

Request to renew Exemption 1(g)

under the RoHS Directive 2011/65/EU

Mercury in single – capped (compact) fluorescent lamps for general lighting purposes < 30 W with a lifetime equal or above 20 000 h: 3,5 mg

Date: June 28, 2016



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2 Reason for application

LightingEurope submits this application to: request for an extension of existing

exemption no. 1(g) in Annex III

LightingEurope proposes to continue using Mercury in single capped (compact)

the existing wording which is: fluorescent lamps not exceeding

(per burner):

1(g) For general lighting purposes

< 30 W with a lifetime equal or

above 20 000 h: 3,5 mg

LightingEurope requests a duration of Maximum validity period required

3 Summary of the exemption request

The validity period of DIRECTIVE 2011/65/EU Article 5(2) Annex III Exemption 1(g) will end automatically per 31/12/2017, unless an application for renewal has been made to the Commission in accordance with Annex V.



With reference to the above, this request concerns the extension of the current Annex III exemption: 1(g) of Directive 2011/65/EU Article 5(2) regarding mercury in single-capped (compact) fluorescent lamps for general lighting purposes < 30 W with a lifetime equal or above 20 000 h: 3,5 mg.

One of the main characteristics of the lamps in this category is that they have a significantly higher lifetime compared to standard types of this lamp family. As mercury is

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consumed depending on lifetime a slightly higher amount is necessary for these lamps. Compared to standard lifetime lamps the mercury balance of long life CFL per lumen*hour is equal or better. The LED development in these lamps is focussing typically on new luminaire solutions instead of retrofit lamps due to the fact, that most of these lamps do not have an integrated ballast but are used in luminaires with electronic control gears. CFL <30W without integrated ballast are nowadays nearly exclusively replacement lamps for existing luminaires, while for new fixture installations integrated LED are the light source.



The LED solutions that come to the market are not always suitable as one to one replacement for CFL lamps. The following replacement issues in existing luminaires will not be solved by the LED technology: size, form factor, light distribution, light output, weight, heat management. Next to these issues lamps operated on separate ballasts can face problems with electrical compatibility, because many different types of gears (both conventional ballast and electronic control gear) are installed in the European market. Examples of these issues are reduced performance in dimmed mode and flickering. The person installing a LED based solution on ballasts originally designed for CFL is in most cases executing the rewiring and will as such be responsible to check if the new combination fulfils all requirements, including when the original lamp type is installed back again. This could mean that the CE conformity label of the complete luminaire is no longer valid.

Based on above arguments LightingEurope is of the opinion that for CFL lamp types offering the long lifetime of equal or above 20.000h as discussed in this exemption in many cases a suitable replacement LED lamp is not available. Removing these CFL lamps from the market would therefore force refurbishment of the lighting system or even new luminaire investments, which would unnecessarily and dramatically increase the waste.

The requirements mentioned in Article 5(a) of the RoHS Directive for the inclusion of materials and components of EEE for specific applications in the list in Annex III are met for mercury in single capped (compact) fluorescent lamps < 30 W with a lifetime equal or above 20 000 h for general lighting not exceeding 3.5 mg per lamp as summarized in Table 1:



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Requirement according RoHS Article 5(a)	Status for mercury in linear fluorescent lamps for general lighting with long lifetime not exceeding 5 mg per lamp
their elimination or substitution via design changes or materials and components which do not require any of the materials or substances listed in Annex II is scientifically or technically impracticable,	The replacement of mercury in linear fluorescent lamps is scientifically and technically impracticable. LED based lamps are not fully compatible to replace conventional linear lamps in existing applications. Alternatively installed luminaires can be replaced with very high socioeconomic impact by mercury-free fixtures. Both LED options require lead in materials and electronic applications currently exempted according Annex III of the RoHS Directive.
the reliability of substitutes is not ensured,	Substitution of fluorescent lamps or the corresponding fixtures with LED-based solutions require in most cases qualified professionals to perform the installation. This can inevitably not be assured. Correctly installed LED based lamps and luminaires are considered to be reliable.
the total negative environmental, health and consumer safety impacts caused by substitution are likely to outweigh the total environmental, health and consumer safety benefits thereof.	Consumer safety is given if LED-based lamps are installed according the manufacturers advise. In most cases qualified professionals have to do this. Based on recent studies 1 LED based lamps show comparable energy efficiency, hence cannot be considered as more beneficial to environment in all situations. It has to be analyzed case by case whether a fluorescent lamp can be technically replaced and whether the substitute LED based lamp can fully fulfill all required functionalities.

Table 1: Requirements according RoHS Article 5/a) and their fulfilment for mercury in single capped (compact) fluorescent lamps < 30 W with a lifetime equal or above 20 000 h not exceeding 3.5 mg per lamp.

Over the last decade CFL lamps have strongly contributed to the achieved energy savings and to the reduction of CO2 emissions in Europe, being the direct replacement for incandescent lamps (Figure 1)^{2.} As such CFL lamps have also contributed to reduce mercury emission from fossil fuel operated power plants.

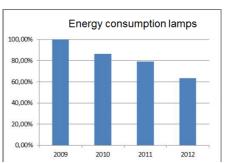


Figure 1 Almost 40% reduction in energy consumption in Europe by consumer lamps. Source: LightingEurope

At the same time the level of mercury dosed per compact fluorescent lamp has decreased considerably during the last years driven by the industry and formalized under the RoHS directive of max 5 mg to max 3,5 mg to max 2,5 mg/lamp (2006 - 2011) and for CFL

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¹ CALiPER, "Application Summary Report 21: Linear (T8) LED Lamps", p.6

² Source: LightingEurope

with long life to 3,5. Figure 3 shows the achieved mercury reduction of the total fluorescent family.

Nevertheless, the fluorescent technology inherently needs a minimal amount of mercury in order to function through the full indicated lifetime and to deliver the energy efficiency benefits.

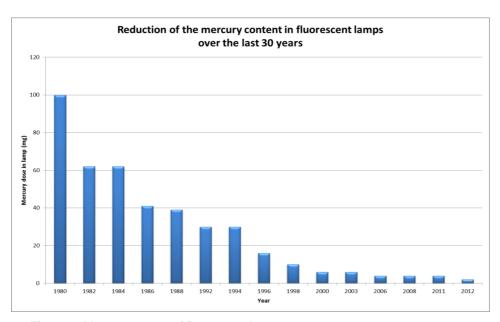


Figure 2: Mercury content of fluorescent lamps

Waste management (WEEE) measures by EU authorities and industry together have resulted in still increasing collection & recycling rates (2013 rates already surpassing 45% target set for 2016), reducing the environmental impact of mercury even further.

The use of Long life lamps is directed to areas where lamp replacement is difficult and expensive due to high ceilings, special luminaire design for critical application requirements or too much disturbance of running processes during long operating hours. Also applications where safety of people is at stake e.g. heavy duty industry halls, chemical industry and oil platforms requiring very reliable long life specifications. Locations with long operating times of the lighting (24 hours a day) also prefer the CFL long life lamps.

