restrictions. The exhaust fan shall be thermostatically controlled to maintain the appropriate ambient temperature within the apparatus. The louver shall automatically close when the fan is not operating.

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8.4 Temperature Measurement Locations

The apparatus shall be equipped with at least four ambient temperature measurement locations. These locations shall include at least two locations between 16 and 24 inches measured inwards from the perimeter of the apparatus and at least two locations between 16 and 24 inches measured outwards from the center of the apparatus. The operating temperature of the apparatus is then defined as the average of at least four temperature readings within the apparatus. The location of the ambient temperature measurement points shall be midway between the ballast housing midpoint (defined as half of the distance between the reflectorized glass and the metal screw-in contact) and the closest portion of the radiant baffles. The measurement point shall be located vertically at the height of the ballast housing midpoint.

8.5 Photometric Measurement

The photometric measurement device shall consist of a securely mounted photodetector positioned such that the plane of its detector is horizontal. Sufficient shielding shall be incorporated such that only the light from the lamp under test is measured. This shielding can be accomplished by the use of a flat-black-painted tube that extends from the photodetector to the bottom edge of the radiant baffles. Additionally, it is recommended that a piece of diffuse transmissive material be installed above the photodetector to diminish the sensitivity of the measurement from minor misalignments of the photodetector.

Photometric measurements need to be acquired at a time when the light output of the lamp has reached a steady state. As a result, the photometric measurements shall be acquired at a point at least two hours after the beginning of an on-cycle of the lamps. In the situation where the specified measurement time occurs before the lamp has reached its steady state operating time, the lamp shall be measured at the closest steady state period.

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8.6 Lamp Monitoring

The lamps shall be monitored for continued operation at a period in accordance with Section 6 of IESNA LM-65.

8.7 Test Procedure

- a) Season ten lamps according to Section 3.1.
- b) At the 100-hour point, record the photometric measurement for each lamp per Section 8.5.
- c) Operate lamps according to Section 8.1.
- d) Monitor the lamps according to Section 8.6.
- e) At the 1,000-hour point, repeat steps b) thru d).
- f) At 40% of the lamps' rated life, repeat steps b) thru d).
- g) Continue to monitor the lamps according to Section 8.6 until rated life is achieved.

8.8 Test Report

The test report shall include at least the following test information:

- a) Manufacturer's name and product identification
- b) Name and location of testing facility
- c) Test date
- d) Photometric measurements at 100 hours, 1,000 hours, and 40% of rated life.
- e) Elevated Temperature 1000-hour Lumen Maintenance calculated as the 1000-hour illuminance divided by the 100-hour illuminance, expressed as a percentage.
- f) Elevated Temperature Lumen Maintenance at 40% of Rated Life calculated as the 40% of rated life illuminance divided by the 100-hour illuminance, expressed as a percentage.
- g) Number of hours of operation before failure or note that the lamp reached rated life.
- h) Notes describing the envelop failure (broken glass, cracking or excessive discoloration) of any lamp that competes testing.

9 Reference Standards and Procedures

1. IESNA LM-28-89. 1989. *Guide for the Selection, Care, and Use of Electrical Instruments in the Photometric Laboratory*, IESNA Testing Procedures Committee, Illuminating Engineering Society of North America, New York.
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4. UL 1598-2004. 2004. *UL Standard for Safety for Luminaires*, ANSI/UL, Underwriters Laboratories, Northbrook, Illinois.

APPENDIX B:

5. IESNA LM-54-99. 1999. *IESNA Testing Procedures Committee, IESNA Guide to Lamp Seasoning*, Illuminating Engineering Society of North America, New York.
6. IESNA LM-41-98. 1998. *IESNA Testing Procedures Committee, Approved Method for Photometric Testing of Indoor Fluorescent Luminaires*, Illuminating Engineering Society of North America, New York.
7. IESNA LM-66-00. 2000. *IESNA Testing Procedures Committee, Electrical and Photometric Measurements of Single-Ended Compact Fluorescent Lamps*, Illuminating Engineering Society of North America, New York.

