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CODE OF FEDERAL REGULATIONS

Title 10
Energy

Parts 200 to 430

Revised as of January 1, 2025

Containing a codification of documents
of general applicability and future effect

As of January 1, 2025

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As of January 1, 2025

Title 10, Parts 200 to 499

Revised as of January 1, 2025

Is Replaced by

Title 10, Parts 200 to 430

and

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Cite this Code: CFR

To cite the regulations in this volume use title, part and section number. Thus, 10 CFR 202.21 *refers to title 10, part 202, section 21.*

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Each volume of the Code is revised at least once each calendar year and issued on a quarterly basis approximately as follows:

Title 1 through Title 16.....as of January 1
Title 17 through Title 27.....as of April 1
Title 28 through Title 41.....as of July 1
Title 42 through Title 50.....as of October 1

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(b) The matter incorporated is adequately summarized in the preamble of the final rule and is available to the extent necessary to afford fairness and uniformity in the administrative process.

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An index to the text of ''Title 3—The President'' is carried within that volume.

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OLIVER A. POTTS,
Director,
Office of the Federal Register
January 1, 2025

THIS TITLE

Title 10—ENERGY is composed of five volumes. The parts in these volumes are arranged in the following order: Parts 1–50, 51–199, 200–430, 431–499, and part 500–End. The first and second volumes containing parts 1–199 are comprised of chapter I—Nuclear Regulatory Commission. The third and fourth volumes containing part 200–430, and 431–499, are comprised of a portion of chapter II—the Department of Energy regulations. The fifth volume containing part 500–End is comprised of the remainder of chapter II, chapters III and X—Department of Energy, chapter XIII—Nuclear Waste Technical Review Board, chapter XVII—Defense Nuclear Facilities Safety Board, and chapter XVIII—Northeast Interstate Low-Level Radioactive Waste Commission. The contents of these volumes represent all current regulations codified under this title of the CFR as of January 1, 2025.

For this volume, Michele Bugenhagen was Chief Editor. The Code of Federal Regulations publication program is under the direction of John Hyrum Martinez, assisted by Stephen J. Frattini.

Title 10—Energy

(This book contains parts 200 to 430)

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CHAPTER II—DEPARTMENT OF ENERGY

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AUTHORITY: Freedom of Information Act, 5 U.S.C. 552; Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159; Federal Energy Administration Act of 1974, Pub. L. 93–275, E.O. 11790, 39 FR 23185.

Subpart A [Reserved]

Subpart B—Production or Disclosure in Response to Subpoenas or Demands of Courts or Other Authorities

SOURCE: 39 FR 35472, Mar. 13, 1974, unless otherwise noted.

§ 202.21 Purpose and scope.

(a) This subpart sets forth the procedures to be followed when a subpoena, order, or other demand (hereinafter referred to as a ''demand'') of a court or other authority is issued for the production or disclosure of (1) any material contained in the files of the Department of Energy (DOE), (2) any information relating to material contained in the files of the DOE, or (3) any information or material acquired by any person while such person was an employee of the DOE as a part of the performance of his official duties or because of his official status.

(b) For purposes of this subpart, the term ''Employee of the DOE'' includes all officers and employees of the United States appointed by, or subject to the supervision, jurisdiction, or control of, the Administrator of DOE.

§ 202.22 Production or disclosure prohibited unless approved by appropriate DOE official.

No employee or former employee of the DOE shall, in response to a demand of a court or other authority, produce any material contained in the file of the DOE or disclose any information relating to material contained in the files of the DOE, or disclose any information or produce any material acquired as part of the performance of his official duties or because of his official status without prior approval of the General Counsel of DOE.

§ 202.23 Procedure in the event of a demand for production or disclosure.

(a) Whenever a demand is made upon an employee or former employee of the DOE for the production of material or the disclosure of information described in § 202.21(a), he shall immediately notify the Regional Counsel for the region where the issuing authority is located. The Regional Counsel shall immediately request instructions from the General Counsel of DOE.

(b) If oral testimony is sought by the demand, an affidavit, or, if that is not feasible, a statement by the party seeking the testimony or his attorney, setting forth a summary of the testimony desired, must be furnished for submission by the Regional Counsel to the General Counsel.

§ 202.24 Final action by the appropriate DOE official.

If the General Counsel approves a demand for the production of material or disclosure of information, he shall so notify the Regional Counsel and such other persons as circumstances may warrant.

§ 202.25 Procedure where a decision concerning a demand is not made prior to the time a response to the demand is required.

If response to the demand is required before the instructions from the General Counsel are received, a U.S. attorney or DOE attorney designated for the purpose shall appear with the employee or former employee of the DOE upon whom the demand has been made, and shall furnish the court or other authority with a copy of the regulations contained in this subpart and inform the court or other authority that the demand has been, or is being, as the case may be, referred for the prompt consideration of the appropriate DOE official and shall respectfully request the court or authority to stay the demand pending receipt of the requested instructions.

§ 202.26 Procedure in the event of an adverse ruling.

If the court or other authority declines to stay the effect of the demand in response to a request made in accordance with § 202.25 pending receipt of instructions, of if the court or other authority rules that the demand must be complied with irrespective of instructions not to produce the material or disclose the information sought, the employee or former employee upon whom the demand has been made shall respectfully decline to comply with the demand. ''United States ex rel Touhy v. Ragen,'' 340 U.S. 462.

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AUTHORITY: Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159; Federal Energy Administration Act of 1974, Pub. L. 93–275 (88 Stat. 96; E.O. 11790, 39 FR 23185); 42 U.S.C. 7101 *et seq.*, unless otherwise noted.

SOURCE: 39 FR 35489, Oct. 1, 1974, unless otherwise noted.

Subpart A—General Provisions

§ 205.1 Purpose and scope.

This part establishes the procedures to be utilized and identifies the sanctions that are available in proceedings before the Department of Energy and State Offices, in accordance with parts

209 through 214 of this chapter. Any exception, exemption, appeal, stay, modification, recession, redress or resolution of private grievance sought under the authority of 42 U.S.C. 7194 shall be governed by the procedural rules set forth in 10 CFR part 1003.

[61 FR 35114, July 5, 1996]

§ 205.2 Definitions.

The definitions set forth in other parts of this chapter shall apply to this part, unless otherwise provided. In addition, as used in this part, the term:

Action means an order, interpretation, notice of probable violation or ruling issued, or a rulemaking undertaken by the DOE or, as appropriate, by a State Office.

Adjustment means a modification of the base period volume or other measure of allocation entitlement in accordance with part 211 of this chapter.

Aggrieved, for purposes of administrative proceedings, describes and means a person with an interest sought to be protected under the FEAA, EPAA, or Proclamation No. 3279, as amended, who is adversely affected by an order or interpretation issued by the DOE or a State Office.

Appropriate Regional Office or appropriate State Office means the office located in the State or DOE region in which the product will be physically delivered.

Assignment means an action designating that an authorized purchaser be supplied at a specified entitlement level by a specified supplier.

Conference means an informal meeting, incident to any proceeding, between DOE or State officials and any person aggrieved by that proceeding.

Consent order means a document of agreement between DOE and a person prohibiting certain acts, requiring the performance of specific acts or including any acts which DOE could prohibit or require pursuant to § 205.195.

Duly authorized representative means a person who has been designated to appear before the DOE or a State Office in connection with a proceeding on behalf of a person interested in or aggrieved by that proceeding. Such appearance may consist of the submission of applications, petitions, requests, statements, memoranda of law, other documents, or of a personal appearance, verbal communication, or any other participation in the proceeding.

EPAA means the Emergency Petroleum Allocation Act of 1973 (Pub. L. 93–159).

EPCA means the Energy Policy and Conservation Act (Pub. L. 94–163).

Exception means the waiver or modification of the requirements of a regulation, ruling or generally applicable requirement under a specific set of facts.

Exemption means the release from the obligation to comply with any part or parts, or any subpart thereof, of this chapter.

DOE means the Department of Energy, created by the FEAA and includes the DOE National Office and Regional Offices.

FEAA means the Federal Energy Administration Act of 1974 (Pub. L. 93–275).

Federal legal holiday means New Year's Day, Washington's Birthday, Memorial Day, Independence Day, Labor Day, Columbus Day, Veterans' Day, Thanksgiving Day, Christmas Day, and any other day appointed as a national holiday by the President or the Congress of the United States.

Interpretation means a written statement issued by the General Counsel or his delegate or Regional Counsel, in response to a written request, that applies the regulations, rulings, and other precedents previously issued, to the particular facts of a prospective or completed act or transaction.

Notice of probable violation means a written statement issued to a person by the DOE that states one or more alleged violations of the provisions of this chapter or any order issued pursuant thereto.

Order means a written directive or verbal communication of a written directive, if promptly confirmed in writing, issued by the DOE or a State Office. It may be issued in response to an application, petition or request for DOE action or in response to an appeal from an order, or it may be a remedial order or other directive issued by the DOE or a State Office on its own initiative. A notice of probable violation is

not an order. For purposes of this definition a ''written directive'' shall include telegrams, telecopies and similar transcriptions.

Person means any individual, firm, estate, trust, sole proprietorship, partnership, association, company, joint-venture, corporation, governmental unit or instrumentality thereof, or a charitable, educational or other institution, and includes any officer, director, owner or duly authorized representative thereof.

Proceeding means the process and activity, and any part thereof, instituted by the DOE or a State Office, either on its own initiative or in response to an application, complaint, petition or request submitted by a person, that may lead to an action by the DOE or a State Office.

Remedial order means a directive issued by the DOE requiring a person to cease a violation or to eliminate or to compensate for the effects of a violation, or both.

Ruling means an official interpretative statement of general applicability issued by the DOE General Counsel and published in the FEDERAL REGISTER that applies the DOE regulations to a specific set of circumstances.

State Office means a State Office of Petroleum Allocation certified by the DOE upon application pursuant to part 211 of this chapter.

Throughout this part the use of a word or term in the singular shall include the plural and the use of the male gender shall include the female gender.

(Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159, as amended, Pub. L. 93–511, Pub. L. 94–99, Pub. L. 94–133, Pub. L. 94–163, and Pub. L. 94–385; Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended, Pub. L. 94–385; Energy Policy and Conservation Act, Pub. L. 94–163, as amended, Pub. L. 94–385; E.O. 11790, 39 FR 23185; Department of Energy Organization Act, Pub. L. 95–91; E.O. 12009, 42 FR 46267)

[39 FR 35489, Oct. 1, 1974, as amended at 40 FR 36555, Aug. 21, 1975; 40 FR 36761, Aug. 22, 1975; 41 FR 36647, Aug. 31, 1976; 43 FR 14437, Apr. 6, 1978]

§ 205.3 Appearance before the DOE or a State Office.

(a) A person may make an appearance, including personal appearances in the discretion of the DOE, and participate in any proceeding described in this part on his own behalf or by a duly authorized representative. Any application, appeal, petition, request or complaint filed by a duly authorized representative shall contain a statement by such person certifying that he is a duly authorized representative, unless a DOE form requires otherwise. Falsification of such certification will subject such person to the sanctions stated in 18 U.S.C. 1001 (1970).

(b) Suspension and disqualification: The DOE or a State Office may deny, temporarily or permanently, the privilege of participating in proceedings, including oral presentation, to any individual who is found by the DOE—

(1) To have made false or misleading statements, either verbally or in writing;

(2) To have filed false or materially altered documents, affidavits or other writings;

(3) To lack the specific authority to represent the person seeking a DOE or State Office action; or

(4) To have engaged in or to be engaged in contumacious conduct that substantially disrupts a proceeding.

§ 205.4 Filing of documents.

(a) Any document, including, but not limited to, an application, request, complaint, petition and other documents submitted in connection therewith, filed with the DOE or a State Office under this chapter is considered to be filed when it has been received by the DOE National Office, a Regional Office or a State Office. Documents transmitted to the DOE must be addressed as required by § 205.12. All documents and exhibits submitted become part of an DOE or a State Office file and will not be returned.

(b) Notwithstanding the provisions of paragraph (a) of this section, an appeal, a response to a denial of an appeal or application for modification or recision in accordance with §§ 205.106(a)(3) and 205.135(a)(3), respectively, a reply to a notice of probable violation, the appeal of a remedial order or remedial order for immediate compliance, a response to denial of a claim of confidentiality, or a comment submitted in connection with any proceeding transmitted by

registered or certified mail and addressed to the appropriate office is considered to be filed upon mailing.

(c) Hand-delivered documents to be filed with the Office of Exceptions and Appeals shall be submitted to Room 8002 at 2000 M Street, NW., Washington, D.C. All other hand-delivered documents to be filed with the DOE National Office shall be submitted to the Executive Secretariat at 12th and Pennsylvania Avenue, NW., Washington, D.C. Hand-delivered documents to be filed with a Regional Office shall be submitted to the Office of the Regional Administrator. Hand-delivered documents to be filed with a State Office shall be submitted to the office of the chief executive officer of such office.

(d) Documents received after regular business hours are deemed filed on the next regular business day. Regular business hours for the DOE National Office are 8 a.m. to 4:30 p.m. Regular business hours for a Regional Office or a State Office shall be established independently by each.

§ 205.5 Computation of time.

(a) *Days.* (1) Except as provided in paragraph (b) of this section, in computing any period of time prescribed or allowed by these regulations or by an order of the DOE or a State Office, the day of the act, event, or default from which the designated period of time begins to run is not to be included. The last day of the period so computed is to be included unless it is a Saturday, Sunday, or Federal legal holiday in which event the period runs until the end of the next day that is neither a Saturday, Sunday, nor a Federal legal holiday.

(2) Saturdays, Sundays or intervening Federal legal holidays shall be excluded from the computation of time when the period of time allowed or prescribed is 7 days or less.

(b) *Hours.* If the period of time prescribed in an order issued by the DOE or a State Office is stated in hours rather than days, the period of time shall begin to run upon actual notice of such order, whether by verbal or written communication, to the person directly affected, and shall run without interruption, unless otherwise provided in the order, or unless the order is stayed, modified, suspended or rescinded. When a written order is transmitted by verbal communication, the written order shall be served as soon thereafter as is feasible.

(c) *Additional time after service by mail.* Whenever a person is required to perform an act, to cease and desist therefrom, or to initiate a proceeding under this part within a prescribed period of time after issuance to such person of an order, notice, interpretation or other document and the order, notice, interpretation or other document is served by mail, 3 days shall be added to the prescribed period.

§ 205.6 Extension of time.

When a document is required to be filed within a prescribed time, an extension of time to file may be granted by the office with which the document is required to be filed upon good cause shown.

§ 205.7 Service.

(a) All orders, notices, interpretations or other documents required to be served under this part shall be served personally or by registered or certified mail or by regular United States mail (only when service is effected by the DOE or a State Office), except as otherwise provided.

(b) Service upon a person's duly authorized representative shall constitute service upon that person.

(c) Service by registered or certified mail is complete upon mailing. Official United States Postal Service receipts from such registered or certified mailing shall constitute *prima facie* evidence of service.

§ 205.8 Subpoenas, special report orders, oaths, witnesses.

(a) In this section the following terms have the definitions indicated unless otherwise provided.

(1) ''DOE Official'' means the Secretary of the Department of Energy, the Administrator of the Economic Regulatory Administration, the Administrator of Energy Information Administration, the General Counsel of the Department of Energy, the Special Counsel for Compliance, the Assistant

Administrator for Enforcement, the Director of the Office of Hearings and Appeals, or the duly authorized delegate of any of the foregoing officials.

(2) ''SRO'' means a Special Report Order issued pursuant to paragraph (b) of this section.

(b) (1) In accordance with the provisions of this section and as otherwise authorized by law, a DOE Official may sign, issue and serve subpoenas; administer oaths and affirmations; take sworn testimony; compel attendance of and sequester witnesses; control dissemination of any record of testimony taken pursuant to this section; subpoena and reproduce books, papers, correspondence, memoranda, contracts agreements, or other relevant records or tangible evidence including, but not limited to, information retained in computerized or other automated systems in possession of the subpoenaed person. Unless otherwise provided by subpart O, the provisions of this section apply to subpoenas issued by the office of Hearings and Appeals with respect to matters in proceedings before it.

(2) A DOE Official may issue a Special Report Order requiring any person subject to the jurisdiction of the ERA to file a special report providing information relating to DOE regulations, including but not limited to written answers to specific questions. The SRO may be in addition to any other reports required by this chapter.

(3) The DOE Official who issues a subpoena or SRO pursuant to this section, for good cause shown, may extend the time prescribed for compliance with the subpoena or SRO and negotiate and approve the terms of satisfactory compliance.

(4) Prior to the time specified for compliance, but in no event more than 10 days after the date of service of the subpoena or SRO, the person upon whom the document was served may file a request for review of the subpoena or SRO with the DOE Official who issued the document. The DOE Official then shall forward the request to his supervisor who shall provide notice of receipt to the person requesting review. The supervisor or his designee may extend the time prescribed for compliance with the subpoena or SRO and negotiate and approve the terms of satisfactory compliance.

(5) If the subpoena or SRO is not modified or rescinded within 10 days of the date of the supervisor's notice of receipt,

(i) the subpoena or SRO shall be effective as issued; and

(ii) the person upon whom the document was served shall comply with the subpoena or SRO within 20 days of the date of the supervisor's notice of receipt, unless otherwise notified in writing by the supervisor or his designee.

(6) There is no administrative appeal of a subpoena or SRO.

(c) (1) A subpoena or SRO shall be served upon a person named in the document by delivering a copy of the document to the person named.

(2) Delivery of a copy of the document to a natural person may be made by:

(i) Handing it to the person;

(ii) Leaving it at the person's office with the person in charge of the office;

(iii) Leaving it at the person's dwelling or usual place of abode with a person of suitable age and discretion who resides there;

(iv) Mailing it to the person by registered or certified mail, at his last known address; or

(v) Any method that provides the person with actual notice prior to the return date of the document.

(3) Delivery of a copy of the document to a person who is not a natural person may be made by:

(i) Handing it to a registered agent of the person;

(ii) Handing it to any officer, director, or agent in charge of any office of such person;

(iii) Mailing it to the last known address of any registered agent, officer, director, or agent in charge of any office of the person by registered or certified mail, or

(iv) Any method that provides any registered agent, officer, director, or agent in charge of any office of the person with actual notice of the document prior to the return date of the document.

(d)(1) A witness subpoenaed by the DOE shall be paid the same fees and mileage as paid to a witness in the district courts of the United States.

(2) If in the course of a proceeding conducted pursuant to subpart M or O, a subpoena is issued at the request of a person other than an officer or agency of the United States, the witness fees and mileage shall be paid by the person who requested the subpoena. However, at the request of the person, the witness fees and mileage shall be paid by the DOE if the person shows:

(i) The presence of the subpoenaed witness will materially advance the proceeding; and

(ii) The person who requested that the subpoena be issued would suffer a serious hardship if required to pay the witness fees and mileage. The DOE Official issuing the subpoena shall make the determination required by this subsection.

(e) If any person upon whom a subpoena or SRO is served pursuant to this section, refuses or fails to comply with any provision of the subpoena or SRO, an action may be commenced in the United States District Court to enforce the subpoena or SRO.

(f) (1) Documents produced in response to a subpoena shall be accompanied by the sworn certification, under penalty of perjury, of the person to whom the subpoena was directed or his authorized agent that (i) a diligent search has been made for each document responsive to the subpoena, and (ii) to the best of his knowledge, information, and belief each document responsive to the subpoena is being produced unless withheld on the grounds of privilege pursuant to paragraph (g) of this section.

(2) Any information furnished in response to an SRO shall be accompanied by the sworn certification under penalty of perjury of the person to whom it was directed or his authorized agent who actually provides the information that (i) a diligent effort has been made to provide all information required by the SRO, and (ii) all information furnished is true, complete, and correct unless withheld on grounds of privilege pursuant to paragraph (g) of this section.

(3) If any document responsive to a subpoena is not produced or any information required by an SRO is not furnished, the certification shall include a statement setting forth every reason for failing to comply with the subpoena or SRO.

(g) If a person to whom a subpoena or SRO is directed withholds any document or information because of a claim of attorney-client or other privilege, the person submitting the certification required by paragraph (f) of this section also shall submit a written list of the documents or the information withheld indicating a description of each document or information, the date of the document, each person shown on the document as having received a copy of the document, each person shown on the document as having prepared or been sent the document, the privilege relied upon as the basis for withholding the document or information, and an identification of the person whose privilege is being asserted.

(h)(1) If testimony is taken pursuant to a subpoena, the DOE Official shall determine whether the testimony shall be recorded and the means by which the testimony is recorded.

(2) A witness whose testimony is recorded may procure a copy of his testimony by making a written request for a copy and paying the appropriate fees. However, the DOE official may deny the request for good cause. Upon proper identification, any witness or his attorney has the right to inspect the official transcript of the witness' own testimony.

(i) The DOE Official may sequester any person subpoenaed to furnish documents or give testimony. Unless permitted by the DOE Official, neither a witness nor his attorney shall be present during the examination of any other witnesses.

(j)(1) Any witness whose testimony is taken may be accompanied, represented and advised by his attorney as follows:

(i) Upon the initiative of the attorney or witness, the attorney may advise his client, in confidence, with respect to the question asked his client, and if the witness refuses to answer any question, the witness or his attorney is required to briefly state the legal grounds for such refusal; and

(ii) If the witness claims a privilege to refuse to answer a question on the

grounds of self-incrimination, the witness must assert the privilege personally.

(k) The DOE Official shall take all necessary action to regulate the course of testimony and to avoid delay and prevent or restrain contemptuous or obstructionist conduct or contemptuous language. DOE may take actions as the circumstances may warrant in regard to any instances where any attorney refuses to comply with directions or provisions of this section.

(Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159, as amended, Pub. L. 94–163, and Pub. L. 94–385; Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended, Pub. L. 94–332, Pub. L. 94–385, Pub. L. 95–70, and Pub. L. 95–91; Energy Supply and Environmental Coordination Act of 1974, Pub. L. 93–319, as amended; Energy Policy and Conservation Act, Pub. L. 94–163, as amended, Pub. L. 94–385, and Pub. L. 95–70; Department of Energy Organization Act, Pub. L. 95–91; E.O. 11790, 39 FR 23185; E.O. 12009, 42 FR 46267)

[44 FR 23201, Apr. 19, 1979]

§ 205.9 General filing requirements.

(a) *Purpose and scope.* The provisions of this section shall apply to all documents required or permitted to be filed with the DOE or with a State Office.

(b) *Signing.* All applications, petitions, requests, appeals, comments or any other documents that are required to be signed, shall be signed by the person filing the document or a duly authorized representative. Any application, appeal, petition, request, complaint or other document filed by a duly authorized representative shall contain a statement by such person certifying that he is a duly authorized representative, unless an DOE form other wise requires. (A false certification is unlawful under the provisions of 18 U.S.C. 1001 (1970)).

(c) *Labeling.* An application, petition, or other request for action by the DOE or a State Office should be clearly labeled according to the nature of the action involved (*e.g.*, ''Application for Assignment'') both on the document and on the outside of the envelope in which the document is transmitted.

(d) *Obligation to supply information.* A person who files an application, petition, complaint, appeal or other request for action is under a continuing obligation during the proceeding to provide the DOE or a State Office with any new or newly discovered information that is relevant to that proceeding. Such information includes, but is not limited to, information regarding any other application, petition, complaint, appeal or request for action that is subsequently filed by that person with any DOE office or State Office.

(e) *The same or related matters.* A person who files an application, petition, complaint, appeal or other request for action by the DOE or a State Office shall state whether, to the best knowledge of that person, the same or related issue, act or transaction has been or presently is being considered or investigated by any DOE office, other Federal agency, department or instrumentality; or by a State Office, a state or municipal agency or court; or by any law enforcement agency; including, but not limited to, a consideration or investigation in connection with any proceeding described in this part. In addition, the person shall state whether contact has been made by the person or one acting on his behalf with any person who is employed by the DOE or any State Office with regard to the same issue, act or transaction or a related issue, act or transaction arising out of the same factual situation; the name of the person contacted; whether the contact was verbal or in writing; the nature and substance of the contact; and the date or dates of the contact.

(f) *Request for confidential treatment.* (1) If any person filing a document with the DOE or a State Office claims that some or all the information contained in the document is exempt from the mandatory public disclosure requirements of the Freedom of Information Act (5 U.S.C. 552 (1970)), is information referred to in 18 U.S.C. 1905 (1970), or is otherwise exempt by law from public disclosure, and if such person requests the DOE or a State Office not to disclose such information, such person shall file together with the document a second copy of the document from which has been deleted the information for which such person wishes to claim confidential treatment. The person shall indicate in the original document

that it is confidential or contains confidential information and may file a statement specifying the justification for non-disclosure of the information for which confidential treatment is claimed. If the person states that the information comes within the exception in 5 U.S.C. 552(b)(4) for trade secrets and commercial or financial information, such person shall include a statement specifying why such information is privileged or confidential. If the person filing a document does not submit a second copy of the document with the confidential information deleted, the DOE or a State Office may assume that there is no objection to public disclosure of the document in its entirety.

(2) The DOE or a State Office retains the right to make its own determination with regard to any claim of confidentiality. Notice of the decision by the DOE or a State Office to deny such claim, in whole or in part, and an opportunity to respond shall be given to a person claiming confidentiality of information no less than five days prior to its public disclosure.

(g) *Separate applications, petitions or requests.* Each application, petition or request for DOE action shall be submitted as a separate document, even if the applications, petitions, or requests deal with the same or a related issue, act or transaction, or are submitted in connection with the same proceeding.

§ 205.10 Effective date of orders.

Any order issued by the DOE or a State Office under this chapter is effective as against all persons having actual notice thereof upon issuance, in accordance with its terms, unless and until it is stayed, modified, suspended, or rescinded. An order is deemed to be issued on the date, as specified in the order, on which it is signed by an authorized representative of the DOE or a State Office, unless the order provides otherwise.

§ 205.11 Order of precedence.

(a) If there is any conflict or inconsistency between the provisions of this part and any other provision of this chapter, the provisions of this part shall control with respect to procedure.

(b) Notwithstanding paragraph (a) of this section, subpart I of part 212 of this chapter shall control with respect to prenotification and reporting and subpart J of part 212 of this chapter shall control with respect to accounting and financial reporting requirements.

§ 205.12 Addresses for filing documents with the DOE.

(a) All applications, requests, petitions, appeals, reports, DOE or FEO forms, written communications and other documents to be submitted to or filed with the DOE National Office in accordance with this chapter shall be addressed as provided in this section. The DOE National Office has facilities for the receipt of transmissions via TWX and FAX. The FAX is a 3M full duplex 4 or 6 minute (automatic) machine.

FAX Numbers	TWX Numbers
(202) 254–6175	(701) 822–9454
(202) 254–6461	(701) 822–9459

(1) Documents for which a specific address and/or code number is not provided in accordance with paragraphs (a)(2) through (7) of this section, shall be addressed as follows: Department of Energy, Attn: (name of person to receive document, if known, or subject), Washington, DC 20461.

(2) Documents to be filed with the Office of Exceptions and Appeals, as provided in this part or otherwise, shall be addressed as follows. Office of Exceptions and Appeals, Department of Energy, Attn: (name of person to receive document, if known, and/or labeling as specified in § 205.9(c)), Washington, DC 20461.

(3) Documents to be filed with the Office of General Counsel, as provided in this part or otherwise, shall be addressed as follows: Office of the General Counsel, U.S. Department of Energy, Attn: (name of person to receive document, if known, and labeling as specified in § 205.9(c)), 1000 Independence Avenue, Washington, DC 20585.

(4) Documents to be filed with the Office of Private Grievances and Redress, as provided in this part or otherwise, shall be addressed as follows: Office of

Private Grievances and Redress, Department of Energy, Attn: (name of person to receive document, if known and/or labeling as specified in §205.9(c)), Washington, DC 20461.

(5) All other documents filed, except those concerning price (see paragraph (a)(6) of this section), those designated as DOE or FEO forms (see paragraph (a)(7) of this section), and ''Surplus Product Reports'' (see paragraph (a)(8) of this section), but including those pertaining to compliance and allocation (adjustment and assignment) of allocated products, are to be identified by one of the code numbers stated below and addressed as follows: Department of Energy, Code___, labeling as specified in §205.9(c), Washington, DC 20461.

CODE NUMBERS

	Code
Product:	
Crude oil	10
Naphtha and gas oil	15
Propane, butane and natural gasoline	25
Other products	30
Bunker fuel	40
Residual fuel (nonutility)	50
Motor gasoline	60
Middle distillates	70
Aviation fuels	80
Submissions by specific entities:	
Electric utilities	45
Department of Defense	55

(6) Documents pertaining to the price of covered products, except those to be submitted to other offices as provided in this part, shall be addressed to the Department of Energy, Code 1000, Attn: (name of person to receive document, if known, and/or labeling as specified in §205.9(c)), Washington, DC 20461.

(7) Documents designated as DOE or FEO forms shall be submitted in accordance with the instructions stated in the form.

(8) ''Surplus Product Reports'' shall be submitted to the Department of Energy, Post Office Box 19407, Washington, DC 20036.

(9) Documents to be filed with the Director of Oil Imports, as provided in this part or otherwise, shall be addressed as follows: Director of Oil Imports, Department of Energy, P.O. Box 7414, Washington, DC 20044.

(10) Petitions for rulemaking to be filed with the Economic Regulatory Administration National Office shall be addressed as follows: Economic Regulatory Administration, Attn: Assistant Administrator for Regulations and Emergency Planning (labeled as ''Petition for Rulemaking,'') 2000 M Street, N.W., Washington, DC 20461.

(b) All reports, applications, requests, notices, complaints, written communications and other documents to be submitted to or filed with an DOE Regional Office in accordance with this chapter shall be directed to one of the following addresses, as appropriate:

REGION 1

Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont; Regional Office, Department of Energy, 150 Causeway Street, Boston, Massachusetts 02114.

REGION 2

New Jersey, New York, Puerto Rico, Virgin Islands; Regional Office, Department of Energy, 26 Federal Plaza, New York, New York 10007.

REGION 3

Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia; Regional Office, Department of Energy, Federal Office Building, 1421 Cherry Street, Philadelphia, Pennsylvania 19102.

REGION 4

Alabama, Canal Zone, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina; Regional Office, Department of Energy, 1655 Peachtree Street NW., Atlanta, Georgia 30309.

REGION 5

Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin; Regional Office, Department of Energy, 175 West Jackson Street, Chicago, Illinois 60604.

REGION 6

Arkansas, Louisiana, New Mexico, Oklahoma, Texas; Regional Office, Department of Energy, 212 North Saint Paul Street, Dallas, Texas 75201.

REGION 7

Iowa, Kansas, Missouri, Nebraska; Regional Office, Department of Energy, Federal Office Building, P.O. Box 15000, 112 East 12th Street, Kansas City, Missouri 64106.

REGION 8

Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming; Regional Office,

Department of Energy, Post Office Box 26247, Belmar Branch, Denver, Colorado 80226.

REGION 9

American Samoa, Arizona, California, Guam, Hawaii, Nevada, Trust Territory of the Pacific Islands; Regional Office, Department of Energy, 111 Pine Street, San Francisco, California 94111.

REGION 10

Alaska, Idaho, Oregon, Washington; Regional Office, Department of Energy, Federal Office Building, 909 First Avenue, Room 3098, Seattle, Washington 98104.

(Emergency Petroleum Allocation Act of 1973, 15 U.S.C. 751 *et seq.*, Pub. L. 93–159, as amended, Pub. L. 93–511, Pub. L. 94–99, Pub. L. 94–133, Pub. L. 94–163, and Pub. L. 94–385; Federal Energy Administration Act of 1974, 15 U.S.C. 787 *et seq.*, Pub. L. 93–275, as amended, Pub. L. 94–332, Pub. L. 94–385, Pub. L. 95–70, and Pub. L. 95–91; Energy Policy and Conservation Act, 42 U.S.C. 6201 *et seq.*, Pub. L. 94–163, as amended, Pub. L. 94–385, and Pub. L. 95–70; Department of Energy Organization Act, 42 U.S.C. 7101 *et seq.*, Pub. L. 95–91; E.O. 11790, 39 FR 23185; E.O. 12009, 42 FR 46267)

[39 FR 35489, Oct. 1, 1974, as amended at 40 FR 36555, Aug. 21, 1975; 45 FR 37684, June 4, 1980]

§ 205.13 Where to file.

(a) Except as otherwise specifically provided in other subparts of this part, all documents to be filed with the ERA pursuant to this part shall be filed with the appropriate ERA Regional Office (unless otherwise specified in part 211 of this chapter), except that all documents shall be filed with the ERA National Office that relate to:

(1) The allocation and pricing of crude oil pursuant to subpart C of part 211 and part 212 of this chapter;

(2) Refinery yield controls pursuant to subpart C of part 211 of this chapter;

(3) The pricing of propane, butane and natural gasoline pursuant to part 212 of this chapter and the allocation of butane and natural gasoline pursuant to part 211 of this chapter;

(4) The allocation and pricing of middle distillate fuels pursuant to subpart G of part 211 and part 212 of this chapter, filed by electric utilities;

(5) The allocation and pricing of aviation fuel pursuant to subpart H of part 211 and part 212 of this chapter, filed by civil air carriers (except air taxi/commercial operators);

(6) The allocation and pricing of residual fuel oil pursuant to subpart I of part 211 and part 212 of this chapter, filed by electric utilities;

(7) The allocation and pricing of naphtha and gas oil pursuant to subpart J of part 211 and part 212 of this chapter;

(8) The allocation and pricing of other products pursuant to subpart K of part 211 and part 212 of this chapter;

(9) An application for an exemption under subpart E of this part; requests for a rulemaking proceeding under subpart L of this part or for the issuance of a ruling under subpart K of this part; and petitions to the Office of Private Grievances and Redress under subpart R of this part;

(10) The pricing of products pursuant to part 212 of this chapter, filed by a refiner; and

(11) The allocation of crude oil and other allocated products to meet Department of Defense needs pursuant to part 211 of this chapter.

(12) The allocation of crude oil and other allocated products to be utilized as feedstock in a synthetic natural gas plant, pursuant to § 211.29.

(13) Allocations, fee-paid and fee-exempt licenses issued pursuant to part 213 of this chapter.

(b) Applications by end-users and wholesale purchasers for an allocation under the state set-aside system in accordance with § 211.17 shall be filed with the appropriate State Office.

(c) Applications to a State Office or a DOE Regional Office shall be directed to the office located in the state or region in which the allocated product will be physically delivered. An applicant doing business in more than one state or region must apply separately to each State or region in which a product will be physically delivered, unless the State Offices or Regional Offices involved agree otherwise.

[39 FR 35489, Oct. 1, 1974, as amended at 39 FR 36571, Oct. 11, 1974; 39 FR 39022, Nov. 5, 1974; 40 FR 28446, July 7, 1975; 40 FR 36555, Aug. 21, 1975; 44 FR 60648, Oct. 19, 1979]

§ 205.14 Ratification of prior directives, orders, and actions.

All interpretations, orders, notices of probable violation or other directives issued, all proceedings initiated, and

all other actions taken in accordance with part 205 as it existed prior to the effective date of this amendment, are hereby confirmed and ratified, and shall remain in full force and effect as if issued under this amended part 205, unless or until they are altered, amended, modified or rescinded in accordance with the provisions of this part.

§ 205.15 Public docket room.

There shall be established at the DOE National Office, 12th and Pennsylvania Avenue, NW., Washington, DC, a public docket room in which shall be made available for public inspection and copying:

(a) A list of all persons who have applied for an exception, an exemption, or an appeal, and a digest of each application;

(b) Each decision and statement setting forth the relevant facts and legal basis of an order, with confidential information deleted, issued in response to an application for an exception or exemption or at the conclusion of an appeal;

(c) The comments received during each rulemaking proceeding, with a verbatim transcript of the public hearing if such a public hearing was held; and

(d) Any other information required by statute to be made available for public inspection and copying, and any information that the DOE determines should be made available to the public.

Subparts B–E [Reserved]

Subpart F—Interpretation

§ 205.80 Purpose and scope.

(a) This subpart establishes the procedures for the filing of a formal request for an interpretation and for the consideration of such request. Responses, which may include verbal or written responses to general inquiries or to other than formal written requests for interpretation filed with the General Counsel or his delegate or a Regional Counsel, are not interpretations and merely provide general information.

(b) A request for interpretation that includes, or could be construed to include an application for an exception or an exemption may be treated solely as a request for interpretation and processed as such.

(Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159, as amended, Pub. L. 93–511, Pub. L. 94–99, Pub. L. 94–133, Pub. L. 94–163, and Pub. L. 94–385, Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended, Pub. L. 94–385, Energy Policy and Conservation Act, Pub. L. 94–163, as amended, Pub. L. 94–385; E.O. 11790, 39 FR 23185; Department of Energy Organization Act, Pub. L. 95–91; E.O. 12009, 42 FR 46267)

[39 FR 35489, Oct. 1, 1974, as amended at 43 FR 14437, Apr. 6, 1978]

§ 205.81 What to file.

(a) A person filing under this subpart shall file a ''Request for Interpretation,'' which should be clearly labeled as such both on the request and on the outside of the envelope in which the request is transmitted, and shall be in writing and signed by the person filing the request. The person filing the request shall comply with the general filing requirements stated in § 205.9 in addition to the requirements stated in this subpart.

(b) If the person filing the request wishes to claim confidential treatment for any information contained in the request or other documents submitted under this subpart, the procedures set out in § 205.9(f) shall apply.

§ 205.82 Where to file.

A request for interpretation shall be filed with the General Counsel or his delegate or with the appropriate Regional Counsel at the address provided in § 205.12.

(Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159, as amended, Pub. L. 93–511, Pub. L. 94–99, Pub. L. 94–133, Pub. L. 94–163, and Pub. L. 94–385; Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended, Pub. L. 94–385; Energy Policy and Conservation Act, Pub. L. 94–163, as amended, Pub. L. 94–385; E.O. 11790, 39 FR 23185; Department of Energy Organization Act, Pub. L. 95–91; E.O. 12009, 42 FR 46267)

[39 FR 35489, Oct. 1, 1974, as amended at 43 FR 14437, Apr. 6, 1978; 43 FR 17803, Apr. 26, 1978]

§ 205.83 Contents.

(a) The request shall contain a full and complete statement of all relevant facts pertaining to the circumstances,

act or transaction that is the subject of the request and to the DOE action sought. Such facts shall include the names and addresses of all affected persons (if reasonably ascertainable) and a full discussion of the pertinent provisions and relevant facts contained in the documents submitted with the request. Copies of all relevant contracts, agreements, leases, instruments, and other documents shall be submitted with the request. When the request pertains to only one step of a larger integrated transaction, the facts, circumstances, and other relevant information pertaining to the entire transaction must be submitted.

(b) The request for interpretation shall include a discussion of all relevant authorities, including, but not limited to, DOE rulings, regulations, interpretations and decisions on appeals and exceptions relied upon to support the particular interpretation sought therein.

§ 205.84 DOE evaluation.

(a) *Processing.* (1) The DOE may initiate an investigation of any statement in a request and utilize in its evaluation any relevant facts obtained by such investigation. The DOE may accept submissions from third persons relevant to any request for interpretation provided that the person making the request is afforded an opportunity to respond to all third person submissions. In evaluating a request for interpretation, the DOE may consider any other source of information. The DOE on its own initiative may convene a conference, if, in its discretion, it considers that such conference will advance its evaluation of the request.

(2) The DOE shall issue its interpretation on the basis of the information provided in the request, unless that information is supplemented by other information brought to the attention of the General Counsel or a Regional Counsel during the proceeding. The interpretation shall, therefore, depend for its authority on the accuracy of the factual statement and may be relied upon only to the extent that the facts of the actual situation correspond to those upon which the interpretation was based.

(3) If the DOE determines that there is insufficient information upon which to base a decision and if upon request additional information is not submitted by the person requesting the interpretation, the DOE may refuse to issue an interpretation.

(b) *Criteria.* (1) The DOE shall base an interpretation on the FEA and EPAA and the regulations and published rulings of the DOE as applied to the specific factual situation.

(2) The DOE shall take into consideration previously issued interpretations dealing with the same or a related issue.

§ 205.85 Decision and effect.

(a) An interpretation may be issued after consideration of the request for interpretation and other relevant information received or obtained during the proceeding.

(b) The interpretation shall contain a statement of the information upon which it is based and a legal analysis of and conclusions regarding the application of rulings, regulations and other precedent to the situation presented in the request.

(c) Only those persons to whom an interpretation is specifically addressed and other persons upon whom the DOE serves the interpretation and who are directly involved in the same transaction or act may rely upon it. No person entitled to rely upon an interpretation shall be subject to civil or criminal penalties stated in subpart P of this part for any act taken in reliance upon the interpretation, notwithstanding that the interpretation shall thereafter be declared by judicial or other competent authority to be invalid.

(d) An interpretation may be rescinded or modified at any time. Rescission or modification may be effected by notifying persons entitled to rely on the interpretation that it is rescinded or modified. This notification shall include a statement of the reasons for the recision or modification and, in the case of a modification, a restatement of the interpretation as modified.

(e) An interpretation is modified by a subsequent amendment to the regulations or ruling to the extent that it is

inconsistent with the amended regulation or ruling.

(f)(1) Any person aggrieved by an interpretation may submit a petition for reconsideration to the General Counsel within 30 days of service of the interpretation from which the reconsideration is sought. There has not been an exhaustion of administrative remedies until a period of 30 days from the date of service of the interpretation has elapsed without receipt by the General Counsel of a petition for reconsideration or, if a petition for reconsideration of the interpretation has been filed in a timely manner, until that petition has been acted on by the General Counsel. However, a petition to which the General Counsel does not respond within 60 days of the date of receipt thereof, or within such extended time as the General Counsel may prescribe by written notice to the petitioner concerned within that 60 day period, shall be considered denied.

(2) A petition for reconsideration may be summarily denied if—

(i) It is not filed in a timely manner, unless good cause is shown; or

(ii) It is defective on its face for failure to state, and to present facts and legal argument in support thereof, that the interpretation was erroneous in fact or in law, or that it was arbitrary or capricious.

(3) The General Counsel may deny any petition for reconsideration if the petitioner does not establish that—

(i) The petition was filed by a person aggrieved by an interpretation;

(ii) The interpretation was erroneous in fact or in law; or

(iii) The interpretation was arbitrary or capricious. The denial of a petition shall be a final order of which the petitioner may seek judicial review.

(Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159, as amended, Pub. L. 93–511, Pub. L. 94–99, Pub. L. 94–133, Pub. L. 94–163, and Pub. L. 94–385, Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended, Pub. L. 94–385, Energy Policy and Conservation Act, Pub. L. 94–163, as amended, Pub. L. 94–385; E.O. 11790, 39 FR 23185; Department of Energy Organization Act, Pub. L. 95–91; E.O. 12009, 42 FR 46267)

[39 FR 35489, Oct. 1, 1974, as amended at 43 FR 14437, Apr. 6, 1978]

§ 205.86 Appeal.

There is no administrative appeal of an interpretation.

(Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159, as amended, Pub. L. 93–511, Pub. L. 94–99, Pub. L. 94–133, Pub. L. 94–163, and Pub. L. 94–385, Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended, Pub. L. 94–385, Energy Policy and Conservation Act, Pub. L. 94–163, as amended, Pub. L. 94–385; E.O. 11790, 39 FR 23185; Department of Energy Organization Act, Pub. L. 95–91; E.O. 12009, 42 FR 46267)

[43 FR 14437, Apr. 6, 1978]

Subparts G–J [Reserved]

Subpart K—Rulings

§ 205.150 Purpose and scope.

This subpart establishes the criteria for the issuance of interpretative rulings by the General Counsel. All rulings shall be published in the FEDERAL REGISTER. Any person is entitled to rely upon such ruling, to the extent provided in this subpart.

§ 205.151 Criteria for issuance.

(a) A ruling may be issued, in the discretion of the General Counsel, whenever there have been a substantial number of inquiries with regard to similar factual situations or a particular section of the regulations.

(b) The General Counsel may issue a ruling whenever it is determined that it will be of assistance to the public in applying the regulations to a specific situation.

§ 205.152 Modification or rescission.

(a) A ruling may be modified or rescinded by:

(1) Publication of the modification or rescission in the FEDERAL REGISTER; or

(2) A rulemaking proceeding in accordance with subpart L of this part.

(b) Unless and until a ruling is modified or rescinded as provided in paragraph (a) of this section, no person shall be subject to the sanctions or penalties stated in subpart P of this part for actions taken in reliance upon the ruling, notwithstanding that the ruling shall thereafter be declared by judicial or other competent authority to be invalid. Upon such declaration,

no person shall be entitled to rely upon the ruling.

§ 205.153 Comments.

A written comment on or objection to a published ruling may be filed at any time with the General Counsel at the address specified in § 205.12.

§ 205.154 Appeal.

There is no administrative appeal of a ruling.

Subpart L [Reserved]

Subpart M—Conferences, Hearings, and Public Hearings

§ 205.170 Purpose and scope.

This subpart establishes the procedures for requesting and conducting a DOE conference, hearing, or public hearing. Such proceedings shall be convened in the discretion of the DOE, consistent with the requirements of the FEAA.

§ 205.171 Conferences.

(a) The DOE in its discretion may direct that a conference be convened, on its own initiative or upon request by a person, when it appears that such conference will materially advance the proceeding. The determination as to who may attend a conference convened under this subpart shall be in the discretion of the DOE, but a conference will usually not be open to the public.

(b) A conference may be requested in connection with any proceeding of the DOE by any person who might be aggrieved by that proceeding. The request may be made in writing or verbally, but must include a specific showing as to why such conference will materially advance the proceeding. The request shall be addressed to the DOE office that is conducting the proceeding.

(c) A conference may only be convened after actual notice of the time, place, and nature of the conference is provided to the person who requested the conference.

(d) When a conference is convened in accordance with this section, each person may present views as to the issue or issues involved. Documentary evidence may be presented at the conference, but will be treated as if submitted in the regular course of the proceedings. A transcript of the conference will not usually be prepared. However, the DOE in its discretion may have a verbatim transcript prepared.

(e) Because a conference is solely for the exchange of views incident to a proceeding, there will be no formal reports or findings unless the DOE in its discretion determines that such would be advisable.

§ 205.172 Hearings.

(a) The DOE in its discretion may direct that a hearing be convened on its own initiative or upon request by a person, when it appears that such hearing will materially advance the proceedings. The determination as to who may attend a hearing convened under this subpart shall be in the discretion of DOE, but a hearing will usually not be open to the public. Where the hearing involves a matter arising under part 213, the Director of Oil Imports shall be notified as to its time and place, in order that he or his representative may present views as to the issue or issues involved.

(b) A hearing may only be requested in connection with an application for an exception or an appeal. Such request may be by the applicant, appellant, or any other person who might be aggrieved by the DOE action sought. The request shall be in writing and shall include a specific showing as to why such hearing will materially advance the proceeding. The request shall be addressed to the DOE office that is considering the application for an exception or the appeal.

(c) The DOE will designate an agency official to conduct the hearing, and will specify the time and place for the hearing.

(d) A hearing may only be convened after actual notice of the time, place, and nature of the hearing is provided both to the applicant or appellant and to any other person readily identifiable by the DOE as one who will be aggrieved by the DOE action involved. The notice shall include, as appropriate:

(1) A statement that such person may participate in the hearing; or

(2) A statement that such person may request a separate conference or hearing regarding the application or appeal.

(e) When a hearing is convened in accordance with this section, each person may present views as to the issue or issues involved. Documentary evidence may be presented at the hearing, but will be treated as if submitted in the regular course of the proceedings. A transcript of the hearing will not usually be prepared. However, the DOE in its discretion may have a verbatim transcript prepared.

(f) The official conducting the hearing may administer oaths and affirmations, rule on the presentation of information, receive relevant information, dispose of procedural requests, determine the format of the hearing, and otherwise regulate the course of the hearing.

(g) Because a hearing is solely for the exchange of views incident to a proceeding, there will be no formal reports or findings unless the DOE in its discretion determines that such would be advisable.

[39 FR 35489, Oct. 1, 1974, as amended at 40 FR 36557, Aug. 21, 1975]

§ 205.173 Public hearings.

(a) A public hearing shall be convened incident to a rulemaking:

(1) When the proposed rule or regulation is likely to have a substantial impact on the Nation's economy or large numbers of individuals or businesses; or

(2) When the DOE determines that a public hearing would materially advance the consideration of the issue. A public hearing may be requested by any interested person in connection with a rulemaking proceeding, but shall only be convened on the initiative of the DOE unless otherwise required by statute.

(b) A public hearing may be convened incident to any proceeding when the DOE in its discretion determines that such public hearing would materially advance the consideration of the issue.

(c) A public hearing may only be convened after publication of a notice in the FEDERAL REGISTER, which shall include a statement of the time, place, and nature of the public hearing.

(d) Interested persons may file a request to participate in the public hearing in accordance with the instructions in the notice published in the FEDERAL REGISTER. The request shall be in writing and signed by the person making the request. It shall include a description of the person's interest in the issue or issues involved and of the anticipated content of the presentation. It shall also contain a statement explaining why the person would be an appropriate spokesperson for the particular view expressed.

(e) The DOE shall appoint a presiding officer to conduct the public hearing. An agenda shall be prepared that shall provide, to the extent practicable, for the presentation of all relevant views by competent spokespersons.

(f) A verbatim transcript shall be made of the hearing. The transcript, together with any written comments submitted in the course of the proceeding, shall be made available for public inspection and copying in the public docket room, as provided in § 205.15.

(g) The information presented at the public hearing, together with the written comments submitted and other relevant information developed during the course of the proceeding, shall provide the basis for the DOE decision.

Subpart N [Reserved]

Subpart O—Notice of Probable Violation, Remedial Order, Notice of Proposed Disallowance, and Order of Disallowance

AUTHORITY: Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159, as amended, Pub. L. 93–511, Pub. L. 94–99, Pub. L. 94–133, Pub. L. 94–163, and Pub. L. 94–385, Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended, Pub. L. 94–332, Pub. L. 94–385, Pub. L. 95–70, Pub. L. 95–91; Energy Policy and Conservation Act, Pub. L. 94–163, as amended, Pub. L. 94–385, Pub. L. 95–70, Department of Energy Organization Act, Pub. L. 95–91, as amended, Pub. L. 95–620; E.O. 11790, 39 FR 23185; E.O. 12009, 42 FR 46267.

SOURCE: 44 FR 7924, Feb. 7, 1979, unless otherwise noted.

§ 205.190 Purpose and scope.

(a) This subpart establishes the procedures for determining the nature and extent of violations of the DOE regulations in parts 210, 211, and 212 and the procedures for issuance of a Notice of Probable Violation, a Proposed Remedial Order, a Remedial Order, an Interim Remedial Order for Immediate Compliance, a Remedial Order for Immediate Compliance, a Notice of Probable Disallowance, a Proposed Order of Disallowance, an Order of Disallowance, or a Consent Order. Nothing in these regulations shall affect the authority of DOE enforcement officials in coordination with the Department of Justice to initiate appropriate civil or criminal enforcement actions in court at any time.

(b) When any report required by the ERA or any audit or investigation discloses, or the ERA otherwise discovers, that there is reason to believe a violation of any provision of this chapter, or any order issued thereunder, has occurred, is continuing or is about to occur, the ERA may conduct an inquiry to determine the nature and extent of the violation. A Remedial Order or Order of Disallowance may be issued thereafter by the Office of Hearings and Appeals. The ERA may commence enforcement proceedings by serving a Notice of Probable Violation, a Notice of Probable Disallowance, a Proposed Remedial Order, a Proposed Order of Disallowance, or an Interim Remedial Order for Immediate Compliance.

§ 205.191 [Reserved]

§ 205.192 Proposed remedial order.

(a) If the ERA finds, after the 30-day or other period authorized for reply to the Notice of Probable Violation, that a violation has occurred, is continuing, or is about to occur, it may issue a Proposed Remedial Order, which shall set forth the relevant facts and law.

(b) The ERA may issue a Proposed Remedial Order at any time it finds that a violation has occurred, is continuing, or is about to occur even if it has not previously issued a Notice of Probable Violation.

(c) The ERA shall serve a copy of the Proposed Remedial Order upon the person to whom it is directed. The ERA shall promptly publish a notice in the FEDERAL REGISTER which states the person to whom the Proposed Remedial Order is directed, his address, and the products, dollar amounts, time period, and geographical area specified in the Proposed Remedial Order. The notice shall indicate that a copy of the Proposed Remedial Order with confidential information, if any, deleted may be obtained from the ERA and that within 15 days after the date of publication any aggrieved person may file a Notice of Objection with the Office of Hearings and Appeals of accordance with § 205.193. The ERA shall mail copies of the FEDERAL REGISTER notice to all readily identifiable persons who are likely to be aggrieved by issuance of the Proposed Remedial Order as a final order.

(d) The Proposed Remedial Order shall set forth the proposed findings of fact and conclusions of law upon which it is based. It shall also include a discussion of the relevant authorities which support the position asserted, including rules, regulations, rulings, interpretations and previous decisions issued by DOE or its predecessor agencies. The Proposed Remedial Order shall be accompanied by a declaration executed by the DOE employee primarily knowledgeable about the facts of the case stating that, to the best of declarant's knowledge and belief, the findings of fact are correct.

(e) The ERA may amend or withdraw a Proposed Remedial Order at its discretion prior to the date of service of a Statement of Objections in that proceeding. The date of service of the amended documents shall be considered the date of service of the Proposed Remedial Order in calculating the time periods specified in this part 205.

§ 205.192A Burden of proof.

(a) In a Proposed Remedial Order proceeding the ERA has the burden of establishing a prima facie case as to the validity of the findings of fact and conclusions of law asserted therein. The ERA shall be deemed to meet this burden by the service of a Proposed Remedial Order that meets the requirements of § 205.192(d) and any supplemental information that may be made available under § 205.193A.

(b) Once a prima facie case has been established, a person who objects to a finding of fact or conclusion of law in the Proposed Remedial Order has the burden of going forward with the evidence. Furthermore, the proponent of additional factual representations has the burden of going forward with the evidence.

(c) Unless otherwise specified by the Director of the Office of Hearings and Appeals or his designee, the proponent of an order or a motion or additional factual representations has the ultimate burden of persuasion.

§ 205.193 Notice of Objection.

(a) Within 15 days after publication of the notice of a Proposed Remedial Order in the FEDERAL REGISTER any aggrieved person may file a Notice of Objection to the Proposed Remedial Order with the Office of Hearings and Appeals. The Notice shall be filed in duplicate, shall briefly describe how the person would be aggrieved by issuance of the Proposed Remedial Order as a final order and shall state the person's intention to file a Statement of Objections. No confidential information shall be included in a Notice of Objection. The DOE shall place one copy of the Notice in the Office of Hearings and Appeals Public Docket Room.

(b) A person who fails to file a timely Notice of Objection shall be deemed to have admitted the findings of fact and conclusions of law as stated in the Proposed Remedial Order. If a Notice of Objection is not filed as provided by paragraph (a) of this section, the Proposed Remedial Order may be issued as a final order.

(c) A person who files a Notice of Objection shall on the same day serve a copy of the Notice upon the person to whom the Proposed Remedial Order is directed, the DOE Office that issued the Proposed Remedial Order, and the DOE Assistant General Counsel for Administrative Litigation.

(d) The Notice shall include a certification of compliance with the provisions of this section, the names and addresses of each person served with a copy of the Notice, and the date and manner of service.

(e) If no person files a timely Notice of Objection, ERA may request the Office of Hearings and Appeals to issue the Proposed Remedial Order as a final Remedial Order.

(f) In order to exhaust administrative remedies with respect to a Remedial Order proceeding, a person must file a timely Notice of Objection and Statement of Objections with the Office of Hearings and Appeals.

§ 205.193A Submission of ERA supplemental information.

Within 20 days after service of a Notice of Objection to a Proposed Remedial Order the ERA may serve, upon the person to whom the Proposed Remedial Order was directed, supplemental information relating to the calculations and determinations which support the findings of fact set forth in the Proposed Remedial Order.

§ 205.194 Participants; official service list.

(a) Upon receipt of a Notice of Objection, the Office of Hearings and Appeals shall publish a notice in the FEDERAL REGISTER which states the person to whom the Proposed Remedial Order is directed, his address and the products, dollar amounts, time period, and geographical area specified in the Proposed Remedial Order. The notice shall state that any person who wishes to participate in the proceeding must file an appropriate request with the Office of Hearings and Appeals.

(b) The Office that issued the Proposed Remedial Order and the person to whom the Order is directed shall be considered participants before the Office of Hearings and Appeals at all stages of an enforcement proceeding. Any other person whose interest may be affected by the proceeding may file a request to participate in the proceeding with the Office of Hearings and Appeals within 20 days after publication of the notice referred to in paragraph (a) of this section. The request shall contain

(1) The person's name, address, and telephone number and similar information concerning his duly authorized representative, if any;

(2) A detailed description of the person's interest in the proceeding;

(3) The specific reasons why the person's active involvement in the proceeding will substantially contribute to a complete resolution of the issues to be considered in the proceeding;

(4) A statement of the position which the person intends to adopt in the proceeding; and

(5) A statement of the particular aspects of the proceeding, e.g. oral argument, submission of briefs, or discovery, in which the person wishes to actively participate.

(c) After considering the requests submitted pursuant to paragraph (b) of this section, the Office of Hearings and Appeals shall determine those persons who may participate on an active basis in the proceeding and the nature of their participation. Participants with similar interests may be required to consolidate their submissions and to appear in the proceeding through a common representative.

(d) Within 30 days after publication of the notice referred to in paragraph (a) of this section, the Office of Hearings and Appeals shall prepare an official service list for the proceeding. Within the same 30 day period the Office of Hearings and Appeals shall mail the official service list to all persons who filed requests to participate. For good cause shown a person may be placed on the official service list as a non-participant, for the receipt of documents only. An opportunity shall be afforded to participants to oppose the placement of a non-participant on the official service list.

(e) A person requesting to participate after the period for submitting requests has expired must show good cause for failure to file a request within the prescribed time period.

(f) The Office of Hearings and Appeals may limit the nature of a person's participation in the proceeding, if it finds that the facts upon which the person's request was based have changed or were incorrect when stated or that the person has not been actively participating or has engaged in disruptive or dilatory conduct. The action referred to in this provision shall be taken only after notice and an opportunity to be heard are afforded.

§ 205.195 Filing and service of all submissions.

(a)(1) Statements of Objections, Responses to such Statements, and any motions or other documents filed in connection with a proceeding shall meet the requirements of § 205.9 and shall be filed with the Office of Hearings and Appeals in accordance with § 205.4. Unless otherwise specified, any participant may file a response to a motion within five days of service.

(2) All documents shall be filed in duplicate, unless they contain confidential information, in which case they must be filed in triplicate.

(3) If a person claims that any portion of a document which he is filing contains confidential information, such information should be deleted from two of the three copies which are filed. One copy from which confidential information has been deleted will be placed in the Office of Hearings and Appeals Public Docket Room.

(b)(1) Persons other than DOE offices shall on the date a submission is filed serve each person on the official service list. Service shall be made in accordance with § 205.7 and may also be made by deposit in the regular United States mail, properly stamped and addressed, when accompanied by proof of service consisting of a certificate of counsel or an affidavit of the person making the service. If any filing arguably contains confidential information, a person may serve copies with the confidential information deleted upon all persons on the official service list except DOE offices, which shall be served both an original filing and one with deletions.

(2) A DOE office shall on the date it files a submission serve all persons on the official service list, unless the filing arguably contains confidential information. In that case the DOE office shall notify the person to whom the information relates of the opportunity to identify and delete the confidential information. The DOE Office may delay the service of a submission containing arguably confidential information upon all persons other than the possessor of the confidential information and other DOE offices up to 14 days. The possessor of the confidential information shall serve the filing with any

deletions upon all persons on the official service list within such time period.

(c) Any filing made under this section shall include a certification of compliance by the filer with the provisions of this subpart. The person serving a document shall file a certificate of service, which includes the date and manner of service for each person on the official service list.

§ 205.196 Statement of objections.

(a) A person who has filed a Notice of Objection shall file a Statement of Objections to a Proposed Remedial Order within 40 days after service of the Notice of Objection. A request for an extension of time for filing must be submitted in writing and may be granted for good cause shown.

(b) The Statement of Objections shall set forth the bases for the objections to the issuance of the Proposed Remedial Order as a final order, including a specification of the issues of fact or law which the person intends to contest in any further proceeding involving the compliance matter which is the subject of the Proposed Remedial Order. The Statement shall set forth the findings of fact contained in the Proposed Remedial Order which are alleged to be erroneous, the factual basis for such allegations, and any alternative findings which are sought. The Statement shall include a discussion of all relevant authorities which support the position asserted. The Statement may include additional factual representations which are not referred to in the Proposed Remedial Order and which the person contends are material and relevant to the compliance proceeding. For each additional factual representation which the person asserts should be made, the Statement shall include reasons why the factual representation is relevant and material, and the manner in which its validity is or will be established. The person shall also specify the manner in which each additional issue of fact was raised in any prior administrative proceeding which led to issuance of the Proposed Remedial Order, or the reasons why it was not raised.

(c) A Statement of Objections that is filed by the person to whom a Proposed Remedial Order is directed shall include a copy of any relevant Notice of Probable Violation, each Response thereto, the Proposed Remedial Order, and any relevant work papers or supplemental information previously provided by ERA. Copies of this material must also be included with the copy of the Statement of Objections served upon the DOE Assistant General Counsel for Administrative Litigation. All other persons on the official service list must be notified that such materials are available from the notifier upon written request.

§ 205.197 Response to statement of objections; reply.

(a) Within 30 days after service of a Statement of Objections each participant may file a Response. If any motions are served with the Statement of Objections, a participant shall have 30 days from the date of service to respond to such submissions, notwithstanding any shorter time periods otherwise required in this subpart. The Response shall contain a full discussion of the position asserted and a discussion of the legal and factual bases which support that position. The Response may also contain a request that any issue of fact or law advanced in a Statement of Objections be dismissed. Any such request shall be accompanied by a full discussion of the reasons supporting the dismissal.

(b) A participant may submit a Reply to any Response within 10 days after the date of service of the Response.

§ 205.198 Discovery.

(a) If a person intends to file a Motion for Discovery, he must file it at the same time that he files his Statement of Objections or at the same time he files his Response to a Statement of Objections, whichever is earlier. All Motions for Discovery and related filings must be served upon the person to whom the discovery is directed. If the person to whom the discovery is directed is not on the official service list, the documents served upon him shall include a copy of this section, the address of the Office of Hearings and Appeals and a statement that objections to the Motion may be filed with the Office of Hearings and Appeals.

(b) A Motion for Discovery may request that:

(1) A person produce for inspection and photocopying non-privileged written material in his possession;

(2) A person respond to written interrogatories;

(3) A person admit to the genuineness of any relevant document or the truth of any relevant fact; or

(4) The deposition of a material witness be taken.

(c) A Motion for Discovery shall set forth the reasons why the particular discovery is necessary in order to obtain relevant and material evidence and shall explain why such discovery would not unduly delay the proceeding.

(d) Within 20 days after a Motion for Discovery is served, a participant or a person to whom the discovery is directed may file a request that the Motion be denied in whole or in part, stating the reasons which support the request.

(e) Discovery may be conducted only pursuant to an Order issued by the Office of Hearings and Appeals. A Motion for Discovery will be granted if it is concluded that discovery is necessary for the party to obtain relevant and material evidence and that discovery will not unduly delay the proceeding. Depositions will be permitted if a convincing showing is made that the participant cannot obtain the material sought through one of the other discovery means specified in paragraph (b) of this section.

(f) The Director of the Office of Hearings and Appeals or his designee may issue subpoenas in accordance with § 205.8 in support of Discovery Orders, except that § 205.8 (h)(2), (3), and (4) shall not apply to such subpoenas.

(g) The Office of Hearings and Appeals may order that any direct expenses incurred by a person to produce evidence pursuant to a Motion for Discovery be charged to the person who filed the Motion.

(h)(1) If a person fails to comply with an order relating to discovery, the Office of Hearings and Appeals may order appropriate sanctions.

(2) It shall be the duty of aggrieved participants to request that appropriate relief be fashioned in such situations.

(i) Any order issued by the Office of Hearings and Appeals with respect to discovery shall be subject to further administrative review or appeal only upon issuance of the determination referred to in § 205.199B.

§ 205.198A Protective order.

A participant who has unsuccessfully attempted in writing to obtain information that another participant claims is confidential may file a Motion for Discovery and Protective Order. This motion shall meet the requirements of § 205.198 and shall specify the particular confidential information that the movant seeks and the reasons why the information is necessary to adequately present the movant's position in the proceeding. A copy of the written request for information, a certification concerning when and to whom it was served and a copy of the response, if any, shall be appended to the motion. The motion must give the possessor of the information notice that a Response to the Motion must be filed within ten days. The Response shall specify the safeguards, if any, that should be imposed if the information is ordered to be released. The Office of Hearings and Appeals may issue a Protective Order upon consideration of the Motion and the Response.

§ 205.199 Evidentiary hearing.

(a) *Filing Requirements.* At the time a person files a Statement of Objections he may also file a motion requesting an evidentiary hearing be convened. A motion requesting an evidentiary hearing may be filed by any other participant within 30 days after that participant is served with a Statement of Objections.

(b) *Contents of Motion for Evidentiary Hearing.* A Motion for Evidentiary Hearing shall specify each disputed issue of fact and the bases for the alternative findings the movant asserts. The movant shall also describe the manner in which each disputed issue of fact was raised in any prior administrative proceeding which led to issuance of the Proposed Remedial Order, or why it was not raised. The movant shall with respect to each disputed or alternative finding of fact:

(1) As specifically as possible, identify the witnesses whose testimony is required;

(2) State the reasons why the testimony of the witnesses is necessary; and

(3) State the reasons why the asserted position can be effectively established only through the direct questioning of witnesses at an evidentiary hearing.

(c) *Response to Motion for Evidentiary Hearing.* Within 20 days after service of any Motion for Evidentiary Hearing, the Office that issued the Proposed Remedial Order shall, and any other participant may file a Response with the Office of Hearings and Appeals. The Response shall specify:

(1) Each particular factual representation which is accepted as correct for purposes of the proceeding;

(2) Each particular factual representation which is denied;

(3) Each particular factual representation which the participant is not in a position to accept or deny;

(4) Each particular factual representation which is not accepted and the participant wishes proven by the submission of evidence;

(5) Each particular factual representation which the participant is prepared to dispute through the testimony of witnesses or the submission of verified documents; and

(6) Each particular factual representation which the participant asserts should be dismissed as immaterial or irrelevant.

(d) *Prehearing Conferences.* After all submissions with respect to a Motion for Evidentiary Hearing are filed, the Office of Hearings and Appeals may conduct conferences or hearings to resolve differences of view among the participants.

(e) *Decision on Motion for Evidentiary Hearing.* After considering all relevant information received in connection with the Motion, the Office of Hearings and Appeals shall enter an Order. In the Order the Office of Hearings and Appeals shall direct that an evidentiary hearing be convened if it concludes that a genuine dispute exists as to relevant and material issues of fact and an evidentiary hearing would substantially assist it in making findings of fact in an effective manner. If the Motion for Evidentiary Hearing is granted in whole or in part, the Order shall specify the parties to the hearing, any limitations on the participation of a party, and the issues of fact set forth for the evidentiary hearing. The Order may also require parties that have adopted similar positions to consolidate their presentations and to appear at the evidentiary hearing through a common representative. If the Motion is denied, the Order may allow the movant to file affidavits and other documents in support of his asserted findings of fact.

(f) *Review of Decision.* The Order of the Office of Hearings and Appeals with respect to a Motion for Evidentiary Hearing shall be subject to further administrative review or appeal only upon issuance of the determination referred to in § 205.199B.

(g) *Conduct of Evidentiary Hearing.* All evidentiary hearings convened pursuant to this section shall be conducted by the Director of the Office of Hearings and Appeals or his designee. At any evidentiary hearing the parties shall have the opportunity to present material evidence which directly relates to a particular issue of fact set forth for hearing. The presiding officer shall afford the parties an opportunity to cross examine all witnesses. The presiding officer may administer oaths and affirmations, rule on objections to the presentation of evidence, receive relevant material, rule on any motion to conform the Proposed Remedial Order to the evidence presented, rule on motions for continuance, dispose of procedural requests, determine the format of the hearing, modify any order granting a Motion for Evidentiary Hearing, direct that written motions or briefs be provided with respect to issues raised during the course of the hearing, issue subpoenas, and otherwise regulate the conduct of the hearing. The presiding officer may take reasonable measures to exclude duplicative material from the hearing, and may place appropriate limitations on the number of witnesses that may be called by a party. The presiding officer may also require that evidence be submitted through affidavits or other documents if the direct testimony of witnesses will unduly delay the orderly

progress of the hearing and would not contribute to resolving the issues involved in the hearing. The provisions of § 205.8 which relate to subpoenas and witness fees shall apply to any evidentiary hearing, except that subsection § 205.8(h) (2), (3), and (4) shall not apply.

§ 205.199A Hearing for the purpose of oral argument only.

(a) A participant is entitled upon timely request to a hearing to present oral argument with respect to the Proposed Remedial Order, whether or not an evidentiary hearing is requested or convened. A participant's request shall normally be considered untimely, if made more than 10 days after service of a determination regarding any motion filed by the requestor or, if no motions were filed by him, if made after the date for filing his Reply or his Response to a Statement of Objections.

(b) If an evidentiary hearing is convened, and a hearing for oral argument is requested, the Office of Hearings and Appeals shall determine whether the hearing for oral argument shall be held in conjunction with the evidentiary hearing or at a separate time.

(c) A hearing for the purpose of receiving oral argument will generally be conducted only after the issues involved in the proceeding have been delineated, and any written material which the Office of Hearings and Appeals has requested to supplement a Statement of Objections or Responses has been submitted. The presiding officer may require further written submissions in support of any position advanced or issued at the hearing, and shall allow responses any such submissions.

§ 205.199B Remedial order.

(a) After considering all information received during the proceeding, the Director of the Office of Hearings and Appeals or his designee may issue a final Remedial Order. The Remedial Order may adopt the findings and conclusions contained in the Proposed Remedial Order or may modify or rescind any such finding or conclusion to conform the Order to the evidence or on the basis of a determination that the finding or conclusion is erroneous in fact or law or is arbitrary or capricious. In the alternative, the Office of Hearings and Appeals may determine that no Remedial Order should be issued or may remand all or a portion of the Proposed Remedial Order to the issuing DOE office for further consideration or modification. Every determination made pursuant to this section shall state the relevant facts and legal bases supporting the determination.

(b) The DOE shall serve a copy of any determination issued pursuant to paragraph (a) of this section upon the person to whom it is directed, any person who was served with a copy of the Proposed Remedial Order, the DOE office that issued the Proposed Remedial Order, the DOE Assistant General Counsel for Administrative Litigation and any other person on the official service list. Appropriate deletions may be made in the determinations to ensure that confidentiality of information protected from disclosure under 18 U.S.C. 1905 and 5 U.S.C. 552. A copy of the determination with appropriate deletions to protect confidential and proprietary data shall be placed in the Office of Hearings and Appeals Public Docket Room.

§ 205.199C Appeals of remedial order to FERC.

(a) The person to whom a Remedial Order is issued by the Office of Hearings and Appeals may file an administrative appeal if the Remedial Order proceeding was initiated by a Notice of Probable Violation issued after October 1, 1977, or, in those situations in which no Notice of Probable Violation was issued, if the proceeding was initiated by a Proposed Remedial Order issued after October 1, 1977.

(b) Any such appeal must be initiated within 30 days after service of the Order by giving written notice to the Office of Hearings and Appeals that the person to whom a Remedial Order is issued wishes to contest the Order.

(c) The Office of Hearings and Appeals shall promptly advise the Federal Energy Regulatory Commission of its receipt of a notice described in paragraph (b) of this section.

(d) The Office of Hearings and Appeals may, on a case by case basis, set reasonable time limits for the Federal

Energy Regulatory Commission to complete its action on such an appeal proceeding.

(e) In order to exhaust administrative remedies, a person who is entitled to appeal a Remedial Order issued by the Office of Hearings and Appeals must file a timely appeal and await a decision on the merits. Any Remedial Order that is not appealed within the 30-day period shall become effective as a final Order of the DOE and is not subject to review by any court.

§§ 205.199D–205.199E [Reserved]

§ 205.199F Ex parte communications.

(a) No person who is not employed or otherwise supervised by the Office of Hearings and Appeals shall submit ex parte communications to the Director or any person employed or otherwise supervised by the Office with respect to any matter involved in Remedial Order or Order of Disallowance proceedings.

(1) Ex parte communications include any ex parte oral or written communications relative to the merits of a Proposed Remedial Order, Interim Remedial Order for Immediate Compliance, or Proposed Order of Disallowance proceeding pending before the Office of Hearings and Appeals. The term shall not, however, include requests for status reports, inquiries as to procedures, or the submission of proprietary or confidential information. Notice that proprietary or confidential submissions have been made shall be given to all persons on the official service list.

(b) If any communication occurs that violates the provisions of this section, the Office of Hearings and Appeals shall promptly make the substance of the communication available to the public and serve a copy of a written communication or a memorandum summarizing an oral communication to all participants in the affected proceeding. The Office of Hearings and Appeals may also take any other appropriate action to mitigate the adverse impact to any person whose interest may be affected by the ex parte contact.

§ 205.199G Extension of time; Interim and Ancillary Orders.

The Director of the Office of Hearings and Appeals or his designee may permit upon motion any document or submission referred to in this subpart other than appeals to FERC to be amended or withdrawn after it has been filed or to be filed within a time period different from that specified in this subpart. The Director or his designee may upon motion or on his own initiative issue any interim or ancillary Orders, reconsider any determinations, or make any rulings or determinations that are deemed necessary to ensure that the proceedings specified in this subpart are conducted in an appropriate manner and are not unduly delayed.

§ 205.199H Actions not subject to administrative appeal.

A Notice of Probable Violation, Notice of Proposed Disallowance, Proposed Remedial Order or Interim Remedial Order for Immediate Compliance issued pursuant to this subpart shall not be an action from which there may be an administrative appeal pursuant to subpart H. In addition, a determination by the Office of Hearings and Appeals that a Remedial Order, an Order of Disallowance, or a Remedial Order for Immediate Compliance should not be issued shall not be appealable pursuant to subpart H.

§ 205.199I Remedies.

(a) A Remedial Order, a Remedial Order for Immediate Compliance, an Order of Disallowance, or a Consent Order may require the person to whom it is directed to roll back prices, to make refunds equal to the amount (plus interest) charged in excess of those amounts permitted under DOE Regulations, to make appropriate compensation to third persons for administrative expenses of effectuating appropriate remedies, and to take such other action as the DOE determines is necessary to eliminate or to compensate for the effects of a violation or any cost disallowance pursuant to § 212.83 or § 212.84. Such action may include a direction to the person to whom the Order is issued to establish an escrow account or take other measures to

make refunds directly to purchasers of the products involved, notwithstanding the fact that those purchasers obtained such products from an intermediate distributor of such person's products, and may require as part of the remedy that the person to whom the Order is issued maintain his prices at certain designated levels, notwithstanding the presence or absence of other regulatory controls on such person's prices. In cases where purchasers cannot be reasonably identified or paid or where the amount of each purchaser's overcharge is incapable of reasonable determination, the DOE may refund the amounts received in such cases directly to the Treasury of the United States on behalf of such purchasers.

(b) The DOE may, when appropriate, issue final Orders ancillary to a Remedial Order, Remedial Order for Immediate Compliance, Order of Disallowance, or Consent Order requiring that a direct or indirect recipient of a refund pass through, by such means as the DOE deems appropriate, including those described in paragraph (a) of this section, all or a portion of the refund, on a pro rata basis, to those customers of the recipient who were adversely affected by the initial overcharge. Ancillary Orders may be appealed to the Office of Hearings and Appeals only pursuant to subpart H.

§ 205.199J Consent order.

(a) Notwithstanding any other provision of this subpart, the DOE may at any time resolve an outstanding compliance investigation or proceeding, or a proceeding involving the disallowance of costs pursuant to § 205.199E with a Consent Order. A Consent Order must be signed by the person to whom it is issued, or a duly authorized representative, and must indicate agreement to the terms contained therein. A Consent Order need not constitute an admission by any person that DOE regulations have been violated, nor need it constitute a finding by the DOE that such person has violated DOE regulations. A Consent Order shall, however, set forth the relevant facts which form the basis for the Order.

(b) A Consent Order is a final Order of the DOE having the same force and effect as a Remedial Order issued pursuant to § 205.199B or an Order of Disallowance issued pursuant to § 205.199E, and may require one or more of the remedies authorized by § 205.199I and § 212.84(d)(3). A Consent Order becomes effective no sooner than 30 days after publication under paragraph (c) of this section, unless (1) the DOE makes a Consent Order effective immediately, because it expressly deems it necessary in the public interest, or (2) the Consent Order involves a sum of less than $500,000 in the aggregate, excluding penalties and interest, in which case it will be effective when signed both by the person to whom it is issued and the DOE, and will not be subject to the provisions of paragraph (c) of this section unless the DOE determines otherwise. A Consent Order shall not be appealable pursuant to the provisions of § 205.199C or § 205.199D and subpart H, and shall contain an express waiver of such appeal or judicial review rights as might otherwise attach to a final Order of the DOE.

(c) When a Consent Order has been signed, both by the person to whom it is issued and the DOE, the DOE will publish notice of such Consent Order in the FEDERAL REGISTER and in a press release to be issued simultaneously therewith. The FEDERAL REGISTER notice and the press release will state at a minimum the name of the company concerned, a brief summary of the Consent Order and other facts or allegations relevant thereto, the address and telephone number of the DOE office at which copies of the Consent Order will be available free of charge, the address to which comments on the Consent Order will be received by the DOE, and the date by which such comments should be submitted, which date will not be less than 30 days after publication of the FEDERAL REGISTER notice. After the expiration of the comment period the DOE may withdraw its agreement to the Consent Order, attempt to negotiate a modification of the Consent Order, or issue the Consent Order as signed. The DOE will publish in the FEDERAL REGISTER, and by press release, notice of any action taken on a Consent Order and such explanation of

the action taken as deemed appropriate. The provisions of this paragraph shall be applicable notwithstanding the fact that a Consent Order may have been made immediately effective pursuant to paragraph (b) of this section (except in cases where the Consent Order involves sums of less than $500,000 in the aggregate, excluding penalties and interest).

(d) At any time and in accordance with the procedures of subpart J, a Consent Order may be modified or rescinded, upon petition by the person to whom the Consent Order was issued, and may be rescinded by the DOE upon discovery of new evidence which is materially inconsistent with evidence upon which the DOE's acceptance of the Consent Order was based. Modifications of a Consent Order which is subject to public comment under the provisions of paragraph (c) of this section, which in the opinion of the DOE significantly change the terms or the impact of the original Order, shall be republished under the provisions of that paragraph.

(e) Notwithstanding the issuance of a Consent Order, the DOE may seek civil or criminal penalties or compromise civil penalties pursuant to subpart P concerning matters encompassed by the Consent Order, unless the Consent Order by its terms expressly precludes the DOE from so doing.

(f) If at any time after a Consent Order becomes effective it appears to the DOE that the terms of the Consent Order have been violated, the DOE may refer such violations to the Department of Justice for appropriate action in accordance with subpart P.

Subparts P–T [Reserved]

Subpart U—Procedures for Electricity Export Cases

AUTHORITY: Federal Power Act, 41 Stat. 1063, as amended; Executive Order 10485, as amended by Executive Order 12038; Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended; Pub. L. 94–332, Pub. L. 94–385, Pub. L. 95–70, and Pub. L. 95–91; Energy Policy and Conservation Act, Pub. L. 95–70; Department of Energy Organization Act, Pub. L. 95–91; E.O. 11790, 39 FR 23185; E.O. 12009, 42 FR 46267.

SOURCE: 49 FR 35315, Sept. 6, 1984, unless otherwise noted.

§ 205.260 Purpose and scope.

(a) The purpose of this section is to state the procedures that will be followed by the Economic Regulatory Administration of the Department of Energy in electricity export adjudications.

(b) *Definitions.* As used in this subpart—

Administrator means the Administrator of the Economic Regulatory Administration.

Decisional employees means the Administrator, presiding officers at adjudicatory hearings, and other employees of the Department, including consultants and contractors, who are, or may reasonably be expected to be, involved in the decision-making process, which includes advising the Administrator in resolving the issues in an adjudication. The term does not include those employees of the Department performing investigative or trial functions in an adjudication, unless they are specifically requested by the Administrator or his delegate to participate in the decision-making process.

Department means the Department of Energy.

Off-the-record communication means an *ex parte* communication, which is an oral or written communication relevant to the merits of an adjudication and not on the record and with respect to which reasonable prior notice to all participants and opportunity to be present at, or respond to, the communication is not given, but does not include a communication relating solely to procedures which are not relevant to the merits of the adjudication.

Interested person means a person outside the Department whose interest in the adjudication goes beyond the general interest of the public as a whole and includes applicants, intervenors, competitors of applicants, non-profit and public interest organizations, and other individuals and organizations, including state, local and other public officials, with a proprietary, financial or other special interest in the outcome of the adjudication. The term does not include other federal agencies, unless an

agency is a participant in the adjudication.

Participant means any applicant or intervenor participating in the adjudication.

Adjudication means a formal proceeding employing procedures identical or similar to those required by the Administrative Procedure Act, as codified in 5 U.S.C. 551, 556, and 557, to consider an application to export electricity.

Reasonable prior notice means 7 days' written notice stating the nature and purpose of the communication.

Relevant to the merits means a communication directly related to the merits of a specific adjudication but does not include general background discussions about an entire industry or communications of a general nature made in the course of developing agency policy for future general application.

§§ 205.261–205.269 [Reserved]

§ 205.270 Off-the-record communications.

(a) In any proceeding which is subject to this subpart—

(1) No interested person shall make an off-the-record communication or knowingly cause an off-the-record communication to be made to any decisional employee.

(2) No decisional employee shall make an off-the-record communication or knowingly cause an off-the-record communication to be made to any interested person.

(3) A decisional employee who receives, makes, or knowingly causes to be made an oral communication prohibited by this section shall prepare a memorandum stating the substance of the communication and any responses made to it.

(4) With 48 hours of receiving, making or knowingly causing to be made a communication prohibited by this section, a decisional employee shall deliver all written off-the-record communications and all memoranda prepared in compliance with paragraph (a)(3) of this section to the Director of the Coal and Electricity Division, ERA, who will immediately place the materials described above in the public record associated with the adjudication, available for public inspection.

(5) Upon receipt of a communication knowingly made or knowingly caused to be made by a participant in violation of this section, the Administrator or presiding officer may, to the extent consistent with the interests of justice and the applicable statutory policy, require the participant to show cause why his or her claim or interest in the adjudication should not be dismissed, denied, disregarded, or otherwise adversely affected on account of the violation.

(6) The prohibitions of this section shall apply beginning at the time an adjudication is noticed for hearing (or the person responsible for the communication acquires knowledge that it will be noticed), a protest is filed, or a petition or notice to intervene in opposition to the requested Department action is filed, whichever occurs first.

(b) The prohibition, cited at 18 CFR 1.30(f), against participation in the decision-making process by Department employees who perform investigative or trial functions in an adjudication, shall no longer be applicable to ERA.

Subpart V—Special Procedures for Distribution of Refunds

AUTHORITY: Economic Stabilization Act of 1970, Pub. L. 92–210; Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159, as amended, Pub. L. 93–511, Pub. L. 94–99, Pub. L. 94–133, Pub. L. 94–163, and Pub. L. 94–385, Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended, Pub. L. 94–332, Pub. L. 94–332, Pub. L. 94–385, Pub. L. 95–70, Pub. L. 95–91, Energy Policy and Conservation Act, Pub. L. 94–163, as amended, Pub. L. 94–385, Pub. L. 95–70; Department of Energy Organization Act, Pub. L. 95–91; E.O. 11790, 39 FR 23185; E.O. 12009, 42 FR 46267.

SOURCE: 44 FR 8566, Feb. 9, 1979, unless otherwise noted.

§ 205.280 Purpose and scope.

This subpart establishes special procedures pursuant to which refunds may be made to injured persons in order to remedy the effects of a violation of the regulations of the Department of Energy. This subpart shall be applicable to those situations in which the Department of Energy is unable to readily identify persons who are entitled to

refunds specified in a Remedial Order, a Remedial Order for Immediate Compliance, an Order of Disallowance or a Consent Order, or to readily ascertain the amounts that such persons are entitled to receive.

§ 205.281 Petition for implementation of special refund procedures.

(a) At any time after the issuance of a Remedial Order (including for purposes of this subpart a Remedial Order for Immediate Compliance and an Order of Disallowance), or a Consent Order, the Special Counsel of the Department of Energy, the ERA Office of Enforcement, or any other enforcement official of the Department of Energy may file with the Office of Hearings and Appeals a Petition for the Implementation of Special Refund Procedures.

(b) The Petition shall state that the person filing it has been unable readily either to identify the persons who are entitled to refunds to be remitted pursuant to a Remedial Order or a Consent Order or to ascertain the amounts of refunds that such persons are entitled to receive. The Petition shall request that the Office of Hearings and Appeals institute appropriate proceedings under this subpart to distribute the funds referred to in the enforcement documents.

(c) The Petition shall contain a copy of each relevant enforcement document, shall be filed in duplicate, and shall meet the requirements of § 205.9 of this part.

§ 205.282 Evaluation of petition by the Office of Hearings and Appeals.

(a) After considering the Petition, the Director of the Office of Hearings and Appeals or his designee shall issue a Proposed Decision and Order. The Proposed Decision and Order shall generally describe the nature of the particular refund proceeding and shall set forth the standards and procedures that the Office of Hearings and Appeals intends to apply in evaluating refund claims.

(b) The Proposed Decision and Order shall be published in the FEDERAL REGISTER together with a statement that any member of the public may submit written comments to the Office of Hearings and Appeals with respect to the matter. At least 30 days following publication in the FEDERAL REGISTER shall be provided for the submission of comments.

(c) After considering the comments submitted, the Director of the Office of Hearings and Appeals or his designee shall issue a final Decision and Order which shall govern the disposition of the refunds. The final Decision and Order shall also be published in the FEDERAL REGISTER.

(d) The final Decision and Order shall set forth the standards and procedures that will be used in evaluating individual Applications for Refunds and distributing the refund amount. Those standards and procedures shall be consistent with the provisions of this subpart.

(e) In establishing standards and procedures for implementing refund distributions, the Office of Hearings and Appeals shall take into account the desirability of distributing the refunds in an efficient, effective and equitable manner and resolving to the maximum extent practicable all outstanding claims. In order to do so, the standards for evaluation of individual claims may be based upon appropriate presumptions.

§ 205.283 Applications for refund.

(a) Any person entitled to a refund pursuant to a final Decision and Order issued pursuant to § 205.282 may file an Application for Refund. All Applications must be signed by the applicant and specify the DOE order to which they pertain. Any Application for a refund in excess of $100 must be file in duplicate, and a copy of that Application will be available for public inspection in the DOE Public Docket Room at 2000 M Street, NW., Washington, DC. Any applicant who believes that his Application contains confidential information must so indicate on the first page of his Application and submit two additional copies of his Application from which the information that the applicant claims is confidential has been deleted, together with a statement specifying why any such information is privileged or confidential.

(b) The contents of an Application for Refund shall be specified in the final

Decision and Order referred to in §205.282(c). A filing deadline for Applications shall also be specified in the final Decision and Order, and shall be no less than 90 days after the publication of the Order in the FEDERAL REGISTER.

(c) Each Application shall be in writing and signed by the applicant, and shall indicate whether the applicant or any person acting on his instructions has filed or intends to file any other Application or claim of whatever nature regarding the matters at issue in the underlying enforcement proceeding. Each Application shall also include a sworn statement by the applicant that all information in his Application is true and correct to the best of his knowledge and belief.

§ 205.284 Processing of applications.

(a) The Director of the Office of Hearings and Appeals may appoint an administrator to evaluate Applications under guidelines established by the Office of Hearings and Appeals. The administrator, if he is not a Federal Government employee, may be compensated from the funds referred to in the Remedial Order or Consent Order. The administrator may design and distribute an optional application form for the convenience of the applicants.

(b) The Office of Hearings and Appeals or its designee may initiate an investigation of any statement made in an Application and may require verification of any document submitted in support of a claim. In evaluating an Application, the Office of Hearings and Appeals or its designee may solicit and consider information obtained from any source and may on its own initiative convene a hearing or conference, if it determines that a hearing or conference will advance its evaluation of an Application.

(c) The Director of the Office of Hearings and Appeals or his designee shall conduct any hearing or conference convened with respect to an Application for Refund and shall specify the time and place for the hearing or conference and notify the applicant. The official conducting the hearing may administer oaths and affirmations, rule on the presentation of information, receive relevant information, dispose of procedural requests, determine the format of the hearing and otherwise regulate the course of the hearing. The provisions of §205.8 of this part which relate to subpoenas and witness fees shall apply to any hearing convened with respect to an application for refund, except that §205.8(h) (2), (3) and (4) shall not apply.

(d) Upon consideration of an Application and other relevant information received during the course of a refund proceeding, the Director of the Office of Hearings and Appeals or his designee shall issue an order granting or denying the Application. The order shall contain a concise statement of the relevant facts and the legal basis for the order. A copy of the order, with such modification as is necessary to ensure the confidentiality of information protected from public disclosure by 18 U.S.C. 1905, may be obtained upon request by an applicant or any other person who participated in the proceeding.

§ 205.285 Effect of failure to file a timely application.

An Application for Refund must be filed no later than the date that the Office of Hearings and Appeals establishes pursuant to §205.283(b). Any Application that is not filed on a timely basis may be summarily dismissed. The Office of Hearings and Appeals or its designee may, however, grant extensions of time for good cause shown. Any request for an extension of time must generally be submitted in writing prior to the deadline.

§ 205.286 Limitations on amount of refunds.

(a) The aggregate amount of all refunds approved by the Office of Hearings and Appeals or its designee in a given case shall not exceed the amount to be remitted pursuant to the relevant DOE enforcement order, plus any accumulated interest, reduced by the amount of any administrative costs approved by the Office of Hearings and Appeals. In the event that the aggregate amount of approved claims exceeds the aggregate amount of funds specified above, the Office of Hearings and Appeals may make refunds on a pro rata basis. The Office of Hearings and Appeals may delay payment of any

refunds until all Applications have been processed.

(b) The Office of Hearings and Appeals may decline to consider Applications for refund amounts that, in view of the direct administrative costs involved, are too small to warrant individual consideration.

§ 205.287 Escrow accounts, segregated funds and other guarantees.

(a) In implementing the refund procedures specified in this subpart, the Director of the Office of Hearings and Appeals or his designee shall issue an order providing for the custody of the funds to be tendered pursuant to the Remedial Order or Consent Order. This Order may require placement of the funds in an appropriate interest-bearing escrow account, retention of the funds by the firm in a segregated account under such terms and conditions as are specified by the DOE, or the posting of a sufficient bond or other guarantee to ensure payment.

(b) All costs and charges approved by the Office of Hearings and Appeals and incurred in connection with the processing of Applications for Refund or incurred by an escrow agent shall be paid from the amount of funds, including any accumulated interest, to be remitted pursuant to the Remedial Order or Consent Order.

(c) After the expenses referred to in paragraph (b) of this section have been satisfied and refunds distributed to successful applicants, any remaining funds remitted pursuant to the Remedial Order or Consent Order shall be deposited in the United States Treasury or distributed in any other manner specified in the Decision and Order referred to in § 205.282(c).

(d) Funds contained in an escrow account, segregated fund, or guaranteed by other approved means shall be disbursed only upon written order of the Office of Hearings and Appeals.

§ 205.288 Interim and ancillary orders.

The Director of the Office of Hearings and Appeals or his designee may issue any interim or ancillary orders, or make any rulings or determinations to ensure that refund proceedings, including the actions of the administrator and the custodian of the funds involved in a refund proceeding, are conducted in an appropriate manner and are not unduly delayed.

Subpart W—Electric Power System Permits and Reports; Applications; Administrative Procedures and Sanctions; Grid Security Emergency Orders

(Approved by the Office of Management and Budget under Control No. 1901–0245)

AUTHORITY: Pub. L. 95–91, 91 Stat. 565 (42 U.S.C. 7101); Pub. L. 66–280, 41 Stat. 1063 (16 U.S.C. Section 792 *et seq.*); E.O. 10485, 18 FR 5397, 3 CFR, 1949–1953, Comp., p. 970 as amended by E.O. 12038, 43 FR 4957, 3 CFR 1978 Comp., p. 136; Department of Energy Delegation Order No. 00–002.00Q (Nov. 1, 2018).

SOURCE: 45 FR 71560, Oct. 28, 1980; 46 FR 63209, Dec. 31, 1981, unless otherwise noted.

APPLICATION FOR AUTHORIZATION TO TRANSMIT ELECTRIC ENERGY TO A FOREIGN COUNTRY

§ 205.300 Who shall apply.

(a) An electric utility or other entity subject to DOE jurisdiction under part II of the Federal Power Act who proposes to transmit any electricity from the United States to a foreign country must submit an application or be a party to an application submitted by another entity. The application shall be submitted to the Office of Utility Systems of the Economic Regulatory Administration (EPA).

(b) In connection with an application under §§ 205.300 through 205.309, attention is directed to the provisions of §§ 205.320 through 205.327, below, concerning applications for Presidential Permits for the construction, connection, operation, or maintenance, at the borders of the United States, of facilities for the transmission of electric energy between the United States and a foreign country in compliance with Executive Order 10485, as amended by Executive Order 12038.

§ 205.301 Time of filing.

Each application should be made at least six months in advance of the initiation of the proposed electricity export, except when otherwise permitted by the ERA to resolve an emergency situation.

§ 205.302 Contents of application.

Every application shall contain the following information set forth in the order indicated below:

(a) The exact legal name of the applicant.

(b) The exact legal name of all partners.

(c) The name, title, post office address, and telephone number of the person to whom correspondence in regard to the application shall be addressed.

(d) The state or territory under the laws of which the applicant is organized or incorporated, or authorized to operate. If the applicant is authorized to operate in more than one state, all pertinent facts shall be included.

(e) The name and address of any known Federal, State or local government agency which may have any jurisdiction over the action to be taken in this application and a brief description of that authority.

(f) A description of the transmission facilities through which the electric energy will be delivered to the foreign country, including the name of the owners and the location of any remote facilities.

(g) A technical discussion of the proposed electricity export's reliability, fuel use and system stability impact on the applicant's present and prospective electric power supply system. Applicant must explain why the proposed electricity export will not impair the sufficiency of electric supply on its system and why the export will not impede or tend to impede the regional coordination of electric utility planning or operation.

(h) The original application shall be signed and verified under oath by an officer of the applicant having knowledge of the matters set forth therein.

§ 205.303 Required exhibits.

There shall be filed with the application and as a part thereof the following exhibits:

(a) *Exhibit A.* A copy of the agreement or proposed agreement under which the electricity is to be transmitted including a listing of the terms and conditions. If this agreement contains proprietary information that should not be released to the general public, the applicant must identify such data and include a statement explaining why proprietary treatment is appropriate.

(b) *Exhibit B.* A showing, including a signed opinion of counsel, that the proposed export of electricity is within the corporate power of the applicant, and that the applicant has complied or will comply with all pertinent Federal and State laws.

(c) *Exhibit C.* A general map showing the applicant's overall electric system and a detailed map highlighting the location of the facilities or the proposed facilities to be used for the generation and transmission of the electric energy to be exported. The detailed map shall identify the location of the proposed border crossing point(s) or power transfer point(s) by Presidential Permit number whenever possible.

(d) *Exhibit D.* If an applicant resides or has its principal office outside the United States, such applicant shall designate, by irrevocable power of attorney, an agent residing within the United States. A verified copy of such power of attorney shall be furnished with the application.

(e) *Exhibit E.* A statement of any corporate relationship or existing contract between the applicant and any other person, corporation, or foreign government, which in any way relates to the control or fixing of rates for the purchase, sale or transmission of electric energy.

(f) *Exhibit F.* An explanation of the methodology (Operating Procedures) to inform neighboring electric utilities in the United States of the available capacity and energy which may be in excess of the applicant's requirements before delivery of such capacity to the foreign purchaser. Approved firm export, diversity exchange and emergency exports are exempted from this requirement. Those materials required by this section which have been filed previously with the ERA may be incorporated by reference.

§ 205.304 Other information.

Where the application is for authority to export less than 1,000,000 kilowatt hours annually, applicants need not furnish the information called for in §§ 205.302(g) and 205.303 (Exhibit C). Applicants, regardless of the amount of

electric energy to be exported, may be required to furnish such supplemental information as the ERA may deem pertinent.

§ 205.305 Transferability.

(a) An authorization to transmit electric energy from the United States to a foreign country granted by order of the ERA under section 202(e) of the Federal Power Act shall not be transferable or assignable. Provided written notice is given to the ERA within 30 days, the authorization may continue in effect temporarily in the event of the involuntary transfer of this authority by operation of law (including transfers to receivers, trustees, or purchasers under foreclosure or judicial sale). This continuance is contingent on the filing of an application for permanent authorization and may be effective until a decision is made thereon.

(b) In the event of a proposed voluntary transfer of this authority to export electricity, the transferee and the transferor shall file jointly an application pursuant to this subsection, setting forth such information as required by §§ 205.300 through 205.304, together with a statement of reasons for the transfer.

(c) The ERA may at any time subsequent to the original order of authorization, after opportunity for hearing, issue such supplemental orders as it may find necessary or appropriate.

§ 205.306 Authorization not exclusive.

No authorization granted pursuant to section 202(e) of the Act shall be deemed to prevent an authorization from being granted to any other person or entity to export electric energy or to prevent any other person or entity from making application for an export authorization.

§ 205.307 Form and style; number of copies

An original and two conformed copies of an application containing the information required under §§ 205.300 through 205.309 must be filed.

§ 205.308 Filing schedule and annual reports.

(a) Persons authorized to transmit electric energy from the United States shall promptly file all supplements, notices of succession in ownership or operation, notices of cancellation, and certificates of concurrence. In general, these documents should be filed at least 30 days prior to the effective date of any change.

(b) A change in the tariff arrangement does not require an amendment to the authorization. However, any entity with an authorization to export electric energy shall file with the ERA, and the appropriate state regulatory agency, a certified copy of any changed rate schedule and terms. Such changes may take effect upon the date of filing of informational data with the ERA.

(c) Persons receiving authorization to transmit electric energy from the United States shall submit to the ERA, by February 15 each year, a report covering each month of the preceding calendar year detailing the gross amount of kilowatt-hours of energy, by authorized category, received or delivered, and the cost and revenue associated with each category.

(Approved by the Office of Management and Budget under Control No. 1901–0245)

[45 FR 71560, Oct. 28, 1980, as amended at 46 FR 63209, Dec. 31, 1981]

§ 205.309 Filing procedures and fees.

Applications shall be addressed to the Office of Utility Systems of the Economic Regulatory Administration. Every application shall be accompanied by a fee of $500.00. Fee payment shall be by check, draft, or money order payable to the Treasurer of the United States. Copies of applications and notifications of rate changes shall be furnished to the Federal Energy Regulatory Commission and all affected State public utility regulatory agencies.

APPLICATION FOR PRESIDENTIAL PERMIT AUTHORIZING THE CONSTRUCTION, CONNECTION, OPERATION, AND MAINTENANCE OF FACILITIES FOR TRANSMISSION OF ELECTRIC ENERGY AT INTERNATIONAL BOUNDARIES

§ 205.320 Who shall apply.

(a) Any person, firm, co-operative, corporation or other entity who operates an electric power transmission or distribution facility crossing the border of the United States, for the transmission of electric energy between the United States and a foreign country, shall have a Presidential Permit, in compliance with Executive Order 10485, as amended by Executive Order 12038. Such applications should be filed with the Office of Utility Systems of the Economic Regulatory Administration.

NOTE: E.O. 12038, dated February 3, 1978, amended E.O. 10485, dated September 3, 1953, to delete the words ''Federal Power Commission'' and ''Commission'' and substitute for each ''Secretary of Energy.'' E.O. 10485 revoked and superseded E.O. 8202, dated July 13, 1939.

(b) In connection with applications hereunder, attention is directed to the provisions of §§ 205.300 to 205.309, above, concerning applications for authorization to transmit electric energy from the United States to a foreign country pursuant to section 202(e) of the Federal Power Act.

§ 205.321 Time of filing.

Pursuant to the DOE's responsibility under the National Environmental Policy Act, the DOE must make an environmental determination of the proposed action. If, as a result of this determination, an environmental impact statement (EIS) must be prepared, the permit processing time normally will be 18–24 months. If no environmental impact statement is required, then a six-month processing time normally would be sufficient.

§ 205.322 Contents of application.

Every application shall be accompanied by a fee prescribed in § 205.326 of this subpart and shall provide, in the order indicated, the following:

(a) *Information regarding the applicant.*

(1) The legal name of the applicant;

(2) The legal name of all partners;

(3) The name, title, post office address, and telephone number of the person to whom correspondence in regard to the application shall be addressed;

(4) Whether the applicant or its transmission lines are owned wholly or in part by a foreign government or directly or indirectly assisted by a foreign government or instrumentality thereof; or whether the applicant has any agreement pertaining to such ownership by or assistance from any foreign government or instrumentality thereof.

(5) List all existing contracts that the applicant has with any foreign government, or any foreign private concerns, relating to any purchase, sale or delivery of electric energy.

(6) A showing, including a signed opinion of counsel, that the construction, connection, operation, or maintenance of the proposed facility is within the corporate power of the applicant, and that the applicant has complied with or will comply with all pertinent Federal and State laws;

(b) *Information regarding the transmission lines to be covered by the Presidential Permit.* (1)(i) A technical description providing the following information: (A) Number of circuits, with identification as to whether the circuit is overhead or underground; (B) the operating voltage and frequency; and (C) conductor size, type and number of conductors per phase.

(ii) If the proposed interconnection is an overhead line the following additional information must also be provided: (A) The wind and ice loading design parameters; (B) a full description and drawing of a typical supporting structure including strength specifications; (C) structure spacing with typical ruling and maximum spans; (D) conductor (phase) spacing; and (E) the designed line to ground and conductor side clearances.

(iii) If an underground or underwater interconnection is proposed, the following additional information must also be provided: (A) Burial depth; (B) type of cable and a description of any required supporting equipment, such as insulation medium pressurizing or forced cooling; and (C) cathodic protection scheme. Technical diagrams which

provide clarification of any of the above items should be included.

(2) A general area map with a scale not greater than 1 inch = 40 kilometers (1 inch = 25 miles) showing the overall system, and a detailed map at a scale of 1 inch = 8 kilometers (1 inch = 5 miles) showing the physical location, longitude and latitude of the facility on the international border. The map shall indicate ownership of the facilities at or on each side of the border between the United States and the foreign country. The maps, plans, and description of the facilities shall distinguish the facilities or parts thereof already constructed from those to be constructed.

(3) Applications for the bulk power supply facility which is proposed to be operated at 138 kilovolts or higher shall contain the following bulk power system information:

(i) Data regarding the expected power transfer capability, using normal and short time emergency conductor ratings;

(ii) System power flow plots for the applicant's service area for heavy summer and light spring load periods, with and without the proposed international interconnection, for the year the line is scheduled to be placed in service and for the fifth year thereafter. The power flow plots submitted can be in the format customarily used by the utility, but the ERA requires a detailed legend to be included with the power flow plots;

(iii) Data on the line design features for minimizing television and/or radio interference caused by operation of the subject transmission facilities;

(iv) A description of the relay protection scheme, including equipment and proposed functional devices;

(v) After receipt of the system power flow plots, the ERA may require the applicant to furnish system stability analysis for the applicant's system.

(c) Information regarding the environmental impacts shall be provided as follows for each routing alternative:

(1) Statement of the environmental impacts of the proposed facilities including a list of each flood plain, wetland, critical wildlife habitat, navigable waterway crossing, Indian land, or historic site which may be impacted by the proposed facility with a description of proposed activities therein.

(2) A list of any known Historic Places, as specified in 36 CFR part 800, which may be eligible for the National Register of Historic Places.

(3) Details regarding the minimum right-of-way width for construction, operation and maintenance of the transmission lines and the rationale for selecting that right-of-way width.

(4) A list of threatened or endangered wildlife or plant life which may be located in the proposed alternative.

(d) A brief description of all practical alternatives to the proposed facility and a discussion of the general environmental impacts of each alternative.

(e) The original of each application shall be signed and verified under oath by an officer of the applicant, having knowledge of the matters therein set forth.

§ 205.323 Transferability.

(a) Neither a permit issued by the ERA pursuant to Executive Order 10485, as amended, nor the facility shall be transferable or assignable. Provided written notice is given to the ERA within 30 days, the authorization may continue in effect temporarily in the event of the involuntary transfer of the facility by operation of law (including transfers to receivers, trustees, or purchases under foreclosure or judicial sale). This continuance is contingent on the filing of an application for a new permit and may be effective until a decision is made thereon.

(b) In the event of a proposed voluntary transfer of the facility, the permittee and the party to whom the transfer would be made shall file a joint application with the ERA pursuant to this paragraph, setting forth information as required by § 205.320 *et seq.*, together with a statement of reasons for the transfer. The application shall be accompanied by a filing fee pursuant to § 205.326.

(c) No substantial change shall be made in any facility authorized by permit or in the operation thereof unless or until such change has been approved by the ERA.

(d) Permits may be modified or revoked without notice by the President

of the United States, or by the Administrator of the ERA after public notice.

§ 205.324 Form and style; number of copies.

All applicants shall file an original and two conformed copies of the application and all accompanying documents required under §§ 205.320 through 205.327.

§ 205.325 Annual report.

Persons receiving permits to construct, connect, operate or maintain electric transmission facilities at international boundaries shall submit to the ERA, by February 15 each year, a report covering each month of the preceding calendar year, detailing by category the gross amount of kilowatthours of energy received or delivered and the cost and revenue associated with each category.

§ 205.326 Filing procedures and fees.

Applications shall be forwarded to the Office of Utility Systems of the Economic Regulatory Administration and shall be accompanied by a filing fee of $150. The application fee will be charged irrespective of the ERA's disposition of the application. Fee payment shall be by check, draft, or money order payable to the Treasurer of the United States. Copies of applications shall be furnished to the Federal Energy Regulatory Commission and all affected State public utility regulatory agencies.

§ 205.327 Other information.

The applicant may be required after filing the application to furnish such supplemental information as the ERA may deem pertinent. Such requests shall be written and a prompt response will be expected. Protest regarding the supplying of such information should be directed to the Administrator of the ERA.

§ 205.328 Environmental requirements for Presidential Permits—Alternative 1.

(a) *NEPA Compliance.* Except as provided in paragraphs (c) and (e) of this section, when an applicant seeks a Presidential Permit, such applicant will be responsible for the costs of preparing any necessary environmental document, including an Environmental Impact Statement (EIS), arising from ERA's obligation to comply with the National Environmental Policy Act of 1969 (NEPA). ERA will determine whether an environmental assessment (EA) or EIS is required within 45 days of the receipt of the Presidential Permit application and of environmental information submitted pursuant to 10 CFR 205.322 (c) and (d). ERA will use these and other sources of information as the basis for making the environmental determination:

(1) If an EIS is determined to be necessary, the applicant shall enter into a contract with an independent third party, which may be a Government-owned, contractor-operated National Laboratory, or a qualified private entity selected by ERA. The third party contractor must be qualified to conduct an environmental review and prepare an EIS, as appropriate, under the supervision of ERA, and may not have a financial or other interest in the outcome of the proceedings. The NEPA process must be completed and approved before ERA will issue a Presidential Permit.

(2) If an EA is determined to be necessary, the applicant may be permitted to prepare an environmental assessment pursuant to 10 CFR 1506.5(b) for review and adoption by ERA, or the applicant may enter into a third party contract as set forth in this section.

(b) *Environmental Review Procedure.* Except as provided in paragraphs (c) and (e) of this section, environmental documents, including the EIS, where necessary, will be prepared utilizing the process set forth above. ERA, the applicant, and the independent third party, which may be a Government-owned, contractor-operated National Laboratory or a private entity, shall enter into an agreement in which the applicant will engage and pay directly for the services of the qualified third party to prepare the necessary environmental documents. The agreement shall outline the responsibilities of each party and its relationship to the other two parties regarding the work to be done or supervised. ERA shall approve the information to be developed and supervise the gathering, analysis

and presentation of the information. In addition, ERA will have the authority to approve and modify any statement, analysis, and conclusion contained in the environmental documents prepared by the third party. Before commencing preparation of the environmental document the third party will execute an ERA-prepared disclosure document stating that it does not have any conflict of interest, financial or otherwise, in the outcome of either the environmental process or the Permit application.

(c) *Financial Hardship.* Whenever ERA determines that a project is no longer economically feasible, or that a substantial financial burden would be imposed by the applicant bearing all of the costs of the NEPA studies, ERA may waive the requirement set forth in paragraphs (a) and (b) of this section and perform the necessary environmental review, completely or in part, with its own resources.

(d) *Discussions Prior to Filing.* Prior to the preparation of any Presidential Permit application and environmental report, a potential applicant is encouraged to contact ERA and each affected State public utility regulatory agency to discuss the scope of the proposed project and the potential for joint State and Federal environmental review.

(e) *Federal Exemption.* Upon a showing by the applicant that it is engaged in the transaction of official business of the Federal Government in filing the application pursuant to 10 CFR 205.320 *et seq.*, it will be exempt from the requirements of this section.

[48 FR 33819, July 25, 1983]

§ 205.329 Environmental requirements for Presidential Permits—Alternative 2.

(a) *NEPA Compliance.* Except as provided in paragraph (b) and (e) of this section, applicants seeking Presidential Permits will be financially responsible for the expenses of any contractor chosen by ERA to prepare any necessary environmental document arising from ERA's obligation to comply with the National Environmental Policy Act of 1969 (NEPA) in issuing such Presidential Permits:

(1) ERA will determine whether an Environmental Impact Statement (EIS) or an Environmental Assessment (EA) is required within 45 days of receipt of the Presidential Permit application and of the environmental information submitted pursuant to 10 CFR 205.322 (c) and (d). ERA will use these and other sources of information as the basis for making the environmental determination.

(2) If an EIS is determined to be necessary, ERA will notify the applicant of the fee for completing the EIS within 90 days after the submission of the application and environmental information. The fee shall be based on the expenses estimated to be incurred by DOE in contracting to prepare the EIS (*i.e.*, the estimated fee charges to ERA by the contractor). DOE employee salaries and other fixed costs, as set forth in OMB Circular A–25, shall not be included in the applicant's fee. Fee payment shall be by check, draft, or money order payable to the Treasurer of the United States, and shall be submitted to ERA. Upon submission of fifty percent of the environmental fee, ERA will provide to the applicant a tentative schedule for completion of the EIS.

(3) If an EA is determined to be necessary, the applicant may be permitted to prepare an environmental assessment pursuant to 40 CFR 1506.5(b) for review and adoption by ERA, or the applicant may choose to have ERA prepare the EA pursuant to the fee procedures set forth above.

(4) The NEPA process must be completed and approved before ERA will issue a Presidential Permit.

(b) *Financial Hardship.* Whenever ERA determines that a project is no longer economically feasible, or that a substantial financial burden would be imposed by the applicant bearing all of the costs of the NEPA studies, ERA may waive the requirement set forth in paragraphs (a) and (b) of this section and perform the necessary environmental review, completely or in part, with its own resources.

(c) *Discussions Prior to Filing.* Prior to the preparation of any Presidential Permit application and environmental

assessment, a potential applicant is encouraged to contact ERA and each affected State public utility regulatory agency to discuss the scope of the proposed project and the potential for joint State and Federal environmental review.

(d) *Fee Payment.* The applicant shall make fee payment for completing the EIS to ERA in the following manner:

(1) 50 percent of the total amount due to be paid within 30 days of receipt of the fee information from DOE;

(2) 25 percent to be paid upon publication of the draft EIS; and

(3) 25 percent to be paid upon publication of the final EIS.

If costs are less than the amount collected, ERA will refund to the applicant the excess fee collected. If costs exceed the initial fee, ERA will fund the balance, unless the increase in costs is caused by actions or inactions of the applicant, such as the applicant's failure to submit necessary environmental information in a timely fashion. If the application is withdrawn at any stage prior to issuance of the final EIS, the fee will be adjusted to reflect the costs actually incurred; payment shall be made by the applicant within 30 days of above referenced events.

(e) *Federal Exemption.* Upon a showing by the applicant that it is engaged in the transaction of official business of the Federal Government in filing an application pursuant to 10 CFR 205.320 *et seq.*, it will be exempt from the requirements of this section.

[48 FR 33820, July 25, 1983]

REPORT OF MAJOR ELECTRIC UTILITY SYSTEM EMERGENCIES

AUTHORITY: Department of Energy Organization Act, Pub. L. 95–91 (42 U.S.C. 7101); Federal Power Act, Pub. L. 66–280 (16 U.S.C. 791 *et seq.*)

SOURCE: Sections 205.350 through 205.353 appear at 51 FR 39745, Oct. 31, 1986, unless otherwise noted.

§ 205.350 General purpose.

The purpose of this rule is to establish a procedure for the Office of International Affairs and Energy Emergencies (IE) to obtain current information regarding emergency situations on the electric energy supply systems in the United States so that appropriate Federal emergency response measures can be implemented in a timely and effective manner. The data also may be utilized in developing legislative recommendations and reports to the Congress.

(Approved by the Office of Management and Budget under control number 1901–0288)

§ 205.351 Reporting requirements.

For the purpose of this section, a report or a part of a report may be made jointly by two or more entities. Every electric utility or other entity engaged in the generation, transmission or distribution of electric energy for delivery and/or sale to the public shall report promptly, through the DOE Emergency Operations Center, by telephone, the occurrence of any event such as described in paragraphs (a) through (d) of this section. These reporting procedures are mandatory. Entities that fail to comply within 24 hours will be contacted and reminded of their reporting obligation.

(a) *Loss of Firm System Loads,* caused by:

(1) Any load shedding actions resulting in the reduction of over 100 megawatts (MW) of *firm* customer load for reasons of maintaining the *continuity* of the bulk electric power supply system.

(2) Equipment failures/system operational actions attributable to the loss of *firm* system loads for a period in excess of 15 minutes, as described below:

(i) Reports from entities with a previous year recorded peak load of over 3000 MW are required for all such losses of *firm* loads which total over 300 MW.

(ii) Reports from all other entities are required for all such losses of *firm* loads which total over 200 MW or 50 percent of the system load being supplied immediately prior to the incident, whichever is less.

(3) Other events or occurrences which result in a continuous interruption for 3 hours or longer to over 50,000 customers, or more than 50 percent of the total customers being served immediately prior to the interruption, whichever is less.

(b) *Voltage Reductions or Public Appeals:*

(1) Reports are required for any anticipated or actual system voltage reductions of 3 percent or greater for purposes of maintaining the *continuity* of the bulk electric power supply system.

(2) Reports are required for any issuance of a public appeal to reduce the use of electricity for purposes of maintaining the *continuity* of the bulk electric power system.

(c) *Vulnerabilities that could Impact System Reliability:*

(1) Reports are required for any actual or suspected act(s) of physical sabotage (not vandalism) or terrorism directed at an electric power supply system, local or regional, in an attempt to either:

(i) Disrupt or degrade the service reliability of the local or regional bulk electric power supply system, or

(ii) Disrupt, degrade, or deny bulk electric power service to:

(A) A specific facility (industrial, military, governmental, private), or

(B) A specific service (transportation, communications), or

(C) A specific locality (town, city, county).

(2) Reports are required for any abnormal emergency system operating condition(s) or other event(s) which in the judgment of the reporting entity could or would constitute a hazard to maintaining the *continuity* of the bulk electric power supply system. Examples will be provided in the DOE pamphlet on reporting procedures.

(d) *Fuel Supply Emergencies:*

(1) Reports are required for any anticipated or existing fuel supply emergency situation which would threaten the *continuity* of the bulk electric power supply system, such as:

(i) Fuel stocks or hydro project water storage levels are at 50 percent (or less) of normal for that time of the year, and a continued downward trend is projected.

(ii) Unscheduled emergency generation is dispatched causing an abnormal use of a particular fuel type, such that the future supply or stocks of that fuel could reach a level which threatens the reliability or adequacy of electric service.

(Approved by the Office of Management and Budget under control number 1901–0288)

§ 205.352 Information to be reported.

The emergency situation data shall be supplied to the DOE Emergency Operations Center in accordance with the current DOE pamphlet on reporting procedures. The initial report shall include the utility name; the area affected; the time of occurrence of the initiating event; the duration or an estimate of the likely duration; an estimate of the number of customers and amount of load involved; and whether any known critical services such as hospitals, military installations, pumping stations or air traffic control systems, were or are interrupted. To the extent known or reasonably suspected, the report shall include a description of the events initiating the disturbance. The DOE may require further clarification during or after restoration of service.

(Approved by the Office of Management and Budget under control number 1901–0288)

§ 205.353 Special investigation and reports.

If directed by the Director, Office of Energy Emergency Operations in writing and noticed in the FEDERAL REGISTER, a utility or other subject entity experiencing a condition described in § 205.351 above shall submit a full report of the technical circumstances surrounding a specific power system disturbance, including the restoration procedures utilized. The report shall be filed at such times as may be directed by the Director, Office of Energy Emergency Operations.

(Approved by the Office of Management and Budget under control number 1901–0288)

EMERGENCY INTERCONNECTION OF ELECTRIC FACILITIES AND THE TRANSFER OF ELECTRICITY TO ALLEVIATE AN EMERGENCY SHORTAGE OF ELECTRIC POWER

AUTHORITY: Department of Energy Organization Act, Pub. L. 95–91, 91 Stat. 565 (42 U.S.C. 7101). Federal Power Act, Pub. L. 66–280, 41 Stat. 1063 (16 U.S.C. 791(a))

SOURCE: Sections 205.370 through 205.379 appear at 46 FR 39987, Aug. 6, 1981, unless otherwise noted.

§ 205.370 Applicability.

Sections 202(c) and 202(d) of the Federal Power Act are applicable to any ''entity'' which owns or operates electric power generation, transmission or distribution facilities. An ''entity'' is a private or public corporation (utility), a governmental agency, a municipality, a cooperative or a lawful association of the foregoing. Under this section, the DOE has the authority to order the temporary connection of facilities, or the generation or delivery of electricity, which it deems necessary to alleviate an emergency. Such orders shall be effective for the time specified and will be subject to the terms and conditions the DOE specifies. The DOE retains the right to cancel, modify or otherwise change any order, with or without notice, hearing, or report. Requests for action under these regulations will be accepted from any ''entity,'' State Public Utility Commission, State Energy Agency, or State Governor. Actions under these regulations also may be initiated by the DOE on its own motion. Orders under this authority may be made effective without prior notice.

§ 205.371 Definition of emergency.

''Emergency,'' as used herein, is defined as an unexpected inadequate supply of electric energy which may result from the unexpected outage or breakdown of facilities for the generation, transmission or distribution of electric power. Such events may be the result of weather conditions, acts of God, or unforeseen occurrences not reasonably within the power of the affected ''entity'' to prevent. An emergency also can result from a sudden increase in customer demand, an inability to obtain adequate amounts of the necessary fuels to generate electricity, or a regulatory action which prohibits the use of certain electric power supply facilities. Actions under this authority are envisioned as meeting a specific inadequate power supply situation. Extended periods of insufficient power supply as a result of inadequate planning or the failure to construct necessary facilities can result in an emergency as contemplated in these regulations. In such cases, the impacted ''entity'' will be expected to make firm arrangements to resolve the problem until new facilities become available, so that a continuing emergency order is not needed. Situations where a shortage of electric energy is projected due solely to the failure of parties to agree to terms, conditions or other economic factors relating to service, generally will not be considered as emergencies unless the inability to supply electric service is imminent. Where an electricity outage or service inadequacy qualifies for a section 202(c) order, contractual difficulties alone will not be sufficient to preclude the issuance of an emergency order.

§ 205.372 Filing procedures; number of copies.

An original and two conformed copies of the applications and reports required under §§ 205.370 through 205.379 shall be filed with the Division of Power Supply and Reliability, Department of Energy. Copies of all documents also shall be served on:

(a) The Federal Energy Regulatory Commission;

(b) Any State Regulatory Agency having responsibility for service standards, or rates of the ''entities'' that are affected by the requested order;

(c) Each ''entity'' suggested as a potential source for the requested emergency assistance;

(d) Any ''entity'' that may be a potential supplier of transmission services;

(e) All other ''entities'' not covered under paragraphs (c) and (d) of this section which may be directly affected by the requested order; and

(f) The appropriate Regional Reliability Council.

§ 205.373 Application procedures.

Every application for an emergency order shall set forth the following information as required. This information shall be considered by the DOE in determining that an emergency exists and in deciding to issue an order pursuant to sections 202(c) and 202(d) of the Federal Power Act.

(a) The exact legal name of the applicant and of all other ''entities'' named in the application.

(b) The name, title, post office address, and telephone number of the person to whom correspondence in regard to the application shall be addressed.

(c) The political subdivision in which each ''entity'' named in the application operates, together with a brief description of the area served and the business conducted in each location.

(d) Each application for a section 202(c) order shall include the following baseline data:

(1) Daily peak load and energy requirements for each of the past 30 days and projections for each day of the expected duration of the emergency;

(2) All capacity and energy receipts or deliveries to other electric utilities for each of the past 30 days, indicating the classification for each transaction;

(3) The status of all interruptible customers for each of the past 30 days and the anticipated status of these customers for each day of the expected duration of the emergency, assuming both the granting and the denial of the relief requested herein;

(4) All scheduled capacity and energy receipts or deliveries to other electric utilities for each day of the expected duration of the emergency.

(e) A description of the situation and a discussion of why this is an emergency, including any necessary background information. This should include any contingency plan of the applicant and the current level of implementation.

(f) A showing that adequate electric service to firm customers cannot be maintained without additional power transfers.

(g) A description of any conservation or load reduction actions that have been implemented. A discussion of the achieved or expected results or these actions should be included.

(h) A description of efforts made to obtain additional power through voluntary means and the results of such efforts; and a showing that the potential sources of power and/or transmission services designated pursuant to paragraphs (i) through (k) of this section informed that the applicant believed that an emergency existed within the meaning of § 205.371.

(i) A listing of proposed sources and amounts of power necessary from each source to alleviate the emergency and a listing of any other ''entities'' that may be directly affected by the requested order.

(j) Specific proposals to compensate the supplying ''entities'' for the emergency services requested and to compensate any transmitting ''entities'' for services necessary to deliver such power.

(k) A showing that, to the best of the applicant's knowledge, the requested relief will not unreasonably impair the reliability of any ''entity'' directly affected by the requested order to render adequate service to its customers.

(l) Description of the facilities to be used to transfer the requested emergency service to the applicant's system.

(1) If a temporary interconnection under the provisions of section 202(c) is proposed independently, the following additional information shall be supplied for each such interconnection:

(i) Proposed location;

(ii) Required thermal capacity or power transfer capability of the interconnection;

(iii) Type of emergency services requested, including anticipated duration;

(iv) An electrical one line diagram;

(v) A description of all necessary materials and equipment; and

(vi) The projected length of time necessary to complete the interconnection.

(2) If the requested emergency assistance is to be supplied over existing facilities, the following information shall be supplied for each existing interconnection:

(i) Location;

(ii) Thermal capacity of power transfer capability of interconnection facilities; and

(iii) Type and duration of emergency services requested.

(m) A general or key map on a scale not greater than 100 kilometers to the centimeter showing, in separate colors, the territory serviced by each ''entity'' named in the application; the location of the facilities to be used for the generation and transmission of the requested emergency service; and all connection points between systems.

(n) An estimate of the construction costs of any proposed temporary facilities and a statement estimating the expected operation and maintenance costs on an annualized basis. (Not required on section 202(d) applications.)

(o) Applicants may be required to furnish such supplemental information as the DOE may deem pertinent.

§ 205.374 Responses from "entities" designated in the application.

Each ''entity'' designated as a potential source of emergency assistance or as a potential supplier of transmission services and which has received a copy of the application under § 205.373, shall have three (3) calendar days from the time of receipt of the application to file the information designated below with the DOE. The DOE will grant extensions of the filing period when appropriate. The designated ''entities'' shall provide an analysis of the impact the requested action would have on its system reliability and its ability to supply its own interruptible and firm customers. The effects of the requested action on the ability to serve firm loads shall be clearly distinguished from the ability to serve contractually interruptible loads. The designated ''entity'' also may provide other information relevant to the requested action, which is not included in the reliability analysis. Copies of any response shall be provided to the applicant, the Federal Energy Regulatory Commission, any State Regulatory Agency having responsibility for service standards or rates of any ''entity'' that may be directly involved in the proposed action, and the appropriate Regional Electric Reliability Council. Pursuant to section 202(c) of the Federal Power Act, DOE may issue an emergency order even though a designated ''entity'' has failed to file a timely response.

§ 205.375 Guidelines defining inadequate fuel or energy supply.

An inadequate utility system fuel inventory or energy supply is a matter of managerial and engineering judgment based on such factors as fuels in stock, fuels en route, transportation time, and constraints on available storage facilities. A system may be considered to have an inadequate fuel or energy supply capability when, combined with other conditions, the projected energy deficiency upon the applicant's system without emergency action by the DOE, will equal or exceed 10 percent of the applicant's then normal daily net energy for load, or will cause the applicant to be unable to meet its normal peak load requirements based upon use of all of its otherwise available resources so that it is unable to supply adequate electric service to its ultimate customers. The following conditions will be considered in determining that a system has inadequate fuel or energy supply capability:

(1) System coal stocks are reduced to 30 days (or less) of normal burn days and a continued downward trend in stock is projected;

(2) System residual oil stocks are reduced to 15 days (or less) of normal burn days and a continued downward trend in stocks is projected;

(3) System distillate oil stocks which cannot be replaced by alternate fuels are reduced to 15 days (or less) of normal burn days and a continued downward trend in stocks is projected;

(4) System natural gas deliveries which cannot be replaced by alternate fuels have been or will be reduced 20 percent below normal requirements and no improvement in natural gas deliveries is projected within 30 days;

(5) Delays in nuclear fuel deliveries will extend a scheduled refueling shutdown by more than 30 days; and

(6) Water supplies required for power generation have been reduced to the level where the future adequacy of the power supply may be endangered and no near term improvement in water supplies is projected.

The use of the prescribed criteria does not preclude an applicant from claiming the existence of an emergency when its stocks of fuel or water exceed the amounts and time frames specified above.

§ 205.376 Rates and charges.

The applicant and the generating or transmitting systems from which emergency service is requested are encouraged to utilize the rates and charges contained in approved existing rate schedules or to negotiate mutually satisfactory rates for the proposed

transactions. In the event that the DOE determines that an emergency exists under section 202(c), and the ''entities'' are unable to agree on the rates to be charged, the DOE shall prescribe the conditions of service and refer the rate issues to the Federal Energy Regulatory Commission for determination by that agency in accordance with its standards and procedures.

§ 205.377 Reports.

In addition to the information specified below, the DOE may require additional reports as it deems necessary.

(a) Where the DOE has authorized the temporary connection of transmission facilities, all ''entities'' whose transmission facilities are thus temporarily interconnected shall report the following information to the DOE within 15 days following completion of the interconnection:

(1) The date the temporary interconnection was completed;

(2) The location of the interconnection;

(3) A description of the interconnection; and

(4) A one-line electric diagram of the interconnection.

(b) Where the DOE orders the transfer of power, the ''entity'' receiving such service shall report the following information to the DOE by the 10th of each month for the preceding month's activity for as long as such order shall remain in effect:

(1) Amounts of capacity and/or energy received each day;

(2) The name of the supplier;

(3) The name of any ''entity'' supplying transmission services; and

(4) Preliminary estimates of the associated costs.

(c) Where the DOE has approved the installation of permanent facilities that will be used only during emergencies, any use of such facilities shall be reported to the DOE within 24 hours. Details of such usage shall be furnished as deemed appropriate by the DOE after such notification.

(d) Any substantial change in the information provided under § 205.373 shall be promptly reported to the DOE.

(Approved by the Office of Management and Budget under Control No. 1904–0066)

[46 FR 39989, Aug. 6, 1981, as amended at 46 FR 63209, Dec. 31, 1981]

§ 205.378 Disconnection of temporary facilities.

Upon the termination of any emergency for the mitigation of which the DOE ordered the construction of temporary facilities, such facilities shall be disconnected and any temporary construction removed or otherwise disposed of, unless application is made as provided in § 205.379 for permanent connection for emergency use. This disconnection and removal of temporary facilities shall be accomplished within 30 days of the termination of the emergency unless an extension is granted by the DOE. The DOE shall be notified promptly when such removal of facilities is completed.

§ 205.379 Application for approval of the installation of permanent facilities for emergency use only.

Application for DOE approval of a permanent connection for emergency use only shall conform with the requirements in § 205.373. However, the baseline data specified in § 205.373(d) need not be included in an application made under this section. In addition, the application shall state in full the reasons why such permanent connection for emergency use is in the public interest.

INTERNAL PROCEDURES FOR ISSUANCE OF A GRID SECURITY EMERGENCY ORDER

SOURCE: Sections 205.380 through 205.391 were added at 83 FR 1180, Jan. 10, 2018, unless otherwise noted.

§ 205.380 Definitions.

As used in this subpart:

Bulk-power system means the same as the definition of such term in paragraph (1) of section 215(a) of the Federal Power Act.

Critical electric infrastructure means the same as the definition of such term in paragraph (2) of section 215A(a) of the Federal Power Act.

Defense critical electric infrastructure means the same as the definition of such term in paragraph (4) of section 215A(a) of the Federal Power Act.

Department means the United States Department of Energy.

Electric Reliability Organization means the same as the definition of such term in paragraph (2) of section 215(a) of the Federal Power Act.

Electricity Information Sharing and Analysis Center (E–ISAC) means the organization, operated on behalf of the electricity subsector by the Electric Reliability Organization, that gathers and analyzes security information, coordinates incident management, and communicates mitigation strategies with stakeholders within the electricity subsector, across interdependent sectors, and with government partners. The E–ISAC, in collaboration with the Department of Energy and the Electricity Subsector Coordinating Council, serves as the primary security communications channel for the electricity subsector and enhances the subsector's ability to prepare for and respond to cyber and physical threats, vulnerabilities, and incidents.

Electricity subsector means both commercial and industrial actors who generate and deliver electric power.

Electricity Subsector Coordinating Council (ESCC) means the organization that aims to foster and facilitate the coordination of sector-wide, policy-related activities and initiatives designed to improve the reliability and resilience of the electricity subsector, including physical and cyber security infrastructure.

Electromagnetic pulse means the same as the definition of such term in paragraph (5) of section 215A(a) of the Federal Power Act.

Emergency & Incident Management Council (EIMC) means the organization, internal to the Department of Energy and chaired by the Deputy Secretary of Energy, designed to increase cooperation and coordination across the Department to prepare for, mitigate, respond to, and recover from emergencies.

Emergency measures means measures necessary in the judgment of the Secretary to protect or restore the reliability of critical electric infrastructure or of defense critical electric infrastructure during a grid security emergency as defined in section 215A(a) of the Federal Power Act.

Emergency order means an order for emergency measures under section 215A(b) of the Federal Power Act.

Geomagnetic storm means a temporary disturbance of the Earth's magnetic field resulting from solar activity.

Grid security emergency means the same as the definition of such term in paragraph (7) of section 215A(a) of the Federal Power Act. A grid security emergency is ''declared'' once the President of the United States has issued and provided to the Secretary a written directive or determination identifying the emergency.

Regional entity means an entity having enforcement authority under section 215(e)(4) of the Federal Power Act, 16 U.S.C. 824o(e)(4).

Secretary means the Secretary of Energy.

§ 205.381 Applicability of emergency orders.

An order for emergency measures under section 215A(b) of the Federal Power Act (emergency order) may apply to the Electric Reliability Organization, a regional entity or entities, or any owner, user, or operator of critical electric infrastructure or of defense critical electric infrastructure within the United States. Emergency measures may be issued if deemed necessary in the judgment of the Secretary to protect or restore the reliability of critical electric infrastructure or of defense critical electric infrastructure during a presidentially-declared grid security emergency.

§ 205.382 Issuing an emergency order.

(a) The Secretary will use the procedures outlined in this section in issuing emergency orders, unless the Secretary determines that alternative procedures are more appropriate for the unique circumstances presented by the emergency. In all instances, the Secretary has final authority on the procedures to be used in issuing an emergency order.

(b) Upon the Department's receipt of the President's written directive or determination identifying a grid security

emergency, the Emergency & Incident Management Council (EIMC) will convene at least one emergency meeting. Resulting from this meeting, the EIMC's responsibilities will include, but not be limited to:

(1) Assigning consultation and situational awareness tasks;

(2) Creating ad hoc task groups;

(3) Assigning recommendation development tasks to the ad hoc task groups it has created; and

(4) Presenting its recommendations to the Secretary as expeditiously as possible and practicable.

(c) Following receipt of the EIMC's recommendations, unless the Secretary has determined alternative procedures are appropriate, the Secretary will issue an emergency order as quickly as the Secretary determines that the situation requires.

§ 205.383 Consultation.

(a) To obtain information related to a particular grid security emergency and recommended emergency measures from those government entities, electric reliability organizations, and private sector companies, and their respective associations where applicable, affected by the emergency, the office that is delegated the authority by the Secretary will conduct consultation related to each emergency order. Before an emergency order is put into effect and, to the extent practicable in light of the nature of the grid security emergency and the urgency of the need for action, efforts will be made to consult with at least the following, as appropriate:

(1) The Electricity Subsector Coordinating Council;

(2) The Electricity Information Sharing and Analysis Center;

(3) The Electric Reliability Organization;

(4) Regional entities; and

(5) Owners, users, or operators of critical electric infrastructure or of defense critical electric infrastructure within the United States; and

(6) At least the following government entities:

(i) Authorities in the government of Canada;

(ii) Authorities in the government of Mexico;

(iii) Appropriate Federal and State agencies including, but not limited to, those supporting Emergency Support Function No. 12;

(iv) The Federal Energy Regulatory Commission; and

(v) The Nuclear Regulatory Commission.

(b) The Department recognizes the expertise of electric grid owners and operators and other consulted entities in seeking to ensure that emergency orders result in the safe and effective operation of the electric grid, align with additional priorities including evidence collection, and comply with existing regulatory requirements, where required. The Department will endeavor, to the extent practicable, to conduct consultation in alignment with the existing Emergency Support Function No. 12 structure and established emergency management processes under the National Response Framework.

[83 FR 1180, Jan. 10, 2018, as amended at 85 FR 3232, Jan. 21, 2020]

§ 205.384 Communication of orders.

The Department will communicate the contents of an emergency order to the entities subject to the order, utilizing the most expedient form or forms of communication under the circumstances. The Department will attempt to conduct communication of emergency orders in alignment with the existing Emergency Support Function No. 12 structure and established emergency management procedures under the National Response Framework by relying on existing coordinating bodies, such as the ESCC and the E–ISAC, and, recognizing the existence of established crisis communication procedures, any other form or forms of communication most expedient under the particular circumstances. To the extent practicable under the particular circumstances, efforts will be made to declassify eligible information to ensure maximum distribution.

§ 205.385 Clarification or reconsideration.

(a) Any entity subject to an emergency order may request clarification or reconsideration of the emergency

order. All such requests must be submitted in writing to the Secretary. The Department will post all such requests on the DOE website consistent with 10 CFR part 1004. To the extent the ordered entity believes the grid security emergency order lacks necessary clarity for implementation, or conflicts with the technically feasible operations of the electric grid or existing regulatory requirements, the ordered entity should seek immediate clarification from the Department.

(b) Upon receipt of a request for clarification or reconsideration, the Secretary may, in his or her sole discretion, order a stay of the emergency order for which such clarification or rehearing is sought. The Secretary will act as soon as practicable on each request, with or without further proceedings. Such responsive actions may include granting or denying the request or abrogating or modifying the order, in whole or in part.

§ 205.386 Temporary access to classified and sensitive information.

(a) To the extent practicable, and consistent with obligations to protect classified and sensitive information, the Secretary may provide temporary access to classified and sensitive information, at the level necessary in light of the conditions of the incident, related to a grid security emergency for which emergency measures are issued to key personnel of any entity subject to such emergency measures, to the extent the Secretary deems necessary under the circumstances. The purpose of this access, as defined under section 215A(b)(7) of the Federal Power Act, is to enable optimum communication between the entity and the Secretary and other appropriate Federal agencies regarding the grid security emergency.

(b) CEII will be shared, where deemed necessary by the Secretary, in accordance with 10 CFR part 1004.

§ 205.387 Tracking compliance.

Beginning at the time the Secretary issues an emergency order, the Department may, at the discretion of the Secretary, require the entity or entities subject to an emergency order to provide a detailed account of actions taken to comply with the terms of the emergency order.

§ 205.388 Enforcement.

In accordance with available enforcement authorities, the Secretary may take or seek enforcement action against any entity subject to an emergency order who fails to comply with the terms of that emergency order.

§ 205.389 Rehearing and judicial review.

The procedures of Part III of the Federal Power Act apply to motions for rehearing of an emergency order. A request for clarification or reconsideration filed under § 205.385 of this subpart, if the filling entity so designates, may serve as a request for rehearing pursuant to section 313(a) of the Federal Power Act.

§ 205.390 Liability exemptions.

(a) To the extent any action or omission taken by an entity that is necessary to comply with an emergency order issued pursuant to section 215A(b)(1) of the Federal Power Act and this Part, including any action or omission taken to voluntarily comply with such order, results in noncompliance with, or causes such entity not to comply with any rule, order, regulation, or provision of or under the Federal Power Act, including any reliability standard approved by the Federal Energy Regulatory Commission pursuant to section 215 of the Federal Power Act, the Department will not consider such action or omission to be a violation of such rule, order, regulation, or provision.

(b) The Department will treat an action or omission by an owner, operator, or user of critical electric infrastructure or of defense critical electric infrastructure to comply with an emergency order issued pursuant to section 215A(b)(1) of the Federal Power Act as the functional equivalent of an action or omission taken to comply with an order issued under section 202(c) of the Federal Power Act for purposes of section 202(c).

(c) The liability exemptions specified in paragraphs (a) and (b) of this section do not apply to an entity that, in the course of complying with an emergency

order by taking an action or omission for which the entity would otherwise be liable, takes such action or omission in a grossly negligent manner.

§ 205.391 Termination of an emergency order.

(a) An emergency order will expire no later than 15 days after its issuance. The Secretary may reissue an emergency order for subsequent periods, not to exceed 15 days for each such period, provided that the President, for each such period, issues and provides to the Secretary a written directive or determination that the grid security emergency for which the Secretary intends to reissue an emergency order continues to exist or that the emergency measures continue to be required.

(b) The Secretary may rescind an emergency order after finding that the grid security emergency for which that order was issued has ended, and that protective or mitigation measures required by that order have been sufficiently taken.

(c) An entity or entities subject to an emergency order issued under this subpart may, at any time, request termination of the emergency order by demonstrating, in a petition to the Secretary, that the emergency no longer exists and that protective or mitigation measures required by the order have been sufficiently taken.

PART 207—COLLECTION OF INFORMATION

Subpart A—Collection of Information Under the Energy Supply and Environmental Coordination Act of 1974

Sec.

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AUTHORITY: 15 U.S.C. 787 *et seq.;* 15 U.S.C. 791 *et seq.;* E.O. 11790, 39 FR 23185; 28 U.S.C. 2461 note.

SOURCE: 40 FR 18409, Apr. 28, 1975, unless otherwise noted.

Subpart A—Collection of Information Under the Energy Supply and Environmental Coordination Act of 1974

§ 207.1 Purpose.

The purpose of this subpart is to set forth the manner in which energy information which the Administrator is authorized to obtain by sections 11 (a) and (b) of ESECA will be collected.

§ 207.2 Definitions.

As used in this subpart:

Administrator means the Federal Energy Administrator of his delegate.

Energy information includes all information in whatever form on (1) fuel reserves, exploration, extraction, and energy resources (including petrochemical feedstocks) wherever located; (2) production, distribution, and consumption of energy and fuels, wherever carried on; and (3) matters relating to energy and fuels such as corporate structure and proprietary relationships, costs, prices, capital investment, and assets, and other matters directly related thereto, wherever they exist.

ESECA means the Energy Supply and Environmental Coordination Act of 1974 (Pub. L. 93–319).

EPAA means the Emergency Petroleum Allocation Act of 1973 (Pub. L. 93–159).

DOE means the Department of Energy.

Person means any natural person, corporation, partnership, association, consortium, or any entity organized for a common business purpose, wherever situated, domiciled, or doing business, who directly or through other persons subject to their control does business in any part of the United States.

United States, when used in the geographical sense, means the States, the District of Columbia, Puerto Rico, and the territories and possessions of the United States.

§ 207.3 Method of collecting energy information under ESECA.

(a) Whenever the Administrator determines that:

(1) Certain energy information is necessary to assist in the formulation of energy policy or to carry out the purposes of the ESECA of the EPAA; and

(2) Such energy information is not available to DOE under the authority of statutes other than ESECA or that such energy information should, as a matter of discretion, be collected under the authority of ESECA;

He shall require reports of such information to be submitted to DOE at least every ninety calendar days.

(b) The Administrator may require such reports of any person who is engaged in the production, processing, refining, transportation by pipeline, or distribution (at other than the retail level) of energy resources.

(c) The Administrator may require such reports by rule, order, questionnaire, or such other means as he determines appropriate.

(d) Whenever reports of energy information are requested under this subpart, the rule, order, questionnaire, or other means requesting such reports shall contain (or be accompanied by) a recital that such reports are being requested under the authority of ESECA.

(e) In addition to requiring reports, the Administrator may, at his discretion, in order to obtain energy information under the authority of ESECA:

(1) Sign and issue subpoenas in accordance with the provisions of §205.8 of this chapter for the attendance and testimony of witnesses and the production of books, records, papers, and other documents;

(2) Require any person, by rule or order, to submit answers in writing to interrogatories, requests for reports or for other information, with such answers or other submissions made within such reasonable period as is specified in the rule or order, and under oath; and

(3) Administer oaths.

Any such subpoena or rule or order shall contain (or be accompanied by) a recital that energy information is requested under the authority of ESECA.

(f) For the purpose of verifying the accuracy of any energy information requested, acquired, or collected by the DOE, the Administrator, or any officer or employee duly designated by him, upon presenting appropriate credentials and a written notice from the Administrator to the owner, operator, or agent in charge, may—

(1) Enter, at reasonable times, any business premise of facility; and

(2) Inspect, at reasonable times and in a reasonable manner, any such premise or facility, inventory and sample any stock of energy resources therein, and examine and copy books, records, papers, or other documents, relating to any such energy information.

Such written notice shall reasonably describe the premise or facility to be inspected, the stock to be inventoried or sampled, or the books, records, papers or other documents to be examined or copied.

§ 207.4 Confidentiality of energy information.

(a) Information obtained by the DOE under authority of ESECA shall be available to the public in accordance with the provisions of part 202 of this chapter. Upon a showing satisfactory to the Administrator by any person that any energy information obtained under this subpart from such person would, if made public, divulge methods or processes entitled to protection as trade secrets or other proprietary information of such person, such information, or portion thereof, shall be deemed confidential in accordance with the provisions of section 1905 of title 18, United States Code; except that such information, or part thereof, shall not be deemed confidential pursuant to that section for purposes of disclosure, upon request, to (1) any delegate of the DOE for the purpose of carrying out ESECA or the EPAA, (2) the Attorney General, the Secretary of the Interior, the Federal Trade Commission, the Federal Power Commission, or the General Accounting Office, when necessary to carry out those agencies' duties and responsibilities under ESECA and other statutes, and (3) the Congress, or any Committee of Congress upon request of the Chairman.

(b) Whenever the Administrator requests reports of energy information under this subpart, he may specify (in the rule, order or questionnaire or other means by which he has requested

such reports) the nature of the showing required to be made in order to satisfy DOE that certain energy information contained in such reports warrants confidential treatment in accordance with this section. He shall, to the maximum extent practicable, either before or after requesting reports, by ruling or otherwise, inform respondents providing energy information pursuant to this subpart of whether such information will be made available to the public pursuant to requests under the Freedom of Information Act (5 U.S.C. 552).

§ 207.5 Violations.

Any practice that circumvents or contravenes or results in a circumvention or contravention of the requirements of any provision of this subpart or any order issued pursuant thereto is a violation of the DOE regulations stated in this subpart.

§ 207.6 Notice of probable violation and remedial order.

(a) *Purpose and scope.* (1) This section establishes the procedures for determining the nature and extent of violations of this subpart and the procedures for issuance of a notice of probable violation, a remedial order or a remedial order for immediate compliance.

(2) When the DOE discovers that there is reason to believe a violation of any provision of this subpart, or any order issued thereunder, has occurred, is continuing or is about to occur, the DOE may conduct proceedings to determine the nature and extent of the violation and may issue a remedial order thereafter. The DOE may commence such proceeding by serving a notice of probable violation or by issuing a remedial order for immediate compliance.

(b) *Notice of probable violation.* (1) The DOE may begin a proceeding under this subpart by issuing a notice of probable violation if the DOE has reason to believe that a violation has occurred, is continuing, or is about to occur.

(2) Within 10 days of the service of a notice of probable violation, the person upon whom the notice is served may file a reply with the DOE office that issued the notice of probable violation at the address provided in §205.12 of this chapter. The DOE may extend the 10-day period for good cause shown.

(3) The reply shall be in writing and signed by the person filing it. The reply shall contain a full and complete statement of all relevant facts pertaining to the act or transaction that is the subject of the notice of probable violation. Such facts shall include a complete statement of the business or other reasons that justify the act or transaction, it appropriate; a detailed description of the act or transaction; and a full discussion of the pertinent provisions and relevant facts reflected in any documents submitted with the reply. Copies of all relevant documents shall be submitted with the reply.

(4) The reply shall include a discussion of all relevant authorities, including, but not limited to, DOE rulings, regulations, interpretations, and decisions on appeals and exceptions relied upon to support the particular position taken.

(5) The reply should indicate whether the person requests or intends to request a conference regarding the notice. Any request not made at the time of the reply shall be made as soon thereafter as possible to insure that the conference is held when it will be most beneficial. A request for a conference must conform to the requirements of subpart M of part 205 of this chapter.

(6) If a person has not filed a reply with the DOE within the 10-day period provided, and the DOE has not extended the 10-day period, the person shall be deemed to have conceded the accuracy of the factual allegations and legal conclusions stated in the notice of probable violation.

(7) If the DOE finds, after the 10-day period provided in §207.6(b)(2), that no violation has occurred, is continuing, or is about to occur, or that for any reason the issuance of a remedial order would not be appropriate, it shall notify, in writing, the person to whom a notice of probable violation has been issued that the notice is rescinded.

(c) *Remedial order.* (1) If the DOE finds, after the 10-day period provided in §207.6(b)(2), that a violation has occurred, is continuing, or is about to occur, the DOE may issue a remedial

order. The order shall include a written opinion setting forth the relevant facts and the legal basis of the remedial order.

(2) A remedial order issued under this subpart shall be effective upon issuance, in accordance with its terms, until stayed, suspended, modified or rescinded. The DOE may stay, suspend, modify or rescind a remedial order on its own initiative or upon application by the person to whom the remedial order is issued. Such action and application shall be in accordance with the procedures for such proceedings provided for in part 205 of this chapter.

(3) A remedial order may be referred at any time to the Department of Justice for appropriate action in accordance with § 207.7.

(d) *Remedial order for immediate compliance.* (1) Notwithstanding paragraphs (b) and (c) of this section, the DOE may issue a remedial order for immediate compliance, which shall be effective upon issuance and until rescinded or suspended, if it finds:

(i) There is a strong probability that a violation has occurred, is continuing or is about to occur;

(ii) Irreparable harm will occur unless the violation is remedied immediately; and

(iii) The public interest requires the avoidance of such irreparable harm through immediate compliance and waiver of the procedures afforded under paragraphs (b) and (c) of this section.

(2) A remedial order for immediate compliance shall be served promptly upon the person against whom such order is issued by telex or telegram, with a copy served by registered or certified mail. The copy shall contain a written statement of the relevant facts and the legal basis for the remedial order for immediate compliance, including the findings required by paragraph (d)(1) of this section.

(3) The DOE may rescind or suspend a remedial order for immediate compliance if it appears that the criteria set forth in paragraph (d)(1) of this section are no longer satisfied. When appropriate, however, such a suspension or rescission may be accompanied by a notice of probable violation issued under paragraph (b) of this section.

(4) If at any time in the course of a proceeding commenced by a notice of probable violation the criteria set forth in paragraph (d)(1) of this section are satisfied, the DOE may issue a remedial order for immediate compliance, even if the 10-day period for reply specified in § 207.6(b)(2) of this part has not expired.

(5) At any time after a remedial order for immediate compliance has become effective the DOE may refer such order to the Department of Justice for appropriate action in accordance with § 207.7 of this part.

(e) *Remedies.* A remedial order or a remedial order for immediate compliance may require the person to whom it is directed to take such action as the DOE determines is necessary to eliminate or to compensate for the effects of a violation.

(f) *Appeal.* (1) No notice of probable violation issued pursuant to this subpart shall be deemed to be an action of which there may be an administrative appeal.

(2) Any person to whom a remedial order or a remedial order for immediate compliance is issued under this subpart may file an appeal with the DOE Office of Exceptions and Appeals in accordance with the procedures for such appeal provided in subpart H of part 205 of this chapter. The appeal must be filed within 10 days of service of the order from which the appeal is taken.

§ 207.7 Sanctions.

(a) *General.* (1) Penalties and sanctions shall be deemed cumulative and not mutually exclusive.

(2) Each day that a violation of the provisions of this subpart or any order issued pursuant thereto continues shall be deemed to constitute a separate violation within the meaning of the provisions of this subpart relating to criminal fines and civil penalties.

(b) *Criminal penalties.* Any person who willfully violates any provision of this subpart or any order issued pursuant thereto shall be subject to a fine of not more than $5,000 for each violation. Criminal violations are prosecuted by the Department of Justice upon referral by the DOE.

(c) *Civil penalties.* (1) Any person who violates any provision of this subpart or any order issued pursuant thereto shall be subject to a civil penalty of not more than $13,273 for each violation. Actions for civil penalties are prosecuted by the Department of Justice upon referral by the DOE.

(2) When the DOE considers it to be appropriate or advisable, the DOE may compromise and settle, and collect civil penalties.

[40 FR 18409, Apr. 28, 1975, as amended at 62 FR 46183, Sept. 2, 1997; 74 FR 66032, Dec. 14, 2009; 81 FR 41793, June 28, 2016; 81 FR 96351, Dec. 30, 2016; 83 FR 1291, Jan. 11, 2018; 83 FR 66082, Dec. 26, 2018; 85 FR 829, Jan. 8, 2020; 86 FR 2955, Jan. 14, 2021; 87 FR 1063, Jan. 10, 2022; 88 FR 2192, Jan. 13, 2023; 89 FR 1027, Jan. 9, 2024; 89 FR 105405, Dec. 27, 2024]

§ 207.8 Judicial actions.

(a) *Enforcement of subpoenas; contempt.* Any United States district court within the jurisdiction of which any inquiry is carried on may, upon petition by the Attorney General at the request of the Administrator, in the case of refusal to obey a subpoena or order of the Administrator issued under this subpart, issue an order requiring compliance. Any failure to obey such an order of the court may be punished by the court as contempt.

(b) *Injunctions.* Whenever it appears to the Administrator that any person has engaged, is engaged, or is about to engage in any act or practice constituting a violation of any regulation or order issued under this subpart, the Administrator may request the Attorney General to bring a civil action in the appropriate district court of the United States to enjoin such acts or practices and, upon a proper showing, a temporary restraining order or preliminary or permanent injunction shall be granted without bond. The relief sought may include a mandatory injunction commanding any person to comply with any provision of such order or regulation, the violation of which is prohibited by section 12(a) of ESECA, as implemented by this subpart.

§ 207.9 Exceptions, exemptions, interpretations, rulings and rulemaking.

Applications for exceptions, exemptions or requests for interpretations relating to this subpart shall be filed in accordance with the procedures provided in subparts D, E and F, respectively, of part 205 of this chapter. Rulings shall be issued in accordance with the procedures of subpart K of part 205 of this chapter. Rulemakings shall be undertaken in accordance with the procedures provided in subpart L of part 205 of this chapter.

PART 209—INTERNATIONAL VOLUNTARY AGREEMENTS

Subpart A—General Provisions

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Subpart D—Availability of Information Relating to Meetings and Communications

209.41 Availability of information relating to meetings and communications.

AUTHORITY: Federal Energy Administration Act of 1974, Pub. L. 93–275; E.O. 11790, 39 FR 23185; Energy Policy and Conservation Act, Pub. L. 94–163.

SOURCE: 41 FR 6754, Feb. 13, 1976, unless otherwise noted.

Subpart A—General Provisions

§ 209.1 Purpose and scope.

This part implements the provisions of the Energy Policy and Conservation Act (EPCA) authorizing the Administrator to prescribe standards and procedures by which persons engaged in

the business of producing, transporting, refining, distributing, or storing petroleum may develop and carry out voluntary agreements, and plans of action which are required to implement the information and allocation provisions of the International Energy Program (IEP). The requirements of this part do not apply to activities other than those for which section 252 of EPCA makes available a defense to the antitrust laws.

§ 209.2 Delegation.

To the extent otherwise permitted by law, any authority, duty, or responsibility vested in DOE or the Administrator under these regulations may be delegated to any regular full-time employee of the Department of Energy, and, by agreement, to any regular full-time employee of the Department of Justice or the Department of State.

§ 209.3 Definitions.

For purposes of this part—

(a) *Administrator* means the Administrator of the Department of Energy.

(b) *Information and allocation provisions of the International Energy Program* means the provisions of chapter V of the Program relating to the Information System, and the provisions at chapters III and IV thereof relating to the international allocation of petroleum.

(c) *International Energy Agency* (IEA) means the International Energy Agency established by Decision of the Council of the Organization for Economic Cooperation and Development, dated November 15, 1974.

(d) *International Energy Program* (IEP) means the program established pursuant to the Agreement on an International Energy Program signed at Paris on November 18, 1974, including (1) the Annex entitled ''Emergency Reserves'', (2) any amendment to such Agreement which includes another nation as a Party to such Agreement, and (3) any technical or clerical amendment to such Agreement.

(e) *International energy supply emergency* means any period (1) beginning on any date which the President determines allocation of petroleum products to nations participating in the international energy program is required by chapters III and IV of such program, and (2) ending on a date on which he determines such allocation is no longer required. Such a period shall not exceed 90 days, except where the President establishes one or more additional periods by making the determination under paragraph (e)(1) of this section.

(f) *Potential participant* means any person engaged in the business of producing, transporting, refining, distributing, or storing petroleum products; ''participant'' means any such person who agrees to participate in a voluntary agreement pursuant to a request to do so by the Administrator.

(g) *Petroleum* or *petroleum products* means crude oil, residual fuel oil, or any refined petroleum product (including any natural gas liquid and any natural gas liquid product).

Subpart B—Development of Voluntary Agreements

§ 209.21 Purpose and scope.

(a) This subpart establishes the standards and procedures by which persons engaged in the business of producing, transporting, refining, distributing. or storing petroleum products shall develop voluntary agreements which are required to implement the allocation and information provisions of the International Energy Program.

(b) This subpart does not apply to meetings of bodies created by the International Energy Agency.

§ 209.22 Initiation of meetings.

(a) Any meeting held for the purpose of developing a voluntary agreement involving two or more potential participants shall be initiated and chaired by the Administrator or other regular full-time Federal employee designated by him.

(b) DOE shall provide notice of meetings held pursuant to this subpart, in writing, to the Attorney General, the Federal Trade Commission, and to the Speaker of the House and the President of the Senate for delivery to the appropriate committees of Congress, and to the public through publication in the FEDERAL REGISTER. Such notice shall identify the time, place, and agenda of the meeting, and such other matters as the Administrator deems appropriate.

Notice in the FEDERAL REGISTER shall be published at least seven days prior to the date of the meeting.

§ 209.23 Conduct of meetings.

(a) Meetings to develop a voluntary agreement held pursuant to this subpart shall be open to all interested persons. Interested persons desiring to attend meetings under this subpart may be required pursuant to notice to advise the Administrator in advance.

(b) Interested persons may, as set out in notice provided by the Administrator, present data, views, and arguments orally and in writing, subject to such reasonable limitations with respect to the manner of presentation as the Administrator may impose.

§ 209.24 Maintenance of records.

(a) The Administrator shall keep a verbatim transcript of any meeting held pursuant to this subpart.

(b)(1) Except as provided in paragraphs (b) (2) through (4) of this section, potential participants shall keep a full and complete record of any communications (other than in a meeting held pursuant to this subpart) between or among themselves for the purpose of developing a voluntary agreement under this part. When two or more potential participants are involved in such a communication, they may agree among themselves who shall keep such record. Such record shall include the names of the parties to the communication and the organizations, if any, which they represent; the date of the communication; the means of communication; and a description of the communication in sufficient detail to convey adequately its substance.

(2) Where any communication is written (including, but not limited to, telex, telegraphic, telecopied, microfilmed and computer printout material), and where such communication demonstrates on it face that the originator or some other source furnished a copy of the communication to the Office of International Affairs, Department of Energy with the notation ''Voluntary Agreement'' marked on the first page of the document, no participant need record such a communication or send a further copy to the Department of Energy. The Department of Energy may, upon written notice to potential participants, from time to time, or with reference to particular types of documents, require deposit with other offices or officials of the Department of Energy. Where such communication demonstrates that it was sent to the Office of International Affairs, Department of Energy with the notation ''Voluntary Agreement'' marked on the first page of the document, or such other offices or officials in the Department of Energy has designated pursuant to this section it shall satisfy paragraph (c) of this section, for the purpose of deposit with the Department of Energy.

(3) To the extent that any communication is procedural, administrative or ministerial (for example, if it involves the location of a record, the place of a meeting, travel arrangements, or similar matters), only a brief notation of the date, time, persons involved and description of the communication need be recorded.

(4) To the extent that any communication involves matters which recapitulate matters already contained in a full and complete record, the substance of such matters shall be identified, but need not be recorded in detail, provided that reference is made to the record and the portion thereof in which the substance is fully set out.

(c) Except where the Department of Energy otherwise provides, all records and transcripts prepared pursuant to paragraphs (a) and (b) of this section, shall be deposited within fifteen (15) days after the close of the month of their preparation together with any agreement resulting therefrom, with the Department of Energy, and shall be available to the Department of Justice, the Federal Trade Commission, and the Department of State. Such records and transcripts shall be available for public inspection and copying to the extent set forth in subpart D. Any person depositing material pursuant to this section shall indicate with particularity what portions, if any, the person believes are subject to disclosure to the public pursuant to subpart D and the reasons for such belief.

(d) Any meeting between a potential participant and an official of DOE for the purpose of developing a voluntary

agreement shall, if not otherwise required to be recorded pursuant to this section, be recorded by such official as provided in § 204.5.

(Approved by the Office of Management and Budget under Control No. 1905–0079)

(Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended, E.O. 11790, 39 FR 23185; E. O. 11930, 41 FR 32397; Energy Policy and Conservation Act, Pub. L. 94–163; E.O. 11912, 41 FR 15825; Department of Energy Organization Act, Pub. L. 95–91; 91 Stat. 565; E.O. 12009, 42 FR 46267)

[41 FR 6754, Feb. 13, 1976, as amended at 43 FR 12854, Mar. 28, 1978; 46 FR 63209, Dec. 31, 1981]

Subpart C—Carrying Out of Voluntary Agreements and Developing and Carrying Out of Plans of Actions

§ 209.31 Purpose and scope.

This subpart establishes the standards and procedures by which persons engaged in the business of producing, transporting, refining, distributing, or storing petroleum products shall carry out voluntary agreements and develop and carry out plans of action which are required to implement the allocation and information provisions of the International Energy Program.

§ 209.32 Initiation of meetings.

(a) Except for meetings of bodies created by the International Energy Agency, any meeting among participants in a voluntary agreement pursuant to this subpart, for the purpose of carrying out such voluntary agreement or developing or carrying out a plan of action pursuant thereto, shall be initiated and chaired by a full-time Federal employee designated by the Administrator.

(b) Except as provided in paragraph (c) of this section, the Administrator shall provide notice of meetings held pursuant to this subpart, in writing, to the Attorney General, the Federal Trade Commission, and to the Speaker of the House and the President of the Senate for delivery to the appropriate committees of Congress. Except during an international energy supply emergency, notice shall also be provided to the public through publication in the FEDERAL REGISTER. Such notice shall identify the time, place, and agenda of the meeting. Notice in the FEDERAL REGISTER shall be published at least seven days prior to the date of the meeting unless emergency circumstances, IEP requirements or other unanticipated circumstances require the period to be shortened.

(c) During an international energy supply emergency, advance notice shall be given to the Attorney General, the Federal Trade Commission and to the Speaker of the House and the President of the Senate for delivery to the appropriate committees of Congress. Such notice may be telephonic or by such other means as practicable, and shall be confirmed in writing.

§ 209.33 Conduct of meetings.

(a) Subject to the provisions of paragraph (c) of this section, meetings held to carry out a voluntary agreement, or to develop or carry out a plan of action pursuant to this subpart, shall be open to all interested persons, subject to limitations of space. Interested persons desiring to attend meetings under this subpart may be required to advise the Administrator in advance.

(b) Interested persons permitted to attend meetings under this section may present data, views, and arguments orally and in writing, subject to such limitations with respect to the manner of presentation as the Administrator may impose.

(c) Meetings held pursuant to this subpart shall not be open to the public to the extent that the President or his delegate finds that disclosure of the proceedings beyond those authorized to attend would be detrimental to the foreign policy interests of the United States, and determines, in consultation with the Administrator, the Secretary of State, and the Attorney General, that a meeting shall not be open to interested persons or that attendance by interested persons shall be limited.

(d) The requirements of this section do not apply to meetings of bodies created by the International Energy Agency except that no participant in a voluntary agreement may attend any meeting of any such body held to carry out a voluntary agreement or to develop or to carry out a plan of action

unless a full-time Federal employee is present.

§ 209.34 Maintenance of records.

(a) The Administrator or his delegate shall keep a verbatim transcript of any meeting held pursuant to this subpart except where (1) due to considerations of time or other overriding circumstances, the keeping of a verbatim transcript is not practicable, or (2) principal participants in the meeting are representatives of foreign governments. If any such record other than a verbatim transcript, is kept by a designee who is not a full-time Federal employee, that record shall be submitted to the full-time Federal employee in attendance at the meeting who shall review the record, promptly make any changes he deems necessary to make the record full and complete, and shall notify the designee of such changes.

(b)(1) Except as provided in paragraphs (b) (2) through (4) of this section, participants shall keep a full and complete record of any communication (other than in a meeting held pursuant to this subpart) between or among themselves or with any other member of a petroleum industry group created by the International Energy Agency, or subgroup thereof for the purpose of carrying out a voluntary agreement or developing or carrying out a plan of action under this subpart, except that where there are several communications within the same day involving the same participants, they may keep a cumulative record for the day. The parties to a communication may agree among themselves who shall keep such record. Such record shall include the names of the parties to the communication and the organizations, if any, which they represent; the date of communication; the means of communication, and a description of the communication in sufficient detail to convey adequately its substance.

(2) Where any communication is written (including, but not limited to, telex, telegraphic, telecopied, microfilmed and computer printout material), and where such communication demonstrates on its face that the originator or some other source furnished a copy of the communication to the Office of International Affairs, Department of Energy with the notation ''Voluntary Agreement'' on the first page of the document, no participants need record such a communication or send a further copy to the Department of Energy. The Department of Energy may, upon written notice to participants, from time to time, or with reference to particular types of documents, require deposit with other offices or officials of the Department of Energy. Where such communication demonstrates that it was sent to the Office of International Affairs, Department of Energy with the notation ''Voluntary Agreement'' on the first page of the document, or such other offices or officials as the Department of Energy has designated pursuant to this section, it shall satisfy paragraph (c) of this section, for the purpose of deposit with the Department of Energy.

(3) To the extent that any communication is procedural, administrative or ministerial (for example, if it involves the location of a record, the place of a meeting, travel arrangements, or similar matters) only a brief notation of the date, time, persons involved and description of the communication need be recorded; except that during an IEA emergency allocation exercise or an allocation systems test such a non-substantive communication between members of the Industry Supply Advisory Group (ISAG) which occur within IEA headquarters need not be recorded.

(4) To the extent that any communication involves matters which recapitulate matters already contained in a full and complete record, the substance of such matters shall be identified, but need not be recorded in detail, provided that reference is made to the record and the portion thereof in which the substance is fully set out.

(c) Except where the Department of Energy otherwise provides, all records and transcripts prepared pursuant to paragraphs (a) and (b) of this section, shall be deposited within seven (7) days after the close of the week (ending Saturday) of their preparation during an international energy supply emergency or a test of the IEA emergency allocation system, and within fifteen (15) days after the close of the month of

their preparation during periods of non-emergency, together with any agreement resulting therefrom, with the Department of Energy and shall be available to the Department of Justice, the Federal Trade Commission, and the Department of State. Such records and transcripts shall be available for public inspection and copying to the extent set forth in subpart D. Any person depositing materials pursuant to this section shall indicate with particularity what portions, if any, the person believes are not subject to disclosure to the public pursuant to subpart D and the reasons for such belief.

(d) Any meeting between a participant and an official of DOE for the purpose of carrying out a voluntary agreement or developing or carrying out a plan of action shall, if not otherwise required to be recorded pursuant to this section, be recorded by such official as provided in § 204.5.

(e) During international oil allocation under chapters III and IV of the IEP or during an IEA allocation systems test, the Department of Energy may issue such additional guidelines amplifying the requirements of these regulations as the Department of Energy determines to be necessary and appropriate.

(Approved by the Office of Management and Budget under Control No. 1905–0067)

(Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended; E.O. 11790, 39 FR 23185; E.O. 11930, 41 FR 32397; Energy Policy and Conservation Act, Pub. L. 94–163; E.O. 11912, 41 FR 15825; Department of Energy Organization Act, Pub. L. 95–91, 91 Stat. 565, E.O. 12009, 42 FR 46267)

[41 FR 6754, Feb. 13, 1976, as amended at 43 FR 12854, Mar. 28, 1978; 46 FR 63209, Dec. 31, 1981]

Subpart D—Availability of Information Relating to Meetings and Communications

§ 209.41 Availability of information relating to meetings and communications.

(a) Except as provided in paragraph (b) of this section, records or transcripts prepared pursuant to this subpart shall be available for public inspection and copying in accordance with section 552 of title 5, United States Code and part 202 of this title.

(b) Matter may be withheld from disclosure under section 552(b) of title 5 only on the grounds specified in:

(1) Section 552(b)(1), applicable to matter specifically required by Executive Order to be kept secret in the interest of the national defense or foreign policy. This section shall be interpreted to include matter protected under Executive Order No. 11652 of March 8, 1972, establishing categories and criteria for classification, as well as any other such orders dealing specifically with disclosure of IEP related materials;

(2) Section 552(b)(3), applicable to matter specifically exempted from disclosure by statute; and

(3) So much of section 552(b)(4) as relates to trade secrets.

PART 210—GENERAL ALLOCATION AND PRICE RULES

AUTHORITY: Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159, E.O. 11748, 38 FR 33577; Economic Stabilization Act of 1970, as amended, Pub. L. 92–210, 85 Stat. 743; Pub. L. 93–28, 87 Stat. 27; E.O. 11748, 38 FR 33575; Cost of Living Council Order Number 47, 39 FR 24.

Subpart A—Recordkeeping

§ 210.1 Records.

(a) The recordkeeping requirements that were in effect on January 27, 1981, in parts 210, 211, and 212 will remain in effect for (1) all transactions prior to February 1, 1981; and (2) all allowed expenses incurred and paid prior to April 1, 1981 under § 212.78 of part 212. These requirements include, but are not limited to, the requirements that were in effect on January 27, 1981, in § 210.92 of this part; in §§ 211.67(a)(5)(ii); 211.89; 211.109, 211.127; and 211.223 of part 211; and in §§ 212.78(h)(5)(ii); 212.78(h)(6); 212.83(c)(2)(iii)(E)(I); 212.83(c)(2)(iii)(E)(II); 212.83(c)(2)(iii); "F_i t"; 212.83(i); 212.93(a); 212.93(b)(4)(iii)(B)(I); 212.93(i)(4); 212.94(b)(2)(iii); 212.128; 212.132; 212.172; and § 212.187 of part 212.

(b) Effective February 5, 1985, paragraph (a) of this section shall apply, to the extent indicated, only to firms in

the following categories. A firm may be included in more than one category, and a firm may move from one category to another. The fact that a firm becomes no longer subject to the recordkeeping requirements of one category shall not relieve that firm of compliance with the recordkeeping requirements of any other category in which the firm is still included.

(1) Those firms which are or become parties in litigation with DOE, as defined in paragraph (c)(1) of this section. Any such firm shall remain subject to paragraph (a) of this section. DOE shall notify the firm in writing of the final resolution of the litigation and whether or not any of its records must be maintained for a further period. DOE shall notify a firm which must maintain any records for a further period when such records are no longer needed.

(2)(i) Those firms which as of November 30 1984, have completed making all restitutionary payments required by an administrative or judicial order, consent order, or other settlement or order but which payments are on February 5, 1985, still subject to distribution by DOE. This requirement is applicable to only those firms listed in appendix B. Any such firm shall maintain all records for the time period covered by the administrative or judicial order, consent order, or other settlement or order requiring the payments, evidencing sales volume data for each product subject to controls and customers' names and addresses, until one of the following: June 30, 1985, unless this period is extended on a firm-by-firm basis; the end of the individual firm's extension; or the firm is notified in writing that its records are no longer needed.

(ii) Those firms which as of November 30, 1984, are required to make restitutionary or other payments pursuant to an administrative or judicial order, consent order, or other settlement or order. Any such firm shall remain subject to paragraph (a) of this section until the firm completes all restitutionary payments required by the administrative or judicial order, consent order, or other settlement or order. However, after completing all such payments, a firm shall maintain all records described in paragraph (b)(2)(i) of this section until one of the following: Six months after the firm completes all such payments, unless this period is extended on a firm-by-firm basis; the end of the individual firm's extension; or the firm is notified in writing that its records are no longer needed.

(3)(i) Those firms with completed audits in which DOE has not yet made a determination to initiate a formal enforcement action and firms under audit which do not have outstanding subpoenas. Any such firm shall maintain all records for the period covered by the audit including all records necessary to establish historical prices or volumes which serve as the basis for determining the lawful prices or volumes for any subsequent regulated transaction which is subject to audit, until one of the following: June 30, 1985, unless this period is extended on a firm-by-firm basis; the end of the individual firm's extension; or the firm is notified in writing by DOE that its records are no longer needed. However, if a firm in this group shall become a party in litigation, the firm shall then be subject to the recordkeeping requirements for firms in litigation set forth in paragraph (b)(1) of this section.

(ii) Those firms under audit which have outstanding subpoenas on February 5, 1985, or which receive subpoenas at any time thereafter or which have supplied records for an audit as the result of a subpoena enforced after November 1, 1983. Any such firm shall remain subject to paragraph (a) of this section until two years after ERA has notified the firm in writing that is in full compliance with the subpoena or until ERA has received from the firm a sworn certification of compliance with the subpoena as required by 10 CFR 205.8. However, if a firm in this group shall become a party in litigation, the firm shall then be subject to the recordkeeping requirements for firms in litigation set forth in paragraph (b)(1) of this section.

(4) Those firms which are subject to requests for data necessary to verify that crude oil qualifies as ''newly discovered'' crude oil under 10 CFR 212.79. Any such firm shall maintain the records evidencing such data until one

of the following: June 30, 1985, unless this period is extended on a firm-by-firm basis; the end of an individual firm's extension; or the firm is notified in writing by DOE that its records are no longer needed. However, if a firm in this group shall become a party in litigation, the firm shall then be subject to the recordkeeping requirements for firms in litigation set forth in paragraph (b)(1) of this section.

(5) Those firms whose records are determined by DOE as necessary to complete the enforcement activity relating to another firm which is also subject to paragraph (a) of this section unless such firms required to keep records have received certified notice letters specifically describing the records determined as necessary. At that time, the specific notice will control the recordkeeping requirements. These firms have been identified in appendix A. Any such firm shall maintain these records until one of the following: June 30, 1985, unless this period is extended on a firm-by-firm basis; the end of the individual firm's extension; or the firm is notified in writing by DOE that its records are no longer needed.

(6) Those firms which participated in the Entitlements program. Any such firm shall maintain its Entitlements-related records until six months after the final judicial resolution (including any and all appeals) of *Texaco* v. *DOE*, Nos. 84–391, 84–410, and 84–456 (D. Del.), or the firm is notified by DOE that its records are no longer needed, whichever occurs first.

(c) For purposes of this section:

(1) A firm is ''a party in litigation'' if:

(i)(A) The firm has received a Notice of Probable Violation, a Notice of Probable Disallowance, a Proposed Remedial Order, or a Proposed Order of Disallowance; or

(B) The firm and DOE are parties in a lawsuit arising under the Emergency Petroleum Allocation Act of 1973, as amended (15 U.S.C. 751 *et seq.*) or 10 CFR parts 205, 210, 211, or 212; and

(ii)(A) There has been no final (that is, non-appealable) administrative or judicial resolution, or

(B) DOE has not informed the firm in writing that the Department has completed its review of the matter.

(2) A firm means any association, company, corporation, estate, individual, joint-venture, partnership, or sole proprietorship, or any other entity, however organized, including charitable, educational, or other eleemosynary institutions, and state and local governments. A firm includes a parent and the consolidated and unconsolidated entities (if any) which it directly or indirectly controls.

APPENDIX A TO 10 CFR 210.1—THIRD PARTY FIRMS

Name of Firm

A & R, Inc.
A. J. Petroleum
ADA Resources, Inc.
ATC Petroleum
Abbco Petroleum, Inc.
Ada Oil Company
Adams Grocery
Advanced Petroleum Distributing Co.
Agway Inc.
Allegheny Petroleum Corp.
Alliance Oil and Refining Company
Allied Chemical Corp.
Allied Transport
Amerada Hess Corp.
American Natural Crude Oil Assoc.
Amoco Production Company
Amorient Petroleum, Inc.
An-Son Transportation Co.
Anadarko Products Co.
Andrus Energy Corp.
Antler Petroleum
Arco Pipeline Company
Armada Petroleum Corp.
Armour Oil Company
Arnold Brooks Const. Inc.
Ashland Oil
Asiatic Petroleum Co.
Aspen Energy, Inc.
Athens General Hospital
Atlantic Pacific Energy, Inc.
Atlas Processing Company
B & B Trading Company
BLT, Inc.
BPM, Ltd.
Baker Services, Inc.
Basin Inc.
Basin Petroleum, Inc.
Beacon Hill Mobil
Belcher Oil Company
Bighart Pipeline Company
Bigheart Pipeline Corp
Bowdoin Square Exxon
Bowdoin Super Service (Sunoco)
Brio Petroleum, Inc.
Brixon
C.E. Norman
CPI Oil & Refining
CRA-Farmland Industries, Inc.
Calcaseiu Refining, Ltd.

Carbonit Houston, Inc.
Carr Oil Company, Inc.
Castle Coal & Oil Co.
Central Crude Corporation
Century Trading Co.
Charter Crude Oil
Chastain Vineyard
Chevron USA, Inc.
Cibro Petroleum, Inc.
Cirillo Brothers
Cities Service (Citgo) Station
Cities Service Company
Cities Service Midland
City of Athens
Clarke County Board of Education
Claude E. Silvey
Coastal Corporation (The)
Coastal Petroleum and Supply Inc.
Coastal States Trading Company
Commonwealth Oil Refining Co., Inc.
Coral Petroleum Canada, Inc.
Coral Petroleum, Inc.
Corex of Georgia
Cothran Interstate Exxon
Couch's Standard Chevron
Cougar Oil Marketers Inc.
Crude Company (The)
Crystal Energy Corporation
Crystal Refining
D & E Logging
DDC Corporation of America
Darrell Williamson
Davis Ellis
Days Inn of America, Inc.
Delta Petroleum & Energy Corp.
Derby & Company, Inc.
Derby Refining Company
Dewveall Petroleum
Dixie Oil Company
Dixon Oil Co.
Don Hardy
Donald Childs
Dow Chemical Company
Dr. Joe L. Griffeth
Driver Construction Co.
Drummond Brothers, Inc.
Duffie Monroe & Sons Co., Inc.
ECI (A/K/A Energy Cooperative Inc.)
Earnest Dalton
Earth Resources Trading
Eastern Seaboard Petroleum, Inc.
Elmer Hammon
Elvin Knight
Empire Marketing, Inc.
Encorp.
Energy Cooperative, Inc.
Energy Distribution Co.
Englehard Corporation
Englehard Oil Corporation
Entex
Evans Oil Co.
Exxon Company
F & S Trading Company, Inc.
Farmers Union Central Exchange, Inc.
Farmland Industries Inc.
Fasgo, Inc.
Fedco Oil Company
Federal Employees Distributing Co.
Fitzpatrick Spreader
Flutz Oil Company
Flying J. Inc.
Foremost Petroleum
Four Corners Pipe Line
Frank Katz
Frank W. Abrahamsen
Frank's Butane, Inc.
Friendswood Refinery
Frontier Manor Collection
Fuel Oil Supply & Terminaling, Inc.
G. C. Clark Company
GPC Marketing Company
Gary Refining Co.
Geer Tank Trucks, Inc.
Gene Clary
Gene McDonald
General Crude Oil Company
Geodynamics Oil & Gas Inc.
George Kennedy
George Smith Chevron
Gleason Oil Company
Glenn Company
Globe Oil Co.
Godfrey's Standard Service
Good Hope Industries, Inc.
Good Hope Refineries, Inc.
Granite Oil Company
Guam Oil & Refining Co., Inc.
Gulf States Oil & Refining Company
H. D. Adkinson
H. H. Dunson
H.S. & L, Inc.
HNG Oil Company
Harbor Petroleum, Inc.
Harbor Trading
Harmony Grove Mills, Inc.
Harry Rosser
Hast Oil, Inc.
Heet Gas Company
Henry Alva Mercer
Herndon Oil & Gas Company
Horizon Petroleum Company
Houston Oil & Minerals Products Co.
Houston Oil & Refining
Howell Corporation
Hurricane Trading Company, Inc.
Hydrocarbon Trading and Transport Co.
Inco Trading
Independent Refining Corp.
Independent Trading Corporation
Indiana Refining, Inc.
Intercontinental Petroleum Corp.
International Crude Corporation
International Petro
International Petroleum Trading, Inc.
International Processors
Isthmus Trading Corporation
J & M Transport
J. & J.'s Fast Stop
J. A. Rackerby Corporation
J. H. Baccus
J. H. Baccus & Co.
J. J. Williamson
J. M. Petroleum Corporation
JPK Industries

Jack W. Grigsby
Jaguar Petroleum, Inc.
James L. Bush
Jay Petroleum Company
Jay-Ed Petroleum Company
John W. McGowan
Kalama Chemical, Inc.
Kelly Trading Corp.
Kenco Refining
Kerr-McGee Corporation
Koch Fuel
Koch Industries, Inc.
Kocolene Oil
Kocolene Station
L & L Resources, Inc.
L.S. Parker
LaGloria Oil & Gas
LaJet, Inc.
Lamar Refining Co.
Langham Petroleum Corp.
Larry Roberts
Laurel Oil, Inc.
Lee Allen
Lincoln Land Sales Company
Listo Petroleum Inc.
Longview Refining Corp.
Love's Standard
Lucky Stores Inc.
M.L. Morrow
Magna Energy Corporation
Magnolia Oil Company
Mansfield Oil Co.
Mapco Petroleum, Inc.
Mapco, Inc.
Marion Trading Co.
Marlex Oil & Refining, Inc.
Marlin Petroleum, Inc.
Martin Oil Company
Mathew's Grocery
McAuleep Oil Co.
McAuley Oil Company
Meadows Gathering, Inc.
Mellon Energy Products Co.
Merit Petroleum, Inc.
Metro Wash, Inc.
Miller Oil Purchasing Co.
Minor Oil, Inc.
Minro Oil, Inc.
Mitchell Oil Co.
Mitsui & Co. (USA) Inc.
Mobil Bay Refining Company
Montgomery Well Drilling
Mundy Food Market
Munford, Inc.
Mutual Petroleum
NRG Oil Company
National Convenience Stores
National Cooperative Refinery
Nicholson Grocery and Gas
North American Petroleum
Northeast Petroleum Corp.
Northeast Petroleum Corporation
Northgate Auto Center
Northwest Crude, Inc.
Nova Refining Corp.
Occidental Petroleum Corp. (includes Permia)
Ocean Drilling and Exploration Co.
Oil Exchange, Inc.
Oilco
Omega Petroleum Corp.
Otoe Corporation
Oxxo Energy Group, Inc.
P & O Falco, Inc.
P. L. Heatley Co.
PEH, Inc.
PIB, Inc.
PSW Distributors Company
Pacific Refinery, Inc.
Pacific Resources, Inc.
Pan American Products Corp.
Par Brothers Food Store
Pauley Petroleum Inc.
Pennzoil Co.
Permian Corporation (The)
Pescar International Corp.
Pescar International Trading Co.
Petraco (U.S.A.) Inc.
Petrade International
Petrol Products, Inc.
Phillips Petroleum Company
Phoenis Petroleum Co.
Phoenix Petroleum Co.
Pine Mountains
Poole Petroleum
Port Petroleum
Presley Oil Co.
Procoil Inc.
Publiker Industries, Inc.
Pyramid Dist. Co., Inc.
Questor Crude Oil Company
Quitman Refining Co.
R. H. Garrett Paving
Ra-Gan Fuel, Inc.
Reeder Distributing Co.
Reeder Distributors
Reese Exploration Co.
Research Fuels Inc.
Revere Petroleum Co.
Richardson-Ayres, Inc.
Robert Bishop
Robert Patrick
Roberts Grocery
Rock Island Refining Corporation
Rogers Oil Company
Roy Baerne
Russell Oil Company
S. G. Coplen
SECO (Scruggs Energy)
Saber Crude Oil, Inc.
Saber Refining Company
Salem Ventures, Inc.
Samson Resources Company
Santa Fe Energy Products Co.
Saye's Truck Stop
Scandix Oil Limited
Score, Inc.
Scruggs Energy Company
Scurlock Oil Company
Scurry Oil Company
Seamount Petroleum Company
Seaview Petroleum Company
Sector Refining, Inc.
Selfton Miller

Shepherd Trading Corporation
Shulze Processing
Sigmor Corporation
Skelly Oil Company
South Hampton Refining Company
South Texas LP Gas Co.
Southern Crude Oil Resources
Southern Terminal & Transport, Ltd.
Southern Union Company
Southwest Petro. Energy
Southwest Petrochem
Standard Oil Co. (Ohio)
Standard Oil Co. of California
Standard Oil Company (Indiana)
Standard Oil Company (Ohio)
Sterling Energy Company
Steve Childs
Stix Gas Company, Inc.
Sunset Grocery
Sunset Oil & Refining, Inc.
Swanee Petroleum Company
T & P Enterprises
T. B. Eley
T. E. Jawell
Tauber Oil Company
Tenneco, Inc.
Tesoro Crude Oil Company
Texana Oil & Gas Corp.
Texas American Petrochemicals (TAP)
Texas City Refining
Texas Eastern Transmission Corp.
Texas Energy Reserve Corporation
Texas Pacific Oil Company
Thomas Cockvell
Thomas Petroleum Products, Inc.
Thorton Oil Company
Thyssen Incorporated
Tiger Petroleum Company
Time Oil Co.
Tipperary Refining Company
Tom Banks
Tom Smith
Tomlinson Petroleum, Inc.
Tosco Corporation
Total Petroleum, Inc.
Trans-Texas Petroleum Corp.
Transco Trading Company
Turboil Oil and Refining
Two Rivers Oil & Gas Co., Inc.
U-Fill 'er Up
USA Gas, Inc.
Uni Oil Company
Union Oil of California
Doram Energy
United Petroleum Marketing
United Refining Company
United Refining, Inc.
Universal Rundle
Val-Cap, Inc.
Vedetta Oil Trading, Inc.
Vedette Oil Trading, Inc.
Vickers Energy Corp.
W. C. Colquitt
W. T. Strickland
W. W. Blanton
W.A. Nunnally, Jr., Construction Co.
W.D. Porterfiled
Wellven, Inc.
West Texas Marketing Corp.
Western Crude Oil, Inc.
Western Fuels, Inc.
Wight Nurseries of Oglethorpe Co.
William Seabolt
Wilson's Used Tractors
Windsor Gas Corp.
Wyoming Refining

APPENDIX B TO 10 CFR 210.1—FIRMS WITH COMPLETED PAYMENTS SUBJECT TO DISTRIBUTION

The following firms have completed making restitutionary payments to DOE but their payments are still subject to distribution by DOE. Each such firm must maintain relevant records until June 30, 1985, unless this period is extended on a firm-by-firm basis. Relevant records are all records of the firm, including any affiliates, subsidiaries or predecessors in interest, for the time period covered by the judicial or administrative order, consent order, or other settlement or order requiring the payments, evidencing sales volume data for each product subject to controls and customers' names and addresses.

Name of firm	Location
A. Tarricone Inc	Yonkers, NY.
Adolph Coors Company	Golden, CO.
Allied Materials Corp & Excel	Oklahoma City, OK.
Aminoil USA, Inc	Houston, TX.
Amtel, Inc	Providence, RI.
Apache Corporation	Minneapolis, MN.
APCO Oil Corporation	Oklahoma City, OK.
Arapaho Petroleum, Inc	Breckenridge, TX.
Arkansas Louisiana Gas Company.	Shreveport, LA.
Arkla Chemical Corporation	Shreveport, LA.
Armour Oil Company	San Diego, CA.
Associated Programs Inc	Boca Raton, FL.
Atlanta Petroleum Production	Fort Worth, TX.
Automatic Heat, Inc.	
Ayers Oil Company	Canton, MD.
Aztex Energy Corporation	Knoxville, TN.
Bak Ltd	Narbeth, PA.
Bayou State Oil/IDA Gasoline	Shreveport, LA.
Bayside Fuel Oil Depot Corp	Brooklyn, NY.
Belridge Oil Company	Los Angeles, CA.
Blaylock Oil Co., Inc	Homestead, FL.
Blex Oil Company	Minneapolis, MN.
Boswell Oil Company	Cincinnati, OH.
Box, Cloyce K	Dallas, TX.
Breckenridge Gasoline Company	Kansas City, KS.
Brownlie, Wallace, Armstrong	Denver, CO.
Bucks Butane & Propane Service	San Jose, CA.
Budget Airport Associates	Los Angeles, CA.
Busler Enterprises Inc	Evansville, IN.
Butler Petroleum Corp	Butler, PA.
C.K. Smith & Company, Inc	Worcester, MA.
Cap Oil Company	Tulsa, OK.
Champlain Oil Co., Inc	South Burlington, VT.
Chapman, H.A	Tulsa, OK.
Cibro Gasoline Corporation	Bronx, NY.
City Service Inc	Kalispell, MT.
Coastal Corporation	Houston, TX.
Coline Gasoline Corporation	Santa Fe Springs, CA.
Collins Oil Co	Aurora, IL.
Columbia Oil Co	Hamilton, OH.

Name of firm	Location
Conlo Service Inc	East Farmingdale, NY.
Conoco, Inc	Houston, TX.
Consolidated Gas Supply Corp	Hastings, WV.
Consolidated Leasing Corp	Los Angeles, CA.
Consumers Oil Co	Rosemead, CA.
Continental Resources Company	Winter Park, FL.
Cordele Operating Co	Corsicana, TX.
Cosby Oil Co., Inc	Whittier, CA.
Cougar Oil Co	Selma, AL.
Cross Oil Co., Inc	Wellstone, MO.
Crystal Oil Company (formerly Vallery Corp.).	Shreveport, LA.
Crystal Petroleum Co	Corpus Christi, TX.
Devon Corporation	Oklahoma City, OK.
Dorchester Gas Corp	Dallas, TX.
E.B. Lynn Oil Company	Allentown, PA.
E.M. Bailey Distributing Co	Paducah, KY.
Eagle Petroleum Co	Wichita Falls, TX.
Earls Broadmoor	Houma, LA.
Earth Resources Co	Dallas, TX.
Eastern Petroleum Corp	Annapolis, MD.
Edington Oil Co	Los Angeles, CA.
Elias Oil Company	West Palm Beach, FL.
Elm City Filling Stations, Inc	New Haven, CT.
Empire Oil Co	Bloomington, CA.
Endicott, Eugene	Redmond, OR.
Enserch Corp	Dallas, TX.
Enterprise Oil & Gas Company	Detroit, MI.
F.O. Fletcher, Inc	Tacoma, WA.
Fagadau Energy Corporation	Dallas, TX.
Farstad Oil Company	Minot, ND.
Field Oil Co., Inc	Ogden, UT.
Fine Petroleum Co., Inc	Norfolk, VA.
Foster Oil Co	Richmond, MI.
Franks Petroleum Inc	Shreveport, LA.
Froesel Oil Co. Gas Systems Inc	Ft. Worth, TX.
Gate Petroleum Co., Inc	Jacksonville, FL.
GCO Minerals Company	Houston, TX.
Getty Oil Company	Los Angeles, CA.
Gibbs Industries, Inc	Revere, MA.
Glaser Gas Inc	Calhoun, CO.
Glover, Lawrence H	Patchogue, NY.
Goodman Oil Company	Boise, ID.
Grant Rent a Car Corporation	Los Angeles, CA.
Grimes Gasoline Co	Tulsa, OK.
Gulf Energy & Development Corp. (also known as Gulf Energy Development Corp.).	San Antonio, TX.
Gulf Oil Corp	Houston, TX.
Gull Industries, Inc	Seattle, WA.
H.C. Lewis Oil Co	Welch, WV.
Hamilton Brothers Petroleum Co	Denver, CO.
Harris Enterprise Inc	Portland, OR.
Heller, Glenn Martin	Boston, MA.
Hendel's Inc	Waterford, CT.
Henry H. Gungoll Associates	Enid, OK.
Hertz Corporation, The	New York, NY.
Hines Oil Co	Murphysboro, IL.
Horner & Smith, A Partnership	Houston, TX.
Houston Natural Gas Corp	Houston, TX.
Howell Corporation/Quintana Refinery Co.	Houston, TX.
Hunt Industries	Dallas, TX.
Hunt Petroleum Corp	Dallas, TX.
Husky Oil Company of Delaware	Cody, WY.
Ideal Gas Co., Inc	Nyassa, OR.
Independent Oil & Tire Company	Elyria, OH.
Inland USA, Inc	St. Louis, MO.
Inman Oil Co	Salem, MO.
Internorth, Inc	Omaha, NE.
J.E. DeWitt, Inc	South El Monte, CA.
J.M. Huber Corp	Houston, TX.
James Petroleum Corp	Bakersfield, CA.
Jay Oil Company	Fort Smith, AR.
Jimmys Gas Stations Inc	Auburn, ME.
Jones Drilling Corporation	Duncan, OK.
Juniper Petroleum Corporation	Denver, CO.
Kansas-Nebraska Natural Gas Co	Hastings, NE.
Keller Oil Company, Inc	Effingham, IL.
Kenny Larson Oil Co., Inc. Kent Oil & Trading Company	Houston, TX.
Key Oil Co., Inc	Tuscaloosa, AL.
Key Oil Company	Bowling Green, KY.
Kiesel Co	St. Louis, MO.
King & King Enterprise	Kansas City, MO.
Kingston Oil Supply Corp	Port Ewen, NY.
Kirby Oil Company. L & L Oil Co., Inc	Belle Chasse, LA.
L.P. Rech Distributing Co	Roundup, MT.
La Gloria Oil and Gas Co	Houston, TX.
Lakes Gas Co., Inc	Forest Lake, MN.
Lakeside Refining Co./Crystal	Southfield, MI.
Landsea Oil Company	Irvine, CA.
Leathers Oil Co., Inc	Portland, OR.
Leese Oil Company	Pocatello, ID.
Leonard E. Belcher, Inc	Springfield, MA.
Lincoln Land Oil Co	Springfield, IL.
Liquid Products Recovery	Houston, TX.
Little America Refining Co	Salt Lake City, UT.
Lockheed Air Terminal Inc	Burbank, CA.
Lowe Oil Company	Clinton, MO.
Lucia Lodge Arco	Big Sur, CA.
Luke Brothers Inc	Calera, OK.
Lunday Thargard Oil	South Gate, CA.
Malco Industries Inc	Cleveland, OH.
Mapco, Inc	Tulsa, OK.
Marine Petroleum Co	St. Louis, MO.
Marlen L. Knutson Dist. Inc	Stanwood, WA.
Martin Oil Service, Inc	Blue Island, IL.
Martinoil Company	Fresno, CA.
Marvel Fuel Oil and Gas Co. McCarty Oil Co	Wapakoneta, OH.
McCleary Oil Co., Inc	Chambersburg, OH.
McClure's Service Station	Salisbury, PA.
McTan Corporation	Abilene, TX.
Mesa Petroleum Company	Amarillo, TX.
Midway Oil Co	Rock Island, IL.
Midwest Industrial Fuels, Inc	La Crosse, WI.
Mississippi River Transmission	St. Louis, MO.
Mitchell Energy Corp	Woodlands, TX.
Montana Power Co	Butte, MT.
Moore Terminal and Barge Co	Monroe, LA.
Mountain Fuel Supply Company	Salt Lake City, UT.
Moyle Petroleum Co	Rapid City, SD.
Mustang Fuel Corporation	Oklahoma City, OK.
Naphsol Refining Company	Muskegon, MI.
National Helium Corporation	Liberal, KS.
National Propane Corp	Wyandanch, NY.
Navajo Refining Company	Dallas, TX.
Nielson Oil & Propane, Inc	West Point, NE.
Northeast Petroleum Industries	Chelsea, MA.
Northeastern Oil Co., Inc	Gillette, WY.
Northwest Pipeline Corp	Salt Lake City, UT.
O'Connell Oil Co	Pittsfield, MA.
Oceana Terminal Corp. et al	Bronx, NY.
OKC Corporation	Dallas, TX.
Olin Corporation	Stamford, CT.
Oneok Incorporation	Tulsa, OK.
Ozona Gas Processing Plant	Tyler, TX.
Pacer Oil Co. of Florida, Inc	Ormond Beach, FL.
Pacific Northern Oil	Seattle, WA.
Panhandle Eastern (Century)	Houston, TX.
Parade Company	Shreveport, LA.
Parham Oil Corporation	Nashville, TN.
Pasco Petroleum Co., Inc	Phoenix, AZ.
Pedersen Oil, Inc	Silverdale, WA.
Pennzoil Company	Houston, TX.

Name of firm	Location
Perry Gas Processors, Inc	Odessa, TX.
Peoples Energy Corp	Chicago, IL.
Perta Oil Marketing Corp	Beverly Hills, CA.
Peterson Petroleum Inc	Hudson, NY.
Petro-Lewis Corp	Denver, CO.
Petrolane-Lomita Gasoline Co	Long Beach, CA.
Petroleum Heat & Power Co. Inc	Stamford, CT.
Petroleum Sales/Services Inc	Buffalo, NY.
Pioneer Corp	Amarillo, TX.
Planet Engineers Inc	Denver, CO.
Plateau, Inc	Albuquerque, NM.
Plaquemines Oil Sales	Belle Chasse, LA.
Point Landing Inc	Hanrahan, LA.
Port Oil Company, Inc	Mobile, AL.
Post Petroleum Co	West Sacramento, CA.
Power Pak Co., Inc	Houston, TX.
Pride Refining, Inc	Abilene, TX.
Pronto Gas Co	Abilene, TX.
Propane Gas & Appliance Co	New Brockton, AL.
Prosper Energy Corporation	Dallas, TX.
Pyro Energy Corporation	Evansville, IN.
Pyrofax Gas Corporation	Houston, TX.
Quaker State Oil	Oil City, PA.
Quarles Petroleum, Inc	Fredericksburg, VA.
Resources Extraction Process	Houston, TX.
Reynolds Oil Co	Kremling, CO.
Richardson Ayers Jobbers, Inc	Alexandria, LA.
Riverside Oil, Inc	Evansville, IN.
Roberts Oil Co. Inc	Albuquerque, NM.
Rookwood Oil Terminals Inc	Cincinnati, OH.
Saber Energy, Inc	Houston, TX.
Sanesco Oil Co	Escondido, CA.
Schroeder Oil Company	Carroll, IA.
Seminole Refining Inc	St. Marks, FL.
Sid Richardson Carbon & Gas	Ft. Worth, TX.
Sigmore Corporation	San Antonio, TX.
Southwestern Refining Co., Inc	Salt Lake City, UT.
Speedway Petroleum Co., Inc	Fitchburg, MA.
St. James Resources Corp	Boston, MA.
Standard Oil Co. (Indiana)	Chicago, IL.
Stinnes Inter Oil Inc	New York, NY.
Tenneco Oil Company	Houston, TX.
Texas/Arkansas/Colorado/Oklahoma/Oil Purchasing.	Dallas, TX.
Texas Gas & Exploration	Dallas, TX.
Texas Oil & Gas Corporation	Dallas, TX.
Texas Pacific Oil Company, Inc	Dallas, TX.
The True Companies	Casper, WY.
Thompson Oil Inc	Purcellville, VA.
Tiger Oil Co	Yakima, WA.
Time Oil Company	Seattle, WA.
Tipperary Corp	Midland, TX.
Tippins Oil & Gas Co	Richmond, MO.
Triton Oil & Gas Corp	Dallas, TX.
U.S. Compressed Gas Company	King of Prussia, PA.
U.S. Oil Company	Combined Locks, WI.
U.S.A. Petroleum, Inc	Santa Monica, CA.
Union Texas Petroleum Corp	Houston, TX.
United Oil Company	Hillside, NJ.
Upham Oil & Gas Co	Mineral Wells, TX.
Vangas Inc	Fresno, CA.
VGS Corporation	Jackson, MS.
Waller Petroleum Company, Inc	Towson, MD.
Warren Holding Company	Providence, RI.
Warrior Asphalt Co. of Alabama	Tuscaloosa, AL.
Webco Southern Oil Inc	Smyrna, CA.
Wellen Oil Co	Jersey City, NJ
Wiesehan Oil Co.	
Willis Distributing Company	Erie, PA.
Winston Refining Company	Fort Worth, TX.
Witco Chemical Corporation	New York, NY.
World Oil Company	Los Angeles, CA.
Worldwide Energy Corp	Denver, CO.
Young Refining Corporation	Douglasville, GA.
Zia Fuels (G.G.C. Corp.)	Hobbs, NM.

(Approved by the Office of Management and Budget under control number 1903–0073)

[50 FR 4962, Feb. 5, 1985]

Subparts B–D [Reserved]

PART 212—MANDATORY PETROLEUM PRICE REGULATIONS

AUTHORITY: Emergency Petroleum Allocation Act of 1973, Pub. L. 93–159, E.O. 11748, 38 FR 33577; Economic Stabilization Act of 1970, as amended, Pub. L. 92–210, 85 Stat. 743; Pub. L. 93–28, 87 Stat. 27; E.O. 11748, 38 FR 33575; Cost of Living Council Order Number 47, FR 24.

Subparts A–C [Reserved]

Subpart D—Producers of Crude Oil

§ 212.78 Tertiary incentive crude oil.

Annual prepaid expenses report. By January 31 of each year after 1980, the project operator with respect to any enhanced oil recovery project for which a report had been filed previously with DOE pursuant to paragraph (h)(2)(i) of this section as that paragraph was in effect on January 27, 1981, shall file with DOE a report in which the operator shall certify to DOE (a) which of the expenses that had been reported previously to DOE pursuant to paragraph (h)(2)(i) of this section as that paragraph was in effect on January 27, 1981, were prepaid expenses; (b) the goods or services for which such expenses had been incurred and paid; (c) the dates on which such goods or services are intended to be used; (d) the dates on which such goods or services actually are used; (e) the identity of each qualified producer to which such prepaid expenses had been attributed; and (f) the percentage of such prepaid expenses attributed to each such qualified producer. An operator shall file an annual prepaid expenses report each year until it has reported the actual use of all the goods and services for which a prepaid expense had been incurred and paid. For purposes of this

paragraph, a prepaid expense is an expense for any injectant or fuel used after September 30, 1981, or an expense for any other item to the extent that IRS would allocate the deductions (including depreciation) for that item to the period after September 30, 1981.

(Approved by the Office of Management and Budget under OMB Control No.: 1903–0069)

[46 FR 43654, Aug. 31, 1981, as amended at 46 FR 63209, Dec. 31, 1981]

Subparts E–I [Reserved]

PART 215—COLLECTION OF FOREIGN OIL SUPPLY AGREEMENT INFORMATION

Sec.

215.1 Purpose.
215.2 Definitions.
215.3 Supply reports.
215.4 Production of contracts and documents.
215.5 Pricing and volume reports.
215.6 Notice of negotiations.

AUTHORITY: Emergency Petroleum Allocation Act of 1973, Pub. L. 93–519, as amended, Pub. L. 93–511, Pub. L. 94–99, Pub. L. 94–133 and Pub. L. 94–163, and Pub. L. 94–385; Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended, Pub. L. 94–385; Energy Policy and Conservation Act, Pub. L. 94–163, as amended, Pub. L. 94–385; E.O. 11790, 39 FR 23185.

SOURCE: 42 FR 48330, Sept. 23, 1977, unless otherwise noted.

§ 215.1 Purpose.

The purpose of this part is to set forth certain requirements pursuant to section 13 of the Federal Energy Administration Act to furnish information concerning foreign crude oil supply arrangements. The authority set out in this section is not exclusive.

§ 215.2 Definitions.

As used in this subpart:

Administrator means the Federal Energy Administrator or his delegate.

DOE means the Department of Energy.

Host government means the government of the country in which crude oil is produced and includes any entity which it controls, directly or indirectly.

Person means any natural person, corporation, partnership, association, consortium, or any other entity doing business or domiciled in the U.S. and includes (a) any entity controlled directly or indirectly by such a person and (b) the interest of such a person in any joint venture, consortium or other entity to the extent of entitlement to crude oil by reason of such interest.

§ 215.3 Supply reports.

(a) Any person having the right to lift for export by virtue of any equity interest, reimbursement for services, exchange or purchase, from any country, from fields actually in production, (1) an average of 150,000 barrels per day or more of crude oil for a period of at least one year, or (2) a total of 55,000,000 barrels of crude oil for a period of less than one year, or (3) a total of 150,000,000 barrels of crude oil for the period specified in the agreement, pursuant to supply arrangements with the host government, shall report the following information.

(1) Parties (including partners and percentage interest, where applicable).

(2) Grade or grades available; loading terminal or terminals.

(3) Government imposed production limits, if any.

(4) Minimum lifting obligation and maximum lifting rights.

(5) Details of lifting options within the above limits.

(6) Expiration and renegotiation dates.

(7) Price terms including terms of rebates, discounts, and number of days of credit calculated from the date of loading.

(8) Other payments to or interests retained by the host government (i.e. taxes, royalties, and any other payment to the host government) expressed in terms of the applicable rates or payment or preemption terms, or the base to which those rates or terms are applied.

(9) Related service or other fees and cost of providing services.

(10) Restrictions on shipping or disposition.

(11) Other material contract terms.

(b) Reports under this section shall be made no later than (1) 60 days after

final issuance of reporting forms implementing this regulation, as announced in the FEDERAL REGISTER, (2) fourteen days after the date when supply arrangements are entered into, or (3) fourteen days after the initial lifting under an agreement in which the parties have tentatively concurred but not signed, whichever occurs first. Reporting shall be based on actual practice between the parties. Material changes in any item which must be reported pursuant to this section shall be reported no later than 30 days after a person receives actual notice of such changes.

(c) Where reports under this section by each participant in a joint operation would be impracticable, or would result in the submission of inaccurate or misleading information, the participants acting together may designate a single participant to report on any of the rights, obligations, or limitations affecting the operation as a whole. Any such designation shall be signed by a duly authorized representative of each participant, and shall specify:

(1) The precise rights, obligations, or limitations to be covered by the designation; and

(2) The reasons for the designation. Such designations shall be submitted to the Assistant Administrator for International Energy Affairs, and shall take effect only upon his written approval, which may at any time be revoked.

§ 215.4 Production of contracts and documents.

Whenever the Administrator determines that certain foreign crude oil supply information is necessary to assist in the formulation of energy policy or to carry out any other function of the Administrator, he may require the production by any person of any agreement or document relating to foreign oil supply arrangements or reports related thereto. Such material shall be provided pursuant to the conditions prescribed by the Administrator at the time of such order or subsequently. As used in this section, the term ''agreement'' includes proposed or draft agreements, and agreements in which the parties have tentatively concurred but have not yet signed, between or among persons and a host country.

§ 215.5 Pricing and volume reports.

To the extent not reported pursuant to § 215.3, any person lifting for export crude oil from a country shall report to the DOE within 30 days of the date on which he receives actual notice:

(a) Any change (including changes in the timing of collection) by the host government in official selling prices, royalties, host government taxes, service fees, quality or port differentials, or any other payments made directly or indirectly for crude oil; changes in participation ratios; changes in concessionary arrangements; and

(b) Any changes in restrictions on lifting, production, or disposition.

§ 215.6 Notice of negotiations.

Any person conducting negotiations with a host government which may reasonably lead to the establishment of any supply arrangement subject to reporting pursuant to § 215.3(a), or may reasonably have a significant effect on the terms and conditions of an arrangement subject to § 215.3(a), shall notify DOE of such negotiations. Such notice shall be made no later than the later of 30 days after the effective date of this regulation or within 14 days after such negotiations meet the conditions of this section, and shall specify all persons involved and the host government affected. Notice must be in writing to the Assistant Administrator for International Energy Affairs. Where this notice pertains to negotiations to modify a supply agreement previously reported to the Department of Energy under this part, such notice shall include the agreement serial number assigned to the basic agreement.

PART 216—MATERIALS ALLOCATION AND PRIORITY PERFORMANCE UNDER CONTRACTS OR ORDERS TO MAXIMIZE DOMESTIC ENERGY SUPPLIES

Sec.

216.1 Introduction.
216.2 Definitions.
216.3 Requests for assistance.
216.4 Evaluation by DOE of applications.
216.5 Notification of findings.

216.6 Petition for reconsideration.
216.7 Conflict in priority orders.
216.8 Communications.
216.9 Violations.

AUTHORITY: Section 104 of the Energy Policy and Conservation Act (EPCA), Pub. L. 94–163, 89 Stat. 871; section 101(c) of the Defense Production Act of 1950, 50 U.S.C. 4511(c); E.O. 12919, 59 FR 29525 (June 7, 1994); E.O. 13286, 68 FR 10619 (March 5, 2003); 15 CFR part 700; Defense Priorities and Allocations System Delegation No. 2 (Aug. 6, 2002), as amended at 15 CFR part 700.

SOURCE: 43 FR 6212, Feb. 14, 1978, unless otherwise noted.

§ 216.1 Introduction.

(a) This part describes and establishes the procedures to be used by the Department of Energy (DOE) in considering and making certain findings required by section 101(c)(2)(A) of the Defense Production Act of 1950, as amended, 50 U.S.C. app. 2071(c)(2)(A) (DPA). Section 101(c) authorizes the allocation of, or priority performance under contracts or orders (other than contracts of employment) relating to, materials and equipment, services, or facilities in order to maximize domestic energy supplies if the findings described in section 101(c)(2) are made. Among these findings are that such supplies of materials and equipment, services, or facilities are critical and essential to maintain or further exploration, production, refining, transportation or the conservation of energy supplies or for the construction or maintenance of energy facilities. The function of finding that supplies are critical and essential was delegated to the Secretary of Energy pursuant to E.O. 12919 (59 FR 29525, June 7, 1994) and Department of Commerce Defense Priorities and Allocations System Delegation No. 2, 15 CFR part 700.

(b) The purpose of these regulations is to establish the procedures and criteria to be used by DOE in determining whether programs or projects maximize domestic energy supplies and whether or not supplies of materials and equipment, services, or facilities are critical and essential, as required by DPA section 101(c)(2)(A). The critical and essential finding will be made only for supplies of materials and equipment, services, or facilities related to those programs or projects determined by DOE to maximize domestic energy supplies. These regulations do not require or imply that the findings, on which the exercise of such authority is conditioned, will be made in any particular case.

(c) If DOE determines that a program or project maximizes domestic energy supplies and finds that supplies of materials and equipment, services, or facilities are critical and essential to maintain or further the exploration, production, refining, transportation or conservation of energy supplies or for the construction or maintenance of energy facilities, such determination and finding will be communicated to the Department of Commerce (DOC). If not, the applicant will be so informed. If the determination and finding described in this paragraph are made, DOC, pursuant to DPA section 101(c) and section 203 of E.O. 12919, will find whether or not: The supplies of materials and equipment, services, or facilities in question are scarce; and maintenance or furtherance of exploration, production, refining, transportation, or conservation of energy supplies or the construction or maintenance of energy facilities cannot be reasonably accomplished without exercising the authority specified in DPA section 101(c). If these additional two findings are made, DOC will notify DOE, and DOE will inform the applicant that it has been granted the right to use priority ratings under the Defense Priorities and Allocations System (DPAS) regulation established by the DOC, 15 CFR part 700.

[73 FR 10983, Feb. 29, 2008]

§ 216.2 Definitions.

As used in these regulations:

(a) *Secretary* means the Secretary of the Department of Energy.

(b) *Applicant* means a person requesting priorities or allocation assistance in connection with an energy program or project.

(c) *Application* means the written request of an applicant for assistance.

(d) *Assistance* means use of the authority vested in the President by DPA section 101(c) to implement priorities and allocation support.

(e) *DHS* means the Department of Homeland Security.

(f) *DOC* means the Department of Commerce.

(g) *DOE* means the Department of Energy.

(h) *Defense Priorities and Allocations System Coordination Office* means the Department of Energy, Office of Electricity.

(i) *Eligible energy program or project* means a designated activity which maximizes domestic energy supplies by furthering the exploration, production, refining, transportation or conservation of energy supplies or construction or maintenance of energy facilities within the meaning of DPA section 101(c), as determined by DOE.

(j) *Facilities* means all types of buildings, structures, or other improvements to real property (but excluding farms, churches or other places of worship, and private dwelling houses), and services relating to the use of any such building, structure, or other improvement.

(k) *Materials and equipment* means: (1) Any raw materials (including minerals, metals, and advanced processed materials), commodities, articles, components (including critical components), products, and items of supply; and

(2) Any technical information or services ancillary to the use of such raw materials, commodities, articles, components, products, or items.

(l) *National Defense* means programs for military and energy production or construction, military assistance to any foreign nation, stockpiling, space, and any directly related activity. Such term also includes emergency preparedness activities conducted pursuant to title VI of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195, *et seq.*) and critical infrastructure protection and restoration.

(m) *Person* means an individual, corporation, partnership, association, or any other organized group of persons, or legal successor or representative thereof, or any state or local government or agency thereof.

(n) *Services* include any effort that is needed for or incidental to:

(1) The development, production, processing, distribution, delivery, or use of an industrial resource, or critical technology item; or

(2) The construction of facilities.

[43 FR 6212, Feb. 14, 1978, as amended at 51 FR 8311, Mar. 11, 1986; 73 FR 10983, Feb. 29, 2008; 85 FR 31669, May 27, 2020]

§ 216.3 Requests for assistance.

(a) Persons who believe that they perform work associated with a program or project which may qualify as an eligible energy program or project and wishing to receive assistance as authorized by DPA section 101(c)(1) may submit an application to DOE requesting DOE to determine whether a program or project maximizes domestic energy supplies and to find whether or not specific supplies of materials and equipment, services, or facilities identified in the application are critical and essential for a purpose identified in section 101(c). The application shall be sent to: U.S. Department of Energy, Attn: Office of Electricity, Forrestal Building, 1000 Independence Avenue, SW., Washington, DC 20585. The application shall contain the following information:

(1) The name and address of the applicant and of its duly authorized representative.

(2) A description of the energy program or project for which assistance is requested and an assessment of its impact on the maximization of domestic energy supplies.

(3) The amount of energy to be produced by the program or project which is directly affected by the supplies of the materials and equipment, services, or facilities in question.

(4) A statement explaining why the materials and equipment, services, or facilities for which assistance is requested are critical and essential to the construction or operation of the energy project or program.

(5) A detailed description of the specific supplies of materials and equipment, services, or facilities in connection with which assistance is requested, including: Components, performance data (capacity, life duration, etc.), standards, acceptable tolerances in dimensions and specifications, current inventory, present and expected rates of use, anticipated deliveries and substitution possibilities (feasibility of using other materials and equipment, services, or facilities).

(6) A detailed description of the sources of supply, including: The name of the regular supplying company or companies, other companies capable of supplying the materials and equipment, services, or facilities; location of supplying plants or plants capable of supplying the needed materials and equipment, services, or facilities; possible suppliers for identical or substitutable materials and equipment, services, or facilities and possible foreign sources of supply.

(7) A detailed description of the delivery situation, including: Normal delivery times, promised delivery time without priorities assistance, and delivery time required for expeditious fulfillment or completion of the program or project.

(8) Evidence of the applicant's unsuccessful efforts to obtain on a timely basis the materials and equipment, services, or facilities in question through normal business channels from current or other known suppliers.

(9) A detailed estimate of the delay in fulfilling or completing the energy program or project which will be caused by inability to obtain the specified materials and equipment, services, or facilities in the usual course of business.

(10) Any known conflicts with rated orders already issued pursuant to the DPA for supplies of the described materials and equipment, services, or facilities.

(b) DOE, on consultation with the DOC, may prescribe standard forms of application or letters of instruction for use by all persons seeking assistance.

(c) In addition to the information described above, DOE may from time to time request whatever additional information it reasonably believes is relevant to the discharge of its functions pursuant to DPA section 101(c).

[43 FR 6212, Feb. 14, 1978, as amended at 51 FR 8311, Mar. 11, 1986; 73 FR 10983, Feb. 29, 2008; 85 FR 31669, May 27, 2020]

§ 216.4 Evaluation by DOE of applications.

(a) Based on the information provided by the applicant and other available information, DOE will:

(1) Determine whether or not the energy program or project in connection with which the application is made maximizes domestic energy supplies and should be designated an eligible energy program or project; and

(2) Find whether the described supplies of materials and equipment, services, or facilities are critical and essential to the eligible energy program or project.

(b) In determining whether the program or project referred to in the application should be designated an eligible energy program or project, DOE will consider all factors which it considers relevant including, but not limited to, the following:

(1) Quantity of energy involved;

(2) Benefits of timely energy program furtherance or project completion;

(3) Socioeconomic impact;

(4) The need for the end product for which the materials and equipment, services, or facilities are allegedly required; and

(5) Established national energy policies.

(c) In finding whether the supplies of materials and equipment, services, or facilities described in the application are critical and essential to an eligible energy program or project, DOE will consider all factors which it considers relevant including, but not limited to, the following:

(1) Availability and utility of substitute materials and equipment, services, or facilities; and

(2) Impact of the nonavailability of the specific supplies of materials and equipment, services, or facilities on the furtherance or timely completion of the approved energy program or project.

(d) Increased costs which may be associated with obtaining materials and equipment, services, or facilities without assistance shall not be considered a valid reason for finding the materials and equipment, services, or facilities to be critical and essential.

(e) After DOE has determined a program or project to be an eligible energy program or project, this determination shall be deemed made with regard to subsequent applications involving the same program or project unless and until DOE announces otherwise.

[43 FR 6212, Feb. 14, 1978, as amended at 73 FR 10984, Feb. 29, 2008]

§ 216.5 Notification of findings.

(a) DOE will notify DOC if it finds that supplies of materials and equipment, services, or facilities for which an applicant requested assistance are critical and essential to an eligible energy program or project, and in such cases will forward to DOC the application and whatever information or comments DOE believes appropriate. If DOE believes at any time that findings previously made may no longer be valid, it will immediately notify the DOC and the affected applicant(s) and afford such applicant(s) an opportunity to show cause why such findings should not be withdrawn.

(b) If DOC notifies DOE that DOC has found that supplies of materials and equipment, services, or facilities for which the applicant requested assistance are scarce and that the related eligible energy program or project cannot reasonably be accomplished without exercising the authority specified in DPA section 101(c)(1), DOE will notify the applicant that the applicant is authorized to place rated orders for specific materials and equipment, services, or facilities pursuant to the provisions of the DOC's DPAS regulation.

[73 FR 10984, Feb. 29, 2008]

§ 216.6 Petition for reconsideration.

If DOE, after evaluating an application in accordance with § 216.4, does not determine that the energy program or project maximizes domestic energy supplies or does not find that the supplies of materials and equipment, services, or facilities described in the application are critical and essential to an eligible energy program or project, it will so notify the applicant and the applicant may petition DOE for reconsideration. If DOE concludes at any time that findings previously made are no longer valid and should be withdrawn, DOE will so notify the affected applicant(s), and such applicant(s) may petition DOE for reconsideration of the withdrawal decision. A petition is deemed accepted when received by DOE at the address stated in § 216.8. DOE will consider the petition for reconsideration and either grant or deny the relief requested. Written notice of the decision and of the reasons for the decision will be provided to the applicant. There has not been an exhaustion of administrative remedies until a petition for reconsideration has been submitted and the review procedure completed by grant or denial of the relief requested. The denial of relief requested in a petition for reconsideration is a final administrative decision.

[43 FR 6212, Feb. 14, 1978, as amended at 51 FR 8312, Mar. 11, 1986; 73 FR 10984, Feb. 29, 2008]

§ 216.7 Conflict in priority orders.

If it appears that the use of assistance pursuant to DPA section 101(c) creates or threatens to create a conflict with priorities and allocation support provided in connection with the national defense pursuant to DPA section 101(a), DOE will work with the DOC and other claimant agencies affected by the conflict to reschedule deliveries or otherwise accommodate the competing demands. If acceptable solutions cannot be agreed upon by the claimant agencies DHS will attempt to resolve the conflicts.

[43 FR 6212, Feb. 14, 1978, as amended at 51 FR 8312, Mar. 11, 1986; 73 FR 10984, Feb. 29, 2008]

§ 216.8 Communications.

All written communications concerning these regulations shall be addressed to: U.S. Department of Energy, Attention: Office of Electricity, Forrestal Building, 1000 Independence Avenue, SW., Washington, DC 20585.

[73 FR 10984, Feb. 29, 2008, as amended at 85 FR 31669, May 27, 2020]

§ 216.9 Violations.

Any person who willfully furnishes false information or conceals any material fact in the course of the application process or in a petition for reconsideration is guilty of a crime, and upon conviction may be punished by fine or imprisonment or both.

PART 217—ENERGY PRIORITIES AND ALLOCATIONS SYSTEM

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APPENDIX I TO PART 217—SAMPLE FORM DOE F 544 (05–11)

AUTHORITY: Defense Production Act of 1950, as amended, 50 U.S.C. 4501–4568; E.O. 12919, as amended, (59 FR 29525 June 7, 1994).

SOURCE: 76 FR 33619, June 9, 2011, unless otherwise noted.

Subpart A—General

§ 217.1 Purpose of this part.

This part provides guidance and procedures for use of the Defense Production Act section 101(a) priorities and allocations authority with respect to all forms of energy necessary or appropriate to promote the national defense. (The guidance and procedures in this part are consistent with the guidance and procedures provided in other regulations that, as a whole, form the Federal Priorities and Allocations System. Guidance and procedures for use of the Defense Production Act priorities and allocations authority with respect to other types of resources are provided for: Food resources, food resource facilities, and the domestic distribution of farm equipment and commercial fertilizer; health resources; all forms of civil transportation (49 CFR Part 33); water resources; and all other materials, services, and facilities, including construction materials in the Defense Priorities and Allocations System (DPAS) regulation (15 CFR Part 700).) Department of Energy (DOE) regulations at 10 CFR Part 216 describe and establish the procedures to be used by DOE in considering and making certain findings required by section 101(c)(2)(A) of the Defense Production Act of 1950, as amended.

§ 217.2 Priorities and allocations authority.

(a) Section 201 of E.O. 12919 (59 FR 29525) delegates the President's authority under section 101 of the Defense Production Act to require acceptance and priority performance of contracts

and orders (other than contracts of employment) to promote the national defense over performance of any other contracts or orders, and to allocate materials, services, and facilities as deemed necessary or appropriate to promote the national defense to:

(1) The Secretary of Agriculture with respect to food resources, food resource facilities, and the domestic distribution of farm equipment and commercial fertilizer;

(2) The Secretary of Energy with respect to all forms of energy;

(3) The Secretary of Health and Human Services with respect to health resources;

(4) The Secretary of Transportation with respect to all forms of civil transportation;

(5) The Secretary of Defense with respect to water resources; and

(6) The Secretary of Commerce for all other materials, services, and facilities, including construction materials.

(b) Section 202 of E.O. 12919 states that the priorities and allocations authority delegated in section 201 of this order may be used only to support programs that have been determined in writing as necessary or appropriate to promote the national defense:

(1) By the Secretary of Defense with respect to military production and construction, military assistance to foreign nations, stockpiling, outer space, and directly related activities;

(2) By the Secretary of Energy with respect to energy production and construction, distribution and use, and directly related activities; and

(3) By the Secretary of Homeland Security with respect to essential civilian needs supporting national defense, including civil defense and continuity of government and directly related activities.

§ 217.3 Program eligibility.

Certain programs to promote the national defense are eligible for priorities and allocations support. These include programs for military and energy production or construction, military or critical infrastructure assistance to any foreign nation, deploying and sustaining military forces, homeland security, stockpiling, space, and any directly related activity. Other eligible programs include emergency preparedness activities conducted pursuant to title VI of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195 *et seq.*) and critical infrastructure protection and restoration.

Subpart B—Definitions

§ 217.20 Definitions.

The following definitions pertain to all sections of this part:

Allocation order means an official action to control the distribution of materials, services, or facilities for a purpose deemed necessary or appropriate to promote the national defense.

Allotment means an official action that specifies the maximum quantity or use of a material, service, or facility authorized for a specific use to promote the national defense.

Approved program means a program determined by the Secretary of Defense, the Secretary of Energy, or the Secretary of Homeland Security to be necessary or appropriate to promote the national defense, in accordance with section 202 of E.O. 12919.

Civil transportation includes movement of persons and property by all modes of transportation in interstate, intrastate, or foreign commerce within the United States, its territories and possessions, and the District of Columbia, and, without limitation, related public storage and warehousing, ports, services, equipment and facilities, such as transportation carrier shop and repair facilities. However, ''civil transportation'' shall not include transportation owned or controlled by the Department of Defense, use of petroleum and gas pipelines, and coal slurry pipelines used only to supply energy production facilities directly. As applied herein, ''civil transportation'' shall include direction, control, and coordination of civil transportation capacity regardless of ownership.

Construction means the erection, addition, extension, or alteration of any building, structure, or project, using materials or products which are to be an integral and permanent part of the building, structure, or project. Construction does not include maintenance and repair.

Critical infrastructure means any systems and assets, whether physical or cyber-based, so vital to the United States that the degradation or destruction of such systems and assets would have a debilitating impact on national security, including, but not limited to, national economic security and national public health or safety.

Defense Production Act means the Defense Production Act of 1950, as amended (50 U.S.C. App. 2061 *et seq.*).

Delegate Agency means a Federal government agency authorized by delegation from the Department of Energy to place priority ratings on contracts or orders needed to support approved programs.

Directive means an official action that requires a person to take or refrain from taking certain actions in accordance with its provisions.

Emergency preparedness means all those activities and measures designed or undertaken to prepare for or minimize the effects of a hazard upon the civilian population, to deal with the immediate emergency conditions which would be created by the hazard, and to effectuate emergency repairs to, or the emergency restoration of, vital utilities and facilities destroyed or damaged by the hazard. Such term includes the following:

(1) Measures to be undertaken in preparation for anticipated hazards (including the establishment of appropriate organizations, operational plans, and supporting agreements, the recruitment and training of personnel, the conduct of research, the procurement and stockpiling of necessary materials and supplies, the provision of suitable warning systems, the construction or preparation of shelters, shelter areas, and control centers, and, when appropriate, the nonmilitary evacuation of the civilian population).

(2) Measures to be undertaken during a hazard (including the enforcement of passive defense regulations prescribed by duly established military or civil authorities, the evacuation of personnel to shelter areas, the control of traffic and panic, and the control and use of lighting and civil communications).

(3) Measures to be undertaken following a hazard (including activities for fire fighting, rescue, emergency medical, health and sanitation services, monitoring for specific dangers of special weapons, unexploded bomb reconnaissance, essential debris clearance, emergency welfare measures, and immediately essential emergency repair or restoration of damaged vital facilities).

Energy means all forms of energy including petroleum, gas (both natural and manufactured), electricity, solid fuels (including all forms of coal, coke, coal chemicals, coal liquification, and coal gasification), and atomic energy, and the production, conservation, use, control, and distribution (including pipelines) of all of these forms of energy.

Facilities includes all types of buildings, structures, or other improvements to real property (but excluding farms, churches or other places of worship, and private dwelling houses), and services relating to the use of any such building, structure, or other improvement.

Farm equipment means equipment, machinery, and repair parts manufactured for use on farms in connection with the production or preparation for market use of food resources.

Fertilizer means any product or combination of products that contain one or more of the elements—nitrogen, phosphorus, and potassium—for use as a plant nutrient.

Food resources means all commodities and products, simple, mixed, or compound, or complements to such commodities or products, that are capable of being ingested by either human beings or animals, irrespective of other uses to which such commodities or products may be put, at all stages of processing from the raw commodity to the products thereof in vendible form for human or animal consumption. ''Food resources'' also means all starches, sugars, vegetable and animal or marine fats and oils, cotton, tobacco, wool, mohair, hemp, flax fiber, and naval stores, but does not mean any such material after it loses its identity as an agricultural commodity or agricultural product.

Food resource facilities means plants, machinery, vehicles (including on-farm), and other facilities required for

the production, processing, distribution, and storage (including cold storage) of food resources, livestock and poultry feed and seed, and for the domestic distribution of farm equipment and fertilizer (excluding transportation thereof).

Hazard means an emergency or disaster resulting from:

(1) A natural disaster; or

(2) An accidental or human-caused event.

Health resources means drugs, biological products, medical devices, diagnostics, materials, facilities, health supplies, services and equipment required to diagnose, prevent the impairment of, improve, or restore the physical or mental health conditions of the population.

Homeland security includes efforts—

(1) To prevent terrorist attacks within the United States;

(2) To reduce the vulnerability of the United States to terrorism;

(3) To minimize damage from a terrorist attack in the United States; and

(4) To recover from a terrorist attack in the United States.

Industrial resources means all materials, services, and facilities, including construction materials, but not including: food resources, food resource facilities, and the domestic distribution of farm equipment and commercial fertilizer; all forms of energy; health resources; all forms of civil transportation; and water resources.

Item means any raw, in process, or manufactured material, article, commodity, supply, equipment, component, accessory, part, assembly, or product of any kind, technical information, process, or service.

Maintenance and repair and operating supplies or *MRO*—

(1) ''Maintenance'' is the upkeep necessary to continue any plant, facility, or equipment in working condition.

(2) ''Repair'' is the restoration of any plant, facility, or equipment to working condition when it has been rendered unsafe or unfit for service by wear and tear, damage, or failure of parts.

(3) ''Operating supplies'' are any resources carried as operating supplies according to a person's established accounting practice. Operating supplies may include hand tools and expendable tools, jigs, dies, fixtures used on production equipment, lubricants, cleaners, chemicals and other expendable items.

(4) MRO does not include items produced or obtained for sale to other persons or for installation upon or attachment to the property of another person, or items required for the production of such items; items needed for the replacement of any plant, facility, or equipment; or items for the improvement of any plant, facility, or equipment by replacing items which are still in working condition with items of a new or different kind, quality, or design.

Materials includes—

(1) Any raw materials (including minerals, metals, and advanced processed materials), commodities, articles, components (including critical components), products, and items of supply; and

(2) Any technical information or services ancillary to the use of any such materials, commodities, articles, components, products, or items.

(3) Natural resources such as oil and gas.

National defense means programs for military and energy production or construction, military or critical infrastructure assistance to any foreign nation, homeland security, stockpiling, space, and any directly related activity. Such term includes emergency preparedness activities conducted pursuant to title VI of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195, *et seq.*) and critical infrastructure protection and restoration.

Official action means an action taken by the Department of Energy or another resource agency under the authority of the Defense Production Act, E.O. 12919, and this part or another regulation under the Federal Priorities and Allocations System. Such actions include the issuance of Rating Authorizations, Directives, Set Asides, Allotments, Letters of Understanding, Memoranda of Understanding, Demands for Information, Inspection Authorizations, and Administrative Subpoenas.

Person includes an individual, corporation, partnership, association, or any other organized group of persons, or legal successor or representative thereof, or any State or local government or agency thereof.

Rated order means a prime contract, a subcontract, or a purchase order in support of an approved program issued in accordance with the provisions of this part.

Resource agency means any agency delegated priorities and allocations authority as specified in § 217.2.

Secretary means the Secretary of Energy.

Services includes any effort that is needed for or incidental to—

(1) The development, production, processing, distribution, delivery, or use of an industrial resource or a critical technology item;

(2) The construction of facilities;

(3) The movement of individuals and property by all modes of civil transportation; or

(4) Other national defense programs and activities.

Set-aside means an official action that requires a person to reserve materials, services, or facilities capacity in anticipation of the receipt of rated orders.

Stafford Act means title VI (Emergency Preparedness) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5195–5197g).

Water resources means all usable water, from all sources, within the jurisdiction of the United States, which can be managed, controlled, and allocated to meet emergency requirements.

Subpart C—Placement of Rated Orders

§ 217.30 Delegations of authority.

(a) The priorities and allocations authorities of the President under Title I of the Defense Production Act with respect to all forms of energy have been delegated to the Secretary of Energy under E.O. 12919 of June 3, 1994 (59 FR 29525).

(b) The Department of Commerce has delegated authority to the Department of Energy to provide for extension of priority ratings for ''industrial resources,'' as provided in § 261.35 of this part, to support rated orders for all forms of energy.

§ 217.31 Priority ratings.

(a) Levels of priority.

(1) There are two levels of priority established by the Energy Priorities and Allocations System regulations, identified by the rating symbols ''DO'' and ''DX''.

(2) All DO-rated orders have equal priority with each other and take precedence over unrated orders. All DX-rated orders have equal priority with each other and take precedence over DO-rated orders and unrated orders. (For resolution of conflicts among rated orders of equal priority, see § 217.34(c).)

(3) In addition, a Directive regarding priority treatment for a given item issued by the Department of Energy for that item takes precedence over any DX-rated order, DO-rated order, or unrated order, as stipulated in the Directive. (For a full discussion of Directives, see § 217.62.)

(b) Program identification symbols. Program identification symbols indicate which approved program is being supported by a rated order. The list of currently approved programs and their identification symbols are listed in Schedule 1, set forth as an appendix to 15 CFR part 700. For example, DO–F3 identifies a domestic energy construction program. Additional programs may be approved under the procedures of E.O. 12919 at any time. Program identification symbols do not connote any priority.

(c) Priority ratings. A priority rating consists of the rating symbol—DO or DX—and the program identification symbol, such as F1, F2, or F3. Thus, a contract for a domestic energy construction program will contain a DO–F3 or DX–F3 priority rating.

§ 217.32 Elements of a rated order.

Each rated order must include:

(a) The appropriate priority rating (*e.g.* DO–F1 or DX–F1)

(b) A required delivery date or dates. The words ''immediately'' or ''as soon as possible'' do not constitute a delivery date. A ''requirements contract'',

''basic ordering agreement'', ''prime vendor contract'', or similar procurement document bearing a priority rating may contain no specific delivery date or dates and may provide for the furnishing of items or service from time to time or within a stated period against specific purchase orders, such as ''calls'', ''requisitions'', and ''delivery orders''. These purchase orders must specify a required delivery date or dates and are to be considered as rated as of the date of their receipt by the supplier and not as of the date of the original procurement document;

(c) The written signature on a manually placed order, or the digital signature or name on an electronically placed order, of an individual authorized to sign rated orders for the person placing the order. The signature or use of the name certifies that the rated order is authorized under this part and that the requirements of this part are being followed; and

(d)(1) A statement that reads in substance:

This is a rated order certified for national defense use, and you are required to follow all the provisions of the Energy Priorities and Allocations System regulation at 10 CFR part 217.

(2) If the rated order is placed in support of emergency preparedness requirements and expedited action is necessary and appropriate to meet these requirements, the following sentences should be added following the statement set forth in paragraph (d)(1) of this section:

This rated order is placed for the purpose of emergency preparedness. It must be accepted or rejected within 2 days after receipt of the order if (1) The order is issued in response to a hazard that has occurred; or

(2) If the order is issued to prepare for an imminent hazard, as specified in EPAS Section 217.33(e), 10 CFR 217.33(e).

§ 217.33 Acceptance and rejection of rated orders.

(a) *Mandatory acceptance.* (1) Except as otherwise specified in this section, a person shall accept every rated order received and must fill such orders regardless of any other rated or unrated orders that have been accepted.

(2) A person shall not discriminate against rated orders in any manner such as by charging higher prices or by imposing different terms and conditions than for comparable unrated orders.

(b) *Mandatory rejection.* Unless otherwise directed by the Department of Energy for a rated order involving all forms of energy:

(1) A person shall not accept a rated order for delivery on a specific date if unable to fill the order by that date. However, the person must inform the customer of the earliest date on which delivery can be made and offer to accept the order on the basis of that date. Scheduling conflicts with previously accepted lower rated or unrated orders are not sufficient reason for rejection under this section.

(2) A person shall not accept a DO-rated order for delivery on a date which would interfere with delivery of any previously accepted DO- or DX-rated orders. However, the person must offer to accept the order based on the earliest delivery date otherwise possible.

(3) A person shall not accept a DX-rated order for delivery on a date which would interfere with delivery of any previously accepted DX-rated orders, but must offer to accept the order based on the earliest delivery date otherwise possible.

(4) If a person is unable to fill all of the rated orders of equal priority status received on the same day, the person must accept, based upon the earliest delivery dates, only those orders which can be filled, and reject the other orders. For example, a person must accept order A requiring delivery on December 15 before accepting order B requiring delivery on December 31. However, the person must offer to accept the rejected orders based on the earliest delivery dates otherwise possible.

(c) *Optional rejection.* Unless otherwise directed by the Department of Energy for a rated order involving all forms of energy, rated orders may be rejected in any of the following cases as long as a supplier does not discriminate among customers:

(1) If the person placing the order is unwilling or unable to meet regularly established terms of sale or payment;

(2) If the order is for an item not supplied or for a service not capable of being performed;

(3) If the order is for an item or service produced, acquired, or provided only for the supplier's own use for which no orders have been filled for two years prior to the date of receipt of the rated order. If, however, a supplier has sold some of these items or provided similar services, the supplier is obligated to accept rated orders up to that quantity or portion of production or service, whichever is greater, sold or provided within the past two years;

(4) If the person placing the rated order, other than the U.S. Government, makes the item or performs the service being ordered;

(5) If acceptance of a rated order or performance against a rated order would violate any other regulation, official action, or order of the Department of Energy, issued under the authority of the Defense Production Act or another relevant statute.

(d) *Customer notification requirements.* (1) Except as provided in this paragraph, a person must accept or reject a rated order in writing or electronically within fifteen (15) working days after receipt of a DO rated order and within ten (10) working days after receipt of a DX rated order. If the order is rejected, the person must give reasons in writing or electronically for the rejection.

(2) If a person has accepted a rated order and subsequently finds that shipment or performance will be delayed, the person must notify the customer immediately, give the reasons for the delay, and advise of a new shipment or performance date. If notification is given verbally, written or electronic confirmation must be provided within five (5) working days.

(e) *Exception for emergency preparedness conditions.* If the rated order is placed for the purpose of emergency preparedness, a person must accept or reject a rated order and transmit the acceptance or rejection in writing or in an electronic format within 2 days after receipt of the order if:

(1) The order is issued in response to a hazard that has occurred; or

(2) The order is issued to prepare for an imminent hazard.

§ 217.34 Preferential scheduling.

(a) A person must schedule operations, including the acquisition of all needed production items or services, in a timely manner to satisfy the delivery requirements of each rated order. Modifying production or delivery schedules is necessary only when required delivery dates for rated orders cannot otherwise be met.

(b) DO-rated orders must be given production preference over unrated orders, if necessary to meet required delivery dates, even if this requires the diversion of items being processed or ready for delivery or services being performed against unrated orders. Similarly, DX-rated orders must be given preference over DO-rated orders and unrated orders. (Examples: If a person receives a DO-rated order with a delivery date of June 3 and if meeting that date would mean delaying production or delivery of an item for an unrated order, the unrated order must be delayed. If a DX-rated order is received calling for delivery on July 15 and a person has a DO-rated order requiring delivery on June 2 and operations can be scheduled to meet both deliveries, there is no need to alter production schedules to give any additional preference to the DX-rated order.)

(c) Conflicting rated orders.

(1) If a person finds that delivery or performance against any accepted rated orders conflicts with the delivery or performance against other accepted rated orders of equal priority status, the person shall give precedence to the conflicting orders in the sequence in which they are to be delivered or performed (not to the receipt dates). If the conflicting orders are scheduled to be delivered or performed on the same day, the person shall give precedence to those orders that have the earliest receipt dates.

(2) If a person is unable to resolve rated order delivery or performance conflicts under this section, the person should promptly seek special priorities assistance as provided in §§ 217.40 through 217.44. If the person's customer objects to the rescheduling of delivery

or performance of a rated order, the customer should promptly seek special priorities assistance as provided in §§ 217.40 through 217.44. For any rated order against which delivery or performance will be delayed, the person must notify the customer as provided in § 217.33.

(d) If a person is unable to purchase needed production items in time to fill a rated order by its required delivery date, the person must fill the rated order by using inventoried production items. A person who uses inventoried items to fill a rated order may replace those items with the use of a rated order as provided in § 217.37(b).

§ 217.35 Extension of priority ratings.

(a) A person must use rated orders with suppliers to obtain items or services needed to fill a rated order. The person must use the priority rating indicated on the customer's rated order, except as otherwise provided in this part or as directed by the Department of Energy. For example, if a person is in receipt of a DO–F1 rated order for an electric power sub-station, and needs to purchase a transformer for its manufacture, that person must use a DO–F1 rated order to obtain the needed transformer.

(b) The priority rating must be included on each successive order placed to obtain items or services needed to fill a customer's rated order. This continues from contractor to subcontractor to supplier throughout the entire procurement chain.

§ 217.36 Changes or cancellations of priority ratings and rated orders.

(a) The priority rating on a rated order may be changed or canceled by:

(1) An official action of the Department of Energy; or

(2) Written notification from the person who placed the rated order.

(b) If an unrated order is amended so as to make it a rated order, or a DO rating is changed to a DX rating, the supplier must give the appropriate preferential treatment to the order as of the date the change is received by the supplier.

(c) An amendment to a rated order that significantly alters a supplier's original production or delivery schedule shall constitute a new rated order as of the date of its receipt. The supplier must accept or reject the amended order according to the provisions of § 217.33.

(d) The following amendments do not constitute a new rated order: a change in shipping destination; a reduction in the total amount of the order; an increase in the total amount of the order which has negligible impact upon deliveries; a minor variation in size or design; or a change which is agreed upon between the supplier and the customer.

(e) If a person no longer needs items or services to fill a rated order, any rated orders placed with suppliers for the items or services, or the priority rating on those orders, must be canceled.

(f) When a priority rating is added to an unrated order, or is changed or canceled, all suppliers must be promptly notified in writing.

§ 217.37 Use of rated orders.

(a) A person must use rated orders to obtain:

(1) Items which will be physically incorporated into other items to fill rated orders, including that portion of such items normally consumed or converted into scrap or by-products in the course of processing;

(2) Containers or other packaging materials required to make delivery of the finished items against rated orders;

(3) Services, other than contracts of employment, needed to fill rated orders; and

(4) MRO needed to produce the finished items to fill rated orders.

(b) A person may use a rated order to replace inventoried items (including finished items) if such items were used to fill rated orders, as follows:

(1) The order must be placed within 90 days of the date of use of the inventory.

(2) A DO rating and the program identification symbol indicated on the customer's rated order must be used on the order. A DX rating may not be used even if the inventory was used to fill a DX-rated order.

(3) If the priority ratings on rated orders from one customer or several customers contain different program identification symbols, the rated orders

may be combined. In this case, the program identification symbol ''H1'' must be used (*i.e.*, DO–H1).

(c) A person may combine DX- and DO-rated orders from one customer or several customers if the items or services covered by each level of priority are identified separately and clearly. If different program identification symbols are indicated on those rated orders of equal priority, the person must use the program identification symbol ''H1'' (*i.e.*, DO–H1 or DX–H1).

(d) Combining rated and unrated orders.

(1) A person may combine rated and unrated order quantities on one purchase order provided that:

(i) The rated quantities are separately and clearly identified; and

(ii) The four elements of a rated order, as required by § 217.32, are included on the order with the statement required in § 217.32(d) modified to read in substance:

This purchase order contains rated order quantities certified for national defense use, and you are required to follow all applicable provisions of the Energy Priorities and Allocations System regulations at 10 CFR part 217 only as it pertains to the rated quantities.

(2) A supplier must accept or reject the rated portion of the purchase order as provided in § 217.33 and give preferential treatment only to the rated quantities as required by this part. This part may not be used to require preferential treatment for the unrated portion of the order.

(3) Any supplier who believes that rated and unrated orders are being combined in a manner contrary to the intent of this part or in a fashion that causes undue or exceptional hardship may submit a request for adjustment or exception under § 217.80.

(e) A person may place a rated order for the minimum commercially procurable quantity even if the quantity needed to fill a rated order is less than that minimum. However, a person must combine rated orders as provided in paragraph (c) of this section, if possible, to obtain minimum procurable quantities.

(f) A person is not required to place a priority rating on an order for less than $50,000, or one-half of the Simplified Acquisition Threshold (as established in the Federal Acquisition Regulation (FAR) (see FAR section 2.101) or in other authorized acquisition regulatory or management systems) whichever amount is greater, provided that delivery can be obtained in a timely fashion without the use of the priority rating.

§ 217.38 Limitations on placing rated orders.

(a) General limitations.

(1) A person may not place a DO- or DX-rated order unless entitled to do so under this part.

(2) Rated orders may not be used to obtain:

(i) Delivery on a date earlier than needed;

(ii) A greater quantity of the item or services than needed, except to obtain a minimum procurable quantity. Separate rated orders may not be placed solely for the purpose of obtaining minimum procurable quantities on each order;

(iii) Items or services in advance of the receipt of a rated order, except as specifically authorized by the Department of Energy (see § 217.41(c) for information on obtaining authorization for a priority rating in advance of a rated order);

(iv) Items that are not needed to fill a rated order, except as specifically authorized by the Department of Energy, or as otherwise permitted by this part; or

(v) Any of the following items unless specific priority rating authority has been obtained from the Department of Energy, a Delegate Agency, or the Department of Commerce, as appropriate:

(A) Items for plant improvement, expansion, or construction, unless they will be physically incorporated into a construction project covered by a rated order; and

(B) Production or construction equipment or items to be used for the manufacture of production equipment. [For information on requesting priority rating authority, see § 217.21.]

(vi) Any items related to the development of chemical or biological warfare capabilities or the production of chemical or biological weapons, unless such development or production has been

authorized by the President or the Secretary of Defense.

(b) Jurisdictional limitations.

(1) Unless authorized by the resource agency with jurisdiction, the provisions of this part are not applicable to the following resources:

(i) Food resources, food resource facilities, and the domestic distribution of farm equipment and commercial fertilizer (Resource agency with jurisdiction—Department of Agriculture);

(ii) Health resources (Resource agency with jurisdiction—Department of Health and Human Services);

(iii) All forms of civil transportation (Resource agency with jurisdiction—Department of Transportation);

(iv) Water resources (Resource agency with jurisdiction—Department of Defense/U.S. Army Corps of Engineers); and

(v) Communications services (Resource agency with jurisdiction—National Communications System under E. O. 12472 of April 3, 1984).

Subpart D—Special Priorities Assistance

§ 217.40 General provisions.

(a) The EPAS is designed to be largely self-executing. However, from time-to-time production or delivery problems will arise. In this event, a person should immediately contact the Office of Electricity, for guidance or assistance (Contact the Deputy Assistant Secretary of the Department of Energy overseeing the Defense Production Act program, as listed in §217.93). If the problem(s) cannot otherwise be resolved, special priorities assistance should be sought from the Department of Energy through the Office of Electricity (Contact the Deputy Assistant Secretary of the Department of Energy overseeing the Defense Production Act program, as listed in §217.93). If the Department of Energy is unable to resolve the problem or to authorize the use of a priority rating and believes additional assistance is warranted, the Department of Energy may forward the request to another agency with resource jurisdiction, as appropriate, for action. Special priorities assistance is provided to alleviate problems that do arise.

(b) Special priorities assistance is available for any reason consistent with this part. Generally, special priorities assistance is provided to expedite deliveries, resolve delivery conflicts, place rated orders, locate suppliers, or to verify information supplied by customers and vendors. Special priorities assistance may also be used to request rating authority for items that are not normally eligible for priority treatment.

(c) A request for special priorities assistance or priority rating authority must be submitted on Form DOE F 544 (05–11) (OMB control number 1910–5159) to the Deputy Assistant Secretary of the Department of Energy overseeing the Defense Production Act program, as listed in §217.93. Form DOE F 544 (05–11) may be obtained from the Department of Energy or a Delegate Agency. A sample Form DOE F 544 (05–11) is attached at appendix I to this part.

[76 FR 33619, June 9, 2011, as amended at 85 FR 31670, May 27, 2020]

§ 217.41 Requests for priority rating authority.

(a) If a rated order is likely to be delayed because a person is unable to obtain items or services not normally rated under this part, the person may request the authority to use a priority rating in ordering the needed items or services.

(b) Rating authority for production or construction equipment.

(1) A request for priority rating authority for production or construction equipment must be submitted to the U.S. Department of Commerce on Form BIS–999.

(2) When the use of a priority rating is authorized for the procurement of production or construction equipment, a rated order may be used either to purchase or to lease such equipment. However, in the latter case, the equipment may be leased only from a person engaged in the business of leasing such equipment or from a person willing to lease rather than sell.

(c) Rating authority in advance of a rated prime contract. (1) In certain

cases and upon specific request, the Department of Energy, in order to promote the national defense, may authorize or request the Department of Commerce to authorize, as appropriate, a person to place a priority rating on an order to a supplier in advance of the issuance of a rated prime contract. In these instances, the person requesting advance rating authority must obtain sponsorship of the request from the Department of Energy or the appropriate Delegate Agency. The person shall also assume any business risk associated with the placing of rated orders in the event the rated prime contract is not issued.

(2) The person must state the following in the request:

It is understood that the authorization of a priority rating in advance of our receiving a rated prime contract from the Department of Energy and our use of that priority rating with our suppliers in no way commits the Department of Energy, the Department of Commerce, or any other government agency to enter into a contract or order or to expend funds. Further, we understand that the Federal Government shall not be liable for any cancellation charges, termination costs, or other damages that may accrue if a rated prime contract is not eventually placed and, as a result, we must subsequently cancel orders placed with the use of the priority rating authorized as a result of this request.

(3) In reviewing requests for rating authority in advance of a rated prime contract, the Department of Energy or the Department of Commerce, as appropriate, will consider, among other things, the following criteria:

(i) The probability that the prime contract will be awarded;

(ii) The impact of the resulting rated orders on suppliers and on other authorized programs;

(iii) Whether the contractor is the sole source;

(iv) Whether the item being produced has a long lead time;

(v) The time period for which the rating is being requested.

(4) The Department of Energy or the Department of Commerce, as appropriate, may require periodic reports on the use of the rating authority granted under paragraph (c) of this section.

(5) If a rated prime contract is not issued, the person shall promptly notify all suppliers who have received rated orders pursuant to the advanced rating authority that the priority rating on those orders is cancelled.

§ 217.42 Examples of assistance.

(a) While special priorities assistance may be provided for any reason in support of this part, it is usually provided in situations where:

(1) A person is experiencing difficulty in obtaining delivery against a rated order by the required delivery date; or

(2) A person cannot locate a supplier for an item or service needed to fill a rated order.

(b) Other examples of special priorities assistance include:

(1) Ensuring that rated orders receive preferential treatment by suppliers;

(2) Resolving production or delivery conflicts between various rated orders;

(3) Assisting in placing rated orders with suppliers;

(4) Verifying the urgency of rated orders; and

(5) Determining the validity of rated orders.

§ 217.43 Criteria for assistance.

Requests for special priorities assistance should be timely, *i.e.*, the request has been submitted promptly and enough time exists for the Department of Energy, the Delegate Agency, or the Department of Commerce for industrial resources to effect a meaningful resolution to the problem, and must establish that:

(a) There is an urgent need for the item; and

(b) The applicant has made a reasonable effort to resolve the problem.

§ 217.44 Instances where assistance may not be provided.

Special priorities assistance is provided at the discretion of the Department of Energy, the Delegate Agencies, or the Department of Commerce when it is determined that such assistance is warranted to meet the objectives of this part. Examples where assistance may not be provided include situations when a person is attempting to:

(a) Secure a price advantage;
(b) Obtain delivery prior to the time required to fill a rated order;
(c) Gain competitive advantage;
(d) Disrupt an industry apportionment program in a manner designed to provide a person with an unwarranted share of scarce items; or
(e) Overcome a supplier's regularly established terms of sale or conditions of doing business.

Subpart E—Allocation Actions

§ 217.50 Policy.

(a) It is the policy of the Federal Government that the allocations authority under title I of the Defense Production Act may:
(1) Only be used when there is insufficient supply of a material, service, or facility to satisfy national defense supply requirements through the use of the priorities authority or when the use of the priorities authority would cause a severe and prolonged disruption in the supply of materials, services, or facilities available to support normal U.S. economic activities; and
(2) Not be used to ration materials or services at the retail level.
(b) Allocation orders, when used, will be distributed equitably among the suppliers of the materials, services, or facilities being allocated and not require any person to relinquish a disproportionate share of the civilian market.

§ 217.51 General procedures.

When the Department of Energy plans to execute its allocations authority to address a supply problem within its resource jurisdiction, the Department shall develop a plan that includes the following information:
(a) A copy of the written determination made, in accordance with section 202 of E.O. 12919, that the program or programs that would be supported by the allocation action are necessary or appropriate to promote the national defense;
(b) A detailed description of the situation to include any unusual events or circumstances that have created the requirement for an allocation action;
(c) A statement of the specific objective(s) of the allocation action;
(d) A list of the materials, services, or facilities to be allocated;
(e) A list of the sources of the materials, services, or facilities that will be subject to the allocation action;
(f) A detailed description of the provisions that will be included in the allocation orders, including the type(s) of allocation orders, the percentages or quantity of capacity or output to be allocated for each purpose, and the duration of the allocation action (*i.e.*, anticipated start and end dates);
(g) An evaluation of the impact of the proposed allocation action on the civilian market; and
(h) Proposed actions, if any, to mitigate disruptions to civilian market operations.

§ 217.52 Controlling the general distribution of a material in the civilian market.

No allocation action by the Department of Energy may be used to control the general distribution of a material in the civilian market, unless the Secretary of the Department of Energy has:
(a) Made a written finding that:
(1) Such material is a scarce and critical material essential to the national defense, and
(2) The requirements of the national defense for such material cannot otherwise be met without creating a significant dislocation of the normal distribution of such material in the civilian market to such a degree as to create appreciable hardship;
(b) Submitted the finding for the President's approval through the Assistant to the President for National Security Affairs; and
(c) The President has approved the finding.

§ 217.53 Types of allocation orders.

There are three types of allocation orders available for communicating allocation actions. These are:
(a) *Set-aside:* an official action that requires a person to reserve materials, services, or facilities capacity in anticipation of the receipt of rated orders;
(b) *Directive:* an official action that requires a person to take or refrain

from taking certain actions in accordance with its provisions. For example, a directive can require a person to: stop or reduce production of an item; prohibit the use of selected materials, services, or facilities; or divert the use of materials, services, or facilities from one purpose to another; and

(c) *Allotment:* an official action that specifies the maximum quantity of a material, service, or facility authorized for a specific use.

§ 217.54 Elements of an allocation order.

Each allocation order must include:

(a) A detailed description of the required allocation action(s);

(b) Specific start and end calendar dates for each required allocation action;

(c) The written signature on a manually placed order, or the digital signature or name on an electronically placed order, of the Secretary of Energy. The signature or use of the name certifies that the order is authorized under this part and that the requirements of this part are being followed;

(d) A statement that reads in substance: ''This is an allocation order certified for national defense use. [Insert the legal name of the person receiving the order] is required to comply with this order, in accordance with the provisions of the Energy Priorities and Allocations System regulation (10 CFR part 217), which is part of the Federal Priorities and Allocations System''; and

(e) A current copy of the Energy Priorities and Allocations System regulation (10 CFR part 217).

§ 217.55 Mandatory acceptance of an allocation order.

(a) Except as otherwise specified in this section, a person shall accept and comply with every allocation order received.

(b) A person shall not discriminate against an allocation order in any manner such as by charging higher prices for materials, services, or facilities covered by the order or by imposing terms and conditions for contracts and orders involving allocated materials, services, or facilities that differ from the person's terms and conditions for contracts and orders for the materials, services, or facilities prior to receiving the allocation order.

(c) If a person is unable to comply fully with the required action(s) specified in an allocation order, the person must notify the Department of Energy immediately, explain the extent to which compliance is possible, and give the reasons why full compliance is not possible. If notification is given verbally, written or electronic confirmation must be provided within five (5) working days. Such notification does not release the person from complying with the order to the fullest extent possible, until the person is notified by the Department of Energy that the order has been changed or cancelled.

§ 217.56 Changes or cancellations of an allocation order.

An allocation order may be changed or canceled by an official action of the Department of Energy.

Subpart F—Official Actions

§ 217.60 General provisions.

(a) The Department of Energy may take specific official actions to implement the provisions of this part.

(b) These official actions include Rating Authorizations, Directives, and Memoranda of Understanding.

§ 217.61 Rating Authorizations.

(a) A Rating Authorization is an official action granting specific priority rating authority that:

(1) Permits a person to place a priority rating on an order for an item or service not normally ratable under this part; or

(2) Authorizes a person to modify a priority rating on a specific order or series of contracts or orders.

(b) To request priority rating authority, see § 217.41.

§ 217.62 Directives.

(a) A Directive is an official action that requires a person to take or refrain from taking certain actions in accordance with its provisions.

(b) A person must comply with each Directive issued. However, a person may not use or extend a Directive to

obtain any items from a supplier, unless expressly authorized to do so in the Directive.

(c) A Priorities Directive takes precedence over all DX-rated orders, DO-rated orders, and unrated orders previously or subsequently received, unless a contrary instruction appears in the Directive.

(d) An Allocations Directive takes precedence over all Priorities Directives, DX-rated orders, DO-rated orders, and unrated orders previously or subsequently received, unless a contrary instruction appears in the Directive.

§ 217.63 Letters and Memoranda of Understanding.

(a) A Letter or Memorandum of Understanding is an official action that may be issued in resolving special priorities assistance cases to reflect an agreement reached by all parties (the Department of Energy, the Department of Commerce (if applicable), a Delegate Agency (if applicable), the supplier, and the customer).

(b) A Letter or Memorandum of Understanding is not used to alter scheduling between rated orders, to authorize the use of priority ratings, to impose restrictions under this part. Rather, Letters or Memoranda of Understanding are used to confirm production or shipping schedules that do not require modifications to other rated orders.

Subpart G—Compliance

§ 217.70 General provisions.

(a) The Department of Energy may take specific official actions for any reason necessary or appropriate to the enforcement or the administration of the Defense Production Act and other applicable statutes, this part, or an official action. Such actions include Administrative Subpoenas, Demands for Information, and Inspection Authorizations.

(b) Any person who places or receives a rated order or an allocation order must comply with the provisions of this part.

(c) Willful violation of the provisions of title I or section 705 of the Defense Production Act and other applicable statutes, this part, or an official action of the Department of Energy is a criminal act, punishable as provided in the Defense Production Act and other applicable statutes, and as set forth in § 217.74 of this part.

§ 217.71 Audits and investigations.

(a) Audits and investigations are official examinations of books, records, documents, other writings and information to ensure that the provisions of the Defense Production Act and other applicable statutes, this part, and official actions have been properly followed. An audit or investigation may also include interviews and a systems evaluation to detect problems or failures in the implementation of this part.

(b) When undertaking an audit or investigation, the Department of Energy shall:

(1) Define the scope and purpose in the official action given to the person under investigation, and

(2) Have ascertained that the information sought or other adequate and authoritative data are not available from any Federal or other responsible agency.

(c) In administering this part, the Department of Energy may issue the following documents that constitute official actions:

(1) Administrative Subpoenas. An Administrative Subpoena requires a person to appear as a witness before an official designated by the Department of Energy to testify under oath on matters of which that person has knowledge relating to the enforcement or the administration of the Defense Production Act and other applicable statutes, this part, or official actions. An Administrative Subpoena may also require the production of books, papers, records, documents and physical objects or property.

(2) Demands for Information. A Demand for Information requires a person to furnish to a duly authorized representative of the Department of Energy any information necessary or appropriate to the enforcement or the administration of the Defense Production Act and other applicable statutes, this part, or official actions.

(3) Inspection Authorizations. An Inspection Authorization requires a person to permit a duly authorized representative of the Department of Energy to interview the person's employees or agents, to inspect books, records, documents, other writings, and information, including electronically-stored information, in the person's possession or control at the place where that person usually keeps them or otherwise, and to inspect a person's property when such interviews and inspections are necessary or appropriate to the enforcement or the administration of the Defense Production Act and related statutes, this part, or official actions.

(d) The production of books, records, documents, other writings, and information will not be required at any place other than where they are usually kept if, prior to the return date specified in the Administrative Subpoena or Demand for Information, a duly authorized official of the Department of Energy is furnished with copies of such material that are certified under oath to be true copies. As an alternative, a person may enter into a stipulation with a duly authorized official of Department of Energy as to the content of the material.

(e) An Administrative Subpoena, Demand for Information, or Inspection Authorization, shall include the name, title, or official position of the person to be served, the evidence sought to be adduced, and its general relevance to the scope and purpose of the audit, investigation, or other inquiry. If employees or agents are to be interviewed; if books, records, documents, other writings, or information are to be produced; or if property is to be inspected; the Administrative Subpoena, Demand for Information, or Inspection Authorization will describe them with particularity.

(f) Service of documents shall be made in the following manner:

(1) Service of a Demand for Information or Inspection Authorization shall be made personally, or by Certified Mail-Return Receipt Requested at the person's last known address. Service of an Administrative Subpoena shall be made personally. Personal service may also be made by leaving a copy of the document with someone at least 18 years old at the person's last known dwelling or place of business.

(2) Service upon other than an individual may be made by serving a partner, corporate officer, or a managing or general agent authorized by appointment or by law to accept service of process. If an agent is served, a copy of the document shall be mailed to the person named in the document.

(3) Any individual 18 years of age or over may serve an Administrative Subpoena, Demand for Information, or Inspection Authorization. When personal service is made, the individual making the service shall prepare an affidavit as to the manner in which service was made and the identity of the person served, and return the affidavit, and in the case of subpoenas, the original document, to the issuing officer. In case of failure to make service, the reasons for the failure shall be stated on the original document.

§ 217.72 Compulsory process.

(a) If a person refuses to permit a duly authorized representative of the Department of Energy to have access to any premises or source of information necessary to the administration or the enforcement of the Defense Production Act and other applicable statutes, this part, or official actions, the Department of Energy representative may seek compulsory process. Compulsory process means the institution of appropriate legal action, including ex parte application for an inspection warrant or its equivalent, in any forum of appropriate jurisdiction.

(b) Compulsory process may be sought in advance of an audit, investigation, or other inquiry, if, in the judgment of the Deputy Assistant Secretary of the Department of Energy overseeing the Defense Production Act program, as listed in § 217.93, there is reason to believe that a person will refuse to permit an audit, investigation, or other inquiry, or that other circumstances exist which make such process desirable or necessary.

[76 FR 33619, June 9, 2011, as amended at 85 FR 31670, May 27, 2020]

§ 217.73 Notification of failure to comply.

(a) At the conclusion of an audit, investigation, or other inquiry, or at any other time, the Department of Energy may inform the person in writing where compliance with the requirements of the Defense Production Act and other applicable statutes, this part, or an official action were not met.

(b) In cases where the Department of Energy determines that failure to comply with the provisions of the Defense Production Act and other applicable statutes, this part, or an official action was inadvertent, the person may be informed in writing of the particulars involved and the corrective action to be taken. Failure to take corrective action may then be construed as a willful violation of the Defense Production Act and other applicable statutes, this part, or an official action.

§ 217.74 Violations, penalties, and remedies.

(a) Willful violation of the provisions of title I or sections 705 or 707 of the Defense Production Act, the priorities provisions of the Selective Service Act and related statutes (when applicable), this part, or an official action, is a crime and upon conviction, a person may be punished by fine or imprisonment, or both. The maximum penalties provided by the Defense Production Act are a $10,000 fine, or one year in prison, or both. The maximum penalties provided by the Selective Service Act and related statutes are a $50,000 fine, or three years in prison, or both.

(b) The Government may also seek an injunction from a court of appropriate jurisdiction to prohibit the continuance of any violation of, or to enforce compliance with, the Defense Production Act, this part, or an official action.

(c) In order to secure the effective enforcement of the Defense Production Act and other applicable statutes, this part, and official actions, the following are prohibited:

(1) No person may solicit, influence or permit another person to perform any act prohibited by, or to omit any act required by, the Defense Production Act and other applicable statutes, this part, or an official action.

(2) No person may conspire or act in concert with any other person to perform any act prohibited by, or to omit any act required by, the Defense Production Act and other applicable statutes, this part, or an official action.

(3) No person shall deliver any item if the person knows or has reason to believe that the item will be accepted, redelivered, held, or used in violation of the Defense Production Act and other applicable statutes, this part, or an official action. In such instances, the person must immediately notify the Department of Energy that, in accordance with this provision, delivery has not been made.

§ 217.75 Compliance conflicts.

If compliance with any provision of the Defense Production Act and other applicable statutes, this part, or an official action would prevent a person from filling a rated order or from complying with another provision of the Defense Production Act and other applicable statutes, this part, or an official action, the person must immediately notify the Department of Energy for resolution of the conflict.

Subpart H—Adjustments, Exceptions, and Appeals

§ 217.80 Adjustments or exceptions.

(a) A person may submit a request to the Deputy Assistant Secretary of the Department of Energy overseeing the Defense Production Act program, as listed in § 217.93, for an adjustment or exception on the ground that:

(1) A provision of this part or an official action results in an undue or exceptional hardship on that person not suffered generally by others in similar situations and circumstances; or

(2) The consequences of following a provision of this part or an official action is contrary to the intent of the Defense Production Act and other applicable statutes, or this part.

(b) Each request for adjustment or exception must be in writing and contain a complete statement of all the facts and circumstances related to the provision of this part or official action from which adjustment is sought and a

full and precise statement of the reasons why relief should be provided.

(c) The submission of a request for adjustment or exception shall not relieve any person from the obligation of complying with the provision of this part or official action in question while the request is being considered unless such interim relief is granted in writing by the Deputy Assistant Secretary of the Department of Energy overseeing the Defense Production Act program, as listed in § 217.93.

(d) A decision of the Deputy Assistant Secretary of the Department of Energy overseeing the Defense Production Act program, as listed in § 217.93, under this section may be appealed to the Assistant Secretary, Office of Electricity (For information on the appeal procedure, see § 217.81.)

[76 FR 33619, June 9, 2011, as amended at 85 FR 31670, May 27, 2020]

§ 217.81 Appeals.

(a) Any person who has had a request for adjustment or exception denied by the Deputy Assistant Secretary of the Department of Energy overseeing the Defense Production Act program, as listed in section 217.93, under § 217.80, may appeal to the Assistant Secretary, Office of Electricity who shall review and reconsider the denial.

(b)(1) Except as provided in this paragraph (b)(2), an appeal must be received by the Assistant Secretary, Office of Electricity no later than 45 days after receipt of a written notice of denial from the Deputy Assistant Secretary of the Department of Energy overseeing the Defense Production Act program, as listed in § 217.93. After this 45-day period, an appeal may be accepted at the discretion of the Assistant Secretary, Office of Electricity for good cause shown.

(2) For requests for adjustment or exception involving rated orders placed for the purpose of emergency preparedness (see 217.14(d)), an appeal must be received by the Assistant Secretary, Office of Electricity, no later than 15 days after receipt of a written notice of denial from the Deputy Assistant Secretary of the Department of Energy overseeing the Defense Production Act program, as listed in § 217.93. Contract performance under the order shall not be stayed pending resolution of the appeal.

(c) Each appeal must be in writing and contain a complete statement of all the facts and circumstances related to the action appealed from and a full and precise statement of the reasons the decision should be modified or reversed.

(d) In addition to the written materials submitted in support of an appeal, an appellant may request, in writing, an opportunity for an informal hearing. This request may be granted or denied at the discretion of the Assistant Secretary, Office of Electricity.

(e) When a hearing is granted, the Assistant Secretary, Office of Electricity may designate an employee to conduct the hearing and to prepare a report. The hearing officer shall determine all procedural questions and impose such time or other limitations deemed reasonable. In the event that the hearing officer decides that a printed transcript is necessary, all expenses shall be borne by the appellant.

(f) When determining an appeal, the Assistant Secretary, Office of Electricity may consider all information submitted during the appeal as well as any recommendations, reports, or other relevant information and documents available to the Department of Energy or consult with any other persons or groups.

(g) The submission of an appeal under this section shall not relieve any person from the obligation of complying with the provision of this part or official action in question while the appeal is being considered unless such relief is granted in writing by the Assistant Secretary, Office of Electricity.

(h) The decision of the Assistant Secretary, Office of Electricity shall be made within five (5) days after receipt of the appeal, or within one (1) day for appeals pertaining to emergency preparedness and shall be the final administrative action. It shall be issued to the appellant in writing with a statement of the reasons for the decision.

[76 FR 33619, June 9, 2011, as amended at 85 FR 31670, May 27, 2020]

Subpart I—Miscellaneous Provisions

§ 217.90 Protection against claims.

A person shall not be held liable for damages or penalties for any act or failure to act resulting directly or indirectly from compliance with any provision of this part, or an official action, notwithstanding that such provision or action shall subsequently be declared invalid by judicial or other competent authority.

§ 217.91 Records and reports.

(a) Persons are required to make and preserve for at least three years, accurate and complete records of any transaction covered by this part or an official action.

(b) Records must be maintained in sufficient detail to permit the determination, upon examination, of whether each transaction complies with the provisions of this part or any official action. However, this part does not specify any particular method or system to be used.

(c) Records required to be maintained by this part must be made available for examination on demand by duly authorized representatives of the Department of Energy as provided in § 217.71.

(d) In addition, persons must develop, maintain, and submit any other records and reports to the Department of Energy that may be required for the administration of the Defense Production Act and other applicable statutes, and this part.

(e) Section 705(d) of the Defense Production Act, as implemented by E.O. 12919, provides that information obtained under this section which the Secretary deems confidential, or with reference to which a request for confidential treatment is made by the person furnishing such information, shall not be published or disclosed unless the Secretary determines that the withholding of this information is contrary to the interest of the national defense. Information required to be submitted to the Department of Energy in connection with the enforcement or administration of the Defense Production Act, this part, or an official action, is deemed to be confidential under section 705(d) of the Defense Production Act and shall be handled in accordance with applicable Federal law.

§ 217.92 Applicability of this part and official actions.

(a) This part and all official actions, unless specifically stated otherwise, apply to transactions in any state, territory, or possession of the United States and the District of Columbia.

(b) This part and all official actions apply not only to deliveries to other persons but also include deliveries to affiliates and subsidiaries of a person and deliveries from one branch, division, or section of a single entity to another branch, division, or section under common ownership or control.

(c) This part and its schedules shall not be construed to affect any administrative actions taken by the Department of Energy, or any outstanding contracts or orders placed pursuant to any of the regulations, orders, schedules or delegations of authority previously issued by the Department of Energy pursuant to authority granted to the President in the Defense Production Act. Such actions, contracts, or orders shall continue in full force and effect under this part unless modified or terminated by proper authority.

§ 217.93 Communications.

All communications concerning this part, including requests for copies of the regulation and explanatory information, requests for guidance or clarification, and requests for adjustment or exception shall be addressed to the Deputy Assistant Secretary of the Department of Energy overseeing the Defense Production Act program, U.S. Department of Energy, 1000 Independence Ave. SW, Washington, DC 20585; (202) 586–1411 (*AskOE@hq.doe.gov*).

[85 FR 31670, May 27, 2020]

APPENDIX I TO PART 217—SAMPLE FORM DOE F 544 (05–11)

FORM DOE F 544 (05-11) DEPARTMENT OF ENERGY OFFICE OF ELECTRICITY	FOR DOE USE OMB NO.1910-5159
REQUEST FOR SPECIAL PRIORITIES ASSISTANCE READ INSTRUCTIONS ON LAST PAGE FILL OUT USING COMPUTER	CASE NO._____ RECEIVED_____ ASSIGNED TO_____

Submission of a completed application is required to request special priorities assistance. See sections 217.40-44 of the Energy Priorities and Allocations System regulations (10 CFR Part 217). It is a criminal offense under 18 U.S.C. 1001 to make a willfully false statement or representation to any U.S. Government agency as to any matter within its jurisdiction. All company information furnished related to this application will be deemed business confidential under Sec. 705(d) of the Defense Production Act of 1950 [50 U.S.C. App.2155(d) which prohibits publication or disclosure of this information unless the President determines that withholding it is contrary to the interest of the national defense. The Department of Energy will assert the appropriate Freedom of Information Act (FOIA) exemptions if such information is the subject of FOIA requests. The unauthorized publication or disclosure of such information by Government personnel is prohibited by law. Violators are subject to fine and/or imprisonment.

OMB Burden Disclosure Statement

This data is being collected to implement the Department of Energy's Energy Priorities and Allocations System regulations, promulgated pursuant to the Defense Production Act of 1950, as amended (DPA). The data you supply will be used to allow you to request special priorities assistance from DOE to fill a rated order issued pursuant to the DPA and DOE's implementing regulations. DOE will also use the information to conduct audits and for enforcement purposes.

Public reporting burden for this collection of information is estimated to average 32 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of the Chief Information Officer, Records Management Division, IM-23, Paperwork Reduction Project (1910-5159), U.S. Department of Energy, 1000 Independence Ave SW, Washington, DC, 20585-1290; and to the Office of Management and Budget (OMB), OIRA, Paperwork Reduction Project (1910-5159), Washington, DC 20503.

1. APPLICANT INFORMATION

a. Name and complete address of Applicant (Applicant can be any person needing assistance – Government agency, contractor, or supplier. See definition of Applicant in Footnotes section on last page of this form).	b. If Applicant is not end-user Government agency, give name and complete address of Applicant's customer.
Applicant Name_____ Address_____ City_____ State_____ Zip_____ Contact Name_____ Title_____ Telephone_____ Fax_____ Email address_____	Customer name_____ Address_____ City_____ State_____ Zip_____ Contact Name_____ Title_____ Telephone_____ Fax_____ Contract/purchase order no._____ Dated_____ Priority Rating_____

2. APPLICANT ITEM(S). If Applicant is not end-user Government agency, describe item(s) to be delivered by Applicant under its customer's contract or purchase order though the use of the item(s) listed in Block 3. If known, identify Government program and end-item for which these items are required. If Applicant is end-user Government agency and Block 3 item(s) are not end-items, identify the end-item for which the Block 3 item(s) are required. See definition of "item" in Footnotes section on last page of this form.

3. ITEM(s) (including service) FOR WHICH APPLICANT REQUESTS ASSISTANCE

Quantity *Pieces, units*	**Description** *Include identifying information such as model or part number*	**Dollar Value** *Each quantity listed*

PART 218—STANDBY MANDATORY INTERNATIONAL OIL ALLOCATION

Subpart A—General Provisions

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Subpart E—Investigations, Violations, Sanctions and Judicial Actions

218.40 Investigations.
218.41 Violations.
218.42 Sanctions.
218.43 Injunctions.

AUTHORITY: 15 U.S.C. 751 *et seq.;* 15 U.S.C. 787 *et seq.;* 42 U.S.C. 6201 *et seq.;* 42 U.S.C. 7101 *et seq.;* E.O. 11790, 39 FR 23185; E.O. 12009, 42 FR 46267; 28 U.S.C. 2461 note.

SOURCE: 44 FR 27972, May 14, 1979, unless otherwise noted.

Subpart A—General Provisions

§ 218.1 Purpose and scope.

(a) This part implements section 251 of the Energy Policy and Conservation Act (Pub. L. 94–163) (42 U.S.C. 6271), as amended, which authorizes the President to take such action as he determines to be necessary for performance of the obligations of the United States under chapters III and IV of the Agreement on an International Energy Program (TIAS 8278), insofar as such obligations relate to the mandatory international allocation of oil by International Energy Program participating countries.

(b) *Applicability*. This part applies to any firm engaged in producing, transporting, refining, distributing or storing oil which is subject to the jurisdiction of the United States.

§ 218.2 Activation/Deactivation.

(a) This rule shall take effect providing:

(1) The International Energy Program has been activated; and,

(2) The President has transmitted this rule to Congress, has found putting such rule into effect is required in order to fulfill obligations of the United States under the International Energy Program and has transmitted such a finding to the Congress together with a statement of the effective date and manner for exercise of such rule.

(b) This rule shall revert to standby status no later than 60 days after the deactivation of the emergency allocation system activated to implement the International Energy Program.

§ 218.3 Definitions.

DOE means the Department of Energy established by the Department of Energy Organization Act (Pub. L. 95–91), and includes the Secretary of Energy or his delegate.

EPCA means the Energy Policy and Conservation Act (Pub. L. 94–163), as amended.

Firm means any association, company, corporation, estate, individual, joint-venture, partnership, or sole proprietorship or any other entity however organized including charitable, educational, or other eleemosynary institutions, and the Federal Government including corporations, departments, Federal agencies, and other instrumentalities, and State and local governments. The ERA may, in regulations and forms issued in this part, treat as a firm: (a) A parent and the consolidated and unconsolidated entities (if any) which it directly or indirectly controls, (b) a parent and its consolidated entities, (c) an unconsolidated entity, or (d) any part of a firm.

IEA means the International Energy Agency established to implement the IEP.

IEP means the International Energy Program established pursuant to the Agreement on an International Energy Program signed at Paris, France, on November 18, 1974, including (a) the Annex entitled ''Emergency Reserves'', (b) any amendment to such Agreement that includes another nation as a Party to such Agreement, and (c) any

technical or clerical amendment to such Agreement.

International energy supply emergency means any period (a) beginning on any date that the President determines allocation of petroleum products to nations participating in the IEP is required by chapters III and IV of the IEP and (b) ending on a date on which he determines such allocation is no longer required.

Oil means crude oil, residual fuel oil, unfinished oil, refined petroleum product and natural gas liquids, which is owned or controlled by a firm, including any petroleum product destined, directly or indirectly, for import into the United States or any foreign country, or produced in the United States but excludes any oil stored in or owned and controlled by the United States Government in connection with the Strategic Petroleum Reserve authorized in section 151, *et seq.*, of the Energy Policy and Conservation Act (Pub. L. 94–163).

Person means any individual, firm, estate, trust, sole proprietorship, partnership, association, company, joint-venture, corporation, governmental unit or instrumentality thereof, or a charitable, educational or other institution, and includes any officer, director, owner or duly authorized representative thereof.

Supply order means a written directive or a verbal communication of a written directive, if promptly confirmed in writing, issued by the DOE pursuant to subpart B of this part.

United States when used in the geographic sense means the several States, the District of Columbia, Puerto Rico, and the territories and possessions of the United States, and the outer continental shelf as defined in 43 U.S.C. 1331.

Subpart B—Supply Orders

§ 218.10 Rule.

(a) Upon the determination by the President that an international energy supply emergency exists, firms engaged in producing, transporting, refining, distributing, or storing oil shall take such actions as are determined by the DOE to be necessary for implementation of the obligations of the United States under chapters III and IV of the IEP that relate to the mandatory international allocation of oil by IEP participating countries.

(b) Any actions required in accordance with paragraph (a) of this section shall be stated in supply orders issued by DOE.

(c) No firm to which a supply order is issued shall be required to comply with such order unless the firm to which the oil is to be provided in accordance with such supply order has agreed to a procedure for the resolution of any dispute related to the terms and conditions of the sale undertaken pursuant to the supply order. The means for resolving any such disputes may include any procedures that are mutually acceptable to the parties, including arbitration before the IEA if the IEA has established arbitration procedures, arbitration or adjudication before an appropriate body, or any other similar procedure.

§ 218.11 Supply orders.

(a) A supply order shall require that the firm to which it is issued take actions specified therein relating to supplying the stated volume of oil to a specified recipient including, but not limited to, distributing, producing, storing, transporting or refining oil. A supply order shall include a concise statement of the pertinent facts and of the legal basis on which it is issued, and shall describe the action to be taken.

(b) The DOE shall serve a copy of the supply order on the firm directed to act as stated therein.

(c) The DOE may modify or rescind a supply order on its own motion or pursuant to an application filed in accordance with § 218.32 of this part.

(d) A supply order shall be effective in accordance with its terms, and when served upon a firm directed to act thereunder, except that a supply order shall not remain in effect (1) upon reversion of this rule to standby status or (2) twelve months after the rule has been transmitted to Congress (whichever occurs first) or (3) to the extent that DOE or a court of competent jurisdiction directs that it be stayed, modified, or rescinded.

(e) Any firm issued a supply order pursuant to this subpart may seek modification or rescission of the supply

order in accordance with procedures provided in § 218.32 of this part.

§ 218.12 Pricing.

The price for oil subject to a supply order issued pursuant to this subpart shall be based on the price conditions prevailing for comparable commercial transactions at the time the supply order is served.

Subpart C [Reserved]

Subpart D—Procedures

§ 218.30 Purpose and scope.

This subpart establishes the administrative procedures applicable to supply orders. They shall be exclusive of any other procedures contained in this chapter, unless such other procedures are specifically made applicable hereto by this subpart.

§ 218.31 Incorporated procedures.

The following subparts of part 205 of this chapter are, as appropriate, hereby made applicable to this part:

(a) *Subpart A*— General Provisions; *Provided,* that § 205.11 shall not apply; *and Provided further*, that in addition to the methods of service specified in § 205.7 of this chapter, service shall be effective if a supply order is transmitted by telex, telecopies or other similar means of electronic transmission of a writing and received by the firm to which the supply order is addressed.

(b) *Subpart F*— Interpretation.

(c) *Subpart K*— Rulings.

(d) *Subpart M*— Conferences, Hearings and Public Hearings.

§ 218.32 Review.

(a) *Purpose and scope.* This subpart establishes the procedures for the filing of an application for review of a supply order. An application for review is a summary proceeding which will be initiated only if the criteria described in paragraph (g)(2) of this section are satisfied.

(b) *What to file.* (1) A firm filing under this subpart shall file an ''Application for Review'' which should be clearly labeled as such both on the application and on the outside of the envelope in which the application is transmitted, and shall be in writing and signed by the firm filing the application. The applicant shall comply with the general filing requirements stated in 10 CFR 205.9 in addition to the requirements stated in this section.

(2) If the applicant wishes to claim confidential treatment for any information contained in the application or other documents submitted under this subpart, the procedures set out in 10 CFR 205.9(f) shall apply.

(c) *When to file.* An application for review should be filed no later than 5 days after the receipt by the applicant of the supply order that is the subject of the application, or no later than 2 days after the occurrence of an event that results in a substantial change in the facts or circumstances affecting the applicant.

(d) *Where to file.* The application for review shall be filed with DOE Office of Hearings and Appeals (OHA), 2000 M Street, NW., Washington, DC 20461.

(e) *Notice.* The applicant shall send by United States mail or deliver by hand a copy of the application and any subsequent amendments or other documents relating to the application to the Administrator of the Economic Regulatory Administration of DOE, 2000 M Street, NW., Washington, DC 20461. Service shall be made on the ERA at same time the document is filed with OHA and each document filed with the OHA shall include certification that the applicant has complied with the requirements of this paragraph.

(f) *Contents.* (1) The application shall contain a full and complete statement of all relevant facts pertaining to the application and to the DOE action sought. Such facts shall include a complete statement of the business or other reasons that justify review of the supply order and a full description of the pertinent provisions and relevant facts contained in any relevant documents. Copies of all contracts, agreements, leases, instruments, and other documents relevant to the application shall be submitted with the application. A copy of the order of which review is sought shall be included with the application. When the application

pertains to only one step of a larger integrated transaction, the facts, circumstances, and other relevant information pertaining to the entire transaction shall be submitted.

(2) The application shall include a discussion of all relevant authorities, including, but not limited to, DOE and DOE rulings, regulations, interpretations and decisions on appeal and exception relied upon to support the action sought therein.

(g) *DOE evaluation*—(1) *Processing.* (i) The DOE may initiate an investigation of any statement in an application and utilize in its evaluation any relevant facts obtained by such investigation. The DOE may solicit and accept submissions from third parties relevant to any application for review provided that the applicant is afforded an opportunity to respond to all third party submissions. In evaluating an application for review, the DOE may convene a conference, on its own initiative, if, in its discretion, it considers that a conference will advance its evaluation of the application.

(ii) If the DOE determines that there is insufficient information upon which to base a decision and if upon request the necessary additional information is not submitted, the DOE may dismiss the application without prejudice. If the failure to supply additional information is repeated or willful, the DOE may dismiss the application with prejudice. If the applicant fails to provide the notice required by paragraph (e) of this section, the DOE may dismiss the application without prejudice.

(iii) An order dismissing an application for any of the reasons specified in paragraph (g)(1)(ii) of this section shall contain a statement of the grounds for the dismissal. The order shall become final within 5 days of its service upon the applicant, unless within such 5-day period the applicant files an amendment correcting the deficiencies identified in the order. Within 5 days of the filing of such amendment, the DOE shall notify the applicant whether the amendment corrects the specified deficiencies. If the amendment does not correct the deficiencies specified in the order, the order shall become a final order of the DOE of which the applicant may seek judicial review.

(2) An application for review of an order shall be processed only if the applicant demonstrates that—

(i) There is probable cause to believe that the supply order is erroneous, inequitable, or unduly burdensome; or

(ii) There has been discovered a law, regulation, interpretation, ruling, order or decision that was in effect at the time of the application which, if it had been made known to the DOE, would have been relevant to the supply order and would have substantially altered the supply order; or

(iii) There has been a substantial change in the facts or circumstances affecting the applicant, which change has occurred during the interval between issuance of the supply order and the date of the application and was caused by forces or circumstances beyond the control of the applicant.

(h) *Decision.* (1) Upon consideration of the application and other relevant information received or obtained during the proceeding, the DOE shall issue an order granting or denying the modification or rescission of the supply order requested in the application for review.

(2) The DOE shall process applications for review as expeditiously as possible. When administratively feasible, the DOE shall issue an order granting or denying the application within 20 business days after receipt of the application.

(3) The order shall include a written statement setting forth the relevant facts and the legal basis of the order. The order shall state that it is a final order of which the applicant may seek judicial review.

(4) The DOE shall serve a copy of the order upon the applicant and any other party who participated in the proceeding.

§ 218.33 Stay.

(a) The DOE may issue an order granting a stay if the DOE determines that an applicant has made a compelling showing that it would incur serious and irreparable injury unless immediate stay relief is granted pending determination of an application for review pursuant to this subpart. An application for a stay shall be labeled as

such on the application and on the outside of the envelope in which the application is transmitted, and shall be in writing and signed by the firm filing the application. It shall include a description of the proceeding incident to which the stay is being sought and of the facts and circumstances which support the applicant's claim that it will incur irreparable injury unless immediate stay relief is granted. The applicant shall comply with the general filing requirements stated in 10 CFR 205.9 in addition to the requirements stated in this section. The DOE on its own initiative may also issue an order granting a stay upon a finding that a firm will incur irreparable injury if such an order is not granted.

(b) An order granting a stay shall expire by its terms within such time after issuance, not to exceed 30 days as the DOE specifies in the order, except that it shall expire automatically 5 days following its issuance if the applicant fails within that period to file an application for review unless within that period the DOE for good cause shown, extends the time during which the applicant may file an application for review.

(c) The order granting or denying a stay is not an order of the DOE subject to administrative review.

§ 218.34 Addresses.

All correspondence, petitions, and any information required by this part shall be submitted to: Administrator, Economic Regulatory Administration, Department of Energy, 2000 M Street, NW., Washington, DC 20461, and to the Director, Office of Hearings and Appeals, Department of Energy, 2000 M Street, NW., Washington, DC 20461.

Subpart E—Investigations, Violations, Sanctions and Judicial Actions

§ 218.40 Investigations.

(a) The DOE may initiate and conduct investigations relating to the scope, nature and extent of compliance by any person with the rules, regulations or statutes of the DOE or any order promulgated by the DOE under the authority of section 251 of EPCA, or any court decree.

(b) Any duly designated and authorized representative of DOE has the authority to conduct an investigation and to take such action as he deems necessary and appropriate to the conduct of the investigation including any action pursuant to § 205.8.

(c) There are no parties, as that term is used in adjudicative proceedings, in an investigation under this subpart, and no person may intervene or participate as a matter of right in any investigation under this subpart.

(d) Any person may request the DOE to initiate an investigation pursuant to paragraph (a) of this section. A request for an investigation shall set forth the subject matter to be investigated as fully as possible and include supporting documentation and information. No particular forms or procedures are required.

(e) Any person who is requested to furnish documentary evidence or testimony in an investigation, upon written request, shall be informed of the general purpose of the investigation.

(f) DOE shall not disclose information or documents that are obtained during any investigation unless (1) DOE directs or authorizes the public disclosure of the investigation; (2) the information or documents are a matter of public record; or (3) disclosure is not precluded by the Freedom of Information Act, 5 U.S.C. 552 and 10 CFR part 1004.

(g) During the course of an investigation any person may submit at any time any document, statement of facts or memorandum of law for the purpose of explaining the person's position or furnish evidence which the person considers relevant to a matter under investigation.

(h) If facts disclosed by an investigation indicate that further action is unnecessary or unwarranted, the investigative file may be closed without prejudice to further investigation by the DOE at any time that circumstances so warrant.

§ 218.41 Violations.

Any practice that circumvents, contravenes or results in the circumvention or contravention of the requirements of any provision of this part 218 or any order issued pursuant thereto is

a violation of the DOE regulations stated in this part and is unlawful.

§ 218.42 Sanctions.

(a) *General.* Any person who violates any provisions of this part 218 or any order issued pursuant thereto shall be subject to penalties and sanctions as provided herein.

(1) The provisions herein for penalties and sanctions shall be deemed cumulative and not mutually exclusive.

(2) Each day that a violation of the provisions of this part 218 or any order issued pursuant thereto continues shall be deemed to constitute a separate violation within the meaning of the provisions of this part relating to fines and civil penalties.

(b) *Penalties.* (1) Any person who violates any provision of this part or any order issued pursuant thereto shall be subject to a civil penalty of not more than $28,748 for each violation.

(2) Any person who willfully violates any provision of this part 218 or any order issued pursuant thereto shall be subject to a fine of not more than $10,000 for each violation.

(3) Any person who knowingly and willfully violates any provision of this part 218 or any order issued pursuant thereto with respect to the sale, offer of sale, or distribution in commerce of oil in commerce after having been subject to a sanction under paragraph (b)(1) or (2) of this section for a prior violation of the provisions of this part 218 or any order issued pursuant thereto with respect to the sale, offer of sale, or distribution in commerce of oil shall be subject to a fine of not more than $50,000 or imprisonment for not more than six months, or both, for each violation.

(4) Actions for penalties under this section are prosecuted by the Department of Justice upon referral by the DOE.

(5) When the DOE considers it to be appropriate or advisable, the DOE may compromise and settle any action under this paragraph, and collect civil penalties.

(c) *Other Penalties.* Willful concealment of material facts, or making of false, fictitious or fraudulent statements or representations, or submission of a document containing false, fictitious or fraudulent statements pertaining to matters within the scope of this part 218 by any person shall subject such persons to the criminal penalties provided in 18 U.S.C. 1001 (1970).

[44 FR 27972, May 14, 1979, as amended at 62 FR 46183, Sept. 2, 1997; 74 FR 66032, Dec. 14, 2009; 79 FR 19, Jan. 2, 2014; 81 FR 41793, June 28, 2016; 81 FR 96351, Dec. 30, 2016; 83 FR 1291, Jan. 11, 2018; 83 FR 66083, Dec. 26, 2018; 85 FR 830, Jan. 8, 2020; 86 FR 2955, Jan. 14, 2021; 87 FR 1063, Jan. 10, 2022; 88 FR 2193, Jan. 13, 2023; 89 FR 1027, Jan. 9, 2024; 89 FR 105406, Dec. 27, 2024]

§ 218.43 Injunctions.

Whenever it appears to the DOE that any firm has engaged, is engaging, or is about to engage in any act or practice constituting a violation of any regulation or order issued under this part 218, the DOE may request the Attorney General to bring a civil action in the appropriate district court of the United States to enjoin such acts or practices and, upon a proper showing, a temporary restraining order or a preliminary or permanent injunction shall be granted without bond. The relief sought may include a mandatory injunction commanding any firm to comply with any provision of such order or regulation, the violation of which is prohibited by section 524 of the EPCA.

PART 220 [RESERVED]

PART 221—PRIORITY SUPPLY OF CRUDE OIL AND PETROLEUM PRODUCTS TO THE DEPARTMENT OF DEFENSE UNDER THE DEFENSE PRODUCTION ACT

Subpart A—General

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Subpart D—Administrative Procedures and Sanctions

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221.32 Evaluation of DOD request.
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221.35 Contractual requirements.
221.36 Records and reports.
221.37 Violations and sanctions.

AUTHORITY: Defense Production Act, 50 U.S.C. App. 2061 *et seq.*, E.O. 10480 (18 FR 4939, Aug. 18, 1953) as amended by E.O. 12038 (43 FR 4957, Feb. 7, 1978), and E.O. 11790 (39 FR 23785, June 27, 1974).

SOURCE: 45 FR 76433, Nov. 19, 1980, unless otherwise noted.

Subpart A—General

§ 221.1 Scope.

This part sets forth the procedures to be utilized by the Economic Regulatory Administration of the Department of Energy and the Department of Defense whenever the priority supply of crude oil and petroleum products is necessary or appropriate to meet national defense needs. The procedures available in this part are intended to supplement but not to supplant other regulations of the ERA regarding the allocation of crude oil, residual fuel oil and refined petroleum products.

§ 221.2 Applicability.

This part applies to the mandatory supply of crude oil, refined petroleum products (including liquefied petroleum gases) and lubricants to the Department of Defense for its own use or for purchases made by the Department of Defense on behalf of other Federal Government agencies.

Subpart B—Exclusions

§ 221.11 Natural gas and ethane.

The supply of natural gas and ethane are excluded from this part.

Subpart C—Definitions

§ 221.21 Definitions.

For purposes of this part—

Directive means an official action taken by ERA which requires a named person to take an action in accordance with its provisions.

DOD means the Department of Defense, including Military Departments and Defense Agencies, acting through either the Secretary of Defense or the designee of the Secretary.

ERA means the Economic Regulatory Administration of the Department of Energy.

National defense means programs for military and atomic energy production or construction, military assistance to any foreign nation, stockpiling and space, or activities directly related to any of the above.

Person means any individual, corporation, partnership, association or any other organized group of persons, and includes any agency of the United States Government or any other government.

Priority-rated supply order means any delivery order for crude oil or petroleum products issued by DOD bearing a priority rating issued by ERA under this part.

Supplier means any person other than the DOD which supplies, sells, transfers, or otherwise furnishes (as by consignment) crude oil or petroleum product to any other person.

Subpart D—Administrative Procedures and Sanctions

§ 221.31 Requests by DOD.

(a) When DOD finds that (1) a fuel supply shortage for DOD exists or is anticipated which would have a substantial negative impact on the national defense, and (2) the defense activity for which fuel is required cannot be postponed until after the fuel supply shortage is likely to terminate, DOD may submit a written request to ERA for the issuance to it of a priority rating for the supply of crude oil and petroleum products.

(b) Not later than the transmittal date of its request to ERA, DOD shall notify the Federal Emergency Management Agency that it has requested a priority rating from ERA.

(c) Requests from DOD shall set forth the following:

(1) The quantity and quality of crude oil or petroleum products determined by DOD to be required to meet national defense requirements;

(2) The required delivery dates;

(3) The defense-related activity and the supply location for which the crude oil or petroleum product is to be delivered;

(4) The current or most recent suppliers of the crude oil or petroleum product and the reasons, if known, why the suppliers will not supply the requested crude oil or petroleum product;

(5) The degree to which it is feasible for DOD to use an alternate product in lieu of that requested and, if such an alternative product can be used, the efforts which have been made to obtain the alternate product;

(6) The period during which the shortage of crude oil or petroleum products is expected to exist;

(7) The proposed supply source for the additional crude oil or petroleum products required, which shall, if practicable, be the historical supplier of such crude oil or product to DOD; and

(8) Certification that DOD has made each of the findings required by paragraph (a) of this section.

§ 221.32 Evaluation of DOD request.

(a) Upon receipt of a request from DOD for a priority rating as provided in § 221.31, it shall be reviewed promptly by ERA. The ERA will assess the request in terms of:

(1) The information provided under § 221.31;

(2) Whether DOD's national defense needs for crude oil or petroleum products can reasonably be satisfied without exercising the authority specified in this part;

(3) The capability of the proposed supplier to supply the crude oil or petroleum product in the amounts required;

(4) The known capabilities of alternative suppliers;

(5) The feasibility to DOD of converting to and using a product other than that requested; and

(6) Any other relevant information.

(b) The ERA promptly shall notify the proposed supplier of DOD's request for a priority rating specified under this part. The proposed supplier shall have a period specified in the notice, not to exceed fifteen (15) days from the date it is notified of DOD's request, to show cause in writing why it cannot supply the requested quantity and quality of crude oil or petroleum products. ERA shall consider this information in determining whether to issue the priority rating.

(c) If acceptance by a supplier of a rated order would create a conflict with another rated order of the supplier, it shall include all pertinent information regarding such conflict in its response to the show cause order provided for in subsection (b), and ERA, in consultation with DOD and the Federal Emergency Management Agency shall determine the priorities for meeting all such requirements.

(d) ERA may waive some or all of the requirements of § 221.31 or this section where the Secretary of Defense or his designee certifies, and has so notified the Federal Emergency Management Agency, that a fuel shortage for DOD exists or is imminent and that compliance with such requirements would have a substantial negative impact on the national defense.

§ 221.33 Order.

(a) *Issuance.* If ERA determines that issuance of a priority rating for a crude oil or refined petroleum product is necessary to provide the crude oil or petroleum products needed to meet the national defense requirement established by DOD, it shall issue such a rating to DOD for delivery of specified qualities and quantities of the crude oil or refined petroleum products on or during specified delivery dates or periods. In accordance with the terms of the order, DOD may then place such priority rating on a supply order.

(b) *Compliance.* Each person who receives a priority-rated supply order pursuant to this part shall supply the specified crude oil or petroleum products to DOD in accordance with the terms of that order.

(c) *ERA directives.* Notwithstanding any other provisions of this part, where necessary or appropriate to promote the national defense ERA is authorized to issue a directive to a supplier of crude oil or petroleum product requiring delivery of specified qualities and quantities of such crude oil or petroleum products to DOD at or during specified delivery dates or periods.

(d) *Use of ratings by suppliers.* No supplier who receives a priority-rated supply order or directive issued under the authority of this section may use such priority order or directive in order to obtain materials necessary to meet its supply obligations thereunder.

§ 221.34 Effect of order.

Defense against claims for damages. No person shall be liable for damages or penalties for any act or failure to act resulting directly or indirectly from compliance with any ERA authorized priority-rated supply order or ERA directive issued pursuant to this part, notwithstanding that such priority-rated supply order or directive thereafter be declared by judicial or other competent authority to be invalid.

§ 221.35 Contractual requirements.

(a) No supplier may discriminate against an order or contract on which a priority rating has been placed under this part by charging higher prices, by imposing terms and conditions for such orders or contracts different from other generally comparable orders or contracts, or by any other means.

(b) Contracts with priority ratings shall be subject to all applicable laws and regulations which govern the making of such contracts, including those specified in 10 CFR 211.26(e).

§ 221.36 Records and reports.

(a) Each person receiving an order or directive under this part shall keep for at least two years from the date of full compliance with such order or directive accurate and complete records of crude oil and petroleum product deliveries made in accordance with such order or directive.

(b) All records required to be maintained shall be made available upon request for inspection and audit by duly authorized representatives of the ERA.

(Approved by the Office of Management and Budget under control number 1903–0073)

[45 FR 76433, Nov. 19, 1980, as amended at 46 FR 63209, Dec. 31, 1981]

§ 221.37 Violations and sanctions.

(a) Any practice that circumvents or contravenes the requirements of this part or any order or directive issued under this part is a violation of the regulations provided in this part.

(b) *Criminal penalties.* Any person who willfully performs any act prohibited, or willfully fails to perform any act required by this part or any order or directive issued under this part shall be subject to a fine of not more than $10,000 for each violation or imprisoned for not more than one year for each violation, or both.

(c) Whenever in the judgment of the Administrator of ERA any person has engaged or is about to engage in any acts or practices which constitute or will constitute a violation of any provision of these regulations, the Administrator may make application to the appropriate court for an order enjoining such acts or practices, or for an order enforcing compliance with such provision.

SUBCHAPTER B—CLIMATE CHANGE

PART 300—VOLUNTARY GREENHOUSE GAS REPORTING PROGRAM: GENERAL GUIDELINES

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AUTHORITY: 42 U.S.C. 7101, *et seq.,* and 42 U.S.C. 13385(b).

SOURCE: 71 FR 20805, Apr. 21, 2006, unless otherwise noted.

§ 300.1 General.

(a) *Purpose.* The General Guidelines in this part and the Technical Guidelines incorporated by reference in § 300.13 govern the Voluntary Reporting of Greenhouse Gases Program authorized by section 1605(b) of the Energy Policy Act of 1992 (42 U.S.C. 13385(b)). The purpose of the guidelines is to establish the procedures and requirements for filing voluntary reports, and to encourage corporations, government agencies, non-profit organizations, households and other private and public entities to submit annual reports of their greenhouse gas emissions, emission reductions, and sequestration activities that are complete, reliable and consistent. Over time, it is anticipated that these reports will provide a reliable record of the contributions reporting entities have made toward reducing their greenhouse gas emissions.

(b) *Reporting under the program.* (1) Each reporting entity, whether or not it intends to register emissions as described in paragraph (c) of this section, must:

(i) File an entity statement that meets the appropriate requirements in § 300.5(d) through (f) of this part;

(ii) Use appropriate emission inventory and emission reduction calculation methods specified in the Technical Guidelines (incorporated by reference, see § 300.13), and calculate and report the weighted average quality rating of any emission inventories it reports;

(iii) Comply with the record keeping requirements in § 300.9 of this part; and

(iv) Comply with the certification requirements in § 300.10 of this part;

(2) Each reporting entity, whether or not it intends to register emissions as described in paragraph (c) of this section, may report offset reductions achieved by other entities outside their boundaries as long as such reductions are reported separately and calculated in accordance with methods specified in the Technical Guidelines. The third-party entity that achieved these reductions must agree to their being reported as offset reductions, and must also meet all of the requirements of reporting that would apply if the third-party entity reported directly under the 1605(b) program.

(3) An entity that intends to register emissions and emission reductions must meet the additional requirements referenced in paragraph (c) of this section.

(4) An entity that does not intend to register emissions and emission reductions may choose to report its emissions and/or emission reductions on an entity-wide basis or for selected elements of the entity, selected gases or selected sources.

(5) An entity that does not intend to register emissions may report emission inventories for any year back to 1990 and may report emission reductions for any year back to 1991, relative to a base period of one to four years, ending no earlier than 1990.

(c) *Registration requirements.* Entities that seek to register reductions must meet the additional requirements in this paragraph; although these requirements differ depending on whether the entity is a large or small emitter.

(1) To be eligible for registration, a reduction must have been achieved after 2002, unless the entity has committed under the Climate Leaders or

Climate VISION programs to reduce its entity-wide emissions relative to a base period that ends earlier 2002, but no earlier than 2000.

(2) A large emitter must submit an entity-wide emission inventory that meets or exceeds the minimum quality requirements specified in §300.6(b) and the Technical Guidelines (incorporated by reference, see §300.13). Registered reductions of a large emitter must be based on an entity-wide assessment of net emission reductions, determined in accordance with §300.8 and the Technical Guidelines.

(3) A small emitter must also submit an emission inventory that meets minimum quality requirements specified in §300.6(b) and the Technical Guidelines (incorporated by reference, see §300.13) and base its registered reductions on an assessment of annual changes in net emissions. A small emitter, however, may restrict its inventory and assessment to a single type of activity, such as forest management, building operations or agricultural tillage.

(4) Reporting entities may, under certain conditions, register reductions achieved by other entities:

(i) Reporting entities that have met the requirements for registering their own reductions may also register offset reductions achieved by other entities if:

(A) They have an agreement with the third-party entities to do so and these third-party entities have met all of the requirements for registration; or

(B) They were the result of qualified demand management or other programs and are calculated in accordance with the action-specific method identified in §300.8(h)(5).

(ii) Small emitters that serve as an aggregator may register offset reductions achieved by non-reporting entities without reporting on their own emissions, as long as they have an agreement with the third-party entities to do so and these third-party entities have met all of the requirements for registration.

(d) *Forms.* Annual reports of greenhouse gas emissions, emission reductions, and sequestration must be made on forms or software made available by the Energy Information Administration of the Department of Energy (EIA).

(e) *Status of reports under previous guidelines.* EIA continues to maintain in its Voluntary Reporting of Greenhouse Gases database all reports received pursuant to DOE's October 1994 guidelines. Those guidelines are available from EIA at *http://www.eia.doe.gov/oiaf/1605/guidelns.html*.

(f) *Periodic review and updating of General and Technical Guidelines.* DOE intends periodically to review the General Guidelines and the Technical Guidelines (incorporated by reference, see §300.13) to determine whether any changes are warranted; DOE anticipates these reviews will occur approximately once every three years. These reviews will consider any new developments in climate science or policy, the participation rates of large and small emitters in the 1605(b) program, the general quality of the data submitted by different participants, and any changes to other emissions reporting protocols. Possible changes may include, but are not limited to:

(1) The addition of greenhouse gases that have been demonstrated to have significant, quantifiable climate forcing effects when released to the atmosphere in significant quantities;

(2) Changes to the minimum, quantity-weighted quality rating for emission inventories;

(3) Updates to emission inventory methods, emission factors and other provisions that are contained in industry protocols or standards. The review may also consider updates to any government-developed and consensus-based emission factors for which automatic updating is not provided in the Technical Guidelines;

(4) Modifications to the benchmarks or emission conversion factors used to calculate avoided and indirect emissions; and

(5) Changes in the minimum requirements for registered emission reductions.

§300.2 Definitions.

This section provides definitions for commonly used terms in this part.

Activity of a small emitter means, with respect to a small emitter, any single category of anthropogenic production,

consumption or other action that releases emissions or results in sequestration, the annual changes of which can be assessed generally by using a single calculation method.

Aggregator means an entity that reports to the 1605(b) program on behalf of non-reporting entities. An aggregator may be a large or small emitter, such as a trade association, non-profit organization or public agency.

Anthropogenic means greenhouse gas emissions and removals that are a direct result of human activities or are the result of natural processes that have been affected by human activities.

Avoided emissions means the greenhouse gas emission reductions that occur outside the organizational boundary of the reporting entity as a direct consequence of changes in the entity's activity, including but not necessarily limited to the emission reductions associated with increases in the generation and sale of electricity, steam, hot water or chilled water produced from energy sources that emit fewer greenhouse gases per unit than other competing sources of these forms of distributed energy.

Base period means a period of 1–4 years used to derive the average annual base emissions, emissions intensity or other values from which emission reductions are calculated.

Base value means the value from which emission reductions are calculated for an entity or subentity. The value may be annual emissions, emissions intensity, kilowatt-hours generated, or other value specified in the 1605(b) guidelines. It is usually derived from actual emissions and/or activity data derived from the base period.

Biogenic emissions mean emissions that are naturally occurring and are not significantly affected by human actions or activity.

Boundary means the actual or virtual line that encompasses all the emissions and carbon stocks that are to be quantified and reported in an entity's greenhouse gas inventory, including *de minimis* emissions. Entities may use financial control or another classification method based on ownership or control as the means of determining which sources or carbon stocks fall within this organizational boundary.

Carbon dioxide equivalent means the amount of carbon dioxide by weight emitted into the atmosphere that would produce the same estimated radiative forcing as a given weight of another radiatively active gas. Carbon dioxide equivalents are computed by multiplying the weight of the gas being measured by its estimated global warming potential.

Carbon stocks mean the quantity of carbon stored in biological and physical systems including: trees, products of harvested trees, agricultural crops, plants, wood and paper products and other terrestrial biosphere sinks, soils, oceans, and sedimentary and geological sinks.

Climate Leaders means the EPA sponsored industry-government partnership that works with individual companies to develop long-term comprehensive climate change strategies. Certain Climate Leaders Partners have, working with EPA, set a corporate-wide greenhouse gas reduction goal and have inventoried their emissions to measure progress towards their goal.

Climate VISION means the public-private partnership initiated pursuant to a Presidential directive issued in 2002 that aims to contribute to the President's goal of reducing greenhouse gas intensity through voluntary frameworks with industry. Climate VISION partners have signed an agreement with DOE to implement various climate-related actions to reduce greenhouse gas emissions.

De minimis emissions means emissions from one or more sources and of one or more greenhouse gases that, in aggregate, are less than or equal to 3 percent of the total annual carbon dioxide (CO_2) equivalent emissions of a reporting entity.

Department or *DOE* means the U.S. Department of Energy.

Direct emissions are emissions from sources within the organizational boundaries of an entity.

Distributed energy means electrical or thermal energy generated by an entity that is sold or otherwise exported outside of the entity's boundaries for use by another entity.

EIA means the Energy Information Administration within the U.S. Department of Energy.

Emissions means the direct release of greenhouse gases to the atmosphere from any anthropogenic (human induced) source and certain indirect emissions (releases) specified in this part.

Emissions intensity means emissions per unit of output, where output is defined as the quantity of physical output, or a non-physical indicator of an entity's or subentity's productive activity.

Entity means the whole or part of any business, institution, organization, government agency or corporation, or household that:

(1) Is recognized under any U.S. Federal, State or local law that applies to it;

(2) Is located and operates, at least in part, in the United States; and

(3) The emissions of such operations are released, at least in part, in the United States.

First reduction year means the first year for which an entity intends to register emission reductions; it is the year that immediately follows the start year.

Fugitive emissions means uncontrolled releases to the atmosphere of greenhouse gases from the processing, transmission, and/or transportation of fossil fuels or other materials, such as HFC leaks from refrigeration, SF6 from electrical power distributors, and methane from solid waste landfills, among others, that are not emitted via an exhaust pipe(s) or stack(s).

Greenhouse gases means the gases that may be reported to the Department of Energy under this program. They are:

(1) Carbon dioxide (CO_2)

(2) Methane (CH_4)

(3) Nitrous oxide (N_2O)

(4) HydrofluorocarbonsHFC-23 [trifluoromethane-(CHF_3]HFC-32 [trifluoromethane-CH_2F_2], CH_2CF_3, CH_3F, CHF_2CF_3, CH_2FCF_3, CH_3FCF_3, CHF_2CH_2F, CF_3CH_3, CH_2FCH_2F, CH_3CHF_2, CH_3CH_2F, CF_3CHFCF_3, $CH_2FCF_3CF_3$, CHF_2CHFCF_3, $CF_3CH_2CF_3$, $CH_2FCF_2CHF_2$, $CHF_2CH_2CF_3$, $CF_3CH_2CF_2CH_3$, CH_3 $CHFCHFCF_2$)

(5) Perfluorocarbons (perfluoromethane-CF_4, perfluoroethane-C_2F_6, C_3F_8, C_4F_{10}, c-C_4F_8, C_5F_{12}, C_6F_{14})

(6) Sulfur hexafluoride (SF_6)

(7) Chlorofluorocarbons (CFC-11 [trichlorofluoromethane-CCl_3F], CCl_2F_2, $CClF_3$, CCl_2FCClF_2, $CClF_2CClF_2$, ClF_3CClF_2,)

(8) Other gases or particles that have been demonstrated to have significant, quantifiable climate forcing effects when released to the atmosphere in significant quantities and for which DOE has established or approved methods for estimating emissions and reductions. (NOTE: As provided in § 300.6(i), chlorofluorcarbons and other gases with quantifiable climate forcing effects may be reported to the 1605(b) program if DOE has established an appropriate emission inventory or emission reduction calculation method, but reductions of these gases may not be registered.)

Incidental lands are entity landholdings that are a minor component of an entity's operations and are not actively managed for production of goods and services, including:

(1) Transmission, pipeline, or transportation right of ways that are not managed for timber production;

(2) Land surrounding commercial enterprises or facilities; and

(3) Land where carbon stock changes are determined by natural factors.

Indirect emissions means greenhouse gas emissions from stationary or mobile sources outside the organizational boundary that occur as a direct consequence of an entity's activity, including but not necessarily limited to the emissions associated with the generation of electricity, steam and hot/chilled water used by the entity.

Large emitter means an entity whose annual emissions are more than 10,000 metric tons of CO_2 equivalent, as determined in accordance with § 300.5(c).

Net emission reductions means the sum of all annual changes in emissions, eligible avoided emissions and sequestration of the greenhouse gases specifically identified in § 300.6(i), and determined to be in conformance with §§ 300.7 and 300.8 of this part.

Offset means an emission reduction that is included in a 1605(b) report and

meets the requirements of this part, but is achieved by an entity other than the reporting entity. Offset reductions must not be reported or registered by any other entity and must appear as a separate and distinct component of an entity's report. Offsets are not integrated into the reporting entity's emissions or net emission reductions.

Registration means the reporting of emission reductions that the EIA has determined meet the qualifications for registered emission reductions set forth in the guidelines.

Reporting entity means an entity that has submitted a report under the 1605(b) program that has been accepted by the Energy Information Administration.

Reporting year means the year that is the subject of a report to DOE.

Sequestration means the process by which CO_2 is removed from the atmosphere, either through biologic processes or physical processes.

Simplified Emission Inventory Tool (SEIT) is a computer-based method, to be developed and made readily accessible by EIA, for translating common physical indicators into an estimate of greenhouse gas emissions.

Sink means an identifiable discrete location, set of locations, or area in which CO_2 or some other greenhouse gas is sequestered.

Small emitter means an entity whose annual emissions are less than or equal to 10,000 metric tons of CO_2 equivalent, as determined in accordance with § 300.5(c), and that chooses to be treated as a small emitter under the guidelines.

Source means any land, facility, process, vehicle or activity that releases a greenhouse gas.

Start year means the year upon which the initial entity statement is based and the last year of the initial base period(s).

Subentity means a component of any entity, such as a discrete business line, facility, plant, vehicle fleet, or energy using system, which has associated with it emissions of greenhouse gases that can be distinguished from the emissions of all other components of the same entity and, when summed with the emissions of all other subentities, equal the entity's total emissions.

Total emissions means the total annual contribution of the greenhouse gases (as defined in this section) to the atmosphere by an entity, including both direct and indirect entity-wide emissions.

United States or *U.S.* means the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, Guam, American Samoa, and any other territory of the United States.

§ 300.3 Guidance for defining and naming the reporting entity.

(a) A reporting entity must be composed of one or more businesses, public or private institutions or organizations, households, or other entities having operations that annually release emissions, at least in part, in the United States. Entities may be defined by, as appropriate, a certificate of incorporation, corporate charter, corporate filings, tax identification number, or other legal basis of identification recognized under any Federal, State or local law or regulation. If a reporting entity is composed of more than one entity, all of the entities included must be responsible to the same management hierarchy and all entities that have the same management hierarchy must be included in the reporting entity.

(b) All reporting entities are strongly encouraged to define themselves at the highest level of aggregation. To achieve this objective, DOE suggests the use of a corporate-level definition of the entity, based on filings with the Securities and Exchange Commission or institutional charters. While reporting at the highest level of aggregation is encouraged, DOE recognizes that certain businesses and institutions may conclude that reporting at some lower level is desirable. Federal agencies are encouraged to report at the agency or departmental level, but distinct organizational units (such as a Department of the Interior Fish and Wildlife Service National Wildlife Refuge) may report directly if authorized by their department or agency. Once an entity has determined the level of corporate or institutional management at which it will report (*e.g.*, the holding

company, subsidiary, regulated stationary source, state government, agency, refuge, etc.), the entity must include all elements of the organization encompassed by that management level and exclude any organizations that are managed separately. For example, if two subsidiaries of a parent company are to be covered by a single report, then all subsidiaries of that parent company must also be included. Similarly, if a company decides to report on the U.S. and Canadian subsidiaries of its North American operations unit, it must also report on any other subsidiaries of its North American unit, such as a Mexican subsidiary.

(c) A name for the defined entity must be specified by all reporters. For entities that intend to register reductions, this should be the name commonly used to represent the activities being reported, as long as it is not also used to refer to substantial activities not covered by the entity's reports. While DOE believes entities should be given considerable flexibility in defining themselves at an appropriate level of aggregation, it is essential that the name assigned to an entity that intends to register reductions corresponds closely to the scope of the operations and emissions covered by its report. If, for example, an individual plant or operating unit is reporting as an entity, it should be given a name that corresponds to the specific plant or unit, and not to the responsible subsidiary or corporate entity. In order to distinguish a parent company from its subsidiaries, the name of the parent company generally should not be incorporated into the name of the reporting subsidiary, but if it is, the name of the parent company usually should be secondary.

§ 300.4 Selecting organizational boundaries.

(a) Each reporting entity must disclose in its entity statement the approach used to establish its organizational boundaries, which should be consistent with the following guidelines:

(1) In general, entities should use financial control as the primary basis for determining their organizational boundaries, with financial control meaning the ability to direct the financial and operating policies of all elements of the entity with a view to gaining economic or other benefits from its activities over a period of many years. This approach should ensure that all sources, including those controlled by subsidiaries, that are wholly or largely owned by the entity are covered by its reports. Sources that are under long-term lease of the entity may, depending on the provisions of such leases, also be considered to be under the entity's financial control. Sources that are temporarily leased or operated by an entity generally would not be considered to be under its financial control.

(2) Entities may establish organizational boundaries using approaches other than financial control, such as equity share or operational control, but must disclose how the use of these other approaches results in organizational boundaries that differ from those resulting from using the financial control approach.

(3) Emissions from facilities or vehicles that are partially-owned or leased may be included at the entity's discretion, provided that the entity has taken reasonable steps to assure that doing so does not result in the double counting of emissions, sequestration or emission reductions. Emissions reductions or sequestration associated with land, facilities or other sources not owned or leased by an entity may not be included in the entity's reports under the program unless the entity has long-term control over the emissions or sequestration of the source and the owner of the source has agreed that the emissions or sequestration may be included in the entity's report.

(4) If the scope of a defined entity extends beyond the United States, the reporting entity should use the same approach to determining its organizational boundaries in the U.S. and outside the U.S.

(b) Each reporting entity must keep separate reports on emissions or emission reductions that occur within its defined boundaries and those that occur outside its defined boundaries. Entities must also keep separate reports on emissions and emission reductions that occur outside the United

States and those that occur within the United States.

(c) An entity that intends to register its entity-wide emissions reductions must document and maintain its organizational boundary for accounting and reporting purposes.

§ 300.5 Submission of an entity statement.

(a) *Determining the type of reporting entity.* The entity statement requirements vary by type of reporting entity. For the purposes of these guidelines, there are three types of entities:

(1) Large emitters that intend to register emission reductions;

(2) Small emitters that intend to register emission reductions; and

(3) Emitters that intend to report, but not register emission reductions.

(b) *Choosing a start year.* The first entity statement describes the make-up, operations and boundaries of the entity, as they existed in the start year.

(1) For all entities, it is the year immediately preceding the first year for which the entity intends to register emission reductions and the last year of the initial base period(s).

(2) For entities intending to register emission reductions, the start year may be no earlier than 2002, unless the entity has made a commitment to reduce its entity-wide emissions under the Climate Leaders or Climate VISION program. An entity that has made such a commitment may establish a start year derived from the base period of the commitment, as long as it is no earlier than 2000.

(i) For a large emitter, the start year is the first year for which the entity submits a complete emissions inventory under the 1605(b) program.

(ii) The entity's emissions in its start year or its average annual emissions over a period of up to four years ending in the start year determine whether it qualifies to begin reporting as a small emitter.

(3) For entities not intending to register reductions, the start year may be no earlier than 1990.

(c) *Determining and maintaining large or small emitter reporting status.* (1) Any entity that intends to register emission reductions can choose to participate as a large emitter, but only an entity that has demonstrated that its annual emissions are less than or equal to 10,000 metric tons of CO_2 equivalent may participate as a small emitter. To demonstrate that its annual emissions are less than or equal to 10,000 metric tons of CO_2 equivalent, an entity must submit either an estimate of its emissions during its chosen start year or an estimate of its average annual emissions over a continuous period not to exceed four years of time ending in its chosen start year, as long as the operations and boundaries of the entity have not changed significantly during that period.

(2) An entity must estimate its total emissions using methods specified in Chapter 1 of the Technical Guidelines (incorporated by reference, see § 300.13) or by using the Simplified Emission Inventory Tool (SEIT) provided by EIA and also discussed in Chapter 1. The results of this estimate must be reported to EIA. [NOTE: emission estimates developed using SEIT may not be used to prepare, in whole or part, entity-wide emission inventories required for the registration of reductions.]

(3) After starting to report, each small emitter must annually certify that the emissions-related operations and boundaries of the entity have not changed significantly since the previous report. A new estimate of total emissions must be submitted after any significant increase in emissions, any change in the operations or boundaries of the small emitter, or every five years, whichever occurs first. Small emitters with estimated annual emissions of over 9,000 metric tons of CO_2 equivalent should re-estimate and submit their emissions annually. If an entity determines that it must report as a large emitter, then it must continue to report as a large emitter in all future years in order to ensure a consistent time series of reports. Once a small emitter becomes a large emitter, it must begin reporting in conformity with the reporting requirements for large emitters.

(d) *Entity statements for large emitters intending to register reductions.* When a large emitter intending to register emission reductions first reports under these guidelines, it must provide the

following information in its entity statement:

(1) The name to be used to identify the participating entity;

(2) The legal basis of the named entity;

(3) The criteria used to determine:

(i) The organizational boundaries of the entity, if other than financial control; and

(ii) The sources of emissions included or excluded from the entity's reports, such as sources excluded as *de minimis* emissions;

(4) The names of any parent or holding companies the activities of which will not be covered comprehensively by the entity's reports;

(5) The names of any large subsidiaries or organizational units covered comprehensively by the entity's reports. All subsidiaries of the entity must be covered by the entity's reports, but only large subsidiaries must be specifically identified in the entity statement;

(6) A list of each country where operations occur, if the entity is including any non-U.S. operations in its report;

(7) A description of the entity and its primary U.S. economic activities, such as electricity generation, product manufacturing, service provider or freight transport; for each country listed under paragraph (d)(6) of this section, the large emitter should describe the economic activity in that country.

(8) A description of the types of emission sources or sinks to be covered in the entity's emission inventories, such as fossil fuel power plants, manufacturing facilities, commercial office buildings or heavy-duty vehicles;

(9) The names of other entities that substantially share the ownership or operational control of sources that represent a significant part of the reporting entity's emission inventories, and a certification that, to the best of the certifier's knowledge, the direct greenhouse gas emissions and sequestration in the entity's report are not included in reports filed by any of these other entities to the 1605(b) program; and

(10) Identification of the start year.

(e) *Entity statements for small emitters intending to register reductions.* When a small emitter intending to register emission reductions first reports under these guidelines, it must provide the following information in its entity statement:

(1) The name to be used to identify the participating entity;

(2) The legal basis of the named entity;

(3) An identification of the entity's control over the activities covered by the entity's reports, if other than financial control;

(4) The names of any parent or holding companies the activities of which will not be covered comprehensively by the entity's reports;

(5) An identification or description of the primary economic activities of the entity, such as agricultural production, forest management or household operation; if any of the economic activities covered by the entity's reports occur outside the U.S., a listing of each country in which such activities occur;

(6) An identification or description of the specific activity (or activities) and the emissions, avoided emissions or sequestration covered by the entity's report, such as landfill gas recovery or forest sequestration;

(7) A certification that, to the best of the certifier's knowledge, the direct greenhouse gas emissions and sequestration in the entity's report are not included in reports filed by any other entities reporting to the 1605(b) program; and

(8) Identification of the start year.

(f) *Entity statements for reporting entities not registering reductions.* When a participant not intending to register emission reductions first reports under this part, it must, at a minimum, provide the following information in its entity statement:

(1) The name to be used to identify the reporting entity;

(2) The legal basis of the entity;

(3) An identification of the entity's control over the activities covered by the entity's reports, if other than financial control;

(4) A description of the entity and its primary economic activities, such as electricity generation, product manufacturing, service provider, freight transport, agricultural production, forest management or household operation; if any of the economic activities covered by the entity's reports occur

outside the United States, a listing of each country in which such activities occur; and

(5) A description of the types of emission sources or sinks, such as fossil fuel power plants, manufacturing facilities, commercial office buildings or heavy-duty vehicles, covered in the entity's reports of emissions or emission reductions.

(g) *Changing entity statements.* (1) Reporting entities are required to annually review and, if necessary, update their entity statements.

(2) From time to time, a reporting entity may choose to change the scope of activities included within the entity's reports or the level at which the entity wishes to report. A reporting entity may also choose to change its organizational boundaries, its base period, or other elements of its entity statement. For example, companies buy and sell business units, or equity share arrangements may change. In general, DOE encourages changes in the scope of reporting that expand the coverage of an entity's report and discourages changes that reduce the coverage of such reports unless they are caused by divestitures or plant closures. Any such changes should be reported in amendments to the entity statement, and major changes may warrant or require changes in the base values used to calculate emission reductions and, in some cases, the entity's base periods. Changes in the scope of reporting made on or before May 31 of a given calendar year must be reflected in the report submitted covering emissions and reductions for the following calendar year. Reporting entities may choose to postpone incorporating changes in the scope of reporting made after May 31 until submitting the report covering emissions and reductions for the year after the following calendar year. However, in no case should there be an interruption in the annual reports of entities registering emission reductions. Chapter 2 of the Technical Guidelines (incorporated by reference, see §300.13) provides more specific guidance on how such changes should be reflected in entity statements, reports, and emission reduction calculations.

(h) *Documenting changes in amended entity statements.* A reporting entity's entity statement in subsequent reports should focus primarily on changes since the previous report. Specifically, the subsequent entity statement should report the following information:

(1) For significant changes in the reporting entity's scope or organizational boundaries, the entity should document:

(i) The acquisition or divestiture of discrete business units, subsidiaries, facilities, and plants;

(ii) The closure or opening of significant facilities;

(iii) The transfer of economic activity to or from specific subentities covered by the entity's reports, such as the transfer of operations to non-U.S. subsidiaries;

(iv) Significant changes in land holdings (applies to entities reporting on greenhouse gas emissions or sequestration related to land use, land use change, or forestry);

(v) Whether the reporting entity is reporting at a higher level of aggregation than it did in the previous report, and if so, a listing of the subsidiary entities that are now aggregated under a revised conglomerated entity, including a listing of any non-U.S. operations to be added and the specific countries in which these operations are located; and

(vi) Changes in its activities or operations (*e.g.*, changes in output, contractual arrangements, equipment and processes, outsourcing or insourcing of significant activities) that are likely to have a significant effect on emissions, together with an explanation of how it believes the changes in economic activity influenced its reported emissions or sequestrations.

§ 300.6 Emissions inventories.

(a) *General.* The objective of an emission inventory is to provide a full accounting of an entity's emissions for a particular year, including direct emissions of the first six categories of gases listed in the definition of ''greenhouse gases'' in §300.2, indirect emissions specified in paragraph (e) of this section, and all sequestration or other changes in carbon stocks. An emission

inventory must be prepared in accordance with Chapter 1 of the Technical Guidelines (incorporated by reference, see § 300.13). An inventory does not include avoided emissions or any offset reductions, and is not subsequently adjusted to reflect future acquisitions, divestitures or other changes to the reporting entity (although a reporting entity often makes these types of adjustments when calculating emission reductions under the guidelines). Entity-wide inventories are a prerequisite for the registration of emission reductions by entities with average annual emissions of more than 10,000 metric tons of CO_2 equivalent. Entities that have average annual emissions of less than or equal to 10,000 metric tons of CO_2 equivalent are eligible to register emission reductions associated with specific activities without also reporting an inventory of the total emissions, but such entities should inventory and report the emissions associated with the specific activity(ies) they do cover in their reports.

(b) *Quality requirements for emission inventories.* The Technical Guidelines (incorporated by reference, see § 300.13) usually identify more than one acceptable method of measuring or estimating greenhouse gas emissions. Each acceptable method is rated A, B, C or D, with A methods usually corresponding to the highest quality method available and D methods representing the lowest quality method that may be used. Each letter is assigned a numerical rating reflecting its relative quality, 4 for A methods, 3 for B methods, 2 for C methods and 1 for D methods. Entities that intend to register emission reductions must use emission inventory methods that result in a quantity-weighted average quality rating of at least 3.0.

(1) Entities may at any time choose to modify the measurement or estimation methods that they use for their current or future year emission inventories. Such modifications would enable entities to gradually improve the quality of the ratings over time, but prior year inventories may be modified only to correct significant errors.

(2) Entities that have had their emission quantities and the quantity-weighted quality rating of their emissions inventory independently verified may report their emissions and average quality ratings by greenhouse gas, indirect emissions and sequestration, rather than by source or sink category.

(3) Entities that certify that they have used only A or B methods, may forego indicating in their reports the quality ratings of the methods used and may forego calculating the quantity-weighted average quality of their emission inventories.

(c) *Using estimation methods not included in the Technical Guidelines.* An entity may obtain DOE approval for the use of an estimation method not included in the Technical Guidelines (incorporated by reference, see § 300.13) if the method covers sources not described in the Technical Guidelines, or if the method provides more accurate results for the entity's specific circumstances than the methods described in the Technical Guidelines. If an entity wishes to propose the use of a method that is not described in the Technical Guidelines, the entity must provide a written description of the method, an explanation of how the method is implemented (including data requirements), empirical evidence of the method's validity and accuracy, and a suggested rating for the method to DOE's Office of Policy and International Affairs (with a copy to EIA). DOE reserves the right to deny the request, or to assign its own rating to the method. By submitting this information, the entity grants permission to DOE to incorporate the method in a future revision of the Technical Guidelines.

(d) *Direct emissions inventories.* Direct greenhouse gas emissions that must be reported are the emissions resulting from stationary or mobile sources within the organizational boundaries of an entity, including but not limited to emissions resulting from combustion of fossil fuels, process emissions, and fugitive emissions. Process emissions (*e.g.*, PFC emissions from aluminum production) must be reported along with fugitive emissions (*e.g.*, leakage of greenhouse gases from equipment).

(e) *Inventories of indirect emissions associated with purchased energy.* (1) To provide a clear incentive for the users

of electricity and other forms of purchased energy to reduce demand, an entity must include the indirect emissions from the consumption of purchased electricity, steam, and hot or chilled water in the entity's inventory as indirect emissions. To avoid double counting among entities, the entity must report all indirect emissions separately from its direct emissions. Entities should use the methods for quantifying indirect emissions specified in the Technical Guidelines (incorporated by reference, see §300.13).

(2) Entities may choose to report other forms of indirect emissions, such as emissions associated with employee commuting, materials consumed or products produced, although such other indirect emissions may not be included in the entity's emission inventory and may not be the basis for registered emission reductions. All such reports of other forms of indirect emissions must be distinct from reports of indirect emissions associated with purchased energy and must be based on emission measurement or estimation methods identified in the Technical Guidelines (incorporated by reference, see §300.13) or approved by DOE.

(f) *Entity-level inventories of changes in terrestrial carbon stocks.* Annual changes in managed terrestrial carbon stocks should be comprehensively assessed and reported across the entity, and the net emissions resulting from such changes included in the entity's emissions inventory. Entities should use the methods for estimating changes in managed terrestrial carbon stocks specified in the Technical Guidelines (incorporated by reference, see §300.13).

(g) *Treatment of de minimis emissions and sequestration.* (1) Although the goal of the entity-wide reporting requirement is to provide an accurate and comprehensive estimate of total emissions, there may be small emissions from certain sources that are unduly costly or otherwise difficult to measure or reliably estimate annually. An entity may exclude particular sources of emissions or sequestration if the total quantities excluded represent less than or equal to 3 percent of the total annual CO_2 equivalent emissions of the entity. The entity must identify the types of emissions excluded and provide an estimate of the annual quantity of such emissions using methods specified in the Technical Guidelines (incorporated by reference, see §300.13) or by using the Simplified Emissions Inventory Tool (SEIT). The results of this estimate of the entity's total excluded annual emissions must be reported to DOE together with the entity's initial entity statement.

(2) After starting to report, each reporting entity that excludes from its annual reports any *de minimis* emissions must re-estimate the quantity of excluded emissions after any significant increase in such emissions, or every five years, whichever occurs sooner.

(h) *Separate reporting of domestic and international emissions.* Non-U.S. emissions included in an entity's emission inventory must be separately reported and clearly distinguished from emissions originating in the U.S. Entities must identify any country-specific factors used in the preparation of such reports.

(i) *Covered gases.* Entity-wide emissions inventories must include the emissions of the first six categories of named gases listed in the definition of ''greenhouse gases'' in §300.2. Entities may report chlorofluorocarbons and other greenhouse gases with quantifiable climate forcing effects as long as DOE has established a method for doing so, but such gases must be reported separately and emission reductions, if any, associated with such other gases are not eligible for registration.

(j) *Units for reporting.* Emissions and sequestration should be reported in terms of the mass (not volume) of each gas, using metric units (*e.g.*, metric tons of methane). Entity-wide and subentity summations of emissions and reductions from multiple sources must be converted into CO_2 equivalent units using the global warming potentials for each gas in the International Panel on Climate Change's Third Assessment (or most recent) Report, as specified in the Technical Guidelines (incorporated by reference, see §300.13). Entities should specify the units used (*e.g.*, kilograms, or metric tons). Entities may need to use the standard conversion factors specified in the Technical Guidelines to

convert existing data into the common units required in the entity-level report. Emissions from the consumption of purchased electricity must be calculated by region (from the list provided by DOE in the Technical Guidelines) or country, if outside the United States. Consumption of purchased steam or chilled/hot water must be reported according to the type of system and fuel used to generate it (from the list provided by DOE in the Technical Guidelines). Entities must convert purchased energy to CO_2 equivalents using the conversion factors in the Technical Guidelines. Entities should also provide the physical quantities of each type of purchased energy covered by their reports.

§ 300.7 Net emission reductions.

(a) Entities that intend to register emission reductions achieved must comply with the requirements of this section. Entities may voluntarily follow these procedures if they want to demonstrate the achievement of net, entity-wide reductions for years prior to the earliest year permitted for registration. Only large emitters must follow the requirements of paragraph (b) of this section, but small emitters may do so voluntarily. Only entities that qualify as small emitters may use the special procedures in paragraph (c) of this section. Entities seeking to register emission reductions achieved by other entities (offsets) must certify that these emission reductions were calculated in a manner consistent with the requirements of paragraph (d) of this section and use the emission reduction calculation methods identified in §300.8. All entities seeking to register emission reductions must comply with the requirements of paragraph (e) of this section. Only reductions in the emissions of the first six categories of gases listed in the definition of ''greenhouse gases'' in §300.2 are eligible for registration.

(b) *Assessing net emission reductions for large emitters.* (1) Entity-wide reporting is a prerequisite for registering emission reductions by entities with average annual emissions of more than 10,000 metric tons of CO_2 equivalent. Net annual entity-wide emission reductions must be based, to the maximum extent practicable, on a full assessment and sum total of all changes in an entity's emissions, eligible avoided emissions and sequestration relative to the entity's established base period(s). This assessment must include all entity emissions, including the emissions associated with any non-U.S. operations covered by the entity statement, although the reductions achieved by non-U.S. operations must be separately totaled prior to being integrated with the net emission reductions achieved by U.S. operations. It must include the annual changes in the total emissions of the entity, including the total emissions of each of the subentities identified in its entity statement. All changes in emissions, avoided emissions, and sequestration must be determined using methods that are consistent with the guidelines described in §300.8 of this part.

(2) If it is not practicable to assess the changes in net emissions resulting from certain entity activities using at least one of the methods described in §300.8 of this part, the entity may exclude them from its estimate of net emission reductions. The entity must identify as one or more distinct subentities the sources of emissions excluded for this reason and describe the reasons why it was not practicable to assess the changes that had occurred. DOE believes that few emission sources will be excluded for this reason, but has identified at least two situations where such an exclusion would be warranted. For example, it is likely to be impossible to assess the emission changes associated with a new manufacturing plant that produces a product for which the entity has no historical record of emissions or emissions intensity (emissions per unit of product output). However, once the new plant has been operational for at least a full year, a base period and base value(s) for the new plant could be established and its emission changes assessed in the following year. Until the emission changes of this new subentity can be assessed, it should be identified in the entity's report as a subentity for which no assessment of emission changes is practicable. The other example involves a subentity that has reduced its

output below the levels of its base period. In such a case, the subentity could not use the absolute emissions method and may also be unable to identify an effective intensity metric or other method.

(3) In calculating its net annual emission reductions, an entity should exclude any emissions or sequestration that have been excluded from the entity's inventory. The entity should also exclude all *de minimis* and biogenic emissions that are excluded from the entity's inventory of greenhouse gas emissions from its assessments of emission changes.

(c) *Assessing emission reductions for entities with small emissions.* (1) Entities with average annual emissions of less than or equal to 10,000 metric tons of CO_2 equivalent are not required to inventory their total emissions or assess all changes in their emissions, eligible avoided emissions and sequestration to qualify for registered reductions. These entities may register emission reductions that have occurred since 2002 and that are associated with one or more specific activities, as long as they:

(i) Perform a complete assessment of the annual emissions and sequestration associated with each of the activities upon which they report, using methods that meet the same quality requirements applicable to entity-wide emission inventories; and

(ii) Determine the changes in the emissions, eligible avoided emissions or sequestration associated with each of these activities.

(2) An entity reporting as a small emitter must report on one or more specific activities and is encouraged, but not required to report on all activities occurring within the entity boundary. Examples of small emitter activities include: vehicle operations; product manufacturing processes; building operations or a distinct part thereof, such as lighting; livestock operations; crop management; and power generation. For example, a farmer managing several woodlots and also producing a wheat crop may report emission reductions associated with managing an individual woodlot. However, the farmer must also assess and report the net sequestration resulting from managing all the woodlots within the entity's boundary. The small emitter is not required to report on emissions or reductions associated with growing the wheat crop.

(3) A small emitter must certify that the reductions reported were not caused by actions likely to cause increases in emissions elsewhere within the entity's operations. This certification should be based on an assessment of the likely direct and indirect effects of the actions taken to reduce greenhouse gas emissions.

(d) *Net emission reductions achieved by other entities (offset reductions or emission reductions submitted by aggregators).* A reporting entity or aggregator under certain conditions may report or register all or some of the net emission reductions achieved by entities that choose not to report under the section 1605(b) program. In all cases, an agreement must exist between the reporting entity or aggregator and the other entity that specifies the quantity of the emission reductions (or increases) achieved by the other entity that may be reported or registered as an offset reduction by the reporting entity or aggregator. A large emitter that is reporting on behalf of other entities must meet all of the requirements applicable to large emitters, including submission of an entity statement, an emissions inventory, and an entity-wide assessment of emission reductions. If an aggregator is a small emitter, it may choose to report only on the activities, emissions and emission reductions of the entities on behalf of which it is reporting and not to report on any of its own activities or emission reductions. The reporting entity or aggregator must include in its report all of the information on the other entity, including an entity statement, an emissions inventory (when required), and an assessment of emission reductions that would be required if the other entity were directly reporting to EIA. The net emissions reductions (or increases) of each other entity will be evaluated separately by EIA to determine whether they are eligible for registration in accordance with the guidelines of this part. Those registered reductions (or increases) assigned by the

other entity, by agreement, to a reporting entity or aggregator will be included in EIA's summary of all registered offset reductions for that entity or aggregator. If the agreement between the reporting entity and other entity is discontinued, for any reason, the reporting entity must inform EIA and must identify any emission reductions previously reported that could be attributable to an increase in the carbon stocks of the other entity. Such reductions will be removed by EIA from the records of the reporting entity's offset reductions.

(e) *Net emission reductions to be reported by other entities as offset reductions.* Entities must identify in their report the quantity of any net emission reductions covered by the report, if any, that another entity will report as an offset reduction, including the name of the other entity;

(f) *Adjusting for year-to-year increases in net emissions.* (1) Normally, net annual emission reductions for an entity are calculated by summing the net annual changes in emissions, eligible avoided emissions and sequestration, as determined using the calculation methods identified in § 300.8 and according to the procedures described in paragraph (b) of this section for large emitters, paragraph (c) for small emitters of this section for small emitters, and paragraph (d) of this section for offsets. However, if the entity experienced a net increase in emissions for one or more years, these increases must be reported and taken into account in calculating any future year reductions. If the entity subsequently achieves net annual emission reductions, the net increases experienced in the preceding year(s) must be more than offset by these reductions before the entity can once again register emission reductions. For example, if an entity achieved a net emission reduction of 5,000 metric tons of CO_2 equivalent in its first year, a net increase of 2,000 metric tons in its second year, and a net reduction of 3,000 metric tons in its third year, it would be able to register a 5,000 metric ton reduction in its first year, no reduction in its second year, and a 1,000 metric ton reduction in its third year (3,000–2,000). The entity must file full reports for each of these three years. Its report for the second year would indicate the net increase in emissions and this increase would be noted in EIA's summary of the entity's report for that year and for any future year, until the emissions increase was entirely offset by subsequent emission reductions. If this same entity achieved a net reduction of only 1,000 metric tons in its third year, it would not be able to register additional reductions until it had, in some future year, offset more than its second year increase of 2,000 metric tons.

(2) [Reserved]

§ 300.8 Calculating emission reductions.

(a) *Choosing appropriate emission reduction calculation methods.* (1) An entity must choose the method or methods it will use to calculate emission reductions from the list provided in paragraph (h) of this section. Each of the calculation methods has special characteristics that make it applicable to only certain types of emissions and activities. An entity should select the appropriate calculation method based on several factors, including:

(i) How the entity's subentities are defined;

(ii) How the reporter will gather and report emissions data; and

(iii) The availability of other types of data that might be needed, such as production or output data.

(2) For some entities, a single calculation method will be sufficient, but many entities may need to apply more than one method because discrete components of the entity require different calculation methods. In such a case, the entity will need to select a method for each subentity (or discrete component of the entity with identifiable emission or reductions). The emissions and output measure (generally a physical measure) of each subentity must be clearly distinguished and reported separately. Guidance on the selection and specification of calculation methods is provided in Chapter 2 of the Technical Guidelines (incorporated by reference, see § 300.13).

(b) *Identifying subentities for calculating reductions.* If more than one calculation method is to be used, an entity must specify the portion of the entity (the subentity) to which each method will be applied. Each subentity must be clearly identified. From time to time, it may be necessary to modify existing or create new subentities. The entity must provide to EIA a full description of such changes, together with an explanation of why they were required.

(c) *Choosing a base period for calculating reductions.* In general, the base period used in calculating emission reductions is the single year or up to four-year period average immediately preceding the first year of calculated emission reductions.

(d) *Establishing base values.* To calculate emission reductions, an entity must establish a base value against which to compare reporting year performance. The minimum requirements for base values for each type of calculation method are specified in Chapter 2 of the Technical Guidelines (incorporated by reference, see §300.13). In most cases, an historic base value, derived from emissions or other data gathered during the base period, is the minimum requirement specified. Entities may, however, choose to establish base values that are more stringent than the base values derived from the methods specified in Chapter 2 of the Technical Guidelines as long as their report indicates the rationale for the alternative base value and demonstrates that it would result in a smaller quantity of emission reductions.

(e) *Emission reduction and subentity statements.* For each subentity, an entity must submit to EIA the following information:

(1) An identification and description of the method used to calculate emission reductions, including:

(i) The type of calculation method;

(ii) The measure of output used (if any); and

(iii) The method-specific base period for which any required base value will be calculated.

(2) The base period used in calculating reductions. When an entity starts to report, the base period used in calculating reductions must end in the start year. However, over time the reporting entity may find it necessary to revise or establish new base periods and base values in response to significant changes in processes or output of the subentity.

(3) A description of the subentity and its primary economic activity or activities, such as electricity generation, product manufacturing, service provider, freight transport, or household operation; and

(4) A description of the emission sources or sinks covered, such as fossil fuel power plants, manufacturing facilities, commercial office buildings or heavy-duty vehicles.

(f) *Changes in calculation methods, base periods and base values.* When significant changes occur in the composition or output of reporting entities, a reporting entity may need to change previously specified calculation methods, base periods or base values. A reporting entity should make such changes only if necessary and it should fully document the reasons for any changes. The Technical Guidelines (incorporated by reference, see §300.13) describe when such changes should be made and what information on such changes must be provided to DOE. In general, such changes should not result in any alterations to previously reported or registered emission reductions. A reporting entity may alter previously reported or registered emission reductions only if necessary to correct significant errors.

(g) *Continuous reporting.* To ensure that the summation of entity annual reports accurately represents net, multi-year emission reductions, an entity must submit a report every year, beginning with the first reduction year. An entity may use a specific base period to determine emission reductions in a given future year only if the entity has submitted qualified reports for each intervening year. If an interruption occurs in the annual reports of an entity, the entity must subsequently report on all missing years prior to qualifying for the registration of additional emission reductions.

(h) *Calculation methods.* An entity must calculate any change in emissions, avoided emissions or sequestration using one or more of the methods described in this paragraph and in the Technical Guidelines (incorporated by reference, see § 300.13).

(1) *Changes in emissions intensity.* An entity may use emissions intensity as a basis for determining emission reductions as long as the entity selects a measure of output that is:

(i) A reasonable indicator of the output produced by the entity;

(ii) A reliable indicator of changes in the entity's activities;

(iii) Related to emissions levels; and

(iv) Any appropriate adjustments for acquisitions, divestitures, insourcing, outsourcing, or changes in products have been made, as described in the Technical Guidelines (incorporated by reference, see § 300.13).

(2) *Changes in absolute emissions.* An entity may use changes in the absolute (actual) emissions (direct and/or indirect) as a basis for determining net emission reductions as long as the entity makes only those adjustments required by the Technical Guidelines (incorporated by reference, see § 300.13). An entity intending to register emission reductions may use this method only if the entity demonstrates in its report that any reductions derived from such changes were not achieved as a result of reductions in the output of the entity, and certifies that emission reductions are not the result of major shifts in the types of products or services produced. Entities may report, but not register, such reductions even if the output associated with such emissions is declining.

(3) *Changes in carbon storage (for actions within entity boundaries).* An entity may use changes in carbon storage as a basis for determining net emission reductions as long as the entity uses estimation and measurement methods that comply with the Technical Guidelines (incorporated by reference, see § 300.13), and has included an assessment of the net changes in all sinks in its inventory.

(4) *Changes in avoided emissions (for actions within entity boundaries).* An entity may use changes in avoided emissions to determine its emission reductions. Avoided emissions eligible to be included in the calculation of net emission reductions that qualify for registration include those associated with the sale of electricity, steam, hot water or chilled water generated from non-emitting or low-emitting sources as a basis for determining net emission reductions as long as:

(i) The measurement and calculation methods used comply with the Technical Guidelines (incorporated by reference, see § 300.13);

(ii) The entity certifies that any increased sales were not attributable to the acquisition of a generating facility that had been previously operated, unless the entity's base period includes generation values from the acquired facility's operation prior to its acquisition; and

(iii) Generators of distributed energy that have net emissions in their base period and intend to report reductions resulting from changes in eligible avoided emissions, use a method specified in the Technical Guidelines (incorporated by reference, see § 300.13) that integrates the calculation of reductions resulting from both changes in emissions intensity and changes in avoided emissions.

(5) *Action-specific emission reductions (for actions within entity boundaries).* A number of source- or situation-specific methods are provided in the Technical Guidelines and these methods must be used to assess the annual changes in emissions for the specific sources or situation addressed by these methods. In addition, a generic action-specific method is identified in the Technical Guidelines. An entity intending to register reductions may use the generic action-specific approach only if it is not possible to measure accurately emission changes by using one of the methods identified in paragraphs (h)(1) through (h)(4) of this section. Entities that intend to register reductions and that use the generic action-specific approach must explain why it is not possible to use any of these other methods. An entity not intending to register reductions may use the generic action-specific method to determine emission reductions, as long as the entity demonstrates that the estimate is based on analysis that:

(i) Uses output, utilization and other factors that are consistent, to the maximum extent practicable, with the action's actual performance in the year for which reductions are being reported;

(ii) Excludes any emission reductions that might have resulted from reduced output or were caused by actions likely to be associated with increases in emissions elsewhere within the entity's operations; and

(iii) Uses methods that are in compliance with the Technical Guidelines (incorporated by reference, see §300.13).

(i) *Summary description of actions taken to reduce emissions.* Each reported emission reduction must be accompanied by an identification of the types of actions that were the likely cause of the reductions achieved. Entities are also encouraged to include in their reports information on the benefits and costs of the actions taken to reduce greenhouse gas emissions, such as the expected rates of return, life cycle costs or benefit to cost ratios, using appropriate discount rates.

(j) *Emission reductions associated with plant closings, voluntary actions and government (including non-U.S. regulatory regimes) requirements.* (1) Each report of emission reductions must indicate whether the reported emission reductions were the result, in whole or in part, of plant closings, voluntary actions, or government requirements. EIA will presume that reductions that were not the result of plant closings or government requirements are the result of voluntary actions.

(2) If emission reductions were, in whole or in part, the direct result of plant closings that caused a decline in output, the report must identify the reductions as such; these reductions do not qualify for registration. EIA will presume that reductions calculated using the emissions intensity method do not result from a decline in output.

(3) If the reductions were associated, in whole or part, with U.S. or non-U.S. government requirements, the report should identify the government requirement involved and the effect these requirements had on the reported emission reductions. If, as a result of the reduction, a non-U.S. government issued to the reporting entity a credit or other financial benefit or regulatory relief, the report should identify the government requirement involved and describe the specific form of benefit or relief provided.

(k) *Determining the entity responsible for emission reductions.* The entity that EIA will presume to be responsible for emission reduction, avoided emission or sequestered carbon is the entity with financial control of the facility, land or vehicle which generated the reported emissions, generated the energy that was sold so as to avoid other emissions, or was the place where the sequestration action occurred. If control is shared, reporting of the associated emission reductions should be determined by agreement between the entities involved so as to avoid double-counting; this agreement must be reflected in the entity statement and in any report of emission reductions. EIA will presume that an entity is not responsible for any emission reductions associated with a facility, property or vehicle excluded from its entity statement.

§300.9 Reporting and recordkeeping requirements.

(a) *Starting to report under the guidelines.* An entity may report emissions and sequestration on an annual basis beginning in any year, but no earlier than the base period of 1987–1990 specified in the Energy Policy Act of 1992. To be recognized under these guidelines, all reports must conform to the measurement methods established by the Technical Guidelines (incorporated by reference, see §300.13).

(b) *Revisions to reports submitted under the guidelines.* (1) Once EIA has accepted a report under this part, it may be revised by the reporting entity only under the circumstances specified in this paragraph and related provisions of the Technical Guidelines (incorporated by reference, see §300.13). In general:

(i) Revised reports may be submitted to correct errors that have a significant effect on previously estimated emissions or emission reductions; and

(ii) Emission inventories may be revised in order to create a consistent time series based on improvements in

the emission estimation or measurement techniques used.

(2) Reporting entities must provide the corrected or improved data to EIA, together with an explanation of the significance of the change and its justification.

(3) If a change in calculation methods (for inventories or reductions) is made for a particular year, the reporting entity must, if feasible, revise its base value to assure methodological consistency with the reporting year value.

(c) *Definition and deadline for annual reports.* Entities must report emissions on a calendar year basis, from January 1 to December 31. To be included in the earliest possible EIA annual report of greenhouse gas emissions reported under this part, entity reports that have not been independently verified must be submitted to DOE no later than July 1 for emissions occurring during the previous calendar year. Reports that have been independently verified must be submitted by September 1 for emissions occurring during the previous year.

(d) *Recordkeeping.* Entities intending to register reductions must maintain adequate supporting records of base period data for the duration of their participation in the 1605(b) program. Supporting records for all reporting year data must be maintained for at least three years subsequent to the relevant reporting year to enable verification of all information reported. The records should document the basis for the entity's report to EIA, including:

(1) The content of entity statements, including the identification of the specific facilities, buildings, land holding and other operations or emission sources covered by the entity's reports and the legal, equity, operational and other bases for their inclusion;

(2) Information on the identification and assessment of changes in entity boundaries, processes or products that might have to be reported to EIA;

(3) Any agreements or relevant communications with other entities or third parties regarding the reporting of emissions or emission reductions associated with sources the ownership or operational control of which is shared;

(4) Information on the methods used to measure or estimate emissions, and the data collection and management systems used to gather and prepare this data for inclusion in reports;

(5) Information on the methods used to calculate emission reductions, including the basis for:

(i) The selection of the specific output measures used, and the data collection and management systems used to gather and prepare output data for use in the calculation of emission reductions;

(ii) The selection and modification of all base years, base periods and baselines used in the calculation of emission reductions;

(iii) Any baseline adjustments made to reflect acquisitions, divestitures or other changes;

(iv) Any models or other estimation methods used; and

(v) Any internal or independent verification procedures undertaken.

(e) *Confidentiality.* DOE will protect trade secret and commercial or financial information that is privileged or confidential as provided in 5 U.S.C. 552(b)(4). An entity must clearly indicate in its 1605(b) report the information for which it requests confidentiality. DOE will handle requests for confidentiality of information submitted in 1605(b) reports in accordance with the process established in DOE's Freedom of Information regulations at 10 CFR §1004.11.

§ 300.10 Certification of reports.

(a) *General requirement and certifying official*: All reports submitted to EIA must include a certification statement, as provided in paragraph (b) of this section, signed by a certifying official of the reporting entity. A household report may be certified by one of its members. All other reports must be certified by the chief executive officer, agency head, or an officer or employee of the entity who is responsible for reporting the entity's compliance with environmental regulations.

(b) *Certification statement requirements.* All entities, whether reporting or registering reductions, must certify the following:

(1) The information reported is accurate and complete;

(2) The information reported has been compiled in accordance with this part; and

(3) The information reported is consistent with information submitted in prior years, if any, or any inconsistencies with prior year's information are documented and explained in the entity statement.

(c) *Additional requirements for registering.* The certification statement of an entity registering reductions must also certify that:

(1) The entity took reasonable steps to ensure that direct emissions, emission reductions, and/or sequestration reported are neither double counted nor reported by any other entity. Reasonable steps include telephone, fax, letter, or e-mail communications to ensure that another entity does not intend to report the same emissions, emission reductions, and/or sequestration to DOE. Direct communications of this kind with participants in demand-side management or other programs directed at very small emitters are not required;

(2) Any emission reductions reported or registered by the entity that were achieved by another entity (other than a very small emitter that participated in a demand-side management or other program) are included in the entity's report only if:

(i) The other entity does not intend to report or register theses reductions directly;

(ii) There exists a written agreement with each other entity providing that the reporting entity is the entity entitled to report or register these emission reductions; and

(iii) The information reported on the other entity would meet the requirements of this part if the entity were reporting directly to DOE;

(3) None of the emissions, emission reductions, or sequestration reported were produced by shifting emissions to other entities or to non-reporting parts of the entity;

(4) None of any reported changes in avoided emissions associated with the sale of electricity, steam, hot or chilled water generated from non-emitting or low-emitting sources are attributable to the acquisition of a generating facility that has been previously operated, unless the entity's base period includes generation values from the acquiring facility's operation prior to its acquisition;

(5) The entity maintains records documenting the analysis and calculations underpinning the data reported on this form and records documenting the analysis and calculations underpinning the base values used in calculating annual reductions are maintained in accordance with §300.9(d) of this part; and

(6) The entity has, or has not, obtained independent verification of the report, as described in §300.11.

§300.11 Independent verification.

(a) *General.* Entities are encouraged to have their annual reports reviewed by independent and qualified auditors, as described in paragraphs (b), (c), and (f) of this section.

(b) *Qualifications of verifiers.* (1) DOE envisions that independent verification will be performed by professional verifiers (*i.e.*, individuals or companies that provide verification or ''attestation'' services). EIA will consider a report to the program to be independently verified if:

(i) The lead individual verifier and other members of the verification team are accredited by one or more independent and nationally-recognized accreditation programs, described in paragraph (c) of this section, for the types of professionals needed to determine compliance with DOE's 1605(b) guidelines;

(ii) The lead verifier has experience managing an auditing or verification process, including the recruitment and allocation of other individual verifiers, and has been empowered to make decisions relevant to the provision of a verification statement; and

(iii) All members of a verification team have education, training and/or professional experience that matches the tasks performed by the individual verifiers, as deemed necessary by the verifier accreditation program.

(2) As further guidance, all members of the verification team should be familiar with:

(i) The subject matter covered by the scope of the verification;

(ii) The requirements of this part;

(iii) Greenhouse gas emission and emission reduction quantification;

(iv) Data and information auditing sampling methods; and

(v) Risk assessment and methodologies and materiality analysis procedures outlined by other domestic and international standards.

(3) An individual verifier should have a professional degree or accreditation in engineering (environmental, industrial, chemical), accounting, economics, or a related field, supplemented by specific training and/or experience in emissions reporting and accounting, and should have his or her qualifications and continuing education periodically reviewed by an accreditation program. The skills required for verification are often cross-disciplinary. For example, an individual verifier reviewing a coal electric utility should be knowledgeable about mass balance calculations, fuel purchasing accounting, flows and stocks of coals, coal-fired boiler operation, and issues of entity definition.

(4) Companies that provide verification services must use professionals that possess the necessary skills and proficiency levels for the types of entities for which they provide verification services. Continuing training may be required to ensure all individuals have up-to-date knowledge regarding the tasks they perform.

(c) *Qualifications of organizations accrediting verifiers.* Organizations that accredit individual verifiers must be nationally recognized certification programs. They may include, but are not limited to the: American Institute of Certified Public Accountants; American National Standards Institute's Registrar Accreditation Board program for Environmental Management System auditors (ANSI–RAB–EMS); Board of Environmental, Health and Safety Auditor Certification: California Climate Action Registry; Clean Development Mechanism Executive Board; and the United Kingdom Accreditation Scheme.

(d) *Scope of verification.* (1) As part of any independent verification, qualified verifiers must use their expertise and professional judgment to verify for accuracy, completeness and consistency with DOE's guidelines of:

(i) The content of entity statements, annual reports and the supporting records maintained by the entity;

(ii) The representation in entity statements (or lack thereof) of any significant changes in entity boundaries, products, or processes;

(iii) The procedures and methods used to collect emissions and output data, and calculate emission reductions (for entities with widely dispersed operations, this process should include on-site reviews of a sample of the facilities);

(iv) Relevant personnel training and management systems; and

(v) Relevant quality assurance/quality control procedures.

(2) DOE expects qualified verifiers to refer to the growing body of literature on methods of evaluating the elements listed in paragraph (d)(1) of this section, such as the California Climate Action Registry Certification Protocol, the Climate Leaders Inventory Management Plan Checklist, and the draft ISO 14064.3 Protocol for Validation, Verification and Certification.

(e) *Verification statement.* Both the verifier and, if relevant, an officer of the company providing the verification service must sign the verification statement. The verification statement shall attest to the following:

(1) The verifier has examined all components listed in paragraph (d) of this section;

(2) The information reported in the verified entity report and this verification statement is accurate and complete;

(3) The information reported by the entity has been compiled in accordance with this part;

(4) The information reported on the entity report is consistent with information submitted in prior years, if any, or any inconsistencies with prior year's information are documented and explained in the entity statement;

(5) The verifier used due diligence to assure that direct emissions, emission reductions, and/or sequestration reported are not reported by any other entity;

(6) Any emissions, emission reductions, or sequestration that were

achieved by a third-party entity are included in this report only if there exists a written agreement with each third party indicating that they have agreed that the reporting entity should be recognized as the entity entitled to report these emissions, emission reductions, or sequestration;

(7) None of the emissions, emission reductions, or sequestration reported was produced by shifting emissions to other entities or to non-reporting parts of the entity;

(8) No reported changes in avoided emissions associated with the sale of electricity, steam, hot or chilled water generated from non-emitting or low-emitting sources are attributable to the acquisition of a generating facility that has been previously operated, unless the base year generation values are derived from records of the facility's operation prior to its acquisition;

(9) The verifying entity has procedures in place for the maintenance of records that are sufficient to document the analysis and calculations underpinning this verification. The verifying entity shall maintain such records related to base period data submitted by the reporting entity for the duration of the reporting entity's participation in the 1605(b) program and records related to all other verified data for a period of no less than three years; and

(10) The independent verifier is not owned in whole or part by the reporting entity, nor provides any ongoing operational or support services to the entity, except services consistent with independent financial accounting or independent certification of compliance with government or private standards.

(f) *Qualifying as an independent verifier*. An independent verifier may not be owned in whole or part by the reporting entity, nor may it provide any ongoing operational or support services to the entity, except services consistent with independent financial accounting or independent certification of compliance with government or private standards.

§ 300.12 Acceptance of reports and registration of entity emission reductions.

(a) *Acceptance of reports*. EIA will review all reports to ensure they are consistent with this part and with the Technical Guidelines (incorporated by reference, see § 300.13). EIA will also review all reports for completeness, internal consistency, arithmetic accuracy and plausibility. Subject to the availability of adequate resources, EIA intends to notify entities of the acceptance or rejection of any report within six months of its receipt.

(b) *Registration of emission reductions*. EIA will review each accepted report to determine if emission reductions were calculated using an acceptable base period (usually ending no earlier than 2002), and to confirm that the report complies with the other provisions of this part. EIA will also review its records to verify that the reporting entity has submitted accepted annual reports for each year between the establishment of its base period and the year covered by the current report. EIA will notify the entity that reductions meeting these requirements have been credited to the entity as ''registered reductions'' which can be held by the reporting entity for use (including transfer to other entities) in the event a future program that recognizes such reductions is enacted into law.

(c) *Rejection of reports*. If EIA does not accept a report or if it determines that emission reductions intended for registration do not qualify, EIA will return the report to the sender with an explanation of its inadequacies. The reporting entity may resubmit a modified report for further consideration at any time.

(d) *EIA database and summary reports*. The Administrator of EIA will establish a publicly accessible database composed of all reports that meet the definitional, measurement, calculation, and certification requirements of these guidelines. EIA will maintain separate subtotals of direct emissions, indirect emissions and carbon fluxes. A portion of the database will provide summary information on the emissions and registered emission reductions of each reporting entity.

§ 300.13 Incorporation by reference.

The Technical Guidelines for the Voluntary Reporting of Greenhouse Gases (1605(b)) Program (January 2007), referred to throughout this part as the ''Technical Guidelines,'' have been approved for incorporation by reference by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. You may obtain a copy of the Technical Guidelines from the Office of Policy and International Affairs, U.S. Department of Energy, 1000 Independence Ave., SW., Washington, DC 20585, or by visiting the following Web site: *http://www.policy.energy.gov/enhancingGHGregistry/technicalguidelines/*. The Technical Guidelines also are available for inspection at the National Archives and Record Administration (NARA). For more information on the availability of this material at NARA, call 202–741–6030, or go to: *http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html*.

[71 FR 20805, Apr. 21, 2006, as amended at 72 FR 4413, Jan. 31, 2007]

SUBCHAPTER C [RESERVED]

SUBCHAPTER D—ENERGY CONSERVATION

PARTS 400–417 [RESERVED]

PART 420—STATE ENERGY PROGRAM

Subpart A—General Provisions for State Energy Program Financial Assistance

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AUTHORITY: Title III, part B, as amended, of the Energy Policy and Conservation Act (42 U.S.C. 6321 *et seq.*); Department of Energy Organization Act (42 U.S.C. 7101 *et seq.*)

SOURCE: 61 FR 35895, July 8, 1996, unless otherwise noted.

