Following is the Draft 1 Version 4.0 product specification for ENERGY STAR certified residential ceiling fans. A product shall meet all of the identified criteria if it is to earn the ENERGY STAR.

1 DEFINITIONS

A. Airflow\(^1\): The rate of air movement at a specific fan-speed setting expressed in cubic feet per minute (CFM).

B. Basic Model\(^2\): All units of a given type of covered product (or class thereof) manufactured by one manufacturer; having the same primary energy source; and, which have essentially identical electrical, physical, and functional (or hydraulic) characteristics that affect energy consumption, energy efficiency, water consumption, or water efficiency.

C. Belt-Driven Ceiling Fan\(^1\): A ceiling fan with a series of one or more fan heads, each driven by a belt connected to one or more motors that are located outside of the fan head.

D. Blade Span\(^1\): Measurement of the largest swept circle by any part of the fan blade assembly, including any blade attachments. This equals the lateral distance from the center of the axis of rotation of the fan blades to the furthest fan blade edge from the center of the axis of rotation, multiplied by two. Sometimes referred to as “diameter” in this specification.

E. Ceiling Fan Efficiency\(^1\): The ratio of the total airflow to the total power consumption, in units of cubic feet per minute per watt (CFM/W).

F. Ceiling Fan Light Kit\(^2\) (CFLK): Equipment designed to provide light from a ceiling fan that can be: (1) integral, such that the equipment is attached to the ceiling fan prior to the time of retail sale; or (2) attachable, such that at the time of retail sale the equipment is not physically attached to the ceiling fan, but may be included inside the ceiling fan at the time of sale or sold separately for subsequent attachment to the fan.

G. CFLK with Integrated Solid-State Lighting Circuitry\(^3\): A CFLK that has solid-state lighting (SSL) light sources, drivers, heat sinks, or intermediate circuitry (such as wiring between a replaceable driver and a replaceable light source) that are not consumer replaceable.

H. CFLK with Separable Light Source (“Separable”): A CFLK featuring lighting components (i.e. light emitting diodes (LEDs) and driver components or non-self-ballasted CFL lamps and ballast) which can be easily removed or replaced by the end user, thus not requiring replacement of the entire CFLK. For the purposes of this specification, this includes “Other SSL Products” as well as CFLKs shipping with ENERGY STAR certified lamps.

I. Controls: Controls enable the user to turn on/off or adjust the lighting and fan movement (i.e. fan speed and airflow direction). Controls may be in the form of pull chain, slide switch, wall switch/panel, and/or remote control.

J. Highly-Decorative Ceiling Fan\(^1\): A ceiling fan with a maximum rotational speed of 90 RPM and less than 1,840 CFM airflow at high speed, as determined by 10 CFR Appendix U to Subpart B of Part 430.

\(^{1}\) 10 CFR 430, Subpart B, Appendix U, Definitions
\(^{2}\) 10 CFR 430, Subpart A §430.2
\(^{3}\) 10 CFR 430, Subpart B, Appendix V1, Definitions
K. **High Speed**: The highest available ceiling fan speed, i.e., the fan speed corresponding to the maximum blade revolutions per minute (RPM).

L. **High-Speed Small-Diameter (HSSD) Ceiling Fan**: A ceiling fan that is not very-small-diameter, highly decorative, or belt driven, is less than or equal to seven feet in blade span, and has a blade thickness of less than 1/8 inch (3.2 mm) at the edge or a maximum tip speed greater than the applicable limit specified in the table below:

<table>
<thead>
<tr>
<th>Airflow Direction</th>
<th>Blade Edge Thickness (t)</th>
<th>Tip Speed Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>[mm]</td>
<td>[inch]</td>
</tr>
<tr>
<td>Downward</td>
<td>4.8 &gt; t ≥ 3.2</td>
<td>3/16 &gt; t ≥ 1/8</td>
</tr>
<tr>
<td>Downward</td>
<td>t ≥ 4.8</td>
<td>t ≥ 3/16</td>
</tr>
<tr>
<td>Reversible</td>
<td>4.8 &gt; t ≥ 3.2</td>
<td>3/16 &gt; t ≥ 1/8</td>
</tr>
<tr>
<td>Reversible</td>
<td>t ≥ 4.8</td>
<td>t ≥ 3/16</td>
</tr>
</tbody>
</table>

M. **LED Light Engine**: An integrated assembly comprised of LED packages (components) or LED arrays (modules), LED driver, and other optical, thermal, mechanical and electrical components. The device is intended to connect directly to the branch circuit through a connector compatible with the LED luminaire for which it was designed and does not use an ANSI standard base. For purposes of this specification, light engines that rely on the luminaire for optical control, and/or thermal management, assemblies featuring remote-mounted drivers (“non-integrated”), and/or GU24 based integrated SSL sources not in the scope of the ENERGY STAR Lamps specification shall also be considered LED light engines.

N. **Low-Mount High-Speed Small-Diameter Ceiling Fan**: A high-speed small-diameter ceiling fan considered safe for mounting in a residential setting (i.e., between 7 and 10 feet from the ground) per UL 507, with a blade thickness greater than or equal to 1/8 inch at the edge and a maximum tip speed within the applicable limits in each direction as specified in the table below:

<table>
<thead>
<tr>
<th>Airflow Direction</th>
<th>Blade Edge Thickness (t)</th>
<th>Tip Speed Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>[mm]</td>
<td>[inch]</td>
</tr>
<tr>
<td>Downward-blowing</td>
<td>4.8 &gt; t ≥ 3.2</td>
<td>3/16 &gt; t ≥ 1/8</td>
</tr>
<tr>
<td>Downward-blowing</td>
<td>t ≥ 4.8</td>
<td>t ≥ 3/16</td>
</tr>
<tr>
<td>Upward-blowing</td>
<td>4.8 &gt; t ≥ 3.2</td>
<td>3/16 &gt; t ≥ 1/8</td>
</tr>
<tr>
<td>Upward-blowing</td>
<td>t ≥ 4.8</td>
<td>t ≥ 3/16</td>
</tr>
</tbody>
</table>

O. **Low Speed**: The lowest available ceiling fan speed, i.e., the fan speed corresponding to the minimum, non-zero blade RPM.

P. **Low-Speed Small-Diameter (LSSD) Ceiling Fan**: A ceiling fan that is less than or equal to seven feet in blade span, has a blade thickness greater than or equal to 1/8 inch (3.2 mm) at the edge and a maximum tip speed less than or equal to the applicable limit specified in the table below, and which are considered safe for mounting in a residential setting (i.e., between 7 and 10 feet from the ground) per UL 507.

<table>
<thead>
<tr>
<th>Airflow Direction</th>
<th>Blade Edge Thickness (t)</th>
<th>Tip Speed Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>[mm]</td>
<td>[inch]</td>
</tr>
<tr>
<td>Reversible</td>
<td>4.8 &gt; t ≥ 3.2</td>
<td>3/16 &gt; t ≥ 1/8</td>
</tr>
<tr>
<td>Reversible</td>
<td>t ≥ 4.8</td>
<td>t ≥ 3/16</td>
</tr>
</tbody>
</table>

Q. **Non-Standard Integrated LED Lamps**: GU24 based integrated SSL sources that do not conform to an ANSI standard lamp shape or are not in the scope of the ENERGY STAR Lamps specification. These light sources shall also be considered LED light engines. See also LED Light Engine.