APPENDIX C

2700K ANSI Ellipse Data Template - for ENERGY STAR Qualification

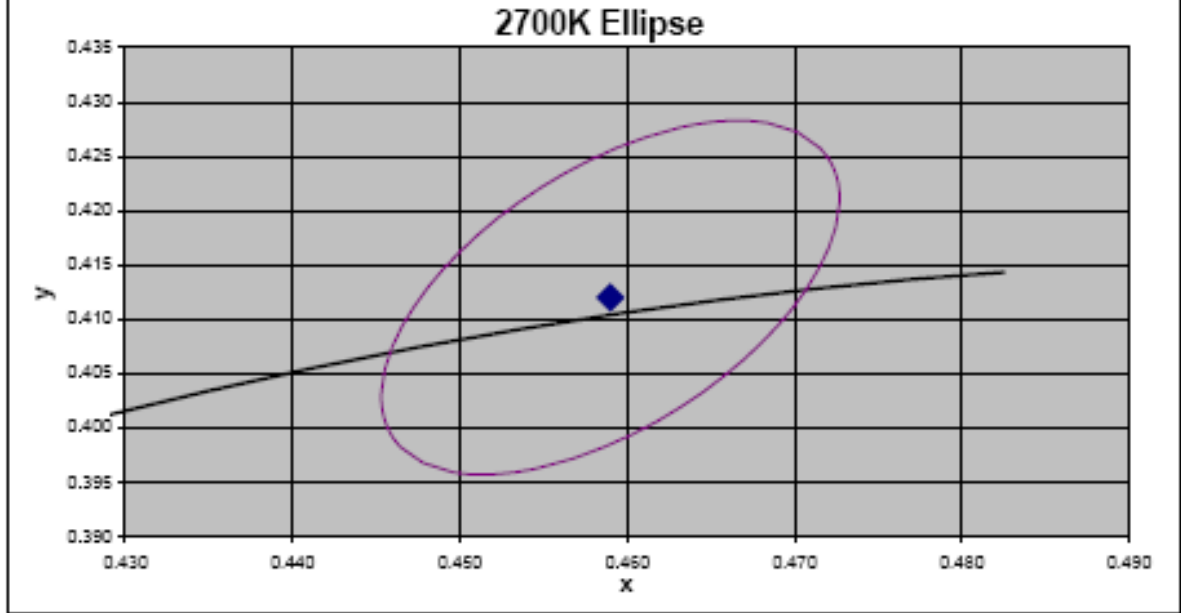
MacAdam Steps:

ANSI 2700K	Ellipse Center							
Ellipse Parameters	x	y	g11	2g12	g22	theta	a	b
	0.459	0.412	4.00E+05	-3.90E+05	2.80E+05	53.70	0.00270	0.00140

Enter lamp model and chromaticity coordinates from tested lamps samples below.

Lamp Manufacturer:

Lamp Model:



Sample	Chromaticity Samples	
	x	y
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

APPENDIX C

3000K ANSI Ellipse Data Template - for ENERGY STAR Qualification

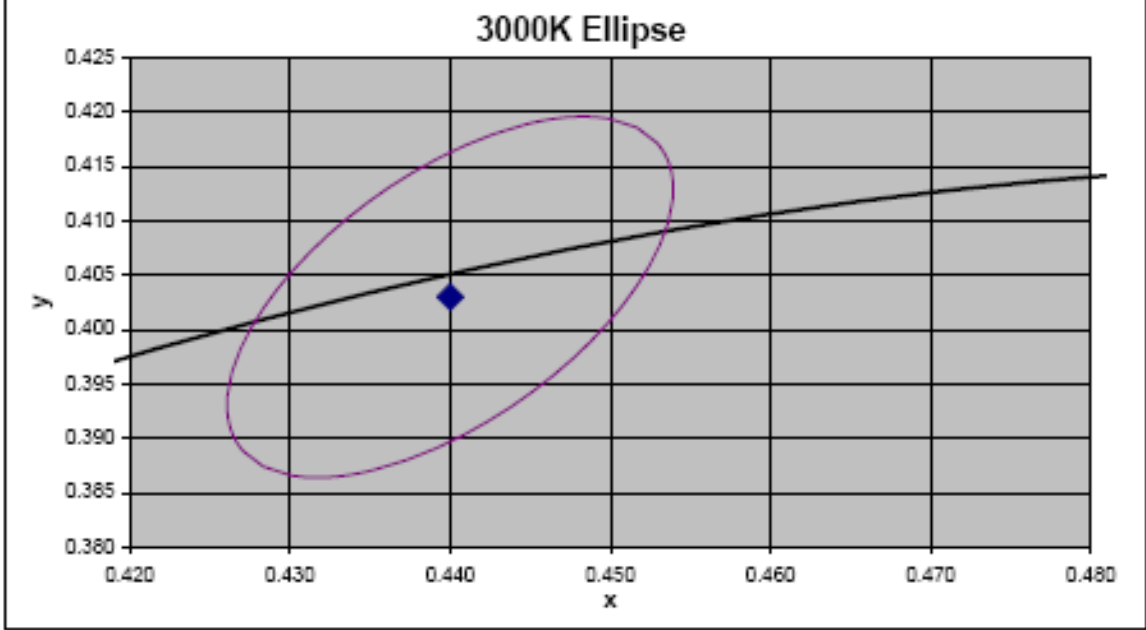
MacAdam Steps:

ANSI 3000K		Ellipse Center						
Ellipse Parameters	x	y	g11	2g12	g22	theta	a	b
	0.440	0.403	3.90E+05	-3.90E+05	2.75E+05	53.22	0.00278	0.00138

Enter lamp model and chromaticity coordinates from tested lamps samples below.

Lamp Manufacturer:

Lamp Model:



Chromaticity Samples

Sample	x	y
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

APPENDIX C

3500K ANSI Ellipse Data Template - for ENERGY STAR Qualification

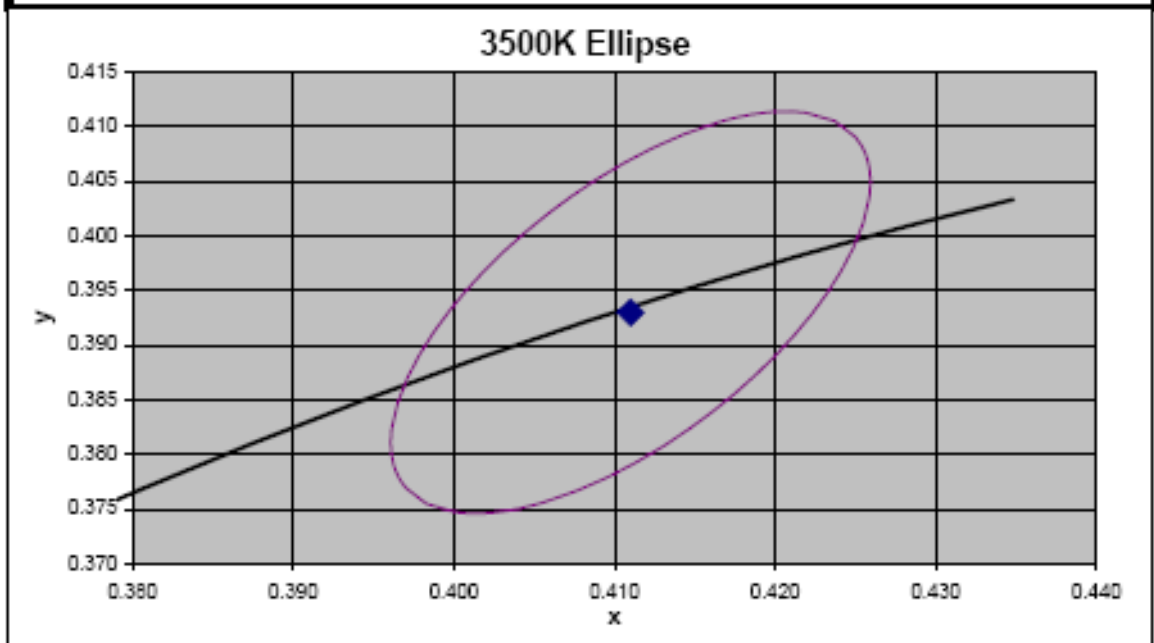
MacAdam Steps:

ANSI 3500K		Ellipse Center						
Ellipse Parameters	x	y	g11	2g12	g22	theta	a	b
	0.411	0.393	3.80E+05	-4.00E+05	2.50E+05	54.00	0.00309	0.00138

Enter lamp model and chromaticity coordinates from tested lamps samples below.