EDITORIAL NOTE: Nomenclature changes to part 420 appear at 64 FR 46114, Aug. 24, 1999.

Subpart A—General Provisions for State Energy Program Financial Assistance

§ 420.1 Purpose and scope.

It is the purpose of this part to promote the conservation of energy, to reduce the rate of growth of energy demand, and to reduce dependence on imported oil through the development and implementation of a comprehensive State Energy Program and the provision of Federal financial and technical assistance to States in support of such program.

§ 420.2 Definitions.

As used in this part:

Act means title III, part D, as amended, of the Energy Policy and Conservation Act, 42 U.S.C. 6321 *et seq.*

Alternative transportation fuel means methanol, denatured ethanol, and other alcohols; mixtures containing 85 percent or more by volume of methanol, denatured ethanol, and other alcohols with gasoline or other fuels; natural gas; liquified petroleum gas; hydrogen; coal-derived liquid fuels; fuels (other than alcohol) derived from biological materials (including neat biodiesel); and electricity (including electricity from solar energy).

ASHRAE/IESNA 90.1–1989, as amended means the building design standard published in December 1989 by the American Society of Heating, Refrigerating and Air-Conditioning Engineers, and the Illuminating Engineering Society of North America titled ''Energy Efficient Design of New Buildings Except Low-Rise Residential Buildings,'' with Addenda 90.1b–1992; Addenda 90.1d–1992; Addenda 90.1e–1992; Addenda 90.1g–1993; and Addenda 90.1i–1993, which is incorporated by reference in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. The availability of this incorporation by reference is given in § 420.6(b).

Assistant Secretary means the Assistant Secretary for Energy Efficiency and Renewable Energy or any official to whom the Assistant Secretary's

functions may be redelegated by the Secretary.

British thermal unit (Btu) means the quantity of heat necessary to raise the temperature of one pound of water one degree Fahrenheit at 39.2 degrees Fahrenheit and at one atmosphere of pressure.

Building means any structure which includes provision for a heating or cooling system, or both, or for a hot water system.

Carpool means the sharing of a ride by two or more people in an automobile.

Carpool matching and promotion campaign means a campaign to coordinate riders with drivers to form carpools and/or vanpools.

Commercial building means any building other than a residential building, including any building constructed for industrial or public purposes.

Commercially available means available for purchase by the general public or target audience in the State.

Deputy Assistant Secretary means the Deputy Assistant Secretary for Building Technology, State and Community Programs or any official to whom the Deputy Assistant Secretary's functions may be redelegated by the Assistant Secretary.

Director, Office of State and Community Programs means the official responsible for DOE's formula grant programs to States, or any official to whom the Director's functions may be redelegated by the Assistant Secretary.

DOE means the Department of Energy.

Energy audit means any process which identifies and specifies the energy and cost savings which are likely to be realized through the purchase and installation of particular energy efficiency measures or renewable energy measures.

Energy efficiency measure means any capital investment that reduces energy costs in an amount sufficient to recover the total cost of purchasing and installing such measure over an appropriate period of time and maintains or reduces non-renewable energy consumption.

Environmental residual means any pollutant or pollution causing factor which results from any activity.

Exterior envelope physical characteristics means the physical nature of those elements of a building which enclose conditioned spaces through which thermal energy may be transferred to or from the exterior.

Governor means the chief executive officer of a State, the District of Columbia, Puerto Rico, or any territory or possession of the United States, or a person duly designated in writing by the Governor to act upon his or her behalf.

Grantee means the State or other entity named in the notice of grant award as the recipient.

HVAC means heating, ventilating and air-conditioning.

IBR means incorporation by reference.

Industrial facility means any fixed equipment or facility which is used in connection with, or as part of, any process or system for industrial production or output.

Institution of higher education has the same meaning as such term is defined in section 1201(a) of the Higher Education Act of 1965 (20 U.S.C. 1141(a)).

Manufactured home means any dwelling covered by the Federal Manufactured Home Construction and Safety Standards, 24 CFR part 3280.

Metropolitan Planning Organization means that organization required by the Department of Transportation, and designated by the Governor as being responsible for coordination within the State, to carry out transportation planning provisions in a Standard Metropolitan Statistical Area.

Model Energy Code, 1993, including Errata, means the model building code published by the Council of American Building Officials, which is incorporated by reference in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. The availability of this incorporation by reference is given in § 420.6(b).

Park-and-ride lot means a parking facility generally located at or near the trip origin of carpools, vanpools and/or mass transit.

Petroleum violation escrow funds. For purposes both of exempting petroleum violation escrow funds from the matching requirements of § 420.12 and of applying the limitations specified under § 420.18(b), this term means any funds

distributed to the States by the Department of Energy or any court and identified as Alleged Crude Oil Violation funds, together with any interest earned thereon by the States, but excludes any funds designated as ''excess funds'' under section 3003(d) of the Petroleum Overcharge Distribution and Restitution Act, subtitle A of title III of the Omnibus Budget Reconciliation Act of 1986, Public Law 99–509, and the funds distributed under the ''Warner Amendment,'' section 155 of Public Law 97–377.

Plan means a State Energy Program plan including required program activities in accordance with § 420.15 and otherwise meeting the applicable provisions of this part.

Political subdivision means a unit of government within a State, including a county, municipality, city, town, township, parish, village, local public authority, school district, special district, council of governments, or any other regional or intrastate governmental entity or instrumentality of a local government exclusive of institutions of higher learning and hospitals.

Preferential traffic control means any one of a variety of traffic control techniques used to give carpools, vanpools and public transportation vehicles priority treatment over single occupant vehicles other than bicycles and other two-wheeled motorized vehicles.

Program activity means one or more State actions, in a particular area, designed to promote energy efficiency, renewable energy and alternative transportation fuel.

Public building means any building which is open to the public during normal business hours, including:

(1) Any building which provides facilities or shelter for public assembly, or which is used for educational office or institutional purposes;

(2) Any inn, hotel, motel, sports arena, supermarket, transportation terminal, retail store, restaurant, or other commercial establishment which provides services or retail merchandise;

(3) Any general office space and any portion of an industrial facility used primarily as office space;

(4) Any building owned by a State or political subdivision thereof, including libraries, museums, schools, hospitals, auditoriums, sport arenas, and university buildings; and

(5) Any public or private non-profit school or hospital.

Public transportation means any scheduled or nonscheduled transportation service for public use.

Regional Office Director means the director of a DOE Regional Office with responsibility for grants administration or any official to whom that function may be redelegated.

Renewable energy means a non-depletable source of energy.

Renewable energy measure means any capital investment that reduces energy costs in an amount sufficient to recover the total cost of purchasing and installing such measure over an appropriate period of time and that results in the use of renewable energy to replace the use of non-renewable energy.

Residential building means any building which is constructed for residential occupancy.

Secretary mean the Secretary of DOE.

SEP means the State Energy Program under this part.

Small business means a private firm that does not exceed the numerical size standard promulgated by the Small Business Administration under section 3(a) of the Small Business Act (15 U.S.C. 632) for the Standard Industrial Classification (SIC) codes designated by the Secretary of Energy.

Start-up business means a small business which has been in existence for 5 years or less.

State means a State, the District of Columbia, Puerto Rico, or any territory or possession of the United States.

State or local government building means any building owned and primarily occupied by offices or agencies of a State; and any building of a unit of local government or a public care institution which could be covered by part H, title III, of the Energy Policy and Conservation Act, 42 U.S.C. 6372–6372i.

Transit level of service means characteristics of transit service provided which indicate its quantity, geographic area of coverage, frequency and quality (comfort, travel, time, fare and image).

Urban area traffic restriction means a setting aside of certain portions of an urban area as restricted zones where

varying degrees of limitation are placed on general traffic usage and/or parking.

Vanpool means a group of riders using a vehicle, with a seating capacity of not less than eight individuals and not more than fifteen individuals, for transportation to and from their residence or other designated locations and their place of employment, provided the vehicle is driven by one of the pool members.

Variable working schedule means a flexible working schedule to facilitate activities such as carpools, vanpools, public transportation usage, and/or telecommuting.

[61 FR 35895, July 8, 1996, as amended at 62 FR 26726, May 14, 1997]

§ 420.3 Administration of financial assistance.

(a) Financial assistance under this part shall comply with applicable laws and regulations including, but without limitation, the requirements of:

(1) Executive Order 12372, Intergovernmental Review of Federal Programs, as implemented by 10 CFR part 1005.

(2) DOE Financial Assistance Rules (10 CFR part 600); and

(3) Other procedures which DOE may from time to time prescribe for the administration of financial assistance under this part.

(b) The budget period(s) covered by the financial assistance provided to a State according to § 420.11(b) or § 420.33 shall be consistent with 10 CFR part 600.

(c) Subawards are authorized under this part and are subject to the requirements of this part and 10 CFR part 600.

§ 420.4 Technical assistance.

At the request of the Governor of any State to DOE and subject to the availability of personnel and funds, DOE will provide information and technical assistance to the State in connection with effectuating the purposes of this part.

§ 420.5 Reports.

(a) Each State receiving financial assistance under this part shall submit to the cognizant Regional Office Director a quarterly program performance report and a quarterly financial status report.

(b) Reports under this section shall contain such information as the Secretary may prescribe in order to monitor effectively the implementation of a State's activities under this part.

(c) The reports shall be submitted within 30 days following the end of each calendar year quarter.

§ 420.6 Reference standards.

(a) The following standards which are not otherwise set forth in this part are incorporated by reference and made a part of this part. The following standards have been approved for incorporation by reference by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. A notice of any change in these materials will be published in the FEDERAL REGISTER. The standards incorporated by reference are available for inspection at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202–741–6030, or go to: *http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html.*

(b) The following standards are incorporated by reference in this part:

(1) The American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE), 1791 Tullie Circle, N.E., Atlanta, Georgia 30329, (404) 636–8400/The Illuminating Engineering Society of North America (IESNA), 345 East 47th Street, New York, New York 10017, (212) 705–7913: (i) ASHRAE/IESNA 90.1–1989, entitled ''Energy Efficient Design of New Buildings Except Low-Rise Residential Buildings,'' with Addenda 90.1b-1992; Addenda 90.1d-1992; Addenda 90.1e-1992; Addenda 90.1g-1993; and Addenda 90.1i-1993, IBR approved for § 420.2 and § 420.15.

(2) The Council of American Building Officials (CABO), 5203 Leesburg Pike, Suite 708, Falls Church, Virginia 22041, (703) 931–4533: (i) The Model Energy Code, 1993, including Errata, IBR approved for § 420.2 and § 420.15.

[61 FR 35895, July 8, 1996, as amended at 69 FR 18803, Apr. 9, 2004]

Subpart B—Formula Grant Procedures

§ 420.10 Purpose.

This subpart specifies the procedures that apply to the Formula Grant part of the State Energy Program, which allows States to apply for financial assistance to undertake a wide range of required and optional energy-related activities provided for under § 420.15 and § 420.17. Funding for these activities is allocated to the States based on funds available for any fiscal year, as described under § 420.11.

§ 420.11 Allocation of funds among the States.

(a) The cognizant Regional Office Director shall provide financial assistance to each State having an approved annual application from funds available for any fiscal year to develop, modify, or implement a plan.

(b) DOE shall allocate financial assistance to develop, implement or modify plans among the States from funds available for any fiscal year, as follows:

(1) If the available funds equal $25.5 million, such funds shall be allocated to the States according to Table 1 of this section.

(2) The base allocation for each State is listed in Table 1.

TABLE 1—BASE ALLOCATION BY STATE

State/Territory	
Alabama	$381,000
Alaska	180,000
Arizona	344,000
Arkansas	307,000
California	1,602,000
Colorado	399,000
Connecticut	397,000
Delaware	164,000
District of Columbia	158,000
Florida	831,000
Georgia	534,000
Hawaii	170,000
Idaho	190,000
Illinois	1,150,000
Indiana	631,000
Iowa	373,000
Kansas	327,000
Kentucky	411,000
Louisiana	446,000
Maine	231,000
Maryland	486,000
Massachusetts	617,000
Michigan	973,000
Minnesota	584,000
Mississippi	279,000
Missouri	518,000
Montana	182,000
Nebraska	246,000
Nevada	196,000
New Hampshire	216,000
New Jersey	783,000
New Mexico	219,000
New York	1,633,000
North Carolina	564,000
North Dakota	172,000
Ohio	1,073,000
Oklahoma	352,000
Oregon	325,000
Pennsylvania	1,090,000
Rhode Island	199,000
South Carolina	340,000
South Dakota	168,000
Tennessee	476,000
Texas	1,322,000
Utah	242,000
Vermont	172,000
Virginia	571,000
Washington	438,000
West Virginia	286,000
Wisconsin	604,000
Wyoming	155,000
American Samoa	115,000
Guam	120,000
Northern Marianas	114,000
Puerto Rico	322,000
U.S. Virgin Islands	122,000
Total	25,500,000

(3) If the available funds for any fiscal year are less than $25.5 million, then the base allocation for each State shall be reduced proportionally.

(4) If the available funds exceed $25.5 million, $25.5 million shall be allocated as specified in Table 1 and any in excess of $25.5 million shall be allocated as follows:

(i) One-third of the available funds is divided among the States equally;

(ii) One-third of the available funds is divided on the basis of the population of the participating States as contained in the most recent reliable census data available from the Bureau of the Census, Department of Commerce, for all participating States at the time DOE needs to compute State formula shares; and

(iii) One-third of the available funds is divided on the basis of the energy consumption of the participating States as contained in the most recent State Energy Data Report available from DOE's Energy Information Administration.

(c) The budget period covered by the financial assistance provided to a State

according to §420.11(b) shall be consistent with 10 CFR part 600.

§420.12 State matching contribution.

(a) Each State shall provide cash, in kind contributions, or both for SEP activities in an amount totaling not less than 20 percent of the financial assistance allocated to the State under §420.11(b).

(b) Cash and in-kind contributions used to meet this State matching requirement are subject to the limitations on expenditures described in §420.18(a), but are not subject to the 20 percent limitation in §420.18(b).

(c) Nothing in this section shall be read to require a match for petroleum violation escrow funds used under this subpart.

[61 FR 35895, July 8, 1996, as amended at 64 FR 46114, Aug. 24, 1999]

§420.13 Annual State applications and amendments to State plans.

(a) To be eligible for financial assistance under this subpart, a State shall submit to the cognizant Regional Office Director an original and two copies of the annual application executed by the Governor, including an amended State plan or any amendments to the State plan needed to reflect changes in the activities the State is planning to undertake for the fiscal year concerned. The date for submission of the annual State application shall be set by DOE.

(b) An application shall include:

(1) A face sheet containing basic identifying information, on Standard Form (SF) 424;

(2) A description of the energy efficiency, renewable energy, and alternative transportation fuel goals to be achieved, including wherever practicable:

(i) An estimate of the energy to be saved by implementation of the State plan;

(ii) Why the goals were selected;

(iii) How the attainment of the goals will be measured by the State; and

(iv) How the program activities included in the State plan represent a strategy to achieve these goals;

(3) With respect to financial assistance under this subpart, a goal, consisting of an improvement of 25 percent or more in the efficiency of use of energy in the State concerned in the calendar year 2012, as compared to the calendar year 1990, and may contain interim goals;

(4) For the budget period for which financial assistance will be provided:

(i) A total program budget with supporting justification, broken out by object category and by source of funding;

(ii) The source and amount of State matching contribution;

(iii) A narrative statement detailing the nature of State plan amendments and of new program activities.

(iv) For each program activity, a budget and listing of milestones; and

(v) An explanation of how the minimum criteria for required program activities prescribed in §420.15 have been implemented and are being maintained.

(5) If any of the activities being undertaken by the State in its plan have environmental impacts, a detailed description of the increase or decrease in environmental residuals expected from implementation of a plan defined insofar as possible through the use of information to be provided by DOE and an indication of how these environmental factors were considered in the selection of program activities.

(6) If a State is undertaking program activities involving purchase or installation of materials or equipment for weatherization of low-income housing, an explanation of how these activities would supplement and not supplant the existing DOE program under 10 CFR part 440.

(7) A reasonable assurance to DOE that it has established policies and procedures designed to assure that Federal financial assistance under this subpart will be used to supplement, and not to supplant, State and local funds, and to the extent practicable, to increase the amount of such funds that otherwise would be available, in the absence of such Federal financial assistance, for those activities set forth in the State Energy Program plan approved pursuant to this subpart;

(8) An assurance that the State shall comply with all applicable statutes and regulations in effect with respect to the periods for which it receives grant funding; and

(9) For informational purposes only, and not subject to DOE review, an energy emergency plan for an energy supply disruption, as designed by the State consistent with applicable Federal and State law including an implementation strategy or strategies (including regional coordination) for dealing with energy emergencies.

(c) The Governor may request an extension of the annual submission date by submitting a written request to the cognizant Regional Office Director not less than 15 days prior to the annual submission date. The extension shall be granted only if, in the cognizant Regional Office Director's judgment, acceptable and substantial justification is shown, and the extension would further objectives of the Act.

(d) The Secretary, or a designee, shall, at least once every three years from the submission date of each State plan, invite the Governor of the State to review and, if necessary, revise the energy conservation plan of such State. Such reviews should consider the energy conservation plans of other States within the region, and identify opportunities and actions that may be carried out in pursuit of common energy conservation goals.

[61 FR 35895, July 8, 1996, as amended at 62 FR 26727, May 14, 1997; 64 FR 46114, Aug. 24, 1999; 71 FR 57887, Oct. 2, 2006]

§ 420.14 Review and approval of annual State applications and amendments to State plans.

(a) After receipt of an application for financial assistance under this subpart and for approval of an amendment, if any, to a State plan, the cognizant Regional Office Director may request the State to submit within a reasonable period of time any revisions necessary to make the application complete and to bring the application into compliance with the requirements of subparts A and B of this part. The cognizant Regional Office Director shall attempt to resolve any dispute over the application informally and to seek voluntary compliance. If a State fails to submit timely appropriate revisions to complete an application or to bring it into compliance, the cognizant Regional Office Director may reject the application in a written decision, including a statement of reasons, which shall be subject to administrative review under § 420.19 of subparts A and B of this part.

(b) On or before 60 days from the date that a timely filed application is complete, the cognizant Regional Office Director shall—

(1) Approve the application in whole or in part to the extent that—

(i) The application conforms to the requirements of subparts A and B of this part;

(ii) The proposed program activities are consistent with a State's achievement of its energy conservation goals in accordance with § 420.13; and

(iii) The provisions of the application regarding program activities satisfy the minimum requirements prescribed by § 420.15 and § 420.17 as applicable;

(2) Approve the application in whole or in part subject to special conditions designed to ensure compliance with the requirements of subparts A and B of this part; or

(3) Disapprove the application if it does not conform to the requirements of subparts A and B of this part.

[61 FR 35895, July 8, 1996, as amended at 62 FR 26727, May 14, 1997; 64 FR 46114, Aug. 24, 1999]

§ 420.15 Annual State applications and amendments to State plans.

(a) Mandatory lighting efficiency standards for public buildings shall:

(1) Be implemented throughout the State, except that the standards shall be adopted by the State as a model code for those local governments of the State for which the State's constitution reserves the exclusive authority to adopt and implement building standards within their jurisdictions;

(2) Apply to all public buildings (except for public buildings owned or leased by the United States), above a certain size, as determined by the State;

(3) For new public buildings, be no less stringent than the provisions of ASHRAE/IESNA 90.1–1989, and should be updated by enactment of, or support for the enactment into local codes or standards, which, at a minimum, are comparable to provisions of ASHRAE/IESNA 90.1–1989 which is incorporated by reference in accordance with 5 U.S.C. 552 (a) and 1 CFR part 51. The

availability of this incorporation by reference is given in § 420.6; and

(4) For existing public buildings, contain the elements deemed appropriate by the State.

(b) Program activities to promote the availability and use of carpools, vanpools, and public transportation shall:

(1) Have at least one of the following actions under implementation in at least one urbanized area with a population of 50,000 or more within the State or in the largest urbanized area within the State if that State does not have an urbanized area with a population of 50,000 or more:

(i) A carpool/vanpool matching and promotion campaign;

(ii) Park-and-ride lots;

(iii) Preferential traffic control for carpoolers and public transportation patrons;

(iv) Preferential parking for carpools and vanpools;

(v) Variable working schedules;

(vi) Improvement in transit level of service for public transportation;

(vii) Exemption of carpools and vanpools from regulated carrier status;

(viii) Parking taxes, parking fee regulations or surcharge on parking costs;

(ix) Full-cost parking fees for State and/or local government employees;

(x) Urban area traffic restrictions;

(xi) Geographical or time restrictions on automobile use; or

(xii) Area or facility tolls; and

(2) Be coordinated with the relevant Metropolitan Planning Organization, unless no Metropolitan Planning Organization exists in the urbanized area, and not be inconsistent with any applicable Federal requirements.

(c) Mandatory standards and policies affecting the procurement practices of the State and its political subdivisions to improve energy efficiency shall—

(1) With respect to all State procurement and with respect to procurement of political subdivisions to the extent determined feasible by the State, be under implementation; and

(2) Contain the elements deemed appropriate by the State to improve energy efficiency through the procurement practices of the State and its political subdivisions.

(d) Mandatory thermal efficiency standards for new and renovated buildings shall—

(1) Be implemented throughout the State, with respect to all buildings (other than buildings owned or leased by the United States, buildings whose peak design rate of energy usage for all purposes is less than one watt (3.4 Btu's per hour) per square foot of floor space for all purposes, or manufactured homes), except that the standards shall be adopted by the State as a model code for those local governments of the State for which the State's law reserves the exclusive authority to adopt and implement building standards within their jurisdictions;

(2) Take into account the exterior envelope physical characteristics, HVAC system selection and configuration, HVAC equipment performance and service water heating design and equipment selection;

(3) For all new commercial and multifamily high-rise buildings, be no less stringent than provisions of sections 7–12 of ASHRAE/IESNA 90.1–1989, and should be updated by enactment of, or support for the enactment into local codes or standards, which, at a minimum, are comparable to provisions of ASHRAE/IESNA 90.1–1989; and

(4) For all new single-family and multifamily low-rise residential buildings, be no less stringent than the Model Energy Code, 1993, and should be updated by enactment of, or support for the enactment into local codes or standards, which, at a minimum, are comparable to the Model Energy Code, 1993, which is incorporated by reference in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. The availability of this incorporation by reference is given in § 420.6;

(5) For renovated buildings:

(i) Apply to those buildings determined by the State to be renovated buildings; and

(ii) Contain the elements deemed appropriate by the State regarding thermal efficiency standards for renovated buildings.

(e) A traffic law or regulation which permits the operator of a motor vehicle to make a turn at a red light after stopping shall:

(1) Be in a State's motor vehicle code and under implementation throughout all political subdivisions of the State;

(2) Permit the operator of a motor vehicle to make a right turn (left turn with respect to the Virgin Islands) at a red traffic light after stopping except where specifically prohibited by a traffic sign for reasons of safety or except where generally prohibited in an urban enclave for reasons of safety; and

(3) Permit the operator of a motor vehicle to make a left turn from a one-way street to a one-way street (right turn with respect to the Virgin Islands) at a red traffic light after stopping except where specifically prohibited by a traffic sign for reasons of safety or except where generally prohibited in an urban enclave for reasons of safety.

(f) Procedures must exist for ensuring effective coordination among various local, State, and Federal energy efficiency, renewable energy and alternative transportation fuel programs within the State, including any program administered within the Office of Building Technology, State and Community Programs of the Department of Energy and the Low Income Home Energy Assistance Program administered by the Department of Health and Human Services.

(g) The mandatory conduct of activities to support transmission and distribution planning, including—

(1) Support for local governments and Indian Tribes;

(2) Feasibility studies for transmission line routes and alternatives;

(3) Preparation of necessary project design and permits; and

(4) Outreach to affected stakeholders.

[61 FR 35895, July 8, 1996, as amended at 62 FR 26727, May 14, 1997; 89 FR 33196, Apr. 29, 2024]

§ 420.16 Extensions for compliance with required program activities.

An extension of time by which a required program activity must be ready for implementation may be granted if DOE determines that the extension is justified. A written request for an extension, with accompanying justification and an action plan acceptable to DOE for achieving compliance in the shortest reasonable time, shall be made to the cognizant Regional Office Director. Any extension shall be only for the shortest reasonable time that DOE determines necessary to achieve compliance. The action plan shall contain a schedule for full compliance and shall identify and make the most reasonable commitment possible to provision of the resources necessary for achieving the scheduled compliance.

§ 420.17 Optional elements of State Energy Program plans.

(a) Other appropriate activities or programs may be included in the State plan. These activities may include, but are not limited to, the following:

(1) Program activities of public education to promote energy efficiency, renewable energy, and alternative transportation fuels;

(2) Program activities to increase transportation energy efficiency, including programs to accelerate the use of alternative transportation fuels for government vehicles, fleet vehicles, taxis, mass transit, and privately owned vehicles;

(3) Program activities for financing energy efficiency measures and renewable energy measures—

(i) Which may include loan programs and performance contracting programs for leveraging of additional public and private sector funds and program activities which allow rebates, grants, or other incentives for the purchase of energy efficiency measures and renewable energy measures; or

(ii) In addition to or in lieu of program activities described in paragraph (a)(3)(i) of this section, which may be used in connection with public or nonprofit buildings owned and operated by a State, a political subdivision of a State or an agency or instrumentality of a State, or an organization exempt from taxation under section 501(c)(3) of the Internal Revenue Code of 1986 including public and private non-profit schools and hospitals, and local government buildings;

(4) Program activities for encouraging and for carrying out energy audits with respect to buildings and industrial facilities (including industrial processes) within the State;

(5) Program activities to promote the adoption of integrated energy plans which provide for:

(i) Periodic evaluation of a State's energy needs, available energy resources (including greater energy efficiency), and energy costs; and

(ii) Utilization of adequate and reliable energy supplies, including greater energy efficiency, that meet applicable safety, environmental, and policy requirements at the lowest cost;

(6) Program activities to promote energy efficiency in residential housing, such as:

(i) Program activities for development and promotion of energy efficiency rating systems for newly constructed housing and existing housing so that consumers can compare the energy efficiency of different housing; and

(ii) Program activities for the adoption of incentives for builders, utilities, and mortgage lenders to build, service, or finance energy efficient housing;

(7) Program activities to identify unfair or deceptive acts or practices which relate to the implementation of energy efficiency measures and renewable energy measures and to educate consumers concerning such acts or practices;

(8) Program activities to modify patterns of energy consumption so as to reduce peak demands for energy and improve the efficiency of energy supply systems, including electricity supply systems;

(9) Program activities to promote energy efficiency as an integral component of economic development planning conducted by State, local, or other governmental entities or by energy utilities;

(10) Program activities (enlisting appropriate trade and professional organizations in the development and financing of such programs) to provide training and education (including, if appropriate, training workshops, practice manuals, and testing for each area of energy efficiency technology) to building designers and contractors involved in building design and construction or in the sale, installation, and maintenance of energy systems and equipment to promote building energy efficiency;

(11) Program activities for the development of building retrofit standards and regulations, including retrofit ordinances enforced at the time of the sale of a building;

(12) Program activities to provide support for prefeasibility and feasibility studies for projects that utilize renewable energy and energy efficiency resource technologies in order to facilitate access to capital and credit for such projects;

(13) Program activities to facilitate and encourage the voluntary use of renewable energy technologies for eligible participants in Federal agency programs, including the Rural Electrification Administration and the Farmers Home Administration; and

(14) In accordance with paragraph (b) of this section, program activities to implement the Energy Technology Commercialization Services Program.

(b) This section prescribes requirements for establishing State-level Energy Technology Commercialization Services Program as an optional element of State plans.

(1) The program activities to implement the functions of the Energy Technology Commercialization Services Program shall:

(i) Aid small and start-up businesses in discovering useful and practical information relating to manufacturing and commercial production techniques and costs associated with new energy technologies;

(ii) Encourage the application of such information in order to solve energy technology product development and manufacturing problems;

(iii) Establish an Energy Technology Commercialization Services Program affiliated with an existing entity in each State;

(iv) Coordinate engineers and manufacturers to aid small and start-up businesses in solving specific technical problems and improving the cost effectiveness of methods for manufacturing new energy technologies;

(v) Assist small and start-up businesses in preparing the technical portions of proposals seeking financial assistance for new energy technology commercialization; and

(vi) Facilitate contract research between university faculty and students and small start-up businesses, in order to improve energy technology product

development and independent quality control testing.

(2) Each State Energy Technology Commercialization Services Program shall develop and maintain a data base of engineering and scientific experts in energy technologies and product commercialization interested in participating in the service. Such data base shall, at a minimum, include faculty of institutions of higher education, retired manufacturing experts, and National Laboratory personnel.

(3) The services provided by the Energy Technology Commercialization Services Program established under this subpart shall be available to any small or start-up business. Such service programs shall charge fees which are affordable to a party eligible for assistance, which shall be determined by examining factors, including the following: the costs of the services received; the need of the recipient for the services; and the ability of the recipient to pay for the services.

[61 FR 35895, July 8, 1996, as amended at 62 FR 26727, May 14, 1997; 64 FR 46114, Aug. 24, 1999]

§ 420.18 Expenditure prohibitions and limitations.

(a) No financial assistance provided to a State under this subpart shall be used:

(1) For construction, such as construction of mass transit systems and exclusive bus lanes, or for construction or repair of buildings or structures;

(2) To purchase land, a building or structure or any interest therein;

(3) To subsidize fares for public transportation;

(4) To subsidize utility rate demonstrations or State tax credits for energy conservation measures or renewable energy measures; or

(5) To conduct, or purchase equipment to conduct, research, development or demonstration of energy efficiency or renewable energy techniques and technologies not commercially available.

(b) No more than 20 percent of the financial assistance awarded to the State for this program shall be used to purchase office supplies, library materials, or other equipment whose purchase is not otherwise prohibited by this section. Nothing in this paragraph shall be read to apply this 20 percent limitation to petroleum violation escrow funds used under this subpart.

(c) Demonstrations of commercially available energy efficiency or renewable energy techniques and technologies are permitted, and are not subject to the prohibitions of § 420.18(a)(1), or to the limitation on equipment purchases of § 420.18(b).

(d) A State may use regular or revolving loan mechanisms to fund SEP services which are consistent with this subpart and which are included in the State's approved SEP plan. The State may use loan repayments and any interest on the loan funds only for activities which are consistent with this subpart and which are included in the State's approved SEP plan.

(e) A State may use funds under this subpart for the purchase and installation of equipment and materials for energy efficiency measures and renewable energy measures, including reasonable design costs, subject to the following terms and conditions:

(1) Such use must be included in the State's approved plan and, if funded by petroleum violation escrow funds, must be consistent with any judicial or administrative terms and conditions imposed upon State use of such funds;

(2) A State may use for these purposes no more than 50 percent of all funds allocated by the State to SEP in a given year, regardless of source, except that this limitation shall not include regular and revolving loan programs funded with petroleum violation escrow funds, and is subject to waiver by DOE for good cause. Loan documents shall ensure repayment of principal and interest within a reasonable period of time, and shall not include provisions of loan forgiveness.

(3) Buildings owned or leased by the United States are not eligible for energy efficiency measures or renewable energy measures under paragraph (e) of this section;

(4) Funds must be used to supplement and no funds may be used to supplant weatherization activities under the Weatherization Assistance Program for Low-Income Persons, under 10 CFR part 440;

(5) Subject to paragraph (f) of this section, a State may use a variety of financial incentives to fund purchases and installation of materials and equipment under paragraph (e) of this section including, but not limited to, regular loans, revolving loans, loan buy-downs, performance contracting, rebates and grants.

(f) The following mechanisms are not allowed for funding the purchase and installation of materials and equipment under paragraph (e) of this section:

(1) Rebates for more than 50 percent of the total cost of purchasing and installing materials and equipment (States shall set appropriate restrictions and limits to insure the most efficient use of rebates); and

(2) Loan guarantees.

[61 FR 35895, July 8, 1996, as amended at 62 FR 26727, May 14, 1997; 64 FR 46114, Aug. 24, 1999]

§ 420.19 Administrative review.

(a) A State shall have 20 days from the date of receipt of a decision under § 420.14 to file a notice requesting administrative review in accordance with paragraph (b) of this section. If an applicant does not timely file such a notice, the decision under § 420.14 shall become final for DOE.

(b) A notice requesting administrative review shall be filed with the cognizant Regional Office Director and shall be accompanied by a written statement containing supporting arguments. If the cognizant Regional Office Director has disapproved an entire application for financial assistance, the State may request a public hearing.

(c) A notice or any other document shall be deemed filed under this section upon receipt.

(d) On or before 15 days from receipt of a notice requesting administrative review which is timely filed, the cognizant Regional Office Director shall forward to the Deputy Assistant Secretary, the notice requesting administrative review, the decision under § 420.14 as to which administrative review is sought, a draft recommended final decision for concurrence, and any other relevant material.

(e) If the State requests a public hearing on the disapproval of an entire application for financial assistance under this subpart, the Deputy Assistant Secretary, within 15 days, shall give actual notice to the State and FEDERAL REGISTER notice of the date, place, time, and procedures which shall apply to the public hearing. Any public hearing under this section shall be informal and legislative in nature.

(f) On or before 45 days from receipt of documents under paragraph (d) of this section or the conclusion of the public hearing, whichever is later, the Deputy Assistant Secretary shall concur in, concur in as modified, or issue a substitute for the recommended decision of the cognizant Regional Office Director.

(g) On or before 15 days from the date of receipt of the determination under paragraph (f) of this section, the Governor may file an application for discretionary review by the Assistant Secretary. On or before 15 days from filing, the Assistant Secretary shall send a notice to the Governor stating whether the Deputy Assistant Secretary's determination will be reviewed. If the Assistant Secretary grants a review, a decision shall be issued no later than 60 days from the date review is granted. The Assistant Secretary may not issue a notice or decision under this paragraph without the concurrence of the DOE Office of General Counsel.

(h) A decision under paragraph (f) of this section shall be final for DOE if there is no review under paragraph (g) of this section. If there is review under paragraph (g) of this section, the decision thereunder shall be final for DOE and no appeal shall lie elsewhere in DOE.

(i) Prior to the effective date of the termination or suspension of a grant award for failure to implement an approved State plan in compliance with the requirements of this subpart, a grantee shall have the right to written notice of the basis for the enforcement action and of the opportunity for public hearing before the DOE Financial Assistance Appeals Board notwithstanding any provisions to the contrary of 10 CFR 600.22, 600.24, 600.25, and 600.243. To obtain a public hearing, the grantee must request an evidentiary hearing, with prior FEDERAL REGISTER notice, in the election letter submitted

under Rule 2 of 10 CFR 1024.4 and the request shall be granted notwithstanding any provisions to the contrary of Rule 2.

[61 FR 35895, July 8, 1996, as amended at 64 FR 46114, Aug. 24, 1999]

Subpart C—Implementation of Special Projects Financial Assistance

§ 420.30 Purpose and scope.

(a) This subpart sets forth DOE's policies and procedures for implementing special projects financial assistance under this part.

(b) For years in which such funding is available, States may apply for financial assistance to undertake a variety of State-oriented energy-related special projects activities in addition to the funds provided under the regular SEP grants.

(c) The types of funded activities may vary from year to year, and from State to State, depending upon funds available for each type of activity and DOE and State priorities.

(d) A number of end-use sector programs in the Office of Energy Efficiency and Renewable Energy participate in the funding of these activities, and the projects must meet the requirements of those programs.

(e) The purposes of the special project activities are:

(1) To utilize States to accelerate deployment of energy efficiency, renewable energy, and alternative transportation fuel technologies;

(2) To facilitate the commercialization of emerging and underutilized energy efficiency and renewable energy technologies; and

(3) To increase the responsiveness of Federally funded technology development efforts to the needs of the marketplace.

§ 420.31 Notice of availability.

(a) If in any fiscal year DOE has funds available for special projects, DOE shall publish in the FEDERAL REGISTER one or more notice(s) of availability of SEP special projects financial assistance.

(b) Each notice of availability shall cite this part and shall include:

(1) Brief descriptions of the activities for which funding is available;

(2) The amount of money DOE has available or estimates it will have available for award for each type of activity, and the total amount available;

(3) The program official to contact for additional information, application forms, and the program guidance/solicitation document; and

(4) The dates when:

(i) The program guidance/solicitation will be available; and

(ii) The applications for financial assistance must be received by DOE.

§ 420.32 Program guidance/solicitation.

After the publication of the notice of availability in the FEDERAL REGISTER, DOE shall, upon request, provide States interested in applying for one or more project(s) under the special projects financial assistance with a detailed program guidance/solicitation that will include:

(a) The control number of the program;

(b) The expected duration of DOE support or period of performance;

(c) An application form or the format to be used, location for application submission, and number of copies required;

(d) The name of the DOE program office contact from whom to seek additional information;

(e) Detailed descriptions of each type of program activity for which financial assistance is being offered;

(f) The amount of money available for award, together with any limitations as to maximum or minimum amounts expected to be awarded;

(g) Deadlines for submitting applications;

(h) Evaluation criteria that DOE will apply in the selection and ranking process for applications for each program activity;

(i) The evaluation process to be applied to each type of program activity;

(j) A listing of program policy factors if any that DOE may use in the final selection process, in addition to the results of the evaluations, including:

(1) The importance and relevance of the proposed applications to SEP and the participating programs in the Office of Energy Efficiency and Renewable Energy; and

(2) Geographical diversity;
(k) Reporting requirements;
(l) References to:
(1) Statutory authority for the program;
(2) Applicable rules; and
(3) Other terms and conditions applicable to awards made under the program guidance/solicitation; and
(m) A statement that DOE reserves the right to fund in whole or in part, any, all, or none of the applications submitted.

§ 420.33 Application requirements.

(a) Consistent with § 420.32 of this part, DOE shall set forth general and special project activity-specific requirements for applications for special projects financial assistance in the program guidance/solicitation.
(b) In addition to any other requirements, all applications shall provide:
(1) A detailed description of the proposed project, including the objectives of the project in relationship to DOE's program and the State's plan for carrying it out;
(2) A detailed budget for the entire proposed period of support, with written justification sufficient to evaluate the itemized list of costs provided on the entire project; and
(3) An implementation schedule for carrying out the project.
(c) DOE may, subsequent to receipt of an application, request additional budgetary information from a State when necessary for clarification or to make informed preaward determinations.
(d) DOE may return an application which does not include all information and documentation required by this subpart, 10 CFR part 600, or the program guidance/solicitation, when the nature of the omission precludes review of the application.

[61 FR 35895, July 8, 1996, as amended at 64 FR 46114, Aug. 24, 1999]

§ 420.34 Matching contributions or cost-sharing.

DOE may require (as set forth in the program guidance/solicitation) States to provide either:
(a) A matching contribution of at least a specified percentage of the Federal financial assistance award; or
(b) A specified share of the total cost of the project for which financial assistance is provided.

§ 420.35 Application evaluation.

(a) DOE staff at the cognizant Regional Office shall perform an initial review of all applications to ensure that the State has provided the information required by this subpart, 10 CFR part 600, and the program guidance/solicitation.
(b) DOE shall group, and technically evaluate according to program activity, all applications determined to be complete and satisfactory.
(c) DOE shall select evaluators on the basis of their professional qualifications and expertise relating to the particular program activity being evaluated.
(1) DOE anticipates that evaluators will primarily be DOE employees; but
(2) If DOE uses non-DOE evaluators, DOE shall require them to comply with all applicable DOE rules or directives concerning the use of outside evaluators.

[61 FR 35895, July 8, 1996, as amended at 64 FR 46114, Aug. 24, 1999]

§ 420.36 Evaluation criteria.

The evaluation criteria, including program activity-specific criteria, will be set forth in the program guidance/solicitation document.

§ 420.37 Selection.

(a) DOE may make selection of applications for award based on:
(1) The findings of the technical evaluations;
(2) The priorities of DOE, SEP, and the participating program offices;
(3) The availability of funds for the various special project activities; and
(4) Any program policy factors set forth in the program guidance/solicitation.
(b) The Director, Office of State and Community Programs makes the final selections of projects to be awarded financial assistance.

§ 420.38 Special projects expenditure prohibitions and limitations.

(a) Expenditures under the special projects are subject to 10 CFR part 600 and to any prohibitions and limitations

required by the DOE programs that are providing the special projects funding.

(b) DOE must state any expenditure prohibitions or limitations specific to a particular category of special projects in the annual SEP special projects solicitation/guidance.

[64 FR 46114, Aug. 24, 1999]

PART 429—CERTIFICATION, COMPLIANCE, AND ENFORCEMENT FOR CONSUMER PRODUCTS AND COMMERCIAL AND INDUSTRIAL EQUIPMENT

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AUTHORITY: 42 U.S.C. 6291–6317; 28 U.S.C. 2461 note.

SOURCE: 76 FR 12451, Mar. 7, 2011, unless otherwise noted.

Subpart A—General Provisions

§ 429.1 Purpose and scope.

This part sets forth the procedures for certification, determination and enforcement of compliance of covered products and covered equipment with the applicable energy conservation standards set forth in parts 430 and 431 of this subchapter.

[87 FR 63646, Oct. 19, 2022]

§ 429.2 Definitions.

(a) The definitions found in 10 CFR parts 430 and 431 apply for purposes of this part.

(b) The following definitions apply for the purposes of this part. Any words or terms defined in this section or elsewhere in this part shall be defined as provided in sections 321 and 340 of the Energy Policy Conservation Act, as amended, hereinafter referred to as ''the Act.''

Energy conservation standard means any standards meeting the definitions of that term in 42 U.S.C. 6291(6) and 42 U.S.C. 6311(18) as well as any other water conservation standards and design requirements found in this part or parts 430 or 431.

Engineered-to-order means a basic model of commercial water heating equipment, commercial packaged boiler, commercial heating, ventilation, and air conditioning (HVAC) equipment, or commercial refrigeration equipment that is: Not listed in any catalogs or marketing literature and designed and built to specific customer requirements. A unit of an engineered-to-order basic model is not offered as a set of options (e.g., configure-to-order, menu-system).

Independent means, in the context of a nationally recognized certification program, or accreditation program for electric motors, an entity that is not controlled by, or under common control with, electric motor manufacturers, importers, private labelers, or vendors, and that has no affiliation, financial ties, or contractual agreements, apparently or otherwise, with such entities that would:

(i) Hinder the ability of the program to evaluate fully or report the measured or calculated energy efficiency of any electric motor, or

(ii) Create any potential or actual conflict of interest that would undermine the validity of said evaluation. For purposes of this definition, financial ties or contractual agreements between an electric motor manufacturer, importer, private labeler or vendor and a nationally recognized certification program, or accreditation program exclusively for certification or accreditation services does not negate an otherwise independent relationship.

Manufacturer's model number means the identifier used by a manufacturer to uniquely identify the group of identical or essentially identical covered products or covered equipment to which a particular unit belongs. The manufacturer's model number typically appears on the product nameplates, in product catalogs and in other product advertising literature.

[76 FR 12451, Mar. 7, 2011, as amended at 79 FR 25499, May 5, 2014; 81 FR 4144, Jan. 25, 2016; 82 FR 1099, Jan. 4, 2017; 87 FR 63646, Oct. 19, 2022]

§ 429.3 Sources for information and guidance.

(a) *General.* The standards listed in this paragraph are referred to in §§ 429.73 and 429.74 and are not incorporated by reference. These sources are provided here for information and guidance only.

(b) *ISO/IEC.* International Organization for Standardization (ISO), 1, ch. de la Voie-Creuse, CP 56, CH–1211 Geneva 20, Switzerland/International Electrotechnical Commission, 3, rue de Varembé, P.O. Box 131, CH–1211 Geneva 20, Switzerland.

(1) International Organization for Standardization (ISO)/International Electrotechnical Commission (IEC), (''ISO/IEC'') 17025, ''General requirements for the competence of calibration and testing laboratories,'' November 2017.

(2) [Reserved]

(c) *NVLAP.* National Voluntary Laboratory Accreditation Program, National Institute of Standards and Technology, 100 Bureau Drive, M/S 2140, Gaithersburg, MD 20899–2140, 301–975–4016, or go to *www.nist.gov/nvlap/.* Also see *http://www.nist.gov/nvlap/nvlap-handbooks.cfm.*

(1) National Institute of Standards and Technology (NIST) Handbook 150, ''NVLAP Procedures and General Requirements,'' 2000 edition, August 2020.

(2) National Institute of Standards and Technology (NIST) Handbook 150–10, ''Efficiency of Electric Motors,'' 2020 edition, April 2020.

[87 FR 63646, Oct. 19, 2022]

§ 429.4 Materials incorporated by reference.

(a) Certain material is incorporated by reference into this part with the approval of the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. To enforce any edition other than that specified in this section, the U.S. Department of Energy (DOE) must publish a document in the FEDERAL REGISTER and the material must be available to the public. All approved incorporation by reference (IBR) material is available for inspection at DOE and at the National Archives and Records Administration (NARA). Contact DOE at: U.S. Department of Energy, Office of Energy Efficiency and Renewable Energy, Building Technologies Program, Sixth Floor, 950 L'Enfant Plaza SW, Washington, DC 20024, (202) 586–9127, *Buildings@ee.doe.gov, www.energy.gov/eere/buildings/building-technologies-office.* For information on the availability of this material at NARA, email: *fr.inspection@nara.gov,* or go to:*www.archives.gov/federal-register/cfr/ibr-locations.html.* The material may be obtained from the sources in the following paragraphs of this section.

(b) *AHAM.* Association of Home Appliance Manufacturers, 1111 19th Street, NW., Suite 402, Washington, DC 20036, 202–872–5955, or go to *www.aham.org.*

(1) ANSI/AHAM PAC–1–2015 (''ANSI/AHAM PAC–1–2015''), Portable Air Conditioners, June 19, 2015, IBR approved for § 429.62.

(2) AHAM PAC–1–2022, *Energy Measurement Test Procedure for Portable Air Conditioners,* Copyright 2022. IBR approved for § 429.62.

(c) *AHRI.* Air-Conditioning, Heating, and Refrigeration Institute, 2111 Wilson Blvd., Suite 500, Arlington, VA 22201, (703) 524–8800, or go to: *www.ahrinet.org*.

(1) AHRI Standard 210/240–2023, (''AHRI 210/240–2023''), *2023 Standard for Performance Rating of Unitary Air-conditioning & Air-source Heat Pump Equipment*, copyright 2020; IBR approved for § 429.67.

(2) AHRI Standard 390 (I–P)–2021, (''AHRI 390–2021''), *2021 Standard for Performance Rating of Single Package Vertical Air-conditioners And Heat Pumps,* IBR approved for § 429.134.

(3) AHRI Standard 600–2023 (I–P) (''AHRI 600–2023''), *2023 Standard for Performance Rating of Water/Brine to Air Heat Pump Equipment,* approved September 11, 2023; IBR approved for § 429.43.

(4) AHRI Standard 1230(I–P) (''AHRI 1230–2021''), *2021 Standard for Performance Rating of Variable Refrigerant Flow (VRF) Multi-Split Air-Conditioning and Heat Pump Equipment,* copyright 2021; IBR approved for §§ 429.43; 429.134.

(5) AHRI Standard 1340–2023 (I–P) (''AHRI 1340–2023''), *2023 Standard for Performance Rating of Commercial and Industrial Unitary Air-conditioning and Heat Pump Equipment*, approved November 16, 2023; IBR approved for §§ 429.43; 429.134.

(6) AHRI Standard 1360–2022 (I–P) (''AHRI 1360–2022''), *2022 Standard for Performance Rating of Computer and Data Processing Room Air Conditioners,* copyright 2022; IBR approved for § 429.43.

(7) AHRI Standard 1500–2015, (''ANSI/AHRI Standard 1500–2015''), ''2015 Standard for Performance Rating of Commercial Space Heating Boilers,'' ANSI approved November 28, 2014: Figure C9, Suggested Piping Arrangement for Hot Water Boilers; IBR approved for § 429.60.

(d) *ASHRAE.* The American Society of Heating, Refrigerating and Air-Conditioning Engineers. 180 Technology Parkway NW, Peachtree Corners, GA 30092; (404) 636–8400, *www.ashrae.org*.

(1) ANSI/ASHRAE Standard 37–2009 (''ASHRAE 37–2009''), *Methods of Testing for Rating Electrically Driven Unitary Air-Conditioning and Heat Pump Equipment,* ASHRAE approved June 24, 2009; IBR approved for § 429.134.

(2) ANSI/ASHRAE 41.2–1987 (RA 92) (''ASHRAE 41.2–1987''), *Standard Methods For Laboratory Airflow Measurement*, ANSI reaffirmed April 22, 1992; IBR approved for § 429.134.

(e) *HI.* Hydraulic Institute, 6 Campus Drive, First Floor North, Parsippany, NJ 07054–4406, 973–267–9700. *www.Pumps.org*.

(1) HI 40.6–2014, (''HI 40.6–2014–B''), ''Methods for Rotodynamic Pump Efficiency Testing,'', (except for sections 40.6.4.1 ''Vertically suspended pumps'', 40.6.4.2 ''Submersible pumps'',40.6.5.3 ''Test report'', 40.6.5.5 ''Test conditions'', 40.6.5.5.2 ''Speed of rotation during testing'', and 40.6.6.1 ''Translation of test results to rated speed of rotation'', and Appendix A ''Testing arrangements (normative)'': A.7 ''Testing at temperatures exceeding 30 °C (86 °F)'', and Appendix B ''Reporting of test results (normative)''), copyright 2014, IBR approved for § 429.134.

(2) [Reserved]

(f) *ISO.* International Organization for Standardization, ch. de la Voie-Creuse CP 56 CH–1211 Geneva 20 Switzerland, telephone + 41 22 749 01 11, or go to *www.iso.org/iso*.

(1) International Organization for Standardization (ISO)/International Electrotechnical Commission, (''ISO/IEC 17025:2005(E)''), ''General requirements for the competence of testing and calibration laboratories'', Second edition, May 15, 2005, IBR approved for § 429.110.

(2) [Reserved]

(g) *NSF.* NSF International. 789 N. Dixboro Road, Ann Arbor, MI 48105, (743) 769–8010. *www.nsf.org*.

(1) NSF/ANSI 50–2015, ''Equipment for Swimming Pools, Spas, Hot Tubs and Other Recreational Water Facilities,'' Annex C—''Test methods for the evaluation of centrifugal pumps,'' Section C.3, ''self-priming capability,'' ANSI approved January 26, 2015, IBR approved for §§ 429.59 and 429.134.

(2) [Reserved]

(h) *UL.* Underwriters Laboratories, 333 Pfingsten Road, Northbrook, IL 60062; (841) 272–8800; *www.ul.com.*

(1) UL 1004–10 (''UL 1004–10:2022''), *Standard for Safety for Pool Pump Motors,* Revised First Edition, Dated

March 24, 2022; IBR approved for § 429.134.

(2) [Reserved]

[76 FR 12451, Mar. 7, 2011, as amended at 77 FR 65977, Oct. 31, 2012; 80 FR 79668, Dec. 23, 2015; 81 FR 35264, June 1, 2016; 81 FR 89303, Dec. 9, 2016; 81 FR 90118, Dec. 13, 2016; 82 FR 36917, Aug. 7, 2017; 87 FR 63891, Oct. 20, 2022; 87 FR 75166, Dec. 7, 2022; 87 FR 77317, Dec. 16, 2022; 88 FR 21836, Apr. 11, 2023; 88 FR 31126, May 15, 2023; 88 FR 67040, Sept. 28, 2023; 88 FR 84226, Dec. 4, 2023; 89 FR 44032, May 20, 2024; 89 FR 82059, Oct. 9, 2024]

§ 429.5 Imported products.

(a) Any person importing any covered product or covered equipment into the United States shall comply with the provisions of this part, and parts 430 and 431, and is subject to the remedies of this part.

(b) Any covered product or covered equipment offered for importation in violation of this part, or part 430 or 431, shall be refused admission into the customs territory of the United States under rules issued by the U.S. Customs and Border Protection (CBP) and subject to further remedies as provided by law, except that CBP may, by such rules, authorize the importation of such covered product or covered equipment upon such terms and conditions (including the furnishing of a bond) as may appear to CBP appropriate to ensure that such covered product or covered equipment will not violate this part, or part 430 or 431, or will be exported or abandoned to the United States.

§ 429.6 Exported products.

This part, and parts 430 and 431, shall not apply to any covered product or covered equipment if:

(a) Such covered product or covered equipment is manufactured, sold, or held for sale for export from the United States or is imported for export;

(b) Such covered product or covered equipment or any container in which it is enclosed, when distributed in commerce, bears a stamp or label stating ''NOT FOR SALE FOR USE IN THE UNITED STATES''; and

(c) Such product is, in fact, not distributed in commerce for use in the United States.

§ 429.7 Confidentiality.

(a) The following records are not exempt from public disclosure: Product or equipment type; product or equipment class; private labeler name; brand name; applicable model number(s) unless that information meets the criteria specified in paragraph (b) of this section; energy or water ratings submitted by manufacturers to DOE pursuant to § 429.12(b)(13); whether the certification was based on a test procedure waiver and the date of such waiver; and whether the certification was based on exception relief from the Office of Hearing and Appeals and the date of such relief.

(b) An individual, manufacturer model number is public information unless:

(1) The individual, manufacturer model number is a unique model number of a commercial packaged boiler, commercial water heating equipment, commercial HVAC equipment or commercial refrigeration equipment that was developed for an individual customer,

(2) The individual, manufacturer model number is not displayed on product literature, and

(3) Disclosure of the individual, manufacturer model number would reveal confidential business information as described at § 1004.11 of this title—in which case, under these limited circumstances, a manufacturer may identify the individual manufacturer model number as a private model number on a certification report submitted pursuant to § 429.12(b)(6).

(c) Pursuant to the provisions of 10 CFR 1004.11(e), any person submitting information or data which the person believes to be confidential and exempt by law from public disclosure should—at the time of submission—submit:

(1) One complete copy, and one copy from which the information believed to be confidential has been deleted.

(2) A request for confidentiality containing the submitter's views on the reasons for withholding the information from disclosure, including:

(i) A description of the items sought to be withheld from public disclosure,

(ii) Whether and why such items are customarily treated as confidential within the industry,

(iii) Whether the information is generally known by or available from other sources,

(iv) Whether the information has previously been made available to others without obligation concerning its confidentiality,

(v) An explanation of the competitive injury to the submitting person which would result from public disclosure,

(vi) A date upon which such information might lose its confidential nature due to the passage of time, and

(vii) Why disclosure of the information would be contrary to the public interest.

(d) In accordance with the procedures established in 10 CFR 1004.11(e), DOE shall make its own determination with regard to any claim that information submitted be exempt from public disclosure.

[76 FR 12451, Mar. 7, 2011, as amended at 79 FR 25499, May 5, 2014; 80 FR 151, Jan. 5, 2015]

§ 429.8 Subpoena.

For purposes of carrying out parts 429, 430, and 431, the General Counsel (or delegee), may sign and issue subpoenas for the attendance and testimony of witnesses and the production of relevant books, records, papers, and other documents, and administer oaths. Witnesses summoned under the provisions of this section shall be paid the same fees and mileage as are paid to witnesses in the courts of the United States. In case of contumacy by, or refusal to obey a subpoena served, upon any persons subject to parts 429, 430, or 431, the General Counsel (or delegee) may seek an order from the District Court of the United States for any District in which such person is found or resides or transacts business requiring such person to appear and give testimony, or to appear and produce documents. Failure to obey such order is punishable by such court as contempt thereof.

Subpart B—Certification

§ 429.10 Purpose and scope.

This subpart sets forth the procedures for manufacturers to certify that their covered products and covered equipment comply with the applicable energy conservation standards.

§ 429.11 General sampling requirements for selecting units to be tested.

(a) When testing of covered products or covered equipment is required to comply with section 323(c) of the Act, or to comply with rules prescribed under sections 324, 325, 342, 344, 345 or 346 of the Act, a sample comprised of production units (or units representative of production units) of the basic model being tested must be selected at random and tested and must meet the criteria found in §§ 429.14 through 429.69 and § 429.76. Components of similar design may be substituted without additional testing if the substitution does not affect energy or water consumption. Any represented values of measures of energy efficiency, water efficiency, energy consumption, or water consumption for all individual models represented by a given basic model must be the same, except for central air conditioners and central air conditioning heat pumps, as specified in § 429.16; and

(b) The minimum number of units tested shall be no less than two, except where:

(1) A different minimum limit is specified in §§ 429.14 through 429.69 and § 429.76; or

(2) Only one unit of the basic model is produced, in which case, that unit must be tested and the test results must demonstrate that the basic model performs at or better than the applicable standard(s). If one or more units of the basic model are manufactured subsequently, compliance with the default sampling and representations provisions is required.

[87 FR 63646, Oct. 19, 2022, as amended at 88 FR 14043, Mar. 6, 2023; 88 FR 27387, May 1, 2023; 88 FR 38626, June 13, 2023]

§ 429.12 General requirements applicable to certification reports.

(a) *Certification.* Each manufacturer, before distributing in commerce any basic model of a covered product or covered equipment subject to an applicable energy conservation standard set forth in parts 430 or 431, and annually

thereafter on or before the dates provided in paragraph (d) of this section, shall submit a certification report to DOE certifying that each basic model meets the applicable energy conservation standard(s). The certification report(s) must be submitted to DOE in accordance with the submission procedures of paragraph (h) of this section.

(b) *Certification report.* A certification report shall include a compliance statement (see paragraph (c) of this section), and for each basic model, the information listed in this paragraph (b).

(1) Product or equipment type;

(2) Product or equipment class (as denoted in the provisions of part 430 or 431 of this chapter containing the applicable energy conservation standard);

(3) Manufacturer's name and address;

(4) Private labeler's name(s) and address(es) (if applicable);

(5) Brand name;

(6) For each brand, the basic model number and the manufacturer's individual model number(s) in that basic model with the following exceptions: For external power supplies that are certified based on design families, the design family model number and the individual manufacturer's model numbers covered by that design family must be submitted for each brand. For distribution transformers, the basic model number or kVA grouping model number (depending on the certification method) for each brand must be submitted. For commercial HVAC, WH, and refrigeration equipment, an individual manufacturer model number may be identified as a ''private model number'' if it meets the requirements of § 429.7(b).

(7) Whether the submission is for a new model, a discontinued model, a correction to a previously submitted model, data on a carryover model, or a model that has been found in violation of a voluntary industry certification program;

(8) The test sample size as follows:

(i) The number of units tested for the basic model; or

(ii) In the case of single-split system or single-package central air conditioners and central air conditioning heat pumps; air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 Btu/h; air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with a cooling capacity of less than 65,000 Btu/h; or multi-split, multi-circuit, or multi-head mini-split systems other than the ''tested combination,'' the number of units tested for each individual combination or individual model; or

(iii) If an AEDM was used in lieu of testing, enter ''0'' (and in the case of central air conditioners and central air conditioning heat pumps, this must be indicated separately for each metric);

(9) The certifying party's U.S. Customs and Border Protection (CBP) importer identification numbers assigned by CBP pursuant to 19 CFR 24.5, if applicable;

(10) Whether certification is based upon any waiver of test procedure requirements under § 430.27 or § 431.401 of this chapter and the date(s) of such waiver(s);

(11) Whether certification is based upon any exception relief from an applicable energy conservation standard and the date such relief was issued by DOE's Office of Hearings and Appeals;

(12) If the test sample size is listed as ''0'' to indicate the certification is based upon the use of an alternate way of determining measures of energy conservation, identify the method used for determining measures of energy conservation (such as ''AEDM,'' or linear interpolation). Manufacturers of commercial packaged boilers, commercial water heating equipment, commercial refrigeration equipment, commercial HVAC equipment, central air conditioners and central air conditioning heat pumps, and walk-in coolers and walk-in freezers must provide the manufacturer's designation (name or other identifier) of the AEDM used; and

(13) Product specific information listed in §§ 429.14 through 429.68.

(c) *Compliance statement.* The compliance statement required by paragraph (b) of this section shall include the date, the name of the company official signing the statement, and his or her signature, title, address, telephone number, and facsimile number and shall certify that:

(1) The basic model(s) complies with the applicable energy conservation standard(s);

(2) All required testing has been conducted in conformance with the applicable test requirements prescribed in parts 429, 430 and 431, as appropriate, or in accordance with the terms of an applicable test procedure waiver;

(3) All information reported in the certification report is true, accurate, and complete; and

(4) The manufacturer is aware of the penalties associated with violations of the Act, the regulations thereunder, and 18 U.S.C. 1001 which prohibits knowingly making false statements to the Federal Government.

(d) *Annual filing.* All data required by paragraphs (a) through (c) of this section shall be submitted to DOE annually, on or before the following dates:

TABLE 1 TO PARAGRAPH (d)

Product category	Deadline for data submission
Portable air conditioners	February 1.
Fluorescent lamp ballasts; Compact fluorescent lamps; General service fluorescent lamps, general service incandescent lamps, and incandescent reflector lamps; Candelabra base incandescent lamps and intermediate base incandescent lamps; Ceiling fans; Ceiling fan light kits; Showerheads; Faucets; Water closets; and Urinals.	March 1.
Water heaters; Consumer furnaces; Pool heaters; Commercial water heating equipment; Commercial packaged boilers; Commercial warm air furnaces; Commercial unit heaters; and Furnace fans.	May 1.
Dishwashers; Commercial pre-rinse spray valves; Illuminated exit signs; Traffic signal modules and pedestrian modules; and Distribution transformers.	June 1.
Room air conditioners; Central air conditioners and central air conditioning heat pumps; Commercial heating, ventilating, air conditioning (HVAC) equipment (excluding air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 British thermal units per hour and air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with less than 65,000 British thermal units per hour cooling capacity); and Air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 British thermal units per hour and air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with a cooling capacity of less than 65,000 British thermal units per hour.	July 1.
Consumer refrigerators, refrigerator-freezers, and freezers; Commercial refrigerators, freezers, and refrigerator-freezers; Automatic commercial ice makers; Refrigerated bottled or canned beverage vending machines; Walk-in coolers and walk-in freezers; and Consumer miscellaneous refrigeration products.	August 1.
Torchieres; Dehumidifiers; Metal halide lamp ballasts and fixtures; External power supplies; Pumps; Dedicated-purpose pool pump motors; Compressors; and Battery chargers.	September 1.
Residential clothes washers; Residential clothes dryers; Direct heating equipment; Cooking products; and Commercial clothes washers.	October 1.
Air Cleaners	December 1.

(e) *New model filing.* (1) In addition to the annual filing schedule in paragraph (d) of this section, any new basic models must be certified pursuant to paragraph (a) of this section before distribution in commerce. A modification to a model that increases the model's energy or water consumption or decreases its efficiency resulting in rerating must be certified as a new basic model pursuant to paragraph (a) of this section.

(2) For distribution transformers, the manufacturer shall submit all information required in paragraphs (b) and (c) of this section for the new basic model, unless the manufacturer has previously submitted to the Department a certification report for a basic model of distribution transformer that is in the same kVA grouping as the new basic model.

(f) *Discontinued model filing.* When production of a basic model has ceased and it is no longer being sold or offered for sale by the manufacturer or private labeler, the manufacturer must report this discontinued status to DOE as part of the next annual certification report following such cessation. For each basic model, the report must include the information specified in paragraphs (b)(1) through (7) of this section, except that for integrated light-emitting diode lamps and for compact fluorescent lamps, the manufacturer must

submit a full certification report, including all of the information required by paragraph (b) of this section and the product-specific information required by § 429.56(b)(2) or § 429.35(b)(2), respectively.

(g) *Third party submitters.* A manufacturer may elect to use a third party to submit the certification report to DOE (for example, a trade association, independent test lab, or other authorized representative, including a private labeler acting as a third party submitter on behalf of a manufacturer); however, the manufacturer is responsible for submission of the certification report to DOE. DOE may refuse to accept certification reports from third party submitters who have failed to submit reports in accordance with the rules of this part. The third party submitter must complete the compliance statement as part of the certification report. Each manufacturer using a third party submitter must have an authorization form on file with DOE. The authorization form includes a compliance statement, specifies the third party authorized to submit certification reports on the manufacturer's behalf and provides the contact information and signature of a company official.

(h) *Method of submission.* Reports required by this section must be submitted to DOE electronically at *http://www.regulations.doe.gov/ccms* (CCMS). A manufacturer or third party submitter can find product-specific templates for each covered product or covered equipment with certification requirements online at *https://www.regulations.doe.gov/ccms/templates.html*. Manufacturers and third party submitters must submit a registration form, signed by an officer of the company, in order to obtain access to CCMS.

(i) *Compliance dates.* For any product subject to an applicable energy conservation standard for which the compliance date has not yet occurred, a certification report must be submitted not later than the compliance date for the applicable energy conservation standard. The covered products enumerated below are subject to the stated compliance dates for initial certification:

(1) Dedicated-purpose pool pump motors <0.5 total horsepower (THP) and dedicated-purpose pool pump motors ≥1.15 THP and ≤5 THP, September 29, 2025.

(2) Dedicated-purpose pool pump motors ≥0.5 THP and <1.15 THP, September 28, 2027.

(3) Direct expansion-dedicated outdoor air systems, May 1, 2024.

[76 FR 12451, Mar. 7, 2011; 76 FR 24762, May 2, 2011, as amended at 76 FR 38292, June 30, 2011; 76 FR 65365, Oct. 21, 2011; 77 FR 76830, Dec. 31, 2012; 78 FR 79593, Dec. 31, 2013; 79 FR 25500, May 5, 2014; 79 FR 38208, July 3, 2014; 81 FR 4430, Jan. 26, 2016; 81 FR 37049, June 8, 2016; 81 FR 43425, July 1, 2016; 81 FR 46789, July 18, 2016; 81 FR 59415, Aug. 29, 2016; 81 FR 95798, Dec. 28, 2016; 85 FR 1446, 1591, Jan. 10, 2020; 87 FR 43976, July 22, 2022; 87 FR 53637, Aug. 31, 2022; 87 FR 77317, Dec. 16, 2022; 89 FR 82059, Oct. 9, 2024]

§ 429.13 Testing requirements.

(a) The determination that a basic model complies with an applicable energy conservation standard shall be determined from the values derived pursuant to the applicable testing and sampling requirements set forth in parts 429, 430 and 431. The determination that a basic model complies with the applicable design standard shall be based upon the incorporation of specific design requirements in parts 430 and 431 or as specified in section 325 and 342 of the Act.

(b) Where DOE has determined a particular entity is in noncompliance with an applicable standard or certification requirement, DOE may impose additional testing requirements as a remedial measure.

§ 429.14 Consumer refrigerators, refrigerator-freezers and freezers.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to residential refrigerators, refrigerator-freezers and freezers; and

(2) For each basic model of residential refrigerators, refrigerator-freezers, and freezers, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of estimated annual operating cost, energy consumption, or other measure of energy consumption of a basic model for

which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

or,

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.10, where:

$$UCL = \bar{x} + t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the energy factor or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.90, where:

$$LCL = \bar{x} - t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(3) The value of total refrigerated volume of a basic model reported in accordance with paragraph (b)(2) of this section shall be the mean of the total refrigerated volumes measured for each tested unit of the basic model or the total refrigerated volume of the basic model as calculated in accordance with § 429.72(c). The value of adjusted total volume of a basic model reported in accordance with paragraph (b)(2) of this section shall be the mean of the adjusted total volumes measured for each tested unit of the basic model or the adjusted total volume of the basic model as calculated in accordance with § 429.72(c).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to residential refrigerators, refrigerator-freezers and freezers; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The annual energy use in kilowatt hours per year (kWh/yr); the total refrigerated volume in cubic feet (ft^3); and the adjusted total volume in cubic feet (ft^3).

(3) Pursuant to § 429.12(b)(13), a certification report shall include the following additional product-specific information: Whether the basic model has variable defrost control (in which case, manufacturers must also report the values, if any, of CT_L and CT_M (See section 5.3 of appendix A and appendix B to subpart B of 10 CFR part 430) used in the calculation of energy consumption), whether the basic model has variable anti-sweat heater control (in which case, manufacturers must also report the values of heater Watts at the ten humidity levels (5%, 15%, 25%, 35%, 45%, 55%, 65%, 75%, 85%, and 95%) used to calculate the variable anti-sweat heater ''Correction Factor''), and whether testing has been conducted with modifications to the standard temperature sensor locations, as specified in section 5.1(g) of appendices A and B to subpart B of 10 CFR part 430, as applicable.

(c) *Rounding requirements for representative values, including certified and rated values.* (1) The represented value of annual energy use must be rounded to the nearest kilowatt hour per year.

(2) The represented value of total refrigerated volume must be rounded to the nearest 0.1 cubic foot.

(3) The represented value of adjusted total volume must be rounded to the nearest 0.1 cubic foot.

(d) *Product category determination.* Each basic model shall be certified according to the appropriate product category as defined in § 430.2 of this chapter based on compartment volumes and compartment temperatures. If one or more compartments could be classified as both a fresh food compartment and a freezer compartment, the model must be certified to each applicable product category based on the operation of the compartment(s) as both fresh food and freezer compartments.

(1) Compartment volume used to determine product category shall be, for each compartment, the mean of the volumes of that specific compartment for the sample of tested units of the basic model, measured according to the provisions in section 4.1 of appendix A of subpart B of part 430 of this chapter for refrigerators and refrigerator-freezers and section 4.1 of appendix B of subpart B of part 430 of this chapter for freezers, or, for each compartment, the volume of that specific compartment calculated for the basic model in accordance with § 429.72(c).

(2) Determination of the compartment temperature ranges shall be based on operation under the conditions specified and using measurement of compartment temperature as specified in appendix A of subpart B of part 430 of this chapter for refrigerators and refrigerator-freezers and appendix B of subpart B of part 430 of this chapter for freezers. The determination of compartment status may require evaluation of a model at the extremes of the range of user-selectable temperature control settings. If the temperature ranges for the same compartment of multiple units of a sample are different, the maximum and minimum compartment temperatures for compartment status determination shall be based on the mean measurements for the units in the sample.

[76 FR 12451, Mar. 7, 2011; 76 FR 24762, May 2, 2011, as amended at 79 FR 22348, Apr. 21, 2014; 81 FR 46789, July 18, 2016; 86 FR 56819, Oct. 12, 2021; 88 FR 7845, Feb. 7, 2023]

EFFECTIVE DATE NOTE: At 81 FR 46789, July 18, 2016, §429.14(c)(2) and (3) were stayed indefinitely.

§ 429.15 Room air conditioners.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of §429.11 are applicable to room air conditioners; and

(2) For each basic model of room air conditioners, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of estimated annual operating cost, energy consumption or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

or,

(B) The upper 97½ percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the combined energy efficiency ratio (CEER) (determined in §430.23(f)(3) for each unit in the sample) or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

or,

(B) The lower 97½ percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(3) The cooling capacity of a basic model is the mean of the measured cooling capacities for each tested unit of the basic model, as determined in § 430.23(f)(1) of this chapter. Round the cooling capacity value to the nearest hundred.

(4) The electrical power input of a basic model is the mean of the measured electrical power inputs for each tested unit of the basic model, as determined in § 430.23(f)(2) of this chapter. Round the electrical power input to the nearest ten.

(5) Round the value of CEER for a basic model to one decimal place.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to room air conditioners; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The combined energy efficiency ratio in British thermal units per Watt-hour (Btu/Wh)), cooling capacity in British thermal units per hour (Btu/h), and the electrical power input in watts (W).

(3) Pursuant to § 429.12(b)(13), a certification report for a variable-speed room air conditioner basic model must include supplemental information and instructions in PDF format that include—

(i) The mean measured cooling capacity for the units tested at each additional test condition (*i.e.*, respectively, the mean of $Capacity_2$, $Capacity_3$, and $Capacity_4$, each expressed in Btu/h and rounded to the nearest 100 Btu/h, as determined in accordance with section 4.1.2 of appendix F of subpart B of part 430 of this chapter);

(ii) The mean electrical power input at each additional test condition (respectively, the mean of $Power_2$, $Power_3$, and $Power_4$, each expressed in W and rounded to the nearest 10 W, as determined in accordance with section 4.1.2 of appendix F of subpart B of part 430 of this chapter); and

(iii) All additional testing and testing set up instructions (*e.g.*, specific operational or control codes or settings) necessary to operate the basic model under the required conditions specified by the relevant test procedure.

[76 FR 12451, Mar. 7, 2011; 76 FR 24763, May 2, 2011, as amended at 86 FR 16475, Mar. 29, 2021]

§ 429.16 Central air conditioners and central air conditioning heat pumps.

(a) *Determination of Represented Value*—(1) *Required represented values.* Determine the represented values (including SEER, EER, HSPF, SEER2, EER2, HSPF2, $P_{W,OFF}$, cooling capacity, and heating capacity, as applicable) for the individual models/combinations (or ''tested combinations'') specified in the following table.

TABLE 1 TO PARAGRAPH (a)(1)

Category	Equipment subcategory	Required represented values
Single-Package Unit	Single-Package Air Conditioner (AC) (including space-constrained). Single-Package Heat Pump (HP) (including space-constrained).	Every individual model distributed in commerce.

TABLE 1 TO PARAGRAPH (a)(1)—Continued

Category	Equipment subcategory	Required represented values
Outdoor Unit and Indoor Unit (Distributed in Commerce by Outdoor Unit Manufacturer (OUM)).	Single-Split-System AC with Single-Stage or Two-Stage Compressor (including Space-Constrained and Small-Duct, High Velocity Systems (SDHV)).	Every individual combination distributed in commerce. Each model of outdoor unit must include a represented value for at least one coil-only individual combination that is distributed in commerce and which is representative of the least efficient combination distributed in commerce with that particular model of outdoor unit. For that particular model of outdoor unit, additional represented values for coil-only and blower-coil individual combinations are allowed, if distributed in commerce.
	Single-Split System AC with Other Than Single-Stage or Two-Stage Compressor (including Space-Constrained and SDHV).	Every individual combination distributed in commerce, including all coil-only and blower-coil combinations.
	Single-Split-System HP (including Space-Constrained and SDHV).	Every individual combination distributed in commerce.
	Multi-Split, Multi-Circuit, or Multi-Head Mini-Split Split System—non-SDHV (including Space-Constrained).	For each model of outdoor unit, at a minimum, a non-ducted ''tested combination.'' For any model of outdoor unit also sold with models of ducted indoor units, a ducted ''tested combination.'' When determining represented values on or after January 1, 2023, the ducted ''tested combination'' must comprise the highest static variety of ducted indoor unit distributed in commerce (*i.e.*, conventional, mid-static, or low-static). Additional representations are allowed, as described in paragraphs (c)(3)(i) and (ii) of this section, respectively.
	Multi-Split, Multi-Circuit, or Multi-Head Mini-Split Split System—SDHV.	For each model of outdoor unit, an SDHV ''tested combination.'' Additional representations are allowed, as described in paragraph (c)(3)(iii) of this section.
Indoor Unit Only Distributed in Commerce by Independent Coil Manufacturer (ICM).	Single-Split-System Air Conditioner (including Space-Constrained and SDHV).	Every individual combination distributed in commerce.
	Single-Split-System Heat Pump (including Space-Constrained and SDHV).	
	Multi-Split, Multi-Circuit, or Multi-Head Mini-Split Split System—SDHV.	For a model of indoor unit within each basic model, an SDHV ''tested combination.'' Additional representations are allowed, as described in paragraph (c)(3)(iii) of this section.
Outdoor Unit with no Match		Every model of outdoor unit distributed in commerce (tested with a model of coil-only indoor unit as specified in paragraph (b)(2)(i) of this section).

(2) $P_{W,OFF}$. If individual models of single-package systems or individual combinations (or ''tested combinations'') of split systems that are otherwise identical are offered with multiple options for off mode-related components, determine the represented value for the individual model/combination with the crankcase heater and controls that are the most consumptive. A manufacturer may also determine represented values for individual models/combinations with less consumptive off mode options; however, all such options must be identified with different model numbers for single-package systems or for outdoor units (in the case of split systems).

(3) *Refrigerants.* (i) If a model of outdoor unit (used in a single-split, multi-split, multi-circuit, multi-head mini-split, and/or outdoor unit with no match system) is distributed in commerce and approved for use with multiple refrigerants, a manufacturer must determine all represented values for that model using each refrigerant that can be used in an individual combination of the basic model (including outdoor units with no match or ''tested combinations''). This requirement may apply across the listed categories in the table in paragraph (a)(1) of this section. A refrigerant is considered approved for use if it is listed on the nameplate of the outdoor unit. If any

of the refrigerants approved for use is HCFC-22 or has a 95 °F midpoint saturation absolute pressure that is ± 18 percent of the 95 °F saturation absolute pressure for HCFC-22, or if there are no refrigerants designated as approved for use, a manufacturer must determine represented values (including SEER, EER, HSPF, SEER2, EER2, HSPF2, $P_{W,OFF}$, cooling capacity, and heating capacity, as applicable) for, at a minimum, an outdoor unit with no match. If a model of outdoor unit is not charged with a specified refrigerant from the point of manufacture or if the unit is shipped requiring the addition of more than two pounds of refrigerant to meet the charge required for testing per section 2.2.5 of appendix M or appendix M1 (unless either (a) the factory charge is equal to or greater than 70% of the outdoor unit internal volume times the liquid density of refrigerant at 95 °F or (b) an A2L refrigerant is approved for use and listed in the certification report), a manufacturer must determine represented values (including SEER, EER, HSPF, SEER2, EER2, HSPF2, $P_{W,OFF}$, cooling capacity, and heating capacity, as applicable) for, at a minimum, an outdoor unit with no match.

(ii) If a model is approved for use with multiple refrigerants, a manufacturer may make multiple separate representations for the performance of that model (all within the same individual combination or outdoor unit with no match) using the multiple approved refrigerants. In the alternative, manufacturers may certify the model (all within the same individual combination or outdoor unit with no match) with a single representation, provided that the represented value is no more efficient than its performance using the least-efficient refrigerant. If a manufacturer certifies a single model with multiple representations for the different approved refrigerants, it may use an AEDM to determine the represented values for all other refrigerants besides the refrigerant used for testing. A single representation made for multiple refrigerants may not include equipment in multiple categories or equipment subcategories listed in the table in paragraph (a)(1) of this section.

(4) *Limitations for represented values of individual combinations.* The following paragraphs explains the limitations for represented values of individual combinations (or ''tested combinations'').

(i) *Regional.* A basic model (model of outdoor unit) may only be certified as compliant with a regional standard if all individual combinations within that basic model meet the regional standard for which it is certified, including the coil-only combination as specified in paragraph (a)(1) of this section, as applicable. A model of outdoor unit that is certified below a regional standard can only be rated and certified as compliant with a regional standard if the model of outdoor unit has a unique model number and has been certified as a different basic model for distribution in each region, where the basic model(s) certified as compliant with a regional standard meet the requirements of the first sentence. An ICM cannot certify an individual combination with a rating that is compliant with a regional standard if the individual combination includes a model of outdoor unit that the OUM has certified with a rating that is not compliant with a regional standard. Conversely, an ICM cannot certify an individual combination with a rating that is not compliant with a regional standard if the individual combination includes a model of outdoor unit that an OUM has certified with a rating that is compliant with a regional standard.

(ii) *Multiple product classes.* Models of outdoor units that are rated and distributed in individual combinations that span multiple product classes must be tested, rated, and certified pursuant to paragraph (a) of this section as compliant with the applicable standard for each product class. This includes multi-split systems, multi-circuit systems, and multi-head mini-split systems with a represented value for a mixed combination including both SDHV and either non-ducted or ducted indoor units.

(5) *Requirements.* All represented values under paragraph (a) of this section must be based on testing in accordance with the requirements in paragraph (b) of this section or the application of an AEDM or other methodology as allowed in paragraph (c) of this section.

(b) *Units tested*—(1) *General*. The general requirements of § 429.11 apply to central air conditioners and heat pumps; and

(2) *Individual model/combination selection for testing*. (i) The table identifies the minimum testing requirements for each basic model that includes multiple individual models/combinations; if a basic model spans multiple categories or subcategories listed in the table, multiple testing requirements apply. For each basic model that includes only one individual model/combination, test that individual model/combination. For single-split-system non-space-constrained air conditioners and heat pumps, when testing is required in accordance with 10 CFR part 430, subpart B, appendix M1, these requirements do not apply until July 1, 2024, provided that the manufacturer is certifying compliance of all basic models using an AEDM in accordance with paragraph (c)(1)(i)(B) of this section and paragraph (e)(2)(i)(A) of § 429.70.

TABLE 2 TO PARAGRAPH (b)(2)(i)

Category	Equipment subcategory	Must test:	With:
Single-Package Unit.	Single-Package AC (including Space-Constrained).	The individual model with the lowest seasonal energy efficiency ratio (SEER) (when testing in accordance with appendix M to subpart B of 10 CFR part 430) or SEER2 (when testing in accordance with appendix M1 to subpart B of 10 CFR part 430).	N/A.
	Single-Package HP (including Space-Constrained).		
Outdoor Unit and Indoor Unit (Distributed in Commerce by OUM).	Single-Split-System AC with Single-Stage or Two-Stage Compressor (including Space-Constrained and Small-Duct, High Velocity Systems (SDHV)).	The model of outdoor unit.	A model of coil-only indoor unit.
	Single-Split-System HP with Single-Stage or Two-Stage Compressor (including Space-Constrained and SDHV).	The model of outdoor unit.	A model of indoor unit.
	Single-Split System AC or HP with Other Than Single-Stage or Two-Stage Compressor having a non-communicating coil-only individual combination (including Space-Constrained and SDHV).	The model of outdoor unit.	A model of non-communicating coil-only indoor unit.
	Single-Split System AC or HP with Other Than Single-Stage or Two-Stage Compressor without a non-communicating coil-only individual combination (including Space-Constrained and SDHV).	The model of outdoor unit.	A model of indoor unit.

TABLE 2 TO PARAGRAPH (b)(2)(i)—Continued

Category	Equipment subcategory	Must test:	With:
	Multi-Split, Multi-Circuit, or Multi-Head Mini-Split Split System—non-SDHV (including Space-Constrained).	The model of outdoor unit.	At a minimum, a ''tested combination'' composed entirely of non-ducted indoor units. For any models of outdoor units also sold with models of ducted indoor units, test a second ''tested combination'' composed entirely of ducted indoor units (in addition to the non-ducted combination). If testing under appendix M1 to subpart B of 10 CFR part 430, the ducted ''tested combination'' must comprise the highest static variety of ducted indoor unit distributed in commerce (*i.e.*, conventional, mid-static, or low-static).
	Multi-Split, Multi-Circuit, or Multi-Head Mini-Split Split System—SDHV.	The model of outdoor unit.	A ''tested combination'' composed entirely of SDHV indoor units.
Indoor Unit Only (Distributed in Commerce by ICM).	Single-Split-System Air Conditioner (including Space-Constrained and SDHV).	A model of indoor unit	The least efficient model of outdoor unit with which it will be paired where the least efficient model of outdoor unit is the model of outdoor unit in the lowest SEER combination (when testing under appendix M to subpart B of 10 CFR part 430) or SEER2 combination (when testing under appendix M1 to subpart B of 10 CFR part 430) as certified by the OUM.If there are multiple models of outdoor unit with the same lowest SEER (when testing under appendix M to subpart B of 10 CFR part 430) or SEER2 (when testing under appendix M1 to subpart B of 10 CFR part 430) represented value, the ICM may select one for testing purposes.
	Single-Split-System Heat Pump (including Space-Constrained and SDHV).	Nothing, as long as an equivalent air conditioner basic model has been tested If an equivalent air conditioner basic model has not been tested, must test a model of indoor unit.	

TABLE 2 TO PARAGRAPH (b)(2)(i)—Continued

Category	Equipment subcategory	Must test:	With:
	Multi-Split, Multi-Circuit, or Multi-Head Mini-Split Split System—SDHV.	A model of indoor unit	A ''tested combination'' composed entirely of SDHV indoor units, where the outdoor unit is the least efficient model of outdoor unit with which the SDHV indoor unit will be paired. The least efficient model of outdoor unit is the model of outdoor unit in the lowest SEER combination (when testing under appendix M to subpart B of 10 CFR part 430) or SEER2 combination (when testing under appendix M1 to subpart B of 10 CFR part 430) as certified by the OUM. If there are multiple models of outdoor unit with the same lowest SEER represented value (when testing under appendix M to subpart B of 10 CFR part 430) or SEER2 represented value (when testing under appendix M1 to subpart B of 10 CFR part 430), the ICM may select one for testing purposes.
Outdoor Unit with No Match.	.....	The model of outdoor unit.	A model of coil-only indoor unit meeting the requirements of section 2.2e of appendix M or M1 to subpart B of 10 CFR part 430.

(ii) Each individual model/combination (or ''tested combination'') identified in paragraph (b)(2)(i) of this section is not required to be tested for $P_{W,OFF}$. Instead, at a minimum, among individual models/combinations with similar off-mode construction (even spanning different models of outdoor units), a manufacturer must test at least one individual model/combination for $P_{W,OFF}$.

(3) *Sampling plans and represented values.* For individual models (for single-package systems) or individual combinations (for split-systems, including ''tested combinations'' for multi-split, multi-circuit, and multi-head mini-split systems) with represented values determined through testing, each individual model/combination (or ''tested combination'') must have a sample of sufficient size tested in accordance with the applicable provisions of this subpart. For heat pumps (other than heating-only heat pumps), all units of the sample population must be tested in both the cooling and heating modes and the results used for determining all representations. The represented values for any individual model/combination must be assigned such that:

(i) *Off-Mode.* Any represented value of power consumption or other measure of energy consumption for which consumers would favor lower values must be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; Or,

(B) The upper 90 percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.90}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.90}$ is the Student's t-Distribution Values for a 90 percent one-tailed confidence interval with n−1 degrees of freedom (from appendix A to this subpart). Round represented values of off-mode power consumption to the nearest watt.

(ii) *SEER, EER, HSPF, SEER2, EER2, and HSPF2.* Any represented value of the energy efficiency or other measure of energy consumption for which consumers would favor higher values shall be less than or equal to the lower of:

(*A*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the ith sample; or,

(B) The lower 90 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.90}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.90}$ is the Student's t-Distribution Values for a 90 percent one-tailed confidence interval with n−1 degrees of freedom (from appendix A to this subpart). Round represented values of EER, SEER, HSPF, EER2, SEER2, and HSPF2 to the nearest 0.05.

(iii) *Cooling Capacity and Heating Capacity.* The represented values of cooling capacity and heating capacity must each be a self-declared value that is:

(A) Less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the ith sample; or,

(*2*) The lower 90 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.90}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.90}$ is the Student's t-Distribution Values for a 90 percent one-tailed confidence interval with n−1 degrees of freedom (from appendix A to this subpart).

(B) Rounded according to:

(*1*) To the nearest 100 Btu/h if cooling capacity or heating capacity is less than 20,000 Btu/h,

(*2*) To the nearest 200 Btu/h if cooling capacity or heating capacity is greater than or equal to 20,000 Btu/h but less than 38,000 Btu/h, and

(*3*) To the nearest 500 Btu/h if cooling capacity or heating capacity is greater than or equal to 38,000 Btu/h and less than 65,000 Btu/h.

(c) *Determination of represented values for all other individual models/combinations besides those specified in paragraph (b)(2) of this section*—(1) *All basic models except outdoor units with no match and multi-split systems, multi-circuit systems, and multi-head mini-split systems.* (i) For every individual model/combination within a basic model other than the individual model/combination required to be tested pursuant to paragraph (b)(2) of this section, either—

(A) A sample of sufficient size, comprised of production units or representing production units, must be tested as complete systems with the resulting represented values for the individual model/combination obtained in accordance with paragraphs (b)(1) and (3) of this section; or

(B) The represented values of the measures of energy efficiency or energy consumption through the application of an AEDM in accordance with paragraph (d) of this section and § 429.70. An AEDM may only be used to determine represented values for individual models or combinations in a basic model (or separate approved refrigerants within an individual combination) other than the individual model or combination(s) required for mandatory testing under paragraph (b)(2) of this section, except that, for single-split, non-space-constrained systems, when testing is required in accordance with 10 CFR part 430, subpart B, appendix M1, an AEDM may be used to rate the individual model or combination(s) required for mandatory testing under paragraph (b)(2) of this section until July 1, 2024, in accordance with paragraph (e)(2)(i)(A) of § 429.70.

(ii) For every individual model/combination within a basic model tested pursuant to paragraph (b)(2) of this section, but for which $P_{W,OFF}$ testing was not conducted, the represented value of $P_{W,OFF}$ may be assigned through, either:

(A) The testing result from an individual model/combination of similar off-mode construction, or

(B) The application of an AEDM in accordance with paragraph (d) of this section and § 429.70.

(2) *Outdoor units with no match.* All models of outdoor units with no match within a basic model must be tested. No model of outdoor unit with no match may be rated with an AEDM,

other than to determine the represented values for models using approved refrigerants other than the one used in testing.

(3) *For multi-split systems, multi-circuit systems, and multi-head mini-split systems.* The following applies:

(i) When testing in accordance with 10 CFR part 430, subpart B, appendix M1, for basic models that include additional varieties of ducted indoor units (*i.e.*, conventional, low-static, or mid-static) other than the one for which representation is required in paragraph (a)(1) of this section, if a manufacturer chooses to make a representation, the manufacturer must conduct testing of a tested combination according to the requirements in paragraph (b)(3) of this section.

(ii) When testing in accordance with 10 CFR part 430, subpart B, appendix M, for basic models composed of both non-ducted and ducted combinations, the represented value for the mixed non-ducted/ducted combination is the mean of the represented values for the non-ducted and ducted combinations as determined in accordance with paragraph (b)(3) of this section. When testing in accordance with 10 CFR part 430, subpart B, appendix M1, for basic models that include mixed combinations of indoor units (any two kinds of non-ducted, low-static, mid-static, and conventional ducted indoor units), the represented value for the mixed combination is the mean of the represented values for the individual component combinations as determined in accordance with paragraph (b)(3) of this section.

(iii) When testing in accordance with 10 CFR part 430, subpart B, appendix M, for basic models composed of both SDHV and non-ducted or ducted combinations, the represented value for the mixed SDHV/non-ducted or SDHV/ducted combination is the mean of the represented values for the SDHV, non-ducted, or ducted combinations, as applicable, as determined in accordance with paragraph (b)(3) of this section. When testing in accordance with 10 CFR part 430, subpart B, appendix M1, for basic models including mixed combinations of SDHV and another kind of indoor unit (any of non-ducted, low-static, mid-static, and conventional ducted), the represented value for the mixed SDHV/other combination is the mean of the represented values for the SDHV and other tested combination as determined in accordance with paragraph (b)(3) of this section.

(iv) All other individual combinations of models of indoor units for the same model of outdoor unit for which the manufacturer chooses to make representations must be rated as separate basic models, and the provisions of paragraphs (b)(1) through (3) and (c)(3)(i) through (iii) of this section apply.

(v) With respect to $P_{W,OFF}$ only, for every individual combination (or ''tested combination'') within a basic model tested pursuant to paragraph (b)(2) of this section, but for which $P_{W,OFF}$ testing was not conducted, the representative values of $P_{W,OFF}$ may be assigned through either:

(A) The testing result from an individual model or combination of similar off-mode construction, or

(B) Application of an AEDM in accordance with paragraph (d) of this section and § 429.70.

(d) *Alternative efficiency determination methods.* In lieu of testing, represented values of efficiency or consumption may be determined through the application of an AEDM pursuant to the requirements of § 429.70(e) and the provisions of this section.

(1) *Power or energy consumption.* Any represented value of the average off mode power consumption or other measure of energy consumption of an individual model/combination for which consumers would favor lower values must be greater than or equal to the output of the AEDM but no greater than the standard.

(2) *Energy efficiency.* Any represented value of the SEER, EER, HSPF, SEER2, EER2, HSPF2 or other measure of energy efficiency of an individual model/combination for which consumers would favor higher values must be less than or equal to the output of the AEDM but no less than the standard.

(3) *Cooling capacity.* The represented value of cooling capacity of an individual model/combination must be no greater than the cooling capacity output simulated by the AEDM.

(4) *Heating capacity*. The represented value of heating capacity of an individual model/combination must be no greater than the heating capacity output simulated by the AEDM.

(e) *Certification reports*. This paragraph specifies the information that must be included in a certification report.

(1) *General*. The requirements of § 429.12 apply to central air conditioners and heat pumps.

(2) *Public product-specific information*. Pursuant to § 429.12(b)(13), for each individual model (for single-package systems) or individual combination (for split-systems, including outdoor units with no match and ''tested combinations'' for multi-split, multi-circuit, and multi-head mini-split systems), a certification report must include the following public product-specific information: When certifying compliance with January 1, 2015, energy conservation standards, the seasonal energy efficiency ratio (SEER in British thermal units per Watt-hour (Btu/W-h)) or when certifying compliance with January 1, 2023, energy conservation standards, seasonal energy efficiency ratio 2 (SEER2 in British thermal units per Watt-hour (Btu/W-h)); the average off mode power consumption ($P_{W,OFF}$ in Watts); the cooling capacity in British thermal units per hour (Btu/h); the region(s) in which the basic model can be sold; when certifying compliance with January 1, 2023, energy conservation standards, the kind(s) of air conditioner or heat pump associated with the minimum external static pressure used in testing or rating (ceiling-mount, wall-mount, mobile home, low-static, mid-static, small duct high velocity, space-constrained, or conventional/not otherwise listed); and

(i) For heat pumps, when certifying compliance with January 1, 2015, energy conservation standards, the heating seasonal performance factor (HSPF in British thermal units per Watt-hour (Btu/W-h)) or, when certifying compliance with January 1, 2023, energy conservation standards, heating seasonal performance factor 2 (HSPF2 in British thermal units per Watt-hour (Btu/W-h));

(ii) For central air conditioners (excluding space-constrained products), when certifying compliance with January 1, 2015, energy conservation standards, the energy efficiency ratio (EER in British thermal units per Watt-hour (Btu/W-h)) from the A or A_2 test, whichever applies, or when certifying compliance with January 1, 2023, energy conservation standards, the energy efficiency ratio 2 (EER2 in Btu/W-h);

(iii) For single-split-systems, whether the represented value is for a coil-only or blower coil system;

(iv) For multi-split, multiple-circuit, and multi-head mini-split systems (including VRF and SDHV), when certifying compliance with January 1, 2015, energy conservation standards, whether the represented value is for a non-ducted, ducted, mixed non-ducted/ducted system, SDHV, mixed non-ducted/SDHV system, or mixed ducted/SDHV system;

(v) For all split systems including outdoor units with no match, the refrigerant; and

(vi) For variable-speed coil only systems; whether the represented value is based on a non-communicating or communicating control system.

(3) *Basic and individual model numbers*. The basic model number and individual model number(s) required to be reported under § 429.12(b)(6) must consist of the following:

Equipment type	Basic model number	Individual model number(s)		
		1	2	3
Single-Package (including Space-Constrained).	Number unique to the basic model.	Package	N/A	N/A.
Single-Split System (including Space-Constrained and SDHV).	Number unique to the basic model.	Outdoor Unit	Indoor Unit	If applicable—Air Mover (could be same as indoor unit if fan is part of indoor unit model number).

Equipment type	Basic model number	Individual model number(s)		
		1	2	3
Multi-Split, Multi-Circuit, and Multi-Head Mini-Split System (including Space-Constrained and SDHV).	Number unique to the basic model.	Outdoor Unit	When certifying a basic model based on tested combination(s): * * *. When certifying an individual combination: Indoor Unit(s).	If applicable—When certifying a basic model based on tested combination(s): * * *. When certifying an individual combination: Air Mover(s).
Outdoor Unit with No Match.	Number unique to the basic model.	Outdoor Unit	N/A	N/A.

(4) *Additional product-specific information.* Pursuant to § 429.12(b)(13), for each individual model/combination (including outdoor units with no match and ''tested combinations''), a certification report must include the following additional product-specific information: The cooling full load air volume rate for the system or for each indoor unit as applicable (in cubic feet per minute of standard air (scfm)); the air volume rates that represent normal operation for other test conditions including minimum cooling air volume rate, intermediate cooling air volume rate, full load heating air volume rate, minimum heating air volume rate, intermediate heating air volume rate, and nominal heating air volume rate (scfm) for the system or for each indoor unit as applicable, if different from the cooling full load air volume rate; whether the individual model uses a fixed orifice, thermostatic expansion valve, electronic expansion valve, or other type of metering device; the duration of the compressor break-in period, if used; whether the optional tests were conducted to determine the $C_D{}^c$ value used to represent cooling mode cycling losses or whether the default value was used; the temperature at which the crankcase heater with controls is designed to turn on, if applicable; whether an inlet plenum was installed during testing; the duration of the indoor fan time delay, if used; and

(i) For heat pumps, whether the optional tests were conducted to determine the $C_D{}^h$ value or whether the default value was used; and the maximum time between defrosts as allowed by the controls (in hours);

(ii) For multi-split, multiple-circuit, and multi-head mini-split systems, the number of indoor units tested with the outdoor unit; the nominal cooling capacity of each indoor unit and outdoor unit in the combination; and the indoor units that are not providing heating or cooling for part-load tests;

(iii) For ducted systems having multiple indoor fans within a single indoor unit, the number of indoor fans; the nominal cooling capacity of the indoor unit and outdoor unit; which fan(s) operate to attain the full-load air volume rate when controls limit the simultaneous operation of all fans within the single indoor unit; and the allocation of the full-load air volume rate to each operational fan when different capacity blowers are connected to the common duct;

(iv) For blower coil systems, the airflow-control settings associated with full load cooling operation; the airflow-control settings or alternative instructions for setting fan speed to the speed upon which the rating is based; and whether the system varies blower speeds with outdoor air conditions;

(v) For models with time-adaptive defrost control, the frosting interval to be used during Frost Accumulation tests and the procedure for manually initiating the defrost at the specified time;

(vi) For models of indoor units designed for both horizontal and vertical installation or for both up-flow and down-flow vertical installations, the orientation used for testing;

(vii) For variable-speed models, the compressor frequency set points, and the required dip switch/control settings for step or variable components;

(viii) For variable-speed heat pumps, whether the $H1_N$ or $H1_2$ test speed is the same as the $H3_2$ test speed; the compressor frequency that corresponds to maximum speed at which the system

controls would operate the compressor in normal operation in a 17 °F ambient temperature; and when certifying compliance with January 1, 2023, energy conservation standards, whether the optional 5 °F very low temperature heating mode test was used to characterize performance at temperatures below 17 °F (except for triple-capacity northern heat pumps, for which the very low temperature test is required,) and whether the alternative test required for minimum-speed-limiting variable-speed heat pumps was used;

(ix) For models of outdoor units with no match, the following characteristics of the indoor coil: The face area, the coil depth in the direction of airflow, the fin density (fins per inch), the fin material, the fin style, the tube diameter, the tube material, and the numbers of tubes high and deep; and

(x) For central air conditioners and heat pumps that have two-capacity compressors that lock out low capacity operation for cooling at higher outdoor temperatures and/or heating at lower outdoor temperatures, the outdoor temperature(s) at which the unit locks out low capacity operation.

(f) *Represented values for the Federal Trade Commission*. Use the following represented value determinations to meet the requirements of the Federal Trade Commission.

(1) *Annual Operating Cost—Cooling*. Determine the represented value of estimated annual operating cost for cooling-only units or the cooling portion of the estimated annual operating cost for air-source heat pumps that provide both heating and cooling by calculating the product of:

(i) The value determined in paragraph (f)(1)(i)(A) of this section if using appendix M to subpart B of part 430 or the value determined in paragraph (f)(1)(i)(B) of this section if using appendix M1 to subpart B of part 430;

(A) The quotient of the represented value of cooling capacity, in Btu's per hour as determined in paragraph (b)(3)(iii) of this section, divided by the represented value of SEER, in Btu's per watt-hour, as determined in paragraph (b)(3)(ii) of this section;

(B) The quotient of the represented value of cooling capacity, in Btu's per hour as determined in paragraph (b)(3)(iii) of this section, and multiplied by 0.93 for variable-speed heat pumps only, divided by the represented value of SEER2, in Btu's per watt-hour, as determined in paragraph (b)(3)(ii) of this section.

(ii) The representative average use cycle for cooling of 1,000 hours per year;

(iii) A conversion factor of 0.001 kilowatt per watt; and

(iv) The representative average unit cost of electricity in dollars per kilowatt-hour as provided pursuant to section 323(b)(2) of the Act.

(2) *Annual Operating Cost—Heating*. Determine the represented value of estimated annual operating cost for air-source heat pumps that provide only heating or for the heating portion of the estimated annual operating cost for air-source heat pumps that provide both heating and cooling, as follows:

(i) When using appendix M to subpart B of part 430, the product of:

(A) The quotient of the mean of the standardized design heating requirement for the sample, in Btu's per hour, nearest to the Region IV minimum design heating requirement, determined for each unit in the sample in section 4.2 of appendix M to subpart B of part 430, divided by the represented value of heating seasonal performance factor (HSPF), in Btu's per watt-hour, calculated for Region IV corresponding to the above-mentioned standardized design heating requirement, as determined in paragraph (b)(3)(ii) of this section;

(B) The representative average use cycle for heating of 2,080 hours per year;

(C) The adjustment factor of 0.77, which serves to adjust the calculated design heating requirement and heating load hours to the actual load experienced by a heating system;

(D) A conversion factor of 0.001 kilowatt per watt; and

(E) The representative average unit cost of electricity in dollars per kilowatt-hour as provided pursuant to section 323(b)(2) of the Act;

(ii) When using appendix M1 to subpart B of part 430, the product of:

(A) The quotient of the represented value of cooling capacity (for air-source heat pumps that provide both

cooling and heating) in Btu's per hour, as determined in paragraph (b)(3)(iii) of this section, or the represented value of heating capacity (for air-source heat pumps that provide only heating), as determined in paragraph (b)(3)(i)(D) of this section, divided by the represented value of heating seasonal performance factor 2 (HSPF2), in Btu's per watt-hour, calculated for Region IV, as determined in paragraph (b)(3)(ii) of this section;

(B) The representative average use cycle for heating of 1,572 hours per year;

(C) The adjustment factor of 1.15 (for heat pumps that are not variable-speed) or 1.07 (for heat pumps that are variable-speed), which serves to adjust the calculated design heating requirement and heating load hours to the actual load experienced by a heating system;

(D) A conversion factor of 0.001 kilowatt per watt; and

(E) The representative average unit cost of electricity in dollars per kilowatt-hour as provided pursuant to section 323(b)(2) of the Act;

(3) *Annual Operating Cost—Total.* Determine the represented value of estimated annual operating cost for air-source heat pumps that provide both heating and cooling by calculating the sum of the quantity determined in paragraph (f)(1) of this section added to the quantity determined in paragraph (f)(2) of this section.

(4) *Regional Annual Operating Cost—Cooling.* Determine the represented value of estimated regional annual operating cost for cooling-only units or the cooling portion of the estimated regional annual operating cost for air-source heat pumps that provide both heating and cooling by calculating the product of:

(i) The value determined in paragraph (f)(4)(i)(A) of this section if using appendix M to subpart B of part 430 or the value determined in paragraph (f)(4)(i)(B) of this section if using appendix M1 to subpart B of part 430;

(A) The quotient of the represented value of cooling capacity, in Btu's per hour as determined in paragraph (b)(3)(iii) of this section, divided by the represented value of SEER, in Btu's per watt-hour, as determined in paragraph (b)(3)(ii) of this section;

(B) The quotient of the represented value of cooling capacity, in Btu's per hour as determined in paragraph (b)(3)(iii) of this section, and multiplied by 0.93 for variable-speed heat pumps only, divided by the represented value of SEER2, in Btu's per watt-hour, as determined in paragraph (b)(3)(ii) of this section;

(ii) The value determined in paragraph (f)(4)(ii)(A) of this section if using appendix M to subpart B of part 430 or the value determined in paragraph (f)(4)(ii)(B) of this section if using appendix M1 to subpart B of part 430;

(A) The estimated number of regional cooling load hours per year determined from Table 22 in section 4.4 of appendix M to subpart B of part 430;

(B) The estimated number of regional cooling load hours per year determined from Table 21 in section 4.4 of appendix M1 to subpart B of part 430;

(iii) A conversion factor of 0.001 kilowatts per watt; and

(iv) The representative average unit cost of electricity in dollars per kilowatt-hour as provided pursuant to section 323(b)(2) of the Act.

(5) *Regional Annual Operating Cost—Heating.* Determine the represented value of estimated regional annual operating cost for air-source heat pumps that provide only heating or for the heating portion of the estimated regional annual operating cost for air-source heat pumps that provide both heating and cooling as follows:

(i) When using appendix M to subpart B of part 430, the product of:

(A) The estimated number of regional heating load hours per year determined from Table 22 in section 4.4 of appendix M to subpart B of part 430;

(B) The quotient of the mean of the standardized design heating requirement for the sample, in Btu's per hour, for the appropriate generalized climatic region of interest (*i.e.*, corresponding to the regional heating load hours from ''A'') and determined for each unit in the sample in section 4.2 of appendix M to subpart B of part 430, divided by the represented value of HSPF, in Btu's per watt-hour, calculated for the appropriate generalized

climatic region of interest and corresponding to the above-mentioned standardized design heating requirement, and determined in paragraph (b)(3)(ii);

(C) The adjustment factor of 0.77; which serves to adjust the calculated design heating requirement and heating load hours to the actual load experienced by a heating system;

(D) A conversion factor of 0.001 kilowatts per watt; and

(E) The representative average unit cost of electricity in dollars per kilowatt-hour as provided pursuant to section 323(b)(2) of the Act.

(ii) When using appendix M1 to subpart B of part 430, the product of:

(A) The estimated number of regional heating load hours per year determined from Table 21 in section 4.4 of appendix M1 to subpart B of part 430;

(B) The quotient of the represented value of cooling capacity (for air-source heat pumps that provide both cooling and heating) in Btu's per hour, as determined in paragraph (b)(3)(i)(C) of this section, or the represented value of heating capacity (for air-source heat pumps that provide only heating), as determined in paragraph (b)(3)(i)(D) of this section, divided by the represented value of HSPF2, in Btu's per watt-hour, calculated for the appropriate generalized climatic region of interest, and determined in paragraph (b)(3)(i)(B) of this section;

(C) The adjustment factor of 1.15 (for heat pumps that are not variable-speed) or 1.07 (for heat pumps that are variable-speed), which serves to adjust the calculated design heating requirement and heating load hours to the actual load experienced by a heating system;

(D) A conversion factor of 0.001 kilowatts per watt; and

(E) The representative average unit cost of electricity in dollars per kilowatt-hour as provided pursuant to section 323(b)(2) of the Act.

(6) *Regional Annual Operating Cost—Total.* For air-source heat pumps that provide both heating and cooling, the estimated regional annual operating cost is the sum of the quantity determined in paragraph (f)(4) of this section added to the quantity determined in paragraph (f)(5) of this section.

(7) *Annual Operating Cost—Rounding.* Round any represented values of estimated annual operating cost determined in paragraphs (f)(1) through (6) of this section to the nearest dollar per year.

[81 FR 37049, June 8, 2016, as amended at 81 FR 55112, Aug. 18, 2016; 82 FR 1468, Jan. 5, 2017; 86 FR 68393, Dec. 2, 2021; 87 FR 64583, Oct. 25, 2022; 89 FR 82060, Oct. 9, 2024]

§ 429.17 Water heaters.

NOTE 1 TO § 429.17: Prior to February 17, 2023, certification reports must be submitted as required either in this section or 10 CFR 429.17 as it appears in the 10 CFR parts 200 through 499 edition revised as of January 1, 2022. On or after February 17, 2023, certification reports must be submitted as required in this section.

(a) *Determination of represented value.* (1) Manufacturers must determine the represented value for each water heater by applying an AEDM in accordance with 10 CFR 429.70 or by testing for the uniform energy factor, in conjunction with the applicable sampling provisions as follows:

(i) If the represented value is determined through testing, the general requirements of 10 CFR 429.11 are applicable; and

(ii) For each basic model selected for testing, a sample of sufficient size shall be randomly selected and tested to ensure that—

(A) Any represented value of the estimated annual operating cost or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the ith sample;

Or,

(*2*) The upper 95-percent confidence limit (UCL) of the true mean divided by 1.10, where:

$$UCL = \bar{x} + t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95-percent one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(B) Any represented value of the uniform energy factor, or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, x is the sample mean; n is the number of samples; and x_i is the ith sample;

Or,

(*2*) The lower 95-percent confidence limit (LCL) of the true mean divided by 0.90, where:

$$LCL = \bar{x} - t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95-percent one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(C) Any represented value of the rated storage volume must be equal to the mean of the measured storage volumes of all the units within the sample. Any represented value of the effective storage volume must be equal to the mean of the effective storage volumes of all the units within the sample.

(D) Any represented value of first-hour rating or maximum gallons per minute (GPM) must be equal to the mean of the measured first-hour ratings or measured maximum GPM ratings, respectively, of all the units within the sample.

(E) For an electric storage water heater that has a permanent mode or setting in which it is capable of heating and storing water above 135 °F, where permanent mode or setting means a mode of operation that is continuous and does not require any external consumer intervention to maintain for longer than 120 hours, except for those that meet the definition of ''heat pump-type'' water heater at §430.2 of this chapter, whose rated storage volumes are less than 20 gallons or greater than 55 gallons, or that are only capable of heating the stored water above

135 °F in response to instructions received from a utility or third-party demand-response program, the following applies:

(*1*) To demonstrate compliance with the energy conservation standards in § 430.32(d)(1) of this chapter, any represented value of uniform energy factor shall be determined based on testing in accordance with section 5.1.1 of appendix E to subpart B of 10 CFR part 430.

(*2*) To demonstrate compliance with the energy conservation standards in § 430.32(d)(2) of this chapter, any represented value of uniform energy factor shall be determined based on high temperature testing in accordance with section 5.1.2 of appendix E to subpart B of 10 CFR part 430.

(b) *Certification reports.* (1) The requirements of 10 CFR 429.12 are applicable to water heaters; and

(2) Pursuant to 10 CFR 429.12(b)(13), a certification report shall include the following public, product-specific information:

(i) For storage-type water heater basic models: The uniform energy factor (UEF, rounded to the nearest 0.01), the rated storage volume in gallons (rounded to the nearest 1 gal), the first-hour rating in gallons (gal, rounded to the nearest 1 gal), and the recovery efficiency in percent (%, rounded to the nearest 1%);

(ii) For instantaneous-type water heater basic models: The uniform energy factor (UEF, rounded to the nearest 0.01), the rated storage volume in gallons (gal, rounded to the nearest 1 gal), the maximum gallons per minute (gpm, rounded to the nearest 0.1 gpm), and the recovery efficiency in percent (%, rounded to the nearest 1%); and

(iii) For grid-enabled water heater basic models: The uniform energy factor (UEF, rounded to the nearest 0.01), the rated storage volume in gallons (gal, rounded to the nearest 1 gal), the first-hour rating in gallons (gal, rounded to the nearest 1 gal), the recovery efficiency in percent (%, rounded to the nearest 1%), a declaration that the model is a grid-enabled water heater, whether it is equipped at the point of manufacture with an activation lock, and whether it bears a permanent label applied by the manufacturer that advises purchasers and end-users of the intended and appropriate use of the product.

(c) *Reporting of annual shipments for grid-enabled water heaters.* Pursuant to 42 U.S.C. 6295(e)(6)(C)(i), manufacturers of grid-enabled water heaters must report the total number of grid-enabled water heater units shipped for sale in the U.S. by the manufacturer for the previous calendar year (*i.e.*, January 1st through December 31st), as well as the calendar year that the shipments cover, starting on or before May 1, 2023, and annually on or before May 1 each year thereafter. This information shall be reported separately from the certification report required under paragraph (b)(2) of this section, and must be submitted to DOE in accordance with the submission procedures set forth in § 429.12(h). DOE will consider the annual reported shipments to be confidential business information without the need for the manufacturer to request confidential treatment of the information pursuant to § 429.7(c).

[81 FR 96235, Dec. 29, 2016, as amended at 87 FR 43977, July 22, 2022; 89 FR 37941 May 6, 2024]

§ 429.18 Consumer furnaces.

NOTE 1 TO § 429.18: Prior to February 17, 2023, certification reports must be submitted as required either in this section or 10 CFR 429.18 as it appears in the 10 CFR parts 200 through 499 edition revised as of January 1, 2022. On or after February 17, 2023, certification reports must be submitted as required in this section.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to residential furnaces; and

(2)(i) For each basic model of furnaces, other than basic models of those sectional cast-iron boilers (which may be aggregated into groups having identical intermediate sections and combustion chambers) a sample of sufficient size shall be randomly selected and tested to ensure that—

(A) Any represented value of estimated annual operating cost, energy consumption or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(*2*) The upper 97½ percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(B) Any represented value of the annual fuel utilization efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(*2*) The lower 97½ percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(ii) For the lowest capacity basic model of a group of basic models of those sectional cast-iron boilers having identical intermediate sections and combustion chambers, a sample of sufficient size shall be randomly selected and tested to ensure that—

(A) Any represented value of estimated annual operating cost, energy consumption or other measure of energy consumption of a basic model for

which consumers would favor lower values shall be greater than or equal to the higher of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(*2*) The upper 97½ percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(B) Any represented value of the fuel utilization efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(*2*) The lower 97½ percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(iii) For the highest capacity basic model of a group of basic models of those sectional cast-iron boilers having identical intermediate sections and combustion chambers, a sample of sufficient size shall be randomly selected and tested to ensure that—

(A) Any represented value of estimated annual operating cost, energy consumption or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(*2*) The upper 97½ percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(B) Any represented value of the fuel utilization efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(*2*) The lower 97½ percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(iv) For each basic model or capacity other than the highest or lowest of the group of basic models of sectional cast-iron boilers having identical intermediate sections and combustion chambers, represented values of measures of energy consumption shall be determined by either—

(A) A linear interpolation of data obtained for the smallest and largest capacity units of the family, or

(B) Testing a sample of sufficient size to ensure that:

(*1*) Any represented value of estimated annual operating cost, energy consumption or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(*i*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(*ii*) The upper 97½ percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(*2*) Any represented value of the energy factor or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(*i*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(*ii*) The lower 97½ percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(v) Whenever measures of energy consumption determined by linear interpolation do not agree with measures of energy consumption determined by actual testing, the values determined by testing must be used for certification.

(vi) In calculating the measures of energy consumption for each unit tested, use the design heating requirement corresponding to the mean of the capacities of the units of the sample.

(vii) The represented value of annual fuel utilization efficiency must be rounded to the nearest one-tenth of a percentage point. The represented values of standby mode power and off mode power must be rounded to the nearest one-tenth of a watt.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to residential furnaces; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information:

(i) For consumer furnaces and boilers: The annual fuel utilization efficiency (AFUE) in percent (%) and the input capacity in British thermal units per hour (Btu/h).

(ii) For non-weatherized oil-fired furnaces (including mobile home furnaces), electric furnaces, and boilers: The standby mode power consumption ($P_{W,SB}$) and off mode power consumption ($P_{W,OFF}$) in watts.

(3) Pursuant to § 429.12(b)(13), a certification report shall include the following additional product-specific information:

(i) For cast-iron sectional boilers: A declaration of whether certification is based on linear interpolation or testing.

(ii) For gas-fired hot water boilers and gas-fired steam boilers: A declaration that the manufacturer has not incorporated a constant-burning pilot.

(iii) For gas-fired hot water boilers, oil-fired hot water boilers, and electric hot water boilers: Whether the boiler is equipped with tankless domestic water heating coils, and if not, a declaration that the manufacturer has incorporated an automatic means for adjusting water temperature).

(4) For multi-position furnaces, the annual fuel utilization efficiency (AFUE) reported for each basic model must be based on testing in the least efficient configuration. Manufacturers may also report and make representations of additional AFUE values based on testing in other configurations.

[76 FR 12451, Mar. 7, 2011; 76 FR 24765, May 2, 2011, as amended at 76 FR 38292, June 30, 2011; 81 FR 2646, Jan. 15, 2016; 87 FR 43977, July 22, 2022]

§ 429.19 Dishwashers.

NOTE 1 TO § 429.19: Prior to February 17, 2023, certification reports must be submitted as required either in this section or 10 CFR 429.19 as it appears in the 10 CFR parts 200 through 499 edition revised as of January 1, 2022. On or after February 17, 2023, certification reports must be submitted as required in this section.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to dishwashers; and

(2) For each basic model of dishwashers, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of estimated annual operating cost, energy or water consumption or other measure of energy or water consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The upper 97½ percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the energy or water factor or other measure of energy or water consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The lower 97½ percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to dishwashers; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The estimated annual energy use in kilowatt hours per year (kWh/yr), the water consumption in gallons per cycle, and the capacity in number of place settings.

(3) Pursuant to § 429.12(b)(13), a certification report shall include the following additional product-specific information—

(i) The presence of a soil sensor, and if yes, the number of cycles required to reach calibration;

(ii) The water inlet temperature used for testing in degrees Fahrenheit (°F);

(iii) The cycle selected for the energy test and whether that cycle is soil-sensing if testing is performed using appendix C1 to subpart B of part 430 of this chapter and the cycles selected for the sensor heavy response, sensor medium response, and sensor light response and whether these cycles are soil-sensing if testing is performed using appendix C2 to subpart B of part 430 of this chapter;

(iv) The options selected for the energy test if testing is performed using appendix C1 to subpart B of part 430 of this chapter and the options selected for the sensor heavy response, sensor medium response, and sensor light response if testing is performed using appendix C2 to subpart B of part 430 of this chapter;

(v) The average cleaning index for the sensor heavy response, sensor medium response, and sensor light response cycles if testing is performed using appendix C2 to subpart B of part 430 of this chapter (*see* section 5.1 of appendix C2 for the calculation of per-cycle cleaning index for each test cycle);

(vi) Indication of whether Cascade Complete Powder or Cascade with the Grease Fighting Power of Dawn was used as the detergent formulation. When certifying dishwashers, other than water re-use dishwashers, according to appendix C1 to subpart B of part 430 of this chapter:

(A) Before July 17, 2023, Cascade Complete Powder detergent may be used as the basis for certification in conjunction with the detergent dosing methods specified in either section 2.5.2.1.1 or section 2.5.2.1.2 of appendix C1. Cascade with the Grease Fighting Power of Dawn detergent may be used as the basis for certification only in conjunction with the detergent dosing specified in section 2.5.2.1.1 of appendix C1.

(B) Beginning July 17, 2023, Cascade Complete Powder detergent may be used as the basis for certification of newly certified basic models only in conjunction with the detergent dosing method specified in section 2.5.2.1.2 of appendix C1. Cascade with the Grease Fighting Power of Dawn detergent may be used as the basis for certification only in conjunction with the detergent dosing specified in section 2.5.2.1.1 of appendix C1. Manufacturers may maintain existing basic model certifications made prior to July 17, 2023, consistent with the provisions of paragraph (b)(3)(vi)(A) of this section.

(vii) The presence of a built-in water softening system, and if yes, the energy use in kilowatt hours and the water use in gallons required for each regeneration of the water softening system, the number of regeneration cycles per year, and data and calculations used to derive these values;

(viii) Whether the product is a water re-use system dishwasher, and if yes, the energy use in kilowatt hours and water use in gallons required for a drain out event, the energy use in kilowatt hours and water use in gallons required for a clean out event, the number of drain out events per year, the number of clean out events per year, the water fill volume to calculate detergent dosage in gallons, and data and calculations used to derive these values, as applicable; and

(ix) The presence of a built-in reservoir, and if yes, the manufacturer-stated reservoir capacity in gallons, the prewash fill water volume in gallons and the main wash fill water volume in gallons if testing is performed using appendix C1 to subpart B of part 430 of this chapter, and the reservoir water consumption in gallons per cycle.

(c) *Reported values.* Values reported pursuant to this subsection must be rounded as follows:

(1) The represented value of estimated annual energy use to the nearest kilowatt hour per year.

(2) The represented value of water consumption to the nearest 0.1 gallon per cycle.

[76 FR 12451, Mar. 7, 2011; 76 FR 24766, May 2, 2011, as amended at 77 FR 31962, May 30, 2012; 77 FR 65977, Oct. 31, 2012; 81 FR 90118, Dec. 13, 2016; 87 FR 43977, July 22, 2022; 88 FR 48357, July 27, 2023; 89 FR 82061, Oct. 9, 2024]

§ 429.20 Residential clothes washers.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to residential clothes washers; and

(2) For each basic model of residential clothes washers, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of the integrated water factor, the estimated annual operating cost, the energy or water consumption, or other measure of energy or water consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The upper 97½ percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the integrated modified energy factor, energy efficiency ratio, water efficiency ratio, or other measure of energy or water consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The lower 97½ percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(3) The clothes container capacity of a basic model reported in accordance with paragraph (b)(2) of this section shall be the mean of the measured clothes container capacity, C, of all tested units of the basic model.

(4) The remaining moisture content (RMC) of a basic model reported in accordance with paragraph (b)(2) of this section shall be the mean of the final RMC value measured for all tested units of the basic model.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to residential clothes washers; and

(2) Pursuant to § 429.12(b)(13), a certification report shall contain the following public product-specific information:

(i) For residential clothes washers tested in accordance with appendix J to subpart B of part 430 of this chapter: the energy efficiency ratio (EER) in pounds per kilowatt hour per cycle (lb/kWh/cycle), the water efficiency ratio (WER) in pounds per gallon per cycle (lb/gal/cycle), the clothes container capacity in cubic feet (cu ft), the corrected remaining moisture content (RMC) expressed as a percentage, the type of control system (automatic or semi-automatic), and the type of loading (top-loading or front-loading).

(ii) For residential clothes washers tested in accordance with appendix J2 to subpart B of part 430 of this chapter: the integrated modified energy factor (IMEF) in cu ft/kWh/cycle, the integrated water factor (IWF) in gal/cycle/cu ft, the clothes container capacity in cu ft, the corrected RMC expressed as a percentage, and the type of loading (top-loading or front-loading).

(3) Pursuant to 10 CFR 429.12(b)(13), a certification report must include the following additional product-specific information: a list of all cycle selections comprising the complete energy test cycle for each basic model and the test cloth lot number used for certification testing.

(c) *Reported values.* Values reported pursuant to this subsection must be rounded as follows:

(1) MEF and IMEF to the nearest 0.01 cu ft/kWh/cycle;

(2) WF and IWF to the nearest 0.1 gal/cycle/cu ft;

(3) EER to the nearest 0.01 lb/kWh/cycle;
(4) WER to the nearest 0.01 lb/gal/cycle;
(5) RMC to the nearest 0.1 percentage point; and
(6) Clothes container capacity to the nearest 0.1 cu ft.

[76 FR 12451, Mar. 7, 2011; 76 FR 24767, May 2, 2011, as amended at 77 FR 13936, Mar. 7, 2012; 77 FR 32379, May 31, 2012; 80 FR 46760, Aug. 5, 2015; 87 FR 33379, June 1, 2022; 89 FR 82061, Oct. 9, 2024]

§ 429.21 Residential clothes dryers.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to clothes dryers; and

(2) For each basic model of clothes dryers a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of estimated annual operating cost, energy consumption or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The upper 97½ percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the energy factor, combined energy factor, or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The lower 97½ percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(3) The capacity of a basic model reported in accordance with paragraph (b)(2) of this section shall be the mean of the capacities measured for each tested unit of the basic model.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to clothes dryers; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: When using appendix D1 to subpart B of part 430 of this chapter, the combined energy factor in pounds per kilowatt hours (lb/kWh), the capacity in cubic feet (cu ft), the voltage in volts (V) (for electric dryers only), an indication if the dryer has automatic termination controls, and the hourly Btu rating of the burner (for gas dryers only); when using appendix D2 to subpart B of part 430, the combined energy factor in pounds per kilowatt hours (lb/kWh), the capacity in cubic feet (cu ft), the voltage in volts (V) (for electric dryers only), an indication if the dryer has automatic termination controls, the hourly Btu rating of the burner (for gas dryers only), and a list of the cycle setting selections for the energy test cycle as recorded in section 3.4.7 of appendix D2 to subpart B of part 430.

(c) *Reported values.* Values reported pursuant to this section must be rounded as follows: CEF to the nearest 0.01 lb/kWh, capacity to the nearest 0.1 cu ft, voltage to the nearest V, and hourly Btu rating to the nearest Btu.

[76 FR 12451, Mar. 7, 2011; 76 FR 24767, May 2, 2011, as amended at 78 FR 49644, Aug. 14, 2013; 86 FR 56638, Oct. 8, 2021]

§ 429.22 Direct heating equipment.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to direct heating equipment; and

(2) (i) For each basic model of direct heating equipment (not including furnaces) a sample of sufficient size shall be randomly selected and tested to ensure that—

(A) Any represented value of estimated annual operating cost, energy consumption or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(*2*) The upper 97½ percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(B) Any represented value of the fuel utilization efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(*2*) The lower 97½ percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(ii) In calculating the measures of energy consumption for each unit tested, use the design heating requirement corresponding to the mean of the capacities of the units of the sample.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to direct heating equipment; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: Direct heating equipment, the annual fuel utilization efficiency (AFUE) in percent (%), the mean input capacity in British thermal units per hour (Btu/h), and the mean output capacity in British thermal units per hour (Btu/h).

[76 FR 12451, Mar. 7, 2011; 76 FR 24768, May 2, 2011, as amended at 76 FR 38292, June 30, 2011]

§ 429.23 Cooking products.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to cooking products; and

(2) For each basic model of cooking products a sample of sufficient size shall be randomly selected and tested to ensure that any represented value of estimated annual operating cost, standby mode power consumption, off

mode power consumption, annual energy consumption, integrated annual energy consumption, or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(i) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(ii) The upper 97½ percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n–1 degrees of freedom (from appendix A).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to conventional cooking tops, conventional ovens and microwave ovens; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: For conventional cooking tops and conventional ovens: the type of pilot light and a declaration that the manufacturer has incorporated the applicable design requirements. For microwave ovens, the average standby power in watts.

[76 FR 12451, Mar. 7, 2011; 76 FR 24769, May 2, 2011, as amended at 77 FR 65977, Oct. 31, 2012; 78 FR 4025, Jan. 18, 2013; 78 FR 36368, June 17, 2013; 81 FR 91445, Dec. 16, 2016]

§ 429.24 Pool heaters.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to pool heaters; and

(2) For each basic model of pool heater, randomly select and test a sample of sufficient size to ensure that any represented value of the thermal efficiency or integrated thermal efficiency, as applicable, or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

(i) The mean of the sample, where:

Or,

(ii) The lower 97½ percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(3) When certifying integrated thermal efficiency, the represented value for input capacity of a gas-fired pool heater basic model reported in accordance with paragraph (b)(2) of this section must be the mean of the input capacities measured for each tested unit of the basic model, as determined in accordance with the test procedure in appendix P of subpart B of part 430 of this chapter.

(4) When certifying integrated thermal efficiency, the represented value of active electrical power of an electric pool heater basic model reported in accordance with paragraph (b)(2) of this section must be the mean of the electrical power measured for each tested unit of the basic model, as determined in accordance with the test procedure in appendix P of subpart B of part 430 of this chapter.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to pool heaters; and

(2) Pursuant to § 429.12(b)(13), include in each certification report the following public product-specific information:

(i) For gas-fired pool heaters: the input capacity in British thermal units per hour (Btu/h) and either the thermal efficiency as a percentage (%) (when certifying compliance with the energy conservation standards specified at § 430.32(k)(1) of this chapter) or the integrated thermal efficiency as a percentage (%) (when certifying compliance with the energy conservation standards specified at § 430.32(k)(2) of this chapter), as applicable.

(ii) For electric pool heaters (when certifying compliance with the energy conservation standards specified at § 430.32(k)(2) of this chapter): the integrated thermal efficiency in percent (%) and the active electrical power in British thermal units per hour (Btu/h).

(c) *Reported values.* Round reported values pursuant to this subsection as follows:

(1) Integrated thermal efficiency for gas-fired pool heaters to the nearest tenth of one percent;

(2) Integrated thermal efficiency for electric pool heaters to the nearest one percent;

(3) Input capacity of a gas-fired pool heater to the nearest 1,000 Btu/h; and

(4) Active electrical power of an electric pool heater to the nearest 100 Btu/h.

[76 FR 12451, Mar. 7, 2011; 76 FR 24769, May 2, 2011; 89 FR 82061, Oct. 9, 2024]

§ 429.25 Television sets.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to televisions; and

(2) For each basic model of television, samples shall be randomly selected and tested to ensure that—

(i) Any represented value of power consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) For on mode power consumption, the upper 95 percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

and $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t-statistic for a 95% one-tailed confidence interval with n−1 degrees of freedom (from appendix A of this subpart).

And

(C) For standby mode power consumption and power consumption measurements in modes other than on mode, the upper 90 percent confidence limit (UCL) of the true mean divided by 1.10, where:

$$UCL = \bar{x} + t_{0.90}\left(\frac{s}{\sqrt{n}}\right)$$

and $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.90}$ is the t-statistic for a 90% one-tailed confidence interval with n−1 degrees of freedom (from appendix A of this subpart).

(ii) Any represented annual energy consumption of a basic model shall be determined by applying the AEC calculation in section 4 of appendix H to subpart B of part 430 of this chapter to the represented values of power consumption as calculated pursuant to paragraph (a)(2)(i) of this section.

(iii) *Rounding requirements.* The represented value of power consumption and the represented annual energy consumption shall be rounded as follows:

(A) For power consumption in the on and standby modes, the represented value shall be rounded according to the requirements specified in sections 4.1 and 4.3 of appendix H to subpart B of part 430 of this chapter.

(B) For annual energy consumption, the represented value shall be rounded according to the requirements specified in section 3.4 of appendix H to subpart B of part 430 of this chapter.

(b) [Reserved]

[78 FR 63840, Oct. 25, 2013, as amended at 88 FR 16109, Mar. 15, 2023]

§ 429.26 Fluorescent lamp ballasts.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to fluorescent lamp ballasts; and

(2) For each basic model of fluorescent lamp ballasts, a sample of sufficient size, not less than four, shall be randomly selected and tested to ensure that—

(i) Any represented value of the energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The upper 99 percent confidence limit (UCL) of the true mean divided by 1.01, where:

$$UCL = \bar{x} + t_{.99}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.99}$ is the t statistic for a 99% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the ballast luminous efficiency, power factor, or other measure of the energy efficiency or energy consumption of a basic model for which consumers would favor a higher value must be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The lower 99 percent confidence limit (LCL) of the true mean divided by 0.99, where:

$$LCL = \bar{x} - t_{.99}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.99}$ is the t statistic for a 99% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(iii) The represented value of average total lamp arc power must be equal to the mean of the sample,

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where:

$\bar{x}$ is the sample mean;
n is the number of units in the sample; and
x_i is the i^{th} unit.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to fluorescent lamp ballasts; and

(2) Pursuant to § 429.12(b)(13), a certification report must include the following public product-specific information: The ballast luminous efficiency, the average total lamp arc power, the power factor, the number of lamps operated by the ballast, and the type of lamps operated by the ballast (*i.e.*, wattage, base, shape, diameter, and length).

(c) *Rounding requirements.* (1) Round ballast luminous efficiency to the nearest thousandths place.

(2) Round power factor to the nearest hundredths place.

(3) Round average total lamp arc power to the nearest tenth of a watt.

[76 FR 12451, Mar. 7, 2011; 76 FR 24769, May 2, 2011, as amended at 81 FR 25600, Apr. 29, 2016; 85 FR 56493, Sept. 14, 2020]

§ 429.27 General service fluorescent lamps.

NOTE 1 TO § 429.27: Prior to February 17, 2023, certification reports must be submitted as required either in this section or 10 CFR 429.27 as it appears in the 10 CFR parts 200 through 499 edition revised as of January 1, 2022. On or after February 17, 2023, certification reports must be submitted as required in this section.

(a) *Determination of Represented Value.* Each manufacturer must determine represented values, which include certified ratings, for each basic model by testing, in accordance with the following sampling provisions.

(1) Units to be tested.

(i) When testing, use a sample comprised of production units. The same sample of units must be tested and used as the basis for representations for rated wattage, average lamp efficacy, color rendering index (CRI), and correlated color temperature (CCT).

(ii) For each basic model, randomly select and test a sample of sufficient size, but not less than 10 units, to ensure that represented values of average lamp efficacy are less than or equal to the lower of:

(A) The arithmetic mean of the sample: or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by .97, where:

$$LCL = \bar{x} - t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(2) Any represented values of measures of energy efficiency or energy consumption for all individual models represented by a given basic model must be the same.

(3) Represented values of CCT, CRI and rated wattage must be equal to the arithmetic mean of the sample.

(b) *Certification reports.* (1) The requirements of § 429.12 apply to general service fluorescent lamps; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The testing laboratory's ILAC accreditation body's identification number or other approved identification assigned by the ILAC accreditation body, average lamp efficacy in lumens per watt (lm/W), rated wattage in watts (W), CCT in Kelvin (K), and CRI.

(c) *Rounding Requirements.* (1) Round rated wattage to the nearest tenth of a watt.

(2) Round average lamp efficacy to the nearest tenth of a lumen per watt.

(3) Round CCT to the nearest 100 kelvin (K).

(4) Round CRI to the nearest whole number.

[87 FR 53637, Aug. 31, 2022]

§ 429.28 Faucets.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to faucets; and

(2) For each basic model of faucet, a sample of sufficient size shall be randomly selected and tested to ensure that any represented value of water consumption of a basic model for which consumers favor lower values shall be no less than the higher of the higher of:

(i) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(ii) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to faucets; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: For non-metering faucets, the maximum water use in gallons per minute (gpm) rounded to the nearest 0.1 gallon; for metering faucets, the maximum water use in gallons per cycle (gal/cycle) rounded to the nearest 0.01 gallon; and for all faucet types, the flow water pressure in pounds per square inch (psi).

[76 FR 12451, Mar. 7, 2011; 76 FR 24771, May 2, 2011, as amended at 78 FR 62985, Oct. 23, 2013]

§ 429.29 Showerheads.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to showerheads; and

(2) For each basic model of a showerhead, a sample of sufficient size shall be randomly selected and tested to ensure that any represented value of water consumption of a basic model for which consumers favor lower values shall be greater than or equal to the higher of:

(i) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(ii) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to showerheads; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The maximum water use in gallons per minute (gpm) rounded to the nearest 0.1 gallon, the maximum flow water pressure in pounds per square inch (psi), and a declaration that the showerhead meets the requirements of § 430.32(p) pertaining to mechanical retention of the flow-restricting insert, if applicable.

[76 FR 12451, Mar. 7, 2011; 76 FR 24771, May 2, 2011, as amended at 78 FR 62985, Oct. 23, 2013]

§ 429.30 Water closets.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to water closets; and

(2) For each basic model of water closet, a sample of sufficient size shall be randomly selected and tested to ensure that any represented value of water consumption of a basic model for which consumers favor lower values shall be greater than or equal to the higher of:

(i) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(ii) The upper 90 percent confidence limit (UCL) of the true mean divided by 1.1, where:

$$UCL = \bar{x} + t_{.90}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.90}$ is the t statistic for a 90% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to water closets; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The maximum water use in gallons per flush (gpf), rounded to the nearest 0.01 gallon. For dual-flush water closets, the maximum water use to be reported is the flush volume observed when tested in the full-flush mode.

[76 FR 12451, Mar. 7, 2011; 76 FR 24771, May 2, 2011, as amended at 78 FR 62986, Oct. 23, 2013]

§ 429.31 Urinals.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to urinals; and

(2) For each basic model of urinal, a sample of sufficient size shall be randomly selected and tested to ensure that any represented value of water consumption of a basic model for which consumers favor lower values shall be greater than or equal to the higher of:

(i) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(ii) The upper 90 percent confidence limit (UCL) of the true mean divided by 1.1, where:

$$UCL = \bar{x} + t_{.90}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.90}$ is the t statistic for a 90% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to urinals; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The maximum water use in gallons per flush (gpf), rounded to the nearest 0.01 gallon, and for trough-type urinals, the maximum flow rate in gallons per minute (gpm), rounded to the nearest 0.01 gallon, and the length of the trough in inches (in).

[76 FR 12451, Mar. 7, 2011; 76 FR 24771, May 2, 2011, as amended at 78 FR 62986, Oct. 23, 2013]

§ 429.32 Ceiling fans.

NOTE 1 TO § 429.32: Prior to February 17, 2023, certification reports must be submitted as required either in this section or 10 CFR 429.32 as it appears in the 10 CFR parts 200 through 499 edition revised as of January 1, 2022. On or after February 17, 2023, certification reports must be submitted as required in this section.

(a) *Determination of represented value.* Manufacturers must determine the represented value, which includes the certified rating, for each basic model of ceiling fan by testing, in conjunction with the following sampling provisions:

(1) The requirements of § 429.11 are applicable to ceiling fans; and

(2) For each basic model of ceiling fan, a sample of sufficient size must be

randomly selected and tested to ensure that—

(i) Any represented value of the efficiency or airflow is less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; or

(B) The lower 90 percent confidence limit (LCL) of the true mean divided by 0.9, where:

$$LCL = \bar{x} - t_{0.90}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.90}$ is the t statistic for a 90% one-tailed confidence interval with n−1 degrees of freedom (from appendix A to subpart B); and

(ii) Any represented value of the wattage is greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; or

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.1, where:

$$UCL = \bar{x} + t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n–1 degrees of freedom (from appendix A to this subpart); and

(3) For each basic model of ceiling fan,

(i) Any represented value of blade span, as defined in section 1.4 of appendix U to subpart B of part 430, is the mean of the blade spans measured for the sample selected as described in paragraph (a)(1) of this section, rounded to the nearest inch;

(ii) Any represented value of blade revolutions per minute (RPM) is the mean of the blade RPM measurements

measured for the sample selected as described in paragraph (a)(1) of this section, rounded to the nearest RPM;

(iii) Any represented value of blade edge thickness is the mean of the blade edge thicknesses measured for the sample selected as described in paragraph (a)(1) of this section, rounded to the nearest 0.01 inch;

(iv) Any represented value of the distance between the ceiling and the lowest point on the fan blades is the mean of the distances measured for the sample selected as described in paragraph (a)(1) of this section, rounded to the nearest quarter of an inch;

(v) Any represented value of tip speed is pi multiplied by represented value of blade span divided by twelve multiplied by the represented value of RPM, rounded to the nearest foot per minute; and

(vi) Any represented value of airflow (CFM) at high speed, including the value used to determine whether a ceiling fan is a highly-decorative ceiling fan as defined in section 1.10 of appendix U to subpart B of part 430, is determined pursuant to paragraph (a)(2)(i) and rounded to the nearest CFM.

(4) To determine representative values of airflow, energy use, and estimated yearly energy cost of an LSSD or VSD ceiling fan basic model, use the following provisions.

(i) Airflow. Determine the represented value for airflow by calculating the weighted-average airflow of an LSSD or VSD ceiling fan basic model at low and high fan speed as follows:

$$CFM_{ave} = \frac{CFM_{Low} \times 3.0 + CFM_{High} \times 3.4}{6.4}$$

Where:

CFM_{ave} = represented value of ceiling fan airflow, rounded to the nearest CFM.

CFM_{Low} = represented value of measured airflow, in cubic feet per minute, at low fan speed, pursuant to paragraph (a)(2)(i) of this section.

CFM_{High} = represented value of measured airflow, in cubic feet per minute, at high fan speed, pursuant to paragraph (a)(2)(i) of this section.

3.0 = average daily operating hours at low fan speed, pursuant to Table 3 in appendix U to subpart B of part 430.

3.4 = average daily operating hours at high fan speed, pursuant to Table 3 in appendix U to subpart B of part 430.

6.4 = total average daily operating hours.

(ii) Energy Use. Determine represented value for energy use by calculating the weighted-average power consumption of an LSSD or VSD ceiling fan basic model at low and high fan speed as follows:

$$W_{ave} = \frac{W_{Low} \times 3.0 + W_{High} \times 3.4 + W_{Sb} \times 17.6}{6.4}$$

Where:

W_{ave} = represented value power consumption, rounded to the nearest watt,

W_{Low} = represented value of measured power consumption, in watts, at low fan speed, pursuant to paragraph (a)(2)(ii) of this section.

W_{High} = represented value of measured power consumption, in watts, at high fan speed, pursuant to paragraph (a)(2)(ii) of this section.

W_{Sb} = represented value of measured power consumption, in watts, in standby mode, pursuant to paragraph (a)(2)(ii) of this section.

3.0 = average daily operating hours at low fan speed, pursuant to Table 3 in appendix U to subpart B of part 430.

3.4 = average daily operating hours at high fan speed, pursuant to Table 3 in appendix U to subpart B of part 430.

17.6 = average daily standby mode hours, pursuant to Table 3 in appendix U to subpart B of part 430.
6.4 = total average daily operating hours.

(iii) Estimated Yearly Energy Cost. Determine the represented value for estimated yearly energy cost of an LSSD or VSD ceiling fan basic model at low and high fan speed as follows:

$$EYEC = \frac{W_{Low} \times 3.0 + W_{High} \times 3.4 + W_{Sb} \times 17.6}{1000} \times 365 \times C_{KWH}$$

Where:
EYEC = represented value for estimated yearly energy cost, rounded to the nearest dollar,
W_{Low} = represented value of measured power consumption, in watts, at low fan speed, pursuant to paragraph (a)(2)(ii) of this section.
W_{High} = represented value of measured power consumption, in watts, at high fan speed, pursuant to paragraph (a)(2)(ii) of this section.
W_{Sb} = represented value of measured power consumption, in watts, in standby mode, pursuant to paragraph (a)(2)(ii) of this section.
C_{KWH} = representative average unit cost of electrical energy in dollars per kilowatt-hour pursuant to 16 CFR part 305.
3.0 = average daily operating hours at low fan speed, pursuant to Table 3 in appendix U to subpart B of part 430
3.4 = average daily operating hours at high fan speed, pursuant to Table 3 in appendix U to subpart B of part 430.
17.6 = average daily standby mode hours, pursuant to Table 3 in appendix U to subpart B of part 430.
365 = number of days per year.
1000 = conversion factor from watts to kilowatts.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to ceiling fans; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information:

(i) For all ceiling fans: Blade span (in), and the number of speed control settings.

(ii) For small-diameter ceiling fans: A declaration of whether the ceiling fan is a multi-head ceiling fan, and the ceiling fan efficiency (CFM/W).

(iii) For large-diameter ceiling fans: Ceiling fan energy index (CFEI) for high speed, and 40 percent speed or the nearest speed that is not less than 40 percent speed.

(3) Pursuant to § 429.12(b)(13), a certification report shall include the following additional product-specific information:

(i) For all ceiling fans: A declaration that the manufacturer has incorporated the applicable design requirements.

(ii) For small-diameter ceiling fans: Standby power, blade edge thickness (in), airflow (CFM) at high speed, and blade revolutions per minute (RPM) at high speed.

(iii) For low-speed small-diameter ceiling fans: The distance (in) between the ceiling and the lowest point on the fan blades (in both hugger and standard configurations for multi-mount fans).

(c) *Rounding requirements.* Any represented value of ceiling fan efficiency, as described in paragraph (a)(2)(i) of this section, must be expressed in cubic feet per minute per watt (CFM/W) and rounded to the nearest whole number. Any represented value of ceiling fan energy index, as described in paragraph (a)(2)(i) of this section, must be expressed in CFEI and rounded to the nearest hundredth.

[76 FR 12451, Mar. 7, 2011, as amended at 81 FR 48639, July 25, 2016; 87 FR 43978, July 22, 2022; 87 FR 50422, Aug. 16, 2022]

§ 429.33 Ceiling fan light kits.

NOTE 1 TO § 429.33: Prior to February 17, 2023, certification reports must be submitted as required either in this section or 10 CFR 429.33 as it appears in the 10 CFR parts 200 through 499 edition revised as of January 1, 2022. On or after February 17, 2023, certification reports must be submitted as required in this section.

(a) *Determination of represented value.* Manufacturers must determine represented values, which includes certified ratings, for each basic model of

ceiling fan light kit in accordance with following sampling provisions.

(1) The requirements of § 429.11 are applicable to ceiling fan light kits, and

(2) For each basic model of ceiling fan light kit, the following sample size requirements are applicable to demonstrate compliance with the January 1, 2007 energy conservation standards:

(i) For ceiling fan light kits with medium screw base sockets that are packaged with compact fluorescent lamps, determine the represented values of each basic model of lamp packaged with the ceiling fan light kit in accordance with § 429.35.

(ii) For ceiling fan light kits with medium screw base sockets that are packaged with integrated light-emitting diode lamps, determine the represented values of each basic model of lamp packaged with the ceiling fan light kit in accordance with § 429.56.

(iii) For ceiling fan light kits with pin-based sockets that are packaged with fluorescent lamps, determine the represented values of each basic model of lamp packaged with the ceiling fan light kit in accordance with the sampling requirements in § 429.35.

(iv) For ceiling fan light kits with medium screw base sockets that are packaged with incandescent lamps, determine the represented values of each basic model of lamp packaged with the ceiling fan light kit in accordance with § 429.40, § 429.55 or § 429.66, as applicable.

(v) For ceiling fan light kits with sockets or packaged with lamps other than those described in paragraphs (a)(2)(i), (ii), (iii), or (iv) of this section, each unit must comply with the applicable design standard in § 430.32(s)(5) of this chapter.

(3) For ceiling fan light kits that require compliance with the January 21, 2020 energy conservation standards:

(i) Determine the represented values of each basic model of lamp packaged with each basic model of ceiling fan light kit, in accordance with the specified section:

(A) For compact fluorescent lamps, § 429.35;

(B) For general service fluorescent lamps, § 429.27;

(C) For incandescent lamps, § 429.40, § 429.55 or § 429.66, as applicable;

(D) For integrated LED lamps, § 429.56.

(E) For other fluorescent lamps (not compact fluorescent lamps or general service fluorescent lamps), § 429.35; and

(F) For consumer-replaceable SSL (not integrated LED lamps) and other SSL lamps that have an ANSI standard base and are not integrated LED lamps, § 429.56.

(ii) Determine the represented value of each basic model of non-consumer-replaceable SSL that is incorporated into each basic model of ceiling fan light kit by randomly selecting a sample of sufficient size and testing to ensure that any represented value of the energy efficiency of the integrated SSL circuitry basic model is less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; Or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.90, where:

$$LCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t

statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from appendix A to subpart B).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to ceiling fan light kits; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information:

(i) For ceiling fan light kits manufactured prior to January 21, 2020:

(A) For ceiling fan light kits with sockets for medium screw base lamps: The rated wattage in watts (W) and the system's efficacy in lumens per watt (lm/W).

(B) For ceiling fan light kits with pin-based sockets for fluorescent lamps: The rated wattage in watts (W), the system's efficacy in lumens per watt (lm/W), and the length of the lamp in inches (in).

(C) For ceiling fan light kits with any other socket type: The rated wattage in watts (W) and the number of individual sockets.

(ii) For ceiling fan light kits manufactured on or after January 21, 2020:

(A) For each basic model of lamp, each basic model of consumer-replaceable SSL, and/or each basic model of non-consumer-replaceable SSL packaged with the ceiling fan light kit, the brand, basic model number, test sample size, kind of lamp (*i.e.*, general service fluorescent lamp (GSFL); fluorescent lamp with a pin base that is not a GSFL; compact fluorescent lamp (CFL) with a medium screw base; CFL with a base that is not medium screw base [*e.g.*, candelabra base]; other fluorescent lamp [not GSFL or CFL]; general service incandescent lamp (GSIL); candelabra base incandescent lamp; intermediate base incandescent lamp; incandescent reflector lamp; other incandescent lamp [not GSIL, IRL, candelabra base or intermediate base incandescent lamp]; integrated LED lamp; non-consumer-replaceable SSL; consumer-replaceable SSL [not integrated LED lamps] and other SSL lamps that have an ANSI standard base and are not integrated LED lamps; other lamp not specified), lumen output in lumens (lm), and efficacy in lumens per watt (lm/W).

(B) For each lamp basic model identified in paragraph (b)(2)(ii)(A) of this section that is a compact fluorescent lamp with a medium screw base, the lumen maintenance at 40 percent of lifetime in percent (%) (and whether the value is estimated), the lumen maintenance at 1,000 hours in percent (%), the lifetime in hours (h) (and whether the value is estimated), and the sample size for rapid cycle stress testing and results in number of units passed (and whether the value is estimated). Estimates of lifetime, lumen maintenance at 40 percent of lifetime, and rapid cycle stress test surviving units may be reported until testing is complete. Manufacturers are required to maintain records of the development of all estimated values and any associated initial test data in accordance with § 429.71.

(3) Pursuant to § 429.12(b)(13), a certification report shall include the following additional product-specific information:

(i) For ceiling fan light kits with any other socket type manufactured prior to January 21, 2020, a declaration that the basic model meets the applicable design requirement, and the features that have been incorporated into the ceiling fan light kit to meet the applicable design requirement (*e.g.*, circuit breaker, fuse, ballast).

(ii) For ceiling fan light kits manufactured on or after January 21, 2020:

(A) A declaration that the ceiling fan light kit is packaged with lamps sufficient to fill all of the lamp sockets;

(B) For each basic model of lamp, each basic model of consumer-replaceable SSL, and/or each basic model of non-consumer-replaceable SSL packaged with the ceiling fan light kit, a declaration that, where applicable, the lamp basic model was tested by a laboratory accredited as required under § 430.25 of this chapter; and

(C) For ceiling fan light kits with pin-based sockets for fluorescent lamps, a declaration that each ballast for such lamps is an electronic ballast.

(c) *Rounding requirements.* (1) Any represented value of efficacy of ceiling fan light kits as described in paragraph (a) of this section must be expressed in lumens per watt and rounded to the nearest tenth of a lumen per watt.

(2) Round lumen output to three significant digits.

(3) Round lumen maintenance at 1,000 hours to the nearest tenth of a percent.

(4) Round lumen maintenance at 40 percent of lifetime to the nearest tenth of a percent.

(5) Round lifetime to the nearest whole hour.

[76 FR 12451, Mar. 7, 2011; 76 FR 24772, May 2, 2011, as amended at 80 FR 80225, Dec. 24, 2015; 81 FR 632, Jan. 6, 2016; 81 FR 43425, July 1, 2016; 84 FR 8413, Mar. 8, 2019; 87 FR 43978, July 22, 2022; 87 FR 54330, Sept. 6, 2022; 87 FR 53638, Aug. 31, 2022; 88 FR 21072, Apr. 10, 2023; 89 FR 82062, Oct. 9, 2024]

§ 429.34 Torchieres.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to torchieres; and

(2) Reserved

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to torchieres; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following additional product-specific information: A declaration that the basic model meets the applicable design requirement and the features that have been incorporated into the torchiere to meet the applicable design requirement (*e.g.*, circuit breaker, fuse, ballast).

§ 429.35 Compact fluorescent lamps.

(a) *Determination of Represented Value.* Manufacturers must determine represented values, which include the certified ratings, for each basic model of compact fluorescent lamp by testing, in conjunction with the following sampling provisions:

(1) *Units to be tested.* (i) The requirements of § 429.11(a) are applicable except that the sample must be comprised of production units; and

(ii)(A) For each basic model of integrated compact fluorescent lamp, the minimum number of units tested shall be no less than 10 units when testing for the initial lumen output, input power, initial lamp efficacy, lumen maintenance at 1,000 hours, lumen maintenance at 40 percent of lifetime, lifetime, CCT, CRI, power factor, and standby mode power. If more than 10 units are tested as part of the sample, the total number of units must be a multiple of 2. The same sample of units must be used as the basis for representations for initial lumen output, input power, initial lamp efficacy, lumen maintenance at 1,000 hours, lumen maintenance at 40 percent of lifetime, lifetime, CCT, CRI, power factor, and standby mode power. No less than three units from the same sample of units must be used when testing for the start time. Exactly six unique units (*i.e.*, units that have not previously been tested under this paragraph (a)(1)(ii) but are representative of the same basic model tested under this paragraph (a)(1)(ii)) must be used for rapid cycle stress testing.

(B) For each basic model of non-integrated compact fluorescent lamp, the minimum number of units tested shall be no less than 10 units when testing for the initial lumen output, input power, initial lamp efficacy, lumen maintenance at 40 percent of lifetime, lifetime, CCT, and CRI. If more than 10 units are tested as part of the sample, the total number of units must be a multiple of 2. The same sample of units must be used as the basis for representations for initial lumen output, input power, initial lamp efficacy, lumen maintenance at 40 percent of lifetime, lifetime, CCT, and CRI.

(iii) For each basic model, a sample of sufficient size shall be randomly selected and tested to ensure that:

(A) Represented values of initial lumen output, initial lamp efficacy, lumen maintenance at 1,000 hours, lumen maintenance at 40 percent of lifetime, CRI, power factor, or other measure of energy consumption of a basic model for which consumers would favor higher values must be less than or equal to the lower of:

(*1*) The mean of the sample,

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where:

$\bar{x}$ is the sample mean,
n is the number of units in the sample, and
x_i is the i^{th} unit;

Or,

(*2*) The lower 97.5-percent confidence limit (LCL) of the true mean divided by 0.95,

$$LCL = \bar{x} - t_{0.975}\left(\frac{s}{\sqrt{n}}\right)$$

Where:

$\bar{x}$ is the sample mean of the characteristic value;
s is the sample standard deviation;
n is the number of units in the sample, and
$t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from appendix A of this subpart).

(B) Represented values of input power, standby mode power, start time or other measure of energy consumption of a basic model for which consumers would favor lower values must be greater than or equal to the higher of:

(*1*) The mean of the sample,

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where:

$\bar{x}$ is the sample mean,
n is the number of units in the sample, and
x_i is the i^{th} unit;

Or,

(*2*) The upper 97.5-percent confidence limit (UCL) of the true mean divided by 1.05,

$$UCL = \bar{x} + t_{0.975}\left(\frac{s}{\sqrt{n}}\right)$$

Where:

$\bar{x}$ is the sample mean of the characteristic value;
s is the sample standard deviation;
n is the number of units in the sample, and
$t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from appendix A of this subpart).

(C) The represented value of CCT must be equal to the mean of the sample,

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where:

$\bar{x}$ is the sample mean,
n is the number of units in the sample, and
x_i is the i^{th} unit.

(D) The represented value of lifetime must be equal to or less than the median time to failure of the sample (calculated as the arithmetic mean of the time to failure of the two middle sample units when the numbers are sorted in value order).

(E) The represented value of the results of rapid cycle stress testing must be

(*1*) Expressed in the number of surviving units and

(*2*) Based on a lifetime value that is equal to or greater than the represented value of lifetime.

(2) The represented value of life (in years) of a compact fluorescent lamp must be calculated by dividing the represented lifetime of a compact fluorescent lamp as determined in (a)(1) of this section by the estimated annual operating hours as specified in 16 CFR 305.15(b)(3)(iii).

(3) The represented value of the estimated annual energy cost for a compact fluorescent lamp, expressed in dollars per year, must be the product of the input power in kilowatts, an electricity cost rate as specified in 16 CFR 305.15(b)(1)(ii), and an estimated average annual use as specified in 16 CFR 305.15(b)(1)(ii).

(4) For compliance with standards specified in § 430.32(u) as it appeared in 10 CFR parts 200–499 edition revised as of January 1, 2016, initial lamp efficacy may include a 3 percent tolerance added to the value determined in accordance with paragraph (a)(1)(iii)(A) of this section.

(5) The represented value of lumen maintenance at 40 percent of lifetime must be based on a lifetime value that is equal to or greater than the represented value of lifetime.

(6) Estimated values may be used for representations when initially testing a new basic model or when new/additional testing is required.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to compact fluorescent lamps; and

(2) Values reported in certification reports are represented values. Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information:

(i) For each basic model of medium base CFL when certifying compliance to the standards in § 430.32(u) as it appeared in 10 CFR parts 200–499 edition revised as of January 1, 2016, the testing laboratory's ILAC accreditation body's identification number or other approved identification assigned by the ILAC accreditation body, the date of first manufacture, the seasoning time in hours (h), the initial lumen output in lumens (lm), the input power in watts (W), the initial lamp efficacy in lumens per watt (lm/W), the number of sample units replaced during the seasoning period within each unique sample set used in determining the represented value, the lumen maintenance at 40 percent of lifetime in percent (%) (and whether value is estimated), the lifetime in hours (h) (and whether value is estimated), life in years (and whether value is estimated), the lumen maintenance at 1,000 hours in percent (%), and the results of rapid cycle stress testing in number of units passed. or the initial certification of new basic models or any subsequent certification based on new testing, estimates of lifetime, life, lumen maintenance at 40 percent of lifetime, and rapid cycle stress test surviving units may be reported (if indicated in the certification report) until testing is complete. When reporting estimated values, the certification report must specifically describe the prediction method, which must be generally representative of the methods specified in appendix W. Manufacturers are required to maintain records in accordance with § 429.71 of the development of

all estimated values and any associated initial test data.

(ii) For each basic model of integrated CFL when certifying compliance with general service lamp energy conservation standards, the testing laboratory's ILAC accreditation body's identification number or other identification assigned by the ILAC accreditation body, the date of first manufacture, a statement that the compact fluorescent lamp is integrated, the seasoning time in hours (h), the initial lumen output in lumens (lm), the input power in watts (W), the initial lamp efficacy in lumens per watt (lm/W), the CCT in kelvin (K), CRI, the lumen maintenance at 1,000 hours in percent (%), the lumen maintenance at 40 percent of lifetime in percent (%) (and whether value is estimated), start time in milliseconds, power factor, standby mode energy consumption in watts (W), the results of rapid cycle stress testing in number of units passed, the lifetime in hours (h) (and whether value is estimated), life in years (and whether value is estimated), and the number of sample units replaced during the seasoning period within the sample set used in determining the represented value. Estimates of lifetime, life, lumen maintenance at 40 percent of lifetime, and rapid cycle stress test surviving units may be reported (if indicated in the certification report) until testing is complete. When reporting estimated values, the certification report must specifically describe the prediction method, which must be generally representative of the methods specified in appendix W. Manufacturers are required to maintain records in accordance with § 429.71 of the development of all estimated values and any associated initial test data.

(iii) For each basic model of non-integrated CFL when certifying compliance with general service lamp energy conservation standards, the testing laboratory's ILAC accreditation body's identification number or other identification assigned by the ILAC accreditation body, the date of first manufacture, a statement that the compact fluorescent lamp is non-integrated, the initial lumen output in lumens (lm), the input power in watts (W), the initial lamp efficacy in lumens per watt (lm/W), the CCT in kelvin (K), CRI, the lumen maintenance at 40 percent of lifetime in percent (%) (and whether value is estimated), the lifetime in hours (h) (and whether value is estimated), and the number of sample units replaced during the seasoning period within each unique sample set used in determining the represented value. Estimates of lifetime and lumen maintenance at 40 percent of lifetime may be reported (if indicated in the certification report) until testing is complete. When reporting estimated values, the certification report must specifically describe the prediction method, which must be generally representative of the methods specified in appendix W. Manufacturers are required to maintain records in accordance with § 429.71 of the development of all estimated values and any associated initial test data.

(c) *Rounding requirements.* For represented values,

(1) Round input power to the nearest tenth of a watt.

(2) Round lumen output to three significant digits.

(3) Round initial lamp efficacy to the nearest tenth of a lumen per watt.

(4) Round lumen maintenance at 1,000 hours to the nearest tenth of a percent.

(5) Round lumen maintenance at 40 percent of lifetime to the nearest tenth of a percent.

(6) Round CRI to the nearest whole number.

(7) Round power factor to the nearest hundredths place.

(8) Round lifetime to the nearest whole hour.

(9) Round CCT to the nearest 100 kelvin (K).

(10) Round standby mode power to the nearest tenth of a watt; and

(11) Round start time to the nearest whole millisecond.

[81 FR 59415, Aug. 29, 2016]

§ 429.36 Dehumidifiers.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to dehumidifiers; and

(2) For each basic model of dehumidifier selected for testing, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of energy consumption or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.10, where:

$$UCL = \bar{x} + t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the energy factor, integrated energy factor, or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.90, where:

$$LCL = \bar{x} - t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(3) The capacity of a basic model is the mean of the measured capacities for each tested unit of the basic model. Round the mean capacity value to two decimal places.

(4) For whole-home dehumidifiers, the case volume of a basic model is the mean of the measured case volumes for each tested unit of the basic model. Round the mean case volume value to one decimal place.

(5) Round the value of energy factor or integrated energy factor for a basic model to two decimal places.

(6) Dehumidifiers distributed in commerce by the manufacturer with the ability to operate as both a portable and whole-home dehumidifier by means of installation or removal of an optional ducting kit, must be rated and certified under both configurations.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to dehumidifiers; and

(2) Pursuant to § 429.12(b)(13), a certification report must include the following public product-specific information:

(i) For dehumidifiers tested in accordance with appendix X1: The integrated energy factor in liters per kilowatt hour (liters/kWh), capacity in pints per day, and for whole-home dehumidifiers, case volume in cubic feet.

(ii) [Reserved]

[76 FR 12451, Mar. 7, 2011; 76 FR 24773, May 2, 2011, as amended at 77 FR 65977, Oct. 31, 2012; 80 FR 45824, July 31, 2015; 81 FR 38395, June 13, 2016; 89 FR 82062, Oct. 9, 2024]

§ 429.37 External power supplies.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to external power supplies; and

(2) For each basic model of external power supply selected for testing, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of the estimated energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The upper 97.5 percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the estimated energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The lower 97.5 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to external power supplies except that required information may be reported on the basis of a basic model or a design family. If certifying using a design family, for § 429.12(b)(6), report the individual manufacturer's model numbers covered by the design family.

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information:

(i) *External power supplies:* The average active mode efficiency as a percentage (%), no-load mode power consumption in watts (W), nameplate output power in watts (W), nameplate output voltage in volts (V), the effective wire gauge in American wire gauge (AWG) and length in feet (ft) of the recommended or included output cord, and, if missing from the nameplate, the output current in amperes (A) of the basic model or the output current in amperes (A) of the highest- and lowest-voltage models within the external power supply design family.

(ii) *Switch-selectable single-voltage external power supplies:* The average active mode efficiency as a percentage (%) value, no-load mode power consumption in watts (W) using the lowest and highest selectable output voltages, the lowest and highest selectable output voltages in volts (V), nameplate output power in watts (W), the effective wire gauge in American wire gauge (AWG) and length in feet (ft) of the recommended or included output cord, and, if missing from the nameplate, the output current in amperes (A).

(iii) *Adaptive single-voltage external power supplies:* The average active-mode efficiency as a percentage (%) at the highest and lowest nameplate output voltages, no-load mode power consumption in watts (W), nameplate output power in watts (W) at the lowest and highest nameplate output voltages, the lowest and highest nameplate output voltages in volts (V), the effective wire gauge in American wire gauge (AWG) and length in feet (ft) of the recommended or included output cord, and, if missing from the nameplate, the output current in amperes (A) at the highest and lowest nameplate output voltages.

(iv) *External power supplies that are exempt from no-load mode requirements under § 430.32(w)(5) of this chapter:* A statement that the product is designed to be connected to a security or life safety alarm or surveillance system component, the average active-mode efficiency as a percentage (%), the nameplate output power in watts (W), the nameplate output voltage in volts

(V), the effective wire gauge in American wire gauge (AWG) and length in feet (ft) of the recommended or included output cord, and, if missing from the nameplate, the certification report must also include the output current in amperes (A) of the basic model or the output current in amperes (A) of the highest- and lowest-voltage models within the external power supply design family.

(3) Pursuant to § 429.12(b)(13), a certification report for external power supplies that are exempt from the energy conservation standards at § 430.32(w)(1)(ii) of this chapter pursuant to § 430.32(w)(2) of this chapter must include the following additional information if, in aggregate, the total number of exempt EPSs sold as spare and service parts by the certifier exceeds 1,000 units across all models: The total number of units of exempt external power supplies sold during the most recent 12-calendar-month period ending on July 31, starting with the annual report due on September 1, 2017. The certification report must also include the exact timeframe (*e.g.*, from August 2016 to July 2017) of this most recent 12-calendar-month period.

(c) *Exempt external power supplies.* (1) For external power supplies that are exempt from energy conservation standards pursuant to § 430.32(w)(2) of this chapter and are not required to be certified pursuant to § 429.12(a) as compliant with an applicable standard, the importer or domestic manufacturer must, no later than September 1, 2017, and annually by each September 1st thereafter, submit a report providing the following information if, in aggregate, the total number of exempt EPSs sold as spare and service parts by the importer or manufacturer exceeds 1,000 units across all models:

(i) The importer or domestic manufacturer's name and address;

(ii) The brand name;

(iii) The number of units sold during the most recent 12-calendar-month period ending on July 31; and

(iv) The exact timeframe (*e.g.*, from August 2016 to July 2017) of this most recent 12-calendar-month period.

(2) The report must be submitted to DOE in accordance with the submission procedures set forth in § 429.12(h).

[76 FR 12451, Mar. 7, 2011; 76 FR 24773, May 2, 2011, as amended at 76 FR 57899, Sept. 19, 2011; 80 FR 51440, Aug. 25, 2015; 81 FR 30163, May 16, 2016; 84 FR 442, Jan. 29, 2019; 89 FR 82062, Oct. 9, 2024]

§ 429.38 Non-class A external power supplies. [Reserved]

§ 429.39 Battery chargers.

(a) *Determination of represented value.* Manufacturers must determine represented values, which include certified ratings, for each basic model of battery charger in accordance with the following sampling provisions.

(1) *Represented values* include:

(i) For all battery chargers other than uninterruptible power supplies (UPSs) tested under appendix Y to subpart B of part 430 of this chapter: The unit energy consumption (UEC) in kilowatt-hours per year (kWh/yr), battery discharge energy (E_{batt}) in watt hours (Wh), 24-hour energy consumption (E_{24}) in watt hours (Wh), maintenance mode power (P_m) in watts (W), standby mode power (P_{sb}) in watts (W), off mode power (P_{off}) in watts (W), and duration of the charge and maintenance mode test (t_{cd}) in hours (hrs);

(ii) For all wired and fixed-location wireless battery chargers other than uninterruptible power supplies (UPSs) tested under appendix Y1 to subpart B of part 430 of this chapter: Battery discharge energy (E_{batt}) in watt hours (Wh), active charge energy (E_a) in watt hours (Wh), maintenance mode power (P_m) in watts (W), no-battery mode power (P_{nb}) in watts (W), standby mode power (P_{sb}) in watts (W), off mode power (P_{off}) in watts (W), and duration of the charge and maintenance mode test (t_{cd}) in hours (hrs);

(iii) For all open-placement wireless battery chargers other than uninterruptible power supplies (UPSs) tested under appendix Y1 to subpart B of part 430 of this chapter: no-battery mode power (P_{nb}) in watts (W);

(iv) For UPSs: average load adjusted efficiency (Eff_{avg}).

(2) *Units to be tested.* (i) The general requirements of § 429.11 are applicable to all battery chargers; and

(ii) For each basic model of battery chargers other than UPSs tested under appendix Y to subpart B of part 430 of this chapter, a sample of sufficient size must be randomly selected and tested to ensure that the represented value of UEC is greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the UEC of the ith sample; or,

(B) The upper 97.5-percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{0.975}\left(\frac{s}{\sqrt{n}}\right)$$

and $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t-statistic for a 97.5-percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A of this subpart).

(iii) For each basic model of battery chargers other than UPSs tested under appendix Y to subpart B of part 430 of this chapter, using the sample from paragraph (a)(2)(ii) of this section, calculate the represented values of each metric (*i.e.*, maintenance mode power (P_m), standby power (P_{sb}), off mode power (P_{off}), battery discharge energy (E_{batt}), 24-hour energy consumption (E_{24}), and duration of the charge and maintenance mode test (t_{cd})), where the represented value of the metric is:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean, n is the number of samples, and x_i is the measured value of the ith sample for the metric.

(iv) For each basic model of UPSs, the represented value of Eff_{avg} must be calculated using one of the following two methods:

(A) A sample of sufficient size must be randomly selected and tested to ensure that the represented value of Eff_{avg} is less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the Eff_{avg} of the ith sample; or,

(*2*) The lower 97.5-percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{0.975}\left(\frac{s}{\sqrt{n}}\right)$$

and $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t-statistic for a 97.5-percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A of this subpart).

(B) The represented value of Eff_{avg} is equal to the Eff_{avg} of the single unit tested.

(v) For each basic model of battery chargers other than UPSs tested under appendix Y1 to subpart B of part 430 of this chapter, a sample of sufficient size must be randomly selected and tested to ensure that the represented value of E_a for all wired and fixed-location wireless chargers (or the represented value of P_{nb} for all open-placement wireless chargers) is greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the E_a (or $P_{nb,}$ when applicable) of the ith sample; or,

(B) The upper 97.5-percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{0.975}\left(\frac{s}{\sqrt{n}}\right)$$

and, $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the Student's t-Distribution Values for a 97.5-percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A to this subpart).

(vi) For each basic model of battery chargers other than UPSs tested under appendix Y1 to subpart B of part 430 of this chapter, using the sample from paragraph (a)(2)(v) of this section, calculate the applicable represented values of each metric (*i.e.*, maintenance mode power (P_m), no-battery mode power (P_{nb}), standby power (P_{sb}), off mode power (P_{off}), battery discharge energy (E_{batt}), and duration of the charge and maintenance mode test (t_{cd})), where the represented value of the metric is:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the measured value of the ith sample for the metric.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to all battery chargers.

(2) Pursuant to § 429.12(b)(13), when tested under appendix Y to subpart B of part 430 of this chapter, a certification report must include the following product-specific information for all battery chargers other than UPSs: The nameplate battery voltage of the test battery in volts (V), the nameplate battery charge capacity of the test battery in ampere-hours (Ah), and the nameplate battery energy capacity of the test battery in watt-hours (Wh). A certification report must also include the represented values, as determined in paragraph (a) of this section for the maintenance mode power (P_m), standby mode power (P_{sb}), off mode power (P_{off}), battery discharge energy (E_{batt}), 24-hour energy consumption (E_{24}), duration of the charge and maintenance mode test (t_{cd}), and unit energy consumption (UEC).

(3) Pursuant to § 429.12(b)(13), when tested under appendix Y to subpart B of part 430 of this chapter, a certification report must include the following product-specific information for all battery chargers other than UPSs: The manufacturer and model of the test battery, and the manufacturer and model, when applicable, of the external power supply.

(4) Pursuant to § 429.12(b)(13), a certification report must include the following product-specific information for all UPSs: Supported input dependency mode(s); active power in watts (W); apparent power in volt-amperes (VA); rated input and output voltages in volts (V); efficiencies at 25 percent, 50 percent, 75 percent and 100 percent of the reference test load; and average load adjusted efficiency of the lowest and highest input dependency modes.

(5) Pursuant to § 429.12(b)(13), when tested under appendix Y1 to subpart B of part 430 of this chapter, a certification report must include the following product-specific information for all wired and fixed-location wireless battery chargers other than UPSs: The manufacturer and model of the test battery, the manufacturer and model, when applicable, of the external power supply, the nameplate battery voltage of the test battery in volts (V), the nameplate battery charge capacity of the test battery in ampere-hours (Ah), and the nameplate battery energy capacity of the test battery in watt-hours (Wh). A certification report must also include the represented values, as determined in paragraph (a) of this section for the maintenance mode power (P_m), no-battery mode power (P_{nb}), standby mode power (P_{sb}), off mode power (P_{off}), battery discharge energy (E_{batt}), 24-hour energy consumption (E_{24}), active charge energy (E_a), and duration of the charge and maintenance mode test (t_{cd}).

(6) Pursuant to § 429.12(b)(13), when tested under appendix Y1 to subpart B of part 430 of this chapter, a certification report must include the following product-specific information for all open-placement wireless battery chargers other than UPSs: The manufacturer and model, when applicable, of the external power supply. A certification report must also include the represented values, as determined in paragraph (a) of this section for the no-battery mode power (P_{nb}).

[81 FR 89821, Dec. 12, 2016, as amended at 89 FR 82063, Oct. 9, 2024]

§ 429.40 Candelabra base incandescent lamps and intermediate base incandescent lamps.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to candelabra base incandescent lamps; and

(2) For each basic model of candelabra base incandescent lamp and intermediate base incandescent lamp, a minimum sample of 21 lamps shall be randomly selected and tested. Any represented value of lamp wattage of a basic model shall be based on the sample and shall be less than or equal to the lower of:

(i) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(ii) The lower 97.5 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A of this part).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to candelabra base and intermediate base incandescent lamps; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information:

(i) Candelabra base incandescent lamp: The rated wattage in watts (W).

(ii) Intermediate base incandescent lamp: The rated wattage in watts (W).

[76 FR 12451, Mar. 7, 2011; 76 FR 24774, May 2, 2011]

§ 429.41 Commercial warm air furnaces.

(a) *Determination of represented value.* Manufacturers must determine the represented value, which includes the certified rating, for each basic model of commercial warm air furnace either by testing, in conjunction with the applicable sampling provisions, or by applying an AEDM.

(1) *Units to be tested.* (i) If the represented value is determined through testing, the general requirements of § 429.11 are applicable; and

(ii) For each basic model selected for testing, a sample of sufficient size shall be randomly selected and tested to ensure that—

(A) Any represented value of energy consumption or other measure of energy use of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; Or,

$$UCL = \bar{x} + t_{0.95}(\frac{s}{\sqrt{n}})$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n − 1 degrees of freedom (from Appendix A to subpart B of part 429). And,

(*2*) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.05, where:

(B) Any represented value of energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; Or,

(*2*) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{0.95}(\frac{s}{\sqrt{n}})$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n − 1 degrees of freedom (from Appendix A to subpart B of part 429).

(2) *Alternative efficiency determination methods.* In lieu of testing, a represented value of efficiency or consumption for a basic model of commercial warm air furnace must be determined through the application of an AEDM pursuant to the requirements of § 429.70 and the provisions of this section, where:

(i) Any represented value of energy consumption or other measure of energy use of a basic model for which consumers would favor lower values shall be greater than or equal to the output of the AEDM and less than or equal to the Federal standard for that basic model; and

(ii) Any represented value of energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the output of the AEDM and greater than or equal to the Federal standard for that basic model.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to commercial warm air furnaces; and

(2) Pursuant to § 429.12(b)(13), a certification report must include the following public, equipment-specific information: The thermal efficiency in percent (%), and the maximum rated input capacity in British thermal units per hour (Btu/h).

(3) Pursuant to § 429.12(b)(13), a certification report must include the following additional equipment-specific information:

(i) Whether the basic model is engineered-to-order; and

(ii) For any basic model rated with an AEDM, whether the manufacturer elects the witness test option for verification testing. (See § 429.70(c)(5)(iii) for options). However, the manufacturer may not select more than 10% of AEDM-rated basic models.

(4) Pursuant to § 429.12(b)(13), a certification report may include supplemental testing instructions in PDF format. If necessary to run a valid test, the equipment-specific, supplemental information must include any additional testing and testing set up instructions (*e.g.*, specific operational or control codes or settings), which would be necessary to operate the basic model under the required conditions specified by the relevant test procedure. A manufacturer may also include with a certification report other supplementary items in PDF format (*e.g.*, manuals) for DOE consideration in performing testing under subpart C of this part.

[79 FR 25500, May 5, 2014, as amended at 80 FR 151, Jan. 5, 2015]

§ 429.42 Commercial refrigerators, freezers, and refrigerator-freezers.

(a) *Determination of represented value.* Manufacturers must determine the represented value, which includes the certified rating, for each basic model of commercial refrigerator, freezer, or refrigerator-freezer either by testing, in conjunction with the applicable sampling provisions, or by applying an AEDM.

(1) *Units to be tested.* (i) If the represented value for a given basic model is determined through testing, the general requirements of § 429.11 are applicable; and

(ii) For each basic model selected for testing, a sample of sufficient size shall be randomly selected and tested to ensure that—

(A) Any represented value of energy consumption or other measure of energy use of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; or,

(*2*) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.10, where:

$$UCL = \bar{x} + t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A to subpart B of part 429); And,

(B) Any represented value of the energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; or,

(2) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.90, where:

$$LCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A to subpart B of part 429).

(2) *Alternative efficiency determination methods.* In lieu of testing, a represented value of efficiency or consumption for a basic model of commercial refrigerator, freezer or refrigerator-freezer must be determined through the application of an AEDM pursuant to the requirements of § 429.70 and the provisions of this section, where:

(i) Any represented value of energy consumption or other measure of energy use of a basic model for which consumers would favor lower values shall be greater than or equal to the output of the AEDM and less than or equal to the Federal standard for that basic model; and

(ii) Any represented value of energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the output of the AEDM and greater than or equal to the Federal standard for that basic model.

(3) *Represented value calculations.* The volume and total display area (TDA) of a basic model, as applicable, is the mean of the measured volumes and the mean of the measured TDAs, as applicable, for the tested units of the basic model, based on the same tests used to determine energy consumption.

(4) *Convertible equipment.* Each basic model of commercial refrigerator, freezer, or refrigerator-freezer that is capable of operating at integrated average temperatures that spans the operating temperature range of multiple equipment classes, either by adjusting a thermostat for a basic model or by the marketed, designed, or intended operation for a basic model with a remote condensing unit but without a thermostat, must determine the represented values, which includes the certified ratings, either by testing, in conjunction with the applicable sampling provisions, or by applying an AEDM to comply with the requirements necessary to certify to each equipment class that the basic model is capable of operating within.

(i) *Customer order storage cabinets.* For customer order storage cabinets that have individual-secured compartments that are convertible between the ≥32 °F and <32 °F operating temperatures, the customer order storage cabinets must determine the represented values, which includes the certified ratings, either by testing, in conjunction with the applicable sampling provisions, or by applying an AEDM, with all convertible compartments operating either as medium temperature refrigerators or all convertible compartments as low-temperature freezers, or at the lowest application product temperature for each equipment class as specified in § 431.64 of this chapter, to comply with the requirements necessary to certify to each equipment class that the basic model is capable of operating within.

(ii) [Reserved]

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to commercial refrigerators, freezers, and refrigerator-freezers; and

(2) Pursuant to § 429.12(b)(13), a certification report must include the following public, equipment-specific information:

(i) The daily energy consumption in kilowatt hours per day (kWh/day);

(ii) The rating temperature (e.g. lowest product application temperature, if applicable) in degrees Fahrenheit (°F); and

(iii) The chilled or frozen compartment volume in cubic feet (ft^3), the adjusted volume in cubic feet (ft^3), or the total display area (TDA) in feet squared (ft^2) (as appropriate for the equipment class).

(3) Pursuant to § 429.12(b)(13), a certification report must include the following additional, equipment-specific information:

(i) Whether the basic model is engineered-to-order; and

(ii) For any basic model rated with an AEDM, whether the manufacturer elects the witness test option for verification testing. (See § 429.70(c)(5)(iii) for options). However, the manufacturer may not select more than 10% of AEDM-rated basic models.

(4) Pursuant to § 429.12(b)(13), a certification report must include supplemental information submitted in PDF format. The equipment-specific, supplemental information must include any additional testing and testing set up instructions (*e.g.*, charging instructions) for the basic model; identification of all special features that were included in rating the basic model; and all other information (*e.g.*, any specific settings or controls) necessary to operate the basic model under the required conditions specified by the relevant test procedure. A manufacturer may also include with a certification report other supplementary items in PDF format (*e.g.*, manuals) for DOE to consider when performing testing under subpart C of this part.

[76 FR 12451, Mar. 7, 2011; 76 FR 24775, May 2, 2011, as amended at 76 FR 38292, June 30, 2011; 78 FR 79593, Dec. 31, 2013; 79 FR 22307, Apr. 21, 2014; 79 FR 25501, May 5, 2014; 80 FR 151, Jan. 5, 2015; 88 FR 66221, Sept. 26, 2023]

§ 429.43 Commercial heating, ventilating, air conditioning (HVAC) equipment.

(a) Determination of represented values. Manufacturers must determine the represented values, which include the certified ratings, for each basic model of commercial HVAC equipment either by testing, in conjunction with the applicable sampling provisions, or by applying an AEDM.

(1) *Units to be tested.* (i) If the represented value is determined through testing, the general requirements of § 429.11 are applicable; and

(ii) For each basic model selected for testing, a sample of sufficient size shall be randomly selected and tested to ensure that—

(A) Any represented value of energy consumption or other measure of energy use of a basic model, or of a tested combination for variable refrigerant flow multi-split air conditioners and heat pumps certified to standards in terms of IEER as provided at paragraph (a)(3)(ii)(C) of this section, for which consumers would favor lower values shall be greater than or equal to the higher of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; or,

(*2*) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A to subpart B of part 429). And,

(B) Any represented value of energy efficiency or other measure of energy consumption of a basic model, or of a tested combination for variable refrigerant flow multi-split air conditioners and heat pumps certified to standards in terms of IEER as provided at paragraph (a)(3)(ii)(C) of this section, for which consumers would favor higher values shall be less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; or,

(*2*) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A to subpart B of part 429).

(iii) For packaged terminal air conditioners and packaged terminal heat pumps, the represented value of cooling capacity shall be the average of the capacities measured for the sample selected as described in (a)(1)(ii) of this section, rounded to the nearest 100 Btu/h.

(2) *Alternative efficiency determination methods.* (i) In lieu of testing, a represented value of efficiency or consumption for a basic model of commercial HVAC equipment must be determined through the application of an AEDM pursuant to the requirements of § 429.70 and the provisions of this section, where:

(A) Any represented value of energy consumption or other measure of energy use of a basic model for which consumers would favor lower values shall be greater than or equal to the output of the AEDM and less than or equal to the Federal standard for that basic model; and

(B) Any represented value of energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the output of the AEDM and greater than or equal to the Federal standard for that basic model.

(ii) [Reserved]

(3) *Product-specific provisions for determination of represented values.* (i) Direct-expansion-dedicated outdoor air systems (DX–DOASes):

(A) Individual model selection:

(*1*) Representations for a basic model must be based on the least efficient individual model(s) distributed in commerce among all otherwise comparable model groups comprising the basic model, considering only individual models as provided in paragraph

(a)(3)(i)(A)(*2*) of this section. For the purpose of this paragraph (a)(3), an ''otherwise comparable model group'' means a group of individual models distributed in commerce within the basic model that do not differ in components that affect energy consumption as measured according to the applicable test procedure specified at 10 CFR 431.96 other than those listed in table 1 to paragraph (a)(3)(i)(A) of this section. An otherwise comparable model group may include individual models distributed in commerce with any combination of the components listed in table 1 (or none of the components listed in table 1). An otherwise comparable model group may consist of only one individual model.

(*2*) For a basic model that includes individual models distributed in commerce with components listed in table 1 to paragraph (a)(3)(i)(A) of this section, the requirements for determining representations apply only to the individual model(s) of a specific otherwise comparable model group distributed in commerce with the least number (which could be zero) of components listed in table 1 included in individual models of the group. Testing under this paragraph shall be consistent with any component-specific test provisions specified in section 2.2.2 of appendix B to subpart F of part 431.

TABLE 1 TO PARAGRAPH (a)(3)(i)(A)

Component	Description
Furnaces and Steam/Hydronic Heat Coils	Furnaces and steam/hydronic heat coils used to provide primary or supplementary heating.
Ducted Condenser Fans	A condenser fan/motor assembly designed for optional external ducting of condenser air that provides greater pressure rise and has a higher rated motor horsepower than the condenser fan provided as a standard component with the equipment.
Sound Traps/Sound Attenuators	An assembly of structures through which the supply air passes before leaving the equipment or through which the return air from the building passes immediately after entering the equipment, for which the sound insertion loss is at least 6 dB for the 125 Hz octave band frequency range.
VERS Preheat	Electric resistance, hydronic, or steam heating coils used for preheating outdoor air entering a VERS.

(B) When certifying, the following provisions apply.

(*1*) For ratings based on tested samples, the represented value of moisture removal capacity shall be between 95 and 100 percent of the mean of the moisture removal capacities measured for the units in the sample selected, as described in paragraph (a)(1)(ii) of this section, rounded to the nearest lb/hr multiple specified in table 2 to paragraph (a)(3)(i)(B) of this section.

(*2*) For ratings based on an AEDM, the represented value of moisture removal capacity shall be the moisture removal capacity output simulated by the AEDM, as described in paragraph (a)(2) of this section, rounded to the nearest lb/hr multiple specified in table 2 to paragraph (a)(3)(i)(B) of this section.

TABLE 2 PARAGRAPH (a)(3)(i)(B)—ROUNDING REQUIREMENTS FOR RATED MOISTURE REMOVAL CAPACITY

Moisture removal capacity (MRC), lb/hr	Rounding multiples, lb/hr
0 < MRC ≤ 30	0.2
30 < MRC ≤ 60	0.5
60 < MRC ≤ 180	1
180 < MRC	2

(ii) *Variable refrigerant flow multi-split air conditioners and heat pumps (other than air-cooled with cooling capacity less than 65,000 btu/h).* When certifying to standards in terms of IEER, the following provisions apply.

(A) *Outdoor Unit Model Selection.* All representations for basic models of VRF multi-split systems must be based on the least-efficient outdoor unit model(s) distributed in commerce within the basic model.

(B) *Indoor Unit Model Selection.* A manufacturer must determine represented values for basic models of

VRF multi-split systems based on the following provisions regarding selection of indoor units:

(*1*) The combination of indoor unit models shall be selected per the certified tested combination in the STI, subject to the provisions in paragraph (a)(3)(ii)(B)(*2*) of this section.

(*2*) For each indoor unit model identified in the tested combination for which the model number certified in the STI does not fully specify the presence or absence of all components, a fully-specified indoor unit model shall be selected that meets the following qualifications:

(*i*) Is distributed in commerce; and

(*ii*) Has a model number consistent with the certified indoor unit model number (*i.e.*, shares all digits of the model number that are specified in the certified indoor unit model number); and

(*iii*) Among the group of all indoor models meeting the criteria from paragraphs (a)(3)(ii)(B)(*2*)(*i*) and (*ii*) of this section, has the least number (which could be zero) of components listed in Table 2 to paragraph (a)(3)(ii)(B)(*2*) of this section.

TABLE 3 TO PARAGRAPH (a)(3)(ii)(B)(*2*)—SPECIFIC COMPONENTS FOR VARIABLE REFRIGERANT FLOW MULTI-SPLIT SYSTEMS

Component	Description
Air economizers	An automatic system that enables a cooling system to supply and use outdoor air to reduce or eliminate the need for mechanical cooling during mild or cold weather.
Dehumidification Components.	An assembly that reduced the moisture content of the supply air through moisture transfer with solid or liquid desiccants.

(C) *Represented Values for Different Indoor Unit Combinations.* (*1*) If a basic model includes only one type of indoor unit combination (*i.e.*, ducted, non-ducted, or SDHV), a manufacturer must determine the represented values for the basic model in accordance with the sampling plan set forth in § 429.11 and paragraph (a)(1) of this section if the represented values are determined through testing, or in accordance with the provisions for applying an AEDM set forth in paragraph (a)(2) of this section and § 429.70. Indoor unit models must be selected in accordance with paragraph (a)(3)(ii)(B) of this section.

(*2*) If a basic model includes more than one type of indoor unit combination (*i.e.*, ducted, non-ducted, and/or SDHV):

(*i*) A manufacturer must determine separate represented values for each type of indoor unit combination. If the represented values are determined through testing, a manufacturer must test, at a minimum, a single tested combination that represents each type of indoor unit combination included in that basic model. A manufacturer may alternatively determine separate represented values through application of an AEDM as set forth in paragraph (a)(2) of this section and § 429.70. Indoor unit models within the indoor unit combination must be selected in accordance with paragraph (a)(3)(ii)(B) of this section.

(*ii*) A manufacturer may also determine optional ''mixed'' representations by calculating the mean value across any two required representations described in the paragraph (a)(3)(ii)(C)(*2*)(*i*) of this section (*i.e.*, a representation for ''mixed ducted/non-ducted'' would be determined by averaging the ducted representation and the non-ducted representation; a representation for ''mixed ducted/SDHV'' would be determined by averaging the ducted representation and the SDHV representation, and a representation for ''mixed non-ducted/SDHV'' would be determined by averaging the non-ducted representation and the SDHV representation).

(iii) *Single package vertical units.* When certifying to standards in terms of IEER, the following provisions apply.

(A) For individual model selection:

(*1*) Representations for a basic model must be based on the least efficient individual model(s) distributed in commerce among all otherwise comparable model groups comprising the basic model, except as provided in paragraph

(a)(3)(iii)(A)(*2*) of this section for individual models that include components listed in table 4 to this paragraph (a)(3)(iii)(A). For the purpose of this paragraph (a)(3)(iii)(A)(*1*), ''otherwise comparable model group'' means a group of individual models distributed in commerce within the basic model that do not differ in components that affect energy consumption as measured according to the applicable test procedure specified at 10 CFR 431.96 other than those listed in table 4 to this paragraph (a)(3)(iii)(A). An otherwise comparable model group may include individual models distributed in commerce with any combination of the components listed in table 4 (or none of the components listed in table 4). An otherwise comparable model group may consist of only one individual model.

(*2*) For a basic model that includes individual models distributed in commerce with components listed in table 4 to this paragraph (a)(3)(iii)(A), the requirements for determining representations apply only to the individual model(s) of a specific otherwise comparable model group distributed in commerce with the least number (which could be zero) of components listed in table 4 included in individual models of the group. Testing under this paragraph (a)(3)(iii)(A)(*2*) shall be consistent with any component-specific test provisions specified in section 4 of appendix G1 to subpart F of 10 CFR part 431.

TABLE 4 TO PARAGRAPH (a)(3)(iii)(A)—SPECIFIC COMPONENTS FOR SINGLE PACKAGE VERTICAL UNITS

Component	Description
Desiccant Dehumidification Components.	An assembly that reduces the moisture content of the supply air through moisture transfer with solid or liquid desiccants.
Air Economizers	An automatic system that enables a cooling system to supply outdoor air to reduce or eliminate the need for mechanical cooling during mid or cold weather.
Ventilation Energy Recovery System (VERS).	An assembly that preconditions outdoor air entering the equipment through direct or indirect thermal and/or moisture exchange with the exhaust air, which is defined as the building air being exhausted to the outside from the equipment.
Steam/Hydronic Heat Coils	Coils used to provide supplemental heating.
Hot Gas Reheat	A heat exchanger located downstream of the indoor coil that heats the Supply Air during cooling operation using high pressure refrigerant in order to increase the ratio of moisture removal to Cooling Capacity provided by the equipment.
Fire/Smoke/Isolation Dampers	A damper assembly including means to open and close the damper mounted at the supply or return duct opening of the equipment.
Powered Exhaust/Powered Return Air Fans.	A powered exhaust fan is a fan that transfers directly to the outside a portion of the building air that is returning to the unit, rather than allowing it to recirculate to the indoor coil and back to the building. A powered return fan is a fan that draws building air into the equipment.
Sound Traps/Sound Attenuators.	An assembly of structures through which the supply air passes before leaving the equipment or through which the return air from the building passes immediately after entering the equipment for which the sound insertion loss is at least 6 dB for the 125 Hz octave band frequency range.
Hot Gas Bypass	A method to adjust the cooling delivered by the equipment in which some portion of the hot high-pressure refrigerant from the discharge of the compressor(s) is diverted from its normal flow to the outdoor coil and is instead allowed to enter the indoor coil to modulate the capacity of a refrigeration circuit or to prevent evaporator coil freezing.

(B) The represented value of cooling capacity must be between 95 percent and 100 percent of the mean of the capacities measured for the units in the sample selected as described in paragraph (a)(1)(ii) of this section, or between 95 percent and 100 percent of the net sensible cooling capacity output simulated by the alternative energy-efficiency determination method (AEDM) as described in paragraph (a)(2) of this section.

(C) Represented values must be based on performance (either through testing or by applying an AEDM) of individual models with components and features that are selected in accordance with section 4 of appendix G1 to subpart F of 10 CFR part 431.

(iv) *Computer room air conditioners.* When certifying to standards in terms of net sensible coefficient of performance (NSenCOP), the following provisions apply.

(A) For individual model selection:

(*1*) Representations for a basic model must be based on the least-efficient individual model(s) distributed in commerce among all otherwise comparable model groups comprising the basic model, except as provided in paragraph (a)(3)(iv)(A)(*2*) of this section for individual models that include components listed in table 5 to paragraph (a)(3)(iv)(A) of this section. For the purpose of this paragraph (a)(3)(iv)(A)(*1*), *otherwise comparable model group* means a group of individual models distributed in commerce within the basic model that do not differ in components that affect energy consumption as measured according to the applicable test procedure specified at 10 CFR 431.96 other than those listed in table 5 to paragraph (a)(3)(iv)(A) of this section. An otherwise comparable model group may include individual models distributed in commerce with any combination of the components listed in table 5 (or none of the components listed in table 5). An otherwise comparable model group may consist of only one individual model.

(*2*) For a basic model that includes individual models distributed in commerce, with components listed in table 5 to paragraph (a)(3)(iv)(A) of this section, the requirements for determining representations apply only to the individual model(s) of a specific otherwise comparable model group distributed in commerce with the least number (which could be zero) of components listed in table 5 to paragraph (a)(3)(iv)(A) included in individual models of the group. Testing under this paragraph (a)(3)(iv)(A)(*2*) shall be consistent with any component-specific test provisions specified in section 4 of appendix E1 to subpart F of 10 CFR part 431.

TABLE 5 TO PARAGRAPH (a)(3)(iv)(A)—SPECIFIC COMPONENTS FOR COMPUTER ROOM AIR CONDITIONERS

Component	Description
Air Economizers	An automatic system that enables a cooling system to supply and use outdoor air to reduce or eliminate the need for mechanical cooling during mild or cold weather.
Process Heat Recovery/Reclaim Coils/ Thermal Storage.	A heat exchanger located inside the unit that conditions the equipment's supply air using energy transferred from an external source using a vapor, gas, or liquid.
Evaporative Pre-cooling of Air-cooled Condenser Intake Air.	Water is evaporated into the air entering the air-cooled condenser to lower the dry-bulb temperature and thereby increase efficiency of the refrigeration cycle.
Steam/Hydronic Heat Coils	Coils used to provide supplemental heat.
Refrigerant Reheat Coils	A heat exchanger located downstream of the indoor coil that heats the supply air during cooling operation using high pressure refrigerant in order to increase the ratio of moisture removal to cooling capacity provided by the equipment.
Powered Exhaust/Powered Return Air Fans.	A powered exhaust fan is a fan that transfers directly to the outside a portion of the building air that is returning to the unit, rather than allowing it to recirculate to the indoor coil and back to the building. A powered return air fan is a fan that draws building air into the equipment.
Compressor Variable Frequency Drive (VFD).	A device connected electrically between the equipment's power supply connection and the compressor that can vary the frequency of power supplied to the compressor in order to allow variation of the compressor's rotational speed. If the manufacturer chooses to make representations for performance at part-load and/or low-ambient conditions, compressor VFDs must be treated consistently for all cooling capacity tests for the basic model (*i.e.,* if the compressor VFD is installed and active for the part-load and/or low-ambient tests, it must also be installed and active for the NSenCOP test).
Fire/Smoke/Isolation Dampers	A damper assembly including means to open and close the damper mounted at the supply or return duct opening of the equipment.
Non-Standard Indoor Fan Motors	The standard indoor fan motor is the motor specified in the manufacturer's installation instructions for testing and shall be distributed in commerce as part of a particular model. A non-standard motor is an indoor fan motor that is not the standard indoor fan motor and that is distributed in commerce as part of an individual model within the same basic model. For a non-standard indoor fan motor(s) to be considered a specific component for a basic model (and thus subject to the provisions of paragraph (a)(3)(iv)(A) of this section), the following provisions must be met: 1. Non-standard indoor fan motor(s) must meet the minimum allowable efficiency determined per section D.2.1 of AHRI 1360–2022 (incorporated by reference, see § 429.4) (*i.e.,* for non-standard indoor fan motors) or per section D.2.2 of AHRI 1360–2022 for non-standard indoor integrated fan and motor combinations).

TABLE 5 TO PARAGRAPH (a)(3)(iv)(A)—SPECIFIC COMPONENTS FOR COMPUTER ROOM AIR CONDITIONERS—Continued

Component	Description
	If the standard indoor fan motor can vary fan speed through control system adjustment of motor speed, all non-standard indoor fan motors must also allow speed control (including with the use of VFD).
Humidifiers	A device placed in the supply air stream for moisture evaporation and distribution. The device may require building steam or water, hot water, electricity, or gas to operate.
Flooded Condenser Head Pressure Controls.	An assembly, including a receiver and head pressure control valve, used to allow for unit operation at lower outdoor ambient temperatures than the standard operating control system.
Chilled Water Dual Cooling Coils	A secondary chilled water coil added in the indoor air stream for use as the primary or secondary cooling circuit in conjunction with a separate chiller.
Condensate Pump	A device used to pump condensate and/or humidifier drain water from inside the unit to a customer drain outside the unit.

(B) The represented value of net sensible cooling capacity must be between 95 percent and 100 percent of the mean of the capacities measured for the units in the sample selected as described in paragraph (a)(1)(ii) of this section, or between 95 percent and 100 percent of the net sensible cooling capacity output simulated by the AEDM as described in paragraph (a)(2) of this section.

(v) Water-Source Heat Pumps. When certifying to standards in terms of IEER and ACOP, the following provisions apply.

(A) Individual model selection:

(1) Representations for a basic model must be based on the least efficient individual model(s) distributed in commerce among all otherwise comparable model groups comprising the basic model, except as provided in paragraph (a)(3)(v)(A)(*2*) of this section for individual models that include components listed in table 6 to paragraph (a)(3)(v)(A) of this section. For the purpose of this paragraph (a)(3)(v)(A)(*1*), ''otherwise comparable model group'' means a group of individual models distributed in commerce within the basic model that do not differ in components that affect energy consumption as measured according to the applicable test procedure specified at 10 CFR 431.96 other than those listed in table 6 to paragraph (a)(3)(v)(A) of this section. An otherwise comparable model group may include individual models distributed in commerce with any combination of the components listed in table 6 (or none of the components listed in table 6) to paragraph (a)(3)(v)(A) of this section. An otherwise comparable model group may consist of only one individual model.

(2) For a basic model that includes individual models distributed in commerce with components listed in table 6 to paragraph (a)(3)(v)(A) of this section, the requirements for determining representations apply only to the individual model(s) of a specific otherwise comparable model group distributed in commerce with the least number (which could be zero) of components listed in table 6 to paragraph (a)(3)(v)(A) of this section included in individual models of the group. Testing under this paragraph shall be consistent with any component-specific test provisions specified in section 3 of appendix C1 to subpart F of 10 CFR part 431.

TABLE 6 TO PARAGRAPH (a)(3)(v)(A)—SPECIFIC COMPONENTS FOR WATER SOURCE HEAT PUMPS

Component	Description
Air Economizers	An automatic system that enables a cooling system to supply outdoor air to reduce or eliminate the need for mechanical cooling during mild or cold weather.
Condenser Pumps/Valves/Fittings.	Additional components in the water circuit for water control or filtering.
Condenser Water Reheat	A heat exchanger located downstream of the indoor coil that heats the supply air during cooling operation using water from the condenser coil in order to increase the ratio of moisture removal to cooling capacity provided by the equipment.

TABLE 6 TO PARAGRAPH (a)(3)(v)(A)—SPECIFIC COMPONENTS FOR WATER SOURCE HEAT PUMPS—Continued

Component	Description
Desiccant Dehumidification Components.	An assembly that reduces the moisture content of the supply air through moisture transfer with solid or liquid desiccants.
Desuperheater	A heat exchanger located downstream of the compressor on the high-pressure vapor line that moves heat to an external source, such as potable water.
Fire/Smoke/Isolation Dampers	A damper assembly including means to open and close the damper mounted at the supply or return duct opening of the equipment.
Grill Options	Special grills used to direct airflow in unique applications (such as up and away from a rear wall).
Indirect/Direct Evaporative Cooling of Ventilation Air.	Water is used indirectly or directly to cool ventilation air. In a direct system the water is introduced directly into the ventilation air and in an indirect system the water is evaporated in secondary air stream and the heat is removed through a heat exchanger.
Non-Standard High-Static Indoor Fan Motors.	The standard indoor fan motor is the motor specified in the manufacturer's installation instructions for testing and shall be distributed in commerce as part of a particular model. A non-standard high-static motor is an indoor fan motor that is not the standard indoor fan motor and that is distributed in commerce as part of an individual model within the same basic model. For a non-standard high-static indoor fan motor(s) to be considered a specific component for a basic model (and thus subject to the provisions of paragraph (a)(3)(v)(A)(*2*) of this section), the following 2 provisions must be met: 1. Non-standard high-static indoor fan motor(s) must meet the minimum allowable efficiency determined per section D.4.1 of AHRI 600–2023 (incorporated by reference, see § 429.4) for non-standard high-static indoor fan motors, or per section D.4.2 of AHRI 600–2023 for non-standard high-static indoor integrated fan and motor combinations. 2. If the standard indoor fan motor can vary fan speed through control system adjustment of motor speed, all non-standard high-static indoor fan motors must also allow speed control (including with the use of a variable-frequency drive).
Powered Exhaust/Powered Return Air Fans.	A powered exhaust fan is a fan that transfers directly to the outside a portion of the building air that is returning to the unit, rather than allowing it to recirculate to the indoor coil and back to the building. A powered return fan is a fan that draws building air into the equipment.
Process Heat Recovery/Reclaim Coils/Thermal Storage.	A heat exchanger located inside the unit that conditions the equipment's supply air using energy transferred from an external source using a vapor, gas, or liquid.
Refrigerant Reheat Coils	A heat exchanger located downstream of the indoor coil that heats the supply air during cooling operation using high-pressure refrigerant in order to increase the ratio of moisture removal to cooling capacity provided by the equipment.
Sound Traps/Sound Attenuators.	An assembly of structures through which the supply air passes before leaving the equipment or through which the return air from the building passes immediately after entering the equipment for which the sound insertion loss is at least 6 dB for the 125 Hz octave band frequency range.
Steam/Hydronic Heat Coils	Coils used to provide supplemental heating.
Ventilation Energy Recovery System (VERS).	An assembly that preconditions outdoor air entering the equipment through direct or indirect thermal and/or moisture exchange with the exhaust air, which is defined as the building air being exhausted to the outside from the equipment.
Waterside Economizer	A heat exchanger located upstream of the indoor coil that conditions the supply air when system water loop conditions are favorable so as not to utilize compressor operation.

(B) The represented value of cooling capacity must be between 95 percent and 100 percent of the mean of the cooling capacities measured for the units in the sample selected as described in paragraph (a)(1)(ii) of this section, or between 95 percent and 100 percent of the cooling capacity output simulated by the AEDM as described in paragraph (a)(2) of this section.

(vi) *Commercial package air conditioning and heating equipment (excluding air-cooled equipment with a cooling capacity less than 65,000 Btu/h).* Before May 15, 2025, the provisions in 10 CFR 429.43, revised as of January 1, 2024, are applicable. On and after May 15, 2025, when certifying to energy conservation standards in terms of EER or IEER and (as applicable) COP, the provisions in paragraph (a)(3)(vi)(B) of this section apply. When certifying to energy conservation standards in terms of IVEC and (as applicable) IVHE, all provisions in this paragraph (a)(3)(vi) apply.

(A) For individual model selection when certifying to energy conservation standards in terms of IVEC and (as applicable) IVHE:

(*1*) Representations for a basic model must be based on the least-efficient individual model(s) distributed in commerce among all otherwise comparable model groups comprising the basic

model, with selection of the least-efficient individual model considering all options for factory-installed components and manufacturer-supplied components for field installation, except as provided in paragraph (a)(3)(vi)(A)(*2*) of this section for individual models that include components listed in table 7 to paragraph (a)(3)(vi)(A) of this section. For the purpose of this paragraph (a)(3)(vi)(A)(*1*), ''otherwise comparable model group'' means a group of individual models distributed in commerce within the basic model that do not differ in components that affect energy consumption as measured according to the applicable test procedure specified at 10 CFR 431.96 other than those listed in table 7 to paragraph (a)(3)(vi)(A) of this section. An otherwise comparable model group may include individual models distributed in commerce with any combination of the components listed in table 7 (or none of the components listed in table 7). An otherwise comparable model group may consist of only one individual model.

(*2*) For a basic model that includes individual models distributed in commerce with components listed in table 7 to paragraph (a)(3)(vi)(A) of this section, the requirements for determining representations apply only to the individual model(s) of a specific otherwise comparable model group distributed in commerce with the least number (which could be zero) of components listed in table 7 to paragraph (a)(3)(vi)(A) included in individual models of the group. Testing under this paragraph (a)(3)(vi)(A)(*2*) shall be consistent with any component-specific test provisions specified in section 6 of appendix A1 to subpart F of 10 CFR part 431.

TABLE 7 TO PARAGRAPH (a)(3)(vi)(A)—SPECIFIC COMPONENTS FOR COMMERCIAL PACKAGE AIR CONDITIONING AND HEATING EQUIPMENT

[Excluding air-cooled equipment with a cooling capacity of less than 65,000 Btu/h]

Component	Description
Air Economizers	An automatic system that enables a cooling system to supply outdoor air to reduce or eliminate the need for mechanical cooling during mild or cold weather.
Desiccant Dehumidification Components	An assembly that reduces the moisture content of the supply air through moisture transfer with solid or liquid desiccants.
Evaporative Pre-cooling of Air-cooled Condenser Intake Air.	Water is evaporated into the air entering the air-cooled condenser to lower the dry-bulb temperature and thereby increase efficiency of the refrigeration cycle.
Fire/Smoke/Isolation Dampers	A damper assembly including means to open and close the damper mounted at the supply or return duct opening of the equipment.
Indirect/Direct Evaporative Cooling of Ventilation Air	Water is used indirectly or directly to cool ventilation air. In a direct system, the water is introduced directly into the ventilation air, and in an indirect system, the water is evaporated in secondary air stream, and the heat is removed through a heat exchanger.
Non-Standard Ducted Condenser Fans (not applicable to Double-duct Systems).	A higher-static condenser fan/motor assembly designed for external ducting of condenser air that provides greater pressure rise and has a higher rated motor horsepower than the condenser fan provided as a standard component with the equipment.
Non-Standard High-Static Indoor Fan Motors	The standard indoor fan motor is the motor specified in the manufacturer's installation instructions for testing and shall be distributed in commerce as part of a particular model. A non-standard motor is an indoor fan motor that is not the standard indoor fan motor and that is distributed in commerce as part of an individual model within the same basic model. For a non-standard high-static indoor fan motor(s) to be considered a specific component for a basic model (and thus subject to the provisions of paragraph (a)(3)(vi)(A)(*2*) of this section), the following provisions must be met: (1) Non-standard high-static indoor fan motor(s) must meet the minimum allowable efficiency determined per section D.3.1 of AHRI 1340–2023 (incorporated by reference, see §429.4) for non-standard high-static indoor fan motors or per section D.3.2 of AHRI 1340–2023 for non-standard high-static indoor integrated fan and motor combinations. (2) If the standard indoor fan motor can vary fan speed through control system adjustment of motor speed, all non-standard high-static indoor fan motors must also allow speed control (including with the use of variable-frequency drive).
Powered Exhaust/Powered Return Air Fans	A powered exhaust fan is a fan that transfers directly to the outside a portion of the building air that is returning to the unit, rather than allowing it to recirculate to the indoor coil and back to the building. A powered return fan is a fan that draws building air into the equipment.
Process Heat recovery/Reclaim Coils/Thermal Storage	A heat exchanger located inside the unit that conditions the equipment's supply air using energy transferred from an external source using a vapor, gas, or liquid.
Refrigerant Reheat Coils	A heat exchanger located downstream of the indoor coil that heats the supply air during cooling operation using high pressure refrigerant in order to increase the ratio of moisture removal to cooling capacity provided by the equipment.
Sound Traps/Sound Attenuators	An assembly of structures through which the supply air passes before leaving the equipment or through which the return air from the building passes immediately after entering the equipment for which the sound insertion loss is at least 6 dB for the 125 Hz octave band frequency range.
Steam/Hydronic Heat Coils	Coils used to provide supplemental heating.
Ventilation Energy Recovery System (VERS)	An assembly that preconditions outdoor air entering the equipment through direct or indirect thermal and/or moisture exchange with the exhaust air, which is defined as the building air being exhausted to the outside from the equipment.

(B) The represented value of total cooling capacity must be between 95 percent and 100 percent of the mean of the total cooling capacities measured for the units in the sample selected as described in paragraph (a)(1)(ii) of this section, or between 95 percent and 100 percent of the total cooling capacity output simulated by the AEDM as described in paragraph (a)(2) of this section.

(C) Representations of IVEC and IVHE (including $IVHE_c$, as applicable) must be determined using a minimum part-load airflow that is no lower than the highest of the following:

(*1*) The minimum part-load airflow obtained using the as-shipped system control settings;

(*2*) The minimum part-load airflow obtained using the default system control settings specified in the manufacturer installation instructions (as applicable); and

(*3*) The minimum airflow rate specified in section 5.18.2 of AHRI 1340–2023.

(b) *Certification reports.* (1) The requirements of §429.12 are applicable to commercial HVAC equipment; and

(2) Pursuant to §429.12(b)(13), a certification report must include the following public equipment-specific information:

(i) Commercial package air-conditioning equipment (except commercial package air conditioning equipment that is air-cooled with a cooling capacity less than 65,000 Btu/h):

(A) When certifying compliance with an EER standard: the energy efficiency ratio (EER in British thermal units per Watt-hour (Btu/Wh)), the rated cooling capacity in British thermal units per hour (Btu/h), and the type(s) of heating used by the basic model (*e.g.*, electric, gas, hydronic, none).

(B) When certifying compliance with an IEER standard: the integrated energy efficiency ratio (IEER in British thermal units per Watt-hour (Btu/Wh)), the rated cooling capacity in British thermal units per hour (Btu/h), and the type(s) of heating used by the basic model (*e.g.*, electric, gas, hydronic, none).

(ii) Commercial package heating equipment (except commercial package heating equipment that is air-cooled with a cooling capacity less than 65,000 Btu/h):

(A) When certifying compliance with an EER standard: the energy efficiency ratio (EER in British thermal units per Watt-hour (Btu/Wh)), the coefficient of performance (COP), the rated cooling capacity in British thermal units per hour (Btu/h), and the type(s) of heating used by the basic model (*e.g.*, electric, gas, hydronic, none).

(B) When certifying compliance an IEER standard: the integrated energy efficiency ratio (IEER in British thermal units per Watt-hour (Btu/Wh)), the coefficient of performance (COP), the rated cooling capacity in British thermal units per hour (Btu/h), and the type(s) of heating used by the basic model (*e.g.*, electric, gas, hydronic, none).

(iii) Packaged terminal air conditioners: The energy efficiency ratio (EER in British thermal units per Watt-hour (Btu/Wh)), the rated cooling capacity in British thermal units per hour (Btu/h), the wall sleeve dimensions in inches (in), and the duration of the break-in period (hours).

(iv) Packaged terminal heat pumps: The energy efficiency ratio (EER in British thermal units per Watt-hour (Btu/W-h)), the coefficient of performance (COP), the rated cooling capacity in British thermal units per hour (Btu/h), the wall sleeve dimensions in inches (in), and the duration of the break-in period (hours).

(v) Single package vertical air conditioners:

(A) When certifying compliance with an EER standard: The energy efficiency ratio (EER in British thermal units per Watt-hour (Btu/Wh)), and the rated cooling capacity in British thermal units per hour (Btu/h).

(B) When certifying compliance with an IEER standard: the integrated energy efficiency ratio (IEER in British thermal units per Watt-hour (Btu/Wh)), the rated cooling capacity in British thermal units per hour (Btu/h), and the rated airflow in standard cubic feet per minute (SCFM). For units with rated cooling capacity <65,000 Btu/h: whether the unit is weatherized or non-weatherized; and if non-weatherized, the airflow rate of outdoor ventilation air which is drawn in and conditioned as

determined in accordance with § 429.134(x)(3), while the equipment is operating with the same drive kit and motor settings used to determine the certified efficiency rating of the equipment.

(vi) Single package vertical heat pumps:

(A) When certifying compliance with an EER standard: the energy efficiency ratio (EER in British thermal units per Watt-hour (Btu/Wh)), and the coefficient of performance (COP), and the rated cooling capacity in British thermal units per hour (Btu/h).

(B) When certifying compliance with an IEER standard: the integrated energy efficiency ratio (IEER in British thermal units per Watt-hour (Btu/Wh)), and the coefficient of performance (COP), the rated cooling capacity in British thermal units per hour (Btu/h), and the rated airflow in standard cubic feet per minute (SCFM). For units with cooling capacity <65,000 Btu/h: whether the unit is weatherized or non-weatherized; and if non-weatherized, the airflow rate of outdoor ventilation air which is drawn in and conditioned as determined in accordance with § 429.134(x)(3), while the equipment is operating with the same drive kit and motor settings used to determine the certified efficiency rating of the equipment.

(vii) Variable refrigerant flow multi-split air-cooled air conditioners (other than air-cooled with rated cooling capacity less than 65,000 btu/h):

(A) When certifying compliance with an EER standard: The energy efficiency ratio (EER in British thermal units per Watt-hour (Btu/Wh)), rated cooling capacity in British thermal units per hour (Btu/h), and the type(s) of heating used by the basic model (e.g., electric, gas, hydronic, none).

(B) When certifying compliance with an IEER standard, the following must be certified for each tested combination as required under paragraph (a)(3)(ii)(C) of this section: The integrated energy efficiency ratio (IEER) in British thermal units per Watt-hour (Btu/Wh)); the rated cooling capacity in British thermal units per hour (Btu/h); whether the represented values are for a non-ducted, ducted, or SDHV tested combination, or for a mixed representation of any two of the tested combinations; and the outdoor unit(s) and indoor units identified in the tested combination. The following must be certified for each basic model: the type(s) of heating used (*i.e.*, electric, gas, hydronic, none); and the refrigerant used to determine the represented values.

(viii) Variable refrigerant flow multi-split heat pumps (other than air-cooled with rated cooling capacity less than 65,000 btu/h):

(A) When certifying compliance with an EER standard: The energy efficiency ratio (EER in British thermal units per Watt-hour (Btu/Wh)), the coefficient of performance (COP), rated cooling capacity in British thermal units per hour (Btu/h), and the type(s) of heating used by the basic model (e.g., electric, gas, hydronic, none).

(B) When certifying compliance with an IEER standard, the following must be certified for each tested combination as required under paragraph (a)(3)(ii)(C) of this section: The integrated energy efficiency ratio (IEER) in British thermal units per Watt-hour (Btu/Wh); the coefficient of performance (COP); the rated cooling capacity in British thermal units per hour (Btu/h); the rated heating capacity (Btu/h); whether the represented values are for a non-ducted, ducted, or SDHV tested combination, or for a mixed representation of any two of the tested combinations; and the outdoor unit(s) and indoor units identified in the tested combination. The following must be certified for each basic model: the type(s) of heating used (*i.e.*, electric, gas, hydronic, none); and the refrigerant used to determine the represented values.

(ix) Computer room air-conditioners:

(A) When certifying compliance with a SCOP standard: The net sensible cooling capacity in British thermal units per hour (Btu/h), the net cooling capacity in British thermal units per hour (Btu/h), the configuration (upflow/downflow), economizer presence (yes or no), condenser medium (air, water, or glycol-cooled), sensible coefficient of performance (SCOP), and rated airflow in standard cubic feet per minute (SCFM).

(B) When certifying compliance with an NSenCOP standard: The net sensible cooling capacity in British thermal units per hour (Btu/h), the net total cooling capacity in British thermal units per hour (Btu/h), whether the basic model is split system or single-package, the configuration (downflow, upflow ducted, upflow non-ducted, horizontal flow, ceiling-mounted ducted, ceiling-mounted non-ducted), fluid economizer presence (yes or no), condenser heat rejection medium (air, water, or glycol-cooled), net sensible coefficient of performance (NSenCOP), rated airflow in standard cubic feet per minute (SCFM), and the refrigerant used to determine the represented values.

(x) Water source heat pumps (other than variable refrigerant flow): The energy efficiency ratio (EER in British thermal units per Watt-hour (Btu/Wh)), the coefficient of performance (COP), the rated cooling capacity in British thermal units per hour (Btu/h), and the type(s) of heating used by the basic model (e.g., electric, gas, hydronic, none).

(xi) Direct-expansion dedicated outdoor air systems:

(A) When certifying compliance with an ISMRE2 standard: the integrated seasonal moisture removal efficiency 2 (ISMRE2 in lbs. of moisture per kilowatt-hour (lb/kWh)), the rated moisture removal capacity at Standard Rating Condition A according to appendix B to subpart F of part 431 of this chapter (MRC in lbs of moisture per hour (lb/h)), and the rated supply airflow rate for 100 percent outdoor air applications (Q_{SA} in standard cubic feet per minute).

(B) When certifying compliance with an ISCOP2 standard: the integrated seasonal coefficient of performance 2 (ISCOP2 in Watts of heating per Watts of power input (W/W)).

(C) The configuration of the basic model number (*i.e.*, ''single-package'' or ''split system'') shall also be provided.

(3) Pursuant to § 429.12(b)(13), a certification report must include the following additional equipment-specific information:

(i) Whether the basic model is engineered-to-order; and

(ii) For any basic model rated with an AEDM, whether the manufacturer elects the witness test option for verification testing. (See § 429.70(c)(5)(iii) for options). However, the manufacturer may not select more than 10% of AEDM-rated basic models.

(iii) For direct-expansion dedicated outdoor air systems with ventilation energy recovery systems, method of determination of the exhaust air transfer ratio (EATR), sensible effectiveness, and latent effectiveness of the ventilation energy recovery system (name and version of certified performance modeling software or if the device was directly tested). The test method (*i.e.*, Option 1 or Option 2) for units rated based on testing and motor control settings (including rotational speed) for energy recovery wheels shall also be provided.

(4) Pursuant to § 429.12(b)(13), a certification report must include supplemental information submitted in PDF format. The equipment-specific, supplemental information must include any additional testing and testing set up instructions (*e.g.*, charging instructions) for the basic model; identification of all special features that were included in rating the basic model; and all other information (*e.g.*, operational codes or component settings) necessary to operate the basic model under the required conditions specified by the relevant test procedure. A manufacturer may also include with a certification report other supplementary items in PDF format (*e.g.*, manuals) for DOE consideration in performing testing under subpart C of this part. The equipment-specific, supplemental information must include at least the following:

(i) Commercial package air-conditioning equipment (except commercial package air conditioning equipment that is air-cooled with a cooling capacity less than 65,000 Btu/h): rated indoor airflow in standard cubic feet per minute (SCFM) for each fan coil; water flow rate in gallons per minute (gpm) for water-cooled units only; rated external static pressure in inches of water; frequency or control set points for variable speed components (*e.g.*, compressors, VFDs); required dip

switch/control settings for step or variable components; a statement whether the model will operate at test conditions without manufacturer programming; any additional testing instructions, if applicable; and if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating. When certifying compliance with an IEER standard, rated indoor airflow in SCFM for each part-load point used in the IEER calculation and any special instructions required to obtain operation at each part-load point, such as frequency or control set points for variable speed components (*e.g.*, compressors, VFDs), dip switch/control settings for step or variable components, or any additional applicable testing instructions, are also required.

(ii) Commercial package heating equipment (except commercial package heating equipment that is air-cooled with a cooling capacity less than 65,000 Btu/h): The rated heating capacity in British thermal units per hour (Btu/h); rated indoor airflow in standard cubic feet per minute (SCFM) for each fan coil (in cooling mode); rated airflow in SCFM for each fan coil in heating mode if the unit is designed to operate with different airflow rates for cooling and heating mode; water flow rate in gallons per minute (gpm) for water cooled units only; rated external static pressure in inches of water; frequency or control set points for variable speed components (*e.g.*, compressors, VFDs); required dip switch/control settings for step or variable components; a statement whether the model will operate at test conditions without manufacturer programming; any additional testing instructions, if applicable; and if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating. When certifying compliance with an IEER standard, rated indoor airflow in SCFM for each part-load point used in the IEER calculation and any special instructions required to obtain operation at each part-load point, such as frequency or control set points for variable speed components (*e.g.*, compressors, VFDs), dip switch/control settings for step or variable components, or any additional applicable testing instructions, are also required.

(iii) Variable refrigerant flow multi-split air-cooled air conditioners (other than air-cooled with rated cooling capacity less than 65,000 btu/h):

(A) When certifying compliance with an EER standard: The nominal cooling capacity in British thermal units per hour (Btu/h); outdoor unit(s) and indoor units identified in the tested combination; components needed for heat recovery, if applicable; rated airflow in standard cubic feet per minute (scfm) for each indoor unit; rated static pressure in inches of water; compressor frequency setpoints; required dip switch/control settings for step or variable components; a statement whether the model will operate at test conditions without manufacturer programming; any additional testing instructions if applicable; if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; and which, if any, special features were included in rating the basic model. Additionally, upon DOE request, the manufacturer must provide a layout of the system set-up for testing including charging instructions consistent with the installation manual.

(B) When certifying compliance with an IEER standard (for requirements in this list pertaining to or affected by indoor units, the requirements must be certified for each tested combination as required under paragraph

(a)(3)(ii)(C) of this section): The nominal cooling capacity in British thermal units per hour (Btu/h) for each indoor and outdoor unit; identification of the indoor units to be thermally active for each IEER test point; the rated indoor airflow for the full-load cooling and all part-load cooling tests (for each indoor unit) in standard cubic feet per minute (scfm); the indoor airflow-control setting to be used in the full-load cooling test (for each indoor unit); system start-up or initialization procedures, including conditions and duration; compressor break-in period duration of 20 hours or less; the frequency of oil recovery cycles; operational settings for all critical parameters to be controlled at each of the four IEER cooling test conditions; all dip switch/control settings used for the full-load cooling test; identification of any system control device required for testing; a hierarchy of instructions for adjustment of critical parameters to reduce cooling capacity during IEER cooling tests (to be used if, using initial critical parameter settings, the measured cooling capacity is more than 3 percent above the target cooling capacity); any additional testing instructions if applicable; and if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating. Instructions for conducting a controls verification procedure (as described in Appendix C of AHRI 1230–2021, (incorporated by reference, *see* § 429.4) at each of the four IEER cooling test conditions must also be provided, including: the required thermostat setpoints to ensure control for 80 °F dry-bulb temperature when accounting for setpoint bias, the starting indoor dry-bulb temperature, and the indoor dry-bulb temperature ramp rate (R2). Additionally, the manufacturer must provide a layout of the system set-up for testing (including a piping diagram, a power wiring diagram, a control wiring diagram, and identification of the location of the component(s) corresponding to each critical parameter to be controlled), set-up instructions for indoor units and outdoor units, and charging instructions consistent with the installation manual.

(iv) Variable refrigerant flow multi-split heat pumps (other than air-cooled with rated cooling capacity less than 65,000 btu/h):

(A) When certifying compliance with an EER standard: The nominal cooling capacity in British thermal units per hour (Btu/h); rated heating capacity in British thermal units per hour (Btu/h); outdoor unit(s) and indoor units identified in the tested combination; components needed for heat recovery, if applicable; rated airflow in standard cubic feet per minute (scfm) for each indoor unit; water flow rate in gallons per minute (gpm) for water-cooled units only; rated static pressure in inches of water; compressor frequency setpoints; required dip switch/control settings for step or variable components; a statement whether the model will operate at test conditions without manufacturer programming; any additional testing instructions if applicable; if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; and which, if any, special features were included in rating the basic model. Additionally, upon DOE request, the manufacturer must provide a layout of the system set-up for testing including charging instructions consistent with the installation manual.

(B) When certifying compliance with an IEER standard (for requirements in this list pertaining to or affected by indoor units, the requirements must be certified for each tested combination as required under paragraph (a)(3)(ii)(C) of this section): The nominal cooling capacity in British thermal units per hour (Btu/h) for each indoor and outdoor unit; the nominal heating capacity (Btu/h) for each indoor and outdoor unit; components needed for

heat recovery, if applicable; identification of the indoor units to be thermally active for each IEER test point; the rated indoor airflow for the full-load cooling, full-load heating, and all part-load cooling tests (for each indoor unit) in standard cubic feet per minute (scfm); the indoor airflow-control setting to be used in the full-load cooling test (for each indoor unit); the airflow-control setting to be used in the full-load heating test (for each indoor unit); for water-cooled units—the rated water flow rate in gallons per minute (gpm); system start-up or initialization procedures, including conditions and duration; compressor break-in period duration of 20 hours or less; the frequency of oil-recovery cycles; operational settings for all critical parameters to be controlled at each of the four IEER cooling test conditions; operational settings for all critical parameters to be controlled for the heating test; all dip switch/control settings used for the full-load cooling and full-load heating tests; identification of any system control device required for testing; a hierarchy of instructions for adjustment of critical parameters to reduce cooling capacity during IEER cooling tests (to be used if, using initial critical parameter settings, the measured cooling capacity is more than 3 percent above the target cooling capacity); any additional testing instructions if applicable; and if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating. Instructions for conducting a controls verification procedure (as described in Appendix C of AHRI 1230–2021) at each of the four IEER cooling test conditions must also be provided, including the required thermostat setpoints to ensure control for 80 °F dry-bulb temperature when accounting for setpoint bias, the starting indoor dry-bulb temperature, and the indoor dry-bulb temperature ramp rate (R2). Additionally, the manufacturer must provide a layout of the system set-up for testing (including a piping diagram, a power wiring diagram, a control wiring diagram, and identification of the location of the component(s) corresponding to each critical parameter to be adjusted), set-up instructions for indoor units and outdoor units, and charging instructions consistent with the installation manual.

(v) Water source heat pumps: The nominal cooling capacity in British thermal units per hour (Btu/h); rated heating capacity in British thermal units per hour (Btu/h); rated airflow in standard cubic feet per minute (SCFM) for each indoor unit; water flow rate in gallons per minute (gpm); rated static pressure in inches of water; refrigerant charging instructions, (e.g., refrigerant charge, superheat and/or subcooling temperatures); frequency set points for variable speed components (e.g., compressors, VFDs), including the required dip switch/control settings for step or variable components; a statement whether the model will operate at test conditions without manufacturer programming; any additional testing instructions if applicable; if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; and which, if any, special features were included in rating the basic model.

(vi) Single package vertical air-conditioners:

(A) When certifying compliance with an EER standard: Any additional testing instructions, if applicable; if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; and which, if any, special features were included in rating the basic model.

(B) When certifying compliance with an IEER standard: Compressor break-in period duration; rated indoor airflow in standard cubic feet per minute (SCFM); frequency or control set points including the required dip switch/control settings for step or variable-speed components (*e.g.*, compressors, VFDs); rated indoor airflow in SCFM for each part-load point used in the IEER calculation and any special instructions required to obtain operation at each part-load point, such as frequency or control set points including dip switch/control settings for step or variable-speed components (*e.g.*, compressors, VFDs); a statement whether the model will operate at test conditions without manufacturer programming; outdoor air-side attachments used for testing; any additional testing instructions, if applicable; and if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; any additional applicable testing instructions, are also required.

(vii) Single package vertical heat pumps:

(A) *When certifying compliance with an EER standard:* Any additional testing instructions, if applicable; if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; and which, if any, special features were included in rating the basic model.

(B) *When certifying compliance with an IEER standard:* The rated heating capacity in British thermal units per hour (Btu/h); compressor break-in period duration; rated indoor airflow in standard cubic feet per minute (SCFM) (in cooling mode); rated airflow in SCFM in heating mode if the unit is designed to operate with different airflow rates for cooling and heating mode; frequency or control set points including the required dip switch/control settings for step or variable-speed components (*e.g.*, compressors, VFDs); rated indoor airflow in SCFM for each part-load point used in the IEER calculation and any special instructions required to obtain operation at each part-load point, such as frequency or control set points including dip switch/control settings for step or variable-speed components (*e.g.*, compressors, VFDs); a statement whether the model will operate at test conditions without manufacturer programming; outdoor air-side attachments used for testing; any additional testing instructions, if applicable; and if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; or any additional applicable testing instructions, are also required.

(viii) *Computer room air-conditioners:*

(A) *When certifying compliance with a SCOP standard:* Any additional testing instructions, if applicable; and which, if any, special features were included in rating the basic model.

(B) *When certifying compliance with a NSenCOP standard:* Compressor break-in period duration; frequency or control set points including the required dip switch/control settings for step or variable-speed components (*e.g.*, compressors, VFDs); a statement whether the model will operate at test conditions without manufacturer programming; any additional testing instructions, if applicable; if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating.

(ix) Package terminal air conditioners and package terminal heat pumps: Any additional testing instructions, if applicable.

(x) *Direct-expansion dedicated outdoor air systems:*

(A) *For units without ventilation energy recovery systems:* water flow rate in gallons per minute (gpm) for water-cooled and water-source units; rated ESP in inches of water column for the supply air stream; frequency or control set points for variable-speed components (*e.g.*, compressors, VFDs); required dip switch/control settings for step or variable-speed components (*e.g.*, reheat or head pressure control valves); a statement whether the model will operate at test conditions without manufacturer programming; if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; and any additional testing instructions specified in appendix B to subpart F of part 431 of this chapter, if applicable (*e.g.*, supply air dry-bulb temperatures for ISMRE2 tests, equipment settings for airflow, installation priority for split-system units, defrost control settings for air-source heat pump units, break-in period, or condenser head pressure controls.

(B) *For units with ventilation energy recovery systems*, the requirements in paragraph (b)(4)(x)(A) of this section apply, in addition to: rated ESP in inches of water column for the return air stream; exhaust air transfer ratio at the rated supply airflow rate and a neutral pressure difference between return and supply airflow (EATR as a percent value); sensible and latent effectiveness of the ventilation energy recovery system at 75 percent of the nominal supply airflow and zero pressure differential in accordance with the DOE test procedure in appendix B to subpart F of part 431 of this chapter; sensible and latent effectiveness of the ventilation energy recovery system at 100 percent of the nominal supply airflow and zero pressure differential in accordance with the DOE test procedure in appendix B to subpart F of part 431 of this chapter; and any additional testing instructions, if applicable (*e.g.*, deactivation of VERS or VERS bypass in accordance with appendix B to subpart F of part 431 of this chapter).

(5) For variable refrigerant flow multi-split air conditioners and heat pumps (other than air-cooled with rated cooling capacity less than 65,000 btu/h), if a manufacturer has knowledge that any of its certified operational settings for critical parameters to be controlled during IEER tests (per paragraph (b)(4)(vii)(B) or (b)(4)(viii)(B) of this section) are invalid according to the results of a controls verification procedure conducted according to § 429.134(v)(3), then the manufacturer must re-rate and re-certify using valid operational settings for critical parameters for all affected basic models.

(6) *Basic and individual model numbers.* The basic model number and individual model number(s) required to be reported under § 429.12(b)(6) must consist of the following:

(i) *For computer room air-conditioners:*

TABLE 8 TO PARAGRAPH (b)(6)(i)

Single-package or split system?	Basic model No.	Individual model No(s).	
		1	2
Single-Package	Number unique to the basic model	Package	N/A.
Split System	Number unique to the basic model	Indoor Unit	Outdoor Unit.

(ii) *For direct-expansion dedicated outdoor air systems:*

TABLE 9 TO PARAGRAPH (b)(6)(ii)

Equipment configuration	Basic model No.	Individual model No(s).	
		1	2
Single-Package	Number unique to the basic model	Package	N/A.
Split System	Number unique to the basic model	Outdoor Unit	Indoor Unit.

(c) Alternative methods for determining efficiency or energy use for commercial HVAC equipment can be found in § 429.70 of this subpart.

[76 FR 12451, Mar. 7, 2011; 76 FR 24775, May 2, 2011, as amended at 78 FR 79594, Dec. 31, 2013; 79 FR 25501, May 5, 2014; 80 FR 151, Jan. 5, 2015; 80 FR 37147, June 30, 2015; 80 FR 79668, Dec. 23, 2015; 87 FR 45195, July 27, 2022; 87 FR 63892, Oct. 20, 2022; 87 FR 65667, Nov. 1, 2022; 87 FR 75166, Dec. 7, 2022; 87 FR 77317, Dec. 16, 2022; 88 FR 21836, Apr. 11, 2023; 88 FR 84226, Dec.4, 2023; 89 FR 44033, May 20, 2024; 89 FR 82064, Oct. 9, 2024]

§ 429.44 Commercial water heating equipment.

(a) For residential-duty commercial water heaters, all represented values must be determined in accordance with § 429.17.

(b) *Determination of represented values for all types of commercial water heaters except residential-duty commercial water heaters.* Manufacturers must determine the represented values, which includes the certified ratings, for each basic model of commercial water heating equipment except residential-duty commercial water heaters, either by testing, in conjunction with the applicable sampling provisions, or by applying an AEDM as set forth in § 429.70.

(1) *Units to be tested.* If the represented value for a given basic model is determined through testing:

(i) The general requirements of § 429.11 apply; and

(ii) A sample of sufficient size must be randomly selected and tested to ensure that:

(A) Any represented value of energy consumption or other measure of energy use of a basic model for which consumers would favor lower values must be greater than or equal to the higher of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the ith sample; or,

(*2*) The upper 95-percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95-percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A to subpart B of this part). And,

(B) Any represented value of energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values must be less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the ith sample; or,

(*2*) The lower 95-percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95-percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A to subpart B of this part).

(2) *Alternative efficiency determination methods*. In lieu of testing, a represented value of efficiency or consumption for a basic model must be determined through the application of an AEDM pursuant to the requirements of § 429.70 and the provisions of this section, where:

(i) Any represented value of energy consumption or other measure of energy use of a basic model for which consumers would favor lower values must be greater than or equal to the output of the AEDM and less than or equal to the Federal standard for that basic model; and

(ii) Any represented value of energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values must be less than or equal to the output of the AEDM and greater than or equal to the Federal standard for that basic model.

(3) *Rated input*. The rated input for a basic model reported in accordance with paragraph (c)(2) of this section must be the maximum rated input listed on the nameplate for that basic model.

(c) *Certification reports*. For commercial water heating equipment other than residential-duty commercial water heaters:

(1) The requirements of § 429.12 apply; and

(2) Pursuant to § 429.12(b)(13), a certification report must include the following public equipment-specific information:

(i) *Commercial electric storage water heaters with measured storage volume less than or equal to 140 gallons:* The standby loss in percent per hour (%/h); whether the rated input rate is greater than 12kW (Yes/No); whether the ratio of input rate per gallon of stored water is less than 4,000 Btu/h/gallon (Yes/No); and the measured storage volume in gallons (gal).

(ii) *Commercial gas-fired and oil-fired storage water heaters with rated storage volume less than or equal to 140 gallons:* The thermal efficiency in percent (%), the standby loss in British thermal units per hour (Btu/h), the rated storage volume in gallons (gal), and the rated input in British thermal units per hour (Btu/h).

(iii) *Commercial water heaters and hot water supply boilers with storage capacity greater than 140 gallons:*

(A) *For gas-fired and oil-fired units:* The thermal efficiency in percent (%); whether the rated storage volume is greater than 140 gallons (Yes/No); whether the tank surface area is insulated with at least R–12.5 (Yes/No); whether a standing pilot light is used (Yes/No); whether the basic model has a fire damper or fan-assisted combustion (Yes/No); and, if applicable, pursuant to § 431.110 of this chapter, the standby loss in British thermal units per hour (Btu/h); the rated storage volume in gallons (gal); and the rated

input in British thermal units per hour (Btu/h).

(B) *For electric units:* whether the rated storage volume is greater than 140 gallons (Yes/No); whether the tank surface area is insulated with at least R–12.5 (Yes/No); whether the rated input is greater than 12kW (Yes/No); whether the ratio of input rate per gallon of stored water is less than 4,000 Btu/h (Yes/No); and, if applicable, pursuant to § 431.110 of this chapter, the standby loss in percent per hour (%/h); and the measured storage volume in gallons (gal).

(iv) *Commercial gas-fired and oil-fired instantaneous water heaters with rated storage volume greater than or equal to 10 gallons and gas-fired and oil-fired hot water supply boilers with rated storage volume greater than or equal to 10 gallons:* The thermal efficiency in percent (%); the standby loss in British thermal units per hour (Btu/h); the rated storage volume in gallons (gal); the rated input in British thermal units per hour (Btu/h); whether the water heater includes a storage tank with a storage volume greater than or equal to 10 gallons (Yes/No). For equipment that does not meet the definition of storage-type instantaneous water heaters (as set forth in 10 CFR 431.102), in addition to the requirements discussed previously in this paragraph (c)(2)(iv), the following must also be included in the certification report: whether the measured storage volume is determined using weight-based test in accordance with § 431.106 of this chapter or the calculation-based method in accordance with § 429.72; whether the water heater will initiate main burner operation based on a temperature-controlled call for heating that is internal to the water heater (Yes/No); whether the water heater is equipped with an integral pump purge functionality (Yes/No); if the water heater is equipped with integral pump purge, the default duration of the pump off delay (minutes).

(v) *Commercial gas-fired and oil-fired instantaneous water heaters with rated storage volume less than 10 gallons and gas-fired and oil-fired hot water supply boilers with rated storage volume less than 10 gallons:* The thermal efficiency in percent (%); the rated storage volume in gallons (gal), the rated input in British thermal units per hour (Btu/h); and whether the measured storage volume is determined using weight-based test in accordance with § 431.106 of this chapter or the calculation-based method in accordance with § 429.72.

(vi) *Commercial electric instantaneous water heaters with measured storage volume greater than or equal to 10 gallons (excluding storage-type instantaneous water heaters with storage capacity greater than 140 gallons):* The thermal efficiency in percent (%); the standby loss in percent per hour (%/h); whether the rated input is greater than 12kW (Yes/No); whether the ratio of input rate per gallon of stored water is not less than 4,000 Btu/h (Yes/No);the measured storage volume in gallons (gal); and whether the water heater includes a storage tank with a storage volume greater than or equal to 10 gallons (Yes/No). For equipment that does not meet the definition of ''storage-type instantaneous water heater'' (as set forth in § 431.102 of this chapter), the following must also be included in the certification report: whether the measured storage volume is determined using a weight-based test in accordance with § 431.106 of this chapter or the calculation-based method in accordance with § 429.72; whether the water heater will initiate heating element operation based on a temperature-controlled call for heating that is internal to the water heater (Yes/No); whether the water heater is equipped with an integral pump purge functionality (Yes/No); and if the water heater is equipped with integral pump purge, the default duration of the pump off delay (minutes).

(vii) *Commercial electric instantaneous water heaters with measured storage volume less than 10 gallons:* The thermal efficiency in percent (%); whether the rated input is greater than 12kW (Yes/No); whether the ratio of input rate per gallon of stored water is not less than 4,000 Btu/h (Yes/No); the measured storage volume in gallons (gal); and whether the measured storage volume is determined using a weight-based test in accordance with § 431.106 of this chapter or the calculation-based method in accordance with § 429.72.

(viii) *Commercial unfired hot water storage tanks:* The thermal insulation (*i.e.*, R-value) and stored volume in gallons (gal).

(3) Pursuant to § 429.12(b)(13), a certification report must include the following additional, equipment-specific information:

(i) Whether the basic model is engineered-to-order; and

(ii) For any basic model rated with an AEDM, whether the manufacturer elects the witness test option for verification testing. (See § 429.70(c)(5)(iii) for options.) However, the manufacturer may not select more than 10 percent of AEDM-rated basic models to be eligible for witness testing.

(4) Pursuant to § 429.12(b)(13), a certification report may include supplemental testing instructions in PDF format. If necessary to run a valid test, the equipment-specific, supplemental information must include any additional testing and testing set-up instructions (e.g., whether a bypass loop was used for testing) for the basic model and all other information (e.g., operational codes or overrides for the control settings) necessary to operate the basic model under the required conditions specified by the relevant test procedure. A manufacturer may also include with a certification report other supplementary items in PDF format for DOE's consideration in performing testing under subpart C of this part. For example, for oil-fired commercial water heating equipment (other than residential-duty commercial water heaters): The allowable range for CO_2 reading in percent (%) and the fuel pump pressure in pounds per square inch gauge (psig).

(d) *Certification reports for residential-duty commercial water heaters.* (1) The requirements of § 429.12 apply; and

(2) Pursuant to § 429.12(b)(13), a certification report for equipment must include the following public, equipment-specific information:

(i) Residential-duty commercial gas-fired and oil-fired storage water heaters: The uniform energy factor (UEF, rounded to the nearest 0.01), the rated storage volume in gallons (gal, rounded to the nearest 1 gal), the first-hour rating in gallons (gal, rounded to the nearest 1 gal), and the recovery efficiency in percent (%, rounded to the nearest 1%).

(ii) Residential-duty commercial electric instantaneous water heaters: The uniform energy factor (UEF, rounded to the nearest 0.01), the rated storage volume in gallons (gal, rounded to the nearest 1 gal), the maximum gallons per minute (gpm, rounded to the nearest 0.1 gpm), and the recovery efficiency in percent (%, rounded to the nearest 1%).

(e) Alternative methods for determining efficiency or energy use for commercial water heating equipment can be found in § 429.70 of this subpart.

[76 FR 12451, Mar. 7, 2011; 76 FR 24776, May 2, 2011, as amended at 78 FR 79594, Dec. 31, 2013; 79 FR 25504, May 5, 2014; 80 FR 151, Jan. 5, 2015; 79 FR 40565, July 11, 2014; 81 FR 79318, Nov. 10, 2016; 81 FR 96236, Dec. 29, 2016; 81 FR 96236, Dec. 29, 2016; 89 FR 82066, Oct. 9, 2024]

§ 429.45 Automatic commercial ice makers.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to automatic commercial ice makers; and

(2) For each basic model of automatic commercial ice maker selected for testing, a sample of sufficient size shall be randomly selected and tested to ensure that any represented value of energy use, condenser water use, or other measure of consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(i) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; or,

(ii) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.10, where:

$$UCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the Student's t-Distribution Values for a 95 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A to this subpart).

(3) The harvest rate of a basic model is the mean of the measured harvest rates for each tested unit of the basic model, based on the same tests to determine energy use and condenser water use, if applicable. Round the mean harvest rate to the nearest pound of ice per 24 hours (lb/24 h) for harvest rates above 50 lb/24 h; round the mean harvest rate to the nearest 0.1 lb/24 h for harvest rates less than or equal to 50 lb/24 h.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to automatic commercial ice makers; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The energy use in kilowatt hours per 100 pounds of ice (kWh/100 lb), the condenser water use in gallons per 100 pounds of ice (gal/100 lb), the harvest rate in lb/24 h, the type of cooling, and the equipment type.

(3) For reporting, round harvest rate to the nearest 1 lb/24 h for harvest rates above 50 lb/24 h; round condenser water use to the nearest 1 gal/100 lb; and round energy use to the nearest 0.01 kWh/100 lb.

[76 FR 12451, Mar. 7, 2011; 76 FR 24776, May 2, 2011, as amended at 87 FR 65899, Nov. 1, 2022; 89 FR 82067, Oct. 9, 2024]

§ 429.46 Commercial clothes washers.

NOTE 1 TO § 429.46: Prior to February 17, 2023, certification reports must be submitted as required either in this section or 10 CFR 429.46 as it appears in the 10 CFR parts 200 through 499 edition revised as of January 1, 2022. On or after February 17, 2023, certification reports must be submitted as required in this section.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to commercial clothes washers; and

(2) For each basic model of commercial clothes washers, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of the integrated water factor or other measure of energy or water consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The upper 97½ percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the modified energy factor, active-mode energy efficiency ratio, water efficiency ratio, or other measure of energy or water consumption of a basic model for which consumers would favor higher values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The lower 97½ percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.975}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.975}$ is the t statistic for a 97.5% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(3) The clothes container capacity of a basic model reported in accordance with paragraph (b)(2) of this section shall be the mean of the measured clothes container capacity (C) of all tested units of the basic model.

(4) The corrected remaining moisture content (RMC) of a basic model reported in accordance with paragraph (b)(2) of this section shall be the mean of the final RMC value measured for all tested units of the basic model.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to commercial clothes washers; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information:

(i) The modified energy factor (MEF_{J2}), in cubic feet per kilowatt-hour per cycle (cu ft/kWh/cycle);

(ii) The integrated water factor (IWF), in gallons per cycle per cubic feet (gal/cycle/cu ft);

(iii) The clothes container capacity, in cubic feet (cu ft);

(iv) The type of loading (top-loading or front-loading); and

(v) The corrected RMC (expressed as a percentage).

(c) *Reported values.* Values reported pursuant to this section must be rounded as follows: Clothes container capacity to the nearest 0.1 cu ft, and corrected RMC to the nearest 0.1 percentage point.

[76 FR 12451, Mar. 7, 2011; 76 FR 24777, May 2, 2011, as amended at 79 FR 71630, Dec. 3, 2014; 87 FR 33379, June 1, 2022; 87 FR 43979, July 22, 2022]

§ 429.47 Distribution transformers.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to distribution transformers; and

(2) For each basic model of distribution transformer, efficiency must be determined either by testing, in accordance with § 431.193 and the provisions of this section, or by application of an AEDM that meets the requirements of § 429.70 and the provisions of this section.

(i) For each basic model selected for testing:

(A) If the manufacturer produces five or fewer units of a basic model over 6 months, each unit must be tested. A manufacturer may not use a basic model with a sample size of fewer than five units to substantiate an AEDM pursuant to § 429.70.

(B) If the manufacturer produces more than five units over 6 months, a sample of at least five units must be selected and tested.

(ii) Any represented value of efficiency of a basic model must satisfy the condition:

$$RE \leq \frac{100}{1 + \left(\frac{100 - \bar{x}}{\bar{x}}\right)\left(\frac{\sqrt{n}}{\sqrt{n} + .08}\right)}$$

where $\bar{x}$ is the average efficiency of the sample.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to distribution transformers except that required information in paragraph (b) of this section may be reported by kVA grouping instead of by basic model and paragraph (b)(6) of this section does not apply; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: For the most and least efficient basic models within each ''kVA grouping'' for which part 431 prescribes an efficiency standard, the kVA rating, the insulation type (*i.e.*, low-voltage dry-type, medium-voltage dry-type or liquid-immersed), the number of phases (*i.e.*, single-phase or three-phase), and the basic impulse insulation level (BIL) group rating (for medium-voltage dry-types).

(c) *Alternative methods for determining efficiency or energy use* for distribution transformers can be found in § 429.70 of this subpart.

(d) *Kilovolt ampere (kVA) grouping.* As used in this section, a ''kVA grouping'' is a group of basic models which all have the same kVA rating, have the same insulation type (*i.e.*, low-voltage dry-type, medium-voltage dry-type or liquid-immersed), have the same number of phases (*i.e.*, single-phase or three-phase), and, for medium-voltage dry-types, have the same BIL group rating (*i.e.*, 20–45 kV BIL, 46–95 kV BIL or greater than or equal to96 kV BIL).

§ 429.48 Illuminated exit signs.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to illuminated exit signs; and

(2) For each basic model of illuminated exit sign selected for testing, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of input power demand or other measure of energy consumption of a basic model for which consumers would favor lower

values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.10, where:

$$UCL = \bar{x} + t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% two-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.90, where:

$$LCL = \bar{x} - t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% two-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to illuminated exit signs; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The input power demand in watts (W) and the number of faces.

[76 FR 12451, Mar. 7, 2011; 76 FR 24778, May 2, 2011]

§ 429.49 Traffic signal modules and pedestrian modules.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to traffic signal modules and pedestrian modules; and

(2) For each basic model of traffic signal module or pedestrian module selected for testing, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of estimated maximum and nominal wattage or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.10, where:

$$UCL = \bar{x} + t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% two-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.90, where:

$$LCL = \bar{x} - t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% two-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to traffic signal modules and pedestrian modules; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The maximum wattage at 74 degrees Celsius (°C) in watts (W), the nominal wattage at 25 degrees Celsius (°C) in watts (W), and the signal type.

[76 FR 12451, Mar. 7, 2011; 76 FR 24778, May 2, 2011]

§ 429.50 Commercial unit heaters.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to commercial unit heaters; and

(2) [Reserved]

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to commercial unit heaters; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The type of ignition system and a declaration that the manufacturer has incorporated the applicable design requirements.

§ 429.51 Commercial pre-rinse spray valves.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 apply to commercial prerinse spray valves; and

(2) For each basic model of commercial prerinse spray valve, a sample of sufficient size must be randomly selected and tested to ensure that any represented value of flow rate must be greater than or equal to the higher of:

(i) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean;
n is the number of samples; and
x_i is the i^{th} sample; Or,

(ii) The upper 95-percent confidence limit (UCL) of the true mean divided by 1.10, where:

$$UCL = \bar{x} + t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

and, $\bar{x}$ is the sample mean;
s is the sample standard deviation;
n is the number of samples; and
$t_{0.95}$ is the t statistic for a 95-percent two-tailed confidence interval with n-1 degrees of freedom (from Appendix A of this subpart).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to commercial prerinse spray valves; and

(2) Pursuant to § 429.12(b)(13), a certification report must include the following public product-specific information: The flow rate, in gallons per minute (gpm), rounded to the nearest 0.01 gpm, and the corresponding spray force, in ounce-force (ozf), rounded to the nearest 0.1 ozf.

[76 FR 12451, Mar. 7, 2011; 76 FR 24779, May 2, 2011, as amended at 78 FR 62986, Oct. 23, 2013; 80 FR 81453, Dec. 30, 2015; 81 FR 4801, Jan. 27, 2016]

§ 429.52 Refrigerated bottled or canned beverage vending machines.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to refrigerated bottled or canned beverage vending machine; and

(2) For each basic model of refrigerated bottled or canned beverage vending machine selected for testing, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of energy consumption or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.10, where:

$$UCL = \bar{x} + t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% two-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

and

(ii) Any represented value of the energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.90, where:

$$LCL = \bar{x} - t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% two-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(3) The representative value of refrigerated volume of a basic model reported in accordance with paragraph (b)(2) of this section shall be the mean of the refrigerated volumes measured for each tested unit of the basic model and determined in accordance with the test procedure in § 431.296.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to refrigerated bottled or canned beverage vending machine; and

(2) Pursuant to § 429.12(b)(13), a certification report must include the following additional public, equipment-specific information:

(i) When using appendix A of subpart Q of part 431of this chapter, the daily energy consumption in kilowatt hours per day (kWh/day), the refrigerated volume (V) in cubic feet (ft^3), whether testing was conducted with payment mechanism in place and operational, and, if applicable, the lowest application product temperature in degrees Fahrenheit (°F), if applicable.

(ii) When using appendix B of subpart Q of part 431of this chapter, the daily energy consumption in kilowatt hours per day (kWh/day), the refrigerated volume (V) in cubic feet (ft^3), whether testing was conducted with payment mechanism in place and operational, whether testing was conducted using an accessory low power mode, whether rating was based on the presence of a refrigeration low power mode, and, if applicable, the lowest application product temperature in degrees Fahrenheit (°F).

[76 FR 12451, Mar. 7, 2011; 76 FR 24779, May 2, 2011, as amended at 76 FR 38292, June 30, 2011; 80 FR 45792, July 31, 2015; 81 FR 1112, Jan. 8, 2016]

§ 429.53 Walk-in coolers and walk-in freezers.

(a) *Determination of represented value.* (1) The requirements of § 429.11 apply to walk-in coolers and walk-in freezers; and

(2) For each basic model of walk-in cooler and walk-in freezer refrigeration system, the annual walk-in energy factor (AWEF) must be determined either by testing, in accordance with § 431.304 of this chapter and the provisions of this section, or by application of an AEDM that meets the requirements of § 429.70 and the provisions of this section.

(i) *Applicable test procedure.* If AWEF or AWEF2 is determined by testing, test according to the applicable provisions of § 431.304(b) of this chapter with the following equipment-specific provisions.

(A) *Dedicated condensing units.* Outdoor dedicated condensing refrigeration systems that are also designated for use in indoor applications must be tested and rated as both an outdoor dedicated condensing refrigeration system and an indoor dedicated refrigeration system.

(B) *Matched refrigeration systems.* A matched refrigeration system is not required to be rated if the constituent unit cooler(s) and dedicated condensing unit have been tested as specified in

§ 431.304(b)(4) of this chapter. However, if a manufacturer wishes to represent the efficiency of the matched refrigeration system as distinct from the efficiency of either constituent component, or if the manufacturer cannot rate one or both of the constituent components using the specified method, the manufacturer must test and rate the matched refrigeration system as specified in § 431.304(b)(4) of this chapter.

(C) *Detachable single-packaged dedicated systems.* Detachable single-packaged dedicated systems must be tested and rated as a single-packaged dedicated systems using the test procedure in § 431.304(b)(4) of this chapter.

(D) *Attached split systems.* Attached split systems must be tested and rated as dedicated condensing units and unit coolers using the test procedure in § 431.304(b)(4) of this chapter.

(ii) *Units to be tested.* (A) If the represented value for a given refrigeration system basic model is determined through testing, the general requirements of § 429.11 apply; and

(B) For each basic model, a sample of sufficient size shall be randomly selected and tested to ensure that any represented value of AWEF or other measure of energy efficiency of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample, or,

(*2*) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n–1 degrees of freedom (from appendix A to subpart B).

(C) The represented value of net capacity shall be the average of the capacities measured for the sample selected.

(iii) *Alternative efficiency determination methods.* In lieu of testing, pursuant to the requirements of § 429.70 and the provisions of this section, a represented value of AWEF for a basic model of a walk-in cooler or walk-in freezer refrigeration system may be determined through the application of an AEDM, where:

(A) Any represented value of AWEF or other measure of energy efficiency of a basic model for which consumers would favor higher values shall be less than or equal to the output of the AEDM and greater than or equal to the Federal standard for that basic model.

(B) The represented value of net capacity must be the net capacity simulated by the AEDM.

(3) For each basic model of walk-in cooler and walk-in freezer display and non-display door, the daily energy consumption must be determined by testing, in accordance with § 431.304 of this chapter and the provisions of this section, or by application of an AEDM that meets the requirements of § 429.70 and the provisions of this section.

(i) *Applicable test procedure.* Prior to October 31, 2023 use the test procedure

for walk-ins in 10 CFR part 431, subpart R, appendix A, revised as of January 1, 2022, to determine daily energy consumption. Beginning October 31, 2023, use the test procedure in part 431, subpart R, appendix A of this chapter to determine daily energy consumption.

(ii) *Units to be tested.* For each basic model, a sample of sufficient size shall be randomly selected and tested to ensure that any represented value of daily energy consumption of a basic model or other measure of energy use for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

EQUATION 3 TO PARAGRAPH (A)(3)(II)(A)

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And $\bar{x}$ is the sample mean, n is the number of samples, and $\bar{x}_i$ is the ith sample; or,

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.05, where:

EQUATION 4 TO PARAGRAPH (A)(3)(II)(B)

$$UCL = \bar{x} + t_{0.95}\frac{s}{\sqrt{n}}$$

And $\bar{x}$ is the sample mean, s is the sample standard deviation; n is the number of samples, and $t_{-0.95}$ is the statistic for a 95 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A to this subpart).

(4) For each basic model of walk-in cooler and walk-in freezer panel and non-display door, the R-value must be determined by testing, in accordance with § 431.304 of this chapter and the provisions of this section.

(i) *Applicable test procedure.* Prior to October 31, 2023, use the test procedure for walk-ins in 10 CFR part 431, subpart R, appendix B, revised as of January 1, 2022, to determine R-value. Beginning October 31, 2023, use the test procedure in appendix B to subpart R of part 431 of this chapter to determine R-value.

(ii) *Units to be tested.* For each basic model, a sample of sufficient size shall be randomly selected and tested to ensure that any represented value of R-value or other measure of efficiency of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

EQUATION 5 TO PARAGRAPH (A)(4)(II)(A)

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And $\bar{x}$ is the sample mean, n is the number of samples, and $\bar{x}_i$ is the i^{th} sample; or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.95, where:

EQUATION 6 TO PARAGRAPH (A)(4)(II)(B)

$$LCL = \bar{x} - t_{0.95}\frac{s}{\sqrt{n}}$$

And $\bar{x}$ is the sample mean, s is the sample standard deviation; n is the number of samples, and $t_{-0.95}$ is the statistic for a 95 percent one-tailed confidence interval with n–1 degree of freedom (from appendix A to this subpart).

(b) *Certification reports.* (1) The requirements of §429.12 apply to manufacturers of walk-in cooler and walk-in freezer panels, doors, and refrigeration systems, and;

(2) Pursuant to §429.12(b)(13), a certification report must include the following public product-specific information:

(i) For display and non-display doors:

(A) The door type;

(B) R-value of the door insulation (as applicable);

(C) A declaration that the manufacturer has incorporated the applicable design requirements;

(D) For transparent reach-in display doors and windows, the glass type of the doors and windows (*e.g.*, double-pane with heat reflective treatment, triple-pane glass with gas fill);

(E) Power draw of the anti-sweat heater in watts per square foot of door opening;

(F) Door energy consumption in kilowatt-hours per day;

(G) Rated surface area in square feet; and

(H) For doors with anti-sweat heater controls, the range of temperature conditions (in degrees Fahrenheit) and/or relative humidity conditions (in percent, %) at which the anti-sweat heater turns on.

(ii) For panels: The R-value of the insulation.

(iii) For refrigeration systems:

(A) The installed motor's functional purpose (*i.e.*, evaporator fan motor or condenser fan motor), its rated horsepower, and a declaration that the manufacturer has incorporated the applicable walk-in-specific design requirements into the motor;

(B) The refrigeration system AWEF and net capacity in BTU/h;

(C) The configuration tested for certification (*e.g.*, condensing unit only, unit cooler only, single-packaged dedicated system matched-pair, attached

split-system, or detachable single-packaged system);

(D) Whether an indoor dedicated condensing unit is also certified as an outdoor dedicated condensing unit and, if so, the basic model number for the outdoor dedicated condensing unit; and

(E) Whether the certified basic model meets the definition of a CO_2 unit cooler.

(3) Pursuant to § 429.12(b)(13), a certification report must include the following non-public product-specific information in addition to the information listed in paragraph (b)(2) of this section:

(i) *For display and non-display doors:*

(A) The rated power of each light, heater wire, and/or other electricity consuming device associated with each basic model of display and non-display door; and whether such device(s) has a timer, control system, or other demand-based control reducing the device's power consumption; and

(B) The conduction load through the door in Btu/h.

(ii) *For refrigeration systems:*

(A) Whether the dedicated condensing system using flooded head pressure controls; and

(B) The compressor break-in period, if used.

(4) Pursuant to § 429.12(b)(13), a certification report must include supplemental information submitted in PDF format. The equipment-specific supplemental information must be consistent with the equipment's installation or operating instructions; include any additional testing and testing set up instructions (*e.g.*, charging instructions) for the basic model; identify all special features that were included in rating the basic model; and include all other information (*e.g.*, any specific settings or controls) necessary to operate the basic model under the required conditions specified by the relevant test procedure. A manufacturer may also include with a certification report other supplementary items in PDF format (*e.g.*, operating manuals and/or installation instructions) for DOE to consider when performing testing under appendix C and appendix C1 to subpart R of part 431.

[81 FR 95799, Dec. 28, 2016, as amended at 88 FR 28835, May 4, 2023; 89 FR 82067, Oct. 9, 2024]

§ 429.54 Metal halide lamp ballasts and fixtures.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to metal halide lamp ballasts; and

(2) For each basic model of metal halide lamp ballast selected for testing, a sample of sufficient size, not less than four, shall be selected at random and tested to ensure that:

(i) Any represented value of estimated energy efficiency calculated as the measured output power to the lamp divided by the measured input power to the ballast (P_{out}/P_{in}), of a basic model is less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample;

Or,

(B) The lower 99-percent confidence limit (LCL) of the true mean divided by 0.99.

$$LCL = \bar{x} - t_{.99}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.99}$ is the t statistic for a 99% two-tailed confidence interval with n–1 degrees of freedom (from appendix A).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to metal halide lamp ballasts; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The minimum ballast efficiency in percent (%), the lamp wattage in watts (W), and the type of ballast (*e.g.*, pulse-start, magnetic probe-start, and non-pulse start electronic).

[76 FR 12451, Mar. 7, 2011; 76 FR 24780, May 2, 2011; 76 FR 46202, Aug. 2, 2011]

§ 429.55 Incandescent reflector lamps.

NOTE 1 TO § 429.55: Prior to February 17, 2023, certification reports must be submitted as required either in this section or 10 CFR 429.27 as it appears in the 10 CFR parts 200 through 499 edition revised as of January 1, 2022. On or after February 17, 2023, certification reports must be submitted as required in this section.

(a) *Determination of Represented Value.* Each manufacturer must determine represented values, which include the certified ratings, for each basic model, in accordance with the following sampling provisions.

(1) Units to be tested.

(i) When testing, use a sample comprised of production units. The same sample of units must be tested and used as the basis for representations for initial lumen output, rated wattage, lamp efficacy, color rendering index (CRI), correlated color temperature (CCT), and lifetime.

(ii) For each basic model, randomly select and test a sample of sufficient size, but not less than 10 units, to ensure that represented values of average lamp efficacy, CRI and initial lumen output are less than or equal to the lower of:

(A) The arithmetic mean of the sample; or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by .97, where:

$$LCL = \bar{x} - t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(2) Any represented values of measures of energy efficiency or energy consumption for all individual models represented by a given basic model must be the same.

(3) Represented values of CCT and rated wattage must be equal to the arithmetic mean of the sample.

(4) Represented values of lifetime must be equal to or less than the median time to failure of the sample (calculated as the arithmetic mean of the time to failure of the two middle sample units (or the value of the middle sample unit if there are an odd number of units) when the measured values are sorted in value order).

(5) Calculate represented values of life (in years) by dividing the represented lifetime of these lamps as determined in paragraph (a)(4) of this section by the estimated daily operating hours as specified in 16 CFR 305.23(b)(3)(iii) multiplied by 365.

(6) Represented values of the estimated annual energy cost, expressed in dollars per year, must be the product of the rated wattage in kilowatts, an electricity cost rate as specified in 16 CFR 305.23(b)(1)(ii), and an estimated average daily use as specified in 16 CFR 305.23(b)(1)(ii) multiplied by 365.

(b) *Certification reports.* (1) The requirements of § 429.12 apply to incandescent reflector lamps; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The testing laboratory's ILAC accreditation body's identification number or other approved identification assigned by the ILAC accreditation body, average lamp efficacy in lumens per watt (lm/W), rated wattage in watts (W), rated voltage (V), diameter in inches, and CRI.

(c) *Rounding Requirements.* (1) Round rated wattage to the nearest tenth of a watt.

(2) Round initial lumen output to three significant digits.

(3) Round average lamp efficacy to the nearest tenth of a lumen per watt.

(4) Round CCT to the nearest 100 kelvin (K).

(5) Round CRI to the nearest whole number.

(6) Round lifetime to the nearest whole hour.

(7) Round life (in years) to the nearest tenth.

(8) Round annual energy cost to the nearest cent.

[87 FR 53638, Aug. 31, 2022]

§ 429.56 Integrated light-emitting diode lamps.

(a) *Determination of Represented Value.* Manufacturers must determine the represented value, which includes the certified rating, for each basic model of integrated light-emitting diode lamps by testing, in conjunction with the sampling provisions in this section.

(1) *Units to be tested.*

(i) The general requirements of § 429.11 (a) are applicable except that the sample must be comprised of production units; and

(ii) For each basic model of integrated light-emitting diode lamp, the minimum number of units tested must be no less than 10 and the same sample comprised of the same units must be used for testing all metrics. If more than 10 units are tested as part of the sample, the total number of units must be a multiple of two. For each basic model, a sample of sufficient size must be randomly selected and tested to ensure that:

(A) Represented values of initial lumen output, lamp efficacy, color rendering index (CRI), power factor, or other measure of energy consumption of a basic model for which consumers would favor higher values are less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of units; and x_i is the measured value for the i^{th} unit; Or,

(*2*) The lower 99 percent confidence limit (LCL) of the true mean divided by 0.96; or the lower 99 percent confidence limit (LCL) of the true mean divided by 0.98 for CRI and power factor, where:

$$LCL = \bar{x} - t_{0.99}\left(\frac{s}{\sqrt{n}}\right)$$

and, $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.99}$ is the t statistic for a 99 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A to this subpart).

(B) Represented values of input power, standby mode power or other

measure of energy consumption of a basic model for which consumers would favor lower values are greater than or equal to the higher of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of units; and x_i is the measured value for the i^{th} unit;

Or,

(*2*) The upper 99 percent confidence limit (UCL) of the true mean divided by 1.02, where:

$$UCL = \bar{x} + t_{0.99}\left(\frac{s}{\sqrt{n}}\right)$$

and, $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.99}$ is the t statistic for a 99 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A to this subpart);

(C) Represented values of correlated color temperature (CCT) of a basic model must be equal to the mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of units in the sample; and x_i is the measured CCT for the i^{th} unit.

(D) The represented value of lifetime of an integrated light-emitting diode lamp must be equal to or less than the median time to failure of the sample (calculated as the arithmetic mean of the time to failure of the two middle sample units when the numbers are sorted in value order) rounded to the nearest hour.

(2) The represented value of life (in years) of an integrated light-emitting diode lamp must be calculated by dividing the lifetime of an integrated light-emitting diode lamp by the estimated annual operating hours as specified in 16 CFR 305.15(b)(3)(iii).

(3) The represented value of estimated annual energy cost for an integrated light-emitting diode lamp, expressed in dollars per year, must be the product of the input power in kilowatts, an electricity cost rate as specified in 16 CFR 305.15(b)(1)(ii), and an estimated average annual use as specified in 16 CFR 305.15(b)(1)(ii).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to integrated light-emitting diode lamps;

(2) Values reported in certification reports are represented values. Pursuant to § 429.12(b)(13), a certification report must include the following public product-specific information: The testing laboratory's NVLAP identification number or other NVLAP-approved accreditation identification, the date of manufacture, initial lumen output in lumens (lm), input power in watts (W), lamp efficacy in lumens per watt (lm/W), CCT in kelvin (K), power factor,

lifetime in years (and whether value is estimated), and life (and whether value is estimated). For lamps with multiple modes of operation (such as variable CCT or CRI), the certification report must also list which mode was selected for testing and include detail such that another laboratory could operate the lamp in the same mode. Lifetime and life are estimated values until testing is complete. When reporting estimated values, the certification report must specifically describe the prediction method, which must be generally representative of the methods specified in appendix BB. Manufacturers are required to maintain records per § 429.71 of the development of all estimated values and any associated initial test data.

(c) *Rounding requirements.* (1) Round input power to the nearest tenth of a watt.

(2) Round lumen output to three significant digits.

(3) Round lamp efficacy to the nearest tenth of a lumen per watt.

(4) Round correlated color temperature to the nearest 100 Kelvin.

(5) Round color rendering index to the nearest whole number.

(6) Round power factor to the nearest hundredths place.

(7) Round lifetime to the nearest whole hour.

(8) Round standby mode power to the nearest tenth of a watt.

[81 FR 43425, July 1, 2016]

§ 429.57 General service lamps.

(a) *Determination of represented value.* Manufacturers must determine represented values, which includes certified ratings, for each basic model of general service lamp in accordance with following sampling provisions.

(1) The requirements of § 429.11 are applicable to general service lamps, and

(2) For general service incandescent lamps, use § 429.27(a);

(3) For compact fluorescent lamps, use § 429.35(a);

(4) For integrated LED lamps, use § 429.56(a);

(5) For other incandescent lamps, use § 429.27(a);

(6) For other fluorescent lamps, use § 429.35(a); and

(7) For OLED lamps and non-integrated LED lamps, use § 429.56(a).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to general service lamps;

(2) Values reported in certification reports are represented values;

(3) For general service incandescent lamps, use § 429.27(b);

(4) For compact fluorescent lamps, use § 429.35(b);

(5) For integrated LED lamps, use § 429.56(b); and

(6) For other incandescent lamps, for other fluorescent lamps, for OLED lamps and non-integrated LED lamps, pursuant to § 429.12(b)(13), a certification report must include the following public product-specific information: The testing laboratory's ILAC accreditation body's identification number or other approved identification assigned by the ILAC accreditation body, initial lumen output, input power, lamp efficacy, and power factor. For non-integrated LED lamps, the certification report must also include the input voltage and current used for testing.

(c) *Rounding requirements.* (1) Round input power to the nearest tenth of a watt.

(2) Round initial lumen output to three significant digits.

(3) Round lamp efficacy to the nearest tenth of a lumen per watt.

(4) Round power factor to the nearest hundredths place.

(5) Round standby mode power to the nearest tenth of a watt.

[81 FR 72503, Oct. 20, 2016]

§ 429.58 Furnace fans.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to furnace fans; and

(2) For each basic model of furnace fan within the scope of appendix AA of subpart B of part 430, a sample of sufficient size shall be randomly selected and tested to ensure that any represented value of fan energy rating (FER), rounded to the nearest integer, shall be greater than or equal to the higher of:

(i) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the measured value for the i^{th} sample; Or,

(ii) The upper 90 percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{0.90}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.90}$ is the t statistic for a 90% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to residential furnace fans; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The fan energy rating (FER) in watts per thousand cubic feet per minute (W/1000 cfm); the calculated maximum airflow at the reference system external static pressure (ESP) in cubic feet per minute (cfm); the control system configuration for achieving the heating and constant-circulation airflow-control settings required for determining FER as specified in the furnace fan test procedure (10 CFR part 430, subpart B, appendix AA); the measured steady-state gas, oil, or electric heat input rate (Q_{IN}) in the heating setting required for determining FER; and for modular blowers, the manufacturer and model number of the electric heat resistance kit with which it is equipped for certification testing.

[79 FR 520, Jan. 3, 2014, as amended at 79 FR 38208, July 3, 2014]

§ 429.59 Pumps.

NOTE 1 TO § 429.59: Prior to February 17, 2023, certification reports must be submitted as required either in this section or 10 CFR 429.59 as it appears in the 10 CFR parts 200 through 499 edition revised as of January 1, 2022. On or after February 17, 2023, certification reports must be submitted as required in this section.

(a) *Determination of represented value.* Manufacturers must determine the represented value, which includes the certified rating, for each basic model of general purpose pump either by testing (which includes the calculation-based methods in the test procedure), in conjunction with the following sampling provisions, or by application of an AEDM that meets the requirements of § 429.70 and the provisions of this section. Manufacturers must determine the represented value, which includes the certified rating, for each basic model of dedicated-purpose pool pump by testing, in conjunction with the following sampling provisions. Manufacturers must update represented values to account for any change in the applicable motor standards in subpart B of part 431 of this chapter and certify amended values as of the next annual certification.

(1) Units to be tested. The requirements of § 429.11 are applicable to pumps; and for each basic model, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any representation of the constant load pump energy index (PEI_{CL}), variable load pump energy index (PEI_{VL}), circulator energy index (CEI), or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample,

where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and $\bar{x}$ is the sample mean, n is the number of samples, and x_i is the maximum of the ith sample;

Or,

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.05,

where:

$$UCL = \bar{x} \mp t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

and $\bar{x}$ is the sample mean, *s* is the sample standard deviation, n is the number of samples, and $t_{0.95}$ is the t statistic for a 95 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A of subpart B of part 429).

(ii) Any representation of weighted energy factor of a basic model must be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the maximum of the ith sample; or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A of this subpart).

(2) *Other representations*—(i) *Rated hydraulic horsepower.* The representative value of rated hydraulic horsepower of a basic model of dedicated-purpose pool pump or circulator pump must be the mean of the rated hydraulic horsepower for each tested unit.

(ii) *Dedicated-purpose pool pump motor total horsepower.* The representative value of dedicated-purpose pool pump motor total horsepower of a basic model of dedicated-purpose pool pump must be the mean of the dedicated-purpose pool pump motor total horsepower for each tested unit.

(iii) *True power factor (PF_i).* The representative value of true power factor at each load point i of a basic model of dedicated-purpose pool pump must be the mean of the true power factors at that load point for each tested unit of dedicated-purpose pool pump.

(iv) *General pumps.* The representative values for pump total head in feet at BEP and nominal speed, volume per

unit time in gallons per minute at BEP and nominal speed, and calculated driver power input at each load point must be the arithmetic mean of the value determined for each tested unit of general pump.

(v) *Input power*. The representative value(s) of input power of a basic model of circulator pump at a load point(s) used in the calculation of CEI must be determined based on the mean of the input power at measured data point(s) for each tested unit.

(vi) *Flow at BEP and maximum speed*. The representative value of flow at BEP and maximum speed of a basic model of circulator pump must be determined based on the mean of the flow at BEP and maximum speed for each tested unit.

(vii) *Head at BEP and maximum speed*. The representative value of head at BEP and maximum speed of a basic model of circulator pump must be determined based on the mean of the head at BEP and maximum speed for each tested unit.

(viii) *Other reported values*. The representative value of any other reported value of a basic model of circulator pump must be determined based on the mean of that value for each tested unit.

(3) *Alternative efficiency determination methods*. In lieu of testing, a represented value of efficiency or consumption for a basic model of pump must be determined through the application of an AEDM pursuant to the requirements of § 429.70 and the provisions of this section, where:

(i) Any represented value of energy consumption or other measure of energy use of a basic model for which consumers would favor lower values shall be greater than or equal to the output of the AEDM and less than or equal to the Federal standard for that basic model; and

(ii) Any represented value of energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the output of the AEDM and greater than or equal to the Federal standard for that basic model.

(b) *Certification reports*. (1) The requirements of § 429.12 are applicable to pumps; and

(2) Pursuant to § 429.12(b)(13), a certification report must include the following public product-specific information:

(i) For a pump subject to the test methods prescribed in section III of appendix A to subpart Y of part 431 of this chapter: PEI_{CL}; pump total head in feet (ft.) at BEP and nominal speed; volume per unit time (flow rate) in gallons per minute (gpm) at BEP and nominal speed; the nominal speed of rotation in revolutions per minute (rpm); calculated driver power input at each load point *i* (P_i^{in}), corrected to nominal speed, in horsepower (hp); full impeller diameter in inches (in.); and for RSV and ST pumps, the number of stages tested.

(ii) For a pump subject to the test methods prescribed in section IV or V of appendix A to subpart Y of part 431 of this chapter: PEI_{CL}; pump total head in feet (ft.) at BEP and nominal speed; volume per unit time (flow rate) in gallons per minute (gpm) at BEP and nominal speed; the nominal speed of rotation in revolutions per minute (rpm); driver power input at each load point i (P_i^{in}), corrected to nominal speed, in horsepower (hp); full impeller diameter in inches (in.); whether the PEI_{CL} is calculated or tested; and for RSV and ST pumps, number of stages tested.

(iii) For a pump subject to the test methods prescribed in section VI or VII of appendix A to subpart Y of part 431 of this chapter: PEI_{VL}; pump total head in feet (ft.) at BEP and nominal speed; volume per unit time (flow rate) in gallons per minute (gpm) at BEP and nominal speed; the nominal speed of rotation in revolutions per minute (rpm); driver power input (measured as the input power to the driver and controls) at each load point i (P_i^{in}), corrected to nominal speed, in horsepower (hp); full impeller diameter in inches (in.); whether the PEI_{VL} is calculated or tested; and for RSV and ST pumps, the number of stages tested.

(iv) For a dedicated-purpose pool pump (other than an integral cartridge-filter or sand-filter pool pump): weighted energy factor (WEF) in

kilogallons per kilowatt-hour (kgal/kWh); rated hydraulic horsepower in horsepower (hp); the speed configuration for which the pump is being rated (*i.e.*, single-speed, two-speed, multi-speed, or variable-speed); true power factor at all applicable test procedure load points i (dimensionless), as specified in Table 1 of appendix B or C to subpart Y of part 431 of this chapter, as applicable; dedicated-purpose pool pump nominal motor horsepower in horsepower (hp); dedicated-purpose pool pump motor total horsepower in horsepower (hp); dedicated-purpose pool pump service factor (dimensionless); for self-priming pool filter pumps and non-self-priming pool filter pumps: the maximum head (in feet) which is based on the mean of the units in the tested sample; a statement regarding whether freeze protection is shipped enabled or disabled; for dedicated-purpose pool pumps (DPPPs) distributed in commerce with freeze protection controls enabled: the default dry-bulb air temperature setting (in °F), default run time setting (in minutes), and default motor speed (in rpm); for self-priming pool filter pumps a statement regarding whether the pump is certified with NSF/ANSI 50–2015 (incorporated by reference, see § 429.4) as self-priming; and, for self-priming pool filter pumps that are not certified with NSF/ANSI 50–2015 as self-priming: the vertical lift (in feet) and true priming time (in minutes) for the DPPP model.

(v) For integral cartridge-filter and sand-filter pool pumps, the maximum run-time (in hours) of the pool pump control with which the integral cartridge-filter or sand-filter pump is distributed in commerce.

(3) Pursuant to § 429.12(b)(13), a certification report may include the following public product-specific information:

(i) For a pump subject to the test methods prescribed in section III of appendix A to subpart Y of part 431 of this chapter: Pump efficiency at BEP in percent (%) and PER_{CL}.

(ii) For a pump subject to the test methods prescribed in section IV or V of appendix A to subpart Y of part 431 of this chapter: Pump efficiency at BEP in percent (%) and PER_{CL}.

(iii) For a pump subject to the test methods prescribed in section VI or VII of appendix A to subpart Y of part 431 of this chapter: Pump efficiency at BEP in percent (%) and PER_{VL}.

(iv) For a dedicated-purpose pool pump (other than an integral cartridge-filter or sand-filter pool pump): Calculated driver power input and flow rate at each load point i (P_i and Q_i), in horsepower (hp) and gallons per minute (gpm), respectively.

(4) Pursuant to § 429.12(b)(13), a certification report will include the following product-specific information:

(i) For a pump subject to the test methods prescribed in section III of appendix A to subpart Y of part 431 of this chapter: The pump configuration (*i.e.*, bare pump); and for ST pumps, the bowl diameter in inches (in.).

(ii) For a pump subject to the test methods prescribed in section IV or V of appendix A to subpart Y of part 431 of this chapter: The pump configuration (*i.e.*, pump sold with an electric motor); for pumps sold with electric motors regulated by DOE's energy conservation standards for electric motors at § 431.25, the nominal motor efficiency in percent (%) and the motor horsepower (hp) for the motor with which the pump is being rated; and for ST pumps, the bowl diameter in inches (in.).

(iii) For a pump subject to the test methods prescribed in section VI or VII of appendix A to subpart Y of part 431 of this chapter: The pump configuration (*i.e.*, pump sold with a motor and continuous or non-continuous controls); for pumps sold with electric motors regulated by DOE's energy conservation standards for electric motors at § 431.25, the nominal motor efficiency in percent (%) and the motor horsepower (hp) for the motor with which the pump is being rated; and for ST pumps, the bowl diameter in inches (in.).

(c) *Individual model numbers.* (1) For a pump subject to the test methods prescribed in appendix A to subpart Y of part 431 of this chapter, each individual model number required to be reported pursuant to § 429.12(b)(6) must consist of the following:

Equipment configuration (as distributed in commerce)	Basic model number	Individual model number(s)		
		1	2	3
Bare pump	Number unique to the basic model	Bare pump	N/A	N/A.
Bare pump with driver	Number unique to the basic model	Bare pump	Driver	N/A.
Bare pump with driver and controls	Number unique to the basic model	Bare pump	Driver	Controls.

(2) Or must otherwise provide sufficient information to identify the specific driver model and/or controls model(s) with which a bare pump is distributed.

[81 FR 4144, Jan. 25, 2016, as amended at 81 FR 4430, Jan. 26, 2016; 82 FR 36918, Aug. 7, 2017; 87 FR 43979, July 22, 2022; 87 FR 57297, Sept. 19, 2022; 88 FR 17973, Mar. 24, 2023; 88 FR 24471, Apr. 21, 2023; 89 FR 82067, Oct. 9, 2024]

§ 429.60 Commercial packaged boilers.

(a) *Determination of represented value.* Manufacturers must determine the represented value, which includes the certified rating, for each basic model of commercial packaged boilers either by testing in accordance with § 431.86 of this chapter, in conjunction with the applicable sampling provisions, or by applying an AEDM.

(1) *Units to be tested.* (i) If the represented value is determined through testing, the general requirements of § 429.11 are applicable, except that, if the represented value is determined through testing pursuant to § 431.86(c) of this chapter, the number of units selected for testing may be one; and

(ii) For each basic model selected for testing, a sample of sufficient size shall be randomly selected and tested to ensure that—

(A) Any represented value of energy consumption or other measure of energy use of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; Or,

(*2*) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n − 1 degrees of freedom (from Appendix A to subpart B of part 429). And,

(B) Any represented value of energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; Or,

(*2*) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n − 1 degrees of freedom (from Appendix A to subpart B of part 429).

(2) *Alternative efficiency determination methods*. In lieu of testing, a represented value of efficiency or consumption for a basic model of commercial packaged boiler must be determined through the application of an AEDM pursuant to the requirements of § 429.70 and the provisions of this section, where:

(i) Any represented value of energy consumption or other measure of energy use of a basic model for which consumers would favor lower values shall be greater than or equal to the output of the AEDM and less than or equal to the Federal standard for that basic model; and

(ii) Any represented value of energy efficiency or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the output of the AEDM and greater than or equal to the Federal standard for that basic model.

(3) The rated input for a basic model reported in accordance with paragraph (b)(2) of this section must be the maximum rated input listed on the nameplate and in manufacturer literature for the commercial packaged boiler basic model. In the case where the nameplate and the manufacturer literature are not identical, DOE will use the nameplate on the unit for determining the rated input.

(4) For a model of commercial packaged boiler capable of supplying either steam or hot water, representative values for steam mode must be based on efficiency in steam mode and representative values for hot water mode must be based on either the efficiency in hot water mode or steam mode in accordance with the test procedure in § 431.86 of this chapter and the provisions of this section.

(b) *Certification reports*. (1) The requirements of § 429.12 are applicable to commercial packaged boilers; and

(2) Pursuant to § 429.12(b)(13), a certification report must include the following public, equipment-specific information:

(i) If oil-fired, the manufacturer (including brand, if applicable) and model number of the burner;

(ii) The rated input in British thermal units per hour (Btu/h);

(iii) The combustion efficiency in percent (%) to the nearest tenth of one percent or thermal efficiency in percent (%) to the nearest one tenth of one percent, as specified in § 431.87 of this chapter; and

(iv) For a basic model of commercial packaged boiler that cannot be tested using the standard inlet temperatures required in appendix A to subpart E of part 431, the average inlet water temperature measured at Point B in Figure C9 of ANSI/AHRI Standard 1500–2015 (incorporated by reference, see § 429.4) at which the model was tested.

(3) Pursuant to § 429.12(b)(13), a certification report must include the following additional equipment-specific information:

(i) Whether the basic model is engineered-to-order; and

(ii) For any basic model rated with an AEDM, whether the manufacturer elects the witness test option for verification testing. (See § 429.70(c)(5)(iii) for options). However, the manufacturer may not select more than 10% of AEDM-rated basic models to be eligible for witness testing.

(iii) For basic models of commercial packaged boilers that have a rated input greater than 5,000,000 Btu/h, a declaration about whether the certified efficiency rating is based on testing conducted pursuant to § 431.86(c) of this chapter.

(4) Pursuant to § 429.12(b)(13), a certification report may include supplemental testing instructions in PDF format. If necessary to run a valid test, the equipment-specific, supplemental information must include any additional testing and testing set up instructions (*e.g.*, specific operational or control codes or settings), which would be necessary to operate the basic model under the required conditions specified by the relevant test procedure. A manufacturer may also include with a certification report other supplementary items in PDF format (*e.g.*, manuals) for DOE consideration in performing testing under subpart C of this part.

(5) Any field tested pursuant to § 431.86(c) of this chapter basic model of a commercial packaged boiler that has not been previously certified through testing or an AEDM must be certified within 15 days of commissioning.

(c) Alternative methods for determining efficiency or energy use for commercial packaged boilers can be found in § 429.70.

[79 FR 25504, May 5, 2014, as amended at 80 FR 151, Jan. 5, 2015; 81 FR 89303, Dec. 9, 2016]

§ 429.61 Consumer miscellaneous refrigeration products.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to miscellaneous refrigeration products; and

(2) For each basic model of miscellaneous refrigeration product, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of estimated annual operating cost, energy consumption, or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the ith sample; or

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.10, where:

$$UCL = \bar{x} + t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from appendix A of this subpart).

and

(ii) Any represented value of the energy factor or other measure of energy consumption of a basic model for which

consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the ith sample; or

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.90, where:

$$LCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from appendix A of this subpart).

(3) The value of total refrigerated volume of a basic model reported in accordance with paragraph (b)(2) of this section shall be the mean of the total refrigerated volumes measured for each tested unit of the basic model or the total refrigerated volume of the basic model as calculated in accordance with § 429.72(d). The value of adjusted total volume of a basic model reported in accordance with paragraph (b)(2) of this section shall be the mean of the adjusted total volumes measured for each tested unit of the basic model or the adjusted total volume of the basic model as calculated in accordance with § 429.72(d).

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to miscellaneous refrigeration products; and

(2) Pursuant to § 429.12(b)(13), a certification report must include the following public product-specific information: The annual energy use in kilowatt hours per year (kWh/yr); the total refrigerated volume in cubic feet (cu ft) and the total adjusted volume in cubic feet (cu ft).

(3) Pursuant to § 429.12(b)(13), a certification report coolers or combination cooler refrigeration products shall include the following additional product-specific information: Whether the basic model has variable defrost control (in which case, manufacturers must also report the values, if any, of CT_L and CT_M (See section 5.3 in appendix A to subpart B of part 430 of this chapter) used in the calculation of energy consumption), whether the basic model has variable anti-sweat heater control (in which case, manufacturers must also report the values of heater Watts at the ten humidity levels (5%, 15%, 25%, 35%, 45%, 55%, 65%, 75%, 85%, and 95%) used to calculate the variable anti-sweat heater ''Correction Factor''), and whether testing has been conducted with modifications to the standard temperature sensor locations, as specified in section 5.1(g) of appendix A to subpart B of part 430 of this chapter.

(c) *Rounding requirements for representative values, including certified and rated values.* (1) The represented value of annual energy use must be rounded to the nearest kilowatt hour per year.

(2) The represented value of total refrigerated volume must be rounded to the nearest 0.1 cubic foot.

(3) The represented value of adjusted total volume must be rounded to the nearest 0.1 cubic foot.

(d) *Product category determination.* Each basic model of miscellaneous refrigeration product must be certified according to the appropriate product category as defined in § 430.2 of this chapter based on compartment volumes and compartment temperatures. If one or more compartments could be classified as both a fresh food compartment and a freezer compartment, the model must be certified to each applicable product category based on the operation of the compartment(s) as both fresh food and freezer compartments.

(1) Compartment volume used to determine product category shall be, for each compartment, the mean of the volumes of that specific compartment for the sample of tested units of the basic model, measured according to the provisions in section 4.1 of appendix A of subpart B of part 430 of this chapter, or, for each compartment, the volume of that specific compartment calculated for the basic model in accordance with § 429.72(d).

(2) For compartments other than cooler compartments, determination of the compartment temperature ranges shall be based on operation of the product under the conditions specified in appendix A to subpart B of part 430 of this chapter for miscellaneous refrigeration products. The determination of compartment status may require evaluation of a model at the extremes of the range of user-selectable temperature control settings. If the temperature ranges for the same compartment of multiple units of a sample are different, the maximum and minimum compartment temperatures for compartment status determination shall be based on the mean measurements for the units in the sample.

[81 FR 46790, July 18, 2016, as amended at 86 FR 56819, Oct. 12, 2021; 88 FR 7845, Feb. 7, 2023]

§ 429.62 Portable air conditioners.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to portable air conditioners; and

(2) For each basic model of portable air conditioner, a sample of sufficient size must be randomly selected and tested to ensure that—

(i) Any represented value of energy consumption or other measure of energy consumption of a basic model for which consumers would favor lower values is greater than or equal to the higher of:

(A) The mean of the sample:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where:

$\bar{x}$ is the sample mean;
x_i is the ith sample; and
n is the number of units in the test sample.

Or,

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.10:

$$UCL = \bar{x} + t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

Where:

$\bar{x}$ is the sample mean;
s is the sample standard deviation;
n is the number of units in the test sample; and
$t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n–1 degrees of freedom.

And,

(ii) Any represented value of the combined energy efficiency ratio or other measure of energy consumption of a basic model for which consumers would favor higher values is less than or equal to the lower of:

(A) The mean of the sample:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where:

$\bar{x}$ is the sample mean;
x_i is the ith sample; and
n is the number of units in the test sample.

Or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.90:

$$LCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

Where:

$\bar{x}$ is the sample mean;
s is the sample standard deviation;
n is the number of units in the test sample; and
$t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n–1 degrees of freedom.

And,

(3) When testing in accordance with appendix CC of subpart B of part 430 of this chapter, the represented value of cooling capacity for a single-speed portable AC shall be seasonally adjusted cooling capacity (''SACC'') and the represented value of cooling capacity for a variable-speed portable AC shall be full-load seasonally adjusted cooling capacity (''$SACC_{Full}$''), as determined in appendix CC to subpart B of part 430 of this chapter. When testing in accordance with appendix CC1 to subpart B of part 430 of this chapter, the represented value of cooling capacity for both single-speed and variable-speed portable ACs shall be SACC, as determined in appendix CC1 to subpart B of part 430 of this chapter.

(4) Where SACC is used for representation, the represented value of SACC of a basic model must be the mean of the SACC for each tested unit of the basic model. Likewise, where $SACC_{Full}$ is used for representation, the represented value of $SACC_{Full}$ of a basic model must be the mean of the $SACC_{Full}$ for each tested unit of the basic model. When using appendix CC to subpart B of part 430 of this chapter, round the mean SACC or $SACC_{Full}$ value to the nearest 50, 100, 200, or 500 Btu/h, depending on the magnitude of the calculated SACC or $SACC_{Full}$, as applicable, in accordance with Table 1 of ANSI/AHAM PAC–1–2015, (incorporated by reference, see § 429.4), ''Multiples for reporting Dual Duct Cooling Capacity, Single Duct Cooling Capacity, Spot Cooling Capacity, Water Cooled Condenser Capacity and Power Input Ratings''. When using appendix CC1 to subpart B of part 430 of this chapter, round SACC to the nearest 50, 100, 200, or 500 Btu/h, depending on the magnitude of the calculated SACC, in accordance with Table 1 of AHAM PAC–1–2022, (incorporated by reference, see § 429.4), ''Multiples for reporting Dual Duct Cooling Capacity, Single Duct Cooling Capacity, Spot Cooling Capacity, Water Cooled Condenser Capacity and Power Input Ratings''.

(5) The represented value of combined energy efficiency ratio (CEER) or annualized energy efficiency ratio of a basic model must be rounded to the nearest 0.1 British thermal units per Watt-hour (Btu/Wh).

(6) Single-duct and dual-duct portable air conditioners distributed in commerce by the manufacturer with multiple duct configuration options that meet DOE's definitions for single-duct portable AC and dual-duct portable AC, must be rated and certified under both applicable duct configurations.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to single-duct and dual-duct portable air conditioners; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The CEER in Btu/Wh, the seasonally adjusted cooling capacity in British thermal units per hour (Btu/h), the duct configuration used for testing (single-duct or dual-duct), the ability to operate in both duct configurations (yes or no), presence of heating function, and primary condensate removal feature (auto-evaporation, gravity drain, removable internal collection bucket, or condensate pump).

(3) Pursuant to § 429.12(b)(13), a certification report shall include the following additional public product-specific information: whether the basic model is variable-speed (yes or no), and if yes; the full-load seasonally adjusted cooling capacity ($SACC_{Full}$), in British thermal units per hour (Btu/h).

[81 FR 35264, June 1, 2016, as amended at 85 FR 1446, Jan. 10, 2020; 88 FR 31126, May 15, 2023; 89 FR 82068, Oct. 9, 2024]

§ 429.63 Compressors.

(a) *Determination of represented value.* Manufacturers must determine the represented value, which includes the certified rating, for each basic model of compressor either by testing in conjunction with the applicable sampling provisions or by applying an AEDM.

(1) *Units to be tested.* (i) If the represented value is determined through testing, the general requirements of § 429.11 apply; and

(ii) For each basic model selected for testing, a sample of sufficient size must be randomly selected and tested to ensure that—

(A) *Measures of energy efficiency.* Any represented value of the full- or part-load package isentropic efficiency or other measure of energy efficiency of a basic model for which customers would favor higher values is less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

And $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the measured value for the i^{th} sample; or,

(*2*) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95 percent one-tailed confidence interval with $n-1$ degrees of freedom (from appendix A of this subpart); and

(B) *Package specific power.* The representative value(s) of package specific power of a basic model must be the mean of the package specific power measurement(s) for each tested unit of the basic model.

(2) *Alternative efficiency determination methods.* In lieu of testing, any represented value of efficiency, consumption, or other non-energy metrics listed in paragraph (a)(3) of this section for a basic model may be determined through the application of an AEDM pursuant to the requirements of § 429.70

and the provisions of this section, where:

(i) Any represented values of package isentropic efficiency or other measure of energy consumption of a basic model for which customers would favor higher values must be less than or equal to the output of the AEDM; and

(ii) Any represented values of package specific power, pressure ratio at full-load operating pressure, full-load actual volume flow rate, or full-load operating pressure must be the output of the AEDM corresponding to the represented value of package isentropic efficiency determined in paragraph (a)(2)(i) of this section.

(3) *Representations of non-energy metrics*—(i) *Full-load actual volume flow rate.* The representative value of full-load actual volume flow rate of a basic model must be either—

(A) The mean of the full-load actual volume flow rate for the units in the sample; or

(B) As determined through the application of an AEDM pursuant to the requirements of § 429.70.

(ii) *Full-load operating pressure.* The representative value of full-load operating pressure of a basic model must be less than or equal to the maximum full-flow operating pressure and greater than or equal to the lesser of—

(A) 90 percent of the maximum full-flow operating pressure; or

(B) 10 psig less than the maximum full-flow operating pressure, where the maximum full-flow operating pressure must either be determined as the mean of the maximum full-flow operating pressure values for the units in the sample or through the application of an AEDM pursuant to the requirements of § 429.70.

(iii) *Pressure ratio at full-load operating pressure.* The representative value of pressure ratio at full-load operating pressure of a basic model must be either be determined as the mean of the pressure ratio at full-load operating pressure for the units in the sample or through the application of an AEDM pursuant to the requirements of § 429.70.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to compressors; and

(2) Pursuant to § 429.12(b)(13), a certification report will include the following public product-specific information:

(i) Full-load package isentropic efficiency or part-load package isentropic efficiency, as applicable (dimensionless).

(ii) Full-load actual volume flow rate (in cubic feet per minute).

(iii) Compressor motor nominal horsepower (in horsepower).

(iv) Full-load operating pressure (in pounds per square inch, gauge).

(v) Maximum full-flow operating pressure (in pounds per square inch, gauge).

(vi) Pressure ratio at full-load operating pressure (dimensionless).

(vii) For any ancillary equipment that is installed for test, but is not part of the compressor package as distributed in commerce (per the requirements of 10 CFR part 431, subpart T, appendix A, section I(B)(4)), the following must be reported:

(A) A general description of the ancillary equipment, based on the list provided in the first column of Table 1 of 10 CFR part 431, subpart T, appendix A, section I(B)(4).

(B) The manufacturer of the ancillary equipment.

(C) The brand of the ancillary equipment (if different from the manufacturer).

(D) The model number of the ancillary equipment.

(E) The serial number of the ancillary equipment (if applicable).

(F) The following electrical characteristics, if applicable:

(*1*) Input Voltage.

(*2*) Number of Phases.

(*3*) Input Frequency.

(G) The following mechanical characteristics, if applicable:

(*1*) Size of any connections.

(*2*) Type of any connections.

(H) Installation instructions for the ancillary equipment, accompanied by photos that clearly illustrate the ancillary equipment, as installed on compressor package. Instructions and photo(s) to be provided in portable document format (*i.e.*, a PDF file).

[82 FR 1099, Jan. 4, 2017, as amended at 85 FR 1591, Jan. 10, 2020]

§ 429.64 Electric motors.

(a) *Applicability*. When a party determines the energy efficiency of an electric motor in order to comply with an obligation imposed on it by or pursuant to Part C of Title III of EPCA, 42 U.S.C. 6311–6316, this section applies. This section does not apply to enforcement testing conducted pursuant to § 431.383 of this subchapter. This section applies to electric motors that are subject to requirements in subpart B of part 431 of this subchapter and does not apply to dedicated-purpose pool pump motors subject to requirements in subpart Z of part 431.

(1) Prior to the date described in paragraph (a)(2) of this section, manufacturers of electric motors subject to energy conservation standards in subpart B of part 431 must make representations of energy efficiency, including representations for certification of compliance, in accordance with paragraphs (b) and (c) of this section.

(2) On and after the compliance date for any new or amended standards for electric motors published after January 1, 2021, manufacturers of electric motors subject to energy conservation standards in subpart B of part 431 of this subchapter must make representations of energy efficiency, including representations for certification of compliance, in accordance with paragraphs (d) through (f) of this section.

(3) On or after April 17, 2023, manufacturers of electric motors subject to the test procedures in appendix B of subpart B of part 431 but are subject to the energy conservation standards in subpart B of part 431 of this subchapter, must, if they chose to voluntarily make representations of energy efficiency, follow the provisions in paragraph (e) of this section.

(b) *Compliance certification*—(1) *General requirements*. The represented value of nominal full-load efficiency of each basic model of electric motor must be determined either by testing in accordance with § 431.16 of this subchapter, or by application of an alternative efficiency determination method (AEDM) that meets the requirements of paragraph (b)(2) of this section.

(2) *Alternative efficiency determination method*. In lieu of testing, the represented value of nominal full-load efficiency for a basic model of electric motor must be determined through the application of an AEDM pursuant to the requirements of § 429.70(j) and the provisions of this paragraph (b) and paragraph (c) of this section, where:

(i) The average full-load efficiency of any basic model used to validate an AEDM must be calculated under paragraph (c) of this section.

(ii) The represented value is the nominal full-load efficiency of a basic model of electric motor and is to be used in marketing materials and all public representations, as the certified value of efficiency, and on the nameplate. (*See* § 431.31(a) of this subchapter.) Determine the nominal full-load efficiency by selecting a value from the ''Nominal Full-Load Efficiency'' table in appendix B to subpart B of this part that is no greater than the simulated full-load efficiency predicted by the AEDM for the basic model.

(3) *Use of a certification program or accredited laboratory*. (i) A manufacturer may have a certification program, that DOE has classified as nationally recognized under § 429.73, certify the nominal full-load efficiency of a basic model of electric motor, and issue a certificate of conformity for the motor.

(ii) For each basic model for which a certification program is not used as described in paragraph (b)(3)(i) of this section, any testing of the motor pursuant to paragraph (b)(1) or (2) of this section to determine its energy efficiency must be carried out in an accredited laboratory that meets the requirements of § 431.18 of this subchapter;

(c) *Additional testing requirements applicable when a certification program is not used*—(1) *Selection of units for testing*. For each basic model selected for testing, a sample of units shall be selected at random and tested. Components of similar design may be substituted without requiring additional testing if the represented measures of energy consumption continue to satisfy the applicable sampling provision.

(2) *Sampling requirements*. The sample shall be comprised of production units of the basic model, or units that are representative of such production units. The sample size shall be not

fewer than five units, except that when fewer than five units of a basic model would be produced over a reasonable period of time (approximately 180 days), then each unit shall be tested. In a test of compliance with a represented average or nominal efficiency:

(i) The average full-load efficiency of the sample, which is defined by:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

where x_i is the measured full-load efficiency of unit i and n is the number of units tested, shall satisfy the condition:

$$\bar{x} \geq \frac{100}{1 + 1.05(\frac{100}{RE} - 1)}$$

where RE is the represented nominal full-load efficiency, and

(ii) The lowest full-load efficiency in the sample x_{min}, which is defined by:

$x_{min} = \min(x_i)$

shall satisfy the condition:

$$x_{min} \geq \frac{100}{1 + 1.15(\frac{100}{RE} - 1)}$$

(d) *Compliance certification.* A manufacturer may not certify the compliance of an electric motor pursuant to § 429.12 unless:

(1) Testing of the electric motor basic model was conducted using an accredited laboratory that meets the requirements of paragraph (f) of this section;

(2) Testing was conducted using a laboratory other than an accredited laboratory that meets the requirements of paragraph (f) of this section, or the nominal full-load efficiency of the electric motor basic model was determined through the application of an AEDM pursuant to the requirements of § 429.70(j), and a third-party certification organization that is nationally recognized in the United States under § 429.73 has certified the nominal full-load efficiency of the electric motor basic model through issuance of a certificate of conformity for the basic model.

(e) *Determination of represented value.* A manufacturer must determine the represented value of nominal full-load efficiency (inclusive of the inverter for inverter-only electric motors) for each basic model of electric motor either by testing in conjunction with the applicable sampling provisions or by applying an AEDM as set forth in this section and in § 429.70(j).

(1) *Testing*—(i) *Units to be tested.* If the represented value for a given basic model is determined through testing, the requirements of § 429.11 apply except that, for electric motors, the minimum sample size is five units. If fewer units than the minimum sample size are produced, each unit produced must be tested and the test results must

demonstrate that the basic model performs at or better than the applicable standard(s). If one or more units of the basic model are manufactured subsequently, compliance with the default sampling and representations provisions is required.

(ii) *Average Full-load Efficiency:* Determine the average full-load efficiency for the basic model $\bar{x}$, for the units in the sample as follows:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where x_i is the measured full-load efficiency of unit i and n is the number of units tested.

(iii) *Represented value.* The represented value is the nominal full-load efficiency of a basic model of electric motor and is to be used in marketing materials and all public representations, as the certified value of efficiency, and on the nameplate. (*See* § 431.31(a) of this subchapter.) Determine the nominal full-load efficiency by selecting an efficiency from the ''Nominal Full-load Efficiency'' table in appendix B that is no greater than the average full-load efficiency of the basic model as calculated in § 429.64(e)(1)(ii).

(iv) *Minimum full-load efficiency:* To ensure a high level of quality control and consistency of performance within the basic model, the lowest full-load efficiency in the sample X_{min}, must satisfy the condition:

$$x_{min} \geq \frac{100}{1 + 1.15(\frac{100}{Std} - 1)}$$

where *Std* is the value of the applicable energy conservation standard. If the lowest measured full-load efficiency of a unit in the tested sample does not satisfy the condition in this section, then the basic model cannot be certified as compliant with the applicable standard.

(2) *Alternative efficiency determination methods.* In lieu of testing, the represented value of nominal full-load efficiency for a basic model of electric motor must be determined through the application of an AEDM pursuant to the requirements of § 429.70(j) and the provisions of this section, where:

(i) The average full-load efficiency of any basic model used to validate an AEDM must be calculated under paragraph (e)(1)(ii) of this section; and

(ii) The represented value is the nominal full-load efficiency of a basic model of electric motor and is to be used in marketing materials and all public representations, as the certified value of efficiency, and on the nameplate. (See § 431.31(a) of this subchapter) Determine the nominal full-load efficiency by selecting a value from the ''Nominal Full-Load Efficiency'' table in appendix B to subpart B of this part, that is no greater than the simulated full-load efficiency predicted by the AEDM for the basic model.

(f) *Accredited laboratory.* (1) Testing pursuant to paragraphs (b)(3)(ii) and (d)(1) of this section must be conducted in an accredited laboratory for which the accreditation body was:

(i) The National Institute of Standards and Technology/National Voluntary Laboratory Accreditation Program (NIST/NVLAP); or

(ii) A laboratory accreditation body having a mutual recognition arrangement with NIST/NVLAP; or

(iii) An organization classified by the Department, pursuant to § 429.74, as an accreditation body.

(2) NIST/NVLAP is under the auspices of the National Institute of Standards and Technology (NIST)/National Voluntary Laboratory Accreditation Program (NVLAP), which is part of the U.S. Department of Commerce. NIST/NVLAP accreditation is granted on the basis of conformance with criteria published in 15 CFR part 285. The National Voluntary Laboratory Accreditation Program, ''Procedures and General Requirements,'' NIST Handbook 150–10, April 2020 (referenced for guidance only, *see* § 429.3) present the technical requirements of NVLAP for the Efficiency of Electric Motors field of accreditation. This handbook supplements NIST Handbook 150, National Voluntary Laboratory Accreditation Program ''Procedures and General Requirements,'' which contains 15 CFR part 285 plus all general NIST/NVLAP procedures, criteria, and policies. Information regarding NIST/NVLAP and its Efficiency of Electric Motors Program (EEM) can be obtained from NIST/NVLAP, 100 Bureau Drive, Mail Stop 2140, Gaithersburg, MD 20899–2140, (301) 975–4016 (telephone), or (301) 926–2884 (fax).

[87 FR 63647, Oct. 19, 2022]

§ 429.65 Dedicated-purpose pool pump motors.

(a) *Applicability*. This section applies to dedicated purpose motors that are subject to requirements in subpart Z of part 431 of this subchapter. Starting on the compliance date for any standards for dedicated-purpose pool pump motors published after January 1, 2021, manufacturers of dedicated-purpose pool pump motors subject to such standards must make representations of energy efficiency, including representations for certification of compliance, in accordance with this section. Prior to the compliance date for any standards for dedicated-purpose pool pump motors published after January 1, 2021, and on or after April 17, 2023, manufacturers of dedicated-purpose pool pump motors subject to test procedures in subpart Z of part 431 of this subchapter choosing to make representations of energy efficiency must follow the provisions in paragraph (c) of this section.

(b) *Compliance certification*. A manufacturer may not certify the compliance of a dedicated-purpose pool pump motor pursuant to 10 CFR 429.12 unless:

(1) Testing of the dedicated-purpose pool pump motor basic model was conducted using an accredited laboratory that meets the requirements of paragraph (d) of this section;

(2) Testing was conducted using a laboratory other than an accredited laboratory that meets the requirements of paragraph (d) of this section, or the full-load efficiency of the dedicated-purpose pool pump motor basic model was determined through the application of an AEDM pursuant to the requirements of § 429.70(k), and a third-party certification organization that is nationally recognized in the United States under § 429.73 has certified the full-load efficiency of the dedicated-purpose pool pump motor basic model through issuance of a certificate of conformity for the basic model.

(c) *Determination of represented value*. A manufacturer must determine the represented value of full-load efficiency (inclusive of the drive, if the dedicated-purpose pool pump motor basic model is placed into commerce with a drive, or is unable to operate without the presence of a drive) for each basic model of dedicated-purpose pool pump motor either by testing in conjunction with the applicable sampling provisions or by applying an AEDM as set forth in this section and in § 429.70(k).

(1) *Testing*—(i) *Units to be tested*. If the represented value for a given basic model is determined through testing, the requirements of § 429.11 apply except that, for dedicated-purpose pool pump motors, the minimum sample size is five units. If fewer units than the minimum sample size are produced, each unit produced must be tested and the test results must demonstrate that the basic model performs at or better than the applicable standard(s). If one or more units of the basic model are manufactured subsequently, compliance with the default sampling and representations provisions is required.

(ii) *Full-load efficiency.* Any value of full-load efficiency must be lower than or equal to the average of the sample $\bar{x}$, calculated as follows:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where x_i is the measured full-load efficiency of unit i and n is the number of units tested in the sample.

(iii) *Represented value.* The represented value is the full-load efficiency of a basic model of dedicated-purpose pool pump motor and is to be used in marketing materials and all public representations, as the certified value of efficiency, and on the nameplate. (*See* § 431.486 of this subchapter). Alternatively, a manufacturer may make representations using the nominal full-load efficiency of a basic model of dedicated-purpose pool pump motor provided that the manufacturer uses the nominal full-load efficiency consistently on all marketing materials, and as the value on the nameplate. Determine the nominal full-load efficiency by selecting an efficiency from the ''Nominal Full-load Efficiency'' table in appendix B to subpart B of this part, that is no greater than the full-load efficiency of the basic model as calculated in § 429.65(c)(1)(ii).

(iv) *Minimum full-load efficiency:* To ensure quality control and consistency of performance within the basic model, the lowest full-load efficiency in the sample X_{min}, must satisfy the condition:

$$x_{min} \geq \frac{100}{1 + 1.15(\frac{100}{Std} - 1)}$$

where *Std* is the value of any applicable energy conservation standard. If the lowest measured full-load efficiency of a motor in the tested sample does not satisfy the condition in this section, then the basic model cannot be certified as compliant with the applicable standard.

(v) *Dedicated-purpose pool pump motor total horsepower.* The represented value of the total horsepower of a basic model of dedicated-purpose pool pump motor must be the mean of the dedicated-purpose pool pump motor total horsepower for each tested unit in the sample.

(2) *Alternative efficiency determination methods.* In lieu of testing, the represented value of full-load efficiency for a basic model of dedicated-purpose pool pump motor must be determined through the application of an AEDM pursuant to the requirements of § 429.70(k) and the provisions of this section, where:

(i) The full-load efficiency of any basic model used to validate an AEDM must be calculated under paragraph (c)(1)(ii) of this section; and

(ii) The represented value is the full-load efficiency of a basic model of dedicated-purpose pool pump motor and is to be used in marketing materials and all public representations, as the certified value of efficiency, and on the nameplate. (*See* § 431.485 of this subchapter). Alternatively, a manufacturer may make representations using the nominal full-load efficiency of a basic model of dedicated-purpose pool pump motor provided that the manufacturer uses the nominal full-load efficiency consistently on all marketing materials, and as the value on the nameplate. Determine the nominal

full-load efficiency by selecting an efficiency from the ''Nominal Full-load Efficiency'' table in appendix B to subpart B of this part, that is no greater than the full-load efficiency of the basic model as calculated in § 429.65(c)(1)(ii).

(d) *Accredited laboratory*. (1) Testing pursuant to paragraph (b) of this section must be conducted in an accredited laboratory for which the accreditation body was:

(i) The National Institute of Standards and Technology/National Voluntary Laboratory Accreditation Program (NIST/NVLAP); or

(ii) A laboratory accreditation body having a mutual recognition arrangement with NIST/NVLAP; or

(iii) An organization classified by the Department, pursuant to § 429.74, as an accreditation body.

(2) NIST/NVLAP is under the auspices of the National Institute of Standards and Technology (NIST)/National Voluntary Laboratory Accreditation Program (NVLAP), which is part of the U.S. Department of Commerce. NIST/NVLAP accreditation is granted on the basis of conformance with criteria published in 15 CFR part 285. The National Voluntary Laboratory Accreditation Program, ''Procedures and General Requirements,'' NIST Handbook 150–10, April 2020, (referenced for guidance only, *see* § 429.3) present the technical requirements of NVLAP for the Efficiency of Electric Motors field of accreditation. This handbook supplements NIST Handbook 150, National Voluntary Laboratory Accreditation Program ''Procedures and General Requirements,'' which contains 15 CFR part 285 plus all general NIST/NVLAP procedures, criteria, and policies. Information regarding NIST/NVLAP and its Efficiency of Electric Motors Program (EEM) can be obtained from NIST/NVLAP, 100 Bureau Drive, Mail Stop 2140, Gaithersburg, MD 20899–2140, (301) 975–4016 (telephone), or (301) 926–2884 (fax).

(e) *Certification reports for dedicated purpose pool pump motors*. (1) The requirements of § 429.12 apply to dedicated-purpose pool pump motors.

(2) Pursuant to § 429.12(b)(13), a certification report must include the following public, product-specific information for each basic model:

(i) The dedicated-purpose pool pump motor total horsepower as described in paragraph (c)(1)(v) of this section;

(ii) For all basic models with total horsepower less than 0.5 THP, the full-load efficiency in percent (%) as described in this section; and

(iii) For all basic models with total horsepower greater than or equal to 0.5 THP: a statement confirming that the motor is a variable speed control dedicated purpose pool pump motor, as defined at § 431.483 of this chapter; and a statement regarding whether freeze protection is shipped enabled or disabled; for dedicated-purpose pool pump motors distributed in commerce with freeze protection controls enabled: The default dry-bulb air temperature setting (in °F), default run time setting (in minutes), maximum operating speed (in revolutions per minute, or rpm), and default motor speed in freeze protection mode (in revolutions per minute, or rpm).

(f) *Rounding requirements*. (1) Round dedicated-purpose-pool pump motor total horsepower to the nearest hundredth of a THP;

(2) Round full-load efficiency to the nearest tenth of a percent; and

(3) For dedicated-purpose pool pump motor basic models with total horsepower greater than or equal to 0.5 THP and distributed in commerce with freeze protection controls enabled, round the dry-bulb temperature setting, run time setting, maximum operating speed, and default motor speed in freeze protection mode to the nearest whole number.

[87 FR 63648, Oct. 19, 2022, as amended at 89 FR 82068, Oct. 9, 2024]

§ 429.66 General service incandescent lamps.

NOTE 1 TO § 429.66: Prior to February 17, 2023, certification reports must be submitted as required either in this section or 10 CFR 429.27 as it appears in the 10 CFR parts 200 through 499 edition revised as of January 1, 2022. On or after February 17, 2023, certification reports must be submitted as required in this section.

(a) *Determination of Represented Value*. Each manufacturer must determine represented values, which include certified ratings, for each basic model by

testing in accordance with the following sampling provisions.

(1) Units to be tested.

(i) When testing, use a sample comprised of production units. The same sample of units must be tested and used as the basis for representations for initial lumen output, rated wattage, color rendering index (CRI), correlated color temperature (CCT), and lifetime.

(ii) For each basic model, randomly select and test a sample of sufficient size, but not less than 10 units, to ensure that—

(A) Represented values of initial lumen output and CRI are less than or equal to the lower of:

(*1*) The arithmetic mean of the sample: or,

(*2*) The lower 95 percent confidence limit (LCL) of the true mean divided by .97, where:

$$LCL = \bar{x} - t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from Appendix A).

(B) Represented values of rated wattage are greater than or equal to the higher of:

(*1*) The arithmetic mean of the sample: or,

(*2*) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.03, where:

$$UCL = \bar{x} + t_{.95}\left(\frac{s}{\sqrt{n}}\right)$$

and $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95% one-tailed confidence interval with n-1 degrees of freedom (from appendix A to this subpart).

(2) Any represented values of measures of energy efficiency or energy consumption for all individual models represented by a given basic model must be the same.

(3) Represented values of CCT must be equal to the arithmetic mean of the sample.

(4) Represented values of lifetime must be equal to or less than the median time to failure of the sample (calculated as the arithmetic mean of the time to failure of the two middle sample units (or the value of the middle sample unit if there are an odd number of units) when the measured values are sorted in value order).

(5) Calculate represented values of life (in years) by dividing the represented lifetime of these lamps as determined in paragraph (a)(4) of this section by the estimated daily operating hours as specified in 16 CFR 305.23(b)(3)(iii) multiplied by 365.

(6) Represented values of the estimated annual energy cost, expressed in dollars per year, must be the product of the rated wattage in kilowatts, an electricity cost rate as specified in 16 CFR 305.23(b)(1)(ii), and an estimated average daily use as specified in 16 CFR 305.23(b)(1)(ii) multiplied by 365.

(b) *Certification reports.* (1) The requirements of § 429.12 apply to general service incandescent lamps; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information: The testing laboratory's ILAC accreditation body's identification number or other approved identification assigned by the ILAC accreditation body, rated wattage in watts (W), the lifetime in hours, CRI, and initial lumen output in lumens (lm).

(c) *Rounding Requirements.* (1) Round rated wattage to the nearest tenth of a watt.

(2) Round initial lumen output to three significant digits.

(3) Round CCT to the nearest 100 kelvin (K).

(4) Round CRI to the nearest whole number.

(5) Round lifetime to the nearest whole hour.

(6) Round life (in years) to the nearest tenth.

(7) Round annual energy cost to the nearest cent.

[87 FR 53639, Aug. 31, 2022]

§ 429.67 Air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 British thermal units per hour and air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with a cooling capacity of less than 65,000 British thermal units per hour.

(a) *Applicability.* (1) For air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 Btu/h and air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with a cooling capacity of less than 65,000 Btu/h subject to standards in terms of seasonal energy efficiency ratio (SEER) and heating seasonal performance factor (HSPF), representations with respect to the energy use or efficiency, including compliance certifications, are subject to the requirements in § 429.43 of this title as it appeared in the 10 CFR parts 200–499 edition revised as of January 1, 2021.

(2) For air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 Btu/h and air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with a cooling capacity of less than 65,000 Btu/h subject to standards in terms of seasonal energy efficiency ratio 2 (SEER2) and heating seasonal performance factor 2 (HSPF2) metrics, representations with respect to the energy use or efficiency, including compliance certifications, are subject to the requirements in this section. If manufacturers choose to certify compliance with any standards in terms of SEER2 and HSPF2 prior to the applicable compliance date for those standards, the requirements of this section must be followed.

(b) *Determination of Represented Value*—(1) *Required represented values.* Determine the represented values (including SEER2, HSPF2, cooling capacity, and heating capacity, as applicable) for the individual models/combinations (or ''tested combinations'') specified in table 1 to this paragraph (b)(1).

TABLE 1 TO PARAGRAPH (b)(1)

Category	Equipment subcategory	Required represented values
Single-Package unit	Single-Package AC (including Space-Constrained).	Every individual model distributed in commerce.
	Single-Package HP (including Space-Constrained).	

TABLE 1 TO PARAGRAPH (b)(1)—Continued

Category	Equipment subcategory	Required represented values
Outdoor Unit and Indoor Unit (Distributed in Commerce by OUM (Outdoor Unit Manufacturer)).	Single-Split-System AC with Single-Stage or Two-Stage Compressor (including Space-Constrained and Small-Duct, High Velocity Systems (SDHV)).	Every individual combination distributed in commerce. Each model of outdoor unit must include a represented value for at least one coil-only individual combination that is distributed in commerce and which is representative of the least efficient combination distributed in commerce with that particular model of outdoor unit. For that particular model of outdoor unit, additional represented values for coil-only and blower-coil individual combinations are allowed, if distributed in commerce.
	Single-Split-System AC with Other Than Single-Stage or Two-Stage Compressor (including Space-Constrained and SDHV).	Every individual combination distributed in commerce, including all coil-only and blower coil combinations.
	Single-Split-System HP (including Space-Constrained and SDHV).	Every individual combination distributed in commerce.
	Multi-Split, Multi-Circuit, or Multi-Head Mini-Split Split System—non-SDHV (including Space-Constrained).	For each model of outdoor unit, at a minimum, a non-ducted ''tested combination.'' For any model of outdoor unit also sold with models of ducted indoor units, a ducted ''tested combination.'' When determining represented values on or after the compliance date of any amended energy conservation standards, the ducted ''tested combination'' must comprise the highest static variety of ducted indoor unit distributed in commerce (i.e., conventional, mid-static, or low-static). Additional representations are allowed, as described in paragraph (d)(3) of this section.
	Multi-Split, Multi-Circuit, or Multi-Head Mini-Split Split System—SDHV.	For each model of outdoor unit, an SDHV ''tested combination.'' Additional representations are allowed, as described in paragraph (d)(3) of this section.
Indoor Unit Only Distributed in Commerce by ICM (Independent Coil Manufacturer).	Single-Split-System Air Conditioner (including Space-Constrained and SDHV).	Every individual combination distributed in commerce.
	Single-Split-System Heat Pump (including Space-Constrained and SDHV).	
	Multi-Split, Multi-Circuit, or Multi-Head Mini-Split Split System—SDHV.	For a model of indoor unit within each basic model, a SDHV ''tested combination.'' Additional representations are allowed, as described in section (d)(3)(ii) of this section.
Outdoor Unit with no Match		Every model of outdoor unit distributed in commerce (tested with a model of coil-only indoor unit as specified in paragraph (c)(2) of this section).

(2) *Refrigerants.* (i) If a model of outdoor unit (used in a single-split, multi-split, multi-circuit, multi-head mini-split, and/or outdoor unit with no match system) is distributed in commerce and approved for use with multiple refrigerants, a manufacturer must determine all represented values for that model using each refrigerant that can be used in an individual combination of the basic model (including outdoor units with no match or ''tested combinations''). This requirement may apply across the listed categories in table 1 to paragraph (b)(1) of this section. A refrigerant is considered approved for use if it is listed on the nameplate of the outdoor unit. If any of the refrigerants approved for use is HCFC–22 or has a 95 °F midpoint saturation absolute pressure that is ±18 percent of the 95 °F saturation absolute

pressure for HCFC–22, or if there are no refrigerants designated as approved for use, a manufacturer must determine represented values (including SEER2, HSPF2, cooling capacity, and heating capacity, as applicable) for, at a minimum, an outdoor unit with no match. If a model of outdoor unit is not charged with a specified refrigerant from the point of manufacture or if the unit is shipped requiring the addition of more than two pounds of refrigerant to meet the charge required for testing per Section 5.1.8 of AHRI 210/240–2023 (incorporated by reference, see § 429.4) (unless either {a} the factory charge is equal to or greater than 70 percent of the outdoor unit internal volume multiplied by the liquid density of refrigerant at 95 °F or {b} an A2L refrigerant is approved for use and listed in the certification report), a manufacturer must determine represented values (including SEER2, HSPF2, cooling capacity, and heating capacity, as applicable) for, at a minimum, an outdoor unit with no match.

(ii) If a model is approved for use with multiple refrigerants, a manufacturer may make multiple separate representations for the performance of that model (all within the same individual combination or outdoor unit with no match) using the multiple approved refrigerants. In the alternative, manufacturers may certify the model (all within the same individual combination or outdoor unit with no match) with a single representation, provided that the represented value is no more efficient than its performance using the least-efficient refrigerant. A single representation made for multiple refrigerants may not include equipment in multiple categories or equipment subcategories listed in table 1 to paragraph (b)(1) of this section.

(3) *Limitations for represented values of individual combinations.* Paragraph (b)(3)(i) of this section explains the limitations for represented values of individual combinations (or ''tested combinations'').

(i) *Multiple product classes.* Models of outdoor units that are rated and distributed in individual combinations that span multiple product classes must be tested, rated, and certified pursuant to paragraph (b) of this section as compliant with the applicable standard for each product class.

(ii) Reserved.

(4) *Requirements.* All represented values under paragraph (b) of this section must be based on testing in accordance with the requirements in paragraph (c) of this section or the application of an AEDM or other methodology as allowed in paragraph (d) of this section.

(c) *Units tested*—(1) *General.* The general requirements of § 429.11 apply to air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 Btu/h, and air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with a cooling capacity of less than 65,000 Btu/h; and

(2) *Sampling plans and represented values.* For individual models (for single-package systems) or individual combinations (for split-systems, including ''tested combinations'' for multi-split, multi-circuit, and multi-head mini-split systems) with represented values determined through testing, each individual model/combination (or ''tested combination'') must have a sample of sufficient size tested in accordance with the applicable provisions of this subpart. For heat pumps (other than heating-only heat pumps), all units of the sample population must be tested in both the cooling and heating modes and the results used for determining all representations. The represented values for any individual model/combination must be assigned such that:

(i) *SEER2 and HSPF2.* Any represented value of the energy efficiency or other measure of energy consumption for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the ith sample; or,

(B) The lower 90 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.90}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.90}$ is the t statistic for a 90 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A of this subpart). Round represented values of SEER2 and HSPF2 to the nearest 0.05.

(ii) *Cooling Capacity and Heating Capacity.* The represented values of cooling capacity and heating capacity must each be a self-declared value that is:

(A) Less than or equal to the lower of:

(*1*) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and, $\bar{x}$ is the sample mean; n is the number of samples; and x_i is the i^{th} sample; or,

(*2*) The lower 90 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{.90}\left(\frac{s}{\sqrt{n}}\right)$$

And $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.90}$ is the Student's t-Distribution Values for a 90 percent one-tailed confidence interval with n−1 degrees of freedom (from appendix A to this subpart).

(B) Rounded according to:

(*1*) The nearest 100 Btu/h if cooling capacity or heating capacity is less than 20,000 Btu/h,

(*2*) The nearest 200 Btu/h if cooling capacity or heating capacity is greater than or equal to 20,000 Btu/h but less than 38,000 Btu/h, and

(*3*) The nearest 500 Btu/h if cooling capacity or heating capacity is greater than or equal to 38,000 Btu/h and less than 65,000 Btu/h.

(d) *Determination of represented values*—(1) *All basic models except outdoor units with no match and multi-split systems, multi-circuit systems, and multi-head mini-split systems.* For every individual model/combination within a basic model, either—

(i) A sample of sufficient size, comprised of production units or representing production units, must be tested as complete systems with the resulting represented values for the individual model/combination obtained in accordance with paragraphs (c)(1) and (2) of this section; or

(ii) The represented values of the measures of energy efficiency or energy consumption through the application of an AEDM in accordance with paragraph (e) of this section and § 429.70.

(2) *Outdoor units with no match.* All models of outdoor units with no match within a basic model must be tested with a model of coil-only indoor unit meeting the requirements of Section 5.1.6.2 of AHRI 210/240–2023. Models of outdoor units with no match may not be rated with an AEDM, other than to determine the represented values for models using approved refrigerants other than the one used in testing.

(3) *For multi-split systems, multi-circuit systems, and multi-head mini-split systems.* The following applies:

(i) For each non-SDHV basic model, at a minimum, a manufacturer must test the model of outdoor unit with a

''tested combination'' composed entirely of non-ducted indoor units. For any models of outdoor units also sold with models of ducted indoor units, a manufacturer must test a second ''tested combination'' composed entirely of ducted indoor units (in addition to the non-ducted combination). The ducted ''tested combination'' must comprise the highest static variety of ducted indoor unit distributed in commerce (*i.e.*, conventional, mid-static, or low-static).

(ii) If a manufacturer chooses to make representations of a variety of a basic model (*i.e.*, conventional, low static, or mid-static) other than a variety for which a representation is required under paragraph (b)(1) of this section the manufacturer must conduct testing of a tested combination according to the requirements in paragraphs (c)(1) and (2) of this section.

(iii) For basic models that include mixed combinations of indoor units (*i.e.*, combinations that are comprised of any two of the following varieties—non-ducted, low-static, mid-static, and conventional ducted indoor units), the represented value for the mixed combination is the mean of the represented values for the individual component combinations as determined in accordance with paragraphs (c)(1) and (2) and (d)(3)(i) and (ii) of this section.

(iv) For each SDHV basic model distributed in commerce by an OUM, the OUM must, at a minimum, test the model of outdoor unit with a ''tested combination'' composed entirely of SDHV indoor units. For each SDHV basic model distributed in commerce by an ICM, the ICM must test the model of indoor unit with a ''tested combination'' composed entirely of SDHV indoor units, where the outdoor unit is the least efficient model of outdoor unit with which the SDHV indoor unit will be paired. The least efficient model of outdoor unit is the model of outdoor unit in the lowest SEER2 combination as certified by the outdoor unit manufacturer. If there are multiple outdoor unit models with the same lowest SEER2 represented value, the indoor coil manufacturer may select one for testing purposes.

(v) For basic models that include SDHV and an indoor unit of another variety (*i.e.*, non-ducted, low-static, mid-static, and conventional ducted), the represented value for the mixed SDHV/other combination is the mean of the represented values for the SDHV and other tested combination as determined in accordance with paragraphs (c)(1) and (2) and paragraphs (d)(3)(i) through (ii) of this section.

(vi) All other individual combinations of models of indoor units for the same model of outdoor unit for which the manufacturer chooses to make representations must be rated as separate basic models, and the provisions of paragraphs (c)(1) and (2) and (d)(3)(i) through (v) of this section apply.

(e) *Alternative efficiency determination methods.* In lieu of testing, represented values of efficiency or consumption may be determined through the application of an AEDM pursuant to the requirements of § 429.70(l) and the provisions of this section.

(1) *Energy efficiency.* Any represented value of the SEER2, HSPF2, or other measure of energy efficiency of an individual model/combination for which consumers would favor higher values must be less than or equal to the output of the AEDM but no less than the standard.

(2) *Cooling capacity.* The represented value of cooling capacity of an individual model/combination must be no greater than the cooling capacity output simulated by the AEDM.

(3) *Heating capacity.* The represented value of heating capacity of an individual model/combination must be no greater than the heating capacity output simulated by the AEDM.

(f) *Certification reports.* This paragraph specifies the information that must be included in a certification report.

(1) The requirements of § 429.12; and

(2) Pursuant to § 429.12(b)(13), for each individual model (for single-package systems) or individual combination (for split-systems, including outdoor units with no match and ''tested combinations'' for multi-split, multi-circuit, and multi-head mini-split systems), a certification report must include the following public equipment-specific information:

(i) Commercial package air conditioning equipment that is air-cooled

with a cooling capacity of less than 65,000 Btu/h (3-Phase):

(A) When certifying compliance with a SEER standard: The seasonal energy efficiency ratio (SEER in British thermal units per Watt-hour (Btu/Wh)), and the rated cooling capacity in British thermal units per hour (Btu/h).

(B) When certifying compliance with a SEER2 standard: the seasonal energy efficiency ratio 2 (SEER2 in British thermal units per Watt-hour (Btu/Wh)) and the rated cooling capacity in British thermal units per hour (Btu/h).

(ii) Commercial package heating equipment that is air-cooled with a cooling capacity of less than 65,000 Btu/h (3-Phase):

(A) When certifying compliance with an HSPF standard: The seasonal energy efficiency ratio (SEER in British thermal units per Watt-hour (Btu/Wh)), the heating seasonal performance factor (HSPF in British thermal units per Watt-hour (Btu/Wh)), and the rated cooling capacity in British thermal units per hour (Btu/h).

(B) When certifying compliance with an HSPF2 standard: the seasonal energy efficiency ratio 2 (SEER2 in British thermal units per Watt-hour (Btu/Wh)), the heating seasonal performance factor 2 (HSPF2 in British thermal units per Watt-hour (Btu/Wh)) and the rated cooling capacity in British thermal units per hour (Btu/h).

(iii) Air-cooled, three-phase, variable refrigerant flow multi-split air conditioners with a cooling capacity of less than 65,000 Btu/h:

(A) When certifying compliance with a SEER standard: The seasonal energy efficiency ratio (SEER in British thermal units per Watt-hour (Btu/Wh)), and the rated cooling capacity in British thermal units per hour (Btu/h).

(B) When certifying compliance with a SEER2 standard: the seasonal energy efficiency ratio 2 (SEER2 in British thermal units per Watt-hour (Btu/Wh)) and the rated cooling capacity in British thermal units per hour (Btu/h).

(iv) Air-cooled, three-phase, variable refrigerant flow multi-split heat pumps with a cooling capacity of less than 65,000 Btu/h:

(A) When certifying compliance with an HSPF standard: The seasonal energy efficiency ratio (SEER in British thermal units per Watt-hour (Btu/Wh)), the heating seasonal performance factor (HSPF in British thermal units per Watt-hour (Btu/Wh)), and the rated cooling capacity in British thermal units per hour (Btu/h).

(B) When certifying compliance with an HSPF2 standard: the seasonal energy efficiency ratio 2 (SEER2 in British thermal units per Watt-hour (Btu/Wh)), the heating seasonal performance factor 2 (HSPF2 in British thermal units per Watt-hour (Btu/Wh)) and the rated cooling capacity in British thermal units per hour (Btu/h).

(3) Pursuant to § 429.12(b)(13), for each individual model/combination (including outdoor units with no match and ''tested combinations''), a certification report must include supplemental information submitted in PDF format. The equipment-specific, supplemental information must include any additional testing and testing set up instructions (e.g., charging instructions) for the basic model; identification of all special features that were included in rating the basic model; and all other information (e.g., operational codes or component settings) necessary to operate the basic model under the required conditions specified by the relevant test procedure. A manufacturer may also include with a certification report other supplementary items in PDF format (e.g., manuals) for DOE consideration in performing testing under subpart C of this part. The equipment-specific, supplemental information must include at least the following:

(i) Air cooled commercial package air conditioning equipment with a cooling capacity of less than 65,000 Btu/h (3-phase): The nominal cooling capacity in British thermal units per hour (Btu/h); rated airflow in standard cubic feet per minute (SCFM) for each fan coil; rated external static pressure in inches of water; refrigeration charging instructions (*e.g.*, refrigerant charge, superheat and/or subcooling temperatures); frequency or control set points for variable speed components (*e.g.*, compressors, VFDs); required dip switch/control settings for step or variable components; a statement whether

the model will operate at test conditions without manufacturer programming; any additional testing instructions, if applicable; if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; and which, if any, special features were included in rating the basic model. Additionally, when certifying compliance with a SEER2 standard, the supplemental information must also include: for models of outdoor units with no match, the following characteristics of the indoor coil: the face area, the coil depth in the direction of airflow, the fin density (fins per inch), the fin material, the fin style, the tube diameter, the tube material, and the numbers of tubes high and deep.

(ii) *Commercial package heating equipment that is air-cooled with a cooling capacity of less than 65,000 Btu/h (3-phase):* The nominal cooling capacity in British thermal units per hour (Btu/h); rated heating capacity in British thermal units per hour (Btu/h); rated airflow in standard cubic feet per minute (SCFM) for each fan coil; rated external static pressure in inches of water; refrigeration charging instructions (*e.g.,* refrigerant charge, superheat and/or subcooling temperatures); frequency or control set points for variable speed components (*e.g.,* compressors, VFDs); required dip switch/control settings for step or variable components; a statement whether the model will operate at test conditions without manufacturer programming; any additional testing instructions, if applicable; if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; and which, if any, special features were included in rating the basic model. Additionally, when certifying compliance with an HSPF2 standard, the supplemental information must also include: for models of outdoor units with no match, the following characteristics of the indoor coil: the face area, the coil depth in the direction of airflow, the fin density (fins per inch), the fin material, the fin style, the tube diameter, the tube material, and the numbers of tubes high and deep.

(iii) Variable refrigerant flow multi-split air conditioners that are air-cooled with a cooling capacity of less than 65,000 Btu/h (3-Phase): The nominal cooling capacity in British thermal units per hour (Btu/h); outdoor unit(s) and indoor units identified in the tested combination; components needed for heat recovery, if applicable; rated airflow in standard cubic feet per minute (SCFM) for each indoor unit; rated static pressure in inches of water; compressor frequency set points; required dip switch/control settings for step or variable components; a statement whether the model will operate at test conditions without manufacturer programming; any additional testing instructions, if applicable; if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; and which, if any, special features were included in rating the basic model. Additionally, upon DOE request, the manufacturer must provide a layout of the system set-up for testing including charging instructions consistent with the installation manual.

(iv) Variable refrigerant flow multi-split heat pumps that are air-cooled with a rated cooling capacity of less than 65,000 Btu/h (3-Phase): The nominal cooling capacity in British thermal units per hour (Btu/h); rated heating capacity in British thermal units per hour (Btu/h); outdoor unit(s) and indoor units identified in the tested combination; components needed for heat recovery, if applicable; rated airflow in

standard cubic feet per minute (SCFM) for each indoor unit; rated static pressure in inches of water; compressor frequency set points; required dip switch/control settings for step or variable components; a statement whether the model will operate at test conditions without manufacturer programming; any additional testing instructions, if applicable; if a variety of motors/drive kits are offered for sale as options in the basic model to account for varying installation requirements, the model number and specifications of the motor (to include efficiency, horsepower, open/closed, and number of poles) and the drive kit, including settings, associated with that specific motor that were used to determine the certified rating; and which, if any, special features were included in rating the basic model. Additionally, upon DOE request, the manufacturer must provide a layout of the system set-up for testing including charging instructions consistent with the installation manual.

(4) The basic model number and individual model number(s) required to be reported under § 429.12(b)(6) must consist of the following:

TABLE 2 TO PARAGRAPH (f)(4)

Equipment type	Basic model number	Individual model number(s)		
		1	2	3
Single-Package (including Space-Constrained).	Number unique to the basic model.	Package	N/A	N/A.
Single-Split System (including Space-Constrained and SDHV).	Number unique to the basic model.	Outdoor Unit.	Indoor Unit	If applicable—Air Mover (could be same as indoor unit if fan is part of indoor unit model number).
Multi-Split, Multi-Circuit, and Multi-Head Mini-Split System (including Space-Constrained and SDHV).	Number unique to the basic model.	Outdoor Unit.	When certifying a basic model based on tested combination(s): * * *. When certifying an individual combination: Each indoor units paired with the outdoor unit.	If applicable—When certifying a basic model based on tested combination(s): * * *. When certifying an individual combination: Each air movers paired with the outdoor unit.
Outdoor Unit with No Match	Number unique to the basic model.	Outdoor Unit.	N/A	N/A.

[87 FR 77317, Dec. 16, 2022, as amended at 89 FR 82068, Oct. 9, 2024]

§ 429.68 Air cleaners.

(a) *Sampling plan for selection of units for testing.* (1) The requirements of § 429.11 are applicable to air cleaners; and

(2) For each basic mode of air cleaners, a sample of sufficient size shall be randomly selected and tested to ensure that—

(i) Any represented value of annual energy consumption or other measure of energy consumption of a basic mode for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where:

$\bar{x}$ is the sample mean;
n is the number of samples; and,
x_i is the i^{th} sample.

Or,

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.10:

$$UCL = \bar{x} + t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

Where:

$\bar{x}$ is the sample mean;
s is the sample standard deviation;
n is the number of samples; and,
$t_{0.95}$ is the t statistic for a 95 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A).

And

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where:

$\bar{x}$ is the sample mean;
n is the number of samples; and,
x_i is the i^{th} sample.

Or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.90:

$$LCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

Where:

$\bar{x}$ is the sample mean;
s is the sample standard deviation;
n is the number of samples; and,
$t_{0.95}$ is the t statistic for a 95 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A).

And

(3) Any represented value of the pollen, smoke, dust, and $PM_{2.5}$ clean air delivery rate (CADR) of a basic model must be the mean of the CADR for each tested unit of the basic model. Round the mean clean air delivery rate value to the nearest whole number.

(4) Any represented value of the effective room size, in square feet, of a basic model must be calculated as the product of 1.55 and the represented smoke CADR value of the basic model as determined in paragraph (a)(3) of this section. Round the value of the effective room size, in square feet, to the nearest whole number.

(ii) Any represented value of the integrated energy factor or other measure of energy consumption of a basic mode for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample:

(5) Round the value of the annual energy consumption, in kWh/year, of a basic model to the nearest whole number.

(6) Round the value of the integrated energy factor of a basic model to the nearest 0.1 CADR/W.

(b) *Certification reports.* (1) The requirements of § 429.12 are applicable to air cleaners; and

(2) Pursuant to § 429.12(b)(13), a certification report shall include the following public product-specific information:

(i) Smoke clean air delivery rate (CADR) in cubic feet per minute (cfm);

(ii) Dust CADR in cfm;

(iii) $PM_{2.5}$ CADR in cfm;

(iv) Annual energy consumption in kilowatt hours per year (kWh/yr);

(v) Integrated energy factor in $PM_{2.5}$ CADR per watt; and

(vi) Effective room size in square feet.

[88 FR 14043, Mar. 6, 2023, as amended at 89 FR 82069, Oct. 9, 2024]

§ 429.69 Fans and blowers.

(a) *Determination of represented values of fans and blowers other than air circulating fans.* A manufacturer must determine the represented values for each basic model, either by testing in conjunction with the applicable sampling provisions or by applying an AEDM as set forth in this section and in § 429.70(n). Manufacturers must update represented values to account for any change in the applicable motor standards in Table 5 of § 431.25 of this chapter and certify amended values as of the next annual certification (as applicable).

(1) *Testing.* (i) If the represented values for a given basic model are determined through testing, a sample of at least one unit must be selected and the requirements of § 429.11 apply.

(ii) If only one unit is tested, at each duty point characterized by a flow and speed value, any represented value of fan electrical power (''FEP''), fan shaft input power, or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the tested value. Represented values other than FEP must be rounded to the nearest hundredth. FEP must be rounded to three significant figures.

(iii) If only one unit is tested, at each duty point characterized by a flow and speed value, any represented value of fan energy index (''FEI''), or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the tested value. Represented values must be rounded to the nearest hundredth.

(iv) If more than one unit is tested, at each duty point characterized by a flow and speed value, any represented value of fan electrical input power (''FEP''), fan shaft input power, or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where is $\bar{x}$ the sample mean; n is the number of samples, and x_i is the i^{th} sample. Or,

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

and $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A of subpart B of this part). Represented values other than FEP must be rounded to the nearest hundredth. FEP must be rounded to three significant figures.

(v) If more than one unit is tested, any represented value of the fan energy index (''FEI''), or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where $\bar{x}$ is the sample mean; n is the number of samples, and x_i is the i^{th} sample. Or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

and $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A of subpart B of this part). Represented values must be rounded to the nearest hundredth.

(vi) At each duty point characterized by a flow and speed value, the representative value of static or total pressure of a basic model of must be the mean of the tested static or total pressure for each tested unit. If only one unit is tested, the representative value of static or total pressure at the duty point of a basic model is the tested value.

(2) *Alternative efficiency determination methods.* In lieu of testing, the represented values for a basic model must be determined through the application of an AEDM pursuant to the requirements of § 429.70(n) and the provisions of this section, where: the represented values of any basic model used to validate an AEDM must be calculated under paragraph (b)(1) of this section.

(b) *Determination of represented values for air circulating fans.* A manufacturer must determine the represented values for each basic model, either by testing in conjunction with the applicable sampling provisions or by applying an AEDM as set forth in this section and in § 429.70(n).

(1) *Testing.* (i) If the represented values for a given basic model are determined through testing, the requirements of § 429.11 apply.

(ii) Any represented value of fan electrical input power (''W_E''), or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(A) The mean of the sample, where

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where $\bar{x}$ is the sample mean; n is the number of samples, and x_i is the i^{th} sample. Or,

(B) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

and $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A of subpart B of this part). Represented values must be rounded to the nearest hundredth.

(iii) Any represented value of efficacy (Eff_{circ}) or other measure of energy consumption of a basic model for which consumers would favor higher values shall be less than or equal to the lower of:

(A) The mean of the sample, where

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

Where $\bar{x}$ is the sample mean; n is the number of samples, and x_i is the i^{th} sample. Or,

(B) The lower 95 percent confidence limit (LCL) of the true mean divided by 0.95, where:

$$LCL = \bar{x} - t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

and $\bar{x}$ is the sample mean; s is the sample standard deviation; n is the number of samples; and $t_{0.95}$ is the t statistic for a 95 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A of subpart B of this part). Represented values must be rounded to the nearest hundredth.

(2) *Alternative efficiency determination methods.* In lieu of testing, the represented values for a basic model must be determined through the application of an AEDM pursuant to the requirements of § 429.70(n) and the provisions of this section, where: the represented values of any basic model used to validate an AEDM must be calculated under paragraph (b)(1) of this section.

[88 FR 27387, May 1, 2023, as amended at 88 FR 53375, Aug. 8, 2023]

§ 429.70 Alternative methods for determining energy efficiency and energy use.

(a) *General.* A manufacturer of covered products or covered equipment explicitly authorized to use an AEDM in §§ 429.14 through 429.69 may not distribute any basic model of such product or equipment in commerce unless the manufacturer has determined the energy consumption or energy efficiency of the basic model, either from testing the basic model in conjunction with DOE's certification sampling plans and statistics or from applying an alternative method for determining energy efficiency or energy use (*i.e.*, AEDM) to the basic model, in accordance with the requirements of this section. In instances where a manufacturer has tested a basic model to validate the AEDM, the represented value of energy consumption or efficiency of that basic model must be determined and certified according to results from actual testing in conjunction with 10 CFR part 429, subpart B certification sampling plans and statistics. In addition, a manufacturer may not knowingly use an AEDM to overrate the efficiency of a basic model.

(b) *Testing.* Testing for each covered product or covered equipment must be done in accordance with the sampling plan provisions established in § 429.11 and the testing procedures in parts 430 and 431 of this chapter.

(c) *Alternative efficiency determination method (AEDM) for commercial HVAC & WH products (excluding air-cooled, three-phase, small commercial package air conditioning and heating equipment with a*

cooling capacity of less than 65,000 Btu/h and air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with less than 65,000 Btu/h cooling capacity), and commercial refrigerators, freezers, and refrigerator-freezers—(1) *Criteria an AEDM must satisfy.* A manufacturer may not apply an AEDM to a basic model to determine its efficiency pursuant to this section unless:

(i) The AEDM is derived from a mathematical model that estimates the energy efficiency or energy consumption characteristics of the basic model as measured by the applicable DOE test procedure;

(ii) The AEDM is based on engineering or statistical analysis, computer simulation or modeling, or other analytic evaluation of performance data; and

(iii) The manufacturer has validated the AEDM, in accordance with paragraph (c)(2) of this section with basic models that meet the current Federal energy conservation standards.

(2) *Validation of an AEDM.* Before using an AEDM, the manufacturer must validate the AEDM's accuracy and reliability as follows:

(i) The manufacturer must select at least the minimum number of basic models for each validation class specified in paragraph (c)(2)(iv) of this section to which the particular AEDM applies. Using the AEDM, calculate the energy use or efficiency for each of the selected basic models.

(A) Except for variable refrigerant flow multi-split air conditioners and heat pumps (other than air-cooled with rated cooling capacity less than 65,000 btu/h) when certifying to standards in terms of IEER, test a single unit of each selected basic model in accordance with paragraph (c)(2)(iii) of this section. Compare the results from the single unit test and the AEDM energy use or efficiency output according to paragraph (c)(2)(ii) of this section. The manufacturer is responsible for ensuring the accuracy and reliability of the AEDM.

(B) For variable refrigerant flow multi-split air conditioners and heat pumps (other than air-cooled with rated cooling capacity less than 65,000 btu/h) when certifying to standards in terms of IEER, the following provisions apply.

(*1*) If a manufacturer makes representations for a single type of indoor unit combination (*i.e.*, only ducted, non-ducted, or SDHV indoor unit combinations) across all the basic models for which an AEDM applies, the manufacturer must test at least a single tested combination of that type of indoor unit combination for each selected basic model in accordance with paragraph (c)(2)(iii) of this section.

(*2*) If a manufacturer makes representations for two types of indoor unit combinations (*i.e.*, ducted, non-ducted, and/or SDHV) within or across all the basic models for which the AEDM applies, the manufacturer must test at least a single tested combination of a selected basic model for one of those two types of indoor unit combination, and at least a single tested combination of a different selected basic model for the other of those two types of indoor unit combination, each tested in accordance with paragraph (c)(2)(iii) of this section.

(*3*) If a manufacturer makes representations for all three types of indoor unit combinations (*i.e.*, ducted, non-ducted, and SDHV) within or across basic models for which the AEDM applies, the manufacturer must test at least a single tested combination of a selected basic model as a non-ducted tested combination and a single tested combination of a different selected basic model as a ducted tested combination, each in accordance with paragraph (c)(2)(iii) of this section.

(*4*) In all cases, compare the results from each tested basic model and the AEDM energy use or efficiency output according to paragraph (c)(2)(ii) of this section. The manufacturer is responsible for ensuring the accuracy and reliability of the AEDM.

(ii) *Individual model tolerances.* (A) For those covered products with an energy-efficiency metric, the predicted efficiency for each model calculated by applying the AEDM may not be more than five percent greater than the efficiency determined from the corresponding test of the model.

(B) For those covered products with an energy-consumption metric, the predicted energy consumption for each

model, calculated by applying the AEDM, may not be more than five percent less than the energy consumption determined from the corresponding test of the model.

(C) For all covered products, the predicted energy efficiency or consumption for each model calculated by applying the AEDM must meet or exceed the applicable federal energy conservation performance standard.

(D) An AEDM that is validated based on test results obtained from one or more field tests (pursuant to § 431.86(c)) can only be used to certify the performance of basic models of commercial packaged boilers with a certified rated input greater than 5,000,000 Btu/h.

(iii) *Additional test unit requirements.* (A) Each AEDM must be supported by test data obtained from physical tests of current models; and

(B) Test results used to validate the AEDM must meet or exceed current, applicable Federal standards as specified in part 431 of this chapter; and

(C) Each test must have been performed in accordance with the DOE test procedure specified in parts 430 or 431 of this chapter or test procedure waiver for which compliance is required at the time the basic model is distributed in commerce.

(iv) *Validation classes.*

TABLE 1 TO PARAGRAPH (c)(2)(iv)

Validation class	Minimum number of distinct models that must be tested per AEDM
(A) Commercial HVAC Validation Classes	
Air-Cooled, Split and Packaged ACs and HPs Greater than or Equal to 65,000 Btu/h Cooling Capacity and Less than 760,000 Btu/h Cooling Capacity.	2 Basic Models.
Water-Cooled, Split and Packaged ACs and HPs, All Cooling Capacities	2 Basic Models.
Evaporatively-Cooled, Split and Packaged ACs and HPs, All Capacities	2 Basic Models.
Water-Source HPs, All Capacities	2 Basic Models.
Single Package Vertical ACs and HPs	2 Basic Models.
Packaged Terminal ACs and HPs	2 Basic Models.
Air-Cooled, Variable Refrigerant Flow ACs and HPs Greater than or Equal to 65,000 Btu/h Cooling Capacity.	2 Basic Models.
Water-Cooled, Variable Refrigerant Flow ACs and HPs	2 Basic Models.
Computer Room Air Conditioners, Air Cooled	2 Basic Models.
Computer Room Air Conditioners, Water-Cooled and Glycol-Cooled	2 Basic Models.
Direct Expansion-Dedicated Outdoor Air Systems, Air-cooled or Air-source Heat Pump, Without Ventilation Energy Recovery Systems.	2 Basic Models.
Direct Expansion-Dedicated Outdoor Air Systems, Air-cooled or Air-source Heat Pump, With Ventilation Energy Recovery Systems.	2 Basic Models.
Direct Expansion-Dedicated Outdoor Air Systems, Water-cooled, Water-source Heat Pump, or Ground Source Closed-loop Heat Pump, Without Ventilation Energy Recovery Systems.	2 Basic Models.
Direct Expansion-Dedicated Outdoor Air Systems, Water-cooled, Water-source Heat Pump, or Ground Source Closed-loop Heat Pump, With Ventilation Energy Recovery Systems.	2 Basic Models.
(B) Commercial Water Heater Validation Classes	
Gas-fired Water Heaters and Hot Water Supply Boilers Less than 10 Gallons	2 Basic Models.
Gas-fired Water Heaters and Hot Water Supply Boilers Greater than or Equal to 10 Gallons.	2 Basic Models.
Oil-fired Water Heaters and Hot Water Supply Boilers Less than 10 Gallons	2 Basic Models.
Oil-fired Water Heaters and Hot Water Supply Boilers Greater than or Equal to 10 Gallons.	2 Basic Models.
Electric Water Heaters	2 Basic Models.
Heat Pump Water Heaters	2 Basic Models.
Unfired Hot Water Storage Tanks	2 Basic Models.
(C) Commercial Packaged Boilers Validation Classes	
Gas-fired, Hot Water Only Commercial Packaged Boilers	2 Basic Models.
Gas-fired, Steam Only Commercial Packaged Boilers	2 Basic Models.
Gas-fired Hot Water/Steam Commercial Packaged Boilers	2 Basic Models.
Oil-fired, Hot Water Only Commercial Packaged Boilers	2 Basic Models.
Oil-fired, Steam Only Commercial Packaged Boilers	2 Basic Models.

TABLE 1 TO PARAGRAPH (c)(2)(iv)—Continued

Validation class	Minimum number of distinct models that must be tested per AEDM
Oil-fired Hot Water/Steam Commercial Packaged Boilers	2 Basic Models.
(D) Commercial Furnace Validation Classes	
Gas-fired Furnaces	2 Basic Models.
Oil-fired Furnaces	2 Basic Models.
(E) Commercial Refrigeration Equipment Validation Classes [1]	
Self-Contained Open Refrigerators	2 Basic Models.
Self-Contained Open Freezers	2 Basic Models.
Remote Condensing Open Refrigerators	2 Basic Models.
Remote Condensing Open Freezers	2 Basic Models.
Self-Contained Closed Refrigerators	2 Basic Models.
Self-Contained Closed Freezers	2 Basic Models.
Remote Condensing Closed Refrigerators	2 Basic Models.
Remote Condensing Closed Freezers	2 Basic Models.

[1] The minimum number of tests indicated above must be comprised of a transparent model, a solid model, a vertical model, a semi-vertical model, a horizontal model, and a service-over-the counter model, as applicable based on the equipment offering. However, manufacturers do not need to include all types of these models if it will increase the minimum number of tests that need to be conducted.

(3) *AEDM records retention requirements.* If a manufacturer has used an AEDM to determine representative values pursuant to this section, the manufacturer must have available upon request for inspection by the Department records showing:

(i) The AEDM, including the mathematical model, the engineering or statistical analysis, and/or computer simulation or modeling that is the basis of the AEDM;

(ii) Product information, complete test data, AEDM calculations, and the statistical comparisons from the units tested that were used to validate the AEDM pursuant to paragraph (c)(2) of this section; and

(iii) Product information and AEDM calculations for each basic model to which the AEDM has been applied.

(4) *Additional AEDM requirements.* If requested by the Department and at DOE's discretion, the manufacturer must perform at least one of the following:

(i) Conduct simulations before representatives of the Department to predict the performance of particular basic models of the product to which the AEDM was applied;

(ii) Provide analyses of previous simulations conducted by the manufacturer; or

(iii) Conduct certification testing of basic models selected by the Department.

(5) *AEDM verification testing.* DOE may use the test data for a given individual model generated pursuant to § 429.104 to verify the certified rating determined by an AEDM as long as the following process is followed:

(i) *Selection of units.* DOE will obtain units for test from retail, where available. If units cannot be obtained from retail, DOE will request that a unit be provided by the manufacturer;

(ii) *Lab requirements.* DOE will conduct testing at an independent, third-party testing facility of its choosing. In cases where no third-party laboratory is capable of testing the equipment, it may be tested at a manufacturer's facility upon DOE's request.

(iii) *Manufacturer participation.* (A) Except when testing variable refrigerant flow systems (which are governed by the rules found at § 431.96(f)), testing will be completed without a manufacturer representative on-site. In limited instances further described in paragraph (c)(5)(iii)(B) of this section, a manufacturer and DOE representative may be present to witness the test set-up.

(B) A manufacturer's representative may request to be on-site to witness the test set-up if:

(*1*) The installation manual for the basic model specifically requires it to be started only by a factory-trained installer; or

(*2*) The manufacturer has elected, as part of the certification of that basic model, to have the opportunity to witness the test set-up. A manufacturer may elect to witness the test set-up for the initial verification test for no more than 10 percent of the manufacturer's basic models submitted for certification and rated with an AEDM per validation class specified in section (c)(2)(iv) of this paragraph. The 10-percent limit applies to all of the eligible basic models submitted for certification by a given manufacturer no matter how many AEDMs a manufacturer has used to develop its ratings. The 10-percent limit is determined by first calculating 10 percent of the total number of basic models rated with an AEDM per validation class, and then truncating the resulting product. Manufacturers who have submitted fewer than 10 basic models rated with an AEDM for certification may elect to have the opportunity to witness the test set-up of one basic model. A manufacturer must identify the basic models it wishes to witness as part of its certification report(s) prior to the basic model being selected for verification testing.

(*3*) In those instances in which a manufacturer has not provided the required information as specified in § 429.12(b)(13) for a given basic model that has been rated and certified as compliant with the applicable standards, a manufacturer is precluded from witnessing the testing set up for that basic model.

(C) A DOE representative will be present for the test set-up in all cases where a manufacturer representative requests to be on-site for the test set-up. The manufacturer's representative cannot communicate with a lab representative outside of the DOE representative's presence.

(D) If DOE has obtained through retail channels a unit for test that meets either of the conditions in paragraph (c)(5)(iii)(B) of this section, DOE will notify the manufacturer that the basic model was selected for testing and that the manufacturer may have a representative present for the test set-up. If the manufacturer does not respond within five calendar days of receipt of that notification, the manufacturer waives the option to be present for test set-up, and DOE will proceed with the test set-up without a manufacturer's representative present.

(E) If DOE has obtained directly from the manufacturer a unit for test that meets either of the conditions in paragraph (c)(5)(iii)(B) of this section, DOE will notify the manufacturer of the option to be present for the test set-up at the time the unit is purchased. DOE will specify the date (not less than five calendar days) by which the manufacturer must notify DOE whether a manufacturer's representative will be present. If the manufacturer does not notify DOE by the date specified, the manufacturer waives the option to be present for the test set-up, and DOE will proceed with the test set-up without a manufacturer's representative present.

(F) DOE will review the certification submissions from the manufacturer that were on file as of the date DOE purchased a basic model (under paragraph (c)(5)(iii)(D) of this section) or the date DOE notifies the manufacturer that the basic model has been selected for testing (under paragraph (c)(5)(iii)(E) of this section) to determine if the manufacturer has indicated that it intends to witness the test set-up of the selected basic model. DOE will also verify that the manufacturer has not exceeded the allowable limit of witness testing selections as specified in paragraph (c)(5)(iii)(B)(*2*) of this section. If DOE discovers that the manufacturer exceeded the limits specified in paragraph (c)(5)(iii)(B)(*2*), DOE will notify the manufacturer of this fact and deny its request to be present for the test set-up of the selected basic model. The manufacturer must update its certification submission to ensure it has not exceeded the allowable limit of witness testing selections as specified in paragraph (c)(5)(iii)(B)(*2*) to be present at set-up for future selections. At this time DOE will also review the supplemental PDF submission(s) for the selected basic model to determine that all necessary information has been provided to the Department.

(G) If DOE determines, pursuant to paragraph (c)(5)(ii) of this section, that

the model should be tested at the manufacturer's facility, a DOE representative will be present on site to observe the test set-up and testing with the manufacturer's representative. All testing will be conducted at DOE's direction, which may include DOE-contracted personnel from a third-party lab, as well as the manufacturer's technicians.

(H) As further explained in paragraph (c)(5)(v)(B) of this section, if a manufacturer's representative is present for the initial test set-up for any reason, the manufacturer forfeits any opportunity to request a retest of the basic model. Furthermore, if the manufacturer requests to be on-site for test set-up pursuant to paragraph (c)(5)(iii)(B) of this section but is not present on site, the manufacturer forfeits any opportunity to request a retest of the basic model.

(iv) *Testing*. At no time during verification testing may the lab and the manufacturer communicate without DOE authorization. All verification testing will be conducted in accordance with the applicable DOE test procedure, as well as each of the following to the extent that they apply:

(A) Any active test procedure waivers that have been granted for the basic model;

(B) Any test procedure guidance that has been issued by DOE;

(C) The installation and operations manual that is shipped with the unit;

(D) Any additional information that was provided by the manufacturer at the time of certification (prior to DOE obtaining the unit for test); and

(E) If during test set-up or testing, the lab indicates to DOE that it needs additional information regarding a given basic model in order to test in accordance with the applicable DOE test procedure, DOE may organize a meeting between DOE, the manufacturer and the lab to provide such information.

(v) *Failure to meet certified rating*. If a model tests worse than its certified rating by an amount exceeding the tolerance prescribed in paragraph (c)(5)(vi) of this section, DOE will notify the manufacturer. DOE will provide the manufacturer with all documentation related to the test set up, test conditions, and test results for the unit. Within the timeframe allotted by DOE, the manufacturer may then:

(A) Present all claims regarding testing validity; and

(B) If the manufacturer was not on site for the initial test set-up, request a retest of the previously tested unit with manufacturer and DOE representatives on-site for the test set-up. DOE will not conduct the retest using a different unit of the same basic model unless DOE and the manufacturer determine it is necessary based on the test results, claims presented, and DOE regulations.

(vi) *Tolerances*. (A) For consumption metrics, the result from a DOE verification test must be less than or equal to the certified rating × (1 + the applicable tolerance).

(B) For efficiency metrics, the result from a DOE verification test must be greater than or equal to the certified rating × (1 − the applicable tolerance).