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4 Derived from IES RP-16-10
5 UL Standard for Safety for Electric Fans, UL 507
R. Other SSL Product: An integrated unit consisting of a light source, driver, heat sink, and intermediate circuitry that uses SSL technology (such as light-emitting diodes or organic light-emitting diodes) and is consumer replaceable in a CFLK. The term does not include LED lamps with ANSI-standard bases. Examples of other SSL products include OLED lamps, LED lamps with non-ANSI-standard bases, such as Zhaga interfaces, and LED light engines.  

S. Power Consumption: Defined as the active (real) and standby power and expressed in watts (W).

T. Residential Ceiling Fan: A non-portable device designed for home use that is suspended from the ceiling for circulating air via the rotation of fan blades. Some ceiling fans are sold with ceiling fan light kits.

a) Standard Ceiling Fan: A low-speed small-diameter ceiling fan that is not a very-small-diameter ceiling fan, highly decorative ceiling fan or belt-driven ceiling fan; for which the lowest point on fan blades is greater than 10 inches from the ceiling.

b) Hugger Ceiling Fan: A low-speed small-diameter ceiling fan that is not a very-small-diameter ceiling fan, highly-decorative ceiling fan or belt-driven ceiling fan; for which the lowest point on the fan blades is less than or equal to 10 inches from the ceiling.

U. Solid-State Lighting: Source technology where light is emitted from a solid object—a block of semiconductor—rather than from a filament or plasma, as in the case of incandescent and fluorescent lighting. This includes inorganic light-emitting diodes (LEDs) and organic light-emitting diodes (OLEDs).

V. Standby Mode Power: The condition in which an energy-using product is connected to a main power source; and offers one or more of the following user-oriented or protective functions: to facilitate the activation or deactivation of other functions (including active mode) by remote switch (including remote control), internal sensor, or timer; or continuous functions, including information or status displays (including clocks) or sensor-based functions.

W. Very-Small-Diameter Ceiling Fan: A small-diameter ceiling fan that is not a highly-decorative ceiling fan or belt-driven ceiling fan; and has one or more fan heads, each of which has a blade span of 18 inches or less.

Note: In the interest of clarifying requirements for ceiling fans with light kits, EPA has integrated lighting efficiency and performance testing requirements into the ceiling fan specification. In addition, EPA has integrated definitions from the new Federal test method for ceiling fan airflow efficiency, including the definition of Basic Model.

2 SCOPE

2.1 Included Products

- Products that meet the definition of a Residential Ceiling Fan (i.e., Standard and Hugger) or Low-Mount High-Speed Small-Diameter Ceiling Fan as specified herein are eligible for ENERGY STAR certification.

- Products that meet the definition of a Ceiling Fan Light Kit as specified herein are eligible for ENERGY STAR certification.

Note: EPA understands that most ceiling fans currently sold in the residential market are categorized as Low-Speed Small-Diameter (LSSD), but some may be categorized as High-Speed Small-Diameter (HSSD) according to DOE’s final rule. As such, EPA intends to recognize Low-Mount HSSD ceiling fans as specified in Section 1 which are considered safe for mounting in a residential setting (i.e., between 7 and 10 feet from the ground). Low-Mount HSSD ceiling fans will be required to meet the same efficiency criteria as “Standard” residential ceiling fans as specified herein.

2.2 Excluded Products

- High-Speed Small-Diameter ceiling fans that do not meet the definition of Low-Mount HSSD.
• Large-Diameter ceiling fans, as defined in 10 CFR Part 430, Subpart B.
• Very-Small-Diameter, Highly Decorative, and Belt-driven ceiling fans, per Section 1, are not covered by the definition of a Residential Ceiling Fan for ENERGY STAR certification.
• CFLKs packaged with bulbs that have an ANSI-standard lamp shape and base type that have not been ENERGY STAR certified (e.g., A19 shape and E26 base).
• CFLKs not packaged with a light source.

Note: In consideration of new Federal definitions of ceiling fan types included in DOE’s minimum efficiency standards, EPA proposes modest adjustments to the scope of this specification. EPA proposes the inclusion of LSSD and low-mount high-speed small-diameter ceiling fans recognizing that these are the most likely to be used in a residential setting, which is in effect an expansion of scope to include hugger ceiling fans and those with blade span up to 84 inches. Large diameter ceiling fans and small diameter ceiling fans that must be mounted at greater than 10 feet from the floor are typically used in commercial or industrial settings, and it is not EPA’s intention to cover those uses with this specification. A few currently certified fans will be ineligible according to the new categories and scope once this revision takes effect.

3  CERTIFICATION CRITERIA

3.1 Ceiling Fan Requirements

3.1.1 Ceiling Fan Efficiency Requirements
Certified products shall meet or exceed the minimum requirements presented in Table 1, below, when operating in a downward-blowing direction.

Products that can be matched with several blade options shall be tested and meet these requirements with the blade option resulting in the highest energy consumption. Products that can be configured as either standard or hugger fans, depending on installation, shall meet the applicable requirements in each configuration. All Low-Mount HSSD fans must meet the requirements in Table 1, regardless of the installed configuration.

Table 1: Ceiling Fan Airflow Efficiency Requirements

<table>
<thead>
<tr>
<th>Ceiling Fan Type</th>
<th>Minimum Efficiency† (cfm/W)</th>
<th>Minimum High Speed Airflow† (cfm)</th>
<th>Test Method &amp; Supplemental Testing Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard Ceiling Fan</td>
<td>( \geq 2.63*D - 26.83 )</td>
<td>( \geq 21.88*D + 3096 )</td>
<td>10 CFR Part 430, Subpart B, Appendix U</td>
</tr>
<tr>
<td>Low-Mount HSSD Ceiling Fan</td>
<td>( \geq 2.63*D - 26.83 )</td>
<td>( \geq 21.88*D + 3096 )</td>
<td>Products shipped with ceiling fan light kits shall be tested with those light sources mounted in their intended position and switched off.</td>
</tr>
<tr>
<td>Hugger Ceiling Fan</td>
<td>( \geq 1.75*D - 15 )</td>
<td>( \geq 17.87*D + 2456 )</td>
<td></td>
</tr>
</tbody>
</table>

†D represents the fan blade span in inches
Note: EPA proposes increasing the required airflow efficiency primarily because there is significant opportunity for differentiation of products above the current ENERGY STAR level, despite low market shares for products meeting the current specification. Manufacturers have told EPA that the former requirement to use pin-based bulbs in ENERGY STAR ceiling fans with lighting was a significant barrier to consumer acceptance. This Version 4.0 specification allows ceiling fans with lights to ship with ENERGY STAR certified screw-based bulbs. Because of this, EPA expects the ENERGY STAR ceiling fan market share to grow. In addition to this, with the upcoming DOE fan efficiency standards (compliance date of January 21, 2020), the entire market will shift towards higher efficiency ceiling fans. This revision allows EPA to prepare for the shift, while giving consumers the advantage of better differentiation now.

The proposed airflow efficiency requirements take into consideration the DOE minimum efficiency with a compliance date in early 2020. Approximately 50% of ceiling fans meet the airflow efficiency requirements in the current ENERGY STAR specification, so increasing stringency is called for to maintain the value of the ENERGY STAR mark. While the ability to determine ratings according to the new metric is limited, EPA estimates that 18% of fans meet these proposed requirements, with qualifying models available at every diameter.

As in the current specification, EPA proposes minimum high-speed airflow requirements to ensure that efficiency does not come at a cost of consumer satisfaction. The air speed requirements are not intended to be highly restrictive, instead setting a floor at a level similar to that in the current specification. The required level for hugger fans is lower than for standard fans, reflecting overall lower expected airflow.

