

AIR CONDITIONING & REFRIGERATION INSTITUTE



CERTIFICATION PROGRAM GENERAL OPERATIONAL MANUAL

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**Sponsored and Administered by
Air-Conditioning and Refrigeration Institute
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GENERAL OPERATIONAL MANUAL
ARI CERTIFICATION PROGRAMS

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Section 1. Program Overview

- a. The purpose of the ARI Certification Programs is to assure the purchaser of an ARI certified product that the product performs as claimed by the manufacturer.
- b. It is easy to certify your products in ARI's Certification Program:
 1. Accurately rate the performance characteristics of your products in accordance with the applicable standard.
 2. Execute a Participation and a License Agreement for each product certification in which you will participate.
 3. Understand and maintain the requirements of the certification program as described in this Manual.
- c. This manual prescribes the general rules of the ARI Program. Additional requirements or exceptions unique to each product certification program will be found in the product specific Operational Manual for that program. **(Where the contents of the product specific Operational Manual may differ from this General Operational Manual, the contents of the product specific manual prevail).**
- d. Participation in the Program is voluntary and open to all manufacturers on an equal basis, regardless of membership in ARI.
- e. The product manufacturer certifies to ARI that the claimed performance of its products is accurate based on the applicable standard. This is required of all production models (Certify-All Rule); models for which the manufacturer regularly publishes data, catalogs, specification sheets, literature or advertising, and is intended for regular production or sale.
- f. All of a participant's products covered by the scope of the certification program shall be listed and certified with ARI. The Certify-All policy shall apply within the intended market of sale set by the product section. Outside of the intended market participants may be selective of the equipment submitted to ARI for certification.
 - Intended market shall be defined and bound by geographical considerations and/or attributes such as thermal performance, equipment physical dimensions, or others as set by the responsible product section. The intended market shall also be clearly indicated in Section 1 of the program's operational manual.

Any Section wishing to expand or modify its program scope shall require prior approval from the Certification Programs and Policy Committee. Participants found to be in violation of the policy shall be subject to penalties, including potential loss of license and listing, as set forth in Section 5. of the ARI Certification Program General Operational Manual

Examples:

1. A program for which the intended market is 60 Hz products sold in North America: All products that fall within the scope of the program, are 60 Hz, and sold in North America shall be listed and certified with ARI. However, 60 Hz

products intended exclusively for markets outside of North America are excluded from the Certify All Policy.

2. A program for which the intended market is both 60 Hz and 50 Hz sold in North America and the EU: All products that fall within the scope of the program, are 60 Hz and/or 50 Hz, and sold in North America and the EU shall be listed and certified with ARI. However, 60 and 50 Hz products intended exclusively for markets outside of North America and the EU are excluded from the Certify All Policy.
 3. A program for which the intended market is 60 Hz and 50 Hz with no geographic restrictions: All products that fall within the scope of the program and are 60 Hz and/or 50 Hz shall be listed and certified with ARI. In this example, there are no exemptions to the Certify All Policy.
- g. The following are the qualification testing requirements for all programs:
1. For qualification testing the qualifying manufacturer shall test the greater of the following options:
 - a. Two units or
 - b. What is required under annual scheduled testing (program specific)
 2. Where a manufacturer initially only submits one basic model group for certification:
 - c. Two randomly selected qualification units shall be tested. One additional test shall be required from each subsequent basic model group added during the first twelve months in the program.
 - d. No more than the number corresponding to 30% of the basic model group or what is required under annual scheduled testing shall be tested within the first twelve months for qualification.
 3. Testing done for qualification shall fulfill the annual testing requirements for a participant. No further testing shall be required within the same year of qualification.

Manufacturers may appeal, under a hardship clause, to the Certification Programs and Policy Committee for qualification.

Successful completion of qualifying tests at a laboratory under contract to ARI of a unit(s) selected by an authorized ARI Vice President of Engineering and Research representative is required for program participation. Participation involves a continuing ARI scheduled test process based on random selection of units for test and all certified ratings may be subject to challenge by ARI or another program participant.