Based on above arguments LightingEurope is of the opinion that suitable LED replacement lamps are not available for many CFL lamp types in many applications.

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³ http://rohs.exemptions.oeko.info/fileadmin/user_upload/RoHS_VI/Request_7/Request_No7_1st_Clarification_Questions_20120622_final.pdf

Removing CFL lamps from the market would therefor force early refurbishment of the lighting system or even new luminaire investments, which would unnecessarily and dramatically increase the waste.

Furthermore, in the residential area, due to the higher product price of the LED alternative, giving the same energy efficiency, the consumer has to invest more to achieve the same amount of energy savings

It is widely expected that, even without legislative policy measures, LED adoption will increase naturally during the coming years when LEDs will become more affordable and availability will increase. This will reduce the number of CFL lamps sold in the European market as will be described in section 5.2. Already with the threshold value as set in the current RoHS directive, the total amount of mercury brought into the EU market will reduce by half by 2020 (Figure 3).

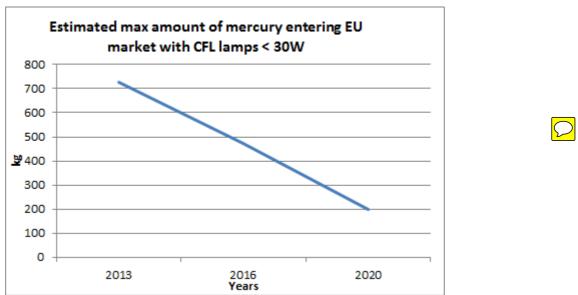


Figure 3: Estimated maximum amount of Hg entering EU by CFL < 30 W, using the current RoHS limits.

Long-life accounts for 2-3% of the total CFL

LightingEurope believes that above arguments justify the request for extension of the exemption for CFL lamps < 30 W with long life with a maximum validity period and no expiry date.

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4 Technical description of the exemption request

4.1 Description of the lamps and their applications

4.1.1 Lamps covered by this exemption



In most compact fluorescent lamps < 30 W with a lifetime equal or above 20.000h the electronic control gear is not integrated in the product (self-ballasted CFLs or CFLi-s) but is separated from the lamp (plug-in CFLs or CFLni-s). Most of the lamps are used for professional applications in offices, public buildings, shops and street lighting, for general lighting. CFL lamps in general have a colour rendering index (CRI) above 80 and are available in a wide range of colour temperatures from extra warm white (2200K) to cool daylight (6500K). Some of the lamps have a higher CRI for specific applications. Lamps used in different applications have light output and energy efficiency in the ranges 150-2500 lm, 50-80 lm/W.

Examples of such lamps and an illustration of the variety in the lamp related lamp caps are shown on the Figure 4. The different lamp caps are designed to prevent insertion of the wrong lamp in the wrong holder since the correct and safe electrical operation of the lamp depends on the right type of driver.

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Figure 4 Examples of lamps and sockets used for CFL <30W

4.1.2 Applications covered by this exemption

CFL lamps in professional applications are used as energy saving solutions and are found in many down lighters providing general lighting in for example offices, public buildings, shops, banks, schools, train stations, airports, malls, hotels (reception, restaurants, bars, lobby, corridors, rest areas, conference rooms), galleries, offices (reception, lobby, meeting rooms, corridors, rest areas) and sporting facilities (gyms). But also in outdoor lighting in streets and corridors providing safety to the people on the streets. As mentioned above long—life lamps are especially used in those applications in areas where

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lamp replacement is difficult and expensive due to high ceilings, special luminaire design for critical application requirements or too much disturbance of running processes during long operating hours. Also applications where safety of people is at stake e.g. heavy duty industry halls, chemical industry and oil platforms requiring very reliable long life specifications.

Many luminaires have been specifically designed for the use of the CFL lamps. Below some pictures of a few applications are shown:

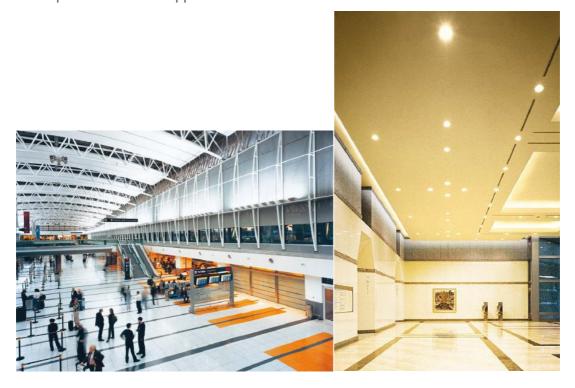




Figure 5 Examples of specific fixtures of lamps subject to this exemption request

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Figure 6 Examples of specific fixtures of lamps subject to this exemption request

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4.1.3 Annex I category covered by this exemption List of relevant Annex I categories for this exemption $\prod 1$ \square 2 **3** 4 \boxtimes 5 \Box 6 \square 7 8 □ 9 **10** $\prod 11$ Application in other categories, which the exemption request does not refer to: N/A Equipment of category 8 and 9: N/A The requested exemption will be applied in monitoring and control instruments in industry in-vitro diagnostics other medical devices or other monitoring and control instruments than

LightingEurope is of the opinion that lamps in general are category 5, because the majority is used for general illumination. However, they have some of the characteristics of components (used in luminaires), consumables (finite lifetime and regularly replaced) or spare parts (lamps in luminaires have to be replaced when they cease functioning). Some manufacturers of electrical equipment in other RoHS categories may install fluorescent lamps into their equipment for general illumination purposes and so they will need to use lamps that comply with the RoHS directive, however the products that they place on the market are not category 5 but may be household appliances, medical devices or potentially in any RoHS category 1 - 11.

those in industry

LightingEurope is aware of the difficulty to classify certain lamps unambiguously in the category set out by RoHS legislation. For lamp producers it is essential to have legal certainty regarding the possibility to put the products on the market irrespective of the planned application as we are not able to control the use of the lamps in products falling in other categories or out of the RoHS scope. In practice, most lamps are installed in buildings for lighting applications (category 5), but some are used in other types of

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equipment in all other RoHS categories. The way that lamps are used has no effect on lamp design so will not affect this exemption request.

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4.2 Description of the substance

4.2.1 Substance covered by this exemption

LightingEurope is asking for exempting

	□Pb	☐ Cd	⊠ Hg	☐ Cr-VI	☐ PBB	☐ PBDE
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4.2.2 Function of mercury in lamps

A small amount of mercury is intentionally dosed in all fluorescent lamps as it is essential for the low-pressure gas discharge. When electric current flows through the lamp bulb (=burner), the mercury atoms inside are excited and produce UV radiation. This UV light is then converted into visible light by the fluorescent coating on the lamp bulb with a high degree of energy efficiency.

4.2.3 Location of mercury in lamps

Mercury is present in the so-called burner.

The mercury is instrumental in the conversion of electrical energy into the UV radiation, which is converted subsequently by a phosphor into the emitted visible light.