EPA welcomes stakeholder comments on these proposed requirements.

3.2 Ceiling Fan Light Kit Requirements

3.2.1 CFLK Efficacy Requirements (Applies to all CFLKs)

Table 2: Ceiling Fan Light Kit Efficacy Requirements

<table>
<thead>
<tr>
<th>CFLK Type</th>
<th>Minimum Efficacy (lumens/W)</th>
<th>Minimum Light Output (lumens)</th>
<th>Methods of Measurement and/or Reference Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>CFLK with Separable Light Sources: ENERGY STAR Certified Lamps</td>
<td>See ENERGY STAR Lamps Specification</td>
<td></td>
<td>ENERGY STAR Lamps Specification in effect on the CFLK’s model date of manufacture</td>
</tr>
<tr>
<td>CFLK with Separable Light Sources: Other</td>
<td>65.0</td>
<td>All CFLK types shall deliver a minimum total light output of 800 lumens.</td>
<td>10 CFR Part 429 and 430, Subpart B, Appendix V1 (Fluorescent Lamp and Ballast Combinations: circline) 10 CFR Part 429 and 430, Subpart B, Appendix W (Fluorescent Lamp and Ballast Combinations: compact non-integrated) IES LM-82-12 (CFLKs with LED light engines) with energy efficiency measurements at room temperature determined in accordance with 10 CFR Part 429 and 430 Subpart B, Appendix V1 IES LM-82-12 (CFLKs with non-standard integrated LED lamps) with energy efficiency measurements at room temperature determined in accordance with CFR 429 and 430, Subpart B, Appendix BB.</td>
</tr>
</tbody>
</table>
### Supplementary Testing Guidance for Products Using LED Light Engines

Laboratory test results shall be produced using the specific models of LED package, LED module or LED array and LED driver (i.e. LED light engine) that will be used in production. In situ temperature measurement value shall be determined in accordance with ANSI/UL 153:2002 (Sections 124-128A), ANSI/UL 1574:2004 (Section 54), or ANSI/UL 1598-2012 (Sections 19.7, 19.10-16), as applicable. Light output, input power and resulting efficacy at room temperature shall be determined in accordance with 10 CFR Part 429 and 430, Subpart B, Appendix V1; measurements at the in situ Tb value shall be determined in accordance with IES LM-82. Product shall meet requirements at both temperatures.

**Note:** These lighting efficacy requirements were established to be as consistent with the source and luminaire based evaluation methodologies used in the ENERGY STAR Luminaires Version 2.0 specification as possible, while integrating the DOE test procedures for CFLKs. The difference is how LED light engine performance will be tested and evaluated. This specification references the DOE test method and IES LM-82; therefore, light engines will be evaluated at room temperature and at the in-situ temperature. Minimum light output requirements were simplified from the ENERGY STAR Luminaires specification to offer flexibility and deliver at minimum comparable light output to a single traditional 60W light bulb. This minimum level for light output was chosen because CFLKs are typically used to provide general illumination or be the primary light source in a given room, in place of a ceiling light.

### 3.2.2 Option 1 Performance Requirements: for CFLKs Shipping with ENERGY STAR Certified Light Bulbs

For this certification pathway, CFLKs must ship with bulbs certified to the ENERGY STAR Lamp Specification effective on the date of manufacture of CFLK and be included in the CFLK certification documentation. Sections 3.2.3-3.2.4 do not apply as lighting performance requirements are fulfilled through the certification of the lamp and the following five requirements listed in this section. Lamp efficacy, light output, correlated color temperature, and ratings can be referenced on the ENERGY STAR Lamps product listing. Certain CFLK specific requirements (as noted below) still apply to the CFLK.

To satisfy the requirements of this specification, ceiling fan light kits (CFLKs) shipping with ENERGY STAR certified lamps shall:

1. Be packaged with light bulb(s) certified to the ENERGY STAR Lamps Specification in effect on the CFLK’s model date of manufacture. ENERGY STAR certified lamp model information for all potential lamp models shipping with the CFLK must be included in the CFLK certification.
2. Be shipped with lamps suitable for the CFLK type. For example, a lamp shipped with an enclosed CFLK must be safety tested in a totally enclosed situation and may not be rated or labeled “not for use in totally enclosed fixtures,” or similar.
3. Have in situ temperature of the ambient air inside of the enclosure measured to verify that the air temperature does not exceed 45°C; in situ temperature shall be measured by placing a thermocouple halfway between the surface of the bulb and the interior surface of the CFLK enclosure.
5. Be shipped with lamps directly installed or the ENERGY STAR certified lamps shipped with CFLKs must comply with the packaging requirements of the lamps specification.
**Note:** As in the Luminaires specification, partners may include an appropriate ENERGY STAR certified bulb in their ceiling fan light kit and rely on the qualification of the bulb for most of the lighting requirements for certification. In addition to being easier for manufacturers, this provides an option for consumers to purchase products with the efficient performance of ENERGY STAR in the convenience of standard screw based sockets. EPA believes use of this option will significantly increase the consumer appeal of ENERGY STAR certified ceiling fans with lighting.

### 3.2.3 Option 2 Performance Requirements: for CFLKs with Integrated Solid-State Lighting Circuitry and CFLKs with Separable Light Sources Other than ENERGY STAR Certified Lamps

For all applicable requirements below, unless otherwise noted, laboratory test results shall be produced using the specific models of lamp and ballast or LED package, LED module or LED array and LED driver that will be used in production. Unless otherwise noted (e.g. minimum rated lifetime for fluorescent products), one sample of each lamp-ballast model combination, or LED package/LED module/LED array and LED driver model combination shall be tested. Sample must pass the following requirements.

