



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 4.1

Below are the product criteria for ENERGY STAR qualified Compact Fluorescent Lamps (CFLs) - Version 4.1. 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 (è) 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	<p>@ 40% of rated life report on lamp life:</p> <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
<p>Average Rated Lamp Life <i>(Final qualification)</i></p> <p><i>PARTNER must complete lifetime test to stated rated lamp life on packaging</i></p>	<p>≥ 6,000 hours as declared by the manufacturer on submitted packaging and qualification form</p> <p>≥ 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).</p>		
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 (UL1993). EPA 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.	<p>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 (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 </p>	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 <i>(Final qualification)</i> <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 (UL 1993). EPA 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: <ul style="list-style-type: none">- 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 applicable)- Starting temperature- Electromagnetic interference- Known incompatibility with controls and application exceptions (e.g., outdoor reflectors)- 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 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.		
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.		

Criteria Item and Submission	ENERGY STAR Requirements	Sample Size/Specific Requirements	Laboratory Requirement
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

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.

- 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-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 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

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.

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:** EPA 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 EPA 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 EPA 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 EPA 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 EPA, 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. EPA 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 EPA 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. EPA 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 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 EPA 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.

EPA 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 EPA to review and identify which products met the ENERGY STAR criteria.

EPA will notify PARTNERS of one of the following outcomes:

- Qualification verification
- Marginal failure
- Disqualification of 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, EPA will categorize the tested products into three groups:

- Qualification verification
- Marginal failure
- Disqualification of the product

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, EPA 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, EPA will immediately contact the PARTNER and inform them.
2. At this time, EPA will institute an immediate retest for the test that was failed to verify the initial results. EPA 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 EPA will institute the disqualification process (see below).

Disqualification is defined when a product fails one or more of any of the ENERGY STAR qualification testing or Third Party Testing requirements.

13) **DISQUALIFICATION PROCESS:** PARTNERS shall refer to EPA's stakeholder letter dated July 20, 2010 (available at www.energystar.gov) for the product disqualification procedures and corrective action requirements.

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 4.1 (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 4.1 will be December 2, 2008, and replaces all previous versions. All products, including models originally qualified prior to Version 4.1, will be required to meet the new Version 4.1 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 4.1 criteria requirements can resubmit the most recent qualification test report to their ENERGY STAR CFL Account Manager to show the product meets all Version 4.1 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 4.1 criteria requirements will need to submit new testing reports to their ENERGY STAR CFL Account Manager to demonstrate the product will meet Version 4.1. 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 4.1 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 EPA 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 EPA to review and identify which products met the ENERGY STAR criteria. EPA will notify PARTNERS of one of the following outcomes:
 - Qualification verification
 - Marginal failure
 - Disqualification of 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