

# ELI Technical Documents for Certification

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## **ELI Certification Protocol**



**ELI Quality Certification Institute**

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## **ELI Certification Protocol**

**This Protocol is to provide a technical guideline of the certification procedure to the manufacturers and/or applicants for their further understanding on the ELI certification procedure, duration and requirements.**

### **1. Background**

ELI is the Efficient Lighting Initiative, a voluntary international program for certifying and promoting the quality and efficiency of lighting products worldwide so as to reduce the energy consumption and greenhouse gas emission.

ELI was initiated in 2000 by the International Finance Corporation (IFC) and funded by the Global Environment Facility (GEF), to promote efficient lighting in Argentina, the Czech Republic, Hungary, Latvia, Peru, the Philippines, and South Africa. In 2005, IFC with funding from GEF, supported an establishment of the ELI Quality Certification Institute (ELI Institute) to develop and expand the ELI certification and branding system globally.

The expanded ELI program aims to cooperate with government agencies, international organizations, manufacturers, testing laboratories, lighting associations, large retailers and other market aggregators and provide them with a global transparent and simple mechanism for certifying the quality and efficiency of lighting products sold worldwide. The ELI Institute seeks strategic partnerships to develop a global service network, and also seeks opportunities to harmonize test methods and performance specifications with other voluntary labeling programs so as to accelerate the widespread adoption of energy efficient lighting products and thereby reduce greenhouse gas emissions.

Interested applicants including manufacturers and distributors may qualify their lighting products to carry the ELI logo by showing that they comply with the ELI certification requirements. Compliance with the ELI certification requirements will be determined by the ELI Institute through a stringent review and assessment process of all supporting documents and testing reports submitted by the applicants.

### **2. ELI Public Documents**

ELI public documents including ELI Technical Specifications, ELI Certification Protocol, General Application Form and Certification Fees Schedule, etc., are available downloading from the ELI website (<http://www.efficientlighting.net>). ELI documents in print form can also be directly requested from the ELI Institute.

Any new revisions to ELI documents will be posted on the ELI website, and the ELI institute will immediately notify applicants, manufacturers and other partner organizations upon new postings,



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through an “ELI e-mail Alert” system. Once a new revised document takes effect, the previous one will be automatically superseded as of that date.

### 3. Certification Procedure and Requirements

The application of ELI certification by the applicant is valid for 12 months from the date submitted. When the applicants fail to submit the completed and sufficient materials and testing reports within 12 months from the date of application submitted, the application will be deemed invalid.

#### 3.1 Acceptance for Certification

The ELI Institute and the applicant will agree on and sign an *ELI Certification Contract* and meanwhile, the applicant shall provide the ELI Institute with completed application forms and supporting documentations in English or Chinese. The completed application forms and supporting documents must include:

##### a) General Application Form

Applicants shall fill out the general application form following the guidelines provided by the ELI Institute. The Institute recognizes only the original application forms signed by legal representative or authorized representatives of the applicants.

##### b) Proof of Legal Status

Applicants and manufacturing facilities for products applied, if any, shall proof their legal status by submitting a copy of the certification documents to the ELI Institute.

##### c) Copies of Quality Management System (QMS) Manual and Finished-Product Testing Specification

Applicants shall submit a copy of the QMS Manual (which shall at least cover the processes of designing, producing, purchasing and testing in order to control the quality of the applied model), and the finished-product testing specification (which shall include testing standard and method as well as control requirement) of the manufacturing facility. Alternatively, applicants may submit a copy of ISO 9001:2000 QMS certificate accompanied by a finished-product testing document of the manufacturing facility, in case the manufacturing facility has been certified by ISO 9001:2000.

##### d) Copies of Trademark Registration Certificates

Applicants shall submit a copy of the trademark(s) registration certificate for the products certifying with ELI.

##### e) Test Reports and a Copy of Laboratory Accreditation Certificate

The applicant shall submit complete and valid product performance data tested using the test procedures in the ELI technical specifications. Test procedures indicated in ELI technical



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specifications shall be performed in the laboratories which are accredited according to ISO/IEC 17025 and qualified to conduct EACH type of product test noted in the ELI specification by a recognized national or regional accreditation body.

A list of accredited laboratories recognized by the ELI Institute is available on the ELI website. However, applicants can submit a copy of accreditation certificates and associated document of the accredited testing scope for the non-listed laboratories that the applicant intends to engage for product testing. The ELI Institute reserves the right to update the laboratory list based on detailed assessment of qualification and certification documents submitted.

### **f) Description of testing samples**

The applicant shall prepare a description of testing samples. The description shall be signed by legal representative or authorized representatives of the applicants and submitted to ELI Institute. .

### **g) Design of product packaging and Inserts**

A complete set of product packaging including any relevant inserts, such as detailed specifications and user guidelines, must be submitted to the ELI Institute for each of the applied model. The product packaging must be in accordance with the related requirements specified in ELI technical specifications. If any changes are made to the packaging of any certified products, the applicant shall inform the ELI Institute at once and submit the new packaging to the Institute accordingly.