#### Table 3: Ceiling Fan Light Kit Performance Requirements

<table>
<thead>
<tr>
<th>CFLK Performance criteria</th>
<th>Requirement</th>
<th>Methods of Measurement and/or Reference Documents</th>
</tr>
</thead>
</table>
| Color Consistency         | Correlated Color Temperature (CCT): CFLK must correlate to at least one of the following ANSI nominal CCTs and fall within the designated 7-step quadrangle or ellipse using the Objective Chromaticities detailed in the reference publications.  
  • 2700 Kelvin  
  • 3000 Kelvin  
  • 3500 Kelvin  
  • 4000 / 4100 Kelvin  
  • 5000 Kelvin | Methods of Measurement:  
  IES LM-9-09 (Fluorescent Lamp and Ballast Combinations: circline)  
  10 CFR Part 429 and 430, Subpart B, Appendix W (Fluorescent Lamp and Ballast Combinations: compact non-integrated)  
  IES LM-79-08 (CFLKs with Integrated Solid-State Lighting Circuitry)  
  IES LM-82-12 (CFLKs with LED light engines)  
  IES LM-82-12 (CFLKs with non-standard integrated LED lamps) with energy efficiency measurements at room temperature determined in accordance with CFR 429 and 430, Subpart B, Appendix BB.  
  Calculation:  
  CIE 15.2004  
  Reference Documents:  
  ANSI C78.376-2001 (Fluorescent Lamp and Ballast Combinations: circline)  
  ANSI/NEMA/ANSLG C78.377-2015 (CFLKs with Integrated Solid-State Lighting Circuitry & Other SSL Products Using Consumer Replaceable LED Light Engines)  
  Testing Color Tunable CFLKs:  
  The requirements of this section do not apply to products that only have color shifting dimmable (dim-to-warm) functionality because they are only evaluated at the highest wattage or voltage setting.  
  For full-color-tunable and white-tunable CFLKs:  
  • All tests and evaluations included in this specification shall be performed at the most consumptive white light setting covered by this specification; and |
<table>
<thead>
<tr>
<th>CFLK Performance criteria</th>
<th>Requirement</th>
<th>Methods of Measurement and/or Reference Documents</th>
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<tbody>
<tr>
<td></td>
<td></td>
<td><strong>Watts, lumens, chromaticity, and CRI shall be tested and reported for default and most consumptive white light setting covered by this specification.</strong> In order to facilitate compliance testing, the partner shall provide detailed instructions for the control settings or control signals (as applicable) for reaching the default, and most consumptive white light modes as applicable.</td>
</tr>
<tr>
<td><strong>Color Maintenance:</strong></td>
<td>Luminaire change in chromaticity coordinates from 0-hour measurement, at any measurement point during operation, shall be ≤ a total linear distance of 0.007 on the CIE 1976 u’v’ diagram.</td>
<td><strong>Methods of Measurement:</strong> IES LM-79-08 (CFLKs with Integrated Solid-State Lighting Circuitry &amp; Other SSL Products Using Consumer Replaceable LED Light Engines) IES LM-80-08 and its Addendum A or IES LM-80-15 (CFLKs with Integrated Solid-State Lighting Circuitry &amp; Other SSL Products Using Consumer Replaceable LED Light Engines) IES LM-84-14 (Other SSL Products Using Consumer Replaceable LED Light Engines) <strong>Reference Documents:</strong> CIE 13.3-1995 In situ temperature measurements (CFLKs with Integrated Solid-State Lighting Circuitry &amp; Other SSL Products Using Consumer Replaceable LED Light Engines): ANSI/UL 153:2002 (Sections 124-128A) ANSI/UL 1574:2004 (Section 54) ANSI/UL 1598-2012 (Sections 19.7, 19.10-16)</td>
</tr>
</tbody>
</table>
| **Color Accuracy**      | CFLK shall be capable of meeting or exceeding CIE Color Rendering Index values as follows, Ra ≥ 80 and R9 > 0 | **Methods of Measurement:** CIE 13.3-1995 IES LM-9-09 (Fluorescent Lamp and Ballast Combinations: circline) 10 CFR Part 429 and 430, Subpart B, Appendix W (Fluorescent Lamp and Ballast Combinations: compact non-integrated) IES LM-79-08 (CFLKs with Integrated Solid-State Lighting Circuitry) IES LM-82-12 (CFLKs with LED light engines) IES LM-82-12 (CFLKs with non-standard integrated LED lamps) with energy efficiency measurements at room temperature determined in accordance with CFR 429 and 430, Subpart B, Appendix BB. **Reference Documents:** CIE 13.3-1995 In situ temperature measurements (separable): ANSI/UL 153:2002 (Sections 124-128A) ANSI/UL 1574:2004 (Section 54) ANSI/UL 1598-2012 (Sections 19.7, 19.10-16) **Supplemental Testing Guidance:** LED light engine (“source”) CRI shall meet the requirement as determined by comparing the in
<table>
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<tbody>
<tr>
<td></td>
<td>situ (installed in the luminaire) $T_b$ value to the LM-82 test report. In situ temperature measurement value shall be determined in accordance with ANSI/UL 153:2002 (Sections 124-128A), ANSI/UL 1574:2004 (Section 54), or ANSI/UL 1598-2012 (Sections 19.7, 19.10-16), as applicable. LM-82 test reports shall detail luminous efficacy, luminous flux, chromaticity coordinates, CCT and CRI values for all tested temperatures. Linear interpolation shall be employed to determine source photometric performance at temperatures between the LM-82 reported temperatures higher and lower than the in situ temperature. Luminaires incorporating more than one source shall have all sources installed and operational during in situ temperature testing.</td>
<td></td>
</tr>
<tr>
<td>Minimum Rated Life</td>
<td>10,000 hours (Fluorescent Lamp and Ballast Combinations: compact non-integrated)</td>
<td>Methods of Measurement: IES LM-40-10 (circline) 10 CFR Part 429 and 430, Subpart B, Appendix W (Fluorescent Lamp and Ballast Combinations: compact non-integrated)</td>
</tr>
<tr>
<td></td>
<td>Passing Test: ≥ 50% of the sample set shall be functioning at the lifetime requirement.</td>
<td>Sample Size: ≥ 3 samples of each CFLK model shall be tested.</td>
</tr>
<tr>
<td></td>
<td>Supplemental Testing Guidance: Conditional certification may be granted if both of the following are met: 1. Testing has been completed for at least 40% of rated life. 2. A date for testing completion has been established by the test laboratory.</td>
<td>Conditional certification shall be immediately withdrawn if final testing results do not meet the requirement.</td>
</tr>
<tr>
<td></td>
<td>25,000 hours (Indoor Separable CFLKs using LED Light Engines) 35,000 hours (Outdoor Separable CFLKs using LED Light Engines) 50,000 hours (CFLKs with Integrated Solid-State Lighting Circuitry)</td>
<td>SSL CFLK Rated Life is determined by a lumen maintenance projection of $L_{70}$. See section 3.2.4 below for more related SSL Rated Life testing requirements.</td>
</tr>
<tr>
<td>Start Time</td>
<td>Light source shall remain continuously illuminated within 750 milliseconds of application of electrical power</td>
<td>Method of Measurement: ENERGY STAR Start Time Test Method or 10 CFR Parts 429 and 430, Subpart B, Appendix W</td>
</tr>
<tr>
<td></td>
<td>Exception: CFLKs meeting the connected criteria shall remain continuously illuminated within 1000 milliseconds of application of electrical power.</td>
<td>Reference Document: ANSI C82.11 Consolidated-2002, Section-5.2</td>
</tr>
<tr>
<td>Run Up Time</td>
<td>Only applicable to Fluorescent CFLKs Reported value of time for lamps to reach 80% of stabilized lumen output after application of electrical power shall be ≤ 45 seconds</td>
<td>Method of Measurement: ENERGY STAR Run-Up Time Test</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Reference Document: IES LM-54-12 IES LM-66-14</td>
</tr>
<tr>
<td>CFLK Performance criteria</td>
<td>Requirement</td>
<td>Methods of Measurement and/or Reference Documents</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-------------</td>
<td>-------------------------------------------------</td>
</tr>
</tbody>
</table>
| **Power Quality**         | Total CFLK input power ≤ 5 watts: Power Factor ≥ 0.5  
                           Total CFLK input power > 5 watts: Power Factor ≥ 0.7 | **Method of Measurement:**  
                           C82.77-10:2014 |
| **Transient Protection**  | CFLK integrated light source, ballast or driver shall comply with ANSI/IEEE C62.41.1-2002 and ANSI/IEEE C62.41.2-2002, Category A operation. The line transient shall consist of seven strikes of a 100 kHz ring wave, 2.5 kV level, for both common mode and differential mode. Units shall be fully operational at the completion of testing. | **Methods of Measurement:**  
| **Operating Frequency:**  | Fluorescent 20 to 33 kHz or ≥ 40 kHz  
                           SSL ≥ 120 Hz | **Fluorescent Method of Measurement:**  
                           ANSI C82.2-2002  
                           **SSL Method of Measurement:**  
                           None referenced  
                           **Reference Document:**  
                           IEEE PAR1789  
                           **Supplemental Testing Guidance:**  
                           Laboratory test results shall be produced using the specific luminaire, or LED light engine used in the luminaire. Light output waveform shall be measured with a photodetector with a rise time of 10 microseconds or less, transimpedance amplifier and oscilloscope. Employed equipment models and method of measurement shall be documented. Temporal response, amplification and filtering characteristics of the system shall be suitably designed to capture the photometric waveform. Digitized photometric waveform data and an image of the relative photometric amplitude waveform shall be recorded. Measured data shall be recorded to a digital file with an interval between each measurement no greater than 0.00005 sec (50 microseconds) corresponding to an equipment measurement rate of no less than 20kHz, and capture at least 1 second of data. Sample Size: 1 luminaire, LED light engine, or retrofit kit shall be tested. |
| **Serviceability**        | Light sources and ballasts or drivers shall be accessible and removable by an electrician without the cutting of wires and without damage to the luminaire housing, trim, decorative elements or the carpentry (e.g., ceiling drywall) to which the luminaire is attached. Instructions shall be provided with the luminaire, detailing guidance on ballast or driver replacement by a "qualified electrician"  
                           **Exceptions:** CFLKs shipping with ENERGY STAR certified lamps, light engines with integrated drivers, and CFLK with Integrated Solid-State Lighting Circuitry. | **Reference Documents:**  
                           ANSI/UL 153:2002 (Sections 124-128A)  
                           ANSI/UL 1574:2004 (Section 54)  
                           ANSI/UL 1598-2012 (Sections 19.7, 19.10-16).  
                           **Supplemental Testing Guidance:**  
                           **Fluorescent:** Ballast case temperature shall be |
<table>
<thead>
<tr>
<th>CFLK Performance criteria</th>
<th>Requirement</th>
<th>Methods of Measurement and/or Reference Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>can be measured by an EPA recognized laboratory.</td>
<td>measured at thermal equilibrium, at the hot spot location provided by the ballast manufacturer.</td>
<td></td>
</tr>
<tr>
<td>SSL: Driver case temperature shall be measured at thermal equilibrium, at the temperature measurement point for the hottest location on the driver case (TMPC as detailed by the driver manufacturer).</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Safety</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CFLKs and their key components (light source and driver or ballasts) must comply with the appropriate safety certifications. Connected products must continue to comply with the applicable product safety standards – the addition of the functionality shall not override existing safety protections and functions.</td>
<td>Fluorescent CFLKs must demonstrate compliance with ANSI/UL 1598, ANSI/UL 2108, ANSI/UL 935-, ANSI/UL 1310, and ANSI/UL 1993, as applicable. SSL CFLKs must demonstrate compliance with ANSI/UL 1598, ANSI/UL 2108, ANSI/UL 8750, ANSI/UL 1310, ANSI/UL 2108, and ANSI/UL 8750, as applicable. Documentation shall be produced by an OSHA NRTL laboratory.</td>
<td></td>
</tr>
<tr>
<td><strong>Dimmability:</strong> This applies to any CFLK marketed as dimmable; if not marketed as dimmable, packaging and marketing materials must identify that the CFLK is “not dimmable”</td>
<td>A dimmable CFLK shall provide continuous dimming from 100% to 20% of light output. Exception: Step dimming CFLKs At minimum claimed light output, CFLK shall not emit noise above 24dBA when measured at a distance of one meter or less. See packaging section for related marking requirements. A dimmable SSL CFLK shall meet NEMA SSL 7A and NEMA 77-2017 for compatibility and temporal light modulation limits respectively.</td>
<td>Methods of Measurement: NEMA 77-2017 NEMA SSL7A ENERGY STAR Recommended Practice - Light Output on a Dimmer ENERGY STAR Test Method - Noise Reference Documents: ISO 7574-4:1985, B.2.1 ANSI S12.55- 2012/ISO3745:2012</td>
</tr>
</tbody>
</table>
3.2.4 Option 2 Lumen Maintenance Requirements: CFLKs with Integrated Solid-State Lighting Circuitry and CFLKs with Separable Light Sources Other than ENERGY STAR Certified Lamps