- h.. For a new participant, the effective “date of participation” or “date of entry” is the date the License Agreement is signed by ARI. Once the participant receives notice from ARI that the qualifying test was successful, reproduction proofs of the certification symbol are available on request and the participant is authorized to order labels and is required to affix the

appropriate certification symbol on all products within the scope of the Certification Program. Claims to certification cannot be made until the participant receives formal notification of acceptance by ARI.

The appropriate certification symbol shall be displayed on all specification sheets and in all literature with claimed ratings and where there is claim of certified models All display of the symbol must be in accordance with published guidelines on “Use of the ARI Member Logo and ARI Certification Symbol (seal)”. see p. 12 & 13.

Should a manufacturer acquire a certified product line and continues its production, certification will continue without interruption so long as the new owner executes a new License Agreement and assumes all of the Certification Program obligations, including all liabilities of the former owner.

Section 2. Listing of Certified Models

- a. A directory is published listing all participants and certified models. Directories can also be viewed and downloaded from ARI's website at www.ari.org.
- b. Discontinued models for which production has ceased and for which there is no inventory available for sale will not be listed.
- c. Deleted models for which production has ceased, but for which inventory is available for sale, will still be subject to test and continued listing as “Deleted Models”. The effective date of a deleted model is the date it is electronically listed as a “Deleted Model” or the date ARI is notified by letter and only after production has stopped.
- d. Obsolete Models are those for which the participant has stopped production after a failure resulting from ARI testing. Listing will continue as “Obsolete Models,” and will be rerated, until stock no longer exists.
- e. Upon request, the Vice President of Engineering and Research will provide any interested person information about the certification status of any participant or any model.

Section 3. Program Operation (Administration)

- a. Costs to operate the program are determined by ARI based on the required program expenses. The charge to the participant is made based on Annual Sales Volume and the numbers of units to be tested annually.
- b. A participant is obligated to pay the licensing and participation fees in order to be admitted into the program and/or to remain in the program. A minimum licensing fee of \$2,500 shall apply to all participants. Participants that have not paid their licensing or participation Fees by 1 February of the current test year shall be immediately removed from the certification program and all rights to use the certification seal and name revoked.
- c. If a certification program is terminated, all who participated for at least twelve months are obligated to provide payment to ARI to cover any program deficit. No past participant would

be relieved of responsibility with respect to a claim arising at a time earlier than one year. Payment details are determined by the Certification Programs and Policy Committee.

- d. The Initial Qualifying Test fees will be invoiced for the amount shown in the product specific Operational Manual. Payment must be made to ARI before the test can begin at the laboratory. Should the prospective participant withdraw from the program once a selection is made for the initial qualifying test, the entire fee shall be retained by the ARI program.
- e. ARI may require additional qualification testing. A prospective participant has the option upon failure of a qualification test to derate all models proportionate to the test failure results to permit acceptance of the certification. If any applicable performance test fails any certification requirement of the standard during qualification and a subsequent product design modification provides satisfactory qualification, the following shall apply: For one year following each of its regularly scheduled tests, the failed performance test which may not be ordinarily tested during the ongoing test program, will be conducted to verify that the design modification has been applied to production and continues to qualify.
- f. A private brand manufacturer is one that purchases models already certified under the program and who affixes its own name to the models. Private brand manufacturers shall also enter into a licensing contract with ARI for the use of the ARI name, certification seal, and to be listed in the certified directory. An annual fee of \$2,500 will be assessed for a private brand manufacturer. Should a private brander purchase uncertified models, these shall be certified under the procedure established for Original Equipment Manufacturer participants.
- g. All shipments, including exported models of certified product, shall display the Certification Symbol and a licensing fee shall be paid to the program. The sales volume reporting form is part of the product specific Operational Manual. ARI will send written notice to all participants in July of each year requesting the sales volume information for the previous twelve months.
- h. Each ARI certification program is required to maintain a reserve level of a percentage of its estimated non test expenses for the fiscal year being budgeted. The reserve level is outlined in ARI's Certification Program and Policy Manual.
- i. All data submitted to the program, except information published in the directory shall be held confidential by ARI. Certified ratings shall be provided for all single-package units and all combinations of split systems which the manufacturer intends to be used together. Systems with coils intended for both horizontal and vertical orientation shall be certified for capacity and efficiency ratings for both positions if they differ.
- j. Certified ratings may be based on prototype units so long as ARI is notified that ratings are based on prototype data and is advised of the first scheduled production date. Such data shall be submitted no more than sixty (60) days prior to the start of production. Within 30 days after the start of production, the participant shall verify or revise its ratings at which time the units are subject to test. A reasonable extension of time may be requested should there be extenuating circumstances.

