California Air Resources Board

INSTRUCTIONS FOR AIR CLEANING DEVICE CERTIFICATION APPLICATION

VERSION 4.2

General Instructions

This application is provided by the California Air Resources Board (ARB). These instructions are intended to guide you through the air cleaner certification process in accordance with Title 17, California Code of Regulations, subchapter 8.7 “Indoor Air Cleaning Devices”, Sections 94804 and 94805. Please read the following instructions prior to filling out the application, and make sure that the application is complete, including all necessary documentation, prior to submitting it to ARB. Submitting an incomplete application will delay the certification process and/or may result in your application being rejected. If you have any questions regarding this application or the procedure described here please contact us at aircleaners@arb.ca.gov.

The application should be filled out and submitted electronically whenever possible. Electronic applications may either be sent via email or mailed to ARB on a CD. The application may be viewed, filled out electronically, and saved using Adobe Reader, which is a free download on the Adobe website (http://get.adobe.com/reader/otherversions/). All applications must include the required signatures. Signatures should be submitted electronically with the electronic form when feasible; however, a hardcopy of the form with the appropriate hand-written signatures may be mailed to ARB. If the application is filled in by hand, please do so in black ink. It may be necessary to submit some schematics or other documents in hard copy form; in such cases, we would nonetheless appreciate receiving the application form electronically when feasible in order to expedite the application review process.

Who should fill out the application?

The application is composed of seven sections. Sections A through D (pages 1-3) are to be completed and signed by the manufacturer or a professional association or certification organization acting on behalf of the manufacturer. Sections E and F (pages 4-5) are to be completed and signed by the laboratory where testing is conducted according to Section 37 (now Section 40) of ANSI/UL Standard 867, Fourth Edition, as published December 21, 2007 or later; or, for mechanical-filtration-only devices, the relevant ANSI/UL Standard, typically Standard 507 for Electric Fans, Ninth Edition, published September 27, 2007. Multifunction devices that contain an air cleaning function should be tested to the ANSI/UL Standard under which they are typically tested for electrical safety. Examples of these standards include ANSI/UL Standard 484 (room air conditioners), ANSI/UL Standard 1278 (movable and wall-or ceiling-hung electric room heaters), ANSI/UL 1017 (vacuum cleaners, blower cleaners, and household floor finishing machines), and ANSI/UL Standard 1993 (self-ballasted lamps and lamp adapters). Multifunction devices with a non-mechanical air cleaning component must also undergo Section 37 (now Section 40) ozone emissions testing. Section G of the application form is reserved for additional comments by either the manufacturer or the test facility as needed. If Section G is used, the person adding the comments must also

sign at the bottom of the page. Please note that all pages of the application form must be submitted together.

At the bottom of each of the Sections A through D a box is provided to allow designation of the information in that section as proprietary. Such information will be kept confidential to the extent allowed by law. ARB lists certified models on its website at www.arb.ca.gov/research/indoor/aircleaners/certified.htm, but only the brand name, model name, and/or model number are listed.

Section A. Applicant Information

Section A.1. To be filled out by the manufacturer or their representative. This may be the actual producer of the air cleaner or the brand name company that designed the air cleaner, and that has contracted production and/or conducts the primary marketing for the air cleaner. It may also be a business association or certification organization that represents the manufacturer. Please fill in the company name and address completely. The primary contact should be someone who will be readily available to answer questions that may arise regarding the submitted application and/or attachments.

Section A.2. Please provide contact information for the primary brand name company or retailer for whom the product is manufactured. If the model is produced for multiple brand companies, please attach a list with contact information for all companies.

Section A.3. Please provide contact information for the actual manufacturer/company of the air cleaner model tested, if different from Section A.1.

Section B. Manufacturer Representative Information

If you are a professional association or certification organization and are filling out the application as a business representative of the manufacturer, please fill out Section B in addition to Section A. Please be sure to include all pertinent contact information.

Section C. Indoor Air Cleaning Device Information

Section C.1. This section must be completed on all applications submitted to ARB. Please list all pertinent information required to identify the device being tested or considered for certification. If the device is requested to be certified because it belongs to a model group of a model previously certified, be sure to indicate how this model differs from the previously approved model in the box labeled “Variation”.

Section C.2. Complete this section if you are requesting that a model be added to the model group of a device that has already been certified. When providing the previously certified application number, be sure to enter the one that was first certified (for non-mechanical devices, this would typically be the model that was actually tested).