TABLE 2 TO PARAGRAPH (c)(5)(vi)(B)

Equipment	Metric	Applicable tolerance
Commercial Packaged Boilers	Combustion Efficiency	5% (0.05)
	Thermal Efficiency	5% (0.05)
Commercial Water Heaters or Hot Water Supply Boilers.	Thermal Efficiency	5% (0.05)
	Standby Loss	10% (0.1)
Unfired Storage Tanks	R-Value	10% (0.1)
Air-Cooled, Split and Packaged ACs and HPs Greater Than or Equal to 65,000 Btu/h Cooling Capacity and Less Than 760,000 Btu/h Cooling Capacity.	Energy Efficiency Ratio	5% (0.05)
	Energy Efficiency Ratio 2	5% (0.05)
	Coefficient of Performance	5% (0.05)
	Coefficient of Performance 2	5% (0.05)
	Integrated Energy Efficiency Ratio	10% (0.1)
	Integrated Ventilation, Economizing, and Cooling	10% (0.1)
	Integrated Ventilation and Heating Efficiency	10% (0.1)
Water-Cooled, Split and Packaged ACs and HPs, All Cooling Capacities.	Energy Efficiency Ratio	5% (0.05)
	Energy Efficiency Ratio 2	5% (0.05)
	Integrated Energy Efficiency Ratio	10% (0.1)
	Integrated Ventilation, Economizing, and Cooling	10% (0.1)

TABLE 2 TO PARAGRAPH (c)(5)(vi)(B)—Continued

Equipment	Metric	Applicable tolerance
Evaporatively-Cooled, Split and Packaged ACs and HPs, All Capacities.	Energy Efficiency Ratio	5% (0.05)
	Energy Efficiency Ratio 2	5% (0.05)
	Integrated Energy Efficiency Ratio	10% (0.1)
	Integrated Ventilation, Economizing, and Cooling	10% (0.1)
Water-Source HPs, All Capacities	Energy Efficiency Ratio	5% (0.05)
	Coefficient of Performance	5% (0.05)
	Integrated Energy Efficiency Ratio	10% (0.1)
Single Package Vertical ACs and HPs	Energy Efficiency Ratio	5% (0.05)
	Coefficient of Performance	5% (0.05)
	Integrated Energy Efficiency Ratio	10% (0.1)
Packaged Terminal ACs and HPs	Energy Efficiency Ratio	5% (0.05)
	Coefficient of Performance	5% (0.05)
Variable Refrigerant Flow ACs and HPs (Excluding Air-Cooled, Three-phase with Less Than 65,000 Btu/h Cooling Capacity).	Energy Efficiency Ratio	5% (0.05)
	Coefficient of Performance	5% (0.05)
	Integrated Energy Efficiency Ratio	10% (0.1)
Computer Room Air Conditioners	Sensible Coefficient of Performance	5% (0.05)
	Net Sensible Coefficient of Performance	5% (0.05)
Direct Expansion-Dedicated Outdoor Air Systems	Integrated Seasonal Coefficient of Performance 2	10% (0.1)
	Integrated Seasonal Moisture Removal Efficiency 2	10% (0.1)
Commercial Warm-Air Furnaces	Thermal Efficiency	5% (0.05)
Commercial Refrigeration Equipment	Daily Energy Consumption	5% (0.05)

(vii) *Invalid rating.* If, following discussions with the manufacturer and a retest where applicable, DOE determines that the verification testing was conducted appropriately in accordance with the DOE test procedure, DOE will issue a determination that the rating for the model is invalid. The manufacturer must elect, within 15 days, one of the following to be completed in a time frame specified by DOE, which is never to exceed 180 days:

(A) Re-rate and re-certify the model based on DOE's test data alone; or

(B) Discontinue the model through the certification process; or

(C) Conduct additional testing and re-rate and re-certify the basic model based on all test data collected, including DOE's test data.

(viii) *AEDM use.* (A) If DOE has determined that a manufacturer made invalid ratings on two or more models rated using the same AEDM within a 24 month period, the manufacturer must take the action listed in the table corresponding to the number of invalid certified ratings. The twenty-four month period begins with a DOE determination that a rating is invalid through the process outlined above. Additional invalid ratings apply for the purposes of determining the appropriate consequences if the subsequent determination(s) is based on selection of a unit for testing within the twenty-four month period (i.e., subsequent determinations need not be made within 24 months).

TABLE 3 TO PARAGRAPH (C)(5)(VIII)(A)

Number of invalid certified ratings from the same AEDM [2] within a rolling 24 month period [3]	Required manufacturer actions
2	Submit different test data and reports from testing to validate that AEDM within the validation classes to which it is applied.[1] Adjust the ratings as appropriate.
4	Conduct double the minimum number of validation tests for the validation classes to which the AEDM is applied. Note, the tests required under this paragraph (c)(5)(viii) must be performed on different models than the original tests required under paragraph (c)(2) of this section.
6	Conduct the minimum number of validation tests for the validation classes to which the AEDM is applied at a third-part test facility; And Conduct addition testing, which is equal to ½ the minimum number of validation tests for the validation classes to which the AEDM is applied , at either the manufacturer's facility or a third-party test facility, at the manufacturer's discretion. Note, the tests required under this paragraph (c)(5)(viii) must be performed on different models than the original tests performed under paragraph (c)(2) of this section.

TABLE 3 TO PARAGRAPH (C)(5)(VIII)(A)—Continued

Number of invalid certified ratings from the same AEDM[2] within a rolling 24 month period[3]	Required manufacturer actions
> = 8	Manufacturer has lost privilege to use AEDM. All ratings for models within the validation classes to which the AEDM applied should be rated via testing. Distribution cannot continue until certification(s) are corrected to reflect actual test data.

[1] A manufacturer may discuss with DOE's Office of Enforcement whether existing test data on different basic models within the validation classes to which that specific AEDM was applied may be used to meet this requirement.
[2] The ''same AEDM'' means a computer simulation or mathematical model that is identified by the manufacturer at the time of certification as having been used to rate a model or group of models.
[3] The twenty-four month period begins with a DOE determination that a rating is invalid through the process outlined above. Additional invalid ratings apply for the purposes of determining the appropriate consequences if the subsequent determination(s) is based on testing of a unit that was selected for testing within the twenty-four month period (i.e., subsequent determinations need not be made within 24 months).

(B) If, as a result of eight or more invalid ratings, a manufacturer has lost the privilege of using an AEDM for rating, the manufacturer may regain the ability to use an AEDM by:

(*1*) Investigating and identifying cause(s) for failures;

(*2*) Taking corrective action to address cause(s);

(*3*) Performing six new tests per validation class, a minimum of two of which must be performed by an independent, third-party laboratory to validate the AEDM; and

(*4*) Obtaining DOE authorization to resume use of the AEDM.

(d) *Alternative efficiency determination method for distribution transformers.* A manufacturer may use an AEDM to determine the efficiency of one or more of its untested basic models only if it determines the efficiency of at least five of its other basic models (selected in accordance with paragraph (d)(3) of this section) through actual testing.

(1) *Criteria an AEDM must satisfy.* (i) The AEDM has been derived from a mathematical model that represents the electrical characteristics of that basic model;

(ii) The AEDM is based on engineering and statistical analysis, computer simulation or modeling, or other analytic evaluation of performance data; and

(iii) The manufacturer has substantiated the AEDM, in accordance with paragraph (d)(2) of this section, by applying it to, and testing, at least five other basic models of the same type, *i.e.,* low-voltage dry-type distribution transformers, medium-voltage dry-type distribution transformers, or liquid-immersed distribution transformers.

(2) *Substantiation of an AEDM.* Before using an AEDM, the manufacturer must substantiate the AEDM's accuracy and reliability as follows:

(i) Apply the AEDM to at least five of the manufacturer's basic models that have been selected for testing in accordance with paragraph (d)(3) of this section, and calculate the power loss for each of these basic models;

(ii) Test at least five units of each of these basic models in accordance with the applicable test procedure and § 429.47, and determine the power loss for each of these basic models;

(iii) The predicted total power loss for each of these basic models, calculated by applying the AEDM pursuant to paragraph (d)(2)(i) of this section, must be within plus or minus five percent of the mean total power loss determined from the testing of that basic model pursuant to paragraph (d)(2)(ii) of this section; and

(iv) Calculate for each of these basic models the percentage that its power loss calculated pursuant to paragraph (d)(2)(i) of this section is of its power loss determined from testing pursuant to paragraph (d)(2)(ii) of this section, compute the average of these percentages, and that calculated average power loss, expressed as a percentage of the average power loss determined from testing, must be no less than 97 percent and no greater than 103 percent.

(3) *Additional testing requirements.* (i) A manufacturer must select basic models for testing in accordance with the following criteria:

(A) Two of the basic models must be among the five basic models with the highest unit volumes of production by the manufacturer in the prior year, or during the prior 12-calendar-month period beginning in 2003,[1] whichever is later;

(B) No two basic models should have the same combination of power and voltage ratings; and

(C) At least one basic model should be single-phase and at least one should be three-phase.

(ii) In any instance where it is impossible for a manufacturer to select basic models for testing in accordance with all of these criteria, the criteria shall be given priority in the order in which they are listed. Within the limits imposed by the criteria, basic models shall be selected randomly.

(4) *Subsequent verification of an AEDM.* (i) Each manufacturer that has used an AEDM under this section shall have available for inspection by the Department of Energy records showing:

(A) The method or methods used;

(B) The mathematical model, the engineering or statistical analysis, computer simulation or modeling, and other analytic evaluation of performance data on which the AEDM is based;

(C) Complete test data, product information, and related information that the manufacturer has generated or acquired pursuant to paragraph (d)(4) of this section; and

(D) The calculations used to determine the efficiency and total power losses of each basic model to which the AEDM was applied.

(ii) If requested by the Department, the manufacturer must perform at least one of the following:

(A) Conduct simulations to predict the performance of particular basic models of distribution transformers specified by the Department;

(B) Provide analyses of previous simulations conducted by the manufacturer;

(C) Conduct sample testing of basic models selected by the Department; or

(D) Conduct a combination of these.

[1] When identifying these five basic models, any basic model that does not comply with Federal energy conservation standards for distribution transformers that may be in effect shall be excluded from consideration.

(e) *Alternate Efficiency Determination Method (AEDM) for central air conditioners and heat pumps.* This paragraph (e) sets forth the requirements for a manufacturer to use an AEDM to rate central air conditioners and heat pumps.

(1) *Criteria an AEDM must satisfy.* A manufacturer may not apply an AEDM to an individual model/combination to determine its represented values (SEER, EER, HSPF, SEER2, EER2, HSPF2, and/or $P_{W,OFF}$) pursuant to this section unless authorized pursuant to § 429.16(d) and:

(i) The AEDM is derived from a mathematical model that estimates the energy efficiency or energy consumption characteristics of the individual model or combination (SEER, EER, HSPF, SEER2, EER2, HSPF2, and/or $P_{W,OFF}$) as measured by the applicable DOE test procedure; and

(ii) The manufacturer has validated the AEDM in accordance with paragraph (e)(2) of this section.

(2) *Validation of an AEDM.* Before using an AEDM, the manufacturer must validate the AEDM's accuracy and reliability as follows:

(i) Follow paragraph (e)(2)(i)(A) of this section for requirements on minimum testing. Follow paragraph (e)(2)(i)(B) of this section for requirements on ensuring the accuracy and reliability of the AEDM.

(A) *Minimum testing.* (*1*) For non-space-constrained single-split system air conditioners and heat pumps rated based on testing in accordance with appendix M to subpart B of part 430, the manufacturer must test each basic model as required under § 429.16(b)(2). Until July 1, 2024, for non-space-constrained single-split-system air conditioners and heat pumps rated based on testing in accordance with appendix M1 to subpart B of part 430, the manufacturer must test a single-unit sample from 20 percent of the basic models distributed in commerce to validate the AEDM. On or after July 1, 2024, for non-space-constrained single-split-system air conditioners and heat pumps rated based on testing in accordance with appendix M1 to subpart B of part 430, the manufacturer must complete testing of each basic model as required under § 429.16(b)(2).

(*2*) For other than non-space-constrained single-split-system air conditioners and heat pumps, the manufacturer must test each basic model as required under § 429.16(b)(2).

(B) Using the AEDM, calculate the energy use or efficiency for each of the tested individual models/combinations within each basic model. Compare the represented value based on testing and the AEDM energy use or efficiency output according to paragraph (e)(2)(ii) of this section. The manufacturer is responsible for ensuring the accuracy and reliability of the AEDM and that their representations are appropriate and the models being distributed in commerce meet the applicable standards, regardless of the amount of testing required in paragraphs (e)(2)(i)(A) and (e)(2)(i)(B) of this section.

(ii) *Individual model/combination tolerances.* This paragraph (e)(2)(ii) provides the tolerances applicable to individual models/combinations rated using an AEDM.

(A) The predicted represented values for each individual model/combination calculated by applying the AEDM may not be more than four percent greater (for measures of efficiency) or less (for measures of consumption) than the values determined from the corresponding test of the individual model/combination.

(B) The predicted energy efficiency or consumption for each individual model/combination calculated by applying the AEDM must meet or exceed the applicable federal energy conservation standard.

(iii) *Additional test unit requirements.* (A) Each AEDM must be supported by test data obtained from physical tests of current individual models/combinations; and

(B) Test results used to validate the AEDM must meet or exceed current, applicable Federal standards as specified in part 430 of this chapter; and

(C) Each test must have been performed in accordance with the applicable DOE test procedure with which compliance is required at the time the individual models/combinations used for validation are distributed in commerce.

(3) *AEDM records retention requirements.* If a manufacturer has used an AEDM to determine representative values pursuant to this section, the manufacturer must have available upon request for inspection by the Department records showing:

(i) The AEDM, including the mathematical model, the engineering or statistical analysis, and/or computer simulation or modeling that is the basis of the AEDM;

(ii) Product information, complete test data, AEDM calculations, and the statistical comparisons from the units tested that were used to validate the AEDM pursuant to paragraph (e)(2) of this section; and

(iii) Product information and AEDM calculations for each individual model/combination to which the AEDM has been applied.

(4) *Additional AEDM requirements.* If requested by the Department, the manufacturer must:

(i) Conduct simulations before representatives of the Department to predict the performance of particular individual models/combinations;

(ii) Provide analyses of previous simulations conducted by the manufacturer; and/or

(iii) Conduct certification testing of individual models or combinations selected by the Department.

(5) *AEDM verification testing.* DOE may use the test data for a given individual model/combination generated pursuant to § 429.104 to verify the represented value determined by an AEDM as long as the following process is followed:

(i) *Selection of units.* DOE will obtain one or more units for test from retail, if available. If units cannot be obtained from retail, DOE will request that a unit be provided by the manufacturer;

(ii) *Lab requirements.* DOE will conduct testing at an independent, third-party testing facility of its choosing. In cases where no third-party laboratory is capable of testing the equipment, testing may be conducted at a manufacturer's facility upon DOE's request.

(iii) *Testing.* At no time during verification testing may the lab and the manufacturer communicate without DOE authorization. If during test set-up or testing, the lab indicates to

DOE that it needs additional information regarding a given individual model or combination in order to test in accordance with the applicable DOE test procedure, DOE may organize a meeting between DOE, the manufacturer and the lab to provide such information.

(iv) *Failure to meet certified value.* If an individual model/combination tests worse than its certified value (*i.e.*, lower than the certified efficiency value or higher than the certified consumption value) by more than 5 percent, or the test results in cooling capacity that is lower than its certified cooling capacity, DOE will notify the manufacturer. DOE will provide the manufacturer with all documentation related to the test set up, test conditions, and test results for the unit. Within the timeframe allotted by DOE, the manufacturer may present any and all claims regarding testing validity.

(v) *Tolerances.* This paragraph specifies the tolerances DOE will permit when conducting verification testing.

(A) For consumption metrics, the result from a DOE verification test must be less than or equal to 1.05 multiplied by the certified represented value.

(B) For efficiency metrics, the result from a DOE verification test must be greater than or equal to 0.95 multiplied by the certified represented value.

(vi) *Invalid represented value.* If, following discussions with the manufacturer and a retest where applicable, DOE determines that the verification testing was conducted appropriately in accordance with the DOE test procedure, DOE will issue a determination that the represented values for the basic model are invalid. The manufacturer must conduct additional testing and re-rate and re-certify the individual models/combinations within the basic model that were rated using the AEDM based on all test data collected, including DOE's test data.

(vii) *AEDM use.* This paragraph (e)(5)(vii) specifies when a manufacturer's use of an AEDM may be restricted due to prior invalid represented values.

(A) If DOE has determined that a manufacturer made invalid represented values on individual models/combinations within two or more basic models rated using the manufacturer's AEDM within a 24 month period, the manufacturer must test the least efficient and most efficient individual model/combination within each basic model in addition to the individual model/combination specified in § 429.16(b)(2). The twenty-four month period begins with a DOE determination that a represented value is invalid through the process outlined above.

(B) If DOE has determined that a manufacturer made invalid represented values on more than four basic models rated using the manufacturer's AEDM within a 24-month period, the manufacturer may no longer use an AEDM.

(C) If a manufacturer has lost the privilege of using an AEDM, the manufacturer may regain the ability to use an AEDM by:

(*1*) Investigating and identifying cause(s) for failures;

(*2*) Taking corrective action to address cause(s);

(*3*) Performing six new tests per basic model, a minimum of two of which must be performed by an independent, third-party laboratory from units obtained from retail to validate the AEDM; and

(*4*) Obtaining DOE authorization to resume use of an AEDM.

(f) *Alternative efficiency determination method (AEDM) for walk-in refrigeration systems and doors*—(1) *Criteria an AEDM must satisfy.* A manufacturer may not apply an AEDM to a basic model to determine its efficiency pursuant to this section unless:

(i) The AEDM is derived from a mathematical model that estimates the energy efficiency or energy consumption characteristics of the basic model as measured by the applicable DOE test procedure;

(ii) The AEDM is based on engineering or statistical analysis, computer simulation or modeling, or other analytical evaluation of performance data; and

(iii) The manufacturer has validated the AEDM, in accordance with paragraph (f)(2) of this section.

(2) *Validation of an AEDM.* Before using an AEDM, the manufacturer must validate the AEDM's accuracy and reliability as follows:

(i) The manufacturer must select at least the minimum number of basic

models for each validation class specified in paragraph (f)(2)(iv) of this section to which the particular AEDM applies. Test a single unit of each basic model in accordance with paragraph (f)(2)(iii) of this section. Using the AEDM, calculate the energy use or energy efficiency for each of the selected basic models. Compare the results from the single unit test and the AEDM output according to paragraph (f)(2)(ii) of this section. The manufacturer is responsible for ensuring the accuracy and repeatability of the AEDM.

(ii) *Individual model tolerances.*

(A) For refrigeration systems, which are subject to an energy efficiency metric, the predicted efficiency for each model calculated by applying the AEDM may not be more than five percent greater than the efficiency determined from the corresponding test of the model.

(B) For doors, which are subject to an energy consumption metric the predicted daily energy consumption for each model calculated by applying the AEDM may not be more than five percent less than the daily energy consumption determined from the corresponding test of the model.

(C) The predicted energy efficiency or energy consumption for each model calculated by applying the AEDM must meet or exceed the applicable federal energy conservation standard.

(iii) *Additional test unit requirements.* (A) Each AEDM must be supported by test data obtained from physical tests of current models; and

(B) Test results used to validate the AEDM must meet or exceed current, applicable Federal standards as specified in part 431 of this chapter;

(C) Each test must have been performed in accordance with the applicable DOE test procedure with which compliance is required at the time the basic model is distributed in commerce; and

(D) For rating WICF refrigeration system components, an AEDM may not simulate or model portions of the system that are not required to be tested by the DOE test procedure. That is, if the test results used to validate the AEDM are for either a unit cooler only or a condensing unit only, the AEDM must estimate the system rating using the nominal values specified in the DOE test procedure for the other part of the refrigeration system.

(E) For rating doors, an AEDM may not simulate or model components of the door that are not required to be tested by the DOE test procedure. That is, if the test results used to validate the AEDM are for the U-factor test of the door, the AEDM must estimate the daily energy consumption, specifically the conduction thermal load, and the direct and indirect electrical energy consumption, using the nominal values and calculation procedure specified in the DOE test procedure.

(iv) *WICF validation classes*—(A) *Doors.*

TABLE 4 TO PARAGRAPH (f)(2)(iv)(A)

Validation class	Minimum number of distinct models that must be tested
Display Doors, Medium Temperature	2 Basic Models.
Display Doors, Low Temperature	2 Basic Models.
Non-display Doors, Medium Temperature	2 Basic Models.
Non-display Doors, Low Temperature	2 Basic Models.

(B) *Refrigeration systems.* (*1*) For representations made prior to the compliance date of revised energy conservation standards for walk-in cooler and walk-in freezer refrigeration systems, use the following validation classes.

TABLE 5 TO PARAGRAPH (f)(2)(iv)(B)(*1*)

Validation class	Minimum number of distinct models that must be tested
Dedicated Condensing, Medium Temperature, Matched Pair Indoor System	2 Basic Models.
Dedicated Condensing, Medium Temperature, Matched Pair Outdoor System [1]	2 Basic Models.
Dedicated Condensing, Low Temperature, Matched Pair Indoor System	2 Basic Models.

TABLE 5 TO PARAGRAPH (f)(2)(iv)(B)(*1*)—Continued

Validation class	Minimum number of distinct models that must be tested
Dedicated Condensing, Low Temperature, Matched Pair Outdoor System [1]	2 Basic Models.
Unit Cooler, High-temperature	2 Basic Models.
Unit Cooler, Medium Temperature	2 Basic Models.
Unit Cooler, Low Temperature	2 Basic Models.
Medium Temperature, Indoor Condensing Unit	2 Basic Models.
Medium Temperature, Outdoor Condensing Unit [1]	2 Basic Models.
Low Temperature, Indoor Condensing Unit	2 Basic Models.
Low Temperature, Outdoor Condensing Unit [1]	2 Basic Models.

[1] AEDMs validated for an outdoor class by testing only outdoor models of that class may be used to determine representative values for the corresponding indoor class, and additional validation testing is not required. AEDMs validated only for a given indoor class by testing indoor models or a mix of indoor and outdoor models may not be used to determine representative values for the corresponding outdoor class.

(*2*) For representations made on or after the compliance date of revised energy conservation standards for walk-in cooler and walk-in freezer refrigeration systems, use the following validation classes.

TABLE 6 TO PARAGRAPH (f)(2)(iv)(B)(*2*)

Validation class	Minimum number of distinct models that must be tested
Dedicated Condensing Unit, Medium Temperature, Indoor System	2 Basic Models.
Dedicated Condensing Unit, Medium Temperature, Outdoor System [1]	2 Basic Models.
Dedicated Condensing Unit, Low Temperature, Indoor System	2 Basic Models.
Dedicated Condensing Unit, Low Temperature, Outdoor System [1]	2 Basic Models.
Single-packaged Dedicated Condensing, High-temperature, Indoor System	2 Basic Models.
Single-packaged Dedicated Condensing, High-temperature, Outdoor System [1]	2 Basic Models.
Single-packaged Dedicated Condensing, Medium Temperature, Indoor System	2 Basic Models.
Single-packaged Dedicated Condensing, Medium Temperature, Outdoor System [1]	2 Basic Models.
Single-packaged Dedicated Condensing, Low Temperature, Indoor System	2 Basic Models.
Single-packaged Dedicated Condensing, Low Temperature, Indoor System [1]	2 Basic Models.
Matched Pair, High-temperature, Indoor Condensing Unit	2 Basic Models.
Matched Pair, High-temperature, Outdoor Condensing Unit [1]	2 Basic Models.
Matched Pair, Medium Temperature, Indoor Condensing Unit	2 Basic Models.
Matched Pair, Medium Temperature, Outdoor Condensing Unit [1]	2 Basic Models.
Matched Pair, Low Temperature, Indoor Condensing Unit	2 Basic Models.
Matched Pair, Low Temperature, Outdoor Condensing Unit [1]	2 Basic Models.
Unit Cooler, High-temperature	2 Basic Models.
Unit Cooler, Medium Temperature	2 Basic Models.
Unit Cooler, Low Temperature	2 Basic Models.

[1] AEDMs validated for an outdoor class by testing only outdoor models of that class may be used to determine representative values for the corresponding indoor class, and additional validation testing is not required. AEDMs validated only for a given indoor class by testing indoor models or a mix of indoor and outdoor models may not be used to determine representative values for the corresponding outdoor class.

(3) *AEDM records retention requirements*. If a manufacturer has used an AEDM to determine representative values pursuant to this section, the manufacturer must have available upon request for inspection by the Department records showing:

(i) The AEDM, including the mathematical model, the engineering or statistical analysis, and/or computer simulation or modeling that is the basis of the AEDM;

(ii) Equipment information, complete test data, AEDM calculations, and the statistical comparisons from the units tested that were used to validate the AEDM pursuant to paragraph (f)(2) of this section; and

(iii) Equipment information and AEDM calculations for each basic model to which the AEDM has been applied.

(4) *Additional AEDM requirements*. If requested by the Department the manufacturer must perform at least one of the following:

(i) Conduct simulations before representatives of the Department to predict the performance of particular basic models of the product to which the AEDM was applied;

(ii) Provide analyses of previous simulations conducted by the manufacturer; or

(iii) Conduct certification testing of basic models selected by the Department.

(5) *AEDM verification testing.* DOE may use the test data for a given individual model generated pursuant to § 429.104 to verify the certified rating determined by an AEDM as long as the following process is followed:

(i) *Selection of units.* DOE will obtain units for test from retail, where available. If units cannot be obtained from retail, DOE will request that a unit be provided by the manufacturer.

(ii) *Lab requirements.* DOE will conduct testing at an independent, third-party testing facility of its choosing. In cases where no third-party laboratory is capable of testing the equipment, it may be tested at a manufacturer's facility upon DOE's request.

(iii) *Manufacturer participation.* Testing will be performed without manufacturer representatives on-site.

(iv) *Testing.* All verification testing will be conducted in accordance with the applicable DOE test procedure, as well as each of the following to the extent that they apply:

(A) Any active test procedure waivers that have been granted for the basic model;

(B) Any test procedure guidance that has been issued by DOE;

(C) If during test set-up or testing, the lab indicates to DOE that it needs additional information regarding a given basic model in order to test in accordance with the applicable DOE test procedure, DOE may organize a meeting between DOE, the manufacturer and the lab to provide such information.

(D) At no time during the process may the lab communicate directly with the manufacturer without DOE present.

(v) *Failure to meet certified rating.* If a model tests worse than its certified rating by an amount exceeding the tolerance prescribed in paragraph (f)(5)(vi) of this section, DOE will notify the manufacturer. DOE will provide the manufacturer with all documentation related to the test set up, test conditions, and test results for the unit. Within the timeframe allotted by DOE, the manufacturer may then present all claims regarding testing validity.

(vi) *Tolerances.* For efficiency metrics, the result from a DOE verification test must be greater than or equal to the certified rating × (1 − the applicable tolerance). For energy consumption metrics, the result from a DOE verification test must be less than or equal to the certified rating × (1 + the applicable tolerance).

TABLE 7 TO PARAGRAPH (F)(5)(VI)

Equipment	Metric	Applicable tolerance (%)
Refrigeration systems (including components)	AWEF/AWEF2	5
Doors	Daily Energy Consumption	5

(vii) *Invalid rating.* If, following discussions with the manufacturer and a retest where applicable, DOE determines that the testing was conducted appropriately in accordance with the DOE test procedure, the rating for the model will be considered invalid. Pursuant to 10 CFR 429.13(b), DOE may require a manufacturer to conduct additional testing as a remedial measure.

(g) *Alternative determination of ratings for untested basic models of residential water heaters and residential-duty commercial water heaters.* For models of water heaters that differ only in fuel type or power input, ratings for untested basic models may be established in accordance with the following procedures in lieu of testing. This method allows only for the use of ratings identical to those of a tested basic model as provided below; simulations or other modeling predictions for ratings of the uniform energy factor, volume, first-hour rating, or maximum gallons per minute (GPM) are not permitted.

(1) *Gas Water Heaters.* For untested basic models of gas-fired water heaters

that differ from tested basic models only in whether the basic models use natural gas or propane gas, the represented value of uniform energy factor, first-hour rating, and maximum gallons per minute for an untested basic model is the same as that for a tested basic model, as long as the input ratings of the tested and untested basic models are within ±10%, that is:

$$\frac{|input\ rating\ of\ untested\ basic\ model - input\ rating\ of\ tested\ basic\ model|}{input\ rating\ of\ tested\ basic\ model} \leq 10\%.$$

(2) *Electric Storage Water Heaters.* Rate an untested basic model of an electric storage-type water heater using the first-hour rating or maximum GPM (whichever is applicable under section 5.3.1 of appendix E to subpart B of this part) and uniform energy factor obtained from a tested basic model as the basis for ratings of basic models with other input ratings, provided that certain conditions are met:

(i) For an untested basic model, the represented value of the first-hour rating or maximum GPM and the uniform energy factor is the same as that of a tested basic model, provided that each heating element of the untested basic model is rated at or above the input rating for the corresponding heating element of the tested basic model.

(ii) For an untested basic model having any heating element with an input rating that is lower than that of the corresponding heating element in the tested basic model, the represented value of the first-hour rating or maximum GPM and the uniform energy factor is the same as that of a tested basic model, provided that the first-hour rating for the untested basic model results in the same draw pattern specified in Table I of appendix E for the simulated-use test as was applied to the tested basic model. To establish whether this condition is met, determine the first-hour ratings or maximum GPMs for the tested and the untested basic models in accordance with the procedure described in section 5.3 of 10 CFR part 430, subpart B, appendix E, then compare the appropriate draw pattern specified in Table I of appendix E for the first-hour rating of the tested basic model with that for the untested basic model. If this condition is not met, then the untested basic model must be tested, and the appropriate sampling provisions must be applied to determine its uniform energy factor in accordance with appendix E and this part.

(3) *Electric Instantaneous Water Heaters.* Rate an untested basic model of an electric instantaneous-type water heater using the first-hour rating or maximum GPM and the uniform energy factor obtained from a tested basic model as a basis for ratings of basic models with other input ratings, provided that certain conditions are met:

(i) For an untested basic model, the represented value of the first-hour rating or maximum GPM and the uniform energy factor is the same as that of a tested basic model, provided that the untested basic model's input is rated at or above the input rating for the corresponding tested basic model.

(ii) For an untested basic model having an input rating that is lower than that of the corresponding tested basic model, the represented value of the first-hour rating or maximum GPM and the uniform energy factor is the same as that of a tested basic model, provided that the first-hour rating or maximum GPM for the untested basic model results in the same draw pattern specified in Table II of appendix E for the 24-hour simulated-use test as was applied to the tested basic model. To establish whether this condition is met, determine the first-hour rating or maximum GPM for the tested and the untested basic models in accordance with the procedure described in section 5.3 of 10 CFR part 430, subpart B, appendix E, then compare the appropriate draw pattern specified in Table II of appendix E for the first-hour rating or maximum GPM of the tested basic model with that for the untested basic model. If this condition is not met, then the untested basic model must be tested, and the appropriate sampling

provisions must be applied to determine its uniform energy factor in accordance with appendix E and this part.

(h) *Alternative efficiency determination method (AEDM) for compressors*—(1) *Criteria an AEDM must satisfy*. A manufacturer may not apply an AEDM to a basic model to determine its efficiency pursuant to this section, unless:

(i) The AEDM is derived from a mathematical model that estimates the energy efficiency or energy consumption characteristics of the basic model as measured by the applicable DOE test procedure;

(ii) The AEDM is based on engineering or statistical analysis, computer simulation or modeling, or other analytic evaluation of performance data; and

(iii) The manufacturer has validated the AEDM, in accordance with paragraph (h)(2) of this section.

(2) *Validation of an AEDM*. Before using an AEDM, the manufacturer must validate the AEDM's accuracy and reliability as follows:

(i) *AEDM overview*. The manufacturer must select at least the minimum number of basic models for each validation class specified in paragraph (h)(2)(iv) of this section to which the particular AEDM applies. Using the AEDM, calculate the energy use or energy efficiency for each of the selected basic models. Test each basic model and determine the represented value(s) in accordance with § 429.63(a). Compare the results from the testing and the AEDM output according to paragraph (h)(2)(ii) of this section. The manufacturer is responsible for ensuring the accuracy and repeatability of the AEDM.

(ii) *AEDM basic model tolerances.* (A) The predicted representative values for each basic model calculated by applying the AEDM may not be more than five percent greater (for measures of efficiency) or less (for measures of consumption) than the represented values determined from the corresponding test of the model.

(B) The predicted package isentropic efficiency for each basic model calculated by applying the AEDM must meet or exceed the applicable federal energy conservation standard.

(iii) *Additional test unit requirements.* (A) Each AEDM must be supported by test data obtained from physical tests of current models; and

(B) Test results used to validate the AEDM must meet or exceed current, applicable Federal standards as specified in part 431 of this chapter; and

(C) Each test must have been performed in accordance with the applicable DOE test procedure with which compliance is required at the time the basic models used for validation are distributed in commerce.

(iv) *Compressor validation classes.*

TABLE 8 TO PARAGRAPH (H)(2)(IV)

Validation class	Minimum number of distinct basic models that must be tested
Rotary, Fixed-speed	2 Basic Models.
Rotary, Variable-speed	2 Basic Models.

(3) *AEDM Records Retention Requirements.* If a manufacturer has used an AEDM to determine representative values pursuant to this section, the manufacturer must have available upon request for inspection by the Department records showing:

(i) The AEDM, including the mathematical model, the engineering or statistical analysis, and/or computer simulation or modeling that is the basis of the AEDM;

(ii) Equipment information, complete test data, AEDM calculations, and the statistical comparisons from the units tested that were used to validate the AEDM pursuant to paragraph (h)(2) of this section; and

(iii) Equipment information and AEDM calculations for each basic model to which the AEDM was applied.

(4) *Additional AEDM requirements.* If requested by the Department, the manufacturer must:

(i) Conduct simulations before representatives of the Department to predict the performance of particular basic models of the equipment to which the AEDM was applied;

(ii) Provide analyses of previous simulations conducted by the manufacturer; and/or

(iii) Conduct certification testing of basic models selected by the Department.

(i) *Alternative determination of standby mode and off mode power consumption for untested basic models of consumer furnaces and consumer boilers.* For models of consumer furnaces or consumer boilers that have identical standby mode and off mode power consuming components, ratings for untested basic models may be established in accordance with the following procedures in lieu of testing. This method allows only for the use of ratings identical to those of a tested basic model as provided in paragraphs (i)(1) and (2) of this section; simulations or other modeling predictions for ratings for standby mode power consumption and off mode power consumption are not permitted.

(1) *Consumer furnaces.* Rate the standby mode and off mode power consumption of an untested basic model of a consumer furnace using the standby mode and off mode power consumption obtained from a tested basic model as a basis for ratings if all aspects of the electrical components, controls, and design that impact the standby mode power consumption and off mode power consumption are identical.

(2) *Consumer boilers.* Rate the standby mode and off mode power consumption of an untested basic model of a consumer boiler using the standby mode and off mode power consumption obtained from a tested basic model as a basis for ratings if all aspects of the electrical components, controls, and design that impact the standby mode power consumption and off mode power consumption are identical.

(j) *Alternative efficiency determination method (AEDM) for electric motors subject to requirements in subpart B of part 431 of this subchapter*—(1) *Criteria an AEDM must satisfy.* A manufacturer is not permitted to apply an AEDM to a basic model of electric motor to determine its efficiency pursuant to this section unless:

(i) The AEDM is derived from a mathematical model that estimates the energy efficiency characteristics and losses of the basic model as measured by the applicable DOE test procedure and accurately represents the mechanical and electrical characteristics of that basic model; and

(ii) The AEDM is based on engineering or statistical analysis, computer simulation or modeling, or other analytic evaluation of actual performance data.

(iii) The manufacturer has validated the AEDM in accordance with paragraph (i)(2) of this section with basic models that meet the current Federal energy conservation standards (if any).

(2) *Validation of an AEDM.* Before using an AEDM, the manufacturer must validate the AEDM's accuracy and reliability by comparing the simulated full-load losses to tested average full-load losses as follows.

(i) *Select basic models.* A manufacturer must select at least five basic models compliant with the energy conservation standards at § 431.25 of this subchapter (if any), in accordance with the criteria paragraphs (i)(2)(i)(A) through (D) of this section. In any instance where it is impossible for a manufacturer to select basic models for testing in accordance with all of these criteria, prioritize the criteria in the order in which they are listed. Within the limits imposed by the criteria, select basic models randomly. In addition, a basic model with a sample size of fewer than five units may not be selected to validate an AEDM.

(A) Two of the basic models must be among the five basic models with the highest unit volumes of production by the manufacturer in the prior 5 years;

(B) No two basic models may have the same horsepower rating;

(C) No two basic models may have the same frame number series; and

(D) Each basic model must have the lowest nominal full-load efficiency among the basic models within the same equipment class.

(ii) *Apply the AEDM to the selected basic models.* Using the AEDM, calculate the simulated full-load losses for each of the selected basic models as follows: $hp \times (1/\text{simulated full-load efficiency} - 1)$, where hp is the horsepower of the basic model.

(iii) *Test at least five units of each of the selected basic models in accordance with § 431.16 of this subchapter.* Use the measured full-load losses for each of the tested units to determine the average of the measured full-load losses for each of the selected basic models.

(iv) *Compare.* The simulated full-load losses for each basic model (as determined under paragraph (i)(2)(ii) of this section) must be greater than or equal to 90 percent of the average of the measured full-load losses (as determined under paragraph (i)(2)(iii) of this section) (*i.e.*, 0.90 × average of the measured full-load losses ≤ simulated full-load losses).

(3) *Verification of an AEDM.* (i) Each manufacturer must periodically select basic models representative of those to which it has applied an AEDM. The manufacturer must select a sufficient number of basic models to ensure the AEDM maintains its accuracy and reliability. For each basic model selected for verification:

(A) Subject at least one unit for each basic model to test in accordance with § 431.16 of this subchapter by an accredited laboratory that meets the requirements of § 429.65(f). If one unit per basic model is selected, the simulated full-load losses for each basic model must be greater than or equal to 90 percent of the measured full-load losses (*i.e.*, 0.90 × the measured full-load losses ≤ simulated full-load losses). If more than one unit per basic model is selected, the simulated full-load losses for each basic model must be greater than or equal to 90 percent of the average of the measured full-load losses (*i.e.*, 0.90 × average of the measured full-load losses ≤ simulated full-load losses); or

(B) Have a certification body recognized under § 429.73 certify the results of the AEDM as accurately representing the basic model's average full-load efficiency. The simulated full-load efficiency for each basic model must be greater than or equal to 90 percent of the certified full-load losses (*i.e.*, 0.90 × certified full-load losses ≤ simulated full-load losses).

(ii) Each manufacturer that has used an AEDM under this section must have available for inspection by the Department of Energy records showing:

(A) The method or methods used to develop the AEDM;

(B) The mathematical model, the engineering or statistical analysis, computer simulation or modeling, and other analytic evaluation of performance data on which the AEDM is based;

(C) Complete test data, product information, and related information that the manufacturer has generated or acquired pursuant to paragraphs (i)(2) and (3) of this section; and

(D) The calculations used to determine the simulated full-load efficiency of each basic model to which the AEDM was applied.

(iii) If requested by the Department, the manufacturer must:

(A) Conduct simulations to predict the performance of particular basic models of electric motors specified by the Department;

(B) Provide analyses of previous simulations conducted by the manufacturer; and/or

(C) Conduct testing of basic models selected by the Department.

(k) *Alternative efficiency determination method (AEDM) for dedicated-purpose pool pump motors subject to requirements in subpart Z of part 431 of this subchapter*—(1) *Criteria an AEDM must satisfy.* A manufacturer is not permitted to apply an AEDM to a basic model of dedicated-purpose pool pump motors, to determine its efficiency pursuant to this section unless:

(i) The AEDM is derived from a mathematical model that estimates the energy efficiency characteristics and losses of the basic model as measured by the applicable DOE test procedure and accurately represents the mechanical and electrical characteristics of that basic model;

(ii) The AEDM is based on engineering or statistical analysis, computer simulation or modeling, or other analytic evaluation of actual performance data; and

(iii) The manufacturer has validated the AEDM in accordance with paragraph (i)(2) of this section with basic models that meet the current Federal energy conservation standards (if any).

(2) *Validation of an AEDM.* Before using an AEDM, the manufacturer must validate the AEDM's accuracy and reliability by comparing the simulated full-load losses to tested full-load losses as follows:

(i) *Select basic models.* A manufacturer must select at least five basic models compliant with any relevant energy conservation standards at § 431.485 of this subchapter (if any), in accordance

with the criteria paragraphs (j)(2)(i)(A) through (D) of this section. In any instance where it is impossible for a manufacturer to select basic models for testing in accordance with all of these criteria, prioritize the criteria in the order in which they are listed. Within the limits imposed by the criteria, select basic models randomly. In addition, a basic model with a sample size of fewer than five units may not be selected to validate an AEDM.

(A) Two of the basic models must be among the five basic models with the highest unit volumes of production by the manufacturer in the prior 5 years.

(B) No two basic models may have the same total horsepower rating;

(C) No two basic models may have the same speed configuration; and

(D) Each basic model must have the lowest full-load efficiency among the basic models within the same equipment class.

(ii) *Apply the AEDM* to the selected basic models. Using the AEDM, calculate the simulated full-load losses for each of the selected basic models as follows: THP × (1/simulated full-load efficiency − 1), where THP is the total horsepower of the basic model.

(iii) *Test at least five units of each of the selected basic models in accordance with § 431.483 of this subchapter*. Use the measured full-load losses for each of the tested units to determine the average of the measured full-load losses for each of the selected basic models.

(iv) *Compare*. The simulated full-load losses for each basic model (paragraph (i)(2)(ii) of this section) must be greater than or equal to 90 percent of the average of the measured full-load losses (paragraph (i)(2)(iii) of this section) (*i.e.*, 0.90 × average of the measured full-load losses ≤ simulated full-load losses).

(3) *Verification of an AEDM*. (i) Each manufacturer must periodically select basic models representative of those to which it has applied an AEDM. The manufacturer must select a sufficient number of basic models to ensure the AEDM maintains its accuracy and reliability. For each basic model selected for verification:

(A) Subject at least one unit to testing in accordance with § 431.483 of this subchapter by an accredited laboratory that meets the requirements of § 429.65(d). If one unit per basic model is selected, the simulated full-load losses for each basic model must be greater than or equal to 90 percent of the measured full-load losses (*i.e.*, 0.90 × the measured full-load losses ≤ simulated full-load losses). If more than one unit per basic model is selected, the simulated full-load losses for each basic model must be greater than or equal to 90 percent of the average measured full-load losses (*i.e.*, 0.90 × average of the measured full-load losses ≤ simulated full-load losses); or

(B) Have a certification body recognized under § 429.73 certify the results of the AEDM accurately represent the basic model's full-load efficiency. The simulated full-load efficiency for each basic model must be greater than or equal to 90 percent of the certified full-load losses (*i.e.*, 0.90 × certified full-load losses ≤ simulated full-load losses).

(ii) Each manufacturer that has used an AEDM under this section must have available for inspection by the Department of Energy records showing:

(A) The method or methods used to develop the AEDM;

(B) The mathematical model, the engineering or statistical analysis, computer simulation or modeling, and other analytic evaluation of performance data on which the AEDM is based;

(C) Complete test data, product information, and related information that the manufacturer has generated or acquired pursuant to paragraphs (i)(2) and (3) of this section; and

(D) The calculations used to determine the simulated full-load efficiency of each basic model to which the AEDM was applied.

(iii) If requested by the Department, the manufacturer must:

(A) Conduct simulations to predict the performance of particular basic models of dedicated-purpose pool pump motors specified by the Department;

(B) Provide analyses of previous simulations conducted by the manufacturer;

(C) Conduct testing of basic models selected by the Department; or

(D) A combination of the foregoing.

(l) *Alternate Efficiency Determination Method (AEDM) for air-cooled, three-*

phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 Btu/h and air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with less than 65,000 Btu/h cooling capacity—(1) *Applicability.* (i) For air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 Btu/h and air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with a cooling capacity of less than 65,000 Btu/h subject to standards in terms of seasonal energy efficiency ratio (SEER) and heating seasonal performance factor (HSPF), representations with respect to the energy use or efficiency, including compliance certifications, are subject to the requirements in § 429.70(c) of this title as it appeared in the 10 CFR parts 200–499 edition revised as of January 1, 2021.

(ii) For air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 Btu/h and air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with a cooling capacity of less than 65,000 Btu/h subject to standards in terms of seasonal energy efficiency ratio 2 (SEER2) and heating seasonal performance factor 2 (HSPF2) metrics, representations with respect to the energy use or efficiency, including compliance certifications, are subject to the requirements in this section. If manufacturers choose to certify compliance with any standards in terms of SEER2 and HSPF2 prior to the applicable compliance date for those standards, the requirements of this section must be followed.

(2) *Criteria an AEDM must satisfy.* A manufacturer may not apply an AEDM to an individual model/combination to determine its represented values (SEER2 and HSPF2, as applicable) pursuant to this section unless authorized pursuant to § 429.67(e) and:

(i) The AEDM is derived from a mathematical model that estimates the energy efficiency or energy consumption characteristics of the individual model or combination (SEER2 and HSPF2, as applicable) as measured by the applicable DOE test procedure; and

(ii) The manufacturer has validated the AEDM in accordance with paragraph (i)(3) of this section.

(3) *Validation of an AEDM.* For manufacturers whose models of air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 Btu/h or air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with a cooling capacity of less than 65,000 Btu/h are otherwise identical to their central air conditioner and heat pump models (meaning differing only in phase or voltage of the electrical system and the phase or voltage of power input for which the motors and compressors are designed) and who have validated an AEDM for the otherwise identical central air conditioners and heat pumps under § 429.70(e)(2), no additional validation is required. For manufacturers whose models of air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 Btu/h or air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with a cooling capacity of less than 65,000 Btu/h who have not validated an AEDM for otherwise identical central air conditioners and heat pumps under § 429.70(e)(2) must, before using an AEDM, validate the AEDM's accuracy and reliability as follows:

(i) *Minimum testing.* The manufacturer must test a single unit each of two basic models in accordance with paragraph (i)(3)(iii) of this section. Using the AEDM, calculate the energy use or efficiency for each of the tested individual models/combinations within each basic model. Compare the represented value based on testing and the AEDM energy use or efficiency output according to paragraph (i)(3)(ii) of this section. The manufacturer is responsible for ensuring the accuracy and reliability of the AEDM and that their representations are appropriate and the models being distributed in commerce meet the applicable standards, regardless of the amount of testing required in this paragraph.

(ii) *Individual model/combination tolerances.* This paragraph (i)(3)(ii) provides the tolerances applicable to individual models/combinations rated using an AEDM.

(A) The predicted represented values for each individual model/combination calculated by applying the AEDM may not be more than four percent greater (for measures of efficiency) or less (for measures of consumption) than the values determined from the corresponding test of the individual model/combination.

(B) The predicted energy efficiency or consumption for each individual model/combination calculated by applying the AEDM must meet or exceed the applicable federal energy conservation standard.

(iii) *Additional test unit requirements.* (A) Each AEDM must be supported by test data obtained from physical tests of current individual models/combinations; and

(B) Test results used to validate the AEDM must meet or exceed current, applicable Federal standards as specified in part 431 of this chapter; and

(C) Each test must have been performed in accordance with the applicable DOE test procedure with which compliance is required at the time the individual models/combinations used for validation are distributed in commerce.

(4) *AEDM records retention requirements.* If a manufacturer has used an AEDM to determine representative values pursuant to this section, the manufacturer must have available upon request for inspection by the Department records showing:

(i) The AEDM, including the mathematical model, the engineering or statistical analysis, and/or computer simulation or modeling that is the basis of the AEDM;

(ii) Product information, complete test data, AEDM calculations, and the statistical comparisons from the units tested that were used to validate the AEDM pursuant to paragraph (i)(3) of this section; and

(iii) Product information and AEDM calculations for each individual model/combination to which the AEDM has been applied.

(5) *Additional AEDM requirements.* If requested by the Department, the manufacturer must:

(i) Conduct simulations before representatives of the Department to predict the performance of particular individual models/combinations;

(ii) Provide analyses of previous simulations conducted by the manufacturer; and/or

(iii) Conduct certification testing of individual models or combinations selected by the Department.

(6) *AEDM verification testing.* DOE may use the test data for a given individual model/combination generated pursuant to § 429.104 to verify the represented value determined by an AEDM as long as the following process is followed:

(i) *Selection of units.* DOE will obtain one or more units for test from retail, if available. If units cannot be obtained from retail, DOE will request that a unit be provided by the manufacturer;

(ii) *Lab requirements.* DOE will conduct testing at an independent, third-party testing facility of its choosing. In cases where no third-party laboratory is capable of testing the equipment, testing may be conducted at a manufacturer's facility upon DOE's request.

(iii) *Testing.* At no time during verification testing may the lab and the manufacturer communicate without DOE authorization. If, during test set-up or testing, the lab indicates to DOE that it needs additional information regarding a given individual model or combination in order to test in accordance with the applicable DOE test procedure, DOE may organize a meeting between DOE, the manufacturer, and the lab to provide such information.

(iv) *Failure to meet certified value.* If an individual model/combination tests worse than its certified value (*i.e.*, lower than the certified efficiency value or higher than the certified consumption value) by more than 5 percent, or the test results in cooling capacity that is lower than its certified cooling capacity, DOE will notify the manufacturer. DOE will provide the manufacturer with all documentation related to the test set up, test conditions, and test results for the unit.

Within the timeframe allotted by DOE, the manufacturer may present any and all claims regarding testing validity.

(v) *Tolerances.* This paragraph specifies the tolerances DOE will permit when conducting verification testing.

(A) For consumption metrics, the result from a DOE verification test must be less than or equal to 1.05 multiplied by the certified represented value.

(B) For efficiency metrics, the result from a DOE verification test must be greater than or equal to 0.95 multiplied by the certified represented value.

(vi) *Invalid represented value.* If, following discussions with the manufacturer and a retest where applicable, DOE determines that the verification testing was conducted appropriately in accordance with the DOE test procedure, DOE will issue a determination that the represented values for the basic model are invalid. The manufacturer must conduct additional testing and re-rate and re-certify the individual models/combinations within the basic model that were rated using the AEDM based on all test data collected, including DOE's test data.

(vii) *AEDM use.* This paragraph (i)(6)(vii) specifies when a manufacturer's use of an AEDM may be restricted due to prior invalid represented values.

(A) If DOE has determined that a manufacturer made invalid represented values on individual models/combinations within two or more basic models rated using the manufacturer's AEDM within a 24-month period, the manufacturer must test the least efficient and most efficient individual model/combination within each basic model in addition to the individual model/combination specified in § 429.16(b)(2). The 24-month period begins with a DOE determination that a represented value is invalid through the process outlined in paragraphs (i)(6)(i) through (vi) of this section.

(B) If DOE has determined that a manufacturer made invalid represented values on more than four basic models rated using the manufacturer's AEDM within a 24-month period, the manufacturer may no longer use an AEDM.

(C) If a manufacturer has lost the privilege of using an AEDM, the manufacturer may regain the ability to use an AEDM by:

(*1*) Investigating and identifying cause(s) for failures;

(*2*) Taking corrective action to address cause(s);

(*3*) Performing six new tests per basic model, a minimum of two of which must be performed by an independent, third-party laboratory from units obtained from retail to validate the AEDM; and

(*4*) Obtaining DOE authorization to resume use of an AEDM.

(m) *Alternative efficiency determination method (AEDM) for general pumps*—(1) *Criteria an AEDM must satisfy.* A manufacturer may not apply an AEDM to a basic model to determine its efficiency pursuant to this section, unless:

(i) The AEDM is derived from a mathematical model that estimates the energy efficiency or energy consumption characteristics of the basic model as measured by the applicable DOE test procedure;

(ii) The AEDM is based on engineering or statistical analysis, computer simulation or modeling, or other analytic evaluation of performance data; and

(iii) The manufacturer has validated the AEDM, in accordance with paragraph (m)(2) of this section.

(2) *Validation of an AEDM.* Before using an AEDM, the manufacturer must validate the AEDM's accuracy and reliability as follows:

(i) *AEDM overview.* The manufacturer must select at least the minimum number of basic models for each validation class specified in paragraph (m)(2)(iv) of this section to which the particular AEDM applies. Using the AEDM, calculate the PEI for each of the selected basic models. Test each basic model and determine the represented value(s) in accordance with § 429.63(a). Compare the results from the testing and the AEDM output according to paragraph (m)(2)(ii) of this section. The manufacturer is responsible for ensuring the accuracy and repeatability of the AEDM.

(ii) *AEDM basic model tolerances.* (A) The predicted representative PEI for each basic model calculated by applying the AEDM may not be more than five percent less than the represented PEI determined from the corresponding test of the model.

(B) The predicted constant or variable load pump energy index for each basic model calculated by applying the AEDM must meet or exceed the applicable federal energy conservation standard.

(iii) *Additional test unit requirements.* (A) Each AEDM must be supported by test data obtained from physical tests of current models; and

(B) Test results used to validate the AEDM must meet or exceed current, applicable Federal standards as specified in part 431 of this chapter; and

(C) Each test must have been performed in accordance with the applicable DOE test procedure with which compliance is required at the time the basic models used for validation are distributed in commerce.

(iv) *Pump validation classes.*

Validation class	Minimum number of distinct basic models that must be tested
(A) Constant Load End-suction Closed-Coupled Pumps and Constant Load End-suction Frame-Mounted Pumps.	2 Basic Models.
(B) Variable Load End-suction Closed-Coupled Pumps and Variable Load End-suction Frame-Mounted Pumps.	2 Basic Models.
(C) Constant Load Inline Pumps and Constant Load Small Vertical Inline Pumps	2 Basic Models.
(D) Variable Load Inline Pumps and Variable Load Small Vertical Inline Pumps	2 Basic Models.
(E) Constant Load Radially-Split Multi-Stage Vertical Pumps and Constant Load Radially-Split Multi-Stage Horizonal Pumps.	2 Basic Models.
(F) Variable Load Radially-Split Multi-Stage Vertical Pumps and Variable Load Radially-Split Multi-Stage Horizontal Pumps.	2 Basic Models.
(G) Constant Load Submersible Turbine Pumps and Constant Load Vertical Turbine Pumps	2 Basic Models.
(H) Variable Load Submersible Turbine Pumps and Variable Load Vertical Turbine Pumps	2 Basic Models.

(3) *AEDM records retention requirements.* If a manufacturer has used an AEDM to determine representative values pursuant to this section, the manufacturer must have available upon request for inspection by the Department records showing:

(i) The AEDM, including the mathematical model, the engineering or statistical analysis, and/or computer simulation or modeling that is the basis of the AEDM;

(ii) Regarding the units tested that were used to validate the AEDM pursuant to paragraph (m)(2) of this section, equipment information, complete test data, AEDM calculations, and the statistical comparisons; and

(iii) For each basic model to which the AEDM was applied, equipment information and AEDM calculations.

(4) *Additional AEDM requirements.* If requested by the Department, the manufacturer must:

(i) Conduct simulations before representatives of the Department to predict the performance of particular basic models of the equipment to which the AEDM was applied;

(ii) Provide analyses of previous simulations conducted by the manufacturer; and/or

(iii) Conduct certification testing of basic models selected by the Department.

(5) *AEDM verification testing.* DOE may use the test data for a given individual model generated pursuant to § 429.104 to verify the certified rating determined by an AEDM as long as the following process is followed:

(i) *Selection of units.* DOE will obtain units for test from retail, where available. If units cannot be obtained from retail, DOE will request that a unit be provided by the manufacturer.

(ii) *Lab requirements.* DOE will conduct testing at an independent, third-party testing facility of its choosing. In cases where no third-party laboratory is capable of testing the equipment, it may be tested at a manufacturer's facility upon DOE's request.

(iii) *Manufacturer participation.* Testing will be performed without manufacturer representatives on-site.

(iv) *Testing.* All verification testing will be conducted in accordance with the applicable DOE test procedure, as well as each of the following to the extent that they apply:

(A) Any active test procedure waivers that have been granted for the basic model;

(B) Any test procedure guidance that has been issued by DOE;

(C) If during test set-up or testing, the lab indicates to DOE that it needs additional information regarding a given basic model in order to test in accordance with the applicable DOE test procedure, DOE may organize a meeting between DOE, the manufacturer and the lab to provide such information.

(D) At no time during the process may the lab communicate directly with the manufacturer without DOE present.

(v) *Failure to meet certified rating.* If a model's test results are worse than its certified rating by an amount exceeding the tolerance prescribed in paragraph (f)(5)(vi) of this section, DOE will notify the manufacturer. DOE will provide the manufacturer with all documentation related to the test set up, test conditions, and test results for the unit. Within the timeframe allotted by DOE, the manufacturer may then present all claims regarding testing validity.

(vi) *Tolerances.* For consumption metrics, the result from a DOE verification test must be less than or equal to the certified rating × (1 + the applicable tolerance).

TABLE 9 TO PARAGRAPH (m)(5)(vi)

Equipment	Metric	Applicable tolerance (%)
General Pumps	Constant or Variable Load Pump Energy Index	5

(vii) *Invalid rating.* If, following discussions with the manufacturer and a retest where applicable, DOE determines that the testing was conducted appropriately in accordance with the DOE test procedure, the rating for the model will be considered invalid. The manufacturer must conduct additional testing and re-rate and re-certify the basic models that were rated using the AEDM based on all test data collected, including DOE's test data.

(viii) *AEDM use.* This paragraph (m)(5)(viii) specifies when a manufacturer's use of an AEDM may be restricted due to prior invalid represented values.

(A) If DOE has determined that a manufacturer made invalid ratings on two or more models rated using the same AEDM within a 24-month period, the manufacturer must take the action listed in the table corresponding to the number of invalid certified ratings. The twenty-four month period begins with a DOE determination that a rating is invalid through the process outlined previously. Additional invalid ratings apply for the purposes of determining the appropriate consequences if the subsequent determination(s) is based on selection of a unit for testing within the twenty-four-month period (*i.e.*, subsequent determinations need not be made within 24 months).

TABLE 10 TO PARAGRAPH (m)(5)(viii)(A)

Number of invalid certified ratings from the same AEDM [1] within a rolling 24-month period [2]	Required manufacturer actions
2	Submit different test data and reports from testing to validate that AEDM within the validation classes to which it is applied.[3] Adjust the ratings as appropriate.
4	Conduct double the minimum number of validation tests for the validation classes to which the AEDM is applied. Note, the tests required under this paragraph (m)(5)(viii) must be performed on different models than the original tests required under paragraph (m)(2) of this section.
6	Conduct the minimum number of validation tests for the validation classes to which the AEDM is applied at a third-party test facility; And Conduct additional testing, which is equal to ½ the minimum number of validation tests for the validation classes to which the AEDM is applied, at either the manufacturer's facility or a third-party test facility, at the manufacturer's discretion.

TABLE 10 TO PARAGRAPH (m)(5)(viii)(A)—Continued

Number of invalid certified ratings from the same AEDM[1] within a rolling 24-month period[2]	Required manufacturer actions
> = 8	Note, the tests required under this paragraph (m)(5)(viii) must be performed on different models than the original tests performed under paragraph (m)(2) of this section. Manufacturer has lost privilege to use AEDM. All ratings for models within the validation classes to which the AEDM applied should be rated via testing. Distribution cannot continue until certification(s) are corrected to reflect actual test data.

[1] The ''same AEDM'' means a computer simulation or mathematical model that is identified by the manufacturer at the time of certification as having been used to rate a model or group of models.

[2] The twenty-four month period begins with a DOE determination that a rating is invalid through the process outlined above. Additional invalid ratings apply for the purposes of determining the appropriate consequences if the subsequent determination(s) is based on testing of a unit that was selected for testing within the twenty-four month period (i.e., subsequent determinations need not be made within 24 months).

[3] A manufacturer may discuss with DOE's Office of Enforcement whether existing test data on different basic models within the validation classes to which that specific AEDM was applied may be used to meet this requirement.

(B) If, as a result of eight or more invalid ratings, a manufacturer has lost the privilege of using an AEDM for rating, the manufacturer may regain the ability to use an AEDM by:

(*1*) Investigating and identifying cause(s) for failures;

(*2*) Taking corrective action to address cause(s);

(*3*) Performing six new tests per validation class, a minimum of two of which must be performed by an independent, third-party laboratory to validate the AEDM; and

(*4*) Obtaining DOE authorization to resume use of the AEDM.

(n) *Alternative efficiency determination method (AEDM) for fans and blowers.* (1) *Criteria an AEDM must satisfy.* A manufacturer is not permitted to apply an AEDM to a basic model of fan or blower to determine represented values pursuant to this section unless:

(i) The AEDM is derived from a mathematical model that estimates the energy use characteristics of the basic model as measured by the applicable DOE test procedure and accurately represents the performance characteristics of that basic model;

(ii) The AEDM is based on engineering or statistical analysis, computer simulation or modeling, or other analytic evaluation of actual performance data; and

(iii) The manufacturer has validated the AEDM in accordance with paragraph (n)(2) of this section.

(2) *Validation of an AEDM.* Before using an AEDM, the manufacturer must validate the AEDM's accuracy and reliability by comparing the simulated FEI, or simulated efficacy, as applicable, to the tested FEI or tested efficacy, as applicable (determined by testing), as follows.

(i) *Select basic models.* For each fan or blower validation class listed as follows: centrifugal housed fan; radial housed fan; centrifugal inline fan; centrifugal unhoused fan; centrifugal power roof ventilator exhaust fan; centrifugal power roof ventilator supply fan; axial inline fan; axial panel fan; axial power roof ventilator; unhoused ACFH; axial housed ACFH; and housed centrifugal air circulating fan to which the AEDM is applied, a manufacturer must select at least two basic models compliant with any energy conservation standards in subpart J of part 431 of this chapter. In addition, at least one basic model selected for validation testing should include a motor, or a motor and controller if the AEDM is applied to a basic model with a motor or to a basic model with a motor and controller.

(ii) *Apply the AEDM* to the selected basic models. Using the AEDM, calculate the simulated FEI, or efficacy, as applicable, for each of the selected basic models.

(iii) *Testing.* Test a sample of units of each of the selected basic models in accordance with 10 CFR 431.174 and determine the FEI or efficacy, as applicable, in accordance with § 429.69(a)(1) and (b)(1) as applicable.

(iv) *Compare.* The simulated FEI or simulated efficacy, as applicable, for each basic model must be less than or equal to 105 percent of the FEI or efficacy, as applicable, determined in

paragraph (n)(2)(iii) of this section through testing.

(v) *Additional AEDM requirements.* When making representations of values other than FEI (*e.g.*, FEP, fan shaft power) or efficacy (as applicable) for a basic model that relies on an AEDM, all other representations are required to be based on the same AEDM results used to generate the represented value of FEI or efficacy.

(3) *Verification of an AEDM*—(i) *Periodic review*s. Each manufacturer must periodically select basic models representative of those to which it has applied an AEDM. The manufacturer must select a sufficient number of basic models to ensure the AEDM maintains its accuracy and reliability. For each basic model selected for verification: subject at least one unit to testing in accordance with 10 CFR 431.174. The provisions in paragraph (n)(2)(iv) of this section must be met.

(ii) *Inspection records.* Each manufacturer that has used an AEDM under this section must have available for inspection by the Department of Energy records showing:

(A) The method or methods used to develop the AEDM;

(B) The mathematical model, the engineering or statistical analysis, computer simulation or modeling, and other analytic evaluation of performance data on which the AEDM is based;

(C) Complete test data, equipment information, and related information that the manufacturer has generated or acquired pursuant to paragraphs (n)(2) and (3) of this section; and

(D) The calculations used to determine the simulated FEI or simulated weighted-average FEI, as applicable, of each basic model to which the AEDM was applied.

(iii) *Simulations.* If requested by the Department, the manufacturer must:

(A) Conduct simulations to predict the performance of particular basic models of electric motors specified by the Department;

(B) Provide analyses of previous simulations conducted by the manufacturer; and/or

(C) Conduct testing of basic models selected by the Department.

[76 FR 12451, Mar. 7, 2011; 76 FR 24780, May 2, 2011, as amended at 78 FR 79595, Dec. 31, 2013; 79 FR 25505, May 5, 2014; 79 FR 27410, May 13, 2014; 80 FR 152, Jan. 5, 2015; 79 FR 40565, July 11, 2014; 81 FR 4145, Jan. 25, 2016; 81 FR 37054, June 8, 2016; 81 FR 89304, Dec. 9, 2016; 82 FR 1100, Jan. 4, 2017; 82 FR 1475, Jan. 5, 2017; 87 FR 43979, July 22, 2022; 87 FR 45195, July 27, 2022; 87 FR 63649, Oct. 19, 2022; 87 FR 63894, Oct. 20, 2022; 87 FR 77321, Dec. 16, 2022; 88 FR 17973, Mar. 24, 2023; 88 FR 21837 Apr. 11, 2023; 88 FR 27388, May 1, 2023; 88 FR 28835, May 4, 2023; 88 FR 40472, June 21, 2023; 88 FR 53375, Aug. 8, 2023; 89 FR 44034, May 20, 2024; 89 FR 82070, Oct. 9, 2024]

§ 429.71 Maintenance of records.

(a) The manufacturer of any covered product or covered equipment shall establish, maintain, and retain the records of certification reports, of the underlying test data for all certification testing, and of any other testing conducted to satisfy the requirements of this part, part 430, and part 431. Any manufacturer who chooses to use an alternative method for determining energy efficiency or energy use in accordance with § 429.70 must retain the records required by that section, any other records of any testing performed to support the use of the alternative method, and any certifications required by that section, on file for review by DOE for two years following the discontinuance of all models or combinations whose ratings were based on the alternative method.

(b) Such records shall be organized and indexed in a fashion that makes them readily accessible for review by DOE upon request.

(c) The records shall be retained by the manufacturer for a period of two years from the date that the manufacturer or third party submitter has notified DOE that the model has been discontinued in commerce.

(d) When considering if a pump is subject to energy conservation standards under part 431 of this chapter, DOE may need to determine if a pump was designed and constructed to the requirements set forth in Military Specifications: MIL–P–17639F, MIL–P–17881D, MIL–P–17840C, MIL–P–18682D, or MIL–P–18472G. In this case, a manufacturer must provide DOE with copies of the

original design and test data that were submitted to appropriate design review agencies, as required by MIL–P–17639F, MIL–P–17881D, MIL–P–17840C, MIL–P–18682D, or MIL–P–18472G. Military specifications and standards are available for review at *http://everyspec.com/MIL-SPECS*.

(e) When considering if a compressor is subject to energy conservation standards under part 431, DOE may need to determine if a compressors was designed and tested to the requirements set forth in the American Petroleum Institute standard 619, ''Rotary-Type Positive-Displacement Compressors for Petroleum, Petrochemical, and Natural Gas Industries'' (API 619). In this case, DOE may request that a manufacturer provide DOE with copies of the original requirements and test data that were submitted to the purchaser of the compressor, in accordance with API 619.

[76 FR 12451, Mar. 7, 2011, as amended at 81 FR 4145, Jan. 25, 2016; 85 FR 1591, Jan. 10, 2020]

§ 429.72 Alternative methods for determining non-energy ratings.

(a) *General.* Where § 429.14 through § 429.562 authorize the use of an alternative method for determining a physical or operating characteristic other than the energy consumption or efficiency, such characteristics must be determined either by testing in accordance with the applicable test procedure and applying the specified sampling plan provisions established in those sections or as described in the appropriate product-specific paragraph below. In all cases, the computer-aided design (CAD) models, measurements, and calculations used to determine the rating for the physical or operating characteristic shall be retained as part of the test records underlying the certification of the basic model in accordance with § 429.71.

(b) *Testing.* [Reserved]

(c) *Residential refrigerators, refrigerator-freezers, and freezers.* The total refrigerated volume of a basic model of refrigerator, refrigerator-freezer, or freezer may be determined by performing a calculation of the volume based upon computer-aided design (CAD) models of the basic model in lieu of physical measurements of a production unit of the basic model. Any value of total refrigerated volume of a basic model reported to DOE in a certification of compliance in accordance with § 429.14(b)(2) must be calculated using the CAD-derived volume(s) and the applicable provisions in the test procedures in 10 CFR part 430 for measuring volume, and must be within two percent, or 0.5 cubic feet (0.2 cubic feet for compact products), whichever is greater, of the volume of a production unit of the basic model measured in accordance with the applicable test procedure in 10 CFR part 430.

(d) *Miscellaneous refrigeration products.* The total refrigerated volume of a miscellaneous refrigeration product basic model may be determined by performing a calculation of the volume based upon computer-aided design (CAD) models of the basic model in lieu of physical measurements of a production unit of the basic model. Any value of total adjusted volume and value of total refrigerated volume of a basic model reported to DOE in a certification of compliance in accordance with § 429.61(b)(2) must be calculated using the CAD-derived volume(s) and the applicable provisions in the test procedures in part 430 of this chapter for measuring volume. The calculated value must be within two percent, or 0.5 cubic feet (0.2 cubic feet for products with total refrigerated volume less than 7.75 cubic feet (220 liters)), whichever is greater, of the volume of a production unit of the basic model measured in accordance with the applicable test procedure in part 430 of this chapter.

(e) *Commercial instantaneous water heaters (other than storage-type instantaneous water heaters) and hot water supply boilers.* The storage volume of a commercial instantaneous water heater (other than storage-type instantaneous water heaters) or a hot water supply boiler basic model may be determined by performing a calculation of the stored water volume based upon design drawings (including computer-aided design (CAD) models) or physical dimensions of the basic model. Any value of storage volume of a basic model reported to DOE in a certification of compliance in accordance

with § 429.44(c)(2)(iv) through (vii) must be calculated using the design drawings or physical dimensions or measured as per the applicable provisions in the test procedures in § 431.106 of this chapter. Calculations to determine storage volume must include all water contained within the water heater from the inlet connection(s) to the outlet connection(s). The storage volume of water contained in the water heater must then be computed in gallons.

(f) *Commercial refrigerators, freezers, and refrigerator-freezers.* The volume of a basic model of a commercial refrigerator, refrigerator-freezer, or freezer may be determined by performing a calculation of the volume based upon computer-aided design (CAD) models of the basic model in lieu of physical measurements of a production unit of the basic model. If volume is determined by performing a calculation of volume based on CAD drawings, any value of volume of the basic model reported to DOE in a certification of compliance in accordance with § 429.42(b)(2)(iii) must be calculated using the CAD-derived volume(s) and the applicable provisions in the test procedures in 10 CFR part 431.64 for measuring volume.

[79 FR 22348, Apr. 21, 2014, as amended at 81 FR 4145, Jan. 25, 2016; 81 FR 46790, July 18, 2016; 81 FR 79320, Nov. 10, 2016; 88 FR 66222, Sept. 26, 2023; 89 FR 82070, Oct. 9, 2024]

§ 429.73 Department of Energy recognition of nationally recognized certification programs for electric motors, including dedicated-purpose pool pump motors.

(a) *Petition.* For a certification program to be classified by the Department of Energy as being nationally recognized in the United States for the purposes of §§ 429.64 and 429.65, the organization operating the program must submit a petition to the Department requesting such classification, in accordance with paragraph (c) of this section and § 429.75. The petition must demonstrate that the program meets the criteria in paragraph (b) of this section.

(b) *Evaluation criteria.* For a certification program to be classified by the Department as nationally recognized, it must meet the following criteria:

(1) It must have satisfactory standards and procedures for conducting and administering a certification system, including periodic follow up activities to assure that basic models of electric motors continue to conform to the efficiency levels for which they were certified, and for granting a certificate of conformity;

(2) For certification of electric motors, including dedicated-purpose pool pump motors, it must be independent (as defined at § 429.2) of electric motor (including dedicated-purpose pool pump motor) manufacturers, importers, distributors, private labelers or vendors for which it is providing certification;

(3) It must be qualified to operate a certification system in a highly competent manner; and

(4) In the case of electric motors subject to requirements in subpart B of part 431 of this subchapter, the certification program must have expertise in the content and application of the test procedures at § 431.16 of this subchapter and must apply the provisions at §§ 429.64 and 429.70(j); or

(5) In the case of dedicated-purpose pool pump motors subject to requirements in subpart Z of part 431 of this subchapter, the certification program must have expertise in the content and application of the test procedures at § 431.484 of this subchapter and must apply the provisions at §§ 429.65 and 429.70(k).

(c) *Petition format.* Each petition requesting classification as a nationally recognized certification program must contain a narrative statement as to why the program meets the criteria listed in paragraph (b) of this section, must be signed on behalf of the organization operating the program by an authorized representative, and must be accompanied by documentation that supports the narrative statement. The following provides additional guidance as to the specific criteria:

(1) *Standards and procedures.* A copy of the standards and procedures for operating a certification system and for granting a certificate of conformity should accompany the petition.

(2) *Independent status.* The petitioning organization must describe how it is independent (as defined at § 429.2)

from electric motor, including dedicated-purpose pool pump motor manufacturers, importers, distributors, private labelers, vendors, and trade associations.

(3) *Qualifications to operate a certification system.* Experience in operating a certification system should be described and substantiated by supporting documents within the petition. Of particular relevance would be documentary evidence that establishes experience in the application of guidelines contained in the ISO/IEC Guide 65, ''General requirements for bodies operating product certification systems'' (referenced for guidance only, *see* § 429.3), ISO/IEC Guide 27, ''Guidelines for corrective action to be taken by a certification body in the event of either misapplication of its mark of conformity to a product, or products which bear the mark of the certification body being found to subject persons or property to risk'' (referenced for guidance only, *see* § 429.3), and ISO/IEC Guide 28, ''General rules for a model third-party certification system for products'' (referenced for guidance only, *see* § 429.3), as well as experience in overseeing compliance with the guidelines contained in the ISO/IEC Guide 25, ''General requirements for the competence of calibration and testing laboratories'' (referenced for guidance only, *see* § 429.3).

(4) *Expertise in test procedures*—(i) *General.* This part of the petition should include items such as, but not limited to, a description of prior projects and qualifications of staff members. Of particular relevance would be documentary evidence that establishes experience in applying guidelines contained in the ISO/IEC Guide 25, ''General Requirements for the Competence of Calibration and Testing Laboratories'' (referenced for guidance only, *see* § 429.3), and with energy efficiency testing of the equipment to be certified.

(ii) *Electric motors subject to requirements in subpart B of part 431 of this subchapter.* The petition should set forth the program's experience with the test procedures detailed in § 431.16 of this subchapter and the provisions in §§ 429.64 and 429.70(j).

(iii) *Dedicated-purpose pool pump motors subject to requirements in subpart Z of part 431 of this subchapter.* The petition should set forth the program's experience with the test procedures detailed in § 431.484 of this subchapter and the provisions in §§ 429.65 and 429.70(k).

(d) *Disposition.* The Department will evaluate the petition in accordance with § 429.75, and will determine whether the applicant meets the criteria in paragraph (b) of this section for classification as a nationally recognized certification program.

(e) *Periodic evaluation.* Within one year after publication of any final rule regarding electric motors, a nationally recognized certification program must evaluate whether they meet the criteria in paragraph (b) of this section and must either submit a letter to DOE certifying that no change to its program is needed to continue to meet the criteria in paragraph (b) or submit a letter describing the measures implemented to ensure the criteria in paragraph (b) are met. A certification program will continue to be classified by the Department of Energy as being nationally recognized in the United States until DOE concludes otherwise.

[87 FR 63651, Oct. 19, 2022]

§ 429.74 Department of Energy recognition of accreditation bodies for electric motors, including dedicated-purpose pool pump motors.

(a) *Petition.* To be classified by the Department of Energy as an accreditation body, an organization must submit a petition to the Department requesting such classification, in accordance with paragraph (c) of this section and § 429.75. The petition must demonstrate that the organization meets the criteria in paragraph (b) of this section.

(b) *Evaluation criteria.* To be classified as an accreditation body by the Department, the organization must meet the following criteria:

(1) It must have satisfactory standards and procedures for conducting and administering an accreditation system and for granting accreditation. This must include provisions for periodic audits to verify that the laboratories receiving its accreditation continue to conform to the criteria by which they

were initially accredited, and for withdrawal of accreditation where such conformance does not occur, including failure to provide accurate test results.

(2) It must be independent (as defined at § 429.2) of electric motor manufacturers, importers, distributors, private labelers or vendors for which it is providing accreditation.

(3) It must be qualified to perform the accrediting function in a highly competent manner.

(4)(i) In the case of electric motors subject to requirements in subpart B of part 431 of this subchapter, the organization must be an expert in the content and application of the test procedures and methodologies at § 431.16 of this subchapter and § 429.64.

(ii) In the case of dedicated-purpose pool pump motors subject to requirements in subpart Z of part 431 of this subchapter, the organization must be an expert in the content and application of the test procedures and methodologies at § 431.484 of this subchapter and § 429.65.

(c) *Petition format.* Each petition requesting classification as an accreditation body must contain a narrative statement as to why the program meets the criteria set forth in paragraph (b) of this section, must be signed on behalf of the organization operating the program by an authorized representative, and must be accompanied by documentation that supports the narrative statement. The following provides additional guidance:

(1) *Standards and procedures.* A copy of the organization's standards and procedures for operating an accreditation system and for granting accreditation should accompany the petition.

(2) *Independent status.* The petitioning organization must describe how it is independent (as defined at § 429.2) from electric motor manufacturers, importers, distributors, private labelers, vendors, and trade associations.

(3) *Qualifications to do accrediting.* Experience in accrediting should be discussed and substantiated by supporting documents. Of particular relevance would be documentary evidence that establishes experience in the application of guidelines contained in the ISO/IEC Guide 58, ''Calibration and testing laboratory accreditation systems—General requirements for operation and recognition'' (referenced for guidance only, *see* § 429.3), as well as experience in overseeing compliance with the guidelines contained in the ISO/IEC Guide 25, ''General Requirements for the Competence of Calibration and Testing Laboratories'' (referenced for guidance only, *see* § 429.3).

(4) *Expertise in test procedures.* The petition should set forth the organization's experience with the test procedures and methodologies test procedures and methodologies at § 431.16 of this subchapter and § 429.64. This part of the petition should include items such as, but not limited to, a description of prior projects and qualifications of staff members. Of particular relevance would be documentary evidence that establishes experience in applying the guidelines contained in the ISO/IEC Guide 25, ''General Requirements for the Competence of Calibration and Testing Laboratories,'' (referenced for guidance only, *see* § 429.3) to energy efficiency testing for electric motors.

(d) *Disposition.* The Department will evaluate the petition in accordance with § 429.75, and will determine whether the applicant meets the criteria in paragraph (b) of this section for classification as an accrediting body.

[87 FR 63652, Oct. 19, 2022]

§ 429.75 Procedures for recognition and withdrawal of recognition of accreditation bodies or certification programs.

(a) *Filing of petition.* Any petition submitted to the Department pursuant to § 429.73(a) or § 429.74(a), shall be entitled ''Petition for Recognition'' (''Petition'') and must be submitted to the Department of Energy, Office of Energy Efficiency and Renewable Energy, Building Technologies Office, Appliance and Equipment Standards Program, EE–5B, 1000 Independence Avenue SW, Washington, DC 20585–0121, or via email (preferred submittal method) to *AS_Motor_Petitions@ee.doe.gov*. In accordance with the provisions set forth in 10 CFR 1004.11, any request for confidential treatment of any information contained in such a Petition or in supporting documentation must be accompanied by a copy of the Petition or supporting documentation from which

the information claimed to be confidential has been deleted.

(b) *Public notice and solicitation of comments.* DOE shall publish in the FEDERAL REGISTER the Petition from which confidential information, as determined by DOE, has been deleted in accordance with 10 CFR 1004.11 and shall solicit comments, data and information on whether the Petition should be granted. The Department shall also make available for inspection and copying the Petition's supporting documentation from which confidential information, as determined by DOE, has been deleted in accordance with 10 CFR 1004.11. Any person submitting written comments to DOE with respect to a Petition shall also send a copy of such comments to the petitioner.

(c) *Responsive statement by the petitioner.* A petitioner may, within 10 working days of receipt of a copy of any comments submitted in accordance with paragraph (b) of this section, respond to such comments in a written statement submitted to the Assistant Secretary for Energy Efficiency and Renewable Energy. A petitioner may address more than one set of comments in a single responsive statement.

(d) *Public announcement of interim determination and solicitation of comments.* The Assistant Secretary for Energy Efficiency and Renewable Energy shall issue an interim determination on the Petition as soon as is practicable following receipt and review of the Petition and other applicable documents, including, but not limited to, comments and responses to comments. The petitioner shall be notified in writing of the interim determination. DOE shall also publish in the FEDERAL REGISTER the interim determination and shall solicit comments, data, and information with respect to that interim determination. Written comments and responsive statements may be submitted as provided in paragraphs (b) and (c) of this section.

(e) *Public announcement of final determination.* The Assistant Secretary for Energy Efficiency and Renewable Energy shall as soon as practicable, following receipt and review of comments and responsive statements on the interim determination, publish in the FEDERAL REGISTER notification of final determination on the Petition.

(f) *Additional information.* The Department may, at any time during the recognition process, request additional relevant information or conduct an investigation concerning the Petition. The Department's determination on a Petition may be based solely on the Petition and supporting documents, or may also be based on such additional information as the Department deems appropriate.

(g) *Withdrawal of recognition*—(1) *Withdrawal by the Department.* If DOE believes that an accreditation body or certification program that has been recognized under § 429.73 or § 429.74, respectively, is failing to meet the criteria of paragraph (b) of the section under which it is recognized, or if the certification program fails to meet the provisions at § 429.73(e), the Department will issue a Notice of Withdrawal (''Notice'') to inform such entity and request that it take appropriate corrective action(s) specified in the Notice. The Department will give the entity an opportunity to respond. In no case shall the time allowed for corrective action exceed 180 days from the date of the notice (inclusive of the 30 days allowed for disputing the bases for DOE's notification of withdrawal). If the entity wishes to dispute any bases identified in the Notice, the entity must respond to DOE within 30 days of receipt of the Notice. If after receiving such response, or no response, the Department believes satisfactory correction has not been made, the Department will withdraw its recognition from that entity.

(2) *Voluntary withdrawal.* An accreditation body or certification program may withdraw itself from recognition by the Department by advising the Department in writing of such withdrawal. It must also advise those that use it (for an accreditation body, the testing laboratories, and for a certification organization, the manufacturers) of such withdrawal.

(3) *Notice of withdrawal of recognition.* The Department will publish in the FEDERAL REGISTER notification of any withdrawal of recognition that occurs pursuant to this paragraph.

[87 FR 63652, Oct. 19, 2022]

§ 429.76 Portable electric spas.

(a) *Determination of represented values.* Manufacturers must determine the represented values for each basic model of portable electric spas by testing in conjunction with the following provisions.

(1) For spa covers:

(i) If a basic model is distributed in commerce with multiple covers designated by the spa manufacturer for use with the basic model, a manufacturer must determine all represented values for that basic model based on the cover that results in the highest standby loss, except that the manufacturer may choose to identify specific individual combinations of spa and cover as additional basic models.

(ii) If a basic model is distributed in commerce with no cover designated by the spa manufacturer for use with the basic model, a manufacturer must determine all represented values for that basic model by testing as specified in section 3.1.5.2 of appendix GG to subpart B of this part.

(2) The sampling requirements of § 429.11 are applicable to portable electric spas; and

(3) For each basic model of portable electric spas, a sample of sufficient size must be randomly selected and tested to ensure that any representation of standby loss or other measure of energy consumption of a basic model for which consumers would favor lower values shall be greater than or equal to the higher of:

(i) The mean of the sample, where:

$$\bar{x} = \frac{1}{n}\sum_{i=1}^{n} x_i$$

and $\bar{x}$ is the sample mean, n is the number of samples, and x_i is the i^{th} sample; or,

(ii) The upper 95 percent confidence limit (UCL) of the true mean divided by 1.05, where:

$$UCL = \bar{x} + t_{0.95}\left(\frac{s}{\sqrt{n}}\right)$$

and $\bar{x}$ is the sample mean, s is the sample standard deviation, n is the number of samples, and $t_{0.95}$ is the t statistic for a 95 percent one-tailed confidence interval with n-1 degrees of freedom (from appendix A of subpart B of part 429).

(4) The represented value of standby loss must be a whole number of watts.

(5) The represented value of fill volume of a basic model must be a whole number of gallons that is within 5 gallons of the mean of the fill volumes measured for the units in the sample selected as described in paragraph (a)(3) of this section.

(b) [Reserved]

[88 FR 38627, June 13, 2023]

APPENDIX A TO SUBPART B OF PART 429—STUDENT'S T-DISTRIBUTION VALUES FOR CERTIFICATION TESTING

FIGURE 1—T-DISTRIBUTION VALUES FOR CERTIFICATION TESTING

[One-Sided]

Degrees of freedom (from Appendix A)	Confidence Interval			
	90%	95%	97.5%	99%
1	3.078	6.314	12.71	31.82
2	1.886	2.920	4.303	6.965
3	1.638	2.353	3.182	4.541
4	1.533	2.132	2.776	3.747
5	1.476	2.015	2.571	3.365
6	1.440	1.943	2.447	3.143
7	1.415	1.895	2.365	2.998
8	1.397	1.860	2.306	2.896
9	1.383	1.833	2.262	2.821
10	1.372	1.812	2.228	2.764

FIGURE 1—T-DISTRIBUTION VALUES FOR CERTIFICATION TESTING—Continued

[One-Sided]

Degrees of freedom (from Appendix A)	Confidence Interval			
	90%	95%	97.5%	99%
11	1.363	1.796	2.201	2.718
12	1.356	1.782	2.179	2.681
13	1.350	1.771	2.160	2.650
14	1.345	1.761	2.145	2.624
15	1.341	1.753	2.131	2.602
16	1.337	1.746	2.120	2.583
17	1.333	1.740	2.110	2.567
18	1.330	1.734	2.101	2.552
19	1.328	1.729	2.093	2.539
20	1.325	1.725	2.086	2.528

[76 FR 12451, Mar. 7, 2011; 76 FR 24780, May 2, 2011]

APPENDIX B TO SUBPART B OF PART 429—NOMINAL FULL-LOAD EFFICIENCY TABLE FOR ELECTRIC MOTORS

99.0	96.5	88.5	68	36.5
98.9	96.2	87.5	66	34.5
98.8	95.8	86.5	64	
98.7	95.4	85.5	62	
98.6	95	84	59.5	
98.5	94.5	82.5	57.5	
98.4	94.1	81.5	55	
98.2	93.6	80	52.5	
98	93	78.5	50.5	
97.8	92.4	77	48	
97.6	91.7	75.5	46	
97.4	91	74	43.5	
97.1	90.2	72	41	
96.8	89.5	70	38.5	

[87 FR 63653, Oct. 19, 2022]

Subpart C—Enforcement

§ 429.100 Purpose and scope.

This subpart describes the enforcement authority of DOE to ensure compliance with the conservation standards and regulations.

§ 429.102 Prohibited acts subjecting persons to enforcement action.

(a) Each of the following actions is prohibited:

(1) Failure of a manufacturer to provide, maintain, permit access to, or copying of records required to be supplied under the Act and this part or failure to make reports or provide other information required to be supplied under the Act and this part, including but not limited to failure to properly certify covered products and covered equipment in accordance with § 429.12 and §§ 429.14 through 429.66;

(2) Failure to test any covered product or covered equipment subject to an applicable energy conservation standard in conformance with the applicable test requirements prescribed in 10 CFR parts 430 or 431;

(3) Deliberate use of controls or features in a covered product or covered equipment to circumvent the requirements of a test procedure and produce test results that are unrepresentative of a product's energy or water consumption if measured pursuant to DOE's required test procedure;

(4) Failure of a manufacturer to supply at the manufacturer's expense a requested number of covered products or covered equipment to a designated test laboratory in accordance with a test notice issued by DOE;

(5) Failure of a manufacturer to permit a DOE representative to observe any testing required by the Act and this part and inspect the results of such testing;

(6) Distribution in commerce by a manufacturer or private labeler of any new covered product or covered equipment that is not in compliance with an applicable energy conservation standard prescribed under the Act;

(7) Distribution in commerce by a manufacturer or private labeler of a basic model of covered product or covered equipment after a notice of noncompliance determination has been issued to the manufacturer or private labeler;

(8) Knowing misrepresentation by a manufacturer or private labeler by certifying an energy use or efficiency rating of any covered product or covered equipment distributed in commerce in a manner that is not supported by test data;

(9) For any manufacturer, distributor, retailer, or private labeler to distribute in commerce an adapter that—

(i) Is designed to allow an incandescent lamp that does not have a medium screw base to be installed into a fixture or lamp holder with a medium screw base socket; and

(ii) Is capable of being operated at a voltage range at least partially within 110 and 130 volts; or

(10) For any manufacturer or private labeler to knowingly sell a product to a distributor, contractor, or dealer with knowledge that the entity routinely violates any regional standard applicable to the product.

(b) When DOE has reason to believe that a manufacturer or private labeler has undertaken a prohibited act listed in paragraph (a) of this section, DOE may:

(1) Issue a notice of noncompliance determination;

(2) Impose additional certification testing requirements;

(3) Seek injunctive relief;

(4) Assess a civil penalty for knowing violations; or

(5) Undertake any combination of the above.

(c) *Violations of regional standards.* (1) It is a violation for a distributor to knowingly sell a product to a contractor or dealer with knowledge that the entity will sell and/or install the product in violation of any regional standard applicable to the product.

(2) It is a violation for a distributor to knowingly sell a product to a contractor or dealer with knowledge that the entity routinely violates any regional standard applicable to the product.

(3) It is a violation for a contractor or dealer to knowingly sell to and/or install for an end user a central air conditioner subject to regional standards with the knowledge that such product will be installed in violation of any regional standard applicable to the product.

(4) A ''product installed in violation'' includes:

(i) A complete central air conditioning system that is not certified as a complete system that meets the applicable standard. Combinations that were previously validly certified may be installed after the manufacturer has discontinued the combination, provided all combinations within the basic model, including for single-split-system AC with single-stage or two-stage compressor at least one coil-only combination as specified in paragraph (a)(1) of this section, comply with the regional standard applicable at the time of installation.

(ii) An outdoor unit with no match (*i.e.*, that is not offered for sale with an indoor unit) that is not certified as part of a combination that meets the applicable standard.

(iii) An outdoor unit that is part of a certified combination rated less than the standard applicable in the region in which it is installed or, where applicable, an outdoor unit with no certified coil-only combination as specified in paragraph (a)(1) of this section that meets the standard applicable in the region in which it is installed.

[76 FR 12451, Mar. 7, 2011, as amended at 81 FR 4145, Jan. 25, 2016; 81 FR 45402, July 14, 2016; 87 FR 53639, Aug. 31, 2022; 87 FR 64586, Oct. 25, 2022]

§ 429.104 Assessment testing.

(a) DOE may, at any time, test a basic model to assess whether the basic

model is in compliance with the applicable energy conservation standard(s).

(b) For variable refrigerant flow multi-split air conditioners and heat pumps (other than air-cooled with rated cooling capacity less than 65,000 btu/h), when DOE may require that the manufacturer of a basic model ship at its expense any means of control for the basic model necessary for conducting testing in accordance with Appendix D1 to subpart F of 10 CFR part 431 of this subchapter.

[87 FR 63895, Oct. 20, 2022]

§ 429.106 Investigation of compliance.

(a) DOE may initiate an investigation that a basic model may not be compliant with an applicable conservation standard, certification requirement or other regulation at any time.

(b) DOE may, at any time, request any information relevant to determining compliance with any requirement under parts 429, 430 and 431, including the data underlying certification of a basic model. Such data may be used by DOE to make a determination of compliance or noncompliance with an applicable standard.

§ 429.110 Enforcement testing.

(a) *General provisions.* (1) If DOE has reason to believe that a basic model is not in compliance it may test for enforcement.

(2) For variable refrigerant flow multi-split air conditioners and heat pumps (other than air-cooled with rated cooling capacity less than 65,000 Btu/h), when determining compliance with an energy conservation standard based on IEER, DOE may test for enforcement if DOE has reason to believe that a basic model is not in compliance, has invalid certified operational settings for critical parameter values, or has an otherwise invalid certified rating.

(3) DOE will select and test units pursuant to paragraphs (c) and (e) of this section.

(4) Testing will be conducted at a laboratory accredited to the International Organization for Standardization (ISO)/International Electrotechnical Commission (IEC), ''General requirements for the competence of testing and calibration laboratories,'' ISO/IEC 17025:2005(E) (incorporated by reference; see § 429.4). If testing cannot be completed at an independent laboratory, DOE, at its discretion, may allow enforcement testing at a manufacturer's laboratory, so long as the lab is accredited to ISO/IEC 17025:2005(E) and DOE representatives witness the testing. In addition, for commercial packaged boilers with rated input greater than 5,000,000 Btu/h, DOE, at its discretion, may allow enforcement testing of a commissioned commercial packaged boiler in the location in which it was commissioned for use, pursuant to the test provisions at § 431.86(c) of this chapter, for which accreditation to ISO/IEC 17025:2005(E) would not be required.

(b) *Test notice.* (1) To obtain units for enforcement testing to determine compliance with an applicable standard, DOE will issue a test notice addressed to the manufacturer in accordance with the following requirements:

(i) DOE will send the test notice to the manufacturer's certifying official or other company official.

(ii) The test notice will specify the basic model that will be selected for testing, the method of selecting the test sample, the maximum size of the sample and the size of the initial test sample, the dates at which testing is scheduled to be started and completed, and the facility at which testing will be conducted. The test notice may also provide for situations in which the selected basic model is unavailable for testing and may include alternative models or basic models.

(iii) DOE will state in the test notice that it will select the units of a basic model to be tested from the manufacturer, from one or more distributors, and/or from one or more retailers. If any unit is selected from a distributor or retailer, the manufacturer shall make arrangements with the distributor or retailer for compensation for or replacement of any such units.

(iv) DOE may require in the test notice that the manufacturer of a basic model ship or cause to be shipped from a retailer or distributor at its expense the requested number of units of a basic model specified in such test notice to the testing laboratory specified in the test notice. The manufacturer

shall ship the specified initial test unit(s) of the basic model to the testing laboratory within 5 working days from the time unit(s) are selected. For variable refrigerant flow multi-split air conditioners and heat pumps (other than air-cooled with rated cooling capacity less than 65,000 btu/h) the manufacturer shall also ship any means of control necessary for conducting testing in accordance with appendix D1 to subpart F of 10 CFR part 431 of this subchapter. The manufacturer may ship the means of control separately from the system(s) selected for testing.

(v) If DOE determines that the units identified are low-volume or built-to-order products, DOE will contact the manufacturer to develop a plan for enforcement testing in lieu of paragraphs (ii)–(iv) of this section.

(2) [Reserved]

(c) *Test unit selection.* (1) To select units for testing from a:

(i) Manufacturer's warehouse, distributor, or other facility affiliated with the manufacturer. DOE will select a batch sample at random in accordance with the provisions in paragraph (e) of this section and the conditions specified in the test notice. DOE will randomly select an initial test sample of units from the batch sample for testing in accordance with appendices A through C of this subpart. DOE will make a determination whether an alternative sample size will be used in accordance with the provisions in paragraph (e)(1)(iv) of this section.

(ii) Retailer or other facility not affiliated with the manufacturer. DOE will select an initial test sample of units at random that satisfies the minimum units necessary for testing in accordance with the provisions in appendices A through C of this subpart and the conditions specified in the test notice. Depending on the results of the testing, DOE may select additional units for testing from a retailer in accordance with appendices A through C of this subpart. If the full sample is not available from a retailer, DOE will make a determination whether an alternative sample size will be used in accordance with the provisions in paragraph (e)(1)(iv) of this section.

(iii) Previously commissioned commercial packaged boilers with a rated input greater than 5,000,000 Btu/h. DOE may test a sample of at least one unit in the location in which it was commissioned for use.

(2) Units tested in accordance with the applicable test procedure under this part by DOE or another Federal agency, pursuant to other provisions or programs, may count toward units in the test sample.

(3) The resulting test data shall constitute official test data for the basic model. Such test data will be used by DOE to make a determination of compliance or noncompliance if a sufficient number of tests have been conducted to satisfy the requirements of paragraph (e) of this section and appendices A through C of this subpart.

(d) *Test unit preparation.* (1) Prior to and during testing, a test unit selected for enforcement testing shall not be prepared, modified, or adjusted in any manner unless such preparation, modification, or adjustment is allowed by the applicable DOE test procedure. One test shall be conducted for each test unit in accordance with the applicable test procedures prescribed in parts 430 and 431.

(2) No quality control, testing or assembly procedures shall be performed on a test unit, or any parts and subassemblies thereof, that is not performed during the production and assembly of all other units included in the basic model.

(3) A test unit shall be considered defective if such unit is inoperative or is found to be in noncompliance due to failure of the unit to operate according to the manufacturer's design and operating instructions. Defective units, including those damaged due to shipping or handling, shall be reported immediately to DOE. DOE may authorize testing of an additional unit on a case-by-case basis.

(e) *Basic model compliance.* DOE will evaluate whether a basic model complies with the applicable energy conservation standard(s) based on testing conducted in accordance with the applicable test procedures specified in parts 430 and 431 of this chapter, and with the following statistical sampling procedures:

(1) For products with applicable energy conservation standard(s) in § 430.32

of this chapter, and commercial prerinse spray valves, illuminated exit signs, traffic signal modules and pedestrian modules, commercial clothes washers, dedicated-purpose pool pumps, circulator pumps, and metal halide lamp ballasts, DOE will use a sample size of not more than 21 units and follow the sampling plans in appendix A of this subpart (Sampling for Enforcement Testing of Covered Consumer Products and Certain High-Volume Commercial Equipment).

(2) For automatic commercial ice makers; commercial refrigerators, freezers, and refrigerator-freezers; refrigerated bottled or canned vending machines; commercial air conditioners and heat pumps; commercial packaged boilers; commercial warm air furnaces; commercial water heating equipment; and walk-in cooler and walk-in freezer doors, panels, and refrigeration systems, DOE will use an initial sample size of not more than four units and follow the sampling plans in appendix B to this subpart.

(3) If fewer than four units of a basic model are available for testing (under paragraphs (e)(1) or (2) of this section) when the manufacturer receives the notice, then:

(i) DOE will test the available unit(s); or

(ii) If one or more other units of the basic model are expected to become available within 30 calendar days, DOE may instead, at its discretion, test either:

(A) The available unit(s) and one or more of the other units that subsequently become available (up to a maximum of four); or

(B) Up to four of the other units that subsequently become available.

(4) For distribution transformers, DOE will use an initial sample size of not more than five units and follow the sampling plans in appendix C of this subpart (Sampling Plan for Enforcement Testing of Distribution Transformers). If fewer than five units of a basic model are available for testing when the manufacturer receives the test notice, then:

(i) DOE will test the available unit(s); or

(ii) If one or more other units of the basic model are expected to become available within 30 calendar days, DOE may instead, at its discretion, test either:

(A) The available unit(s) and one or more of the other units that subsequently become available (up to a maximum of five); or

(B) Up to five of the other units that subsequently become available.

(5) For pumps subject to the test procedures specified in § 431.464(a) of this chapter, DOE will use an initial sample size of not more than four units and will determine compliance based on the arithmetic mean of the sample.

(6) For uninterruptible power supplies, if a basic model is certified for compliance to the applicable energy conservation standard(s) in § 430.32 of this chapter according to the sampling plan in § 429.39(a)(2)(iv)(A) of this chapter, DOE will use a sample size of not more than 21 units and follow the sampling plan in appendix A of this subpart (Sampling for Enforcement Testing of Covered Consumer Products and Certain High-Volume Commercial Equipment). If a basic model is certified for compliance to the applicable energy conservation standard(s) in § 430.32 of this chapter according to the sampling plan in § 429.39(a)(2)(iv)(B) of this chapter, DOE will use a sample size of at least one unit and follow the sampling plan in appendix D of this subpart (Sampling for Enforcement Testing of Uninterruptible Power Supplies).

(7) Notwithstanding paragraphs (e)(1) through (6) of this section, if testing of the available or subsequently available units of a basic model would be impractical, as for example when a basic model has unusual testing requirements or has limited production, DOE may in its discretion decide to base the determination of compliance on the testing of fewer than the otherwise required number of units.

(8) When DOE makes a determination in accordance with paragraph (e)(7) of this section to test less than the number of units specified in paragraphs (e)(1) through (6) of this section, DOE will base the compliance determination on the results of such testing in accordance with appendix B of this subpart (Sampling Plan for Enforcement Testing of Covered Equipment and Certain Low-Volume Covered Products)

using a sample size (n_1) equal to the number of units tested.

(9) For the purposes of this section, available units are those that are available for distribution in commerce within the United States.

[76 FR 12451, Mar. 7, 2011, as amended at 81 FR 4145, Jan. 25, 2016; 81 FR 31841, May 20, 2016; 81 FR 89304, Dec. 9, 2016; 81 FR 89822, Dec. 12, 2016; 81 FR 95800, Dec. 28, 2016; 82 FR 36918, Aug. 7, 2017; 87 FR 57298, Sept. 19, 2022; 87 FR 63895, Oct. 20, 2022; 88 FR 28837, May 4, 2023]

§ 429.114 Notice of noncompliance and notice to cease distribution of a basic model.

(a) In the event that DOE determines a basic model is noncompliant with an applicable energy conservation standard, or if a manufacturer or private labeler determines a basic model to be in noncompliance, DOE may issue a notice of noncompliance determination to the manufacturer or private labeler. This notice of noncompliance determination will notify the manufacturer or private labeler of its obligation to:

(1) Immediately cease distribution in commerce of the basic model;

(2) Give immediate written notification of the determination of noncompliance to all persons to whom the manufacturer has distributed units of the basic model manufactured since the date of the last determination of compliance; and

(3) Provide DOE, within 30 calendar days of the request, records, reports and other documentation pertaining to the acquisition, ordering, storage, shipment, or sale of a basic model determined to be in noncompliance.

(b) In the event that DOE determines a manufacturer has failed to comply with an applicable certification requirement with respect to a particular basic model, DOE may issue a notice of noncompliance determination to the manufacturer or private labeler. This notice of noncompliance determination will notify the manufacturer or private labeler of its obligation to:

(1) Immediately cease distribution in commerce of the basic model;

(2) Immediately comply with the applicable certification requirement; and/or

(3) Provide DOE within 30 days of the request, records, reports and other documentation pertaining to the acquisition, ordering, storage, shipment, or sale of the basic model.

(c) If a manufacturer or private labeler fails to comply with the required actions in the notice of noncompliance determination as set forth in paragraphs (a) or (b) of this section, the General Counsel (or delegee) may seek, among other remedies, injunctive action and civil penalties, where appropriate.

(d) The manufacturer may modify a basic model determined to be noncompliant with an applicable energy conservation standard in such manner as to make it comply with the applicable standard. Such modified basic model shall then be treated as a new basic model and must be certified in accordance with the provisions of this part; except that in addition to satisfying all requirements of this part, any models within the basic model must be assigned new model numbers and the manufacturer shall also maintain, and provide upon request to DOE, records that demonstrate that modifications have been made to all units of the new basic model prior to distribution in commerce.

§ 429.116 Additional certification testing requirements.

Pursuant to § 429.102(b)(2), if DOE determines that independent, third-party testing is necessary to ensure a manufacturer's compliance with the rules of this part, part 430, or part 431, a manufacturer must base its certification of a basic model under subpart B of this part on independent, third-party laboratory testing.

§ 429.118 Injunctions.

If DOE has reason to seek an injunction under the Act:

(a) DOE will notify the manufacturer, private labeler or any other person as required, of the prohibited act at issue and DOE's intent to seek a judicial order enjoining the prohibited act unless the manufacturer, private labeler or other person, delivers to DOE within 15 calendar days a corrective action and compliance plan, satisfactory to DOE, of the steps it will take to ensure that the prohibited act ceases.

DOE will monitor the implementation of such plan.

(b) If the manufacturer, private labeler or any other person as required, fails to cease engaging in the prohibited act or fails to provide a satisfactory corrective action and compliance plan, DOE may seek an injunction.

§ 429.120 Maximum civil penalty.

Any person who knowingly violates any provision of § 429.102(a) may be subject to assessment of a civil penalty of no more than $575 for each violation. As to § 429.102(a)(1) with respect to failure to certify, and as to § 429.102(a)(2), (5) through (9), each unit of a covered product or covered equipment distributed in violation of such paragraph shall constitute a separate violation. For violations of § 429.102(a)(1), (3), and (4), each day of noncompliance shall constitute a separate violation for each basic model at issue.

[76 FR 12451, Mar. 7, 2011, as amended at 81 FR 41794, June 28, 2016; 81 FR 96351, Dec. 30, 2016; 83 FR 1291, Jan. 11, 2018; 83 FR 66083, Dec. 26, 2018; 85 FR 830, Jan. 8, 2020; 86 FR 2955, Jan. 14, 2021; 87 FR 1063, Jan. 10, 2022; 88 FR 2193, Jan. 13, 2023; 89 FR 1028, Jan. 9, 2024; 89 FR 105406, Dec. 27, 2024]

§ 429.122 Notice of proposed civil penalty.

(a) The General Counsel (or delegee) shall provide notice of any proposed civil penalty.

(b) The notice of proposed penalty shall:

(1) Include the amount of the proposed penalty;

(2) Include a statement of the material facts constituting the alleged violation; and

(3) Inform the person of the opportunity to elect in writing within 30 calendar days of receipt of the notice to have the procedures of § 429.128 (in lieu of those of § 429.126) apply with respect to the penalty.

§ 429.124 Election of procedures.

(a) In responding to a notice of proposed civil penalty, the respondent may request:

(1) An administrative hearing before an Administrative Law Judge (ALJ) under § 429.126 of this part; or

(2) Elect to have the procedures of § 429.128 apply.

(b) Any election to have the procedures of § 429.128 apply may not be revoked except with the consent of the General Counsel (or delegee).

(c) If the respondent fails to respond to a notice issued under § 429.120 or otherwise fails to indicate its election of procedures, DOE shall refer the civil penalty action to an ALJ for a hearing under § 429.126.

§ 429.126 Administrative law judge hearing and appeal.

(a) When elected pursuant to § 429.124, DOE shall refer a civil penalty action brought under § 429.122 of this part to an ALJ, who shall afford the respondent an opportunity for an agency hearing on the record.

(b) After consideration of all matters of record in the proceeding, the ALJ will issue a recommended decision, if appropriate, recommending a civil penalty. The decision will include a statement of the findings and conclusions, and the reasons therefore, on all material issues of fact, law, and discretion.

(c)(1) The General Counsel (or delegee) shall adopt, modify, or set aside the conclusions of law or discretion contained in the ALJ's recommended decision and shall set forth a final order assessing a civil penalty. The General Counsel (or delegee) shall include in the final order the ALJ's findings of fact and the reasons for the final agency actions.

(2) Any person against whom a penalty is assessed under this section may, within 60 calendar days after the date of the final order assessing such penalty, institute an action in the United States Court of Appeals for the appropriate judicial circuit for judicial review of such order in accordance with chapter 7 of title 5, United States Code. The court shall have jurisdiction to enter a judgment affirming, modifying, or setting aside in whole or in part, the final order, or the court may remand the proceeding to the Department for such further action as the court may direct.

§ 429.128 Immediate issuance of order assessing civil penalty.

(a) If the respondent elects to forgo an agency hearing pursuant to § 429.124, the General Counsel (or delegee) shall issue an order assessing the civil penalty proposed in the notice of proposed penalty under § 429.122, 30 calendar days after the respondent's receipt of the notice of proposed penalty.

(b) If within 60 calendar days of receiving the assessment order in paragraph (a) of this section the respondent does not pay the civil penalty amount, DOE shall institute an action in the appropriate United States District Court for an order affirming the assessment of the civil penalty. The court shall have authority to review de novo the law and the facts involved and shall have jurisdiction to enter a judgment enforcing, modifying, and enforcing as so modified, or setting aside in whole or in part, such assessment.

§ 429.130 Collection of civil penalties.

If any person fails to pay an assessment of a civil penalty after it has become a final and unappealable order under § 429.126 or after the appropriate District Court has entered final judgment in favor of the Department under § 429.128, the General Counsel (or delegee) shall institute an action to recover the amount of such penalty in any appropriate District Court of the United States. In such action, the validity and appropriateness of such final assessment order or judgment shall not be subject to review.

§ 429.132 Compromise and settlement.

(a) DOE may compromise, modify, or remit, with or without conditions, any civil penalty (with leave of court if necessary).

(b) In exercising its authority under paragraph (a) of this section, DOE may consider the nature and seriousness of the violation, the efforts of the respondent to remedy the violation in a timely manner, and other factors as justice may require.

(c) DOE's authority to compromise, modify or remit a civil penalty may be exercised at any time prior to a final decision by the United States Court of Appeals if § 429.126 procedures are utilized, or prior to a final decision by the United States District Court, if § 429.128 procedures are utilized.

(d) Notwithstanding paragraph (a) of this section, DOE or the respondent may propose to settle the case. If a settlement is agreed to by the parties, the respondent is notified and the case is closed in accordance with the terms of the settlement.

§ 429.134 Product-specific enforcement provisions.

(a) *General.* The following provisions apply to assessment and enforcement testing of the relevant products and equipment.

(b) *Refrigerators, refrigerator-freezers, and freezers*—(1) *Verification of total refrigerated volume.* The total refrigerated volume of the basic model will be measured pursuant to the test requirements of 10 CFR part 430 for each unit tested. The results of the measurement(s) will be averaged and compared to the value of total refrigerated volume certified by the manufacturer. The certified total refrigerated volume will be considered valid only if:

(i) The measurement is within two percent, or 0.5 cubic feet (0.2 cubic feet for compact products), whichever is greater, of the certified total refrigerated volume, or

(ii) The measurement is greater than the certified total refrigerated volume.

(A) If the certified total refrigerated volume is found to be valid, the certified adjusted total volume will be used as the basis for calculation of maximum allowed energy use for the basic model.

(B) If the certified total refrigerated volume is found to be invalid, the average measured adjusted total volume, rounded to the nearest 0.1 cubic foot, will serve as the basis for calculation of maximum allowed energy use for the tested basic model.

(2) *Test for models with two compartments, each having its own user-operable temperature control.* The test described in section 5.2(b) of the applicable test procedure for refrigerators or refrigerator-freezers in appendix A to subpart B of 10 CFR part 430 shall be used for all units of a tested basic model before DOE makes a determination of noncompliance with respect to the basic model.

(c) *Clothes washers*—(1) *Determination of Remaining Moisture Content*. These provisions address anomalous remaining moisture content (RMC) results that are not representative of a basic model's performance, as well as differences in RMC values that may result from DOE using a different test cloth lot than was used by the manufacturer for testing and certifying the basic model.

(i) When testing according to appendix J to subpart B of part 430:

(A) If the measured RMC value of a tested unit is equal to or lower than the certified RMC value of the basic model (expressed as a percentage), then the measured RMC value will be considered the tested unit's final RMC value and will be used as the basis for the calculation of per-cycle energy consumption for removal of moisture from the test load for that unit.

(B) If the measured RMC value of a tested unit is higher than the certified RMC value of the basic model but the difference between the measured and certified RMC values would not affect the unit's compliance with the applicable standards, then the measured RMC value will be considered the tested unit's final RMC value.

(C) If the measured RMC value of a tested unit is higher than the certified RMC value of the basic model and the difference between the measured and certified RMC values would affect the unit's compliance with the applicable standards, then:

(*1*) If DOE used the same test cloth lot that was used by the manufacturer for testing and certifying the basic model, then the measured RMC value will be considered the tested unit's final RMC value.

(*2*) If DOE used a different test cloth lot than was used by the manufacturer for testing and certifying the basic model, then:

(*i*) If the measured RMC value of a tested unit is higher than the certified RMC value of the basic model by more than three RMC percentage points, then a value three RMC percentage points less than the measured RMC value will be considered the tested unit's final RMC value.

(*ii*) If the measured RMC value of a tested unit is higher than the certified RMC value of the basic model, but by no more than three RMC percentage points, then the certified RMC value of the basic model will be considered the tested unit's final RMC value.

(ii) When testing according to appendix J2 to subpart B of part 430:

(A) The procedure for determining remaining moisture content (RMC) will be performed once in its entirety, pursuant to the test requirements of section 3.8 of appendix J2 to subpart B of part 430, for each unit tested.

(B) If the measured RMC value of a tested unit is equal to or lower than the certified RMC value of the basic model (expressed as a percentage), then the measured RMC value will be considered the tested unit's final RMC value and will be used as the basis for the calculation of per-cycle energy consumption for removal of moisture from the test load for that unit.

(C) If the measured RMC value of a tested unit is higher than the certified RMC value of the basic model but by no more than two RMC percentage points and the difference between the measured and certified RMC values would not affect the unit's compliance with the applicable standards, then the measured RMC value will be considered the tested unit's final RMC value.

(D) If the measured RMC value of a tested unit is higher than the certified RMC value of the basic model but by no more than two RMC percentage points and the difference between the measured and certified RMC values would affect the unit's compliance with the applicable standards, then:

(*1*) If DOE used the same test cloth lot that was used by the manufacturer for testing and certifying the basic model, then the measured RMC value will be considered the tested unit's final RMC value.

(*2*) If DOE used a different test cloth lot than was used by the manufacturer for testing and certifying the basic model, then the certified RMC value of the basic model would be considered the tested unit's final RMC value.

(E) If the measured RMC value of a tested unit is higher than the certified RMC value of the basic model by more than two RMC percentage points, then DOE will perform two replications of the RMC measurement procedure, each

pursuant to the provisions of section 3.8.5 of appendix J2 to subpart B of part 430, for a total of three independent RMC measurements of the tested unit. The average of the three RMC measurements will be calculated.

(*1*) If the average of the three RMC measurements is equal to or lower than the certified RMC value of the basic model, then the average RMC value will be considered the tested unit's final RMC value.

(*2*) If the average of the three RMC measurements is higher than the certified RMC value of the basic model but the difference between the measured and certified RMC values would not affect the unit's compliance with the applicable standards, then the average RMC value will be considered the tested unit's final RMC value.

(*3*) If the average of the three RMC measurements is higher than the certified RMC value of the basic model and the difference between the measured and certified RMC values would affect the unit's compliance with the applicable standards, then DOE will apply paragraph (c)(1)(ii)(F) of this section.

(F) If the average of the three RMC measurements is higher than the certified RMC value of the basic model and the difference between the measured and certified RMC values would affect the unit's compliance with the applicable standards, then:

(*1*) If DOE used the same test cloth lot that was used by the manufacturer for testing and certifying the basic model, then the average RMC pursuant to paragraph (c)(1)(ii)(E) of this section will be considered the tested unit's final RMC value.

(*2*) If DOE used a different test cloth lot than was used by the manufacturer for testing and certifying the basic model, then:

(*i*) If the average RMC value pursuant to paragraph (c)(1)(ii)(D) of this section is higher than the certified valued of the basic model by more than three RMC percentage points, then a value three RMC percentage points less than the average RMC value will be considered the tested unit's final RMC value.

(*ii*) If the average RMC value pursuant to paragraph (c)(1)(ii)(D) of this section is higher than the certified RMC value of the basic model, but by no more than three RMC percentage points, then the certified RMC value of the basic model will be considered the tested unit's final RMC value.

(2) [Reserved]

(d) *Residential Water Heaters and Residential-Duty Commercial Water Heaters*—(1) *Verification of first-hour rating and maximum GPM rating.* The first-hour rating or maximum gallons per minute (GPM) rating of the basic model will be measured pursuant to the test requirements of 10 CFR part 430 for each unit tested. The mean of the measured values will be compared to the rated values of first-hour rating or maximum GPM rating as certified by the manufacturer. The certified rating will be considered valid only if the measurement is within five percent of the certified rating.

(i) If the rated value of first-hour rating or maximum GPM rating is found to be within 5 percent of the mean of the measured values, then the rated value will be used as the basis for determining the applicable draw pattern pursuant to the test requirements of 10 CFR part 430 for each unit tested.

(ii) If the rated value of first-hour rating or maximum GPM rating is found to vary more than 5 percent from the measured values, then the mean of the measured values will serve as the basis for determining the applicable draw pattern pursuant to the test requirements of 10 CFR part 430 for each unit tested.

(2) *Verification of rated storage volume.* The storage volume of the basic model will be measured pursuant to the test requirements of appendix E to subpart B of 10 CFR part 430 for each unit tested. The mean of the measured values will be compared to the rated storage volume as certified by the manufacturer. The rated value will be considered valid only if the measurement is within 3 percent of the certified rating.

(i) If the rated storage volume is found to be within 3 percent of the mean of the measured value of storage volume, then the rated value will be used as the basis for calculation of the required uniform energy factor for the basic model.

(ii) If the rated storage volume is found to vary more than 3 percent from

the mean of the measured values, then the mean of the measured values will be used as the basis for calculation of the required uniform energy factor for the basic model.

(3) *Verification of fuel input rate.* The fuel input rate of each tested unit of the basic model will be measured pursuant to the test requirements of section 5.2.3 of 10 CFR part 430, subpart B, appendix E. The measured fuel input rate (either the measured fuel input rate for a single unit sample or the average of the measured fuel input rates for a multiple unit sample) will be compared to the rated input certified by the manufacturer. The certified rated input will be considered valid only if the measured fuel input rate is within ±2 percent of the certified rated input.

(i) If the certified rated input is found to be valid, then the certified rated input will be used to determine compliance with the associated energy conservation standard.

(ii) If the measured fuel input rate for gas-fired or oil-fired water heating products is not within ±2 percent of the certified rated input, the measured fuel input rate will be used to determine compliance with the associated energy conservation standard.

(4) *Circulating water heaters.* A storage tank for testing will be selected as described in paragraphs (d)(4)(i) and (ii) of this section. The effective storage volume of the circulating water heater determined in testing will be measured in accordance with appendix E to subpart B of 10 CFR part 430 with the storage tank that is used for testing.

(i) *Electric heat pump circulating water heaters.* For UEF and first-hour rating testing, electric heat pump circulating water heaters will be tested with a minimally-compliant electric storage water heater (as defined at § 430.2 of this chapter) that has a rated storage volume of between 25 and 35 gallons, and is in the low draw pattern, as determined in accordance with appendix E to subpart B of 10 CFR part 430 and the standards set at § 430.32(d) of this chapter. If the manufacturer certifies the specific model of electric storage water heater used for testing to determine the certified UEF and first-hour rating of the electric heat pump circulating water heater, that model of electric storage water heater will be used for testing. If this is not possible (such as if the electric storage water heater model is no longer available or has been discontinued), testing will be performed with an electric storage water heater that has a minimally-compliant UEF rating, in the low draw pattern, and a rated storage volume that is within ± 3 gallons of the rated storage volume of the electric storage water heater used to determine the certified ratings of the electric heat pump circulating water heater (but not less than 25 gallons and not greater than 35 gallons). If no such model is available, then testing will be performed with a minimally-compliant electric storage water heater that has a rated storage volume of between 25 and 35 gallons and is in the low draw pattern.

(ii) *All other circulating water heaters.* For UEF and first-hour rating testing, circulating water heaters are paired with unfired hot water storage tanks (''UFHWSTs'') that have certified storage volumes between 80 and 120 gallons and are at exactly the minimum thermal insulation standard, in terms of R-value, for UFHWSTs, as per the standards set at § 431.110(a) of this chapter. Testing will be performed as follows:

(A) If the manufacturer certifies the specific model of UFHWST used for testing to determine the certified UEF and first-hour rating of the circulating water heater, that model of UFHWST will be used for testing.

(B) If it is not possible to perform testing with the same model of UFHWST certified by the manufacturer, testing will be carried out with a different model of UFHWST accordingly:

(1) Testing will be performed with an UFHWST from the same manufacturer as the certified UFHWST, with the same certified storage volume as the certified UFHWST, and with a certified R-value that meets but does not exceed the standard set at § 431.110(a) of this chapter. If this is not possible,

(2) Testing will be performed with an UFHWST from a different manufacturer than the certified UFHWST, with the same certified storage volume as the certified UFHWST, and with a certified R-value that meets but does not

exceed the standard set at § 431.110(a) of this chapter. If this is not possible,

(3) Testing will be performed with an UFHWST from the same manufacturer as the certified UFHWST, having a certified storage volume within ±5 gallons of the certified UFHWST, and with a certified R-value that meets but does not exceed the standard set at § 431.110(a) of this chapter. If this is not possible,

(4) Testing will be performed with an UFHWST from a different manufacturer than the certified UFHWST, having a certified storage volume within ±5 gallons of the certified UFHWST, and with a certified R-value that meets but does not exceed the standard set at § 431.110(a) of this chapter. If this is not possible,

(5) Testing will be performed with an UFHWST having a certified storage volume between 80 gallons and 120 gallons and with a certified R-value that meets but does not exceed the standard set at § 431.110(a) of this chapter.

(e) *Packaged terminal air conditioners and packaged terminal heat pumps*—(1) *Verification of cooling capacity*. The total cooling capacity of the basic model will be measured pursuant to the test requirements of 10 CFR part 431 for each unit tested. The results of the measurement(s) will be averaged and compared to the value of cooling capacity certified by the manufacturer. The certified cooling capacity will be considered valid only if the average measured cooling capacity is within five percent of the certified cooling capacity.

(i) If the certified cooling capacity is found to be valid, that cooling capacity will be used as the basis for calculation of minimum allowed EER (and minimum allowed COP for PTHP models) for the basic model.

(ii) If the certified cooling capacity is found to be invalid, the average measured cooling capacity will serve as the basis for calculation of minimum allowed EER (and minimum allowed COP for PTHP models) for the tested basic model.

(2) [Reserved]

(f) *Dehumidifiers*—(1) *Verification of capacity*. The capacity will be measured pursuant to the test requirements of part 430 for each unit tested. The results of the measurement(s) will be averaged and compared to the value of capacity certified by the manufacturer for the basic model. The certified capacity will be considered valid only if the measurement is within five percent, or 1.00 pint per day, whichever is greater, of the certified capacity.

(i) If the certified capacity is found to be valid, the certified capacity will be used as the basis for determining the minimum energy factor or integrated energy factor allowed for the basic model.

(ii) If the certified capacity is found to be invalid, the average measured capacity of the units in the sample will be used as the basis for determining the minimum energy factor or integrated energy factor allowed for the basic model.

(2) *Verification of whole-home dehumidifier case volume*. The case volume will be measured pursuant to the test requirements of part 430 for each unit tested. The results of the measurement(s) will be averaged and compared to the value of case volume certified by the manufacturer for the basic model. The certified case volume will be considered valid only if the measurement is within two percent, or 0.2 cubic feet, whichever is greater, of the certified case volume.

(i) If the certified case volume is found to be valid, the certified case volume will be used as the basis for determining the minimum integrated energy factor allowed for the basic model.

(ii) If the certified case volume is found to be invalid, the average measured case volume of the units in the sample will be used as the basis for determining the minimum integrated energy factor allowed for the basic model.

(g) *Commercial package air conditioning and heating equipment (excluding air-cooled equipment with a cooling capacity less than 65,000 Btu/h)*. Before May 15, 2025, the provisions in 10 CFR 429.134, revised as of January 1, 2024, are applicable. On and after May 15, 2025, the following provisions apply.

(1) *Verification of cooling capacity*. The cooling capacity of each tested unit of

the basic model will be measured pursuant to the test requirements of appendix A or appendix A1 to subpart F of part 431. The mean of the cooling capacity measurement(s) will be used to determine the applicable standards for purposes of compliance.

(2) *Specific components.* For assessment and enforcement testing of models subject to energy conservation standards denominated in terms of IVEC and IVHE, if a basic model includes individual models with components listed at table 7 to § 429.43(a)(3)(vi)(A) and DOE is not able to obtain an individual model with the least number (which could be zero) of those components within an otherwise comparable model group (as defined in § 429.43(a)(3)(vi)(A)(*1*)), DOE may test any individual model within the otherwise comparable model group.

(3) *Verification of cut-out and cut-in temperatures.* For assessment and enforcement testing of models of commercial package air conditioning and heating equipment subject to energy conservation standards denominated in terms of IVHE, the cut-out and cut-in temperatures may be verified using the method in appendix H to AHRI 1340–2023 (incorporated by reference, see § 429.4). If this method is conducted, the cut-in and cut-out temperatures determined using this method will be used to calculate IVHE for purposes of compliance.

(h) *Residential boilers—test protocols for functional verification of automatic means for adjusting water temperature.* These tests are intended to verify the functionality of the design requirement that a boiler has an automatic means for adjusting water temperature for single-stage, two-stage, and modulating boilers. These test methods are intended to permit the functional testing of a range of control strategies used to fulfill this design requirement. Section 2, *Definitions*, and paragraph 6.1.a of appendix EE to subpart B of part 430 of this chapter apply for the purposes of this paragraph (h).

(1) *Test protocol for all products other than single-stage products employing burner delay.* This test is intended to verify whether an automatic means for adjusting water temperature other than burner delay produces an incremental change in water supply temperature in response to an incremental change in inferred heat load.

(i) *Boiler setup*—(A) *Boiler installation.* Boiler installation in the test room shall be in accordance with the setup and apparatus requirements of section 6 of appendix EE to subpart B of 10 CFR part 430.

(B) *Establishing flow rate and temperature rise.* Start the boiler without enabling the means for adjusting water temperature. Establish a water flow rate that allows for a water temperature rise of greater than or equal to 20 °F at maximum input rate.

(C) *Temperature stabilization.* Temperature stabilization is deemed to be obtained when the boiler supply water temperature does not vary by more than ±3 °F over a period of five minutes.

(D) *Adjust the inferential load controller.* (*1*) Adjust the boiler controls (in accordance with the I&O manual) to the default setting that allows for activation of the means for adjusting water temperature. For boiler controls that do not allow for control adjustment during active mode operation, terminate call for heat and adjust the inferential load controller in accordance with the I&O manual and then reinitiate call for heat.

(*2*) If the means for adjusting water temperature uses outdoor temperature reset, the maximum outdoor temperature setting (if equipped) should be set to a temperature high enough that the boiler operates continuously during the duration of this test (*i.e.*, if the conditions in paragraph (h)(1)(ii)(A) of this section equal room ambient temperature, then the maximum outdoor temperature should be set at a temperature greater than the ambient air temperature during the test).

(ii) *Establish low inferred load conditions at minimum boiler supply water temperature*—(A) *Establish low inferred load conditions.* (*1*) Establish the inferred load conditions (simulated using a controlling parameter, such as outdoor temperature, thermostat patterns, or boiler cycling) so that the supply water temperature is maintained at the minimum supply water temperature prescribed by the boiler manufacturer's

temperature reset control strategy found in the I&O manual.

(*2*) The minimum supply water temperature of the default temperature reset curve is usually provided in the I&O manual. If there is no recommended minimum supply water temperature, set the minimum supply water temperature equal to 20 °F less than the high supply water temperature specified in paragraph (h)(1)(iii)(A) of this section.

(B) *Supply water temperature stabilization at low inferred load.* (*1*) Maintain the call for heat until the boiler supply water temperature has stabilized. Temperature stabilization is deemed to be obtained when the boiler supply water temperature does not vary by more than ±3 °F over a period of five minutes. The duration of time required to stabilize the supply water, following the procedure in paragraph (h)(1)(ii)(A) of this section, is dependent on the reset strategy and may vary from model to model.

(*2*) Record the boiler supply water temperature while the temperature is stabilized.

(iii) *Establish high inferred load conditions at maximum boiler supply water temperature*—(A) *Establish high inferred load conditions.* Establish the inferred load conditions so that the supply water temperature is set to the maximum allowable supply water temperature as prescribed in the I&O manual, or if there is no recommendation, set to a temperature greater than 170 °F.

(B) *Supply water temperature stabilization at high inferred load.* (*1*) Maintain the call for heat until the boiler supply water temperature has stabilized. Temperature stabilization is deemed to be obtained when the boiler supply water temperature does not vary by more than ±3 °F over a period of five minutes. The duration of time required to stabilize the supply water, following the procedure in paragraph (h)(1)(iii)(A) of this section, is dependent on the reset strategy and may vary from model to model.

(*2*) Record the boiler supply water temperature while the temperature is stabilized.

(*3*) Terminate the call for heat.

(iv) [Reserved]

(2) *Test protocol for single-stage products employing burner delay.* This test will be used in place of paragraph (h)(1) of this section for products manufacturers have certified to DOE under § 429.18(b)(3) as employing a burner delay automatic means strategy. This test verifies whether the automatic means in single-stage boiler products establishes a burner delay upon a call for heat until the means has determined that the inferred heat load cannot be met by the residual heat of the water in the system.

(i) *Boiler setup*—(A) *Boiler installation.* Boiler installation in the test room shall be in accordance with the setup and apparatus requirements by section 6.0 of appendix EE to subpart B of 10 CFR part 430.

(B) *Activation of controls.* Adjust the boiler controls in accordance with the I&O manual at the default setting that allows for activation of the means for adjusting water temperature.

(C) *Adjustment of water flow and temperature.* The flow and temperature of inlet water to the boiler shall be capable of being adjusted manually.

(ii) *Boiler heat-up*—(A) *Boiler start-up.* Power up the boiler and initiate a call for heat.

(B) *Adjustment of firing rate.* Adjust the boiler's firing rate to within ±5% of its maximum rated input.

(C) *Establishing flow rate and temperature rise.* Adjust the water flow through the boiler to achieve a ΔT of 20 °F (±2 °F) or greater with an inlet water temperature equal to 140 °F (±2 °F).

(D) *Terminate the call for heating.* Terminate the call for heat, stop the flow of water through the boiler, and record the time at termination.

(iii) *Verify burner delay*—(A) *Reinitiate call for heat.* Within three (3) minutes of termination (paragraph (h)(2)(ii)(D) of this section) and without adjusting the inlet water flow rate or temperature as specified in paragraph (h)(2)(ii)(C) of this section, reinitiate the call for heat and water flow and record the time.

(B) *Verify burner ignition.* At 15-second intervals, record time and supply water temperature until the main burner ignites.

(C) *Terminate the call for heat.*

(iv) [Reserved]

(i) *Pumps*—(1) *General purpose pumps.* (i) The volume rate of flow (flow rate) at BEP and nominal speed of rotation of each tested unit of the basic model will be measured pursuant to the test requirements of § 431.464 of this chapter, where the value of volume rate of flow (flow rate) at BEP and nominal speed of rotation certified by the manufacturer will be treated as the expected BEP flow rate. The results of the measurement(s) will be compared to the value of volume rate of flow (flow rate) at BEP and nominal speed of rotation certified by the manufacturer. The certified volume rate of flow (flow rate) at BEP and nominal speed of rotation will be considered valid only if the measurement(s) (either the measured volume rate of flow (flow rate) at BEP and nominal speed of rotation for a single unit sample or the average of the measured flow rates for a multiple unit sample) is within five percent of the certified volume rate of flow (flow rate) at BEP and nominal speed of rotation.

(A) If the representative value of volume rate of flow (flow rate) at BEP and nominal speed of rotation is found to be valid, the measured volume rate of flow (flow rate) at BEP and nominal speed of rotation will be used in subsequent calculations of constant load pump energy rating (PER_{CL}) and constant load pump energy index (PEI_{CL}) or variable load pump energy rating (PER_{VL}) and variable load pump energy index (PEI_{VL}) for that basic model.

(B) If the representative value of volume rate of flow (flow rate) at BEP and nominal speed of rotation is found to be invalid, the mean of all the measured volume rate of flow (flow rate) at BEP and nominal speed of rotation values determined from the tested unit(s) will serve as the new expected BEP flow rate and the unit(s) will be retested until such time as the measured rate of flow (flow rate) at BEP and nominal speed of rotation is within 5 percent of the expected BEP flow rate.

(ii) DOE will test each pump unit according to the test method specified by the manufacturer in the certification report submitted pursuant to § 429.59(b); if the model of pump unit was rated using an AEDM, DOE may use either a testing approach or calculation approach.

(2) *Dedicated-purpose pool pumps.* (i) The rated hydraulic horsepower of each tested unit of the basic model of dedicated-purpose pool pump will be measured pursuant to the test requirements of § 431.464(b) of this chapter and the result of the measurement(s) will be compared to the value of rated hydraulic horsepower certified by the manufacturer. The certified rated hydraulic horsepower will be considered valid only if the measurement(s) (either the measured rated hydraulic horsepower for a single unit sample or the average of the measured rated hydraulic horsepower values for a multiple unit sample) is within 5 percent of the certified rated hydraulic horsepower.

(A) If the representative value of rated hydraulic horsepower is found to be valid, the value of rated hydraulic horsepower certified by the manufacturer will be used to determine the standard level for that basic model.

(B) If the representative value of rated hydraulic horsepower is found to be invalid, the mean of all the measured rated hydraulic horsepower values determined from the tested unit(s) will be used to determine the standard level for that basic model.

(ii) To verify the self-priming capability of non-self-priming pool filter pumps and of self-priming pool filter pumps that are not certified with NSF/ANSI 50–2015 (incorporated by reference, see § 429.4) as self-priming, the vertical lift and true priming time of each tested unit of the basic model of self-priming or non-self-priming pool filter pump will be measured pursuant to the test requirements of § 431.464(b) of this chapter.

(A) For self-priming pool filter pumps that are not certified with NSF/ANSI 50–2015 as self-priming, at a vertical lift of 5.0 feet, the result of the true priming time measurement(s) will be compared to the value of true priming time certified by the manufacturer. The certified value of true priming time will be considered valid only if the measurement(s) (either the measured true priming time for a single unit sample or the average of true priming time values for a multiple unit

sample) is within 5 percent of the certified value of true priming time.

(*1*) If the representative value of true priming time is found to be valid, the value of true priming time certified by the manufacturer will be used to determine the appropriate equipment class and standard level for that basic model.

(*2*) If the representative value of true priming time is found to be invalid, the mean of the values of true priming time determined from the tested unit(s) will be used to determine the appropriate equipment class and standard level for that basic model.

(B) For non-self-priming pool filter pumps, at a vertical lift of 5.0 feet, the result of the true priming time measurement(s) (either the measured true priming time for a single unit sample or the average of true priming time values, for a multiple unit sample) will be compared to the value of true priming time referenced in the definition of non-self-priming pool filter pump at § 431.462 (10.0 minutes).

(*1*) If the measurement(s) of true priming time are greater than 95 percent of the value of true priming time referenced in the definition of non-self-priming pool filter pump at § 431.462 with a vertical lift of 5.0 feet, the DPPP model will be considered a non-self-priming pool filter pump for the purposes of determining the appropriate equipment class and standard level for that basic model.

(*2*) If the conditions specified in paragraph (i)(2)(ii)(B)(*1*) of this section are not satisfied, then the DPPP model will be considered a self-priming pool filter pump for the purposes of determining the appropriate equipment class and standard level for that basic model.

(iii) To verify the maximum head of self-priming pool filter pump, non-self-priming pool filter pumps, and waterfall pumps, the maximum head of each tested unit of the basic model of self-priming pool filter pump, non-self-priming pool filter pump, or waterfall pump will be measured pursuant to the test requirements of § 431.464(b) of this chapter and the result of the measurement(s) will be compared to the value of maximum head certified by the manufacturer. The certified value of maximum head will be considered valid only if the measurement(s) (either the measured maximum head for a single unit sample or the average of the maximum head values for a multiple unit sample) is within 5 percent of the certified values of maximum head.

(A) If the representative value of maximum head is found to be valid, the value of maximum head certified by the manufacturer will be used to determine the appropriate equipment class and standard level for that basic model.

(B) If the representative value of maximum head is found to be invalid, the measured value(s) of maximum head determined from the tested unit(s) will be used to determine the appropriate equipment class and standard level for that basic model.

(iv) To verify that a DPPP model complies with the applicable freeze protection control design requirements, the initiation temperature, runtime, and speed of rotation of the default control configuration of each tested unit of the basic model of dedicated-purpose pool pump will be evaluated according to the procedure specified in paragraph (i)(2)(iv)(A) of this section:

(A)(*1*) Set up and configure the dedicated-purpose pool pump under test according to the manufacturer instructions, including any necessary initial priming, in a test apparatus as described in appendix A of HI 40.6–2014–B (incorporated by reference, see § 429.4), except that the ambient temperature registered by the freeze protection ambient temperature sensor will be able to be measured and controlled by, for example, exposing the freeze protection temperature sensor to a specific temperature by submerging the sensor in a water bath of known temperature, by adjusting the actual ambient air temperature of the test chamber and measuring the temperature at the freeze protection ambient temperature sensor location, or by other means that allows the ambient temperature registered by the freeze protection temperature sensor to be reliably simulated, varied, and measured. Do not adjust the default freeze protection control settings or enable the freeze protection control if it is shipped disabled.

(*2*) Activate power to the pump with the flow rate set to zero (*i.e.*, the pump is energized but not circulating water). Set the ambient temperature to 42.0 ± 0.5 °F and allow the temperature to stabilize, where stability is determined in accordance with section 40.6.3.2.2 of HI 40.6–2014–B. After 5 minutes, decrease the temperature measured by the freeze protection temperature sensor by 1.0 ± 0.5 °F and allow the temperature to stabilize. After each reduction in ambient temperature and subsequent stabilization, record the DPPP rotating speed, if any, and freeze protection ambient temperature reading, where the ''freeze protection ambient temperature reading'' is representative of the temperature measured by the freeze protection ambient temperature sensor, which may be recorded by a variety of means depending on how the temperature is being simulated and controlled. If no flow is initiated, record zero rpm or no flow. Continue decreasing the temperature measured by the freeze protection temperature sensor by 1.0 ± 0.5 °F after 5.0 minutes of stable operation at the previous temperature reading until the pump freeze protection initiates water circulation or until the ambient temperature of 38.0 ± 0.5 °F has been evaluated (*i.e.*, the end of the 5.0 minute interval of 38.0 °F), whichever occurs first.

(*3*) If and when the DPPP freeze protection controls initiate water circulation, increase the ambient temperature reading registered by the freeze protection temperature sensor to a temperature of 42.0 ± 0.5 °F and maintain that temperature for 60.0 minutes. Do not modify or interfere with the operation of the DPPP freeze protection operating cycle. After 60.0 minutes, record the freeze protection ambient temperature and rotating speed, if any, of the dedicated-purpose pool pump under test.

(B) If the dedicated-purpose pool pump initiates water circulation at a temperature greater than 40.0 °F; if the dedicated-purpose pool pump was still circulating water after 60.0 minutes of operation at 42.0 ± 0.5 °F; or if rotating speed measured at any point during the DPPP freeze protection control test in paragraph (i)(2)(iii)(A) of this section was greater than one-half of the maximum rotating speed of the DPPP model certified by the manufacturer, that DPPP model is deemed to not comply with the design requirement for freeze protection controls.

(C) If none of the conditions specified in paragraph (i)(2)(iv)(B) of this section are met, including if the DPPP freeze protection control does not initiate water circulation at all during the test, the dedicated-purpose pool pump under test is deemed compliant with the design requirement for freeze protection controls.

(3) *Circulator pumps.* (i) The flow rate at BEP and maximum speed of each tested unit of the basic model will be measured pursuant to the test requirements of § 431.464(c) of this chapter, where the value of flow rate at BEP and maximum speed certified by the manufacturer will be treated as the expected BEP flow rate at maximum speed. The resulting measurement(s) will be compared to the value of flow rate at BEP and maximum speed certified by the manufacturer. The certified flow rate at BEP and maximum speed will be considered valid only if the measurement (either the measured flow rate at BEP and maximum speed for a single unit sample or the average of the measured flow rates for a multiple unit sample) is within 5 percent of the certified flow rate at BEP and maximum speed.

(A) If the representative value of flow rate is found to be valid, the measured flow rate at BEP and maximum speed will be used in subsequent calculations of circulator energy rating (CER) and circulator energy index (CEI) for that basic model.

(B) If the representative value of flow rate at BEP and maximum speed is found to be invalid, the mean of all the measured values of flow rate at BEP and maximum speed determined from the tested unit(s) will serve as the new expected BEP flow rate and the unit(s) will be retested until such time as the measured flow rate at BEP and maximum speed is within 5 percent of the expected BEP flow rate.

(ii) The rated hydraulic horsepower of each tested unit of the basic model will be measured pursuant to the test requirements of § 431.464(c) of this chapter. The resulting measurement will be

compared to the rated hydraulic horsepower certified by the manufacturer. The certified rated hydraulic horsepower will be considered valid only if the measurement (either the measured rated hydraulic horsepower for a single unit sample or the average of the measured rated hydraulic horsepower values for a multiple unit sample) is within 5 percent of the certified rated hydraulic horsepower.

(A) If the certified rated hydraulic horsepower is found to be valid, the certified rated hydraulic horsepower will be used as the basis for determining scope of applicability for that model.

(B) If the certified rated hydraulic horsepower is found to be invalid, the arithmetic mean of all the hydraulic horsepower values resulting from DOE's testing will be used as the basis for determining scope of applicability for that model.

(iii) DOE will test each circulator pump unit according to the control setting with which the unit was rated. If no control setting is specified and no controls were available, DOE will test using the full speed test. If no control setting is specified and a variety of controls are available, DOE will test using the test method for any one of the control varieties available on board.

(iv) DOE will test each circulator pump using the description and equation for the control curve with which it was rated, if available.

(j) *Refrigerated bottled or canned beverage vending machines*—(1) *Verification of refrigerated volume.* The refrigerated volume (V) of each tested unit of the basic model will be measured pursuant to the test requirements of 10 CFR 431.296. The results of the measurement(s) will be compared to the representative value of refrigerated volume certified by the manufacturer. The certified refrigerated volume will be considered valid only if the measurement(s) (either the measured refrigerated volume for a single unit sample or the average of the measured refrigerated volumes for a multiple unit sample) is within five percent of the certified refrigerated volume.

(i) If the representative value of refrigerated volume is found to be valid, the certified refrigerated volume will be used as the basis for calculation of maximum daily energy consumption for the basic model.

(ii) If the representative value of refrigerated volume is found to be invalid, the average measured refrigerated volume determined from the tested unit(s) will serve as the basis for calculation of maximum daily energy consumption for the tested basic model.

(2) *Verification of surface area, transparent, and non-transparent areas.* The percent transparent surface area on the front side of the basic model will be measured pursuant to these requirements for the purposes of determining whether a given basic model meets the definition of Class A or Combination A, as presented at 10 CFR 431.292. The transparent and non-transparent surface areas shall be determined on the front side of the beverage vending machine at the outermost surfaces of the beverage vending machine cabinet, from edge to edge, excluding any legs or other protrusions that extend beyond the dimensions of the primary cabinet. Determine the transparent and non-transparent areas on each side of a beverage vending machine as described in paragraphs (j)(2)(i) and (ii) of this section. For combination vending machines, disregard the surface area surrounding any refrigerated compartments that are not designed to be refrigerated (as demonstrated by the presence of temperature controls), whether or not it is transparent. Determine the percent transparent surface area on the front side of the beverage vending machine as a ratio of the measured transparent area on that side divided by the sum of the measured transparent and non-transparent areas, multiplying the result by 100.

(*i*) *Determination of transparent area.* Determine the total surface area that is transparent as the sum of all surface areas on the front side of a beverage vending machine that meet the definition of transparent at 10 CFR 431.292. When determining whether or not a particular wall segment is transparent, transparency should be determined for the aggregate performance of all the materials between the refrigerated volume and the ambient environment; the

composite performance of all those materials in a particular wall segment must meet the definition of transparent for that area be treated as transparent.

(*ii*) *Determination of non-transparent area.* Determine the total surface area that is not transparent as the sum of all surface areas on the front side of a beverage vending machine that are not considered part of the transparent area, as determined in accordance with paragraph (j)(2)(i) of this section.

(k) *Central air conditioners and heat pumps*—(1) *Verification of cooling capacity.* The cooling capacity of each tested unit of the individual model (for single-package systems) or individual combination (for split systems) will be measured pursuant to the test requirements of § 430.23(m) of this chapter. The mean of the measurement(s) (either the measured cooling capacity for a single unit sample or the average of the measured cooling capacities for a multiple unit sample) will be used to determine the applicable standards for purposes of compliance.

(2) *Verification of* C_D value. (i) For central air conditioners and heat pumps other than models of outdoor units with no match, if manufacturers certify that they did not conduct the optional tests to determine the CC and/or CH value for an individual model (for single-package systems) or individual combination (for split systems), as applicable, the default CC and/or CH value will be used as the basis for calculation of SEER or HSPF for each unit tested. If manufacturers certify that they conducted the optional tests to determine the CC and/or CH value for an individual model (for single-package systems) or individual combination (for split systems), as applicable, the CC and/or CH value will be measured pursuant to the test requirements of § 430.23(m) of this chapter for each unit tested and the result for each unit tested (either the tested value or the default value, as selected according to the criteria for the cyclic test in 10 CFR part 430, subpart B, appendix M, section 3.5e) used as the basis for calculation of SEER or HSPF for that unit.

(ii) For models of outdoor units with no match, DOE will use the default CC and/or CH value pursuant to 10 CFR part 430.

(l) *Miscellaneous refrigeration products*—(1) *Verification of total refrigerated volume.* For all miscellaneous refrigeration products, the total refrigerated volume of the basic model will be measured pursuant to the test requirements of part 430 of this chapter for each unit tested. The results of the measurement(s) will be averaged and compared to the value of total refrigerated volume certified by the manufacturer. The certified total refrigerated volume will be considered valid only if:

(i) The measurement is within two percent, or 0.5 cubic feet (0.2 cubic feet for products with total refrigerated volume less than 7.75 cubic feet (220 liters)), whichever is greater, of the certified total refrigerated volume; or

(ii) The measurement is greater than the certified total refrigerated volume.

(A) If the certified total refrigerated volume is found to be valid, the certified adjusted total volume will be used as the basis for calculating the maximum allowed energy use for the tested basic model.

(B) If the certified total refrigerated volume is found to be invalid, the average measured adjusted total volume, rounded to the nearest 0.1 cubic foot, will serve as the basis for calculating the maximum allowed energy use for the tested basic model.

(2) *Test for models with two compartments, each having its own user-operable temperature control.* The test described in section 5.2(b) of the applicable test procedure in appendix A to subpart B part 430 of this chapter shall be used for all units of a tested basic model before DOE makes a determination of noncompliance with respect to the basic model.

(m) *Commercial packaged boilers*—(1) *Verification of fuel input rate.* The fuel input rate of each tested unit will be measured pursuant to the test requirements of § 431.86 of this chapter. The results of the measurement(s) will be compared to the value of rated input certified by the manufacturer. The certified rated input will be considered valid only if the measurement(s) (either the measured fuel input rate for a single unit sample or the average of

the measured fuel input rates for a multiple unit sample) is within two percent of the certified rated input.

(i) If the measured fuel input rate is within two-percent of the certified rated input, the certified rated input will serve as the basis for determination of the appropriate equipment class(es) and the mean measured fuel input rate will be used as the basis for calculation of combustion and/or thermal efficiency for the basic model.

(ii) If the measured fuel input rate for a gas-fired commercial packaged boiler is not within two-percent of the certified rated input, DOE will first attempt to increase or decrease the gas manifold pressure within the range specified in manufacturer's installation and operation manual shipped with the commercial packaged boiler being tested (or, if not provided in the manual, in supplemental instructions provided by the manufacturer pursuant to § 429.60(b)(4) of this chapter) to achieve the certified rated input (within two-percent). If the fuel input rate is still not within two-percent of the certified rated input, DOE will attempt to increase or decrease the gas inlet pressure within the range specified in manufacturer's installation and operation manual shipped with the commercial packaged boiler being tested (or, if not provided in the manual, in supplemental instructions provided by the manufacturer pursuant to § 429.60(b)(4)) to achieve the certified rated input (within two-percent). If the fuel input rate is still not within two-percent of the certified rated input, DOE will attempt to modify the gas inlet orifice if the unit is equipped with one. If the fuel input rate still is not within two percent of the certified rated input, the mean measured fuel input rate (either for a single unit sample or the average of the measured fuel input rates for a multiple unit sample) will serve as the basis for determination of the appropriate equipment class(es) and calculation of combustion and/or thermal efficiency for the basic model.

(iii) If the measured fuel input rate for an oil-fired commercial packaged boiler is not within two-percent of the certified rated input, the mean measured fuel input rate (either for a single unit sample or the average of the measured fuel input rates for a multiple unit sample) will serve as the basis for determination of the appropriate equipment class(es) and calculation of combustion and/or thermal efficiency for the basic model.

(2) *Models capable of producing both hot water and steam.* For a model of commercial packaged boiler that is capable of producing both hot water and steam, DOE may measure the thermal or combustion efficiency as applicable (see § 431.87 of this chapter) for steam and/or hot water modes. DOE will evaluate compliance based on the measured thermal or combustion efficiency in steam and hot water modes, independently.

(n) *Commercial water heating equipment other than residential-duty commercial water heaters*—(1) *Verification of fuel input rate.* The fuel input rate of each tested unit of the basic model will be measured pursuant to the test requirements of § 431.106 of this chapter. The measured fuel input rate (either the measured fuel input rate for a single unit sample or the average of the measured fuel input rates for a multiple unit sample) will be compared to the rated input certified by the manufacturer. The certified rated input will be considered valid only if the measured fuel input rate is within two percent of the certified rated input.

(i) If the certified rated input is found to be valid, then the certified rated input will serve as the basis for determination of the appropriate equipment class and calculation of the standby loss standard (as applicable).

(ii) If the measured fuel input rate for gas-fired commercial water heating equipment is not within two percent of the certified rated input, DOE will first attempt to increase or decrease the gas outlet pressure within 10 percent of the value specified on the nameplate of the model of commercial water heating equipment being tested to achieve the certified rated input (within 2 percent). If the fuel input rate is still not within two percent of the certified rated input, DOE will attempt to increase or decrease the gas supply pressure within the range specified on the nameplate of the model of commercial water heating equipment being tested. If the measured fuel input rate is still not within

two percent of the certified rated input, DOE will attempt to modify the gas inlet orifice, if the unit is equipped with one. If the measured fuel input rate still is not within two percent of the certified rated input, the measured fuel input rate will serve as the basis for determination of the appropriate equipment class and calculation of the standby loss standard (as applicable).

(iii) If the measured fuel input rate for oil-fired commercial water heating equipment is not within two percent of the certified rated input, the measured fuel input rate will serve as the basis for determination of the appropriate equipment class and calculation of the standby loss standard (as applicable).

(2) [Reserved]

(o) *Uninterruptible power supplies.* (1) Determine the UPS architecture by performing the tests specified in the definitions of VI, VFD, and VFI in sections 2.28.1 through 2.28.3 of appendix Y to subpart B of 10 CFR part 430.

(2) [Reserved]

(p) *Compressors*—(1) *Verification of full-load operating pressure.* (i) The maximum full-flow operating pressure of each tested unit of the basic model will be measured pursuant to the test requirements of appendix A to subpart T of part 431 of this chapter, where 90 percent of the value of full-load operating pressure certified by the manufacturer will be the starting point of the test method prior to increasing discharge pressure. The measured maximum full-flow operating pressure (either the single measured value for a single unit sample or the mean of the measured maximum full-flow operating pressures for a multiple unit sample) will be compared to the certified rating for full-load operating pressure to determine if the certified rating is valid or not. The certified rating for full-load operating pressure will be considered valid only if the certified rating for full-load operating pressure is less than or equal to the measured maximum full-flow operating pressure and greater than or equal to the lesser of—

(A) 90 percent of the measured maximum full-flow operating pressure; or

(B) 10 psig less than the measured maximum full-flow operating pressure.

(ii) If the certified full-load operating pressure is found to be valid, then the certified value will be used as the full-load operating pressure and will be the basis for determination of full-load actual volume flow rate, pressure ratio at full-load operating pressure, specific power, and package isentropic efficiency.

(iii) If the certified full-load operating pressure is found to be invalid, then the measured maximum full-flow operating pressure will be used as the full-load operating pressure and will be the basis for determination of full-load actual volume flow rate, pressure ratio at full-load operating pressure, specific power, and package isentropic efficiency.

(2) *Verification of full-load actual volume flow rate.* The measured full-load actual volume flow rate will be measured, pursuant to the test requirements of appendix A to subpart T of part 431 of this chapter, at the full-load operating pressure determined in paragraph (p)(1) of this section. The certified full-load actual volume flow rate will be considered valid only if the measurement(s) (either the measured full-load actual volume flow rate for a single unit sample or the mean of the measured values for a multiple unit sample) are within the percentage of the certified full-load actual volume flow rate specified in Table 1 of this section:

TABLE 1 OF § 429.134—ALLOWABLE PERCENTAGE DEVIATION FROM THE CERTIFIED FULL-LOAD ACTUAL VOLUME FLOW RATE

Manufacturer certified full-load actual volume flow rate (m^3/s) × 10^{-3}	Allowable percent of the certified full-load actual volume flow rate (%)
0 < and ≤ 8.3	±7
8.3 < and ≤ 25	±6
25 < and ≤ 250	±5
> 250	±4

(i) If the certified value of full-load actual volume flow rate is found to be valid, the full-load actual volume flow rate certified by the manufacturer will be used as the basis for determination of the applicable standard.

(ii) If the certified value of full-load actual volume flow rate is found to be

invalid, the entire sample (one or multiple units) will be considered as failing the enforcement test.

(3) *Ancillary equipment.* Prior to testing each compressor, DOE will install any required ancillary equipment specified by the manufacturer in the certification report submitted pursuant to § 429.63(b).

(q) *Walk-in coolers and walk-in freezers.* Prior to October 31, 2023, the provisions in 10 CFR 429.134, revised as of January 1, 2022, are applicable. On and after October 31, 2023, the following provisions apply.(1) If DOE determines that a basic model of a panel, door, or refrigeration system for walk-in coolers or walk-in freezers fails to meet an applicable energy conservation standard, then the manufacturer of that basic model is responsible for the noncompliance. If DOE determines that a complete walk-in cooler or walk-in freezer or component thereof fails to meet an applicable energy conservation standard, then the manufacturer of that walk-in cooler or walk-in freezer is responsible for the noncompliance with the applicable standard, except that the manufacturer of a complete walk-in cooler or walk-in freezer is not responsible for the use of components that were certified and labeled (in accordance with DOE labeling requirements) as compliant by another party and later found to be noncompliant with the applicable standard(s).

(2) *Verification of refrigeration system net capacity.* The net capacity of the refrigeration system basic model will be measured pursuant to the test requirements of part 431, subpart R, appendix C of this chapter for each unit tested on and after October 31, 2023, but before the compliance date of revised energy conservation standards for walk-in cooler and walk-in freezer refrigeration systems. The net capacity of the refrigeration system basic model will be measured pursuant to the test requirements of part 431, subpart R, appendix C1 of this chapter for each unit tested on and after the compliance date of revised energy conservation standards for walk-in cooler and walk-in freezer refrigeration systems. The results of the measurement(s) will be averaged and compared to the value of net capacity certified by the manufacturer. The certified net capacity will be considered valid only if the average measured net capacity is within plus or minus five percent of the certified net capacity.

(3) *Verification of door surface area.* The surface area of a display door or non-display door basic model will be measured pursuant to the requirements of 10 CFR part 431, subpart R, appendix A for each unit tested. The results of the measurement(s) will be averaged and compared to the value of the surface area certified by the manufacturer. The certified surface area will be considered valid only if the average measured surface area is within plus or minus three percent of the certified surface area.

(i) If the certified surface area is found to be valid, the certified surface area will be used as the basis for calculating the maximum energy consumption (kWh/day) of the basic model.

(ii) If the certified surface area is found to be invalid, the average measured surface area will serve as the basis for calculating the maximum energy consumption (kWh/day) of the basic model.

(4) *Verification of door electricity-consuming device power.* For each basic model of walk-in cooler and walk-in freezer door, DOE will calculate the door's energy consumption using the input power listed on the nameplate of each electricity-consuming device shipped with the door. If an electricity-consuming device shipped with a walk-in door does not have a nameplate or the nameplate does not list the device's input power, then DOE will use the device's rated input power included in the door's certification report. If the door is not certified or if the certification does not include a rated input power for an electricity-consuming device shipped with a walk-in door, DOE will use the measured input power. DOE also may validate the power listed on the nameplate or the rated input power by measuring it when energized using a power supply that provides power within the allowable voltage range listed on the component nameplate or the door nameplate, whichever is available. If the measured input power is more than 10 percent higher than the input power listed on the nameplate or the rated

input power, as appropriate, then the measured input power shall be used in the door's energy consumption calculation.

(i) For electricity-consuming devices with controls, the maximum input wattage observed while energizing the device and activating the control shall be considered the measured input power. For anti-sweat heaters that are controlled based on humidity levels, the control may be activated by increasing relative humidity in the region of the controls without damaging the sensor. For lighting fixtures that are controlled with motion sensors, the control may be activated by simulating motion in the vicinity of the sensor. Other kinds of controls may be activated based on the functions of their sensor.

(ii) [Reserved]

(5) *Break-in period for refrigeration systems.* DOE will perform a compressor break-in period during assessment or enforcement testing using a duration specified by the manufacturer, not to exceed 20 hours, only if a break-in period duration is provided in the certification report.

(r) *Portable air conditioners. Verification of seasonally adjusted cooling capacity.* The seasonally adjusted cooling capacity will be measured pursuant to the test requirements of 10 CFR part 430 for each unit tested. The results of the measurement(s) will be averaged and compared to the value of seasonally adjusted cooling capacity certified by the manufacturer. The certified seasonally adjusted cooling capacity will be considered valid only if the average measured seasonally adjusted cooling capacity is within five percent of the certified seasonally adjusted cooling capacity.

(1) If the certified seasonally adjusted cooling capacity is found to be valid, the certified value will be used as the basis for determining the minimum allowed combined energy efficiency ratio for the basic model.

(2) If the certified seasonally adjusted cooling capacity is found to be invalid, the average measured seasonally adjusted cooling capacity will be used to determine the minimum allowed combined energy efficiency ratio for the basic model.

(s) *Direct Expansion-Dedicated Outdoor Air Systems.* (1) If a basic model includes individual models with components listed at table 1 to § 429.43(a)(3)(i)(A) and DOE is not able to obtain an individual model with the least number (which could be zero) of those components within an otherwise comparable model group (as defined in § 429.43(a)(3)(i)(A)(*1*)), DOE may test any individual model within the otherwise comparable model group.

(2) If the manufacturer certified testing in accordance with Option 1 using default VERS exhaust air transfer ratio (EATR) values or Option 2 using default VERS effectiveness and EATR values, DOE may determine the integrated seasonal moisture removal efficiency 2 (ISMRE2) and/or the integrated seasonal coefficient of performance 2 (ISCOP2) using the default values or by conducting testing to determine VERS performance according to the DOE test procedure in appendix B to subpart F of part 431 of this chapter (with the minimum purge angle and zero pressure differential between supply and return air).

(3) If the manufacturer certified testing in accordance with Option 1 using VERS exhaust air transfer ratio (EATR) values or Option 2 using VERS effectiveness and EATR values determined using an analysis tool certified in accordance with the DOE test procedure in appendix B to subpart F of part 431 of this chapter, DOE may conduct its own testing to determine VERS performance in accordance with the DOE test procedure in appendix B to subpart F of part 431 of this chapter.

(i) DOE would use the values of VERS performance certified to DOE (*i.e.* EATR, sensible effectiveness, and latent effectiveness) as the basis for determining the ISMRE2 and/or ISCOP2 of the basic model only if, for Option 1, the certified EATR is found to be no more than one percentage point less than the mean of the measured values (*i.e.* the difference between the measured EATR and the certified EATR is no more than 0.01), or for Option 2, all certified values of sensible effectiveness are found to be no greater than 105 percent of the mean of the measured values (*i.e.* the certified effectiveness divided by the measured effectiveness

is no greater than 1.05), all certified values of latent effectiveness are found to be no greater than 107 percent of the mean of the measured values, and the certified EATR is found to be no more than one percentage point less than the mean of the measured values.

(ii) If any of the conditions in paragraph (s)(2)(i) of this section do not hold true, then the mean of the measured values will be used as the basis for determining the ISMRE2 and/or ISCOP2 of the basic model.

(t) *Ceiling Fans*—(1) *Verification of blade span.* DOE will measure the blade span and round the measurement pursuant to the test requirements of 10 CFR part 430 of this chapter for each unit tested. DOE will consider the represented blade span valid only if the rounded measurement(s) (either the rounded measured value for a single unit, or the mean of the rounded measured values for a multiple unit sample, rounded to the nearest inch) is the same as the represented blade span.

(i) If DOE determines that the represented blade span is valid, that blade span will be used as the basis for determining the product class and calculating the minimum allowable ceiling fan efficiency.

(ii) If DOE determines that the represented blade span is invalid, DOE will use the rounded measured blade span(s) as the basis for determining the product class, and calculating the minimum allowable ceiling fan efficiency.

(2) *Verification of the distance between the ceiling and lowest point of fan blades.* DOE will measure the distance between the ceiling and lowest point of the fan blades and round the measurement pursuant to the test requirements of 10 CFR part 430 of this chapter for each unit tested. DOE will consider the represented distance valid only if the rounded measurement(s) (either the measured value for a single unit, or the mean of the measured values for a multiple unit sample, rounded to the nearest quarter inch) are the same as the represented distance.

(i) If DOE determines that the represented distance is valid, that distance will be used as the basis for determining the product class.

(ii) If DOE determines that the represented distance is invalid, DOE will use the rounded measured distance(s) as the basis for determining the product class.

(3) *Verification of blade revolutions per minute (RPM) measured at high speed.* DOE will measure the blade RPM at high speed pursuant to the test requirements of 10 CFR part 430 of this chapter for each unit tested. DOE will consider the represented blade RPM measured at high speed valid only if the measurement(s) (either the measured value for a single unit, or the mean of the measured values for a multiple unit sample, rounded to the nearest RPM) are within 2 percent of the represented blade RPM at high speed.

(i) If DOE determines that the represented RPM is valid, that RPM will be used as the basis for determining the product class.

(ii) If DOE determines that the represented RPM is invalid, DOE will use the rounded measured RPM(s) as the basis for determining the product class.

(4) *Verification of blade edge thickness.* DOE will measure the blade edge thickness and round the measurement pursuant to the test requirements of 10 CFR part 430 for each unit tested. DOE will consider the represented blade edge thickness valid only if the measurement(s) (either the measured value for a single unit, or the mean of the measured values for a multiple unit sample, rounded to the nearest 0.01 inch) are the same as the represented blade edge thickness.

(i) If DOE determines that the represented blade edge thickness is valid, that blade edge thickness will be used for determining product class.

(ii) If DOE determines that the represented blade edge thickness is invalid, DOE will use the rounded measured blade edge thickness(es) as the basis for determining the product class.

(u) *Battery chargers—verification of reported represented value obtained from testing in accordance with appendix Y1 of 10 CFR part 430 subpart B when using an external power supply.* If the battery charger basic model requires the use of an external power supply (''EPS''), and the manufacturer reported EPS is no longer available on the market, then DOE will test the battery charger with any compatible EPS that is minimally

compliant with DOE's energy conservation standards for EPSs as prescribed in § 430.32(w) of this subchapter and that meets the battery charger input power criteria.

(v) *Variable refrigerant flow multi-split air conditioners and heat pumps (other than air-cooled with rated cooling capacity less than 65,000 btu/h).* The following provisions apply for assessment and enforcement testing of models subject to standards in terms of IEER:

(1) *Specific components.* For each indoor unit model identified in the tested combination for which the model number certified in the STI does not fully specify the presence or absence of components listed at table 2 to 10 CFR 429.43(a)(3)(ii)(B), the following provision applies. If DOE is not able to obtain an individual model with the least number of those components, then DOE may test a system that includes any individual indoor unit model that has a model number consistent with the certified indoor unit model number.

(2) *Manufacturer involvement in assessment or enforcement testing.* A manufacturer's representative will be allowed to support commissioning and witness assessment and/or enforcement testing for variable refrigerant flow multi-split air conditioners and heat pumps, including during the controls verification procedures (CVPs) specified in paragraph (v)(3) of this section, with allowance for additional involvement as described in the following provisions.

(i) *Manufacturer involvement in CVP.* Control settings must be set by a member of the third-party laboratory consistent with the provisions in section 5.1 of appendix D1 to subpart F of 10 CFR part 431. Critical parameters must operate automatically from the system controls and must not be manually controlled or adjusted at any point by any party during the CVP.

(ii) *Manufacturer involvement in heating tests and IEER cooling tests.* All control settings other than critical parameters must be set by a member of the third-party laboratory consistent with the provisions of section 5.1 of appendix D1 to subpart F of 10 CFR part 431. In heating tests and IEER cooling tests, critical parameters may be manually controlled by a manufacturer's representative and initially set to their certified values as described in section 5.1 of appendix D1 to subpart F of 10 CFR part 431. During IEER cooling mode tests only, a manufacturer's representative may also make additional adjustments to the critical parameters as described in section 5.2 of appendix D1 to subpart F of 10 CFR part 431. Setting and adjustment of critical parameters by a manufacturer's representative must be monitored by third-party laboratory personnel using a service tool. Other than critical parameter adjustments made in accordance with section 5.3 of appendix D1 to subpart F of 10 CFR part 431, the manufacturer's representative must not make any other adjustments to the VRF multi-split system under test. If a manufacturer's representative is not present for testing, a member of the third-party laboratory must set and adjust critical parameters using the means of control provided by the manufacturer, as described in § 429.110(b)(1)(iv) for enforcement testing and § 429.104 for assessment testing.

(3) *Controls Verification Procedure (CVP).* This procedure validates the certified values of critical parameters for which positions may be manually set during the full- and part-load IEER cooling test conditions specified at appendix D1 to subpart F of 10 CFR part 431. The CVP will only be conducted for a single system.

(i) *Conducting the CVP*—The CVP will be conducted at all of the four IEER cooling test conditions as specified in appendix D1 to subpart F of 10 CFR part 431; the CVP is not conducted at any heating test conditions. The CVP will first be performed at the full-load cooling condition before being conducted at part-load cooling conditions and must be conducted per Appendix C of AHRI 1230–2021 (incorporated by reference, see § 429.4).

(ii) *Validating critical parameters*—At each load point, certified critical parameter values will be validated or invalidated according to Section C6 of AHRI 1230–2021 with the following amendments:

(A) The duration of the period used for validating certified critical parameter values must be whichever of the following is longer: three minutes, or

the time period needed to obtain five sample readings while meeting the minimum data collection interval requirements of Table C2 of AHRI 1230–2021.

(B) If at least one measurement period with duration identified in paragraph (v)(3)(ii)(A) of this section exists before t_{OFF} that has an average root-sum-square (''RSS'') points total (as defined in Section 3.27 of AHRI 1230–2021) over the measurement period that is less than or equal to 70 points, the certified critical parameter values are valid.

(C) If no measurement period with duration identified in paragraph (v)(3)(ii)(A) of this section exists before t_{OFF} that has an average RSS points total over the measurement period that is less than or equal to 70 points, the certified critical parameter values are invalid.

(iii) *Determining critical parameters for use in steady-state IEER cooling tests.* If, following a CVP, IEER testing is conducted per appendix D1 to subpart F of 10 CFR part 431, the following provisions apply:

(A) *Validated critical parameter settings.* At each load point, if certified critical parameter values are found to be valid according to the results of the CVP, initially set critical parameters to their certified values for the IEER test at the corresponding full- or part-load cooling condition. Perform additional adjustments to critical parameters as described in section 5.2 of appendix D1 to subpart F of 10 CFR part 431.

(B) *Invalidated critical parameter settings.* At each load point, if certified critical parameter values identified pursuant to paragraph (v)(3) of this section are found to be invalid according to the results of the CVP, determine alternate critical parameter values for use in the corresponding IEER test (as specified in appendix D1 to subpart F of 10 CFR part 431) as follows:

(*1*) Select the CVP measurement period—this period must have duration determined per paragraph (v)(3)(ii)(A) of this section and must be the period where the RSS points total has a lower average value over the measurement period than over any other time period in the CVP of the same duration. If multiple periods exist with the same RSS points total, select the measurement period closest to but before the time that the first indoor unit switches to thermally inactive (denoted as ''t_{off}'' in AHRI 1230–2021).

(*2*) Determine alternate critical parameters—calculate the average position for each critical parameter during the measurement period selected in paragraph (v)(3)(iii)(B)(*1*) of this section. When initially setting critical parameters per section 5.1 of appendix D1 to subpart F of 10 CFR part 431, instead of using the certified critical parameter values, use the alternate critical parameter values as control inputs. The same initial alternate critical parameter values must be used for all systems in the assessment/enforcement sample (though critical parameter adjustments as needed to achieve target capacity or sensible heat ratio (SHR) limits are made independently for each tested system, per paragraph (v)(3)(iii)(B)(*3*) of this section.

(*3*) For each system, determine whether critical parameter adjustments are needed to achieve the target capacity or SHR limit for an IEER cooling test. Perform critical parameter adjustments independently on each system as described in section 5.2 of appendix D1 to subpart F of 10 CFR part 431, with the following exceptions:

(*i*) Replace all references to ''certified critical parameter values'' with ''alternate critical parameter values'' as determined in paragraph (v)(3)(iii)(B) of this section.

(*ii*) Determine CP_{Max} from a CVP conducted at full-load cooling conditions as the maximum value observed during the R2 period as described in Section C.4.4.2.3 of AHRI 1230–2021. If multiple components corresponding to a single parameter are present, determine CP_{Max} at the point during the R2 period at which the average value across all components corresponding to that critical parameter is maximized.

(4) *Break-in period.* DOE will perform a compressor break-in period during assessment or enforcement testing using a duration specified by the manufacturer only if a break-in period duration is provided in the supplemental testing instructions.

(w) *Automatic commercial ice makers—verification of harvest rate.* The harvest rate will be measured pursuant to the test requirements of 10 CFR part 431 for each unit tested. The results of the measurement(s) will be averaged and compared to the value of harvest rate certified by the manufacturer of the basic model. The certified harvest rate will be considered valid only if the average measured harvest rate is within five percent of the certified harvest rate.

(1) If the certified harvest rate is found to be valid, the certified harvest rate will be used as the basis for determining the maximum energy use and maximum condenser water use, if applicable, allowed for the basic model.

(2) If the certified harvest rate is found to be invalid, the average measured harvest rate of the units in the sample will be used as the basis for determining the maximum energy use and maximum condenser water use, if applicable, allowed for the basic model.

(x) *Single package vertical air conditioners and heat pumps.* The following provisions apply for assessment and enforcement testing of models subject to standards in terms of IEER.

(1) *Verification of cooling capacity.* The cooling capacity of each tested unit of the basic model will be measured pursuant to the test requirements of appendix G1 to subpart F of 10 CFR part 431. The mean of the measurement(s) will be used to determine the applicable standards for purposes of compliance.

(2) *Specific components.* If a basic model includes individual models with components listed at table 4 to § 429.43(a)(3)(iii)(A) and DOE is not able to obtain an individual model with the least number (which could be zero) of those components within an otherwise comparable model group (as defined in § 429.43(a)(3)(iii)(A)(*1*)), DOE may test any individual model within the otherwise comparable model group.

(3) *Validation of outdoor ventilation airflow rate.* The outdoor ventilation airflow rate in cubic feet per minute (''CFM'') of the basic model will be measured in accordance with ASHRAE 41.2–1987 and Section 6.4 of ASHRAE 37–2009 (both incorporated by reference, see § 429.4). All references to the inlet shall be determined to mean the outdoor air inlet.

(i) The outdoor ventilation airflow rate validation shall be conducted at the conditions specified in Table 3 of AHRI 390–2021 (incorporated by reference, see § 429.4), Full Load Standard Rating Capacity Test, Cooling, except for the following:

The outdoor ventilation airflow rate shall be determined at 0 in. H_2O external static pressure with a tolerance of $-0.00/+0.05$ in. H_2O.

(ii) When validating the outdoor ventilation airflow rate, the outdoor air inlet pressure shall be 0.00 in. H_2O, with a tolerance of $-0.00/+0.05$ in. H_2O when measured against the room ambient pressure.

(y) *Air-cooled, three-phase, small commercial package air conditioning and heating equipment with a cooling capacity of less than 65,000 Btu/h and air-cooled, three-phase, variable refrigerant flow multi-split air conditioners and heat pumps with a cooling capacity of less than 65,000 Btu/h.* The following provisions apply for assessment and enforcement testing of models subject to standards in terms of SEER2 and HSPF2 (as applicable).

(1) *Verification of cooling capacity.* The cooling capacity of each tested unit of the individual model (for single-package units) or individual combination (for split systems) will be measured pursuant to the test requirements of appendix F1 to subpart F of part 431. The mean of the cooling capacity measurement(s) (either the measured cooling capacity for a single unit sample or the average of the measured cooling capacities for a multiple unit sample) will be used to determine the applicable standards for purposes of compliance.

(2) *Verification of C_D value.* (i) For models other than models of outdoor units with no match, if manufacturers certify that they did not conduct the optional tests to determine the C^c and/or C^h value for an individual model (for single-package systems) or individual combination (for split systems), as applicable, the default value of C^c and/or C^h will be used as the basis for calculation of SEER2 or HSPF2 for each unit tested. If manufacturers certify that they conducted the optional tests to

determine the value of C^c and/or C^h for an individual model (for single-package systems) or individual combination (for split systems), as applicable, the value of C^c and/or C^h will be measured pursuant to the test requirements of appendix F1 to subpart F of part 431 for each unit tested. The result for each unit tested (either the tested value or the default value, as selected according to the criteria for the cyclic test in section 4 of appendix F1 to subpart F of part 431) will be used as the basis for calculation of SEER2 or HSPF2 for that unit.

(ii) For models of outdoor units with no match, DOE will use the default value of Cc and/or Ch specified in the test procedure in appendix F1 to subpart F of part 431.

(z) *Dishwashers*—(1) *Determination of Most Energy-Intensive Cycle.* For any dishwasher basic model that does not meet the specified cleaning index threshold at a given soil load, the most energy-intensive cycle will be determined through testing as specified in sections 4.1.1 and 5.2 of appendix C2 to subpart B of part 430.

(2) *Detergent dosing requirement.* For any dishwasher basic model certified in accordance with the test procedure at appendix C1 to subpart B of part 430 of this chapter, DOE will conduct enforcement testing using the detergent dosing requirement that was used by the manufacturer as the basis for certifying compliance with the applicable energy conservation standard, in accordance with the applicable test procedure and certification reporting requirements.

(aa) *Computer room air conditioners.* The following provisions apply for assessment and enforcement testing of models subject to energy conservation standards denominated in terms of NSenCOP.

(1) *Verification of net sensible cooling capacity.* The net sensible cooling capacity of each tested unit of the basic model will be measured pursuant to the test requirements of 10 CFR part 431, subpart F, appendix E1. The mean of the net sensible cooling capacity measurement(s) will be used to determine the applicable energy conservation standards for purposes of compliance.

(2) *Specific components.* If a basic model includes individual models with components listed at table 5 to § 429.43(a)(3)(iv)(A) and DOE is not able to obtain an individual model with the least number (which could be zero) of those components within an otherwise comparable model group (as defined in § 429.43(a)(3)(iv)(A)(*1*)), DOE may test any individual model within the otherwise comparable model group.

(bb) *Room air conditioners.* The cooling capacity will be measured pursuant to the test requirements of 10 CFR part 430 for each unit tested. The results of the measurement(s) will be averaged and compared to the value of cooling capacity certified by the manufacturer for the basic model. The certified cooling capacity will be considered valid only if the measurement is within five percent of the certified cooling capacity.

(1) If the certified cooling capacity is found to be valid, the certified cooling capacity will be used as the basis for determining the minimum combined energy efficiency ratio allowed for the basic model.

(2) If the certified cooling capacity is found to be invalid, the average measured cooling capacity of the units in the sample will be used as the basis for determining the minimum combined energy efficiency ratio allowed for the basic model.

(cc) *Pool heaters.* Beginning on May 30, 2028:

(1) *Verification of input capacity for gas-fired pool heaters.* The input capacity of each tested unit will be measured pursuant to the test requirements of § 430.23(p) of this subchapter. The results of the measurement(s) will be compared to the represented value of input capacity certified by the manufacturer for the basic model. The certified input capacity will be considered valid only if the measurement(s) (either the measured input capacity for a single unit sample or the average of the measured input capacity for a multiple unit sample) is within two percent of the certified input capacity.

(i) If the representative value of input capacity is found to be valid, the certified input capacity will serve as

the basis for determination of the applicable standard and the mean measured input capacity will be used as the basis for calculation of the integrated thermal efficiency standard for the basic model.

(ii) If the representative value of input capacity is not within two percent of the certified input capacity, DOE will first attempt to increase or decrease the gas pressure within the range specified in manufacturer's installation and operation manual shipped with the gas-fired pool heater being tested to achieve the certified input capacity (within two percent). If the input capacity is still not within two percent of the certified input capacity, DOE will attempt to modify the gas inlet orifice. If the input capacity still is not within two percent of the certified input capacity, the mean measured input capacity (either for a single unit sample or the average for a multiple unit sample) determined from the tested units will serve as the basis for calculation of the integrated thermal efficiency standard for the basic model.

(2) *Verification of active electrical power for electric pool heaters.* The active electrical power of each tested unit will be measured pursuant to the test requirements of § 430.23 of this subchapter. The results of the measurement(s) will be compared to the represented value of active electrical power city certified by the manufacturer for the basic model. The certified active electrical power will be considered valid only if the measurement(s) (either the measured active electrical power for a single unit sample or the average of the measured active electrical power for a multiple unit sample) is within five percent of the certified active electrical power.

(i) If the representative value of active electrical power is found to be valid, the certified active electrical power will serve as the basis for determination of the applicable standard and the mean measured active electrical power will be used as the basis for calculation of the integrated thermal efficiency standard for the basic model.

(ii) If the representative value of active electrical power is not within five percent of the certified active electrical power, the mean measured active electrical power (either for a single unit sample or the average for a multiple unit sample) determined from the tested units will serve as the basis for calculation of the integrated thermal efficiency standard for the basic model.

(dd) *Water-Source Heat Pumps.* The following provisions apply for assessment and enforcement testing of models subject to standards in terms of IEER and ACOP.

(1) *Verification of Cooling Capacity.* The cooling capacity of each tested unit of the basic model will be measured pursuant to the test requirements of appendix C1 to subpart F of 10 CFR part 431. The mean of the measurements will be used to determine the applicable standards for purposes of compliance.

(2) *Specific Components.* If a basic model includes individual models with components listed at table 6 to § 429.43(a)(3)(v)(A) and DOE is not able to obtain an individual model with the least number (which could be zero) of those components within an otherwise comparable model group (as defined in § 429.43(a)(3)(v)(A)(*1*)), DOE may test any individual model within the otherwise comparable model group.

(ee) *Dedicated-purpose pool pump motors.* (1) To verify the dedicated-purpose pool pump motor variable speed capability, a test in accordance with section 5 of UL 1004–10:2022 (incorporated by reference, see § 429.4) will be conducted.

(2) To verify that dedicated-purpose pool pump motor comply with the applicable freeze protection design requirements, a test in accordance with section 6 of UL 1004–10:2022 will be conducted.

(ff) *Commercial refrigerators, freezers, and refrigerator-freezers*—(1) *Verification of volume.* The volume will be measured pursuant to the test requirements of 10 CFR part 431 for each unit tested. The results of the measurement(s) will be averaged and compared to the value of the certified volume of the basic model. The certified volume will be considered valid only if the average measured volume is within five percent of the certified volume.

(i) If the certified volume is found to be valid, the certified volume will be used as the basis for determining the maximum daily energy consumption allowed for the basic model.

(ii) If the certified volume is found to be invalid, the average measured volume of the units in the sample will be used as the basis for determining the maximum daily energy consumption allowed for the basic model.

(2) *Verification of total display area.* The total display area will be measured pursuant to the test requirements of 10 CFR part 431 for each unit tested. The results of the measurement(s) will be averaged and compared to the value of the certified total display area of the basic model. The certified total display area will be considered valid only if the average measured total display area is within five percent of the certified total display area.

(i) If the certified total display area is found to be valid, the certified total display area will be used as the basis for determining the maximum daily energy consumption allowed for the basic model.

(ii) If the certified total display area is found to be invalid, the average measured total display area of the units in the sample will be used as the basis for determining the maximum daily energy consumption allowed for the basic model.

(3) *Determination of pull-down temperature application.* A classification of a basic model as pull-down temperature application will be considered valid only if a model meets the definition of ''pull-down temperature application'' specified in § 431.62 of this chapter as follows.

(i) 12-ounce beverage can temperatures will be measured for 12-ounce beverage cans loaded at the locations within the commercial refrigerator that are as close as possible to the locations that would be measured by test simulators according to the test procedure for commercial refrigerators specified in § 431.64 of this chapter.

(ii) The commercial refrigerator will be operated at ambient conditions consistent with those specified for commercial refrigerators in § 431.64 of this chapter and at the control setting necessary to achieve a stable integrated average temperature of 38 °F, prior to loading.

(iii) 12-ounce beverage cans to be fully loaded into the commercial refrigerator (with and without temperature measurements) will be maintained at 90 °F ±2 °F based on the average measured 12-ounce beverage can temperatures prior to loading into the commercial refrigerator.

(iv) The duration of pull-down (which must be 12 hours or less) will be determined starting from closing the commercial refrigerator door after completing the 12-ounce beverage can loading until the integrated average temperature reaches 38 °F ±2 °F.

(v) An average stable temperature of 38 °F will be determined by operating the commercial refrigerator for an additional 12 hours after initially reaching 38 °F ±2 °F with no changes to control settings, and determining an integrated average temperature of 38 °F ±2 °F at the end of the 12 hour stability period.

[79 FR 22348, Apr. 21, 2014, as amended at 79 FR 40566, July 11, 2014; 80 FR 37148, June 30, 2015; 80 FR 45824, July 31, 2015; 80 FR 46760, Aug. 5, 2015; 80 FR 79669, Dec. 23, 2015; 81 FR 2646, Jan. 15, 2016; 81 FR 15426, Mar. 23, 2016; 81 FR 24009, Apr. 25, 2016; 81 FR 37055, June 8, 2016; 81 FR 38395, June 13, 2016; 81 FR 46791, July 18, 2016; 81 FR 79320, Nov. 10, 2016; 81 FR 96236, Dec. 29, 2016; 81 FR 89304, Dec. 9, 2016; 81 FR 89822, Dec. 12, 2016; 81 FR 95800, Dec. 28, 2016; 82 FR 1100, Jan. 4, 2017; 82 FR 36919, Aug. 7, 2017; 85 FR 1446, Jan. 10, 2020; 86 FR 56820, Oct. 12, 2021; 87 FR 33379, June 1, 2022; 87 FR 45197, July 27, 2022; 87 FR 50423, Aug. 16, 2022; 87 FR 55122, Sept. 8, 2022; 87 FR 57298, Sept. 19, 2022; 87 FR 63895, Oct. 20, 2022; 87 FR 65667, 65899, Nov. 1, 2022; 87 FR 75167, Dec. 7, 2022; 87 FR 77324, Dec. 16, 2022; 88 FR 3276, Jan. 18, 2023; 88 FR 15537, Mar. 13, 2023; 88 FR 17975, Mar. 24, 2023; 88 FR 21838, Apr. 11, 2023; 88 FR 28837, May 4, 2023; 88 FR 40472, June 21, 2023; 88 FR 34362, May 26, 2023; 88 FR 34702, May 30, 2023; 88 FR 48357, July 27, 2023; 88 FR 66222, Sept. 26, 2023; 88 FR 67041, Sept. 28, 2023; 88 FR 84228, Dec. 4, 2023; 89 FR 37942, May 6, 2024; 89 FR 44035, May 20, 2024; 89 FR 82070, Oct. 9, 2024]

REGIONAL STANDARDS ENFORCEMENT PROCEDURES

§ 429.140 Regional standards enforcement procedures.

Sections 429.140 through 429.158 provide enforcement procedures specific to the violations enumerated in

§ 429.102(c). These provisions explain the responsibilities of manufacturers, private labelers, distributors, contractors and dealers with respect to central air conditioners subject to regional standards; however, these provisions do not limit the responsibilities of parties otherwise subject to 10 CFR parts 429 and 430.

[81 FR 45402, July 14, 2016]

§ 429.142 Records retention.

(a) *Record retention.* The following entities must maintain the specified records—(1) *Contractors and dealers.* (i) Contractors and dealers must retain the following records for at least 48 months from the date of installation of a central air conditioner in the states of Alabama, Arizona, Arkansas, California, Delaware, Florida, Georgia, Hawaii, Kentucky, Louisiana, Maryland, Mississippi, Nevada, New Mexico, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, or Virginia or in the District of Columbia:

(A) *For split-system central air conditioner outdoor units:* The manufacturer name, model number, serial number, location of installation (including street address, city, state, and zip code), date of installation, and party from whom the unit was purchased (including person's name, full address, and phone number); and

(B) *For split-system central air conditioner indoor units:* The manufacturer name, model number, location of installation (including street address, city, state, and zip code), date of installation, and party from whom the unit was purchased (including person's name, full address, and phone number).

(ii) Contractors and dealers must retain the following, additional records for at least 48 months from the date of installation of a central air conditioner in the states of Arizona, California, Nevada, and New Mexico:

(A) *For single-package central air conditioners:* The manufacturer name, model number, serial number, location of installation (including street address, city, state, and zip code), date of installation, and party from whom the unit was purchased (including person's name, full address, and phone number).

(B) [Reserved]

(2) *Distributors.* Beginning July 1, 2016, all distributors must retain the following records for no less than 54 months from the date of sale:

(i) *For split-system central air conditioner outdoor units:* The outdoor unit manufacturer, outdoor unit model number, outdoor unit serial number, date unit was purchased from manufacturer, party from whom the unit was purchased (including company or individual's name, full address, and phone number), date unit was sold to contractor or dealer, party to whom the unit was sold (including company or individual's name, full address, and phone number), and, if delivered, delivery address.

(ii) *For single-package air conditioners:* The manufacturer, model number, serial number, date unit was purchased from manufacturer, party from whom the unit was purchased (including company or individual's name, full address, and phone number), date unit was sold to a contractor or dealer, party to whom the unit was sold (including company or individual's name, full address, and phone number), and, if delivered, delivery address.

(3) *Manufacturers and private labelers.* All manufacturers and private labelers must retain the following records for no less than 60 months from the date of sale:

(i) *For split system air conditioner outdoor units:* The model number, serial number, date of manufacture, date of sale, and party to whom the unit was sold (including person's name, full address, and phone number);

(ii) *For split system central air conditioner indoor units:* The model number, date of manufacture, date of sale, and party to whom the unit was sold (including person's name, full address, and phone number); and

(iii) *For single-package central air conditioners:* The model number, serial number, date of manufacture, date of sale, and party to whom the unit was sold (including person's name, full address, and phone number).

(b) [Reserved]

[81 FR 45402, July 14, 2016]

§ 429.144 Records request.

(a) DOE must have reasonable belief a violation has occurred to request

records specific to an on-going investigation of a violation of central air conditioner regional standards.

(b) Upon request, the manufacturer, private labeler, distributor, dealer, or contractor must provide to DOE the relevant records within 30 calendar days of the request.

(1) DOE, at its discretion, may grant additional time for records production if the party from whom records have been requested has made a good faith effort to produce records.

(2) To request additional time, the party from whom records have been requested must produce all records gathered in 30 days and provide to DOE a written explanation of the need for additional time with the requested date for completing the production of records.

[81 FR 45402, July 14, 2016]

§ 429.146 Notice of violation.

(a) If DOE determines a party has committed a violation of regional standards, DOE will issue a Notice of Violation advising that party of DOE's determination.

(b) If, however, DOE determines a noncompliant installation occurred in only one instance, the noncompliant installation is remediated prior to DOE issuing a Notice of Violation, and the party has no history of prior violations, DOE will not issue such notice.

(c) If DOE does not find a violation of regional standards, DOE will notify the party under investigation.

[81 FR 45403, July 14, 2016]

§ 429.148 Routine violator.

(a) DOE will consider, *inter alia,* the following factors in determining if a person is a routine violator: Number of violations in current and past cases, length of time over which violations occurred, ratio of compliant to noncompliant installations or sales, percentage of employees committing violations, evidence of intent, evidence of training or education provided, and subsequent remedial actions.

(b) In the event that DOE determines a person to be a routine violator, DOE will issue a Notice of Finding of Routine Violation.

(c) In making a finding of Routine Violation, DOE will consider whether the Routine Violation was limited to a specific location. If DOE finds that the routine violation was so limited, DOE may, in its discretion, in the Notice of Finding of Routine Violation limit the prohibition on manufacturer and/or private labeler sales to a particular contractor or distribution location.

[81 FR 45403, July 14, 2016]

§ 429.150 Appealing a finding of routine violation.

(a) Any person found to be a routine violator may, within 30 calendar days after the date of Notice of Finding of Routine Violation, request an administrative appeal to the Office of Hearings and Appeals.

(b) The appeal must present information rebutting the finding of violation(s).

(c) The Office of Hearings and Appeals will issue a decision on the appeal within 45 days of receipt of the appeal.

(d) A routine violator must file a Notice of Intent to Appeal with the Office of Hearings and Appeals within three business days of the date of the Notice of Finding of Routine Violation, serving a copy on the Office of the Assistant General Counsel for Enforcement to retain the ability to buy central air conditioners during the pendency of the appeal.

[81 FR 45403, July 14, 2016]

§ 429.152 Removal of finding of "routine violator".

(a) A routine violator may be removed from DOE's list of routine violators through completion of remediation in accordance with the requirements in § 429.154.

(b) A routine violator that wants to remediate must contact the Office of the Assistant General Counsel for Enforcement via the point of contact listed in the Notice of Finding of Routine Violation and identify the distributor(s), manufacturer(s), or private labeler(s) from whom it wishes to buy compliant replacement product.

(c) DOE will contact the distributor(s), manufacturer(s), or private labeler(s) and authorize sale of central

air conditioner units to the routine violator for purposes of remediation within 3 business days of receipt of the request for remediation. DOE will provide the manufacturer(s), distributor(s), and/or private labeler(s) with an official letter authorizing the sale of units for purposes of remediation.

(d) DOE will contact routine violators that requested units for remediation within 30 days of sending the official letter to the manufacturer(s), distributor(s), and/or private labeler(s) to determine the status of the remediation.

(e) If remediation is successfully completed, DOE will issue a Notice indicating a person is no longer considered to be a routine violator. The Notice will be issued no more than 30 days after DOE has received documentation demonstrating that remediation is complete.

[81 FR 45403, July 14, 2016]

§ 429.154 Remediation.

(a) Any party found to be in violation of the regional standards may remediate by replacing the noncompliant unit at cost to the violator; the end user cannot be charged for any costs of remediation.

(1) If a violator is unable to replace all noncompliant installations, then the Department may, in its discretion, consider the remediation complete if the violator satisfactorily demonstrates to the Department that it attempted to replace all noncompliant installations.

(2) The Department will scrutinize any ''failed'' attempts at replacement to ensure that there was indeed a good faith effort to complete remediation of the noncompliant unit.

(b) The violator must provide to DOE the serial number of any outdoor unit and/or indoor unit installed not in compliance with the applicable regional standard as well as the serial number(s) of the replacement unit(s) to be checked by the Department against warranty and other replacement claims.

(c) If the remediation is approved by the Department, then DOE will issue a Notice of Remediation and the violation will not count towards a finding of ''routine violator''.

[81 FR 45403, July 14, 2016]

§ 429.156 Manufacturer and private labeler liability.

(a) In accordance with § 429.102, paragraphs (a)(10) and (c), manufacturers and private labelers are prohibited from selling central air conditioners and heat pumps to a routine violator.

(1) To avoid financial penalties, manufacturers and/or private labelers must cease sales to a routine violator within 3 business days from the date of issuance of a Notice of Finding of Routine Violation.

(2) If a Routine Violator files a Notice of Intent to Appeal pursuant to § 429.150, then a manufacturer and/or private labeler may assume the risk of selling central air conditioners to the Routine Violator during the pendency of the appeal.

(3) If the appeal of the Finding of Routine Violator is denied, then the manufacturer and/or private labeler may be fined in accordance with § 429.120, for sale of any units to a routine violator during the pendency of the appeal that do not meet the applicable regional standard.

(b) If a manufacturer and/or private labeler has knowledge of routine violation, then the manufacturer can be held liable for all sales that occurred after the date the manufacturer had knowledge of the routine violation. However, if the manufacturer and/or private labeler reports its suspicion of a routine violation to DOE within 15 days of receipt of such knowledge, then it will not be liable for product sold to the suspected routine violator prior to reporting the routine violation to DOE.

[81 FR 45403, July 14, 2016]

§ 429.158 Product determined noncompliant with regional standards.

(a) If DOE determines a model of outdoor unit fails to meet the applicable regional standard(s) when tested in a combination certified by the same manufacturer, then the outdoor unit basic model will be deemed noncompliant with the regional standard(s). In accordance with § 429.102(a)(10), the outdoor unit manufacturer and/or private

labeler is liable for distribution of noncompliant units in commerce.

(b) If DOE determines a combination fails to meet the applicable regional standard(s) when tested in a combination certified by a manufacturer other than the outdoor unit manufacturer (e.g., ICM), then that combination is deemed noncompliant with the regional standard(s). In accordance with §429.102(a)(10), the certifying manufacturer is liable for distribution of noncompliant units in commerce.

(c) All such units manufactured and distributed in commerce are presumed to have been installed in a region where they would not comply with the applicable energy conservation standard; however, a manufacturer and/or private labeler may demonstrate through installer records that individual units were installed in a region where the unit is compliant with the applicable standards.

[81 FR 45404, July 14, 2016, as amended at 87 FR 64586, Oct. 25, 2022]

Appendix A to Subpart C of Part 429—Sampling Plan for Enforcement Testing of Covered Consumer Products and Certain High-Volume Commercial Equipment

(a) The first sample size (n_1) for enforcement testing must be four or more units, except as provided by §429.57(e)(1)(i).

(b) Compute the mean of the measured energy performance (x_1) for all tests as follows:

$$x_1 = \frac{1}{n_1}\left(\sum_{i=1}^{n_1} x_i\right) \quad [1]$$

where x_i is the measured energy or water efficiency or consumption from test i, and n_1 is the total number of tests.

(c) Compute the standard deviation (s_1) of the measured energy performance from the n_1 tests as follows:

$$s_1 = \sqrt{\frac{\sum_{i=1}^{n_1}(x_i - x_1)^2}{n_1 - 1}} \quad [2]$$

(d) Compute the standard error (s_{x1}) of the measured energy performance from the n_1 tests as follows:

$$s_{x_1} = \frac{s_1}{\sqrt{n_1}} \quad [3]$$

(e)(1) Compute the upper control limit (UCL_1) and lower control limit (LCL_1) for the mean of the first sample using the applicable DOE energy efficiency standard (EES) as the desired mean and a probability level of 95 percent (two-tailed test) as follows:

LCL_1 EES — $ts_{X1\ x}$

$$LCL_1 = EES - ts_{x_1} \quad [4] \text{ and } UCL_1 = EES + ts_{x_1} \quad [5]$$

where t is the statistic based on a 95 percent two-tailed probability level with degrees of freedom ($n_1 - 1$).

(2) For an energy efficiency or water efficiency standard, compare the mean of the first sample (x_1) with the upper and lower control limits (UCL_1 and LCL_1) to determine one of the following:

(i) If the mean of the first sample is below the lower control limit, then the basic model is in noncompliance and testing is at an end. (Do not go on to any of the steps below.)

(ii) If the mean of the first sample is equal to or greater than the upper control limit, then the basic model is in compliance and testing is at an end. (Do not go on to any of the steps below.)

(iii) If the sample mean is equal to or greater than the lower control limit but less than the upper control limit, then no determination of compliance or noncompliance can be made and a second sample size is determined by Step (e)(3).

(3) For an energy efficiency or water efficiency standard, determine the second sample size (n_2) as follows:

$$n_2 = \left(\frac{ts_1}{0.05EES}\right)^2 - n_1 \quad [6]$$

where s_1 and t have the values used in equations 2 and 4, respectively. The term ''0.05 EES'' is the difference between the applicable energy efficiency or water efficiency standard and 95 percent of the standard, where 95 percent of the standard is taken as the lower control limit. This procedure yields a sufficient combined sample size ($n_1 + n_2$) to give an estimated 97.5 percent probability of obtaining a determination of compliance when the true mean efficiency is equal to the applicable standard. Given the solution value of n_2, determine one of the following:

(i) If the value of n_2 is less than or equal to zero and if the mean energy or water efficiency of the first sample (x_1) is either equal to or greater than the lower control limit (LCL_1) or equal to or greater than 95 percent of the applicable energy efficiency or water efficiency standard (EES), whichever is greater, *i.e.*, if $n_2 \leq 0$ and $x_1 \geq \max$ (LCL_1, 0.95 EES), the basic model is in compliance and testing is at an end.

(ii) If the value of n_2 is less than or equal to zero and the mean energy efficiency of the first sample (x_1) is less than the lower control limit (LCL_1) or less than 95 percent of the applicable energy or water efficiency standard (EES), whichever is greater, *i.e.*, if $n_2 \leq 0$ and $x_1 \leq \max$ (LCL_1, 0.95 EES), the basic model is not in compliance and testing is at an end.

(iii) If the value of n_2 is greater than zero, then, the value of the second sample size is determined to be the smallest integer equal to or greater than the solution value of n_2 for equation (6). If the value of n_2 so calculated is greater than $21 - n_1$, set n_2 equal to $21 - n_1$.

(4) Compute the combined mean (x_2) of the measured energy or water efficiency of the n_1 and n_2 units of the combined first and second samples as follows:

$$\bar{x}_2 = \frac{1}{n_1 + n_2}\left(\sum_{i=1}^{n_1+n_2} x_i\right) \quad [7]$$

(5) Compute the standard error (S_{x2}) of the measured energy or water performance of the n_1 and n_2 units in the combined first and second samples as follows:

$$s_{x_2} = \frac{s^1}{\sqrt{n_1 + n_2}} \qquad [8]$$

NOTE: s_1 is the value obtained in Step (c).

(6) For an energy efficiency standard (EES), compute the lower control limit (LCL_2) for the mean of the combined first and second samples using the DOE EES as the desired mean and a one-tailed probability level of 97.5 percent (equivalent to the two-tailed probability level of 95 percent used in Step (e)(1)) as follows:

$$LCL_2 = EES - ts_{x_2} \qquad [9]$$

where the t-statistic has the value obtained in Step (e)(1) and s_{x2} is the value obtained in Step (e)(5).

(7) For an energy efficiency standard (EES), compare the combined sample mean (x_2) to the lower control limit (LCL_2) to determine one of the following:

(i) If the mean of the combined sample (x_2) is less than the lower control limit (LCL_2) or 95 percent of the applicable energy efficiency standard (EES), whichever is greater, *i.e.*, if x_2<max (LCL_2, 0.95 EES), the basic model is not compliant and testing is at an end.

(iii) If the mean of the combined sample (x_2) is equal to or greater than the lower control limit (LCL_2) or 95 percent of the applicable energy efficiency standard (EES), whichever is greater, *i.e.*, if x_2≥max (LCL_2, 0.95 EES), the basic model is in compliance and testing is at an end.

(f)(1) Compute the upper control limit (UCL_1) and lower control limit (LCL_1) for the mean of the first sample using the applicable DOE energy consumption standard (ECS) as the desired mean and a probability level of 95 percent (two-tailed test) as follows:

$$LCL_1 = ECS - ts_{x_1} \qquad \text{and } UCL_1 = ECS + ts_{x_1} \qquad [10]$$

where t is the statistic based on a 95 percent two-tailed probability level with degrees of freedom ($n_1 - 1$).

(2) For an energy or water consumption standard, compare the mean of the first sample (x_1) with the upper and lower control limits (UCL_1 and LCL_1) to determine one of the following:

(i) If the mean of the first sample is above the upper control limit, then the basic model is in noncompliance and testing is at an end. (Do not go on to any of the steps below.)

(ii) If the mean of the first sample is equal to or less than the lower control limit, then the basic model is in compliance and testing is at an end. (Do not go on to any of the steps below.)

(iii) If the sample mean is equal to or less than the upper control limit but greater than the lower control limit, then no determination of compliance or noncompliance can be made and a second sample size is determined by Step (f)(3).

(3) For an Energy or Water Consumption Standard, determine the second sample size (n_2) as follows:

$$n_2 = \left(\frac{ts_1}{0.05ECS}\right)^2 - n_1 \qquad [11]$$

where $s_1$and t have the values used in equations (2) and (10), respectively. The term ''0.05 ECS'' is the difference between the applicable energy or water consumption standard and 105 percent of the standard, where 105 percent of the standard is taken as the upper control limit. This procedure yields a sufficient combined sample size ($n_1 + n_2$) to give an estimated 97.5 percent probability of obtaining a determination of compliance

when the true mean consumption is equal to the applicable standard. Given the solution value of n_2, determine one of the following:

(i) If the value of n_2 is less than or equal to zero and if the mean energy or water consumption of the first sample (x_1) is either equal to or less than the upper control limit (UCL_1) or equal to or less than 105 percent of the applicable energy or water consumption standard (ECS), whichever is less, *i.e.*, if $n_2 \leq 0$ and $x_1 \leq \min$ (UCL_1, 1.05 ECS), the basic model is in compliance and testing is at an end.

(ii) If the value of n_2 is less than or equal to zero and the mean energy or water consumption of the first sample (x_1) is greater than the upper control limit (UCL_1) or more than 105 percent of the applicable energy or water consumption standard (ECS), whichever is less, *i.e.*, if $n_2 \leq 0$ and $x_1 > \min$ (UCL_1, 1.05 EPS), the basic model is not compliant and testing is at an end.

(iii) If the value of n_2 is greater than zero, then the value of the second sample size is determined to be the smallest integer equal to or greater than the solution value of n_2 for equation (11). If the value of n_2 so calculated is greater than $21-n_1$, set n_2 equal to $21-n_1$.

(4) Compute the combined mean (x_2) of the measured energy or water consumption of the n_1 and n_2 units of the combined first and second samples as follows:

$$\bar{x}_2 = \frac{1}{n_1 + n_2}\left(\sum_{i=1}^{n_1+n_2} x_i\right) \qquad [12]$$

(5) Compute the standard error (S_{x2}) of the measured energy or water consumption of the n_1 and n_2 units in the combined first and second samples as follows:

$$s_{x_2} = \frac{s^1}{\sqrt{n_1 + n_2}} \qquad [13]$$

NOTE: s_1 is the value obtained in Step (c).

(6) For an energy or water consumption standard (ECS), compute the upper control limit (UCL_2) for the mean of the combined first and second samples using the DOE ECS as the desired mean and a one-tailed probability level of 97.5 percent (equivalent to the two-tailed probability level of 95 percent used in Step (f)(1)) as follows:

$$UCL_1 = ECS + ts_{x_1} \qquad [14]$$

where the t-statistic has the value obtained in (f)(1).

(7) For an energy or water consumption standard (ECS), compare the combined sample mean (x_2) to the upper control limit (UCL_2) to determine one of the following:

(i) If the mean of the combined sample (x_2) is greater than the upper control limit (UCL_2) or 105 percent of the ECS whichever is less, *i.e.*, if $x_2 > \min$ (UCL_2, 1.05 ECS), the basic model is not compliant and testing is at an end.

(ii) If the mean of the combined sample (x_2) is equal to or less than the upper control limit (UCL_2) or 105 percent of the applicable energy or water performance standard (ECS), whichever is less, *i.e.*, if $x_2 \leq \min$ (UCL_2, 1.05 ECS), the basic model is in compliance and testing is at an end.

APPENDIX B TO SUBPART C OF PART 429—SAMPLING PLAN FOR ENFORCEMENT TESTING OF COVERED EQUIPMENT AND CERTAIN LOW-VOLUME COVERED PRODUCTS

The Department will determine compliance as follows:

(a) The first sample size (n_1) must be four or more units, except as provided by § 429.57(e)(1)(ii).

(b) Compute the mean of the measured energy performance (x_1) for all tests as follows:

$$x_1 = \frac{1}{n_1}\left(\sum_{i=1}^{n_1} x_i\right) \quad [1]$$

where x_i is the measured energy efficiency or consumption from test i, and n_1 is the total number of tests.

(c) Compute the standard deviation (s_1) of the measured energy performance from the n_1 tests as follows:

$$s_1 = \sqrt{\frac{\sum_{i=1}^{n_1}(x_i - x_1)^2}{n_1 - 1}} \quad [2]$$

(d) Compute the standard error (s_{x1}) of the measured energy performance from the n_1 tests as follows:

$$s_{x_1} = \frac{s_1}{\sqrt{n_1}} \quad [3]$$

(e)(1) For an energy efficiency standard (EES), determine the appropriate lower control limit (LCL_1) according to:

$$LCL_1 = EES - ts_{x_1} \quad [4a]$$

or

$$LCL_1 = 0.95EES, \quad [4b]$$

And use whichever is greater. Where EES is the energy efficiency standard and t is a statistic based on a 97.5 percent, one-sided confidence limit and a sample size of n_1.

(2) For an energy consumption standard (ECS), determine the appropriate upper control limit (UCL_1) according to:

$$UCL_1 = ECS + ts_{x_1} \quad [5a]$$

or

$$UCL_1 = 1.05ECS, \quad [5b]$$

And use whichever is less, where ECS is the energy consumption standard and t is a statistic based on a 97.5 percent, one-sided confidence limit and a sample size of n_1.

(f)(1) Compare the sample mean to the control limit.

(i) The basic model is in compliance and testing is at an end if:

(A) For an energy or water efficiency standard, the sample mean is equal to or greater than the lower control limit, or

(B) For an energy or water consumption standard, the sample mean is equal to or less than the upper control limit.

APPENDIX C TO SUBPART C OF PART 429—SAMPLING PLAN FOR ENFORCEMENT TESTING OF DISTRIBUTION TRANSFORMERS

(a) When testing distribution transformers, the number of units in the sample (m_1) shall be in accordance with §429.47(a) and DOE shall perform the following number of tests:

(1) If DOE tests four or more units, it will test each unit once;

(2) If DOE tests two or three units, it will test each unit twice; or

(3) If DOE tests one unit, it will test that unit four times.

(b) DOE shall determine compliance as follows:

(1) Compute the mean (X_1) of the measured energy performance of the n_1 tests in the first sample as follows:

$$X_1 = \frac{1}{n_1}\sum_{i=1}^{n_1} X_i \qquad [1]$$

where X_i is the measured efficiency of test i.

(2) Compute the sample standard deviation (S_1) of the measured efficiency of the n_1 tests in the first sample as follows:

$$S_1 = \sqrt{\sum_{i=1}^{n_1} \frac{(X_i - X_1)^2}{n_1 - 1}} \qquad [2]$$

(3) Compute the standard error ($SE(X_1)$) of the mean efficiency of the first sample as follows:

$$SE(X_1) = \frac{S_1}{\sqrt{n_1}} \qquad [3]$$

(4) Compute the sample size discount ($SSD(m_1)$) as follows:

$$SSD(m_1) = \frac{100}{1 + \left(1 + \frac{0.08}{\sqrt{m_1}}\right)\left(\frac{100}{RE} - 1\right)} \qquad [4]$$

where m_1 is the number of units in the sample, and RE is the applicable DOE efficiency when the test is to determine compliance with the applicable energy conservation standard, or is the labeled efficiency when the test is to determine compliance with the labeled efficiency value.

(5) Compute the lower control limit (LCL_1) for the mean of

$$LCL_1 = SSD(m_1) - tSE(\bar{X}_1) \qquad [5]$$

Where t is statistic based on a 97.5 percent one-tailed t test with degrees of freedom (from Appendix A) $n_1 - 1$.

(6) Compare the mean of the first sample (X_1) with the lower control limit (LCL_1) to determine one of the following:

(i) If the mean of the first sample is below the lower control limit, then the basic model is not compliant and testing is at an end.

(ii) If the mean is equal to or greater than the lower control limit, no final determination of compliance or noncompliance can be made; proceed to Step (7).

(7) Determine the recommended sample size (n) as follows:

$$n = \left[\frac{tS_1(108 - 0.08RE)}{RE(8 - 0.08RE)}\right]^2 \qquad [6]$$

Given the value of n, determine one of the following:

(i) If the value of n is less than or equal to n_1 and if the mean energy efficiency of the first sample (X_1) is equal to or greater than the lower control limit (LCL_1), the basic model is in compliance and testing is at an end.

(ii) If the value of n is greater than n_1, the basic model is not compliant. The size of a second sample n_2 is determined to be the smallest integer equal to or greater than the difference $n - n_1$. If the value of n_2 so calculated is greater than $21 - n_1$, set n_2 equal to $21 - n_1$.

(8) Compute the combined (X_2) mean of the measured energy performance of the n_1 and n_2 units of the combined first and second samples as follows:

$$\bar{X}_2 = \frac{1}{n_1 + n_2} \sum_{i=1}^{n_1+n_2} X_i \qquad [7]$$

(9) Compute the standard error ($SE(X_2)$) of the mean full-load efficiency of the n_1 and n_2 units in the combined first and second samples as follows:

$$SE(\bar{X}_2) = \frac{S_1}{\sqrt{n_1 + n_2}} \qquad [8]$$

(Note that S_1 is the value obtained above in (2).)

(10) Set the lower control limit (LCL_2) to,

$$LCL_2 = SSD(m_1) - tSE(\bar{X}_2) \quad [9]$$

where t has the value obtained in (5) and $SSD(m_1)$ is sample size discount determined in (4), and compare the combined sample mean (X_2) to the lower control limit (LCL_2) to determine one of the following:

(i) If the mean of the combined sample (X_2) is less than the lower control limit (LCL_2), the basic model is not compliant and testing is at an end.

(ii) If the mean of the combined sample (X_2) is equal to or greater than the lower control limit (LCL_2), the basic model is in compliance and testing is at an end.

[76 FR 12451, Mar. 7, 2011; 76 FR 24781, May 2, 2011]

APPENDIX D TO SUBPART C OF PART 429—SAMPLING PLAN FOR ENFORCEMENT TESTING OF UNINTERRUPTIBLE POWER SUPPLIES

(a) The minimum sample size for enforcement testing will be one unit.

(b) Compute the average load adjusted efficiency (Eff_{avg}) of the unit in the sample.

(c) Determine the applicable DOE energy efficiency standard (EES).

(d) If all Eff_{avg} are equal to or greater than EES, then the basic model is in compliance and testing is at an end.

(e) If any Eff_{avg} is less than EES, then the basic model is in noncompliance and testing is at an end.

[81 FR 89822, Dec. 12, 2016]

PART 430—ENERGY CONSERVATION PROGRAM FOR CONSUMER PRODUCTS

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APPENDIX B TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF FREEZERS

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AUTHORITY: 42 U.S.C. 6291–6309; 28 U.S.C. 2461 note.

SOURCE: 42 FR 27898, June 1, 1977, unless otherwise noted.

Subpart A—General Provisions

§ 430.1 Purpose and scope.

This part establishes the regulations for the implementation of part B of title III (42 U.S.C. 6291–6309) of the Energy Policy and Conservation Act (Pub. L. 94–163), as amended by Pub. L. 95–619, Pub. L. 100–12, Pub. L. 100–357, and Pub. L. 102–486 which establishes an energy conservation program for consumer products other than automobiles.

[62 FR 29237, May 29, 1997]

§ 430.2 Definitions.

For purposes of this part, words shall be defined as provided for in section 321 of the Act and as follows—

3-Way incandescent lamp means an incandescent lamp that—

(1) Employs two filaments, operated separately and in combination, to provide three light levels; and

(2) Is designated on the lamp packaging and marketing materials as being a 3-way incandescent lamp.

700 series fluorescent lamp means a fluorescent lamp with a color rendering index (measured according to the test procedures outlined in Appendix R to subpart B of this part) that is in the range (inclusive) of 70 to 79.

Act means the Energy Policy and Conservation Act of 1975, as amended, 42 U.S.C. 6291–6316.

Activation lock means a control mechanism (either by a physical device directly on the water heater or a control system integrated into the water heater) that is locked by default and contains a physical, software, or digital communication that must be activated with an activation key to enable to the product to operate at its designed specifications and capabilities and without which the activation of the product will provide not greater than 50 percent of the rated first hour delivery of hot water certified by the manufacturer.

Active mode means the condition in which an energy-using product—

(1) Is connected to a main power source;

(2) Has been activated; and

(3) Provides one or more main functions.

Air cleaner means a product for improving indoor air quality, other than a central air conditioner, room air conditioner, portable air conditioner, dehumidifier, or furnace, that is an electrically-powered, self-contained, mechanically encased assembly that contains means to remove, destroy, or deactivate particulates, VOC, and/or microorganisms from the air. It excludes products that operate solely by means of ultraviolet light without a fan for air circulation.

All-refrigerator means a refrigerator that does not include a compartment capable of maintaining compartment temperatures below 32 °F (0 °C) as determined according to the provisions in § 429.14(d)(2) of this chapter. It may include a compartment of 0.50 cubic-foot capacity (14.2 liters) or less for the freezing and storage of ice.

Annual fuel utilization efficiency means the efficiency descriptor for furnaces and boilers, determined using

test procedures prescribed under section 323 and based on the assumption that all—

(1) Weatherized warm air furnaces or boilers are located out-of-doors;

(2) Warm air furnaces which are not weatherized are located indoors and all combustion and ventilation air is admitted through grill or ducts from the outdoors and does not communicate with air in the conditioned space;

(3) Boilers which are not weatherized are located within the heated space.

ANSI means the American National Standards Institute.

Appliance lamp means any lamp that—

(1) Is specifically designed to operate in a household appliance and has a maximum wattage of 40 watts (including an oven lamp, refrigerator lamp, and vacuum cleaner lamp); and

(2) When sold at retail, is designated and marketed for the intended application, with

(i) The designation on the lamp packaging; and

(ii) Marketing materials that identify the lamp as being for appliance use.

ASME means the American Society of Mechanical Engineers.

Automatic clothes washer means a class of clothes washer which has a control system which is capable of scheduling a preselected combination of operations, such as regulation of water temperature, regulation of the water fill level, and performance of wash, rinse, drain, and spin functions without the need for user intervention subsequent to the initiation of machine operation. Some models may require user intervention to initiate these different segments of the cycle after the machine has begun operation, but they do not require the user to intervene to regulate the water temperature by adjusting the external water faucet valves.

Back-up battery charger means a battery charger excluding UPSs:

(1) That is embedded in a separate end-use product that is designed to continuously operate using mains power (including end-use products that use external power supplies); and

(2) Whose sole purpose is to recharge a battery used to maintain continuity of power in order to provide normal or partial operation of a product in case of input power failure.

Ballast means a device used with an electric discharge lamp to obtain necessary circuit conditions (voltage, current, and waveform) for starting and operating.

Ballast efficacy factor means the relative light output divided by the power input of a fluorescent lamp ballast, as measured under test conditions specified in ANSI Standard C82.2–1984.

Ballast luminous efficiency means the total fluorescent lamp arc power divided by the fluorescent lamp ballast input power multiplied by the appropriate frequency adjustment factor, as defined in appendix Q of subpart B of this part.

Baseboard electric heater means an electric heater which is intended to be recessed in or surface mounted on walls at floor level, which is characterized by long, low physical dimensions, and which transfers heat by natural convection and/or radiation.

Basic model means all units of a given type of covered product (or class thereof) manufactured by one manufacturer; having the same primary energy source; and, which have essentially identical electrical, physical, and functional (or hydraulic) characteristics that affect energy consumption, energy efficiency, water consumption, or water efficiency; and

(1) With respect to general service fluorescent lamps, general service incandescent lamps, and incandescent reflector lamps: Lamps that have essentially identical light output and electrical characteristics—including lamp efficacy and color rendering index (CRI).

(2) With respect to faucets and showerheads: Have the identical flow control mechanism attached to or installed within the fixture fittings, or the identical water-passage design features that use the same path of water in the highest flow mode.

(3) With respect to furnace fans: Are marketed and/or designed to be installed in the same type of installation; and

(4) With respect to central air conditioners and central air conditioning

heat pumps essentially identical electrical, physical, and functional (or hydraulic) characteristics means:

(i) For split systems manufactured by outdoor unit manufacturers (OUMs): all individual combinations having the same model of outdoor unit, which means comparably performing compressor(s) [a variation of no more than five percent in displacement rate (volume per time) as rated by the compressor manufacturer, and no more than five percent in capacity and power input for the same operating conditions as rated by the compressor manufacturer], outdoor coil(s) [no more than five percent variation in face area and total fin surface area; same fin material; same tube material], and outdoor fan(s) [no more than ten percent variation in air flow and no more than twenty percent variation in power input];

(ii) For split systems having indoor units manufactured by independent coil manufacturers (ICMs): all individual combinations having comparably performing indoor coil(s) [plus or minus one square foot face area, plus or minus one fin per inch fin density, and the same fin material, tube material, number of tube rows, tube pattern, and tube size]; and

(iii) For single-package systems: all individual models having comparably performing compressor(s) [no more than five percent variation in displacement rate (volume per time) rated by the compressor manufacturer, and no more than five percent variations in capacity and power input rated by the compressor manufacturer corresponding to the same compressor rating conditions], outdoor coil(s) and indoor coil(s) [no more than five percent variation in face area and total fin surface area; same fin material; same tube material], outdoor fan(s) [no more than ten percent variation in outdoor air flow], and indoor blower(s) [no more than ten percent variation in indoor air flow, with no more than twenty percent variation in fan motor power input];

(iv) Except that,

(A) for single-package systems and single-split systems, manufacturers may instead choose to make each individual model/combination its own basic model provided the testing and represented value requirements in 10 CFR 429.16 of this chapter are met; and

(B) For multi-split, multi-circuit, and multi-head mini-split combinations, a basic model may not include both individual small-duct, high velocity (SDHV) combinations and non-SDHV combinations even when they include the same model of outdoor unit. The manufacturer may choose to identify specific individual combinations as additional basic models.

Basic-voltage external power supply means an external power supply that is not a low-voltage external power supply.

Batch means a collection of production units of a basic model from which a batch sample is selected.

Batch sample means the collection of units of the same basic model from which test units are selected.

Batch sample size means the number of units in a batch sample.

Batch size means the number of units in a batch.

Battery charger means a device that charges batteries for consumer products, including battery chargers embedded in other consumer products.

Black light lamp means a lamp that is designed and marketed as a black light lamp and is an ultraviolet lamp with the highest radiant power peaks in the UV–A band (315 to 400 nm) of the electromagnetic spectrum.

Blowout action means a means of flushing a water closet whereby a jet of water directed at the bowl outlet opening pushes the bowl contents into the upleg, over the weir, and into the gravity drainage system.

Blowout bowl means a non-siphonic water closet bowl with an integral flushing rim, a trap at the rear of the bowl, and a visible or concealed jet that operates with a blowout action.

BPAR incandescent reflector lamp means a reflector lamp as shown in figure C78.21–278 of ANSI C78.21–2016 (incorporated by reference; see § 430.3).

BR30 means a BR incandescent reflector lamp with a diameter of 30/8ths of an inch.

BR40 means a BR incandescent reflector lamp with a diameter of 40/8ths of an inch.

BR incandescent reflector lamp means a reflector lamp that has a bulged section below the bulb's major diameter and above its approximate base line as shown in Figure 1 (RB) of ANSI C78.79–2020. A BR30 lamp has a lamp wattage of 85 or less than 66 and a BR40 lamp has a lamp wattage of 120 or less.

Btu means British thermal unit, which is the quantity of heat required to raise the temperature of one pound of water one degree Fahrenheit.

Bug lamp means a lamp that is designed and marketed as a bug lamp, has radiant power peaks above 550 nm on the electromagnetic spectrum, and has a visible yellow coating.

Built-in compact cooler means any cooler with a total refrigerated volume less than 7.75 cubic feet and no more than 24 inches in depth, excluding doors, handles, and custom front panels, that is designed, intended, and marketed exclusively to be:

(1) Installed totally encased by cabinetry or panels that are attached during installation;

(2) Securely fastened to adjacent cabinetry, walls or floor;

(3) Equipped with unfinished sides that are not visible after installation; and

(4) Equipped with an integral factory-finished face or built to accept a custom front panel.

Built-in cooler means any cooler with a total refrigerated volume of 7.75 cubic feet or greater and no more than 24 inches in depth, excluding doors, handles, and custom front panels; that is designed, intended, and marketed exclusively to be:

(1) Installed totally encased by cabinetry or panels that are attached during installation;

(2) Securely fastened to adjacent cabinetry, walls or floor;

(3) Equipped with unfinished sides that are not visible after installation; and

(4) Equipped with an integral factory-finished face or built to accept a custom front panel.

Built-in refrigerator/refrigerator-freezer/freezer means any refrigerator, refrigerator-freezer or freezer with 7.75 cubic feet or greater total volume and 24 inches or less depth not including doors, handles, and custom front panels; with sides which are not finished and not designed to be visible after installation; and that is designed, intended, and marketed exclusively (1) To be installed totally encased by cabinetry or panels that are attached during installation, (2) to be securely fastened to adjacent cabinetry, walls or floor, and (3) to either be equipped with an integral factory-finished face or accept a custom front panel.

Candelabra base incandescent lamp means a lamp that uses a candelabra screw base as described in ANSI C81.61, Specifications for Electric Bases, common designations E11 and E12 (incorporated by reference; see § 430.3).

Casement-only means a room air conditioner designed for mounting in a casement window with an encased assembly with a width of 14.8 inches or less and a height of 11.2 inches or less.

Casement-slider means a room air conditioner with an encased assembly designed for mounting in a sliding or casement window with a width of 15.5 inches or less.

Ceiling electric heater means an electric heater which is intended to be recessed in, surface mounted on, or hung from a ceiling, and which transfers heat by radiation and/or convection (either natural or forced).

Ceiling fan means a nonportable device that is suspended from a ceiling for circulating air via the rotation of fan blades. For the purpose of this definition:

(1) Circulating air means the discharge of air in an upward or downward direction. A ceiling fan that has a ratio of fan blade span (in inches) to maximum rotation rate (in revolutions per minute) greater than 0.06 provides circulating air.

(2) For all other ceiling fan related definitions, see appendix U to this subpart.

Ceiling fan light kit means equipment designed to provide light from a ceiling fan that can be—

(1) Integral, such that the equipment is attached to the ceiling fan prior to the time of retail sale; or

(2) Attachable, such that at the time of retail sale the equipment is not physically attached to the ceiling fan, but may be included inside the ceiling

fan at the time of sale or sold separately for subsequent attachment to the fan.

Central air conditioner or central air conditioning heat pump means a product, other than a packaged terminal air conditioner, packaged terminal heat pump, single-phase single-package vertical air conditioner with cooling capacity less than 65,000 Btu/h, single-phase single-package vertical heat pump with cooling capacity less than 65,000 Btu/h, computer room air conditioner, or unitary dedicated outdoor air system as these equipment categories are defined at 10 CFR 431.92, which is powered by single phase electric current, air cooled, rated below 65,000 Btu per hour, not contained within the same cabinet as a furnace, the rated capacity of which is above 225,000 Btu per hour, and is a heat pump or a cooling unit only. A central air conditioner or central air conditioning heat pump may consist of: A single-package unit; an outdoor unit and one or more indoor units; an indoor unit only; or an outdoor unit with no match. In the case of an indoor unit only or an outdoor unit with no match, the unit must be tested and rated as a system (combination of both an indoor and an outdoor unit). For all central air conditioner and central air conditioning heat pump-related definitions, see appendix M or M1 of subpart B of this part.

Central system humidifier means a class of humidifier designed to add moisture into the air stream of a heating system.

Circulating water heater means a water heater that does not have an operational scheme in which the burner, heating element, or compressor initiates and/or terminates heating based on sensing flow; has a water temperature sensor located at the inlet or the outlet of the water heater or in a separate storage tank that is the primary means of initiating and terminating heating; and must be used in combination with a recirculating pump to circulate water and either a separate storage tank or water circulation loop in order to achieve the water flow and temperature conditions recommended in the manufacturer's installation and operation instructions. A circulating water heater constitutes a storage-type water heater.

Class A external power supply—

(1) Means a device that—

(i) Is designed to convert line voltage AC input into lower voltage AC or DC output;

(ii) Is able to convert to only one AC or DC output voltage at a time;

(iii) Is sold with, or intended to be used with, a separate end-use product that constitutes the primary load;

(iv) Is contained in a separate physical enclosure from the end-use product;

(v) Is connected to the end-use product via a removable or hard-wired male/female electrical connection, cable, cord, or other wiring; and

(vi) Has nameplate output power that is less than or equal to 250 watts;

(2) But, does not include any device that—

(i) Requires Federal Food and Drug Administration listing and approval as a medical device in accordance with section 513 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 360(c)); or

(ii) Powers the charger of a detachable battery pack or charges the battery of a product that is fully or primarily motor operated.

Clothes washer means a consumer product designed to clean clothes, utilizing a water solution of soap and/or detergent and mechanical agitation or other movement, and must be one of the following classes: automatic clothes washers, semi-automatic clothes washers, and other clothes washers.

Cold temperature fluorescent lamp means a fluorescent lamp specifically designed to start at −20 °F when used with a ballast conforming to the requirements of ANSI C78.81 (incorporated by reference; see §430.3) and ANSI C78.901 (incorporated by reference; see §430.3), and is expressly designated as a cold temperature lamp both in markings on the lamp and in marketing materials, including catalogs, sales literature, and promotional material.

Color Rendering Index or CRI means the measured degree of color shift objects undergo when illuminated by a light source as compared with the color of those same objects when illuminated

by a reference source of comparable color temperature.

Colored fluorescent lamp means a fluorescent lamp designated and marketed as a colored lamp and not designed or marketed for general illumination applications with either of the following characteristics:

(1) A CRI less than 40, as determined according to the method set forth in CIE Publication 13.3 (incorporated by reference; *see* § 430.3); or

(2) A correlated color temperature less than 2,500K or greater than 7,000K as determined according to the method set forth in IES LM–9 (incorporated by reference; *see* § 430.3).

Colored incandescent lamp means an incandescent lamp designated and marketed as a colored lamp that has—

(1) A color rendering index of less than 50, as determined according to the test method given in CIE 13.3 (incorporated by reference; see § 430.3); or

(2) A correlated color temperature of less than 2,500K, or greater than 4,600K, where correlated temperature is computed according to the ''Computation of Correlated Color Temperature and Distribution Temperature,'' Journal of the Optical Society of America, (incorporated by reference; see § 430.3).

Colored lamp means a colored fluorescent lamp, a colored incandescent lamp, or a lamp designed and marketed as a colored lamp with either of the following characteristics (if multiple modes of operation are possible [such as variable CCT], either of the below characteristics must be maintained throughout all modes of operation):

(1) A CRI less than 40, as determined according to the method set forth in CIE 13.3 (incorporated by reference; see § 430.3); or

(2) A CCT less than 2,500 K or greater than 7,000 K.

Combination cooler refrigeration product means any cooler-refrigerator, cooler-refrigerator-freezer, or cooler-freezer.

Combined-duct portable air conditioner means a portable air conditioner for which condenser inlet and outlet air streams flow through separate ducts housed in a single duct structure.

Commercial and industrial power supply means a power supply that is used to convert electric current into DC or lower-voltage AC current, is not distributed in commerce for use with a consumer product, and may include any of the following characteristics:

(1) A power supply that requires 3-phase input power and that is incapable of operating on household mains electricity;

(2) A DC–DC-only power supply that is incapable of operating on household mains electricity;

(3) A power supply with a fixed, non-removable connection to an end-use device that is not a consumer product as defined under the Act;

(4) A power supply whose output connector is uniquely shaped to fit only an end-use device that is not a consumer product;

(5) A power supply that cannot be readily connected to an end-use device that is a consumer product without significant modification or customization of the power supply itself or the end-use device;

(6) A power supply packaged with an end-use device that is not a consumer product, as evidenced by either:

(i) Such device being certified as, or declared to be in conformance with, a specific standard applicable only to non-consumer products. For example, a power supply model intended for use with an end-use device that is certified to the following standards would not meet the EPCA definition of an EPS:

(A) CISPR 11 (Class A Equipment), ''Industrial, scientific and medical equipment—Radio-frequency disturbance—Limits and methods of measurement'';

(B) UL 1480A, ''Standard for Speakers for Commercial and Professional Use'';

(C) UL 813, ''Standard for Commercial Audio Equipment''; and

(D) UL 1727, ''Standard for Commercial Electric Personal Grooming Appliances''; or

(ii) Such device being excluded or exempted from inclusion within, or conformance with, a law, regulation, or broadly-accepted industry standard where such exclusion or exemption applies only to non-consumer products;

(7) A power supply distributed in commerce for use with an end-use device where:

(i) The end-use device is not a consumer product, as evidenced by either

the circumstances in paragraph (6)(i) or (ii) of this definition; and

(ii) The end-use device for which the power supply is distributed in commerce is reasonably disclosed to the public, such as by identification of the end-use device on the packaging for the power supply, documentation physically present with the power supply, or on the manufacturer's or private labeler's public website; or

(8) A power supply that is not marketed for residential or consumer use, and that is clearly marked (or, alternatively, the packaging of the individual power supply, the shipping container of multiple such power supplies, or associated documentation physically present with the power supply when distributed in commerce is clearly marked) ''FOR USE WITH COMMERCIAL OR INDUSTRIAL EQUIPMENT ONLY'' or ''NOT FOR RESIDENTIAL OR CONSUMER USE,'' with the marking designed and applied so that the marking will be visible and legible during customary conditions for the item on which the marking is placed.

Compact fluorescent lamp (CFL) means an integrated or non-integrated single-base, low-pressure mercury, electric-discharge source in which a fluorescing coating transforms some of the ultraviolet energy generated by the mercury discharge into light; the term does not include circline or U-shaped lamps.

Compact refrigerator/refrigerator-freezer/freezer means any refrigerator, refrigerator-freezer or freezer with a total refrigerated volume of less than 7.75 cubic feet (220 liters). (Total refrigerated volume shall be determined using the applicable test procedure appendix prescribed in subpart B of this part.)

Component video means a video display interface as defined in the Consumer Electronics Association's (CEA) standard, CEA–770.3–D (incorporated by reference; see § 430.3).

Composite video means a video display interface that uses Radio Corporation of America (RCA) connections carrying a signal defined by the Society of Motion Picture and Television Engineers' (SMPTE) standard, SMPTE 170M–2004 (incorporated by reference; see § 430.3) for regions that support a power frequency of 59.94 Hz or International Telecommunication Union's (ITU) standard, ITU–R BT 470–6 (incorporated by reference; see § 430.3) for regions that support a power frequency of 50 Hz.

Consumer product means any article (other than an automobile, as defined in Section 501(1) of the Motor Vehicle Information and Cost Savings Act):

(1) Of a type—

(i) Which in operation consumes, or is designed to consume, energy or, with respect to showerheads, faucets, water closets, and urinals, water; and

(ii) Which, to any significant extent, is distributed in commerce for personal use or consumption by individuals;

(2) Without regard to whether such article of such type is in fact distributed in commerce for personal use or consumption by an individual, except that such term includes fluorescent lamp ballasts, general service fluorescent lamps, incandescent reflector lamps, showerheads, faucets, water closets, and urinals distributed in commerce for personal or commercial use or consumption.

Consumer refrigeration product means a refrigerator, refrigerator-freezer, freezer, or miscellaneous refrigeration product.

Contractor means a person (other than the manufacturer or distributor) who sells to and/or installs for an end user a central air conditioner subject to regional standards. The term ''end user'' means the entity that purchases or selects for purchase the central air conditioner. Some examples of typical ''end users'' are homeowners, building owners, building managers, and property developers.

Controlling parameter means a measurable quantity or an algorithm (such as temperature or usage pattern) used for inferring heating load to a residential boiler, which would then result in incremental changes in boiler supply water temperature.

Convection microwave oven means a microwave oven that incorporates convection features and any other means of cooking in a single compartment.

Conventional cooking top means a category of cooking products which is a household cooking appliance consisting of a horizontal surface containing one

or more surface units that utilize a gas flame, electric resistance heating, or electric inductive heating. This includes any conventional cooking top component of a combined cooking product.

Conventional oven means a category of cooking products which is a household cooking appliance consisting of one or more compartments intended for the cooking or heating of food by means of either a gas flame or electric resistance heating. It does not include portable or countertop ovens which use electric resistance heating for the cooking or heating of food and are designed for an electrical supply of approximately 120 volts. This includes any conventional oven(s) component of a combined cooking product.

Conventional room air cleaner means an air cleaner that—

(1) Is a portable or wall mounted (fixed) unit, excluding ceiling mounted unit, that plugs into an electrical outlet;

(2) Operates with a fan for air circulation; and

(3) Contains means to remove, destroy, and/or deactivate particulates. The term portable is as defined in section 2.1.3.1 of AHAM AC–7–2022 (incorporated by reference; see § 430.3) and fixed is as defined in section 2.1.3.2 of AHAM AC–7–2022.

Cooking products means consumer products that are used as the major household cooking appliances. They are designed to cook or heat different types of food by one or more of the following sources of heat: Gas, electricity, or microwave energy. Each product may consist of a horizontal cooking top containing one or more surface units and/or one or more heating compartments.

Cooler means a cabinet, used with one or more doors, that has a source of refrigeration capable of operating on single-phase, alternating current and is capable of maintaining compartment temperatures either:

(1) No lower than 39 °F (3.9 °C); or

(2) In a range that extends no lower than 37 °F (2.8 °C) but at least as high as 60 °F (15.6 °C) as determined according to the applicable provisions in § 429.61(d)(2) of this chapter.

Cooler-all-refrigerator means a cooler-refrigerator that does not include a compartment capable of maintaining compartment temperatures below 32 °F (0 °C) as determined according to the provisions in § 429.61(d)(2) of this chapter. It may include a compartment of 0.50 cubic-foot capacity (14.2 liters) or less for the freezing and storage of ice.

Cooler-freezer means a cabinet, used with one or more doors, that has a source of refrigeration that requires single-phase, alternating current electric energy input only, and consists of two or more compartments, including at least one cooler compartment as defined in appendix A of subpart B of this part, where the remaining compartment(s) are capable of maintaining compartment temperatures at 0 °F (−17.8 °C) or below as determined according to the provisions in § 429.61(d)(2) of this chapter.

Cooler-refrigerator means a cabinet, used with one or more doors, that has a source of refrigeration that requires single-phase, alternating current electric energy input only, and consists of two or more compartments, including at least one cooler compartment as defined in appendix A of subpart B of this part, where:

(1) At least one of the remaining compartments is not a cooler compartment as defined in appendix A of subpart B of this part and is capable of maintaining compartment temperatures above 32 °F (0 °C) and below 39 °F (3.9 °C) as determined according to § 429.61(d)(2) of this chapter;

(2) The cabinet may also include a compartment capable of maintaining compartment temperatures below 32 °F (0 °C) as determined according to § 429.61(d)(2) of this chapter; but

(3) The cabinet does not provide a separate low temperature compartment capable of maintaining compartment temperatures below 8 °F (−13.3 °C) as determined according to § 429.61(d)(2) of this chapter.

Cooler-refrigerator-freezer means a cabinet, used with one or more doors, that has a source of refrigeration that requires single-phase, alternating current electric energy input only, and consists of three or more compartments, including at least one cooler

compartment as defined in appendix A of subpart B of this part, where:

(1) At least one of the remaining compartments is not a cooler compartment as defined in appendix A of subpart B of this part and is capable of maintaining compartment temperatures above 32 °F (0 °C) and below 39 °F (3.9 °C) as determined according to § 429.61(d)(2) of this chapter; and

(2) At least one other compartment is capable of maintaining compartment temperatures below 8 °F (−13.3 °C) and may be adjusted by the user to a temperature of 0 °F (−17.8 °C) or below as determined according to § 429.61(d)(2) of this chapter.

Correlated color temperature (CCT) means the absolute temperature of a blackbody whose chromaticity most nearly resembles that of the light source.

Covered product means a consumer product—

(1) Of a type specified in section 322 of the Act; or

(2) That is an air cleaner, battery charger, ceiling fan, ceiling fan light kit, dehumidifier, external power supply, medium base compact fluorescent lamp, miscellaneous refrigeration product, portable air conditioner, portable electric spa, or torchiere.

Dealer means a type of contractor, generally with a relationship with one or more specific manufacturers.

Decorative hearth product means a gas-fired appliance that—

(1) Simulates a solid-fueled fireplace or presents a flame pattern;

(2) Includes products designed for indoor use, outdoor use, or either indoor or outdoor use;

(3) Is not for use with a thermostat;

(4) For products designed for indoor use, is not designed to provide space heating to the space in which it is installed; and

(5) For products designed for outdoor use, is not designed to provide heat proximate to the unit.

Dehumidifier means a product, other than a portable air conditioner, room air conditioner, or packaged terminal air conditioner, that is a self-contained, electrically operated, and mechanically encased assembly consisting of—

(1) A refrigerated surface (evaporator) that condenses moisture from the atmosphere;

(2) A refrigerating system, including an electric motor;

(3) An air-circulating fan; and

(4) A means for collecting or disposing of the condensate.

Design voltage with respect to an incandescent lamp means:

(1) The voltage marked as the intended operating voltage;

(2) The mid-point of the voltage range if the lamp is marked with a voltage range; or

(3) 120 V if the lamp is not marked with a voltage or voltage range.

Designed and marketed means exclusively designed to fulfill the indicated application and, when distributed in commerce, designated and marketed solely for that application, with the designation prominently displayed on the packaging and all publicly available documents (*e.g.*, product literature, catalogs, and packaging labels). This definition applies to the following covered lighting products: Fluorescent lamp ballasts; fluorescent lamps; general service fluorescent lamps; general service incandescent lamps; general service lamps; incandescent lamps; incandescent reflector lamps; compact fluorescent lamps (including medium base compact fluorescent lamps); LED lamps; and specialty application mercury vapor lamp ballasts.

Detachable battery means a battery that is—

(1) Contained in a separate enclosure from the product; and

(2) Intended to be removed or disconnected from the product for recharging.

Direct heating equipment means vented home heating equipment and unvented home heating equipment.

Direct operation external power supply means an external power supply that can operate a consumer product that is not a battery charger without the assistance of a battery.

Direct vent system means a system supplied by a manufacturer which provides outdoor air or air from an unheated space (such as an attic or crawl space) directly to a furnace or vented heater for combustion and for

draft relief if the unit is equipped with a draft control device.

Dishwasher means a cabinet-like appliance which with the aid of water and detergent, washes, rinses, and dries (when a drying process is included) dishware, glassware, eating utensils, and most cooking utensils by chemical, mechanical and/or electrical means and discharges to the plumbing drainage system.

Distributor means a person (other than a manufacturer or retailer) to whom a consumer appliance product is delivered or sold for purposes of distribution in commerce.

DOE means the Department of Energy.

Dual-duct portable air conditioner means a portable air conditioner that draws some or all of the condenser inlet air from outside the conditioned space through a duct attached to an adjustable window bracket, may draw additional condenser inlet air from the conditioned space, and discharges the condenser outlet air outside the conditioned space by means of a separate duct attached to an adjustable window bracket.

Dual-flush water closet means a water closet incorporating a feature that allows the user to flush the water closet with either a reduced or a full volume of water.

Electric boiler means an electrically powered furnace designed to supply low pressure steam or hot water for space heating application. A low pressure steam boiler operates at or below 15 pounds per square inch gauge (psig) steam pressure; a hot water boiler operates at or below 160 psig water pressure and 250 °F. water temperature.

Electric central furnace means a furnace designed to supply heat through a system of ducts with air as the heating medium, in which heat is generated by one or more electric resistance heating elements and the heated air is circulated by means of a fan or blower.

Electric circulating water heater means a circulating water heater with an input of 12 kW or less (including heat pump-only units with power inputs of no more than 24 A at 250 V).

Electric clothes dryer means a cabinet-like appliance designed to dry fabrics in a tumble-type drum with forced air circulation. The heat source is electricity and the drum and blower(s) are driven by an electric motor(s).

Electric heater means an electric appliance which is a class of unvented home heating equipment in which heat is generated from electrical energy and dissipated by convection and radiation and includes baseboard electric heaters, ceiling electric heaters, floor electric heaters, portable electric heaters, and wall electric heaters.

Electric instantaneous water heater means a water heater that uses electricity as the energy source, has a nameplate input rating of 12 kW or less, and contains no more than one gallon of water per 4,000 Btu per hour of input.

Electric pool heater means a pool heater other than an electric spa heater that uses electricity as its primary energy source.

Electric spa heater means a pool heater that—

(1) Uses electricity as its primary energy source;

(2) Has an output capacity (as measured according to appendix P to subpart B of part 430) of 11 kW or less; and

(3) Is designed to be installed within a portable electric spa.

Electric storage water heater means a water heater that uses electricity as the energy source, has a nameplate input rating of 12 kW or less, and contains more than one gallon of water per 4,000 Btu per hour of input.

Electromechanical hydraulic water closet means any water closet that utilizes electrically operated devices, such as, but not limited to, air compressors, pumps, solenoids, motors, or macerators in place of or to aid gravity in evacuating waste from the toilet bowl.

Electronic ballast means a device that uses semiconductors as the primary means to control lamp starting and operation.

Energy conservation standard means any standards meeting the definitions of that term in 42 U.S.C. 6291(6) and 42 U.S.C. 6311(18) as well as any other water conservation standards and design requirements found in this part or parts 430 or 431.

Energy use of a type of consumer product which is used by households means the energy consumed by such product

within housing units occupied by households (such as energy for space heating and cooling, water heating, the operation of appliances, or other activities of the households), and includes energy consumed on any property that is contiguous with a housing unit and that is used primarily by the household occupying the housing unit (such as energy for exterior lights or heating a pool).

ER incandescent reflector lamp means a reflector lamp that has an elliptical section below the major diameter of the bulb and above the approximate base line of the bulb, as shown in Figure 1 (RE) of ANSI C78.79–2020 (incorporated by reference; see § 430.3) and product space drawings shown in ANSI C78.21–2016 (incorporated by reference; see § 430.3).

ER30 means an ER incandescent reflector lamp with a diameter of 30/8ths of an inch.

ER40 means an ER incandescent reflector lamp with a diameter of 40/8ths of an inch.

Estimated annual operating cost means the aggregate retail cost of the energy which is likely to be consumed annually, and in the case of showerheads, faucets, water closets, and urinals, the aggregate retail cost of water and wastewater treatment services likely to be incurred annually, in representative use of a consumer product, determined in accordance with Section 323 of EPCA (42 U.S.C. 6293).

External power supply means an external power supply circuit that is used to convert household electric current into DC current or lower-voltage AC current to operate a consumer product. However, the term does not include any ''commercial and industrial power supply'' as defined in this section, or a power supply circuit, driver, or device that is designed exclusively to be connected to, and power—

(1) Light-emitting diodes providing illumination;

(2) Organic light-emitting diodes providing illumination; or

(3) Ceiling fans using direct current motors.

External power supply design family means a set of external power supply basic models, produced by the same manufacturer, which share the same circuit layout, output power, and output cord resistance, but differ in output voltage.

Faucet means a lavatory faucet, kitchen faucet, metering faucet, or replacement aerator for a lavatory or kitchen faucet, excluding low-pressure water dispensers and pot fillers.

Fitting means a device that controls and guides the flow of water.

Floor electric heater means an electric heater which is intended to be recessed in a floor, and which transfers heat by radiation and/or convection (either natural or forced).

Fluorescent lamp means a low pressure mercury electric-discharge source in which a fluorescing coating transforms some of the ultraviolet energy generated by the mercury discharge into light, including only the following:

(1) Any straight-shaped lamp (commonly referred to as 4-foot medium bipin lamps) with medium bipin bases of nominal overall length of 48 inches and rated wattage of 25 or more;

(2) Any U-shaped lamp (commonly referred to as 2-foot U-shaped lamps) with medium bipin bases of nominal overall length between 22 and 25 inches and rated wattage of 25 or more;

(3) Any rapid start lamp (commonly referred to as 8-foot high output lamps) with recessed double contact bases of nominal overall length of 96 inches;

(4) Any instant start lamp (commonly referred to as 8-foot slimline lamps) with single pin bases of nominal overall length of 96 inches and rated wattage of 49 or more;

(5) Any straight-shaped lamp (commonly referred to as 4-foot miniature bipin standard output lamps) with miniature bipin bases of nominal overall length between 45 and 48 inches and rated wattage of 25 or more; and

(6) Any straight-shaped lamp (commonly referred to 4-foot miniature bipin high output lamps) with miniature bipin bases of nominal overall length between 45 and 48 inches and rated wattage of 44 or more.

Fluorescent lamp ballast means a device which is used to start and operate fluorescent lamps by providing a starting voltage and current and limiting the current during normal operation.

Fluorescent lamp designed for use in reprographic equipment means a fluorescent lamp intended for use in equipment used to reproduce, reprint, or copy graphic material.

Flushometer tank means a device whose function is defined in flushometer valve, but integrated within an accumulator vessel affixed and adjacent to the fixture inlet so as to cause an effective enlargement of the supply line immediately before the unit.

Flushometer valve means a valve attached to a pressurized water supply pipe and so designed that when actuated, it opens the line for direct flow into the fixture at a rate and quantity to properly operate the fixture, and then gradually closes to provide trap reseal in the fixture in order to avoid water hammer. The pipe to which this device is connected is in itself of sufficient size, that when open, will allow the device to deliver water at a sufficient rate of flow for flushing purposes.

Forced air central furnace means a gas or oil burning furnace designed to supply heat through a system of ducts with air as the heating medium. The heat generated by combustion of gas or oil is transferred to the air within a casing by conduction through heat exchange surfaces and is circulated through the duct system by means of a fan or blower.

Freestanding compact cooler means any cooler, excluding built-in compact coolers, with a total refrigerated volume less than 7.75 cubic feet.

Freestanding cooler means any cooler, excluding built-in coolers, with a total refrigerated volume of 7.75 cubic feet or greater.

Freezer means a cabinet, used with one or more doors, that has a source of refrigeration that requires single-phase, alternating current electric energy input only and is capable of maintaining compartment temperatures of 0 °F (−17.8 °C) or below as determined according to the provisions in § 429.14(d)(2) of this chapter. It does not include any refrigerated cabinet that consists solely of an automatic ice maker and an ice storage bin arranged so that operation of the automatic icemaker fills the bin to its capacity. However, the term does not include:

(1) Any product that does not include a compressor and condenser unit as an integral part of the cabinet assembly; or

(2) Any miscellaneous refrigeration product that must comply with an applicable miscellaneous refrigeration product energy conservation standard.

Furnace means a product which utilizes only single-phase electric current, or single-phase electric current or DC current in conjunction with natural gas, propane, or home heating oil, and which—

(1) Is designed to be the principal heating source for the living space of a residence;

(2) Is not contained within the same cabinet with a central air conditioner whose rated cooling capacity is above 65,000 Btu per hour;

(3) Is an electric central furnace, electric boiler, forced-air central furnace, gravity central furnace, or low-pressure steam or hot water boiler; and

(4) Has a heat input rate of less than 300,000 Btu per hour for electric boilers and low-pressure steam or hot water boilers and less than 225,000 Btu per hour for forced-air central furnaces, gravity central furnaces, and electric central furnaces.

Furnace fan means an electrically-powered device used in a consumer product for the purpose of circulating air through ductwork.

Gas means either natural gas or propane.

Gas clothes dryer means a cabinet-like appliance designed to dry fabrics in a tumble-type drum with forced air circulation. The heat source is gas and the drum and blower(s) are driven by an electric motor(s).

Gas-fired circulating water heater means a circulating water heater with a nominal input of 75,000 Btu/h or less.

Gas-fired instantaneous water heater means a water heater that uses gas as the main energy source, has a nameplate input rating less than 200,000 Btu/h, and contains no more than one gallon of water per 4,000 Btu per hour of input.

Gas-fired pool heater means a pool heater that uses gas as its primary energy source.

Gas-fired storage water heater means a water heater that uses gas as the main

energy source, has a nameplate input rating of 75,000 Btu/h or less, and contains more than one gallon of water per 4,000 Btu per hour of input.

General lighting application means lighting that provides an interior or exterior area with overall illumination.

General service fluorescent lamp means any fluorescent lamp which can be used to satisfy the majority of fluorescent lighting applications, but does not include any lamp designed and marketed for the following nongeneral application:

(1) Fluorescent lamps designed to promote plant growth;

(2) Fluorescent lamps specifically designed for cold temperature applications;

(3) Colored fluorescent lamps;

(4) Impact-resistant fluorescent lamps;

(5) Reflectorized or aperture lamps;

(6) Fluorescent lamps designed for use in reprographic equipment;

(7) Lamps primarily designed to produce radiation in the ultra-violet region of the spectrum; and

(8) Lamps with a Color Rendering Index of 87 or greater.

General service incandescent lamp means a standard incandescent or halogen type lamp that is intended for general service applications; has a medium screw base; has a lumen range of not less than 310 lumens and not more than 2,600 lumens or, in the case of a modified spectrum lamp, not less than 232 lumens and not more than 1,950 lumens; and is capable of being operated at a voltage range at least partially within 110 and 130 volts; however, this definition does not apply to the following incandescent lamps—

(1) An appliance lamp;

(2) A black light lamp;

(3) A bug lamp;

(4) A colored lamp;

(5) A G shape lamp with a diameter of 5 inches or more as defined in ANSI C78.79–2020 (incorporated by reference; see § 430.3);

(6) An infrared lamp;

(7) A left-hand thread lamp;

(8) A marine lamp;

(9) A marine signal service lamp;

(10) A mine service lamp;

(11) A plant light lamp;

(12) An R20 short lamp;

(13) A sign service lamp;

(14) A silver bowl lamp;

(15) A showcase lamp; and

(16) A traffic signal lamp.

General service lamp means 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 set out in this definition), or is able to operate at any voltage for non-integrated lamps (as set out in this definition); 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 C78.79–2020 (incorporated by reference; see § 430.3);

(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 (diameter equal to 2 inches) as defined in ANSI C78.79–2020 (incorporated by reference; see § 430.3), 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 (as set out in this definition) that have a first number symbol less than 16 (diameter less than 2 inches) as defined in ANSI C78.79–2020 (incorporated by reference; see § 430.3) 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 (diameter less than or equal to 1.5625 inches) as defined in ANSI C78.79–2014 (R2020) (incorporated by reference; see § 430.3);

(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 (diameter less than or equal to 1 inch) as defined in ANSI C78.79–2020 (incorporated by reference; see § 430.3), nominal overall length less than 12 inches, and that are not compact fluorescent lamps (as set out in this definition);

(26) Traffic signal lamps.

General service light-emitting diode (LED) lamp means an integrated or non-integrated LED lamp designed for use in general lighting applications (as defined in this section) and that uses light-emitting diodes as the primary source of light.

General service organic light-emitting diode (OLED) lamp means an integrated or non- integrated OLED lamp designed for use in general lighting applications (as defined in this section) and that uses organic light-emitting diodes as the primary source of light.

Gravity central furnace means a gas fueled furnace which depends primarily on natural convection for circulation of heated air and which is designed to be used in conjunction with a system of ducts.

Gravity flush tank water closet means a water closet designed to flush the bowl with water supplied by gravity only.

Grid-enabled water heater means an electric resistance water heater that—

(1) Has a rated storage tank volume of more than 75 gallons;

(2) Is manufactured on or after April 16, 2015;

(3) Is equipped at the point of manufacture with an activation lock and;

(4) Bears a permanent label applied by the manufacturer that—

(i) Is made of material not adversely affected by water;

(ii) Is attached by means of non-water-soluble adhesive; and

(iii) Advises purchasers and end-users of the intended and appropriate use of the product with the following notice printed in 16.5 point Arial Narrow Bold font: ''IMPORTANT INFORMATION: This water heater is intended only for use as part of an electric thermal storage or demand response program. It will not provide adequate hot water unless enrolled in such a program and activated by your utility company or another program operator. Confirm the availability of a program in your local area before purchasing or installing this product.''

Hand-held showerhead means a showerhead that can be held or fixed in place for the purpose of spraying water onto a bather and that is connected to a flexible hose.

High-definition multimedia interface or HDMI® means an audio and video interface as defined by HDMI® Specification Informational Version 1.0 or greater (incorporated by reference; see § 430.3).

Home heating equipment, not including furnaces means vented home heating equipment and unvented home heating equipment.

Household means an entity consisting of either an individual, a family, or a group of unrelated individuals, who reside in a particular housing unit. For the purpose of this definition:

(1) *Group quarters* means living quarters that are occupied by an institutional group of 10 or more unrelated persons, such as a nursing home, military barracks, halfway house, college dormitory, fraternity or sorority house, convent, shelter, jail or correctional institution.

(2) *Housing unit* means a house, an apartment, a group of rooms, or a single room occupied as separate living quarters, but does not include group quarters.

(3) *Separate living quarters* means living quarters:

(i) To which the occupants have access either:

(A) Directly from outside of the building, or

(B) Through a common hall that is accessible to other living quarters and that does not go through someone else's living quarters, and

(ii) Occupied by one or more persons who live and eat separately from occupant(s) of other living quarters, if any, in the same building.

Immersed heating element means an electrically powered heating device which is designed to operate while totally immersed in water in such a manner that the heat generated by the device is imparted directly to the water.

Impact-resistant fluorescent lamp means a lamp that:

(1) Has a coating or equivalent technology that is compliant with NSF/ANSI 51 (incorporated by reference; see § 430.3) and is designed to contain the glass if the glass envelope of the lamp is broken; and

(2) Is designated and marketed for the intended application, with:

(i) The designation on the lamp packaging; and

(ii) Marketing materials that identify the lamp as being impact-resistant, shatter-resistant, shatter-proof, or shatter-protected.

Import means to import into the customs territory of the United States.

Incandescent lamp means a lamp in which light is produced by a filament heated to incandescence by an electric current, including only the following:

(1) Any lamp (commonly referred to as lower wattage non-reflector general service lamps, including any tungsten halogen lamp) that has a rated wattage between 30 and 199, has an E26 medium screw base, has a rated voltage or voltage range that lies at least partially in the range of 115 and 130 volts, and is not a reflector lamp.

(2) Any incandescent reflector lamp.

(3) Any general service incandescent lamp (commonly referred to as a high- or higher-wattage lamp) that has a rated wattage above 199 (above 205 for a high wattage reflector lamp).

Incandescent reflector lamp (commonly referred to as a reflector lamp) means any lamp in which light is produced by a filament heated to incandescence by an electric current, which: contains an inner reflective coating on the outer bulb to direct the light; is not colored; is not designed for rough or vibration service applications; is not an R20 short lamp; has an R, PAR, ER, BR, BPAR, or similar bulb shapes with an E26 medium screw base; has a rated voltage or voltage range that lies at least partially in the range of 115 and 130 volts; has a diameter that exceeds 2.25 inches; and has a rated wattage that is 40 watts or higher.

Indirect operation external power supply means an external power supply that cannot operate a consumer product that is not a battery charger without the assistance of a battery as determined by the steps in paragraphs (1)(i) through (v) of this definition:

(1) If the external power supply (EPS) can be connected to an end-use consumer product and that consumer product can be operated using battery power, the method for determining whether that EPS is incapable of operating that consumer product directly is as follows:

(i) If the end-use product has a removable battery, remove it for the remainder of the test and proceed to the step in paragraph (1)(v) of this definition. If not, proceed to the step in paragraph (1)(ii).

(ii) Charge the battery in the application via the EPS such that the application can operate as intended before taking any additional steps.

(iii) Disconnect the EPS from the application. From an off mode state, turn on the application and record the time necessary for it to become operational to the nearest five second increment (5 sec, 10 sec, etc.).

(iv) Operate the application using power only from the battery until the application stops functioning due to the battery discharging.

(v) Connect the EPS first to mains and then to the application. Immediately attempt to operate the application. If the battery was removed for testing and the end-use product operates as intended, the EPS is not an indirect operation EPS and paragraph 2 of this definition does not apply. If the battery could not be removed for testing, record the time for the application to become operational to the nearest five second increment (5 seconds, 10 seconds, etc.).

(2) If the time recorded in paragraph (1)(v) of this definition is greater than the summation of the time recorded in paragraph (1)(iii) of this definition and five seconds, the EPS cannot operate the application directly and is an indirect operation EPS.

Infrared lamp means a lamp that is designed and marketed as an infrared lamp; has its highest radiant power peaks in the infrared region of the electromagnetic spectrum (770 nm to 1 mm); has a rated wattage of 125 watts or greater; and which has a primary purpose of providing heat.

Installation of a central air conditioner means the connection of the refrigerant lines and/or electrical systems to make the central air conditioner operational.

Integrated lamp means a lamp that contains all components necessary for the starting and stable operation of the lamp, does not include any replaceable or interchangeable parts, and is connected directly to a branch circuit through an ANSI base and corresponding ANSI standard lamp-holder (socket).

Integrated light-emitting diode lamp means an integrated LED lamp as defined in ANSI/IES RP–16 (incorporated by reference; see § 430.3).

Intermediate base incandescent lamp means a lamp that uses an intermediate screw base as described in ANSI C81.61, Specifications for Electric Bases, common designation E17 (incorporated by reference; see § 430.3).

Kerosene means No. 1 fuel oil with a viscosity meeting the specifications as specified in UL–730–1974, section 36.9 and in tables 2 and 3 of ANSI Standard Z91.1–1972.

Lamp Efficacy (LE) means the measured lumen output of a lamp in lumens divided by the measured lamp electrical power input in watts expressed in units of lumens per watt (LPW).

Lamps primarily designed to produce radiation in the ultraviolet region of the spectrum means fluorescent lamps that primarily emit light in the portion of the electromagnetic spectrum where light has a wavelength between 10 and 400 nanometers.

LED downlight retrofit kit means a product designed and marketed to install into an existing downlight, replacing the existing light source and related electrical components, typically employing an ANSI standard lamp base, either integrated or connected to the downlight retrofit by wire leads, and is a retrofit kit classified or certified to UL 1598C–2016 (incorporated by reference; see § 430.3). LED downlight retrofit kit does not include integrated lamps or non-integrated lamps.

Left-hand thread lamp means a lamp with direction of threads on the lamp base oriented in the left-hand direction.

Lifetime with respect to an incandescent reflector lamp or general service incandescent lamp means the length of operating time between first use and failure of 50 percent of the sample units (as specified in 10 CFR 429.55 and 429.66), determined in accordance with the test procedures described in appendix R to subpart B of this part.

Lifetime of a compact fluorescent lamp means the length of operating time between first use and failure of 50 percent of the sample units (as specified in § 429.35(a)(1) of this chapter), determined in accordance with the test procedures described in section 3.3 of appendix W to subpart B of this part.

Lifetime of an integrated light-emitting diode lamp means the length of operating time between first use and failure of 50 percent of the sample units (as required by § 429.56(a)(1) of this chapter), when measured in accordance with the test procedures described in section 4 of appendix BB to subpart B of this part.

Light-emitting diode or *LED* means a p-n junction solid state device of which the radiated output, either in the infrared region, the visible region, or the ultraviolet region, is a function of the physical construction, material used, and exciting current of the device.

Light fixture means a complete lighting unit consisting of light source(s) and ballast(s) or driver(s) (when applicable) together with the parts designed to distribute the light, to position and protect the light source, and to connect the light source(s) to the power supply.

Low consumption has the meaning given such a term in ASME A112.19.2–2008. (*see* § 430.3)

Low pressure steam or hot water boiler means an electric, gas or oil burning furnace designed to supply low pressure steam or hot water for space heating application. A low pressure steam boiler operates at or below 15 pounds psig steam pressure; a hot water boiler operates at or below 160 psig water pressure and 250 °F. water temperature.

Low-pressure water dispenser means a terminal fitting that dispenses drinking water at a pressure of 105 kPA (15 psi) or less.

Low-temperature water heater means an electric instantaneous water heater that is not a circulating water heater and cannot deliver water at a temperature greater than or equal to the set point temperature specified in section 2.5 of appendix E to subpart B of this part when supplied with water at the supply water temperature specified in section 2.3 of appendix E to subpart B of this part and the flow rate specified in section 5.2.2.1 of appendix E to subpart B of this part.

Low-voltage external power supply means an external power supply with a nameplate output voltage less than 6 volts and nameplate output current greater than or equal to 550 milliamps.

LP-gas means liquified petroleum gas, and includes propane, butane, and propane/butane mixtures.

Major cooking component means either a conventional cooking top, a conventional oven or a microwave oven.

Manufacture means to manufacture, produce, assemble, or import.

Manufacturer means any person who manufactures a consumer product.

Marine lamp means a lamp that is designed and marketed for use on boats and can operate at or between 12 volts and 13.5 volts.

Marine signal service lamp means a lamp that is designed and marketed for marine signal service applications.

Medium base compact fluorescent lamp means an integrally ballasted fluorescent lamp with a medium screw base, a rated input voltage range of 115 to 130 volts and which is designed as a direct replacement for a general service incandescent lamp; however, the term does not include—

(1) Any lamp that is—

(i) Specifically designed to be used for special purpose applications; and

(ii) Unlikely to be used in general purpose applications, such as the applications described in the definition of ''General Service Incandescent Lamp'' in this section; or

(2) Any lamp not described in the definition of ''General Service Incandescent Lamp'' in this section that is excluded by the Secretary, by rule, because the lamp is—

(i) Designed for special applications; and

(ii) Unlikely to be used in general purpose applications.

Medium screw base means an Edison screw base identified with the prefix E–26 in the ''American National Standard for Electric Lamp Bases'', ANSI_IEC C81.61–2003, published by the American National Standards Institute.

Microwave oven means a category of cooking products which is a household cooking appliance consisting of a compartment designed to cook or heat food by means of microwave energy, including microwave ovens with or without thermal elements designed for surface browning of food and convection microwave ovens. This includes any microwave oven(s) component of a combined cooking product.

Mine service lamp means a lamp that is designed and marketed for mine service applications.

Miscellaneous gas products mean decorative hearth products and outdoor heaters.

Miscellaneous refrigeration product means a consumer refrigeration product other than a refrigerator, refrigerator-freezer, or freezer, which includes coolers and combination cooler refrigeration products.

Mobile home furnace means a direct vent furnace that is designed for use only in mobile homes.

Modified spectrum means, with respect to an incandescent lamp, an incandescent lamp that—

(1) Is not a colored incandescent lamp; and

(2) When operated at the rated voltage and wattage of the incandescent lamp—

(A) Has a color point with (x,y) chromaticity coordinates on the C.I.E. 1931 chromaticity diagram, figure 2, page 3

of IESNA LM–16 (incorporated by reference; *see* § 430.3) that lies below the black-body locus; and

(B) Has a color point with (x,y) chromaticity coordinates on the C.I.E. 1931 chromaticity diagram, figure 2, page 3 of IESNA LM–16 (incorporated by reference; *see* § 430.3) that lies at least 4 MacAdam steps, as referenced in IESNA LM–16, distant from the color point of a clear lamp with the same filament and bulb shape, operated at the same rated voltage and wattage.

Natural gas means natural gas as defined by the Federal Power Commission.

Non-integrated lamp means a lamp that is not an integrated lamp.

Off mode means the condition in which an energy using product—

(1) Is connected to a main power source; and

(2) Is not providing any stand-by or active mode function.

Oil means heating oil grade No. 2 as defined in American Society for Testing and Materials (ASTM) D396–71.

Oil-fired circulating water heater means a circulating water heater with a nominal input of 105,000 Btu/h or less.

Oil-fired instantaneous water heater means a water heater that uses oil as the main energy source, has a nameplate input rating of 210,000 Btu/h or less, and contains no more than one gallon of water per 4,000 Btu per hour of input.

Oil-fired pool heater means a pool heater that uses oil as its primary energy source.

Oil-fired storage water heater means a water heater that uses oil as the main energy source, has a nameplate input rating of 105,000 Btu/h or less, and contains more than one gallon of water per 4,000 Btu per hour of input.

Organic light-emitting diode or O*LED* means a thin-film light-emitting device that typically consists of a series of organic layers between 2 electrical contacts (electrodes).

Other clothes washer means a class of clothes washer which is not an automatic or semi-automatic clothes washer.

Other cooking products means any category of cooking products other than conventional cooking tops, conventional ovens, and microwave ovens.

Other fluorescent lamp means low pressure mercury electric-discharge sources in which a fluorescing coating transforms some of the ultraviolet energy generated by the mercury discharge into light and include circline lamps and include double-ended lamps with the following characteristics: Lengths from one to eight feet; designed for cold temperature applications; designed for use in reprographic equipment; designed to produce radiation in the ultraviolet region of the spectrum; impact-resistant; reflectorized or aperture; or a CRI of 87 or greater.

Outdoor heater means a gas-fired appliance designed for use in outdoor spaces only, and which is designed to provide heat proximate to the unit.

Packaged terminal air conditioner means a wall sleeve and a separate unencased combination of heating and cooling assemblies specified by the builder and intended for mounting through the wall. It includes a prime source of refrigeration, separable outdoor louvers, forced ventilation, and heating availability energy.

Packaged terminal heat pump means a packaged terminal air conditioner that utilizes reverse cycle refrigeration as its prime heat source and should have supplementary heating availability by builder's choice of energy.

PAR incandescent reflector lamp means a reflector lamp formed by the sealing together during the lamp-making process of a pressed glass parabolic section and a pressed lens section as shown in Figure 1 (PAR) of ANSI C78.79–2020, (incorporated by reference; see § 430.3). The pressed lens section may be either plain or configured.

Person includes any individual, corporation, company, association, firm, partnership, society, trust, joint venture or joint stock company, the government, and any agency of the United States or any State or political subdivision thereof.

Pin base lamp means a lamp that uses a base type designated as a single pin base or multiple pin base system.

Pin-based means (1) the base of a fluorescent lamp, that is not integrally ballasted and that has a plug-in lamp base, including multi-tube, multibend,

spiral, and circline types, or (2) a socket that holds such a lamp.

Plant light lamp means a lamp that is designed to promote plant growth by emitting its highest radiant power peaks in the regions of the electromagnetic spectrum that promote photosynthesis: Blue (440 nm to 490 nm) and/or red (620 to 740 nm), and is designed and marketed for plant growing applications.

Pool heater means an appliance designed for heating nonpotable water contained at atmospheric pressure, including heating water in swimming pools, spas, hot tubs and similar applications.

Portable air conditioner means a portable encased assembly, other than a ''packaged terminal air conditioner,'' ''room air conditioner,'' or ''dehumidifier,'' that delivers cooled, conditioned air to an enclosed space, and is powered by single-phase electric current. It includes a source of refrigeration and may include additional means for air circulation and heating.

Portable dehumidifier means a dehumidifier that, in accordance with any manufacturer instructions available to a consumer, operates within the dehumidified space without the attachment of additional ducting, although means may be provided for optional duct attachment.

Portable electric heater means an electric heater which is intended to stand unsupported, and can be moved from place to place within a structure. It is connected to electric supply by means of a cord and plug, and transfers heat by radiation and/or convention (either natural or forced).

Portable electric spa means a factory-built electric spa or hot tub, supplied with equipment for heating and circulating water at the time of sale or sold separately for subsequent attachment.

Portable indoor conventional cooking top means a conventional cooking top designed—

(1) For indoor use; and

(2) To be moved from place to place.

Pot filler means a terminal fitting that can accommodate only a single supply water inlet, with an articulated arm or the equivalent that allows the product to reach to fill vessels when in use and allows the product to be retracted when not in use.

Primary electric heater means an electric heater that is the principal source of heat for a structure and includes baseboard electric heaters, ceiling electric heaters, floor electric heaters, and wall electric heaters.

Private labeler means an owner of a brand or trademark on the label of a consumer product which bears a private label. A consumer product bears a private label if:

(1) Such product (or its container) is labeled with the brand or trademark of a person other than a manufacturer of such product;

(2) The person with whose brand or trademark such product (or container) is labeled has authorized or caused such product to be so labeled; and

(3) The brand or trademark of a manufacturer of such product does not appear on such label.

Propane means a hydrocarbon whose chemical composition is predominantly C_3H_8, whether recovered from natural gas or crude oil.

R incandescent reflector lamp means a reflector lamp that includes a parabolic or elliptical section below the major diameter as shown in Figure 1 (R) of ANSI C78.79–2020 (incorporated by reference; see § 430.3).

R20 incandescent reflector lamp means an R incandescent reflector lamp that has a face diameter of approximately 2.5 inches, as shown in Figure C78.21–254 of ANSI C78.21–2016 (incorporated by reference; see § 430.3).

R20 short lamp means a lamp that is an R20 incandescent reflector lamp that has a rated wattage of 100 watts; has a maximum overall length of 3 and 5/8, or 3.625, inches; and is designed, labeled, and marketed specifically for pool and spa applications.

Rated voltage with respect to incandescent lamps means:

(1) The design voltage if the design voltage is 115 V, 130 V or between 115V and 130 V:

(2) 115 V if the design voltage is less than 115 V and greater than or equal to 100 V and the lamp can operate at 115 V; and

(3) 130 V if the design voltage is greater than 130 V and less than or

equal to 150 V and the lamp can operate at 130 V.

Rated wattage means:

(1) With respect to fluorescent lamps and general service fluorescent lamps:

(i) If the lamp is listed in ANSI C78.81 (incorporated by reference; *see* § 430.3) or ANSI C78.901 (incorporated by reference; *see* § 430.3), the rated wattage of a lamp determined by the lamp designation of Clause 11.1 of ANSI C78.81 or ANSI C78.901;

(ii) If the lamp is a residential straight-shaped lamp, and not listed in ANSI C78.81 (incorporated by reference; *see* § 430.3), the wattage of a lamp when operated on a reference ballast for which the lamp is designed; or

(iii) If the lamp is neither listed in one of the ANSI standards referenced in paragraph (1)(i) of this definition, nor a residential straight-shaped lamp, a represented value of electrical power for a basic model, determined according to 10 CFR 429.27, and derived from the measured initial input power of a lamp tested according to appendix R to subpart B of this part.

(2) With respect to general service incandescent lamps, a represented value of electrical power for a basic model, determined according to 10 CFR 429.27, and derived from the measured initial input power of a lamp tested according to appendix R to subpart B of this part.

(3) With respect to incandescent reflector lamps, a represented value of electrical power for a basic model, determined according to 10 CFR 429.55, and derived from the measured initial input power of a lamp tested according to appendix R to subpart B of this part.

Reflector lamp means a lamp that has an R, PAR, BPAR, BR, ER, MR, or similar bulb shape as defined in ANSI C78.79–2020 (incorporated by reference; see § 430.3) and is used to provide directional light.

Reflectorized or aperture lamp means a fluorescent lamp that contains an inner reflective coating on the bulb to direct light.

Refrigerant-desiccant dehumidifier means a whole-home dehumidifier that removes moisture from the process air by means of a desiccant material in addition to a refrigeration system.

Refrigerator means a cabinet, used with one or more doors, that has a source of refrigeration that requires single-phase, alternating current electric energy input only and is capable of maintaining compartment temperatures above 32 °F (0 °C) and below 39 °F (3.9 °C) as determined according to § 429.14(d)(2) of this chapter. A refrigerator may include a compartment capable of maintaining compartment temperatures below 32 °F (0 °C), but does not provide a separate low temperature compartment capable of maintaining compartment temperatures below8 °F (−13.3 °C) as determined according to § 429.14(d)(2). However, the term does not include:

(1) Any product that does not include a compressor and condenser unit as an integral part of the cabinet assembly;

(2) A cooler; or

(3) Any miscellaneous refrigeration product that must comply with an applicable miscellaneous refrigeration product energy conservation standard.

Refrigerator-freezer means a cabinet, used with one or more doors, that has a source of refrigeration that requires single-phase, alternating current electric energy input only and consists of two or more compartments where at least one of the compartments is capable of maintaining compartment temperatures above 32 °F (0 °C) and below 39 °F (3.9 °C) as determined according to § 429.14(d)(2) of this chapter, and at least one other compartment is capable of maintaining compartment temperatures of 8 °F (−13.3 °C) and may be adjusted by the user to a temperature of 0 °F (−17.8 °C) or below as determined according to § 429.14(d)(2). However, the term does not include:

(1) Any product that does not include a compressor and condenser unit as an integral part of the cabinet assembly; or

(2) Any miscellaneous refrigeration product that must comply with an applicable miscellaneous refrigeration product energy conservation standard.

Replacement ballast means a ballast that—

(1) Is designed for use to replace an existing fluorescent lamp ballast in a previously installed luminaire;

(2) Is marked ''FOR REPLACEMENT USE ONLY'';

(3) Is shipped by the manufacturer in packages containing not more than 10 fluorescent lamp ballasts; and

(4) Has output leads that when fully extended are a total length that is less than the length of the lamp with which the ballast is intended to be operated.

Residential straight-shaped lamp means a low pressure mercury electric-discharge source in which a fluorescing coating transforms some of the ultraviolet energy generated by the mercury discharge into light, including a straight-shaped fluorescent lamp with medium bi-pin bases of nominal overall length of 48 inches and is either designed exclusively for residential applications; or designed primarily and marketed exclusively for residential applications.

(1) A lamp is designed exclusively for residential applications if it will not function for more than 100 hours with a commercial high-power-factor ballast.

(2) A lamp is designed primarily and marketed exclusively for residential applications if it:

(i) Is permanently and clearly marked as being for residential use only;

(ii) Has a life of 6,000 hours or less when used with a commercial high-power-factor ballast;

(iii) Is not labeled or represented as a replacement for a fluorescent lamp that is a covered product; and

(iv) Is marketed and distributed in a manner designed to minimize use of the lamp with commercial high-power-factor ballasts.

(3) A manufacturer may market and distribute a lamp in a manner designed to minimize use of the lamp with commercial high-power-factor ballasts by:

(i) Packaging and labeling the lamp in a manner that clearly indicates the lamp is for residential use only and includes appropriate instructions concerning proper and improper use; if the lamp is included in a catalog or price list that also includes commercial/industrial lamps, listing the lamp in a separate residential section accompanied by notes about proper use on the same page; and providing as part of any express warranty accompanying the lamp that improper use voids such warranty; or

(ii) Using other comparably effective measures to minimize use with commercial high-power-factor ballasts.

Room air conditioner means a window-mounted or through-the-wall-mounted encased assembly, other than a ''packaged terminal air conditioner,'' that delivers cooled, conditioned air to an enclosed space, and is powered by single-phase electric current. It includes a source of refrigeration and may include additional means for ventilating and heating.

Rough or vibration service incandescent reflector lamp means a reflector lamp: in which a C–11 (5 support), C–17 (8 support), or C–22 (16 support) filament is mounted (the number of support excludes lead wires); in which the filament configuration is as shown in Chapter 6 of the 1993 *Illuminating Engineering Society of North America Lighting Handbook,* 8th Edition (see 10 CFR 430.22); and that is designated and marketed specifically for rough or vibration service applications.

Rough service lamp means a lamp that—

(1) Has a minimum of 5 supports with filament configurations that are C–7A, C–11, C–17, and C–22 as listed in Figure 6–12 of the IESNA Lighting Handbook (incorporated by reference; *see* § 430.3), or similar configurations where lead wires are not counted as supports; and

(2) Is designated and marketed specifically for 'rough service' applications, with

(i) The designation appearing on the lamp packaging; and

(ii) Marketing materials that identify the lamp as being for rough service.

S-video means a video display interface that transmits analog video over two channels: luma and chroma as defined by IEC 60933–5 Ed. 1.0 (incorporated by reference; see § 430.3).

Safety shower showerhead means a showerhead designed to meet the requirements of ISEA Z358.1 (incorporated by reference, see § 430.3).

Secretary means the Secretary of the Department of Energy.

Security or life safety alarm or surveillance system means:

(1) Equipment designed and marketed to perform any of the following functions (on a continuous basis):

(i) Monitor, detect, record, or provide notification of intrusion or access to real property or physical assets or notification of threats to life safety.

(ii) Deter or control access to real property or physical assets, or prevent the unauthorized removal of physical assets.

(iii) Monitor, detect, record, or provide notification of fire, gas, smoke, flooding, or other physical threats to real property, physical assets, or life safety.

(2) This term does not include any product with a principal function other than life safety, security, or surveillance that:

(i) Is designed and marketed with a built-in alarm or theft-deterrent feature; or

(ii) Does not operate necessarily and continuously in active mode.

Semi-automatic clothes washer means a class of clothes washer that is the same as an automatic clothes washer except that user intervention is required to regulate the water temperature by adjusting the external water faucet valves.

Shatter-resistant lamp, shatter-proof lamp, or *shatter-protected lamp* means a lamp that—

(1) Has a coating or equivalent technology that is compliant with NSF/ANSI 51 (incorporated by reference; *see* § 430.3) and is designed to contain the glass if the glass envelope of the lamp is broken; and

(2) Is designated and marketed for the intended application, with

(i) The designation on the lamp packaging; and

(ii) Marketing materials that identify the lamp as being shatter-resistant, shatter-proof, or shatter-protected.

Showcase lamp means a lamp that has a T shape as specified in ANSI C78.79–2020 (incorporated by reference; see § 430.3), is designed and marketed as a showcase lamp, and has a maximum rated wattage of 75 watts.

Showerhead means a component or set of components distributed in commerce for attachment to a single supply fitting, for spraying water onto a bather, typically from an overhead position, excluding safety shower showerheads.

Sign service lamp means a vacuum type or gas-filled lamp that has sufficiently low bulb temperature to permit exposed outdoor use on high-speed flashing circuits, is designed and marketed as a sign service lamp, and has a maximum rated wattage of 15 watts.

Silver bowl lamp means a lamp that has an opaque reflective coating applied directly to part of the bulb surface that reflects light toward the lamp base and that is designed and marketed as a silver bowl lamp.

Single-duct portable air conditioner means a portable air conditioner that draws all of the condenser inlet air from the conditioned space without the means of a duct, and discharges the condenser outlet air outside the conditioned space through a single duct attached to an adjustable window bracket.

Siphonic action means the movement of water through a flushing fixture by creating a siphon to remove waste material.

Siphonic bowl means a water closet bowl that has an integral flushing rim, a trap at the front or rear, and a floor or wall outlet, and operates with a siphonic action (with or without a jet).

Small-duct high-velocity (SDHV) electric furnace means an electric furnace that:

(1) Is designed for, and produces, at least 1.2 inches of external static pressure when operated at the certified air volume rate of 220–350 CFM per rated ton of cooling in the highest default cooling airflow-control setting; and

(2) When applied in the field, uses high velocity room outlets generally greater than 1,000 fpm that have less than 6.0 square inches of free area.

Small-duct high-velocity (SDHV) modular blower means a modular blower that:

(1) Is designed for, and produces, at least 1.2 inches of external static pressure when operated at the certified air volume rate of 220–350 CFM per rated ton of cooling in the highest default cooling airflow-controls setting; and

(2) When applied in the field, uses high velocity room outlets generally greater than 1,000 fpm that have less than 6.0 square inches of free area.

Space constrained product means a central air conditioner or heat pump:

(1) That has rated cooling capacities no greater than 30,000 BTU/hr;

(2) That has an outdoor or indoor unit having at least two overall exterior dimensions or an overall displacement that:

(i) Is substantially smaller than those of other units that are:

(A) Currently usually installed in site-built single family homes; and

(B) Of a similar cooling, and, if a heat pump, heating capacity; and

(ii) If increased, would certainly result in a considerable increase in the usual cost of installation or would certainly result in a significant loss in the utility of the product to the consumer; and

(3) Of a product type that was available for purchase in the United States as of December 1, 2000.

Specialty application mercury vapor lamp ballast means a mercury vapor lamp ballast that—

(1) Is designed and marketed for operation of mercury vapor lamps used in quality inspection, industrial processing, or scientific use, including fluorescent microscopy and ultraviolet curing; and

(2) In the case of a specialty application mercury vapor lamp ballast, the label of which—

(i) Provides that the specialty application mercury vapor lamp ballast is 'For specialty applications only, not for general illumination'; and

(ii) Specifies the specific applications for which the ballast is designed.

Specialty MR lamp means a lamp that has an MR shape as defined in ANSI C78.79–2020 (incorporated by reference; see § 430.3), a diameter of less than or equal to 2.25 inches, a lifetime of less than or equal to 300 hours, and that is designed and marketed for a specialty application.

Standby mode means the condition in which an energy-using product—

(1) Is connected to a main power source; and

(2) Offers one or more of the following user-oriented or protective functions:

(i) To facilitate the activation or deactivation of other functions (including active mode) by remote switch (including remote control), internal sensor, or timer; or

(ii) Continuous functions, including information or status displays (including clocks) or sensor-based functions.

State means a State, the District of Columbia, Puerto Rico, or any territory or possession of the United States.

State regulation means a law or regulation of a State or political subdivision thereof.

Supplementary electric heater means an electric heater that provides heat to a space in addition to that which is supplied by a primary electric heater and includes portable electric heaters.

Surface unit means either a heating unit mounted in a cooking top, or a heating source and its associated heated area of the cooking top, on which vessels are placed for the cooking or heating of food.

Tabletop water heater means a water heater in a rectangular box enclosure designed to slide into a kitchen countertop space with typical dimensions of 36 inches high, 25 inches deep, and 24 inches wide, and with a certified first-hour rating that results in either the very small draw pattern or the low draw pattern, as specified in Table I in section 5.4.1 of appendix E to subpart B of this part.

Television set or TV means a product designed to produce dynamic video, contains an internal TV tuner encased within the product housing, and that is capable of receiving dynamic visual content from wired or wireless sources including but not limited to:

(1) Broadcast and similar services for terrestrial, cable, satellite, and/or broadband transmission of analog and/or digital signals; and/or

(2) Display-specific data connections, such as HDMI, Component video, S-video, Composite video; and/or

(3) Media storage devices such as a USB flash drive, memory card, or a DVD; and/or

(4) Network connections, usually using Internet Protocol, typically carried over Ethernet or Wi-Fi.

Through-the-wall central air conditioner means a central air conditioner that is designed to be installed totally or partially within a fixed-size opening in an exterior wall, and:

(1) Is not weatherized;

(2) Is clearly and permanently marked for installation only through an exterior wall;

(3) Has a rated cooling capacity no greater than 30,000 Btu/hr;

(4) Exchanges all of its outdoor air across a single surface of the equipment cabinet; and

(5) Has a combined outdoor air exchange area of less than 800 square inches (split systems) or less than 1,210 square inches (single packaged systems) as measured on the surface described in paragraph (4) of this definition.

Through-the-wall central air conditioning heat pump means a heat pump that is designed to be installed totally or partially within a fixed-size opening in an exterior wall, and:

(1) Is not weatherized;

(2) Is clearly and permanently marked for installation only through an exterior wall;

(3) Has a rated cooling capacity no greater than 30,000 Btu/hr;

(4) Exchanges all of its outdoor air across a single surface of the equipment cabinet; and

(5) Has a combined outdoor air exchange area of less than 800 square inches (split systems) or less than 1,210 square inches (single packaged systems) as measured on the surface described in paragraph (4) of this definition.

Torchiere means a portable electric lamp with a reflector bowl that directs light upward to give indirect illumination.

Traffic signal lamp means a lamp that is designed and marketed for traffic signal applications and has a lifetime of 8,000 hours or greater.

Trough-type urinal means a urinal designed for simultaneous use by two or more people.

Unvented gas heater means a class of unvented home heating equipment which is a self-contained, free-standing, nonrecessed gas-burning appliance that furnishes heated air by gravity or fan circulation.

Unvented home heating equipment or unvented heater means a class of home heating equipment, not including furnaces, designed to furnish heated air to a space proximate to such heater, directly from the heater, without inlet duct connections and without exhaust venting, and includes: Electric heater, unvented gas heater, and unvented oil heater.

Unvented oil heater means a class of unvented home heating equipment which is a self-contained, free-standing, nonrecessed oil-burning appliance that furnishes heated air by gravity or fan circulation.

Urinal means a plumbing fixture which receives only liquid body waste and, on demand, conveys the waste through a trap seal into a gravity drainage system, except such term does not include fixtures designed for installations in prisons.

Vented floor furnace means a self-contained vented heater suspended from the floor of the space being heated, taking air for combustion from outside this space. The vented floor furnace supplies heated air circulated by gravity or by a fan directly into the space to be heated through openings in the casing.

Vented home heating equipment or vented heater means a class of home heating equipment, not including furnaces, designed to furnish heated air to a space proximate to such heater, directly from the heater, without inlet duct connections (except that boots not to exceed 10 inches beyond the casing may be permitted), and with exhaust venting, and includes: Vented wall furnace, vented floor furnace, and vented room heater.

Vented room heater means a self-contained, free standing, nonrecessed, vented heater for furnishing heated air to the space in which it is installed. The vented room heater supplies heated air circulated by gravity or by a fan directly into the space to be heated through openings in the casing.

Vented wall furnace means a self-contained vented heater complete with grilles or the equivalent, designed for incorporation in, or permanent attachment to, a wall of a residence and furnishing heated air circulated by gravity or by a fan directly into the space to be heated through openings in the casing.

Vibration service lamp means a lamp that—

(1) Has filament configurations that are C–5, C–7A, or C–9, as listed in Figure 6–12 of the IESNA Lighting Handbook (incorporated by reference; *see* § 430.3) or similar configurations;

(2) Has a maximum wattage of 60 watts;

(3) Is sold at retail in packages of 2 lamps or less; and

(4) Is designated and marketed specifically for vibration service or vibration-resistant applications, with—

(i) The designation appearing on the lamp packaging; and

(ii) Marketing materials that identify the lamp as being vibration service only.

Voltage range means a band of operating voltages as marked on an incandescent lamp, indicating that the lamp is designed to operate at any voltage within the band.

Wall electric heater means an electric heater (excluding baseboard electric heaters) which is intended to be recessed in or surface mounted on walls, which transfers heat by radiation and/or convection (either natural or forced) and which includes forced convectors, natural convectors, radiant heaters, high wall or valance heaters.

Water closet means a plumbing fixture that has a water-containing receptor which receives liquid and solid body waste, and upon actuation, conveys the waste through an exposed integral trap seal into a gravity drainage system, except such term does not include fixtures designed for installation in prisons.

Water heater means a product which utilizes oil, gas, or electricity to heat potable water for use outside the heater upon demand, including—

(1) Storage type units which heat and store water at a thermostatically controlled temperature, including gas storage water heaters with an input of 75,000 Btu per hour or less, oil storage water heaters with an input of 105,000 Btu per hour or less, and electric storage water heaters with an input of 12 kilowatts or less;

(2) Instantaneous type units which heat water but contain no more than one gallon of water per 4,000 Btu per hour of input, including gas instantaneous water heaters with an input of 200,000 Btu per hour or less, oil instantaneous water heaters with an input of 210,000 Btu per hour or less, and electric instantaneous water heaters with an input of 12 kilowatts or less; and

(3) Heat pump type units, with a maximum current rating of 24 amperes at a voltage no greater than 250 volts, which are products designed to transfer thermal energy from one temperature level to a higher temperature level for the purpose of heating water, including all ancillary equipment such as fans, storage tanks, pumps, or controls necessary for the device to perform its function.

Water use means the quantity of water flowing through a showerhead, faucet, water closet, or urinal at point of use, determined in accordance with test procedures under appendices S and T of subpart B of this part.

Weatherized warm air furnace or boiler means a furnace or boiler designed for installation outdoors, approved for resistance to wind, rain, and snow, and supplied with its own venting system.

Whole-home dehumidifier means a dehumidifier that, in accordance with any manufacturer instructions available to a consumer, operates with ducting to deliver return process air to its inlet and to supply dehumidified process air from its outlet to one or more locations in the dehumidified space.

[42 FR 27898, June 1, 1977]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting § 430.2, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at *www.govinfo.gov*.

§ 430.3 Materials incorporated by reference.

(a) Certain material is incorporated by reference into this part with the approval of the Director of the Federal Register under 5 U.S.C. 552(a) and 1 CFR part 51. To enforce any edition other than that specified in this section, the U.S. Department of Energy (DOE) must publish a document in the FEDERAL REGISTER and the material must be available to the public. All approved incorporation by reference (IBR) material is available for inspection at the Department of Energy (DOE) and at the National Archives and Records Administration (NARA). Contact DOE at: The U.S. Department

of Energy, Office of Energy Efficiency and Renewable Energy, Building Technologies Office, EE–5B, 1000 Independence Avenue SW, Washington, DC 20585–0121, (202) 586–9127, *Buildings@ee.doe.gov*, *www.energy.gov/eere/buildings/appliance-and-equipment-standards-program*. For information on the availability of this material at NARA, visit *www.archives.gov/federal-register/cfr/ibr-locations.html* or email *fr.inspection@nara.gov*. The material may be obtained from the sources in the following paragraphs of this section.

(b) Air Movement and Control Association International, Inc. (AMCA), 30 West University Drive, Arlington Heights, IL 60004, (847) 394–0150, or by going to *https://www.amca.org/store/item.aspx?ItemId=81*.

(1) ANSI/AMCA 210–99, *Laboratory Methods of Testing Fans for Aerodynamic Performance Rating*, ANSI-approved December 2, 1999; IBR approved for appendices CC and CC1 to subpart B. (Co-published as ANSI/ASHRAE 51–1999.)

(2) ANSI/ASHRAE 51–07/ANSI/AMCA 210–07 (''ANSI/AMCA 210''), Laboratory Methods of Testing Fans for Certified Aerodynamic Performance Rating, AMCA approved July 28, 2006; IBR approved for appendix X1 to subpart B.

(3) ANSI/AMCA Standard 208–18, (''AMCA 208–18''), Calculation of the Fan Energy Index, ANSI approved January 24, 2018, IBR approved for appendix U to this subpart.

(4) ANSI/AMCA 210–07, ANSI/ASHRAE 51–07 (''AMCA 210–2007''), Laboratory Methods of Testing Fans for Certified Aerodynamic Performance Rating, ANSI approved August 17, 2007, Section 8—Report and Results of Test, Section 8.2—Performance graphical representation of test results, IBR approved for appendices M and M1 to subpart B, as follows:

(i) Figure 2A—Static Pressure Tap, and

(ii) Figure 12—Outlet Chamber Setup—Multiple Nozzles in Chamber.

(5) ANSI/AMCA Standard 230–15 (''AMCA 230–15''), *Laboratory Methods of Testing Air Circulating Fans for Rating and Certification*, ANSI-approved October 16, 2015; IBR approved for appendix U of subpart B.

(6) AMCA 230–15 Technical Errata 2021–05–05 (''AMCA 260–15 TE), *Technical Errata Sheet for ANSI/AMCA Standard 230–15: Density Corrections*, dated May 5, 2021; IBR approved for appendix U of subpart B.

(c) *AHRI*. Air-Conditioning, Heating, and Refrigeration Institute, 2111 Wilson Blvd, Suite 500, Arlington, VA 22201, 703–524–8800, or go to *https://www.ahrinet.org*.

(1) ANSI/AHRI 210/240–2008 with Addenda 1 and 2 (''AHRI 210/240–2008''), 2008 Standard for Performance Rating of Unitary Air-Conditioning & Air-Source Heat Pump Equipment, ANSI approved October 27, 2011 (Addendum 1 dated June 2011 and Addendum 2 dated March 2012), IBR approved for appendices M and M1 to subpart B, as follows:

(i) Section 6—Rating Requirements, Section 6.1—Standard Ratings, 6.1.3—Standard Rating Tests, 6.1.3.2—Electrical Conditions;

(ii) Section 6—Rating Requirements, Section 6.1—Standard Ratings, 6.1.3—Standard Rating Tests, 6.1.3.4—Outdoor-Coil Airflow Rate;

(iii) Section 6—Rating Requirements, Section 6.1—Standard Ratings, 6.1.3—Standard Rating Tests, 6.1.3.5—Requirements for Separated Assemblies;

(iv) Figure D1—Tunnel Air Enthalpy Test Method Arrangement;

(v) Figure D2—Loop Air Enthalpy Test Method Arrangement; and

(vi) Figure D4—Room Air Enthalpy Test Method Arrangement.

(2) AHRI Standard 1160–2009 (''AHRI 1160''), Performance Rating of Heat Pump Pool Heaters, 2009, IBR approved for appendix P to subpart B.

(3) ANSI/AHRI 1230–2010 with Addendum 2 (''AHRI 1230–2010''), 2010 Standard for Performance Rating of Variable Refrigerant Flow (VRF) Multi-Split Air-Conditioning and Heat Pump Equipment (including Addendum 1 dated March 2011), ANSI approved August 2, 2010 (Addendum 2 dated June 2014), IBR approved for appendices M and M1 to subpart B, as follows:

(i) Section 3—Definitions (except 3.8, 3.9, 3.13, 3.14, 3.15, 3.16, 3.23, 3.24, 3.26, 3.27, 3.28, 3.29, 3.30, and 3.31);

(ii) Section 5—Test Requirements, Section 5.1 (untitled), 5.1.3–5.1.4;

(iii) Section 6—Rating Requirements, Section 6.1—Standard Ratings, 6.1.5—Airflow Requirements for Systems with Capacities <65,000 Btu/h [19,000 W];

(iv) Section 6—Rating Requirements, Section 6.1—Standard Ratings, 6.1.6—Outdoor-Coil Airflow Rate (Applies to all Air-to-Air Systems);

(v) Section 6—Rating Requirements, Section 6.2—Conditions for Standard Rating Test for Air-cooled Systems < 65,000 Btu/h [19,000W] (except Table 8); and

(vi) Table 4—Refrigerant Line Length Correction Factors.

(d) *AATCC*. American Association of Textile Chemists and Colorists, P.O. Box 12215, Research Triangle Park, NC 27709, (919) 549–3526, or go to *www.aatcc.org*.

(1) AATCC Test Method 79–2010, Absorbency of Textiles, Revised 2010, IBR approved for Appendix J3 to Subpart B.

(2) AATCC Test Method 118–2007, Oil Repellency: Hydrocarbon Resistance Test, Revised 2007, IBR approved for Appendix J3 to Subpart B.

(3) AATCC Test Method 135–2010, Dimensional Changes of Fabrics after Home Laundering, Revised 2010, IBR approved for Appendix J3 to Subpart B.

(e) *ANSI*. American National Standards Institute, 25 W. 43rd Street, 4th Floor, New York, NY 10036, 212–642–4900, or go to *https://www.ansi.org*.

(1) ANSI C78.3–1991 (''ANSI C78.3''), American National Standard for Fluorescent Lamps-Instant-start and Cold-Cathode Types-Dimensional and Electrical Characteristics, approved July 15, 1991; IBR approved for § 430.32.

(2) ANSI C78.20–2003, Revision of ANSI C78.20–1995 (''ANSI C78.20''), American National Standard for electric lamps—A, G, PS, and Similar Shapes with E26 Medium Screw Bases, approved October 30, 2003; IBR approved for § 430.2.

(3) ANSI C78.21–1989, American National Standard for Electric Lamps—PAR and R Shapes, approved March 3, 1989, IBR approved for § 430.2.

(4) ANSI C78.21–2011 (R2016) (''ANSI C78.21–2016''), *American National Standard for Electric Lamps—PAR and R Shapes*, ANSI-approved August 23, 2016; IBR approved for § 430.2.

(5) ANSI C78.79–2014 (R2020) (''ANSI C78.79–2020''), *American National Standard for Electric Lamps—Nomenclature for Envelope Shapes Intended for Use with Electric Lamps*, ANSI-approved January 17, 2020; IBR approved for § 430.2.

(6) ANSI_ANSLG C78.81–2010, (''ANSI C78.81–2010''), American National Standard for Electric Lamps—Double-Capped Fluorescent Lamps— Dimensional and Electrical Characteristics, approved January 14, 2010, IBR approved for §§ 430.2 and 430.32 and appendix R to subpart B.

(7) ANSI C78.81–2016, American National Standard for Electric Lamps—Double-Capped Fluorescent Lamps—Dimensional and Electrical Characteristics, approved June 29, 2016, IBR approved for appendices Q and R to subpart B.

(8) ANSI C78.375–1997, Revision of ANSI C78.375–1991 (''ANSI C78.375''), American National Standard for Fluorescent Lamps—Guide for Electrical Measurements, first edition, approved September 25, 1997; IBR approved for appendix R to subpart B.

(9) ANSI C78.375A–2014 (R2020) (''ANSI C78.375A–2020'') *American National Standard for Electric Lamps—Fluorescent Lamps—Guide for Electrical Measures*, ANSI-approved January 17, 2020; IBR approved for appendix R to subpart B.

(10) ANSI_IEC C78.901–2005, (''ANSI C78.901–2005''), American National Standard for Electric Lamps—Single-Based Fluorescent Lamps—Dimensional and Electrical Characteristics, approved March 23, 2005; IBR approved for § 430.2 and appendix R to subpart B.

(11) ANSI C78.901–2014, American National Standard for Electric Lamps—Single-Based Fluorescent Lamps—Dimensional and Electrical Characteristics, ANSI approved July 2, 2014; IBR approved for appendix W to subpart B.

(12) ANSI/NEMA C78.901–2016 (''ANSI C78.901–2016''), American National Standard for Electric Lamps—Single-Based Fluorescent Lamps—Dimensional and Electrical Characteristics, ANSI approved August 23, 2016, IBR approved for appendices Q and R to subpart B.

(13) ANSI C79.1–1994, American National Standard for Nomenclature for Glass Bulbs—Intended for Use with Electric Lamps, approved March 24, 1994, IBR approved for § 430.2.

(14) ANSI C79.1–2002, American National Standard for Electric Lamps—Nomenclature for Glass Bulbs Intended for Use with Electric Lamps, approved September 16, 2002, IBR approved for § 430.2.

(15) ANSI__ANSLG__ C81.61–2006, Revision of ANSI C81.61–2005, (''ANSI C81.61''), American National Standard for electrical lamp bases—Specifications for Bases (Caps) for Electric Lamps, approved August 25, 2006, IBR approved for §§ 430.2; 430.32.

(16) ANSI C82.1–2004 (R2008, R2015), (''ANSI C82.1''), American National Standard for Lamp Ballasts—Line Frequency Fluorescent Lamp Ballasts, approved November 20, 2015; IBR approved for appendix Q to subpart B.

(17) ANSI C82.2–2002 (R2007, R2016), (''ANSI C82.2''), American National Standard for Lamp Ballasts—Method of Measurement of Fluorescent Lamp Ballasts, approved July 12, 2016, IBR approved for appendix Q to subpart B.

(18) ANSI C82.3–2016, (''ANSI C82.3''), American National Standard for Reference Ballasts for Fluorescent Lamps, approved April 8, 2016; IBR approved for appendices Q and R to subpart B.

(19) ANSI/NEMA C82.11–2017, (''ANSI C82.11''), American National Standard for Lamp Ballasts—High-Frequency Fluorescent Lamp Ballasts, approved January 23, 2017; IBR approved for appendix Q to subpart B.

(20) ANSI C82.13–2002 (''ANSI C82.13''), American National Standard for Lamp Ballasts—Definitions for Fluorescent Lamps and Ballasts, approved July 23, 2002; IBR approved for appendix Q to subpart B.

(21) ANSI C82.77–2002, (''ANSI C82.77'') Harmonic Emission Limits—Related Power Quality Requirements for Lighting Equipment, approved January 17, 2002; IBR approved for appendix Q to subpart B.

(22) ANSI/NEMA WD 6–2016, *Wiring Devices—Dimensional Specifications*, ANSI approved February 11, 2016, IBR approved for appendices Y and Y1 to subpart B; as follows:

(i) Figure 1–15—Plug and Receptacle; and

(ii) Figure 5–15—Plug and Receptacle.

(23) ANSI Z21.56–2006, section 2.10 (''ANSI Z21.56''), Standard for Gas-Fired Pool Heaters, approved December 13, 2005, IBR approved for appendix P to subpart B.

(24) ANSI Z21.50–2007 (CSA 2.22–2007), (''ANSI Z21.50''), Vented Gas Fireplaces, Fifth Edition, Approved February 22, 2007, IBR approved for § 430.2.

(25) [Reserved]

(26) ANSI Z21.88–2009 (CSA 2.33–2009), (''ANSI Z21.88''), Vented Gas Fireplace Heaters, Fifth Edition, Approved March 26, 2009, IBR approved for § 430.2.

NOTE 1 TO PARAGRAPH (e): The standards referenced in paragraphs (e)(4), (5), (7), (9), (12), (16), (17), (18), (19), and (21) of this section were all published by National Electrical Manufacturers Association (NEMA) and are also available from National Electrical Manufacturers Association, 1300 North 17th Street, Suite 900, Rosslyn, Virginia 22209, *https://www.nema.org/Standards/Pages/default.aspx*.

(f) *AS/NZS*. Australian/New Zealand Standard, GPO Box 476, Sydney NSW 2001, (02) 9237–6000 or (12) 0065–4646, or go to *www.standards.org.au/*Standards New Zealand, Level 10 Radio New Zealand House 144 The Terrace Wellington 6001 (Private Bag 2439 Wellington 6020), (04) 498–5990 or (04) 498–5991, or go to *www.standards.co.nz*.

(1) AS/NZS 4474.1:2007, Performance of Household Electrical Appliances—Refrigerating Appliances; Part 1: Energy Consumption and Performance, Second edition, published August 15, 2007, IBR approved for Appendix A to Subpart B.

(2) [Reserved]

(g) *ASHRAE*. American Society of Heating, Refrigerating, and Air-Conditioning Engineers, Inc., 180 Technology Parkway NW, Peachtree Corners, GA 30092; (800) 527–4723 or (404) 636–8400; *www.ashrae.org*.

(1) ANSI/ASHRAE Standard 16–2016 (''ANSI/ASHRAE 16''), Method of Testing for Rating Room Air Conditioners, Packaged Terminal Air Conditioners, and Packaged Terminal Heat Pumps for Cooling and Heating Capacity, ANSI approved November 1, 2016, IBR approved for appendix F to subpart B.

(2) ANSI/ASHRAE 23.1–2010, (''ASHRAE 23.1–2010''), Methods of Testing for Rating the Performance of Positive Displacement Refrigerant Compressors and Condensing Units

that Operate at Subcritical Temperatures of the Refrigerant, ANSI approved January 28, 2010, IBR approved for appendices M and M1 to subpart B, as follows:

(i) Section 5—Requirements;

(ii) Section 6—Instruments;

(iii) Section 7—Methods of Testing; and

(iv) Section 8—Compressor Testing.

(3) ANSI/ASHRAE Standard 37–2009 (''ASHRAE 37–2009''), *Methods of Testing for Rating Electrically Driven Unitary Air-Conditioning and Heat Pump Equipment*, ANSI-approved June 25, 2009; IBR approved for appendices CC and CC1 to subpart B.

(4) ANSI/ASHRAE Standard 37–2009, (''ANSI/ASHRAE 37–2009''), Methods of Testing for Rating Electrically Driven Unitary Air-Conditioning and Heat Pump Equipment, ANSI approved June 25, 2009, IBR approved for appendices M and M1 to subpart B, as follows:

(i) Section 5—Instruments, Section 5.1—Temperature Measuring Instruments: 5.1.1;

(ii) Section 5—Instruments, Section 5.2—Refrigerant, Liquid, and Barometric Pressure Measuring Instruments;

(iii) Section 5—Instruments, Section 5.5—Volatile Refrigerant Flow Measurement;

(iv) Section 6—Airflow and Air Differential Pressure Measurement Apparatus, Section 6.1—Enthalpy Apparatus (Excluding Figure 3): 6.1.1–6.1.2 and 6.1.4;

(v) Section 6—Airflow and Air Differential Pressure Measurement Apparatus, Section 6.2—Nozzle Airflow Measuring Apparatus (Excluding Figure 5);

(vi) Section 6—Airflow and Air Differential Pressure Measurement Apparatus, Section 6.3—Nozzles (Excluding Figure 6);

(vii) Section 6—Airflow and Air Differential Pressure Measurement Apparatus, Section 6.4—External Static Pressure Measurements;

(viii) Section 6—Airflow and Air Differential Pressure Measurement Apparatus, Section 6.5—Recommended Practices for Static Pressure Measurements;

(ix) Section 7—Methods of Testing and Calculation, Section 7.3—Indoor and Outdoor Air Enthalpy Methods (Excluding Table 1);

(x) Section 7—Methods of Testing and Calculation, Section 7.4—Compressor Calibration Method;

(xi) Section 7—Methods of Testing and Calculation, Section 7.5—Refrigerant Enthalpy Method;

(xii) Section 7—Methods of Testing and Calculation, Section 7.7—Airflow Rate Measurement, Section 7.7.2—Calculations—Nozzle Airflow Measuring Apparatus (Excluding Figure 10), 7.7.2.1–7.7.2.2;

(xiii) Section 8—Test Procedures, Section 8.1—Test Room Requirements: 8.1.2–8.1.3;

(xiv) Section 8—Test Procedures, Section 8.2—Equipment Installation;

(xv) Section 8—Test Procedures, Section 8.6—Additional Requirements for the Outdoor Air Enthalpy Method, Section 8.6.2;

(xvii) Section 8—Test Procedures, Section 8.6—Additional Requirements for the Outdoor Air Enthalpy Method, Table 2a—Test Tolerances (SI Units), and

(xviii) Section 8—Test Procedures, Section 8.6—Additional Requirements for the Outdoor Air Enthalpy Method, Table 2b—Test Tolerances (I–P Units);

(xix) Section 9—Data to be Recorded, Section 9.2—Test Tolerances; and

(xx) Section 9—Data to be Recorded, Table 3—Data to be Recorded.

(5) ANSI/ASHRAE Standard 37–2009 (RA 2019) (''ASHRAE 37–2009 (RA 2019)''), *Methods of Testing for Rating Electrically Driven Unitary Air-Conditioning and Heat Pump Equipment*, ASHRAE-approved June 21, 2019; IBR approved for appendix AA to subpart B.

(6) ANSI/ASHRAE Standard 37–2009 Errata Sheet (''ASHRAE 37–2009 Errata Sheet''), *Errata Sheet for ANSI/ASHRAE Standard 37–2009—Methods of Testing for Rating Electrically Driven Unitary Air-Conditioning and Heat Pump Equipment*, ASHRAE-approved March 27, 2019; IBR approved for appendix AA to subpart B.

(7) ASHRAE 41.1–1986 (Reaffirmed 2006) (''ASHRAE 41.1–1986''), *Standard Method for Temperature Measurement*, approved February 18, 1987; IBR approved for appendices AA, CC, and CC1 to subpart B.

(8) ANSI/ASHRAE 41.1–2013 (''ANSI/ASHRAE 41.1''), Standard Method for

Temperature Measurement, ANSI approved January 30, 2013; IBR approved for appendices F and X1 to subpart B.

(9) ANSI/ASHRAE Standard 41.1–2013, (''ANSI/ASHRAE 41.1–2013''), Standard Method for Temperature Measurement, ANSI approved January 30, 2013, IBR approved for appendix M to subpart B, as follows:

(i) Section 4—Classifications;

(ii) Section 5—Requirements, Section 5.3—Airstream Temperature Measurements;

(iii) Section 6—Instruments; and

(iv) Section 7—Temperature Test Methods (Informative).

(10) ANSI/ASHRAE Standard 41.1–2020 (''ASHRAE 41.1–2020''), *Standard Methods for Temperature Measurement,* ANSI-approved June 30, 2020; IBR approved for appendix E to subpart B.

(11) ANSI/ASHRAE Standard 41.2–1987 (RA 92), (''ASHRAE 41.2–1987 (RA 1992)''), Standard Methods for Laboratory Airflow Measurement, ANSI reaffirmed April 20, 1992, IBR approved for appendix F to subpart B.

(12) ANSI/ASHRAE Standard 41.2–1987 (RA 1992), (''ASHRAE 41.2–1987 (RA 1992)''), Standard Methods for Laboratory Airflow Measurement, ANSI reaffirmed April 20, 1992, Section 5—Section of Airflow-Measuring Equipment and Systems, IBR approved for appendix M to subpart B, as follows:

(i) Section 5.2—Test Ducts,, Section 5.2.2—Mixers, 5.2.2.1—Performance of Mixers (excluding Figures 11 and 12 and Table 1); and

(ii) Figure 14—Outlet Chamber Setup for Multiple Nozzles in Chamber.

(13) ANSI/ASHRAE Standard 41.3–2014, (''ASHRAE 41.3–2014''), Standard Methods for Pressure Measurement, ANSI approved July 3, 2014, IBR approved for appendix F to subpart B.

(14) ANSI/ASHRAE Standard 41.6–1994 (RA 2006) (''ASHRAE 41.6–1994''), *Standard Method for Measurement of Moist Air Properties,* ANSI-reaffirmed January 27, 2006; IBR approved for appendices CC and CC1 to subpart B.

(15) ANSI/ASHRAE Standard 41.6–2014, (''ASHRAE 41.6–2014''), Standard Method for Humidity Measurement, ANSI approved July 3, 2014, IBR approved for appendices E, F, and EE to subpart B.

(16) ANSI/ASHRAE Standard 41.6–2014, (''ASHRAE 41.6–2014''), Standard Method for Humidity Measurement, ANSI approved July 3, 2014, IBR approved for appendix M to subpart B, as follows:

(i) Section 4—Classifications;

(ii) Section 5—Requirements;

(iii) Section 6—Instruments and Calibration; and

(iv) Section 7—Humidity Measurement Methods.

(17) ANSI/ASHRAE 41.9–2011, (''ASHRAE 41.9–2011''), Standard Methods for Volatile-Refrigerant Mass Flow Measurements Using Calorimeters, ANSI approved February 3, 2011, IBR approved for appendix M to subpart B, as follows:

(i) Section 5—Requirements;

(ii) Section 6—Instruments;

(iii) Section 7—Secondary Refrigerant Calorimeter Method;

(iv) Section 8—Secondary Fluid Calorimeter Method;

(v) Section 9—Primary Refrigerant Calorimeter Method; and

(vi) Section 11—Lubrication Circulation Measurements.

(18) ANSI/ASHRAE Standard 41.11–2014, (''ASHRAE 41.11–2014''), Standard Methods for Power Measurement, ANSI approved July 3, 2014, IBR approved for appendix F to subpart B.

(19) ANSI/ASHRAE Standard 103–1993, (''ASHRAE 103–1993''), Methods of Testing for Annual Fuel Utilization Efficiency of Residential Central Furnaces and Boilers, (with Errata of October 24, 1996), except for sections 7.1, 7.2.2.2, 7.2.2.5, 7.2.3.1, 7.8, 8.2.1.3, 8.3.3.1, 8.4.1.1, 8.4.1.1.2, 8.4.1.2, 8.4.2.1.4, 8.4.2.1.6, 8.6.1.1, 8.7.2, 8.8.3, 9.1.2.2.1, 9.1.2.2.2, 9.5.1.1, 9.5.1.2.1, 9.5.1.2.2, 9.5.2.1, 9.7.1, 9.7.4, 9.7.6, 9.10, 11.5.11.1, 11.5.11.2 and appendices B and C, approved October 4, 1993, IBR approved for § 430.23 and appendix N to subpart B.

(20) ANSI/ASHRAE Standard 103–2017 (''ASHRAE 103–2017''), Method of Testing for Annual Fuel Utilization Efficiency of Residential Central Furnaces and Boilers, ANSI-approved July 3, 2017; IBR approved for § 430.23 and appendices O, AA, and EE to subpart B.

(21) ANSI/ASHRAE Standard 116–2010, (''ASHRAE 116–2010''), Methods of Testing for Rating Seasonal Efficiency of Unitary Air Conditioners and Heat

Pumps, ANSI approved February 24, 2010, Section 7—Methods of Test, Section 7.4—Air Enthalpy Method—Indoor Side (Primary Method), Section 7.4.3—Measurements, Section 7.4.3.4—Temperature, Section 7.4.3.4.5, IBR approved for appendices M and M1 to subpart B.

(22) ANSI/ASHRAE Standard 118.2–2022 (''ASHRAE 118.2–2022''), *Method of Testing for Rating Residential Water Heaters and Residential-Duty Commercial Water Heaters,* ANSI-approved March 1, 2022; IBR approved for appendix E to subpart B.

(23) ANSI/ASHRAE Standard 146–2011 (''ASHRAE 146''), Method of Testing and Rating Pool Heaters, ASHRAE approved February 2, 2011, IBR approved for appendix P to subpart B.

(24) 2021 ASHRAE Handbook—Fundamentals Inch-Pound Edition, Chapter 1, ''Psychrometrics'' (''2021 ASHRAE Handbook''), copyright 2021; IBR approved for appendix AA to subpart B.

(h) *ASME.* American Society of Mechanical Engineers, Three Park Avenue, New York, NY 10016–5990, 1–800 843–2763, or go to *www.asme.org.*

(1) ASME A112.18.1–2018/CSA B125.1–2018, (''ASME A112.18.1''), Plumbing supply fittings, CSA-published July 2018; IBR approved for appendix S to subpart B.

(2) ASME A112.19.2–2008, (''ASME A112.19.2–2008''), ''Ceramic plumbing fixtures,'' sections 7.1, 7.1.1, 7.1.2, 7.1.3, 7.1.4, 7.1.5, 7.4, 8.2, 8.2.1, 8.2.2, 8.2.3, 8.6, Table 5, and Table 6 approved August 2008, including Update No. 1, dated August 2009, and Update No. 2, dated March 2011, IBR approved for § 430.2 and appendix T to subpart B.

(3) ASME A112.19.2–2018/CSA B45.1–18 (''ASME A112.19.2–2018''), ''Ceramic plumbing fixtures'', July 2018 (including Errata—October 2018); IBR approved for appendix T to subpart B.

(i) *AHAM.* Association of Home Appliance Manufacturers, 1111 19th Street NW, Suite 402, Washington, DC 20036, 202–872–5955, or go to *https:////www.aham.org.*

(1) ANSI/AHAM AC–1–2020, (''AHAM AC–1–2020''), *Method for Measuring Performance of Portable Household Electric Room Air Cleaners,* ANSI-approved December 14, 2020, including AHAM Standard Interpretation dated September 19, 2022; IBR approved for appendix FF to subpart B.

(2) AHAM AC–7–2022, *Energy Test Method for Consumer Room Air Cleaners,* copyright 2022; IBR approved for § 430.2 and appendix FF to subpart B.

(3) AHAM DH–1–2022, *Energy Measurement Test Procedure for Dehumidifiers,* copyright 2022; IBR approved for appendix X1 to subpart B.

(4) AHAM DW–1–2020, Uniform Test Method for Measuring the Energy Consumption of Dishwashers, copyright 2020; IBR approved for § 430.32; appendices C1 and C2 to subpart B.

(5) AHAM DW–2–2020, Household Electric Dishwashers, copyright 2020; IBR approved for appendices C1 and C2 to subpart B.

(6) ANSI/AHAM HLD–1–2010 (''AHAM HLD–1''), Household Tumble Type Clothes Dryers, ANSI-approved June 11, 2010, IBR approved for appendices D1 and D2 to subpart B of this part.

(7) AHAM HRF–1–2019 (''HRF–1–2019''), Energy and Internal Volume of Consumer Refrigeration Products, Copyright © 2019, IBR approved for appendices A and B to subpart B of this part.

(8) ANSI/AHAM PAC–1–2015, (''ANSI/AHAM PAC–1–2015''), Portable Air Conditioners, June 19, 2015, IBR approved for appendix CC to subpart B of this part.

(9) AHAM PAC–1–2022, *Energy Measurement Test Procedure for Portable Air Conditioners,* Copyright 2022; IBR approved for appendix CC1 to subpart B of this part.

(10) AHAM RAC–1–2020 (''AHAM RAC–1''), Energy Measurement Test Procedure for Room Air Conditioners, approved 2020, IBR approved for appendix F to subpart B.

(j) *ASTM.* ASTM International, 100 Barr Harbor Drive, P.O. Box C700, West Conshohocken, PA 19428–2959; 877–909–2786; *service@astm.org; www.astm.org.*

(1) ASTM D2156–09 (Reapproved 2013) (''ASTM D2156R13''), *Standard Test Method for Smoke Density in Flue Gases from Burning Distillate Fuels,* approved October 1, 2013; IBR approved for appendix N to subpart B.

(2) ASTM D2156–09 (Reapproved 2018) (''ASTM D2156 (R2018)''), *Standard Test Method for Smoke Density in Flue Gases*

from Burning Distillate Fuels, approved October 1, 2018; IBR approved for appendices E, O, and EE to subpart B.

(3) ASTM E97–82 (Reapproved 1987) (''ASTM E97–1987''), *Standard Test Method for Directional Reflectance Factor, 45-deg 0-deg, of Opaque Specimens by Broad-Band Filter Reflectometry*, ASTM-approved October 29, 1982; IBR approved for appendix E to subpart B.

NOTE 2 TO PARAGRAPH (J)(3): ASTM E97–1987 was withdrawn in 1991. It is reasonably available from standards resellers including GlobalSpec's Engineering 360 (*https://standards.globalspec.com/std/3801495/astm-e97-82-1987*) and IHS Markit (*https://global.ihs.com/doc_detail.cfm?document_name=ASTM%20E97&item_s_key=00020483*).

(4) ASTM E741–11 (Reapproved 2017) (''ASTM E741–11(2017)''), Standard Test Method for Determining Air Change in a Single Zone Means of a Tracer Gas Dilution Approved Sept. 1, 2017; IBR approved for appendix FF to subpart B.

(k) *CSA*. CSA Group, 178 Rexdale Blvd., Toronto, ON, Canada M9W 1R3, 1–800–463–6727 or 416–747–4044, *www.csagroup.org*.

(1) ANSI Z21.86–2016 • CSA 2.32–2016 (''ANSI Z21.86–2016''), Vented gas-fired space heating appliances, ANSI-approved December 21, 2016; IBR approved for appendix O to subpart B.

(2) CSA C374:11 (R2021), Energy performance of hot tubs and spas, published November 2011, Update No. 1—National Standard of Canada—April 2012; IBR approved for appendix GG to subpart B of this part.

(l) *CEA*. Consumer Electronics Association, Technology & Standards Department, 1919 S. Eads Street, Arlington, VA 22202, 703–907–7600, or go to *www.CE.org*.

(1) CEA Standard, CEA–770.3–D, *High Definition TV Analog Component Video Interface*, published February 2008; IBR approved for § 430.2.

(2) [Reserved]

(m) *CIE*. Commission Internationale de l'Eclairage (CIE), Central Bureau, Kegelgasse 27, A–1030, Vienna, Austria, 011 + 43 1 714 31 87 0, or go to *https://www.cie.co.at*.

(1) CIE 13.3–1995 (''CIE 13.3''), Technical Report: Method of Measuring and Specifying Colour Rendering Properties of Light Sources, 1995, ISBN 3 900 734 57 7; IBR approved for § 430.2 and appendices R and W to subpart B.

(2) CIE 15:2004 (''CIE 15''), Technical Report: Colorimetry, 3rd edition, 2004, ISBN 978 3 901906 33 6; IBR approved for appendix W to subpart B.

(3) CIE 015:2018 (''CIE 15:2018''), *Colorimetry*, 4th edition, copyright 2018; IBR approved for the appendix R to subpart B.

(n) CTA. Consumer Technology Association, 1919 S. Eads Street, Arlington, VA 22202; 703–907–7600; *www.cta.tech*.

(1) ANSI/CTA–2037–D, Determination of Television Set Power Consumption, September 2022; IBR approved for appendix H to subpart B.

(2) [Reserved]

(o) *Environmental Protection Agency (EPA)*, ENERGY STAR documents published by the Environmental Protection Agency are available online at *https://www.energystar.gov* or by contacting the Energy Star hotline at 1–888–782–7937.

(1) ENERGY STAR Testing Facility Guidance Manual: Building a Testing Facility and Performing the Solid State Test Method for ENERGY STAR Qualified Ceiling Fans, Version 1.1, approved December 9, 2002, IBR approved for appendix U to subpart B.

(2) Energy Star Program Requirements for Single Voltage External Ac-Dc and Ac-Ac Power Supplies, Eligibility Criteria (Version 2.0), effective date for EPS Manufacturers November 1, 2008, IBR approved for subpart C, § 430.32.

(p) *HDMI®*. High-Definition Multimedia Interface Licensing, LLC, 1140 East Arques Avenue, Suite 100, Sunnyvale, CA 94085, 408–616–1542, or go to *www.hdmi.org*.

(1) HDMI Specification Informational Version 1.0, *High-Definition Multimedia Interface Specification*, published September 4, 2003; IBR approved for § 430.2.

(2) [Reserved]

(q) *IEC*. International Electrotechnical Commission, 3 Rue de Varembe, Case Postale 131, 1211 Geneva 20, Switzerland; *https://webstore.iec.ch/*.

(1) IEC Standard 933–5:1992, (''IEC 60933–5 Ed. 1.0''), *Audio, video and audiovisual systems—Interconnections and matching values—Part 5: Y/C connector for video systems—Electrical matching values and description of the connector*, First Edition, 1992–12; IBR approved for

§ 430.2. (Note: IEC 933–5 is also known as IEC 60933–5.)

(2) IEC 60081:1997/AMD6, (''IEC 60081''), Double-capped fluorescent lamps—Performance specifications (Amendment 6, Edition 5.0, August 2017); IBR approved for appendix Q to subpart B.

(3) IEC 60350–2, (''IEC 60350–2''), *Household electric cooking appliances Part 2: Hobs—Methods for measuring performance*, Edition 2.1, 2021–05; IBR approved for appendix I1 to subpart B.

(4) IEC 62040–3:2021 (''IEC 62040–3 Ed. 3.0'') *Uninterruptible power systems (UPS)—Part 3: Method of specifying the performance and test requirements*, Edition 3.0, 2021–04; IBR approved for appendices Y and Y1 to subpart B.

(5) IEC 62301, *Household electrical appliances—Measurement of standby power*, first edition, June 2005; IBR approved for appendices I, I1 to subpart B.

(6) IEC 62301 (''IEC 62301''), *Household electrical appliances—Measurement of standby power*, (Edition 2.0, 2011–01); IBR approved for appendices C1, C2, D1, D2, F, G, I, I1, J, J2, N, O, P, Q, U, X1, Y, Y1, Z, BB, CC, CC1, EE, and FF to subpart B.

(7) IEC 62301, (''IEC 62301–DD''), Household electrical appliances—Measurement of standby power, (Edition 2.0, 2011–01); Section 5—Measurements, IBR approved for appendix DD to subpart B.

(8) IEC 62301, (''IEC 62301–W''), Household electrical appliances—Measurement of standby power, (Edition 2.0, 2011–01), Section 5—Measurements, IBR approved for appendix W to subpart B.

(r) *IES*. Illuminating Engineering Society (formerly Illuminating Engineering Society of North America—IESNA), 120 Wall Street, Floor 17, New York, NY 10005–4001, 212–248–5000, or go to *www.ies.org*.

(1) *The IESNA Lighting Handbook, Reference & Application*, (''The IESNA Lighting Handbook''), 9th ed., Chapter 6, ''Light Sources,'' July 2000, IBR approved for § 430.2.

(2) IES LM–9–09, (''IES LM–9''), IES Approved Method for the Electrical and Photometric Measurement of Fluorescent Lamps, approved January 31, 2009; IBR approved for § 430.2.

(3) IES LM–9–09 (''IES LM–9–09–DD''), IES Approved Method for the Electrical and Photometric Measurement of Fluorescent Lamps, approved January 31, 2009; IBR approved for appendix DD to subpart B, as follows:

(i) Section 4.0—Ambient and Physical Conditions;

(ii) Section 5.0—Electrical Conditions;

(iii) Section 6.0—Lamp Test Procedures; and

(iv) Section 7.0—Photometric Test Procedures: Section 7.5—Integrating Sphere Measurement.

(4) ANSI/IES LM–9–20 (''IES LM–9–20''), *Approved Method: Electrical and Photometric Measurements of Fluorescent Lamps*, ANSI-approved February 7, 2020; IBR approved for appendices R and V to subpart B.

(5) IESNA LM–16–1993 (''IESNA LM–16''), IESNA Practical Guide to Colorimetry of Light Sources, December 1993, IBR approved for § 430.2.

(6) IES LM–20–13, IES Approved Method for Photometry of Reflector Type Lamps, approved February 4, 2013; IBR approved for appendix DD to subpart B, as follows:

(i) Section 4.0—Ambient and Physical Conditions;

(ii) Section 5.0—Electrical and Photometric Test Conditions;

(iii) Section 6.0—Lamp Test Procedures; and

(iv) Section 8.0—Total Flux Measurements by Integrating Sphere Method.

(7) ANSI/IES LM–20–20 (''IES LM–20–20''), *Approved Method: Photometry of Reflector Type Lamps*, ANSI-approved February 7, 2020; IBR approved for appendix R to subpart B.

(8) IES LM–45–15, IES Approved Method for the Electrical and Photometric Measurement of General Service Incandescent Filament Lamps, approved August 8, 2015; IBR approved for appendix DD to subpart B as follows:

(i) Section 4.0—Ambient and Physical Conditions;

(ii) Section 5.0—Electrical Conditions;

(iii) Section 6.0—Lamp Test Procedures; and

(iv) Section 7.0—Photometric Test Procedures: Section 7.1—Total Luminous Flux Measurements with an Integrating Sphere.

(9) IES LM–45–20 (''IES LM–45–20''), *Approved Method: Electrical and Photometric Measurement of General Service*

Incandescent Filament Lamps, ANSI-approved February 7, 2020; IBR approved for appendix R to subpart B.

(10) ANSI/IES LM–49–20 (''IES LM–49–20''), *Approved Method: Life Testing of Incandescent Filament Lamps*, ANSI-approved February 7, 2020; IBR approved for appendix R to subpart B.

(11) IES LM–54–12, IES Guide to Lamp Seasoning, approved October 22, 2012; IBR approved for appendix W to subpart B, as follows:

(i) Section 4—Physical/Environmental Test Conditions;

(ii) Section 5—Electrical Test Conditions;

(iii) Section 6—Test Procedure Requirements: Section 6.1—Test Preparation; and

(iv) Section 6—Test Procedure Requirements, Section 6.2—Seasoning Test Procedures: Section 6.2.2.1—Discharge Lamps: Discharge Lamps except T5 fluorescent.

(12) ANSI/IES LM–54–20 (''IES LM–54–20''), *Approved Method: IES Guide to Lamp Seasoning*, ANSI-approved February 7, 2020; IBR approved for appendices R and V to subpart B.

(13) ANSI/IES LM–58–20 (''IES LM–58–20''), *Approved Method: Spectroradiometric Measurement Methods for Light Sources;* ANSI-approved February 7, 2020; IBR approved for appendix R to subpart B.

(14) IES LM–65–14, IES Approved Method for Life Testing of Single-Based Fluorescent Lamps, approved December 30, 2014; IBR approved for appendix W to subpart B, as follows:

(i) Section 4.0—Ambient and Physical Conditions;

(ii) Section 5.0—Electrical Conditions; and

(iii) Section 6.0—Lamp Test Procedures

(15) IES LM–66–14, (''IES LM–66''), IES Approved Method for the Electrical and Photometric Measurements of Single-Based Fluorescent Lamps, approved December 30, 2014; IBR approved for appendix W to subpart B, as follows:

(i) Section 4.0—Ambient and Physical Conditions;

(ii) Section 5.0—Power Source Characteristics; and

(iii) Section 6.0—Testing Procedures Requirements.

(16) ANSI/IES LM–75–19 (''IES LM–75–19''), Approved Method: Guide to Goniophotometer Measurements and Types, and Photometric Coordinate Systems, ANSI-approved November 22, 2019; IBR approved for appendix V to subpart B.

(17) IESNA LM–78–07, IESNA Approved Method for Total Luminous Flux Measurement of Lamps Using an Integrating Sphere Photometer, approved January 28, 2007; IBR approved for appendix W to subpart B.

(18) ANSI/IES LM–78–20 (''IES LM–78–20'') *Approved Method: Total Luminous Flux Measurement of Lamps Using an Integrating Sphere Photometer*, ANSI-approved February 7, 2020; IBR approved for appendices R and V to subpart B.

(19) IES LM–79–08, (''IES LM–79–08''), IES Approved Method for the Electrical and Photometric Measurements of Solid-State Lighting Products, approved December 31, 2007; IBR approved for appendix BB to subpart B.

(20) IES LM–79–08 (''IES LM–79–08–DD''), Approved Method: Electrical and Photometric Measurements of Solid-State Lighting Products, approved December 31, 2007; IBR approved for appendix DD to subpart B as follows:

(i) Section 1.0 Introduction: Section 1.3—Nomenclature and Definitions (except section 1.3f);

(ii) Section 2.0—Ambient Conditions;

(iii) Section 3.0—Power Supply Characteristics;

(iv) Section 5.0—Stabilization of SSL Product;

(v) Section 7.0—Electrical Settings;

(vi) Section 8.0—Electrical Instrumentation;

(vii) Section 9.0—Test Methods for Total Luminous Flux measurement: Section 9.1 Integrating sphere with a spectroradiometer (Sphere-spectroradiometer system); and Section 9.2—Integrating sphere with a photometer head (Sphere-photometer system).

(21) ANSI/IES LM–79–19 (''IES LM–79–19''), Approved Method: Optical and Electrical Measurements of Solid-State Lighting Products, ANSI-approved May 14, 2019; IBR approved for appendix V to subpart B.

(22) IES LM–84–14, (''IES LM–84''), Approved Method: Measuring Luminous Flux and Color Maintenance of

LED Lamps, Light Engines, and Luminaires, approved March 31, 2014; IBR approved for appendix BB to subpart B.

(23) ANSI/IES RP–16–10 (''ANSI/IES RP–16''), Nomenclature and Definitions for Illuminating Engineering, approved October 15, 2005; IBR approved for § 430.2.

(24) IES TM–28–14, (''IES TM–28''), Projecting Long-Term Luminous Flux Maintenance of LED Lamps and Luminaires, approved May 20, 2014; IBR approved for appendix BB to subpart B.

(s) International Safety Equipment Association, 1901 North Moore Street, Suite 808, Arlington, Virginia 22209, (703) 525–1695, *www.safetyequipment.org*.

(1) ANSI/ISEA Z358.1–2014 (''ISEA Z358.1''), American National Standard for Emergency Eyewash and Shower Equipment, ANSI-approved January 8, 2015, IBR approved for § 430.2.

(2) [Reserved]

(t) *U.S. Department of Energy, Office of Energy Efficiency and Renewable Energy*. Resource Room of the Building Technologies Program, 950 L'Enfant Plaza SW., 6th Floor, Washington, DC 20024, 202–586–2945, (Energy Star materials are also found at *https://www.energystar.gov*.)

(1) ITU–R BT.470–6, Conventional Television Systems, published November 1998; IBR approved for § 430.2.

(2) [Reserved]

(3) International Efficiency Marking Protocol for External Power Supplies, Version 3.0, September 2013, IBR approved for § 430.32.

(u) *NSF International*. NSF International, P.O. Box 130140, 789 North Dixboro Road, Ann Arbor, MI 48113–0140, 1–800–673–6275, or go to *https://www.nsf.org*.

(1) NSF/ANSI 51–2007 (''NSF/ANSI 51''), Food equipment materials, revised and adopted April 2007, IBR approved for §§ 430.2 and 430.32.

(2) [Reserved]

(v) *Optical Society of America*. *Optical Society of America*, 2010 Massachusetts Ave., NW., Washington, DC 20036–1012, 202–223–8130, or go to *https://www.opticsinfobase.org;*

(1) ''Computation of Correlated Color Temperature and Distribution Temperature,'' A.R. Robertson, Journal of the Optical Society of America, Volume 58, Number 11, November 1968, pages 1528–1535, IBR approved for § 430.2.

(2) [Reserved]

(w) *PHTA*. Pool & Hot Tub Alliance, 2111 Eisenhower Avenue, Suite 500, Alexandria, VA 22314 (*www.phta.org*), (703) 838–0083.

(1) ANSI/APSP/ICC–14 2019, American National Standard for Portable Electric Spa Energy Efficiency, ANSI-approved November 19, 2019; IBR approved for appendix GG to subpart B of this part.

(2) [Reserved]

(x) *SMPTE*. Society of Motion Picture and Television Engineers, 3 Barker Ave., 5th Floor, White Plains, NY 10601, 914–761–1100, or go to *https://standards.smpte.org*.

(1) SMPTE 170M–2004, (''SMPTE 170M–2004''), *SMPTE Standard for Television—Composite Analog Video Signal—NTSC for Studio Applications*, approved November 30, 2004; IBR approved for § 430.2.

(2) [Reserved]

(y) *UL*. Underwriters Laboratories, Inc., 2600 NW. Lake Rd., Camas, WA 98607–8542 (*www.UL.com*)

(1) UL 729 (''UL 729–2016''), Standard for Safety for Oil-Fired Floor Furnaces, Sixth Edition, dated August 29, 2003, including revisions through November 22, 2016; IBR approved for appendix O to subpart B.

(2) UL 730 (''UL 730–2016''), Standard for Safety for Oil-Fired Wall Furnaces, Fifth Edition, dated August 29, 2003, including revisions through November 22, 2016; IBR approved for appendix O to subpart B.

(3) UL 896 (''UL 896–2016''), Standard for Safety for Oil-Burning Stoves, Fifth Edition, dated July 29, 1993; including revisions through November 22, 2016, IBR approved for appendix O to subpart B.

(4) UL 1598C (''UL 1598C–2016''), *Standard for Safety for Light-Emitting Diode (LED) Retrofit Luminaire Conversion Kits*, First edition, dated January 16, 2014 (including revisions through November 17, 2016); IBR approved for § 430.2.

[74 FR 12066, Mar. 23, 2009]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting § 430.3, see the List of CFR Sections Affected, which appears in the

Finding Aids section of the printed volume and at *www.govinfo.gov*.

§ 430.4 Sources for information and guidance.

(a) *General.* The standards listed in this paragraph are referred to in the DOE test procedures and elsewhere in this part but are not incorporated by reference. These sources are given here for information and guidance.

(b) *IESNA.* Illuminating Engineering Society of North America, 120 Wall Street, Floor 17, New York, NY 10005–4001, 212–248–5000, or go to *http://www.iesna.org*.

(1) *Illuminating Engineering Society of North America Lighting Handbook,* 8th Edition, 1993.

(2) [Reserved]

(c) *IEEE.* Institute of Electrical and Electronics Engineers, Inc., 3 Park Avenue, 17th Floor, New York, NY, 10016–5997, 212–419–7900, or go to *http://www.ieee.org*.

(1) IEEE 1515–2000, IEEE Recommended Practice for Electronic Power Subsystems: Parameter Definitions, Test Conditions, and Test Methods, March 30, 2000.

(2) IEEE 100, Authoritative Dictionary of IEEE Standards Terms, 7th Edition, January 1, 2006.

(d) *IEC.* International Electrotechnical Commission, available from the American National Standards Institute, 11 W. 42nd Street, New York, NY 10036, 212–642–4936, or go to *http://www.iec.ch*.

(1) IEC 62301, Household electrical appliances—Measurement of standby power, First Edition, June 13, 2005.

(2) IEC 60050, International Electrotechnical Vocabulary.

(e) National Voluntary Laboratory Accreditation Program, Standards Services Division, NIST, 100 Bureau Drive, Stop 2140, Gaithersburg, MD 20899–2140, 301–975–4016, or go to *http://ts.nist.gov/standards/accreditation*.

(1) National Voluntary Laboratory Accreditation Program Handbook 150–01, Energy Efficient Lighting Products, Lamps and Luminaires, August 1993.

(2) [Reserved]

[74 FR 12066, Mar. 23, 2009]

§ 430.5 Error correction procedures for energy conservation standards rules.

(a) *Scope and purpose.* The regulations in this section describe an optional procedure through which the Department of Energy may accept and consider submissions regarding possible Errors in its rules under the Energy Policy and Conservation Act, as amended (42 U.S.C. 6291–6317). This section applies to rules establishing or amending energy conservation standards under the Act, except that this section does not apply to direct final rules issued pursuant to section 325(p)(4) of the Act (42 U.S.C. 6295(p)(4)).

(b) *Definitions.*

Act means the Energy Policy and Conservation Act of 1975, as amended (42 U.S.C. 6291–6317).

Error means an aspect of the regulatory text of a rule that is inconsistent with what the Secretary intended regarding the rule at the time of posting. Examples of possible mistakes that might give rise to Errors include:

(i) A typographical mistake that causes the regulatory text to differ from how the preamble to the rule describes the rule;

(ii) A calculation mistake that causes the numerical value of an energy conservation standard to differ from what technical support documents would justify; or

(iii) A numbering mistake that causes a cross-reference to lead to the wrong text.

Rule means a rule establishing or amending an energy conservation standard under the Act.

Secretary means the Secretary of Energy or an official with delegated authority to perform a function of the Secretary of Energy under this section.

(c) *Posting of rules.* (1) It is within in the sole discretion of the Secretary to make a rule available to the public to review for Errors in the document's regulatory text.

(2) If a rule is made available for review, the Secretary ordinarily will keep the document posted for a period of 45 calendar days, but the Secretary in his or her discretion (while remaining consistent with his or her statutory obligations under EPCA and other

legal obligations when promulgating an energy conservation standard) may shorten or lengthen the time period during which the rule document is posted.

(3) Any rule document posted pursuant to paragraph (c)(1) of this section shall bear the following disclaimer: *Notice:* The text of this rule is subject to correction based on the identification of errors as defined in 10 CFR 430.5 before publication in the FEDERAL REGISTER. Readers are requested to notify the United States Department of Energy, by email at [EMAIL ADDRESS PROVIDED IN POSTED NOTICE], of any typographical or other errors, as described in such regulations, by no later than midnight on [DATE SPECIFIED IN THE POSTING OF THE DOCUMENT ON THE DEPARTMENT'S WEBSITE], in order that DOE may make any necessary corrections in the regulatory text submitted to the Office of the Federal Register for publication.

(d) *Request for error-correction review.* (1) A person identifying an Error subject to this section may request that the Secretary review a potential Error. Such a request must ordinarily be submitted within 45 calendar days of the posting of the rule pursuant to paragraph (c)(1) of this section. The Secretary in his or her discretion may shorten or lengthen the time period during which such requests may be submitted.

(2)(i) A request under this section must identify a potential Error with particularity. The request must specify the regulatory text claimed to be erroneous. The request must also provide text that the requester contends would be a correct substitute. If a requester is unable to identify a correct substitute, the requester may submit a request that states that the requester is unable to determine what text would be correct and explains why the requester is unable to do so. The request must also substantiate the claimed Error by citing evidence from the existing record of the rulemaking, demonstrating that the regulatory text of the rule is inconsistent with what the Secretary intended the text to be.

(ii) A person's disagreement with any policy choices or discretionary decisions that are contained in the rule will not constitute a valid basis for a request under this section. All policy and discretionary decisions with regard to whether to establish or amend any conservation standard and, if so, the appropriate level at which to amend or establish that standard, remain within the sole discretion of the Secretary without regard to the procedures established in this section.

(3) The evidence to substantiate a request (or evidence of the Error itself) must be in the record of the rulemaking at the time of posting the rule, which may include an accompanying preamble. The Secretary will not consider new evidence submitted in connection with an error-correction request.

(4) A request under this section must be filed in electronic format by email to the address that the disclaimer to the rule designates for error-correction requests. Should filing by email not be feasible, the requester should contact the program point of contact designated in the rule order to ascertain an appropriate alternative means of filing an error-correction request.

(5) A request that does not comply with the requirements of this section will not be considered.

(e) *Correction of rules.* The Secretary may respond to a request for correction under paragraph (d) of this section or address an Error discovered on the Secretary's own initiative by submitting to the Office of the Federal Register either a corrected rule or the rule as previously posted.

(f) *Publication in the Federal Register.* (1) If, after receiving one or more properly filed requests for correction, the Secretary decides not to undertake any corrections, the Secretary will submit the rule for publication to the Office of the Federal Register as it was posted pursuant to paragraph (c)(1) of this section.

(2) If the Secretary receives no properly filed requests after posting a rule and identifies no Errors on the Secretary's own initiative, the Secretary will submit the rule, as it was posted pursuant to paragraph (c)(1) of this section, to the Office of the Federal Register for publication. This will occur after the period prescribed pursuant to

paragraph (c)(2) of this section has elapsed.

(3) If the Secretary receives a properly filed request after posting a rule pursuant to paragraph (c)(1) of this section and determines that a correction is necessary, or discovers an Error on the Secretary's own initiative, the Secretary will, absent extenuating circumstances, submit a corrected rule for publication in the FEDERAL REGISTER within 30 days after the period prescribed by paragraph (c)(2) of this section has elapsed.

(4) Consistent with the Act, compliance with an energy conservation standard will be required upon the specified compliance date as published in the relevant rule in the FEDERAL REGISTER.

(5) Consistent with the Administrative Procedure Act, and other applicable law, the Secretary will ordinarily designate an effective date for a rule under this section that is no less than 30 days after the publication of the rule in the FEDERAL REGISTER.

(6) When the Secretary submits a rule for publication, the Secretary will make publicly available a written statement indicating how any properly filed requests for correction were handled.

(g) *Alteration of standards.* Until an energy conservation standard has been published in the FEDERAL REGISTER, the Secretary may correct such standard, consistent with the Administrative Procedure Act.

(h) *Judicial review.* For determining the prematurity, timeliness, or lateness of a petition for judicial review pursuant to section 336(b) of the Act (42 U.S.C. 6306), a rule is considered ''prescribed'' on the date when the rule is published in the FEDERAL REGISTER.

[81 FR 57757, Aug. 24, 2016, as amended at 89 FR 22924, Apr. 3, 2024

Subpart B—Test Procedures

§ 430.21 Purpose and scope.

This subpart contains test procedures required to be prescribed by DOE pursuant to section 323 of the Act.

§ 430.23 Test procedures for the measurement of energy and water consumption.

When the test procedures of this section call for rounding off of test results, and the results fall equally between two values of the nearest dollar, kilowatt-hour, or other specified nearest value, the result shall be rounded up to the nearest higher value.

(a) *Refrigerators and refrigerator-freezers.* (1) The estimated annual operating cost for models without an anti-sweat heater switch shall be the product of the following three factors, with the resulting product then being rounded to the nearest dollar per year:

(i) The representative average-use cycle of 365 cycles per year;

(ii) The average per-cycle energy consumption for the standard cycle in kilowatt-hours per cycle, determined according to appendix A of this subpart; and

(iii) The representative average unit cost of electricity in dollars per kilowatt-hour as provided by the Secretary.

(2) The estimated annual operating cost for models with an anti-sweat heater switch shall be the product of the following three factors, with the resulting product then being rounded to the nearest dollar per year:

(i) The representative average-use cycle of 365 cycles per year;

(ii) Half the sum of the average per-cycle energy consumption for the standard cycle and the average per-cycle energy consumption for a test cycle type with the anti-sweat heater switch in the position set at the factory just before shipping, each in kilowatt-hours per cycle, determined according to appendix A of this subpart; and

(iii) The representative average unit cost of electricity in dollars per kilowatt-hour as provided by the Secretary.

(3) The estimated annual operating cost for any other specified cycle type shall be the product of the following three factors, the resulting product then being rounded to the nearest dollar per year:

(i) The representative average-use cycle of 365 cycles per year;

(ii) The average per-cycle energy consumption for the specified cycle type, determined according to appendix A of this subpart; and

(iii) The representative average unit cost of electricity in dollars per kilowatt-hour as provided by the Secretary.

(4) The energy factor, expressed in cubic feet per kilowatt-hour per cycle, shall be:

(i) For models without an anti-sweat heater switch, the quotient of:

(A) The adjusted total volume in cubic feet, determined according to appendix A of this subpart, divided by—

(B) The average per-cycle energy consumption for the standard cycle in kilowatt-hours per cycle, determined according to appendix A of this subpart, the resulting quotient then being rounded to the second decimal place; and

(ii) For models having an anti-sweat heater switch, the quotient of:

(A) The adjusted total volume in cubic feet, determined according to appendix A of this subpart, divided by—

(B) Half the sum of the average per-cycle energy consumption for the standard cycle and the average per-cycle energy consumption for a test cycle type with the anti-sweat heater switch in the position set at the factory just before shipping, each in kilowatt-hours per cycle, determined according to appendix A of this subpart, the resulting quotient then being rounded to the second decimal place.

(5) The annual energy use, expressed in kilowatt-hours per year and rounded to the nearest kilowatt-hour per year, shall be determined according to appendix A of this subpart.

(6) Other useful measures of energy consumption shall be those measures of energy consumption that the Secretary determines are likely to assist consumers in making purchasing decisions which are derived from the application of appendix A of this subpart.

(7) The following principles of interpretation shall be applied to the test procedure. The intent of the energy test procedure is to simulate typical room conditions (72 °F (22.2 °C)) with door openings, by testing at 90 °F (32.2 °C) without door openings. Except for operating characteristics that are affected by ambient temperature (for example, compressor percent run time), the unit, when tested under this test procedure, shall operate in a manner equivalent to the unit's operation while in typical room conditions.

(i) The energy used by the unit shall be calculated when a calculation is provided by the test procedure. Energy consuming components that operate in typical room conditions (including as a result of door openings, or a function of humidity), and that are not excluded by this test procedure, shall operate in an equivalent manner during energy testing under this test procedure, or be accounted for by all calculations as provided for in the test procedure. Examples:

(A) Energy saving features that are designed to operate when there are no door openings for long periods of time shall not be functional during the energy test.

(B) The defrost heater shall neither function nor turn off differently during the energy test than it would when in typical room conditions. Also, the product shall not recover differently during the defrost recovery period than it would in typical room conditions.

(C) Electric heaters that would normally operate at typical room conditions with door openings shall also operate during the energy test.

(D) Energy used during adaptive defrost shall continue to be measured and adjusted per the calculation provided in this test procedure.

(ii) DOE recognizes that there may be situations that the test procedures do not completely address. In such cases, a manufacturer must obtain a waiver in accordance with the relevant provisions of 10 CFR part 430 if:

(A) A product contains energy consuming components that operate differently during the prescribed testing than they would during representative average consumer use; and

(B) Applying the prescribed test to that product would evaluate it in a manner that is unrepresentative of its true energy consumption (thereby providing materially inaccurate comparative data).

(b) *Freezers.* (1) The estimated annual operating cost for freezers without an anti-sweat heater switch shall be the

product of the following three factors, with the resulting product then being rounded to the nearest dollar per year:

(i) The representative average-use cycle of 365 cycles per year;

(ii) The average per-cycle energy consumption for the standard cycle in kilowatt-hours per cycle, determined according to appendix B of this subpart; and

(iii) The representative average unit cost of electricity in dollars per kilowatt-hour as provided by the Secretary.

(2) The estimated annual operating cost for freezers with an anti-sweat heater switch shall be the product of the following three factors, with the resulting product then being rounded to the nearest dollar per year:

(i) The representative average-use cycle of 365 cycles per year;

(ii) Half the sum of the average per-cycle energy consumption for the standard cycle and the average per-cycle energy consumption for a test cycle type with the anti-sweat heater switch in the position set at the factory just before shipping, each in kilowatt-hours per cycle, determined according to appendix B of this subpart; and

(iii) The representative average unit cost of electricity in dollars per kilowatt-hour as provided by the Secretary.

(3) The estimated annual operating cost for any other specified cycle type for freezers shall be the product of the following three factors, with the resulting product then being rounded to the nearest dollar per year:

(i) The representative average-use cycle of 365 cycles per year;

(ii) The average per-cycle energy consumption for the specified cycle type, determined according to appendix B of this subpart; and

(iii) The representative average unit cost of electricity in dollars per kilowatt-hour as provided by the Secretary.

(4) The energy factor, expressed in cubic feet per kilowatt-hour per cycle, shall be:

(i) For models without an anti-sweat heater switch, the quotient of:

(A) The adjusted total volume in cubic feet, determined according to appendix B of this subpart, divided by—

(B) The average per-cycle energy consumption for the standard cycle in kilowatt-hours per cycle, determined according to appendix B of this subpart, the resulting quotient then being rounded to the second decimal place; and

(ii) For models having an anti-sweat heater switch, the quotient of:

(A) The adjusted total volume in cubic feet, determined according to appendix B of this subpart, divided by—

(B) Half the sum of the average per-cycle energy consumption for the standard cycle and the average per-cycle energy consumption for a test cycle type with the anti-sweat heater switch in the position set at the factory just before shipping, each in kilowatt-hours per cycle, determined according to appendix B of this subpart, the resulting quotient then being rounded to the second decimal place.

(5) The annual energy use, expressed in kilowatt-hours per year and rounded to the nearest kilowatt-hour per year, shall be determined according to appendix B of this subpart.

(6) Other useful measures of energy consumption for freezers shall be those measures the Secretary determines are likely to assist consumers in making purchasing decisions and are derived from the application of appendix B of this subpart.

(7) The following principles of interpretation shall be applied to the test procedure. The intent of the energy test procedure is to simulate typical room conditions (72 °F (22.2 °C)) with door openings by testing at 90 °F (32.2 °C) without door openings. Except for operating characteristics that are affected by ambient temperature (for example, compressor percent run time), the unit, when tested under this test procedure, shall operate in a manner equivalent to the unit's operation while in typical room conditions.

(i) The energy used by the unit shall be calculated when a calculation is provided by the test procedure. Energy consuming components that operate in typical room conditions (including as a result of door openings, or a function of humidity), and that are not excluded

by this test procedure, shall operate in an equivalent manner during energy testing under this test procedure, or be accounted for by all calculations as provided for in the test procedure. Examples:

(A) Energy saving features that are designed to operate when there are no door openings for long periods of time shall not be functional during the energy test.

(B) The defrost heater shall neither function nor turn off differently during the energy test than it would when in typical room conditions. Also, the product shall not recover differently during the defrost recovery period than it would in typical room conditions.

(C) Electric heaters that would normally operate at typical room conditions with door openings shall also operate during the energy test.

(D) Energy used during adaptive defrost shall continue to be measured and adjusted per the calculation provided for in this test procedure.

(ii) DOE recognizes that there may be situations that the test procedures do not completely address. In such cases, a manufacturer must obtain a waiver in accordance with the relevant provisions of this part if:

(A) A product contains energy consuming components that operate differently during the prescribed testing than they would during representative average consumer use; and

(B) Applying the prescribed test to that product would evaluate it in a manner that is unrepresentative of its true energy consumption (thereby providing materially inaccurate comparative data).

(c) *Dishwashers.* (1) The Estimated Annual Operating Cost (EAOC) for dishwashers must be rounded to the nearest dollar per year and is defined as follows:

(i) When cold water (50 °F) is used,

$$EAOC = (D_e \times E_{TLP}) + (D_e \times N \times (M + M_{WS} + M_{DO} + M_{CO} + E_F - (E_D/2))).$$

Where,

D_e = the representative average unit cost of electrical energy, in dollars per kilowatt-hour, as provided by the Secretary,

E_{TLP} = the annual combined low-power mode energy consumption in kilowatt-hours per year and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable,

N = the representative average dishwasher use of 215 cycles per year when EAOC is determined pursuant to appendix C1 to this subpart, and 184 cycles per year when EAOC is determined pursuant to appendix C2 to this subpart,

M = the machine energy consumption per cycle, in kilowatt-hours and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable,

M_{WS} = the machine energy consumption per cycle for water softener regeneration, in kilowatt-hours and determined pursuant to section 5 of appendix C1 or appendix C2 to this subpart, as applicable,

M_{DO} = for water re-use system dishwashers, the machine energy consumption per cycle during a drain out event in kilowatt-hours and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable,

M_{CO} = for water re-use system dishwashers, the machine energy consumption per cycle during a clean out event, in kilowatt-hours and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable,

E_F = the fan-only mode energy consumption per cycle, in kilowatt-hours and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable, and

E_D = the drying energy consumption, in kilowatt-hours and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable.

(ii) When electrically heated water (120 °F or 140 °F) is used,

$$EAOC = (D_e \times E_{TLP}) + (De \times N \times (M + M_{WS} + M_{DO} + M_{CO} + E_F - (ED/2))) + (De \times N \times (W + W_{WS} + W_{DO} + W_{CO})).$$

Where,

D_e, E_{TLP}, N, M, M_{WS}, M_{DO}, M_{CO}, E_F, and E_D, are defined in paragraph (c)(1)(i) of this section,

W = the water energy consumption per cycle, in kilowatt-hours and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable,

W_{WS} = the water softener regeneration water energy consumption per cycle in kilowatt-hours and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable,

W_{DO} = The drain out event water energy consumption per cycle in kilowatt-hours and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable, and

W_{CO} = The clean out event water energy consumption per cycle in kilowatt-hours and

determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable.

(iii) When gas-heated or oil-heated water is used,

$$EAOC_g = (D_e \times E_{TLP}) + (D_e \times N \times (M + M_{WS} + M_{DO} + M_{CO} + EF - (ED/2))) + (D_g \times N \times (W_g + W_{WSg} + W_{DOg} + W_{COg})).$$

Where,

D_e, E_{TLP}, N, M, M_{WS}, M_{DO}, M_{CO}, E_F, and E_D, are defined in paragraph (c)(1)(i) of this section,

D_g = the representative average unit cost of gas or oil, as appropriate, in dollars per BTU, as provided by the Secretary,

W_g = the water energy consumption per cycle, in Btus and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable.

W_{WSg} = the water softener regeneration energy consumption per cycle in Btu per cycle and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable,

W_{DOg} = the drain out water energy consumption per cycle in kilowatt-hours and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable, and

W_{COg} = the clean out water energy consumption per cycle in kilowatt-hours and determined according to section 5 of appendix C1 or appendix C2 to this subpart, as applicable.

(2) The estimated annual energy use, EAEU, expressed in kilowatt-hours per year must be rounded to the nearest kilowatt-hour per year and is defined as follows:

$$EAEU = (M + M_{WS} + M_{DO} + M_{CO} + E_F - (E_D/2) + W + W_{WS} + W_{DO} + W_{CO}) \times N + E_{TLP}$$

Where,

M, M_{WS}, M_{DO}, M_{CO}, E_F, E_D, E_{TLP} are all defined in paragraph (c)(1)(i) of this section and W, W_{WS}, W_{DO}, W_{CO} are defined in paragraph (c)(1)(ii) of this section.

(3) The sum of the water consumption, V, the water consumption during water softener regeneration, V_{WS}, the water consumption during drain out events for dishwashers equipped with a water re-use system, V_{DO}, and the water consumption during clean out events for dishwashers equipped with a water re-use system, V_{CO}, expressed in gallons per cycle and defined pursuant to section 5 of appendix C1 or appendix C2 to this subpart, as applicable, must be rounded to one decimal place.

(4) Other useful measures of energy consumption for dishwashers are those which the Secretary determines are likely to assist consumers in making purchasing decisions and which are derived from the application of appendix C1 to this subpart or appendix C2 to this subpart, as applicable.

(d) *Clothes dryers.* (1) The estimated annual energy consumption for clothes dryers, expressed in kilowatt-hours per year, shall be the product of the annual representative average number of clothes dryer cycles as specified in appendix D1 or D2 to this subpart, as appropriate, and the per-cycle combined total energy consumption in kilowatt-hours per cycle, determined according to section 4.6 of appendix D1 or section 4.6 of appendix D2 to this subpart, as appropriate.

(2) The estimated annual operating cost for clothes dryers shall be—

(i) For an electric clothes dryer, the product of the following three factors, with the resulting product then being rounded off to the nearest dollar per year:

(A) The annual representative average number of clothes dryer cycles as specified in appendix D1 or appendix D2 to this subpart, as appropriate;

(B) The per-cycle combined total energy consumption in kilowatt-hours per cycle, determined according to section 4.6 of appendix D1 or section 4.6 of appendix D2 to this subpart, as appropriate; and

(C) The representative average unit cost of electrical energy in dollars per kilowatt-hour as provided by the Secretary; and

(ii) For a gas clothes dryer, the product of the annual representative average number of clothes dryer cycles as specified in appendix D1 or D2 to this subpart, as appropriate, times the sum of the following three factors, with the resulting product then being rounded off to the nearest dollar per year:

(A) The product of the per-cycle gas dryer electric energy consumption in kilowatt-hours per cycle, determined according to section 4.2 of appendix D1 or section 4.2 of appendix D2 to this

subpart, as appropriate, times the representative average unit cost of electrical energy in dollars per kilowatt-hour as provided by the Secretary; plus,

(B) The product of the per-cycle gas dryer gas energy consumption, in Btus per cycle, determined according to section 4.3 of appendix D1 or section 4.3 of appendix D2 to this subpart, as appropriate, times the representative average unit cost for natural gas or propane, as appropriate, in dollars per Btu as provided by the Secretary; plus,

(C) The product of the per-cycle standby mode and off mode energy consumption in kilowatt-hours per cycle, determined according to section 4.5 of appendix D1 or section 4.5 of appendix D2 to this subpart, as appropriate, times the representative average unit cost of electrical energy in dollars per kilowatt-hour as provided by the Secretary.

(3) The combined energy factor, expressed in pounds per kilowatt-hour is determined in accordance with section 4.7 of appendix D1 or section 4.7 of appendix D2 to this subpart, as appropriate, the result then being rounded off to the nearest hundredth (0.01).

(4) Other useful measures of energy consumption for clothes dryers shall be those measures of energy consumption for clothes dryers which the Secretary determines are likely to assist consumers in making purchasing decisions and which are derived from the application of appendix D1 or D2 to this subpart, as appropriate.

(e) *Water heaters.* (1) The estimated annual operating cost is calculated as:

(i) For a gas-fired or oil-fired water heater, the sum of:

(A) The product of the annual gas or oil energy consumption, determined according to section 6.3.11 or 6.4.7 of appendix E to this subpart, times the representative average unit cost of gas or oil, as appropriate, in dollars per Btu as provided by the Secretary; plus

(B) The product of the annual electric energy consumption, determined according to section 6.3.10 or 6.4.6 of appendix E to this subpart, times the representative average unit cost of electricity in dollars per kilowatt-hour as provided by the Secretary. Round the resulting sum to the nearest dollar per year.

(ii) For an electric water heater, the product of the annual energy consumption, determined according to section 6.3.10 or 6.4.6 of appendix E to this subpart, times the representative average unit cost of electricity in dollars per kilowatt-hour as provided by the Secretary. Round the resulting product to the nearest dollar per year.

(2) For an individual unit, the uniform energy factor is rounded to the nearest 0.01 and determined in accordance with section 6.3.8 or section 6.4.4 of appendix E to this subpart.

(f) *Room air conditioners.* (1) Determine cooling capacity, expressed in British thermal units per hour (Btu/h), as follows:

(i) For a single-speed room air conditioner, determine the cooling capacity in accordance with section 4.1.2 of appendix F of this subpart.

(ii) For a variable-speed room air conditioner, determine the cooling capacity in accordance with section 4.1.2 of appendix F of this subpart for test condition 1 in Table 1 of appendix F of this subpart.

(2) Determine electrical power input, expressed in watts (W) as follows:

(i) For a single-speed room air conditioner, determine the electrical power input in accordance with section 4.1.2 of appendix F of this subpart.

(ii) For a variable-speed room air conditioner, determine the electrical power input in accordance with section 4.1.2 of appendix F of this subpart, for test condition 1 in Table 1 of appendix F of this subpart.

(3) Determine the combined energy efficiency ratio (CEER), expressed in British thermal units per watt-hour (Btu/Wh) and as follows:

(i) For a single-speed room air conditioner, determine the CEER in accordance with section 5.2.2 of appendix F of this subpart.

(ii) For a variable-speed room air conditioner, determine the CEER in accordance with section 5.3.11 of appendix F of this subpart.

(4) Determine the estimated annual operating cost for a room air conditioner, expressed in dollars per year, by multiplying the following two factors and rounding as directed:

(i) For single-speed room air conditioners, the sum of AEC_{cool} and $AEC_{ia/om}$, determined in accordance with section 5.2.1 and section 5.1, respectively, of appendix F of this subpart. For variable-speed room air conditioners, the sum of AEC_{wt} and $AEC_{ia/om}$, determined in accordance with section 5.3.4 and section 5.1, respectively, of appendix F of this subpart; and

(ii) A representative average unit cost of electrical energy in dollars per kilowatt-hour as provided by the Secretary. Round the resulting product to the nearest dollar per year.

(g) *Unvented home heating equipment.* (1) The estimated annual operating cost for primary electric heaters, shall be the product of:

(i) The average annual electric energy consumption in kilowatt-hours per year, determined according to section 3.1 of appendix G of this subpart and

(ii) the representative average unit cost in dollars per kilowatt-hour as provided pursuant to section 323(b)(2) of the Act, the resulting product then being rounded off to the nearest dollar per year.

(2) The estimated regional annual operating cost for primary electric heaters, shall be the product of: (i) The regional annual electric energy consumption in kilowatt-hours per year for primary heaters determined according to section 3.2 of appendix G of this subpart and (ii) the representative average unit cost in dollars per kilowatt-hour as provided pursuant to section 323(b)(2) of the Act, the resulting product then being rounded off to the nearest dollar per year.

(3) The estimated operating cost per million Btu output shall be—

(i) For primary and supplementary electric heaters and unvented gas and oil heaters without an auxiliary electric system, the product of:

(A) One million; and

(B) The representative unit cost in dollars per Btu for natural gas, propane, or oil, as provided pursuant to section 323(b)(2) of the Act as appropriate, or the quotient of the representative unit cost in dollars per kilowatt-hour, as provided pursuant to section 323(b)(2) of the Act, divided by 3,412 Btu per kilowatt hour, the resulting product then being rounded off to the nearest 0.01 dollar per million Btu output; and

(ii) For unvented gas and oil heaters with an auxiliary electric system, the product of: (A) The quotient of one million divided by the rated output in Btu's per hour as determined in 3.4 of appendix G of this subpart; and (B) the sum of: (*1*) The product of the maximum fuel input in Btu's per hour as determined in 2.2. of this appendix times the representative unit cost in dollars per Btu for natural gas, propane, or oil, as appropriate, as provided pursuant to section 323(b)(2) of the Act, plus (*2*) the product of the maximum auxiliary electric power in kilowatts as determined in 2.1 of appendix G of this subpart times the representative unit cost in dollars per kilowatt-hour as provided pursuant to section 323(b)(2) of the Act, the resulting quantity shall be rounded off to the nearest 0.01 dollar per million Btu output.

(4) The rated output for unvented heaters is the rated output as determined according to either sections 3.3 or 3.4 of appendix G of this subpart, as appropriate, with the result being rounded to the nearest 100 Btu per hour.

(5) Other useful measures of energy consumption for unvented home heating equipment shall be those measures of energy consumption for unvented home heating equipment which the Secretary determines are likely to assist consumers in making purchasing decisions and which are derived from the application of appendix G of this subpart.

(h) *Television sets.* The power consumption of a television set, expressed in watts, including on and standby modes, shall be determined in accordance with sections 3 and 4 of appendix H of this subpart respectively. The annual energy consumption, expressed in kilowatt-hours per year, shall be determined in accordance with section 4 of appendix H of this subpart.

(i) *Cooking products.* (1) Determine the standby power for microwave ovens, excluding any microwave oven component of a combined cooking product, according to section 3.2.3 of appendix I to this subpart. Round standby power to the nearest 0.1 watt.