k. The ARI Vice President of Engineering and Research has the option to examine any rating and its accompanying data and if they appear beyond the probable range or be questionable for any reason, to schedule a discretionary test. He or she shall instruct the laboratory to obtain a representative unit of the model under question and to test it. Such test shall be a challenge test with the certification program being the challenger with the costs charged as spelled out in that portion of the program (see 4h). If the manufacturer's certified ratings and accompanying data are acceptable to the ARI Vice President of Engineering and Research, a formal acceptance statement will be sent to the manufacturer on request.

l. Each participating manufacturer shall display the certification symbol on each certified production unit either:

With a label obtained directly from the ARI contracted printing firm at no charge. ARI will provide the name and address of the supplier to whom a "no charge" purchase order shall be issued signifying the number and type of labels, in multiples of 1000 required. These are normally shipped by Insured Parcel Post with costs paid by the program. If any other special method of shipment is required, the participant shall pay all shipping costs. Label identification by type is shown in the product specific operational manual or

A certification symbol may be applied as part of the nameplate conforming to a specification including design, dimensions, letter size, and style supplied by ARI. Before such certification symbols can be used in production, a sample of the nameplate or a drawing of the nameplate specification must be submitted for approval by the ARI Vice President of Engineering and Research prior to their application to units.

m. Product specification sheets shall at least include the products ARI certification ratings. Whenever reference is made to capacity or size designation, the model identification shall be included followed by the statement "certified in accordance with ARI (name) certification program which is based on ARI Standard xx" where xx reflects the number of and title of the latest edition of the applicable ARI standard. Where ratings are mentioned in other literature, advertising and sales promotion material, the same statement and the certification symbols shall be included for all models. Where ratings are included that are outside the scope of the certification program, the statement "Rated in accordance with ARI Standard xx," shall be included.

Distribution and use of published ratings in specifications, advertising or other literature controlled by the manufacturer must immediately be terminated for those models no longer in production and which have been discontinued or obsoleted and for those whose ratings are no longer verifiable by test.

n. To display the certification symbol on specification sheets, sales promotion, advertising and other literature, reproduction proofs may be obtained from ARI. These are identified in the product specific operation manual.

o. Annually, participants shall be issued a success rate letter. The success rate shall be based only on scheduled first sample test results and shall be sent to the participating company's chief executive. Letters serve to inform the chief executives of our participating manufacturers on the success of their company within the certification program plus the

results of any challenge tests. Companies that have achieved a 100% success rate over a three-year consecutive period are further rewarded with a certificate. Participants are authorized to use only the wording from the letter or certificate in any promotional advertising. No alteration or additions to the wording shall be permitted. Further, test data accompanying this letter shall not be reproduced or used in any advertising or promotional material.