4.2.4 Amount of mercury

Mercury is dosed in the burner during lamp manufacturing as homogeneous material (pill, capsule or as amalgam). This technology enables dosing of the small and accurate amount of mercury that is needed, without unintended losses. The amount of mercury dosed per lamp depends on aspects like lamp power, optical performance and anticipated lamp life. This is reflected in the current individual RoHS exemptions 1a till 1g. During lamp life, mercury is consumed inside the burner itself. It is bound principally to the

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phosphor layer and the glass.⁴ Once the mercury is bound to these elements, it is no longer available to emit ultraviolet light.



One of the principal design rules to create higher lumen packages in fluorescent lamps is to increase the length of the discharge tube. Consequently higher lamp wattage involves more glass and phosphor surface, thus more mercury consumption during lamp life and therefore a higher initial mercury dose. Coating of phosphors and glass can give a reduction of the Hg consumption over lamp life, but in general it remains a function of the lamp dimensions and the lifetime. Next to this, processing has its influence, for instance because the actual dose per lamp scatters around the nominal dose, while the threshold value as set by RoHS directive sets a maximum limit.

For single capped compact fluorescent lamps in the scope of the Exemptions 1(g), the maximum dosed mercury amount is set at 3,5 mg.

The influence of mercury consumption on the required dose

The amount of mercury which is needed for the low pressure discharge itself is very low, typically below 0.1 mg per lamp. But there are many processes within the burner, which make a large part of the mercury unavailable for the discharge over lifetime. This is called mercury consumption. The mercury consumption is much higher than the mercury amount needed for the discharge, viz. in the order of a milligram. This is the reason why more mercury has to be dosed to make sure the intended lifetime is not shortened due to too little available mercury. Therefore a balance has to be found between mercury needed over lifetime, mercury variance per dosing unit but also the measurement accuracy when estimating the amount of mercury in a lamp for market surveillance.

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⁴ Reference: I. Snijkers-Hendrickx et al, Low-Mercury Containing Discharge Lamps. Sustainable and Environmental Friendly Lighting Solutions, LS 11

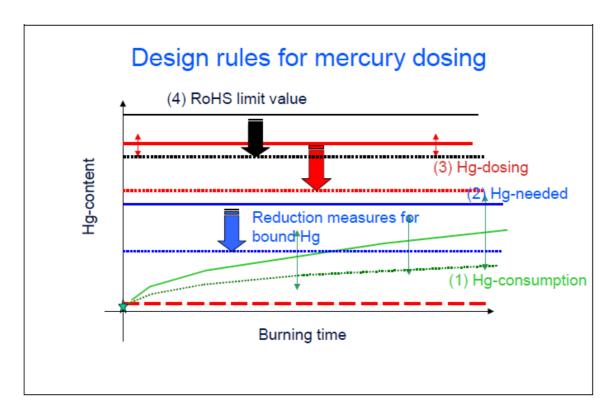


Figure 7 Design rules for mercury dosing in fluorescent lamps, schematically showing the process of setting RoHS limit values based on insights in mercury consumption and mercury dosing.

The lowest (red dashed) line in Figure 7 gives the ideal situation for a low pressure mercury discharge: there is just enough mercury for the discharge to properly function. For a compact fluorescent lamp this is typically in the order of 0,005 to 0,05 mg per lamp (in the gas-phase), depending on the lamp dimensions. However, because of the mercury consumption mechanisms a significantly higher amount must be dosed (which will be explained below). It has not been possible to date to design a lamp with normal functional properties over lifetime using a mercury dose of only 0,005 to 0,05 mg.

In practice, mercury from the discharge is consumed over lamp life. The mercury is mostly deposited and effectively bonded to the glass and the phosphor layer. This is reflected by the full green curve (1) in Figure 7, which represents more or less a square root relationship with lamp life. The longer the burning time, the higher the amount of mercury needed. The variance in this mercury consumption, as depicted by the green arrows, is considerable and depends on many factors (see below for counteracting measures). To obtain the designed lamp life, the right amount of mercury has to be dosed, taking into account the consumption during lamp lifetime and the variance. The solid blue line 2 in Figure 7 represents the typical amount that is needed and the solid red line 3 is the amount that also incorporates the variance. Alternatively, this target value is called nominal or average value, and can be listed in catalogues. This average value is lower

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than the threshold value so the actual amount per lamp is lower than the limit set by the directive.

The solid black line 4 in Figure 7 is the line representing the RoHS limit (expressed as mg per lamp), the value of which, as explained before, has to take into account both variances of mercury consumption and of mercury dosing. On the one hand, we would like to have this value as low as possible, but on the other hand, it should be safely chosen to (1) eliminate the customer risk of a non-performing product over the designed lamp life and (2) to be able to demonstrate in internal manufacturer's tests and in market surveillance tests that products comply with the RoHS Directive. This leads to a built-in safety margin on top of the target mercury dose, finally leading to RoHS content limit. The lifetime and performance of CFL lamps in Europe are regulated⁵,⁶.

Figure 8 shows the dosing variance relatively to the RoHS threshold value.

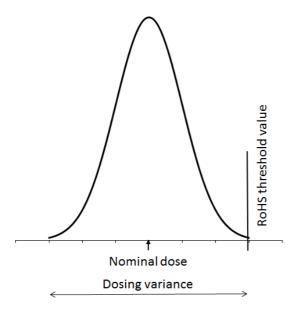


Figure 8: Dosing variance in mercury

Key to the reduction of mercury that has been applied by lamp manufacturers in the previous decades is influencing the factors that determine mercury consumption. These include:

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⁵ Commission regulation (EC) No. 244/2009, March 18, 2009

⁶ Commission regulation (EC) No. 245/2009, March 18, 2009

- Glass type and protective coating
- Type of phosphor material
- Interaction with gasses and impurities
- Lamp processing during manufacturing
- Lamp-ballast interaction during operation

It is also important to take into account the technical capability to reduce both the absolute mercury dose to very low values, and to reduce its variance. Hence, by combining a series of interlinked and complex measures, in a consistent manner, the mercury has been reduced, based on scientific and technical progress in recent years.

As reported during the application for the CFL long-life exemption during 2011-2012, single-capped compact fluorescent lamps start failing due to a lack of luminous flux caused by mercury depletion during operation (see Figure 9). Standard lifetime lamps can properly reach their defined lifetime with a dose of max 2.5 mg. Long life lamps require higher mercury dosing to realize the lifetime extension preventing from early failing during operation. In this case a max level of 3.5 mg (+ 40 %) ensures the long life lamp functionality up to 60.000 h, realizing more than double or triple the lifetime which is also from a total environmental point of view a very positive proposition

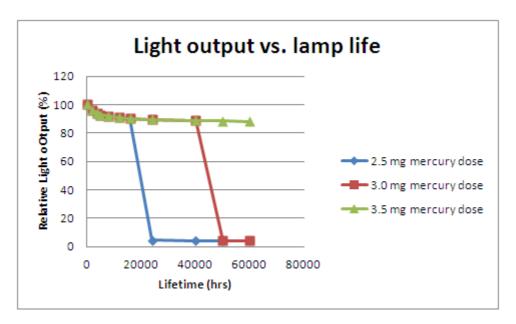


Figure 9 Light output versus lifetime for different (maximum) mercury doses: 2.5, 3.0, 3.5 mg Note: The light output drops dramatically when too low mercury doses are used. A minimum mercury dose is needed to guarantee the long lifetime.