(2)(i) Determine the integrated annual energy consumption of a conventional electric cooking top, including any conventional cooking top component of a combined cooking product, according to section 4.3.1 of appendix I1 to this subpart. Round the result to the nearest 1 kilowatt-hour (kWh) per year.

(ii) Determine the integrated annual energy consumption of a conventional gas cooking top, including any conventional cooking top component of a combined cooking product, according to section 4.3.2 of appendix I1 to this subpart. Round the result to the nearest 1 kilo-British thermal unit (kBtu) per year.

(3) Determine the total annual gas energy consumption of a conventional gas cooking top, including any conventional cooking top component of a combined cooking product, according to section 4.1.2.2.1 of appendix I1 to this subpart. Round the result to the nearest 1 kBtu per year.

(4)(i) Determine the total annual electrical energy consumption of a conventional electric cooking top, including any conventional cooking top component of a combined cooking product, as the integrated annual energy consumption of the conventional electric cooking top, as determined in paragraph (i)(2)(i) of this section.

(ii) Determine the total annual electrical energy consumption of a conventional gas cooking top, including any conventional cooking top component of a combined cooking product, as follows, rounded to the nearest 1 kWh per year:

$$E_{TGE} = E_{AGE} + E_{TLP}$$

Where:

E_{AGE} is the conventional gas cooking top annual active mode electrical energy consumption as defined in section 4.1.2.2.2 of appendix I1 to this subpart, and E_{TLP} is the combined low-power mode energy consumption as defined in section 4.1 of appendix I1 to this subpart.

(5) Determine the estimated annual operating cost corresponding to the energy consumption of a conventional cooking top, including any conventional cooking top component of a combined cooking product, as follows, rounded to the nearest dollar per year:

$$(E_{TGE} \times C_{KWH}) + (E_{TGG} \times C_{KBTU})$$

Where:

E_{TGE} is the total annual electrical energy consumption for any electric energy usage, in kilowatt-hours (kWh) per year, as determined in accordance with paragraph (i)(4) of this section;

C_{KWH} is the representative average unit cost for electricity, in dollars per kWh, as provided pursuant to section 323(b)(2) of the Act;

E_{TGG} is the total annual gas energy consumption, in kBtu per year, as determined in accordance with paragraph (i)(3) of this section; and

C_{KBTU} is the representative average unit cost for natural gas or propane, in dollars per kBtu, as provided pursuant to section 323(b)(2) of the Act, for conventional gas cooking tops that operate with natural gas or with LP-gas, respectively.

(6) Other useful measures of energy consumption for conventional cooking tops shall be the measures of energy consumption that the Secretary determines are likely to assist consumers in making purchasing decisions and that are derived from the application of appendix I1 to this subpart.

(j) *Clothes washers.* (1) The estimated annual operating cost for automatic and semi-automatic clothes washers must be rounded off to the nearest dollar per year and is defined as follows:

(i) When using appendix J (see the note at the beginning of appendix J),

(A) When electrically heated water is used,

$$(N \times (ME_T + HE_T + E_{TLP}) \times C_{KWH})$$

Where:

N = the representative average residential clothes washer use of 234 cycles per year according to appendix J,

ME_T = the total weighted per-cycle machine electrical energy consumption, in kilowatt-hours per cycle, determined according to section 4.1.6 of appendix J,

HE_T = the total weighted per-cycle hot water energy consumption using an electrical water heater, in kilowatt-hours per cycle, determined according to section 4.1.3 of appendix J,

E_{TLP} = the per-cycle combined low-power mode energy consumption, in kilowatt-hours per cycle, determined according to section 4.6.2 of appendix J, and

C_{KWH} = the representative average unit cost, in dollars per kilowatt-hour, as provided by the Secretary.

(B) When gas-heated or oil-heated water is used,

$(N \times (((ME_T + E_{TLP}) \times C_{KWH}) + (HE_{TG} \times C_{BTU})))$

Where:

N, ME_T, E_{TLP}, and C_{KWH} are defined in paragraph (j)(1)(i)(A) of this section,

HE_{TG} = the total per-cycle hot water energy consumption using gas-heated or oil-heated water, in Btu per cycle, determined according to section 4.1.4 of appendix J, and

C_{BTU} = the representative average unit cost, in dollars per Btu for oil or gas, as appropriate, as provided by the Secretary.

(ii) When using appendix J2 (see the note at the beginning of appendix J2),

(A) When electrically heated water is used

$(N_2 \times (E_{TE2} + E_{TLP2}) \times C_{KWH})$

Where:

N_2 = the representative average residential clothes washer use of 295 cycles per year according to appendix J2,

E_{TE2} = the total per-cycle energy consumption when electrically heated water is used, in kilowatt-hours per cycle, determined according to section 4.1.7 of appendix J2,

E_{TLP2} = the per-cycle combined low-power mode energy consumption, in kilowatt-hours per cycle, determined according to section 4.4 of appendix J2, and

C_{KWH} = the representative average unit cost, in dollars per kilowatt-hour, as provided by the Secretary

(B) When gas-heated or oil-heated water is used,

$(N_2 \times (((ME_{T2} + E_{TLP2}) \times C_{KWH}) + (HE_{TG2} \times C_{BTU})))$

Where:

N_2, E_{TLP2}, and C_{KWH} are defined in paragraph (j)(1)(ii)(A) of this section,

ME_{T2} = the total weighted per-cycle machine electrical energy consumption, in kilowatt-hours per cycle, determined according to section 4.1.6 of appendix J2,

HE_{TG2} = the total per-cycle hot water energy consumption using gas-heated or oil-heated water, in Btu per cycle, determined according to section 4.1.4 of appendix J2, and

C_{BTU} = the representative average unit cost, in dollars per Btu for oil or gas, as appropriate, as provided by the Secretary.

(2)(i) The integrated modified energy factor for automatic and semi-automatic clothes washers is determined according to section 4.6 of appendix J2 (when using appendix J2). The result shall be rounded off to the nearest 0.01 cubic foot per kilowatt-hour per cycle.

(ii) The energy efficiency ratio for automatic and semi-automatic clothes washers is determined according to section 4.9 of appendix J (when using appendix J). The result shall be rounded to the nearest 0.01 pound per kilowatt-hour per cycle.

(3) The annual water consumption of a clothes washer must be determined as:

(i) When using appendix J, the product of the representative average-use of 234 cycles per year and the total weighted per-cycle water consumption in gallons per cycle determined according to section 4.2.4 of appendix J.

(ii) When using appendix J2, the product of the representative average-use of 295 cycles per year and the total weighted per-cycle water consumption for all wash cycles, in gallons per cycle, determined according to section 4.2.11 of appendix J2.

(4)(i) The integrated water factor must be determined according to section 4.2.12 of appendix J2, with the result rounded to the nearest 0.1 gallons per cycle per cubic foot.

(ii) The water efficiency ratio for automatic and semi-automatic clothes washers is determined according to section 4.7 of appendix J (when using appendix J). The result shall be rounded to the nearest 0.01 pound per gallon per cycle.

(5) Other useful measures of energy consumption for automatic or semi-automatic clothes washers shall be those measures of energy consumption that the Secretary determines are likely to assist consumers in making purchasing decisions and that are derived from the application of appendix J or appendix J2, as appropriate.

(k)–(l) [Reserved]

(m) *Central air conditioners and heat pumps.* See the note at the beginning of appendix M and M1 to determine the appropriate test method. Determine all values discussed in this section using a single appendix.

(1) Determine cooling capacity from the steady-state wet-coil test (A or A_2 Test), as described in section 3.2 of appendix M or M1 to this subpart, and rounded off to the nearest

(i) To the nearest 50 Btu/h if cooling capacity is less than 20,000 Btu/h;

(ii) To the nearest 100 Btu/h if cooling capacity is greater than or equal to 20,000 Btu/h but less than 38,000 Btu/h; and

(iii) To the nearest 250 Btu/h if cooling capacity is greater than or equal to 38,000 Btu/h and less than 65,000 Btu/h.

(2) Determine seasonal energy efficiency ratio (SEER) as described in section 4.1 of appendix M to this subpart or seasonal energy efficiency ratio 2 (SEER2) as described in section 4.1 of appendix M1 to this subpart, and round off to the nearest 0.025 Btu/W-h.

(3) Determine energy efficiency ratio (EER) as described in section 4.6 of appendix M or M1 to this subpart, and round off to the nearest 0.025 Btu/W-h. The EER from the A or A_2 test, whichever applies, when tested in accordance with appendix M1 to this subpart, is referred to as EER2.

(4) Determine heating seasonal performance factors (HSPF) as described in section 4.2 of appendix M to this subpart or heating seasonal performance factors 2 (HSPF2) as described in section 4.2 of appendix M1 to this subpart, and round off to the nearest 0.025 Btu/W-h.

(5) Determine average off mode power consumption as described in section 4.3 of appendix M or M1 to this subpart, and round off to the nearest 0.5 W.

(6) Determine all other measures of energy efficiency or consumption or other useful measures of performance using appendix M or M1 of this subpart.

(n) *Furnaces.* (1) The estimated annual operating cost for furnaces is the sum of:

(i) The product of the average annual fuel energy consumption, in Btu's per year for gas or oil furnaces or in kilowatt-hours per year for electric furnaces, determined according to section 10.2.2 or 10.3 of appendix N of this subpart, respectively, (for furnaces, excluding low pressure steam or hot water boilers and electric boilers) or section 10.2.2 or 10.3 of appendix EE of this subpart, respectively (for low pressure steam or hot water boilers and electric boilers), and the representative average unit cost in dollars per Btu for gas or oil, or dollars per kilowatt-hour for electric, as appropriate, as provided pursuant to section 323(b)(2) of the Act; plus

(ii) The product of the average annual auxiliary electric energy consumption in kilowatt-hours per year determined according to section 10.2.3 of appendix N of this subpart (for furnaces, excluding low pressure steam or hot water boilers and electric boilers) or section 10.2.3 of appendix EE of this subpart (for low pressure steam or hot water boilers and electric boilers) of this subpart, and the representative average unit cost in dollars per kilowatt-hour as provided pursuant to section 323(b)(2) of the Act.

(iii) Round the resulting sum to the nearest dollar per year.

(2) The annual fuel utilization efficiency (AFUE) for furnaces, expressed in percent, is the ratio of the annual fuel output of useful energy delivered to the heated space to the annual fuel energy input to the furnace.

(i) For gas and oil furnaces, determine AFUE according to section 10.1 of appendix N (for furnaces, excluding low pressure steam or hot water boilers and electric boilers) or section 10.1 of appendix EE (for low pressure steam or hot water boilers and electric boilers) of this subpart, as applicable.

(ii) For electric furnaces, excluding electric boilers, determine AFUE in accordance with section 11.1 of ANSI/ASHRAE 103–1993 (incorporated by reference, *see* § 430.3); for electric boilers, determine AFUE in accordance with section 11.1 of ANSI/ASHRAE 103–2017 (incorporated by reference, *see* § 430.3).

(iii) Round the AFUE to one-tenth of a percentage point.

(3) The estimated regional annual operating cost for furnaces is calculated as follows:

(i) When using appendix N of this subpart for furnaces excluding low pressure steam or hot water boilers and electric boilers (see the note at the beginning of appendix N of this subpart),

(A) For gas or oil-fueled furnaces,

$$(E_{FR} \times C_{BTU}) + (E_{AER} \times C_{KWH})$$

Where:

E_{FR} = the regional annual fuel energy consumption in Btu per year, determined according to section 10.7.1 of appendix N of this subpart;

C_{BTU} = the representative average unit cost in dollars per Btu of gas or oil, as provided pursuant to section 323(b)(2) of the Act;

E_{AER} = the regional annual auxiliary electrical energy consumption in kilowatt-hours per year, determined according to section 10.7.2 of appendix N of this subpart; and

C_{KWH} = the representative average unit cost in dollars per kilowatt-hour of electricity, as provided pursuant to section 323(b)(2) of the Act.

(B) For electric furnaces,

$(E_{ER} \times C_{KWH})$

Where:

E_{ER} = the regional annual fuel energy consumption in kilowatt-hours per year, determined according to section 10.7.3 of appendix N of this subpart; and

C_{KWH} is as defined in paragraph (n)(3)(i)(A) of this section.

(ii) When using appendix EE of this subpart for low pressure steam or hot water boilers and electric boilers (see the note at the beginning of appendix EE of this subpart),

(A) For gas or oil-fueled boilers,

$(E_{ER} \times C_{BTU}) + (E_{AER} \times C_{KWH})$

Where:

E_{FR} = the regional annual fuel energy consumption in Btu per year, determined according to section 10.5.1 of appendix EE of this subpart;

C_{BTU} and C_{KWH} are as defined in paragraph (n)(3)(i)(A) of this section; and

E_{AER} = the regional annual auxiliary electrical energy consumption in kilowatt-hours per year, determined according to section 10.5.2 of appendix EE of this subpart.

(B) For electric boilers,

$(E_{ER} \times C_{KWH})$

Where:

E_{ER} = the regional annual fuel energy consumption in kilowatt-hours per year, determined according to section 10.5.3 of appendix EE of this subpart; and

C_{KWH} is as defined in paragraph (n)(3)(i)(A) of this section.

(iii) Round the estimated regional annual operating cost to the nearest dollar per year.

(4) The energy factor for furnaces, expressed in percent, is the ratio of annual fuel output of useful energy delivered to the heated space to the total annual energy input to the furnace determined according to either section 10.6 of appendix N of this subpart (for furnaces, excluding low pressure steam or hot water boilers and electric boilers) or section 10.4 of appendix EE of this subpart (for low pressure steam or hot water boilers and electric boilers), as applicable.

(5) The average standby mode and off mode electrical power consumption for furnaces shall be determined according to section 8.10 of appendix N of this subpart (for furnaces, excluding low pressure steam or hot water boilers and electric boilers) or section 8.9 of appendix EE of this subpart (for low pressure steam or hot water boilers and electric boilers), as applicable. Round the average standby mode and off mode electrical power consumption to the nearest tenth of a watt.

(6) Other useful measures of energy consumption for furnaces shall be those measures of energy consumption which the Secretary determines are likely to assist consumers in making purchasing decisions and which are derived from the application of appendix N of this subpart (for furnaces, excluding low pressure steam or hot water boilers and electric boilers) or appendix EE of this subpart (for low pressure steam or hot water boilers and electric boilers).

(o) *Vented home heating equipment.* (1) When determining the annual fuel utilization efficiency (AFUE) of vented home heating equipment (see the note at the beginning of appendix O), expressed in percent (%), calculate AFUE in accordance with section 4.1.17 of appendix O of this subpart for vented heaters without either manual controls or thermal stack dampers; in accordance with section 4.2.6 of appendix O of this subpart for vented heaters equipped with manual controls; or in accordance with section 4.3.7 of appendix O of this subpart for vented heaters equipped with thermal stack dampers.

(2) When estimating the annual operating cost for vented home heating equipment, calculate the sum of:

(i) The product of the average annual fuel energy consumption, in Btus per year for natural gas, propane, or oil fueled vented home heating equipment, determined according to section 4.6.2 of appendix O of this subpart, and the representative average unit cost in dollars per Btu for natural gas, propane, or oil, as appropriate, as provided pursuant to section 323(b)(2) of the Act; plus

(ii) The product of the average annual auxiliary electric energy consumption in kilowatt-hours per year determined according to section 4.6.3 of appendix O of this subpart, and the representative average unit cost in dollars per kilowatt-hours as provided pursuant to section 323(b)(2) of the Act. Round the resulting sum to the nearest dollar per year.

(3) When estimating the operating cost per million Btu output for gas or oil vented home heating equipment with an auxiliary electric system, calculate the product of:

(i) The quotient of one million Btu divided by the sum of:

(A) The product of the maximum fuel input in Btus per hour as determined in sections 3.1.1 or 3.1.2 of appendix O of this subpart times the annual fuel utilization efficiency in percent as determined in sections 4.1.17, 4.2.6, or 4.3.7 of this appendix (as appropriate) divided by 100, plus

(B) The product of the maximum electric power in watts as determined in section 3.1.3 of appendix O of this subpart times the quantity 3.412; and

(ii) The sum of:

(A) the product of the maximum fuel input in Btus per hour as determined in sections 3.1.1 or 3.1.2 of this appendix times the representative unit cost in dollars per Btu for natural gas, propane, or oil, as appropriate, as provided pursuant to section 323(b)(2) of the Act; plus

(B) the product of the maximum auxiliary electric power in kilowatts as determined in section 3.1.3 of appendix O of this subpart times the representative unit cost in dollars per kilowatt-hour as provided pursuant to section 323(b)(2) of the Act. Round the resulting quantity to the nearest 0.01 dollar per million Btu output.

(p) *Pool heaters.* (1) Determine the thermal efficiency (E_t) of a pool heater expressed as a percent (%) in accordance with section 5.1 of appendix P to this subpart.

(2) Determine the integrated thermal efficiency (TE_I) of a pool heater expressed as a percent (%) in accordance with section 5.4 of appendix P to this subpart.

(3) When estimating the annual operating cost of pool heaters, calculate the sum of:

(i) The product of the average annual fossil fuel energy consumption, in Btus per year, determined according to section 5.2 of appendix P to this subpart, and the representative average unit cost in dollars per Btu for natural gas or oil, as appropriate, as provided pursuant to section 323(b)(2) of the Act; plus

(ii) The product of the average annual electrical energy consumption in kilowatt-hours per year determined according to section 5.3 of appendix P to this subpart and converted to kilowatt-hours using a conversion factor of 3412 Btus = 1 kilowatt-hour, and the representative average unit cost in dollars per kilowatt-hours as provided pursuant to section 323(b)(2) of the Act. Round the resulting sum to the nearest dollar per year.

(q) *Fluorescent lamp ballasts.* (1) Calculate ballast luminous efficiency (BLE) using appendix Q to this subpart.

(2) Calculate power factor using appendix Q to this subpart.

(r) *General service fluorescent lamps, general service incandescent lamps, and incandescent reflector lamps.* Measure initial lumen output, initial input power, initial lamp efficacy, color rendering index (CRI), correlated color temperature (CCT), and time to failure of GSFLs, IRLs, and GSILs, as applicable, in accordance with appendix R to this subpart.

(s) *Faucets.* Measure the water use for lavatory faucets, lavatory replacement aerators, kitchen faucets, and kitchen replacement aerators, in gallons or liters per minute (gpm or L/min), in accordance to section 2.1 of appendix S of this subpart. Measure the water use for metering faucets, in gallons or liters per cycle (gal/cycle or L/cycle), in accordance to section 2.1 of appendix S of this subpart.

(t) *Showerheads.* Measure the water use for showerheads, in gallons or liters per minute (gpm or L/min), in accordance to section 2.2 of appendix S of this subpart.

(u) *Water closets.* Measure the water use for water closets, expressed in gallons or liters per flush (gpf or Lpf), in

accordance with section 3(a) of appendix T to this subpart.

(v) *Urinals.* Measure the water use for urinals, expressed in gallons or liters per flush (gpf or Lpf), in accordance with section 3(b) of appendix T to this subpart.

(w) *Ceiling fans.* Measure the following attributes of a single ceiling fan in accordance with appendix U to this subpart: airflow; power consumption; ceiling fan efficiency, as applicable; ceiling fan energy index (CFEI), as applicable; standby power, as applicable; distance between the ceiling and lowest point of fan blades; blade span; blade edge thickness; and blade revolutions per minute (RPM).

(x) *Ceiling fan light kits.*

(1) For each ceiling fan light kit that requires compliance with the January 21, 2020 energy conservation standards:

(i) For a ceiling fan light kit packaged with compact fluorescent lamps, measure lamp efficacy, lumen maintenance at 1,000 hours, lumen maintenance at 40 percent of lifetime, rapid cycle stress test, and time to failure in accordance with paragraph (y) of this section for each lamp basic model.

(ii) For a ceiling fan light kit packaged with general service fluorescent lamps, measure lamp efficacy in accordance with paragraph (r) of this section for each lamp basic model.

(iii) For a ceiling fan light kit packaged with incandescent lamps, measure lamp efficacy in accordance with paragraph (r) of this section for each lamp basic model.

(iv) For a ceiling fan light kit packaged with integrated LED lamps, measure lamp efficacy in accordance with paragraph (ee) of this section for each lamp basic model.

(v) For a ceiling fan light kit packaged with other fluorescent lamps (not compact fluorescent lamps or general service fluorescent lamps), packaged with consumer-replaceable SSL (not integrated LED lamps), packaged with non-consumer-replaceable SSL, or packaged with other SSL lamps that have an ANSI standard base (not integrated LED lamps), measure efficacy in accordance with section 3 of appendix V of this subpart for each lamp basic model, consumer-replaceable SSL basic model, or non-consumer-replaceable SSL basic model.

(2) [Reserved]

(y) *Compact fluorescent lamps.* (1) Measure initial lumen output, input power, initial lamp efficacy, lumen maintenance at 1,000 hours, lumen maintenance at 40 percent of lifetime of a compact fluorescent lamp (as defined in 10 CFR 430.2), color rendering index (CRI), correlated color temperature (CCT), power factor, start time, standby mode energy consumption, and time to failure in accordance with appendix W of this subpart. Express time to failure in hours.

(2) Conduct the rapid cycle stress test in accordance with section 3.3 of appendix W of this subpart.

(z) *Dehumidifiers.* (1) Determine the capacity, expressed in pints/day, according to section 5.2 of appendix X1 to this subpart.

(2) Determine the integrated energy factor, expressed in L/kWh, according to section 5.4 of appendix X1 to this subpart.

(3) Determine the case volume, expressed in cubic feet, for whole-home dehumidifiers in accordance with section 5.7 of appendix X1 of this subpart.

(aa) *Battery Chargers.* (1) For battery chargers subject to compliance with the relevant standard at § 430.32(z) as that standard appeared in the January 1, 2022, edition of 10 CFR parts 200–499:

(i) Measure the maintenance mode power, standby power, off mode power, battery discharge energy, 24-hour energy consumption and measured duration of the charge and maintenance mode test for a battery charger other than uninterruptible power supplies in accordance with appendix Y to this subpart;

(ii) Calculate the unit energy consumption of a battery charger other than uninterruptible power supplies in accordance with appendix Y to this subpart;

(iii) Calculate the average load adjusted efficiency of an uninterruptible power supply in accordance with appendix Y to this subpart.

(2) For a battery charger subject to compliance with any amended relevant standard provided in § 430.32 that is published after September 8, 2022:

(i) Measure active mode energy, maintenance mode power, no-battery mode power, off mode power and battery discharge energy for a battery charger other than uninterruptible power supplies in accordance with appendix Y1 to this subpart.

(ii) Calculate the standby power of a battery charger other than uninterruptible power supplies in accordance with appendix Y1, to this subpart.

(iii) Calculate the average load adjusted efficiency of an uninterruptible power supply in accordance with appendix Y1 to this subpart.

(bb) *External Power Supplies.* The energy consumption of an external power supply, including active-mode efficiency expressed as a percentage and the no-load, off, and standby mode energy consumption levels expressed in watts, shall be measured in accordance with appendix Z of this subpart.

(cc) *Furnace Fans.* The energy consumption of a single unit of a furnace fan basic model expressed in watts per 1000 cubic feet per minute (cfm) to the nearest integer shall be calculated in accordance with Appendix AA of this subpart.

(dd) *Portable air conditioners.*

(1) When using appendix CC to this subpart, measure the seasonally adjusted cooling capacity (''SACC'') in British thermal units per hour (Btu/h), and the combined energy efficiency ratio, in British thermal units per watt-hour (Btu/Wh) in accordance with sections 5.2 and 5.4 of appendix CC to this subpart, respectively. When using appendix CC1 to this subpart, measure the SACC in Btu/h, and the combined energy efficiency ratio, in Btu/Wh in accordance with sections 5.2 and 5.4, respectively, of appendix CC1 to this subpart.

(2) When using appendix CC to this subpart, determine the estimated annual operating cost for portable air conditioners, in dollars per year and rounded to the nearest whole number, by multiplying a representative average unit cost of electrical energy in dollars per kilowatt-hour as provided by the Secretary by the total annual energy consumption (''AEC''), determined as follows:

(i) For dual-duct single-speed portable air conditioners, the sum of AEC_{DD_95} multiplied by 0.2, AEC_{DD_83} multiplied by 0.8, and AEC_T as measured in accordance with section 5.3 of appendix CC to this subpart.

(ii) For single-duct single-speed portable air conditioners, the sum of AEC_{SD} and AEC_T as measured in accordance with section 5.3 of appendix CC to this subpart.

(iii) For dual-duct variable-speed portable air conditioners the overall sum of

(A) The sum of $AEC_{DD_95_Full}$ and $AEC_{ia/om}$, multiplied by 0.2, and

(B) The sum of $AEC_{DD_83_Low}$ and $AEC_{ia/om}$, multiplied by 0.8, as measured in accordance with section 5.3 of appendix CC to this subpart.

(iv) For single-duct variable-speed portable air conditioners, the overall sum of

(A) The sum of AEC_{SD_Full} and $AEC_{ia/om}$, multiplied by 0.2, and

(B) The sum of AEC_{SD_Low} and $AEC_{ia/om}$, multiplied by 0.8, as measured in accordance with section 5.3 of appendix CC to this subpart.

(3) When using appendix CC1 to this subpart, determine the estimated annual operating cost for portable air conditioners, in dollars per year and rounded to the nearest whole number, by multiplying a representative average unit cost of electrical energy in dollars per kilowatt-hour as provided by the Secretary by the total AEC. The total AEC is the sum of AEC_{95}, AEC_{83}, AEC_{oc}, and AEC_{ia}, as measured in accordance with section 5.3 of appendix CC1 to this subpart.

(ee) *Integrated light-emitting diode lamp.* (1) The input power of an integrated light-emitting diode lamp must be measured in accordance with section 3 of appendix BB of this subpart.

(2) The lumen output of an integrated light-emitting diode lamp must be measured in accordance with section 3 of appendix BB of this subpart.

(3) The lamp efficacy of an integrated light-emitting diode lamp must be calculated in accordance with section 3 of appendix BB of this subpart.

(4) The correlated color temperature of an integrated light-emitting diode lamp must be measured in accordance

with section 3 of appendix BB of this subpart.

(5) The color rendering index of an integrated light-emitting diode lamp must be measured in accordance with section 3 of appendix BB of this subpart.

(6) The power factor of an integrated light-emitting diode lamp must be measured in accordance with section 3 of appendix BB of this subpart.

(7) The time to failure of an integrated light-emitting diode lamp must be measured in accordance with section 4 of appendix BB of this subpart.

(8) The standby mode power must be measured in accordance with section 5 of appendix BB of this subpart.

(ff) *Coolers and combination cooler refrigeration products.* (1) The estimated annual operating cost for models without an anti-sweat heater switch shall be the product of the following three factors, with the resulting product then being rounded to the nearest dollar per year:

(i) The representative average-use cycle of 365 cycles per year;

(ii) The average per-cycle energy consumption for the standard cycle in kilowatt-hours per cycle, determined according to appendix A of this subpart; and

(iii) The representative average unit cost of electricity in dollars per kilowatt-hour as provided by the Secretary.

(2) The estimated annual operating cost for models with an anti-sweat heater switch shall be the product of the following three factors, with the resulting product then being rounded to the nearest dollar per year:

(i) The representative average-use cycle of 365 cycles per year;

(ii) Half the sum of the average per-cycle energy consumption for the standard cycle and the average per-cycle energy consumption for a test cycle type with the anti-sweat heater switch in the position set at the factory just before shipping, each in kilowatt-hours per cycle, determined according to appendix A of this subpart; and

(iii) The representative average unit cost of electricity in dollars per kilowatt-hour as provided by the Secretary.

(3) The estimated annual operating cost for any other specified cycle type shall be the product of the following three factors, with the resulting product then being rounded to the nearest dollar per year:

(i) The representative average-use cycle of 365 cycles per year;

(ii) The average per-cycle energy consumption for the specified cycle type, determined according to appendix A of this subpart; and

(iii) The representative average unit cost of electricity in dollars per kilowatt-hour as provided by the Secretary.

(4) The energy factor, expressed in cubic feet per kilowatt-hour per cycle, shall be:

(i) For models without an anti-sweat heater switch, the quotient of:

(A) The adjusted total volume in cubic feet, determined according to appendix A of this subpart, divided by—

(B) The average per-cycle energy consumption for the standard cycle in kilowatt-hours per cycle, determined according to appendix A of this subpart, the resulting quotient then being rounded to the second decimal place; and

(ii) For models having an anti-sweat heater switch, the quotient of:

(A) The adjusted total volume in cubic feet, determined according to appendix A of this subpart, divided by—

(B) Half the sum of the average per-cycle energy consumption for the standard cycle and the average per-cycle energy consumption for a test cycle type with the anti-sweat heater switch in the position set at the factory just before shipping, each in kilowatt-hours per cycle, determined according to appendix A of this subpart, the resulting quotient then being rounded to the second decimal place.

(5) The annual energy use, expressed in kilowatt-hours per year and rounded to the nearest kilowatt-hour per year, shall be determined according to appendix A of this subpart.

(6) Other useful measures of energy consumption shall be those measures of energy consumption that the Secretary determines are likely to assist consumers in making purchasing decisions which are derived from the application of appendix A of this subpart.

(7) The following principles of interpretation shall be applied to the test procedure. The intent of the energy test procedure is to simulate operation in typical room conditions (72 °F (22.2 °C)) with door openings by testing at 90 °F (32.2 °C) ambient temperature without door openings. Except for operating characteristics that are affected by ambient temperature (for example, compressor percent run time), the unit, when tested under this test procedure, shall operate in a manner equivalent to the unit's operation while in typical room conditions.

(i) The energy used by the unit shall be calculated when a calculation is provided by the test procedure. Energy consuming components that operate in typical room conditions (including as a result of door openings, or a function of humidity), and that are not excluded by this test procedure, shall operate in an equivalent manner during energy testing under this test procedure, or be accounted for by all calculations as provided for in the test procedure. Examples:

(A) Energy saving features that are designed to operate when there are no door openings for long periods of time shall not be functional during the energy test.

(B) The defrost heater shall neither function nor turn off differently during the energy test than it would when in typical room conditions. Also, the product shall not recover differently during the defrost recovery period than it would in typical room conditions.

(C) Electric heaters that would normally operate at typical room conditions with door openings shall also operate during the energy test.

(D) Energy used during adaptive defrost shall continue to be measured and adjusted per the calculation provided for in this test procedure.

(ii) DOE recognizes that there may be situations that the test procedures do not completely address. In such cases, a manufacturer must obtain a waiver in accordance with the relevant provisions of this part if:

(A) A product contains energy consuming components that operate differently during the prescribed testing than they would during representative average consumer use; and

(B) Applying the prescribed test to that product would evaluate it in a manner that is unrepresentative of its true energy consumption (thereby providing materially inaccurate comparative data).

(8) For non-compressor models, ''compressor'' and ''compressor cycles'' as used in appendix A of this subpart shall be interpreted to mean ''refrigeration system'' and ''refrigeration system cycles,'' respectively.

(gg) *General Service Lamps.* (1) For general service incandescent lamps, use paragraph (r) of this section.

(2) For compact fluorescent lamps, use paragraph (y) of this section.

(3) For integrated LED lamps, use paragraph (ee) of this section.

(4) For other incandescent lamps, measure initial light output, input power, lamp efficacy, power factor, and standby mode power in accordance with appendix DD of this subpart.

(5) For other fluorescent lamps, measure initial light output, input power, lamp efficacy, power factor, and standby mode power in accordance with appendix DD of this subpart.

(6) For OLED and non-integrated LED lamps, measure initial light output, input power, lamp efficacy, power factor, and standby mode power in accordance with appendix DD of this subpart.

(hh) *Air cleaners.* (1) The pollen clean air delivery rate (CADR), smoke CADR, and dust CADR, expressed in cubic feet per minute (cfm), for conventional room air cleaners shall be measured in accordance with section 5 of appendix FF of this subpart.

(2) The $PM_{2.5}$ CADR, expressed in cfm, for conventional room air cleaners, shall be measured in accordance with section 5 of appendix FF of this subpart.

(3) The active mode and standby mode power consumption, expressed in watts, shall be measured in accordance with sections 5 and 6, respectively, of appendix FF of this subpart.

(4) The annual energy consumption, expressed in kilowatt-hours per year, and the integrated energy factor, expressed in CADR per watts (CADR/W), for conventional room air cleaners, shall be measured in accordance with

section 7 of appendix FF of this subpart.

(5) The estimated annual operating cost for conventional room air cleaners, expressed in dollars per year, shall be determined by multiplying the following two factors:

(i) The annual energy consumption as calculated in accordance with section 7 of appendix FF of this subpart, and

(ii) A representative average unit cost of electrical energy in dollars per kilowatt-hour as provided by the Secretary, the resulting product then being rounded off to the nearest dollar per year.

(ii) *Portable electric spas.* Measure the standby loss in watts and the fill volume in gallons of a portable electric spa in accordance with appendix GG to this subpart.

[42 FR 27898, June 1, 1977]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting § 430.23, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at *www.govinfo.gov.*

§ 430.24 [Reserved]

§ 430.25 Laboratory Accreditation Program.

The testing for general service fluorescent lamps, general service incandescent lamps (with the exception of lifetime testing), general service lamps (with the exception of applicable lifetime testing), incandescent reflector lamps, compact fluorescent lamps, and fluorescent lamp ballasts, and integrated light-emitting diode lamps must be conducted by test laboratories accredited by an Accreditation Body that is a signatory member to the International Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement (MRA). A manufacturer's or importer's own laboratory, if accredited, may conduct the applicable testing.

[81 FR 72504, Oct. 20, 2016]

§ 430.27 Petitions for waiver and interim waiver.

(a) *General information.* This section provides a means for seeking waivers of the test procedure requirements of this subpart for basic models that meet the requirements of paragraph (a)(1) of this section. In granting a waiver or interim waiver, DOE will not change the energy use or efficiency metric that the manufacturer must use to certify compliance with the applicable energy conservation standard and to make representations about the energy use or efficiency of the covered product. The granting of a waiver or interim waiver by DOE does not exempt such basic models from any other regulatory requirement contained in this part or the certification and compliance requirements of 10 CFR part 429 and specifies an alternative method for testing the basic models addressed in the waiver.

(1) Any interested person may submit a petition to waive for a particular basic model any requirements of § 430.23 or of any appendix to this subpart, upon the grounds that the basic model contains one or more design characteristics which either prevent testing of the basic model according to the prescribed test procedures or cause the prescribed test procedures to evaluate the basic model in a manner so unrepresentative of its true energy and/or water consumption characteristics as to provide materially inaccurate comparative data.

(2) Manufacturers of basic model(s) subject to a waiver or interim waiver are responsible for complying with the other requirements of this subpart and with the requirements of 10 CFR part 429 regardless of the person that originally submitted the petition for waiver and/or interim waiver. The filing of a petition for waiver and/or interim waiver shall not constitute grounds for noncompliance with any requirements of this subpart.

(3) All correspondence regarding waivers and interim waivers must be submitted to DOE either electronically to *AS_Waiver_Requests@ee.doe.gov* (preferred method of transmittal) or by mail to U.S. Department of Energy, Building Technologies Program, Test Procedure Waiver, 1000 Independence Avenue SW., Mailstop EE–5B, Washington, DC 20585–0121.

(b) *Petition content and publication.* (1) Each petition for interim waiver and waiver must:

(i) Identify the particular basic model(s) for which a waiver is requested, each brand name under which the identified basic model(s) will be distributed in commerce, the design characteristic(s) constituting the grounds for the petition, and the specific requirements sought to be waived, and must discuss in detail the need for the requested waiver;

(ii) Identify manufacturers of all other basic models distributed in commerce in the United States and known to the petitioner to incorporate design characteristic(s) similar to those found in the basic model that is the subject of the petition;

(iii) Include any alternate test procedures known to the petitioner to evaluate the performance of the product type in a manner representative of the energy and/or water consumption characteristics of the basic model; and

(iv) Be signed by the petitioner or an authorized representative. In accordance with the provisions set forth in 10 CFR 1004.11, any request for confidential treatment of any information contained in a petition or in supporting documentation must be accompanied by a copy of the petition, application or supporting documentation from which the information claimed to be confidential has been deleted. DOE will publish in the FEDERAL REGISTER the petition and supporting documents from which confidential information, as determined by DOE, has been deleted in accordance with 10 CFR 1004.11 and will solicit comments, data and information with respect to the determination of the petition.

(2) In addition to the requirements in paragraph (b)(1) of this section, each petition for interim waiver must reference the related petition for waiver, demonstrate likely success of the petition for waiver, and address what economic hardship and/or competitive disadvantage is likely to result absent a favorable determination on the petition for interim waiver.

(c) *Notification to other manufacturers.* (1) Each petitioner for interim waiver must, upon publication of a grant of an interim waiver in the FEDERAL REGISTER, notify in writing all known manufacturers of domestically marketed basic models of the same product class (as specified in 10 CFR 430.32) and of other product classes known to the petitioner to use the technology or have the characteristic at issue in the waiver. The notice must include a statement that DOE has published the interim waiver and petition for waiver in the FEDERAL REGISTER and the date the petition for waiver was published. The notice must also include a statement that DOE will receive and consider timely written comments on the petition for waiver. Within five working days, each petitioner must file with DOE a statement certifying the names and addresses of each person to whom a notice of the petition for waiver has been sent.

(2) If a petitioner does not request an interim waiver and notification has not been provided pursuant to paragraph (c)(1) of this section, each petitioner, after filing a petition for waiver with DOE, and after the petition for waiver has been published in the FEDERAL REGISTER, must, within five working days of such publication, notify in writing all known manufacturers of domestically marketed units of the same product class (as listed in 10 CFR 430.32) and of other product classes known to the petitioner to use the technology or have the characteristic at issue in the waiver. The notice must include a statement that DOE has published the petition in the FEDERAL REGISTER and the date the petition for waiver was published. Within five working days of the publication of the petition in the FEDERAL REGISTER, each petitioner must file with DOE a statement certifying the names and addresses of each person to whom a notice of the petition for waiver has been sent.

(d) *Public comment and rebuttal.* (1) Any person submitting written comments to DOE with respect to an interim waiver must also send a copy of the comments to the petitioner by the deadline specified in the notice.

(2) Any person submitting written comments to DOE with respect to a petition for waiver must also send a copy of such comments to the petitioner.

(3) A petitioner may, within 10 working days of the close of the comment period specified in the FEDERAL REGISTER, submit a rebuttal statement to

DOE. A petitioner may rebut more than one comment in a single rebuttal statement.

(e) *Provisions specific to interim waivers.* (1) DOE will post a petition for interim waiver on its website within 5 business days of receipt of a complete petition. DOE will make best efforts to review a petition for interim waiver within 90 business days of receipt of a complete petition.

(2) A petition for interim waiver that does not meet the content requirements of paragraph (b) of this section will be considered incomplete. DOE will notify the petitioner of an incomplete petition via email.

(3) DOE will grant an interim waiver from the test procedure requirements if it appears likely that the petition for waiver will be granted and/or if DOE determines that it would be desirable for public policy reasons to grant immediate relief pending a determination on the petition for waiver. Notice of DOE's determination on the petition for interim waiver will be published in the FEDERAL REGISTER.

(f) *Provisions specific to waivers*—(1) *Disposition of application.* The petitioner shall be notified in writing as soon as practicable of the disposition of each petition for waiver. DOE shall issue a decision on the petition as soon as is practicable following receipt and review of the Petition for Waiver and other applicable documents, including, but not limited to, comments and rebuttal statements.

(2) Criteria for granting. DOE will grant a waiver from the test procedure requirements if DOE determines either that the basic model(s) for which the waiver was requested contains a design characteristic that prevents testing of the basic model according to the prescribed test procedures, or that the prescribed test procedures evaluate the basic model in a manner so unrepresentative of its true energy or water consumption characteristics as to provide materially inaccurate comparative data. Waivers may be granted subject to conditions, which may include adherence to alternate test procedures specified by DOE. DOE will consult with the Federal Trade Commission prior to granting any waiver, and will promptly publish in the FEDERAL REGISTER notice of each waiver granted or denied, and any limiting conditions of each waiver granted.

(g) *Extension to additional basic models.* A petitioner may request that DOE extend the scope of a waiver or an interim waiver to include additional basic models employing the same technology as the basic model(s) set forth in the original petition. The petition for extension must identify the particular basic model(s) for which a waiver extension is requested, each brand name under which the identified basic model(s) will be distributed in commerce, and documentation supporting the claim that the additional basic models employ the same technology as the basic model(s) set forth in the original petition. DOE will publish any such extension in the FEDERAL REGISTER.

(h) *Duration.* (1) Within one year of issuance of an interim waiver, DOE will either:

(i) Publish in the FEDERAL REGISTER a determination on the petition for waiver; or

(ii) Publish in the FEDERAL REGISTER a new or amended test procedure that addresses the issues presented in the waiver.

(2) When DOE publishes a decision and order on a petition for waiver in the FEDERAL REGISTER pursuant to paragraph (f) of this section, the interim waiver will terminate upon the data specified in the decision and order, in accordance with paragraph (i) of this section.

(3) When DOE amends the test procedure to address the issues presented in a waiver, the waiver or interim waiver will automatically terminate on the date on which use of that test procedure is required to demonstrate compliance.

(4) When DOE publishes a decision and order in the FEDERAL REGISTER to modify a waiver pursuant to paragraph (k) of this section, the existing waiver will terminate 180 days after the publication date of the decision and order.

(i) *Compliance certification and representations.* (1) If the interim waiver test procedure methodology is different than the decision and order test procedure methodology, certification reports to DOE required under 10 CFR

429.12 and any representations must be based on either of the two methodologies until 180 days after the publication date of the decision and order. Thereafter, certification reports and any representations must be based on the decision and order test procedure methodology, unless otherwise specified by DOE. Once a manufacturer uses the decision and order test procedure methodology in a certification report or any representation, all subsequent certification reports and any representations must be made using the decision and order test procedure methodology while the waiver is valid.

(2) When DOE publishes a new or amended test procedure, certification reports to DOE required under 10 CFR 429.12 and any representations must be based on the testing methodology of an applicable waiver or interim waiver, or the new or amended test procedure until the date on which use of such test procedure is required to demonstrate compliance, unless otherwise specified by DOE in the test procedure final rule. Thereafter, certification reports and any representations must be based on the test procedure final rule methodology. Once a manufacturer uses the test procedure final rule methodology in a certification report or any representation, all subsequent certification reports and any representations must be made using the test procedure final rule methodology.

(3) If DOE publishes a decision and order modifying an existing waiver, certification reports to DOE required under 10 CFR 429.12 and any representations must be based on either of the two methodologies until 180 days after the publication date of the decision and order modifying the waiver. Thereafter, certification reports and any representations must be based on the modified test procedure methodology unless otherwise specified by DOE. Once a manufacturer uses the modified test procedure methodology in a certification report or any representation, all subsequent certification reports and any representations must be made using the modified test procedure methodology while the modified waiver is valid.

(j) *Petition for waiver required of other manufactures.* Any manufacturer of a basic model employing a technology or characteristic for which a waiver was granted for another basic model and that results in the need for a waiver (as specified by DOE in a published decision and order in the FEDERAL REGISTER) must petition for and be granted a waiver for that basic model. Manufacturers may also submit a request for interim waiver pursuant to the requirements of this section.

(k) *Rescission or modification.* (1) DOE may rescind or modify a waiver or interim waiver at any time upon DOE's determination that the factual basis underlying the petition for waiver or interim waiver is incorrect, upon a determination that the results from the alternate test procedure are unrepresentative of the basic model(s)' true energy consumption characteristics, or for other appropriate reason. Waivers and interim waivers are conditioned upon the validity of statements, representations, and documents provided by the requestor; any evidence that the original grant of a waiver or interim waiver was based upon inaccurate information will weigh against continuation of the waiver. DOE's decision will specify the basis for its determination and, in the case of a modification, will also specify the change to the authorized test procedure.

(2) A person may request that DOE rescind or modify a waiver or interim waiver issued to that person if the person discovers an error in the information provided to DOE as part of its petition, determines that the waiver is no longer needed, or for other appropriate reasons. In a request for rescission, the requestor must provide a statement explaining why it is requesting rescission. In a request for modification, the requestor must explain the need for modification to the authorized test procedure and detail the modifications needed and the corresponding impact on measured energy consumption.

(3) DOE will publish a proposed rescission or modification (DOE-initiated or at the request of the original requestor) in the FEDERAL REGISTER for public comment. A requestor may, within 10 working days of the close of the comment period specified in the proposed rescission or modification published in the FEDERAL REGISTER,

submit a rebuttal statement to DOE. A requestor may rebut more than one comment in a single rebuttal statement.

(4) DOE will publish its decision in the FEDERAL REGISTER. DOE's determination will be based on relevant information contained in the record and any comments received.

(5) After the effective date of a rescission, any basic model(s) previously subject to a waiver must be tested and certified using the applicable DOE test procedure in 10 CFR part 430.

(l) *Revision of regulation.* As soon as practicable after the granting of any waiver, DOE will publish in the FEDERAL REGISTER a notice of proposed rulemaking to amend its regulations so as to eliminate any need for the continuation of such waiver. As soon thereafter as practicable, DOE will publish in the FEDERAL REGISTER a final rule.

(m) To exhaust administrative remedies, any person aggrieved by an action under this section must file an appeal with the DOE's Office of Hearings and Appeals as provided in 10 CFR part 1003, subpart C.

[79 FR 26599, May 9, 2014, as amended at 85 FR 79820, Dec. 11, 2020; 86 FR 70959, Dec. 14, 2021]

APPENDIX A TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF REFRIGERATORS, REFRIGERATOR-FREEZERS, AND MISCELLANEOUS REFRIGERATION PRODUCTS

NOTE: Prior to April 11, 2022, any representations of volume and energy use of refrigerators, refrigerator-freezers, and miscellaneous refrigeration products must be based on the results of testing pursuant to either this appendix or the procedures in appendix A as it appeared at 10 CFR part 430, subpart B, appendix A, in the 10 CFR parts 200 to 499 edition revised as of January 1, 2019. Any representations of volume and energy use must be in accordance with whichever version is selected. On or after April 11, 2022, any representations of volume and energy use must be based on the results of testing pursuant to this appendix.

For refrigerators and refrigerator-freezers, the rounding requirements specified in sections 4 and 5 of this appendix are not required for use until the compliance date of any amendment of energy conservation standards for these products published after October 12, 2021.

1. Referenced Materials

DOE incorporated by reference AHAM HRF–1–2019, *Energy and Internal Volume of Consumer Refrigeration Products* (''HRF–1–2019''), and AS/NZS 4474.1:2007, *Performance of Household Electrical Appliances—Refrigerating Appliances; Part 1: Energy Consumption and Performance, Second Edition* (''AS/NZS 4474.1:2007''), in their entirety in §430.3; however, only enumerated provisions of these documents are applicable to this appendix. If there is any conflict between HRF–1–2019 and this appendix or between AS/NZS 4474.1:2007 and this appendix, follow the language of the test procedure in this appendix, disregarding the conflicting industry standard language.

(a) AHAM HRF–1–2019, (''HRF–1–2019''), Energy and Internal Volume of Consumer Refrigeration Products:

(i) Section 3—Definitions, as specified in section 3 of this appendix;

(ii) Section 4—Method for Determining the Refrigerated Volume of Consumer Refrigeration Products, as specified in section 4.1 of this appendix;

(iii) Section 5—Method for Determining the Energy Consumption of Consumer Refrigeration Products (excluding Table 5–1 and sections 5.5.6.5, 5.8.2.1.2, 5.8.2.1.3, 5.8.2.1.4, 5.8.2.1.5, and 5.8.2.1.6), as specified in section 5 of this appendix; and

(iv) Section 6—Method for Determining the Adjusted Volume of Consumer Refrigeration Products, as specified in section 4.2 of this appendix;

(b) AS/NZS 4474.1:2007, (''AS/NZS 4474.1:2007''), Performance of Household Electrical Appliances—Refrigerating Appliances; Part 1: Energy Consumption and Performance, Second Edition:

(i) Appendix M—Method of Interpolation When Two Controls are Adjusted, as specified in sections 5.2(b) and 5.5 of this appendix.

(ii) [Reserved]

2. Scope

This appendix provides the test procedure for measuring the annual energy use in kilowatt-hours per year (kWh/yr), the total refrigerated volume in cubic feet (ft^3), and the total adjusted volume in cubic feet (ft^3) of refrigerators, refrigerator-freezers, and miscellaneous refrigeration products.

3. Definitions

Section 3, *Definitions*, of HRF–1–2019 applies to this test procedure. In case of conflicting terms between HRF–1–2019 and DOE's definitions in this appendix or in §430.2, DOE's definitions take priority.

Door-in-door means a set of doors or an outer door and inner drawer for which—

(a) Both doors (or both the door and the drawer) must be opened to provide access to the interior through a single opening;

(b) Gaskets for both doors (or both the door and the drawer) are exposed to external ambient conditions on the outside around the full perimeter of the respective openings; and

(c) The space between the two doors (or between the door and the drawer) achieves temperature levels consistent with the temperature requirements of the interior compartment to which the door-in-door provides access.

Through-the-door ice/water dispenser means a device incorporated within the cabinet, but outside the boundary of the refrigerated space, that delivers to the user on demand ice and may also deliver water from within the refrigerated space without opening an exterior door. This definition includes dispensers that are capable of dispensing ice and water or ice only.

Transparent door means an external fresh food compartment door which meets the following criteria:

(a) The area of the transparent portion of the door is at least 40 percent of the area of the door.

(b) The area of the door is at least 50 percent of the sum of the areas of all the external doors providing access to the fresh food compartments and cooler compartments.

(c) For the purposes of this evaluation, the area of a door is determined as the product of the maximum height and maximum width dimensions of the door, not considering potential extension of flaps used to provide a seal to adjacent doors.

4. Volume

Determine the refrigerated volume and adjusted volume for refrigerators, refrigerator-freezers, and miscellaneous refrigeration products in accordance with the following sections of HRF–1–2019, respectively:

4.1. Section 4, Method for Determining the Refrigerated Volume of Consumer Refrigeration Products; and

4.2. Section 6, Method for Determining the Adjusted Volume of Consumer Refrigeration Products.

5. Energy Consumption

Determine the annual energy use (''AEU'') in kilowatt-hours per year (kWh/yr), for refrigerators, refrigerator-freezers, and miscellaneous refrigeration products in accordance with section 5, *Method for Determining the Energy Consumption of Consumer Refrigeration Products,* of HRF–1–2019, except as follows.

5.1. Test Setup and Test Conditions

(a) In section 5.3.1 of HRF–1–2019, the top of the unit shall be determined by the refrigerated cabinet height, excluding any accessories or protruding components on the top of the unit.

(b) The ambient temperature and vertical ambient temperature gradient requirements specified in section 5.3.1 of HRF–1–2019 shall be maintained during both the stabilization period and the test period.

(c) The power supply requirements as specified in section 5.5.1 of HRF–1–2019 shall be maintained based on measurement intervals not to exceed one minute.

(d) The ice storage compartment temperature requirement as specified in section 5.5.6.5 in HRF–1–2019 is not required.

(e) For cases in which setup is not clearly defined by this test procedure, manufacturers must submit a petition for a waiver (See section 6 of this appendix).

(f) If the interior arrangements of the unit under test do not conform with those shown in Figures 5–1 or 5–2 of HRF–1–2019, as appropriate, the unit must be tested by relocating the temperature sensors from the locations specified in the figures to avoid interference with hardware or components within the unit, in which case the specific locations used for the temperature sensors shall be noted in the test data records maintained by the manufacturer in accordance with 10 CFR 429.71, and the certification report shall indicate that non-standard sensor locations were used. If any temperature sensor is relocated by any amount from the location prescribed in Figure 5–1 or 5–2 of HRF–1–2019 in order to maintain a minimum 1-inch air space from adjustable shelves or other components that could be relocated by the consumer, except in cases in which the Figures prescribe a temperature sensor location within 1 inch of a shelf or similar feature (*e.g.*, sensor T3 in Figure 5–1), this constitutes a relocation of temperature sensors that must be recorded in the test data and reported in the certification report as described in this paragraph.

5.2. Test Conduct

(a) Standard Approach

(i) For the purposes of comparing compartment temperatures with standardized temperatures, as described in section 5.6 of HRF–1–2019, the freezer compartment temperature shall be as specified in section 5.8.1.2.5 of HRF–1–2019, the fresh food compartment temperature shall be as specified in section 5.8.1.2.4 of HRF–1–2019, and the cooler compartment temperature shall be as specified in section 5.8.1.2.6 of HRF–1–2019.

(ii) In place of Table 5–1 in HRF–1–2019, refer to Table 1 of this section.

TABLE 1—TEMPERATURE SETTINGS: GENERAL CHART FOR ALL PRODUCTS

First test		Second test		Energy calculation based on:
Setting	Results	Setting	Results	
Mid for all Compartments.	All compartments below standard reference temperature.	Warmest for all Compartments.	All compartments below standard reference temperature.	Second Test Only.
			One or more compartments above standard reference temperature.	First and Second Test.
	One or more compartments above standard reference temperature.	Coldest for all Compartments.	All compartments below standard reference temperature.	First and Second Test.
			One or more compartments above standard reference temperature.	Model may not be certified as compliant with energy conservation standards based on testing of this unit. Confirm that unit meets product definition. If so, see section 6 of this appendix.

(b) Three-Point Interpolation Method (Optional Test for Models with Two Compartments and User-Operable Controls). As specified in section 5.6.3(6) of HRF–1–2019, and as an optional alternative to section 5.2(a) of this appendix, perform three tests such that the set of tests meets the ''minimum requirements for interpolation'' of AS/NZS 4474.1:2007 appendix M, section M3, paragraphs (a) through (c) and as illustrated in Figure M1. The target temperatures txA and txB defined in section M4(a)(i) of AS/NZ 4474.1:2007 shall be the standardized temperatures defined in section 5.6 of HRF–1–2019.

5.3. Test Cycle Energy Calculations

Section 5.8.2, *Energy Consumption*, of HRF–1–2019 applies to this test procedure, except as follows:

(a) In place of section 5.8.2.1.2 of HRF–1–2019, use the calculations provided in this section. For units with long-time automatic defrost control using the two-part test period, the test cycle energy shall be calculated as:

$$\mathrm{ET} = \left(\frac{1440 \times K \times EP1}{T1}\right) + \left[EP2 - \left(EP1 \times \frac{T2}{T1}\right)\right] \times \left[\frac{12}{CT}\right] \times K$$

Where:

ET = test cycle energy expended in kilowatt-hours per day;

1440 = conversion factor to adjust to a 24-hour average use cycle in minutes per day;

K = dimensionless correction factor of 1.0 for refrigerators and refrigerator-freezers and 0.55 for miscellaneous refrigeration products.

EP1 = energy expended in kilowatt-hours during the first part of the test;

EP2 = energy expended in kilowatt-hours during the second part of the test;

T1 and T2 = length of time in minutes of the first and second test parts, respectively;

CT = defrost timer run time or compressor run time between defrosts in hours required to go through a complete cycle, rounded to the nearest tenth of an hour;

12 = factor to adjust for a 50-percent run time of the compressor in hours per day.

(b) In place of sections 5.8.2.1.3 and 5.8.2.1.4 of HRF–1–2019, use the calculations provided in this section. For units with variable defrost control, the test cycle energy shall be calculated as set forth in section 5.3(a) of this appendix with the following addition:

CT shall be calculated equivalent to:

$$CT = \frac{CT_L \times CT_M}{F \times (CT_M - CT_L) + CT_L}$$

Where:

CT_L = the least or shortest compressor run time between defrosts used in the variable defrost control algorithm (greater than or equal to 6 but less than or equal to 12 hours), or the shortest compressor run time between defrosts observed for the test (if it is shorter than the shortest run time used in the control algorithm and is greater than 6 hours), or 6 hours (if the shortest observed run time is less than 6 hours), in hours rounded to the nearest tenth of an hour;

CT_M = the maximum compressor run time between defrosts in hours rounded to the nearest tenth of an hour (greater than CT_L but not more than 96 hours);

For variable defrost models with no values of CT_L and CT_M in the algorithm, the default values of 6 and 96 shall be used, respectively.

F = ratio of per day energy consumption in excess of the least energy and the maximum difference in per-day energy consumption and is equal to 0.20.

(c) In place of section 5.8.2.1.5 of HRF–1–2019, use the calculations provided in this section. For multiple-compressor products with automatic defrost, the two-part test method in section 5.7.2.1 of HRF–1–2019 shall be used, and the test cycle energy shall be calculated as:

$$\mathrm{ET} = \left(\frac{1440 \times K \times EP1}{T1}\right) + \sum_{i=1}^{D}\left[\left(EP2_i - \left(EP1 \times \frac{T2_i}{T1}\right)\right) \times \left(\frac{12}{CT_i}\right) \times K\right]$$

Where:

ET, 1440, 12, and K are defined in section 5.3(a) of this appendix;

EP1, and T1 are defined in section 5.3(a) of this appendix;

i = a subscript variable that can equal 1, 2, or more that identifies each individual compressor system that has automatic defrost;

D = the total number of compressor systems with automatic defrost;

$EP2_i$ = energy expended in kilowatt-hours during the second part of the test for compressor system i;

$T2_i$ = length of time in minutes of the second part of the test for compressor system i;

CT_i = compressor run time between defrosts of compressor system i, rounded to the nearest tenth of an hour, for long-time automatic defrost control equal to a fixed time in hours, and for variable defrost control equal to:

$$CT_i = \frac{CT_{L,i} \times CT_{M,i}}{F \times \left(CT_{M,i} - CT_{L,i}\right) + CT_{L,i}}$$

Where:

$CT_{L,i}$ = for compressor system i, the shortest cumulative compressor-on time between defrost heater-on events used in the variable defrost control algorithm (CT_L for the compressor system with the longest compressor run time between defrosts must be greater than or equal to 6 but less than or equal to 12 hours), in hours rounded to the nearest tenth of an hour;

$CT_{M,i}$ = for compressor system i, the maximum compressor-on time between defrost heater-on events used in the variable defrost control algorithm (greater than $CT_{L,i}$ but not more than 96 hours), in hours rounded to the nearest tenth of an hour;

For defrost cycle types with no values of CT_L and CT_M in the algorithm, the default values of 6 and 96 shall be used, respectively.

F = ratio of per day energy consumption in excess of the least energy and the maximum difference in per-day energy consumption and is equal to 0.20.

(d) In place of section 5.8.2.1.6 of HRF–1–2019, use the calculations provided in this section. For units with long-time automatic defrost control and variable defrost control with multiple defrost cycle types, the two-part test method in section 5.7.2.1 of HRF–1–2019 shall be used, and the test cycle energy shall be calculated as:

$$\mathrm{ET} = \left(\frac{1440 \times K \times EP1}{T1}\right) + \sum_{i=1}^{D}\left[\left(EP2_i - \left(EP1 \times \frac{T2_i}{T1}\right)\right) \times \left(\frac{12}{CT_i}\right) \times K\right]$$

Where:

ET, 1440, 12, and K are defined in section 5.3(a) of this appendix;

EP1, and T1 are defined in section 5.3(a) of this appendix;

i = a subscript variable that can equal 1, 2, or more that identifies the distinct defrost cycle types applicable for the product;

D = the total number of defrost cycle types;

$EP2_i$ = energy expended in kilowatt-hours during the second part of the test for defrost cycle type i;

$T2_i$ = length of time in minutes of the second part of the test for defrost cycle type i;

CT_i = defrost timer run time or compressor run time between instances of defrost cycle type i, rounded to the nearest tenth of an hour;

12 = factor to adjust for a 50-percent run time of the compressor in hours per day.

(i) For long-time automatic defrost control, CTi shall be equal to a fixed time in hours rounded to the nearest tenth of an hour. For cases in which there are more than one fixed CT value for a given defrost cycle type, an average fixed CT value shall be selected for this cycle type.

(ii) For variable defrost control, CTi shall be calculated equivalent to:

$$CT_i = \frac{CT_{L,i} \times CT_{M,i}}{F \times \left(CT_{M,i} - CT_{L,i}\right) + CT_{L,i}}$$

Where:

$CT_{L,i}$ = the least or shortest compressor run time between instances of the defrost cycle type i in hours rounded to the nearest tenth of an hour (CT_L for the defrost cycle type with the longest compressor run time between defrosts must be greater than or equal to 6 but less than or equal to 12 hours);

$CT_{M,i}$ = the maximum compressor run time between instances of defrost cycle type i in hours rounded to the nearest tenth of an hour (greater than $CT_{L,i}$ but not more than 96 hours);

For cases in which there are more than one CT_M and/or CT_L value for a given defrost cycle type, an average of the CT_M and CT_L values shall be selected for this defrost cycle type. For defrost cycle types with no values of CT_L and CT_M in the algorithm, the default values of 6 and 96 shall be used, respectively.

F = ratio of per day energy consumption in excess of the least energy and the maximum difference in per-day energy consumption and is equal to 0.20.

5.4. *Icemaker Energy Use*

(a) For refrigerators and refrigerator-freezers: To demonstrate compliance with the energy conservation standards at §430.32(a) applicable to products manufactured on or after September 15, 2014, but before the compliance date of any amended standards published after January 1, 2022, IET, expressed in kilowatt-hours per cycle, equals 0.23 for a product with one or more automatic icemakers and otherwise equals 0 (zero). To demonstrate compliance with any amended standards published after January 1, 2022, IET, expressed in kilowatt-hours per cycle, is as defined in section 5.9.2.1 of HRF–1–2019.

(b) For miscellaneous refrigeration products: To demonstrate compliance with the energy conservation standards at §430.32(aa) applicable to products manufactured on or after October 28, 2019, IET, expressed in kilowatt-hours per cycle, equals 0.23 for a product with one or more automatic icemakers and otherwise equals 0 (zero).

5.5. *Triangulation Method*

If the three-point interpolation method of section 5.2(b) of this appendix is used for setting temperature controls, the average per-

cycle energy consumption shall be defined as follows:

$E = E_X + IET$

Where:

E is defined in section 5.9.1.1 of HRF–1–2019;
IET is defined in section 5.4 of this appendix; and
E_X is defined and calculated as described in appendix M, section M4(a) of AS/NZS 4474.1:2007. The target temperatures t_{xA} and t_{xB} defined in section M4(a)(i) of AS/NZS 4474.1:2007 shall be the standardized temperatures defined in section 5.6 of HRF–1–2019.

6. Test Procedure Waivers

To the extent that the procedures contained in this appendix do not provide a means for determining the energy consumption of a basic model, a manufacturer must obtain a waiver under §430.27 to establish an acceptable test procedure for each such basic model. Such instances could, for example, include situations where the test setup for a particular basic model is not clearly defined by the provisions of this appendix. For details regarding the criteria and procedures for obtaining a waiver, please refer to §430.27.

[86 FR 56821, Oct. 12, 2021, as amended at 89 FR 3112, Jan. 17, 2024]

APPENDIX B TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF FREEZERS

NOTE: Prior to April 11, 2022, any representations of volume and energy use of freezers must be based on the results of testing pursuant to either this appendix or the procedures in appendix B as it appeared at 10 CFR part 430, subpart B, appendix B, in the 10 CFR parts 200 to 499 edition revised as of January 1, 2019. Any representations of volume and energy use must be in accordance with whichever version is selected. On or after April 11, 2022, any representations of volume and energy use must be based on the results of testing pursuant to this appendix.

For freezers, the rounding requirements specified in sections 4 and 5 of this appendix are not required for use until the compliance date of any amendment of energy conservation standards for these products published after October 12, 2021.

1. Referenced Materials

DOE incorporated by reference HRF–1–2019, *Energy and Internal Volume of Consumer Refrigeration Products* (''HRF–1–2019'') in its entirety in §430.3; however, only enumerated provisions of this document are applicable to this appendix. If there is any conflict between HRF–1–2019 and this appendix, follow the language of the test procedure in this appendix, disregarding the conflicting industry standard language.

(a) AHAM HRF–1–2019, (''HRF–1–2019''), Energy and Internal Volume of Consumer Refrigeration Products:

(i) Section 3—Definitions, as specified in section 3 of this appendix;

(ii) Section 4—Method for Determining the Refrigerated Volume of Consumer Refrigeration Products, as specified in section 4.1 of this appendix;

(iii) Section 5—Method for Determining the Energy Consumption of Consumer Refrigeration Products (excluding Table 5–1 and sections 5.5.6.5, 5.8.2.1.2, 5.8.2.1.3, 5.8.2.1.4, 5.8.2.1.5, and 5.8.2.1.6), as specified in section 5 of this appendix; and

(iv) Section 6—Method for Determining the Adjusted Volume of Consumer Refrigeration Products, as specified in section 4.2 of this appendix.

(b) Reserved.

If there is any conflict between HRF–1–2019 and this appendix, follow the language of the test procedure in this appendix, disregarding the conflicting industry standard language.

2. Scope

This appendix provides the test procedure for measuring the annual energy use in kilowatt-hours per year (kWh/yr), the total refrigerated volume in cubic feet (ft^3), and the total adjusted volume in cubic feet (ft^3) of freezers.

3. Definitions

Section 3, *Definitions*, of HRF–1–2019 applies to this test procedure. In case of conflicting terms between HRF–1–2019 and DOE's definitions in this appendix or in §430.2, DOE's definitions take priority.

Through-the-door ice/water dispenser means a device incorporated within the cabinet, but outside the boundary of the refrigerated space, that delivers to the user on demand ice and may also deliver water from within the refrigerated space without opening an exterior door. This definition includes dispensers that are capable of dispensing ice and water or ice only.

4. Volume

Determine the refrigerated volume and adjusted volume for freezers in accordance with the following sections of HRF–1–2019, respectively:

4.1. Section 4, Method for Determining the Refrigerated Volume of Consumer Refrigeration Products; and

4.2. Section 6, Method for Determining the Adjusted Volume of Consumer Refrigeration Products.

5. Energy Consumption

Determine the annual energy use (''AEU'') in kilowatt-hours per year (kWh/yr), for freezers in accordance with section 5, *Method for Determining the Energy Consumption of Consumer Refrigeration Products,* of HRF–1–2019, except as follows.

5.1. Test Setup and Test Conditions

(a) In section 5.3.1 of HRF–1–2019, the top of the unit shall be determined by the refrigerated cabinet height, excluding any accessories or protruding components on the top of the unit.

(b) The ambient temperature and vertical ambient temperature gradient requirements specified in section 5.3.1 of HRF–1–2019 shall be maintained during both the stabilization period and the test period.

(c) The power supply requirements as specified in section 5.5.1 of HRF–1–2019 shall be maintained based on measurement intervals not to exceed one minute.

(d) The ice storage compartment temperature requirement as specified in section 5.5.6.5 in HRF–1–2019 is not required.

(e) For cases in which setup is not clearly defined by this test procedure, manufacturers must submit a petition for a waiver (See section 6 of this appendix).

(f) If the interior arrangements of the unit under test do not conform with those shown in Figure 5–2 of HRF–1–2019, as appropriate, the unit must be tested by relocating the temperature sensors from the locations specified in the figures to avoid interference with hardware or components within the unit, in which case the specific locations used for the temperature sensors shall be noted in the test data records maintained by the manufacturer in accordance with 10 CFR 429.71, and the certification report shall indicate that non-standard sensor locations were used. If any temperature sensor is relocated by any amount from the location prescribed in Figure 5–2 of HRF–1- 2019 in order to maintain a minimum 1-inch air space from adjustable shelves or other components that could be relocated by the consumer, except in cases in which the Figure prescribes a temperature sensor location within 1 inch of a shelf or similar feature, this constitutes a relocation of temperature sensors that must be recorded in the test data and reported in the certification report as described in this paragraph.

5.2. Test Conduct

(a) For the purposes of comparing compartment temperatures with standardized temperatures, as described in section 5.6 of HRF–1–2019, the freezer compartment temperature shall be as specified in section 5.8.1.2.5 of HRF–1–2019.

(b) In place of Table 5–1 in HRF–1–2019, refer to Table 1 of this section.

TABLE 1—TEMPERATURE SETTINGS FOR FREEZERS

First test		Second test		Energy calculation based on:
Setting	Results	Setting	Results	
Mid	Below standard reference temperature.	Warmest	Below standard reference temperature.	Second Test Only.
			Above standard reference temperature.	First and Second Test.
	Above standard reference temperature.	Coldest	Below standard reference temperature.	First and Second Test.
			Above standard reference temperature.	Model may not be certified as compliant with energy conservation standards based on testing of this unit. Confirm that unit meets product definition. If so, see section 6 of this appendix.

5.3. Test Cycle Energy Calculations

Section 5.8.2, *Energy Consumption,* of HRF–1–2019 applies to this test procedure, except as follows:

(a) In place of section 5.8.2.1.2 of HRF–1–2019, use the calculations provided in this section. For units with long-time automatic defrost control using the two-part test period, the test cycle energy shall be calculated as:

$$\mathrm{ET} = \left(\frac{1440 \times K \times EP1}{T1}\right) + \left[EP2 - \left(EP1 \times \frac{T2}{T1}\right)\right] \times \left[\frac{12}{CT}\right] \times K$$

Where:

ET = test cycle energy expended in kilowatt-hours per day;

1440 = conversion factor to adjust to a 24-hour average use cycle in minutes per day;

K = dimensionless correction factor of 0.7 for chest freezers and 0.85 for upright freezers.

EP1 = energy expended in kilowatt-hours during the first part of the test;

EP2 = energy expended in kilowatt-hours during the second part of the test;

T1 and T2 = length of time in minutes of the first and second test parts, respectively;

CT = defrost timer run time or compressor run time between defrosts in hours required to go through a complete cycle, rounded to the nearest tenth of an hour;

12 = factor to adjust for a 50-percent run time of the compressor in hours per day.

(b) In place of sections 5.8.2.1.3 and 5.8.2.1.4 of HRF–1–2019, use the calculations provided in this section. For units with variable defrost control, the test cycle energy shall be calculated as set forth in section 5.3(a) of this appendix with the following addition:

CT shall be calculated equivalent to:

$$CT = \frac{CT_L \times CT_M}{F \times (CT_M - CT_L) + CT_L}$$

Where:

CT_L = the least or shortest compressor run time between defrosts used in the variable defrost control algorithm (greater than or equal to 6 but less than or equal to 12 hours), or the shortest compressor run time between defrosts observed for the test (if it is shorter than the shortest run time used in the control algorithm and is greater than 6 hours), or 6 hours (if the shortest observed run time is less than 6 hours), in hours rounded to the nearest tenth of an hour;

CT_M = the maximum compressor run time between defrosts in hours rounded to the nearest tenth of an hour (greater than CT_L but not more than 96 hours);

For variable defrost models with no values of CT_L and CT_M in the algorithm, the default values of 6 and 96 shall be used, respectively.

F = ratio of per day energy consumption in excess of the least energy and the maximum difference in per-day energy consumption and is equal to 0.20.

5.4. *Icemaker Energy Use*

For freezers: To demonstrate compliance with the energy conservation standards at §430.32(a) applicable to products manufactured on or after September 15, 2014, but before the compliance date of any amended standards published after January 1, 2022, IET, expressed in kilowatt-hours per cycle, equals 0.23 for a product with one or more automatic icemakers and otherwise equals 0 (zero). To demonstrate compliance with any amended standards published after January 1, 2022, IET, expressed in kilowatt-hours per cycle, is as defined in section 5.9.2.1 of HRF–1–2019.

6. Test Procedure Waivers

To the extent that the procedures contained in this appendix do not provide a means for determining the energy consumption of a basic model, a manufacturer must obtain a waiver under §430.27 to establish an acceptable test procedure for each such basic model. Such instances could, for example, include situations where the test setup for a particular basic model is not clearly defined by the provisions of this appendix. For details regarding the criteria and procedures for obtaining a waiver, please refer to §430.27.

[86 FR 56824, Oct. 12, 2021, as amended at 89 FR 3113, Jan. 17, 2024]

APPENDIX C1 TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF DISHWASHERS

NOTE: Manufacturers must use the results of testing under this appendix to determine compliance with the relevant standards provided at §430.32(f)(1).

Manufacturers must use the results of testing under appendix C2 to this subpart to determine compliance with the amended standards for dishwashers provided at §430.32(f)(2).

Manufacturers may use appendix C2 to certify compliance with the standards provided at §430.32(f)(2) prior to the applicable compliance date for those standards.

Any representations related to energy or water consumption of dishwashers must be made in accordance with the appropriate appendix that applies (*i.e.*, appendix C1 or appendix C2) when determining compliance with the relevant standards.

The regulation at 10 CFR 429.19(b)(3) provides instructions regarding the combination of detergent and detergent dosing, specified in section 2.5 of this appendix, used for certification.

0. Incorporation by Reference

In §430.3, DOE incorporated by reference the entire standard for AHAM DW–1–2020 and AHAM DW–2–2020; however, only enumerated provision of AHAM DW–1–2020, AHAM DW–2–2020, and IEC 62301 are applicable as follows:

0.1 AHAM DW–1–2020

(a) Sections 1.1 through 1.30 as referenced in section 1 of this appendix;

(b) Section 2.1 as referenced in sections 2 and 2.1 of this appendix;

(c) Sections 2.2 through 2.3.3, sections 2.5 through 2.7, sections 2.7.2 through 2.8, and section 2.11, as referenced in section 2 of this appendix;

(d) Section 2.4 as referenced in sections 2 and 2.2 of this appendix;

(e) Section 2.7.1 as referenced in sections 2 and 2.3 of this appendix;

(f) Section 2.9 as referenced in sections 2 and 2.4 of this appendix;

(g) Section 2.10 as referenced in sections 2 and 2.5 of this appendix;

(h) Sections 3.1 through 3.2 and sections 3.5 through 3.7 as referenced in section 3 of this appendix;

(i) Section 3.3 as referenced in sections 3 and 3.1 of this appendix;

(j) Section 3.4 as referenced in sections 3 and 3.2 of this appendix;

(k) Sections 4.1 through 4.1.2 and sections 4.1.4 through 4.2 as referenced in section 4 of this appendix;

(l) Section 4.1.4 as referenced in sections 4 and 4.1 of this appendix; and

(m) Section 5 as referenced in section 5 of this appendix.

0.2 AHAM DW–2–2020: Household Electric Dishwashers

(a) Section 3.4 as referenced in sections 2 and 2.3 of this appendix, and through reference to sections 1.5 and 1.22 of AHAM DW–1–2020 in section 1 of this appendix.

(b) Section 3.5 through reference to sections 1.5 and 1.22 of AHAM DW–1–2020 in section 1 of this appendix.

(c) Section 4.1 as referenced in section 2 of this appendix.

(d) Sections 5.3 through 5.8 as referenced in section 2 of this appendix, and through reference to sections 1.18, 1.19, and 1.20 of AHAM DW–1–2020 in section 1 of this appendix.

0.3 IEC 62301

(a) Sections 4.2, 4.3.2, and 5.2 as referenced in section 2 of this appendix; and

(b) Sections 5.1, note 1, and 5.3.2 as referenced in section 4 of this appendix.

1. Definitions

The definitions in sections 1.1 through 1.30 of AHAM DW–1–2020 apply to this test procedure, including the applicable provisions of AHAM DW–2–2020 as referenced in sections 1.5, 1.18, 1.19. 1.20, and 1.22 of AHAM DW–1–2020.

2. Testing Conditions

The testing conditions in sections 2.1 through 2.11 of AHAM DW–1–2020 apply to this test procedure, including the following provisions of:

(a) Sections 5.2, 4.3.2, and 4.2 of IEC 62301 as referenced in sections 2.1, 2.2.4, and 2.5.2 of AHAM DW–1–2020, respectively, and

(b) Sections 5.3 through 5.8 of AHAM DW–2–2020 as referenced in sections 2.6.3.1, 2.6.3.2, and 2.6.3.3 of AHAM DW–1–2020; section 3.4 of AHAM DW–2–2020, excluding the accompanying Note, as referenced in section 2.7.1 of AHAM DW–1–2020; section 5.4 of AHAM DW–2–2020 as referenced in section 2.7.4 of AHAM DW–1–2020; section 5.5 of AHAM DW–2–2020 as referenced in section 2.7.5 of AHAM DW–1–2020, and section 4.1 of AHAM DW–2–2020 as referenced in section 2.10.1 of AHAM DW–1–2020. Additionally, the following requirements are also applicable.

2.1 *Installation Requirements.*

The installation requirements described in section 2.1 of AHAM DW–1–2020 are applicable to all dishwashers, with the following additions:

2.1.1 *In-Sink Dishwashers.*

For in-sink dishwashers, the requirements pertaining to the rectangular enclosure for under-counter or under-sink dishwashers are not applicable. For such dishwashers, the rectangular enclosure must consist of a front, a back, two sides, and a bottom. The front, back, and sides of the enclosure must be brought into the closest contact with the appliance that the configuration of the dishwasher will allow. The height of the enclosure shall be as specified in the manufacturer's instructions for installation height. If no instructions are provided, the enclosure height shall be 36 inches. The dishwasher must be installed from the top and mounted to the edges of the enclosure.

2.1.2 *Dishwashers without a Direct Water Line.*

Manually fill the built-in water reservoir to the full capacity reported by the manufacturer, using water at a temperature in accordance with section 2.3 of AHAM DW–1–2020.

2.2 *Water pressure.*

The water pressure requirements described in section 2.4 of AHAM DW–1–2020 are applicable to all dishwashers except dishwashers that do not have a direct water line.

2.3 *Test load items.*

The test load items described in section 2.7.1 of AHAM DW–1–2020 apply to this test procedure, including the applicable provisions of section 3.4 of AHAM DW–2–2020, as referenced in section 2.7.1 of AHAM DW–1–2020. The following test load items may be used in the alternative.

Dishware/glassware/ flatware item	Primary source	Description	Primary No.	Alternate source	Alternate source No.
Dinner Plate	Corning Comcor®/ Corelle®.	10 inch Dinner Plate.	6003893		
Bread and Butter Plate.	Corning Comcor®/ Corelle®.	6.75 inch Bread & Butter.	6003887	Arzberg	8500217100 or 2000–00001–0217–1.
Fruit Bowl	Corning Comcor®/ Corelle®.	10 oz. Dessert Bowl	6003899	Arzberg	3820513100.
Cup	Corning Comcor®/ Corelle®.	8 oz. Ceramic Cup	6014162	Arzberg	1382–00001–4732.
Saucer	Corning Comcor®/ Corelle®.	6 inch Saucer	6010972	Arzberg	1382–00001–4731.
Serving Bowl	Corning Comcor®/ Corelle®.	1 qt. Serving Bowl	6003911		
Platter	Corning Comcor®/ Corelle®.	9.5 inch Oval Platter.	6011655		
Glass—Iced Tea	Libbey		551 HT		
Flatware—Knife	Oneida®—Accent		2619KPVF	WMF—Gastro 0800	12.0803.6047.
Flatware—Dinner Fork.	Oneida®—Accent		2619FRSF	WMF—Signum 1900.	12.1905.6040.
Flatware—Salad Fork.	Oneida®—Accent		2619FSLF	WMF—Signum 1900.	12.1964.6040.
Flatware—Teaspoon	Oneida®—Accent		2619STSF	WMF—Signum 1900.	12.1910.6040.
Flatware—Serving Fork.	Oneida®—Flight		2865FCM	WMF—Signum 1900.	12.1902.6040.
Flatware—Serving Spoon.	Oneida®—Accent		2619STBF	WMF—Signum 1900.	12.1904.6040.

2.4 *Preconditioning requirements.*

The preconditioning requirements described in section 2.9 of AHAM DW–1–2020 are applicable to all dishwashers. For dishwashers that do not have a direct water line, measurement of the prewash fill water volume, V_{pw}, if any, and measurement of the main wash fill water volume, V_{mw}, are not taken.

2.5 *Detergent.*

2.5.1 *Detergent Formulation.* Either Cascade with the Grease Fighting Power of Dawn or Cascade Complete Powder may be used.

2.5.2 *Detergent Dosage.*

2.5.2.1 *Dosage for any dishwasher other than water re-use system dishwashers.*

If Cascade with the Grease Fighting Power of Dawn detergent is used, the detergent dosing specified in section 2.5.2.1.1 of this appendix must be used.

If Cascade Complete Powder detergent is used, consult the introductory note to this appendix regarding use of the detergent dosing specified in either section 2.5.2.1.1 or section 2.5.2.1.2 of this appendix.

2.5.2.1.1 *Dosage based on fill water volumes.* Determine detergent dosage as follows:

Prewash Detergent Dosing. If the cycle setting for the test cycle includes prewash, determine the quantity of dry prewash detergent, $D_{pw,}$ in grams (g) that results in 0.25 percent concentration by mass in the prewash fill water as:

$$D_{pw} = V_{pw} \times \rho \times k \times 0.25/100$$

where,

V_{pw} = the prewash fill volume of water in gallons,

ρ = water density = 8.343 pounds (lb)/gallon for dishwashers to be tested at a nominal inlet water temperature of 50 °F (10 °C), 8.250 lb/gallon for dishwashers to be tested at a nominal inlet water temperature of 120 °F (49 °C), and 8.205 lb/gallon for dishwashers to be tested at a nominal inlet water temperature of 140 °F (60 °C), and

k = conversion factor from lb to g = 453.6 g/lb.

Main Wash Detergent Dosing. Determine the quantity of dry main wash detergent, $D_{mw,}$ in

grams (g) that results in 0.25 percent concentration by mass in the main wash fill water as:

$D_{mw} = V_{mw} \times \rho \times k \times 0.25/100$

where,

V_{mw} = the main wash fill volume of water in gallons, and

ρ and k are as defined above.

For dishwashers that do not have a direct water line, V_{mw} is equal to the manufacturer reported water capacity used in the main wash stage of the test cycle.

2.5.2.1.2 *Dosage based on number of place settings.* Determine detergent dosage as specified in sections 2.10 and 2.10.1 of AHAM DW–1–2020.

2.5.2.2 *Dosage for water re-use system dishwashers.* Determine detergent dosage as specified in section 2.10.2 of AHAM DW–1–2020.

2.5.3 *Detergent Placement.*

Prewash and main wash detergent must be placed as specified in sections 2.10 and 2.10.1 of AHAM DW–1–2020. For any dishwasher that does not have a main wash detergent compartment and the manufacturer does not recommend a location to place the main wash detergent, place the main wash detergent directly into the dishwasher chamber.

2.6 *Connected functionality.*

For dishwashers that can communicate through a network (*e.g.*, Bluetooth® or internet connection), disable all network functions that can be disabled by means provided in the manufacturer's user manual, for the duration of testing. If network functions cannot be disabled by means provided in the manufacturer's user manual, conduct the standby power test with network function in the ''as-shipped'' condition.

3. Instrumentation

For this test procedure, the test instruments are to be calibrated annually according to the specifications in sections 3.1 through 3.7 of AHAM DW–1–2020, including the applicable provisions of IEC 62301 as referenced in section 3.6 of AHAM DW–1–2020. Additionally, the following requirements are also applicable.

3.1 *Water meter.*

The water meter requirements described in section 3.3 of AHAM DW–1–2020 are applicable to all dishwashers except dishwashers that do not have a direct water line. For such dishwashers these water meter conditions do not apply and water is added manually pursuant to section 2.1.1 of this appendix.

3.2 *Water pressure gauge.*

The water pressure gauge requirements described in section 3.4 of AHAM DW–1–2020 are applicable to all dishwashers except dishwashers that do not have a direct water line. For such dishwashers these water pressure gauge conditions do not apply and water is added manually pursuant to section 2.1.1 of this appendix.

4. Test Cycle and Measurements

The test cycle and measurement specifications in sections 4.1 through 4.2 of AHAM DW–1–2020 apply to this test procedure, including section 5.1, note 1, and section 5.3.2 of IEC 62301 as referenced in section 4.2 of AHAM DW–1–2020. Additionally, the following requirements are also applicable.

4.1 *Water consumption.*

The water consumption requirements described in section 4.1.4 of AHAM DW–1–2020 are applicable to all dishwashers except dishwashers that do not have a direct water line. For such dishwashers these water consumption measurement requirements do not apply and water consumption, V, is the value reported by the manufacturer.

5. Calculation of Derived Results From Test Measurements

The calculations in section 5.1 through 5.7 of AHAM DW–1–2020 apply to this test procedure. The following additional requirements are also applicable:

(a) In sections 5.1.3, 5.1.4, 5.1.5, 5.4.3, 5.4.4, 5.4.5, and 5.7 of AHAM DW–1–2020, use N = 215 cycles/year in place of N = 184 cycles/year.

(b) In section 5.7 of AHAM DW–1–2020, use S_{LP} = 8,465 for dishwashers that are not capable of operating in fan-only mode.

(c) For dishwashers that do not have a direct water line, water consumption is equal to the volume of water use in the test cycle, as specified by the manufacturer.

(d) In sections 5.6.1.3, 5.6.1.4, 5.6.2.3, and 5.6.2.4 of AHAM DW–1–2020, use (C/e) in place of K.

[88 FR 3277, Jan. 18, 2023, as amended at 88 FR 48357, July 27, 2023; 89 FR 83617, Oct. 17, 2024]

APPENDIX C2 TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF DISHWASHERS

NOTE: Manufacturers must use the results of testing under this appendix to determine compliance with the relevant standards provided at §430.32(f)(2). Manufacturers may use this appendix to certify compliance with the standards provided at §430.32(f)(2) prior to the applicable compliance date for those standards.

Any representations related to energy or water consumption of dishwashers must be made in accordance with the appropriate appendix that applies (*i.e.*, appendix C1 or appendix C2) when determining compliance with the relevant standards.

0. Incorporation by Reference

In §430.3, DOE incorporated by reference the entire standard for AHAM DW–1–2020 and AHAM DW–2–2020; however, only enumerated provision of AHAM DW–1–2020, AHAM DW–2–2020, and IEC 62301 are applicable as follows:

0.1 AHAM DW–1–2020

(a) Sections 1.1 through 1.30 as referenced in section 1 of this appendix;
(b) Section 2.1 as referenced in sections 2 and 2.1 of this appendix;
(c) Sections 2.2 through 2.3.3, sections 2.5 and 2.7, sections 2.7.2 through 2.8, and section 2.11, as referenced in section 2 of this appendix;
(d) Section 2.4 as referenced in sections 2 and 2.2 of this appendix;
(e) Section 2.6.3 as referenced in sections 2 and 2.3 of this appendix;
(f) Section 2.7.1 as referenced in sections 2 and 2.4 of this appendix;
(g) Section 2.9 as referenced in sections 2 and 2.5 of this appendix;
(h) Section 2.10 as referenced in sections 2 and 2.6 of this appendix;
(i) Sections 3.1 through 3.2 and sections 3.5 through 3.7 as referenced in section 3 of this appendix;
(j) Section 3.3 as referenced in sections 3 and 3.1 of this appendix;
(k) Section 3.4 as referenced in sections 3 and 3.2 of this appendix;
(l) Section 4.1 as referenced in sections 4 and 4.1 of this appendix;
(m) Section 4.1.4 as referenced in sections 4 and 4.1.2 of this appendix; and
(n) Section 5 as referenced in section 5 of this appendix.

0.2 AHAM DW–2–2020

(a) Section 3.4 as referenced in sections 2 and 2.4 of this appendix, and through reference to sections 1.5 and 1.22 of AHAM DW–1–2020 in section 1 of this appendix.
(b) Section 3.5 through reference to sections 1.5 and 1.22 of AHAM DW–1–2020 in section 1 of this appendix.
(c) Section 4.1 as referenced in section 2 of this appendix.
(d) Sections 5.3 through 5.8 as referenced in section 2 of this appendix, and through reference to sections 1.18, 1.19 and 1.20 of AHAM DW–1–2020 in section 1 of this appendix.
(e) Section 5.10 as referenced in sections 2 and 2.8 of this appendix;
(f) Sections 5.10.1.1 as referenced in sections 4 and 4.2 of this appendix; and
(g) Section 5.12.3.1 as referenced in sections 5 and 5.1 of this appendix.

0.3 IEC 62301

(a) Sections 4.2, 4.3.2, and 5.2 as referenced in section 2 of this appendix; and
(b) Sections 5.1, note 1, and 5.3.2 as referenced in section 4 of this appendix.

1. Definitions

The definitions in sections 1.1 through 1.30 of AHAM DW–1–2020 apply to this test procedure, including the applicable provisions of AHAM DW–2–2020 as referenced in sections 1.5, 1.18, 1.19, 1.20, and 1.22 of AHAM DW–1–2020.

2. Testing Conditions

The testing conditions in Section 2.1 through 2.11 of AHAM DW–1–2020, except sections 2.6.1 and 2.6.2, and the testing conditions in section 5.10 of AHAM DW–2–2020 apply to this test procedure, including the following provisions of:

(a) Sections 5.2, 4.3.2, and 4.2 of IEC 62301 as referenced in sections 2.1, 2.2.4, and 2.5.2 of AHAM DW–1–2020, respectively, and
(b) Sections 5.3 through 5.8 of AHAM DW–2–2020 as referenced in sections 2.6.3.1, 2.6.3.2, and 2.6.3.3 of AHAM DW–1–2020; section 3.4 of AHAM DW–2–2020, excluding the accompanying Note, as referenced in section 2.7.1 of AHAM DW–1–2020; section 5.4 of AHAM DW–2–2020 as referenced in section 2.7.4 of AHAM DW–1–2020; section 5.5 of AHAM DW–2–2020 as referenced in section 2.7.5 of AHAM DW–1–2020, and section 4.1 of AHAM DW–2–2020 as referenced in section 2.10.1 of AHAM DW–1–2020. Additionally, the following requirements are also applicable.

2.1 *Installation Requirements.*

The installation requirements described in section 2.1 of AHAM DW–1–2020 are applicable to all dishwashers, with the following additions:

2.1.1 *In-Sink Dishwashers.*

For in-sink dishwashers, the requirements pertaining to the rectangular enclosure for under-counter or under-sink dishwashers are not applicable. For such dishwashers, the rectangular enclosure must consist of a front, a back, two sides, and a bottom. The front, back, and sides of the enclosure must be brought into the closest contact with the appliance that the configuration of the dishwasher will allow. The height of the enclosure shall be as specified in the manufacturer's instructions for installation height. If no instructions are provided, the enclosure height shall be 36 inches. The dishwasher must be installed from the top and mounted to the edges of the enclosure.

2.1.2 *Dishwashers without a Direct Water Line.*

Manually fill the built-in water reservoir to the full capacity reported by the manufacturer, using water at a temperature in accordance with section 2.3 of AHAM DW–1–2020.

2.2 *Water pressure.*

The water pressure requirements described in section 2.4 of AHAM DW–1–2020 are applicable to all dishwashers except dishwashers that do not have a direct water line.

2.3 *Non-soil-sensing and soil-sensing dishwashers to be tested at a nominal inlet temperature of 50 °F, 120 °F, or 140 °F.*

The test load and soiling requirements for all non-soil-sensing and soil-sensing dishwashers shall be the same as those requirements specified in section 2.6.3 of AHAM DW–1–2020 for soil-sensing dishwashers. Additionally, both non-soil-sensing and soil-sensing compact dishwashers that have a capacity of less than four place settings shall be tested at the rated capacity of the dishwasher and the test load shall be soiled as follows at each soil load:

(a) Heavy soil load: soil two-thirds of the place settings, excluding flatware and serving pieces (rounded up to the nearest integer) or one place setting, whichever is greater;

(b) Medium soil load: soil one-quarter of the place settings, excluding flatware and serving pieces (rounded up to the nearest integer) or one place setting, whichever is smaller;

(c) Light soil load: soil one-quarter of the place settings, excluding flatware and serving pieces (rounded up to the nearest integer) or one place setting, whichever is smaller, using half the quantity of soils specified for one place setting.

2.4 *Test load items.*

The test load items described in section 2.7.1 of AHAM DW–1–2020 apply to this test procedure, including the applicable provisions of section 3.4 of AHAM DW–2–2020, as referenced in section 2.7.1 of AHAM DW–1–2020. The following test load items may be used in the alternative.

Dishware/glassware/ flatware item	Primary source	Description	Primary No.	Alternate source	Alternate source No.
Dinner Plate	Corning Comcor®/ Corelle®.	10 inch Dinner Plate.	6003893		
Bread and Butter Plate.	Corning Comcor®/ Corelle®.	6.75 inch Bread & Butter.	6003887	Arzberg	8500217100 or 2000–00001–0217–1.
Fruit Bowl	Corning Comcor®/ Corelle®.	10 oz. Dessert Bowl	6003899	Arzberg	3820513100.
Cup	Corning Comcor®/ Corelle®.	8 oz. Ceramic Cup	6014162	Arzberg	1382–00001–4732.
Saucer	Corning Comcor®/ Corelle®.	6 inch Saucer	6010972	Arzberg	1382–00001–4731.
Serving Bowl	Corning Comcor®/ Corelle®.	1 qt. Serving Bowl	6003911		
Platter	Corning Comcor®/ Corelle®.	9.5 inch Oval Platter.	6011655		
Glass—Iced Tea	Libbey		551 HT		
Flatware—Knife	Oneida®—Accent		2619KPVF	WMF—Gastro 0800	12.0803.6047.
Flatware—Dinner Fork.	Oneida®—Accent		2619FRSF	WMF—Signum 1900.	12.1905.6040.
Flatware—Salad Fork.	Oneida®—Accent		2619FSLF	WMF—Signum 1900.	12.1964.6040.
Flatware—Teaspoon	Oneida®—Accent		2619STSF	WMF—Signum 1900.	12.1910.6040.
Flatware—Serving Fork.	Oneida®—Flight		2865FCM	WMF—Signum 1900.	12.1902.6040.
Flatware—Serving Spoon.	Oneida®—Accent		2619STBF	WMF—Signum 1900.	12.1904.6040.

2.5 *Preconditioning requirements.*

The preconditioning requirements described in section 2.9 of AHAM DW–1–2020 are applicable to all dishwashers except the measurement of the prewash fill water volume, V_{pw}, if any, and measurement of the main wash fill water volume, V_{mw}, are not required.

2.6 *Detergent.*

The detergent requirements described in section 2.10 of AHAM DW–1–2020 are applicable to all dishwashers. For any dishwasher that does not have a main wash detergent compartment and the manufacturer does not recommend a location to place the main wash detergent, place the detergent directly into the dishwasher chamber.

2.7 *Connected functionality.*

For dishwashers that can communicate through a network (*e.g.*, Bluetooth® or internet connection), disable all network functions that can be disabled by means provided in the manufacturer's user manual, for the duration of testing. If network functions cannot be disabled by means provided in the manufacturer's user manual, conduct the standby power test with network function in the ''as-shipped'' condition.

2.8 *Evaluation Room Lighting Conditions.*

The lighting setup in the evaluation room where the test load is scored shall be according to the requirements specified in section 5.10 of AHAM DW–2–2020.

3. Instrumentation

For this test procedure, the test instruments are to be calibrated annually according to the specifications in section 3.1 through 3.7 of AHAM DW–1–2020, including the applicable provisions of IEC 62301 as referenced in section 3.6 of AHAM DW–1–2020. Additionally, the following requirements are also applicable.

3.1 *Water meter.*

The water meter requirements described in section 3.3 of AHAM DW–1–2020 are applicable to all dishwashers except dishwashers that do not have a direct water line. For such dishwashers these water meter conditions do not apply and water is added manually pursuant to section 2.1.1 of this appendix.

3.2 *Water pressure gauge.*

The water pressure gauge requirements described in section 3.4 of AHAM DW–1–2020 are applicable to all dishwashers except dishwashers that do not have a direct water line. For such dishwashers these water pressure gauge conditions do not apply and water is added manually pursuant to section 2.1.1 of this appendix.

4. Test Cycle and Measurements

The test cycle and measurement specifications in sections 4.1 through 4.2 of AHAM DW–1–2020 and the scoring specifications in section 5.10.1.1 of AHAM DW–2–2020 apply to this test procedure, including section 5.1, note 1, and section 5.3.2 of IEC 62301 as referenced in section 4.2 of AHAM DW–1–2020. Additionally, the following requirements are also applicable.

4.1 *Active mode cycle.*

The active mode energy consumption measurement requirements described in section 4.1 of AHAM DW–1–2020 are applicable to all dishwashers. Additionally, the following requirements are also applicable:

(a) After the completion of each test cycle (sensor heavy response, sensor medium response, and sensor light response), the test load shall be scored according to section 4.2 of this appendix and its cleaning index calculated according to section 5.1 of this appendix.

(b) A test cycle is considered valid if its cleaning index is 70 or higher; otherwise, the test cycle is invalid and the data from that test run is discarded.

(c) For soil-sensing dishwashers, if the test cycle at any soil load is invalid, clean the dishwasher filter according to manufacturer's instructions and repeat the test at that soil load on the most energy-intensive cycle (determined as provided in section 4.1.1 of this appendix) that achieves a cleaning index of 70 or higher.

(d) For non-soil-sensing dishwashers, perform testing as described in section 4.1.a through 4.1.c of this appendix, except that, if a test cycle at a given soil load meets the cleaning index threshold criteria of 70 when tested on the normal cycle, no further testing is required for test cycles at lesser soil loads.

4.1.1 *Determination of most energy-intensive cycle.*

If the most energy-intensive cycle is not known and needs to be determined via testing, ensure the filter is cleaned as specified in the manufacturer's instructions and test each available cycle type, selecting the default cycle options for that cycle type. In the absence of manufacturer recommendations on washing and drying temperature options, the highest energy consumption options must be selected. Following the completion of each test cycle, the machine electrical energy consumption and water consumption shall be measured according to sections 4.1.1 and 4.1.4 of AHAM DW–1–2020, respectively. The total cycle energy consumption, E_{MEI}, of each tested cycle type shall be calculated according to section 5.2 of this appendix. The most energy-intensive cycle is the cycle type with the highest value of E_{MEI}.

For standard dishwashers, test each cycle with a clean load of eight place settings plus six serving pieces, as specified in section 2.7 of AHAM DW–1–2020. For compact dishwashers, test each cycle with a clean load of four place settings plus six serving pieces, as specified in section 2.7 of AHAM DW–1–2020. If the capacity of the dishwasher, as stated by the manufacturer, is less than four place settings, then the test load must be the stated capacity.

4.1.2 *Water consumption.*

The water consumption requirements described in section 4.1.4 of AHAM DW–1–2020 are applicable to all dishwashers except dishwashers that do not have a direct water line. For such dishwashers these water consumption measurement requirements do not apply and water consumption, V, is the value reported by the manufacturer.

4.2 *Scoring.*

Following the termination of an active mode test, each item in the test load shall be scored on a scale from 0 to 9 according to the instructions in section 5.10.1.1 of AHAM DW–2–2020.

5. Calculation of Derived Results From Test Measurements

The calculations in sections 5.1 through 5.7 of AHAM DW–1–2020 and section 5.12.3.1 of AHAM DW–2–2020 apply to this test procedure. The following additional requirements are also applicable:

(a) For both soil-sensing and non-soil-sensing dishwashers, use the equations specified for soil-sensing dishwashers.

(b) If a non-soil-sensing dishwasher is not tested at a certain soil load as specified in section 4.1.d of this appendix, use the energy

and water consumption values of the preceding soil load when calculating the weighted average energy and water consumption values (*i.e.*, if the sensor medium response and sensor light response tests on the normal cycle are not conducted, use the values of the sensor heavy response test for all three soil loads; if only the sensor light response test is not conducted, use the values of the sensor medium response test for the sensor light response test).

(c) For dishwashers that do not have a direct water line, water consumption is equal to the volume of water use in the test cycle, as specified by the manufacturer.

(d) In sections 5.6.1.3, 5.6.1.4, 5.6.2.3, and 5.6.2.4 of AHAM DW–1–2020, use (C/e) in place of K.

5.1 *Cleaning Index.*

Determine the per-cycle cleaning index for each test cycle using the equation in section 5.12.3.1 of AHAM DW–2–2020.

5.2 *Calculation for determination of the most energy-intensive cycle type.*

The total cycle energy consumption for the determination of the most energy-intensive cycle specified in section 4.1.1 of this appendix is calculated for each tested cycle type as:

$$E_{MEI} = M + E_F - (E_D/2) + W$$

where,

M = per-cycle machine electrical energy consumption, expressed in kilowatt hours per cycle,

E_F = fan-only mode electrical energy consumption, if available on the tested cycle type, expressed in kilowatt hours per cycle,

E_D = drying energy consumed using the power-dry feature after the termination of the last rinse option of the tested cycle type, if available on the tested cycle type, expressed in kilowatt hours per cycle, and

W = water energy consumption and is defined as:

$V \times T \times K$, for dishwashers using electrically heated water, and

$V \times T \times C/e$, for dishwashers using gas-heated or oil-heated water.

Additionally,

V = water consumption in gallons per cycle,

T = nominal water heater temperature rise and is equal to 90 °F for dishwashers that operate with a nominal 140 °F inlet water temperature, and 70 °F for dishwashers that operate with a nominal 120 °F inlet water temperature,

K = specific heat of water in kilowatt-hours per gallon per degree Fahrenheit = 0.0024,

C = specific heat of water in Btu's per gallon per degree Fahrenheit = 8.2, and

e = nominal gas or oil water heater recovery efficiency = 0.75.

[88 FR 3279, Jan. 18, 2023, as amended at 89 FR 83617, Oct. 17, 2204]

APPENDIX D1 TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF CLOTHES DRYERS

NOTE: The procedures in either this appendix or appendix D2 to this subpart must be used to determine compliance with the energy conservation standards for clothes dryers provided at § 430.32(h)(3).

Manufacturers must use a single appendix for all representations, including certifications of compliance, and may not use this appendix for certain representations and appendix D2 to this subpart for other representations. The procedures in appendix D2 to this subpart must be used to determine compliance with the energy conservation standards for clothes dryers provided at § 430.32(h)(4).

0. INCORPORATION BY REFERENCE

DOE incorporated by reference in § 430.3 the standards for AHAM HLD–1 and IEC 62301, in their entirety, however, only enumerated provisions of those documents are applicable to this appendix. In cases where there is a conflict between any industry standard(s) and this appendix, the language of the test procedure in this appendix takes precedence over the industry standard(s).

(1) AHAM HLD–1:

(i) Section 3.3.5.1 ''Standard Simulator'' as referenced in sections 2.1.2 through 2.1.3 of this appendix.

(ii) [Reserved]

(2) IEC 62301:

(i) Section 5, Paragraph 5.1, Note 1 as referenced in section 3.6.2 of this appendix.

(ii) Section 5, Paragraph 5.3.2 ''Sampling Method'' as referenced in section 3.6.3 of this appendix.

1. DEFINITIONS

1.1 ''Active mode'' means a mode in which the clothes dryer is connected to a main power source, has been activated and is performing the main function of tumbling the clothing with or without heated or unheated forced air circulation to remove moisture from the clothing, remove wrinkles or prevent wrinkling of the clothing, or both.

1.2 ''AHAM'' means the Association of Home Appliance Manufacturers.

1.3 ''AHAM HLD–1'' means the test standard published by the Association of Home Appliance Manufacturers, titled ''Household Tumble Type Clothes Dryers,'' ANSI-approved June 11, 2010, ANSI/AHAM HLD–1–2010.

1.4 ''Automatic termination control'' means a dryer control system with a sensor which monitors either the dryer load temperature or its moisture content and with a controller which automatically terminates the drying process. A mark, detent, or other visual indicator or detent which indicates a preferred automatic termination control setting must be present if the dryer is to be classified as having an ''automatic termination control.'' A mark is a visible single control setting on one or more dryer controls.

1.5 ''Bone dry'' means a condition of a load of test cloths which has been dried in a dryer at maximum temperature for a minimum of 10 minutes, removed, and weighed before cool down, and then dried again for 10-minute periods until the final weight change of the load is 1 percent or less.

1.6 ''Compact'' or ''compact size'' means a clothes dryer with a drum capacity of less than 4.4 cubic feet.

1.7 ''Cool down'' means that portion of the clothes drying cycle when the added gas or electric heat is terminated and the clothes continue to tumble and dry within the drum.

1.8 ''Cycle'' means a sequence of operation of a clothes dryer which performs a clothes drying operation, and may include variations or combinations of the functions of heating, tumbling, and drying.

1.9 ''Drum capacity'' means the volume of the drying drum in cubic feet.

1.10 ''IEC 62301'' (Second Edition) means the test standard published by the International Electrotechnical Commission (''IEC'') titled ''Household electrical appliances—Measurement of standby power,'' Publication 62301 (Edition 2.0 2011–01) (incorporated by reference; see §430.3).

1.11 ''Final moisture content'' (''FMC'') means the ratio of the weight of water contained by the dry test load (*i.e.*, after completion of the drying cycle) to the bone-dry weight of the test load, expressed as a percent.

1.12 ''Inactive mode'' means a standby mode that facilitates the activation of active mode by remote switch (including remote control), internal sensor, or timer, or that provides continuous status display.

1.13 ''Initial moisture content'' (''IMC'') means the ratio of the weight of water contained by the damp test load (*i.e.,* prior to completion of the drying cycle) to the bone-dry weight of the test load, expressed as a percent.

1.14 ''Moisture content'' means the ratio of the weight of water contained by the test load to the bone-dry weight of the test load, expressed as a percent.

1.15 ''Off mode'' means a mode in which the clothes dryer is connected to a main power source and is not providing any active or standby mode function, and where the mode may persist for an indefinite time. An indicator that only shows the user that the product is in the off position is included within the classification of an off mode.

1.16 ''Standard size'' means a clothes dryer with a drum capacity of 4.4 cubic feet or greater.

1.17 ''Standby mode'' means any product modes where the energy using product is connected to a main power source and offers one or more of the following user-oriented or protective functions which may persist for an indefinite time:

(a) To facilitate the activation of other modes (including activation or deactivation of active mode) by remote switch (including remote control), internal sensor, or timer.

(b) Continuous functions, including information or status displays (including clocks) or sensor-based functions. A timer is a continuous clock function (which may or may not be associated with a display) that provides regular scheduled tasks (e.g., switching) and that operates on a continuous basis.

1.18 ''Vented clothes dryer'' means a clothes dryer that exhausts the evaporated moisture from the cabinet.

1.19 ''Ventless clothes dryer'' means a clothes dryer that uses a closed-loop system with an internal condenser to remove the evaporated moisture from the heated air. The moist air is not discharged from the cabinet.

2. Testing Conditions

2.1 *Installation.*

2.1.1 *All clothes dryers.* For both vented clothes dryers and ventless clothes dryers, install the clothes dryer in accordance with manufacturer's instructions as shipped with the unit. If the manufacturer's instructions do not specify the installation requirements for a certain component, it shall be tested in the as-shipped condition. Where the manufacturer gives the option to use the dryer both with and without a duct, the dryer shall be tested without the exhaust simulator described in section 3.3.5.1 of AHAM HLD–1 (incorporated by reference; see §430.3). All external joints should be taped to avoid air leakage. For drying testing, disconnect all lights, such as task lights, that do not provide any information related to the drying process on the clothes dryer and that do not consume more than 10 watts during the clothes dryer test cycle. Control setting indicator lights showing the cycle progression, temperature or dryness settings, or other cycle functions that cannot be turned off during the test cycle shall not be disconnected during the active mode test cycle. For standby and off mode testing, the clothes dryer shall also be installed in accordance with section 5, paragraph 5.2 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3), disregarding the provisions regarding batteries and the determination, classification, and testing of relevant

modes. For standby and off mode testing, all lighting systems shall remain connected.

2.1.2 *Vented clothes dryers.* For vented clothes dryers, the dryer exhaust shall be restricted by adding the AHAM exhaust simulator described in section 3.3.5.1 of AHAM HLD–1.

2.1.3 *Ventless clothes dryers.* For ventless clothes dryers, the dryer shall be tested without the AHAM exhaust simulator. If the manufacturer gives the option to use a ventless clothes dryer, with or without a condensation box, the dryer shall be tested with the condensation box installed. For ventless clothes dryers, the condenser unit of the dryer must remain in place and not be taken out of the dryer for any reason between tests.

2.2 *Ambient temperature and humidity.*

2.2.1 For drying testing, maintain the room ambient air temperature at 75 ±3 °F and the room relative humidity at 50 percent ±10 percent relative humidity.

2.2.2 For standby and off mode testing, maintain room ambient air temperature conditions as specified in section 4, paragraph 4.2 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3)

2.3 *Energy supply.*

2.3.1 *Electrical supply.* Maintain the electrical supply at the clothes dryer terminal block within 1 percent of 120/240 or 120/208Y or 120 volts as applicable to the particular terminal block wiring system and within 1 percent of the nameplate frequency as specified by the manufacturer. If the dryer has a dual voltage conversion capability, conduct the test at the highest voltage specified by the manufacturer.

2.3.1.1 *Supply voltage waveform.* For the clothes dryer standby mode and off mode testing, maintain the electrical supply voltage waveform indicated in section 4, paragraph 4.3.2 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3). If the power measuring instrument used for testing is unable to measure and record the total harmonic content during the test measurement period, it is acceptable to measure and record the total harmonic content immediately before and after the test measurement period.

2.3.2 *Gas supply.*

2.3.2.1 *Natural gas supply.* Maintain the gas supply to the clothes dryer immediately ahead of all controls at a pressure of 7 to 10 inches of water column. The natural gas supplied should have a heating value of approximately 1,025 Btus per standard cubic foot. The actual heating value, H_n2, in Btus per standard cubic foot, for the natural gas to be used in the test shall be obtained either from measurements using a standard continuous flow calorimeter as described in section 2.4.6 of this appendix or by the purchase of bottled natural gas whose Btu rating is certified to be at least as accurate a rating as could be obtained from measurements with a standard continuous flow calorimeter as described in section 2.4.6 of this appendix.

2.3.2.2 *Propane gas supply.* Maintain the gas supply to the clothes dryer immediately ahead of all controls at a pressure of 11 to 13 inches of water column. The propane gas supplied should have a heating value of approximately 2,500 Btus per standard cubic foot. The actual heating value, H_p, in Btus per standard cubic foot, for the propane gas to be used in the test shall be obtained either from measurements using a standard continuous flow calorimeter as described in section 2.4.6 of this appendix or by the purchase of bottled gas whose Btu rating is certified to be at least as accurate a rating as could be obtained from measurement with a standard continuous calorimeter as described in section 2.4.6 of this appendix.

2.3.2.3 *Hourly Btu Rating.* Maintain the hourly Btu rating of the burner within ±5 percent of the rating specified by the manufacturer. If the hourly Btu rating of the burner cannot be maintained within ±5 percent of the rating specified by the manufacturer, make adjustments in the following order until an hourly Btu rating of the burner within ±5 percent of the rating specified by the manufacturer is achieved:

(1) Modify the gas inlet supply pressure within the allowable range specified in section 2.3.2.1 or 2.3.2.2 of this appendix, as applicable;

(2) If the clothes dryer is equipped with a gas pressure regulator, modify the outlet pressure of the gas pressure regulator within ±10 percent of the value recommended by the manufacturer in the installation manual, on the nameplate sticker, or wherever the manufacturer makes such a recommendation for the basic model; and

(3) Modify the orifice as necessary to achieve the required hourly Btu rating.

2.4 *Instrumentation.* Perform all test measurements using the following instruments as appropriate.

2.4.1 *Weighing scales.*

2.4.1.1 *Weighing scale for test cloth.* The scale shall have a range of 0 to a maximum of 60 pounds with a resolution of at least 0.001 pounds and a maximum error no greater than 0.1 percent of any measured value within the range of 3 to 15 pounds.

2.4.1.2 *Weighing scale for drum capacity measurements.* The scale should have a range of 0 to a maximum of 600 pounds with resolution of 0.50 pounds and a maximum error no greater than 0.5 percent of the measured value.

2.4.2 *Kilowatt-hour meter.* The kilowatt-hour meter shall have a resolution of 0.001 kilowatt-hours and a maximum error no greater than 0.5 percent of the measured value.

2.4.3 *Gas meter.* The gas meter shall have a resolution of 0.001 cubic feet and a maximum

error no greater than 0.5 percent of the measured value.

2.4.4 *Dry and wet bulb psychrometer.* The dry and wet bulb psychrometer shall have an error no greater than ±1 °F. A relative humidity meter with a maximum error tolerance expressed in °F equivalent to the requirements for the dry and wet bulb psychrometer or with a maximum error tolerance of ±2 percent relative humidity would be acceptable for measuring the ambient humidity.

2.4.5 *Temperature.* The temperature sensor shall have an error no greater than ±1 °F.

2.4.6 *Standard Continuous Flow Calorimeter.* The calorimeter shall have an operating range of 750 to 3,500 Btu per cubic feet. The maximum error of the basic calorimeter shall be no greater than 0.2 percent of the actual heating value of the gas used in the test. The indicator readout shall have a maximum error no greater than 0.5 percent of the measured value within the operating range and a resolution of 0.2 percent of the full-scale reading of the indicator instrument.

2.4.7 *Standby mode and off mode watt meter.* The watt meter used to measure standby mode and off mode power consumption shall meet the requirements specified in section 4, paragraph 4.4 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3). If the power measuring instrument used for testing is unable to measure and record the crest factor, power factor, or maximum current ratio during the test measurement period, it is acceptable to measure the crest factor, power factor, and maximum current ratio immediately before and after the test measurement period.

2.5 *Lint trap.* Clean the lint trap thoroughly before each test run.

2.6 *Test Cloths.*

2.6.1 *Energy test cloth.* The energy test cloth shall be clean and consist of the following:

(a) Pure finished bleached cloth, made with a momie or granite weave, which is a blended fabric of 50-percent cotton and 50-percent polyester and weighs within + 10 percent of 5.75 ounces per square yard after test cloth preconditioning, and has 65 ends on the warp and 57 picks on the fill. The individual warp and fill yarns are a blend of 50-percent cotton and 50-percent polyester fibers.

(b) Cloth material that is 24 inches by 36 inches and has been hemmed to 22 inches by 34 inches before washing. The maximum shrinkage after five washes shall not be more than 4 percent on the length and width.

(c) The number of test runs on the same energy test cloth shall not exceed 25 runs.

2.6.2 *Energy stuffer cloths.* The energy stuffer cloths shall be made from energy test cloth material, and shall consist of pieces of material that are 12 inches by 12 inches and have been hemmed to 10 inches by 10 inches before washing. The maximum shrinkage after five washes shall not be more than 4 percent on the length and width. The number of test runs on the same energy stuffer cloth shall not exceed 25 runs after test cloth preconditioning.

2.6.3 *Test Cloth Preconditioning.*

A new test cloth load and energy stuffer cloths shall be treated as follows:

(1) Bone dry the load to a weight change of ±1 percent, or less, as prescribed in section 1.5.

(2) Place the test cloth load in a standard clothes washer set at the maximum water fill level. Wash the load for 10 minutes in soft water (17 parts per million hardness or less), using 60.8 grams of AHAM standard test detergent Formula 3. Wash water temperature is to be controlled at 140 ° ±5 °F (60 ° ±2.7 °C). Rinse water temperature is to be controlled at 100 ° ±5 °F (37.7 ±2.7 °C).

(3) Rinse the load again at the same water temperature.

(4) Bone dry the load as prescribed in section 1.5 and weigh the load.

(5) This procedure is repeated until there is a weight change of 1 percent or less.

(6) A final cycle is to be a hot water wash with no detergent, followed by two warm water rinses.

2.7 *Test loads.*

2.7.1 *Load size.* Determine the load size for the unit under test, according to Table 1 of this section.

TABLE 1—TEST LOADS

Unit under test	Test load (bone dry weight)
Standard size clothes dryer ...	8.45 pounds ± .085 pounds.
Compact size clothes dryer ...	3.00 pounds ± .03 pounds.

Each test load must consist of energy test cloths and no more than five energy stuffer cloths.

2.7.2 *Test load preparation.* Dampen the load by agitating it in water whose temperature is 60 °F ± 5 °F and consists of 0 to 17 parts per million hardness for approximately 2 minutes in order to saturate the fabric. Then, extract water from the wet test load by spinning the load to a target moisture content between 54.0–61.0 percent of the bone-dry weight of the test load. If after extraction the moisture content is less than 54.0 percent, make a final mass adjustment, such that the moisture content is between 54.0–61.0 percent of the bone-dry weight of the test load, by adding water uniformly distributed among all of the test cloths in a very fine spray using a spray bottle.

2.7.3 *Method of loading.* Load the energy test cloths by grasping them in the center, shaking them to hang loosely, and then dropping them in the dryer at random.

2.8 *Clothes dryer preconditioning.*

2.8.1 *Vented clothes dryers.* For vented clothes dryers, before any test cycle, operate

the dryer without a test load in the non-heat mode for 15 minutes or until the discharge air temperature is varying less than 1 °F for 10 minutes—whichever is longer—in the test installation location with the ambient conditions within the specified test condition tolerances of section 2.2 of this appendix.

2.8.2 *Ventless clothes dryers.* For ventless clothes dryers, before any test cycle, the steady-state machine temperature must be equal to ambient room temperature described in 2.2.1. This may be done by leaving the machine at ambient room conditions for at least 12 hours between tests.

3. TEST PROCEDURES AND MEASUREMENTS

3.1 *Drum Capacity.* Measure the drum capacity by sealing all openings in the drum except the loading port with a plastic bag, and ensuring that all corners and depressions are filled and that there are no extrusions of the plastic bag through any openings in the interior of the drum. Support the dryer's rear drum surface on a platform scale to prevent deflection of the drum surface, and record the weight of the empty dryer. Fill the drum with water to a level determined by the intersection of the door plane and the loading port (*i.e.*, the uppermost edge of the drum that is in contact with the door seal). Record the temperature of the water and then the weight of the dryer with the added water and then determine the mass of the water in pounds. Add the appropriate volume to account for any space in the drum interior not measured by water fill (e.g., the space above the uppermost edge of the drum within a curved door) and subtract the appropriate volume to account for space that is measured by water fill but cannot be used when the door is closed (e.g., space occupied by the door when closed). The drum capacity is calculated to the nearest 0.1 cubic foot as follows:

C = w/d ±volume adjustment
C = capacity in cubic feet.
w = mass of water in pounds.
d = density of water at the measured temperature in pounds per cubic foot.

3.2 *Dryer Loading.* Load the dryer as specified in 2.7.

3.3 *Test cycle.* Operate the clothes dryer at the maximum temperature setting and, if equipped with a timer, at the maximum time setting. Any other optional cycle settings that do not affect the temperature or time settings shall be tested in the as-shipped position, except that if the clothes dryer has network capabilities, the network settings must be disabled throughout testing if such settings can be disabled by the end-user and the product's user manual provides instructions on how to do so. If the network settings cannot be disabled by the end-user, or the product's user manual does not provide instruction for disabling network settings, then the unit must be tested with the network settings in the factory default configuration for the test cycle. If the clothes dryer does not have a separate temperature setting selection on the control panel, the maximum time setting should be used for the drying test cycle. Dry the load until the moisture content of the test load is between 2.5 and 5.0 percent of the bone-dry weight of the test load, at which point the test cycle is stopped, but do not permit the dryer to advance into cool down. If required, reset the timer to increase the length of the drying cycle. After stopping the test cycle, remove and weigh the test load within 5 minutes following termination of the test cycle. The clothes dryer shall not be stopped intermittently in the middle of the test cycle for any reason. Record the data specified by section 3.4 of this appendix. If the dryer automatically stops during a cycle because the condensation box is full of water, the test is stopped, and the test run is invalid, in which case the condensation box shall be emptied and the test re-run from the beginning. For ventless clothes dryers, during the time between two cycles, the door of the dryer shall be closed except for loading and unloading.

3.4 *Data recording.* Record for each test cycle:

3.4.1 Bone-dry weight of the test load, $W_{bonedry}$, as described in section 2.7.1 of this appendix.

3.4.2 Moisture content of the wet test load before the test, IMC, as described in section 2.7.2 of this appendix.

3.4.3 Moisture content of the dry test load obtained after the test, FMC, as described in section 3.3 of this appendix.

3.4.4 Test room conditions, temperature, and percent relative humidity described in 2.2.1.

3.4.5 For electric dryers—the total kilowatt-hours of electric energy, E_t, consumed during the test described in 3.3.

3.4.6 For gas dryers:

3.4.6.1 Total kilowatt-hours of electrical energy, E_{te}, consumed during the test described in 3.3.

3.4.6.2 Cubic feet of gas per cycle, E_{tg}, consumed during the test described in 3.3.

3.4.6.3 Correct the gas heating value, GEF, as measured in 2.3.2.1 and 2.3.2.2, to standard pressure and temperature conditions in accordance with U.S. Bureau of Standards, circular C417, 1938.

3.5 *Test for automatic termination field use factor.* The field use factor for automatic termination can be claimed for those dryers which meet the requirements for automatic termination control, defined in 1.4.

3.6 *Standby mode and off mode power.* Connect the clothes dryer to a watt meter as specified in section 2.4.7 of this appendix. Establish the testing conditions set forth in section 2 of this appendix.

3.6.1 Perform standby mode and off mode testing after completion of an active mode drying cycle included as part of the test cycle; after removing the test load; without changing the control panel settings used for the active mode drying cycle; with the door closed; and without disconnecting the electrical energy supply to the clothes dryer between completion of the active mode drying cycle and the start of standby mode and off mode testing.

3.6.2 For clothes dryers that take some time to automatically enter a stable inactive mode or off mode state from a higher power state as discussed in Section 5, Paragraph 5.1, Note 1 of IEC 62301, allow sufficient time for the clothes dryer to automatically reach the default inactive/off mode state before proceeding with the test measurement.

3.6.3 Once the stable inactive/off mode state has been reached, measure and record the default inactive/off mode power, $P_{default}$, in watts, following the test procedure for the sampling method specified in Section 5, Paragraph 5.3.2 of IEC 62301.

3.6.4 For a clothes dryer with a switch (or other means) that can be optionally selected by the end user to achieve a lower-power inactive/off mode state than the default inactive/off mode state measured in section 3.6.3 of this appendix, after performing the measurement in section 3.6.3 of this appendix, activate the switch (or other means) to the position resulting in the lowest power consumption and repeat the measurement procedure described in section 3.6.3 of this appendix. Measure and record the lowest inactive/off mode power, P_{lowest}, in watts.

4. Calculation of Derived Results From Test Measurements

4.1 *Total per-cycle electric dryer energy consumption.* Calculate the total electric dryer energy consumption per cycle, E_{ce}, expressed in kilowatt-hours per cycle and defined as:

$E_{ce} = [53.5/(IMC - FMC)] \times E_t \times$ field use,

Where:

E_t = the energy recorded in section 3.4.5 of this appendix.

53.5 = an experimentally established value for the percent reduction in the moisture content of the test load during a laboratory test cycle expressed as a percent.

field use = field use factor,

= 1.18 for clothes dryers with time termination control systems only without any automatic termination control functions.

= 1.04 for clothes dryers with automatic control systems that meet the requirements of the definition for automatic termination control in section 1.4 of this appendix, including those that also have a supplementary timer control, or that may also be manually controlled.

IMC = the moisture content of the wet test load as recorded in section 3.4.2 of this appendix.

FMC = the moisture content of the dry test load as recorded in section 3.4.3 of this appendix.

4.2 *Per-cycle gas dryer electrical energy consumption.* Calculate the gas dryer electrical energy consumption per cycle, E_{ge}, expressed in kilowatt-hours per cycle and defined as:

$E_{ge} = [53.5/(IMC - FMC)] \times E_{te} \times$ field use,

Where:

E_{te} = the energy recorded in section 3.4.6.1 of this appendix.

field use, 53.5, MC_w, and MC_d as defined in section 4.1 of this appendix.

4.3 *Per-cycle gas dryer gas energy consumption.* Calculate the gas dryer gas energy consumption per cycle, E_{gg}, expressed in Btus per cycle and defined as:

$E_{gg} = [53.5/(MC_w - MC_d)] \times E_{tg} \times$ field use $\times$ GEF

Where:

E_{tg} = the energy recorded in section 3.4.6.2 of this appendix.

GEF = corrected gas heat value (Btu per cubic feet) as defined in section 3.4.6.3 of this appendix.

field use, 53.5, IMC, and FMC as defined in section 4.1 of this appendix.

4.4 *Total per-cycle gas dryer energy consumption expressed in kilowatt-hours.* Calculate the total gas dryer energy consumption per cycle, E_{cg}, expressed in kilowatt-hours per cycle and defined as:

$E_{cg} = E_{ge} + (E_{gg}/3412$ Btu/kWh)

Where:

E_{ge} as defined in 4.2

E_{gg} as defined in 4.3

4.5 *Per-cycle standby mode and off mode energy consumption.* Calculate the clothes dryer per-cycle standby mode and off mode energy consumption, E_{TSO}, expressed in kilowatt-hours per cycle and defined as:

$E_{TSO} = [(P_{default} \times S_{default}) + (P_{lowest} \times S_{lowest})] \times K/283$

Where:

$P_{default}$ = Default inactive/off mode power, in watts, as measured in section 3.6.3 of this appendix.

P_{lowest} = Lowest inactive/off mode power, in watts, as measured in section 3.6.4 of this appendix for clothes dryer with a switch (or other means) that can be optionally selected by the end user to achieve a lower-power inactive/off mode than the default inactive/off mode; otherwise, P_{lowest}=0.

$S_{default}$ = Annual hours in default inactive/off mode, defined as 8,620 if no optional lowest-power inactive/off mode is available; otherwise 4,310.

S_{lowest} = Annual hours in lowest-power inactive/off mode, defined as 0 if no optional lowest-power inactive/off mode is available; otherwise 4,310.
K = Conversion factor of watt-hours to kilowatt-hours = 0.001.
283 = Representative average number of clothes dryer cycles in a year.
8,620 = Combined annual hours for inactive and off mode.
4,310 = One-half of the combined annual hours for inactive and off mode.

4.6 *Per-cycle combined total energy consumption expressed in kilowatt-hours.* Calculate the per-cycle combined total energy consumption, E_{CC}, expressed in kilowatt-hours per cycle and defined for an electric clothes dryer as:

$E_{CC} = E_{ce} + E_{TSO}$

Where:

E_{ce} = the energy recorded in section 4.1 of this appendix, and
E_{TSO} = the energy recorded in section 4.5 of this appendix, and defined for a gas clothes dryer as:

$E_{CC} = E_{cg} + E_{TSO}$

Where:

E_{cg} = the energy recorded in section 4.4 of this appendix, and
E_{TSO} = the energy recorded in section 4.5 of this appendix.

4.7 *Combined Energy Factor in pounds per kilowatt-hour.* Calculate the combined energy factor, CEF, expressed in pounds per kilowatt-hour and defined as:

$CEF = W_{bonedry}/E_{CC}$

Where:

$W_{bonedry}$ = the bone dry test load weight 3.4.1, and
E_{CC} = the energy recorded in 4.6

[76 FR 1032, Jan. 6, 2011, as amended at 78 FR 49645, Aug. 14, 2013; 86 FR 56639, Oct. 8, 2021; 89 FR 81305, Oct. 8, 2024]

APPENDIX D2 TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF CLOTHES DRYERS

NOTE: The procedures in either appendix D1 to this subpart or this appendix must be used to determine compliance with the energy conservation standards for clothes dryers provided at §430.32(h)(3).

Manufacturers must use a single appendix for all representations, including certifications of compliance, and may not use appendix D1 to this subpart for certain representations and this appendix for other representations. The procedures in this appendix must be used to determine compliance with the energy conservation standards for clothes dryers provided at §430.32(h)(4). Manufacturers may use this appendix to certify compliance with the clothes dryer standards provided at §430.32(h)(4) prior to the applicable compliance date for those standards.

Per-cycle standby mode and off mode energy consumption in section 4.5 of this appendix is calculated using the value for the annual representative average number of clothes dryer cycles in a year specified in section 4.5.1(a) of this appendix until March 1, 2028. Beginning on March 1, 2028, per-cycle standby mode and off mode energy consumption in section 4.5 of this appendix is calculated using the value for the annual representative average number of clothes dryer cycles in a year specified in section 4.5.1(b) of this appendix.

0. INCORPORATION BY REFERENCE

DOE incorporated by reference in §430.3 the entire standard for AHAM HLD–1 and IEC 62301, however, only enumerated provisions of those documents are applicable to this appendix. In cases where there is a conflict between any industry standard(s) and this appendix, the language of the test procedure in this appendix takes precedence over the industry standard(s).

(1) AHAM HLD–1:

(i) Section 3.3.5.1 ''Standard Simulator'' as referenced in sections 2.1.2 through 2.1.3 of this appendix.

(ii) [Reserved]

(2) IEC 62301:

(i) Section 5, Paragraph 5.1, Note 1 as referenced in section 3.5.2 of this appendix.

(ii) Section 5, Paragraph 5.3.2 ''Sampling Method'' as referenced in section 3.5.3 of this appendix.

1. DEFINITIONS

1.1 ''Active mode'' means a mode in which the clothes dryer is connected to a main power source, has been activated and is performing the main function of tumbling the clothing with or without heated or unheated forced air circulation to remove moisture from the clothing, remove wrinkles or prevent wrinkling of the clothing, or both.

1.2 ''AHAM'' means the Association of Home Appliance Manufacturers.

1.3 ''AHAM HLD–1'' means the test standard published by the Association of Home Appliance Manufacturers, titled ''Household Tumble Type Clothes Dryers,'' ANSI-approved June 11, 2010, ANSI/AHAM HLD–1–2010.

1.4 ''Automatic termination control'' means a dryer control system with a sensor which monitors either the dryer load temperature or its moisture content and with a controller which automatically terminates the drying process. A mark, detent, or other visual indicator or detent which indicates a preferred automatic termination control setting must be present if the dryer is to be

classified as having an ''automatic termination control.'' A mark is a visible single control setting on one or more dryer controls.

1.5 ''Automatic termination control dryer'' means a clothes dryer which can be preset to carry out at least one sequence of operations to be terminated by means of a system assessing, directly or indirectly, the moisture content of the load. An automatic termination control dryer with supplementary timer or that may also be manually controlled shall be tested as an automatic termination control dryer.

1.6 ''Bone dry'' means a condition of a load of test cloths which has been dried in a dryer at maximum temperature for a minimum of 10 minutes, removed, and weighed before cool down, and then dried again for 10-minute periods until the final weight change of the load is 1 percent or less.

1.7 ''Compact'' or ''compact size'' means a clothes dryer with a drum capacity of less than 4.4 cubic feet.

1.8 ''Cool down'' means that portion of the clothes drying cycle when the added gas or electric heat is terminated and the clothes continue to tumble and dry within the drum.

1.9 ''Cycle'' means a sequence of operation of a clothes dryer which performs a clothes drying operation, and may include variations or combinations of the functions of heating, tumbling, and drying.

1.10 ''Drum capacity'' means the volume of the drying drum in cubic feet.

1.11 ''Final moisture content'' (''FMC'') means the ratio of the weight of water contained by the dry test load (*i.e.*, after completion of the drying cycle) to the bone-dry weight of the test load, expressed as a percent.

1.12 ''IEC 62301'' (Second Edition) means the test standard published by the International Electrotechnical Commission (''IEC'') titled ''Household electrical appliances—Measurement of standby power,'' Publication 62301 (Edition 2.0 2011–01) (incorporated by reference; see § 430.3).

1.13 ''Initial moisture content'' (''IMC'') means the ratio of the weight of water contained by the damp test load (*i.e.*, prior to completion of the drying cycle) to the bone-dry weight of the test load, expressed as a percent.

1.14 ''Inactive mode'' means a standby mode that facilitates the activation of active mode by remote switch (including remote control), internal sensor, or timer, or that provides continuous status display.

1.15 ''Moisture content'' means the ratio of the weight of water contained by the test load to the bone-dry weight of the test load, expressed as a percent.

1.16 ''Off mode'' means a mode in which the clothes dryer is connected to a main power source and is not providing any active or standby mode function, and where the mode may persist for an indefinite time. An indicator that only shows the user that the product is in the off position is included within the classification of an off mode.

1.17 ''Standard size'' means a clothes dryer with a drum capacity of 4.4 cubic feet or greater.

1.18 ''Standby mode'' means any product modes where the energy using product is connected to a mains power source and offers one or more of the following user-oriented or protective functions which may persist for an indefinite time:

(a) To facilitate the activation of other modes (including activation or deactivation of active mode) by remote switch (including remote control), internal sensor, or timer.

(b) Continuous functions, including information or status displays (including clocks) or sensor-based functions. A timer is a continuous clock function (which may or may not be associated with a display) that provides regular scheduled tasks (*e.g.*, switching) and that operates on a continuous basis.

1.19 ''Timer dryer'' means a clothes dryer that can be preset to carry out at least one operation to be terminated by a timer, but may also be manually controlled, and does not include any automatic termination function.

1.20 ''Vented clothes dryer'' means a clothes dryer that exhausts the evaporated moisture from the cabinet.

1.21 ''Ventless clothes dryer'' means a clothes dryer that uses a closed-loop system with an internal condenser to remove the evaporated moisture from the heated air. The moist air is not discharged from the cabinet.

2. Testing Conditions

2.1 *Installation.*

2.1.1 *All clothes dryers.* For both vented clothes dryers and ventless clothes dryers, install the clothes dryer in accordance with manufacturer's instructions as shipped with the unit. If the manufacturer's instructions do not specify the installation requirements for a certain component, it shall be tested in the as-shipped condition. Where the manufacturer gives the option to use the dryer both with and without a duct, the dryer shall be tested without the exhaust simulator described in section 3.3.5.1 of AHAM HLD–1 (incorporated by reference; see § 430.3). All external joints should be taped to avoid air leakage. For drying testing, disconnect all lights, such as task lights, that do not provide any information related to the drying process on the clothes dryer and that do not consume more than 10 watts during the clothes dryer test cycle. Control setting indicator lights showing the cycle progression, temperature or dryness settings, or other cycle functions that cannot be turned off during the test cycle shall not be disconnected during the active mode test cycle.

For standby and off mode testing, the clothes dryer shall also be installed in accordance with section 5, paragraph 5.2 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3), disregarding the provisions regarding batteries and the determination, classification, and testing of relevant modes. For standby and off mode testing, all lighting systems shall remain connected.

2.1.2 *Vented clothes dryers.* For vented clothes dryers, the dryer exhaust shall be restricted by adding the AHAM exhaust simulator described in section 3.3.5.1 of AHAM HLD–1.

2.1.3 *Ventless clothes dryers.* For ventless clothes dryers, the dryer shall be tested without the AHAM exhaust simulator. If the manufacturer gives the option to use a ventless clothes dryer, with or without a condensation box, the dryer shall be tested with the condensation box installed. For ventless clothes dryers, the condenser unit of the dryer must remain in place and not be taken out of the dryer for any reason between tests.

2.2 *Ambient temperature and humidity.*

2.2.1 For drying testing, maintain the room ambient air temperature at 75 ±3 F and the room relative humidity at 50 percent ±10 percent relative humidity.

2.2.2 For standby and off mode testing, maintain room ambient air temperature conditions as specified in section 4, paragraph 4.2 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3).

2.3 *Energy supply.*

2.3.1 *Electrical supply.* Maintain the electrical supply at the clothes dryer terminal block within 1 percent of 120/240 or 120/208Y or 120 volts as applicable to the particular terminal block wiring system and within 1 percent of the nameplate frequency as specified by the manufacturer. If the dryer has a dual voltage conversion capability, conduct the test at the highest voltage specified by the manufacturer.

2.3.1.1 *Supply voltage waveform.* For the clothes dryer standby mode and off mode testing, maintain the electrical supply voltage waveform indicated in section 4, paragraph 4.3.2 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3). If the power measuring instrument used for testing is unable to measure and record the total harmonic content during the test measurement period, it is acceptable to measure and record the total harmonic content immediately before and after the test measurement period.

2.3.2 *Gas supply.*

2.3.2.1 *Natural gas supply.* Maintain the gas supply to the clothes dryer immediately ahead of all controls at a pressure of 7 to 10 inches of water column. The natural gas supplied should have a heating value of approximately 1,025 Btus per standard cubic foot. The actual heating value, H_n2, in Btus per standard cubic foot, for the natural gas to be used in the test shall be obtained either from measurements using a standard continuous flow calorimeter as described in section 2.4.6 of this appendix or by the purchase of bottled natural gas whose Btu rating is certified to be at least as accurate a rating as could be obtained from measurements with a standard continuous flow calorimeter as described in section 2.4.6 of this appendix.

2.3.2.2 *Propane gas supply.* Maintain the gas supply to the clothes dryer immediately ahead of all controls at a pressure of 11 to 13 inches of water column. The propane gas supplied should have a heating value of approximately 2,500 Btus per standard cubic foot. The actual heating value, H_p, in Btus per standard cubic foot, for the propane gas to be used in the test shall be obtained either from measurements using a standard continuous flow calorimeter as described in section 2.4.6 of this appendix or by the purchase of bottled gas whose Btu rating is certified to be at least as accurate a rating as could be obtained from measurement with a standard continuous calorimeter as described in section 2.4.6 of this appendix.

2.3.2.3 *Hourly Btu Rating.* Maintain the hourly Btu rating of the burner within ±5 percent of the rating specified by the manufacturer. If the hourly Btu rating of the burner cannot be maintained within ±5 percent of the rating specified by the manufacturer, make adjustments in the following order until an hourly Btu rating of the burner within ±5 percent of the rating specified by the manufacturer is achieved:

(1) Modify the gas inlet supply pressure within the allowable range specified in section 2.3.2.1 or 2.3.2.2 of this appendix, as applicable;

(2) If the clothes dryer is equipped with a gas pressure regulator, modify the outlet pressure of the gas pressure regulator within ±10 percent of the value recommended by the manufacturer in the installation manual, on the nameplate sticker, or wherever the manufacturer makes such a recommendation for the basic model; and

(3) Modify the orifice as necessary to achieve the required hourly Btu rating.

2.4 *Instrumentation.* Perform all test measurements using the following instruments as appropriate.

2.4.1 *Weighing scales.*

2.4.1.1 *Weighing scale for test cloth.* The scale shall have a range of 0 to a maximum of 60 pounds with a resolution of at least 0.001 pounds and a maximum error no greater than 0.1 percent of any measured value within the range of 3 to 15 pounds.

2.4.1.2 *Weighing scale for drum capacity measurements.* The scale should have a range of 0 to a maximum of 600 pounds with resolution of 0.50 pounds and a maximum error no greater than 0.5 percent of the measured value.

2.4.2 *Kilowatt-hour meter*. The kilowatt-hour meter shall have a resolution of 0.001 kilowatt-hours and a maximum error no greater than 0.5 percent of the measured value.

2.4.3 *Gas meter*. The gas meter shall have a resolution of 0.001 cubic feet and a maximum error no greater than 0.5 percent of the measured value.

2.4.4 *Dry and wet bulb psychrometer*. The dry and wet bulb psychrometer shall have an error no greater than ±1 °F. A relative humidity meter with a maximum error tolerance expressed in °F equivalent to the requirements for the dry and wet bulb psychrometer or with a maximum error tolerance of ±2 percent relative humidity would be acceptable for measuring the ambient humidity.

2.4.5 *Temperature*. The temperature sensor shall have an error no greater than ±1 °F.

2.4.6 *Standard Continuous Flow Calorimeter*. The calorimeter shall have an operating range of 750 to 3,500 Btu per cubic foot. The maximum error of the basic calorimeter shall be no greater than 0.2 percent of the actual heating value of the gas used in the test. The indicator readout shall have a maximum error no greater than 0.5 percent of the measured value within the operating range and a resolution of 0.2 percent of the full-scale reading of the indicator instrument.

2.4.7 *Standby mode and off mode watt meter*. The watt meter used to measure standby mode and off mode power consumption shall meet the requirements specified in section 4, paragraph 4.4 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3). If the power measuring instrument used for testing is unable to measure and record the crest factor, power factor, or maximum current ratio during the test measurement period, it is acceptable to measure the crest factor, power factor, and maximum current ratio immediately before and after the test measurement period.

2.5 *Lint trap*. Clean the lint trap thoroughly before each test run.

2.6 *Test Cloths*.

2.6.1 *Energy test cloth*. The energy test cloth shall be clean and consist of the following:

(a) Pure finished bleached cloth, made with a momie or granite weave, which is a blended fabric of 50-percent cotton and 50-percent polyester and weighs within + 10 percent of 5.75 ounces per square yard after test cloth preconditioning, and has 65 ends on the warp and 57 picks on the fill. The individual warp and fill yarns are a blend of 50-percent cotton and 50-percent polyester fibers.

(b) Cloth material that is 24 inches by 36 inches and has been hemmed to 22 inches by 34 inches before washing. The maximum shrinkage after five washes shall not be more than 4 percent on the length and width.

(c) The number of test runs on the same energy test cloth shall not exceed 25 runs.

2.6.2 *Energy stuffer cloths*. The energy stuffer cloths shall be made from energy test cloth material, and shall consist of pieces of material that are 12 inches by 12 inches and have been hemmed to 10 inches by 10 inches before washing. The maximum shrinkage after five washes shall not be more than 4 percent on the length and width. The number of test runs on the same energy stuffer cloth shall not exceed 25 runs after test cloth preconditioning.

2.6.3 *Test Cloth Preconditioning*.

A new test cloth load and energy stuffer cloths shall be treated as follows:

(1) Bone dry the load to a weight change of ±1 percent, or less, as prescribed in section 1.6 of this appendix.

(2) Place the test cloth load in a standard clothes washer set at the maximum water fill level. Wash the load for 10 minutes in soft water (17 parts per million hardness or less), using 60.8 grams of AHAM standard test detergent Formula 3. Wash water temperature should be maintained at 140 °F ±5 °F (60 °C ±2.7 °C). Rinse water temperature is to be controlled at 100 °F ±5 °F (37.7 °C ±2.7 °C).

(3) Rinse the load again at the same water temperature.

(4) Bone dry the load as prescribed in section 1.6 of this appendix and weigh the load.

(5) This procedure is repeated until there is a weight change of 1 percent or less.

(6) A final cycle is to be a hot water wash with no detergent, followed by two warm water rinses.

2.7 *Test loads*.

2.7.1 *Load size*. Determine the load size for the unit under test, according to Table 1 of this section.

TABLE 1—TEST LOADS

Unit under test	Test load (bone dry weight)
Standard size clothes dryer ...	8.45 pounds ± .085 pounds.
Compact size clothes dryer ...	3.00 pounds ± .03 pounds.

Each test load must consist of energy test cloths and no more than five energy stuffer cloths.

2.7.2 *Test load preparation*. Dampen the load by agitating it in water whose temperature is 60 °F ±5 °F and consists of 0 to 17 parts per million hardness for approximately 2 minutes to saturate the fabric. Then, extract water from the wet test load by spinning the load until the moisture content of the load is between 52.5 and 57.5 percent of the bone-dry weight of the test load. Make a final mass adjustment, such that the moisture content is 57.5 percent ±0.33 percent by adding water uniformly distributed among all of the test cloths in a very fine spray using a spray bottle.

2.7.3 *Method of loading*. Load the energy test cloths by grasping them in the center,

shaking them to hang loosely, and then dropping them in the dryer at random.

2.8 *Clothes dryer preconditioning.*

2.8.1 *Vented clothes dryers.* For vented clothes dryers, before any test cycle, operate the dryer without a test load in the non-heat mode for 15 minutes or until the discharge air temperature is varying less than 1 °F for 10 minutes—whichever is longer—in the test installation location with the ambient conditions within the specified test condition tolerances of section 2.2 of this appendix.

2.8.2 *Ventless clothes dryers.* For ventless clothes dryers, before any test cycle, the steady-state machine temperature must be equal to ambient room temperature described in 2.2.1. This may be done by leaving the machine at ambient room conditions for at least 12 hours between tests.

3. TEST PROCEDURES AND MEASUREMENTS

3.1 *Drum Capacity.* Measure the drum capacity by sealing all openings in the drum except the loading port with a plastic bag, and ensuring that all corners and depressions are filled and that there are no extrusions of the plastic bag through any openings in the interior of the drum. Support the dryer's rear drum surface on a platform scale to prevent deflection of the drum surface, and record the weight of the empty dryer. Fill the drum with water to a level determined by the intersection of the door plane and the loading port (*i.e.*, the uppermost edge of the drum that is in contact with the door seal). Record the temperature of the water and then the weight of the dryer with the added water and then determine the mass of the water in pounds. Add the appropriate volume to account for any space in the drum interior not measured by water fill (e.g., the space above the uppermost edge of the drum within a curved door) and subtract the appropriate volume to account for the space that is measured by water fill but cannot be used when the door is closed (e.g., space occupied by the door when closed). The drum capacity is calculated to the nearest 0.1 cubic foot as follows:

C= w/d ±volume adjustment

C = capacity in cubic feet.

w = mass of water in pounds.

d = density of water at the measured temperature in pounds per cubic foot.

3.2 *Dryer Loading.* Load the dryer as specified in 2.7.

3.3 *Test cycle.*

3.3.1 *Timer dryers.* For timer dryers, operate the clothes dryer at the maximum temperature setting and, if equipped with a timer, at the maximum time setting. Any other optional cycle settings that do not affect the temperature or time settings shall be tested in the as-shipped position, except that if the clothes dryer has network capabilities, the network settings must be disabled throughout testing if such settings can be disabled by the end-user and the product's user manual provides instructions on how to do so. If the network settings cannot be disabled by the end-user, or the product's user manual does not provide instruction for disabling network settings, then the unit must be tested with the network settings in the factory default configuration for the test cycle. If the clothes dryer does not have a separate temperature setting selection on the control panel, the maximum time setting should be used for the drying test cycle. Dry the load until the moisture content of the test load is between 1 and 2.5 percent of the bone-dry weight of the test load, at which point the test cycle is stopped, but do not permit the dryer to advance into cool down. If required, reset the timer to increase the length of the drying cycle. After stopping the test cycle, remove and weigh the test load within 5 minutes following termination of the test cycle. The clothes dryer shall not be stopped intermittently in the middle of the test cycle for any reason. Record the data specified by section 3.4 of this appendix. If the dryer automatically stops during a cycle because the condensation box is full of water, the test is stopped, and the test run is invalid, in which case the condensation box shall be emptied and the test re-run from the beginning. For ventless clothes dryers, during the time between two cycles, the door of the dryer shall be closed except for loading and unloading.

3.3.2 *Automatic termination control dryers.* For automatic termination control dryers, a ''normal'' program shall be selected for the test cycle. For dryers that do not have a ''normal'' program, the cycle recommended by the manufacturer for drying cotton or linen clothes shall be selected. Where the drying temperature setting can be chosen independently of the program, it shall be set to the maximum. Where the dryness level setting can be chosen independently of the program, it shall be set to the ''normal'' or ''medium'' dryness level setting. If such designation is not provided, then the dryness level shall be set at the mid-point between the minimum and maximum settings. If an even number of discrete settings are provided, use the next-highest setting above the midpoint, in the direction of the maximum dryness setting or next-lowest setting below the midpoint, in the direction of the minimum dryness setting. Any other optional cycle settings that do not affect the program, temperature or dryness settings shall be tested in the as-shipped position, except that if the clothes dryer has network capabilities, the network settings must be disabled throughout testing if such settings can be disabled by the end-user and the product's user manual provides instructions on how to do so. If the network settings cannot be disabled by the end-user, or the product's user

manual does not provide instruction for disabling network settings, then the unit must be tested with the network settings in the factory default configuration for the test cycle.

Operate the clothes dryer until the completion of the programmed cycle, including the cool down period. The cycle shall be considered complete when the dryer indicates to the user that the cycle has finished (by means of a display, indicator light, audible signal, or other signal) and the heater and drum/fan motor shuts off for the final time. If the clothes dryer is equipped with a wrinkle prevention mode (*i.e.,* that continuously or intermittently tumbles the clothes dryer drum after the clothes dryer indicates to the user that the cycle has finished) that is activated by default in the as-shipped position or if manufacturers' instructions specify that the feature is recommended to be activated for normal use, the cycle shall be considered complete after the end of the wrinkle prevention mode. After the completion of the test cycle, remove and weigh the test load within 5 minutes following termination of the test cycle. Record the data specified in section 3.4 of this appendix. If the final moisture content is greater than 2 percent, the results from the test are invalid and a second run must be conducted. Conduct the second run of the test on the unit using the highest dryness level setting. If, on this second run, the dryer does not achieve a final moisture content of 2 percent or lower, the dryer has not sufficiently dried the clothes and the test results may not be used for certification of compliance with energy conservation standards. If the dryer automatically stops during a cycle because the condensation box is full of water, the test is stopped, and the test run is invalid, in which case the condensation box shall be emptied and the test re-run from the beginning. For ventless clothes dryers, during the time between two cycles, the door of the dryer shall be closed except for loading and unloading.

3.4 *Data recording.* Record for each test cycle:

3.4.1 Bone-dry weight of the test load, $W_{bonedry}$, as described in section 2.7.1 of this appendix.

3.4.2 Moisture content of the wet test load before the test, IMC, as described in section 2.7.2 of this appendix.

3.4.3 Moisture content of the dry test load obtained after the test, FMC, as described in section 3.3 of this appendix.

3.4.4 Test room conditions, temperature, and percent relative humidity described in 2.2.1.

3.4.5 For electric dryers—the total kilowatt-hours of electric energy, E_t, consumed during the test described in 3.3.

3.4.6 For gas dryers:

3.4.6.1 Total kilowatt-hours of electrical energy, E_{te}, consumed during the test described in 3.3.

3.4.6.2 Cubic feet of gas per cycle, E_{tg}, consumed during the test described in 3.3.

3.4.6.3 Correct the gas heating value, GEF, as measured in 2.3.2.1 and 2.3.2.2, to standard pressure and temperature conditions in accordance with U.S. Bureau of Standards, circular C417, 1938.

3.4.7 The cycle settings selected, in accordance with section 3.3.2 of this appendix, for the automatic termination control dryer test.

3.5 *Standby mode and off mode power.* Connect the clothes dryer to a watt meter as specified in section 2.4.7 of this appendix. Establish the testing conditions set forth in section 2 of this appendix.

3.5.1 Perform standby mode and off mode testing after completion of an active mode drying cycle included as part of the test cycle; after removing the test load; without changing the control panel settings used for the active mode drying cycle; with the door closed; and without disconnecting the electrical energy supply to the clothes dryer between completion of the active mode drying cycle and the start of standby mode and off mode testing.

3.5.2 For clothes dryers that take some time to automatically enter a stable inactive mode or off mode state from a higher power state as discussed in Section 5, Paragraph 5.1, Note 1 of IEC 62301, allow sufficient time for the clothes dryer to automatically reach the default inactive/off mode state before proceeding with the test measurement.

3.5.3 Once the stable inactive/off mode state has been reached, measure and record the default inactive/off mode power, $P_{default}$, in watts, following the test procedure for the sampling method specified in Section 5, Paragraph 5.3.2 of IEC 62301.

3.5.4 For a clothes dryer with a switch (or other means) that can be optionally selected by the end user to achieve a lower-power inactive/off mode state than the default inactive/off mode state measured in section 3.5.3 of this appendix, after performing the measurement in section 3.5.3 of this appendix, activate the switch (or other means) to the position resulting in the lowest power consumption and repeat the measurement procedure described in section 3.5.3 of this appendix. Measure and record the lowest inactive/off mode power, P_{lowest}, in watts.

4. Calculation of Derived Results From Test Measurements

4.1 *Total per-cycle electric dryer energy consumption.* Calculate the total per-cycle electric dryer energy consumption required to achieve a final moisture content of 2 percent or less, $E_{ce,}$ expressed in kilowatt-hours per cycle and defined as:

$E_{ce} = E_t$,
for automatic termination control dryers, and,
$E_{ce} = [55.5/(IMC - FMC)] \times E_t \times$ field use,
for timer dryers

Where:

55.5 = an experimentally established value for the percent reduction in the moisture content of the test load during a laboratory test cycle expressed as a percent.
E_t = the energy recorded in section 3.4.5 of this appendix.
field use = 1.18, the field use factor for clothes dryers with time termination control systems only without any automatic termination control functions.
IMC = the moisture content of the wet test load as recorded in section 3.4.2 of this appendix.
FMC = the moisture content of the dry test load as recorded in section 3.4.3 of this appendix.

4.2 *Per-cycle gas dryer electrical energy consumption*. Calculate the per-cycle gas dryer electrical energy consumption required to achieve a final moisture content of 2 percent or less, $E_{ge,}$ expressed in kilowatt-hours per cycle and defined as:

$E_{ge} = E_{te}$,
for automatic termination control dryers, and,
$E_{ge} = [55.5/(IMC - FMC)] \times E_{te} \times$ field use,
for timer dryers

Where:

E_{te} = the energy recorded in section 3.4.6.1 of this appendix.
field use, 55.5, IMC, and FMC as defined in section 4.1 of this appendix.

4.3 *Per-cycle gas dryer gas energy consumption*. Calculate the per-cycle gas dryer gas energy consumption required to achieve a final moisture content of 2 percent or less, E_{gg}, expressed in Btus per cycle and defined as:

$E_{gg} = E_{tg} \times GEF$
for automatic termination control dryers, and,
$E_{gg} = [55.5/(IMC - FMC)] \times E_{tg} \times$ field use $\times$ GEF
for timer dryers

Where:

E_{tg} = the energy recorded in section 3.4.6.2 of this appendix.
GEF = corrected gas heat value (Btu per cubic foot) as defined in section 3.4.6.3 of this appendix,
field use, 55.5, IMC, and FMC as defined in section 4.1 of this appendix.

4.4 *Total per-cycle gas dryer energy consumption expressed in kilowatt-hours*. Calculate the total per-cycle gas dryer energy consumption required to achieve a final moisture content of 2 percent or less, E_{cg}, expressed in kilowatt-hours per cycle and defined as:

$E_{cg} = E_{ge} + (E_{gg}/3412$ Btu/kWh)

Where:

E_{ge} = the energy calculated in section 4.2 of this appendix
E_{gg} = the energy calculated in section 4.3 of this appendix

4.5 *Per-cycle standby mode and off mode energy consumption*. Calculate the clothes dryer per-cycle standby mode and off mode energy consumption, E_{TSO}, expressed in kilowatt-hours per cycle and defined as:

$E_{TSO} = [(P_{default} \times S_{default}) + (P_{lowest} \times S_{lowest})] \times K/C_{annual}$

Where:

$P_{default}$ = Default inactive/off mode power, in watts, as measured in section 3.5.3 of this appendix.
P_{lowest} = Lowest inactive/off mode power, in watts, as measured in section 3.5.4 of this appendix for clothes dryer with a switch (or other means) that can be optionally selected by the end user to achieve a lower-power inactive/off mode than the default inactive/off mode; otherwise, P_{lowest} =0.
$S_{default}$ = Annual hours in default inactive/off mode, defined as 8,620 if no optional lowest-power inactive/off mode is available; otherwise 4,310.
S_{lowest} = Annual hours in lowest-power inactive/off mode, defined as 0 if no optional lowest-power inactive/off mode is available; otherwise 4,310.
K = Conversion factor of watt-hours to kilowatt-hours = 0.001.
C_{annual} = Representative average number of clothes dryer cycles in a year as specified in section 4.5.1.
8,620 = Combined annual hours for inactive and off mode.
4,310 = One-half of the combined annual hours for inactive and off mode.

4.5.1 *Representative average number of clothes dryer cycles in a year*. Per the Introductory Note:

(1) $C_{annual} = 283$
(2) $C_{annual} = 236$

4.6 *Per-cycle combined total energy consumption expressed in kilowatt-hours*. Calculate the per-cycle combined total energy consumption, E_{CC}, expressed in kilowatt-hours per cycle and defined for an electric clothes dryer as:

$E_{CC} = E_{ce} + E_{TSO}$

Where:

E_{ce} = the energy calculated in section 4.1 of this appendix, and
E_{TSO} = the energy calculated in section 4.5 of this appendix, and defined for a gas clothes dryer as:

$E_{CC} = E_{cg} + E_{TSO}$

Where:

E_{cg} = the energy calculated in section 4.4 of this appendix, and

E_{TSO} = the energy calculated in section 4.5 of this appendix.

4.7 *Combined Energy Factor in pounds per kilowatt-hour*. Calculate the combined energy factor, CEF, expressed in pounds per kilowatt-hour and defined as:

$CEF = W_{bonedry}/E_{CC}$

Where:

$W_{bonedry}$ = the bone dry test load weight recorded in section 3.4.1 of this appendix, and

E_{CC} = the energy calculated in section 4.6 of this appendix.

[78 FR 49647, Aug. 14, 2013, as amended at 86 FR 56641, Oct. 8, 2021; 89 FR 81305, Oct. 8, 2024]

APPENDIX E TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF WATER HEATERS

NOTE: Prior to December 18, 2023, representations with respect to the energy use or efficiency of consumer water heaters covered by this test method, including compliance certifications, must be based on testing conducted in accordance with either this appendix as it now appears or appendix E as it appeared at 10 CFR part 430, subpart B revised as of January 1, 2021. Prior to June 15, 2024, representations with respect to the energy use or efficiency of residential-duty commercial water heaters covered by this test method, including compliance certifications, must be based on testing conducted in accordance with either this appendix as it now appears or appendix E as it appeared at 10 CFR part 430, subpart B revised as of January 1, 2021.

On and after December 18, 2023, representations with respect to energy use or efficiency of consumer water heaters covered by this test method, including compliance certifications, must be based on testing conducted in accordance with this appendix, except as described in the paragraphs that follow. On and after June 15, 2024, representations with respect to energy use or efficiency of residential-duty commercial water heaters covered by this test method, including compliance certifications, must be based on testing conducted in accordance with this appendix, except as follows.

Prior to May 6, 2029, consumer water heaters subject to section 4.10 of this appendix may optionally apply the requirements of section 4.10 of this appendix. For residential-duty commercial water heaters subject to section 4.10 of this appendix the requirements of section 4.10 of this appendix may optionally be applied prior to the compliance date of any final rule reviewing potential amended energy conservation standards for this equipment published after June 21, 2023.

Prior to May 6, 2029, consumer water heaters subject to section 5.1.2 of this appendix (as specified at §429.17(a)(1)(ii)(E) of this chapter) may optionally apply the requirements of section 5.1.2 of this appendix in lieu of the requirements in section 5.1.1 of this appendix.

On or after May 6, 2029, representations with respect to energy use or efficiency of consumer water heaters subject to sections 4.10 and 5.1.2 of this appendix must be based on testing conducted in accordance with those provisions.

0. Incorporation by Reference.

DOE incorporated by reference in §430.3 the entire standard for: ASHRAE 41.1–2020; ASHRAE 41.6–2014; ASHRAE 118.2–2022; ASTM D2156–09 (R2018); and ASTM E97–1987. However, only enumerated provisions of ASHRAE 118.2–2022 are applicable to this appendix, as follows:

0.1 ASHRAE 118.2–2022

(a) Annex B—Gas Heating Value Correction Factor;

(b) [Reserved]

0.2 [Reserved]

1. Definitions.

1.1. *Cut-in* means the time when or water temperature at which a water heater control or thermostat acts to increase the energy or fuel input to the heating elements, compressor, or burner.

1.2. *Cut-out* means the time when or water temperature at which a water heater control or thermostat acts to reduce to a minimum the energy or fuel input to the heating elements, compressor, or burner.

1.3. *Design Power Rating* means the power rating or input rate that a water heater manufacturer assigns to a particular design of water heater and that is included on the nameplate of the water heater, expressed in kilowatts or Btu (kJ) per hour as appropriate. For modulating water heaters, the design power rating is the maximum power rating or input rate that is specified by the manufacturer on the nameplate of the water heater.

1.4. *Draw Cluster* means a collection of water draws initiated during the 24-hour simulated-use test during which no successive draws are separated by more than 2 hours.

1.5. *First-Hour Rating* means an estimate of the maximum volume of ''hot'' water that a non-flow activated water heater can supply within an hour that begins with the water heater fully heated (*i.e.*, with all thermostats satisfied).

1.6. *Flow-Activated* describes an operational scheme in which a water heater initiates and terminates heating based on sensing flow.

1.7. *Heat Trap* means a device that can be integrally connected or independently attached to the hot and/or cold water pipe connections of a water heater such that the device will develop a thermal or mechanical seal to minimize the recirculation of water due to thermal convection between the water heater tank and its connecting pipes.

1.8. *Maximum GPM (L/min) Rating* means the maximum gallons per minute (liters per minute) of hot water that can be supplied by a flow-activated water heater when tested in accordance with section 5.3.2 of this appendix.

1.9. *Modulating Water Heater* means a water heater that can automatically vary its power or input rate from the minimum to the maximum power or input rate specified on the nameplate of the water heater by the manufacturer.

1.10. *Rated Storage Volume* means the water storage capacity of a water heater, in gallons (liters), as certified by the manufacturer pursuant to 10 CFR part 429.

1.11. *Recovery Efficiency* means the ratio of energy delivered to the water to the energy content of the fuel consumed by the water heater.

1.12. *Recovery Period* means the time when the main burner of a water heater with a rated storage volume greater than or equal to 2 gallons is raising the temperature of the stored water.

1.13. *Split-system heat pump water heater* means a heat pump-type water heater in which at least the compressor, which may be installed outdoors, is separate from the storage tank.

1.14. *Standby* means the time, in hours, during which water is not being withdrawn from the water heater.

1.15. *Symbol Usage.* The following identity relationships are provided to help clarify the symbology used throughout this procedure:

C_p—specific heat of water

E_{annual}—annual energy consumption of a water heater

$E_{annual,e}$—annual electrical energy consumption of a water heater

$E_{annual,f}$—annual fossil-fuel energy consumption of a water heater

E_X—energy efficiency of a heat pump-type water heater when the 24-hour simulated use test is optionally conducted at any of the additional air temperature conditions as specified in section 2.8 of this appendix, where the subscript ''X'' corresponds to the dry-bulb temperature at which the test is conducted.

F_{hr}—first-hour rating of a non-flow activated water heater

F_{max}—maximum GPM (L/min) rating of a flow-activated water heater

i—a subscript to indicate the draw number during a test

k_V—storage tank volume scaling ratio for water heaters with a rated storage volume greater than or equal to 2 gallons

$M_{del,i}$—mass of water removed during the ith draw of the 24-hour simulated-use test

$M_{in,i}$—mass of water entering the water heater during the ith draw of the 24-hour simulated-use test

$M^*_{del,i}$—for non-flow activated water heaters, mass of water removed during the ith draw during the first-hour rating test

$M^*_{in,i}$—for non-flow activated water heaters, mass of water entering the water heater during the ith draw during the first-hour rating test

$M_{del,10m}$—for flow-activated water heaters, mass of water removed continuously during the maximum GPM (L/min) rating test

$M_{in,10m}$—for flow-activated water heaters, mass of water entering the water heater continuously during the maximum GPM (L/min) rating test

n—for non-flow activated water heaters, total number of draws during the first-hour rating test

N—total number of draws during the 24-hour simulated-use test

N_r—number of draws from the start of the 24-hour simulated-use test to the end to the first recovery period as described in section 5.4.2 of this appendix

Q—total fossil fuel and/or electric energy consumed during the entire 24-hour simulated-use test

Q_d—daily water heating energy consumption adjusted for net change in internal energy

Q_{da}—Q_d with adjustment for variation of tank to ambient air temperature difference from nominal value

Q_{dm}—overall adjusted daily water heating energy consumption including Q_{da} and Q_{HWD}

Q_e—total electrical energy used during the 24-hour simulated-use test

Q_f—total fossil fuel energy used by the water heater during the 24-hour simulated-use test

Q_{hr}—hourly standby losses of a water heater with a rated storage volume greater than or equal to 2 gallons

Q_{HW}—daily energy consumption to heat water at the measured average temperature rise across the water heater

$Q_{HW,67\ °F}$—daily energy consumption to heat quantity of water removed during test over a temperature rise of 67 °F (37.3 °C)

Q_{HWD}—adjustment to daily energy consumption, Q_{HW}, due to variation of the temperature rise across the water heater not equal to the nominal value of 67 °F (37.3 °C)

Q_r—energy consumption of water heater from the beginning of the test to the end of the first recovery period

Q_{stby}—total energy consumed during the standby time interval $\tau_{stby,1}$, as determined in section 5.4.2 of this appendix

$Q_{su,0}$—cumulative energy consumption, including all fossil fuel and electrical energy

use, of the water heater from the start of the 24-hour simulated-use test to the start of the standby period as determined in section 5.4.2 of this appendix

$Q_{su,f}$—cumulative energy consumption, including all fossil fuel and electrical energy use, of the water heater from the start of the 24-hour simulated-use test to the end of the standby period as determined in section 5.4.2 of this appendix

$\overline{T}_0$—mean tank temperature at the beginning of the 24-hour simulated-use test as determined in section 5.4.2 of this appendix

$\overline{T}_{24}$—mean tank temperature at the end of the 24-hour simulated-use test as determined in section 5.4.2 of this appendix

$\overline{T}_{a,stby}$—average ambient air temperature during all standby periods of the 24-hour simulated-use test as determined in section 5.4.2 of this appendix

$\overline{T}_{a,stby,1}$—overall average ambient temperature between the start and end of the standby period as determined in section 5.4.2 of this appendix

$\overline{T}_{t,stby,1}$— overall average mean tank temperature between the start and end of the standby period as determined in section 5.4.2 of this appendix

$\overline{T}_{del}$—for flow-activated water heaters, average outlet water temperature during the maximum GPM (L/min) rating test

$\overline{T}_{del,i}$—average outlet water temperature during the *i*th draw of the 24-hour simulated-use test

$\overline{T}_{in}$—for flow-activated water heaters, average inlet water temperature during the maximum GPM (L/min) rating test

$\overline{T}_{st}$—for water heaters which cannot have internal tank temperature directly measured, estimated average internal storage tank temperature

T_p—for water heaters which cannot have internal tank temperature directly measured, average of the inlet and the outlet water temperatures at the end of the period defined by τ_p

$\overline{T}_{in,p}$—for water heaters which cannot have internal tank temperature directly measured, average of the inlet water temperatures

$\overline{T}_{out,p}$—for water heaters which cannot have internal tank temperature directly measured, average of the outlet water temperatures

$\overline{T}_{in,i}$—average inlet water temperature during the *i*th draw of the 24-hour simulated-use test

$\overline{T}_{max,1}$—maximum measured mean tank temperature after the first recovery period of the 24-hour simulated-use test as determined in section 5.4.2 of this appendix

$\overline{T}_{su,0}$—maximum measured mean tank temperature at the beginning of the standby period as determined in section 5.4.2 of this appendix

$\overline{T}_{su,f}$—measured mean tank temperature at the end of the standby period as determined in section 5.4.2 of this appendix

$\overline{T}^*_{del,i}$—for non-flow activated water heaters, average outlet water temperature during the *i*th draw (i = 1 to n) of the first-hour rating test

$\overline{T}^*_{max,i}$—for non-flow activated water heaters, maximum outlet water temperature observed during the *i*th draw (i = 1 to n) of the first-hour rating test

$\overline{T}^*_{min,i}$—for non-flow activated water heaters, minimum outlet water temperature to terminate the *i*th draw (i = 1 to n) of the first-hour rating test

UA—standby loss coefficient of a water heater with a rated storage volume greater than or equal to 2 gallons

UEF—uniform energy factor of a water heater

V—the volume of hot water drawn during the applicable draw pattern

$V_{del,i}$—volume of water removed during the *i*th draw (i = 1 to N) of the 24-hour simulated-use test

$V_{in,i}$—volume of water entering the water heater during the *i*th draw (i = 1 to N) of the 24-hour simulated-use test

$V^*_{del,i}$—for non-flow activated water heaters, volume of water removed during the *i*th draw (i = 1 to n) of the first-hour rating test

$V^*_{in,i}$—for non-flow activated water heaters, volume of water entering the water heater during the *i*th draw (i = 1 to n) of the first-hour rating test

$V_{del,10m}$—for flow-activated water heaters, volume of water removed during the maximum GPM (L/min) rating test

$V_{in,10m}$—for flow-activated water heaters, volume of water entering the water heater during the maximum GPM (L/min) rating test

V_{st}—measured storage volume of the storage tank for water heaters with a rated storage volume greater than or equal to 2 gallons

V_{eff}—effective storage volume

$v_{out,p}$—for water heaters which cannot have internal tank temperature directly measured, average flow rate

W_f—weight of storage tank when completely filled with water for water heaters with a rated storage volume greater than or equal to 2 gallons

W_t—tare weight of storage tank when completely empty of water for water heaters with a rated storage volume greater than or equal to 2 gallons

η_r—recovery efficiency

ρ—density of water

τ_p—for water heaters which cannot have internal tank temperature directly measured, duration of the temperature measurement period, determined by the length of time taken for the outlet water temperature to be within 2 °F of the inlet

water temperature for 15 consecutive seconds (including the 15-second stabilization period)

$\tau_{stby,1}$—elapsed time between the start and end of the standby period as determined in section 5.4.2 of this appendix

$\tau_{stby,2}$—overall time of standby periods when no water is withdrawn during the 24-hour simulated-use test as determined in section 5.4.2 of this appendix

1.16. *Temperature Controller* means a device that is available to the user to adjust the temperature of the water inside a water heater that stores heated water or the outlet water temperature.

1.17. *Thermal break* means a thermally nonconductive material that can withstand a pressure of 150 psi (1.034 MPa) at a temperature greater than the maximum temperature the water heater is designed to produce and is utilized to insulate a bypass loop, if one is used in the test set-up, from the inlet piping.

1.18. *Uniform Energy Factor* means the measure of water heater overall efficiency.

1.19. *Water Heater Requiring a Storage Tank* means a water heater without a storage tank specified or supplied by the manufacturer that cannot meet the requirements of sections 2 and 5 of this appendix without the use of a storage water heater or unfired hot water storage tank.

2. Test Conditions.

2.1 *Installation Requirements.* Tests shall be performed with the water heater and instrumentation installed in accordance with section 4 of this appendix.

2.2 *Ambient Air Temperature and Relative Humidity.*

2.2.1 *Non-Heat Pump Water Heaters.* The ambient air temperature shall be maintained between 65.0 °F and 70.0 °F (18.3 °C and 21.1 °C) on a continuous basis.

2.2.2 *Heat Pump Water Heaters.* The dry-bulb temperature shall be maintained at an average of 67.5 °F ± 1 °F (19.7 °C ± 0.6 °C) after a cut-in and before the next cut-out, an average of 67.5 °F ± 2.5 °F (19.7 °C ± 1.4 °C) after a cut-out and before the next cut-in, and at 67.5 °F ± 5 °F (19.7 °C ± 2.8 °C) on a continuous basis throughout the test. The relative humidity shall be maintained within a range of 50% ± 5% throughout the test, and at an average of 50% ± 2% after a cut-in and before the next cut-out.

When testing a split-system heat pump water heater or heat pump water heater requiring a separate storage tank, the heat pump portion of the system shall be tested at the conditions within this section and the separate water heater or unfired hot water storage tank shall be tested at either the conditions within this section or the conditions specified in section 2.2.1 of this appendix.

2.3 *Supply Water Temperature.* The temperature of the water being supplied to the water heater shall be maintained at 58 °F ± 2 °F (14.4 °C ± 1.1 °C) throughout the test.

2.4 *Outlet Water Temperature.* The temperature controllers of a non-flow activated water heater shall be set so that water is delivered at a temperature of 125 °F ± 5 °F (51.7 °C ± 2.8 °C).

2.5 *Set Point Temperature.* The temperature controller of a flow-activated water heater shall be set to deliver water at a temperature of 125 °F ± 5 °F (51.7 °C ± 2.8 °C). If the flow-activated water heater is not capable of delivering water at a temperature of 125 °F ± 5 °F (51.7 °C ± 2.8 °C) when supplied with water at the supply water temperature specified in section 2.3 of this appendix, then the flow-activated water heater shall be set to deliver water at its maximum water temperature.

2.6 *Supply Water Pressure.* During the test when water is not being withdrawn, the supply pressure shall be maintained between 40 psig (275 kPa) and the maximum allowable pressure specified by the water heater manufacturer.

2.7 *Electrical and/or Fossil Fuel Supply.*

2.7.1 *Electrical.* Maintain the electrical supply voltage to within ±2% of the center of the voltage range specified on the nameplate of the water heater by the water heater and/or heat pump manufacturer, from 5 seconds after a cut-in to 5 seconds before next cut-out.

2.7.2 *Natural Gas.* Maintain the supply pressure in accordance with the supply pressure specified on the nameplate of the water heater by the manufacturer. If the supply pressure is not specified, maintain a supply pressure of 7–10 inches of water column (1.7–2.5 kPa). If the water heater is equipped with a gas appliance pressure regulator and the gas appliance pressure regulator can be adjusted, the regulator outlet pressure shall be within the greater of ±10% of the manufacturer's specified manifold pressure, found on the nameplate of the water heater, or ±0.2 inches water column (0.05 kPa). Maintain the gas supply pressure and manifold pressure only when operating at the design power rating. For all tests, use natural gas having a heating value of approximately 1,025 Btu per standard cubic foot (38,190 kJ per standard cubic meter).

2.7.3 *Propane Gas.* Maintain the supply pressure in accordance with the supply pressure specified on the nameplate of the water heater by the manufacturer. If the supply pressure is not specified, maintain a supply pressure of 11–13 inches of water column (2.7–3.2 kPa). If the water heater is equipped with a gas appliance pressure regulator and the gas appliance pressure regulator can be adjusted, the regulator outlet pressure shall be within the greater of ±10% of the manufacturer's specified manifold pressure, found on

the nameplate of the water heater, or ±0.2 inches water column (0.05 kPa). Maintain the gas supply pressure and manifold pressure only when operating at the design power rating. For all tests, use propane gas with a heating value of approximately 2,500 Btu per standard cubic foot (93,147 kJ per standard cubic meter).

2.7.4 *Fuel Oil Supply*. Maintain an uninterrupted supply of fuel oil. The fuel pump pressure shall be within ±10% of the pump pressure specified on the nameplate of the water heater or the installation and operations (I&O) manual by the manufacturer. Use fuel oil having a heating value of approximately 138,700 Btu per gallon (38,660 kJ per liter).

2.8 *Optional Test Conditions (Heat Pump-Type Water Heaters)*. The following test conditions may be used for optional representations of E_X for heat pump-type water heaters. When conducting a 24-hour simulated use test to determine E_X, the test conditions in section 2.1 and sections 2.4 through 2.7 apply. The ambient air temperature and humidity conditions in section 2.2 and the supply water temperature in section 2.3 are replaced with the air temperature, humidity, and supply water temperature conditions as shown in the following table. Testing may optionally be performed at any or all of the conditions in the table, and the sampling plan found at 10 CFR 429.17(a) may be applied for voluntary representations.

Heat pump type	Metric	Outdoor air conditions		Indoor air conditions		Supply water temperature (°F)
		Dry-bulb temperature (°F)	Relative humidity (%)	Dry-bulb temperature (°F)	Relative humidity (%)	
Split-System or Circulating ..	E_5	5.0	30	67.5	50	42.0
	E_{34}	34.0	72	.....	.....	47.0
	E_{95}	95.0	25	.....	.....	67.0
Integrated, Split-System, or Circulating.	E_{50}	N/A	N/A	50.0	58	50.0
	E_{95}	N/A	N/A	95.0	40	67.0

3. Instrumentation.

3.1 *Pressure Measurements*. Pressure-measuring instruments shall have an error no greater than the following values:

Item measured	Instrument accuracy	Instrument precision
Gas pressure	±0.1 inch of water column (±0.025 kPa)	±0.05 inch of water column (±0.012 kPa).
Atmospheric pressure	±0.1 inch of mercury column (±0.34 kPa)	±0.05 inch of mercury column (±0.17 kPa).
Water pressure	±1.0 pounds per square inch (±6.9 kPa)	±0.50 pounds per square inch (±3.45 kPa).

3.2 *Temperature Measurement*

3.2.1 *Measurement*. Temperature measurements shall be made in accordance with the Standard Method for Temperature Measurement, ASHRAE 41.1–2020, including the conditions as specified in ASHRAE 41.6–2014 as referenced in ASHRAE 41.1–2020, and excluding the steady-state temperature criteria in section 5.5 of ASHRAE 41.1–2020.

3.2.2 *Accuracy and Precision*. The accuracy and precision of the instruments, including their associated readout devices, shall be within the following limits:

Item measured	Instrument accuracy	Instrument precision
Air dry-bulb temperature	±0.2 °F (±0.1 °C)	±0.1 °F (±0.06 °C).
Air wet-bulb temperature	±0.2 °F (±0.1 °C)	±0.1 °F (±0.06 °C).
Inlet and outlet water temperatures	±0.2 °F (±0.1 °C)	±0.1 °F (±0.06 °C).
Storage tank temperatures	±0.5 °F (±0.3 °C)	±0.25 °F (±0.14 °C).

3.2.3 *Scale Division*. In no case shall the smallest scale division of the instrument or instrument system exceed 2 times the specified precision.

3.2.4 *Temperature Difference*. Temperature difference between the entering and leaving water may be measured with any of the following:

(a) A thermopile
(b) Calibrated resistance thermometers
(c) Precision thermometers
(d) Calibrated thermistors
(e) Calibrated thermocouples

(f) Quartz thermometers

3.2.5 *Thermopile Construction*. If a thermopile is used, it shall be made from calibrated thermocouple wire taken from a single spool. Extension wires to the recording device shall also be made from that same spool.

3.2.6 *Time Constant*. The time constant of the instruments used to measure the inlet and outlet water temperatures shall be no greater than 2 seconds.

3.3 *Liquid Flow Rate Measurement*. The accuracy of the liquid flow rate measurement, using the calibration if furnished, shall be equal to or less than ±1% of the measured value in mass units per unit time.

3.4 *Electrical Energy*. The electrical energy used shall be measured with an instrument and associated readout device that is accurate within ±0.5% of the reading.

3.5 *Fossil Fuels*. The quantity of fuel used by the water heater shall be measured with an instrument and associated readout device that is accurate within ±1% of the reading.

3.6 *Mass Measurements*. For mass measurements greater than or equal to 10 pounds (4.5 kg), a scale that is accurate within ±0.5% of the reading shall be used to make the measurement. For mass measurements less than 10 pounds (4.5 kg), the scale shall provide a measurement that is accurate within ±0.1 pound (0.045 kg).

3.7 *Heating Value*. The higher heating value of the natural gas, propane, or fuel oil shall be measured with an instrument and associated readout device that is accurate within ±1% of the reading. The heating values of natural gas and propane must be corrected from those measured to the standard temperature of 60.0 °F (15.6 °C) and standard pressure of 30 inches of mercury column (101.6 kPa) using the method described in Annex B of ASHRAE 118.2–2022.

3.8 *Time*. The elapsed time measurements shall be measured with an instrument that is accurate within ±0.5 seconds per hour.

3.9 *Volume*. Volume measurements shall be measured with an accuracy of ±2% of the total volume.

3.10 *Relative Humidity*. If a relative humidity (RH) transducer is used to measure the relative humidity of the surrounding air while testing heat pump water heaters, the relative humidity shall be measured with an accuracy of ±1.5% RH.

4. Installation.

4.1 *Water Heater Mounting*. A water heater designed to be freestanding shall be placed on a ¾ inch (2 cm) thick plywood platform supported by three 2x4 inch (5 cm x 10 cm) runners. If the water heater is not approved for installation on combustible flooring, suitable non-combustible material shall be placed between the water heater and the platform. Water heaters designed to be installed into a kitchen countertop space shall be placed against a simulated wall section. Wall-mounted water heaters shall be supported on a simulated wall in accordance with the manufacturer-published installation instructions. When a simulated wall is used, the construction shall be 2x4 inch (5 cm x 10 cm) studs, faced with ¾ inch (2 cm) plywood. For heat pump water heaters not delivered as a single package, the units shall be connected in accordance with the manufacturer-published installation instructions, and the overall system shall be placed on the above-described plywood platform. If installation instructions are not provided by the heat pump manufacturer, uninsulated 8 foot (2.4 m) long connecting hoses having an inside diameter of ⅝ inch (1.6 cm) shall be used to connect the storage tank and the heat pump water heater. With the exception of using the storage tank described in section 4.10 of this appendix, the same requirements shall apply for water heaters requiring a storage tank. The testing of the water heater shall occur in an area that is protected from drafts of more than 50 ft/min (0.25 m/s) from room ventilation registers, windows, or other external sources of air movement.

4.2 *Water Supply*. Connect the water heater to a water supply capable of delivering water at conditions as specified in sections 2.3 and 2.6 of this appendix.

4.3 *Water Inlet and Outlet Configuration*. For freestanding water heaters that are taller than 36 inches (91.4 cm), inlet and outlet piping connections shall be configured in a manner consistent with Figures 1 and 2 of section 7 of this appendix. Inlet and outlet piping connections for wall-mounted water heaters shall be consistent with Figure 3 of section 7 of this appendix. For freestanding water heaters that are 36 inches or less in height and not supplied as part of a counter-top enclosure (commonly referred to as an under-the-counter model), inlet and outlet piping shall be installed in a manner consistent with Figures 4, 5, or 6 of section 7 of this appendix. For water heaters that are supplied with a counter-top enclosure, inlet and outlet piping shall be made in a manner consistent with Figures 7a and 7b of section 7 of this appendix, respectively. The vertical piping noted in Figures 7a and 7b shall be located (whether inside the enclosure or along the outside in a recessed channel) in accordance with the manufacturer-published installation instructions.

All dimensions noted in Figures 1 through 7 of section 7 of this appendix must be achieved. All piping between the water heater and inlet and outlet temperature sensors, noted as T_{IN} and T_{OUT} in the figures, shall be Type ''L'' hard copper having the same diameter as the connections on the water heater. Unions may be used to facilitate installation and removal of the piping arrangements. Install a pressure gauge and diaphragm expansion tank in the supply water

piping at a location upstream of the inlet temperature sensor. Install an appropriately rated pressure and temperature relief valve on all water heaters at the port specified by the manufacturer. Discharge piping for the relief valve must be non-metallic. If heat traps, piping insulation, or pressure relief valve insulation are supplied with the water heater, they must be installed for testing. Except when using a simulated wall, provide sufficient clearance such that none of the piping contacts other surfaces in the test room.

At the discretion of the test laboratory, the mass or water delivered may be measured on either the inlet or outlet of the water heater.

For water heaters designed to be used with a mixing valve and that do not have a self-contained mixing valve, a mixing valve shall be installed according to the water heater and/or mixing valve manufacturer's installation instructions. If permitted by the water heater and mixing valve manufacturer's instructions, the mixing valve and cold water junction may be installed where the elbows are located in the outlet and inlet line, respectively. If there are no installation instructions for the mixing valve in the water heater or mixing valve manufacturer's instructions, then the mixing valve shall be installed on the outlet line and the cold water shall be supplied from the inlet line from a junction installed downstream from the location where the inlet water temperature is measured. The outlet water temperature, water flow rate, and/or mass measuring instrumentation, if installed on the outlet side of the water heater, shall be installed downstream from the mixing valve.

4.4 *Fuel and/or Electrical Power and Energy Consumption.* Install one or more instruments that measure, as appropriate, the quantity and rate of electrical energy and/or fossil fuel consumption in accordance with section 3 of this appendix.

4.5 *Internal Storage Tank Temperature Measurements.* For water heaters with rated storage volumes greater than or equal to 20 gallons, install six temperature measurement sensors inside the water heater tank with a vertical distance of at least 4 inches (100 mm) between successive sensors. For water heaters with rated storage volumes between 2 and 20 gallons, install three temperature measurement sensors inside the water heater tank. Position a temperature sensor at the vertical midpoint of each of the six equal volume nodes within a tank larger than 20 gallons or the three equal volume nodes within a tank between 2 and 20 gallons. Nodes designate the equal volumes used to evenly partition the total volume of the tank. As much as is possible, the temperature sensor should be positioned away from any heating elements, anodic protective devices, tank walls, and flue pipe walls. If the tank cannot accommodate six temperature sensors and meet the installation requirements specified in this section, install the maximum number of sensors that comply with the installation requirements. Install the temperature sensors through:

(a) The anodic device opening;

(b) The relief valve opening; or

(c) The hot water outlet.

If installed through the relief valve opening or the hot water outlet, a tee fitting or outlet piping, as applicable, must be installed as close as possible to its original location. If the relief valve temperature sensor is relocated, and it no longer extends into the top of the tank, install a substitute relief valve that has a sensing element that can reach into the tank. If the hot water outlet includes a heat trap, install the heat trap on top of the tee fitting. Cover any added fittings with thermal insulation having an R value between 4 and 8 $h \cdot ft^{2} \cdot {}^{\circ}F/Btu$ (0.7 and 1.4 $m^{2} \cdot {}^{\circ}C/W$). If temperature measurement sensors cannot be installed within the water heater, follow the alternate procedures in section 5.4.2.2 of this appendix.

4.6 *Ambient Air Temperature Measurement.* Install an ambient air temperature sensor at the vertical midpoint of the water heater and approximately 2 feet (610 mm) from the surface of the water heater. Shield the sensor against radiation.

4.7 *Inlet and Outlet Water Temperature Measurements.* Install temperature sensors in the cold-water inlet pipe and hot-water outlet pipe as shown in Figures 1, 2, 3, 4, 5, 6, 7a, and 7b of section 7 of this appendix, as applicable.

4.8 *Flow Control.* Install a valve or valves to provide flow as specified in sections 5.3 and 5.4 of this appendix.

4.9 *Flue Requirements.*

4.9.1 *Gas-Fired Water Heaters.* Establish a natural draft in the following manner. For gas-fired water heaters with a vertically discharging draft hood outlet, connect to the draft hood outlet a 5-foot (1.5-meter) vertical vent pipe extension with a diameter equal to the largest flue collar size of the draft hood. For gas-fired water heaters with a horizontally discharging draft hood outlet, connect to the draft hood outlet a 90-degree elbow with a diameter equal to the largest flue collar size of the draft hood, connect a 5-foot (1.5-meter) length of vent pipe to that elbow, and orient the vent pipe to discharge vertically upward. Install direct-vent gas-fired water heaters with venting equipment specified by the manufacturer in the I&O manual using the minimum vertical and horizontal lengths of vent pipe recommended by the manufacturer.

4.9.2 *Oil-Fired Water Heaters.* Establish a draft at the flue collar at the value specified by the manufacturer in the I&O manual. Establish the draft by using a sufficient length of vent pipe connected to the water heater

flue outlet, and directed vertically upward. For an oil-fired water heater with a horizontally discharging draft hood outlet, connect to the draft hood outlet a 90-degree elbow with a diameter equal to the largest flue collar size of the draft hood, connect to the elbow fitting a length of vent pipe sufficient to establish the draft, and orient the vent pipe to discharge vertically upward. Direct-vent oil-fired water heaters should be installed with venting equipment as specified by the manufacturer in the I&O manual, using the minimum vertical and horizontal lengths of vent pipe recommended by the manufacturer.

4.10 *Storage Tank Requirement for Water Heaters Requiring a Storage Tank (i.e., Circulating Water Heaters).* On or after May 6, 2029, when testing a gas-fired, oil-fired, or electric resistance circulating water heater (*i.e.*, any circulating water heater that does not use a heat pump), the tank to be used for testing shall be an unfired hot water storage tank having volume between 80 and 120 gallons (364–546 liters) determined using the method specified in section 5.2.1 of this appendix that meets but does not exceed the minimum energy conservation standards required according to §431.110 of this chapter. When testing a heat pump circulating water heater, the tank to be used for testing shall be an electric storage water heater that has a measured volume of 30 gallons (±5 gallons), has a First-Hour Rating less than 51 gallons resulting in classification under the low draw pattern, and has a rated UEF equal to the minimum UEF standard specified at §430.32(d), rounded to the nearest 0.01. The operational mode of the heat pump circulating water heater and storage water heater paired system shall be set in accordance with section 5.1.1 of this appendix. If the circulating water heater is supplied with a separate non-integrated circulating pump, install this pump as per the manufacturer's installation instructions and include its power consumption in energy use measurements.

4.11 *External Communication.* If the water heater can connect to an external network or controller, any external communication or connection shall be disabled for the duration of testing; however, the communication module shall remain in an ''on'' state.

5. Test Procedures.

5.1 *Operational Mode Selection.* For water heaters that allow for multiple user-selected operational modes, all procedures specified in this appendix shall be carried out with the water heater in the same operational mode (*i.e.*, only one mode).

5.1.1 *Testing at Normal Setpoint.* The operational mode shall be the default mode (or similarly named, suggested mode for normal operation) as defined by the manufacturer in the I&O manual for giving selection guidance to the consumer. For heat pump water heaters, if a default mode is not defined in the product literature, each test shall be conducted under an operational mode in which both the heat pump and any electric resistance back-up heating element(s) are activated by the unit's control scheme, and which can achieve the internal storage tank temperature specified in this test procedure; if multiple operational modes meet these criteria, the water heater shall be tested under the most energy-intensive mode. If no default mode is specified and the unit does not offer an operational mode that utilizes both the heat pump and the electric resistance back-up heating element(s), the first-hour rating test and the 24-hour simulated-use test shall be tested in heat-pump-only mode. For other types of water heaters where a default mode is not specified, test the unit in all modes and rate the unit using the results of the most energy-intensive mode.

5.1.2 *High Temperature Testing.* This paragraph applies to electric storage water heaters capable of achieving a $T_{max,1}$ above 135 °F. The following exceptions apply:

(1) Electric storage water heaters that do not have a permanent mode or setting in which the water heater is capable of heating and storing water above 135 °F (as measured by $T_{max,1}$), where permanent mode or setting means a mode of operation that is continuous and does not require any external consumer intervention to maintain for longer than 120 hours;

(2) Electric storage water heaters that meet the definition of ''heat pump-type'' water heater at §430.2;

(3) Electric storage water heaters that are only capable of heating the stored water above 135 °F in response to instructions received from a utility or third-party demand-response program.

(4) Electric storage water heaters with measured storage volumes (V_{st}) less than 20 gallons or greater than 55 gallons.

This paragraph may optionally apply to electric heat pump water heaters for voluntary representations of high-temperature operation only.

For those equipped with factory-installed or built-in mixing valves, set the unit to maintain the highest mean tank temperature possible while delivering water at 125 °F ±5 °F. For those not so equipped, install an ASSE 1017-certified mixing valve in accordance with the provisions in section 4.3 of this appendix and adjust the valve to deliver water at 125 °F ±5 °F when the water heater is operating at its highest storage tank temperature setpoint. Maintain this setting throughout the entirety of the test.

5.2 *Water Heater Preparation.*

5.2 1 *Determination of Storage Tank Volume.* For water heaters and separate storage tanks used for testing circulating water heaters, determine the storage capacity, V_{st}, of the water heater or separate storage tank

under test, in gallons (liters), by subtracting the tare weight, W_t, (measured while the tank is empty) from the gross weight of the storage tank when completely filled with water at the supply water temperature specified in section 2.3 of this appendix, W_f, (with all air eliminated and line pressure applied as described in section 2.6 of this appendix) and dividing the resulting net weight by the density of water at the measured temperature.

5.2.2 *Setting the Outlet Discharge Temperature.*

5.2.2.1 *Flow-Activated Water Heaters, including certain instantaneous water heaters and certain storage-type water heaters.* Initiate normal operation of the water heater at the design power rating. Monitor the discharge water temperature and set to the value specified in section 2.5 of this appendix in accordance with the manufacturer's I&O manual. If the water heater is not capable of providing this discharge temperature when the flow rate is 1.7 gallons ± 0.25 gallons per minute (6.4 liters ± 0.95 liters per minute), then adjust the flow rate as necessary to achieve the specified discharge water temperature. Once the proper temperature control setting is achieved, the setting must remain fixed for the duration of the maximum GPM test and the 24-hour simulated-use test.

5.2.2.2 *All Other Water Heaters.*

5.2.2.2.1 *Water Heaters with a Single Temperature Controller.*

5.2.2.2.1.1 *Water Heaters with Rated Volumes Less than 20 Gallons.* Starting with a tank at the supply water temperature as specified in section 2.3 of this appendix, initiate normal operation of the water heater. After cut-out, initiate a draw from the water heater at a flow rate of 1.0 gallon ± 0.25 gallons per minute (3.8 liters ± 0.95 liters per minute) for 2 minutes. Starting 15 seconds after commencement of the draw, record the outlet temperature at 15-second intervals until the end of the 2-minute period. Determine whether the maximum outlet temperature is within the range specified in section 2.4 of this appendix. If not, turn off the water heater, adjust the temperature controller, and then drain and refill the tank with supply water at the temperature specified in section 2.3 of this appendix. Then, once again, initiate normal operation of the water heater, and repeat the 2-minute outlet temperature test following cut-out. Repeat this sequence until the maximum outlet temperature during the 2-minute test is within the range specified in section 2.4 of this appendix. Once the proper temperature control setting is achieved, the setting must remain fixed for the duration of the first-hour rating test and the 24-hour simulated-use test.

5.2.2.2.1.2 *Water Heaters with Rated Volumes Greater than or Equal to 20 Gallons.* Starting with a tank at the supply water temperature specified in section 2.3 of this appendix, initiate normal operation of the water heater. After cut-out, initiate a draw from the water heater at a flow rate of 1.7 gallons ± 0.25 gallons per minute (6.4 liters ± 0.95 liters per minute) for 5 minutes. Starting 15 seconds after commencement of the draw, record the outlet temperature at 15-second intervals until the end of the 5-minute period. Determine whether the maximum outlet temperature is within the range specified in section 2.4 of this appendix. If not, turn off the water heater, adjust the temperature controller, and then drain and refill the tank with supply water at the temperature specified in section 2.3 of this appendix. Then, once again, initiate normal operation of the water heater, and repeat the 5-minute outlet temperature test following cut-out. Repeat this sequence until the maximum outlet temperature during the 5-minute test is within the range specified in section 2.4 of this appendix. Once the proper temperature control setting is achieved, the setting must remain fixed for the duration of the first-hour rating test and the 24-hour simulated-use test.

5.2.2.2.2 *Water Heaters with Two or More Temperature Controllers.* Verify the temperature controller set-point while removing water in accordance with the procedure set forth for the first-hour rating test in section 5.3.3 of this appendix. The following criteria must be met to ensure that all temperature controllers are set to deliver water in the range specified in section 2.4 of this appendix:

(a) At least 50 percent of the water drawn during the first draw of the first-hour rating test procedure shall be delivered at a temperature within the range specified in section 2.4 of this appendix.

(b) No water is delivered above the range specified in section 2.4 of this appendix during first-hour rating test.

(c) The delivery temperature measured 15 seconds after commencement of each draw begun prior to an elapsed time of 60 minutes from the start of the test shall be within the range specified in section 2.4 of this appendix.

If these conditions are not met, turn off the water heater, adjust the temperature controllers, and then drain and refill the tank with supply water at the temperature specified in section 2.3 of this appendix. Repeat the procedure described at the start of section 5.2.2.2.2 of this appendix until the criteria for setting the temperature controllers is met.

If the conditions stated above are met, the data obtained during the process of verifying the temperature control set-points may be used in determining the first-hour rating provided that all other conditions and methods required in sections 2 and 5.2.4 of this appendix in preparing the water heater were followed.

5.2.3 *Power Input Determination.* For all water heaters except electric types, initiate normal operation (as described in section 5.1 of this appendix) and determine the power input, P, to the main burners (including pilot light power, if any) after 15 minutes of operation. Adjust all burners to achieve an hourly Btu (kJ) rating that is within ±2% of the maximum input rate value specified by the manufacturer. For an oil-fired water heater, adjust the burner to give a CO_2 reading recommended by the manufacturer and an hourly Btu (kJ) rating that is within ±2% of the maximum input rate specified by the manufacturer. Smoke in the flue may not exceed No. 1 smoke as measured by the procedure in ASTM D2156 (R2018), including the conditions as specified in ASTM E97–1987 as referenced in ASTM D2156 (R2018). If the input rating is not within ±2%, first increase or decrease the fuel pressure within the tolerances specified in section 2.7.2, 2.7.3 or 2.7.4 (as applicable) of this appendix until it is ±2% of the maximum input rate value specified by the manufacturer. If, after adjusting the fuel pressure, the fuel input rate cannot be achieved within ±2 percent of the maximum input rate value specified by the manufacturer, for gas-fired models increase or decrease the gas supply pressure within the range specified by the manufacturer. Finally, if the measured fuel input rate is still not within ±2 percent of the maximum input rate value specified by the manufacturer, modify the gas inlet orifice, if so equipped, as necessary to achieve a fuel input rate that is within ±2 percent of the maximum input rate value specified by the manufacturer.

5.2.4 *Soak-In Period for Water Heaters with Rated Storage Volumes Greater than or Equal to 2 Gallons.* For water heaters with a rated storage volume greater than or equal to 2 gallons (7.6 liters), the water heater must sit filled with water, connected to a power source, and without any draws taking place for at least 12 hours after initially being energized so as to achieve the nominal temperature set-point within the tank and with the unit connected to a power source.

5.3 *Delivery Capacity Tests.*

5.3.1 *General.* For flow-activated water heaters, conduct the maximum GPM test, as described in section 5.3.2, Maximum GPM Rating Test for Flow-Activated Water Heaters, of this appendix. For all other water heaters, conduct the first-hour rating test as described in section 5.3.3 of this appendix.

5.3.2 *Maximum GPM Rating Test for Flow-Activated Water Heaters.* Establish normal water heater operation at the design power rating with the discharge water temperature set in accordance with section 5.2.2.1 of this appendix.

For this 10-minute test, either collect the withdrawn water for later measurement of the total mass removed or use a water meter to directly measure the water mass of volume removed. Initiate water flow through the water heater and record the inlet and outlet water temperatures beginning 15 seconds after the start of the test and at subsequent 5-second intervals throughout the duration of the test. At the end of 10 minutes, turn off the water. Determine and record the mass of water collected, M_{10m}, in pounds (kilograms), or the volume of water, V_{10m}, in gallons (liters).

5.3.3 *First-Hour Rating Test.*

5.3.3.1 *General.* During hot water draws for water heaters with rated storage volumes greater than or equal to 20 gallons, remove water at a rate of 3.0 ± 0.25 gallons per minute (11.4 ± 0.95 liters per minute). During hot water draws for water heaters with rated storage volumes below 20 gallons, remove water at a rate of 1.5 ± 0.25 gallon per minute (5.7 ± 0.95 liters per minute). Collect the water in a container that is large enough to hold the volume removed during an individual draw and is suitable for weighing at the termination of each draw to determine the total volume of water withdrawn. As an alternative to collecting the water, a water meter may be used to directly measure the water mass or volume withdrawn during each draw.

5.3.3.2 *Draw Initiation Criteria.* Begin the first-hour rating test by starting a draw on the water heater. After completion of this first draw, initiate successive draws based on the following criteria. For gas-fired and oil-fired water heaters, initiate successive draws when the temperature controller acts to reduce the supply of fuel to the main burner. For electric water heaters having a single element or multiple elements that all operate simultaneously, initiate successive draws when the temperature controller acts to reduce the electrical input supplied to the element(s). For electric water heaters having two or more elements that do not operate simultaneously, initiate successive draws when the applicable temperature controller acts to reduce the electrical input to the energized element located vertically highest in the storage tank. For heat pump water heaters that do not use supplemental, resistive heating, initiate successive draws immediately after the electrical input to the compressor is reduced by the action of the water heater's temperature controller. For heat pump water heaters that use supplemental resistive heating, initiate successive draws immediately after the electrical input to the first of either the compressor or the vertically highest resistive element is reduced by the action of the applicable water heater temperature controller. This draw initiation criterion for heat pump water heaters that use supplemental resistive heating, however, shall only apply when the water located above the thermostat at cut-out is heated to within the range specified in section 2.4 of this appendix. If this criterion

is not met, then the next draw should be initiated once the heat pump compressor cuts out.

5.3.3.3 *Test Sequence.* Establish normal water heater operation. If the water heater is not presently operating, initiate a draw. The draw may be terminated any time after cut-in occurs. After cut-out occurs (*i.e.*, all temperature controllers are satisfied), if the water heater can have its internal tank temperatures measured, record the internal storage tank temperature at each sensor described in section 4.5 of this appendix every one minute, and determine the mean tank temperature by averaging the values from these sensors.

Initiate a draw after a maximum mean tank temperature (the maximum of the mean temperatures of the individual sensors) has been observed following a cut-out. If the water heater cannot have its internal tank temperatures measured, wait 5 minutes after cut-out. Record the time when the draw is initiated and designate it as an elapsed time of zero ($\tau^* = 0$). (The superscript * is used to denote variables pertaining to the first-hour rating test). Record the outlet water temperature beginning 15 seconds after the draw is initiated and at 5-second intervals thereafter until the draw is terminated. Determine the maximum outlet temperature that occurs during this first draw and record it as $T^*_{max,1}$. For the duration of this first draw and all successive draws, in addition, monitor the inlet temperature to the water heater to ensure that the required supply water temperature test condition specified in section 2.3 of this appendix is met. Terminate the hot water draw when the outlet temperature decreases to $T^*_{max,1} - 15$ °F ($T^*_{max,1} - 8.3$ °C). (Note, if the outlet temperature does not decrease to $T^*_{max,1} - 15$ °F ($T^*_{max,1} - 8.3$ °C) during the draw, then hot water would be drawn continuously for the duration of the test. In this instance, the test would end when the temperature decreases to $T^*_{max,1} - 15$ °F ($T^*_{max,1} - 8.3$ °C) after the electrical power and/or fuel supplied to the water heater is shut off, as described in the following paragraphs.) Record this temperature as $T^*_{min,1}$. Following draw termination, determine the average outlet water temperature and the mass or volume removed during this first draw and record them as $\overline{T}^*_{del,i}$ and M^*_1 or V^*_1, respectively.

Initiate a second and, if applicable, successive draw(s) each time the applicable draw initiation criteria described in section 5.3.3.2 of this appendix are satisfied. As required for the first draw, record the outlet water temperature 15 seconds after initiating each draw and at 5-second intervals thereafter until the draw is terminated. Determine the maximum outlet temperature that occurs during each draw and record it as $T^*_{max,i}$, where the subscript i refers to the draw number. Terminate each hot water draw when the outlet temperature decreases to $T^*_{max,i} - 15$ °F ($T^*_{max,i} - 8.3$ °C). Record this temperature as $T^*_{min,i}$. Calculate and record the average outlet temperature and the mass or volume removed during each draw ($\overline{T}^*_{del,i}$ and M^*_i or V^*_i, respectively). Continue this sequence of draw and recovery until one hour after the start of the test, then shut off the electrical power and/or fuel supplied to the water heater.

If a draw is occurring at one hour from the start of the test, continue this draw until the outlet temperature decreases to $T^*_{max,n} - 15$ °F ($T^*_{max,n} - 8.3$ °C), at which time the draw shall be immediately terminated. (The subscript n shall be used to denote measurements associated with the final draw.) If a draw is not occurring one hour after the start of the test, initiate a final draw at one hour, regardless of whether the criteria described in section 5.3.3.2 of this appendix are satisfied. This draw shall proceed for a minimum of 30 seconds and shall terminate when the outlet temperature first indicates a value less than or equal to the cut-off temperature used for the previous draw ($T^*_{min,n-1}$). If an outlet temperature greater than $T^*_{min,n-1}$ is not measured within 30 seconds of initiation of the draw, zero additional credit shall be given towards first-hour rating (*i.e.*, $M^*_n = 0$ or $V^*_n = 0$) based on the final draw. After the final draw is terminated, calculate and record the average outlet temperature and the mass or volume removed during the final draw ($\overline{T}^*_{del,n}$ and M^*_n or V^*_n, respectively).

5.4 *24-Hour Simulated-Use Test.*

5.4.1 *Selection of Draw Pattern.* The water heater will be tested under a draw profile that depends upon the first-hour rating obtained following the test prescribed in section 5.3.3 of this appendix, or the maximum GPM rating obtained following the test prescribed in section 5.3.2 of this appendix, whichever is applicable. For water heaters that have been tested according to the first-hour rating procedure, one of four different patterns shall be applied based on the measured first-hour rating, as shown in Table I of this section. For water heater that have been tested according to the maximum GPM rating procedure, one of four different patterns shall be applied based on the maximum GPM, as shown in Table II of this section.

TABLE I—DRAW PATTERN TO BE USED BASED ON FIRST-HOUR RATING

First-hour rating greater than or equal to:	. . . and first-hour rating less than:	Draw pattern to be used in the 24-hour simulated-use test
0 gallons	18 gallons	Very-Small-Usage (Table III.1).

TABLE I—DRAW PATTERN TO BE USED BASED ON FIRST-HOUR RATING—Continued

First-hour rating greater than or equal to:	. . . and first-hour rating less than:	Draw pattern to be used in the 24-hour simulated-use test
18 gallons	51 gallons	Low-Usage (Table III.2).
51 gallons	75 gallons	Medium-Usage (Table III.3).
75 gallons	No upper limit	High-Usage (Table III.4).

TABLE II—DRAW PATTERN TO BE USED BASED ON MAXIMUM GPM RATING

Maximum GPM rating greater than or equal to:	and maximum GPM rating less than:	Draw pattern to be used in the 24-hour simulated-use test
0 gallons/minute	1.7 gallons/minute	Very-Small-Usage (Table III.1).
1.7 gallons/minute	2.8 gallons/minute	Low-Usage (Table III.2).
2.8 gallons/minute	4 gallons/minute	Medium-Usage (Table III.3).
4 gallons/minute	No upper limit	High-Usage (Table III.4).

The draw patterns are provided in Tables III.1 through III.4 in section 5.5 of this appendix. Use the appropriate draw pattern when conducting the test sequence provided in section 5.4.2 of this appendix for water heaters with rated storage volumes greater than or equal to 2 gallons or section 5.4.3 of this appendix for water heaters with rated storage volumes less than 2 gallons.

5.4.2 *Test Sequence for Water Heater With Rated Storage Volume Greater Than or Equal to 2 Gallons.*

If the water heater is turned off, fill the water heater with supply water at the temperature specified in section 2.3 of this appendix and maintain supply water pressure as described in section 2.6 of this appendix. Turn on the water heater and associated heat pump unit, if present. If turned on in this fashion, the soak-in period described in section 5.2.4 of this appendix shall be implemented. If the water heater has undergone a first-hour rating test prior to conduct of the 24-hour simulated-use test, allow the water heater to fully recover after completion of that test such that the main burner, heating elements, or heat pump compressor of the water heater are no longer raising the temperature of the stored water. In all cases, the water heater shall sit idle for 1 hour prior to the start of the 24-hour test; during which time no water is drawn from the unit, and there is no energy input to the main heating elements, heat pump compressor, and/or burners.

For water heaters that can have their internal storage tank temperature measured directly, perform testing in accordance with the instructions in section 5.4.2.1 of this appendix. For water heaters that cannot have their internal tank temperatures measured, perform testing in accordance with the instructions in section 5.4.2.2. of this appendix.

5.4.2.1 *Water Heaters Which Can Have Internal Storage Tank Temperature Measured Directly.*

After the 1-hour period specified in section 5.4.2 of this appendix, the 24-hour simulated-use test will begin. One minute prior to the start of the 24-hour simulated-use test, record the mean tank temperature (T_0).

At the start of the 24-hour simulated-use test, record the electrical and/or fuel measurement readings, as appropriate. Begin the 24-hour simulated-use test by withdrawing the volume specified in the appropriate table in section 5.5 of this appendix (*i.e.*, Table III.1, Table III.2, Table III.3, or Table III.4, depending on the first-hour rating or maximum GPM rating) for the first draw at the flow rate specified in the applicable table. Record the time when this first draw is initiated and assign it as the test elapsed time (τ) of zero (0). Record the average storage tank and ambient temperature every minute throughout the 24-hour simulated-use test. At the elapsed times specified in the applicable draw pattern table in section 5.5 of this appendix for a particular draw pattern, initiate additional draws pursuant to the draw pattern, removing the volume of hot water at the prescribed flow rate specified by the table. The maximum allowable deviation from the specified volume of water removed for any single draw taken at a nominal flow rate of 1.0 GPM or 1.7 GPM is ±0.1 gallons (±0.4 liters). The maximum allowable deviation from the specified volume of water removed for any single draw taken at a nominal flow rate of 3.0 GPM is ±0.25 gallons (0.9 liters). The quantity of water withdrawn during the last draw shall be increased or decreased as necessary such that the total volume of water withdrawn equals the prescribed daily amount for that draw pattern ±1.0 gallon (±3.8 liters). If this adjustment to the volume drawn during the last draw results in no draw taking place, the test is considered invalid.

All draws during the 24-hour simulated-use test shall be made at the flow rates specified in the applicable draw pattern table in section 5.5 of this appendix, within a tolerance

of ±0.25 gallons per minute (±0.9 liters per minute). Measurements of the inlet and outlet temperatures shall be made 15 seconds after the draw is initiated and at every subsequent 3-second interval throughout the duration of each draw. Calculate and record the mean of the hot water discharge temperature and the cold water inlet temperature for each draw $T_{del,i}$ and $T_{in,i}$). Determine and record the net mass or volume removed (M_i or V_i), as appropriate, after each draw.

The first recovery period is the time from the start of the 24-hour simulated-use test and continues during the temperature rise of the stored water until the first cut-out; if the cut-out occurs during a subsequent draw, the first recovery period includes the time until the draw of water from the tank stops. If, after the first cut-out occurs but during a subsequent draw, a subsequent cut-in occurs prior to the draw completion, the first recovery period includes the time until the subsequent cut-out occurs, prior to another draw. The first recovery period may continue until a cut-out occurs when water is not being removed from the water heater or a cut-out occurs during a draw and the water heater does not cut-in prior to the end of the draw.

At the end of the first recovery period, record the maximum mean tank temperature observed after cut-out ($T_{max,1}$). At the end of the first recovery period, record the total energy consumed by the water heater from the beginning of the test (Q_r), including all fossil fuel and/or electrical energy use, from the main heat source and auxiliary equipment including, but not limited to, burner(s), resistive elements(s), compressor, fan, controls, pump, *etc.*, as applicable.

The start of the portion of the test during which the standby loss coefficient is determined depends upon whether the unit has fully recovered from the first draw cluster. If a recovery is occurring at or within five minutes after the end of the final draw in the first draw cluster, as identified in the applicable draw pattern table in section 5.5 of this appendix, then the standby period starts when a maximum mean tank temperature is observed starting five minutes after the end of the recovery period that follows that draw. If a recovery does not occur at or within five minutes after the end of the final draw in the first draw cluster, as identified in the applicable draw pattern table in section 5.5 of this appendix, then the standby period starts five minutes after the end of that draw. Determine and record the total electrical energy and/or fossil fuel consumed from the beginning of the test to the start of the standby period ($Q_{su,0}$).

In preparation for determining the energy consumed during standby, record the reading given on the electrical energy (watt-hour) meter, the gas meter, and/or the scale used to determine oil consumption, as appropriate. Record the mean tank temperature at the start of the standby period ($T_{su,0}$). At 1-minute intervals, record ambient temperature, the electric and/or fuel instrument readings, and the mean tank temperature until the next draw is initiated. The end of the standby period is when the final mean tank temperature is recorded, as described. Just prior to initiation of the next draw, record the mean tank temperature ($T_{su,f}$). If the water heater is undergoing recovery when the next draw is initiated, record the mean tank temperature ($T_{su,f}$) at the minute prior to the start of the recovery. Determine the total electrical energy and/or fossil fuel energy consumption from the beginning of the test to the end of the standby period ($Q_{su,f}$). Record the time interval between the start of the standby period and the end of the standby period ($\tau_{stby,1}$).

Following the final draw of the prescribed draw pattern and subsequent recovery, allow the water heater to remain in the standby mode until exactly 24 hours have elapsed since the start of the 24-hour simulated-use test (*i.e.*, since $\tau = 0$). During the last hour of the 24-hour simulated-use test (*i.e.*, hour 23 of the 24-hour simulated-use test), power to the main burner, heating element, or compressor shall be disabled. At 24 hours, record the reading given by the gas meter, oil meter, and/or the electrical energy meter as appropriate. Determine the fossil fuel and/or electrical energy consumed during the entire 24-hour simulated-use test and designate the quantity as Q.

In the event that the recovery period continues from the end of the last draw of the first draw cluster until the subsequent draw, the standby period will start after the end of the first recovery period after the last draw of the 24-hour simulated-use test, when the temperature reaches the maximum mean tank temperature, though no sooner than five minutes after the end of this recovery period. The standby period shall last eight hours, so testing may extend beyond the 24-hour duration of the 24-hour simulated-use test. Determine and record the total electrical energy and/or fossil fuel consumed from the beginning of the 24-hour simulated-use test to the start of the 8-hour standby period ($Q_{su,0}$). In preparation for determining the energy consumed during standby, record the reading(s) given on the electrical energy (watt-hour) meter, the gas meter, and/or the scale used to determine oil consumption, as appropriate. Record the mean tank temperature at the start of the standby period ($T_{su,0}$). Record the mean tank temperature, the ambient temperature, and the electric and/or fuel instrument readings at 1-minute intervals until the end of the 8-hour period. Record the mean tank temperature at the end of the 8-hour standby period ($T_{su,f}$). If the water heater is undergoing recovery at the end of the standby period, record the mean tank temperature ($T_{su,f}$) at the minute prior

to the start of the recovery, which will mark the end of the standby period. Determine the total electrical energy and/or fossil fuel energy consumption from the beginning of the test to the end of the standby period ($Q_{su,f}$). Record the time interval between the start of the standby period and the end of the standby period as $\tau_{stby,1}$. Record the average ambient temperature from the start of the standby period to the end of the standby period ($T_{a,stby,1}$). Record the average mean tank temperature from the start of the standby period to the end of the standby period ($T_{t,stby,1}$).

If the standby period occurred at the end of the first recovery period after the last draw of the 24-hour simulated-use test, allow the water heater to remain in the standby mode until exactly 24 hours have elapsed since the start of the 24-hour simulated-use test (*i.e.*, since $\tau = 0$) or the end of the standby period, whichever is longer. At 24 hours, record the mean tank temperature (T_{24}) and the reading given by the gas meter, oil meter, and/or the electrical energy meter as appropriate. If the water heater is undergoing a recovery at 24 hours, record the reading given by the gas meter, oil meter, and/or electrical energy meter, as appropriate, and the mean tank temperature (T_{24}) at the minute prior to the start of the recovery. Determine the fossil fuel and/or electrical energy consumed during the 24 hours and designate the quantity as Q.

Record the time during which water is not being withdrawn from the water heater during the entire 24-hour period ($\tau_{stby,2}$). When the standby period occurs after the last draw of the 24-hour simulated-use test, the test may extend past hour 24. When this occurs, the measurements taken after hour 24 apply only to the calculations of the standby loss coefficient. All other measurements during the time between hour 23 and hour 24 remain the same.

5.4.2.2 *Water Heaters Which Cannot Have Internal Storage Tank Temperature Measured Directly*.

After the water heater has undergone a 1-hour idle period (as described in section 5.4.2 of this appendix), deactivate the burner, compressor, or heating element(s).

Remove water from the storage tank by performing a continuous draw at the flow rate specified for the first draw of applicable draw pattern for the 24-hour simulated use test in section 5.5 of this appendix within a tolerance of ±0.25 gallons per minute (±0.9 liters per minute). While removing the hot water, measure the inlet and outlet temperature after initiating the draw at 3-second intervals. Remove water until the outlet water temperature is within ±2 °F (±1.1 °C) of the inlet water temperature for 15 consecutive seconds. Determine the mean tank temperature using section 6.3.77 of this appendix and assign this value of $\overline{T}_{st}$ for $\overline{T}_0$, $\overline{T}_{max,1}$, and $\overline{T}_{su,0}$.

After completing the draw, reactivate the burner, compressor, or heating elements(s) and allow the unit to fully recover such that the main burner, heating elements, or heat pump compressor is no longer raising the temperature of the stored water. Let the water heater sit idle again for 1 hour prior to beginning the 24-hour test, during which time no water shall be drawn from the unit, and there shall be no energy input to the main heating elements. After the 1-hour period, the 24-hour simulated-use test will begin.

At the start of the 24-hour simulated-use test, record the electrical and/or fuel measurement readings, as appropriate. Begin the 24-hour simulated-use test by withdrawing the volume specified in the appropriate table in section 5.5 of this appendix (*i.e.*, Table III.1, Table III.2, Table III.3, or Table III.4, depending on the first-hour rating or maximum GPM rating) for the first draw at the flow rate specified in the applicable table. Record the time when this first draw is initiated and assign it as the test elapsed time (τ) of zero (0). Record the average ambient temperature every minute throughout the 24-hour simulated-use test. At the elapsed times specified in the applicable draw pattern table in section 5.5 of this appendix for a particular draw pattern, initiate additional draws pursuant to the draw pattern, removing the volume of hot water at the prescribed flow rate specified by the table. The maximum allowable deviation from the specified volume of water removed for any single draw taken at a nominal flow rate of 1.0 GPM or 1.7 GPM is ± 0.1 gallons (± 0.4 liters). The maximum allowable deviation from the specified volume of water removed for any single draw taken at a nominal flow rate of 3.0 GPM is ± 0.25 gallons (0.9 liters). The quantity of water withdrawn during the last draw shall be increased or decreased as necessary such that the total volume of water withdrawn equals the prescribed daily amount for that draw pattern ± 1.0 gallon (± 3.8 liters). If this adjustment to the volume drawn during the last draw results in no draw taking place, the test is considered invalid.

All draws during the 24-hour simulated-use test shall be made at the flow rates specified in the applicable draw pattern table in section 5.5 of this appendix, within a tolerance of ±0.25 gallons per minute (±0.9 liters per minute). Measurements of the inlet and outlet temperatures shall be made 15 seconds after the draw is initiated and at every subsequent 3-second interval throughout the duration of each draw. Calculate and record the mean of the hot water discharge temperature and the cold water inlet temperature for each draw ($T_{del,i}$ and $T_{in,i}$). Determine and record the net mass or volume removed (M_i or V_i), as appropriate, after each draw.

The first recovery period is the time from the start of the 24-hour simulated-use test

and continues until the first cut-out; if the cut-out occurs during a subsequent draw, the first recovery period includes the time until the draw of water from the tank stops. If, after the first cut-out occurs but during a subsequent draw, a subsequent cut-in occurs prior to the draw completion, the first recovery period includes the time until the subsequent cut-out occurs, prior to another draw. The first recovery period may continue until a cut-out occurs when water is not being removed from the water heater or a cut-out occurs during a draw and the water heater does not cut-in prior to the end of the draw.

At the end of the first recovery period, record the total energy consumed by the water heater from the beginning of the test (Q_r), including all fossil fuel and/or electrical energy use, from the main heat source and auxiliary equipment including, but not limited to, burner(s), resistive elements(s), compressor, fan, controls, pump, etc., as applicable.

The standby period begins at five minutes after the first time a recovery ends following last draw of the simulated-use test and shall continue for 8 hours. At the end of the 8-hour standby period, record the total amount of time elapsed since the start of the 24-hour simulated-use test (*i.e.*, since $\tau = 0$).

Determine and record the total electrical energy and/or fossil fuel consumed from the beginning of the 24-hour simulated-use test to the start of the 8-hour standby period ($Q_{su,0}$). In preparation for determining the energy consumed during standby, record the reading(s) given on the electrical energy (watt-hour) meter, the gas meter, and/or the scale used to determine oil consumption, as appropriate. Record the ambient temperature and the electric and/or fuel instrument readings at 1-minute intervals until the end of the 8-hour period. At the 8-hour mark, deactivate the water heater before drawing water from the tank. Remove water from the storage tank by performing a continuous draw atthe flow rate specified for the first draw of applicable draw pattern for the 24-hour simulated use test in section 5.5 of this appendix within a tolerance of ±0.25 gallons per minute (±0.9 liters per minute). While removing the hot water, measure the inlet and outlet temperature after initiating the draw at 3-second intervals. Remove water until the outlet water temperature is within ±2 °F (±1.1 °C) of the inlet water temperature for 15 consecutive seconds. Determine the mean tank temperature using section 6.3.77 of this appendix and assign this value of $\overline{T}_{st}$ for $\overline{T}_{su,f}$ and $\overline{T}_{24}$.

Determine the total electrical energy and/or fossil fuel energy consumption from the beginning of the test to the end of the standby period ($Q_{su,f}$). Record the time interval between the start of the standby period and the end of the standby period as $\tau_{stby,1}$. Record the average ambient temperature from the start of the standby period to the end of the standby period ($T_{a,stby,1}$). The average mean tank temperature from the start of the standby period to the end of the standby period ($T_{t,stby,1}$) shall be the average of $T_{su,0}$ and $T_{su,f}$.

5.4.3 *Test Sequence for Water Heaters With Rated Storage Volume Less Than 2 Gallons.*

Establish normal operation with the discharge water temperature at 125 °F ± 5 °F (51.7 °C ± 2.8 °C) and set the flow rate as determined in section 5.2 of this appendix. Prior to commencement of the 24-hour simulated-use test, the unit shall remain in an idle state in which controls are active but no water is drawn through the unit for a period of one hour. With no draw occurring, record the reading given by the gas meter and/or the electrical energy meter as appropriate. Begin the 24-hour simulated-use test by withdrawing the volume specified in Tables III.1 through III.4 of section 5.5 of this appendix for the first draw at the flow rate specified. Record the time when this first draw is initiated and designate it as an elapsed time, τ, of 0. At the elapsed times specified in Tables III.1 through III.4 for a particular draw pattern, initiate additional draws, removing the volume of hot water at the prescribed flow rate specified in Tables III.1 through III.4. The maximum allowable deviation from the specified volume of water removed for any single draw taken at a nominal flow rate less than or equal to 1.7 GPM (6.4 L/min) is ±0.1 gallons (±0.4 liters). The maximum allowable deviation from the specified volume of water removed for any single draw taken at a nominal flow rate of 3.0 GPM (11.4 L/min) is ±0.25 gallons (0.9 liters). The quantity of water drawn during the final draw shall be increased or decreased as necessary such that the total volume of water withdrawn equals the prescribed daily amount for that draw pattern ±1.0 gallon (±3.8 liters). If this adjustment to the volume drawn in the last draw results in no draw taking place, the test is considered invalid.

All draws during the 24-hour simulated-use test shall be made at the flow rates specified in the applicable draw pattern table in section 5.5 of this appendix within a tolerance of ±0.25 gallons per minute (±0.9 liters per minute) unless the unit being tested is flow-activated and has a rated Max GPM of less than 1 gallon per minute, in which case the tolerance shall be ±25% of the rated Max GPM. Measurements of the inlet and outlet water temperatures shall be made 15 seconds after the draw is initiated and at every 3-second interval thereafter throughout the duration of the draw. Calculate the mean of the hot water discharge temperature and the cold-water inlet temperature for each draw. Record the mass of the withdrawn water or the water meter reading, as appropriate,

after each draw. At the end of the first recovery period following the first draw, determine and record the fossil fuel and/or electrical energy consumed, Q_r. Following the final draw and subsequent recovery, allow the water heater to remain in the standby mode until exactly 24 hours have elapsed since the start of the test (*i.e.*, since $\tau = 0$). At 24 hours, record the reading given by the gas meter, oil meter, and/or the electrical energy meter, as appropriate. Determine the fossil fuel and/or electrical energy consumed during the entire 24-hour simulated-use test and designate the quantity as Q.

5.5 *Draw Patterns.*

The draw patterns to be imposed during 24-hour simulated-use tests are provided in Tables III.1 through III.4. Subject each water heater under test to one of these draw patterns based on its first-hour rating or maximum GPM rating, as discussed in section 5.4.1 of this appendix. Each draw pattern specifies the elapsed time in hours and minutes during the 24-hour test when a draw is to commence, the total volume of water in gallons (liters) that is to be removed during each draw, and the flow rate at which each draw is to be taken, in gallons (liters) per minute.

TABLE III.1—VERY-SMALL-USAGE DRAW PATTERN

Draw No.	Time during test** [hh:mm]	Volume [gallons (L)]	Flow rate*** [GPM (L/min)]
1*	0:00	2.0 (7.6)	1 (3.8)
2*	1:00	1.0 (3.8)	1 (3.8)
3*	1:05	0.5 (1.9)	1 (3.8)
4*	1:10	0.5 (1.9)	1 (3.8)
5*	1:15	0.5 (1.9)	1 (3.8)
6	8:00	1.0 (3.8)	1 (3.8)
7	8:15	2.0 (7.6)	1 (3.8)
8	9:00	1.5 (5.7)	1 (3.8)
9	9:15	1.0 (3.8)	1 (3.8)

Total Volume Drawn Per Day: 10 gallons (38 L)

*Denotes draws in first draw cluster.

**If a draw extends to the start of the subsequent draw, then the subsequent draw shall start when the required volume of the previous draw has been delivered.

***Should the water heater have a maximum GPM rating less than 1 GPM (3.8 L/min), then all draws shall be implemented at a flow rate equal to the rated maximum GPM.

TABLE III.2—LOW-USAGE DRAW PATTERN

Draw No.	Time during test [hh:mm]	Volume [gallons (L)]	Flow rate [GPM (L/min)]
1*	0:00	15.0 (56.8)	1.7 (6.4)
2*	0:30	2.0 (7.6)	1 (3.8)
3*	1:00	1.0 (3.8)	1 (3.8)
4	10:30	6.0 (22.7)	1.7 (6.4)
5	11:30	4.0 (15.1)	1.7 (6.4)
6	12:00	1.0 (3.8)	1 (3.8)
7	12:45	1.0 (3.8)	1 (3.8)
8	12:50	1.0 (3.8)	1 (3.8)
9	16:15	2.0 (7.6)	1 (3.8)
10	16:45	2.0 (7.6)	1.7 (6.4)
11	17:00	3.0 (11.4)	1.7 (6.4)

Total Volume Drawn Per Day: 38 gallons (144 L)

*Denotes draws in first draw cluster.

TABLE III.3—MEDIUM-USAGE DRAW PATTERN

Draw No.	Time during test [hh:mm]	Volume [gallons (L)]	Flow Rate [GPM (L/min)]
1*	0:00	15.0 (56.8)	1.7 (6.4)
2*	0:30	2.0 (7.6)	1 (3.8)
3*	1:40	9.0 (34.1)	1.7 (6.4)
4	10:30	9.0 (34.1)	1.7 (6.4)
5	11:30	5.0 (18.9)	1.7 (6.4)
6	12:00	1.0 (3.8)	1 (3.8)
7	12:45	1.0 (3.8)	1 (3.8)
8	12:50	1.0 (3.8)	1 (3.8)
9	16:00	1.0 (3.8)	1 (3.8)
10	16:15	2.0 (7.6)	1 (3.8)
11	16:45	2.0 (7.6)	1.7 (6.4)
12	17:00	7.0 (26.5)	1.7 (6.4)

Total Volume Drawn Per Day: 55 gallons (208 L)

*Denotes draws in first draw cluster.

TABLE III.4—HIGH-USAGE DRAW PATTERN

Draw No.	Time during test [hh:mm]	Volume [gallons (L)]	Flow rate [GPM (L/min)]
1*	0:00	27.0 (102)	3 (11.4)
2*	0:30	2.0 (7.6)	1 (3.8)
3*	0:40	1.0 (3.8)	1 (3.8)
4*	1:40	9.0 (34.1)	1.7 (6.4)
5	10:30	15.0 (56.8)	3 (11.4)
6	11:30	5.0 (18.9)	1.7 (6.4)
7	12:00	1.0 (3.8)	1 (3.8)
8	12:45	1.0 (3.8)	1 (3.8)
9	12:50	1.0 (3.8)	1 (3.8)
10	16:00	2.0 (7.6)	1 (3.8)
11	16:15	2.0 (7.6)	1 (3.8)
12	16:30	2.0 (7.6)	1.7 (6.4)
13	16:45	2.0 (7.6)	1.7 (6.4)
14	17:00	14.0 (53.0)	3 (11.4)

TABLE III.4—HIGH-USAGE DRAW PATTERN—Continued

Draw No.	Time during test [hh:mm]	Volume [gallons (L)]	Flow rate [GPM (L/min)]
Total Volume Drawn Per Day: 84 gallons (318 L)			

* Denotes draws in first draw cluster.

5.6 *Optional Tests (Heat Pump-Type Water Heaters).* Optional testing may be conducted on heat pump-type water heaters to determine E_X. If optional testing is performed, conduct the additional 24-hour simulated use test(s) at one or multiple of the test conditions specified in section 2.8 of this appendix. Prior to conducting a 24-hour simulated use test at an optional condition, confirm the air and water conditions specified in section 2.8 are met and re-set the outlet discharge temperature in accordance with section 5.2.2 of this appendix. Perform the optional 24-hour simulated use test(s) in accordance with section 5.4 of this appendix using the same draw pattern used for the determination of UEF.

6. Computations.

6.1 *First-Hour Rating Computation.* For the case in which the final draw is initiated at or prior to one hour from the start of the test, the first-hour rating, F_{hr}, shall be computed using,

$$F_{hr} = \sum_{i=1}^{n} V^*_{del,i}$$

Where:

n = the number of draws that are completed during the first-hour rating test.

$V^*_{del,i}$ = the volume of water removed during the *i*th draw of the first-hour rating test, gal (L) or, if the mass of water removed is being measured,

$$V^*_{del,i} = \frac{M^*_{del,i}}{\rho_{del,i}}$$

Where:

$M^*_{del,i}$ = the mass of water removed during the *i*th draw of the first-hour rating test, lb (kg).

$\rho_{del,i}$ = the density of water removed, evaluated at the average outlet water temperature measured during the *i*th draw of the first-hour rating test, ($\overline{T}^*_{del,i}$), lb/gal (kg/L).

or, if the volume of the water entering the water heater is being measured,

$$V^*_{del,i} = V^*_{in,i}\frac{\rho_{in,i}}{\rho_{del,i}}$$

Where:

$V^*_{in,i}$ = the volume of water entering the water heater during the *i*th draw of the first-hour rating test, gal (L).

$\rho_{in,i}$ = the density of water entering the water heater, evaluated at the average inlet water temperature measured during the *i*th draw of the first-hour rating test, ($\overline{T}^*_{in,i}$), lb/gal (kg/L).

or, if the mass of water entering the water heater is being measured,

$$V^*_{del,i} = \frac{M^*_{in,i}}{\rho_{del,i}}$$

Where:

$M^*_{in,i}$ = the mass of water entering the water heater during the *i*th draw of the first-hour rating test, lb (kg).

For the case in which a draw is not in progress at one hour from the start of the test and a final draw is imposed at the elapsed time of one hour, the first-hour rating shall be calculated using,

$$F_{hr} = V^*_{del,n}\left(\frac{\bar{T}^*_{del,n} - \bar{T}^*_{min,n-1}}{\bar{T}^*_{del,n-1} - \bar{T}^*_{min,n-1}}\right) + \sum_{i=1}^{n-1} V^*_{del,i}$$

where n and $V^*_{del,i}$ are the same quantities as defined above, and

$V^*_{del,n}$ = the volume of water removed during the *n*th (final) draw of the first-hour rating test, gal (L).

$\bar{T}^*_{del,n-1}$ = the average water outlet temperature measured during the *(n−1)*th draw of the first-hour rating test, °F (°C).

$\bar{T}^*_{del,n}$ = the average water outlet temperature measured during the *n*th (final) draw of the first-hour rating test, °F (°C).

$T^*_{min,n-1}$ = the minimum water outlet temperature measured during the *(n−1)*th draw of the first-hour rating test, °F (°C).

6.2 *Maximum GPM (L/min) Rating Computation.* Compute the maximum GPM (L/min) rating, F_{max}, as:

$$F_{max} = \frac{V_{del,10m}(\bar{T}_{del} - \bar{T}_{in})}{10(125°F - 58°F)}$$

or,

$$F_{max} = \frac{V_{del,10m}(\bar{T}_{del} - \bar{T}_{in})}{10(51.7°C - 14.4°C)}$$

Where:

$V_{del,10m}$ = the volume of water removed during the maximum GPM (L/min) rating test, gal (L).

$\bar{T}_{del}$ = the average delivery temperature, °F (°C).

$\bar{T}_{in}$ = the average inlet temperature, °F (°C).

10 = the number of minutes in the maximum GPM (L/min) rating test, min.

or, if the mass of water removed is measured,

$$V_{del,10m} = \frac{M_{del,10m}}{\rho_{del}}$$

Where:

$M_{del,10m}$ = the mass of water removed during the maximum GPM (L/min) rating test, lb (kg).

ρ_{del} = the density of water removed, evaluated at the average delivery water temperature of the maximum GPM (L/min) rating test ($\overline{T}_{del}$), lb/gal (kg/L).

or, if the volume of water entering the water heater is measured,

$$V_{del,10m} = V_{in,10m}\frac{\rho_{in}}{\rho_{del}}$$

Where:

$V_{in,10m}$ = the volume of water entering the water heater during the maximum GPM (L/min) rating test, gal (L).

ρ_{in} = the density of water entering the water heater, evaluated at the average inlet water temperature of the maximum GPM (L/min) rating test ($\overline{T}_{del}$), lb/gal (kg/L).

or, if the mass of water entering the water heater is measured,

$$V_{del,10m} = \frac{M_{in,10m}}{\rho_{del}}$$

Where:

$M_{in,10m}$ = the mass of water entering the water heater during the maximum GPM (L/min) rating test, lb (kg).

6.3 *Computations for Water Heaters with a Rated Storage Volume Greater Than or Equal to 2 Gallons and Circulating Water Heaters.*

6.3.1 *Storage Tank Capacity.* The storage tank capacity, V_{st}, is computed as follows:

$$V_{st} = \frac{\left(W_f - W_t\right)}{\rho}$$

Where:

V_{st} = the storage capacity of the water heater, or, for circulating water heaters, the storage capacity of the separate storage tank used in accordance with section 4.10, gal (L).

W_f = the weight of the storage tank when completely filled with water, lb (kg).

W_t = the (tare) weight of the storage tank when completely empty, lb (kg).

ρ = the density of water used to fill the tank measured at the temperature of the water, lb/gal (kg/L).

6.3.1.1 *Effective Storage Volume.* The effective storage tank capacity, V_{eff}, is computed as follows:

For water heaters requiring a separate storage tank, V_{eff} is the storage tank capacity of the separate storage tank as determined per section 6.3.1.

For all other water heaters:

$V_{eff} = k_V V_{st}$

Where:

V_{st} = as defined in section 6.3.1 and

k_V = a dimensionless volume scaling factor determined as follows:

If the first recovery period extends into the second draw of the 24-hour simulated use test, and

If $\overline{T}_0 > (\overline{T}_{del,1} + 5\ °F)$ and $\overline{T}_0 \geq 130\ °F$,

(if $\overline{T}_0 > (\overline{T}_{del,1} + 2.8\ °C)$ and $\overline{T}_0 \geq 54.4\ °C$),

$$k_V = \frac{\rho(\overline{T}_0)\times C_p(\overline{T}_0)\times(\overline{T}_0 - 67.5°F)}{\rho(125°F)\times C_p(125°F)\times(125°F - 67.5°F)}$$

$$(k_V = \frac{\rho(\bar{T}_0)\times C_p(\bar{T}_0)\times(\bar{T}_0 - 19.7℃)}{\rho(51.7℃)\times C_p(51.7℃)\times(51.7℃ - 19.7℃)});$$

If the first recovery period does not extend into the second draw of the 24-hour simulated use test, and

If $\overline{T}_{max,1} > (\overline{T}_{del,2} + 5\ °F)$ and $\overline{T}_{max,1} \geq 130\ °F$,

(if $\overline{T}_{max,1} > (\overline{T}_{del,2} + 2.8\ °C)$ and $\overline{T}_{max,1} \geq 54.4\ °C$),

$$k_V = \frac{\rho(\overline{T}_{max,1})\times C_p(\overline{T}_{max,1})\times(\overline{T}_{max,1} - 67.5°F)}{\rho(125°F)\times C_p(125°F)\times(125°F - 67.5°F)}$$

$$(k_V = \frac{\rho(\bar{T}_{max,1})\times C_p(\bar{T}_{max,1})\times(\bar{T}_{max,1} - 19.7℃)}{\rho(51.7℃)\times C_p(51.7℃)\times(51.7℃ - 19.7℃)});$$

Otherwise, $k_V = 1$.

Where:

$\overline{T}_0$= the mean tank temperature at the beginning of the 24-hour simulated-use test, °F(°C).

$\overline{T}_{del,1}$= the average outlet water temperature during the first draw of the 24-hour simulated-use test, °F(°C).

$\rho(\overline{T}_0)$ = the density of the stored hot water evaluated at the mean tank temperature at the beginning of the 24-hour simulated-use test ($\overline{T}_0$), lb/gal (kg/L).

$C_p(\overline{T}_0)$ = the specific heat of the stored hot water, evaluated at $\overline{T}_0$, Btu/(lb· °F) (kJ/(kg· °C)).

$\overline{T}_{max,1}$ = the maximum measured mean tank temperature after cut-out following the first draw of the 24-hour simulated-use test, °F(°C).

$\overline{T}_{del,2}$= the average outlet water temperature during the second draw of the 24-hour simulated-use test, °F(°C).

$\rho(\overline{T}_{max,1})$ = the density of the stored hot water evaluated at the maximum measured mean tank temperature after cut-out following the first draw of the 24-hour simulated-use test ($\overline{T}_{max,1}$), lb/gal (kg/L).

$C_p(\overline{T}_{max,1})$ = the specific heat of the stored hot water, evaluated at $\overline{T}_{max,1}$, Btu/(lb· °F) (kJ/(kg· °C)).

ρ(125 °F) = the density of the stored hot water at 125 °F, lb/gal (kg/L).

C_p(125 °F) = the specific heat of the stored hot water at 125 °F, Btu/(lb· °F) (kJ/(kg· °C)).

125 °F (51.7 °C) = the nominal maximum mean tank temperature for a storage tank that does not utilize a mixing valve to achieve a 125 °F delivery temperature.

67.5 °F (19.7 °C) = the nominal average ambient air temperature.

6.3.2 *Mass of Water Removed.* Determine the mass of water removed during each draw of the 24-hour simulated-use test ($M_{del,i}$) as:

If the mass of water removed is measured, use the measured value, or, if the volume of water removed is being measured,

$$M_{del,i} = V_{del,i} * P_{del,i}$$

Where:

$V_{del,i}$ = volume of water removed during the *i*th draw of the 24-hour simulated-use test, gal (L).

$\rho_{del,i}$ = density of the water removed, evaluated at the average outlet water temperature measured during the *i*th draw of the 24-hour simulated-use test, ($\overline{T}_{del,i}$), lb/gal (kg/L).

or, if the volume of water entering the water heater is measured,

$$M_{del,i} = V_{in,i} * \rho_{in,i}$$

Where:

$V_{in,i}$ = volume of water entering the water heater during draw *i*th draw of the 24-hour simulated-use test, gal (L).

$\rho_{in,i}$ = density of the water entering the water heater, evaluated at the average inlet water temperature measured during the *i*th draw of the 24-hour simulated-use test, ($\overline{T}_{in,i}$), lb/gal (kg/L).

or, if the mass of water entering the water heater is measured,

$$M_{del,i} = M_{in,i}$$

Where:

$M_{in,i}$ = mass of water entering the water heater during draw *i*th draw of the 24-hour simulated-use test, lb (kg).

6.3.3 *Recovery Efficiency.* The recovery efficiency for gas, oil, and heat pump water heaters with a rated storage volume greater than or equal to 2 gallons, η_r, is computed as:

$$\eta_r = \frac{V_{st}\,\rho_1\,C_{p1}\left(\bar{T}_{max,1} - \bar{T}_0\right)}{Q_r} + \sum_{i=1}^{N_r} \frac{M_{del,i}\,C_{pi}\left(\bar{T}_{del,i} - \bar{T}_{in,i}\right)}{Q_r}$$

Where:

V_{st} = as defined in section 6.3.1 of this appendix.

ρ_1 = density of stored hot water evaluated at $(\overline{T}_{max,1} + \overline{T}_0)/2$, lb/gal (kg/L).

C_{p1} = specific heat of the stored hot water, evaluated at $(\overline{T}_{max,1} + \overline{T}_0)/2$, Btu/(lb· °F) (kJ/(kg· °C).

$\overline{T}_{max,1}$ = maximum mean tank temperature recorded after the first recovery period as defined in section 5.4.2 of this appendix, °F (°C).

$\overline{T}_0$ = mean tank temperature recorded at the beginning of the 24-hour simulated-use test as determined in section 5.4.2 of this appendix, °F (°C).

Q_r = the total energy used by the water heater during the first recovery period as defined in section 5.4.2 of this appendix, including auxiliary energy such as pilot lights, pumps, fans, *etc.*, Btu (kJ). (Electrical auxiliary energy shall be converted to thermal energy using the following conversion: 1 kWh = 3412 Btu).

N_r = number of draws from the start of the 24-hour simulated-use test to the end to the first recovery period as described in section 5.4.2.

$M_{del,i}$ = mass of water removed as calculated in section 6.3.2 of this appendix during the *i*th draw of the first recovery period as described in section 5.4.2, lb (kg).

C_{pi} = specific heat of the withdrawn water during the *i*th draw of the first recovery period as described in section 5.4.2, evaluated at $(\overline{T}_{del,i} + \overline{T}_{in,i})/2$, Btu/(lb· °F) (kJ/(kg· °C)).

$\overline{T}_{del,i}$ = average water outlet temperature measured during the *i*th draw of the first recovery period as described in section 5.4.2, °F (°C).

$\overline{T}_{in,i}$ = average water inlet temperature measured during the *i*th draw of the first recovery period as described in section 5.4.2, °F (°C).

The recovery efficiency for electric water heaters with immersed heating elements, not including heat pump water heaters with immersed heating elements, is assumed to be 98 percent.

6.3.4 *Hourly Standby Losses.* The energy consumed as part of the standby loss test of the 24-hour simulated-use test, $Q_{stby,}$ is computed as:

$$Q_{stby} = Q_{su,f} - Q_{su,o}$$

Where:

$Q_{su,0}$ = cumulative energy consumption, including all fossil fuel and electrical energy use, of the water heater from the start of the 24-hour simulated-use test to the start of the standby period as determined in section 5.4.2 of this appendix, Btu (kJ).

$Q_{su,f}$ = cumulative energy consumption, including all fossil fuel and electrical energy use, of the water heater from the start of the 24-hour simulated-use test to the end of the standby period as determined in section 5.4.2 of this appendix, Btu (kJ).

The hourly standby energy losses are computed as:

$$Q_{hr} = \frac{Q_{stby} - \dfrac{V_{st}\,\rho\,C_p\left(\bar{T}_{su,f} - \bar{T}_{su.0}\right)}{\eta_r}}{\tau_{stby,1}}$$

Where:

Q_{hr} = the hourly standby energy losses of the water heater, Btu/h (kJ/h).

V_{st} = as defined in section 6.3.1 of this appendix.

ρ = density of the stored hot water, evaluated at $(\overline{T}_{su,f} + \overline{T}_{su,0})/2$, lb/gal (kg/L).

C_p = specific heat of the stored water, evaluated at $(\overline{T}_{su,f} + \overline{T}_{su,0})/2$, Btu/(lb· °F), (kJ/(kg·K)).

$\overline{T}_{su,f}$ = the mean tank temperature measured at the end of the standby period as determined in section 5.4.2 of this appendix, °F (°C).

$\overline{T}_{su,0}$ = the maximum mean tank temperature measured at the beginning of the standby period as determined in section 5.4.2 of this appendix, °F (°C).

η_r = as defined in section 6.3.3 of this appendix.

$\tau_{stby,1}$ = elapsed time between the start and end of the standby period as determined in section 5.4.2 of this appendix, h.

The standby heat loss coefficient for the tank is computed as:

$$UA = \frac{Q_{hr}}{\overline{T}_{t,stby,1} - \overline{T}_{a,stby,1}}$$

Where:

UA = standby heat loss coefficient of the storage tank, Btu/(h· °F), (kJ/(h· °C).

$\overline{T}_{t,stby,1}$ = overall average mean tank temperature between the start and end of the standby period as determined in section 5.4.2 of this appendix, °F (°C).

$\overline{T}_{a,stby,1}$ = overall average ambient temperature between the start and end of the standby period as determined in section 5.4.2 of this appendix, °F (°C).

6.3.5 *Daily Water Heating Energy Consumption*. The total energy used by the water heater during the 24-hour simulated-use test (Q) is as measured in section 5.4.2 of this appendix, or,

$Q = Q_f + Q_e$ = total energy used by the water heater during the 24-hour simulated-use test, including auxiliary energy such as pilot lights, pumps, fans, etc., Btu (kJ).

Q_f = total fossil fuel energy used by the water heater during the 24-hour simulated-use test, Btu (kJ).

Q_e = total electrical energy used during the 24-hour simulated-use test, Btu (kJ). (Electrical energy shall be converted to thermal energy using the following conversion: 1kWh = 3412 Btu.)

The daily water heating energy consumption, Q_d, is computed as:

$$Q_d = Q - \frac{V_{st}\,\rho\,C_p\,(\overline{T}_{24} - \overline{T}_0)}{\eta_r}$$

Where:

V_{st} = as defined in section 6.3.1 of this appendix.

ρ = density of the stored hot water, evaluated at $(\overline{T}_{24} + \overline{T}_0)/2$, lb/gal (kg/L).

C_p = specific heat of the stored water, evaluated at $(\overline{T}_{24} + \overline{T}_0)/2$, Btu/(lb· °F), (kJ/(kg·K)).

$\overline{T}_{24}$ = mean tank temperature at the end of the 24-hour simulated-use test as determined in section 5.4.2 of this appendix, °F (°C).

$\overline{T}_0$ = mean tank temperature recorded at the beginning of the 24-hour simulated-use test as determined in section 5.4.2 of this appendix, °F (°C).

η_r = as defined in section 6.3.3 of this appendix.

6.3.6 *Adjusted Daily Water Heating Energy Consumption*. The adjusted daily water heating energy consumption, $Q_{da,}$ takes into account that the ambient temperature may differ from the nominal value of 67.5 °F (19.7 °C) due to the allowable variation in surrounding ambient temperature of 65 °F (18.3 °C) to 70 °C (21.1 °C). The adjusted daily water heating energy consumption is computed as:

$Q_{da} = Q_d - (67.5\ °C - \overline{T}_{a,stby,2})\ UA\ \tau_{stby,2}$

or,

$Q_{da} = Q_d - (19.7\ °C - \overline{T}_{a,stby,2})\ UA\ \tau_{stby,2}$

Where:

Q_{da} = the adjusted daily water heating energy consumption, Btu (kJ).

Q_d = as defined in section 6.3.4 of this appendix.

$\overline{T}_{a,stby,2}$ = the average ambient temperature during the total standby portion, $\tau_{stby,2}$, of the 24-hour simulated-use test, °F (°C).

UA = as defined in section 6.3.4 of this appendix.

$\tau_{stby,2}$ = the number of hours during the 24-hour simulated-use test when water is not being withdrawn from the water heater.

A modification is also needed to take into account that the temperature difference between the outlet water temperature and supply water temperature may not be equivalent to the nominal value of 67 °F (125 °F–58 °F) or 37.3 °C (51.7 °C–14.4 °C). The following equations adjust the experimental data to a nominal 67 °F (37.3 °C) temperature rise.

The energy used to heat water, Btu/day (kJ/day), may be computed as:

$$Q_{HW} = \sum_{i=1}^{N} \frac{M_{del,i}\, C_{pi}\left(\bar{T}_{del,i} - \bar{T}_{in,i}\right)}{\eta_r}$$

Where:

N = total number of draws in the 24-hour simulated-use test.

$M_{del,i}$ = the mass of water removed during the *i*th draw (i = 1 to N) as calculated in section 6.3.2 of this appendix, lb (kg).

C_{pi} = the specific heat of the water withdrawn during the *i*th draw of the 24-hour simulated-use test, evaluated at ($\overline{T}_{del,i}$ + $\overline{T}_{in,i}$)/2, Btu/(lb· °F) (kJ/(kg· °C)).

$\overline{T}_{del,i}$ = the average water outlet temperature measured during the *i*th draw (i = 1 to N), °F (°C).

$\overline{T}_{in,i}$ = the average water inlet temperature measured during the *i*th draw (i = 1 to N), °F (°C).

η_r = as defined in section 6.3.3 of this appendix.

The energy required to heat the same quantity of water over a 67 °F (37.3 °C) temperature rise, Btu/day (kJ/day), is:

$$Q_{HW,67°F} = \sum_{i=1}^{N} \frac{M_{del,i}\, C_{pi}(125°F - 58°F)}{\eta_r}$$

or,

$$Q_{HW,37.3°C} = \sum_{i=1}^{N} \frac{M_{del,i}\, C_{pi}(51.7°C - 14.4°C)}{\eta_r}$$

The difference between these two values is:

$Q_{HWD} = Q_{HW,67.\ °F} - Q_{HW}$

or,

$Q_{HWD} = Q_{HW,37.3\ °C} - Q_{HW}$

This difference (Q_{HWD}) must be added to the adjusted daily water heating energy consumption value. Thus, the daily energy consumption value, which takes into account that the ambient temperature may not be 67.5 °F (19.7 °C) and that the temperature rise across the storage tank may not be 67 °F (37.3 °C) is:

$Q_{dm} = Q_{da} - Q_{HWD}$

6.3.7 *Estimated Mean Tank Temperature for Water Heaters with Rated Storage Volumes Greater Than or Equal to 2 Gallons.* If testing is conducted in accordance with section 5.4.2.2 of this appendix, calculate the mean tank temperature immediately prior to the internal tank temperature determination draw using the following equation:

$$\bar{T}_{st} = T_p - \frac{v_{out,p}}{V_{st}} \times \tau_p(\bar{T}_{in,p} - \bar{T}_{out,p})$$

Where:

$\overline{T}_{st}$ = the estimated average internal storage tank temperature, °F (°C).

T_p = the average of the inlet and the outlet water temperatures at the end of the period defined by τ_p, °F (°C).

$v_{out,p}$ = the average flow rate during the period, gal/min (L/min).

V_{st} = the rated storage volume of the water heater, gal (L).

τ_p = the number of minutes in the duration of the period, determined by the length of

time taken for the outlet water temperature to be within 2 °F of the inlet water temperature for 15 consecutive seconds and including the 15-second stabilization period.

$\overline{T}_{in,p}$ = the average of the inlet water temperatures during the period, °F (°C).

$\overline{T}_{out,p}$ = the average of the outlet water temperatures during the period, °F (°C).

6.3.8 *Uniform Energy Factor*. The uniform energy factor, UEF, is computed as:

$$UEF = \sum_{i=1}^{N} \frac{M_{del,i}\, C_{pi}\, (125°F - 58°F)}{Q_{dm}}$$

or,

$$UEF = \sum_{i=1}^{N} \frac{M_{del,i}\, C_{pi}\, (51.7°C - 14.4°C)}{Q_{dm}}$$

Where:

N = total number of draws in the 24-hour simulated-use test.

Q_{dm} = the modified daily water heating energy consumption as computed in accordance with section 6.3.6 of this appendix, Btu (kJ).

$M_{del,i}$ = the mass of water removed during the *i*th draw (i = 1 to N) as calculated in section 6.3.2 of this appendix, lb (kg).

C_{pi} = the specific heat of the water withdrawn during the *i*th draw of the 24-hour simulated-use test, evaluated at (125 °F + 58 °F)/2 = 91.5 °F ((51.7 °C + 14.4 °C)/2 = 33 °C), Btu/(lb· °F) (kJ/(kg· °C)).

6.3.9 *Annual Energy Consumption*. The annual energy consumption for water heaters with rated storage volumes greater than or equal to 2 gallons is computed as:

$$E_{annual} = 365 * \frac{(V)(\rho)(C_p)(67)}{UEF}$$

Where:

UEF = the uniform energy factor as computed in accordance with section 6.3.88 of this appendix.

365 = the number of days in a year.

V = the volume of hot water drawn during the applicable draw pattern, gallons.

= 10 for the very-small-usage draw pattern.

= 38 for the low-usage draw pattern.

= 55 for the medium-usage draw pattern.

= 84 for high-usage draw pattern.

ρ = 8.24 lb/gallon, the density of water at 125 °F.

C_p = 1.00 Btu/(lb °F), the specific heat of water at 91.5 °F.

67 = the nominal temperature difference between inlet and outlet water

6.3.10 *Annual Electrical Energy Consumption*. The annual electrical energy consumption in kilowatt-hours for water heaters with rated storage volumes greater than or equal to 2 gallons, $E_{annual,e,}$ is computed as:

$$E_{annual,e} = \frac{E_{annual}}{3412} * \left(\frac{Q_e}{Q}\right)$$

Where:

E_{annual} = the annual energy consumption as determined in accordance with section 6.3.99 of this appendix, Btu (kJ).

Q_e = the daily electrical energy consumption as defined in section 6.3.5 of this appendix, Btu (kJ).

Q = total energy used by the water heater during the 24-hour simulated-use test in accordance with section 6.3.5 of this appendix, Btu (kJ).

3412 = conversion factor from Btu to kWh.

6.3.11 *Annual Fossil Fuel Energy Consumption.* The annual fossil fuel energy consumption for water heaters with rated storage volumes greater than or equal to 2 gallons, $E_{annual,f,}$ is computed as:

$E_{annual,f} = E_{annual} - (E_{annual,e} * 3412)$

Where:

E_{annual} = the annual energy consumption as determined in accordance with section 6.3.9 of this appendix, Btu (kJ).

$E_{annual,e}$ = the annual electrical energy consumption as determined in accordance with section 6.3.10 of this appendix, kWh.

3412 = conversion factor from kWh to Btu.

6.4 *Computations for Water Heaters with a Rated Storage Volume Less Than 2 Gallons.*

6.4.1 *Mass of Water Removed*

Calculate the mass of water removed using the calculations in section 6.3.2 of this appendix.

6.4.2 *Recovery Efficiency.* The recovery efficiency, $\eta_{r,}$ is computed as:

$$\eta_r = \frac{M_1 \, C_{p1} \left(\overline{T}_{del,1} - \overline{T}_{in,1}\right)}{Q_r}$$

Where:

M_1 = mass of water removed during the first draw of the 24-hour simulated-use test, lb (kg).

C_{p1} = specific heat of the withdrawn water during the first draw of the 24-hour simulated-use test, evaluated at ($\overline{T}_{del,1}$ + $\overline{T}_{in,1}$)/2, Btu/(lb· °F) (kJ/(kg· °C)).

$\overline{T}_{del,1}$ = average water outlet temperature measured during the first draw of the 24-hour simulated-use test, °F (°C).

$\overline{T}_{in,1}$ = average water inlet temperature measured during the first draw of the 24-hour simulated-use test, °F (°C).

Q_r = the total energy used by the water heater during the first recovery period as defined in section 5.4.3 of this appendix, including auxiliary energy such as pilot lights, pumps, fans, etc., Btu (kJ). (Electrical auxiliary energy shall be converted to thermal energy using the following conversion: 1 kWh = 3412 Btu.)

6.4.3 *Daily Water Heating Energy Consumption.* The daily water heating energy consumption, $Q_{d,}$ is computed as:

$Q_d = Q$

Where:

$Q = Q_f + Q_e$ = the energy used by the water heater during the 24-hour simulated-use test.

Q_f = total fossil fuel energy used by the water heater during the 24-hour simulated-use test, Btu (kJ).

Q_e = total electrical energy used during the 24-hour simulated-use test, Btu (kJ). (Electrical auxiliary energy shall be converted to thermal energy using the following conversion: 1 kWh = 3412 Btu.)

A modification is needed to take into account that the temperature difference between the outlet water temperature and supply water temperature may not be equivalent to the nominal value of 67 °F (125 °F − 58 °F) or 37.3 °C (51.7 °C − 14.4 °C). The following equations adjust the experimental data to a nominal 67 °F (37.3 °C) temperature rise.

The energy used to heat water may be computed as:

$$Q_{HW} = \sum_{i=1}^{N} \frac{M_{del,i} \, C_{pi} \left(\overline{T}_{del,i} - \overline{T}_{in,i}\right)}{\eta_r}$$

Where:

N = total number of draws in the 24-hour simulated-use test.

$M_{del,i}$ = the mass of water removed during the *i*th draw (i = 1 to N) as calculated in section 6.4.1 of this appendix, lb (kg).

C_{pi} = the specific heat of the water withdrawn during the *i*th draw of the 24-hour simulated-use test, evaluated at ($\overline{T}_{del,i}$ + $\overline{T}_{in,i}$)/2, Btu/(lb· °F) (kJ/(kg· °C)).

$\overline{T}_{del,i}$ = the average water outlet temperature measured during the *i*th draw (i = 1 to N), °F (°C).

$\overline{T}_{in,i}$ = the average water inlet temperature measured during the *i*th draw (i = 1 to N), °F (°C).

η_r = as defined in section 6.4.2 of this appendix.

The energy required to heat the same quantity of water over a 67 °F (37.3 °C) temperature rise is:

$$Q_{HW,67°F} = \sum_{i=1}^{N} \frac{M_{del,i}\, C_{pi}(125°F - 58°F)}{\eta_r}$$

or,

$$Q_{HW,37.3°C} = \sum_{i=1}^{N} \frac{M_{del,i}\, C_{pi}(51.7°C - 14.4°C)}{\eta_r}$$

Where:

N = total number of draws in the 24-hour simulated-use test.

$M_{del,i}$ = the mass of water removed during the *i*th draw (i = 1 to N) as calculated in section 6.4.1 of this appendix, lb (kg).

C_{pi} = the specific heat of the water withdrawn during the *i*th draw of the 24-hour simulated-use test, evaluated at ($\overline{T}_{del,i}$ + $\overline{T}_{in,i}$)/2, Btu/(lb· °F) (kJ/(kg· °C)).

η_r = as defined in section 6.4.2 of this appendix.

The difference between these two values is:

$Q_{HWD} = Q_{HW,67\ °F} - Q_{HW}$

or,

$Q_{HWD} = Q_{HW,37.3\ °C} - Q_{HW}$

This difference (Q_{HWD}) must be added to the daily water heating energy consumption value. Thus, the daily energy consumption value, which takes into account that the temperature rise across the water heater may not be 67 °F (37.3 °C), is:

$Q_{dm} = Q_{da} + Q_{HWD}$

6.4.4 *Uniform Energy Factor*. The uniform energy factor, UEF, is computed as:

$$UEF = \sum_{i=1}^{N} \frac{M_{del,i}\, C_{pi}\, (125°F - 58°F)}{Q_{dm}}$$

or,

$$UEF = \sum_{i=1}^{N} \frac{M_{del,i}\, C_{pi}\, (51.7°C - 14.4°C)}{Q_{dm}}$$

Where:

N = total number of draws in the 24-hour simulated-use test.

Q_{dm} = the modified daily water heating energy consumption as computed in accordance with section 6.4.3 of this appendix, Btu (kJ).

$M_{del,i}$ = the mass of water removed during the *i*th draw (i = 1 to N) as calculated in section 6.4.1 of this appendix, lb (kg).

C_{pi} = the specific heat of the water withdrawn during the *i*th draw of the 24-hour simulated-use test, evaluated at (125 °F + 58 °F)/2 = 91.5 °F ((51.7 °C + 14.4 °C)/2 = 33.1 °C), Btu/(lb· °F) (kJ/(kg· °C)).

6.4.5 *Annual Energy Consumption*. The annual energy consumption for water heaters with rated storage volumes less than 2 gallons, $E_{annual,}$ is computed as:

$$E_{annual} = 365 * \frac{(V)(\rho)(C_p)(67)}{UEF}$$

Where:

UEF = the uniform energy factor as computed in accordance with section 6.4.4 of this appendix.

365 = the number of days in a year.

V = the volume of hot water drawn during the applicable draw pattern, gallons.

= 10 for the very-small-usage draw pattern.

= 38 for the low-usage draw pattern.

= 55 for the medium-usage draw pattern.

= 84 for high-usage draw pattern.

ρ = 8.24 lb/gallon, the density of water at 125 °F.

C_p = 1.00 Btu/(lb °F), the specific heat of water at 91.5 °F.

67 = the nominal temperature difference between inlet and outlet water.

6.4.6 *Annual Electrical Energy Consumption.* The annual electrical energy consumption in kilowatt-hours for water heaters with rated storage volumes less than 2 gallons, $E_{annual,e,}$ is computed as:

$$E_{annual,e} = \frac{E_{annual}}{3412} * \left(\frac{Q_e}{Q}\right)$$

Where:

Q_e = the daily electrical energy consumption as defined in section 6.4.3 of this appendix, Btu (kJ).

E_{annual} = the annual energy consumption as determined in accordance with section 6.4.5 of this appendix, Btu (kJ).

Q = total energy used by the water heater during the 24-hour simulated-use test in accordance with section 6.4.3 of this appendix, Btu (kJ).

Q_{dm} = the modified daily water heating energy consumption as computed in accordance with section 6.4.3 of this appendix, Btu (kJ).

3412 = conversion factor from Btu to kWh.

6.4.7 *Annual Fossil Fuel Energy Consumption.* The annual fossil fuel energy consumption for water heaters with rated storage volumes less than 2 gallons, $E_{annual,f,}$ is computed as:

Where:

E_{annual} = the annual energy consumption as defined in section 6.4.5 of this appendix, Btu (kJ).

$E_{annual,e}$ = the annual electrical energy consumption as defined in section 6.4.6 of this appendix, kWh.

3412 = conversion factor from kWh to Btu.

6.5 *Energy Efficiency at Optional Test Conditions.* If testing is conducted at optional test conditions in accordance with section 5.6 of this appendix, calculate the energy efficiency at the test condition, $E_{X,}$ using the formulas in sections 6.3 or 6.4 of this appendix (as applicable), except substituting the applicable ambient temperature and supply water temperature used for testing (as specified in section 2.8 of this appendix) for the nominal ambient temperature and supply water temperature conditions used in the equations for determining UEF (*i.e.,* 67.5 °F and 58 °F).

7. Test Set-Up Diagrams

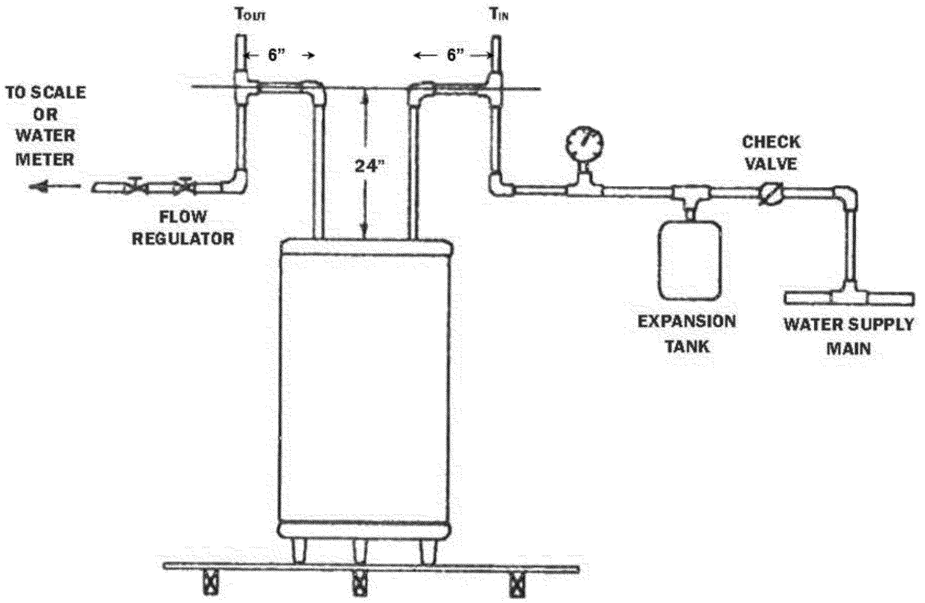


Figure 1.

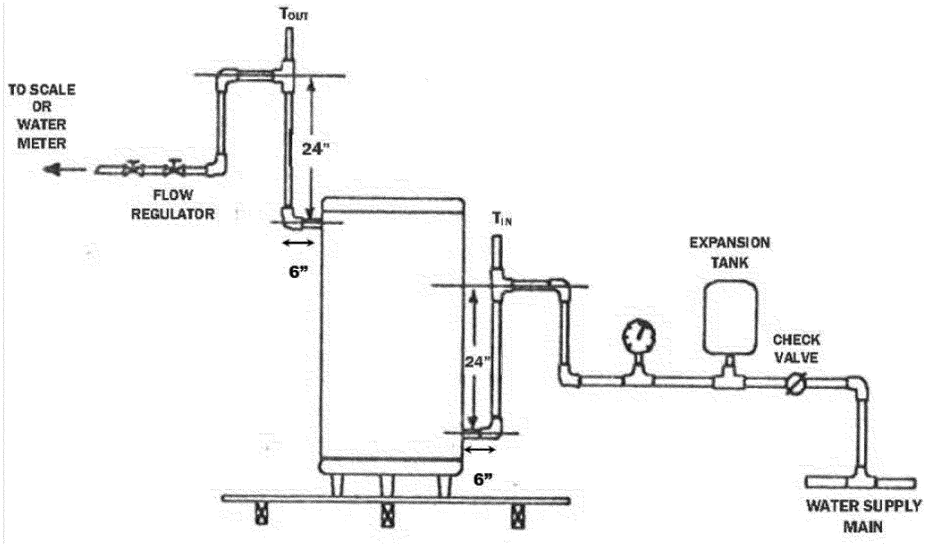


Figure 2.

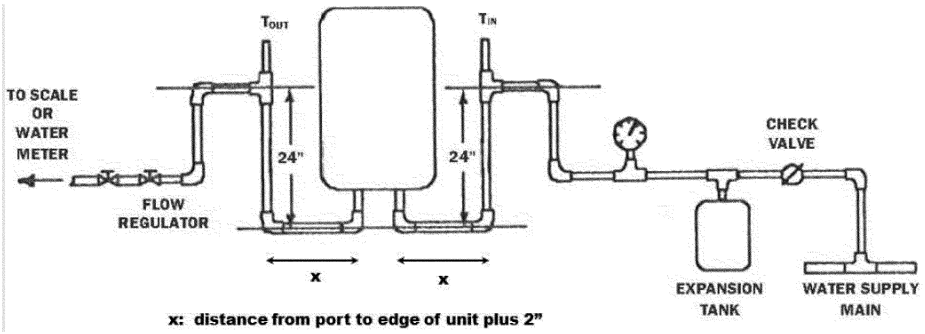


Figure 3.

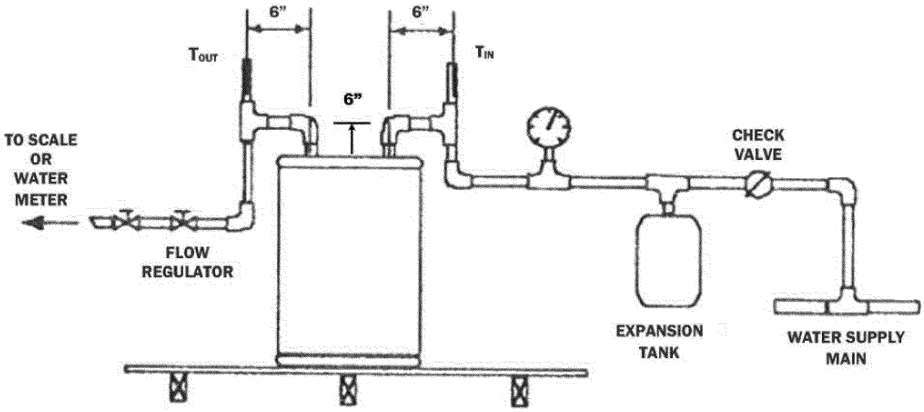


Figure 4.

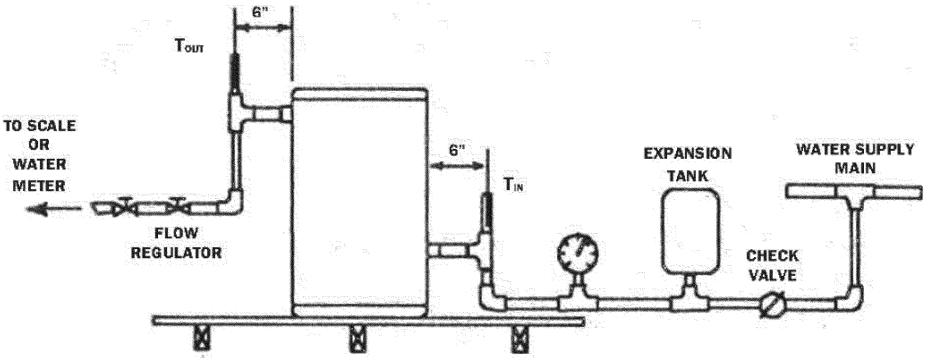


Figure 5.

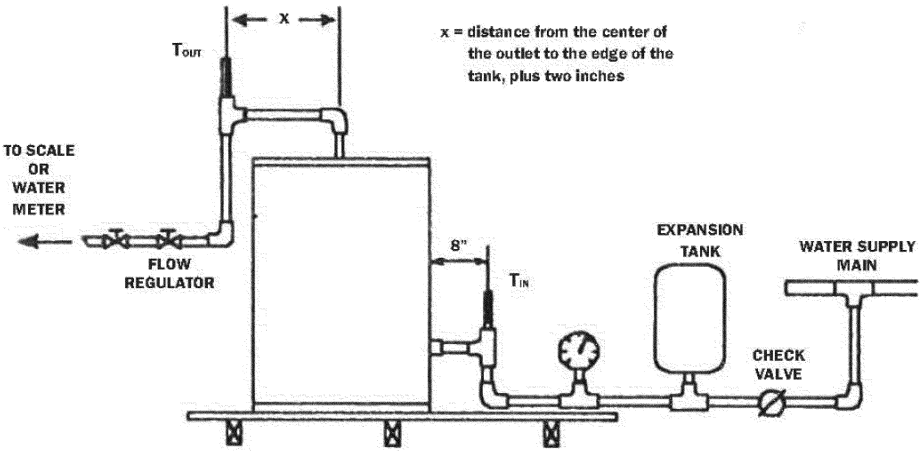


Figure 6.

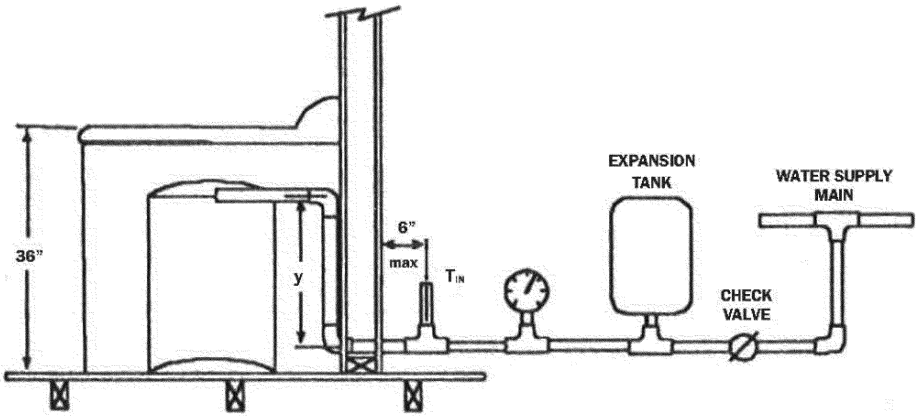


Figure 7a.

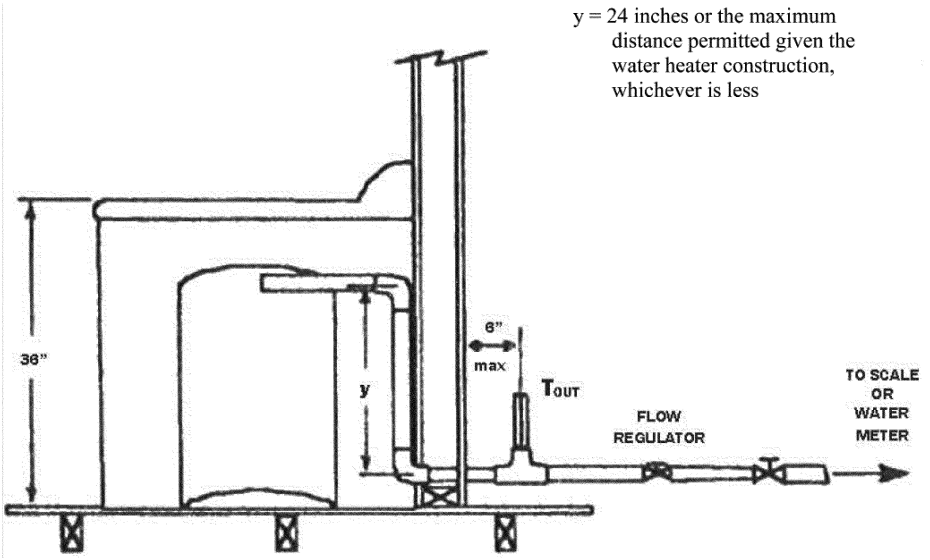


Figure 7b.

[88 FR 40473, June 21, 2023, as amended at 89 FR 37943, May 6, 2204]

APPENDIX F TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF ROOM AIR CONDITIONERS

NOTE: On or after September 27, 2021, any representations made with respect to the energy use or efficiency of room air conditioners must be made in accordance with the results of testing pursuant to this appendix.

Prior to September 27, 2021, manufacturers must either test room air conditioners in accordance with this appendix, or the previous version of this appendix as it appeared in the Code of Federal Regulations on January 1, 2020. DOE notes that, because representations made on or after September 27, 2021 must be made in accordance with this appendix, manufacturers may wish to begin using this test procedure immediately.

0. Incorporation by Reference

DOE incorporated by reference the entire standard for AHAM RAC–1, ANSI/ASHRAE 16, ANSI/ASHRAE 41.1, ASHRAE 41.2–1987 (RA 1992), ASHRAE 41.3–2014, ASHRAE 41.6–2014, ASHRAE 41.11–2014 and IEC 62301 in §430.3. However, only enumerated provisions of AHAM RAC–1 and ANSI/ASHRAE 16 apply to this appendix, as follows:

(1) ANSI/AHAM RAC–1:

(i) Section 4—Testing Conditions, Section 4.1—General

(ii) Section 5—Standard Measurement Test, Section 5.2—Standard Test Conditions: 5.2.1.1

(iii) Section 6—Tests and Measurements, Section 6.1—Cooling capacity

(iv) Section 6— Tests and Measurements, Section 6.2—Electrical Input

(2) ANSI/ASHRAE 16:

(i) Section 3—Definitions

(ii) Section 5—Instruments

(iii) Section 6—Apparatus, Section 6.1—Calorimeters, Sections 6.1.1–6.1.1., 6.1.1.3a, 6.1.1.4–6.1.4, including Table 1

(iv) Section 7—Methods of Testing, Section 7.1—Standard Test Methods, Section 7.1a, 7.1.1a

(v) Section 8—Test Procedures, Section 8.1—General

(vi) Section 8—Test Procedures, Section 8.2—Test Room Requirements

(viii) Section 8—Test Procedures, Section 8.3—Air Conditioner Break-In

(ix) Section 8—Test Procedures, Section 8.4—Air Conditioner Installation

(x) Section 8 —Test Procedures, Section 8.5—Cooling Capacity Test

(xi) Section 9—Data To Be Recorded, Section 9.1

(xii) Section 10—Measurement Uncertainty

(xiii) Normative Appendix A Cooling Capacity Calculations—Calorimeter Test Indoor and Calorimeter Test Outdoor

If there is any conflict between any industry standard(s) and this appendix, follow the language of the test procedure in this appendix, disregarding the conflicting industry standard language.

Scope

This appendix contains the test requirements to measure the energy performance of a room air conditioner.

2. Definitions

2.1 ''Active mode'' means a mode in which the room air conditioner is connected to a mains power source, has been activated and is performing any of the following functions: Cooling or heating the conditioned space, or circulating air through activation of its fan or blower, with or without energizing active air-cleaning components or devices such as ultra-violet (UV) radiation, electrostatic filters, ozone generators, or other air-cleaning devices.

2.2 ''ANSI/AHAM RAC–1'' means the test standard published jointly by the American National Standards Institute and the Association of Home Appliance Manufacturers, titled ''Energy Measurement Test Procedure for Room Air Conditioners,'' Standard RAC–1–2020 (incorporated by reference; see §430.3).

2.3 ''ANSI/ASHRAE 16'' means the test standard published jointly by the American National Standards Institute and the American Society of Heating, Refrigerating, and Air-Conditioning Engineers titled ''Method of Testing for Rating Room Air Conditioners and Packaged Terminal Air Conditioners,'' Standard 16–2016 (incorporated by reference; see §430.3).

2.4 ''ANSI/ASHRAE 41.1'' means the test standard published jointly by the American National Standards Institute and the American Society of Heating, Refrigerating, and Air-Conditioning Engineers titled ''Standard Method for Temperature Measurement,'' Standard 41.1–2013 (incorporated by reference; see §430.3).

2.5 ''ASHRAE 41.2–1987 (RA 1992)'' means the test standard published jointly by the American National Standards Institute and the American Society of Heating, Refrigerating, and Air-Conditioning Engineers titled ''Standard Methods for Laboratory Airflow Measurement,'' Standard 41.2–1987 (RA 1992) (incorporated by reference; see §430.3).

2.6 ''ASHRAE 41.3–2014'' means the test standard published jointly by the American National Standards Institute and the American Society of Heating, Refrigerating, and Air-Conditioning Engineers titled ''Standard Methods for Pressure Measurement,'' Standard 41.3–2014 (incorporated by reference; see §430.3).

2.7 ''ASHRAE 41.6–2014'' means the test standard published jointly by the American National Standards Institute and the American Society of Heating, Refrigerating, and Air-Conditioning Engineers titled ''Standard Method for Humidity Measurement,'' Standard 41.6–2014 (incorporated by reference; see §430.3).

2.8 ''ASHRAE 41.11–2014'' means the test standard published jointly by the American National Standards Institute and the American Society of Heating, Refrigerating, and Air-Conditioning Engineers titled ''Standard Methods for Power Measurement,'' Standard 41.11–2014 (incorporated by reference; see §430.3).

2.9 ''Combined energy efficiency ratio'' means the energy efficiency of a room air conditioner in British thermal units per watt-hour (Btu/Wh) and determined in section 5.2.2 of this appendix for single-speed room air conditioners and section 5.3.12 of this appendix for variable-speed room air conditioners.

2.10 ''Cooling capacity'' means the amount of cooling, in British thermal units per hour (Btu/h), provided to a conditioned space, measured under the specified conditions and determined in section 4.1 of this appendix.

2.11 ''Cooling mode'' means an active mode in which a room air conditioner has activated the main cooling function according to the thermostat or temperature sensor signal or switch (including remote control).

2.12 ''Full compressor speed (full)'' means the compressor speed at which the unit operates at full load test conditions, when using user settings with a unit thermostat setpoint of 75 °F to achieve maximum cooling capacity, according to the instructions in ANSI/ASHRAE Standard 16–2016.

2.13 ''IEC 62301'' means the test standard published by the International Electrotechnical Commission, titled ''Household electrical appliances—Measurement of standby power,'' Publication 62301 (Edition 2.0 2011–01), (incorporated by reference; see §430.3).

2.14 ''Inactive mode'' means a standby mode that facilitates the activation of active mode by remote switch (including remote control) or internal sensor or which provides continuous status display.

2.15 ''Intermediate compressor speed (intermediate)'' means the compressor speed higher than the low compressor speed at which the measured capacity is higher than the capacity at low compressor speed by one third of the difference between $Capacity_4$, the measured cooling capacity at test condition 4 in Table 1 of this appendix, and $Capacity_1$, the measured cooling capacity with the full compressor speed at test condition 1 in Table 1 of this appendix, with a tolerance of plus 5 percent (designs with non-discrete speed stages) or the next highest inverter frequency step (designs with discrete speed steps), achieved by following the instructions certified by the manufacturer.

2.16 ''Low compressor speed (low)'' means the compressor speed at which the unit operates at low load test conditions, achieved by following the instructions certified by the manufacturer, such that $Capacity_4$, the measured cooling capacity at test condition 4 in Table 1 of this appendix, is no less than 47 percent and no greater than 57 percent of $Capacity_1$, the measured cooling capacity with the full compressor speed at test condition 1 in Table 1 of this appendix.

2.17 ''Off mode'' means a mode in which a room air conditioner is connected to a mains power source and is not providing any active or standby mode function and where the mode may persist for an indefinite time, including an indicator that only shows the user that the product is in the off position.

2.18 ''Single-speed room air conditioner'' means a type of room air conditioner that cannot automatically adjust the compressor speed based on detected conditions.

2.19 ''Standby mode'' means any product mode where the unit is connected to a mains power source and offers one or more of the following user-oriented or protective functions which may persist for an indefinite time:

(a) To facilitate the activation of other modes (including activation or deactivation of active mode) by remote switch (including remote control), internal sensor, or timer. A timer is a continuous clock function (which may or may not be associated with a display) that provides regular scheduled tasks (*e.g.*, switching) and that operates on a continuous basis.

(b) Continuous functions, including information or status displays (including clocks) or sensor-based functions.

2.20 ''Theoretical comparable single-speed room air conditioner'' means a theoretical single-speed room air conditioner with the same cooling capacity and electrical power input as the variable-speed room air conditioner under test, with no cycling losses considered, at test condition 1 in Table 1 of this appendix.

2.21 ''Variable-speed compressor'' means a compressor that can vary its rotational speed in non-discrete stages or discrete steps from low to full.

2.22 ''Variable-speed room air conditioner'' means a type of room air conditioner that can automatically adjust compressor speed based on detected conditions.

3. Test Methods and General Instructions

3.1 *Cooling mode.* The test method for testing room air conditioners in cooling mode (''cooling mode test'') consists of applying the methods and conditions in AHAM RAC–1 Section 4, Paragraph 4.1 and for single-speed room air conditioners, Section 5, Paragraph 5.2.1.1, and for variable-speed room air conditioners, Section 5, Paragraph 5.2.1.2, except in accordance with ANSI/ASHRAE 16, including the references to ANSI/ASHRAE 41.1, ANSI/ASHRAE 41.2–1987 (RA 1992), ANSI/ASHRAE 41.3–2014, ANSI/ASHRAE 41.6–2014, and ANSI/ASHRAE 41.11–2014, all referenced therein, as defined in sections 2.3 through 2.8 of this appendix. Use the cooling capacity simultaneous indoor calorimeter and outdoor calorimeter test method in Section 7.1.a and Sections 8.1 through 8.5 of ANSI/ASHRAE 16, except as otherwise specified in this appendix. If a unit can operate on multiple operating voltages as distributed in commerce by the manufacturer, test it and rate the corresponding basic models at all nameplate operating voltages. For a variable-speed room air conditioner, test the unit following the cooling mode test a total of four times: One test at each of the test conditions listed in Table 1 of this appendix, consistent with section 4.1 of this appendix.

3.1.1 *Through-the-wall installation.* Install a non-louvered room air conditioner inside a compatible wall sleeve with the provided or manufacturer-required rear grille, and with only the included trim frame and other manufacturer-provided installation materials, per manufacturer instructions provided to consumers.

3.1.2 *Power measurement accuracy.* All instruments used for measuring electrical inputs to the test unit, reconditioning equipment, and any other equipment that operates within the calorimeter walls must be accurate to ±0.5 percent of the quantity measured.

3.1.3 *Electrical supply.* For cooling mode testing, test at each nameplate operating voltage, and maintain the input standard voltage within ±1 percent. Test at the rated frequency, maintained within ±1 percent.

3.1.4 *Control settings.* If the room air conditioner has network capabilities, all network features must be disabled throughout testing.

3.1.5 *Measurement resolution.* Record measurements at the resolution of the test instrumentation.

3.1.6 *Temperature tolerances.* Maintain each of the measured chamber dry-bulb and wet-bulb temperatures within a range of 1.0 °F.

3.2 *Standby and off modes.*

3.2.1 Install the room air conditioner in accordance with Section 5, Paragraph 5.2 of IEC 62301 and maintain the indoor test conditions (and outdoor test conditions where applicable) as required by Section 4, Paragraph 4.2 of IEC 62301. If testing is not conducted in a facility used for testing cooling mode performance, the test facility must comply with Section 4, Paragraph 4.2 of IEC 62301.

3.2.2 *Electrical supply.* For standby mode and off mode testing, maintain the electrical supply voltage and frequency according to the requirements in Section 4, Paragraph 4.3.1 of IEC 62301.

3.2.3 *Supply voltage waveform.* For the standby mode and off mode testing, maintain

the electrical supply voltage waveform indicated in Section 4, Paragraph 4.3.2 of IEC 62301.

3.2.4 *Wattmeter*. The wattmeter used to measure standby mode and off mode power consumption must meet the resolution and accuracy requirements in Section 4, Paragraph 4.4 of IEC 62301.

3.2.5 *Air ventilation damper*. If the unit is equipped with an outdoor air ventilation damper, close this damper during standby mode and off mode testing.

4. Test Conditions and Measurements

4.1 *Cooling mode.*

4.1.1 *Temperature conditions.* Establish the test conditions described in Sections 4 and 5 of AHAM RAC–1 and in accordance with ANSI/ASHRAE 16, including the references to ANSI/ASHRAE 41.1 and ANSI/ASHRAE 41.6–2014, for cooling mode testing, with the following exceptions for variable-speed room air conditioners: Conduct the set of four cooling mode tests with the test conditions presented in Table 1 of this appendix. For test condition 1 and test condition 2, achieve the full compressor speed with user settings, as defined in section 2.12 of this appendix. For test condition 3 and test condition 4, set the required compressor speed in accordance with instructions the manufacturer provided to DOE.

TABLE 1—INDOOR AND OUTDOOR INLET AIR TEST CONDITIONS—VARIABLE-SPEED ROOM AIR CONDITIONERS

Test condition	Evaporator inlet (indoor) air, °F		Condenser inlet (outdoor) air, °F		Compressor speed
	Dry bulb	Wet bulb	Dry bulb	Wet bulb	
Test Condition 1	80	67	95	75	Full.
Test Condition 2	80	67	92	72.5	Full.
Test Condition 3	80	67	87	69	Intermediate.
Test Condition 4	80	67	82	65	Low.

4.1.2 *Cooling capacity and power measurements.* For single-speed units, measure the cooling mode cooling capacity (expressed in Btu/h), Capacity, and electrical power input (expressed in watts), $P_{cool,}$ in accordance with Section 6, Paragraphs 6.1 and 6.2 of AHAM RAC–1, respectively, and in accordance with ANSI/ASHRAE 16, including the references to ANSI/ASHRAE 41.2–1987 (RA 1992) and ANSI/ASHRAE 41.11–2014. For variable-speed room air conditioners, measure the condition-specific cooling capacity (expressed in Btu/h), $Capacity_{tc}$, and electrical power input (expressed in watts), P_{tc}, for each of the four cooling mode rating test conditions (tc), as required in Section 6, Paragraphs 6.1 and 6.2, respectively, of AHAM RAC–1, respectively, and in accordance with ANSI/ASHRAE 16, including the references to ANSI/ASHRAE 41.2–1987 (RA 1992) and ANSI/ASHRAE 41.11–2014.

4.2 *Standby and off modes.* Establish the testing conditions set forth in section 3.2 of this appendix, ensuring the unit does not enter any active mode during the test. For a unit that drops from a higher power state to a lower power state as discussed in Section 5, Paragraph 5.1, Note 1 of IEC 62301, allow sufficient time for the room air conditioner to reach the lower power state before proceeding with the test measurement. Use the sampling method test procedure specified in Section 5, Paragraph 5.3.2 of IEC 62301 for testing all standby and off modes, with the following modifications: Allow the product to stabilize for 5 to 10 minutes and use an energy use measurement period of 5 minutes.

4.2.1 If the unit has an inactive mode, as defined in section 2.14 of this appendix, measure and record the average inactive mode power, Pia, in watts.

4.2.2 If the unit has an off mode, as defined in section 2.17 of this appendix, measure and record the average off mode power, P_{om}, in watts.

5. Calculations

5.1 *Annual energy consumption in inactive mode and off mode.* Calculate the annual energy consumption in inactive mode and off mode, $AEC_{ia/om,}$ expressed in kilowatt-hours per year (kWh/year).

$$AEC_{ia/om} = (P_{ia} \times t_{ia} + P_{om} \times t_{om})$$

Where:

$AEC_{ia/om}$ = annual energy consumption in inactive mode and off mode, in kWh/year.

P_{ia} = average power in inactive mode, in watts, determined in section 4.2 of this appendix.

P_{om} = average power in off mode, in watts, determined in section 4.2 of this appendix.

t_{ia} = annual operating hours in inactive mode and multiplied by a 0.001 kWh/Wh conversion factor from watt-hours to kilowatt-hours. This value is 5.115 kWh/W if the unit has inactive mode and no off mode,

2.5575 kWh/W if the unit has both inactive and off mode, and 0 kWh/W if the unit does not have inactive mode.

t_{om} = annual operating hours in off mode and multiplied by a 0.001 kWh/Wh conversion factor from watt-hours to kilowatt-hours. This value is 5.115 kWh/W if the unit has off mode and no inactive mode, 2.5575 kWh/W if the unit has both inactive and off mode, and 0 kWh/W if the unit does not have off mode.

5.2 *Combined energy efficiency ratio for single-speed room air conditioners.* Calculate the combined energy efficiency ratio for single-speed room air conditioners as follows:

5.2.1 *Single-speed room air conditioner annual energy consumption in cooling mode.* Calculate the annual energy consumption in cooling mode for a single-speed room air conditioner, $AEC_{cool,}$ expressed in kWh/year.

$$AEC_{cool} = 0.75 \times P_{cool}$$

Where:

AEC_{cool} = single-speed room air conditioner annual energy consumption in cooling mode, in kWh/year.

P_{cool} = single-speed room air conditioner average power in cooling mode, in watts, determined in section 4.1.2 of this appendix.

0.75 is 750 annual operating hours in cooling mode multiplied by a 0.001 kWh/Wh conversion factor from watt-hours to kilowatt-hours.

5.2.2 *Single-speed room air conditioner combined energy efficiency ratio.* Calculate the combined energy efficiency ratio, CEER, expressed in Btu/Wh, as follows:

$$CEER = \left[\frac{Capacity}{\left(\frac{AEC_{cool} + AEC_{ia/om}}{0.75}\right)}\right]$$

Where:

CEER = combined energy efficiency ratio, in Btu/Wh.

Capacity = single-speed room air conditioner cooling capacity, in Btu/h, determined in section 4.1.2 of this appendix.

AEC_{cool} = single-speed room air conditioner annual energy consumption in cooling mode, in kWh/year, calculated in section 5.2.1 of this appendix.

$AEC_{ia/om}$ = annual energy consumption in inactive mode and off mode, in kWh/year, determined in section 5.1 of this appendix.

0.75 as defined in section 5.2.1 of this appendix.

5.3 *Combined energy efficiency ratio for variable-speed room air conditioners.* Calculate the combined energy efficiency ratio for variable-speed room air conditioners as follows:

5.3.1 *Weighted electrical power input.* Calculate the weighted electrical power input in cooling mode, $P_{wt,}$ expressed in watts, as follows:

$$P_{wt} = \Sigma_{tc}\ P_{tc} \times W_{tc}$$

Where:

P_{wt} = weighted electrical power input, in watts, in cooling mode.

P_{tc} = electrical power input, in watts, in cooling mode for each test condition in Table 1 of this appendix.

W_{tc} = weighting factors for each cooling mode test condition: 0.08 for test condition 1, 0.20 for test condition 2, 0.33 for test condition 3, and 0.39 for test condition 4. tc represents the cooling mode test condition: ''1'' for test condition 1 (95 °F condenser inlet dry-bulb temperature), ''2'' for test condition 2 (92 °F), ''3'' for test condition 3 (87 °F), and ''4'' for test condition 4 (82 °F).

5.3.2 *Theoretical comparable single-speed room air conditioner.* Calculate the cooling capacity, expressed in Btu/h, and the electrical power input, expressed in watts, for a theoretical comparable single-speed room air conditioner at all cooling mode test conditions.

$$Capacity_{ss__tc} = Capacity_1 \times (1 + (M_c \times (95 - T_{tc})))$$

$$P_{ss__tc} = P_1 \times (1 - (M_p \times (95 - T_{tc})))$$

Where:

$Capacity_{ss__tc}$ = theoretical comparable single-speed room air conditioner cooling capacity, in Btu/h, calculated for each of the cooling mode test conditions in Table 1 of this appendix.

$Capacity_1$ = variable-speed room air conditioner unit's cooling capacity, in Btu/h, determined in section 4.1.2 of this appendix for test condition 1 in Table 1 of this appendix.

$P_{ss__tc}$ = theoretical comparable single-speed room air conditioner electrical power input, in watts, calculated for each of the

cooling mode test conditions in Table 1 of this appendix.

P_1 = variable-speed room air conditioner unit's electrical power input, in watts, determined in section 4.1.2 of this appendix for test condition 1 in Table 1 of this appendix.

M_c = adjustment factor to determine the increased capacity at lower outdoor test conditions, 0.0099 per °F.

M_p = adjustment factor to determine the reduced electrical power input at lower outdoor test conditions, 0.0076 per °F.

95 is the condenser inlet dry-bulb temperature for test condition 1 in Table 1 of this appendix, 95 °F.

T_{tc} = condenser inlet dry-bulb temperature for each of the test conditions in Table 1 of this appendix (in °F).

tc as explained in section 5.3.1 of this appendix.

5.3.3 *Variable-speed room air conditioner unit's annual energy consumption for cooling mode at each cooling mode test condition.* Calculate the annual energy consumption for cooling mode under each test condition, AEC_{tc}, expressed in kilowatt-hours per year (kWh/year), as follows:

$$AEC_{tc} = 0.75 \times P_{tc}$$

Where:

AEC_{tc} = variable-speed room air conditioner unit's annual energy consumption, in kWh/year, in cooling mode for each test condition in Table 1 of this appendix.

P_{tc} = as defined in section 5.3.1 of this appendix.

0.75 as defined in section 5.2.1 of this appendix.

tc as explained in section 5.3.1 of this appendix.

5.3.4 *Variable-speed room air conditioner weighted annual energy consumption.* Calculate the weighted annual energy consumption in cooling mode for a variable-speed room air conditioner, AEC_{wt}, expressed in kWh/year.

$$AEC_{wt} = \Sigma_{tc}\ AEC_{tc} \times W_{tc}$$

Where:

AEC_{wt} = weighted annual energy consumption in cooling mode for a variable-speed room air conditioner, expressed in kWh/year.

AEC_{tc} = variable-speed room air conditioner unit's annual energy consumption, in kWh/year, in cooling mode for each test condition in Table 1 of this appendix, determined in section 5.3.3 of this appendix.

W_{tc} = weighting factors for each cooling mode test condition: 0.08 for test condition 1, 0.20 for test condition 2, 0.33 for test condition 3, and 0.39 for test condition 4.

tc as explained in section 5.3.1 of this appendix.

5.3.5 *Theoretical comparable single-speed room air conditioner annual energy consumption in cooling mode at each cooling mode test condition.* Calculate the annual energy consumption in cooling mode for a theoretical comparable single-speed room air conditioner for cooling mode under each test condition, $AEC_{ss__tc}$, expressed in kWh/year.

$$AEC_{ss__tc} = 0.75 \times P_{ss__tc}$$

Where:

$AEC_{ss__tc}$ = theoretical comparable single-speed room air conditioner annual energy consumption, in kWh/year, in cooling mode for each test condition in Table 1 of this appendix.

$P_{ss__tc}$ = theoretical comparable single-speed room air conditioner electrical power input, in watts, in cooling mode for each test condition in Table 1 of this appendix, determined in section 5.3.2 of this appendix.

0.75 as defined in section 5.2.1 of this appendix.

tc as explained in section 5.3.1 of this appendix.

5.3.6 *Variable-speed room air conditioner combined energy efficiency ratio at each cooling mode test condition.* Calculate the variable-speed room air conditioner unit's combined energy efficiency ratio, $CEER_{tc}$, for each test condition, expressed in Btu/Wh.

$$CEER_{tc} = \frac{Capacity_{tc}}{\left(\frac{AEC_{tc} + AEC_{ia/om}}{0.75}\right)}$$

Where:

$CEER_{tc}$ = variable-speed room air conditioner unit's combined energy efficiency ratio, in Btu/Wh, for each test condition in Table 1 of this appendix.

$Capacity_{tc}$ = variable-speed room air conditioner unit's cooling capacity, in Btu/h, for each test condition in Table 1 of this appendix, determined in section 4.1.2 of this appendix.

AEC_{tc} = variable-speed room air conditioner unit's annual energy consumption, in kWh/year, in cooling mode for each test condition in Table 1 of this appendix, determined in section 5.3.3 of this appendix.

$AEC_{ia/om}$ = annual energy consumption in inactive mode and off mode, in kWh/year, determined in section 5.1 of this appendix.

0.75 as defined in section 5.2.1 of this appendix.

tc as explained in section 5.3.1 of this appendix.

5.3.7 *Theoretical comparable single-speed room air conditioner combined energy efficiency ratio.* Calculate the combined energy efficiency ratio for a theoretical comparable single-speed room air conditioner, $CEER_{ss__tc}$, for each test condition, expressed in Btu/Wh.

$$CEER_{ss_tc} = \frac{Capacity_{ss_tc}}{\left(\frac{AEC_{ss_tc} + AEC_{ia/om}}{0.75}\right)}$$

Where:

$CEER_{ss__tc}$ = theoretical comparable single-speed room air conditioner combined energy efficiency ratio, in Btu/Wh, for each test condition in Table 1 of this appendix.

$Capacity_{ss__tc}$ = theoretical comparable single-speed room air conditioner cooling capacity, in Btu/h, for each test condition in Table 1 of this appendix, determined in section 5.3.2 of this appendix.

$AEC_{ss__tc}$ = theoretical comparable single-speed room air conditioner annual energy consumption, in kWh/year, in cooling mode for each test condition in Table 1 of this appendix, determined in section 5.3.5 of this appendix.

$AEC_{ia/om}$ = annual energy consumption in inactive mode and off mode, in kWh/year, determined in section 5.1 of this appendix.

0.75 as defined in section 5.2.1 of this appendix.

tc as explained in section 5.3.1 of this appendix.

5.3.8 *Theoretical comparable single-speed room air conditioner adjusted combined energy efficiency ratio.* Calculate the adjusted combined energy efficiency ratio, for a theoretical comparable single-speed room air conditioner, $CEER_{ss__tc__adj}$, with cycling losses considered, for each test condition, expressed in Btu/Wh.

$$CEER_{ss__tc__adj} = CEER_{ss__tc} \times CLF_{tc}$$

Where:

$CEER_{ss__tc__adj}$ = theoretical comparable single-speed room air conditioner adjusted combined energy efficiency ratio, in Btu/Wh, for each test condition in Table 1 of this appendix.

$CEER_{ss__tc}$ = theoretical comparable single-speed room air conditioner combined energy efficiency ratio, in Btu/Wh, for each test condition in Table 1 of this appendix, determined in section 5.3.7 of this appendix.

CLF_{tc} = cycling loss factor for each test condition; 1 for test condition 1, 0.956 for test condition 2, 0.883 for test condition 3, and 0.810 for test condition 4.

tc as explained in section 5.3.1 of this appendix.

5.3.9 *Weighted combined energy efficiency ratio.* Calculate the weighted combined energy efficiency ratio for the variable-speed room air conditioner unit, $CEER_{wt}$, and theoretical comparable single-speed room air conditioner, $CEER_{ss__wt}$, expressed in Btu/Wh.

$$CEER_{wt} = \Sigma_{tc}\ CEER_{tc} \times W_{tc}$$

$$CEER_{ss__wt} = \Sigma_{tc}\ CEER_{ss__tc__adj} \times W_{tc}$$

Where:

$CEER_{wt}$ = variable-speed room air conditioner unit's weighted combined energy efficiency ratio, in Btu/Wh.

$CEER_{ss__wt}$ = theoretical comparable single-speed room air conditioner weighted combined energy efficiency ratio, in Btu/Wh.

$CEER_{tc}$ = variable-speed room air conditioner unit's combined energy efficiency ratio, in Btu/Wh, at each test condition in Table 1 of this appendix, determined in section 5.3.6 of this appendix.

$CEER_{ss__tc__adj}$ = theoretical comparable single-speed room air conditioner adjusted combined energy efficiency ratio, in Btu/Wh, at each test condition in Table 1 of this appendix, determined in section 5.3.8 of this appendix.

W_{tc} as defined in section 5.3.4 of this appendix.

tc as explained in section 5.3.1 of this appendix.

5.3.10 *Variable-speed room air conditioner performance adjustment factor.* Calculate the variable-speed room air conditioner unit's performance adjustment factor, $F_{p.}$

$$F_p = \frac{\left(CEER_{wt} - CEER_{ss_wt}\right)}{CEER_{ss_wt}}$$

Where:

F_p = variable-speed room air conditioner unit's performance adjustment factor.

$CEER_{wt}$ = variable-speed room air conditioner unit's weighted combined energy efficiency ratio, in Btu/Wh, determined in section 5.3.9 of this appendix.

$CEER_{ss_wt}$ = theoretical comparable single-speed room air conditioner weighted combined energy efficiency ratio, in Btu/Wh, determined in section 5.3.9 of this appendix.

5.3.11 *Variable-speed room air conditioner combined energy efficiency ratio*. Calculate the combined energy efficiency ratio, CEER, expressed in Btu/Wh, for variable-speed air conditioners.

$$CEER = CEER_1 \times (1 + F_p)$$

Where:

CEER = combined energy efficiency ratio, in Btu/Wh.

$CEER_1$ = variable-speed room air conditioner combined energy efficiency ratio for test condition 1 in Table 1 of this appendix, in Btu/Wh, determined in section 5.3.6 of this appendix.

F_p = variable-speed room air conditioner performance adjustment factor, determined in section 5.3.10 of this appendix.

[86 FR 16476, Mar. 29, 2021, as amended at 86 FR 24484, May 7, 2021; 88 FR 59791, Aug. 30, 2023]

Appendix G to Subpart B of Part 430—Uniform Test Method for Measuring the Energy Consumption of Unvented Home Heating Equipment

1. Testing conditions.

1.1 *Installation*.

1.1.1 *Electric heater*. Install heater according to manufacturer's instructions. Heaters shall be connected to an electrical supply circuit of nameplate voltage with a wattmeter installed in the circuit. The wattmeter shall have a maximum error not greater than one percent.

1.1.2 *Unvented gas heater*. Install heater according to manufacturer's instructions. Heaters shall be connected to a gas supply line with a gas displacement meter installed between the supply line and the heater according to manufacturer's specifications. The gas displacement meter shall have a maximum error not greater than one percent. Gas heaters with electrical auxiliaries shall be connected to an electrical supply circuit of nameplate voltage with a wattmeter installed in the circuit. The wattmeter shall have a maximum error not greater than one percent.

1.1.3 *Unvented oil heater*. Install heater according to manufacturer's instructions. Oil heaters with electric auxiliaries shall be connected to an electrical supply circuit of nameplate voltage with a wattmeter installed in the circuit. The wattmeter shall have a maximum error not greater than one percent.

1.2 *Temperature regulating controls*. All temperature regulating controls shall be shorted out of the circuit or adjusted so that they will not operate during the test period.

1.3 *Fan controls*. All fan controls shall be set at the highest fan speed setting.

1.4 *Energy supply*.

1.4.1 *Electrical supply*. Supply power to the heater within one percent of the nameplate voltage.

1.4.2 *Natural gas supply*. For an unvented gas heater utilizing natural gas, maintain the gas supply to the heater with a normal inlet test pressure immediately ahead of all controls at 7 to 10 inches of water column. The regulator outlet pressure at normal supply test pressure shall be approximately that recommended by the manufacturer. The natural gas supplied should have a higher heating value within ±5 percent of 1,025 Btu's per standard cubic foot. Determine the higher heating value, in Btu's per standard cubic foot, for the natural gas to be used in the test, with an error no greater than one percent. Alternatively, the test can be conducted using ''bottled'' natural gas of a higher heating value within ±5 percent of 1,025 Btu's per standard cubic foot as long as the actual higher heating value of the bottled natural gas has been determined with an error no greater than one percent as certified by the supplier.

1.4.3 *Propane gas supply*. For an unvented gas heater utilizing propane, maintain the gas supply to the heater with a normal inlet test pressure immediately ahead of all controls at 11 to 13 inches of water column. The regulator outlet pressure at normal supply test pressure shall be that recommended by the manufacturer. The propane supplied should have a higher heating value of within±5 percent of 2,500 Btu's per standard cubic foot. Determine the higher heating value in Btu's per standard foot, for the propane to be used in the test, with an error no greater than one percent. Alternatively, the test can be conducted using ''bottled'' propane of a

higher heating value within ±5 percent of 2,500 Btu's per standard cubic foot as long as the actual higher heating value of the bottled propane has been determined with an error no greater than one percent as certified by the supplier.

1.4.4 *Oil supply.* For an unvented oil heater utilizing kerosene, determine the higher heating value in Btu's per gallon with an error no greater than one percent. Alternatively, the test can be conducted using a tested fuel of a higher heating value within ±5 percent of 137,400 Btu's per gallon as long as the actual higher heating value of the tested fuel has been determined with an error no greater than one percent as certified by the supplier.

1.5 *Energy flow instrumentation.* Install one or more energy flow instruments which measure, as appropriate and with an error no greater than one percent, the quantity of electrical energy, natural gas, propane gas, or oil supplied to the heater.

2. Testing and measurements.

2.1 *Electric power measurement.* Establish the test conditions set forth in section 1 of this appendix. Allow an electric heater to warm up for at least five minutes before recording the maximum electric power measurement from the wattmeter. Record the maximum electric power (P_E) expressed in kilowatts.

Allow the auxiliary electrical system of a forced air unvented gas, propane, or oil heater to operate for at least five minutes before recording the maximum auxiliary electric power measurement from the wattmeter. Record the maximum auxiliary electric power (P_A) expressed in kilowatts.

2.2 *Natural gas, propane, and oil measurement.* Establish the test conditions as set forth in section 1 of this appendix. A natural gas, propane, or oil heater shall be operated for one hour. Using either the nameplate rating or the energy flow instrumentation set forth in section 1.5 of this appendix and the fuel supply rating set forth in sections 1.4.2, 1.4.3, or 1.4.4 of this appendix, as appropriate, determine the maximum fuel input (P_F) of the heater under test in Btu's per hour. The energy flow instrumentation shall measure the maximum fuel input with an error no greater than one percent.

2.3 *Pilot light measurement.* Except as provided in section 2.3.1 of this appendix, measure the energy input rate to the pilot light (Q_p), with an error no greater than 3 percent, for unvented heaters so equipped.

2.3.1 The measurement of Q_p is not required for unvented heaters where the pilot light is designed to be turned off by the user when the heater is not in use (*i.e.*, for units where turning the control to the OFF position will shut off the gas supply to the burner(s) and the pilot light). This provision applies only if an instruction to turn off the unit is provided on the heater near the gas control value (*e.g.*, by label) by the manufacturer.

2.4 *Electrical standby mode power measurement.* Except as provided in section 2.4.1 of this appendix, for all electric heaters and unvented heaters with electrical auxiliaries, measure the standby power ($P_{W,SB}$) in accordance with the procedures in IEC 62301 Second Edition (incorporated by reference; see §430.3), with all electrical auxiliaries not activated. Voltage shall be as specified in section 1.4.1 *Electrical supply* of this appendix. The recorded standby power ($P_{W,SB}$) shall be rounded to the second decimal place, and for loads greater than or equal to 10W, at least three significant figures shall be reported.

2.4.1 The measurement of $P_{W,SB}$ is not required for heaters designed to be turned off by the user when the heater is not in use (*i.e.*, for units where turning the control to the OFF position will shut off the electrical supply to the heater). This provision applies only if an instruction to turn off the unit is provided on the heater (*e.g.*, by label) by the manufacturer.

3. Calculations.

3.1 *Annual energy consumption for primary electric heaters.* For primary electric heaters, calculate the annual energy consumption (E_E) expressed in kilowatt-hours per year and defined as:

$E_E = 2080(0.77)DHR$

where:

2080 = national average annual heating load hours
0.77 = adjustment factor
DHR = design heating requirement and is equal to $P_E/1.2$ in kilowatts.
P_E = as defined in 2.1 of this appendix
1.2 = typical oversizing factor for primary electric heaters

3.2 *Annual energy consumption for primary electric heaters by geographic region of the United States.* For primary electric heaters, calculate the annual energy consumption by geographic region of the United States (E_R) expressed in kilowatt-hours per year and defined as:

$E_R = HLH(0.77)\ (DHR)$

where:

HLH = heating load hours for a specific region determined from Figure 1 of this appendix in hours
0.77 = as defined in 3.1 of this appendix
DHR = as defined in 3.1 of this appendix

3.3 *Rated output for electric heaters.* Calculate the rated output (Q_{out}) for electric heaters, expressed in Btu's per hour, and defined as:

$Q_{out} = P_E\ (3{,}412\ Btu/kWh)$

where:

P_E = as defined in 2.1 of this appendix

3.4 *Rated output for unvented heaters using either natural gas, propane, or oil.* For unvented heaters using either natural gas, propane, or oil equipped without auxiliary electrical systems, the rated output (Q_{out}), expressed in Btu's per hour, is equal to P_F, as determined in section 2.2 of this appendix.

For unvented heaters using either natural gas, propane, or oil equipped with auxiliary electrical systems, calculate the rated output (Q_{out}), expressed in Btu's per hour, and defined as:

$Q_{out} = P_F + P_A$ (3,412 Btu/kWh)

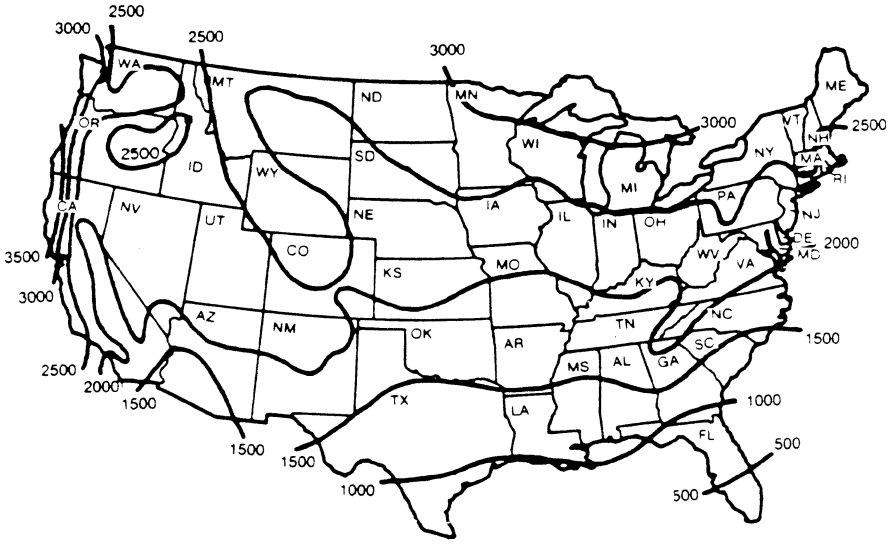
where:

P_F = as defined in 2.2 of this appendix in Btu/hr

P_A = as defined in 2.1 of this appendix in Btu/hr

FIGURE I

Heating Load Hours (HLH) for the United States and Territories



This map is reasonably accurate for most parts of the United States but is necessarily highly generalized and consequently not too accurate in mountainous regions, particularly in the Rockies

Alaska — 3500 HLH
Hawaii and Territories — 0 HLH

(Energy Policy and Conservation Act, Pub. L. 94–163, as amended by Pub. L. 94–385; Federal Energy Administration Act of 1974, Pub. L. 93–275, as amended by Pub. L. 94–385; Department of Energy Organization Act, Pub. L. 95–91; E.O. 11790, 39 FR 23185)

[43 FR 20132, May 10, 1978. Redesignated and amended at 44 FR 37938, June 29, 1979; 49 FR 12157, Mar. 28, 1984; 77 FR 74571, Dec. 17, 2012]

APPENDIX H TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE POWER CONSUMPTION OF TELEVISION SETS

NOTE: On or after April 14, 2023 and prior to September 11, 2023, any representations made with respect to the energy use or energy efficiency of a television must be based upon results generated under this appendix as it appeared in 10 CFR part 430 edition revised as of January 1, 2023, or this appendix. Beginning September 11, 2023 any representations made with respect to the energy use or efficiency of a television must be based upon results generated under this appendix. Given that beginning September 11, 2023, representations with respect to the energy use or efficiency of televisions must be made in accordance with tests conducted pursuant to this appendix, manufacturers may wish to begin using this test procedure as soon as possible.

0. Incorporation by Reference

DOE incorporated by reference in §430.3, ANSI/CTA–2037–D in its entirety. However, only enumerated provisions of ANSI/CTA–2037–D are applicable to this appendix, as follows:

0.1 ANSI/CTA–2037–D

(a) Section 5 as referenced in section 2 of this appendix;
(b) Sections 6 and 8 through 11 as referenced in section 3 of this appendix;
(c) Section 7 as referenced in sections 3 and 4 of this appendix; and
(d) Annex A as referenced in section 4 of this appendix.

0.2 [Reserved]

1. Scope

This appendix covers the test requirements used to measure the energy and power consumption of television sets that have a diagonal screen size of at least fifteen inches; and are powered by mains power (including TVs with auxiliary batteries but not TVs with main batteries).

2. Definitions and Symbols

2.1. *Definitions*. The following terms are defined according to section 5.1 of ANSI/CTA–2037–D.

(a) Annual energy consumption
(b) Automatic brightness control
(c) Brightest selectable picture setting
(d) Default preset picture setting
(e) Dynamic Luminance
(f) Energy-Efficient-Ethernet
(g) Filmmaker Mode
(h) Forced menu
(i) Gloss Unit (GU)
(j) HDR10
(k) High Dynamic Range
(l) Home configuration
(m) Hybrid Log Gamma (HLG)
(n) Illuminance
(o) International System of Units
(p) Luminance
(q) Main battery
(r) Motion-Based Dynamic Dimming
(s) Neutral density filter
(t) Off Mode
(u) On Mode
(v) Perceptual Quantization Video
(w) Preset picture setting
(x) Quick start
(y) Retail Configuration
(z) Snoot
(aa) Software
(ab) Wake-By-Remote-Control-App
(ac) Wake-By-Smart-Speaker
(ad) Wake-On-Cast

2.2. *Symbol usage*. The symbols and abbreviations in section 5.2 of ANSI/CTA–2037–D apply to this test procedure.

3. Test Conduct

Determine the dynamic luminance and on mode and standby mode power consumption of TVs by following the procedure specified in sections 6 through 11 of ANSI/CTA–2037–D.

4. Calculation of Measured Values

Calculate the on mode power consumption, dynamic luminance, standby mode power consumption, and annual energy consumption as specified in Annex A of ANSI/CTA–2037–D. The following additional requirements are also applicable.

4.1. Round on mode power value as specified in Annex A of ANSI/CTA–2037–D.

4.2. Round dynamic luminance to the nearest tenth.

4.3. Round standby mode power as specified in section 7.1.2 of ANSI/CTA–2037–D.

4.4. Round annual energy consumption as specified in Annex A of ANSI/CTA–2037–D.

[88 FR 16109, Mar. 15, 2023]

APPENDIX I TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF MICROWAVE OVENS

NOTE: After September 26, 2022, representations made with respect to the energy use of microwave ovens must fairly disclose the results of testing pursuant to this appendix.

On or after April 29, 2022 and prior to September 26, 2022 representations, including compliance certifications, made with respect to the energy use of microwave ovens must fairly disclose the results of testing pursuant to either this appendix or appendix I as it appeared at 10 CFR part 430, subpart B, in the 10 CFR parts 200 to 499 edition revised as of January 1, 2020. Representations made with

respect to the energy use of microwave ovens within that range of time must fairly disclose the results of testing under the selected version. Given that after September 26, 2022 representations with respect to the energy use of microwave ovens must be made in accordance with tests conducted pursuant to this appendix, manufacturers may wish to begin using this test procedure as soon as possible.

1. Definitions

The following definitions apply to the test procedures in this appendix, including the test procedures incorporated by reference:

1.1 *Active mode* means a mode in which the product is connected to a mains power source, has been activated, and is performing the main function of producing heat by means of a gas flame, electric resistance heating, electric inductive heating, or microwave energy.

1.2 *Built-in* means the product is enclosed in surrounding cabinetry, walls, or other similar structures on at least three sides, and can be supported by surrounding cabinetry or the floor.

1.3 *Combined cooking product* means a household cooking appliance that combines a cooking product with other appliance functionality, which may or may not include another cooking product. Combined cooking products include the following products: Conventional range, microwave/conventional cooking top, microwave/conventional oven, and microwave/conventional range.

1.4 *Drop-in* means the product is supported by horizontal surface cabinetry.

1.5 *IEC 62301 (First Edition)* means the test standard published by the International Electrotechnical Commission, titled ''Household electrical appliances—Measurement of standby power,'' Publication 62301 (First Edition 2005–06) (incorporated by reference; see §430.3).

1.6 *IEC 62301 (Second Edition)* means the test standard published by the International Electrotechnical Commission, titled ''Household electrical appliances—Measurement of standby power,'' Publication 62301 (Edition 2.0 2011–01) (incorporated by reference; see §430.3).

1.7 *Normal non-operating temperature* means a temperature of all areas of an appliance to be tested that is within 5 °F (2.8 °C) of the temperature that the identical areas of the same basic model of the appliance would attain if it remained in the test room for 24 hours while not operating with all oven doors closed.

1.8 *Off mode* means any mode in which a cooking product is connected to a mains power source and is not providing any active mode or standby function, and where the mode may persist for an indefinite time. An indicator that only shows the user that the product is in the off position is included within the classification of an off mode.

1.9 *Standby mode* means any mode in which a cooking product is connected to a mains power source and offers one or more of the following user-oriented or protective functions which may persist for an indefinite time:

(1) Facilitation of the activation of other modes (including activation or deactivation of active mode) by remote switch (including remote control), internal sensor, or timer;

(2) Provision of continuous functions, including information or status displays (including clocks) or sensor-based functions. A timer is a continuous clock function (which may or may not be associated with a display) that allows for regularly scheduled tasks and that operates on a continuous basis.

2. Test Conditions

2.1 *Installation.* Install a drop-in or built-in cooking product in a test enclosure in accordance with manufacturer's instructions. If the manufacturer's instructions specify that the cooking product may be used in multiple installation conditions, install the appliance according to the built-in configuration. Completely assemble the product with all handles, knobs, guards, and similar components mounted in place. Position any electric resistance heaters and baffles in accordance with the manufacturer's instructions.

2.1.1 *Microwave ovens, excluding any microwave oven component of a combined cooking product.* Install the microwave oven in accordance with the manufacturer's instructions and connect to an electrical supply circuit with voltage as specified in section 2.2.1 of this appendix. Install the microwave oven in accordance with Section 5, Paragraph 5.2 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3), disregarding the provisions regarding batteries and the determination, classification, and testing of relevant modes. If the microwave oven can communicate through a network (*e.g.*, Bluetooth® or internet connection), disable the network function, if it is possible to disable it by means provided in the manufacturer's user manual, for the duration of testing. If the network function cannot be disabled, or means for disabling the function are not provided in the manufacturer's user manual, test the microwave oven with the network function in the factory default setting or in the as-shipped condition as instructed in Section 5, paragraph 5.2 of IEC 62301 (Second Edition). Configure the unit such that the clock display remains on during testing, regardless of manufacturer's instructions or default setting or supplied setting, unless the clock display powers down automatically with no option for the consumer to override

this function. Install a watt meter in the circuit that meets the requirements of section 2.8.1.2 of this appendix.

2.2 *Energy supply*.

2.2.1 *Electrical supply*.

2.2.1.1 *Voltage*. For microwave oven testing, maintain the electrical supply to the unit at 240/120 volts ±1 percent. Maintain the electrical supply frequency for all products at 60 hertz ±1 percent.

2.3 *Air circulation*. Maintain air circulation in the room sufficient to secure a reasonably uniform temperature distribution, but do not cause a direct draft on the unit under test.

2.4 *Ambient room test conditions*.

2.4.1 *Standby mode and off mode ambient temperature*. For standby mode and off mode testing, maintain room ambient air temperature conditions as specified in Section 4, Paragraph 4.2 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3).

2.5 *Normal non-operating temperature*. All areas of the appliance to be tested must attain the normal non-operating temperature, as defined in section 1.7 of this appendix, before any testing begins. Measure the applicable normal non-operating temperature using the equipment specified in sections 2.6.2.1 of this appendix.

2.6 *Instrumentation*. Perform all test measurements using the following instruments, as appropriate:

2.6.1 *Electrical Measurements*.

2.6.1.1 *Standby mode and off mode watt meter*. The watt meter used to measure standby mode and off mode power must meet the requirements specified in Section 4, Paragraph 4.4 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3). For microwave oven standby mode and off mode testing, if the power measuring instrument used for testing is unable to measure and record the crest factor, power factor, or maximum current ratio during the test measurement period, measure the crest factor, power factor, and maximum current ratio immediately before and after the test measurement period to determine whether these characteristics meet the requirements specified in Section 4, Paragraph 4.4 of IEC 62301 (Second Edition).

2.6.2 *Temperature measurement equipment*.

2.6.2.1 *Room temperature indicating system*. For the test of microwave ovens, the room temperature indicating system must have an error no greater than ±1 °F (±0.6 °C) over the range 65° to 90 °F (18 °C to 32 °C).

3. Test Methods and Measurements

3.1. *Test methods*.

3.1.1 *Microwave oven*.

3.1.1.1 *Microwave oven test standby mode and off mode power except for any microwave oven component of a combined cooking product*. Establish the testing conditions set forth in section 2, Test Conditions, of this appendix. For microwave ovens that drop from a higher power state to a lower power state as discussed in Section 5, Paragraph 5.1, Note 1 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3), allow sufficient time for the microwave oven to reach the lower power state before proceeding with the test measurement. Follow the test procedure as specified in Section 5, Paragraph 5.3.2 of IEC 62301 (Second Edition). For units in which power varies as a function of displayed time in standby mode, set the clock time to 3:23 and use the average power approach described in Section 5, Paragraph 5.3.2(a) of IEC 62301 (First Edition), but with a single test period of 10 minutes +0/−2 sec after an additional stabilization period until the clock time reaches 3:33. If a microwave oven is capable of operation in either standby mode or off mode, as defined in sections 1.9 and 1.8 of this appendix, respectively, or both, test the microwave oven in each mode in which it can operate.

3.2 *Test measurements*.

3.2.1 *Microwave oven standby mode and off mode power except for any microwave oven component of a combined cooking product*. Make measurements as specified in Section 5, Paragraph 5.3 of IEC 62301 (Second Edition) (incorporated by reference; see §430.3). If the microwave oven is capable of operating in standby mode, as defined in section 1.9 of this appendix, measure the average standby mode power of the microwave oven, PSB, in watts as specified in section 3.1.1.1 of this appendix. If the microwave oven is capable of operating in off mode, as defined in section 1.8 of this appendix, measure the average off mode power of the microwave oven, POM, as specified in section 3.1.1.1.

3.3 *Recorded values*.

3.3.1 For microwave ovens except for any microwave oven component of a combined cooking product, record the average standby mode power, PSB, for the microwave oven standby mode, as determined in section 3.2.1 of this appendix for a microwave oven capable of operating in standby mode. Record the average off mode power, POM, for the microwave oven off mode power test, as determined in section 3.2.1 of this appendix for a microwave oven capable of operating in off mode.

[85 FR 50766, Aug. 18, 2020, as amended at 87 FR 18271, Mar. 30, 2022; 87 FR 51538, Aug. 22, 2022]

APPENDIX I1 TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF CONVENTIONAL COOKING PRODUCTS

NOTE: Any representation related to energy consumption of conventional cooking tops, including the conventional cooking top component of combined cooking products,

made after February 20, 2023 must be based upon results generated under this test procedure. Upon the compliance date(s) of any energy conservation standard(s) for conventional cooking tops, including the conventional cooking top component of combined cooking products, use of the applicable provisions of this test procedure to demonstrate compliance with the energy conservation standard is required.

0. Incorporation by Reference

DOE incorporated by reference in §430.3, the entire test standard for IEC 60350–2; IEC 62301 (First Edition); and IEC 62301 (Second Edition). However, only enumerated provisions of those standards are applicable to this appendix, as follows. If there is a conflict, the language of the test procedure in this appendix takes precedence over the referenced test standards.

0.1 IEC 60350–2

(a) Section 5.1 as referenced in section 2.4.1 of this appendix;
(b) Section 5.3 as referenced in sections 2.7.1.1, 2.7.3.1, 2.7.3.3, 2.7.3.4, 2.7.4, and 2.7.5 of this appendix;
(c) Section 5.5 as referenced in section 2.5.1 of this appendix;
(d) Section 5.6.1 as referenced in section 2.6.1 of this appendix;
(e) Section 5.6.1.5 as referenced in section 3.1.1.2 of this appendix;
(f) Section 6.3 as referenced in section 3.1.1.1.1 of this appendix;
(g) Section 6.3.1 as referenced in section 3.1.1.1.1 of this appendix;
(h) Section 6.3.2 as referenced in section 3.1.1.1.1 of this appendix;
(i) Section 7.5.1 as referenced in section 2.6.2 of this appendix;
(j) Section 7.5.2 as referenced in section 3.1.4.4 of this appendix;
(k) Section 7.5.2.1 as referenced in sections 1 and 3.1.4.2 of this appendix;
(l) Section 7.5.2.2 as referenced in section 3.1.4.4 of this appendix;
(m) Section 7.5.4.1 as referenced in sections 1 and 3.1.4.5 of this appendix;
(n) Annex A as referenced in section 3.1.1.2 of this appendix;
(o) Annex B as referenced in sections 2.6.1 and 2.8.3 of this appendix; and
(p) Annex C as referenced in section 3.1.4.1 of this appendix.

0.2 IEC 62301 (First Edition)

(a) Paragraph 5.3 as referenced in section 3.2 of this appendix; and
(b) Paragraph 5.3.2 as referenced in section 3.2 of this appendix.

0.3 IEC 62301 (Second Edition)

(a) Paragraph 4.2 as referenced in section 2.4.2 of this appendix;
(b) Paragraph 4.3.2 as referenced in section 2.2.1.1.2 of this appendix;
(c) Paragraph 4.4 as referenced in section 2.7.1.2 of this appendix;
(d) Paragraph 5.1 as referenced in section 3.2 of this appendix; and
(e) Paragraph 5.3.2 as referenced in section 3.2 of this appendix.

1. Definitions

The following definitions apply to the test procedures in this appendix, including the test procedures incorporated by reference:

Active mode means a mode in which the product is connected to a mains power source, has been activated, and is performing the main function of producing heat by means of a gas flame, electric resistance heating, or electric inductive heating.

Built-in means the product is enclosed in surrounding cabinetry, walls, or other similar structures on at least three sides, and can be supported by surrounding cabinetry or the floor.

Combined cooking product means a household cooking appliance that combines a cooking product with other appliance functionality, which may or may not include another cooking product. Combined cooking products include the following products: conventional range, microwave/conventional cooking top, microwave/conventional oven, and microwave/conventional range.

Combined low-power mode means the aggregate of available modes other than active mode, but including the delay start mode portion of active mode.

Cooking area means an area on a conventional cooking top surface heated by an inducted magnetic field where cookware is placed for heating, where more than one cookware item can be used simultaneously and controlled separately from other cookware placed on the cooking area, and that may or may not include limitative markings.

Cooking top control means a part of the conventional cooking top used to adjust the power and the temperature of the cooking zone or cooking area for one cookware item.

Cooking zone means a part of a conventional cooking top surface that is either a single electric resistance heating element, multiple concentric sizes of electric resistance heating elements, an inductive heating element, or a gas surface unit that is defined by limitative markings on the surface of the cooking top and can be controlled independently of any other cooking area or cooking zone.

Cycle finished mode means a standby mode in which a conventional cooking top provides continuous status display following operation in active mode.

Drop-in means the product is supported by horizontal surface cabinetry.

Freestanding means the product is supported by the floor and is not specified in the manufacturer's instructions as able to be installed such that it is enclosed by surrounding cabinetry, walls, or other similar structures.

Inactive mode means a standby mode that facilitates the activation of active mode by remote switch (including remote control), internal sensor, or timer, or that provides continuous status display.

Infinite power settings means a cooking zone control without discrete power settings, which allows for selection of any power setting up to the maximum power setting.

Maximum-below-threshold power setting means the power setting on a conventional cooking top that is the highest power setting that results in smoothened water temperature data that do not meet the evaluation criteria specified in Section 7.5.4.1 of IEC 60350–2.

Maximum power setting means the maximum possible power setting if only one cookware item is used on the cooking zone or cooking area of a conventional cooking top, including any optional power boosting features. For conventional electric cooking tops with multi-ring cooking zones or cooking areas, the maximum power setting is the maximum power corresponding to the concentric heating element with the largest diameter, which may correspond to a power setting which may include one or more of the smaller concentric heating elements. For conventional gas cooking tops with multi-ring cooking zones, the maximum power setting is the maximum heat input rate when the maximum number of rings of the cooking zone are ignited.

Minimum-above-threshold power setting means the power setting on a conventional cooking top that is the lowest power setting that results in smoothened water temperature data that meet the evaluation criteria specified in Section 7.5.4.1 of IEC 60350–2. This power setting is also referred to as the simmering setting.

Multi-ring cooking zone means a cooking zone on a conventional cooking top with multiple concentric sizes of electric resistance heating elements or gas burner rings.

Off mode means any mode in which a product is connected to a mains power source and is not providing any active mode or standby function, and where the mode may persist for an indefinite time. An indicator that only shows the user that the product is in the off position is included within the classification of an off mode.

Power setting means a setting on a cooking zone control that offers a gas flame, electric resistance heating, or electric inductive heating.

Simmering period means, for each cooking zone, the 20-minute period during the simmering test starting at time t_{90}.

Smoothened water temperature means the 40-second moving-average temperature as calculated in Section 7.5.4.1 of IEC 60350–2, rounded to the nearest 0.1 degree Celsius.

Specialty cooking zone means a warming plate, grill, griddle, or any cooking zone that is designed for use only with non-circular cookware, such as a bridge zone. Specialty cooking zones are not tested under this appendix.

Stable temperature means a temperature that does not vary by more than 1 °C over a 5-minute period.

Standard cubic foot of gas means the quantity of gas that occupies 1 cubic foot when saturated with water vapor at a temperature of 60 °F and a pressure of 14.73 pounds per square inch (30 inches of mercury or 101.6 kPa).

Standby mode means any mode in which a product is connected to a mains power source and offers one or more of the following user-oriented or protective functions which may persist for an indefinite time:

(1) Facilitation of the activation of other modes (including activation or deactivation of active mode) by remote switch (including remote control), internal sensor, or timer;

(2) Provision of continuous functions, including information or status displays (including clocks) or sensor-based functions. A timer is a continuous clock function (which may or may not be associated with a display) that allows for regularly scheduled tasks and that operates on a continuous basis.

Target turndown temperature (Tc_{target}) means the temperature as calculated according to Section 7.5.2.1 of IEC 60350–2 and section 3.1.4.2 of this appendix, for each cooking zone.

Thermocouple means a device consisting of two dissimilar metals which are joined together and, with their associated wires, are used to measure temperature by means of electromotive force.

Time t_{90} means the first instant during the simmering test for each cooking zone at which the smoothened water temperature is greater than or equal to 90 °C.

Turndown temperature (T_c) means, for each cooking zone, the measured water temperature at the time at which the tester begins adjusting the cooking top controls to change the power setting.

2. Test Conditions and Instrumentation

2.1 *Installation.* Install the conventional cooking top or combined cooking product in accordance with the manufacturer's instructions. If the manufacturer's instructions specify that the product may be used in multiple installation conditions, install the product according to the built-in configuration. Completely assemble the product with

all handles, knobs, guards, and similar components mounted in place. Position any electric resistance heaters, gas burners, and baffles in accordance with the manufacturer's instructions. If the product can communicate through a network (*e.g.,* Bluetooth® or internet connection), disable the network function, if it is possible to disable it by means provided in the manufacturer's user manual, for the duration of testing. If the network function cannot be disabled, or if means for disabling the function are not provided in the manufacturer's user manual, the product shall be tested in the factory default setting or in the as-shipped condition.

2.1.1 *Freestanding combined cooking product.* Install a freestanding combined cooking product with the back directly against, or as near as possible to, a vertical wall which extends at least 1 foot above the product and 1 foot beyond both sides of the product, and with no side walls.

2.1.2 *Drop-in or built-in combined cooking product.* Install a drop-in or built-in combined cooking product in a test enclosure in accordance with manufacturer's instructions.

2.1.3 *Conventional cooking top.* Install a conventional cooking top with the back directly against, or as near as possible to, a vertical wall which extends at least 1 foot above the product and 1 foot beyond both sides of the product.

2.2 *Energy supply.*

2.2.1 *Electrical supply.*

2.2.1.1 *Supply voltage.*

2.2.1.1.1 *Active mode supply voltage.* During active mode testing, maintain the electrical supply to the product at either 240 volts ±1 percent or 120 volts ±1 percent, according to the manufacturer's instructions, except for products which do not allow for a mains electrical supply. The actual voltage shall be maintained and recorded throughout the test. Instantaneous voltage fluctuations caused by the turning on or off of electrical components shall not be considered.

2.2.1.1.2 *Standby mode and off mode supply voltage.* During standby mode and off mode testing, maintain the electrical supply to the product at either 240 volts ±1 percent, or 120 volts ±1 percent, according to the manufacturer's instructions. Maintain the electrical supply voltage waveform specified in Section 4, Paragraph 4.3.2 of IEC 62301 (Second Edition), disregarding the provisions regarding batteries and the determination, classification, and testing of relevant modes. If the power measuring instrument used for testing is unable to measure and record the total harmonic content during the test measurement period, total harmonic content may be measured and recorded immediately before and after the test measurement period.

2.2.1.2 *Supply frequency.* Maintain the electrical supply frequency for all tests at 60 hertz ±1 percent.

2.2.2 *Gas supply.*

2.2.2.1 *Natural gas.* Maintain the natural gas pressure immediately ahead of all controls of the unit under test at 7 to 10 inches of water column, except as specified in section 3.1.3 of this appendix. The natural gas supplied should have a higher heating value (dry-basis) of approximately 1,025 Btu per standard cubic foot. Obtain the higher heating value on a dry basis of gas, H_n, in Btu per standard cubic foot, for the natural gas to be used in the test either from measurements made by the manufacturer conducting the test using equipment that meets the requirements described in section 2.7.2.2 of this appendix or by the use of bottled natural gas whose gross heating value is certified to be at least as accurate a value that meets the requirements in section 2.7.2.2 of this appendix.

2.2.2.2 *Propane.* Maintain the propane pressure immediately ahead of all controls of the unit under test at 11 to 13 inches of water column, except as specified in section 3.1.3 of this appendix. The propane supplied should have a higher heating value (dry-basis) of approximately 2,500 Btu per standard cubic foot. Obtain the higher heating value on a dry basis of gas, H_p, in Btu per standard cubic foot, for the propane to be used in the test either from measurements made by the manufacturer conducting the test using equipment that meets the requirements described in section 2.7.2.2 of this appendix, or by the use of bottled propane whose gross heating value is certified to be at least as accurate a value that meets the requirements described in section 2.7.2.2 of this appendix.

2.3 *Air circulation.* Maintain air circulation in the room sufficient to secure a reasonably uniform temperature distribution, but do not cause a direct draft on the unit under test.

2.4 *Ambient room test conditions.*

2.4.1 *Active mode ambient conditions.* During active mode testing, maintain the ambient room air pressure specified in Section 5.1 of IEC 60350–2, and maintain the ambient room air temperature at 25 ± 5 °C with a target temperature of 25 °C.

2.4.2 *Standby mode and off mode ambient conditions.* During standby mode and off mode testing, maintain the ambient room air temperature conditions specified in Section 4, Paragraph 4.2 of IEC 62301 (Second Edition).

2.5 *Product temperature.*

2.5.1 *Product temperature stability.* Prior to any testing, the product must achieve a stable temperature meeting the ambient room air temperature specified in section 2.4 of this appendix. For all conventional cooking tops, forced cooling may be used to assist in reducing the temperature of the product between tests, as specified in Section 5.5 of IEC

60350–2. Forced cooling must not be used during the period of time used to assess temperature stability.

2.5.2 *Product temperature measurement.* Measure the product temperature in degrees Celsius using the equipment specified in section 2.7.3.3 of this appendix at the following locations.

2.5.2.1 Measure the product temperature at the center of the cooking zone under test for any gas burner adjustment in section 3.1.3 of this appendix and per-cooking zone energy consumption test in section 3.1.4 of this appendix, except that the product temperature measurement is not required for any potential simmering setting pre-selection test in section 3.1.4.3 of this appendix. For a conventional gas cooking top, measure the product temperature inside the burner body of the cooking zone under test, after temporarily removing any burner cap on that cooking zone.

2.5.2.2 Measure the temperature at the center of each cooking zone for the standby mode and off mode power test in section 3.2 of this appendix. For a conventional gas cooking top, measure the temperature inside the burner body of each cooking zone, after temporarily removing any burner cap on that cooking zone. Calculate the product temperature as the average of the temperatures at the center of each cooking zone.

2.6 *Test loads.*

2.6.1 *Test vessels.* The test vessel for active mode testing of each cooking zone must meet the specifications in Section 5.6.1 and Annex B of IEC 60350–2.

2.6.2 *Water load.* The water used to fill the test vessels for active mode testing must meet the specifications in Section 7.5.1 of IEC 60350–2. The water temperature at the start of each test, except for the gas burner adjustment in section 3.1.3 of this appendix and the potential simmering setting pre-selection test in section 3.1.4.3 of this appendix, must have an initial temperature equal to 25 ± 0.5 °C.

2.7 *Instrumentation.* Perform all test measurements using the following instruments, as appropriate:

2.7.1 *Electrical measurements.*

2.7.1.1 *Active mode watt-hour meter.* The watt-hour meter for measuring the active mode electrical energy consumption must have a resolution as specified in Table 1 of Section 5.3 of IEC 60350–2. Measurements shall be made as specified in Table 2 of Section 5.3 of IEC 60350–2.

2.7.1.2 *Standby mode and off mode watt meter.* The watt meter used to measure standby mode and off mode power must meet the specifications in Section 4, Paragraph 4.4 of IEC 62301 (Second Edition). If the power measuring instrument used for testing is unable to measure and record the crest factor, power factor, or maximum current ratio during the test measurement period, measure the crest factor, power factor, and maximum current ratio immediately before and after the test measurement period to determine whether these characteristics meet the specifications in Section 4, Paragraph 4.4 of IEC 62301 (Second Edition).

2.7.2 *Gas measurements.*

2.7.2.1 *Gas meter.* The gas meter used for measuring gas consumption must have a resolution of 0.01 cubic foot or less and a maximum error no greater than 1 percent of the measured valued for any demand greater than 2.2 cubic feet per hour.

2.7.2.2 *Standard continuous flow calorimeter.* The maximum error of the basic calorimeter must be no greater than 0.2 percent of the actual heating value of the gas used in the test. The indicator readout must have a maximum error no greater than 0.5 percent of the measured value within the operating range and a resolution of 0.2 percent of the full-scale reading of the indicator instrument.

2.7.2.3 *Gas line temperature.* The incoming gas temperature must be measured at the gas meter. The instrument for measuring the gas line temperature shall have a maximum error no greater than ±2 °F over the operating range.

2.7.2.4 *Gas line pressure.* The incoming gas pressure must be measured at the gas meter. The instrument for measuring the gas line pressure must have a maximum error no greater than 0.1 inches of water column.

2.7.3 *Temperature measurements.*

2.7.3.1 *Active mode ambient room temperature.* The room temperature indicating system must meet the specifications in Table 1 of Section 5.3 of IEC 60350–2. Measurements shall be made as specified in Table 2 of Section 5.3 of IEC 60350–2.

2.7.3.2 *Standby mode and off mode ambient room temperature.* The room temperature indicating system must have an error no greater than ±1 °F (±0.6 °C) over the range 65° to 90 °F (18 °C to 32 °C).

2.7.3.3 *Product temperature.* The temperature indicating system must have an error no greater than ±1 °F (±0.6 °C) over the range 65° to 90 °F (18 °C to 32 °C). Measurements shall be made as specified in Table 2 of Section 5.3 of IEC 60350–2.

2.7.3.4 *Water temperature.* Measure the test vessel water temperature with a thermocouple that meets the specifications in Table 1 of Section 5.3 of IEC 60350–2. Measurements shall be made as specified in Table 2 of Section 5.3 of IEC 60350–2.

2.7.4 *Room air pressure.* The room air pressure indicating system must meet the specifications in Table 1 of Section 5.3 of IEC 60350–2.

2.7.5 *Water mass.* The scale used to measure the mass of the water load must meet the specifications in Table 1 of Section 5.3 of IEC 60350–2.

2.8 *Power settings.*

2.8.1 On a multi-ring cooking zone on a conventional gas cooking top, all power settings are considered, whether they ignite all rings of orifices or not.

2.8.2 On a multi-ring cooking zone on a conventional electric cooking top, only power settings corresponding to the concentric heating element with the largest diameter are considered, which may correspond to operation with one or more of the smaller concentric heating elements energized.

2.8.3 On a cooking zone with infinite power settings where the available range of rotation from maximum to minimum is more than 150 rotational degrees, evaluate power settings that are spaced by 10 rotational degrees. On a cooking zone with infinite power settings where the available range of rotation from maximum to minimum is less than or equal to 150 rotational degrees, evaluate power settings that are spaced by 5 rotational degrees, starting with the first position that meets the definition of a power setting, irrespective of how the knob is labeled. Polar coordinate paper, as provided in Annex B of IEC 60350–2 may be used to mark power settings.

3. Test Methods and Measurements

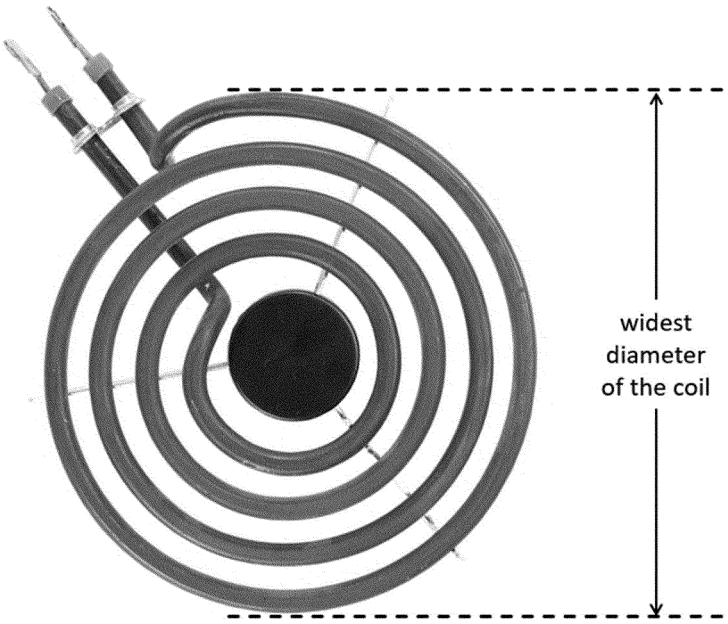
3.1 *Active mode.* Perform the following test methods for conventional cooking tops and the conventional cooking top component of a combined cooking product.

3.1.1 *Test vessel and water load selection.*

3.1.1.1 *Conventional electric cooking tops.*

3.1.1.1.1 For cooking zones, measure the size of each cooking zone as specified in Section 6.3.2 of IEC 60350–2, not including any specialty cooking zones as defined in section 1 of this appendix. For circular cooking zones on smooth cooking tops, the cooking zone size is determined using the outer diameter of the printed marking, as specified in Section 6.3 of IEC 60350–2. For open coil cooking zones, the cooking zone size is determined using the widest diameter of the coil, see Figure 3.1.1.1. For non-circular cooking zones, the cooking zone size is determined by the measurement of the shorter side or minor axis. For cooking areas, determine the number of cooking zones as specified in Section 6.3.1 of IEC 60350–2.

Figure 3.1.1.1 Evaluation of the Size of a Coil Cooking Zone



3.1.1.1.2 Determine the test vessel diameter in millimeters (mm) and water load mass in grams (g) for each measured cooking zone. For cooking zones, test vessel selection is based on cooking zone size as specified in Table 3 in Section 5.6.1.5 of IEC 60350–2. For cooking areas, test vessel selection is based on the number of cooking zones as specified in Annex A of IEC 60350–2. If a selected test vessel (including its lid) cannot be centered on the cooking zone due to interference with a structural component of the cooking top, the test vessel with the largest diameter that can be centered on the cooking zone shall be used. The allowable tolerance on the water load weight is ±0.5 g.

3.1.1.2 *Conventional gas cooking tops.*

3.1.1.2.1 Record the nominal heat input rate for each cooking zone, not including any specialty cooking zones as defined in section 1 of this appendix.

3.1.1.2.2 Determine the test vessel diameter in mm and water load mass in g for each measured cooking zone according to Table 3.1 of this appendix. If a selected test vessel cannot be centered on the cooking zone due to interference with a structural component of the cooking top, the test vessel with the largest diameter that can be centered on the cooking zone shall be used. The allowable tolerance on the water load weight is ±0.5 g.

TABLE 3.1—TEST VESSEL SELECTION FOR CONVENTIONAL GAS COOKING TOPS

Nominal gas burner input rate (Btu/h)		Test vessel diameter (mm)	Water load mass (g)
Minimum (>)	Maximum (≤)		
	5,600	210	2,050
5,600	8,050	240	2,700
8,050	14,300	270	3,420
14,300	.....	300	4,240

3.1.2 *Unit Preparation.* Before the first measurement is taken, all cooking zones must be operated simultaneously for at least 10 minutes at maximum power. This step shall be conducted once per product.

3.1.3 *Gas burner adjustment.* Prior to active mode testing of each tested burner of a conventional gas cooking top, the burner heat input rate must be adjusted, if necessary, to within 2 percent of the nominal heat input rate of the burner as specified by the manufacturer. Prior to ignition and any adjustment of the burner heat input rate, the conventional cooking top must achieve the product temperature specified in section 2.5 of this appendix. Ignite and operate the gas burner under test with the test vessel and water mass specified in section 3.1.1 of this appendix. Measure the heat input rate of the gas burner under test starting 5 minutes after ignition. If the measured input rate of the gas burner under test is within 2 percent of the nominal heat input rate of the burner as specified by the manufacturer, no adjustment of the heat input rate shall be made.

3.1.3.1 *Conventional gas cooking tops with an adjustable internal pressure regulator.* If the measured heat input rate of the burner under test is not within 2 percent of the nominal heat input rate of the burner as specified by the manufacturer, adjust the product's internal pressure regulator such that the heat input rate of the burner under test is within 2 percent of the nominal heat input rate of the burner as specified by the manufacturer. Adjust the burner with sufficient air flow to prevent a yellow flame or a flame with yellow tips. Complete section 3.1.4 of this appendix while maintaining the same gas pressure regulator adjustment.

3.1.3.2 *Conventional gas cooking tops with a non-adjustable internal pressure regulator or without an internal pressure regulator.* If the measured heat input rate of the burner under test is not within 2 percent of the nominal heat input rate of the burner as specified by the manufacturer, remove the product's internal pressure regulator, or block it in the open position, and initially maintain the gas pressure ahead of all controls of the unit under test approximately equal to the manufacturer's recommended manifold pressure. Adjust the gas supply pressure such that the heat input rate of the burner under test is within 2 percent of the nominal heat input rate of the burner as specified by the manufacturer. Adjust the burner with sufficient air flow to prevent a yellow flame or a flame with yellow tips. Complete section 3.1.4 of this appendix while maintaining the same gas pressure regulator adjustment.

3.1.4 *Per-cooking zone energy consumption test.* Establish the test conditions set forth in section 2 of this appendix. Turn off the gas flow to the conventional oven(s), if so equipped. The product temperature must meet the specifications in section 2.5 of this appendix.

3.1.4.1 *Test vessel placement.* Position the test vessel with water load for the cooking zone under test, selected and prepared as specified in section 3.1.1 of this appendix, in the center of the cooking zone, and as specified in Annex C to IEC 60350–2.

3.1.4.2 *Overshoot test.* Use the test methods set forth in Section 7.5.2.1 of IEC 60350–2 to determine the target turndown temperature for each cooking zone, Tc_{target}, in degrees Celsius, as follows.

$Tc_{target} = 93\ °C - (T_{max} - T_{70})$

Where:

T_{max} is highest recorded temperature value, in degrees Celsius; and

T_{70} is the average recorded temperature between the time 10 seconds before the power is turned off and the time 10 seconds after the power is turned off.

If T_{70} is within the tolerance of 70 ± 0.5 °C, the target turndown temperature is the highest of 80 °C and the calculated Tc_{target}, rounded to the nearest integer. If T_{70} is outside of the tolerance, the overshoot test is considered invalid and must be repeated after allowing the product to return to ambient conditions.

3.1.4.3 *Potential simmering setting pre-selection test.* The potential simmering setting for each cooking zone may be determined using the potential simmering setting pre-selecting test. If a potential simmering setting is already known, it may be used instead of completing sections 3.1.4.3.1 through 3.1.4.3.4 of this appendix.

3.1.4.3.1 Use the test vessel with water load for the cooking zone under test, selected, prepared, and positioned as specified in sections 3.1.1 and 3.1.4.1 of this appendix. The temperature of the conventional cooking top is not required to meet the specification for the product temperature in section 2.5 of this appendix for the potential simmering setting pre-selection test. Operate the cooking zone under test with the lowest available power setting. Measure the energy consumption for 10 minutes ±2 seconds.

3.1.4.3.2 Calculate the power density of the power setting, j, on a conventional electric cooking top, Qe_j, in watts per square centimeter, as:

$$Qe_j = \frac{6 \times E_j}{a}$$

Where:

a = the surface area of the test vessel bottom, in square centimeters; and

E_j = the electrical energy consumption during the 10-minute test, in Wh.

3.1.4.3.3 Calculate the power density of the power setting, j, on a conventional gas cooking top, Qg_j, in Btu/h per square centimeter, as:

$$Qg_j = \frac{6 \times \left(V_j \times CF \times H + Ee_j \times K_e\right)}{a}$$

Where:

a = the surface area of the test vessel bottom, in square centimeters;

V_j = the volume of gas consumed during the 10-minute test, in cubic feet;

CF = the gas correction factor to standard temperature and pressure, as calculated in section 4.1.1.2.1 of this appendix;

H = either H_n or H_p, the heating value of the gas used in the test as specified in sections 2.2.2.1 and 2.2.2.2 of this appendix, in Btu per standard cubic foot of gas;

Ee_j = the electrical energy consumption of the conventional gas cooking top during the 10-minute test, in Wh; and

K_e = 3.412 Btu/Wh, conversion factor of watt-hours to Btu.

3.1.4.3.4 Repeat the measurement for each successively higher power setting until Qe_j exceeds 0.8 W/cm² for conventional electric cooking tops or Qg_j exceeds 4.0 Btu/h·cm² for conventional gas cooking tops.

For conventional cooking tops with rotating knobs for selecting the power setting, the selection knob shall be turned to the maximum power setting in between each test, to avoid hysteresis. The selection knob shall be turned in the direction from higher power to lower power to select the power setting for the test. If the appropriate power setting is passed, the selection knob shall be turned to the maximum power setting again before repeating the power setting selection.

Of the last two power settings tested, the potential simmering setting is the power setting that produces a power density closest to 0.8 W/cm² for conventional electric cooking tops or 4.0 Btu/h·cm² for conventional gas cooking tops. The closest power density may be higher or lower than the applicable threshold value.

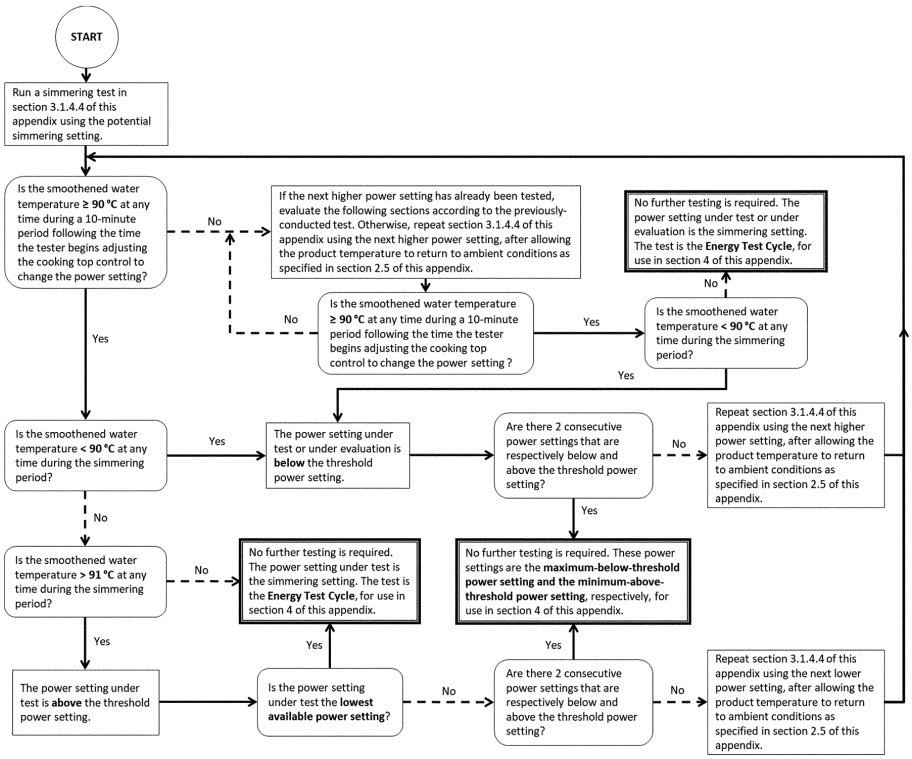
3.1.4.4 *Simmering test.* The product temperature must meet the specifications in section 2.5 of this appendix at the start of each simmering test. For each cooking zone, conduct the test method specified in Section 7.5.2 of IEC 60350–2, using the potential simmering setting identified in section 3.1.4.3 of this appendix for the initial simmering setting used in Section 7.5.2.2 of IEC 60350–2.

For conventional cooking tops with rotating knobs for selecting the power setting, the selection knob shall be turned in the direction from higher power to lower power to

select the potential simmering setting for the test, to avoid hysteresis. If the appropriate setting is passed, the test is considered invalid and must be repeated after allowing the product to return to ambient conditions.

3.1.4.5 *Evaluation of the simmering test.* Evaluate the test conducted under section 3.1.4.4 of this appendix as set forth in Section 7.5.4.1 of IEC 60350–2 according to Figure 3.1.4.5 of this appendix. If the measured turndown temperature, Tc, is not within –0.5 °C and +1 °C of the target turndown temperature, Tc_{target}, the test is considered invalid and must be repeated after allowing the product to return to ambient conditions.

Figure 3.1.4.5 Evaluation of the Simmering Test



3.2 *Standby mode and off mode power.* Establish the standby mode and off mode testing conditions set forth in section 2 of this appendix. For products that take some time to enter a stable state from a higher power state as discussed in Section 5, Paragraph 5.1, Note 1 of IEC 62301 (Second Edition), allow sufficient time for the product to reach the lower power state before proceeding with the test measurement. Follow the test procedure as specified in Section 5, Paragraph 5.3.2 of IEC 62301 (Second Edition) for testing in each possible mode as described in sections 3.2.1 and 3.2.2 of this appendix. For units in which power varies as a function of displayed time in standby mode, set the clock time to 3:23 at the end of an initial stabilization period, as specified in Section 5, Paragraph 5.3 of IEC 62301 (First Edition). After an additional 10-minute stabilization period, measure the power use for a single test period of 10 minutes +0/−2 seconds that starts when the clock time first reads 3:33. Use the average power approach described in Section 5, Paragraph 5.3.2(a) of IEC 62301 (First Edition).

3.2.1 If the product has an inactive mode, as defined in section 1 of this appendix, measure the average inactive mode power, P_{IA}, in watts.

3.2.2 If the product has an off mode, as defined in section 1 of this appendix, measure the average off mode power, P_{OM}, in watts.

3.3 *Recorded values.*

3.3.1 *Active mode.*

3.3.1.1 For a conventional gas cooking top tested with natural gas, record the natural gas higher heating value in Btu per standard cubic foot, H_n, as determined in section 2.2.2.1 of this appendix for the natural gas supply, for each test. For a conventional gas cooking top tested with propane, record the propane higher heating value in Btu per standard cubic foot, H_p, as determined in section 2.2.2.2 of this appendix for the propane supply, for each test.

3.3.1.2 Record the test room temperature in degrees Celsius and relative air pressure in hectopascals (hPa) during each test.

3.3.1.3 *Per-cooking zone energy consumption test.*

3.3.1.3.1 Record the product temperature in degrees Celsius, T_P, prior to the start of each overshoot test or simmering test, as determined in section 2.5 of this appendix.

3.3.1.3.2 *Overshoot test.* For each cooking zone, record the initial temperature of the water in degrees Celsius, $T_{i\geq}$ the average water temperature between the time 10 seconds before the power is turned off and the time 10 seconds after the power is turned off in degrees Celsius, T_{70}; the highest recorded water temperature in degrees Celsius, T_{max}; and the target turndown temperature in degrees Celsius, Tc_{target}.

3.3.1.3.3 *Simmering test.* For each cooking zone, record the temperature of the water throughout the test, in degrees Celsius, and the values in sections 3.3.1.3.3.1 through 3.3.1.3.3.7 of this appendix for the Energy Test Cycle, if an Energy Test Cycle is measured in section 3.1.4.5 of this appendix, otherwise for both the maximum-below-threshold power setting and the minimum-above-threshold power setting. Because t_{90} may not be known until completion of the simmering test, water temperature, any electrical energy consumption, and any gas volumetric consumption measurements may be recorded for several minutes after the end of the simmering period to ensure that the full simmering period is recorded.

3.3.1.3.3.1 The power setting under test.

3.3.1.3.3.2 The initial temperature of the water, in degrees Celsius, T_i.

3.3.1.3.3.3 The time at which the tester begins adjusting the cooking top control to change the power setting, to the nearest second, t_c and the turndown temperature, in degrees Celsius, Tc.

3.3.1.3.3.4 The time at which the simmering period starts, to the nearest second, t_{90}.

3.3.1.3.3.5 The time at which the simmering period ends, to the nearest second, t_S and the smoothened water temperature at the end of the simmering period, in degrees Celsius, T_S.

3.3.1.3.3.6 For a conventional electric cooking top, the electrical energy consumption from the start of the test to t_S, E, in watt-hours.

3.3.1.3.3.7 For a conventional gas cooking top, the volume of gas consumed from the start of the test to t_S, V, in cubic feet of gas; and any electrical energy consumption of the cooking top from the start of the test to t_S, E_e, in watt-hours.

3.3.2 *Standby mode and off mode.* Make measurements as specified in section 3.2 of this appendix. If the product is capable of operating in inactive mode, as defined in section 1 of this appendix, record the average inactive mode power, P_{IA}, in watts as specified in section 3.2.1 of this appendix. If the product is capable of operating in off mode, as defined in section 1 of this appendix, record the average off mode power, P_{OM}, in watts as specified in section 3.2.2 of this appendix.

4. Calculation of Derived Results From Test Measurements

4.1. Active mode energy consumption of conventional cooking tops and any conventional cooking top component of a combined cooking product.

4.1.1 Per-cycle active mode energy consumption of a conventional cooking top and any conventional cooking top component of a combined cooking product.

4.1.1.1 Conventional electric cooking top per-cycle active mode energy consumption.

4.1.1.1.1 Conventional electric cooking top per-cooking zone normalized active mode energy consumption. For each cooking zone, calculate the per-cooking zone normalized active mode energy consumption of a conventional electric cooking top, E, in watt-hours, using the following equation:

$E = E_{ETC}$

for cooking zones where an Energy Test Cycle was measured in section 3.1.4.5 of this appendix, and

$$E = E_{MAT} - \frac{E_{MAT} - E_{MBT}}{T_{S,MAT} - T_{S,MBT}} \times (T_{S,MAT} - 90)$$

for cooking zones where a minimum-above-threshold cycle and a maximum-below-threshold cycle were measured in section 3.1.4.5 of this appendix.

Where:

E_{ETC} = the electrical energy consumption of the Energy Test Cycle from the start of the test to the end of the test for the cooking zone, as determined in section 3.1.4.5 of this appendix, in watt-hours;

E_{MAT} = the electrical energy consumption of the minimum-above-threshold power setting from the start of the test to the end of the test for the cooking zone, as determined in section 3.1.4.5 of this appendix, in watt-hours;

E_{MBT} = the electrical energy consumption of the maximum-below-threshold power setting from the start of the test to the end of the test for the cooking zone, as determined in section 3.1.4.5 of this appendix, in watt-hours;

$T_{S,MAT}$ = the smoothened water temperature at the end of the minimum-above-threshold power setting test for the cooking zone, in degrees Celsius; and

$T_{S,MBT}$ = the smoothened water temperature at the end of the maximum-below-threshold power setting test for the cooking zone, in degrees Celsius.