Section 4. Testing Requirements

- a. The number of models to be tested is specified in the product specific operational manual. See the “Flow Chart Certification Testing,” below.
- b. The ARI Vice President of Engineering and Research selects a model and the unit is obtained by the laboratory representative at random from the participants’ production lines or from the participants’, private brand manufacturers’, dealers’, or distributors’ stock of no less than three units. In extreme cases, the option to build a unit to order from a minimum of three of each major component may be allowed. Any exceptions are spelled out in the product specific operational manual. At the same time, the laboratory representative arranges for the unit to be delivered to the laboratory. Units shall be installed in the test facility according to the manufacturer’s written installation instructions. At the completion of each test the laboratory will send or e-mail one copy of the test report to ARI and one to the participant.
- c. If the laboratory is unable to obtain a unit for test within thirty (30) days or the time allotted in the specific program OM after the request, ARI will notify the participant that the unit listing will be withdrawn. If a participant provides an acceptable date of production, the ARI Vice President of Engineering and Research may permit continued listing.
- d. The laboratory has the responsibility of uncrating, handling, testing and re-crating the unit. The participant shall pay costs involved in shipping the unit to the laboratory, and after testing, the unit shall be shipped collect to the participants’ designated destination.
- e. During and prior to the test of the first sample, participants’ personnel shall not be permitted in the laboratory test facility, but such personnel may review test results after the first sample test and the test setup prior to the second sample test. Only laboratory personnel shall install test units and shall use the procedure for installation start up and service instruction published by the participant. Prior to the test the laboratory may only repair leaks, repair or replace items damaged by shipping or handling, assure correct refrigerant charge and correct fan speed(s) where adjustable speed fans are used. If the unit cannot be corrected accordingly, the participant shall replace the unit without penalty. A test failure may be rendered defective if the manufacturer can document and prove that a defective component causes the failure. For the test not to be counted as a failure there must be proof that the defect caused the failure and is isolated to the test sample or to some minute portion of production. The model must subsequently pass verification testing to vindicate the original rating claim. For specific requirements of tests, see the product specific operational manual.
- f. If a test fails, the laboratory shall promptly contact the manufacturer by phone and report the nature of the failure and the pertinent test data. The participant may then ask the laboratory

for any additional information that may be required to decide the next course of action which may consist of one of the following alternatives at the participant's expense:

If the participant is satisfied that the test is representative, he may rerate the model's performance based on the test results to the nearest "round off" capacity and efficiency multiple as described in the standard, but no higher than the final test results. All models within the basic model group, or comparable models as applicable, shall be rerated according to the percentage by which the final tested unit failed.

If the second sample of the same model or combination (see product specific operational manual) passes, no reratings are required. If the second sample fails, all models within the basic model or comparable group shall be rerated as described above.

- g. When a model has been declared obsolete, it shall be listed under the heading "Obsolete Models" along with all the other models in the same basic model group or comparable models and shall continue to be listed until no units are available for sale. These listings shall show ratings indicated by the final test(s) along with a "WAS" rating of the original certification. A unit that has failed, declared obsolete, and replaced with a counterpart model which shall bear a new model designation and be subjected to test to validate its claimed ratings and performance. Counterpart models take the place of an obsoleted model with a physical design change that affects its performance and that physical design change with the resulting ratings must be submitted to ARI. The product specific operational manual explains what constitutes a performance test failure.
- h. Challenge Test Procedure for Participating Manufacturers.

In the event that a challenge is received against a model manufactured by another manufacturer participant in the Program, and if in the judgment of the ARI Vice President of Engineering and Research, there appear to be reasonable grounds for action, a random new sample of the model in question shall be obtained and tested at the Laboratory.

Requirements of Challenger: No challenge procedure is initiated until the challenger has conducted tests on the same model and has filed a copy of the results with the ARI Vice President of Engineering and Research.

Challenge Test Requirement: The basic requirement of all tests is that any sample tested shall show a performance within the tolerance established in the Standard. The system selected must have all components identical to the system that the challenger tested and listed as such with ARI.

Challenge Test Provisions: In the event of a failure on the first sample, the challenged party may elect to derate the model, or to request a test of a second sample.

In the event of a retest, the challenged party must supply a second sample within thirty (30) days or lose the challenge

by forfeiture. Two units can be selected at the time of the challenge; one unit to be shipped for the challenge testing, the second to be held (by the manufacturer) for immediate shipment upon request in case of a failure by the first challenge test sample where a second sample test option is exercised.

Tests conducted under the challenge procedures do count as part of the regularly scheduled program tests and towards monetary penalties. Challenge test results will not be counted toward the overall program's results.