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Based on existing mercury consumption data the required mercury dose can be calculated by a statistical model. This requirement on mercury dose is based on the following:

- Mercury may not be depleted before the specified lifetime in order to avoid light loss, as shown in Figure 8.
- The measured spread due to mercury consumption processes is taken into account statistical tolerance range, as shown on Figure 8

A statistical tolerance can be set using a normal distribution of the mercury consumption data and a 6 sigma interval with a process capability of 1.33. Design for six sigma (DFSS) is a well known and sound statistical tolerance approach used in many industries.

Based on this DFSS approach, the max mercury dose limit avoiding lamp defects due to mercury depletion can be calculated. This results in the required minimal dose limit indicated by the green line in graph 10 (boundary condition on max mercury dosing)

In practice this line means that lifetime of lamps will not be jeopardized by too low mercury dose, leading to impracticable premature light loss (less than 32 ppm lamp defects will occur due to mercury depletion). The required ROHS dose limit is indicated by the green line on Figure . Based on this line we propose to use 3.5 mg mercury for long life lamps with lifetimes between 20-60 khrs. (See area right from red arrow).

Mercury consumption and required max. dose for Long Life lamps

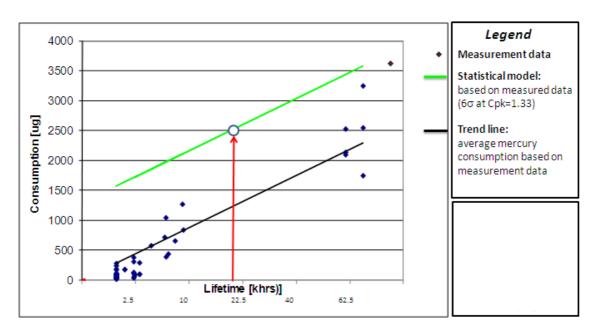


Figure 10 Required mercury dose as a function of lamp lifetime

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4.2.5 Environmental assessments, LCAs

There are several external LCA's performed regarding lighting. There is general agreement, that the main environmental impact is created during the use phase, meaning through electricity consumption when burning the lamp.⁷ This means that currently the energy efficiency of the lamp is the determining parameter. Specifically regarding mercury, the biggest amount is released to the environment by power plants when generating energy (especially when fossil fuel is the primary power source). ⁸ Technological advancements in the lighting industry have resulted in a significant reduction in the amount of mercury used in many types of fluorescent lamps over the last two decades. ⁹ Manufacturers have developed technology that enables a small amount of mercury to be 'dosed' or placed inside a CFL. ¹⁰

For the future however the manufacturing part in the LCA becomes more relevant¹¹, because the energy consumption by the lamp is already dramatically reduced (higher energy efficiency leads to decreased negative environmental impact).

The total life cycle environmental impact of the light sources is interesting due to the importance of the lighting sector in the total energy consumption. The lighting sector is filled with different light sources of different shapes and sizes. The environmental and economic performance comparison of those various types is difficult, due to lack of established rules for the LCA of light sources. As a result, it creates distortion and makes it difficult to numerically compare the results of the LCAs.

Historically the comparison was done with respect to incandescent lamps¹², where it was concluded that the net mercury emission over life cycle is reduced when changing from incandescent to CFL lamps. More recently LCA is done in comparison with LED sources¹³,

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⁷ see Enlighten report, Section 5, Ch. 3 fig. 4 & 5, p. 111-112 http://www.learning.enlighten-initiative.org/ebook/en_lighten_english_complete.pdf

⁸ see Enlighten report, Section 5, Ch. 3 fig.6, p. 111-112 http://www.learning.enlighten-initiative.org/ebook/en_lighten_english_complete.pdf

⁹ ENERGY STAR. (2012). Frequently Asked Questions Information on Compact Fluorescent Light Bulbs (CFLs) and Mercury. Retrieved March 29, 2012, from: http://www.energystar.gov/ia/partners/promotions/change-light/downloads/Fact-Sheet Mercury.pdf

¹⁰ Complete paragraph UNEP toolkit, p.106

Life cycle assessment of light sources – Case studies and review of the analyses Leena Tähkämö, Aalto University publication series DOCTORAL DISSERTATIONS 111/2013

¹² Pfeifer RP.Comparison between filament lamps and compact fluorescent lamps. International Journal of Life Cycle Assessment 1996; 1: 8—16.; Parsons D. The environmental impact of compact fluorescent lamps and incandescent lamps for Australian conditions. The Environimental Engineer 2006; 7: 8—14; Gydesen A,Maimann D. Life cycle analyses of integral compact fluorescent lamps versus incandescent lamps: RightLight, Stockholm, Sweden, 1991

¹³ Department for Environment, Food and Rural Affairs (DEFRA).Life Cycle Assessment of Ultra-Efficient Lamps.Navigant Consulting Europe Ltd. 2009.; Analysis and comparison of incandescent, compact fluorescent lamps and light emitting diode lamps in residential applications, The scientific consulting group inc. (2010) submitted to the U.S. environmental protection agency office of the science advisor; Life-Cycle

however here it is even more challenging to compare these various-shaped LED light sources to conventional lamps and luminaires. LED technology provides new possibilities for manufacturers to design luminaires, lamps, components and packages containing LED chips, thus the question on which basis those should be compared remains.

In some analyses the current LED alternative comes close to compact fluorescent lamps. Another however concludes that LED lamp product manufacturing uses approximately three times more energy than the manufacturing of a CFL with comparable light output

Thus it needs to be acknowledged that at present no widely accepted consensus exists among experts. However one must consider the improving LED alternative in the right perspective: according to reference LED sources are expected to have a real advantage in the total life cycle over time, at least if energy efficiency keeps improving at the same rate and expected long lifetime is proven.