4.1.1.1.2 Calculate the per-cycle active mode total energy consumption of a conventional electric cooking top, E_{CET}, in watt-hours, using the following equation:

$$E_{CET} = \frac{2853g}{n} \times \sum_{z=1}^{n} \frac{E_z}{m_z}$$

Where:

n = the total number of cooking zones tested on the conventional cooking top;

E_z = the normalized energy consumption representative of the Energy Test Cycle for each cooking zone, as calculated in section 4.1.1.1.1 of this appendix, in watt-hours;

m_z is the mass of water used for each cooking zone, in grams; and

2853 = the representative water load mass, in grams.

4.1.1.2 Conventional gas cooking top per-cycle active mode energy consumption.

4.1.1.2.1 Gas correction factor to standard temperature and pressure. Calculate the gas correction factor to standard temperature and pressure, which converts between standard cubic feet and measured cubic feet of gas for a given set of test conditions:

$$CF = \frac{(P_{gas} \times 0.0361) + P_{atm}}{P_{base}} \times \frac{T_{base}}{(T_{gas} + T_k)}$$

Where:

P_{gas} = the measured line gas gauge pressure, in inches of water column;

0.0361= the conversion factor from inches of water column to pounds per square inch;

P_{atm} = the measured atmospheric pressure, in pounds per square inch;

P_{base} = 14.73 pounds per square inch, the standard sea level air pressure;

T_{base} = 519.67 degrees Rankine (or 288.7 Kelvin);

T_{gas} = the measured line gas temperature, in degrees Fahrenheit (or degrees Celsius); and

T_k = the adder converting from degrees Fahrenheit to degrees Rankine, 459.7 (or from degrees Celsius to Kelvin, 273.16).

4.1.1.2.2 Conventional gas cooking top per-cooking zone normalized active mode gas energy consumption. For each cooking zone, calculate the per-cooking zone normalized active mode gas energy consumption of a conventional gas cooking top, E_g, in Btu, using the following equation:

$E_g = E_{gt,ETC}$

for cooking zones where an Energy Test Cycle was measured in section 3.1.4.5 of this appendix, and

$$E_g = E_{gt,MAT} - \frac{E_{gt,MAT} - E_{gt,MBT}}{T_{S,MAT} - T_{S,MBT}} \times (T_{S,MAT} - 90)$$

for cooking zones where a minimum-above-threshold cycle and a maximum-below-threshold cycle were measured in section 3.1.4.5 of this appendix.

Where:

$E_{gt,ETC}$ = the as-tested gas energy consumption of the Energy Test Cycle for the cooking zone, in Btu, calculated as the product of: V, the gas consumption of the Energy Test Cycle, as determined in section 3.1.4.5 of this appendix, in cubic feet; CF, the gas correction factor to standard temperature and pressure for the test, as calculated in section 4.1.1.2.1 of this appendix; and H, either H_n or H_p, the heating value of the gas used in the test as specified in sections 2.2.2.1 and 2.2.2.2 of this appendix, expressed in Btu per standard cubic foot of gas;

$E_{gt,MAT}$ = the as-tested gas energy consumption of the minimum-above-threshold power setting for the cooking zone, in Btu, calculated as the product of: V, the gas consumption of the minimum-above-threshold power setting, as determined in section 3.1.4.5 of this appendix, in cubic feet; CF, the gas correction factor to standard temperature and pressure for the test, as calculated in section 4.1.1.2.1 of this appendix; and H, either H_n or H_p, the heating value of the gas used in the test as specified in sections 2.2.2.1 and 2.2.2.2 of this appendix, expressed in Btu per standard cubic foot of gas;

$E_{gt,MBT}$ = the as-tested gas energy consumption of the maximum-below-threshold power setting for the cooking zone, in Btu, calculated as the product of: V, the gas consumption of the maximum-below-threshold power setting, as determined in section 3.1.4.5 of this appendix, in cubic feet; CF, the gas correction factor to standard temperature and pressure for the test, as calculated in section 4.1.1.2.1 of this appendix; and H, either H_n or H_p, the heating value of the gas used in the test as specified in sections 2.2.2.1 and 2.2.2.2 of this appendix, expressed in Btu per standard cubic foot of gas;

$T_{S,MAT}$ = the smoothened water temperature at the end of the minimum-above-threshold power setting test for the cooking zone, in degrees Celsius; and

$T_{S,MBT}$ = the smoothened water temperature at the end of the maximum-below-threshold power setting test for the cooking zone, in degrees Celsius.

4.1.1.2.3 Conventional gas cooking top per-cooking zone active mode normalized electrical energy consumption. For each cooking zone, calculate the per-cooking zone normalized active mode electrical energy consumption of a conventional gas cooking top, E_e, in watt-hours, using the following equation:

$E_e = E_{e,ETC}$

for cooking zones where an Energy Test Cycle was measured in section 3.1.4.5 of this appendix, and

$$E_e = E_{e,MAT} - \frac{E_{e,MAT} - E_{e,MBT}}{T_{S,MAT} - T_{S,MBT}} \times (T_{S,MAT} - 90)$$

for cooking zones where a minimum-above-threshold cycle and a maximum-below-threshold cycle were measured in section 3.1.4.5 of this appendix.

Where:

$E_{e,ETC}$ = the electrical energy consumption of the Energy Test Cycle from the start of the test to the end of the test for the cooking zone, as determined in section 3.1.4.5 of this appendix, in watt-hours;

$E_{e,MAT}$ = the electrical energy consumption of the minimum-above-threshold power setting from the start of the test to the end of the test for the cooking zone, as determined in section 3.1.4.5 of this appendix, in watt-hours;

$E_{e,MBT}$ = the electrical energy consumption of the maximum-below-threshold power setting from the start of the test to the end of the test for the cooking zone, as determined in section 3.1.4.5 of this appendix, in watt-hours;

$T_{S,MAT}$ = the smoothened water temperature at the end of the minimum-above-threshold power setting test for the cooking zone, in degrees Celsius; and

$T_{S,MBT}$ = the smoothened water temperature at the end of the maximum-below-threshold power setting test for the cooking zone, in degrees Celsius.

4.1.1.2.4 Conventional gas cooking top per-cycle active mode gas energy consumption. Calculate the per-cycle active mode gas energy consumption of a conventional gas cooking top, E_{CGG}, in Btu, using the following equation:

$$E_{CGG} = \frac{2853g}{n} \times \sum_{z=1}^{n} \frac{E_{gz}}{m_z}$$

Where:

n, m_z, and 2853 are defined in section 4.1.1.1.2 of this appendix; and

E_{gz} = the normalized gas energy consumption representative of the Energy Test Cycle for each cooking zone, as calculated in section 4.1.1.2.2 of this appendix, in Btu.

4.1.1.2.5 Conventional gas cooking top per-cycle active mode electrical energy consumption. Calculate the per-cycle active mode electrical energy consumption of a conventional gas cooking top, E_{CGE}, in watt-hours, using the following equation:

$$E_{CGE} = \frac{2853g}{n} \times \sum_{z=1}^{n} \frac{E_{ez}}{m_z}$$

Where:

n, m_z, and 2853 are defined in section 4.1.1.1.2 of this appendix; and

E_{ez} = the normalized electrical energy consumption representative of the Energy Test Cycle for each cooking zone, as calculated in section 4.1.1.2.3 of this appendix, in watt-hours.

4.1.1.2.6 Conventional gas cooking top per-cycle active-mode total energy consumption. Calculate the per-cycle active mode total energy consumption of a conventional gas cooking top, E_{CGT}, in Btu, using the following equation:

$E_{CGT} = E_{CGG} + (E_{CGE} \times K_e)$

Where:

E_{CGG} = the per-cycle active mode gas energy consumption of a conventional gas cooking top as determined in section 4.1.1.2.4 of this appendix, in Btu;

E_{CGE} = the per-cycle active mode electrical energy consumption of a conventional gas cooking top as determined in section 4.1.1.2.5 of this appendix, in watt-hours; and

K_e = 3.412 Btu/Wh, conversion factor of watt-hours to Btu.

4.1.2 Annual active mode energy consumption of a conventional cooking top and any conventional cooking top component of a combined cooking product.

4.1.2.1 Conventional electric cooking top annual active mode energy consumption. Calculate the annual active mode total energy consumption of a conventional electric cooking top, E_{AET}, in kilowatt-hours per year, using the following equation:

$E_{AET} = E_{CET} \times K \times N_C$

Where:

E_{CET} = the conventional electric cooking top per-cycle active mode total energy consumption, as determined in section 4.1.1.1.2 of this appendix, in watt-hours;

K = 0.001 kWh/Wh conversion factor for watt-hours to kilowatt-hours; and

N_C = 418 cooking cycles per year, the average number of cooking cycles per year normalized for duration of a cooking event estimated for conventional cooking tops.

4.1.2.2 Conventional gas cooking top annual active mode energy consumption.

4.1.2.2.1 Conventional gas cooking top annual active mode gas energy consumption. Calculate the annual active mode gas energy consumption of a conventional gas cooking top, E_{AGG}, in kBtu per year, using the following equation:

$E_{AGG} = E_{CGG} \times K \times N_C$

Where:

K and N_C are defined in section 4.1.2.1 of this appendix; and

E_{CGG} = the conventional gas cooking top per-cycle active mode gas energy consumption, as determined in section 4.1.1.2.4 of this appendix, in Btu.

4.1.2.2.2 Conventional gas cooking top annual active mode electrical energy consumption. Calculate the annual active mode electrical energy consumption of a conventional gas cooking top, E_{AGE}, in kilowatt-hours per year, using the following equation:

$E_{AGE} = E_{CGE} \times K \times N_C$

Where:

K and N_C are defined in section 4.1.2.1 of this appendix; and

E_{CGE} = the conventional gas cooking top per-cycle active mode electrical energy consumption, as determined in section 4.1.1.2.5 of this appendix, in watt-hours.

4.1.2.2.3 Conventional gas cooking top annual active mode total energy consumption. Calculate the annual active mode total energy consumption of a conventional gas cooking top, E_{AGT}, in kBtu per year, using the following equation:

$E_{AGT} = E_{AGG} + (E_{AGE} \times K_e)$

Where:

E_{AGG} = the conventional gas cooking top annual active mode gas energy consumption as determined in section 4.1.2.2.1 of this appendix, in kBtu per year;

E_{AGE} = the conventional gas cooking top annual active mode electrical energy consumption as determined in section 4.1.2.2.2 of this appendix, in kilowatt-hours per year; and

K_e is defined in section 4.1.1.2.6 of this appendix.

4.2 Annual combined low-power mode energy consumption of a conventional cooking top and any conventional cooking top component of a combined cooking product.

4.2.1 Conventional cooking top annual combined low-power mode energy consumption. Calculate the annual combined low-power mode energy consumption for a conventional cooking top, E_{TLP}, in kilowatt-hours per year, using the following equation:

$$E_{TLP} = [(P_{IA} \times F_{IA}) + (P_{OM} \times F_{OM})] \times K \times S_T$$

Where:

P_{IA} = inactive mode power, in watts, as measured in section 3.2.1 of this appendix;

P_{OM} = off mode power, in watts, as measured in section 3.2.2 of this appendix;

F_{IA} and F_{OM} are the portion of annual hours spent in inactive mode and off mode hours respectively, as defined in Table 4.2.1 of this appendix;

K = 0.001 kWh/Wh conversion factor for watt-hours to kilowatt-hours; and

S_T = 8,544, total number of inactive mode and off mode hours per year for a conventional cooking top.

TABLE 4.2.1—ANNUAL HOUR MULTIPLIERS

Types of low-power mode(s) available	F_{IA}	F_{OM}
Both inactive and off mode	0.5	0.5
Inactive mode only	1	0
Off mode only	0	1

4.2.2 Conventional cooking top component of a combined cooking product annual combined low-power mode energy consumption. Calculate the annual combined low-power mode energy consumption for the conventional cooking top component of a combined cooking product, E_{TLP}, in kilowatt-hours per year, using the following equation:

$$E_{TLP} = [(P_{IA} \times F_{IA}) + (P_{OM} \times F_{OM})] \times K \times S_{TOT} \times H_C$$

Where:

P_{IA}, P_{OM}, F_{IA}, F_{OM}, and K are defined in section 4.2.1 of this appendix;

S_{TOT} = the total number of inactive mode and off mode hours per year for a combined cooking product, as defined in Table 4.2.2 of this appendix; and

H_C = the percentage of hours per year assigned to the conventional cooking top component of a combined cooking product, as defined in Table 4.2.2 of this appendix.

TABLE 4.2.2—COMBINED COOKING PRODUCT USAGE FACTORS

Type of combined cooking product	S_{TOT}	H_C
Cooking top and conventional oven (conventional range)	8,392	60
Cooking top and microwave oven	8,481	77
Cooking top, conventional oven, and microwave oven	8,329	51

4.3 Integrated annual energy consumption of a conventional cooking top and any conventional cooking top component of a combined cooking product.

4.3.1 Conventional electric cooking top integrated annual energy consumption. Calculate the integrated annual energy consumption, IAEC, of a conventional electric cooking top, in kilowatt-hours per year, using the following equation:

$$IAEC = E_{AET} + E_{TLP}$$

Where:

E_{AET} = the conventional electric cooking top annual active mode energy consumption, as determined in section 4.1.2.1 of this appendix; and

E_{TLP} = the annual combined low-power mode energy consumption of a conventional cooking top or any conventional cooking top component of a combined cooking product, as determined in section 4.2 of this appendix.

4.3.2 Conventional gas cooking top integrated annual energy consumption. Calculate the integrated annual energy consumption, IAEC, of a conventional gas cooking top, in kBtu per year, defined as:

$$IAEC = E_{AGT} + (E_{TLP} \times K_e)$$

Where:

E_{AGT} = the conventional gas cooking top annual active mode total energy consumption, as determined in section 4.1.2.2.3 of this appendix;

E_{TLP} = the annual combined low-power mode energy consumption of a conventional cooking top or any conventional cooking top component of a combined cooking product, as determined in section 4.2 of this appendix; and

K_e is defined in section 4.1.1.2.6 of this appendix.

[87 FR 51538, Aug. 22, 2022, as amended at 88 FR 7847, Feb. 7, 2023]

APPENDIX J TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF AUTOMATIC AND SEMI-AUTOMATIC CLOTHES WASHERS

NOTE 1 TO APPENDIX J TO SUBPART B OF PART 430: Manufacturers must use the results of testing under appendix J2 to this subpart to determine compliance with the residential clothes washer standards provided at §430.32(g)(1) and the commercial clothes washer standards provided at §431.156(b).

Manufacturers must use the results of testing under this appendix to determine compliance with the residential clothes washer standards provided at §430.32(g)(2) and for any amended commercial clothes washer standards provided at §431.156 that are published after January 1, 2022.

Any representations related to energy or water consumption of residential or commercial clothes washers must be made in accordance with the appropriate appendix that applies (*i.e.*, this appendix or appendix J2 to this subpart) when determining compliance with the relevant standard. Manufacturers may also use this appendix to certify compliance with the residential clothes washer standards provided at §430.32(g)(2) or any amended standards for commercial clothes washers prior to the applicable compliance date for those standards.

0. Incorporation by Reference

DOE incorporated by reference in §430.3, the entire test standard for IEC 62301. However, only enumerated provisions of this standard are applicable to this appendix, as follows. In cases in which there is a conflict, the language of the test procedure in this appendix takes precedence over the referenced test standard.

0.1 IEC 62301:

(a) Section 4.2 as referenced in section 2.4 of this appendix;

(b) Section 4.3.2 as referenced in section 2.1.2 of this appendix;

(c) Section 4.4 as referenced in section 2.5.3 of this appendix;

(d) Section 5.1 as referenced in section 3.5.2 of this appendix;

(e) Section 5.2 as referenced in section 2.10.2 of this appendix; and

(f) Section 5.3.2 as referenced in section 3.5.3 of this appendix.

0.2 [Reserved]

1. Definitions

Active mode means a mode in which the clothes washer is connected to a mains power source, has been activated, and is performing one or more of the main functions of washing, soaking, tumbling, agitating, rinsing, and/or removing water from the clothing, or is involved in functions necessary for these main functions, such as admitting water into the washer or pumping water out of the washer. Active mode also includes delay start and cycle finished modes.

Active-mode energy efficiency ratio means the quotient of the weighted-average load size divided by the total clothes washer energy consumption per cycle, with such energy consumption expressed as the sum of the machine electrical energy consumption, the hot water energy consumption, and the energy required for removal of the remaining moisture in the wash load.

Active washing mode means a mode in which the clothes washer is performing any of the operations included in a complete cycle intended for washing a clothing load, including the main functions of washing, soaking, tumbling, agitating, rinsing, and/or removing water from the clothing.

Bone-dry means a condition of a load of test cloth that has been dried in a dryer at maximum temperature for a minimum of 10 minutes, removed and weighed before cool down, and then dried again for 10 minute periods until the final weight change of the load is 1 percent or less.

Clothes container means the compartment within the clothes washer that holds the clothes during the operation of the machine.

Cold rinse means the coldest rinse temperature available on the machine, as indicated to the user on the clothes washer control panel.

Combined low-power mode means the aggregate of available modes other than active washing mode, including inactive mode, off mode, delay start mode, and cycle finished mode.

Cycle finished mode means an active mode that provides continuous status display, intermittent tumbling, or air circulation following operation in active washing mode.

Delay start mode means an active mode in which activation of active washing mode is facilitated by a timer.

Energy efficiency ratio means the quotient of the weighted-average load size divided by the total clothes washer energy consumption per cycle, with such energy consumption expressed as the sum of:

(a) The machine electrical energy consumption;

(b) The hot water energy consumption;

(c) The energy required for removal of the remaining moisture in the wash load; and

(d) The combined low-power mode energy consumption.

Energy test cycle means the complete set of wash/rinse temperature selections required for testing, as determined according to section 2.12 of this appendix.

Fixed water fill control system means a clothes washer water fill control system that automatically terminates the fill when the water reaches a pre-defined level that is not based on the size or weight of the clothes

load placed in the clothes container, without allowing or requiring the user to determine or select the water fill level.

Inactive mode means a standby mode that facilitates the activation of active mode by remote switch (including remote control), internal sensor, or timer, or that provides continuous status display.

Load usage factor means the percentage of the total number of wash loads that a user would wash a particular size (weight) load.

Lot means a quantity of cloth that has been manufactured with the same batches of cotton and polyester during one continuous process.

Manual water fill control system means a clothes washer water fill control system that requires the user to determine or select the water fill level.

Non-user-adjustable adaptive water fill control system means a clothes washer water fill control system that is capable of automatically adjusting the water fill level based on the size or weight of the clothes load placed in the clothes container.

Normal cycle means the cycle recommended by the manufacturer (considering manufacturer instructions, control panel labeling, and other markings on the clothes washer) for normal, regular, or typical use for washing up to a full load of normally soiled cotton clothing. For machines where multiple cycle settings are recommended by the manufacturer for normal, regular, or typical use for washing up to a full load of normally soiled cotton clothing, then the Normal cycle is the cycle selection that results in the lowest EER or AEER value.

Off mode means a mode in which the clothes washer is connected to a mains power source and is not providing any active or standby mode function, and where the mode may persist for an indefinite time.

Standby mode means any mode in which the clothes washer is connected to a mains power source and offers one or more of the following user oriented or protective functions that may persist for an indefinite time:

(a) Facilitating the activation of other modes (including activation or deactivation of active mode) by remote switch (including remote control), internal sensor, or timer;

(b) Continuous functions, including information or status displays (including clocks) or sensor-based functions.

A timer is a continuous clock function (which may or may not be associated with a display) that provides regular scheduled tasks (*e.g.,* switching) and that operates on a continuous basis.

Temperature use factor means, for a particular wash/rinse temperature setting, the percentage of the total number of wash loads that an average user would wash with that setting.

User-adjustable adaptive water fill control system means a clothes washer fill control system that allows the user to adjust the amount of water that the machine provides, which is based on the size or weight of the clothes load placed in the clothes container.

Wash time means the wash portion of active washing mode, which begins when the cycle is initiated and includes the agitation or tumble time, which may be periodic or continuous during the wash portion of active washing mode.

Water efficiency ratio means the quotient of the weighted-average load size divided by the total weighted per-cycle water consumption for all wash cycles in gallons.

2. Testing Conditions and Instrumentation

2.1 *Electrical energy supply.*

2.1.1 *Supply voltage and frequency.* Maintain the electrical supply at the clothes washer terminal block within 2 percent of 120, 120/240, or 120/208Y volts as applicable to the particular terminal block wiring system and within 2 percent of the nameplate frequency as specified by the manufacturer. If the clothes washer has a dual voltage conversion capability, conduct test at the highest voltage specified by the manufacturer.

2.1.2 *Supply voltage waveform.* For the combined low-power mode testing, maintain the electrical supply voltage waveform indicated in Section 4, Paragraph 4.3.2 of IEC 62301. If the power measuring instrument used for testing is unable to measure and record the total harmonic content during the test measurement period, total harmonic content may be measured and recorded immediately before and after the test measurement period.

2.2 *Supply water.* Maintain the temperature of the hot water supply at the water inlets between 120 °F (48.9 °C) and 125 °F (51.7 °C), targeting the midpoint of the range. Maintain the temperature of the cold water supply at the water inlets between 55 °F (12.8 °C) and 60 °F (15.6 °C), targeting the midpoint of the range.

2.3 *Water pressure.* Maintain the static water pressure at the hot and cold water inlet connection of the clothes washer at 35 pounds per square inch gauge (psig) ± 2.5 psig (241.3 kPa ± 17.2 kPa) when the water is flowing.

2.4 *Test room temperature.* For all clothes washers, maintain the test room ambient air temperature at 75 ± 5 °F (23.9 ± 2.8 °C) for active mode testing and combined low-power mode testing. Do not use the test room ambient air temperature conditions specified in Section 4, Paragraph 4.2 of IEC 62301 for combined low-power mode testing.

2.5 *Instrumentation.* Perform all test measurements using the following instruments, as appropriate:

2.5.1 *Weighing scales.*

2.5.1.1 *Weighing scale for test cloth.* The scale used for weighing test cloth must have a resolution of no larger than 0.2 oz (5.7 g)

and a maximum error no greater than 0.3 percent of the measured value.

2.5.1.2 *Weighing scale for clothes container capacity measurement.* The scale used for performing the clothes container capacity measurement must have a resolution no larger than 0.50 lbs (0.23 kg) and a maximum error no greater than 0.5 percent of the measured value.

2.5.2 *Watt-hour meter.* The watt-hour meter used to measure electrical energy consumption must have a resolution no larger than 1 Wh (3.6 kJ) and a maximum error no greater than 2 percent of the measured value for any demand greater than 50 Wh (180.0 kJ).

2.5.3 *Watt meter.* The watt meter used to measure combined low-power mode power consumption must comply with the requirements specified in Section 4, Paragraph 4.4 of IEC 62301. If the power measuring instrument used for testing is unable to measure and record the crest factor, power factor, or maximum current ratio during the test measurement period, the crest factor, power factor, and maximum current ratio may be measured and recorded immediately before and after the test measurement period.

2.5.4 *Water and air temperature measuring devices.* The temperature devices used to measure water and air temperature must have an error no greater than ±1 °F (±0.6 °C) over the range being measured.

2.5.4.1 Non-reversible temperature indicator labels, adhered to the inside of the clothes container, may be used to confirm that an extra-hot wash temperature greater than or equal to 140 °F has been achieved during the wash cycle, under the following conditions. The label must remain waterproof, intact, and adhered to the wash drum throughout an entire wash cycle; provide consistent maximum temperature readings; and provide repeatable temperature indications sufficient to demonstrate that a wash temperature of greater than or equal to 140 °F has been achieved. The label must have been verified to consistently indicate temperature measurements with an accuracy of ±1 °F. If using a temperature indicator label to test a front-loading clothes washer, adhere the label along the interior surface of the clothes container drum, midway between the front and the back of the drum, adjacent to one of the baffles. If using a temperature indicator label to test a top-loading clothes washer, adhere the label along the interior surface of the clothes container drum, on the vertical portion of the sidewall, as close to the bottom of the container as possible.

2.5.4.2 Submersible temperature loggers placed inside the wash drum may be used to confirm that an extra-hot wash temperature greater than or equal to 140 °F has been achieved during the wash cycle, under the following conditions. The submersible temperature logger must have a time resolution of at least 1 data point every 5 seconds and a temperature measurement accuracy of ±1 °F. Due to the potential for a waterproof capsule to provide a thermal insulating effect, failure to measure a temperature of 140 °F does not necessarily indicate the lack of an extra-hot wash temperature. However, such a result would not be conclusive due to the lack of verification of the water temperature requirement, in which case an alternative method must be used to confirm that an extra-hot wash temperature greater than or equal to 140 °F has been achieved during the wash cycle.

2.5.5 *Water meter.* A water meter must be installed in both the hot and cold water lines to measure water flow and/or water consumption. The water meters must have a resolution no larger than 0.1 gallons (0.4 liters) and a maximum error no greater than 2 percent for the water flow rates being measured. If the volume of hot water for any individual cycle within the energy test cycle is less than 0.1 gallons (0.4 liters), the hot water meter must have a resolution no larger than 0.01 gallons (0.04 liters).

2.5.6 *Water pressure gauge.* A water pressure gauge must be installed in both the hot and cold water lines to measure water pressure. The water pressure gauges must have a resolution of 1 pound per square inch gauge (psig) (6.9 kPa) and a maximum error no greater than 5 percent of any measured value.

2.6 *Bone-dryer.* The dryer used for drying the cloth to bone-dry must heat the test cloth load above 210 °F (99 °C).

2.7 *Test cloths.* The test cloth material and dimensions must conform to the specifications in appendix J3 to this subpart. The energy test cloth and the energy stuffer cloths must be clean and must not be used for more than 60 test runs (after preconditioning as specified in section 5 of appendix J3 to this subpart). All energy test cloth must be permanently marked identifying the lot number of the material. Mixed lots of material must not be used for testing a clothes washer. The moisture absorption and retention must be evaluated for each new lot of test cloth using the standard extractor Remaining Moisture Content (RMC) procedure specified in appendix J3 to this subpart.

2.8 *Test Loads.*

2.8.1 *Test load sizes.* Create small and large test loads as defined in Table 5.1 of this appendix based on the clothes container capacity as measured in section 3.1 of this appendix. Record the bone-dry weight for each test load.

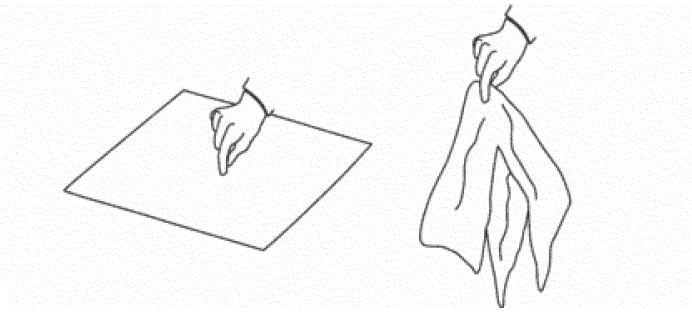
2.8.2 *Test load composition.* Test loads must consist primarily of energy test cloths and no more than five energy stuffer cloths per load to achieve the proper weight.

2.9 *Preparation and loading of test loads.* Use the following procedures to prepare and load each test load for testing in section 3 of this appendix.

2.9.1 Test loads for energy and water consumption measurements must be bone-dry prior to the first cycle of the test, and dried to a maximum of 104 percent of bone-dry weight for subsequent testing.

2.9.2 Prepare the energy test cloths for loading by grasping them in the center, lifting, and shaking them to hang loosely, as illustrated in Figure 2.9.2 of this appendix.

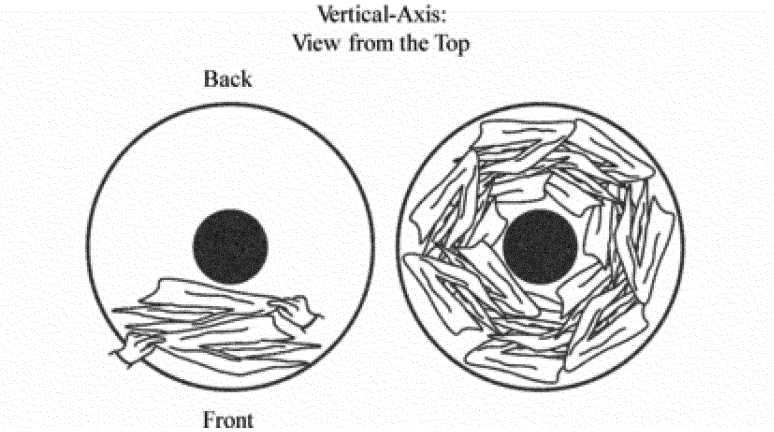
Figure 2.9.2—Grasping Energy Test Cloths in the Center, Lifting, and Shaking to Hang Loosely



For all clothes washers, follow any manufacturer loading instructions provided to the user regarding the placement of clothing within the clothes container. In the absence of any manufacturer instructions regarding the placement of clothing within the clothes container, the following loading instructions apply.

2.9.2.1 To load the energy test cloths in a top-loading clothes washer, arrange the cloths circumferentially around the axis of rotation of the clothes container, using alternating lengthwise orientations for adjacent pieces of cloth. Complete each cloth layer across its horizontal plane within the clothes container before adding a new layer. Figure 2.9.2.1 of this appendix illustrates the correct loading technique for a vertical-axis clothes washer.

Figure 2.9.2.1—Loading Energy Test Cloths into a Top-Loading Clothes Washer



2.9.2.2 To load the energy test cloths in a front-loading clothes washer, grasp each test cloth in the center as indicted in section 2.9.2 of this appendix, and then place each cloth into the clothes container prior to activating the clothes washer.

2.10 *Clothes washer installation.* Install the clothes washer in accordance with manufacturer's instructions.

2.10.1 *Water inlet connections.* If the clothes washer has 2 water inlets, connect the inlets to the hot water and cold water supplies, in accordance with the manufacturer's instructions. If the clothes washer has only 1 water inlet, connect the inlet to the cold water supply, in accordance with the manufacturer's instructions. Use the water inlet hoses provided with the clothes washer; otherwise use commercially available water inlet hoses, not to exceed 72 inches in length, in accordance with manufacturer's instructions.

2.10.2 *Low-power mode testing.* For combined low-power mode testing, install the clothes washer in accordance with Section 5, Paragraph 5.2 of IEC 62301, disregarding the provisions regarding batteries and the determination, classification, and testing of relevant modes.

2.11 *Clothes washer pre-conditioning.* If the clothes washer has not been filled with water in the preceding 96 hours, or if it has not been in the test room at the specified ambient conditions for 8 hours, pre-condition it by running it through a cold rinse cycle and then draining it to ensure that the hose, pump, and sump are filled with water.

2.12 *Determining the energy test cycle.*

2.12.1 *Automatic clothes washers.* To determine the energy test cycle, evaluate the wash/rinse temperature selection flowcharts in the order in which they are presented in this section. Use the large load size to evaluate each flowchart. The determination of the energy test cycle must take into consideration all cycle settings available to the end user, including any cycle selections or cycle modifications provided by the manufacturer via software or firmware updates to the product, for the basic model under test. The energy test cycle does not include any cycle that is recommended by the manufacturer exclusively for cleaning, deodorizing, or sanitizing the clothes washer.

Figure 2.12.1.1—Determination of Cold Wash/Cold Rinse

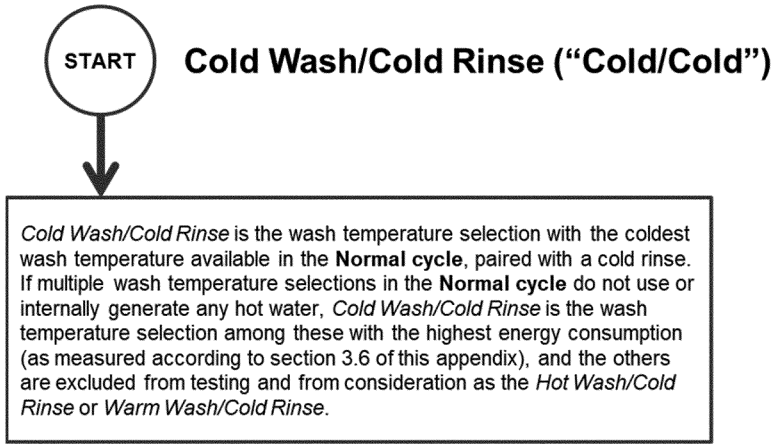


Figure 2.12.1.2—Determination of Hot Wash/Cold Rinse

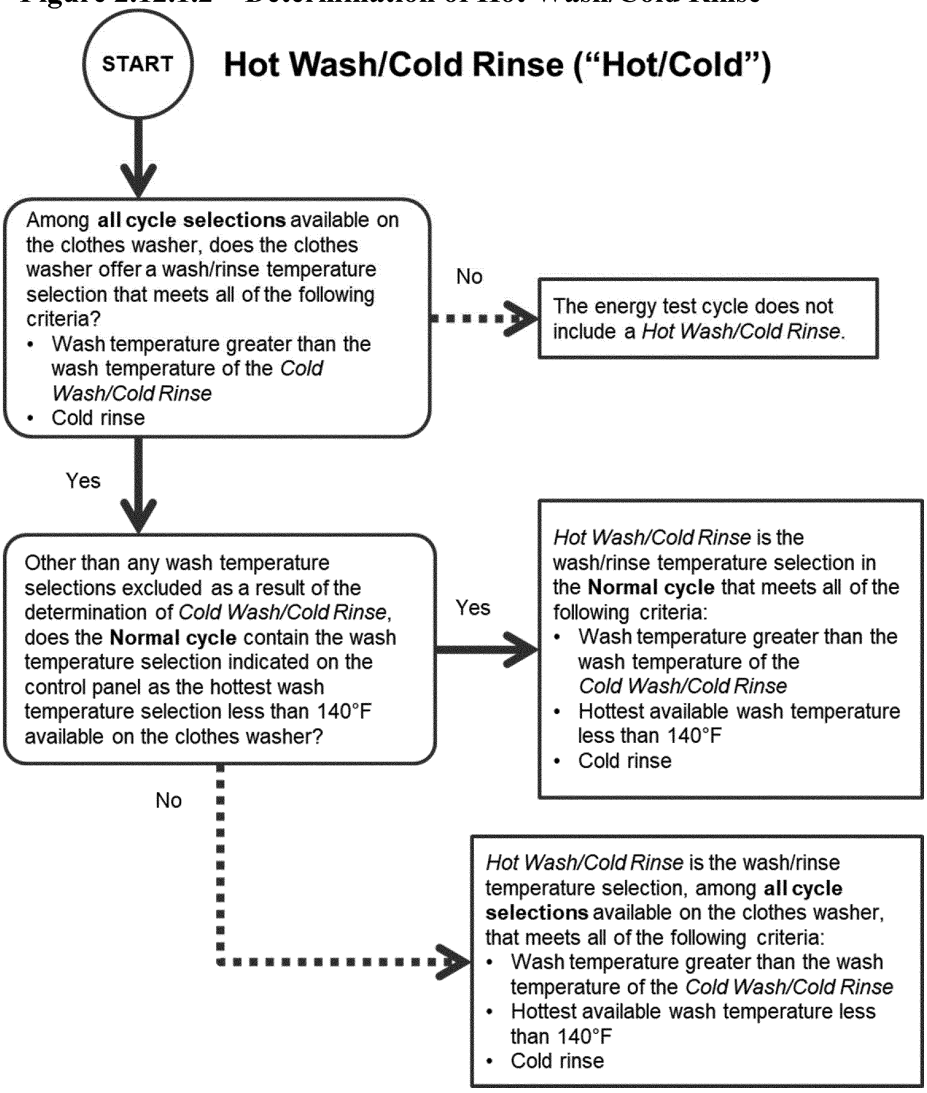


Figure 2.12.1.3—Determination of Warm Wash/Cold Rinse

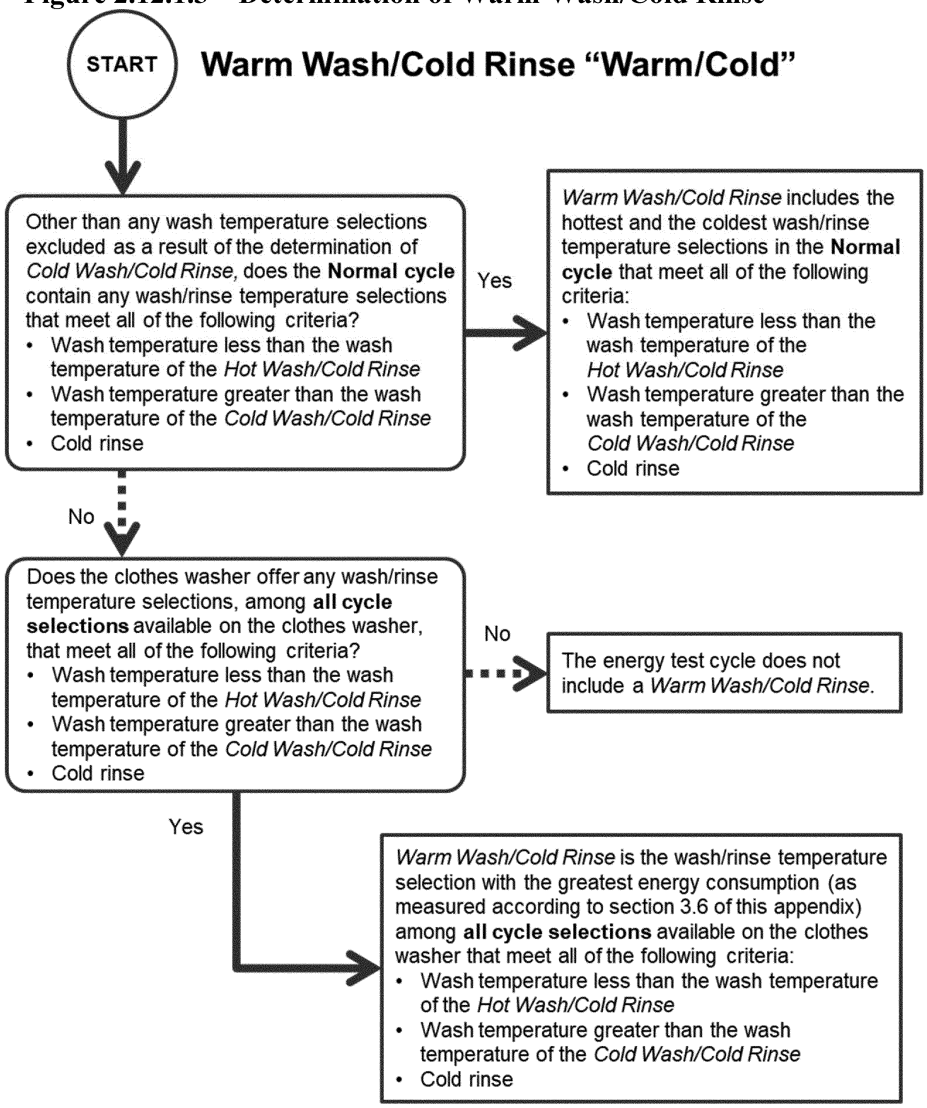


Figure 2.12.1.4—Determination of Warm Wash/Warm Rinse

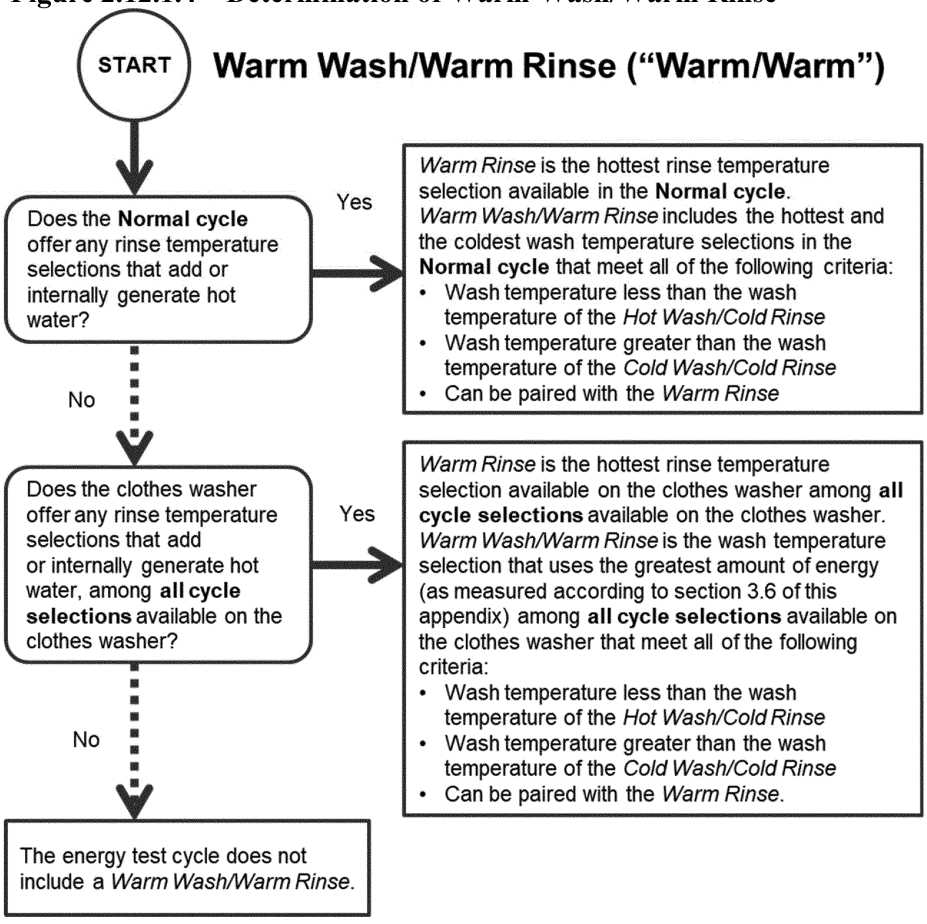
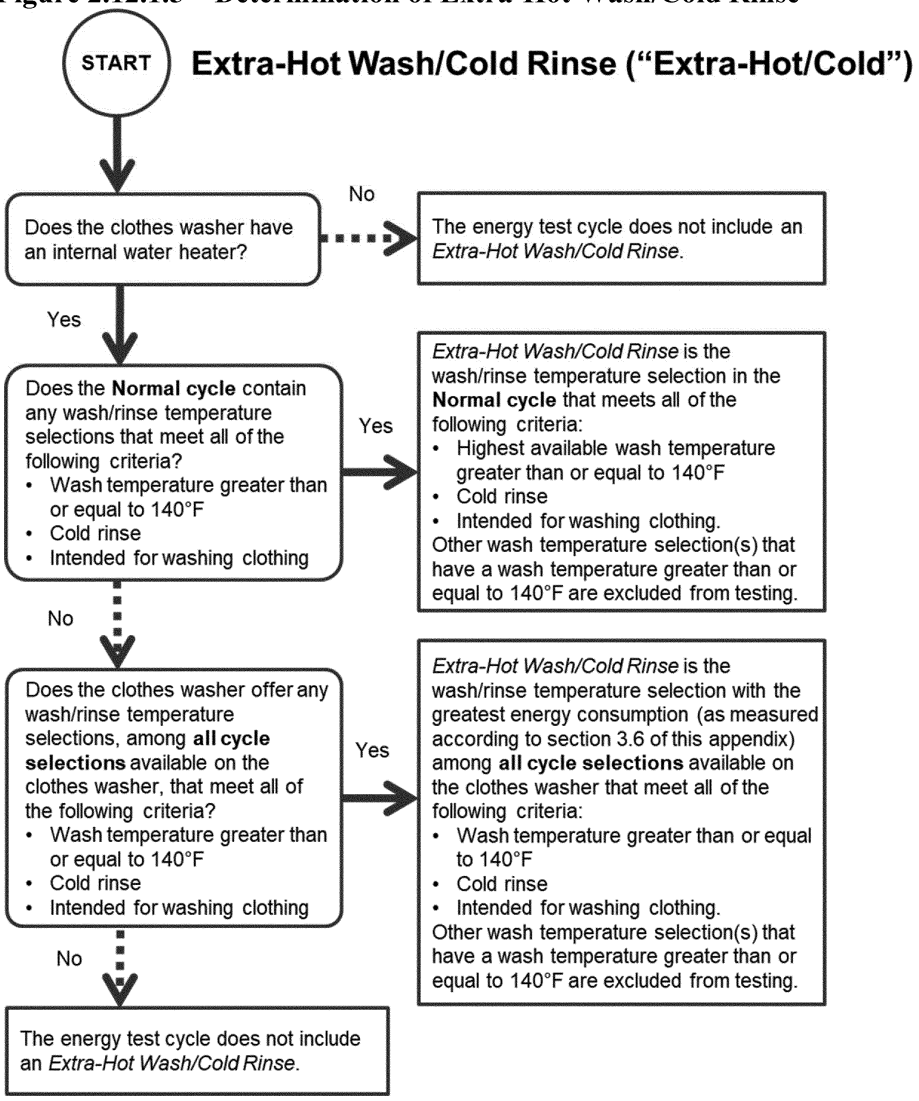


Figure 2.12.1.5—Determination of Extra-Hot Wash/Cold Rinse



2.12.2. *Semi-automatic clothes washers.* The energy test cycle for semi-automatic clothes washers includes only the Cold Wash/Cold Rinse (''Cold'') test cycle. Energy and water use for all other wash/rinse temperature combinations are calculated numerically in section 3.4.2 of this appendix.

3. Test Measurements

3.1 *Clothes container capacity.* Measure the entire volume that a clothes load could occupy within the clothes container during active mode washer operation according to the following procedures:

3.1.1 Place the clothes washer in such a position that the uppermost edge of the clothes container opening is leveled horizontally, so that the container will hold the

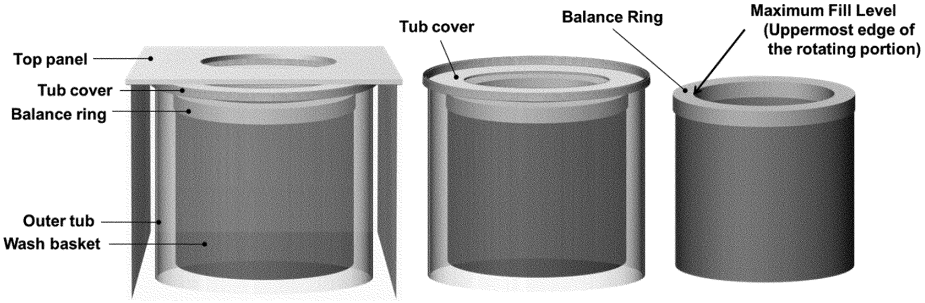
maximum amount of water. For front-loading clothes washers, the door seal and shipping bolts or other forms of bracing hardware to support the wash drum during shipping must remain in place during the capacity measurement. If the design of a front-loading clothes washer does not include shipping bolts or other forms of bracing hardware to support the wash drum during shipping, a laboratory may support the wash drum by other means, including temporary bracing or support beams. Any temporary bracing or support beams must keep the wash drum in a fixed position, relative to the geometry of the door and door seal components, that is representative of the position of the wash drum during normal operation. The method used must avoid damage to the unit that would affect the results of the energy and water testing. For a front-loading clothes washer that does not include shipping bolts or other forms of bracing hardware to support the wash drum during shipping, the laboratory must fully document the alternative method used to support the wash drum during capacity measurement, include such documentation in the final test report, and pursuant to §429.71 of this chapter, the manufacturer must retain such documentation as part its test records.

3.1.2 Line the inside of the clothes container with a 2 mil thickness (0.051 mm) plastic bag. All clothes washer components that occupy space within the clothes container and that are recommended for use during a wash cycle must be in place and must be lined with a 2 mil thickness (0.051 mm) plastic bag to prevent water from entering any void space.

3.1.3 Record the total weight of the machine before adding water.

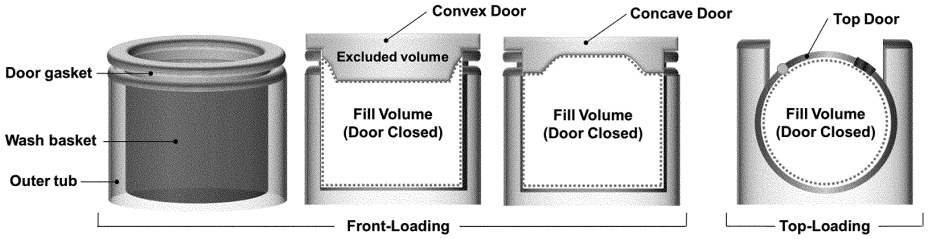
3.1.4 Fill the clothes container manually with either 60 °F ± 5 °F (15.6 °C ± 2.8 °C) or 100 °F ± 10 °F (37.8 °C ± 5.5 °C) water, with the door open. For a top-loading vertical-axis clothes washer, fill the clothes container to the uppermost edge of the rotating portion, including any balance ring. Figure 3.1.4.1 of this appendix illustrates the maximum fill level for top-loading clothes washers.

Figure 3.1.4.1—Maximum Fill Level for the Clothes Container Capacity Measurement of Top-Loading Vertical-Axis Clothes Washers



For a front-loading horizontal-axis clothes washer, fill the clothes container to the highest point of contact between the door and the door gasket. If any portion of the door or gasket would occupy the measured volume space when the door is closed, exclude from the measurement the volume that the door or gasket portion would occupy. For a front-loading horizontal-axis clothes washer with a concave door shape, include any additional volume above the plane defined by the highest point of contact between the door and the door gasket, if that area can be occupied by clothing during washer operation. For a top-loading horizontal-axis clothes washer, include any additional volume above the plane of the door hinge that clothing could occupy during washer operation. Figure 3.1.4.2 of this appendix illustrates the maximum fill volumes for all horizontal-axis clothes washer types.

Figure 3.1.4.2—Maximum Fill Level for the Clothes Container Capacity Measurement of Horizontal-Axis Clothes Washers



For all clothes washers, exclude any volume that cannot be occupied by the clothing load during operation.

3.1.5 Measure and record the weight of water, W, in pounds.

3.1.6 Calculate the clothes container capacity as follows:

$C = W/d$

Where:

C = Capacity in cubic feet (liters).
W = Mass of water in pounds (kilograms).
d = Density of water (62.0 lbs/ft^3 for 100 °F (993 kg/m^3 for 37.8 °C) or 62.3 lbs/ft^3 for 60 °F (998 kg/m^3 for 15.6 °C)).

3.1.7 Calculate the clothes container capacity, C, to the nearest 0.01 cubic foot for the purpose of determining test load sizes per Table 5.1 of this appendix and for all subsequent calculations that include the clothes container capacity.

3.2 *Cycle settings.*

3.2.1 *Wash/rinse temperature selection.* For automatic clothes washers, set the wash/rinse temperature selection control to obtain the desired wash/rinse temperature selection within the energy test cycle.

3.2.2 *Wash time setting.*

3.2.2.1 If the cycle under test offers a range of wash time settings, the wash time setting shall be the higher of either the minimum or 70 percent of the maximum wash time available for the wash cycle under test, regardless of the labeling of suggested dial locations. If 70 percent of the maximum wash time is not available on a dial with a discrete number of wash time settings, choose the next-highest setting greater than 70 percent.

3.2.2.2 If the clothes washer is equipped with an electromechanical dial or timer controlling wash time that rotates in both directions, reset the dial to the minimum wash time and then turn it in the direction of increasing wash time to reach the appropriate setting. If the appropriate setting is passed, return the dial to the minimum wash time and then turn in the direction of increasing wash time until the appropriate setting is reached.

3.2.3 *Water fill level settings.* The water fill level settings depend on the clothes washer's water fill control system, as determined in Table 3.2.3.

TABLE 3.2.3—CLOTHES WASHER WATER FILL CONTROL SETTINGS

	Settings are user-adjustable	Settings are not user-adjustable
Water fill level unaffected by the size or weight of the clothing load.	Manual water fill	Fixed water fill.
Water fill level is determined automatically by the clothes washer based on the size and weight of the clothing load.	User-adjustable adaptive water fill.	Non-user-adjustable adaptive water fill.

3.2.3.1 *Clothes washers with a manual water fill control system.* For the large test load size, set the water fill level selector to the maximum water fill level setting available for the wash cycle under test. If the water fill level selector has two settings available for the wash cycle under test, for the small test load size, select the minimum water fill level setting available for the wash cycle under test.

If the water fill level selector has more than two settings available for the wash cycle under test, for the small test load size, select the second-lowest water fill level setting.

3.2.3.2 *Clothes washers with a fixed water fill control system.* The water level is automatically determined by the water fill control system.

3.2.3.3 *Clothes washers with a user-adjustable adaptive water fill control system.* For the

large test load size, set the water fill selector to the setting that uses the most water. For the small test load size, set the water fill selector to the setting that uses the least water.

3.2.3.4 *Clothes washers with a non-user-adjustable adaptive water fill control system.* The water level is automatically determined by the water fill control system.

3.2.3.5 *Clothes washers with multiple water fill control systems.* If a clothes washer allows user selection among multiple water fill control systems, test all water fill control systems and, for each one, calculate the energy consumption (HE_T, ME_T, DE_T, and E_{TLP}) and water consumption (Q_T) values as set forth in section 4 of this appendix. Then, calculate the average of the tested values (one from each water fill control system) for each variable (HE_T, ME_T, DE_T, E_{TLP}, and Q_T) and use the average value for each variable in the final calculations in section 4 of this appendix.

3.2.4 *Manufacturer default settings.* For clothes washers with electronic control systems, use the manufacturer default settings for any cycle selections, except for (1) the temperature selection, (2) the wash water fill levels, or (3) network settings. If the clothes washer has network capabilities, the network settings must be disabled throughout testing if such settings can be disabled by the end-user and the product's user manual provides instructions on how to do so. For all other cycle selections, the manufacturer default settings must be used for wash conditions such as agitation/tumble operation, soil level, spin speed, wash times, rinse times, optional rinse settings, water heating time for water heating clothes washers, and all other wash parameters or optional features applicable to that wash cycle. Any optional wash cycle feature or setting (other than wash/rinse temperature, water fill level selection, or network settings on clothes washers with network capabilities) that is activated by default on the wash cycle under test must be included for testing unless the manufacturer instructions recommend not selecting this option, or recommend selecting a different option, for washing normally soiled cotton clothing. For clothes washers with control panels containing mechanical switches or dials, any optional settings, except for the temperature selection or the wash water fill levels, must be in the position recommended by the manufacturer for washing normally soiled cotton clothing. If the manufacturer instructions do not recommend a particular switch or dial position to be used for washing normally soiled cotton clothing, the setting switch or dial must remain in its as-shipped position.

3.2.5 For each wash cycle tested, include the entire active washing mode and exclude any delay start or cycle finished modes.

3.2.6 *Anomalous Test Cycles.* If during a wash cycle the clothes washer: (a) Signals to the user by means of a visual or audio alert that an out-of-balance condition has been detected; or (b) terminates prematurely and thus does not include the agitation/tumble operation, spin speed(s), wash times, and rinse times applicable to the wash cycle under test, discard the test data and repeat the wash cycle. Document in the test report the rejection of data from any wash cycle during testing and the reason for the rejection.

3.3 *Test cycles for automatic clothes washers.* Perform testing on each wash/rinse temperature selection available in the energy test cycle as defined in section 2.12.1 of this appendix. Test each load size as defined in section 2.8 of this appendix with its associated water fill level defined in section 3.2.3 of this appendix. Assign the bone-dry weight according to the value measured in section 2.8 of this appendix. Place the test load in the clothes washer and initiate the cycle under test. Measure the values for hot water consumption, cold water consumption, electrical energy consumption, and cycle time for the complete cycle. Record the weight of the test load immediately after completion of the cycle. Table 3.3 of this appendix provides the symbol definitions for each measured value.

TABLE 3.3—SYMBOL DEFINITIONS OF MEASURED VALUES FOR AUTOMATIC CLOTHES WASHER TEST CYCLES

Wash/rinse temperature selection	Load size	Bone-dry weight	Hot water	Cold water	Electrical energy	Cycle time	Cycle complete weight
Extra-Hot/Cold	Large	WIx_L	Hx_L	Cx_L	Ex_L	Tx_L	WCx_L
	Small	WIx_S	Hx_S	Cx_S	Ex_S	Tx_S	WCx_S
Hot/Cold	Large	WIh_L	Hh_L	Ch_L	Eh_L	Th_L	WCh_L
	Small	WIh_S	Hh_S	Ch_S	Eh_S	Th_S	WCh_S
Warm/Cold *	Large	WIw_L	Hw_L	Cw_L	Ew_L	Tw_L	WCw_L
	Small	WIw_S	Hw_S	Cw_S	Ew_S	Tw_S	WCw_S
Warm/Warm *	Large	$WIww_L$	Hww_L	Cww_L	Eww_L	Tww_L	$WCww_L$
	Small	$WIww_S$	Hww_S	Cww_S	Eww_S	Tww_S	$WCww_S$
Cold/Cold	Large	WIc_L	Hc_L	Cc_L	Ec_L	Tc_L	WCc_L

TABLE 3.3—SYMBOL DEFINITIONS OF MEASURED VALUES FOR AUTOMATIC CLOTHES WASHER TEST CYCLES—Continued

Wash/rinse temperature selection	Load size	Bone-dry weight	Hot water	Cold water	Electrical energy	Cycle time	Cycle complete weight
	Small	WIc_S	Hc_S	Cc_S	Ec_S	Tc_S	WCc_S

*If two cycles are tested to represent the Warm/Cold selection or the Warm/Warm selection, calculate the average of the two tested cycles and use that value for all further calculations.

3.4 *Test cycles for semi-automatic clothes washers.*

3.4.1 *Test Measurements.* Perform testing on each wash/rinse temperature selection available in the energy test cycle as defined in section 2.12.2 of this appendix. Test each load size as defined in section 2.8 of this appendix with the associated water fill level defined in section 3.2.3 of this appendix. Assign the bone-dry weight according to the value measured in section 2.8 of this appendix. Place the test load in the clothes washer and initiate the cycle under test. Measure the values for cold water consumption, electrical energy consumption, and cycle time for the complete cycle. Record the weight of the test load immediately after completion of the cycle. Table 3.4.1 of this appendix provides symbol definitions for each measured value for the Cold temperature selection.

TABLE 3.4.1—SYMBOL DEFINITIONS OF MEASURED VALUES FOR SEMI-AUTOMATIC CLOTHES WASHER TEST CYCLES

Temperature selection	Load size	Bone-dry weight	Hot water	Cold water	Electrical energy	Cycle time	Cycle complete weight
Cold	Large	WIc_L	not measured.	Cc_L	Ec_L	Tc_L	WCc_L
	Small	WIc_S	not measured.	Cc_S	Ec_S	Tc_S	WCc_S

3.4.2 *Calculation of Hot and Warm measured values.* In lieu of testing, the measured values for the Hot and Warm cycles are calculated based on the measured values for the Cold cycle, as defined in section 3.4.1 of this appendix. Table 3.4.2 of this appendix provides the symbol definitions and calculations for each value for the Hot and Warm temperature selections.

TABLE 3.4.2—SYMBOL DEFINITIONS AND CALCULATION OF MEASURED VALUES FOR SEMI-AUTOMATIC CLOTHES WASHER TEST CYCLES

Temperature selection	Load Size	Bone-Dry weight	Hot water	Cold water	Electrical energy	Cycle time	Cycle complete weight
Hot	Large	$WIh_L = WIc_L$.	$Hh_L = Cc_L$		$Eh_L = Ec_L$	$Th_L = Tc_L$	$WCh_L = WCc_L$
	Small	$WIh_S = WIc_S$.	$Hh_S = Cc_S$		$Eh_S = Ec_S$	$Th_S = Tc_S$	$WCh_S = WCc_S$
Warm	Large	$WIw_L = WIc_L$.	$Hw_L = Cc_L \div 2$.	$Cw_L = Cc_L \div 2$.	$Ew_L = Ec_L$	$Tw_L = Tc_L$	$WCw_L = WCc_L$
	Small	$WIw_S = WIc_S$.	$Hw_S = Cc_S \div 2$.	$Cw_S = Cc_S \div 2$.	$Ew_S = Ec_S$	$Tw_S = Tc_S$	$WCw_S = WCc_S$

3.5 *Combined low-power mode power.* Connect the clothes washer to a watt meter as specified in section 2.5.3 of this appendix. Establish the testing conditions set forth in sections 2.1, 2.4, and 2.10.2 of this appendix.

3.5.1 Perform combined low-power mode testing after completion of an active mode wash cycle included as part of the energy test cycle; after removing the test load; without changing the control panel settings used for the active mode wash cycle; with the door closed; and without disconnecting the electrical energy supply to the clothes washer between completion of the active mode wash cycle and the start of combined low-power mode testing.

3.5.2 For a clothes washer that takes some time to automatically enter a stable inactive mode or off mode state from a higher

power state as discussed in Section 5, Paragraph 5.1, note 1 of IEC 62301, allow sufficient time for the clothes washer to automatically reach the default inactive/off mode state before proceeding with the test measurement.

3.5.3 Once the stable inactive/off mode state has been reached, measure and record the default inactive/off mode power, $P_{default}$, in watts, following the test procedure for the sampling method specified in Section 5, Paragraph 5.3.2 of IEC 62301.

3.5.4 For a clothes washer with a switch, dial, or button that can be optionally selected by the end user to achieve a lower-power inactive/off mode state than the default inactive/off mode state measured in section 3.5.3 of this appendix, after performing the measurement in section 3.5.3 of this appendix, activate the switch, dial, or button to the position resulting in the lowest power consumption and repeat the measurement procedure described in section 3.5.3 of this appendix. Measure and record the lowest-power inactive/off mode power, P_{lowest}, in Watts.

3.6 *Energy consumption for the purpose of determining the cycle selection(s) to be included in the energy test cycle.* This section is implemented only in cases where the energy test cycle flowcharts in section 2.12.1 of this appendix require the determination of the wash/rinse temperature selection with the highest energy consumption.

3.6.1 For the wash/rinse temperature selection being considered under this section, establish the testing conditions set forth in section 2 of this appendix. Select the applicable cycle selection and wash/rinse temperature selection. For all wash/rinse temperature selections, select the cycle settings as described in section 3.2 of this appendix.

3.6.2 Measure each wash cycle's electrical energy consumption (E_L) and hot water consumption (H_L). Calculate the total energy consumption for each cycle selection (E_{TL}), as follows:

$$E_{TL} = E_L + (H_L \times T \times K)$$

Where:

E_L is the electrical energy consumption, expressed in kilowatt-hours per cycle.

H_L is the hot water consumption, expressed in gallons per cycle.

T = nominal temperature rise = 65 °F (36.1 °C).

K = Water specific heat in kilowatt-hours per gallon per degree F = 0.00240 kWh/gal − °F (0.00114 kWh/L − °C).

4. Calculation of Derived Results From Test Measurements

4.1 *Hot water and machine electrical energy consumption of clothes washers.*

4.1.1 *Per-cycle temperature-weighted hot water consumption for all load sizes tested.* Calculate the per-cycle temperature-weighted hot water consumption for the large test load size, Vh_L, and the small test load size, Vh_S, expressed in gallons per cycle (or liters per cycle) and defined as:

(a) $Vh_L = [Hx_L \times TUF_X] + [Hh_L \times TUF_h] + [Hw_L \times TUF_w] + [Hww_L \times TUF_{ww}] + [Hc_L \times TUF_c]$

(b) $Vh_S = [Hx_S \times TUF_X] + [Hh_S \times TUF_h] + [Hw_S \times TUF_w] + [Hww_S \times TUF_{ww}] + [Hc_S \times TUF_c]$

Where:

Hx_L, Hh_L, Hw_L, Hww_L, Hc_L, Hx_S, Hh_S, Hw_S, Hww_S, and Hc_S are the hot water consumption values, in gallons per-cycle (or liters per cycle) as measured in section 3.3 of this appendix for automatic clothes washers or section 3.4 of this appendix for semi-automatic clothes washers.

TUF_X, TUF_h, TUF_w, TUF_{ww}, and TUF_c are temperature use factors for Extra-Hot Wash/Cold Rinse, Hot Wash/Cold Rinse, Warm Wash/Cold Rinse, Warm Wash/Warm Rinse, and Cold Wash/Cold Rinse temperature selections, respectively, as defined in Table 4.1.1 of this appendix.

TABLE 4.1.1—TEMPERATURE USE FACTORS

Wash/rinse temperature selections available in the energy test cycle	Clothes washers with cold rinse only					Clothes washers with both cold and warm rinse		
	C/C	H/C C/C	H/C W/C C/C *	XH/C H/C C/C	XH/C H/C W/C C/C	H/C W/C W/W C/C	XH/C H/C W/W C/C	XH/C H/C W/C W/W C/C
TUFx (Extra-Hot/Cold)	.....	.....	.....	0.14	0.05	.....	0.14	0.05
TUFh (Hot/Cold)	.....	0.63	0.14	**0.49	0.09	0.14	**0.22	0.09
TUFw (Warm/Cold)	.....	.....	0.49	.....	0.49	0.22	.....	0.22
TUFww (Warm/Warm)	.....	.....	.....	.....	.....	0.27	0.27	0.27
TUFc (Cold/Cold)	1.00	0.37	0.37	0.37	0.37	0.37	0.37	0.37

*This column applies to all semi-automatic clothes washers.

** On clothes washers with only two wash temperature selections <140 °F, the higher of the two wash temperatures is classified as a Hot Wash/Cold Rinse, in accordance with the wash/rinse temperature definitions within the energy test cycle.

4.1.2 *Total per-cycle hot water energy consumption for all load sizes tested.* Calculate the total per-cycle hot water energy consumption for the large test load size, HE_L, and the small test load size, HE_S, expressed in kilowatt-hours per cycle and defined as:

(a) $HE_L = [Vh_L \times T \times K]$ = Total energy when the large test load is tested.

(b) $HE_S = [Vh_S \times T \times K]$ = Total energy when the small test load is tested.

Where:

Vh_L and Vh_S are defined in section 4.1.1 of this appendix.

T = Temperature rise = 65 °F (36.1 °C).

K = Water specific heat in kilowatt-hours per gallon per degree F = 0.00240 kWh/gal − °F (0.00114 kWh/L − °C).

4.1.3 *Total weighted per-cycle hot water energy consumption.* Calculate the total weighted per-cycle hot water energy consumption, HE_T, expressed in kilowatt-hours per cycle and defined as:

$HE_T = [HE_L \times LUF_L] + [HE_S \times LUF_S]$

Where:

HE_L and HE_S are defined in section 4.1.2 of this appendix.

LUF_L = Load usage factor for the large test load = 0.5.

LUF_S = Load usage factor for the small test load = 0.5.

4.1.4 *Total per-cycle hot water energy consumption using gas-heated or oil-heated water, for product labeling requirements.* Calculate for the energy test cycle the per-cycle hot water consumption, HE_{TG}, using gas-heated or oil-heated water, expressed in Btu per cycle (or megajoules per cycle) and defined as:

$HE_{TG} = HE_T \times 1/e \times 3412$ Btu/kWh or $HE_{TG} = HE_T \times 1/e \times 3.6$ MJ/kWh.

Where:

e = Nominal gas or oil water heater efficiency = 0.75.

HE_T = As defined in section 4.1.3 of this appendix.

4.1.5 *Per-cycle machine electrical energy consumption for all load sizes tested.* Calculate the total per-cycle machine electrical energy consumption for the large test load size, ME_L, and the small test load size, ME_S, expressed in kilowatt-hours per cycle and defined as:

(a) $ME_L = [Ex_L \times TUF_X] + [Eh_L \times TUF_h] + [Ew_L \times TUF_w] + [Eww_L \times TUF_{ww}] + [Ec_L \times TUF_c]$

(b) $ME_S = [Ex_S \times TUF_X] + [Eh_S \times TUF_h] + [Ew_S \times TUF_w] + [Eww_S \times TUF_{ww}] + [Ec_S \times TUF_c]$

Where:

Ex_L, Eh_L, Ew_L, Eww_L, Ec_L, Ex_S, Eh_S, Ew_S, Eww_S, and Ec_S are the electrical energy consumption values, in kilowatt-hours per cycle as measured in section 3.3 of this appendix for automatic clothes washers or section 3.4 of this appendix for semi-automatic clothes washers.

TUF_X, TUF_h, TUF_w, TUF_{ww}, and TUF_c are defined in Table 4.1.1 of this appendix.

4.1.6 *Total weighted per-cycle machine electrical energy consumption.* Calculate the total weighted per-cycle machine electrical energy consumption, ME_T, expressed in kilowatt-hours per cycle and defined as:

$ME_T = [ME_L \times LUF_L] + [ME_S \times LUF_S]$

Where:

ME_L and ME_S are defined in section 4.1.5 of this appendix.

LUF_L and LUF_S are defined in section 4.1.3 of this appendix.

4.2 *Water consumption of clothes washers.*

4.2.1 *Per cycle total water consumption for each large load size tested.* Calculate the per-cycle total water consumption of the large test load for the Extra-Hot Wash/Cold Rinse cycle, Qx_L, Hot Wash/Cold Rinse cycle, Qh_L, Warm Wash/Cold Rinse cycle, Qw_L, Warm Wash/Warm Rinse cycle, Qww_L, and Cold Wash/Cold Rinse cycle, Qc_L, defined as:

(a) $Qx_L = Hx_L + Cx_L$

(b) $Qh_L = Hh_L + Ch_L$

(c) $Qw_L = Hw_L + Cw_L$

(d) $Qww_L = Hww_L + Cww_L$

(e) $Qc_L = Hc_L + Cc_L$

Where:

Hx_L, Hh_L, Hw_L, Hww_L, Hc_L, Cx_L, Ch_L, Cw_L, Cww_L, and Cc_L are defined in section 3.3 of this appendix for automatic clothes washers or section 3.4 of this appendix for semi-automatic clothes washers.

4.2.2 *Per cycle total water consumption for each small load size tested.* Calculate the per-cycle total water consumption of the small test load for the Extra-Hot Wash/Cold Rinse cycle, Qx_S, Hot Wash/Cold Rinse cycle, Qh_S, Warm Wash/Cold Rinse cycle, Qw_S, Warm Wash/Warm Rinse cycle, Qww_S, and Cold Wash/Cold Rinse cycle, Qc_S, defined as:

(a) $Qx_S = Hx_S + Cx_S$

(b) $Qh_S = Hh_S + Ch_S$

(c) $Qw_S = Hw_S + Cw_S$

(d) $Qww_S = Hww_S + Cww_S$

(e) $Qc_S = Hc_S + Cc_S$

Where:

Hx_S, Hh_S, Hw_S, Hww_S, Hc_S, Cx_S, Ch_S, Cw_S, Cww_S, and Cc_S are defined in section 3.3 of this appendix for automatic clothes washers or section 3.4 of this appendix for semi-automatic clothes washers.

4.2.3 *Per-cycle total water consumption for all load sizes tested.* Calculate the total per-

cycle water consumption for the large test load size, Q_L, and the small test load size, Q_S, expressed in gallons per cycle (or liters per cycle) and defined as:

(a) $Q_L = [Qx_L \times TUFx] + [Qh_L \times TUFh] + [Qw_L \times TUFw] + [Qww_L \times TUFww] + [Qc_L \times TUFc]$

(b) $Q_S = [Qx_S \times TUFx] + [Qh_S \times TUFh] + [Qw_S \times TUFw] + [Qww_S \times TUFww] + [Qc_S \times TUFc]$

Where:

Qx_L, Qh_L, Qw_L, Qww_L, and Qc_L are defined in section 4.2.1 of this appendix.

Qx_S, Qh_S, Qw_S, Qww_S, and Qc_S are defined in section 4.2.2 of this appendix.

TUFx, TUFh, TUFw, TUFww, and TUFc are defined in Table 4.1.1 of this appendix.

4.2.4 *Total weighted per-cycle water consumption*. Calculate the total per-cycle water consumption, Q_T, expressed in gallons per cycle (or liters per cycle) and defined as:

$Q_T = [Q_L \times LUF_L] + [Q_S \times LUF_S]$

Where:

Q_L and Q_S are defined in section 4.2.3 of this appendix.

LUF_L and LUF_S are defined in section 4.1.3 of this appendix.

4.3 *Remaining moisture content (RMC).*

4.3.1 *Per cycle remaining moisture content for each large load size tested*. Calculate the per-cycle remaining moisture content of the large test load for the Extra-Hot Wash/Cold Rinse cycle, $RMCx_L$, Hot Wash/Cold Rinse cycle, $RMCh_L$, Warm Wash/Cold Rinse cycle, $RMCw_L$, Warm Wash/Warm Rinse cycle, $RMCww_L$, and Cold Wash/Cold Rinse cycle, $RMCc_L$, defined as:

(a) $RMCx_L = (WCx_L - WIx_L)/WIx_L$

(b) $RMCh_L = (WCh_L - WIh_L)/WIh_L$

(c) $RMCw_L = (WCw_L - WIw_L)/WIw_L$

(d) $RMCww_L = (WCww_L - WIww_L)/WIww_L$

(e) $RMCc_L = (WCc_L - WIc_L)/WIc_L$

Where:

WCx_L, WCh_L, WCw_L, $WCww_L$, WCc_L, WIx_L, WIh_L, WIw_L, $WIww_L$, and WIc_L are the bone-dry weights and cycle completion weights as measured in section 3.3 of this appendix for automatic clothes washers or section 3.4 of this appendix for semi-automatic clothes washers.

4.3.2 *Per cycle remaining moisture content for each small load size tested*. Calculate the per-cycle remaining moisture content of the small test load for the Extra-Hot Wash/Cold Rinse cycle, $RMCx_S$, Hot Wash/Cold Rinse cycle, $RMCh_S$, Warm Wash/Cold Rinse cycle, $RMCw_S$, Warm Wash/Warm Rinse cycle, $RMCww_S$, and Cold Wash/Cold Rinse cycle, $RMCc_S$, defined as:

(a) $RMCx_S = (WCx_S—WIx_S)/WIx_S$

(b) $RMCh_S = (WCh_S—WIh_S)/WIh_S$

(c) $RMCw_S = (WCw_S—WIw_S)/WIw_S$

(d) $RMCww_S = (WCww_S—WIww_S)/WIww_S$

(e) $RMCc_S = (WCc_S—WIc_S)/WIc_S$

Where:

WCx_S, WCh_S, WCw_S, $WCww_S$, WCc_S, WIx_S, WIh_S, WIw_S, $WIww_S$, and WIc_S are the bone-dry weights and cycle completion weights as measured in section 3.3 of this appendix for automatic clothes washers or section 3.4 of this appendix for semi-automatic clothes washers.

4.3.3 *Per-cycle remaining moisture content for all load sizes tested*. Calculate the per-cycle temperature-weighted remaining moisture content for the large test load size, RMC_L, and the small test load size, RMC_S, defined as:

(a) $RMC_L = [RMCx_L \times TUF_X] + [RMCh_L \times TUF_h] + [RMCw_L \times TUF_w] + [RMCww_L \times TUF_{ww}] + [RMCc_L \times TUF_c]$

(b) $RMC_S = [RMCx_S \times TUF_X] + [RMCh_S \times TUF_h] + [RMCw_S \times TUF_w] + [RMCww_S \times TUF_{ww}] + [RMCc_S \times TUF_c]$

Where:

$RMCx_L$, $RMCh_L$, $RMCw_L$, $RMCww_L$, and $RMCc_L$ are defined in section 4.3.1 of this appendix.

$RMCx_S$, $RMCh_S$, $RMCw_S$, $RMCww_S$, and $RMCc_S$ are defined in section 4.3.2 of this appendix.

TUF_X, TUF_h, TUF_w, TUF_{ww}, and TUF_c are defined in Table 4.1.1 of this appendix.

4.3.4 *Weighted per-cycle remaining moisture content*. Calculate the weighted per-cycle remaining moisture content, RMC_T, defined as:

$RMC_T = [RMC_L \times LUF_L] + [RMC_S \times LUF_S]$

Where:

RMC_L and RMC_S are defined in section 4.3.3 of this appendix.

LUF_L and LUF_S are defined in section 4.1.3 of this appendix.

4.3.5 Apply the RMC correction curve as described in section 9 of appendix J3 to this subpart to calculate the corrected remaining moisture content, RMC_{corr}, expressed as a percentage as follows:

$RMC_{corr} = (A \times RMC_T + B) \times 100\%$

Where:

A and B are the coefficients of the RMC correction curve as defined in section 8.7 of appendix J3 to this subpart.

RMC_T = As defined in section 4.3.4 of this appendix.

4.4 *Per-cycle energy consumption for removal of moisture from test load*. Calculate the per-cycle energy required to remove the remaining moisture of the test load, DE_T, expressed in kilowatt-hours per cycle and defined as:

$DE_T = [(LUF_L \times \text{Large test load weight}) + (LUF_S \times \text{Small test load weight})] \times (RMC_{corr} - 2\%) \times (DEF) \times (DUF)$

Where:

LUF_L and LUF_S are defined in section 4.1.3 of this appendix.

Large and small test load weights are defined in Table 5.1 of this appendix.

RMC_{corr} = As defined in section 4.3.5 of this appendix.

DEF = Nominal energy required for a clothes dryer to remove moisture from clothes = 0.5 kWh/lb (1.1 kWh/kg).

DUF = Dryer usage factor, percentage of washer loads dried in a clothes dryer = 0.91.

4.5 *Cycle time.*

4.5.1 *Per-cycle temperature-weighted cycle time for all load sizes tested.* Calculate the per-cycle temperature-weighted cycle time for the large test load size, T_L, and the small test load size, T_S, expressed in minutes, and defined as:

(a) $T_L = [Tx_L \times TUF_X] + [Th_L \times TUF_h] + [Tw_L \times TUF_w] + [Tww_L \times TUF_{ww}] + [Tc_L \times TUF_c]$

(b) $T_S = [Tx_S \times TUF_X] + [Th_S \times TUF_h] + [Tw_S \times TUF_w] + [Tww_S \times TUF_{ww}] + [Tc_S \times TUF_c]$

Where:

Tx_L, Th_L, Tw_L, Tww_L, Tc_L, Tx_S, Th_S, Tw_S, Tww_S, and Tc_S are the cycle time values, in minutes as measured in section 3.3 of this appendix for automatic clothes washers or section 3.4 of this appendix for semi-automatic clothes washers.

TUF_X, TUF_h, TUF_w, TUF_{ww}, and TUF_c are temperature use factors for Extra-Hot Wash/Cold Rinse, Hot Wash/Cold Rinse, Warm Wash/Cold Rinse, Warm Wash/Warm Rinse, and Cold Wash/Cold Rinse temperature selections, respectively, as defined in Table 4.1.1 of this appendix.

4.5.2 *Total weighted per-cycle cycle time.* Calculate the total weighted per-cycle cycle time, T_T, expressed in minutes, rounded to the nearest minute, and defined as:

$T_T = [T_L \times LUF_L] + [T_S \times LUF_S]$

Where:

T_L and T_S are defined in section 4.5.1 of this appendix.

LUF_L and LUF_S are defined in section 4.1.3 of this appendix.

4.6 Combined low-power mode energy consumption.

4.6.1 *Annual hours in default inactive/off mode.* Calculate the annual hours spent in default inactive/off mode, $S_{default}$, expressed in hours and defined as:

$S_{default} = [8{,}760 - (234 \times T_T/60)]/N$

Where:

T_T = As defined in section 4.5.2 of this appendix, in minutes.

N = Number of inactive/off modes, defined as 1 if no optional lowest-power inactive/off mode is available; otherwise 2.

8,760 = Total number of hours in a year.

234 = Representative average number of clothes washer cycles in a year.

60 = Conversion from minutes to hours.

4.6.2 *Per-cycle combined low-power mode energy consumption.* Calculate the per-cycle combined low-power mode energy consumption, E_{TLP}, expressed in kilowatt-hours per cycle and defined as:

$E_{TLP} = [(P_{default} \times S_{default}) + (P_{lowest} \times S_{lowest})] \times K_p/234$

Where:

$P_{default}$ = Default inactive/off mode power, in watts, as measured in section 3.5.3 of this appendix.

P_{lowest} = Lowest-power inactive/off mode power, in watts, as measured in section 3.5.4 of this appendix for clothes washers with a switch, dial, or button that can be optionally selected by the end user to achieve a lower-power inactive/off mode than the default inactive/off mode; otherwise, $P_{lowest} = 0$.

$S_{default}$ = Annual hours in default inactive/off mode, as calculated in section 4.6.1 of this appendix.

S_{lowest} = Annual hours in lowest-power inactive/off mode, defined as 0 if no optional lowest-power inactive/off mode is available; otherwise equal to $S_{default}$, as calculated in section 4.6.1 of this appendix.

K_p = Conversion factor of watt-hours to kilowatt-hours = 0.001.

234 = Representative average number of clothes washer cycles in a year.

4.7 *Water efficiency ratio.* Calculate the water efficiency ratio, WER, expressed in pounds per gallon per cycle (or kilograms per liter per cycle), as:

$WER = [(LUF_L \times \text{Large test load weight}) + (LUF_S \times \text{Small test load weight})]/Q_T$

Where:

LUF_L and LUF_S are defined in section 4.1.3 of this appendix.

Large and small test load weights are defined in Table 5.1 of this appendix.

Q_T = As defined in section 4.2.4 of this appendix.

4.8 *Active-mode energy efficiency ratio.* Calculate the active-mode energy efficiency ratio, AEER, expressed in pounds per kilowatt-hour per cycle (or kilograms per kilowatt-hour per cycle) and defined as:

$AEER = [(LUF_L \times \text{Large test load weight}) + (LUF_S \times \text{Small test load weight})]/(ME_T + HE_T + DE_T)$

Where:

LUF_L and LUF_S are defined in section 4.1.3 of this appendix.

Large and small test load weights are defined in Table 5.1 of this appendix.

ME_T = As defined in section 4.1.6 of this appendix.

HE_T = As defined in section 4.1.3 of this appendix.

DE_T = As defined in section 4.4 of this appendix.

4.9 *Energy efficiency ratio.* Calculate the energy efficiency ratio, EER, expressed in

pounds per kilowatt-hour per cycle (or kilograms per kilowatt-hour per cycle) and defined as:

$EER = [(LUF_L \times \text{Large test load weight}) + (LUF_S \times \text{Small test load weight})]/(ME_T + HE_T + DE_T + E_{TLP})$

Where:

LUF_L and LUF_S are defined in section 4.1.3 of this appendix.

Large and small test load weights are defined in Table 5.1 of this appendix.

ME_T = As defined in section 4.1.6 of this appendix.

HE_T = As defined in section 4.1.3 of this appendix.

DE_T = As defined in section 4.4 of this appendix.

E_{TLP} = As defined in section 4.6.2 of this appendix.

5. Test Loads

TABLE 5.1—TEST LOAD SIZES

Container volume		Small load		Large load	
cu. ft.	liter	lb	kg	lb	kg
≥ <	≥ <				
0.00–0.80	0.00–22.7	3.00	1.36	3.00	1.36
0.80–0.90	22.7–25.5	3.10	1.41	3.35	1.52
0.90–1.00	25.5–28.3	3.20	1.45	3.70	1.68
1.00–1.10	28.3–31.1	3.30	1.50	4.00	1.81
1.10–1.20	31.1–34.0	3.40	1.54	4.30	1.95
1.20–1.30	34.0–36.8	3.45	1.56	4.60	2.09
1.30–1.40	36.8–39.6	3.55	1.61	4.95	2.25
1.40–1.50	39.6–42.5	3.65	1.66	5.25	2.38
1.50–1.60	42.5–45.3	3.75	1.70	5.55	2.52
1.60–1.70	45.3–48.1	3.80	1.72	5.85	2.65
1.70–1.80	48.1–51.0	3.90	1.77	6.20	2.81
1.80–1.90	51.0–53.8	4.00	1.81	6.50	2.95
1.90–2.00	53.8–56.6	4.10	1.86	6.80	3.08
2.00–2.10	56.6–59.5	4.20	1.91	7.10	3.22
2.10–2.20	59.5–62.3	4.30	1.95	7.45	3.38
2.20–2.30	62.3–65.1	4.35	1.97	7.75	3.52
2.30–2.40	65.1–68.0	4.45	2.02	8.05	3.65
2.40–2.50	68.0–70.8	4.55	2.06	8.35	3.79
2.50–2.60	70.8–73.6	4.65	2.11	8.70	3.95
2.60–2.70	73.6–76.5	4.70	2.13	9.00	4.08
2.70–2.80	76.5–79.3	4.80	2.18	9.30	4.22
2.80–2.90	79.3–82.1	4.90	2.22	9.60	4.35
2.90–3.00	82.1–85.0	5.00	2.27	9.90	4.49
3.00–3.10	85.0–87.8	5.10	2.31	10.25	4.65
3.10–3.20	87.8–90.6	5.20	2.36	10.55	4.79
3.20–3.30	90.6–93.4	5.25	2.38	10.85	4.92
3.30–3.40	93.4–96.3	5.35	2.43	11.15	5.06
3.40–3.50	96.3–99.1	5.45	2.47	11.50	5.22
3.50–3.60	99.1–101.9	5.55	2.52	11.80	5.35
3.60–3.70	101.9–104.8	5.65	2.56	12.10	5.49
3.70–3.80	104.8–107.6	5.70	2.59	12.40	5.62
3.80–3.90	107.6–110.4	5.80	2.63	12.75	5.78
3.90–4.00	110.4–113.3	5.90	2.68	13.05	5.92
4.00–4.10	113.3–116.1	6.00	2.72	13.35	6.06
4.10–4.20	116.1–118.9	6.10	2.77	13.65	6.19
4.20–4.30	118.9–121.8	6.15	2.79	14.00	6.35
4.30–4.40	121.8–124.6	6.25	2.83	14.30	6.49
4.40–4.50	124.6–127.4	6.35	2.88	14.60	6.62
4.50–4.60	127.4–130.3	6.45	2.93	14.90	6.76
4.60–4.70	130.3–133.1	6.55	2.97	15.25	6.92
4.70–4.80	133.1–135.9	6.60	2.99	15.55	7.05
4.80–4.90	135.9–138.8	6.70	3.04	15.85	7.19
4.90–5.00	138.8–141.6	6.80	3.08	16.15	7.33
5.00–5.10	141.6–144.4	6.90	3.13	16.50	7.48
5.10–5.20	144.4–147.2	7.00	3.18	16.80	7.62
5.20–5.30	147.2–150.1	7.05	3.20	17.10	7.76
5.30–5.40	150.1–152.9	7.15	3.24	17.40	7.89
5.40–5.50	152.9–155.7	7.25	3.29	17.70	8.03
5.50–5.60	155.7–158.6	7.35	3.33	18.05	8.19
5.60–5.70	158.6–161.4	7.45	3.38	18.35	8.32
5.70–5.80	161.4–164.2	7.50	3.40	18.65	8.46
5.80–5.90	164.2–167.1	7.60	3.45	18.95	8.60
5.90–6.00	167.1–169.9	7.70	3.49	19.30	8.75
6.00–6.10	169.9–172.7	7.80	3.54	19.60	8.89
6.10–6.20	172.7–175.6	7.90	3.58	19.90	9.03

TABLE 5.1—TEST LOAD SIZES—Continued

Container volume		Small load		Large load	
cu. ft.	liter	lb	kg	lb	kg
≥ <	≥ <				
6.20–6.30	175.6–178.4	7.95	3.61	20.20	9.16
6.30–6.40	178.4–181.2	8.05	3.65	20.55	9.32
6.40–6.50	181.2–184.1	8.15	3.70	20.85	9.46
6.50–6.60	184.1–186.9	8.25	3.74	21.15	9.59
6.60–6.70	186.9–189.7	8.30	3.76	21.45	9.73
6.70–6.80	189.7–192.6	8.40	3.81	21.80	9.89
6.80–6.90	192.6–195.4	8.50	3.86	22.10	10.02
6.90–7.00	195.4–198.2	8.60	3.90	22.40	10.16
7.00–7.10	198.2–201.0	8.70	3.95	22.70	10.30
7.10–7.20	201.0–203.9	8.80	3.99	23.05	10.46
7.20–7.30	203.9–206.7	8.85	4.01	23.35	10.59
7.30–7.40	206.7–209.5	8.95	4.06	23.65	10.73
7.40–7.50	209.5–212.4	9.05	4.11	23.95	10.86
7.50–7.60	212.4–215.2	9.15	4.15	24.30	11.02
7.60–7.70	215.2–218.0	9.25	4.20	24.60	11.16
7.70–7.80	218.0–220.9	9.30	4.22	24.90	11.29
7.80–7.90	220.9–223.7	9.40	4.26	25.20	11.43
7.90–8.00	223.7–226.5	9.50	4.31	25.50	11.57

Notes: (1) All test load weights are bone-dry weights.
(2) Allowable tolerance on the test load weights is ±0.10 lbs (0.05 kg).

[87 FR 33381, June 1, 2022, as amended at 87 FR 78820, Dec. 23, 2022; 89 FR 84076, Oct. 21, 2024]

APPENDIX J1 TO SUBPART B OF PART 430 [RESERVED]

APPENDIX J2 TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF AUTOMATIC AND SEMI-AUTOMATIC CLOTHES WASHERS

NOTE 1 TO APPENDIX J2 TO SUBPART B OF PART 430: Manufacturers must use the results of testing under this appendix to determine compliance with the residential clothes washer standards provided at §430.32(g)(1) and the commercial clothes washer standards provided at §431.156(b).

Manufacturers must use the results of testing under Appendix J to this subpart to determine compliance with the residential clothes washer standards provided at §430.32(g)(2) and for any amended commercial clothes washer standards provided at §431.156 that are published after January 1, 2022.

Any representations related to energy or water consumption of residential or commercial clothes washers must be made in accordance with the appropriate appendix that applies (*i.e.*, appendix J to this subpart or this appendix) when determining compliance with the relevant standard.

0. INCORPORATION BY REFERENCE

DOE incorporated by reference in §430.3, the entire test standard for IEC 62301. However, only enumerated provisions of this standard are applicable to this appendix, as follows. In cases in which there is a conflict, the language of the test procedure in this appendix takes precedence over the referenced test standard.

0.1 IEC 62301:

(a) Section 4.2 as referenced in section 2.4 of this appendix;

(b) Section 4.3.2 as referenced in section 2.1.2 of this appendix;

(c) Section 4.4 as referenced in section 2.5.3 of this appendix;

(d) Section 5.1 as referenced in section 3.9.2 of this appendix;

(e) Section 5.2 as referenced in section 2.10 of this appendix; and

(f) Section 5.3.2 as referenced in section 3.9.3 of this appendix.

0.2 [Reserved]

1. DEFINITIONS

Active mode means a mode in which the clothes washer is connected to a mains power source, has been activated, and is performing one or more of the main functions of washing, soaking, tumbling, agitating, rinsing, and/or removing water from the clothing, or is involved in functions necessary for these main functions, such as admitting water into the washer or pumping water out of the washer. Active mode also includes delay start and cycle finished modes.

Active washing mode means a mode in which the clothes washer is performing any of the operations included in a complete cycle intended for washing a clothing load, including the main functions of washing, soaking, tumbling, agitating, rinsing, and/or removing water from the clothing.

Adaptive water fill control system means a clothes washer automatic water fill control system that is capable of automatically adjusting the water fill level based on the size or weight of the clothes load placed in the clothes container.

Automatic water fill control system means a clothes washer water fill control system that does not allow or require the user to determine or select the water fill level, and includes adaptive water fill control systems and fixed water fill control systems.

Bone-dry means a condition of a load of test cloth that has been dried in a dryer at maximum temperature for a minimum of 10 minutes, removed and weighed before cool down, and then dried again for 10 minute periods until the final weight change of the load is 1 percent or less.

Clothes container means the compartment within the clothes washer that holds the clothes during the operation of the machine.

Cold rinse means the coldest rinse temperature available on the machine, as indicated to the user on the clothes washer control panel.

Combined low-power mode means the aggregate of available modes other than active washing mode, including inactive mode, off mode, delay start mode, and cycle finished mode.

Cycle finished mode means an active mode that provides continuous status display, intermittent tumbling, or air circulation following operation in active washing mode.

Delay start mode means an active mode in which activation of active washing mode is facilitated by a timer.

Energy test cycle means the complete set of wash/rinse temperature selections required for testing, as determined according to section 2.12 of this appendix.

Fixed water fill control system means a clothes washer automatic water fill control system that automatically terminates the fill when the water reaches a pre-defined level that is not based on the size or weight of the clothes load placed in the clothes container, without allowing or requiring the user to determine or select the water fill level.

Inactive mode means a standby mode that facilitates the activation of active mode by remote switch (including remote control), internal sensor, or timer, or that provides continuous status display.

Integrated modified energy factor means the quotient of the cubic foot (or liter) capacity of the clothes container divided by the total clothes washer energy consumption per cycle, with such energy consumption expressed as the sum of:

(a) The machine electrical energy consumption;

(b) The hot water energy consumption;

(c) The energy required for removal of the remaining moisture in the wash load; and

(d) The combined low-power mode energy consumption.

Integrated water factor means the quotient of the total weighted per-cycle water consumption for all wash cycles in gallons divided by the cubic foot (or liter) capacity of the clothes washer.

Load usage factor means the percentage of the total number of wash loads that a user would wash a particular size (weight) load.

Lot means a quantity of cloth that has been manufactured with the same batches of cotton and polyester during one continuous process.

Manual water fill control system means a clothes washer water fill control system that requires the user to determine or select the water fill level.

Modified energy factor means the quotient of the cubic foot (or liter) capacity of the clothes container divided by the total clothes washer energy consumption per cycle, with such energy consumption expressed as the sum of the machine electrical energy consumption, the hot water energy consumption, and the energy required for removal of the remaining moisture in the wash load.

Non-water-heating clothes washer means a clothes washer that does not have an internal water heating device to generate hot water.

Normal cycle means the cycle recommended by the manufacturer (considering manufacturer instructions, control panel labeling, and other markings on the clothes washer) for normal, regular, or typical use for washing up to a full load of normally soiled cotton clothing. For machines where multiple cycle settings are recommended by the manufacturer for normal, regular, or typical use for washing up to a full load of normally soiled cotton clothing, then the Normal cycle is the cycle selection that results in the lowest IMEF or MEF_{J2} value.

Off mode means a mode in which the clothes washer is connected to a mains power source and is not providing any active or standby mode function, and where the mode may persist for an indefinite time.

Standby mode means any mode in which the clothes washer is connected to a mains power source and offers one or more of the following user oriented or protective functions that may persist for an indefinite time:

(a) Facilitating the activation of other modes (including activation or deactivation of active mode) by remote switch (including remote control), internal sensor, or timer;

(b) Continuous functions, including information or status displays (including clocks) or sensor-based functions.

(c) A timer is a continuous clock function (which may or may not be associated with a display) that provides regular scheduled tasks (*e.g.*, switching) and that operates on a continuous basis.

Temperature use factor means, for a particular wash/rinse temperature setting, the percentage of the total number of wash loads that an average user would wash with that setting.

User-adjustable adaptive water fill control system means a clothes washer fill control system that allows the user to adjust the amount of water that the machine provides, which is based on the size or weight of the clothes load placed in the clothes container.

Wash time means the wash portion of active washing mode, which begins when the cycle is initiated and includes the agitation or tumble time, which may be periodic or continuous during the wash portion of active washing mode.

Water factor means the quotient of the total weighted per-cycle water consumption for cold wash divided by the cubic foot (or liter) capacity of the clothes washer.

Water-heating clothes washer means a clothes washer where some or all of the hot water for clothes washing is generated by a water heating device internal to the clothes washer.

2. TESTING CONDITIONS AND INSTRUMENTATION

2.1 *Electrical energy supply.*

2.1.1 *Supply voltage and frequency.* Maintain the electrical supply at the clothes washer terminal block within 2 percent of 120, 120/240, or 120/208Y volts as applicable to the particular terminal block wiring system and within 2 percent of the nameplate frequency as specified by the manufacturer. If the clothes washer has a dual voltage conversion capability, conduct test at the highest voltage specified by the manufacturer.

2.1.2 *Supply voltage waveform.* For the combined low-power mode testing, maintain the electrical supply voltage waveform indicated in Section 4, Paragraph 4.3.2 of IEC 62301. If the power measuring instrument used for testing is unable to measure and record the total harmonic content during the test measurement period, total harmonic content may be measured and recorded immediately before and after the test measurement period.

2.2 *Supply water.* Maintain the temperature of the hot water supply at the water inlets between 130 °F (54.4 °C) and 135 °F (57.2 °C), targeting the midpoint of the range. Maintain the temperature of the cold water supply at the water inlets between 55 °F (12.8 °C) and 60 °F (15.6 °C), targeting the midpoint of the range.

2.3 *Water pressure.* Maintain the static water pressure at the hot and cold water inlet connection of the clothes washer at 35 pounds per square inch gauge (psig) ± 2.5 psig (241.3 kPa ± 17.2 kPa) when the water is flowing.

2.4 *Test room temperature.* For all clothes washers, maintain the test room ambient air temperature at 75 ± 5 °F (23.9 ± 2.8 °C) for active mode testing and combined low-power mode testing. Do not use the test room ambient air temperature conditions specified in Section 4, Paragraph 4.2 of IEC 62301 for combined low-power mode testing.

2.5 *Instrumentation.* Perform all test measurements using the following instruments, as appropriate:

2.5.1 *Weighing scales.*

2.5.1.1 *Weighing scale for test cloth.* The scale used for weighing test cloth must have a resolution of no larger than 0.2 oz (5.7 g) and a maximum error no greater than 0.3 percent of the measured value.

2.5.1.2 *Weighing scale for clothes container capacity measurement.* The scale used for performing the clothes container capacity measurement must have a resolution no larger than 0.50 lbs (0.23 kg) and a maximum error no greater than 0.5 percent of the measured value.

2.5.2 *Watt-hour meter.* The watt-hour meter used to measure electrical energy consumption must have a resolution no larger than 1 Wh (3.6 kJ) and a maximum error no greater than 2 percent of the measured value for any demand greater than 50 Wh (180.0 kJ).

2.5.3 *Watt meter.* The watt meter used to measure combined low-power mode power consumption must comply with the requirements specified in Section 4, Paragraph 4.4 of IEC 62301 (incorporated by reference, see §430.3). If the power measuring instrument used for testing is unable to measure and record the crest factor, power factor, or maximum current ratio during the test measurement period, the crest factor, power factor, and maximum current ratio may be measured and recorded immediately before and after the test measurement period.

2.5.4 *Water and air temperature measuring devices.* The temperature devices used to measure water and air temperature must have an error no greater than ±1 °F (±0.6 °C) over the range being measured.

2.5.4.1 Non-reversible temperature indicator labels, adhered to the inside of the clothes container, may be used to confirm that an extra-hot wash temperature greater than 135 °F has been achieved during the wash cycle, under the following conditions. The label must remain waterproof, intact, and adhered to the wash drum throughout an entire wash cycle; provide consistent maximum temperature readings; and provide repeatable temperature indications sufficient to demonstrate that a wash temperature of greater than 135 °F has been achieved. The label must have been verified to consistently indicate temperature measurements with an accuracy of ±1 °F if the label provides a temperature indicator at 135 °F. If the label does not provide a temperature indicator at 135 °F, the label must have been verified to consistently indicate temperature measurements with an accuracy of ±1 °F if the next-highest temperature indicator is greater

than 135 °F and less than 140 °F, or ±3 °F if the next-highest temperature indicator is 140 °F or greater. If the label does not provide a temperature indicator at 135 °F, failure to activate the next-highest temperature indicator does not necessarily indicate the lack of an extra-hot wash temperature. However, such a result would not be conclusive due to the lack of verification of the water temperature requirement, in which case an alternative method must be used to confirm that an extra-hot wash temperature greater than 135 °F has been achieved during the wash cycle. If using a temperature indicator label to test a front-loading clothes washer, adhere the label along the interior surface of the clothes container drum, midway between the front and the back of the drum, adjacent to one of the baffles. If using a temperature indicator label to test a top-loading clothes washer, adhere the label along the interior surface of the clothes container drum, on the vertical portion of the sidewall, as close to the bottom of the container as possible.

2.5.4.2 Submersible temperature loggers placed inside the wash drum may be used to confirm that an extra-hot wash temperature greater than 135 °F has been achieved during the wash cycle, under the following conditions. The submersible temperature logger must have a time resolution of at least 1 data point every 5 seconds and a temperature measurement accuracy of ±1 °F. Due to the potential for a waterproof capsule to provide a thermal insulating effect, failure to measure a temperature of 135 °F does not necessarily indicate the lack of an extra-hot wash temperature. However, such a result would not be conclusive due to the lack of verification of the water temperature requirement, in which case an alternative method must be used to confirm that an extra-hot wash temperature greater than 135 °F has been achieved during the wash cycle.

2.5.5 *Water meter.* A water meter must be installed in both the hot and cold water lines to measure water flow and/or water consumption. The water meters must have a resolution no larger than 0.1 gallons (0.4 liters) and a maximum error no greater than 2 percent for the water flow rates being measured. If the volume of hot water for any individual cycle within the energy test cycle is less than 0.1 gallons (0.4 liters), the hot water meter must have a resolution no larger than 0.01 gallons (0.04 liters).

2.5.6 *Water pressure gauge.* A water pressure gauge must be installed in both the hot and cold water lines to measure water pressure. The water pressure gauges must have a resolution of 1 pound per square inch gauge (psig) (6.9 kPa) and a maximum error no greater than 5 percent of any measured value.

2.6 *Bone dryer temperature.* The dryer used for bone drying must heat the test cloth load above 210 °F (99 °C).

2.7 *Test cloths.* The test cloth material and dimensions must conform to the specifications in appendix J3 to this subpart. The energy test cloth and the energy stuffer cloths must be clean and must not be used for more than 60 test runs (after preconditioning as specified in section 5 of appendix J3 to this subpart). All energy test cloth must be permanently marked identifying the lot number of the material. Mixed lots of material must not be used for testing a clothes washer. The moisture absorption and retention must be evaluated for each new lot of test cloth using the standard extractor Remaining Moisture Content (RMC) procedure specified in appendix J3 to this subpart.

2.8 *Test load sizes.* Use Table 5.1 of this appendix to determine the maximum, minimum, and, when required, average test load sizes based on the clothes container capacity as measured in section 3.1 of this appendix. Test loads must consist of energy test cloths and no more than five energy stuffer cloths per load to achieve the proper weight.

Use the test load sizes and corresponding water fill settings defined in Table 2.8 of this appendix when measuring water and energy consumption. Use only the maximum test load size when measuring RMC.

TABLE 2.8—REQUIRED TEST LOAD SIZES AND WATER FILL SETTINGS

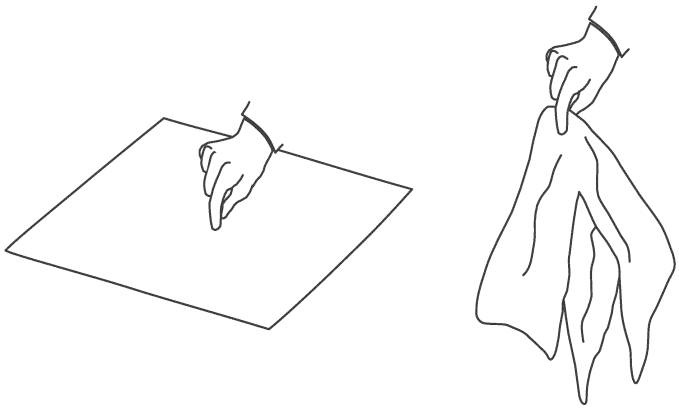
Water fill control system type	Test load size	Water fill setting
Manual water fill control system	Max	Max.
	Min	Min.
Automatic water fill control system	Max	As determined by the clothes washer.
	Avg	
	Min	

2.9 *Use of test loads.*

2.9.1 Test loads for energy and water consumption measurements must be bone dry prior to the first cycle of the test, and dried to a maximum of 104 percent of bone dry weight for subsequent testing.

2.9.2 Prepare the energy test cloths for loading by grasping them in the center, lifting, and shaking them to hang loosely, as illustrated in Figure 2.9.2 of this appendix.

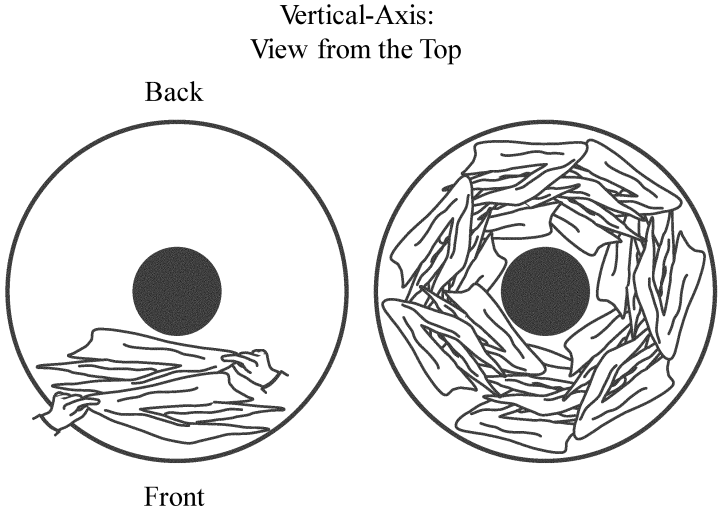
Figure 2.9.2—Grasping Energy Test Cloths in the Center, Lifting, and Shaking to Hang Loosely



For all clothes washers, follow any manufacturer loading instructions provided to the user regarding the placement of clothing within the clothes container. In the absence of any manufacturer instructions regarding the placement of clothing within the clothes container, the following loading instructions apply.

2.9.2.1 To load the energy test cloths in a top-loading clothes washer, arrange the cloths circumferentially around the axis of rotation of the clothes container, using alternating lengthwise orientations for adjacent pieces of cloth. Complete each cloth layer across its horizontal plane within the clothes container before adding a new layer. Figure 2.9.2.1 of this appendix illustrates the correct loading technique for a vertical-axis clothes washer.

Figure 2.9.2.1—Loading Energy Test Cloths into a Top-Loading Clothes Washer



2.9.2.2 To load the energy test cloths in a front-loading clothes washer, grasp each test cloth in the center as indicted in section 2.9.2 of this appendix, and then place each cloth into the clothes container prior to activating the clothes washer.

2.10 *Clothes washer installation.* Install the clothes washer in accordance with manufacturer's instructions. For combined low-power mode testing, install the clothes washer in accordance with Section 5, Paragraph 5.2 of IEC 62301 (incorporated by reference; see § 430.3), disregarding the provisions regarding batteries and the determination, classification, and testing of relevant modes.

2.11 *Clothes washer pre-conditioning.*

2.11.1 *Non-water-heating clothes washer.* If the clothes washer has not been filled with water in the preceding 96 hours, pre-condition it by running it through a cold rinse cycle and then draining it to ensure that the hose, pump, and sump are filled with water.

2.11.2 *Water-heating clothes washer.* If the clothes washer has not been filled with water in the preceding 96 hours, or if it has not been in the test room at the specified ambient conditions for 8 hours, pre-condition it by running it through a cold rinse cycle and then draining it to ensure that the hose, pump, and sump are filled with water.

2.12 *Determining the energy test cycle.* To determine the energy test cycle, evaluate the wash/rinse temperature selection flowcharts in the order in which they are presented in this section. Except for Cold Wash/Cold Rinse, use the maximum load size to evaluate each flowchart. The determination of the energy test cycle must take into consideration all cycle settings available to the end user, including any cycle selections or cycle modifications provided by the manufacturer via software or firmware updates to the product, for the basic model under test. The energy test cycle does not include any cycle that is recommended by the manufacturer exclusively for cleaning, deodorizing, or sanitizing the clothes washer.

Figure 2.12.1—Determination of Cold Wash/Cold Rinse

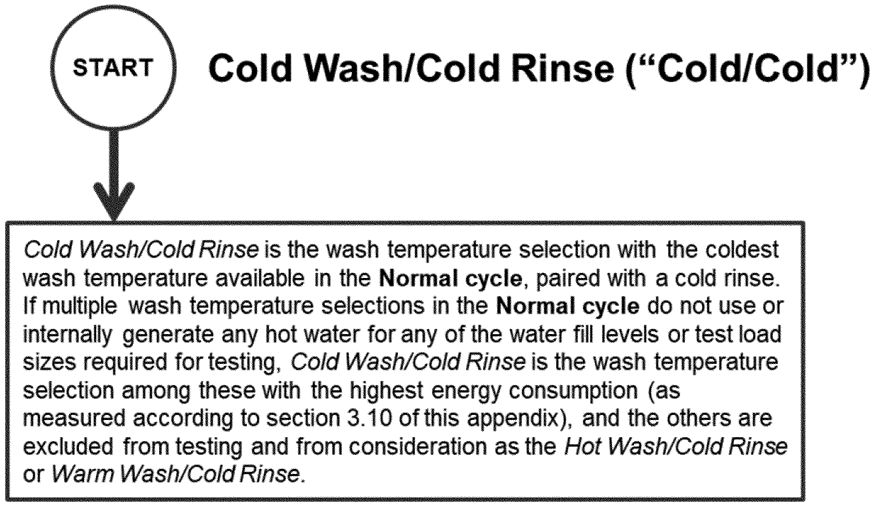


Figure 2.12.2—Determination of Hot Wash/Cold Rinse

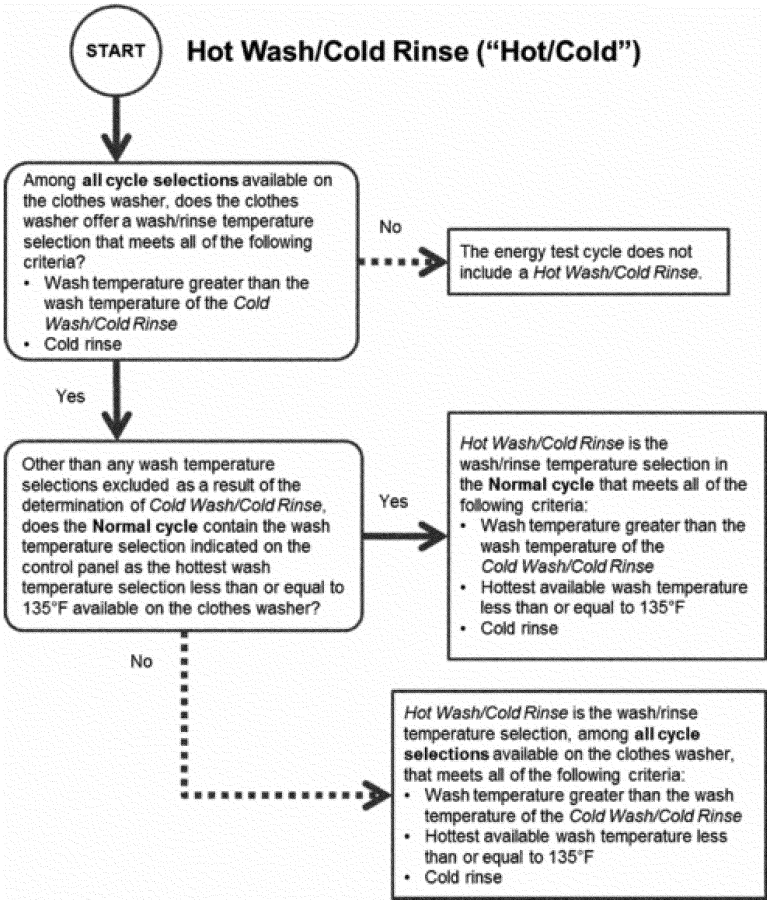


Figure 2.12.3—Determination of Warm Wash/Cold Rinse

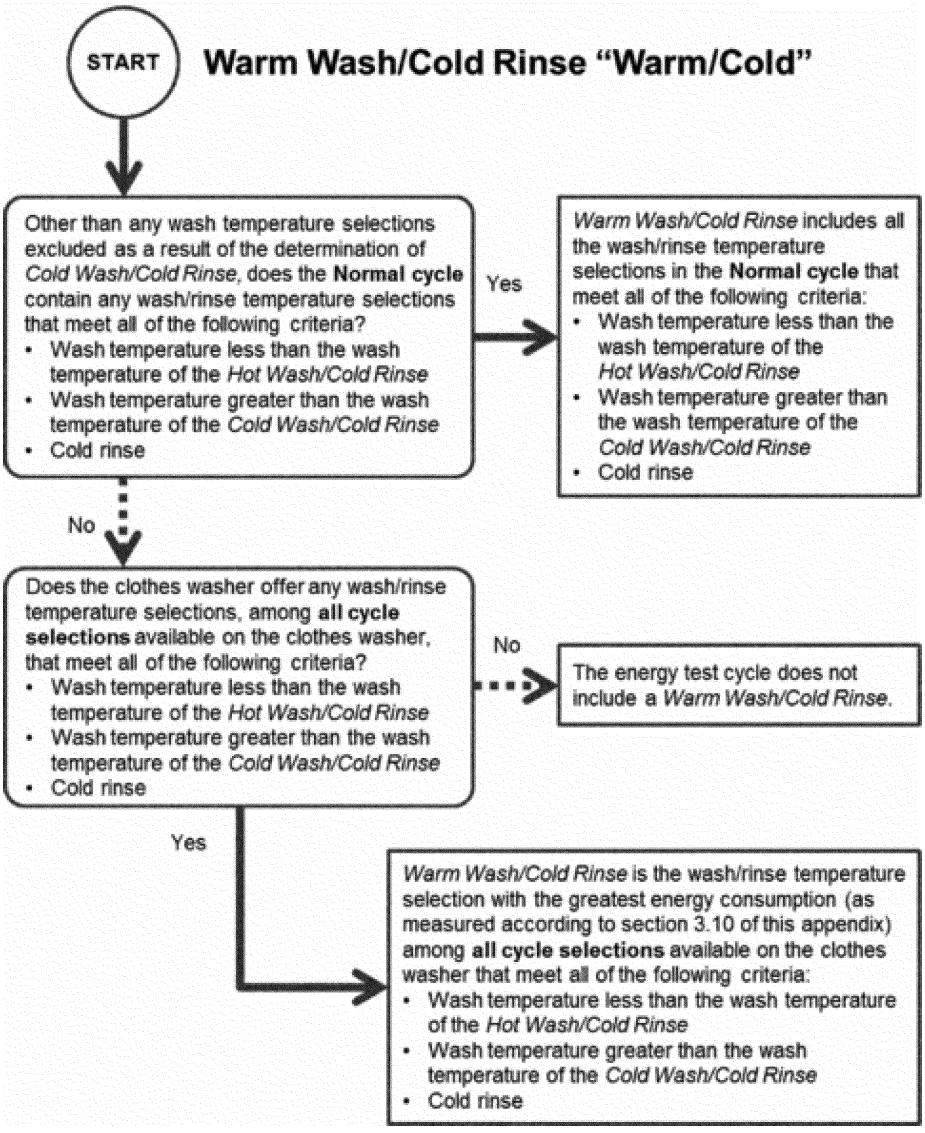


Figure 2.12.4—Determination of Warm Wash/Warm Rinse

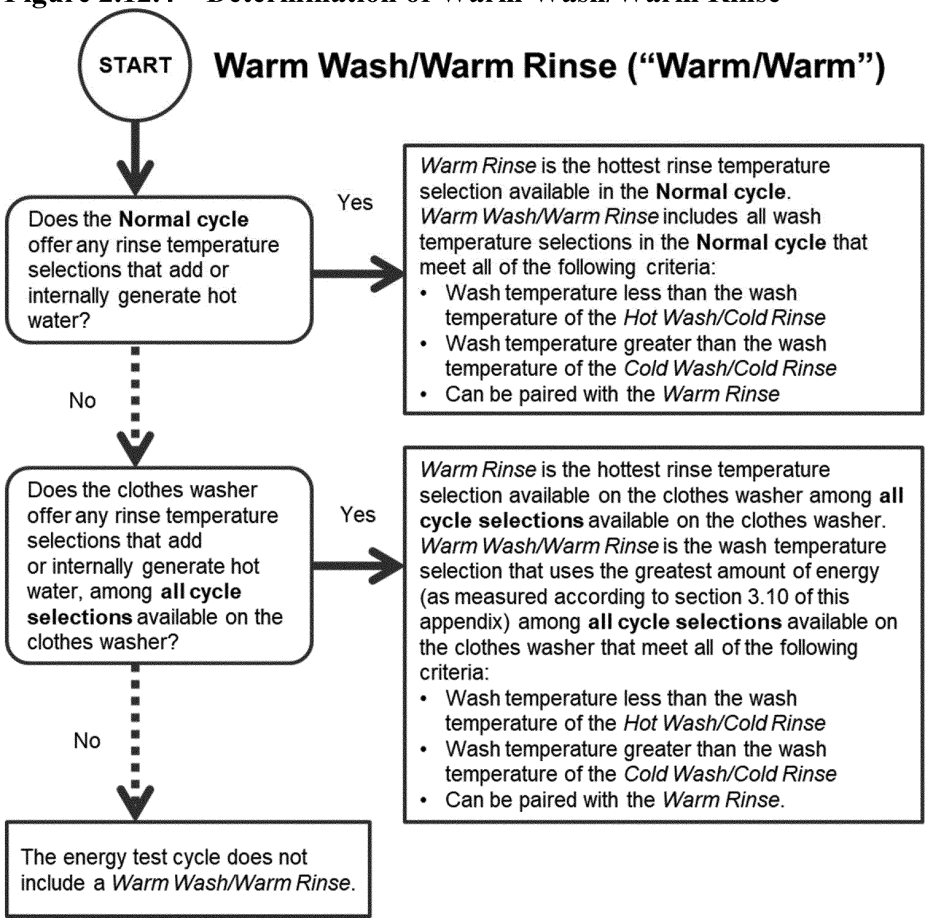
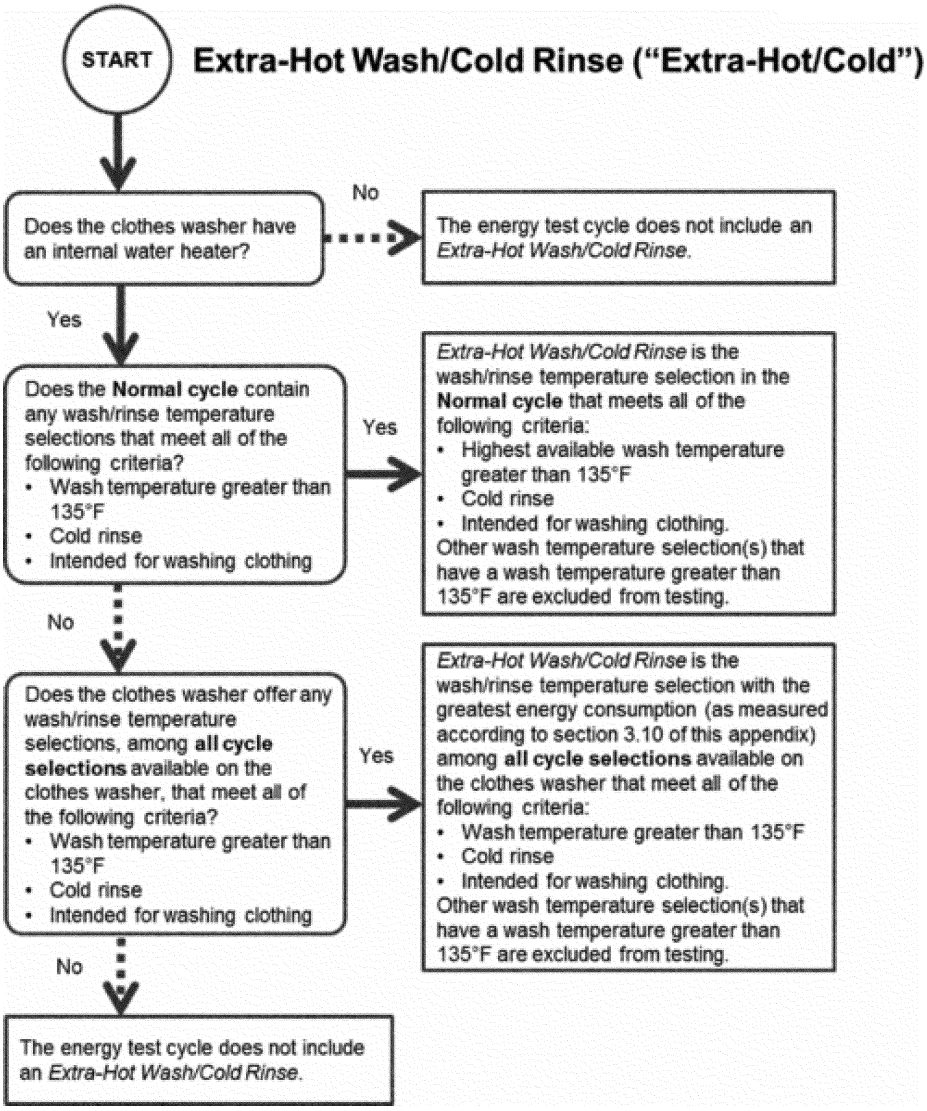


Figure 2.12.5—Determination of Extra-Hot Wash/Cold Rinse



3. TEST MEASUREMENTS

3.1 *Clothes container capacity*. Measure the entire volume that a clothes load could occupy within the clothes container during active mode washer operation according to the following procedures:

3.1.1 Place the clothes washer in such a position that the uppermost edge of the clothes container opening is leveled horizontally, so that the container will hold the maximum amount of water. For front-loading clothes washers, the door seal and shipping bolts or other forms of bracing hardware to support the wash drum during shipping must remain in place during the capacity measurement.

If the design of a front-loading clothes washer does not include shipping bolts or other forms of bracing hardware to support

the wash drum during shipping, a laboratory may support the wash drum by other means, including temporary bracing or support beams. Any temporary bracing or support beams must keep the wash drum in a fixed position, relative to the geometry of the door and door seal components, that is representative of the position of the wash drum during normal operation. The method used must avoid damage to the unit that would affect the results of the energy and water testing.

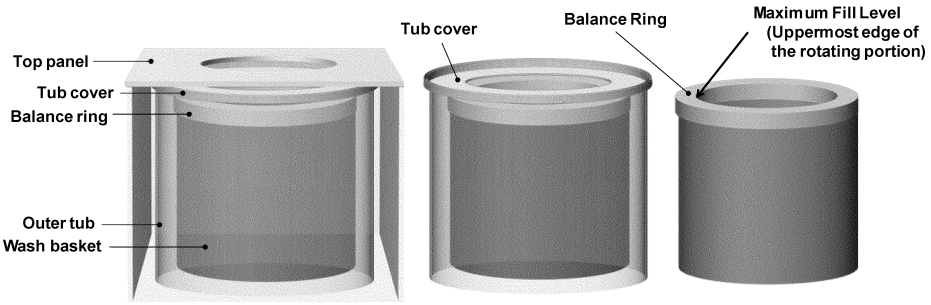
For a front-loading clothes washer that does not include shipping bolts or other forms of bracing hardware to support the wash drum during shipping, the laboratory must fully document the alternative method used to support the wash drum during capacity measurement, include such documentation in the final test report, and pursuant to §429.71 of this chapter, the manufacturer must retain such documentation as part its test records.

3.1.2 Line the inside of the clothes container with a 2 mil thickness (0.051 mm) plastic bag. All clothes washer components that occupy space within the clothes container and that are recommended for use during a wash cycle must be in place and must be lined with a 2 mil thickness (0.051 mm) plastic bag to prevent water from entering any void space.

3.1.3 Record the total weight of the machine before adding water.

3.1.4 Fill the clothes container manually with either 60 °F ± 5 °F (15.6 °C ± 2.8 °C) or 100 °F ± 10 °F (37.8 °C ± 5.5 °C) water, with the door open. For a top-loading vertical-axis clothes washer, fill the clothes container to the uppermost edge of the rotating portion, including any balance ring. Figure 3.1.4.1 of this appendix illustrates the maximum fill level for top-loading clothes washers.

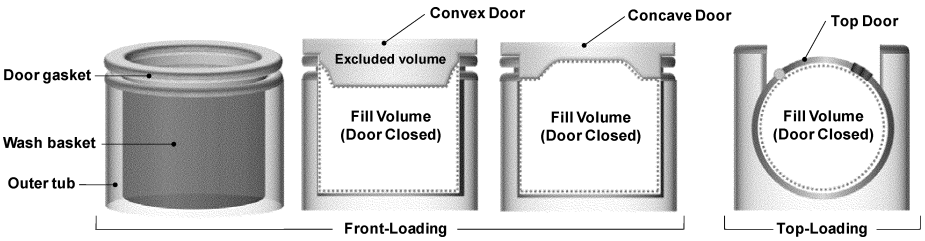
Figure 3.1.4.1—Maximum Fill Level for the Clothes Container Capacity Measurement of Top-Loading Vertical-Axis Clothes Washers



For a front-loading horizontal-axis clothes washer, fill the clothes container to the highest point of contact between the door and the door gasket. If any portion of the door or gasket would occupy the measured volume space when the door is closed, exclude from the measurement the volume that the door or gasket portion would occupy. For a front-loading horizontal-axis clothes washer with a concave door shape, include any additional volume above the plane defined by the highest point of contact between the door and the door gasket, if that area can be occupied by clothing during washer operation. For a top-loading horizontal-axis clothes washer, include any additional volume above the plane of the door hinge that clothing could occupy during washer operation. Figure 3.1.4.2 of this appendix illustrates the maximum fill volumes for all horizontal-axis clothes washer types.

Figure 3.1.4.2—Maximum Fill Volumes for the Clothes Container Capacity

Measurement of Horizontal-Axis Clothes Washers



For all clothes washers, exclude any volume that cannot be occupied by the clothing load during operation.

3.1.5 Measure and record the weight of water, W, in pounds.

3.1.6 Calculate the clothes container capacity as follows:

$C = W/d$

where:

C = Capacity in cubic feet (liters).
W = Mass of water in pounds (kilograms).
d = Density of water (62.0 lbs/ft^3 for 100 °F (993 kg/m^3 for 37.8 °C) or 62.3 lbs/ft^3 for 60 °F (998 kg/m^3 for 15.6 °C)).

3.1.7 Calculate the clothes container capacity, C, to the nearest 0.01 cubic foot for the purpose of determining test load sizes per Table 5.1 of this appendix and for all subsequent calculations that include the clothes container capacity.

3.2 *Procedure for measuring water and energy consumption values on all automatic and semi-automatic washers.*

3.2.1 Perform all energy consumption tests under the energy test cycle.

3.2.2 Perform the test sections listed in Table 3.2.2 in accordance with the wash/rinse temperature selections available in the energy test cycle.

TABLE 3.2.2—TEST SECTION REFERENCE

Wash/rinse temperature selections available in the energy test cycle	Corresponding test section reference
Extra-Hot/Cold	3.3
Hot/Cold	3.4
Warm/Cold	3.5
Warm/Warm	3.6
Cold/Cold	3.7
Test Sections Applicable to all Clothes Washers	
Remaining Moisture Content	3.8
Combined Low-Power Mode Power	3.9

3.2.3 *Hot and cold water faucets.*

3.2.3.1 For automatic clothes washers, open both the hot and cold water faucets.

3.2.3.2 For semi-automatic washers:

(1) For hot inlet water temperature, open the hot water faucet completely and close the cold water faucet;

(2) For warm inlet water temperature, open both hot and cold water faucets completely;

(3) For cold inlet water temperature, close the hot water faucet and open the cold water faucet completely.

3.2.4 *Wash/rinse temperature selection.* Set the wash/rinse temperature selection control to obtain the desired wash/rinse temperature selection within the energy test cycle.

3.2.5 *Wash time setting.*

3.2.5.1 If the cycle under test offers a range of wash time settings, the wash time setting shall be the higher of either the minimum or 70 percent of the maximum wash time available for the wash cycle under test, regardless of the labeling of suggested dial locations. If 70 percent of the maximum wash time is not available on a dial with a discrete number of wash time settings, choose the next-highest setting greater than 70 percent.

3.2.5.2 If the clothes washer is equipped with an electromechanical dial or timer controlling wash time that rotates in both directions, reset the dial to the minimum wash time and then turn it in the direction of increasing wash time to reach the appropriate setting. If the appropriate setting is passed, return the dial to the minimum wash time and then turn in the direction of increasing wash time until the appropriate setting is reached.

3.2.6 *Water fill levels.*

3.2.6.1 *Clothes washers with manual water fill control system.* Set the water fill selector to the maximum water level available for the wash cycle under test for the maximum test load size and the minimum water level available for the wash cycle under test for the minimum test load size.

3.2.6.2 *Clothes washers with automatic water fill control system.*

3.2.6.2.1 *Not user adjustable.* The maximum, minimum, and average water levels as described in the following sections refer to the amount of water fill that is automatically selected by the control system when the respective test loads are used.

3.2.6.2.2 *User-adjustable adaptive.* Conduct four tests on clothes washers with user-adjustable adaptive water fill controls. Conduct the first test using the maximum test load and with the adaptive water fill control system set in the setting that uses the most water. Conduct the second test using the minimum test load and with the adaptive water fill control system set in the setting that uses the least water. Conduct the third test using the average test load and with the adaptive water fill control system set in the setting that uses the most water. Conduct the fourth test using the average test load and with the adaptive water fill control system set in the setting that uses the least water. Average the results of the third and fourth tests to obtain the energy and water consumption values for the average test load size.

3.2.6.3 *Clothes washers with automatic water fill control system and alternate manual water fill control system.* If a clothes washer with an automatic water fill control system allows user selection of manual controls as an alternative, test both manual and automatic modes and, for each mode, calculate the energy consumption (HE_T, ME_T, and D_E) and water consumption (Q_T) values as set forth in section 4 of this appendix. Then, calculate the average of the two values (one from each mode, automatic and manual) for each variable (HE_T, ME_T, D_E, and Q_T) and use the average value for each variable in the final calculations in section 4 of this appendix.

3.2.7 *Manufacturer default settings.* For clothes washers with electronic control systems, use the manufacturer default settings for any cycle selections, except for (1) the temperature selection, (2) the wash water fill levels, (3) if necessary, the spin speeds on wash cycles used to determine remaining moisture content, or (4) network settings. If the clothes washer has network capabilities, the network settings must be disabled throughout testing if such settings can be disabled by the end-user and the product's user manual provides instructions on how to do so. For all other cycle selections, the manufacturer default settings must be used for wash conditions such as agitation/tumble operation, soil level, spin speed on wash cycles used to determine energy and water consumption, wash times, rinse times, optional rinse settings, water heating time for water heating clothes washers, and all other wash parameters or optional features applicable to that wash cycle. Any optional wash cycle feature or setting (other than wash/rinse temperature, water fill level selection, spin speed on wash cycles used to determine remaining moisture content, or network settings on clothes washers with network capabilities) that is activated by default on the wash cycle under test must be included for testing unless the manufacturer instructions recommend not selecting this option, or recommend selecting a different option, for washing normally soiled cotton clothing. For clothes washers with control panels containing mechanical switches or dials, any optional settings, except for (1) the temperature selection, (2) the wash water fill levels, or (3) if necessary, the spin speeds on wash cycles used to determine remaining moisture content, must be in the position recommended by the manufacturer for washing normally soiled cotton clothing. If the manufacturer instructions do not recommend a particular switch or dial position to be used for washing normally soiled cotton clothing, the setting switch or dial must remain in its as-shipped position.

3.2.8 For each wash cycle tested, include the entire active washing mode and exclude any delay start or cycle finished modes.

3.2.9 *Anomalous Test Cycles.* If during a wash cycle the clothes washer: (a) Signals to the user by means of a visual or audio alert that an out-of-balance condition has been detected; or (b) terminates prematurely and thus does not include the agitation/tumble operation, spin speed(s), wash times, and rinse times applicable to the wash cycle under test, discard the test data and repeat the wash cycle. Document in the test report the rejection of data from any wash cycle during testing and the reason for the rejection.

3.3 *Extra-Hot Wash/Cold Rinse.* Measure the water and electrical energy consumption for each water fill level and test load size as specified in sections 3.3.1 through 3.3.3 of this appendix for the Extra-Hot Wash/Cold Rinse as defined within the energy test cycle.

3.3.1 *Maximum test load and water fill.* Measure the values for hot water consumption (Hm_X), cold water consumption (Cm_X), and electrical energy consumption (Em_X) for an Extra-Hot Wash/Cold Rinse cycle, with the controls set for the maximum water fill level. Use the maximum test load size as specified in Table 5.1 of this appendix.

3.3.2 *Minimum test load and water fill.* Measure the values for hot water consumption (Hm_n), cold water consumption (Cm_n), and electrical energy consumption (Em_n) for an Extra-Hot Wash/Cold Rinse cycle, with the controls set for the minimum water fill level. Use the minimum test load size as specified in Table 5.1 of this appendix.

3.3.3 *Average test load and water fill.* For a clothes washer with an automatic water fill control system, measure the values for hot

water consumption (Hm_a), cold water consumption (Cm_a), and electrical energy consumption (Em_a) for an Extra-Hot Wash/Cold Rinse cycle. Use the average test load size as specified in Table 5.1 of this appendix.

3.4 *Hot Wash/Cold Rinse.* Measure the water and electrical energy consumption for each water fill level and test load size as specified in sections 3.4.1 through 3.4.3 of this appendix for the Hot Wash/Cold Rinse temperature selection, as defined within the energy test cycle.

3.4.1 *Maximum test load and water fill.* Measure the values for hot water consumption (Hh_X), cold water consumption (Ch_X), and electrical energy consumption (Eh_X) for a Hot Wash/Cold Rinse cycle, with the controls set for the maximum water fill level. Use the maximum test load size as specified in Table 5.1 of this appendix.

3.4.2 *Minimum test load and water fill.* Measure the values for hot water consumption (Hh_n), cold water consumption (Ch_n), and electrical energy consumption (Eh_n) for a Hot Wash/Cold Rinse cycle, with the controls set for the minimum water fill level. Use the minimum test load size as specified in Table 5.1 of this appendix.

3.4.3 *Average test load and water fill.* For a clothes washer with an automatic water fill control system, measure the values for hot water consumption (Hh_a), cold water consumption (Ch_a), and electrical energy consumption (Eh_a) for a Hot Wash/Cold Rinse cycle. Use the average test load size as specified in Table 5.1 of this appendix.

3.5 *Warm Wash/Cold Rinse.* Measure the water and electrical energy consumption for each water fill level and test load size as specified in sections 3.5.1 through 3.5.3 of this appendix for the applicable Warm Wash/Cold Rinse temperature selection(s), as defined within the energy test cycle.

For a clothes washer with fewer than four discrete Warm Wash/Cold Rinse temperature selections, test all Warm Wash/Cold Rinse selections. For a clothes washer that offers four or more Warm Wash/Cold Rinse selections, test at all discrete selections, or test at the 25 percent, 50 percent, and 75 percent positions of the temperature selection device between the hottest hot (≤135 °F (57.2 °C)) wash and the coldest cold wash. If a selection is not available at the 25, 50 or 75 percent position, in place of each such unavailable selection, use the next warmer setting. For each reportable value to be used for the Warm Wash/Cold Rinse temperature selection, calculate the average of all Warm Wash/Cold Rinse temperature selections tested pursuant to this section.

3.5.1 *Maximum test load and water fill.* Measure the values for hot water consumption (Hw_X), cold water consumption (Cw_X), and electrical energy consumption (Ew_X) for the Warm Wash/Cold Rinse cycle, with the controls set for the maximum water fill level. Use the maximum test load size as specified in Table 5.1 of this appendix.

3.5.2 *Minimum test load and water fill.* Measure the values for hot water consumption (Hw_n), cold water consumption (Cw_n), and electrical energy consumption (Ew_n) for the Warm Wash/Cold Rinse cycle, with the controls set for the minimum water fill level. Use the minimum test load size as specified in Table 5.1 of this appendix.

3.5.3 *Average test load and water fill.* For a clothes washer with an automatic water fill control system, measure the values for hot water consumption (Hw_a), cold water consumption (Cw_a), and electrical energy consumption (Ew_a) for a Warm Wash/Cold Rinse cycle. Use the average test load size as specified in Table 5.1 of this appendix.

3.6 *Warm Wash/Warm Rinse.* Measure the water and electrical energy consumption for each water fill level and/or test load size as specified in sections 3.6.1 through 3.6.3 of this appendix for the applicable Warm Wash/Warm Rinse temperature selection(s), as defined within the energy test cycle. For a clothes washer with fewer than four discrete Warm Wash/Warm Rinse temperature selections, test all Warm Wash/Warm Rinse selections. For a clothes washer that offers four or more Warm Wash/Warm Rinse selections, test at all discrete selections, or test at 25 percent, 50 percent, and 75 percent positions of the temperature selection device between the hottest hot (≤ 135 °F (57.2 °C)) wash and the coldest cold wash. If a selection is not available at the 25, 50 or 75 percent position, in place of each such unavailable selection use the next warmer setting. For each reportable value to be used for the Warm Wash/Warm Rinse temperature selection, calculate the average of all Warm Wash/Warm Rinse temperature selections tested pursuant to this section.

3.6.1 *Maximum test load and water fill.* Measure the values for hot water consumption (Hww_X), cold water consumption (Cww_X), and electrical energy consumption (Eww_X) for the Warm Wash/Warm Rinse cycle, with the controls set for the maximum water fill level. Use the maximum test load size as specified in Table 5.1 of this appendix.

3.6.2 *Minimum test load and water fill.* Measure the values for hot water consumption (Hww_n), cold water consumption (Cww_n), and electrical energy consumption (Eww_n) for the Warm Wash/Warm Rinse cycle, with the controls set for the minimum water fill level. Use the minimum test load size as specified in Table 5.1 of this appendix.

3.6.3 *Average test load and water fill.* For a clothes washer with an automatic water fill control system, measure the values for hot water consumption (Hww_a), cold water consumption (Cww_a), and electrical energy consumption (Eww_a) for the Warm Wash/Warm Rinse cycle. Use the average test load size as specified in Table 5.1 of this appendix.

3.7 *Cold Wash/Cold Rinse.* Measure the water and electrical energy consumption for each water fill level and test load size as specified in sections 3.7.1 through 3.7.3 of this appendix for the applicable Cold Wash/Cold Rinse temperature selection, as defined within the energy test cycle.

3.7.1 *Maximum test load and water fill.* Measure the values for hot water consumption (Hc_X), cold water consumption (Cc_X), and electrical energy consumption (Ec_X) for a Cold Wash/Cold Rinse cycle, with the controls set for the maximum water fill level. Use the maximum test load size as specified in Table 5.1 of this appendix.

3.7.2 *Minimum test load and water fill.* Measure the values for hot water consumption (Hc_n), cold water consumption (Cc_n), and electrical energy consumption (Ec_n) for a Cold Wash/Cold Rinse cycle, with the controls set for the minimum water fill level. Use the minimum test load size as specified in Table 5.1 of this appendix.

3.7.3 *Average test load and water fill.* For a clothes washer with an automatic water fill control system, measure the values for hot water consumption (Hc_a), cold water consumption (Cc_a), and electrical energy consumption (Ec_a) for a Cold Wash/Cold Rinse cycle. Use the average test load size as specified in Table 5.1 of this appendix.

3.8 *Remaining moisture content (RMC).*

3.8.1 The wash temperature must be the same as the rinse temperature for all testing. Use the maximum test load as defined in Table 5.1 of this appendix for testing.

3.8.2 *Clothes washers with cold rinse only.*

3.8.2.1 Record the actual ''bone dry'' weight of the test load (WI_X), then place the test load in the clothes washer.

3.8.2.2 Set the water level controls to maximum fill.

3.8.2.3 Run the Cold Wash/Cold Rinse cycle.

3.8.2.4 Record the weight of the test load immediately after completion of the wash cycle (WC_X).

3.8.2.5 Calculate the remaining moisture content of the maximum test load, RMC_X, defined as:

$$RMC_X = (WC_X - WI_X)/WI_X$$

3.8.2.6 Apply the RMC correction curve described in section 9 of appendix J3 to this subpart to calculate the corrected remaining moisture content, RMC_{corr}, expressed as a percentage as follows:

$$RMC_{corr} = (A \times RMC_X + B) \times 100\%$$

where:

A and B are the coefficients of the RMC correction curve as defined in section 8.7 of appendix J3 to this subpart.

RMC_X = As defined in section 3.8.2.5 of this appendix.

3.8.2.7 Use RMC_{corr} as the final corrected RMC in section 4.3 of this appendix.

3.8.3 *Clothes washers with both cold and warm rinse options.*

3.8.3.1 Complete sections 3.8.2.1 through 3.8.2.4 of this appendix for a Cold Wash/Cold Rinse cycle. Calculate the remaining moisture content of the maximum test load for Cold Wash/Cold Rinse, RMC_{COLD}, defined as:

$$RMC_{COLD} = (WC_X - WI_X)/WI_X$$

3.8.3.2 Apply the RMC correction curve described in section 9 of appendix J3 to this subpart to calculate the corrected remaining moisture content for Cold Wash/Cold Rinse, $RMC_{COLD,corr}$, expressed as a percentage, as follows:

$$RMC_{COLD,corr} = (A \times RMC_{COLD} + B) \times 100\%$$

where:

A and B are the coefficients of the RMC correction curve as defined in section 8.7 of appendix J3 to this subpart.

RMC_{COLD} = As defined in section 3.8.3.1 of this appendix.

3.8.3.3 Complete sections 3.8.2.1 through 3.8.2.4 of this appendix using a Warm Wash/Warm Rinse cycle instead. Calculate the remaining moisture content of the maximum test load for Warm Wash/Warm Rinse, RMC_{WARM}, defined as:

$$RMC_{WARM} = (WC_X - WI_X)/WI_X$$

3.8.3.4 Apply the RMC correction curve described in section 9 of appendix J3 to this subpart to calculate the corrected remaining moisture content for Warm Wash/Warm Rinse, $RMC_{WARM,corr}$, expressed as a percentage, as follows:

$$RMC_{WARM,corr} = (A \times RMC_{WARM} + B) \times 100\%$$

where:

A and B are the coefficients of the RMC correction curve as defined in section 8.7 of appendix J3 to this subpart.

RMC_{WARM} = As defined in section 3.8.3.3 of this appendix.

3.8.3.5 Calculate the corrected remaining moisture content of the maximum test load, RMC_{corr}, expressed as a percentage as follows:

$$RMC_{corr} = RMC_{COLD,corr} \times (1 - TUF_{ww}) + RMC_{WARM,corr} \times (TUF_{ww})$$

where:

$RMC_{COLD,corr}$ = As defined in section 3.8.3.2 of this Appendix.

$RMC_{WARM,corr}$ = As defined in section 3.8.3.4 of this Appendix.

TUF_{ww} is the temperature use factor for Warm Wash/Warm Rinse as defined in Table 4.1.1 of this appendix.

3.8.3.6 Use RMC_{corr} as calculated in section 3.8.3.5 as the final corrected RMC used in section 4.3 of this appendix.

3.8.4 *Clothes washers that have options such as multiple selections of spin speeds or spin times that result in different RMC values, and that are available within the energy test cycle.*

3.8.4.1 Complete sections 3.8.2 or 3.8.3 of this appendix, as applicable, using the maximum and minimum extremes of the available spin options, excluding any ''no spin'' (zero spin speed) settings. Combine the calculated values $RMC_{corr,max\ extraction}$ and $RMC_{corr,min\ extraction}$ at the maximum and minimum settings, respectively, as follows:

$RMC_{corr} = 0.75 \times RMC_{corr,max\ extraction} + 0.25 \times RMC_{corr,min\ extraction}$

where:

$RMC_{corr,\ max\ extraction}$ is the corrected remaining moisture content using the maximum spin setting, calculated according to section 3.8.2 or 3.8.3 of this appendix, as applicable.

$RMC_{corr,\ min\ extraction}$ is the corrected remaining moisture content using the minimum spin setting, calculated according to section 3.8.2 or 3.8.3 of this appendix, as applicable.

3.8.4.2 Use RMC_{corr} as calculated in section 3.8.4.1 as the final corrected RMC used in section 4.3 of this appendix.

3.8.5 The procedure for calculating the corrected RMC as described in section 3.8.2, 3.8.3, or 3.8.4 of this appendix may be replicated twice in its entirety, for a total of three independent corrected RMC measurements. If three replications of the RMC measurement are performed, use the average of the three corrected RMC measurements as the final corrected RMC in section 4.3 of this appendix.

3.9 *Combined low-power mode power.* Connect the clothes washer to a watt meter as specified in section 2.5.3 of this appendix. Establish the testing conditions set forth in sections 2.1, 2.4, and 2.10 of this appendix.

3.9.1 Perform combined low-power mode testing after completion of an active mode wash cycle included as part of the energy test cycle; after removing the test load; without changing the control panel settings used for the active mode wash cycle; with the door closed; and without disconnecting the electrical energy supply to the clothes washer between completion of the active mode wash cycle and the start of combined low-power mode testing.

3.9.2 For a clothes washer that takes some time to automatically enter a stable inactive mode or off mode state from a higher power state as discussed in Section 5, Paragraph 5.1, note 1 of IEC 62301 (incorporated by reference; see §430.3), allow sufficient time for the clothes washer to automatically reach the default inactive/off mode state before proceeding with the test measurement.

3.9.3 Once the stable inactive/off mode state has been reached, measure and record the default inactive/off mode power, $P_{default}$, in watts, following the test procedure for the sampling method specified in Section 5, Paragraph 5.3.2 of IEC 62301.

3.9.4 For a clothes washer with a switch, dial, or button that can be optionally selected by the end user to achieve a lower-power inactive/off mode state than the default inactive/off mode state measured in section 3.9.3 of this appendix, after performing the measurement in section 3.9.3, activate the switch, dial, or button to the position resulting in the lowest power consumption and repeat the measurement procedure described in section 3.9.3. Measure and record the lowest-power inactive/off mode power, P_{lowest}, in Watts.

3.10 *Energy consumption for the purpose of determining the cycle selection(s) to be included in the energy test cycle.* This section is implemented only in cases where the energy test cycle flowcharts in section 2.12 require the determination of the wash/rinse temperature selection with the highest energy consumption.

3.10.1 For the wash/rinse temperature selection being considered under this section, establish the testing conditions set forth in section 2 of this appendix. Select the applicable cycle selection and wash/rinse temperature selection. For all wash/rinse temperature selections, the manufacturer default settings shall be used as described in section 3.2.7 of this appendix.

3.10.2 Use the clothes washer's maximum test load size, determined from Table 5.1 of this appendix, for testing under this section.

3.10.3 For clothes washers with a manual fill control system, user-adjustable automatic water fill control system, or automatic water fill control system with alternate manual water fill control system, use the water fill selector setting resulting in the maximum water level available for each cycle selection for testing under this section.

3.10.4 Each wash cycle tested under this section shall include the entire active washing mode and exclude any delay start or cycle finished modes.

3.10.5 Measure each wash cycle's electrical energy consumption (E_X) and hot water consumption (H_X). Calculate the total energy consumption for each cycle selection (E_{TX}), as follows:

$E_{TX} = E_X + (H_X \times T \times K)$

where:

E_X is the electrical energy consumption, expressed in kilowatt-hours per cycle.

H_X is the hot water consumption, expressed in gallons per cycle.

T = nominal temperature rise = 75 °F (41.7 °C).

K = Water specific heat in kilowatt-hours per gallon per degree F = 0.00240 kWh/gal - °F (0.00114 kWh/L- °C).

4. Calculation of Derived Results From Test Measurements

4.1 *Hot water and machine electrical energy consumption of clothes washers.*

4.1.1 *Per-cycle temperature-weighted hot water consumption for all maximum, average, and minimum water fill levels tested.* Calculate the per-cycle temperature-weighted hot water consumption for the maximum water fill level, Vh_X, the average water fill level, Vh_a, and the minimum water fill level, Vh_n, expressed in gallons per cycle (or liters per cycle) and defined as:

(a) $Vh_X = [Hm_X \times TUF_m] + [Hh_X \times TUF_h] + [Hw_X \times TUF_w] + [Hww_X \times TUF_{ww}] + [Hc_X \times TUF_c]$

(b) $Vh_a = [Hm_a \times TUF_m] + [Hh_a \times TUF_h] + [Hw_a \times TUF_w] + [Hww_a \times TUF_{ww}] + [Hc_a \times TUF_c]$

(c) $Vh_n = [Hm_n \times TUF_m] + [Hh_n \times TUF_h] + [Hw_n \times TUF_w] + [Hww_n \times TUF_{ww}] + [Hc_n \times TUF_c]$

where:

Hm_X, Hm_a, and Hm_n, are reported hot water consumption values, in gallons per-cycle (or liters per cycle), at maximum, average, and minimum water fill levels, respectively, for the Extra-Hot Wash/Cold Rinse cycle, as measured in sections 3.3.1 through 3.3.3 of this appendix.

Hh_X, Hh_a, and Hh_n, are reported hot water consumption values, in gallons per-cycle (or liters per cycle), at maximum, average, and minimum water fill levels, respectively, for the Hot Wash/Cold Rinse cycle, as measured in sections 3.4.1 through 3.4.3 of this appendix.

Hw_X, Hw_a, and Hw_n, are reported hot water consumption values, in gallons per-cycle (or liters per cycle), at maximum, average, and minimum water fill levels, respectively, for the Warm Wash/Cold Rinse cycle, as measured in sections 3.5.1 through 3.5.3 of this appendix.

Hww_X, Hww_a, and Hww_n, are reported hot water consumption values, in gallons per-cycle (or liters per cycle), at maximum, average, and minimum water fill levels, respectively, for the Warm Wash/Warm Rinse cycle, as measured in sections 3.6.1 through 3.6.3 of this appendix.

Hc_X, Hc_a, and Hc_n, are reported hot water consumption values, in gallons per-cycle (or liters per cycle), at maximum, average, and minimum water fill levels, respectively, for the Cold Wash/Cold Rinse cycle, as measured in sections 3.7.1 through 3.7.3 of this appendix.

TUF_m, TUF_h, TUF_w, TUF_{ww}, and TUF_c are temperature use factors for Extra-Hot Wash/Cold Rinse, Hot Wash/Cold Rinse, Warm Wash/Cold Rinse, Warm Wash/Warm Rinse, and Cold Wash/Cold Rinse temperature selections, respectively, as defined in Table 4.1.1 of this appendix.

TABLE 4.1.1—TEMPERATURE USE FACTORS

Wash/Rinse Temperature Selections Available in the Energy Test Cycle	Clothes washers with cold rinse only					Clothes washers with both cold and warm rinse		
	C/C	H/C C/C	H/C W/C C/C	XH/C H/C C/C	XH/C H/C W/C C/C	H/C W/C W/W C/C	XH/C H/C W/W C/C	XH/C H/C W/C W/W C/C
TUF_m (Extra-Hot/Cold)	.....	.....	.....	0.14	0.05	.....	0.14	0.05
TUF_h (Hot/Cold)	.....	0.63	0.14	*0.49	0.09	0.14	*0.22	0.09
TUF_w (Warm/Cold)	.....	.....	0.49	.....	0.49	0.22	.....	0.22
TUF_{ww} (Warm/Warm)	.....	.....	.....	.....	.....	0.27	0.27	0.27
TUF_c (Cold/Cold)	1.00	0.37	0.37	0.37	0.37	0.37	0.37	0.37

*On clothes washers with only two wash temperature selections ≤135 °F, the higher of the two wash temperatures is classified as a Hot Wash/Cold Rinse, in accordance with the wash/rinse temperature definitions within the energy test cycle.

4.1.2 *Total per-cycle hot water energy consumption for all maximum, average, and minimum water fill levels tested.* Calculate the total per-cycle hot water energy consumption for the maximum water fill level, HE_{max}, the average water fill level, HE_{avg}, and the minimum water fill level, HE_{min}, expressed in kilowatt-hours per cycle and defined as:

(a) $HE_{max} = [Vh_X \times T \times K]$ = Total energy when a maximum load is tested.

(b) $HE_{avg} = [Vh_a \times T \times K]$ = Total energy when an average load is tested.

(c) $HE_{min} = [Vh_n \times T \times K]$ = Total energy when a minimum load is tested.

where:

Vh_X, Vh_a, and Vh_n are defined in section 4.1.1 of this appendix.

T = Temperature rise = 75 °F (41.7 °C).

K = Water specific heat in kilowatt-hours per gallon per degree F = 0.00240 kWh/gal- °F (0.00114 kWh/L- °C).

4.1.3 *Total weighted per-cycle hot water energy consumption.* Calculate the total weighted per-cycle hot water energy consumption, HE_T, expressed in kilowatt-hours per cycle and defined as:

$HE_T = [HE_{max} \times F_{max}] + [HE_{avg} \times F_{avg}] + HE_{min} \times F_{min}]$

where:

HE_{max}, HE_{avg}, and HE_{min} are defined in section 4.1.2 of this appendix.

F_{max}, F_{avg}, and F_{min} are the load usage factors for the maximum, average, and minimum test loads based on the size and type of

the control system on the washer being tested, as defined in Table 4.1.3 of this appendix.

TABLE 4.1.3—LOAD USAGE FACTORS

Load usage factor	Water fill control system	
	Manual	Automatic
F_{max} =	0.72	0.12
F_{avg} =	.....	0.74
F_{min} =	0.28	0.14

4.1.4 *Total per-cycle hot water energy consumption using gas-heated or oil-heated water, for product labeling requirements.* Calculate for the energy test cycle the per-cycle hot water consumption, HE_{TG}, using gas-heated or oil-heated water, expressed in Btu per cycle (or megajoules per cycle) and defined as:

$HE_{TG} = HE_T \times 1/e \times 3412$ Btu/kWh or $HE_{TG} = HE_T \times 1/e \times 3.6$ MJ/kWh

where:

e = Nominal gas or oil water heater efficiency = 0.75.

HE_T = As defined in section 4.1.3 of this Appendix.

4.1.5 *Per-cycle machine electrical energy consumption for all maximum, average, and minimum test load sizes.* Calculate the total per-cycle machine electrical energy consumption for the maximum water fill level, ME_{max}, the average water fill level, ME_{avg}, and the minimum water fill level, ME_{min}, expressed in kilowatt-hours per cycle and defined as:

(a) $ME_{max} = [Em_X \times TUF_m] + [Eh_X \times TUF_h] + [Ew_X \times TUF_w] + [Eww_X \times TUF_{ww}] + [Ec_X \times TUF_c]$

(b) $ME_{avg} = [Em_a \times TUF_m] + [Eh_a \times TUF_h] + [Ew_a \times TUF_w] + [Eww_a \times TUF_{ww}] + [Ec_a \times TUF_c]$

(c) $ME_{min} = [Em_n \times TUF_m] + [Eh_n \times TUF_h] + [Ew_n \times TUF_w] + [Eww_n \times TUF_{ww}] + [Ec_n \times TUF_c]$

where:

Em_X, Em_a, and Em_n, are reported electrical energy consumption values, in kilowatt-hours per cycle, at maximum, average, and minimum test loads, respectively, for the Extra-Hot Wash/Cold Rinse cycle, as measured in sections 3.3.1 through 3.3.3 of this appendix.

Eh_X, Eh_a, and Eh_n, are reported electrical energy consumption values, in kilowatt-hours per cycle, at maximum, average, and minimum test loads, respectively, for the Hot Wash/Cold Rinse cycle, as measured in sections 3.4.1 through 3.4.3 of this appendix.

Ew_X, Ew_a, and Ew_n, are reported electrical energy consumption values, in kilowatt-hours per cycle, at maximum, average, and minimum test loads, respectively, for the Warm Wash/Cold Rinse cycle, as measured in sections 3.5.1 through 3.5.3 of this appendix.

Eww_X, Eww_a, and Eww_n, are reported electrical energy consumption values, in kilowatt-hours per cycle, at maximum, average, and minimum test loads, respectively, for the Warm Wash/Warm Rinse cycle, as measured in sections 3.6.1 through 3.6.3 of this appendix.

Ec_X, Ec_a, and Ec_n, are reported electrical energy consumption values, in kilowatt-hours per cycle, at maximum, average, and minimum test loads, respectively, for the Cold Wash/Cold Rinse cycle, as measured in sections 3.7.1 through 3.7.3 of this appendix.

TUF_m, TUF_h, TUF_w, TUF_{ww}, and TUF_c are defined in Table 4.1.1 of this appendix.

4.1.6 *Total weighted per-cycle machine electrical energy consumption.* Calculate the total weighted per-cycle machine electrical energy consumption, ME_T, expressed in kilowatt-hours per cycle and defined as:

$ME_T = [ME_{max} \times F_{max}] + [ME_{avg} \times F_{avg}] + [ME_{min} \times F_{min}]$

where:

ME_{max}, ME_{avg}, and ME_{min} are defined in section 4.1.5 of this appendix.

F_{max}, F_{avg}, and F_{min} are defined in Table 4.1.3 of this appendix.

4.1.7 *Total per-cycle energy consumption when electrically heated water is used.* Calculate the total per-cycle energy consumption, E_{TE}, using electrically heated water, expressed in kilowatt-hours per cycle and defined as:

$E_{TE} = H_{ET} + M_{ET}$

where:

M_{ET} = As defined in section 4.1.6 of this appendix.

H_{ET} = As defined in section 4.1.3 of this appendix.

4.2 Water consumption of clothes washers.

4.2.1 *Per-cycle water consumption for Extra-Hot Wash/Cold Rinse.* Calculate the maximum, average, and minimum total water consumption, expressed in gallons per cycle (or liters per cycle), for the Extra-Hot Wash/Cold Rinse cycle and defined as:

$Qm_{max} = [Hm_X + Cm_X]$
$Qm_{avg} = [Hm_a + Cm_a]$
$Qm_{min} = [Hm_n + Cm_n]$

where:

Hm_X, Cm_X, Hm_a, Cm_a, Hm_n, and Cm_n are defined in section 3.3 of this appendix.

4.2.2 *Per-cycle water consumption for Hot Wash/Cold Rinse.* Calculate the maximum, average, and minimum total water consumption, expressed in gallons per cycle (or liters per cycle), for the Hot Wash/Cold Rinse cycle and defined as:

$Qh_{max} = [Hh_X + Ch_X]$
$Qh_{avg} = [Hh_a + Ch_a]$
$Qh_{min} = [Hh_n + Ch_n]$

where:

Hh_X, Ch_X, Hh_a, Ch_a, Hh_n, and Ch_n are defined in section 3.4 of this appendix.

4.2.3 *Per-cycle water consumption for Warm Wash/Cold Rinse.* Calculate the maximum, average, and minimum total water consumption, expressed in gallons per cycle (or liters per cycle), for the Warm Wash/Cold Rinse cycle and defined as:

$Qw_{max} = [Hw_X + Cw_X]$
$Qw_{avg} = [Hw_a + Cw_a]$
$Qw_{min} = [Hw_n + Cw_n]$

where:

Hw_X, Cw_X, Hw_a, Cw_a, Hw_n, and Cw_n are defined in section 3.5 of this appendix.

4.2.4 *Per-cycle water consumption for Warm Wash/Warm Rinse.* Calculate the maximum, average, and minimum total water consumption, expressed in gallons per cycle (or liters per cycle), for the Warm Wash/Warm Rinse cycle and defined as:

$Qww_{max} = [Hww_X + Cww_X]$
$Qww_{avg} = [Hww_a + Cww_a]$
$Qww_{min} = [Hww_n + Cww_n]$

where:

Hww_X, Cww_X, Hww_a, Cww_a, Hww_n, and Cww_n are defined in section 3.6 of this appendix.

4.2.5 *Per-cycle water consumption for Cold Wash/Cold Rinse.* Calculate the maximum, average, and minimum total water consumption, expressed in gallons per cycle (or liters per cycle), for the Cold Wash/Cold Rinse cycle and defined as:

$Qc_{max} = [Hc_X + Cc_X]$
$Qc_{avg} = [Hc_a + Cc_a]$
$Qc_{min} = [Hc_n + Cc_n]$

where:

Hc_X, Cc_X, Hc_a, Cc_a, Hc_n, and Cc_n are defined in section 3.7 of this appendix.

4.2.6 *Total weighted per-cycle water consumption for Extra-Hot Wash/Cold Rinse.* Calculate the total weighted per-cycle water consumption for the Extra-Hot Wash/Cold Rinse cycle, Qm_T, expressed in gallons per cycle (or liters per cycle) and defined as:

$Qm_T = [Qm_{max} \times F_{max}] + [Qm_{avg} \times F_{avg}] + [Qm_{min} \times F_{min}]$

where:

Qm_{max}, Qm_{avg}, Qm_{min} are defined in section 4.2.1 of this appendix.

F_{max}, F_{avg}, F_{min} are defined in Table 4.1.3 of this appendix.

4.2.7 *Total weighted per-cycle water consumption for Hot Wash/Cold Rinse.* Calculate the total weighted per-cycle water consumption for the Hot Wash/Cold Rinse cycle, Qh_T, expressed in gallons per cycle (or liters per cycle) and defined as:

$Qh_T = [Qh_{max} \times F_{max}] + [Qh_{avg} \times F_{avg}] + [Qh_{min} \times F_{min}]$

where:

Qh_{max}, Qh_{avg}, Qh_{min} are defined in section 4.2.2 of this appendix.

F_{max}, F_{avg}, F_{min} are defined in Table 4.1.3 of this appendix.

4.2.8 *Total weighted per-cycle water consumption for Warm Wash/Cold Rinse.* Calculate the total weighted per-cycle water consumption for the Warm Wash/Cold Rinse cycle, Qw_T, expressed in gallons per cycle (or liters per cycle) and defined as:

$Qw_T = [Qw_{max} \times F_{max}] + [Qw_{avg} \times F_{avg}] + [Qw_{min} \times F_{min}]$

where:

Qw_{max}, Qw_{avg}, Qw_{min} are defined in section 4.2.3 of this appendix.

F_{max}, F_{avg}, F_{min} are defined in Table 4.1.3 of this appendix.

4.2.9 *Total weighted per-cycle water consumption for Warm Wash/Warm Rinse.* Calculate the total weighted per-cycle water consumption for the Warm Wash/Warm Rinse cycle, Qww_T, expressed in gallons per cycle (or liters per cycle) and defined as:

$Qww_T = [Qww_{max} \times F_{max}] + [Qww_{avg} \times F_{avg}] + [Qww_{min} \times F_{min}]$

where:

Qww_{max}, Qww_{avg}, Qww_{min} are defined in section 4.2.4 of this appendix.

F_{max}, F_{avg}, F_{min} are defined in Table 4.1.3 of this appendix.

4.2.10 *Total weighted per-cycle water consumption for Cold Wash/Cold Rinse.* Calculate the total weighted per-cycle water consumption for the Cold Wash/Cold Rinse cycle, Qc_T, expressed in gallons per cycle (or liters per cycle) and defined as:

$Qc_T = [Qc_{max} \times F_{max}] + [Qc_{avg} \times F_{avg}] + [Qc_{min} \times F_{min}]$

where:

Qc_{max}, Qc_{avg}, Qc_{min} are defined in section 4.2.5 of this appendix.

F_{max}, F_{avg}, F_{min} are defined in Table 4.1.3 of this appendix.

4.2.11 *Total weighted per-cycle water consumption for all wash cycles.* Calculate the total weighted per-cycle water consumption for all wash cycles, Q_T, expressed in gallons per cycle (or liters per cycle) and defined as:

$Q_T = [Qm_T \times TUF_m] + [Qh_T \times TUF_h] + [Qw_T \times TUF_w] + [Qww_T \times TUF_{ww}] + [Qc_T \times TUF_c]$

where:

Qm_T, Qh_T, Qw_T, Qww_T, and Qc_T are defined in sections 4.2.6 through 4.2.10 of this appendix.

TUF_m, TUF_h, TUF_w, TUF_{ww}, and TUF_c are defined in Table 4.1.1 of this appendix.

4.2.12 *Integrated water factor.* Calculate the integrated water factor, IWF, expressed in gallons per cycle per cubic foot (or liters per cycle per liter), as:

$IWF = Q_T/C$

where:

Q_T = As defined in section 4.2.11 of this appendix.

C = As defined in section 3.1.7 of this appendix.

4.3 *Per-cycle energy consumption for removal of moisture from test load*. Calculate the per-cycle energy required to remove the remaining moisture of the test load, D_E, expressed in kilowatt-hours per cycle and defined as:

$D_E = [(F_{max} \times \text{Maximum test load weight}) + (F_{avg} \times \text{Average test load weight}) + (F_{min} \times \text{Minimum test load weight})] \times (RMC_{corr} - 4\%) \times (DEF) \times (DUF)$

where:

F_{max}, F_{avg}, and F_{min} are defined in Table 4.1.3 of this appendix.

Maximum, average, and minimum test load weights are defined in Table 5.1 of this appendix.

RMC_{corr} = As defined in section 3.8.2.6, 3.8.3.5, or 3.8.4.1 of this Appendix.

DEF = Nominal energy required for a clothes dryer to remove moisture from clothes = 0.5 kWh/lb (1.1 kWh/kg).

DUF = Dryer usage factor, percentage of washer loads dried in a clothes dryer = 0.91.

4.4 *Per-cycle combined low-power mode energy consumption*. Calculate the per-cycle combined low-power mode energy consumption, E_{TLP}, expressed in kilowatt-hours per cycle and defined as:

$E_{TLP} = [(P_{default} \times S_{default}) + (P_{lowest} \times S_{lowest})] \times K_p/295$

where:

$P_{default}$ = Default inactive/off mode power, in watts, as measured in section 3.9.3 of this appendix.

P_{lowest} = Lowest-power inactive/off mode power, in watts, as measured in section 3.9.4 of this appendix for clothes washers with a switch, dial, or button that can be optionally selected by the end user to achieve a lower-power inactive/off mode than the default inactive/off mode; otherwise, P_{lowest}=0.

$S_{default}$= Annual hours in default inactive/off mode, defined as 8,465 if no optional lowest-power inactive/off mode is available; otherwise 4,232.5.

S_{lowest}= Annual hours in lowest-power inactive/off mode, defined as 0 if no optional lowest-power inactive/off mode is available; otherwise 4,232.5.

K_p = Conversion factor of watt-hours to kilowatt-hours = 0.001.

295 = Representative average number of clothes washer cycles in a year.

8,465 = Combined annual hours for inactive and off mode.

4,232.5 = One-half of the combined annual hours for inactive and off mode.

4.5 *Modified energy factor*. Calculate the modified energy factor, MEF_{J2}, expressed in cubic feet per kilowatt-hour per cycle (or liters per kilowatt-hour per cycle) and defined as:

$MEF_{J2} = C/(E_{TE} + D_E)$

where:

C = As defined in section 3.1.7 of this appendix.

E_{TE} = As defined in section 4.1.7 of this appendix.

D_E = As defined in section 4.3 of this appendix.

4.6 *Integrated modified energy factor*. Calculate the integrated modified energy factor, IMEF, expressed in cubic feet per kilowatt-hour per cycle (or liters per kilowatt-hour per cycle) and defined as:

$IMEF = C/(E_{TE} + D_E + E_{TLP})$

where:

C = As defined in section 3.1.7 of this appendix.

E_{TE} = As defined in section 4.1.7 of this appendix.

D_E = As defined in section 4.3 of this appendix.

E_{TLP} = As defined in section 4.4 of this appendix.

5. Test Loads

TABLE 5.1—TEST LOAD SIZES

Container volume		Minimum load		Maximum load		Average load	
cu. ft.	liter	lb	kg	lb	kg	lb	kg
≥ <	≥ <						
0.00–0.80	0.00–22.7	3.00	1.36	3.00	1.36	3.00	1.36
0.80–0.90	22.7–25.5	3.00	1.36	3.50	1.59	3.25	1.47
0.90–1.00	25.5–28.3	3.00	1.36	3.90	1.77	3.45	1.56
1.00–1.10	28.3–31.1	3.00	1.36	4.30	1.95	3.65	1.66
1.10–1.20	31.1–34.0	3.00	1.36	4.70	2.13	3.85	1.75
1.20–1.30	34.0–36.8	3.00	1.36	5.10	2.31	4.05	1.84
1.30–1.40	36.8–39.6	3.00	1.36	5.50	2.49	4.25	1.93
1.40–1.50	39.6–42.5	3.00	1.36	5.90	2.68	4.45	2.02
1.50–1.60	42.5–45.3	3.00	1.36	6.40	2.90	4.70	2.13
1.60–1.70	45.3–48.1	3.00	1.36	6.80	3.08	4.90	2.22

TABLE 5.1—TEST LOAD SIZES—Continued

Container volume		Minimum load		Maximum load		Average load	
cu. ft.	liter	lb	kg	lb	kg	lb	kg
≥ <	≥ <						
1.70–1.80	48.1–51.0	3.00	1.36	7.20	3.27	5.10	2.31
1.80–1.90	51.0–53.8	3.00	1.36	7.60	3.45	5.30	2.40
1.90–2.00	53.8–56.6	3.00	1.36	8.00	3.63	5.50	2.49
2.00–2.10	56.6–59.5	3.00	1.36	8.40	3.81	5.70	2.59
2.10–2.20	59.5–62.3	3.00	1.36	8.80	3.99	5.90	2.68
2.20–2.30	62.3–65.1	3.00	1.36	9.20	4.17	6.10	2.77
2.30–2.40	65.1–68.0	3.00	1.36	9.60	4.35	6.30	2.86
2.40–2.50	68.0–70.8	3.00	1.36	10.00	4.54	6.50	2.95
2.50–2.60	70.8–73.6	3.00	1.36	10.50	4.76	6.75	3.06
2.60–2.70	73.6–76.5	3.00	1.36	10.90	4.94	6.95	3.15
2.70–2.80	76.5–79.3	3.00	1.36	11.30	5.13	7.15	3.24
2.80–2.90	79.3–82.1	3.00	1.36	11.70	5.31	7.35	3.33
2.90–3.00	82.1–85.0	3.00	1.36	12.10	5.49	7.55	3.42
3.00–3.10	85.0–87.8	3.00	1.36	12.50	5.67	7.75	3.52
3.10–3.20	87.8–90.6	3.00	1.36	12.90	5.85	7.95	3.61
3.20–3.30	90.6–93.4	3.00	1.36	13.30	6.03	8.15	3.70
3.30–3.40	93.4–96.3	3.00	1.36	13.70	6.21	8.35	3.79
3.40–3.50	96.3–99.1	3.00	1.36	14.10	6.40	8.55	3.88
3.50–3.60	99.1–101.9	3.00	1.36	14.60	6.62	8.80	3.99
3.60–3.70	101.9–104.8	3.00	1.36	15.00	6.80	9.00	4.08
3.70–3.80	104.8–107.6	3.00	1.36	15.40	6.99	9.20	4.17
3.80–3.90	107.6–110.4	3.00	1.36	15.80	7.16	9.40	4.26
3.90–4.00	110.4–113.3	3.00	1.36	16.20	7.34	9.60	4.35
4.00–4.10	113.3–116.1	3.00	1.36	16.60	7.53	9.80	4.45
4.10–4.20	116.1–118.9	3.00	1.36	17.00	7.72	10.00	4.54
4.20–4.30	118.9–121.8	3.00	1.36	17.40	7.90	10.20	4.63
4.30–4.40	121.8–124.6	3.00	1.36	17.80	8.09	10.40	4.72
4.40–4.50	124.6–127.4	3.00	1.36	18.20	8.27	10.60	4.82
4.50–4.60	127.4–130.3	3.00	1.36	18.70	8.46	10.85	4.91
4.60–4.70	130.3–133.1	3.00	1.36	19.10	8.65	11.05	5.00
4.70–4.80	133.1–135.9	3.00	1.36	19.50	8.83	11.25	5.10
4.80–4.90	135.9–138.8	3.00	1.36	19.90	9.02	11.45	5.19
4.90–5.00	138.8–141.6	3.00	1.36	20.30	9.20	11.65	5.28
5.00–5.10	141.6–144.4	3.00	1.36	20.70	9.39	11.85	5.38
5.10–5.20	144.4–147.2	3.00	1.36	21.10	9.58	12.05	5.47
5.20–5.30	147.2–150.1	3.00	1.36	21.50	9.76	12.25	5.56
5.30–5.40	150.1–152.9	3.00	1.36	21.90	9.95	12.45	5.65
5.40–5.50	152.9–155.7	3.00	1.36	22.30	10.13	12.65	5.75
5.50–5.60	155.7–158.6	3.00	1.36	22.80	10.32	12.90	5.84
5.60–5.70	158.6–161.4	3.00	1.36	23.20	10.51	13.10	5.93
5.70–5.80	161.4–164.2	3.00	1.36	23.60	10.69	13.30	6.03
5.80–5.90	164.2–167.1	3.00	1.36	24.00	10.88	13.50	6.12
5.90–6.00	167.1–169.9	3.00	1.36	24.40	11.06	13.70	6.21
6.00–6.10	169.9–172.7	3.00	1.36	24.80	11.25	13.90	6.30
6.10–6.20	172.7–175.6	3.00	1.36	25.20	11.43	14.10	6.40
6.20–6.30	175.6–178.4	3.00	1.36	25.60	11.61	14.30	6.49
6.30–6.40	178.4–181.2	3.00	1.36	26.00	11.79	14.50	6.58
6.40–6.50	181.2–184.1	3.00	1.36	26.40	11.97	14.70	6.67
6.50–6.60	184.1–186.9	3.00	1.36	26.90	12.20	14.95	6.78
6.60–6.70	186.9–189.7	3.00	1.36	27.30	12.38	15.15	6.87
6.70–6.80	189.7–192.6	3.00	1.36	27.70	12.56	15.35	6.96
6.80–6.90	192.6–195.4	3.00	1.36	28.10	12.75	15.55	7.05
6.90–7.00	195.4–198.2	3.00	1.36	28.50	12.93	15.75	7.14
7.00–7.10	198.2–201.0	3.00	1.36	28.90	13.11	15.95	7.23
7.10–7.20	201.0–203.9	3.00	1.36	29.30	13.29	16.15	7.33
7.20–7.30	203.9–206.7	3.00	1.36	29.70	13.47	16.35	7.42
7.30–7.40	206.7–209.5	3.00	1.36	30.10	13.65	16.55	7.51
7.40–7.50	209.5–212.4	3.00	1.36	30.50	13.83	16.75	7.60
7.50–7.60	212.4–215.2	3.00	1.36	31.00	14.06	17.00	7.71
7.60–7.70	215.2–218.0	3.00	1.36	31.40	14.24	17.20	7.80
7.70–7.80	218.0–220.9	3.00	1.36	31.80	14.42	17.40	7.89
7.80–7.90	220.9–223.7	3.00	1.36	32.20	14.61	17.60	7.98
7.90–8.00	223.7–226.5	3.00	1.36	32.60	14.79	17.80	8.07

(1) All test load weights are bone-dry weights.
(2) Allowable tolerance on the test load weights is ±0.10 lbs (0.05 kg).

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APPENDIX J3 TO SUBPART B OF PART 430—ENERGY TEST CLOTH SPECIFICATIONS AND PROCEDURES FOR DETERMINING CORRECTION COEFFICIENTS OF NEW ENERGY TEST CLOTH LOTS

NOTE: DOE maintains an historical record of the standard extractor test data and final correction curve coefficients for each approved lot of energy test cloth. These can be accessed through DOE's web page for standards and test procedures for residential clothes washers at DOE's Building Technologies Office Appliance and Equipment Standards website.

1. Objective

This appendix includes the following: (1) Specifications for the energy test cloth to be used for testing clothes washers; (2) procedures for verifying that new lots of energy test cloth meet the defined material specifications; and (3) procedures for developing a set of correction coefficients that correlate the measured remaining moisture content (RMC) values of each new test cloth lot with a set of standard RMC values established as an historical reference point. These correction coefficients are applied to the RMC measurements performed during testing according to appendix J or appendix J2 to this subpart, ensuring that the final corrected RMC measurement for a clothes washer remains independent of the test cloth lot used for testing.

2. Definitions

AHAM means the Association of Home Appliance Manufacturers.

Bone-dry means a condition of a load of test cloth that has been dried in a dryer at maximum temperature for a minimum of 10 minutes, removed and weighed before cool down, and then dried again for 10 minute periods until the final weight change of the load is 1 percent or less.

Lot means a quantity of cloth that has been manufactured with the same batches of cotton and polyester during one continuous process.

Roll means a subset of a lot.

3. Energy Test Cloth Specifications

The energy test cloths and energy stuffer cloths must meet the following specifications:

3.1 The test cloth material should come from a roll of material with a width of approximately 63 inches and approximately 500 yards per roll. However, other sizes may be used if the test cloth material meets the specifications listed in sections 3.2 through 3.6 of this appendix.

3.2 *Nominal fabric type.* Pure finished bleached cloth made with a momie or grain weave, which is nominally 50 percent cotton and 50 percent polyester.

3.3 *Fabric weight.* 5.60 ± 0.25 ounces per square yard (190.0 ± 8.4 g/m2).

3.4 *Thread count.* 65 x 57 per inch (warp × fill), ±2 percent.

3.5 *Fiber content of warp and filling yarn.* 50 percent ±4 percent cotton, with the balance being polyester, open end spun, 15/1 ±5 percent cotton count blended yarn.

3.6 Water repellent finishes, such as fluoropolymer stain resistant finishes, must not be applied to the test cloth.

3.7. *Test cloth dimensions.*

3.7.1 *Energy test cloth.* The energy test cloth must be made from energy test cloth material, as specified in section 3.1 of this appendix, that is 24 ± ½ inches by 36 ± ½ inches (61.0 ± 1.3 cm by 91.4 ± 1.3 cm) and has been hemmed to 22 ± ½ inches by 34 ± ½ inches (55.9 ± 1.3 cm by 86.4 ± 1.3 cm) before washing.

3.7.2 *Energy stuffer cloth.* The energy stuffer cloth must be made from energy test cloth material, as specified in section 3.1 of this appendix, that is 12 ± ¼ inches by 12 ± ¼ inches (30.5 ± 0.6 cm by 30.5 ± 0.6 cm) and has been hemmed to 10 ± ¼ inches by 10 ± ¼ inches (25.4 ± 0.6 cm by 25.4 ± 0.6 cm) before washing.

3.8 The test cloth must be clean and must not be used for more than 60 test runs (after pre-conditioning as specified in section 5 of this appendix). All test cloth must be permanently marked identifying the lot number of the material. Mixed lots of material must not be used for testing a clothes washer according to appendix J or appendix J2 to this subpart.

4. Equipment Specifications

4.1 *Extractor.* Use a North Star Engineered Products Inc. (formerly Bock) Model 215 extractor (having a basket diameter of 20 inches, height of 11.5 inches, and volume of 2.09 ft^3), with a variable speed drive (North Star Engineered Products, P.O. Box 5127, Toledo, OH 43611) or an equivalent extractor with same basket design (*i.e.,* diameter, height, volume, and hole configuration) and variable speed drive. Table 4.1 of this appendix shows the extractor spin speed, in revolutions per minute (RPM), that must be used to attain each required g-force level.

TABLE 4.1—EXTRACTOR SPIN SPEEDS FOR EACH TEST CONDITION

"g Force"	RPM
100	594 ± 1
200	840 ± 1
350	1,111 ± 1
500	1,328 ± 1
650	1,514 ± 1

4.2 *Bone-dryer*. The dryer used for drying the cloth to bone-dry must heat the test cloth and energy stuffer cloths above 210 °F (99 °C).

5. Test Cloth Pre-Conditioning Instructions

Use the following instructions for performing pre-conditioning of new energy test cloths and energy stuffer cloths as specified throughout section 7 and section 8 of this appendix, and before any clothes washer testing using appendix J or appendix J2 to this subpart: Perform five complete wash-rinse-spin cycles, the first two with current AHAM Standard detergent Formula 3 and the last three without detergent. Place the test cloth in a clothes washer set at the maximum water level. Wash the load for ten minutes in soft water (17 ppm hardness or less) using 27.0 grams + 4.0 grams per pound of cloth load of AHAM Standard detergent Formula 3. The wash temperature is to be controlled to 135 °F ± 5 °F (57.2 °C ± 2.8 °C) and the rinse temperature is to be controlled to 60 °F ± 5 °F (15.6 °C ± 2.8 °C). Dry the load to bone-dry between each of the five wash-rinse-spin cycles. The maximum shrinkage after pre-conditioning must not be more than 5 percent of the length and width. Measure per AATCC Test Method 135–2010 (incorporated by reference; see §430.3).

6. Extractor Run Instructions

Use the following instructions for performing each of the extractor runs specified throughout section 7 and section 8 of this appendix:

6.1 *Test load size*. Use a test load size of 8.4 lbs.

6.2 Measure the average RMC for each sample loads as follows:

6.2.1 Dry the test cloth until it is bone-dry according to the definition in section 2 of this appendix. Record the bone-dry weight of the test load (WI).

6.2.2 Prepare the test load for soak by grouping four test cloths into loose bundles. Create the bundles by hanging four cloths vertically from one corner and loosely wrapping the test cloth onto itself to form the bundle. Bundles should be wrapped loosely to ensure consistency of water extraction. Then place the bundles into the water to soak. Eight to nine bundles will be formed depending on the test load. The ninth bundle may not equal four cloths but can incorporate energy stuffer cloths to help offset the size difference.

6.2.3 Soak the test load for 20 minutes in 10 gallons of soft (<17 ppm) water. The entire test load must be submerged. Maintain a water temperature of 100 °F ± 5 °F (37.8 °C ± 2.8 °C) at all times between the start and end of the soak.

6.2.4 Remove the test load and allow each of the test cloth bundles to drain over the water bath for a maximum of 5 seconds.

6.2.5 Manually place the test cloth bundles in the basket of the extractor, distributing them evenly by eye. The draining and loading process must take no longer than 1 minute. Spin the load at a fixed speed corresponding to the intended centripetal acceleration level (measured in units of the acceleration of gravity, g) ± 1g for the intended time period ± 5 seconds. Begin the timer when the extractor meets the required spin speed for each test.

6.2.6 Record the weight of the test load immediately after the completion of the extractor spin cycle (WC).

6.2.7 Calculate the remaining moisture content of the test load as (WC–WI)/WI.

6.2.8 Draining the soak tub is not necessary if the water bath is corrected for water level and temperature before the next extraction.

6.2.9 Drying the test load in between extraction runs is not necessary. However, the bone-dry weight must be checked after every 12 extraction runs to make sure the bone-dry weight is within tolerance (8.4 ± 0.1 lbs). Following this, the test load must be soaked and extracted once before continuing with the remaining extraction runs. Perform this extraction at the same spin speed used for the extraction run prior to checking the bone-dry weight, for a time period of 4 minutes. Either warm or cold soak temperature may be used.

7. Test Cloth Material Verification Procedure

7.1 *Material Properties Verification*. The test cloth manufacturer must supply a certificate of conformance to ensure that the energy test cloth and stuffer cloth samples used for prequalification testing meet the specifications in section 3 of this appendix. The material properties of one energy test cloth from each of the first, middle, and last rolls must be evaluated as follows, prior to pre-conditioning:

7.1.1 *Dimensions*. Each hemmed energy test cloth must meet the size specifications in section 3.7.1 of this appendix. Each hemmed stuffer cloth must meet the size specifications in section 3.7.2 of this appendix.

7.1.2 *Oil repellency*. Perform AATCC Test Method 118–2007, Oil Repellency: Hydrocarbon Resistance Test, (incorporated by reference, see §430.3), to confirm the absence of Scotchguard™ or other water-repellent finish. An Oil Repellency Grade of 0 (Fails Kaydol) is required.

7.1.3 *Absorbency*. Perform AATCC Test Method 79–2010, Absorbency of Textiles, (incorporated by reference, see §430.3), to confirm the absence of Scotchguard™ or other water-repellent finish. The time to absorb one drop must be on the order of 1 second.

7.2 *Uniformity Verification*. The uniformity of each test cloth lot must be evaluated as follows.

7.2.1 *Pre-conditioning*. Pre-condition the energy test cloths and energy stuffer cloths used for uniformity verification, as specified in section 5 of this appendix.

7.2.2 *Distribution of samples*. Test loads must be comprised of cloth from three different rolls from the sample lot. Each roll from a lot must be marked in the run order that it was made. The three rolls are selected based on the run order such that the first, middle, and last rolls are used. As the rolls are cut into cloth, fabric must be selected from the beginning, middle, and end of the roll to create separate loads from each location, for a total of nine sample loads according to Table 7.2.2.

TABLE 7.2.2—DISTRIBUTION OF SAMPLE LOADS FOR PREQUALIFICATION TESTING

Roll No.	Roll location
First	Beginning.
	Middle.
	End.
Middle	Beginning.
	Middle.
	End.
Last	Beginning.
	Middle.
	End.

7.2.3 Measure the remaining moisture content of each of the nine sample test loads, as specified in section 6 of this appendix, using a centripetal acceleration of 350g (corresponding to 1111 ± 1 RPM) and a spin duration of 15 minutes ± 5 seconds.

7.2.4 Repeat section 7.2.3 of this appendix an additional two times and calculate the arithmetic average of the three RMC values to determine the average RMC value for each sample load. It is not necessary to dry the load to bone-dry the load before the second and third replications.

7.2.5 Calculate the coefficient of variation (CV) of the nine average RMC values from each sample load. The CV must be less than or equal to 1 percent for the test cloth lot to be considered acceptable and to perform the standard extractor RMC testing.

8. RMC Correction Curve Procedure

8.1 *Pre-conditioning*. Pre-condition the energy test cloths and energy stuffer cloths used for RMC correction curve measurements, as specified in section 5 of this appendix.

8.2 *Distribution of samples*. Test loads must be comprised of randomly selected cloth at the beginning, middle and end of a lot. Two test loads may be used, with each load used for half of the total number of required tests. Separate test loads must be used from the loads used for uniformity verification.

8.3 Measure the remaining moisture content of the test load, as specified in section 6 of this appendix at five g-force levels: 100 g, 200 g, 350 g, 500 g, and 650 g, using two different spin times at each g level: 4 minutes and 15 minutes. Table 4.1 of this appendix provides the corresponding spin speeds for each g-force level.

8.4 Repeat section 8.3 of this appendix using soft (<17 ppm) water at 60 °F ± 5 °F (15.6 °C ± 2.8 °C).

8.5 Repeat sections 8.3.3 and 8.3.4 of this appendix an additional two times, so that three replications at each extractor condition are performed. When this procedure is performed in its entirety, a total of 60 extractor RMC test runs are required.

8.6 Average the values of the 3 replications performed for each extractor condition specified in section 8.3 of this appendix.

8.7 Perform a linear least-squares fit to determine coefficients A and B such that the standard RMC values shown in Table 8.7 of this appendix ($RMC_{standard}$) are linearly related to the average RMC values calculated in section 8.6 of this appendix (RMC_{cloth}):

$$RMC_{standard} \sim A \times RMC_{cloth} + B$$

where A and B are coefficients of the linear least-squares fit.

TABLE 8.7—STANDARD RMC VALUES

"g Force"	RMC percentage			
	Warm soak		Cold soak	
	15 min. spin (percent)	4 min. spin (percent)	15 min. spin (percent)	4 min. spin (percent)
100	45.9	49.9	49.7	52.8
200	35.7	40.4	37.9	43.1
350	29.6	33.1	30.7	35.8
500	24.2	28.7	25.5	30.0
650	23.0	26.4	24.1	28.0

8.8 Perform an analysis of variance with replication test using two factors, spin speed and lot, to check the interaction of speed and lot. Use the values from section 8.6 of this appendix and Table 8.7 of this appendix in the calculation. The ''P'' value of the F-

statistic for interaction between spin speed and lot in the variance analysis must be greater than or equal to 0.1. If the ''P'' value is less than 0.1, the test cloth is unacceptable. ''P'' is a theoretically based measure of interaction based on an analysis of variance.

9. Application of the RMC Correction Curve

9.1 Using the coefficients A and B calculated in section 8.7 of this appendix:

$RMC_{corr} = A \times RMC + B$

9.2 Apply this RMC correction curve to measured RMC values in appendix J and appendix J2 to this subpart.

[87 FR 33403, June 1, 2022, as amended at 87 FR 78820, Dec. 23, 2022]

APPENDIXES K–L TO SUBPART B OF PART 430 [RESERVED]

APPENDIX M TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF CENTRAL AIR CONDITIONERS AND HEAT PUMPS

NOTE: Prior to January 1, 2023, if using the appendix M test procedure for representations, including compliance certifications, with respect to the energy use, power, or efficiency of central air conditioners and central air conditioning heat pumps, any such representations must be based on the results of testing pursuant to either this appendix or the procedures in appendix M as it appeared at 10 CFR part 430, subpart B, in the 10 CFR parts 200 to 499 edition revised as of January 1, 2022. Any representations made with respect to the energy use or efficiency of such central air conditioners and central air conditioning heat pumps must be in accordance with whichever version is selected. Any representations, including compliance certifications, made with respect to the energy use, power, or efficiency of central air conditioners and central air conditioning heat pumps made on or after January 1, 2023, must be based on the results of testing pursuant the procedures in appendix M1 to this subpart.

On or after July 5, 2017 and prior to January 1, 2023, any representations, including compliance certifications, made with respect to the energy use, power, or efficiency of central air conditioners and central air conditioning heat pumps must be based on the results of testing pursuant to this appendix.

On or after January 1, 2023, any representations, including compliance certifications, made with respect to the energy use, power, or efficiency of central air conditioners and central air conditioning heat pumps must be based on the results of testing pursuant to appendix M1 of this subpart.

1. SCOPE AND DEFINITIONS

1.1 Scope

This test procedure provides a method of determining SEER, EER, HSPF and $P_{W,OFF}$ for central air conditioners and central air conditioning heat pumps including the following categories:

(a) Split-system air conditioners, including single-split, multi-head mini-split, multi-split (including VRF), and multi-circuit systems
(b) Split-system heat pumps, including single-split, multi-head mini-split, multi-split (including VRF), and multi-circuit systems
(c) Single-package air conditioners
(d) Single-package heat pumps
(e) Small-duct, high-velocity systems (including VRF)
(f) Space-constrained products—air conditioners
(g) Space-constrained products—heat pumps

For purposes of this appendix, the Department of Energy incorporates by reference specific sections of several industry standards, as listed in §430.3. In cases where there is a conflict, the language of the test procedure in this appendix takes precedence over the incorporated standards.

All section references refer to sections within this appendix unless otherwise stated.

1.2 Definitions

Airflow-control settings are programmed or wired control system configurations that control a fan to achieve discrete, differing ranges of airflow—often designated for performing a specific function (*e.g.*, cooling, heating, or constant circulation)—without manual adjustment other than interaction with a user-operable control (*i.e.*, a thermostat) that meets the manufacturer specifications for installed-use. For the purposes of this appendix, manufacturer specifications for installed-use are those found in the product literature shipped with the unit.

Air sampling device is an assembly consisting of a manifold with several branch tubes with multiple sampling holes that draws an air sample from a critical location from the unit under test (*e.g.* indoor air inlet, indoor air outlet, outdoor air inlet, etc.).

Airflow prevention device denotes a device that prevents airflow via natural convection by mechanical means, such as an air damper box, or by means of changes in duct height, such as an upturned duct.

Aspirating psychrometer is a piece of equipment with a monitored airflow section that draws uniform airflow through the measurement section and has probes for measurement of air temperature and humidity.

Blower coil indoor unit means an indoor unit either with an indoor blower housed with the coil or with a separate designated

air mover such as a furnace or a modular blower (as defined in appendix AA to the subpart).

Blower coil system refers to a split system that includes one or more blower coil indoor units.

Cased coil means a coil-only indoor unit with external cabinetry.

Coefficient of Performance (COP) means the ratio of the average rate of space heating delivered to the average rate of electrical energy consumed by the heat pump. These rate quantities must be determined from a single test or, if derived via interpolation, must be determined at a single set of operating conditions. COP is a dimensionless quantity. When determined for a ducted coil-only system, COP must include the sections 3.7 and 3.9.1 of this appendix: Default values for the heat output and power input of a fan motor.

Coil-only indoor unit means an indoor unit that is distributed in commerce without an indoor blower or separate designated air mover. A coil-only indoor unit installed in the field relies on a separately-installed furnace or a modular blower for indoor air movement. *Coil-only system* refers to a system that includes only (one or more) coil-only indoor units.

Condensing unit removes the heat absorbed by the refrigerant to transfer it to the outside environment and consists of an outdoor coil, compressor(s), and air moving device.

Constant-air-volume-rate indoor blower means a fan that varies its operating speed to provide a fixed air-volume-rate from a ducted system.

Continuously recorded, when referring to a dry bulb measurement, dry bulb temperature used for test room control, wet bulb temperature, dew point temperature, or relative humidity measurements, means that the specified value must be sampled at regular intervals that are equal to or less than 15 seconds.

Cooling load factor (CLF) means the ratio having as its numerator the total cooling delivered during a cyclic operating interval consisting of one ON period and one OFF period, and as its denominator the total cooling that would be delivered, given the same ambient conditions, had the unit operated continuously at its steady-state, space-cooling capacity for the same total time (ON + OFF) interval.

Crankcase heater means any electrically powered device or mechanism for intentionally generating heat within and/or around the compressor sump volume. Crankcase heater control may be achieved using a timer or may be based on a change in temperature or some other measurable parameter, such that the crankcase heater is not required to operate continuously. A crankcase heater without controls operates continuously when the compressor is not operating.

Cyclic Test means a test where the unit's compressor is cycled on and off for specific time intervals. A cyclic test provides half the information needed to calculate a degradation coefficient.

Damper box means a short section of duct having an air damper that meets the performance requirements of section 2.5.7 of this appendix.

Degradation coefficient (C_D) means a parameter used in calculating the part load factor. The degradation coefficient for cooling is denoted by C_D^c. The degradation coefficient for heating is denoted by C_D^h.

Demand-defrost control system means a system that defrosts the heat pump outdoor coil-only when measuring a predetermined degradation of performance. The heat pump's controls either:

(1) Monitor one or more parameters that always vary with the amount of frost accumulated on the outdoor coil (*e.g.*, coil to air differential temperature, coil differential air pressure, outdoor fan power or current, optical sensors) at least once for every ten minutes of compressor ON-time when space heating or

(2) operate as a feedback system that measures the length of the defrost period and adjusts defrost frequency accordingly. In all cases, when the frost parameter(s) reaches a predetermined value, the system initiates a defrost. In a demand-defrost control system, defrosts are terminated based on monitoring a parameter(s) that indicates that frost has been eliminated from the coil. (NOTE: Systems that vary defrost intervals according to outdoor dry-bulb temperature are not demand-defrost systems.) A demand-defrost control system, which otherwise meets the above requirements, may allow time-initiated defrosts if, and only if, such defrosts occur after 6 hours of compressor operating time.

Design heating requirement (DHR) predicts the space heating load of a residence when subjected to outdoor design conditions. Estimates for the minimum and maximum DHR are provided for six generalized U.S. climatic regions in section 4.2 of this appendix.

Dry-coil tests are cooling mode tests where the wet-bulb temperature of the air supplied to the indoor unit is maintained low enough that no condensate forms on the evaporator coil.

Ducted system means an air conditioner or heat pump that is designed to be permanently installed equipment and delivers conditioned air to the indoor space through a duct(s). The air conditioner or heat pump may be either a split-system or a single-package unit.

Energy efficiency ratio (EER) means the ratio of the average rate of space cooling delivered to the average rate of electrical energy consumed by the air conditioner or heat pump. Determine these rate quantities from

a single test or, if derived via interpolation, determine at a single set of operating conditions. EER is expressed in units of

$$\frac{Btu/h}{W}.$$

When determined for a ducted coil-only system, EER must include, from this appendix, the section 3.3 and 3.5.1 default values for the heat output and power input of a fan motor.

Evaporator coil means an assembly that absorbs heat from an enclosed space and transfers the heat to a refrigerant.

Heat pump means a kind of central air conditioner that utilizes an indoor conditioning coil, compressor, and refrigerant-to-outdoor air heat exchanger to provide air heating, and may also provide air cooling, air dehumidifying, air humidifying, air circulating, and air cleaning.

Heat pump having a heat comfort controller means a heat pump with controls that can regulate the operation of the electric resistance elements to assure that the air temperature leaving the indoor section does not fall below a specified temperature. Heat pumps that actively regulate the rate of electric resistance heating when operating below the balance point (as the result of a second stage call from the thermostat) but do not operate to maintain a minimum delivery temperature are not considered as having a heat comfort controller.

Heating load factor (HLF) means the ratio having as its numerator the total heating delivered during a cyclic operating interval consisting of one ON period and one OFF period, and its denominator the heating capacity measured at the same test conditions used for the cyclic test, multiplied by the total time interval (ON plus OFF) of the cyclic-test.

Heating season means the months of the year that require heating, *e.g.*, typically, and roughly, October through April.

Heating seasonal performance factor (HSPF) means the total space heating required during the heating season, expressed in Btu, divided by the total electrical energy consumed by the heat pump system during the same season, expressed in watt-hours. The HSPF used to evaluate compliance with 10 CFR 430.32(c) is based on Region IV and the sampling plan stated in 10 CFR 429.16(a). HSPF is determined in accordance with appendix M.

Independent coil manufacturer (ICM) means a manufacturer that manufactures indoor units but does not manufacture single-package units or outdoor units.

Indoor unit means a separate assembly of a split system that includes—

(1) An arrangement of refrigerant-to-air heat transfer coil(s) for transfer of heat between the refrigerant and the indoor air,

(2) A condensate drain pan, and may or may not include

(3) Sheet metal or plastic parts not part of external cabinetry to direct/route airflow over the coil(s),

(4) A cooling mode expansion device,

(5) External cabinetry, and

(6) An integrated indoor blower (*i.e.* a device to move air including its associated motor). A separate designated air mover that may be a furnace or a modular blower (as defined in appendix AA to the subpart) may be considered to be part of the indoor unit. A service coil is not an indoor unit.

Multi-head mini-split system means a split system that has one outdoor unit and that has two or more indoor units connected with a single refrigeration circuit. The indoor units operate in unison in response to a single indoor thermostat.

Multiple-circuit (or multi-circuit) system means a split system that has one outdoor unit and that has two or more indoor units installed on two or more refrigeration circuits such that each refrigeration circuit serves a compressor and one and only one indoor unit, and refrigerant is not shared from circuit to circuit.

Multiple-split (or multi-split) system means a split system that has one outdoor unit and two or more coil-only indoor units and/or blower coil indoor units connected with a single refrigerant circuit. The indoor units operate independently and can condition multiple zones in response to at least two indoor thermostats or temperature sensors. The outdoor unit operates in response to independent operation of the indoor units based on control input of multiple indoor thermostats or temperature sensors, and/or based on refrigeration circuit sensor input (*e.g.*, suction pressure).

Nominal capacity means the capacity that is claimed by the manufacturer on the product name plate. *Nominal cooling capacity* is approximate to the air conditioner cooling capacity tested at A or A_2 condition. *Nominal heating capacity* is approximate to the heat pump heating capacity tested in $H1_N$ test.

Non-ducted indoor unit means an indoor unit that is designed to be permanently installed, mounted on room walls and/or ceilings, and that directly heats or cools air within the conditioned space.

Normalized Gross Indoor Fin Surface (NGIFS) means the gross fin surface area of the indoor unit coil divided by the cooling capacity measured for the A or A2 Test, whichever applies.

Off-mode power consumption means the power consumption when the unit is connected to its main power source but is neither providing cooling nor heating to the building it serves.

Off-mode season means, for central air conditioners other than heat pumps, the shoulder season and the entire heating season; and for heat pumps, the shoulder season only.

Outdoor unit means a separate assembly of a split system that transfers heat between the refrigerant and the outdoor air, and consists of an outdoor coil, compressor(s), an air moving device, and in addition for heat pumps, may include a heating mode expansion device, reversing valve, and/or defrost controls.

Outdoor unit manufacturer (OUM) means a manufacturer of single-package units, outdoor units, and/or both indoor units and outdoor units.

Part-load factor (PLF) means the ratio of the cyclic EER (or COP for heating) to the steady-state EER (or COP), where both EERs (or COPs) are determined based on operation at the same ambient conditions.

Seasonal energy efficiency ratio (SEER) means the total heat removed from the conditioned space during the annual cooling season, expressed in Btu's, divided by the total electrical energy consumed by the central air conditioner or heat pump during the same season, expressed in watt-hours. SEER is determined in accordance with appendix M.

Service coil means an arrangement of refrigerant-to-air heat transfer coil(s), condensate drain pan, sheet metal or plastic parts to direct/route airflow over the coil(s), which may or may not include external cabinetry and/or a cooling mode expansion device, distributed in commerce solely for replacing an uncased coil or cased coil that has already been placed into service, and that has been labeled ''for indoor coil replacement only'' on the nameplate and in manufacturer technical and product literature. The model number for any service coil must include some mechanism (*e.g.*, an additional letter or number) for differentiating a service coil from a coil intended for an indoor unit.

Shoulder season means the months of the year in between those months that require cooling and those months that require heating, *e.g.*, typically, and roughly, April through May, and September through October.

Single-package unit means any central air conditioner or heat pump that has all major assemblies enclosed in one cabinet.

Single-split system means a split system that has one outdoor unit and one indoor unit connected with a single refrigeration circuit. *Small-duct, high-velocity system* means a split system for which all indoor units are blower coil indoor units that produce at least 1.2 inches (of water column) of external static pressure when operated at the full-load air volume rate certified by the manufacturer of at least 220 scfm per rated ton of cooling.

Split system means any air conditioner or heat pump that has at least two separate assemblies that are connected with refrigerant piping when installed. One of these assemblies includes an indoor coil that exchanges heat with the indoor air to provide heating or cooling, while one of the others includes an outdoor coil that exchanges heat with the outdoor air. Split systems may be either blower coil systems or coil-only systems.

Standard Air means dry air having a mass density of 0.075 lb/ft^3.

Steady-state test means a test where the test conditions are regulated to remain as constant as possible while the unit operates continuously in the same mode.

Temperature bin means the 5 °F increments that are used to partition the outdoor dry-bulb temperature ranges of the cooling (≥65 °F) and heating (<65 °F) seasons.

Test condition tolerance means the maximum permissible difference between the average value of the measured test parameter and the specified test condition.

Test operating tolerance means the maximum permissible range that a measurement may vary over the specified test interval. The difference between the maximum and minimum sampled values must be less than or equal to the specified test operating tolerance.

Tested combination means a multi-head mini-split, multi-split, or multi-circuit system having the following features:

(1) The system consists of one outdoor unit with one or more compressors matched with between two and five indoor units;

(2) The indoor units must:

(i) Collectively, have a nominal cooling capacity greater than or equal to 95 percent and less than or equal to 105 percent of the nominal cooling capacity of the outdoor unit;

(ii) Each represent the highest sales volume model family, if this is possible while meeting all the requirements of this section. If this is not possible, one or more of the indoor units may represent another indoor model family in order that all the other requirements of this section are met.

(iii) Individually not have a nominal cooling capacity greater than 50 percent of the nominal cooling capacity of the outdoor

unit, unless the nominal cooling capacity of the outdoor unit is 24,000 Btu/h or less;

(iv) Operate at fan speeds consistent with manufacturer's specifications; and

(v) All be subject to the same minimum external static pressure requirement while able to produce the same external static pressure at the exit of each outlet plenum when connected in a manifold configuration as required by the test procedure.

(3) Where referenced, ''nominal cooling capacity'' means, for indoor units, the highest cooling capacity listed in published product literature for 95 °F outdoor dry bulb temperature and 80 °F dry bulb, 67 °F wet bulb indoor conditions, and for outdoor units, the lowest cooling capacity listed in published product literature for these conditions. If incomplete or no operating conditions are published, the highest (for indoor units) or lowest (for outdoor units) such cooling capacity available for sale must be used.

Time-adaptive defrost control system is a demand-defrost control system that measures the length of the prior defrost period(s) and uses that information to automatically determine when to initiate the next defrost cycle.

Time-temperature defrost control systems initiate or evaluate initiating a defrost cycle only when a predetermined cumulative compressor ON-time is obtained. This predetermined ON-time is generally a fixed value (*e.g.*, 30, 45, 90 minutes) although it may vary based on the measured outdoor dry-bulb temperature. The ON-time counter accumulates if controller measurements (*e.g.*, outdoor temperature, evaporator temperature) indicate that frost formation conditions are present, and it is reset/remains at zero at all other times. In one application of the control scheme, a defrost is initiated whenever the counter time equals the predetermined ON-time. The counter is reset when the defrost cycle is completed.

In a second application of the control scheme, one or more parameters are measured (*e.g.*, air and/or refrigerant temperatures) at the predetermined, cumulative, compressor ON-time. A defrost is initiated only if the measured parameter(s) falls within a predetermined range. The ON-time counter is reset regardless of whether or not a defrost is initiated. If systems of this second type use cumulative ON-time intervals of 10 minutes or less, then the heat pump may qualify as having a demand defrost control system (see definition).

Triple-capacity, northern heat pump means a heat pump that provides two stages of cooling and three stages of heating. The two common stages for both the cooling and heating modes are the low capacity stage and the high capacity stage. The additional heating mode stage is the booster capacity stage, which offers the highest heating capacity output for a given set of ambient operating conditions.

Triple-split system means a split system that is composed of three separate assemblies: An outdoor fan coil section, a blower coil indoor unit, and an indoor compressor section.

Two-capacity (or two-stage) compressor system means a central air conditioner or heat pump that has a compressor or a group of compressors operating with only two stages of capacity. For such systems, low capacity means the compressor(s) operating at low stage, or at low load test conditions. The low compressor stage that operates for heating mode tests may be the same or different from the low compressor stage that operates for cooling mode tests. For such systems, high capacity means the compressor(s) operating at high stage, or at full load test conditions.

Two-capacity, northern heat pump means a heat pump that has a factory or field-selectable lock-out feature to prevent space cooling at high-capacity. Two-capacity heat pumps having this feature will typically have two sets of ratings, one with the feature disabled and one with the feature enabled. The heat pump is a two-capacity northern heat pump only when this feature is enabled at all times. The certified indoor coil model number must reflect whether the ratings pertain to the lockout enabled option via the inclusion of an extra identifier, such as ''+LO''. When testing as a two-capacity, northern heat pump, the lockout feature must remain enabled for all tests.

Uncased coil means a coil-only indoor unit without external cabinetry.

Variable refrigerant flow (VRF) system means a multi-split system with at least three compressor capacity stages, distributing refrigerant through a piping network to multiple indoor blower coil units each capable of individual zone temperature control, through proprietary zone temperature control devices and a common communications network. NOTE: Single-phase VRF systems less than 65,000 Btu/h are central air conditioners and central air conditioning heat pumps.

Variable-speed compressor system means a central air conditioner or heat pump that has a compressor that uses a variable-speed drive to vary the compressor speed to achieve variable capacities.

Wet-coil test means a test conducted at test conditions that typically cause water vapor to condense on the test unit evaporator coil.

2. TESTING OVERVIEW AND CONDITIONS

(A) Test VRF systems using AHRI 1230–2010 (incorporated by reference, see §430.3) and appendix M. Where AHRI 1230–2010 refers to the appendix C therein substitute the provisions of this appendix. In cases where there

is a conflict, the language of the test procedure in this appendix takes precedence over AHRI 1230–2010.

For definitions use section 1 of appendix M and section 3 of AHRI 1230–2010 (incorporated by reference, see §430.3). For rounding requirements, refer to §430.23(m). For determination of certified ratings, refer to §429.16 of this chapter.

For test room requirements, refer to section 2.1 of this appendix. For test unit installation requirements refer to sections 2.2.a, 2.2.b, 2.2.c, 2.2.1, 2.2.2, 2.2.3(a), 2.2.3(c), 2.2.4, 2.2.5, and 2.4 to 2.12 of this appendix, and sections 5.1.3 and 5.1.4 of AHRI 1230–2010. The ''manufacturer's published instructions,'' as stated in section 8.2 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) and ''manufacturer's installation instructions'' discussed in this appendix mean the manufacturer's installation instructions that come packaged with or appear in the labels applied to the unit. This does not include online manuals. Installation instructions that appear in the labels applied to the unit take precedence over installation instructions that are shipped with the unit.

For general requirements for the test procedure, refer to section 3.1 of this appendix, except for sections 3.1.3 and 3.1.4, which are requirements for indoor air volume and outdoor air volume. For indoor air volume and outdoor air volume requirements, refer instead to section 6.1.5 (except where section 6.1.5 refers to Table 8, refer instead to Table 4 of this appendix) and 6.1.6 of AHRI 1230–2010.

For the test method, refer to sections 3.3 to 3.5 and 3.7 to 3.13 of this appendix. For cooling mode and heating mode test conditions, refer to section 6.2 of AHRI 1230–2010. For calculations of seasonal performance descriptors, refer to section 4 of this appendix.

(B) For systems other than VRF, only a subset of the sections listed in this test procedure apply when testing and determining represented values for a particular unit. Table 1 shows the sections of the test procedure that apply to each system. This table is meant to assist manufacturers in finding the appropriate sections of the test procedure; the appendix sections rather than the table provide the specific requirements for testing, and given the varied nature of available units, manufacturers are responsible for determining which sections apply to each unit tested based on the unit's characteristics. To use this table, first refer to the sections listed under ''all units''. Then refer to additional requirements based on:

(1) System configuration(s),

(2) The compressor staging or modulation capability, and

(3) Any special features.

Testing requirements for space-constrained products do not differ from similar equipment that is not space-constrained and thus are not listed separately in this table. Air conditioners and heat pumps are not listed separately in this table, but heating procedures and calculations apply only to heat pumps.

Table 1 Informative Guidance for Using Appendix M

		Testing conditions	Testing procedures			Calculations		
		General	General	Cooling*	Heating**	General	Cooling*	Heating**
Requirements for all units (except VRF)		2.1; 2.2a-c; 2.2.1; 2.2.4; 2.2.4.1; 2.2.4.1 (1); 2.2.4.2; 2.2.5.1-5; 2.2.5.7-8; 2.3; 2.3.1; 2.3.2; 2.4; 2.4.1a,d; 2.5a-c; 2.5.1; 2.5.2 - 2.5.4.2; 2.5.5 – 2.13	3.1; 3.1.1-3; 3.1.5-9; 3.11; 3.12	3.3; 3.4; 3.5a-i	3.1.4.7; 3.1.10; 3.7a,b,d; 3.8a,d; 3.8.1; 3.9; 3.10	4.4; 4.5	4.1	4.2
Additional Requirements	System Configurations (more than one may apply)							
	Single-split system – blower coil	2.2a(1)		3.1.4.1.1; 3.1.4.1.1a,b; 3.1.4.2a-b; 3.1.4.3a-b	3.1.4.4.1; 3.1.4.4.2; 3.1.4.4.3a-b; 3.1.4.5.1; 3.1.4.5.2a-c; 3.1.4.6a-b			
	Single-split system - coil-only	2.2a(1); 2.2d,e; 2.4.2		3.1.4.1.1; 3.1.4.1.1c; 3.1.4.2c; 3.5.1	3.1.4.4.1; 3.1.4.4.2; 3.1.4.4.3c; 3.1.4.5.2d; 3.7c; 3.8b; 3.9f; 3.9.1b			
	Tri-split	2.2a(2)						
	Outdoor unit with no match	2.2c						
	Single-package	2.2.4.1(2); 2.2.5.6b; 2.4.2		3.1.4.1.1; 3.1.4.1.1a,b; 3.1.4.2a-b; 3.1.4.3a-b	3.1.4.4.1; 3.1.4.4.2; 3.1.4.4.3a-b; 3.1.4.5.1; 3.1.4.5.2a-c; 3.1.4.6a-b			
	Heat pump	2.2.5.6.a						
	Heating-only heat pump			3.1.4.1.1 Table 5	3.1.4.4.3			
	Two-capacity northern heat pump		3.1.4.4.2c; 3.1.4.5.2 c- d	3.2.3c	3.6.3			
	Triple-capacity northern heat pump			3.2.5	3.6.6			4.2.6

	SDHV (non-VRF)	2.2b; 2.4.1c; 2.5.4.3							
Special Features	Single- zone-multi-coil split and non-VRF multiple-split with duct	2.2a(1),(3); 2.2.3; 2.4.1b		3.1.4.1.1; 3.1.4.1.1a-b; 3.1.4.2a-b; 3.1.4.3a-b	3.1.4.4.1; 3.1.4.4.2; 3.1.4.4.3a-b; 3.1.4.5.1; 3.1.4.5.2a-e; 3.1.4.6a-b				
	Single-zone-multi-coil split and non-VRF multiple-split, ductless	2.2.a(1),(3); 2.2.3		3.1.4.1.2; 3.1.4.2d; 3.1.4.3c; 3.2.4c; 3.5c,g,h; 3.5.2; 3.8c	3.1.4.4.4; 3.1.4.5.2e; 3.1.4.6c; 3.6.4.e; 3.8c				
Modulation Capability	VRF multiple-split† and VRF SDHV†	2.1; 2.2.a; 2.2.b; 2.2.c; 2.2.1; 2.2.2; 2.2.3(a); 2.2.3(c)i; 2.2.4; 2.2.5; 2.4-2.12	3.1 (except 3.1.3, 3.1.4) 3.1.4.1.1c; 3.11-3.13	3.3-3.5	3.7–3.10	4.4; 4.5	4.1	4.2	
	Single speed compressor, fixed air volume rate			3.2.1	3.6.1		4.1.1	4.2.1	
	Single speed compressor, VAV fan			3.2.2	3.6.2		4.1.2	4.2.2	
	Two-capacity compressor		3.1.10	3.2.3	3.6.3		4.1.3	4.2.3	
	Variable speed compressor			3.2.4	3.6.4		4.1.4	4.2.4	
Special Features	Heat pump with heat comfort controller				3.6.5			4.2.5	
	Units with a multi-speed outdoor fan	2.2.2							
	Single indoor unit having multiple indoor blowers			3.2.6	3.6.2; 3.6.7		4.1.5	4.2.7	

*Does not apply to heating-only heat pumps.

**Applies only to heat pumps; not to air conditioners.

†Use AHRI 1230-2010 (incorporated by reference, see § 430.3), with the sections referenced in section 2(A) of this appendix, in conjunction with the sections set forth in the table to perform test setup, testing, and calculations for determining represented values for VRF multiple-split and VRF SDHV systems.

NOTE: For all units, use section 3.13 of this appendix for off mode testing procedures and section 4.3 of this appendix for off mode calculations. For all units subject to an EER standard, use section 4.6 of this appendix to determine the energy efficiency ratio.

2.1 Test Room Requirements

a. Test using two side-by-side rooms: An indoor test room and an outdoor test room. For multiple-split, single-zone-multi-coil or multi-circuit air conditioners and heat pumps, however, use as many indoor test rooms as needed to accommodate the total number of indoor units. These rooms must

comply with the requirements specified in sections 8.1.2 and 8.1.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3).

b. Inside these test rooms, use artificial loads during cyclic tests and frost accumulation tests, if needed, to produce stabilized room air temperatures. For one room, select an electric resistance heater(s) having a heating capacity that is approximately equal to the heating capacity of the test unit's condenser. For the second room, select a heater(s) having a capacity that is close to the sensible cooling capacity of the test unit's evaporator. Cycle the heater located in the same room as the test unit evaporator coil ON and OFF when the test unit cycles ON and OFF. Cycle the heater located in the same room as the test unit condensing coil ON and OFF when the test unit cycles OFF and ON.

2.2 Test Unit Installation Requirements

a. Install the unit according to section 8.2 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3), subject to the following additional requirements:

(1) When testing split systems, follow the requirements given in section 6.1.3.5 of AHRI 210/240–2008 (incorporated by reference, see §430.3). For the vapor refrigerant line(s), use the insulation included with the unit; if no insulation is provided, use insulation meeting the specifications for the insulation in the installation instructions included with the unit by the manufacturer; if no insulation is included with the unit and the installation instructions do not contain provisions for insulating the line(s), fully insulate the vapor refrigerant line(s) with vapor proof insulation having an inside diameter that matches the refrigerant tubing and a nominal thickness of at least 0.5 inches. For the liquid refrigerant line(s), use the insulation included with the unit; if no insulation is provided, use insulation meeting the specifications for the insulation in the installation instructions included with the unit by the manufacturer; if no insulation is included with the unit and the installation instructions do not contain provisions for insulating the line(s), leave the liquid refrigerant line(s) exposed to the air for air conditioners and heat pumps that heat and cool; or, for heating-only heat pumps, insulate the liquid refrigerant line(s) with insulation having an inside diameter that matches the refrigerant tubing and a nominal thickness of at least 0.5 inches. However, these requirements do not take priority over instructions for application of insulation for the purpose of improving refrigerant temperature measurement accuracy as required by sections 2.10.2 and 2.10.3 of this appendix. Insulation must be the same for the cooling and heating tests.

(2) When testing split systems, if the indoor unit does not ship with a cooling mode expansion device, test the system using the device as specified in the installation instructions provided with the indoor unit. If none is specified, test the system using a fixed orifice or piston type expansion device that is sized appropriately for the system.

(3) When testing triple-split systems (see section 1.2 of this appendix, Definitions), use the tubing length specified in section 6.1.3.5 of AHRI 210/240–2008 (incorporated by reference, see §430.3) to connect the outdoor coil, indoor compressor section, and indoor coil while still meeting the requirement of exposing 10 feet of the tubing to outside conditions;

(4) When testing split systems having multiple indoor coils, connect each indoor blower coil unit to the outdoor unit using:

(a) 25 feet of tubing, or

(b) tubing furnished by the manufacturer, whichever is longer.

At least 10 feet of the system interconnection tubing shall be exposed to the outside conditions. If they are needed to make a secondary measurement of capacity or for verification of refrigerant charge, install refrigerant pressure measuring instruments as described in section 8.2.5 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). Section 2.10 of this appendix specifies which secondary methods require refrigerant pressure measurements and section 2.2.5.5 of this appendix discusses use of pressure measurements to verify charge. At a minimum, insulate the low-pressure line(s) of a split system with insulation having an inside diameter that matches the refrigerant tubing and a nominal thickness of 0.5 inch.

b. For units designed for both horizontal and vertical installation or for both up-flow and down-flow vertical installations, use the orientation for testing specified by the manufacturer in the certification report. Conduct testing with the following installed:

(1) The most restrictive filter(s);

(2) Supplementary heating coils; and

(3) Other equipment specified as part of the unit, including all hardware used by a heat comfort controller if so equipped (see section 1 of this appendix, Definitions). For small-duct, high-velocity systems, configure all balance dampers or restrictor devices on or inside the unit to fully open or lowest restriction.

c. Testing a ducted unit without having an indoor air filter installed is permissible as long as the minimum external static pressure requirement is adjusted as stated in Table 4, note 3 (see section 3.1.4 of this appendix). Except as noted in section 3.1.10 of this appendix, prevent the indoor air supplementary heating coils from operating during all tests. For uncased coils, create an enclosure using 1 inch fiberglass foil-faced ductboard having a nominal density of 6 pounds per cubic foot. Or alternatively, construct an enclosure using sheet metal or a

similar material and insulating material having a thermal resistance (''R'' value) between 4 and 6 hr·ft^{2,} °F/Btu. Size the enclosure and seal between the coil and/or drainage pan and the interior of the enclosure as specified in installation instructions shipped with the unit. Also seal between the plenum and inlet and outlet ducts.

d. When testing a coil-only system, install a toroidal-type transformer to power the system's low-voltage components, complying with any additional requirements for the transformer mentioned in the installation manuals included with the unit by the system manufacturer. If the installation manuals do not provide specifications for the transformer, use a transformer having the following features:

(1) A nominal volt-amp rating such that the transformer is loaded between 25 and 90 percent of this rating for the highest level of power measured during the off mode test (section 3.13 of this appendix);

(2) Designed to operate with a primary input of 230 V, single phase, 60 Hz; and

(3) That provides an output voltage that is within the specified range for each low-voltage component. Include the power consumption of the components connected to the transformer as part of the total system power consumption during the off mode tests; do not include the power consumed by the transformer when no load is connected to it.

e. Test an outdoor unit with no match (*i.e.*, that is not distributed in commerce with any indoor units) using a coil-only indoor unit with a single cooling air volume rate whose coil has:

(1) Round tubes of outer diameter no less than 0.375 inches, and

(2) a normalized gross indoor fin surface (NGIFS) no greater than 1.0 square inches per British thermal unit per hour (sq. in./Btu/hr). NGIFS is calculated as follows:

$$NGIFS = 2 \times L_f \times W_f \times N_f \div \dot{Q}_c(95)$$

where:

L_f = Indoor coil fin length in inches, also height of the coil transverse to the tubes.

W_f = Indoor coil fin width in inches, also depth of the coil.

N_f = Number of fins.

$\dot{Q}_c(95)$ = the measured space cooling capacity of the tested outdoor unit/indoor unit combination as determined from the A2 or A Test whichever applies, Btu/h.

f. If the outdoor unit or the outdoor portion of a single-package unit has a drain pan heater to prevent freezing of defrost water, the heater shall be energized, subject to control to de-energize it when not needed by the heater's thermostat or the unit's control system, for all tests.

g. If pressure measurement devices are connected to a cooling/heating heat pump refrigerant circuit, the refrigerant charge M_t that could potentially transfer out of the connected pressure measurement systems (transducers, gauges, connections, and lines) between operating modes must be less than 2 percent of the factory refrigerant charge listed on the nameplate of the outdoor unit. If the outdoor unit nameplate has no listed refrigerant charge, or the heat pump is shipped without a refrigerant charge, use a factory refrigerant charge equal to 30 ounces per ton of certified cooling capacity. Use Equation 2.2–1 to calculate M_t for heat pumps that have a single expansion device located in the outdoor unit to serve each indoor unit, and use Equation 2.2–2 to calculate M_t for heat pumps that have two expansion devices per indoor unit.

Equation 2.2-1 $$M_t = \rho * (V_5 * f_5 + V_6 * f_6 + V_3 + V_4 - V_2)$$

Equation 2.2-2 $$M_t = \rho * (V_5 * f_5 + V_6 * f_6)$$

where:

V_i (i=2,3,4. . .) = the internal volume of the pressure measurement system (pressure lines, fittings, and gauge and/or transducer) at the location i (as indicated in Table 2), (cubic inches)

f_i (i=5,6) = 0 if the pressure measurement system is pitched upwards from the pressure tap location to the gauge or transducer, 1 if it is not.

ρ = the density associated with liquid refrigerant at 100 °F bubble point conditions (ounces per cubic inch)

TABLE 2—PRESSURE MEASUREMENT LOCATIONS

Location	
Compressor Discharge	1
Between Outdoor Coil and Outdoor Expansion Valve(s)	2
Liquid Service Valve	3
Indoor Coil Inlet	4
Indoor Coil Outlet	5
Common Suction Port (i.e. vapor service valve)	6
Compressor Suction	7

Calculate the internal volume of each pressure measurement system using internal volume reported for pressure transducers and gauges in product literature, if available. If such information is not available, use the value of 0.1 cubic inches internal volume for each pressure transducer, and 0.2 cubic inches for each pressure gauge.

In addition, for heat pumps that have a single expansion device located in the outdoor unit to serve each indoor unit, the internal volume of the pressure system at location 2 (as indicated in Table 2) must be no more than 1 cubic inch. Once the pressure measurement lines are set up, no change should be made until all tests are finished.

2.2.1 Defrost Control Settings

Set heat pump defrost controls at the normal settings which most typify those encountered in generalized climatic region IV. (Refer to Figure 1 and Table 20 of section 4.2 of this appendix for information on region IV.) For heat pumps that use a time-adaptive defrost control system (see section 1.2 of this appendix, Definitions), the manufacturer must specify in the certification report the frosting interval to be used during frost accumulation tests and provide the procedure for manually initiating the defrost at the specified time.

2.2.2 Special Requirements for Units Having a Multiple-Speed Outdoor Fan

Configure the multiple-speed outdoor fan according to the installation manual included with the unit by the manufacturer, and thereafter, leave it unchanged for all tests. The controls of the unit must regulate the operation of the outdoor fan during all lab tests except dry coil cooling mode tests. For dry coil cooling mode tests, the outdoor fan must operate at the same speed used during the required wet coil test conducted at the same outdoor test conditions.

2.2.3 Special Requirements for Multi-Split Air Conditioners and Heat Pumps and Ducted Systems Using a Single Indoor Section Containing Multiple Indoor Blowers That Would Normally Operate Using Two or More Indoor Thermostats

Because these systems will have more than one indoor blower and possibly multiple outdoor fans and compressor systems, references in this test procedure to a singular indoor blower, outdoor fan, and/or compressor means all indoor blowers, all outdoor fans, and all compressor systems that are energized during the test.

a. Additional requirements for multi-split air conditioners and heat pumps. For any test where the system is operated at part load (*i.e.,* one or more compressors ''off'', operating at the intermediate or minimum compressor speed, or at low compressor capacity), record the indoor coil(s) that are not providing heating or cooling during the test. For variable-speed systems, the manufacturer must designate in the certification report at least one indoor unit that is not providing heating or cooling for all tests conducted at minimum compressor speed.

b. Additional requirements for ducted split systems with a single indoor unit containing multiple indoor blowers (or for single-package units with an indoor section containing multiple indoor blowers) where the indoor blowers are designed to cycle on and off independently of one another and are not controlled such that all indoor blowers are modulated to always operate at the same air volume rate or speed. For any test where the system is operated at its lowest capacity—*i.e.,* the lowest total air volume rate allowed when operating the single-speed compressor or when operating at low compressor capacity—indoor blowers accounting for at least one-third of the full-load air volume rate must be turned off unless prevented by the controls of the unit. In such cases, turn off as many indoor blowers as permitted by the unit's controls. Where more than one option exists for meeting this ''off'' requirement, the manufacturer shall indicate in its certification report which indoor blower(s) are turned off. The chosen configuration shall remain unchanged for all tests conducted at the same lowest capacity configuration. For any indoor coil turned off during a test, cease forced airflow through any outlet duct connected to a switched-off indoor blower.

c. For test setups where the laboratory's physical limitations requires use of more than the required line length of 25 feet as listed in section 2.2.a(4) of this appendix, then the actual refrigerant line length used by the laboratory may exceed the required length and the refrigerant line length correction factors in Table 4 of AHRI 1230–2010 are applied to the cooling capacity measured for each cooling mode test.

2.2.4 Wet-Bulb Temperature Requirements for the Air Entering the Indoor and Outdoor Coils

2.2.4.1 Cooling Mode Tests

For wet-coil cooling mode tests, regulate the water vapor content of the air entering the indoor unit so that the wet-bulb temperature is as listed in Tables 5 to 8. As noted in these same tables, achieve a wet-bulb temperature during dry-coil cooling mode tests that results in no condensate forming on the indoor coil. Controlling the water vapor content of the air entering the outdoor side of the unit is not required for cooling mode tests except when testing:

(1) Units that reject condensate to the outdoor coil during wet coil tests. Tables 5–8 list the applicable wet-bulb temperatures.

(2) Single-package units where all or part of the indoor section is located in the outdoor test room. The average dew point temperature of the air entering the outdoor coil during wet coil tests must be within ±3.0 °F of the average dew point temperature of the air entering the indoor coil over the 30-minute data collection interval described in section 3.3 of this appendix. For dry coil tests on such units, it may be necessary to limit the moisture content of the air entering the outdoor coil of the unit to meet the requirements of section 3.4 of this appendix.

2.2.4.2 Heating Mode Tests

For heating mode tests, regulate the water vapor content of the air entering the outdoor unit to the applicable wet-bulb temperature listed in Tables 12 to 15. The wet-bulb temperature entering the indoor side of the heat pump must not exceed 60 °F. Additionally, if the Outdoor Air Enthalpy test method (section 2.10.1 of this appendix) is used while testing a single-package heat pump where all or part of the outdoor section is located in the indoor test room, adjust the wet-bulb temperature for the air entering the indoor side to yield an indoor-side dew point temperature that is as close as reasonably possible to the dew point temperature of the outdoor-side entering air.

2.2.5 Additional Refrigerant Charging Requirements

2.2.5.1 Instructions To Use for Charging

a. Where the manufacturer's installation instructions contain two sets of refrigerant charging criteria, one for field installations and one for lab testing, use the field installation criteria.

b. For systems consisting of an outdoor unit manufacturer's outdoor section and indoor section with differing charging procedures, adjust the refrigerant charge per the outdoor installation instructions.

c. For systems consisting of an outdoor unit manufacturer's outdoor unit and an independent coil manufacturer's indoor unit with differing charging procedures, adjust the refrigerant charge per the indoor unit's installation instructions. If instructions are provided only with the outdoor unit or are provided only with an independent coil manufacturer's indoor unit, then use the provided instructions.

2.2.5.2 Test(s) To Use for Charging

a. Use the tests or operating conditions specified in the manufacturer's installation instructions for charging. The manufacturer's installation instructions may specify use of tests other than the A or A_2 test for charging, but, unless the unit is a heating-only heat pump, the air volume rate must be determined by the A or A_2 test as specified in section 3.1 of this appendix.

b. If the manufacturer's installation instructions do not specify a test or operating conditions for charging or there are no manufacturer's instructions, use the following test(s):

(1) For air conditioners or cooling and heating heat pumps, use the A or A_2 test.

(2) For cooling and heating heat pumps that do not operate in the H1 or $H1_2$ test (*e.g.* due to shut down by the unit limiting devices) when tested using the charge determined at the A or A_2 test, and for heating-only heat pumps, use the H1 or $H1_2$ test.

2.2.5.3 Parameters To Set and Their Target Values

a. Consult the manufacturer's installation instructions regarding which parameters (*e.g.*, superheat) to set and their target values. If the instructions provide ranges of values, select target values equal to the midpoints of the provided ranges.

b. In the event of conflicting information between charging instructions (*i.e.*, multiple conditions given for charge adjustment where all conditions specified cannot be met), follow the following hierarchy.

(1) For fixed orifice systems:

(i) Superheat

(ii) High side pressure or corresponding saturation or dew-point temperature

(iii) Low side pressure or corresponding saturation or dew-point temperature

(iv) Low side temperature

(v) High side temperature

(vi) Charge weight

(2) For expansion valve systems:

(i) Subcooling

(ii) High side pressure or corresponding saturation or dew-point temperature

(iii) Low side pressure or corresponding saturation or dew-point temperature

(iv) Approach temperature (difference between temperature of liquid leaving condenser and condenser average inlet air temperature)

(v) Charge weight

c. If there are no installation instructions and/or they do not provide parameters and target values, set superheat to a target value of 12 °F for fixed orifice systems or set subcooling to a target value of 10 °F for expansion valve systems.

2.2.5.4 Charging Tolerances

a. If the manufacturer's installation instructions specify tolerances on target values for the charging parameters, set the values within these tolerances.

b. Otherwise, set parameter values within the following test condition tolerances for the different charging parameters:

1. Superheat: ± 2.0 °F

2. Subcooling: ± 2.0 °F

3. High side pressure or corresponding saturation or dew point temperature: ± 4.0 psi or ± 1.0 °F
4. Low side pressure or corresponding saturation or dew point temperature: ± 2.0 psi or ± 0.8 °F
5. High side temperature: ±2.0 °F
6. Low side temperature: ±2.0 °F
7. Approach temperature: ± 1.0 °F
8. Charge weight: ± 2.0 ounce

2.2.5.5 Special Charging Instructions

a. Cooling and Heating Heat Pumps

If, using the initial charge set in the A or A_2 test, the conditions are not within the range specified in manufacturer's installation instructions for the H1 or $H1_2$ test, make as small as possible an adjustment to obtain conditions for this test in the specified range. After this adjustment, recheck conditions in the A or A_2 test to confirm that they are still within the specified range for the A or A_2 test.

b. Single-Package Systems

Unless otherwise directed by the manufacturer's installation instructions, install one or more refrigerant line pressure gauges during the setup of the unit, located depending on the parameters used to verify or set charge, as described:

(1) Install a pressure gauge at the location of the service valve on the liquid line if charging is on the basis of subcooling, or high side pressure or corresponding saturation or dew point temperature;

(2) Install a pressure gauge at the location of the service valve on the suction line if charging is on the basis of superheat, or low side pressure or corresponding saturation or dew point temperature.

Use methods for installing pressure gauge(s) at the required location(s) as indicated in manufacturer's instructions if specified.

2.2.5.6 Near-Azeotropic and Zeotropic Refrigerants.

Perform charging of near-azeotropic and zeotropic refrigerants only with refrigerant in the liquid state.

2.2.5.7 Adjustment of Charge Between Tests.

After charging the system as described in this test procedure, use the set refrigerant charge for all tests used to determine performance. Do not adjust the refrigerant charge at any point during testing. If measurements indicate that refrigerant charge has leaked during the test, repair the refrigerant leak, repeat any necessary set-up steps, and repeat all tests.

2.3 Indoor Air Volume Rates.

If a unit's controls allow for overspeeding the indoor blower (usually on a temporary basis), take the necessary steps to prevent overspeeding during all tests.

2.3.1 Cooling Tests

a. Set indoor blower airflow-control settings (*e.g.*, fan motor pin settings, fan motor speed) according to the requirements that are specified in section 3.1.4 of this appendix.

b. Express the Cooling full-load air volume rate, the Cooling Minimum Air Volume Rate, and the Cooling Intermediate Air Volume Rate in terms of standard air.

2.3.2 Heating Tests

a. Set indoor blower airflow-control settings (*e.g.*, fan motor pin settings, fan motor speed) according to the requirements that are specified in section 3.1.4 of this appendix.

b. Express the heating full-load air volume rate, the heating minimum air volume rate, the heating intermediate air volume rate, and the heating nominal air volume rate in terms of standard air.

2.4 Indoor Coil Inlet and Outlet Duct Connections

Insulate and/or construct the outlet plenum as described in section 2.4.1 of this appendix and, if installed, the inlet plenum described in section 2.4.2 of this appendix with thermal insulation having a nominal overall resistance (R-value) of at least 19 $hr{\cdot}ft^{2\cdot}$ °F/Btu.

2.4.1 Outlet Plenum for the Indoor Unit

a. Attach a plenum to the outlet of the indoor coil. (NOTE: For some packaged systems, the indoor coil may be located in the outdoor test room.)

b. For systems having multiple indoor coils, or multiple indoor blowers within a single indoor section, attach a plenum to each indoor coil or indoor blower outlet. In order to reduce the number of required airflow measurement apparati (section 2.6 of this appendix), each such apparatus may serve multiple outlet plenums connected to a single common duct leading to the apparatus. More than one indoor test room may be used, which may use one or more common ducts leading to one or more airflow measurement apparati within each test room that contains multiple indoor coils. At the plane where each plenum enters a common duct, install an adjustable airflow damper and use it to equalize the static pressure in each plenum. Each outlet air temperature grid (section 2.5.4 of this appendix) and airflow measuring apparatus are located downstream of the inlet(s) to the common duct. For multiple-circuit (or multi-circuit) systems for which each indoor coil outlet is measured

separately and its outlet plenum is not connected to a common duct connecting multiple outlet plenums, the outlet air temperature grid and airflow measuring apparatus must be installed at each outlet plenum.

c. For small-duct, high-velocity systems, install an outlet plenum that has a diameter that is equal to or less than the value listed in Table 3. The limit depends only on the Cooling full-load air volume rate (see section 3.1.4.1.1 of this appendix) and is effective regardless of the flange dimensions on the outlet of the unit (or an air supply plenum adapter accessory, if installed in accordance with the manufacturer's installation instructions).

d. Add a static pressure tap to each face of the (each) outlet plenum, if rectangular, or at four evenly distributed locations along the circumference of an oval or round plenum. Create a manifold that connects the four static pressure taps. Figure 9 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) shows allowed options for the manifold configuration. The cross-sectional dimensions of plenum shall be equal to the dimensions of the indoor unit outlet. See Figures 7a, 7b, and 7c of ANSI/ASHRAE 37–2009 for the minimum length of the (each) outlet plenum and the locations for adding the static pressure taps for ducted blower coil indoor units and single-package systems. See Figure 8 of ANSI/ASHRAE 37–2009 for coil-only indoor units.

TABLE 3—SIZE OF OUTLET PLENUM FOR SMALL-DUCT HIGH-VELOCITY INDOOR UNITS

Cooling full-load air volume rate (scfm)	Maximum diameter * of outlet plenum (inches)
≤500	6
501 to 700	7
701 to 900	8
901 to 1100	9
1101 to 1400	10
1401 to 1750	11

* If the outlet plenum is rectangular, calculate its equivalent diameter using ($4A/P$,) where A is the cross-sectional area and P is the perimeter of the rectangular plenum, and compare it to the listed maximum diameter.

2.4.2 Inlet Plenum for the Indoor Unit

Install an inlet plenum when testing a coil-only indoor unit, a ducted blower coil indoor unit, or a single-package system. See Figures 7b and 7c of ANSI/ASHRAE 37–2009 for cross-sectional dimensions, the minimum length of the inlet plenum, and the locations of the static-pressure taps for ducted blower coil indoor units and single-package systems. See Figure 8 of ANSI/ASHRAE 37–2009 for coil-only indoor units. The inlet plenum duct size shall equal the size of the inlet opening of the air-handling (blower coil) unit or furnace. For a ducted blower coil indoor unit the set up may omit the inlet plenum if an inlet airflow prevention device is installed with a straight internally unobstructed duct on its outlet end with a minimum length equal to 1.5 times the square root of the cross-sectional area of the indoor unit inlet. See section 2.5.1.2 of this appendix for requirements for the locations of static pressure taps built into the inlet airflow prevention device. For all of these arrangements, make a manifold that connects the four static-pressure taps using one of the three configurations specified in section 2.4.1.d of this appendix. Never use an inlet plenum when testing non-ducted indoor units.

2.5 Indoor Coil Air Property Measurements and Airflow Prevention Devices

Follow instructions for indoor coil air property measurements as described in section 2.14 of this appendix, unless otherwise instructed in this section.

a. Measure the dry-bulb temperature and water vapor content of the air entering and leaving the indoor coil. If needed, use an air sampling device to divert air to a sensor(s) that measures the water vapor content of the air. See section 5.3 of ANSI/ASHRAE 41.1–2013 (incorporated by reference, see §430.3) for guidance on constructing an air sampling device. No part of the air sampling device or the tubing transferring the sampled air to the sensor shall be within two inches of the test chamber floor, and the transfer tubing shall be insulated. The sampling device may also be used for measurement of dry bulb temperature by transferring the sampled air to a remotely located sensor(s). The air sampling device and the remotely located temperature sensor(s) may be used to determine the entering air dry bulb temperature during any test. The air sampling device and the remotely located sensor(s) may be used to determine the leaving air dry bulb temperature for all tests except:

(1) Cyclic tests; and

(2) Frost accumulation tests.

b. Install grids of temperature sensors to measure dry bulb temperatures of both the entering and leaving airstreams of the indoor unit. These grids of dry bulb temperature sensors may be used to measure average dry bulb temperature entering and leaving the indoor unit in all cases (as an alternative to the dry bulb sensor measuring the sampled air). The leaving airstream grid is required for measurement of average dry bulb temperature leaving the indoor unit for the two special cases noted above. The grids are also required to measure the air temperature distribution of the entering and leaving

airstreams as described in sections 3.1.8 and 3.1.9 of this appendix. Two such grids may applied as a thermopile, to directly obtain the average temperature difference rather than directly measuring both entering and leaving average temperatures.

c. Use of airflow prevention devices. Use an inlet and outlet air damper box, or use an inlet upturned duct and an outlet air damper box when conducting one or both of the cyclic tests listed in sections 3.2 and 3.6 of this appendix on ducted systems. If not conducting any cyclic tests, an outlet air damper box is required when testing ducted and non-ducted heat pumps that cycle off the indoor blower during defrost cycles and there is no other means for preventing natural or forced convection through the indoor unit when the indoor blower is off. Never use an inlet damper box or an inlet upturned duct when testing non-ducted indoor units. An inlet upturned duct is a length of ductwork installed upstream from the inlet such that the indoor duct inlet opening, facing upwards, is sufficiently high to prevent natural convection transfer out of the duct. If an inlet upturned duct is used, install a dry bulb temperature sensor near the inlet opening of the indoor duct at a centerline location not higher than the lowest elevation of the duct edges at the inlet, and ensure that any pair of 5-minute averages of the dry bulb temperature at this location, measured at least every minute during the compressor OFF period of the cyclic test, do not differ by more than 1.0 °F.

2.5.1 Test Set-Up on the Inlet Side of the Indoor Coil: For Cases Where the Inlet Airflow Prevention Device Is Installed

a. Install an airflow prevention device as specified in section 2.5.1.1 or 2.5.1.2 of this appendix, whichever applies.

b. For an inlet damper box, locate the grid of entering air dry-bulb temperature sensors, if used, and the air sampling device, or the sensor used to measure the water vapor content of the inlet air, at a location immediately upstream of the damper box inlet. For an inlet upturned duct, locate the grid of entering air dry-bulb temperature sensors, if used, and the air sampling device, or the sensor used to measure the water vapor content of the inlet air, at a location at least one foot downstream from the beginning of the insulated portion of the duct but before the static pressure measurement.

2.5.1.1 If the Section 2.4.2 Inlet Plenum Is Installed

Construct the airflow prevention device having a cross-sectional flow area equal to or greater than the flow area of the inlet plenum. Install the airflow prevention device upstream of the inlet plenum and construct ductwork connecting it to the inlet plenum. If needed, use an adaptor plate or a transition duct section to connect the airflow prevention device with the inlet plenum. Insulate the ductwork and inlet plenum with thermal insulation that has a nominal overall resistance (R-value) of at least 19 hr · ft^2 · °F/Btu.

2.5.1.2 If the Section 2.4.2 Inlet Plenum Is Not Installed

Construct the airflow prevention device having a cross-sectional flow area equal to or greater than the flow area of the air inlet of the indoor unit. Install the airflow prevention device immediately upstream of the inlet of the indoor unit. If needed, use an adaptor plate or a short transition duct section to connect the airflow prevention device with the unit's air inlet. Add static pressure taps at the center of each face of a rectangular airflow prevention device, or at four evenly distributed locations along the circumference of an oval or round airflow prevention device. Locate the pressure taps at a distance from the indoor unit inlet equal to 0.5 times the square root of the cross sectional area of the indoor unit inlet. This location must be between the damper and the inlet of the indoor unit, if a damper is used. Make a manifold that connects the four static pressure taps using one of the configurations shown in Figure 9 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). Insulate the ductwork with thermal insulation that has a nominal overall resistance (R-value) of at least 19 hr · ft^2 · °F/Btu.

2.5.2 Test Set-Up on the Inlet Side of the Indoor Unit: for Cases Where No Airflow Prevention Device is Installed

If using the section 2.4.2 inlet plenum and a grid of dry bulb temperature sensors, mount the grid at a location upstream of the static pressure taps described in section 2.4.2 of this appendix, preferably at the entrance plane of the inlet plenum. If the section 2.4.2 inlet plenum is not used (*i.e.* for non-ducted units) locate a grid approximately 6 inches upstream of the indoor unit inlet. In the case of a system having multiple non-ducted indoor units, do this for each indoor unit. Position an air sampling device, or the sensor used to measure the water vapor content of the inlet air, immediately upstream of the (each) entering air dry-bulb temperature sensor grid. If a grid of sensors is not used, position the entering air sampling device (or the sensor used to measure the water vapor content of the inlet air) as if the grid were present.

2.5.3 Indoor Coil Static Pressure Difference Measurement

Fabricate pressure taps meeting all requirements described in section 6.5.2 of

ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) and illustrated in Figure 2A of AMCA 210–2007 (incorporated by reference, see §430.3), however, if adhering strictly to the description in section 6.5.2 of ANSI/ASHRAE 37–2009, the minimum pressure tap length of 2.5 times the inner diameter of Figure 2A of AMCA 210–2007 is waived. Use a differential pressure measuring instrument that is accurate to within ±0.01 inches of water and has a resolution of at least 0.01 inches of water to measure the static pressure difference between the indoor coil air inlet and outlet. Connect one side of the differential pressure instrument to the manifolded pressure taps installed in the outlet plenum. Connect the other side of the instrument to the manifolded pressure taps located in either the inlet plenum or incorporated within the airflow prevention device. For non-ducted indoor units that are tested with multiple outlet plenums, measure the static pressure within each outlet plenum relative to the surrounding atmosphere.

2.5.4 Test Set-Up on the Outlet Side of the Indoor Coil

a. Install an interconnecting duct between the outlet plenum described in section 2.4.1 of this appendix and the airflow measuring apparatus described below in section 2.6 of this appendix. The cross-sectional flow area of the interconnecting duct must be equal to or greater than the flow area of the outlet plenum or the common duct used when testing non-ducted units having multiple indoor coils. If needed, use adaptor plates or transition duct sections to allow the connections. To minimize leakage, tape joints within the interconnecting duct (and the outlet plenum). Construct or insulate the entire flow section with thermal insulation having a nominal overall resistance (R-value) of at least 19 $hr \cdot ft^{2, \circ}F/Btu$.

b. Install a grid(s) of dry-bulb temperature sensors inside the interconnecting duct. Also, install an air sampling device, or the sensor(s) used to measure the water vapor content of the outlet air, inside the interconnecting duct. Locate the dry-bulb temperature grid(s) upstream of the air sampling device (or the in-duct sensor(s) used to measure the water vapor content of the outlet air). Turn off the sampler fan motor during the cyclic tests. Air leaving an indoor unit that is sampled by an air sampling device for remote water-vapor-content measurement must be returned to the interconnecting duct at a location:

(1) Downstream of the air sampling device;

(2) On the same side of the outlet air damper as the air sampling device; and

(3) Upstream of the section 2.6 airflow measuring apparatus.

2.5.4.1 Outlet Air Damper Box Placement and Requirements

If using an outlet air damper box (see section 2.5 of this appendix), the leakage rate from the combination of the outlet plenum, the closed damper, and the duct section that connects these two components must not exceed 20 cubic feet per minute when a negative pressure of 1 inch of water column is maintained at the plenum's inlet.

2.5.4.2 Procedures To Minimize Temperature Maldistribution

Use these procedures if necessary to correct temperature maldistributions. Install a mixing device(s) upstream of the outlet air, dry-bulb temperature grid (but downstream of the outlet plenum static pressure taps). Use a perforated screen located between the mixing device and the dry-bulb temperature grid, with a maximum open area of 40 percent. One or both items should help to meet the maximum outlet air temperature distribution specified in section 3.1.8 of this appendix. Mixing devices are described in sections 5.3.2 and 5.3.3 of ANSI/ASHRAE 41.1–2013 and section 5.2.2 of ASHRAE 41.2–1987 (RA 1992) (incorporated by reference, see §430.3).

2.5.4.3 Minimizing Air Leakage

For small-duct, high-velocity systems, install an air damper near the end of the interconnecting duct, just prior to the transition to the airflow measuring apparatus of section 2.6 of this appendix. To minimize air leakage, adjust this damper such that the pressure in the receiving chamber of the airflow measuring apparatus is no more than 0.5 inch of water higher than the surrounding test room ambient. If applicable, in lieu of installing a separate damper, use the outlet air damper box of sections 2.5 and 2.5.4.1 of this appendix if it allows variable positioning. Also apply these steps to any conventional indoor blower unit that creates a static pressure within the receiving chamber of the airflow measuring apparatus that exceeds the test room ambient pressure by more than 0.5 inches of water column.

2.5.5 Dry Bulb Temperature Measurement

a. Measure dry bulb temperatures as specified in sections 4, 5.3, 6, and 7 of ANSI/ASHRAE 41.1–2013 (incorporated by reference, see §430.3).

b. Distribute the sensors of a dry-bulb temperature grid over the entire flow area. The required minimum is 9 sensors per grid.

2.5.6 Water Vapor Content Measurement

Determine water vapor content by measuring dry-bulb temperature combined with

the air wet-bulb temperature, dew point temperature, or relative humidity. If used, construct and apply wet-bulb temperature sensors as specified in sections 4, 5, 6, 7.2, 7.3, and 7.4 of ASHRAE 41.6–2014 (incorporated by reference, see §430.3). The temperature sensor (wick removed) must be accurate to within ±0.2 °F. If used, apply dew point hygrometers as specified in sections 4, 5, 6, 7.1, and 7.4 of ASHRAE 41.6–2014 (incorporated by reference, see §430.3). The dew point hygrometers must be accurate to within ±0.4 °F when operated at conditions that result in the evaluation of dew points above 35 °F. If used, a relative humidity (RH) meter must be accurate to within ±0.7% RH. Other means to determine the psychrometric state of air may be used as long as the measurement accuracy is equivalent to or better than the accuracy achieved from using a wet-bulb temperature sensor that meets the above specifications.

2.5.7 Air Damper Box Performance Requirements

If used (see section 2.5 of this appendix), the air damper box(es) must be capable of being completely opened or completely closed within 10 seconds for each action.

2.6 Airflow Measuring Apparatus

a. Fabricate and operate an airflow measuring apparatus as specified in section 6.2 and 6.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). Place the static pressure taps and position the diffusion baffle (settling means) relative to the chamber inlet as indicated in Figure 12 of AMCA 210–2007 and/or Figure 14 of ASHRAE 41.2–1987 (RA 1992) (incorporated by reference, see §430.3). When measuring the static pressure difference across nozzles and/or velocity pressure at nozzle throats using electronic pressure transducers and a data acquisition system, if high frequency fluctuations cause measurement variations to exceed the test tolerance limits specified in section 9.2 and Table 2 of ANSI/ASHRAE 37–2009, dampen the measurement system such that the time constant associated with response to a step change in measurement (time for the response to change 63% of the way from the initial output to the final output) is no longer than five seconds.

b. Connect the airflow measuring apparatus to the interconnecting duct section described in section 2.5.4 of this appendix. See sections 6.1.1, 6.1.2, and 6.1.4, and Figures 1, 2, and 4 of ANSI/ASHRAE 37–2009; and Figures D1, D2, and D4 of AHRI 210/240–2008 (incorporated by reference, see §430.3) for illustrative examples of how the test apparatus may be applied within a complete laboratory set-up. Instead of following one of these examples, an alternative set-up may be used to handle the air leaving the airflow measuring apparatus and to supply properly conditioned air to the test unit's inlet. The alternative set-up, however, must not interfere with the prescribed means for measuring airflow rate, inlet and outlet air temperatures, inlet and outlet water vapor contents, and external static pressures, nor create abnormal conditions surrounding the test unit. (NOTE: Do not use an enclosure as described in section 6.1.3 of ANSI/ASHRAE 37–2009 when testing triple-split units.)

2.7 Electrical Voltage Supply

Perform all tests at the voltage specified in section 6.1.3.2 of AHRI 210/240–2008 (incorporated by reference, see §430.3) for ''Standard Rating Tests.'' If either the indoor or the outdoor unit has a 208V or 200V nameplate voltage and the other unit has a 230V nameplate rating, select the voltage supply on the outdoor unit for testing. Otherwise, supply each unit with its own nameplate voltage. Measure the supply voltage at the terminals on the test unit using a volt meter that provides a reading that is accurate to within ±1.0 percent of the measured quantity.

2.8 Electrical Power and Energy Measurements

a. Use an integrating power (watt-hour) measuring system to determine the electrical energy or average electrical power supplied to all components of the air conditioner or heat pump (including auxiliary components such as controls, transformers, crankcase heater, integral condensate pump on non-ducted indoor units, etc.). The watt-hour measuring system must give readings that are accurate to within ±0.5 percent. For cyclic tests, this accuracy is required during both the ON and OFF cycles. Use either two different scales on the same watt-hour meter or two separate watt-hour meters. Activate the scale or meter having the lower power rating within 15 seconds after beginning an OFF cycle. Activate the scale or meter having the higher power rating within 15 seconds prior to beginning an ON cycle. For ducted blower coil systems, the ON cycle lasts from compressor ON to indoor blower OFF. For ducted coil-only systems, the ON cycle lasts from compressor ON to compressor OFF. For non-ducted units, the ON cycle lasts from indoor blower ON to indoor blower OFF. When testing air conditioners and heat pumps having a variable-speed compressor, avoid using an induction watt/watt-hour meter.

b. When performing section 3.5 and/or 3.8 cyclic tests on non-ducted units, provide instrumentation to determine the average electrical power consumption of the indoor blower motor to within ±1.0 percent. If required according to sections 3.3, 3.4, 3.7, 3.9.1 of this appendix, and/or 3.10 of this appendix, this same instrumentation requirement (to

determine the average electrical power consumption of the indoor blower motor to within ±1.0 percent) applies when testing air conditioners and heat pumps having a variable-speed constant-air-volume-rate indoor blower or a variable-speed, variable-air-volume-rate indoor blower.

2.9 Time Measurements

Make elapsed time measurements using an instrument that yields readings accurate to within ±0.2 percent.

2.10 Test Apparatus for the Secondary Space Conditioning Capacity Measurement

For all tests, use the indoor air enthalpy method to measure the unit's capacity. This method uses the test set-up specified in sections 2.4 to 2.6 of this appendix. In addition, for all steady-state tests, conduct a second, independent measurement of capacity as described in section 3.1.1 of this appendix. For split systems, use one of the following secondary measurement methods: Outdoor air enthalpy method, compressor calibration method, or refrigerant enthalpy method. For single-package units, use either the outdoor air enthalpy method or the compressor calibration method as the secondary measurement.

2.10.1 Outdoor Air Enthalpy Method

a. To make a secondary measurement of indoor space conditioning capacity using the outdoor air enthalpy method, do the following:

(1) Measure the electrical power consumption of the test unit;

(2) Measure the air-side capacity at the outdoor coil; and

(3) Apply a heat balance on the refrigerant cycle.

b. The test apparatus required for the outdoor air enthalpy method is a subset of the apparatus used for the indoor air enthalpy method. Required apparatus includes the following:

(1) On the outlet side, an outlet plenum containing static pressure taps (sections 2.4, 2.4.1, and 2.5.3 of this appendix),

(2) An airflow measuring apparatus (section 2.6 of this appendix),

(3) A duct section that connects these two components and itself contains the instrumentation for measuring the dry-bulb temperature and water vapor content of the air leaving the outdoor coil (sections 2.5.4, 2.5.5, and 2.5.6 of this appendix), and

(4) On the inlet side, a sampling device and temperature grid (section 2.11.b of this appendix).

c. During the free outdoor air tests described in sections 3.11.1 and 3.11.1.1 of this appendix, measure the evaporator and condenser temperatures or pressures. On both the outdoor coil and the indoor coil, solder a thermocouple onto a return bend located at or near the midpoint of each coil or at points not affected by vapor superheat or liquid subcooling. Alternatively, if the test unit is not sensitive to the refrigerant charge, install pressure gages to the access valves or to ports created from tapping into the suction and discharge lines according to sections 7.4.2 and 8.2.5 of ANSI/ASHRAE 37–2009. Use this alternative approach when testing a unit charged with a zeotropic refrigerant having a temperature glide in excess of 1 °F at the specified test conditions.

2.10.2 Compressor Calibration Method

Measure refrigerant pressures and temperatures to determine the evaporator superheat and the enthalpy of the refrigerant that enters and exits the indoor coil. Determine refrigerant flow rate or, when the superheat of the refrigerant leaving the evaporator is less than 5 °F, total capacity from separate calibration tests conducted under identical operating conditions. When using this method, install instrumentation and measure refrigerant properties according to section 7.4.2 and 8.2.5 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). If removing the refrigerant before applying refrigerant lines and subsequently recharging, use the steps in 7.4.2 of ANSI/ASHRAE 37–2009 in addition to the methods of section 2.2.5 of this appendix to confirm the refrigerant charge. Use refrigerant temperature and pressure measuring instruments that meet the specifications given in sections 5.1.1 and 5.2 of ANSI/ASHRAE 37–2009.

2.10.3 Refrigerant Enthalpy Method

For this method, calculate space conditioning capacity by determining the refrigerant enthalpy change for the indoor coil and directly measuring the refrigerant flow rate. Use section 7.5.2 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) for the requirements for this method, including the additional instrumentation requirements, and information on placing the flow meter and a sight glass. Use refrigerant temperature, pressure, and flow measuring instruments that meet the specifications given in sections 5.1.1, 5.2, and 5.5.1 of ANSI/ASHRAE 37–2009. Refrigerant flow measurement device(s), if used, must be either elevated at least two feet from the test chamber floor or placed upon insulating material having a total thermal resistance of at least R–12 and extending at least one foot laterally beyond each side of the device(s)' exposed surfaces.

2.11 Measurement of Test Room Ambient Conditions

Follow instructions for setting up air sampling device and aspirating psychrometer as

described in section 2.14 of this appendix, unless otherwise instructed in this section.

a. If using a test set-up where air is ducted directly from the conditioning apparatus to the indoor coil inlet (see Figure 2, Loop Air-Enthalpy Test Method Arrangement, of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3)), add instrumentation to permit measurement of the indoor test room dry-bulb temperature.

b. On the outdoor side, use one of the following two approaches, except that approach (1) is required for all evaporatively-cooled units and units that transfer condensate to the outdoor unit for evaporation using condenser heat.

(1) Use sampling tree air collection on all air-inlet surfaces of the outdoor unit.

(2) Use sampling tree air collection on one or more faces of the outdoor unit and demonstrate air temperature uniformity as follows. Install a grid of evenly-distributed thermocouples on each air-permitting face on the inlet of the outdoor unit. Install the thermocouples on the air sampling device, locate them individually or attach them to a wire structure. If not installed on the air sampling device, install the thermocouple grid 6 to 24 inches from the unit. The thermocouples shall be evenly spaced across the coil inlet surface and be installed to avoid sampling of discharge air or blockage of air recirculation. The grid of thermocouples must provide at least 16 measuring points per face or one measurement per square foot of inlet face area, whichever is less. This grid must be constructed and used as per section 5.3 of ANSI/ASHRAE 41.1–2013 (incorporated by reference, see §430.3). The maximum difference between the average temperatures measured during the test period of any two pairs of these individual thermocouples located at any of the faces of the inlet of the outdoor unit, must not exceed 2.0 °F, otherwise approach (1) must be used.

The air sampling devices shall be located at the geometric center of each side; the branches may be oriented either parallel or perpendicular to the longer edges of the air inlet area. The air sampling devices in the outdoor air inlet location shall be sized such that they cover at least 75% of the face area of the side of the coil that they are measuring.

Air distribution at the test facility point of supply to the unit shall be reviewed and may require remediation prior to the beginning of testing. Mixing fans can be used to ensure adequate air distribution in the test room. If used, mixing fans shall be oriented such that they are pointed away from the air intake so that the mixing fan exhaust does not affect the outdoor coil air volume rate. Particular attention should be given to prevent the mixing fans from affecting (enhancing or limiting) recirculation of condenser fan exhaust air back through the unit. Any fan used to enhance test room air mixing shall not cause air velocities in the vicinity of the test unit to exceed 500 feet per minute.

The air sampling device may be larger than the face area of the side being measured, however care shall be taken to prevent discharge air from being sampled. If an air sampling device dimension extends beyond the inlet area of the unit, holes shall be blocked in the air sampling device to prevent sampling of discharge air. Holes can be blocked to reduce the region of coverage of the intake holes both in the direction of the trunk axis or perpendicular to the trunk axis. For intake hole region reduction in the direction of the trunk axis, block holes of one or more adjacent pairs of branches (the branches of a pair connect opposite each other at the same trunk location) at either the outlet end or the closed end of the trunk. For intake hole region reduction perpendicular to the trunk axis, block off the same number of holes on each branch on both sides of the trunk.

A maximum of four (4) air sampling devices shall be connected to each aspirating psychrometer. In order to proportionately divide the flow stream for multiple air sampling devices for a given aspirating psychrometer, the tubing or conduit conveying sampled air to the psychrometer shall be of equivalent lengths for each air sampling device. Preferentially, the air sampling device should be hard connected to the aspirating psychrometer, but if space constraints do not allow this, the assembly shall have a means of allowing a flexible tube to connect the air sampling device to the aspirating psychrometer. The tubing or conduit shall be insulated and routed to prevent heat transfer to the air stream. Any surface of the air conveying tubing in contact with surrounding air at a different temperature than the sampled air shall be insulated with thermal insulation with a nominal thermal resistance (R-value) of at least 19 hr · ft^2 · °F/Btu. Alternatively the conduit may have lower thermal resistance if additional sensor(s) are used to measure dry bulb temperature at the outlet of each air sampling device. No part of the air sampling device or the tubing conducting the sampled air to the sensors shall be within two inches of the test chamber floor.

Pairs of measurements (*e.g.*, dry bulb temperature and wet bulb temperature) used to determine water vapor content of sampled air shall be measured in the same location.

2.12 Measurement of Indoor Blower Speed

When required, measure fan speed using a revolution counter, tachometer, or stroboscope that gives readings accurate to within ±1.0 percent.

2.13 Measurement of Barometric Pressure

Determine the average barometric pressure during each test. Use an instrument that meets the requirements specified in section 5.2 of ANSI/ASHRAE 37–2009 (incorporated by reference, see § 430.3).

2.14 Air Sampling Device and Aspirating Psychrometer Requirements

Air temperature measurements shall be made in accordance with ANSI/ASHRAE 41.1–2013, unless otherwise instructed in this section.

2.14.1 Air Sampling Device Requirements

The air sampling device is intended to draw in a sample of the air at the critical locations of a unit under test. It shall be constructed of stainless steel, plastic or other suitable, durable materials. It shall have a main flow trunk tube with a series of branch tubes connected to the trunk tube. Holes shall be on the side of the sampler facing the upstream direction of the air source. Other sizes and rectangular shapes can be used, and shall be scaled accordingly with the following guidelines:

(1) Minimum hole density of 6 holes per square foot of area to be sampled

(2) Sampler branch tube pitch (spacing) of 6 ± 3 in

(3) Manifold trunk to branch diameter ratio having a minimum of 3:1 ratio

(4) Hole pitch (spacing) shall be equally distributed over the branch (½ pitch from the closed end to the nearest hole)

(5) Maximum individual hole to branch diameter ratio of 1:2 (1:3 preferred)

The minimum average velocity through the air sampling device holes shall be 2.5 ft/s as determined by evaluating the sum of the open area of the holes as compared to the flow area in the aspirating psychrometer.

2.14.2 Aspirating Psychrometer

The psychrometer consists of a flow section and a fan to draw air through the flow section and measures an average value of the sampled air stream. At a minimum, the flow section shall have a means for measuring the dry bulb temperature (typically, a resistance temperature device (RTD) and a means for measuring the humidity (RTD with wetted sock, chilled mirror hygrometer, or relative humidity sensor). The aspirating psychrometer shall include a fan that either can be adjusted manually or automatically to maintain required velocity across the sensors.

The psychrometer shall be made from suitable material which may be plastic (such as polycarbonate), aluminum or other metallic materials. All psychrometers for a given system being tested, shall be constructed of the same material. Psychrometers shall be designed such that radiant heat from the motor (for driving the fan that draws sampled air through the psychrometer) does not affect sensor measurements. For aspirating psychrometers, velocity across the wet bulb sensor shall be 1000 ± 200 ft/min. For all other psychrometers, velocity shall be as specified by the sensor manufacturer.

3. Testing Procedures

3.1 General Requirements

If, during the testing process, an equipment set-up adjustment is made that would have altered the performance of the unit during any already completed test, then repeat all tests affected by the adjustment. For cyclic tests, instead of maintaining an air volume rate, for each airflow nozzle, maintain the static pressure difference or velocity pressure during an ON period at the same pressure difference or velocity pressure as measured during the steady-state test conducted at the same test conditions.

Use the testing procedures in this section to collect the data used for calculating

(1) Performance metrics for central air conditioners and heat pumps during the cooling season;

(2) Performance metrics for heat pumps during the heating season; and

(3) Power consumption metric(s) for central air conditioners and heat pumps during the off mode season(s).

3.1.1 Primary and Secondary Test Methods

For all tests, use the indoor air enthalpy method test apparatus to determine the unit's space conditioning capacity. The procedure and data collected, however, differ slightly depending upon whether the test is a steady-state test, a cyclic test, or a frost accumulation test. The following sections described these differences. For the full-capacity cooling-mode test and (for a heat pump) the full-capacity heating-mode test, use one of the acceptable secondary methods specified in section 2.10 of this appendix to determine indoor space conditioning capacity. Calculate this secondary check of capacity according to section 3.11 of this appendix. The two capacity measurements must agree to within 6 percent to constitute a valid test. For this capacity comparison, use the Indoor Air Enthalpy Method capacity that is calculated in section 7.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see § 430.3) (and, if testing a coil-only system, compare capacities before making the after-test fan heat adjustments described in section 3.3, 3.4, 3.7, and 3.10 of this appendix). However, include the appropriate section 3.3 to 3.5 and 3.7 to 3.10 fan heat adjustments within the indoor air enthalpy method capacities used for the section 4 seasonal calculations of this appendix.

3.1.2 Manufacturer-Provided Equipment Overrides

Where needed, the manufacturer must provide a means for overriding the controls of the test unit so that the compressor(s) operates at the specified speed or capacity and the indoor blower operates at the specified speed or delivers the specified air volume rate.

3.1.3 Airflow Through the Outdoor Coil

For all tests, meet the requirements given in section 6.1.3.4 of AHRI 210/240–2008 (incorporated by reference, see §430.3) when obtaining the airflow through the outdoor coil.

3.1.3.1 Double-Ducted

For products intended to be installed with the outdoor airflow ducted, the unit shall be installed with outdoor coil ductwork installed per manufacturer installation instructions and shall operate between 0.10 and 0.15 in H_2O external static pressure. External static pressure measurements shall be made in accordance with ANSI/ASHRAE 37–2009 section 6.4 and 6.5.

3.1.4 Airflow Through the Indoor Coil

Airflow setting(s) shall be determined before testing begins. Unless otherwise specified within this or its subsections, no changes shall be made to the airflow setting(s) after initiation of testing.

3.1.4.1 Cooling Full-Load Air Volume Rate

3.1.4.1.1. Cooling Full-Load Air Volume Rate for Ducted Units

Identify the certified cooling full-load air volume rate and certified instructions for setting fan speed or controls. If there is no certified Cooling full-load air volume rate, use a value equal to the certified cooling capacity of the unit times 400 scfm per 12,000 Btu/h. If there are no instructions for setting fan speed or controls, use the as-shipped settings. Use the following procedure to confirm and, if necessary, adjust the Cooling full-load air volume rate and the fan speed or control settings to meet each test procedure requirement:

a. For all ducted blower coil systems, except those having a constant-air-volume-rate indoor blower:

Step (1) Operate the unit under conditions specified for the A (for single-stage units) or A_2 test using the certified fan speed or controls settings, and adjust the exhaust fan of the airflow measuring apparatus to achieve the certified Cooling full-load air volume rate;

Step (2) Measure the external static pressure;

Step (3) If this external static pressure is equal to or greater than the applicable minimum external static pressure cited in Table 4, the pressure requirement is satisfied; proceed to step 7 of this section. If this external static pressure is not equal to or greater than the applicable minimum external static pressure cited in Table 4, proceed to step 4 of this section;

Step (4) Increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until either

(i) The applicable Table 4 minimum is equaled or

(ii) The measured air volume rate equals 90 percent or less of the Cooling full-load air volume rate, whichever occurs first;

Step (5) If the conditions of step 4 (i) of this section occur first, the pressure requirement is satisfied; proceed to step 7 of this section. If the conditions of step 4 (ii) of this section occur first, proceed to step 6 of this section;

Step (6) Make an incremental change to the setup of the indoor blower (*e.g.*, next highest fan motor pin setting, next highest fan motor speed) and repeat the evaluation process beginning above, at step 1 of this section. If the indoor blower setup cannot be further changed, increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until the applicable Table 4 minimum is equaled; proceed to step 7 of this section;

Step (7) The airflow constraints have been satisfied. Use the measured air volume rate as the Cooling full-load air volume rate. Use the final fan speed or control settings for all tests that use the Cooling full-load air volume rate.

b. For ducted blower coil systems with a constant-air-volume-rate indoor blower. For all tests that specify the Cooling full-load air volume rate, obtain an external static pressure as close to (but not less than) the applicable Table 4 value that does not cause automatic shutdown of the indoor blower or air volume rate variation Q_{Var}, defined as follows, greater than 10 percent.

$$Q_{Var} = \left[\frac{Q_{max} - Q_{min}}{\left(\frac{Q_{max} + Q_{min}}{2}\right)}\right] * 100$$

where:

Q_{max} = maximum measured airflow value
Q_{min} = minimum measured airflow value
Q_{var} = airflow variance, percent

Additional test steps as described in section 3.3.(e) of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For coil-only indoor units. For the A or A_2 Test, (exclusively), the pressure drop across the indoor coil assembly must not exceed 0.30 inches of water. If this pressure drop is exceeded, reduce the air volume rate until the measured pressure drop equals the specified maximum. Use this reduced air volume rate for all tests that require the Cooling full-load air volume rate.

TABLE 4—MINIMUM EXTERNAL STATIC PRESSURE FOR DUCTED BLOWER COIL SYSTEMS

Rated Cooling [1] or Heating [2] Capacity (Btu/h)	Minimum external resistance [3] (Inches of water)	
	Small-duct, high-velocity systems [4 5]	All other systems
Up Thru 28,800	1.10	0.10
29,000 to 42,500	1.15	0.15
43,000 and Above	1.20	0.20

[1] For air conditioners and air-conditioning heat pumps, the value certified by the manufacturer for the unit's cooling capacity when operated at the *A* or A_2 Test conditions.
[2] For heating-only heat pumps, the value certified by the manufacturer for the unit's heating capacity when operated at the *H1* or $H1_2$ Test conditions.
[3] For ducted units tested without an air filter installed, increase the applicable tabular value by 0.08 inches of water.
[4] See section 1.2 of this appendix, Definitions, to determine if the equipment qualifies as a small-duct, high-velocity system.
[5] If a closed-loop, air-enthalpy test apparatus is used on the indoor side, limit the resistance to airflow on the inlet side of the blower coil indoor unit to a maximum value of 0.1 inch of water. Impose the balance of the airflow resistance on the outlet side of the indoor blower.

d. For ducted systems having multiple indoor blowers within a single indoor section, obtain the full-load air volume rate with all indoor blowers operating unless prevented by the controls of the unit. In such cases, turn on the maximum number of indoor blowers permitted by the unit's controls. Where more than one option exists for meeting this ''on'' indoor blower requirement, which indoor blower(s) are turned on must match that specified in the certification report. Conduct section 3.1.4.1.1 setup steps for each indoor blower separately. If two or more indoor blowers are connected to a common duct as per section 2.4.1 of this appendix, temporarily divert their air volume to the test room when confirming or adjusting the setup configuration of individual indoor blowers. The allocation of the system's full-load air volume rate assigned to each ''on'' indoor blower must match that specified by the manufacturer in the certification report.

3.1.4.1.2. Cooling Full-Load Air Volume Rate for Non-Ducted Units

For non-ducted units, the Cooling full-load air volume rate is the air volume rate that results during each test when the unit is operated at an external static pressure of zero inches of water.

3.1.4.2 Cooling Minimum Air Volume Rate

Identify the certified cooling minimum air volume rate and certified instructions for setting fan speed or controls. If there is no certified cooling minimum air volume rate, use the final indoor blower control settings as determined when setting the cooling full-load air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling full load air volume obtained in section 3.1.4.1 of this appendix. Otherwise, calculate the target external static pressure and follow instructions a, b, c, d, or e below. The target external static pressure, ΔP_{st_i}, for any test ''i'' with a specified air volume rate not equal to the Cooling full-load air volume rate is determined as follows:

$$\Delta P_{st_i} = \Delta P_{st_full} \left[\frac{Q_i}{Q_{full}} \right]^2$$

where:

ΔP_{st_i} = target minimum external static pressure for test i;

ΔP_{st_full} = minimum external static pressure for test A or A_2 (Table 4);

Q_i = air volume rate for test i; and

Q_{full} = Cooling full-load air volume rate as measured after setting and/or adjustment as described in section 3.1.4.1.1 of this appendix.

a. For a ducted blower coil system without a constant-air-volume indoor blower, adjust for external static pressure as follows:

Step (1) Operate the unit under conditions specified for the B1 test using the certified fan speed or controls settings, and adjust the exhaust fan of the airflow measuring apparatus to achieve the certified cooling minimum air volume rate;

Step (2) Measure the external static pressure;

Step (3) If this pressure is equal to or greater than the minimum external static pressure computed above, the pressure requirement is satisfied; proceed to step 7 of this section. If this pressure is not equal to or greater than the minimum external static pressure computed above, proceed to step 4 of this section;

Step (4) Increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until either

(i) The pressure is equal to the minimum external static pressure computed above or

(ii) The measured air volume rate equals 90 percent or less of the cooling minimum air volume rate, whichever occurs first;

Step (5) If the conditions of step 4 (i) of this section occur first, the pressure requirement is satisfied; proceed to step 7 of this section. If the conditions of step 4 (ii) of this section occur first, proceed to step 6 of this section;

Step (6) Make an incremental change to the setup of the indoor blower (*e.g.*, next highest fan motor pin setting, next highest fan motor speed) and repeat the evaluation process beginning above, at step 1 of this section. If the indoor blower setup cannot be further changed, increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until it equals the minimum external static pressure computed above; proceed to step 7 of this section;

Step (7) The airflow constraints have been satisfied. Use the measured air volume rate as the cooling minimum air volume rate. Use the final fan speed or control settings for all tests that use the cooling minimum air volume rate.

b. For ducted units with constant-air-volume indoor blowers, conduct all tests that specify the cooling minimum air volume rate—(*i.e.*, the A_1, B_1, C_1, F_1, and G_1 Tests)—at an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{Var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10 percent, while being as close to, but not less than the target minimum external static pressure. Additional test steps as described in section 3.3(e) of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For ducted two-capacity coil-only systems, the cooling minimum air volume rate is the higher of (1) the rate specified by the installation instructions included with the unit by the manufacturer or (2) 75 percent of the cooling full-load air volume rate. During the laboratory tests on a coil-only (fanless) system, obtain this cooling minimum air volume rate regardless of the pressure drop across the indoor coil assembly.

d. For non-ducted units, the cooling minimum air volume rate is the air volume rate that results during each test when the unit operates at an external static pressure of zero inches of water and at the indoor blower setting used at low compressor capacity (two-capacity system) or minimum compressor speed (variable-speed system). For units having a single-speed compressor and a variable-speed variable-air-volume-rate indoor blower, use the lowest fan setting allowed for cooling.

e. For ducted systems having multiple indoor blowers within a single indoor section, operate the indoor blowers such that the lowest air volume rate allowed by the unit's controls is obtained when operating the lone single-speed compressor or when operating at low compressor capacity while meeting the requirements of section 2.2.3.b of this appendix for the minimum number of blowers that must be turned off. Using the target external static pressure and the certified air volume rates, follow the procedures described in section 3.1.4.2.a of this appendix if the indoor blowers are not constant-air-volume indoor blowers or as described in section 3.1.4.2.b of this appendix if the indoor blowers are constant-air-volume indoor blowers. The sum of the individual ''on'' indoor blowers' air volume rates is the cooling minimum air volume rate for the system.

3.1.4.3 Cooling Intermediate Air Volume Rate

Identify the certified cooling intermediate air volume rate and certified instructions for setting fan speed or controls. If there is no certified cooling intermediate air volume rate, use the final indoor blower control settings as determined when setting the cooling full load air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling full load air volume obtained in section 3.1.4.1 of this appendix. Otherwise, calculate target

minimum external static pressure as described in section 3.1.4.2 of this appendix, and set the air volume rate as follows.

a. For a ducted blower coil system without a constant-air-volume indoor blower, adjust for external static pressure as described in section 3.1.4.2.a of this appendix for cooling minimum air volume rate.

b. For a ducted blower coil system with a constant-air-volume indoor blower, conduct the E_V Test at an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10 percent, while being as close to, but not less than the target minimum external static pressure. Additional test steps as described in section 3.3(e) of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For non-ducted units, the cooling intermediate air volume rate is the air volume rate that results when the unit operates at an external static pressure of zero inches of water and at the fan speed selected by the controls of the unit for the E_V Test conditions.

3.1.4.4 Heating Full-Load Air Volume Rate

3.1.4.4.1. Ducted Heat Pumps Where the Heating and Cooling Full-Load Air Volume Rates Are the Same

a. Use the Cooling full-load air volume rate as the heating full-load air volume rate for:

(1) Ducted blower coil system heat pumps that do not have a constant-air-volume indoor blower, and that operate at the same airflow-control setting during both the A (or A_2) and the H1 (or $H1_2$) Tests;

(2) Ducted blower coil system heat pumps with constant-air-flow indoor blowers that provide the same air flow for the A (or A_2) and the H1 (or $H1_2$) Tests; and

(3) Ducted heat pumps that are tested with a coil-only indoor unit (except two-capacity northern heat pumps that are tested only at low capacity cooling—see section 3.1.4.4.2 of this appendix).

b. For heat pumps that meet the above criteria ''1'' and ''3,'' no minimum requirements apply to the measured external or internal, respectively, static pressure. Use the final indoor blower control settings as determined when setting the Cooling full-load air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling full-load air volume obtained in section 3.1.4.1 of this appendix. For heat pumps that meet the above criterion ''2,'' test at an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10 percent, while being as close to, but not less than, the same Table 4 minimum external static pressure as was specified for the A (or A_2) cooling mode test. Additional test steps as described in section 3.9.1(c) of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

3.1.4.4.2. Ducted Heat Pumps Where the Heating and Cooling Full-Load Air Volume Rates Are Different Due to Changes in Indoor Blower Operation, *i.e.* Speed Adjustment by the System Controls

Identify the certified heating full-load air volume rate and certified instructions for setting fan speed or controls. If there is no certified heating full-load air volume rate, use the final indoor blower control settings as determined when setting the cooling full-load air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling full load air volume obtained in section 3.1.4.1 of this appendix. Otherwise, calculate target minimum external static pressure as described in section 3.1.4.2 of this appendix and set the air volume rate as follows.

a. For ducted blower coil system heat pumps that do not have a constant-air-volume indoor blower, adjust for external static pressure as described in section 3.1.4.2.a of this appendix for cooling minimum air volume rate.

b. For ducted heat pumps tested with constant-air-volume indoor blowers installed, conduct all tests that specify the heating full-load air volume rate at an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10 percent, while being as close to, but not less than the target minimum external static pressure. Additional test steps as described in section 3.9.1(c) of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. When testing ducted, two-capacity blower coil system northern heat pumps (see section 1.2 of this appendix, Definitions), use the appropriate approach of the above two cases. For coil-only system northern heat pumps, the heating full-load air volume rate is the lesser of the rate specified by the manufacturer in the installation instructions included with the unit or 133 percent of the cooling full-load air volume rate. For this latter case, obtain the heating full-load air volume rate regardless of the pressure drop across the indoor coil assembly.

d. For ducted systems having multiple indoor blowers within a single indoor section, obtain the heating full-load air volume rate using the same ''on'' indoor blowers as used for the Cooling full-load air volume rate. Using the target external static pressure and

the certified air volume rates, follow the procedures as described in section 3.1.4.4.2.a of this appendix if the indoor blowers are not constant-air-volume indoor blowers or as described in section 3.1.4.4.2.b of this appendix if the indoor blowers are constant-air-volume indoor blowers. The sum of the individual ''on'' indoor blowers' air volume rates is the heating full load air volume rate for the system.

3.1.4.4.3. Ducted Heating-Only Heat Pumps

Identify the certified heating full-load air volume rate and certified instructions for setting fan speed or controls. If there is no certified heating full-load air volume rate, use a value equal to the certified heating capacity of the unit times 400 scfm per 12,000 Btu/h. If there are no instructions for setting fan speed or controls, use the as-shipped settings.

a. For all ducted heating-only blower coil system heat pumps, except those having a constant-air-volume-rate indoor blower. Conduct the following steps only during the first test, the H1 or $H1_2$ Test:

Step (1) Adjust the exhaust fan of the airflow measuring apparatus to achieve the certified heating full-load air volume rate.

Step (2) Measure the external static pressure.

Step (3) If this pressure is equal to or greater than the Table 4 minimum external static pressure that applies given the heating-only heat pump's rated heating capacity, the pressure requirement is satisfied; proceed to step 7 of this section. If this pressure is not equal to or greater than the applicable Table 4 minimum external static pressure, proceed to step 4 of this section;

Step (4) Increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until either (i) the pressure is equal to the applicable Table 4 minimum external static pressure or (ii) the measured air volume rate equals 90 percent or less of the heating full-load air volume rate, whichever occurs first;

Step (5) If the conditions of step 4(i) of this section occur first, the pressure requirement is satisfied; proceed to step 7 of this section. If the conditions of step 4(ii) of this section occur first, proceed to step 6 of this section;

Step (6) Make an incremental change to the setup of the indoor blower (*e.g.*, next highest fan motor pin setting, next highest fan motor speed) and repeat the evaluation process beginning above, at step 1 of this section. If the indoor blower setup cannot be further changed, increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until it equals the applicable Table 4 minimum external static pressure; proceed to step 7 of this section;

Step (7) The airflow constraints have been satisfied. Use the measured air volume rate as the heating full-load air volume rate. Use the final fan speed or control settings for all tests that use the heating full-load air volume rate.

b. For ducted heating-only blower coil system heat pumps having a constant-air-volume-rate indoor blower. For all tests that specify the heating full-load air volume rate, obtain an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{Var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10 percent, while being as close to, but not less than, the applicable Table 4 minimum. Additional test steps as described in section 3.9.1(c) of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For ducted heating-only coil-only system heat pumps in the H1 or $H1_2$ Test, (exclusively), the pressure drop across the indoor coil assembly must not exceed 0.30 inches of water. If this pressure drop is exceeded, reduce the air volume rate until the measured pressure drop equals the specified maximum. Use this reduced air volume rate for all tests that require the heating full-load air volume rate.

3.1.4.4.4. Non-Ducted Heat Pumps, Including Non-Ducted Heating-Only Heat Pumps

For non-ducted heat pumps, the heating full-load air volume rate is the air volume rate that results during each test when the unit operates at an external static pressure of zero inches of water.

3.1.4.5 Heating Minimum Air Volume Rate

3.1.4.5.1. Ducted Heat Pumps Where the Heating and Cooling Minimum Air Volume Rates Are the Same

a. Use the cooling minimum air volume rate as the heating minimum air volume rate for:

(1) Ducted blower coil system heat pumps that do not have a constant-air-volume indoor blower, and that operate at the same airflow-control setting during both the A_1 and the $H1_1$ tests;

(2) Ducted blower coil system heat pumps with constant-air-flow indoor blowers installed that provide the same air flow for the A_1 and the $H1_1$ Tests; and

(3) Ducted coil-only system heat pumps.

b. For heat pumps that meet the above criteria ''1'' and ''3,'' no minimum requirements apply to the measured external or internal, respectively, static pressure. Use the final indoor blower control settings as determined when setting the cooling minimum air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling minimum air volume

rate obtained in section 3.1.4.2 of this appendix. For heat pumps that meet the above criterion ''2,'' test at an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{Var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10 percent, while being as close to, but not less than, the same target minimum external static pressure as was specified for the A_1 cooling mode test. Additional test steps as described in section 3.9.1(c) of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

3.1.4.5.2. Ducted Heat Pumps Where the Heating and Cooling Minimum Air Volume Rates Are Different Due to Changes in Indoor Blower Operation, *i.e.* Speed Adjustment by the System Controls

Identify the certified heating minimum air volume rate and certified instructions for setting fan speed or controls. If there is no certified heating minimum air volume rate, use the final indoor blower control settings as determined when setting the cooling minimum air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling minimum air volume obtained in section 3.1.4.2 of this appendix. Otherwise, calculate the target minimum external static pressure as described in section 3.1.4.2 of this appendix.

a. For ducted blower coil system heat pumps that do not have a constant-air-volume indoor blower, adjust for external static pressure as described in section 3.1.4.2.a of this appendix for cooling minimum air volume rate.

b. For ducted heat pumps tested with constant-air-volume indoor blowers installed, conduct all tests that specify the heating minimum air volume rate—(*i.e.*, the $H0_1$, $H1_1$, $H2_1$, and $H3_1$ Tests)—at an external static pressure that does not cause an automatic shutdown of the indoor blower while being as close to, but not less than the air volume rate variation Q_{Var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10 percent, while being as close to, but not less than the target minimum external static pressure. Additional test steps as described in section 3.9.1.c of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For ducted two-capacity blower coil system northern heat pumps, use the appropriate approach of the above two cases.

d. For ducted two-capacity coil-only system heat pumps, use the cooling minimum air volume rate as the heating minimum air volume rate. For ducted two-capacity coil-only system northern heat pumps, use the cooling full-load air volume rate as the heating minimum air volume rate. For ducted two-capacity heating-only coil-only system heat pumps, the heating minimum air volume rate is the higher of the rate specified by the manufacturer in the test setup instructions included with the unit or 75 percent of the heating full-load air volume rate. During the laboratory tests on a coil-only system, obtain the heating minimum air volume rate without regard to the pressure drop across the indoor coil assembly.

e. For non-ducted heat pumps, the heating minimum air volume rate is the air volume rate that results during each test when the unit operates at an external static pressure of zero inches of water and at the indoor blower setting used at low compressor capacity (two-capacity system) or minimum compressor speed (variable-speed system). For units having a single-speed compressor and a variable-speed, variable-air-volume-rate indoor blower, use the lowest fan setting allowed for heating.

f. For ducted systems with multiple indoor blowers within a single indoor section, obtain the heating minimum air volume rate using the same ''on'' indoor blowers as used for the cooling minimum air volume rate. Using the target external static pressure and the certified air volume rates, follow the procedures as described in section 3.1.4.5.2.a of this appendix if the indoor blowers are not constant-air-volume indoor blowers or as described in section 3.1.4.5.2.b of this appendix if the indoor blowers are constant-air-volume indoor blowers. The sum of the individual ''on'' indoor blowers' air volume rates is the heating full-load air volume rate for the system.

3.1.4.6 Heating Intermediate Air Volume Rate

Identify the certified heating intermediate air volume rate and certified instructions for setting fan speed or controls. If there is no certified heating intermediate air volume rate, use the final indoor blower control settings as determined when setting the heating full-load air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling full load air volume obtained in section 3.1.4.2 of this appendix. Calculate the target minimum external static pressure as described in section 3.1.4.2 of this appendix.

a. For ducted blower coil system heat pumps that do not have a constant-air-volume indoor blower, adjust for external static pressure as described in section 3.1.4.2.a of this appendix for cooling minimum air volume rate.

b. For ducted heat pumps tested with constant-air-volume indoor blowers installed, conduct the $H2_V$ Test at an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{Var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10

percent, while being as close to, but not less than the target minimum external static pressure. Additional test steps as described in section 3.9.1(c) of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For non-ducted heat pumps, the heating intermediate air volume rate is the air volume rate that results when the heat pump operates at an external static pressure of zero inches of water and at the fan speed selected by the controls of the unit for the $H2_V$ Test conditions.

3.1.4.7 Heating Nominal Air Volume Rate

The manufacturer must specify the heating nominal air volume rate and the instructions for setting fan speed or controls. Calculate target minimum external static pressure as described in section 3.1.4.2 of this appendix. Make adjustments as described in section 3.1.4.6 of this appendix for heating intermediate air volume rate so that the target minimum external static pressure is met or exceeded.

3.1.5 Indoor Test Room Requirement When the Air Surrounding the Indoor Unit Is Not Supplied From the Same Source as the Air Entering the Indoor Unit

If using a test set-up where air is ducted directly from the air reconditioning apparatus to the indoor coil inlet (see Figure 2, Loop Air-Enthalpy Test Method Arrangement, of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3)), maintain the dry bulb temperature within the test room within ±5.0 °F of the applicable sections 3.2 and 3.6 dry bulb temperature test condition for the air entering the indoor unit. Dew point shall be within 2 °F of the required inlet conditions.

3.1.6 Air Volume Rate Calculations

For all steady-state tests and for frost accumulation ($H2$, $H2_1$, $H2_2$, $H2_V$) tests, calculate the air volume rate through the indoor coil as specified in sections 7.7.2.1 and 7.7.2.2 of ANSI/ASHRAE 37–2009. When using the outdoor air enthalpy method, follow sections 7.7.2.1 and 7.7.2.2 of ANSI/ASHRAE 37–2009 to calculate the air volume rate through the outdoor coil. To express air volume rates in terms of standard air, use:

Equation 3-1

$$\overline{\dot{V}_s} = \frac{\overline{\dot{V}_{mx}}}{0.075\,\frac{lbm_{da}}{ft^3} * v_n' * [1+W_n]} = \frac{\overline{\dot{V}_{mx}}}{0.075\,\frac{lbm_{da}}{ft^3} * v_n}$$

Where:

$\overline{V}_s$ = air volume rate of standard (dry) air, $(ft^3/min)_{da}$

$\overline{V}_{mx}$ = air volume rate of the air-water vapor mixture, $(ft^3/min)_{mx}$

v_n' = specific volume of air-water vapor mixture at the nozzle, ft^3 per lbm of the air-water vapor mixture

W_n = humidity ratio at the nozzle, lbm of water vapor per lbm of dry air

0.075 = the density associated with standard (dry) air, (lbm/ft^3)

v_n = specific volume of the dry air portion of the mixture evaluated at the dry-bulb temperature, vapor content, and barometric pressure existing at the nozzle, ft^3 per lbm of dry air.

NOTE: In the first printing of ANSI/ASHRAE 37–2009, the second IP equation for Q_{mi} should read

$$Q_{mi} = 1097 C A_n \sqrt{P_V v_n'}$$

3.1.7 Test Sequence

Before making test measurements used to calculate performance, operate the equipment for the ''break-in'' period specified in the certification report, which may not exceed 20 hours. Each compressor of the unit must undergo this ''break-in'' period. When testing a ducted unit (except if a heating-only heat pump), conduct the A or A_2 Test first to establish the cooling full-load air volume rate. For ducted heat pumps where the heating and cooling full-load air volume rates are different, make the first heating mode test one that requires the heating full-load air volume rate. For ducted heating-only heat pumps, conduct the H1 or $H1_2$ Test first to establish the heating full-load air volume rate. When conducting a cyclic test, always conduct it immediately after the steady-state test that requires the same test conditions. For variable-speed systems, the

first test using the cooling minimum air volume rate should precede the E_V Test, and the first test using the heating minimum air volume rate must precede the $H2_V$ Test. The test laboratory makes all other decisions on the test sequence.

3.1.8 Requirement for the Air Temperature Distribution Leaving the Indoor Coil

For at least the first cooling mode test and the first heating mode test, monitor the temperature distribution of the air leaving the indoor coil using the grid of individual sensors described in sections 2.5 and 2.5.4 of this appendix. For the 30-minute data collection interval used to determine capacity, the maximum spread among the outlet dry bulb temperatures from any data sampling must not exceed 1.5 °F. Install the mixing devices described in section 2.5.4.2 of this appendix to minimize the temperature spread.

3.1.9 Requirement for the Air Temperature Distribution Entering the Outdoor Coil

Monitor the temperatures of the air entering the outdoor coil using air sampling devices and/or temperature sensor grids, maintaining the required tolerances, if applicable, as described in section 2.11 of this appendix.

3.1.10 Control of Auxiliary Resistive Heating Elements

Except as noted, disable heat pump resistance elements used for heating indoor air at all times, including during defrost cycles and if they are normally regulated by a heat comfort controller. For heat pumps equipped with a heat comfort controller, enable the heat pump resistance elements only during the below-described, short test. For single-speed heat pumps covered under section 3.6.1 of this appendix, the short test follows the H1 or, if conducted, the H1C Test. For two-capacity heat pumps and heat pumps covered under section 3.6.2 of this appendix, the short test follows the $H1_2$ Test. Set the heat comfort controller to provide the maximum supply air temperature. With the heat pump operating and while maintaining the heating full-load air volume rate, measure the temperature of the air leaving the indoor-side beginning 5 minutes after activating the heat comfort controller. Sample the outlet dry-bulb temperature at regular intervals that span 5 minutes or less. Collect data for 10 minutes, obtaining at least 3 samples. Calculate the average outlet temperature over the 10-minute interval, T_{CC}.

3.2 Cooling Mode Tests for Different Types of Air Conditioners and Heat Pumps

3.2.1 Tests for a System Having a Single-Speed Compressor and Fixed Cooling Air Volume Rate

This set of tests is for single-speed-compressor units that do not have a cooling minimum air volume rate or a cooling intermediate air volume rate that is different than the cooling full load air volume rate. Conduct two steady-state wet coil tests, the A and B Tests. Use the two optional dry-coil tests, the steady-state C Test and the cyclic D Test, to determine the cooling mode cyclic degradation coefficient, C_D^c. If the two optional tests are conducted but yield a tested C_D^c that exceeds the default C_D^c or if the two optional tests are not conducted, assign C_D^c the default value of 0.25 (for outdoor units with no match) or 0.20 (for all other systems). Table 5 specifies test conditions for these four tests.

TABLE 5—COOLING MODE TEST CONDITIONS FOR UNITS HAVING A SINGLE-SPEED COMPRESSOR AND A FIXED COOLING AIR VOLUME RATE

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Cooling air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb	
A Test—required (steady, wet coil)	80	67	95	[1] 75	Cooling full-load.[2]
B Test—required (steady, wet coil)	80	67	82	[1] 65	Cooling full-load.[2]
C Test—optional (steady, dry coil)	80	[3]	82		Cooling full-load.[2]
D Test—optional (cyclic, dry coil)	80	[3]	82		[4].

[1] The specified test condition only applies if the unit rejects condensate to the outdoor coil.
[2] Defined in section 3.1.4.1 of this appendix.
[3] The entering air must have a low enough moisture content so no condensate forms on the indoor coil. (It is recommended that an indoor wet-bulb temperature of 57 °F or less be used.)
[4] Maintain the airflow nozzles static pressure difference or velocity pressure during the ON period at the same pressure difference or velocity pressure as measured during the C Test.

3.2.2 Tests for a Unit Having a Single-Speed Compressor Where the Indoor Section Uses a Single Variable-Speed Variable-Air-Volume Rate Indoor Blower or Multiple Indoor Blowers

3.2.2.1 Indoor Blower Capacity Modulation That Correlates With the Outdoor Dry Bulb Temperature or Systems With a Single Indoor Coil but Multiple Indoor Blowers

Conduct four steady-state wet coil tests: The A_2, A_1, B_2, and B_1 tests. Use the two optional dry-coil tests, the steady-state C_1 test and the cyclic D_1 test, to determine the cooling mode cyclic degradation coefficient, $C_D{}^c$. If the two optional tests are conducted but yield a tested C_Dc that exceeds the default C_Dc or if the two optional tests are not conducted, assign C_Dc the default value of 0.20.

3.2.2.2 Indoor Blower Capacity Modulation Based on Adjusting the Sensible to Total (S/T) Cooling Capacity Ratio

The testing requirements are the same as specified in section 3.2.1 of this appendix and Table 5. Use a cooling full-load air volume rate that represents a normal installation. If performed, conduct the steady-state C Test and the cyclic D Test with the unit operating in the same S/T capacity control mode as used for the B Test.

TABLE 6—COOLING MODE TEST CONDITIONS FOR UNITS WITH A SINGLE-SPEED COMPRESSOR THAT MEET THE SECTION 3.2.2.1 INDOOR UNIT REQUIREMENTS

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Cooling air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb	
A_2 Test—required (steady, wet coil)	80	67	95	[1] 75	Cooling full-load.[2]
A_1 Test—required (steady, wet coil)	80	67	95	[1] 75	Cooling minimum.[3]
B_2 Test—required (steady, wet coil)	80	67	82	[1] 65	Cooling full-load.[2]
B_1 Test—required (steady, wet coil)	80	67	82	[1] 65	Cooling minimum.[3]
C_1 Test[4]—optional (steady, dry coil)	80	([4])	82		Cooling minimum.[3]
D_1 Test[4]—optional (cyclic, dry coil)	80	([4])	82		([5]).

[1] The specified test condition only applies if the unit rejects condensate to the outdoor coil.
[2] Defined in section 3.1.4.1 of this appendix.
[3] Defined in section 3.1.4.2 of this appendix.
[4] The entering air must have a low enough moisture content so no condensate forms on the indoor coil. (It is recommended that an indoor wet-bulb temperature of 5 °F or less be used.)
[5] Maintain the airflow nozzles static pressure difference or velocity pressure during the ON period at the same pressure difference or velocity pressure as measured during the C_1 Test.

3.2.3 Tests for a Unit Having a Two-Capacity Compressor (See Section 1.2 of This Appendix, Definitions)

a. Conduct four steady-state wet coil tests: the A_2, B_2, B_1, and F_1 Tests. Use the two optional dry-coil tests, the steady-state C_1 Test and the cyclic D_1 Test, to determine the cooling-mode cyclic-degradation coefficient, $C_D{}^c$. If the two optional tests are conducted but yield a tested C_Dc that exceeds the default C_Dc or if the two optional tests are not conducted, assign C_Dc the default value of 0.20. Table 6 specifies test conditions for these six tests.

b. For units having a variable speed indoor blower that is modulated to adjust the sensible to total (S/T) cooling capacity ratio, use cooling full-load and cooling minimum air volume rates that represent a normal installation. Additionally, if conducting the dry-coil tests, operate the unit in the same S/T capacity control mode as used for the B_1 Test.

c. Test two-capacity, northern heat pumps (see section 1.2 of this appendix, Definitions) in the same way as a single speed heat pump with the unit operating exclusively at low compressor capacity (see section 3.2.1 of this appendix and Table 5).

d. If a two-capacity air conditioner or heat pump locks out low-capacity operation at higher outdoor temperatures, then use the two dry-coil tests, the steady-state C_2 Test and the cyclic D_2 Test, to determine the cooling-mode cyclic-degradation coefficient that only applies to on/off cycling from high capacity, $C_D{}^c(k=2)$. If the two optional tests are conducted but yield a tested CD^c $(k = 2)$ that exceeds the default CD^c $(k = 2)$ or if the two optional tests are not conducted, assign CD^c $(k = 2)$ the default value. The default $C_D{}^c(k=2)$ is the same value as determined or assigned for the low-capacity cyclic-degradation coefficient, $C_D{}^c$ [or equivalently, $C_D{}^c(k=1)$].

TABLE 7—COOLING MODE TEST CONDITIONS FOR UNITS HAVING A TWO-CAPACITY COMPRESSOR

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Compressor capacity	Cooling air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
A_2 Test—required (steady, wet coil)	80	67	95	[1] 75	High	Cooling Full-Load.[2]
B_2 Test—required (steady, wet coil)	80	67	82	[1] 65	High	Cooling Full-Load.[2]
B_1 Test—required (steady, wet coil)	80	67	82	[1] 65	Low	Cooling Minimum.[3]
C_2 Test—optional (steady, dry-coil)	80	([4])	82		High	Cooling Full-Load.[2]
D_2 Test—optional (cyclic, dry-coil)	80	([4])	82		High	([5]).
C_1 Test—optional (steady, dry-coil)	80	([4])	82		Low	Cooling Minimum.[3]
D_1 Test—optional (cyclic, dry-coil)	80	([4])	82		Low	([6]).
F_1 Test—required (steady, wet coil)	80	67	67	[1] 53.5	Low	Cooling Minimum.[3]

[1] The specified test condition only applies if the unit rejects condensate to the outdoor coil.
[2] Defined in section 3.1.4.1 of this appendix.
[3] Defined in section 3.1.4.2 of this appendix.
[4] The entering air must have a low enough moisture content so no condensate forms on the indoor coil. DOE recommends using an indoor air wet-bulb temperature of 57 °F or less.
[5] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the C_2 Test.
[6] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the C_1 Test.

3.2.4 Tests for a Unit Having a Variable-Speed Compressor

a. Conduct five steady-state wet coil tests: The A_2, E_V, B_2, B_1, and F_1 Tests. Use the two optional dry-coil tests, the steady-state G_1 Test and the cyclic I_1 Test, to determine the cooling mode cyclic degradation coefficient, $C_D{}^c$. If the two optional tests are conducted but yield a tested $C_D c$ that exceeds the default $C_D c$ or if the two optional tests are not conducted, assign $C_D c$ the default value of 0.25. Table 8 specifies test conditions for these seven tests. The compressor shall operate at the same cooling full speed, measured by RPM or power input frequency (Hz), for both the A_2 and B_2 tests. The compressor shall operate at the same cooling minimum speed, measured by RPM or power input frequency (Hz), for the B_1, F_1, G_1, and I_1 tests. Determine the cooling intermediate compressor speed cited in Table 8 using:

$$\text{Cooling intermediate speed} = \text{Cooling minimum speed} + \frac{\text{Cooling full speed} - \text{Cooling minimum speed}}{3}$$

where a tolerance of plus 5 percent or the next higher inverter frequency step from that calculated is allowed.

b. For units that modulate the indoor blower speed to adjust the sensible to total (S/T) cooling capacity ratio, use cooling full-load, cooling intermediate, and cooling minimum air volume rates that represent a normal installation. Additionally, if conducting the dry-coil tests, operate the unit in the same S/T capacity control mode as used for the F_1 Test.

c. For multiple-split air conditioners and heat pumps (except where noted), the following procedures supersede the above requirements: For all Table 8 tests specified for a minimum compressor speed, at least one indoor unit must be turned off. The manufacturer shall designate the particular indoor unit(s) that is turned off. The manufacturer must also specify the compressor speed used for the Table 8 E_V Test, a cooling-mode intermediate compressor speed that falls within ¼ and ¾ of the difference between the full and minimum cooling-mode speeds. The manufacturer should prescribe an intermediate speed that is expected to yield the highest EER for the given E_V Test conditions and bracketed compressor speed range. The manufacturer can designate that one or more indoor units are turned off for the E_V Test.

TABLE 8—COOLING MODE TEST CONDITION FOR UNITS HAVING A VARIABLE-SPEED COMPRESSOR

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Compressor speed	Cooling air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
A_2 Test—required (steady, wet coil).	80	67	95	[1] 75	Cooling Full	Cooling Full-Load.[2]

TABLE 8—COOLING MODE TEST CONDITION FOR UNITS HAVING A VARIABLE-SPEED COMPRESSOR—Continued

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Compressor speed	Cooling air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
B_2 Test—required (steady, wet coil).	80	67	82	[1] 65	Cooling Full	Cooling Full-Load.[2]
E_V Test—required (steady, wet coil).	80	67	87	[1] 69	Cooling Intermediate.	Cooling Intermediate.[3]
B_1 Test—required (steady, wet coil).	80	67	82	[1] 65	Cooling Minimum	Cooling Minimum.[4]
F_1 Test—required (steady, wet coil).	80	67	67	[1] 53.5	Cooling Minimum	Cooling Minimum.[4]
G_1 Test[5]—optional (steady, dry-coil).	80	([6])	67	.....	Cooling Minimum	Cooling Minimum.[4]
I_1 Test[5]—optional (cyclic, dry-coil).	80	([6])	67	.....	Cooling Minimum	([6]).

[1] The specified test condition only applies if the unit rejects condensate to the outdoor coil.
[2] Defined in section 3.1.4.1 of this appendix.
[3] Defined in section 3.1.4.3 of this appendix.
[4] Defined in section 3.1.4.2 of this appendix.
[5] The entering air must have a low enough moisture content so no condensate forms on the indoor coil. DOE recommends using an indoor air wet bulb temperature of 57 °F or less.
[6] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure difference or velocity pressure as measured during the G_1 Test.

3.2.5 Cooling Mode Tests for Northern Heat Pumps With Triple-Capacity Compressors

Test triple-capacity, northern heat pumps for the cooling mode in the same way as specified in section 3.2.3 of this appendix for units having a two-capacity compressor.

3.2.6 Tests for an Air Conditioner or Heat Pump Having a Single Indoor Unit Having Multiple Indoor Blowers and Offering Two Stages of Compressor Modulation

Conduct the cooling mode tests specified in section 3.2.3 of this appendix.

3.3 Test Procedures for Steady-State Wet Coil Cooling Mode Tests (the A, A_2, A_1, B, B_2, B_1, E_V, and F_1 Tests)

a. For the pretest interval, operate the test room reconditioning apparatus and the unit to be tested until maintaining equilibrium conditions for at least 30 minutes at the specified section 3.2 test conditions. Use the exhaust fan of the airflow measuring apparatus and, if installed, the indoor blower of the test unit to obtain and then maintain the indoor air volume rate and/or external static pressure specified for the particular test. Continuously record (see section 1.2 of this appendix, Definitions):

(1) The dry-bulb temperature of the air entering the indoor coil,

(2) The water vapor content of the air entering the indoor coil,

(3) The dry-bulb temperature of the air entering the outdoor coil, and

(4) For the section 2.2.4 of this appendix cases where its control is required, the water vapor content of the air entering the outdoor coil.

Refer to section 3.11 of this appendix for additional requirements that depend on the selected secondary test method.

b. After satisfying the pretest equilibrium requirements, make the measurements specified in Table 3 of ANSI/ASHRAE 37–2009 for the indoor air enthalpy method and the user-selected secondary method. Make said Table 3 measurements at equal intervals that span 5 minutes or less. Continue data sampling until reaching a 30-minute period (*e.g.*, seven consecutive 5-minute samples) where the test tolerances specified in Table 9 are satisfied. For those continuously recorded parameters, use the entire data set from the 30-minute interval to evaluate Table 9 compliance. Determine the average electrical power consumption of the air conditioner or heat pump over the same 30-minute interval.

c. Calculate indoor-side total cooling capacity and sensible cooling capacity as specified in sections 7.3.3.1 and 7.3.3.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). To calculate capacity, use the averages of the measurements (*e.g.* inlet and outlet dry bulb and wet bulb temperatures measured at the psychrometers) that are continuously recorded for the same 30-minute interval used as described above to evaluate compliance with test tolerances. Do not adjust the parameters used in calculating capacity for the permitted variations in test conditions. Evaluate air enthalpies based on the measured barometric pressure. Use the values of the specific heat of air given in section 7.3.3.1 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) for calculation of the sensible cooling capacities. Assign the average total space cooling capacity, average sensible cooling capacity,

and electrical power consumption over the 30-minute data collection interval to the variables $\dot{Q}_c^k(T)$, $\dot{Q}_{sc}^k(T)$ and $\dot{E}_c^k(T)$, respectively. For these three variables, replace the ''T'' with the nominal outdoor temperature at which the test was conducted. The superscript k is used only when testing multi-capacity units.

Use the superscript k=2 to denote a test with the unit operating at high capacity or full speed, k=1 to denote low capacity or minimum speed, and k=v to denote the intermediate speed.

d. For coil-only system tests, decrease $\dot{Q}_c^k(T)$ by

$$\frac{1250\ Btu/h}{1000\ scfm} * \overline{\dot{V}}_s$$

and increase $\dot{E}_c^k(T)$ by,

$$\frac{365\ W}{1000\ scfm} * \overline{\dot{V}}_s$$

where $\overline{\dot{V}}_s$ is the average measured indoor air volume rate expressed in units of cubic feet per minute of standard air (scfm).

TABLE 9—TEST OPERATING AND TEST CONDITION TOLERANCES FOR SECTION 3.3 STEADY-STATE WET COIL COOLING MODE TESTS AND SECTION 3.4 DRY COIL COOLING MODE TESTS

	Test operating tolerance [1]	Test condition tolerance [1]
Indoor dry-bulb, °F		
Entering temperature	2.0	0.5
Leaving temperature	2.0	
Indoor wet-bulb, °F		
Entering temperature	1.0	[2] 0.3
Leaving temperature	[2] 1.0	
Outdoor dry-bulb, °F		
Entering temperature	2.0	0.5
Leaving temperature	[3] 2.0	
Outdoor wet-bulb, °F		
Entering temperature	1.0	[4] 0.3
Leaving temperature	[3] 1.0	
External resistance to airflow, inches of water	0.05	[5] 0.02
Electrical voltage, % of rdg.	2.0	1.5
Nozzle pressure drop, % of rdg.	2.0	

[1] See section 1.2 of this appendix, Definitions.

[2] Only applies during wet coil tests; does not apply during steady-state, dry coil cooling mode tests.

[3] Only applies when using the outdoor air enthalpy method.

[4] Only applies during wet coil cooling mode tests where the unit rejects condensate to the outdoor coil.

[5] Only applies when testing non-ducted units.

e. For air conditioners and heat pumps having a constant-air-volume-rate indoor blower, the five additional steps listed below are required if the average of the measured external static pressures exceeds the applicable sections 3.1.4 minimum (or target) external static pressure (ΔP_{min}) by 0.03 inches of water or more.

(1) Measure the average power consumption of the indoor blower motor ($\dot{E}_{fan,1}$) and record the corresponding external static pressure (ΔP_1) during or immediately following the 30-minute interval used for determining capacity.

(2) After completing the 30-minute interval and while maintaining the same test conditions, adjust the exhaust fan of the airflow measuring apparatus until the external static pressure increases to approximately $\Delta P_1 + (\Delta P_1 - \Delta P_{min})$.

(3) After re-establishing steady readings of the fan motor power and external static pressure, determine average values for the indoor blower power ($\dot{E}_{fan,2}$) and the external static pressure (ΔP_2) by making measurements over a 5-minute interval.

(4) Approximate the average power consumption of the indoor blower motor at ΔP_{min} using linear extrapolation:

$$\dot{E}_{fan,\min} = \frac{\dot{E}_{fan,2} - \dot{E}_{fan,1}}{\Delta P_2 - \Delta P_1}(\Delta P_{\min} - \Delta P_1) + \dot{E}_{fan,1}$$

(5) Increase the total space cooling capacity, $\dot{Q}_c^k(T)$, by the quantity $(\dot{E}_{fan,1} - \dot{E}_{fan,min})$, when expressed on a Btu/h basis. Decrease the total electrical power, $\dot{E}_c^k(T)$, by the same fan power difference, now expressed in watts.

3.4 Test Procedures for the Steady-State Dry-Coil Cooling-Mode Tests (the C, C_1, C_2, and G_1 Tests)

a. Except for the modifications noted in this section, conduct the steady-state dry coil cooling mode tests as specified in section 3.3 of this appendix for wet coil tests. Prior to recording data during the steady-state dry coil test, operate the unit at least one hour after achieving dry coil conditions. Drain the drain pan and plug the drain opening. Thereafter, the drain pan should remain completely dry.

b. Denote the resulting total space cooling capacity and electrical power derived from the test as $\dot{Q}_{ss,dry}$ and $\dot{E}_{ss,dry}$. With regard to a section 3.3 deviation, do not adjust $\dot{Q}_{ss,dry}$ for duct losses (*i.e.*, do not apply section 7.3.3.3 of ANSI/ASHRAE 37–2009). In preparing for the section 3.5 cyclic tests of this appendix, record the average indoor-side air volume rate, $\bar{V}$, specific heat of the air, Cp,a (expressed on dry air basis), specific volume of the air at the nozzles, v'_n, humidity ratio at the nozzles, W_n, and either pressure difference or velocity pressure for the flow nozzles. For units having a variable-speed indoor blower (that provides either a constant or variable air volume rate) that will or may be tested during the cyclic dry coil cooling mode test with the indoor blower turned off (see section 3.5 of this appendix), include the electrical power used by the indoor blower motor among the recorded parameters from the 30-minute test.

c. If the temperature sensors used to provide the primary measurement of the indoor-side dry bulb temperature difference during the steady-state dry-coil test and the subsequent cyclic dry-coil test are different, include measurements of the latter sensors among the regularly sampled data. Beginning at the start of the 30-minute data collection period, measure and compute the indoor-side air dry-bulb temperature difference using both sets of instrumentation, ΔT (Set SS) and ΔT (Set CYC), for each equally spaced data sample. If using a consistent data sampling rate that is less than 1 minute, calculate and record minutely averages for the two temperature differences. If using a consistent sampling rate of one minute or more, calculate and record the two temperature differences from each data sample. After having recorded the seventh (i=7) set of temperature differences, calculate the following ratio using the first seven sets of values:

$$F_{CD} = \frac{1}{7}\sum_{i-6}^{i}\frac{\Delta T(Set\ SS)}{\Delta T(Set\ CYC)}$$

Each time a subsequent set of temperature differences is recorded (if sampling more frequently than every 5 minutes), calculate F_{CD} using the most recent seven sets of values. Continue these calculations until the 30-minute period is completed or until a value for F_{CD} is calculated that falls outside the allowable range of 0.94–1.06. If the latter occurs, immediately suspend the test and identify the cause for the disparity in the two temperature difference measurements. Recalibration of one or both sets of instrumentation may be required. If all the values for F_{CD} are within the allowable range, save the final value of the ratio from the 30-minute test as F_{CD}*. If the temperature sensors used to provide the primary measurement of the indoor-side dry bulb temperature difference during the steady-state dry-coil test and the subsequent cyclic dry-coil test are the same, set F_{CD}*= 1.

3.5 Test Procedures for the Cyclic Dry-Coil Cooling-Mode Tests (the D, D_1, D_2, and I_1 Tests)

After completing the steady-state dry-coil test, remove the outdoor air enthalpy method test apparatus, if connected, and begin manual OFF/ON cycling of the unit's compressor. The test set-up should otherwise be identical to the set-up used during the steady-state dry coil test. When testing heat pumps, leave the reversing valve during the

compressor OFF cycles in the same position as used for the compressor ON cycles, unless automatically changed by the controls of the unit. For units having a variable-speed indoor blower, the manufacturer has the option of electing at the outset whether to conduct the cyclic test with the indoor blower enabled or disabled. Always revert to testing with the indoor blower disabled if cyclic testing with the fan enabled is unsuccessful.

a. For all cyclic tests, the measured capacity must be adjusted for the thermal mass stored in devices and connections located between measured points. Follow the procedure outlined in section 7.4.3.4.5 of ASHRAE 116–2010 (incorporated by reference, see §430.3) to ensure any required measurements are taken.

b. For units having a single-speed or two-capacity compressor, cycle the compressor OFF for 24 minutes and then ON for 6 minutes ($\Delta\tau_{cyc,dry}$ = 0.5 hours). For units having a variable-speed compressor, cycle the compressor OFF for 48 minutes and then ON for 12 minutes ($\Delta\tau_{cyc,dry}$ = 1.0 hours). Repeat the OFF/ON compressor cycling pattern until the test is completed. Allow the controls of the unit to regulate cycling of the outdoor fan. If an upturned duct is used, measure the dry-bulb temperature at the inlet of the device at least once every minute and ensure that its test operating tolerance is within 1.0 °F for each compressor OFF period.

c. Sections 3.5.1 and 3.5.2 of this appendix specify airflow requirements through the indoor coil of ducted and non-ducted indoor units, respectively. In all cases, use the exhaust fan of the airflow measuring apparatus (covered under section 2.6 of this appendix) along with the indoor blower of the unit, if installed and operating, to approximate a step response in the indoor coil airflow. Regulate the exhaust fan to quickly obtain and then maintain the flow nozzle static pressure difference or velocity pressure at the same value as was measured during the steady-state dry coil test. The pressure difference or velocity pressure should be within 2 percent of the value from the steady-state dry coil test within 15 seconds after airflow initiation. For units having a variable-speed indoor blower that ramps when cycling on and/or off, use the exhaust fan of the airflow measuring apparatus to impose a step response that begins at the initiation of ramp up and ends at the termination of ramp down.

d. For units having a variable-speed indoor blower, conduct the cyclic dry coil test using the pull-thru approach described below if any of the following occur when testing with the fan operating:

(1) The test unit automatically cycles off;

(2) Its blower motor reverses; or

(3) The unit operates for more than 30 seconds at an external static pressure that is 0.1 inches of water or more higher than the value measured during the prior steady-state test.

For the pull-thru approach, disable the indoor blower and use the exhaust fan of the airflow measuring apparatus to generate the specified flow nozzles static pressure difference or velocity pressure. If the exhaust fan cannot deliver the required pressure difference because of resistance created by the unpowered indoor blower, temporarily remove the indoor blower.

e. Conduct three complete compressor OFF/ON cycles with the test tolerances given in Table 10 satisfied. Calculate the degradation coefficient C_D for each complete cycle. If all three C_D values are within 0.02 of the average C_D then stability has been achieved, and the highest C_D value of these three shall be used. If stability has not been achieved, conduct additional cycles, up to a maximum of eight cycles total, until stability has been achieved between three consecutive cycles. Once stability has been achieved, use the highest C_D value of the three consecutive cycles that establish stability. If stability has not been achieved after eight cycles, use the highest C_D from cycle one through cycle eight, or the default C_D, whichever is lower.

f. With regard to the Table 10 parameters, continuously record the dry-bulb temperature of the air entering the indoor and outdoor coils during periods when air flows through the respective coils. Sample the water vapor content of the indoor coil inlet air at least every 2 minutes during periods when air flows through the coil. Record external static pressure and the air volume rate indicator (either nozzle pressure difference or velocity pressure) at least every minute during the interval that air flows through the indoor coil. (These regular measurements of the airflow rate indicator are in addition to the required measurement at 15 seconds after flow initiation.) Sample the electrical voltage at least every 2 minutes beginning 30 seconds after compressor start-up. Continue until the compressor, the outdoor fan, and the indoor blower (if it is installed and operating) cycle off.

g. For ducted units, continuously record the dry-bulb temperature of the air entering (as noted above) and leaving the indoor coil. Or if using a thermopile, continuously record the difference between these two temperatures during the interval that air flows through the indoor coil. For non-ducted units, make the same dry-bulb temperature measurements beginning when the compressor cycles on and ending when indoor coil airflow ceases.

h. Integrate the electrical power over complete cycles of length $\Delta\tau_{cyc,dry}$. For ducted blower coil systems tested with the unit's indoor blower operating for the cycling test, integrate electrical power from indoor blower OFF to indoor blower OFF. For all other

ducted units and for non-ducted units, integrate electrical power from compressor OFF to compressor OFF. (Some cyclic tests will use the same data collection intervals to determine the electrical energy and the total space cooling. For other units, terminate data collection used to determine the electrical energy before terminating data collection used to determine total space cooling.)

TABLE 10—TEST OPERATING AND TEST CONDITION TOLERANCES FOR CYCLIC DRY COIL COOLING MODE TESTS

	Test operating tolerance [1]	Test condition tolerance [1]
Indoor entering dry-bulb temperature,[2] °F	2.0	0.5
Indoor entering wet-bulb temperature, °F		([3])
Outdoor entering dry-bulb temperature,[2] °F	2.0	0.5
External resistance to airflow,[2] inches of water	0.05	
Airflow nozzle pressure difference or velocity pressure,[2] % of reading	2.0	[4]2.0
Electrical voltage,[5] % of rdg	2.0	1.5

[1] See section 1.2 of this appendix, Definitions.
[2] Applies during the interval that air flows through the indoor (outdoor) coil except for the first 30 seconds after flow initiation. For units having a variable-speed indoor blower that ramps, the tolerances listed for the external resistance to airflow apply from 30 seconds after achieving full speed until ramp down begins.
[3] Shall at no time exceed a wet-bulb temperature that results in condensate forming on the indoor coil.
[4] The test condition shall be the average nozzle pressure difference or velocity pressure measured during the steady-state dry coil test.
[5] Applies during the interval when at least one of the following—the compressor, the outdoor fan, or, if applicable, the indoor blower—are operating except for the first 30 seconds after compressor start-up.

If the Table 10 tolerances are satisfied over the complete cycle, record the measured electrical energy consumption as $e_{cyc,dry}$ and express it in units of watt-hours. Calculate the total space cooling delivered, $q_{cyc,dry}$, in units of Btu using,

$$q_{cyc,dry} = \frac{60*\overline{\dot{V}}*C_{p,a}*\Gamma}{[v_n'*(1+W_n)]} = \frac{60*\overline{\dot{V}}*C_{p,a}*\Gamma}{v_n} \quad \text{and} \quad \Gamma = F_{CD}^{*}\int_{\tau_1}^{\tau_2}[T_{a1}(\tau) - T_{a2}(\tau)]\delta\tau,\ hr*°F$$

Where,

$\overline{\dot{V}}$, $C_{p,a}$, v_n' (or v_n), W_n, and F_{CD}* are the values recorded during the section 3.4 dry coil steady-state test and

$T_{a1}(\tau)$ = dry bulb temperature of the air entering the indoor coil at time τ, °F.

$T_{a2}(\tau)$ = dry bulb temperature of the air leaving the indoor coil at time τ, °F.

τ_1 = for ducted units, the elapsed time when airflow is initiated through the indoor coil; for non-ducted units, the elapsed time when the compressor is cycled on, hr.

τ_2 = the elapsed time when indoor coil airflow ceases, hr.

Adjust the total space cooling delivered, $q_{cyc,dry}$, according to calculation method outlined in section 7.4.3.4.5 of ASHRAE 116–2010 (incorporated by reference, see §430.3).

3.5.1 Procedures When Testing Ducted Systems

The automatic controls that are installed in the test unit must govern the OFF/ON cycling of the air moving equipment on the indoor side (exhaust fan of the airflow measuring apparatus and the indoor blower of the test unit). For ducted coil-only systems rated based on using a fan time-delay relay, control the indoor coil airflow according to the OFF delay listed by the manufacturer in the certification report. For ducted units having a variable-speed indoor blower that has been disabled (and possibly removed), start and stop the indoor airflow at the same instances as if the fan were enabled. For all other ducted coil-only systems, cycle the indoor coil airflow in unison with the cycling of the compressor. If air damper boxes are used, close them on the inlet and outlet side during the OFF period. Airflow through the indoor coil should stop within 3 seconds after the automatic controls of the test unit (act to) de-energize the indoor blower. For ducted coil-only systems (excluding the special case where a variable-speed fan is temporarily removed), increase $e_{cyc,dry}$ by the quantity,

$$\text{Equation 3.5-2.} \qquad \frac{365\ W}{1000\ scfm} * \overline{\dot{V}}_s * [\tau_2 - \tau_1]$$

and decrease $q_{cyc,dry}$ by,

$$\text{Equation 3.5-3.} \qquad \frac{1250\ Btu/h}{1000\ scfm} * \overline{\dot{V}}_s * [\tau_2 - \tau_1]$$

where $\overline{\dot{V}}_s$ is the average indoor air volume rate from the section 3.4 dry coil steady-state test and is expressed in units of cubic feet per minute of standard air (scfm). For units having a variable-speed indoor blower that is disabled during the cyclic test, increase $e_{cyc,dry}$ and decrease $q_{cyc,dry}$ based on:

a. The product of $[\tau_2 - \tau_1]$ and the indoor blower power measured during or following the dry coil steady-state test; or,
b. The following algorithm if the indoor blower ramps its speed when cycling.

(1) Measure the electrical power consumed by the variable-speed indoor blower at a minimum of three operating conditions: At the speed/air volume rate/external static pressure that was measured during the steady-state test, at operating conditions associated with the midpoint of the ramp-up interval, and at conditions associated with the midpoint of the ramp-down interval. For these measurements, the tolerances on the airflow volume or the external static pressure are the same as required for the section 3.4 steady-state test.

(2) For each case, determine the fan power from measurements made over a minimum of 5 minutes.

(3) Approximate the electrical energy consumption of the indoor blower if it had operated during the cyclic test using all three power measurements. Assume a linear profile during the ramp intervals. The manufacturer must provide the durations of the ramp-up and ramp-down intervals. If the test setup instructions included with the unit by the manufacturer specifies a ramp interval that exceeds 45 seconds, use a 45-second ramp interval nonetheless when estimating the fan energy.

3.5.2 Procedures When Testing Non-Ducted Indoor Units

Do not use airflow prevention devices when conducting cyclic tests on non-ducted indoor units. Until the last OFF/ON compressor cycle, airflow through the indoor coil must cycle off and on in unison with the compressor. For the last OFF/ON compressor cycle—the one used to determine $e_{cyc,dry}$ and $q_{cyc,dry}$—use the exhaust fan of the airflow measuring apparatus and the indoor blower of the test unit to have indoor airflow start 3 minutes prior to compressor cut-on and end three minutes after compressor cutoff. Subtract the electrical energy used by the indoor blower during the 3 minutes prior to compressor cut-on from the integrated electrical energy, $e_{cyc,dry}$. Add the electrical energy used by the indoor blower during the 3 minutes after compressor cutoff to the integrated cooling capacity, $q_{cyc,dry}$. For the case where the non-ducted indoor unit uses a variable-speed indoor blower which is disabled during the cyclic test, correct $e_{cyc,dry}$ and $q_{cyc,dry}$ using the same approach as prescribed in section 3.5.1 of this appendix for ducted units having a disabled variable-speed indoor blower.

3.5.3 Cooling-Mode Cyclic-Degradation Coefficient Calculation

Use the two dry-coil tests to determine the cooling-mode cyclic-degradation coefficient, C_D^c. Append ''(k=2)'' to the coefficient if it corresponds to a two-capacity unit cycling at high capacity. If the two optional tests are conducted but yield a tested CD^c that exceeds the default CD^c or if the two optional tests are not conducted, assign CD^c the default value of 0.25 for variable-speed compressor systems and outdoor units with no match, and 0.20 for all other systems. The default value for two-capacity units cycling at high capacity, however, is the low-capacity coefficient, *i.e.*, $C_D^c(k=2) = C_D^c$. Evaluate C_D^c using the above results and those from the section 3.4 dry-coil steady-state test.

$$C_D^c = \frac{1 - \frac{EER_{cyc,dry}}{EER_{ss,dry}}}{1 - CLF}$$

where:

$$EER_{cyc,dry} = \frac{q_{cyc,dry}}{e_{cyc,dry}}$$

the average energy efficiency ratio during the cyclic dry coil cooling mode test, Btu/W·h

$$EER_{ss,dry} = \frac{\dot{Q}_{ss,dry}}{\dot{E}_{ss,dry}}$$

the average energy efficiency ratio during the steady-state dry coil cooling mode test, Btu/W·h

$$CLF = \frac{q_{cyc,dry}}{Q_{ss,dry} * \Delta\tau_{cyc,dry}}$$

the cooling load factor dimensionless

Round the calculated value for C_D^c to the nearest 0.01. If C_D^c is negative, then set it equal to zero.

3.6 Heating Mode Tests for Different Types of Heat Pumps, Including Heating-Only Heat Pumps

3.6.1 Tests for a Heat Pump Having a Single-Speed Compressor and Fixed Heating Air Volume Rate

This set of tests is for single-speed-compressor heat pumps that do not have a heating minimum air volume rate or a heating intermediate air volume rate that is different than the heating full load air volume rate. Conduct the optional high temperature cyclic (H1C) test to determine the heating mode cyclic-degradation coefficient, C_D^h. If this optional test is conducted but yields a tested C_D^h that exceeds the default C_D^h or if the optional test is not conducted, assign C_D^h the default value of 0.25. Test conditions for the four tests are specified in Table 10.

TABLE 11—HEATING MODE TEST CONDITIONS FOR UNITS HAVING A SINGLE-SPEED COMPRESSOR AND A FIXED-SPEED INDOOR BLOWER, A CONSTANT AIR VOLUME RATE INDOOR BLOWER, OR NO INDOOR BLOWER

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb	
H1 Test (required, steady)	70	60 (max)	47	43	Heating Full-load.[1]
H1C Test (optional, cyclic)	70	60 (max)	47	43	([2])
H2 Test (required)	70	60 (max)	35	33	Heating Full-load.[1]
H3 Test (required, steady)	70	60 (max)	17	15	Heating Full-load.[1]

[1] Defined in section 3.1.4.4 of this appendix.f[2] Maintain the airflow nozzles static pressure difference or velocity pressure during the ON period at the same pressure difference or velocity pressure as measured during the H1 Test.

3.6.2 Tests for a Heat Pump Having a Single-Speed Compressor and a Single Indoor Unit Having Either (1) a Variable Speed, Variable-Air-Rate Indoor Blower Whose Capacity Modulation Correlates With Outdoor Dry Bulb Temperature or (2) Multiple Indoor Blowers

Conduct five tests: Two high temperature tests ($H1_2$ and $H1_1$), one frost accumulation test ($H2_2$), and two low temperature tests ($H3_2$ and $H3_1$). Conducting an additional frost accumulation test ($H2_1$) is optional. Conduct the optional high temperature cyclic ($H1C_1$) test to determine the heating mode cyclic-degradation coefficient, C_D^h. If this optional test is conducted but yields a tested C_D^h that exceeds the default C_D^h or if the optional test is not conducted, assign C_D^h the default value of 0.25. Test conditions for the seven tests are specified in Table 12. If the optional $H2_1$ test is not performed, use the following equations to approximate the capacity and electrical power of the heat pump at the $H2_1$ test conditions:

$$\dot{Q}_h^{k=1}(35) = QR_h^{k=2}(35) * \left\{\dot{Q}_h^{k=1}(17) + 0.6 * \left[\dot{Q}_h^{k=1}(47) - \dot{Q}_h^{k=1}(17)\right]\right\}$$

$$\dot{E}_h^{k=1}(35) = PR_h^{k=2}(35) * \left\{\dot{E}_h^{k=1}(17) + 0.6 * \left[\dot{E}_h^{k=1}(47) - \dot{E}_h^{k=1}(17)\right]\right\}$$

where:

$$\dot{Q}R_h^{k=2}(35) = \frac{\dot{Q}_h^{k=2}(35)}{\dot{Q}^{k=2}(17) + 0.6 * [\dot{Q}_h^{k=2}(47) - \dot{Q}_h^{k=2}(17)]}$$

$$PR_h^{k=2}(35) = \frac{\dot{E}_h^{k=2}(35)}{\dot{E}_h^{k=2}(17) + 0.6 * \left[\dot{E}_h^{k=2}(47) - \dot{E}_h^{k=2}(17)\right]}$$

The quantities $\dot{Q}_h^{k=2}(47)$, $\dot{E}_h^{k=2}(47)$, $\dot{Q}_h^{k=1}(47)$, and $\dot{E}_h^{k=1}(47)$ are determined from the $H1_2$ and $H1_1$ tests and evaluated as specified in section 3.7 of this appendix; the quantities $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ are determined from the $H2_2$ test and evaluated as specified in section 3.9 of this appendix; and the quantities $\dot{Q}_h^{k=2}(17)$, $\dot{E}_h^{k=2}(17)$, $\dot{Q}_h^{k=1}(17)$, and $\dot{E}_h^{k=1}(17)$, are determined from the $H3_2$ and $H3_1$ tests and evaluated as specified in section 3.10 of this appendix.

TABLE 12—TABLE HEATING MODE TEST CONDITIONS FOR UNITS WITH A SINGLE-SPEED COMPRESSOR THAT MEET THE SECTION 3.6.2 INDOOR UNIT REQUIREMENTS

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb	
$H1_2$ Test (required, steady)	70	60 (max)	47	43	Heating Full-load.[1]
$H1_1$ Test (required, steady)	70	60 (max)	47	43	Heating Minimum.[2]
$H1C_1$ Test (optional, cyclic)	70	60 (max)	47	43	[3]
$H2_2$ Test (required)	70	60 (max)	35	33	Heating Full-load.[1]
$H2_1$ Test (optional)	70	60 (max)	35	33	Heating Minimum.[2]
$H3_2$ Test (required, steady)	70	60 (max)	17	15	Heating Full-load.[1]
$H3_1$ Test (required, steady)	70	60 (max)	17	15	Heating Minimum.[2]

[1] Defined in section 3.1.4.4 of this appendix.
[2] Defined in section 3.1.4.5 of this appendix.
[3] Maintain the airflow nozzles static pressure difference or velocity pressure during the ON period at the same pressure difference or velocity pressure as measured during the $H1_1$ test.

3.6.3 Tests for a Heat Pump Having a Two-Capacity Compressor (see section 1.2 of this appendix, Definitions), Including Two-Capacity, Northern Heat Pumps (see section 1.2 of this appendix, Definitions)

a. Conduct one maximum temperature test ($H0_1$), two high temperature tests ($H1_2$and $H1_1$), one frost accumulation test ($H2_2$), and one low temperature test ($H3_2$). Conduct an additional frost accumulation test ($H2_1$) and low temperature test ($H3_1$) if both of the following conditions exist:

(1) Knowledge of the heat pump's capacity and electrical power at low compressor capacity for outdoor temperatures of 37 °F and less is needed to complete the section 4.2.3 of this appendix seasonal performance calculations; and

(2) The heat pump's controls allow low-capacity operation at outdoor temperatures of 37 °F and less.

If the above two conditions are met, an alternative to conducting the $H2_1$ frost accumulation is to use the following equations to approximate the capacity and electrical power:

$$\dot{Q}_h^{k=1}(35) = 0.90 * \left\{\dot{Q}_h^{k=1}(17) + 0.6 * \left[\dot{Q}_h^{k=1}(47) - \dot{Q}_h^{k=1}(17)\right]\right\}$$

$$\dot{E}_h^{k=1}(35) = 0.985 * \left\{\dot{E}_h^{k=1}(17) + 0.6 * \left[\dot{E}_h^{k=1}(47) - \dot{E}_h^{k=1}(17)\right]\right\}$$

Determine the quantities $\dot{Q}_h^{k=1}$ (47) and $\dot{E}_h^{k=1}$ (47) from the $H1_1$ test and evaluate them according to section 3.7 of this appendix. Determine the quantities $\dot{Q}_h^{k=1}$ (17) and $\dot{E}_h^{k=1}$ (17) from the $H3_1$ test and evaluate them according to section 3.10 of this appendix.

b. Conduct the optional high temperature cyclic test ($H1C_1$) to determine the heating mode cyclic-degradation coefficient, C_D^h. If this optional test is conducted but yields a tested C_D^h that exceeds the default C_D^h or if the optional test is not conducted, assign C_D^h the default value of 0.25. If a two-capacity heat pump locks out low capacity operation at lower outdoor temperatures, conduct the high temperature cyclic test ($H1C_2$) to determine the high-capacity heating mode cyclic-degradation coefficient, C_D^h (k=2). If this optional test at high capacity is conducted but yields a tested C_D^h (k = 2) that exceeds the default C_D^h (k = 2) or if the optional test is not conducted, assign C_D^h the default value. The default C_D^h (k=2) is the same value as determined or assigned for the low-capacity cyclic-degradation coefficient, C_D^h [or equivalently, C_D^h (k=1)]. Table 13 specifies test conditions for these nine tests.

TABLE 13—HEATING MODE TEST CONDITIONS FOR UNITS HAVING A TWO-CAPACITY COMPRESSOR

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Compressor capacity	Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
$H0_1$ Test (required, steady)	70	60 (max)	62	56.5	Low	Heating Minimum.[1]
$H1_2$ Test (required, steady)	70	60 (max)	47	43	High	Heating Full-Load.[2]
$H1C_2$ Test (optional[7], cyclic)	70	60 (max)	47	43	High	([3])
$H1_1$ Test (required)	70	60 (max)	47	43	Low	Heating Minimum.[1]
$H1C_1$ Test (optional, cyclic)	70	60 (max)	47	43	Low	([4])
$H2_2$ Test (required)	70	60 (max)	35	33	High	Heating Full-Load.[2]
$H2_1$ Test[5 6] (required)	70	60 (max)	35	33	Low	Heating Minimum.[1]
$H3_2$ Test (required, steady)	70	60 (max)	17	15	High	Heating Full-Load.[2]
$H3_1$ Test[5] (required, steady)	70	60 (max)	17	15	Low	Heating Minimum.[1]

[1] Defined in section 3.1.4.5 of this appendix.
[2] Defined in section 3.1.4.4 of this appendix.
[3] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the $H1_2$ test.
[4] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the $H1_1$ test.
[5] Required only if the heat pump's performance when operating at low compressor capacity and outdoor temperatures less than 37 °F is needed to complete the section 4.2.3 *HSPF* calculations.
[6] If table note #5 applies, the section 3.6.3 equations for $\dot{Q}_h^{k=1}$ (35) and $\dot{E}_h^{k=1}$ (17) may be used in lieu of conducting the $H2_1$ test.
[7] Required only if the heat pump locks out low capacity operation at lower outdoor temperatures.

3.6.4 Tests for a Heat Pump Having a Variable-Speed Compressor

a. Conduct one maximum temperature test ($H0_1$), two high temperature tests ($H1_N$ and $H1_1$), one frost accumulation test ($H2_V$), and one low temperature test ($H3_2$). Conducting one or both of the following tests is optional: An additional high temperature test ($H1_2$) and an additional frost accumulation test ($H2_2$). If desired, conduct the optional maximum temperature cyclic ($H0C_1$) test to determine the heating mode cyclic-degradation coefficient, C_D^h. If this optional test is conducted but yields a tested C_D^h that exceeds the default C_D^h or if the optional test is not conducted, assign C_D^h the default value of 0.25. Test conditions for the eight tests are specified in Table 14 to this appendix. The compressor shall operate at the same heating full speed, measured by RPM or power input frequency (Hz), for the $H1_2$, $H2_2$ and $H3_2$ tests. For a cooling/heating heat pump, the compressor shall operate for the $H1_N$ test at a speed, measured by RPM or power input frequency (Hz), no lower than the speed used in the A_2 test if the tested $H1_N$ heating capacity is less than the tested A_2 cooling capacity. The compressor shall operate at the same heating minimum speed, measured by RPM or power input frequency (Hz), for the $H0_1$, $H1C_1$, and $H1_1$ tests. Determine the heating intermediate compressor speed cited in Table 14 using the heating mode full and minimum compressors speeds and:

$$Heating\ intermediate\ speed = Heating\ minimum\ speed + \frac{Heating\ full\ speed - Heating\ minimum\ speed}{3}$$

Where a tolerance on speed of plus 5 percent or the next higher inverter frequency step from the calculated value is allowed.

b. If the $H1_2$ test is conducted, set the 47 °F capacity and power input values used for calculation of HSPF equal to the measured values for that test:

$$\dot{Q}_{hcalc}^{k=2}(47) = \dot{Q}_h^{k=2}(47);\ \dot{E}_{hcalc}^{k=2}(47) = \dot{E}_h^{k=2}(47)$$

Where:

$\dot{Q}_{hcalc}^{k=2}(47)$ and $\dot{E}_{hcalc}^{k=2}(47)$ are the capacity and power input representing full-speed operation at 47 °F for the HSPF calculations,

$\dot{Q}_h^{k=2}(47)$ is the capacity measured in the $H1_2$ test, and

$\dot{E}_h^{k=2}(47)$ is the power input measured in the $H1_2$ test.

Evaluate the quantities $\dot{Q}_h^{k=2}(47)$ and from $\dot{E}_h^{k=2}(47)$ according to section 3.7.

Otherwise, if the $H1_N$ test is conducted using the same compressor speed (RPM or power input frequency) as the $H3_2$ test, set the 47 °F capacity and power input values used for calculation of HSPF equal to the measured values for that test:

$$\dot{Q}_{hcalc}^{k=2}(47) = \dot{Q}_h^{k=N}(47);\ \dot{E}_{hcalc}^{k=2}(47) = \dot{E}_h^{k=N}(47)$$

Where:

$\dot{Q}_{hcalc}^{k=2}(47)$ and $\dot{E}_{hcalc}^{k=2}(47)$ are the capacity and power input representing full-speed operation at 47 °F for the HSPF calculations,

$\dot{Q}_h^{k=N}(47)$ is the capacity measured in the $H1_N$ test, and

$\dot{E}_h^{k=N}(47)$ is the power input measured in the $H1_N$ test.

Evaluate the quantities $\dot{Q}_h^{k=N}(47)$ and from $\dot{E}_h^{k=N}(47)$ according to section 3.7.

Otherwise (if no high temperature test is conducted using the same speed (RPM or power input frequency) as the $H3_2$ test), calculate the 47 °F capacity and power input values used for calculation of HSPF as follows:

$$\dot{Q}_{hcalc}^{k=2}(47) = \dot{Q}_{h}^{k=2}(17) * (1 + 30^{\circ}F * CSF);$$

$$\dot{E}_{hcalc}^{k=2}(47) = \dot{E}_{h}^{k=2}(17) * (1 + 30^{\circ}F * PSF)$$

Where:

$\dot{Q}_{hcalc}^{k=2}(47)$ and $\dot{E}_{hcalc}^{k=2}(47)$ are the capacity and power input representing full-speed operation at 47 °F for the HSPF calculations,

$\dot{Q}_{h}^{k=2}(17)$ is the capacity measured in the $H3_2$ test,

$\dot{E}_{h}^{k=2}(17)$ is the power input measured in the $H3_2$ test,

CSF is the capacity slope factor, equal to 0.0204/ °F for split systems and 0.0262/ °F for single-package systems, and

PSF is the Power Slope Factor, equal to 0.00455/ °F.

c. If the $H2_2$ test is not done, use the following equations to approximate the capacity and electrical power at the $H2_2$ test conditions:

$$\dot{Q}_{h}^{k=2}(35) = 0.90 * \left\{\dot{Q}_{h}^{k=2}(17) + 0.6 * \left[\dot{Q}_{hcalc}^{k=2}(47) - \dot{Q}_{h}^{k=2}(17)\right]\right\}$$

$$\dot{E}_{h}^{k=2}(35) = 0.985 * \left\{\dot{E}_{h}^{k=2}(17) + 0.6 * \left[\dot{E}_{hcalc}^{k=2}(47) - \dot{E}_{h}^{k=2}(17)\right]\right\}$$

Where:

$\dot{Q}_{hcalc}^{k=2}(47)$ and $\dot{E}_{hcalc}^{k=2}(47)$ are the capacity and power input representing full-speed operation at 47 °F for the HSPF calculations, calculated as described in section b above.

$\dot{Q}_{h}^{k=2}(17)$ and $\dot{E}_{h}^{k=2}(17)$ are the capacity and power input measured in the $H3_2$ test.

d. Determine the quantities $\dot{Q}_{h}^{k=2}(17)$ and $\dot{E}_{h}^{k=2}(17)$ from the $H3_2$ test, determine the quantities $\dot{Q}_{h}^{k=2}(5)$ and $\dot{E}_{h}^{k=2}(5)$ from the $H4_2$ test, and evaluate all four according to section 3.10.

TABLE 14—HEATING MODE TEST CONDITIONS FOR UNITS HAVING A VARIABLE-SPEED COMPRESSOR

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Compressor speed	Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
$H0_1$ test (required, steady)	70	$60^{(max)}$	62	56.5	Heating minimum	Heating minimum.[1]
$H1_2$ test (optional, steady)	70	$60^{(max)}$	47	43	Heating full[4]	Heating full-load.[3]
$H1_1$ test (required, steady)	70	$60^{(max)}$	47	43	Heating minimum	Heating minimum.[1]
$H1_N$ test (required, steady)	70	$60^{(max)}$	47	43	Heating full	Heating full-load.[3]
$H1C_1$ test (optional, cyclic)	70	$60^{(max)}$	47	43	Heating minimum	([2])
$H2_2$ test (optional)	70	$60^{(max)}$	35	33	Heating full[4]	Heating full-load.[3]
$H2_V$ test (required)	70	$60^{(max)}$	35	33	Heating intermediate	Heating intermediate.[5]
$H3_2$ test (required, steady)	70	$60^{(max)}$	17	15	Heating full	Heating full-load.[3]

[1] Defined in section 3.1.4.5 of this appendix.
[2] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during an ON period at the same pressure or velocity as measured during the $H1_1$ test.
[3] Defined in section 3.1.4.4 of this appendix.
[4] The same compressor speed used in the $H3_2$ test. The $H1_2$ test is not needed if the $H1_N$ test uses this same compressor speed.
[5] Defined in section 3.1.4.6 of this appendix.

3.6.5 Additional Test for a Heat Pump Having a Heat Comfort Controller

Test any heat pump that has a heat comfort controller (see section 1.2 of this appendix, Definitions) according to section 3.6.1, 3.6.2, or 3.6.3, whichever applies, with the heat comfort controller disabled. Additionally, conduct the abbreviated test described in section 3.1.10 of this appendix with the heat comfort controller active to determine the system's maximum supply air temperature. (NOTE: Heat pumps having a variable speed compressor and a heat comfort controller are not covered in the test procedure at this time.)

3.6.6 Heating Mode Tests for Northern Heat Pumps With Triple-Capacity Compressors.

Test triple-capacity, northern heat pumps for the heating mode as follows:

a. Conduct one maximum-temperature test ($H0_1$), two high-temperature tests ($H1_2$ and $H1_1$), one frost accumulation test ($H2_2$), two low-temperature tests ($H3_2$, $H3_3$), and one minimum-temperature test ($H4_3$). Conduct an additional frost accumulation test ($H2_1$) and low-temperature test ($H3_1$) if both of the following conditions exist: (1) Knowledge of the heat pump's capacity and electrical power at low compressor capacity for outdoor temperatures of 37 °F and less is needed to complete the section 4.2.6 seasonal performance calculations; and (2) the heat pump's controls allow low-capacity operation at outdoor temperatures of 37 °F and less. If the above two conditions are met, an alternative to conducting the $H2_1$ frost accumulation test to determine $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ is to use the following equations to approximate this capacity and electrical power:

$$\dot{Q}_h^{k=1}(35) = 0.90 * \left\{\dot{Q}_h^{k=1}(17) + 0.6 * \left[\dot{Q}_h^{k=1}(47) - \dot{Q}_h^{k=1}(17)\right]\right\}$$

$$\dot{E}_h^{k=1}(35) = 0.985 * \left\{\dot{E}_h^{k=1}(17) + 0.6 * \left[\dot{E}_h^{k=1}(47) - \dot{E}_h^{k=1}(17)\right]\right\}$$

In evaluating the above equations, determine the quantities $\dot{Q}_h^{k=1}(47)$ from the $H1_1$ test and evaluate them according to section 3.7 of this appendix. Determine the quantities $\dot{Q}_h^{k=1}(17)$ and $\dot{E}_h^{k=1}(17)$ from the $H3_1$ test and evaluate them according to section 3.10 of this appendix. Use the paired values of $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ derived from conducting the $H2_1$ frost accumulation test and evaluated as specified in section 3.9.1 of this appendix or use the paired values calculated using the above default equations, whichever contribute to a higher Region IV HSPF based on the DHRmin.

b. Conducting a frost accumulation test ($H2_3$) with the heat pump operating at its booster capacity is optional. If this optional test is not conducted, determine $\dot{Q}_h^{k=3}(35)$ and $\dot{E}_h^{k=3}(35)$ using the following equations to approximate this capacity and electrical power:

$$\dot{Q}_h^{k=3}(35) = QR_h^{k=2}(35) * \left\{\dot{Q}_h^{k=3}(17) + 1.20 * \left[\dot{Q}_h^{k=3}(17) - \dot{Q}_h^{k=3}(5)\right]\right\}$$

$$\dot{E}_h^{k=3}(35) = PR_h^{k=2}(35) * \left\{\dot{E}_h^{k=3}(17) + 1.20 * \left[\dot{E}_h^{k=3}(17) - \dot{E}_h^{k=3}(5)\right]\right\}$$

Where:

$$QR_h^{k=2}(35) = \frac{\dot{Q}_h^{k=2}(35)}{\dot{Q}_h^{k=2}(17) + 0.6 * \left[\dot{Q}_h^{k=2}(47) - \dot{Q}_h^{k=2}(17)\right]}$$

$$PR_h^{k=2}(35) = \frac{\dot{E}_h^{k=2}(35)}{\dot{E}_h^{k=2}(17) + 0.6 * \left[\dot{E}_h^{k=2}(47) - \dot{E}_h^{k=2}(17)\right]}$$

Determine the quantities $\dot{Q}_h^{k=2}(47)$ and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test and evaluate them according to section 3.7 of this appendix. Determine the quantities $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ from the $H2_2$ test and evaluate them according to section 3.9.1 of this appendix. Determine the quantities $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test, determine the quantities $\dot{Q}_h^{k=3}(17)$ and $\dot{E}_h^{k=3}(17)$ from the $H3_3$ test, and determine the quantities $\dot{Q}_h^{k=3}(5)$ and $\dot{E}_h^{k=3}(5)$

from the $H4_3$ test. Evaluate all six quantities according to section 3.10 of this appendix. Use the paired values of $\dot{Q}_h^{k=3}(35)$ and $\dot{E}_h^{k=3}(35)$ derived from conducting the $H2_3$ frost accumulation test and calculated as specified in section 3.9.1 of this appendix or use the paired values calculated using the above default equations, whichever contribute to a higher Region IV HSPF based on the DHRmin.

c. Conduct the optional high-temperature cyclic test ($H1C_1$) to determine the heating mode cyclic-degradation coefficient, C_D^h. A default value for C_D^h may be used in lieu of conducting the cyclic. The default value of C_D^h is 0.25. If a triple-capacity heat pump locks out low capacity operation at lower outdoor temperatures, conduct the high-temperature cyclic test ($H1C_2$) to determine the high-capacity heating mode cyclic-degradation coefficient, C_D^h (k=2). The default C_D^h (k=2) is the same value as determined or assigned for the low-capacity cyclic-degradation coefficient, C_D^h [or equivalently, C_D^h (k=1)]. Finally, if a triple-capacity heat pump locks out both low and high capacity operation at the lowest outdoor temperatures, conduct the low-temperature cyclic test ($H3C_3$) to determine the booster-capacity heating mode cyclic-degradation coefficient, C_D^h (k=3). The default C_D^h (k=3) is the same value as determined or assigned for the high-capacity cyclic-degradation coefficient, C_D^h [or equivalently, C_D^h (k=2)]. Table 15 specifies test conditions for all 13 tests.

TABLE 15—HEATING MODE TEST CONDITIONS FOR UNITS WITH A TRIPLE-CAPACITY COMPRESSOR

Test description	Air entering indoor unit temperature deg;F		Air entering outdoor unit temperature deg;F		Compressor capacity	Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
$H0_1$ Test (required, steady)	70	60(max)	62	56.5	Low	Heating Minimum.[1]
$H1_2$ Test (required, steady)	70	60(max)	47	43	High	Heating Full-Load.[2]
$H1C_2$ Test (optional,[8] cyclic)	70	60(max)	47	43	High	([3]).
$H1_1$ Test (required)	70	60(max)	47	43	Low	Heating Minimum.[1]
$H1C_1$ Test (optional, cyclic)	70	60(max)	47	43	Low	([4]).
$H2_3$ Test (optional, steady)	70	60(max)	35	33	Booster	Heating Full-Load.[2]
$H2_2$ Test (required)	70	60(max)	35	33	High	Heating Full-Load.[2]
$H2_1$ Test (required)	70	60(max)	35	33	Low	Heating Minimum.[1]
$H3_3$ Test (required, steady)	70	60(max)	17	15	Booster	Heating Full-Load.[2]
$H3C_3$ Test[5 6] (optional, cyclic)	70	60(max)	17	15	Booster	([7]).
$H3_2$ Test (required, steady)	70	60(max)	17	15	High	Heating Full-Load.[2]
$H3_1$ Test[5] (required, steady)	70	60(max)	17	15	Low	Heating Minimum.[1]
$H4_3$ Test (required, steady)	70	60(max)	5	3(max)	Booster	Heating Full-Load.[2]

[1] Defined in section 3.1.4.5 of this appendix.
[2] Defined in section 3.1.4.4 of this appendix.
[3] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the $H1_2$ test.
[4] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the $H1_1$ test.
[5] Required only if the heat pump's performance when operating at low compressor capacity and outdoor temperatures less than 37 °F is needed to complete the section 4.2.6 HSPF calculations.
[6] If table note [5] applies, the section 3.6.6 equations for $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(17)$ may be used in lieu of conducting the $H2_1$ test.
[7] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the $H3_3$ test.
[8] Required only if the heat pump locks out low capacity operation at lower outdoor temperatures.

3.6.7 Tests for a Heat Pump Having a Single Indoor Unit Having Multiple Indoor Blowers and Offering Two Stages of Compressor Modulation

Conduct the heating mode tests specified in section 3.6.3 of this appendix.

3.7 Test Procedures for Steady-State Maximum Temperature and High Temperature Heating Mode Tests (the $H0_1$, H1, $H1_2$, $H1_1$, and $H1_N$ Tests)

a. For the pretest interval, operate the test room reconditioning apparatus and the heat pump until equilibrium conditions are maintained for at least 30 minutes at the specified section 3.6 test conditions. Use the exhaust fan of the airflow measuring apparatus and, if installed, the indoor blower of the heat pump to obtain and then maintain the indoor air volume rate and/or the external static pressure specified for the particular test. Continuously record the dry-bulb temperature of the air entering the indoor coil, and the dry-bulb temperature and water vapor content of the air entering the outdoor coil. Refer to section 3.11 of this appendix for additional requirements that depend on the selected secondary test method. After satisfying the pretest equilibrium requirements, make the measurements specified in Table 3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) for the indoor air enthalpy method and the user-selected secondary method. Make said Table 3 measurements at equal intervals that span 5 minutes

or less. Continue data sampling until a 30-minute period (*e.g.*, seven consecutive 5-minute samples) is reached where the test tolerances specified in Table 16 are satisfied. For those continuously recorded parameters, use the entire data set for the 30-minute interval when evaluating Table 16 compliance. Determine the average electrical power consumption of the heat pump over the same 30-minute interval.

TABLE 16—TEST OPERATING AND TEST CONDITION TOLERANCES FOR SECTION 3.7 AND SECTION 3.10 STEADY-STATE HEATING MODE TESTS

	Test operating tolerance [1]	Test condition tolerance [1]
Indoor dry-bulb, °F:		
Entering temperature	2.0	0.5
Leaving temperature	2.0	
Indoor wet-bulb, °F:		
Entering temperature	1.0	
Leaving temperature	1.0	
Outdoor dry-bulb, °F:		
Entering temperature	2.0	0.5
Leaving temperature	[2] 2.0	
Outdoor wet-bulb, °F:		
Entering temperature	1.0	0.3
Leaving temperature	[2] 1.0	
External resistance to airflow, inches of water	0.05	[3] 0.02
Electrical voltage, % of rdg	2.0	1.5
Nozzle pressure drop, % of rdg	2.0	

[1] See section 1.2 of this appendix, Definitions.
[2] Only applies when the Outdoor Air Enthalpy Method is used.
[3] Only applies when testing non-ducted units.

b. Calculate indoor-side total heating capacity as specified in sections 7.3.4.1 and 7.3.4.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see § 430.3). To calculate capacity, use the averages of the measurements (*e.g.* inlet and outlet dry bulb temperatures measured at the psychrometers) that are continuously recorded for the same 30-minute interval used as described above to evaluate compliance with test tolerances. Do not adjust the parameters used in calculating capacity for the permitted variations in test conditions. Assign the average space heating capacity and electrical power over the 30-minute data collection interval to the variables $\dot{Q}_h^k$ and $\dot{E}_h^k(T)$ respectively. The ''T'' and superscripted ''k'' are the same as described in section 3.3 of this appendix. Additionally, for the heating mode, use the superscript to denote results from the optional $H1_N$ test, if conducted.

c. For coil-only system heat pumps, increase $\dot{Q}_h^k(T)$ by

$$\frac{1250\ BTU/h}{1000\ scfm} * \bar{\dot{V}}_s$$

and increase $\dot{E}_h^k(T)$ by,

$$\frac{365\ W}{1000\ scfm} * \bar{\dot{V}}_s$$

where $\bar{\dot{V}}_s$ is the average measured indoor air volume rate expressed in units of cubic feet per minute of standard air (scfm). During the 30-minute data collection interval of a high temperature test, pay attention to preventing a defrost cycle. Prior to this time, allow the heat pump to perform a defrost cycle if automatically initiated by its own controls. As in all cases, wait for the heat pump's defrost controls to automatically terminate the defrost cycle. Heat pumps that undergo a defrost should operate in the heating mode for at least 10 minutes after defrost termination prior to beginning the 30-minute data collection interval. For some heat pumps, frost may accumulate on the outdoor

coil during a high temperature test. If the indoor coil leaving air temperature or the difference between the leaving and entering air temperatures decreases by more than 1.5 °F over the 30-minute data collection interval, then do not use the collected data to determine capacity. Instead, initiate a defrost cycle. Begin collecting data no sooner than 10 minutes after defrost termination. Collect 30 minutes of new data during which the Table 16 test tolerances are satisfied. In this case, use only the results from the second 30-minute data collection interval to evaluate $\dot{Q}_h^k(47)$ and $\dot{E}_h^k(47)$.

d. If conducting the cyclic heating mode test, which is described in section 3.8 of this appendix, record the average indoor-side air volume rate, $\dot{V}$, specific heat of the air, $C_{p,a}$ (expressed on dry air basis), specific volume of the air at the nozzles, v_n' (or v_n), humidity ratio at the nozzles, W_n, and either pressure difference or velocity pressure for the flow nozzles. If either or both of the below criteria apply, determine the average, steady-state, electrical power consumption of the indoor blower motor ($\dot{E}_{fan,1}$):

(1) The section 3.8 cyclic test will be conducted and the heat pump has a variable-speed indoor blower that is expected to be disabled during the cyclic test; or

(2) The heat pump has a (variable-speed) constant-air volume-rate indoor blower and during the steady-state test the average external static pressure (ΔP_1) exceeds the applicable section 3.1.4.4 minimum (or targeted) external static pressure (ΔP_{min}) by 0.03 inches of water or more.

Determine $\dot{E}_{fan,1}$ by making measurements during the 30-minute data collection interval, or immediately following the test and prior to changing the test conditions. When the above ''2'' criteria applies, conduct the following four steps after determining $\dot{E}_{fan,1}$ (which corresponds to ΔP_1):

(i) While maintaining the same test conditions, adjust the exhaust fan of the airflow measuring apparatus until the external static pressure increases to approximately $\Delta P_1 + (\Delta P_1 - \Delta P_{min})$.

(ii) After re-establishing steady readings for fan motor power and external static pressure, determine average values for the indoor blower power ($\dot{E}_{fan,2}$) and the external static pressure (ΔP_2) by making measurements over a 5-minute interval.

(iii) Approximate the average power consumption of the indoor blower motor if the 30-minute test had been conducted at ΔP_{min} using linear extrapolation:

$$\dot{E}_{fan,\min} = \frac{\dot{E}_{fan,2} - \dot{E}_{fan,1}}{\Delta P_2 - \Delta P_1}(\Delta P_{\min} - \Delta P_1) + \dot{E}_{fan,1}$$

(iv) Decrease the total space heating capacity, $\dot{Q}_h^k(T)$, by the quantity ($\dot{E}_{fan,1} - \dot{E}_{fan,min}$), when expressed on a Btu/h basis. Decrease the total electrical power, $\dot{E}_h^k(T)$ by the same fan power difference, now expressed in watts.

e. If the temperature sensors used to provide the primary measurement of the indoor-side dry bulb temperature difference during the steady-state dry-coil test and the subsequent cyclic dry-coil test are different, include measurements of the latter sensors among the regularly sampled data. Beginning at the start of the 30-minute data collection period, measure and compute the indoor-side air dry-bulb temperature difference using both sets of instrumentation, ΔT (Set SS) and ΔT (Set CYC), for each equally spaced data sample. If using a consistent data sampling rate that is less than 1 minute, calculate and record minutely averages for the two temperature differences. If using a consistent sampling rate of one minute or more, calculate and record the two temperature differences from each data sample. After having recorded the seventh (i=7) set of temperature differences, calculate the following ratio using the first seven sets of values:

$$F_{CD} = \frac{1}{7}\sum_{i-6}^{i}\frac{\Delta T(Set\ SS)}{\Delta T(Set\ CYC)}$$

Each time a subsequent set of temperature differences is recorded (if sampling more frequently than every 5 minutes), calculate F_{CD} using the most recent seven sets of values. Continue these calculations until the 30-minute period is completed or until a value

for F_{CD} is calculated that falls outside the allowable range of 0.94–1.06. If the latter occurs, immediately suspend the test and identify the cause for the disparity in the two temperature difference measurements. Recalibration of one or both sets of instrumentation may be required. If all the values for F_{CD} are within the allowable range, save the final value of the ratio from the 30-minute test as F_{CD}*. If the temperature sensors used to provide the primary measurement of the indoor-side dry bulb temperature difference during the steady-state dry-coil test and the subsequent cyclic dry-coil test are the same, set F_{CD}*= 1.

3.8 Test Procedures for the Cyclic Heating Mode Tests (the H0C$_1$, H1C, H1C$_1$ and H1C$_2$ Tests)

a. Except as noted below, conduct the cyclic heating mode test as specified in section 3.5 of this appendix. As adapted to the heating mode, replace section 3.5 references to ''the steady-state dry coil test'' with ''the heating mode steady-state test conducted at the same test conditions as the cyclic heating mode test.'' Use the test tolerances in Table 17 rather than Table 10. Record the outdoor coil entering wet-bulb temperature according to the requirements given in section 3.5 of this appendix for the outdoor coil entering dry-bulb temperature. Drop the subscript ''dry'' used in variables cited in section 3.5 of this appendix when referring to quantities from the cyclic heating mode test. Determine the total space heating delivered during the cyclic heating test, q_{cyc}, as specified in section 3.5 of this appendix except for making the following changes:

(1) When evaluating Equation 3.5–1, use the values of $\bar{V}$, $C_{p,a}$,v_n', (or v_n), and W_n that were recorded during the section 3.7 steady-state test conducted at the same test conditions.

(2) Calculate Γ using

$$\Gamma \text{ using, } \Gamma = F_{CD}^{*}\int_{\tau_1}^{\tau_2}[T_{a1}(\tau) - T_{a2}(\tau)]\delta\tau, \ hr \times {}^{\circ}F,$$

where F_{CD}* is the value recorded during the section 3.7 steady-state test conducted at the same test condition.

b. For ducted coil-only system heat pumps (excluding the special case where a variable-speed fan is temporarily removed), increase q_{cyc} by the amount calculated using Equation 3.5–3. Additionally, increase e_{cyc} by the amount calculated using Equation 3.5–2. In making these calculations, use the average indoor air volume rate ($\bar{V}_s$) determined from the section 3.7 steady-state heating mode test conducted at the same test conditions.

c. For non-ducted heat pumps, subtract the electrical energy used by the indoor blower during the 3 minutes after compressor cutoff from the non-ducted heat pump's integrated heating capacity, q_{cyc}.

d. If a heat pump defrost cycle is manually or automatically initiated immediately prior to or during the OFF/ON cycling, operate the heat pump continuously until 10 minutes after defrost termination. After that, begin cycling the heat pump immediately or delay until the specified test conditions have been re-established. Pay attention to preventing defrosts after beginning the cycling process. For heat pumps that cycle off the indoor blower during a defrost cycle, make no effort here to restrict the air movement through the indoor coil while the fan is off. Resume the OFF/ON cycling while conducting a minimum of two complete compressor OFF/ON cycles before determining q_{cyc} and e_{cyc}.

