
LED Lighting Product Certification

Product Certification Scheme for LED Lighting Products

Issue I

29th August 2013

**PRODUCT CERTIFICATION SCHEME
FOR
LED LIGHTING PRODUCTS**

FOREWORD

The Independent LED (Light Emitting Diode) Lighting Advisory Committee (hereinafter referred as “the Committee”) was established in March 2012 by the invitation of Scheme Owner, The Hong Kong Electronic Industries Association (HKEIA) (hereinafter referred as “the Scheme Owner”) to oversee and provide directions on the development of Product Certification Scheme for LED Lighting Products (hereinafter referred as “the Scheme”). The Scheme can be adopted by LED lighting manufacturers to show conformity with necessary technical requirements of the Scheme. In addition, manufacturers shall comply with the quality management system (QMS) requirements as laid down in the ISO 9001 Standard.

The Scheme is the effort of the Committee through co-operation among representatives from local academics, engineers, LED lighting manufacturers, contractors, government bodies and users to develop the Scheme in accordance with ISO/IEC Guide 28.

Disclaimer

No responsibility is assumed for any injury and/or damage to persons or properties as a matter of products liability, negligence or otherwise, or from any use of operation of any methods, products, instructions or ideas contained in the material herein.

Copyright 2012 HKEIA

The Hong Kong Electronic Industries Association (HKEIA)

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic mechanical, photocopying, recording or otherwise, without the prior written permission of the HKEIA. Further information about the HKEIA can be obtained at the official website: www.hkeia.org

Contents

Page

FOREWORD	1
1. INTRODUCTION	3
2. ABBREVIATIONS	3
3. TERMS and DEFINITIONS.....	4
4. PROCEDURES FOR APPLICATION AND CERTIFICATION.....	7
5. PUBLICITY BY SUPPLIER.....	10
6. MISUSE OF A CERTIFICATE OF CONFORMITY	10
7. OBLIGATIONS OF SUPPLIER.....	11
8. SURVEILLANCE.....	12
9. SUSPENSION OF CERTIFICATION	14
10. WITHDRAWAL OF CERTIFICATION.....	15
11. INFORMATION ON SUPPLIER	15
12. APPEALS AGAINST DECISIONS.....	16
13. CHANGES TO THE REQUIREMENTS.....	16
14. COMPLAINTS RECEIVED BY SUPPLIER	16
15. COMPLAINTS RECEIVED BY THE CERTIFICATION BODY	17
16. CONFIDENTIALITY	17
17. OBLIGATION OF CERTIFICATION BODY	17
18. LIABILITY.....	18
19. GOVERNING LAW AND JURISDICTION.....	18
Annex A (Normative): Requirements of LED Lighting Products & Evaluation Methods of Conformity ...	19
Annex B (Normative) : References	26

PRODUCT CONFORMITY CERTIFICATION SCHEME FOR LED LIGHTING PRODUCTS

1. INTRODUCTION

- 1.1 The purpose of the Scheme is to ensure all LED lighting products produced by LED Lighting Manufacturers of the Supplier meet the requirements specified in this Scheme, in the area of safety, ElectroMagnetic Compatibility (EMC) and performance. This is a product certification scheme that requires LED Lighting Manufacturers of the Supplier to operate a quality system which complies with ISO 9001 and the requirements of this Scheme.
- 1.2 This third party product certification system is a System 5 product certification system in accordance with ISO/IEC Guide 67 for determining the conformity of a product with specified requirements through initial testing of samples of the product, assessment and surveillance of the involved quality system, and surveillance by testing of product samples taken from the open market or the purchasers.
- 1.3 A Certification Body who uses this Scheme for certification of LED lighting products manufacturing plants shall be accredited by Hong Kong Accreditation Service (HKAS) or its MultiLateral Recognition Arrangement (MLA) partners in accordance with this Scheme, ISO/IEC Guide 65 or ISO/IEC 17065, and the corresponding IAF Guidance.

2. ABBREVIATIONS

CB	Certification Body(ies)
CBTLs	CB Testing Laboratories
EPA	Environmental Protection Agency of the United States
HKAS	Hong Kong Accreditation Service
HKEIA	The Hong Kong Electronic Industries Association
HOKLAS	Hong Kong Laboratory Accreditation Scheme
IEC	International Electrotechnical Commission
LED	Light Emitting Diode
MLA	MultiLateral Recognition Arrangement
MRA	Mutual Recognition Arrangement
PCB	Printed Circuit Board
PCBA	Printed Circuit Board Assembly
SDCM	Standard Deviation of Color Matching
THD	Total Harmonic Distortion
QMS	Quality Management System

3. TERMS and DEFINITIONS

For the purposes of this document, the terms and definitions given in ISO/IEC 17000 apply, together with the following definitions.

3.1 Areas for Improvement

Areas for Improvement (AFI) are not nonconformities and corrective actions are not mandatory. However, the Certification Body judges by their experience that these are potential problem areas which may deserve attention.

3.2 Audit

Systematic, independent, documented process of obtaining records, statements of fact or other relevant information and assessing them objectively to determine the extent to which **Specified Requirement** (3.19) are fulfilled.

NOTE Whilst “**Audit**” applies to management systems, “**Assessment**” applies to conformity assessment bodies as well as more generally. (ISO/IEC 17000)

3.3 Audit Testing

Sampling and testing of LED lighting products which are ordered by an Certification Body during an Assessment. In Certification and Surveillance Assessments, LED lighting products shall be sampled and tested through audit testing. The testing and compliance Standards shall be confirmed by the Certification Body in considering Purchaser’s specifications and the requirements of this Scheme. The tests shall be conducted by an independent HKAS or its MRA partners accredited laboratory and the result shall be produced in a HKAS endorsed test report or equivalent.