Table 4: Ceiling Fan Light Kit Lumen Maintenance Requirements

<table>
<thead>
<tr>
<th>Source Type</th>
<th>ENERGY STAR Requirements</th>
<th>Methods of Measurement and/or Reference Documents</th>
<th>Supplemental Testing Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fluorescent: non-self-ballasted</td>
<td>Lamp shall have an average rated lumen maintenance of at least 80% of initial lamp lumens at 40% of rated lamp life.</td>
<td>Methods of Measurement: IES LM-40-10 IES LM-09-09 (Circline) 10 CFR Part 429 and 430, Subpart B, Appendix W to Subpart B (Fluorescent Lamp and Ballast Combinations: compact non-integrated) Reference Documents: ANSI C82.1 ANSI C82.3 ANSI C78.901 IES LM-66-14</td>
<td>Sample Size: ≥ 3 samples of each lamp model shall be tested and all units must pass.</td>
</tr>
<tr>
<td>fluorescent lamps shipped with</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>the CFLK</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Solid-State Option 1: CFLK, LED</td>
<td>The LED package(s)/module(s)/array(s) and LED light engines used in CFLKs with Integrated Solid-State Lighting Circuitry or Separable CFLKs, shall meet the following L70 rated lumen maintenance life values, in situ:</td>
<td>Option 1 Methods of Measurement: Lumen Maintenance: IES LM-80-08 and its Addendum A or IES LM-80-15 Lumen Maintenance Projection Method: IES TM-21-11 and its Addendum B CCT Calculation: CIE 15.2004 Reference Documents: ANSI/UL 153:2002 (Sections 124-128A) ANSI/UL 1574:2004 (Section 54) ANSI/UL 1598-2012 (Sections 19.7, 19.10-16)</td>
<td>Sample Size: 1 complete luminaire or LED light engine.</td>
</tr>
<tr>
<td>Light Engine, LED Package,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Module, or Array</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: All performance requirements above were carried over from the ENERGY STAR Luminaires Version 2.0 specification. Where no test methods were referenced in the Luminaires specification for dimming, EPA has carried over the relevant test methods and recommended practices from the ENERGY STAR Lamps Version 2.0 specification. EPA is also proposing to include a new standard to address temporal light modulation for dimmable CFLKs. This test method is under development. Stakeholders interested in this development process can contact lighting@energystar.gov. This test method is expected to be completed prior to the effective date of this specification.
<table>
<thead>
<tr>
<th>Source Type</th>
<th>ENERGY STAR Requirements</th>
<th>Methods of Measurement and/or Reference Documents</th>
<th>Supplemental Testing Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Solid-State Option 2:</td>
<td>CFLKs with integrated Solid-State Lighting circuitry and Separable CFLKs using LED light engines shall meet the following L70 rated lumen maintenance life values, in situ:</td>
<td>Chromaticity Specifications: ANSI/NEMA/ANSI C78.377-2015</td>
<td>- Lifetime claims shall be substantiated with a TM-21 lumen maintenance life projection report.</td>
</tr>
<tr>
<td>CFLK or LED Light Engine</td>
<td><strong>Option 2</strong>&lt;br&gt;&lt;br&gt;CFLK shall be operated continuously in accordance with ANSI/UL 1598-2012, ANSI/UL 1574-2004 or ANSI/UL 153-2002 during the testing; any deviations from this shall be reported. LED light engines (“source”) shall be operated continuously in situ (installed in the luminaire), with the luminaire operating in accordance with the appropriate safety standard for the product type during the testing. Luminaires incorporating more than one source shall have all sources installed and operational during the testing. During initial and final measurements, T_b temperature shall be controlled to match T_b temperature.</td>
<td>Lumen Maintenance: IES LM-84-14&lt;br&gt;IES LM-84-14 – Projection Method 1. Direct Extrapolation&lt;br&gt;CCT Calculation: CIE 15.2004</td>
<td>- L70(6k) ≥ 25,000 hours for indoor Separable CFLKs using LED Light Engines</td>
</tr>
<tr>
<td>Source Type</td>
<td>ENERGY STAR Requirements</td>
<td>Methods of Measurement and/or Reference Documents</td>
<td>Supplemental Testing Guidance</td>
</tr>
<tr>
<td>-------------</td>
<td>--------------------------</td>
<td>-------------------------------------------------</td>
<td>-------------------------------</td>
</tr>
<tr>
<td></td>
<td>• L70(6k) ≥ 35,000 hours for outdoor Separable CFLKs using LED Light Engines</td>
<td><strong>Reference Documents:</strong> Chromaticity Specifications: ANSI/NEMA/ANSI/AS</td>
<td>measured when source is operated in situ.</td>
</tr>
<tr>
<td></td>
<td>• L70 ≥ 50,000 hours for all CFLKs with integrated Solid-State Lighting circuitry</td>
<td>C78.377-2015 ANSI/UL 153:2002 (Sections 124-128A) ANSI/UL 1574:2004 (Section 54) ANSI/UL 1598-2012 (Sections 19.7, 19.10-16) ANSI/UL 1598C-2014</td>
<td>Test reports shall detail efficacy, luminous flux, chromaticity coordinates, CCT, and CRI values at all test intervals. Test intervals shall be conducted according to IES TM-28-14 §4.2 with a maximum interval length of 1,000 hours. Lumen maintenance projections must support all LED colors used.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Chromaticity Specifications: ANSI/NEMA/ANSI/AS C78.377-2015</td>
<td><strong>Sample Size:</strong> According to IES TM-28-14 – §5.1.5 CFLK with Integrated Solid-State Lighting Circuitry: 3 or more complete CFLKs. Separable: 3 or more sources and the necessary number of luminaires required to operate the sources continuously in situ.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Lumen Maintenance: <a href="#">ENERGY STAR TM-28 Calculator</a></td>
<td><strong>Passing Test:</strong> All luminaires or sources shall pass.</td>
</tr>
</tbody>
</table>

