DesignLights Consortium™
Technical Requirements Table V4.0
Transition Guidance Document

The DesignLights Consortium™ is pleased to release Technical Requirements Version 4.0. These are the final DLC requirements resulting from the revision proposals that were released for comment February 19, 2016, and subsequent discussions with DLC members and stakeholder commenters.

An informational webinar to review the new technical requirements will be held at 3:00 PM Eastern Daylight Time on Monday, June 6, and repeated at 1:00 PM Eastern Daylight Time on Wednesday, June 8. There will also be a webinar in Mandarin explaining the new requirements held at 9:00 PM Eastern daylight Time on Monday, June 13 (9:00AM Chinese Standard Time on Tuesday, June 14).

To register for the webinar on June 6 at 3 PM ET, please click here:
Registration URL: https://attendee.gotowebinar.com/register/4246705707578696964

To register for the webinar on June 8 at 1 PM ET, please click here:
Registration URL: https://attendee.gotowebinar.com/register/5712215069427464196

To register for the webinar to be conducted in Mandarin on June 13 at 9 PM ET (9 AM, June 14 Chinese Standard Time) please click here:
Registration URL: https://attendee.gotowebinar.com/register/4721798084891102977

Questions regarding the new Technical Requirements should be directed to info@designlights.org

Overview and Purpose

This announcement represents the final Technical Requirements Version 4.0. While DLC encourages all stakeholders to familiarize themselves with the new requirements, they include the following four basic elements:

- A revision to the required efficacy levels for the "DLC Standard" classification and the "DLC Premium" classification.
- A provision for determining allowances to enable products with certain features relating to quality to qualify for listing on the QPL at reduced efficacy levels. Please note that no specific allowances have been determined at this time, and DLC is committing only to continuing the discussions and making these accommodations if they can be established in a way that serves the needs of the member programs.
- A transition timeline, which includes a new element of identifying products that meet the V4.0 Technical Requirements on the QPL ahead of the final de-listing, in addition to the traditional grace periods.
- The option for manufacturers to choose to report the new R_f and R_g color rendition metrics from IES TM-30. These will be displayed on the QPL if reported, but are not required.

The purpose of this Guidance is to provide information regarding how the requirements will take effect, and to provide guidance for manufacturers who may wish to update their product listings during the grace period. For more specific information regarding the V4.0 Technical Requirements, please see the requirements, and the cover letter accompanying the release of the V4.0 requirements, and the webinars referenced above.

Implementation Timeline

The implementation of the V4.0 Technical Requirements table will be largely consistent with previous specification revisions. The transition to the new requirements will include several key dates, and two distinct grace periods.

Manufacturers may choose to submit for qualification and listing under the new V4.0 requirements effective immediately. Please use the V4.0 application form for any applications intended to be evaluated under the V4.0 requirements.

The first grace period relates to the submission of applications under the previous V3.0/V3.1 set of Technical Requirements. DLC recognizes that products may be under development or testing intending to qualify under V3.0/V3.1 at the time of this announcement. To accommodate these products, manufacturers may continue to submit for qualification and listing on the QPL under the V3.0/V3.1 Technical Requirements through August 31, 2016.

All submissions received starting on September 1, 2016 will be evaluated against the V4.0 requirements. Any products submitted between June 1 and August 31 will be subject to public identification on the QPL starting in January 2017, and will be removed from the QPL on April 1, 2017 if they do not meet the V4.0 requirements.

As a new element to the transition processes, DLC will clearly identify products that meet the V4.0 requirements on the QPL beginning in early January 2017. From January 2017 through the end of March 2017, products that do not meet the V4.0 requirements will remain on the QPL. Please note, however,

that individual efficiency programs may choose to filter such products out of their incentive offerings, at their own discretion.

Products qualified under V3.0/V3.1, or previous criteria, that do not meet the new V4.0 requirements will remain on the active QPL for a period of 10 months, through March 31, 2017.

As of April 1, 2017, products that do not meet the V4.0 requirements will be removed from the active QPL, and only products that meet the V4.0 requirements will be considered qualified. As with previous de-listings, products not meeting the new (V4.0) requirements will still be searchable using the "Include De-Listed Products" feature of the DLC search page.

Analysis and individual outreach to manufacturers regarding which of their products may not meet V4.0 levels will take place in September through December 2016, leading up to the public identification of V4.0-compliant products in early January 2017. Though DLC will strive to notify manufacturers as part of this effort leading up to the final V4.0 transition on April 1, 2017, manufacturers are expected to understand their product listings and submit updates as needed (see below for additional guidance).