3.8.1 Heating Mode Cyclic-Degradation Coefficient Calculation

Use the results from the required cyclic test and the required steady-state test that were conducted at the same test conditions to determine the heating mode cyclic-degradation coefficient C_D^h. Add ''(k=2)'' to the coefficient if it corresponds to a two-capacity unit cycling at high capacity. For the below calculation of the heating mode cyclic degradation coefficient, do not include the duct loss correction from section 7.3.3.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) in determining $\dot{Q}_h^k(T_{cyc})$ (or q_{cyc}). If the optional cyclic test is conducted but yields a tested C_D^h that exceeds the default C_D^h or if the optional test is not conducted, assign C_D^h the default value of 0.25. The default value for two-capacity units cycling at high capacity, however, is the low-capacity coefficient, *i.e.*, C_D^h (k=2) = C_D^h. The tested C_D^h is calculated as follows:

$$C_D^h = \frac{1 - \frac{COP_{cyc}}{COP_{ss}(T_{cyc})}}{1 - HLF}$$

where:

$$COP_{cyc} = \frac{q_{cyc}}{3.413\frac{Btu/h}{W} * e_{cyc}}$$

the average coefficient of performance during the cyclic heating mode test, dimensionless.

$$COP_{ss}(T_{cyc}) = \frac{\dot{Q}_h^k(T_{cyc})}{3.413\frac{Btu/h}{W} * \dot{E}_h^k(T_{cyc})}$$

the average coefficient of performance during the steady-state heating mode test conducted at the same test conditions—*i.e.*, same outdoor dry bulb temperature, T_{cyc}, and speed/capacity, k, if applicable—as specified for the cyclic heating mode test, dimensionless.

$$HLF = \frac{q_{cyc}}{\dot{Q}_h^k(T_{cyc}) * \Delta\tau_{cyc}}$$

the heating load factor, dimensionless.

T_{cyc} = the nominal outdoor temperature at which the cyclic heating mode test is conducted, 62 or 47 °F.

$\Delta\tau_{cyc}$ = the duration of the OFF/ON intervals; 0.5 hours when testing a heat pump having a single-speed or two-capacity compressor and 1.0 hour when testing a heat pump having a variable-speed compressor.

Round the calculated value for C_D^h to the nearest 0.01. If C_D^h is negative, then set it equal to zero.

TABLE 17—TEST OPERATING AND TEST CONDITION TOLERANCES FOR CYCLIC HEATING MODE TESTS

	Test operating tolerance [1]	Test condition tolerance [1]
Indoor entering dry-bulb temperature,[2] °F	2.0	0.5
Indoor entering wet-bulb temperature,[2] °F	1.0	
Outdoor entering dry-bulb temperature,[2] °F	2.0	0.5
Outdoor entering wet-bulb temperature,[2] °F	2.0	1.0
External resistance to air-flow,[2] inches of water	0.05	
Airflow nozzle pressure difference or velocity pressure,[2]% of reading	2.0	[3]2.0
Electrical voltage,[4] % of rdg	2.0	1.5

[1] See section 1.2 of this appendix, Definitions.

[2] Applies during the interval that air flows through the indoor (outdoor) coil except for the first 30 seconds after flow initiation. For units having a variable-speed indoor blower that ramps, the tolerances listed for the external resistance to airflow shall apply from 30 seconds after achieving full speed until ramp down begins.

[3] The test condition shall be the average nozzle pressure difference or velocity pressure measured during the steady-state test conducted at the same test conditions.

[4] Applies during the interval that at least one of the following—the compressor, the outdoor fan, or, if applicable, the indoor blower—are operating, except for the first 30 seconds after compressor start-up.

3.9 Test Procedures for Frost Accumulation Heating Mode Tests (the H2, $H2_2$, $H2_V$, and $H2_1$ tests)

a. Confirm that the defrost controls of the heat pump are set as specified in section 2.2.1 of this appendix. Operate the test room reconditioning apparatus and the heat pump for at least 30 minutes at the specified section 3.6 test conditions before starting the ''preliminary'' test period. The preliminary test period must immediately precede the ''official'' test period, which is the heating and defrost interval over which data are collected for evaluating average space heating capacity and average electrical power consumption.

b. For heat pumps containing defrost controls which are likely to cause defrosts at intervals less than one hour, the preliminary test period starts at the termination of an automatic defrost cycle and ends at the termination of the next occurring automatic defrost cycle. For heat pumps containing defrost controls which are likely to cause defrosts at intervals exceeding one hour, the preliminary test period must consist of a heating interval lasting at least one hour followed by a defrost cycle that is either manually or automatically initiated. In all cases, the heat pump's own controls must govern when a defrost cycle terminates.

c. The official test period begins when the preliminary test period ends, at defrost termination. The official test period ends at the termination of the next occurring automatic defrost cycle. When testing a heat pump that uses a time-adaptive defrost control system (see section 1.2 of this appendix, Definitions), however, manually initiate the defrost cycle that ends the official test period at the instant indicated by instructions provided by the manufacturer. If the heat pump has not undergone a defrost after 6 hours, immediately conclude the test and use the results from the full 6-hour period to calculate the average space heating capacity and average electrical power consumption.

For heat pumps that turn the indoor blower off during the defrost cycle, take steps to cease forced airflow through the indoor coil and block the outlet duct whenever the heat pump's controls cycle off the indoor blower. If it is installed, use the outlet damper box described in section 2.5.4.1 of this appendix to affect the blocked outlet duct.

d. Defrost termination occurs when the controls of the heat pump actuate the first change in converting from defrost operation to normal heating operation. Defrost initiation occurs when the controls of the heat pump first alter its normal heating operation in order to eliminate possible accumulations of frost on the outdoor coil.

e. To constitute a valid frost accumulation test, satisfy the test tolerances specified in Table 18 during both the preliminary and official test periods. As noted in Table 18, test operating tolerances are specified for two sub-intervals:

(1) When heating, except for the first 10 minutes after the termination of a defrost cycle (sub-interval H, as described in Table 18) and

(2) When defrosting, plus these same first 10 minutes after defrost termination (sub-interval D, as described in Table 18). Evaluate compliance with Table 18 test condition tolerances and the majority of the test operating tolerances using the averages from measurements recorded only during sub-interval H. Continuously record the dry bulb temperature of the air entering the indoor coil, and the dry bulb temperature and water vapor content of the air entering the outdoor coil. Sample the remaining parameters listed in Table 18 at equal intervals that span 5 minutes or less.

f. For the official test period, collect and use the following data to calculate average space heating capacity and electrical power. During heating and defrosting intervals when the controls of the heat pump have the indoor blower on, continuously record the dry-bulb temperature of the air entering (as noted above) and leaving the indoor coil. If using a thermopile, continuously record the difference between the leaving and entering dry-bulb temperatures during the interval(s) that air flows through the indoor coil. For coil-only system heat pumps, determine the corresponding cumulative time (in hours) of indoor coil airflow, $\Delta\tau_a$. Sample measurements used in calculating the air volume rate (refer to sections 7.7.2.1 and 7.7.2.2 of ANSI/ASHRAE 37–2009) at equal intervals that span 10 minutes or less. (NOTE: In the first printing of ANSI/ASHRAE 37–2009, the second IP equation for Q_{mi} should read:) Record the electrical energy consumed, expressed in watt-hours, from defrost termination to defrost termination, $e_{DEF}{}^{[K]}(35)$, as well as the corresponding elapsed time in hours, $\Delta\tau_{FR}$.

TABLE 18—TEST OPERATING AND TEST CONDITION TOLERANCES FOR FROST ACCUMULATION HEATING MODE TESTS

	Test operating tolerance [1]		Test condition tolerance [1]
	Sub-interval H [2]	Sub-interval D [3]	Sub-interval H [2]
Indoor entering dry-bulb temperature, °F	2.0	[4] 4.0	0.5
Indoor entering wet-bulb temperature, °F	1.0		

TABLE 18—TEST OPERATING AND TEST CONDITION TOLERANCES FOR FROST ACCUMULATION HEATING MODE TESTS—Continued

	Test operating tolerance [1]		Test condition tolerance [1]
	Sub-interval H [2]	Sub-interval D [3]	Sub-interval H [2]
Outdoor entering dry-bulb temperature, °F	2.0	10.0	1.0
Outdoor entering wet-bulb temperature, °F	1.5	.....	0.5
External resistance to airflow, inches of water	0.05	.....	[5] 0.02
Electrical voltage, % of rdg	2.0	.....	1.5

[1] See section 1.2 of this appendix, Definitions.
[2] Applies when the heat pump is in the heating mode, except for the first 10 minutes after termination of a defrost cycle.
[3] Applies during a defrost cycle and during the first 10 minutes after the termination of a defrost cycle when the heat pump is operating in the heating mode.
[4] For heat pumps that turn off the indoor blower during the defrost cycle, the noted tolerance only applies during the 10 minute interval that follows defrost termination.
[5] Only applies when testing non-ducted heat pumps.

3.9.1 Average Space Heating Capacity and Electrical Power Calculations

a. Evaluate average space heating capacity, $\dot{Q}_h^k(35)$, when expressed in units of Btu per hour, using:

$$\dot{Q}_h^k(35) = \frac{60 * \bar{\dot{V}} * C_{p,a} * \Gamma}{\Delta\tau_{FR}[\nu_n' * (1 + W_n)]} = \frac{60 * \bar{\dot{V}} * C_{p,a} * \Gamma}{\Delta\tau_{FR}\nu_n}$$

Where,

$\bar{\dot{V}}$ = the average indoor air volume rate measured during sub-interval H, cfm.

$C_{p,a}$ = 0.24 + 0.444 · W_n, the constant pressure specific heat of the air-water vapor mixture that flows through the indoor coil and is expressed on a dry air basis, Btu/lbm_{da} · °F.

ν_n' = specific volume of the air-water vapor mixture at the nozzle, ft^3/lbm_{mx}.

W_n = humidity ratio of the air-water vapor mixture at the nozzle, lbm of water vapor per lbm of dry air.

$\Delta\tau_{FR} = \tau_2 - \tau_1$, the elapsed time from defrost termination to defrost termination, hr.

$$\Gamma = \int_{\tau_1}^{\tau_2}[T_{a2}(\tau) - T_{a1}(\tau)]d\tau,\ hr * °F$$

$T_{al}(\tau)$ = dry bulb temperature of the air entering the indoor coil at elapsed time τ, °F; only recorded when indoor coil airflow occurs; assigned the value of zero during periods (if any) where the indoor blower cycles off.

$T_{a2}(\tau)$ = dry bulb temperature of the air leaving the indoor coil at elapsed time τ, °F; only recorded when indoor coil airflow occurs; assigned the value of zero during periods (if any) where the indoor blower cycles off.

τ_1 = the elapsed time when the defrost termination occurs that begins the official test period, hr.

τ_2 = the elapsed time when the next automatically occurring defrost termination occurs, thus ending the official test period, hr.

ν_n = specific volume of the dry air portion of the mixture evaluated at the dry-bulb temperature, vapor content, and barometric pressure existing at the nozzle, ft^3 per lbm of dry air.

To account for the effect of duct losses between the outlet of the indoor unit and the section 2.5.4 dry-bulb temperature grid, adjust $\dot{Q}_h^k(35)$ in accordance with section 7.3.4.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see § 430.3).

b. Evaluate average electrical power, $\dot{E}_h^k(35)$, when expressed in units of watts, using:

$$\dot{E}_h^k(35) = \frac{e_{def}(35)}{\Delta\tau_{FR}}$$

For coil-only system heat pumps, increase $\dot{Q}_h^k(35)$ by,

$$\frac{1250\,Btu/h}{1000\,scfm} * \bar{\dot{V}}_s * \frac{\Delta\tau_a}{\Delta\tau_{FR}}$$

and increase $\dot{E}_h^k(35)$ by,

$$\frac{365\,W}{1000\,scfm} * \bar{\dot{V}}_s * \frac{\Delta\tau_a}{\Delta\tau_{FR}}$$

where $\bar{\dot{V}}_s$ is the average indoor air volume rate measured during the frost accumulation heating mode test and is expressed in units of cubic feet per minute of standard air (scfm).

c. For heat pumps having a constant-air-volume-rate indoor blower, the five additional steps listed below are required if the average of the external static pressures measured during sub-interval H exceeds the applicable section 3.1.4.4, 3.1.4.5, or 3.1.4.6 minimum (or targeted) external static pressure (ΔP_{min}) by 0.03 inches of water or more:

(1) Measure the average power consumption of the indoor blower motor ($\dot{E}_{fan,1}$) and record the corresponding external static pressure (ΔP_1) during or immediately following the frost accumulation heating mode test. Make the measurement at a time when the heat pump is heating, except for the first 10 minutes after the termination of a defrost cycle.

(2) After the frost accumulation heating mode test is completed and while maintaining the same test conditions, adjust the exhaust fan of the airflow measuring apparatus until the external static pressure increases to approximately $\Delta P_1 + (\Delta P_1 - \Delta P_{min})$.

(3) After re-establishing steady readings for the fan motor power and external static pressure, determine average values for the indoor blower power ($\dot{E}_{fan,2}$) and the external static pressure (ΔP_2) by making measurements over a 5-minute interval.

(4) Approximate the average power consumption of the indoor blower motor had the frost accumulation heating mode test been conducted at ΔP_{min} using linear extrapolation:

$$\dot{E}_{fan,\min} = \frac{\dot{E}_{fan,2} - \dot{E}_{fan,1}}{\Delta P_2 - \Delta P_1}(\Delta P_{\min} - \Delta P_1) + \dot{E}_{fan,1}$$

(5) Decrease the total heating capacity, $\dot{Q}_h^k(35)$, by the quantity $[(\dot{E}_{fan,1} - \dot{E}_{fan,min}) \cdot (\Delta\tau_a / \Delta\tau_{FR}]$, when expressed on a Btu/h basis. Decrease the total electrical power, $E_h^k(35)$, by the same quantity, now expressed in watts.

3.9.2 Demand Defrost Credit

a. Assign the demand defrost credit, F_{def}, that is used in section 4.2 of this appendix to the value of 1 in all cases except for heat pumps having a demand-defrost control system (see section 1.2 of this appendix, Definitions). For such qualifying heat pumps, evaluate F_{def} using,

$$F_{def} = 1 + 0.03 * \left[1 - \frac{\Delta\tau_{def} - 1.5}{\Delta\tau_{\max} - 1.5}\right]$$

where:

$\Delta\tau_{def}$ = the time between defrost terminations (in hours) or 1.5, whichever is greater. A value of 6 must be assigned to $\Delta\tau_{def}$ if this limit is reached during a frost accumulation test and the heat pump has not completed a defrost cycle.

$\Delta\tau_{max}$ = maximum time between defrosts as allowed by the controls (in hours) or 12, whichever is less, as provided in the certification report.

b. For two-capacity heat pumps and for section 3.6.2 units, evaluate the above equation using the $\Delta\tau_{def}$ that applies based on the frost accumulation test conducted at high capacity and/or at the heating full-load air volume rate. For variable-speed heat pumps, evaluate $\Delta\tau_{def}$ based on the required frost accumulation test conducted at the intermediate compressor speed.

3.10 Test Procedures for Steady-State Low Temperature Heating Mode Tests (the H3, $H3_2$, and $H3_1$ Tests)

Except for the modifications noted in this section, conduct the low temperature heating mode test using the same approach as specified in section 3.7 of this appendix for the maximum and high temperature tests. After satisfying the section 3.7 requirements for the pretest interval but before beginning to collect data to determine $\dot{Q}_h^k(17)$ and $\dot{E}_h^k(17)$, conduct a defrost cycle. This defrost cycle may be manually or automatically initiated. The defrost sequence must be terminated by the action of the heat pump's defrost controls. Begin the 30-minute data collection interval described in section 3.7 of this appendix, from which $\dot{Q}_h^k(17)$ and $\dot{E}_h^k(17)$ are determined, no sooner than 10 minutes after defrost termination. Defrosts should be prevented over the 30-minute data collection interval.

3.11 Additional Requirements for the Secondary Test Methods

3.11.1 If Using the Outdoor Air Enthalpy Method as the Secondary Test Method

a. For all cooling mode and heating mode tests, first conduct a test without the outdoor air-side test apparatus described in section 2.10.1 of this appendix connected to the outdoor unit (''free outdoor air'' test).

b. For the first section 3.2 steady-state cooling mode test and the first section 3.6 steady-state heating mode test, conduct a second test in which the outdoor-side apparatus is connected (''ducted outdoor air'' test). No other cooling mode or heating mode tests require the ducted outdoor air test so long as the unit operates the outdoor fan during all cooling mode steady-state tests at the same speed and all heating mode steady-state tests at the same speed. If using more than one outdoor fan speed for the cooling mode steady-state tests, however, conduct the ducted outdoor air test for each cooling mode test where a different fan speed is first used. This same requirement applies for the heating mode tests.

3.11.1.1 Free Outdoor Air Test

a. For the free outdoor air test, connect the indoor air-side test apparatus to the indoor coil; do not connect the outdoor air-side test apparatus. Allow the test room reconditioning apparatus and the unit being tested to operate for at least one hour. After attaining equilibrium conditions, measure the following quantities at equal intervals that span 5 minutes or less:

(1) The section 2.10.1 evaporator and condenser temperatures or pressures;

(2) Parameters required according to the indoor air enthalpy method.

Continue these measurements until a 30-minute period (*e.g.*, seven consecutive 5-minute samples) is obtained where the Table 9 or Table 16, whichever applies, test tolerances are satisfied.

b. For cases where a ducted outdoor air test is not required per section 3.11.1.b of this appendix, the free outdoor air test constitutes the ''official'' test for which validity is not based on comparison with a secondary test.

c. For cases where a ducted outdoor air test is required per section 3.11.1.b of this appendix, the following conditions must be met for the free outdoor air test to constitute a valid ''official'' test:

(1) Achieve the energy balance specified in section 3.1.1 of this appendix for the ducted outdoor air test (*i.e.*, compare the capacities determined using the indoor air enthalpy method and the outdoor air enthalpy method).

(2) The capacities determined using the indoor air enthalpy method from the ducted outdoor air and free outdoor tests must agree within 2 percent.

3.11.1.2 Ducted Outdoor Air Test

a. The test conditions and tolerances for the ducted outdoor air test are the same as specified for the free outdoor air test described in Section 3.11.1.1 of this appendix.

b. After collecting 30 minutes of steady-state data during the free outdoor air test,

connect the outdoor air-side test apparatus to the unit for the ducted outdoor air test. Adjust the exhaust fan of the outdoor airflow measuring apparatus until averages for the evaporator and condenser temperatures, or the saturated temperatures corresponding to the measured pressures, agree within ±0.5 °F of the averages achieved during the free outdoor air test. Collect 30 minutes of steady-state data after re-establishing equilibrium conditions.

c. During the ducted outdoor air test, at intervals of 5 minutes or less, measure the parameters required according to the indoor air enthalpy method and the outdoor air enthalpy method for the prescribed 30 minutes.

d. For cooling mode ducted outdoor air tests, calculate capacity based on outdoor air-enthalpy measurements as specified in sections 7.3.3.2 and 7.3.3.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). For heating mode ducted tests, calculate heating capacity based on outdoor air-enthalpy measurements as specified in sections 7.3.4.2 and 7.3.3.4.3 of the same ANSI/ASHRAE Standard. Adjust the outdoor-side capacity according to section 7.3.3.4 of ANSI/ASHRAE 37–2009 to account for line losses when testing split systems. As described in section 8.6.2 of ANSI/ASHRAE 37–2009, use the outdoor air volume rate as measured during the ducted outdoor air tests to calculate capacity for checking the agreement with the capacity calculated using the indoor air enthalpy method.

3.11.2 If Using the Compressor Calibration Method as the Secondary Test Method

a. Conduct separate calibration tests using a calorimeter to determine the refrigerant flow rate. Or for cases where the superheat of the refrigerant leaving the evaporator is less than 5 °F, use the calorimeter to measure total capacity rather than refrigerant flow rate. Conduct these calibration tests at the same test conditions as specified for the tests in this appendix. Operate the unit for at least one hour or until obtaining equilibrium conditions before collecting data that will be used in determining the average refrigerant flow rate or total capacity. Sample the data at equal intervals that span 5 minutes or less. Determine average flow rate or average capacity from data sampled over a 30-minute period where the Table 9 (cooling) or the Table 16 (heating) tolerances are satisfied. Otherwise, conduct the calibration tests according to sections 5, 6, 7, and 8 of ASHRAE 23.1–2010 (incorporated by reference, see §430.3); sections 5, 6, 7, 8, 9, and 11 of ASHRAE 41.9–2011 (incorporated by reference, see §430.3); and section 7.4 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3).

b. Calculate space cooling and space heating capacities using the compressor calibration method measurements as specified in section 7.4.5 and 7.4.6 respectively, of ANSI/ASHRAE 37–2009.

3.11.3 If Using the Refrigerant-Enthalpy Method as the Secondary Test Method

Conduct this secondary method according to section 7.5 of ANSI/ASHRAE 37–2009. Calculate space cooling and heating capacities using the refrigerant-enthalpy method measurements as specified in sections 7.5.4 and 7.5.5, respectively, of the same ASHRAE Standard.

3.12 Rounding of Space Conditioning Capacities for Reporting Purposes

a. When reporting rated capacities, round them off as specified in §430.23 (for a single unit) and in 10 CFR 429.16 (for a sample).

b. For the capacities used to perform the calculations in section 4 of this appendix, however, round only to the nearest integer.

3.13 Laboratory Testing to Determine Off Mode Average Power Ratings

Voltage tolerances: As a percentage of reading, test operating tolerance shall be 2.0 percent and test condition tolerance shall be 1.5 percent (see section 1.2 of this appendix for definitions of these tolerances).

Conduct one of the following tests: If the central air conditioner or heat pump lacks a compressor crankcase heater, perform the test in section 3.13.1 of this appendix; if the central air conditioner or heat pump has a compressor crankcase heater that lacks controls and is not self-regulating, perform the test in section 3.13.1 of this appendix; if the central air conditioner or heat pump has a crankcase heater with a fixed power input controlled with a thermostat that measures ambient temperature and whose sensing element temperature is not affected by the heater, perform the test in section 3.13.1 of this appendix; if the central air conditioner or heat pump has a compressor crankcase heater equipped with self-regulating control or with controls for which the sensing element temperature is affected by the heater, perform the test in section 3.13.2 of this appendix.

3.13.1 This Test Determines the Off Mode Average Power Rating for Central Air Conditioners and Heat Pumps That Lack a Compressor Crankcase Heater, or Have a Compressor Crankcase Heating System That Can Be Tested Without Control of Ambient Temperature During the Test. This Test Has No Ambient Condition Requirements

a. Test Sample Set-up and Power Measurement: For coil-only systems, provide a furnace or modular blower that is compatible with the system to serve as an interface with the thermostat (if used for the test) and to provide low-voltage control circuit power.

Make all control circuit connections between the furnace (or modular blower) and the outdoor unit as specified by the manufacturer's installation instructions. Measure power supplied to both the furnace or modular blower and power supplied to the outdoor unit. Alternatively, provide a compatible transformer to supply low-voltage control circuit power, as described in section 2.2.d of this appendix. Measure transformer power, either supplied to the primary winding or supplied by the secondary winding of the transformer, and power supplied to the outdoor unit. For blower coil and single-package systems, make all control circuit connections between components as specified by the manufacturer's installation instructions, and provide power and measure power supplied to all system components.

b. Configure Controls: Configure the controls of the central air conditioner or heat pump so that it operates as if connected to a building thermostat that is set to the OFF position. Use a compatible building thermostat if necessary to achieve this configuration. For a thermostat-controlled crankcase heater with a fixed power input, bypass the crankcase heater thermostat if necessary to energize the heater.

c. Measure $P2_x$: If the unit has a crankcase heater time delay, make sure that time delay function is disabled or wait until delay time has passed. Determine the average power from non-zero value data measured over a 5-minute interval of the non-operating central air conditioner or heat pump and designate the average power as $P2_x$, the heating season total off mode power.

d. Measure P_x for coil-only split systems and for blower coil split systems for which a furnace or a modular blower is the designated air mover: Disconnect all low-voltage wiring for the *outdoor* components and *outdoor* controls from the low-voltage transformer. Determine the average power from non-zero value data measured over a 5-minute interval of the power supplied to the (remaining) low-voltage components of the central air conditioner or heat pump, or low-voltage power, P_x. This power measurement does not include line power supplied to the outdoor unit. It is the line power supplied to the air mover, or, if a compatible transformer is used instead of an air mover, it is the line power supplied to the transformer primary coil. If a compatible transformer is used instead of an air mover and power output of the low-voltage secondary circuit is measured, P_x is zero.

e. Calculate *P2*: Set the number of compressors equal to the unit's number of single-stage compressors plus 1.75 times the unit's number of compressors that are not single-stage.

For single-package systems and blower coil split systems for which the designated air mover is not a furnace or modular blower, divide the heating season total off mode power ($P2_x$) by the number of compressors to calculate *P2*, the heating season per-compressor off mode power. Round *P2* to the nearest watt. The expression for calculating *P2* is as follows:

$$P2 = \frac{P2_x}{number\ of\ compressors}.$$

For coil-only split systems and blower coil split systems for which a furnace or a modular blower is the designated air mover, subtract the low-voltage power (P_x) from the heating season total off mode power ($P2_x$) and divide by the number of compressors to calculate *P2*, the heating season per-compressor off mode power. Round *P2* to the nearest watt. The expression for calculating *P2* is as follows:

$$P2 = \frac{P2_x - P_x}{number\ of\ compressors}.$$

f. Shoulder-season per-compressor off mode power, P1: If the system does not have a crankcase heater, has a crankcase heater without controls that is not self-regulating, or has a value for the crankcase heater turn-on temperature (as certified in the DOE Compliance Certification Database) that is higher than 71 °F, P1 is equal to P2.

Otherwise, de-energize the crankcase heater (by removing the thermostat bypass or otherwise disconnecting only the power supply to the crankcase heater) and repeat the measurement as described in section 3.13.1.c of this appendix. Designate the measured average power as $P1_x$, the shoulder season total off mode power.

Determine the number of compressors as described in section 3.13.1.e of this appendix.

For single-package systems and blower coil systems for which the designated air mover is not a furnace or modular blower, divide the shoulder season total off mode power ($P1_x$) by the number of compressors to calculate *P1*, the shoulder season per-compressor off mode power. Round *P1* to the nearest watt. The expression for calculating *P1* is as follows:

$$P1 = \frac{P1_x}{number\ of\ compressors}.$$

For coil-only split systems and blower coil split systems for which a furnace or a modular blower is the designated air mover, subtract the low-voltage power (P_x) from the shoulder season total off mode power ($P1_x$) and divide by the number of compressors to calculate *P1*, the shoulder season per-compressor off mode power. Round *P1* to the nearest watt. The expression for calculating *P1* is as follows:

$$P1 = \frac{P1_x - P_x}{number\ of\ compressors}.$$

3.13.2 This Test Determines the Off Mode Average Power Rating for Central Air Conditioners and Heat Pumps for Which Ambient Temperature Can Affect the Measurement of Crankcase Heater Power

a. Test Sample Set-up and Power Measurement: Set up the test and measurement as described in section 3.13.1.a of this appendix.

b. Configure Controls: Position a temperature sensor to measure the outdoor dry-bulb temperature in the air between 2 and 6 inches from the crankcase heater control temperature sensor or, if no such temperature sensor exists, position it in the air between 2 and 6 inches from the crankcase heater. Utilize the temperature measurements from this sensor for this portion of the test procedure. Configure the controls of the central air conditioner or heat pump so that it operates as if connected to a building thermostat that is set to the OFF position. Use a compatible building thermostat if necessary to achieve this configuration.

Conduct the test after completion of the B, B_1, or B_2 test. Alternatively, start the test when the outdoor dry-bulb temperature is at 82 °F and the temperature of the compressor shell (or temperature of each compressor's shell if there is more than one compressor) is at least 81 °F. Then adjust the outdoor temperature at a rate of change of no more than 20 °F per hour and achieve an outdoor dry-bulb temperature of 72 °F. Maintain this temperature within ±2 °F while making the power measurement, as described in section 3.13.2.c of this appendix.

c. Measure $P1_x$: If the unit has a crankcase heater time delay, make sure that time delay function is disabled or wait until delay time has passed. Determine the average power from non-zero value data measured over a 5-minute interval of the non-operating central air conditioner or heat pump and designate the average power as $P1_x$, the shoulder season total off mode power. For units with crankcase heaters which operate during this part of the test and whose controls cycle or vary crankcase heater power over time, the test period shall consist of three complete crankcase heater cycles or 18 hours, whichever comes first. Designate the average power over the test period as $P1_x$, the shoulder season total off mode power.

d. Reduce outdoor temperature: Approach the target outdoor dry-bulb temperature by adjusting the outdoor temperature at a rate of change of no more than 20 °F per hour. This target temperature is five degrees Fahrenheit less than the temperature specified by the manufacturer in the DOE Compliance Certification Database at which the crankcase heater turns on. Maintain the target temperature within ±2 °F while making the power measurement, as described in section 3.13.2.e of this appendix.

e. Measure $P2_x$: If the unit has a crankcase heater time delay, make sure that time delay function is disabled or wait until delay time has passed. Determine the average non-zero power of the non-operating central air conditioner or heat pump over a 5-minute interval and designate it as $P2_x$, the heating season total off mode power. For units with crankcase heaters whose controls cycle or vary crankcase heater power over time, the test period shall consist of three complete crankcase heater cycles or 18 hours, whichever comes first. Designate the average power over the test period as $P2_x$, the heating season total off mode power.

f. Measure P_x for coil-only split systems and for blower coil split systems for which a furnace or modular blower is the designated air mover: Disconnect all low-voltage wiring for the *outdoor* components and *outdoor* controls from the low-voltage transformer. Determine the average power from non-zero value data measured over a 5-minute interval of the power supplied to the (remaining) low-voltage components of the central air conditioner or heat pump, or low-voltage power, P_x.. This power measurement does not include line power supplied to the outdoor unit. It is the line power supplied to the air mover, or, if a compatible transformer is used instead of an air mover, it is the line power supplied to the transformer primary coil. If a compatible transformer is used instead of an air mover and power output of the low-voltage secondary circuit is measured, P_x is zero.

g. Calculate *P1*:

Set the number of compressors equal to the unit's number of single-stage compressors plus 1.75 times the unit's number of compressors that are not single-stage.

For single-package systems and blower coil split systems for which the air mover is not a furnace or modular blower, divide the shoulder season total off mode power ($P1_x$) by the number of compressors to calculate *P1*, the shoulder season per-compressor off mode power. Round to the nearest watt. The expression for calculating *P1* is as follows:

$$P1 = \frac{P1_x}{number\ of\ compressors}.$$

For coil-only split systems and blower coil split systems for which a furnace or a modular blower is the designated air mover, subtract the low-voltage power (P_x) from the shoulder season total off mode power ($P1_x$) and divide by the number of compressors to calculate *P1*, the shoulder season per-compressor off mode power. Round to the nearest watt. The expression for calculating *P1* is as follows:

$$P1 = \frac{P1_x - P_x}{number\ of\ compressors}.$$

h. Calculate *P2*:

Determine the number of compressors as described in section 3.13.2.g of this appendix.

For single-package systems and blower coil split systems for which the air mover is not a furnace, divide the heating season total off mode power ($P2_x$) by the number of compressors to calculate *P2*, the heating season per-compressor off mode power. Round to the nearest watt. The expression for calculating *P2* is as follows:

$$P2 = \frac{P2_x}{number\ of\ compressors}.$$

For coil-only split systems and blower coil split systems for which a furnace or a modular blower is the designated air mover, subtract the low-voltage power (P_x) from the heating season total off mode power ($P2_x$) and divide by the number of compressors to calculate *P2*, the heating season per-compressor off mode power. Round to the nearest watt. The expression for calculating *P2* is as follows:

$$P2 = \frac{P2_x - P_x}{number\ of\ compressors}.$$

4. CALCULATIONS OF SEASONAL PERFORMANCE DESCRIPTORS

4.1 Seasonal Energy Efficiency Ratio (SEER) Calculations. SEER must be calculated as follows: For equipment covered under sections 4.1.2, 4.1.3, and 4.1.4 of this appendix, evaluate the seasonal energy efficiency ratio,

$$\text{Equation 4.1-1 } SEER = \frac{\sum_{j=1}^{8} q_c(T_j)}{\sum_{j=1}^{8} e_c(T_j)} = \frac{\sum_{j=1}^{8} \frac{q_c(T_j)}{N}}{\sum_{j=1}^{8} \frac{e_c(T_j)}{N}}$$

where:

$\frac{q_c(T_j)}{N}$ = the ratio of the total space cooling provided during periods of the space cooling season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the cooling season (N), Btu/h.

$\frac{e_c(T_j)}{N}$ = the electrical energy consumed by the test unit during periods of the space cooling season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the cooling season (N), W.

T_j = the outdoor bin temperature, °F. Outdoor temperatures are grouped or ''binned.'' Use bins of 5 °F with the 8 cooling season bin temperatures being 67, 72, 77, 82, 87, 92, 97, and 102 °F.

j = the bin number. For cooling season calculations, j ranges from 1 to 8.

Additionally, for sections 4.1.2, 4.1.3, and 4.1.4 of this appendix, use a building cooling load, $BL(T_j)$. When referenced, evaluate $BL(T_j)$ for cooling using,

$$\text{Equation 4.1-2 } BL(T_j) = \frac{(T_j - 65)}{95 - 65} * \frac{\dot{Q}_c^{k=2}(95)}{1.1}$$

where:

$\dot{Q}_c^{k=2}(95)$ = the space cooling capacity determined from the A_2 test and calculated as specified in section 3.3 of this appendix, Btu/h.

1.1 = sizing factor, dimensionless.

The temperatures 95 °F and 65 °F in the building load equation represent the selected outdoor design temperature and the zero-load base temperature, respectively.

4.1.1 SEER Calculations for a Blower Coil System Having a Single-Speed Compressor and Either a Fixed-Speed Indoor Blower or a Constant-Air-Volume-Rate Indoor Blower, or a Coil-Only System Air Conditioner or Heat Pump

a. Evaluate the seasonal energy efficiency ratio, expressed in units of Btu/watt-hour, using:

$SEER = PLF(0.5) * EER_B$

where:

$EER_B = \frac{\dot{Q}_c(82)}{\dot{E}_c(82)}$ = the energy efficiency ratio determined from the B test described in sections 3.2.1, 3.1.4.1, and 3.3 of this appendix, Btu/h per watt.

PLF(0.5) = 1 − 0.5 · C_D^c, the part-load performance factor evaluated at a cooling load factor of 0.5, dimensionless.

b. Refer to section 3.3 of this appendix regarding the definition and calculation of $\dot{Q}_c(82)$ and $\dot{E}_c(82)$. Evaluate the cooling mode cyclic degradation factor C_D^c as specified in section 3.5.3 of this appendix.

4.1.2 SEER Calculations for an Air Conditioner or Heat Pump Having a Single-Speed Compressor and a Variable-Speed Variable-Air-Volume-Rate Indoor Blower

4.1.2.1 Units Covered by Section 3.2.2.1 of This Appendix Where Indoor Blower Capacity Modulation Correlates With the Outdoor Dry Bulb Temperature

The manufacturer must provide information on how the indoor air volume rate or the indoor blower speed varies over the outdoor temperature range of 67 °F to 102 °F. Calculate SEER using Equation 4.1–1. Evaluate the quantity $q_c(T_j)/N$ in Equation 4.1–1 using,

Equation 4.1.2-1 $$\frac{q_c(T_j)}{N} = X(T_j) * \dot{Q}_c(T_j) * \frac{n_j}{N}$$

where:

$X(T_j) = \begin{Bmatrix} BL(T_j)/\dot{Q}_c(T_j) \\ or \\ 1 \end{Bmatrix}$ whichever is less; the cooling mode load factor for temperature bin j, dimensionless.

$\dot{Q}_c(T_j)$ = the space cooling capacity of the test unit when operating at outdoor temperature, T_j, Btu/h.

n_j/N = fractional bin hours for the cooling season; the ratio of the number of hours during the cooling season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the cooling season, dimensionless.

a. For the space cooling season, assign n_j/N as specified in Table 19. Use Equation 4.1–2 to calculate the building load, $BL(T_j)$. Evaluate $\dot{Q}_c(T_j)$ using,

Equation 4.1.2-2 $$\dot{Q}_c(T_j) = \dot{Q}_c^{k=1}(T_j) + \frac{\dot{Q}_c^{k=2}(T_j) - \dot{Q}_c^{k=1}(T_j)}{FP_c^{k=2} - FP_c^{k=1}} * \left[FP_c(T_j) - FP_c^{k=1}\right]$$

where:

$$\dot{Q}_c^{k=1}(T_j) = \dot{Q}_c^{k=1}(82) + \frac{\dot{Q}_c^{k=1}(95) - \dot{Q}_c^{k=1}(82)}{95 - 82} * (T_j - 82)$$

the space cooling capacity of the test unit at outdoor temperature T_j if operated at the cooling minimum air volume rate, Btu/h.

$$\dot{Q}_c^{k=2}(T_j) = \dot{Q}_c^{k=2}(82) + \frac{\dot{Q}_c^{k=2}(95) - \dot{Q}_c^{k=2}(82)}{95 - 82} * (T_j - 82)$$

the space cooling capacity of the test unit at outdoor temperature T_j if operated at the Cooling full-load air volume rate, Btu/h.

b. For units where indoor blower speed is the primary control variable, $FP_c^{k=1}$ denotes the fan speed used during the required A_1 and B_1 tests (see section 3.2.2.1 of this appendix), $FP_c^{k=2}$ denotes the fan speed used during the required A_2 and B_2 tests, and $FP_c(T_j)$ denotes the fan speed used by the unit when the outdoor temperature equals T_j. For units where indoor air volume rate is the primary control variable, the three FP_c's are similarly defined only now being expressed in terms of air volume rates rather than fan speeds. Refer to sections 3.2.2.1, 3.1.4 to 3.1.4.2, and 3.3 of this appendix regarding the definitions and calculations of $\dot{Q}_c^{k=1}(82)$, $\dot{Q}_c^{k=1}(95)$, $\dot{Q}_c^{k=2}(82)$, and $\dot{Q}_c^{k=2}(95)$.

Calculate $e_c(T_j)/N$ in Equation 4.1-1 using, Equation 4.1.2-3 $\frac{e_c(T_j)}{N} = \frac{X(T_j) * \dot{E}_c(T_j)}{PLF_j} * \frac{n_j}{N}$

where:

$PLF_j = 1 - C_D^c \cdot [1 - X(T_j)]$, the part load factor, dimensionless.

$\dot{E}_c(T_j)$ = the electrical power consumption of the test unit when operating at outdoor temperature T_j, W.

c. The quantities $X(T_j)$ and n_j/N are the same quantities as used in Equation 4.1.2–1. Evaluate the cooling mode cyclic degradation factor C_D^c as specified in section 3.5.3 of this appendix.

d. Evaluate $\dot{E}_c(T_j)$ using,

$$\dot{E}_c(T_j) = \dot{E}_c^{k=1}(T_j) + \frac{\dot{E}_c^{k=2}(T_j) - \dot{E}_c^{k=1}(T_j)}{\mathrm{FP}_c^{k=2} - \mathrm{FP}_c^{k=1}} * \left[\mathrm{FP}_c(T_j) - \mathrm{FP}_c^{k=1}\right]$$

where:

$$\dot{E}_c^{k=1}(T_j) = \dot{E}_c^{k=1}(82) + \frac{\dot{E}_c^{k=1}(95) - \dot{E}_c^{k=1}(82)}{95-82} * (T_j - 82)$$

the electrical power consumption of the test unit at outdoor temperature T_j if operated at the Cooling Minimum Air Volume Rate, W.

$\dot{E}_c^{k=2}(T_j) = \dot{E}_c^{k=2}(82) + \frac{\dot{E}_c^{k=2}(95) - \dot{E}_c^{k=2}(82)}{95-82} * (T_j - 82)$ the electrical power consumption of the test unit at outdoor temperature T_j if operated at the cooling full-load air volume rate, W.

e. The parameters $FP_c^{k=1}$, and $FP_c^{k=2}$, and $FP_c(T_j)$ are the same quantities that are used when evaluating Equation 4.1.2–2. Refer to sections 3.2.2.1, 3.1.4 to 3.1.4.2, and 3.3 of this appendix regarding the definitions and calculations of $\dot{E}_c^{k=1}(82)$, $\dot{E}_c^{k=1}(95)$, $\dot{E}_c^{k=2}(82)$, and $\dot{E}_c^{k=2}(95)$.

4.1.2.2 Units Covered by Section 3.2.2.2 of This Appendix Where Indoor Blower Capacity Modulation Is Used To Adjust the Sensible to Total Cooling Capacity Ratio.

Calculate SEER as specified in section 4.1.1 of this appendix.

4.1.3 SEER Calculations for an Air Conditioner or Heat Pump Having a Two-Capacity Compressor

Calculate SEER using Equation 4.1–1. Evaluate the space cooling capacity, $\dot{Q}_c^{k=1}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=1}(T_j)$, of the test unit when operating at low compressor capacity and outdoor temperature T_j using,

Equation 4.1.3-1 $$\dot{Q}_c^{k=1}(T_j) = \dot{Q}_c^{k=1}(67) + \frac{\dot{Q}_c^{k=1}(82) - \dot{Q}_c^{k=1}(67)}{82-67} * (T_j - 67)$$

Equation 4.1.3-2 $$\dot{E}_c^{k=1}(T_j) = \dot{E}_c^{k=1}(67) + \frac{\dot{E}_c^{k=1}(82) - \dot{E}_c^{k=1}(67)}{82-67} * (T_j - 67)$$

where $\dot{Q}_c^{k=1}(82)$ and $\dot{E}_c^{k=1}(82)$ are determined from the B_1 test, $\dot{Q}_c^{k=1}(67)$ and $\dot{E}_c^{k=1}(67)$ are determined from the F_1 test, and all four quantities are calculated as specified in section 3.3 of this appendix.

Evaluate the space cooling capacity, $\dot{Q}_c^{k=2}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=2}(T_j)$, of the test unit when operating at high compressor capacity and outdoor temperature T_j using,

Equation 4.1.3-3 $$\dot{Q}_c^{k=2}(T_j) = \dot{Q}_c^{k=2}(82) + \frac{\dot{Q}_c^{k=2}(95) - \dot{Q}_c^{k=2}(82)}{95-82} * (T_j - 82)$$

Equation 4.1.3-4 $$\dot{E}_c^{k=2}(T_j) = \dot{E}_c^{k=2}(82) + \frac{\dot{E}_c^{k=2}(95) - \dot{E}_c^{k=2}(82)}{95-82} * (T_j - 82)$$

where $\dot{Q}_c^{k=2}(95)$ and $\dot{E}_c^{k=2}(95)$ are determined from the A_2 test, $\dot{Q}_c^{k=2}(82)$, and $\dot{E}_c^{k=2}(82)$, are determined from the B_2test, and all are calculated as specified in section 3.3 of this appendix.

The calculation of Equation 4.1–1 quantities $q_c(T_j)/N$ and $e_c(T_j)/N$ differs depending on whether the test unit would operate at low capacity (section 4.1.3.1 of this appendix), cycle between low and high capacity (section 4.1.3.2 of this appendix), or operate at high capacity (sections 4.1.3.3 and 4.1.3.4 of this appendix) in responding to the building load. For units that lock out low capacity operation at higher outdoor temperatures, the outdoor temperature at which the unit locks out must be that specified by the manufacturer in the certification report so that the appropriate equations are used. Use Equation 4.1–2 to calculate the building load, $BL(T_j)$, for each temperature bin.

4.1.3.1 Steady-State Space Cooling Capacity at Low Compressor Capacity Is Greater Than or Equal to the Building Cooling Load at Temperature T_j, $\dot{Q}_c^{k=1}(T_j) \geq BL(T_j)$

$$\frac{q_c(T_j)}{N} = X^{k=1}(T_j) * \dot{Q}_c^{k=1}(T_j) * \frac{n_j}{N} \qquad \frac{e_c(T_j)}{N} = \frac{X^{k=1}(T_j) * \dot{E}_c^{k=1}(T_j)}{PLF_j} * \frac{n_j}{N}$$

where:

$X^{k=1}(T_j) = BL(T_j)/\dot{Q}_c^{k=1}(T_j)$, the cooling mode low capacity load factor for temperature bin j, dimensionless.

$PLF_j = 1 - C_D^c \cdot [1 - X^{k=1}(T_j)]$, the part load factor, dimensionless.

$\frac{n_j}{N}$ = fractional bin hours for the cooling season; the ratio of the number of hours during the cooling season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the cooling season, dimensionless.

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19. Use Equations 4.1.3–1 and 4.1.3–2, respectively, to evaluate $\dot{Q}_c^{k=1}(T_j)$ and $\dot{E}_c^{k=1}(T_j)$. Evaluate the cooling mode cyclic degradation factor C_D^c as specified in section 3.5.3 of this appendix.

TABLE 19—DISTRIBUTION OF FRACTIONAL HOURS WITHIN COOLING SEASON TEMPERATURE BINS

Bin number, j	Bin temperature range deg;F	Representative temperature for bin deg;F	Fraction of total temperature bin hours, n_j/N
1	65–69	67	0.214
2	70–74	72	0.231
3	75–79	77	0.216
4	80–84	82	0.161
5	85–89	87	0.104
6	90–94	92	0.052
7	95–99	97	0.018
8	100–104	102	0.004

4.1.3.2 Unit Alternates Between High (k=2) and Low (k=1) Compressor Capacity to Satisfy the Building Cooling Load at Temperature T_j, $\dot{Q}_c^{k=1}(T_j) < BL(T_j) < \dot{Q}_c^{k=2}(T_j)$

$$\frac{q_c(T_j)}{N} = [X^{k=1}(T_j) * \dot{Q}_c^{k=1}(T_j) + X^{k=2}(T_j) * \dot{Q}_c^{k=2}(T_j)] * \frac{n_j}{N}$$

$$\frac{e_c(T_j)}{N} = [X^{k=1}(T_j) * \dot{E}_c^{k=1}(T_j) + X^{k=2}(T_j) * \dot{E}_c^{k=2}(T_j)] * \frac{n_j}{N}$$

where:

$X^{k=1}(T_j) = \frac{\dot{Q}_c^{k=2}(T_j) - BL(T_j)}{\dot{Q}_c^{k=2}(T_j) - \dot{Q}_c^{k=1}(T_j)}$ the cooling mode, low capacity load factor for temperature bin j, dimensionless.

$X^{k=2}(T_j) = 1 - X^{k=1}(T_j)$, the cooling mode, high capacity load factor for temperature bin j, dimensionless.

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19. Use Equations 4.1.3–1 and 4.1.3–2, respectively, to evaluate $\dot{Q}_c^{k=1}(T_j)$ and $\dot{E}_c^{k=1}(T_j)$. Use Equations 4.1.3–3 and 4.1.3–4, respectively, to evaluate $\dot{Q}_c^{k=2}(T_j)$ and $\dot{E}_c^{k=2}(T_j)$.

4.1.3.3 Unit Only Operates at High (k=2) Compressor Capacity at Temperature T_j and Its Capacity Is Greater Than the Building Cooling Load, $BL(T_j)$ $\dot{Q}_c^{k=2}(T_j)$. This section applies to units that lock out low compressor capacity operation at higher outdoor temperatures.

$$\frac{q_c(T_j)}{N} = X^{k=2}(T_j) * \dot{Q}_c^{k=2}(T_j) * \frac{n_j}{N} \qquad \frac{e_c(T_j)}{N} = \frac{X^{k=2}(T_j) * \dot{E}_c^{k=2}(T_j)}{PLF_j} * \frac{n_j}{N}$$

where:

$X^{k=2}(T_j) = BL(T_j)/\dot{Q}_c^{k=2}(T_j)$, the cooling mode high capacity load factor for temperature bin j, dimensionless.

$PLF_j = 1 - C_D^c(k = 2) * [1 - X^{k=2}(T_j)$ the part load factor, dimensionless.

Obtain the fraction bin hours for the cooling season, $\frac{n_j}{N}$, from Table 19. Use Equations 4.1.3-3 and 4.1.3-4, respectively, to evaluate $\dot{Q}_c^{k=2}(T_j)$ and $\dot{E}_c^{k=2}(T_j)$. If the C_2 and D_2 tests described in section 3.2.3 and Table 7 of this appendix are not conducted, set C_D^c (k=2) equal to the default value specified in section 3.5.3 of this appendix.

4.1.3.4 Unit Must Operate Continuously at High (k=2) Compressor Capacity at Temperature T_j, $BL(T_j) \geq \dot{Q}_c^{k=2}(T_j)$

$$\frac{q_c(T_j)}{N} = \dot{Q}_c^{k=2}(T_j) * \frac{n_j}{N} \qquad \frac{e_c(T_j)}{N} = \dot{E}_c^{k=2}(T_j) * \frac{n_j}{N}$$

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19. Use Equations 4.1.3–3 and 4.1.3–4, respectively, to evaluate $\dot{Q}_c^{k=2}(T_j)$ and $\dot{E}_c^{k=2}(T_j)$.

4.1.4 SEER Calculations for an Air Conditioner or Heat Pump Having a Variable-Speed Compressor

Calculate SEER using Equation 4.1–1. Evaluate the space cooling capacity, $\dot{Q}_c^{k=1}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=1}(T_j)$, of the test unit when operating at minimum compressor speed and outdoor temperature T_j. Use,

$$\text{Equation 4.1.4-1} \quad \dot{Q}_c^{k=1}(T_j) = \dot{Q}_c^{k=1}(67) + \frac{\dot{Q}_c^{k=1}(82) - \dot{Q}_c^{k=1}(67)}{82-67} * (T_j - 67)$$

$$\text{Equation 4.1.4-2} \quad \dot{E}_c^{k=1}(T_j) = \dot{E}_c^{k=1}(67) + \frac{\dot{E}_c^{k=1}(82) - \dot{E}_c^{k=1}(67)}{82-67} * (T_j - 67)$$

where $\dot{Q}_c^{k=1}(82)$ and $\dot{E}_c^{k=1}(82)$ are determined from the B_1 test, $\dot{Q}_c^{k=1}(67)$ and $\dot{E}_c^{k=1}(67)$ are determined from the F1 test, and all four quantities are calculated as specified in section 3.3 of this appendix.

Evaluate the space cooling capacity, $\dot{Q}_c^{k=2}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=2}(T_j)$, of the test unit when operating at full compressor speed and outdoor temperature T_j. Use Equations 4.1.3–3 and 4.1.3–4, respectively, where $\dot{Q}_c^{k=2}(95)$ and $\dot{E}_c^{k=2}(95)$ are determined from the A_2 test, $\dot{Q}_c^{k=2}(82)$ and $\dot{E}_c^{k=2}(82)$ are determined from the B_2 test, and all four quantities are calculated as specified in section 3.3 of this appendix. Calculate the space cooling capacity, $\dot{Q}_c^{k=v}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=v}(T_j)$, of the test unit when operating at outdoor temperature T_j and the intermediate compressor speed used during the section 3.2.4 (and Table 8) E_V test of this appendix using,

$$\text{Equation 4.1.4-3} \quad \dot{Q}_c^{k=v}(T_j) = \dot{Q}_c^{k=v}(87) + M_Q * (T_j - 87)$$

$$\text{Equation 4.1.4-4} \quad \dot{E}_c^{k=v}(T_j) = \dot{E}_h^{k=v}(87) + M_E * (T_j - 87)$$

where $\dot{Q}_c^{k=v}(87)$ and $\dot{E}_c^{k=v}(87)$ are determined from the E_V test and calculated as specified in section 3.3 of this appendix. Approximate the slopes of the k=v intermediate speed cooling capacity and electrical power input curves, M_Q and M_E, as follows:

$$M_Q = \left[\frac{\dot{Q}_c^{k=1}(82) - \dot{Q}_c^{k=1}(67)}{82-67} * (1 - N_Q)\right] + \left[N_Q * \frac{\dot{Q}_c^{k=2}(95) - \dot{Q}_c^{k=2}(82)}{95-82}\right]$$

$$M_E = \left[\frac{\dot{E}_c^{k=1}(82) - \dot{E}_c^{k=1}(67)}{82-67} * (1 - N_E)\right] + \left[N_E * \frac{\dot{E}_c^{k=2}(95) - \dot{E}_c^{k=2}(82)}{95-82}\right]$$

where,

$$N_Q = \frac{\dot{Q}_c^{k=v}(87) - \dot{Q}_c^{k=1}(87)}{\dot{Q}_c^{k=2}(87) - \dot{Q}_c^{k=1}(87)} \qquad N_E = \frac{\dot{E}_c^{k=v}(87) - \dot{E}_c^{k=1}(87)}{\dot{E}_c^{k=2}(87) - \dot{E}_c^{k=1}(87)}$$

Use Equations 4.1.4–1 and 4.1.4–2, respectively, to calculate $\dot{Q}_c^{k=1}(87)$ and $\dot{E}_c^{k=1}(87)$.

4.1.4.1 Steady-State Space Cooling Capacity When Operating at Minimum Compressor Speed Is Greater Than or Equal to the Building Cooling Load at Temperature T_j, $\dot{Q}_c^{k=1}(T_j) \geq BL(T_j)$

$$\frac{q_c(T_j)}{N} = X^{k=1}(T_j) * \dot{Q}_c^{k=1}(T_j) * \frac{n_j}{N} \qquad \frac{e_c(T_j)}{N} = \frac{X^{k=1}(T_j) * \dot{E}_c^{k=1}(T_j)}{PLF_j} * \frac{n_j}{N}$$

where:

$X^{k=1}(T_j)$ = $BL(T_j)/\dot{Q}_c^{k=1}(T_j)$, the cooling mode minimum speed load factor for temperature bin j, dimensionless.

$PLF_j = 1 - C_D^c \cdot [1 - X^{k=1}(T_j)]$, the part load factor, dimensionless.

n_j/N = fractional bin hours for the cooling season; the ratio of the number of hours during the cooling season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the cooling season, dimensionless.

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19. Use Equations 4.1.3–1 and 4.1.3–2, respectively, to evaluate $\dot{Q}_c^{k=1}(T_j)$ and $\dot{E}_c^{k=1}(T_j)$. Evaluate the cooling mode cyclic degradation factor C_D^c as specified in section 3.5.3 of this appendix.

4.1.4.2 Unit Operates at an Intermediate Compressor Speed (k=i) In Order To Match the Building Cooling Load at Temperature T_j, $\dot{Q}_c^{k=1}(T_j) < BL(T_j) < \dot{Q}_c^{k=2}(T_j)$

$$\frac{q_c(T_j)}{N} = \dot{Q}_c^{k=i}(T_j) * \frac{n_j}{N}$$

$$\frac{e_c(T_j)}{N} = \dot{E}_c^{k=i}(T_j) * \frac{n_j}{N}$$

Where:

$\dot{Q}_c^{k=i}(T_j) = BL(T_j)$, the space cooling capacity delivered by the unit in matching the building load at temperature T_j, Btu/h. The matching occurs with the unit operating at compressor speed k=i.

$\dot{E}_c^{k=i}(T_j) = \frac{\dot{Q}_c^{k=i}(T_j)}{EER^{k=i}(T_j)}$, the electrical power input required by the test unit when operating at a compressor speed of k=i and temperature T_j, W.

$EER^{k=i}(T_j)$ = the steady-state energy efficiency ratio of the test unit when operating at a compressor speed of k=i and temperature T_j, Btu/h per W.

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19 to this appendix. For each temperature bin where the unit operates at an intermediate compressor speed, determine the energy efficiency ratio $EER^{k=i}(T_j)$ using, $EER^{k=i}(T_j) = A + B\ T_j + C * T^2_j$.

For each unit, determine the coefficients A, B, and C by conducting the following calculations once:

$$A = EER^{k=2}(T_2) - (B * T_2) - (C * T_2^2)$$

$$B = \frac{EER^{k=1}(T_1) - EER^{k=2}(T_2) - D * [EER^{k=1}(T_1) - EER^{k=v}(T_v)]}{T_1 - T_2 - D * (T_1 - T_v)}$$

$$C = \frac{EER^{k=1}(T_1) - EER^{k=2}(T_2) - B * (T_1 - T_2)}{T_1^2 - T_2^2}$$

$$D = \frac{T_2^2 - T_1^2}{T_v^2 - T_1^2}$$

Where:

T_1 = the outdoor temperature at which the unit, when operating at minimum compressor speed, provides a space cooling capacity that is equal to the building load ($\dot{Q}_c^{k=1}(T_1) = BL(T_1)$), °F. Determine T_1 by equating Equations 4.1.3–1 and 4.1–2 to this appendix and solving for outdoor temperature.

T_v = the outdoor temperature at which the unit, when operating at the intermediate compressor speed used during the section 3.2.4 E_v test of this appendix, provides a space cooling capacity that is equal to the building load ($\dot{Q}_c^{k=v}(T_v) = BL(T_v)$), °F. Determine T_v by equating Equations 4.1.4–3 and 4.1–2 to this appendix and solving for outdoor temperature.

T_2 = the outdoor temperature at which the unit, when operating at full compressor speed, provides a space cooling capacity that is equal to the building load ($\dot{Q}_c^{k=2}(T_2) = BL(T_2)$), °F. Determine T_2 by equating Equations 4.1.3–3 and 4.1–2 to this appendix and solving for outdoor temperature.

$$EER^{k=1}(T_1) = \frac{\dot{Q}_c^{k=1}(T_1)\,[Equation\ 4.1.4{-}1,\ substituting\ T_1\ for\ T_j]}{\dot{E}_c^{k=1}(T_1)\,[Equation\ 4.1.4{-}2,\ substituting\ T_1\ for\ T_j]}, \text{ Btu/h per W}$$

$$EER^{k=v}(T_v) = \frac{\dot{Q}_c^{k=v}(T_v)\,[Equation\ 4.1.4{-}3,\ substituting\ T_v\ for\ T_j]}{\dot{E}_c^{k=v}(T_v)\,[Equation\ 4.1.4{-}4,\ substituting\ T_v\ for\ T_j]}, \text{ Btu/h per W}$$

$$EER^{k=2}(T_2) = \frac{\dot{Q}_c^{k=2}(T_2)\,[Equation\ 4.1.3{-}3,\ substituting\ T_2\ for\ T_j]}{\dot{E}_c^{k=2}(T_2)\,[Equation\ 4.1.3{-}4,\ substituting\ T_2\ for\ T_j]}, \text{ Btu/h per W}$$

4.1.4.3 Unit Must Operate Continuously at Full (k=2) Compressor Speed at Temperature Tj, $BL(T_j) \geq \dot{Q}_c^{k=2}(T_j)$. Evaluate the Equation 4.1–1 Quantities

$$\frac{q_c(T_j)}{N} \text{ and } \frac{e_c(T_j)}{N}$$

as specified in section 4.1.3.4 of this appendix with the understanding that $\dot{Q}_c^{k=2}(T_j)$ and $\dot{E}_c^{k=2}(T_j)$ correspond to full compressor speed operation and are derived from the results of the tests specified in section 3.2.4 of this appendix.

4.1.5 SEER Calculations for an Air Conditioner or Heat Pump Having a Single Indoor Unit With Multiple Indoor Blowers

Calculate SEER using Eq. 4.1–1, where $q_c(Tj)/N$ and $e_c(Tj)/N$ are evaluated as specified in the applicable subsection.

4.1.5.1 For Multiple Indoor Blower Systems That Are Connected to a Single, Single-Speed Outdoor Unit

a. Calculate the space cooling capacity, $\dot{Q}_c^{k=1}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=1}(T_j)$, of the test unit when operating at the cooling minimum air volume rate and outdoor temperature T_j using the equations given in section 4.1.2.1 of this appendix. Calculate the space cooling capacity, $\dot{Q}_c^{k=2}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=2}(T_j)$, of the test unit when operating at the cooling full-load air volume rate and outdoor temperature T_j using the equations given in section 4.1.2.1 of this appendix. In evaluating the section 4.1.2.1 equations, determine the quantities $\dot{Q}_c^{k=1}(82)$ and $\dot{E}_c^{k=1}(82)$ from the B1 test, $\dot{Q}_c^{k=1}(95)$ and $\dot{E}_c^{k=1}(95)$ from the A1 test, $\dot{Q}_c^{k=2}(82)$ and $\dot{E}_c^{k=2}(82)$ from the B2 test, and $\dot{Q}_c^{k=2}(95)$ and $\dot{E}_c^{k=2}(95)$ from the A2 test. Evaluate all eight quantities as specified in section 3.3 of this appendix. Refer to section 3.2.2.1 and Table 6 of this appendix for additional information on the four referenced laboratory tests.

b. Determine the cooling mode cyclic degradation coefficient, CD_c, as per sections 3.2.2.1 and 3.5 to 3.5.3 of this appendix. Assign this same value to $CD_c(K=2)$.

c. Except for using the above values of $\dot{Q}_c^{k=1}(T_j)$, $\dot{E}_c^{k=1}(T_j)$, $\dot{E}_c^{k=2}(T_j)$, $\dot{Q}_c^{k=2}(T_j)$, CD_c, and CD_c (K=2), calculate the quantities $q_c(T_j)/N$ and $e_c(T_j)/N$ as specified in section 4.1.3.1 of this appendix for cases where $\dot{Q}_c^{k=1}(T_j) \geq BL(T_j)$. For all other outdoor bin temperatures, T_j, calculate $q_c(Tj)/N$ and $e_c(Tj)/N$ as specified in section 4.1.3.3 of this appendix if $\dot{Q}_c^{k=2}(T_j) > BL(T_j)$ or as specified in section 4.1.3.4 of this appendix if $\dot{Q}_c^{k=2}(T_j) \leq BL(T_j)$.

4.1.5.2 Unit Operates at an Intermediate Compressor Speed (k=i) In Order To Match the Building Cooling Load at Temperature T_j, $\dot{Q}_c^{k=1}(T_j) < BL(T_j) < \dot{Q}_c^{k=2}(T_j)$

$$\frac{q_c(T_j)}{N} = \dot{Q}_c^{k=i}(T_j) * \frac{n_j}{N} \qquad \frac{e_c(T_j)}{N} = \dot{E}_c^{k=i}(T_j) * \frac{n_j}{N}$$

where,

$\dot{Q}_c^{k=i}(T_j) = BL(T_j)$, the space cooling capacity delivered by the unit in matching the building load at temperature T_j, Btu/h. The matching occurs with the unit operating at compressor speed k = i.

$\dot{E}_c^{k=i}(T_j) = \frac{\dot{Q}_c^{k=i}(T_j)}{EER^{k=i}(T_j)}$, the electrical power input required by the test unit when operating at a compressor speed of k = i and temperature T_j, W.

$EER^{k=i}(T_j)$, the steady-state energy efficiency ratio of the test unit when operating at a compressor speed of k = i and temperature T_j, Btu/h per W.

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19. For each temperature bin where the unit operates at an intermediate compressor speed, determine the energy efficiency ratio $EER^{k=i}(T_j)$ using the following equations,

For each temperature bin where $\dot{Q}_c^{k=1}(T_j) < BL(T_j) < \dot{Q}_c^{k=v}(T_j)$,

$$EER^{k=i}(T_j) = EER^{k=1}(T_j) + \frac{EER^{k=v}(T_j) - EER^{k=1}(T_j)}{Q^{k=v}(T_j) - Q^{k=1}(T_j)} * (BL(T_j) - Q^{k=1}(T_j))$$

For each temperature bin where $\dot{Q}_c^{k=v}(T_j) \leq BL(T_j) < \dot{Q}_c^{k=2}(T_j)$,

$$EER^{k=i}(T_j) = EER^{k=v}(T_j) + \frac{EER^{k=2}(T_j) - EER^{k=v}(T_j)}{Q^{k=2}(T_j) - Q^{k=v}(T_j)} * (BL(T_j) - Q^{k=v}(T_j))$$

Where:

$EER^{k=1}(T_j)$ is the steady-state energy efficiency ratio of the test unit when operating at minimum compressor speed and temperature Tj, Btu/h per W, calculated using capacity $\dot{Q}_c^{k=1}(T_j)$ calculated using Equation 4.1.4–1 and electrical power consumption $\dot{E}_c^{k=1}(T_j)$ calculated using Equation 4.1.4–2;

$EER^{k=v}(T_j)$ is the steady-state energy efficiency ratio of the test unit when operating at intermediate compressor speed and temperature Tj, Btu/h per W, calculated using capacity $\dot{Q}_c^{k=v}(T_j)$ calculated using Equation 4.1.4–3 and electrical power consumption $\dot{E}_c^{k=v}(T_j)$ calculated using Equation 4.1.4–4;

$EER^{k=2}(T_j)$ is the steady-state energy efficiency ratio of the test unit when operating at full compressor speed and temperature Tj, Btu/h per W, calculated using capacity $\dot{Q}_c^{k=2}(T_j)$ and electrical power consumption $\dot{E}_c^{k=2}(T_j)$, both calculated as described in section 4.1.4; and

$BL(T_j)$ is the building cooling load at temperature T_j, Btu/h.

4.2 Heating Seasonal Performance Factor (HSPF) Calculations

Unless an approved alternative efficiency determination method is used, as set forth in 10 CFR 429.70(e), HSPF must be calculated as follows: Six generalized climatic regions are depicted in Figure 1 and otherwise defined in Table 20. For each of these regions and for each applicable standardized design heating requirement, evaluate the heating seasonal performance factor using,

Equation 4.2-1

$$HSPF = \frac{\sum_j^J n_j * BL(T_j)}{\sum_j^J e_h(T_j) + \sum_j^J RH(T_j)} * F_{def} = \frac{\sum_j^J \left[\frac{n_j}{N} * BL(T_j)\right]}{\sum_j^J \frac{e_h(T_j)}{N} + \sum_j^J \frac{RH(T_j)}{N}} * F_{def}$$

where:

$e2(T_j)/N$ = The ratio of the electrical energy consumed by the heat pump during periods of the space heating season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the heating season (N), W. For heat pumps having a heat comfort controller, this ratio may also include electrical energy used by resistive elements to maintain a minimum air delivery temperature (see 4.2.5).

$RH(T_j)/N$ = The ratio of the electrical energy used for resistive space heating during periods when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the heating season (N), W. Except as noted in section 4.2.5 of this appendix, resistive space heating is modeled as being used to meet that portion of the building load that the heat pump does not meet because of insufficient capacity or because the heat pump automatically turns off at the lowest outdoor temperatures. For heat pumps having a heat comfort controller, all or part of the electrical energy used by resistive heaters at a particular bin temperature may be reflected in $e_h(T_j)/N$ (see section 4.2.5 of this appendix).

T_j = the outdoor bin temperature, °F. Outdoor temperatures are ''binned'' such that calculations are only performed based one temperature within the bin. Bins of 5 °F are used.

n_j/N= Fractional bin hours for the heating season; the ratio of the number of hours during the heating season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the heating season, dimensionless. Obtain n_j/N values from Table 20.

j = the bin number, dimensionless.

J = for each generalized climatic region, the total number of temperature bins, dimensionless. Referring to Table 20, J is the highest bin number (j) having a nonzero entry for the fractional bin hours for the generalized climatic region of interest.

F_{def} = the demand defrost credit described in section 3.9.2 of this appendix, dimensionless.

$BL(T_j)$ = the building space conditioning load corresponding to an outdoor temperature of T_j; the heating season building load also depends on the generalized climatic region's outdoor design temperature and the design heating requirement, Btu/h.

TABLE 20—GENERALIZED CLIMATIC REGION INFORMATION

	Region No.					
	I	II	III	IV	V	VI
Heating Load Hours, HLH	750	1,250	1,750	2,250	2,750	*2,750
Outdoor Design Temperature, T_{OD}	37	27	17	5	−10	30
j T_j (°F)	Fractional Bin Hours, n_j/N					
1 62	.291	.215	.153	.132	.106	.113
2 57	.239	.189	.142	.111	.092	.206
3 52	.194	.163	.138	.103	.086	.215
4 47	.129	.143	.137	.093	.076	.204
5 42	.081	.112	.135	.100	.078	.141
6 37	.041	.088	.118	.109	.087	.076
7 32	.019	.056	.092	.126	.102	.034
8 27	.005	.024	.047	.087	.094	.008
9 22	.001	.008	.021	.055	.074	.003
10 17	0	.002	.009	.036	.055	0
11 12	0	0	.005	.026	.047	0
12 7	0	0	.002	.013	.038	0
13 2	0	0	.001	.006	.029	0
14 −3	0	0	0	.002	.018	0
15 −8	0	0	0	.001	.010	0
16 −13	0	0	0	0	.005	0
17 −18	0	0	0	0	.002	0
18 −23	0	0	0	0	.001	0

*Pacific Coast Region.

Evaluate the building heating load using

$$\text{Equation 4.2-2} \qquad BL(T_j) = \frac{(65-T_j)}{65-T_{OD}} * C * DHR$$

Where:

T_{OD} = the outdoor design temperature, °F. An outdoor design temperature is specified for each generalized climatic region in Table 20.

C = 0.77, a correction factor which tends to improve the agreement between calculated and measured building loads, dimensionless.

DHR = the design heating requirement (see section 1.2 of this appendix, Definitions), Btu/h.

Calculate the minimum and maximum design heating requirements for each generalized climatic region as follows:

$$DHR_{min} = \begin{Bmatrix} \dot{Q}_h^k(47) * \left[\frac{65 - T_{OD}}{60}\right], for\ Regions\ I, II, III, IV, \& VI \\ \dot{Q}_h^k(47), \qquad for\ Region\ V \end{Bmatrix}$$

and

$$DHR_{max} = \begin{Bmatrix} 2 * \dot{Q}_h^k(47) * \left[\frac{65 - T_{OD}}{60}\right], for\ Regions\ I, II, III, IV, \& VI \\ 2.2 * \dot{Q}_h^k(47), \qquad for\ Region\ V \end{Bmatrix}$$

Rounded to the nearest standardized DHR given in Table 20

where $\dot{Q}_h^k(47)$ is expressed in units of Btu/h and otherwise defined as follows:

a. For a single-speed heat pump tested as per section 3.6.1 of this appendix, $\dot{Q}_h^k(47) = \dot{Q}_h(47)$, the space heating capacity determined from the H1 test.

b. For a section 3.6.2 single-speed heat pump or a two-capacity heat pump not covered by item d, $\dot{Q}_h^k(47) = \dot{Q}_h^{k=2}(47)$, the space heating capacity determined from the H1 or $H1_2$ test.

c. For a variable-speed heat pump, $\dot{Q}_h^k(47) = \dot{Q}_h^{k=N}(47)$, the space heating capacity determined from the $H1_N$ test.

d. For two-capacity, northern heat pumps (see section 1.2 of this appendix, Definitions), $\dot{Q}^k{}_h(47) = \dot{Q}^{k=1}{}_h(47)$, the space heating capacity determined from the $H1_1$ test.

For all heat pumps, HSPF accounts for the heating delivered and the energy consumed by auxiliary resistive elements when operating below the balance point. This condition occurs when the building load exceeds the space heating capacity of the heat pump condenser. For HSPF calculations for all heat pumps, see either section 4.2.1, 4.2.2, 4.2.3, or 4.2.4 of this appendix, whichever applies.

For heat pumps with heat comfort controllers (see section 1.2 of this appendix, Definitions), HSPF also accounts for resistive heating contributed when operating above the heat-pump-plus-comfort-controller balance point as a result of maintaining a minimum supply temperature. For heat pumps having a heat comfort controller, see section 4.2.5 of this appendix for the additional steps required for calculating the HSPF.

TABLE 21—STANDARDIZED DESIGN HEATING REQUIREMENTS

[Btu/h]
5,000
10,000
15,000
20,000
25,000
30,000
35,000
40,000
50,000
60,000
70,000
80,000
90,000
100,000
110,000
130,000

4.2.1 Additional Steps for Calculating the HSPF of a Blower Coil System Heat Pump Having a Single-Speed Compressor and Either a Fixed-Speed Indoor Blower or a Constant-Air-Volume-Rate Indoor Blower Installed, or a Coil-Only System Heat Pump

Equation 4.2.1-1 $$\frac{e_h(T_j)}{N} = \frac{X(T_j)*\dot{E}_h(T_j)*\delta(T_j)}{PLF_j} * \frac{n_j}{N}$$

Equation 4.2.1-2 $$\frac{RH(T_j)}{N} = \frac{BL(T_j)-[X(T_j)*\dot{Q}_h(T_j)*\delta(T_j)]}{3.413\frac{Btu/h}{W}} * \frac{n_j}{N}$$

Where:

$$X(T_j) = \left\{ \begin{matrix} BL(T_J)/\dot{Q}_h(T_j) \\ or \\ 1 \end{matrix} \right\}$$

whichever is less; the heating mode load factor for temperature bin j, dimensionless.

$\dot{Q}_h(T_j)$ = the space heating capacity of the heat pump when operating at outdoor temperature T_j, Btu/h.

$\dot{E}_h(T_j)$ = the electrical power consumption of the heat pump when operating at outdoor temperature T_j, W.

$\delta(T_j)$ = the heat pump low temperature cut-out factor, dimensionless.

$PLF_j = 1 - \dot{C}_D{}^h \cdot [1 - X(T_j)]$ the part load factor, dimensionless.

Use Equation 4.2–2 to determine $BL(T_j)$. Obtain fractional bin hours for the heating season, n_j/N, from Table 20. Evaluate the heating mode cyclic degradation factor $\dot{C}_D{}^h$ as specified in section 3.8.1 of this appendix.

Determine the low temperature cut-out factor using

Equation 4.2.1-3 $$\delta(T_j) = \left\{ \begin{matrix} 0, if\ T_j \le T_{off}\ or\ \frac{\dot{Q}_h(T_j)}{3.413*\dot{E}_h(T_j)} < 1 \\ 1/2\,, if\ T_{off} < T_j \le T_{on}\ and\ \frac{\dot{Q}_h(T_j)}{3.413*\dot{E}_h(T_j)} \ge 1 \\ 1, if\ T_j > T_{on}\ and\ \frac{\dot{Q}_h(T_j)}{3.413*\dot{E}_h(T_j)} \ge 1 \end{matrix} \right\}$$

Where:

T_{off} = the outdoor temperature when the compressor is automatically shut off, °F. (If no such temperature exists, T_j is always greater than T_{off} and T_{on}).

T_{on} = the outdoor temperature when the compressor is automatically turned back on, if applicable, following an automatic shut-off, °F.

Calculate $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ using,

Equation 4.2.1-4

$$\dot{Q}_h(T_j) = \begin{cases} \dot{Q}_h(17) + \frac{[\dot{Q}_h(47) - \dot{Q}_h(17)] * (T_j - 17)}{47 - 17}, & if\ T_j \geq 45\ °\text{F}\ or\ T_j \leq 17\ °\text{F} \\ \dot{Q}_h(17) + \frac{[\dot{Q}_h(35) - \dot{Q}_h(17)] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} < T_j < 45\ °\text{F} \end{cases}$$

Equation 4.2.1-5

$$\dot{E}_h(T_j) = \begin{cases} \dot{E}_h(17) + \frac{\left[\dot{E}_h(47) - \dot{E}_h(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j \geq 45\ °\text{F}\ or\ T_j \leq 17\ °\text{F} \\ \dot{E}_h(17) + \frac{\left[\dot{E}_h(35) - \dot{E}_h(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} < T_j < 45\ °\text{F} \end{cases}$$

where $\dot{Q}_h(47)$ and $\dot{E}_h(47)$ are determined from the H1 test and calculated as specified in section 3.7 of this appendix; $\dot{Q}_h(35)$ and $\dot{E}_h(35)$ are determined from the H2 test and calculated as specified in section 3.9.1 of this appendix; and $\dot{Q}_h(17)$ and $\dot{E}_h(17)$ are determined from the H3 test and calculated as specified in section 3.10 of this appendix.

4.2.2 Additional Steps for Calculating the HSPF of a Heat Pump Having a Single-Speed Compressor and a Variable-Speed, Variable-Air-Volume-Rate Indoor Blower

The manufacturer must provide information about how the indoor air volume rate or the indoor blower speed varies over the outdoor temperature range of 65 °F to −23 °F. Calculate the quantities

$$\frac{e_h(T_j)}{N} \text{ and } \frac{RH(T_j)}{N}$$

in Equation 4.2–1 as specified in section 4.2.1 of this appendix with the exception of replacing references to the H1C test and section 3.6.1 of this appendix with the $H1C_1$ test and section 3.6.2 of this appendix. In addition, evaluate the space heating capacity and electrical power consumption of the heat pump $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ using

Equation 4.2.2-1

$$\dot{Q}_h(T_j) = \dot{Q}_h^{k=1}(T_j) + \frac{\dot{Q}_h^{k=2}(T_j) - \dot{Q}_h^{k=1}(T_j)}{FP_h^{k=2} - FP_h^{k=1}} * \left[FP_h(T_j) - FP_h^{k=1}\right]$$

Equation 4.2.2-2

$$\dot{E}_h(T_j) = \dot{E}_h^{k=1}(T_j) + \frac{\dot{E}_h^{k=2}(T_j) - \dot{E}_h^{k=1}(T_j)}{FP_h^{k=2} - FP_h^{k=1}} * \left[FP_h(T_j) - FP_h^{k=1}\right]$$

where the space heating capacity and electrical power consumption at both low capacity (k=1) and high capacity (k=2) at outdoor temperature Tj are determined using

Equation 4.2.2-3 $$\dot{Q}_h^k(T_j) = \begin{cases} \dot{Q}_h^k(17) + \frac{\left[\dot{Q}_h^k(47) - \dot{Q}_h^k(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j \geq 45\ °\text{F}\ or\ T_j \leq 17\ °\text{F} \\ \dot{Q}_h^k(17) + \frac{\left[\dot{Q}_h^k(35) - \dot{Q}_h^k(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} < T_j < 45\ °\text{F} \end{cases}$$

Equation 4.2.2-4

$$\dot{E}_h^k(T_j) = \begin{cases} \dot{E}_h^k(17) + \frac{\left[\dot{E}_h^k(47) - \dot{E}_h^k(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j \geq 45\ °\text{F}\ or\ T_j \leq 17\ °\text{F} \\ \dot{E}_h^k(17) + \frac{\left[\dot{E}_h^k(35) - \dot{E}_h^k(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} < T_j < 45\ °\text{F} \end{cases}$$

For units where indoor blower speed is the primary control variable, $FP_h^{k=1}$ denotes the fan speed used during the required $H1_1$ and $H3_1$ tests (see Table 12), $FP_h^{k=2}$ denotes the fan speed used during the required $H1_2$, $H2_2$, and $H3_2$ tests, and $FP_h(T_j)$ denotes the fan speed used by the unit when the outdoor temperature equals T_j. For units where indoor air volume rate is the primary control variable, the three FP_h's are similarly defined only now being expressed in terms of air volume rates rather than fan speeds. Determine $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ from the $H1_1$ test, and $\dot{Q}_h^{k=2}(47)$ and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test. Calculate all four quantities as specified in section 3.7 of this appendix. Determine $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ as specified in section 3.6.2 of this appendix; determine $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ and from the $H2_2$ test and the calculation specified in section 3.9 of this appendix. Determine $\dot{Q}_h^{k=1}(17)$ and $\dot{E}_h^{k=1}(17)$ from the $H3_1$ test, and $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test. Calculate all four quantities as specified in section 3.10 of this appendix.

4.2.3 Additional Steps for Calculating the HSPF of a Heat Pump Having a Two-Capacity Compressor

The calculation of the Equation 4.2–1 to this appendix quantities differ depending upon whether the heat pump would operate at low capacity (section 4.2.3.1 of this appendix), cycle between low and high capacity (section 4.2.3.2 of this appendix), or operate at high capacity (sections 4.2.3.3 and 4.2.3.4 of this appendix) in responding to the building load. For heat pumps that lock out low capacity operation at low outdoor temperatures, the outdoor temperature at which the unit locks out must be that specified by the manufacturer in the certification report so that the appropriate equations can be selected.

a. Evaluate the space heating capacity and electrical power consumption of the heat pump when operating at low compressor capacity and outdoor temperature T_j using

$$\dot{Q}_h^{k=1}(T_j) = \begin{cases} \dot{Q}_h^{k=1}(47) + \frac{\left[\dot{Q}_h^{k=1}(62) - \dot{Q}_h^{k=1}(47)\right] * (T_j - 47)}{62 - 47}, & if\ T_j \geq 40\ °\text{F} \\ \dot{Q}_h^{k=1}(17) + \frac{\left[\dot{Q}_h^{k=1}(35) - \dot{Q}_h^{k=1}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \leq T_j < 40\ °\text{F} \\ \dot{Q}_h^{k=1}(17) + \frac{\left[\dot{Q}_h^{k=1}(47) - \dot{Q}_h^{k=1}(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j < 17\ °\text{F} \end{cases}$$

$$\dot{E}_h^{k=1}(T_j) = \begin{cases} \dot{E}_h^{k=1}(47) + \frac{\left[\dot{E}_h^{k=1}(62) - \dot{E}_h^{k=1}(47)\right] * (T_j - 47)}{62 - 47}, & if\ T_j \geq 40\ °\text{F} \\ \dot{E}_h^{k=1}(17) + \frac{\left[\dot{E}_h^{k=1}(35) - \dot{E}_h^{k=1}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \leq T_j < 40\ °\text{F} \\ \dot{E}_h^{k=1}(17) + \frac{\left[\dot{E}_h^{k=1}(47) - \dot{E}_h^{k=1}(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j < 17\ °\text{F} \end{cases}$$

b. Evaluate the space heating capacity and electrical power consumption ($\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$) of the heat pump when operating at high compressor capacity and outdoor temperature Tj by solving Equations 4.2.2–3 and 4.2.2–4, respectively, for k=2. Determine $\dot{Q}_h^{k=1}(62)$ and $\dot{E}_h^{k=1}(62)$ from the $H0_1$ test, $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ from the $H1_1$ test, and $\dot{Q}_h^{k=2}(47)$ and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test. Calculate all six quantities as specified in section 3.7 of this appendix. Determine $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ from the $H2_2$ test and, if required as described in section 3.6.3 of this appendix, determine $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ from the $H2_1$ test. Calculate the required 35 °F quantities as specified in section 3.9 of this appendix. Determine $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test and, if required as described in section 3.6.3 of this appendix, determine $\dot{Q}_h^{k=1}(17)$ and $\dot{E}_h^{k=1}(17)$ from the $H3_1$ test. Calculate the required 17 °F quantities as specified in section 3.10 of this appendix.

4.2.3.1 Steady-State Space Heating Capacity When Operating at Low Compressor Capacity is Greater Than or Equal to the Building Heating Load at Temperature T_j, $\dot{Q}_h^{k=1}(T_j) \geq BL(T_j)$

$$\text{Equation 4.2.3-1} \quad \frac{e_h(T_j)}{N} = \frac{X^{k=1}(T_j) * \dot{E}_h^{k=1}(T_j) * \delta(T_j)}{PLF_j} * \frac{n_j}{N}$$

$$\text{Equation 4.2.3-2} \quad \frac{RH(T_j)}{N} = \frac{BL(T_j) * [1 - \delta(T_j)]}{3.413 \frac{Btu/h}{W}} * \frac{n_j}{N}$$

Where:

$X^{k=1}(T_j) = BL(T_j)/\dot{Q}_h^{k=1}(T_j)$, the heating mode low capacity load factor for temperature bin *j*, dimensionless.

$PLF_j = 1 - C_D^h \cdot [\, 1 - X^{k=1}(T_j) \,]$, the part load factor, dimensionless.

$\delta'(T_j)$ = the low temperature cutoff factor, dimensionless.

Evaluate the heating mode cyclic degradation factor C_D^h as specified in section 3.8.1 of this appendix.

Determine the low temperature cut-out factor using

$$\text{Equation 4.2.3-3} \quad \delta(T_j) = \begin{cases} 0, \ if \ T_j \leq T_{off} \\ 1/2, \ if \ T_{off} < T_j \leq T_{on} \\ 1, \ if \ T_j > T_{on} \end{cases}$$

where T_{off} and T_{on} are defined in section 4.2.1 of this appendix. Use the calculations given in section 4.2.3.3 of this appendix, and not the above, if:

a. The heat pump locks out low capacity operation at low outdoor temperatures and

b. T_j is below this lockout threshold temperature.

4.2.3.2 Heat Pump Alternates Between High (k=2) and Low (k=1) Compressor Capacity To Satisfy the Building Heating Load at a Temperature T_j, $\dot{Q}_h^{k=1}(T_j) < BL(T_j) < \dot{Q}_h^{k=2}(T_j)$

Calculate $\frac{RH(T_j)}{N}$ using Equation 4.2.3-2. Evaluate $\frac{e_h(T_j)}{N}$ using

$$\frac{e_h(T_j)}{N} = [X^{k=1}(T_j) * \dot{E}_h^{k=1}(T_j) + X^{k=2}(T_j) * \dot{E}_h^{k=2}(T_j)] * \delta(T_j) * \frac{n_j}{N}$$

where:

$$X^{k=1}(T_j) = \frac{\dot{Q}_h^{k=2}(T_j) - BL(T_j)}{\dot{Q}_h^{k=2}(T_j) - \dot{Q}_h^{k=1}(T_j)}$$

$X^{k=2}(T_j) = 1 - X^{k=1}(T_j)$ the heating mode, high capacity load factor for temperaturebin $_j$, dimensionless.

Determine the low temperature cut-out factor, $\delta'(T_j)$, using Equation 4.2.3–3.

4.2.3.3 Heat Pump Only Operates at High (k=2) Compressor Capacity at Temperature T_j and its Capacity Is Greater Than the Building Heating Load, $BL(T_j) < \dot{Q}_h^{k=2}(T_j)$

This section applies to units that lock out low compressor capacity operation at low outdoor temperatures.

Calculate $\frac{RH(T_j)}{N}$ using Equation 4.2.3-2. Evaluate $\frac{e_h(T_j)}{N}$ using

$$\frac{e_h(T_j)}{N} = \frac{X^{k=2}(T_j) * \dot{E}_h^{k=2}(T_j) * \delta(T_j)}{PLF_j} * \frac{n_j}{N}$$

Where:

$X^{k=2}(T_j) = BL(T_j)/\dot{Q}_h^{k=2}(T_j)$; and
$PLF_j = 1 - C^h{}_D\ (k = 2) * [1 - X^{k=2}(T_j)]$.

If the $H1C_2$ test described in section 3.6.3 and Table 13 of this appendix is not conducted, set $C_D{}^h$ (k=2) equal to the default value specified in section 3.8.1 of this appendix.

Determine the low temperature cut-out factor, $\delta(T_j)$, using Equation 4.2.3–3.

4.2.3.4 Heat Pump Must Operate Continuously at High (k=2) Compressor Capacity at Temperature T_j, $BL(T_j) \geq \dot{Q}_h{}^{k=2}(T_j)$

$$\frac{e_h(T_j)}{N} = \dot{E}_h^{k=2}(T_j) * \delta'(T_j) * \frac{n_j}{N}$$

$$\frac{RH(T_j)}{N} = \frac{BL(T_j) - [\dot{Q}_h^{k=2}(T_j) * \delta'(T_j)]}{3.413\frac{Btu}{Wh}} * \frac{n_j}{N}$$

Where:

$$\delta'(T_j) = \begin{cases} 0, & if\ T_j \le T_{off}\ or\ \dfrac{\dot{Q}_h^{k=2}(T_j)}{3.413 * \dot{E}_h^{k=2}(T_j)} < 1 \\ \dfrac{1}{2}, & if\ T_{off} < T_j \le T_{on}\ and\ \dfrac{\dot{Q}_h^{k=2}(T_j)}{3.413 * \dot{E}_h^{k=2}(T_j)} \ge 1 \\ 1, & if\ T_j > T_{on}\ and\ \dfrac{\dot{Q}_h^{k=2}(T_j)}{3.413 * \dot{E}_h^{k=2}(T_j)} \ge 1 \end{cases}$$

4.2.4 Additional Steps for Calculating the HSPF of a Heat Pump Having a Variable-Speed Compressor

Calculate HSPF using Equation 4.2–1. Evaluate the space heating capacity, $\dot{Q}_h^{k=1}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=1}(T_j)$, of the heat pump when operating at minimum compressor speed and outdoor temperature T_j using

$$\text{Equation 4.2.4-1}\quad \dot{Q}_h^{k=1}(T_j) = \dot{Q}_h^{k=1}(47) + \frac{\dot{Q}_h^{k=1}(62) - \dot{Q}_h^{k=1}(47)}{62-47} * (T_j - 47)$$

$$\text{Equation 4.2.4-2}\quad \dot{E}_h^{k=1}(T_j) = \dot{E}_h^{k=1}(47) + \frac{\dot{E}_h^{k=1}(62) - \dot{E}_h^{k=1}(47)}{62-47} * (T_j - 47)$$

where $\dot{Q}_h^{k=1}(62)$ and $\dot{E}_h^{k=1}(62)$ are determined from the $H0_1$ test, $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ are determined from the $H1_1$ test, and all four quantities are calculated as specified in section 3.7 of this appendix.

Evaluate the space heating capacity, $\dot{Q}_h^{k=2}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=2}(T_j)$, of the heat pump when operating at full compressor speed and outdoor temperature T_j by solving Equations 4.2.2–3 and 4.2.2–4, respectively, for k=2. For Equation 4.2.2–3, use $\dot{Q}_{hcalc}^{k=2}(47)$ to represent $\dot{Q}_h^{k=2}(47)$, and for Equation 4.2.2–4, use $\dot{E}_{hcalc}^{k=2}(47)$ to represent $\dot{E}_{hcalc}^{k=2}(47)$—evaluate $\dot{Q}_{hcalc}^{k=2}(47)$ and $\dot{E}_{hcalc}^{k=2}(47)$ as specified in section 3.6.4b of this appendix.

$$\text{Equation 4.2.4-3}\quad \dot{Q}_h^{k=v}(T_j) = \dot{Q}_h^{k=v}(35) + M_Q * (T_j - 35)$$

$$\text{Equation 4.2.4-4}\quad \dot{E}_h^{k=v}(T_j) = \dot{E}_h^{k=v}(35) + M_E * (T_j - 35)$$

where $\dot{Q}_h^{k=v}(35)$ and $\dot{E}_h^{k=v}(35)$ are determined from the $H2_V$ test and calculated as specified in section 3.9 of this appendix. Approximate the slopes of the k=v intermediate speed heating capacity and electrical power input curves, M_Q and M_E, as follows:

$$M_Q = \left[\frac{\dot{Q}_h^{k=1}(62) - \dot{Q}_h^{k=1}(47)}{62-47} * (1 - N_Q)\right] + \left[N_Q * \frac{\dot{Q}_h^{k=2}(35) - \dot{Q}_h^{k=2}(17)}{35-17}\right]$$

$$M_E = \left[\frac{\dot{E}_h^{k=1}(62) - \dot{E}_h^{k=1}(47)}{62-47} * (1 - N_E)\right] + \left[N_E * \frac{\dot{E}_h^{k=2}(35) - \dot{E}_h^{k=2}(17)}{35-17}\right]$$

where,

$$N_Q = \frac{\dot{Q}_h^{k=v}(35) - \dot{Q}_h^{k=1}(35)}{\dot{Q}_h^{k=2}(35) - \dot{Q}_h^{k=1}(35)} \qquad N_E = \frac{\dot{E}_h^{k=v}(35) - \dot{E}_h^{k=1}(35)}{\dot{E}_h^{k=2}(35) - \dot{E}_h^{k=1}(35)}$$

Use Equations 4.2.4-1 and 4.2.4-2, respectively, to calculate $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$.

The calculation of Equation 4.2-1 quantities $\frac{RH(T_j)}{N}$ and $\frac{e_h(T_j)}{N}$ differs depending upon whether the heat pump would operate at minimum speed (section 4.2.4.1 of this appendix), operate at an intermediate speed (section 4.2.4.2 of this appendix), or operate at full speed (section 4.2.4.3 of this appendix) in responding to the building load.

4.2.4.1 Steady-State Space Heating Capacity When Operating at Minimum Compressor Speed Is Greater Than or Equal to the Building Heating Load at Temperature T_j, $\dot{Q}_h^{k=1}(T_j) \geq BL(T_j)$

Evaluate the Equation 4.2–1 quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

as specified in section 4.2.3.1 of this appendix. Except now use Equations 4.2.4–1 and 4.2.4–2 to evaluate $\dot{Q}_h^{k=1}(T_j)$ and $\dot{E}_h^{k=1}(T_j)$, respectively, and replace section 4.2.3.1 references to ''low capacity'' and section 3.6.3 of this appendix with ''minimum speed'' and section 3.6.4 of this appendix. Also, the last sentence of section 4.2.3.1 of this appendix does not apply.

4.2.4.2 Heat Pump Operates at an Intermediate Compressor Speed (k=i) in Order To Match the Building Heating Load at a Temperature T_j, $\dot{Q}_h^{k=1}(T_j) < BL(T_j) < \dot{Q}_h^{k=2}(T_j)$

Calculate $\frac{RH(T_j)}{N}$ using Equation 4.2.3-2 while evaluating $\frac{e_h(T_j)}{N}$ using,

$$\frac{e_h(T_j)}{N} = \dot{E}_h^{k=i}(T_j) * \delta(T_j) * \frac{n_j}{N}$$

where,

$$\dot{E}_h^{k=i}(T_j) = \frac{\dot{Q}_h^{k=i}(T_j)}{3.413\frac{Btu/h}{W} * COP^{k=i}(T_j)}$$

and $\delta(T_j)$ is evaluated using Equation 4.2.3–3 while,

$\dot{Q}_h^{k=i}(T_j)$ = $BL(T_j)$, the space heating capacity delivered by the unit in matching the building load at temperature (T_j), Btu/h. The matching occurs with the heat pump operating at compressor speed k=i.

$COP^{k=i}(T_j)$ = the steady-state coefficient of performance of the heat pump when operating at compressor speed k=i and temperature T_j, dimensionless.

For each temperature bin where the heat pump operates at an intermediate compressor speed, determine $COP^{k=i}(T_j)$ using the following equations,

For each temperature bin where $\dot{Q}_h^{k=1}(T_j) < BL(T_j) < \dot{Q}_h^{k=v}(T_j)$,

$$COP_h^{k=i}(T_j) = COP_h^{k=1}(T_j) + \frac{COP_h^{k=v}(T_j) - COP_h^{k=1}(T_j)}{Q_h^{k=v}(T_j) - Q_h^{k=1}(T_j)} * (BL(T_j) - Q_h^{k=1}(T_j))$$

For each temperature bin where $\dot{Q}_h^{k=v}(T_j) \leq BL(T_j) < \dot{Q}_h^{k=2}(T_j)$,

$$COP_h^{k=i}(T_j) = COP_h^{k=v}(T_j) + \frac{COP_h^{k=2}(T_j) - COP_h^{k=v}(T_j)}{Q_h^{k=2}(T_j) - Q_h^{k=v}(T_j)} * (BL(T_j) - Q_h^{k=v}(T_j))$$

Where:

$COP_h^{k=1}(T_j)$ is the steady-state coefficient of performance of the heat pump when operating at minimum compressor speed and temperature Tj, dimensionless, calculated using capacity $\dot{Q}_h^{k=1}(T_j)$ calculated using Equation 4.2.4–1 and electrical power consumption $\dot{E}_h^{k=1}(T_j)$ calculated using Equation 4.2.4–2;

$COP_h^{k=v}(T_j)$ is the steady-state coefficient of performance of the heat pump when operating at intermediate compressor speed and temperature Tj, dimensionless, calculated using capacity $\dot{Q}_h^{k=v}(T_j)$ calculated using Equation 4.2.4–3 and electrical power consumption $\dot{E}_h^{k=v}(T_j)$ calculated using Equation 4.2.4–4;

$COP_h^{k=2}(T_j)$ is the steady-state coefficient of performance of the heat pump when operating at full compressor speed and temperature Tj, dimensionless, calculated using capacity $\dot{Q}_h^{k=2}(T_j)$ and electrical power consumption $\dot{E}_h^{k=2}(T_j)$, both calculated as described in section 4.2.4; and

$BL(T_j)$ is the building heating load at temperature T_j, Btu/h.

4.2.4.3 Heat Pump Must Operate Continuously at Full (k=2) Compressor Speed at Temperature T_j, $BL(T_j) \geq \dot{Q}_h^{k=2}(T_j)$

Evaluate the Equation 4.2–1 Quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

as specified in section 4.2.3.4 of this appendix with the understanding that $\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$ correspond to full compressor speed operation and are derived from the results of the specified section 3.6.4 tests of this appendix.

4.2.5 Heat Pumps Having a Heat Comfort Controller

Heat pumps having heat comfort controllers, when set to maintain a typical minimum air delivery temperature, will cause the heat pump condenser to operate less because of a greater contribution from the resistive elements. With a conventional heat pump, resistive heating is only initiated if the heat pump condenser cannot meet the building load (*i.e.*, is delayed until a second stage call from the indoor thermostat). With a heat comfort controller, resistive heating can occur even though the heat pump condenser has adequate capacity to meet the building load (*i.e.*, both on during a first stage call from the indoor thermostat). As a result, the outdoor temperature where the heat pump compressor no longer cycles (*i.e.*, starts to run continuously), will be lower than if the heat pump did not have the heat comfort controller.

4.2.5.1 Blower Coil System Heat Pump Having a Heat Comfort Controller: Additional Steps for Calculating the HSPF of a Heat Pump Having a Single-Speed Compressor and Either a Fixed-Speed Indoor Blower or a Constant-Air-Volume-Rate Indoor Blower Installed, or a Coil-Only System Heat Pump

Calculate the space heating capacity and electrical power of the heat pump without the heat comfort controller being active as specified in section 4.2.1 of this appendix (Equations 4.2.1–4 and 4.2.1–5) for each outdoor bin temperature, T_j, that is listed in Table 20. Denote these capacities and electrical powers by using the subscript ''hp'' instead of ''h.'' Calculate the mass flow rate (expressed in pounds-mass of dry air per hour) and the specific heat of the indoor air (expressed in $Btu/lbm_{da} \cdot °F$) from the results of the H1 test using:

$$\dot{m}_{da} = \overline{\dot{V}_s} * 0.075 \frac{lbm_{da}}{ft^3} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v'_n * [1 + W_n]} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v_n} * \frac{60_{min}}{hr}$$

where $\overline{\dot{V}}_s$, $\overline{\dot{V}}_{mx}$, v'_n (or v_n), and W_n are defined following Equation 3–1. For each outdoor bin temperature listed in Table 20, calculate the nominal temperature of the air leaving the heat pump condenser coil using,

$$T_0(T_j) = 70°F + \frac{\dot{Q}_{hp}(T_j)}{\dot{m}_{da} * C_{p,da}}$$

Evaluate $e_h(T_j/N)$, $RH(T_j)/N$, $X(T_j)$, PLF_j, and $\delta(T_j)$ as specified in section 4.2.1 of this appendix. For each bin calculation, use the space heating capacity and electrical power from Case 1 or Case 2, whichever applies.

Case 1. For outdoor bin temperatures where $T_o(T_j)$ is equal to or greater than T_{CC} (the maximum supply temperature determined according to section 3.1.10 of this appendix), determine $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ as specified in section 4.2.1 of this appendix (*i.e.*, $\dot{Q}_h(T_j) = \dot{Q}_{hp}(T_j)$ and $\dot{E}_h(T_j) = \dot{E}_{hp}(T_j)$). NOTE: Even though $T_o(T_j) \geq T_{cc}$, resistive heating

may be required; evaluate Equation 4.2.1–2 for all bins.

Case 2. For outdoor bin temperatures where $T_o(T_j) < T_{CC}$, determine $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ using,

$$\dot{Q}_h(T_j) = \dot{Q}_{hp}(T_j) + \dot{Q}_{CC}(T_j) \qquad \dot{E}_h(T_j) = \dot{E}_{hp}(T_j) + \dot{E}_{CC}(T_j)$$

where,

$$\dot{Q}_{CC}(T_j) = \dot{m}_{da} * C_{p,da} * [T_{CC} - T_0(T_j)] \qquad \dot{E}_{CC}(T_j) = \frac{\dot{Q}_{CC}(T_j)}{3.413\frac{Btu/h}{W}}$$

NOTE: Even though $T_o(T_j)$ T_{cc}, additional resistive heating may be required; evaluate Equation 4.2.1–2 for all bins.

4.2.5.2 Heat Pump Having a Heat Comfort Controller: Additional Steps for Calculating the HSPF of a Heat Pump Having a Single-Speed Compressor and a Variable-Speed, Variable-Air-Volume-Rate Indoor Blower

Calculate the space heating capacity and electrical power of the heat pump without the heat comfort controller being active as specified in section 4.2.2 of this appendix (Equations 4.2.2–1 and 4.2.2–2) for each outdoor bin temperature, T_j, that is listed in Table 20. Denote these capacities and electrical powers by using the subscript ''hp'' instead of ''h.'' Calculate the mass flow rate (expressed in pounds-mass of dry air per hour) and the specific heat of the indoor air (expressed in $Btu/lbm_{da} \cdot °F$) from the results of the $H1_2$ test using:

$$\dot{m}_{da} = \overline{\dot{V}}_s * 0.075\frac{lbm_{da}}{ft^3} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v'_n * [1 + W_n]} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v_n} * \frac{60_{min}}{hr}$$

$$C_{p,da} = 0.24 + 0.444 * W_n$$

where $\overline{\dot{V}}_S$, $\overline{\dot{V}}_{mx}$, v'_n (or v_n), and W_n are defined following Equation 3–1. For each outdoor bin temperature listed in Table 20, calculate the nominal temperature of the air leaving the heat pump condenser coil using,

$$T_0(T_j) = 70°\text{F} + \frac{\dot{Q}_{hp}(T_j)}{\dot{m}_{da} * C_{p,da}}$$

Evaluate $e_h(T_j)/N$, $RH(T_j)/N$, $X(T_j)$, PLF_j, and $\delta(T_j)$ as specified in section 4.2.1 of this appendix with the exception of replacing references to the H1C test and section 3.6.1 of this appendix with the $H1C_1$ test and section 3.6.2 of this appendix. For each bin calculation, use the space heating capacity and electrical power from Case 1 or Case 2, whichever applies.

Case 1. For outdoor bin temperatures where $T_o(T_j)$ is equal to or greater than T_{CC} (the maximum supply temperature determined according to section 3.1.10 of this appendix), determine $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ as specified in section 4.2.2 of this appendix (*i.e.* $\dot{Q}_h(T_j) = \dot{Q}_{hp}(T_j)$ and $\dot{E}_h(T_j) = \dot{E}_{hp}(T_j)$). Note: Even though $T_o(T_j) \geq T_{CC,}$ resistive heating may be required; evaluate Equation 4.2.1–2 for all bins.

Case 2. For outdoor bin temperatures where $T_o(T_j) < T_{CC}$, determine $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ using,

$$\dot{Q}_h(T_j) = \dot{Q}_{hp}(T_j) + \dot{Q}_{CC}(T_j) \qquad \dot{E}_h(T_j) = \dot{E}_{hp}(T_j) + \dot{E}_{CC}(T_j)$$

where,

$$\dot{Q}_{CC}(T_j) = \dot{m}_{da} * C_{p,da} * [T_{CC} - T_0(T_j)] \qquad \dot{E}_{CC}(T_j) = \frac{\dot{Q}_{CC}(T_j)}{3.413\frac{Btu/h}{W}}$$

NOTE: Even though $T_0(T_j)$ T_{cc}, additional resistive heating may be required; evaluate Equation 4.2.1–2 for all bins.

4.2.5.3 Heat Pumps Having a Heat Comfort Controller: Additional Steps for Calculating the HSPF of a Heat Pump Having a Two-Capacity Compressor

Calculate the space heating capacity and electrical power of the heat pump without the heat comfort controller being active as specified in section 4.2.3 of this appendix for both high and low capacity and at each outdoor bin temperature, T_j, that is listed in Table 20. Denote these capacities and electrical powers by using the subscript ''hp'' instead of ''h.'' For the low capacity case, calculate the mass flow rate (expressed in pounds-mass of dry air per hour) and the specific heat of the indoor air (expressed in Btu/lbm_{da} · °F) from the results of the $H1_1$ test using:

$$\dot{m}_{da}^{k=1} = \overline{\dot{V}}_s * 0.075\frac{lbm_{da}}{ft^3} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v'_n * [1 + W_n]} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v_n} * \frac{60_{min}}{hr}$$

$$C_{p,da}^{k=1} = 0.24 + 0.444 * W_n$$

where $\overline{\dot{V}}_s$, $\overline{\dot{V}}_{mx}$, v'_n (or v_n), and W_n are defined following Equation 3–1. For each outdoor bin temperature listed in Table 20, calculate the nominal temperature of the air leaving the heat pump condenser coil when operating at low capacity using,

$$T_0^{k=1}(T_j) = 70°\text{F} + \frac{\dot{Q}_{hp}^{k=1}(T_j)}{\dot{m}_{da}^{k=1} * C_{p,da}^{k=1}}$$

Repeat the above calculations to determine the mass flow rate ($\dot{m}_{da}^{k=2}$) and the specific heat of the indoor air ($C_{p,da}^{k=2}$) when operating at high capacity by using the results of the $H1_2$ test. For each outdoor bin temperature listed in Table 20, calculate the nominal temperature of the air leaving the heat pump condenser coil when operating at high capacity using,

$$T_0^{k=2}(T_j) = 70°\text{F} + \frac{\dot{Q}_{hp}^{k=2}(T_j)}{\dot{m}_{da}^{k=2} * C_{p,da}^{k=2}}$$

Evaluate $e_h(T_j)/N$, $RH(T_j)/N$, $X^{k=1}(T_j)$, and/or $X^{k=2}(T_j)$, PLF_j, and $\delta'(T_j)$ or $\delta''(T_j)$ as specified in section 4.2.3.1. 4.2.3.2, 4.2.3.3, or 4.2.3.4 of this appendix, whichever applies, for each

temperature bin. To evaluate these quantities, use the low-capacity space heating capacity and the low-capacity electrical power from Case 1 or Case 2, whichever applies; use the high-capacity space heating capacity and the high-capacity electrical power from Case 3 or Case 4, whichever applies.

Case 1. For outdoor bin temperatures where $T_o^{k=1}(T_j)$ is equal to or greater than T_{CC} (the maximum supply temperature determined according to section 3.1.10 of this appendix), determine $\dot{Q}_h^{k=1}(T_j)$ and $\dot{E}_h^{k=1}(T_j)$ as specified in section 4.2.3 of this appendix (*i.e.*, $\dot{Q}_h^{k=1}(T_j) = \dot{Q}_{hp}^{k=1}(T_j)$ and $\dot{E}_h^{k=1}(T_j) = \dot{E}_{hp}^{k=1}(T_j)$).

NOTE: Even though $T_o^{k=1}(T_j) \geq T_{CC}$, resistive heating may be required; evaluate $RH(T_j)/N$ for all bins.

Case 2. For outdoor bin temperatures where $T_o^{k=1}(T_j) < T_{CC}$, determine $\dot{Q}_h^{k=1}(T_j)$ and $\dot{E}_h^{k=1}(T_j)$ using,

$$\dot{Q}_h^{k=1}(T_j) = \dot{Q}_{hp}^{k=1}(T_j) + \dot{Q}_{CC}^{k=1}(T_j) \qquad \dot{E}_h^{k=1}(T_j) = \dot{E}_{hp}^{k=1}(T_j) + \dot{E}_{CC}^{k=1}(T_j)$$

where,

$$\dot{Q}_{CC}^{k=1}(T_j) = \dot{m}_{da}^{k=1} * C_{p,da}^{k=1} * [T_{CC} - T_0^{k=1}(T_j)] \qquad \dot{E}_{CC}^{k=1}(T_j) = \frac{\dot{Q}_{CC}^{k=1}(T_j)}{3.413\frac{Btu/h}{W}}$$

NOTE: Even though $T_o^{k=1}(T_j) \geq T_{cc}$, additional resistive heating may be required; evaluate $RH(T_j)/N$ for all bins.

Case 3. For outdoor bin temperatures where $T_o^{k=2}(T_j)$ is equal to or greater than T_{CC}, determine $\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$ as specified in section 4.2.3 of this appendix (*i.e.*, $\dot{Q}_h^{k=2}(T_j) = \dot{Q}_{hp}^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j) = \dot{E}_{hp}^{k=2}(T_j)$).

NOTE: Even though $T_o^{k=2}(T_j) < T_{CC}$, resistive heating may be required; evaluate $RH(T_j)/N$ for all bins.

Case 4. For outdoor bin temperatures where $T_o^{k=2}(T_j) < T_{CC}$, determine $\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$ using,

$$\dot{Q}_h^{k=2}(T_j) = \dot{Q}_{hp}^{k=2}(T_j) + \dot{Q}_{CC}^{k=2}(T_j) \quad \dot{E}_h^{k=2}(T_j) = \dot{E}_{hp}^{k=2}(T_j) + \dot{E}_{CC}^{k=2}(T_j)$$

where,

$$\dot{Q}_{CC}^{k=2}(T_j) = \dot{m}_{da}^{k=2} * C_{p,da}^{k=2} * [T_{CC} - T_0^{k=2}(T_j)] \qquad \dot{E}_{CC}^{k=2}(T_j) = \frac{\dot{Q}_{CC}^{k=2}(T_j)}{3.413\frac{Btu/h}{W}}$$

NOTE: Even though $T_o^{k=2}(T_j) < T_{cc}$, additional resistive heating may be required; evaluate $RH(T_j)/N$ for all bins.

4.2.5.4 Heat Pumps Having a Heat Comfort Controller: Additional Steps for Calculating the HSPF of a Heat Pump Having a Variable-Speed Compressor. [Reserved]

4.2.6 Additional Steps for Calculating the HSPF of a Heat Pump Having a Triple-Capacity Compressor

The only triple-capacity heat pumps covered are triple-capacity, northern heat pumps. For such heat pumps, the calculation of the Eq. 4.2–1 quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

differ depending on whether the heat pump would cycle on and off at low capacity (section 4.2.6.1 of this appendix), cycle on and off at high capacity (section 4.2.6.2 of this appendix), cycle on and off at booster capacity (section 4.2.6.3 of this appendix), cycle between low and high capacity (section 4.2.6.4 of this appendix), cycle between high and booster capacity (section 4.2.6.5 of this appendix), operate continuously at low capacity (4.2.6.6 of this appendix), operate continuously at high capacity (section 4.2.6.7 of this appendix), operate continuously at booster capacity (section 4.2.6.8 of this appendix), or heat solely using resistive heating (also section 4.2.6.8 of this appendix) in responding to the building load. As applicable, the manufacturer must supply information regarding the outdoor temperature range at which each stage of compressor capacity is active. As an informative example, data may be submitted in this manner: At the low (k=1) compressor capacity, the outdoor temperature range of operation is 40 °F ≤ T ≤ 65 °F; At the high (k=2) compressor capacity, the outdoor temperature range of operation is 20 °F ≤ T ≤ 50 °F; At the booster (k=3) compressor capacity, the outdoor temperature range of operation is −20 °F ≤ T ≤ 30 °F.

a. Evaluate the space heating capacity and electrical power consumption of the heat pump when operating at low compressor capacity and outdoor temperature Tj using the equations given in section 4.2.3 of this appendix for $\dot{Q}_h^{k=1}(T_j)$ and $\dot{E}_h^{k=1}(T_j)$) In evaluating the section 4.2.3 equations, Determine $\dot{Q}_h^{k=1}(62)$ and $\dot{E}_h^{k=1}(62)$ from the $H0_1$ test, $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ from the $H1_1$ test, and $\dot{Q}_h^{k=2}(47)$ and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test. Calculate all four quantities as specified in section 3.7 of this appendix. If, in accordance with section 3.6.6 of this appendix, the $H3_1$ test is conducted, calculate $\dot{Q}_h^{k=1}(17)$ and $\dot{E}_h^{k=1}(17)$ as specified in section 3.10 of this appendix and determine $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ as specified in section 3.6.6 of this appendix.

b. Evaluate the space heating capacity and electrical power consumption ($\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$) of the heat pump when operating at high compressor capacity and outdoor temperature Tj by solving Equations 4.2.2–3 and 4.2.2–4, respectively, for k=2. Determine $\dot{Q}_h^{k=1}(62)$ and $\dot{E}_h^{k=1}(62)$ from the $H0_1$ test, $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ from the $H1_1$ test, and $\dot{Q}_h^{k=2}(47)$ and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test, evaluated as specified in section 3.7 of this appendix. Determine the equation input for $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ from the $H2_2$, evaluated as specified in section 3.9.1 of this appendix. Also, determine $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test, evaluated as specified in section 3.10 of this appendix.

c. Evaluate the space heating capacity and electrical power consumption of the heat pump when operating at booster compressor capacity and outdoor temperature Tj using

$$\dot{Q}_h^{k=3}(T_j) = \begin{cases} \dot{Q}_h^{k=3}(17) + \dfrac{\left[\dot{Q}_h^{k=3}(35) - \dot{Q}_h^{k=3}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} < T_j \leq 45\ °\text{F} \\ \dot{Q}_h^{k=3}(5) + \dfrac{\left[\dot{Q}_h^{k=3}(17) - \dot{Q}_h^{k=3}(5)\right] * (T_j - 5)}{17 - 5}, & if\ T_j \leq 17\ °\text{F} \end{cases}$$

$$\dot{E}_h^{k=3}(T_j) = \begin{cases} \dot{E}_h^{k=3}(17) + \dfrac{\left[\dot{E}_h^{k=3}(35) - \dot{E}_h^{k=3}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} < T_j \leq 45\ °\text{F} \\ \dot{E}_h^{k=3}(5) + \dfrac{\left[\dot{E}_h^{k=3}(17) - \dot{E}_h^{k=3}(5)\right] * (T_j - 5)}{17 - 5}, & if\ T_j \leq 17\ °\text{F} \end{cases}$$

Determine $\dot{Q}_h^{k=3}(17)$ and $\dot{E}_h^{k=3}(17)$ from the $H3_3$ test and determine $\dot{Q}_h^{k=3}(5)$ and $\dot{E}_h^{k=3}(5)$ from the $H4_3$ test. Calculate all four quantities as specified in section 3.10 of this appendix. Determine the equation input for $\dot{Q}_h^{k=3}(35)$ and $\dot{E}_h^{k=3}(35)$ as specified in section 3.6.6 of this appendix.

4.2.6.1 Steady-State Space Heating Capacity when Operating at Low Compressor Capacity is Greater than or Equal to the Building Heating Load at Temperature T_j, $\dot{Q}_h^{k=1}(T_j) \geq BL(T_j)$., and the heat pump permits low compressor capacity at T_j.

Evaluate the quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

using Eqs. 4.2.3–1 and 4.2.3–2, respectively. Determine the equation inputs $X^{k=1}(T_j)$, PLF_j, and $\delta'(T_j)$ as specified in section 4.2.3.1 of this appendix. In calculating the part load factor, PLF_j, use the low-capacity cyclic-degradation coefficient $C_D{}^h$, [or equivalently, $C_D{}^h(k=1)$] determined in accordance with section 3.6.6 of this appendix.

4.2.6.2 Heat Pump Only Operates at High (k=2) Compressor Capacity at Temperature T_j and Its Capacity Is Greater Than or Equal to the Building Heating Load, $BL(T_j) \leq \dot{Q}_h^{k=2}(T_j)$

Evaluate the quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

as specified in section 4.2.3.3 of this appendix. Determine the equation inputs $X^{k=2}(T_j)$, PLF_j, and $\delta'(T_j)$ as specified in section 4.2.3.3 of this appendix. In calculating the part load factor, PLF_j, use the high-capacity cyclic-degradation coefficient, $C_D{}^h(k=2)$ determined in accordance with section 3.6.6 of this appendix.

4.2.6.3 Heat Pump Only Operates at Booster (k=3) Compressor Capacity at Temperature T_j, and its Capacity Is Greater Than or Equal to the Building Heating Load, $BL(T_j) \leq \dot{Q}_h^{k=3}(T_j)$.

Calculate $\frac{RH(T_j)}{N}$ and using Eq. 4.2.3-2. Evaluate $\frac{e_h(T_j)}{N}$ using

$$\frac{e_h(T_j)}{N} = \frac{X^{k=3}(T_j) * \dot{E}_h^{k=3}(T_j) * \delta'(T_j)}{PLF_j} * \frac{n_j}{N}$$

where:

$X^{k=3}(T_j) = BL(T_j)/\dot{Q}_h^{k=3}(T_j)$ and $PLF_j = 1 - C_D{}^h(k=3) * [1 - X^{k=3}(T_j)$

Determine the low temperature cut-out factor, $\delta'(T_j)$, using Eq. 4.2.3–3. Use the booster-capacity cyclic-degradation coefficient, $C_D{}^h(k=3)$ determined in accordance with section 3.6.6 of this appendix.

4.2.6.4 Heat Pump Alternates Between High (k=2) and Low (k=1) Compressor Capacity to Satisfy the Building Heating Load at a Temperature T_j, $\dot{Q}_h^{k=1}(T_j) < BL(T_j) < \dot{Q}_h^{k=2}(T_j)$

Evaluate the quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

as specified in section 4.2.3.2 of this appendix. Determine the equation inputs $X^{k=1}(T_j)$, $X^{k=2}(T_j)$, and $\delta'(T_j)$ as specified in section 4.2.3.2 of this appendix.

4.2.6.5 Heat Pump Alternates Between High (k=2) and Booster (k=3) Compressor Capacity To Satisfy the Building Heating Load at a Temperature T_j, $\dot{Q}_h^{k=2}(T_j) < BL(T_j) < \dot{Q}_h^{k=3}(T_j)$

Calculate $\frac{RH(T_j)}{N}$ and using Eq. 4.2.3-2. Evaluate $\frac{e_h(T_j)}{N}$ using

$$\frac{e_h(T_j)}{N} = [X^{k=2}(T_j) * \dot{E}_h^{k=2}(T_j) + X^{k=3}(T_j) * \dot{E}_h^{k=3}(T_j)] * \delta'(T_j) * \frac{n_j}{N}$$

where:

$$X^{k=2}(T_j) = \frac{\dot{Q}_h^{k=3}(T_j) - BL(T_j)}{\dot{Q}_h^{k=3}(T_j) - \dot{Q}_h^{k=2}(T_j)}$$

and $X^{k=3}(T_j) = X^{k=2}(T_j)$ = the heating mode, booster capacity load factor for temperature bin j, dimensionless. Determine the low temperature cut-out factor, $\delta'(T_j)$, using Eq. 4.2.3–3.

4.2.6.6 Heat Pump Only Operates at Low (k=1) Capacity at Temperature T_j and Its Capacity Is Less Than the Building Heating Load, $BL(T_j) > \dot{Q}_h^{k=1}(T_j)$

$$\frac{e_h(T_j)}{N} = \dot{E}_h^{k=1}(T_j) * \delta'(T_j) * \frac{n_j}{N} \quad \text{and} \frac{RH(T_j)}{N} = \frac{BL(T_j) - [\dot{Q}_h^{k=1}(T_j) * \delta\prime(T_j)]}{3.413\frac{Btu/h}{W}} * \frac{n_j}{N}$$

where the low temperature cut-out factor, $\delta'(Tj)$, is calculated using Eq. 4.2.3–3.

4.2.6.7 Heat Pump Only Operates at High (k=2) Capacity at Temperature Tj and Its Capacity Is Less Than the Building Heating Load, $BL(Tj) > \dot{Q}_h^{k=2}(T_j)$

Evaluate the quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

as specified in section 4.2.3.4 of this appendix. Calculate $\delta''(Tj)$ using the equation given in section 4.2.3.4 of this appendix.

4.2.6.8 Heat Pump Only Operates at Booster (k=3) Capacity at Temperature Tj and Its Capacity Is Less Than the Building Heating Load, $BL(T_j) > \dot{Q}_h^{k=3}(T_j)$ or the System Converts to Using Only Resistive Heating

$$\frac{e_h(T_j)}{N} = \dot{E}_h^{k=3}(T_j) * \delta'(T_j) * \frac{n_j}{N} \quad \text{and} \frac{RH(T_j)}{N} = \frac{BL(T_j) - [\dot{Q}_h^{k=3}(T_j) * \delta\prime(T_j)]}{3.413\frac{Btu/h}{W}} * \frac{n_j}{N}$$

where $\delta''(Tj)$ is calculated as specified in section 4.2.3.4 of this appendix if the heat pump is operating at its booster compressor capacity. If the heat pump system converts to using only resistive heating at outdoor temperature T_j, set $\delta'(T_j)$ equal to zero.

4.2.7 Additional Steps for Calculating the HSPF of a Heat Pump Having a Single Indoor Unit With Multiple Indoor Blowers

The calculation of the Eq. 4.2–1 quantities $e_h(T_j)/N$ and $RH(T_j)/N$ are evaluated as specified in the applicable subsection.

4.2.7.1 For Multiple Indoor Blower Heat Pumps That Are Connected to a Singular, Single-Speed Outdoor Unit

a. Calculate the space heating capacity, $\dot{Q}_h^{k=1}(Tj)$, and electrical power consumption, $\dot{E}_h^{k=1}(Tj)$, of the heat pump when operating at the heating minimum air volume rate and outdoor temperature T_j using Eqs. 4.2.2–3 and 4.2.2–4, respectively. Use these same equations to calculate the space heating capacity, $\dot{Q}_h^{k=2}(Tj)$ and electrical power consumption, $\dot{E}_h^{k=2}(Tj)$, of the test unit when operating at the heating full-load air volume rate and outdoor temperature T_j. In evaluating Eqs. 4.2.2–3 and 4.2.2– 4, determine the quantities $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ from the $H1_1$ test; determine $\dot{Q}_h^{k=2}$ (47) and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test. Evaluate all four quantities according to section 3.7 of this appendix. Determine the quantities $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ as specified in section 3.6.2 of this appendix. Determine $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ from the $H2_2$ frost accumulation test as calculated according to section 3.9.1 of this appendix. Determine the quantities $\dot{Q}_h^{k=1}(17)$ and $\dot{E}_h^{k=1}(17)$ from the $H3_1$ test, and $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test. Evaluate all four quantities according to section 3.10 of this appendix. Refer to section 3.6.2 and Table 12 of this appendix for additional information on the referenced laboratory tests.

b. Determine the heating mode cyclic degradation coefficient, CD_h, as per sections 3.6.2 and 3.8 to 3.8.1 of this appendix. Assign this same value to $CD_h(k = 2)$.

c. Except for using the above values of $\dot{Q}_h^{k=1}(Tj)$, $\dot{E}_h^{k=1}(Tj)$, $\dot{Q}_h^{k=2}(Tj)$, $\dot{E}_h^{k=2}(Tj)$, CD_h, and $CD_h(k = 2)$, calculate the quantities $e_h(T_j)/N$ as specified in section 4.2.3.1 of this appendix for cases where $\dot{Q}_h^{k=1}(Tj) \geq BL(T_j)$. For all other outdoor bin temperatures, T_j, calculate $e_h(Tj)/N$ and $RH_h(Tj)/N$ as specified in section 4.2.3.3 of this appendix if $\dot{Q}_h^{k=2}(Tj) > BL(Tj)$ or as specified in section 4.2.3.4 of this appendix if $\dot{Q}_h^{k=2}(Tj) \leq BL(T_j)$.

4.2.7.2 For Multiple Indoor Blower Heat Pumps Connected to Either a Single Outdoor Unit With a Two-capacity Compressor or to Two Separate Single-Speed Outdoor Units of Identical Model, calculate the quantities $e_h(T_j)/N$ and $RH(T_j)/N$ as specified in section 4.2.3 of this appendix.

4.3 Calculations of Off-mode Power Consumption

For central air conditioners and heat pumps with a cooling capacity of:

Less than 36,000 Btu/h, determine the off mode represented value, $P_{W,OFF}$, with the following equation:

$$P_{W,OFF} = \frac{P1 + P2}{2};$$

greater than or equal to 36,000 Btu/h, calculate the capacity scaling factor according to:

$$F_{scale} = \frac{\dot{Q}_C(95)}{36{,}000},$$

where $\dot{Q}_C(95)$ is the total cooling capacity at the A or A_2 test condition, and determine the off mode represented value, $P_{W,OFF}$, with the following equation:

$$P_{W,OFF} = \frac{P1 + P2}{2 \times F_{scale}};$$

4.4 Rounding of SEER and HSPF for Reporting Purposes

After calculating SEER according to section 4.1 of this appendix and HSPF according to section 4.2 of this appendix round the values off as specified per §430.23(m) of title 10 of the Code of Federal Regulations.

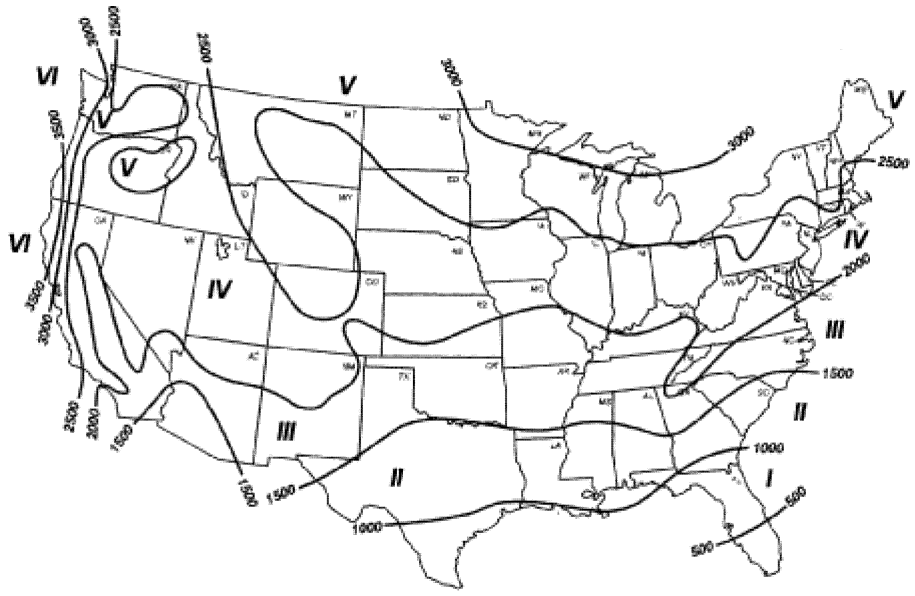


Figure 1—Heating Load Hours (HLH_A) for the United States

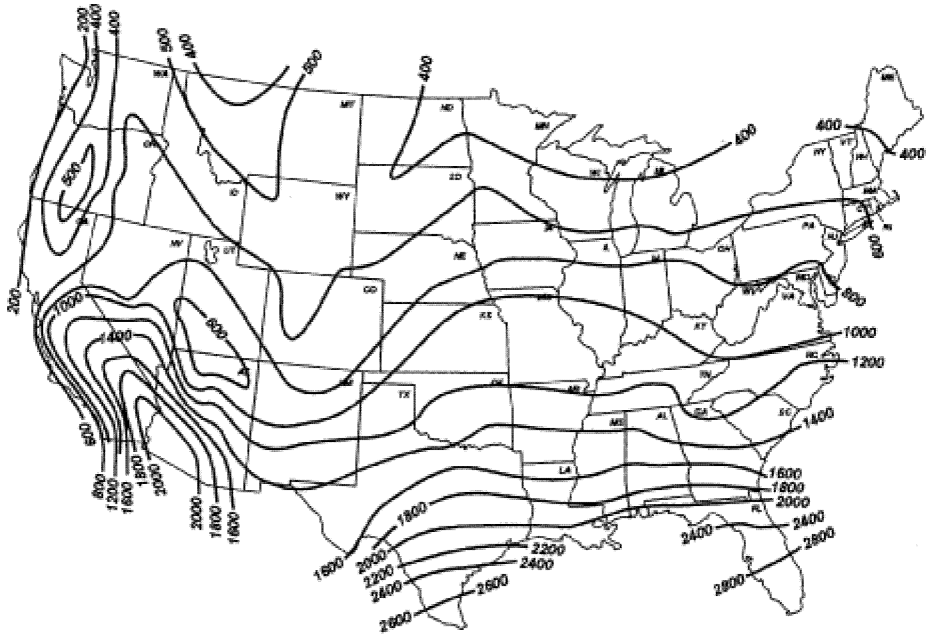


Figure 2—Cooling Load Hours (CLH_A) for the United States

TABLE 22—REPRESENTATIVE COOLING AND HEATING LOAD HOURS FOR EACH GENERALIZED CLIMATIC REGION

Climatic region	Cooling load hours CLH_R	Heating load hours HLH_R
I	2,400	750
II	1,800	1,250
III	1,200	1,750
IV	800	2,250
Rating Values	1,000	2,080
V	400	2,750
VI	200	2,750

4.5 Calculations of the SHR, Which Should Be Computed for Different Equipment Configurations and Test Conditions Specified in Table 23

TABLE 23—APPLICABLE TEST CONDITIONS FOR CALCULATION OF THE SENSIBLE HEAT RATIO

Equipment configuration	Reference table Number of appendix M	SHR computation with results from	Computed values
Units Having a Single-Speed Compressor and a Fixed-Speed Indoor blower, a Constant Air Volume Rate Indoor blower, or No Indoor blower.	4	B Test	SHR(B).
Units Having a Single-Speed Compressor That Meet the section 3.2.2.1 Indoor Unit Requirements.	5	B2 and B1 Tests	SHR(B1), SHR(B2).
Units Having a Two-Capacity Compressor	6	B2 and B1 Tests	SHR(B1), SHR(B2).
Units Having a Variable-Speed Compressor	7	B2 and B1 Tests	SHR(B1), SHR(B2).

The SHR is defined and calculated as follows:

$$SHR = \frac{Sensible\ Cooling\ Capacity}{Total\ Cooling\ Capacity}$$

$$= \frac{\dot{Q}_{SC}^{k}(T)}{\dot{Q}_{C}^{k}(T)}$$

Where both the total and sensible cooling capacities are determined from the same cooling mode test and calculated from data collected over the same 30-minute data collection interval.

4.6 Calculations of the Energy Efficiency Ratio (EER).

Calculate the energy efficiency ratio using.

$$EER = \frac{Total\ Cooling\ Capacity}{Total\ Electrical\ Power\ Consumption}$$

$$= \frac{\dot{Q}_{C}^{k}(T)}{\dot{E}_{C}^{k}(T)}$$

where $\dot{Q}_{c}^{k}(T)$ and $\dot{E}_{c}^{k}(T)$ are the space cooling capacity and electrical power consumption determined from the 30-minute data collection interval of the same steady-state wet coil cooling mode test and calculated as specified in section 3.3 of this appendix. Add the letter identification for each steady-state test as a subscript (*e.g.*, EER_{A_2}) to differentiate among the resulting EER values.

[82 FR 1476, Jan. 5, 2017, as amended at 86 FR 68393, Dec. 2, 2021; 87 FR 64586, Oct. 25, 2022]

APPENDIX M1 TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF CENTRAL AIR CONDITIONERS AND HEAT PUMPS

NOTE: On or after January 1, 2023, and prior to April 24, 2023, any representations, including compliance certifications, made with respect to the energy use, power, or efficiency of central air conditioners and central air conditioning heat pumps must be based on the results of testing pursuant to either this appendix or the procedures in appendix M1 as it appeared at 10 CFR part 430, subpart B, in the 10 CFR parts 200 to 499 edition revised as of January 1, 2022. Any representations made with respect to the energy use or efficiency of such central air conditioners and central air conditioning heat pumps must be in accordance with whichever version is selected.

On or after April 24, 2023, any representations, including compliance certifications, made with respect to the energy use, power, or efficiency of central air conditioners and central air conditioning heat pumps must be based on the results of testing pursuant to this appendix.

Prior to January 1, 2023, any representations, including compliance certifications, made with respect to the energy use, power, or efficiency of central air conditioners and central air conditioning heat pumps must be based on the results of testing pursuant to appendix M of this subpart.

On or after January 1, 2023, any representations, including compliance certifications, made with respect to the energy use, power, or efficiency of central air conditioners and central air conditioning heat pumps must be based on the results of testing pursuant to this appendix.

1 SCOPE AND DEFINITIONS

1.1 Scope

This test procedure provides a method of determining SEER2, EER2, HSPF2 and $P_{W,OFF}$

for central air conditioners and central air conditioning heat pumps including the following categories:

(h) Split-system air conditioners, including single-split, multi-head mini-split, multi-split (including VRF), and multi-circuit systems

(i) Split-system heat pumps, including single-split, multi-head mini-split, multi-split (including VRF), and multi-circuit systems

(j) Single-package air conditioners

(k) Single-package heat pumps

(l) Small-duct, high-velocity systems (including VRF)

(m) Space-constrained products—air conditioners

(n) Space-constrained products—heat pumps

For the purposes of this appendix, the Department of Energy incorporates by reference specific sections of several industry standards, as listed in §430.3. In cases where there is a conflict, the language of the test procedure in this appendix takes precedence over the incorporated standards.

All section references refer to sections within this appendix unless otherwise stated.

1.2 Definitions

Airflow-control settings are programmed or wired control system configurations that control a fan to achieve discrete, differing ranges of airflow—often designated for performing a specific function (*e.g.,* cooling, heating, or constant circulation)—without manual adjustment other than interaction with a user-operable control (*i.e.,* a thermostat) that meets the manufacturer specifications for installed-use. For the purposes of this appendix, manufacturer specifications for installed-use are those found in the product literature shipped with the unit.

Air sampling device is an assembly consisting of a manifold with several branch tubes with multiple sampling holes that draws an air sample from a critical location from the unit under test (*e.g.* indoor air inlet, indoor air outlet, outdoor air inlet, etc.).

Airflow prevention device denotes a device that prevents airflow via natural convection by mechanical means, such as an air damper box, or by means of changes in duct height, such as an upturned duct.

Aspirating psychrometer is a piece of equipment with a monitored airflow section that draws uniform airflow through the measurement section and has probes for measurement of air temperature and humidity.

Blower coil indoor unit means an indoor unit either with an indoor blower housed with the coil or with a separate designated air mover such as a furnace or a modular blower (as defined in appendix AA to this subpart).

Blower coil system refers to a split system that includes one or more blower coil indoor units.

Cased coil means a coil-only indoor unit with external cabinetry.

Ceiling-mount blower coil system means a split system for which a) the outdoor unit has a certified cooling capacity less than or equal to 36,000 Btu/h; b) the indoor unit(s) is/are shipped with manufacturer-supplied installation instructions that specify to secure the indoor unit only to the ceiling, within a furred-down space, or above a dropped ceiling of the conditioned space, with return air directly to the bottom of the unit without ductwork, or through the furred-down space, or optional insulated return air plenum that is shipped with the indoor unit; c) the installed height of the indoor unit is no more than 12 inches (not including condensate drain lines) and the installed depth (in the direction of airflow) of the indoor unit is no more than 30 inches; and d) supply air is discharged horizontally.

Coefficient of Performance (COP) means the ratio of the average rate of space heating delivered to the average rate of electrical energy consumed by the heat pump. Determine these rate quantities from a single test or, if derived via interpolation, determine at a single set of operating conditions. COP is a dimensionless quantity. When determined for a ducted coil-only system, COP must be calculated using the default values for heat output and power input of a fan motor specified in sections 3.7 and 3.9.1 of this appendix.

Coil-only indoor unit means an indoor unit that is distributed in commerce without an indoor blower or separate designated air mover. A coil-only indoor unit installed in the field relies on a separately installed furnace or a modular blower for indoor air movement.

Coil-only system means a system that includes only (one or more) coil-only indoor units.

Condensing unit removes the heat absorbed by the refrigerant to transfer it to the outside environment and consists of an outdoor coil, compressor(s), and air moving device.

Constant-air-volume-rate indoor blower means a fan that varies its operating speed to provide a fixed air-volume-rate from a ducted system.

Continuously recorded, when referring to a dry bulb measurement, dry bulb temperature used for test room control, wet bulb temperature, dew point temperature, or relative humidity measurements, means that the specified value must be sampled at regular intervals that are equal to or less than 15 seconds.

Cooling load factor (CLF) means the ratio having as its numerator the total cooling delivered during a cyclic operating interval

consisting of one ON period and one OFF period, and as its denominator the total cooling that would be delivered, given the same ambient conditions, had the unit operated continuously at its steady-state, space-cooling capacity for the same total time (ON + OFF) interval.

Crankcase heater means any electrically powered device or mechanism for intentionally generating heat within and/or around the compressor sump volume. Crankcase heater control may be achieved using a timer or may be based on a change in temperature or some other measurable parameter, such that the crankcase heater is not required to operate continuously. A crankcase heater without controls operates continuously when the compressor is not operating.

Cyclic Test means a test where the unit's compressor is cycled on and off for specific time intervals. A cyclic test provides half the information needed to calculate a degradation coefficient.

Damper box means a short section of duct having an air damper that meets the performance requirements of section 2.5.7 of this appendix.

Degradation coefficient (C_D) means a parameter used in calculating the part load factor. The degradation coefficient for cooling is denoted by C_D^c. The degradation coefficient for heating is denoted by C_D^h.

Demand-defrost control system means a system that defrosts the heat pump outdoor coil-only when measuring a predetermined degradation of performance. The heat pump's controls either:

(1) Monitor one or more parameters that always vary with the amount of frost accumulated on the outdoor coil (*e.g.*, coil to air differential temperature, coil differential air pressure, outdoor fan power or current, optical sensors) at least once for every ten minutes of compressor ON-time when space heating; or

(2) Operate as a feedback system that measures the length of the defrost period and adjusts defrost frequency accordingly. In all cases, when the frost parameter(s) reaches a predetermined value, the system initiates a defrost. In a demand-defrost control system, defrosts are terminated based on monitoring a parameter(s) that indicates that frost has been eliminated from the coil. (NOTE: Systems that vary defrost intervals according to outdoor dry-bulb temperature are not demand-defrost systems.) A demand-defrost control system, which otherwise meets the requirements, may allow time-initiated defrosts if, and only if, such defrosts occur after 6 hours of compressor operating time.

Design heating requirement (DHR) predicts the space heating load of a residence when subjected to outdoor design conditions. Estimates for the minimum and maximum DHR are provided for six generalized U.S. climatic regions in section 4.2 of this appendix.

Dry-coil tests are cooling mode tests where the wet-bulb temperature of the air supplied to the indoor unit is maintained low enough that no condensate forms on the evaporator coil.

Ducted system means an air conditioner or heat pump that is designed to be permanently installed equipment and delivers conditioned air to the indoor space through a duct(s). The air conditioner or heat pump may be either a split-system or a single-package unit.

Energy efficiency ratio (EER) means the ratio of the average rate of space cooling delivered to the average rate of electrical energy consumed by the air conditioner or heat pump. Determine these rate quantities from a single test or, if derived via interpolation, determine at a single set of operating conditions. EER is expressed in units of

$$\frac{Btu/h}{W}.$$

When determined for a ducted coil-only system, EER must include, from this appendix, the section 3.3 and 3.5.1 default values for the heat output and power input of a fan motor. The represented value of EER determined in accordance with appendix M1 is EER2.

Evaporator coil means an assembly that absorbs heat from an enclosed space and transfers the heat to a refrigerant.

Heat pump means a kind of central air conditioner that utilizes an indoor conditioning coil, compressor, and refrigerant-to-outdoor air heat exchanger to provide air heating, and may also provide air cooling, air dehumidifying, air humidifying, air circulating, and air cleaning.

Heat pump having a heat comfort controller means a heat pump with controls that can regulate the operation of the electric resistance elements to assure that the air temperature leaving the indoor section does not fall below a specified temperature. Heat pumps that actively regulate the rate of electric resistance heating when operating below the balance point (as the result of a second stage call from the thermostat) but do not operate to maintain a minimum delivery temperature are not considered as having a heat comfort controller.

Heating load factor (HLF) means the ratio having as its numerator the total heating delivered during a cyclic operating interval consisting of one ON period and one OFF period, and its denominator the heating capacity measured at the same test conditions used for the cyclic test, multiplied by the total time interval (ON plus OFF) of the cyclic-test.

Heating season means the months of the year that require heating, *e.g.*, typically, and roughly, October through April.

Heating seasonal performance factor 2 (HSPF2) means the total space heating required during the heating season, expressed in Btu, divided by the total electrical energy consumed by the heat pump system during the same season, expressed in watt-hours. The HSPF2 used to evaluate compliance with 10 CFR 430.32(c) is based on Region IV and the sampling plan stated in 10 CFR 429.16(a). HSPF2 is determined in accordance with appendix M1.

Independent coil manufacturer (ICM) means a manufacturer that manufactures indoor units but does not manufacture single-package units or outdoor units.

Indoor unit means a separate assembly of a split system that includes—

(a) An arrangement of refrigerant-to-air heat transfer coil(s) for transfer of heat between the refrigerant and the indoor air,

(b) A condensate drain pan, and may or may not include,

(c) Sheet metal or plastic parts not part of external cabinetry to direct/route airflow over the coil(s),

(d) A cooling mode expansion device,

(e) External cabinetry, and

(f) An integrated indoor blower (*i.e.* a device to move air including its associated motor). A separate designated air mover that may be a furnace or a modular blower (as defined in appendix AA to the subpart) may be considered to be part of the indoor unit. A service coil is not an indoor unit.

Low-static blower coil system means a ducted multi-split or multi-head mini-split system for which all indoor units produce greater than 0.01 in. wc. and a maximum of 0.35 in. wc. external static pressure when operated at the cooling full-load air volume rate not exceeding 400 cfm per rated ton of cooling.

Mid-static blower coil system means a ducted multi-split or multi-head mini-split system for which all indoor units produce greater than 0.20 in. wc. and a maximum of 0.65 in. wc. when operated at the cooling full-load air volume rate not exceeding 400 cfm per rated ton of cooling.

Minimum-speed-limiting variable-speed heat pump means a heat pump for which the compressor minimum speed (represented by revolutions per minute or motor power input frequency) is higher than its minimum value for operation in a 47 °F ambient temperature for any bin temperature T_j for which the calculated heating load is less than the calculated intermediate-speed capacity.

Mobile home blower coil system means a split system that contains an outdoor unit and an indoor unit that meet the following criteria:

(1) Both the indoor and outdoor unit are shipped with manufacturer-supplied installation instructions that specify installation only in a mobile home with the home and equipment complying with HUD Manufactured Home Construction Safety Standard 24 CFR part 3280;

(2) The indoor unit cannot exceed 0.40 in. wc. when operated at the cooling full-load air volume rate not exceeding 400 cfm per rated ton of cooling; and

(3) The indoor and outdoor unit each must bear a label in at least ¼ inch font that reads ''For installation only in HUD manufactured home per Construction Safety Standard 24 CFR part 3280.''

Mobile home coil-only system means a coil-only split system that includes an outdoor unit and coil-only indoor unit that meet the following criteria:

(1) The outdoor unit is shipped with manufacturer-supplied installation instructions that specify installation only for mobile homes that comply with HUD Manufactured Home Construction Safety Standard 24 CFR part 3280,

(2) The coil-only indoor unit is shipped with manufacturer-supplied installation instructions that specify installation only in or with a mobile home furnace, modular blower, or designated air mover that complies with HUD Manufactured Home Construction Safety Standard 24 CFR part 3280, and has dimensions no greater than 20'' wide, 34'' high and 21'' deep, and

(3) The coil-only indoor unit and outdoor unit each has a label in at least ¼ inch font that reads ''For installation only in HUD manufactured home per Construction Safety Standard 24 CFR part 3280.''

Multi-head mini-split system means a split system that has one outdoor unit and that has two or more indoor units connected with a single refrigeration circuit. The indoor units operate in unison in response to a single indoor thermostat.

Multiple-circuit (or multi-circuit) system means a split system that has one outdoor unit and that has two or more indoor units installed on two or more refrigeration circuits such that each refrigeration circuit serves a compressor and one and only one indoor unit, and refrigerant is not shared from circuit to circuit.

Multiple-split (or multi-split) system means a split system that has one outdoor unit and two or more coil-only indoor units and/or blower coil indoor units connected with a single refrigerant circuit. The indoor units operate independently and can condition multiple zones in response to at least two indoor thermostats or temperature sensors.

The outdoor unit operates in response to independent operation of the indoor units based on control input of multiple indoor thermostats or temperature sensors, and/or based on refrigeration circuit sensor input (*e.g.*, suction pressure).

*Nominal capacity means t*he capacity that is claimed by the manufacturer on the product name plate. Nominal cooling capacity is approximate to the air conditioner cooling capacity tested at A or A_2 condition. Nominal heating capacity is approximate to the heat pump heating capacity tested in the $H1_N$ test.

Non-ducted indoor unit means an indoor unit that is designed to be permanently installed, mounted on room walls and/or ceilings, and that directly heats or cools air within the conditioned space.

Normalized Gross Indoor Fin Surface (NGIFS) means the gross fin surface area of the indoor unit coil divided by the cooling capacity measured for the A or A_2 Test, whichever applies.

Off-mode power consumption means the power consumption when the unit is connected to its main power source but is neither providing cooling nor heating to the building it serves.

Off-mode season means, for central air conditioners other than heat pumps, the shoulder season and the entire heating season; and for heat pumps, the shoulder season only.

Outdoor unit means a separate assembly of a split system that transfers heat between the refrigerant and the outdoor air, and consists of an outdoor coil, compressor(s), an air moving device, and in addition for heat pumps, may include a heating mode expansion device, reversing valve, and/or defrost controls.

Outdoor unit manufacturer (OUM) means a manufacturer of single-package units, outdoor units, and/or both indoor units and outdoor units.

Part-load factor (PLF) means the ratio of the cyclic EER (or COP for heating) to the steady-state EER (or COP), where both EERs (or COPs) are determined based on operation at the same ambient conditions.

Seasonal energy efficiency ratio 2 (SEER2) means the total heat removed from the conditioned space during the annual cooling season, expressed in Btu's, divided by the total electrical energy consumed by the central air conditioner or heat pump during the same season, expressed in watt-hours. SEER2 is determined in accordance with appendix M1.

Service coil means an arrangement of refrigerant-to-air heat transfer coil(s), condensate drain pan, sheet metal or plastic parts to direct/route airflow over the coil(s), which may or may not include external cabinetry and/or a cooling mode expansion device, distributed in commerce solely for replacing an uncased coil or cased coil that has already been placed into service, and that has been labeled ''for indoor coil replacement only'' on the nameplate and in manufacturer technical and product literature. The model number for any service coil must include some mechanism (*e.g.*, an additional letter or number) for differentiating a service coil from a coil intended for an indoor unit.

Shoulder season means the months of the year in between those months that require cooling and those months that require heating, *e.g.*, typically, and roughly, April through May, and September through October.

Single-package unit means any central air conditioner or heat pump that has all major assemblies enclosed in one cabinet.

Single-split system means a split system that has one outdoor unit and one indoor unit connected with a single refrigeration circuit.

Small-duct, high-velocity system means a split system for which all indoor units are blower coil indoor units that produce at least 1.2 inches (of water column) of external static pressure when operated at the full-load air volume rate certified by the manufacturer of at least 220 scfm per rated ton of cooling.

Split system means any central air conditioner or heat pump that has at least two separate assemblies that are connected with refrigerant piping when installed. One of these assemblies includes an indoor coil that exchanges heat with the indoor air to provide heating or cooling, while one of the others includes an outdoor coil that exchanges heat with the outdoor air. Split systems may be either blower coil systems or coil-only systems.

Standard Air means dry air having a mass density of 0.075 lb/ft^3.

Steady-state test means a test where the test conditions are regulated to remain as constant as possible while the unit operates continuously in the same mode.

Temperature bin means the 5 °F increments that are used to partition the outdoor dry-bulb temperature ranges of the cooling (≥65 °F) and heating (<65 °F) seasons.

Test condition tolerance means the maximum permissible difference between the average value of the measured test parameter and the specified test condition.

Test operating tolerance means the maximum permissible range that a measurement may vary over the specified test interval. The difference between the maximum and minimum sampled values must be less than or equal to the specified test operating tolerance.

Tested combination means a multi-head mini-split, multi-split, or multi-circuit system having the following features:

(1) The system consists of one outdoor unit with one or more compressors matched with between two and five indoor units;

(2) The indoor units must:

(i) Collectively, have a nominal cooling capacity greater than or equal to 95 percent and less than or equal to 105 percent of the nominal cooling capacity of the outdoor unit;

(ii) Each represent the highest sales volume model family, if this is possible while meeting all the requirements of this section. If this is not possible, one or more of the indoor units may represent another indoor model family in order that all the other requirements of this section are met.

(iii) Individually not have a nominal cooling capacity greater than 50 percent of the nominal cooling capacity of the outdoor unit, unless the nominal cooling capacity of the outdoor unit is 24,000 Btu/h or less;

(iv) Operate at fan speeds consistent with manufacturer's specifications; and

(v) All be subject to the same minimum external static pressure requirement while able to produce the same external static pressure at the exit of each outlet plenum when connected in a manifold configuration as required by the test procedure.

(3) Where referenced, ''nominal cooling capacity'' means, for indoor units, the highest cooling capacity listed in published product literature for 95 °F outdoor dry bulb temperature and 80 °F dry bulb, 67 °F wet bulb indoor conditions, and for outdoor units, the lowest cooling capacity listed in published product literature for these conditions. If incomplete or no operating conditions are published, use the highest (for indoor units) or lowest (for outdoor units) such cooling capacity available for sale.

Time-adaptive defrost control system is a demand-defrost control system that measures the length of the prior defrost period(s) and uses that information to automatically determine when to initiate the next defrost cycle.

Time-temperature defrost control systems initiate or evaluate initiating a defrost cycle only when a predetermined cumulative compressor ON-time is obtained. This predetermined ON-time is generally a fixed value (*e.g.*, 30, 45, 90 minutes) although it may vary based on the measured outdoor dry-bulb temperature. The ON-time counter accumulates if controller measurements (*e.g.*, outdoor temperature, evaporator temperature) indicate that frost formation conditions are present, and it is reset/remains at zero at all other times. In one application of the control scheme, a defrost is initiated whenever the counter time equals the predetermined ON-time. The counter is reset when the defrost cycle is completed.

In a second application of the control scheme, one or more parameters are measured (*e.g.*, air and/or refrigerant temperatures) at the predetermined, cumulative, compressor ON-time. A defrost is initiated only if the measured parameter(s) falls within a predetermined range. The ON-time counter is reset regardless of whether or not a defrost is initiated. If systems of this second type use cumulative ON-time intervals of 10 minutes or less, then the heat pump may qualify as having a demand defrost control system (see definition).

Triple-capacity, northern heat pump means a heat pump that provides two stages of cooling and three stages of heating. The two common stages for both the cooling and heating modes are the low capacity stage and the high capacity stage. The additional heating mode stage is the booster capacity stage, which offers the highest heating capacity output for a given set of ambient operating conditions.

Triple-split system means a split system that is composed of three separate assemblies: An outdoor fan coil section, a blower coil indoor unit, and an indoor compressor section.

Two-capacity (or two-stage) compressor system means a central air conditioner or heat pump that has a compressor or a group of compressors operating with only two stages of capacity. For such systems, low capacity means the compressor(s) operating at low stage, or at low load test conditions. The low compressor stage that operates for heating mode tests may be the same or different from the low compressor stage that operates for cooling mode tests. For such systems, high capacity means the compressor(s) operating at high stage, or at full load test conditions.

Two-capacity, northern heat pump means a heat pump that has a factory or field-selectable lock-out feature to prevent space cooling at high-capacity. Two-capacity heat pumps having this feature will typically have two sets of ratings, one with the feature disabled and one with the feature enabled. The heat pump is a two-capacity northern heat pump only when this feature is enabled at all times. The certified indoor coil model number must reflect whether the ratings pertain to the lockout enabled option via the inclusion of an extra identifier, such as ''+LO''. When testing as a two-capacity, northern heat pump, the lockout feature must remain enabled for all tests.

Uncased coil means a coil-only indoor unit without external cabinetry.

Variable refrigerant flow (VRF) system means a multi-split system with at least three compressor capacity stages, distributing refrigerant through a piping network to multiple indoor blower coil units each capable of individual zone temperature control, through proprietary zone temperature control devices and a common communications network. Note: Single-phase VRF systems less than 65,000 Btu/h are central air conditioners and central air conditioning heat pumps.

Variable-speed communicating coil-only central air conditioner or heat pump means a variable-speed compressor system having a coil-only indoor unit that is installed with a control system that:

(a) Communicates the difference in space temperature and space setpoint temperature (not a setpoint value inferred from on/off thermostat signals) to the control that sets compressor speed;

(b) Provides a signal to the indoor fan to set fan speed appropriate for compressor staging; and

(c) Has installation instructions indicating that the control system having these capabilities must be installed.

Variable-speed compressor system means a central air conditioner or heat pump that has a compressor that uses a variable-speed drive to vary the compressor speed to achieve variable capacities.

Variable-speed non-communicating coil-only central air conditioner or heat pump means a variable-speed compressor system having a coil-only indoor unit that is does not meet the definition of variable-speed communicating coil-only central air conditioner or heat pump.

Wall-mount blower coil system means a split system air conditioner or heat pump for which:

(a) The outdoor unit has a certified cooling capacity less than or equal to 36,000 Btu/h;

(b) The indoor unit(s) is/are shipped with manufacturer-supplied installation instructions that specify mounting only by:

(1) Securing the back side of the unit to a wall within the conditioned space, or

(2) Securing the unit to adjacent wall studs or in an enclosure, such as a closet, such that the indoor unit's front face is flush with a wall in the conditioned space;

(c) Has front air return without ductwork and is not capable of horizontal air discharge; and

(d) Has a height no more than 45 inches, a depth (perpendicular to the wall) no more than 22 inches (including tubing connections), and a width no more than 24 inches (parallel to the wall).

Wet-coil test means a test conducted at test conditions that typically cause water vapor to condense on the test unit evaporator coil.

2 TESTING OVERVIEW AND CONDITIONS

(A) Test VRF systems using AHRI 1230–2010 (incorporated by reference, see §430.3) and appendix M. Where AHRI 1230–2010 refers to the appendix C therein substitute the provisions of this appendix. In cases where there is a conflict, the language of the test procedure in this appendix takes precedence over AHRI 1230–2010.

For definitions use section 1 of appendix M and section 3 of AHRI 1230–2010. For rounding requirements, refer to §430.23(m). For determination of certified ratings, refer to §429.16 of this chapter.

For test room requirements, refer to section 2.1 of this appendix. For test unit installation requirements refer to sections 2.2.a, 2.2.b, 2.2.c, 2.2.1, 2.2.2, 2.2.3.a, 2.2.3.c, 2.2.4, 2.2.5, and 2.4 to 2.12 of this appendix, and sections 5.1.3 and 5.1.4 of AHRI 1230–2010. The ''manufacturer's published instructions,'' as stated in section 8.2 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) and ''manufacturer's installation instructions'' discussed in this appendix mean the manufacturer's installation instructions that come packaged with or appear in the labels applied to the unit. This does not include online manuals. Installation instructions that appear in the labels applied to the unit take precedence over installation instructions that are shipped with the unit.

For general requirements for the test procedure, refer to section 3.1 of this appendix, except for sections 3.1.3 and 3.1.4, which are requirements for indoor air volume and outdoor air volume. For indoor air volume and outdoor air volume requirements, refer instead to section 6.1.5 (except where section 6.1.5 refers to Table 8, refer instead to Table 4 of this appendix) and 6.1.6 of AHRI 1230–2010.

For the test method, refer to sections 3.3 to 3.5 and 3.7 to 3.13 of this appendix. For cooling mode and heating mode test conditions, refer to section 6.2 of AHRI 1230–2010. For calculations of seasonal performance descriptors, refer to section 4 of this appendix.

(B) For systems other than VRF, only a subset of the sections listed in this test procedure apply when testing and determining represented values for a particular unit. Table 1 to this appendix shows the sections of the test procedure that apply to each system. Table 1 is meant to assist manufacturers in finding the appropriate sections of the test procedure. Manufacturers are responsible for determining which sections apply to each unit tested based on the model characteristics. The appendix sections provide the specific requirements for testing. To use Table 1, first refer to the sections listed under ''all units''. Then refer to additional requirements based on:

(1) System configuration(s),

(2) The compressor staging or modulation capability, and

(3) Any special features.

Testing requirements for space-constrained products do not differ from similar products that are not space-constrained, and thus space-constrained products are not listed separately in Table 1. Air conditioners and heat pumps are not listed separately in Table 1, but heating procedures and calculations apply only to heat pumps.

The ''manufacturer's published instructions,'' as stated in Section 8.2 of ANSI/

ASHRAE Standard 37–2009 (incorporated by reference, see §430.3) and ''manufacturer's installation instructions'' discussed in this appendix mean the manufacturer's installation instructions that come packaged with the unit or appear in the labels applied to the unit. Manufacturer's installation instructions do not include online manuals. Installation instructions that appear in the labels applied to the unit shall take precedence over installation instructions that come packaged with the unit.

Table 1 Informative Guidance for Using Appendix M1

		Testing conditions	Testing procedures			Calculations		
		General	General	Cooling*	Heating**	General	Cooling*	Heating**
Requirements for all units (except VRF)		2.1; 2.2a-c; 2.2.1; 2.2.4; 2.2.4.1; 2.2.4.1 (1); 2.2.4.2; 2.2.5.1-5; 2.2.5.7-8; 2.3; 2.3.1; 2.3.2; 2.4; 2.4.1a,d; 2.5a-c; 2.5.1; 2.5.2 - 2.5.4.2; 2.5.5 – 2.13	3.1; 3.1.1-3; 3.1.5-9; 3.11; 3.12	3.3; 3.4; 3.5a-i	3.1.4.7; 3.1.9; 3.7a,b,d; 3.8a,d; 3.8.1; 3.9; 3.10	4.4; 4.5	4.1	4.2
Additional Requirements	System Configurations (more than one may apply)							
	Single-split system – blower coil	2.2a(1)		3.1.4.1.1; 3.1.4.1.1a,b; 3.1.4.2a-b; 3.1.4.3a-b	3.1.4.4.1; 3.1.4.4.2; 3.1.4.4.3a-b; 3.1.4.5.1; 3.1.4.5.2a-c; 3.1.4.6a-b			
	Single-split system - coil-only	2.2a(1); 2.2d,e; 2.4.2		3.1.4.1.1; 3.1.4.1.1c; 3.1.4.2c; 3.5.1	3.1.4.4.1; 3.1.4.4.2; 3.1.4.4.3c; 3.1.4.5.2d; 3.7c; 3.8b; 3.9f; 3.9.1b			
	Tri-split	2.2a(2)						
	Outdoor unit with no match	2.2e						
	Single-package	2.2.4.1(2); 2.2.5.6b; 2.4.2		3.1.4.1.1; 3.1.4.1.1a,b; 3.1.4.2a-b; 3.1.4.3a-b	3.1.4.4.1; 3.1.4.4.2; 3.1.4.4.3a-b; 3.1.4.5.1; 3.1.4.5.2a-c; 3.1.4.6a-b			
	Heat pump	2.2.5.6.a						
	Heating-only heat pump			3.1.4.1.1 Table 5	3.1.4.4.3			

	Two-capacity northern heat pump		3.1.4.4.2c; 3.1.4.5.2 c- d	3.2.3c	3.6.3				
	Triple-capacity northern heat pump			3.2.5	3.6.6				4.2.6
	SDHV (non-VRF)	2.2b; 2.4.1c; 2.5.4.3							
	Single- zone-multi-coil split and non-VRF multiple-split with duct	2.2a(1),(3); 2.2.3; 2.4.1b		3.1.4.1.1; 3.1.4.1.1a-b; 3.1.4.2a-b; 3.1.4.3a-b	3.1.4.4.1; 3.1.4.4.2; 3.1.4.4.3a-b; 3.1.4.5.1; 3.1.4.5.2a-e; 3.1.4.6a-b				
	Single-zonc-multi-coil split and non-VRF multiple-split, ductless	2.2.a(1),(3); 2.2.3		3.1.4.1.2; 3.1.4.2d; 3.1.4.3c; 3.2.4c; 3.5c,g,h; 3.5.2; 3.8c	3.1.4.4.4; 3.1.4.5.2c; 3.1.4.6c; 3.6.4.c; 3.8c				
	VRF multiple-split[‡] and VRF SDHV[†]	2.1; 2.2.a; 2.2.b; 2.2.c; 2.2.1; 2.2.2; 2.2.3.a; 2.2.3.c; 2.2.4; 2.2.5; 2.4-2.12	3.1 (except 3.1.3, 3.1.4) 3.1.4.1.1c; 3.11-3.13	3.3-3.5	3.7-3.10	4.4; 4.5	4.1	4.2	
Modulation Capability	Single speed compressor, fixed air volume rate			3.2.1	3.6.1		4.1.1	4.2.1	
	Single speed compressor, VAV fan			3.2.2	3.6.2		4.1.2	4.2.2	
	Two-capacity compressor		3.1.9	3.2.3	3.6.3		4.1.3	4.2.3	
	Variable-speed compressor			3.2.4	3.6.4		4.1.4	4.2.4	
Special Features	Heat pump with heat comfort controller				3.6.5			4.2.5	
	Units with a multi-speed outdoor fan	2.2.2							
	Single indoor unit having multiple indoor blowers			3.2.6	3.6.2; 3.6.7		4.1.5	4.2.7	

*Does not apply to heating-only heat pumps.

**Applies only to heat pumps; not to air conditioners.

†Use AHRI 1230-2010 (incorporated by reference, see §430.3), with the sections referenced in section 2(A) of this appendix, in conjunction with the sections set forth in the table to perform test setup, testing, and calculations for determining represented values for VRF multiple-split and VRF SDHV systems.

NOTE: For all units, use section 3.13 of this appendix for off mode testing procedures and section 4.3 of this appendix for off mode calculations. For all units subject to an EER2 standard, use section 4.6 of this appendix to determine the energy efficiency ratio.

2.1 Test Room Requirements.

a. Test using two side-by-side rooms: An indoor test room and an outdoor test room. For multiple-split, single-zone-multi-coil or multi-circuit air conditioners and heat pumps, however, use as many indoor test rooms as needed to accommodate the total number of indoor units. These rooms must

comply with the requirements specified in sections 8.1.2 and 8.1.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3).

b. Inside these test rooms, use artificial loads during cyclic tests and frost accumulation tests, if needed, to produce stabilized room air temperatures. For one room, select an electric resistance heater(s) having a heating capacity that is approximately equal to the heating capacity of the test unit's condenser. For the second room, select a heater(s) having a capacity that is close to the sensible cooling capacity of the test unit's evaporator. Cycle the heater located in the same room as the test unit evaporator coil ON and OFF when the test unit cycles ON and OFF. Cycle the heater located in the same room as the test unit condensing coil ON and OFF when the test unit cycles OFF and ON.

2.2 Test Unit Installation Requirements.

a. Install the unit according to section 8.2 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3), subject to the following additional requirements:

(1) When testing split systems, follow the requirements given in section 6.1.3.5 of AHRI 210/240–2008 (incorporated by reference, see §430.3). For the vapor refrigerant line(s), use the insulation included with the unit; if no insulation is provided, use insulation meeting the specifications for the insulation in the installation instructions included with the unit by the manufacturer; if no insulation is included with the unit and the installation instructions do not contain provisions for insulating the line(s), fully insulate the vapor refrigerant line(s) with vapor proof insulation having an inside diameter that matches the refrigerant tubing and a nominal thickness of at least 0.5 inches. For the liquid refrigerant line(s), use the insulation included with the unit; if no insulation is provided, use insulation meeting the specifications for the insulation in the installation instructions included with the unit by the manufacturer; if no insulation is included with the unit and the installation instructions do not contain provisions for insulating the line(s), leave the liquid refrigerant line(s) exposed to the air for air conditioners and heat pumps that heat and cool; or, for heating-only heat pumps, insulate the liquid refrigerant line(s) with insulation having an inside diameter that matches the refrigerant tubing and a nominal thickness of at least 0.5 inches. However, these requirements do not take priority over instructions for application of insulation for the purpose of improving refrigerant temperature measurement accuracy as required by sections 2.10.2 and 2.10.3 of this appendix. Insulation must be the same for the cooling and heating tests.

(2) When testing split systems, if the indoor unit does not ship with a cooling mode expansion device, test the system using the device as specified in the installation instructions provided with the indoor unit. If none is specified, test the system using a fixed orifice or piston type expansion device that is sized appropriately for the system.

(3) When testing triple-split systems (see section 1.2 of this appendix, Definitions), use the tubing length specified in section 6.1.3.5 of AHRI 210/240–2008 (incorporated by reference, see §430.3) to connect the outdoor coil, indoor compressor section, and indoor coil while still meeting the requirement of exposing 10 feet of the tubing to outside conditions;

(4) When testing split systems having multiple indoor coils, connect each indoor blower coil unit to the outdoor unit using:

(a) 25 feet of tubing, or

(b) Tubing furnished by the manufacturer, whichever is longer.

(5) When testing split systems having multiple indoor coils, expose at least 10 feet of the system interconnection tubing to the outside conditions. If they are needed to make a secondary measurement of capacity or for verification of refrigerant charge, install refrigerant pressure measuring instruments as described in section 8.2.5 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). Section 2.10 of this appendix specifies which secondary methods require refrigerant pressure measurements and section 2.2.5.5 of this appendix discusses use of pressure measurements to verify charge. At a minimum, insulate the low-pressure line(s) of a split system with insulation having an inside diameter that matches the refrigerant tubing and a nominal thickness of 0.5 inch.

b. For units designed for both horizontal and vertical installation or for both up-flow and down-flow vertical installations, use the orientation for testing specified by the manufacturer in the certification report. Conduct testing with the following installed:

(1) The most restrictive filter(s);

(2) Supplementary heating coils; and

(3) Other equipment specified as part of the unit, including all hardware used by a heat comfort controller if so equipped (see section 1 of this appendix, Definitions). For small-duct, high-velocity systems, configure all balance dampers or restrictor devices on or inside the unit to fully open or lowest restriction.

c. Testing a ducted unit without having an indoor air filter installed is permissible as long as the minimum external static pressure requirement is adjusted as stated in Table 4, note 3 (see section 3.1.4 of this appendix). Except as noted in section 3.1.10 of this appendix, prevent the indoor air supplementary heating coils from operating during all tests. For uncased coils, create an enclosure using 1 inch fiberglass foil-faced ductboard having a nominal density of 6

pounds per cubic foot. Or alternatively, construct an enclosure using sheet metal or a similar material and insulating material having a thermal resistance (''R'' value) between 4 and 6 hr · ft^2 · °F/Btu. Size the enclosure and seal between the coil and/or drainage pan and the interior of the enclosure as specified in installation instructions shipped with the unit. Also seal between the plenum and inlet and outlet ducts.

d. When testing a coil-only system, install a toroidal-type transformer to power the system's low-voltage components, complying with any additional requirements for the transformer mentioned in the installation manuals included with the unit by the system manufacturer. If the installation manuals do not provide specifications for the transformer, use a transformer having the following features:

(1) A nominal volt-amp rating such that the transformer is loaded between 25 and 90 percent of this rating for the highest level of power measured during the off mode test (section 3.13 of this appendix);

(2) Designed to operate with a primary input of 230 V, single phase, 60 Hz; and

(3) That provides an output voltage that is within the specified range for each low-voltage component. Include the power consumption of the components connected to the transformer as part of the total system power consumption during the off mode tests; do not include the power consumed by the transformer when no load is connected to it.

e. Test an outdoor unit with no match (*i.e.*, that is not distributed in commerce with any indoor units) using a coil-only indoor unit with a single cooling air volume rate whose coil has:

(1) Round tubes of outer diameter no less than 0.375 inches, and

(2) A normalized gross indoor fin surface (NGIFS) no greater than 1.0 square inch per British thermal unit per hour (sq. in./Btu/hr). NGIFS is calculated as follows:

$NGIFS = 2 \times L_f \times W_f \times N_f \div \dot{Q}_c(95)$

where,

L_f = Indoor coil fin length in inches, also height of the coil transverse to the tubes.

W_f = Indoor coil fin width in inches, also depth of the coil.

N_f = Number of fins.

$\dot{Q}_c$ = the measured space cooling capacity of the tested outdoor unit/indoor unit combination as determined from the A_2 or A Test whichever applies, Btu/h.

f. If the outdoor unit or the outdoor portion of a single-package unit has a drain pan heater to prevent freezing of defrost water, energize the heater, subject to control to deenergize it when not needed by the heater's thermostat or the unit's control system, for all tests.

g. If pressure measurement devices are connected to a cooling/heating heat pump refrigerant circuit, the refrigerant charge M_t that could potentially transfer out of the connected pressure measurement systems (transducers, gauges, connections, and lines) between operating modes must be less than 2 percent of the factory refrigerant charge listed on the nameplate of the outdoor unit. If the outdoor unit nameplate has no listed refrigerant charge, or the heat pump is shipped without a refrigerant charge, use a factory refrigerant charge equal to 30 ounces per ton of certified cooling capacity. Use Equation 2.2–1 to calculate M_t for heat pumps that have a single expansion device located in the outdoor unit to serve each indoor unit, and use Equation 2.2–2 to calculate M_t for heat pumps that have two expansion devices per indoor unit.

Equation 2.2-1 $$M_t = \rho * (V_5 * f_5 + V_6 * f_6 + V_3 + V_4 - V_2)$$

Equation 2.2-2 $$M_t = \rho * (V_5 * f_5 + V_6 * f_6)$$

where:

V_i (i=2,3,4 . . .) = the internal volume of the pressure measurement system (pressure lines, fittings, and gauge and/or transducer) at the location i (as indicated in Table 2), (cubic inches)

f_i (i=5,6) = 0 if the pressure measurement system is pitched upwards from the pressure tap location to the gauge or transducer, 1 if it is not.

ρ = the density associated with liquid refrigerant at 100 °F bubble point conditions (ounces per cubic inch)

TABLE 2—PRESSURE MEASUREMENT LOCATIONS

Location	
Compressor Discharge	1
Between Outdoor Coil and Outdoor Expansion Valve(s)	2
Liquid Service Valve	3
Indoor Coil Inlet	4

TABLE 2—PRESSURE MEASUREMENT LOCATIONS—Continued

Location	
Indoor Coil Outlet	5
Common Suction Port (*i.e.*, vapor service valve)	6
Compressor Suction	7

Calculate the internal volume of each pressure measurement system using internal volume reported for pressure transducers and gauges in product literature, if available. If such information is not available, use the value of 0.1 cubic inch internal volume for each pressure transducer, and 0.2 cubic inches for each pressure gauge.

In addition, for heat pumps that have a single expansion device located in the outdoor unit to serve each indoor unit, the internal volume of the pressure system at location 2 (as indicated in Table 2) must be no more than 1 cubic inches. Once the pressure measurement lines are set up, no change should be made until all tests are finished.

2.2.1 Defrost Control Settings

Set heat pump defrost controls at the normal settings which most typify those encountered in generalized climatic region IV. (Refer to Figure 1 and Table 20 of section 4.2 of this appendix for information on region IV.) For heat pumps that use a time-adaptive defrost control system (see section 1.2 of this appendix, Definitions), the manufacturer must specify in the certification report the frosting interval to be used during frost accumulation tests and provide the procedure for manually initiating the defrost at the specified time.

2.2.2 Special Requirements for Units Having a Multiple-Speed Outdoor Fan

Configure the multiple-speed outdoor fan according to the installation manual included with the unit by the manufacturer, and thereafter, leave it unchanged for all tests. The controls of the unit must regulate the operation of the outdoor fan during all lab tests except dry coil cooling mode tests. For dry coil cooling mode tests, the outdoor fan must operate at the same speed used during the required wet coil test conducted at the same outdoor test conditions.

2.2.3 Special Requirements for Multi-Split Air Conditioners and Heat Pumps and Ducted Systems Using a Single Indoor Section Containing Multiple Indoor Blowers That Would Normally Operate Using Two or More Indoor Thermostats

Because these systems will have more than one indoor blower and possibly multiple outdoor fans and compressor systems, references in this test procedure to a singular indoor blower, outdoor fan, and/or compressor means all indoor blowers, all outdoor fans, and all compressor systems that are energized during the test.

a. Additional requirements for multi-split air conditioners and heat pumps. For any test where the system is operated at part load (*i.e.*, one or more compressors ''off'', operating at the intermediate or minimum compressor speed, or at low compressor capacity), the manufacturer must designate in the certification report the indoor coil(s) that are not providing heating or cooling during the test. For variable-speed systems, the manufacturer must designate in the certification report at least one indoor unit that is not providing heating or cooling for all tests conducted at minimum compressor speed. For all other part-load tests, the manufacturer must choose to turn off zero, one, two, or more indoor units. The chosen configuration must remain unchanged for all tests conducted at the same compressor speed/capacity. For any indoor coil that is not providing heating or cooling during a test, cease forced airflow through this indoor coil and block its outlet duct.

b. Additional requirements for ducted split systems with a single indoor unit containing multiple indoor blowers (or for single-package units with an indoor section containing multiple indoor blowers) where the indoor blowers are designed to cycle on and off independently of one another and are not controlled such that all indoor blowers are modulated to always operate at the same air volume rate or speed. For any test where the system is operated at its lowest capacity—*i.e.*, the lowest total air volume rate allowed when operating the single-speed compressor or when operating at low compressor capacity—turn off indoor blowers accounting for at least one-third of the full-load air volume rate unless prevented by the controls of the unit. In such cases, turn off as many indoor blowers as permitted by the unit's controls. Where more than one option exists for meeting this ''off'' requirement, the manufacturer must indicate in its certification report which indoor blower(s) are turned off. The chosen configuration shall remain unchanged for all tests conducted at the same lowest capacity configuration. For any indoor coil turned off during a test, cease forced airflow through any outlet duct connected to a switched-off indoor blower.

c. For test setups where the laboratory's physical limitations require use of more than the required line length of 25 feet as listed in section 2.2.a.(4) of this appendix, then the actual refrigerant line length used by the laboratory may exceed the required length and the refrigerant line length correction factors in Table 4 of AHRI 1230–2010 are applied to the cooling capacity measured for each cooling mode test.

2.2.4 Wet-Bulb Temperature Requirements for the Air Entering the Indoor and Outdoor Coils

2.2.4.1 Cooling Mode Tests

For wet-coil cooling mode tests, regulate the water vapor content of the air entering the indoor unit so that the wet-bulb temperature is as listed in Tables 5 to 8. As noted in these same tables, achieve a wet-bulb temperature during dry-coil cooling mode tests that results in no condensate forming on the indoor coil. Controlling the water vapor content of the air entering the outdoor side of the unit is not required for cooling mode tests except when testing:

(1) Units that reject condensate to the outdoor coil during wet coil tests. Tables 5–8 list the applicable wet-bulb temperatures.

(2) Single-package units where all or part of the indoor section is located in the outdoor test room. The average dew point temperature of the air entering the outdoor coil during wet coil tests must be within ±3.0 °F of the average dew point temperature of the air entering the indoor coil over the 30-minute data collection interval described in section 3.3 of this appendix. For dry coil tests on such units, it may be necessary to limit the moisture content of the air entering the outdoor coil of the unit to meet the requirements of section 3.4 of this appendix.

2.2.4.2 Heating Mode Tests

For heating mode tests, regulate the water vapor content of the air entering the outdoor unit to the applicable wet-bulb temperature listed in Tables 12 to 15. The wet-bulb temperature entering the indoor side of the heat pump must not exceed 60 °F. Additionally, if the Outdoor Air Enthalpy test method (section 2.10.1 of this appendix) is used while testing a single-package heat pump where all or part of the outdoor section is located in the indoor test room, adjust the wet-bulb temperature for the air entering the indoor side to yield an indoor-side dew point temperature that is as close as reasonably possible to the dew point temperature of the outdoor-side entering air.

2.2.5 Additional Refrigerant Charging Requirements

2.2.5.1 Instructions to Use for Charging

a. Where the manufacturer's installation instructions contain two sets of refrigerant charging criteria, one for field installations and one for lab testing, use the field installation criteria.

b. For systems consisting of an outdoor unit manufacturer's outdoor section and indoor section with differing charging procedures, adjust the refrigerant charge per the outdoor installation instructions.

c. For systems consisting of an outdoor unit manufacturer's outdoor unit and an independent coil manufacturer's indoor unit with differing charging procedures, adjust the refrigerant charge per the indoor unit's installation instructions. If instructions are provided only with the outdoor unit or are provided only with an independent coil manufacturer's indoor unit, then use the provided instructions.

2.2.5.2 Test(s) to Use for Charging

a. Use the tests or operating conditions specified in the manufacturer's installation instructions for charging. The manufacturer's installation instructions may specify use of tests other than the A or A_2 test for charging, but, unless the unit is a heating-only heat pump, determine the air volume rate by the A or A_2 test as specified in section 3.1 of this appendix.

b. If the manufacturer's installation instructions do not specify a test or operating conditions for charging or there are no manufacturer's instructions, use the following test(s):

(1) For air conditioners or cooling and heating heat pumps, use the A or A_2 test.

(2) For cooling and heating heat pumps that do not operate in the H1 or $H1_2$ test (*e.g.* due to shut down by the unit limiting devices) when tested using the charge determined at the A or A_2 test, and for heating-only heat pumps, use the H1 or $H1_2$ test.

2.2.5.3 Parameters to Set and Their Target Values

a. Consult the manufacturer's installation instructions regarding which parameters (*e.g.*, superheat) to set and their target values. If the instructions provide ranges of values, select target values equal to the midpoints of the provided ranges.

b. In the event of conflicting information between charging instructions (*i.e.*, multiple conditions given for charge adjustment where all conditions specified cannot be met), follow the following hierarchy.

(1) For fixed orifice systems:

(i) Superheat

(ii) High side pressure or corresponding saturation or dew-point temperature

(iii) Low side pressure or corresponding saturation or dew-point temperature

(iv) Low side temperature

(v) High side temperature

(vi) Charge weight

(2) For expansion valve systems:

(i) Subcooling

(ii) High side pressure or corresponding saturation or dew-point temperature

(iii) Low side pressure or corresponding saturation or dew-point temperature

(iv) Approach temperature (difference between temperature of liquid leaving condenser and condenser average inlet air temperature)

(v) Charge weight

c. If there are no installation instructions and/or they do not provide parameters and target values, set superheat to a target value of 12 °F for fixed orifice systems or set subcooling to a target value of 10 °F for expansion valve systems.

2.2.5.4 Charging Tolerances

a. If the manufacturer's installation instructions specify tolerances on target values for the charging parameters, set the values within these tolerances.

b. Otherwise, set parameter values within the following test condition tolerances for the different charging parameters:

11. Superheat: ± 2.0 °F

12. Subcooling: ± 2.0 °F

13. High side pressure or corresponding saturation or dew point temperature: ± 4.0 psi or ± 1.0 °F

14. Low side pressure or corresponding saturation or dew point temperature: ± 2.0 psi or ± 0.8 °F

15. High side temperature: ± 2.0 °F

16. Low side temperature: ± 2.0 °F

17. Approach temperature: ± 1.0 °F

18. Charge weight: ± 2.0 ounce

2.2.5.5 Special Charging Instructions

a. Cooling and Heating Heat Pumps

If, using the initial charge set in the A or A_2 test, the conditions are not within the range specified in manufacturer's installation instructions for the H1 or $H1_2$ test, make as small as possible an adjustment to obtain conditions for this test in the specified range. After this adjustment, recheck conditions in the A or A_2 test to confirm that they are still within the specified range for the A or A_2 test.

b. Single-Package Systems

i. Unless otherwise directed by the manufacturer's installation instructions, install one or more refrigerant line pressure gauges during the setup of the unit, located depending on the parameters used to verify or set charge, as described:

(1) Install a pressure gauge at the location of the service valve on the liquid line if charging is on the basis of subcooling, or high side pressure or corresponding saturation or dew point temperature;

(2) Install a pressure gauge at the location of the service valve on the suction line if charging is on the basis of superheat, or low side pressure or corresponding saturation or dew point temperature.

ii. Use methods for installing pressure gauge(s) at the required location(s) as indicated in manufacturer's instructions if specified.

2.2.5.6 Near-Azeotropic and Zeotropic Refrigerants

Perform charging of near-azeotropic and zeotropic refrigerants only with refrigerant in the liquid state.

2.2.5.7 Adjustment of Charge Between Tests

After charging the system as described in this test procedure, use the set refrigerant charge for all tests used to determine performance. Do not adjust the refrigerant charge at any point during testing. If measurements indicate that refrigerant charge has leaked during the test, repair the refrigerant leak, repeat any necessary set-up steps, and repeat all tests.

2.3 Indoor Air Volume Rates

If a unit's controls allow for overspeeding the indoor blower (usually on a temporary basis), take the necessary steps to prevent overspeeding during all tests.

2.3.1 Cooling Tests

a. Set indoor blower airflow-control settings (*e.g.,* fan motor pin settings, fan motor speed) according to the requirements that are specified in section 3.1.4 of this appendix.

b. Express the Cooling full-load air volume rate, the Cooling Minimum Air Volume Rate, and the Cooling Intermediate Air Volume Rate in terms of standard air.

2.3.2 Heating Tests

a. Set indoor blower airflow-control settings (*e.g.,* fan motor pin settings, fan motor speed) according to the requirements that are specified in section 3.1.4 of this appendix.

b. Express the heating full-load air volume rate, the heating minimum air volume rate, the heating intermediate air volume rate, and the heating nominal air volume rate in terms of standard air.

2.4 Indoor Coil Inlet and Outlet Duct Connections

Insulate and/or construct the outlet plenum as described in section 2.4.1 of this appendix and, if installed, the inlet plenum described in section 2.4.2 of this appendix with thermal insulation having a nominal overall resistance (R-value) of at least 19 hr·ft² °F/Btu.

2.4.1 Outlet Plenum for the Indoor Unit

a. Attach a plenum to the outlet of the indoor coil. (NOTE: For some packaged systems, the indoor coil may be located in the outdoor test room.)

b. For systems having multiple indoor coils, or multiple indoor blowers within a single indoor section, attach a plenum to

each indoor coil or indoor blower outlet. In order to reduce the number of required airflow measurement apparatuses (section 2.6 of this appendix), each such apparatus may serve multiple outlet plenums connected to a single common duct leading to the apparatus. More than one indoor test room may be used, which may use one or more common ducts leading to one or more airflow measurement apparatuses within each test room that contains multiple indoor coils. At the plane where each plenum enters a common duct, install an adjustable airflow damper and use it to equalize the static pressure in each plenum. The outlet air temperature grid(s) (section 2.5.4 of this appendix) and airflow measuring apparatus shall be located downstream of the inlet(s) to the common duct(s). For multiple-circuit (or multi-circuit) systems for which each indoor coil outlet is measured separately and its outlet plenum is not connected to a common duct connecting multiple outlet plenums, install the outlet air temperature grid and airflow measuring apparatus at each outlet plenum.

c. For small-duct, high-velocity systems, install an outlet plenum that has a diameter that is equal to or less than the value listed in Table 3. The limit depends only on the Cooling full-load air volume rate (see section 3.1.4.1.1 of this appendix) and is effective regardless of the flange dimensions on the outlet of the unit (or an air supply plenum adapter accessory, if installed in accordance with the manufacturer's installation instructions).

d. Add a static pressure tap to each face of the (each) outlet plenum, if rectangular, or at four evenly distributed locations along the circumference of an oval or round plenum. Create a manifold that connects the four static pressure taps. Figure 9 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) shows allowed options for the manifold configuration. The cross-sectional dimensions of plenum must be equal to the dimensions of the indoor unit outlet. See Figures 7a, 7b, and 7c of ANSI/ASHRAE 37–2009 for the minimum length of the (each) outlet plenum and the locations for adding the static pressure taps for ducted blower coil indoor units and single-package systems. See Figure 8 of ANSI/ASHRAE 37–2009 for coil-only indoor units.

TABLE 3—SIZE OF OUTLET PLENUM FOR SMALL-DUCT HIGH-VELOCITY INDOOR UNITS

Cooling full-load air volume rate (scfm)	Maximum diameter* of outlet plenum (inches)
≤500	6
501 to 700	7
701 to 900	8
901 to 1100	9
1101 to 1400	10
1401 to 1750	11

*If the outlet plenum is rectangular, calculate its equivalent diameter using ($4A/P$,) where A is the cross-sectional area and P is the perimeter of the rectangular plenum, and compare it to the listed maximum diameter.

2.4.2 Inlet Plenum for the Indoor Unit

Install an inlet plenum when testing a coil-only indoor unit, a ducted blower coil indoor unit, or a single-package system. See Figures 7b and 7c of ANSI/ASHRAE 37–2009 for cross-sectional dimensions, the minimum length of the inlet plenum, and the locations of the static-pressure taps for ducted blower coil indoor units and single-package systems. See Figure 8 of ANSI/ASHRAE 37–2009 for coil-only indoor units. The inlet plenum duct size shall equal the size of the inlet opening of the air-handling (blower coil) unit or furnace. For a ducted blower coil indoor unit the set up may omit the inlet plenum if an inlet airflow prevention device is installed with a straight internally unobstructed duct on its outlet end with a minimum length equal to 1.5 times the square root of the cross-sectional area of the indoor unit inlet. See section 2.1.5.2 of this appendix for requirements for the locations of static pressure taps built into the inlet airflow prevention device. For all of these arrangements, make a manifold that connects the four static-pressure taps using one of the three configurations specified in section 2.4.1.d. of this appendix. Never use an inlet plenum when testing a non-ducted system.

2.5 Indoor Coil Air Property Measurements and Airflow Prevention Devices.

Follow instructions for indoor coil air property measurements as described in section 2.14 of this appendix, unless otherwise instructed in this section.

a. Measure the dry-bulb temperature and water vapor content of the air entering and leaving the indoor coil. If needed, use an air sampling device to divert air to a sensor(s) that measures the water vapor content of the air. See section 5.3 of ANSI/ASHRAE 41.1–2013 (incorporated by reference, see §430.3) for guidance on constructing an air sampling device. No part of the air sampling device or the tubing transferring the sampled air to the sensor must be within two inches of the test chamber floor, and the transfer tubing must be insulated. The sampling device may also be used for measurement of dry bulb temperature by transferring the sampled air to a remotely located

sensor(s). The air sampling device and the remotely located temperature sensor(s) may be used to determine the entering air dry bulb temperature during any test. The air sampling device and the remotely located sensor(s) may be used to determine the leaving air dry bulb temperature for all tests except:

(1) Cyclic tests; and

(2) Frost accumulation tests.

b. Install grids of temperature sensors to measure dry bulb temperatures of both the entering and leaving airstreams of the indoor unit. These grids of dry bulb temperature sensors may be used to measure average dry bulb temperature entering and leaving the indoor unit in all cases (as an alternative to the dry bulb sensor measuring the sampled air). The leaving airstream grid is required for measurement of average dry bulb temperature leaving the indoor unit for cyclic tests and frost accumulation tests. The grids are also required to measure the air temperature distribution of the entering and leaving airstreams as described in sections 3.1.8 of this appendix. Two such grids may be applied as a thermopile, to directly obtain the average temperature difference rather than directly measuring both entering and leaving average temperatures.

c. Use of airflow prevention devices. Use an inlet and outlet air damper box, or use an inlet upturned duct and an outlet air damper box when conducting one or both of the cyclic tests listed in sections 3.2 and 3.6 of this appendix on ducted systems. If not conducting any cyclic tests, an outlet air damper box is required when testing ducted and non-ducted heat pumps that cycle off the indoor blower during defrost cycles and there is no other means for preventing natural or forced convection through the indoor unit when the indoor blower is off. Never use an inlet damper box or an inlet upturned duct when testing non-ducted indoor units. An inlet upturned duct is a length of ductwork installed upstream from the inlet such that the indoor duct inlet opening, facing upwards, is sufficiently high to prevent natural convection transfer out of the duct. If an inlet upturned duct is used, install a dry bulb temperature sensor near the inlet opening of the indoor duct at a centerline location not higher than the lowest elevation of the duct edges at the inlet, and ensure that any pair of 5-minute averages of the dry bulb temperature at this location, measured at least every minute during the compressor OFF period of the cyclic test, do not differ by more than 1.0 °F.

2.5.1 Test Set-Up on the Inlet Side of the Indoor Coil: for Cases Where the Inlet Airflow Prevention Device is Installed

a. Install an airflow prevention device as specified in section 2.5.1.1 or 2.5.1.2 of this appendix, whichever applies.

b. For an inlet damper box, locate the grid of entering air dry-bulb temperature sensors, if used, and the air sampling device, or the sensor used to measure the water vapor content of the inlet air, at a location immediately upstream of the damper box inlet. For an inlet upturned duct, locate the grid of entering air dry-bulb temperature sensors, if used, and the air sampling device, or the sensor used to measure the water vapor content of the inlet air, at a location at least one foot downstream from the beginning of the insulated portion of the duct but before the static pressure measurement.

2.5.1.1 If the section 2.4.2 inlet plenum is installed, construct the airflow prevention device having a cross-sectional flow area equal to or greater than the flow area of the inlet plenum. Install the airflow prevention device upstream of the inlet plenum and construct ductwork connecting it to the inlet plenum. If needed, use an adaptor plate or a transition duct section to connect the airflow prevention device with the inlet plenum. Insulate the ductwork and inlet plenum with thermal insulation that has a nominal overall resistance (R-value) of at least 19 $hr \cdot ft^2 \cdot °F/Btu$.

2.5.1.2 If the section 2.4.2 inlet plenum is not installed, construct the airflow prevention device having a cross-sectional flow area equal to or greater than the flow area of the air inlet of the indoor unit. Install the airflow prevention device immediately upstream of the inlet of the indoor unit. If needed, use an adaptor plate or a short transition duct section to connect the airflow prevention device with the unit's air inlet. Add static pressure taps at the center of each face of a rectangular airflow prevention device, or at four evenly distributed locations along the circumference of an oval or round airflow prevention device. Locate the pressure taps at a distance from the indoor unit inlet equal to 0.5 times the square root of the cross sectional area of the indoor unit inlet. This location must be between the damper and the inlet of the indoor unit, if a damper is used. Make a manifold that connects the four static pressure taps using one of the configurations shown in Figure 9 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). Insulate the ductwork with thermal insulation that has a nominal overall resistance (R-value) of at least 19 $hr \cdot ft^{2,} \cdot °F/Btu$.

2.5.2 Test Set-Up on the Inlet Side of the Indoor Unit: for Cases Where No Airflow Prevention Device is Installed

If using the section 2.4.2 inlet plenum and a grid of dry bulb temperature sensors, mount the grid at a location upstream of the static pressure taps described in section 2.4.2 of this appendix, preferably at the entrance plane of the inlet plenum. If the section 2.4.2

inlet plenum is not used (*i.e.* for non-ducted units) locate a grid approximately 6 inches upstream of the indoor unit inlet. In the case of a system having multiple non-ducted indoor units, do this for each indoor unit. Position an air sampling device, or the sensor used to measure the water vapor content of the inlet air, immediately upstream of the (each) entering air dry-bulb temperature sensor grid. If a grid of sensors is not used, position the entering air sampling device (or the sensor used to measure the water vapor content of the inlet air) as if the grid were present.

2.5.3 Indoor Coil Static Pressure Difference Measurement

Fabricate pressure taps meeting all requirements described in section 6.5.2 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) and illustrated in Figure 2A of AMCA 210–2007 (incorporated by reference, see §430.3), however, if adhering strictly to the description in section 6.5.2 of ANSI/ASHRAE 37–2009, the minimum pressure tap length of 2.5 times the inner diameter of Figure 2A of AMCA 210–2007 is waived. Use a differential pressure measuring instrument that is accurate to within ±0.01 inches of water and has a resolution of at least 0.01 inches of water to measure the static pressure difference between the indoor coil air inlet and outlet. Connect one side of the differential pressure instrument to the manifolded pressure taps installed in the outlet plenum. Connect the other side of the instrument to the manifolded pressure taps located in either the inlet plenum or incorporated within the airflow prevention device. For non-ducted systems that are tested with multiple outlet plenums, measure the static pressure within each outlet plenum relative to the surrounding atmosphere.

2.5.4 Test Set-Up on the Outlet Side of the Indoor Coil

a. Install an interconnecting duct between the outlet plenum described in section 2.4.1 of this appendix and the airflow measuring apparatus described below in section 2.6 of this appendix. The cross-sectional flow area of the interconnecting duct must be equal to or greater than the flow area of the outlet plenum or the common duct used when testing non-ducted units having multiple indoor coils. If needed, use adaptor plates or transition duct sections to allow the connections. To minimize leakage, tape joints within the interconnecting duct (and the outlet plenum). Construct or insulate the entire flow section with thermal insulation having a nominal overall resistance (R-value) of at least 19 $hr \cdot ft^{2,} \cdot °F/Btu$.

b. Install a grid(s) of dry-bulb temperature sensors inside the interconnecting duct. Also, install an air sampling device, or the sensor(s) used to measure the water vapor content of the outlet air, inside the interconnecting duct. Locate the dry-bulb temperature grid(s) upstream of the air sampling device (or the in-duct sensor(s) used to measure the water vapor content of the outlet air). Turn off the sampler fan motor during the cyclic tests. Air leaving an indoor unit that is sampled by an air sampling device for remote water-vapor-content measurement must be returned to the interconnecting duct at a location:

(1) Downstream of the air sampling device;

(2) On the same side of the outlet air damper as the air sampling device; and

(3) Upstream of the section 2.6 airflow measuring apparatus.

2.5.4.1 Outlet Air Damper Box Placement and Requirements

If using an outlet air damper box (see section 2.5 of this appendix), the leakage rate from the combination of the outlet plenum, the closed damper, and the duct section that connects these two components must not exceed 20 cubic feet per minute when a negative pressure of 1 inch of water column is maintained at the plenum's inlet.

2.5.4.2 Procedures to Minimize Temperature Maldistribution

Use these procedures if necessary to correct temperature maldistributions. Install a mixing device(s) upstream of the outlet air, dry-bulb temperature grid (but downstream of the outlet plenum static pressure taps). Use a perforated screen located between the mixing device and the dry-bulb temperature grid, with a maximum open area of 40 percent. One or both items should help to meet the maximum outlet air temperature distribution specified in section 3.1.8 of this appendix. Mixing devices are described in sections 5.3.2 and 5.3.3 of ANSI/ASHRAE 41.1–2013 and section 5.2.2 of ASHRAE 41.2–1987 (RA 1992) (incorporated by reference, see §430.3).

2.5.4.3 Minimizing Air Leakage

For small-duct, high-velocity systems, install an air damper near the end of the interconnecting duct, just prior to the transition to the airflow measuring apparatus of section 2.6 of this appendix. To minimize air leakage, adjust this damper such that the pressure in the receiving chamber of the airflow measuring apparatus is no more than 0.5 inch of water higher than the surrounding test room ambient. If applicable, in lieu of installing a separate damper, use the outlet air damper box of sections 2.5 and 2.5.4.1 of this appendix if it allows variable positioning. Also apply these steps to any conventional indoor blower unit that creates a static pressure within the receiving chamber

of the airflow measuring apparatus that exceeds the test room ambient pressure by more than 0.5 inches of water column.

2.5.5 Dry Bulb Temperature Measurement

a. Measure dry bulb temperatures as specified in sections 4, 5.3, 6, and 7 of ANSI/ASHRAE 41.1–2013 (incorporated by reference, see §430.3).

b. Distribute the sensors of a dry-bulb temperature grid over the entire flow area. The required minimum is 9 sensors per grid.

2.5.6 Water Vapor Content Measurement

Determine water vapor content by measuring dry-bulb temperature combined with the air wet-bulb temperature, dew point temperature, or relative humidity. If used, construct and apply wet-bulb temperature sensors as specified in sections 4, 5, 6, 7.2, 7.3, and 7.4 of ASHRAE 41.6–2014 (incorporated by reference, see §430.3). The temperature sensor (wick removed) must be accurate to within ±0.2 °F. If used, apply dew point hygrometers as specified in sections 4, 5, 6, 7.1, and 7.4 of ASHRAE 41.6–2014. The dew point hygrometers must be accurate to within ±0.4 °F when operated at conditions that result in the evaluation of dew points above 35 °F. If used, a relative humidity (RH) meter must be accurate to within ±0.7% RH. Other means to determine the psychrometric state of air may be used as long as the measurement accuracy is equivalent to or better than the accuracy achieved from using a wet-bulb temperature sensor that meets the above specifications.

2.5.7 Air Damper Box Performance Requirements

If used (see section 2.5 of this appendix), the air damper box(es) must be capable of being completely opened or completely closed within 10 seconds for each action.

2.6 Airflow Measuring Apparatus

a. Fabricate and operate an airflow measuring apparatus as specified in section 6.2 and 6.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). Place the static pressure taps and position the diffusion baffle (settling means) relative to the chamber inlet as indicated in Figure 12 of AMCA 210–07 and/or Figure 14 of ASHRAE 41.2–1987 (RA 1992) (incorporated by reference, see §430.3). When measuring the static pressure difference across nozzles and/or velocity pressure at nozzle throats using electronic pressure transducers and a data acquisition system, if high frequency fluctuations cause measurement variations to exceed the test tolerance limits specified in section 9.2 and Table 2 of ANSI/ASHRAE 37–2009, dampen the measurement system such that the time constant associated with response to a step change in measurement (time for the response to change 63% of the way from the initial output to the final output) is no longer than five seconds.

b. Connect the airflow measuring apparatus to the interconnecting duct section described in section 2.5.4 of this appendix. See sections 6.1.1, 6.1.2, and 6.1.4, and Figures 1, 2, and 4 of ANSI/ASHRAE 37–2009; and Figures D1, D2, and D4 of AHRI 210/240–2008 (incorporated by reference, see §430.3) with Addendum 1 and 2 for illustrative examples of how the test apparatus may be applied within a complete laboratory set-up. Instead of following one of these examples, an alternative set-up may be used to handle the air leaving the airflow measuring apparatus and to supply properly conditioned air to the test unit's inlet. The alternative set-up, however, must not interfere with the prescribed means for measuring airflow rate, inlet and outlet air temperatures, inlet and outlet water vapor contents, and external static pressures, nor create abnormal conditions surrounding the test unit. (NOTE: Do not use an enclosure as described in section 6.1.3 of ANSI/ASHRAE 37–2009 when testing triple-split units.)

2.7 Electrical Voltage Supply

Perform all tests at the voltage specified in section 6.1.3.2 of AHRI 210/240–2008 (incorporated by reference, see §430.3) for ''Standard Rating Tests.'' If either the indoor or the outdoor unit has a 208V or 200V nameplate voltage and the other unit has a 230V nameplate rating, select the voltage supply on the outdoor unit for testing. Otherwise, supply each unit with its own nameplate voltage. Measure the supply voltage at the terminals on the test unit using a volt meter that provides a reading that is accurate to within ±1.0 percent of the measured quantity.

2.8 Electrical Power and Energy Measurements

a. Use an integrating power (watt-hour) measuring system to determine the electrical energy or average electrical power supplied to all components of the air conditioner or heat pump (including auxiliary components such as controls, transformers, crankcase heater, integral condensate pump on non-ducted indoor units, etc.). The watt-hour measuring system must give readings that are accurate to within ±0.5 percent. For cyclic tests, this accuracy is required during both the ON and OFF cycles. Use either two different scales on the same watt-hour meter or two separate watt-hour meters. Activate the scale or meter having the lower power rating within 15 seconds after beginning an OFF cycle. Activate the scale or meter having the higher power rating within 15 seconds prior to beginning an ON cycle. For ducted blower coil systems, the ON cycle lasts from compressor ON to indoor blower OFF. For ducted coil-only systems, the ON

cycle lasts from compressor ON to compressor OFF. For non-ducted units, the ON cycle lasts from indoor blower ON to indoor blower OFF. When testing air conditioners and heat pumps having a variable-speed compressor, avoid using an induction watt/watt-hour meter.

b. When performing section 3.5 and/or 3.8 cyclic tests on non-ducted units, provide instrumentation to determine the average electrical power consumption of the indoor blower motor to within ±1.0 percent. If required according to sections 3.3, 3.4, 3.7, 3.9.1 of this appendix, and/or 3.10 of this appendix, this same instrumentation requirement (to determine the average electrical power consumption of the indoor blower motor to within ±1.0 percent) applies when testing air conditioners and heat pumps having a variable-speed constant-air-volume-rate indoor blower or a variable-speed, variable-air-volume-rate indoor blower.

2.9 Time Measurements

Make elapsed time measurements using an instrument that yields readings accurate to within ±0.2 percent.

2.10 Test Apparatus for the Secondary Space Conditioning Capacity Measurement

For all tests, use the indoor air enthalpy method to measure the unit's capacity. This method uses the test set-up specified in sections 2.4 to 2.6 of this appendix. In addition, for all steady-state tests, conduct a second, independent measurement of capacity as described in section 3.1.1 of this appendix. For split systems, use one of the following secondary measurement methods: outdoor air enthalpy method, compressor calibration method, or refrigerant enthalpy method. For single-package units, use either the outdoor air enthalpy method or the compressor calibration method as the secondary measurement.

2.10.1 Outdoor Air Enthalpy Method

a. To make a secondary measurement of indoor space conditioning capacity using the outdoor air enthalpy method, do the following:

(1) Measure the electrical power consumption of the test unit;

(2) Measure the air-side capacity at the outdoor coil; and

(3) Apply a heat balance on the refrigerant cycle.

b. The test apparatus required for the outdoor air enthalpy method is a subset of the apparatus used for the indoor air enthalpy method. Required apparatus includes the following:

(1) On the outlet side, an outlet plenum containing static pressure taps (sections 2.4, 2.4.1, and 2.5.3 of this appendix),

(2) An airflow measuring apparatus (section 2.6 of this appendix),

(3) A duct section that connects these two components and itself contains the instrumentation for measuring the dry-bulb temperature and water vapor content of the air leaving the outdoor coil (sections 2.5.4, 2.5.5, and 2.5.6 of this appendix), and

(4) On the inlet side, a sampling device and temperature grid (section 2.11.b of this appendix).

c. During the free outdoor air tests described in sections 3.11.1 and 3.11.1.1 of this appendix, measure the evaporator and condenser temperatures or pressures. On both the outdoor coil and the indoor coil, solder a thermocouple onto a return bend located at or near the midpoint of each coil or at points not affected by vapor superheat or liquid subcooling. Alternatively, if the test unit is not sensitive to the refrigerant charge, install pressure gages to the access valves or to ports created from tapping into the suction and discharge lines according to sections 7.4.2 and 8.2.5 of ANSI/ASHRAE 37–2009. Use this alternative approach when testing a unit charged with a zeotropic refrigerant having a temperature glide in excess of 1 °F at the specified test conditions.

2.10.2 Compressor Calibration Method

Measure refrigerant pressures and temperatures to determine the evaporator superheat and the enthalpy of the refrigerant that enters and exits the indoor coil. Determine refrigerant flow rate or, when the superheat of the refrigerant leaving the evaporator is less than 5 °F, total capacity from separate calibration tests conducted under identical operating conditions. When using this method, install instrumentation and measure refrigerant properties according to section 7.4.2 and 8.2.5 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). If removing the refrigerant before applying refrigerant lines and subsequently recharging, use the steps in 7.4.2 of ANSI/ASHRAE 37–2009 in addition to the methods of section 2.2.5 of this appendix to confirm the refrigerant charge. Use refrigerant temperature and pressure measuring instruments that meet the specifications given in sections 5.1.1 and 5.2 of ANSI/ASHRAE 37–2009.

2.10.3 Refrigerant Enthalpy Method

For this method, calculate space conditioning capacity by determining the refrigerant enthalpy change for the indoor coil and directly measuring the refrigerant flow rate. Use section 7.5.2 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) for the requirements for this method, including the additional instrumentation requirements, and information on placing the flow

meter and a sight glass. Use refrigerant temperature, pressure, and flow measuring instruments that meet the specifications given in sections 5.1.1, 5.2, and 5.5.1 of ANSI/ASHRAE 37–2009. Refrigerant flow measurement device(s), if used, must be either elevated at least two feet from the test chamber floor or placed upon insulating material having a total thermal resistance of at least R–12 and extending at least one foot laterally beyond each side of the device(s)' exposed surfaces.

2.11 Measurement of Test Room Ambient Conditions

Follow instructions for setting up air sampling device and aspirating psychrometer as described in section 2.14 of this appendix, unless otherwise instructed in this section.

a. If using a test set-up where air is ducted directly from the conditioning apparatus to the indoor coil inlet (see Figure 2, Loop Air-Enthalpy Test Method Arrangement, of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3)), add instrumentation to permit measurement of the indoor test room dry-bulb temperature.

b. On the outdoor side, use one of the following two approaches, except that approach (1) is required for all evaporatively cooled units and units that transfer condensate to the outdoor unit for evaporation using condenser heat.

(1) Use sampling tree air collection on all air-inlet surfaces of the outdoor unit.

(2) Use sampling tree air collection on one or more faces of the outdoor unit and demonstrate air temperature uniformity as follows. Install a grid of evenly distributed thermocouples on each air-permitting face on the inlet of the outdoor unit. Install the thermocouples on the air sampling device, locate them individually or attach them to a wire structure. If not installed on the air sampling device, install the thermocouple grid 6 to 24 inches from the unit. Evenly space the thermocouples across the coil inlet surface and install them to avoid sampling of discharge air or blockage of air recirculation. The grid of thermocouples must provide at least 16 measuring points per face or one measurement per square foot of inlet face area, whichever is less. Construct this grid and use as per section 5.3 of ANSI/ASHRAE 41.1–2013 (incorporated by reference, see §430.3). The maximum difference between the average temperatures measured during the test period of any two pairs of these individual thermocouples located at any of the faces of the inlet of the outdoor unit, must not exceed 2.0 °F, otherwise use approach (1).

Locate the air sampling devices at the geometric center of each side; the branches may be oriented either parallel or perpendicular to the longer edges of the air inlet area. Size the air sampling devices in the outdoor air inlet location such that they cover at least 75% of the face area of the side of the coil that they are measuring.

Review air distribution at the test facility point of supply to the unit and remediate as necessary prior to the beginning of testing. Mixing fans can be used to ensure adequate air distribution in the test room. If used, orient mixing fans such that they are pointed away from the air intake so that the mixing fan exhaust does not affect the outdoor coil air volume rate. Particular attention should be given to prevent the mixing fans from affecting (enhancing or limiting) recirculation of condenser fan exhaust air back through the unit. Any fan used to enhance test room air mixing shall not cause air velocities in the vicinity of the test unit to exceed 500 feet per minute.

The air sampling device may be larger than the face area of the side being measured. Take care, however, to prevent discharge air from being sampled. If an air sampling device dimension extends beyond the inlet area of the unit, block holes in the air sampling device to prevent sampling of discharge air. Holes can be blocked to reduce the region of coverage of the intake holes both in the direction of the trunk axis or perpendicular to the trunk axis. For intake hole region reduction in the direction of the trunk axis, block holes of one or more adjacent pairs of branches (the branches of a pair connect opposite each other at the same trunk location) at either the outlet end or the closed end of the trunk. For intake hole region reduction perpendicular to the trunk axis, block off the same number of holes on each branch on both sides of the trunk.

Connect a maximum of four (4) air sampling devices to each aspirating psychrometer. In order to proportionately divide the flow stream for multiple air sampling devices for a given aspirating psychrometer, the tubing or conduit conveying sampled air to the psychrometer must be of equivalent lengths for each air sampling device. Preferentially, the air sampling device should be hard connected to the aspirating psychrometer, but if space constraints do not allow this, the assembly shall have a means of allowing a flexible tube to connect the air sampling device to the aspirating psychrometer. Insulate and route the tubing or conduit to prevent heat transfer to the air stream. Insulate any surface of the air conveying tubing in contact with surrounding air at a different temperature than the sampled air with thermal insulation with a nominal thermal resistance (R-value) of at least 19 hr • ft^2 • °F/Btu. Alternatively the conduit may have lower thermal resistance if additional sensor(s) are used to measure dry bulb temperature at the outlet of each air sampling device. No part of the air sampling device or the tubing conducting the sampled air to the sensors may be within two inches of the test chamber floor.

Take pairs of measurements (*e.g.* dry bulb temperature and wet bulb temperature) used to determine water vapor content of sampled air in the same location.

2.12 Measurement of Indoor Blower Speed

When required, measure fan speed using a revolution counter, tachometer, or stroboscope that gives readings accurate to within ±1.0 percent.

2.13 Measurement of Barometric Pressure

Determine the average barometric pressure during each test. Use an instrument that meets the requirements specified in section 5.2 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3).

2.14 Air Sampling Device and Aspirating Psychrometer Requirements

Make air temperature measurements in accordance with ANSI/ASHRAE 41.1–2013 (incorporated by reference, see §430.3), unless otherwise instructed in this section.

2.14.1 Air Sampling Device Requirements

The air sampling device is intended to draw in a sample of the air at the critical locations of a unit under test. Construct the device from stainless steel, plastic or other suitable, durable materials. It shall have a main flow trunk tube with a series of branch tubes connected to the trunk tube. Holes must be on the side of the sampler facing the upstream direction of the air source. Use other sizes and rectangular shapes, and scale them accordingly with the following guidelines:

1. Minimum hole density of 6 holes per square foot of area to be sampled.
2. Sampler branch tube pitch (spacing) of 6 ± 3 in.
3. Manifold trunk to branch diameter ratio having a minimum of 3:1 ratio.
4. Distribute hole pitch (spacing) equally over the branch (½ pitch from the closed end to the nearest hole).
5. Maximum individual hole to branch diameter ratio of 1:2 (1:3 preferred).

The minimum average velocity through the air sampling device holes must be 2.5 ft/s as determined by evaluating the sum of the open area of the holes as compared to the flow area in the aspirating psychrometer.

2.14.2 Aspirating Psychrometer

The psychrometer consists of a flow section and a fan to draw air through the flow section and measures an average value of the sampled air stream. At a minimum, the flow section shall have a means for measuring the dry bulb temperature (typically, a resistance temperature device (RTD) and a means for measuring the humidity (RTD with wetted sock, chilled mirror hygrometer, or relative humidity sensor). The aspirating psychrometer shall include a fan that either can be adjusted manually or automatically to maintain required velocity across the sensors.

Construct the psychrometer using suitable material which may be plastic (such as polycarbonate), aluminum or other metallic materials. Construct all psychrometers for a given system being tested, using the same material. Design the psychrometers such that radiant heat from the motor (for driving the fan that draws sampled air through the psychrometer) does not affect sensor measurements. For aspirating psychrometers, velocity across the wet bulb sensor must be 1000 ± 200 ft/min. For all other psychrometers, velocity must be as specified by the sensor manufacturer.

3 Testing Procedures

3.1 General Requirements

If, during the testing process, an equipment set-up adjustment is made that would have altered the performance of the unit during any already completed test, then repeat all tests affected by the adjustment. For cyclic tests, instead of maintaining an air volume rate, for each airflow nozzle, maintain the static pressure difference or velocity pressure during an ON period at the same pressure difference or velocity pressure as measured during the steady-state test conducted at the same test conditions.

Use the testing procedures in this section to collect the data used for calculating

(1) Performance metrics for central air conditioners and heat pumps during the cooling season;

(2) Performance metrics for heat pumps during the heating season; and

(3) Power consumption metric(s) for central air conditioners and heat pumps during the off mode season(s).

3.1.1 Primary and Secondary Test Methods

For all tests, use the indoor air enthalpy method test apparatus to determine the unit's space conditioning capacity. The procedure and data collected, however, differ slightly depending upon whether the test is a steady-state test, a cyclic test, or a frost accumulation test. The following sections described these differences. For full-capacity cooling-mode test and (for a heat pump) the full-capacity heating-mode test, use one of the acceptable secondary methods specified in section 2.10 of this appendix to determine indoor space conditioning capacity. Calculate this secondary check of capacity according to section 3.11 of this appendix. The two capacity measurements must agree to within 6 percent to constitute a valid test. For this capacity comparison, use the Indoor Air Enthalpy Method capacity that is calculated in section 7.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3)

(and, if testing a coil-only system, compare capacities before making the after-test fan heat adjustments described in section 3.3, 3.4, 3.7, and 3.10 of this appendix). However, include the appropriate section 3.3 to 3.5 and 3.7 to 3.10 fan heat adjustments within the indoor air enthalpy method capacities used for the section 4 seasonal calculations of this appendix.

3.1.2 Manufacturer-Provided Equipment Overrides

Where needed, the manufacturer must provide a means for overriding the controls of the test unit so that the compressor(s) operates at the specified speed or capacity and the indoor blower operates at the specified speed or delivers the specified air volume rate. For variable-speed non-communicating coil-only air conditioners and heat pumps, the control system shall be provided with a control signal indicating operation at high or low stage, rather than testing with the compressor speed fixed at specific speeds, with the exception that compressor speed override may be used for heating mode test $H1_2$.

3.1.3 Airflow Through the Outdoor Coil

For all tests, meet the requirements given in section 6.1.3.4 of AHRI 210/240–2008 (incorporated by reference, see §430.3) when obtaining the airflow through the outdoor coil.

3.1.3.1 Double-Ducted

For products intended to be installed with the outdoor airflow ducted, install the unit with outdoor coil ductwork installed per manufacturer installation instructions. The unit must operate between 0.10 and 0.15 in H_2O external static pressure. Make external static pressure measurements in accordance with ANSI/ASHRAE 37–2009 section 6.4 and 6.5.

3.1.4 Airflow Through the Indoor Coil

Determine airflow setting(s) before testing begins. Unless otherwise specified within this or its subsections, make no changes to the airflow setting(s) after initiation of testing.

3.1.4.1 Cooling Full-Load Air Volume Rate

3.1.4.1.1 Cooling Full-Load Air Volume Rate for Ducted Units

Identify the certified Cooling full-load air volume rate and certified instructions for setting fan speed or controls. If there is no certified Cooling full-load air volume rate, use a value equal to the certified cooling capacity of the unit times 400 scfm per 12,000 Btu/h. If there are no instructions for setting fan speed or controls, use the as-shipped settings. Use the following procedure to confirm and, if necessary, adjust the Cooling full-load air volume rate and the fan speed or control settings to meet each test procedure requirement:

a. For all ducted blower-coil systems, except those having a constant-air-volume-rate indoor blower:

Step (1) Operate the unit under conditions specified for the A test (for single-stage units) or A_2 test (for non-single-stage units) using the certified fan speed or controls settings, and adjust the exhaust fan of the airflow measuring apparatus to achieve the certified cooling full-load air volume rate;

Step (2) Measure the external static pressure;

Step (3) If this external static pressure is equal to or greater than the applicable minimum external static pressure cited in Table 4 to this appendix, the pressure requirement is satisfied; proceed to step 7 of this section. If this external static pressure is not equal to or greater than the applicable minimum external static pressure cited in Table 4, proceed to step 4 of this section;

Step (4) Increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until the first to occur of:

(i) The applicable Table 4 to this appendix minimum is equaled or

(ii) The measured air volume rate equals 90 percent or less of the cooling full-load air volume rate;

Step (5) If the conditions of step 4 (i) of this section occur first, the pressure requirement is satisfied; proceed to step 7 of this section. If the conditions of step 4 (ii) of this section occur first, proceed to step 6 of this section;

Step (6) Make an incremental change to the setup of the indoor blower (*e.g.*, next highest fan motor pin setting, next highest fan motor speed) and repeat the evaluation process beginning at step 1 of this section. If the indoor blower setup cannot be further changed, increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until the applicable Table 4 to this appendix minimum is equaled; proceed to step 7 of this section;

Step (7) The airflow constraints have been satisfied. Use the measured air volume rate as the cooling full-load air volume rate. Use the final indoor fan speed or control settings of the unit under test for all tests that use the cooling full-load air volume rate. Adjust the fan of the airflow measurement apparatus if needed to obtain the same full-load air volume rate (in scfm) for all such tests, unless the system modulates indoor blower speed with outdoor dry bulb temperature or to adjust the sensible to total cooling capacity ratio—in this case, use an air volume rate that represents a normal installation and calculate the target external static pressure as described in section 3.1.4.2 of this appendix.

b. For ducted blower-coil systems with a constant-air-volume-rate indoor blower. For all tests that specify the cooling full-load air volume rate, obtain an external static pressure as close to (but not less than) the applicable Table 4 to this appendix value that does not cause either automatic shutdown of the indoor blower or a value of air volume rate variation Q_{Var}, defined as follows, that is greater than 10 percent.

$$Q_{var} = \left[\frac{Q_{max} - Q_{min}}{\left(\frac{Q_{max} + Q_{min}}{2}\right)}\right] * 100$$

Where:

Q_{max} = maximum measured airflow value
Q_{min} = minimum measured airflow value
Q_{Var} = airflow variance, percent

Additional test steps as described in section 3.3.f of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For coil-only indoor units. For the A or A_2 Test, (exclusively), the pressure drop across the indoor coil assembly must not exceed 0.30 inches of water. If this pressure drop is exceeded, reduce the air volume rate until the measured pressure drop equals the specified maximum. Use this reduced air volume rate for all tests that require the Cooling full-load air volume rate.

TABLE 4—MINIMUM EXTERNAL STATIC PRESSURE FOR DUCTED BLOWER COIL SYSTEMS

Product variety	Minimum external static pressure (in. wc.)
Conventional (*i.e.,* all central air conditioners and heat pumps not otherwise listed in this table)	0.50
Ceiling-mount and Wall-mount	0.30
Mobile Home	0.30
Low Static	0.10
Mid Static	0.30
Small Duct, High Velocity	1.15
Space-constrained	0.30

[1] For ducted units tested without an air filter installed, increase the applicable tabular value by 0.08 inches of water.
[2] See section 1.2, Definitions, to determine for which Table 4 product variety and associated minimum external static pressure requirement equipment qualifies.
[3] If a closed-loop, air-enthalpy test apparatus is used on the indoor side, limit the resistance to airflow on the inlet side of the indoor blower coil to a maximum value of 0.1 inch of water.

d. For ducted systems having multiple indoor blowers within a single indoor section, obtain the full-load air volume rate with all indoor blowers operating unless prevented by the controls of the unit. In such cases, turn on the maximum number of indoor blowers permitted by the unit's controls. Where more than one option exists for meeting this ''on'' indoor blower requirement, which indoor blower(s) are turned on must match that specified in the certification report. Conduct section 3.1.4.1.1 setup steps for each indoor blower separately. If two or more indoor blowers are connected to a common duct as per section 2.4.1 of this appendix, temporarily divert their air volume to the test room when confirming or adjusting the setup configuration of individual indoor blowers. The allocation of the system's full-load air volume rate assigned to each ''on'' indoor blower must match that specified by the manufacturer in the certification report.

3.1.4.1.2 Cooling Full-Load Air Volume Rate for Non-Ducted Units

For non-ducted units, the Cooling full-load air volume rate is the air volume rate that results during each test when the unit is operated at an external static pressure of zero inches of water.

3.1.4.2 Cooling Minimum Air Volume Rate

Identify the certified cooling minimum air volume rate and certified instructions for setting fan speed or controls. If there is no certified cooling minimum air volume rate, use the final indoor blower control settings as determined when setting the cooling full-load air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling full load air volume obtained in section 3.1.4.1 of this appendix. Otherwise, calculate the target external static pressure and follow instructions a, b, c, d, or e of this section. The target external static pressure, ΔP_{st_i}, for any test ''i'' with a specified air volume rate not equal to the Cooling full-load air volume rate is determined as follows:

$$\Delta P_{st_i} = \Delta P_{st_full} \left[\frac{Q_i}{Q_{full}}\right]^2$$

Where:

ΔP_{st_i} = target minimum external static pressure for test i;

ΔP_{st_full} = minimum external static pressure for test A or A_2 (Table 4);

Q_i = air volume rate for test i; and

Q_{full} = Cooling full-load air volume rate as measured after setting and/or adjustment as described in section 3.1.4.1.1 of this appendix.

a. For a ducted blower-coil system without a constant-air-volume indoor blower, adjust for external static pressure as follows:

Step (1) Operate the unit under conditions specified for the B_1 test using the certified fan speed or controls settings, and adjust the exhaust fan of the airflow measuring apparatus to achieve the certified cooling minimum air volume rate;

Step (2) Measure the external static pressure;

Step (3) If this pressure is equal to or greater than the minimum external static pressure computed in step 2 of this section, the pressure requirement is satisfied; proceed to step 7 of this section. If this pressure is not equal to or greater than the minimum external static pressure computed in step 2 of this section, proceed to step 4 of this section;

Step (4) Increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until either:

(i) The pressure is equal to the target minimum external static pressure, ΔP_{st_i}, computed in step 1 of this section; or

(ii) The measured air volume rate equals 90 percent or less of the cooling minimum air volume rate, whichever occurs first;

Step (5) If the conditions of step 4 (i) of this section occur first, the pressure requirement is satisfied; proceed to step 7 of this section. If the conditions of step 4 (ii) of this section occur first, proceed to step 6 of this section;

Step (6) Make an incremental change to the setup of the indoor blower (*e.g.*, next highest fan motor pin setting, next highest fan motor speed) and repeat the evaluation process beginning at step 1 of this section. If the indoor blower setup cannot be further changed, increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until it equals the minimum external static pressure computed in step 2 of this section; proceed to step 7 of this section;

Step (7) The airflow constraints have been satisfied. Use the measured air volume rate as the cooling minimum air volume rate. Use the final indoor fan speed or control settings of the unit under test for all tests that use the cooling minimum air volume rate. Adjust the fan of the airflow measurement apparatus if needed to obtain the same cooling minimum air volume rate (in scfm) for all such tests, unless the system modulates the indoor blower speed with outdoor dry bulb temperature or to adjust the sensible to total cooling capacity ratio—in this case, use an air volume rate that represents a normal installation and calculate the target minimum external static pressure as described in this section.

b. For ducted units with constant-air-volume indoor blowers, conduct all tests that specify the cooling minimum air volume rate—(*i.e.*, the A_1, B_1, C_1, F_1, and G_1 Tests)—at an external static pressure that does not cause either an automatic shutdown of the indoor blower or a value of air volume rate variation Q_{Var}, defined in section 3.1.4.1.1.b of this appendix, that is greater than 10 percent, while being as close to, but not less than the target minimum external static pressure. Additional test steps as described in section 3.3.f of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For ducted two-capacity coil-only systems, the cooling minimum air volume rate is the higher of—

(1) The rate specified by the installation instructions included with the unit by the manufacturer; or

(2) 75 percent of the cooling full-load air volume rate. During the laboratory tests on a coil-only (fanless) system, obtain this cooling minimum air volume rate regardless of the pressure drop across the indoor coil assembly.

d. For non-ducted units, the cooling minimum air volume rate is the air volume rate that results during each test when the unit operates at an external static pressure of zero inches of water and at the indoor blower setting used at low compressor capacity (two-capacity system) or minimum compressor speed (variable-speed system). For units having a single-speed compressor and a variable-speed variable-air-volume-rate indoor blower, use the lowest fan setting allowed for cooling.

e. For ducted systems having multiple indoor blowers within a single indoor section,

operate the indoor blowers such that the lowest air volume rate allowed by the unit's controls is obtained when operating the lone single-speed compressor or when operating at low compressor capacity while meeting the requirements of section 2.2.3.2 of this appendix for the minimum number of blowers that must be turned off. Using the target external static pressure and the certified air volume rates, follow the procedures described in section 3.1.4.2.a of this appendix if the indoor blowers are not constant-air-volume indoor blowers or as described in section 3.1.4.2.b of this appendix if the indoor blowers are not constant-air-volume indoor blowers. The sum of the individual ''on'' indoor blowers' air volume rates is the cooling minimum air volume rate for the system.

f. For ducted variable-speed compressor systems tested with a coil-only indoor unit, the cooling minimum air volume rate is the higher of:

(1) The rate specified by the installation instructions included with the unit by the manufacturer; or

(2) 75 percent of the cooling full-load air volume rate. During the laboratory tests on a coil-only (fanless) system, obtain this cooling minimum air volume rate regardless of the pressure drop across the indoor coil assembly.

3.1.4.3 Cooling Intermediate Air Volume Rate

Identify the certified cooling intermediate air volume rate and certified instructions for setting fan speed or controls. If there is no certified cooling intermediate air volume rate, use the final indoor blower control settings as determined when setting the cooling full load air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling full load air volume obtained in section 3.1.4.1 of this appendix. Otherwise, calculate target minimum external static pressure as described in section 3.1.4.2 of this appendix, and set the air volume rate as follows.

a. For a ducted blower coil system without a constant-air-volume indoor blower, adjust for external static pressure as described in section 3.1.4.2.a of this appendix for cooling minimum air volume rate.

b. For a ducted blower-coil system with a constant-air-volume indoor blower, conduct the E_V Test at an external static pressure that does not cause either an automatic shutdown of the indoor blower or a value of air volume rate variation Q_{Var}, defined in section 3.1.4.1.1.b of this appendix, that is greater than 10 percent, while being as close to, but not less than the target minimum external static pressure. Additional test steps as described in section 3.3.f of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For non-ducted units, the cooling intermediate air volume rate is the air volume rate that results when the unit operates at an external static pressure of zero inches of water and at the fan speed selected by the controls of the unit for the E_V Test conditions.

d. For ducted variable-speed compressor systems tested with a coil-only indoor unit, use the cooling minimum air volume rate as determined in section 3.1.4.2(f) of this appendix, without regard to the pressure drop across the indoor coil assembly.

3.1.4.4 Heating Full-Load Air Volume Rate

3.1.4.4.1 Ducted Heat Pumps Where the Heating and Cooling Full-Load Air Volume Rates Are the Same

a. Use the Cooling full-load air volume rate as the heating full-load air volume rate for:

(1) Ducted blower coil system heat pumps that do not have a constant-air-volume indoor blower, and that operate at the same airflow-control setting during both the A (or A_2) and the H1 (or $H1_2$) Tests;

(2) Ducted blower coil system heat pumps with constant-air-flow indoor blowers that provide the same airflow for the A (or A_2) and the H1 (or $H1_2$) Tests; and

(3) Ducted heat pumps that are tested with a coil-only indoor unit (except two-capacity northern heat pumps that are tested only at low capacity cooling—see section 3.1.4.4.2 of this appendix).

b. For heat pumps that meet the above criteria ''1'' and ''3,'' no minimum requirements apply to the measured external or internal, respectively, static pressure. Use the final indoor blower control settings as determined when setting the Cooling full-load air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling full-load air volume obtained in section 3.1.4.1 of this appendix. For heat pumps that meet the above criterion ''2,'' test at an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{Var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10 percent, while being as close to, but not less than, the same Table 4 minimum external static pressure as was specified for the A (or A_2) cooling mode test. Additional test steps as described in section 3.9.1.c of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

3.1.4.4.2 Ducted Heat Pumps Where the Heating and Cooling Full-Load Air Volume Rates Are Different Due to Changes in Indoor Blower Operation, i.e. Speed Adjustment by the System Controls

Identify the certified heating full-load air volume rate and certified instructions for

setting fan speed or controls. If there is no certified heating full-load air volume rate, use the final indoor blower control settings as determined when setting the cooling full-load air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling full-load air volume obtained in section 3.1.4.1 of this appendix. Otherwise, calculate the target minimum external static pressure as described in section 3.1.4.2 of this appendix and set the air volume rate as follows.

a. For ducted blower coil system heat pumps that do not have a constant-air-volume indoor blower, adjust for external static pressure as described in section 3.1.4.2.a of this appendix for cooling minimum air volume rate.

b. For ducted heat pumps tested with constant-air-volume indoor blowers installed, conduct all tests that specify the heating full-load air volume rate at an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{Var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10 percent, while being as close to, but not less than the target minimum external static pressure. Additional test steps as described in section 3.9.1.c of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. When testing ducted, two-capacity blower coil system northern heat pumps (see section 1.2 of this appendix, Definitions), use the appropriate approach of the above two cases. For coil-only system northern heat pumps, the heating full-load air volume rate is the lesser of the rate specified by the manufacturer in the installation instructions included with the unit or 133 percent of the cooling full-load air volume rate. For this latter case, obtain the heating full-load air volume rate regardless of the pressure drop across the indoor coil assembly.

d. For ducted systems having multiple indoor blowers within a single indoor section, obtain the heating full-load air volume rate using the same ''on'' indoor blowers as used for the Cooling full-load air volume rate. Using the target external static pressure and the certified air volume rates, follow the procedures as described in section 3.1.4.4.2.a of this appendix if the indoor blowers are not constant-air-volume indoor blowers or as described in section 3.1.4.4.2.b of this appendix if the indoor blowers are constant-air-volume indoor blowers. The sum of the individual ''on'' indoor blowers' air volume rates is the heating full-load air volume rate for the system.

3.1.4.4.3 Ducted Heating-Only Heat Pumps

Identify the certified heating full-load air volume rate and certified instructions for setting fan speed or controls. If there is no certified heating full-load air volume rate, use a value equal to the certified heating capacity of the unit times 400 scfm per 12,000 Btu/h. If there are no instructions for setting fan speed or controls, use the as-shipped settings.

a. For all ducted heating-only blower-coil system heat pumps, except those having a constant-air-volume-rate indoor blower: conduct the following steps only during the first test, the H1 or $H1_2$ test:

Step (1) Adjust the exhaust fan of the airflow measuring apparatus to achieve the certified heating full-load air volume rate.

Step (2) Measure the external static pressure.

Step (3) If this pressure is equal to or greater than the Table 4 to this appendix minimum external static pressure that applies given the heating-only heat pump's rated heating capacity, the pressure requirement is satisfied; proceed to step 7 of this section. If this pressure is not equal to or greater than the applicable Table 4 minimum external static pressure, proceed to step 4 of this section;

Step (4) Increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until either:

(i) The pressure is equal to the applicable Table 4 to this appendix minimum external static pressure; or

(ii) The measured air volume rate equals 90 percent or less of the heating full-load air volume rate, whichever occurs first;

Step (5) If the conditions of step 4 (i) of this section occur first, the pressure requirement is satisfied; proceed to step 7 of this section. If the conditions of step 4 (ii) of this section occur first, proceed to step 6 of this section;

Step (6) Make an incremental change to the setup of the indoor blower (*e.g.,* next highest fan motor pin setting, next highest fan motor speed) and repeat the evaluation process beginning at step 1 of this section. If the indoor blower setup cannot be further changed, increase the external static pressure by adjusting the exhaust fan of the airflow measuring apparatus until it equals the applicable Table 4 to this appendix minimum external static pressure; proceed to step 7 of this section;

Step (7) The airflow constraints have been satisfied. Use the measured air volume rate as the heating full-load air volume rate. Use the final indoor fan speed or control settings of the unit under test for all tests that use the heating full-load air volume rate. Adjust the fan of the airflow measurement apparatus if needed to obtain the same heating full-load air volume rate (in scfm) for all such tests, unless the system modulates indoor blower speed with outdoor dry bulb temperature—in this case, use an air volume rate that represents a normal installation and calculate the target minimum external

static pressure as described in section 3.1.4.2 of this appendix.

b. For ducted heating-only blower coil system heat pumps having a constant-air-volume-rate indoor blower. For all tests that specify the heating full-load air volume rate, obtain an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{var}, defined in section 3.1.4.1.1.b of this section, greater than 10 percent, while being as close to, but not less than, the applicable Table 4 minimum. Additional test steps as described in section 3.9.1.c of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For ducted heating-only coil-only system heat pumps in the H1 or $H1_2$ Test, (exclusively), the pressure drop across the indoor coil assembly must not exceed 0.30 inches of water. If this pressure drop is exceeded, reduce the air volume rate until the measured pressure drop equals the specified maximum. Use this reduced air volume rate for all tests that require the heating full-load air volume rate.

3.1.4.4.4 Non-Ducted Heat Pumps, Including Non-Ducted Heating-Only Heat Pumps

For non-ducted heat pumps, the heating full-load air volume rate is the air volume rate that results during each test when the unit operates at an external static pressure of zero inches of water.

3.1.4.5 Heating Minimum Air Volume Rate

3.1.4.5.1 Ducted Heat Pumps Where the Heating and Cooling Minimum Air Volume Rates are the Same

a. Use the cooling minimum air volume rate as the heating minimum air volume rate for:

(1) Ducted blower coil system heat pumps that do not have a constant-air-volume indoor blower, and that operates at the same airflow-control setting during both the A_1 and the $H1_1$ tests;

(2) Ducted blower coil system heat pumps with constant-air-flow indoor blowers installed that provide the same airflow for the A_1 and the $H1_1$ Tests; and

(3) Ducted coil-only system heat pumps.

b. For heat pumps that meet the above criteria ''1'' and ''3,'' no minimum requirements apply to the measured external or internal, respectively, static pressure. Use the final indoor blower control settings as determined when setting the cooling minimum air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling minimum air volume rate obtained in section 3.1.4.2 of this appendix. For heat pumps that meet the above criterion ''2,'' test at an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{var}, defined in section 3.1.4.1.1.b, greater than 10 percent, while being as close to, but not less than, the same target minimum external static pressure as was specified for the A_1 cooling mode test. Additional test steps as described in section 3.9.1.c of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

3.1.4.5.2 Ducted Heat Pumps Where the Heating and Cooling Minimum Air Volume Rates Are Different Due to Indoor Blower Operation, *i.e.* Speed Adjustment by the System Controls

Identify the certified heating minimum air volume rate and certified instructions for setting fan speed or controls. If there is no certified heating minimum air volume rate, use the final indoor blower control settings as determined when setting the cooling minimum air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling minimum air volume obtained in section 3.1.4.2 of this appendix. Otherwise, calculate the target minimum external static pressure as described in section 3.1.4.2 of this appendix.

a. For ducted blower coil system heat pumps that do not have a constant-air-volume indoor blower, adjust for external static pressure as described in section 3.1.4.2.a of this appendix for cooling minimum air volume rate.

b. For ducted heat pumps tested with constant-air-volume indoor blowers installed, conduct all tests that specify the heating minimum air volume rate—(*i.e.*, the $H0_1$, $H1_1$, $H2_1$, and $H3_1$ Tests)—at an external static pressure that does not cause an automatic shutdown of the indoor blower while being as close to, but not less than the air volume rate variation Q_{var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10 percent, while being as close to, but not less than the target minimum external static pressure. Additional test steps as described in section 3.9.1.c of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For ducted two-capacity blower coil system northern heat pumps, use the appropriate approach of the above two cases.

d. For ducted two-capacity coil-only system heat pumps, use the cooling minimum air volume rate as the heating minimum air volume rate. For ducted two-capacity coil-only system northern heat pumps, use the cooling full-load air volume rate as the heating minimum air volume rate. For ducted two-capacity heating-only coil-only system heat pumps, the heating minimum air volume rate is the higher of the rate specified

by the manufacturer in the test setup instructions included with the unit or 75 percent of the heating full-load air volume rate. During the laboratory tests on a coil-only system, obtain the heating minimum air volume rate without regard to the pressure drop across the indoor coil assembly.

e. For non-ducted heat pumps, the heating minimum air volume rate is the air volume rate that results during each test when the unit operates at an external static pressure of zero inches of water and at the indoor blower setting used at low compressor capacity (two-capacity system) or minimum compressor speed (variable-speed system). For units having a single-speed compressor and a variable-speed, variable-air-volume-rate indoor blower, use the lowest fan setting allowed for heating.

f. For ducted systems with multiple indoor blowers within a single indoor section, obtain the heating minimum air volume rate using the same ''on'' indoor blowers as used for the cooling minimum air volume rate. Using the target external static pressure and the certified air volume rates, follow the procedures as described in section 3.1.4.5.2.a of this appendix if the indoor blowers are not constant-air-volume indoor blowers or as described in section 3.1.4.5.2.b of this appendix if the indoor blowers are constant-air-volume indoor blowers. The sum of the individual ''on'' indoor blowers' air volume rates is the heating full-load air volume rate for the system.

3.1.4.6 Heating Intermediate Air Volume Rate

Identify the certified heating intermediate air volume rate and certified instructions for setting fan speed or controls. If there is no certified heating intermediate air volume rate, use the final indoor blower control settings as determined when setting the heating full-load air volume rate, and readjust the exhaust fan of the airflow measuring apparatus if necessary to reset to the cooling full-load air volume obtained in section 3.1.4.2 of this appendix. Calculate the target minimum external static pressure as described in section 3.1.4.2 of this appendix.

a. For ducted blower coil system heat pumps that do not have a constant-air-volume indoor blower, adjust for external static pressure as described in section 3.1.4.2.a of this appendix for cooling minimum air volume rate.

b. For ducted heat pumps tested with constant-air-volume indoor blowers installed, conduct the $H2_V$ Test at an external static pressure that does not cause an automatic shutdown of the indoor blower or air volume rate variation Q_{Var}, defined in section 3.1.4.1.1.b of this appendix, greater than 10 percent, while being as close to, but not less than the target minimum external static pressure. Additional test steps as described in section 3.9.1.c of this appendix are required if the measured external static pressure exceeds the target value by more than 0.03 inches of water.

c. For non-ducted heat pumps, the heating intermediate air volume rate is the air volume rate that results when the heat pump operates at an external static pressure of zero inches of water and at the fan speed selected by the controls of the unit for the $H2_V$ Test conditions.

d. For ducted variable-speed compressor systems tested with a coil-only indoor unit, use the heating minimum air volume rate, which (as specified in section 3.1.4.5.1.a.(3) of this appendix) is equal to the cooling minimum air volume rate, without regard to the pressure drop across the indoor coil assembly.

3.1.4.7 Heating Nominal Air Volume Rate

The manufacturer must specify the heating nominal air volume rate and the instructions for setting fan speed or controls. Calculate target minimum external static pressure as described in section 3.1.4.2 of this appendix. Make adjustments as described in section 3.1.4.6 of this appendix for heating intermediate air volume rate so that the target minimum external static pressure is met or exceeded. For ducted variable-speed compressor systems tested with a coil-only indoor unit, use the heating full-load air volume rate as the heating nominal air volume rate.

3.1.5 Indoor Test Room Requirement When the Air Surrounding the Indoor Unit is Not Supplied From the Same Source as the Air Entering the Indoor Unit

If using a test set-up where air is ducted directly from the air reconditioning apparatus to the indoor coil inlet (see Figure 2, Loop Air-Enthalpy Test Method Arrangement, of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3)), maintain the dry bulb temperature within the test room within ±5.0 °F of the applicable sections 3.2 and 3.6 dry bulb temperature test condition for the air entering the indoor unit. Dew point must be within 2 °F of the required inlet conditions.

3.1.6 Air Volume Rate Calculations

For all steady-state tests and for frost accumulation ($H2$, $H2_1$, $H2_2$, $H2_V$) tests, calculate the air volume rate through the indoor coil as specified in sections 7.7.2.1 and 7.7.2.2 of ANSI/ASHRAE 37–2009. When using the outdoor air enthalpy method, follow sections 7.7.2.1 and 7.7.2.2 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) to calculate the air volume rate through the outdoor coil. To express air volume rates in terms of standard air, use:

Equation 3-1 $$\overline{\dot{V}_s} = \frac{\overline{\dot{V}_{mx}}}{0.075\,\frac{lbm_{da}}{ft^3} * v_n' * [1+W_n]} = \frac{\overline{\dot{V}_{mx}}}{0.075\,\frac{lbm_{da}}{ft^3} * v_n}$$

Where:

$\overline{\dot{V}}_s$ = air volume rate of standard (dry) air, $(ft^3/min)_{da}$

$\overline{\dot{V}}_{mx}$ = air volume rate of the air-water vapor mixture, $(ft^3/min)_{mx}$

v_n' = specific volume of air-water vapor mixture at the nozzle, ft^3 per lbm of the air-water vapor mixture

W_n = humidity ratio at the nozzle, lbm of water vapor per lbm of dry air

0.075 = the density associated with standard (dry) air, (lbm/ft^3)

v_n = specific volume of the dry air portion of the mixture evaluated at the dry-bulb temperature, vapor content, and barometric pressure existing at the nozzle, ft^3 per lbm of dry air.

NOTE: In the first printing of ANSI/ASHRAE 37–2009, the second IP equation for Q_{mi} should read,

$$Q_{mi} = 1097 C A_n \sqrt{P_V v_n'})$$

3.1.7 Test Sequence

Before making test measurements used to calculate performance, operate the equipment for the ''break-in'' period specified in the certification report, which may not exceed 20 hours. Each compressor of the unit must undergo this ''break-in'' period. When testing a ducted unit (except if a heating-only heat pump), conduct the A or A_2 Test first to establish the cooling full-load air volume rate. For ducted heat pumps where the heating and cooling full-load air volume rates are different, make the first heating mode test one that requires the heating full-load air volume rate. For ducted heating-only heat pumps, conduct the H1 or $H1_2$ Test first to establish the heating full-load air volume rate. When conducting a cyclic test, always conduct it immediately after the steady-state test that requires the same test conditions. For variable-speed systems, the first test using the cooling minimum air volume rate should precede the E_V Test, and the first test using the heating minimum air volume rate must precede the $H2_V$ Test. The test laboratory makes all other decisions on the test sequence.

3.1.8 Requirement for the Air Temperature Distribution Leaving the Indoor Coil

For at least the first cooling mode test and the first heating mode test, monitor the temperature distribution of the air leaving the indoor coil using the grid of individual sensors described in sections 2.5 and 2.5.4 of this appendix. For the 30-minute data collection interval used to determine capacity, the maximum spread among the outlet dry bulb temperatures from any data sampling must not exceed 1.5 °F. Install the mixing devices described in section 2.5.4.2 of this appendix to minimize the temperature spread.

3.1.9 Requirement for the Air Temperature Distribution Entering the Outdoor Coil

Monitor the Temperatures of the Air Entering the Outdoor Coil Using Air Sampling Devices and/or Temperature Sensor Grids, Maintaining the Required Tolerances, if Applicable, as Described in section 2.11 of this appendix

3.1.10 Control of Auxiliary Resistive Heating Elements

Except as noted, disable heat pump resistance elements used for heating indoor air at all times, including during defrost cycles and if they are normally regulated by a heat comfort controller. For heat pumps equipped with a heat comfort controller, enable the heat pump resistance elements only during the below-described, short test. For single-speed heat pumps covered under section 3.6.1 of this appendix, the short test follows the H1 or, if conducted, the H1C Test. For two-capacity heat pumps and heat pumps covered under section 3.6.2 of this appendix, the short test follows the $H1_2$ Test. Set the heat comfort controller to provide the maximum supply air temperature. With the heat pump operating and while maintaining the heating full-load air volume rate, measure the temperature of the air leaving the indoor-side beginning 5 minutes after activating the heat comfort controller. Sample the outlet dry-bulb temperature at regular intervals that span 5 minutes or less. Collect data for 10 minutes, obtaining at least 3 samples. Calculate the average outlet temperature over the 10-minute interval, T_{CC}.

3.2 Cooling Mode Tests for Different Types of Air Conditioners and Heat Pumps

3.2.1 Tests for a System Having a Single-Speed Compressor and Fixed Cooling Air Volume Rate

This set of tests is for single-speed-compressor units that do not have a cooling minimum air volume rate or a cooling intermediate air volume rate that is different than the cooling full load air volume rate. Conduct two steady-state wet coil tests, the A and B Tests. Use the two optional dry-coil tests, the steady-state C Test and the cyclic D Test, to determine the cooling mode cyclic degradation coefficient, C_D^c. If the two optional tests are conducted but yield a tested C_D^c that exceeds the default C_D^c or if the two optional tests are not conducted, assign C_D^c the default value of 0.25 (for outdoor units with no match) or 0.2 (for all other systems). Table 5 specifies test conditions for these four tests.

TABLE 5—COOLING MODE TEST CONDITIONS FOR UNITS HAVING A SINGLE-SPEED COMPRESSOR AND A FIXED COOLING AIR VOLUME RATE

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Cooling air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb	
A Test—required (steady, wet coil).	80	67	95	[1] 75	Cooling full-load [2].
B Test—required (steady, wet coil).	80	67	82	[1] 65	Cooling full-load [2].
C Test—optional (steady, dry coil).	80	([3])	82	.....	Cooling full-load [2].
D Test—optional (cyclic, dry coil).	80	([3])	82	.....	([4]).

[1] The specified test condition only applies if the unit rejects condensate to the outdoor coil.
[2] Defined in section 3.1.4.1 of this appendix.
[3] The entering air must have a low enough moisture content so no condensate forms on the indoor coil. (It is recommended that an indoor wet-bulb temperature of 57 °F or less be used.)
[4] Maintain the airflow nozzles static pressure difference or velocity pressure during the ON period at the same pressure difference or velocity pressure as measured during the C Test.

3.2.2 Tests for a Unit Having a Single-Speed Compressor Where the Indoor Section Uses a Single Variable-Speed Variable-Air-Volume Rate Indoor Blower or Multiple Indoor Blowers

3.2.2.1 Indoor Blower Capacity Modulation That Correlates With the Outdoor Dry Bulb Temperature or Systems With a Single Indoor Coil but Multiple Indoor Blowers

Conduct four steady-state wet coil tests: The A_2, A_1, B_2, and B_1 tests. Use the two optional dry-coil tests, the steady-state C_1 test and the cyclic D_1 test, to determine the cooling mode cyclic degradation coefficient, C_D^c. If the two optional tests are conducted but yield a tested C_D^c that exceeds the default C_D^c or if the two optional tests are not conducted, assign C_D^c the default value of 0.2.

3.2.2.2 Indoor Blower Capacity Modulation Based on Adjusting the Sensible to Total(S/T) Cooling Capacity Ratio

The testing requirements are the same as specified in section 3.2.1 of this appendix and Table 5. Use a cooling full-load air volume rate that represents a normal installation. If performed, conduct the steady-state C Test and the cyclic D Test with the unit operating in the same S/T capacity control mode as used for the B Test.

TABLE 6—COOLING MODE TEST CONDITIONS FOR UNITS WITH A SINGLE-SPEED COMPRESSOR THAT MEET THE SECTION 3.2.2.1 INDOOR UNIT REQUIREMENTS

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Cooling air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb	
A_2 Test—required (steady, wet coil).	80	67	95	[1] 75	Cooling full-load [2].
A_1 Test—required (steady, wet coil).	80	67	95	[1] 75	Cooling minimum [3].
B_2 Test—required (steady, wet coil).	80	67	82	[1] 65	Cooling full-load [2].
B_1 Test—required (steady, wet coil).	80	67	82	[1] 65	Cooling minimum [3].

TABLE 6—COOLING MODE TEST CONDITIONS FOR UNITS WITH A SINGLE-SPEED COMPRESSOR THAT MEET THE SECTION 3.2.2.1 INDOOR UNIT REQUIREMENTS—Continued

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Cooling air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb	
C_1 Test[4]—optional (steady, dry coil).	80	([4])	82	.....	Cooling minimum[3].
D_1 Test[4]—optional (cyclic, dry coil).	80	([4])	82	.....	([5]).

[1] The specified test condition only applies if the unit rejects condensate to the outdoor coil.
[2] Defined in section 3.1.4.1 of this appendix.
[3] Defined in section 3.1.4.2 of this appendix.
[4] The entering air must have a low enough moisture content so no condensate forms on the indoor coil. (It is recommended that an indoor wet-bulb temperature of 57 °F or less be used.)
[5] Maintain the airflow nozzles static pressure difference or velocity pressure during the ON period at the same pressure difference or velocity pressure as measured during the C_1 Test.

3.2.3 Tests for a Unit Having a Two-Capacity Compressor. (See Section 1.2 of This Appendix, Definitions)

a. Conduct four steady-state wet coil tests: the A_2, B_2, B_1, and F_1 Tests. Use the two optional dry-coil tests, the steady-state C_1 Test and the cyclic D_1 Test, to determine the cooling-mode cyclic-degradation coefficient, C_D^c. If the two optional tests are conducted but yield a tested C_D^c that exceeds the default C_D^c or if the two optional tests are not conducted, assign C_D^c the default value of 0.2. Table 7 specifies test conditions for these six tests.

b. For units having a variable-speed indoor blower that is modulated to adjust the sensible to total (S/T) cooling capacity ratio, use cooling full-load and cooling minimum air volume rates that represent a normal installation. Additionally, if conducting the dry-coil tests, operate the unit in the same S/T capacity control mode as used for the B_1 Test.

c. Test two-capacity, northern heat pumps (see section 1.2 of this appendix, Definitions) in the same way as a single speed heat pump with the unit operating exclusively at low compressor capacity (see section 3.2.1 of this appendix and Table 5).

d. If a two-capacity air conditioner or heat pump locks out low-capacity operation at higher outdoor temperatures, then use the two dry-coil tests, the steady-state C_2 Test and the cyclic D_2 Test, to determine the cooling-mode cyclic-degradation coefficient that only applies to on/off cycling from high capacity, $C_D^c(k=2)$. If the two optional tests are conducted but yield a tested $C_D^c(k = 2)$ that exceeds the default $C_D^c(k = 2)$ or if the two optional tests are not conducted, assign $C_D^c(k = 2)$ the default value. The default $C_D^c(k=2)$ is the same value as determined or assigned for the low-capacity cyclic-degradation coefficient, C_D^c [or equivalently, $C_D^c(k=1)$].

TABLE 7—COOLING MODE TEST CONDITIONS FOR UNITS HAVING A TWO-CAPACITY COMPRESSOR

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Compressor capacity	Cooling air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
A_2 Test—required (steady, wet coil)	80	67	95	[1] 75	High	Cooling Full-Load.[2]
B_2 Test—required (steady, wet coil)	80	67	82	[1] 65	High	Cooling Full-Load.[2]
B_1 Test—required (steady, wet coil)	80	67	82	[1] 65	Low	Cooling Minimum.[3]
C_2 Test—optional (steady, dry-coil)	80	([4])	82	.....	High	Cooling Full-Load.[2]
D_2 Test—optional (cyclic, dry-coil)	80	([4])	82	.....	High	([5]).
C_1 Test—optional (steady, dry-coil)	80	([4])	82	.....	Low	Cooling Minimum.[3]
D_1 Test—optional (cyclic, dry-coil)	80	([4])	82	.....	Low	([6]).
F_1 Test—required (steady, wet coil)	80	67	67	[1] 53.5	Low	Cooling Minimum.[3]

[1] The specified test condition only applies if the unit rejects condensate to the outdoor coil.
[2] Defined in section 3.1.4.1 of this appendix.
[3] Defined in section 3.1.4.2 of this appendix.
[4] The entering air must have a low enough moisture content so no condensate forms on the indoor coil. DOE recommends using an indoor air wet-bulb temperature of 57 °F or less.
[5] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the C_2 Test.
[6] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the C_1 Test.

3.2.4 Tests for a Unit Having a Variable-Speed Compressor

a. Conduct five steady-state wet coil tests: the A_2, E_V, B_2, B_1, and F_1 Tests (the E_V test is not applicable for variable speed non-communicating coil-only air conditioners and heat pumps). Use the two optional dry-coil tests, the steady-state G_1 Test and the cyclic I_1 Test, to determine the cooling mode cyclic degradation coefficient, C_D^c. If the two optional tests are conducted and yield a tested C_D^c that exceeds the default C_D^c or if the two optional tests are not conducted, assign C_D^c the default value of 0.25. Table 8 specifies test conditions for these seven tests. The compressor shall operate at the same cooling full speed, measured by RPM or power input frequency (Hz), for both the A_2 and B_2 tests. The compressor shall operate at the same cooling minimum speed, measured by RPM or power input frequency (Hz), for the B_1, F_1, G_1, and I_1 tests. Determine the cooling intermediate compressor speed cited in Table 8 to this appendix, as required, using:

$$\text{Cooling intermediate speed} = \text{Cooling minimum speed} + \frac{\text{Cooling full speed} - \text{Cooling minimum speed}}{3}$$

Where a tolerance of plus 5 percent or the next higher inverter frequency step from that calculated is allowed.

b. For units that modulate the indoor blower speed to adjust the sensible to total (S/T) cooling capacity ratio, use cooling full-load, cooling intermediate, and cooling minimum air volume rates that represent a normal installation. Additionally, if conducting the dry-coil tests, operate the unit in the same S/T capacity control mode as used for the F_1 Test.

c. For multiple-split air conditioners and heat pumps (except where noted), the following procedures supersede the above requirements: For all Table 8 tests specified for a minimum compressor speed, turn off at least one indoor unit. The manufacturer shall designate the particular indoor unit(s) that is turned off. The manufacturer must also specify the compressor speed used for the Table 8 E_V Test, a cooling-mode intermediate compressor speed that falls within ¼ and ¾ of the difference between the full and minimum cooling-mode speeds. The manufacturer should prescribe an intermediate speed that is expected to yield the highest EER for the given E_V Test conditions and bracketed compressor speed range. The manufacturer can designate that one or more indoor units are turned off for the E_V Test.

d. For variable-speed non-communicating coil-only air conditioners and heat pumps, the manufacturer-provided equipment overrides for full and minimum compressor speed described in section 3.1.2 of this appendix shall be limited to two stages of digital on/off control.

TABLE 8—COOLING MODE TEST CONDITION FOR UNITS HAVING A VARIABLE-SPEED COMPRESSOR

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Compressor speed	Cooling air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
A_2 Test—required (steady, wet coil).	80	67	95	[1]75	Cooling Full	Cooling Full-Load.[2]
B*2* Test—required (steady, wet coil).	80	67	82	[1]65	Cooling Full	Cooling Full-Load.[2]
E_V Test—required[7] (steady, wet coil).	80	67	87	[1]69	Cooling Intermediate.	Cooling Intermediate.[3]
B_1 Test—required (steady, wet coil).	80	67	82	[1]65	Cooling Minimum	Cooling Minimum.[4]
F_1 Test—required (steady, wet coil).	80	67	67	[1]53.5	Cooling Minimum	Cooling Minimum.[4]
G_1 Test[5]—optional (steady, dry-coil).	80	([6])	67	.....	Cooling Minimum	Cooling Minimum.[4]

TABLE 8—COOLING MODE TEST CONDITION FOR UNITS HAVING A VARIABLE-SPEED COMPRESSOR—Continued

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Compressor speed	Cooling air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
I_1 Test[5]—optional (cyclic, dry-coil).	80	([6])	67	.....	Cooling Minimum	([6])

[1] The specified test condition only applies if the unit rejects condensate to the outdoor coil.
[2] Defined in section 3.1.4.1 of this appendix.
[3] Defined in section 3.1.4.3 of this appendix.
[4] Defined in section 3.1.4.2 of this appendix.
[5] The entering air must have a low enough moisture content so no condensate forms on the indoor coil. DOE recommends using an indoor air wet bulb temperature of 57 °F or less.
[6] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure difference or velocity pressure as measured during the G_1 Test.
[7] The E_V test is not applicable for variable-speed non-communicating coil-only air conditioners and heat pumps.

3.2.5 Cooling Mode Tests for Northern Heat Pumps With Triple-Capacity Compressors

Test triple-capacity, northern heat pumps for the cooling mode in the same way as specified in section 3.2.3 of this appendix for units having a two-capacity compressor.

3.2.6 Tests for an Air Conditioner or Heat Pump Having a Single Indoor Unit Having Multiple Indoor Blowers and Offering Two Stages of Compressor Modulation

Conduct the cooling mode tests specified in section 3.2.3 of this appendix.

3.3 Test Procedures for Steady-State Wet Coil Cooling Mode Tests (the A, A_2, A_1, B, B_2, B_1, E_V, and F_1 Tests)

a. For the pretest interval, operate the test room reconditioning apparatus and the unit to be tested until maintaining equilibrium conditions for at least 30 minutes at the specified section 3.2 test conditions. Use the exhaust fan of the airflow measuring apparatus and, if installed, the indoor blower of the test unit to obtain and then maintain the indoor air volume rate and/or external static pressure specified for the particular test. Continuously record (see section 1.2 of this appendix, Definitions):

(1) The dry-bulb temperature of the air entering the indoor coil,

(2) The water vapor content of the air entering the indoor coil,

(3) The dry-bulb temperature of the air entering the outdoor coil, and

(4) For the section 2.2.4 of this appendix cases where its control is required, the water vapor content of the air entering the outdoor coil.

Refer to section 3.11 of this appendix for additional requirements that depend on the selected secondary test method.

b. After satisfying the pretest equilibrium requirements, make the measurements specified in Table 3 of ANSI/ASHRAE 37–2009 for the indoor air enthalpy method and the user-selected secondary method. Make said Table 3 measurements at equal intervals that span 5 minutes or less. Continue data sampling until reaching a 30-minute period (*e.g.*, seven consecutive 5-minute samples) where the test tolerances specified in Table 9 are satisfied. For those continuously recorded parameters, use the entire data set from the 30-minute interval to evaluate Table 9 compliance. Determine the average electrical power consumption of the air conditioner or heat pump over the same 30-minute interval.

c. Calculate indoor-side total cooling capacity and sensible cooling capacity as specified in sections 7.3.3.1 and 7.3.3.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). To calculate capacity, use the averages of the measurements (*e.g.* inlet and outlet dry bulb and wet bulb temperatures measured at the psychrometers) that are continuously recorded for the same 30-minute interval used as described above to evaluate compliance with test tolerances. Do not adjust the parameters used in calculating capacity for the permitted variations in test conditions. Evaluate air enthalpies based on the measured barometric pressure. Use the values of the specific heat of air given in section 7.3.3.1 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) for calculation of the sensible cooling capacities. Assign the average total space cooling capacity, average sensible cooling capacity, and electrical power consumption over the 30-minute data collection interval to the variables $\dot{Q}_c^k(T)$, $\dot{Q}_{sc}^k(T)$ and $\dot{E}_c^k(T)$, respectively. For these three variables, replace the ''T'' with the nominal outdoor temperature at which the test was conducted. The superscript k is used only when testing multi-capacity units. Use the superscript k=2 to denote a test with the unit operating at high capacity or full speed, k=1 to denote low capacity or minimum speed, and k=v to denote the intermediate speed.

d. For mobile home and space-constrained ducted coil-only system tests,

(1) For two-stage or variable-speed systems, for all steady-state wet coil tests (*i.e.*,

the A_1, A_2, B_1, B_2, E_V, and F_1 tests), decrease by the quantity calculated in Equation 3.3–1 to this appendix and increase by the quantity calculated in Equation 3.3–2 to this appendix.

$$\text{Equation 3.3-1} \quad \frac{(\text{DFPC}_{MHSC} * 3.412)\ Btu/h}{1000\ scfm} * \dot{V}_S,$$

$$\text{Equation 3.3-2} \quad \frac{\text{DFPC}_{MHSC}\ W}{1000\ scfm} * \dot{V}_S;$$

Where:

$DFPC_{MHSC}$ is the default fan power coefficient (watts) for mobile-home and space-constrained systems,

$$\text{DFPC}_{MHSC} = 308 + \frac{(406 - 308) * (\%FLAVR - 75\%)}{100\% - 75\%}$$

And %FLAVR is the air volume rate used for the test, expressed as a percentage of the cooling full load air volume rate. For all tests specifying the full-load air volume rate (*e.g.*, the A_2 and B_2 tests), set %FLAVR to 100%. For tests that specify the cooling minimum air volume rate or cooling intermediate air volume rate (*i.e.*, the A_1, B_1, E_V, and F_1 tests) and for which the specified minimum or intermediate air volume rate is greater than or equal to 75 percent of the cooling full-load air volume rate and less than the cooling full-load air volume rate, set %FLAVR to the ratio of the specified air volume rate and the cooling full-load air volume rate, expressed as a percentage.

(2) For single-stage systems, for all steady-state wet coil tests (*i.e.*, the A and B tests), decrease $Q_c^k(T)$ by the quantity calculated in Equation 3.3–3 to this appendix and increase $\dot{E}_c^k(T)$ by the quantity calculated in Equation 3.3–4 to this appendix.

$$\text{Equation 3.3-3} \quad \frac{1385\ Btu/h}{1000\ scfm} * \dot{V}_S, \text{ and}$$

$$\text{Equation 3.3-4} \quad \frac{406\ W}{1000\ scfm} * \dot{V}_S$$

Where $\dot{V}_S$ is the average measured indoor air volume rate expressed in units of cubic feet per minute of standard air (scfm).

e. For non-mobile, non-space-constrained home ducted coil-only system tests,

(1) For two-stage or variable-speed systems, for all steady-state wet coil tests (*i.e.*, the A_1, A_2, B_1, B_2, E_V, and F_1 tests), decrease $Q_c^k(T)$ by the quantity calculated in Equation 3.3–5 to this appendix and increase $\dot{E}_c^k(T)$ by the quantity calculated in Equation 3.3–6 to this appendix.

$$\text{Equation 3.3-5} \quad \frac{(\text{DFPC}_C * 3.412)\ Btu/h}{1000\ scfm} * \dot{V}_S, \text{ and}$$

$$\text{Equation 3.3-6} \quad \frac{\text{DFPC}_C\ W}{1000\ scfm} * \dot{V}_S$$

Where:

DFPC_C is the default fan power coefficient (watts) for non-mobile-home and non-space-constrained systems,

$$\text{DFPC}_C = 335 + \frac{(441 - 335) * (\%FLAVR - 75\%)}{100\% - 75\%}$$

And %FLAVR is the air volume rate used for the test, expressed as a percentage of the cooling full load air volume rate. For all tests specifying the full-load air volume rate (*e.g.*, the A_2 and B_2 tests), set %FLAVR to 100%. For tests that specify the cooling minimum air volume rate or cooling intermediate air volume rate (*i.e.*, the A_1, B_1, E_V, and F_1 tests) and for which the specified minimum or intermediate air volume rate is greater than or equal to 75 percent of the cooling full-load air volume rate and less than the cooling full-load air volume rate, set %FLAVR to the ratio of the specified air volume rate and the cooling full-load air volume rate, expressed as a percentage.

(2) For single-stage systems, for all steady-state wet coil tests (*i.e.*, the A and B tests), decrease $\dot{Q}_c^k(T)$ by the quantity calculated in Equation 3.3–7 to this appendix and increase $\dot{E}_c^k(T)$ by the quantity calculated in Equation 3.3–8 to this appendix.

$$\text{Equation 3.3-7.} \quad \frac{1505\ Btu/h}{1000\ scfm} * \dot{V}_S, \text{ and}$$

$$\text{Equation 3.3-8.} \quad \frac{441\ W}{1000\ scfm} * \dot{V}_S$$

Where is the average measured indoor air volume rate expressed in units of cubic feet per minute of standard air (scfm).

TABLE 9—TEST OPERATING AND TEST CONDITION TOLERANCES FOR SECTION 3.3 STEADY-STATE WET COIL COOLING MODE TESTS AND SECTION 3.4 DRY COIL COOLING MODE TESTS

	Test operating tolerance [1]	Test condition tolerance [1]
Indoor dry-bulb, °F		
Entering temperature	2.0	0.5
Leaving temperature	2.0	
Indoor wet-bulb, °F		
Entering temperature	1.0	[2] 0.3
Leaving temperature	[2] 1.0	
Outdoor dry-bulb, °F		
Entering temperature	2.0	0.5
Leaving temperature	[3] 2.0	
Outdoor wet-bulb, °F		
Entering temperature	1.0	[4] 0.3
Leaving temperature	[3] 1.0	
External resistance to airflow, inches of water	0.05	[5] 0.02
Electrical voltage, % of reading	2.0	1.5
Nozzle pressure drop, % of reading	2.0	

[1] See section 1.2 of this appendix, Definitions.

[2] Only applies during wet coil tests; does not apply during steady-state, dry coil cooling mode tests.
[3] Only applies when using the outdoor air enthalpy method.
[4] Only applies during wet coil cooling mode tests where the unit rejects condensate to the outdoor coil.
[5] Only applies when testing non-ducted units.

f. For air conditioners and heat pumps having a constant-air-volume-rate indoor blower, the five additional steps listed below are required if the average of the measured external static pressures exceeds the applicable sections 3.1.4 minimum (or target) external static pressure (ΔP_{min}) by 0.03 inches of water or more.

(1) Measure the average power consumption of the indoor blower motor ($\dot{E}_{fan,1}$) and record the corresponding external static pressure (ΔP_1) during or immediately following the 30-minute interval used for determining capacity.

(2) After completing the 30-minute interval and while maintaining the same test conditions, adjust the exhaust fan of the airflow measuring apparatus until the external static pressure increases to approximately $\Delta P_1 + (\Delta P_1 - \Delta P_{min})$.

(3) After re-establishing steady readings of the fan motor power and external static pressure, determine average values for the indoor blower power ($\dot{E}_{fan,2}$) and the external static pressure (ΔP_2) by making measurements over a 5-minute interval.

(4) Approximate the average power consumption of the indoor blower motor at ΔP_{min} using linear extrapolation:

$$\dot{E}_{fan,\min} = \frac{\dot{E}_{fan,2} - \dot{E}_{fan,1}}{\Delta P_2 - \Delta P_1}(\Delta P_{\min} - \Delta P_1) + \dot{E}_{fan,1}$$

(5) Increase the total space cooling capacity, $\dot{Q}_c^k(T)$, by the quantity ($\dot{E}_{fan,1} - \dot{E}_{fan,min}$), when expressed on a Btu/h basis. Decrease the total electrical power, $\dot{E}_c^k(T)$, by the same fan power difference, now expressed in watts.

3.4 Test Procedures for the Steady-State Dry-Coil Cooling-Mode Tests (the C, C_1, C_2, and G_1 Tests)

a. Except for the modifications noted in this section, conduct the steady-state dry coil cooling mode tests as specified in section 3.3 of this appendix for wet coil tests. Prior to recording data during the steady-state dry coil test, operate the unit at least one hour after achieving dry coil conditions. Drain the drain pan and plug the drain opening. Thereafter, the drain pan should remain completely dry.

b. Denote the resulting total space cooling capacity and electrical power derived from the test as $\dot{Q}_{ss,dry}$ and $\dot{E}_{ss,dry}$. With regard to a section 3.3 deviation, do not adjust $\dot{Q}_{ss,dry}$ for duct losses (*i.e.*, do not apply section 7.3.3.3 of ANSI/ASHRAE 37–2009). In preparing for the section 3.5 cyclic tests of this appendix, record the average indoor-side air volume rate, $\bar{V}$, specific heat of the air, Cp,a (expressed on dry air basis), specific volume of the air at the nozzles, v'_n, humidity ratio at the nozzles, W_n, and either pressure difference or velocity pressure for the flow nozzles. For units having a variable-speed indoor blower (that provides either a constant or variable air volume rate) that will or may be tested during the cyclic dry coil cooling mode test with the indoor blower turned off (see section 3.5 of this appendix), include the electrical power used by the indoor blower motor among the recorded parameters from the 30-minute test.

c. If the temperature sensors used to provide the primary measurement of the indoor-side dry bulb temperature difference during the steady-state dry-coil test and the subsequent cyclic dry-coil test are different, include measurements of the latter sensors among the regularly sampled data. Beginning at the start of the 30-minute data collection period, measure and compute the indoor-side air dry-bulb temperature difference using both sets of instrumentation, ΔT (Set SS) and ΔT (Set CYC), for each equally spaced data sample. If using a consistent data sampling rate that is less than 1 minute, calculate and record minutely averages for the two temperature differences. If using a consistent sampling rate of one minute or more, calculate and record the two temperature differences from each data sample. After having recorded the seventh (i=7) set of temperature differences, calculate the following ratio using the first seven sets of values:

$$F_{CD} = \frac{1}{7}\sum_{i-6}^{i}\frac{\Delta T(Set\ SS)}{\Delta T(Set\ CYC)}$$

Each time a subsequent set of temperature differences is recorded (if sampling more frequently than every 5 minutes), calculate F_{CD} using the most recent seven sets of values. Continue these calculations until the 30-minute period is completed or until a value for F_{CD} is calculated that falls outside the allowable range of 0.94–1.06. If the latter occurs, immediately suspend the test and identify the cause for the disparity in the two temperature difference measurements. Recalibration of one or both sets of instrumentation may be required. If all the values for F_{CD} are within the allowable range, save the final value of the ratio from the 30-minute test as F_{CD}*. If the temperature sensors used to provide the primary measurement of the indoor-side dry bulb temperature difference during the steady-state dry-coil test and the subsequent cyclic dry-coil test are the same, set F_{CD}*= 1.

3.5 Test Procedures for the Cyclic Dry-Coil Cooling-Mode Tests (the D, D_1, D_2, and I_1 Tests)

After completing the steady-state dry-coil test, remove the outdoor air enthalpy method test apparatus, if connected, and begin manual OFF/ON cycling of the unit's compressor. The test set-up should otherwise be identical to the set-up used during the steady-state dry coil test. When testing heat pumps, leave the reversing valve during the compressor OFF cycles in the same position as used for the compressor ON cycles, unless automatically changed by the controls of the unit. For units having a variable-speed indoor blower, the manufacturer has the option of electing at the outset whether to conduct the cyclic test with the indoor blower enabled or disabled. Always revert to testing with the indoor blower disabled if cyclic testing with the fan enabled is unsuccessful.

a. For all cyclic tests, the measured capacity must be adjusted for the thermal mass stored in devices and connections located between measured points. Follow the procedure outlined in section 7.4.3.4.5 of ASHRAE 116–2010 (incorporated by reference, see §430.3) to ensure any required measurements are taken.

b. For units having a single-speed or two-capacity compressor, cycle the compressor OFF for 24 minutes and then ON for 6 minutes ($\Delta\tau_{cyc,dry}$ = 0.5 hours). For units having a variable-speed compressor, cycle the compressor OFF for 48 minutes and then ON for 12 minutes ($\Delta\tau_{cyc,dry}$ = 1.0 hours). Repeat the OFF/ON compressor cycling pattern until the test is completed. Allow the controls of the unit to regulate cycling of the outdoor fan. If an upturned duct is used, measure the dry-bulb temperature at the inlet of the device at least once every minute and ensure that its test operating tolerance is within 1.0 °F for each compressor OFF period.

c. Sections 3.5.1 and 3.5.2 of this appendix specify airflow requirements through the indoor coil of ducted and non-ducted indoor units, respectively. In all cases, use the exhaust fan of the airflow measuring apparatus (covered under section 2.6 of this appendix) along with the indoor blower of the unit, if installed and operating, to approximate a step response in the indoor coil airflow. Regulate the exhaust fan to quickly obtain and then maintain the flow nozzle static pressure difference or velocity pressure at the same value as was measured during the steady-state dry coil test. The pressure difference or velocity pressure should be within 2 percent of the value from the steady-state dry coil test within 15 seconds after airflow initiation. For units having a variable-speed indoor blower that ramps when cycling on and/or off, use the exhaust fan of the airflow measuring apparatus to impose a step response that begins at the initiation of ramp up and ends at the termination of ramp down.

d. For units having a variable-speed indoor blower, conduct the cyclic dry coil test using the pull-thru approach described below if any of the following occur when testing with the fan operating:

(1) The test unit automatically cycles off;

(2) Its blower motor reverses; or

(3) The unit operates for more than 30 seconds at an external static pressure that is 0.1 inches of water or more higher than the value measured during the prior steady-state test.

For the pull-thru approach, disable the indoor blower and use the exhaust fan of the airflow measuring apparatus to generate the specified flow nozzles static pressure difference or velocity pressure. If the exhaust fan cannot deliver the required pressure difference because of resistance created by the unpowered indoor blower, temporarily remove the indoor blower.

e. Conduct three complete compressor OFF/ON cycles with the test tolerances given in Table 10 satisfied. Calculate the degradation coefficient C_D for each complete cycle. If all three C_D values are within 0.02 of the average C_D then stability has been achieved, use the highest C_D value of these three. If

stability has not been achieved, conduct additional cycles, up to a maximum of eight cycles, until stability has been achieved between three consecutive cycles. Once stability has been achieved, use the highest C_D value of the three consecutive cycles that establish stability. If stability has not been achieved after eight cycles, use the highest C_D from cycle one through cycle eight, or the default C_D, whichever is lower.

f. With regard to the Table 10 parameters, continuously record the dry-bulb temperature of the air entering the indoor and outdoor coils during periods when air flows through the respective coils. Sample the water vapor content of the indoor coil inlet air at least every 2 minutes during periods when air flows through the coil. Record external static pressure and the air volume rate indicator (either nozzle pressure difference or velocity pressure) at least every minute during the interval that air flows through the indoor coil. (These regular measurements of the airflow rate indicator are in addition to the required measurement at 15 seconds after flow initiation.) Sample the electrical voltage at least every 2 minutes beginning 30 seconds after compressor start-up. Continue until the compressor, the outdoor fan, and the indoor blower (if it is installed and operating) cycle off.

g. For ducted units, continuously record the dry-bulb temperature of the air entering (as noted above) and leaving the indoor coil. Or if using a thermopile, continuously record the difference between these two temperatures during the interval that air flows through the indoor coil. For non-ducted units, make the same dry-bulb temperature measurements beginning when the compressor cycles on and ending when indoor coil airflow ceases.

h. Integrate the electrical power over complete cycles of length $\Delta\tau_{cyc,dry}$. For ducted blower coil systems tested with the unit's indoor blower operating for the cycling test, integrate electrical power from indoor blower OFF to indoor blower OFF. For all other ducted units and for non-ducted units, integrate electrical power from compressor OFF to compressor OFF. (Some cyclic tests will use the same data collection intervals to determine the electrical energy and the total space cooling. For other units, terminate data collection used to determine the electrical energy before terminating data collection used to determine total space cooling.)

TABLE 10—TEST OPERATING AND TEST CONDITION TOLERANCES FOR CYCLIC DRY COIL COOLING MODE TESTS

	Test operating tolerance [1]	Test condition tolerance [1]
Indoor entering dry-bulb temperature,[2] °F	2.0	0.5
Indoor entering wet-bulb temperature, °F		([3])
Outdoor entering dry-bulb temperature,[2] °F	2.0	0.5
External resistance to airflow,[2] inches of water	0.05	
Airflow nozzle pressure difference or velocity pressure,[2]% of reading	2.0	[4] 2.0
Electrical voltage,[5] % of reading	2.0	1.5

[1] See section 1.2 of this appendix, Definitions.

[2] Applies during the interval that air flows through the indoor (outdoor) coil except for the first 30 seconds after flow initiation. For units having a variable-speed indoor blower that ramps, the tolerances listed for the external resistance to airflow apply from 30 seconds after achieving full speed until ramp down begins.

[3] Shall at no time exceed a wet-bulb temperature that results in condensate forming on the indoor coil.

[4] The test condition must be the average nozzle pressure difference or velocity pressure measured during the steady-state dry coil test.

[5] Applies during the interval when at least one of the following—the compressor, the outdoor fan, or, if applicable, the indoor blower—are operating except for the first 30 seconds after compressor start-up.

If the Table 10 tolerances are satisfied over the complete cycle, record the measured electrical energy consumption as $e_{cyc,dry}$ and express it in units of watt-hours. Calculate the total space cooling delivered, $q_{cyc,dry}$, in units of Btu using,

$$q_{cyc,dry} = \frac{60*\overline{V}*C_{p,a}*\Gamma}{[v_n'*(1+W_n)]} = \frac{60*\overline{V}*C_{p,a}*\Gamma}{v_n} \quad \text{and} \quad \Gamma = F_{CD}^{*}\int_{\tau_1}^{\tau_2}[T_{a1}(\tau) - T_{a2}(\tau)]\delta\tau,\ hr*°\text{F}$$

Where,

$\overline{V}$, $C_{p,a}$, v_n' (or v_n), W_n, and F_{CD}* are the values recorded during the section 3.4 dry coil steady-state test and

$T_{a1}(\tau)$ = dry bulb temperature of the air entering the indoor coil at time τ, °F.

$T_{a2}(\tau)$ = dry bulb temperature of the air leaving the indoor coil at time τ, °F.

τ_1 = for ducted units, the elapsed time when airflow is initiated through the indoor coil; for non-ducted units, the elapsed time when the compressor is cycled on, hr.

τ_2 = the elapsed time when indoor coil airflow ceases, hr.

Adjust the total space cooling delivered, $q_{cyc,dry}$, according to calculation method outlined in section 7.4.3.4.5 of ASHRAE 116–2010 (incorporated by reference, see §430.3).

3.5.1 Procedures When Testing Ducted Systems

The automatic controls that are installed in the test unit must govern the OFF/ON cycling of the air moving equipment on the indoor side (*i.e.*, the exhaust fan of the airflow measuring apparatus and the indoor blower of the test unit). For ducted coil-only systems rated based on using a fan time-delay relay, control the indoor coil airflow according to the OFF delay listed by the manufacturer in the certification report. For ducted units having a variable-speed indoor blower that has been disabled (and possibly removed), start and stop the indoor airflow at the same instances as if the fan were enabled. For all other ducted coil-only systems, cycle the indoor coil airflow in unison with the cycling of the compressor. If air damper boxes are used, close them on the inlet and outlet side during the OFF period. Airflow through the indoor coil should stop within 3 seconds after the automatic controls of the test unit de-energize (or if the airflow system has been disabled (and possibly removed), within 3 seconds after the automatic controls of the test unit *would have* de-energized) the indoor blower.

a. For mobile home and space-constrained ducted coil-only systems,

(1) For two-stage or variable-speed systems, for all cyclic dry-coil tests (*i.e.*, the D_1, D_2, and I_1 tests) decrease $q_{cyc,dry}$ by the quantity calculated in Equation 3.5–2 to this appendix and increase $e_{cyc,dry}$ by the quantity calculated in Equation 3.5–3 to this appendix.

$$\text{Equation 3.5-2 } \frac{(\text{DFPC}_{MHSC} * 3.412) Btu/h}{1000\ scfm} * \dot{V}_S * [\tau_2 - \tau_1]$$

$$\text{Equation 3.5-3 } \frac{\text{DFPC}_{MHSC} W}{1000\ scfm} * \dot{V}_S * [\tau_2 - \tau_1]$$

Where:

$\dot{V}_S$ is the average indoor air volume rate from the section 3.4 dry coil steady-state test and is expressed in units of cubic feet per minute of standard air (scfm),

$DFPC_{MHSC}$ is the default fan power coefficient (watts) for mobile-home and space-constrained systems,

$$\text{DFPC}_{MHSC} = 308 + \frac{(406 - 308) * (\%FLAVR - 75\%)}{100\% - 75\%}$$

And %FLAVR is the air volume rate used for the test, expressed as a percentage of the cooling full load air volume rate. For all tests specifying the full-load air volume rate (*e.g.*, the D_2 test), set %FLAVR to 100%. For tests that specify the cooling minimum air volume rate or cooling intermediate air volume rate (*i.e.*, the D_1 and I_1 tests) and for which the specified minimum or intermediate air volume rate is greater than or equal to 75 percent of the cooling full-load air volume rate and less than the cooling full-load air volume rate, set %FLAVR to the ratio of the specified air volume rate and the cooling full-load air volume rate, expressed as a percentage.

(2) For single-stage systems, for all cyclic dry-coil tests (*i.e.*, the D test), decrease $q_{cyc,dry}$ by the quantity calculated in Equation 3.5–4 to this appendix and increase $e_{cyc,dry}$ by the quantity calculated in Equation 3.5–5 to this appendix.

$$\text{Equation 3.5-4 } \frac{1385\ Btu/h}{1000\ scfm} * \dot{V}_S * [\tau_2 - \tau_1]$$

$$\text{Equation 3.5-5 } \frac{406\,W}{1000\,scfm} * \dot{V}_S * [\tau_2 - \tau_1]$$

b. For ducted, non-mobile, non-space-constrained home coil-only units,

(1) For two-stage or variable-speed systems, for all cyclic dry-coil tests (*i.e.*, the D_1, D_2, and I_1 tests) decrease $q_{cyc,dry}$ by the quantity calculated in Equation 3.5–6 to this appendix and increase $e_{cyc,dry}$ by the quantity calculated in Equation 3.5–7 to this appendix.

$$\text{Equation 3.5-6. } \frac{(\text{DFPC}_C * 3.412)\,Btu/h}{1000\,scfm} * \dot{V}_S * [\tau_2 - \tau_1]$$

$$\text{Equation 3.5-7. } \frac{\text{DFPC}_C\,W}{1000\,scfm} * \dot{V}_S * [\tau_2 - \tau_1]$$

Where:

$\dot{V}_S$ is the average indoor air volume rate from the section 3.4 dry coil steady-state test and is expressed in units of cubic feet per minute of standard air (scfm),

DFPC_C is the default fan power coefficient (watts) for non-mobile-home and non-space-constrained systems,

$$\text{DFPC}_C = 335 + \frac{(441 - 335) * (\%FLAVR - 75\%)}{100\% - 75\%}$$

And %FLAVR is the air volume rate used for the test, expressed as a percentage of the cooling full load air volume rate. For all tests specifying the full-load air volume rate (*e.g.*, the D_2 test), set %FLAVR to 100%. For tests that specify the cooling minimum air volume rate or cooling intermediate air volume rate (*i.e.*, the D_1, and I_1 tests) and for which the specified minimum or intermediate air volume rate is greater than or equal to 75 percent of the cooling full-load air volume rate and less than the cooling full-load air volume rate, set %FLAVR to the ratio of the specified air volume rate and the cooling full-load air volume rate, expressed as a percentage.

(2) For single-stage systems, for all cyclic dry-coil tests (*i.e.*, the D test) decrease $q_{cyc,dry}$ by the quantity calculated in Equation 3.5–8 to this appendix and increase $e_{cyc,dry}$ by the quantity calculated in Equation 3.5–9 to this appendix.

$$\text{Equation 3.5-8. } \frac{1505\,Btu/h}{1000\,scfm} * \dot{V}_S * [\tau_2 - \tau_1]$$

$$\text{Equation 3.5-9. } \frac{441\,W}{1000\,scfm} * \dot{V}_S * [\tau_2 - \tau_1]$$

c. For units having a variable-speed indoor blower that is disabled during the cyclic test, decrease $q_{cyc,dry}$ and increase $e_{cyc,dry}$ based on: The product of $[\tau_2 - \tau_1]$ and the indoor blower power (in W) measured during or following the dry coil steady-state test; or,

d. The following algorithm if the indoor blower ramps its speed when cycling.

(1) Measure the electrical power consumed by the variable-speed indoor blower at a minimum of three operating conditions: at the speed/air volume rate/external static pressure that was measured during the steady-state test, at operating conditions associated with the midpoint of the ramp-up interval, and at conditions associated with the midpoint of the ramp-down interval. For these measurements, the tolerances on the airflow volume or the external static pressure are

the same as required for the section 3.4 steady-state test.

(2) For each case, determine the fan power from measurements made over a minimum of 5 minutes.

(3) Approximate the electrical energy consumption of the indoor blower if it had operated during the cyclic test using all three power measurements. Assume a linear profile during the ramp intervals. The manufacturer must provide the durations of the ramp-up and ramp-down intervals. If the test setup instructions included with the unit by the manufacturer specifies a ramp interval that exceeds 45 seconds, use a 45-second ramp interval nonetheless when estimating the fan energy.

3.5.2 Procedures When Testing Non-Ducted Indoor Units

Do not use airflow prevention devices when conducting cyclic tests on non-ducted indoor units. Until the last OFF/ON compressor cycle, airflow through the indoor coil must cycle off and on in unison with the compressor. For the last OFF/ON compressor cycle—the one used to determine $e_{cyc,dry}$ and $q_{cyc,dry}$—use the exhaust fan of the airflow measuring apparatus and the indoor blower of the test unit to have indoor airflow start 3 minutes prior to compressor cut-on and end three minutes after compressor cutoff. Subtract the electrical energy used by the indoor blower during the 3 minutes prior to compressor cut-on from the integrated electrical energy, $e_{cyc,dry}$. Add the electrical energy used by the indoor blower during the 3 minutes after compressor cutoff to the integrated cooling capacity, $q_{cyc,dry}$. For the case where the non-ducted indoor unit uses a variable-speed indoor blower which is disabled during the cyclic test, correct $e_{cyc,dry}$ and $q_{cyc,dry}$ using the same approach as prescribed in section 3.5.1 of this appendix for ducted units having a disabled variable-speed indoor blower.

3.5.3 Cooling-Mode Cyclic-Degradation Coefficient Calculation

Use the two dry-coil tests to determine the cooling-mode cyclic-degradation coefficient, C_D^c. Append ''(k=2)'' to the coefficient if it corresponds to a two-capacity unit cycling at high capacity. If the two optional tests are conducted but yield a tested C_D^c that exceeds the default C_D^c or if the two optional tests are not conducted, assign C_D^c the default value of 0.25 for variable-speed compressor systems and outdoor units with no match, and 0.20 for all other systems. The default value for two-capacity units cycling at high capacity, however, is the low-capacity coefficient, *i.e.*, $C_D^c(k=2) = C_D^c$. Evaluate C_D^c using the above results and those from the section 3.4 dry-coil steady-state test.

$$C_D^c = \frac{1 - \frac{EER_{cyc,dry}}{EER_{ss,dry}}}{1 - CLF}$$

Where:

$$EER_{cyc,dry} = \frac{q_{cyc,dry}}{e_{cyc,dry}}$$

the average energy efficiency ratio during the cyclic dry coil cooling mode test, Btu/W·h

$$EER_{ss,dry} = \frac{\dot{Q}_{ss,dry}}{\dot{E}_{ss,dry}}$$

the average energy efficiency ratio during the steady-state dry coil cooling mode test, Btu/W·h

$$CLF = \frac{q_{cyc,dry}}{Q_{ss,dry} * \Delta\tau_{cyc,dry}}$$

the cooling load factor dimensionless

Round the calculated value for C_D^c to the nearest 0.01. If C_D^c is negative, then set it equal to zero.

3.6 Heating Mode Tests for Different Types of Heat Pumps, Including Heating-Only Heat Pumps

3.6.1 Tests for a Heat Pump Having a Single-Speed Compressor and Fixed Heating Air Volume Rate

This set of tests is for single-speed-compressor heat pumps that do not have a heating minimum air volume rate or a heating intermediate air volume rate that is different than the heating full load air volume rate. Conducting a very low temperature test (H4) is optional. Conduct the optional high temperature cyclic (H1C) test to determine the heating mode cyclic-degradation coefficient, C_D^h. If this optional test is conducted but yields a tested C_D^h that exceeds the default C_D^h or if the optional test is not conducted, assign C_D^h the default value of 0.25. Test conditions for the five tests are specified in Table 11 of this section.

TABLE 11—HEATING MODE TEST CONDITIONS FOR UNITS HAVING A SINGLE-SPEED COMPRESSOR AND A FIXED-SPEED INDOOR BLOWER, A CONSTANT AIR VOLUME RATE INDOOR BLOWER, OR COIL-ONLY

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb	
H1 test (required, steady)	70	60(max)	47	43	Heating Full-Load.[1]
H1C test (optional, cyclic)	70	60(max)	47	43	([2])
H2 test (required)	70	60(max)	35	33	Heating Full-Load.[1]
H3 test (required, steady)	70	60(max)	17	15	Heating Full-Load.[1]
H4 test (optional, steady)	70	60(max)	5	4(max)	Heating Full-Load.[1]

[1] Defined in section 3.1.4.4 of this appendix.
[2] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during an ON period at the same pressure or velocity as measured during the H1 test.

3.6.2 Tests for a Heat Pump Having a Single-Speed Compressor and a Single Indoor Unit Having Either (1) a Variable-Speed, Variable-Air-Rate Indoor Blower Whose Capacity Modulation Correlates With Outdoor Dry Bulb Temperature or (2) Multiple Indoor Blowers

Conduct five tests: Two high temperature tests ($H1_2$ and $H1_1$), one frost accumulation test ($H2_2$), and two low temperature tests ($H3_2$ and $H3_1$). Conducting an additional frost accumulation test ($H2_1$) and a very low temperature test ($H4_2$) is optional. Conduct the optional high temperature cyclic ($H1C_1$) test to determine the heating mode cyclic-degradation coefficient, C_D^h. If this optional test is conducted but yields a tested C_D^h that exceeds the default C_D^h or if the optional test is not conducted, assign C_D^h the default value of 0.25. Test conditions for the seven tests are specified in Table 12. If the optional $H2_1$ test is not performed, use the following equations to approximate the capacity and electrical power of the heat pump at the $H2_1$ test conditions:

$$\dot{Q}_h^{k=1}(35) = QR_h^{k=2}(35) * \left\{\dot{Q}_h^{k=1}(17) + 0.6 * \left[\dot{Q}_h^{k=1}(47) - \dot{Q}_h^{k=1}(17)\right]\right\}$$

$$\dot{E}_h^{k=1}(35) = PR_h^{k=2}(35) * \left\{\dot{E}_h^{k=1}(17) + 0.6 * \left[\dot{E}_h^{k=1}(47) - \dot{E}_h^{k=1}(17)\right]\right\}$$

where,

$$\dot{Q}R_h^{k=2}(35) = \frac{\dot{Q}_h^{k=2}(35)}{\dot{Q}^{k=2}(17) + 0.6 * [\dot{Q}_h^{k=2}(47) - \dot{Q}_h^{k=2}(17)]}$$

$$PR_h^{k=2}(35) = \frac{\dot{E}_h^{k=2}(35)}{\dot{E}_h^{k=2}(17) + 0.6 * \left[\dot{E}_h^{k=2}(47) - \dot{E}_h^{k=2}(17)\right]}$$

The quantities $\dot{Q}_h{}^{k=2}(47)$, $\dot{E}_h{}^{k=2}(47)$, $\dot{Q}_h{}^{k=1}(47)$, and $\dot{E}_h{}^{k=1}(47)$ are determined from the $H1_2$ and $H1_1$ tests and evaluated as specified in section 3.7 of this appendix; the quantities $\dot{Q}_h{}^{k=2}(35)$ and $\dot{E}_h{}^{k=2}(35)$ are determined from the $H2_2$ test and evaluated as specified in section 3.9 of this appendix; and the quantities $\dot{Q}_h{}^{k=2}(17)$, $\dot{E}_h{}^{k=2}(17)$, $\dot{Q}_h{}^{k=1}(17)$, and $\dot{E}_h{}^{k=1}(17)$, are determined from the $H3_2$ and $H3_1$ tests and evaluated as specified in section 3.10 of this appendix.

TABLE 12—HEATING MODE TEST CONDITIONS FOR UNITS WITH A SINGLE-SPEED COMPRESSOR THAT MEET THE SECTION 3.6.2 INDOOR UNIT REQUIREMENTS

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb	
$H1_2$ test (required, steady)	70	60(max)	47	43	Heating Full-Load.[1]
$H1_1$ test (required, steady)	70	60(max)	47	43	Heating Minimum.[2]
$H1C_1$ test (optional, cyclic)	70	60(max)	47	43	[3]
$H2_2$ test (required)	70	60(max)	35	33	Heating Full-Load.[1]
$H2_1$ test (optional)	70	60(max)	35	33	Heating Minimum.[2]
$H3_2$ test (required, steady)	70	60(max)	17	15	Heating Full-Load.[1]
$H3_1$ test (required, steady)	70	60(max)	17	15	Heating Minimum.[2]
$H4_2$ test (optional, steady)	70	60(max)	5	4(max)	Heating Full-Load.[1]

[1] Defined in section 3.1.4.4 of this appendix.
[2] Defined in section 3.1.4.5 of this appendix.
[3] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during an ON period at the same pressure or velocity as measured during the $H1_1$ test.

3.6.3 Tests for a Heat Pump Having a Two-Capacity Compressor (see Section 1.2 of This Appendix, Definitions), Including Two-Capacity, Northern Heat Pumps (see Section 1.2 of This Appendix, Definitions)

a. Conduct one maximum temperature test ($H0_1$), two high temperature tests ($H1_2$ and $H1_1$), one frost accumulation test ($H2_2$), and one low temperature test ($H3_2$). Conducting a very low temperature test ($H4_2$) is optional. Conduct an additional frost accumulation test ($H2_1$) and low temperature test ($H3_1$) if both of the following conditions exist:

(1) Knowledge of the heat pump's capacity and electrical power at low compressor capacity for outdoor temperatures of 37 °F and less is needed to complete the section 4.2.3 of this appendix seasonal performance calculations; and

(2) The heat pump's controls allow low-capacity operation at outdoor temperatures of 37 °F and less.

If the two conditions in a.(1) and a.(2) of this section are met, an alternative to conducting the $H2_1$ frost accumulation is to use the following equations to approximate the capacity and electrical power:

$$\dot{Q}_h^{k=1}(35) = 0.90 * \left\{\dot{Q}_h^{k=1}(17) + 0.6 * \left[\dot{Q}_h^{k=1}(47) - \dot{Q}_h^{k=1}(17)\right]\right\}$$

$$\dot{E}_h^{k=1}(35) = 0.985 * \left\{\dot{E}_h^{k=1}(17) + 0.6 * \left[\dot{E}_h^{k=1}(47) - \dot{E}_h^{k=1}(17)\right]\right\}$$

Determine the quantities $\dot{Q}_h^{k=1}$ (47) and $\dot{E}_h^{k=1}$ (47) from the $H1_1$ test and evaluate them according to section 3.7 of this appendix. Determine the quantities $\dot{Q}_h^{k=1}$ (17) and $\dot{E}_h^{k=1}$ (17) from the $H3_1$ test and evaluate them according to section 3.10 of this appendix.

b. Conduct the optional high temperature cyclic test ($H1C_1$) to determine the heating mode cyclic-degradation coefficient, C_D^h. If this optional test is conducted but yields a tested C_D^h that exceeds the default C_D^h or if the optional test is not conducted, assign C_D^h the default value of 0.25. If a two-capacity heat pump locks out low capacity operation at lower outdoor temperatures, conduct the high temperature cyclic test ($H1C_2$) to determine the high-capacity heating mode cyclic-degradation coefficient, C_D^h (k=2). If this optional test at high capacity is conducted but yields a tested C_D^h (k = 2) that exceeds the default C_D^h (k = 2) or if the optional test is not conducted, assign C_D^h the default value. The default C_D^h (k=2) is the same value as determined or assigned for the low-capacity cyclic-degradation coefficient, C_D^h [or equivalently, C_D^h (k=1)]. Table 13 specifies test conditions for these nine tests.

TABLE 13—HEATING MODE TEST CONDITIONS FOR UNITS HAVING A TWO-CAPACITY COMPRESSOR

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Compressor capacity	Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
$H0_1$ test (required, steady) ...	70	60(max)	62	56.5	Low	Heating Minimum.[1]
$H1_2$ test (required, steady) ...	70	60(max)	47	43	High	Heating Full-Load.[2]
$H1C_2$ test (optional,[7] cyclic)	70	60(max)	47	43	High	([3])
$H1_1$ test (required, steady) ...	70	60(max)	47	43	Low	Heating Minimum.[1]
$H1C_1$ test (optional, cyclic) ..	70	60(max)	47	43	Low	([4])
$H2_2$ test (required)	70	60(max)	35	33	High	Heating Full-Load.[2]
$H2_1$ test[5 6] (required)	70	60(max)	35	33	Low	Heating Minimum.[1]
$H3_2$ test (required, steady) ...	70	60(max)	17	15	High	Heating Full-Load.[2]
$H3_1$ test[5] (required, steady)	70	60(max)	17	15	Low	Heating Minimum.[1]
$H4_2$ test (optional, steady) ...	70	60(max)	5	4(max)	High	Heating Full-Load.[2]

[1] Defined in section 3.1.4.5 of this appendix.
[2] Defined in section 3.1.4.4 of this appendix.
[3] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during an ON period at the same pressure or velocity as measured during the $H1_2$ test.
[4] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during an ON period at the same pressure or velocity as measured during the $H1_1$ test.
[5] Required only if the heat pump's performance when operating at low compressor capacity and outdoor temperatures less than 37 °F is needed to complete HSPF2 calculations in section 4.2.3 of this appendix.
[6] If note #5 to this table applies, the equations for $Q_h^{k=1}$ (35) and $E_h^{k=1}$ (17) in section 3.6.3 of this appendix may be used in lieu of conducting the $H2_1$ test.
[7] Required only if the heat pump locks out low-capacity operation at lower outdoor temperatures.

3.6.4 Tests for a Heat Pump Having a Variable-Speed Compressor

3.6.4.1 Variable-Speed Compressor Other Than Non-Communicating Coil-Only Heat Pumps

a. Conduct one maximum temperature test ($H0_1$), two high temperature tests ($H1_N$ and $H1_1$), one frost accumulation test ($H2_V$), and one low temperature test ($H3_2$). Conducting one or more of the following tests is optional: an additional high temperature test ($H1_2$), an additional frost accumulation test ($H2_2$), and a very low temperature test ($H4_2$). Conduct the optional high temperature cyclic ($H1C_1$) test to determine the heating mode cyclic-degradation coefficient, C_D^h. If this optional test is conducted and yields a tested C_D^h that exceeds the default C_D^h or if the optional test is not conducted, assign C_D^h the default value of 0.25. Test conditions for the nine tests are specified in Table 14A to this appendix. The compressor shall operate for the $H1_2$, $H2_2$ and $H3_2$ Tests at the same heating full speed, measured by RPM or power input frequency (Hz), as the maximum speed at which the system controls would operate the compressor in normal operation in 17 °F ambient temperature. The compressor shall operate for the $H1_N$ test at the maximum speed at which the system controls would operate the compressor in normal operation in 47 °F ambient temperature. Additionally, for a cooling/heating heat pump, the compressor shall operate for the $H1_N$ test at a speed, measured by RPM or power input frequency (Hz), no lower than the speed used in the A_2 test if the tested $H1_N$ heating capacity is less than the tested A_2 cooling capacity. The compressor shall operate at the same heating minimum speed, measured by RPM or power input frequency (Hz), for the $H0_1$, $H1C_1$, and $H1_1$ Tests. Determine the heating intermediate compressor speed cited in Table 14A using the heating mode full and minimum compressors speeds and:

$$\text{Heating intermediate speed} = \text{Heating minimum speed} + \frac{\text{Heating full speed} - \text{Heating minimum speed}}{3}$$

Where a tolerance of plus 5 percent or the next higher inverter frequency step from that calculated is allowed.

b. If one of the high temperature tests ($H1_2$ or $H1_N$) is conducted using the same compressor speed (RPM or power input frequency) as the $H3_2$ test, set the 47 °F capacity and power input values used for calculation of HSPF2 equal to the measured values for that test:

$\dot{Q}^{k=2}{}_{hcalc}(47) = \dot{Q}^{k=2}{}_{h}(47)$; $\dot{E}^{k=2}{}_{hcalc}(47) = \dot{E}^{k=2}{}_{h}(47)$

Where:

$\dot{Q}^{k=2}{}_{hcalc}(47)$ and $\dot{E}^{k=2}{}_{hcalc}(47)$ are the capacity and power input, respectively, representing full-speed operation at 47 °F for the HSPF2 calculations,

$\dot{Q}^{k=2}{}_{h}(47)$ is the capacity measured in the high temperature test ($H1_2$ or $H1_N$) that used the same compressor speed as the $H3_2$ test, and

$\dot{E}^{k=2}{}_{h}(47)$ is the power input measured in the high temperature test ($H1_2$ or $H1_N$) which used the same compressor speed as the $H3_2$ test.

Evaluate the quantities $\dot{Q}^{hk=2}(47)$ and $\dot{E}_h{}^{k=2}(47)$ according to section 3.7 of this appendix.

Otherwise (if no high temperature test is conducted using the same speed (RPM or power input frequency) as the $H3_2$ test), calculate the 47 °F capacity and power input values used for calculation of HSPF2 as follows:

$\dot{Q}^{k=2}{}_{hcalc}(47) = \dot{Q}^{k=2}{}_{h}(17) * (1 + 30\ °F * CSF)$;

$\dot{E}^{k=2}{}_{hcalc}(47) = \dot{E}^{k=2}{}_{h}(17) * (1 + 30\ °F * PSF)$;

Where:

$\dot{Q}^{k=2}{}_{hcalc}(47)$ and $\dot{E}^{k=2}{}_{hcalc}(47)$ are the capacity and power input, respectively, representing full-speed operation at 47 °F for the HSPF2 calculations,

$\dot{Q}^{k=2}{}_{h}(17)$ is the capacity measured in the $H3_2$ test,

$\dot{E}^{k=2}{}_{h}(17)$ is the power input measured in the $H3_2$ test,

CSF is the capacity slope factor, equal to 0.0204/ °F for split systems and 0.0262/ °F for single-package systems, and

PSF is the Power Slope Factor, equal to 0.00455/ °F.

c. If the $H2_2$ test is not done, use the following equations to approximate the capacity and electrical power at the $H2_2$ test conditions:

$\dot{Q}^{k=2}{}_{h}(35) = 0.90*\{\dot{Q}^{k=2}{}_{h}(17) + 0.6*[\dot{Q}^{k=2}{}_{hcalc}(47) - \dot{Q}^{k=2}{}_{h}(17)]\}$

$\dot{E}^{k=2}{}_{h}(35) = 0.985*\{\dot{E}^{k=2}{}_{h}(17) + 0.6*[\dot{E}^{k=2}{}_{hcalc}(47) - \dot{E}^{k=2}{}_{h}(17)]\}$

Where:

$\dot{Q}^{k=2}{}_{hcalc}(47)$ and $\dot{E}^{k=2}{}_{hcalc}(47)$ are the capacity and power input, respectively, representing full-speed operation at 47 °F for the HSPF2 calculations, calculated as described in paragraph b. of this section, and

$\dot{Q}^{k=2}{}_{h}(17)$ and $\dot{E}^{k=2}{}_{h}(17)$ are the capacity and power input measured in the $H3_2$ test.

d. Determine the quantities $\dot{Q}_h{}^{k=2}(17)$ and $\dot{E}_h{}^{k=2}(17)$ from the $H3_2$ test, determine the quantities $\dot{Q}_h{}^{k=2}(5)$ and $\dot{E}_h{}^{k=2}(5)$ from the $H4_2$ test, and evaluate all four according to section 3.10 of this appendix.

e. For multiple-split heat pumps (only), the following procedures supersede the above requirements. For all Table 14A of this appendix tests specified for a minimum compressor speed, turn off at least one indoor unit. The manufacturer shall designate the particular indoor unit(s) to be turned off. The manufacturer must also specify the compressor speed used for the Table 14A $H2_V$ test, a heating mode intermediate compressor speed that falls within ¼ and ¾ of the difference between the full and minimum heating mode speeds. The manufacturer should prescribe an intermediate speed that is expected to yield the highest COP for the given $H2_V$ test conditions and bracketed compressor speed range. The manufacturer can designate that one or more specific indoor units are turned off for the $H2_V$ test.

TABLE 14A—HEATING MODE TEST CONDITIONS FOR UNITS HAVING A VARIABLE-SPEED COMPRESSOR OTHER THAN VARIABLE-SPEED NON-COMMUNICATING COIL-ONLY HEAT PUMPS

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Compressor speed	Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
$H0_1$ test (required, steady).	70	60(max)	62	56.5	Heating Minimum.	Heating Minimum.[1]
$H1_2$ test (optional, steady).	70	60(max)	47	43	Heating Full[4] ...	Heating Full-Load.[3]
$H1_1$ test (required, steady).	70	60(max)	47	43	Heating Minimum.	Heating Minimum.[1]
$H1_N$ test (required, steady).	70	60(max)	47	43	Heating Full[5] ...	Heating Nominal.[7]
$H1C_1$ test (optional, cyclic).	70	60(max)	47	43	Heating Minimum.	([2])
$H2_2$ test (optional).	70	60(max)	35	33	Heating Full[4] ...	Heating Full-Load.[3]
$H2_V$ test (required).	70	60(max)	35	33	Heating Intermediate.	Heating Intermediate.[6]
$H3_2$ test (required, steady).	70	60(max)	17	15	Heating Full[4] ...	Heating Full-Load.[3]
$H4_2$ test (optional, steady).	70	60(max)	5	4(max) ...	Heating Full[8] ...	Heating Full-Load.[3]

[1] Defined in section 3.1.4.5 of this appendix.
[2] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during an ON period at the same pressure or velocity as measured during the $H1_1$ test.
[3] Defined in section 3.1.4.4 of this appendix.
[4] Maximum speed that the system controls would operate the compressor in normal operation in 17 °F ambient temperature. The $H1_2$ test is not needed if the $H1_N$ test uses this same compressor speed.
[5] Maximum speed that the system controls would operate the compressor in normal operation in 47 °F ambient temperature.
[6] Defined in section 3.1.4.6 of this appendix.
[7] Defined in section 3.1.4.7 of this appendix.
[8] Maximum speed that the system controls would operate the compressor in normal operation at 5 °F ambient temperature.

3.6.4.2 Variable-Speed Compressor With Non-Communicating Coil-Only Heat Pumps

a. Conduct one maximum temperature test ($H0_1$), two high temperature tests ($H1_N$ and $H1_1$), two frost accumulation test ($H2_2$ and $H2_1$), and two low temperature tests ($H3_2$ and $H3_1$). Conducting one or both of the following tests is optional: an additional high temperature test ($H1_2$) and a very low temperature test ($H4_2$). Conduct the optional high temperature cyclic ($H1C_1$) test to determine the heating mode cyclic-degradation coefficient, C_D^h. If this optional test is conducted and yields a tested C_D^h that exceeds the default C_D^h or if the optional test is not conducted, assign C_D^h the default value of 0.25. Test conditions for the ten tests are specified in Table 14B to this appendix. The compressor shall operate for the $H1_2$ and $H3_2$ tests at the same heating full speed, measured by RPM or power input frequency (Hz), as the maximum speed at which the system controls would operate the compressor in normal operation in 17 °F ambient temperature. The compressor shall operate for the $H1_N$ test at the maximum speed at which the system controls would operate the compressor in normal operation in 47 °F ambient temperature. Additionally, for a cooling/heating heat pump, the compressor shall operate for the $H1_N$ test at a speed, measured by RPM or power input frequency (Hz), no lower than the speed used in the A_2 test if the tested $H1_N$ heating capacity is less than the tested A_2 cooling capacity. The compressor shall operate at the same heating minimum speed, measured by RPM or power input frequency (Hz), for the $H0_1$, $H1C_1$, and $H1_1$ tests.

b. If one of the high temperature tests ($H1_2$ or $H1_N$) is conducted using the same compressor speed (RPM or power input frequency) as the $H3_2$ test, set the 47 °F capacity and power input values used for calculation of HSPF2 equal to the measured values for that test:

$$\dot{Q}^{k=2hcalc}(47) = \dot{Q}^{k=2h}(47) = \dot{E}^{k=2hcalc}(47) = \dot{E}^{k=2h}(47)$$

Where:

$\dot{Q}^{k=2hcalc}(47)$ and $\dot{E}^{k=2hcalc}(47)$ are the capacity and power input, respectively, representing full-speed operation at 47 °F for the HSPF2 calculations,

$\dot{Q}^{k=2}{}_h(47)$ is the capacity measured in the high temperature test ($H1_2$ or $H1_N$) which used the same compressor speed as the $H3_2$ test, and

$\dot{E}^{k=2}{}_h(47)$ is the power input measured in the high temperature test ($H1_2$ or $H1_N$) which used the same compressor speed as the $H3_2$ test.

Evaluate the quantities $\dot{Q}^{h=2}(47)$ and $\dot{E}^{k=2}(47)$ according to section 3.7 of this appendix.

Otherwise (if no high temperature test is conducted using the same speed (RPM or power input frequency) as the $H3_2$ test), calculate the 47 °F capacity and power input values used for calculation of HSPF2 as follows:

$\dot{Q}^{k=2hcalc}(47) = \dot{Q}^{k=2h}(17) * (1 + 30\ °F\ CSF)$; and

$\dot{E}^{k=2hcalc}(47) = \dot{E}^{k=2h}(17) * (1 + 30\ °F\ PSF)$; and

Where:

$\dot{Q}^{k=2hcalc}$ and $\dot{E}^{k=2hcalc}(47)$ are the capacity and power input, respectively, representing full-speed operation at 47 °F for the HSPF2 calculations,

$\dot{Q}^{k=2h}$ is the capacity measured in the $H3_2$ test,

$\dot{E}^{k=2h}(47)$ is the power input measured in the $H3_2$ test,

CSF is the capacity slope factor, equal to 0.0204/ °F for split systems, and

PSF is the Power Slope Factor, equal to 0.00455/ °F.

c. Determine the quantities $\dot{Q}^{k=2}{}_h(17)$ and $\dot{E}^{k=2}{}_h(5)$ from the $H3_2$ test, determine the quantities $\dot{Q}^{k=2}{}_h(5)$ and $\dot{E}^{k=2}{}_h(5)$ from the $H4_2$ test, and evaluate all four according to section 3.10 of this appendix.

TABLE 14B—HEATING MODE TEST CONDITIONS FOR VARIABLE-SPEED NON-COMMUNICATING COIL-ONLY HEAT PUMPS

Test description	Air entering indoor unit temperature (°F)		Air entering outdoor unit temperature (°F)		Compressor speed	Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
$H0_1$ test (required, steady).	70	60 (max)	62	56.5	Heating Minimum.	Heating Minimum.[1]
$H1_2$ test (optional, steady).	70	60 (max)	47	43	Heating Full[4] ...	Heating Full-Load.[3]
$H1_1$ test (required, steady).	70	60 (max)	47	43	Heating Minimum.	Heating Minimum.[1]
$H1_N$ test (required, steady).	70	60 (max)	47	43	Heating Full[5] ...	Heating Full-Load.[3]
$H1C_1$ test (optional, cyclic).	70	60 (max)	47	43	Heating Minimum.	([2])
$H2_2$ test (required).	70	60 (max)	35	33	Heating Full[6] ...	Heating Full-Load.[3]
$H2_1$ test (required).	70	60 (max)	35	33	Heating Minimum[7].	Heating Minimum.[1]
$H3_2$ test (required, steady).	70	60 (max)	17	15	Heating Full[4] ...	Heating Full-Load.[3]
$H3_1$ test (required, steady).	70	60 (max)	17	15	Heating Minimum[8].	Heating Minimum.[1]
$H4_2$ test (optional, steady).	70	60 (max)	5	4 (max) ..	Heating Full[9] ...	Heating Full-Load.[3]

[1] Defined in section 3.1.4.5 of this appendix.

[2] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during an ON period at the same pressure or velocity as measured during the $H1_1$ test.

[3] Defined in section 3.1.4.4 of this appendix.

[4] Maximum speed that the system controls would operate the compressor in normal operation in 17 °F ambient temperature. The $H1_2$ test is not needed if the $H1_N$ test uses this same compressor speed.

[5] Maximum speed that the system controls would operate the compressor in normal operation in 47 °F ambient temperature.

[6] Maximum speed that the system controls would operate the compressor in normal operation in 35 °F ambient temperature.

[7] Minimum speed that the system controls would operate the compressor in normal operation in 35 °F ambient temperature.

[8] Minimum speed that the system controls would operate the compressor in normal operation in 17 °F ambient temperature.

[9] Maximum speed that the system controls would operate the compressor in normal operation in 5 °F ambient temperature.

3.6.5 Additional Test for a Heat Pump Having a Heat Comfort Controller

Test any heat pump that has a heat comfort controller (see section 1.2 of this appendix, Definitions) according to section 3.6.1, 3.6.2, or 3.6.3, whichever applies, with the heat comfort controller disabled. Additionally, conduct the abbreviated test described in section 3.1.9 of this appendix with the heat comfort controller active to determine the system's maximum supply air temperature. (NOTE: heat pumps having a variable-speed compressor and a heat comfort controller are not covered in the test procedure at this time.)

3.6.6 Heating Mode Tests for Northern Heat Pumps with Triple-Capacity Compressors

Test triple-capacity, northern heat pumps for the heating mode as follows:

a. Conduct one maximum temperature test ($H0_1$), two high temperature tests ($H1_2$ and $H1_1$), one frost accumulation test ($H2_2$), two low temperature tests ($H3_2$, $H3_3$), and one very low temperature test ($H4_3$). Conduct an additional frost accumulation test ($H2_1$) and low temperature test ($H3_1$) if both of the following conditions exist: (1) Knowledge of the heat pump's capacity and electrical power at low compressor capacity for outdoor temperatures of 37 °F and less is needed to complete the section 4.2.6 seasonal performance calculations; and (2) the heat pump's controls allow low capacity operation at outdoor temperatures of 37 °F and less. If the above two conditions are met, an alternative to conducting the $H2_1$ frost accumulation test to determine $\dot{Q}_h^{k=1}(35)$ and $E_h^{k=1}(35)$ is to use the following equations to approximate this capacity and electrical power:

$$\dot{Q}_h^{k=1}(35) = 0.90 * \left\{\dot{Q}_h^{k=1}(17) + 0.6 * \left[\dot{Q}_h^{k=1}(47) - \dot{Q}_h^{k=1}(17)\right]\right\}$$

$$\dot{E}_h^{k=1}(35) = 0.985 * \left\{\dot{E}_h^{k=1}(17) + 0.6 * \left[\dot{E}_h^{k=1}(47) - \dot{E}_h^{k=1}(17)\right]\right\}$$

In evaluating the above equations, determine the quantities $Q_h^{k=1}(47)$ from the $H1_1$ test and evaluate them according to section 3.7 of this appendix. Determine the quantities $\dot{Q}_h^{k=1}(17)$ and $\dot{E}_h^{k=1}(17)$ from the $H3_1$ test and evaluate them according to section 3.10 of this appendix. Use the paired values of $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ derived from conducting the $H2_1$ frost accumulation test and evaluated as specified in section 3.9.1 of this appendix or use the paired values calculated using the above default equations, whichever contribute to a higher Region IV HSPF2 based on the DHRmin.

b. Conducting a frost accumulation test ($H2_3$) with the heat pump operating at its booster capacity is optional. If this optional test is not conducted, determine $\dot{Q}_h^{k=3}(35)$ and $\dot{E}_h^{k=3}(35)$ using the following equations to approximate this capacity and electrical power:

$$\dot{Q}_h^{k=3}(35) = QR_h^{k=2}(35) * \left\{\dot{Q}_h^{k=3}(17) + 1.20 * \left[\dot{Q}_h^{k=3}(17) - \dot{Q}_h^{k=3}(5)\right]\right\}$$

$$\dot{E}_h^{k=3}(35) = PR_h^{k=2}(35) * \left\{\dot{E}_h^{k=3}(17) + 1.20 * \left[\dot{E}_h^{k=3}(17) - \dot{E}_h^{k=3}(5)\right]\right\}$$

Where:

$$QR_h^{k=2}(35) = \frac{\dot{Q}_h^{k=2}(35)}{\dot{Q}_h^{k=2}(17) + 0.6 * \left[\dot{Q}_h^{k=2}(47) - \dot{Q}_h^{k=2}(17)\right]}$$

$$PR_h^{k=2}(35) = \frac{\dot{E}_h^{k=2}(35)}{\dot{E}_h^{k=2}(17) + 0.6 * \left[\dot{E}_h^{k=2}(47) - \dot{E}_h^{k=2}(17)\right]}$$

Determine the quantities $\dot{Q}_h^{k=2}(47)$ and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test and evaluate them according to section 3.7 of this appendix. Determine the quantities $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ from the $H2_2$ test and evaluate them according to section 3.9.1 of this appendix. Determine the quantities $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test, determine the quantities $\dot{Q}_h^{k=3}(17)$ and $\dot{E}_h^{k=3}(17)$ from the $H3_3$ test, and determine the quantities $\dot{Q}_h^{k=3}(5)$ and $\dot{E}_h^{k=3}(5)$ from the $H4_3$ test. Evaluate all six quantities according to section 3.10 of this appendix. Use the paired values of $\dot{Q}_h^{k=3}(35)$ and $\dot{E}_h^{k=3}(35)$ derived from conducting the $H2_3$ frost accumulation test and calculated as specified in section 3.9.1 of this appendix or use the paired values calculated using the above default equations, whichever contribute to a higher Region IV HSPF2 based on the DHRmin.

c. Conduct the optional high temperature cyclic test ($H1C_1$) to determine the heating mode cyclic-degradation coefficient, C_D^h. A default value for C_D^h of 0.25 may be used in lieu of conducting the cyclic. If a triple-capacity heat pump locks out low capacity operation at lower outdoor temperatures, conduct the high temperature cyclic test ($H1C_2$) to determine the high capacity heating mode cyclic-degradation coefficient, C_D^h (k=2). The default C_D^h (k=2) is the same value as determined or assigned for the low-capacity cyclic-degradation coefficient, C_D^h [or equivalently, C_D^h (k=1)]. Finally, if a triple-capacity heat pump locks out both low and high capacity operation at the lowest outdoor temperatures, conduct the low temperature cyclic test ($H3C_3$) to determine the booster-capacity heating mode cyclic-degradation coefficient, C_D^h (k=3). The default C_D^h (k=3) is the same value as determined or assigned for the high capacity cyclic-degradation coefficient, C_D^h [or equivalently, C_D^h (k=2)]. Table 15 specifies test conditions for all 13 tests.

TABLE 15—HEATING MODE TEST CONDITIONS FOR UNITS WITH A TRIPLE-CAPACITY COMPRESSOR

Test description	Air entering indoor unit (°F)		Air entering outdoor unit (°F)		Compressor capacity	Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
$H0_1$ Test (required, steady).	70	60 (max)	62	56.5	Low	Heating Minimum.[1]
$H1_2$ (required, steady).	70	60 (max)	47	43	High	Heating Full-Load.[2]
$H1C_2$ Test (optional,[8] cyclic.	70	60 (max)	47	43	High	([3])
$H1_1$ Test (required, steady).	70	60 (max)	47	43	Low	Heating Minimum.[1]
$H1C_1$ Test (optional, cyclic).	70	60 (max)	47	43	Low	([4])
$H2_3$ Test (optional, steady).	70	60 (max)	35	33	Booster	Heating Full-Load.[2]
$H2_2$ Test (required).	70	60 (max)	35	33	High	Heating Full-Load.[2]
$H2_1$ Test (required.	70	60 (max)	35	33	Low	Heating Minimum.[1]
$H3_3$ Test (required, steady).	70	60 (max)	17	15	Booster	Heating Full-Load.[2]
$H3C_3$ Test[5 6] (optional, cyclic).	70	60 (max)	17	15	Booster	([7])

TABLE 15—HEATING MODE TEST CONDITIONS FOR UNITS WITH A TRIPLE-CAPACITY COMPRESSOR—Continued

Test description	Air entering indoor unit (°F)		Air entering outdoor unit (°F)		Compressor capacity	Heating air volume rate
	Dry bulb	Wet bulb	Dry bulb	Wet bulb		
$H3_2$ Test (required, steady).	70	60 (max)	17	15	High	Heating Full-Load.[2]
$H3_1$ Test[5] (required, steady).	70	60 (max)	17	15	Low	Heating Minimum.[1]
$H4_3$ Test (required, steady).	70	60 (max)	5	4 (max) ..	Booster	Heating Full-Load.[2]

[1] Defined in section 3.1.4.5 of this appendix.
[2] Defined in section 3.1.4.4 of this appendix.
[3] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the $H1_2$ test.
[4] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the $H1_1$ test.
[5] Required only if the heat pump's performance when operating at low compressor capacity and outdoor temperatures less than 37 °F is needed to complete the HSPF2 calculations in section 4.2.6 of this appendix.
[6] If note #5 to this table applies, the equations for $\dot{Q}_k = 1/h$ (35) and $\dot{E}_k = 1/h$ (17) in section 3.6.6 of this appendix may be used in lieu of conducting the $H2_1$ test.
[7] Maintain the airflow nozzle(s) static pressure difference or velocity pressure during the ON period at the same pressure or velocity as measured during the $H3_3$ test.
[8] Required only if the heat pump locks out low-capacity operation at lower outdoor temperatures

3.6.7 Tests for a Heat Pump Having a Single Indoor Unit Having Multiple Indoor Blowers and Offering Two Stages of Compressor Modulation. Conduct the Heating Mode Tests Specified in Section 3.6.3 of this Appendix

3.7 Test Procedures for Steady-State Maximum Temperature and High Temperature Heating Mode Tests (the $H0_1$, $H1$, $H1_2$, $H1_1$, and $H1_N$ tests)

a. For the pretest interval, operate the test room reconditioning apparatus and the heat pump until equilibrium conditions are maintained for at least 30 minutes at the specified section 3.6 test conditions. Use the exhaust fan of the airflow measuring apparatus and, if installed, the indoor blower of the heat pump to obtain and then maintain the indoor air volume rate and/or the external static pressure specified for the particular test. Continuously record the dry-bulb temperature of the air entering the indoor coil, and the dry-bulb temperature and water vapor content of the air entering the outdoor coil. Refer to section 3.11 of this appendix for additional requirements that depend on the selected secondary test method. After satisfying the pretest equilibrium requirements, make the measurements specified in Table 3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) for the indoor air enthalpy method and the user-selected secondary method. Make said Table 3 measurements at equal intervals that span 5 minutes or less. Continue data sampling until a 30-minute period (*e.g.*, seven consecutive 5-minute samples) is reached where the test tolerances specified in Table 16 are satisfied. For those continuously recorded parameters, use the entire data set for the 30-minute interval when evaluating Table 16 compliance. Determine the average electrical power consumption of the heat pump over the same 30-minute interval.

TABLE 16—TEST OPERATING AND TEST CONDITION TOLERANCES FOR SECTION 3.7 AND SECTION 3.10 STEADY-STATE HEATING MODE TESTS

	Test operating tolerance [1]	Test condition tolerance [1]
Indoor dry-bulb, °F:		
Entering temperature	2.0	0.5
Leaving temperature	2.0	
Indoor wet-bulb, °F:		
Entering temperature	1.0	
Leaving temperature	1.0	
Outdoor dry-bulb, °F:		
Entering temperature	2.0	0.5
Leaving temperature	[2]2.0	

TABLE 16—TEST OPERATING AND TEST CONDITION TOLERANCES FOR SECTION 3.7 AND SECTION 3.10 STEADY-STATE HEATING MODE TESTS—Continued

	Test operating tolerance [1]	Test condition tolerance [1]
Outdoor wet-bulb, °F:		
Entering temperature	1.0	0.3
Leaving temperature	[2] 1.0	
External resistance to airflow, inches of water	0.05	[3] 0.02
Electrical voltage, % of reading	2.0	1.5
Nozzle pressure drop, % of reading	2.0	

[1] See section 1.2 of this appendix, Definitions.
[2] Only applies when the Outdoor Air Enthalpy Method is used.
[3] Only applies when testing non-ducted units.

b. Calculate indoor-side total heating capacity as specified in sections 7.3.4.1 and 7.3.4.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). To calculate capacity, use the averages of the measurements (*e.g.* inlet and outlet dry bulb temperatures measured at the psychrometers) that are continuously recorded for the same 30-minute interval used as described above to evaluate compliance with test tolerances. Do not adjust the parameters used in calculating capacity for the permitted variations in test conditions. Assign the average space heating capacity and electrical power over the 30-minute data collection interval to the variables $\dot{Q}_h^k$ and $\dot{E}_h^k(T)$ respectively. The ''T'' and superscripted ''k'' are the same as described in section 3.3 of this appendix. Additionally, for the heating mode, use the superscript to denote results from the optional $H1_N$ test, if conducted.

c. For mobile home and space-constrained ducted coil-only system tests,

(1) For two-stage or variable-speed systems, for all steady-state maximum temperature and high temperature tests (*i.e.*, the $H0_1$, $H1_1$, $H1_2$, and $H1_N$ tests), increase $Q_c^k(T)$ by the quantity calculated in Equation 3.7–1 to this appendix and increase $\dot{E}_c^k(T)$ by the quantity calculated in Equation 3.7–2 to this appendix.

$$\text{Equation 3.7-1} \quad \frac{(\text{DFPC}_{MHSC} * 3.412)\ Btu/h}{1000\ scfm} * \dot{V}_S$$

$$\text{Equation 3.7-2} \quad \frac{\text{DFPC}_{MHSC}\ W}{1000\ scfm} * \dot{V}_S,$$

Where:

DFPC_{MHSC} is the default fan power coefficient (watts) for mobile-home and space-constrained systems,

$$\text{DFPC}_{MHSC} = 308 + \frac{(406 - 308) * (\%FLAVR - 75\%)}{100\% - 75\%}$$

And %FLAVR is the air volume rate used for the test, expressed as a percentage of the cooling full load air volume rate. For all tests specifying the full-load air volume rate (*e.g.*, the $H1_2$ and $H1_N$ tests), set %FLAVR to 100%. For tests that specify the heating minimum air volume rate or heating intermediate air volume rate (*i.e.*, the $H0_1$ and $H1_1$ tests) and for which the specified minimum or intermediate air volume rate is greater than or equal to 75 percent of the cooling full-load air volume rate and less than the cooling full-load air volume rate, set %FLAVR to the ratio of the specified air volume rate and the cooling full-load air volume rate, expressed as a percentage.

(2) For single-stage systems, for all steady-state maximum temperature and high temperature tests (*i.e.*, the H1 test), increase $Q_c^k(T)$ by the quantity calculated in Equation 3.7–3 to this appendix and increase $E_c^k(T)$

by the quantity calculated in Equation 3.7–4 to this appendix.

$$\text{Equation 3.7-3} \quad \frac{1385\ Btu/h}{1000\ scfm} * \dot{V}_S$$

$$\text{Equation 3.7-4} \quad \frac{406\ W}{1000\ scfm} * \dot{V}_S.$$

Where $\dot{V}_S$ is the average measured indoor air volume rate expressed in units of cubic feet per minute of standard air (scfm).

d. For non-mobile, non-space-constrained home ducted coil-only system tests,

(1) For two-stage or variable-speed systems, for all steady-state maximum temperature and high temperature tests (*i.e.*, the $H0_1$, $H1_1$, $H1_2$, and $H1_N$ tests), increase $Q_c^k(T)$ by the quantity calculated in Equation 3.7–5 to this appendix and increase $E_c^k(T)$ by the quantity calculated in Equation 3.7–6 to this appendix.

$$\text{Equation 3.7-5} \quad \frac{(\text{DFPC}_C{*}3.412)\ Btu/h}{1000\ scfm} * \dot{V}_S$$

$$\text{Equation 3.7-6} \quad \frac{\text{DFPC}_C\ W}{1000\ scfm} * \dot{V}_S,$$

Where:

DFPC_C is the default fan power coefficient (watts) for non-mobile-home and non-space-constrained systems,

$$\text{DFPC}_C = 335 + \frac{(441 - 335) * (\%FLAVR - 75\%)}{100\% - 75\%}$$

And %FLAVR is the air volume rate used for the test, expressed as a percentage of the cooling full load air volume rate. For all tests specifying the full-load air volume rate (*e.g.*, the $H1_2$ and $H1_N$ tests), set %FLAVR to 100%. For tests that specify the heating minimum air volume rate or heating intermediate air volume rate (*i.e.*, the $H0_1$ and $H1_1$ tests) and for which the specified minimum or intermediate air volume rate is greater than or equal to 75 percent of the cooling full-load air volume rate and less than the cooling full-load air volume rate, set %FLAVR to the ratio of the specified air volume rate and the cooling full-load air volume rate, expressed as a percentage.

(2) For single-stage systems, for all steady-state maximum temperature and high temperature tests (*i.e.*, the H1 test), increase $Q_c^k(\text{T})$ by the quantity calculated in Equation 3.7–7 to this appendix and increase $E_c^k(T)$ by the quantity calculated in Equation 3.7–8 to this appendix.

$$\text{Equation 3.7-7} \quad \frac{1505\ Btu/h}{1000\ scfm} * \dot{V}_S$$

$$\text{Equation 3.7-8} \quad \frac{441\ W}{1000\ scfm} * \dot{V}_S.$$

Where $\dot{V}_S$ is the average measured indoor air volume rate expressed in units of cubic feet per minute of standard air (scfm).

e. If conducting the cyclic heating mode test, which is described in section 3.8 of this appendix, record the average indoor-side air volume rate, $\bar{V}$, specific heat of the air, $C_{p,a}$ (expressed on dry air basis), specific volume of the air at the nozzles, v_n' (or v_n), humidity ratio at the nozzles, W_n, and either pressure difference or velocity pressure for the flow nozzles. If either or both of the below criteria apply, determine the average, steady-state, electrical power consumption of the indoor blower motor ($\dot{E}_{fan,1}$):

(1) The section 3.8 cyclic test will be conducted and the heat pump has a variable-speed indoor blower that is expected to be disabled during the cyclic test; or

(2) The heat pump has a (variable-speed) constant-air volume-rate indoor blower and during the steady-state test the average external static pressure (ΔP_1) exceeds the applicable section 3.1.4.4 minimum (or targeted) external static pressure (ΔP_{min}) by 0.03 inches of water or more.

Determine $\dot{E}_{fan,1}$ by making measurements during the 30-minute data collection interval, or immediately following the test and prior to changing the test conditions. When the above ''2'' criteria applies, conduct the following four steps after determining $\dot{E}_{fan,1}$ (which corresponds to ΔP_1):

(i) While maintaining the same test conditions, adjust the exhaust fan of the airflow measuring apparatus until the external static pressure increases to approximately $\Delta P_1 + (\Delta P_1 - \Delta P_{min})$.

(ii) After re-establishing steady readings for fan motor power and external static pressure, determine average values for the indoor blower power ($\dot{E}_{fan,2}$) and the external static pressure (ΔP_2) by making measurements over a 5-minute interval.

(iii) Approximate the average power consumption of the indoor blower motor if the 30-minute test had been conducted at ΔP_{min} using linear extrapolation:

$$\dot{E}_{fan,\min} = \frac{\dot{E}_{fan,2} - \dot{E}_{fan,1}}{\Delta P_2 - \Delta P_1}(\Delta P_{\min} - \Delta P_1) + \dot{E}_{fan,1}$$

(iv) Decrease the total space heating capacity, $\dot{Q}_h^k(T)$, by the quantity ($\dot{E}_{fan,1} - \dot{E}_{fan,min}$), when expressed on a Btu/h basis. Decrease the total electrical power, $\dot{E}_h^k(T)$ by the same fan power difference, now expressed in watts.

f. If the temperature sensors used to provide the primary measurement of the indoor-side dry bulb temperature difference during the steady-state dry-coil test and the subsequent cyclic dry-coil test are different, include measurements of the latter sensors among the regularly sampled data. Beginning at the start of the 30-minute data collection period, measure and compute the indoor-side air dry-bulb temperature difference using both sets of instrumentation, ΔT (Set SS) and ΔT (Set CYC), for each equally spaced data sample. If using a consistent data sampling rate that is less than 1 minute, calculate and record minutely averages for the two temperature differences. If using a consistent sampling rate of one minute or more, calculate and record the two temperature differences from each data sample. After having recorded the seventh (i=7) set of temperature differences, calculate the following ratio using the first seven sets of values:

$$F_{CD} = \frac{1}{7}\sum_{i-6}^{i}\frac{\Delta T(Set\ SS)}{\Delta T(Set\ CYC)}$$

Each time a subsequent set of temperature differences is recorded (if sampling more frequently than every 5 minutes), calculate F_{CD} using the most recent seven sets of values. Continue these calculations until the 30-minute period is completed or until a value for F_{CD} is calculated that falls outside the allowable range of 0.94–1.06. If the latter occurs, immediately suspend the test and identify the cause for the disparity in the two temperature difference measurements. Recalibration of one or both sets of instrumentation may be required. If all the values for F_{CD} are within the allowable range, save the final value of the ratio from the 30-minute test as F_{CD}*. If the temperature sensors used

to provide the primary measurement of the indoor-side dry bulb temperature difference during the steady-state dry-coil test and the subsequent cyclic dry-coil test are the same, set F_{CD}*= 1.

3.8 Test Procedures for the Cyclic Heating Mode Tests (the $H0C_1$, $H1C$, $H1C_1$ and $H1C_2$ Tests).

a. Except as noted below, conduct the cyclic heating mode test as specified in section 3.5 of this appendix. As adapted to the heating mode, replace section 3.5 references to ''the steady-state dry coil test'' with ''the heating mode steady-state test conducted at the same test conditions as the cyclic heating mode test.'' Use the test tolerances in Table 17 rather than Table 10. Record the outdoor coil entering wet-bulb temperature according to the requirements given in section 3.5 of this appendix for the outdoor coil entering dry-bulb temperature. Drop the subscript ''dry'' used in variables cited in section 3.5 of this appendix when referring to quantities from the cyclic heating mode test. If available, use electric resistance heaters (see section 2.1 of this appendix) to minimize the variation in the inlet air temperature. Determine the total space heating delivered during the cyclic heating test, q_{cyc}, as specified in section 3.5 of this appendix except for making the following changes:

(1) When evaluating Equation 3.5–1, use the values of $\bar{V}$, $C_{p,a}$,v_n', (or v_n), and W_n that were recorded during the section 3.7 steady-state test conducted at the same test conditions.

(2) Calculate

$$\Gamma \text{ using, } \Gamma = F_{CD}^{*} \int_{\tau_1}^{\tau_2} [T_{a1}(\tau) - T_{a2}(\tau)]\delta\tau, \ \ hr \times {}^{\circ}F,$$

where F_{CD}* is the value recorded during the section 3.7 steady-state test conducted at the same test condition.

b. For ducted coil-only system heat pumps (excluding the special case where a variable-speed fan is temporarily removed),

(1) For mobile home and space-constrained ducted coil-only systems,

(i) For two-stage or variable-speed systems, for all cyclic heating tests (*i.e.*, the $H1C_1$ and $H1C_2$ tests), increase q_{cyc} by the amount calculated using Equation 3.5–2 to this appendix. Additionally, increase e_{cyc} by the amount calculated using Equation 3.5–3 to this appendix.

(ii) For single-stage systems, for all cyclic heating tests (*i.e.*, the H1C and $H1C_1$ tests), increase q_{cyc} by the amount calculated using Equation 3.5–4 to this appendix. Additionally, increase e_{cyc} by the amount calculated using Equation 3.5–5 to this appendix.

(2) For non-mobile home and non-space-constrained ducted coil-only systems,

(i) For two-stage or variable-speed systems, for all cyclic heating tests (*i.e.*, the $H1C_1$ and $H1C_2$ tests), increase q_{cyc} by the amount calculated using Equation 3.5–6 to this appendix. Additionally, increase e_{cyc} by the amount calculated using Equation 3.5–7 to this appendix.

(ii) For single-stage systems, for all cyclic heating tests (*i.e.*, the H1C and $H1C_1$ tests), increase q_{cyc} by the amount calculated using Equation 3.5–8 to this appendix. Additionally, increase e_{cyc} by the amount calculated using Equation 3.5–9 to this appendix.

In making these calculations, use the average indoor air volume rate (V_s) determined from the section 3.7 of this appendix steady-state heating mode test conducted at the same test conditions.

c. For non-ducted heat pumps, subtract the electrical energy used by the indoor blower during the 3 minutes after compressor cutoff from the non-ducted heat pump's integrated heating capacity, $q_{cyc.}$

d. If a heat pump defrost cycle is manually or automatically initiated immediately prior to or during the OFF/ON cycling, operate the heat pump continuously until 10 minutes after defrost termination. After that, begin cycling the heat pump immediately or delay until the specified test conditions have been re-established. Pay attention to preventing defrosts after beginning the cycling process. For heat pumps that cycle off the indoor blower during a defrost cycle, make no effort here to restrict the air movement through the indoor coil while the fan is off. Resume the OFF/ON cycling while conducting a minimum of two complete compressor OFF/ON cycles before determining q_{cyc} and $e_{cyc.}$

3.8.1 Heating Mode Cyclic-Degradation Coefficient Calculation

Use the results from the required cyclic test and the required steady-state test that were conducted at the same test conditions to determine the heating mode cyclic-degradation coefficient C_D^h. Add ''(k=2)'' to the coefficient if it corresponds to a two-capacity unit cycling at high capacity. For the below calculation of the heating mode cyclic degradation coefficient, do not include the duct loss correction from section 7.3.3.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3) in determining $\dot{Q}_h^k(T_{cyc})$ (or q_{cyc}). If the optional cyclic test is conducted but yields a tested C_D^h that exceeds

the default C_D^h or if the optional test is not conducted, assign C_D^h the default value of 0.25. The default value for two-capacity units cycling at high capacity, however, is the low-capacity coefficient, *i.e.*, C_D^h (k=2) = C_D^h. The tested C_D^h is calculated as follows:

$$C_D^h = \frac{1 - \frac{COP_{cyc}}{COP_{ss}(T_{cyc})}}{1 - HLF}$$

Where:

$$COP_{cyc} = \frac{q_{cyc}}{3.413 \frac{Btu/h}{W} * e_{cyc}}$$

the average coefficient of performance during the cyclic heating mode test, dimensionless.

$$COP_{ss}(T_{cyc}) = \frac{\dot{Q}_h^k(T_{cyc})}{3.413 \frac{Btu/h}{W} * \dot{E}_h^k(T_{cyc})}$$

the average coefficient of performance during the steady-state heating mode test conducted at the same test conditions—*i.e.*, same outdoor dry bulb temperature, T_{cyc}, and speed/capacity, k, if applicable—as specified for the cyclic heating mode test, dimensionless.

$$HLF = \frac{q_{cyc}}{\dot{Q}_h^k(T_{cyc}) * \Delta\tau_{cyc}}$$

the heating load factor, dimensionless.

T_{cyc} = the nominal outdoor temperature at which the cyclic heating mode test is conducted, 62 or 47 °F.

$\Delta\tau_{cyc}$ = the duration of the OFF/ON intervals; 0.5 hours when testing a heat pump having a single-speed or two-capacity compressor and 1.0 hour when testing a heat pump having a variable-speed compressor.

Round the calculated value for C_D^h to the nearest 0.01. If C_D^h is negative, then set it equal to zero.

TABLE 17—TEST OPERATING AND TEST CONDITION TOLERANCES FOR CYCLIC HEATING MODE TESTS

	Test operating tolerance [1]	Test condition tolerance [1]
Indoor entering dry-bulb temperature,[2] °F	2.0	0.5
Indoor entering wet-bulb temperature,[2] °F	1.0	
Outdoor entering dry-bulb temperature,[2] °F	2.0	0.5
Outdoor entering wet-bulb temperature,[2] °F	2.0	1.0
External resistance to air-flow,[2] inches of water	0.05	
Airflow nozzle pressure difference or velocity pressure,[2]% of reading	2.0	[3] 2.0

TABLE 17—TEST OPERATING AND TEST CONDITION TOLERANCES FOR CYCLIC HEATING MODE TESTS—Continued

	Test operating tolerance [1]	Test condition tolerance [1]
Electrical voltage,[4]% of reading	2.0	1.5

[1] See section 1.2 of this appendix, Definitions.
[2] Applies during the interval that air flows through the indoor (outdoor) coil except for the first 30 seconds after flow initiation. For units having a variable-speed indoor blower that ramps, the tolerances listed for the external resistance to airflow shall apply from 30 seconds after achieving full speed until ramp down begins.
[3] The test condition must be the average nozzle pressure difference or velocity pressure measured during the steady-state test conducted at the same test conditions.
[4] Applies during the interval that at least one of the following—the compressor, the outdoor fan, or, if applicable, the indoor blower—are operating, except for the first 30 seconds after compressor start-up.

3.9 Test Procedures for Frost Accumulation Heating Mode Tests (the H2, $H2_2$, $H2_V$, and $H2_1$ Tests).

a. Confirm that the defrost controls of the heat pump are set as specified in section 2.2.1 of this appendix. Operate the test room reconditioning apparatus and the heat pump for at least 30 minutes at the specified section 3.6 test conditions before starting the ''preliminary'' test period. The preliminary test period must immediately precede the ''official'' test period, which is the heating and defrost interval over which data are collected for evaluating average space heating capacity and average electrical power consumption.

b. For heat pumps containing defrost controls which are likely to cause defrosts at intervals less than one hour, the preliminary test period starts at the termination of an automatic defrost cycle and ends at the termination of the next occurring automatic defrost cycle. For heat pumps containing defrost controls which are likely to cause defrosts at intervals exceeding one hour, the preliminary test period must consist of a heating interval lasting at least one hour followed by a defrost cycle that is either manually or automatically initiated. In all cases, the heat pump's own controls must govern when a defrost cycle terminates.

c. The official test period begins when the preliminary test period ends, at defrost termination. The official test period ends at the termination of the next occurring automatic defrost cycle. When testing a heat pump that uses a time-adaptive defrost control system (see section 1.2 of this appendix, Definitions), however, manually initiate the defrost cycle that ends the official test period at the instant indicated by instructions provided by the manufacturer. If the heat pump has not undergone a defrost after 6 hours, immediately conclude the test and use the results from the full 6-hour period to calculate the average space heating capacity and average electrical power consumption.

For heat pumps that turn the indoor blower off during the defrost cycle, take steps to cease forced airflow through the indoor coil and block the outlet duct whenever the heat pump's controls cycle off the indoor blower. If it is installed, use the outlet damper box described in section 2.5.4.1 of this appendix to affect the blocked outlet duct.

d. Defrost termination occurs when the controls of the heat pump actuate the first change in converting from defrost operation to normal heating operation. Defrost initiation occurs when the controls of the heat pump first alter its normal heating operation in order to eliminate possible accumulations of frost on the outdoor coil.

e. To constitute a valid frost accumulation test, satisfy the test tolerances specified in Table 18 during both the preliminary and official test periods. As noted in Table 18, test operating tolerances are specified for two sub-intervals:

(1) When heating, except for the first 10 minutes after the termination of a defrost cycle (sub-interval H, as described in Table 18) and

(2) When defrosting, plus these same first 10 minutes after defrost termination (sub-interval D, as described in Table 18). Evaluate compliance with Table 18 test condition tolerances and the majority of the test operating tolerances using the averages from measurements recorded only during sub-interval H. Continuously record the dry bulb temperature of the air entering the indoor coil, and the dry bulb temperature and water vapor content of the air entering the outdoor coil. Sample the remaining parameters listed in Table 18 at equal intervals that span 5 minutes or less.

f. For the official test period, collect and use the following data to calculate average space heating capacity and electrical power. During heating and defrosting intervals when the controls of the heat pump have the indoor blower on, continuously record the dry-bulb temperature of the air entering (as noted above) and leaving the indoor coil. If using a thermopile, continuously record the difference between the leaving and entering dry-bulb temperatures during the interval(s) that air flows through the indoor coil. For coil-only system heat pumps, determine the corresponding cumulative time (in hours) of

indoor coil airflow, $\Delta\tau_a$. Sample measurements used in calculating the air volume rate (refer to sections 7.7.2.1 and 7.7.2.2 of ANSI/ASHRAE 37–2009) at equal intervals that span 10 minutes or less. (NOTE: In the first printing of ANSI/ASHRAE 37–2009, the second IP equation for Q_{mi} should read:) Record the electrical energy consumed, expressed in watt-hours, from defrost termination to defrost termination, $e_{DEF}{}^k(35)$, as well as the corresponding elapsed time in hours, $\Delta\tau_{FR}$.

TABLE 18—TEST OPERATING AND TEST CONDITION TOLERANCES FOR FROST ACCUMULATION HEATING MODE TESTS

	Test operating tolerance [1]		Test condition tolerance [1]
	Sub-interval H [2]	Sub-interval D [3]	Sub-interval H [2]
Indoor entering dry-bulb temperature, °F	2.0	[4] 4.0	0.5
Indoor entering wet-bulb temperature, °F	1.0		
Outdoor entering dry-bulb temperature, °F	2.0	10.0	1.0
Outdoor entering wet-bulb temperature, °F	1.5		0.5
External resistance to airflow, inches of water	0.05		[5] 0.02
Electrical voltage, % of reading	2.0		1.5

[1] See section 1.2 of this appendix, Definitions.
[2] Applies when the heat pump is in the heating mode, except for the first 10 minutes after termination of a defrost cycle.
[3] Applies during a defrost cycle and during the first 10 minutes after the termination of a defrost cycle when the heat pump is operating in the heating mode.
[4] For heat pumps that turn off the indoor blower during the defrost cycle, the noted tolerance only applies during the 10 minute interval that follows defrost termination.
[5] Only applies when testing non-ducted heat pumps.

3.9.1 Average Space Heating Capacity and Electrical Power Calculations

a. Evaluate average space heating capacity, $\dot{Q}_h{}^k(35)$, when expressed in units of Btu per hour, using:

$$\dot{Q}_h^k(35) = \frac{60 * \bar{\dot{V}} * C_{p,a} * \Gamma}{\Delta\tau_{FR}[\nu_n' * (1 + W_n)]} = \frac{60 * \bar{\dot{V}} * C_{p,a} * \Gamma}{\Delta\tau_{FR}\nu_n}$$

where,

$\bar{\dot{V}}$ = the average indoor air volume rate measured during sub-interval H, cfm.

$C_{p,a} = 0.24 + 0.444 \cdot W_n$, the constant pressure specific heat of the air-water vapor mixture that flows through the indoor coil and is expressed on a dry air basis, Btu/$lbm_{da} \cdot °F$.

v_n' = specific volume of the air-water vapor mixture at the nozzle, ft^3/lbm_{mx}.

W_n = humidity ratio of the air-water vapor mixture at the nozzle, lbm of water vapor per lbm of dry air.

$\Delta\tau_{FR} = \tau_2 - \tau_1$, the elapsed time from defrost termination to defrost termination, hr.

$$\Gamma = \int_{\tau_1}^{\tau_2}[T_{a2}(\tau) - T_{a1}(\tau)]d\tau,\ hr * °F$$

$T_{a1}(\tau)$ = dry bulb temperature of the air entering the indoor coil at elapsed time τ, °F; only recorded when indoor coil airflow occurs; assigned the value of zero during periods (if any) where the indoor blower cycles off.

$T_{a2}(\tau)$ = dry bulb temperature of the air leaving the indoor coil at elapsed time τ, °F; only recorded when indoor coil airflow occurs; assigned the value of zero during periods (if any) where the indoor blower cycles off.

τ_1 = the elapsed time when the defrost termination occurs that begins the official test period, hr.

τ_2 = the elapsed time when the next automatically occurring defrost termination

occurs, thus ending the official test period, hr.

v_n = specific volume of the dry air portion of the mixture evaluated at the dry-bulb temperature, vapor content, and barometric pressure existing at the nozzle, ft^3 per lbm of dry air.

To account for the effect of duct losses between the outlet of the indoor unit and the section 2.5.4 dry-bulb temperature grid, adjust $\dot{Q}_h{}^k(35)$ in accordance with section 7.3.4.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see § 430.3).

b. Evaluate average electrical power, $\dot{E}_h{}^k(35) = \frac{e_{def}(35)}{\Delta_{\tau_{FR}}}$, when expressed in units of watts, using:

(1) For mobile home and space-constrained ducted coil-only system tests,

(i) For two-stage or variable-speed systems, for all frost accumulation tests (*i.e.*, the $H2_1$, $H2_2$, and $H2_V$ tests), increase $Q_h{}^k(35)$ by the quantity calculated in Equation 3.9.1–1 to this appendix and increase $E_h{}^k$ (35) by the quantity calculated in Equation 3.9.1–2 to this appendix.

$$\text{Equation 3.9.1-1} \quad \frac{(\text{DFPC}_{MHSC} * 3.412)\, Btu/h}{1000\, scfm} * \dot{V}_S$$

$$\text{Equation 3.9.1-2} \quad \frac{\text{DFPC}_{MHSC}\, W}{1000\, scfm} * \dot{V}_S,$$

Where:

$DFPC_{MHSC}$ is the default fan power coefficient (watts) for mobile-home and space-constrained systems,

$$\text{DFPC}_{MHSC} = 308 + \frac{(406 - 308) * (\%FLAVR - 75\%)}{100\% - 75\%}$$

And %FLAVR is the air volume rate used for the test, expressed as a percentage of the cooling full load air volume rate. For all tests specifying the full-load air volume rate (*e.g.*, the $H2_2$ test), set %FLAVR to 100%. For tests that specify the heating minimum air volume rate or heating intermediate air volume rate (*i.e.*, the $H2_1$ and $H2_v$ tests) and for which the specified minimum or intermediate air volume rate is greater than or equal to 75 percent of the cooling full-load air volume rate and less than the cooling full-load air volume rate, set %FLAVR to the ratio of the specified air volume rate and the cooling full-load air volume rate, expressed as a percentage.

(ii) For single-stage systems, for all frost accumulation tests (*i.e.*, the H2 test), increase $Q_h{}^k(35)$ by the quantity calculated in Equation 3.9.1–3 to this appendix and increase $Q_h{}^k(35)$ by the quantity calculated in Equation 3.9.1–4 to this appendix.

$$\text{Equation 3.9.1-3} \quad \frac{1385 Btu/h}{1000\, scfm} * \dot{V}_S$$

$$\text{Equation 3.9.1-4} \quad \frac{406\,W}{1000\,scfm} * \dot{V}_S.$$

Where V_s is the average measured indoor air volume rate expressed in units of cubic feet per minute of standard air (scfm).

(2) For non-mobile home and non-space-constrained ducted coil-only systems,

(i) For two-stage or variable-speed systems, for all frost accumulation tests (*i.e.*, the $H2_1$, $H2_2$, and $H2_V$ tests), increase $Q_h^k(35)$ by the quantity calculated in Equation 3.9.1–5 to this appendix and increase $E_h^k(35)$ by the quantity calculated in Equation 3.9.1–6 to this appendix.

$$\text{Equation 3.9.1-5} \quad \frac{(\text{DFPC}_C * 3.412)\,Btu/h}{1000\,scfm} * \dot{V}_S$$

$$\text{Equation 3.9.1-6} \quad \frac{\text{DFPC}_C\,W}{1000\,scfm} * \dot{V}_S,$$

Where:

$DFPC_C$ is the default fan power coefficient (watts) for non-mobile-home and non-space-constrained systems,

$$\text{DFPC}_C = 335 + \frac{(441 - 335) * (\%FLAVR - 75\%)}{100\% - 75\%}$$

And %FLAVR is the air volume rate used for the test, expressed as a percentage of the cooling full load air volume rate. For all tests specifying the full-load air volume rate (*e.g.*, the $H2_2$ test), set %FLAVR to 100%. For tests that specify the heating minimum air volume rate or heating intermediate air volume rate (*i.e.*, the $H2_1$ and $H2_V$ tests) and for which the specified minimum or intermediate air volume rate is greater than or equal to 75 percent of the cooling full-load air volume rate and less than the cooling full-load air volume rate, set %FLAVR to the ratio of the specified air volume rate and the cooling full-load air volume rate, expressed as a percentage.

(ii) For single-stage systems, for all frost accumulation tests (*i.e.*, the H2 test), increase $Q_h^k(35)$ by the quantity calculated in Equation 3.9.1–7 to this appendix and increase $E_h^k(35)$ by the quantity calculated in Equation 3.9.1–8 to this appendix.

$$\text{Equation 3.9.1-7} \quad \frac{1505\,Btu/h}{1000\,scfm} * \dot{V}_S, \text{ and}$$

$$\text{Equation 3.9.1-8} \quad \frac{441\,W}{1000\,scfm} * \dot{V}_S.$$

Where V_s is the average measured indoor air volume rate expressed in units of cubic feet per minute of standard air (scfm).

c. For heat pumps having a constant-air-volume-rate indoor blower, the five additional steps listed below are required if the average of the external static pressures measured during sub-interval H exceeds the applicable section 3.1.4.4, 3.1.4.5, or 3.1.4.6 minimum (or targeted) external static pressure (ΔP_{min}) by 0.03 inches of water or more:

(1) Measure the average power consumption of the indoor blower motor ($\dot{E}_{fan,1}$) and record the corresponding external static pressure (ΔP_1) during or immediately following the frost accumulation heating mode

test. Make the measurement at a time when the heat pump is heating, except for the first 10 minutes after the termination of a defrost cycle.

(2) After the frost accumulation heating mode test is completed and while maintaining the same test conditions, adjust the exhaust fan of the airflow measuring apparatus until the external static pressure increases to approximately $\Delta P_1 + (\Delta P_1 - \Delta P_{min})$.

(3) After re-establishing steady readings for the fan motor power and external static pressure, determine average values for the indoor blower power ($\dot{E}_{fan,2}$) and the external static pressure (ΔP_2) by making measurements over a 5-minute interval.

(4) Approximate the average power consumption of the indoor blower motor had the frost accumulation heating mode test been conducted at ΔP_{min} using linear extrapolation:

$$\dot{E}_{fan,\min} = \frac{\dot{E}_{fan,2} - \dot{E}_{fan,1}}{\Delta P_2 - \Delta P_1}(\Delta P_{\min} - \Delta P_1) + \dot{E}_{fan,1}$$

(5) Decrease the total heating capacity, $\dot{Q}_h^k(35)$, by the quantity $[(\dot{E}_{fan,1} - \dot{E}_{fan,min}) \cdot (\Delta\tau_a/\Delta\tau_{FR}]$, when expressed on a Btu/h basis. Decrease the total electrical power, $E_h^k(35)$, by the same quantity, now expressed in watts.

3.9.2 Demand Defrost Credit

a. Assign the demand defrost credit, F_{def}, that is used in section 4.2 of this appendix to the value of 1 in all cases except for heat pumps having a demand-defrost control system (see section 1.2 of this appendix, Definitions). For such qualifying heat pumps, evaluate F_{def} using,

$$F_{def} = 1 + 0.03 * \left[1 - \frac{\Delta\tau_{def} - 1.5}{\Delta\tau_{\max} - 1.5}\right]$$

where:

$\Delta\tau_{def}$ = the time between defrost terminations (in hours) or 1.5, whichever is greater. Assign a value of 6 to $\Delta\tau_{def}$ if this limit is reached during a frost accumulation test and the heat pump has not completed a defrost cycle.

$\Delta\tau_{max}$ = maximum time between defrosts as allowed by the controls (in hours) or 12, whichever is less, as provided in the certification report.

b. For two-capacity heat pumps and for section 3.6.2 units, evaluate the above equation using the $\Delta\tau_{def}$ that applies based on the frost accumulation test conducted at high capacity and/or at the heating full-load air volume rate. For variable-speed heat pumps, evaluate $\Delta\tau_{def}$ based on the required frost accumulation test conducted at the intermediate compressor speed.

3.10 Test Procedures for Steady-State Low Temperature and Very Low Temperature Heating Mode Tests (the H3, $H3_2$, $H3_1$, $H3_3$, H4, $H4_2$, and $H4_3$ Tests)

Except for the modifications noted in this section, conduct the low temperature and very low temperature heating mode tests using the same approach as specified in section 3.7 of this appendix for the maximum and high temperature tests. After satisfying the section 3.7 requirements for the pretest interval but before beginning to collect data to determine the capacity and power input, conduct a defrost cycle. This defrost cycle may be manually or automatically initiated. Terminate the defrost sequence using the heat pump's defrost controls. Begin the 30-minute data collection interval described in section 3.7 of this appendix, from which the capacity and power input are determined, no sooner than 10 minutes after defrost termination. Defrosts should be prevented over the 30-minute data collection interval.

3.11 Additional Requirements for the Secondary Test Methods

3.11.1 If Using the Outdoor Air Enthalpy Method as the Secondary Test Method.

a. For all cooling mode and heating mode tests, first conduct a test without the outdoor air-side test apparatus described in section 2.10.1 of this appendix connected to the outdoor unit (''free outdoor air'' test).

b. For the first section 3.2 steady-state cooling mode test and the first section 3.6 steady-state heating mode test, conduct a

second test in which the outdoor-side apparatus is connected (''ducted outdoor air'' test). No other cooling mode or heating mode tests require the ducted outdoor air test so long as the unit operates the outdoor fan during all cooling mode steady-state tests at the same speed and all heating mode steady-state tests at the same speed. If using more than one outdoor fan speed for the cooling mode steady-state tests, however, conduct the ducted outdoor air test for each cooling mode test where a different fan speed is first used. This same requirement applies for the heating mode tests.

3.11.1.1 Free Outdoor Air Test

a. For the free outdoor air test, connect the indoor air-side test apparatus to the indoor coil; do not connect the outdoor air-side test apparatus. Allow the test room reconditioning apparatus and the unit being tested to operate for at least one hour. After attaining equilibrium conditions, measure the following quantities at equal intervals that span 5 minutes or less:

(1) The section 2.10.1 evaporator and condenser temperatures or pressures;

(2) Parameters required according to the Indoor Air Enthalpy Method.

Continue these measurements until a 30-minute period (*e.g.*, seven consecutive 5-minute samples) is obtained where the Table 9 or Table 16, whichever applies, test tolerances are satisfied.

b. For cases where a ducted outdoor air test is not required per section 3.11.1.b of this appendix, the free outdoor air test constitutes the ''official'' test for which validity is not based on comparison with a secondary test.

c. For cases where a ducted outdoor air test is required per section 3.11.1.b of this appendix, the following conditions must be met for the free outdoor air test to constitute a valid ''official'' test:

(1) The energy balance specified in section 3.1.1 of this appendix is achieved for the ducted outdoor air test (*i.e.*, compare the capacities determined using the indoor air enthalpy method and the outdoor air enthalpy method).

(2) The capacities determined using the indoor air enthalpy method from the ducted outdoor air and free outdoor air tests must agree within 2 percent.

3.11.1.2 Ducted Outdoor Air Test

a. The test conditions and tolerances for the ducted outdoor air test are the same as specified for the official test, where the official test is the free outdoor air test described in section 3.11.1.1 of this appendix.

b. After collecting 30 minutes of steady-state data during the free outdoor air test, connect the outdoor air-side test apparatus to the unit for the ducted outdoor air test. Adjust the exhaust fan of the outdoor airflow measuring apparatus until averages for the evaporator and condenser temperatures, or the saturated temperatures corresponding to the measured pressures, agree within ±0.5 °F of the averages achieved during the free outdoor air test. Collect 30 minutes of steady-state data after re-establishing equilibrium conditions.

c. During the ducted outdoor air test, at intervals of 5 minutes or less, measure the parameters required according to the indoor air enthalpy method and the outdoor air enthalpy method for the prescribed 30 minutes.

d. For cooling mode ducted outdoor air tests, calculate capacity based on outdoor air-enthalpy measurements as specified in sections 7.3.3.2 and 7.3.3.3 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3). For heating mode ducted tests, calculate heating capacity based on outdoor air-enthalpy measurements as specified in sections 7.3.4.2 and 7.3.3.4.3 of the same ANSI/ASHRAE Standard. Adjust the outdoor-side capacity according to section 7.3.3.4 of ANSI/ASHRAE 37–2009 to account for line losses when testing split systems. As described in section 8.6.2 of ANSI/ASHRAE 37–2009, use the outdoor air volume rate as measured during the ducted outdoor air tests to calculate capacity for checking the agreement with the capacity calculated using the indoor air enthalpy method.

3.11.2 If Using the Compressor Calibration Method as the Secondary Test Method

a. Conduct separate calibration tests using a calorimeter to determine the refrigerant flow rate. Or for cases where the superheat of the refrigerant leaving the evaporator is less than 5 °F, use the calorimeter to measure total capacity rather than refrigerant flow rate. Conduct these calibration tests at the same test conditions as specified for the tests in this appendix. Operate the unit for at least one hour or until obtaining equilibrium conditions before collecting data that will be used in determining the average refrigerant flow rate or total capacity. Sample the data at equal intervals that span 5 minutes or less. Determine average flow rate or average capacity from data sampled over a 30-minute period where the Table 9 (cooling) or the Table 16 (heating) tolerances are satisfied. Otherwise, conduct the calibration tests according to sections 5, 6, 7, and 8 of ASHRAE 23.1–2010 (incorporated by reference, see §430.3); sections 5, 6, 7, 8, 9, and 11 of ASHRAE 41.9–2011 (incorporated by reference, see §430.3); and section 7.4 of ANSI/ASHRAE 37–2009 (incorporated by reference, see §430.3).

b. Calculate space cooling and space heating capacities using the compressor calibration method measurements as specified in section 7.4.5 and 7.4.6 respectively, of ANSI/ASHRAE 37–2009.

3.11.3 If Using the Refrigerant-Enthalpy Method as the Secondary Test Method

Conduct this secondary method according to section 7.5 of ANSI/ASHRAE 37–2009. Calculate space cooling and heating capacities using the refrigerant-enthalpy method measurements as specified in sections 7.5.4 and 7.5.5, respectively, of the same ANSI/ASHRAE Standard.

3.12 Rounding of Space Conditioning Capacities for Reporting Purposes

a. When reporting rated capacities, round them off as specified in §430.23 (for a single unit) and in 10 CFR 429.16 (for a sample).

b. For the capacities used to perform the calculations in section 4 of this appendix, however, round only to the nearest integer.

3.13 Laboratory Testing To Determine Off Mode Average Power Ratings

Voltage tolerances: As a percentage of reading, test operating tolerance must be 2.0 percent and test condition tolerance must be 1.5 percent (see section 1.2 of this appendix for definitions of these tolerances).

Conduct one of the following tests: If the central air conditioner or heat pump lacks a compressor crankcase heater, perform the test in section 3.13.1 of this appendix; if the central air conditioner or heat pump has a compressor crankcase heater that lacks controls and is not self-regulating, perform the test in section 3.13.1 of this appendix; if the central air conditioner or heat pump has a crankcase heater with a fixed power input controlled with a thermostat that measures ambient temperature and whose sensing element temperature is not affected by the heater, perform the test in section 3.13.1 of this appendix; if the central air conditioner or heat pump has a compressor crankcase heater equipped with self-regulating control or with controls for which the sensing element temperature is affected by the heater, perform the test in section 3.13.2 of this appendix.