5 Waste management

5.1 Waste streams

orr tracto chicamo		
Article is collected and sent without dismantling for recycling		
Article is collected and completely refurbished for reuse		
Article is collected and dismantled:		
☐ The following parts are refurbished for use as spare parts:		
☐ The following parts are subsequently recycled:		
Article cannot be recycled and is therefore:		
☐ Sent for energy return		
Landfilled		

Single capped (compact) fluorescent lamps are in the scope of EU Directive 2012/19/EU–WEEE (Recast). Take back systems are installed in all EU Member States: end users and most commercial customers have to bring back the lamps free of charge. Single

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Assessment of Energy and Environmental Impacts of LED Lighting Products, The U.S. Department of Energy (DOE) building technologies office; Life cycle assessment of light sources – Case studies and review of the analyses, Leena Tähkämö, Aalto University publication series DOCTORAL DISSERTATIONS 111/2013; Life Cycle Assessment of Ultra-Efficient Lamps SPMT08_069, Navigant Consulting Europe, Ltd. A research report completed for the

Department for Environment, Food and Rural Affairs,

¹⁴ Life cycle assessment of light sources – Case studies and review of the analyses Leena Tähkämö, Aalto University publication series DOCTORAL DISSERTATIONS 111/2013, p. 17-18

¹⁵ U.S. Department of Energy. (2012). Life-Cycle Assessment of Energy and Environmental Impacts of LED Lighting
Products.
Retrieved
March
10,
2012
from

http://apps1.eere.energy.gov/buildings/publications/pdfs/ssl/2012_LED_Lifecycle_Report.pdf

¹⁶ Life-Cycle Assessment of Energy and Environmental Impacts of LED Lighting Products,

The U.S. Department of Energy (DOE) building technologies office

capped (compact) fluorescent lamps are collected separately from general household waste and separately from other WEEE waste. Also a dedicated recycling process exists for lamps because, according to legislation, the mercury shall be removed from the gas discharge lamps. Mercury is recovered in specialised facilities by distillation. Figure 6 shows the various steps in the recycling process.

supply shredder conveyorbelt mercury-powder in drums mercury distillation measuring station installed in the chimney post purification

Figure 10: Recycling steps of fluorescent lamps in Indaver (Belgium). Source:www.indaver.be/waste-treatment/recycling/mercurial-waste.html

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Figure 12 illustrates the specifics of recycling the mercury.

Mercury distillation

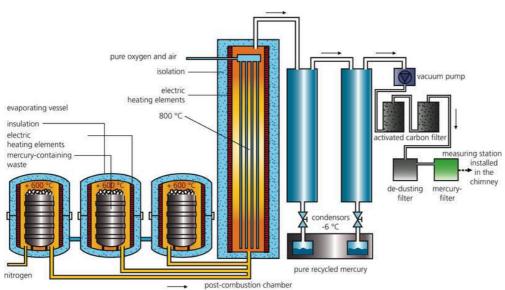


Figure 11: Recycling steps of fluorescent lamps in Indaver (Belgium). Source:www.indaver.be/waste-treatment/recycling/mercurial-waste.html

European legislation on Waste Electrical and Electronic Equipment (WEEE) makes producers responsible for end of life products within this category as from August 13th, 2005. Target setting as consequence of the present legislation is 45% of Electrical and Electronic Equipment placed in the market by 2016, rising to 65% in 2020 per year for all categories.

European Lamp Companies have founded Collection & Recycling Organizations in the EU Member-States, with the objective to organize the collection and recycling of gas discharge lamps. Goal is to comply with present and probable future EU legislation and meet or exceed national targets.

In general the following channels have been established in the respective memberstates providing countrywide coverage:

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- Direct collection from large end users:
 Containers have been made available, ad hoc or permanently, and will be collected upon notification by the end user that the container is full.
- Collection through distribution:
 - Wholesalers and Retailers place collection means at their premises respectively in their shops. Collection is done upon notification.
- Collection through municipalities:

Where infrastructure allows collection means are placed at municipality depots.

Campaigns are being executed or have been planned to reenforce the role of the government to educate the population that gas-discharge lamps have to be disposed of in an environmentally friendly way. An example of such a campaign is the distribution of 'Jekko' containers to 1 million households in the Netherlands (Figure 8). Another way of organising the take back for consumers is via supermarkets as done by Récylum in France (Figure 9).



Figure 12 'JEKKO' collection container



Figure 13 : 'Récylum' collection container

5.2 Amount of mercury in WEEE

☐ In articles which are refurbished
☐ In articles which are sent for energy return
☐ In articles which are landfilled

Amount of substance entering the EU market annually (base year 2013) through application for which the exemption is requested:

The report 'Preparatory Study on Light Sources for Ecodesign and/or Energy Labelling

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Requirements ('Lot 8/9/19'), Draft Interim Report, Task 2 made for the EU indicates a total volume of CFL lamps in EU 28 of 342 Mpcs in 2013. This volume includes all wattages¹⁷.

The collection rate of lamps in Europe compared to the average amount of lamps put on the market during 2010 – 2013 is shown in below graph (Figure 10) based on Collection & Recycling Service Organization (CRSO) data consolidated by Philips Lighting. It also includes the targets set for 2016 and 2019. Please be aware that this graph includes all lamp types, not specifically the CFL < 30W long-life types.

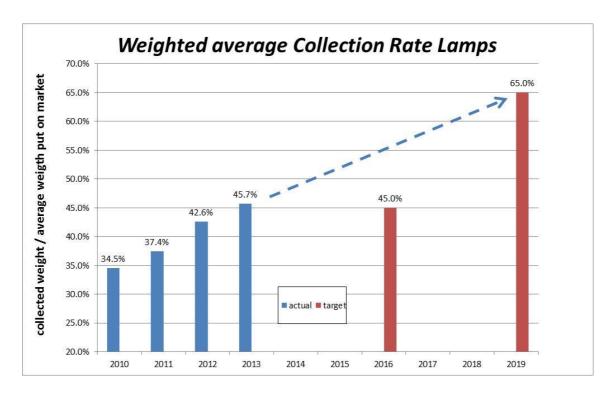


Figure 14: Collection rate of lamps

Reporting on the collection of lamps is available on 2 groups:

- o CFL lamps and LED retrofit lamps
- Long CFL lamps without integrated ballast, Fluorescent tubes

This makes it impossible to give specific accurate figures for CFL lamps < 30 W as the available information covers the whole CFL family.

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¹⁷ Preparatory Study on Light Sources for Ecodesign and/or Energy Labelling Requirements ('Lot 8/9/19'). Draft Interim Report, Task 2 by Prepared by VHK, in cooperation with VITO and JeffCott Associates Date: 19 November 2014, Table 1.



The amount of mercury entering to EU market with CFLs < 30 W with long life can be estimated with the following algorithm.

An external report indicating the exact wattage split is not available. Based on experience of the LE members, CFL lamps < 30 W with long life count for approximately 2-3% of the total CFL volumes in Europe.

The maximum allowed mercury content for CFL lamps < 30 W with long life is 3,5mg. The average dose is below this value to ensure that all lamps meet the 3.5 mg boundary

Combining these numbers indicate that in 2016 (3% * 222Mpcs * 3,5mg) a maximum of 23.3 kg of mercury has entered the European market (market volume in pieces taken from VHK report for EU) ¹⁸.

The McKinsey study as used in the VHK report¹⁹ gives the following rough forecast of volumes in 2020. Using these volumes in the calculation of the maximum amount of mercury entering to EU market with CFLs < 30 W with long life gives the following result:

2020: (3% * 93Mpcs * 3,5mg) = 9.8 kg

It is emphasized that this is an estimation of the upper limit based on the threshold value of the directive. In reality the amount entering the market will be lower as the average dose per lamp is most often below this threshold value (see 4.2.4). LightingEurope estimates that the average value is roughly 20% below the threshold value.