Section C.3. To obtain certification for additional models in the same model group as the device listed in C.1, list all devices belonging to the same model group as the primary device being certified, and describe how each model varies from the model being tested. Include all differences. If you need to list more than 8 models under Section C.3, you'll need to do so in another application form. Please request an additional application number to list on a second application form, and be sure to fully complete both Section C.1 and Section C.2. If either Section C.2 or C.3 is completed, the responsible party, typically the primary contact listed in Section A.1, **must sign and date** the statement at the bottom of the page to verify that the models listed all belong to the same model group based on ARB's definition of model group[*]. Scanned images of signatures are acceptable. To add a scanned image of your signature, first scan your signature and save it as an image file (saving the file in the ".jpeg" format is suggested), then click on the space above the signature line, find the location of the image file on your computer, and click "Select" to insert it.

Section D. Device Design and Operation

Section D.1. Clearly describe the basic design and functional characteristics of the air cleaner being certified. Attach schematics and any additional documentation, such as user manuals and marketing materials, sufficient to verify the design and operation principles. Please also use this space to reference page numbers and headings of all attachments that are pertinent to Section D.1. If there is a functional difference between the model being tested and the model(s) listed in Section C.3, then attach schematics of the model(s) listed in Section C.3, and clearly indicate where those differences lie. Schematics are not needed for models listed in Section C.3 that differ only by color or other cosmetic characteristics.

Section D.2. Describe all regular maintenance requirements or suggestions, especially those for frequency of filter changing or cleaning, and reference page numbers of all attachments that are pertinent to Section D.2.

Section D.3. Devices that do not require ozone emissions testing, i.e. mechanical-filtration-only devices, must undergo ANSI/UL Standard 507 testing, or for multifunction devices, testing under the applicable ANSI/UL Standard such as ANSI/UL Standards 484, 1278, 1017, or 1993. Documentation of such testing must be submitted with the application. Different documentation is required depending on when the device was tested, as discussed further below.

[*] "Model group" means indoor air cleaning devices sharing the same design, operational features, device output, and performance characteristics, and manufactured by the same manufacturer. Units in the same model group may be marketed under different brand names. Units that differ only in decorative treatments such as color, remote control, or other cosmetic features not related to ozone output would belong to the same model group.

Sections D.3, E and F. Mechanical-Filtration-Only Devices

Mechanical-filtration-only devices tested prior to or on October 18, 2008	**Mechanical-filtration-only devices tested after October 18, 2008**
Section D.3. Mechanical-filtration-only devices certified to ANSI/UL 507 or to another applicable ANSI/UL Standard for their electrical safety prior to this date do not require further testing provided that they continue to comply with ANSI/UL 507 or the other relevant Standard. Documents from the testing laboratory that confirm testing and compliance of the specific model prior to October 8, 2008 must be submitted. These may include: **Underwriters Laboratories, Inc.†** Notice of Authorization Certificate of Compliance A complete copy of the final test report **Intertek (formerly ETL)** Authorization to Mark **Canadian Standards Association** Certificate of Compliance	These devices must be tested according to ANSI/UL 507 for Electric Fans, Ninth Edition, September 27, 2007, or the applicable ANSI/UL Standard for multi-function devices. Testing must be conducted by a laboratory recognized as a Nationally Recognized Testing Laboratory (NRTL) by the U.S. Occupational Safety and Health Administration (OSHA) for ANSI/UL 507 or the relevant standard. OSHA supplemental programs 2 through 6, and 10 can be used to conduct the electrical safety testing. **In addition, the laboratory that tests the device must fill out Sections E and F.1 of the certification application, and sign and date the bottom of page 5.** **Note:** Mechanical filtration devices that include a UV bulb must also be tested for ozone emissions under Section 37 (now Section 40) of ANSI/UL Standard 867, in addition to the electrical safety testing.

† ARB does not consider a UL Notice of Project Completion to be adequate documentation of compliance with a given ANSI/UL Standard.

If the device also uses an alternative filtration mechanism such as an electric corona, charged plates, or generation of ions, then it does not qualify as a mechanical-filtration-only device and must meet the Section 37 (now Section 40) requirements of UL Standard 867 and all other applicable Standard 867 requirements as well. Mechanical devices that include an ultraviolet (UV) bulb must be tested for ozone under Section 37 (now Section 40) of UL 867, but may be tested for electrical safety under UL 507.

Section D.4. - **All Devices, Both Mechanical and Non-mechanical. Enclose a copy of the online listing directory webpage for each model for which certification is sought, or, in Section G of the application, enter the web address(es) for the specific electrical safety listing page(s).** A copy of each device's listing from the certification organization's online database, or a direct link to the specific webpage listing the model, must be submitted to demonstrate current compliance of the model with the applicable standard. The webpage/listing must show the current date and the specific model number for which certification is sought; reference to a similar model or to the model family is not sufficient.

The **marketing materials, owner's manuals and electrical safety test report** also must be included with the application, if available.

Signature requirements for Sections A through D -All Devices

The manufacturer or their representative **must print their name and sign and date the form** at the bottom of page 3, and page 2 if necessary, verifying that the information provided in Sections A through D is true and correct.

