making appliance energy efficiency the new global standard

clasp

JUNE 2012

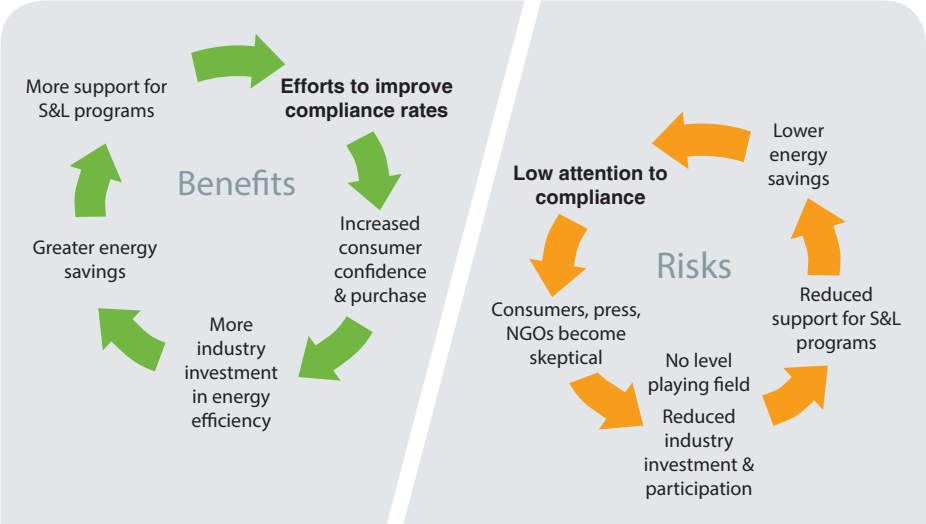
Monitoring, Verification & Enforcement

CLASP has supported a series of MV&E activities, including an MV&E guidebook, survey, and international conferences, to improve global best practice on MV&E and to spark international collaboration on compliance issues.

CLASP's MV&E guidebook and survey were completed in collaboration with Mark Ellis & Associates.

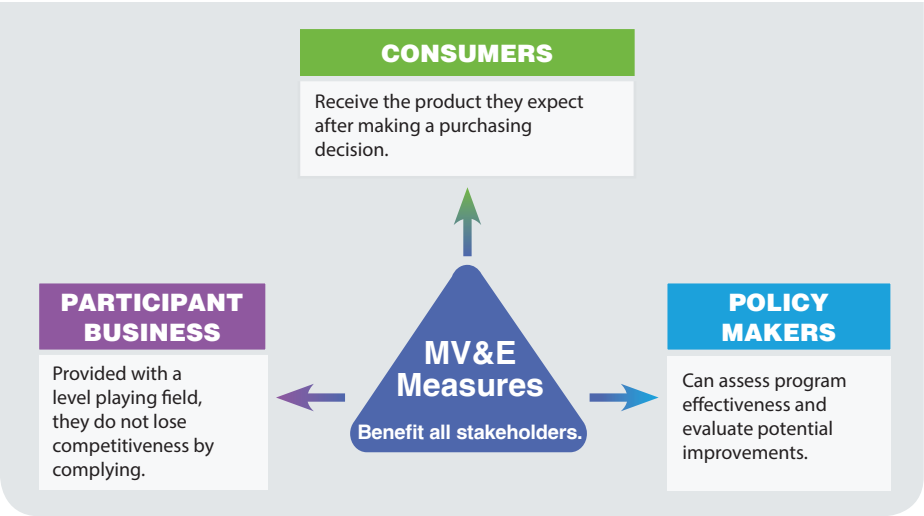
Safeguarding the Success of Standards & Labeling Programs

Energy efficiency standards and labeling (S&L) programs, an important element of many national energy efficiency policy portfolios, require integrity of energy performance and product information. Establishing an effective compliance framework using monitoring, verification, and enforcement (MV&E) is critical to safeguarding the credibility of S&L programs and to realizing expected energy savings.



CLASP Resources & Tools Online

The CLASP website is a hub for global S&L best practice and provides online tools and resources to S&L practitioners at no cost. To access CLASP's online resources and tools, please visit clasponline.org/ResourcesTools



Elements of a Compliance Framework

Four main elements work together in a comprehensive MV&E approach:

Program Entry Conditions

MV&E activities should be defined and developed based on a particular S&L program's entry conditions and integrated into its overall program plan. Examples of entry conditions include:

- **THIRD-PARTY CERTIFICATION:** products must carry a verification mark issued by a certification body; or
- **SELF-DECLARED PERFORMANCE:** suppliers declare the energy performance of their products through a registration process, usually supported by test reports.

Monitoring (Market Surveillance)

Market surveillance ensures that products in the marketplace comply with established requirements, such as:

- **MONITORING FOR ENERGY LABELING:** Sampling to verify if a product in the marketplace carries a compliant energy label; or
- **MONITORING FOR MEPS:** Ensuring that all products in the marketplace are compliant with entry conditions.

Performance Verification

S&L programs rely on accurate measurement and declaration of appliance energy consumption and efficiency. Testing is the means to measure whether products perform as claimed. Forms of verification testing, in order of increasing stringency, are as follows:

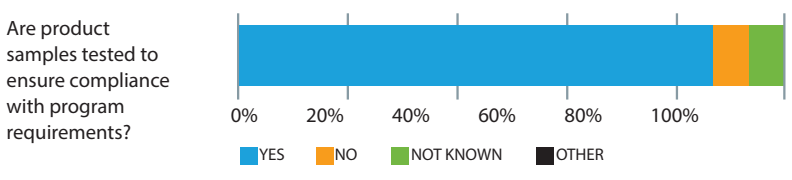
- **SCREENING OR CHECK TESTING:** Assesses products that are likely to fail a full verification test;
- **FULL PROCEDURE VERIFICATION TESTS:** Follows specified procedures precisely, ideally in an accredited laboratory;
- **THIRD-PARTY CERTIFICATION:** Independently verifies compliance claims; and
- **BENCHMARK TESTING:** Systematically evaluates the energy performance of available products on a regular basis.

Enforcement

An enforcement strategy is an established response to cases of non-compliance. Enforcement responses of varying toughness can be implemented based on the severity of non-compliance, the range of available sanctions, the type of program (mandatory or voluntary), the quality of evidence, the responsiveness of the responsible party, and the potential for correction.

Finding from the CLASP 2010 MV&E Survey

Based on an MV&E survey CLASP conducted in 2010, over 80% of S&L programs around the world undertake product testing to check energy performance requirements or claims. In the majority of programs, government agencies are responsible for undertaking verification tests; only 13% of programs use a certification body to perform verification testing.



Find more information about the survey at www.clasponline.org/ComplianceSurvey.

What is a Compliance Framework?

Compliance frameworks are program-specific processes that check conformity with program requirements, including facilitation & education; monitoring, verification, & enforcement (MV&E); and reporting.

Enforcement Pyramid

The Enforcement Pyramid illustrates five levels of enforcement actions that an agency can take. The lowest level corresponds to the least severe transgressions and the highest level corresponds to the most severe non-compliance cases.