3.13.1 This Test Determines the Off Mode Average Power Rating for Central Air Conditioners and Heat Pumps That Lack a Compressor Crankcase Heater, or Have a Compressor Crankcase Heating System That Can Be Tested Without Control of Ambient Temperature During the Test. This Test Has No Ambient Condition Requirements

a. Test Sample Set-up and Power Measurement: For coil-only systems, provide a furnace or modular blower that is compatible with the system to serve as an interface with the thermostat (if used for the test) and to provide low-voltage control circuit power. Make all control circuit connections between the furnace (or modular blower) and the outdoor unit as specified by the manufacturer's installation instructions. Measure power supplied to both the furnace (or modular blower) and power supplied to the outdoor unit. Alternatively, provide a compatible transformer to supply low-voltage control circuit power, as described in section 2.2.d of this appendix. Measure transformer power, either supplied to the primary winding or supplied by the secondary winding of the transformer, and power supplied to the outdoor unit. For blower coil and single-package systems, make all control circuit connections between components as specified by the manufacturer's installation instructions, and provide power and measure power supplied to all system components.

b. Configure Controls: Configure the controls of the central air conditioner or heat pump so that it operates as if connected to a building thermostat that is set to the OFF position. Use a compatible building thermostat if necessary to achieve this configuration. For a thermostat-controlled crankcase heater with a fixed power input, bypass the crankcase heater thermostat if necessary to energize the heater.

c. Measure $P2_x$: If the unit has a crankcase heater time delay, make sure that time-delay function is disabled or wait until delay time has passed. Determine the average power from non-zero value data measured over a 5-minute interval of the non-operating central air conditioner or heat pump and designate the average power as $P2_x$, the heating season total off mode power.

d. Measure P_x for coil-only split systems and for blower coil split systems for which a furnace or a modular blower is the designated air mover: Disconnect all low-voltage wiring for the *outdoor* components and *outdoor* controls from the low-voltage transformer. Determine the average power from non-zero value data measured over a 5-minute interval of the power supplied to the (remaining) low-voltage components of the central air conditioner or heat pump, or low-voltage power, P_x. This power measurement does not include line power supplied to the outdoor unit. It is the line power supplied to the air mover, or, if a compatible transformer is used instead of an air mover, it is the line power supplied to the transformer primary coil. If a compatible transformer is used instead of an air mover and power output of the low-voltage secondary circuit is measured, P_x is zero.

e. Calculate *P2:* Set the number of compressors equal to the unit's number of single-stage compressors plus 1.75 times the unit's number of compressors that are not single-stage.

For single-package systems and blower coil split systems for which the designated air mover is not a furnace or modular blower, divide the heating season total off mode power ($P2_x$) by the number of compressors to

calculate *P2*, the heating season per-compressor off mode power. Round *P2* to the nearest watt. The expression for calculating *P2* is as follows:

$$P2 = \frac{P2_x}{number\ of\ compressors}.$$

For coil-only split systems and blower coil split systems for which a furnace or a modular blower is the designated air mover, subtract the low-voltage power (P_x) from the heating season total off mode power (P_x) and divide by the number of compressors to calculate *P2*, the heating season per-compressor off mode power. Round *P2* to the nearest watt. The expression for calculating *P2* is as follows:

$$P2 = \frac{P2_x - P_x}{number\ of\ compressors}.$$

f. Shoulder-season per-compressor off mode power, P1: If the system does not have a crankcase heater, has a crankcase heater without controls that is not self-regulating, or has a value for the crankcase heater turn-on temperature (as certified to DOE) that is higher than 71 °F, P1 is equal to P2.

Otherwise, de-energize the crankcase heater (by removing the thermostat bypass or otherwise disconnecting only the power supply to the crankcase heater) and repeat the measurement as described in section 3.13.1.c of this appendix. Designate the measured average power as $P1_x$, the shoulder season total off mode power.

Determine the number of compressors as described in section 3.13.1.e of this appendix.

For single-package systems and blower coil systems for which the designated air mover is not a furnace or modular blower, divide the shoulder season total off mode power ($P1_x$) by the number of compressors to calculate *P1*, the shoulder season per-compressor off mode power. Round *P1* to the nearest watt. The expression for calculating *P1* is as follows:

$$P1 = \frac{P1_x}{number\ of\ compressors}.$$

For coil-only split systems and blower coil split systems for which a furnace or a modular blower is the designated air mover, subtract the low-voltage power (P_x) from the shoulder season total off mode power ($P1_x$) and divide by the number of compressors to calculate *P1*, the shoulder season per-compressor off mode power. Round *P1* to the nearest watt. The expression for calculating *P1* is as follows:

$$P1 = \frac{P1_x - P_x}{number\ of\ compressors}.$$

3.13.2 This Test Determines the Off Mode Average Power Rating for Central Air Conditioners and Heat Pumps for Which Ambient Temperature Can Affect the Measurement of Crankcase Heater Power

a. Test Sample Set-up and Power Measurement: set up the test and measurement as described in section 3.13.1.a of this appendix.

b. Configure Controls: Position a temperature sensor to measure the outdoor dry-bulb temperature in the air between 2 and 6 inches from the crankcase heater control temperature sensor or, if no such temperature sensor exists, position it in the air between 2 and 6 inches from the crankcase heater. Utilize the temperature measurements from this sensor for this portion of the test procedure. Configure the controls of the central air conditioner or heat pump so that it operates as if connected to a building thermostat that is set to the OFF position.

Use a compatible building thermostat if necessary to achieve this configuration.

Conduct the test after completion of the B, B_1, or B_2 test. Alternatively, start the test when the outdoor dry-bulb temperature is at 82 °F and the temperature of the compressor shell (or temperature of each compressor's shell if there is more than one compressor) is at least 81 °F. Then adjust the outdoor temperature and achieve an outdoor dry-bulb temperature of 72 °F. If the unit's compressor has no sound blanket, wait at least 4 hours after the outdoor temperature reaches 72 °F. Otherwise, wait at least 8 hours after the outdoor temperature reaches 72 °F. Maintain this temperature within ±2 °F while the compressor temperature equilibrates and while making the power measurement, as described in section 3.13.2.c of this appendix.

c. Measure $P1_x$: If the unit has a crankcase heater time delay, make sure that time-delay function is disabled or wait until delay time has passed. Determine the average power from non-zero value data measured over a 5-minute interval of the non-operating central air conditioner or heat pump and designate the average power as $P1_x$, the shoulder season total off mode power. For units with crankcase heaters which operate during this part of the test and whose controls cycle or vary crankcase heater power over time, the test period shall consist of three complete crankcase heater cycles or 18 hours, whichever comes first. Designate the average power over the test period as $P1_x$, the shoulder season total off mode power.

d. Reduce outdoor temperature: Approach the target outdoor dry-bulb temperature by adjusting the outdoor temperature. This target temperature is five degrees Fahrenheit less than the temperature certified by the manufacturer as the temperature at which the crankcase heater turns on. If the unit's compressor has no sound blanket, wait at least 4 hours after the outdoor temperature reaches the target temperature. Otherwise, wait at least 8 hours after the outdoor temperature reaches the target temperature. Maintain the target temperature within ±2 °F while the compressor temperature equilibrates and while making the power measurement, as described in section 3.13.2.e of this appendix.

e. Measure $P2_x$: If the unit has a crankcase heater time delay, make sure that time-delay function is disabled or wait until delay time has passed. Determine the average non-zero power of the non-operating central air conditioner or heat pump over a 5-minute interval and designate it as $P2_x$, the heating season total off mode power. For units with crankcase heaters whose controls cycle or vary crankcase heater power over time, the test period shall consist of three complete crankcase heater cycles or 18 hours, whichever comes first. Designate the average power over the test period as $P2_x$, the heating season total off mode power.

f. Measure P_x for coil-only split systems and for blower coil split systems for which a furnace or modular blower is the designated air mover: Disconnect all low-voltage wiring for the *outdoor* components and *outdoor* controls from the low-voltage transformer. Determine the average power from non-zero value data measured over a 5-minute interval of the power supplied to the (remaining) low-voltage components of the central air conditioner or heat pump, or low-voltage power, P_x. This power measurement does not include line power supplied to the outdoor unit. It is the line power supplied to the air mover, or, if a compatible transformer is used instead of an air mover, it is the line power supplied to the transformer primary coil. If a compatible transformer is used instead of an air mover and power output of the low-voltage secondary circuit is measured, P_x is zero.

g. Calculate *P1:*

Set the number of compressors equal to the unit's number of single-stage compressors plus 1.75 times the unit's number of compressors that are not single-stage.

For single-package systems and blower coil split systems for which the air mover is not a furnace or modular blower, divide the shoulder season total off mode power ($P1_x$) by the number of compressors to calculate *P1*, the shoulder season per-compressor off mode power. Round to the nearest watt. The expression for calculating *P1* is as follows:

$$P1 = \frac{P1_x}{number\ of\ compressors}.$$

For coil-only split systems and blower coil split systems for which a furnace or a modular blower is the designated air mover, subtract the low-voltage power (P_x) from the shoulder season total off mode power ($P1_x$) and divide by the number of compressors to calculate *P1*, the shoulder season per-compressor off mode power. Round to the nearest watt. The expression for calculating *P1* is as follows:

$$P1 = \frac{P1_x - P_x}{number\ of\ compressors}.$$

h. Calculate *P2:*

Determine the number of compressors as described in section 3.13.2.g of this appendix.

For, single-package systems and blower coil split systems for which the air mover is not a furnace, divide the heating season total off mode power ($P2_x$) by the number of compressors to calculate *P2*, the heating season per-compressor off mode power. Round to the nearest watt. The expression for calculating *P2* is as follows:

$$P2 = \frac{P2_x}{number\ of\ compressors}.$$

For coil-only split systems and blower coil split systems for which a furnace or a modular blower is the designated air mover, subtract the low-voltage power (P_x) from the heating season total off mode power ($P2_x$) and divide by the number of compressors to calculate *P2*, the heating season per-compressor off mode power. Round to the nearest watt. The expression for calculating *P2* is as follows:

$$P2 = \frac{P2_x - P_x}{number\ of\ compressors}.$$

4 Calculations of Seasonal Performance Descriptors

4.1 Seasonal Energy Efficiency Ratio (SEER2) Calculations

Calculate SEER2 as follows: For equipment covered under sections 4.1.2, 4.1.3, and 4.1.4 of this appendix, evaluate the seasonal energy efficiency ratio,

$$\text{Equation 4.1-1 } SEER2 = \frac{\sum_{j=1}^{8} q_c(T_j)}{\sum_{j=1}^{8} e_c(T_j)} = \frac{\sum_{j=1}^{8} \frac{q_c(T_j)}{N}}{\sum_{j=1}^{8} \frac{e_c(T_j)}{N}}$$

where,

$\frac{q_c(T_j)}{N}$ = the ratio of the total space cooling provided during periods of the space cooling season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the cooling season (N), Btu/h.

$\frac{e_c(T_j)}{N}$ = the electrical energy consumed by the test unit during periods of the space cooling season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the cooling season (N), W.

T_j = the outdoor bin temperature, °F. Outdoor temperatures are grouped or ''binned.'' Use bins of 5 °F with the 8 cooling season bin temperatures being 67, 72, 77, 82, 87, 92, 97, and 102 °F.

j = the bin number. For cooling season calculations, j ranges from 1 to 8.

Additionally, for sections 4.1.2, 4.1.3, and 4.1.4 of this appendix, use a building cooling load, $BL(T_j)$. When referenced, evaluate $BL(T_j)$ for cooling using,

$$\text{Equation 4.1-2 } BL(T_j) = \frac{(T_j - 65)}{95 - 65} * \frac{\dot{Q}_c^{k=2}(95)}{1.1} * V$$

where:

$\dot{Q}_c^{k=2}(95)$ = the space cooling capacity determined from the A_2 test and calculated as specified in section 3.3 of this appendix, Btu/h.

1.1 = sizing factor, dimensionless.

The temperatures 95 °F and 65 °F in the building load equation represent the selected outdoor design temperature and the zero-load base temperature, respectively.

V is a factor equal to 0.93 for variable-speed heat pumps and otherwise equal to 1.0.

4.1.1 SEER2 Calculations for a Blower Coil System Having a Single-Speed Compressor and Either a Fixed-Speed Indoor Blower or a Constant-Air-Volume-Rate Indoor Blower, or a Single-Speed Coil-Only System Air Conditioner or Heat Pump

a. Evaluate the seasonal energy efficiency ratio, expressed in units of Btu/watt-hour, using:

$SEER2 = PLF(0.5) * EER_B$

where:

$EER_B = \frac{\dot{Q}_c(82)}{\dot{E}_c(82)}$ = the energy efficiency ratio determined from the B test described in sections 3.2.1, 3.1.4.1, and 3.3 of this appendix, Btu/h per watt.

$PLF(0.5) = 1 - 0.5 \cdot C_D^c$, the part-load performance factor evaluated at a cooling load factor of 0.5, dimensionless.

b. Refer to section 3.3 of this appendix regarding the definition and calculation of $\dot{Q}_c(82)$ and $\dot{E}_c(82)$. Evaluate the cooling mode cyclic degradation factor C_D^c as specified in section 3.5.3 of this appendix.

4.1.2 SEER2 Calculations for an Air Conditioner or Heat Pump Having a Single-Speed Compressor and a Variable-Speed Variable-Air-Volume-Rate Indoor Blower

4.1.2.1 Units Covered by Section 3.2.2.1 of This Appendix Where Indoor Blower Capacity Modulation Correlates With the Outdoor Dry Bulb Temperature

The manufacturer must provide information on how the indoor air volume rate or the indoor blower speed varies over the outdoor temperature range of 67 °F to 102 °F. Calculate SEER2 using Equation 4.1–1. Evaluate the quantity $q_c(T_j)/N$ in Equation 4.1–1 using,

Equation 4.1.2-1 $$\frac{q_c(T_j)}{N} = X(T_j) * \dot{Q}_c(T_j) * \frac{n_j}{N}$$

where:

$$X(T_j) = \left\{ \begin{matrix} BL(T_j)/\dot{Q}_c(T_j) \\ or \\ 1 \end{matrix} \right\}$$ whichever is less; the cooling mode load factor for temperature bin j, dimensionless.

$\dot{Q}_c(T_j)$ = the space cooling capacity of the test unit when operating at outdoor temperature, T_j, Btu/h.

n_j/N = fractional bin hours for the cooling season; the ratio of the number of hours during the cooling season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the cooling season, dimensionless.

a. For the space cooling season, assign n_j/N as specified in Table 19. Use Equation 4.1–2 to calculate the building load, $BL(T_j)$. Evaluate $\dot{Q}_c(T_j)$ using,

Equation 4.1.2-2 $$\dot{Q}_c(T_j) = \dot{Q}_c^{k=1}(T_j) + \frac{\dot{Q}_c^{k=2}(T_j) - \dot{Q}_c^{k=1}(T_j)}{FP_c^{k=2} - FP_c^{k=1}} * \left[FP_c(T_j) - FP_c^{k=1}\right]$$

where:

$$\dot{Q}_c^{k=1}(T_j) = \dot{Q}_c^{k=1}(82) + \frac{\dot{Q}_c^{k=1}(95) - \dot{Q}_c^{k=1}(82)}{95 - 82} * (T_j - 82)$$

the space cooling capacity of the test unit at outdoor temperature T_j if operated at the cooling minimum air volume rate, Btu/h.

$$\dot{Q}_c^{k=2}(T_j) = \dot{Q}_c^{k=2}(82) + \frac{\dot{Q}_c^{k=2}(95) - \dot{Q}_c^{k=2}(82)}{95 - 82} * (T_j - 82)$$

the space cooling capacity of the test unit at outdoor temperature T_j if operated at the Cooling full-load air volume rate, Btu/h.

b. For units where indoor blower speed is the primary control variable, $FP_c^{k=1}$ denotes the fan speed used during the required A_1 and B_1 tests (see section 3.2.2.1 of this appendix), $FP_c^{k=2}$ denotes the fan speed used during the required A_2 and B_2 tests, and $FP_c(T_j)$ denotes the fan speed used by the unit when the outdoor temperature equals T_j. For units where indoor air volume rate is the primary control variable, the three FP_c's are similarly defined only now being expressed in terms of air volume rates rather than fan speeds. Refer to sections 3.2.2.1, 3.1.4 to 3.1.4.2, and 3.3 of this appendix regarding the definitions and calculations of $\dot{Q}_c^{k=1}(82)$, $\dot{Q}_c^{k=1}(95)$, $\dot{Q}_c^{k=2}(82)$, and $\dot{Q}_c^{k=2}(95)$.

Calculate $e_c(T_j)/N$ in Equation 4.1–1 using, Equation 4.1.2–3

$$\frac{e_c(T_j)}{N} = \frac{X(T_j) * \dot{E}_c(T_j)}{PLF_j} * \frac{n_j}{N}$$

where:

$PLF_j = 1 - C_D^c \cdot [1 - X(T_j)]$, the part load factor, dimensionless.

$\dot{E}_c(T_j)$ = the electrical power consumption of the test unit when operating at outdoor temperature T_j, W.

c. The quantities $X(T_j)$ and n_j/N are the same quantities as used in Equation 4.1.2–1. Evaluate the cooling mode cyclic degradation factor C_D^c as specified in section 3.5.3 of this appendix.

d. Evaluate $\dot{E}_c(T_j)$ using,

$$\dot{E}_c(T_j) = \dot{E}_c^{k=1}(T_j) + \frac{\dot{E}_c^{k=2}(T_j) - \dot{E}_c^{k=1}(T_j)}{\mathrm{FP}_c^{k=2} - \mathrm{FP}_c^{k=1}} * \left[\mathrm{FP}_c(T_j) - \mathrm{FP}_c^{k=1}\right]$$

where:

$$\dot{E}_c^{k=1}(T_j) = \dot{E}_c^{k=1}(82) + \frac{\dot{E}_c^{k=1}(95) - \dot{E}_c^{k=1}(82)}{95 - 82} * (T_j - 82)$$

the electrical power consumption of the test unit at outdoor temperature T_j if operated at the cooling minimum air volume rate, W.

$\dot{E}_c^{k=2}(T_j) = \dot{E}_c^{k=2}(82) + \frac{\dot{E}_c^{k=2}(95) - \dot{E}_c^{k=2}(82)}{95-82} * (T_j - 82)$ the electrical power consumption of the test unit at outdoor temperature T_j if operated at the cooling full-load air volume rate, W.

e. The parameters $FP_c^{k=1}$, and $FP_c^{k=2}$, and $FP_c(T_j)$ are the same quantities that are used when evaluating Equation 4.1.2–2. Refer to sections 3.2.2.1, 3.1.4 to 3.1.4.2, and 3.3 of this

appendix regarding the definitions and calculations of $\dot{E}_c^{k=1}(82)$, $\dot{E}_c^{k=1}(95)$, $\dot{E}_c^{k=2}(82)$, and $\dot{E}_c^{k=2}(95)$.

4.1.2.2 Units Covered by Section 3.2.2.2 of This Appendix Where Indoor Blower Capacity Modulation is Used to Adjust the Sensible to Total Cooling Capacity Ratio

Calculate SEER2 as specified in section 4.1.1 of this appendix.

4.1.3 SEER2 Calculations for an Air Conditioner or Heat Pump Having a Two-Capacity Compressor

Calculate SEER2 using Equation 4.1–1. Evaluate the space cooling capacity, $\dot{Q}_c^{k=1}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=1}(T_j)$, of the test unit when operating at low compressor capacity and outdoor temperature T_j using,

$$\text{Equation 4.1.3-1} \quad \dot{Q}_c^{k=1}(T_j) = \dot{Q}_c^{k=1}(67) + \frac{\dot{Q}_c^{k=1}(82) - \dot{Q}_c^{k=1}(67)}{82-67} * (T_j - 67)$$

$$\text{Equation 4.1.3-2} \quad \dot{E}_c^{k=1}(T_j) = \dot{E}_c^{k=1}(67) + \frac{\dot{E}_c^{k=1}(82) - \dot{E}_c^{k=1}(67)}{82-67} * (T_j - 67)$$

where $\dot{Q}_c^{k=1}(82)$ and $\dot{E}_c^{k=1}(82)$ are determined from the B_1 test, $\dot{Q}_c^{k=1}(67)$ and $\dot{E}_c^{k=1}(67)$ are determined from the F_1 test, and all four quantities are calculated as specified in section 3.3 of this appendix. Evaluate the space cooling capacity, $\dot{Q}_c^{k=2}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=2}(T_j)$, of the test unit when operating at high compressor capacity and outdoor temperature T_j using,

$$\text{Equation 4.1.3-3} \quad \dot{Q}_c^{k=2}(T_j) = \dot{Q}_c^{k=2}(82) + \frac{\dot{Q}_c^{k=2}(95) - \dot{Q}_c^{k=2}(82)}{95-82} * (T_j - 82)$$

$$\text{Equation 4.1.3-4} \quad \dot{E}_c^{k=2}(T_j) = \dot{E}_c^{k=2}(82) + \frac{\dot{E}_c^{k=2}(95) - \dot{E}_c^{k=2}(82)}{95-82} * (T_j - 82)$$

where $\dot{Q}_c^{k=2}(95)$ and $\dot{E}_c^{k=2}(95)$ are determined from the A_2 test, $\dot{Q}_c^{k=2}(82)$, and $\dot{E}_c^{k=2}(82)$, are determined from the B_2 test, and all are calculated as specified in section 3.3 of this appendix.

The calculation of Equation 4.1–1 quantities $q_c(T_j)/N$ and $e_c(T_j)/N$ differs depending on whether the test unit would operate at low capacity (section 4.1.3.1 of this appendix), cycle between low and high capacity (section 4.1.3.2 of this appendix), or operate at high capacity (sections 4.1.3.3 and 4.1.3.4 of this appendix) in responding to the building load. For units that lock out low capacity operation at higher outdoor temperatures, the outdoor temperature at which the unit locks out must be that specified by the manufacturer in the certification report so that the appropriate equations are used. Use Equation 4.1–2 to calculate the building load, $BL(T_j)$, for each temperature bin.

4.1.3.1 Steady-state Space Cooling Capacity at Low Compressor Capacity Is Greater Than or Equal to the Building Cooling Load at Temperature T_j, $\dot{Q}_c^{k=1}(T_j) \geq BL(T_j)$

$$\frac{q_c(T_j)}{N} = X^{k=1}(T_j) * \dot{Q}_c^{k=1}(T_j) * \frac{n_j}{N} \qquad \frac{e_c(T_j)}{N} = \frac{X^{k=1}(T_j) * \dot{E}_c^{k=1}(T_j)}{PLF_j} * \frac{n_j}{N}$$

Where:

$X^{k=1}(T_j) = BL(T_j)/\dot{Q}_c^{k=1}(T_j)$, the cooling mode low capacity load factor for temperature bin j, dimensionless.

$PLF_j = 1 - C_D^c \cdot [1 - X^{k=1}(T_j)]$, the part load factor, dimensionless.

n_j/N = fractional bin hours for the cooling season; the ratio of the number of hours during the cooling season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the cooling season, dimensionless.

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19. Use Equations 4.1.3–1 and 4.1.3–2, respectively, to evaluate $\dot{Q}_c^{k=1}(T_j)$ and $\dot{E}_c^{k=1}(T_j)$. Evaluate the cooling mode cyclic degradation factor C_D^c as specified in section 3.5.3 of this appendix.

TABLE 19—DISTRIBUTION OF FRACTIONAL HOURS WITHIN COOLING SEASON TEMPERATURE BINS

Bin number, j	Bin temperature range °F	Representative temperature for bin °F	Fraction of total temperature bin hours, n_j/N
1	65–69	67	0.214
2	70–74	72	0.231
3	75–79	77	0.216

TABLE 19—DISTRIBUTION OF FRACTIONAL HOURS WITHIN COOLING SEASON TEMPERATURE BINS—Continued

Bin number, j	Bin temperature range °F	Representative temperature for bin °F	Fraction of total temperature bin hours, n_j/N
4	80–84	82	0.161
5	85–89	87	0.104
6	90–94	92	0.052
7	95–99	97	0.018
8	100–104	102	0.004

4.1.3.2 Unit Alternates Between High (k=2) and Low (k=1) Compressor Capacity to Satisfy the Building Cooling Load at Temperature T_j, $\dot{Q}_c^{k=1}(T_j) < BL(T_j) < \dot{Q}_c^{k=2}(T_j)$

$$\frac{q_c(T_j)}{N} = [X^{k=1}(T_j) * \dot{Q}_c^{k=1}(T_j) + X^{k=2}(T_j) * \dot{Q}_c^{k=2}(T_j)] * \frac{n_j}{N}$$

$$\frac{e_c(T_j)}{N} = [X^{k=1}(T_j) * \dot{E}_c^{k=1}(T_j) + X^{k=2}(T_j) * \dot{E}_c^{k=2}(T_j)] * \frac{n_j}{N}$$

Where:

$X^{k=1}(T_j) = \frac{\dot{Q}_c^{k=2}(T_j) - BL(T_j)}{\dot{Q}_c^{k=2}(T_j) - \dot{Q}_c^{k=1}(T_j)}$ the cooling mode, low capacity load factor for temperature bin j, dimensionless.

$X^{k=2}(T_j) = 1 - X^{k=1}(T_j)$, the cooling mode, high capacity load factor for temperature bin j, dimensionless.

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19. Use Equations 4.1.3–1 and 4.1.3–2, respectively, to evaluate $\dot{Q}_c^{k=1}(T_j)$ and $\dot{E}_c^{k=1}(T_j)$. Use Equations 4.1.3–3 and 4.1.3–4, respectively, to evaluate $\dot{Q}_c^{k=2}(T_j)$ and $\dot{E}_c^{k=2}(T_j)$.

4.1.3.3 Unit Only Operates at High (k=2) Compressor Capacity at Temperature T_j and Its Capacity Is Greater Than the Building Cooling Load, $BL(T_j) < \dot{Q}_c^{k=2}(T_j)$. This section applies to units that lock out low compressor capacity operation at higher outdoor temperatures.

$$\frac{q_c(T_j)}{N} = X^{k=2}(T_j) * \dot{Q}_c^{k=2}(T_j) * \frac{n_j}{N} \qquad \frac{e_c(T_j)}{N} = \frac{X^{k=2}(T_j) * \dot{E}_c^{k=2}(T_j)}{PLF_j} * \frac{n_j}{N}$$

Where,

$X^{k=2}(T_j) = BL(T_j)/\dot{Q}_c^{k=2}(T_j)$, the cooling mode high capacity load factor for temperature bin j, dimensionless.

$PLF_j = 1 - C_D{}^c(k = 2) * [1 - X^{k=2}(T_j)]$, the part load factor, dimensionless.

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19. Use Equations 4.1.3–3 and 4.1.3–4, respectively, to evaluate $\dot{Q}_c^{k=2}(T_j)$ and $\dot{E}_c^{k=2}(T_j)$. If the C_2 and D_2 tests described in section 3.2.3 and Table 7 of this appendix are not conducted, set $C_D{}^c$

(k=2) equal to the default value specified in section 3.5.3 of this appendix.

4.1.3.4 Unit Must Operate Continuously at High (k=2) Compressor Capacity at Temperature T_j, $BL(T_j) \geq \dot{Q}_c^{k=2}(T_j)$

$$\frac{q_c(T_j)}{N} = \dot{Q}_c^{k=2}(T_j) * \frac{n_j}{N} \qquad \frac{e_c(T_j)}{N} = \dot{E}_c^{k=2}(T_j) * \frac{n_j}{N}$$

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19. Use Equations 4.1.3–3 and 4.1.3–4, respectively, to evaluate $\dot{Q}_c^{k=2}(T_j)$ and $\dot{E}_c^{k=2}(T_j)$.

4.1.4 SEER2 Calculations for an Air Conditioner or Heat Pump Having a Variable-Speed Compressor

Calculate SEER2 using Equation 4.1–1 to this appendix. Evaluate the space cooling capacity, $Q_c^{k=1}(T_j)$, and electrical power consumption, $E_c^{k=1}(T_j)$, of the test unit when operating at minimum compressor speed and outdoor temperature T_j. Use:

Equation 4.1.4-1 $$\dot{Q}_c^{k=1}(T_j) = \dot{Q}_c^{k=1}(67) + \frac{\dot{Q}_c^{k=1}(82) - \dot{Q}_c^{k=1}(67)}{82-67} * (T_j - 67)$$

Equation 4.1.4-2 $$\dot{E}_c^{k=1}(T_j) = \dot{E}_c^{k=1}(67) + \frac{\dot{E}_c^{k=1}(82) - \dot{E}_c^{k=1}(67)}{82-67} * (T_j - 67)$$

Where $\dot{Q}_c^{k=1}(82)$ and $\dot{E}_c^{k=1}(82)$ are determined from the B_1 test, $\dot{Q}_c^{k=1}(67)$ and $E_c^{k=1}(67)$ are determined from the F_1 test, and all four quantities are calculated as specified in section 3.3 of this appendix. Evaluate the space cooling capacity, $\dot{Q}_c^{k=2}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=2}(T_j)$, of the test unit when operating at full compressor speed and outdoor temperature T_j. Use Equations 4.1.3–3 and 4.1.3–4 to this appendix, respectively, where $\dot{Q}_c^{k=2}(95)$ and $\dot{E}_c^{k=2}(95)$ are determined from the A_2 test, $\dot{Q}_c^{k=2}(82)$ and $\dot{E}_c^{k=2}(82)$ are determined from the B_2 test, and all four quantities are calculated as specified in section 3.3 of this appendix. For units other than variable-speed non-communicating coil-only air-conditioners or heat pumps, calculate the space cooling capacity, $\dot{Q}_c^{k=v}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=v}(T_j)$, of the test unit when operating at outdoor temperature T_j and the intermediate compressor speed used during the section 3.2.4 (and Table 8) E_v test of this appendix using:

Equation 4.1.4-3 $$\dot{Q}_c^{k=v}(T_j) = \dot{Q}_c^{k=v}(87) + M_Q * (T_j - 87)$$

Equation 4.1.4-4 $$\dot{E}_c^{k=v}(T_j) = \dot{E}_h^{k=v}(87) + M_E * (T_j - 87)$$

Where $\dot{Q}_c^{k=v}(87)$ are determined from the E_v test and calculated as specified in section 3.3 of this appendix. Approximate the slopes of the k=v intermediate speed cooling capacity and electrical power input curves, M_Q and M_E, as follows:

$$M_Q = \left[\frac{\dot{Q}_c^{k=1}(82) - \dot{Q}_c^{k=1}(67)}{82-67} * (1 - N_Q)\right] + \left[N_Q * \frac{\dot{Q}_c^{k=2}(95) - \dot{Q}_c^{k=2}(82)}{95-82}\right]$$

$$M_E = \left[\frac{\dot{E}_c^{k=1}(82) - \dot{E}_c^{k=1}(67)}{82-67} * (1 - N_E)\right] + \left[N_E * \frac{\dot{E}_c^{k=2}(95) - \dot{E}_c^{k=2}(82)}{95-82}\right]$$

Where:

$$N_Q = \frac{\dot{Q}_c^{k=v}(87) - \dot{Q}_c^{k=1}(87)}{\dot{Q}_c^{k=2}(87) - \dot{Q}_c^{k=1}(87)} \text{ and } N_E = \frac{\dot{E}_c^{k=v}(87) - \dot{E}_c^{k=1}(87)}{\dot{E}_c^{k=2}(87) - \dot{E}_c^{k=1}(87)}$$

Use Equations 4.1.4–1 and 4.1.4–2 to this appendix, respectively, to calculate $\dot{Q}_c^{k=1}(87)$ and $\dot{E}_c^{k=1}(87)$.

4.1.4.1 Steady-state space cooling capacity when operating at minimum compressor speed is greater than or equal to the building cooling load at temperature T_j, $\dot{Q}_c^{k=l}(T_j) \geq BL(T_j)$.

$$\frac{q_c(T_j)}{N} = X^{k=1}(T_j) * \dot{Q}_c^{k=1}(T_j) * \frac{n_j}{N} \qquad \frac{e_c(T_j)}{N} = \frac{X^{k=1}(T_j) * \dot{E}_c^{k=1}(T_j)}{PLF_j} * \frac{n_j}{N}$$

Where:

$X^{k=l}(T_j) = BL(T_j)/\dot{Q}_c^{k=l}(T_j)$, the cooling mode minimum speed load factor for temperature bin j, dimensionless.

$PLF_j = 1 - C_D^c \cdot [1 - X^{k=l}(T_j)]$, the part load factor, dimensionless.

n_j/N = fractional bin hours for the cooling season; the ratio of the number of hours during the cooling season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the cooling season, dimensionless.

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19. Use Equations 4.1.3–1 and 4.1.3–2, respectively, to evaluate $\dot{Q}_c^{k=1}(T_j)$ and $\dot{E}_c^{k=1}(T_j)$. Evaluate the cooling mode cyclic degradation factor C_D^c as specified in section 3.5.3 of this appendix.

4.1.4.2 Unit operates at an intermediate compressor speed (k=i) in order to match the building cooling load at temperature T_j, $\dot{Q}_c^{k=l}(T_j) < BL(T_j) < \dot{Q}_c^{k=2}(T_j)$.

$$\frac{q_c(T_j)}{N} = \dot{Q}_c^{k=i}(T_j) * \frac{n_j}{N} \qquad \frac{e_c(T_j)}{N} = \dot{E}_c^{k=i}(T_j) * \frac{n_j}{N}$$

Where:

$\dot{Q}_c^{k=i}(T_j) = BL(T_j)$, the space cooling capacity delivered by the unit in matching the building load at temperature T_j, Btu/h. The matching occurs with the unit operating at compressor speed k = i.

$\dot{E}_c^{k=i}(T_j) = \frac{\dot{Q}_c^{k=i}(T_j)}{EER^{k=i}(T_j)}$ the electrical power input required by the test unit when operating at a compressor speed of k = i and temperature T_j, W.

$EER^{k=i}(T_j)$ = the steady-state energy efficiency ratio of the test unit when operating at a compressor speed of k = i and temperature T_j, Btu/h per W.

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19 of this section. For each temperature bin where the unit operates at an intermediate compressor speed, determine the energy efficiency ratio $EER^{k=i}(T_j)$ using the following equations,

For each temperature bin where $\dot{Q}_c^{k=1}(T_j) < BL(T_j) < \dot{Q}_c^{k=v}(T_j)$,

$$EER^{k=i}(T_j) = EER^{k=1}(T_j) + \frac{EER^{k=v}(T_j) - EER^{k=1}(T_j)}{Q^{k=v}(T_j) - Q^{k=1}(T_j)} * (BL(T_j) - Q^{k=1}(T_j))$$

For each temperature bin where $\dot{Q}_c^{k=v}(T_j) \leq BL(T_j) < \dot{Q}_c^{k=2}(T_j)$,

$$EER^{k=i}(T_j) = EER^{k=v}(T_j) + \frac{EER^{k=2}(T_j) - EER^{k=v}(T_j)}{Q^{k=2}(T_j) - Q^{k=v}(T_j)} * (BL(T_j) - Q^{k=v}(T_j))$$

Where:

$EER^{k=1}(T_j)$ is the steady-state energy efficiency ratio of the test unit when operating at minimum compressor speed and temperature Tj, Btu/h per W, calculated using capacity $\dot{Q}_c^{k=1}(T_j)$ calculated using Equation 4.1.4–1 and electrical power consumption $\dot{E}_c^{k=1}(T_j)$ calculated using Equation 4.1.4–2;

$EER^{k=v}(T_j)$ is the steady-state energy efficiency ratio of the test unit when operating at intermediate compressor speed and temperature Tj, Btu/h per W, calculated using capacity $\dot{Q}_c^{k=v}(T_j)$ calculated using Equation 4.1.4–3 and electrical power consumption $\dot{E}_c^{k=v}(T_j)$ calculated using Equation 4.1.4–4;

$EER^{k=2}(T_j)$ is the steady-state energy efficiency ratio of the test unit when operating at full compressor speed and temperature Tj, Btu/h per W, calculated using capacity $\dot{Q}_c^{k=2}(T_j)$ and electrical power consumption $\dot{E}_c^{k=2}(T_j)$, both calculated as described in section 4.1.4; and

$BL(T_j)$ is the building cooling load at temperature T_j, Btu/h.

4.1.4.2.1 Units That Are Not Variable-Speed Non-Communicating Coil-Only Air Conditioners or Heat Pumps

If the unit operates at an intermediate compressor speed (k=i) in order to match the building cooling load at temperature T_j, $\dot{Q}_c^{k=1}(T_j) < BL(T_j) < \dot{Q}_c^{k=2}(T_j)$.

$$\frac{q_c(T_j)}{N} = \dot{Q}_c^{k=i}(T_j) * \frac{n_j}{N} \quad \frac{e_c(T_j)}{N} = \dot{E}_c^{k=i}(T_j) * \frac{n_j}{N}$$

Where:

$\dot{Q}_c^{k=i}(T_j) = BL(T_j)$, the space cooling capacity delivered by the unit in matching the building load at temperature T_j, in Btu/h. The matching occurs with the unit operating at compressor speed k = i.

$\dot{E}_c^{k=i}(T_j) = \frac{\dot{Q}_c^{k=i}(T_j)}{EER^{k=i}(T_j)}$ the electrical power input required by the test unit when operating at a compressor speed of k = i and temperature T_j, in W.

$EER^{k=i}(T_j)$ = the steady-state energy efficiency ratio of the test unit when operating at a compressor speed of k = i and temperature T_j, Btu/h per W.

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19 of this section. For each temperature bin where the unit operates at an intermediate compressor speed, determine the energy efficiency ratio $EER^{k=i}(T_j)$ using the following equations:

For each temperature bin where $\dot{Q}_c^{k=1}(T_j) < BL(T_j) < \dot{Q}_c^{k=v}(T_j)$,

$$EER^{k=i}(T_j) = EER^{k=1}(T_j) + \frac{EER^{k=v}(T_j) - EER^{k=1}(T_j)}{Q^{k=v}(T_j) - Q^{k=1}(T_j)} * (BL(T_j) - Q^{k=1}(T_j))$$

For each temperature bin where $\dot{Q}_c^{k=v}(T_j) < BL(T_j) < \dot{Q}_c^{k=2}(T_j)$,

$$EER^{k=i}(T_j) = EER^{k=v}(T_j) + \frac{EER^{k=2}(T_j) - EER^{k=v}(T_j)}{Q^{k=2}(T_j) - Q^{k=v}(T_j)} * (BL(T_j) - Q^{k=v}(T_j))$$

Where:

$EER^{k=1}(T_j)$ is the steady-state energy efficiency ratio of the test unit when operating at minimum compressor speed and temperature Tj, in Btu/h per W, calculated using capacity $\dot{Q}_c^{k=1}(T_j)$ calculated using Equation 4.1.4–1 to this appendix and electrical power consumption $\dot{E}_c^{k=1}(T_j)$ calculated using Equation 4.1.4–2 to this appendix;

$EER^{k=v}(T_j)$ is the steady-state energy efficiency ratio of the test unit when operating at intermediate compressor speed and temperature Tj, in Btu/h per W, calculated using capacity $\dot{Q}_c^{k=v}(T_j)$ calculated using Equation 4.1.4–3 to this appendix and electrical power consumption $\dot{E}_c^{k=v}(T_j)$ calculated using Equation 4.1.4–4 to this appendix;

$EER^{k=2}(T_j)$ is the steady-state energy efficiency ratio of the test unit when operating at full compressor speed and temperature Tj, Btu/h per W, calculated using capacity $\dot{Q}_c^{k=2}(T_j)$ and electrical power consumption $\dot{E}_c^{k=2}(T_j)$, both calculated as described in section 4.1.4 of this appendix; and

$BL(T_j)$ is the building cooling load at temperature T_j, Btu/h.

4.1.4.2.2 Variable-Speed Non-Communicating Coil-Only Air Conditioners or Heat Pumps

If the unit alternates between high (k=2) and low (k=1) compressor capacity to satisfy the building cooling load at temperature T_j, $\dot{Q}_c^{k=1}(T_j) < BL(T_j) < \dot{Q}_c^{k=2}(T_j)$.

$$\frac{q_c(T_j)}{N} = [X^{k=1}(T_j) * \dot{Q}_c^{k=1}(T_j) + X^{k=2}(T_j) * \dot{Q}_c^{k=2}(T_j)] * \frac{n_j}{N}$$

$$\frac{e_c(T_j)}{N} = [X^{k=1}(T_j) * \dot{E}_c^{k=1}(T_j) + X^{k=2}(T_j) * \dot{E}_c^{k=2}(T_j)] * \frac{n_j}{N}$$

Where:

$X^{k=1}(T_j) = \frac{\dot{Q}_c^{k=2}(T_j) - BL(T_j)}{\dot{Q}_c^{k=2}(T_j) - \dot{Q}_c^{k=1}(T_j)}$ the cooling mode, low capacity load factor for

the cooling mode, low capacity load factor for temperature bin j (dimensionless); and $X^{k=2}(T_j) = 1 - X^{k=1}(T_j)$, the cooling mode, high capacity load factor for temperature bin j (demensionless).

Obtain the fractional bin hours for the cooling season, n_j/N, from Table 19 to this appendix. Obtain $\dot{Q}_c^{k=1}(T_j)$, $\dot{E}_c^{k=1}(T_j)$, $\dot{Q}_c^{k=2}(T_j)$, and $\dot{E}_c^{k=2}(T_j)$ as described in section 4.1.4 of this appendix.

4.1.4.3 Unit must operate continuously at full (k=2) compressor speed at temperature Tj, $BL(T_j) \geq \dot{Q}_c^{k=2}(T_j)$. Evaluate the Equation 4.1–1 quantities

$$\frac{q_c(T_j)}{N} \text{ and } \frac{e_c(T_j)}{N}$$

as specified in section 4.1.3.4 of this appendix with the understanding that $\dot{Q}_c^{k=2}(T_j)$ and $\dot{E}_c^{k=2}(T_j)$ correspond to full compressor speed operation and are derived from the results of the tests specified in section 3.2.4 of this appendix.

4.1.5 SEER2 Calculations for an Air Conditioner or Heat Pump Having a Single Indoor Unit With Multiple Indoor Blowers

Calculate SEER2 using Eq. 4.1–1, where $q_c(Tj)/N$ and $e_c(Tj)/N$ are evaluated as specified in the applicable subsection.

4.1.5.1 For Multiple Indoor Blower Systems That Are Connected to a Single, Single-Speed Outdoor Unit

a. Calculate the space cooling capacity, $\dot{Q}_c^{k=1}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=1}(T_j)$, of the test unit when operating at the cooling minimum air volume rate and outdoor temperature T_j using the equations given in section 4.1.2.1 of this appendix. Calculate the space cooling capacity, $\dot{Q}_c^{k=2}(T_j)$, and electrical power consumption, $\dot{E}_c^{k=2}(T_j)$, of the test unit when operating at the cooling full-load air volume rate and outdoor temperature T_j using the equations given in section 4.1.2.1 of this appendix. In evaluating the section 4.1.2.1 equations, determine the quantities $\dot{Q}_c^{k=1}(82)$ and $\dot{E}_c^{k=1}(82)$ from the B1 test, $\dot{Q}_c^{k=1}(95)$ and $\dot{E}_c^{k=1}(95)$ from the A1 test, $\dot{Q}_c^{k=2}(82)$ and $\dot{E}_c^{k=2}(82)$ from the B2 test, and $\dot{Q}_c^{k=2}(95)$ and $\dot{E}_c^{k=2}(95)$ from the A_2 test. Evaluate all eight quantities as specified in section 3.3. Refer to section 3.2.2.1 and Table 6 for additional information on the four referenced laboratory tests.

b. Determine the cooling mode cyclic degradation coefficient, C_D^c, as per sections 3.2.2.1 and 3.5 to 3.5.3 of this appendix. Assign this same value to $C_D^c(K=2)$.

c. Except for using the above values of $\dot{Q}_c^{k=1}(T_j)$, $\dot{E}_c^{k=1}(T_j)$, $\dot{E}_c^{k=2}(T_j)$, $\dot{Q}_c^{k=2}(T_j)$, C_D^c, and C_D^c (K=2), calculate the quantities $q_c(T_j)/N$ and $e_c(T_j)/N$ as specified in section 4.1.3.1 of this appendix for cases where $\dot{Q}_c^{k=1}(T_j) \geq BL(T_j)$. For all other outdoor bin temperatures, T_j, calculate $q_c(Tj)/N$ and $e_c(Tj)/N$ as specified in section 4.1.3.3 of this appendix if $\dot{Q}_c^{k=2}(T_j) > BL(T_j)$ or as specified in section 4.1.3.4 of this appendix if $\dot{Q}_c^{k=2}(T_j) \leq BL(T_j)$.

4.1.5.2 For Multiple Indoor Blower Systems That Are Connected to Either a Lone Outdoor Unit Having a Two-Capacity Compressor or Two Separate But Identical Model Single-Speed Outdoor Units. Calculate the Quantities $q_c(Tj)/N$ and $e_c(Tj)/N$ as Specified in Section 4.1.3 of This Appendix

4.2 Heating Seasonal Performance Factor 2 (HSPF2) Calculations

Unless an approved alternative efficiency determination method is used, as set forth in 10 CFR 429.70(e). Calculate HSPF2 as follows: Six generalized climatic regions are depicted in Figure 1 and otherwise defined in Table 20. For each of these regions and for each applicable standardized design heating requirement, evaluate the heating seasonal performance factor using,

Equation 4.2-1

$$HSPF2 = \frac{\sum_j^J n_{j*BL(T_j)}}{\sum_j^J e_h(T_j) + \sum_j^J RH(T_j)} * F_{def} = \frac{\sum_j^J \left[\frac{n_j}{N} * BL(T_j)\right]}{\sum_j^J \frac{e_h(T_j)}{N} + \sum_j^J \frac{RH(T_j)}{N}} * F_{def}$$

Where:

$e_h(T_j)/N$ = The ratio of the electrical energy consumed by the heat pump during periods of the heating season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the heating season (N), W. For heat pumps having a heat comfort controller, this ratio may also

include electrical energy used by resistive elements to maintain a minimum air delivery temperature (see 4.2.5).

$RH(T_j)/N$ = The ratio of the electrical energy used for resistive space heating during periods when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the heating season (N), W. Except as noted in section 4.2.5 of this appendix, resistive space heating is modeled as being used to meet that portion of the building load that the heat pump does not meet because of insufficient capacity or because the heat pump automatically turns off at the lowest outdoor temperatures. For heat pumps having a heat comfort controller, all or part of the electrical energy used by resistive heaters at a particular bin temperature may be reflected in $e_h(T_j)/N$ (see section 4.2.5 of this appendix).

T_j = the outdoor bin temperature, °F. Outdoor temperatures are ''binned'' such that calculations are only performed based one temperature within the bin. Bins of 5 °F are used.

n_j/N = Fractional bin hours for the heating season; the ratio of the number of hours during the heating season when the outdoor temperature fell within the range represented by bin temperature T_j to the total number of hours in the heating season, dimensionless. Obtain n_j/N values from Table 20.

j = the bin number, dimensionless.

J = for each generalized climatic region, the total number of temperature bins, dimensionless. Referring to Table 20, J is the highest bin number (j) having a nonzero entry for the fractional bin hours for the generalized climatic region of interest.

F_{def} = the demand defrost credit described in section 3.9.2 of this appendix, dimensionless.

$BL(T_j)$ = the building space conditioning load corresponding to an outdoor temperature of T_j; the heating season building load also depends on the generalized climatic region's outdoor design temperature and the design heating requirement, Btu/h.

TABLE 20—GENERALIZED CLIMATIC REGION INFORMATION

Region Number	I	II	III	IV	V	*VI
Heating Load Hours, HLH	493	857	1247	1701	2202	1842
Outdoor Design Temperature, T_{OD}	37	27	17	5	−10	30
Heating Load Line Equation Slope Factor, C	1.10	1.06	1.30	1.15	1.16	1.11
Variable-speed Slope Factor, C_{VS}	1.03	0.99	1.21	1.07	1.08	1.03
Zero-Load Temperature, T_{zl}	58	57	56	55	55	57
j T_j (°F)	Fractional Bin Hours, n_j/N					
1 62	0	0	0	0	0	0
2 57	.239	0	0	0	0	0
3 52	.194	.163	.138	.103	.086	.215
4 47	.129	.143	.137	.093	.076	.204
5 42	.081	.112	.135	.100	.078	.141
6 37	.041	.088	.118	.109	.087	.076
7 32	.019	.056	.092	.126	.102	.034
8 27	.005	.024	.047	.087	.094	.008
9 22	.001	.008	.021	.055	.074	.003
10 17	0	.002	.009	.036	.055	0
11 12	0	0	.005	.026	.047	0
12 7	0	0	.002	.013	.038	0
13 2	0	0	.001	.006	.029	0
14 −3	0	0	0	.002	.018	0
15 −8	0	0	0	.001	.010	0
16 −13	0	0	0	0	.005	0
17 −18	0	0	0	0	.002	0
18 −23	0	0	0	0	.001	0

*Pacific Coast Region.

Evaluate the building heating load using:

$$\text{Equation 4.2-2} \quad BL(T_j) = \frac{T_{zl} - T_j}{T_{zl} - 5°\text{F}} * C * \dot{Q}_c(95°\text{F})$$

Where:

T_j = the outdoor bin temperature, °F;

T_{zl} = the zero-load temperature, °F, which varies by climate region according to Table 20 to this appendix;

C = slope (adjustment) factor, which varies by climate region according to Table 20 to this appendix. When calculating building load for a variable-speed compressor system, substitute C_{VS} for C;

$Q_c(95\ °F)$ = the cooling capacity at 95 °F determined from the A or A_2 test, Btu/h. For heating-only heat pump units, replace $Q_c(95\ °F)$ in Equation 4.2–2 with $Q_h(47\ °F)$;

$Q_h(47\ °F)$ = the heating capacity at 47 °F determined from the H1 test for units having a single-speed compressor, $H1_2$ for units having a two-capacity compressor, and $H1_N$ test for units having a variable-speed compressor, Btu/h.

a. For all heat pumps, HSPF2 accounts for the heating delivered and the energy consumed by auxiliary resistive elements when operating below the balance point. This condition occurs when the building load exceeds the space heating capacity of the heat pump condenser. For HSPF2 calculations for all heat pumps, see either section 4.2.1, 4.2.2, 4.2.3, or 4.2.4 of this appendix, whichever applies.

b. For heat pumps with heat comfort controllers (see section 1.2 of this appendix, Definitions), HSPF2 also accounts for resistive heating contributed when operating above the heat-pump-plus-comfort-controller balance point as a result of maintaining a minimum supply temperature. For heat pumps having a heat comfort controller, see section 4.2.5 of this appendix for the additional steps required for calculating the HSPF2.

4.2.1 Additional Steps for Calculating the HSPF2 of a Blower Coil System Heat Pump Having a Single-Speed Compressor and Either a Fixed-Speed Indoor Blower or a Constant-Air-Volume-Rate Indoor Blower, or a Single-Speed Coil-Only System Heat Pump

Equation 4.2.1-1

$$\frac{e_h(T_j)}{N} = \frac{X(T_j) * \dot{E}_h(T_j) * \delta(T_j)}{PLF_j} * \frac{n_j}{N}$$

Equation 4.2.1-2

$$\frac{RH(T_j)}{N} = \frac{BL(T_j) - [X(T_j) * \dot{Q}_h(T_j) * \delta(T_j)]}{3.413 \frac{Btu/h}{W}} * \frac{n_j}{N}$$

Where:

$$X(T_j) = \begin{Bmatrix} BL(T_j)/\dot{Q}_h(T_j) \\ or \\ 1 \end{Bmatrix}$$

whichever is less; the heating mode load factor for temperature bin j, dimensionless.

$\dot{Q}_h(T_j)$ = the space heating capacity of the heat pump when operating at outdoor temperature T_j, Btu/h.

$\dot{E}_h(T_j)$ = the electrical power consumption of the heat pump when operating at outdoor temperature T_j, W.

$\delta(T_j)$ = the heat pump low temperature cut-out factor, dimensionless.

$PLF_j = 1 - \dot{C}_D{}^h \cdot [1 - X(T_j)]$ the part load factor, dimensionless.

Use Equation 4.2–2 to determine $BL(T_j)$. Obtain fractional bin hours for the heating season, n_j/N, from Table 20. Evaluate the heating mode cyclic degradation factor $C_D{}^h$ as specified in section 3.8.1 of this appendix.

Determine the low temperature cut-out factor using

Equation 4.2.1-3 $$\delta(T_j) = \begin{cases} 0, if\ T_j \le T_{off}\ or\ \frac{\dot{Q}_h(T_j)}{3.413*\dot{E}_h(T_j)} < 1 \\ 1/2\,, if\ T_{off} < T_j \le T_{on}\ and\ \frac{\dot{Q}_h(T_j)}{3.413*\dot{E}_h(T_j)} \ge 1 \\ 1, if\ T_j > T_{on}\ and\ \frac{\dot{Q}_h(T_j)}{3.413*\dot{E}_h(T_j)} \ge 1 \end{cases}$$

Where:

T_{off} = the outdoor temperature when the compressor is automatically shut off, °F. (If no such temperature exists, T_j is always greater than T_{off} and T_{on}).

T_{on} = the outdoor temperature when the compressor is automatically turned back on, if applicable, following an automatic shut-off, °F.

If the H4 test is not conducted, calculate $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ using

Equation 4.2.1-4 $$\dot{Q}_h(T_j) = \begin{cases} \dot{Q}_h(17) + \frac{[\dot{Q}_h(47) - \dot{Q}_h(17)]*(T_j - 17)}{47-17},\ if\ T_j \ge 45\ °\text{F}\ or\ T_j \le 17\ °\text{F} \\ \dot{Q}_h(17) + \frac{[\dot{Q}_h(35) - \dot{Q}_h(17)]*(T_j - 17)}{35-17},\ if\ 17\ °\text{F} < T_j < 45\ °\text{F} \end{cases}$$

Equation 4.2.1-5

$$\dot{E}_h(T_j) = \begin{cases} \dot{E}_h(17) + \frac{\left[\dot{E}_h(47) - \dot{E}_h(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j \ge 45\ °\text{F}\ or\ T_j \le 17\ °\text{F} \\ \dot{E}_h(17) + \frac{\left[\dot{E}_h(35) - \dot{E}_h(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} < T_j < 45\ °\text{F} \end{cases}$$

where $\dot{Q}_h(47)$ and $\dot{E}_h(47)$ are determined from the H1 test and calculated as specified in section 3.7 of this appendix; $\dot{Q}_h(35)$ and $\dot{E}_h(35)$ are determined from the H2 test and calculated as specified in section 3.9.1 of this appendix; and $\dot{Q}_h(17)$ and $\dot{E}_h(17)$ are determined from the H3 test and calculated as specified in section 3.10 of this appendix.

If the H4 test is conducted, calculate $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ using

Equation 4.2.1-6

$$\dot{Q}_h\,(T_j) = \begin{cases} \dot{Q}_h(17) + \frac{\left[\dot{Q}_h(47) - \dot{Q}_h(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j \ge 45\ °\text{F} \\ \dot{Q}_h(17) + \frac{\left[\dot{Q}_h(35) - \dot{Q}_h(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \le T_j < 45\ °\text{F} \\ \dot{Q}_h(5) + \frac{\left[\dot{Q}_h(17) - \dot{Q}_h(5)\right] * (T_j - 5)}{17 - 5}, & if\ T_j < 17\ °\text{F} \end{cases}$$

Equation 4.2.1-7

$$\dot{E}_h(T_j) = \begin{cases} \dot{E}_h(17) + \dfrac{\left[\dot{E}_h(47) - \dot{E}_h(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j \geq 45\ °\text{F} \\ \dot{E}_h(17) + \dfrac{\left[\dot{E}_h(35) - \dot{E}_h(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \leq T_j < 45\ °\text{F} \\ \dot{E}_h(5) + \dfrac{\left[\dot{E}_h(17) - \dot{E}_h(5)\right] * (T_j - 5)}{17 - 5}, & if\ T_j < 17\ °\text{F} \end{cases}$$

where $\dot{Q}_h(47)$ and $\dot{E}_h(47)$ are determined from the H1 test and calculated as specified in section 3.7 of this appendix; $\dot{Q}_h(35)$ and $\dot{E}_h(35)$ are determined from the H2 test and calculated as specified in section 3.9.1 of this appendix; $\dot{Q}_h(17)$ and $\dot{E}_h(17)$ are determined from the H3 test and calculated as specified in section 3.10 of this appendix; $\dot{Q}_h(5)$ and $\dot{E}_h(5)$ are determined from the H4 test and calculated as specified in section 3.10 of this appendix.

4.2.2 Additional Steps for Calculating the HSPF2 of a Heat Pump Having a Single-Speed Compressor and a Variable-Speed, Variable-Air-Volume-Rate Indoor Blower

The manufacturer must provide information about how the indoor air volume rate or the indoor blower speed varies over the outdoor temperature range of 65 °F to −23 °F. Calculate the quantities

$$\frac{e_h(T_j)}{N} \text{ and } \frac{RH(T_j)}{N}$$

in Equation 4.2–1 as specified in section 4.2.1 of this appendix with the exception of replacing references to the H1C test and section 3.6.1 of this appendix with the $H1C_1$ test and section 3.6.2 of this appendix. In addition, evaluate the space heating capacity and electrical power consumption of the heat pump $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ using

Equation 4.2.2-1 $$\dot{Q}_h(T_j) = \dot{Q}_h^{k=1}(T_j) + \frac{\dot{Q}_h^{k=2}(T_j) - \dot{Q}_h^{k=1}(T_j)}{\text{FP}_h^{k=2} - \text{FP}_h^{k=1}} * \left[\text{FP}_h(T_j) - \text{FP}_h^{k=1}\right]$$

Equation 4.2.2-2 $$\dot{E}_h(T_j) = \dot{E}_h^{k=1}(T_j) + \frac{\dot{E}_h^{k=2}(T_j) - \dot{E}_h^{k=1}(T_j)}{\text{FP}_h^{k=2} - \text{FP}_h^{k=1}} * \left[\text{FP}_h(T_j) - \text{FP}_h^{k=1}\right]$$

where the space heating capacity and electrical power consumption at low capacity (k=1) at outdoor temperature Tj are determined using

Equation 4.2.2-3 $$\dot{Q}_h^k(T_j) = \begin{cases} \dot{Q}_h^k(17) + \dfrac{\left[\dot{Q}_h^k(47) - \dot{Q}_h^k(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j \geq 45\ °\text{F}\ or\ T_j \leq 17\ °\text{F} \\ \dot{Q}_h^k(17) + \dfrac{\left[\dot{Q}_h^k(35) - \dot{Q}_h^k(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} < T_j < 45\ °\text{F} \end{cases}$$

Equation 4.2.2-4

$$\dot{E}_h^k(T_j) = \begin{cases} \dot{E}_h^k(17) + \dfrac{\left[\dot{E}_h^k(47) - \dot{E}_h^k(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j \geq 45\ °\text{F}\ or\ T_j \leq 17\ °\text{F} \\ \dot{E}_h^k(17) + \dfrac{\left[\dot{E}_h^k(35) - \dot{E}_h^k(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} < T_j < 45\ °\text{F} \end{cases}$$

If the $H4_2$ test is not conducted, calculate the space heating capacity and electrical power consumption at high capacity (k=2) at outdoor temperature Tj using Equations 4.2.2–3 and 4.2.2–4 for k=2.

If the $H4_2$ test is conducted, calculate the space heating capacity and electrical power consumption at high capacity (k=2) at outdoor temperature Tj using Equations 4.2.2–5 and 4.2.2–6.

Equation 4.2.2-5

$$\dot{Q}_h^{k=2}(T_j) = \begin{cases} \dot{Q}_h^{k=2}(17) + \dfrac{\left[\dot{Q}_h^{k=2}(47) - \dot{Q}_h^{k=2}(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j \geq 45\ °\text{F} \\ \dot{Q}_h^{k=2}(17) + \dfrac{\left[\dot{Q}_h^{k=2}(35) - \dot{Q}_h^{k=2}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \leq T_j < 45\ °\text{F} \\ \dot{Q}_h^{k=2}(5) + \dfrac{\left[\dot{Q}_h^{k=2}(17) - \dot{Q}_h^{k=2}(5)\right] * (T_j - 5)}{17 - 5}, & if\ T_j < 17\ °\text{F} \end{cases}$$

Equation 4.2.2-6

$$\dot{E}_h^{k=2}(T_j) = \begin{cases} \dot{E}_h^{k=2}(17) + \dfrac{\left[\dot{E}_h^{k=2}(47) - \dot{E}_h^{k=2}(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j \geq 45\ °\text{F} \\ \dot{E}_h^{k=2}(17) + \dfrac{\left[\dot{E}_h^{k=2}(35) - \dot{E}_h^{k=2}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \leq T_j < 45\ °\text{F} \\ \dot{E}_h^{k=2}(5) + \dfrac{\left[\dot{E}_h^{k=2}(17) - \dot{E}_h^{k=2}(5)\right] * (T_j - 5)}{17 - 5}, & if\ T_j < 17\ °\text{F} \end{cases}$$

For units where indoor blower speed is the primary control variable, $FP_h^{k=1}$ denotes the fan speed used during the required $H1_1$ and $H3_1$ tests (see Table 12), $FP_h^{k=2}$ denotes the fan speed used during the required $H1_2$, $H2_2$, and $H3_2$ tests, and $FP_h(T_j)$ denotes the fan speed used by the unit when the outdoor temperature equals T_j. For units where indoor air volume rate is the primary control variable, the three FP_h's are similarly defined only now being expressed in terms of air volume rates rather than fan speeds. Determine $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ from the $H1_1$ test, and $\dot{Q}_h^{k=2}(47)$ and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test. Calculate all four quantities as specified in section 3.7 of this appendix. Determine $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ as specified in section 3.6.2 of this appendix; determine $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ and from the $H2_2$ test and the calculation specified in section 3.9 of this appendix. Determine $\dot{Q}_h^{k=1}(17)$ and $\dot{E}_h^{k=1}(17$ from the $H3_1$ test, and $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test. Calculate all four quantities as specified in section 3.10 of this appendix. Determine $\dot{Q}_h^{k=2}(5)$ and $\dot{E}_h^{k=2}(5)$ from the $H4_2$ test and the calculation specified in section 3.10 of this appendix.

4.2.3 Additional Steps for Calculating the HSPF2 of a Heat Pump Having a Two-Capacity Compressor

The calculation of the Equation 4.2–1 to this appendix quantities differ depending upon whether the heat pump would operate at low capacity (section 4.2.3.1 of this appendix), cycle between low and high capacity (section 4.2.3.2 of this appendix), or operate at high capacity (sections 4.2.3.3 and 4.2.3.4 of this appendix) in responding to the building

load. For heat pumps that lock out low capacity operation at low outdoor temperatures, the outdoor temperature at which the unit locks out must be that specified by the manufacturer in the certification report so that the appropriate equations can be selected.

a. Evaluate the space heating capacity and electrical power consumption of the heat pump when operating at low compressor capacity and outdoor temperature T_j using

$$\dot{Q}_h^{k=1}(T_j) = \begin{cases} \dot{Q}_h^{k=1}(47) + \dfrac{\left[\dot{Q}_h^{k=1}(62) - \dot{Q}_h^{k=1}(47)\right] * (T_j - 47)}{62 - 47}, & if\ T_j \geq 40\ °\text{F} \\ \dot{Q}_h^{k=1}(17) + \dfrac{\left[\dot{Q}_h^{k=1}(35) - \dot{Q}_h^{k=1}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \leq T_j < 40\ °\text{F} \\ \dot{Q}_h^{k=1}(17) + \dfrac{\left[\dot{Q}_h^{k=1}(47) - \dot{Q}_h^{k=1}(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j < 17\ °\text{F} \end{cases}$$

$$\dot{E}_h^{k=1}(T_j) = \begin{cases} \dot{E}_h^{k=1}(47) + \dfrac{\left[\dot{E}_h^{k=1}(62) - \dot{E}_h^{k=1}(47)\right] * (T_j - 47)}{62 - 47}, & if\ T_j \geq 40\ °\text{F} \\ \dot{E}_h^{k=1}(17) + \dfrac{\left[\dot{E}_h^{k=1}(35) - \dot{E}_h^{k=1}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \leq T_j < 40\ °\text{F} \\ \dot{E}_h^{k=1}(17) + \dfrac{\left[\dot{E}_h^{k=1}(47) - \dot{E}_h^{k=1}(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j < 17\ °\text{F} \end{cases}$$

b. If the $H4_2$ test is not conducted, evaluate the space heating capacity and electrical power consumption ($\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$) of the heat pump when operating at high compressor capacity and outdoor temperature Tj by solving Equations 4.2.2–3 and 4.2.2–4, respectively, for k=2. If the $H4_2$ test is conducted, evaluate the space heating capacity and electrical power consumption ($\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$) of the heat pump when operating at high compressor capacity and outdoor temperature Tj using Equations 4.2.2–5 and 4.2.2–6, respectively.

Determine $\dot{Q}_h^{k=1}(62)$ and $\dot{E}_h^{k=1}(62)$ from the $H0_1$ test, $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ from the $H1_1$ test, and $\dot{Q}_h^{k=2}(47)$ and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test. Calculate all six quantities as specified in section 3.7 of this appendix. Determine $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ from the $H2_2$ test and, if required as described in section 3.6.3 of this appendix, determine $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ from the $H2_1$ test. Calculate the required 35 °F quantities as specified in section 3.9 in this appendix. Determine $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test and, if required as described in section 3.6.3 of this appendix, determine $\dot{Q}_h^{k=1}(17)$ and $\dot{E}_h^{k=1}(17)$ from the $H3_1$ test. Calculate the required 17 °F quantities as specified in section 3.10 of this appendix. Determine $\dot{Q}_h^{k=2}(5)$ and $\dot{E}_h^{k=2}(5)$ from the $H4_2$ test and the calculation specified in section 3.10 of this appendix.

4.2.3.1 Steady-State Space Heating Capacity When Operating at Low Compressor Capacity Is Greater Than or Equal to the Building Heating Load at Temperature T_j, $\dot{Q}_h^{k=1}(T_j) \geq BL(T_j)$

$$\text{Equation 4.2.3-1} \quad \frac{e_h(T_j)}{N} = \frac{X^{k=1}(T_j) * \dot{E}_h^{k=1}(T_j) * \delta(T_j)}{PLF_j} * \frac{n_j}{N}$$

$$\text{Equation 4.2.3-2} \quad \frac{RH(T_j)}{N} = \frac{BL(T_j) * [1 - \delta(T_j)]}{3.413 \frac{Btu/h}{W}} * \frac{n_j}{N}$$

Where:

$X^{k=1}(T_j) = BL(T_j)/\dot{Q}_h^{k=1}(T_j)$, the heating mode low capacity load factor for temperature bin *j*, dimensionless.

$PLF_j = 1 - C_D^h \cdot [\,1 - X^{k=1}(T_j)\,]$, the part load factor, dimensionless.

$\delta(T_j)$ = the low temperature cutoff factor, dimensionless.

Evaluate the heating mode cyclic degradation factor C_{D^h} as specified in section 3.8.1 of this appendix.

Determine the low temperature cut-out factor using

$$\text{Equation 4.2.3-3} \quad \delta(T_j) = \begin{cases} 0, \ if \ T_j \leq T_{off} \\ 1/2, \ if \ T_{off} < T_j \leq T_{on} \\ 1, \ if \ T_j > T_{on} \end{cases}$$

where T_{off} and T_{on} are defined in section 4.2.1 of this appendix. Use the calculations given in section 4.2.3.3 of this appendix, and not the above, if:

a. The heat pump locks out low capacity operation at low outdoor temperatures and

b. T_j is below this lockout threshold temperature.

4.2.3.2 Heat Pump Alternates Between High (k=2) and Low (k=1) Compressor Capacity To Satisfy the Building Heating Load at a Temperature T_j, $\dot{Q}_h^{k=1}(T_j)$ $BL(T_j)$ $\dot{Q}_h^{k=2}(T_j)$

Calculate $\frac{RH(T_j)}{N}$ using Equation 4.2.3-2. Evaluate $\frac{e_h(T_j)}{N}$ using

$$\frac{e_h(T_j)}{N} = [X^{k=1}(T_j) * \dot{E}_h^{k=1}(T_j) + X^{k=2}(T_j) * \dot{E}_h^{k=2}(T_j)] * \delta(T_j) * \frac{n_j}{N}$$

where:

$$X^{k=1}(T_j) = \frac{\dot{Q}_h^{k=2}(T_j) - BL(T_j)}{\dot{Q}_h^{k=2}(T_j) - \dot{Q}_h^{k=1}(T_j)}$$

$X^{k=2}(T_j) = 1 - X^{k=1}(T_j)$ the heating mode, high capacity load factor for temperature bin $_j$, dimensionless.

Determine the low temperature cut-out factor, $\delta'(T_j)$, using Equation 4.2.3–3.

4.2.3.3 Heat Pump Only Operates at High (k=2) Compressor Capacity at Temperature T_j and its Capacity Is Greater Than the Building Heating Load, $BL(T_j) < \dot{Q}_h^{k=2}(T_j)$. This Section Applies to Units That Lock Out Low Compressor Capacity Operation at Low Outdoor Temperatures

Calculate $\frac{RH(T_j)}{N}$ using Equation 4.2.3-2. Evaluate $\frac{e_h(T_j)}{N}$ using

$$\frac{e_h(T_j)}{N} = \frac{X^{k=2}(T_j) * \dot{E}_h^{k=2}(T_j) * \delta(T_j)}{PLF_j} * \frac{n_j}{N}$$

where:

$X^{k=2}(T_j) = BL(T_j)/\dot{Q}_h^{k=2}(T_j)$. $PLF_j = 1 - C^h{}_D(k = 2) * [1 - X^{k=2}(T_j)]$

If the $H1C_2$ test described in section 3.6.3 and Table 13 of this appendix is not conducted, set C_D^h (k=2) equal to the default value specified in section 3.8.1 of this appendix.

Determine the low temperature cut-out factor, $\delta(T_j)$, using Equation 4.2.3–3.

4.2.3.4 Heat Pump Must Operate Continuously at High (k=2) Compressor Capacity at Temperature T_j, $BL(T_j) \geq \dot{Q}_h^{k=2}(T_j)$

$$\frac{e_h(T_j)}{N} = \dot{E}_h^{k=2}(T_j) * \delta'(T_j) * \frac{n_j}{N}$$

$$\frac{RH(T_j)}{N} = \frac{BL(T_j) - \left[\dot{Q}_h^{k=2}(T_j) * \delta'(T_j)\right]}{3.413\frac{Btu}{Wh}} * \frac{n_j}{N}$$

Where:

$$\delta'(T_j) = \begin{cases} 0, & if\ T_j \leq T_{off}\ or\ \dfrac{\dot{Q}_h^{k=2}(T_j)}{3.413 * \dot{E}_h^{k=2}(T_j)} < 1 \\ \dfrac{1}{2}, & if\ T_{off} < T_j \leq T_{on}\ and\ \dfrac{\dot{Q}_h^{k=2}(T_j)}{3.413 * \dot{E}_h^{k=2}(T_j)} \geq 1 \\ 1, & if\ T_j > T_{on}\ and\ \dfrac{\dot{Q}_h^{k=2}(T_j)}{3.413 * \dot{E}_h^{k=2}(T_j)} \geq 1 \end{cases}$$

4.2.4 Additional Steps for Calculating the HSPF2 of a Heat Pump Having a Variable-Speed Compressor. Calculate HSPF2 Using Equation 4.2–1

The calculation of Equation 4.2-1 quantities $\frac{RH(T_j)}{N}$ and $\frac{e_h(T_j)}{N}$ differs depending upon whether the heat pump would operate at minimum speed (section 4.2.4.1 of this appendix), operate at an intermediate speed (section 4.2.4.2 of this appendix), or operate at full speed (section 4.2.4.3 of this appendix) in responding to the building load.

a. Minimum Compressor Speed. For units other than variable-speed non-communicating coil-only heat pumps, evaluate the space heating capacity, $\dot{Q}_h^{k=1}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=1}(T_j)$, of the heat pump when operating at minimum compressor speed and outdoor temperature T_j using:

Equation 4.2.4-1

$$\dot{Q}_h^{k=1}(T_j) = \dot{Q}_h^{k=1}(47) + \frac{\dot{Q}_h^{k=1}(62) - \dot{Q}_h^{k=1}(47)}{62-47} * (T_j - 47); \text{ and}$$

Equation 4.2.4-2

$$\dot{E}_h^{k=1}(T_j) = \dot{E}_h^{k=1}(47) + \frac{\dot{E}_h^{k=1}(62) - \dot{E}_h^{k=1}(47)}{62 - 47} * (T_j - 47)$$

Where $Q_h^{k=1}(62)$ and $E_h^{k=1}(62)$ are determined from the $H0_1$ test, $Q_h^{k=1}(47)$ and $E_h^{k=1}(47)$ are determined from the $H1_1$ test, and all four quantities are calculated as specified in section 3.7 of this appendix.

For variable-speed non-communicating coil-only heat pumps, when T_j is greater than or equal to 47 °F, evaluate the space heating capacity, $\dot{Q}_h^{k=1}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=1}(T_j)$, of the heat pump when operating at minimum compressor speed as described in Equations 4.2.4–1 and 4.2.4–2 to this appendix, respectively. When T_j is less than 47 °F, evaluate the space heating capacity, $\dot{Q}_h^{k=1}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=1}(T_j)$ using:

Equation 4.2.4-3

$$\dot{Q}_h^{k=1}(T_j) = \begin{cases} \dot{Q}_h^{k=1}(35) + \dfrac{\left[\dot{Q}_h^{k=1}(47) - \dot{Q}_h^{k=1}(35)\right] * (T_j - 35)}{47 - 35}, & if\ 35\ °\text{F} \le T_j < 47\ °\text{F} \\ \dot{Q}_h^{k=1}(17) + \dfrac{\left[\dot{Q}_h^{k=1}(35) - \dot{Q}_h^{k=1}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \le T_j < 35\ °\text{F} \\ \dot{Q}_h^{k=2}(T_j) * \left(\dot{Q}_h^{k=1}(17) / \dot{Q}_h^{k=2}(17)\right), & if\ T_j < 17\ °\text{F} \end{cases}$$

And

Equation 4.2.4-4

$$\dot{E}_h^{k=1}(T_j) = \begin{cases} \dot{E}_h^{k=1}(35) + \dfrac{\left[\dot{E}_h^{k=1}(47) - \dot{E}_h^{k=1}(35)\right] * (T_j - 35)}{47 - 35}, & if\ 35\ °\text{F} \le T_j < 47\ °\text{F} \\ \dot{E}_h^{k=1}(17) + \dfrac{\left[\dot{E}_h^{k=1}(35) - \dot{E}_h^{k=1}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \le T_j < 35\ °\text{F} \\ \dot{E}_h^{k=2}(T_j) * \left(\dot{E}_h^{k=1}(17) / \dot{E}_h^{k=2}(17)\right), & if\ T_j < 17\ °\text{F} \end{cases}$$

Where $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ are determined from the $H1_1$ test, and both quantities are calculated as specified in section 3.7 of this appendix; $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ are determined from the $H2_1$ test, and are calculated as specified in section 3.9 of this appendix; $\dot{Q}_h^{k=1}(17)$ and $\dot{E}_h^{k=1}(17)$ are determined from the $H3_1$ test, and are calculated as specified in section 3.10 of this appendix; and $\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$ are calculated as described in section 4.2.4.c or 4.2.4.d of this appendix, as appropriate.

b. Minimum Compressor Speed for Minimum-speed-limiting Variable-speed Heat Pumps. For units other than variable-speed non-communicating coil-only heat pumps, evaluate the space heating capacity, $\dot{Q}_h^{k=1}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=1}(T_j)$, of the heat pump when operating at minimum compressor speed and outdoor temperature T_j using:

Equation 4.2.4-5

$$\dot{Q}_h^{k=1}(T_j) = \begin{cases} \dot{Q}_h^{k=1}(47) + \dfrac{\left[\dot{Q}_h^{k=1}(62) - \dot{Q}_h^{k=1}(47)\right] * (T_j - 47)}{62 - 47}, & if\ T_j \geq 47\ °\text{F} \\ \dot{Q}_h^{k=v}(35) + \dfrac{\left[\dot{Q}_h^{k=1}(47) - \dot{Q}_h^{k=v}(35)\right] * (T_j - 35)}{47 - 35}, & if\ 35\ °\text{F} \leq T_j < 47\ °\text{F} \\ \dot{Q}_h^{k=v}(T_j), & if\ T_j < 35\ °\text{F} \end{cases}$$

And

Equation 4.2.4-6

$$\dot{E}_h^{k=1}(T_j) = \begin{cases} \dot{E}_h^{k=1}(47) + \dfrac{\left[\dot{E}_h^{k=1}(62) - \dot{E}_h^{k=1}(47)\right] * (T_j - 47)}{62 - 47}, & if\ T_j \geq 47\ °\text{F} \\ \dot{E}_h^{k=v}(35) + \dfrac{\left[\dot{E}_h^{k=1}(47) - \dot{E}_h^{k=v}(35)\right] * (T_j - 35)}{47 - 35}, & if\ 35\ °\text{F} \leq T_j < 47\ °\text{F} \\ \dot{E}_h^{k=v}(T_j), & if\ T_j < 35\ °\text{F} \end{cases}$$

Where $\dot{Q}_h^{k=1}(62)$ and $\dot{E}_h^{k=1}(62)$ are determined from the $H0_1$ test, $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ are determined from the $H1_1$ test, and all four quantities are calculated as specified in section 3.7 of this appendix; $\dot{Q}_h^{k=v}(35)$ and $\dot{E}_h^{k=v}(35)$ are determined from the $H2_v$ test and are calculated as specified in section 3.9 of this appendix; and $\dot{Q}_h^{k=v}(T_j)$ and $\dot{E}_h^{k=v}(T_j)$ are calculated using Equations 4.2.4–7 and 4.2.4–8 to this appendix, respectively.

For variable-speed non-communicating coil-only heat pumps, evaluate the space heating capacity, $\dot{Q}_h^{k=1}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=1}(T_j)$, of the heat pump as described in section 4.2.4.a of this appendix, using Equations 4.2.4–1, 4.2.4–2, 4.2.4–3, and 4.2.4–4 to this appendix, as appropriate.

c. Full Compressor Speed for Heat Pumps for which the $H4_2$ test is not conducted. Evaluate the space heating capacity, $\dot{Q}_h^{k=2}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=2}(T_j)$, of the heat pump when operating at full compressor speed and outdoor temperature T_j using:

$$\dot{Q}_h^{k=2}(T_j) =$$

$$\begin{cases} \left\{\dot{Q}_h^{k=2}(17) + \dfrac{\left[\dot{Q}_{hcalc}^{k=2}(47) - \dot{Q}_h^{k=2}(17)\right] * (T_j - 17)}{47 - 17}\right\} * \left(\dfrac{\dot{Q}_h^{k=N}(47)}{\dot{Q}_{hcalc}^{k=2}(47)}\right), & if\ T_j \geq 45\ °\text{F} \\ \dot{Q}_h^{k=2}(17) + \dfrac{\left[\dot{Q}_h^{k=2}(35) - \dot{Q}_h^{k=2}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \leq T_j < 45\ °\text{F} \\ \dot{Q}_h^{k=2}(17) + \dfrac{\left[\dot{Q}_{hcalc}^{k=2}(47) - \dot{Q}_h^{k=2}(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j < 17\ °\text{F} \end{cases}$$

And

$$\dot{E}_h^{k=2}(T_j) =$$

$$\begin{cases} \left\{\dot{E}_h^{k=2}(17) + \dfrac{\left[\dot{E}_{hcalc}^{k=2}(47) - \dot{E}_h^{k=2}(17)\right] * (T_j - 17)}{47 - 17}\right\} * \left(\dfrac{\dot{E}_h^{k=N}(47)}{\dot{E}_{hcalc}^{k=2}(47)}\right), & if\ T_j \geq 45\ °\text{F} \\ \dot{E}_h^{k=2}(17) + \dfrac{\left[\dot{E}_h^{k=2}(35) - \dot{E}_h^{k=2}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} \leq T_j < 45\ °\text{F} \\ \dot{E}_h^{k=2}(17) + \dfrac{\left[\dot{E}_{hcalc}^{k=2}(47) - \dot{E}_h^{k=2}(17)\right] * (T_j - 17)}{47 - 17}, & if\ T_j < 17\ °\text{F} \end{cases}$$

Determine $\dot{Q}_h^{k=N}(47)$ and $\dot{E}_h^{k=N}(47)$ from the $H1_N$ test and the calculations specified in section 3.7 of this appendix. See section 3.6.4.b of this appendix regarding determination of the capacity $\dot{Q}_{hcalc}^{k=2}(47)$ and power input $\dot{E}_{hcacl}^{k=2}(47)$ used in the HSPF2 calculations to represent the $H1_2$ Test. Determine $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ from the $H2_2$ test and the calculations specified in section 3.9 of this appendix or, if the $H2_2$ test is not conducted, by conducting the calculations specified in section 3.6.4 of this appendix. Determine $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test and the methods specified in section 3.10 of this appendix.

d. Full Compressor Speed for Heat Pumps for which the $H4_2$ test is Conducted. For T_j above 17 °F, evaluate the space heating capacity, $\dot{Q}_h^{k=2}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=2}(T_j)$, of the heat pump when operating at full compressor speed as described above for heat pumps for which the $H4_2$ is not conducted. For T_j between 5 °F and 17 °F, evaluate the space heating capacity, $\dot{Q}_h^{k=2}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=2}(T_j)$, of the heat pump when operating at full compressor speed using the following equations:

$$\dot{Q}_h^{k=2}(T_j) = \dot{Q}_h^{k=2}(5) + \frac{\dot{Q}_h^{k=2}(17) - \dot{Q}_h^{k=2}(5)}{17 - 5} * (T_j - 5)$$

$$\dot{E}_h^{k=2}(T_j) = \dot{E}_h^{k=2}(5) + \frac{\dot{E}_h^{k=2}(17) - \dot{E}_h^{k=2}(5)}{17 - 5} * (T_j - 5)$$

Determine $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test, and $\dot{Q}_h^{k=2}(5)$ and $\dot{E}_h^{k=2}(5)$ from the $H4_2$ test, using the methods specified in section 3.10 of this appendix for all four values. For T_j below 5 °F, evaluate the space heating capacity, $\dot{Q}_h^{k=2}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=2}(T_j)$, of the heat pump when operating at full compressor speed using the following equations:

$$\dot{Q}_h^{k=2}(T_j) = \dot{Q}_h^{k=2}(5) - \frac{\dot{Q}_{hcalc}^{k=2}(47) - \dot{Q}_h^{k=2}(17)}{47 - 17} * (5 - T_j)$$

$$\dot{E}_h^{k=2}(T_j) = \dot{E}_h^{k=2}(5) - \frac{\dot{E}_{hcalc}^{k=2}(47) - \dot{E}_h^{k=2}(17)}{47 - 17} * (5 - T_j)$$

Determine $\dot{Q}_{hcalc}^{k=2}(47)$ and $\dot{E}_{hcalc}^{k=2}(47)$ as described in section 3.6.4.b of this appendix. Determine $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test, using the methods specified in section 3.10 of this appendix.

e. Intermediate Compressor Speed. For units other than variable-speed noncommunicating coil-only heat pumps, calculate the space heating capacity, $\dot{Q}_h^{k=v}(T_j)$, and electrical power consumption, $\dot{E}_h^{k=v}(T_j)$, of the heat pump when operating at outdoor temperature T_j and the intermediate compressor speed used during the $H2_V$ test in section 3.6.4 of this appendix using:

Equation 4.2.4-7 $\dot{Q}_h^{k=v}(T_j) = \dot{Q}_h^{k=v}(35) + M_Q * (T_j - 35)$, and

Equation 4.2.4-8 $\dot{E}_h^{k=v}(T_j) = \dot{E}_h^{k=v}(35) + M_E * (T_j - 35)$

Where $\dot{Q}_h^{k=v}(35)$ and $\dot{E}_h^{k=v}(35)$ are determined from the $H2_V$ test and calculated as specified in section 3.9 of this appendix. Approximate the slopes of the k=v intermediate speed heating capacity and electrical power input curves, M_Q and M_E, as follows:

$$M_Q = \left[\frac{\dot{Q}_h^{k=1}(62) - \dot{Q}_h^{k=1}(47)}{62-47} * (1 - N_Q)\right] + \left[N_Q * \frac{\dot{Q}_h^{k=2}(35) - \dot{Q}_h^{k=2}(17)}{35-17}\right]$$

$$M_E = \left[\frac{\dot{E}_h^{k=1}(62) - \dot{E}_h^{k=1}(47)}{62-47} * (1 - N_E)\right] + \left[N_E * \frac{\dot{E}_h^{k=2}(35) - \dot{E}_h^{k=2}(17)}{35-17}\right]$$

Where:

$$N_Q = \frac{\dot{Q}_h^{k=v}(35) - \dot{Q}_h^{k=1}(35)}{\dot{Q}_h^{k=2}(35) - \dot{Q}_h^{k=1}(35)} \text{ and } N_E = \frac{\dot{E}_h^{k=v}(35) - \dot{E}_h^{k=1}(35)}{\dot{E}_h^{k=2}(35) - \dot{E}_h^{k=1}(35)}$$

Use Equations 4.2.4–1 and 4.2.4–2 to this appendix, respectively, to calculate $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$, whether or not the heat pump is a minimum-speed-limiting variable-speed heat pump.

For variable-speed non-communicating coil-only heat pumps, there is no intermediate speed.

4.2.4.1 Steady-State Space Heating Capacity When Operating at Minimum Compressor Speed is Greater Than or Equal to the Building Heating Load at Temperature T_j, $\dot{Q}_h^{k=1}(T_j \geq BL(T_j)$.

Evaluate the Equation 4.2–1 to this appendix quantities:

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

As specified in section 4.2.3.1 of this appendix. Except now use Equations 4.2.4–1 and 4.2.4–2 (for heat pumps that are not minimum-speed-limiting and are not variable-speed non-communicating coil-only heat pumps), Equations 4.2.4–1, 4.2.4–2, 4.2.4–3, and 4.2.4–4 as appropriate (for variable-speed non-communicating coil-only heat pumps), or Equations 4.2.4–5 and 4.2.4.-6 (for minimum-speed-limiting variable-speed heat pumps that are not variable-speed non-communicating coil-only heat pumps) to this appendix to evaluate $\dot{Q}_h^{k=1}(T_j)$ and $\dot{E}_h^{k=1}(T_j)$, respectively, and replace section 4.2.3.1 references to ''low capacity'' and section 3.6.3 of this appendix with ''minimum speed'' and section 3.6.4 of this appendix.

4.2.4.2 Heat Pump Operates at an Intermediate Compressor Speed (k = i) or, for a Variable-Speed Non-Communicating Coil-Only Heat Pump, Cycles Between High and Low Speeds, in Order to Match the Building Heating Load at a Temperature T_j, $\dot{Q}_h^{k=1}(T_j) < \dot{Q}BL(T_j) < \dot{Q}_h^{k=2}(T_j)$.

For units that are not variable-speed non-communicating coil-only heat pumps, calculate:

$\frac{RH(T_j)}{N}$ using Equation 4.2.3-2 while evaluating $\frac{e_h(T_j)}{N}$ using,

$$\frac{e_h(T_j)}{N} = \dot{E}_h^{k=i}(T_j) * \delta(T_j) * \frac{n_j}{N}$$

Where:

$$\dot{E}_h^{k=i}(T_j) = \frac{\dot{Q}_h^{k=i}(T_j)}{3.413\frac{Btu/h}{W} * COP^{k=i}(T_j)}$$

And $\delta(T_j)$ is evaluated using Equation 4.2.3–3, while:

$\dot{Q}_h^{k=i}(T_j) = BL(T_j)$, the space heating capacity delivered by the unit in matching the building load at temperature (T_j), in Btu/h. The matching occurs with the heat pump operating at compressor speed k=i, and

$COP^{k=i}(T_j)$ = the steady-state coefficient of performance of the heat pump when operating at compressor speed k=i and temperature T_j (dimensionless). For each temperature bin where the heat pump operates at an intermediate compressor speed, determine $COP^{k=i}(T_j)$ using the following equations,

For each temperature bin where $\dot{Q}_h^{k=1}(T_j) < BL(T_j) < \dot{Q}_h^{k=v}(T_j)$,

$$COP_h^{k=i}(T_j) = COP_h^{k=1}(T_j) + \frac{COP_h^{k=v}(T_j) - COP_h^{k=1}(T_j)}{Q_h^{k=v}(T_j) - Q_h^{k=1}(T_j)} * (BL(T_j) - Q_h^{k=1}(T_j))$$

For each temperature bin where $\dot{Q}_h^{k=v}(T_j) \leq BL(T_j) < \dot{Q}_h^{k=2}(T_j)$,

$$COP_h^{k=i}(T_j) = COP_h^{k=v}(T_j) + \frac{COP_h^{k=2}(T_j) - COP_h^{k=v}(T_j)}{Q_h^{k=2}(T_j) - Q_h^{k=v}(T_j)} * (BL(T_j) - Q_h^{k=v}(T_j))$$

Where:

$COP_h^{k=1}(T_j)$ is the steady-state coefficient of performance of the heat pump when operating at minimum compressor speed and temperature Tj, dimensionless, calculated using capacity $\dot{Q}_h^{k=1}(T_j)$ calculated using Equation 4.2.4–1 or 4.2.4–3 to this appendix and electrical power consumption $\dot{E}_h^{k=1}(T_j)$ calculated using Equation 4.2.4–2 or 4.2.4–4 to this appendix;

$COP_h^{k=v}(T_j)$ is the steady-state coefficient of performance of the heat pump when operating at intermediate compressor speed and temperature Tj, dimensionless, calculated using capacity $\dot{Q}_h^{k=v}(T_j)$ calculated using Equation 4.2.4–7 to this appendix and electrical power consumption $\dot{E}_h^{k=v}(T_j)$ calculated using Equation 4.2.4–8 to this appendix;

$COP_h^{k=2}(T_j)$ is the steady-state coefficient of performance of the heat pump when operating at full compressor speed and temperature Tj (dimensionless), calculated using capacity $\dot{Q}_h^{k=2}(T_j)$ and electrical power consumption $\dot{E}_h^{k=2}(T_j)$, both calculated as described in section 4.2.4 of this appendix; and

$BL(T_j)$ is the building heating load at temperature T_j, in Btu/h.

For variable-speed non-communicating heat pumps, calculate $\frac{RH(T_j)}{N}$ and $\frac{e_h(T_j)}{N}$ as described in section 4.2.3.2 of this appendix with the understanding that $\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$ correspond to full compressor speed operation, $\dot{Q}_h^{k=1}(T_j)$ and $\dot{E}_h^{k=1}(T_j)$ correspond to minimum compressor speed operation, and all four quantities are derived from the results of the specified section 3.6.4 tests of this appendix.

4.2.4.3 Heat Pump Must Operate Continuously at Full (k=2) Compressor Speed at Temperature T_j, $BL(T_j) \geq \dot{Q}_h^{k=2}(T_j)$. Evaluate the Equation 4.2–1 Quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

as specified in section 4.2.3.4 of this appendix with the understanding that $\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$ correspond to full compressor speed operation and are derived from the results of the specified section 3.6.4 tests of this appendix.

4.2.5 Heat Pumps Having a Heat Comfort Controller

Heat pumps having heat comfort controllers, when set to maintain a typical minimum air delivery temperature, will cause the heat pump condenser to operate less because of a greater contribution from the resistive elements. With a conventional heat pump, resistive heating is only initiated if the heat pump condenser cannot meet the building load (*i.e.*, is delayed until a second stage call from the indoor thermostat). With a heat comfort controller, resistive heating can occur even though the heat pump condenser has adequate capacity to meet the building load (*i.e.*, both on during a first stage call from the indoor thermostat). As a result, the outdoor temperature where the heat pump compressor no longer cycles (*i.e.*, starts to run continuously), will be lower than if the heat pump did not have the heat comfort controller.

4.2.5.1 Blower Coil System Heat Pump Having a Heat Comfort Controller: Additional Steps for Calculating the HSPF2 of a Heat Pump Having a Single-Speed Compressor and Either a Fixed-Speed Indoor Blower or a Constant-Air-Volume-Rate Indoor Blower Installed, or a Single-Speed Coil-Only System Heat Pump

Calculate the space heating capacity and electrical power of the heat pump without the heat comfort controller being active as specified in section 4.2.1 of this appendix (Equations 4.2.1–4 and 4.2.1–5) for each outdoor bin temperature, T_j, that is listed in Table 20. Denote these capacities and electrical powers by using the subscript ''hp'' instead of ''h.'' Calculate the mass flow rate (expressed in pounds-mass of dry air per hour) and the specific heat of the indoor air (expressed in $Btu/lbm_{da} \cdot °F$) from the results of the H1 test using:

$$\dot{m}_{da} = \overline{\dot{V}_s} * 0.075 \frac{lbm_{da}}{ft^3} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v'_n * [1 + W_n]} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v_n} * \frac{60_{min}}{hr}$$

$$C_{p,da} = 0.24 + 0.444 * W_n$$

where $\overline{\dot{V}}_s$, $\overline{\dot{V}}_{mx}$, v'_n (or v_n), and W_n are defined following Equation 3–1. For each outdoor bin temperature listed in Table 20, calculate the nominal temperature of the air leaving the heat pump condenser coil using,

$$T_0(T_j) = 70°\text{F} + \frac{\dot{Q}_{hp}(T_j)}{\dot{m}_{da} * C_{p,da}}$$

Evaluate $e_h(T_j/N)$, $RH(T_j)/N$, $X(T_j)$, PLF_j, and $\delta(T_j)$ as specified in section 4.2.1 of this appendix. For each bin calculation, use the space heating capacity and electrical power from Case 1 or Case 2, whichever applies.

Case 1. For outdoor bin temperatures where $T_o(T_j)$ is equal to or greater than T_{CC} (the maximum supply temperature determined according to section 3.1.10 of this appendix), determine $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ as specified in section 4.2.1 of this appendix (*i.e.*, $\dot{Q}_h(T_j) = \dot{Q}_{hp}(T_j)$ and $\dot{E}_h(T_j) = \dot{E}_{hp}(T_j)$).

NOTE: Even though $T_o(T_j) \geq T_{cc}$, resistive heating may be required; evaluate Equation 4.2.1–2 for all bins.

Case 2. For outdoor bin temperatures where $T_o(T_j) < T_{CC}$, determine $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ using,

$$\dot{Q}_h(T_j) = \dot{Q}_{hp}(T_j) + \dot{Q}_{CC}(T_j) \qquad \dot{E}_h(T_j) = \dot{E}_{hp}(T_j) + \dot{E}_{CC}(T_j)$$

where,

$$\dot{Q}_{CC}(T_j) = \dot{m}_{da} * C_{p,da} * [T_{CC} - T_0(T_j)] \qquad \dot{E}_{CC}(T_j) = \frac{\dot{Q}_{CC}(T_j)}{3.413 \frac{Btu/h}{W}}$$

NOTE: Even though $T_o(T_j) < T_{cc}$, additional resistive heating may be required; evaluate Equation 4.2.1–2 for all bins.

4.2.5.2 Heat Pump Having a Heat Comfort Controller: Additional Steps for Calculating the HSPF2 of a Heat Pump Having a Single-Speed Compressor and a Variable-Speed, Variable-Air-Volume-Rate Indoor Blower

Calculate the space heating capacity and electrical power of the heat pump without the heat comfort controller being active as specified in section 4.2.2 of this appendix (Equations 4.2.2–1 and 4.2.2–2) for each outdoor bin temperature, T_j, that is listed in Table 20. Denote these capacities and electrical powers by using the subscript ''hp'' instead of ''h.'' Calculate the mass flow rate (expressed in pounds-mass of dry air per hour) and the specific heat of the indoor air (expressed in $Btu/lbm_{da} \cdot °F$) from the results of the $H1_2$ test using:

$$\dot{m}_{da} = \overline{\dot{V}_s} * 0.075 \frac{lbm_{da}}{ft^3} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v'_n * [1 + W_n]} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v_n} * \frac{60_{min}}{hr}$$

$$C_{p,da} = 0.24 + 0.444 * W_n$$

where $\overline{\dot{V}}_S$, $\overline{\dot{V}}_{mx}$, v'_n (or v_n), and W_n are defined following Equation 3–1. For each outdoor bin temperature listed in Table 20, calculate the nominal temperature of the air leaving the heat pump condenser coil using,

$$T_0(T_j) = 70°\text{F} + \frac{\dot{Q}_{hp}(T_j)}{\dot{m}_{da} * C_{p,da}}$$

Evaluate $e_h(T_j)/N$, $RH(T_j)/N$, $X(T_j)$, PLF_j, and $\delta(T_j)$ as specified in section 4.2.1 of this appendix with the exception of replacing references to the H1C test and section 3.6.1 of this appendix with the $H1C_1$ test and section 3.6.2 of this appendix. For each bin calculation, use the space heating capacity and electrical power from Case 1 or Case 2, whichever applies.

Case 1. For outdoor bin temperatures where $T_o(T_j)$ is equal to or greater than T_{CC} (the maximum supply temperature determined according to section 3.1.10 of this appendix), determine $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ as specified in section 4.2.2 of this appendix (*i.e.* $\dot{Q}_h(T_j) = \dot{Q}_{hp}(T_j)$ and $\dot{E}_h(T_j) = \dot{E}_{hp}(T_j)$). Note: Even though $T_o(T_j) \geq T_{CC}$, resistive heating may be required; evaluate Equation 4.2.1–2 for all bins.

Case 2. For outdoor bin temperatures where $T_o(T_j) < T_{CC}$, determine $\dot{Q}_h(T_j)$ and $\dot{E}_h(T_j)$ using,

$$\dot{Q}_h(T_j) = \dot{Q}_{hp}(T_j) + \dot{Q}_{CC}(T_j) \qquad \dot{E}_h(T_j) = \dot{E}_{hp}(T_j) + \dot{E}_{CC}(T_j)$$

where,

$$\dot{Q}_{CC}(T_j) = \dot{m}_{da} * C_{p,da} * [T_{CC} - T_0(T_j)] \qquad \dot{E}_{CC}(T_j) = \frac{\dot{Q}_{CC}(T_j)}{3.413 \frac{Btu/h}{W}}$$

NOTE: Even though $T_o(T_j) < T_{cc}$, additional resistive heating may be required; evaluate Equation 4.2.1–2 for all bins.

4.2.5.3 Heat Pumps Having a Heat Comfort Controller: Additional Steps for Calculating the HSPF2 of a Heat Pump Having a Two-Capacity Compressor

Calculate the space heating capacity and electrical power of the heat pump without the heat comfort controller being active as specified in section 4.2.3 of this appendix for both high and low capacity and at each outdoor bin temperature, T_j, that is listed in Table 20. Denote these capacities and electrical powers by using the subscript ''hp'' instead of ''h.'' For the low capacity case, calculate the mass flow rate (expressed in pounds-mass of dry air per hour) and the specific heat of the indoor air (expressed in $Btu/lbm_{da} \cdot °F$) from the results of the $H1_1$ test using:

$$\dot{m}_{da}^{k=1} = \overline{\dot{V}_s} * 0.075 \frac{lbm_{da}}{ft^3} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v_n' * [1 + W_n]} * \frac{60_{min}}{hr} = \frac{\overline{\dot{V}}_{mx}}{v_n} * \frac{60_{min}}{hr}$$

$$C_{p,da}^{k=1} = 0.24 + 0.444 * W_n$$

where $\overline{\dot{V}}_s$, $\overline{\dot{V}}_{mx}$, v'_n (or v_n), and W_n are defined following Equation 3–1. For each outdoor bin temperature listed in Table 20, calculate the nominal temperature of the air leaving the heat pump condenser coil when operating at low capacity using,

$$T_0^{k=1}(T_j) = 70°\text{F} + \frac{\dot{Q}_{hp}^{k=1}(T_j)}{\dot{m}_{da}^{k=1} * C_{p,da}^{k=1}}$$

Repeat the above calculations to determine the mass flow rate ($\dot{m}_{da}^{k=2}$) and the specific heat of the indoor air ($C_{p,da}^{k=2}$) when operating at high capacity by using the results of the $H1_2$ test. For each outdoor bin temperature listed in Table 20, calculate the nominal temperature of the air leaving the heat pump condenser coil when operating at high capacity using,

$$T_0^{k=2}(T_j) = 70°\text{F} + \frac{\dot{Q}_{hp}^{k=2}(T_j)}{\dot{m}_{da}^{k=2} * C_{p,da}^{k=2}}$$

Evaluate $e_h(T_j)/N$, $RH(T_j)/N$, $X^{k=1}(T_j)$, and/or $X^{k=2}(T_j)$, PLF_j, and $\delta'(T_j)$ or $\delta''(T_j)$ as specified in section 4.2.3.1. 4.2.3.2, 4.2.3.3, or 4.2.3.4 of this appendix, whichever applies, for each temperature bin. To evaluate these quantities, use the low-capacity space heating capacity and the low-capacity electrical power from Case 1 or Case 2, whichever applies; use the high-capacity space heating capacity and the high-capacity electrical power from Case 3 or Case 4, whichever applies.

Case 1. For outdoor bin temperatures where $T_o^{k=1}(T_j)$ is equal to or greater than T_{CC} (the maximum supply temperature determined according to section 3.1.10 of this appendix), determine $\dot{Q}_h^{k=1}(T_j)$ and $\dot{E}_h^{k=1}(T_j)$ as specified in section 4.2.3 of this appendix (*i.e.*, $\dot{Q}_h^{k=1}(T_j) = \dot{Q}_{hp}^{k=1}(T_j)$ and $\dot{E}_h^{k=1}(T_j) = \dot{E}_{hp}^{k=1}(T_j)$).

NOTE: Even though $T_o^{k=1}(T_j) \geq T_{CC}$, resistive heating may be required; evaluate $RH(T_j)/N$ for all bins.

Case 2. For outdoor bin temperatures where $T_o^{k=1}(T_j) < T_{CC}$, determine $\dot{Q}_h^{k=1}(T_j)$ and $\dot{E}_h^{k=1}(T_j)$ using,

$$\dot{Q}_h^{k=1}(T_j) = \dot{Q}_{hp}^{k=1}(T_j) + \dot{Q}_{CC}^{k=1}(T_j) \quad \dot{E}_h^{k=1}(T_j) = \dot{E}_{hp}^{k=1}(T_j) + \dot{E}_{CC}^{k=1}(T_j)$$

where,

$$\dot{Q}_{CC}^{k=1}(T_j) = \dot{m}_{da}^{k=1} * C_{p,da}^{k=1} * [T_{CC} - T_0^{k=1}(T_j)] \qquad \dot{E}_{CC}^{k=1}(T_j) = \frac{\dot{Q}_{CC}^{k=1}(T_j)}{3.413 \frac{Btu/h}{W}}$$

NOTE: Even though $T_o^{k=1}(T_j) \geq T_{cc}$, additional resistive heating may be required; evaluate $RH(T_j)/N$ for all bins.

Case 3. For outdoor bin temperatures where $T_o^{k=2}(T_j)$ is equal to or greater than T_{CC}, determine $\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$ as specified in section 4.2.3 of this appendix (*i.e.*, $\dot{Q}_h^{k=2}(T_j) = \dot{Q}_{hp}^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j) = \dot{E}_{hp}^{k=2}(T_j)$).

NOTE: Even though $T_o^{k=2}(T_j) < T_{CC}$, resistive heating may be required; evaluate $RH(T_j)/N$ for all bins.

Case 4. For outdoor bin temperatures where $T_o^{k=2}(T_j) < T_{CC}$, determine $\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$ using,

$$\dot{Q}_h^{k=2}(T_j) = \dot{Q}_{hp}^{k=2}(T_j) + \dot{Q}_{CC}^{k=2}(T_j)\ \dot{E}_h^{k=2}(T_j) = \dot{E}_{hp}^{k=2}(T_j) + \dot{E}_{CC}^{k=2}(T_j)$$

where,

$$\dot{Q}_{CC}^{k=2}(T_j) = \dot{m}_{da}^{k=2} * C_{p,da}^{k=2} * [T_{CC} - T_0^{k=2}(T_j)] \qquad \dot{E}_{CC}^{k=2}(T_j) = \frac{\dot{Q}_{CC}^{k=2}(T_j)}{3.413\frac{Btu/h}{W}}$$

NOTE: Even though $T_o^{k=2}(T_j)$ T_{cc}, additional resistive heating may be required; evaluate $RH(T_j)/N$ for all bins.

4.2.5.4 Heat Pumps Having a Heat Comfort Controller: Additional Steps for Calculating the HSPF2 of a Heat Pump Having a Variable-Speed Compressor [Reserved]

4.2.6 Additional Steps for Calculating the HSPF2 of a Heat Pump Having a Triple-Capacity Compressor

The only triple-capacity heat pumps covered are triple-capacity, northern heat pumps. For such heat pumps, the calculation of the Eq. 4.2–1 quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

differ depending on whether the heat pump would cycle on and off at low capacity (section 4.2.6.1 of this appendix), cycle on and off at high capacity (section 4.2.6.2 of this appendix), cycle on and off at booster capacity (section 4.2.6.3 of this appendix), cycle between low and high capacity (section 4.2.6.4 of this appendix), cycle between high and booster capacity (section 4.2.6.5 of this appendix), operate continuously at low capacity (section 4.2.6.6 of this appendix), operate continuously at high capacity (section 4.2.6.7 of this appendix), operate continuously at booster capacity (section 4.2.6.8 of this appendix), or heat solely using resistive heating (also section 4.2.6.8 of this appendix) in responding to the building load. As applicable, the manufacturer must supply information regarding the outdoor temperature range at which each stage of compressor capacity is active. As an informative example, data may be submitted in this manner: At the low (k=1) compressor capacity, the outdoor temperature range of operation is 40 °F ≤ T ≤ 65 °F; At the high (k=2) compressor capacity, the outdoor temperature range of operation is 20 °F ≤ T ≤ 50 °F; At the booster (k=3) compressor capacity, the outdoor temperature range of operation is −20 °F ≤ T ≤ 30 °F.

a. Evaluate the space heating capacity and electrical power consumption of the heat pump when operating at low compressor capacity and outdoor temperature T_j using the equations given in section 4.2.3 of this appendix for $\dot{Q}_h^{k=1}(T_j)$ and $\dot{E}_h^{k=1}(T_j)$) In evaluating the section 4.2.3 equations, Determine $\dot{Q}_h^{k=1}(62)$ and $\dot{E}_h^{k=1}(62)$ from the $H0_1$ test, $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ from the $H1_1$ test, and $\dot{Q}_h^{k=2}(47)$ and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test. Calculate all four quantities as specified in section 3.7 of this appendix.

If, in accordance with section 3.6.6 of this appendix, the $H3_1$ test is conducted, calculate $\dot{Q}_h^{k=1}(17)$ and $\dot{E}_h^{k=1}(17)$ as specified in section 3.10 of this appendix and determine $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ as specified in section 3.6.6 of this appendix.

b. Evaluate the space heating capacity and electrical power consumption ($\dot{Q}_h^{k=2}(T_j)$ and $\dot{E}_h^{k=2}(T_j)$) of the heat pump when operating at high compressor capacity and outdoor temperature Tj by solving Equations 4.2.2–3 and 4.2.2–4, respectively, for k=2. Determine $\dot{Q}_h^{k=1}(62)$ and $\dot{E}_h^{k=1}(62)$ from the $H0_1$ test, $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ from the $H1_1$ test, and $\dot{Q}_h^{k=2}(47)$ and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test, evaluated as specified in section 3.7 of this appendix. Determine the equation input for $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ from the $H2_2$ test evaluated as specified in section 3.9.1 of this appendix. Also, determine $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test, evaluated as specified in section 3.10 of this appendix.

c. Evaluate the space heating capacity and electrical power consumption of the heat pump when operating at booster compressor capacity and outdoor temperature T_j using

$$\dot{Q}_h^{k=3}(T_j) = \begin{cases} \dot{Q}_h^{k=3}(17) + \dfrac{\left[\dot{Q}_h^{k=3}(35) - \dot{Q}_h^{k=3}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} < T_j \leq 45\ °\text{F} \\ \dot{Q}_h^{k=3}(5) + \dfrac{\left[\dot{Q}_h^{k=3}(17) - \dot{Q}_h^{k=3}(5)\right] * (T_j - 5)}{17 - 5}, & if\ T_j \leq 17\ °\text{F} \end{cases}$$

$$\dot{E}_h^{k=3}(T_j) = \begin{cases} \dot{E}_h^{k=3}(17) + \dfrac{\left[\dot{E}_h^{k=3}(35) - \dot{E}_h^{k=3}(17)\right] * (T_j - 17)}{35 - 17}, & if\ 17\ °\text{F} < T_j \leq 45\ °\text{F} \\ \dot{E}_h^{k=3}(5) + \dfrac{\left[\dot{E}_h^{k=3}(17) - \dot{E}_h^{k=3}(5)\right] * (T_j - 5)}{17 - 5}, & if\ T_j \leq 17\ °\text{F} \end{cases}$$

Determine $\dot{Q}_h^{k=3}(17)$ and $\dot{E}_h^{k=3}(17)$ from the $H3_3$ test and determine $\dot{Q}_h^{k=3}(5)$ and $\dot{E}_h^{k=3}(5)$ from the $H4_3$ test. Calculate all four quantities as specified in section 3.10 of this appendix. Determine the equation input for $\dot{Q}_h^{k=3}(35)$ and $\dot{E}_h^{k=3}(35)$ as specified in section 3.6.6 of this appendix.

4.2.6.1 Steady-State Space Heating Capacity When Operating at Low Compressor Capacity Is Greater Than or Equal to the Building Heating Load at Temperature T_j, $\dot{Q}_h^{k=1}(T_j) \geq BL(T_j)$., and the Heat Pump Permits Low Compressor Capacity at T_j. Evaluate the Quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

using Eqs. 4.2.3–1 and 4.2.3–2, respectively. Determine the equation inputs $X^{k=1}(T_j)$, PLF_j, and $\delta'(T_j)$ as specified in section 4.2.3.1. In calculating the part load factor, PLF_j, use the low-capacity cyclic-degradation coefficient $C_D{}^h$, [or equivalently, $C_D{}^h(k=1)$] determined in accordance with section 3.6.6 of this appendix.

4.2.6.2 Heat Pump Only Operates at High (k=2) Compressor Capacity at Temperature T_j and Its Capacity Is Greater Than or Equal to the Building Heating Load, $BL(T_j) \leq \dot{Q}_h^{k=2}(T_j)$

Evaluate the quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

as specified in section 4.2.3.3 of this appendix. Determine the equation inputs $X^{k=2}(T_j)$, PLF_j, and $\delta'(T_j)$ as specified in section 4.2.3.3 of this appendix. In calculating the part load factor, PLF_j, use the high-capacity cyclic-degradation coefficient, $C_D{}^h(k=2)$ determined in accordance with section 3.6.6 of this appendix.

4.2.6.3 Heat Pump Only Operates at Booster (k=3) Compressor Capacity at Temperature T_j and its Capacity Is Greater Than or Equal to the Building Heating Load, $BL(T_j) \leq \dot{Q}_h^{k=3}(T_j)$

Calculate $\frac{RH(T_j)}{N}$ and using Eq. 4.2.3-2. Evaluate $\frac{e_h(T_j)}{N}$ using

$$\frac{e_h(T_j)}{N} = \frac{X^{k=3}(T_j) * \dot{E}_h^{k=3}(T_j) * \delta'(T_j)}{PLF_j} * \frac{n_j}{N}$$

where

$$X^{k=3}(T_j) = BL(T_j)/\dot{Q}_h^{k=3}(T_j) \text{ and } PLF_j = 1 - C_D^h(k=3) * [1 - X^{k=3}(T_j)$$

Determine the low temperature cut-out factor, $\delta'(T_j)$, using Eq. 4.2.3–3. Use the booster-capacity cyclic-degradation coefficient, $C_D{}^h(k=3)$ determined in accordance with section 3.6.6 of this appendix.

4.2.6.4 Heat Pump Alternates Between High (k=2) and Low (k=1) Compressor Capacity To Satisfy the Building Heating Load at a Temperature T_j, $\dot{Q}_h^{k=1}(T_j) < BL(T_j) < \dot{Q}_h^{k=2}(T_j)$

Evaluate the quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

as specified in section 4.2.3.2 of this appendix. Determine the equation inputs $X^{k=1}(T_j)$, $X^{k=2}(T_j)$, and $\delta'(T_j)$ as specified in section 4.2.3.2 of this appendix.

4.2.6.5 Heat Pump Alternates Between High (k=2) and Booster (k=3) Compressor Capacity To Satisfy the Building Heating Load at a Temperature T_j, $\dot{Q}_h^{k=2}(T_j) < BL(T_j) < \dot{Q}_h^{k=3}(T_j)$

Calculate $\frac{RH(T_j)}{N}$ and using Eq. 4.2.3-2. Evaluate $\frac{e_h(T_j)}{N}$ using

$$\frac{e_h(T_j)}{N} = [X^{k=2}(T_j) * \dot{E}_h^{k=2}(T_j) + X^{k=3}(T_j) * \dot{E}_h^{k=3}(T_j)] * \delta'(T_j) * \frac{n_j}{N}$$

where:

$$X^{k=2}(T_j) = \frac{\dot{Q}_h^{k=3}(T_j) - BL(T_j)}{\dot{Q}_h^{k=3}(T_j) - \dot{Q}_h^{k=2}(T_j)}$$

and $X^{k=3}(T_j) = 1 - X^{k=2}(T_j)$ = the heating mode, booster capacity load factor for temperature bin j, dimensionless. Determine the low temperature cut-out factor, $\delta'(T_j)$, using Eq. 4.2.3–3.

4.2.6.6 Heat Pump Only Operates at Low (k=1) Capacity at Temperature T_j and Its Capacity Is Less Than the Building Heating Load, $BL(T_j) > \dot{Q}_h^{k=1}(T_j)$

$$\frac{e_h(T_j)}{N} = \dot{E}_h^{k=1}(T_j) * \delta'(T_j) * \frac{n_j}{N} \quad \text{and} \frac{RH(T_j)}{N} = \frac{BL(T_j) - [\dot{Q}_h^{k=1}(T_j) * \delta'(T_j)]}{3.413\frac{Btu/h}{W}} * \frac{n_j}{N}$$

where the low temperature cut-out factor, $\delta'(T_j)$, is calculated using Eq. 4.2.3–3.

4.2.6.7 Heat Pump Only Operates at High (k=2) Capacity at Temperature T_j and Its Capacity Is Less Than the Building Heating Load, $BL(T_j) > \dot{Q}_h^{k=2}(T_j)$

Evaluate the quantities

$$\frac{RH(T_j)}{N} \quad \text{and} \quad \frac{e_h(T_j)}{N}$$

as specified in section 4.2.3.4 of this appendix. Calculate $\delta''(T_j)$ using the equation given in section 4.2.3.4 of this appendix.

4.2.6.8 Heat Pump Only Operates at Booster (k=3) Capacity at Temperature T_j and Its Capacity Is Less Than the Building Heating Load, $BL(T_j) > \dot{Q}_h^{k=3}(T_j)$ or the System Converts To Using Only Resistive Heating

$$\frac{e_h(T_j)}{N} = \dot{E}_h^{k=3}(T_j) * \delta'(T_j) * \frac{n_j}{N} \quad \text{and} \quad \frac{RH(T_j)}{N} = \frac{BL(T_j) - [\dot{Q}_h^{k=3}(T_j) * \delta'(T_j)]}{3.413\frac{Btu/h}{W}} * \frac{n_j}{N}$$

where $\delta''(T_j)$ is calculated as specified in section 4.2.3.4 of this appendix if the heat pump is operating at its booster compressor capacity. If the heat pump system converts to using only resistive heating at outdoor temperature T_j, set $\delta'(T_j)$ equal to zero.

4.2.7 Additional Steps for Calculating the HSPF2 of a Heat Pump Having a Single Indoor Unit With Multiple Indoor Blowers. The Calculation of the Eq. 4.2–1 Quantities $e_h(T_j)/N$ and $RH(T_j)/N$ Are Evaluated as Specified in the Applicable Subsection

4.2.7.1 For Multiple Indoor Blower Heat Pumps That Are Connected to a Singular, Single-Speed Outdoor Unit

a. Calculate the space heating capacity, $\dot{Q}_h^{k=1}$ (Tj), and electrical power consumption, $\dot{E}_h^{k=1}$ (Tj), of the heat pump when operating at the heating minimum air volume rate and outdoor temperature T_j using Eqs. 4.2.2–3 and 4.2.2–4, respectively. Use these same equations to calculate the space heating capacity, $\dot{Q}_h^{k=2}$ (Tj) and electrical power consumption, $\dot{E}_h^{k=2}$ (Tj), of the test unit when operating at the heating full-load air volume rate and outdoor temperature T_j. In evaluating Eqs. 4.2.2–3 and 4.2.2– 4, determine the quantities $\dot{Q}_h^{k=1}(47)$ and $\dot{E}_h^{k=1}(47)$ from the $H1_1$ test; determine $\dot{Q}_h^{k=2}(47)$ and $\dot{E}_h^{k=2}(47)$ from the $H1_2$ test. Evaluate all four quantities according to section 3.7 of this appendix. Determine the quantities $\dot{Q}_h^{k=1}(35)$ and $\dot{E}_h^{k=1}(35)$ as specified in section 3.6.2 of this appendix. Determine $\dot{Q}_h^{k=2}(35)$ and $\dot{E}_h^{k=2}(35)$ from the $H2_2$ frost accumulation test as calculated according to section 3.9.1 of this appendix. Determine the quantities $\dot{Q}_h^{k=1}(17)$ and $\dot{E}_h^{k=1}(17)$ from the $H3_1$ test, and $\dot{Q}_h^{k=2}(17)$ and $\dot{E}_h^{k=2}(17)$ from the $H3_2$ test. Evaluate all four quantities according to section 3.10 of this appendix. Refer to section 3.6.2 and Table 12 of this appendix for additional information on the referenced laboratory tests.

b. Determine the heating mode cyclic degradation coefficient, C_D^h, as per sections 3.6.2 and 3.8 to 3.8.1 of this appendix. Assign this same value to $C_D^h(k = 2)$.

c. Except for using the above values of $\dot{Q}_h^{k=1}(Tj)$, $\dot{E}_h^{k=1}(Tj)$, $\dot{Q}_h^{k=2}(Tj)$, $\dot{E}_h^{k=2}(Tj)$, C_D^h, and $C_D^h(k = 2)$, calculate the quantities $e_h(T_j)/N$ as specified in section 4.2.3.1 of this appendix for cases where $\dot{Q}_h^{k=1}(Tj) \geq BL(T_j)$. For all other outdoor bin temperatures, T_j, calculate $e_h(Tj)/N$ and $RH_h(Tj)/N$ as specified in section 4.2.3.3 of this appendix if $\dot{Q}_h^{k=2}(Tj) > BL(Tj)$ or as specified in section 4.2.3.4 of this appendix if $\dot{Q}_h^{k=2}(Tj) \leq BL(T_j)$.

4.2.7.2 For Multiple Indoor Blower Heat Pumps Connected to Either a Single Outdoor Unit With a Two-Capacity Compressor or to Two Separate but Identical Model Single-Speed Outdoor Units. Calculate the Quantities $e_h(T_j)/N$ and $RH(T_j)/N$ as Specified in Section 4.2.3 of This Appendix

4.3 Calculations of Off-Mode Power Consumption

For central air conditioners and heat pumps with a cooling capacity of: Less than 36,000 Btu/h, determine the off mode represented value, $P_{W,OFF}$, with the following equation:

$$P_{W,OFF} = \frac{P1 + P2}{2};$$

greater than or equal to 36,000 Btu/h, calculate the capacity scaling factor according to:

$$F_{scale} = \frac{\dot{Q}_C(95)}{36{,}000},$$

where, $\dot{Q}_C(95)$ is the total cooling capacity at the A or A_2 test condition, and determine the off mode represented value, $P_{W,OFF}$, with the following equation:

$$P_{W,OFF} = \frac{P1 + P2}{2 \times F_{scale}};$$

4.4 Rounding of SEER2 and HSPF2 for Reporting Purposes

After calculating SEER2 according to section 4.1 of this appendix and HSPF2 according to section 4.2 of this appendix round the values off as specified per §430.23(m) of title 10 of the Code of Federal Regulations.

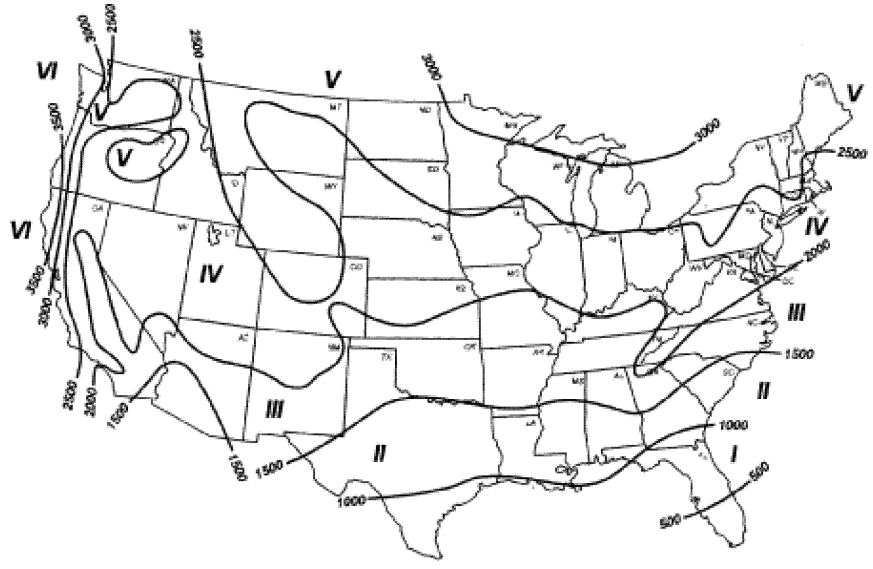


Figure 1—Climatic Regions I through VI for the United States

TABLE 21—REPRESENTATIVE COOLING AND HEATING LOAD HOURS FOR EACH GENERALIZED CLIMATIC REGION

Climatic region	Cooling load hours CLH_R	Heating load hours HLH_R
I	2,400	493
II	1,800	857
III	1,200	1,247
IV	800	1,701
Rating Values	1,000	1,572
V	400	2,202
VI	200	1,842

4.5 Calculations of the SHR, Which Should Be Computed for Different Equipment Configurations and Test Conditions Specified in Table 22.

TABLE 22—APPLICABLE TEST CONDITIONS FOR CALCULATION OF THE SENSIBLE HEAT RATIO

Equipment configuration	Reference table number of Appendix M	SHR computation with results from	Computed values
Units Having a Single-Speed Compressor and a Fixed-Speed Indoor Blower, a Constant Air Volume Rate Indoor Blower, or Single-Speed Coil-Only.	4	B Test	SHR(B).
Units Having a Single-Speed Compressor That Meet the section 3.2.2.1 Indoor Unit Requirements.	5	B2 and B1 Tests	SHR(B1), SHR(B2).
Units Having a Two-Capacity Compressor	6	B2 and B1 Tests	SHR(B1), SHR(B2).
Units Having a Variable-Speed Compressor	7	B2 and B1 Tests	SHR(B1), SHR(B2).

The SHR is defined and calculated as follows:

$$SHR = \frac{Sensible\ Cooling\ Capacity}{Total\ Cooling\ Capacity}$$

$$= \frac{\dot{Q}_{sc}^{k}(T)}{\dot{Q}_{c}^{k}(T)}$$

Where both the total and sensible cooling capacities are determined from the same cooling mode test and calculated from data collected over the same 30-minute data collection interval.

4.6 Calculations of the Energy Efficiency Ratio (EER)

Calculate the energy efficiency ratio using,

$$EER = \frac{Total\ Cooling\ Capacity}{Total\ Electrical\ Power\ Consumption}$$

$$= \frac{\dot{Q}_{c}^{k}(T)}{\dot{E}_{c}^{k}(T)}$$

where $\dot{Q}_{c}^{k}(T)$ and $\dot{E}_{c}^{k}(T)$ are the space cooling capacity and electrical power consumption determined from the 30-minute data collection interval of the same steady-state wet coil cooling mode test and calculated as specified in section 3.3 of this appendix. Add the letter identification for each steady-state test as a subscript (*e.g.*, EER_{A_2}) to differentiate among the resulting EER values. The represented value of EER is determined from the A or A_2 test, whichever is applicable. The represented value of EER determined in accordance with this appendix is called EER2.

[82 FR 1533, Jan. 5, 2017, as amended at 86 FR 68394, Dec. 2, 2021; 87 FR 64588, Oct. 25, 2022; 87 FR 66935, Nov. 7, 2022]

APPENDIX N TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF CONSUMER FURNACES OTHER THAN BOILERS

0. Incorporation by Reference

DOE incorporated by reference in §430.3, the entire standards for ASTM D2156R13 and IEC 62301. DOE also incorporated selected provisions of ASHRAE 103–1993.

1. *Scope.* The scope of this appendix is as specified in section 2 of ASHRAE 103–1993 as it pertains to furnaces other than low pressure steam or hot water boilers or to electric boilers. Low pressure steam or hot water boilers and electric boilers are addressed in appendix EE of this subpart.

2. *Definitions.* Definitions include those specified in section 3 of ASHRAE 103–1993 and the following additional and modified definitions.

Active mode means the condition in which the furnace is connected to the power source, and at least one of the burner, electric resistance elements, or any electrical auxiliaries such as blowers, are activated.

Control means a device used to regulate the operation of a piece of equipment and the supply of fuel, electricity, air, or water.

Draft inducer means a fan incorporated in the furnace that either draws or forces air into the combustion chamber.

Gas valve means an automatic or semi-automatic device consisting essentially of a valve and operator that controls the gas supply to the burner(s) during normal operation of an appliance. The operator may be actuated by application of gas pressure on a flexible diaphragm, by electrical means, by mechanical means or by other means.

Installation and operation (I&O) manual means instructions for installing, commissioning, and operating the furnace, which are supplied with the product when shipped by the manufacturer.

Isolated combustion system means a system where a unit is installed within the structure, but isolated from the heated space. A portion of the jacket heat from the unit is lost, and air for ventilation, combustion and draft control comes from outside the heated space.

Multi-position furnace means a furnace that can be installed in more than one airflow configuration (*i.e.*, upflow or horizontal; downflow or horizontal; upflow or downflow; and upflow, or downflow, or horizontal).

Off mode means a mode in which the furnace is connected to a mains power source and is not providing any active mode or standby mode function, and where the mode may persist for an indefinite time. The existence of an off switch in off position (a disconnected circuit) is included within the classification of off mode.

Off switch means the switch on the furnace that, when activated, results in a measurable change in energy consumption between the standby and off modes.

Oil control valve means an automatically or manually operated device consisting of an oil valve for controlling the fuel supply to a burner to regulate burner input.

Standby mode means any mode in which the furnace is connected to a mains power source and offers one or more of the following space heating functions that may persist:

(a) Activation of other modes (including activation or deactivation of active mode) by remote switch (including thermostat or remote control), internal or external sensors, and/or timer; and

(b) Continuous functions, including information or status displays or sensor-based functions.

Thermal stack damper means a type of stack damper that relies exclusively upon the changes in temperature in the stack gases to open or close the damper.

3. *Classifications.* Classifications are as specified in section 4 of ASHRAE 103–1993 for furnaces.

4. *Requirements.* Requirements are as specified in section 5 of ASHRAE 103–1993 for furnaces.

5. *Instruments.* Instruments must be as specified in section 6 of ASHRAE 103–1993.

6. *Apparatus.* The apparatus used in conjunction with the furnace during the testing must be as specified in section 7 of ASHRAE 103–1993 (except for the excluded sub-sections as enumerated at §430.3(g)(15)); and as specified in sections 6.1 through 6.5 of this appendix.

6.1 *General.*

(a) Install the furnace in the test room in accordance with the I&O manual, as defined in section 2.6 of this appendix, except that if provisions within this appendix are specified, then the provisions herein drafted and prescribed by DOE govern. If the I&O manual and any additional provisions of this appendix are not sufficient for testing a furnace, the manufacturer must request a waiver from the test procedure pursuant to §430.27.

(b) If the I&O manual indicates the unit should not be installed with a return duct, then the return (inlet) duct specified in section 7.2.1 of ASHRAE 103–1993 is not required.

(c) Test multi-position furnaces in the least efficient configuration. Testing of multi-position furnaces in other configurations is permitted if energy use or efficiency is represented pursuant to the requirements in 10 CFR part 429.

(d) The apparatuses described in section 6 of this appendix are used in conjunction with

the furnace during testing. Each piece of apparatus shall conform to material and construction specifications listed in this appendix and in ASHRAE 103–1993, and the reference standards cited in this appendix and in ASHRAE 103–1993.

(e) Test rooms containing equipment must have suitable facilities for providing the utilities (including but not limited to environmental controls, applicable measurement equipment, and any other technology or tools) necessary for performance of the test and must be able to maintain conditions within the limits specified in section 6 of this appendix.

6.2 *Forced-air central furnaces (direct vent and direct exhaust).*

(a) Units not equipped with a draft hood or draft diverter must be provided with the minimum-length vent configuration recommended in the I&O manual or a 5-ft flue pipe if there is no recommendation provided in the I&O manual (*see* Figure 4 of ASHRAE 103–1993). For a direct exhaust system, insulate the minimum-length vent configuration or the 5-ft flue pipe with insulation having an R-value not less than 7 and an outer layer of aluminum foil. For a direct vent system, *see* section 7.5 of ASHRAE 103–1993 for insulation requirements.

(b) For units with power burners, cover the flue collection box with insulation having an R-value of not less than 7 and an outer layer of aluminum foil before the cool-down and heat-up tests described in sections 9.5 and 9.6 of ASHRAE 103–1993, respectively. However, do not apply the insulation for the jacket loss test (if conducted) described in section 8.6 of ASHRAE 103–1993 or the steady-state test described in section 9.1 of ASHRAE 103–1993.

(c) For power-vented units, insulate the shroud surrounding the blower impeller with insulation having an R-value of not less than 7 and an outer layer of aluminum foil before the cool-down and heat-up tests described in sections 9.5 and 9.6, respectively, of ASHRAE 103–1993. However, do not apply the insulation for the jacket loss test (if conducted) described in section 8.6 of ASHRAE 103–1993 or the steady-state test described in section 9.1 of ASHRAE 103–1993. Do not insulate the blower motor or block the airflow openings that facilitate the cooling of the combustion blower motor or bearings.

6.3 *Downflow furnaces.* Install an internal section of vent pipe the same size as the flue collar for connecting the flue collar to the top of the unit, if not supplied by the manufacturer. However, do not insulate the internal vent pipe during the jacket loss test (if conducted) described in section 8.6 of ASHRAE 103–1993 or the steady-state test described in section 9.1 of ASHRAE 103–1993. Do not insulate the internal vent pipe before the cool-down and heat-up tests described in sections 9.5 and 9.6, respectively, of ASHRAE 103–1993. If the vent pipe is surrounded by a metal jacket, do not insulate the metal jacket. Install a 5-ft test stack of the same cross-sectional area or perimeter as the vent pipe above the top of the furnace. Tape or seal around the junction connecting the vent pipe and the 5-ft test stack. Insulate the 5-ft test stack with insulation having an R-value not less than 7 and an outer layer of aluminum foil. (*See* Figure 3–E of ASHRAE 103–1993.)

6.4 *Units with draft hoods or draft diverters.* Install the stack damper in accordance with the I&O manual. Install 5 feet of stack above the damper.

(a) For units with an integral draft diverter, cover the 5-ft stack with insulation having an R-value of not less than 7 and an outer layer of aluminum foil.

(b) For units with draft hoods, insulate the flue pipe between the outlet of the furnace and the draft hood with insulation having an R-value of not less than 7 and an outer layer of aluminum foil.

(c) For units with integral draft diverters that are mounted in an exposed position (not inside the overall unit cabinet), cover the diverter boxes (excluding any openings through which draft relief air flows) before the beginning of any test (including jacket loss test) with insulation having an R-value of not less than 7 and an outer layer of aluminum foil.

(d) For units equipped with integral draft diverters that are enclosed within the overall unit cabinet, insulate the draft diverter box with insulation as described in section 6.4.c before the cool-down and heat-up tests described in sections 9.5 and 9.6, respectively, of ASHRAE 103–1993. However, do not apply the insulation for the jacket loss test (if conducted) described in section 8.6 of ASHRAE 103–1993 or the steady-state test described in section 9.1 of ASHRAE 103–1993.

6.5 *Condensate collection.* Attach condensate drain lines to the unit as specified in the I&O manual. Maintain a continuous downward slope of drain lines from the unit. Additional precautions (such as eliminating any line configuration or position that would otherwise restrict or block the flow of condensate or checking to ensure a proper connection with condensate drain spout that allows for unobstructed flow) must be taken to facilitate uninterrupted flow of condensate during the test. Collection containers must be glass or polished stainless steel to facilitate removal of interior deposits. The collection container must have a vent opening to the atmosphere.

7. *Testing conditions.* The testing conditions must be as specified in section 8 of ASHRAE 103–1993 (except for the excluded sub-sections as enumerated at §430.3(g)(15)); and as specified in sections 7.1 to 7.9 of this appendix, respectively.

7.1 *Fuel supply, gas.* In conducting the tests specified herein, gases with characteristics as shown in Table 1 of ASHRAE 103–1993 shall be used. Maintain the gas supply, ahead of all controls for a furnace, at a test pressure between the normal and increased values shown in Table 1 of ASHRAE 103–1993. Maintain the regulator outlet pressure at a level approximating that recommended in the I&O manual, as defined in section 2.6 of this appendix, or, in the absence of such recommendation, to the nominal regulator settings used when the product is shipped by the manufacturer. Use a gas having a specific gravity as shown in Table 1 of ASHRAE 103–1993 and with a higher heating value within ±5% of the higher heating value shown in Table 1 of ASHRAE 103–1993. Determine the actual higher heating value in Btu per standard cubic foot for the gas to be used in the test within an error no greater than 1%.

7.2 *Gas burner.* Adjust the burners of gas-fired furnaces to their maximum Btu input ratings at the normal test pressure specified by section 7.1 of this appendix. Correct the burner input rate to reflect gas characteristics at a temperature of 60 °F and atmospheric pressure of 30 in of Hg and adjust down to within ±2 percent of the hourly Btu nameplate input rating specified by the manufacturer as measured during the steady-state performance test in section 8 of this appendix. Set the primary air shutters in accordance with the I&O manual to give a good flame at this condition. If, however, the setting results in the deposit of carbon on the burners during any test specified herein, the tester shall adjust the shutters and burners until no more carbon is deposited and shall perform the tests again with the new settings (*see* Figure 9 of ASHRAE 103–1993). After the steady-state performance test has been started, do not make additional adjustments to the burners during the required series of performance tests specified in section 9 of ASHRAE 103–1993. If a vent-limiting means is provided on a gas pressure regulator, keep it in place during all tests.

7.3 *Modulating gas burner adjustment at reduced input rate.* For gas-fired furnaces equipped with modulating-type controls, adjust the controls to operate the unit at the nameplate minimum input rate. If the modulating control is of a non-automatic type, adjust the control to the setting recommended in the I&O manual. In the absence of such recommendation, the midpoint setting of the non-automatic control shall be used as the setting for determining the reduced fuel input rate. Start the furnace by turning the safety control valve to the ''ON'' position.

7.4 *Oil burner.* Adjust the burners of oil-fired furnaces to give a CO_2 reading specified in the I&O manual and an hourly Btu input during the steady-state performance test described in section 8 of this appendix. Ensure the hourly BTU input is within ±2% of the normal hourly Btu input rating as specified in the I&O manual. Smoke in the flue may not exceed a No. 1 smoke during the steady-state performance test as measured by the procedure in ASTM D2156R13). Maintain the average draft over the fire and in the flue during the steady-state performance test at the value specified in the I&O manual. Do not allow draft fluctuations exceeding 0.005 in. water. Do not make additional adjustments to the burner during the required series of performance tests. The instruments and measuring apparatus for this test are described in section 6 of this appendix and shown in Figure 8 of ASHRAE 103–1993.

7.5 *Temperature Rise Targets.* Adjust air throughputs to achieve a temperature rise that is the higher of a and b, below, unless c applies. A tolerance of ±2 °F is permitted.

(a) 15 °F less than the nameplate maximum temperature rise or

(b) 15 °F higher than the minimum temperature rise specified in the I&O manual.

(c) A furnace with a non-adjustable air temperature rise range and an automatically controlled airflow that does not permit a temperature rise range of 30 °F or more must be tested at the midpoint of the rise range.

7.6 *Temperature Rise Adjustments.* Establish the temperature rise specified in section 7.5 of this appendix by adjusting the circulating airflow. This adjustment must be accomplished by symmetrically restricting the outlet air duct and varying blower speed selection to obtain the desired temperature rise and minimum external static pressure, as specified in Table 4 of ASHRAE 103–1993. If the required temperature rise cannot be obtained at the minimum specified external static pressure by adjusting blower speed selection and duct outlet restriction, then the following applies.

(a) If the resultant temperature rise is less than the required temperature rise, vary the blower speed by gradually adjusting the blower voltage so as to maintain the minimum external static pressure listed in Table 4 of ASHRAE 103–1993. The airflow restrictions shall then remain unchanged. If static pressure must be varied to prevent unstable blower operation, then increase the static pressure until blower operation is stabilized, except that the static pressure must not exceed the maximum external static pressure as specified by the manufacturer in the I&O manual.

(b) If the resultant temperature rise is greater than the required temperature rise, then the unit can be tested at a higher temperature rise value, but one not greater than nameplate maximum temperature rise. In order not to exceed the maximum temperature rise, the speed of a direct-driven blower may be increased by increasing the circulating air blower motor voltage.

7.7 *Measurement of jacket surface temperature.* Divide the jacket of the furnace into 6-inch squares when practical, and otherwise into 36-square-inch regions comprising 4-inch by 9-inch or 3-inch by 12-inch sections, and determine the surface temperature at the center of each square or section with a surface thermocouple. Record the surface temperature of the 36-square-inch areas in groups where the temperature differential of the 36-square-inch areas is less than 10 °F for temperature up to 100 °F above room temperature, and less than 20 °F for temperatures more than 100 °F above room temperature. For forced-air central furnaces, the circulating air blower compartment is considered as part of the duct system, and no surface temperature measurement of the blower compartment needs to be recorded for the purpose of this test. For downflow furnaces, measure all cabinet surface temperatures of the heat exchanger and combustion section, including the bottom around the outlet duct and the burner door, using the 36-square-inch thermocouple grid. The cabinet surface temperatures around the blower section do not need to be measured (*See* Figure 3–E of ASHRAE 103–1993).

7.8 *Installation of vent system.* Keep the vent or air intake system supplied by the manufacturer in place during all tests. Test units intended for installation with a variety of vent pipe lengths with the minimum vent length as specified in the I&O manual, or a 5-ft. flue pipe if there are no recommendations in the I&O manual. Do not connect a furnace employing a direct vent system to a chimney or induced-draft source. Vent combustion products solely by using the venting incorporated in the furnace and the vent or air intake system supplied by the manufacturer. For units that are not designed to significantly preheat the incoming air, see section 7.4 of this appendix and Figure 4a or 4b of ASHRAE 103–1993. For units that do significantly preheat the incoming air, see Figure 4c or 4d of ASHRAE 103–1993.

7.9 *Additional optional method of testing for determining D_P and D_F for furnaces.* On units whose design is such that there is no measurable airflow through the combustion chamber and heat exchanger when the burner(s) is (are) off as determined by the optional test procedure in section 7.9.1 of this appendix, D_F and D_P may be set equal to 0.05.

7.9.1 *Optional test method for indicating the absence of flow through the heat exchanger.* Manufacturers may use the following test protocol to determine whether air flows through the combustion chamber and heat exchanger when the burner(s) is (are) off. The minimum default draft factor may be used only for units determined pursuant to this protocol to have no airflow through the combustion chamber and heat exchanger.

7.9.1.1 *Test apparatus.* Use a smoke stick that produces smoke that is easily visible and has a density less than or approximately equal to air. Use a smoke stick that produces smoke that is non-toxic to the test personnel and produces gas that is unreactive with the environment in the test chamber.

7.9.1.2 *Test conditions.* Minimize all air currents and drafts in the test chamber, including turning off ventilation if the test chamber is mechanically ventilated. Wait at least two minutes following the termination of the furnace on-cycle before beginning the optional test method for indicating the absence of flow through the heat exchanger.

7.9.1.3 *Location of the test apparatus.* After all air currents and drafts in the test chamber have been eliminated or minimized, position the smoke stick based on the following equipment configuration:

(a) For horizontal combustion air intakes, approximately 4 inches from the vertical plane at the termination of the intake vent and 4 inches below the bottom edge of the combustion air intake; or

(b) for vertical combustion air intakes, approximately 4 inches horizontal from vent perimeter at the termination of the intake vent and 4 inches down (parallel to the vertical axis of the vent).

7.9.1.4 *Duration of test.* Establish the presence of smoke from the smoke stick and then monitor the direction of the smoke flow for no less than 30 seconds.

7.9.1.5 *Test results.* During visual assessment, determine whether there is any draw of smoke into the combustion air intake vent.

(a) If absolutely no smoke is drawn into the combustion air intake, the furnace meets the requirements to allow use of the minimum default draft factor pursuant to section 7.9 of this appendix.

(b) If there is any smoke drawn into the intake, proceed with the methods of testing as prescribed in section 8.8 of ASHRAE 103–1993.

8. *Test procedure.* Conduct testing and measurements as specified in section 9 of ASHRAE 103–1993 (except for the excluded sub-sections as enumerated at §430.3(g)(15)); and as specified in sections 8.1 through 8.10 of this appendix. Section 8.4 of this appendix may be used in lieu of section 9.2 of ASHRAE 103–1993.

8.1 *Fuel input.* For gas units, measure and record the steady-state gas input rate in Btu/hr, including pilot gas, corrected to standard conditions of 60 °F and 30 in. Hg. Use measured values of gas temperature and pressure at the meter and barometric pressure to correct the metered gas flow rate to the above standard conditions. For oil units, measure and record the steady-state fuel input rate.

8.2 *Electrical input.* During the steady-state test, perform a single measurement of all of the electrical power involved in burner operation (PE), including energizing the ignition system, controls, gas valve or oil control valve, and draft inducer, if applicable.

During the steady-state test, perform a single measurement of the electrical power to the circulating air blower (BE).

8.3 *Input to interrupted ignition device.* For burners equipped with an interrupted ignition device, record the nameplate electric power used by the ignition device, PE_{IG}, or record that PE_{IG} = 0.4 kW if no nameplate power input is provided. Record the nameplate ignition device on-time interval, t_{IG}, or, if the nameplate does not provide the ignition device on-time interval, measure the on-time interval with a stopwatch at the beginning of the test, starting when the burner is turned on. Set t_{IG} = 0 and PE_{IG} = 0 if the device on-time interval is less than or equal to 5 seconds after the burner is on.

8.4 *Optional test procedures for condensing furnaces, measurement of condensate during the establishment of steady-state conditions.* For units with step-modulating or two-stage controls, conduct the test at both the maximum and reduced inputs. In lieu of collecting the condensate immediately after the steady state conditions have been reached as required by section 9.2 of ASHRAE 103–1993, condensate may be collected during the establishment of steady state conditions as defined by section 9.1.2.1 of ASHRAE 103–1993. Perform condensate collection for at least 30 minutes. Measure condensate mass immediately at the end of the collection period to prevent evaporation loss from the sample. Record fuel input for the 30-minute condensate collection test period. Observe and record fuel higher heating value (HHV), temperature, and pressures necessary for determining fuel energy input ($Q_{C,SS}$). Measure the fuel quantity and HHV with errors no greater than 1%. The humidity for the room air shall at no time exceed 80%. Determine the mass of condensate for the establishment of steady state conditions ($M_{C,SS}$) in pounds by subtracting the tare container weight from the total container and condensate weight measured at the end of the 30-minute condensate collection test period.

8.5 *Cool-down test for gas- and oil-fueled gravity and forced-air central furnaces without stack dampers.* Turn off the main burner after completing steady-state testing, and measure the flue gas temperature by means of the thermocouple grid described in section 7.6 of ASHRAE 103–1993 at 1.5 minutes ($T_{F,OFF}(t_3)$) and 9 minutes ($T_{F,OFF}(t_4)$) after shutting off the burner. When taking these temperature readings, the integral draft diverter must remain blocked and insulated, and the stack restriction must remain in place. On atmospheric systems with an integral draft diverter or draft hood and equipped with either an electromechanical inlet damper or an electromechanical flue damper that closes within 10 seconds after the burner shuts off to restrict the flow through the heat exchanger in the off-cycle, bypass or adjust the control for the electromechanical damper so that the damper remains open during the cool-down test.

For furnaces that employ post-purge, measure the length of the post-purge period with a stopwatch. Record the time from burner ''OFF'' to combustion blower ''OFF'' (electrically de-energized) as t_P. If the measured t_P is less than or equal to 30 seconds, set t_P at 0 and conduct the cool-down test as if there is no post-purge. If t_P is prescribed by the I&O manual or measured to be greater than 180 seconds, stop the combustion blower at 180 seconds and use that value for t_P. Measure the flue gas temperature by means of the thermocouple grid described in section 7.6 of ASHRAE 103–1993 at the end of the post-purge period, $t_P(T_{F,OFF}(t_P))$, and at the time (1.5 + t_P) minutes ($T_{F,OFF}(t_3)$) and (9.0 + t_P) minutes ($T_{F,OFF}(t_4)$) after the main burner shuts off.

8.6 *Cool-down test for gas- and oil-fueled gravity and forced-air central furnaces without stack dampers and with adjustable fan control.* For a furnace with adjustable fan control, measure the time delay between burner shutdown and blower shutdown, t^+. This time delay, t^+, will be 3.0 minutes for non-condensing furnaces or 1.5 minutes for condensing furnaces or until the supply air temperature drops to a value of 40 °F above the inlet air temperature, whichever results in the longest fan on-time. For a furnace without adjustable fan control or with the type of adjustable fan control whose range of adjustment does not allow for the time delay, t^+, specified above, bypass the fan control and manually control the fan to allow for the appropriate delay time as specified in section 9.5.1.2 of ASHRAE 103–1993. For a furnace that employs a single motor to drive both the power burner and the indoor air circulating blower, the power burner and indoor air circulating blower must be stopped at the same time.

8.7 [Reserved]

8.8 *Calculation options.* The rate of the flue gas mass flow through the furnace and the factors D_P, D_F, and D_S are calculated by the equations in sections 11.6.1, 11.6.2, 11.6.3, 11.6.4, 11.7.1, and 11.7.2 of ASHRAE 103–1993. On units whose design is such that there is no measurable airflow through the combustion chamber and heat exchanger when the burner(s) is (are) off (as determined by the optional test procedure in section 7.9 of this appendix), D_F and D_P may be set equal to 0.05.

8.9 *Optional test procedures for condensing furnaces that have no off-period flue losses.* For units that have applied the test method in section 7.9 of this appendix to determine that no measurable airflow exists through the combustion chamber and heat exchanger during the burner off-period and having post-purge periods of less than 5 seconds, the cool-down and heat-up tests specified in sections 9.5 and 9.6 of ASHRAE 103–1993 may be omitted. In lieu of conducting the cool-down and

heat-up tests, the tester may use the losses determined during the steady-state test described in section 9.1 of ASHRAE 103–1993 when calculating heating seasonal efficiency, $Effy_{HS}$.

8.10 *Measurement of electrical standby and off mode power.*

8.10.1 *Standby power measurement.* With all electrical auxiliaries of the furnace not activated, measure the standby power ($P_{W,SB}$) in accordance with the procedures in IEC 62301, except that section 8.5, *Room Ambient Temperature,* of ASHRAE 103–1993 and the voltage provision of section 8.2.1.4, *Electrical Supply,* of ASHRAE 103–1993 shall apply in lieu of the corresponding provisions of IEC 62301 at section 4.2, *Test room,* and the voltage specification of section 4.3, *Power supply.* Frequency shall be 60Hz. Clarifying further, IEC 62301 section 4.4, *Power measurement instruments,* and Section 5, *Measurements,* apply in lieu of ASHRAE 103–1993 section 6.10, *Energy Flow Rate.* Measure the wattage so that all possible standby mode wattage for the entire appliance is recorded, not just the standby mode wattage of a single auxiliary. Round the recorded standby power ($P_{W,SB}$) to the second decimal place, except for loads greater than or equal to 10W, which must be recorded to at least three significant figures.

8.10.2 *Off mode power measurement.* If the unit is equipped with an off switch or there is an expected difference between off mode power and standby mode power, measure off mode power ($P_{W,OFF}$) in accordance with the standby power procedures in IEC 62301, except that section 8.5, *Room Ambient Temperature,* of ASHRAE 103–1993 and the voltage provision of section 8.2.1.4, *Electrical Supply,* of ASHRAE 103–1993 shall apply in lieu of the corresponding provisions of IEC 62301 at section 4.2, *Test room,* and the voltage specification of section 4.3, *Power supply.* Frequency shall be 60Hz. Clarifying further, IEC 62301 section 4.4, *Power measurement instruments,* and section 5, *Measurements,* apply for this measurement in lieu of ASHRAE 103–1993 section 6.10, *Energy Flow Rate.* Measure the wattage so that all possible off mode wattage for the entire appliance is recorded, not just the off mode wattage of a single auxiliary. If there is no expected difference in off mode power and standby mode power, let $P_{W,OFF} = P_{W,SB}$, in which case no separate measurement of off mode power is necessary. Round the recorded off mode power ($P_{W,OFF}$) to the second decimal place, except for loads greater than or equal to 10W, in which case round the recorded value to at least three significant figures.

9. *Nomenclature.* Nomenclature includes the nomenclature specified in section 10 of ASHRAE 103–1993 and the following additional variables:

Eff_{motor} = Efficiency of power burner motor

PE_{IG} = Electrical power to the interrupted ignition device, kW

$R_{T,a} = R_{T,F}$ if flue gas is measured

$= R_{T,S}$ if stack gas is measured

$R_{T,F}$ = Ratio of combustion air mass flow rate to stoichiometric air mass flow rate

$R_{T,S}$ = Ratio of the sum of combustion air and relief air mass flow rate to stoichiometric air mass flow rate

t_{IG} = Electrical interrupted ignition device on-time, min.

$T_{a,SS,X} = T_{F,SS,X}$ if flue gas temperature is measured, °F

$= T_{S,SS,X}$ if stack gas temperature is measured, °F

y_{IG} = Ratio of electrical interrupted ignition device on-time to average burner on-time

y_P = Ratio of power burner combustion blower on-time to average burner on-time

E_{SO} = Average annual electric standby mode and off mode energy consumption, in kilowatt-hours

$P_{W,OFF}$ = Furnace off mode power, in watts

$P_{W,SB}$ = Furnace standby mode power, in watts

10. *Calculation of derived results from test measurements.* Perform calculations as specified in section 11 of ASHRAE 103–1993 (except for the excluded sub-sections as enumerated at §430.3(g)(15)); and as specified in sections 10.1 through 10.11 and Figure 1 of this appendix.

10.1 *Annual fuel utilization efficiency.* The annual fuel utilization efficiency (AFUE) is as defined in sections 11.2.12 (non-condensing systems), 11.3.12 (condensing systems), 11.4.12 (non-condensing modulating systems) and 11.5.12 (condensing modulating systems) of ASHRAE 103–1993, except for the definition for the term $Effy_{HS}$ in the defining equation for AFUE. $Effy_{HS}$ is defined as:

$Effy_{HS}$ = heating seasonal efficiency as defined in sections 11.2.11 (non-condensing systems), 11.3.11 (condensing systems), 11.4.11 (non-condensing modulating systems) and 11.5.11 (condensing modulating systems) of ASHRAE 103–1993, except that for condensing modulating systems sections 11.5.11.1 and 11.5.11.2 are replaced by sections 10.2 and 10.3 of this appendix. $Effy_{HS}$ is based on the assumptions that all weatherized warm air furnaces are located outdoors and that non-weatherized warm air furnaces are installed as isolated combustion systems.

10.2 *Part-load efficiency at reduced fuel input rate.* If the option in section 8.9 of this appendix is not employed, calculate the part-load efficiency at the reduced fuel input rate, $Effy_{U,R}$, for condensing furnaces equipped with either step-modulating or two-stage controls, expressed as a percent and defined as:

$$Effy_{U,H} = 100 - L_{L,A} + L_G - L_C - C_J L_J - \left[\frac{t_{ON}}{t_{ON} + \left(\frac{Q_P}{Q_{IN}}\right) t_{OFF}}\right](L_{S,ON} + L_{S,OFF} + L_{I,ON} + L_{I,OFF})$$

If the option in section 8.9 of this appendix is employed, calculate $\underline{Effy}_{U,R}$ as follows:

$$Effy_{U,H} = 100 - L_{L,A} + L_G - L_C - C_J L_J - \left[\frac{t_{ON}}{t_{ON} + \left(\frac{Q_P}{Q_{IN}}\right) t_{OFF}}\right](C_S)(L_{S,SS})$$

Where:

$L_{L,A}$ = value as defined in section 11.2.7 of ASHRAE 103–1993,

L_G = value as defined in section 11.3.11.1 of ASHRAE 103–1993, at reduced input rate,

L_C = value as defined in section 11.3.11.2 of ASHRAE 103–1993 at reduced input rate,

L_J = value as defined in section 11.4.8.1.1 of ASHRAE 103–1993 at maximum input rate,

t_{ON} = value as defined in section 11.4.9.11 of ASHRAE 103–1993,

Q_P = pilot fuel input rate determined in accordance with section 9.2 of ASHRAE 103–1993 in Btu/h,

Q_{IN} = value as defined in section 11.4.8.1.1 of ASHRAE 103–1993,

t_{OFF} = value as defined in section 11.4.9.12 of ASHRAE 103–1993 at reduced input rate,

$L_{S,ON}$ = value as defined in section 11.4.10.5 of ASHRAE 103–1993 at reduced input rate,

$L_{S,OFF}$ = value as defined in section 11.4.10.6 of ASHRAE 103–1993 at reduced input rate,

$L_{I,ON}$ = value as defined in section 11.4.10.7 of ASHRAE 103–1993 at reduced input rate,

$L_{I,OFF}$ = value as defined in section 11.4.10.8 of ASHRAE 103–1993 at reduced input rate,

C_J = jacket loss factor and equal to:

= 0.0 for furnaces intended to be installed indoors

= 1.7 for furnaces intended to be installed as isolated combustion systems

= 3.3 for furnaces intended to be installed outdoors

$L_{S,SS}$ = value as defined in section 11.4.6 of ASHRAE 103–1993 at reduced input rate,

C_S = value as defined in section 11.3.10.1 of ASHRAE 103–1993 at reduced input rate.

10.3 *Part-Load Efficiency at Maximum Fuel Input Rate.* If the option in section 8.9 of this appendix is not employed, calculate the part-load efficiency at maximum fuel input rate, $Effy_{U,H}$, for condensing furnaces equipped with two-stage controls, expressed as a percent and defined as:

$$Effy_{U,R} = 100 - L_{L,A} + L_G - L_C - C_J L_J - \left[\frac{t_{ON}}{t_{ON} + \left(\frac{Q_P}{Q_{IN}}\right) t_{OFF}}\right](L_{S,ON} + L_{S,OFF} + L_{I,ON} + L_{I,OFF})$$

If the option in section 8.9 of this appendix is employed, calculate $Effy_{U,H}$ as follows:

$$Effy_{U,R} = 100 - L_{L,A} + L_G - L_C - C_J L_J - \left[\frac{t_{ON}}{t_{ON} + \left(\frac{Q_P}{Q_{IN}}\right) t_{OFF}}\right](C_S)(L_{S,SS})$$

Where:

$L_{L,A}$ = value as defined in section 11.2.7 of ASHRAE 103–1993,

L_G = value as defined in section 11.3.11.1 of ASHRAE 103–1993 at maximum input rate,

L_C = value as defined in section 11.3.11.2 of ASHRAE 103–1993 at maximum input rate,

L_J = value as defined in section 11.4.8.1.1 of ASHRAE 103–1993 at maximum input rate,

t_{ON} = value as defined in section 11.4.9.11 of ASHRAE 103–1993,

Q_P = pilot fuel input rate determined in accordance with section 9.2 of ASHRAE 103–1993 in Btu/h,

Q_{IN} = value as defined in section 11.4.8.1.1 of ASHRAE 103–1993,

t_{OFF} = value as defined in section 11.4.9.12 of ASHRAE 103–1993 at maximum input rate,

$L_{S,ON}$ = value as defined in section 11.4.10.5 of ASHRAE 103–1993 at maximum input rate,

$L_{S,OFF}$ = value as defined in section 11.4.10.6 of ASHRAE 103–1993 at maximum input rate,

$L_{I,ON}$ = value as defined in section 11.4.10.7 of ASHRAE 103–1993 at maximum input rate,

$L_{I,OFF}$ = value as defined in section 11.4.10.8 of ASHRAE 103–1993 at maximum input rate,

C_J = value as defined in section 10.2 of this appendix,

$L_{S,SS}$ = value as defined in section 11.4.6 of ASHRAE 103–1993 at maximum input rate,

C_S = value as defined in section 11.4.10.1 of ASHRAE 103–1993 at maximum input rate.

10.4 *National average burner operating hours, average annual fuel energy consumption, and average annual auxiliary electrical energy consumption for gas or oil furnaces.*

10.4.1 *National average number of burner operating hours.* For furnaces equipped with single-stage controls, the national average number of burner operating hours is defined as:

$BOH_{SS} = 2{,}080\ (0.77)\ (A)\ DHR - 2{,}080\ (B)$

Where:

2,080 = national average heating load hours

0.77 = adjustment factor to adjust the calculated design heating requirement and heating load hours to the actual heating load experienced by the heating system

A = 100,000/[341,200 (y_P PE + y_{IG} PE_{IG} + y BE) + (Q_{IN} − Q_P) $Effy_{HS}$], for forced draft unit, indoors

= 100,000/[341,200 (y_P PE Eff_{motor} + y_{IG} PE_{IG} + y BE) + (Q_{IN} − Q_P) $Effy_{HS}$], for forced draft unit, isolated combustion system,

= 100,000/[341,200 (y_P PE (1 − Eff_{motor}) + y_{IG} PE_{IG} + y BE) + (Q_{IN} − Q_P) $Effy_{HS}$], for induced draft unit, indoors, and

= 100,000/[341,200 (y_{IG} PE_{IG} + y BE) + (Q_{IN} − Q_P) $Effy_{HS}$], for induced draft unit, isolated combustion system.

DHR = typical design heating requirements as listed in Table 8 (in kBtu/h) of ASHRAE 103–1993, using the proper value of Q_{OUT} defined in section 11.2.8.1 of ASHRAE 103–1993.

$B = 2\ Q_P\ (Effy_{HS})\ (A)/100{,}000$

Where:

Eff_{motor} = nameplate power burner motor efficiency provided by the manufacturer,

= 0.50, an assumed default power burner efficiency if not provided by the manufacturer.

100,000 = factor that accounts for percent and kBtu

y_P = ratio of induced or forced draft blower on-time to average burner on-time, as follows:

1 for units without post-purge;

1 + (t_P/3.87) for single stage furnaces with post purge; or

1 + (t_P/10) for two-stage and step modulating furnaces with post purge.

PE = all electrical power related to burner operation at full load steady-state operation, including electrical ignition device if energized, controls, gas valve or oil control valve, and draft inducer, as determined in section 8.2 of this appendix.

y_{IG} = ratio of burner interrupted ignition device on-time to average burner on-time, as follows:

0 for burners not equipped with interrupted ignition device;

(t_{IG}/3.87) for single-stage furnaces; or

(t_{IG}/10) for two-stage and step modulating furnaces;

PE_{IG} = electrical input rate to the interrupted ignition device on burner (if employed), as defined in section 8.3 of this appendix

y = ratio of blower on-time to average burner on-time, as follows:

1 for furnaces without fan delay;

1 + ($t^+ - t^-$)/3.87 for single-stage furnaces with fan delay; or

1 + ($t^+ - t^-$)/10 for two-stage and step modulating furnaces with fan delay.

BE = circulating air fan electrical energy input rate at full-load steady-state operation as defined in section 8.2 of this appendix.

t_P = post-purge time as defined in section 8.5 of this appendix

= 0 if t_P is equal to or less than 30 seconds

t_{IG} = on-time of the burner interrupted ignition device, as defined in section 8.3 of this appendix

Q_{IN} = as defined in section 11.2.8.1 of ASHRAE 103–1993

Q_P = as defined in section 11.2.11 of ASHRAE 103–1993

$Effy_{HS}$ = as defined in section 11.2.11 (non-condensing systems) or section 11.3.11.3 (condensing systems) of ASHRAE 103–1993, percent, and calculated on the basis of:

isolated combustion system installation, for non-weatherized warm air furnaces; or outdoor installation, for furnaces that are weatherized.

2 = ratio of the average length of the heating season in hours to the average heating load hours

t^+ = delay time between burner shutoff and the blower shutoff measured as defined in section 9.5.1.2 of ASHRAE 103–1993

t^- = as defined in section 9.6.1 of ASHRAE 103–1993

10.4.1.1 For furnaces equipped with two stage or step modulating controls the average annual energy used during the heating season, E_M, is defined as:

$E_M = (Q_{IN} - Q_P)\ BOH_{SS} + (8{,}760 - 4{,}600)\ Q_P$

Where:

Q_{IN} = as defined in section 11.4.8.1.1 of ASHRAE 103–1993

Q_P = as defined in section 11.4.12 of ASHRAE 103–1993

BOH_{SS} = as defined in section 10.4.1 of this appendix, in which the weighted $Effy_{HS}$ as defined in section 11.4.11.3 or 11.5.11.3 of ASHRAE 103–1993 is used for calculating the values of A and B, the term DHR is based on the value of Q_{OUT} defined in section 11.4.8.1.1 or 11.5.8.1.1 of ASHRAE 103–1993, and the term ($y_P PE + y_{IG} PE_{IG} + yBE$) in the factor A is increased by the factor R, which is defined as:

R = 2.3 for two stage controls

= 2.3 for step modulating controls when the ratio of minimum-to-maximum output is greater than or equal to 0.5

= 3.0 for step modulating controls when the ratio of minimum-to-maximum output is less than 0.5

A = $100{,}000/[341{,}200\ (y_P\ PE + y_{IG}\ PE_{IG} + y\ BE)\ R + (Q_{IN} - Q_P)\ Effy_{HS}]$, for forced draft unit, indoors

= $100{,}000/[341{,}200\ (y_P\ PE\ Eff_{motor} + y_{IG}\ PE_{IG} + y\ BE)\ R + (Q_{IN} - Q_P)\ Effy_{HS}]$, for forced draft unit, isolated combustion system,

= $100{,}000/[341{,}200\ (y_P\ PE\ (1 - Eff_{motor}) + y_{IG}\ PE_{IG} + y\ BE)\ R + (Q_{IN} - Q_P)\ Effy_{HS}]$, for induced draft unit, indoors, and

= $100{,}000/[341{,}200\ (y_{IG}\ PE_{IG} + y\ BE)\ R + (Q_{IN} - Q_P)\ Effy_{HS}]$, for induced draft unit, isolated combustion system.

Where:

Eff_{motor} = nameplate power burner motor efficiency provided by the manufacturer,

= 0.50, an assumed default power burner efficiency if not provided by the manufacturer.

$Effy_{HS}$ = as defined in section 11.4.11.3 or 11.5.11.3 of ASHRAE 103–1993, and calculated on the basis of:

isolated combustion system installation, for non-weatherized warm air furnaces; or outdoor installation, for furnaces that are weatherized.

8,760 = total number of hours per year

4,600 = as defined in section 11.4.12 of ASHRAE 103–1993

10.4.1.2 For furnaces equipped with two-stage or step-modulating controls, the national average number of burner operating hours at the reduced operating mode (BOH_R) is defined as:

$BOH_R = X_R\ E_M/Q_{IN,R}$

Where:

X_R = as defined in section 11.4.8.7 of ASHRAE 103–1993

E_M = as defined in section 10.4.1.1 of this appendix

$Q_{IN,R}$ = as defined in section 11.4.8.1.2 of ASHRAE 103–1993

10.4.1.3 For furnaces equipped with two-stage controls, the national average number of burner operating hours at the maximum operating mode (BOH_H) is defined as:

$BOH_H = X_H\ E_M/Q_{IN}$

Where:

X_H = as defined in section 11.4.8.6 of ASHRAE 103–1993

E_M = as defined in section 10.4.1.1 of this appendix

Q_{IN} = as defined in section 11.4.8.1.1 of ASHRAE 103–1993

10.4.1.4 For furnaces equipped with step-modulating controls, the national average number of burner operating hours at the modulating operating mode (BOH_M) is defined as:

$BOH_M = X_H\ E_M/Q_{IN,M}$

Where:

X_H = as defined in section 11.4.8.6 of ASHRAE 103–1993

E_M = as defined in section 10.4.1.1 of this appendix

$Q_{IN,M} = Q_{OUT,M}/(Effy_{SS,M}/100)$

$Q_{OUT,M}$ = as defined in section 11.4.8.10 or 11.5.8.10 of ASHRAE 103–1993, as appropriate

$Effy_{SS,M}$ = as defined in section 11.4.8.8 or 11.5.8.8 of ASHRAE 103–1993, as appropriate, in percent

100 = factor that accounts for percent

10.4.2 *Average annual fuel energy consumption for gas or oil fueled furnaces.* For furnaces equipped with single-stage controls, the average annual fuel energy consumption (E_F) is expressed in Btu per year and defined as:

$E_F = BOH_{SS} (Q_{IN} - Q_P) + 8{,}760\ Q_P$

Where:

BOH_{SS} = as defined in section 10.4.1 of this appendix
Q_{IN} = as defined in section 11.2.8.1 of ASHRAE 103–1993
Q_P = as defined in section 11.2.11 of ASHRAE 103–1993
8,760 = as defined in section 10.4.1.1 of this appendix

10.4.2.1 For furnaces equipped with either two-stage or step modulating controls, E_F is defined as:

$E_F = E_M + 4{,}600\ Q_P$

Where:

E_M = as defined in section 10.4.1.1 of this appendix
4,600 = as defined in section 11.4.12 of ASHRAE 103–1993
Q_P = as defined in section 11.2.11 of ASHRAE 103–1993

10.4.2.2 [Reserved]

10.4.3 *Average annual auxiliary electrical energy consumption for gas or oil-fueled furnaces.* For furnaces equipped with single-stage controls, the average annual auxiliary electrical consumption (E_{AE}) is expressed in kilowatt-hours and defined as:

$E_{AE} = BOH_{SS} (y_P\ PE + y_{IG}\ PE_{IG} + yBE) + E_{SO}$

Where:

BOH_{SS} = as defined in section 10.4.1 of this appendix
y_P = as defined in section 10.4.1 of this appendix
PE = as defined in section 10.4.1 of this appendix
y_{IG} = as defined in section 10.4.1 of this appendix
PE_{IG} = as defined in section 10.4.1 of this appendix
y = as defined in section 10.4.1 of this appendix
BE = as defined in section 10.4.1 of this appendix
E_{SO} = as defined in section 10.11 of this appendix

10.4.3.1 For furnaces equipped with two-stage controls, E_{AE} is defined as:

$E_{AE} = BOH_R (y_P\ PE_R + y_{IG}\ PE_{IG} + yBE_R) + BOH_H (y_P\ PE_H + y_{IG}\ PE_{IG} + y\ BE_H) + E_{SO}$

Where:

BOH_R = as defined in section 10.4.1.2 of this appendix
y_P = as defined in section 10.4.1 of this appendix
PE_R = as defined in section 8.2 of this appendix and measured at the reduced fuel input rate
y_{IG} = as defined in section 10.4.1 of this appendix
PE_{IG} = as defined in section 10.4.1 of this appendix
y = as defined in section 10.4.1 of this appendix
BE_R = as defined in section 8.2 of this appendix and measured at the reduced fuel input rate
BOH_H = as defined in section 10.4.1.3 of this appendix
PE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
BE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
E_{SO} = as defined in section 10.11 of this appendix

10.4.3.2 For furnaces equipped with step-modulating controls, E_{AE} is defined as:

$E_{AE} = BOH_R (y_P\ PE_R + y_{IG}\ PE_{IG} + y\ BE_R) + BOH_M (y_P\ PE_H + y_{IG}\ PE_{IG} + y\ BE_H) + E_{SO}$

Where:

BOH_R = as defined in section 10.4.1.2 of this appendix
y_P = as defined in section 10.4.1 of this appendix
PE_R = as defined in section 8.2 of this appendix and measured at the reduced fuel input rate
y_{IG} = as defined in section 10.4.1 of this appendix
PE_{IG} = as defined in section 10.4.1 of this appendix
y = as defined in section 10.4.1 of this appendix
BE_R = as defined in section 8.2 of this appendix and measured at the reduced fuel input rate
BOH_M = as defined in 10.4.1.4 of this appendix
PE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
BE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
E_{SO} = as defined in section 10.11 of this appendix

10.5 *Average annual electric energy consumption for electric furnaces.* For electric furnaces, the average annual electrical energy consumption (E_E) is expressed in kilowatt-hours and defined as:

$E_E = 100\ (2{,}080)\ (0.77)\ DHR/(3.412\ AFUE) + E_{SO}$

Where:

100 = to express a percent as a decimal
2,080 = as defined in section 10.4.1 of this appendix
0.77 = as defined in section 10.4.1 of this appendix
DHR = as defined in section 10.4.1 of this appendix
3.412 = conversion factor from watt-hours to Btu
AFUE = as defined in section 11.1 of ASHRAE 103–1993, in percent, and calculated on the basis of:
isolated combustion system installation, for non-weatherized warm air furnaces; or
outdoor installation, for furnaces that are weatherized.
E_{SO} = as defined in section 10.11 of this appendix.

10.6 *Energy factor.*

10.6.1 *Energy factor for gas or oil furnaces.* Calculate the energy factor, EF, for gas or oil furnaces defined as, in percent:

$EF = (E_F - 4{,}600\ (Q_P))(Effy_{HS})/(E_F + 3{,}412\ (E_{AE}))$

Where:

E_F = average annual fuel consumption as defined in section 10.4.2 of this appendix
4,600 = as defined in section 11.4.12 of ASHRAE 103–1993
Q_P = pilot fuel input rate determined in accordance with section 9.2 of ASHRAE 103–1993 in Btu/h
$Effy_{HS}$ = annual fuel utilization efficiency as defined in sections 11.2.11, 11.3.11, 11.4.11 or 11.5.11 of ASHRAE 103–1993, in percent, and calculated on the basis of:
isolated combustion system installation, for non-weatherized warm air furnaces; or
outdoor installation, for furnaces that are weatherized.
3,412 = conversion factor from kW to Btu/h
E_{AE} = as defined in section 10.4.3 of this appendix

10.6.2 *Energy factor for electric furnaces.* The energy factor, EF, for electric furnaces is defined as:

EF = AFUE

Where:

AFUE = annual fuel utilization efficiency as defined in section 10.4.3 of this appendix, in percent

10.7 *Average annual energy consumption for furnaces located in a different geographic region of the United States and in buildings with different design heating requirements.*

10.7.1 *Average annual fuel energy consumption for gas or oil-fueled furnaces located in a different geographic region of the United States and in buildings with different design heating requirements.* For gas or oil-fueled furnaces, the average annual fuel energy consumption for a specific geographic region and a specific typical design heating requirement (E_{FR}) is expressed in Btu per year and defined as:

$E_{FR} = (E_F - 8{,}760\ Q_P)\ (HLH/2{,}080) + 8{,}760\ Q_P$

Where:

E_F = as defined in section 10.4.2 of this appendix
8,760 = as defined in section 10.4.1.1 of this appendix
Q_P = as defined in section 11.2.11 of ASHRAE 103–1993
HLH = heating load hours for a specific geographic region determined from the heating load hour map in Figure 1 of this appendix
2,080 = as defined in section 10.4.1 of this appendix

10.7.2 *Average annual auxiliary electrical energy consumption for gas or oil-fueled furnaces located in a different geographic region of the United States and in buildings with different design heating requirements.* For gas or oil-fueled furnaces, the average annual auxiliary electrical energy consumption for a specific geographic region and a specific typical design heating requirement (E_{AER}) is expressed in kilowatt-hours and defined as:

$E_{AER} = (E_{AE} - E_{SO})\ (HLH/2080) + E_{SOR}$

Where:

E_{AE} = as defined in section 10.4.3 of this appendix
E_{SO} = as defined in section 10.11 of this appendix
HLH = as defined in section 10.7.1 of this appendix
2,080 = as defined in section 10.4.1 of this appendix
E_{SOR} = as defined in section 10.7.3 of this appendix.

10.7.3 *Average annual electric energy consumption for electric furnaces located in a different geographic region of the United States and in buildings with different design heating requirements.* For electric furnaces, the average annual electric energy consumption for a specific geographic region and a specific typical design heating requirement (E_{ER}) is expressed in kilowatt-hours and defined as:

$E_{ER} = 100\ (0.77)\ DHR\ HLH/(3.412\ AFUE) + E_{SOR}$

Where:

100 = as defined in section 10.4.3 of this appendix

0.77 = as defined in section 10.4.1 of this appendix

DHR = as defined in section 10.4.1 of this appendix

HLH = as defined in section 10.7.1 of this appendix

3.412 = as defined in section 10.4.3 of this appendix

AFUE = as defined in section 10.4.3 of this appendix

E_{SOR} = E_{SO} as defined in section 10.11 of this appendix, except that in the equation for E_{SO}, the term BOH is multiplied by the expression (HLH/2080) to get the appropriate regional accounting of standby mode and off mode loss.

10.8 *Annual energy consumption for mobile home furnaces*

10.8.1 *National average number of burner operating hours for mobile home furnaces (BOH_{SS}).* BOH_{SS} is the same as in section 10.4.1 of this appendix, except that the value of $Effy_{HS}$ in the calculation of the burner operating hours, BOH_{SS}, is calculated on the basis of a direct vent unit with system number 9 or 10.

10.8.2 *Average annual fuel energy for mobile home furnaces (E_F).* E_F is same as in section 10.4.2 of this appendix except that the burner operating hours, BOH_{SS}, is calculated as specified in section 10.8.1 of this appendix.

10.8.3 *Average annual auxiliary electrical energy consumption for mobile home furnaces (E_{AE}).* E_{AE} is the same as in section 10.4.3 of this appendix, except that the burner operating hours, BOH_{SS}, is calculated as specified in section 10.8.1 of this appendix.

10.9 *Calculation of sales weighted average annual energy consumption for mobile home furnaces.* To reflect the distribution of mobile homes to geographical regions with average HLH_{MHF} values different from 2,080, adjust the annual fossil fuel and auxiliary electrical energy consumption values for mobile home furnaces using the following adjustment calculations.

10.9.1 For mobile home furnaces, the sales weighted average annual fossil fuel energy consumption is expressed in Btu per year and defined as:

$$E_{F,MHF} = (E_F - 8{,}760\ Q_P)\ HLH_{MHF}/2{,}080 + 8{,}760\ Q_P$$

Where:

E_F = as defined in section 10.8.2 of this appendix

8,760 = as defined in section 10.4.1.1 of this appendix

Q_P = as defined in section 10.2 of this appendix

HLH_{MHF} = 1880, sales weighted average heating load hours for mobile home furnaces

2,080 = as defined in section 10.4.1 of this appendix

10.9.2 For mobile home furnaces, the sales-weighted-average annual auxiliary electrical energy consumption is expressed in kilowatt-hours and defined as:

$$E_{AE,MHF} = E_{AE}\ HLH_{MHF}/2{,}080$$

Where:

E_{AE} = as defined in section 10.8.3 of this appendix

HLH_{MHF} = as defined in section 10.9.1 of this appendix

2,080 = as defined in section 10.4.1 of this appendix

10.10 [Reserved]

10.11 *Average annual electrical standby mode and off mode energy consumption.* Calculate the annual electrical standby mode and off mode energy consumption (E_{SO}) in kilowatt-hours, defined as:

$$E_{SO} = (P_{W,SB}\ (4160 - BOH) + 4600\ P_{W,OFF})\ K$$

Where:

$P_{W,SB}$ = furnace standby mode power, in watts, as measured in section 8.10.1 of this appendix

4,160 = average heating season hours per year

BOH = total burner operating hours as calculated in section 10.4 of this appendix for gas or oil-fueled furnaces. Where for gas or oil-fueled furnaces equipped with single-stage controls, BOH = BOH_{SS}; for gas or oil-fueled furnaces equipped with two-stage controls, BOH = (BOH_R + BOH_H); and for gas or oil-fueled furnaces equipped with step-modulating controls, BOH = (BOH_R + BOH_M). For electric furnaces, BOH = $100(2080)(0.77)DHR/(E_{in}\ 3.412(AFUE))$

4,600 = as defined in section 11.4.12 of ASHRAE 103–1993

$P_{W,OFF}$ = furnace off mode power, in watts, as measured in section 8.10.2 of this appendix

K = 0.001 kWh/Wh, conversion factor from watt-hours to kilowatt-hours

Where:

100 = to express a percent as a decimal

2,080 = as defined in section 10.4.1 of this appendix

0.77 = as defined in section 10.4.1 of this appendix

DHR = as defined in section 10.4.1 of this appendix

E_{in} = steady-state electric rated power, in kilowatts, from section 9.3 of ASHRAE 103–1993

3.412 = as defined in section 10.4.3 of this appendix

AFUE = as defined in section 11.1 of ASHRAE 103–1993 in percent

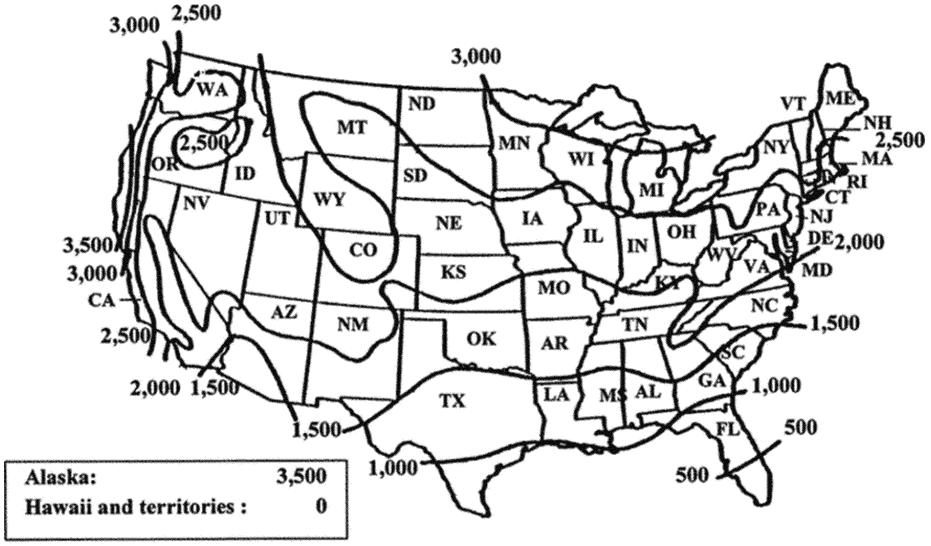


FIGURE 1- HEATING LOAD HOURS (HLH) FOR THE UNITED STATES

[88 FR 15538, Mar. 13, 2023]

APPENDIX O TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF VENTED HOME HEATING EQUIPMENT

NOTE: Prior to November 16, 2022, representations with respect to the energy use or efficiency of vented home heating equipment, including compliance certifications, must be based on testing conducted in accordance with either this appendix as it now appears or appendix O as it appeared at 10 CFR part 430, subpart B revised as of January 1, 2021.

On and after November 16, 2022, representations with respect to energy use or efficiency of vented home heating equipment, including compliance certifications, must be based on testing conducted in accordance with this appendix.

0.0 Incorporation by Reference.

DOE incorporated by reference in §430.3: ANSI Z21.86–2016; ASHRAE 103–2017; ASTM D2156–09 (R2018); IEC 62301; UL 729–2016; UL 730–2016; and UL 896–2016 in their entirety. However, only enumerated provisions of ANSI Z21.86–2016; ASHRAE 103–2017, UL 729–2016, UL 730–2016, and UL 896–2016 are applicable to this appendix, as follows:

0.1 ANSI Z21.86–2016

(i) Section 5.2—Test gases

(ii) Section 9.1.3

(iii) Section 11.1.3

(iv) Section 11.7—Temperature at discharge air opening and surface temperatures

0.2 ASHRAE 103–2017

(i) Section 6—INSTRUMENTS

(ii) Section 8.2.2.3.1—Oil Supply

(iii) Section 8.6—Jacket Loss Measurement

(iv) Section 8.8.3—Additional Optional Method of Testing for Determining DP and DF for Furnaces and Boilers

(v) Section 9.10—Optional Test Procedures for Condensing Furnaces and Boilers that Have no OFF-Period Flue Losses

0.3 UL 729–2016

(i) Section 38.1—Enclosure

(ii) Section 38.2—Chimney connector

0.4 UL 730–2016

(i) Section 36.1—Enclosure

(ii) Section 36.2—Chimney connector

(iii) Sections 37.5.8 through 37.5.180.5 UL 896–2016

(i) Section 37.1.2

(ii) Section 37.1.3

1.0 Definitions

1.1 ''Active mode'' means the condition during the heating season in which the vented heater is connected to the power source, and either the burner or any electrical auxiliary is activated.

1.2 ''Air shutter'' means an adjustable device for varying the size of the primary air inlet(s) to the combustion chamber power burner.

1.3 ''Air tube'' means a tube which carries combustion air from the burner fan to the burner nozzle for combustion.

1.4 ''Barometic draft regulator or barometric damper'' means a mechanical device designed to maintain a constant draft in a vented heater.

1.5 ''Condensing vented heater'' means a vented heater that, during the laboratory tests prescribed in this appendix, condenses part of the water vapor in the flue gases.

1.6 ''Draft hood'' means an external device which performs the same function as an integral draft diverter, as defined in section 1.17 of this appendix.

1.7 ''Electro-mechanical stack damper'' means a type of stack damper which is operated by electrical and/or mechanical means.

1.8 ''Excess air'' means air which passes through the combustion chamber and the vented heater flues in excess of that which is theoretically required for complete combustion.

1.9 ''Flue'' means a conduit between the flue outlet of a vented heater and the integral draft diverter, draft hood, barometric damper or vent terminal through which the flue gases pass prior to the point of draft relief.

1.10 ''Flue damper'' means a device installed between the furnace and the integral draft diverter, draft hood, barometric draft regulator, or vent terminal which is not equipped with a draft control device, designed to open the venting system when the appliance is in operation and to close the venting system when the appliance is in a standby condition.

1.11 ''Flue gases'' means reaction products resulting from the combustion of a fuel with the oxygen of the air, including the inerts and any excess air.

1.12 ''Flue losses'' means the sum of sensible and latent heat losses above room temperature of the flue gases leaving a vented heater.

1.13 ''Flue outlet'' means the opening provided in a vented heater for the exhaust of the flue gases from the combustion chamber.

1.14 ''Heat input'' (Q_{in}) means the rate of energy supplied in a fuel to a vented heater operating under steady-state conditions, expressed in Btu's per hour. It includes any input energy to the pilot light and is obtained by multiplying the measured rate of fuel consumption by the measured higher heating value of the fuel.

1.15 ''Heating capacity'' (Q_{out}) means the rate of useful heat output from a vented heater, operating under steady-state conditions, expressed in Btu's per hour. For room and wall heaters, it is obtained by multiplying the ''heat input'' (Q_{in}) by the steady-state efficiency (η_{ss}) divided by 100. For floor furnaces, it is obtained by multiplying (A) the ''heat input'' (Q_{in}) by (B) the steady-state efficiency divided by 100, minus the quantity (2.8) (L_j) divided by 100, where L_j is the jacket loss as determined in section 3.2 of this appendix.

1.16 ''Higher heating value'' (HHV) means the heat produced per unit of fuel when complete combustion takes place at constant pressure and the products of combustion are cooled to the initial temperature of the fuel and air and when the water vapor formed during combustion is condensed. The higher heating value is usually expressed in Btu's per pound, Btu's per cubic foot for gaseous fuel, or Btu's per gallon for liquid fuel.

1.17 ''IEC 62301 (Second Edition)'' means the test standard published by the International Electrotechnical Commission, titled ''Household electrical appliances—Measurement of standby power,'' Publication 62301 Edition 2.0 2011–01 (incorporated by reference; see §430.3).

1.18 ''Induced draft'' means a method of drawing air into the combustion chamber by mechanical means.

1.19 ''Infiltration parameter'' means that portion of unconditioned outside air drawn into the heated space as a consequence of loss of conditioned air through the exhaust system of a vented heater.

1.20 ''Integral draft diverter'' means a device which is an integral part of a vented heater, designed to: (1) Provide for the exhaust of the products of combustion in the event of no draft, back draft, or stoppage beyond the draft diverter, (2) prevent a back draft from entering the vented heater, and (3) neutralize the stack action of the chimney or gas vent upon the operation of the vented heater.

1.21 ''Manually controlled vented heaters'' means either gas or oil fueled vented heaters equipped without thermostats.

1.22 ''Modulating control'' means either a step-modulating or two-stage control.

1.23 ''Off mode'' means the condition during the non-heating season in which the vented heater is connected to the power source, and neither the burner nor any electrical auxiliary is activated.

1.24 ''Power burner'' means a vented heater burner which supplies air for combustion at a pressure exceeding atmospheric pressure, or a burner which depends on the draft induced by a fan incorporated in the furnace for proper operation.

1.25 ''Reduced heat input rate'' means the factory adjusted lowest reduced heat input rate for vented home heating equipment equipped with either two stage thermostats or step-modulating thermostats.

1.26 ''Seasonal off switch'' means the control device, such as a lever or toggle, on the vented heater that affects a difference in off mode energy consumption as compared to standby mode consumption.

1.27 ''Single-stage thermostat'' means a thermostat that cycles a burner at the maximum heat input rate and off.

1.28 ''Stack'' means the portion of the exhaust system downstream of the integral draft diverter, draft hood or barometric draft regulator.

1.29 ''Stack damper'' means a device installed downstream of the integral draft diverter, draft hood, or barometric draft regulator, designed to open the venting system when the appliance is in operation and to close off the venting system when the appliance is in the standby condition.

1.30 ''Stack gases'' means the flue gases combined with dilution air that enters at the integral draft diverter, draft hood or barometric draft regulator.

1.31 ''Standby mode'' means the condition during the heating season in which the vented heater is connected to the power source, and neither the burner nor any electrical auxiliary is activated.

1.32 ''Steady-state conditions for vented home heating equipment'' means equilibrium conditions as indicated by temperature variations of not more than 5 °F (2.8C) in the flue gas temperature for units equipped with draft hoods, barometric draft regulators or direct vent systems, in three successive readings taken 15 minutes apart or not more than 3 °F (1.7C) in the stack gas temperature for units equipped with integral draft diverters in three successive readings taken 15 minutes apart.

1.33 ''Step-modulating control'' means a control that either cycles off and on at the low input if the heating load is light, or gradually, increases the heat input to meet any higher heating load that cannot be met with the low firing rate.

1.34 ''Thermal stack damper'' means a type of stack damper which is dependent for operation exclusively upon the direct conversion of thermal energy of the stack gases into movement of the damper plate.

1.35 ''Two stage control'' means a control that either cycles a burner at the reduced heat input rate and off or cycles a burner at the maximum heat input rate and off.

1.36 ''Vaporizing-type oil burner'' means a device with an oil vaporizing bowl or other receptacle designed to operate by vaporizing liquid fuel oil by the heat of combustion and mixing the vaporized fuel with air.

1.37 ''Vent/air intake terminal'' means a device which is located on the outside of a building and is connected to a vented heater by a system of conduits. It is composed of an air intake terminal through which the air for combustion is taken from the outside atmosphere and a vent terminal from which flue gases are discharged.

1.38 ''Vent limiter'' means a device which limits the flow of air from the atmospheric diaphragm chamber of a gas pressure regulator to the atmosphere. A vent limiter may be a limiting orifice or other limiting device.

1.39 ''Vent pipe'' means the passages and conduits in a direct vent system through which gases pass from the combustion chamber to the outdoor air.

2.0 Testing conditions.

2.1 Installation of test unit.

2.1.1 Vented wall furnaces (including direct vent systems). Install non-direct vent gas fueled vented wall furnaces as specified in Section 11.1.3 of ANSI Z21.86–2016. Install direct vent gas fueled vented wall furnaces as specified in Section 9.1.3 of ANSI Z21.86–2016. Install oil-fueled vented wall furnaces as specified in Section 36.1 of UL 730–2016.

2.1.2 Vented floor furnaces. Install vented floor furnaces for test as specified in Section 38.1 of UL 729–2016.

2.1.3 Vented room heaters. Install vented room heaters for test in accordance with the manufacturer's installation and operations (I&O) manual provided with the unit.

2.2 Flue and stack requirements.

2.2.1 Gas fueled vented home heating equipment employing integral draft diverters and draft hoods (excluding direct vent systems). Attach to, and vertically above the outlet of gas-fueled vented home heating equipment employing draft diverters or draft hoods with vertically discharging outlets, a five (5) foot long test stack having a cross-sectional area the same size as the draft diverter outlet.

Attach to the outlet of vented heaters having a horizontally discharging draft diverter or draft hood outlet a 90-degree elbow, and a five (5) foot long vertical test stack. A horizontal section of pipe may be used on the floor furnace between the diverter and the elbow, if necessary, to clear any framing used in the installation. Use the minimum length of pipe possible for this section. Use stack, elbow, and horizontal section with

same cross-sectional area as the diverter outlet.

2.2 Oil-fueled vented home heating equipment (excluding direct vent systems). Use flue connections for oil-fueled vented floor furnaces as specified in Section 38.2 of UL 729–2016, Section 36.2 of UL 730–2016 for oil-fueled vented wall furnaces, and Sections 37.1.2 and 37.1.3 of UL 896–2016 for oil-fueled vented room heaters.

2.2.3 Direct vent systems. Have the exhaust/air intake system supplied by the manufacturer in place during all tests. Test units intended for installation with a variety of vent pipe lengths with the minimum length recommended by the manufacturer in the I&O manual. Do not connect a heater employing a direct vent system to a chimney or induced draft source. Vent the gas solely on the provision for venting incorporated in the heater and the vent/air intake system supplied with it.

2.2.4 Condensing vented heater, additional flue requirements. The flue pipe installation must not allow condensate formed in the flue pipe to flow back into the unit. An initial downward slope from the unit's exit, an offset with a drip leg, annular collection rings, or drain holes must be included in the flue pipe installation without disturbing normal flue gas flow. Flue gases should not flow out of the drain with the condensate. For condensing vented heaters that do not include means for collection of condensate, a means to collect condensate must be supplied by the test lab for the purposes of testing.

2.3 Fuel supply.

2.3.1 Natural gas. For a gas-fueled vented heater, maintain the gas supply to the unit under test at an inlet test pressure immediately ahead of all controls at 7 to 10 inches water column. If the heater is equipped with a gas pressure regulator, maintain the regulator outlet pressure within the greater of ±0.2 inches water column, or ±10 percent, of the manufacturer-specified manifold pressure on the nameplate of the unit or in the I&O manual. Use natural gas having a specific gravity between 0.57 and 0.70 and a higher heating value within ±5 percent of 1,025 Btu per standard cubic foot. Determine the actual higher heating value in Btu per standard cubic foot for the natural gas to be used in the test with an error no greater than one percent. If the burner cannot be adjusted to obtain a heat input rate of within ±2 percent of the hourly Btu rating specified by the manufacturer on the nameplate of the unit or in the I&O manual, as required by section 2.4.1 of this appendix, maintain the gas supply to the unit under test at an inlet test pressure immediately ahead of all controls at any value within the range specified on the nameplate of the unit or in the I&O manual that results in a heat input rate of within ±2 percent of the hourly Btu rating specified by the manufacturer on the nameplate of the unit or in the I&O manual.

2.3.2 Propane gas. For a propane-gas-fueled vented heater, maintain the gas supply to the unit under test at an inlet pressure of 11 to 13 inches water column. If the heater is equipped with a gas pressure regulator, maintain the regulator outlet pressure within the greater of ±0.2 inches water column, or ±10 percent, of the manufacturer's specified manifold pressure on the nameplate of the unit or in the I&O manual. Use propane having a specific gravity between 1.522 and 1.574 and a higher heating value within ±5 percent of 2,500 Btu per standard cubic foot. Determine the actual higher heating value in Btu per standard cubic foot for the propane to be used in the test. If the burner cannot be adjusted to obtain a heat input rate of within ±2 percent of the hourly Btu rating specified by the manufacturer on the nameplate of the unit or in the I&O manual, as required by section 2.4.1 of this appendix, maintain the gas supply to the unit under test at an inlet test pressure immediately ahead of all controls at any value within the range specified on the nameplate of the unit or in the I&O manual that results in a heat input rate of within ±2 percent of the hourly Btu rating specified by the manufacturer on the nameplate of the unit or in the I&O manual.

2.3.3 Other test gas. For vented heaters fueled by other test gases, use test gases with characteristics as described in Table 3 of Section 5.2 of ANSI Z21.86–2016. Use gases with a measured higher heating value within ±5 percent of the values specified in Table 3 of Section 5.2 of ANSI Z21.86–2016. Determine the actual higher heating value of the gas used in the test with an error no greater than one percent.

2.3.4 Oil supply. For an oil-fueled vented heater, use No. 1 fuel oil (kerosene) for vaporizing-type burners and either No. 1 or No. 2 fuel oil, as specified by the manufacturer in the I&O manual provided with the unit, for mechanical atomizing type burners. Use test fuel conforming to the specifications given in Tables 2 and 3 of Section 8.2.2.3.1 of ASHRAE 103–2017. Measure the higher heating value of the test fuel within ±1 percent.

2.3.5 Electrical supply. For auxiliary electric components of a vented heater, maintain the electrical supply to the test unit within ±1 percent of the nameplate voltage for the entire test cycle. If a voltage range is used for nameplate voltage, maintain the electrical supply within ±1 percent of the midpoint of the nameplate voltage range.

2.4 Burner adjustments.

2.4.1 Gas burner adjustments. Adjust the burners of gas-fueled vented heaters to their maximum Btu ratings at the test pressure specified in section 2.3 of this appendix. Correct the burner volumetric flow rate to 60 °F (15.6 °C) and 30 inches of mercury barometric pressure, set the fuel flow rate to obtain a

heat rate of within ±2 percent of the hourly Btu rating specified by the manufacturer on the nameplate of the unit or in the I&O manual, as measured after 15 minutes of operation, starting with all parts of the vented heater at room temperature. Set the primary air shutters in accordance with the manufacturer's recommendations on the nameplate of the unit or in the I&O manual to give a good flame at this adjustment. Do not allow the deposit of carbon during any test specified herein. If a vent limiting means is provided on a gas pressure regulator, have it in place during all tests.

For gas-fueled heaters with modulating controls, adjust the controls to operate the heater at the maximum fuel input rate. Set the thermostat control to the maximum setting. Start the heater by turning the safety control valve to the ''on'' position. In order to prevent modulation of the burner at maximum input, place the thermostat sensing element in a temperature control bath which is held at a temperature below the maximum set point temperature of the control.

For gas-fueled heaters with modulating controls, adjust the controls to operate the heater at the reduced fuel input rate. Set the thermostat control to the minimum setting. Start the heater by turning the safety control valve to the ''on'' position. If ambient test room temperature is above the lowest control set point temperature, initiate burner operation by placing the thermostat sensing element in a temperature control bath that is held at a temperature below the minimum set point temperature of the control.

2.4.2 Oil burner adjustments. Adjust the burners of oil-fueled vented heaters to give the CO_2 reading recommended by the manufacturer and an hourly Btu input, during the steady-state performance test described below, which is within ±2 percent of the heater manufacturer's specified hourly Btu input rating on the nameplate of the unit or in the I&O manual. On units employing a power burner, do not allow smoke in the flue to exceed a No. 1 smoke during the steady-state performance test as measured by the procedure in ASTM D2156–09 (R2018). If, on units employing a power burner, the smoke in the flue exceeds a No. 1 smoke during the steady-state test, readjust the burner to give a lower smoke reading, and, if necessary, a lower CO_2 reading, and start all tests over. Maintain the average draft over the fire and in the flue during the steady-state performance test at that recommended by the manufacturer within ±0.005 inches of water gauge. Do not make additional adjustments to the burner during the required series of performance tests. The instruments and measuring apparatus for this test are described in Section 6 and shown in Figure 8 of ASHRAE 103–2017. Calibrate instruments for measuring oil pressure so that the error is no greater than ±0.5 psi.

2.5 Circulating air adjustments.

2.5.1 Forced-air vented wall furnaces (including direct vent systems). During testing, maintain the air flow through the heater as specified by the manufacturer in the I&O manual provided with the unit and operate the vented heater with the outlet air temperature between 80 °F and 130 °F above room temperature. If adjustable air discharge registers are provided, adjust them so as to provide the maximum possible air restriction. Measure air discharge temperature as specified in Section 11.7.2 of ANSI Z21.86–2016.

2.5.2 Fan-type vented room heaters and floor furnaces. During tests on fan-type furnaces and heaters, adjust the air flow through the heater as specified by the manufacturer. If adjustable air discharge registers are provided, adjust them to provide the maximum possible air restriction.

2.6 Location of temperature measuring instrumentation.

2.6.1 Gas-fueled vented home heating equipment (including direct vent systems). Install thermocouples for measuring the heated air temperature as described in Section 11.7.5 of ANSI Z21.86–2016. Establish the temperature of the inlet air by means of a single No. 24 AWG bead-type thermocouple located in the center of the plane of each inlet air opening. Use bead-type thermocouples having wire size not greater than No. 24 American Wire Gauge (AWG). If a thermocouple has a direct line of sight with the fire, install a radiation shield, meeting the material and minimum thickness requirements from Section 8.14.1 of ANSI Z21.86–2016, on the fire side of the thermocouple only, and position the shield so that it does not touch the thermocouple junction.

2.6.1.1 Integral draft diverter. For units employing an integral draft diverter, install nine thermocouples, wired in parallel, in a horizontal plane in the five-foot test stack located one foot from the test stack inlet. Equalize the length of all thermocouple leads before paralleling. Locate one thermocouple in the center of the stack. Locate eight thermocouples along imaginary lines intersecting at right angles in this horizontal plane at points one third and two thirds of the distance between the center of the stack and the stack wall.

For units with a stack diameter 2 inches or less, five thermocouples may be installed instead of nine. Locate one thermocouple in the center of the stack. Locate four thermocouples along imaginary lines intersecting at right angles in this horizontal plane at points halfway between the center of the stack and the stack wall.

2.6.1.2 Direct vent system. For units which employ a direct vent system, locate at least one thermocouple at the center of each flue way exiting the heat exchanger. Provide radiation shields if the thermocouples are exposed to burner radiation.

2.6.1.3 Draft hood or direct vent system which does not intentionally preheat incoming air. For units which employ a draft hood or units which employ a direct vent system which does not intentionally preheat the incoming combustion air, such as a non-concentric direct vent system, install nine thermocouples, wired in parallel, in a horizontal plane located within 12 inches (304.8 mm) of the heater outlet and upstream of the draft hood on units so equipped. Locate one thermocouple in the center of the pipe and eight thermocouples along imaginary lines intersecting at right angles in this horizontal plane at points one third and two thirds of the distance between the center of the pipe and the pipe wall.

For units with a flue pipe diameter of 2 inches or less, five thermocouples may be installed instead of nine. Locate one thermocouple in the center of the pipe and four thermocouples along imaginary lines intersecting at right angles in this horizontal plane at points halfway between the center of the pipe and the pipe wall.

2.6.1.4 Direct vent system which intentionally preheat incoming air. For units which employ direct vent systems that intentionally preheat the incoming combustion air, such as a concentric direct vent system, install nine thermocouples, wired in parallel, in a plane parallel to and located within 6 inches (152.4 mm) of the vent/air intake terminal. Equalize the length of all thermocouple leads before paralleling. Locate one thermocouple in the center of the flue pipe and eight thermocouples along imaginary lines intersecting at right angles in this plane at points one third and two thirds of the distance between the center of the flue pipe and the pipe wall.

For units with a flue pipe diameter of 2 inches or less, five thermocouples may be installed instead of nine. Locate one thermocouple in the center of the flue pipe and four thermocouples along imaginary lines intersecting at right angles in this plane at points halfway between the center of the flue pipe and the pipe wall.

2.6.2 Oil-fueled vented home heating equipment (including direct vent systems).

Install thermocouples for measuring the heated air temperature as described in Sections 37.5.8 through 37.5.18 of UL 730–2016. Establish the temperature of the inlet air by means of a single No. 24 AWG bead-type thermocouple located in the center of the plane of each inlet air opening. Use bead-type thermocouples having a wire size not greater than No. 24 AWG. If there is a thermocouple that has a direct line of sight with the fire, install a radiation shield, meeting the material and minimum thickness requirements from Section 8.14.1 of ANSI Z21.86–2016, on the fire side of the thermocouple only, and position the shield so that it does not touch the thermocouple junction.

Install nine thermocouples, wired in parallel and having equal length leads, in a plane perpendicular to the axis of the flue pipe. Locate this plane at the position shown in Figure 36.4 of UL 730–2016, or Figure 38.1 and 38.2 of UL 729–2016 for a single thermocouple, except that on direct vent systems which intentionally preheat the incoming combustion air, locate this plane within 6 inches (152.5 mm) of the outlet of the vent/air intake terminal. Locate one thermocouple in the center of the flue pipe and eight thermocouples along imaginary lines intersecting at right angles in this plane at points one third and two thirds of the distance between the center of the pipe and pipe wall.

For units with a flue pipe diameter of 2 inches or less, five thermocouples may be installed instead of nine. Wire the thermocouples in parallel with equal length leads, in a plane perpendicular to the axis of the flue pipe. Locate this plane at the position shown in Figure 36.4 of UL 730–2016, or Figure 38.1 and 38.2 of UL 729–2016 for a single thermocouple, except that on direct vent systems which intentionally preheat the incoming combustion air, locate this plane within 6 inches (152.5 mm) of the outlet of the vent/air intake terminal. Locate one thermocouple in the center of the flue pipe and four thermocouples along imaginary lines intersecting at right angles in this plane at points halfway between the center of the pipe and pipe wall.

2.7 Combustion measurement instrumentation. Analyze the samples of stack and flue gases for vented heaters to determine the concentration by volume of carbon dioxide present in the dry gas with instrumentation which will result in a reading having an accuracy of ±0.1 percentage point.

2.8 Energy flow instrumentation. Install one or more instruments, which measure the rate of gas flow or fuel oil supplied to the vented heater, and if appropriate, the electrical energy with an error no greater than one percent.

2.9 Room ambient temperature. The room ambient temperature shall be the arithmetic average temperature of the test area, determined by measurement with four No. 24 AWG bead-type thermocouples with junctions shielded against radiation using shielding meeting the material and minimum thickness requirements from Section 8.14.1 of ANSI Z21.86–2016, located approximately at 90-degree positions on a circle circumscribing the heater or heater enclosure under test, in a horizontal plane approximately at the vertical midpoint of the appliance or test enclosure, and with the junctions approximately 24 inches from sides of the heater or test enclosure and located so as not to be affected by other than room air.

The value T_{RA} is the room ambient temperature measured at the last of the three successive readings taken 15 minutes apart

described in section 3.1.1 or 3.1.2 of this appendix as applicable. During the time period required to perform all the testing and measurement procedures specified in section 3.0 of this appendix, maintain the room ambient temperature within ±5 °F (±2.8 °C) of the value T_{RA}. At no time during these tests shall the room ambient temperature exceed 100 °F (37.8 °C) or fall below 65 °F (18.3 °C).

Locate a thermocouple at each elevation of draft relief inlet opening and combustion air inlet opening at a distance of approximately 24 inches from the inlet openings. The temperature of the air for combustion and the air for draft relief shall not differ more than ±5 °F from the room ambient temperature as measured above at any point in time. This requirement for combustion air inlet temperature does not need to be met once the burner is shut off during the testing described in sections 3.3 and 3.6 of this appendix.

2.10 Equipment used to measure mass flow rate in flue and stack. The tracer gas chosen for this task should have a density which is less than or approximately equal to the density of air. Use a gas unreactive with the environment to be encountered. Using instrumentation of either the batch or continuous type, measure the concentration of tracer gas with an error no greater than 2 percent of the value of the concentration measured.

2.11 Equipment with multiple control modes.

2.11.1 For equipment that has both manual and automatic thermostat control modes, test the unit according to the procedure for its automatic control mode, *i.e.*, single-stage, two-stage, or step-modulating.

2.11.2 For equipment that has multiple automatic thermostat control modes, test in the default mode (or similarly named mode identified for normal operation) as defined by the manufacturer in its I&O manual. If a default mode is not defined in the I&O manual, test in the mode in which the equipment operates as shipped from the manufacturer.

3.0 Testing and measurements.

3.1 *Steady-state testing.*

3.1.1 *Gas fueled vented home heating equipment (including direct vent systems).* Set up the vented heater as specified in sections 2.1, 2.2, and 2.3 of this appendix. The draft diverter shall be in the normal open condition and the stack shall not be insulated. (Insulation of the stack is no longer required for the vented heater test.) Begin the steady-state performance test by operating the burner and the circulating air blower, on units so equipped, with the adjustments specified by sections 2.4.1 and 2.5 of this appendix, until steady-state conditions are attained as indicated by three successive readings taken 15 minutes apart with a temperature variation of not more than ±3 °F (1.7 C) in the stack gas temperature for vented heaters equipped with draft diverters or ±5 °F (2.8 C) in the flue gas temperature for vented heaters equipped with either draft hoods or direct vent systems. The measurements described in this section are to coincide with the last of these 15 minute readings.

On units employing draft diverters, measure the room temperature (T_{RA}) as described in section 2.9 of this appendix and measure the steady-state stack gas temperature ($T_{S,SS}$) using the nine thermocouples located in the 5 foot test stack as specified in section 2.6.1 of this appendix. Secure a sample of the stack gases in the plane where $T_{S,SS}$ is measured or within 3.5 feet downstream of this plane. Determine the concentration by volume of carbon dioxide (X_{CO2S}) present in the dry stack gas. If the location of the gas sampling differs from the temperature measurement plane, there shall be no air leaks through the stack between these two locations.

On units employing draft hoods or direct vent systems, measure the room temperature (T_{RA}) as described in section 2.9 of this appendix and measure the steady-state flue gas temperature ($T_{F,SS}$), using the nine thermocouples located in the flue pipe as described in section 2.6.1 of this appendix. Secure a sample of the flue gas in the plane of temperature measurement and determine the concentration by volume of CO_2 (X_{CO2F}) present in dry flue gas. In addition, for units employing draft hoods, secure a sample of the stack gas in a horizontal plane in the five foot test stack located one foot from the test stack inlet; and determine the concentration by volume of CO_2 (X_{CO2S}) present in dry stack gas.

Determine the steady-state heat input rate (Qin) including pilot gas by multiplying the measured higher heating value of the test gas by the steady-state gas input rate corrected to standard conditions of 60 °F and 30 inches of mercury. Use measured values of gas temperature and pressure at the meter and the barometric pressure to correct the metered gas flow rate to standard conditions.

After the above test measurements have been completed on units employing draft diverters, secure a sample of the flue gases at the exit of the heat exchanger(s) and determine the concentration of CO_2 (X_{CO2F}) present. In obtaining this sample of flue gas, move the sampling probe around or use a sample probe with multiple sampling ports in order to assure that an average value is obtained for the CO_2 concentration. For units with multiple heat exchanger outlets, measure the CO_2 concentration in a sample from each outlet to obtain the average CO_2 concentration for the unit. A manifold (parallel connected sampling tubes) may be used to obtain this sample.

For heaters with single-stage thermostat control (wall mounted electric thermostats), determine the steady-state efficiency at the

maximum fuel input rate as specified in section 2.4 of this appendix.

For gas fueled vented heaters equipped with either two stage control or step-modulating control, determine the steady-state efficiency at the maximum fuel input rate and at the reduced fuel input rate, as specified in section 2.4.1 of this appendix.

For manually controlled gas fueled vented heaters with various input rates, determine the steady-state efficiency at a fuel input rate that is within ±5 percent of 50 percent of the maximum rated fuel input rate as indicated on the nameplate of the unit or in the manufacturer's installation and operation manual shipped with the unit. If the heater is designed to use a control that precludes operation at other than maximum rated fuel input rate (single firing rate) determine the steady state efficiency at the maximum rated fuel input rate only.

3.1.2 Oil-fueled vented home heating equipment (including direct vent systems). Set up and adjust the vented heater as specified in sections 2.1, 2.2, and 2.3.4 of this appendix. Begin the steady-state performance test by operating the burner and the circulating air blower, on units so equipped, with the adjustments specified by sections 2.4.2 and 2.5 of this appendix, until steady-state conditions are attained as indicated by a temperature variation of not more than ±5 °F (2.8 °C) in the flue gas temperature in three successive readings taken 15 minutes apart. The measurements described in this section are to coincide with the last of these 15 minutes readings.

For units equipped with power burners, do not allow smoke in the flue to exceed a No. 1 smoke during the steady-state performance test as measured by the procedure described in ASTM D2156–09 (R2018). Maintain the average draft over the fire and in the breeching during the steady-state performance test at that recommended by the manufacturer ±0.005 inches of water gauge.

Measure the room temperature (T_{RA}) as described in section 2.9 of this appendix. Measure the steady-state flue gas temperature ($T_{F,SS}$) using nine thermocouples (or five, as applicable) located in the flue pipe as described in section 2.6.2 of this appendix. From the plane where $T_{F,SS}$ was measured, collect a sample of the flue gas and determine the concentration by volume of CO_2 (X_{CO2F}) present in dry flue gas. Measure and record the steady-state heat input rate (Q_{in}).

For manually controlled oil fueled vented heaters, determine the steady-state efficiency at a fuel input rate that is within ±5 percent of 50 percent of the maximum fuel input rate; or, if the design of the heater is such that the fuel input rate cannot be set to ±5 percent of 50 percent of the maximum rated fuel input rate, determine the steady-state efficiency at the minimum rated fuel input rate as measured in section 3.1.2 of this appendix for manually controlled oil fueled vented heaters.

3.1.3 *Auxiliary Electric Power Measurement.* Allow the auxiliary electrical system of a gas or oil vented heater to operate for at least five minutes before recording the maximum auxiliary electric power measurement from the wattmeter. Record the maximum electric power (P_E) expressed in kilowatts. For vented heaters with modulating controls, the recorded (P_E) shall be maximum measured electric power multiplied by the following factor (R). For two stage controls, R = 1.3. For step modulating controls, R = 1.4 when the ratio of minimum-to-maximum fuel input is greater than or equal to 0.7, R = 1.7 when the ratio of minimum-to-maximum fuel input is less than 0.7 and greater than or equal to 0.5, and R = 2.2 when the ratio of minimum-to-maximum fuel input is less than 0.5.

3.2 Jacket loss measurement. Conduct a jacket loss test for vented floor furnaces. Measure the jacket loss (L_j) in accordance with ASHRAE 103–2017 Section 8.6, applying the provisions for furnaces and not the provisions for boilers.

3.3 *Measurement of the off-cycle losses for vented heaters equipped with thermal stack dampers.* Unless specified otherwise, the thermal stack damper should be at the draft diverter exit collar. Attach a five foot length of bare stack to the outlet of the damper. Install thermocouples as specified in section 2.6.1 of this appendix.

For vented heaters equipped with single-stage thermostats, measure the off-cycle losses at the maximum fuel input rate. For vented heaters equipped with two stage thermostats, measure the off-cycle losses at the maximum fuel input rate and at the reduced fuel input rate. For vented heaters equipped with step-modulating thermostats, measure the off-cycle losses at the reduced fuel input rate.

Allow the vented heater to heat up to a steady-state condition. Feed a tracer gas at a constant metered rate into the stack directly above and within one foot above the stack damper. Record tracer gas flow rate and temperature. Measure the tracer gas concentration in the stack at several locations in a horizontal plane through a cross-section of the stack at a point sufficiently above the stack damper to ensure that the tracer gas is well mixed in the stack.

Continuously measure the tracer gas concentration and temperature during a 10-minute cool-down period. Shut the burner off and immediately begin measuring tracer gas concentration in the stack, stack temperature, room temperature, and barometric pressure. Record these values as the midpoint of each one-minute interval between burner shut-down and ten minutes after burner shut-down. Meter response time and

sampling delay time shall be considered in timing these measurements.

3.4 *Measurement of the effectiveness of electro-mechanical stack dampers.* For vented heaters equipped with electro-mechanical stack dampers, measure the cross sectional area of the stack (A_s), the net area of the damper plate (A_o), and the angle that the damper plate makes when closed with a plane perpendicular to the axis of the stack (Ω). The net area of the damper plate means the area of the damper plate minus the area of any holes through the damper plate.

3.5 *Pilot light measurement.*

3.5.1 Measure the energy input rate to the pilot light (Q_P) with an error no greater than 3 percent for vented heaters so equipped.

3.5.2 For manually controlled heaters where the pilot light is designed to be turned off by the user when the heater is not in use, that is, turning the control to the OFF position will shut off the gas supply to the burner(s) and to the pilot light, the measurement of Q_P is not needed. This provision applies only if an instruction to turn off the unit is provided on the heater near the gas control valve (e.g. by label) by the manufacturer.

3.6 *Optional procedure for determining* $D_{p'}$ $D_{F'}$ and D_s *for systems for all types of vented heaters.* For all types of vented heaters, $D_{p'}$ $D_{F'}$ and D_S can be measured by the following optional cool down test.

Conduct a cool down test by letting the unit heat up until steady-state conditions are reached, as indicated by temperature variation of not more than 5 °F (2.8 °C) in the flue gas temperature in three successive readings taken 15 minutes apart, and then shutting the unit off with the stack or flue damper controls by-passed or adjusted so that the stack or flue damper remains open during the resulting cool down period. If a draft was maintained on oil fueled units in the flue pipe during the steady-state performance test described in section 3.1 of this appendix, maintain the same draft (within a range of − .001 to + .005 inches of water gauge of the average steady-state draft) during this cool down period.

Measure the flue gas mass flow rate ($m_{F,OFF}$) during the cool down test described above at a specific off-period flue gas temperature and corrected to obtain its value at the steady-state flue gas temperature ($T_{F,SS}$), using the procedure described below.

Within one minute after the unit is shut off to start the cool down test for determining D_F, begin feeding a tracer gas into the combustion chamber at a constant flow rate of V_T, and at a point which will allow for the best possible mixing with the air flowing through the chamber. (On units equipped with an oil fired power burner, the best location for injecting this tracer gas appears to be through a hole drilled in the air tube.) Periodically measure the value of V_T with an instantaneously reading flow meter having an accuracy of ±3 percent of the quantity measured. Maintain V_T at less than 1 percent of the air flow rate through the furnace. If a combustible tracer gas is used, there should be a delay period between the time the burner gas is shut off and the time the tracer gas is first injected to prevent ignition of the tracer gas.

Between 5 and 6 minutes after the unit is shut off to start the cool down test, measure at the exit of the heat exchanger the average flue gas temperature, $T^*_{F,Off}$. At the same instant the flue gas temperature is measured, also measure the percent volumetric concentration of tracer gas C_T in the flue gas in the same plane where $T^*_{F,Off}$ is determined. Obtain the concentration of tracer gas using an instrument which will result in an accuracy of ±2 percent in the value of C_T measured. If use of a continuous reading type instrument results in a delay time between drawing of a sample and its analysis, this delay should be taken into account so that the temperature measurement and the measurement of tracer gas concentration coincide. In addition, determine the temperature of the tracer gas entering the flow meter (T_T) and the barometric pressure (P_B).

The rate of the flue gas mass flow through the vented heater and the factors D_P, D_F, and D_S are calculated by the equations in sections 4.5.1 through 4.5.3 of this appendix.

3.6.1 *Procedure for determining* ($D_{F \text{ and }} D_P$) *of vented home heating equipment with no measurable airflow.* On units whose design is such that there is no measurable airflow through the combustion chamber and heat exchanger when the burner(s) is off (as determined by the test procedure in section 3.6.2 of this appendix), D_F and D_P may be set equal to 0.05.

3.6.2 *Test Method to Determine Whether the Use of the Default Draft Factors* ($D_{F \text{ and }} D_P$) *of 0.05 is Allowed.* Manufacturers may use the following test protocol to determine whether air flows through the combustion chamber and heat exchanger when the burner(s) is off using a smoke stick device. The default draft factor of 0.05 (as allowed per section 3.6.1 of this appendix) may be used only for units determined pursuant to this protocol to have no air flow through the combustion chamber and heat exchanger.

3.6.2.1 *Test Conditions.* Wait for two minutes following the termination of the vented heater's on-cycle.

3.6.2.2 *Location of Test Apparatus*

3.6.2.2.1 After all air currents and drafts in the test chamber have been minimized, position the operable smoke stick/pencil as specified, based on the following equipment configuration: for horizontal combustion air intakes, approximately 4 inches from the vertical plane at the termination of the intake vent and 4 inches below the bottom edge of the combustion air intake, or for

vertical combustion air intakes, approximately 4 inches horizontal from vent perimeter at the termination of the intake vent and 4 inches down (parallel to the vertical axis of the vent). In the instance where the boiler combustion air intake is closer than 4 inches to the floor, place the smoke device directly on the floor without impeding the flow of smoke.

3.6.2.2.2 Monitor the presence and the direction of the smoke flow.

3.6.2.3 *Duration of Test.* Continue monitoring the release of smoke for no less than 30 seconds.

3.6.2.4 *Test Results*

3.6.2.4.1 During visual assessment, determine whether there is any draw of smoke into the combustion air intake.

3.6.2.4.2 If absolutely no smoke is drawn into the combustion air intake, the vented heater meets the requirements to allow use of the default draft factor of 0.05.

3.6.2.4.3 If there is any smoke drawn into the intake, use of default draft factor of 0.05 is prohibited. Proceed with the methods of testing as prescribed in section 3.6 of this appendix, or select the appropriate default draft factor from Table 1.

3.7 *Measurement of electrical standby mode and off mode power.*

3.7.1 *Standby power measurements.* With all electrical auxiliaries of the vented heater not activated, measure the standby power ($P_{W,SB}$) in accordance with the procedures in IEC 62301 (Second Edition) (incorporated by reference, see §430.3), except that section 2.9, *Room ambient temperature,* and the voltage provision of section 2.3.5, *Electrical supply,* of this appendix shall apply in lieu of the IEC 62301 (Second Edition) corresponding sections 4.2, *Test room,* and 4.3, *Power supply.* Clarifying further, the IEC 62301 (Second Edition) sections 4.4, *Power measuring instruments,* and section 5, *Measurements,* shall apply in lieu of section 2.8, *Energy flow instrumentation,* of this appendix. Measure the wattage so that all possible standby mode wattage for the entire appliance is recorded, not just the standby mode wattage of a single auxiliary. The recorded standby power ($P_{W,SB}$) shall be rounded to the second decimal place, and for loads greater than or equal to 10W, at least three significant figures shall be reported.

3.7.2 *Off mode power measurement.* If the unit is equipped with a seasonal off switch or there is an expected difference between off mode power and standby mode power, measure off mode power ($P_{W,OFF}$) in accordance with the standby power procedures in IEC 62301 (Second Edition) (incorporated by reference, see §430.3), except that section 2.9, *Room ambient temperature,* and the voltage provision of section 2.3.5, *Electrical supply,* of this appendix shall apply in lieu of the IEC 62301 (Second Edition) corresponding sections 4.2, *Test room,* and 4.3, *Power supply.* Clarifying further, the IEC 62301 (Second Edition) sections 4.4, *Power measuring instruments,* and section 5, *Measurements,* shall apply in lieu of section 2.8, *Energy flow instrumentation,* of this appendix. Measure the wattage so that all possible off mode wattage for the entire appliance is recorded, not just the off mode wattage of a single auxiliary. If there is no expected difference in off mode power and standby mode power, let $P_{W,OFF} = P_{W,SB}$, in which case no separate measurement of off mode power is necessary. The recorded off mode power ($P_{W,OFF}$) shall be rounded to the second decimal place, and for loads greater than or equal to 10W, at least three significant figures shall be reported.

3.8 *Condensing vented heaters—measurement of condensate under steady-state and cyclic conditions.* Attach condensate drain lines to the vented heater as specified in the manufacturer's I&O manual provided with the unit. The test unit shall be level prior to all testing. A continuous downward slope of drain lines from the unit shall be maintained. The drain lines must facilitate uninterrupted flow of condensate during the test. The condensate collection container must be glass or polished stainless steel to facilitate removal of interior deposits. The collection container shall have a vent opening to the atmosphere, be dried prior to each use, and be at room ambient temperature. The humidity of the room air shall at no time exceed 80 percent relative humidity. For condensing units not designed for collecting and draining condensate, drain lines must be provided during testing that meet the criteria set forth in this section 3.8. Units employing manual controls and units not tested under the optional tracer gas procedures of sections 3.3 and 3.6 of this appendix shall only conduct the steady-state condensate collection test.

3.8.1 *Steady-state condensate collection test.* Begin steady-state condensate collection concurrently with or immediately after completion of the steady-state testing of section 3.1 of this appendix. The steady-state condensate collection period shall be 30 minutes. Condensate mass shall be measured immediately at the end of the collection period to minimize evaporation loss from the sample. Record fuel input during the 30-minute condensate collection steady-state test period. Measure and record fuel higher heating value (HHV), temperature, and pressures necessary for determining fuel energy input ($Q_{c,ss}$). The fuel quantity and HHV shall be measured with errors no greater than ±1 percent. Determine the mass of condensate for the steady-state test ($M_{c,ss}$) in pounds by subtracting the tare container weight from the total container and condensate weight measured at the end of the 30-minute condensate collection test period. The error associated with the mass measurement instruments

shall not exceed ±0.5 percent of the quantity measured.

For units with step-modulating or two stage controls, the steady-state condensate collection test shall be conducted at both the maximum and reduced input rates.

3.8.2 Cyclic condensate collection tests. If existing controls do not allow for cyclical operation of the tested unit, install control devices to allow cyclical operation of the vented heater. Run three consecutive test cycles. For each cycle, operate the unit until flue gas temperatures at the end of each on-cycle, rounded to the nearest whole number, are within 5 °F of each other for two consecutive cycles. On-cycle and off-cycle times are 4 minutes and 13 minutes respectively. Control of ON and OFF operation actions shall be within ±6 seconds of the scheduled time. For fan-type vented heaters, maintain circulating air adjustments as specified in section 2.5 of this appendix. Begin condensate collection at one minute before the on-cycle period of the first test cycle. Remove the container one minute before the end of each off-cycle period. Measure condensate mass for each test-cycle. The error associated with the mass measurement instruments shall not exceed ±0.5 percent of the quantity measured.

Record fuel input during the entire test period starting at the beginning of the on-time period of the first cycle to the beginning of the on-time period of the second cycle, from the beginning of the on-time period of the second cycle to the beginning of the on-time period of the third cycle, etc., for each of the test cycles. Record fuel HHV, temperature, and pressure necessary for determining fuel energy input, Q_C. Determine the mass of condensate for each cycle, M_C, in pounds. If at the end of three cycles, the sample standard deviation is less than or equal to 20 percent of the mean value for three cycles, use total condensate collected in the three cycles as M_C; if not, continue collection for an additional three cycles and use the total condensate collected for the six cycles as M_C. Determine the fuel energy input, Q_C, during the three or six test cycles, expressed in Btu.

For units with step-modulating controls, conduct the cyclic condensate collection test at reduced input rate only. For units with two-stage controls, conduct the cyclic condensate collection test at both maximum and reduced input rates unless the balance-point temperature (T_C) as determined in section 4.1.10 of this appendix O is equal to or less than the typical outdoor design temperature of 5 °F (–5 °C), in which case, conduct testing at the reduced input rate only.

4.0 Calculations.

4.1 *Annual fuel utilization efficiency for gas fueled or oil fueled vented home heating equipment equipped without manual controls or with multiple control modes as per 2.11 and without thermal stack dampers.* The following procedure determines the annual fuel utilization efficiency for gas fueled or oil fueled vented home heating equipment equipped without manual controls and without thermal stack dampers.

4.1.1 *System number.* Obtain the system number from Table 1 of this appendix.

4.1.2 *Off-cycle flue gas draft factor.* Based on the system number, determine the off-cycle flue gas draft factor (D_F) from Table 1 of this appendix or the test method and calculations of sections 3.6 and 4.5 of this appendix.

4.1.3 *Off-cycle stack gas draft factor.* Based on the system number, determine the off-cycle stack gas draft factor (D_s) from Table 1 of this appendix or from the test method and calculations of sections 3.6 and 4.5 of this appendix,.

4.1.4 *Pilot fraction.* Calculate the pilot fraction (P_F) expressed as a decimal and defined as:

$$P_F = Q_P/Q_{in}$$

where:

Q_P = as defined in 3.5 of this appendix

Q_{in} = as defined in 3.1 of this appendix at the maximum fuel input rate

4.1.5 *Jacket loss for floor furnaces.* Determine the jacket loss (L_j) expressed as a percent and measured in accordance with section 3.2 of this appendix. For other vented heaters $L_j = 0.0$.

4.1.6 *Latent heat loss.* For non-condensing vented heaters, obtain the latent heat loss ($L_{L,A}$) from Table 2 of this appendix. For condensing vented heaters, calculate a modified latent heat loss ($L_{L,A}$*) as follows:

For steady-state conditions:

$$L_{L,A}* = L_{L,A} - L_{G,SS} + L_{C,SS}$$

where:

$L_{L,A}$ = Latent heat loss, based on fuel type, from Table 2 of this appendix,

$L_{G,SS}$ = Steady-state latent heat gain due to condensation as determined in section 4.1.6.1 of this appendix, and

$L_{C,SS}$ = Steady-state heat loss due to hot condensate going down the drain as determined in 4.1.6.2 of this appendix.

For cyclic conditions: (only for vented heaters tested under the optional tracer gas procedures of section 3.3 or 3.6)

$$L_{L,A}* = L_{L,A} - L_G + L_C$$

where:

$L_{L,A}$ = Latent heat loss, based on fuel type, from Table 2 of this appendix,

L_G = Latent heat gain due to condensation under cyclic conditions as determined in section 4.1.6.3 of this appendix, and

L_C = Heat loss due to hot condensate going down the drain under cyclic conditions as determined in section 4.1.6.4 of this appendix.

4.1.6.1 *Latent heat gain due to condensation under steady-state conditions.* Calculate the latent heat gain ($L_{G,SS}$) expressed as a percent and defined as:

$$L_{G,SS} = 100\frac{(1053.3)M_{C.SS}}{Q_{C,SS}}$$

where:

100 = conversion factor to express a decimal as a percent,

1053.3 = latent heat of vaporization of water, Btu per pound,

$M_{c,ss}$ = mass of condensate for the steady-state test as determined in section 3.8.1 of this appendix, pounds, and

$Q_{c,ss}$ = fuel energy input for steady-state test as determined in section 3.8.1 of this appendix, Btu.

4.1.6.2 *Heat loss due to hot condensate going down the drain under steady-state conditions.* Calculate the steady-state heat loss due to hot condensate going down the drain ($L_{C,SS}$) expressed as a percent and defined as:

$$L_{C,SS} = L_{G,SS}\frac{1.0\left(T_{F,SS} - 70\right) - 0.45\left(T_{F,SS} - 45\right)}{1053.3}$$

where:

$L_{G,SS}$ = Latent heat gain due to condensation under steady-state conditions as defined in section 4.1.6.1 of this appendix,

1.0 = specific heat of water, Btu/lb− °F,

$T_{F,SS}$ = Flue (or stack) gas temperature as defined in section 3.1 of this appendix, °F,

70 = assumed indoor temperature, °F,

0.45 = specific heat of water vapor, Btu/lb− °F, and

45 = average outdoor temperature for vented heaters, °F.

4.1.6.3 *Latent heat gain due to condensation under cyclic conditions.* (only for vented heaters tested under the optional tracer gas procedures of section 3.3 or 3.6 of this appendix) Calculate the latent heat gain (L_G) expressed as a percent and defined as:

$$L_G = 100\frac{(1053.3)M_C}{Q_C}$$

where:

100 = conversion factor to express a decimal as a percent,

1053.3 = latent heat of vaporization of water, Btu per pound,

M_c = mass of condensate for the cyclic test as determined in 3.8.2 of this appendix, pounds, and

Q_c = fuel energy input for cyclic test as determined in 3.8.2 of this appendix, Btu.

4.1.6.4 *Heat loss due to hot condensate going down the drain under cyclic conditions. (only for vented heaters tested under the optional tracer gas procedures of section 3.3 or 3.6 of this appendix)* Calculate the cyclic heat loss due to hot condensate going down the drain (L_C) expressed as a percent and defined as:

$$L_C = L_G\frac{1.0\left(T_{F,SS} - 70\right) - 0.45\left(T_{F,SS} - 45\right)}{1053.3}$$

where:

L_G = Latent heat gain due to condensation under cyclic conditions as defined in section 4.1.6.3 of this appendix,
1.0 = specific heat of water, Btu/lb− °F,
$T_{F,SS}$ = Flue (or stack) gas temperature as defined in section 3.1 of this appendix,
70 = assumed indoor temperature, °F,
0.45 = specific heat of water vapor, Btu/lb− °F, and
45 = average outdoor temperature for vented heaters, °F.

4.1.7 *Ratio of combustion air mass flow rate to stoichiometric air mass flow rate.* Determine the ratio of combustion air mass flow rate to stoichiometric air mass flow rate ($R_{T,F}$), and defined as:

$$R_{T,F} = A + B/X_{CO2F}$$

where:

A = as determined from Table 2 of this appendix
B = as determined from Table 2 of this appendix
X_{CO2F} = as defined in 3.1 of this appendix

4.1.8 *Ratio of combustion and relief air mass flow rate to stoichiometric air mass flow rate.* For vented heaters equipped with either an integral draft diverter or a draft hood, determine the ratio of combustion and relief air mass flow rate to stoichiometric air mass flow rate ($R_{T,S}$), and defined as:

$$R_{T,S} = A + [B/X_{CO2S}]$$

where:

A = as determined from Table 2 of this appendix,
B = as determined from Table 2 of this appendix, and
X_{CO2S} = as defined in section 3.1 of this appendix.

4.1.9 *Sensible heat loss at steady-state operation.* For vented heaters equipped with either an integral draft diverter or a draft hood, determine the sensible heat loss at steady-state operation ($L_{S,SS,A}$) expressed as a percent and defined as:

where:

$$L_{S,SS,A} = C(R_{T,S} + D)(T_{S,SS} - T_{RA})$$

C = as determined from Table 2 of this appendix
$R_{T,S}$ = as defined in 4.1.8 of this appendix
D = as determined from Table 2 of this appendix
$T_{S,SS}$ = as defined in 3.1 of this appendix
T_{RA} = as defined in 2.9 of this appendix

For vented heaters equipped without an integral draft diverter, determine ($L_{S,SS,A}$) expressed as a percent and defined as:

$$L_{S,SS,A} = C(R_{T,F} + D)(T_{F,SS} - T_{RA})$$

where:

C = as determined from Table 2 of this appendix
$R_{T,F}$ = as defined in 4.1.7 of this appendix
D = as determined from Table 2 of this appendix
$T_{F,SS}$ = as defined in 3.1 of this appendix
T_{RA} = as defined in 2.9 of this appendix

4.1.10 *Steady-state efficiency.* For vented heaters equipped with single-stage thermostats, calculate the steady-state efficiency (excluding jacket loss), $\eta_{SS,}$ expressed in percent and defined as:

$$\eta_{SS} = 100 - L_{L,A} - L_{S,SS,A}$$

where:

$L_{L,A}$ = latent heat loss, as defined in section 4.1.6 of this appendix (for condensing vented heaters $L_{L,A}$* for steady-state conditions), and
$L_{S,SS,A}$ = sensible heat loss at steady-state operation, as defined in section 4.1.9 of this appendix.

For vented heaters equipped with either two stage controls or with step-modulating controls, calculate the steady-state efficiency at the reduced fuel input rate, η_{SS-L}, expressed in percent and defined as:

$$\eta_{SS-L} = 100 - L_{L,A} - L_{S,SS,A}$$

where:

$L_{L,A}$ = latent heat loss, as defined in section 4.1.6 of this appendix (for condensing vented heaters $L_{L,A}$* for steady-state conditions at the reduced firing rate), and
$L_{S,SS,A}$ = sensible heat loss at steady-state operation, as defined in section 4.1.9 of this appendix, in which $L_{S,SS,A}$ is determined at the reduced fuel input rate.

For vented heaters equipped with two stage controls, calculate the steady-state efficiency at the maximum fuel input rate, η_{SS-H}, expressed in percent and defined as:

$$\eta_{SS-H} = 100 - L_{L,A} - L_{S,SS,A}$$

where:

$L_{L,A}$ = latent heat loss, as defined in section 4.1.6 of this appendix (for condensing vented heaters $L_{L,A}$* for steady-state conditions at the maximum fuel input rate), and
$L_{S,SS,A}$ = sensible heat loss at steady-state operation, as defined in section 4.1.9 of this appendix, in which $L_{S,SS,A}$ is measured at the maximum fuel input rate.

For vented heaters equipped with step-modulating thermostats, calculate the weighted-average steady-state efficiency in the modulating mode, η_{SS-MOD}, expressed in percent and defined as:

$$\eta_{SS-MOD} = [\eta_{SS-H} - \eta_{SS-L}]\left[\frac{T_C - T_{OA*}}{T_C - 15}\right] + \eta_{SS-L}$$

where:

η_{SS-H} = steady-state efficiency at the maximum fuel input rate, as defined in section 4.1.10 of this appendix,

η_{SS-L} = steady-state efficiency at the reduced fuel input rate, as defined in section 4.1.10 of this appendix,

T_{OA}* = average outdoor temperature for vented heaters with step-modulating thermostats operating in the modulating mode and is obtained from Table 3 or Figure 1 of this appendix, and

T_C = balance point temperature which represents a temperature used to apportion the annual heating load between the reduced input cycling mode and either the modulating mode or maximum input cycling mode and is obtained either from Table 3 of this appendix or calculated by the following equation:

$T_C = 65 - [(65 - 15)R]$

where:

65 = average outdoor temperature at which a vented heater starts operating,

15 = national average outdoor design temperature for vented heaters, and

R = ratio of reduced to maximum heat output rates, as defined in section 4.1.13 of this appendix.

4.1.11 *Reduced heat output rate.* For vented heaters equipped with either two stage thermostats or step-modulating thermostats, calculate the reduced heat output rate ($Q_{red-out}$) defined as:

$Q_{red-out} = \eta_{SS-L}\, Q_{red-in}$

where:

η_{SS-L} = as defined in 4.1.10 of this appendix

Q_{red-in} = the reduced fuel input rate

4.1.12 *Maximum heat output rate.* For vented heaters equipped with either two stage thermostats or step-modulating thermostats, calculate the maximum heat output rate ($Q_{max-out}$) defined as:

$Q_{max,out} = h_{SS,H}\, Q_{max,in}$

where:

η_{SS-H} = as defined in 4.1.10 of this appendix

Q_{max-in} = the maximum fuel input rate

4.1.13 *Ratio of reduced to maximum heat output rates.* For vented heaters equipped with either two stage thermostats or step-modulating thermostats, calculate the ratio of reduced to maximum heat output rates (R) expressed as a decimal and defined as:

$R = Q_{red-out}/Q_{max-out}$

where:

$Q_{red-out}$ = as defined in 4.1.11 of this appendix

$Q_{max-out}$ = as defined in 4.1.12 of this appendix

4.1.14 *Fraction of heating load at reduced operating mode.* For vented heaters equipped with either two stage thermostats or step-modulating thermostats, determine the fraction of heating load at the reduced operating mode (X_1) expressed as a decimal and listed in Table 3 of this appendix or obtained from Figure 2 of this appendix.

4.1.15 *Fraction of heating load at maximum operating mode or noncycling mode.* For vented heaters equipped with either two stage thermostats or step-modulating thermostats, determine the fraction of heating load at the maximum operating mode or noncycling mode (X_2) expressed as a decimal and listed in Table 3 of this appendix or obtained from Figure 2 of this appendix.

4.1.16 *Weighted-average steady-state efficiency.* For vented heaters equipped with single-stage thermostats, the weighted-average steady-state efficiency (η_{SS-WT}) is equal to $\eta_{SS,}$ as defined in section 4.1.10 of this appendix. For vented heaters equipped with two stage thermostats, η_{SS-WT} is defined as:

$\eta_{SS-WT} = X_1\eta_{SS-L} + X_2\eta_{SS-H}$

where:

X_1 = as defined in section 4.1.14 of this appendix

η_{SS-L} = as defined in section 4.1.10 of this appendix

X_2 = as defined in section 4.1.15 of this appendix

η_{SS-H} = as defined in section 4.1.10 of this appendix

For vented heaters equipped with step-modulating controls, η_{SS-WT} is defined as:

$\eta_{SS-WT} = X_1\eta_{SS-L} + X_2\eta_{SS-MOD}$

where:

X_1 = as defined in section 4.1.14 of this appendix

η_{SS-L} = as defined in section 4.1.10 of this appendix

X_2 = as defined in section 4.1.15 of this appendix

η_{SS-MOD} = as defined in section 4.1.10 of this appendix

4.1.17 *Annual fuel utilization efficiency.* Calculate the annual fuel utilization efficiency (AFUE) expressed as percent and defined as:

$AFUE = [0.968\eta_{SS\ -\ WT}] - 1.78D_F - 1.89D_S - 129P_F - 2.8\ L_J + 1.81$

where:

η_{SS-WT} = as defined in 4.1.16 of this appendix

D_F = as defined in 4.1.2 of this appendix
D_S = as defined in 4.1.3 of this appendix
P_F = as defined in 4.1.4 of this appendix
L_J = as defined in 4.1.5 of this appendix

4.2 *Annual fuel utilization efficiency for gas or oil fueled vented home heating equipment equipped with manual controls.* The following procedure determines the annual fuel utilization efficiency for gas or oil fueled vented home heating equipment equipped with manual controls.

4.2.1 *Average ratio of stack gas mass flow rate to flue gas mass flow rate at steady-state operation.* For vented heaters equipped with either direct vents or direct exhaust or that are outdoor units, the average ratio of stack gas mass flow rate to flue gas mass flow rate at steady-state operation (S/F) shall be equal to unity. (S/F = 1) For all other types of vented heaters, calculate (S/F) defined as:

$$\frac{S}{F} = 1.3\frac{R_{T,S}}{R_{T,F}}$$

where:

$R_{T,S}$ = as defined in section 4.1.8 of this appendix with X_{CO2s} as measured in section 3.1. of this appendix

$R_{T,F}$ = as defined in section 4.1.7 of this appendix with X_{CO2F} as measured in section 3.1. of this appendix

4.2.2 *Multiplication factor for infiltration loss during burner on-cycle.* Calculate the multiplication factor for infiltration loss during burner on-cycle ($K_{I,ON}$) defined as:

$$K_{I,ON} = 100(0.24)(S/F)(0.7)\frac{1 + R_{T,F}(A/F)}{HHV_A}$$

where:

100 = converts a decimal fraction into a percent
0.24 = specific heat of air
A/F = stoichiometric air/fuel ratio, determined in accordance with Table 2 of this appendix
S/F = as defined in section 4.2.1 of this appendix
0.7 = infiltration parameter
$R_{T,F}$ = as defined in section 4.1.7 of this appendix
HHV_A = average higher heating value of the test fuel, determined in accordance with Table 2 of this appendix

4.2.3 *On-cycle infiltration heat loss.* Calculate the on-cycle infiltration heat loss ($L_{I,ON}$) expressed as a percent and defined as:

$L_{I,ON} = K_{I,ON}$ (70–45)

where:

$K_{I,ON}$ = as defined in 4.2.2 of this appendix
70 = average indoor temperature
45 = average outdoor temperature

4.2.4 *Weighted-average steady-state efficiency.*

4.2.4.1 For manually controlled heaters with various input rates the weighted average steady-state efficiency (η_{SS-WT}), is determined as follows:

$\eta_{SS-WT} = 100 - L_{L,A} - L_{S,SS,A}$

where:

$L_{L,A}$ = latent heat loss, as defined in section 4.1.6 of this appendix (for condensing vented heaters, $L_{L,A}$* for steady-state conditions), and

$L_{S,SS,A}$ = steady-state efficiency at the reduced fuel input rate, as defined in section 4.1.9 of this appendix and where $L_{L,A}$ and $L_{S,SS,A}$ are determined:

(1) at 50 percent of the maximum fuel input rate as measured in either section 3.1.1 of this appendix for manually controlled gas vented heaters or section 3.1.2 of this appendix for manually controlled oil vented heaters, or

(2) at the minimum fuel input rate as measured in either section 3.1.1 of this appendix for manually controlled gas vented heaters or section 3.1.2 of this appendix for manually controlled oil vented heaters if the design of the heater is such that the ±5 percent of 50 percent of the maximum fuel input rate cannot be set, provided this minimum rate is no greater than ⅔ of the maximum input rate of the heater.

4.2.4.2 For manually controlled heater with one single firing rate the weighted average steady-state efficiency is the steady-state efficiency measured at the single firing rate.

4.2.5 *Part-load fuel utilization efficiency*. Calculate the part-load fuel utilization efficiency (η_u) expressed as a percent and defined as:

$\eta_u = \eta_{SS\text{-}WT} - L_{I,ON}$

where:

$\eta_{SS\text{-}WT}$ = as defined in 4.2.4 of this appendix
$L_{I,ON}$ = as defined in 4.2.3 of this appendix

4.2.6 *Annual Fuel Utilization Efficiency*.

4.2.6.1 For manually controlled vented heaters, calculate the AFUE expressed as a percent and defined as:

$$AFUE = \frac{2{,}950\ \eta_{SS}\ \eta_u\ Q_{in-max}}{2{,}950\ \eta_{SS}\ Q_{in-max} + 2.083(4{,}600)\eta_u\ Q_P}$$

where:

2,950 = average number of heating degree days
η_{SS} = as defined as η_{SS-WT} in 4.2.4 of this appendix
η_u = as defined in 4.2.5 of this appendix
Q_{in-max} = as defined as Q_{in} at the maximum fuel input rate, as defined in 3.1 of this appendix
4,600 = average number of non-heating season hours per year
Q_P = as defined in 3.5 of this appendix
2.083 = (65 − 15) / 24 = 50 / 24
65 = degree day base temperature, °F
15 = national average outdoor design temperature for vented heaters as defined in section 4.1.10 of this appendix
24 = number of hours in a day

4.2.6.2 For manually controlled vented heaters where the pilot light can be turned off by the user when the heater is not in use as described in section 3.5.2, calculate the AFUE expressed as a percent and defined as:

$AFUE = \eta_u$

where:

η_u = as defined in section 4.2.5 of this appendix

4.3 *Annual fuel utilization efficiency by the tracer gas method*. The annual fuel utilization efficiency shall be determined by the following tracer gas method for all vented heaters equipped with thermal stack dampers.

4.3.1 *On-cycle sensible heat loss*. For vented heaters equipped with single-stage thermostats, calculate the on-cycle sensible heat loss ($L_{S,ON}$) expressed as a percent and defined as:

$L_{S,ON} = L_{S,SS,A}$

where:

$L_{S,SS,A}$ = as defined in section 4.1.9 of this appendix

For vented heaters equipped with two stage thermostats, calculate $L_{S,ON}$ defined as:

$L_{S,ON} = X_1 L_{S,SS,A\text{-}red} + X_2 L_{S,SS,A\text{-}max}$

where:

X_1 = as defined in section 4.1.14 of this appendix
$L_{S,SS,A\text{-}red}$ = as defined as $L_{S,SS,A}$ in section 4.1.9 of this appendix at the reduced fuel input rate
X_2 = as defined in section 4.1.15 of this appendix
$L_{S,SS,A\text{-}max}$ = as defined as $L_{S,SS,A}$ in section 4.1.9 of this appendix at the maximum fuel input rate

For vented heaters with step-modulating controls, calculate $L_{S,ON}$ defined as:

$L_{S,ON} = X_1 L_{S,SS,A\text{-}red} + X_2 L_{S,SS,A\text{-}avg}$

where:

X_1 = as defined in section 4.1.14 of this appendix
$L_{LS,SS,A\text{-}red}$ = as defined in section 4.3.1 of this appendix
X_2 = as defined in section 4.1.15 of this appendix
$L_{S,SS,A\text{-}avg}$ = average sensible heat loss for step-modulating vented heaters operating in the modulating mode

$$L_{S,SS,A-avg} = \left[\left[L_{S,SS,A-max} - L_{S,SS,A-red}\right]\left[\frac{T_C - T_{OA*}}{T_C - 15}\right]\right] + L_{S,SS,A-red}$$

where:

$L_{S,SS,A\text{-}avg}$ = as defined in section 4.3.1 of this appendix
T_C = as defined in section 4.1.10 of this appendix
T_{OA*} = as defined in section 4.1.10 of this appendix

15 = as defined in section 4.1.10 of this appendix

4.3.2 *On-cycle infiltration heat loss.* For vented heaters equipped with single-stage thermostats, calculate the on-cycle infiltration heat loss ($L_{I,ON}$) expressed as a percent and defined as:

$L_{I,ON} = K_{I,ON}(70-45)$

where:

$K_{I,ON}$ = as defined in section 4.2.2 of this appendix

70 = as defined in section 4.2.3 of this appendix

45 = as defined in section 4.2.3 of this appendix

For vented heaters equipped with two stage thermostats, calculate $L_{I,ON}$ defined as:

$L_{I,ON} = X_1K_{I,ON\text{-}Max}(70-T_{OA*}) + X_2K_{I,ON,red}(70-T_{OA})$

where:

X_1 = as defined in section 4.1.14 of this appendix

$K_{I,ON\text{-}max}$ = as defined as $K_{I,ON}$ in section 4.2.2 of this appendix at the maximum heat input rate

70 = as defined in section 4.2.3 of this appendix

T_{OA*} = as defined in section 4.3.4 of this appendix

$K_{I,ON,red}$ = as defined as $K_{I,ON}$ in section 4.2.2 of this appendix at the minimum heat input rate

T_{OA} = as defined in section 4.3.4 of this appendix

X_2 = as defined in section 4.1.15 of this appendix

For vented heaters equipped with step-modulating thermostats, calculate $L_{I,ON}$ defined as:

$L_{I,ON} = X_1K_{I,ON\text{-}avg}(70-T_{OA*}) + X_2K_{I,ON,red}(70-T_{OA})$

where:

X_1 = as defined in section 4.1.14 of this appendix

$$K_{I,on,avg} = \frac{\left[K_{I,on,max} + K_{I,on,red}\right]}{2}$$

70 = as defined in section 4.2.3 of this appendix

T_{OA*} = as defined in section 4.3.4 of this appendix

X_2 = as defined in section 4.1.15 of this appendix

T_{OA} = as defined in section 4.3.4 of this appendix

4.3.3 *Off-cycle sensible heat loss.* For vented heaters equipped with single-stage thermostats, calculate the off-cycle sensible heat loss ($L_{S,OFF}$) at the maximum fuel input rate. For vented heaters equipped with step-modulating thermostats, calculate $L_{S,OFF}$ defined as:

$L_{S,OFF} = X_1\ L_{S,OFF,red}$

where:

X_1 = as defined in section 4.1.14 of this appendix, and

$L_{S,OFF,red}$ = as defined as $L_{S,OFF}$ in section 4.3.3 of this appendix at the reduced fuel input rate.

For vented heaters equipped with two stage controls, calculate $L_{S,OFF}$ defined as:

$L_{S,OFF} = X_1\ L_{S,OFF,red} + X_2\ L_{S,OFF,Max}$

where:

X_1 = as defined in section 4.1.14 of this appendix,

$L_{S,OFF,red}$ = as defined as $L_{S,OFF}$ in section 4.3.3 of this appendix at the reduced fuel input rate,

X_2 = as defined in section 4.1.15 of this appendix, and

$L_{S,OFF,Max}$ = as defined as $L_{S,OFF}$ in section 4.3.3 of this appendix at the maximum fuel input rate.

Calculate the off-cycle sensible heat loss ($L_{S,OFF}$) expressed as a percent and defined as:

$$L_{s,OFF} = \frac{100\ (0.24)}{Q_{in}t_{on}}\sum m_{s,OFF}(T_{s,OFF} - T_{RA})$$

where:

100 = conversion factor for percent,

0.24 = specific heat of air in Btu per pound—°F,

Q_{in} = fuel input rate, as defined in section 3.1 of this appendix in Btu per minute (as appropriate for the firing rate),

t_{on} = average burner on-time per cycle and is 20 minutes,

$\Sigma m_{S,OFF} (T_{S,OFF} - T_{RA})$ = summation of the ten values (for single-stage or step-modulating models) or twenty values (for two tage models) of the quantity, $m_{S,OFF}$ $(T_{S,OFF} - T_{RA})$, measured in accordance with section 3.3 of this appendix, and

$m_{S,OFF}$ = stack gas mass flow rate pounds per minute.

$$m_{S,OFF} = \frac{1.325 P_B V_T (C_{T*} - C_T)}{C_T (T_T + 460)}$$

$T_{S,OFF}$ = stack gas temperature measured in accordance with section 3.3 of this appendix,

T_{RA} = average room temperature measured in accordance with section 3.3 of this appendix,

P_B = barometric pressure in inches of mercury,

V_T = flow rate of the tracer gas through the stack in cubic feet per minute,

C_{T*} = concentration by volume of the active tracer gas in the mixture in percent and is 100 when the tracer gas is a single component gas,

C_T = concentration by volume of the active tracer gas in the diluted stack gas in percent,

T_T = temperature of the tracer gas entering the flow meter in degrees Fahrenheit, and

$(T_T + 460)$ = absolute temperature of the tracer gas entering the flow meter in degrees Rankine.

4.3.4 *Average outdoor temperature.* For vented heaters equipped with single-stage thermostats, the average outdoor temperature (T_{OA}) is 45 °F. For vented heaters equipped with either two stage thermostats or step-modulating thermostats, T_{OA} during the reduced operating mode is obtained from Table 3 or Figure 1 of this appendix. For vented heaters equipped with two stage thermostats, T_{OA*} during the maximum operating mode is obtained from Table 3 or Figure 1 of this appendix.

4.3.5 *Off-cycle infiltration heat loss.* For vented heaters equipped with single stage thermostats, calculate the off-cycle infiltration heat loss ($L_{I,OFF}$) at the maximum fuel input rate. For vented heaters equipped with step-modulating thermostats, calculate $L_{I,OFF}$ defined as:

$L_{I,OFF} = X_1 L_{I,OFF,red}$

where:

X_1 = as defined in section 4.1.14 of this appendix

$L_{I,OFF,red}$ = as defined in $L_{I,OFF}$ in section 4.3.5 of this appendix at the reduced fuel input rate

For vented heaters equipped with two stage thermostats, calculate $L_{I,OFF}$ defined as:

$L_{I,OFF} = X_1 L_{I,OFF,red} + X_2 L_{I,OFF,max}$

where:

X_1 = as defined in section 4.1.14 of this appendix

$L_{I,OFF,red}$ = as defined as $L_{I,OFF}$ in section 4.3.5 of this appendix at the reduced fuel input rate

X_2 = as defined in section 4.1.15 of this appendix

$L_{I,OFF,Max}$ = as defined as $L_{I,OFF}$ in section 4.3.5 of this appendix at the maximum fuel input rate

Calculate the off-cycle infiltration heat loss ($L_{I,OFF}$) expressed as a percent and defined as:

$$L_{I,OFF} = \frac{100(0.24)(1.3)(0.7)(70 - T_{OA})}{Q_{in} t_{on}} \sum m_{S,OFF}$$

where:

100 = conversion factor for percent

0.24 = specific heat of air in Btu per pound—°F

1.3 = dimensionless factor for converting laboratory measured stack flow to typical field conditions

0.7 = infiltration parameter

70 = assumed average indoor air temperature, °F

T_{OA} = average outdoor temperature as defined in section 4.3.4 of this appendix

Q_{in} = fuel input rate, as defined in section 3.1 of this appendix in Btu per minute (as appropriate for the firing rate)

t_{on} = average burner on-time per cycle and is 20 minutes

$\Sigma m_{S,OFF}$ = summation of the twenty values of the quantity, $m_{S,OFF}$, measured in accordance with section 3.3 of this appendix

$m_{S,OFF}$ = as defined in section 4.3.3 of this appendix

4.3.6 *Part-load fuel utilization efficiency.* Calculate the part-load fuel utilization efficiency (η_u) expressed as a percent and defined as:

$$\eta_u = 100 - L_{L,A} - C_j L_j - \left[\frac{t_{on}}{t_{on} + P_F\, t_{off}}\right] \times \left[L_{S,ON} + L_{S,OFF} + L_{I,ON} + L_{I,OFF}\right]$$

where:

C_j = 2.8, adjustment factor,
L_j = jacket loss as defined in section 4.1.5,
$L_{L,A}$ = Latent heat loss, as defined in section 4.1.6 of this appendix (for condensing vented heaters $L_{L,A}$* for cyclic conditions),
t_{on} = Average burner on time which is 20 minutes,
$L_{S,ON}$ = On-cycle sensible heat loss, as defined in section 4.3.1 of this appendix,
$L_{S,OFF}$ = Off-cycle sensible heat loss, as defined in section 4.3.3 of this appendix,
$L_{I,ON}$ = On-cycle infiltration heat loss, as defined in section 4.3.2 of this appendix,
$L_{I,OFF}$ = Off-cycle infiltration heat loss, as defined in section 4.3.5 of this appendix,
P_F = Pilot fraction, as defined in section 4.1.4 of this appendix, and
t_{OFF} = average burner off-time per cycle, which is 20 minutes.

4.3.7 Annual Fuel Utilization Efficiency.

Calculate the AFUE expressed as a percent and defined as:

$$AFUE = \frac{2{,}950\ \eta_{SS-WT}\ \eta_u\ Q_{in-max}}{2{,}950\ \eta_{SS-WT}\ Q_{in-max} + 2.083(4{,}600)\,\eta_u\ Q_P}$$

where:

2,950 = average number of heating degree days
η_{SS-WT} = as defined in 4.1.16 of this appendix
η_u = as defined in 4.3.6 of this appendix
Q_{in-max} = as defined in 4.2.6 of this appendix
4,600 = as specified in 4.2.6 of this appendix
Q_P = as defined in 3.5 of this appendix
2.083 = as specified in 4.2.6 of this appendix

4.4 *Stack damper effectiveness for vented heaters equipped with electro-mechanical stack dampers.* Determine the stack damper effectiveness for vented heaters equipped with electro-mechanical stack dampers (D_o), defined as:

$D_o = 1.62\ [1—A_D \cos \Omega/A_S]$

where:

A_D = as defined in 3.4 of this appendix
Ω = as defined in 3.4 of this appendix
A_S = as defined in 3.4 of this appendix

4.5 *Addition requirements for vented home heating equipment using indoor air for combustion and draft control.* For vented home heating equipment using indoor air for combustion and draft control, D_F, as described in section 4.1.2 of this appendix, and D_S, as described in section 4.1.3 of this appendix, shall be determined from Table 1 of this appendix.

4.5.1 *Optional procedure for determining D_P for vented home heating equipment.* Calculate the ratio (D_P) of the rate of flue gas mass through the vented heater during the off-period, $M_{F,OFF}(T_{F,SS})$, to the rate of flue gas mass flow during the on-period, $M_{F,SS}(T_{F,SS})$, and defined as:

$D_P = M_{F,OFF}(T_{F,SS})/M_{F,SS}(T_{F,SS})$

For vented heaters in which no draft is maintained during the steady-state or cool down tests, $M_{F,OFF}(T_{F,SS})$ is defined as:

$$M_{F,OFF}\left(T_{F,SS}\right) = M_{F,OFF}\left(T^*_{F,OFF}\right)\left[\frac{(T_{F,SS} - T_{RA})}{(T^*_{F,OFF} - T_{RA})}\right]^{.56}\left[\frac{(T^*_{F,OFF} + 460)}{(T_{F,SS} + 460)}\right]^{1.19}$$

For oil fueled vented heaters in which an imposed draft is maintained, as described in section 3.6 of this appendix, $M_{F,OFF}(T_{F,SS})$ is defined as:

$M_{F,OFF}(T_{F,SS}) = M_{F,OFF}(T^*_{F,OFF})$

where:

$T_{F,SS}$ = as defined in section 3.1.1 of this appendix,

$T^*_{F,OFF}$ = flue gas temperature during the off-period measured in accordance with section 3.6 of this appendix in degrees Fahrenheit, and

T_{RA} = as defined in section 2.9 of this appendix.

$$M_{F,OFF}(T^*_{F,OFF}) = \frac{1.325 P_B V_T (C_{T*} - C_T)}{C_T (T_T + 460)}$$

P_B = barometric pressure measured in accordance with section 3.6 of this appendix in inches of mercury,

V_T = flow rate of tracer gas through the vented heater measured in accordance with section 3.6 of this appendix in cubic feet per minute,

C_T = concentration by volume of tracer gas present in the flue gas sample measured in accordance with section 3.6 of this appendix in percent,

C_{T*} = concentration by volume of the active tracer gas in the mixture in percent and is 100 when the tracer gas is a single component gas,

T_T = the temperature of the tracer gas entering the flow meter measured in accordance with section 3.6 of this appendix in degrees Fahrenheit, and

$(T_T + 460)$ = absolute temperature of the tracer gas entering the flow meter in degrees Rankine.

$M_{F,SS}(T_{F,SS}) = Q_{in}[R_{T,F}(A/F) + 1]/[60HHV_A]$

Q_{in} = as defined in section 3.1 of this appendix,

$R_{T,F}$ = as defined in section 4.1.7 of this appendix,

A/F = as defined in section 4.2.2 of this appendix, and

HHV_A = as defined in section 4.2.2 of this appendix.

4.5.2 *Optional procedure for determining off-cycle draft factor for flue gas flow for vented heaters.* For systems numbered 1 through 10, calculate the off-cycle draft factor for flue gas flow (D_F) defined as:

$D_F = D_P$

For systems numbered 11 or 12: $D_F = D_P\ D_O$

For systems complying with section 3.6.1 or 3.6.2, $D_F = 0.05$

Where:

D_P = as defined in section 4.5.1. of this appendix, and

D_O = as defined in section 4.4 of this appendix.

4.5.3 *Optional procedure for determining off-cycle draft factor for stack gas flow for vented heaters.* Calculate the off-cycle draft factor for stack gas flow (D_S) defined as:

For systems numbered 1 or 2: $D_S = 1.0$

For systems numbered 3 or 4: $D_S = (D_P + 0.79)/1.4$

For systems numbered 5 or 6: $D_S = D_O$

For systems numbered 7 or 8 and if $D_O(S/F)<1$: $D_S = D_O\ D_P$

For systems numbered 7 or 8 and if $D_O(S/F)>1$:

$D_S = D_O\ D_P + [0.85 - D_O\ D_P]\ [D_O(S/F) - 1]/[S/F - 1]$

where:

D_P = as defined in section 4.5.1 or 3.6.1 of this appendix, as applicable

D_O = as defined in section 4.4 of this appendix

4.6 *Annual energy consumption.*

4.6.1 *National average number of burner operating hours.* For vented heaters equipped with single stage controls or manual controls, the national average number of burner operating hours (BOH) is defined as:

$BOH_{SS} = 1{,}416 A_F A\ DHR - 1{,}416\ B$

where:

1,416 = national average heating load hours for vented heaters based on 2,950 degree days and 15 °F outdoor design temperature

A_F = 0.7067, adjustment factor to adjust the calculated design heating requirement and heating load hours to the actual heating load experienced by the heating system

DHR = typical design heating requirements based on Q_{OUT}, from Table 4 of this appendix.

$Q_{OUT} = [(\eta_{SS}/100) - C_j\ (L_j/100)]\ Q_{in}$

L_j = jacket loss as defined in 4.1.5 of this appendix

C_j = 2.8, adjustment factor as defined in 4.3.6 of this appendix

η_{SS} = steady-state efficiency as defined in 4.1.10 of this appendix, percent

Q_{in} = as defined in 3.1 of this appendix at the maximum fuel input rate

$A = 100{,}000/[341{,}300 P_E + (Q_{in} - Q_P)\eta_u]$

$B = 2.938(Q_P)\ \eta_u\ A/100{,}000$

100,000 = factor that accounts for percent and kBtu

P_E = as defined in 3.1.3 of this appendix

Q_P = as defined in 3.5 of this appendix

η_u = as defined in 4.3.6 of this appendix for vented heaters using the tracer gas method, percent
= as defined in 4.2.5 of this appendix for manually controlled vented heaters, percent
= 2,950 AFUEη_{SS} Q_{in}/[2,950 η_{SS} Q_{in}— AFUE(2.083)(4,600)Q_P], for vented heaters equipped without manual controls and without thermal stack dampers and not using the optional tracer gas method, where:
AFUE = as defined in 4.1.17 of this appendix, percent
2,950 = average number of heating degree days as defined in 4.2.6 of this appendix
4,600 = average number of non-heating season hours per year as defined in 4.2.6 of this appendix
2.938 = (4,160/1,416) = ratio of the average length of the heating season in hours to the average heating load hours
2.083 = as specified in 4.2.6 of this appendix

4.6.1.1 For vented heaters equipped with two stage or step modulating controls the national average number of burner operating hours at the reduced operating mode is defined as:

$BOH_R = X_1 E_M / Q_{red\text{-}in}$

where:

X_1 = as defined in 4.1.14 of this appendix
$Q_{red\text{-}in}$ = as defined in 4.1.11 of this appendix
E_M = average annual energy used during the heating season
= $(Q_{in} - Q_P)BOH_{SS} + (8{,}760 - 4{,}600)Q_P$
Q_{in} = as defined in 3.1 of this appendix at the maximum fuel input rate
Q_P = as defined in 3.5 of this appendix
BOH_{SS} = as defined in 4.6.1 of this appendix, in which the term P_E in the factor A is increased by the factor R, which is defined in 3.1.3 of this appendix as:
R = 1.3 for two stage controls
= 1.4 for step modulating controls when the ratio of minimum-to-maximum fuel input is greater than or equal to 0.7
= 1.7 for step modulating controls when the ratio of minimum-to-maximum fuel input is less than 0.7 and greater than or equal to 0.5
= 2.2 for step modulating controls when the ratio of minimum-to-maximum fuel input is less than 0.5
A = 100,000/[341,300 PE R + $(Q_{in} - Q_P)\eta_u$]
8,760 = total number of hours per year
4,600 = as specified in 4.2.6 of this appendix

4.6.1.2 For vented heaters equipped with two stage or step modulating controls the national average number of burner operating hours at the maximum operating mode (BOH_H) is defined as:

$BOH_H = X_2 E_M / Q_{in}$

where:

X_2 = as defined in 4.1.15 of this appendix
E_M = average annual energy used during the heating season
= $(Q_{in} - Q_P)BOH_{SS} + (8{,}760 - 4{,}600)Q_P$
Q_{in} = as defined in 3.1 of this appendix at the maximum fuel input rate

4.6.2 *Average annual fuel energy for gas or oil fueled vented heaters.* For vented heaters equipped with single stage controls or manual controls, the average annual fuel energy consumption (E_F) is expressed in Btu per year and defined as:

$E_F = BOH_{SS}\ (Q_{in} - Q_P) + 8{,}760\ Q_P$

where:

BOH_{SS} = as defined in 4.6.1 of this appendix
Q_{in} = as defined in 3.1 of this appendix
Q_P = as defined in 3.5 of this appendix
8,760 = as specified in 4.6.1 of this appendix

4.6.2.1 For vented heaters equipped with either two stage or step modulating controls E_F is defined as:

$E_F = E_M + 4{,}600 Q_P$

where:

E_M = as defined in 4.6.1.2 of this appendix
4,600 = as specified 4.2.6 of this appendix
Q_P = as defined in 3.5 of this appendix

4.6.3 *Average annual auxiliary electrical energy consumption for vented heaters.* For vented heaters with single-stage controls or manual controls, the average annual auxiliary electrical consumption (E_{AE}) is expressed in kilowatt-hours and defined as:

$E_{AE} = BOH_{SS} P_E + E_{SO}$

Where:

BOH_{SS} = as defined in 4.6.1 of this appendix
P_E = as defined in 3.1.3 of this appendix
E_{SO} = as defined in 4.7 of this appendix

4.6.3.1 For vented heaters with two-stage or modulating controls, E_{AE} is defined as:

$E_{AE} = (BOH_R + BOH_H)P_E + E_{SO}$

Where:

BOH_R = as defined in 4.6.1 of this appendix
BOH_H = as defined in 4.6.1 of this appendix
P_E = as defined in 3.1.3 of this appendix
E_{SO} = as defined in 4.7 of this appendix

4.6.4 *Average annual energy consumption for vented heaters located in a different geographic region of the United States and in buildings with different design heating requirements.*

4.6.4.1 *Average annual fuel energy consumption for gas or oil fueled vented home heaters located in a different geographic region of the United States and in buildings with different design heating requirements.* For gas or oil fueled vented heaters the average annual fuel energy consumption for a specific geographic region and a specific typical design heating requirement (E_{FR}) is expressed in Btu per year and defined as:

$E_{FR} = (E_F - 8{,}760\ Q_P)(HLH/1{,}416) + 8{,}760 Q_P$

where:

E_F = as defined in 4.6.2 of this appendix
8,760 = as specified in 4.6.1 of this appendix
Q_P = as defined in 3.5 of this appendix
HLH = heating load hours for a specific geographic region determined from the heating load hour map in Figure 3 of this appendix
1,416 = as specified in 4.6.1 of this appendix

4.6.4.2 *Average annual auxiliary electrical energy consumption for gas or oil fueled vented home heaters located in a different geographic region of the United States and in buildings with different design heating requirements.* For gas or oil fueled vented home heaters the average annual auxiliary electrical energy consumption for a specific geographic region and a specific typical design heating requirement (E_{AER}) is expressed in kilowatt-hours and defined as:

$E_{AER} = E_{AE}$ HLH/1,416

where:

E_{AE} = as defined in 4.6.3 of this appendix
HLH = as defined in 4.6.4.1 of this appendix
1,416 = as specified in 4.6.1 of this appendix

TABLE 1—OFF–CYCLE DRAFT FACTORS FOR FLUE GAS FLOW (D_F) AND FOR STACK GAS FLOW (D_S) FOR VENTED HOME HEATING EQUIPMENT EQUIPPED WITHOUT THERMAL STACK DAMPERS

System number	(D_F)	(D_S)	Burner type	Venting system type [1]
1	1.0	1.0	Atmospheric	Draft hood or diverter.
2	0.4	1.0	Power	Draft hood or diverter.
3	1.0	1.0	Atmospheric	Barometric draft regulator.
4	0.4	0.85	Power	Barometric draft regulator.
5	1.0	D_O	Atmospheric	Draft hood or diverter with damper.
6	0.4	D_O	Power	Draft hood or diverter with damper.
7	1.0	D_O	Atmospheric	Barometric draft regulator with damper.
8	0.4	D_OD_P	Power	Barometric draft regulator with damper.
9	1.0	0	Atmospheric	Direct vent.
10	0.4	0	Power	Direct vent.
11	D_O	0	Atmospheric	Direct vent with damper.
12	0.4 D_O	0	Power	Direct vent with damper.

[1] Venting systems listed with dampers means electromechanical dampers only.

TABLE 2—VALUES OF HIGHER HEATING VALUE (HHV_A), STOICHIOMETRIC AIR/FUEL (A/F), LATENT HEAT LOSS ($L_{L,A}$) AND FUEL-SPECIFIED PARAMETERS (A, B, C, AND D) FOR TYPICAL FUELS

Fuels	HHV_A (Btu/lb)	A/F	$L_{L,A}$	A	B	C	D
No. 1 oil	19,800	14.56	6.55	0.0679	14.22	0.0179	0.167
No. 2 oil	19,500	14.49	6.50	0.0667	14.34	0.0181	0.167
Natural gas	20,120	14.45	9.55	0.0919	10.96	0.0175	0.171
Manufactured gas	18,500	11.81	10.14	0.0965	10.10	0.0155	0.235
Propane	21,500	15.58	7.99	0.0841	12.60	0.0177	0.151
Butane	20,000	15.36	7.79	0.0808	12.93	0.0180	0.143

TABLE 3—FRACTION OF HEATING LOAD AT REDUCED OPERATING MODE (X1) AND AT MAXIMUM OPERATING MODE (X2), AVERAGE OUTDOOR TEMPERATURES (TOA AND TOA*), AND BALANCE POINT TEMPERATURE (TC) FOR VENTED HEATERS EQUIPPED WITH EITHER TWO-STAGE THERMOSTATS OR STEP-MODULATING THERMOSTATS

Heat output ratio [a]	X1	X2	TOA	TOA*	TC
0.20 to 0.24	.12	.88	57	40	53
0.25 to 0.29	.16	.84	56	39	51
0.30 to 0.34	.20	.80	54	38	49
0.35 to 0.39	.30	.70	53	36	46
0.40 to 0.44	.36	.64	52	35	44
0.45 to 0.49	.43	.57	51	34	42
0.50 to 0.54	.52	.48	50	32	39
0.55 to 0.59	.60	.40	49	30	37
0.60 to 0.64	.70	.30	48	29	34
0.65 to 0.69	.76	.24	47	27	32
0.70 to 0.74	.84	.16	46	25	29
0.75 to 0.79	.88	.12	46	22	27

TABLE 3—FRACTION OF HEATING LOAD AT REDUCED OPERATING MODE (X1) AND AT MAXIMUM OPERATING MODE (X2), AVERAGE OUTDOOR TEMPERATURES (TOA AND TOA*), AND BALANCE POINT TEMPERATURE (TC) FOR VENTED HEATERS EQUIPPED WITH EITHER TWO-STAGE THERMOSTATS OR STEP-MODULATING THERMOSTATS—Continued

Heat output ratio [a]	X1	X2	TOA	TOA*	TC
0.80 to 0.84	.94	.06	45	20	23
0.85 to 0.89	.96	.04	45	18	21
0.90 to 0.94	.98	.02	44	16	19
0.95 to 0.99	.99	.01	44	13	17

[a] The heat output ratio means the ratio of minimum to maximum heat output rates as defined in 4.1.13.

TABLE 4—AVERAGE DESIGN HEATING REQUIREMENTS FOR VENTED HEATERS WITH DIFFERENT OUTPUT CAPACITIES

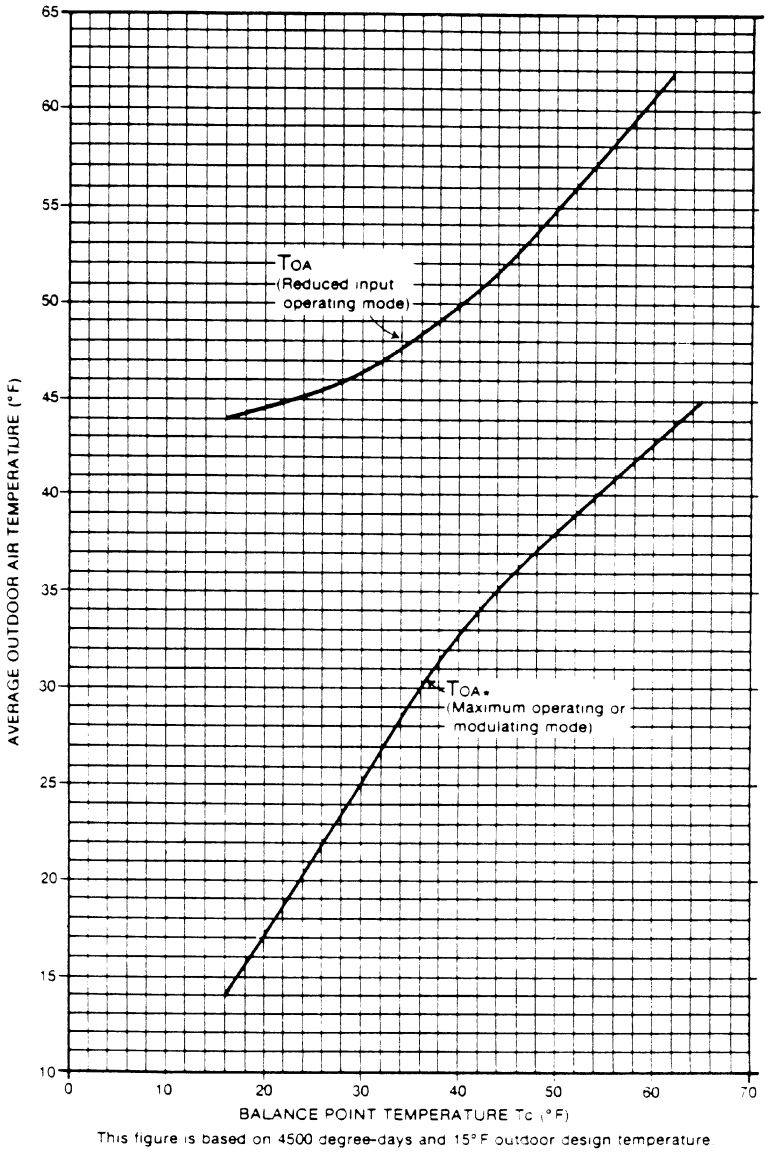
Vented heaters output capacity Q_{out}—(Btu/hr)	Average design heating requirements (kBtu/hr)
5,000–7,499	5.0
7,500–10,499	7.5
10,500–13,499	10.0
13,500–16,499	12.5
16,500–19,499	15.0
19,500–22,499	17.5
22,500–26,499	20.5
26,500–30,499	23.5
30,500–34,499	26.5

TABLE 4—AVERAGE DESIGN HEATING REQUIREMENTS FOR VENTED HEATERS WITH DIFFERENT OUTPUT CAPACITIES—Continued

Vented heaters output capacity Q_{out}—(Btu/hr)	Average design heating requirements (kBtu/hr)
34,500–38,499	30.0
38,500–42,499	33.5
42,500–46,499	36.5
46,500–51,499	40.0
51,500–56,499	44.0
56,500–61,499	48.0
61,500–66,499	52.0
66,500–71,499	56.0
71,500–76,500	60.0

FIGURE 1

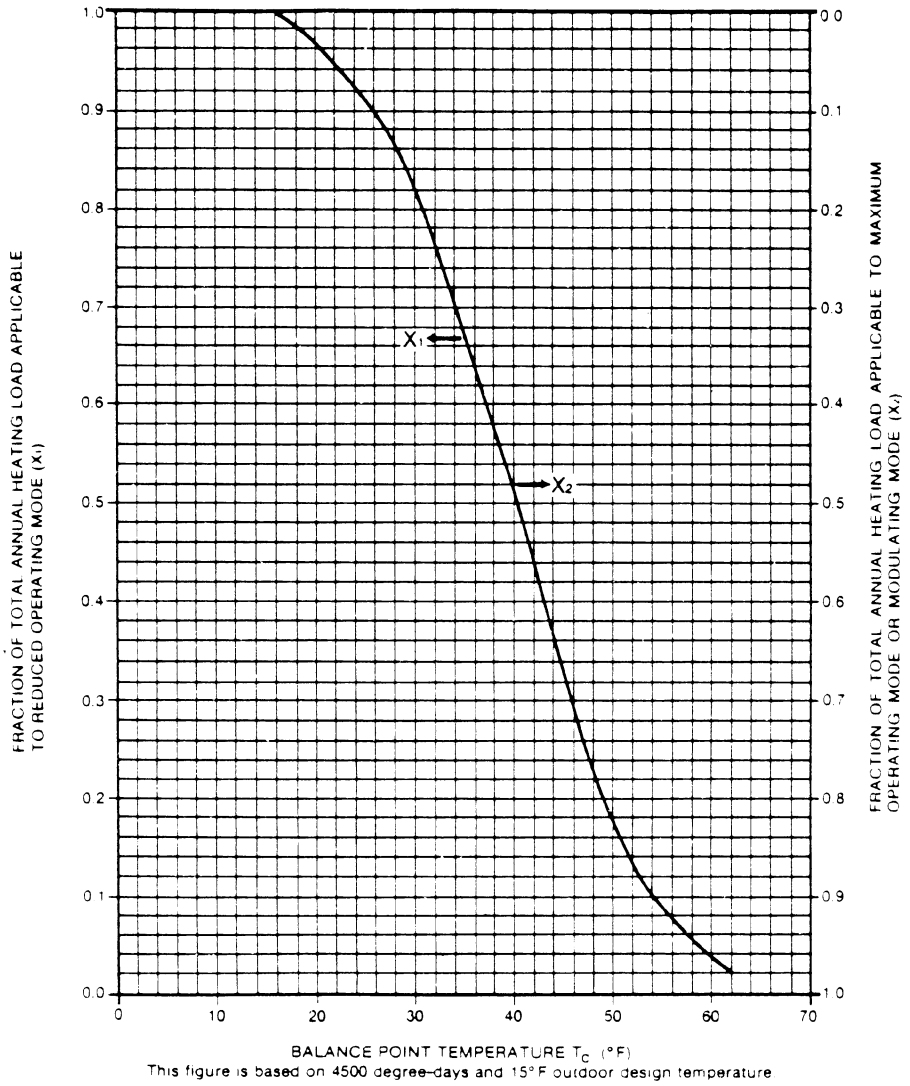
Average Outdoor Air Temperature vs. Balance Point Temperature for Modulating Vented Heaters



This figure is based on 4500 degree-days and 15° F outdoor design temperature

FIGURE 2

Fraction of Total Annual Heating Load Applicable to Reduced Operating Mode (X_1) and to Maximum Operating Mode or Modulating Mode (X_2) vs. Balance Point Temperature for Modulating Vented Heaters



This figure is based on 4500 degree-days and 15°F outdoor design temperature.

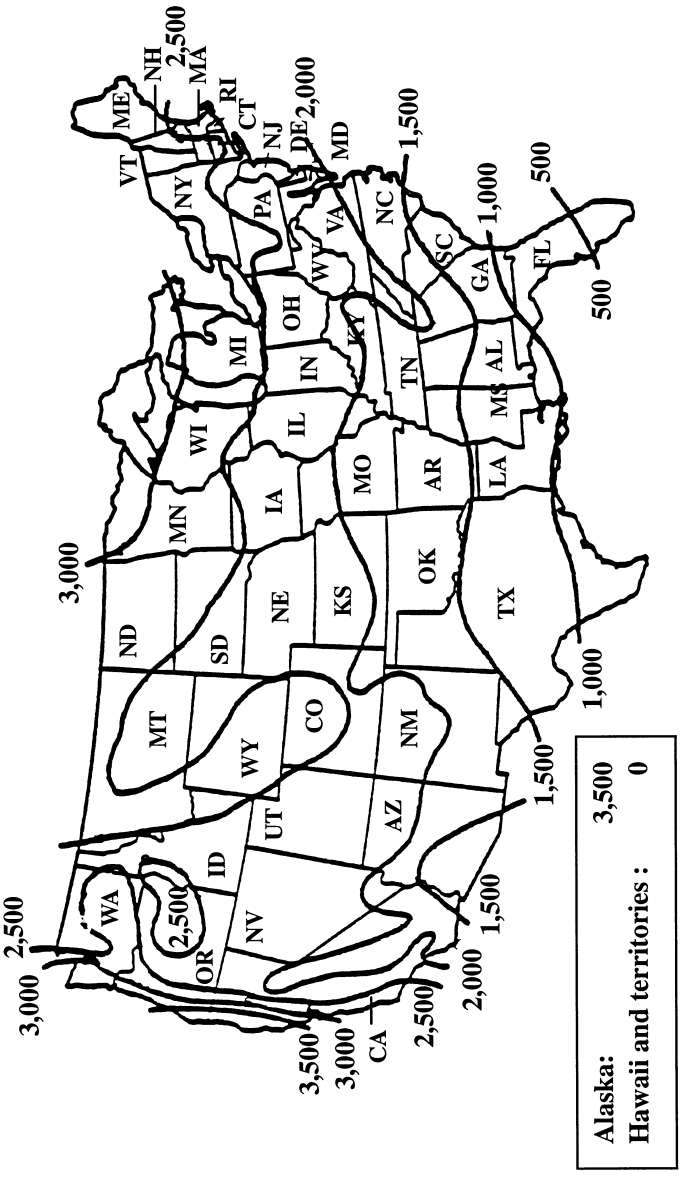


FIGURE 3- HEATING LOAD HOURS (HLH) FOR THE UNITED STATES

4.7 *Average annual electric standby mode and off mode energy consumption.*

Calculate the annual electric standby mode and off mode energy consumption, E_{SO}, defined as, in kilowatt-hours:

$E_{SO} = ((P_{W,SB} * (4160—BOH)) + (P_{W,OFF} * 4600)) * K$

Where:

$P_{W,SB}$ = vented heater standby mode power, in watts, as measured in section 3.7 of this appendix

4160 = average heating season hours per year

$P_{W,OFF}$ = vented heater off mode power, in watts, as measured in section 3.7 of this appendix

4600 = average non-heating season hours per year
K = 0.001 kWh/Wh, conversion factor for watt-hours to kilowatt-hours
BOH = burner operating hours as calculated in section 4.6.1 of this appendix where for single-stage controls or manual controls vented heaters BOH = BOH_{SS} and for vented heaters equipped with two-stage or modulating controls BOH = (BOH_R + BOH_H).

[49 FR 12169, Mar. 28, 1984, as amended at 62 FR 26162, May 12, 1997; 77 FR 74571, Dec. 17, 2012; 80 FR 806, Jan. 6, 2015; 87 FR 30791, May 20, 2022]

APPENDIX P TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF POOL HEATERS

NOTE: On and after November 27, 2023, any representations made with respect to the energy use or efficiency of all pool heaters must be made in accordance with the results of testing pursuant to this appendix. Until November 27, 2023, manufacturers must test gas-fired pool heaters in accordance with this appendix, or appendix P as it appeared at 10 CFR part 430, subpart B revised as of January 1, 2021. Prior to November 27, 2023, if a manufacturer makes representations of standby mode and off mode energy consumption, then testing must also include the provisions of this appendix, or appendix P as it appeared at 10 CFR part 430, subpart B revised as of January 1, 2021, related to standby mode and off mode energy consumption.

1. *Definitions:*

Active electrical power means the maximum electrical power consumption in active mode for an electric pool heater.

Active mode means the condition during the pool heating season in which the pool heater is connected to the power source, and the main burner, electric resistance element, or heat pump is activated to heat pool water.

Coefficient of performance (COP), as applied to heat pump pool heaters, means the ratio of heat output in kW to the total power input in kW.

Electric heat pump pool heater means an appliance designed for heating nonpotable water and employing a compressor, water-cooled condenser, and outdoor air coil.

Electric resistance pool heater means an appliance designed for heating nonpotable water and employing electric resistance heating elements.

Fossil fuel-fired pool heater means an appliance designed for heating nonpotable water and employing gas or oil burners.

Hybrid pool heater means an appliance designed for heating nonpotable water and employing both a heat pump (compressor, water-cooled condenser, and outdoor air coil) and a fossil fueled burner as heating sources.

Input capacity means the maximum fuel input rate for a fossil fuel-fired pool heater.

Off mode means the condition during the pool non-heating season in which the pool heater is connected to the power source, and neither the main burner, nor the electric resistance elements, nor the heat pump is activated, and the seasonal off switch, if present, is in the ''off'' position.

Output capacity for an electric pool or spa heater means the maximum rate at which energy is transferred to the water.

Seasonal off switch means a switch that results in different energy consumption in off mode as compared to standby mode.

Standby mode means the condition during the pool heating season in which the pool heater is connected to the power source, and neither the main burner, nor the electric resistance elements, nor the heat pump is activated.

2. *Test method.*

2.1 *Active mode.*

2.1.1 *Fossil fuel-fired pool heaters.* The test method for testing fossil fuel-fired pool heaters in active mode is as specified in section 2.10 of ANSI Z21.56 (incorporated by reference, see §430.3), with the following additional clarifications.

1. Burner input rate is adjusted as specified in section 2.3.3 of ANSI Z21.56,

2. Equilibrium is defined as in section 9.1.3 of ASHRAE 146 (incorporated by reference; see §430.3)

3. Units are only to be tested using a recirculating loop and a pump if: the use of the recirculating loop and pump are listed as required; a minimum flow rate is specified in the installation or operation manual provided with the unit; the pump is packaged with the unit by the manufacturer; or such use is required for testing.

4. A water temperature rise of less than 40 °F is allowed only as specified in the installation or operation manual(s) provided with the unit.

2.1.2 *Electric resistance pool heaters.* The test method for testing electric resistance pool heaters in active mode is as specified in ASHRAE 146 (incorporated by reference; see §430.3).

2.1.3 *Electric heat pump pool heaters.* The test method for testing electric heat pump pool heaters in active mode is as specified in AHRI 1160 (incorporated by reference; see §430.3), which references ASHRAE 146 (incorporated by reference; see §430.3).

2.1.4 *Hybrid pool heaters.* [Reserved]

2.2 *Standby mode.* The test method for testing the energy consumption of pool heaters in standby mode is as described in sections 3 through 5 of this appendix.

2.3 *Off mode.*

2.3.1 *Pool heaters with a seasonal off switch.* For pool heaters with a seasonal off switch, no off mode test is required.

2.3.2 *Pool heaters without a seasonal off switch.* For pool heaters without a seasonal off switch, the test method for testing the energy consumption of the pool heater is as described in sections 3 through 5 of this appendix.

3. *Test conditions.*

3.1 *Active mode.*

3.1.1 *Fossil fuel-fired pool heaters.* Establish the test conditions specified in section 2.10 of ANSI Z21.56 (incorporated by reference; see §430.3).

3.1.2 *Electric resistance pool heaters.* Establish the test conditions specified in section 9.1.4 of ASHRAE 146 (incorporated by reference; see §430.3).

3.1.3 *Electric heat pump pool heaters.* Establish the test conditions specified in section 5 of AHRI 1160. The air temperature surrounding the unit shall be at the ''High Air Temperature—Mid Humidity (63% RH)'' level specified in section 6 of AHRI 1160 (incorporated by reference, see §430.3) (80.6 °F [27.0 °C] Dry-Bulb, 71.2 °F [21.8 °C]).

3.1.4 *Hybrid pool heaters.* [Reserved]

3.2 *Standby mode and off mode.* After completing the active mode tests described in sections 3.1 and 4.1 of this appendix, reduce the thermostat setting to a low enough temperature to put the pool heater into standby mode. Reapply the energy sources and operate the pool heater in standby mode for 60 minutes.

4. *Measurements*

4.1 *Active mode*

4.1.1 *Fossil fuel-fired pool heaters.* Measure the quantities delineated in section 2.10 of ANSI Z21.56 (incorporated by reference; see §430.3). The measurement of energy consumption for oil-fired pool heaters in Btu is to be carried out in appropriate units (*e.g.*, gallons).

4.1.2 *Electric resistance pool heaters.* Measure the quantities delineated in section 9.1.4 of ASHRAE 146 (incorporated by reference; see §430.3) during and at the end of the 30-minute period when water is flowing through the pool heater.

4.1.3 *Electric heat pump pool heaters.* Measure the quantities delineated in section 9.1.1 and Table 2 of ASHRAE 146 (incorporated by reference; see §430.3). Record the elapsed time, t_{HP}, from the start of electric power metering to the end, in minutes.

4.1.4 *Hybrid pool heaters.* [Reserved]

4.2 *Standby mode.* For all pool heaters, record the average electric power consumption during the standby mode test, $P_{W,SB,}$ in W, in accordance with section 5 of IEC 62301 (incorporated by reference; see §430.3). For fossil fuel-fired pool heaters, record the fossil fuel energy consumption during the standby test, Q_p, in Btu. (Milli-volt electrical consumption need not be considered in units so equipped.) Ambient temperature and voltage specifications in section 4.1 of this appendix shall apply to this standby mode testing. Round the recorded standby power ($P_{W,SB}$) to the second decimal place, and for loads greater than or equal to 10 W, record at least three significant figures.

4.3 *Off mode.*

4.3.1 *Pool heaters with a seasonal off switch.* For pool heaters with a seasonal off switch, the average electric power consumption during the off mode, $P_{W,OFF} = 0$, and the fossil fuel energy consumed during the off mode, $Q_{off} = 0$.

4.3.2 *Pool heaters without a seasonal off switch.* For all pool heaters without a seasonal off switch, record the average electric power consumption during the standby/off mode test, $P_{W,OFF} = P_{W,SB,}$ in W, in accordance with section 5 of IEC 62301 (incorporated by reference; see §430.3). For fossil fuel-fired pool heaters without a seasonal off switch, record the fossil fuel energy consumption during the off mode test, Q_{off} (= Q_p), in Btu. (Milli-volt electrical consumption need not be considered in units so equipped.) Ambient temperature and voltage specifications in section 4.1 of this appendix shall apply to this off mode testing. Round the recorded off mode power ($P_{W,OFF}$) to the second decimal place, and for loads greater than or equal to 10 W, record at least three significant figures.

5. *Calculations.*

5.1 *Thermal efficiency.*

5.1.1 *Fossil fuel-fired pool heaters.* Calculate the thermal efficiency, E_t (expressed as a percent), as specified in section 2.10 of ANSI Z21.56 (incorporated by reference; see §430.3). The expression of fuel consumption for oil-fired pool heaters shall be in Btu.

5.1.2 *Electric resistance pool heaters.* Calculate the thermal efficiency, E_t (expressed as a percent), as specified in section 11.1 of ASHRAE 146 (incorporated by reference; see §430.3).

5.1.3 *Electric heat pump pool heaters.* Calculate the COP according to section 11.1 of ASHRAE 146. Calculate the thermal efficiency, E_t (expressed as a percent): E_t = COP.

5.1.4 *Hybrid pool heaters.* [Reserved]

5.2 *Average annual fossil fuel energy for pool heaters.* For electric resistance and electric heat pump pool heaters, the average annual fuel energy for pool heaters, $E_F = 0$.

For fossil fuel-fired pool heaters, the average annual fuel energy for pool heaters, E_F, is defined as:

$$E_F = BOH\ Q_{IN} + (POH - BOH)\ Q_{PR} + (8760 - POH)\ Q_{off,R}$$

Where:

BOH = average number of burner operating hours = 104 h,

POH = average number of pool operating hours = 4,464 h,

Q_{IN} = input capacity, in Btu/h, calculated as the quantity CF x Q x H in the equation

for thermal efficiency in section 2.10.1 of ANSI Z21.56 (incorporated by reference; see §430.3) and divided by 0.5 h (For electric resistance and electric heat pump pool heaters, $Q_{IN} = 0$.),

Q_{PR} = average energy consumption rate of continuously operating pilot light, if employed, = (Q_P/1 h),

Q_P = energy consumption of continuously operating pilot light, if employed, as measured in section 4.2 of this appendix, in Btu,

8760 = number of hours in one year,

$Q_{off,R}$ = average off mode fossil fuel energy consumption rate = Q_{off}/(1 h), and

Q_{off} = off mode energy consumption as defined in section 4.3 of this appendix.

5.3 *Average annual electrical energy consumption for pool heaters.* The average annual electrical energy consumption for pool heaters, E_{AE}, is expressed in Btu and defined as:

(1) $E_{AE} = E_{AE,active} + E_{AE,standby,off}$

(2) $E_{AE,active} = BOH * PE$

(3) $E_{AE,standby,off} = (POH - BOH)\ P_{W,SB}(Btu/h) + (8760 - POH)\ P_{W,OFF}(Btu/h)$

where:

$E_{AE,active}$ = electrical consumption in the active mode,

$E_{AE,standby,off}$ = auxiliary electrical consumption in the standby mode and off mode,

PE = active electrical power, calculated as:

= $2E_c$, for fossil fuel-fired heaters tested according to section 2.10.1 of ANSI Z21.56 and for electric resistance pool heaters, in Btu/h,

= 3.412 $PE_{aux,rated}$, for fossil fuel-fired heaters tested according to section 2.10.2 of ANSI Z21.56, in Btu/h,

= $E_{c,HP} * (60/t_{HP})$, for electric heat pump pool heaters, in Btu/h.

E_c = electrical consumption in Btu per 30 min. This includes the electrical consumption (converted to Btus) of the pool heater and, if present, a recirculating pump during the 30-minute thermal efficiency test. The 30-minute thermal efficiency test is defined in section 2.10.1 of ANSI Z21.56 for fossil fuel-fired pool heaters and section 9.1.4 of ASHRAE 146 (incorporated by reference; see §430.3) for electric resistance pool heaters. 2 = conversion factor to convert unit from per 30 min. to per h.

$PE_{aux,rated}$ = nameplate rating of auxiliary electrical equipment of heater, in Watts

$E_{c,HP}$ = electrical consumption of the electric heat pump pool heater (converted to equivalent unit of Btu), including the electrical energy to the recirculating pump if used, during the thermal efficiency test, as defined in section 9.1 of ASHRAE 146, in Btu.

t_{HP} = elapsed time of data recording during the thermal efficiency test on electric heat pump pool heater, as defined in section 9.1 of ASHRAE 146, in minutes.

BOH = as defined in section 5.2 of this appendix,

POH = as defined in section 5.2 of this appendix,

$P_{W,SB}$ (Btu/h) = electrical energy consumption rate during standby mode expressed in Btu/h = 3.412 $P_{W,SB}$, Btu/h,

$P_{W,SB}$ = as defined in section 4.2 of this appendix,

$P_{W,OFF}$ (Btu/h) = electrical energy consumption rate during off mode expressed in Btu/h = 3.412 $P_{W,OFF}$, Btu/h, and

$P_{W,OFF}$ = as defined in section 4.3 of this appendix.

5.4 *Integrated thermal efficiency.*

5.4.1 Calculate the seasonal useful output of the pool heater as:

$E_{OUT} = BOH[(E_t/100)(Q_{IN} + PE)]$

where:

BOH = as defined in section 5.2 of this appendix,

E_t = thermal efficiency as defined in section 5.1 of this appendix,

Q_{IN} = as defined in section 5.2 of this appendix,

PE = as defined in section 5.3 of this appendix, and

100 = conversion factor, from percent to fraction.

5.4.2 Calculate the annual input to the pool heater as:

$E_{IN} = E_F + E_{AE}$

where:

E_F = as defined in section 5.2 of this appendix, and

E_{AE} = as defined in section 5.3 of this appendix.

5.4.3 Calculate the pool heater integrated thermal efficiency (TE_I) (in percent).

$TE_I = 100(E_{OUT}/E_{IN})$

where:

E_{OUT} = as defined in section 5.4.1 of this appendix,

E_{IN} = as defined in section 5.4.2 of this appendix, and

100 = conversion factor, from fraction to percent.

5.5 *Output capacity for electric pool heaters.*

5.5.1 Calculate the output capacity of an electric heat pump pool heater as:

$Q_{OUT,HP} = k * W * (T_{ohp} - T_{ihp}) * (60/t_{HP})$

where k is the specific heat of water, W is the mass of water collected during the test, T_{ohp} is the average outlet water temperature during the standard rating test, T_{ihp} is the average inlet water temperature during the standard rating test, all as defined in section 11.2 of ASHRAE 146, and t_{HP} is the elapsed time in minutes of data recording during the thermal efficiency test on electric heat pump pool heater, as defined in section 9.1 of ASHRAE 146.

5.5.2 Calculate the output capacity of an electric resistance pool heater as:

$Q_{OUT,ER} = k * W * (T_{mo} - T_{mi}) * (60/30)$

where k is the specific heat of water, W is the mass of water collected during the test, T_{mo} is the average outlet water temperature recorded during the primary test, and T_{mi} is the average inlet water temperature record during the primary test, all as defined in section 11.1 of ASHRAE 146, and 60/30 is the conversion factor to convert unit from per 30 minutes to per hour.

[80 FR 813, Jan. 6, 2015, as amended at 88 FR 34703, May 30, 2023]

APPENDIX Q TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF FLUORESCENT LAMP BALLASTS

Note regarding effective date: After October 14, 2020 and prior to March 15, 2021 any representations with respect to energy use or efficiency of fluorescent lamp ballasts must be in accordance with the results of testing pursuant to this appendix or the test procedures as they appeared in appendix Q to this subpart revised as of January 1, 2020. On or after March 15, 2021, any representations, including certifications of compliance for ballasts subject to any energy conservation standard, made with respect to the energy use or efficiency of fluorescent lamp ballasts must be made in accordance with the results of testing pursuant to this appendix.

0. INCORPORATION BY REFERENCE

DOE incorporated by reference ANSI C78.81–2016, ANSI C78.375A, ANSI C78.901–2016, ANSI C82.1, ANSI 82.2, ANSI 82.3, ANSI 82.11, ANSI C82.13, ANSI 82.77, IEC 60081, and IEC 62301, each in their entirety in §430.3; however, only enumerated provisions of ANSI C78.375A, ANSI C82.2, and IEC 62301 are applicable to this appendix, as follows:

(a) ANSI C78.375A, as follows:

(i) Section 4, Ambient conditions for temperature measurement, as specified in section 2.4.2 of this appendix; and

(ii) Section 9, Electrical instruments, as specified in sections 2.2.1, 2.2.2, and 2.2.3 of this appendix.

(b) ANSI C82.2, as follows:

(i) Section 3, Pertinent measurements, as specified in section 2.4.1 of this appendix;

(ii) Section 4, Electrical supply characteristics—test ballast measurement circuits, as specified in section 2.4.1 of this appendix; and

(iii) Section 7, Test measurements circuits, as specified in sections 2.5.6, 2.5.7, and 2.5.8 of this appendix.

(c) IEC 62301 as follows:

(i) Section 5, Measurements, as specified in sections 3.4.3 and 3.4.4 of this appendix.

1. DEFINITIONS

1.1. *Average total lamp arc power* means the sample mean of the total lamp arc power of the ballast units tested.

1.2. *Dimming ballast* means a ballast that is designed and marketed to vary its output and that can achieve an output less than or equal to 50 percent of its maximum electrical output.

1.3. *High frequency ballast* is as defined in ANSI C82.13 (incorporated by reference; see §430.3).

1.4. *Instant-start* is the starting method used in instant-start systems as defined in ANSI C82.13, as typically indicated on publicly available documents of a fluorescent lamp ballast (*e.g.,* product literature, catalogs, and packaging labels).

1.5. *Low-frequency ballast* is a fluorescent lamp ballast that operates at a supply frequency of 50 to 60 Hz and operates the lamp at the same frequency as the supply.

1.6. *Programmed-start* is the starting method used in a programmed-start system as defined in ANSI C82.13, as typically indicated on publicly available documents of a fluorescent lamp ballast (*e.g.,* product literature, catalogs, and packaging labels).

1.7. *Rapid-start* is the starting method used in rapid-start type systems as defined in ANSI C82.13, as typically indicated on publicly available documents of a fluorescent lamp ballast (*e.g.,* product literature, catalogs, and packaging labels).

1.8. *Reference lamp* is a fluorescent lamp that meets the operating conditions of a reference lamp as defined by ANSI C82.13.

1.9. *Residential ballast* means a fluorescent lamp ballast that meets Federal Communications Commission (FCC) consumer limits as set forth in 47 CFR part 18 and is designed and marketed for use only in residential applications.

1.10. *RMS* is the root mean square of a varying quantity.

1.11 *Sign Ballast* means a ballast that has an Underwriters Laboratories Inc. Type 2 rating and is designed and marketed for use only in outdoor signs.

2. ACTIVE MODE PROCEDURE FOR MEASURING BLE AT FULL LIGHT OUTPUT

2.1. Where ANSI C82.2 (incorporated by reference; see §430.3) references ANSI C82.1, use ANSI C82.1 (incorporated by reference; see §430.3) for testing low-frequency ballasts and use ANSI C82.11 (incorporated by reference; see §430.3) for testing high-frequency ballasts. In addition when applying ANSI C82.2, use the standards ANSI C78.375A, ANSI C78.81–2016, ANSI C82.1, ANSI C82.11, ANSI C82.13, ANSI C82.3, ANSI C82.77, and ANSI C78.901–2016 (incorporated by reference; see §430.3) instead of the normative references in ANSI 82.2. Specifications in referenced standards that are recommended, that

''shall'' or ''should'' be met, or that are not clearly mandatory, are mandatory. In cases where there is a conflict between any industry standard(s) and this appendix, the language of the test procedure in this appendix takes precedence over the industry standard(s).

2.2. Instruments

2.2.1. All instruments must meet the specifications of section 9 of ANSI C78.375A.

2.2.2. *Power Analyzer.* In addition to the specifications in section 9 of ANSI C78.375A, the power analyzer must have a maximum 100 pF capacitance to ground and frequency response between 40 Hz and 1 MHz.

2.2.3. *Current Probe.* In addition to the specifications in section 9 of ANSI C78.375A, the current probe must be galvanically isolated and have frequency response between 40 Hz and 20 MHz.

2.3. Test Setup

2.3.1. Connect the ballast to a main power source and to the fluorescent lamp(s) as specified in this section. Ensure the ballast is connected to fluorescent lamp(s) according to any manufacturer's wiring instructions on or sold with each unit (including those provided online). To test a low-frequency ballast, follow ANSI C82.1 but disregard section 5.3 of ANSI C82.1. To test a high-frequency ballast, follow ANSI C82.11 but disregard sections 5.3.1 and 5.13 and Annex D of ANSI C82.11.

2.3.2. In the test setup, all wires used in the apparatus, including any wires from the ballast to the lamps and from the lamps to the measuring devices, must meet the following specifications:

2.3.2.1. Use the wires provided by the ballast manufacturer and only the minimum wire length necessary to reach both ends of each lamp. If the wire lengths supplied with the ballast are too short to reach both ends of each lamp, add the minimum additional wire length necessary to reach both ends of each lamp, using wire of the same wire gauge(s) as the wire supplied with the ballast. If no wiring is provided with the ballast, use 18 gauge or thicker wire.

2.3.2.2. Keep wires loose. Do not shorten or allow bundling of any wires. Separate all wires from each other, and ground them to prevent parasitic capacitance.

2.3.3. Test each ballast with only one fluorescent lamp type. Select the one type of fluorescent lamp for testing as follows:

2.3.3.1. Each fluorescent lamp must meet the specifications of a reference lamp as defined by ANSI C82.13, be seasoned at least 12 hours, and be stabilized as specified in 2.5.2.1 of this appendix. Test each reference lamp with a reference ballast that meets the criteria of ANSI C82.3. For low frequency ballasts that operate:

(a) 32 W 4-foot medium bipin T8 lamps, use the following reference lamp specifications: 30.8 W, arc wattage; 1.7 W, approximate cathode wattage (with 3.6 V on each cathode); 32.5 W, total wattage; 137 V, voltage; 0.265 A, current. Test the selected reference lamp with the following reference ballast specifications: 300 V, rated input voltage; 0.265 A, reference current; 910 ohms, impedance. Use the following cathode heat requirements for rapid start: 3.6 V nominal, voltage; 2.5 V min, 4.4 V max, limits during operation; 11.0 ohms ± 0.1 ohms, dummy load resistor; 3.4 V min, 4.5 V max, voltage across dummy load.

(b) 59 W 8-foot single pin T8 lamps, use the following reference lamp specifications: 60.1 W, arc wattage; 270.3 V, voltage; 0.262 A, current. Test the selected reference lamp with the following reference ballast specifications: 625 V, rated input voltage; 0.260 A, reference current; 1960 ohms, impedance.

(c) 32 W 2-foot U-shaped medium bipin T8 lamps, use the following reference lamp specifications: 30.5 W, arc wattage; 1.7 W, approximate cathode wattage (with 3.6 V on each cathode); 32.2 W, total wattage; 137 V, voltage; 0.265 A, current. Test the selected reference lamp with the following reference ballast specifications: 300 V, rated input voltage; 0.265 A, reference current; 910 ohms, impedance. Use the following cathode heat requirements for rapid start: 3.6 V nominal, voltage; 2.5 V min, 4.4 V max, limits during operation; 11.0 ohms ± 0.1 ohms, dummy load resistor; 3.4 V min, 4.5 V max, voltage across dummy load.

2.3.3.2 For any sign ballast designed and marketed to operate both T8 and T12 lamps, use a T12 lamp as specified in Table 1 of this appendix.

2.3.3.3. For any ballast designed and marketed to operate lamps of multiple base types, select lamp(s) of one base type, in the following order of decreasing preference: Medium bipin, miniature bipin, single pin, or recessed double contact.

2.3.3.4. After selecting the base type (per section 2.3.3.3), select the diameter of the reference lamp. Any ballast designed and marketed to operate lamps of multiple diameters, except for any sign ballast capable of operating both T8 and T12 lamps, must be tested with lamps of one of those diameters, selected in the following order of decreasing preference: T8, T5, or T12.

2.3.3.5. Connect the ballast to the maximum number of lamps (lamp type as determined by 2.3.3.2, 2.3.3.3, and 2.3.3.4 of this section) the ballast is designed and marketed to operate simultaneously.

For any ballast designed and marketed to operate both 4-foot medium bipin lamps and 2-foot U-shaped lamps, test with the maximum number of 4-foot medium bipin lamp(s).

2.3.3.6. Test each ballast with the lamp type specified in Table A of this section that

corresponds to the lamp diameter and base type the ballast is designed and marketed to operate.

TABLE 1 TO SECTION 2.3.3.6—LAMP-AND-BALLAST PAIRINGS AND FREQUENCY ADJUSTMENT FACTORS

Ballast type	Lamp type		Frequency adjustment factor (β)	
	Lamp diameter and base	Nominal lamp wattage	Low-frequency	High-frequency
Ballasts that operate straight-shaped lamps (commonly referred to as 4-foot medium bipin lamps) with medium bipin bases and a nominal overall length of 48 inches.	T8 MBP (Data Sheet 7881–ANSI–1005–4)*.	32	0.94	1.0
	T12 MBP (Data Sheet 7881–ANSI–1006–1)*.	34	0.93	1.0
Ballasts that operate U-shaped lamps (commonly referred to as 2-foot U-shaped lamps) with medium bipin bases and a nominal overall length between 22 and 25 inches.	T8 MBP (Data Sheet 78901–ANSI–4027–2)*.	32	0.94	1.0
	T12 MBP**	34	0.93	1.0
Ballasts that operate lamps (commonly referred to as 8-foot-high output lamps) with recessed double contact bases and a nominal overall length of 96 inches.	T8 HO RDC (Data Sheet 7881–ANSI–1501–2)*.	86	0.92	1.0
	T12 HO RDC (Data Sheet 7881–ANSI–1017–1)*.	95	0.94	1.0
Ballasts that operate lamps (commonly referred to as 8-foot slimline lamps) with single pin bases and a nominal overall length of 96 inches.	T8 slimline SP (Data Sheet 7881–ANSI–1505–1)*.	59	0.95	1.0
	T12 slimline SP (Data Sheet 7881–ANSI–3006–1)*.	60	0.94	1.0
Ballasts that operate straight-shaped lamps (commonly referred to as 4-foot miniature bipin standard output lamps) with miniature bipin bases and a nominal length between 45 and 48 inches.	T5 SO Mini-BP (Data Sheet 60081–IEC–6640–7)*.	28	0.95	1.0
Ballasts that operate straight-shaped lamps (commonly referred to as 4-foot miniature bipin high output lamps) with miniature bipin bases and a nominal length between 45 and 48 inches.	T5 HO Mini-BP (Data Sheet 60081–IEC–6840–6)*.	54	0.95	1.0
Sign ballasts that operate lamps (commonly referred to as 8-foot high output lamps) with recessed double contact bases and a nominal overall length of 96 inches.	T8 HO RDC (Data Sheet 7881–ANSI–1501–2)*.	86	0.92	1.0
	T12 HO RDC (Data Sheet 7881–ANSI–1019–1)*.	†110	0.94	1.0

MBP, Mini-BP, RDC, and SP represent medium bipin, miniature bipin, recessed double contact, and single pin, respectively.

*Data Sheet corresponds to ANSI C78.81–2016, ANSI C78.901–2016, or IEC 60081 page number (incorporated by reference; see §430.3).

**No ANSI or IEC Data Sheet exists for 34 W T12 MBP U-shaped lamps. For ballasts designed and marketed to operate only T12 2-foot U-shaped lamps with MBP bases and a nominal overall length between 22 and 25 inches, select T12 U-shaped lamps designed and marketed as having a nominal wattage of 34 W.

†This lamp type is commonly marketed as 110 W; however, the ANSI C78.81–2016 Data Sheet (incorporated by reference; see §430.3) lists nominal wattage of 113 W. Test with specifications for operation at 0.800 amperes (A).

2.3.4. Test Circuits

2.3.4.1. The power analyzer test setup must have exactly n + 1 channels, where n is the maximum number of lamps (lamp type as determined by sections 2.3.3.2, 2.3.3.3, and 2.3.3.4 of this appendix) a ballast is designed and marketed to operate. Use the minimum number of power analyzers possible during testing. Synchronize all power analyzers. A system may be used to synchronize the power analyzers.

2.3.4.2. *Lamp Arc Voltage.* Attach leads from the power analyzer to each fluorescent lamp according to Figure 1 of this section for rapid- and programmed-start ballasts; Figure 2 of this section for instant-start ballasts operating single pin (SP) lamps; and Figure 3 of this section for instant-start ballasts operating medium bipin (MBP), miniature bipin (mini-BP), or recessed double contact (RDC) lamps. The programmed- and rapid-start ballast test setup includes two 1000 ohm resistors placed in parallel with the lamp pins to create a midpoint from which to measure lamp arc voltage.

2.3.4.3. *Lamp Arc Current.* Position a current probe on each fluorescent lamp according to Figure 1 of this section for rapid- and programmed-start ballasts; Figure 2 of this section for instant-start ballasts operating SP lamps; and Figure 3 of this section for instant-start ballasts operating MBP, mini-BP, and RDC lamps.

For the lamp arc current measurement, set the full transducer ratio in the power analyzer to match the current probe to the power analyzer.

$$Full\ Transducer\ Ratio = \frac{I_{in}}{V_{out}} \times \frac{R_{in}}{R_{in} + R_s}$$

Where: I_{in} is the current through the current transducer, V_{out} is the voltage out of the transducer, R_{in} is the power analyzer impedance, and R_s is the current probe output impedance.

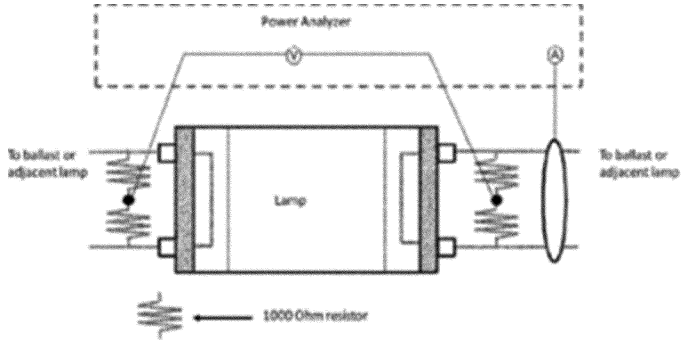


Figure 1: Programmed- and Rapid-Start Ballast Instrumentation Setup

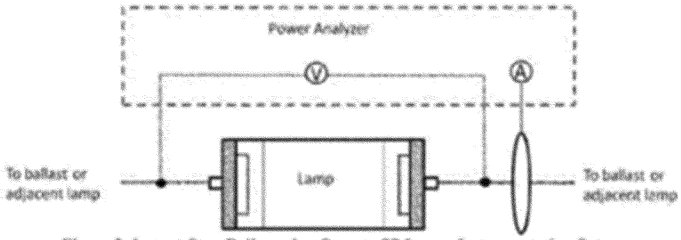


Figure 2: Instant-Start Ballasts that Operate SP Lamps Instrumentation Setup

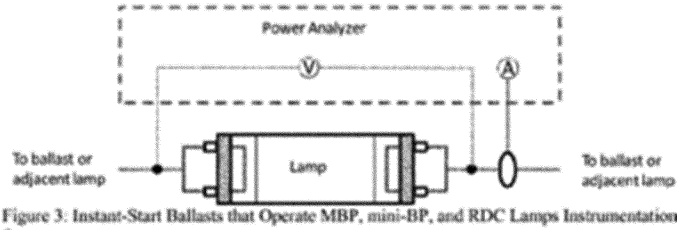


Figure 3: Instant-Start Ballasts that Operate MBP, mini-BP, and RDC Lamps Instrumentation Setup

2.4. Test Conditions

2.4.1. Establish and maintain test conditions for testing fluorescent lamp ballasts in accordance with sections 3 and 4 of ANSI C82.2.

2.4.2. *Room Temperature and Air Circulation.* Maintain the test area at 25 ±1 °C, with minimal air movement as defined in section 4 of ANSI C78.375A.

2.4.3. *Input Voltage.* For any ballast designed and marketed for operation at only one input voltage, test at that specified voltage. For any ballast that is neither a residential ballast nor a sign ballast but is designed and marketed for operation at multiple voltages, test the ballast at 277 V ±0.1%. For any residential ballast or sign ballast designed and marketed for operation at multiple voltages, test the ballast at 120 V ±0.1%.

2.5. Test Method

2.5.1. Connect the ballast to the selected fluorescent lamps (as determined in section 2.3.3 of this appendix) and to measurement instrumentation as specified in the Test Setup in section 2.3 of this appendix.

2.5.2. Determine stable operating conditions according to Option 1 or Option 2.

2.5.2.1. Option 1. Operate the ballast for at least 15 minutes before determining stable operating conditions. Determine stable operating conditions by measuring lamp arc voltage, current, and power once per minute in accordance with the setup described in section 2.3 of this appendix. The system is stable once the difference between the maximum and minimum for each value of lamp arc voltage, current, and power divided by the average value of the measurements do not exceed one percent over a four minute moving window. Once stable operating conditions are reached, measure each of the parameters described in sections 2.5.3 through 2.5.9 of this appendix.

2.5.2.2 Option 2. Determine stable operating conditions for lamp arc voltage, current, and power according to steps 1 through 6 of section D.2.1 in Annex D of ANSI C82.11.

2.5.3. *Lamp Arc Voltage.* Measure lamp arc voltage in volts (RMS) using the setup in section 2.3.4.2.

2.5.4. *Lamp Arc Current.* Measure lamp arc current in amps (RMS) using the setup in section 2.3.4.3 of this appendix.

2.5.5. *Lamp Arc Power.* The power analyzer must calculate output power by using the measurements from sections 2.5.3 and 2.5.4 of this appendix.

2.5.6. *Input Power.* Measure the input power in watts to the ballast in accordance with section 7 of ANSI C82.2 (disregard references to Figure 1 and Figure 3).

2.5.7. *Input Voltage.* Measure the input voltage in volts (RMS) to the ballast in accordance with section 7 of ANSI C82.2 (disregard references to Figure 1 and Figure 3).

2.5.8. *Input Current.* Measure the input current in amps (RMS) to the ballast in accordance with section 7 of ANSI C82.2 (disregard references to Figure 1 and Figure 3).

2.5.9. *Lamp Operating Frequency.* Measure the frequency of the waveform delivered from the ballast to any lamp used in the test in accordance with the setup in section 2.3 of this appendix.

2.6. Calculations

2.6.1. Calculate ballast luminous efficiency (BLE) as follows (do not round values of total lamp arc power and input power prior to calculation):

$$Ballast\ Luminous\ Efficiency = \frac{Total\ Lamp\ Arc\ Power}{Input\ Power} \times \beta$$

Where: Total Lamp Arc Power is the sum of the lamp arc powers for all lamps operated by the ballast as measured in section 2.5.5 of this appendix, Input Power is as determined by section 2.5.6 of this appendix, and β is equal to the frequency adjustment factor in Table 1 of this appendix.

2.6.2. Calculate Power Factor (PF) as follows (do not round values of input power, input voltage, and input current prior to calculation):

$$PF = \frac{Input\ Power}{Input\ Voltage\ \times Input\ Current}$$

Where: Input Power is measured in accordance with section 2.5.6 of this appendix, Input Voltage is measured in accordance with section 2.5.7 of this appendix, and Input Current is measured in accordance with section 2.5.8 of this appendix.

3. STANDBY MODE PROCEDURE

3.1. The measurement of standby mode power is required to be performed only if a manufacturer makes any representations with respect to the standby mode power use of the fluorescent lamp ballast. When there is a conflict, the language of the test procedure in this appendix takes precedence over IEC 62301 (incorporated by reference; see §430.3). Specifications in referenced standards that are not clearly mandatory are mandatory. Manufacturer's instructions, such as ''instructions for use'' referenced in IEC 62301 mean the manufacturer's instructions that come packaged with or appear on the unit, including on a label. It may include an online manual if specifically referenced (*e.g.*, by date or version number) either on a label or in the packaged instructions. Instructions that appear on the unit take precedence over instructions available electronically, such as through the internet.

3.2. Test Setup

3.2.1. Take all measurements with instruments as specified in section 2.2 of this appendix. Fluorescent lamp ballasts that are designed and marketed for connection to control devices must be tested with all commercially available compatible control devices connected in all possible configurations. For each configuration, a separate measurement of standby power must be made in accordance with section 3.4 of this appendix.

3.2.2. Connect each ballast to the maximum number of lamp(s) as specified in section 2.3 (specifications in 2.3.3.1 are optional) of this appendix. Note: ballast operation with reference lamp(s) is not required.

3.3. Test Conditions

3.3.1. Establish and maintain test conditions in accordance with section 2.4 of this appendix.

3.4. Test Method and Measurements

3.4.1. Turn on all of the lamps at full light output.

3.4.2. Send a signal to the ballast instructing it to have zero light output using the appropriate ballast communication protocol or system for the ballast being tested.

3.4.3. Stabilize the ballast prior to measurement using one of the methods as specified in section 5 of IEC 62301.

3.4.4. Measure the standby mode energy consumption in watts using one of the methods as specified in section 5 of IEC 62301.

[85 FR 56494, Sept. 14, 2020]

APPENDIX R TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING ELECTRICAL AND PHOTOMETRIC CHARACTERISTICS OF GENERAL SERVICE FLUORESCENT LAMPS, INCANDESCENT REFLECTOR LAMPS, AND GENERAL SERVICE INCANDESCENT LAMPS

NOTE: After September 30, 2022 and prior to February 27, 2023 any representations with respect to energy use or efficiency of general service fluorescent lamps, incandescent reflector lamps, and general service incandescent lamps must be in accordance with the results of testing pursuant to this appendix or the test procedures as they appeared in appendix R to subpart B of part 430 revised as of January 1, 2021. On or after February 27, 2023, any representations, including certifications of compliance for lamps subject to any energy conservation standard, made with respect to the energy use or efficiency of general service fluorescent lamps, incandescent reflector lamps, and general service incandescent lamps must be made in accordance with the results of testing pursuant to this appendix.

0. Incorporation by Reference

DOE incorporated by reference in §430.3, the entire standard for: IES LM–9–20, IES LM–20–20, IES LM–45–20, IES LM–49–20, IES LM–54–20, IES LM–58–20, IES LM–78–20, ANSI C78.375A–2020, ANSI C78.81–2010, ANSI C78.901–2005, ANSI C78.81–2016, ANSI C78.901–2016, ANSI C82.3, CIE 15:2018, and CIE 13.3; however, only enumerated provisions of IES LM–9–20, IES LM–20–20, IES LM–45–20, IES LM–49–20, IES LM–58–20, and CIE 13.3, are applicable to this appendix, as follows:

0.1 IES LM–9–20

(a) Section 3.0 ''Nomenclature and Definitions'' as referenced in section 2.1 of this appendix.

(b) Section 6.2.2 ''Pre-burning'' and Section 6.2.4 ''Lamp Circuit Switching'' as referenced in section 3.2 of this appendix.

(c) Section 4.0 ''Ambient and Physical Conditions'', Section 5.0 ''Electrical Conditions'', Section 6.1 ''Lamp Orientation'', Section 6.5 ''Electrical Settings'', and Section 6.6 ''Electrical Instrumentation'' as referenced in section 4.1.1.1 of this appendix.

(d) Section 6.1 ''Lamp Orientation'', Section 6.2 ''Lamp Stabilization'', Section 6.3 ''Use of the ''Peak Lumen'' Method'', and Section 6.4 ''Unusual Conditions'' as referenced in section 4.2.1.1 of this appendix.

(e) Section 7.0 ''Photometric Test Procedures'' as referenced in section 4.2.1.3 of this appendix.

(f) Section 7.6 ''Color Measurements'' as referenced in sections 4.2.1.5 and 4.2.1.6 of this appendix.

0.2 IES LM–20–20

(a) Section 3.0 ''Definitions'' as referenced in section 2.1 of this appendix.

(b) Section 4.0 ''Ambient and Physical Conditions'' and Section 5.0 ''Electrical and Photometric Test Conditions'' as referenced in section 4.1.3 of this appendix.

(c) Section 6.0 ''Lamp Test Procedures'' as referenced in sections 4.2.3.1 and 6.2.1 of this appendix.

(d) Section 7.0 ''Photometric Characterization by Measurement of Intensity Distribution'', Section 8.0 ''Total Flux Measurement by Integrating Sphere Method'', and Section 8.2 ''Exclusion of Undirected Light by Using a Luminaire Inside an Integrating Sphere'' as referenced in section 4.2.3.3 of this appendix.

0.3 IES LM–45–20

(a) Section 3.0 ''Nomenclature and Definitions'' as referenced in section 2.1 of this appendix.

(b) Section 4.0 ''Ambient and Physical Conditions'', Section 5.0 ''Electrical Conditions'', section 6.1 ''Lamp Position'', Section 6.3 ''Electrical Settings'', and Section 6.4 ''Electrical Instrumentation'' as referenced in section 4.1.2 of this appendix.

(c) Section 6.2 ''Lamp Stabilization'' as referenced in sections 4.2.2.1 and 6.2.1 of this appendix.

(d) Section 7.0 ''Photometric Test Procedures'' as referenced in section 4.2.2.3 of this appendix.

(e) Section 7.4 ''Color Measurements'' as referenced in sections 4.2.2.5 and 4.2.2.6 of this appendix.

0.4 IES LM–49–20

(a) Section 4.0 ''Ambient and Physical Conditions'' and Section 5.0 ''Electrical Conditions'' as referenced in section 6.1 of this appendix.

(b) Section 6.4 ''Operating Cycle'' as referenced in sections 6.2.2 and 6.3 of this appendix.

0.5 IES LM–58–20

(a) Section 3.0 ''Definitions and Nomenclature'' as referenced in section 2.1 of this appendix.

(b) [Reserved]

0.6 CIE 13.3

(a) Appendix 1 ''Terminology'' as referenced in section 2.1 of this appendix.

(b) [Reserved]

1. Scope:

This appendix specifies the test methods required for determining the electrical and photometric performance characteristics of general service fluorescent lamps (GSFLs), incandescent reflector lamps (IRLs), and general service incandescent lamps (GSILs).

2. Definitions

2.1 To the extent that definitions in the referenced IES and CIE standards do not conflict with the DOE definitions, the definitions specified in Section 3.0 of IES LM–9–20, Section 3.0 of IES LM–20–20, Section 3.0 of IES LM–45–20, Section 3.0 of IES LM–58–20, and Appendix 1 of CIE 13.3 apply in this appendix.

2.2 *Initial input power* means the input power to the lamp, measured at the end of the lamp seasoning and stabilization.

2.3 *Initial lamp efficacy* means the lamp efficacy (as defined in §430.2), measured at the end of the lamp seasoning and stabilization.

2.4 *Initial lumen output* means the lumen output of the lamp, measured at the end of the lamp seasoning and stabilization.

2.5 *Time to failure* means the time elapsed between first use and the point at which the lamp ceases to produce measurable lumen output.

3. General Instructions

3.1 When there is a conflict, the language of the test procedure in this appendix takes precedence over any materials incorporated by reference.

3.2 Maintain lamp operating orientation throughout seasoning and testing, except that for T5 miniature bipin standard and high output GSFLs, follow Section 6.2.2 of IES LM–9–20. For all GSFLs, maintain lamp orientation when transferring lamps from a warm-up position to the photometric equipment per Section 6.2.4 of IES LM–9–20. Maintain lamp orientation at all other times, if practical.

3.3 If a lamp breaks, becomes defective, fails to stabilize, exhibits abnormal behavior (such as swirling), or stops producing light prior to the end of the seasoning period, replace the lamp with a new unit. However, if a lamp exhibits one of the conditions listed in the previous sentence only after the seasoning period ends, include the lamp's measurements in the sample.

3.4 Operate GSILs and IRLs at the rated voltage for incandescent lamps as defined in 10 CFR 430.2.

4. Test Method for Determining Initial Input Power, Initial Lumen Output, Initial Lamp Efficacy, CRI, and CCT

4.1 *Test Conditions and Setup*

4.1.1 *General Service Fluorescent Lamps*

4.1.1.1 Establish ambient, physical, and electrical conditions in accordance with Sections (and corresponding subsections) 4.0, 5.0, 6.1, 6.5, and 6.6 of IES LM–9–20.

4.1.1.2 Operate each lamp at the appropriate voltage and current conditions as described in ANSI C78.375A–2020 and in either ANSI C78.81–2010 or ANSI C78.901–2005. Operate each lamp using the appropriate reference ballast at input voltage specified by the reference circuit as described in ANSI C82.3. If, for a lamp, both low-frequency and high-frequency reference ballast settings are included in ANSI C78.81–2010 or ANSI C78.901–2005, operate the lamp using the low-frequency reference ballast. When testing with low-frequency reference ballast settings, include cathode power only if the circuit application of the lamp is specified as rapid start in ANSI C78.81–2010 or ANSI C78.901–2005. When testing with high-frequency reference ballast settings, do not include cathode power in the measurement.

For any lamp not listed in ANSI C78.81–2010 or ANSI C78.901–2005, operate the lamp using the following reference ballast settings:

4.1.1.2.1 For 4-Foot medium bi-pin lamps, use the following reference ballast settings:

(a) T10 or T12 lamps: 236 volts, 0.43 amps, and 439 ohms, at low frequency (60 Hz) and with cathode power. Approximate cathode wattage (with 3.6 V on each cathode): 2.0 W. Cathode characteristics for low resistance (at 3.6V): 9.6 ohms (objective), 7.0 ohms (minimum). Cathode heat for rapid start: 3.6 V (nominal); 2.5 V min, 4.0 V max (limits during operation); 9.6 ohms ±0.1 ohm (dummy load resistor); 3.4 V min, 4.5 V max (voltage across dummy load).

(b) T8 lamps greater than or equal to 32 W: 300 volts, 0.265 amps, and 910 ohms, at low frequency (60 Hz) and with cathode power. Approximate cathode wattage (with 3.6 V on each cathode): 1.7 W. Cathode characteristics for low resistance (at 3.6 V): 12.0 ±2.0 ohms; 4.75 ±0.50 (Rh/Rc ratio). Cathode heat for rapid start: 3.6 V (nominal); 2.5 V min; 4.4 V max (limits during operation); 11.0 ohms ±0.1 ohms (dummy load resistor); 3.4 V min, 4.5 V max (voltage across dummy load).

(c) T8 lamps less than 32 W: 300 volts, 0.265 amps, and 910 ohms, at low frequency (60 Hz) and without cathode power.

4.1.1.2.2 For 2-Foot U-shaped lamps, use the following reference ballast settings:

(a) T12 lamps: 236 volts, 0.430 amps, and 439 ohms, at low frequency (60 Hz) and with cathode power. Approximate cathode wattage (with 3.6 V on each cathode): 2.0 W. Cathode characteristics for low resistance (at 3.6V): 9.6 ohms (objective), 7.0 ohms (minimum). Cathode heat for rapid start: 3.6 V (nominal); 2.5 V min, 4.0 V max (limits during operation); 9.6 ohms ±0.1 ohm (dummy load resistor); 3.4 V min, 4.5 V max (voltage across dummy load).

(b) T8 lamps greater than or equal to 31 W: 300 volts, 0.265 amps, and 910 ohms, at low frequency (60 Hz) and with cathode power. Approximate cathode wattage (with 3.6 V on each cathode): 1.7 W. Cathode characteristics for low resistance (at 3.6 V): 11.0 ohms (objective); 8.0 ohms (minimum). Cathode heat for rapid start: 3.6 V (nominal); 2.5 V min; 4.4 V max (limits during operation); 11.0 ohms ±0.1 ohms (dummy load resistor); 3.4 V min, 4.5 V max (voltage across dummy load).

(c) T8 lamps less than 31 W: 300 volts, 0.265 amps, and 910 ohms, at low frequency (60 Hz) and without cathode power.

4.1.1.2.3 For 8-foot slimline lamps, use the following reference ballast settings:

(a) *T12 lamps:* 625 volts, 0.425 amps, and 1280 ohms, at low frequency (60 Hz) and without cathode power.

(b) *T8 lamps:* 625 volts, 0.260 amps, and 1960 ohms, at low frequency (60 Hz) and without cathode power.

4.1.1.2.4 For 8-foot high output lamps, use the following reference ballast settings:

(a) *T12 lamps:* 400 volts, 0.800 amps, and 415 ohms, at low frequency (60 Hz) and with cathode power. Approximate cathode wattage (with 3.6 V on each cathode): 7.0 W. Cathode characteristics for low resistance (at 3.6 V): 3.2 ohms (objective); 2.5 ohms (minimum). Cathode heat requirements for rapid start: 3.6 V (nominal); 3.0 V min, 4.0 V max (limits during operation); 3.2 ohms ±0.05 ohm (dummy load resistor); 3.4 V min, 4.5 V max (voltage across dummy load).

(b) *T8 lamps:* 450 volts, 0.395 amps, and 595 ohms, at high frequency (25 kHz) and without cathode power.

4.1.1.2.5 For 4-foot miniature bipin standard output or high output lamps, use the following reference ballast settings:

(a) *Standard Output:* 329 volts, 0.170 amps, and 950 ohms, at high frequency (25 kHz) and without cathode power.

(b) *High Output:* 235 volts, 0.460 amps, and 255 ohms, at high frequency (25 kHz) and without cathode power.

4.1.2 *General Service Incandescent Lamps:* Establish ambient, physical, and electrical conditions in accordance with Sections (and corresponding subsections) 4.0, 5.0, 6.1, 6.3 and 6.4 in IES LM–45–20.

4.1.3 *Incandescent Reflector Lamps:* Establish ambient, physical, and electrical conditions in accordance with Sections (and corresponding subsections) 4.0 and 5.0 in IES LM–20–20.

4.2 *Test Methods, Measurements, and Calculations*

Multiply all lumen measurements made with instruments calibrated to the devalued NIST lumen after January 1, 1996, by 1.011.

4.2.1 *General Service Fluorescent Lamps*

4.2.1.1 Season and stabilize lamps in accordance with Sections (and corresponding subsections) 6.1, 6.2, 6.3, and 6.4 of IES LM–9–20 and with IES LM–54–20.

4.2.1.2 Measure the initial input power (in watts).

4.2.1.3 Measure initial lumen output in accordance with Section 7.0 (and corresponding subsections) of IES LM–9–20 and with IES LM–78–20.

4.2.1.4 Calculate initial lamp efficacy by dividing the measured initial lumen output by the measured initial input power.

4.2.1.5 Calculate CRI as specified in Section 7.6 of IES LM–9–20 and CIE 13.3. Conduct the required spectroradiometric measurement and characterization in accordance with the methods set forth in IES LM–58–20.

4.2.1.6 Calculate CCT as specified in Section 7.6 of IES LM–9–20 and CIE 15:2018. Conduct the required spectroradiometric measurement and characterization in accordance with the methods set forth in IES LM–58–20.

4.2.2 *General Service Incandescent Lamps*

4.2.2.1 Season and stabilize lamps in accordance with Section (and corresponding subsections) 6.2 of IES LM–45–20 and with IES LM–54–20.

4.2.2.2 Measure the initial input power (in watts).

4.2.2.3 Measure initial lumen output in accordance with Section (and corresponding subsections) 7.0 of IES LM–45–20 and with IES LM–78–20.

4.2.2.4 Calculate initial lamp efficacy by dividing the measured initial lumen output by the measured initial input power.

4.2.2.5 Calculate CRI as specified in Section 7.4 of IES LM–45–20 and CIE 13.3. Conduct the required spectroradiometric measurement and characterization in accordance with the methods set forth in IES LM–58–20.

4.2.2.6 Calculate CCT as specified in Section 7.4 of IES LM–45–20 and CIE 15:2018. Conduct the required spectroradiometric measurement and characterization in accordance with the methods set forth in IES LM–58–20.

4.2.3 *Incandescent Reflector Lamps*

4.2.3.1 Season and stabilize lamps in accordance with Section (and corresponding subsections) 6.0 of IES LM–20–20 and with IES LM–54–20.

4.2.3.2 Measure the initial input power (in watts).

4.2.3.3 Measure initial lumen output in accordance with Sections (and corresponding subsections) 7.0 or 8.0 of IES LM–20–20 and with IES LM–78–20. When measuring in accordance with section 8.0, exclude undirected light using the method specified in section 8.2.

4.2.3.4 Calculate initial lamp efficacy by dividing the measured initial lumen output by the measured initial input power.

4.2.3.5 Calculate CRI as specified in CIE 13.3. Conduct the required spectroradiometric measurement and characterization in accordance with the methods set forth in IES LM–58–20.

4.2.3.6 Calculate CCT as specified in CIE 15:2018. Conduct the required spectroradiometric measurement and characterization in accordance with the methods set forth in IES LM–58–20.

5. Test Method for Voluntary Representations for General Service Fluorescent Lamps

Follow sections 1.0 through 4.0 of this appendix to make voluntary representations only for GSFLs that have high frequency reference ballast settings in ANSI C78.81–2016 or ANSI C78.901–2016. Where ANSI C78.81–2010 and ANSI C78.901–2005 are referenced in the preceding sections, use ANSI C78.81–2016 and ANSI C78.901–2016 instead. Operate lamps using high frequency reference ballast settings and without cathode power. Voluntary representations must be in addition to, not instead of, a representation in accordance with sections 1.0 to 4.0 of this appendix for GSFLs. As a best practice, an indication of high frequency operation should be provided with the voluntary representations.

6. Test Method for Determining Time to Failure for General Service Incandescent Lamps and Incandescent Reflector Lamps

6.1 *Test Conditions and Setup.* Establish ambient, physical, and electrical conditions as described in Sections (and corresponding subsections) 4.0 and 5.0 of IES LM–49–20.

6.2 *Test Methods, Measurements, and Calculations*

6.2.1 Season and stabilize lamps according to Section 6.2 of IES LM–45–20 for GSILs and in accordance with Section (and corresponding subsections) 6.0 of IES LM–20–20 for IRLs.

6.2.2 Measure the time to failure as specified in Section 6.4 of IES LM–49–20 and based on the lamp's operating time, expressed in hours, not including any off time.

6.3 Accelerated lifetime testing is not allowed; disregard the second paragraph of Section 6.4 of IES LM–49–20.

[87 FR 53641, Aug. 31, 2022]

APPENDIX S TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE WATER CONSUMPTION OF FAUCETS AND SHOWERHEADS

NOTE: Manufacturers must use the results of testing under this appendix to determine compliance with the relevant standards for faucets and showerheads at §430.32(g)(o) and (p) as those standards appeared in January 1, 2023 edition of 10 CFR parts 200–499. Specifically, before November 20, 2023 representations must be based upon results generated either under this appendix as codified on June 23, 2023 or under this appendix as it appeared in the 10 CFR parts 200–499 edition revised as of January 1, 2023. Any representations made on or after November 20, 2023 must be made based upon results generated

using this appendix as codified on June 23, 2023.

0. Incorporation by Reference

In §430.3, DOE incorporated by reference the entire standard for ASME A112.18.1; however, only enumerated provisions of ASME A112.18.1 apply to this appendix, as follows. In cases in which there is a conflict, the language of the test procedure in this appendix takes precedence over the referenced test standard. Treat precatory language in ASME A112.18.1 as mandatory.

0.1 ASME A112.18.1:

(a) Section 5.4 ''Flow rate,'' including Figure 3 but excluding Table 1 and excluding sections 5.4.2.3.1(a) and (c), 5.4.2.3.2(b) and (c), and 5.4.3, as specified in section 2.1 and 2.2 of this appendix;

(b) Section 5.4.2.2(c), as specified in section 3.1 of this appendix.

(c) Section 5.4.2.2(d), as specified in sections 2.2 and 3.2 of this appendix.

0.2 [Reserved]

1. Scope

This appendix covers the test requirements to measure the hydraulic performance of faucets and showerheads.

2. Flow Capacity Requirements

2.1. Faucets—Measure the water flow rate for faucets, in gallons per minute (gpm) or liters per minute (L/min), or gallons per cycle (gal/cycle) or liters per cycle (L/cycle), in accordance with the test requirements specified in section 5.4, Flow Rate, of ASME A112.18.1. Record measurements at the resolution of the test instrumentation. Round each calculation to the same number of significant digits as the previous step. Round the final water consumption value to one decimal place for non-metered faucets, or two decimal places for metered faucets.

2.2. Showerheads—Measure the water flow rate for showerheads, in gallons per minute (gpm) or liters per minute (L/min), in accordance with the test requirements specified in section 5.4, Flow Rate, of ASME A112.18.1. Record measurements at the resolution of the test instrumentation. Round each calculation to the same number of significant digits as the previous step. Round the final water consumption value to one decimal place. If using the time/volume method of section 5.4.2.2(d), position the container to ensure it collects all water flowing from the showerhead, including any leakage from the ball joint.

3. General Instruction for Measuring Flow Rate

3.1. Using the Fluid Meter Method To Measure Flow Rate

When measuring flow rate upstream of a showerhead or faucet using a fluid meter (or equivalent device) as described in section 5.4.2.2(c) of ASME A112.18.1, ensure the fluid meter (or equivalent device) meets the following additional requirements. First, ensure the fluid meter is rated for the flow rate range of the product being tested. Second, when testing showerheads or non-metering faucets, ensure that the fluid meter has a resolution for flow rate of at least 0.1 gallons (0.4 liters) per minute. When testing a metering faucet, ensure that the fluid meter has a resolution for flow rate of at least 0.01 gallons (0.04 liters) per minute. Third, verify the fluid meter is calibrated in accordance with the manufacturer printed instructions.

3.2. Using the Time/Volume Method To Measure Flow Rate

There are several additional requirements when measuring flow rate downstream of a showerhead or faucet as described in section 5.4.2.2(d) of ASME A112.18.1 to measure flow rate. First, ensure the receiving container is large enough to contain all the water for a single test and has an opening size and/or a partial cover such that loss of water from splashing is minimized. Second, conduct the time/volume test for at least one minute, with the time recorded via a stopwatch with at least 0.1-second resolution. Third, measure and record the temperature of the water using a thermocouple or other similar device either at the receiving container immediately after recording the mass of water, or at the water in the supply line anytime during the duration of the time/volume test. Fourth, measure the mass of water to a resolution of at least 0.01 lb. (0.005 kg) and normalize it to gallons based on the specific gravity of water at the recorded temperature.

[88 FR 33545, May 24, 2023]

Appendix T to Subpart B of Part 430—Uniform Test Method for Measuring the Water Consumption of Water Closets and Urinals

NOTE: After September 19, 2022, representations made with respect to the water consumption of water closets or urinals must fairly disclose the results of testing pursuant to this appendix.

On or after April 22, 2022 and prior to September 19, 2022 representations, including compliance certifications, made with respect to the water consumption of water closets or urinals must fairly disclose the results of testing pursuant to either this appendix or the appendix as it appeared at 10 CFR part 430, subpart B, in the 10 CFR parts 200 to 499 edition revised as of January 1, 2014. Representations made with respect to the water

consumption of water closets or urinals tested within that range of time must fairly disclose the results of testing under the selected version. Given that after September 19, 2022 representations with respect to the water consumption of water closets and urinals must be made in accordance with tests conducted pursuant to this appendix, manufacturers may wish to begin using this test procedure as soon as possible.

0. Incorporation by Reference

DOE incorporated by reference in §430.3, the entire standard for ASME A112.19.2–2018; however, only enumerated provisions of that document apply to this appendix, as follows. Treat precatory language in ASME A112.19.2–2018 as mandatory for the purpose of testing.

a. Section 7.1.1 ''All tests,'' including Figures 11 and 12, as specified in section 2.a of this appendix;

b. Section 7.1.2 ''Gravity flush tank water closets,'' as specified in section 2.a of this appendix;

c. Section 7.1.3 ''Flushometer tank, electro-hydraulic, or other pressurized flushing device water closets,'' as specified in section 2.a of this appendix;

d. Section 7.1.4 ''Flushometer valve water closets,'' as specified in section 2.a of this appendix;

e. Section 7.1.5 ''Procedures for standardizing the water supply system,'' including Figures 11 and 12, as specified in section 2.a of this appendix;

f. Section 7.3 ''Water consumption test,'' as specified in section 3.a of this appendix, except sections 7.3.4 and 7.3.5;

f. Section 8.2.1, including Figure 12, as specified in section 2.b of this appendix;

g. Section 8.2.2, as specified in section 2.b of this appendix;

h. Section 8.2.3, as specified in section 2.b of this appendix;

i. Section 8.6 ''Water Consumption Test,'' as specified in section 3.b of this appendix, except sections 8.6.3 and 8.6.4;

j. Table 5 ''Static test pressures for water closets, kPa (psi),'' as specified in sections 2.a and 3.a of this appendix; and

k. Table 6 ''Static test pressures for urinals, kPa (psi)'' as specified in sections 2.a and 3.a of this appendix.

In cases where there is a conflict, the language of the test procedure in this appendix takes precedence over ASME A112.19.2–2018.

1. Scope

This appendix sets forth the test requirements used to measure the hydraulic performances of water closets and urinals.

2. Test Apparatus and General Instructions

a. When testing a water closet, use the test apparatus and follow the instructions specified in Sections 7.1.1 (including Table 5), 7.1.2, 7.1.3, 7.1.4, and 7.1.5 of ASME A112.19.2–2018). The flushometer valve used in the water consumption test must represent the maximum design flush volume of the water closet. Record each measurement at the resolution of the test apparatus. Round each calculation of water consumption for each tested unit to the same number of significant digits as the previous step.

b. When testing a urinal, use the test apparatus and follow the instructions specified in Sections 8.2.1, 8.2.2, and 8.2.3 (including Table 6) of ASME A112.19.2–2018. The flushometer valve used in the water consumption test must represent the maximum design flush volume of the urinal. Record each measurement at the resolution of the test apparatus. Round each calculation of water consumption for each tested unit to the same number of significant digits as the previous step.

3. Test Measurement

a. Water closets:

(i) Measure the water flush volume for water closets, expressed in gallons per flush (gpf) or liters per flush (Lpf), in accordance with Section 7.3, Water Consumption Test, of ASME A112.19.2–2018. For dual-flush water closets, the measurement of the water flush volume shall be conducted separately for the full-flush and reduced-flush modes and in accordance with the test requirements specified Section 7.3, Water Consumption Test, of ASME A112.19.2–2018. The final measured flush volume for each tested unit is the average of the total flush volumes recorded at each test pressure as specified in Table 5 ''Static test pressures for water closets, kPa (psi),'' of ASME A112.19.2–2018, based on the average of the individual flush volumes at a given pressure from the three tests.

(ii) Flush volume and tank trim component adjustments: For gravity flush tank water closets, set trim components that can be adjusted to cause an increase in flush volume, including (but not limited to) the flapper valve, fill valve, and tank water level, in accordance with the printed installation instructions supplied by the manufacturer with the unit. If the printed installation instructions for the model to be tested do not specify trim setting adjustments, adjust these trim components to the maximum water use setting so that the maximum flush volume is produced without causing the water closet to malfunction or leak. Set the water level in the tank to the maximum water line designated in the printed installation instructions supplied by the manufacturer or the designated water line on the tank itself, whichever is higher. If the printed installation instructions or the water closet tank do not indicate a water level, adjust the water level to 1±0.1 inches below the top of the overflow tube or, for gravity flush tank water closets that do not contain an overflow tube, 1±0.1 inches below the top rim

of the water-containing vessel for each designated pressure specified in Table 5 of ASME A112.19.2–2018.

b. Urinals—Measure water flush volume for urinals, expressed in gallons per flush (gpf) or liters per flush (Lpf), in accordance with Section 8.6, Water Consumption Test, of ASME A112.19.2–2018. The final measured flush volume for each tested unit is the average of the total flush volumes recorded at each test pressure as specified in Table 6 ''Static test pressures for urinals, kPa (psi),'' of ASME A112.19.2–2018, based on the average of the individual flush volumes at a given pressure from the three tests.

[87 FR 16386, Mar. 23, 2022]

APPENDIX U TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF CEILING FANS

NOTE: Prior to February 13, 2023, manufacturers must make any representations with respect to the energy use or efficiency of ceiling fans as specified in section 2 of this appendix as it appeared on January 23, 2017. On or after February 13, 2023, manufacturers of ceiling fans, as specified in section 2 of this appendix, must make any representations with respect to energy use or efficiency in accordance with the results of testing pursuant to this appendix. Representations of standby power consumption for large-diameter ceiling fans including for the purpose of certification, are not required until such time as compliance is required with an energy conservation standard for standby power consumption. Upon the compliance date(s) of any energy conservation standards for large-diameter ceiling fans with a blade span greater than 24 feet, use of the applicable provisions of this test procedure to demonstrate compliance with the energy conservation standard will also be required.

0. Incorporation by Reference

In §430.3, DOE incorporated by reference the entire standard for AMCA 208–18, AMCA 230–15, AMCA 230–15 TE, and IEC 62301; however, only enumerated provisions of AMCA 230–15, AMCA 230–15 TE, and IEC 62301 are applicable as follows:

0.1. AMCA 230–15 (including corresponding sections in AMCA 230–15 TE):

(a) Section 3—Units of Measurement, as specified in section 3.4 of this appendix;

(b) Section 4—Symbols and Subscripts; (including Table 1—Symbols and Subscripts), as specified in section 3.4 of this appendix;

(c) Section 5—Definitions (except 5.1), as specified in section 3.4 of this appendix;

(d) Section 6—Instruments and Section Methods of Measurement, as specified in section 3.4 of this appendix;

(e) Section 7—Equipment and Setups (except the last 2 bulleted items in 7.1—Allowable test setups), as specified in section 3.4 of this appendix;

(f) Section 8—Observations and Conduct of Test, as specified in section 3.5 of this appendix;

(g) Section 9—Calculations (except 9.5 and 9.6), as specified in section 3.5 of this appendix; and

(h) Test Figure 1—Vertical Airflow Setup with Load Cell (Ceiling Fans), as specified in section 3.4 of this appendix.

0.2. IEC 62301:

(a) Section 4.3.1—Supply voltage and frequency (first paragraph only), as specified in section 3.6 of this appendix;

(b) Section 4.3.2—Supply voltage waveform, as specified in section 3.6 of this appendix;

(c) Section 4.4—General conditions for measurements: Power measuring instruments, as specified in section 3.6 of this appendix;

(d) Section 5.3.1—General (except the last bulleted item), as specified in section 3.6 of this appendix and

(e) Section 5.3.2—Sampling method (first two paragraphs and Note 1), as specified in sections 3.6 and 3.6.3 of this appendix.

1. Definitions:

1.1. *40% speed* means the ceiling fan speed at which the blade RPM are measured to be 40% of the blade RPM measured at high speed.

1.2. *Airflow* means the rate of air movement at a specific fan-speed setting expressed in cubic feet per minute (CFM).

1.3. *Belt-driven ceiling fan* means a ceiling fan with a series of one or more fan heads, each driven by a belt connected to one or more motors that are located outside of the fan head.

1.4. *Blade span* means the diameter of the largest circle swept by any part of the fan blade assembly, including attachments. The represented value of blade span (D) is as determined in 10 CFR 429.32.

1.5. *Ceiling fan efficiency* means the ratio of the total airflow to the total power consumption, in units of cubic feet per minute per watt (CFM/W).

1.6. *Centrifugal ceiling fan* means a ceiling fan for which the primary airflow direction is in the same plane as the rotation of the fan blades.

1.7. *High speed* means the highest available ceiling fan speed, *i.e.*, the fan speed corresponding to the maximum blade revolutions per minute (RPM).

1.8. *High-speed small-diameter (HSSD) ceiling fan* means a small-diameter ceiling fan that is not a very-small-diameter ceiling fan, highly-decorative ceiling fan or belt-driven

ceiling fan and that has a represented value of blade edge thickness, as determined in 10 CFR 429.32(a)(3)(iii), of less than 3.2 mm or a maximum represented value of tip speed, as determined in 10 CFR 429.32(a)(3)(v), greater than the applicable limit specified in the table in this definition.

HIGH-SPEED SMALL-DIAMETER CEILING FAN BLADE AND TIP SPEED CRITERIA

Airflow direction	Thickness (t) of edges of blades		Tip speed threshold	
	Mm	Inch	m/s	feet per minute
Downward-only	4.8 > t ≥ 3.2	3/16 > t ≥ 1/8	16.3	3,200
Downward-only	t ≥ 4.8	t ≥ 3/16	20.3	4,000
Reversible	4.8 > t ≥ 3.2	3/16 > t ≥ 1/8	12.2	2,400
Reversible	t ≥ 4.8	t ≥ 3/16	16.3	3,200

1.9. *High-speed belt-driven (HSBD) ceiling fan* means a ceiling fan that is a belt-driven ceiling fan with one fan head, and that has a represented value of blade edge thickness, as determined in 10 CFR 429.32(a)(3)(iii), of less than 3.2 mm or a maximum represented value of tip speed, as determined in 10 CFR 429.32(a)(3)(v), greater than the applicable limit specified in the table in this definition.

HIGH-SPEED BELT-DRIVEN CEILING FAN BLADE AND TIP SPEED CRITERIA

Airflow direction	Thickness (t) of edges of blades		Tip speed threshold	
	Mm	Inch	m/s	feet per minute
Downward-only	4.8 > t ≥ 3.2	3/16 > t ≥ 1/8	16.3	3,200
Downward-only	t ≥ 4.8	t ≥ 3/16	20.3	4,000
Reversible	4.8 > t ≥ 3.2	3/16 > t ≥ 1/8	12.2	2,400
Reversible	t ≥ 4.8	t ≥ 3/16	16.3	3,200

1.10. *Highly-decorative ceiling fan* means a ceiling fan with a maximum represented value of blade revolutions per minute (RPM), as determined in 10 CFR 429.32(a)(3)(ii), of 90 RPM, and a represented value of airflow at high speed, as determined in 10 CFR 429.32(a)(3)(vi), of less than 1,840 CFM.

1.11. *Hugger ceiling fan* means a low-speed small-diameter ceiling fan that is not a very-small-diameter ceiling fan, highly-decorative ceiling fan, or belt-driven ceiling fan, and for which the represented value of the distance between the ceiling and the lowest point on the fan blades, as determined in 10 CFR 429.32(a)(3)(iv), is less than or equal to 10 inches.

1.12. *Large-diameter ceiling fan* means a ceiling fan that is not a highly-decorative ceiling fan or belt-driven ceiling fan and has a represented value of blade span, as determined in 10 CFR 429.32(a)(3)(i), greater than seven feet.

1.13. *Low speed* means the lowest available speed that meets the following criteria:

Number of sensors per individual axis as determined in section 3.2.2(6) of this appendix	Number of sensors per individual axis measuring 40 feet per minute or greater
3	2
4	3
5	3
6	4
7	4
8	5
9	6
10	7
11	8
12	9

1.14. *Low-speed small-diameter (LSSD) ceiling fan* means a small-diameter ceiling fan that has a represented value of blade edge thickness, as determined in 10 CFR 429.32(a)(3)(iii), greater than or equal to 3.2 mm and a maximum represented value of tip speed, as determined in 10 CFR 429.32(a)(3)(v), less than or equal to the applicable limit specified in the table in this definition.

LOW-SPEED SMALL-DIAMETER CEILING FAN BLADE AND TIP SPEED CRITERIA

Airflow direction	Thickness (t) of edges of blades		Tip speed threshold	
	Mm	Inch	m/s	feet per minute
Reversible	4.8 > t ≥ 3.2	3/16 > t ≥ 1/8	12.2	2,400
Reversible	t ≥ 4.8	t ≥ 3/16	16.3	3,200

1.15. *Multi-head ceiling fan* means a ceiling fan with more than one fan head, *i.e.*, more than one set of rotating fan blades.

1.16. *Multi-mount ceiling fan* means a low-speed small-diameter ceiling fan that can be mounted in the configurations associated with both the standard and hugger ceiling fans.

1.17. *Oscillating ceiling fan* means a ceiling fan containing one or more fan heads for which the axis of rotation of the fan blades cannot remain in a fixed position relative to the ceiling. Such fans have no inherent means by which to disable the oscillating function separate from the fan blade rotation.

1.18. *Small-diameter ceiling fan* means a ceiling fan that has a represented value of blade span, as determined in 10 CFR 429.32(a)(3)(i), less than or equal to seven feet.

1.19. *Standard ceiling fan* means a low-speed small-diameter ceiling fan that is not a very-small-diameter ceiling fan, highly-decorative ceiling fan or belt-driven ceiling fan, and for which the represented value of the distance between the ceiling and the lowest point on the fan blades, as determined in 10 CFR 429.32(a)(3)(iv), is greater than 10 inches.

1.20. *Total airflow* means the sum of the product of airflow and hours of operation at all tested speeds. For multi-head fans, this includes the airflow from all fan heads.

1.21. *Very-small-diameter (VSD) ceiling fan* means a small-diameter ceiling fan that is not a highly-decorative ceiling fan or belt-driven ceiling fan; and has one or more fan heads, each of which has a represented value of blade span, as determined in 10 CFR 429.32(a)(3)(i), of 18 inches or less. Only VSD fans that also meet the definition of an LSSD fan are required to be tested for purposes of determining compliance with energy efficiency standards established by DOE and for other representations of energy efficiency.

2. Scope:

The provisions in this appendix apply to ceiling fans except:

(1) Ceiling fans where the plane of rotation of a ceiling fan's blades is not less than or equal to 45 degrees from horizontal, or cannot be adjusted based on the manufacturer's specifications to be less than or equal to 45 degrees from horizontal;

(2) Centrifugal ceiling fans;

(3) Belt-driven ceiling fans that are not high-speed belt-driven ceiling fans; and

(4) Oscillating ceiling fans.

3. General Instructions, Test Apparatus, and Test Measurement:

The test apparatus and test measurement used to determine energy performance depend on the ceiling fan's blade span, and in some cases the ceiling fan's blade edge thickness. For each tested ceiling fan, measure the lateral distance from the center of the axis of rotation of the fan blades to the furthest fan blade edge from the center of the axis of rotation. Measure this lateral distance at the resolution of the measurement instrument, using an instrument with a measurement resolution of least 0.25 inches. Multiply the lateral distance by two and then round to the nearest whole inch to determine the blade span. For ceiling fans having a blade span greater than 18 inches and less than or equal to 84 inches, measure the ceiling fan's blade edge thickness. To measure the fan blade edge thickness, use an instrument with a measurement resolution of at least 0.001 inch and measure the thickness of one fan blade's leading edge (in the forward direction) according to the following:

(1) Locate the cross-section perpendicular to the fan blade's radial length that is at least one inch from the tip of the fan blade and for which the blade is thinnest, and

(2) Measure at the thickest point of that cross-section within one inch from the leading edge of the fan blade.

See Figure 1 of this appendix for an instructional schematic on the fan blade edge thickness measurement. Figure 1 depicts a ceiling fan from above. Round the measured blade edge thickness to the nearest 0.01 inch.

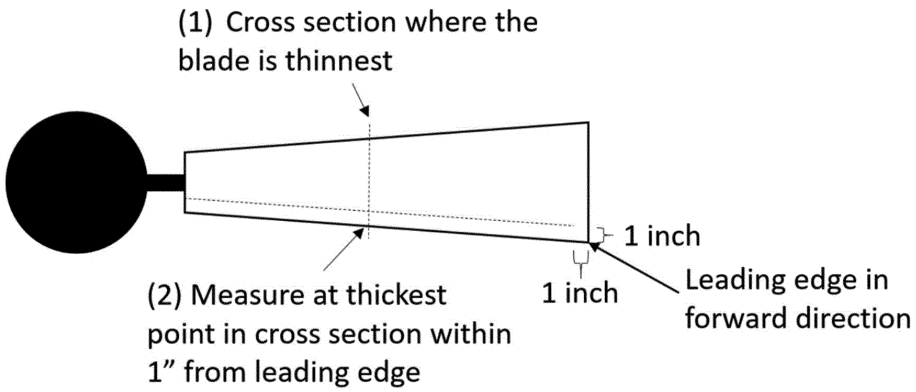


Figure 1 to Appendix U to Subpart B of Part 430: Measurement Criteria for Fan Blade Edge Thickness

3.1. General instructions.

3.1.1. Record measurements at the resolution of the test instrumentation. Round off calculations to the number of significant digits present at the resolution of the test instrumentation, except for blade span, which is rounded to the nearest inch. Round the final ceiling fan efficiency value to the nearest whole number as follows:

3.1.1.1. A fractional number at or above the midpoint between the two consecutive whole numbers shall be rounded up to the higher of the two whole numbers; or

3.1.1.2. A fractional number below the midpoint between the two consecutive whole numbers shall be rounded down to the lower of the two whole numbers.

3.1.2. For multi-head ceiling fans, the effective blade span is the blade span (as specified in section 3) of an individual fan head, if all fan heads are the same size. If the fan heads are of varying sizes, the effective blade span is the blade span (as specified in section 3) of the largest fan head.

3.2. Test apparatus for low-speed small-diameter and high-speed small-diameter ceiling fans: All instruments are to have accuracies within ±1% of reading, except for the air velocity sensors, which must have accuracies within ±5% of reading or 2 feet per minute (fpm), whichever is greater. Equipment is to be calibrated at least once a year to compensate for variation over time.

3.2.1. *Air Delivery Room Requirements*

(1) The air delivery room dimensions are to be 20 ± 0.75 feet x 20 ± 0.75 feet with an 11 ± 0.75 foot-high ceiling. The control room shall be constructed external to the air delivery room.

(2) The ceiling shall be constructed of sheet rock or stainless plate. The walls must be of adequate thickness to maintain the specified temperature and humidity during the test. The paint used on the walls, as well as the paint used on the ceiling material, must be of a type that minimizes absorption of humidity and that keeps the temperature of the room constant during the test (*e.g.*, oil-based paint).

(3) The room must not have any ventilation other than an air conditioning and return system used to control the temperature and humidity of the room. The construction of the room must ensure consistent air circulation patterns within the room. Vents must have electronically-operated damper doors controllable from a switch outside of the testing room.

3.2.2. *Equipment Set-Up*

(1) Make sure the transformer power is off. Hang the ceiling fan to be tested directly from the ceiling, according to the manufacturer's installation instructions. Hang all non-multi-mount ceiling fans in the fan configuration that minimizes the distance between the ceiling and the lowest point of the fan blades. Hang and test multi-mount fans in two configurations: The configuration associated the definition of a standard fan that minimizes the distance between the ceiling and the lowest point of the fan blades and the configuration associated with the definition of a hugger fan that minimizes the distance between the ceiling and the lowest

point of the fan blades. For all tested configurations, measure the distance between the ceiling and the lowest point of the fan blade using an instrument with a measurement resolution of at least 0.25 inches. Round the measured distance from the ceiling to the lowest point of the fan blade to the nearest quarter inch.

(2) Connect wires as directed by manufacturer's wiring instructions. *Note:* Assemble fan prior to the test; lab personnel must follow the instructions provided with the fan by the fan manufacturer. Balance the fan blade assembly in accordance with the manufacturer's instructions to avoid excessive vibration of the motor assembly (at any speed) during operation.

(3) With the ceiling fan installed, adjust the height of the air velocity sensors to ensure the vertical distance between the lowest point on the ceiling fan blades and the air velocity sensors is 43 inches.

(4) A single rotating sensor arm, two rotating sensor arms, or four fixed sensor arms can be used to take air velocity measurements along four axes, labeled A–D. Axes A, B, C, and D are at 0, 90, 180, and 270 degree positions. Axes A–D must be perpendicular to the four walls of the room. See Figure 2 of this appendix.

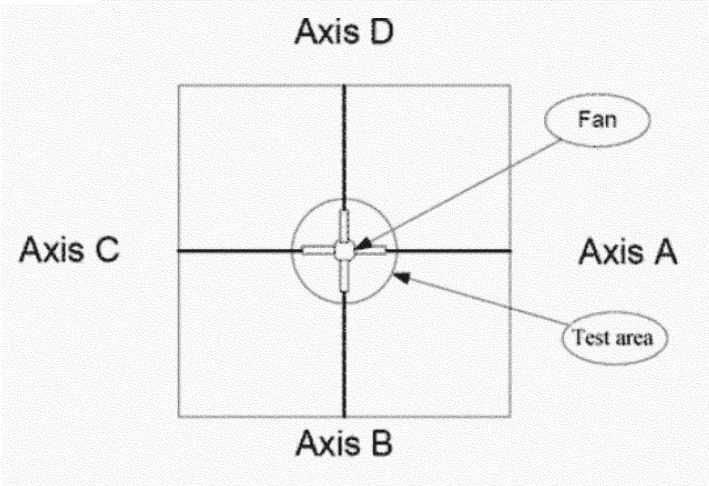


Figure 2 to Appendix U to Subpart B of Part 430: Testing Room and Sensor Arm Axes

(5) Minimize the amount of exposed wiring. Store all sensor lead wires under the floor, if possible.