Section E. Air Cleaner Test Information

Non-Mechanical Devices.

This section must be filled out by a testing laboratory that has been approved by ARB (the contact information for ARB-approved testing laboratories is available at: www.arb.ca.gov/research/indoor/aircleaners/certification.htm) to carry out testing according to Section 37 (now Section 40) of UL Standard 867, Fourth Edition, as published December 21, 2007. The testing laboratory must include all pertinent contact information for the primary contact person at the testing laboratory. Please provide a reference to the laboratory document that contains the results of the ozone emission test in the space labeled "Test Document". Please also identify the chamber used to obtain the test results. Sections E and F are to be filled out only when the model(s) for which certification is requested is/are tested for ozone emissions and are not required when addition of a model or models to a previously certified model group is requested.

For mechanical-filtration-only devices, see directions under D.3, above.

Section F. Air Cleaner Test Results

This section must be filled out by the testing laboratory that has been approved by ARB to carry out testing according to Section 37 (now Section 40) of UL Standard 867, Fourth Edition, as published December 21, 2007; or, for mechanical-filtration-only devices tested after October 18, 2008, the laboratory that conducted the ANSI/UL Standard 507 testing or other relevant ANSI/UL Standard testing.

Section F.1. Please indicate which ANSI/UL electrical safety standard the device has passed in its entirety. If the device passed only the Section 37 (now Section 40) ozone test, please indicate. If the device uses mechanical filtration only, then ozone test results are not required. Please indicate which OSHA supplemental program, if any, was used to conduct the electrical safety testing.

Section F.2. This section is to be completed only for devices tested for ozone. Please provide the ozone test results along with the necessary information requested on the units tested in the table.

Answer "yes" or "no" to questions (a) through (f). If the device was not tested with all filters removed indicate the reason in the "Filter Removal" section. Report ozone test results in the table provided on page 5. If the device was tested at multiple speeds or output levels, report the maximum concentration at each setting. Report all ozone test results as the maximum ozone concentration minus the background ozone concentration for the chamber. Be sure to list any test failures or exceedances, and any transitory measurements that exceeded 0.050 ppm. For non-mechanical air cleaning devices that were tested for ozone emissions, all portions of Section F must be completed; please indicate "NA" where an item is not applicable. Please list any Authorization to Mark, Listing Report number, or other relevant information on page 5.

Please also **attach a chain of custody form for both devices submitted for ozone testing.** The chain of custody form should contain names, dates, and initials of each party that received and/or relinquished the device prior to the submittal of the application to the Air Resources Board. The chain of custody form should also list the model number, serial number (if available), and manufacture date for the device.

For non-mechanical (electronic) devices for which the ozone testing and the electrical safety testing were conducted at two different laboratories, manufacturers must have ARB's Supplemental Application form completed and signed by the laboratory that conducted the electrical safety testing. **Note ARB's regulation requires all units to show the safety certification or listing mark for the ANSI/UL Standard under which the device was tested; therefore, new models should be tested for ozone emissions and electrical safety by the same laboratory, so that the appropriate safety mark can be obtained.**

Signature Requirements for Sections E and F

Devices Requiring an Ozone Test.

The individual responsible for the ozone testing **must print their name and sign and date the form** where indicated at the end of Section F on page 5.

Devices Using Mechanical-Filtration-Only.

If the device was tested according to ANSI/UL Standard 507 or another relevant standard after October 18, 2008, then Section F.1 must be filled out by the laboratory that tested the device. Section F.2 does not need to be filled out; however, the **individual responsible for testing the device must print their name and sign and date the form** where indicated at the end of Section F on page 5.

Section G. Additional Comments

Any additional information that the manufacturer or the laboratory needs to communicate should be provided here. Section G should be signed by the party submitting the additional information.

SUBMITTAL OF APPLICATION AND RELATED DOCUMENTS

Please submit applications and related documents to ARB via email (preferred) to aircleaners@arb.ca.gov, or by U. S. mail or overnight delivery to:

(via U. S. mail)
Julia Gress
California Air Resources Board
Research Division, 5th floor
P.O. Box 2815
Sacramento, CA 95812

(via FedEx or other ground delivery)
Julia Gress
California Air Resources Board
Research Division, 5th floor
1001 I Street
Sacramento, CA 95814
Phone: 916-324-9233

If mailed or delivered, please indicate "Attention: Certification Application" on the package; if emailed, please indicate this in the subject line.

ARB will send a confirmation notice within 5 days of receipt of the application. Please check with us by emailing aircleaners@arb.ca.gov if you do not receive such an email, because occasionally emailed submittals do not reach us due to SPAM filters.

Within 30 days of ARB's receipt of the application, the primary contact person shown on the application will receive notification of whether the application is complete and has been accepted for review, or if incomplete, the additional information that is required.

Thank you for your submittal.