Lamp Manufacturer:

Lamp Model:



Chromaticity Samples		
Sample	x	y
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

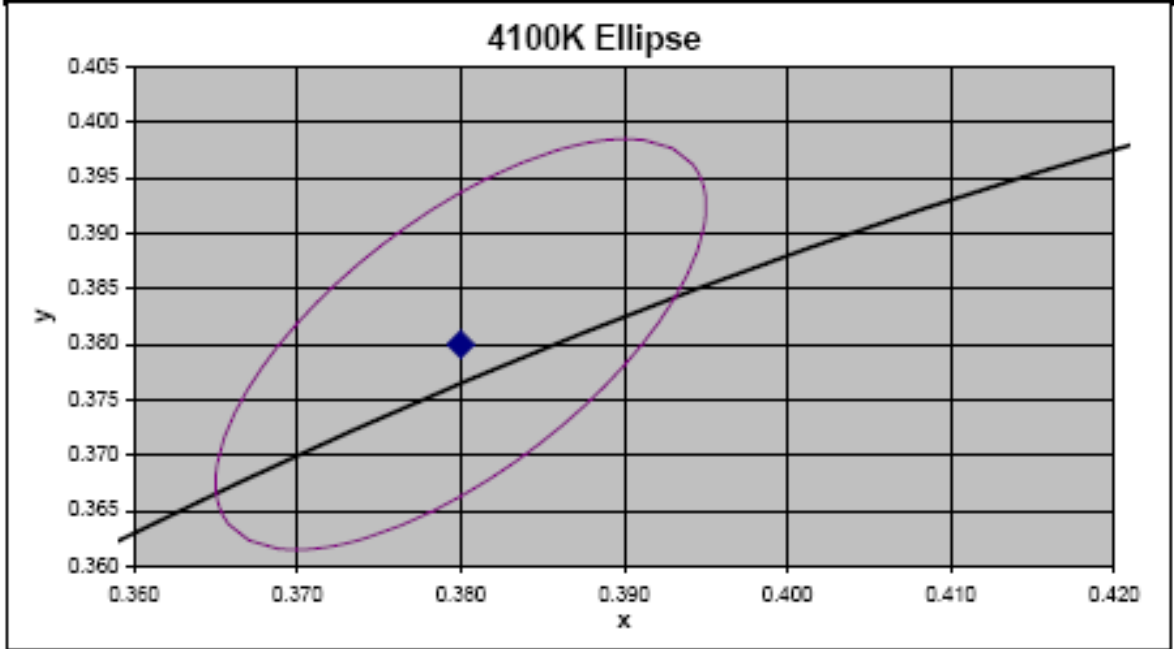
APPENDIX C

4100K ANSI Ellipse Data Template - for ENERGY STAR Qualification

MacAdam Steps:

ANSI 4100K		Ellipse Center						
Ellipse Parameters	x	y	g11	2g12	g22	theta	a	b
	0.380	0.380	3.95E+05	-4.30E+05	2.60E+05	53.72	0.00313	0.00134

Enter lamp model and chromaticity coordinates from tested lamps samples below.



Lamp Manufacturer:

Lamp Model:

Sample	Chromaticity Samples	
	x	y
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