3.4 Bulkhead Type LED Light Fittings

A surface mounted LED luminaire with robust construction of die cast aluminum casing and vandal resistant diffuser and suitable for indoor and outdoor applications.

3.5 Certificate of Conformity

The certificate issued by the Certification Body to confirm certification of the Supplier in respect of a particular LED lighting product.

3.6 Certification

Acceptance by the Certification Body, on the basis of Assessments, that the Supplier meets the requirements of this Scheme for a particular LED Lighting product.

3.7 Certification Body

An organization who is accredited by HKAS under the Hong Kong Certification Body Scheme (HKCAS) in the field of “Product Certification” to process application from the Supplier.

- 3.8 Certification Body(ies) Testing Laboratories**
CB Testing laboratories who are recognized in the CB Scheme of the IEC System for Conformity Testing and Certification of Electrotechnical Equipment and Components (IECEE) to perform conformity assessment against the specific IEC Standards
- 3.9 Certification System**
Rules, procedures and management for carrying out certification (ISO/IEC 17000)
- 3.10 Critical Non-conformity**
Significant deviation of products from specified requirements in the Scheme, or the absence of, or failure to implement and maintain, a series of required quality management system elements, or a situation which would, on the basis of available objective evidence raise highest degree of doubts to the conformity of the product that the LED Lighting Manufacturer produce.
- 3.11 LED Downlight**
A LED luminaire that directs the light downward and can be recessed, surface mounted or suspended.
- 3.12 LED Floodlight**
A LED luminaire providing even illumination across a wide area.
- 3.13 LED Lighting Manufacturer**
A LED lighting product manufacturer in a contract with the Supplier for this Scheme.
- 3.14 Major Non-conformity**
Deviation of products from specified requirements in this Scheme, or the absence of, or failure to implement and maintain, one or more required quality management system elements, or a situation which would, on the basis of available objective evidence raise serious doubts to the conformity of the products that the LED Lighting Manufacturer produce.
- 3.15 Minor Non-conformity**
Failure to meet one requirement of a clause of ISO 9001 and/or this Scheme or other necessary reference documents, and which is considered to have serious adverse effect on the competence of the LED Lighting Manufacturer and the quality of lighting products that the LED Lighting Manufacturer produces
- 3.16 Plant**
The Plant for the production of certified LED lighting products.
- 3.17 Purchaser**
An individual, firm or company who entered into a contract with the Supplier to purchase certified LED lighting products.

- 3.18 Quality Manual**
The document describing the LED Lighting Manufacturer's company structure, resources, procedures and methods which together ensure that LED Lighting Manufacturer can meet the requirements of the Scheme.
- 3.19 Quality Records**
The records required by the LED Lighting Manufacturer's Quality Manual to meet the requirements stated in the Scheme.
- 3.20 Quality System Management Office**
A location at which the LED Lighting Manufacturer's quality and production records are maintained.
- 3.21 Scheme**
Certification System related to LED lighting products, to which the same specified requirements, specific rules and procedures apply. The Scheme is owned and administrated by HKEIA.
- 3.22 Specified Requirement**
Need or expectation that is stated
- NOTE Specified requirements may be stated in normative documents such as regulations, standards and technical specifications. (ISO/IEC 17000)
- 3.23 Standard(s)**
Normative document(s), established by consensus and approved by a recognized body, that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context. (ISO/IEC Guide 2)
- 3.24 Supplier(s)**
The party that is responsible for ensuring that products meet and, if applicable continue to meet, the requirements on which the certification is based. (ISO/IEC Guide 65)
- NOTE Client(s), as defined in ISO/IEC 17065, in lieu of Supplier(s) shall be applied in the document when the Certification Body is accredited according to ISO/IEC 17065.
- 3.25 Surveillance**
Systematic iteration of conformity assessment activities as a basis for maintaining the validity of the Certificate of Conformity. (ISO/IEC 17000)

4. PROCEDURES FOR APPLICATION AND CERTIFICATION

4.1 Application

4.1.1 The application from the Supplier should include:

1. an application form completed as prescribed by the Certification Body, an example could be reference to Annex B of ISO/IEC Guide 28;
2. payment of appropriate fees;
3. provision of the Quality Manual and related documentations for Assessment;
4. nomination of a person to be the management representative and the Supplier's formal contact with the Certification Body.

4.1.2 On acceptance of a completed application form and receipt of the payment, if required, the Certification Body provides the Supplier with an estimate of the time required for conduct of the initial evaluation, and information necessary for the processing of the application.

4.2 Certification Evaluation

4.2.1 Certification Evaluation shall comprise the following:

1. Overall assessment of the quality management and production systems of the LED Lighting Manufacturer.
2. Initial type test. The Supplier shall submit random representative samples of LED Lighting Products to the Certification Body for initial type tests. The relevant requirements and the evaluation methods specified in this Scheme, as stated in Annex A, shall be checked for compliance. The tests shall be carried out by a laboratory accredited by HKAS or one of its MRA partners to ISO/IEC 17025 for the specific test. The test results shall be produced in an endorsed test report.
3. Report check. The Certification Body may accept and review test reports produced by others, as specified in Annex A, and the Certification Body should ensure that suitability and competence of the party conducting testing, as specified in ISO/IEC 17025, are met.
4. Plant production assessment. The Certification Body will assess the plant and equipments including the calibration of equipments and the operation of the relevant sections of the LED Lighting Manufacturer's quality and technical systems conforming to the Scheme. The relevant requirements and the evaluation methods specified in Annex A of the Scheme shall be checked for compliance.

4.2.2 On completion of the plant control assessment, the Certification Body will notify the Supplier in writing the nonconformities found, followed by the Supplier's acknowledgement of these nonconformities.