**Note:** Section 3.2.4 is virtually identical to the current ENERGY STAR requirements for ceiling fans with lighting but has been edited in this Draft 1 specification in an effort to simplify navigating this specification.

### 4 CONTROL AND STANDBY REQUIREMENTS

#### 4.1 Wired and Remote Controls

Certified products shall permit convenient consumer adjustment of fan speed and lighting source control. This may be accomplished by means of one or more wall-mounted switch(es), readily accessible pull chain(s), remote controls or mobile device applications.

For purposes of this specification, “readily accessible” shall be defined as a chain length sufficient to reach a height of no more than 80 inches (203 cm) above the floor when the residential ceiling fan is mounted according to the residential ceiling fan’s installation instructions.

Certified products that offer wireless remote signal control must provide at least one hard-wired (i.e., wall-mounted switch or readily accessible pull chain) control as a backup in case of wireless signal failure. For those residential ceiling fans that can accommodate ceiling fan light kits, the lights and the fans shall be able to be controlled separately, allowing users to switch off lights during fan operation or operate the lights without using the residential ceiling fan.

Certified products shall also provide for consumer adjustment of airflow direction (upward or downward) by one of the following means:

- A vertically or horizontally mounted slide switch on the motor housing. For vertically mounted switches, the downward position shall correspond to downward airflow. For horizontally mounted switches, airflow direction shall be clearly identified on the switch housing or within the product literature.
- A wall-mounted switch
- A readily accessible pull chain
- A remote control or mobile device application
4.2 Products with Connected Functionality – Optional

4.2.1 Connected Product Criteria

Connected functionality is optional and products may be certified as ENERGY STAR without meeting these requirements. Those that meet these connected criteria will be identified as connected in the ENERGY STAR Product Finder.

To be identified as connected, a certified product shall include the base product plus elements (hardware and software or firmware) or instructions required to enable communication in response to consumer-authorized energy or performance related commands (e.g. instructions for downloading a mobile application, Bluetooth syncing guidance) and shall meet the requirements in sections 4.2.2-4.2.6. These elements may be resident inside or outside of the base product. Connected products typically communicate with controls via a radio frequency system (e.g., Wi-Fi, DALI, ZigBee, Bluetooth), although some versions use other methods (e.g., DMX).

The specific design and implementation of the connected product is at the partner’s discretion provided it enables economical, consumer-authorized third party access to the functions provided for in sections 4.2.3, 4.2.4, and 4.2.5. Compliance with connected functionality requirements shall be demonstrated through examination of product and/or product documentation.

4.2.2 Open Access

The certified product shall enable connectivity by one of following means:

1. Open-standards communications from the certified product, or
2. Open-standards communications from an external controller, included with the product or available separately.
3. Where no suitable open standards communications method exists (e.g., an IP interface), an available and documented communication method must be used. In these cases, a manufacturer-specific method to implement the functions in sections 4.2.3, 4.2.4 and 4.2.5 shall be published for use with the product.

To enable interconnection with the product, an interface specification, Application Programming Interface (API) or similar documentation shall be made available to interested parties that enables section 4.2.3, 4.2.4 and 4.2.5 connected functionality, and includes accuracy, units and measurement intervals for Energy Consumption Reporting.

4.2.3 Energy Consumption Reporting

The product, or the gateway device or cloud service connected to it, shall be capable of interconnecting with consumer authorized entities to communicate data representative of its interval energy consumption. It is recommended that data be reported in watt-hours for intervals of 15 minutes; however, representative data may also be reported in alternate units and intervals as specified in the product manufacturer’s interface specification or API. If the product does not provide power consumption directly in watts, the manufacturer shall make available a method for estimating power consumption, in watts, from the representative data that is provided by the product.

4.2.4 Operational Status Reporting

At a minimum, the product, or the gateway device or cloud service connected to it, shall be capable of providing the operational status (e.g., on/off status, speed, direction) to energy management systems and other consumer authorized devices, services or applications via a communication link.

4.2.5 Remote Management

The product shall be capable of receiving and responding to energy management system or other consumer authorized remote requests, via devices, services or applications, similar to hard-wired consumer controllable functions.
4.2.6 Information to Consumers

If additional devices, services, and/or infrastructure are required to activate the product’s connected capabilities, prominent labels, or other forms of consumer notifications shall be displayed at the point of purchase and in the product literature. (e.g. “This product has Z-wave control capability and requires interconnection with a Z-wave controller to enable local control.”)

Note: A growing number of ceiling fans are available that offer control via a mobile device application, often in conjunction with the ability to work with a third party home control hub like Apple Homekit or other connected devices such as the Nest Learning Thermostat. EPA believes that along with the additional convenience such integration offers consumers, it has the potential to support energy savings as well.

EPA has included optional connected criteria in specifications for many ENERGY STAR product types to recognize growing consumer interest in such products and encourage features that support energy savings to be offered in them.

The criteria proposed in section 4.2 reflect EPA’s interest in working with ceiling fan stakeholders to develop such criteria for ceiling fans. The proposed requirements are modeled on those in the ENERGY STAR Luminaires Version 2.0 and Lamps Version 2.0 specifications. Note that EPA considers products using a traditional IR or RF remote wall switch or remote control alone very different than those intended for integration into a home automation system, and does not expect them to be identified as connected.