Upon receiving the basic application materials as mentioned above, the ELI Institute will examine submitted documents and assess whether the documents are complete, clear and effective for certification. In case that the submitted documents are not satisfactory with ELI requirements, the ELI Institute may request applicants to supplement or revise the application documents until the documents meet ELI requirements.

## **3.2 Assessment for Certification**

The applicant shall make the payment for the certification assessment fee according to the signed ELI Certification Contract.

The ELI Institute will organize an expert review as well as technical assessment of the product performance according to the ELI Technical Specification, ELI Certification Protocol and ELI Certification Control Procedure and therefore determine whether the products are satisfactory with ELI criteria.

## **3.3 Certification Result**

Upon the certification assessment, the ELI Institute will issue a Notice of ELI Certification Assessment Result to the applicant within five (5) working days.

## **3.4 Approval of Certification**



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Based on the results of technical reviews and assessments, the ELI Institute and applicant whose products are qualified by ELI shall agree on and sign an *ELI Agreement* which will enter into force upon the signing by authorized representatives of both parties.

According to the signed ELI Agreement, the applicant shall make the payment to ELI Institute for the ELI logo usage fee.

The ELI Institute will then issue ELI certificate to the applicant within five (5) working days after payment of ELI logo usage fee is received, and the applicant will be entitled to use ELI logo after the date awarded.

### **3.5 Monitoring of ELI Product Quality**

The ELI Institute will conduct a quality monitoring scheme for any qualified products within the validity period of the ELI certificate. Performance verification testing of ELI qualified products will be performed on product samples randomly purchased by the ELI Institute in any retail market and tested in laboratories chosen by the Institute, at ELI's expense. Should the verification testing results indicate that the product samples in the market do not comply with ELI technical specifications, certification holders may choose to remove the product in question from participation in ELI Program; or alternatively, they may request a second round of performance verification testing. This second round testing shall be based on product samples randomly purchased by the ELI Institute in any retail market, and tested in a laboratory selected by the Institute, at the certification holder's expense. Should the second round of testing also show that the product in question does not meet ELI technical specifications, ELI may choose to disqualify the product from the program.

## **4. ELI Certificate and Logo**

### **4.1 Certification Validity**

Each ELI qualification is valid for 3 years from the date awarded. The certification holders are entitled to use ELI Certificates and the ELI logo during its validity period. When the certification expires and the certification holders desire to retain their ELI certification, the whole certification process has to be repeated.

### **4.2 Dealing with Changes to a Currently Certified Product**

In case trademark, name, design of packaging or model number of any certified product is changed, or Quality Management System Manual and/or Finished-Product Testing Document of the manufacturing facility are modified but the operating principles, structural design and manufacturing process of the certified products remain unchanged; the certification holders shall formally inform the ELI Institute in writing at once. At this point, the ELI Institute will record the changes and issue a new ELI certificate to the applicant. The new ELI certificate will maintain the same certificate number, approval date and validity date as the old certificate.



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In case the operating principles, structural design and manufacturing process of the certified products are changed; or a new manufacturing facility is engaged, the certification holders shall resubmit new application.

### **5. Revisions to ELI Specifications**

ELI Institute reserves the right for the revision to the ELI Technical Specification accordingly.

In the case of such revisions to ELI technical specifications, the certified suppliers are allowed to remain the ELI qualification of the old version of ELI Technical Specification during the certificate validity period. Or, the applicant can submit to ELI a transfer application and request a reassessment for their products according to the revised ELI Technical Specification. The ELI Institute will reassess the product at ELI's expense.

### **6. Disqualification of Products**

The ELI Institute reserves the right to withdraw any ELI certificate and cease the use of ELI logo by any certification holder on the relevant qualified products based on following grounds:

- a) Quality of qualified products fails to meet ELI Technical Specification proofed by ELI check testing;
- b) Usage of ELI certificate and the ELI logo are not properly conducted and certification holders have not taken any necessary measure to correct or improve such conduct following formal notification from the ELI Institute.
- c) When the operating principles, structural design and manufacturing process of qualified products is changed, or a new manufacturing facility is engaged, certification holders have not formally informed the ELI Institute in within three (3) months from the date such modification or change taking place.

Once a certified product has been disqualified from ELI, that product may not be included in any new program activities of ELI. A manufacturer may not ship disqualified products carrying the ELI logo after one week from the date of disqualification. Improper use of the ELI logo may result in additional products being disqualified and in the product in question becoming ineligible for review for readmission into ELI. Organizations/Manufacturers that make unauthorized use of the ELI logo may also be subject to legal action.

### **7. Others**

The ELI Institute will hold all ELI product qualification data received in the strictest confidence.



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However, lighting product performance data may be referenced in technical analyses of generic product types or classes by the Institute and the results may be publicly available.

### 8. Inquiries

For all questions or comments regarding ELI Certification Protocol, please contact:

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