4.2.3 There are four possible recommendations:

1. **No nonconformity.** Certification will be recommended to the Certification Body for the decision making. Some Area of Improvements may be given for the improvement of the quality and technical systems.
2. **A number of Minor Non-conformity** which do not cumulatively indicate a major failure of the quality management system and product quality. Certification will be recommended after receipt of a letter giving satisfactory details of corrections and corrective action plan which will remove the nonconformities from the system after successful implementation. The time limit for the receipt of the letter will be two weeks.

Note that corrections and corrective actions do not have to be implemented before the receipt of the letter by the Certification Body. Corrections and corrective actions shall be implemented within an acceptable time which will be a maximum of four weeks or such lesser time as the Certification Body may decide. Minor Non-conformity shall be audited on the first subsequent surveillance assessment.

3. **A major Non-conformity or a number of systematic Minor Non-conformity** which accumulate to indicate a major failure of the quality management system and product quality. The Supplier will be required to respond giving satisfactory details of corrections and corrective actions in rectifying the nonconformities in the system after successful implementation. The time limit for the written response will be two weeks.

Corrections and corrective actions shall be implemented within an acceptable time which will usually be between one to three months.

Certification will not be recommended until the nonconformities have been rectified from the system and a satisfactory follow up assessment has been carried out.

4. **A Critical Non-conformity** indicating that the extent of the system failure require more than six months for corrections as considered by the Certification Body. The Supplier will be required to re-apply for certification after a period of at least six months following the date of Certification Assessment.

4.3 Certification

- 4.3.1 After the Certification Evaluation, the Supplier shall be notified of the Certification decision in writing and additionally be submitted a certification agreement for signature in case of a positive result. The agreement should address conditions under which the certificate is to be used, and should establish rules in the case of misuse. An example of such agreement could be referenced to the Annex E of ISO/IEC Guide 28.
- 4.3.2 When the certification agreement has been signed, the Certification Body shall issue the Certificate of Conformity to the Supplier.

4.4 Extension of the scope of Certification

- 4.4.1. The Supplier wishing to extend the scope of Certification to additional types or models of products, to the same specified requirements as the product(s) for which a Certificate of Conformity is already granted, should apply to the Certification Body using the application form, an example could be referenced to Annex B of ISO/IEC Guide 28.
- 4.4.2 The Certification Body may decide not to carry out an assessment of production process or quality system, but to require test samples of the additional types of products to determine that they comply with the specified requirements.

4.5 Certificate of Conformity

- 4.5.1 Upon Certification, LED lighting products conforming to the Scheme shall be indicated by a Certificate of Conformity issued by the Certification Body. An example of such certificate could be referenced to Annex D of ISO/IEC Guide 28.
- 4.5.2 Certificate of Conformity shall include, in particular:
1. name and address of the Certification Body;
 2. name and address of the Supplier;
 3. name and address of the LED Lighting Manufacturer and the Plant;
 4. the name of the Certified LED Lighting Product(s);
 5. the model number(s) of the Certified LED Lighting Product(s);
 6. statement to indicate the Certified LED Lighting Product(s) conform to the requirements of the relevant product Standard and the conformity is established according to the Scheme,
 7. date of issue of the Certificate;
 8. the certificate number assigned by the Certification Body;
 9. signature and title of authorized officer of the Certification Body.
- 4.5.3 The Certificate of Conformity shall come into force once being issued, and remain in force unless the Certification is withdrawn for justified reasons or cancelled by either party upon due written notice given to the other party.

4.6 Records Retention

- 4.6.1. The Certification Body shall keep all certification records, including original records of evaluations and certification documents, when the certificate issued remains valid and for an additional period of at least 10 years from the date the certificate is withdrawn for whatever reason.

5. PUBLICITY BY SUPPLIER

- 5.1 The Supplier shall have the right to publish the fact that a Certificate of Conformity is issued for its LED lighting product(s) to which the Certificate applies.
- 5.2 In every case, the Supplier shall take sufficient care of its publications and advertising that no confusion arises between certified and non-certified products.
- 5.3 The Supplier shall not specify or make any claim in user information that could lead Purchasers to believe performance or usage of the product(s) not covered by the Certification.

6. MISUSE OF A CERTIFICATE OF CONFORMITY

- 6.1 The Certification Body should take action when unauthorized, incorrect, or misleading use of the Certificates of Conformity is found.
- 6.2 Incorrect references to the certification system or misleading use of certificates found in advertisements, catalogues, etc., shall be dealt with by suitable actions, which could include legal or correction action or publication of the transgression.