The total amount of mercury entering to the EU market in compact fluorescent lamps covered by this exemption will decrease in the coming years. Main reason for this is the increased penetration of LED alternatives due to their expected decreasing price, improved availability and better replace-ability for the different CFL lamp types.

It is also important to note that almost every country within EU has a collection and recycling service organisation (Figure 16, status per 2009). Collection and recycling rate of CFL lamps is continuously increasing, contributing to the overall mercury reduction program.

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¹⁸ Preparatory Study on Light Sources for Ecodesign and/or Energy Labelling Requirements ('Lot 8/9/19'). Draft Interim Report, Task 2 by Prepared by VHK, in cooperation with VITO and JeffCott Associates Date: 19 November 2014, Table 1.

¹⁹ Preparatory Study on Light Sources for Ecodesign and/or Energy Labelling Requirements ('Lot 8/9/19'). Draft Interim Report, Task 2 by Prepared by VHK, in cooperation with VITO and JeffCott Associates Date: 19 November 2014, Table 29.



Systematic collection ensures that the various materials, including mercury, are recovered and recycled or disposed of in an environmentally sound way. More than 80% of the material in lamps is recycled resulting in fewer resources needed to produce new goods.

Figure 156: Map of ELC Collection and Recycling Service Organisations (CRSOs). Source: Environmental aspects of lamps²⁰

6 Substitution

Can the substance of this exemption be substituted?

☐ Yes, by	⊠ No
Design changes:	Justification: see in chapters below
Other materials:	
Other substance:	

6.1 Substituting mercury in the fluorescent technology

Fluorescent lamps need a certain amount of mercury since it is consumed over life. Technology has evolved over the last decade. The average amount of mercury within fluorescent technology per lamp has been considerably reduced (Fig 17)²¹:

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²⁰ ELC: Environmental aspects of lamps, second edition, APRIL 2009 http://www.elcfed.org/documents/090811_elc_brochure_environmental_aspects_lamps_updated_final.pdf ²¹ http://rohs.exemptions.oeko.info/fileadmin/user_upload/RoHS_VI/Request_7/Request_No7_1st_Clarification_Questions_20120622_final.pdf

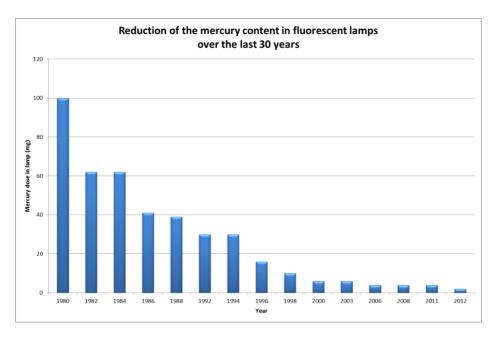


Figure 167: Mercury content of fluorescent lamps. Source: LightingEurope

But low pressure fluorescent lamps without mercury are not possible, despite all the research that has been done on the subject:

The mercury discharge is highly efficient in transforming electrical energy into light. The technology has only two drawbacks: first the generated UV radiation needs to be transformed into visible light, a process for which large losses occur: this is due to the Stokes shift (an energetic UV photon generates a visible photon which has a much lower energy) and secondly the discharge inherently contains mercury as the source to create the UV photons^{22.}

Attempts to generate UV with noble gases have succeeded partially²³. However the plasma radiates in the deep UV. At such wavelengths, the Stokes shift is even larger causing lower energy efficiency. The lack of suitable phosphors²⁴ prohibited progress in this direction. Other alternatives investigated are low pressure metal halides (for example InI, InBr, Gal3)²⁵. Such plasma's generate the visible light directly without the Stokes shift

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²² M Haverlag, Mercury-free discharges for lighting, J. Phys. D: Appl. Phys. 40 (2007)

²³ R Bussiahn, S Gorchakov, H Lange, D Loffhagen and D Uhrlandt, Ac operation of low-pressure He–Xe lamp discharges, J. Phys. D: Appl. Phys. 40, 3882 (2007)

²⁴ J. Dexpert-Ghysa, Re-processing CRT phosphors for mercury-free applications, J. of Luminescence, 129, 1968, (2009)

²⁵ D.Smith, J. Michael, V. Midha, G. Cotzas and T. Sommerer D. Smith et al. Efficient radiation production in a weakly ionized, low-pressure, nonequilibrium gallium-iodide positive column discharge plasma J. Phys. D: Appl. Phys. 40 3842 (2007). More references can be found in the series: International Symposium on the science and technology of Lighting LS1-14.

of the phosphor²⁶. There are alternatives from research but the energy efficiency in prototype lamps is significantly reduced to 40lm/W or below. Mass production is not feasible.

With the arrival of the first energy efficient LED white light sources and the perspective of further improvements, research to alternative gas discharges has stopped at most companies and universities.

6.2 Substituting fluorescent technology by mercury free technology

Currently, the lighting market is rapidly changing from discharge lamp technology to LED technology, which is mercury free. This change mainly concerns the new installs market, i.e. new luminaires and lighting systems are now frequently based on LED technology. However, for the current installed base of luminaires and lighting systems operating with discharge lamps, a typical refurbishment cycle in shops and offices is on average 7 and 12 years respectively. LEDs in many cases are not suitable drop-in replacements, as will be explained in 6.2.1, so the availability of suitable discharge lamps needs to be secured to prevent a forced, early refurbishment resulting in extra costs and environmental burden.

Towards the development of possible alternatives, the LED technology developments are also addressing one-on-one replacements, but this will not result in a situation which would allow for full replacement of the current discharge lamps portfolio within the timeframe of the exemption.

Towards discharge lamp technology, no major development efforts have been taking place anymore because innovation efforts in the industry are fully focussing now on LED technology.

6.2.1 Feasibility of the alternatives

For CFL lamps replacement by means of LED lamps is not always evident. Specifics to finding alternatives for compact fluorescent lamps include the following issues:

 As explained in 4.1.1 CFL lamps are installed in a huge variety of types, shapes, sizes, wattages and colours. For just a few of these types LED retrofit solutions are entering the market. It can not be expected that LED retrofit solutions will be developed for the

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²⁶ An example if a UV photon of 256 nm from mercury is transformed in a visible photon of 555nm (maximum eye sensitivity) 56% of the energy is lost to heat. In xenon the UV photon is formed around 185 nm this loses 67% of the energy when transformed into the same visible photon.