Cost of Tests:

The cost of the challenge tests at the Laboratory, including acquisition, testing and final disposition of the unit(s), shall be borne completely by one of the two parties concerned.

In the event the Laboratory test results for the first sample show the challenge to be justified, the manufacturer of the model in question shall pay the costs; in the event the Laboratory test results do not bear out the challenge, the challenger shall pay the costs.

All costs for the second sample (if elected by the challenged party), whether it passes or fails the second-sample test, shall be paid for by the challenged party. Irrespective of which party is paying for the test, the unit(s) tested remains the property of ARI.

Reporting of Results:

The ARI Vice President of Engineering and Research shall advise the challenger, in written form, of the outcome for the first-sample test as well as the second-sample test (if any) within three weeks of the completion of the test(s).

These reports are confidential communications to inform the challenger of the outcome of the test(s). The information in these reports are not to be distributed within the challenger's company, publicly released, used in advertising, or communicated to the challenger's sales force.

The results of a challenge test shall be used in the determination of an individual participant's annual testing and penalties requirements. The challenge test results shall not be used for the determination of the overall program test results.

Requirements for Revising and Discontinuing Literature Upon Certification Program Failures:

After a final test failure, the participant's contact person and CEO are notified in writing by ARI staff that its literature, publications, and computer programs that contain certified ratings are in violation of the program and must be corrected. The corrections needed are spelled out in the letter along with "was" lines showing how the affected models will be listed in the next issue of the Directory, directory supplement, monthly diskette, and immediately on the Internet. Part 11(b) of the License Agreement will be quoted in the letter. This provision stipulates that the Licensee shall take all reasonable steps to correct violations. "The reasonable steps referred to shall, in case the violation consists of publication and distribution of literature which fails to contain correct ratings or the required minimum data, include comparable publication, distribution, and public notice of corrected literature and withdrawal of all known copies of incorrect literature."

The Participant is required to advise ARI within two weeks of the issuance of the letter of the steps taken and substantial progress made, to correct its computer programs, advertising literature, specifications and publications; corrected copies of which must be submitted to ARI and to distributors, dealers and all other affected parties within sixty (60) days of failure notification. ARI staff will review the participant's drafted notification to the public of corrections and its intended distribution listing for approval.