7. OBLIGATIONS OF SUPPLIER

- 7.1 The Supplier shall ensure that its LED Lighting Manufacturers operate a quality management system in accordance with ISO 9001 and requirements of the Scheme.
- 7.2 The Supplier shall ensure that its LED Lighting Manufacturers' quality and technical documentations are applied to its Plant producing and supplying products within the Scheme.
- 7.3 The Supplier shall pay an annual fee to the Certification Body for each Certification. It shall also pay an initial assessment fee and all subsequent fees to the Certification Body for assessment, surveillance and re-assessment and any Audit Testing as may be directed. The amount of all fees will be determined by the Certification Body.
- 7.4 The Supplier shall ensure that its LED Lighting Manufacturers afford the Certification Body full assistance and cooperation during any assessments, producing documentation and Quality Records when requested, allowing the Certification Body to have free access to the Plant and quality records centre and assisting with Audit Testing as necessary.
- 7.5 The Supplier shall ensure that its LED Lighting Manufacturers do not sub-contract the production and supply of certified LED lighting products unless specific prior approval has been obtained from the Certification Body. Such approval will only be given if the proposed sub-contractor is also a LED Lighting Manufacturer of a Supplier and the Purchaser has been informed of and agreed with the sub-contract arrangement.
- 7.6 The Supplier shall keep the Certification Body informed in writing of changes in its circumstances which may affect Certification. Such changes include:
1. Changes in ownership or name.
 2. The resignation of management representative or company directors.
 3. Changes in the Quality Manual of its LED Lighting Manufacturers or significant items in its Plant.
 4. Changes of the location of the Plant and/or its LED Lighting Manufacturers.
 5. Closure of the Plant.
- 7.7 The Supplier shall inform the Certification Body any significant changes to the product, components, manufacturing process or quality management system, which may affect the conformity of the product. In such case, the Certification Body shall evaluate the degree of such changes to the product quality and may demand an assessment for such changes and the Supplier may be asked not to release the product before the performance of an on-site assessment.
- 7.8 The Supplier shall ensure its LED Lighting Manufacturers keep a list of its Purchasers who purchased the certified LED lighting products for the purpose of recall in case necessary.
- 7.9 The Supplier shall ensure its LED Lighting Manufacturers keep a list of all its suppliers, including alternative ones, who supplied the LED Lighting Manufacturer with their components for the purpose of audits from the Certification Body in its Certification or Surveillance.

8. SURVEILLANCE

8.1 After Certification, the Certification body shall conduct periodic Surveillance of the products and the production process/quality management system on the basis of the requirements of the relevant Standard and on the basis of the elements or requirements of the current document.

8.2 Frequency and Purpose of Surveillance Assessment

8.2.1 The frequency of routine Surveillance assessments shall be at least once for every 12 months.

Surveillance assessments shall comprise the followings:

1. Surveillance by testing. The Certification Body shall take random representative samples of the Certified LED Lighting Products from the market or from Supplier's stock or from a combination of both. The samples of Certified LED lighting products are used for evaluation testing. The relevant properties specified in the Scheme shall be determined for checking compliance. The tests shall be carried out by a laboratory accredited by HKAS or one of its MRA partners to ISO/IEC 17025 for the specific test. The test results shall be produced in an endorsed test report.
2. Plant production surveillance. The Certification Body will assess the Plant and equipments including the calibration of the equipments and the operation of relevant sections of the LED Lighting Manufacturer's quality and technical documentations conforming to the requirements of the Scheme.

8.2.2 Other Surveillance Assessments will be made for follow up assessment purposes following a report of major or critical nonconformities. Such assessments may require either:

1. A partial assessment to confirm that nonconformities have been corrected; or
2. A full assessment to confirm compliance with the requirements of the Scheme.

8.3 Conclusions from Surveillance Assessment

8.3.1 On completion of each Surveillance Assessment, the Supplier shall be notified of the Surveillance conclusion in writing.

8.3.2 There are four possible conclusions:

1. **No nonconformity.** Certification should be confirmed. Area of Improvements may be given for the improvement of the quality and technical systems.
2. **A number of Minor Non-conformity** which do not cumulatively indicate a major failure of the quality management system and product quality. Certification should be conditionally confirmed. Certification will be confirmed after the Certification Body received a written response from the Supplier stating details of the proposed corrections and corrective actions and with the Certification Body's consent to implement. The time limit for the receipt of the written reply will be two weeks. Corrections and corrective actions shall be implemented within an acceptable time limit which will be a maximum of four weeks or such lesser time as the Certification Body may decide.
3. **A Major Non-conformity or a number of systematic Minor Non-conformity** which accumulate to indicate a major failure of the quality management system and product quality. Suspension of Certification should be recommended. The Supplier will be required to submit a written reply stating details of the proposed corrections and corrective actions for rectifying the nonconformities in the system of its LED Lighting Manufacturer. The time limit for the receipt of the written response will be two weeks. The Certification Body shall assess the corrections and corrective actions to ensure proposed actions are effectively implemented before reinstatement of the Certification.

A partial or full re-assessment, as directed by the Certification Body, will be required within three months before reinstatement of Certification can be confirmed.

4. Certification shall be withdrawn in case of critical nonconformity, major nonconformity or a number of systematic minor nonconformities that have not been rectified in the system in accordance with the relevant procedures stated in the requirements of the Scheme or if the Supplier is persistently failing to comply with its obligation under the Scheme.

9. SUSPENSION OF CERTIFICATION

- 9.1 The applicability of the Certification to a specific product may be suspended for a limited period, and no more than 60 days, in the following cases:
- if the surveillance shows Major Nonconformity with the requirements of such a nature that immediate withdrawal is not necessary;
 - if a case of improper use of the certificate (e.g. misleading publications or advertisement) is not solved by suitable retractions and appropriate corrective actions by the Supplier;
 - if there has been any other contravention of the Scheme or the procedures of the Certification Body.
- 9.2 The Supplier shall make sure that any product that has been produced in the period of the suspension of the Certification shall be prohibited to be identified as certified products.
- 9.3 Upon suspension of the Certification of Conformity, the Supplier shall notify its customers and shall call back all products which fail to comply with the Scheme.
- 9.4 The Certification Body shall confirm an official suspension of the Certificate of Conformity via a registered letter to the Supplier.
- 9.5 The Certification body shall indicate under which conditions the suspension shall be removed.
- 9.6 At the end of the suspension period, the Certification body shall investigate whether the indicated conditions for re-instituting the Certificate of Conformity have been fulfilled.
- 9.7 On fulfillment of conditions in accordance with Clause 9.5, the Certification Body shall notify the Supplier that the suspension shall be removed.