In ENERGY STAR product categories that include optional connected criteria, EPA highlights products that meet the criteria on the ENERGY STAR Product Finder, so end-users interested in products that could be integrated into a home automation system can better identify them. Products do not need to meet section 4.2 to be certified as ENERGY STAR.

EPA welcomes stakeholder feedback on this proposal, and looks forward to a robust discussion. Settling on these requirements need not delay the schedule to finalize the revision. If additional discussion is needed to complete these criteria, EPA will finalize with a “TBD” for the connected requirements and follow up with a dot 1 revision to finalize the requirements. This will allow partners to certify products using the new Federal test method and metric as soon as possible.

4.3 Standby Power Consumption

Table 5: Standby Power Consumption Requirements

<table>
<thead>
<tr>
<th>ENERGY STAR Requirements</th>
<th>Methods of Measurement and/or Reference Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standby power consumptions of certified ceiling fans and ceiling fan light kits shall be reported separately.</td>
<td>10 CFR Part 430, Subpart B, Appendix U</td>
</tr>
<tr>
<td>Laboratory test results shall detail standby power consumption to at least the tenth of a watt.</td>
<td></td>
</tr>
</tbody>
</table>

Note: EPA proposes standby power as a reporting requirement in order to help evaluate the standby energy cost of features that may decrease total power used (e.g. occupancy sensors, home automation integration).

5 MINIMUM WARRANTY

Partners must provide a copy of the actual warranty that is included with the product packaging. Partner is solely responsible for honoring warranty; intermediate parties (e.g. showrooms, electrical distributors, retailers) are not responsible for warranty requirements.

Certified ceiling fans shall provide a warranty of at least 10 years for the motor and associated driver electronics and at least one year for all other non-lighting components of certified residential ceiling fans.
For ceiling fan light kits that:

- Incorporate replaceable drivers, a written warranty shall be included with CFLK packaging at the time of shipment which covers repair or replacement of defective parts of the CFLK housing, mounting hardware, optics, driver and trim for a minimum of 3 years from the date of purchase.
- Incorporate non-replaceable drivers, the above warranty requirement is extended to 5 years.

6 PRODUCT CERTIFICATION

6.1 CFLK Product Families

Grouped product submissions for ENERGY STAR certification shall meet the following requirements:

Certified products within a product family shall be identical to the tested, representative model with the exception of allowed variations listed in the table below. The representative model shall be the variation expected to have the greatest difficulty meeting the performance requirements outlined in this specification.

<table>
<thead>
<tr>
<th>CFLK Attribute</th>
<th>Allowable Variation</th>
<th>Additional Test Data Required for Each Variant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing / Chassis</td>
<td>Allowed so long as the light source or lampholder, ballast or driver, and heat sink (as applicable) are integrated into housing / chassis variations in such a way that the thermal performance of the CFLK is not degraded by changes to the housing / chassis.</td>
<td>Engineering rationale or thermal measurements of each variation may be required (e.g. ballast case temperature, $\text{TMP}<em>{\text{LED}}$, or $\text{TMP}</em>{\text{C}}$).</td>
</tr>
<tr>
<td>Heat Sink / Thermal Management Components</td>
<td>Not allowed.</td>
<td>None</td>
</tr>
<tr>
<td>Finish</td>
<td>CFLK body color/pigment.</td>
<td>None</td>
</tr>
<tr>
<td>Mounting</td>
<td>Allowed.</td>
<td>None</td>
</tr>
<tr>
<td>Electrical Connection (SSL Retrofits)</td>
<td>Allowed (e.g. E26 and GU24).</td>
<td>None</td>
</tr>
<tr>
<td>Reflector / Trim</td>
<td>Allowed so long as CFLK light output is not reduced.</td>
<td>Luminous flux for each basic trim or reflector variation of the darkest or least efficient finish may be required.</td>
</tr>
<tr>
<td>Shade / Diffuser</td>
<td>Allowed so long as neither CFLK light output nor airflow are reduced.</td>
<td>None</td>
</tr>
</tbody>
</table>
| Light Source$^6$              | Allowed so long as variations will not negatively impact CFLK’s compliance with any performance criteria in this specification. | • Certified performance data from additional light source if separable
• Integrating sphere test for CFLK with Integrated Solid-State Lighting Circuitry |

$^6$ Partners may not retroactively add variations to a product family unless requirements in Table 1 are still met. For example, if the representative model tested is a SSL product with a 3000K nominal CCT, partner may not retroactively add a 2700K model without additional testing, as this was not the lowest CCT initially tested.
<table>
<thead>
<tr>
<th>Correlated Color Temperature (CCT)</th>
<th>Allowed so long as the lamp series or LED package/module/array series (and associated drive current), ballast or driver, and thermal management components are identical, and so long as variations will not negatively impact CFLK’s compliance with any performance criteria in this specification.</th>
<th>None</th>
</tr>
</thead>
<tbody>
<tr>
<td>(also review Light Source above)</td>
<td>The representative model shall be the version within the product family with the lowest CCT for SSL products and the highest CCT for discharge products. Partner shall use different CFLK model numbers to distinguish between models shipped with light sources of varying CCTs.</td>
<td></td>
</tr>
</tbody>
</table>
| Product Wattage<sup>7</sup>      | For CFLK with Integrated Solid-State Lighting Circuitry:  
- The only product wattage variation allowed to the CFLK is a change that provides a different drive current to the LED package, array or module.  
- The LED package, array, or module model must not change, although CCT remains an allowable variation.  
- The model tested should be the highest wattage, highest CRI, and lowest CCT variant.  
- LED drive current measurement  
- Integrating sphere scan to represent performance of variants including:  
  - CCT  
  - Lumen Output  
  - CRI  
  - Power Consumption  
  - Chromaticity |
|                                  | For Fluorescent products:  
- The lamp wattage may change, but not the general type or configuration.  
- Example: A 32W triple tube pin based fluorescent representing a 26W triple tube pin based fluorescent would be acceptable, but not representing a 26W twin tube fluorescent.  
- The only performance change to the CFLK is to the lamp (or lamp and ballast) with a lower wattage.  
- The model tested should be the highest wattage, highest CRI, and highest CCT variant.  
- Certified lamp data for variants  
- Integrating sphere scan to represent performance of variants including:  
  - CCT  
  - Lumen Output  
  - CRI  
  - Power Consumption  
  - Chromaticity |
| Ballast / Driver (no change in nominal wattage or current) | Allowed so long as variations will not negatively impact CFLK’s compliance with any performance criteria in this specification. | Thermal measurements of each variation may be required (e.g. ballast case temperature or TMP<sub>C</sub>). |

### 6.2 Solid-State Lumen Performance Data

Content and application of IES LM-80-08 reports for CFLKs shall comply with the ENERGY STAR Requirements for the Use of LM-80 Data.

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<sup>7</sup> When wattage as a variation is used, changes to optics and LED package, array or module (where applicable) are not permitted, as these changes would result in a change in distribution which must be re-evaluated against the CFLK specific requirements. The additional models would still require an integrating sphere LM-79 test to verify other photometric and electrical performance requirements. Each wattage variation should be listed individually.
6.3 Significant Digits and Rounding

1. All calculations shall be carried out with directly measured (unrounded) values.
2. Unless otherwise specified, compliance with specification limits shall be evaluated using directly measured or calculated values without any benefit from rounding.
3. Directly measured or calculated values that are submitted for reporting on the ENERGY STAR website shall be rounded to the nearest significant digit as expressed in the corresponding specification limit.
4. Ceiling Fan Efficiency shall be expressed as a whole number in accordance with Section 3.1 of 10 CFR 430, Subpart B, Appendix U.
5. Ceiling Fan Light Kit efficacy shall be rounded to the nearest tenth of a lumen per watt in accordance with 10 CFR 429, Subpart B §429.33.