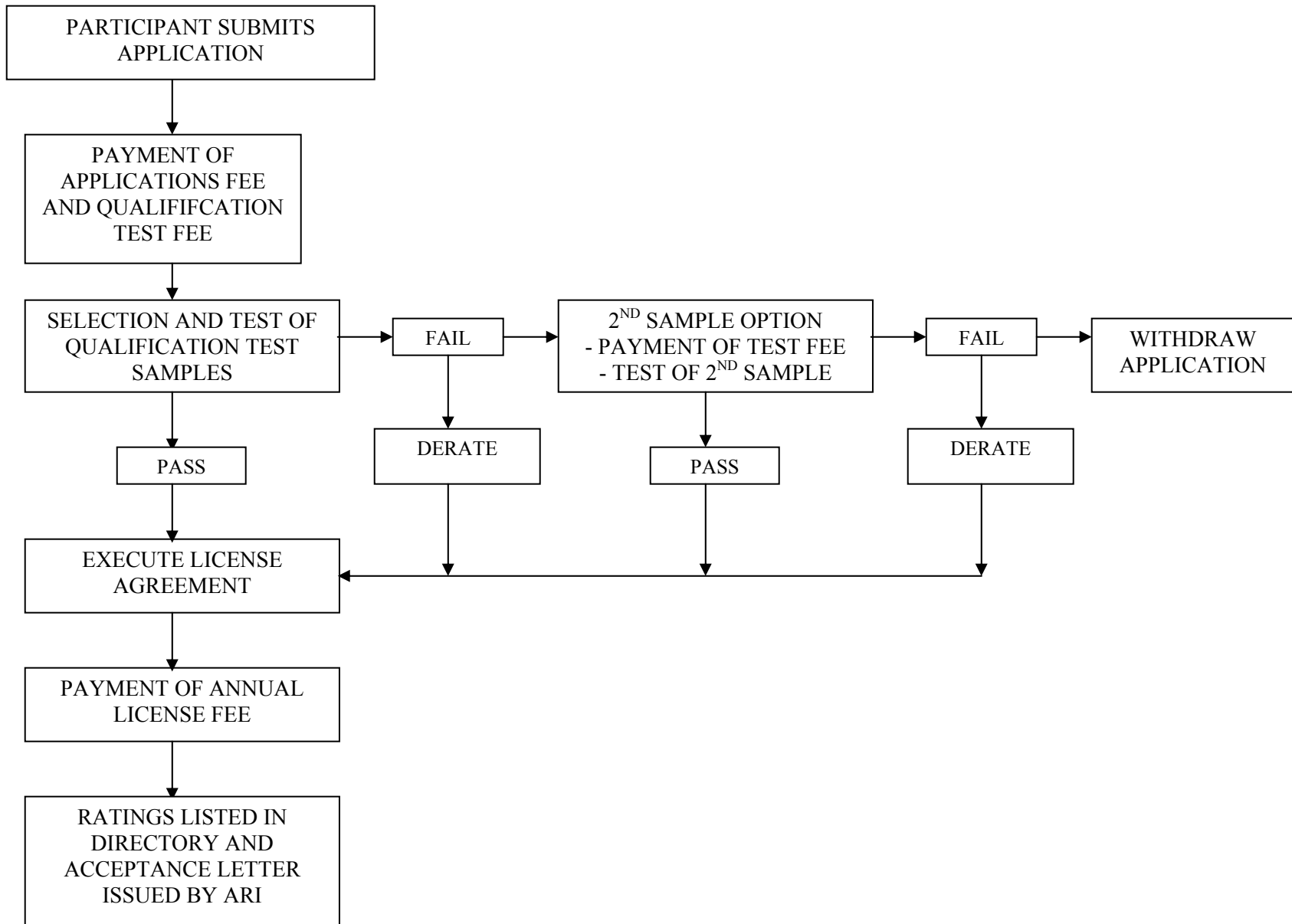
If the Participant fails to complete the required actions within 60 days, the Participant is cited with a program violation. Failure to subsequently comply will result in additional violations. The Participant, having been cited for continued violations, constituting a pattern of violations, is subject to License Agreement termination in accordance with Section 4 of the program operational manual.

i. Challenge Test Procedure for Non-Participating Manufacturers.