- total of this complex and scattered landscape with often small series per type. The reason for this is that there is no market for new CFL fixtures. New installations are nearly exclusively realized today in LED technology.
- In Europe properties of CFL lamps are regulated in various standards like EN60901, EN60969, EN60968 and EN61199, to make compatibility easy for the users. Such standards are currently not available for LEDs which aim to replace CFLs with external ballast, so customers don't have any reassurance that the LED solution fits the existing installation.
- Inherent to the discharge technology, CFL lamps are more of omnidirectional nature, while LEDs by nature emit their light more directionally which can make the one to one replacement difficult. It is difficult for LED based lamps to achieve an omnidirectional luminous intensity distribution, while also meeting needs for thermal management and electrical regulation. When replacing the CFL lamp with a general purpose LED bulb the user may notice the light is not distributed in all directions and this could prove to be a disappointment.
- In the application the luminaire might radiate the light in all directions or a reflector is guiding the light into a special direction. Especially in the last case the reflectors are designed for the shape, dimensions and burning position of a CFL lamp to generate the desired light distribution. The more directional light of an LED will give a different light distribution in the same CFL luminaire with reflector. Therefore bare-lamp performance may not translate when the product is operated in a luminaire. The measurement should be performed with a lamp inside the luminaire. Replacing an omnidirectional fluorescent lamp with a directional LED lamp can result in for example reduced illuminance at the work place, changed uniformity ratios on floor and surroundings and even in unwanted glare. The pictures below (Figures 20, 21, 22) also clearly indicate that depending on specification of a luminaire, application performance may differ significantly when directional lamps are installed. In some cases there might be a need for a new light plan design, resulting in renovation and installation of new luminaires.



Figure 17: Example of possible burning positions in a luminaire designed for conventional CFL.

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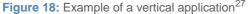




Figure 19: Example of a horizontal application²⁸

 As shown in Figure 23 some CFL luminaires are designed for 2 lamps. Differences in size of the LED alternatives can cause problems in fitting both lamps in the luminaire.
 The picture below shows a typical example of LED lamps with the same lumen output, but different size and dimension than the CFL lamps they need to replace.



Figure 203: CFL luminaires designed for 2 lamps in one fixture

- The current lamp holders are designed to carry the weight of the existing CFL lamps. Safety standard for CFL lamps (EN60968) prescribes a maximum weight and bending moment to prevent a too high loading of the lamp holder. LED lamps can have a higher weight and bending moment than CFL lamps due to the necessary heat sink which needs to be close to the LEDs to remove the heat from the diodes. As a result the weight of the LED solution often exceeds the values for CFL.
- Luminaires for CFL are designed for the thermal properties of a CFL lamp and not to control the heat as required for dedicated LED fixtures. Direct application of LED

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 $^{^{27} \ \}underline{\text{http://www.amazon.com/Fluorescent-Vertical-Downlight-Lamp-26w/dp/B0040WWUNY}}, \ date: \ 27/11/2014$

²⁸ http://www.globalindustrial.com/p/electrical/lighting-indoor/downlighting/6-cf-downlight-horizontal-frame-in-263242w-1-light, date: 27/11/2014

- replacement lamps instead of CFL can cause thermal problems in closed and/or narrow CFL luminaires.
- The external lamp driver can be a conventional ballast or an electronic control gear. The market for new installations is moving toward electronic control gear due to new functionality (e.g. dimmability) and upcoming energy efficient legislation for the driver. Many CFL lamps used by professional end users are designed to be dimmable. Several modes of dimming (e.g. phase cutting) are present in the market. All modes of operation (EM, HF current controlled, power controlled, voltage controlled, preheat, non-preheat) have in common that the light source is expected to behave electrically as a standardised CFL lamp. The large diversity of drivers is not meant for an electronically ballasted LED lamp. This makes it very difficult for a customer to know which ballast is used and which LED lamp to apply as a retrofit. The usually unskilled end-user might be confronted with compatibility issues and wrongly (also unintentionally) chosen LED based replacements, which will work improperly in the existing application. In such situations one will be forced to take out the control gear from the installation and directly connect a LED source to mains voltage (called rewiring). Currently there is no electrical interface described for LED lamps replacing CFL with external control gear. Standardisation bodies are working on interface standards (related to linear LED based replacement lamps), but it is not expected that these will also become available in the near future for CFL (with external control gear). As a result an end-user, both consumer and professional customer, needs to either have a broad technical knowledge or reach out to professionals to ensure that replacement is safe and the luminaire operates in a proper manner. It requires caseby-case feasibility and measurements. The person installing a LED based solution on ballasts originally designed for CFL is in most cases executing the rewiring and will as such be responsible to check if the new combination fulfils all requirements.
- A regular external driver for a CFL lamp is designed to be used with several subsequent lamps (at least 3 to 4 lamps). In case no suitable LED replacement is available this would lead to a premature refurbishment of either the ballast or the complete luminaire. This creates additional negative environmental impact through unnecessary waste, when still properly operating components need to be disposed. A typical renovation cycle in the office segment is 12 years and for shops this is 7 years²⁹.
- Many down-lighter luminaires are built recessed into the ceiling. If no replacement lamp is available, not only the luminaire should be replaced, but because the new

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 $^{^{29}}$ McKinsey, Lighting the way : Perspectives on the global lighting market, July 2011

- LED luminaires will not always fit exactly in the hole in the ceiling, a considerable number of the users will need to replace the whole ceiling to fit the new luminaires.
- For many applications the prices of LED-based alternatives for CFL lamps (especially for increased wattages) are still significantly higher while the system energy efficiency and lifetime in principle are comparable³⁰. This means higher investments and a longer payback time.

6.2.2 Availability of substitutes

The availability of substute lamps is not given, especilally regarding the whole variety of CFLni. There is decreasing market for this lamps because new installations are realized nearly completely with integrated LED technology. Lamps covered by this exemption are nowadays only replacement lamps for existing fixtures. The question if all sockets can be filled with suitable, replacement LED lamps, fulfilling the requirements of the application and securing proper quality can clearly be answered: No. There is no sufficient market for many of the lamp types to develop, qualify and certify the specific lamps in the quality needed in these mainlyprofessional applications.

6.2.3 Impacts of substitution

As indicated in 6.2.1 LightingEurope is of the opinion that no fully compatible substitutions in LED technology are available for the big variety of CFL lamp types in all types of applications.

6.2.3.1 Environmental impact of substitutes

The major environmental impact of lighting is the energy consumption in the use phase. As stated before (see 4.2.5), various LCA's show different results and are as such inconclusive regarding the comparison of LED technology versus CFL technology on their total environmental impact. Both CFL and LED lamps for residential applications use an electronic driver of which the environmental impact is the same. The largest differences are the use of mercury in case of CFL and in case of the LED the aluminium based heat

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³⁰ To prevent infringement of the competition law, specific price levels are not given in this document. Prices per country and brand are differing. More information on current price levels can be gathered through the internet.

sink and the energy to manufacture the product³¹. Comparing the two is difficult. So no conclusion can be drawn on the statement if LED is a full replacement for CFL.

In case no suitable replacement of a CFL lamp can be found and the ballast and/or luminaire also need to be prematurely replaced, this will result in additional waste.

6.2.3.2 Health and safety impact of substitutes

Although the LED technology doesn't contain mercury, it contains other sorts of substances such as lead and plastics. So far researches have not been conclusive in the overall effect of a LED lamp in comparison with a CFL lamp (see section 4.2.5).

The next important aspect of the use of LED based replacements for existing CFL based applications is electrical compatibility. As explained in chapter 6.2.1, the current market situation is far from being comprehensive, due to the big variety of lamp types and gears. Contrary to linear LED based light sources, there is no safety standardization in progress. Safety is the responsibility of the installer and the luminaire should be appropriately labelled afterwards. Special care has to be taken for the use of LED lamps in systems which were designed for a compact fluorescent lamp, including exchange of the lamps by professionals.