10. WITHDRAWAL OF CERTIFICATION

- 10.1 The Certification Body shall have the right to withdraw the Certificate of Conformity by informing the Supplier in writing in the following cases:
- if the surveillance shows that the nonconformity is of a serious nature;
 - if the Supplier or its LED Lighting Manufacturer fails to fulfill its financial obligations;
 - if there is any other contravention of the certification agreement;
 - if inadequate measures are taken by the Supplier or its LED Lighting Manufacturer in the case of suspension.
- 10.2 The Supplier shall have the right to give notice of appeal, and the Certification Body when considering the appeal may or may not (depending on the nature of the case) decide to proceed with its decision to withdraw the Certificate of Conformity.
- 10.3 Further, the Certificate of Conformity may be withdrawn in the following cases:
- if the Supplier does not wish to prolong the certification;
 - if the Standards or rules are changed and the Supplier or its LED Lighting Manufacturer either will not or cannot ensure conformity with the new requirements within the time limit;
 - if the product is no longer made or the Supplier or its LED Lighting Manufacturer goes out of business;
 - on the grounds of other provisions certified in the Certification agreement.

11. INFORMATION ON SUPPLIER

- 11.1 Upon the request of any purchasers, end users or any concerned parties of the certified LED Lighting Products, the Certification Body will provide verbal and, if requested, written confirmation of the status of any LED Lighting Manufacturers or Plants under its register of a Supplier.
- 11.2 Any announcement or confirmation of the suspension or withdrawal of Certification will accompany with reasons for such suspension or withdrawal.

12. APPEALS AGAINST DECISIONS

- 12.1 The Supplier shall have the right of appeal against any decisions of the Certification Body or equivalent to an appeal committee set up under the Certification Body. Details of the appeal procedure shall be given by the Certification Body.
- 12.2 A meeting of the appeal committee shall be held within 30 calendar days of receipt of the appeal notice from the Supplier, and the Supplier shall be given at least 7 calendar days' notice of the time and place of the meeting. The decision of the majority of the appeal committee as declared by its chairman shall be final and shall be released within 7 calendar days after the appeal committee meeting.

13. CHANGES TO THE REQUIREMENTS

- 13.1 The Certification Body shall inform Suppliers no later than a three-month written notice of any intended changes to the Certification Body's requirements to allow for clarification between the Supplier and the Certification Body.
- 13.2 The requirements for the accreditation stated in this document and other accreditation criteria may be amended from time to time as deem fit. Supplier and Certification Body shall conform to the amended requirements and criteria within the period of time specified in the revisions. The accreditation of Certification Body may be suspended and terminated or the grant of accreditation may be refused to it if the organization fails to conform to the amended requirements and criteria within the specified period of time.

14. COMPLAINTS RECEIVED BY SUPPLIER

- 14.1 Supplier shall keep a record of all written complaints received from any concerned parties. These records shall be made available to the Certification Body at the time of any Assessments.
- 14.2 The Supplier shall take appropriate actions with respect to the Certification Body's decision and make good any deficiencies found in the products to comply with the requirements of the Scheme.

15. COMPLAINTS RECEIVED BY THE CERTIFICATION BODY

- 15.1 The Certification Body shall keep a record of all written complaints received from any concerned parties, in relation to a Supplier. Such complaints will be investigated and the actions taken shall be documented with their effectiveness.
- 15.2 The Certification Body shall respond to complainants with a report which is confined to a statement upon the Certification status of the LED Lighting Manufacturer and its Plant(s) of the Supplier.

16. CONFIDENTIALITY

- 16.1 Supplier shall disclose to the Certification Body for the purposes of Assessments of all information or records obtained from or pertaining to Purchasers in connection with the Scheme.
- 16.2 The Certification body shall be responsible for ensuring that confidentiality of information is maintained by its employees and those of its subcontractors concerning all information obtained as a result of their contacts with the Supplier.

17. OBLIGATION OF CERTIFICATION BODY

- 17.1 The Certification Body shall offer all types of ISO/IEC 17025 accredited testing services, without any reduction in scope, as listed in Table A.3.1.3 of this Scheme.
- 17.2 Where any part of the testing services is contracted to any third party, the Certification Body shall remain fully liable for any act or omission of such third party as if such act or omission were its own.

18. LIABILITY

- 18.1 The Supplier and Certification Body may only make representations or statements concerning the Certification of Conformity which are contained and/or supplied by the Committee. The Committee is not liable for any loss or damages caused by unauthorized representations or statements regarding the Certification of Conformity made by or on behalfs of the Supplier and/or Certification Body.
- 18.2 The Committee and Scheme Owner are not liable to the Supplier and/or Certification Body for any loss, damage, costs, legal costs, professional and other expenses of any nature whatsoever incurred or suffered by the Supplier or Certification Body, or by a purchaser of the products from the Supplier, or by any other third party, whether direct or consequential (including but without limitation to any economic loss or other loss of turnover, profits, business or goodwill) arising out of any dispute or contractual tortious or other claims or proceedings made by or brought against the Supplier and/or Certification Body in relation to the any products.
- 18.3 The Committee and Scheme Owner are not responsible in any way whatsoever for dealing with any disputes or contractual, tortious or other claims or proceedings of the type referred to in clause 18.2
- 18.4 The Supplier and/or Certification Body agrees to pay, discharge and indemnify the Committee and the Scheme Owner, their officers, servants and agents at all times against all and any loss, damages, costs, legal costs, professional and other expenses referred to in clause 18.2 and 18.3.

19. GOVERNING LAW AND JURISDICTION

- 19.1 The validity, construction and performance of this Scheme are governed by Hong Kong laws.
- 19.2 All disputes, claims or proceedings between the parties relating to the validity, construction or performance of this Scheme are subject to the exclusive of the jurisdiction of the Hong Kong Courts to which the parties irrevocably submit. Each of the Supplier and Certification Body irrevocably consent to the award or grant of any relief in any such proceedings before the Hong Kong Courts.