As summary of this implementation timeline is provided below.

Table 1: Summary of V4.0 Implementation Timeline

Milestone	Date(s)
Final V4.0 Technical Requirements Announced	June 1, 2016
Last day to submit products for qualification under V3.0/V3.1 Technical Requirements	August 31, 2016
Analysis of listings, individual outreach to manufacturers	September-December 2016
Identification of products meeting the V4.0 requirements on QPL	January 2017
Products not meeting V4.0 requirements removed from QPL	April 1, 2017

Transition: Updating products and listings

As noted above, products that do not meet the V4.0 requirements will be delisted from the active QPL on April 1, 2017. DLC recognizes that products often undergo revisions to improve performance that have not been relayed to DLC, and listings are often not reflective of the current performance of products. DLC also understands that for large family groups, parts of the group may meet the new requirements, while other parts may not. De-listing of products will be based on the tested performance information DLC has on had regarding any given product or product family, including test data in the original application and any additional test data provided to update the listing of the process since its original qualification.

If the data provided in the application of a product or product family and represented on the QPL demonstrate that a product meets the new V4.0 Technical Requirements, no action will be required of the manufacturer. That product or product family will automatically be identified as meeting the V4.0 requirements in January 2017 and will remain qualified after April 1, 2017.

If the data provided in the application of a product or product family and represented on the QPL do not demonstrate that a product meets the new V4.0 requirements, manufacturers will need to update their products during the grace period to avoid de-listing. Update applications will be processed under normal review timelines, and must be submitted by **March 1, 2017** to ensure processing prior to the April 1, 2017 final transition date. Guidance on updating products submitted through specific application types is provided below.

Updating Products Qualified Through Single Product Applications

Step 1: Manufacturers will need to submit a V4.0 Update Application through the DLC online submission portal. The "Application Description" field should clearly indicate that the application is to update products to the V4.0 requirements by using the words "V4.0 Update Application" in the Application Name field. Each application may seek to update only one previously submitted Single Product Application. The update application materials must include the following:

1. Detailed information about any changes that have been made to the product since initial qualification. This includes descriptions of changes made that lead to improved performance, as well as any other changes to the product that may affect performance. This explanation can be included in a stand-alone Word document, PDF, or similar file.

2. A complete V4.0 application form that includes all relevant details for products that are being updated. The application form can be [downloaded here](#).

3. A copy of the downloaded Excel spreadsheet from the DLC QPL, identifying products included in the update application. This must include the "Product Code" for all products seeking update.

4. Testing necessary to demonstrate that the performance has improved. At a minimum, updating the listing of the photometric and electrical properties will require a new LM-79 report.* If the LED package/module/array or thermal conditions of the LED have changed within the luminaire, updated LM-80 and ISTMT reports may also be required. Testing must be conducted at a laboratory meeting the DLC Testing Laboratory Requirements, found [here](#).

5. An updated spec sheet for the product. Please be sure that this spec sheet complies with relevant DLC Logo Guidelines, found [here](#).

6. A newly signed self-certification statement, which can be downloaded [here](#).

*Note that any complete LM-79 reports must be submitted to LED Lighting Facts, per the DLC LED Lighting Facts requirement detailed [here](#), as well as submitted to DLC with the application materials.

Step 2: A DLC reviewer will evaluate the changes made to the product and associated submission materials, and notify the manufacturer if any additional test data or supplemental information is needed. This may include LM-79, ISTMT, and/or LM-80 testing, or other documentation, depending on the changes made. Upon completion of this initial review, the DLC reviewer will send an invoice for any relevant application fees for this product update.

Step 3: Once payment is made, test information will be reviewed. Any questions or issues that arise during the review process will be discussed with the manufacturer.

Step 4: If the new test data demonstrates compliance with V4.0 requirements, the product's performance will be updated and the product will appear as qualified to V4.0 on the QPL beginning in January 2017, and will remain qualified following the April 1, 2017 de-listing.

Updating Products Originally Submitted Through Family Grouping Applications

Step 1: Manufacturers will need to submit a V4.0 Update Application through the DLC online submission portal. The Application Description field should clearly indicate that it is an application to update products to the V4.0 requirements by using the words "V4.0 Update Application" in the Application Name field. Each application may seek to update only a single family grouping of products.