6.2.3.3 Socio-economic impact of substitution

Economic effects related to substitution:

Increase in direct production costs
Increase in fixed costs
Increase in overhead
Possible social impacts within the EU
Possible social impacts external to the EU
Other:

Banning the energy efficient CFL lamps leads to an increased spend of EU consumers due to enforced usage of more expensive LED lamps (no cheaper alternative yet) and pre-mature refurbishment in professional applications.

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³¹ U.S. Department of Energy. (2012). Life-Cycle Assessment of Energy and Environmental Impacts of LED Lighting Products. Retrieved March 10, 2012 from http://apps1.eere.energy.gov/buildings/publications/pdfs/ssl/2012_LED_Lifecycle_Report.pdf.

Manufacturers offer a wide variety of energy efficient lighting products in their portfolio providing customer choice for professional and residential use. Banning mercury or setting very strict limits on its use will eventually prohibit the use of fluorescent technology for lighting. This means a serious reduction of customer choice for energy efficient lighting solutions.

Some CFL lamp families are still made in Europe. So not granting the exemption will lead to the closing of these factories in the EU with accompanying loss of jobs.

RoHS is copied by many countries in the world (e.g. Asia, Middle East, the America's). Ending the exemption would have as consequence that also people in other countries would not be able to buy energy efficient and affordable CFL lamps and will go back to using incandescent lamps. This has a very negative impact on the environment.

6.2.3.4 Impact of substitution on innovation

Focus of the current lighting industry is already on the further development of LED technology (paragraph 6.1). An extension of the exemption will have a positive effect on the efforts to further innovate in LED, as CFL is the benchmark to be outperformed by LED.

6.2.4 Future trends of substitution

LED technology performance is developing, however the balance between cost price, lifetime and energy efficiency and the speed in which it will take place is not yet clear and at least needs time.

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6.3 Links to REACH, according to RoHS Directive Article 5(1)(a)

Do any of the following provisions apply to the application described?

no				
☐ Authorisation ☐ SVHC ☐ Candidate list ☐ Proposal inclusion Appear VIV	Restriction Annex XIV Annex XVII	Registration		
Proposal inclusion Annex XIV Registry of intentions Provide REACH-relevant information received through the supply chain. Not Applicable				
7 Removal of mercury from lamps Can mercury be eliminated? ☐ Yes. ☐ No, as explained in 6.1.				

8 Reduction of mercury content of lamps

In paragraph 6.1 is explained that various attempt have been made in the industry to reduce the mercury content in fluorescent technology. These attempts have been successful, because the amount of mercury has been drastically reduced in the last decades. At the same time, the fluorescent technology can only operate when a certain limited amount of mercury is used. As stated before, there is interdependency between the amount of mercury, the light output per wattage (energy efficiency) and the lifetime of the lamp. To be able to keep this fine balance, it is uncertain if the amount of mercury as stated currently in RoHS can be further reduced while keeping the requirements of lifetime and energy efficiency.

9 Other relevant information

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During the 2013 UNEP Minamata Convention on Mercury in Japan agreements were made to limit mercury in various products, including compact fluorescent lamps (Figure 18). This treaty has been agreed upon and signed by 94 countries around the globe. The agreed mercury level for $CFLs \le 30W$ is 5 mg.

Mercury-added products	Date after which the manufacture, import or export of the product shall not be allowed (phase-out date)
Batteries, except for button zinc silver oxide batteries with a mercury content < 2% and button zinc air batteries with a mercury content < 2%	2020
Switches and relays, except very high accuracy capacitance and loss measurement bridges and high frequency radio frequency switches and relays in monitoring and control instruments with a maximum mercury content of 20 mg per bridge, switch or relay	2020
Compact fluorescent lamps (CFLs) for general lighting purposes that are \leq 30 watts with a mercury content exceeding 5 mg per lamp burner	2020
Linear fluorescent lamps (LFLs) for general lighting purposes: (a) Triband phosphor < 60 watts with a mercury content exceeding 5 mg per lamp; (b) Halophosphate phosphor ≤ 40 watts with a mercury content exceeding 10 mg per lamp	2020

Figure 21: Section in UN-Minamata treaty on mercury limits for CFL. Source: www.mercuryconvention.org.

10 Information that should be regarded as proprietary

LightingEurope provides to the European Commission under confidentiality a comprehensive list of lamps with average mercury content, which are in the scope of the obligation to publish such data according to the ErP Directive Implementing Measures 244/2009, 245/2009, 1194/2012 and produced by LightingEurope member companies.



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List of abbreviations

ADCO Administrative Cooperation Group

BASI Bioanalytical Systems, Inc

BSP Barium Synthetic (Pb²⁺) phosphor

CCG Conventional Control Gear

CDM Ceramic Discharge Metal Halide

CDV Committee Draft for Voting

CFL Compact fluorescent lamp

CRI Color rendering index

CRSO Collection & Recycling Service Organization

DEFRA Department for Environment Food and Rural Affairs

DOE Department of Energy

ECG Electronic Control Gear

EEE Electrical and Electronic Equipment

ELC European Lamp Companies Federation

EM Electromagnetic: lamp control gear based on a magnetic coil (= CCG)

EMC Electro Magnetic Compatibility

ERP Energy related Products; Directive 2009/125/EC establishing a framework

for the setting of eco design requirements for energy-related products

FTE Full Time Equivalent, indicates the workload of an employed person

HF High frequency: lamp control gear based on high frequency (= ECG)

HID High intensity discharge lamps

HPS High Pressure Sodium (vapor) lamps

Hz Hertz

K Kelvin: Unit of color temperature (2700 K warm color, 5600K cool daylight)

Lm Lumen

LFL Linear Fluorescent Lamps

LCA Life cycle assessment

LED Light Emitting Diode

LPD Low Pressure Discharge lamp

LVD Low Voltage Directive

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mg Milligram

MH Metal halide lamps

OEM Original equipment manufacturer

OLED Organic Light-Emitting Diode

PCA Poly-crystalline alumina

PLL Pi shaped Long Length, compact fluorescent lamp

R&D Research and Development department(s)

REACH Regulation on Registration, Evaluation, Authorization and Restriction of

Chemicals, 1907/2006/EC

RoHS EU Directive 2011/65/EU on the Restriction of the Use of Certain

Hazardous Substances in Electrical and Electronic Equipment

SSL Solid State Lighting

SVHC Substances of Very High Concern

TF Task Force

UMICORE global materials technology group which focuses on application areas

where its expertise in materials science, chemistry and metallurgy makes

a real difference.

UNEP United Nations Environment Programme

UV Ultraviolet

VDE German Association for Electrical, Electronic and Information

Technologies

W Watt unit of (electrical) power

WEEE Waste Electrical and Electronic Equipment

ZVEI German Electrical and Electronic Manufacturers' Association

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