Annex A (Normative): Requirements of LED Lighting Products & Evaluation Methods of Conformity

A.1. GENERAL REQUIREMENTS OF LED LIGHTING PRODUCTS

Table A.1 GENERAL REQUIREMENTS – EVALUATION METHODS

Evaluation Category	Standards / Requirements	Initial Assessment
		Type Test/ Evaluation
Safety	IEC 60598-1 with particular requirement in Annex A.2	Yes ¹
	IEC 62471	Yes ¹
EMC	CISPR 15 / EN 55015, IEC 61000-3-2, IEC 61000-3-3, and Surge immunity test according to IEC 61547	Yes ²
Performance	IES LM-79	Yes ²
	IES LM-80 and IES TM -21 ³	Yes ²
	Thermal Test ⁵	Yes ⁴
Specific requirements	See Annex A.2	See Annex A.2

NOTE:

Note 1 Report Check: The tests shall be conducted by a CBTL. The test report shall be issued by the CBTL and evaluated with the associated certificate issued by the relevant National Certification Body of the IECEE CB Scheme.

Note 2 Report Check: The tests shall be conducted by a HKAS or its MRA partners accredited test laboratory. The results shall be reported in HKAS endorsed test report or equivalent.

Note 3 The rated Life (length of time during which a complete LED lighting product provides more than 70% of the rated luminous flux) of LED lighting product shall not be longer than the maximum value of the Life estimated in the report of the IES TM-21.

Note 4 Initial Type Test is required. (See Annex A.3.1.1)

Note 5 Thermal test according to Section 12 of IEC 60598-1 with ambient temperature at 40degC, relative humidity at 98% and temperature measurement to be conducted on components inside the luminaire including LED driver and LED module or array and comply with the following:

(a) Measured LED junction temperature within the module or array shall not exceed the temperature at which 70% of the initial lumen output capable to be maintained after 50,000 hours operation projected basing on the IES LM-80 test report and IES TM-21.

(b) The measured maximum casing temperature of the LED driver shall not exceed the rated temperature specified by the driver manufacturer and shall not exceed 70degC in any case. If no casing is provided for the driver, maximum temperature on parts as specified in Section 12 of IEC 60598-1 shall be complied with.

A.2 SPECIFIC REQUIREMENT OF LED LIGHTINGS PRODUCTS

Table A.2.1 SPECIFIC REQUIREMENTS FOR BULKHEAD TYPE LED LIGHT FITTINGS – EVALUATION METHODS

Evaluation Category	Standards / requirements	Initial Assessment
		Type Test/ Evaluation
Safety	IEC 60598-2-1 associated with IEC 60598-1	Yes ¹
Performance	IES LM-79 Photometric measurement	Yes ²
Supplementary requirements	See Note 4	Yes ³

NOTE:

Note 1 Report Check: The tests shall be conducted by a CBTL. The test report shall be issued by the CBTL and evaluated with the associated certificate issued by the relevant National Certification Body of the IECEE CB Scheme.

Note 2 Report Check: The tests shall be conducted by a HKAS or its MRA partners accredited test laboratory. The results shall be reported in HKAS endorsed test report or equivalent.

The following photometric performance shall be complied with:

- (a) Color rendering index (CRI): not less than 75;
- (b) Correlated color temperature (CCT): 4,000K (nominal) [3,985K (target) +/-275K tolerance];
- (c) Chromaticity of LEDs: variation within 0.007 on the CIE1976 (u', v') diagram.

Note 3 Initial Type Test is required. (See Annex A.3.1.1)

Note 4 The following supplementary requirements shall be complied with:

- (a) Light diffuser test:
 - i) Impact test according to Section 4.13 of IEC 60598-1 for rough service luminaires with impact energy of 6.5Nm, at 25degC, without visible damage; and
 - ii) Glow wire test according to Section 13.3 of IEC 60598-1 with temperature set at 850degC.
- (b) Verification of circuit design and configuration of the LEDs:
 - i) In case a single LED fails open or short circuit, a minimum of 80% of the remaining LEDs shall maintain operation. If there are less than 5 LEDs in the unit, then all the other LEDs are required to be lighted if any one of the LED is being open or short circuited; and
 - ii) The Certification Body shall assess the circuit/connection diagram of the LEDs and determine that the requirements in (b) i) be met.
- (c) For light fittings with dimming function by integrated dimmer or separate dimmer, the lumen output, efficiency, power factor and total harmonic distortion at each dimming setting shall be verified against the values quoted by the LED lighting manufacturer. The measuring method should be referred to the test standard LM-79
- (d) The light fittings shall also comply with the following performance requirements, where the measurements shall be conducted in accordance with the test conditions as stipulated in the relevant clauses of LM-79:
 - i) Luminance efficacy: Minimum 70lumen/watt at 100% full lumen output;
 - ii) Overall operating power factor of the luminaries ≥ 0.85;
 - iii) Total Harmonic Distortion (THD): Maximum 15%.

Table A.2.2 SPECIFIC REQUIREMENTS FOR LED DOWNLIGHT – EVALUATION METHODS

Evaluation Category	Performance Standard / requirements	Initial Assessment
		Type Test/ Evaluation
Safety	<ul style="list-style-type: none"> - IEC 60598-2-1 associated with IEC 60598-1 for surface mounted application - IEC 60598-2-2 associated with IEC 60598-1 for recessed mounted application 	Yes ¹
Performance	IES LM-79 Photometric measurement	Yes ²
Supplementary requirements	See Note 4	Yes ³

NOTE:

Note 1 Report Check: The tests shall be conducted by a CBTL. The test report shall be issued by the CBTL and evaluated with the associated certificate issued by the relevant National Certification Body of the IECEE CB Scheme.