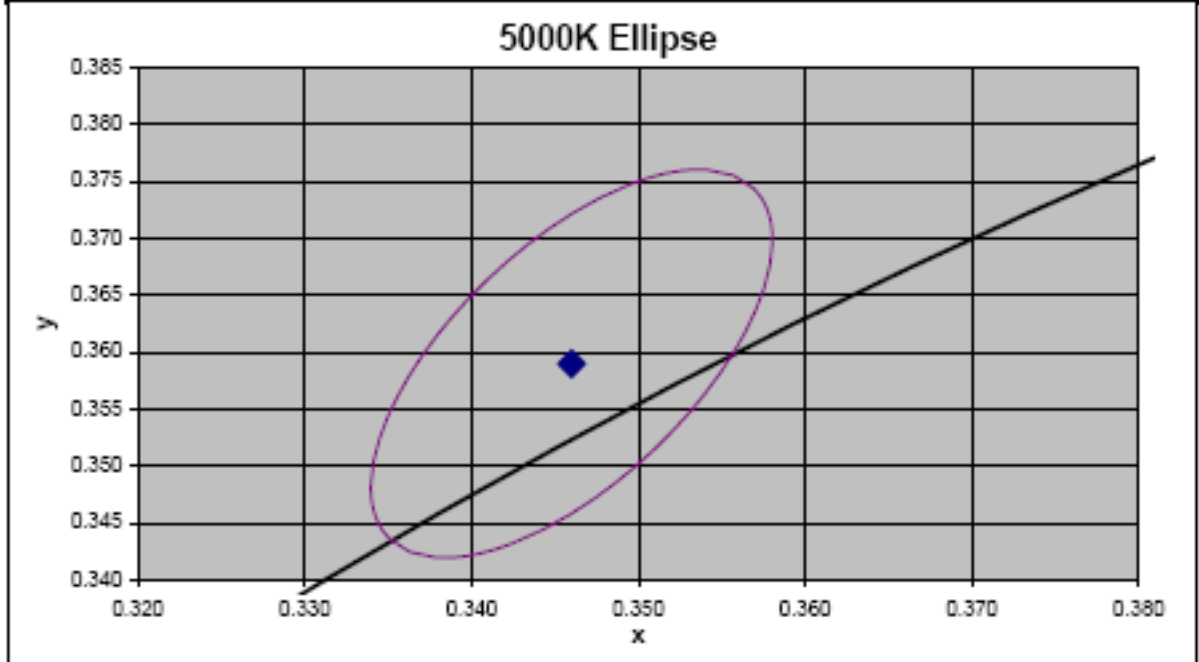
APPENDIX C

5000K ANSI Ellipse Data Template - for ENERGY STAR Qualification

MacAdam Steps: 7

ANSI 5000K		Ellipse Center						
Ellipse Parameters	x	y	g11	2g12	g22	theta	a	b
	0.346	0.359	5.60E+05	-5.00E+05	2.80E+05	59.62	0.00274	0.00118

Enter lamp model and chromaticity coordinates from tested lamps samples below.



Lamp Manufacturer:
 Lamp Model:

Sample	Chromaticity Samples	
	x	y
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

APPENDIX C

6500K ANSI Ellipse Data Template - for ENERGY STAR Qualification

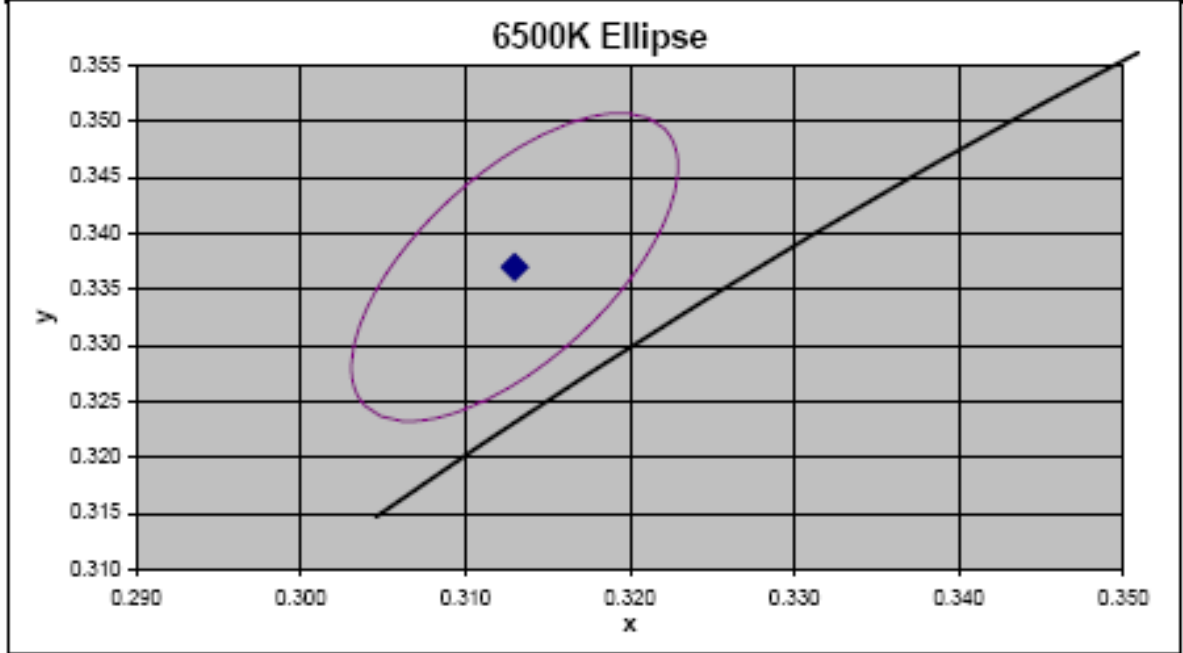
MacAdam Steps:

ANSI 6500K		Ellipse Center						
Ellipse Parameters	x	y	g11	2g12	g22	theta	a	b
	0.313	0.337	8.60E+05	-8.00E+05	4.50E+05	58.57	0.00223	0.00095

Enter lamp model and chromaticity coordinates from tested lamps samples below.

Lamp Manufacturer:

Lamp Model:



Sample	Chromaticity Samples	
	x	y
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		