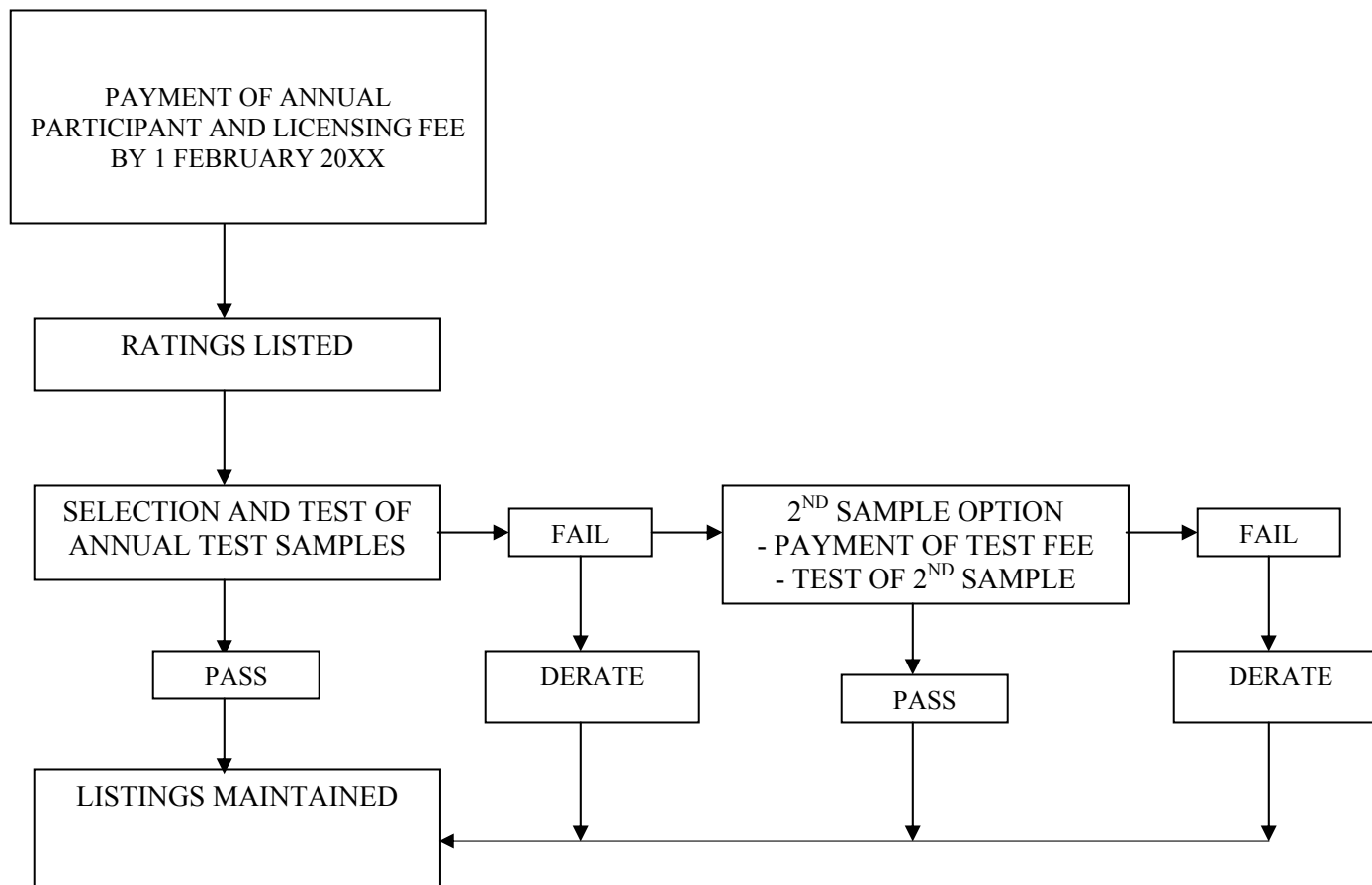
1. A participant in the certification program shall initiate process by filing test evidence with ARI on the challenged unit(s).
2. The program's compliance committee shall review the request and make recommendation to the product section.
3. The applicable product section shall be requested to review the test results filed by the section compliance committee with sufficient information and justification.

4. The product section shall forward its findings to the ARI vice president of engineering and research for action.
 5. ARI vice president of engineering and research shall review the case and recommend to the section whether to proceed with testing the challenged unit(s).
 6. The section will review the case and make a final decision.
 7. If approved to proceed, ARI vice president of engineering and research will arrange for the procurement and logistics of testing the challenged unit(s).
 8. Results of test - pass or fail - will be published in the appropriate ARI directory.
 9. All costs associated with procurement and testing of challenged sample will be paid for by the program.
- j. Program charges (costs) will be found under the schedule in the product specific operational manual. After notification of a failure the participant is responsible for further charges as per the schedule until completion of testing or until the unit is removed from the test facility
- k. Certified ratings may be voluntarily rerated or deleted at any time except once the participant is notified by ARI or its agent that a model has been selected to have its ratings verified by test and except when a unit has failed, no model in that basic model group can be rated any higher (proportionately) than the failed test value. A participant may revise model designations at anytime.