Note 2 Report Check: The tests shall be conducted by a HKAS or its MRA partners accredited test laboratory. The results shall be reported in HKAS endorsed test report or equivalent.

The following photometric performance shall be complied with:

- (a) Color rendering index (CRI): not less than 80;
- (b) Correlated color temperature (CCT): shall have one of the following nominal value: 2,700K, 3,000K, 3,500K, 4,000K or 5,000K [The LED downlight shall also fall within the corresponding 7-step chromaticity quadrangles as defined in ANSI C78.377-2008.];
- (c) Chromaticity of LEDs: variation within 0.007 on the CIE1976 (u', v') diagram over the Maintenance Period;
- (d) Minimum 345lumens for aperture <=4.5inches or 575 lumens for aperture >4.5inches. The luminaries shall deliver a minimum of 75% of total lumens (initial) within the 0-60deg zone (axially symmetric about the nadir).

Note 3 Initial Type Test is required. (See Annex A.3.1.1)

Note 4 The following supplementary requirements shall be complied with:

- (a) For light fittings with dimming function by integrated dimmer or separate dimmer, the lumen output, efficiency, power factor and total harmonic distortion at each dimming setting shall be verified against the values quoted by the LED lighting manufacturer. The measuring method should be referred to the test standard LM-79.
- (b) The light fitting shall also comply with the following performance requirements, where the measurements shall be conducted in accordance with the test conditions as stipulated in the relevant clauses of LM-79:;
 - i) Luminance efficacy: Minimum 60 lumen/watt at 100% full lumen output;
 - ii) Overall operating power factor of the luminaries ≥ 0.85 ;
 - iii) Total Harmonic Distortion (THD): Maximum 15%.

Table A.2.3. SPECIFIC REQUIREMENTS FOR LED FLOODLIGHT – EVALUATION METHODS

Evaluation Category	Performance Standard / requirements	Initial Assessment
		Type Test/ Evaluation
Safety	IEC 60598-2-5 associated with IEC 60598-1	Yes ¹
Performance	IES LM-79 Photometric	Yes ²
Supplementary requirements	See Note 4	Yes ³
<p>NOTE:</p> <p>Note 1 Report Check: The tests shall be conducted by a CBTL. The test report shall be issued by the CBTL and evaluated with the associated certificate issued by the relevant National Certification Body of the IECEE CB Scheme.</p> <p>Note 2 Report Check: The tests shall be conducted by a HKAS or its MRA partners accredited test laboratory. The results shall be reported in HKAS endorsed test report or equivalent.</p> <p>The following photometric performance shall be complied with:</p> <ul style="list-style-type: none"> (a) Color rendering index (CRI): not less than 75; (b) Chromaticity of LEDs: variation within 0.007 on the CIE1976 (u', v') diagram over the Maintenance Period; <p>Note 3 Initial Type Test is required (See Annex A.3.1.1)</p> <p>Note 4 The following supplementary requirements shall be complied with:</p> <ul style="list-style-type: none"> (a) Verification of circuit design and configuration of the LEDs: <ul style="list-style-type: none"> i) In case a single LED fails open or short circuit, a minimum of 80% of the remaining LEDs shall maintain operation. If there are less than 5 LEDs in the unit, then all the other LEDs are required to be lighted if any one of the LED is being open or short circuited; and ii) The Certification Body shall review the circuit/connection diagram of the LEDs and determine that the requirements in (a) i) be met. (b) The luminaries shall also comply with the following performance requirements, where the measurements shall be conducted in accordance with the test conditions as stipulated in the relevant clauses of LM-79: <ul style="list-style-type: none"> i) Luminance efficacy: Minimum 70lumen/watt at 100% full lumen output; ii) Overall operating power factor of the luminaries ≥ 0.85; iii) Total Harmonic Distortion (THD): Maximum 15%. 		

A.3. EVALUATION METHODS OF CONFORMITY

A.3.1 The methods for the evaluation of conformity include the followings (Refer to Table A.1 and Table A.2.1, Table A.2.2 or Table A.2.3 as appropriate):

A.3.1.1 Initial Type Tests

The first evaluation of a LED Lightings Product to fulfill the requirements of the Scheme and appropriate initial type testing in Table A.1 and Table A.2.1, Table A.2.2 or Table A.2.3 as appropriate shall be carried out to confirm the characteristics of the product meet the requirements of the Scheme.

Initial type tests shall also be carried out on existing products after any change in components or manufacturing procedures that can modify the declared values of the characteristics or application properties.

One representative sample for each initial type test shall be submitted by Supplier. The tests shall be conducted by a HKAS or its MRA partners accredited test laboratory. The results shall be reported in HKAS endorsed test certificate or equivalent.

A.3.1.2 Plant Production Control

The LED Lighting Manufacturer shall have a quality system ISO 9001 certified by an HKAS or its MRA partner accredited body. The inspector shall verify if the production of the certified products is covered by the scope of the certificate and if the relevant procedures cover the requirements of this document.

A Plant Production Control plan and procedures relevant to the declared properties, as confirmed by the initial type tests, of the LED Lighting Products Manufacturer shall be established and implemented in accordance with the requirements in the Scheme.

Any change in components, manufacturing procedures or control plan that can affect the properties of the LED Lighting Products shall be recorded.

The procedures shall consist of a system for the production quality control to ensure that the product complies with the relevant requirements, and with main stages as below

A.3.1.2.1 Components - inspection and quality checking

The manufacturer shall define the acceptance criteria and control procedures for incoming components to ensure that these are not used until it has been verified that they comply with the required specifications.

A.3.1.2.2 Production Processes - inspection and control

The LED Lighting Manufacturer shall identify and define the plant and production processes and ensure that the processes are carried out under controlled conditions clearly described in the procedures. The processes are verified by means of inspections and tests documented in a plan, as frequency and values or criteria are required on both equipment and on operations in the process. The actions to be taken when control values or criteria are not obtained shall be given.

