Enforcement Policy Discussion for General Service Lamps (GSLs)

May 2022
Enforcement Policy: Background

• DOE issued two final rules relating to general service lamps:
  1. Adopting an expanded definition of General Service Lamps
  2. Implementing the Congressional Efficacy Sales Prohibition

• The GSL definitions rule goes into effect 60 days after publication in the Federal Register.

• The GSL backstop rule goes into effect 75 days after publication in the Federal Register.

• Simultaneously, DOE issued an enforcement policy to aid in the transition, which can be found here at the following website:
  GSL_EnforcementPolicy_4_25_22.pdf (energy.gov)
**General Service Lamp Definition - Scope**

- The GSL definitions rule defined a GSL as a lamp that has an ANSI base; is able to operate at a voltage of 12 volts or 24 volts, at or between 100 to 130 volts, at or between 220 to 240 volts, or of 277 volts for integrated lamps (as defined in this section), or is able to operate at any voltage for non-integrated lamps (as defined in this section); has an initial lumen output of greater than or equal to 310 lumens (or 232 lumens for modified spectrum general service incandescent lamps) and less than or equal to 3,300 lumens; is not a light fixture; is not an LED downlight retrofit kit; and is used in general lighting applications. General service lamps include, but are not limited to, general service incandescent lamps, compact fluorescent lamps, general service light-emitting diode lamps, and general service organic light emitting diode lamps. General service lamps do not include:

1. Appliance lamps
2. Black light lamps
3. Bug lamps
4. Colored lamps
5. G shape lamps with a diameter of 5 inches or more as defined in ANSI C79.1–2002
6. General service fluorescent lamps
7. High intensity discharge lamps
8. Infrared lamps
9. J, JC, JCD, JCS, JCV, JCX, JD, JS, and JT shape lamps that do not have Edison screw bases
10. Lamps that have a wedge base or prefocus base
11. Left-hand thread lamps
12. Marine lamps
13. Marine signal service lamps
14. Mine service lamps
15. MR shape lamps that have a first number symbol equal to 16 as defined in ANSI C79.1–2002, operate at 12 volts, and have a lumen output greater than or equal to 800
16. Other fluorescent lamps
17. Plant light lamps
18. R20 short lamps
19. Reflector lamps that have a first number symbol less than 16 as defined in ANSI C79.1–2002 and that do not have E26/E24, E26d, E26/50x39, E26/53x39, E29/28, E29/53x39, E39, E39d, EP39, or EX39 bases
20. S shape or G shape lamps that have a first number symbol less than or equal to 12.5 as defined in ANSI C79.1–2002
21. Sign service lamps
22. Silver bowl lamps
23. Showcase lamps
24. Specialty MR lamps
25. T shape lamps that have a first number symbol less than or equal to 8 as defined in ANSI C79.1–2002, nominal overall length less than 12 inches, and that are not compact fluorescent lamps
26. Traffic signal lamps
Enforcement Policy: Transition Stages

- GSL Definition Rule and Backstop Rule published
- GSL Definition Rule goes into effect
- Statutory Backstop Rule goes into effect
- Leniency period begins
- Progresive Enforcement - Warning Notices begin
- Progresive Enforcement - Reduced penalties begin
- Regular Enforcement
Enforcement Policy: Additional Information

- DOE reserves its discretion to consider new facts in individualized circumstances.

- DOE may contact entities during the transition stages, including distributors or retailers, to obtain information as part of an investigation.
## Enforcement Policy: Manufacturers/Importers and Private Labelers

<table>
<thead>
<tr>
<th>Production Date for U.S. Manufacture or Date of Entry for Imports</th>
<th>Period of Transition</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning effective date of the backstop rule through August 31, 2022</td>
<td>Enforcement leniency period</td>
<td>Enforcement Discretion: Leniency to account for transition lead times*</td>
</tr>
<tr>
<td>September 1, 2022, through October 31, 2022</td>
<td>Progressive enforcement</td>
<td>Enforcement Discretion: Warning Notices in consideration of transition lead times*</td>
</tr>
<tr>
<td>November 1, 2022, through December 31, 2022</td>
<td></td>
<td>Enforcement Discretion: Reduced penalties in consideration of transition lead times*</td>
</tr>
<tr>
<td>Beginning January 1, 2023</td>
<td>Enforcement flexibilities end</td>
<td>Full enforcement of the GSL rules</td>
</tr>
</tbody>
</table>

*DOE will exercise its enforcement discretion to the fullest extent of the law for egregious violations, repeat violations, or as circumstances dictate.
Questions Pertaining to Manufacturers/Importers and Private Labeler Transition

- DOE welcomes questions one at a time.
- Please raise your hand and wait patiently to be called on.
- Please remember to share the airtime.
**Enforcement Policy: Distributors and Retailers**

<table>
<thead>
<tr>
<th>Date of Distribution or Sale in the U.S.</th>
<th>Period of Transition</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning effective date of the backstop rule through December 31, 2022</td>
<td><strong>Enforcement leniency period</strong></td>
<td>Enforcement Discretion: Leniency to account for transition lead times*</td>
</tr>
<tr>
<td>January 1, 2023, through February 28, 2023</td>
<td><strong>Progressive enforcement</strong></td>
<td>Enforcement Discretion: Warning Notices in consideration of transition lead times*</td>
</tr>
<tr>
<td>March 1, 2023, through July 31, 2023</td>
<td></td>
<td>Enforcement Discretion: Reduced penalties in consideration of transition lead times*</td>
</tr>
<tr>
<td>Beginning August 1, 2023</td>
<td><strong>Enforcement flexibilities end</strong></td>
<td>Full enforcement of the GSL rules</td>
</tr>
</tbody>
</table>

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**Very small retailers should contact DOE for additional flexibilities regarding their inventory.
Questions Pertaining to Distributors and Retailers

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- Please raise your hand and wait patiently to be called on.
- Please remember to share the airtime.