FLOW CHART FOR QUALIFICATION TESTING



FLOW CHART FOR CONTINUED CERTIFICATION PARTICIPATION



Section 5. Penalties

- a. Should there be continued violations of the program requirements as per the Participant Agreement, License Agreement, Operational Manuals, or ARI Standards, the right to use the certification symbol and the participants entire listing shall be withdrawn if the ARI Vice President of Engineering and Research judges such action should be taken. The participant shall first be notified of the violations(s) and have fifteen (15) days to make corrections or substantial progress toward correction.
- b. If in the judgment of the ARI Vice President of Engineering and Research in consultation with ARI's President and Legal Counsel, participation in the certification program has involved a pattern of violations of the requirements of the participants agreed, License Agreement, Operational Manuals and/or the latest edition of the applicable ARI Standards by a participant, its License Agreement shall terminate and its entire listing shall be withdrawn. A pattern of violations requires at least three violations over a five year period. Prior to such termination, and upon detailed notification of the violations, the participant shall have fifteen (15) days to explain to the ARI Vice President of Engineering and Research why there is no justification of the alleged violation and why such termination should not take place.
- c. In either case, continued violations or pattern of violations, when the License Agreement has been terminated, the name of the participant and the words "Listing Withdrawn," will appear. Also, in either case, appeal may be made to the Compliance Committee and further appeal, if desired, may be made to the Certification Program and Policy Committee (CP&P) and finally to the ARI Board of Directors. An additional level of appeal may be made to the Standards Council of Canada (SCC).
- d. After reinstatement, the five-year period and three violations rule again applies. Only after a new Participants Agreement and License Agreement has been executed may a listing appear. A new License Agreement may be executed no sooner than one year subsequent to the termination. Prior to official acceptance back into the program the participant must benefit all qualifications and testing requirements.
- e. If test units fail there may be additional penalty testing required and/or there may be monetary penalties. See the product specific operational manual for details.
- f. If a participant violates the requirements regarding the publication of specification sheets, literature and all other advertising, such publications shall be promptly discontinued or corrected or action described above shall be taken.
- g. Annual sales volume reports must be filed within a specified time (see product specific OM) after the report period. If not, the participant will receive an estimated bill with an added 10% penalty. If payment is not received within the allotted time frame the delinquent account shall be informed that its Participant Agreement and License Agreement along with its certified listings are terminated and withdrawn.

**Guidelines on Use of the ARI Member Logo
and ARI Certification Symbol (Seal)**

RULE #1

The ARI Certification Symbol shall be used to identify certified equipment or certified ratings.

RULE #2

The ARI Certification Symbol may be used along with the following statement: "A Participating Company (Corporation) in the ARI _____ Certification Program(s)" to show participation in a certification program when rating data is not stated, providing it does not imply certification of a non-certified product.

RULE #3

The ARI Member Logo shall be used only where it will not imply a product or product rating is certified or a member company is a participant in a certification program.

ARI MEMBER LOGO



ARI CERTIFICATION SYMBOL (SEAL)



ARI CERTIFICATION SEAL & STATEMENT



A
Participating Company (Corporation) in the ARI
(see note) _____ Certification Programs.
Note: List any number or all of the programs applicable.

TABLE 1: WHERE ARI MEMBER LOGO AND CERTIFICATION SYMBOL (SEAL) MAY BE USED

	Logo Alone	Symbol Alone	Logo & Symbol Together	Symbol & Statement	Symbol & Statement & Logo
Company Stationery	Yes	No	No	Yes	Yes
Company Exhibit	Yes	No	No	Yes	Yes
Advertising & Literature					
a) Without rating data	No	No	No	Yes	Yes
b) With rating data	No	Yes	(1) Yes (2)	(1) Yes (2)	(1) Yes (2)
Annual Reports	Yes	No	No	Yes	Yes
Specification Sheets	No	Yes	Yes	Yes	Yes
Equipment	No	Yes	No	No	No
<p>Notes: (1) Where literature or specification sheets include both models covered by a certification program and models not covered, models not certified must be identified as not being within the scope of the certification program. (Example: models with capacities greater than 65,000 Btuhs are not included in the Unitary Air-Conditioner Certification Program.)</p> <p>(2) For split systems, the model number and manufacturer for both the indoor and outdoor units must be indicated if the seal is used.</p>					