The information manufacturers must provide with the application will vary depending on the pathway they are taking to updating their listings.

- If the manufacturer wishes to update the listing of the parent products because **the performance of these products has changed**, it must provide the following:
  o Detailed information about what changes have been made to the product since initial qualification. This includes descriptions of changes made that lead to improved performance, as well as any other changes to the product that may affect performance. This explanation can be included in a stand-alone Word document, PDF, or similar file.
  o A complete V4.0 application form that includes all relevant details for products that are being updated. The application form can be downloaded here.
  o A copy of the downloaded Excel spreadsheet from the DLC QPL, identifying products included in the update application. This must include the Product Code for all products seeking update.
  o Testing necessary to demonstrate that the performance has improved. At a minimum, updating the listing of the photometric and electrical properties will require a new LM-79 report.* If the LED package/module/array or thermal conditions of the LED have changed within the luminaire, updated LM-80 and ISTMT reports may also be required. Testing must be conducted at a laboratory meeting the DLC Testing Laboratory Requirements, found here.
  o An updated spec sheet for the product. Please be sure that this spec sheet complies with relevant DLC Logo Guidelines, found here.
  o A newly signed self-certification statement, which can be downloaded here.

*Note that any complete LM-79s must be submitted to LED Lighting Facts, per the DLC LED Lighting Facts requirement detailed here, as well as submitted to DLC with the application materials.

- If the manufacturer wishes to re-bracket the family group, because – although the performance has not changed – **some members of the original family group meet the V4.0 technical requirements**, it must provide the following:
  o Detailed information that identifies the subset of products within the family that complies with the V4.0 requirements. New worst-case members of the group must also be identified, and appropriate LM-79 and/or ISTMT testing must be included. This information should be provided in the new application form.

- A complete V4.0 application form that includes all relevant details for products that are being updated. The application form can be downloaded here.
- A copy of the downloaded Excel spreadsheet from the DLC QPL, identifying products included in the update application. This must include the Product Code for all products seeking update.
- Testing necessary to demonstrate that the performance has improved. At a minimum, updating the listing of the photometric and electrical properties will require a new LM-79 report.* If the LED package/module/array or thermal conditions of the LED have changed within the luminaire, updated LM-80 and ISTMT reports may also be required. Testing must be conducted at a laboratory meeting the DLC Testing Laboratory Requirements, found here.
- An updated spec sheet for the product. Please be sure that this spec sheet complies with relevant DLC Logo Guidelines, found here.
- A newly signed self-certification statement, which can be downloaded here.

*Note that any complete LM-79 reports must be submitted to LED Lighting Facts, per the DLC LED Lighting Facts requirement detailed here, as well as submitted with the application materials to DLC.

Step 2: A DLC reviewer will evaluate the information provided and notify the manufacturer if any additional test data or other information is needed to update the listing on the QPL. This may include LM-79, ISTMT, and/or LM-80 testing, or other documentation, depending on the particular product circumstance. Upon completion of this initial review, the DLC reviewer will send an invoice for application fees for this product update.

Step 3: Once payment is made, test information will be reviewed. Any questions or issues that arise during the review process will be discussed with the manufacturer.

Step 4: If the new test data demonstrates compliance with V4.0 requirements, the product's performance will be updated and the product will appear as qualified to V4.0 on the QPL beginning in January 2017, and will remain qualified following the April 1, 2017 de-listing.

Updating Products Originally Submitted Through Private Labeling Applications:

Step 1: Before private labeled products can be updated, the original manufacturer's product must be updated following the procedures outlined above. Representatives with private labeled products should work with their OEM to determine when updates to the OEM's products have been completed.

Step 2: Once the original product has been updated, either the original manufacturer or the private labeler must submit a new application through the DLC online submission portal. The Application Description field should clearly indicate that it is an application to update products to the V4.0 requirements by using the words "V4.0 Update Application" in the Application Name field. The application must also include the following:

- A new Private Labeling Form, found here.
- A copy of the downloaded Excel spreadsheet from the DLC QPL, identifying products included in the update application. This must include the Product Code for all products seeking update.

o   A newly signed self-certification statement, which can be downloaded here.

Step 3: Once payment is made, listings of private labeled products will be updated.

Additional guidance, including FAQs, will be developed and distributed as questions arise. Please contact info@designlights.org if you have any specific questions.