6.4 Ceiling Fan Sampling

One of the following sampling plans shall be used for purposes of testing for ENERGY STAR certification of ceiling fans:

1. A single unit is selected, obtained, and tested. The measured performance of this unit and of each subsequent unit manufactured must be equal to or better than the ENERGY STAR specification requirements. Results of the tested unit may be used to certify additional individual model variations within a basic model group as long as the definition for basic model group provided in Section 1, above, is met; or
2. Units are selected for testing and results calculated according to the sampling requirements defined in 10 CFR 429, Subpart B §429.32 for ceiling fans and 10 CFR 429, Subpart B §429.33 for ceiling fan light kits. The certified rating must be equal to or better than the ENERGY STAR specification requirements. Results of the tested unit may be used to certify additional model variations within a basic model group as long as the definition for basic model group provided in Section 1, above, is met. Further, all individual models within a basic model group must have the same certified rating. Based on the applicable sampling criteria, this rating must be used for all manufacturer literature, the qualified product list, and certification of compliance to DOE standards.

Note: EPA has updated sampling language to align with its usual language for DOE-covered products. For such products, EPA accepts any rating that DOE accepts. That means, for instance, that the qualification of all members of a basic model based on one member works the same for ENERGY STAR certification as for DOE compliance.

EPA proposes to pull in relevant language from the Luminaires specification further defining product families for the purpose of CFLK certification.

7 LABELING & PACKAGING

7.1 Ceiling Fans Sold without Ceiling Fan Light Kits

Certified residential ceiling fans sold without ceiling fan light kits shall provide information on product packaging or with product instructions regarding ENERGY STAR certified ceiling fan light kits that may be used with that particular residential ceiling fan.

7.2 Ceiling Fan Light Kit Packaging Requirements (sold with a fan or separately)

1. Packaging and marketing claims shall represent the product consistent with its certification.
2. Packaging shall clearly describe the nominal color designation of the lamp in units of Kelvin (e.g. 2700K, 3000K) and may display recommended corresponding nomenclature as outlined below.
   This can also be met through use of a Lighting Facts label (as applicable). If packaging includes a
color descriptor term, EPA recommends the following corresponding nomenclature as outlined below.

a. 2700K – Soft White  
b. 3000K – Warm White  
c. 3500K – Neutral White  
d. 4000/4100K – Cool White  
e. 5000K – Daylight

3. For CFLKs shipped with lamps containing mercury: Both the lamp and the CFLK packaging shall have a label indicating mercury content which must be managed and disposed of properly, and shall reference: [www.epa.gov/cfl](http://www.epa.gov/cfl)

4. For outdoor CFLKs: Packaging shall indicate the minimum (lowest) starting temperature for the lamp and ballast platform of the CFLK.

5. For CFLKs marketed as dimmable: CFLK packaging shall indicate dimming range (as applicable), a list or web site address with compatible dimmers or other controls or NEMA light+dimmer compatibility marking, and known incompatibilities with dimmers, occupancy or vacancy sensors, timing devices or other external lighting controls, or a message noting limitations and web site address to find out more specific information. Partner shall periodically review this packaging language to determine if updates are needed. Additionally, Partner is encouraged to maintain an up to date web address where additional compatibility information is detailed. Step dimming capability, if employed, shall be clearly indicated.

6. While not a requirement for certification, EPA recommends partners provide a conspicuous ENERGY STAR certification mark (e.g. sticker, hangtag) on certified CFLKs themselves: to facilitate building inspectors confirming certification status of installed CFLKs and to provide out-of-the-box marketing of a CFLK’s ENERGY STAR certification and to demonstrate to consumers a partner’s commitment to advancing energy efficiency in lighting.

8 LIGHTING TOXICS REDUCTION REQUIREMENTS: ALL CFLKS


CFLKs shall not exceed:

- 0.1% by weight in homogenous material (1000 ppm): Mercury, Lead, Hexavalent Chromium, PBB (polybrominated biphenyls), and PBDE (polybrominated diphenyl ethers)
- 0.01% by weight in homogenous material (100 ppm): Cadmium

A list of RoHS exemptions that will be accepted by the ENERGY STAR program that may be relevant to CFLKs and lamps is detailed below:

Exemptions:
1. Mercury in single capped (compact) fluorescent lamps not exceeding (per burner):
   a. Lamps ≤ 23.0 rated watts shall contain ≤ 2.5 milligrams (mg) mercury per lamp
   b. Lamps ≥ 23.0 rated watts shall contain ≤ 3.0 milligrams (mg) mercury per lamp
2. Lead in glass of fluorescent tubes not exceeding 0.2% by weight
3. Lead in high melting temperature type solders (i.e. lead-based alloys containing 85% by weight or more lead)
4. Electrical and electronic components containing lead in a glass or ceramic other than dielectric ceramic in capacitors, e.g. piezoelectronic devices, or in a glass or ceramic matrix compound
5. Cadmium and its compounds in electrical contacts
6. Lead in solders to complete a viable electrical connection between semiconductor die and carrier within integrated circuit flip chip packages
7. Lead with PbBiSn-Hg and PblnSn-Hg in specific compositions as main amalgam and with PbSn-Hg as auxiliary amalgam in very compact energy saving lamps.
8. Cadmium in color-converting II-IV LEDs (< 10 µg Cd per mm² of light-emitting area) for use in solid-state illumination or display systems.
For purposes of third-party certification, lamp toxics documentation shall not be reviewed when products are initially certified or during verification testing. Instead, partner shall maintain documentation on file to demonstrate that certified products meet these requirements. EPA reserves the right to request this documentation at any time. For the purposes of documenting mercury content, the following test procedure shall be used: IEC 62554 Ed 1.0 Sample Preparation for Measurement of Mercury Level in Fluorescent Lamps (2011-08-19).

For materials other than mercury, partner may rely on component suppliers to provide certification or declaration documents to show that homogenous materials used in lamps comply with the requirement. Alternatively, partner may have components tested in accordance with IEC 62321 or other appropriate analytical technique to verify that homogenous materials do not exceed the concentration limits of the six regulated substances. Handheld XRF analyzers/scanners may also be used to verify compliance.

Note: Sections 7 and 8 are identical to the current ENERGY STAR requirements for ceiling fans with lighting but have been edited in this Draft 1 specification in an effort to simplify navigating this document.

9 EFFECTIVE DATE

The ENERGY STAR Residential Ceiling Fan Version 4.0 specification shall take effect on TBD. To be certified as ENERGY STAR, a product model shall meet the ENERGY STAR specification in effect on the model’s date of manufacture. The date of manufacture is specific to each unit and is the date (e.g., month and year) on which a unit is considered to be completely assembled.

Note: EPA will work with stakeholders to finalize this revision as soon as possible, with a goal of July 2017. Once the specification is final, CBs will be able to certify products using it immediately. Approximately 9 months later the specification will become effective and only those fans certified to new specification will be listed.

10 FUTURE SPECIFICATION REVISIONS

EPA reserves the right to change this specification should technological and/or market changes affect its usefulness to consumers, industry, or the environment. In keeping with current policy, revisions to the specification are arrived at through industry discussions. In the event of a specification revision, please note that the ENERGY STAR certification is not automatically granted for the life of a product model.