Factory audit shall be conducted with the following checking items.

- i. Inspection of documents relating to ISO9001 quality assurance system.
- ii. In production on-line testing, the followings shall be confirmed.
 - Location of production plant, identity and settings of production equipments.
 - Identity of plant operating personnel against factory organization chart.
 - The factory burn-in test procedure and requirements for the completed LED lighting products.
 - Production on-line tests listed with appropriate calibrated test equipments on each sample.
 - Dielectric voltage withstand test with accordance to table 10.2 of IEC 60598-1.
 - Earthing continuity test for class I product only with accordance to clause 7.2 of IEC 60598-1.
 - Measurements on the luminance output, deviation of color temperature, color rendering index and light output in lumen with accordance to LM79.

Criteria: Measured luminance output, color rendering index and light output in lumen shall be equal to or larger than the rated value. The Correlated Color Temperature (CCT) shall be within 5 SDCM of the rated CCT value.

- iii. Major components list including LED source, light diffuser and critical components inside the LED driver:
 - Identity of component manufacturers;
 - Components model number, specifications and certificates.
- iv. Any deviation by comparing the PCB layout diagram (both with and without the components) and photos of the finished PCBA of the production units against the PCB layout and photos of the unit which submitted for EMC testing.

A.3.1.2.3 Finished products - inspection and testing

The number and size of samples, the frequency of sampling, the tests performed and the results obtained shall be recorded. Tests shall be conducted to prove performance consistency of relevant product in the batch.

A.3.1.2.4 Statistical techniques

Where and when possible and applicable, the results of inspections and testing shall be interpreted by means of statistical techniques, by attributes or by variables, to verify the product characteristics and to determine if the production complies with the compliance criteria and the product complies with the declared values.

A.3.1.3 Surveillance Assessment

The surveillance assessment for the LED lighting products should be performed at least once for 12 months. The surveillance consists of the assessment of the production process and testing of samples from the factory or the open market, or both.

The surveillance of the production process is identical to the initial assessment and refers to annex 3.1.2.

In the surveillance by testing of samples from the factory or the open market, the Certification Body shall take random representative samples of the Certified LED Lighting Products from the market or from Supplier's stock or from a combination of both. As stated in table A.3.1.3, the specified number of samples shall be evaluated for the relevant standards or requirements. No non-compliance shall be found in the evaluation.

Table A.3.1.3 – Surveillance Assessment for LED lighting products

Evaluation Category	Standard/requirements	Assessment items	Number of samples
Safety	Supplementary test – Light diffuser test ¹	Light diffuser	1
EMC	CISPR 15 / EN 55015	Radio disturbance	1
Performance	IES LM-79 Photometric measurement ²	Photometric performance	3
	Thermal test ³	Components temperature verification	1
Note 1	If applicable, the specific requirements of the test shall be followed as stated in the corresponding tables in Annex A.2 for the defined type of LED lighting product.		
Note 2	The specific requirements of the measurements shall be followed as stated in the corresponding tables in Annex A.2 for the defined type of LED lighting product.		
Note 3	The general requirements of the measurements shall be followed as stated in the corresponding tables in Annex A.1 for all type of LED lighting product.		

Annex B (Normative) : References

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

1. ISO/IEC 17000: 2004, Conformity assessment – Vocabulary and general principles
2. ISO/IEC Guide 2: 2004, Standardization and related activities – General vocabulary
3. ISO/IEC Guide 65: 1996, General requirements for bodies operating product certification systems
4. ISO/IEC 17065: 2012, Conformity assessment – Requirements for bodies certifying products, processes and services
5. ISO/IEC Guide 28: 2004, Conformity assessment – Guidance on a third-party certification system for products.
6. ISO/IEC Guide 67: 2004, Conformity assessment – Fundamentals of product certification
7. ISO/IEC 17025: 2005, General Requirements for the competence of testing and calibration laboratories
8. ISO 9001: 2008, Quality management systems – requirements
9. IES LM-79: 2008, Electrical and Photometric Measurements of Solid-State Lighting Products
10. IES LM-80: 2008, Measuring Lumen Maintenance of LED Light Sources
11. IES TM-21: 2011, Projecting Long Term Lumen Maintenance of LED Light Sources
12. IEC 62471: 2006, Photobiological safety of lamps and lamp systems
13. IEC 60598-1: 2008, Luminaires – Part 1: General requirements and tests
14. IEC 60598-2-1: 1979 + A1 : 1987, Luminaires – Part 2: Particular requirements. Section One: Fixed general purpose luminaire
15. IEC 60598-2-22: 2002 + A1: 2002 + A2: 2008, Luminaires - Part 2: Particular requirements. Section 22: Luminaires for emergency lighting
16. IEC 61547: 2009, Equipment for general lighting purposes – EMC immunity requirements
17. IEC 61000-3-3: 2008, Electromagnetic compatibility (EMC) – Part 3-3: Limits – Limitation of voltage changes, voltage fluctuations and flicker in public low-voltage supply systems, for equipment with rated current greater than equal to 16A per phase and not subject to conditional connection

18. IEC 61000-3-2: 2005 + A1: 2008 + A2: 2009, Electromagnetic compatibility (EMC) – Part 3-2: Limits – Limits for harmonic current emissions (equipment input current $\leq 16\text{A}$ per phase)
19. CISPR 15:2005+A1:2006+A2:2008, Limits and methods of measurement of radio disturbance characteristics of electrical lighting and similar equipment
20. EN 55015:2006+A1:2007+A2:2009, Limits and methods of measurement of radio disturbance characteristics of electrical lighting and similar equipment