(6) Place the sensors at intervals of 4 ± 0.0625 inches along a sensor arm, starting with the first sensor at the point where the four axes intersect, aligning the sensors perpendicular to the direction of airflow. Do not touch the actual sensor prior to testing. Use enough sensors to record air delivery within a circle 8 inches larger in diameter than the blade span of the ceiling fan being tested. The experimental set-up is shown in Figure 3 of this appendix.

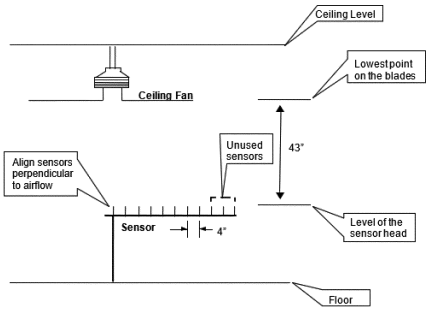


Figure 3 to Appendix U to Subpart B of Part 430: Air Delivery Room Set-Up for Small-Diameter Ceiling Fans other than High-Speed Belt-Driven Ceiling Fans

(7) Table 1 of this appendix shows the appropriate number of sensors needed per each of four axes (including the first sensor at the intersection of the axes) for common fan sizes.

TABLE 1 TO APPENDIX U TO SUBPART B OF PART 430: SENSOR SELECTION REQUIREMENTS

Fan blade span* (inches)	Number of sensors
36	6
42	7
44	7
48	7
52	8
54	8
56	8
60	9
72	10
84	12

*The fan sizes listed are illustrative and do not restrict which ceiling fan sizes can be tested.

(8) Install an RPM (revolutions per minute) meter, or tachometer, to measure RPM of the ceiling fan blades.

(9) Use an RMS sensor capable of measuring power with an accuracy of ±1% to measure ceiling fan power consumption. If the ceiling fan operates on multi-phase power input, measure the active (real) power in all phases simultaneously. Measure test voltage within 6'' of the connection supplied with the ceiling fan.

(10) Complete any conditioning instructions provided in the ceiling fan's instruction or installation manual must be completed prior to conducting testing.

3.2.3. *Multi-Head Ceiling Fan Test Set-Up.*

Hang a multi-headed ceiling fan from the ceiling such that one of the ceiling fan heads is centered directly over sensor 1 (*i.e.*, at the intersection of axes A, B, C, and D). The distance between the lowest point any of the fan blades of the centered fan head can reach and the air velocity sensors is to be such that it is the same as for all other small-diameter ceiling fans (*see* Figure 3 of this appendix). If the multi-head ceiling fan has an oscillating function (*i.e.*, the fan heads change their axis of rotation relative to the ceiling) that can be switched off, switch it off prior to taking air velocity measurements. If any multi-head fan does not come with the blades preinstalled, install fan blades only on the fan head that will be directly centered over the intersection of the sensor axes. (Even if the fan heads in a multi-head ceiling fan would typically oscillate when the blades are installed on all fan heads, the ceiling fan is subject to this test procedure if the centered fan head does not oscillate when it is the only fan head with the blades installed.) If the fan blades are preinstalled on all fan heads, measure air velocity in accordance with section 3.3 of this appendix except turn on only the centered fan head. Take the power consumption measurements separately, with the fan blades installed on all fan heads and with any oscillating function, if present, switched on.

3.2.4. Test Set-Up for Ceiling Fans with Airflow Not Directly Downward

For ceiling fans where the airflow is not directly downward, adjust the ceiling fan head such that the airflow is as vertical as possible prior to testing. For ceiling fans where a fully vertical orientation of airflow cannot be achieved, orient the ceiling fan (or fan head, if the ceiling fan is a multi-head fan) such that any remaining tilt is aligned along one of the four sensor axes. Instead of measuring the air velocity for only those sensors directly beneath the ceiling fan, the air velocity is to be measured at all sensors along that axis, as well as the axis oriented 180 degrees with respect to that axis. For example, if the tilt is oriented along axis A, air velocity measurements are to be taken for all sensors along the A–C axis. No measurements would need to be taken along the B–D axis in

this case. All other aspects of test set-up remain unchanged from sections 3 through 3.2.2.

3.3. Active mode test measurement for low-speed small-diameter and high-speed small-diameter ceiling fans.

3.3.1. *Test conditions to be followed when testing:*

(1) Maintain the room temperature at 70 degrees ± 5 degrees Fahrenheit and the room humidity at 50% ± 5% relative humidity during the entire test process.

(2) If present, the ceiling fan light fixture is to be installed but turned off during testing.

(3) If present, any additional accessories or features sold with the ceiling fan that do not relate to the ceiling fan's ability to create airflow by rotation of the fan blades (for example light kit, heater, air ionization, ultraviolet technology) is to be installed but turned off during testing. If such an accessory or feature cannot be turned off, it shall be set to the lowest energy-consuming mode during testing. If the ceiling fan is offered with a default controller, test using the default controller. If multiple controllers are offered, test using the minimally functional controller.

(4) If present, turn off any oscillating function causing the axis of rotation of the fan head(s) to change relative to the ceiling during operation prior to taking air velocity measurements. Turn on any oscillating function prior to taking power measurements.

(5) Test ceiling fans rated for operation with only a single- or multi-phase power supply with single- or multi-phase electricity, respectively. Test ceiling fans capable of operating with single- and multi-phase electricity with single-phase electricity. DOE will allow manufacturers of ceiling fans capable of operating with single- and multi-phase electricity to test such fans with single-phase power and make representations of efficiency associated with both single and multi-phase electricity if a manufacturer desires to do so, but the test results in the multi-phase configuration will not be valid to assess compliance with any amended energy conservation standard. All tested power supply should be at 60 Hz.

(6) The supply voltage shall be:

(i) for ceiling fans tested with single-phase electricity, the supply voltage shall be:

(a) 120 V if the ceiling fan's minimum rated voltage is 120 V or the lowest rated voltage range contains 120 V,

(b) 240 V if the ceiling fan's minimum rated voltage is 240 V or the lowest rated voltage range contains 240 V, or

(c) The ceiling fan's minimum rated voltage (if a voltage range is not given) or the mean of the lowest rated voltage range, in all other cases.

(ii) for ceiling fans tested with multi-phase electricity, the supply voltage shall be:

(a) 240 V if the ceiling fan's minimum rated voltage is 240 V or the lowest rated voltage range contains 240 V, or

(b) The ceiling fan's minimum rated voltage (if a voltage range is not given) or the mean of the lowest rated voltage range, in all other cases.

(iii) The test voltage shall not vary by more than ±1% during the tests.

(7) Conduct the test with the fan connected to a supply circuit at the rated frequency.

(8) Measure power input at a point that includes all power-consuming components of the ceiling fan (but without any attached light kit energized; or without any additional accessory or feature energized, if possible; and if not, with the additional accessory or feature set at the lowest energy-consuming mode). If the ceiling fan is offered with a default controller, test using the default controller. If multiple controllers are offered, test using the minimally functional controller.

3.3.2. *Air Velocity and Power Consumption Testing Procedure:*

Measure the air velocity (FPM) and power consumption (W) for HSSD ceiling fans until stable measurements are achieved, measuring at high speed only. Measure the air velocity and power consumption for LSSD and VSD ceiling fans that also meet the definition of an LSSD fan until stable measurements are achieved, measuring first at low speed and then at high speed. To determine low speed, start measurements at the lowest available speed and move to the next highest speed until the low speed definition in section 1.13 of this appendix is met. Air velocity and power consumption measurements are considered stable for high speed if:

(1) The average air velocity for each sensor varies by less than 5 percent or 2 FPM, whichever is greater, compared to the average air velocity measured for that same sensor in a successive set of air velocity measurements, and

(2) Average power consumption varies by less than 1 percent in a successive set of power consumption measurements.

(a) Air velocity and power consumption measurements are considered stable for low speed if:

(1) The average air velocity for each sensor varies by less than 10 percent or 2 FPM, whichever is greater, compared to the average air velocity measured for that same sensor in a successive set of air velocity measurements, and

(2) Average power consumption varies by less than 1 percent in a successive set of power consumption measurements.

(b) These stability criteria are applied differently to ceiling fans with airflow not directly downward. *See* section 3.3.3 of this appendix.

Step 1: Set the first sensor arm (if using four fixed arms), two sensor arm (if using a

two-arm rotating setup), or single sensor arm (if using a single-arm rotating setup) to the 0 degree Position (Axis A). If necessary, use a marking as reference. If using a single-arm rotating setup or two-arm rotating setup, adjust the sensor arm alignment until it is at the 0 degree position by remotely controlling the antenna rotator.

Step 2: Set software up to read and record air velocity, expressed in feet per minute (FPM) in 1 second intervals. (Temperature does not need to be recorded in 1 second intervals.) Record current barometric pressure.

Step 3: Allow test fan to run 15 minutes at rated voltage and at high speed if the ceiling fan is an HSSD ceiling fan. If the ceiling fan is an LSSD or VSD ceiling fan that also meets the definition of an LSSD fan, allow the test fan to run 15 minutes at the rated voltage and at the lowest available ceiling fan speed. Turn off all forced-air environmental conditioning equipment entering the chamber (*e.g.*, air conditioning), close all doors and vents, and wait an additional 3 minutes prior to starting test session.

Step 4a: For a rotating sensor arm: Begin recording readings. Starting with Axis A, take 100 air velocity readings (100 seconds run-time) and record these data. For all fans except multi-head fans and fans capable of oscillating, also measure power during the interval that air velocity measurements are taken. Record the average value of the air velocity readings for each sensor in feet per minute (FPM). Determine if the readings meet the low speed definition as defined in section 1.13 of this appendix. If not, restart Step 4a at the next highest speed until the low-speed definition is met. Once the low speed definition is met, rotate the arm, stabilize the arm, and allow 30 seconds to allow the arm to stop oscillating. Repeat data recording and rotation process for Axes B, C, and D. Step 4a is complete when the readings for all axes meet the low speed definition at the same speed. Save the data for all axes only for those measurements that meet the low speed definition. Using the measurements applicable to low speed, record the average value of the power measurement in watts (W) (400 readings). Record the average value of the air velocity readings for each sensor in feet per minute (FPM) (400 readings).

Step 4b: For a two-arm rotating setup: Begin recording readings. Starting with Axes A and C, take 100 air velocity readings (100 seconds run-time) for both axes and record these data. For all fans except multi-head fans and fans capable of oscillating, also measure power during the interval that air velocity measurements are taken. Record the average value of the air velocity readings for each sensor in feet per minute (FPM). Determine if the readings meet the low speed definition as defined in section 1.13 of this appendix. If not, restart Step 4b at the next highest speed until the low speed definition is met. Once the low speed definition is met, rotate the two-arm, stabilize the arm, and allow 30 seconds to allow the arm to stop oscillating. Repeat data recording for Axes B and D. Step 4b is complete when the readings for all axes meet the low speed definition at the same speed. Save the data for all axes only for those measurements that meet the low speed definition. Using the measurements applicable to low speed, record the average value of the power measurement in watts (W) (200 readings). Record the average value of the air velocity readings for each sensor in feet per minute (FPM) (200 readings).

Step 4c: For four fixed sensor arms: Begin recording readings. Take 100 air velocity readings (100 seconds run-time) and record this data. Take the readings for all sensor arms (Axes A, B, C, and D) simultaneously. For all fans except multi-head fans and fans capable of oscillating, also measure power during the interval that air velocity measurements are taken. Record the average value of the air velocity readings for each sensor in feet per minute (FPM). Determine if the readings meet the low speed definition as defined in section 1.13 of this appendix. If not, restart Step 4c at the next highest speed until the low speed definition is met. Step 4c is complete when the readings for all axes meet the low speed definition at the same speed. Save the data for all axes only for those measurements that meet the low speed definition. Using the measurements applicable to low speed, record the average value of the power measurement in watts (W) (100 readings). Record the average value of the air velocity readings for each sensor in feet per minute (FPM) (100 readings).

Step 5: Repeat step 4a, 4b or 4c until stable measurements are achieved.

Step 6: Repeat steps 1 through 5 above on high speed for LSSD and VSD ceiling fans that also meet the definition of an LSSD fan. Note: Ensure that temperature and humidity readings are maintained within the required tolerances for the duration of the test (all tested speeds). Forced-air environmental conditioning equipment may be used and doors and vents may be opened between test sessions to maintain environmental conditions.

Step 7: If testing a multi-mount ceiling fan, repeat steps 1 through 6 with the ceiling fan in the ceiling fan configuration (associated with either hugger or standard ceiling fans) not already tested.

If a multi-head ceiling fan includes more than one category of ceiling fan head, then test at least one of each unique category. A fan head with different construction that could affect air movement or power consumption, such as housing, blade pitch, or motor, would constitute a different category of fan head.

Step 8: For multi-head ceiling fans, measure active (real) power consumption in all phases simultaneously at each speed continuously for 100 seconds with all fan heads turned on, and record the average value at each speed in watts (W).

For ceiling fans with an oscillating function, measure active (real) power consumption in all phases simultaneously at each speed continuously for 100 seconds with the oscillating function turned on. Record the average value of the power measurement in watts (W).

For both multi-head ceiling fans and fans with an oscillating function, repeat power consumption measurement until stable power measurements are achieved.

3.3.3. *Air Velocity Measurements for Ceiling Fans with Airflow Not Directly Downward:*

Using the number of sensors that cover the same diameter as if the airflow were directly downward, record air velocity at each speed from the same number of continuous sensors with the largest air velocity measurements. This continuous set of sensors must be along the axis that the ceiling fan tilt is directed in (and along the axis that is 180 degrees from the first axis). For example, a 42-inch fan tilted toward axis A may create the pattern of air velocity shown in Figure 4 of this appendix. As shown in Table 1 of this appendix, a 42-inch fan would normally require 7 active sensors per axis. However, because the fan is not directed downward, all sensors must record data. In this case, because the set of sensors corresponding to maximum air velocity are centered 3 sensor positions away from the sensor 1 along the A axis, substitute the air velocity at A axis sensor 4 for the average air velocity at sensor 1. Take the average of the air velocity at A axis sensors 3 and 5 as a substitute for the average air velocity at sensor 2, take the average of the air velocity at A axis sensors 2 and 6 as a substitute for the average air velocity at sensor 3, etc. Lastly, take the average of the air velocities at A axis sensor 10 and C axis sensor 4 as a substitute for the average air velocity at sensor 7. Stability criteria apply after these substitutions. For example, air velocity stability at sensor 7 are determined based on the average of average air velocity at A axis sensor 10 and C axis sensor 4 in successive measurements. Any air velocity measurements made along the B–D axis are not included in the calculation of average air velocity.

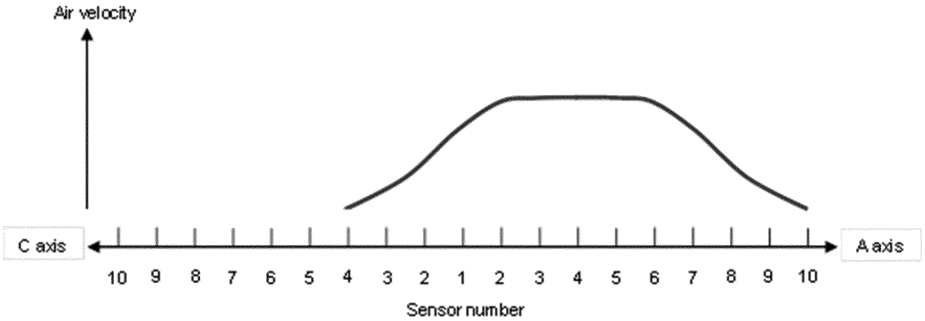


Figure 4 to Appendix U to Subpart B of Part 430: Example Air Velocity Pattern for Airflow Not Directly Downward

3.4. *Test apparatus for large-diameter ceiling fans and high-speed belt-driven ceiling fans:*

The test apparatus and instructions for testing large-diameter ceiling fans and HSBD ceiling fans must conform to the requirements specified in Sections 3 through 7 (including Test Figure 1) of AMCA 230–15, with the following modifications:

3.4.1. A ''ceiling fan'' is defined as in 10 CFR 430.2.

3.4.2. Test ceiling fans rated for operation with only a single- or multi-phase power supply with single- or multi-phase electricity, respectively. Test ceiling fans capable of operating with single- and multi-phase electricity with multi-phase electricity. DOE will allow manufacturers of ceiling fans capable of operating with single- and multi-phase electricity to test such fans with single-phase power and make representations of efficiency associated with both single and multi-phase electricity if a manufacturer desires to do so, but the test results in the single-phase configuration will not be valid to assess compliance with any amended energy conservation standard. All tested power supply should be at 60 Hz.

3.4.3. Supply Voltage:

(1) For ceiling fans tested with single-phase electricity, the supply voltage shall be:

(a) 120 V if the ceiling fan's minimum rated voltage is 120 V or the lowest rated voltage range contains 120 V,

(b) 240 V if the ceiling fan's minimum rated voltage is 240 V or the lowest rated voltage range contains 240 V, or

(c) The ceiling fan's minimum rated voltage (if a voltage range is not given) or the mean of the lowest rated voltage range, in all other cases.

(2) For ceiling fans tested with multi-phase electricity, the supply voltage shall be:

(a) 240 V if the ceiling fan's minimum rated voltage is 240 V or the lowest rated voltage range contains 240 V, or

(b) The ceiling fan's minimum rated voltage (if a voltage range is not given) or the mean of the lowest rated voltage range, in all other cases.

3.5. *Active mode test measurement for large-diameter ceiling fans and high-speed belt-driven ceiling fans:*

(1) Test large-diameter ceiling fans and high-speed belt-driven ceiling fans in accordance with AMCA 208–18, in all phases simultaneously at:

(a) High speed, and

(b) 40 percent or the nearest speed that is not less than 40 percent speed.

(2) When testing at 40 percent speed for large-diameter ceiling fans that can operate over an infinite number of speeds (*e.g.*, ceiling fans with VFDs), ensure the average measured RPM is within the greater of 1 percent of the average RPM at high speed or 1 RPM. For example, if the average measured RPM at high speed is 50 RPM, for testing at 40 percent speed, the average measured RPM should be between 19 RPM and 21 RPM. If the average measured RPM falls outside of this tolerance, adjust the ceiling fan speed and repeat the test. Calculate the airflow and measure the active (real) power consumption in all phases simultaneously in accordance with the test requirements specified in Sections 8 and 9, AMCA 230–15, with the following modifications:

3.5.1. Measure active (real) power consumption in all phases simultaneously at a point that includes all power-consuming components of the ceiling fan. If present, any additional accessories or features sold with the ceiling fan that do not relate to the ceiling fan's ability to create airflow by rotation of the fan blades (for example light kit, heater, air ionization, ultraviolet technology) are to be installed but turned off during testing. If the accessory/feature cannot be turned off, it shall be set to the lowest energy-consuming mode during testing. If the ceiling fan is offered with a default controller, test using the default controller. If multiple controllers are offered, test using the minimally functional controller.

3.5.2. Measure active (real) power consumption in all phases simultaneously continuously at the rated voltage that represents normal operation over the time period for which the load differential test is conducted.

3.6. *Test measurement for standby power consumption.*

(1) Measure standby power consumption if the ceiling fan offers one or more of the following user-oriented or protective functions:

(a) The ability to facilitate the activation or deactivation of other functions (including active mode) by remote switch (including remote control), internal sensor, or timer.

(b) Continuous functions, including information or status displays (including clocks), or sensor-based functions.

(2) Measure standby power consumption after completion of active mode testing and after the active mode functionality has been switched off (*i.e.,* the rotation of the ceiling fan blades is no longer energized). The ceiling fan must remain connected to the main power supply and be in the same configuration as in active mode (*i.e.*, any ceiling fan light fixture should still be attached). Measure standby power consumption according to Sections 4.3.1, 4.3.2, 4.4, and 5.3.1 through 5.3.2, of IEC 62301 with the following modifications:

3.6.1. Allow 3 minutes between switching off active mode functionality and beginning the standby power test. (No additional time before measurement is required.)

3.6.2. Simultaneously in all phases, measure active (real) power consumption continuously for 100 seconds, and record the average value of the standby power measurement in watts (W).

3.6.3. Determine power consumption according to section 5.3.2 of IEC 62301, or by using the following average reading method. Note that a shorter measurement period may be possible using the sample method in section 5.3.2 of IEC 62301.

(1) Connect the product to the power supply and power measuring instrument.

(2) Select the mode to be measured (which may require a sequence of operations and could require waiting for the product to automatically enter the desired mode) and then monitor the power.

(3) Calculate the average power using either the average power method or the accumulated energy method. For the average power method, where the power measuring instrument can record true average power over an operator selected period, the average power is taken directly from the power measuring instrument. For the accumulated energy method, determine the average power by dividing the measured energy by the time for the monitoring period. Use units of watt-hours and hours for both methods to determine average power in watts.

4. Calculation of Ceiling Fan Efficiency From the Test Results:

4.1. Calculation of effective area for small-diameter ceiling fans other than high-speed belt-driven ceiling fans:

Calculate the effective area corresponding to each sensor used in the test method for small-diameter ceiling fans other than high-speed belt-driven ceiling fans (section 3.3 of this appendix) with the following equations:

(1) For sensor 1, the sensor located directly underneath the center of the ceiling fan, the effective width of the circle is 2 inches, and the effective area is:

$$Effective\ Area\ (sq.ft.) = \pi\left(\frac{2}{12}\right)^2 = 0.0873 \qquad \text{Eq. 1}$$

(2) For the sensors between sensor 1 and the last sensor used in the measurement, the effective area has a width of 4 inches. If a sensor is a distance *d*, in inches, from sensor 1, then the effective area is:

$$Effective\ Area\ (sq.ft.) = \pi\left(\frac{d+1}{12}\right)^2 - \pi\left(\frac{d-2}{12}\right)^2 = \pi\left(\frac{24+1}{12}\right)^2 - \pi\left(\frac{24-2}{12}\right)^2 = 3.076 \qquad \text{Eq. 3}$$

(3) For the last sensor, the width of the effective area depends on the horizontal displacement between the last sensor and the point on the ceiling fan blades furthest radially from the center of the fan. The total area included in an airflow calculation is the area of a circle 8 inches larger in diameter than the ceiling fan blade span (as specified in section 3 of this appendix).

Therefore, for example, for a 42-inch ceiling fan, the last sensor is 3 inches beyond the end of the ceiling fan blades. Because only the area within 4 inches of the end of the ceiling fan blades is included in the airflow calculation, the effective width of the circle corresponding to the last sensor would be 3 inches. The calculation for the effective area corresponding to the last sensor would then be:

$$Effective\ Area\ (sq.ft.) = \pi\left(\frac{d+1}{12}\right)^2 - \pi\left(\frac{d-2}{12}\right)^2 = \pi\left(\frac{24+1}{12}\right)^2 - \pi\left(\frac{24-2}{12}\right)^2 = 3.076 \qquad \text{Eq. 3}$$

For a 46-inch ceiling fan, the effective area of the last sensor would have a width of 5 inches, and the effective area would be:

$$Effective\ Area\ (sq.ft.) = \pi\left(\frac{d+3}{12}\right)^2 - \pi\left(\frac{d-2}{12}\right)^2 = \pi\left(\frac{24+3}{12}\right)^2 - \pi\left(\frac{24-2}{12}\right)^2 = 5.345 \qquad \text{Eq. 4}$$

4.2 Calculation of airflow and efficiency for small-diameter ceiling fans other than high-speed belt-driven ceiling fans:

Calculate fan airflow using the overall average of both sets of air velocity measurements at each sensor position from the successive sets of measurements that meet the stability criteria from section 3.3 of this appendix. To calculate airflow for HSSD, LSSD, and VSD ceiling fans, multiply the overall average air velocity at each sensor position from section 3.3 (for high speed for HSSD, LSSD, and VSD ceiling fans that also meet the definition of an LSSD ceiling fan; and repeated for low speed only for LSSD and VSD ceiling fans that also meet the definition of an LSSD ceiling fan) by that sensor's effective area (see section 4.1 of this appendix), and then sum the products to obtain the overall calculated airflow at the tested speed.

For each speed, using the overall calculated airflow and the overall average power consumption measurements from the successive sets of measurements as follows:

$$Ceiling\ Fan\ Efficiency\ (CFM/W) = \frac{\sum_i (CFM_i \times OH_i)}{W_{Sb} \times OH_{Sb} + \sum_i (W_i \times OH_i)} \quad \textbf{Eq. 5}$$

Where:

CFM_i = airflow at speed *i*,

OH_i = operating hours at speed *i*, as specified in Table 2 of this appendix,

W_i = power consumption at speed *i*,

OH_{Sb} = operating hours in standby mode, as specified in Table 2 of this appendix, and

W_{Sb} = power consumption in standby mode.

Calculate two ceiling fan efficiencies for multi-mount ceiling fans: One efficiency corresponds to the ceiling fan mounted in the configuration associated with the definition of a hugger ceiling fan, and the other efficiency corresponds to the ceiling fan mounted in the configuration associated with the definition of a standard ceiling fan.

TABLE 2 TO APPENDIX U TO SUBPART B OF PART 430: DAILY OPERATING HOURS FOR CALCULATING CEILING FAN EFFICIENCY

	No standby	With standby
Daily Operating Hours for LSSD and VSD* Ceiling Fans		
High Speed	3.4	3.4
Low Speed	3.0	3.0
Standby Mode	0.0	17.6
Off Mode	17.6	0.0
Daily Operating Hours for HSSD Ceiling Fans		
High Speed	12.0	12.0
Standby Mode	0.0	12.0
Off Mode	12.0	0.0

*These values apply only to VSD fans that also meet the definition of an LSSD fan.

4.3 Calculation of airflow and efficiency for multi-head ceiling fans:

Calculate airflow for each fan head using the method described in section 4.2 of this appendix. To calculate overall airflow at a given speed for a multi-head ceiling fan, sum the airflow for each fan head included in the ceiling fan (a single airflow can be applied to each of the identical fan heads, but at least one of each unique fan head must be tested). The power consumption is the measured power consumption with all fan heads on. Using the airflow as described in this section, and power consumption measurements from section 3.3 of this appendix, calculate ceiling fan efficiency for a multi-head ceiling fan as follows:

$$Ceiling\ Fan\ Efficiency\ (CFM/W) = \frac{\sum_i (CFM_i \times OH_i)}{W_{Sb} \times OH_{Sb} + \sum_i (W_i \times OH_i)} \quad \textbf{Eq. 6}$$

Where:

CFM_i = sum of airflows for each head at speed i,

OH_i = operating hours at speed i as specified in Table 2 of this appendix,

W_i = power consumption at speed i,

OH_{Sb} = operating hours in standby mode as specified in Table 2 of this appendix, and

W_{Sb} = power consumption in standby mode.

5. Calculation of Ceiling Fan Energy Index (CFEI) From the Test Results for Large Diameter Ceiling Fan and High-Speed Belt-Driven Ceiling Fans:

Calculate CFEI, which is the FEI for large-diameter ceiling fans and high-speed belt-driven ceiling fans, at the speeds specified in section 3.5 of this appendix according to AMCA 208–18, with the following modifications:

(1) Using an Airflow Constant (Q_0) of 26,500 cubic feet per minute;

(2) Using a Pressure Constant (P_0) of 0.0027 inches water gauge; and

(3) Using a Fan Efficiency Constant (η_0) of 42 percent.

[81 FR 48639, July 25, 2016; 81 FR 54721, Aug. 17, 2016, as amended at 86 FR 28473, May 27, 2021; 87 FR 50424, Aug. 16, 2022]

APPENDIX V TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF CEILING FAN LIGHT KITS PACKAGED WITH OTHER FLUORESCENT LAMPS (NOT COMPACT FLUORESCENT LAMPS OR GENERAL SERVICE FLUORESCENT LAMPS), PACKAGED WITH CONSUMER-REPLACEABLE SSL (NOT INTEGRATED LED LAMPS), PACKAGED WITH NON-CONSUMER-REPLACEABLE SSL, OR PACKAGED WITH OTHER SSL LAMPS THAT HAVE AN ANSI STANDARD BASE (NOT INTEGRATED LED LAMPS)

NOTE: Manufacturers must use the results of testing under this appendix to determine compliance with the relevant standards for ceiling fan light kits as those standards appeared in January 1, 2023 edition of 10 CFR parts 200–499. Specifically, before October 10, 2023 representations must be based upon results generated either under this appendix as codified on May 11, 2023 or under appendix V1 as it appeared in the 10 CFR parts 200–499 edition revised as of January 1, 2023. Any representations made on or after October 10, 2023 must be made based upon results generated using this appendix as codified on May 11, 2023.

0. Incorporation by Reference.

DOE incorporated by reference in §430.3 the entire standard for: IES LM–9–20, IES LM–54–20, IES LM–75–19, IES LM–78–20, and IES LM–79–19; however, only enumerated provisions of IES LM–9–20 and IES LM–79–19 are applicable to this appendix as follows:

0.1 IES LM–9–20 as referenced by section 3 of this appendix

(a) Section 4.0 ''Ambient and Physical Conditions''.

(b) Section 5.0 ''Electrical Conditions''.

(c) Section 6.0 ''Lamp Test Procedures''.

(d) Section 7.0 ''Photometric Test Procedures''.0.2 IES LM–79–19 as referenced by section 3 of this appendix

(a) Section 4.0 ''Physical and Environmental Test Conditions''.

(b) Section 5.0 ''Electrical Test Conditions''.

(c) Section 6.0 ''Test Preparation''.

(d) Section 7.0 ''Total Luminous Flux and Integrated Optical Measurements''.

1. SCOPE

This appendix establishes the test requirements to measure the energy efficiency of all ceiling fan light kits (CFLKs) packaged with fluorescent lamps other than compact fluorescent lamps (CFLs) or general service fluorescent lamps (GSFLs), packaged with consumer-replaceable solid-state lighting (SSL) (not integrated light-emitting diode [LED] lamps), packaged with non-consumer-replaceable SSL, or packaged with SSL lamps that have an American National Standards Institute (ANSI) standard base (not integrated LED lamps).

2. DEFINITIONS

2.1. *CFLK with non-consumer-replaceable SSL* means a CFLK with a non-ANSI-standard base that has an SSL light source, driver, heat sink, and intermediate circuitry (such as wiring between a driver and a light source) that are not consumer replaceable, *i.e.,* a consumer cannot replace the light source and all components necessary for the starting and stable operation of the light source, without permanently altering the product and must replace the entire CFLK upon failure. Permanently altering the product constitutes the cutting of wires, use of a soldering iron, or damage to or destruction of the CFLK and does not constitute connecting or disconnecting wire nuts, fasteners or screws, or preserving the CFLK as it was sold.

2.2. *CFLK with consumer-replaceable SSL* means a CFLK with a non-ANSI-standard base that has an SSL light source, driver, heat sink, and intermediate circuitry (such as wiring between a driver and light source) that are consumer replaceable, *i.e.,* a consumer can replace the light source and all components necessary for the starting and stable operation of the light source, without permanently altering the product. Permanently altering the product constitutes the cutting of wires, use of a soldering iron, or damage to or destruction of the CFLK and does not constitute connecting or disconnecting wire nuts, fasteners or screws, or preserving the CFLK as it was sold.

2.3. *Covers* means materials used to diffuse or redirect light produced by an SSL light source in CFLKs with non-consumer-replaceable SSL.

2.4. *Other (non-CFL and non-GSFL) fluorescent lamp* means a low-pressure mercury electric-discharge lamp in which a fluorescing coating transforms some of the ultraviolet energy generated by the mercury discharge into light, including but not limited to circline fluorescent lamps, and excluding any compact fluorescent lamp and any general service fluorescent lamp.

2.5. *Solid-State Lighting (SSL)* means technology where light is emitted from a solid object—a block of semiconductor—rather than from a filament or plasma, as in the case of incandescent and fluorescent lighting. This includes inorganic light-emitting diodes (LEDs) and organic light-emitting diodes (OLEDs).

3. TEST CONDITIONS AND MEASUREMENTS

For any CFLK that utilizes consumer replaceable lamps or consumer-replaceable SSL, measure the lamp efficacy of each basic

model of lamp or SSL light source packaged with the CFLK. For any CFLK only with non-consumer-replaceable SSL, measure the luminaire efficacy of the CFLK. For any CFLK that includes consumer replaceable lamps or consumer-replaceable SSL and non-consumer-replaceable SSL, measure both the lamp efficacy of each basic model of lamp or consumer-replaceable SSL light source packaged with the CFLK and the luminaire efficacy of the CFLK with all consumer replaceable lamps or consumer-replaceable SSL light sources removed. Take measurements at full light output. For each test, use the test procedures in the table in this section. CFLKs with non-consumer-replaceable SSL and consumer replaceable covers may be measured with their covers removed but must otherwise be measured according to the table in this section.

Lighting technology	Lamp or luminaire efficacy measured	Referenced test procedure
Other (non-CFL and non-GSFL) fluorescent lamps.	Lamp Efficacy	IES LM–9–20, sections 4–7 and corresponding subsections including references to IES LM–54–20 (lamp seasoning); IES–LM–78–20 (integrating sphere measurements).
CFLKs with consumer-replaceable SSL.	Lamp Efficacy	IES LM–79–19, sections 4–7 and corresponding subsections. Where IES LM–78–17 and IES LM–75–01/R12 are referenced in these sections and corresponding subsections, use IES LM–78–20 (integrating sphere measurements) and IES LM–75–19 (goniophotometer measurements) instead.
CFLKs with non-consumer-replaceable SSL.	Luminaire Efficacy	IES LM–79–19, sections 4–7 and corresponding subsections. Where IES LM–78–17 and IES LM–75–01/R12 are referenced in these sections and corresponding subsections, use IES LM–78–20 (integrating sphere measurements) and IES LM–75–19 (goniophotometer measurements) instead.
Other SSL lamps that have an ANSI standard base and are not integrated LED lamps.	Lamp Efficacy	IES LM–79–19, sections 4–7 and corresponding subsections. Where IES LM–78–17 and IES LM–75–01/R12 are referenced in these sections and corresponding, use IES LM–78–20 (integrating sphere measurements) and IES LM–75–19 (goniophotometer measurements) instead.

[88 FR 21073, Apr. 10, 2023]

APPENDIX W TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF COMPACT FLUORESCENT LAMPS

NOTE: Before February 27, 2017, any representations, including certifications of compliance, made with respect to the energy use or efficiency of medium base compact fluorescent lamps must be made in accordance with the results of testing pursuant either to this appendix, or to the applicable test requirements set forth in 10 CFR parts 429 and 430 as they appeared in the 10 CFR parts 200 to 499 annual edition revised as of January 1, 2016.

On or after February 27, 2017, any representations, including certifications of compliance (if required), made with respect to the energy use or efficiency of CFLs must be made in accordance with the results of testing pursuant to this appendix.

1. Scope:

1.1. Integrated compact fluorescent lamps.

1.1.1. This appendix specifies the test methods required to measure the initial lamp efficacy, lumen maintenance at 1,000 hours, lumen maintenance at 40 percent of lifetime, time to failure, power factor, correlated color temperature (CCT), color rendering index (CRI), and start time of an integrated compact fluorescent lamp.

1.1.2. This appendix describes how to conduct rapid cycle stress testing for integrated compact fluorescent lamps.

1.1.3. This appendix specifies test methods required to measure standby mode energy consumption applicable to integrated CFLs capable of operation in standby mode (as defined in §430.2), such as those that can be controlled wirelessly.

1.2. Non-integrated compact fluorescent lamps.

1.2.1. This appendix specifies the test methods required to measure the initial lamp efficacy, lumen maintenance at 40 percent of lifetime, time to failure, CCT, and CRI for non-integrated compact fluorescent lamps.

2. Definitions:

2.1. *Ballasted adapter* means a ballast that is not permanently attached to a compact fluorescent lamp, has no consumer-replaceable components, and serves as an adapter by incorporating both a lamp socket and a lamp base.

2.2. *Hybrid compact fluorescent lamp* means a compact fluorescent lamp that incorporates one or more supplemental light sources of different technology.

2.3. *Initial lamp efficacy* means the lamp efficacy (as defined in §430.2) at the end of the seasoning period, as calculated pursuant to section 3.2.2.9 of this appendix.

2.4. *Integrated compact fluorescent lamp* means an integrally ballasted compact fluorescent lamp that contains all components necessary for the starting and stable operation of the lamp, contains an ANSI standard base, does not include any replaceable or interchangeable parts, and is capable of being connected directly to a branch circuit through a corresponding ANSI standard lamp-holder (socket).

2.5. *Labeled wattage* means the highest wattage marked on the lamp and/or lamp packaging.

2.6. *Lumen maintenance* means the lumen output measured at a given time in the life of the lamp and expressed as a percentage of the measured initial lumen output.

2.7. *Measured initial input power* means the input power to the lamp, measured at the end of the lamp seasoning period, and expressed in watts (W).

2.8. *Measured initial lumen output* means the lumen output of the lamp measured at the end of the lamp seasoning period, expressed in lumens (lm).

2.9. *Non-integrated compact fluorescent lamp* means a compact fluorescent lamp that is not an integrated compact fluorescent lamp.

2.10. *Percent variability* means the result of dividing the difference between the maximum and minimum values by the average value for a contiguous set of separate time-averaged light output values spanning the specified time period. For a waveform of measured light output values, the time-averaged light output is computed over one full cycle of sinusoidal input voltage, as a moving average where the measurement interval is incremented by one sample for each successive measurement value.

2.11. *Power factor* means the measured input power (watts) divided by the product of the measured RMS input voltage (volts) and the measured RMS input current (amps).

2.12. *Rated input voltage* means the voltage(s) marked on the lamp as the intended operating voltage or, if not marked on the lamp, 120 V.

2.13. *Start plateau* means the first 100 millisecond period of operation during which the percent variability does not exceed 5 percent.

2.14. *Start time* means the time, measured in milliseconds, between the application of power to the compact fluorescent lamp and the beginning of the start plateau.

2.15. *Time to failure* means the time elapsed between first use and the point at which the compact fluorescent lamp (for a hybrid CFL, the primary light source) ceases to produce measurable lumen output.

3. Active Mode Test Procedures

3.1. General Instructions.

3.1.1. In cases where there is a conflict, the language of the test procedure in this appendix takes precedence over any materials incorporated by reference.

3.1.2. Maintain lamp operating orientation throughout seasoning and testing, including storage and handling between tests.

3.1.3. Season CFLs prior to photometric and electrical testing in accordance with sections 4, 5, 6.1, and 6.2.2.1 of IES LM–54–12 (incorporated by reference, see §430.3). Season the CFL for a minimum of 100 hours in accordance with section 6.2.2.1 of IES LM–54–12. During the 100 hour seasoning period, cycle the CFL (operate the lamps for 180 minutes, 20 minutes off) as specified in section 6.4 of IES LM–65–14 (incorporated by reference; see §430.3).

3.1.3.1. Unit operating time during seasoning may be counted toward time to failure, lumen maintenance at 40 percent of lifetime of a compact fluorescent lamp (as defined in §430.2), and lumen maintenance at 1,000 hours if the required operating cycle and test conditions for time to failure testing per section 3.3.1 of this appendix are satisfied.

3.1.3.2. If a lamp breaks, becomes defective, fails to stabilize, exhibits abnormal behavior (such as swirling), or stops producing light prior to the end of the seasoning period, the lamp must be replaced with a new unit. If a lamp exhibits one of the conditions listed in the previous sentence after the seasoning period, the lamp's measurements must be included in the sample. Record number of lamps replaced, if any.

3.1.4. Conduct all testing with the lamp operating at labeled wattage. This requirement applies to all CFLs, including those that are dimmable or multi-level.

3.1.5. Operate the CFL at the rated input voltage throughout testing. For a CFL with multiple rated input voltages including 120 volts, operate the CFL at 120 volts. If a CFL with multiple rated input voltages is not rated for 120 volts, operate the CFL at the highest rated input voltage.

3.1.6. Test CFLs packaged with ballasted adapters or designed exclusively for use with ballasted adapters as non-integrated CFLs, with no ballasted adapter in the circuit.

3.1.7. Conduct all testing of hybrid CFLs with all supplemental light sources in the lamp turned off, if possible. Before taking measurements, verify that the lamp has stabilized in the operating mode that corresponds to its primary light source.

3.2. Test Procedures for Determining Initial Lamp Efficacy, Lumen Maintenance, CCT, CRI, and Power Factor.

Determine initial lamp efficacy, lumen maintenance at 40 percent of lifetime of a compact fluorescent lamp (as defined in in §430.2), CCT, and CRI for integrated and non-

integrated CFLs. Determine lumen maintenance at 1,000 hours and power factor for integrated CFLs only.

3.2.1. Test Conditions and Setup

3.2.1.1. Test half of the units in the sample in the base up position, and half of the units in the base down position; if the position is restricted by the manufacturer, test the units in the manufacturer-specified position.

3.2.1.2. Establish ambient conditions, power supply, auxiliary equipment, circuit setup, lamp connections, and instrumentation in accordance with the specifications in sections (and corresponding subsections) 4.0, 5.0 and 6.0 of IES LM–66–14 (incorporated by reference; see §430.3), except maintain ambient temperature at 25 ± 1 °C (77 ± 1.8 °F).

3.2.1.3. Non-integrated CFLs must adhere to the reference ballast requirements in section 5.2 of IES LM–66 (incorporated by reference; see §430.3).

3.2.1.3.1. Test non-integrated lamps rated for operation on and having reference ballast characteristics for either low frequency or high frequency circuits (*e.g.,* many preheat start lamps) at low frequency.

3.2.1.3.2. For low frequency operation, test non-integrated lamps rated for operation on either preheat start (starter) or rapid start (no starter) circuits on preheat.

3.2.1.3.3. Operate non-integrated CFLs not listed in ANSI C78.901–2014 (incorporated by reference; see §430.3) using the following reference ballast settings:

3.2.1.3.3.1. Operate 25–28 W, T5 twin 2G11-based lamps that are lower wattage replacements of 40 W, T5 twin 2G11-based lamps using the following reference ballast settings: 60 Hz, 400 volts, 0.270 amps, and 1240 ohms.

3.2.1.3.3.2. Operate 14–15 W, T4 quad G24q-2-based lamps that are lower wattage replacements of 18 W, T4 quad G24q-2-based lamps using the following reference ballast settings: 60 Hz, 220 volts, 0.220 amps, and 815 ohms.

3.2.1.3.3.3. Operate 21 W, T4 quad G24q-3-based lamps that are lower wattage replacements of 26 W, T4 quad G24q-3-based lamps using the following reference ballast settings: 60 Hz, 220 volts, 0.315 amps, and 546 ohms.

3.2.1.3.3.4. Operate 21 W, T4 quad G24d-3-based lamps that are lower wattage replacements of 26 W, T4 quad G24d-3-based lamps using the following reference ballast settings: 60 Hz, 220 volts, 0.315 amps, and 546 ohms.

3.2.1.3.3.5. Operate 21 W, T4 multi (6) GX24q-3-based lamps that are lower wattage replacements of 26 W, T4 multi (6) GX24q-3-based lamps using the following reference ballast settings: 60 Hz, 220 volts, 0.315 amps, and 546 ohms.

3.2.1.3.3.6. Operate 27–28 W, T4 multi (6) GX24q-3-based lamps that are lower wattage replacements of 32 W, T4 multi (6) GX24q-3-based lamps using the following reference ballast settings: 20–26 kHz, 200 volts, 0.320 amps, and 315 ohms.

3.2.1.3.3.7. Operate 33–38 W, T4 multi (6) GX24q-4-based lamps that are lower wattage replacements of 42 W, T4 multi (6) GX24q-4-based lamps using the following reference ballast settings: 20–26 kHz, 270 volts, 0.320 amps, and 420 ohms.

3.2.1.3.3.8. Operate 10 W, T4 square GR10q-4-based lamps using the following reference ballast settings: 60 Hz, 236 volts, 0.165 amps, and 1,200 ohms.

3.2.1.3.3.9. Operate 16 W, T4 square GR10q-4-based lamps using the following reference ballast settings: 60 Hz, 220 volts, 0.195 amps, and 878 ohms.

3.2.1.3.3.10. Operate 21 W, T4 square GR10q-4-based lamps using the following reference ballast settings: 60 Hz, 220 volts, 0.260 amps, and 684 ohms.

3.2.1.3.3.11. Operate 28 W, T6 square GR10q-4-based lamps using the following reference ballast settings: 60 Hz, 236 volts, 0.320 amps, and 578 ohms.

3.2.1.3.3.12. Operate 38 W, T6 square GR10q-4-based lamps using the following reference ballast settings: 60 Hz, 236 volts, 0.430 amps, and 439 ohms.

3.2.1.3.3.13. Operate 55 W, T6 square GRY10q-3-based lamps using the following reference ballast settings: 60 Hz, 236 volts, 0.430 amps, and 439 ohms.

3.2.1.3.3.14. For all other lamp designs not listed in ANSI C78.901–2014 (incorporated by reference; see §430.3) or section 3.2.1.3.3 of this appendix:

3.2.1.3.3.14.1. If the lamp is a lower wattage replacement of a lamp with specifications in ANSI C78.901–2014, use the reference ballast characteristics of the corresponding higher wattage lamp replacement in ANSI C78.901–2014.

3.2.1.3.3.14.2. For all other lamps, use the reference ballast characteristics in ANSI C78.901–2014 for a lamp with the most similar shape, diameter, and base specifications, and next closest wattage.

3.2.2. Test Methods, Measurements, and Calculations

3.2.2.1. Season CFLs. (See section 3.1.3 of this appendix.)

3.2.2.2. Stabilize CFLs as specified in section 6.2.1 of IES LM–66 (incorporated by reference; see §430.3).

3.2.2.3. Measure the input power (in watts), the input voltage (in volts), and the input current (in amps) as specified in section 5.0 of IES LM–66 (incorporated by reference; see §430.3).

3.2.2.4. Measure initial lumen output as specified in section 6.3.1 of IES LM–66 (incorporated by reference; see §430.3) and in accordance with IESNA LM–78–07 (incorporated by reference; see §430.3).

3.2.2.5. Measure lumen output at 1,000 hours as specified in section 6.3.1 of IES LM–66 (incorporated by reference; see §430.3) and in accordance with IESNA LM–78–07 (incorporated by reference; see §430.3).

3.2.2.6. Measure lumen output at 40 percent of lifetime of a compact fluorescent lamp (as defined in 10 CFR 430.2) as specified in section 6.3.1 of IES LM–66 (incorporated by reference; see §430.3) and in accordance with IESNA LM–78–07 (incorporated by reference; see §430.3).

3.2.2.7. Determine CCT as specified in section 6.4 of IES LM–66 (incorporated by reference; see §430.3) and in accordance with CIE 15 (incorporated by reference; see §430.3).

3.2.2.8. Determine CRI as specified in section 6.4 of IES LM–66 (incorporated by reference; see §430.3) and in accordance with CIE 13.3 (incorporated by reference; see §430.3).

3.2.2.9. Determine initial lamp efficacy by dividing measured initial lumen output by the measured initial input power.

3.2.2.10. Determine lumen maintenance at 1,000 hours by dividing measured lumen output at 1,000 hours by the measured initial lumen output.

3.2.2.11. Determine lumen maintenance at 40 percent of lifetime of a compact fluorescent lamp (as defined in §430.2) by dividing measured lumen output at 40 percent of lifetime of a compact fluorescent lamp (as defined in §430.2) by the measured initial lumen output.

3.2.2.12. Determine power factor by dividing the measured input power (watts) by the product of measured RMS input voltage (volts) and measured RMS input current (amps).

3.3. Test Method for Time to Failure and Rapid Cycle Stress Test.

Determine time to failure for integrated and non-integrated CFLs. Conduct rapid cycle stress testing for integrated CFLs only. Disregard section 3.0 of IES LM–65–14.

3.3.1. Test Conditions and Setup

3.3.1.1. Test half of the units in the base up position and half of the units in the base down position; if the position is restricted by the manufacturer, test in the manufacturer-specified position.

3.3.1.2. Establish the ambient and physical conditions and electrical conditions in accordance with the specifications in sections 4.0 and 5.0 of IES LM–65–14 (incorporated by reference; see §430.3). Do not, however, test lamps in fixtures or luminaires.

3.3.1.3. Non-integrated CFLs must adhere to ballast requirements as specified in section 3.2.1.3 of this appendix.

3.3.2. Test Methods and Measurements

3.3.2.1. Season CFLs. (See section 3.1.3 of this appendix.)

3.3.2.2. Measure time to failure of CFLs as specified in section 6.0 of IES LM–65–14 (incorporated by reference; see §430.3).

3.3.2.3. Conduct rapid cycle stress testing of integrated CFLs as specified in section 6.0 of IES LM–65–14 (incorporated by reference; see §430.3), except cycle the lamp continuously with each cycle consisting of one 5-minute ON period followed by one 5-minute OFF period.

3.4. Test Method for Start Time.

Determine start time for integrated CFLs only.

3.4.1. Test Conditions and Setup

3.4.1.1. Test all units in the base up position; if the position is restricted by the manufacturer, test units in the manufacturer-specified position.

3.4.1.2. Establish the ambient conditions, power supply, auxiliary equipment, circuit setup, lamp connections, and instrumentation in accordance with the specifications in sections 4.0 and 5.0 of IES LM–66 (incorporated by reference; see §430.3), except maintain ambient temperature at 25 ± 1 °C (77 ± 1.8 °F).

3.4.2. Test Methods and Measurement

3.4.2.1. Season CFLs. (See section 3.1.3 of this appendix.)

3.4.2.2. After seasoning, store units at 25 ± 5 °C ambient temperature for a minimum of 16 hours prior to the test, after which the ambient temperature must be 25 ± 1 °C for a minimum of 2 hours immediately prior to the test. Any units that have been off for more than 24 hours must be operated for a minimum of 3.0 hours and then be turned off for 16 to 24 hours prior to testing.

3.4.2.3. Connect multichannel oscilloscope with data storage capability to record input voltage to CFL and light output. Set oscilloscope to trigger at 10 V lamp input voltage. Set oscilloscope vertical scale such that vertical resolution is 1 percent of measured initial light output or finer. Set oscilloscope to sample the light output waveform at a minimum rate of 2 kHz.

3.4.2.4. Operate the CFL at the rated voltage and frequency.

3.4.2.5. Upon the commencement of start time testing, record sampled light output until start plateau has been determined.

3.4.2.6. Calculate the time-averaged light output value at least once every millisecond where the time-averaged light output is computed over one full cycle of sinusoidal input voltage, as a moving average where the measurement interval is incremented by one sample for each successive measurement value.

3.4.2.7. Determine start time.

4. Standby Mode Test Procedure

Measure standby mode energy consumption for only integrated CFLs that are capable of operating in standby mode. The standby mode test method in this section may be completed before or after the active test method for determining lumen output, input power, CCT, CRI, and power factor in section 3 of this appendix. The standby mode test

method in this section must be completed before the active mode test method for determining time to failure in section 3.3 of this appendix. The standby mode test method must be completed in accordance with applicable provisions in section 3.1.

4.1. *Test Conditions and Setup*

4.1.1. Position half of the units in the sample in the base up position and half of the units in the base down position; if the position is restricted by the manufacturer, test units in the manufacturer-specified position.

4.1.2. Establish the ambient conditions (including air flow), power supply, electrical settings, and instrumentation in accordance with the specifications in sections 4.0, 5.0 and 6.0 of IES LM–66 (incorporated by reference; see §430.3), except maintain ambient temperature at 25 ± 1 °C (77 ± 1.8 °F).

4.2. *Test Methods, Measurements, and Calculations*

4.2.1. Season CFLs. (See section 3.1.3 of this appendix.)

4.2.2. Connect the integrated CFL to the manufacturer-specified wireless control network (if applicable) and configure the integrated CFL in standby mode by sending a signal to the integrated CFL instructing it to have zero light output. The integrated CFL must remain connected to the network throughout the entire duration of the test.

4.2.3. Stabilize the integrated CFL prior to measurement as specified in section 5 of IEC 62301–W (incorporated by reference; see §430.3).

4.2.4. Measure the standby mode energy consumption in watts as specified in section 5 of IEC 62301–W (incorporated by reference; see §430.3).

[81 FR 59418, Aug. 29, 2016]

APPENDIX X TO SUBPART B OF PART 430 [RESERVED]

APPENDIX X1 TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF DEHUMIDIFIERS

NOTE: After January 22, 2024, any representations made with respect to the energy efficiency of a dehumidifier must be made in accordance with the results of testing pursuant to this appendix. Manufacturers conducting tests of a dehumidifier prior to January 22, 2024, must conduct such test in accordance with either this appendix or the previous version of this appendix as it appeared in the Code of Federal Regulations on January 1, 2023. Any representations made with respect to the energy efficiency of such dehumidifier must be in accordance with whichever version is selected.

Any representations made on or after the compliance date of any amended energy conservation standards, with respect to the energy use or efficiency of portable or whole-home dehumidifiers, must be made in accordance with the results of testing pursuant to this appendix.

0. Incorporation by Reference

DOE incorporated by reference in §430.3, the entire standard for AHAM DH–1–2022, ANSI/AMCA 210, ANSI/ASHRAE 41.1, and IEC 62301; however, only enumerated provisions of those documents are applicable to this appendix. To the extent there is a conflict between the terms or provisions of a referenced industry standard and the CFR, the CFR provisions control.

0.1 AHAM DH–1–2022

(a) Section 3 ''Definitions'', as specified in sections 2 and 3.1.2 of this appendix.

(b) Section 4 ''Instrumentation'', as specified in sections 3.1.1 and 3.1.2 of this appendix.

(c) Section 5.1 ''General'', as specified in sections 3.1.1 and 3.1.2 of this appendix.

(d) Section 5.2 ''Test Room'', as specified in sections 3.1.1 and 3.1.2 of this appendix.

(e) Section 5.3 ''Positioning of Test Unit'', as specified in sections 3.1.1 and 3.1.1.2 of this appendix.

(f) Section 5.5 ''Control settings'', as specified in sections 3.1.1, 3.1.1.4, and 3.1.2 of this appendix.

(g) Section 7 ''Test Tolerances'', as specified in section 4.1.1 of this appendix.

(h) Section 8 ''Capacity Test'', as specified in sections 4.1.1 and 4.1.2 of this appendix.

(i) Section 8.3 ''Standard Test Voltage'', as specified in section 3.2.2.1 of this appendix.

(j) Section 8.4 ''Psychrometer Placement'', as specified in section 3.1.1.2 of this appendix.

(k) Section 9 ''Energy Consumption'', as specified in sections 4.1.1 and 4.1.2 of this appendix.

(l) Section 9.3.2 ''Inactive/Off Mode'', as specified in section 4.2 of this appendix.

(m) Section 9.3.1 ''Off-Cycle Mode'', as specified in section 4.3 of this appendix.

(n) Section 9.4 ''Calculation of Test Results'', as specified in section 4.1.2 of this appendix.

0.2 ANSI/AMCA 210

(a) Section 5.2.1.6 ''Airflow straightener'', as specified in section 3.1.2.1 of this appendix.

(b) Figure 6A ''Flow Straightener—Cell Type'', as specified in section 3.1.2.1 of this appendix.

(c) Section 4.2.2 ''Pitot-static tube'', as specified in section *3.1.2.2.3.1* of this appendix.

(d) Section 4.2.3 ''Static pressure tap'', as specified in section *3.1.2.2.3.1* of this appendix.

(e) Section 4.3.1 ''Pitot Traverse'', as specified in section *3.1.2.2.3.1* of this appendix.

(f) Section 4.3.2 ''Flow nozzle'', as specified in section *3.1.2.2.3.1* of this appendix.

(g) Section 7.5.2 ''Pressure Losses'', as specified in section *3.1.2.2.3.1* of this appendix.

(h) Section 7.3.1 ''Velocity Traverse'', as specified in section *3.1.2.2.3.2* of this appendix.

(i) Section 7.3.2 ''Nozzle'', as specified in section *3.1.2.2.3.2* of this appendix.

(j) Section 7.3 ''Fan airflow rate at test conditions'', as specified in section 5.6 of this appendix.

0.3 ANSI/ASHRAE 41.1

(a) Section 5.3.5 ''Centers of Segments—Grids'', as specified in section 3.1.2.2.1 of this appendix.

(b) [Reserved]

0.4 IEC 62301

(a) Section 5.2 ''Preparation of product'', as specified in section 3.2.1 of this appendix.

(b) Section 4.3.2 ''Supply voltage waveform'', as specified in section 3.2.2.2 of this appendix.

(c) Section 4.4 ''Power measuring instruments'', as specified in section 3.2.3 of this appendix.

(d) Section 4.2 ''Test room'', as specified in section 3.2.4 of this appendix.

1. SCOPE

This appendix covers the test requirements used to measure the energy performance of dehumidifiers.

2. Definitions

Definitions for terms, modes, calculations, etc. are in accordance with AHAM DH–1–2022, section 3, with the following added definitions:

Energy factor for dehumidifiers means a measure of energy efficiency of a dehumidifier calculated by dividing the water removed from the air by the energy consumed, measured in liters per kilowatt-hour (L/kWh).

External static pressure (ESP) means the process air outlet static pressure minus the process air inlet static pressure, measured in inches of water column (in. w.c.).

Process air means the air supplied to the dehumidifier from the dehumidified space and discharged to the dehumidified space after some of the moisture has been removed by means of the refrigeration system.

Product capacity for dehumidifiers means a measure of the ability of the dehumidifier to remove moisture from its surrounding atmosphere, measured in pints collected per 24 hours of operation under the specified ambient conditions.

Product case volume for whole-home dehumidifiers means a measure of the rectangular volume that the product case occupies, exclusive of any duct attachment collars or other external components.

Reactivation air means the air drawn from unconditioned space to remove moisture from the desiccant wheel of a refrigerant-desiccant dehumidifier and discharged to unconditioned space.

3. TEST APPARATUS AND GENERAL INSTRUCTIONS

3.1 *Active mode.*

3.1.1 *Portable dehumidifiers and whole-home dehumidifiers other than refrigerant-desiccant dehumidifiers.* The test apparatus and instructions for testing in dehumidification mode and off-cycle mode must conform to the requirements specified in Section 4, ''Instrumentation,'' section 5.1, ''General,'' section 5.2, ''Test Room,'' Section 5.3, ''Positioning of Test Unit,'' and section 5.5, ''Control settings'' of AHAM DH–1–2022, with the following exceptions. If a product is able to operate as either a portable or whole-home dehumidifier by means of removal or installation of an optional ducting kit, in accordance with any manufacturer instructions available to a consumer, test and rate both configurations.

3.1.1.1 *Testing configuration for whole-home dehumidifiers other than refrigerant-desiccant dehumidifiers.* Test dehumidifiers, other than refrigerant-desiccant dehumidifiers, with ducting attached to the process air outlet port. The duct configuration and component placement must conform to the requirements specified in section 3.1.3 of this appendix and Figure 1 or Figure 3, except that the flow straightener and dry-bulb temperature and relative humidity instruments are not required. Maintain the external static pressure in the process air flow and measure the external static pressure as specified in section 3.1.2.2.3.1 of this appendix.

3.1.1.2 *Instrumentation placement.* If using a sampling tree, follow the instrumentation placement instructions in sections 5.3 and 8.4 of AHAM DH–1–2022. If not using a sampling tree, place the aspirating psychrometer or relative humidity and dry-bulb temperature sensors perpendicular to, and 1 ft. in front of, the center of the process air intake grille. During each test, use the psychrometer or relative humidity and dry-bulb sensors to monitor inlet conditions of only one unit under test. When using relative humidity and dry-bulb temperature sensors without sampling trees to test a unit that has multiple process air intake grilles, place a relative humidity sensor and dry-bulb temperature sensor perpendicular to, and 1 ft. in front of, the center of each process air intake grille.

3.1.1.3 *Condensate collection.* If means are provided on the dehumidifier for draining condensate away from the cabinet, collect the condensate in a substantially closed vessel to prevent re-evaporation and place the

vessel on the weight-measuring instrument. If no means for draining condensate away from the cabinet are provided, disable any automatic shutoff of dehumidification mode operation that is activated when the collection container is full and collect any overflow in a pan. Select a collection pan large enough to ensure that all water that overflows from the full internal collection container during the rating test period is captured by the collection pan. Cover the pan as much as possible to prevent re-evaporation without impeding the collection of overflow water. Place both the dehumidifier and the overflow pan on the weight-measuring instrument for direct reading of the condensate weight collected during the rating test. Do not use any internal pump to drain the condensate into a substantially closed vessel unless such pump operation is provided for by default in dehumidification mode.

3.1.1.4 *Control settings.* Follow the control settings instructions in section 5.5 of AHAM DH–1–2022.

3.1.1.5 *Run-in period.* Perform a single run-in period during which the compressor operates for a cumulative total of at least 24 hours prior to dehumidification mode testing.

3.1.2 *Refrigerant-desiccant dehumidifiers.* The test apparatus and instructions for testing refrigerant-desiccant dehumidifiers in dehumidification mode must conform to the requirements specified in section 3, ''Definitions,'' section 4, ''Instrumentation,'' and section 5.1, ''General,'' section 5.2, ''Test Room,'' and section 5.5, ''Control settings,'' of AHAM DH–1–2022, except as follows.

3.1.2.1 *Testing configuration.* Test refrigerant-desiccant dehumidifiers with ducting attached to the process air inlet and outlet ports and the reactivation air inlet port. The duct configuration and components must conform to the requirements specified in section 3.1.3 of this appendix and Figure 1 through Figure 3. Install a cell-type airflow straightener that conforms to the specifications in Section 5.2.1.6, ''Airflow straightener'', and Figure 6A, ''Flow Straightener—Cell Type'', of ANSI/AMCA 210 (incorporated by reference, see §430.3) in each duct consistent with Figure 1 through Figure 3.

3.1.2.2 *Instrumentation.*

3.1.2.2.1 *Temperature.* Install dry-bulb temperature sensors in a grid centered in the duct, with the plane of the grid perpendicular to the axis of the duct. Determine the number and locations of the sensors within the grid according to Section 5.3.5, ''Centers of Segments—Grids,'' of ANSI/ASHRAE 41.1 (incorporated by reference, see §430.3).

3.1.2.2.2 *Relative humidity.* Measure relative humidity with a duct-mounted, relative humidity sensor with an accuracy within ±1 percent relative humidity. Place the relative humidity sensor at the duct centerline within 1 inch of the dry-bulb temperature grid plane.

3.1.2.2.3 *Pressure.* The pressure instruments used to measure the external static pressure and velocity pressures must have an accuracy within ±0.01 in. w.c. and a resolution of no more than 0.01 in. w.c.

3.1.2.2.3.1 External static pressure. Measure static pressures in each duct using pitot-static tube traverses, a flow nozzle or a bank of flow nozzles. For pitot-static tube traverses, conform to the specifications in section 4.3.1, ''Pitot Traverse,'' of ANSI/AMCA 210 and section 4.2.2, ''Pitot-Static Tube,'' of ANSI/AMCA 210, except use only two intersecting and perpendicular rows of pitot-static tube traverses. For a flow nozzle or bank of flow nozzles, conform to the specifications in section 4.3.2, ''Flow nozzle,'' of ANSI/AMCA 210 and section 4.2.3, ''Static pressure tap'' of ANSI/AMCA 210. Record the static pressure within the test duct as follows. When using pitot-static tube traverses, record the pressure as measured at the pressure tap in the manifold of the traverses that averages the individual static pressures at each pitot-static tube. When using a flow nozzle or bank of nozzles, record the pressure or in accordance with section 4.2.3.2, ''Averaging,'' of ANSI/AMCA 210. Calculate duct pressure losses between the unit under test and the plane of each static pressure measurement in accordance with section 7.5.2, ''Pressure Losses,'' of ANSI/AMCA 210. The external static pressure is the difference between the measured inlet and outlet static pressure measurements, minus the sum of the inlet and outlet duct pressure losses. For any port with no duct attached, use a static pressure of 0.00 in. w.c. with no duct pressure loss in the calculation of external static pressure. During dehumidification mode testing, the external static pressure must equal 0.20 in. w.c. ± 0.02 in. w.c.

3.1.2.2.3.2 Velocity pressure. Measure velocity pressures using the same pitot traverses or nozzles as used for measuring external static pressure, which are specified in section 3.1.2.2.3.1 of this appendix. When using pitot-static tube traverses, determine velocity pressures at each pitot-static tube in a traverse as the difference between the pressure at the impact pressure tap and the pressure at the static pressure tap and calculate volumetric flow rates in each duct in accordance with section 7.3.1, ''Velocity Traverse,'' of ANSI/AMCA 210. When using a flow nozzle or a bank of flow nozzles, calculate the volumetric flow rates in each duct in accordance with section 7.3.2, ''Nozzle,'' of ANSI/AMCA 210.

3.1.2.2.4 *Weight.* No weight-measuring instruments are required.

3.1.2.3 *Control settings.* Follow the control settings instructions in section 5.5 of AHAM DH–1–2022.

3.1.2.4 *Run-in period.* Perform a single run-in period during which the compressor operates for a cumulative total of at least 24 hours prior to dehumidification mode testing.

3.1.3 *Ducting for whole-home dehumidifiers.* Cover and seal with tape any port designed for intake of air from outside or unconditioned space, other than for supplying reactivation air for refrigerant-desiccant dehumidifiers. Use only ducting constructed of galvanized mild steel and with a 10-inch diameter. Position inlet and outlet ducts either horizontally or vertically to accommodate the default dehumidifier port orientation. Install all ducts with the axis of the section interfacing with the dehumidifier perpendicular to plane of the collar to which each is attached. If manufacturer-recommended collars do not measure 10 inches in diameter, use transitional pieces to connect the ducts to the collars. The transitional pieces must not contain any converging element that forms an angle with the duct axis greater than 7.5 degrees or a diverging element that forms an angle with the duct axis greater than 3.5 degrees. Install mechanical throttling devices in each outlet duct consistent with Figure 1 and Figure 3 to adjust the external static pressure and in the inlet reactivation air duct for a refrigerant-desiccant dehumidifier. Cover the ducts with thermal insulation having a minimum R value of 6 h-ft^2 − °F/Btu (1.1 m^2 − K/W). Seal seams and edges with tape.

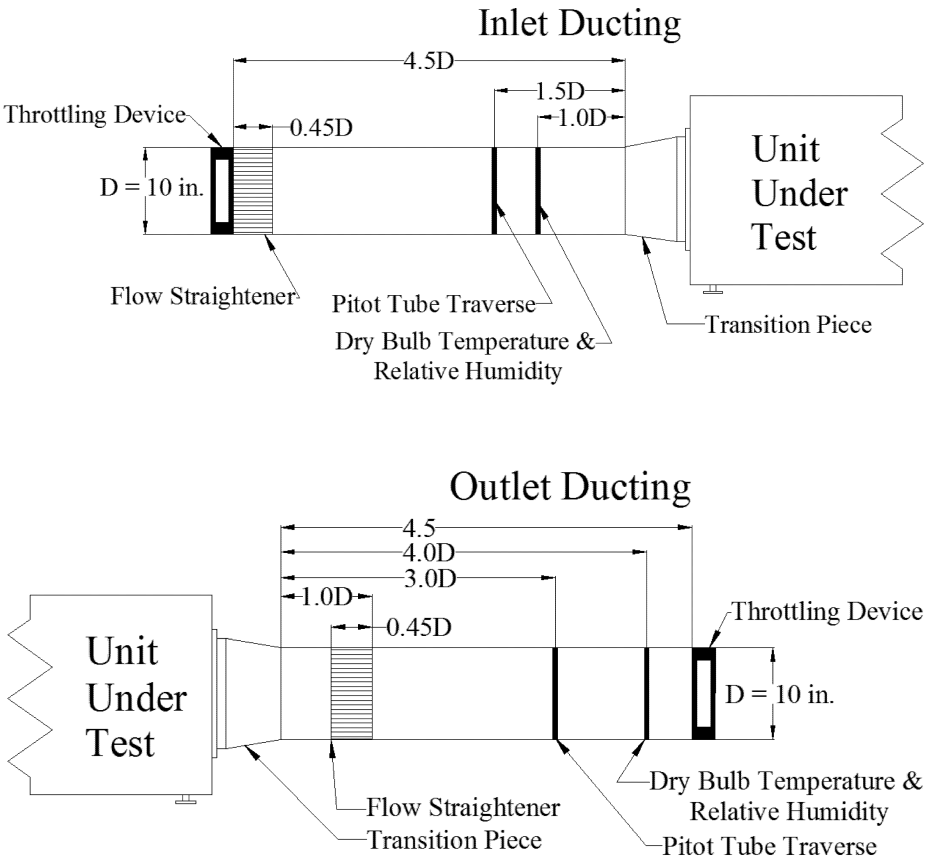


Figure 1. Inlet and Outlet Horizontal Duct Configurations and Instrumentation Placement

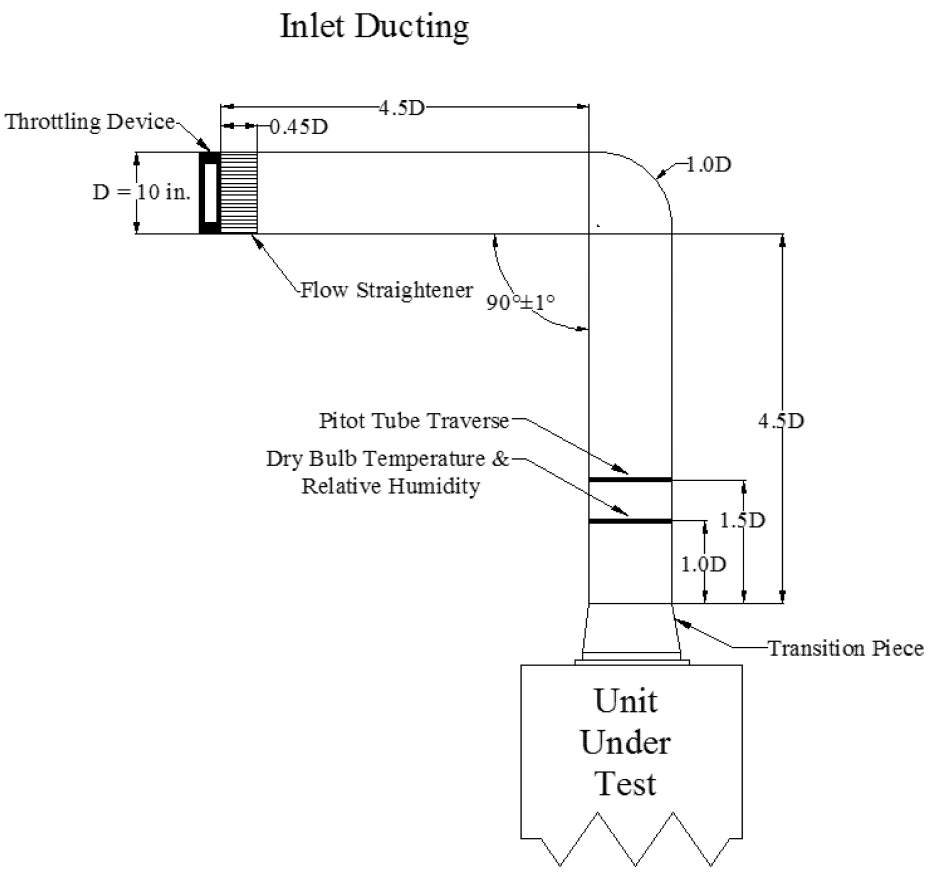


Figure 2: Inlet Vertical Duct Configuration and Instrumentation Placement

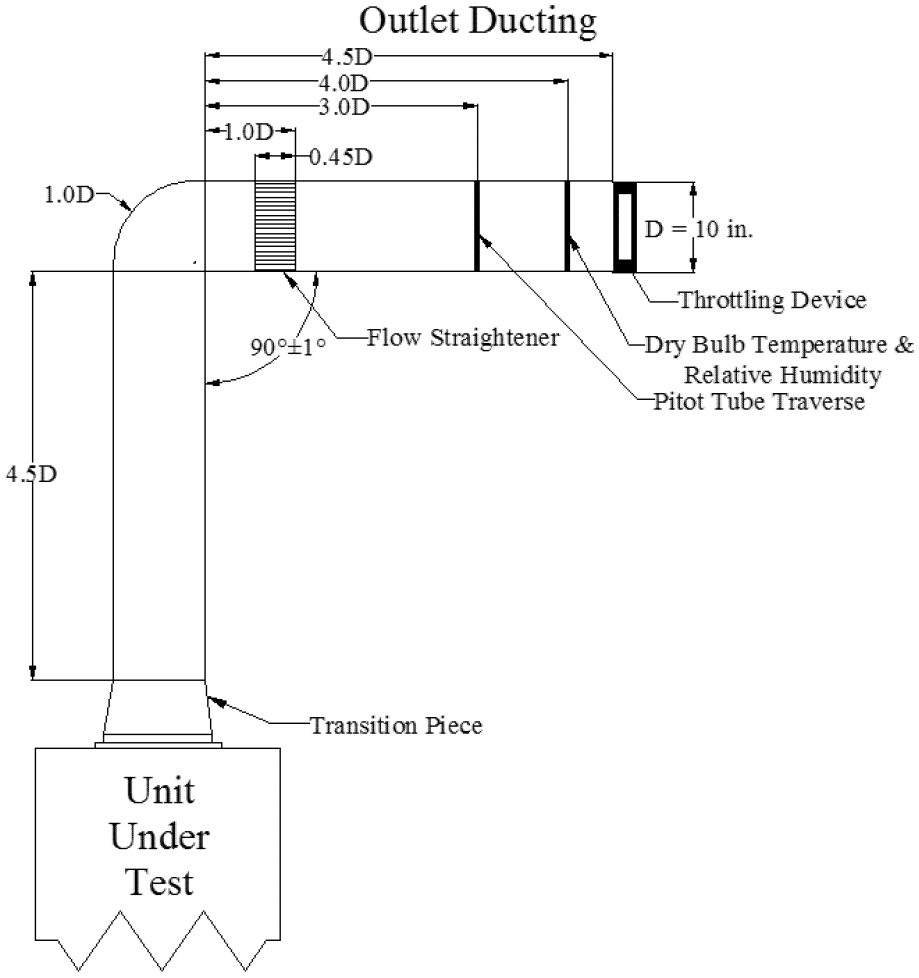


Figure 3: Outlet Vertical Duct Configurations and Instrumentation Placement

3.1.4 *Recording and rounding.* When testing either a portable dehumidifier or a whole-home dehumidifier, record measurements at the resolution of the test instrumentation. Record measurements for portable dehumidifiers and whole-home dehumidifiers other than refrigerant-desiccant dehumidifiers at intervals no greater than 10 minutes. Record measurements for refrigerant-desiccant dehumidifiers at intervals no greater than 1 minute. Round off calculations to the same number of significant digits as the previous step. Round the final product capacity, energy factor and integrated energy factor values to two decimal places, and for whole-home dehumidifiers, round the final product case volume to one decimal place.

3.2 *Inactive mode and off mode.*

3.2.1 *Installation requirements.* For the inactive mode and off mode testing, install the dehumidifier in accordance with Section 5, Paragraph 5.2 of IEC 62301 (incorporated by reference, see §430.3), disregarding the provisions regarding batteries and the determination, classification, and testing of relevant modes.

3.2.2 *Electrical energy supply.*

3.2.2.1 *Electrical supply*. For the inactive mode and off mode testing, maintain the electrical supply voltage and frequency indicated in section 8.3, ''Standard Test Voltage,'' of AHAM DH–1–2022. The electrical supply frequency shall be maintained ±1 percent.

3.2.2.2 *Supply voltage waveform*. For the inactive mode and off mode testing, maintain the electrical supply voltage waveform indicated in Section 4, Paragraph 4.3.2 of IEC 62301 (incorporated by reference, see § 430.3).

3.2.3 *Inactive mode, off mode, and off-cycle mode wattmeter*. The wattmeter used to measure inactive mode, off mode, and off-cycle mode power consumption must meet the requirements specified in Section 4, Paragraph 4.4 of IEC 62301 (incorporated by reference, see § 430.3).

3.2.4 *Inactive mode and off mode ambient temperature*. For inactive mode and off mode testing, maintain room ambient air temperature conditions as specified in Section 4, Paragraph 4.2 of IEC 62301 (incorporated by reference, see § 430.3).

3.3 *Case dimensions for whole-home dehumidifiers*. Measure case dimensions using equipment with a resolution of no more than 0.1 in.

4. Test Measurement

4.1 *Dehumidification mode*.

4.1.1 *Portable dehumidifiers and whole-home dehumidifiers other than refrigerant-desiccant dehumidifiers*. Measure the energy consumption in dehumidification mode, EDM, in kilowatt-hours (kWh), the average percent relative humidity, Ht, either as measured using a relative humidity sensor or using Tables 2 and 3 when using an aspirating psychrometer, and the product capacity, Ct, in pints per day (pints/day), in accordance with the test requirements specified in section 7, ''Test Tolerances,'' section 8, ''Capacity Test,'' and section 9, ''Energy Consumption,'' of AHAM DH–1–2022, with two exceptions. First, the rating test period must be 2 hours. Second, maintain the standard test conditions as shown in Table 1.

Table 1 to Paragraph 4.1.1.—Standard Test Conditions for Dehumidifier Testing

Configuration	Dry-bulb temperature (°F)	Aspirating psychrometer wet-bulb temperature (°F)	Relative humidity sensor relative humidity (%)
Portable dehumidifiers	65 ± 2.0	56.6 ± 1.0	60 ± 2
Whole-home dehumidifiers	73 ± 2.0	63.6 ± 1.0	60 ± 2

When using relative humidity and dry-bulb temperature sensors, for dehumidifiers with multiple process air intake grilles, average the measured relative humidities and average the measured dry-bulb temperatures to determine the overall intake air conditions.

Table 2 to Paragraph 4.1.1.—Relative Humidity as a Function of Dry-Bulb and Wet-Bulb Temperatures for Portable Dehumidifiers

Wet-bulb temperature (°F)	Dry-bulb temperature (°F)										
	64.5	64.6	64.7	64.8	64.9	65	65.1	65.2	65.3	65.4	65.5
56.3	60.32	59.94	59.57	59.17	58.8	58.42	58.04	57.67	57.3	56.93	56.56
56.4	60.77	60.38	60	59.62	59.24	58.86	58.48	58.11	57.73	57.36	56.99
56.5	61.22	60.83	60.44	60.06	59.68	59.3	58.92	58.54	58.17	57.8	57.43
56.6	61.66	61.27	60.89	60.5	60.12	59.74	59.36	58.98	58.6	58.23	57.86
56.7	62.4	61.72	61.33	60.95	60.56	60.18	59.8	59.42	59.04	58.67	58.29
56.8	62.56	62.17	61.78	61.39	61	60.62	60.24	59.86	59.48	59.1	58.73
56.9	63.01	62.62	62.23	61.84	61.45	61.06	60.68	60.3	59.92	59.54	59.16

Table 3 to Paragraph 4.1.1.—Relative Humidity as a Function of Dry-Bulb and Wet-Bulb Temperatures for Whole-Home Dehumidifiers

Wet-bulb temperature (°F)	Dry-bulb temperature (°F)										
	72.5	72.6	72.7	72.8	72.9	73	73.1	73.2	73.3	73.4	73.5
63.3	60.59	60.26	59.92	59.59	59.26	58.92	58.6	58.27	57.94	57.62	57.3
63.4	60.98	60.64	60.31	59.75	59.64	59.31	58.98	58.65	58.32	58	57.67
63.5	61.37	61.03	60.7	60.36	60.02	59.69	59.36	59.03	58.7	58.38	58.05
63.6	61.76	61.42	61.08	60.75	60.41	60.08	59.74	59.41	59.08	58.76	58.43
63.7	62.16	61.81	61.47	61.13	60.8	60.46	60.13	59.8	59.47	59.14	58.81
63.8	62.55	62.2	61.86	61.52	61.18	60.85	60.51	60.18	59.85	59.52	59.19

TABLE 3 TO PARAGRAPH 4.1.1.—RELATIVE HUMIDITY AS A FUNCTION OF DRY-BULB AND WET-BULB TEMPERATURES FOR WHOLE-HOME DEHUMIDIFIERS—Continued

Wet-bulb temperature (°F)	Dry-bulb temperature (°F)										
	72.5	72.6	72.7	72.8	72.9	73	73.1	73.2	73.3	73.4	73.5
63.9	62.94	62.6	62.25	61.91	61.57	61.23	60.9	60.56	60.23	59.9	59.57

4.1.2 *Refrigerant-desiccant dehumidifiers.* Establish the testing conditions set forth in section 3.1.2 of this appendix. Measure the energy consumption, EDM, in kWh, in accordance with the test requirements specified in section 8, ''Capacity Test,'' and section 9, ''Energy Consumption,'' respectively, of AHAM DH–1–2022, with the following exceptions and adjustments:

(a) Each measurement of the temperature and relative humidity of the air entering the process air inlet duct and the reactivation air inlet must be within 73 °F ± 2.0 °F dry-bulb temperature and 60 percent ± 5 percent relative humidity, and the arithmetic average of the inlet test conditions over the test period shall be within 73 °F ± 0.5 °F dry-bulb temperature and 60 percent ± 2 percent relative humidity;

(b) Disregard the instructions for psychrometer placement;

(c) Record dry-bulb temperatures, relative humidities, static pressures, velocity pressures in each duct, volumetric air flow rates, and the number of measurements in the test period;

(d) Disregard the requirement to weigh the condensate collected during the test;

(e) The rating test period must be 2 hours; and

(f) To perform the calculations in section 9.4, ''Calculation of Test Results,'' of AHAM DH–1–2022:

(i) Replace ''Condensate collected (lb)'' and ''mlb'', with the weight of condensate removed, W, as calculated in section 5.6 of this appendix; and

(ii) Use the recorded relative humidities, not the tables in section 4.1.1 of this appendix, to determine average relative humidity.

4.2 *Off-cycle mode.* Follow requirements for test measurement in off-cycle mode of operation in accordance with section 9.3.2 of AHAM DH–1–2022.

4.3 *Inactive and off mode.* Follow requirements for test measurement in inactive and off modes of operation in accordance with section 9.3.1 of AHAM DH–1–2022.

4.4 *Product case volume for whole-home dehumidifiers.* Measure the maximum case length, D_L, in inches, the maximum case width, D_W, in inches, and the maximum height, D_H, in inches, exclusive of any duct collar attachments or other external components.

5. CALCULATION OF DERIVED RESULTS FROM TEST MEASUREMENTS

5.1 *Corrected relative humidity.* Calculate the average relative humidity, for portable and whole-home dehumidifiers, corrected for barometric pressure variations as:

$$H_{c,p} = H_t \times [1 + 0.0083 \times (29.921 - B)]$$
$$H_{c,wh} = H_t \times [1 + 0.0072 \times (29.921 - B)]$$

Where:

$H_{c,p}$ = portable dehumidifier average relative humidity from the test data in percent, corrected to the standard barometric pressure of 29.921 in. mercury (Hg);

$H_{c,wh}$ = whole-home dehumidifier average relative humidity from the test data in percent, corrected to the standard barometric pressure of 29.921 in. Hg;

H_t = average relative humidity from the test data in percent; and

B = average barometric pressure during the test period in in. Hg.

5.2 *Corrected product capacity.* Calculate the product capacity, for portable and whole-home dehumidifiers, corrected for variations in temperature and relative humidity as:

$$C_{r,p} = C_t + 0.0352 \times C_t \times (65 - T_t) + 0.0169 \times C_t \times (60 - H_{C,p})$$
$$C_{r,wh} = C_t + 0.0344 \times C_t \times (73 - T_t) + 0.017 \times C_t \times (60 - H_{C,wh})$$

Where:

$C_{r,p}$ = portable dehumidifiers product capacity in pints/day, corrected to standard rating conditions of 65 °F dry-bulb temperature and 60 percent relative humidity;

$C_{r,wh}$ = whole-home dehumidifier product capacity in pints/day, corrected to standard rating conditions of 73 °F dry-bulb temperature and 60 percent relative humidity;

C_t = product capacity determined from test data in pints/day, as measured in section 4.1.1 of this appendix for portable and refrigerant-only whole-home dehumidifiers or calculated in section 5.6 of this appendix for refrigerant-desiccant whole-home dehumidifiers;

T_t = average dry-bulb temperature during the test period in °F;

$H_{C,p}$ = portable dehumidifier corrected relative humidity in percent, as determined in section 5.1 of this appendix; and

$H_{C,wh}$ = whole-home dehumidifier corrected relative humidity in percent, as determined in section 5.1 of this appendix.

5.3 *Annual combined low-power mode energy consumption*. Calculate the annual combined low-power mode energy consumption for dehumidifiers, E_{TLP}, expressed in kWh per year:

$E_{TLP} = [(P_{IO} \times S_{IO}) + (P_{OC} \times S_{OC})] \times K$

Where:

$P_{IO} = P_{IA}$, dehumidifier inactive mode power, or P_{OM}, dehumidifier off mode power in watts, as measured in section 4.3 of this appendix;

P_{OC} = dehumidifier off-cycle mode power in watts, as measured in section 4.2 of this appendix;

S_{IO} = 1,840.5 dehumidifier inactive mode or off mode annual hours;

S_{OC} = 1,840.5 dehumidifier off-cycle mode annual hours; and

K = 0.001 kWh/Wh conversion factor for watt-hours to kWh.

5.4 *Integrated energy factor*. Calculate the integrated energy factor, IEF, in L/kWh, rounded to two decimal places, according to the following:

$$IEF = \frac{\left(C_r \times \frac{2 \times 1.04}{24}\right) \times 0.454}{\left[E_{DM} + \left(\left(\frac{E_{TLP}}{1095}\right) \times 2\right)\right]}$$

Where:

C_r = corrected product capacity in pints per day, as determined in section 5.2 of this appendix;

2 = dehumidification mode test duration in hours;

E_{DM} = energy consumption during the 2-hour dehumidification mode test in kWh, as measured in section 4.1 of this appendix;

E_{TLP} = annual combined low-power mode energy consumption in kWh per year, as calculated in section 5.3 of this appendix;

1,095 = dehumidification mode annual hours, used to convert E_{TLP} to combined low-power mode energy consumption per hour of dehumidification mode;

1.04 = the density of water in pounds per pint;

0.454 = the liters of water per pound of water; and

24 = the number of hours per day.

5.5 *Absolute humidity for refrigerant-desiccant dehumidifiers*. Calculate the absolute humidity of the air entering and leaving the refrigerant-desiccant dehumidifier in the process air stream, expressed in pounds of water per cubic foot of air, according to the following set of equations.

5.5.1 Temperature in Kelvin. The air dry-bulb temperature, in Kelvin, is:

$$T_K = \left(\frac{5}{9}(T_F - 32)\right) - 273.15$$

Where:

T_F = the measured dry-bulb temperature of the air in °F.

5.5.2 Water saturation pressure. The water saturation pressure, expressed in kilopascals (kPa), is:

$$P_{ws} = e^{\left(-\left(\frac{5.8\times10^3}{T_K}\right)-5.516-\left(4.864\times10^{-2}T_K\right)+\left(4.176\times10^{-5}{T_K}^2\right)-\left(1.445\times10^{-8}{T_K}^3\right)+6.546\,ln(T_K)\right)}$$

Where:

T_K = the calculated dry-bulb temperature of the air in K, calculated in section 5.5.1 of this appendix.

5.5.3 Vapor pressure. The water vapor pressure, expressed in kilopascals (kPa), is:

$$P_w = \frac{RH \times P_{ws}}{100}$$

Where:

RH = percent relative humidity during the rating test period; and

P_{ws} = water vapor saturation pressure in kPa, calculated in section 5.5.2 of this appendix.

5.5.4 Mixing humidity ratio. The mixing humidity ratio, the mass of water per mass of dry air, is:

$$HR = \frac{0.62198 \times P_w}{(P \times 3.386) - P_w}$$

Where:

P_w = water vapor pressure in kPa, calculated in section 5.5.3 of this appendix;

P = measured ambient barometric pressure in in. Hg;

3.386 = the conversion factor from in. Hg to kPa; and

0.62198 = the ratio of the molecular weight of water to the molecular weight of dry air.

5.5.5 Specific volume. The specific volume, expressed in feet cubed per pounds of dry air, is:

$$\nu = \left(\frac{0.287055 \times T_K}{(P \times 3.386) - P_w}\right) \times 16.016$$

Where:

T_K = dry-bulb temperature of the air in K, as calculated in section 5.5.1 of this appendix;

P = measured ambient barometric pressure in in. Hg;

P_w = water vapor pressure in kPa, calculated in section 5.5.3 of this appendix;

0.287055 = the specific gas constant for dry air in kPa times cubic meter per kg per K;

3.386 = the conversion factor from in. Hg to kPa; and

16.016 = the conversion factor from cubic meters per kilogram to cubic feet per pound.

5.5.6 Absolute humidity. The absolute humidity, expressed in pounds of water per cubic foot of air, is:

$$AH = \frac{HR}{\nu}$$

Where:

HR = the mixing humidity ratio, the mass of water per mass of dry air, as calculated in section 5.5.4 of this appendix; and

ν = the specific volume in cubic feet per pound of dry air, as calculated in section 5.5.5 of this appendix.

5.6 *Product capacity for refrigerant-desiccant dehumidifiers.* The weight of water removed during the test period, W, expressed in pounds is:

$$W=\sum_{i=1}^{n}\left(\left(AH_{I,i}\times X_{I,i}\right)-\left(AH_{O,i}\times X_{O,i}\right)\right)\times\frac{t}{60}$$

Where:

n = number of samples during the test period in section 4.1.1.2 of this appendix;

$AH_{I,i}$ = absolute humidity of the process air on the inlet side of the unit in pounds of water per cubic foot of dry air, as calculated for sample *i* in section 5.5.6 of this appendix;

$X_{I,i}$ = volumetric flow rate of the process air on the inlet side of the unit in cubic feet per minute, measured for sample *i* in section 4.1.1.2 of this appendix. Calculate the volumetric flow rate in accordance with Section 7.3, ''Fan airflow rate at test conditions,'' of ANSI/AMCA 210 (incorporated by reference, see §430.3);

$AH_{O,i}$ = absolute humidity of the process air on the outlet side of the unit in pounds of water per cubic foot of dry air, as calculated for sample *i* in section 5.5.6 of this appendix;

$X_{O,i}$ = volumetric flow rate of the process air on the outlet side of the unit in cubic feet per minute, measured for sample *i* in section 4.1.1.2 of this appendix. Calculate the volumetric flow rate in accordance with Section 7.3, ''Fan airflow rate at test conditions,'' of ANSI/AMCA 210 (incorporated by reference, see §430.3);

t = time interval in seconds between samples, with a maximum of 60; and

60 = conversion from minutes to seconds.

The capacity, C_t, expressed in pints/day, is:

$$C_t=\frac{W\times 24}{1.04\times T}$$

Where:

24 = number of hours per day;

1.04 = density of water in pounds per pint; and

T = total test period time in hours.

Then correct the product capacity, $C_{r,wh}$, according to section 5.2 of this appendix.

5.7 *Product case volume for whole-home dehumidifiers.* The product case volume, V, in cubic feet, is:

$$V=\frac{D_L\times D_W\times D_H}{1728}$$

Where:

D_L = product case length in inches, measured in section 4.4 of this appendix;

D_W = product case width in inches, measured in section 4.4 of this appendix;

D_H = product case height in inches, measured in section 4.4 of this appendix; and

1,728 = conversion from cubic inches to cubic feet.

[80 FR 45826, July 31, 2015, as amended at 88 FR 48052, July 26, 2023]

APPENDIX Y TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF BATTERY CHARGERS

NOTE 1: For all Battery Chargers, including UPSs, compliance with the relevant standard in §430.32(z) or any representation must be based upon results generated under the corresponding appendix listed in the following table:

	Battery chargers other than UPSs	UPS
On or After July 3, 2024 and Before October 16, 2024	Use appendix Y as it appeared on either March 7, 2023, or July 3, 2024.	Use appendix Y as it appeared on either March 7, 2023, or July 3, 2024

	Battery chargers other than UPSs	UPS
On or After October 16, 2024 and Before compliance date of any new or amended standards published any time after September 2022.	Use appendix Y as it appeared on July 3, 2024..	Use appendix Y as it appeared on July 3, 2024.
On or After compliance date of any new or amended standards published any time after September 2022.	Use appendix Y1	Use appendix Y1.

For any amended standards for battery chargers published after September 8, 2022, manufacturers must use the results of testing under appendix Y1 to determine compliance. Representations related to energy consumption must be made in accordance with the appropriate appendix that applies (*i.e.*, appendix Y or appendix Y1) when determining compliance with the relevant standard. Manufacturers may also use appendix Y1 to certify compliance with amended standards, published after September 8, 2022, prior to the applicable compliance date for those standards.

0. INCORPORATION BY REFERENCE

DOE incorporated by reference in §430.3 the entire test standard for IEC 62040–3 Ed. 3.0. However, only enumerated provisions of this standard are applicable to this appendix, as follows. In cases in which there is a conflict, the language of the test procedure in this appendix takes precedence over the referenced test standard.

0.1 IEC 62040–3 Ed. 3.0:

(a) Section 3.5, Specified values;

(b) Section 3.5.49, total harmonic distortion;

(c) Section 5, Electrical conditions, performance and declared values;

(d) Section 5.2, UPS input specification, as specified in section 2.28.2 of this appendix;

(e) Section 5.2.1, Conditions for normal mode of operation; Clause 5.2.1.a;

(f) Clause 5.2.1.b;

(g) Section 5.2.2, Conditions to be declared by the manufacturer; Clause 5.2.2.k;

(h) Clause 5.2.2.l;

(i) Clause 5.2.2.m;

(j) Section 5.3, UPS output specification; Section 5.3.2, Characteristics to be declared by the manufacturer; Clause 5.3.2.b;

(k) Clause 5.3.2.c;

(l) Clause 5.3.2.d;

(m) Clause 5.3.2.e;

(n) Section 5.3.4.2, Input dependency AAA;

(o) Section 6.2, Routine test procedure; Section 6.2.2, Electrical; Section 6.2.2.4, No load, as specified in section 4.3.3(c) of this appendix;

(p) Section 6.2.2.7, AC input failure, as specified in Note to section 2.28.1 of this appendix;

(q) Section 6.4, Type test procedure (electrical); Section 6.4.1, Input—AC input power compatibility; Section 6.4.1.2, Steady state input voltage tolerance and VI input independency, as specified in Note to section 2.28.3 of this appendix;

(r) Section 6.4.1.3, Combined input voltage/frequency tolerance and VFI input independency, as specified in Note to section 2.28.2 of this appendix;

(s) Annex G—AC input power failure—Test method;

(t) Annex J—UPS efficiency and no load losses—Methods of measurement, as specified in sections 4.2.1 and 4.3.3 of this appendix.

0.2 [RESERVED]

1. SCOPE

This appendix provides the test requirements used to measure the energy consumption of battery chargers operating at either DC or United States AC line voltage (115V at 60Hz). This appendix also provides the test requirements used to measure the energy efficiency of uninterruptible power supplies as defined in section 2 of this appendix that utilize the standardized National Electrical Manufacturer Association (NEMA) plug, 1–15P or 5–15P, as specified in ANSI/NEMA WD 6–2016 (incorporated by reference, see §430.3) and have an AC output. This appendix does not provide a method for testing back-up battery chargers.

2. DEFINITIONS

The following definitions are for the purposes of explaining the terminology associated with the test method for measuring battery charger energy consumption.[1]

2.1. *Active mode* or *charge mode* is the state in which the battery charger system is connected to the main electricity supply, and the battery charger is delivering current, equalizing the cells, and performing other one-time or limited-time functions in order to bring the battery to a fully charged state.

2.2. *Active power* or *real power* (P) means the average power consumed by a unit. For a two terminal device with current and voltage waveforms i(t) and v(t), which are periodic with period T, the real or active power P is:

[1] For clarity on any other terminology used in the test method, please refer to IEEE Standard 1515–2000.

$$P = \frac{1}{T}\int_0^T v(t)i(t)dt$$

2.3. *Ambient temperature* is the temperature of the ambient air immediately surrounding the unit under test.

2.4. *Apparent power* (S) is the product of root-mean-square (RMS) voltage and RMS current in volt-amperes (VA).

2.5. *Batch charger* is a battery charger that charges two or more identical batteries simultaneously in a series, parallel, series-parallel, or parallel-series configuration. A batch charger does not have separate voltage or current regulation, nor does it have any separate indicators for each battery in the batch. When testing a batch charger, the term ''battery'' is understood to mean, collectively, all the batteries in the batch that are charged together. A charger can be both a batch charger and a multi-port charger or multi-voltage charger.

2.6. *Battery* or *battery pack* is an assembly of one or more rechargeable cells and any integral protective circuitry intended to provide electrical energy to a consumer product, and may be in one of the following forms: (a) Detachable battery (a battery that is contained in a separate enclosure from the consumer product and is intended to be removed or disconnected from the consumer product for recharging); or (b) integral battery (a battery that is contained within the consumer product and is not removed from the consumer product for charging purposes). The word ''intended'' in this context refers to the whether a battery has been designed in such a way as to permit its removal or disconnection from its associated consumer product.

2.7. *Battery energy* is the energy, in watt-hours, delivered by the battery under the specified discharge conditions in the test procedure.

2.8. *Battery maintenance mode* or *maintenance mode* is the mode of operation when the battery charger is connected to the main electricity supply and the battery is fully charged, but is still connected to the charger.

2.9. *Battery rest period* is a period of time between discharge and charge or between charge and discharge, during which the battery is resting in an open-circuit state in ambient air.

2.10. *C-Rate (C)* is the rate of charge or discharge, calculated by dividing the charge or discharge current by the nameplate battery charge capacity of the battery. For example, a 0.2 C-rate would result in a charge or discharge period of 5 hours.

2.11. *Cradle* is an electrical interface between an integral battery product and the rest of the battery charger designed to hold the product between uses.

2.12. *Energy storage system* is a system consisting of single or multiple devices designed to provide power to the UPS inverter circuitry.

2.13. *Equalization* is a process whereby a battery is overcharged, beyond what would be considered ''normal'' charge return, so that cells can be balanced, electrolyte mixed, and plate sulfation removed.

2.14. *Instructions* or *manufacturer's instructions* means the documentation packaged with a product in printed or electronic form and any information about the product listed on a Web site maintained by the manufacturer and accessible by the general public at the time of the test. It also includes any information on the packaging or on the product itself. ''Instructions'' also includes any service manuals or data sheets that the manufacturer offers to independent service technicians, whether printed or in electronic form.

2.15. *Measured charge capacity* of a battery is the product of the discharge current in amperes and the time in decimal hours required to reach the specified end-of-discharge voltage.

2.16. *Manual on-off switch* is a switch activated by the user to control power reaching the battery charger. This term does not apply to any mechanical, optical, or electronic switches that automatically disconnect mains power from the battery charger when a battery is removed from a cradle or charging base, or for products with non-detachable batteries that control power to the product itself.

2.17. *Multi-port charger* means a battery charger that charges two or more batteries (which may be identical or different) simultaneously. The batteries are not connected in series or in parallel but with each port having separate voltage and/or current regulation. If the charger has status indicators, each port has its own indicator(s). A charger can be both a batch charger and a multi-port charger if it is capable of charging two or more batches of batteries simultaneously and each batch has separate regulation and/or indicator(s).

2.18. *Multi-voltage charger* is a battery charger that, by design, can charge a variety of batteries (or batches of batteries, if also a batch charger) that are of different nameplate battery voltages. A multi-voltage charger can also be a multi-port charger if it can charge two or more batteries simultaneously with independent voltages and/or current regulation.

2.19. *Normal mode* is a mode of operation for a UPS in which:

(1) The AC input supply is within required tolerances and supplies the UPS,

(2) The energy storage system is being maintained at full charge or is under recharge, and

(3) The load connected to the UPS is within the UPS's specified power rating.

2.20. *Off mode* is the condition, applicable only to units with manual on-off switches, in which the battery charger:

(1) Is connected to the main electricity supply;

(2) Is not connected to the battery; and

(3) All manual on-off switches are turned off.

2.21. *Nameplate battery voltage* is specified by the battery manufacturer and typically printed on the label of the battery itself. If there are multiple batteries that are connected in series, the nameplate battery voltage of the batteries is the total voltage of the series configuration—that is, the nameplate voltage of each battery multiplied by the number of batteries connected in series. Connecting multiple batteries in parallel does not affect the nameplate battery voltage.

2.22. *Nameplate battery charge capacity* is the capacity, claimed by the battery manufacturer on a label or in instructions, that the battery can store, usually given in ampere-hours (Ah) or milliampere-hours (mAh) and typically printed on the label of the battery itself. If there are multiple batteries that are connected in parallel, the nameplate battery charge capacity of the batteries is the total charge capacity of the parallel configuration, that is, the nameplate charge capacity of each battery multiplied by the number of batteries connected in parallel. Connecting multiple batteries in series does not affect the nameplate charge capacity.

2.23. *Nameplate battery energy capacity* means the product (in watts-hours (Wh)) of the nameplate battery voltage and the nameplate battery charge capacity.

2.24. *Reference test load* is a load or a condition with a power factor of greater than 0.99 in which the AC output socket of the UPS delivers the active power (W) for which the UPS is rated.

2.25. *Standby mode* or *no-battery mode* means the condition in which:

(1) The battery charger is connected to the main electricity supply;

(2) The battery is not connected to the charger; and

(3) For battery chargers with manual on-off switches, all such switches are turned on.

2.26. *Total harmonic distortion (THD),* expressed as a percent, is as defined in section 3.5.9 of IEC 62040–3 Ed. 3.0.

2.27. *Uninterruptible power supply or UPS* means a battery charger consisting of a combination of convertors, switches and energy storage devices (such as batteries), constituting a power system for maintaining continuity of load power in case of AC input power failure.

2.27.1. *Voltage and frequency dependent UPS or VFD UPS* means a UPS that protects the load from a complete loss of AC input power. The output of a VFD UPS is dependent on changes in voltage and frequency of the AC input power and is not intended to provide additional voltage corrective functions, such as those arising from the use of tapped transformers.

NOTE TO 2.27.1: VFD input dependency may be verified by performing the AC input failure test in section 6.2.2.7 of IEC 62040–3 Ed. 3.0 and observing that, at a minimum, the UPS switches from normal mode of operation to battery power while the input is interrupted.

2.27.2. *Voltage and frequency independent UPS or VFI UPS* means a UPS that is independent of AC input power voltage and frequency variations as specified and declared in section 5.2 of IEC 62040–3 Ed. 3.0 and shall protect the load against adverse effects from such variations without discharging the energy storage device.

NOTE TO 2.27.2: VFI input dependency may be verified by performing the combined input voltage/frequency tolerance and VFI input independency test in section 6.4.1.3 of IEC 62040–3 Ed. 3.0 respectively and observing that, at a minimum, the UPS produces an output voltage and frequency within the specified output range when the input voltage is varied by ±10% of the rated input voltage and the input frequency is varied by ±2% of the rated input frequency.

2.27.3. *Voltage independent UPS or VI UPS* means a UPS that protects the load as required for VFD and also from (a) under-voltage applied continuously to the input, and (b) over-voltage applied continuously to the input. The output voltage of a VI UPS shall remain within declared voltage limits (provided by voltage corrective functions, such as those arising from the use of active and/or passive circuits). The output voltage tolerance band shall be narrower than the input voltage tolerance band.

NOTE TO 2.27.3: VI input dependency may be verified by performing the steady state input voltage tolerance test in section 6.4.1.2 of IEC 62040–3 Ed. 3.0 and ensuring that the UPS remains in normal mode with the output voltage within the specified output range when the input voltage is varied by ±10% of the rated input voltage.

2.28. *Unit under test* (UUT) in this appendix refers to the combination of the battery charger and battery being tested.

3. Testing Requirements for all Battery Chargers Other Than Uninterruptible Power Supplies

3.1. Standard Test Conditions

3.1.1 General

The values that may be measured or calculated during the conduct of this test procedure have been summarized for easy reference in Table 3.1.1. of this appendix.

TABLE 3.1.1—LIST OF MEASURED OR CALCULATED VALUES

Name of measured or calculated value	Reference
1. Duration of the charge and maintenance mode test.	Section 3.3.2.
2. Battery Discharge Energy	Section 3.3.8.
3. Initial time and power (W) of the input current of connected battery.	Section 3.3.6.
4. Active and Maintenance Mode Energy Consumption.	Section 3.3.6.
5. Maintenance Mode Power	Section 3.3.9.
6. 24 Hour Energy Consumption	Section 3.3.10.
7. Standby Mode Power	Section 3.3.11.
8. Off Mode Power	Section 3.3.12.
9. Unit Energy Consumption, UEC (kWh/yr).	Section 3.3.13.

3.1.2. Verifying Accuracy and Precision of Measuring Equipment

Any power measurement equipment utilized for testing must conform to the uncertainty and resolution requirements outlined in section 4, ''General conditions for measurement'', as well as annexes B, ''Notes on the measurement of low power modes'', and D, ''Determination of uncertainty of measurement'', of IEC 62301 (incorporated by reference, see §430.3).

3.1.3. Setting Up the Test Room

All tests, battery conditioning, and battery rest periods shall be carried out in a room with an air speed immediately surrounding the UUT of ≤0.5 m/s. The ambient temperature shall be maintained at 20 °C ± 5 °C throughout the test. There shall be no intentional cooling of the UUT such as by use of separately powered fans, air conditioners, or heat sinks. The UUT shall be conditioned, rested, and tested on a thermally non-conductive surface. When not undergoing active testing, batteries shall be stored at 20 °C ± 5 °C.

3.1.4. Verifying the UUT's Input Voltage and Input Frequency

(a) If the UUT is intended for operation on AC line-voltage input in the United States, it shall be tested at 115 V at 60 Hz. If the UUT is intended for operation on AC line-voltage input but cannot be operated at 115 V at 60 Hz, it shall not be tested.

(b) If a charger is powered by a low-voltage DC or AC input, and the manufacturer packages the charger with an external power supply (''EPS''), sells, or recommends an optional EPS capable of providing that low voltage input, then the charger shall be tested using that EPS and the input reference source shall be 115 V at 60 Hz. If the EPS cannot be operated with AC input voltage at 115 V at 60 Hz, the charger shall not be tested.

(c) If the UUT is designed for operation only on DC input voltage and the provisions of section 3.1.4(b) of this appendix do not apply, it shall be tested with one of the following input voltages: 5.0 V DC for products drawing power from a computer USB port or the midpoint of the rated input voltage range for all other products. The input voltage shall be within ±1 percent of the above specified voltage.

(d) If the input voltage is AC, the input frequency shall be within ±1 percent of the specified frequency. The THD of the input voltage shall be ≤2 percent, up to and including the 13th harmonic. The crest factor of the input voltage shall be between 1.34 and 1.49.

(e) If the input voltage is DC, the AC ripple voltage (RMS) shall be:

(1) ≤0.2 V for DC voltages up to 10 V; or

(2) ≤2 percent of the DC voltage for DC voltages over 10 V.

3.2. UNIT UNDER TEST SETUP REQUIREMENTS

3.2.1. General Setup

(a) The battery charger system shall be prepared and set up in accordance with the manufacturer's instructions, except where those instructions conflict with the requirements of this test procedure. If no instructions are given, then factory or ''default'' settings shall be used, or where there are no indications of such settings, the UUT shall be tested in the condition as it would be supplied to an end user.

(b) If the battery charger has user controls to select from two or more charge rates (such as regular or fast charge) or different charge currents, the test shall be conducted at the fastest charge rate that is recommended by the manufacturer for everyday use, or, failing any explicit recommendation, the factory-default charge rate. If the charger has user controls for selecting special charge cycles that are recommended only for occasional use to preserve battery health, such as equalization charge, removing memory, or battery conditioning, these modes are not required to be tested. The settings of the controls shall be listed in the report for each test.

3.2.2. Selection and Treatment of the Battery Charger

The UUT, including the battery charger and its associated battery, shall be new products of the type and condition that would be sold to a customer. If the battery is lead-acid chemistry and the battery is to be stored for more than 24 hours between its initial acquisition and testing, the battery shall be charged before such storage.

3.2.3. Selection of Batteries To Use for Testing

(a) For chargers with integral batteries, the battery packaged with the charger shall be used for testing. For chargers with detachable batteries, the battery or batteries to be used for testing will vary depending on

whether there are any batteries packaged with the battery charger.

(1) If batteries are packaged with the charger, batteries for testing shall be selected from the batteries packaged with the battery charger, according to the procedure in section 3.2.3(b) of this appendix.

(2) If no batteries are packaged with the charger, but the instructions specify or recommend batteries for use with the charger, batteries for testing shall be selected from those recommended or specified in the instructions, according to the procedure in section 3.2.3(b) of this appendix.

(3) If no batteries are packaged with the charger and the instructions do not specify or recommend batteries for use with the charger, batteries for testing shall be selected from any that are suitable for use with the charger, according to the procedure in section 3.2.3(b) of this appendix.

(b)(1) From the detachable batteries specified above, use Table 3.2.1 of this appendix to select the batteries to be used for testing, depending on the type of battery charger being tested. The battery charger types represented by the rows in the table are mutually exclusive. Find the single applicable row for the UUT, and test according to those requirements. Select only the single battery configuration specified for the battery charger type in Table 3.2.1 of this appendix.

(2) If the battery selection criteria specified in Table 3.2.1 of this appendix results in two or more batteries or configurations of batteries of different chemistries, but with equal voltage and capacity ratings, determine the maintenance mode power, as specified in section 3.3.9 of this appendix, for each of the batteries or configurations of batteries, and select for testing the battery or configuration of batteries with the highest maintenance mode power.

(c) A charger is considered as:

(1) Single-capacity if all associated batteries have the same nameplate battery charge capacity (see definition) and, if it is a batch charger, all configurations of the batteries have the same nameplate battery charge capacity.

(2) Multi-capacity if there are associated batteries or configurations of batteries that have different nameplate battery charge capacities.

(d) The selected battery or batteries will be referred to as the ''test battery'' and will be used through the remainder of this test procedure.

TABLE 3.2.1—BATTERY SELECTION FOR TESTING

Type of charger			Tests to perform
Multi-voltage	Multi-port	Multi-capacity	Battery selection (from all configurations of all associated batteries)
No	No	No	Any associated battery.
No	No	Yes	Highest charge capacity battery.
No	Yes	Yes or No	Use all ports. Use the maximum number of identical batteries with the highest nameplate battery charge capacity that the charger can accommodate.
Yes	No	No	Highest voltage battery.
Yes	Yes to either or both		Use all ports. Use the battery or configuration of batteries with the highest individual voltage. If multiple batteries meet this criteria, then use the battery or configuration of batteries with the highest total nameplate battery charge capacity at the highest individual voltage.

3.2.4. Limiting Other Non-Battery-Charger Functions

(a) If the battery charger or product containing the battery charger does not have any additional functions unrelated to battery charging, this subsection may be skipped.

(b) Any optional functions controlled by the user and not associated with the battery charging process (*e.g.*, the answering machine in a cordless telephone charging base) shall be switched off. If it is not possible to switch such functions off, they shall be set to their lowest power-consuming mode during the test.

(c) If the battery charger takes any physically separate connectors or cables not required for battery charging but associated with its other functionality (such as phone lines, serial or USB connections, Ethernet, cable TV lines, *etc.*), these connectors or cables shall be left disconnected during the testing.

(d) Any manual on-off switches specifically associated with the battery charging process shall be switched on for the duration of the charge, maintenance, and no-battery mode tests, and switched off for the off mode test.

3.2.5. Accessing the Battery for the Test

(a) The technician may need to disassemble the end-use product or battery charger to gain access to the battery terminals for the Battery Discharge Energy Test in section 3.3.8 of this appendix. If the battery terminals are not clearly labeled, the technician shall use a voltmeter to identify the positive and negative terminals. These

terminals will be the ones that give the largest voltage difference and are able to deliver significant current (0.2 C or 1/hr) into a load.

(b) All conductors used for contacting the battery must be cleaned and burnished prior to connecting in order to decrease voltage drops and achieve consistent results.

(c) Manufacturer's instructions for disassembly shall be followed, except those instructions that:

(1) Lead to any permanent alteration of the battery charger circuitry or function;

(2) Could alter the energy consumption of the battery charger compared to that experienced by a user during typical use, *e.g.*, due to changes in the airflow through the enclosure of the UUT; or

(3) Conflict requirements of this test procedure.

(d) Care shall be taken by the technician during disassembly to follow appropriate safety precautions. If the functionality of the device or its safety features is compromised, the product shall be discarded after testing.

(e) Some products may include protective circuitry between the battery cells and the remainder of the device. If the manufacturer provides a description for accessing the connections at the output of the protective circuitry, these connections shall be used to discharge the battery and measure the discharge energy. The energy consumed by the protective circuitry during discharge shall not be measured or credited as battery energy.

(f) If any of the following conditions noted immediately below in sections 3.2.5.(f)(1) to 3.2.5.(f)(3) are applicable, preventing the measurement of the Battery Discharge Energy and the Charging and Maintenance Mode Energy, a manufacturer must submit a petition for a test procedure waiver in accordance with §430.27:

(1) Inability to access the battery terminals;

(2) Access to the battery terminals destroys charger functionality; or

(3) Inability to draw current from the test battery.

3.2.6. Determining Charge Capacity for Batteries With No Rating

(a) If there is no rating for the battery charge capacity on the battery or in the instructions, then the technician shall determine a discharge current that meets the following requirements. The battery shall be fully charged and then discharged at this constant-current rate until it reaches the end-of-discharge voltage specified in Table 3.3.2 of this appendix. The discharge time must be not less than 4.5 hours nor more than 5 hours. In addition, the discharge test (section 3.3.8 of this appendix) (which may not be starting with a fully-charged battery) shall reach the end-of-discharge voltage within 5 hours. The same discharge current shall be used for both the preparations step (section 3.3.4 of this appendix) and the discharge test (section 3.3.8 of this appendix). The test report shall include the discharge current used and the resulting discharge times for both a fully-charged battery and for the discharge test.

(b) For this section, the battery is considered as ''fully charged'' when either: it has been charged by the UUT until an indicator on the UUT shows that the charge is complete; or it has been charged by a battery analyzer at a current not greater than the discharge current until the battery analyzer indicates that the battery is fully charged.

(c) When there is no capacity rating, a suitable discharge current must generally be determined by trial and error. Since the conditioning step does not require constant-current discharges, the trials themselves may also be counted as part of battery conditioning.

3.3. Test Measurement

The test sequence to measure the battery charger energy consumption is summarized in Table 3.3.1 of this appendix, and explained in detail in this appendix. Measurements shall be made under test conditions and with the equipment specified in sections 3.1 and 3.2 of this appendix.

Table 3.3.1—Test Sequence

Step/Description	Data taken?	Equipment needed				
		Test battery	Charger	Battery analyzer or constant-current load	AC power meter	Thermometer (for flooded lead-acid battery chargers only)
1. Record general data on UUT; Section 3.3.1.	Yes	X	X			
2. Determine test duration; Section 3.3.2	No.					
3. Battery conditioning; Section 3.3.3	No	X	X	X		
4. Prepare battery for charge test; Section 3.3.4.	No	X	X			
5. Battery rest period; Section 3.3.5	No	X				X

TABLE 3.3.1—TEST SEQUENCE—Continued

Step/Description	Data taken?	Equipment needed				
		Test battery	Charger	Battery analyzer or constant-current load	AC power meter	Thermometer (for flooded lead-acid battery chargers only)
6. Conduct Charge Mode and Battery Maintenance Mode Test; Section 3.3.6.	Yes	X	X		X	
7. Battery Rest Period; Section 3.3.7	No	X				X
8. Battery Discharge Energy Test; Section 3.3.8.	Yes	X		X		
9. Determining the Maintenance Mode Power; Section 3.3.9.	Yes	X	X		X	
10. Calculating the 24-Hour Energy Consumption; Section 3.3.10.	No.					
11. Standby Mode Test; Section 3.3.11	Yes		X		X	
12. Off Mode Test; Section 3.3.12	Yes		X		X	

3.3.1. Recording General Data on the UUT

The technician shall record:

(a) The manufacturer and model of the battery charger;

(b) The presence and status of any additional functions unrelated to battery charging;

(c) The manufacturer, model, and number of batteries in the test battery;

(d) The nameplate battery voltage of the test battery;

(e) The nameplate battery charge capacity of the test battery; and

(f) The nameplate battery charge energy of the test battery.

(g) The settings of the controls, if battery charger has user controls to select from two or more charge rates.

3.3.2. Determining the Duration of the Charge and Maintenance Mode Test

(a) The charging and maintenance mode test, described in detail in section 3.3.6 of this appendix, shall be 24 hours in length or longer, as determined by the items below. Proceed in order until a test duration is determined.

(1) If the battery charger has an indicator to show that the battery is fully charged, that indicator shall be used as follows: If the indicator shows that the battery is charged after 19 hours of charging, the test shall be terminated at 24 hours. Conversely, if the full-charge indication is not yet present after 19 hours of charging, the test shall continue until 5 hours after the indication is present.

(2) If there is no indicator, but the manufacturer's instructions indicate that charging this battery or this capacity of battery should be complete within 19 hours, the test shall be for 24 hours. If the instructions indicate that charging may take longer than 19 hours, the test shall be run for the longest estimated charge time plus 5 hours.

(3) If there is no indicator and no time estimate in the instructions, but the charging current is stated on the charger or in the instructions, calculate the test duration as the longer of 24 hours or:

$$Duration = 1.4 \cdot \frac{RatedChargeCapacity\,(\mathrm{Ah})}{ChargeCurrent\,(\mathrm{A})} + 5\mathrm{h}$$

(b) If none of the above applies, the duration of the test shall be 24 hours.

3.3.3. Battery Conditioning

(a) No conditioning is to be done on lithium-ion batteries. The test technician shall proceed directly to battery preparation, section 3.3.4 of this appendix, when testing chargers for these batteries.

(b) Products with integral batteries will have to be disassembled per the instructions in section 3.2.5 of this appendix, and the battery disconnected from the charger for discharging.

(c) Batteries of other chemistries that have not been previously cycled are to be conditioned by performing two charges and two discharges, followed by a charge, as below. No data need be recorded during battery conditioning.

(1) The test battery shall be fully charged for the duration specified in section 3.3.2 of this appendix or longer using the UUT.

(2) The test battery shall then be fully discharged using either:

(i) A battery analyzer at a rate not to exceed 1 C, until its average cell voltage under load reaches the end-of-discharge voltage specified in Table 3.3.2 of this appendix for the relevant battery chemistry; or

(ii) The UUT, until the UUT ceases operation due to low battery voltage.

(3) The test battery shall again be fully charged as in step (c)(1) of this section.

(4) The test battery shall again be fully discharged as per step (c)(2) of this section.

(5) The test battery shall be again fully charged as in step (c)(1) of this section.

(d) Batteries of chemistries, other than lithium-ion, that are known to have been through at least two previous full charge/discharge cycles shall only be charged once per step (c)(5), of this section.

3.3.4. Preparing the Battery for Charge Testing

Following any conditioning prior to beginning the battery charge test (section 3.3.6 of this appendix), the test battery shall be fully discharged to the end of discharge voltage prescribed in Table 3.3.2 of this appendix, or until the UUT circuitry terminates the discharge.

3.3.5. Resting the Battery

The test battery shall be rested between preparation and the battery charge test. The rest period shall be at least one hour and not exceed 24 hours. For batteries with flooded cells, the electrolyte temperature shall be less than 30 °C before charging, even if the rest period must be extended longer than 24 hours.

3.3.6. Testing Charge Mode and Battery Maintenance Mode

(a) The Charge and Battery Maintenance Mode test measures the energy consumed during charge mode and some time spent in the maintenance mode of the UUT. Functions required for battery conditioning that happen only with some user-selected switch or other control shall not be included in this measurement. (The technician shall manually turn off any battery conditioning cycle or setting.) Regularly occurring battery conditioning or maintenance functions that are not controlled by the user will, by default, be incorporated into this measurement.

(b) During the measurement period, input power values to the UUT shall be recorded at least once every minute.

(1) If possible, the technician shall set the data logging system to record the average power during the sample interval. The total energy is computed as the sum of power samples (in watts) multiplied by the sample interval (in hours).

(2) If this setting is not possible, then the power analyzer shall be set to integrate or accumulate the input power over the measurement period and this result shall be used as the total energy.

(c) The technician shall follow these steps:

(1) Ensure that the user-controllable device functionality not associated with battery charging and any battery conditioning cycle or setting are turned off, as instructed in section 3.2.4 of this appendix;

(2) Ensure that the test battery used in this test has been conditioned, prepared, discharged, and rested as described in sections 3.3.3 through 3.3.5 of this appendix;

(3) Connect the data logging equipment to the battery charger;

(4) Record the start time of the measurement period, and begin logging the input power;

(5) Connect the test battery to the battery charger within 3 minutes of beginning logging. For integral battery products, connect the product to a cradle or EPS within 3 minutes of beginning logging;

(6) After the test battery is connected, record the initial time and power (W) of the input current to the UUT. These measurements shall be taken within the first 10 minutes of active charging;

(7) Record the input power for the duration of the ''Charging and Maintenance Mode Test'' period, as determined by section 3.3.2 of this appendix. The actual time that power is connected to the UUT shall be within ±5 minutes of the specified period; and

(8) Disconnect power to the UUT, terminate data logging, and record the final time.

3.3.7. Resting the Battery

The test battery shall be rested between charging and discharging. The rest period shall be at least 1 hour and not more than 4 hours, with an exception for flooded cells. For batteries with flooded cells, the electrolyte temperature shall be less than 30 °C before charging, even if the rest period must be extended beyond 4 hours.

3.3.8. Battery Discharge Energy Test

(a) If multiple batteries were charged simultaneously, the discharge energy is the sum of the discharge energies of all the batteries.

(1) For a multi-port charger, batteries that were charged in separate ports shall be discharged independently.

(2) For a batch charger, batteries that were charged as a group may be discharged individually, as a group, or in sub-groups connected in series and/or parallel. The position of each battery with respect to the other batteries need not be maintained.

(b) During discharge, the battery voltage and discharge current shall be sampled and recorded at least once per minute. The values recorded may be average or instantaneous values.

(c) For this test, the technician shall follow these steps:

(1) Ensure that the test battery has been charged by the UUT and rested according to sections 3.3.6. and 3.3.7 of this appendix.

(2) Set the battery analyzer for a constant discharge rate and the end-of-discharge voltage in Table 3.3.2 of this appendix for the relevant battery chemistry.

(3) Connect the test battery to the analyzer and begin recording the voltage, current, and wattage, if available from the battery analyzer. When the end-of-discharge voltage is reached or the UUT circuitry terminates the discharge, the test battery shall be returned to an open-circuit condition. If current continues to be drawn from the test battery after the end-of-discharge condition is first reached, this additional energy is not to be counted in the battery discharge energy.

(d) If not available from the battery analyzer, the battery discharge energy (in watt-hours) is calculated by multiplying the voltage (in volts), current (in amperes), and sample period (in hours) for each sample, and then summing over all sample periods until the end-of-discharge voltage is reached.

3.3.9. Determining the Maintenance Mode Power

After the measurement period is complete, the technician shall determine the average maintenance mode power consumption by examining the power-versus-time data from the charge and maintenance test and:

(a) If the maintenance mode power is cyclic or shows periodic pulses, compute the average power over a time period that spans a whole number of cycles and includes at least the last 4 hours.

(b) Otherwise, calculate the average power value over the last 4 hours.

3.3.10. Determining the 24-Hour Energy Consumption

The accumulated energy or the average input power, integrated over the test period from the charge and maintenance mode test, shall be used to calculate 24-hour energy consumption.

TABLE 3.3.2—REQUIRED BATTERY DISCHARGE RATES AND END-OF-DISCHARGE BATTERY VOLTAGES

Battery chemistry	Discharge rate (C)	End-of-discharge voltage * (volts per cell)
Valve-Regulated Lead Acid (VRLA)	0.2	1.75
Flooded Lead Acid	0.2	1.70
Nickel Cadmium (NiCd)	0.2	1.0
Nickel Metal Hydride (NiMH)	0.2	1.0
Lithium-Ion (Li-Ion)	0.2	2.5
Lithium-Ion Polymer	0.2	2.5
Lithium Iron Phosphate	0.2	2.0
Rechargeable Alkaline	0.2	0.9
Silver Zinc	0.2	1.2

* If the presence of protective circuitry prevents the battery cells from being discharged to the end-of-discharge voltage specified, then discharge battery cells to the lowest possible voltage permitted by the protective circuitry.

3.3.11. Standby Mode Energy Consumption Measurement

The standby mode measurement depends on the configuration of the battery charger, as follows:

(a) Conduct a measurement of standby power consumption while the battery charger is connected to the power source. Disconnect the battery from the charger, allow the charger to operate for at least 30 minutes, and record the power (*i.e.*, watts) consumed as the time series integral of the power consumed over a 10-minute test period, divided by the period of measurement. If the battery charger has manual on-off switches, all must be turned on for the duration of the standby mode test.

(b) Standby mode may also apply to products with integral batteries, as follows:

(1) If the product uses a cradle and/or adapter for power conversion and charging, then ''disconnecting the battery from the charger'' will require disconnection of the end-use product, which contains the batteries. The other enclosures of the battery charging system will remain connected to the main electricity supply, and standby mode power consumption will equal that of the cradle and/or adapter alone.

(2) If the product is powered through a detachable AC power cord and contains integrated power conversion and charging circuitry, then only the cord will remain connected to mains, and standby mode power consumption will equal that of the AC power cord (*i.e.*, zero watts).

(3) If the product contains integrated power conversion and charging circuitry but is powered through a non-detachable AC power cord or plug blades, then no part of the system will remain connected to mains, and standby mode measurement is not applicable.

3.3.12. Off Mode Energy Consumption Measurement

The off mode measurement depends on the configuration of the battery charger, as follows:

(a) If the battery charger has manual on-off switches, record a measurement of off mode energy consumption while the battery charger is connected to the power source. Remove the battery from the charger, allow the charger to operate for at least 30 minutes, and record the power (*i.e.*, watts) consumed as the time series integral of the power consumed over a 10-minute test period, divided by the period of measurement, with all manual on-off switches turned off. If the battery charger does not have manual on-off switches, record that the off mode measurement is not applicable to this product.

(b) Off mode may also apply to products with integral batteries, as follows:

(1) If the product uses a cradle and/or adapter for power conversion and charging, then ''disconnecting the battery from the charger'' will require disconnection of the end-use product, which contains the batteries. The other enclosures of the battery charging system will remain connected to the main electricity supply, and off mode power consumption will equal that of the cradle and/or adapter alone.

(2) If the product is powered through a detachable AC power cord and contains integrated power conversion and charging circuitry, then only the cord will remain connected to mains, and off mode power consumption will equal that of the AC power cord (*i.e.*, zero watts).

(3) If the product contains integrated power conversion and charging circuitry but is powered through a non-detachable AC power cord or plug blades, then no part of the system will remain connected to mains, and off mode measurement is not applicable.

3.3.13. Unit Energy Consumption Calculation

Unit energy consumption (UEC) shall be calculated for a battery charger using one of the two equations (equation (i) or equation (ii)) listed in this section. If a battery charger is tested and its charge duration as determined in section 3.3.2 of this appendix minus 5 hours is greater than the threshold charge time listed in Table 3.3.3 of this appendix (*i.e.* (t_{cd} − 5) * n > $t_{a\&m}$), equation (ii) shall be used to calculate UEC; otherwise a battery charger's UEC shall be calculated using equation (i).

$$\text{(i) } UEC = 365\left(n(E_{24} - 5P_m - Measured\ E_{batt})\frac{24}{t_{cd}} + \left(P_m(t_{a\&m} - (t_{cd} - 5)n)\right) + (P_{sb}t_{sb}) + \left(P_{off}t_{off}\right)\right) \text{ or,}$$

$$\text{(ii) } UEC = 365\left(n(E_{24} - 5P_m - Measured\ E_{batt})\frac{24}{(t_{cd} - 5)} + (P_{sb}t_{sb}) + \left(P_{off}t_{off}\right)\right)$$

Where:

E_{24} = 24-hour energy as determined in section 3.3.10 of this appendix,

Measured E_{batt} = Measured battery energy as determined in section 3.3.8. of this appendix,

P_m = Maintenance mode power as determined in section 3.3.9. of this appendix,

P_{sb} = Standby mode power as determined in section 3.3.11. of this appendix,

P_{off} = Off mode power as determined in section 3.3.12. of this appendix,

t_{cd} = Charge test duration as determined in section 3.3.2. of this appendix, and

$t_{a\&m}$, n, t_{sb}, and t_{off}, are constants used depending upon a device's product class and found in Table 3.3.3:

TABLE 3.3.3—BATTERY CHARGER USAGE PROFILES

Product class				Hours per day***			Charges (n)	Threshold charge time*
Number	Description	Measured battery energy (measured E_{batt})**	Special characteristic or highest nameplate battery voltage	Active + maintenance (t_a&$_m$)	Standby (t_{sb})	Off (t_{off})	Number per day	Hours
1	Low-Energy	≤5 Wh	Inductive Connection****.	20.66	0.10	0.00	0.15	137.73
2	Low-Energy, Low-Voltage.	<100 Wh	<4 V	7.82	5.29	0.00	0.54	14.48
3	Low-Energy, Medium-Voltage.		4–10 V	6.42	0.30	0.00	0.10	64.20
4	Low-Energy, High-Voltage.		>10 V	16.84	0.91	0.00	0.50	33.68
5	Medium-Energy, Low-Voltage.	100–3000 Wh	<20 V	6.52	1.16	0.00	0.11	59.27
6	Medium-Energy, High-Voltage.		≥20 V	17.15	6.85	0.00	0.34	50.44
7	High-Energy	>3000 Wh	.....	8.14	7.30	0.00	0.32	25.44

*If the duration of the charge test (minus 5 hours) as determined in section 3.3.2. of this appendix exceeds the threshold charge time, use equation (ii) to calculate UEC otherwise use equation (i).
**Measured E_{batt} = Measured battery energy as determined in section 3.3.8.
***If the total time does not sum to 24 hours per day, the remaining time is allocated to unplugged time, which means there is 0 power consumption and no changes to the UEC calculation needed.
****Fixed-location inductive wireless charger only.

4. TESTING REQUIREMENTS FOR UNINTERRUPTIBLE POWER SUPPLIES

4.1. STANDARD TEST CONDITIONS

4.1.1. Measuring Equipment

(a) The power or energy meter must provide true root mean square (r. m. s) measurements of the active input and output measurements, with an uncertainty at full rated load of less than or equal to 0.5% at the 95% confidence level notwithstanding that voltage and current waveforms can include harmonic components. The meter must measure input and output values simultaneously.

(b) All measurement equipment used to conduct the tests must be calibrated within the measurement equipment manufacturer specified calibration period by a standard traceable to International System of Units such that measurements meet the uncertainty requirements specified in section 4.1.1(a) of this appendix.

4.1.2. Test Room Requirements

All portions of the test must be carried out in a room with an air speed immediately surrounding the UUT of ≤0.5 m/s in all directions. Maintain the ambient temperature in the range of 20.0 °C to 30.0 °C, including all inaccuracies and uncertainties introduced by the temperature measurement equipment, throughout the test. No intentional cooling of the UUT, such as by use of separately powered fans, air conditioners, or heat sinks, is permitted. Test the UUT on a thermally non-conductive surface.

4.1.3. Input Voltage and Input Frequency

The AC input voltage and frequency to the UPS during testing must be within 3 percent of the highest rated voltage and within 1 percent of the highest rated frequency of the device.

4.2. UNIT UNDER TEST SETUP REQUIREMENTS

4.2.1. General Setup

Configure the UPS according to Annex J.2 of IEC 62040–3 Ed. 3.0 with the following additional requirements:

(a) *UPS Operating Mode Conditions.* If the UPS can operate in two or more distinct normal modes as more than one UPS architecture, conduct the test in its lowest input dependency as well as in its highest input dependency mode where VFD represents the highest possible input dependency, followed by VI and then VFI.

(b) *Energy Storage System.* The UPS must not be modified or adjusted to disable energy storage charging features. Minimize the transfer of energy to and from the energy storage system by ensuring the energy storage system is fully charged (at the start of testing) as follows:

(1) If the UUT has a battery charge indicator, charge the battery for 5 hours after the UUT has indicated that it is fully charged.

(2) If the UUT does not have a battery charge indicator but the user manual shipped with the UUT specifies a time to reach full charge, charge the battery for 5 hours longer than the time specified.

(3) If the UUT does not have a battery charge indicator or user manual instructions, charge the battery for 24 hours.

(c) *DC output port(s).* All DC output port(s) of the UUT must remain unloaded during testing.

4.2.2. Additional Features

(a) Any feature unrelated to maintaining the energy storage system at full charge or delivery of load power (*e.g.*, LCD display) shall be switched off. If it is not possible to switch such features off, they shall be set to their lowest power-consuming mode during the test.

(b) If the UPS takes any physically separate connectors or cables not required for maintaining the energy storage system at full charge or delivery of load power but associated with other features (such as serial or USB connections, Ethernet, etc.), these connectors or cables shall be left disconnected during the test.

(c) Any manual on-off switches specifically associated with maintaining the energy storage system at full charge or delivery of load power shall be switched on for the duration of the test.

4.3. TEST MEASUREMENT AND CALCULATION

Efficiency can be calculated from either average power or accumulated energy.

4.3.1. Average Power Calculations

If efficiency calculation are to be made using average power, calculate the average power consumption (P_{avg}) by sampling the power at a rate of at least 1 sample per second and computing the arithmetic mean of all samples over the time period specified for each test as follows:

$$P_{avg} = \frac{1}{n}\sum_{i=1}^{n} P_i$$

Where:

P_{avg} = average power
P_i = power measured during individual measurement (i)
n = total number of measurements

4.3.2. Steady State

Operate the UUT and the load for a sufficient length of time to reach steady state conditions. To determine if steady state conditions have been attained, perform the following steady state check, in which the difference between the two efficiency calculations must be less than 1 percent:

(a)(1) Simultaneously measure the UUT's input and output power for at least 5 minutes, as specified in section 4.3.1 of this appendix, and record the average of each over the duration as P_{avg_in} and P_{avg_out}, respectively. Or,

(2) Simultaneously measure the UUT's input and output energy for at least 5 minutes and record the accumulation of each over the duration as E_{in} and E_{out}, respectively.

(b) Calculate the UUT's efficiency, Eff_1, using one of the following two equations:

(1)

$$Eff = \frac{P_{avg_out}}{P_{avg_in}}$$

Where:

Eff is the UUT efficiency
P_{avg_out} is the average output power in watts
P_{avg_in} is the average input power in watts

(2)

$$Eff = \frac{E_{out}}{E_{in}}$$

Where:

Eff is the UUT efficiency

E_{out} is the accumulated output energy in watt-hours

E_{in} in the accumulated input energy in watt-hours

(c) Wait a minimum of 10 minutes.

(d) Repeat the steps listed in paragraphs (a) and (b) of section 4.3.2 of this appendix to calculate another efficiency value, Eff_2.

(e) Determine if the product is at steady state using the following equation:

$$Percentage\ difference = \frac{|Eff_1 - Eff_2|}{Average(Eff_1, Eff_2)}$$

If the percentage difference of Eff_1 and Eff_2 as described in the equation, is less than 1 percent, the product is at steady state.

(f) If the percentage difference is greater than or equal to 1 percent, the product is not at steady state. Repeat the steps listed in paragraphs (c) to (e) of section 4.3.2 of this appendix until the product is at steady state.

4.3.3. Power Measurements and Efficiency Calculations

Measure input and output power of the UUT according to section J.3 of Annex J of IEC 62040–3 Ed. 3.0, or measure the input and output energy of the UUT for efficiency calculations with the following exceptions:

(a) Test the UUT at the following reference test load conditions, in the following order: 100 percent, 75 percent, 50 percent, and 25 percent of the rated output power.

(b) Perform the test at each of the reference test loads by simultaneously measuring the UUT's input and output power in Watts (W), or input and output energy in Watt-Hours (Wh) over a 15 minute test period at a rate of at least 1 Hz. Calculate the efficiency for that reference load using one of the following two equations:

(1)

$$Eff_{n\%} = \frac{P_{avg_out\ n\%}}{P_{avg_in\ n\%}}$$

Where:

$Eff_{n\%}$ = the efficiency at reference test load $n\%$

$P_{avg_out\ n\%}$ = the average output power at reference load $n\%$

$P_{avg_in\ n\%}$ = the average input power at reference load $n\%$

(2)

$$Eff_{n\%} = \frac{E_{out\ n\%}}{E_{in\ n\%}}$$

Where:

$Eff_{n\%}$ = the efficiency at reference test load $n\%$

$E_{out\ n\%}$ = the accumulated output energy at reference load $n\%$

$E_{in\ n\%}$ = the accumulated input energy at reference load $n\%$

(c) For representations of no-load losses, measure the active power at the UPS input port with no load applied in accordance with section 6.2.2.4 of IEC 62040–3 Ed. 3.0.

4.3.4. UUT Classification

Optional Test for determination of UPS architecture. Determine the UPS architecture by performing the tests specified in the definitions of VI, VFD, and VFI (sections 2.28.1 through 2.28.3 of this appendix).

4.3.5. Output Efficiency Calculation

(a) Use the load weightings from Table 4.3.1 to determine the average load adjusted efficiency as follows:

$$Eff_{avg} = (t_{25\%} \times Eff|_{25\%}) + (t_{50\%} \times Eff|_{50\%}) + (t_{75\%} \times Eff|_{75\%}) + (t_{100\%} \times Eff|_{100\%})$$

Where:

Eff_{avg} = the average load adjusted efficiency

$t_{n\%}$ = the portion of time spent at reference test load $n\%$ as specified in Table 4.3.1

$Eff|_{n\%}$ = the measured efficiency at reference test load $n\%$

TABLE 4.3.1—LOAD WEIGHTINGS

Rated output power (W)	UPS architecture	Portion of time spent at reference load			
		25%	50%	75%	100%
P ≤ 1500 W	VFD	0.2	0.2	0.3	0.3
	VI or VFI	0*	0.3	0.4	0.3
P > 1500 W	VFD, VI, or VFI	0*	0.3	0.4	0.3

*Measuring efficiency at loading points with 0 time weighting is not required.

(b) Round the calculated efficiency value to one tenth of a percentage point.

[76 FR 31776, June 1, 2011, as amended at 81 FR 31842, May 20, 2016; 81 FR 42235, June 29, 2016; 81 FR 89822, Dec. 12, 2016; 87 FR 28756, May 11, 2022; 87 FR 55122, Sept. 8, 2022; 89 FR 28592, Apr. 19, 2024]

APPENDIX Y1 TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF BATTERY CHARGERS

NOTE 1: For all Battery Chargers, including UPSs, compliance with the relevant standard in §430.32(z) or any representation must be based upon results generated under the corresponding appendix listed in the following table:

	Battery chargers other than UPSs	UPS
On or After July 3, 2024 and Before October 16, 2024	Use appendix Y as it appeared on either March 7, 2023, or July 3, 2024.	Use appendix Y as it appeared on either March 7, 2023, or July 3, 2024
On or After October 16, 2024 and Before compliance date of any new or amended standards published any time after September 2022.	Use appendix Y as it appeared on July 3, 2024..	Use appendix Y as it appeared on July 3, 2024.
On or After compliance date of any new or amended standards published any time after September 2022.	Use appendix Y1	Use appendix Y1.

0. INCORPORATION BY REFERENCE

DOE incorporated by reference in §430.3 the entire test standard for IEC 62040–3 Ed. 3.0. However, only enumerated provisions of this standard are applicable to this appendix, as follows. In cases in which there is a conflict, the language of the test procedure in this appendix takes precedence over the referenced test standard.

0.1 IEC 62040–3 Ed. 3.0:

(a) Section 3.5, Specified values;

(b) Section 3.5.49, total harmonic distortion;

(c) Section 5, Electrical conditions, performance and declared values;

(d) Section 5.2, UPS input specification, as specified in section 2.28.2 of this appendix;

(e) Section 5.2.1, Conditions for normal mode of operation; Clause 5.2.1.a;

(f) Clause 5.2.1.b;

(g) Section 5.2.2, Conditions to be declared by the manufacturer; Clause 5.2.2.k;

(h) Clause 5.2.2.l;

(i) Clause 5.2.2.m;

(j) Section 5.3, UPS output specification; Section 5.3.2, Characteristics to be declared by the manufacturer; Clause 5.3.2.b;

(k) Clause 5.3.2.c;

(l) Clause 5.3.2.d;

(m) Clause 5.3.2.e;

(n) Section 5.3.4.2, Input dependency AAA;

(o) Section 6.2, Routine test procedure; Section 6.2.2, Electrical; Section 6.2.2.4, No load, as specified in section 4.3.3(c) of this appendix;

(p) Section 6.2.2.7, AC input failure, as specified in Note to section 2.28.1 of this appendix;

(q) Section 6.4, Type test procedure (electrical); Section 6.4.1, Input—AC input power compatibility; Section 6.4.1.2, Steady state input voltage tolerance and VI input independency, as specified in Note to section 2.28.3 of this appendix;

(r) Section 6.4.1.3, Combined input voltage/frequency tolerance and VFI input independency, as specified in Note to section 2.28.2 of this appendix;

(s) Annex G—AC input power failure—Test method;

(t) Annex J—UPS efficiency and no load losses—Methods of measurement, as specified in sections 4.2.1 and 4.3.3 of this appendix.

0.2 [Reserved]

1. Scope

This appendix provides the test requirements used to measure the energy consumption of battery chargers, including fixed-location wireless chargers designed for charging batteries with less than 100 watt-hour battery energy and open-placement wireless chargers, operating at either DC or United States AC line voltage (nominally 115V at 60Hz). This appendix also provides the test requirements used to measure the energy efficiency of uninterruptible power supplies as defined in section 2 of this appendix that utilize the standardized National Electrical Manufacturer Association (NEMA) plug, 1–15P or 5–15P, as specified in ANSI/NEMA WD 6–2016 (incorporated by reference, see §430.3) and have an AC output. This appendix does not provide a method for testing back-up battery chargers.

2. Definitions

The following definitions are for the purposes of explaining the terminology associated with the test method for measuring battery charger energy consumption.[1]

[1] For clarity on any other terminology used in the test method, please refer to IEEE 1515–2000, (Sources for information and guidance, see §430.4).

2.1. *Active mode* or *charge mode* is the state in which the battery charger system is connected to the main electricity supply, and the battery charger is delivering current, equalizing the cells, and performing other one-time or limited-time functions in order to bring the battery to a fully charged state.

2.2. *Active power* or *real power* (P) means the average power consumed by a unit. For a two terminal device with current and voltage waveforms i(t) and v(t), which are periodic with period T, the real or active power P is:

$$P = \frac{1}{T}\int_0^T v(t)i(t)dt$$

2.3. *Ambient temperature* is the temperature of the ambient air immediately surrounding the unit under test.

2.4. *Apparent power (S)* is the product of root-mean-square (RMS) voltage and RMS current in volt-amperes (VA).

2.5. *Batch charger* is a battery charger that charges two or more identical batteries simultaneously in a series, parallel, series-parallel, or parallel-series configuration. A batch charger does not have separate voltage or current regulation, nor does it have any separate indicators for each battery in the

batch. When testing a batch charger, the term ''battery'' is understood to mean, collectively, all the batteries in the batch that are charged together. A charger can be both a batch charger and a multi-port charger or multi-voltage charger.

2.6. *Battery* or *battery pack* is an assembly of one or more rechargeable cells and any integral protective circuitry intended to provide electrical energy to a consumer product, and may be in one of the following forms:

(a) Detachable battery (a battery that is contained in a separate enclosure from the consumer product and is intended to be removed or disconnected from the consumer product for recharging); or

(b) Integral battery (a battery that is contained within the consumer product and is not removed from the consumer product for charging purposes). The word ''intended'' in this context refers to whether a battery has been designed in such a way as to permit its removal or disconnection from its associated consumer product.

2.7. *Battery energy* is the energy, in watt-hours, delivered by the battery under the specified discharge conditions in the test procedure.

2.8. *Battery maintenance mode* or *maintenance mode*, is a subset of standby mode in which the battery charger is connected to the main electricity supply and the battery is fully charged, but is still connected to the charger.

2.9. *Battery rest period* is a period of time between discharge and charge or between charge and discharge, during which the battery is resting in an open-circuit state in ambient air.

2.10. *C-Rate* (C) is the rate of charge or discharge, calculated by dividing the charge or discharge current by the nameplate battery charge capacity of the battery. For example, a 0.2 C-rate would result in a charge or discharge period of 5 hours.

2.11. *Cradle* is an electrical interface between an integral battery product and the rest of the battery charger designed to hold the product between uses.

2.12. *Energy storage system* is a system consisting of single or multiple devices designed to provide power to the UPS inverter circuitry.

2.13. *Equalization* is a process whereby a battery is overcharged, beyond what would be considered ''normal'' charge return, so that cells can be balanced, electrolyte mixed, and plate sulfation removed.

2.14. *Instructions* or *manufacturer's instructions* means the documentation packaged with a product in printed or electronic form and any information about the product listed on a website maintained by the manufacturer and accessible by the general public at the time of the test. It also includes any information on the packaging or on the product itself. ''Instructions'' also includes any service manuals or data sheets that the manufacturer offers to independent service technicians, whether printed or in electronic form.

2.15. *Measured charge capacity of a battery* is the product of the discharge current in amperes and the time in decimal hours required to reach the specified end-of-discharge voltage.

2.16. *Manual on-off switch* is a switch activated by the user to control power reaching the battery charger. This term does not apply to any mechanical, optical, or electronic switches that automatically disconnect mains power from the battery charger when a battery is removed from a cradle or charging base, or for products with non-detachable batteries that control power to the product itself.

2.17. *Multi-port charger* means a battery charger that charges two or more batteries (which may be identical or different) simultaneously. The batteries are not connected in series or in parallel but with each port having separate voltage and/or current regulation. If the charger has status indicators, each port has its own indicator(s). A charger can be both a batch charger and a multi-port charger if it is capable of charging two or more batches of batteries simultaneously and each batch has separate regulation and/or indicator(s).

2.18. *Multi-voltage charger* is a battery charger that, by design, can charge a variety of batteries (or batches of batteries, if also a batch charger) that are of different nameplate battery voltages. A multi-voltage charger can also be a multi-port charger if it can charge two or more batteries simultaneously with independent voltages and/or current regulation.

2.19. *Normal mode* is a mode of operation for a UPS in which:

(a) The AC input supply is within required tolerances and supplies the UPS,

(b) The energy storage system is being maintained at full charge or is under recharge, and

(c) The load connected to the UPS is within the UPS's specified power rating.

2.20. *Off mode* is the condition, applicable only to units with manual on-off switches, in which the battery charger:

(a) Is connected to the main electricity supply;

(b) Is not connected to the battery; and

(c) All manual on-off switches are turned off.

2.21. *Nameplate battery voltage* is specified by the battery manufacturer and typically printed on the label of the battery itself. If there are multiple batteries that are connected in series, the nameplate battery voltage of the batteries is the total voltage of the series configuration—that is, the nameplate voltage of each battery multiplied by

the number of batteries connected in series. Connecting multiple batteries in parallel does not affect the nameplate battery voltage.

2.22. *Nameplate battery charge capacity* is the capacity, claimed by the battery manufacturer on a label or in instructions, that the battery can store, usually given in ampere-hours (Ah) or milliampere-hours (mAh) and typically printed on the label of the battery itself. If there are multiple batteries that are connected in parallel, the nameplate battery charge capacity of the batteries is the total charge capacity of the parallel configuration, that is, the nameplate charge capacity of each battery multiplied by the number of batteries connected in parallel. Connecting multiple batteries in series does not affect the nameplate charge capacity.

2.23. *Nameplate battery energy capacity* means the product (in watts-hours (Wh)) of the nameplate battery voltage and the nameplate battery charge capacity.

2.24. *No-battery mode* is a subset of standby mode and means the condition in which:

(a) The battery charger is connected to the main electricity supply;

(b) The battery is not connected to the charger; and

(c) For battery chargers with manual on-off switches, all such switches are turned on.

2.25. *Reference test load* is a load or a condition with a power factor of greater than 0.99 in which the AC output socket of the UPS delivers the active power (W) for which the UPS is rated.

2.26. *Standby mode* means the condition in which the battery charge is either in maintenance mode or no battery mode as defined in this appendix.

2.27. *Total harmonic distortion (THD)*, expressed as a percent, is as defined in section 3.5.9 of IEC 62040–3 Ed. 3.0.

2.28. *Uninterruptible power supply or UPS* means a battery charger consisting of a combination of convertors, switches and energy storage devices (such as batteries), constituting a power system for maintaining continuity of load power in case of AC input power failure.

2.28.1. *Voltage and frequency dependent UPS or VFD UPS* means a UPS that protects the load from a complete loss of AC input power. The output of a VFD UPS is dependent on changes in voltage and frequency of the AC input power and is not intended to provide additional voltage corrective functions, such as those arising from the use of tapped transformers.

NOTE TO 2.28.1: VFD input dependency may be verified by performing the AC input failure test in section 6.2.2.7 of IEC 62040–3 Ed. 3.0 and observing that, at a minimum, the UPS switches from normal mode of operation to battery power while the input is interrupted.

2.28.2. *Voltage and frequency independent UPS or VFI UPS* means a UPS that is independent of AC input power voltage and frequency variations as specified and declared in section 5.2 of IEC 62040–3 Ed. 3.0 and shall protect the load against adverse effects from such variations without discharging the energy storage device.

NOTE TO 2.28.2: VFI input dependency may be verified by performing the combined input voltage/frequency tolerance and VFI input independency test in section 6.4.1.3 of IEC 62040–3 Ed. 3.0 respectively and observing that, at a minimum, the UPS produces an output voltage and frequency within the specified output range when the input voltage is varied by ±10% of the rated input voltage and the input frequency is varied by ±2% of the rated input frequency.

2.28.3. *Voltage independent UPS or VI UPS* means a UPS that protects the load as required for VFD and also from (a) under-voltage applied continuously to the input, and (b) over-voltage applied continuously to the input. The output voltage of a VI UPS shall remain within declared voltage limits (provided by voltage corrective functions, such as those arising from the use of active and/or passive circuits). The output voltage tolerance band shall be narrower than the input voltage tolerance band.

NOTE TO 2.28.3: VI input dependency may be verified by performing the steady state input voltage tolerance test in section 6.4.1.2 of IEC 62040–3 Ed. 3.0 and ensuring that the UPS remains in normal mode with the output voltage within the specified output range when the input voltage is varied by ±10% of the rated input voltage.

2.29. *Unit under test* (UUT) in this appendix refers to the combination of the battery charger and battery being tested.

2.30. *Wireless charger* is a battery charger that can charge batteries inductively.

2.30.1. *Fixed-location wireless charger* is an inductive wireless battery charger that incorporates a physical receiver locating feature (e.g., by physical peg, cradle, locking mechanism, magnet, etc.) to repeatably align or orient the position of the receiver with respect to the transmitter.

2.30.2. *Open-placement wireless charger* is an inductive wireless charger that does not incorporate a physical receiver locating feature (e.g., by a physical peg, cradle, locking mechanism, magnet etc.) to repeatably align or orient the position of the receiver with respect to the transmitter.

3. Testing Requirements for all Battery Chargers Other Than Uninterruptible Power Supplies and Open-Placement Wireless Chargers

3.1. Standard Test Conditions

3.1.1. General

The values that may be measured or calculated during the conduct of this test procedure have been summarized for easy reference in Table 3.1.1 of this appendix.

TABLE 3.1.1—LIST OF MEASURED OR CALCULATED VALUES

Name of measured or calculated value	Reference
1. Duration of the Charge and Maintenance Modes test	Section 3.3.2.
2. Battery Discharge Energy (E_{batt})	Section 3.3.8.
3. Initial time and power (W) of the input current of connected battery	Section 3.3.6.
4. Active and Maintenance Modes Energy Consumption	Section 3.3.6.
5. Maintenance Mode Power (P_m)	Section 3.3.9.
6. Active mode Energy Consumption (E_a)	Section 3.3.10.
7. No-Battery Mode Power (P_{nb})	Section 3.3.11.
8. Off Mode Power (P_{off})	Section 3.3.12.
9. Standby Mode Power (P_{sb})	Section 3.3.13.

3.1.2. Verifying Accuracy and Precision of Measuring Equipment

Any power measurement equipment utilized for testing must conform to the uncertainty and resolution requirements outlined in Section 4, ''General conditions for measurement'', as well as Annexes B, ''Notes on the measurement of low-power modes'', and D, ''Determination of uncertainty of measurement'', of IEC 62301 (incorporated by reference, see §430.3).

3.1.3. Setting Up the Test Room

All tests, battery conditioning, and battery rest periods shall be carried out in a room with an air speed immediately surrounding the UUT of ≤0.5 m/s. The ambient temperature shall be maintained at 20 °C ± 5 °C throughout the test. There shall be no intentional cooling of the UUT such as by use of separately powered fans, air conditioners, or heat sinks. The UUT shall be conditioned, rested, and tested on a thermally non-conductive surface. When not undergoing active testing, batteries shall be stored at 20 °C ± 5 °C.

3.1.4. Verifying the UUT's Input Voltage and Input Frequency

(a) If the UUT is intended for operation on AC line-voltage input in the United States, it shall be tested at 115 V at 60 Hz. If the UUT is intended for operation on AC line-voltage input but cannot be operated at 115 V at 60 Hz, it shall not be tested.

(b) If a battery charger is powered by a low-voltage DC or AC input and the manufacturer packages the battery charger with an external power supply (''EPS''), test the battery charger using the packaged EPS; if the battery charger does not include a prepackaged EPS, then test the battery charger with an EPS sold and recommended by the manufacturer; if the manufacturer does not recommend an EPS that it sells, test the battery charger with an EPS that the manufacturer recommends for use in the manufacturer materials. The input reference source shall be 115 V at 60 Hz. If the EPS cannot be operated with AC input voltage at 115 V at 60 Hz, the charger shall not be tested.

(c) If a battery charger is designed for operation only on DC input voltage and if the provisions of section 3.1.4.(b) of this appendix do not apply, test the battery charger with an external power supply that minimally complies with the applicable energy conservation standard and meets the external power supply parameters specified by the battery charger manufacturer. The input voltage shall be within ±1 percent of the battery charger manufacturer specified voltage.

(d) If the input voltage is AC, the input frequency shall be within ±1 percent of the specified frequency. The THD of the input voltage shall be ≤2 percent, up to and including the 13th harmonic. The crest factor of the input voltage shall be between 1.34 and 1.49.

(e) If the input voltage is DC, the AC ripple voltage (RMS) shall be:

(1) ≤0.2 V for DC voltages up to 10 V; or

(2) ≤2 percent of the DC voltage for DC voltages over 10 V.

3.2. Unit Under Test Setup Requirements

3.2.1. General Setup

(a) The battery charger system shall be prepared and set up in accordance with the manufacturer's instructions, except where those instructions conflict with the requirements of this test procedure. If no instructions are given, then factory or ''default'' settings shall be used, or where there are no indications of such settings, the UUT shall

be tested in the condition as it would be supplied to an end user.

(b) If the battery charger has user controls to select from two or more charge rates (such as regular or fast charge) or different charge currents, the test shall be conducted at the fastest charge rate that is recommended by the manufacturer for everyday use, or, failing any explicit recommendation, the factory-default charge rate. If the charger has user controls for selecting special charge cycles that are recommended only for occasional use to preserve battery health, such as equalization charge, removing memory, or battery conditioning, these modes are not required to be tested. The settings of the controls shall be listed in the report for each test.

3.2.2. Selection and Treatment of the Battery Charger

The UUT, including the battery charger and its associated battery, shall be new products of the type and condition that would be sold to a customer. If the battery is lead-acid chemistry and the battery is to be stored for more than 24 hours between its initial acquisition and testing, the battery shall be charged before such storage.

3.2.3. Selection of Batteries To Use for Testing

(a) For chargers with integral batteries, the battery packaged with the charger shall be used for testing. For chargers with detachable batteries, the battery or batteries to be used for testing will vary depending on whether there are any batteries packaged with the battery charger.

(1) If batteries are packaged with the charger, batteries for testing shall be selected from the batteries packaged with the battery charger, according to the procedure in section 3.2.3(b) of this appendix.

(2) If no batteries are packaged with the charger, but the instructions specify or recommend batteries for use with the charger, batteries for testing shall be selected from those recommended or specified in the instructions, according to the procedure in section 3.2.3(b) of this appendix.

(3) If no batteries are packaged with the charger and the instructions do not specify or recommend batteries for use with the charger, batteries for testing shall be selected from any that are suitable for use with the charger, according to the procedure in section 3.2.3(b) of this appendix.

(b)(1) From the detachable batteries specified in section 3.2.3.(a) of this appendix, use Table 3.2.1 of this appendix to select the batteries to be used for testing, depending on the type of battery charger being tested. The battery charger types represented by the rows in the table are mutually exclusive. Find the single applicable row for the UUT, and test according to those requirements. Select only the single battery configuration specified for the battery charger type in Table 3.2.1 of this section.

(2) If the battery selection criteria specified in Table 3.2.1 of this appendix results in two or more batteries or configurations of batteries of different chemistries, but with equal voltage and capacity ratings, determine the maintenance mode power, as specified in section 3.3.9 of this appendix, for each of the batteries or configurations of batteries, and select for testing the battery or configuration of batteries with the highest maintenance mode power.

(c) A charger is considered as:

(1) Single-capacity if all associated batteries have the same nameplate battery charge capacity (see definition) and, if it is a batch charger, all configurations of the batteries have the same nameplate battery charge capacity.

(2) Multi-capacity if there are associated batteries or configurations of batteries that have different nameplate battery charge capacities.

(d) The selected battery or batteries will be referred to as the ''test battery'' and will be used through the remainder of this test procedure.

TABLE 3.2.1—BATTERY SELECTION FOR TESTING

Type of charger			Tests to perform
Multi-voltage	Multi-port	Multi-capacity	Battery selection (from all configurations of all associated batteries)
No	No	No	Any associated battery.
No	No	Yes	Highest charge capacity battery.
No	Yes	Yes or No	Use all ports. Use the maximum number of identical batteries with the highest nameplate battery charge capacity that the charger can accommodate.
Yes	No	No	Highest voltage battery.
Yes	Yes to either or both		Use all ports. Use the battery or configuration of batteries with the highest individual voltage. If multiple batteries meet this criteria, then use the battery or configuration of batteries with the highest total nameplate battery charge capacity at the highest individual voltage.

3.2.4. Limiting Other Non-Battery-Charger Functions

(a) If the battery charger or product containing the battery charger does not have any additional functions unrelated to battery charging, this section may be skipped.

(b) Any optional functions controlled by the user and not associated with the battery charging process (e.g., the answering machine in a cordless telephone charging base) shall be switched off. If it is not possible to switch such functions off, they shall be set to their lowest power-consuming mode during the test.

(c) If the battery charger takes any physically separate connectors or cables not required for battery charging but associated with its other functionality (such as phone lines, serial or USB connections, Ethernet, cable TV lines, etc.), these connectors or cables shall be left disconnected during the testing.

(d) Any manual on-off switches specifically associated with the battery charging process shall be switched on for the duration of the charge, maintenance, and no-battery mode tests, and switched off for the off mode test.

3.2.5. Accessing the Battery for the Test

(a) The technician may need to disassemble the end-use product or battery charger to gain access to the battery terminals for the Battery Discharge Energy Test in section 3.3.8 of this appendix. If the battery terminals are not clearly labeled, the technician shall use a voltmeter to identify the positive and negative terminals. These terminals will be the ones that give the largest voltage difference and are able to deliver significant current (0.2 C or 1/hr) into a load.

(b) All conductors used for contacting the battery must be cleaned and burnished prior to connecting in order to decrease voltage drops and achieve consistent results.

(c) Manufacturer's instructions for disassembly shall be followed, except those instructions that:

(1) Lead to any permanent alteration of the battery charger circuitry or function;

(2) Could alter the energy consumption of the battery charger compared to that experienced by a user during typical use, e.g., due to changes in the airflow through the enclosure of the UUT; or

(3) Conflict requirements of this test procedure.

(d) Care shall be taken by the technician during disassembly to follow appropriate safety precautions. If the functionality of the device or its safety features is compromised, the product shall be discarded after testing.

(e) Some products may include protective circuitry between the battery cells and the remainder of the device. If the manufacturer provides a description for accessing the connections at the output of the protective circuitry, these connections shall be used to discharge the battery and measure the discharge energy. The energy consumed by the protective circuitry during discharge shall not be measured or credited as battery energy.

(f) If any of the following conditions specified in sections 3.2.5.(f)(1) to 3.2.5.(f)(3) of this appendix are applicable, preventing the measurement of the Battery Discharge Energy and the Charging and Maintenance Mode Energy, a manufacturer must submit a petition for a test procedure waiver in accordance with §430.27:

(1) Inability to access the battery terminals;

(2) Access to the battery terminals destroys charger functionality; or

(3) Inability to draw current from the test battery.

3.2.6. Determining Charge Capacity for Batteries With No Rating

(a) If there is no rating for the battery charge capacity on the battery or in the instructions, then the technician shall determine a discharge current that meets the following requirements. The battery shall be fully charged and then discharged at this constant-current rate until it reaches the end-of-discharge voltage specified in Table 3.3.2 of this appendix. The discharge time must be not less than 4.5 hours nor more than 5 hours. In addition, the discharge test (section 3.3.8 of this appendix) (which may not be starting with a fully-charged battery) shall reach the end-of-discharge voltage within 5 hours. The same discharge current shall be used for both the preparations step (section 3.3.4 of this appendix) and the discharge test (section 3.3.8 of this appendix). The test report shall include the discharge current used and the resulting discharge times for both a fully-charged battery and for the discharge test.

(b) For this section, the battery is considered as ''fully charged'' when either: it has been charged by the UUT until an indicator on the UUT shows that the charge is complete; or it has been charged by a battery analyzer at a current not greater than the discharge current until the battery analyzer indicates that the battery is fully charged.

(c) When there is no capacity rating, a suitable discharge current must generally be determined by trial and error. Since the conditioning step does not require constant-current discharges, the trials themselves may also be counted as part of battery conditioning.

3.3. Test Measurement

The test sequence to measure the battery charger energy consumption is summarized in Table 3.3.1 of this appendix, and explained

in detail in this appendix. Measurements shall be made under test conditions and with the equipment specified in sections 3.1 and 3.2 of this appendix.

TABLE 3.3.1—TEST SEQUENCE

Step/description	Equipment needed					
	Data taken?	Test battery	Charger	Battery analyzer or constant-current load	AC power meter	Thermometer (for flooded lead-acid battery chargers only)
1. Record general data on UUT; Section 3.3.1	Yes	X	X			
2. Determine Active and Maintenance Modes Test duration; Section 3.3.2.	No					
3. Battery conditioning; Section 3.3.3	No	X	X	X		
4. Prepare battery for Active Mode test; Section 3.3.4	No	X	X			
5. Battery rest period; Section 3.3.5	No	X				X
6. Conduct Active and Maintenance Modes Test; Section 3.3.6.	Yes	X	X		X	
7. Battery Rest Period; Section 3.3.7	No	X				X
8. Battery Discharge Energy Test; Section 3.3.8	Yes	X		X		
9. Determine the Maintenance Mode Power; Section 3.3.9.	Yes	X	X		X	
10. Determine Active Charge Energy; Section 3.3.10	Yes	X	X		X	
11. Conduct No-Battery Mode Test; Section 3.3.11	Yes		X		X	
12. Conduct Off Mode Test; Section 3.3.12	Yes		X		X	
13. Calculating Standby Mode Power; Section 3.3.13	Yes					

3.3.1. Recording General Data on the UUT

The technician shall record:

(a) The manufacturer and model of the battery charger;

(b) The presence and status of any additional functions unrelated to battery charging;

(c) The manufacturer, model, and number of batteries in the test battery;

(d) The nameplate battery voltage of the test battery;

(e) The nameplate battery charge capacity of the test battery; and

(f) The nameplate battery charge energy of the test battery.

(g) The settings of the controls, if battery charger has user controls to select from two or more charge rates.

3.3.2. Determining the Duration of the Charge and Maintenance Modes Test

(a) The charge and maintenance modes test, described in detail in section 3.3.6 of this appendix, shall be 24 hours in length or longer, as determined by the items in sections 3.3.2.(a)(1) to 3.3.2.(a)(3) of this appendix. Proceed in order until a test duration is determined. In case when the battery charger does not enter its true battery maintenance mode, the test shall continue until 5 hours after the true battery maintenance mode has been captured.

(1) If the battery charger has an indicator to show that the battery is fully charged, that indicator shall be used as follows: if the indicator shows that the battery is charged after 19 hours of charging, the test shall be terminated at 24 hours. Conversely, if the full-charge indication is not yet present after 19 hours of charging, the test shall continue until 5 hours after the indication is present.

(2) If there is no indicator, but the manufacturer's instructions indicate that charging this battery or this capacity of battery should be complete within 19 hours, the test shall be for 24 hours. If the instructions indicate that charging may take longer than 19 hours, the test shall be run for the longest estimated charge time plus 5 hours.

(3) If there is no indicator and no time estimate in the instructions, but the charging current is stated on the charger or in the instructions, calculate the test duration as the longer of 24 hours or:

$$Duration = 1.4 * \frac{RatedChargeCapacity(Ah)}{ChargeCurrent(A)} + 5h$$

(b) If none of section 3.3.2.(a) applies, the duration of the test shall be 24 hours.

3.3.3. Battery Conditioning

(a) No conditioning is to be done on lithium-ion batteries. The test technician shall proceed directly to battery preparation, section 3.3.4 of this appendix, when testing chargers for these batteries.

(b) Products with integral batteries will have to be disassembled per the instructions in section 3.2.5 of this appendix, and the battery disconnected from the charger for discharging.

(c) Batteries of other chemistries that have not been previously cycled are to be conditioned by performing two charges and two discharges, followed by a charge, as sections 3.3.3.(c)(1) to 3.3.3.(c)(5) of this appendix. No data need be recorded during battery conditioning.

(1) The test battery shall be fully charged for the duration specified in section 3.3.2 of this appendix or longer using the UUT.

(2) The test battery shall then be fully discharged using either:

(i) A battery analyzer at a rate not to exceed 1 C, until its average cell voltage under load reaches the end-of-discharge voltage specified in Table 3.3.2 of this appendix for the relevant battery chemistry; or

(ii) The UUT, until the UUT ceases operation due to low battery voltage.

(3) The test battery shall again be fully charged per step in section 3.3.3(c)(1) of this appendix.

(4) The test battery shall again be fully discharged per step in section 3.3.3(c)(2) of this appendix.

(5) The test battery shall be again fully charged per step in section 3.3.3(c)(1) of this appendix.

(d) Batteries of chemistries, other than lithium-ion, that are known to have been through at least two previous full charge/discharge cycles shall only be charged once per step in section 3.3.3(c)(5) of this appendix.

3.3.4. Preparing the Battery for Charge Testing

Following any conditioning prior to beginning the battery charge test (section 3.3.6 of this appendix), the test battery shall be fully discharged to the end of discharge voltage prescribed in Table 3.3.2 of this appendix, or until the UUT circuitry terminates the discharge.

3.3.5. Resting the Battery

The test battery shall be rested between preparation and the battery charge test. The rest period shall be at least one hour and not exceed 24 hours. For batteries with flooded cells, the electrolyte temperature shall be less than 30 °C before charging, even if the rest period must be extended longer than 24 hours.

3.3.6. Testing Active Charge Mode and Battery Maintenance Mode

(a) The Active Charge and Battery Maintenance Modes test measures energy consumed during charge mode and some time spent in the maintenance mode of the UUT. Functions required for battery conditioning that happen only with some user-selected switch or other control shall not be included in this measurement. (The technician shall manually turn off any battery conditioning cycle or setting.) Regularly occurring battery conditioning or maintenance functions that are not controlled by the user will, by default, be incorporated into this measurement.

(b) During the measurement period, input power values to the UUT shall be recorded at least once every minute.

(1) If possible, the technician shall set the data logging system to record the average power during the sample interval. The total energy is computed as the sum of power samples (in watts) multiplied by the sample interval (in hours).

(2) If this setting is not possible, then the power analyzer shall be set to integrate or accumulate the input power over the measurement period and this result shall be used as the total energy.

(c) The technician shall follow these steps:

(1) Ensure that the user-controllable device functionality not associated with battery charging and any battery conditioning cycle or setting are turned off, as instructed in section 3.2.4 of this appendix;

(2) Ensure that the test battery used in this test has been conditioned, prepared, discharged, and rested as described in sections 3.3.3. through 3.3.5. of this appendix;

(3) Connect the data logging equipment to the battery charger;

(4) Record the start time of the measurement period, and begin logging the input power;

(5) Connect the test battery to the battery charger within 3 minutes of beginning logging. For integral battery products, connect the product to a cradle or EPS within 3 minutes of beginning logging;

(6) After the test battery is connected, record the initial time and power (W) of the input current to the UUT. These measurements shall be taken within the first 10 minutes of active charging;

(7) Record the input power for the duration of the ''Maintenance Mode Test'' period, as determined by section 3.3.2. of this appendix. The actual time that power is connected to the UUT shall be within ±5 minutes of the specified period; and

(8) Disconnect power to the UUT, terminate data logging, and record the final time.

3.3.7. Resting the Battery

The test battery shall be rested between charging and discharging. The rest period

shall be at least 1 hour and not more than 4 hours, with an exception for flooded cells. For batteries with flooded cells, the electrolyte temperature shall be less than 30 °C before charging, even if the rest period must be extended beyond 4 hours.

3.3.8. Battery Discharge Energy Test

(a) If multiple batteries were charged simultaneously, the discharge energy (E_{batt}) is the sum of the discharge energies of all the batteries.

(1) For a multi-port charger, batteries that were charged in separate ports shall be discharged independently.

(2) For a batch charger, batteries that were charged as a group may be discharged individually, as a group, or in sub-groups connected in series and/or parallel. The position of each battery with respect to the other batteries need not be maintained.

(b) During discharge, the battery voltage and discharge current shall be sampled and recorded at least once per minute. The values recorded may be average or instantaneous values.

(c) For this test, the technician shall follow these steps:

(1) Ensure that the test battery has been charged by the UUT and rested according to the procedures prescribed in sections 3.3.6 and 3.3.7 of this appendix.

(2) Set the battery analyzer for a constant discharge rate and the end-of-discharge voltage in Table 3.3.2 of this appendix for the relevant battery chemistry.

(3) Connect the test battery to the analyzer and begin recording the voltage, current, and wattage, if available from the battery analyzer. When the end-of-discharge voltage is reached or the UUT circuitry terminates the discharge, the test battery shall be returned to an open-circuit condition. If current continues to be drawn from the test battery after the end-of-discharge condition is first reached, this additional energy is not to be counted in the battery discharge energy.

(d) If not available from the battery analyzer, the battery discharge energy (in watt-hours) is calculated by multiplying the voltage (in volts), current (in amperes), and sample period (in hours) for each sample, and then summing over all sample periods until the end-of-discharge voltage is reached.

TABLE 3.3.2—REQUIRED BATTERY DISCHARGE RATES AND END-OF-DISCHARGE BATTERY VOLTAGES

Battery chemistry	Discharge rate (C)	End-of-discharge voltage* (volts per cell)
Valve-Regulated Lead Acid (VRLA)	0.2	1.75
Flooded Lead Acid	0.2	1.70
Nickel Cadmium (NiCd)	0.2	1.0
Nickel Metal Hydride (NiMH)	0.2	1.0
Lithium-ion (Li-Ion)	0.2	2.5
Lithium-ion Polymer	0.2	2.5
Lithium Iron Phosphate	0.2	2.0
Rechargeable Alkaline	0.2	0.9
Silver Zinc	0.2	1.2

*If the presence of protective circuitry prevents the battery cells from being discharged to the end-of-discharge voltage specified, then discharge battery cells to the lowest possible voltage permitted by the protective circuitry.

3.3.9. Determining the Maintenance Mode Power

After the measurement period is complete, the technician shall determine the average maintenance mode power consumption (P_m) by examining the power-versus-time data from the charge and maintenance mode test and:

(a) If the maintenance mode power is cyclic or shows periodic pulses, compute the average power over a time period that spans a whole number of cycles and includes at least the last 4 hours.

(b) Otherwise, calculate the average power value over the last 4 hours.

3.3.10. Determining the Active Charge Energy

After the measurement period is complete, the technician shall determine the total active charge energy (E_a) by examining the power-versus-time data from the charge and maintenance mode test and:

(a) First determine when the battery charger enters maintenance mode by examining the power-versus-time data to identify when the input power enters either a steady state or a cyclic state with average power for that period being the same as the maintenance mode power determined in section 3.3.9. of this appendix.

(b) The accumulated energy or the average input power, integrated over the test period from the initial recorded input time up until when the battery charger enters maintenance mode would be the active charge energy, E_a.

3.3.11. No-Battery Mode Energy Consumption Measurement

The no-battery mode measurement depends on the configuration of the battery charger, as follows:

(a) Conduct a measurement of no-battery power consumption while the battery charger is connected to the power source. Disconnect the battery from the charger, allow the charger to operate for at least 30 minutes, and record the power (*i.e.*, watts) consumed as the time series integral of the power consumed over a 10-minute test period, divided by the period of measurement. If the battery charger has manual on-off switches, all must be turned on for the duration of the no-battery mode test.

(b) No-battery mode may also apply to products with integral batteries, as follows:

(1) If the product uses a cradle and/or adapter for power conversion and charging, then ''disconnecting the battery from the charger'' will require disconnection of the end-use product, which contains the batteries. The other enclosures of the battery charging system will remain connected to the main electricity supply, and no-battery mode power consumption will equal that of the cradle and/or adapter alone.

(2) If the product is powered through a detachable AC power cord and contains integrated power conversion and charging circuitry, then only the cord will remain connected to mains, and no-battery mode power consumption will equal that of the AC power cord (*i.e.*, zero watts).

(3) If the product contains integrated power conversion and charging circuitry but is powered through a non-detachable AC power cord or plug blades, then no part of the system will remain connected to mains, and no-battery mode measurement is not applicable.

3.3.12. Off Mode Energy Consumption Measurement

The off mode measurement depends on the configuration of the battery charger, as follows:

(a) If the battery charger has manual on-off switches, record a measurement of off mode energy consumption while the battery charger is connected to the power source. Remove the battery from the charger, allow the charger to operate for at least 30 minutes, and record the power (*i.e.*, watts) consumed as the time series integral of the power consumed over a 10-minute test period, divided by the period of measurement, with all manual on-off switches turned off. If the battery charger does not have manual on-off switches, record that the off mode measurement is not applicable to this product.

(b) Off mode may also apply to products with integral batteries, as follows:

(1) If the product uses a cradle and/or adapter for power conversion and charging, then ''disconnecting the battery from the charger'' will require disconnection of the end-use product, which contains the batteries. The other enclosures of the battery charging system will remain connected to the main electricity supply, and off mode power consumption will equal that of the cradle and/or adapter alone.

(2) If the product is powered through a detachable AC power cord and contains integrated power conversion and charging circuitry, then only the cord will remain connected to mains, and off mode power consumption will equal that of the AC power cord (*i.e.*, zero watts).

(3) If the product contains integrated power conversion and charging circuitry but is powered through a non-detachable AC power cord or plug blades, then no part of the system will remain connected to mains, and off mode measurement is not applicable.

3.3.13. Standby Mode Power

The standby mode power (P_{sb}) is the summation power of battery maintenance mode power (P_m) and no-battery mode power (P_{nb}).

4. Testing Requirements for Uninterruptible Power Supplies

4.1. Standard Test Conditions

4.1.1. Measuring Equipment

(a) The power or energy meter must provide true root mean square (r.m.s) measurements of the active input and output measurements, with an uncertainty at full rated load of less than or equal to 0.5 percent at the 95 percent confidence level notwithstanding that voltage and current waveforms can include harmonic components. The meter must measure input and output values simultaneously.

(b) All measurement equipment used to conduct the tests must be calibrated within the measurement equipment manufacturer specified calibration period by a standard traceable to International System of Units such that measurements meet the uncertainty requirements specified in section 4.1.1(a) of this appendix.

4.1.2. Test Room Requirements

All portions of the test must be carried out in a room with an air speed immediately surrounding the UUT of ≤0.5 m/s in all directions. Maintain the ambient temperature in the range of 20.0 °C to 30.0 °C, including all inaccuracies and uncertainties introduced by the temperature measurement equipment, throughout the test. No intentional cooling of the UUT, such as by use of separately powered fans, air conditioners, or heat sinks, is permitted. Test the UUT on a thermally non-conductive surface.

4.1.3. Input Voltage and Input Frequency

The AC input voltage and frequency to the UPS during testing must be within 3 percent of the highest rated voltage and within 1 percent of the highest rated frequency of the device.

4.2. Unit Under Test Setup Requirements

4.2.1. General Setup

Configure the UPS according to Annex J.2 of IEC 62040–3 Ed. 3.0 with the following additional requirements:

(a) UPS Operating Mode Conditions. If the UPS can operate in two or more distinct normal modes as more than one UPS architecture, conduct the test in its lowest input dependency as well as in its highest input dependency mode where VFD represents the lowest possible input dependency, followed by VI and then VFI.

(b) Energy Storage System. The UPS must not be modified or adjusted to disable energy storage charging features. Minimize the transfer of energy to and from the energy storage system by ensuring the energy storage system is fully charged (at the start of testing) as follows:

(1) If the UUT has a battery charge indicator, charge the battery for 5 hours after the UUT has indicated that it is fully charged.

(2) If the UUT does not have a battery charge indicator but the user manual shipped with the UUT specifies a time to reach full charge, charge the battery for 5 hours longer than the time specified.

(3) If the UUT does not have a battery charge indicator or user manual instructions, charge the battery for 24 hours.

(c) DC output port(s). All DC output port(s) of the UUT must remain unloaded during testing.

4.2.2. Additional Features

(a) Any feature unrelated to maintaining the energy storage system at full charge or delivery of load power (e.g., LCD display) shall be switched off. If it is not possible to switch such features off, they shall be set to their lowest power-consuming mode during the test.

(b) If the UPS takes any physically separate connectors or cables not required for maintaining the energy storage system at full charge or delivery of load power but associated with other features (such as serial or USB connections, Ethernet, etc.), these connectors or cables shall be left disconnected during the test.

(c) Any manual on-off switches specifically associated with maintaining the energy storage system at full charge or delivery of load power shall be switched on for the duration of the test.

4.3. Test Measurement and Calculation

Efficiency can be calculated from either average power or accumulated energy.

4.3.1. Average Power Calculations

If efficiency calculation are to be made using average power, calculate the average power consumption (P_{avg}) by sampling the power at a rate of at least 1 sample per second and computing the arithmetic mean of all samples over the time period specified for each test as follows:

$$P_{avg} = \frac{1}{n}\sum_{i=1}^{n} P_i$$

Where:

P_{avg} = average power
P_i = power measured during individual measurement (i)
n = total number of measurements

4.3.2. Steady State

Operate the UUT and the load for a sufficient length of time to reach steady state conditions. To determine if steady state conditions have been attained, perform the following steady state check, in which the difference between the two efficiency calculations must be less than 1 percent:

(a)(1) Simultaneously measure the UUT's input and output power for at least 5 minutes, as specified in section 4.3.1 of this appendix, and record the average of each over the duration as P_{avg_in} and P_{avg_out}, respectively; or,

(2) Simultaneously measure the UUT's input and output energy for at least 5 minutes and record the accumulation of each over the duration as E_{in} and E_{out}, respectively.

(b) Calculate the UUT's efficiency, Eff_1, using one of the following two equations:

(1)

$$Eff = \frac{P_{avg_out}}{P_{avg_in}}$$

Where:

Eff is the UUT efficiency

P_{avg_out} is the average output power in watts

P_{avg_in} is the average input power in watts

(2)

$$Eff = \frac{E_{out}}{E_{in}}$$

Where:

Eff is the UUT efficiency

E_{out} is the accumulated output energy in watt-hours

E_{in} in the accumulated input energy in watt-hours

(c) Wait a minimum of 10 minutes.

(d) Repeat the steps listed in paragraphs (a) and (b) of section 4.3.2 of this appendix to calculate another efficiency value, Eff_2.

(e) Determine if the product is at steady state using the following equation:

$$Percentage\ difference = \frac{|Eff_1 - Eff_2|}{Average(Eff_1, Eff_2)}$$

If the percentage difference of Eff_1 and Eff_2 as described in the equation, is less than 1 percent, the product is at steady state.

(f) If the percentage difference is greater than or equal to 1 percent, the product is not at steady state. Repeat the steps listed in paragraphs (c) to (e) of section 4.3.2 of this appendix until the product is at steady state.

4.3.3. Power Measurements and Efficiency Calculations

Measure input and output power of the UUT according to section J.3 of Annex J of IEC 62040–3 Ed. 3.0, or measure the input and output energy of the UUT for efficiency calculations with the following exceptions:

(a) Test the UUT at the following reference test load conditions, in the following order: 100 percent, 75 percent, 50 percent, and 25 percent of the rated output power.

(b) Perform the test at each of the reference test loads by simultaneously measuring the UUT's input and output power in Watts (W), or input and output energy in Watt-Hours (Wh) over a 15 minute test period at a rate of at least 1 Hz. Calculate the efficiency for that reference load using one of the following two equations:

(1)

$$Eff_{n\%} = \frac{P_{avg_out\ n\%}}{P_{avg_in\ n\%}}$$

Where:

$Eff_{n\%}$ = the efficiency at reference test load $n\%$

$P_{avg_out\ n\%}$ = the average output power at reference load $n\%$

$P_{avg_in\ n\%}$ = the average input power at reference load $n\%$

(2)

$$Eff_{n\%} = \frac{E_{out\ n\%}}{E_{in\ n\%}}$$

Where:

$Eff_{n\%}$ = the efficiency at reference test load $n\%$

$E_{out\ n\%}$ = the accumulated output energy at reference load $n\%$

$E_{in\ n\%}$ = the accumulated input energy at reference load $n\%$

(c) For representations of no-load losses, measure the active power at the UPS input port with no load applied in accordance with section 6.2.2.4 of IEC 62040–3 Ed. 3.0.

4.3.4. UUT Classification

Optional Test for determination of UPS architecture. Determine the UPS architecture by performing the tests specified in the definitions of VI, VFD, and VFI (sections 2.28.1 through 2.28.3 of this appendix).

4.3.5. Output Efficiency Calculation

(a) Use the load weightings from Table 4.3.1 to determine the average load adjusted efficiency as follows:

$Eff_{avg} = (t_{25\%} \times Eff|_{25\%}) + (t_{50\%} \times Eff|_{50\%}) + (t_{75\%} \times Eff|_{75\%}) + (t_{100\%} \times Eff|_{100\%})$

Where:

Eff_{avg} = the average load adjusted efficiency

$t_{n\%}$ = the portion of time spent at reference test load $n\%$ as specified in Table 4.3.1

$Eff|_{n\%}$ = the measured efficiency at reference test load $n\%$

TABLE 4.3.1—LOAD WEIGHTINGS

		Portion of time spent at reference load			
Rated output power (W)	UPS architecture	25%	50%	75%	100%
P ≤ 1500 W	VFD	0.2	0.2	0.3	0.3
	VI or VFI	0*	0.3	0.4	0.3
P > 1500 W	VFD, VI, or VFI	0*	0.3	0.4	0.3

*Measuring efficiency at loading points with 0 time weighting is not required.

(b) Round the calculated efficiency value to one tenth of a percentage point.

5. Testing Requirements for Open-Placement Wireless Chargers

5.1. Standard Test Conditions and UUT Setup Requirements

The technician will set up the testing environment according to the test conditions as specified in sections 3.1.2, 3.1.3, and 3.1.4 of this appendix. The unit under test will be configurated according to section 3.2.1 and all other non-battery charger related functions will be turned off according to section 3.2.4.

5.2. Active Mode Test

[Reserved]

5.3. No-Battery Mode Test

(a) Connect the UUT to mains power and place it in no-battery mode by ensuring there are no foreign objects on the charging surface (*i.e.*, without any load).

(b) Monitor the AC input power for a period of 5 minutes to assess the stability of the UUT. If the power level does not drift by more than 1percent from the maximum value observed, the UUT is considered stable.

(c) If the AC input power is not stable, follow the specifications in Section 5.3.3. of IEC 62301 for measuring average power or accumulated energy over time for the input. If the UUT is stable, record the measurements of the AC input power over a 5-minute period.

(d) Power consumption calculation. The power consumption of the no-battery mode is equal to the active AC input power (W).

[87 FR 55125, Sept. 8, 2022, as amended at 89 FR 28593, Apr. 19, 2024]

APPENDIX Z TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF EXTERNAL POWER SUPPLIES

NOTE: Starting on February 15, 2023, manufacturers must make any representations regarding the energy efficiency or power consumption of external power supplies based upon results generated under this appendix. Prior to that date, manufacturers must make any representations regarding the energy efficiency or power consumption of external power supplies based upon results generated under this appendix as it appeared at

10 CFR part 430, subpart B revised as of January 1, 2021. The provisions at section (4)(g) of this appendix regarding the testing of units for which a wire or cord is not provided by the manufacturer are not required for use until such time as compliance is required with any amended standards for external power supplies provided in §430.32(w) that are published after January 1, 2021.

0. Incorporation by reference.

DOE incorporated by reference the entire standard for IEC 62301 in §430.3; however, only enumerated provisions of this document are applicable to this appendix, as follows:

0.1 IEC 62301, (''IEC 62301''), Household electrical appliances—Measurement of standby power, (Edition 2.0, 2011–01), as follows:

(a) Section 4.3.2 ''Supply voltage waveform,'' as referenced in section 3 of this appendix;

(b) Section 4.4.1 ''Power measurement uncertainty,'' as referenced in section 4 of this appendix;

(c) Section 5.3.3 ''Average reading method,'' as referenced in sections 5 and 6 of this appendix;

(d) Annex B ''Notes on the measurement of low power modes,'' as referenced in section 4 of this appendix; and

(e) Annex D ''Determination of uncertainty of measurement,'' as referenced in section 4 of this appendix.

0.2 Reserved.

1. [Reserved]

2. Scope:

This appendix covers the test requirements used to measure the energy consumption of external power supplies subject to the energy conservation standards set forth at §430.32(w)(1). Additionally, this appendix does not apply to external power supplies for which the primary load of the converted voltage within the device is not delivered to a separate end-use product, *i.e.*, products in which the primary load of converted voltage is delivered within the device itself to execute the primary function of the device. Examples of excluded products may include, but are not limited to, consumer electronics with USB outputs and lighting products with USB outputs.

3. Definitions:

The following definitions are for the purposes of understanding terminology associated with the test method for measuring external power supply energy consumption.

Active mode means the mode of operation when the external power supply is connected to the main electricity supply and the output is (or ''all outputs are'' for external power supplies with multiple outputs) connected to a load (or ''loads'' for external power supplies with multiple outputs).

Active mode efficiency is the ratio, expressed as a percentage, of the total real output power produced by a power supply to the real input power required to produce it. IEEE Standard 1515–2000, 4.3.1.1 (Reference for guidance only, see §430.4.)

Active power (P) (also *real power*) means the average power consumed by a unit. For a two-terminal device with current and voltage waveforms i(t) and v(t), respectively, which are periodic with period T, the real or active power P is:

$$P = \frac{1}{T}\int_0^T v(t)i(t)dt$$

Adaptive external power supply means an external power supply that can alter its output voltage during active-mode based on an established digital communication protocol with the end-use application without any user-generated action.

Ambient temperature means the temperature of the ambient air immediately surrounding the unit under test.

Average Active-Mode Efficiency means the average of the active mode efficiencies at the loading conditions (100, 75, 50 percent, and 25 percent of unit under test's nameplate output current) for which that unit can sustain the output current.

Manual on-off switch is a switch activated by the user to control power reaching the device. This term does not apply to any mechanical, optical, or electronic switches that automatically disconnect mains power from the device when a load is disconnected from the device, or that control power to the load itself.

Minimum output current means the minimum current that must be drawn from an output bus for an external power supply to operate within its specifications.

Multiple-voltage external power supply means an external power supply that is designed to convert line voltage AC input into

more than one simultaneous lower-voltage output.

Nameplate output current means the current output of the power supply as specified on the manufacturer's label on the power supply housing (either DC or AC) or, if absent from the housing, as provided by the manufacturer.

Nameplate output power means the power output of the power supply as specified on the manufacturer's label on the power supply housing or, if absent from the housing, as specified in documentation provided by the manufacturer. For an adaptive external power supply with USB–PD ports, in place of the nameplate output power at the lowest voltage, use an output power calculated as the product of its lowest nameplate output voltage and 2 amps for each USB–PD port and as specified on the manufacturer's label or documentation at the highest voltage. This definition only applies to DOE testing and certification requirements and is unrelated to the physical nameplate label or documentation of an EPS.

Nameplate output voltage means the voltage output of the power supply as specified on the manufacturer's label on the power supply housing (either DC or AC).

No-load mode means the mode of operation when an external power supply is connected to the main electricity supply and the output is (or ''all outputs are'' for a multiple-voltage external power supply) not connected to a load (or ''loads'' for a multiple-voltage external power supply).

Off-mode is the condition, applicable only to units with manual on-off switches, in which the external power supply is:

(1) Connected to the main electricity supply;

(2) The output is not connected to any load; and

(3) All manual on-off switches are turned off.

Output bus means any of the outputs of the power supply to which loads can be connected and from which power can be drawn, as opposed to signal connections used for communication.

RMS means root mean square.

Single-voltage external AC–AC power supply means an external power supply that is designed to convert line voltage AC input into lower voltage AC output and is able to convert to only one AC output voltage at a time.

Single-voltage external AC–DC power supply means an external power supply that is designed to convert line voltage AC input into lower-voltage DC output and is able to convert to only one DC output voltage at a time.

Standby mode means the condition in which the external power supply is in no-load mode and, for external power supplies with manual on-off switches, all such switches are turned on.

Switch-selectable single voltage external power supply means a single-voltage AC–AC or AC–DC power supply that allows users to choose from more than one output voltage.

Total harmonic distortion (THD), expressed as a percentage, is the RMS value of an AC signal after the fundamental component is removed and interharmonic components are ignored, divided by the RMS value of the fundamental component. THD of current is defined as:

$$THD = \frac{\sqrt{I_2^2 + I_3^2 + I_4^2 + \cdots I_n^2}}{I_1}$$

where I_n is the RMS value of the nth harmonic of the current signal.

Unit under test (UUT) is the external power supply being tested.

USB Power Delivery (USB–PD) EPS means an adaptive EPS that utilizes a USB Type-C output port and uses a digital protocol to communicate between the EPS and the end-use product to automatically switch between any output voltage within the range of 3.3 volts to 20 volts. The USB–PD output bus must be capable of delivering 3 amps at the lowest output voltage, and the currents must not exceed any of the following values for the supported voltages: 3 amps at 9 volts; 3 amps at 15 volts; and 5 amps at 20 volts.

USB Type-C means the reversible 24-pin physical USB connector system that supports USB–PD and allows for the transmission of data and power between compatible USB products.

4. Test Apparatus and General Instructions

(a) Any power measurements recorded, as well as any power measurement equipment utilized for testing, shall conform to the uncertainty and resolution specifications in Section 4.4.1, ''Power measurement uncertainty,'' as well as Annexes B, ''Notes on the measurement of low power modes,'' and D, ''Determination of uncertainty of measurement,'' of IEC 62301.

(b) Carry out tests in a room that has an air speed close to the UUT of ≤0.5 m/s. Maintain ambient temperature at 20 ± 5 °C throughout the test. Do not intentionally cool the UUT, for example, by use of separately powered fans, air conditioners, or heat sinks. Test the UUT on a thermally non-conductive surface. Products intended for outdoor use may be tested at additional temperatures, provided those are in addition to the conditions specified and are noted in a separate section on the test report.

(c) If the UUT is intended for operation on AC line-voltage input in the United States, test it at 115 V at 60 Hz. If the UUT is intended for operation on AC line-voltage input but cannot be operated at 115 V at 60 Hz, do not test it. Ensure the input voltage is within ±1 percent of the above specified voltage and the input frequency is within ±1 percent of the specified frequency.

(d) The input voltage source must be capable of delivering at least 10 times the nameplate input power of the UUT as is specified in IEEE 1515–2000 (Referenced for guidance only, see § 430.4). Regardless of the AC source type, the THD of the supply voltage when supplying the UUT in the specified mode must not exceed 2 percent, up to and including the 13th harmonic. The peak value of the test voltage must be within 1.34 and 1.49 multiplied by its RMS value.

(e) Select all leads used in the test set-up with appropriate wire gauges and lengths to minimize voltage drops across the wires during testing. See Table B.2 — ''Commonly used values for wire gages [*sic*] and related voltage drops'' in IEEE 1515–2000 for further guidance.

(f) Test Load. To load the power supply to produce all active-mode loading conditions, use passive loads, such as rheostats, or active loads, such as electronic loads. Resistive loads need not be measured precisely with an ohmmeter; simply adjust a variable resistor to the point where the ammeter confirms that the desired percentage of nameplate output current is flowing. For electronic loads, adjust the desired output current in constant current mode rather than adjusting the required output power in constant power mode.

(g) Test the external power supply at the end of the wire or cord that connects to an end-use product, regardless of whether the end of the wire or cord is integrated into an end-use product or plugs into and out of an end-use product. If a separate wire or cord is provided by the manufacturer to connect the external power supply to an end-use product, use this wire or cord and perform tests at the end of the cord that connects to an end-use product. An external power supply that is not supplied with a wire or cord must be tested with a wire or an output cord recommended by the manufacturer. If the external power supply is not supplied with a wire or cord and for which the manufacturer does not recommend one, the EPS must be tested with a 3-foot-long output wire or cord with a conductor thickness that is minimally sufficient to carry the maximum required current.

(1) If the connection to an end-use product is removable, there are two options for connecting metering equipment to the output connection of the external power supply:

(i) Cut the cord immediately adjacent to the output connector, or

(ii) Attach leads and measure the efficiency from the output connector itself.

(2) If the connection to an end-use product is not removable, cut the cord immediately adjacent to the powered product and connect metering equipment at that point.

(h) Conduct the tests on the sets of output wires that constitute the output busses. If the product has more than two output wires, including those wires that are necessary for controlling the product, the manufacturer must supply a connection diagram or test fixture that will allow the testing laboratory to put the UUT into active mode. Figure 1 of this section provides one illustration of how to set up a single-voltage external power supply for testing; however, the actual test setup may vary pursuant to the type of external power supply being tested and the requirements of this appendix.

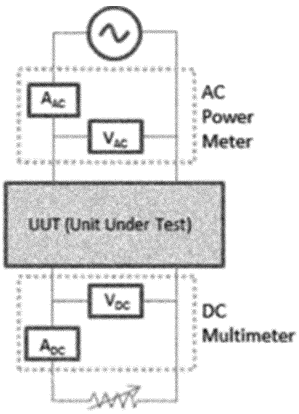


Figure 1. Example Connection Diagram for Single-Voltage External Power Supply Efficiency Measurements

(i) Except as provided in section 4(j) of this appendix, external power supplies must be tested in their final, completed configuration in order to represent their measured efficiency on product labels or specification sheets. Although the same procedure may be used to test the efficiency of a bare circuit board power supply prior to its incorporation into a finished housing and the attachment of its DC output cord, the efficiency of the bare circuit board power supply may not be used to characterize the efficiency of the final product (once enclosed in a case and fitted with a DC output cord). For example, a power supply manufacturer or component manufacturer may wish to assess the efficiency of a design that it intends to provide to an OEM for incorporation into a finished external power supply, but these results may not be used to represent the efficiency of the finished external power supply.

(j) If a product serves one or more other major functions in addition to converting household electric current into DC current or lower-voltage AC current, components of the product that serve other functions may be disconnected before testing so that test measurements do not include power used by other functions and as long as disconnecting such components do not affect the ability of the product to convert household electric current into DC current or lower-voltage AC current. For example, consider an EPS that also acts as a surge protector that offers outlets supplying AC household electric current and one or more USB outputs supplying DC current. If power is provided to the AC outlets through a surge protection circuit, but power to the USB outlet(s) is not, then the surge protection circuit may be disconnected from AC power during testing. Similarly, if a lighted manual on-off switch disconnects power only to the AC outlets, but not the USB outputs, then the manual on-off switch may be turned off and power to the light disconnected during testing. If a disconnection is performed by a technician, the disconnection must be able to be replicated by a third-party test facility.

5. Test Measurement for all External Power Supplies Other than Adaptive External Power Supplies:

(a) Single-Voltage External Power Supply

(1) Standby Mode and Active-Mode Measurement.

(i) Place in the ''on'' position any built-in switch in the UUT controlling power flow to the AC input and note the existence of such a switch in the final test report.

(ii) Operate the UUT at 100 percent of nameplate output current for at least 30 minutes immediately prior to conducting efficiency measurements. After this warm-up period, monitor AC input power for a period of 5 minutes to assess the stability of the UUT. If the power level does not drift by more than 5 percent from the maximum value observed, the UUT is considered stable. If the UUT is stable, record the measurements obtained at the end of this 5-minute period. Measure subsequent loading conditions under the same 5-minute stability parameters. Note that only one warm-up period of 30 minutes is required for each UUT at the beginning of the test procedure. If the AC input power is not stable over a 5-minute period, follow the guidelines established by Section 5.3.3 of IEC 62301 for measuring average power or accumulated energy over time for both input and output.

(iii) Test the UUT at the nameplate output voltage(s) at the loading conditions listed in Table 1, derated per the proportional allocation method presented in section 5(a)(1)(iv) of this appendix. Conduct efficiency measurements in sequence from Loading Condition 1 to Loading Condition 4 as indicated in Table 1 of this section. For Loading Condition 5, place the UUT in no-load mode, disconnect any additional signal connections to the UUT, and measure input power.

TABLE 1—LOADING CONDITIONS FOR UNIT UNDER TEST

Loading Condition 1	100% of Derated Nameplate Output Current ±2%.
Loading Condition 2	75% of Derated Nameplate Output Current ±2%.
Loading Condition 3	50% of Derated Nameplate Output Current ±2%.
Loading Condition 4	25% of Derated Nameplate Output Current ±2%.
Loading Condition 5	0%.

Note: The 2 percent allowance pertains to nameplate output current, not the calculated current value. For example, a UUT at Loading Condition 3 may be tested in a range from 48 percent to 52 percent of the derated output current.

(A) If testing of additional, optional loading conditions is desired, conduct that testing in accordance with this test procedure and subsequent to completing the sequence described in section 5(a)(1)(iii) of this appendix.

(B) Where the external power supply lists both an instantaneous and continuous output current, test the external power supply at the continuous condition only.

(C) If an external power supply cannot sustain output at one or more of the Loading Conditions 1–4 as specified in Table 1 of this section, test the external power supply only at the loading conditions for which it can sustain output.

(iv) Use the following proportional allocation method to provide consistent loading conditions for single-voltage external power supplies with multiple-output busses. For additional explanation (provided for guidance only), please refer to section 6.1.1 of the California Energy Commission's ''Generalized Test Protocol for Calculating the Energy Efficiency of Internal Ac-Dc Power Supplies Revision 6.7,'' March 2014.

(A) Consider a power supply with N output busses, each with the same nameplate output voltages V_1, * * *, V_N, corresponding output current ratings I_1, * * *, I_N, and a nameplate output power P. Calculate the derating factor D by dividing the power supply maximum output power P by the sum of the maximum output powers of the individual output busses, equal to the product of port nameplate output voltage and current I_iV_i, as follows:

$$D = \frac{P}{\sum_{i=1}^{N} V_i I_i},$$

(B) If D ≥1, then loading every port to its nameplate output current does not exceed the overall maximum output power for the power supply. In this case, load each output bus to the percentages of its nameplate output current listed in Table 1 of this section. However, if D <1, it is an indication that loading each port to its nameplate output current will exceed the overall maximum output power for the power supply. In this case, and at each loading condition, load each output bus to the appropriate percentage of its nameplate output current as listed in Table 1, multiplied by the derating factor D.

(v) Test switch-selectable single-voltage external power supplies twice—once at the highest nameplate output voltage and once at the lowest.

(vi) Efficiency calculation. Calculate and record efficiency at each loading point by dividing the UUT's measured active output power at a given loading condition by the active AC input power measured at that loading condition.

(A) Calculate and record average efficiency of the UUT as the arithmetic mean of the efficiency values calculated at Loading Conditions 1, 2, 3, and 4 in Table 1 of this section.

(B) If, when tested, a UUT cannot sustain output current at one or more of the loading conditions as specified in Table 1, the average active-mode efficiency is calculated as the average of the loading conditions for which it can sustain output.

(C) If the UUT can only sustain one output current at any of the output busses, test it at the loading condition that allows for the maximum output power on that bus (*i.e.,* the highest output current possible at the highest output voltage on that bus).

(vii) Power consumption calculation. The power consumption of Loading Condition 5 (no-load) is equal to the active AC input power (W) at that loading condition.

(viii) Off-Mode Measurement. If the UUT incorporates manual on-off switches, place the UUT in off-mode, and measure and record its power consumption at Loading Condition 5 in Table 1 of this section. The measurement of the off-mode energy consumption must conform to the requirements specified in section 5(a)(1) of this appendix, except that all manual on-off switches must be placed in the ''off'' position for the off-mode measurement. The UUT is considered stable if, over 5 minutes with samples taken at least once every second, the AC input power does not drift from the maximum value observed by more than 1 percent or 50 milliwatts, whichever is greater. Measure the off-mode power consumption of a switch-selectable single-voltage external power supply twice—once at the highest nameplate output voltage and once at the lowest.

(b) Multiple-Voltage External Power Supply.

(1) Standby-Mode and Active-Mode Measurement.

(i) Place in the ''on'' position any built-in switch in the UUT controlling power flow to the AC input and note the existence of such a switch in the final test report.

(ii) Operate the UUT at 100 percent of nameplate output current for at least 30 minutes immediately prior to conducting efficiency measurements. After this warm-up period, monitor AC input power for a period of 5 minutes to assess the stability of the UUT. If the power level does not drift by more than 1 percent from the maximum value observed, the UUT is considered stable. If the UUT is stable, record the measurements obtained at the end of this 5-minute period. Measure subsequent loading conditions under the same 5-minute stability parameters. Note that only one warm-up period of 30 minutes is required for each UUT at the beginning of the test procedure. If the AC input power is not stable over a 5-minute period, follow the guidelines established by Section 5.3.3 of IEC 62301 for measuring average power or accumulated energy over time for both input and output.

(iii) Test the UUT at the nameplate output voltage(s) at the loading conditions listed in Table 2 of this section, derated per the proportional allocation method presented in section 5(b)(1)(iv) of this appendix. Active or passive loads used for efficiency testing of the UUT must maintain the required current loading set point for each output voltage within an accuracy of ±0.5 percent. Conduct efficiency measurements in sequence from Loading Condition 1 to Loading Condition 4 as indicated in Table 2 of this section. For Loading Condition 5, place the UUT in no-load mode, disconnect any additional signal connections to the UUT, and measure input power.

TABLE 2—LOADING CONDITIONS FOR UNIT UNDER TEST

Loading Condition 1	100% of Derated Nameplate Output Current ±2%.
Loading Condition 2	75% of Derated Nameplate Output Current ±2%.
Loading Condition 3	50% of Derated Nameplate Output Current ±2%.
Loading Condition 4	25% of Derated Nameplate Output Current ±2%.
Loading Condition 5	0%.

Note: The 2 percent allowance pertains to nameplate output current, not the calculated current value. For example, a UUT at Loading Condition 3 may be tested in a range from 48 percent to 52 percent of the derated output current.

(A) If testing of additional, optional loading conditions is desired, conduct that testing in accordance with this test procedure and subsequent to completing the sequence described in section 5(b)(1)(iii) of this appendix.

(B) Where the external power supply lists both an instantaneous and continuous output current, test the external power supply at the continuous condition only.

(C) If an external power supply cannot sustain output at one or more of the Loading Conditions 1–4 as specified in Table 2 of this section, test the external power supply only at the loading conditions for which it can sustain output.

(iv) Use the following proportional allocation method to provide consistent loading conditions for multiple-voltage external power supplies. For additional explanation (provided for guidance only), please refer to section 6.1.1 of the California Energy Commission's ''Proposed Test Protocol for Calculating the Energy Efficiency of Internal Ac-Dc Power Supplies Revision 6.7,'' March 2014.

(A) Consider a power supply with N output busses, and nameplate output voltages V_1, * * *, V_N, corresponding output current ratings I_1, * * *, I_N, and a maximum output power P as specified on the manufacturer's label on the power supply housing, or, if absent from the housing, as specified in the documentation provided with the unit by the manufacturer. Calculate the derating factor D by dividing the power supply maximum output power P by the sum of the maximum output powers of the individual output busses, equal to the product of bus nameplate output voltage and current I_iV_i, as follows:

$$D = \frac{P}{\sum_{i=1}^{N} V_i I_i},$$

(B) If D ≥1, then loading every bus to its nameplate output current does not exceed the overall maximum output power for the power supply. In this case, load each output bus to the percentages of its nameplate output current listed in Table 2 of this section. However, if D <1, it is an indication that loading each bus to its nameplate output current will exceed the overall maximum output power for the power supply. In this case, and at each loading condition, load each output bus to the appropriate percentage of its nameplate output current listed in Table 2 of this section, multiplied by the derating factor D.

(v) Minimum output current requirements. Depending on their application, some multiple-voltage power supplies may require a minimum output current for each output bus of the power supply for correct operation. In these cases, ensure that the load current for each output at Loading Condition 4 in Table 2 is greater than the minimum output current requirement. Thus, if the test method's calculated load current for a given voltage bus is smaller than the minimum output current requirement, the minimum output current must be used to load the bus. This load current shall be properly recorded in any test report.

(vi) Efficiency calculation. Calculate and record efficiency at each loading point by dividing the UUT's measured active output power at a given loading condition by the active AC input power measured at that loading condition.

(A) Calculate and record average efficiency of the UUT as the arithmetic mean of the efficiency values calculated at Loading Conditions 1, 2, 3, and 4, in Table 2 of this section.

(B) If, when tested, a UUT cannot sustain output current at one or more of the loading conditions as specified in Table 2 of this section, the average active mode efficiency is calculated as the average of the loading conditions for which it can sustain output.

(C) If the UUT can only sustain one output current at any of the output busses, test it at the loading condition that allows for the maximum output power on that bus (*i.e.*, the highest output current possible at the highest output voltage on that bus).

(vii) Power consumption calculation. The power consumption of Loading Condition 5 (no-load) is equal to the active AC input power (W) at that loading condition.

(2) Off-mode Measurement—If the UUT incorporates manual on-off switches, place the UUT in off-mode and measure and record its power consumption at Loading Condition 5 in Table 2 of this section. The measurement of the off-mode energy consumption must conform to the requirements specified in section (5)(b)(1) of this appendix, except that all manual on-off switches must be placed in the ''off'' position for the off-mode measurement. The UUT is considered stable if, over 5 minutes with samples taken at least once every second, the AC input power does not drift from the maximum value observed by more than 1 percent or 50 milliwatts, whichever is greater.

6. Test Measurement for Adaptive External Power Supplies:

(a) Single-Voltage Adaptive External Power Supply.

(1) Standby Mode and Active-Mode Measurement.

(i) Place in the ''on'' position any built-in switch in the UUT controlling power flow to the AC input and note the existence of such a switch in the final test report.

(ii) Operate the UUT at 100 percent of nameplate output current for at least 30 minutes immediately prior to conducting efficiency measurements. After this warm-up period, monitor AC input power for a period of 5 minutes to assess the stability of the UUT. If the power level does not drift by more than 5 percent from the maximum value observed, the UUT is considered stable. If the UUT is stable, record the measurements obtained at the end of this 5-minute period. Measure subsequent loading conditions under the same 5-minute stability parameters. Note that only one warm-up period of 30 minutes is required for each UUT at the beginning of the test procedure. If the AC input power is not stable over a 5-minute period, follow the guidelines established by Section 5.3.3 of IEC 62301 for measuring average power or accumulated energy over time for both input and output.

(iii) Test the UUT at the nameplate output voltage(s) at the loading conditions listed in Table 3 of this section, derated per the proportional allocation method presented in section 6(a)(1)(iv) of this appendix. Adaptive external power supplies must be tested twice—once at the highest nameplate output voltage and once at the lowest nameplate output voltage as described in the following sections.

(A) At the highest nameplate output voltage, test adaptive external power supplies in sequence from Loading Condition 1 to Loading Condition 4, as indicated in Table 3 of this section. For Loading Condition 5, place the UUT in no-load mode, disconnect any additional signal connections, and measure the input power.

(B) At the lowest nameplate output voltage, with the exception of USB–PD EPSs, test all adaptive external power supplies in sequence from Loading Condition 1 to Loading Condition 4, as indicated in Table 3 of this section. For USB–PD adaptive external power supplies, at the lowest nameplate output voltage, test the external power supply such that for Loading Conditions 1, 2, 3, and 4, all adaptive ports are loaded to 2 amperes, 1.5 amperes, 1 ampere, and 0.5 amperes, respectively. All non-adaptive ports will continue to be loaded as indicated in Table 3 of this section. For Loading Condition 5, test all adaptive external power supplies by placing the UUT in no-load mode, disconnecting any additional signal connections, and measuring the input power.

TABLE 3—LOADING CONDITIONS FOR A SINGLE-VOLTAGE ADAPTIVE EXTERNAL POWER SUPPLY

Loading Condition 1	100% of Derated Nameplate Output Current ±2%.
Loading Condition 2	75% of Derated Nameplate Output Current ±2%.
Loading Condition 3	50% of Derated Nameplate Output Current ±2%.
Loading Condition 4	25% of Derated Nameplate Output Current ±2%.
Loading Condition 5	0%.

Note: The 2 percent allowance pertains to nameplate output current, not the calculated current value. For example, a UUT at Loading Condition 3 may be tested in a range from 48 percent to 52 percent of the derated output current.

(C) If testing of additional, optional loading conditions is desired, conduct that testing in accordance with this test procedure and subsequent to completing the sequence described in section 6(a)(1)(iii) of this appendix.

(D) Where the external power supply lists both an instantaneous and continuous output current, test the external power supply at the continuous condition only.

(E) If an external power supply cannot sustain output at one or more of the Loading Conditions 1–4 as specified in Table 3 of this section, test the external power supply only at the loading conditions for which it can sustain output.

(iv) Use the following proportional allocation method to provide consistent loading conditions for single-voltage adaptive external power supplies with multiple-output busses. For additional explanation, please refer to section 6.1.1 of the California Energy Commission's ''Proposed Test Protocol for Calculating the Energy Efficiency of Internal Ac-Dc Power Supplies Revision 6.7,'' March 2014.

(A) Consider a power supply with N output busses, each with the same nameplate output voltages V_1, * * *, V_N, corresponding output current ratings I_1, * * *, I_N, and a maximum output power P as specified on the manufacturer's label on the power supply housing, or, if absent from the housing, as specified in the documentation provided with the unit by the manufacturer. Calculate the derating

factor D by dividing the power supply maximum output power P by the sum of the maximum output powers of the individual output busses, equal to the product of port nameplate output voltage and current I_iV_i, as follows:

$$D = \frac{P}{\sum_{i=1}^{N} V_i I_i},$$

For USB–PD adaptive external power supplies, at the lowest nameplate output voltage, limit the contribution from each port to 10W when calculating the derating factor.

(B) If D ≥1, then loading every port to its nameplate output current does not exceed the overall maximum output power for the power supply. In this case, load each output bus to the percentages of its nameplate output current listed in Table 3 of this section. However, if D <1, it is an indication that loading each port to its nameplate output current will exceed the overall maximum output power for the power supply. In this case, and at each loading condition, each output bus will be loaded to the appropriate percentage of its nameplate output current listed in Table 3 of this section, multiplied by the derating factor D.

(v) Efficiency calculation. Calculate and record the efficiency at each loading point by dividing the UUT's measured active output power at that loading condition by the active AC input power measured at that loading condition.

(A) Calculate and record average efficiency of the UUT as the arithmetic mean of the efficiency values calculated at Loading Conditions 1, 2, 3, and 4 in Table 3 of this section.

(B) If, when tested, a UUT cannot sustain the output current at one or more of the loading conditions as specified in Table 3 of this section, the average active-mode efficiency is calculated as the average of the loading conditions for which it can sustain output.

(C) If the UUT can only sustain one output current at any of the output busses, test it at the loading condition that allows for the maximum output power on that bus (*i.e.,* the highest output current possible at the highest output voltage on that bus).

(vi) Power consumption calculation. The power consumption of Loading Condition 5 (no-load) is equal to the active AC input power (W) at that loading condition.

(2) Off-Mode Measurement—If the UUT incorporates manual on-off switches, place the UUT in off-mode and measure and record its power consumption at Loading Condition 5 in Table 3 of this section. The measurement of the off-mode energy consumption must conform to the requirements specified in section 6(a)(1) of this appendix, except that all manual on-off switches must be placed in the ''off'' position for the off-mode measurement. The UUT is considered stable if, over 5 minutes with samples taken at least once every second, the AC input power does not drift from the maximum value observed by more than 1 percent or 50 milliwatts, whichever is greater. Measure the off-mode power consumption of a single-voltage adaptive external power supply twice—once at the highest nameplate output voltage and once at the lowest.

(b) Multiple-Voltage Adaptive External Power Supply.

(1) Standby Mode and Active-Mode Measurement.

(i) Place in the ''on'' position any built-in switch in the UUT controlling power flow to the AC input and note the existence of such a switch in the final test report.

(ii) Operate the UUT at 100 percent of nameplate output current for at least 30 minutes immediately prior to conducting efficiency measurements. After this warm-up period, monitor AC input power for a period of 5 minutes to assess the stability of the UUT. If the power level does not drift by more than 1 percent from the maximum value observed, the UUT is considered stable. If the UUT is stable, record the measurements obtained at the end of this 5-minute period. Measure subsequent loading conditions under the same 5-minute stability parameters. Note that only one warm-up period of 30 minutes is required for each UUT at the beginning of the test procedure. If the AC input power is not stable over a 5-minute period, follow the guidelines established by Section 5.3.3 of IEC 62301 for measuring average power or accumulated energy over time for both input and output.

(iii) Test the UUT at the nameplate output voltage(s) at the loading conditions listed in Table 4 of this section, derated per the proportional allocation method presented in section 6(b)(1)(iv) of this appendix. Active or passive loads used for efficiency testing of the UUT must maintain the required current loading set point for each output voltage within an accuracy of ±0.5 percent. Adaptive external power supplies must be tested twice—once at the highest nameplate output voltage and once at the lowest nameplate output voltage as described in the following sections.

(A) At the highest nameplate output voltage, test adaptive external power supplies in sequence from Loading Condition 1 to Loading Condition 4, as indicated in Table 4 of this section. For Loading Condition 5, place the UUT in no-load mode, disconnect any additional signal connections, and measure the input power.

(B) At the lowest nameplate output voltage, with the exception of USB–PD EPSs, test all other adaptive external power supplies, in sequence from Loading Condition 1 to Loading Condition 4, as indicated in Table 4 of this section. For USB–PD adaptive external power supplies, at the lowest nameplate output voltage, test the external power supply such that for Loading Conditions 1, 2, 3, and 4, all adaptive ports are loaded to 2 amperes, 1.5 amperes, 1 ampere, and 0.5 amperes, respectively. All non-adaptive ports will continue to be loaded as indicated in Table 4 of this section. For Loading Condition 5, test all adaptive external power supplies by placing the UUT in no-load mode, disconnecting any additional signal connections, and measuring the input power.

TABLE 4—LOADING CONDITIONS FOR A MULTIPLE-VOLTAGE ADAPTIVE EXTERNAL POWER SUPPLY

Loading Condition 1	100% of Derated Nameplate Output Current ±2%.
Loading Condition 2	75% of Derated Nameplate Output Current ±2%.
Loading Condition 3	50% of Derated Nameplate Output Current ±2%.
Loading Condition 4	25% of Derated Nameplate Output Current ±2%.
Loading Condition 5	0%.

Note: The 2 percent allowance pertains to nameplate output current, not the calculated current value. For example, a UUT at Loading Condition 3 may be tested in a range from 48 percent to 52 percent of the derated output current.

(C) If testing of additional, optional loading conditions is desired, conduct that testing in accordance with this test procedure and subsequent to completing the sequence described in section 6(b)(1)(iii) of this appendix.

(D) Where the external power supply lists both an instantaneous and continuous output current, test the external power supply at the continuous condition only.

(E) If an adaptive external power supply is operating as a multiple-voltage external power supply at only the highest nameplate output voltage or lowest nameplate output voltage, test this external power supply as a multiple-voltage adaptive external power supply at both the highest nameplate output voltage and the lowest nameplate output voltage.

(F) If an external power supply has both adaptive and non-adaptive ports, and these ports operate simultaneously at multiple voltages, ensure that testing is performed with all ports active at both the highest and lowest nameplate output voltage. For example, if an external power supply has a USB–PD adaptive output bus that operates at 5 volts and 20 volts and a second non-adaptive output bus that operates at 9 volts, test this EPS at the highest nameplate output voltage with both the adaptive and non-adaptive ports respectively loaded at 20 volts and 9 volts; likewise, test it at the lowest nameplate output voltage with both the adaptive and non-adaptive ports respectively loaded at 5 volts and 9 volts.

(G) If an external power supply cannot sustain output at one or more of the Loading Conditions 1–4 as specified in Table 4 of this section, test the external power supply only at the loading conditions for which it can sustain output.

(iv) Use the following proportional allocation method to provide consistent loading conditions for multiple-voltage adaptive external power supplies. For additional explanation, please refer to section 6.1.1 of the California Energy Commission's ''Proposed Test Protocol for Calculating the Energy Efficiency of Internal Ac-Dc Power Supplies Revision 6.7,'' March 2014.

(A) Consider a multiple-voltage power supply with N output busses, and nameplate output voltages V_1, * * *, V_N, corresponding output current ratings I_1, * * *, I_N, and a maximum output power P as specified on the manufacturer's label on the power supply housing, or, if absent from the housing, as specified in the documentation provided with the unit by the manufacturer. Calculate the derating factor D by dividing the power supply maximum output power P by the sum of the maximum output powers of the individual output busses, equal to the product of bus nameplate output voltage and current I_iV_i, as follows:

$$D = \frac{P}{\sum_{i=1}^{N} V_i I_i},$$

For USB–PD adaptive external power supplies, at the lowest nameplate output voltage, limit the contribution from each port to 10W when calculating the derating factor.

(B) If D ≥1, then loading every bus to its nameplate output current does not exceed the overall maximum output power for the power supply. In this case, load each output bus to the percentages of its nameplate output current listed in Table 4 of this section. However, if D <1, it is an indication that loading each bus to its nameplate output current will exceed the overall maximum output power for the power supply. In this case, at each loading condition, load each output bus to the appropriate percentage of its nameplate output current listed in Table 4 of this section, multiplied by the derating factor D.

(v) Minimum output current requirements. Depending on their application, some multiple-voltage adaptive external power supplies may require a minimum output current for each output bus of the power supply for correct operation. In these cases, ensure that the load current for each output at Loading Condition 4 in Table 4 of this section is greater than the minimum output current requirement. Thus, if the test method's calculated load current for a given voltage bus is smaller than the minimum output current requirement, use the minimum output current to load the bus. Record this load current in any test report.

(vi) Efficiency calculation. Calculate and record the efficiency at each loading point by dividing the UUT's measured active output power at that loading condition by the active AC input power measured at that loading condition.

(A) Calculate and record average efficiency of the UUT as the arithmetic mean of the efficiency values calculated at Loading Conditions 1, 2, 3, and 4 in Table 4 of this section.

(B) If, when tested, a UUT cannot sustain the output current at one or more of the loading conditions as specified in Table 4, the average active-mode efficiency is calculated as the average of the loading conditions for which it can sustain output.

(C) If the UUT can only sustain one output current at any of the output busses, test it at the loading condition that allows for the maximum output power on that bus (*i.e.,* the highest output current possible at the highest output voltage on that bus).

(vii) Power consumption calculation. The power consumption of Loading Condition 5 (no-load) is equal to the active AC input power at that loading condition.

(2) Off-mode Measurement—If the UUT incorporates manual on-off switches, place the UUT in off-mode, and measure and record its power consumption at Loading Condition 5 in Table 4 of this section. The measurement of the off-mode energy consumption must conform to the requirements specified in section (6)(b)(1) of this appendix, except that all manual on-off switches must be placed in the ''off'' position for the off-mode measurement. The UUT is considered stable if, over 5 minutes with samples taken at least once every second, the AC input power does not drift from the maximum value observed by more than 1 percent or 50 milliwatts, whichever is greater. Measure the off-mode power consumption of a multiple-voltage adaptive external power supply twice—once at the highest nameplate output voltage and once at the lowest.

[87 FR 51221, Aug. 19, 2022]

APPENDIX AA TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF FURNACE FANS

NOTE: Prior to October 9, 2024, any representations with respect to energy use or efficiency of furnace fans must be made either in accordance with the results of testing pursuant to this appendix or with the results of testing pursuant to this appendix as it appeared in the 10 CFR parts 200–499 edition revised as of January 1, 2023. On or after October 9, 2024, any representations, including certifications of compliance, made with respect to the energy use or efficiency of furnace fans must be made in accordance with the results of testing pursuant to this appendix.

0. *Incorporation by Reference*

DOE incorporated by reference in §430.3, the entire standard for ASHRAE 37–2009 (RA 2019), as corrected by the ASHRAE 37–2009 Errata Sheet; ASHRAE 41.1–1986; as well as Chapter 1 of the 2021 ASHRAE Handbook and ASHRAE 103–2017. In cases where there is a conflict, the language of the test procedure in this appendix takes precedence over the incorporated standards.

1. Scope. This appendix covers the test requirements used to measure the energy consumption of fans used in weatherized and non-weatherized gas furnaces, oil furnaces, electric furnaces, and modular blowers. This appendix does not apply to furnace fans used in dual-fuel units.

2. *Definitions.* Definitions include the definitions as specified in section 3 of ASHRAE 103–2017 and the following additional definitions, some of which supersede definitions found in ASHRAE 103–2017:

2.1. *Active mode* means the condition in which the product in which the furnace fan is integrated is connected to a power source and circulating air through ductwork.

2.2. *Airflow-control settings* are programmed or wired control system configurations that control a fan to achieve discrete, differing ranges of airflow—often designated for performing a specific function (*e.g.*, cooling, heating, or constant circulation)—without manual adjustment other than interaction with a user-operable control such as a thermostat that meets the manufacturer specifications for installed-use. For the purposes of this appendix, manufacturer specifications for installed-use shall be found in the product literature shipped with the unit.

2.3. *Dual-fuel unit* means a consumer product that includes both a heat pump and a burner in a single cabinet.

2.4. *External static pressure* (ESP) means the difference between static pressures measured in the outlet duct and return air opening (or return air duct when used for testing) of the product in which the furnace fan is integrated.

2.5. *Furnace fan* means an electrically-powered device used in a consumer product for the purpose of circulating air through ductwork.

2.6. *Modular blower* means a product which only uses single-phase electric current, and which:

(a) Is designed to be the principal air circulation source for the living space of a residence;

(b) Is not contained within the same cabinet as a furnace or central air conditioner; and

(c) Is designed to be paired with HVAC products that have a heat input rate of less than 225,000 Btu per hour and cooling capacity less than 65,000 Btu per hour.

2.7. *Off mode* means the condition in which the product in which the furnace fan is integrated either is not connected to the power source or is connected to the power source but not energized.

2.8. *Seasonal off switch* means a switch on the product in which the furnace fan is integrated that, when activated, results in a measurable change in energy consumption between the standby and off modes.

2.9. *Specified airflow-control settings* are the airflow-control settings specified for installed-use by the manufacturer. For the purposes of this appendix, manufacturer specifications for installed-use are those specifications provided for typical consumer installations in the product literature shipped with the product in which the furnace fan is installed. In instances where a manufacturer specifies multiple airflow-control settings for a given function to account for varying installation scenarios, the highest airflow-control setting specified for the given function shall be used for the procedures specified in this appendix, unless otherwise specified within this test procedure.

2.10. *Standby mode* means the condition in which the product in which the furnace fan is integrated is connected to the power source and energized, but the furnace fan is not circulating air.

2.11. *Thermal stack damper* means a type of stack damper that opens only during the direct conversion of thermal energy of the stack gases.

3. *Classifications.* Classifications are as specified in section 4 of ASHRAE 103–2017.

4. *Requirements.* Requirements are as specified in section 5 of ASHRAE 103–2017. In addition, Fan Energy Rating (FER) of furnace fans shall be determined using test data and estimated national average operating hours pursuant to section 10.1 of this appendix.

5. *Instruments.* Instruments must be as specified in section 6, not including section 6.2, of ASHRAE 103–2017; and as specified in sections 5.1 and 5.2 of this appendix.

5.1. *Temperature.* Temperature measuring instruments shall meet the provisions specified in section 5.1 of ASHRAE 37–2009 (RA 2019) (as corrected by the ASHRAE 37–2009 Errata Sheet), including the references to ASHRAE 41.1–1986, and shall be accurate to within 0.75 degrees Fahrenheit (within 0.4 degrees Celsius).

5.1.1. *Outlet Air Temperature Thermocouple Grid.* Outlet air temperature shall be measured as described in section 8.2.1.5.5 of ASHRAE 103–2017 and illustrated in Figure 2 of ASHRAE 103–2017. Thermocouples shall be placed downstream of pressure taps used for external static pressure measurement.

5.2. *Humidity.* Air humidity shall be measured with a relative humidity sensor that is accurate to within 5% relative humidity. Air humidity shall be measured as close as possible to the inlet of the product in which the furnace fan is installed.

6. *Apparatus.* The apparatus used in conjunction with the furnace during the testing shall be as specified in section 7 of ASHRAE 103–2017 except for section 7.1, the second paragraph of sections 7.2.2.2, 7.2.2.5, and 7.7, and as specified in sections 6.1, 6.2, 6.3, 6.4, 6.5, and 6.6 of this appendix.

6.1. *General.* The product in which the furnace fan is integrated shall be installed in the test room in accordance with the product manufacturer's written instructions that are shipped with the product unless required otherwise by a specific provision of this appendix. The apparatus described in this section is used in conjunction with the product in which the furnace fan is integrated. Each piece of the apparatus shall conform to material and construction specifications and

the reference standard cited. Test rooms containing equipment shall have suitable facilities for providing the utilities necessary for performance of the test and be able to maintain conditions within the limits specified.

6.2. *Downflow furnaces.* Install the internal section of vent pipe the same size as the flue collar for connecting the flue collar to the top of the unit, if not supplied by the manufacturer. Do not insulate the internal vent pipe during steady-state test described in section 9.1 of ASHRAE 103–2017. Do not insulate the internal vent pipe before the cooldown and heat-up tests described in sections 9.5 and 9.6, respectively, of ASHRAE 103–2017. If the vent pipe is surrounded by a metal jacket, do not insulate the metal jacket. Install a 5-ft test stack of the same cross-sectional area or perimeter as the vent pipe above the top of the furnace. Tape or seal around the junction connecting the vent pipe and the 5-ft test stack. Insulate the 5-ft test stack with insulation having a minimum R-value of 7 and an outer layer of aluminum foil. (*See* Figure 3–E of ASHRAE 103–2017.)

6.3. *Modular Blowers.* A modular blower shall be equipped with the electric heat resistance kit that is likely to have the largest volume of retail sales with that particular basic model of modular blower.

6.4. *Ducts and Plenums.* Ducts and plenums shall be built to the geometrical specifications in section 7 of ASHRAE 103–2017 and section 6.7 of this appendix. An apparatus for measuring external static pressure shall be integrated in the plenum and test duct as specified in sections 6.4 of ASHRAE 37–2009 (RA 2019) (as corrected by the ASHRAE 37–2009 Errata Sheet), excluding specifications regarding the minimum length of the ducting and minimum distance between the external static pressure taps and product inlet and outlet, and section 6.5 of ASHRAE 37–2009 (RA 2019) (as corrected by the ASHRAE 37–2009 Errata Sheet). External static pressure measuring instruments shall be placed between the furnace openings and any restrictions or elbows in the test plenums or ducts. For all test configurations, external static pressure taps shall be placed 18 inches from the outlet.

6.4.1. *For tests conducted using a return air duct.* Additional external static pressure taps shall be placed 12 inches from the product inlet. Pressure shall be directly measured as a differential pressure as depicted in Figure 8 of ASHRAE 37–2009 (RA 2019) rather than determined by separately measuring inlet and outlet static pressure and subtracting the results.

6.4.2. *For tests conducted without a return air duct.* External static pressure shall be directly measured as the differential pressure between the outlet duct static pressure and the ambient static pressure as depicted in Figure 7a of ASHRAE 37–2009 (RA 2019).

6.5. *Air Filters.* Air filters shall be removed.

6.6. *Electrical Measurement.* Only electrical input power to the furnace fan (and electric resistance heat kit for electric furnaces and modular blowers) shall be measured for the purposes of this appendix. Electrical input power to the furnace fan and electric resistance heat kit shall be sub-metered separately. Electrical input power to all other electricity-consuming components of the product in which the furnace fan is integrated shall not be included in the electrical input power measurements used in the FER calculation. If the procedures of this appendix are being conducted at the same time as another test that requires metering of components other than the furnace fan and electric resistance heat kit, the electrical input power to the furnace fan and electric resistance heat kit shall be sub-metered separately from one another and separately from other electrical input power measurements.

7. *Test Conditions.* The testing conditions shall be as specified in section 8, not including sections 8.5.2 and 8.6.1.1 of ASHRAE 103–2017; and as specified in sections 7.1 and 7.2 of this appendix.

7.1 *Ambient Temperature and Humidity Conditions.* During the time required to perform all tests, maintain the room temperature within ±5 °F (2.8 °C) of the air temperature value measured at the end of the steady-state performance test (T_{RA}). For condensing furnaces and boilers, maintain the relative humidity within ±5% of the relative humidity measured at the end of the steady-state performance test. During all tests, the room temperature shall not fall below 65 °F (18.3 °C) or exceed 85 °F (29.4 °C) and the relative humidity shall not fall below 20% or exceed 80%.

7.2. *Measurement of Jacket Surface Temperature (optional).* The jacket of the furnace or boiler shall be subdivided into 6-inch squares when practical, and otherwise into 36-square-inch regions comprising 4 in. x 9 in. or 3 in. x 12 in. sections, and the surface temperature at the center of each square or section shall be determined with a surface thermocouple. The 36-square-inch areas shall be recorded in groups where the temperature differential of the 36-square-inch area is less than 10 °F for temperature up to 100 °F above room temperature and less than 20 °F for temperature more than 100 °F above room temperature. For forced air central furnaces, the circulating air blower compartment is considered as part of the duct system and no surface temperature measurement of the blower compartment needs to be recorded for the purpose of this test. For downflow furnaces, measure all cabinet surface temperatures of the heat exchanger and combustion section, including the bottom around the outlet duct, and the burner door, using the 36 square-inch thermocouple grid. The cabinet surface temperatures around the blower section do not

need to be measured (*see* Figure 3–E of ASHRAE 103–2017.)

8. *Test Procedure.* Testing and measurements shall be as specified in section 9 of ASHRAE 103–2017 except for sections 9.1.2.1, 9.3, 9.5.1.1, 9.5.1.2.1, 9.5.1.2.2, 9.5.2.1, and section 9.7.1; and as specified in sections 8.1 through 8.6 of this appendix.

8.1. *Direct Measurement of Off-Cycle Losses Testing Method.* [Reserved]

8.2. *Measurement of Electrical Standby and Off Mode Power.* [Reserved]

8.3. *Steady-State Conditions for Hot Flow Tests for Gas and Oil Furnaces.* Steady-state conditions are indicated by an external static pressure within the range shown in table 1 to this appendix and a temperature variation in three successive readings, taken 15 minutes apart, of not more than any of the following:

(a) 3 °F in the stack gas temperature for furnaces equipped with draft diverters;

(b) 5 °F in the stack gas temperature for furnaces equipped with either draft hoods, direct exhaust, or direct vent systems; and

(c) 1 °F in the flue gas temperature for condensing furnaces.

8.4. *Steady-State Conditions for Hot Flow Tests for Electric Furnaces and Modular Blowers.* Steady-state conditions are indicated by an external static pressure within the range shown in table 1 to this appendix and a temperature variation of not more than 5 °F in the outlet air temperature in four successive temperature readings taken 15 minutes apart.

8.5. *Steady-State Conditions for Cold Flow Tests.* For tests during which the burner or electric heating elements are turned off (*i.e.*, cold flow tests), steady-state conditions are indicated by an external static pressure within the range shown in table 1 to this appendix and a variation in the difference between outlet temperature and ambient temperature of not more than 3 °F in three successive temperature readings taken 15 minutes apart.

8.6. *Fan Energy Rating (FER) Test.*

8.6.1. *Initial FER test conditions and maximum airflow-control setting measurements.* Measure the relative humidity (φ) and dry bulb temperature (T_{db}) of the test room.

8.6.1.1. *Furnace fans for which the maximum airflow-control setting is not a specified heating airflow-control setting.* The main burner or electric heating elements shall be turned off. Adjust the external static pressure to within the range shown in table 1 to this appendix. Maintain these settings until steady-state conditions are attained as specified in sections 8.3, 8.4, and 8.5 of this appendix. Measure furnace fan electrical input power (E_{Max}), external static pressure (ESP_{Max}), and outlet air temperature ($T_{Max,Out}$). The measurement of E_{Max} shall be taken over the final 30 seconds of the steady-state period, at intervals of no less than 1 per second, and averaged over the 30 second period.

8.6.1.2. *Furnace fans for which the maximum airflow-control setting is a specified heating airflow-control setting.* Adjust the main burner or electric heating element controls to the default heat setting designated for the maximum airflow-control setting. Burner adjustments shall be made as specified by section 8.4.1 of ASHRAE 103–2017. Adjust the furnace fan controls to the maximum airflow-control setting. Adjust the external static to within the range shown in table 1 to this appendix. Maintain these settings until steady-state conditions are attained as specified in sections 8.3, 8.4, and 8.5 of this appendix and the temperature rise (ΔT_{Max}) is at least 18 °F. Measure furnace fan electrical input power (E_{Max}), fuel or electric resistance heat kit input energy ($Q_{IN,H}$), external static pressure (ESP_{Max}), steady-state efficiency for this setting ($Effy_{SS,Max}$) as specified in sections 11.2 and 11.3 of ASHRAE 103–2017, outlet air temperature ($T_{Max,Out}$), and temperature rise (ΔT_{Max}). The measurement of E_{Max} shall be taken over the final 30 seconds of the steady-state period, at intervals of no less than 1 per second, and averaged over the 30 second period.

TABLE 1—REQUIRED MINIMUM EXTERNAL STATIC PRESSURE IN THE MAXIMUM AIRFLOW-CONTROL SETTING BY INSTALLATION TYPE

Installation type	ESP (in. wc.)*
Units with an internal, factory-installed evaporator coil	0.50–0.55
Units designed to be paired with an evaporator coil, but without one installed	0.65–0.70
Mobile home	0.30–0.35

*Once the specified ESP has been achieved, the same outlet duct restrictions shall be used for the remainder of the furnace fan test. If the unit under test is unable to complete the testing (*i.e.,* the unit shuts down before completing a test), reduce the target ESP range by 0.05″ w.c. and restart the test. Repeat this process until the test can be completed.

8.6.2. *Constant circulation airflow-control setting measurements.* The main burner or electric heating elements shall be turned off. The furnace fan controls shall be adjusted to the specified constant circulation airflow-control setting. If the manufacturer does not specify a constant circulation airflow-control setting in the installation and operations manual supplied with the unit, the lowest airflow-control setting shall be used.

Maintain these settings until steady-state conditions are attained as specified in sections 8.3, 8.4, and 8.5 of this appendix. Measure furnace fan electrical input power (E_{Circ}) and external static pressure (ESP_{Circ}). The measurement of E_{Circ} shall be taken over the final 30 seconds of the steady-state period, at intervals of no less than 1 per second, and averaged over the 30 second period.

8.6.3. *Heating airflow-control setting measurements.* For single-stage gas and oil furnaces, the burner shall be fired at the maximum heat input rate. For single-stage electric furnaces, the electric heating elements shall be energized at the maximum heat input rate. For multi-stage and modulating furnaces, the reduced heat input rate settings shall be used. Burner adjustments shall be made as specified by section 8.4.1 of ASHRAE 103–2017. After the burner is activated and adjusted or the electric heating elements are energized, the furnace fan controls shall be adjusted to operate the fan in the specified heating airflow-control setting that also allows for operation within the manufacturer-specified temperature rise range. In instances where a manufacturer specifies multiple airflow-control settings for a given function to account for varying installation scenarios, the highest airflow-control setting specified for the given function that also allows for operation within the manufacturer-specified temperature rise range shall be used. High heat and reduced heat shall be considered different functions for multi-stage heating units. Maintain these settings until steady-state conditions are attained as specified in sections 8.3, 8.4, and 8.5 of this appendix and the temperature rise (ΔT_{Heat}) is at least 18 °F. Measure furnace fan electrical input power (E_{Heat}), fuel or electric resistance heat kit input energy ($Q_{IN,k}$)external static pressure (ESP_{Heat}), steady-state efficiency for this setting ($Effy_{SS}$) as specified in sections 11.2 and 11.3 of ASHRAE 103–2017, outlet air temperature ($T_{Heat,\ Out}$) and temperature rise (ΔT_{Heat}). The measurement of E_{Heat} shall be taken over the final 30 seconds of the steady-state period, at intervals of no less than 1 per second, and averaged over the 30 second period.

9. *Nomenclature.* Nomenclature shall include the nomenclature specified in section 10 of ASHRAE 103–2017 and the following additional variables:

60 = conversion factor from hours to minutes, (min/h)

0.24 = approximate specific heat capacity of dry air, (Btu/lb- °F)

0.44 = approximate specific heat capacity of saturated water vapor, (Btu/lb- °F)

$Effy_{SS,i}$ = Steady-State Efficiency in airflow-control setting *i*. For gas and oil furnaces $Effy_{SS,i}$ is specified in sections 11.2.7 (Non-Condensing and Modulating), 11.3.7.3 (Condensing and Non-modulating), 11.4.8.8 (Non-Condensing and Non-modulating), or 11.5 (Condensing and Modulating) of ASHRAE 103–2017, in %. For electric furnaces or modular blowers, $Effy_{SS,i}$ equals 100, in %.

L_J = jacket loss as determined as specified in section 8.6 of ASHRAE 103–2017 or a default value of 1% if the jacket loss test is not performed, in %

CCH = annual furnace fan constant-circulation hours

E_{Circ} = furnace fan electrical consumption at the specified constant-circulation airflow-control setting (or minimum airflow-control setting operating point if a default constant-circulation airflow-control setting is not specified), in watts

E_{Heat} = furnace fan electrical consumption in the specified heat airflow-control setting for single-stage heating products or the specified low-heat setting for multi-stage heating products, in watts

E_{Max} = furnace fan electrical consumption in the maximum airflow-control setting, in watts

ESP_i = external static pressure, in inches water column, at time of the electrical power measurement in airflow-control setting *i*, where *i* can be ''Circ'' to represent constant-circulation (or minimum airflow) mode, ''Heat'' to represent heating mode, or ''Max'' to represent cooling (or maximum airflow mode).

FER = fan energy rating, in watts/1000 cfm

HH = annual furnace fan heating operating hours

HCR = heating capacity ratio (nameplate reduced heat input capacity divided by nameplate maximum input heat capacity)

k_{ref} = physical descriptor characterizing the reference system

T_{db} = dry bulb temperature of the test room in, °F

$T_{i,k,in}$ = inlet air temperature at time of the electrical power measurement, in °F, in airflow-control setting *i* and heat setting *k*, where *i* can be ''Circ'' to represent constant-circulation (or minimum airflow) mode, ''Heat'' to represent heating mode, or ''Max'' to represent maximum airflow (typically designated for cooling) mode. If *i* = Heat, *k* can be ''H'' to represent high heat setting or ''R'' to represent the reduced heat setting. If *i* = Max or Circ, *k* is not needed.

$T_{i,k,out}$ = average outlet air temperature as measured by the outlet thermocouple grid at time of the electrical power measurement, in °F, in airflow-control setting *i* and heat setting *k*, where *i* can be ''Circ'' to represent constant-circulation (or minimum airflow) mode, ''Heat'' to represent heating mode, or ''Max'' to represent maximum airflow (typically designated for cooling) mode. If *i* = Heat, *k* can be ''H'' to represent high heat setting or ''R'' to represent the reduced heat

setting. If i = Max or Circ, k is not needed.

$\Delta T_{i,k}$ = $T_{i,k,Out}$ minus $T_{i,k,in}$, which is the air throughput temperature rise in setting i and heat setting k, in °F

Qi,k = airflow in airflow-control setting i and heat setting k, in cubic feet per minute (CFM)

MH = annual furnace fan maximum airflow hours

$Q_{IN,k}$ = nameplate fuel energy input rate, in Btu/h, at specified operating conditions k, based on the fuel's high heating value (''HHV'') determined as required in section 8.2.1.3 or 8.2.2.3 of ASHRAE 103–2017, where k can be ''H'' for the maximum heat setting or ''R'' for the reduced heat setting.

W = humidity ratio in pounds water vapor per pounds dry air

v_{air} = specific volume of dry air at specified operating conditions per the 2021 ASHRAE Handbook, in ft^3/lb

10. *Calculation of derived results from test measurements for a single unit.* Calculations shall be as specified in section 11 of ASHRAE 103–2017, except for appendices B and C; and as specified in sections 10.1 through 10.10 and Figure 1 of this appendix.

10.1. *Fan Energy Rating (FER)*

$$FER = \frac{(MH \times E_{Max}) + (HH \times E_{Heat}) + (CCH \times E_{circ})}{(MH + 830 + CCH) + Q_{Max}} \times 1000$$

Where: Q_{Max} = Q_{Heat} for products for which the maximum airflow-control setting is a specified heat setting, or

$$Q_{Max} = Q_{Heat}\sqrt{\frac{ESP_{Max}}{ESP_{Heat}} \times \frac{(T_{Heat,Out} + 460)}{(T_{Max,Out} + 460)}}$$

For products for which the maximum airflow control setting is only designated for cooling; and

$$Q_{i,k} = \frac{\left(Effy_{SS,i} - L_J\right) \times Q_{IN,k} + (3.413 \times E_k)}{60 \times (0.24 + 0.44 \times W) \times \left(\frac{1}{v_{air}}\right) \times \Delta T_{i,k}}$$

The estimated national average operating hours presented in table 2 to this appendix shall be used to calculate FER.

TABLE 2—ESTIMATED NATIONAL AVERAGE OPERATING HOUR VALUES FOR CALCULATING FER

Operating mode	Variable	Single-stage (hours)	Multi-stage or modulating (hours)
Heating	HH	830	830/HCR.
Maximum Airflow	MH	640	640.
Constant Circulation	CCH	400	400.

Where:

$$HCR = \frac{Q_{IN,R\ (nameplate)}}{Q_{IN,H\ (nameplate)}}$$

[89 FR 25801, Apr. 12, 2024]

APPENDIX BB TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE INPUT POWER, LUMEN OUTPUT, LAMP EFFICACY, CORRELATED COLOR TEMPERATURE (CCT), COLOR RENDERING INDEX (CRI), POWER FACTOR, TIME TO FAILURE, AND STANDBY MODE POWER OF INTEGRATED LIGHT-EMITTING DIODE (LED) LAMPS

NOTE: On or after March 20, 2019, any representations made with respect to the energy use or efficiency of integrated light-emitting diode lamps must be made in accordance with the results of testing pursuant to this appendix.

1. *Scope:* This appendix specifies the test methods required to measure input power, lumen output, lamp efficacy, CCT, CRI, power factor, time to failure, and standby mode power for integrated LED lamps.

2. Definitions

2.1. The definitions specified in section 1.3 of IES LM–79–08 except section 1.3(f) (incorporated by reference; see §430.3) apply.

2.2. *Initial lumen output* means the measured lumen output after the lamp is initially energized and stabilized using the stabilization procedures in section 3 of this appendix.

2.3. *Interval lumen output* means the measured lumen output at constant intervals after the initial lumen output measurement in accordance with section 4 of this appendix.

2.4. *Rated input voltage* means the voltage(s) marked on the lamp as the intended operating voltage. If not marked on the lamp, assume 120 V.

2.5. *Test duration* means the operating time of the LED lamp after the initial lumen output measurement and before, during, and including the final lumen output measurement, in units of hours.

2.6. *Time to failure* means the time elapsed between the initial lumen output measurement and the point at which the lamp reaches 70 percent lumen maintenance as measured in section 4 of this appendix.

3. Active Mode Test Method for Determining Lumen Output, Input Power, CCT, CRI, Power Factor, and Lamp Efficacy

In cases where there is a conflict, the language of the test procedure in this appendix takes precedence over IES LM–79–08 (incorporated by reference; see §430.3).

3.1. Test Conditions and Setup

3.1.1. Establish the ambient conditions, power supply, electrical settings, and instrumentation in accordance with the specifications in sections 2.0, 3.0, 7.0, and 8.0 of IES LM–79–08 (incorporated by reference; see §430.3), respectively.

3.1.2. Position an equal number of integrated LED lamps in the base-up and base-down orientations throughout testing; if the position is restricted by the manufacturer, test units in the manufacturer-specified position.

3.1.3. Operate the integrated LED lamp at the rated voltage throughout testing. For an integrated LED lamp with multiple rated voltages including 120 volts, operate the lamp at 120 volts. If an integrated LED lamp with multiple rated voltages is not rated for 120 volts, operate the lamp at the highest rated input voltage. Additional tests may be conducted at other rated voltages.

3.1.4. Operate the lamp at the maximum input power. If multiple modes occur at the same maximum input power (such as variable CCT or CRI), the manufacturer can select any of these modes for testing; however, all measurements described in sections 3 and 4 of this appendix must be taken at the same selected mode. The test report must indicate which mode was selected for testing and include detail such that another laboratory could operate the lamp in the same mode.

3.2. Test Method, Measurements, and Calculations

3.2.1. The test conditions and setup described in section 3.1 of this appendix apply to this section 3.2.

3.2.2. Stabilize the integrated LED lamp prior to measurement as specified in section 5.0 of IES LM–79–08 (incorporated by reference; see §430.3). Calculate the stabilization variation as [(maximum—minimum)/minimum] of at least three readings of the input power and lumen output over a period of 30 minutes, taken 15 minutes apart.

3.2.3. Measure the input power in watts as specified in section 8.0 of IES LM–79–08.

3.2.4. Measure the input voltage in volts as specified in section 8.0 of IES LM–79–08.

3.2.5. Measure the input current in amps as specified in section 8.0 of IES LM–79–08.

3.2.6. Measure lumen output as specified in section 9.1 and 9.2 of IES LM–79–08. Do not use goniophotometers.

3.2.7. Determine CCT according to the method specified in section 12.0 of IES LM–

79–08 with the exclusion of section 12.2 and 12.5 of IES LM–79–08. Do not use goniophotometers.

3.2.8. Determine CRI according to the method specified in section 12.0 of IES LM–79–08 with the exclusion of section 12.2 and 12.5 of IES LM–79–08. Do not use goniophotometers.

3.2.9. Determine lamp efficacy by dividing measured initial lumen output by the measured input power.

3.2.10. Determine power factor for AC-input lamps by dividing measured input power by the product of the measured input voltage and measured input current.

4. Active Mode Test Method to Measure Time to Failure

In cases where there is a conflict, the language of the test procedure in this appendix takes precedence over IES LM–84 (incorporated by reference; see §430.3) and IES TM–28 (incorporated by reference; see §430.3).

4.1. Lamp Handling, Tracking, and Time Recording

4.1.1. Handle, transport, and store the integrated LED lamp as described in section 7.2 of IES LM–84 (incorporated by reference; see §430.3).

4.1.2. Mark and track the integrated LED lamp as specified in section 7.3 of IES LM–84.

4.1.3. Measure elapsed operating time and calibrate all equipment as described in section 7.5 of IES LM–84.

4.1.4. Check the integrated LED lamps regularly for failure as specified in section 7.8 of IES LM–84.

4.2. *Measure Initial Lumen Output.* Measure the initial lumen output according to section 3 of this appendix.

4.3. *Test Duration.* Operate the integrated LED lamp for a period of time (the test duration) after the initial lumen output measurement and before, during, and including the final lumen output measurement.

4.3.1. There is no minimum test duration requirement for the integrated LED lamp. The test duration is selected by the manufacturer. See section 4.6 of this appendix for instruction on the maximum time to failure.

4.3.2. The test duration only includes time when the integrated LED lamp is energized and operating.

4.4. Operating Conditions and Setup Between Lumen Output Measurements

4.4.1. Electrical settings must be as described in section 5.1 of IES LM–84 (incorporated by reference; see §430.3).

4.4.2. LED lamps must be handled and cleaned as described in section 4.1 of IES LM–84.

4.4.3. Vibration around each lamp must be as described in section 4.3 of IES LM–84.

4.4.4. Ambient temperature conditions must be as described in section 4.4 of IES LM–84. Maintain the ambient temperature at 25 °C ± 5 °C or at a manufacturer-selected temperature higher than 25 °C with the same ±5 °C tolerance.

4.4.5. Humidity in the testing environment must be as described in section 4.5 of IES LM–84.

4.4.6. Air movement around each lamp must be as described in section 4.6 of IES LM–84.

4.4.7. Position a lamp in either the base-up and base-down orientation throughout testing. An equal number of lamps in the sample must be tested in the base-up and base-down orientations, except that, if the manufacturer restricts the position, test all of the units in the sample in the manufacturer-specified position.

4.4.8. Operate the lamp at the rated input voltage as described in section 3.1.3 of this appendix for the entire test duration.

4.4.9. Operate the lamp at the maximum input power as described in section 3.1.4 of this appendix for the entire test duration.

4.4.10. Line voltage waveshape must be as described in section 5.2 of IES LM–84.

4.4.11. Monitor and regulate rated input voltage as described in section 5.4 of IES LM–84.

4.4.12. Wiring of test racks must be as specified in section 5.5 of IES LM–84.

4.4.13. Operate the integrated LED lamp continuously.

4.5. Measure Interval Lumen Output. Measure interval lumen output according to section 3 of this appendix.

4.5.1. Record interval lumen output and elapsed operating time as described in section 4.2 of IES TM–28 (incorporated by reference; see §430.3).

4.5.1.1. For test duration values greater than or equal to 3,000 hours and less than 6,000 hours, measure lumen maintenance of the integrated LED lamp at an interval in accordance with section 4.2.2 of IES TM–28.

4.5.1.2. For test duration values greater than or equal to 6,000 hours, measure lumen maintenance at an interval in accordance with section 4.2.1 of IES TM–28.

4.6. Calculate Lumen Maintenance and Time to Failure

4.6.1. Calculate the lumen maintenance of the lamp at each interval by dividing the interval lumen output ''x_t'' by the initial lumen output ''x_0''. Measure initial and interval lumen output in accordance with sections 4.2 and 4.5 of this appendix, respectively.

4.6.2. For lumen maintenance values less than 0.7, including lamp failures that result in complete loss of light output, time to failure is equal to the previously recorded lumen

output measurement (at a shorter test duration) where the lumen maintenance is greater than or equal to 0.7.

4.6.3. For lumen maintenance values equal to 0.7, time to failure is equal to the test duration.

4.6.4. For lumen maintenance values greater than 0.7, use the following method:

4.6.4.1. For test duration values less than 3,000 hours, do not project time to failure. Time to failure equals the test duration.

4.6.4.2. For test duration values greater than or equal to 3,000 hours but less than 6,000 hours, time to failure is equal to the lesser of the projected time to failure calculated according to section 4.6.4.2.1 of this appendix or the test duration multiplied by the limiting multiplier calculated in section 4.6.4.2.2 of this appendix.

4.6.4.2.1. Project time to failure using the projection method described in section 5.1.4 of IES TM–28 (incorporated by reference; see §430.3). Project time to failure for each individual LED lamp. Do not use data obtained prior to a test duration value of 1,000 hours.

4.6.4.2.2. Calculate the limiting multiplier from the following equation:

$$Limiting\ multiplier = \frac{1}{600} * test\ duration - 4$$

4.6.4.3. For test duration values greater than 6,000 hours, time to failure is equal to the lesser of the projected time to failure calculated according to section 4.6.4.3.1 or the test duration multiplied by six.

4.6.4.3.1. Project time to failure using the projection method described in section 5.1.4 of IES TM–28 (incorporated by reference; see §430.3). Project time to failure for each individual LED lamp. Data used for the time to failure projection method must be as specified in section 5.1.3 of IES TM–28.

5. Standby Mode Test Method for Determining Standby Mode Power

Measure standby mode power consumption for integrated LED lamps capable of operating in standby mode. The standby mode test method in this section 5 may be completed before or after the active mode test method for determining lumen output, input power, CCT, CRI, power factor, and lamp efficacy in section 3 of this appendix. The standby mode test method in this section 5 must be completed before the active mode test method for determining time to failure in section 4 of this appendix. In cases where there is a conflict, the language of the test procedure in this appendix takes precedence over IES LM–79 (incorporated by reference; see §430.3) and IEC 62301 (incorporated by reference; see §430.3).

5.1. Test Conditions and Setup

5.1.1. Establish the ambient conditions, power supply, electrical settings, and instrumentation in accordance with the specifications in sections 2.0, 3.0, 7.0, and 8.0 of IES LM–79 (incorporated by reference; see §430.3), respectively. Maintain the ambient temperature at 25 °C ± 1 °C.

5.1.2. Position a lamp in either the base-up and base-down orientation throughout testing. An equal number of lamps in the sample must be tested in the base-up and base-down orientations.

5.1.3. Operate the integrated LED lamp at the rated voltage throughout testing. For an integrated LED lamp with multiple rated voltages, operate the integrated LED lamp at 120 volts. If an integrated LED lamp with multiple rated voltages is not rated for 120 volts, operate the integrated LED lamp at the highest rated input voltage.

5.2. Test Method, Measurements, and Calculations

5.2.1. The test conditions and setup described in section 3.1 of this appendix apply to this section.

5.2.2. Connect the integrated LED lamp to the manufacturer-specified wireless control network (if applicable) and configure the integrated LED lamp in standby mode by sending a signal to the integrated LED lamp instructing it to have zero light output. Lamp must remain connected to the network throughout the duration of the test.

5.2.3. Stabilize the integrated LED lamp as specified in section 5 of IEC 62301 (incorporated by reference; see §430.3) prior to measurement.

5.2.4. Measure the standby mode power in watts as specified in section 5 of IEC 62301.

[81 FR 43427, July 1, 2016, as amended at 83 FR 47812, Sept. 21, 2018]

APPENDIX CC TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF PORTABLE AIR CONDITIONERS

NOTE: Manufacturers must use the results of testing under this appendix to determine compliance with the relevant standards for portable air conditioners at §430.32(cc) with

which compliance is required as of January 10, 2025. Specifically, before November 13, 2023 representations must be based upon results generated either under this appendix or under this appendix CC as it appeared in the 10 CFR parts 200–499 edition revised as of January 1, 2021. Any representations made on or after November 13, 2023 but before the compliance date of any amended standards for portable ACs must be made based upon results generated using this appendix.

Manufacturers must use the results of testing under appendix CC1 to this subpart to determine compliance with any standards that amend the portable air conditioners standard at §430.32(cc) with which compliance is required on January 10, 2025 and that use the Annualized Energy Efficiency Ratio (AEER) metric. Any representations related to energy also must be made in accordance with the appendix that applies (*i.e.,* this appendix or appendix CC1) when determining compliance with the relevant standard. Manufacturers may also use appendix CC1 to certify compliance with any amended standards prior to the applicable compliance date for those standards.

0. Incorporation by Reference

DOE incorporated by reference in §430.3 the entire standard for ANSI/AHAM PAC–1–2015, ANSI/AMCA 210–99, ASHRAE 37–2009, ASHRAE 41.1–1986, ASHRAE 41.6–1994, and IEC 62301; however, only enumerated provisions of ANSI/AHAM PAC–1–2015, ANSI/AMCA 210–99, ASHRAE 37–2009, and IEC 62301 apply to this appendix CC as follows. Treat ''should'' in IEC 62301 as mandatory. When there is a conflict, the language of this appendix takes precedence over those documents.

0.1 ANSI/AHAM PAC–1–2015

(a) Section 4 ''Definitions,'' as specified in section 3.1.1 of this appendix, except for AHAM's definition for ''Portable Air Conditioner'';

(b) Section 7 ''Tests,'' as specified in sections 3.1.1, 3.1.1.3, 3.1.1.4, 4.1.1, and 4.1.2 of this appendix.

0.2 ANSI/AMCA 210–99 (''ANSI/AMCA 210'')

(a) Figure 12 ''Outlet chamber Setup—Multiple Nozzles in Chamber'' as specified in section 4.1.1 of this appendix;

(b) Figure 12 Notes as specified in section 4.1.1 of this appendix.

0.3 ASHRAE 37–2009

(a) Section 5.4 ''Electrical Instruments,'' as specified in sections 4.1.1 and 4.1.2 of this appendix;

(b) Section 7.3 ''Indoor and Outdoor Air Enthalpy Methods,'' as specified in sections 4.1.1 and 4.1.2 of this appendix;

(c) Section 7.6 ''Outdoor Liquid Coil Method,'' as specified in sections 4.1.1 and 4.1.2 of this appendix;

(d) Section 7.7 ''Airflow Rate Measurement,'' as specified in sections 4.1.1 and 4.1.2 of this appendix;

(e) Section 8.7 ''Test Procedure for Cooling Capacity Tests,'' as specified in sections 4.1.1 and 4.1.2 of this appendix;

(f) Section 9.2 ''Test Tolerances,'' as specified in sections 4.1.1 and 4.1.2 of this appendix;

(g) Section 11.1 ''Symbols Used In Equations,'' as specified in sections 4.1.1 and 4.1.2 of this appendix.

0.4 IEC 62301

(a) Paragraph 4.2 ''Test room,'' as specified in section 3.2.4 of this appendix;

(b) Paragraph 4.3.2 ''Supply voltage waveform,'' as specified in section 3.2.2.2 of this appendix;

(c) Paragraph 4.4 ''Power measuring instruments,'' as specified in section 3.2.3 of this appendix;

(d) Paragraph 5.1, ''General,'' Note 1, as specified in section 4.3 of this appendix;

(e) Paragraph 5.2 ''Preparation of product,'' as specified in section 3.2.1 of this appendix;

(f) Paragraph 5.3.2 ''Sampling method,'' as specified in section 4.3 of this appendix;

(g) Annex D, ''Determination of Uncertainty of Measurement,'' as specified in sections 3.2.1, 3.2.2.2, and 3.2.3 of this appendix.

1. Scope

This appendix covers the test requirements used to measure the energy performance of single-duct and dual-duct portable air conditioners, as defined at 10 CFR 430.2.

2. Definitions

Combined-duct means the condenser inlet and outlet air streams flow through separate ducts housed in a single duct structure.

Combined energy efficiency ratio means the energy efficiency of a portable air conditioner as measured in accordance with this test procedure in Btu per watt-hours (Btu/Wh) and determined in section 5.4 of this appendix.

Cooling mode means a mode in which a portable air conditioner either has activated the main cooling function according to the thermostat or temperature sensor signal, including activating the refrigeration system, or has activated the fan or blower without activating the refrigeration system.

Dual-duct means drawing some or all of the condenser inlet air from outside the conditioned space through a duct attached to an adjustable window bracket, potentially drawing additional condenser inlet air from the conditioned space, and discharging the condenser outlet air outside the conditioned

space by means of a separate duct attached to an adjustable window bracket.

Full compressor speed (full) means the compressor speed at which the unit operates at full load test conditions, when using user controls with a unit thermostat setpoint of 75 °F to achieve maximum cooling capacity.

Inactive mode means a standby mode that facilitates the activation of an active mode or off-cycle mode by remote switch (including remote control), internal sensor, or timer, or that provides continuous status display.

Low compressor speed (low) means the compressor speed specified by the manufacturer, at which the unit operates at low load test conditions (*i.e.*, Test Condition C and Test Condition E in Table 2 of this appendix, for a dual-duct and single-duct portable air conditioner, respectively), such that the measured cooling capacity at this speed is no less than 50 percent and no greater than 60 percent of the measured cooling capacity with the full compressor speed at full load test conditioners (*i.e.*, Test Condition A and Test Condition C in Table 2 of this appendix, for a dual-duct and single-duct portable air conditioner, respectively).

Off-cycle mode means a mode in which a portable air conditioner:

(a) Has cycled off its main cooling or heating function by thermostat or temperature sensor signal;

(b) May or may not operate its fan or blower; and

(c) Will reactivate the main function according to the thermostat or temperature sensor signal.

Off mode means a mode that may persist for an indefinite time in which a portable air conditioner is connected to a mains power source, and is not providing any active mode, off-cycle mode, or standby mode function. This includes an indicator that only shows the user that the portable air conditioner is in the off position.

Seasonally adjusted cooling capacity means the amount of cooling provided to the indoor conditioned space, measured under the specified ambient conditions, in Btu/h,

Seasonally adjusted cooling capacity, full means the amount of cooling provided to the indoor conditions space, measured under the specified ambient conditions when the unit compressor is operating at full speed at each condition, in Btu/h.

Single-duct means drawing all of the condenser inlet air from the conditioned space without the means of a duct, and discharging the condenser outlet air outside the conditioned space through a single duct attached to an adjustable window bracket.

Single-speed means incapable of automatically adjusting the compressor speed based on detected conditions.

Standby mode means any mode where a portable air conditioner is connected to a mains power source and offers one or more of the following user-oriented or protective functions which may persist for an indefinite time:

(a) To facilitate the activation of other modes (including activation or deactivation of cooling mode) by remote switch (including remote control), internal sensor, or timer; or

(b) Continuous functions, including information or status displays (including clocks) or sensor-based functions. A timer is a continuous clock function (which may or may not be associated with a display) that provides regular scheduled tasks (*e.g.*, switching) and that operates on a continuous basis.

Theoretical comparable single-speed means a hypothetical single-speed unit that would have the same cooling capacity and electrical power input as the variable-speed unit under test, with no cycling losses considered, when operating with the full compressor speed and at the test conditions in Table 1 of this appendix.

Variable-speed means capable of automatically adjusting the compressor speed based on detected conditions.

3. Test Apparatus and General Instructions

3.1 Active mode.

3.1.1 *Test conduct.* The test apparatus and instructions for testing portable air conditioners in cooling mode and off-cycle mode must conform to the requirements specified in section 4, ''Definitions'' and section 7, ''Tests,'' of ANSI/AHAM PAC–1–2015, except as otherwise specified in this appendix. Measure duct heat transfer and infiltration air heat transfer according to sections 4.1.1 and 4.1.2 of this appendix, respectively.

3.1.1.1 *Duct setup.* Use all ducting components provided by or required by the manufacturer and no others. Ducting components include ducts, connectors for attaching the duct(s) to the test unit, sealing, insulation, and window mounting fixtures. Do not apply additional sealing or insulation. For combined-duct units, the manufacturer must provide the testing facility an adapter that allows for the individual connection of the condenser inlet and outlet airflows to the test facility's airflow measuring apparatuses. Use that adapter to measure the condenser inlet and outlet airflows for any corresponding unit.

3.1.1.2 *Single-duct evaporator inlet test conditions.* When testing single-duct portable air conditioners, maintain the evaporator inlet dry-bulb temperature within a range of 1.0 °F with an average difference within 0.3 °F.

3.1.1.3 *Condensate Removal.* Set up the test unit in accordance with manufacturer instructions. If the unit has an auto-evaporative feature, keep any provided drain plug installed as shipped and do not provide other means of condensate removal. If the internal condensate collection bucket fills during the

test, halt the test, remove the drain plug, install a gravity drain line, and start the test from the beginning. If no auto-evaporative feature is available, remove the drain plug and install a gravity drain line. If no auto-evaporative feature or gravity drain is available and a condensate pump is included, or if the manufacturer specifies the use of an included condensate pump during cooling mode operation, then test the portable air conditioner with the condensate pump enabled. For units tested with a condensate pump, apply the provisions in Section 7.1.2 of ANSI/AHAM PAC–1–2015 if the pump cycles on and off.

3.1.1.4 *Unit Placement*. There shall be no less than 3 feet between any test chamber wall surface and any surface on the portable air conditioner, except the surface or surfaces of the portable air conditioner that include a duct attachment. The distance between the test chamber wall and a surface with one or more duct attachments is prescribed by the test setup requirements in Section 7.3.7 of ANSI/AHAM PAC–1–2015.

3.1.1.5 *Electrical supply*. Maintain the input standard voltage at 115 V ±1 percent. Test at the rated frequency, maintained within ±1 percent.

3.1.1.6 *Duct temperature measurements*. Install any insulation and sealing provided by the manufacturer. For a dual-duct or single-duct unit, adhere four thermocouples per duct, spaced along the entire length equally, to the outer surface of the duct. Measure the surface temperatures of each duct. For a combined-duct unit, adhere sixteen thermocouples to the outer surface of the duct, spaced evenly around the circumference (four thermocouples, each 90 degrees apart, radially) and down the entire length of the duct (four sets of four thermocouples, evenly spaced along the entire length of the duct), ensuring that the thermocouples are spaced along the entire length equally, on the surface of the combined duct. Place at least one thermocouple preferably adjacent to, but otherwise as close as possible to, the condenser inlet aperture and at least one thermocouple on the duct surface preferably adjacent to, but otherwise as close as possible to, the condenser outlet aperture. Measure the surface temperature of the combined duct at each thermocouple. Temperature measurements must have an error no greater than ±0.5 °F over the range being measured.

3.1.2 *Control settings*. For a single-speed unit, set the controls to the lowest available temperature setpoint for cooling mode, as described in section 4.1.1 of this appendix. For a variable-speed unit, set the thermostat setpoint to 75 °F to achieve the full compressor speed and use the manufacturer instructions to achieve the low compressor speed, as described in section 4.1.2 of this appendix. If the portable air conditioner has a user-adjustable fan speed, select the maximum fan speed setting. If the unit has an automatic louver oscillation feature and there is an option to disable that feature, disable that feature throughout testing. If the unit has adjustable louvers, position the louvers parallel with the air flow to maximize air flow and minimize static pressure loss. If the portable air conditioner has network functions, that an end-user can disable and the product's user manual provides instructions on how to do so, disable all network functions throughout testing. If an end-user cannot disable a network function or the product's user manual does not provide instruction for disabling a network function, test the unit with that network function in the factory default configuration for the duration of the test.

3.2 Standby Mode and Off Mode

3.2.1 *Installation requirements*. For the standby mode and off mode testing, install the portable air conditioner in accordance with Paragraph 5.2 of IEC 62301, referring to Annex D of that standard as necessary. Disregard the provisions regarding batteries and the determination, classification, and testing of relevant modes.

3.2.2 *Electrical energy supply*.

3.2.2.1 *Electrical supply*. For the standby mode and off mode testing, maintain the input standard voltage at 115 V ±1 percent. Maintain the electrical supply at the rated frequency ±1 percent.

3.2.2.2 *Supply voltage waveform*. For the standby mode and off mode testing, maintain the electrical supply voltage waveform indicated in, Paragraph 4.3.2 of IEC 62301, referring to Annex D of that standard as necessary.

3.2.3 *Standby mode and off mode wattmeter*. The wattmeter used to measure standby mode and off mode power consumption must meet the requirements specified in Paragraph 4.4 of IEC 62301, using a two-tailed confidence interval and referring to Annex D of that standard as necessary.

3.2.4 *Standby mode and off mode ambient temperature*. For standby mode and off mode testing, maintain room ambient air temperature conditions as specified in Section 4, Paragraph 4.2 of IEC 62301 (incorporated by reference; see § 430.3).

4. Test Measurement

4.1 Cooling Mode

NOTE: For the purposes of this cooling mode test procedure, evaporator inlet air is considered the ''indoor air'' of the conditioned space and condenser inlet air is considered the ''outdoor air'' outside of the conditioned space.

4.1.1 *Single-Speed Cooling Mode Test*. For single-speed portable air conditioners, measure the indoor room cooling capacity and

overall power input in cooling mode in accordance with sections 7.1.b and 7.1.c of ANSI/AHAM PAC–1–2015, respectively, including the references to sections 5.4, 7.3, 7.6, 7.7, and 11 of ASHRAE 37–2009. Determine the test duration in accordance with section 8.7 of ASHRAE 37–2009, including the reference to section 9.2 of the same standard, referring to Figure 12 and the Figure 12 Notes of ANSI/AMCA 210 to determine placement of static pressure taps, and including references to ASHRAE 41.1–1986 and ASHRAE 41.6–1994. Disregard the test conditions in Table 3 of ANSI/AHAM PAC–1–2015. Instead, apply the test conditions for single-duct and dual-duct portable air conditioners presented in Table 1 of this appendix. For single-duct units, measure the indoor room cooling capacity, $Capacity_{SD}$, and overall power input in cooling mode, P_{SD}, in accordance with the ambient conditions for test condition 1.C, presented in Table 1 of this appendix. For dual-duct units, measure the indoor room cooling capacity and overall power input twice, first in accordance with ambient conditions for test condition 1.A ($Capacity_{95}$, P_{95}), and then in accordance with test condition 1.B ($Capacity_{83}$, P_{83}), both presented in Table 1 of this appendix. For the remainder of this test procedure, test combined-duct single-speed portable air conditioners following any instruction for dual-duct single-speed portable air conditioners, unless otherwise specified.

TABLE 1—SINGLE-SPEED EVAPORATOR (INDOOR) AND CONDENSER (OUTDOOR) INLET TEST CONDITIONS

Test condition	Evaporator inlet air, °F (°C)		Condenser inlet air, °F (°C)	
	Dry bulb	Wet bulb	Dry bulb	Wet bulb
1.A	80 (26.7)	67 (19.4)	95 (35.0)	75 (23.9)
1.B	80 (26.7)	67 (19.4)	83 (28.3)	67.5 (19.7)
1.C	80 (26.7)	67 (19.4)	80 (26.7)	67 (19.4)

4.1.2 *Variable-Speed Cooling Mode Test*. For variable-speed portable air conditioners, measure the indoor room cooling capacity and overall power input in cooling mode in accordance with sections 7.1.b and 7.1.c of ANSI/AHAM PAC–1–2015, respectively, including the references to sections 5.4, 7.3, 7.6, 7.7, and 11 of ASHRAE 37–2009, except as detailed below. Determine the test duration in accordance with section 8.7 of ASHRAE 37–2009, including the reference to section 9.2 of the same standard. Disregard the test conditions in Table 3 of ANSI/AHAM PAC–1–2015. Instead, apply the test conditions for single-duct and dual-duct portable air conditioners presented in Table 2 of this appendix. For a single-duct unit, measure the indoor room cooling capacity and overall power input in cooling mode twice, first in accordance with the ambient conditions and compressor speed settings for test condition 2.D ($Capacity_{SD__Full}$, $P_{SD__Full}$), and then in accordance with the ambient conditions for test condition 2.E ($Capacity_{SD__Low}$, $P_{SD__Low}$), both presented in Table 2 of this appendix. For dual-duct units, measure the indoor room cooling capacity and overall power input three times, first in accordance with ambient conditions for test condition 2.A ($Capacity_{95__Full}$, $P_{95__Full}$), second in accordance with the ambient conditions for test condition 2.B ($Capacity_{83__Full}$, $P_{83__Full}$), and third in accordance with the ambient conditions for test condition 2.C ($Capacity_{83__Low}$, $P_{83__Low}$), each presented in Table 2 of this appendix. For the remainder of this test procedure, test combined-duct variable-speed portable air conditioners following any instruction for dual-duct variable-speed portable air conditioners, unless otherwise specified. For test conditions 2.A, 2.B, and 2.D, achieve the full compressor speed with user controls, as defined in section 2.13 of this appendix. For test conditions 2.C and 2.E, set the required compressor speed in accordance with instructions the manufacturer provided to DOE.

TABLE 2—VARIABLE-SPEED EVAPORATOR (INDOOR) AND CONDENSER (OUTDOOR) INLET TEST CONDITIONS

Test condition	Evaporator inlet air °F (°C)		Condenser inlet air °F (°C)		Compressor speed
	Dry bulb	Wet bulb	Dry bulb	Wet bulb	
2.A	80 (26.7)	67 (19.4)	95 (35.0)	75 (23.9)	Full.
2.B	80 (26.7)	67 (19.4)	83 (28.3)	67.5 (19.7)	Full.
2.C	80 (26.7)	67 (19.4)	83 (28.3)	67.5 (19.7)	Low.
2.D	80 (26.7)	67 (19.4)	80 (26.7)	67 (19.4)	Full.
2.E	80 (26.7)	67 (19.4)	80 (26.7)	67 (19.4)	Low.

4.1.3. *Duct Heat Transfer*

Throughout the cooling mode test, measure the surface temperature of the condenser exhaust duct and condenser inlet duct, where applicable. Calculate the average temperature at each thermocouple placement location. Then calculate the average surface temperature of each duct. For single-duct and dual-duct units, calculate the average of the four average temperature measurements taken on the duct. For combined-duct units, calculate the average of the sixteen average temperature measurements taken on the duct. Calculate the surface area ($A_{duct__j}$) of each duct according to:

$A_{duct__j} = Cj \times Lj$

Where:

Cj = the circumference of duct ''j'', including any manufacturer-supplied insulation, measured by wrapping a flexible measuring tape, or equivalent, around the outside of a combined duct, making sure the tape is on the outermost ridges or, alternatively, if the duct has a circular cross-section, by multiplying the outer diameter by 3.14.

Lj = the extended length of duct ''j'' while under test.

j represents the condenser exhaust duct for single-duct units, the condenser exhaust duct and the condenser inlet duct for dual-duct units, and the combined duct for combined-duct units.

Calculate the total heat transferred from the surface of the duct(s) to the indoor conditioned space while operating in cooling mode at each test condition, as follows:

For single-duct single-speed portable air conditioners:

$Q_{duct__SD} = 3 \times A_{duct__j} \times (T_{duct__j} - T_{ei})$

For dual-duct single-speed portable air conditioners:

$Q_{duct__DD__95} = \Sigma_j\{3 \times A_{duct__j} \times (T_{duct__95__j} - T_{ei})\}$
$Q_{duct__DD__83} = \Sigma_j\{3 \times A_{duct__j} \times (T_{duct__83__j} - T_{ei})\}$

For single-duct variable-speed portable air conditioners:

$Q_{duct__SD__Full} = 3 \times A_{duct} \times (T_{duct__Full__j} - T_{ei})$
$Q_{duct__SD__Low} = 3 \times A_{duct} \times (T_{duct__Low__j} - T_{ei})$

For dual-duct variable-speed portable air conditioners:

$Q_{duct__DD__95__Full} = \Sigma_j\{3 \times A_{duct__j} \times (T_{duct__Full__95__j} - T_{ei})\}$
$Q_{duct__DD__83__Full} = \Sigma_j\{3 \times A_{duct__j} \times (T_{duct__Full__83__j} - T_{ei})\}$
$Q_{duct__DD__83__Low} = \Sigma_j\{3 \times A_{duct__j} \times (T_{duct__Low__83__j} - T_{ei})\}$

Where:

$Q_{duct__SD}$ = the total heat transferred from the duct to the indoor conditioned space in cooling mode, in Btu/h, when tested at Test Condition 1.C.

$Q_{duct__DD__95}$ and $Q_{duct__DD__83}$ = the total heat transferred from the ducts to the indoor conditioned space in cooling mode, in Btu/h, when tested at Test Conditions 1.A and 1.B, respectively.

$Q_{duct__SD__Full}$ and $Q_{duct__SD__Low}$ = the total heat transferred from the duct to the indoor conditioned space in cooling mode, in Btu/h, when tested at Test Conditions 2.D and 2.E, respectively.

$Q_{duct__DD__95__Full}$, $Q_{duct__DD__83__Full}$, and $Q_{duct__DD__83__Low}$ = the total heat transferred from the ducts to the indoor conditioned space in cooling mode, in Btu/h, when tested at Test Condition 2.A, Test Condition 2.B, and Test Condition 2.C, respectively.

3 = empirically-derived convection coefficient in Btu/h per square foot per °F.

$A_{duct__j}$ = surface area of the duct ''j'', as calculated in this section, in square feet.

$T_{duct__j}$ = average surface temperature for duct ''j'' of single-duct single-speed portable air conditioners, in °F, as measured at Test Condition 1.C.

$T_{duct__95__j}$ and $T_{duct__83__j}$ = average surface temperature for duct ''j'' of dual-duct single-speed portable air conditioners, in °F, as measured at Test Conditions 1.A and 1.B, respectively.

$T_{duct__Full__j}$ and $T_{duct__Low__j}$ = average surface temperature for duct ''j'' of single-duct variable-speed portable air conditioners, in °F, as measured at Test Conditions 2.D and 2.E, respectively.

$T_{duct__Full__95__j}$, $T_{duct__Full__83__j}$, and $T_{duct__Low__83__j}$ = average surface temperature for duct ''j'' of dual-duct variable-speed portable air conditioners, in °F, as measured at Test Conditions 2.A, 2.B, and 2.C, respectively.

j represents the condenser exhaust duct for single-duct units, the condenser exhaust duct and the condenser inlet duct for dual-duct units, and the combined duct for combined-duct units.

T_{ei} = average evaporator inlet air dry-bulb temperature, as measured in section 4.1 of this appendix, in °F.

4.1.4. *Infiltration Air Heat Transfer*.

Calculate the sample unit's heat contribution from infiltration air into the conditioned space for each cooling mode test as follows:

Calculate the dry air mass flow rate of infiltration air, which affects the sensible and latent components of heat contribution from infiltration air, according to the following equations.

For a single-duct single-speed unit:

$$\dot{m}_{SD} = \frac{V_{co_SD} \times \rho_{co_SD}}{\left(1 + \omega_{co_SD}\right)}$$

For a dual-duct single-speed unit:

$$\dot{m}_{95} = \frac{V_{co_95} \times \rho_{co_95}}{\left(1 + \omega_{co_95}\right)} - \frac{V_{ci_95} \times \rho_{ci_95}}{\left(1 + \omega_{ci_95}\right)}$$

$$\dot{m}_{83} = \frac{V_{co_83} \times \rho_{co_83}}{\left(1 + \omega_{co_83}\right)} - \frac{V_{ci_83} \times \rho_{ci_83}}{\left(1 + \omega_{ci_83}\right)}$$

For a single-duct variable-speed unit:

$$\dot{m}_{SD_Full} = \frac{V_{co_SD_Full} \times \rho_{co_SD_Full}}{\left(1 + \omega_{co_SD_Full}\right)}$$

$$\dot{m}_{SD_Low} = \frac{V_{co_Low} \times \rho_{co_Low}}{\left(1 + \omega_{co_Low}\right)}$$

For a dual-duct variable-speed unit:

$$\dot{m}_{95_Full} = \frac{V_{co_95_Full} \times \rho_{co_95_Full}}{\left(1 + \omega_{co_95_Full}\right)} - \frac{V_{ci_95_Full} \times \rho_{ci_95_Full}}{\left(1 + \omega_{ci_95_Full}\right)}$$

$$\dot{m}_{83_Full} = \frac{V_{co_83_Full} \times \rho_{co_83_Full}}{\left(1 + \omega_{co_83_Full}\right)} - \frac{V_{ci_83_Full} \times \rho_{ci_83_Full}}{\left(1 + \omega_{ci_83_Full}\right)}$$

$$\dot{m}_{83_Low} = \frac{V_{co_83_Low} \times \rho_{co_83_Low}}{\left(1 + \omega_{co_83_Low}\right)} - \frac{V_{ci_83_Low} \times \rho_{ci_83_Low}}{\left(1 + \omega_{ci_83_Low}\right)}$$

Where:

$\dot{m}_{SD}$, $\dot{m}_{SD_Full}$, and $\dot{m}_{SD_Low}$ = dry air mass flow rate of infiltration air for single-duct portable air conditioners, in pounds per minute (lb/m) when tested at Test Conditions 1.C, 2.D, and 2.E, respectively.

$\dot{m}_{95}$, $\dot{m}_{83}$, $\dot{m}_{95_Full}$, $\dot{m}_{83_Full}$, and $\dot{m}_{83_Low}$ = dry air mass flow rate of infiltration air for dual-duct portable air conditioners, in lb/m, when tested at Test Conditions 1.A, 1.B, 2.A, 2.B, and 2.C, respectively.

V_{co_SD}, $V_{co_SD_Full}$, $V_{co_SD_Low}$, V_{co_95}, V_{co_83}, $V_{co_95_Full}$, $V_{co_83_Full}$, and

$V_{co_83_Low}$ = average volumetric flow rate of the condenser outlet air, in cubic feet per minute (cfm), as measured at Test Conditions 1.C, 2.D, 2.E, 1.A, 1.B, 2.A, 2.B, and 2.C, respectively, as required in sections 4.1.1 and 4.1.2 of this appendix.

V_{ci_95}, V_{ci_83}, $V_{ci_95_Full}$, $V_{ci_83_Full}$, and $V_{ci_83_Low}$ = average volumetric flow rate of the condenser inlet air, in cfm, as measured at Test Conditions 1.A, 1.B, 2.A, 2.B, and 2.C, respectively, as required in sections 4.1.1 and 4.1.2 of this appendix.

ρ_{co_SD}, $\rho_{co_SD_Full}$, $\rho_{co_SD_Low}$, ρ_{co_95}, ρ_{co_83}, $\rho_{co_95_Full}$, $\rho_{co_83_Full}$, and $\rho_{co_83_Low}$ = average density of the condenser outlet air, in pounds mass per cubic foot (lb_m/ft^3), as measured at Test Conditions 1.C, 2.D, 2.E, 1.A, 1.B, 2.A, 2.B, and 2.C, respectively, as required in sections 4.1.1 and 4.1.2 of this appendix.

ρ_{ci_95}, ρ_{ci_83}, $\rho_{ci_95_Full}$, $\rho_{ci_83_Full}$, and $\rho_{ci_83_Low}$ = average density of the condenser inlet air, in lb_m/ft^3, as measured at Test Conditions 1.A, 1.B, 2.A, 2.B, and 2.C, respectively, as required in sections 4.1.1 and 4.1.2 of this appendix.

ω_{co_SD}, $\omega_{co_SD_Full}$, $\omega_{co_SD_Low}$, ω_{co_95}, ω_{co_83}, $\omega_{co_95_Full}$, $\omega_{co_83_Full}$, and $\omega_{co_83_Low}$ = average humidity ratio of condenser outlet air, in pounds mass of water vapor per pounds mass of dry air (lb_w/lb_{da}), as measured at Test Conditions 1.C, 2.D, 2.E, 1.A, 1.B, 2.A, 2.B, and 2.C, respectively, as required in sections 4.1.1 and 4.1.2 of this appendix.

ω_{ci_95}, ω_{ci_83}, $\omega_{ci_95_Full}$, $\omega_{ci_83_Full}$, and $\omega_{ci_83_Low}$ = average humidity ratio of condenser inlet air, in lb_w/lb_{da}, as measured at Test Conditions 1.A, 1.B, 2.A, 2.B, and 2.C, respectively, as required in sections 4.1.1 and 4.1.2 of this appendix.

Calculate the sensible component of infiltration air heat contribution according to the following equations.

For single-duct single-speed units:

$$Q_{s_SD_95} = \dot{m}_{SD} \times 60 \times [c_{p_da} \times (95 - 80) + (c_{p_wv} \times (0.0141 \times 95 - 0.0112 \times 80))]$$

$$Q_{s_SD_83} = \dot{m}_{SD} \times 60 \times [(c_{p_da} \times (83 - 80) + (c_{p_wv} \times (0.01086 \times 83 - 0.0112 \times 80))]$$

For dual-duct single-speed units:

$$Q_{s_DD_95} = \dot{m}_{95} \times 60 \times [c_{p_da} \times (95 - 80) + (c_{p_wv} \times (0.0141 \times 95 - 0.0112 \times 80))]$$

$$Q_{s_DD_83} = \dot{m}_{83} \times 60 \times [(c_{p_da} \times (83 - 80) + (c_{p_wv} \times (0.01086 \times 83 - 0.0112 \times 80))]$$

For single-duct variable-speed units:

$$Q_{s_SD_95_Full} = \dot{m}_{SD_Full} \times 60 \times [c_{p_da} \times (95 - 80) + (c_{p_wv} \times (0.0141 \times 95 - 0.0112 \times 80))]$$

$$Q_{s_SD_83_Full} = \dot{m}_{SD_Full} \times 60 \times [(c_{p_da} \times (83 - 80) + (c_{p_wv} \times (0.01086 \times 83 - 0.0112 \times 80))]$$

$$Q_{s_SD_83_Low} = \dot{m}_{SD_Low} \times 60 \times [(c_{p_da} \times (83 - 80) + (c_{p_wv} \times (0.01086 \times 83 - 0.0112 \times 80))]$$

For dual-duct variable-speed units:

$$Q_{s_DD_95_Full} = \dot{m}_{95_Full} \times 60 \times [c_{p_da} \times (95 - 80) + (c_{p_wv} \times (0.0141 \times 95 - 0.0112 \times 80))]$$

$$Q_{s_DD_83_Full} = \dot{m}_{83_Full} \times 60 \times [(c_{p_da} \times (83 - 80) + (c_{p_wv} \times (0.01086 \times 83 - 0.0112 \times 80))]$$

$$Q_{s_DD_83_Low} = \dot{m}_{83_Low} \times 60 \times [(c_{p_da} \times (83 - 80) + (c_{p_wv} \times (0.01086 \times 83 - 0.0112 \times 80))]$$

Where:

$Q_{s_SD_95}$, $Q_{s_SD_83}$, $Q_{s_DD_95}$, and $Q_{s_DD_83}$ = sensible heat added to the room by infiltration air, in Btu/h, for each duct configuration and temperature condition.

$Q_{s_SD_95_Full}$, $Q_{s_SD_83_Full}$, $Q_{s_SD_83_Low}$, $Q_{s_DD_95_Full}$, $Q_{s_DD_83_Full}$, and $Q_{s_DD_83_Low}$ = sensible heat added to the room by infiltration air, in Btu/h, for each duct configuration, temperature condition, and compressor speed.

$\dot{m}_{SD}$, $\dot{m}_{95}$, and $\dot{m}_{83}$ = dry air mass flow rate of infiltration air for single-speed portable air conditioners, in lb/m, as calculated in section 4.1.4 of this appendix.

$\dot{m}_{SD_95_Full}$, $\dot{m}_{SD_83_Low}$, $\dot{m}_{95_Full}$ and $\dot{m}_{83_Low}$ = dry air mass flow rate of infiltration air for variable-speed portable air conditioners, in lb/m, as calculated in section 4.1.4 of this appendix.

c_{p_da} = specific heat of dry air, 0.24 Btu/(lbm °F).

c_{p_wv} = specific heat of water vapor, 0.444 Btu/(lbm °F).

80 = indoor chamber dry-bulb temperature, in °F.

95 = infiltration air dry-bulb temperature for Test Conditions 1.A and 2.A, in °F.

83 = infiltration air dry-bulb temperature for Test Conditions 1.B, 2.B, and 2.C, in °F.

0.0141 = humidity ratio of the dry-bulb infiltration air for Test Conditions 1.A and 2.A, in lb_w/lb_{da}.

0.01086 = humidity ratio of the dry-bulb infiltration air for Test Conditions 1.B, 2.B, and 2.C, in lb_w/lb_{da}.

0.0112 = humidity ratio of the indoor chamber air, in lb_w/lb_{da} (ω_{indoor}).

60 = conversion factor from minutes to hours.

Calculate the latent heat contribution of the infiltration air according to the following equations. For a single-duct single-speed unit:

$$Q_{l_SD_95} = \dot{m}_{SD} \times 60 \times 1061 \times (0.0141 - 0.0112)$$

$$Q_{l_SD_83} = \dot{m}_{SD} \times 60 \times 1061 \times (0.01086 - 0.0112)$$

For a dual-duct single-speed unit:

$$Q_{l_DD_95} = \dot{m}_{95} \times 60 \times 1061 \times (0.0141 - 0.0112)$$

$$Q_{l_DD_83} = \dot{m}_{83} \times 60 \times 1061 \times (0.01086 - 0.0112)$$

For a single-duct variable-speed unit:

$$Q_{l_SD_95_Full} = \dot{m}_{SD_Full} \times 60 \times 1061 \times (0.0141 - 0.0112)$$

$$Q_{l_SD_83_Full} = \dot{m}_{SD_Full} \times 60 \times 1061 \times (0.01086 - 0.0112)$$

$$Q_{l_SD_83_Low} = \dot{m}_{SD_Low} \times 60 \times 1061 \times (0.01086 - 0.0112)$$

For a dual-duct variable-speed unit:

$$Q_{l_DD_95_Full} = \dot{m}_{95_Full} \times 60 \times 1061 \times (0.0141 - 0.0112)$$

$Q_{l__DD__83__Full} = \dot{m}_{83__Full} \times 60 \times 1061 \times (0.01086 - 0.0112)$

$Q_{l__DD__83__Low} = \dot{m}_{83__Low} \times 60 \times 1061 \times (0.01086 - 0.0112)$

Where:

$Q_{l__SD__95}$, $Q_{l__SD__83}$, $Q_{l__DD__95}$, and $Q_{l__DD__83}$ = latent heat added to the room by infiltration air, in Btu/h, for each duct configuration and temperature condition.

$Q_{l__SD__95__Full}$, $Q_{l__SD__83__Full}$, $Q_{l__SD__Low}$, $Q_{l__DD__95__Full}$, $Q_{l__DD__83__Full}$, and $Q_{l__DD__83__Low}$ = latent heat added to the room by infiltration air, in Btu/h, for each duct configuration, temperature condition, and compressor speed.

$\dot{m}_{SD}$, $\dot{m}_{95}$, and $\dot{m}_{83}$ = dry air mass flow rate of infiltration air for portable air conditioners, in lb/m, when tested at Test Conditions 1.C, 1.A, and 1.B, respectively, as calculated in section 4.1.4 of this appendix.

$\dot{m}_{SD__Full}$, $\dot{m}_{SD__Low}$, $\dot{m}_{95__Full}$, $\dot{m}_{83__Full}$ and $\dot{m}_{83__Low}$ = dry air mass flow rate of infiltration air for portable air conditioners, in lb/m, when tested at Test Conditions 2.D, 2.E, 2.A, 2.B, and 2.C, respectively, as calculated in section 4.1.4 of this appendix.

1061 = latent heat of vaporization for water vapor, in Btu/lb_m (H_{fg}).

0.0141 = humidity ratio of the dry-bulb infiltration air for Test Conditions 1.A and 2.A, in lb_w/lb_{da}.

0.01086 = humidity ratio of the dry-bulb infiltration air for Test Conditions 1.B, 2.B, and 2.C, in lb_w/lb_{da}.

0.0112 = humidity ratio of the indoor chamber air, in lb_w/lb_{da}.

60 = conversion factor from minutes to hours.

Calculate the total heat contribution of the infiltration air at each test condition by adding the sensible and latent heat according to the following equations.

For a single-duct single-speed unit:

$Q_{infiltration__SD__95} = Q_{s__SD__95} + Q_{l__SD__95}$

$Q_{infiltration__SD__83} = Q_{s__SD__83} + Q_{l__SD__83}$

For a dual-duct single-speed unit:

$Q_{infiltration__DD__95} = Q_{s__DD__95} + Q_{l__DD__95}$

$Q_{infiltration__DD__83} = Q_{s__DD__83} + Q_{l__DD__83}$

For a single-duct variable-speed unit:

$Q_{infiltration__SD__95__Full} = Q_{s__SD__95__Full} + Q_{l__SD__95__Full}$

$Q_{infiltration__SD__83__Full} = Q_{s__SD__83__Full} + Q_{l__SD__83__Full}$

$Q_{infiltration__SD__83__Low} = Q_{s__SD__83__Low} + Q_{l__SD__83__Low}$

For a dual-duct variable-speed unit:

$Q_{infiltration__DD__95__Full} = Q_{s__DD__95__Full} + Q_{l__DD__95__Full}$

$Q_{infiltration__DD__83__Full} = Q_{s__DD__83__Full} + Q_{l__DD__83__Full}$

$Q_{infiltration__DD__83__Low} = Q_{s__DD__83__Low} + Q_{l__DD__83__Low}$

Where:

$Q_{infiltration__SD__95}$, $Q_{infiltration__SD__83}$, $Q_{infiltration__DD__95}$, $Q_{infiltration__DD__83}$ = total infiltration air heat in cooling mode, in Btu/h, for each duct configuration and temperature condition.

$Q_{infiltration__SD__95__Full}$, $Q_{infiltration__SD__83__Full}$, $Q_{infiltration__SD__83__Low}$, $Q_{infiltration__DD__95__Full}$, $Q_{infiltration__DD__83__Full}$, and $Q_{infiltration__DD__83__Low}$ = total infiltration air heat in cooling mode, in Btu/h, for each duct configuration, temperature condition, and compressor speed.

$Q_{s__SD__95}$, $Q_{s__SD__83}$, $Q_{s__DD__95}$, and $Q_{s__DD__83}$ = sensible heat added to the room by infiltration air, in Btu/h, for each duct configuration, temperature condition, and compressor speed.

$Q_{s__SD__95__Full}$, $Q_{s__SD__83__Full}$, $Q_{s__SD__83__Low}$, $Q_{s__DD__95__Full}$, $Q_{s__DD__83__Full}$, and $Q_{s__DD__83__Low}$ = sensible heat added to the room by infiltration air, in Btu/h, for each duct configuration, temperature condition, and compressor speed.

$Q_{l__SD__95}$, $Q_{l__SD__83}$, $Q_{l__DD__95}$, and $Q_{l__DD__83}$ = latent heat added to the room by infiltration air, in Btu/h, for each duct configuration, and temperature condition.

$Q_{l__SD__95__Full}$, $Q_{l__SD__83__Full}$, $Q_{l__SD__83__Low}$, $Q_{l__DD__95__Full}$, $Q_{l__DD__83__Full}$, and $Q_{l__DD__83__Low}$ = latent heat added to the room by infiltration air, in Btu/h, for each duct configuration, temperature condition, and compressor speed.

4.2 *Off-cycle mode.* Establish the test conditions specified in section 3.1.1 of this appendix for off-cycle mode and use the wattmeter specified in section 3.2.3 of this appendix (but do not use the duct measurements in section 3.1.1.6). Begin the off-cycle mode test period 5 minutes following the cooling mode test period. Adjust the setpoint higher than the ambient temperature to ensure the product will not enter cooling mode and begin the test 5 minutes after the compressor cycles off due to the change in setpoint. Do not change any other control settings between the end of the cooling mode test period and the start of the off-cycle mode test period. The off-cycle mode test period must be 2 hours in duration, during which period, record the power consumption at the same intervals as recorded for cooling mode testing. Measure and record the average off-cycle mode power of the portable air conditioner, P_{oc}, in watts.

4.3 *Standby mode and off mode.* Establish the testing conditions set forth in section 3.2 of this appendix, ensuring that the unit does not enter any active modes during the test. As discussed in Paragraph 5.1, Note 1 of IEC 62301, allow sufficient time for the unit to reach the lowest power state before proceeding with the test measurement. Follow the test procedure specified in Paragraph 5.3.2 of IEC 62301 for testing in each possible mode as described in sections 4.3.1 and 4.3.2

of this appendix. If the standby mode is cyclic and irregular or unstable, collect 10 cycles worth of data.

4.3.1 If the portable air conditioner has an inactive mode, as defined in section 2.6 of this appendix, but not an off mode, as defined in section 2.8 of this appendix, measure and record the average inactive mode power of the portable air conditioner, P_{ia}, in watts.

4.3.2 If the portable air conditioner has an off mode, as defined in section 2.8 of this appendix, measure and record the average off mode power of the portable air conditioner, P_{om}, in watts.

5. Calculation of Derived Results From Test Measurements

5.1 *Adjusted Cooling Capacity*

5.1.1 *Single-Speed Adjusted Cooling Capacity*. For a single-speed portable air conditioner, calculate the adjusted cooling capacity at each outdoor temperature operating condition, in Btu/h, according to the following equations.

For a single-duct single-speed portable air conditioner unit:

$$ACC_{SD_95_SS} = Capacity_{SD} - Q_{duct_SD} - Q_{inflitration_SD_95}$$

$$ACC_{SD_83_SS} = Capacity_{SD} - Q_{duct_SD} - Q_{inflitration_SD_83}$$

For a dual-duct single-speed portable air conditioner unit:

$$ACC_{DD_95_SS} = Capacity_{95} - Q_{duct_DD_95} - Q_{inflitration_DD_95}$$

$$ACC_{DD_83_SS} = Capacity_{83} - Q_{duct_DD_83} - Q_{inflitration_DD_83}$$

Where:

$Capacity_{SD}$, $Capacity_{95}$, and $Capacity_{83}$ = cooling capacity for each duct configuration or temperature condition measured in section 4.1.1 of this appendix.

Q_{duct_SD}, $Q_{duct_DD_95}$, and $Q_{duct_DD_83}$ = duct heat transfer for each duct configuration or temperature condition while operating in cooling mode, calculated in section 4.1.3 of this appendix.

$Q_{infiltration_SD_95}$, $Q_{infiltration_SD_83}$, $Q_{infiltration_DD_95}$, $Q_{infiltration_DD_83}$ = total infiltration air heat transfer in cooling mode for each duct configuration and temperature condition, calculated in section 4.1.4 of this appendix.

5.1.2 *Variable-Speed Adjusted Cooling Capacity*. For variable-speed portable air conditioners, calculate the adjusted cooling capacity at each outdoor temperature operating condition, in Btu/h, according to the following equations:

For a single-duct variable-speed portable air conditioner unit:

$$ACC_{SD_95} = Capacity_{SD_Full} - Q_{duct_SD_Full} - Q_{inflitration_SD_95_Full}$$

$$ACC_{SD_83_Full} = Capacity_{SD_Full} - Q_{duct_SD_Full} - Q_{inflitration_SD_83_Full}$$

$$ACC_{SD_83_Low} = Capacity_{SD_Low} - Q_{duct_SD_Low} - Q_{inflitration_SD_83_Low}$$

For a dual-duct variable-speed portable air conditioner unit:

$$ACC_{DD_95} = Capacity_{DD_95_Full} - Q_{duct_DD_95_Full} - Q_{inflitration_DD_95_Full}$$

$$ACC_{DD_83_Full} = Capacity_{DD_83_Full} - Q_{duct_DD_83_Full} - Q_{inflitration_DD_83_Full}$$

$$ACC_{DD_83_Low} = Capacity_{DD_83_Low} - Q_{duct_DD_83_Low} - Q_{inflitration_DD_83_Low}$$

Where:

$Capacity_{SD_Full}$, $Capacity_{SD_Low}$, $Capacity_{DD_95_Full}$, $Capacity_{DD_83_Full}$, and $Capacity_{DD_83_Low}$ = cooling capacity in Btu/h for each duct configuration, temperature condition (where applicable), and compressor speed, as measured in section 4.1.2 of this appendix.

$Q_{duct_SD_Full}$, $Q_{duct_SD_Low}$, $Q_{duct_DD_95_Full}$, $Q_{duct_DD_83_Full}$, and $Q_{duct_DD_83_Low}$ = combined duct heat transfer for each duct configuration, temperature condition (where applicable), and compressor speed, as calculated in section 4.1.3 of this appendix.

$Q_{infiltration_SD_95_Full}$, $Q_{infiltration_SD_83_Full}$, $Q_{infiltration_SD_83_Low}$, $Q_{infiltration_DD_95_Full}$, $Q_{infiltration_DD_83_Full}$, and $Q_{infiltration_DD_83_Low}$ = total infiltration air heat transfer in cooling mode for each duct configuration, temperature condition, and compressor speed, as calculated in section 4.1.4 of this appendix.

5.2 *Seasonally Adjusted Cooling Capacity*

5.2.1 Calculate the unit's seasonally adjusted cooling capacity, SACC, in Btu/h, according to the following equations:

For a single-speed portable air conditioner unit:

$$SACC_{SD} = ACC_{SD_95_SS} \times 0.2 + ACC_{SD_83_SS} \times 0.8$$

$$SACC_{DD} = ACC_{DD_95_SS} \times 0.2 + ACC_{SD_83_SS} \times 0.8$$

For a variable-speed portable air conditioner unit:

$$SACC_{SD} = ACC_{SD_95} \times 0.2 + ACC_{SD_83_Low} \times 0.8$$

$$SACC_{DD} = ACC_{DD_95} \times 0.2 + ACC_{DD_83_Low} \times 0.8$$

Where:

$ACC_{SD_95_SS}$, $ACC_{SD_83_SS}$, $ACC_{DD_95_SS}$, and $ACC_{DD_83_SS}$ = adjusted cooling capacity for single-speed portable air conditioners for each duct configuration and temperature condition, in Btu/h, calculated in section 5.1.1 of this appendix.

ACC_{SD_95}, $ACC_{SD_83_Low}$, ACC_{DD_95}, and $ACC_{DD_83_Low}$ = adjusted cooling capacity for variable-speed portable air conditioners for each duct configuration, temperature condition, and compressor speed, in Btu/h, calculated in section 5.1.2 of this appendix.

0.2 = weighting factor for the 95 °F test condition.
0.8 = weighting factor for the 83 °F test condition.

5.2.2 For variable-speed portable ACs determine a Full-Load Seasonally Adjusted Cooling Capacity ($SACC_{Full__SD}$ for single-speed units and $SACC_{Full__DD}$ for dual-duct units) using the following formulas:

$SACC_{Full__SD} = ACC_{SD__95} \times 0.2 + ACC_{SD__83__Full} \times 0.8$

$SACC_{Full__DD} = ACC_{DD__95} \times 0.2 + ACC_{DD__83__Full} \times 0.8$

$ACC_{SD__95}$, $ACC_{SD__83__Full}$, $ACC_{DD__95}$, and $ACC_{DD__83__Full}$ = adjusted cooling capacity for variable-speed portable air conditioners for each duct configuration, temperature condition, and compressor speed (where applicable), in Btu/h, calculated in section 5.1.2 of this appendix.
0.2 = weighting factor for the 95 °F test condition.
0.8 = weighting factor for the 83 °F test condition.

5.3 *Annual Energy Consumption.* Calculate the sample unit's annual energy consumption in each operating mode according to the equation below. For each operating mode, use the following annual hours of operation and equation:

Type of portable air conditioner	Operating mode	Subscript	Annual operating hours
Variable speed (single- or dual-duct).	Cooling Mode: Test Conditions 2.A, 2.B, 2.C, 2.D, and 2.E [1].	DD__95__Full, DD__83__Full, DD__83__Low, SD__Full, and SD__Low.	750
Single speed (single- or dual-duct)	Cooling Mode: Test Conditions 1.A, 1.B, and 1C [1].	DD__95, DD__83, and SD	750
all	Off-Cycle	oc	880
all	Inactive or Off	ia or om	1,355

[1] These operating mode hours are for the purposes of calculating annual energy consumption under different ambient conditions and are not a division of the total cooling mode operating hours. The total cooling mode operating hours are 750 hours.

$AEC_m = P_m \times t_m \times 0.001$

Where:

AEC_m = annual energy consumption in the operating mode, in kWh/year.
m represents the operating mode as shown in the table above with each operating mode's respective subscript.
P_m = average power in the operating mode, in watts, as determined in sections 4.1.1 and 4.1.2.
t_m = number of annual operating time in each operating mode, in hours.
0.001 kWh/Wh = conversion factor from watt-hours to kilowatt-hours.

Calculate the sample unit's total annual energy consumption in off-cycle mode and inactive or off mode as follows:

$$AEC_T = \sum_{ncm} AEC_{ncm}$$

Where:

AEC_T = total annual energy consumption attributed to off-cycle mode and inactive or off mode, in kWh/year;
AEC_m = total annual energy consumption in the operating mode, in kWh/year.
ncm represents the following two non-cooling operating modes: off-cycle mode and inactive or off mode.

5.4 Combined Energy Efficiency Ratio

5.4.1 *Combined Energy Efficiency Ratio for Single-Speed Portable Air Conditioners.*

Using the annual operating hours established in section 5.3 of this appendix, calculate the combined energy efficiency ratio, CEER, in Btu/Wh, for single-speed portable air conditioners according to the following equation, as applicable:

$$CEER_{SD} = \left[\frac{\left(ACC_{SD_95_SS} \times 0.2 + ACC_{SD_83_SS} \times 0.8\right)}{\left(\frac{AEC_{SD} + AEC_T}{0.750}\right)}\right]$$

$$CEER_{DD} = \left[\frac{ACC_{DD_95_SS}}{\left(\frac{AEC_{DD_95} + AEC_T}{0.750}\right)}\right] \times 0.2 + \left[\frac{ACC_{DD_83_SS}}{\left(\frac{AEC_{DD_83} + AEC_T}{0.750}\right)}\right] \times 0.8$$

Where:

$CEER_{SD}$ and $CEER_{DD}$ = combined energy efficiency ratio for a single-duct unit and dual-duct unit, respectively, in Btu/Wh.

$ACC_{SD_95_SS}$, $ACC_{SD_83_SS}$, $ACC_{DD_95_SS}$, $ACC_{DD_83_SS}$ = adjusted cooling capacity for each duct configuration and temperature condition, in Btu/h, calculated in section 5.1 of this appendix.

AEC_{SD}, AEC_{DD_95} and AEC_{DD_83} = annual energy consumption in cooling mode for each duct configuration and temperature condition, in kWh/year, calculated in section 5.3 of this appendix.

AEC_T = total annual energy consumption attributed to all modes except cooling, in kWh/year, calculated in section 5.3 of this appendix.

0.750 = number of cooling mode hours per year, 750, multiplied by the conversion factor for watt-hours to kilowatt-hours, 0.001 kWh/Wh.

0.2 = weighting factor for the 95 °F dry-bulb outdoor condition test.

0.8 = weighting factor for the 83 °F dry-bulb outdoor condition test.

5.4.2 *Unadjusted Combined Energy Efficiency Ratio for Variable-Speed Portable Air Conditioners.*

For a variable-speed portable air conditioner, calculate the unit's unadjusted combined energy efficiency ratio, $CEER_{UA}$, in Btu/Wh, as follows:

For single-duct variable-speed portable air conditioners:

$$CEER_{SD_UA} = \left[\frac{ACC_{SD_95}}{\left(\frac{AEC_{SD_Full} + AEC_{ia/om}}{0.750}\right)}\right] \times 0.2 + \left[\frac{ACC_{SD_83_Low}}{\left(\frac{AEC_{SD_Low} + AEC_{ia/om}}{0.750}\right)}\right] \times 0.8$$

For dual-duct variable-speed portable air conditioners:

$$CEER_{DD_UA} = \left[\frac{ACC_{DD_95}}{\left(\frac{AEC_{DD_95_Full} + AEC_{ia/om}}{0.750}\right)}\right] \times 0.2 + \left[\frac{ACC_{DD_83_Low}}{\left(\frac{AEC_{DD_83_Low} + AEC_{ia/om}}{0.750}\right)}\right] \times 0.8$$

Where:

$CEER_{SD_UA}$, and $CEER_{DD_UA}$ = unadjusted combined energy efficiency ratio for a single-duct and dual-duct sample unit, in Btu/Wh, respectively.

ACC_{SD_95}, $ACC_{SD_83_Low}$, ACC_{DD_95}, and ACC_{DD_83} = adjusted cooling capacity for each duct configuration, temperature condition, and compressor speed, as calculated in section 5.1.2 of this appendix, in Btu/h.

AEC_{SD_Full}, AEC_{SD_Low}, $AEC_{DD_95_Full}$, and $AEC_{DD_83_Low}$ = annual energy consumption for each duct configuration, temperature condition, and compressor speed in cooling mode operation, as calculated in section 5.3 of this appendix, in kWh/year.

$AEC_{ia/om}$ = annual energy consumption attributed to inactive or off mode, in kWh/year, calculated in section 5.3 of this appendix.

0.750 = number of cooling mode hours per year, 750, multiplied by the conversion factor for watt-hours to kilowatt-hours, 0.001 kWh/Wh.

0.2 = weighting factor for the 95 °F dry-bulb outdoor temperature operating condition.

0.8 = weighting factor for the 83 °F dry-bulb outdoor temperature operating condition.

5.5 *Adjustment of the Combined Energy Efficiency Ratio.* Adjust the sample unit's unadjusted combined energy efficiency ratio as follows.

5.5.1 *Theoretical Comparable Single-Speed Portable Air Conditioner Cooling Capacity and Power at the Lower Outdoor Temperature Operating Condition.* Calculate the cooling capacity without and with cycling losses, in British thermal units per hour (Btu/h), and electrical power input, in watts, for a single-duct or dual-duct theoretical comparable single-speed portable air conditioner at an 83 °F outdoor dry-bulb outdoor temperature operating condition according to the following equations:

For a single-duct theoretical comparable single speed portable air conditioner:

$Capacity_{SD__83__SS} = Capacity_{SD__Full}$

$Capacity_{SD__83__SS__CF} = Capacity_{SD__Full} \times 0.82$

$P_{SD__83__SS} = P_{SD__Full}$

For a dual-duct theoretical comparable single speed portable air conditioner:

$Capacity_{DD__83__SS} = Capacity_{83__Full}$

$Capacity_{DD__83__SS__CF} = Capacity_{83__Full} \times 0.77$

$P_{DD__83__SS} = P_{83__Full}$

Where:

$Capacity_{SD__83__SS}$ and $Capacity_{DD__83__SS}$ = cooling capacity of a single-duct and dual-duct theoretical comparable single-speed portable air conditioner, calculated for the 83 °F dry-bulb outdoor temperature operating condition (Test Conditions 2.E and 2.B, respectively), in Btu/h.

$Capacity_{SD__83__SS__CF}$ and $Capacity_{DD__83__SS__CF}$ = cooling capacity of a single-duct and dual-duct theoretical comparable single-speed portable air conditioner with cycling losses, in Btu/h, calculated for the 83 °F dry-bulb outdoor temperature operating condition (Test Conditions 2.E and 2.B, respectively).

$Capacity_{SD__Full}$ and $Capacity_{83__Full}$ = cooling capacity of the sample unit, measured in section 4.1.2 of this appendix at Test Conditions 2.D and 2.B, in Btu/h.

$P_{SD__83__SS}$ and $P_{DD__83__SS}$ = power input of a single-duct and dual-duct theoretical comparable single-speed portable air conditioner calculated for the 83 °F dry-bulb outdoor temperature operating condition (Test Conditions 2.E and 2.B, respectively), in watts.

$P_{SD__Full}$ and $P_{83__Full}$ = electrical power input of the sample unit, measured in section 4.1.2 of this appendix at Test Conditions 2.D and 2.B, in watts.

0.82 = empirically-derived cycling factor for the 83 °F dry-bulb outdoor temperature operating condition for single-duct units.

0.77 = empirically-derived cycling factor for the 83 °F dry-bulb outdoor temperature operating condition for dual-duct units.

5.5.2 *Duct Heat Transfer for a Theoretical Comparable Single-Speed Portable Air Conditioner at the Lower Outdoor Temperature Operating Condition.* Calculate the duct heat transfer to the conditioned space for a single-duct or dual-duct theoretical comparable single-speed portable air conditioner at the 83 °F dry-bulb outdoor temperature operating condition as follows:

For a single-duct theoretical comparable single-speed portable air conditioner:

$Q_{duct__SD__83__SS} = Q_{duct__SD__Full}$

For a dual-duct theoretical comparable single-speed portable air conditioner:

$Q_{duct__DD__83__SS} = Q_{duct__DD__83__Full}$

Where:

$Q_{duct__SD__83__SS}$ and $Q_{duct__DD__83__SS}$ = total heat transferred from the condenser exhaust duct to the indoor conditioned space in cooling mode, for single-duct and dual-duct theoretical comparable single-speed portable air conditioners, respectively, at the 83 °F dry-bulb outdoor temperature operating condition (Test Conditions 2.E and 2.B, respectively), in Btu/h.

$Q_{duct__SD__Full}$ and $Q_{duct__DD__83__Full}$ = the total heat transferred from the duct to the indoor conditioned space in cooling mode, when tested at Test Conditions 2.D and 2.B, respectively, as calculated in section 4.1.3 of this appendix, in Btu/h.

5.5.3 *Infiltration Air Heat Transfer for a Theoretical Comparable Single-Speed Portable Air Conditioner at the Lower Outdoor Temperature Operating Condition.* Calculate the total heat contribution from infiltration air for a single-duct or dual-duct theoretical comparable single-speed portable air conditioner at the 83 °F dry-bulb outdoor temperature operating condition, as follows:

For a single-duct theoretical comparable single-speed portable air conditioner:

$Q_{infiltration__SD__83__SS} = Q_{infiltration__SD__83__Full}$

For a dual-duct theoretical comparable single-speed portable air conditioner:

$Q_{infiltration__DD__83__SS} = Q_{infiltration__DD__83__Full}$

Where:

$Q_{infiltration__SD__83__SS}$ and $Q_{infiltration__DD__83__SS}$ = total infiltration air heat in cooling

mode for a single-duct and dual-duct theoretical comparable single-speed portable air conditioner, respectively at the 83 °F dry-bulb outdoor temperature operating condition (Test Conditions 2.E and 2.B, respectively), in Btu/h.

$Q_{infiltration__SD__83__Full}$ and $Q_{infiltration__DD__83__Full}$ = total infiltration air heat transfer of the sample unit in cooling mode for each duct configuration, temperature condition, and compressor speed, as calculated in section 4.1.4 of this appendix, in Btu/h.

5.5.4 *Adjusted Cooling Capacity for a Theoretical Comparable Single-Speed Portable Air Conditioner at the Lower Outdoor Temperature Operating Condition*. Calculate the adjusted cooling capacity without and with cycling losses for a single-duct or dual-duct theoretical comparable single-speed portable air conditioner at the 83 °F dry-bulb outdoor temperature operating condition, in Btu/h, according to the following equations:

For a single-duct theoretical comparable single-speed portable air conditioner:

$$ACC_{SD__83__SS} = Capacity_{SD__83__SS} - Q_{duct__SD__83__SS} - Q_{infiltration__SD__83__SS}$$

$$ACC_{SD__83__SS__CF} = Capacity_{SD__83__SS__CF} - Q_{duct__SD__83__SS} - Q_{infiltration__SD__83__SS}$$

For a dual-duct theoretical comparable single-speed portable air conditioner:

$$ACC_{DD__83__SS} = Capacity_{83__SS} - Q_{duct__DD__83__SS} - Q_{infiltration__DD__83__SS}$$

$$ACC_{DD__83__SS__CF} = Capacity_{DD__83__SS__CF} - Q_{duct__DD__83__SS} - Q_{infiltration__DD__83__SS}$$

Where:

$ACC_{SD__83__SS}$, $ACC_{SD__83__SS__CF}$, $ACC_{DD__83__SS}$, and $ACC_{DD__83__SS__CF}$ = adjusted cooling capacity for a single-duct and dual-duct theoretical comparable single-speed portable air conditioner at the 83 °F dry-bulb outdoor temperature operating condition (Test Conditions 2.E and 2.B, respectively) without and with cycling losses, respectively, in Btu/h.

$Capacity_{SD__83__SS}$ and $Capacity_{SD__83__SS__CF}$ = cooling capacity of a single-duct theoretical comparable single-speed portable air conditioner without and with cycling losses, respectively, at Test Conditions 2.E and 2.B (the 83 °F dry-bulb outdoor temperature operating condition), respectively, calculated in section 5.5.1 of this appendix, in Btu/h.

$Capacity_{DD__83__SS}$ and $Capacity_{DD__83__SS__CF}$ = cooling capacity of a dual-duct theoretical comparable single-speed portable air conditioner without and with cycling losses, respectively, at Test Conditions 2.E and 2.B (the 83 °F dry-bulb outdoor temperature operating condition), respectively, calculated in section 5.5.1 of this appendix, in Btu/h.

$Q_{duct__SD__83__SS}$ and $Q_{duct__DD__83__SS}$ = total heat transferred from the ducts to the indoor conditioned space in cooling mode for a single-duct and dual-duct theoretical comparable single-speed portable air conditioner, at Test Conditions 2.E and 2.B (the 83 °F dry-bulb outdoor temperature operating condition), respectively, calculated in section 5.5.2 of this appendix, in Btu/h.

$Q_{infiltration__SD__83__SS}$ and $Q_{infiltration__DD__83__SS}$ = total infiltration air heat in cooling mode for a single-duct and dual-duct theoretical comparable single-speed portable air conditioner, respectively, at Test Conditions 2.E and 2.B (the 83 °F dry-bulb outdoor temperature operating condition), respectively, calculated in section 5.5.3 of this appendix, in Btu/h.

5.5.5 *Annual Energy Consumption in Cooling Mode for a Theoretical Comparable Single-Speed Portable Air Conditioner at the Lower Outdoor Temperature Operating Condition*. Calculate the annual energy consumption in cooling mode for a single-duct or dual-duct theoretical comparable single-speed portable air conditioner at the 83 °F dry-bulb outdoor temperature operating condition, in kWh/year, according to the following equations:

For a single-duct theoretical comparable single-speed portable air conditioner:

$$AEC_{SD__83__SS} = P_{SD__83__SS} \times 0.750$$

For a dual-duct theoretical comparable single-speed portable air conditioner:

$$AEC_{DD__83__SS} = P_{DD__83__SS} \times 0.750$$

Where:

$AEC_{SD__83__SS}$ and $AEC_{DD__83__SS}$ = annual energy consumption for a single-duct and dual-duct theoretical comparable single-speed portable air conditioner, respectively, in cooling mode at the 83 °F dry-bulb outdoor temperature operating condition (Test Conditions 2.E and 2.B, respectively), in kWh/year.

$P_{SD__83__SS}$ and $P_{DD__83__SS}$ = electrical power input for a single-duct and dual-duct theoretical comparable single-speed portable air conditioner, respectively, at the 83 °F dry-bulb outdoor temperature operating condition (Test Conditions 2.E and 2.B, respectively) as calculated in section 5.5.1 of this appendix, in watts.

0.750 = number of cooling mode hours per year, 750, multiplied by the conversion factor for watt-hours to kilowatt-hours, 0.001 kWh/Wh.

5.5.6 *Combined Energy Efficiency Ratio for a Theoretical Comparable Single-Speed Portable Air Conditioner*. Calculate the combined energy efficiency ratios for a theoretical comparable single-speed portable air conditioner without cycling losses, $CEER_{SD__SS}$ and $CEER_{DD__SS}$, and with cycling losses, $CEER_{SD__SS__CF}$ and $CEER_{DD__SS__CF}$, in Btu/Wh, according to the following equations:

For a single-duct portable air conditioner:

$$CEER_{SD_SS} = \left[\frac{ACC_{SD_95}}{\left(\frac{AEC_{SD_95_Full} + AEC_T}{0.750}\right)}\right] \times 0.2 + \left[\frac{ACC_{SD_83_SS}}{\left(\frac{AEC_{SD_83_SS} + AEC_T}{0.750}\right)}\right] \times 0.8$$

$$CEER_{SD_SS_CF} = \left[\frac{ACC_{SD_95}}{\left(\frac{AEC_{SD_95_Full} + AEC_T}{0.750}\right)}\right] \times 0.2 + \left[\frac{ACC_{SD_83_SS_CF}}{\left(\frac{AEC_{SD_83_SS} + AEC_T}{0.750}\right)}\right] \times 0.8$$

For a dual-duct portable air conditioner:

$$CEER_{DD_SS} = \left[\frac{ACC_{DD_95}}{\left(\frac{AEC_{DD_95_Full} + AEC_T}{0.750}\right)}\right] \times 0.2 + \left[\frac{ACC_{DD_83_SS}}{\left(\frac{AEC_{DD_83_SS} + AEC_T}{0.750}\right)}\right] \times 0.8$$

$$CEER_{DD_SS_CF} = \left[\frac{ACC_{DD_95}}{\left(\frac{AEC_{DD_95_Full} + AEC_T}{0.750}\right)}\right] \times 0.2 + \left[\frac{ACC_{DD_83_SS_CF}}{\left(\frac{AEC_{DD_83_SS} + AEC_T}{0.750}\right)}\right] \times 0.8$$

Where:

$CEER_{SD__SS}$ and $CEER_{SD__CF__SS}$ = combined energy efficiency ratio for a single-duct theoretical comparable single-speed portable air conditioner without and with cycling losses, respectively, in Btu/Wh.

$CEER_{DD__SS}$ and $CEER_{DD__CF__SS}$ = combined energy efficiency ratio for a dual-duct theoretical comparable single-speed portable air conditioner without and with cycling losses, respectively, in Btu/Wh.

$ACC_{SD__95}$ and $ACC_{DD__95}$ = adjusted cooling capacity of the sample unit, as calculated in section 5.1.2 of this appendix, when tested at Test Conditions 2.D and 2.A, respectively, in Btu/h.

$ACC_{SD__83__SS}$ and $ACC_{SD__83__SS__CF}$ = adjusted cooling capacity for a single-duct theoretical comparable single-speed portable air conditioner at the 83 °F dry-bulb outdoor temperature operating condition (Test Conditions 2.E) without and with cycling losses, respectively, as calculated in section 5.5.4 of this appendix, in Btu/h.

$ACC_{DD__83__SS}$ and $ACC_{DD__83__SS__CF}$ = adjusted cooling capacity for a dual-duct theoretical comparable single-speed portable air conditioner at the 83 °F dry-bulb outdoor temperature operating condition (Test Condition 2.B) without and with cycling losses, respectively, as calculated in section 5.5.4 of this appendix, in Btu/h.

$AEC_{SD__Full}$ = annual energy consumption of the single-duct sample unit, as calculated in section 5.4.2.1 of this appendix, in kWh/year.

$AEC_{DD__95__Full}$ = annual energy consumption for the dual-duct sample unit, as calculated in section 5.4.2.1 of this appendix, in kWh/year.

$AEC_{SD__83__SS}$ and $AEC_{DD__83__SS}$ = annual energy consumption for a single-duct and dual-duct theoretical comparable single-speed portable air conditioner, respectively, in cooling mode at the 83 °F dry-bulb outdoor temperature operating condition (Test Conditions 2.E and 2.B, respectively), calculated in section 5.5.5 of this appendix, in kWh/year.

AEC_T = total annual energy consumption attributed to all operating modes except cooling for the sample unit, calculated in section 5.3 of this appendix, in kWh/year.

0.750 as defined previously in this section.

0.2 = weighting factor for the 95 °F dry-bulb outdoor temperature operating condition.

0.8 = weighting factor for the 83 °F dry-bulb outdoor temperature operating condition.

5.5.7 *Performance Adjustment Factor.* Calculate the sample unit's performance adjustment factor, F_p, as follows:

For a single-duct unit:

$$F_{p_SD} = \frac{\left(CEER_{SD_SS} - CEER_{SD_SS_CF}\right)}{CEER_{SD_SS_CF}}$$

For a dual-duct unit:

$$F_{p_DD} = \frac{\left(CEER_{DD_SS} - CEER_{DD_SS_CF}\right)}{CEER_{DD_SS_CF}}$$

Where:

$CEER_{SD_SS}$ and $CEER_{SD_SS_CF}$ = combined energy efficiency ratio for a single-duct theoretical comparable single-speed portable air conditioner without and with cycling losses considered, respectively, calculated in section 5.5.6 of this appendix, in Btu/Wh.

$CEER_{DD_SS}$ and $CEER_{DD_SS_CF}$ = combined energy efficiency ratio for a dual-duct theoretical comparable single-speed portable air conditioner without and with cycling losses considered, respectively, calculated in section 5.5.6 of this appendix, in Btu/Wh.

5.5.8 *Single-Duct and Dual-Duct Variable-Speed Portable Air Conditioner Combined Energy Efficiency Ratio.* Calculate the sample unit's final combined energy efficiency ratio, CEER, in Btu/Wh, as follows:

For a single-duct portable air conditioner:

$$CEER_{SD} = CEER_{SD_UA} \times (1 + F_{p_SD})$$

For a dual-duct portable air conditioner:

$$CEER_{DD} = CEER_{DD_UA} \times (1 + F_{p_DD})$$

Where:

$CEER_{SD}$ and $CEER_{DD}$ = combined energy efficiency ratio for a single-duct and dual-duct sample unit, in Btu/Wh, respectively.

$CEER_{SD_UA}$ and $CEER_{DD_UA}$ = unadjusted combined energy efficiency ratio for a single-duct and dual-duct sample unit, respectively, calculated in section 5.4.2.1 of this appendix, in Btu/Wh.

F_{p_SD} and F_{p_DD} = single-duct and dual-duct sample unit's performance adjustment factor, respectively, calculated in section 5.5.7 of this appendix.

[81 FR 35265, June 1, 2016, as amended at 81 FR 70923, Oct. 14, 2016; 85 FR 21746, Apr. 20, 2020; 88 FR 31127, May 15, 2023]

APPENDIX CC1 TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF PORTABLE AIR CONDITIONERS

NOTE: Manufacturers must use the results of testing under this appendix CC1 to determine compliance with any standards that amend the portable air conditioners standard at §430.32(cc) with which compliance is required on January 10, 2025 and that use the Annualized Energy Efficiency Ratio (AEER) metric. Any representation related to energy also must be made in accordance with the appendix that applies (*i.e.*, appendix CC to this subpart or this appendix CC1). Manufacturers may also use this appendix CC1 to certify compliance with any amended standards before the compliance date for those standards.

0. Incorporation by Reference

DOE incorporated by reference in §430.3, the entire standard for AHAM PAC–1–2022, ANSI/AMCA 210–99, ASHRAE 37–2009, ASHRAE 41.1–1986, ASHRAE 41.6–1994, and IEC 62301; however, only enumerated provisions of AHAM PAC–1–2022, ANSI/AMCA 210–99, ASHRAE 37–2009, and IEC 62301 are applicable to this appendix CC1, as follows. Treat ''should'' in IEC 62301 as mandatory. When there is a conflict, the language of this appendix takes precedence over those documents.

0.1 AHAM PAC–1–2022

(a) Section 4 ''Definitions,'' as specified in section 2 of this appendix;

(b) Section 7 ''Test Setup,'' as specified in sections 3 and 4 of this appendix;

(c) Section 8 ''Test Conduct,'' as specified in section 4 of this appendix;

(d) Section 8.1 ''Cooling Mode,'' as specified in sections 5.1 and 5.3 of this appendix;

(e) Section 9 ''Calculation of Derived Results from Test Measurements,'' as specified in section 5 of this appendix;

(f) Section 9.1 ''Duct Heat Transfer,'' as specified in section 5.1 of this appendix;

(g) Section 9.2 ''Infiltration Air Heat Transfer,'' as specified in section 5.1 of this appendix.

0.2 ANSI/AMCA 210–99 (''ANSI/AMCA 210'')

(a) Figure 12, ''Outlet chamber Setup—Multiple Nozzles in Chamber,'' as specified in section 4 of this appendix;

(b) Figure 12 Notes, as specified in section 4 of this appendix.

0.3 ASHRAE 37–2009

(a) Section 5.1 ''Temperature Measuring Instruments,'' as specified in section 3 of this appendix;

(b) Section 5.3 ''Air Differential Pressure and Airflow Measurements,'' as specified in section 3 of this appendix;

(c) Section 5.4 ''Electrical Instruments,'' as specified in section 4 of this appendix;

(d) Section 6.2 ''Nozzle Airflow Measuring Apparatus,'' as specified in section 4 of this appendix;

(e) Section 6.3 ''Nozzles,'' as specified in section 4 of this appendix;
(f) Section 7.3 ''Indoor and Outdoor Air Enthalpy Methods,'' as specified in section 4 of this appendix;
(g) Section 7.7 ''Airflow Rate Measurement,'' as specified in section 4 of this appendix;
(h) Section 8.7 ''Test Procedure for Cooling Capacity Tests,'' as specified in section 4 of this appendix;
(i) Section 9 ''Data to be Recorded,'' as specified in section 4 of this appendix;
(j) Section 10 ''Test Results,'' as specified in section 4 of this appendix;
(k) Section 11.1 ''Symbols Used In Equations,'' as specified in section 4 of this appendix.

0.4 IEC 62301

(a) Paragraph 4.2 ''Test room'' as specified in section 3 of this appendix;
(b) Paragraph 4.3.2 ''Supply voltage waveform,'' as specified in section 3 of this appendix;
(c) Paragraph 4.4 ''Power measuring instruments,'' as specified in section 3 of this appendix;
(d) Paragraph 5.1, ''General,'' Note 1 as specified in section 4 of this appendix;
(e)Paragraph 5.2 ''Preparation of product,'' as specified in section 3 of this appendix;
(f) Paragraph 5.3.2 ''Sampling method,'' as specified in section 4 of this appendix;
(g) Annex D, ''Determination of Uncertainty of Measurement,'' as specified in section 3 of this appendix.

1. Scope

Establishes test requirements to measure the energy performance of single-duct and dual-duct, and single-speed and variable-speed portable air conditioners in accordance with AHAM PAC–1–2022, unless otherwise specified.

2. Definitions

Definitions for industry standards, terms, modes, calculations, etc. are in accordance with AHAM PAC–1–2022, section 4, with the following added definition:
Annualized Energy Efficiency Ratio means the energy efficiency of a portable air conditioner as measured in accordance with this test procedure as the total annual cooling delivered divided by the total annual energy consumption in per watt-hours (Btu/Wh) and determined in section 5.4.

3. Test Apparatus and General Instructions

Follow requirements and instructions for test conduct and test setup in accordance with AHAM PAC–1–2022, section 7, excluding section 7.1.3, including references to ASHRAE 37–2009, sections 5.1 and 5.3, and IEC 62301 sections 4.2, 4.3.2, 4.4, and 5.2, and Annex D. If the portable air conditioner has network functions, disable all network functions throughout testing if possible. If an end-user cannot disable a network function or the product's user manual does not provide instruction for disabling a network function, test the unit with that network function in the factory default configuration for the duration of the test.

3.1 *Duct temperature measurements.* Install any insulation and sealing provided by the manufacturer. For a dual-duct or single-duct unit, adhere four thermocouples per duct, spaced along the entire length equally, to the outer surface of the duct. Measure the surface temperatures of each duct. For a combined-duct unit, adhere sixteen thermocouples to the outer surface of the duct, spaced evenly around the circumference (four thermocouples, each 90 degrees apart, radially) and down the entire length of the duct (four sets of four thermocouples, evenly spaced along the entire length of the duct), ensuring that the thermocouples are spaced along the entire length equally, on the surface of the combined duct. Place at least one thermocouple preferably adjacent to, but otherwise as close as possible to, the condenser inlet aperture and at least one thermocouple on the duct surface preferably adjacent to, but otherwise as close as possible to, the condenser outlet aperture. Measure the surface temperature of the combined duct at each thermocouple. Temperature measurements must have an error no greater than ±0.5 °F over the range being measured.

4. Test Measurement

Follow requirements for test conduct in active and inactive modes of operation in accordance with AHAM PAC–1–2022, section 8, except section 8.1.b, including references to sections 5.4, 6.2, 6.3, 7.3, 7.7, 8.7, 9, 10, and 11 of ASHRAE 37–2009, referring to Figure 12 and Figure 12 Notes of ANSI/AMCA 210 to determine placement of static pressure taps, and including references to ASHRAE 41.1–1986 and ASHRAE 41.6–1994. When conducting cooling mode testing for a variable-speed dual-duct portable air conditioner, use test configurations 1C and 1E in Table 2 of AHAM PAC–1–2022. Conduct the first test in accordance with ambient conditions for test configuration 1C in Table 2 of AHAM PAC–1–2022, and measure cooling capacity ($Capacity_{DD__95__Full}$) and input power ($P_{DD__95__Full}$). Conduct the second test in accordance with the ambient conditions for test configuration 1E in Table 2 of AHAM PAC–1–2022, with the compressor speed set to low for the duration of cooling mode testing (in accordance with the manufacturer instructions as described in section 7.1.10), and measure cooling capacity ($Capacity_{DD__83__Low}$) and input

power ($P_{DD__83__Low}$). When conducting standby power testing using the sampling method described in section 5.3.2 of IEC 62301, if the standby mode is cyclic and irregular or unstable, collect 10 cycles worth of data. As discussed in Paragraph 5.1, Note 1 of IEC 62301, allow sufficient time for the unit to reach the lowest power state before proceeding with the test measurement.

5. Calculation of Derived Results From Test Measurements

Perform calculations from test measurements to determine Seasonally Adjusted Cooling Capacity (SACC) and Annualized Energy Efficiency Ratio (AEER) in accordance with AHAM PAC–1–2022, section 9 unless otherwise specified in this section.

5.1 *Adjusted Cooling Capacity*. Calculate the adjusted cooling capacities at the 95 °F and 83 °F operating conditions specified below of the sample unit, in Btu/h, according to the following equations.

For a single-duct single-speed unit:

$$ACC_{95} = Capacity_{SD} - Q_{duct__SD} - Q_{infiltration__95}$$

$$ACC_{83} = 0.6000 \times (Capacity_{SD} - Q_{duct__SD} - Q_{infiltration__95})$$

For a single-duct variable-speed unit:

$$ACC_{95} = Capacity_{SD__Full} - Q_{duct__SD__Full} - Q_{infiltration__95}$$

$$ACC_{83} = Capacity_{SD__Low} - Q_{duct__SD__Low} - Q_{infiltration__83__Low}$$

For a dual-duct single-speed unit:

$$ACC_{95} = Capacity_{DD__95} - Q_{duct__DD__95} - Q_{infiltration__95}$$

$$ACC_{83} = 0.5363 \times (Capacity_{DD__83} - Q_{duct__DD__83} - Q_{infiltration__83})$$

For a dual-duct variable-speed unit:

$$ACC_{95} = Capacity_{DD__95__Full} - Q_{duct__DD__95__Full} - Q_{infiltration__95}$$

$$ACC_{83} = Capacity_{DD_____Low} - Q_{duct__DD__83__Low} - Q_{infiltration__83__Low}$$

Where:

ACC_{95} and ACC_{83} = adjusted cooling capacity of the sample unit, in Btu/h, calculated from testing at:

For a single-duct single-speed unit, test configuration 2A in Table 2 of AHAM PAC–1–2022.

For a single-duct variable-speed unit, test configurations 2B and 2C in Table 2 of AHAM PAC–1–2022.

For a dual-duct single-speed unit, test configurations 1A and 1B in Table 2 of AHAM PAC–1–2022.

For a dual-duct variable-speed unit: test configurations 1C and 1E in Table 2 of AHAM PAC–1–2022.

$Capacity_{SD}$, $Capacity_{SD__Full}$, $Capacity_{SD__Low}$, $Capacity_{DD__95}$, $Capacity_{DD__83}$, $Capacity_{DD__95__Full}$, and $Capacity_{DD__83__Low}$ = cooling capacity, in Btu/h, measured in testing at test configuration 2A, 2B, 2C, 1A, 1B, 1C, and 1E of Table 2 in section 8.1 of AHAM PAC–1–2022, respectively.

$Q_{duct__SD}$, $Q_{duct__SD__Full}$, $Q_{duct__SD__Low}$, $Q_{duct__DD__95}$, $Q_{duct__DD__83}$, $Q_{duct__DD__95__Full}$, and $Q_{duct__DD__83__Low}$ = duct heat transfer while operating in cooling mode for each duct configuration, compressor speed (where applicable) and temperature condition (where applicable), calculated in section 9.1 of AHAM PAC–1–2022, in Btu/h.

$Q_{infiltration__95}$, $Q_{infiltration__83}$, and $Q_{infiltration__83__Low}$ = total infiltration air heat transfer in cooling mode, in Btu/h, for each of the following compressor speed and duct configuration combinations:

For a single-duct single-speed unit, use $Q_{infiltration__95}$ as calculated for a single-duct single-speed unit in section 9.2 of AHAM PAC–1–2022.

For a single-duct variable-speed unit, use $Q_{infiltration__95}$ and $Q_{infiltration__83__Low}$ as calculated for a single-duct variable-speed unit in section 9.2 of AHAM PAC–1–2022.

For a dual-duct single-speed unit, use $Q_{infiltration__95}$ and $Q_{infiltration__83}$ as calculated for a dual-duct single-speed unit in section 9.2 of AHAM PAC–1–2022.

For a dual-duct variable-speed unit, use $Q_{infiltration__95}$ and $Q_{infiltration__83__Low}$ as calculated for a dual-duct variable-speed unit in section 9.2 of AHAM PAC–1–2022.

0.6000 and 0.5363 = empirically-derived load-based capacity adjustment factor for a single-duct and dual-duct single-speed unit, respectively, when operating at test conditions 2A and 1B.

5.2 *Seasonally Adjusted Cooling Capacity*. Calculate the seasonally adjusted cooling capacity for the sample unit, SACC, in Btu/h, according to:

$$SACC = ACC_{95} \times 0.144 + ACC_{83} \times 0.856$$

Where:

ACC_{95} and ACC_{83} = adjusted cooling capacities at the 95 °F and 83 °F outdoor temperature conditions, respectively, in Btu/h, calculated in section 5.1 of this appendix.

0.144 = empirically-derived weighting factor for ACC_{95}.

0.856 = empirically-derived weighting factor for ACC_{83}.

5.3 *Annual Energy Consumption*. Calculate the annual energy consumption in each operating mode, AECm, in kilowatt-hours per year (kWh/year). Use the following annual hours of operation for each mode:

TABLE 1—ANNUAL OPERATING HOURS

Operating mode	Annual operating hours
Cooling Mode Test Configurations 1A, 1C, 2A (95), 2B	164
Cooling Mode Test Configurations 1B, 2A (83)	586
Cooling Mode Test Configuration 1E, 2C	977
Off-Cycle, Single-Speed	391
Off-Cycle, Variable-Speed	0
Total Cooling and Off-cycle Mode	1,141
Inactive or Off Mode	1,844

Calculate total annual energy consumption in all modes according to the following equations:

$AEC_{ia/om} = P_{ia/om} \times t_{ia/om} \times k$

For a single-duct single-speed unit:

$AEC_{95} = P_{SD__95} \times t_{SD__95} \times k$

$$AEC_{83} = \frac{P_{SD_83} \times t_{SD_83} \times k}{0.82}$$

For a single-duct variable-speed unit:

$AEC_{95} = P_{SD__Full} \times t_{SD__Full} \times k$

$AEC_{83} = P_{SD__Low} \times t_{SD__Low} \times k$

For a dual-duct single-speed unit:

$AEC_{95} = P_{DD__95} \times t_{DD__95} \times k$

$$AEC_{83} = \frac{P_{DD_83} \times t_{DD_83} \times k}{0.77}$$

For a dual-duct variable-speed unit:

$AEC_{95} = P_{DD__95__Full} \times t_{DD__95__Full} \times k$

$AEC_{83} = P_{DD__83__Low} \times t_{DD__83__Low} \times k$

Where:

AEC_{95} and AEC_{83} = total annual energy consumption attributed to all modes representative of either the 95 °F and 83 °F operating condition, respectively, in kWh/year.

P_m = average power in each mode, in watts, as determined in sections 4.1.1 and 4.1.2.

t_m = number of annual operating time in each mode, in hours.

k = 0.001 kWh/Wh conversion factor from watt-hours to kilowatt-hours.

0.82 = empirically-derived factor representing efficiency losses due to compressor cycling outside of fan operation for single-duct units

0.77 = empirically-derived factor representing efficiency losses due to compressor cycling outside of fan operation for dual-duct units

m represents the operating mode:

—''DD__95'' and ''DD__83'' correspond to cooling mode in Test Configurations 1A and 1B in Table 2 of AHAM PAC–1–2022, respectively, for dual-duct single-speed units,

—''DD__95__Full'', ''DD__83__Low'' correspond to cooling mode in Test Configurations 1C and 1E in Table 2 of AHAM PAC–1–2022, respectively, for dual-duct variable-speed units,

—''SD__95'' corresponds to cooling mode in Test Configuration 2A in Table 2 of AHAM PAC–1–2022 for single-duct single-speed units, for use when calculating AEC at the 95 °F outdoor temperature condition,

—''SD__83'' corresponds to cooling mode in Test Configuration 2A in Table 2 of AHAM PAC–1–2022 for single-duct single-speed units, for use when calculating AEC at the 83 °F outdoor temperature condition,

—''SD__Full'' and ''SD__Low'' correspond to cooling mode in Test Configurations 2B and 2C in Table 2 of AHAM PAC–1–2022, respectively, for single-duct variable-speed units,

—''oc'' corresponds to off-cycle,

—''ia/om'' corresponds to inactive or off mode,

5.4 *Annualized Cooling and Energy Ratio.* Calculate the annualized energy efficiency ratio, AEER, in Btu/Wh, according to the following equation:

$$AEER = 0.001 \times \frac{(ACC_{95} \times 164) + (ACC_{83} \times 977)}{AEC_{95} + AEC_{83} + AEC_{oc} + AEC_{ia/om}}$$

Where:

AEER = the annualized energy efficiency ratio of the sample unit in Btu/Wh.

ACC_{95} and ACC_{83} = adjusted cooling capacity at the 95 °F and 83 °F outdoor temperature conditions, respectively, calculated in section 5.1 of this appendix.

AEC_{95}, AEC_{83}, AEC_{oc}, and $AEC_{ia/om}$ = total annual energy consumption attributed to all modes representative the 95 °F operating condition, the 83 °F operating condition, off-cycle mode, and inactive or off mode respectively, in kWh/year, calculated in section 5.3 of this appendix.

$t_{cm__95}$ = number of annual hours spent in cooling mode at the 95 °F operating condition, $t_{DD__95}$ for dual-duct single-speed units, $t_{DD__95__Full}$ for dual-duct variable-speed units, $t_{SD__95}$ for single-duct single-speed units, or $t_{SD__Full}$ for single-duct variable-speed units, defined in section 5.3 of this appendix.

164 = number of annual hours spent in cooling mode at the 95 °F operating condition, as shown in Table III.2

977 = number of annual hours spent in cooling mode and off-cycle mode at the 83 °F operating condition, defined in section 5.3 of this appendix. 0.001 = kWh/Wh conversion factor for watt-hours to kilowatt-hours.

[88 FR 31136, May 15, 2023

Appendix DD to Subpart B of Part 430—Uniform Test Method for Measuring the Energy Consumption and Energy Efficiency of General Service Lamps That Are Not General Service Incandescent Lamps, Compact Fluorescent Lamps, or Integrated LED Lamps

Note: On or after April 19, 2017, any representations, including certifications of compliance (if required), made with respect to the energy use or efficiency of general service lamps that are not general service incandescent lamps, compact fluorescent lamps, or integrated LED lamps must be made in accordance with the results of testing pursuant to this appendix DD.

1. *Scope:* This appendix DD specifies the test methods required to measure the initial lumen output, input power, lamp efficacy, power factor, and standby mode energy consumption of general service lamps that are not general service incandescent lamps, compact fluorescent lamps, or integrated LED lamps.

2. *Definitions:*

Measured initial input power means the input power to the lamp, measured after the lamp is stabilized and seasoned (if applicable), and expressed in watts (W).

Measured initial lumen output means the lumen output of the lamp, measured after the lamp is stabilized and seasoned (if applicable), and expressed in lumens (lm).

Power factor means the measured initial input power (watts) divided by the product of the input voltage (volts) and the input current (amps) measured at the same time as the initial input power.

3. Active Mode Test Procedures

3.1. Take measurements at full light output.

3.2. Do not use a goniophotometer.

3.3. For single base OLED and non-integrated LED lamps, position a lamp in either the base-up and base-down orientation throughout testing. Test an equal number of lamps in the sample in the base-up and base-down orientations, except that, if the manufacturer restricts the orientation, test all of the units in the sample in the manufacturer-specified orientation. For double base OLED and non-integrated LED lamps, test all units in the horizontal orientation except that, if the manufacturer restricts the orientation, test all of the units in the sample in the manufacturer-specified orientation.

3.4. Operate the lamp at the rated voltage throughout testing. For lamps with multiple rated voltages including 120 volts, operate the lamp at 120 volts. If a lamp is not rated for 120 volts, operate the lamp at the highest rated input voltage. For non-integrated LED lamps, operate the lamp at the manufacturer-declared input voltage and current.

3.5. Operate the lamp at the maximum input power. If multiple modes occur at the same maximum input power (such as variable CCT or CRI), the manufacturer may select any of these modes for testing; however, all measurements must be taken at the same selected mode. The manufacturer must indicate in the test report which mode was selected for testing and include detail such that another laboratory could operate the lamp in the same mode.

3.6. To measure initial lumen output, input power, input voltage, and input current use the test procedures in the table in this section.

TABLE 3.1—REFERENCES TO INDUSTRY STANDARD TEST PROCEDURES

Lamp type	Referenced test procedure
General service incandescent lamps	Appendix R to subpart B of 10 CFR part 430.
Compact fluorescent lamps	Appendix W to subpart B of 10 CFR part 430.
Integrated LED lamps	Appendix BB to subpart B of 10 CFR part 430.
Other incandescent lamps that are not reflector lamps	IES LM–45–15, sections 4–6, and section 7.1.*
Other incandescent lamps that are reflector lamps	IES LM–20–13, sections 4–6, and section 8.*
Other fluorescent lamps	IES LM–9–09–DD, sections 4–6, and section 7.5.*
OLED lamps	IES LM–79–08–DD, sections 1.3 (except 1.3f), 2.0, 3.0, 5.0, 7.0, 8.0, 9.1 and 9.2.*
Non-integrated LED lamps	IES LM–79–08–DD, sections 1.3 (except 1.3f), 2.0, 3.0, 5.0, 7.0, 8.0, 9.1 and 9.2.*

*Incorporated by reference, see §430.3.

3.7. Determine initial lamp efficacy by dividing the measured initial lumen output (lumens) by the measured initial input power (watts).

3.8. Determine power factor by dividing the measured initial input power (watts) by the product of the measured input voltage (volts) and measured input current (amps).

4. Standby Mode Test Procedure

4.1. Measure standby mode power only for lamps that are capable of standby mode operation.

4.2. Maintain lamp orientation as specified in section 3.3 of this appendix.

4.3. Connect the lamp to the manufacturer-specified wireless control network (if applicable) and configure the lamp in standby mode by sending a signal to the lamp instructing it to have zero light output. Lamp must remain connected to the network throughout testing.

4.4. Operate the lamp at the rated voltage throughout testing. For lamps with multiple rated voltages including 120 volts, operate the lamp at 120 volts. If a lamp is not rated for 120 volts, operate the lamp at the highest rated input voltage.

4.5. Stabilize the lamp prior to measurement as specified in section 5 of IEC 62301–DD (incorporated by reference; see §430.3).

4.6. Measure the standby mode power in watts as specified in section 5 of IEC 62301–DD (incorporated by reference; see §430.3).

[81 FR 72504, Oct. 20, 2016]

APPENDIX EE TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF CONSUMER BOILERS

0. *Incorporation by reference*

DOE incorporated by reference in §430.3, the entire standard for ASHRAE 103–2017, ASHRAE 41.6–2014, ASTM D2156–09 (R2018), and IEC 62301. However, only enumerated provisions of ASHRAE 103–2017 are applicable to this appendix, as follows. In cases where there is a conflict, the language of the test procedure in this appendix takes precedence over the incorporated standards.

0.1 ASHRAE 103–2017

(a) Section 2 ''Scope'' as referenced in section 1 of this appendix;

(b) Section 3 ''Definitions'' as referenced in section 2 of this appendix;

(c) Section 4 ''Classifications'' as referenced in section 3 of this appendix;

(d) Section 5 ''Requirements'' as referenced in section 4 of this appendix;

(e) Section 6 ''Instruments'' as referenced in sections 5 and 8 of this appendix;

(f) Section 7 ''Apparatus'' (except for sections 7.1 and 7.8) as referenced in sections 6, 7.7, and 8.6 of this appendix;

(g) Section 8 ''Methods of Testing'' (except for sections 8.3.1.3, 8.3.3.1, 8.4.1.1, 8.4.1.1.1, 8.4.1.2, 8.6.1.1, 8.7.2, and 8.8.3) as referenced in sections 7 and 8 of this appendix;

(h) Section 9 ''Test Procedure'' (except for 9.1.2.2.1, 9.1.2.2.2, 9.5.2.1, 9.7.4, and 9.10) as referenced in sections 7.3, 8, and 10.4 of this appendix;

(i) Section 10 ''Nomenclature'' as referenced in section 9 of this appendix; and

(j) Section 11 ''Calculations'' as referenced in sections 8.8 and 10 of this appendix.

0.2 [Reserved]

1. *Scope.* The scope of this appendix is as specified in section 2 of ASHRAE 103–2017 as it pertains to low pressure steam or hot water boiler and electric boilers.

2. *Definitions.* Definitions include those specified in section 3 of ASHRAE 103–2017 and the following additional and modified definitions.

Active mode means the condition in which the boiler is connected to the power source, and at least one of the burner, electric resistance elements, or any electrical auxiliaries such as blowers or pumps, are activated.

Boiler pump means a pump installed on a boiler that maintains adequate water flow through the boiler heat exchanger and that is separate from the circulating water pump.

Draft inducer means a fan incorporated in the boiler that either draws or forces air into the combustion chamber.

Gas valve means an automatic or semi-automatic device consisting essentially of a

valve and operator that controls the gas supply to the burner(s) during normal operation of an appliance. The operator may be actuated by application of gas pressure on a flexible diaphragm, by electrical means, by mechanical means or by other means.

Installation and operation (I&O) manual means instructions for installing, commissioning, and operating the boiler, which are supplied with the product when shipped by the manufacturer.

Off mode means a mode in which the boiler is connected to a mains power source and is not providing any active mode or standby mode function, and where the mode may persist for an indefinite time. The existence of an off switch in off position (a disconnected circuit) is included within the classification of off mode.

Off switch means the switch on the boiler that, when activated, results in a measurable change in energy consumption between the standby and off modes.

Oil control valve means an automatically or manually operated device consisting of an oil valve for controlling the fuel supply to a burner to regulate burner input.

Standard cubic foot of gas means the amount of gas that would occupy 1 cubic foot when at a temperature of 60 °F and under a pressure equivalent to that of 30 inches Hg if saturated with water vapor.

Standby mode means any mode in which the boiler is connected to a mains power source and offers one or more of the following space heating functions that may persist:

(a) To facilitate the activation of other modes (including activation or deactivation of active mode) by remote switch (including thermostat or remote control), internal or external sensors, or timer;

(b) Continuous functions, including information or status displays or sensor-based functions.

Thermal stack damper means a type of stack damper that relies exclusively upon the changes in temperature in the stack gases to open or close the damper.

3. *Classifications*. Classifications are as specified in section 4 of ASHRAE 103–2017.

4. *Requirements*. Requirements are as specified in section 5 of ASHRAE 103–2017.

5. *Instruments*. Instruments must be as specified in section 6 of ASHRAE 103–2017. In addition to the requirements in Section 6.3 of ASHRAE 103–2017, instruments for oil pressure shall be calibrated so that the error is no greater than ±0.5 psi.

6. *Apparatus*. The apparatus used in conjunction with the boiler during the testing must be as specified in section 7 of ASHRAE 103–2017 except for sections 7.1 and 7.8; and as specified in sections 6.1 and 6.2 of this appendix. In section 7.2.3.1 of ASHRAE 103–2017, substitute ''in accordance with the I&O manual'' for ''in accordance with manufacturer instructions'' with regard to installing the stack damper.

6.1 *General*.

(a) Install the boiler in the test room in accordance with the I&O manual, as defined in section 2.5 of this appendix, except that if provisions within this appendix are specified, then the provisions herein drafted and prescribed by DOE govern. If the I&O manual and any additional provisions of this appendix are not sufficient for testing a boiler, the manufacturer must request a waiver from the test procedure pursuant to §430.27.

(b) The apparatuses described in section 6 of this appendix are used in conjunction with the boiler during testing. Each piece of apparatus shall conform to material and construction specifications listed in this appendix and in ASHRAE 103–2017, and the reference standards cited in this appendix and in ASHRAE 103–2017.

(c) Test rooms containing equipment must have suitable facilities for providing the utilities (including but not limited to environmental controls, sufficient fluid source(s), applicable measurement equipment, and any other technology or tools) necessary for performance of the test and must be able to maintain conditions within the limits specified in section 6 of this appendix.

6.2 *Condensate collection*. Attach condensate drain lines to the unit as specified in the I&O manual. Maintain a continuous downward slope of drain lines from the unit. Additional precautions (such as eliminating any line configuration or position that would otherwise restrict or block the flow of condensate or checking to ensure a proper connection with condensate drain spout that allows for unobstructed flow) must be taken to facilitate uninterrupted flow of condensate during the test. Collection containers must be glass or polished stainless steel to facilitate removal of interior deposits. The collection container must have a vent opening to the atmosphere.

7. *Testing conditions*. The testing conditions must be as specified in section 8 of ASHRAE 103–2017 (except for the excluded sub-sections as enumerated in section 0.1(g) of this appendix); and as specified in sections 7.1 to 7.8 of this appendix, respectively. For condensing furnaces and boilers, the relative humidity of the room air shall be measured in accordance with one of the methods described in ASHRAE 41.6–2014 (see section 8.5 of ASHRAE 103–2017).

7.1 *Fuel supply, gas*. In conducting the tests specified herein, gases with characteristics as shown in Table 1 of ASHRAE 103–2017 shall be used. Maintain the gas supply, ahead of all controls for a boiler, at a test pressure between the normal and increased values shown in Table 1 of ASHRAE 103–2017. Maintain the regulator outlet pressure at a level approximating that recommended in

the I&O manual, as defined in section 2.5 of this appendix, or, in the absence of such recommendation, to the regulator settings used when the product is shipped by the manufacturer. Use a gas having a specific gravity of approximately that shown in Table 1 of ASHRAE 103–2017 and with a higher heating value within ±5% of the higher heating value shown in Table 1 of ASHRAE 103–2017. Determine the actual higher heating value in Btu per standard cubic foot of gas (defined in section 2 of this appendix) to be used in the test within an error no greater than 1%.

7.2 *Installation of piping.* Install piping equipment in accordance with the I&O manual. In the absence of such specification, install piping in accordance with section 8.3.1.1 of ASHRAE 103–2017.

7.3 *Gas burner.* Adjust the burners of gas-fired boilers to their maximum Btu input ratings at the normal test pressure specified by section 7.1 of this appendix. Correct the burner input rate to reflect gas characteristics at a temperature of 60 °F and atmospheric pressure of 30 in of Hg and adjust to within ±2 percent of the hourly Btu nameplate input rating specified by the manufacturer as measured at the maximum input rate during the steady-state performance test in section 8 of this appendix. Set the primary air shutters in accordance with the I&O manual to give a good flame at this condition. If, however, the setting results in the deposit of carbon on the burners during any test specified herein, the tester shall adjust the shutters and burners until no more carbon is deposited and shall perform the tests again with the new settings (*see* Figure 9 of ASHRAE 103–2017). After the steady-state performance test has been started, do not make additional adjustments to the burners during the required series of performance tests specified in section 9 of ASHRAE 103–2017. If a vent-limiting means is provided on a gas pressure regulator, keep it in place during all tests.

7.4 *Modulating gas burner adjustment at reduced input rate.* For gas-fired boilers equipped with modulating-type controls, adjust the controls to operate the unit at the nameplate minimum input rate. If the modulating control is of a non-automatic type, adjust the control to the setting recommended in the I&O manual. In the absence of such recommendation, the midpoint setting of the non-automatic control shall be used as the setting for determining the reduced fuel input rate. Start the boiler by turning the safety control valve to the ''ON'' position. Use a supply water temperature that will allow for continuous operation without shut-off by the control. If necessary to achieve such continuous operation, supply water may be increased above 120 °F; in such cases, gradually increase the supply water temperature to determine what minimum supply water temperature, with a 20 °F temperature rise across the boiler, will be needed to adjust for the minimum input rate at the reduced input rate control setting. Monitor regulated gas pressure out of the modulating control valve (or entering the burner) to determine when no further reduction of gas pressure results. The flow rate of water through the boiler shall be adjusted to achieve a 20 °F temperature rise.

7.5 *Oil burner.* Adjust the burners of oil-fired boilers to give a CO_2 reading specified in the I&O manual and an hourly Btu input within ±2% of the hourly Btu nameplate input rating as specified in the I&O manual and as measured at maximum input rate during steady-state performance test as described in section 8 of this appendix. Smoke in the flue may not exceed a No. 1 smoke during the steady-state performance test as measured by the procedure in ASTM D2156–09 (R2018). Maintain the average draft over the fire and in the flue during the steady-state performance test at the value specified in the I&O manual. Do not allow draft fluctuations exceeding 0.005 in. water. Do not make additional adjustments to the burner during the required series of performance tests. The instruments and measuring apparatus for this test are described in section 6 of this appendix and shown in Figure 8 of ASHRAE 103–2017.

7.6 *Measurement of jacket surface temperature.* Divide the jacket of the boiler into 6-inch squares when practical, and otherwise into 36-square-inch regions comprising 4 inch by 9 inch or 3 inch by 12 inch sections, and determine the surface temperature at the center of each square or section with a surface thermocouple. Record the surface temperature of the 36-square-inch areas in groups where the temperature differential of the 36-square-inch areas is less than 10 °F for temperature up to 100 °F above room temperature, and less than 20 °F for temperatures more than 100 °F above room temperature.

7.7 *Installation of vent system.* Keep the vent or air intake system supplied by the manufacturer in place during all tests. Test units intended for installation with a variety of vent pipe lengths with the minimum vent length as specified in the I&O manual, or a 5-ft. flue pipe if there are no recommendations in the I&O manual. Do not connect a boiler employing a direct vent system to a chimney or induced-draft source. Vent combustion products solely by using the venting incorporated in the boiler and the vent or air intake system supplied by the manufacturer. For units that are not designed to significantly preheat the incoming air, see section 7.5 of this appendix and Figure 4a or 4b in section 7 of ASHRAE 103–2017. For units that do significantly preheat the incoming air, *see* Figure 4c or 4d in section 7 of ASHRAE 103–2017.

7.8 *Additional optional method of testing for determining D_P and D_F.* On units whose design is such that there is no measurable airflow through the combustion chamber and heat exchanger when the burner(s) is (are) off as determined by the optional test procedure in section 7.8.1 of this appendix, D_F and D_P may be set equal to 0.05.

7.8.1 *Optional test method for indicating the absence of flow through the heat exchanger.* Manufacturers may use the following test protocol to determine whether air flows through the combustion chamber and heat exchanger when the burner(s) is (are) off. The minimum default draft factor may be used only for units determined pursuant to this protocol to have no airflow through the combustion chamber and heat exchanger.

7.8.1.1 *Test apparatus.* Use a smoke stick that produces smoke that is easily visible and has a density less than or approximately equal to air. Use a smoke stick that produces smoke that is non-toxic to the test personnel and produces gas that is unreactive with the environment in the test chamber.

7.8.1.2 *Test conditions.* Minimize all air currents and drafts in the test chamber, including turning off ventilation if the test chamber is mechanically ventilated. Wait at least two minutes following the termination of the boiler on-cycle before beginning the optional test method for indicating the absence of flow through the heat exchanger.

7.8.1.3 *Location of the test apparatus.* After all air currents and drafts in the test chamber have been eliminated or minimized, position the smoke stick based on the following equipment configuration:

(a) For horizontal combustion air intakes, approximately 4 inches from the vertical plane at the termination of the intake vent and 4 inches below the bottom edge of the combustion air intake; or

(b) for vertical combustion air intakes, approximately 4 inches horizontal from vent perimeter at the termination of the intake vent and 4 inches down (parallel to the vertical axis of the vent). In the instance where the boiler combustion air intake is closer than 4 inches to the floor, place the smoke device directly on the floor without impeding the flow of smoke.

7.8.1.4 *Duration of test.* Establish the presence of smoke from the smoke stick and then monitor the direction of the smoke flow for no less than 30 seconds.

7.8.1.5 *Test results.* During visual assessment, determine whether there is any draw of smoke into the combustion air intake vent.

If absolutely no smoke is drawn into the combustion air intake, the boiler meets the requirements to allow use of the minimum default draft factor provided in section 7.8 of this appendix.

If there is any smoke drawn into the intake, proceed with the methods of testing as prescribed in section 8.8 of ASHRAE 103–2017.

7.8.2 [Reserved]

8. *Test procedure.* Conduct testing and measurements as specified in Section 9 of ASHRAE 103–2017 (except for the excluded sub-sections as enumerated in section 0.1(h) of this appendix); and as specified in sections 8.1 through 8.9 of this appendix. Section 8.4 of this appendix may be used in lieu of section 9.2 of ASHRAE 103–2017.

8.1 *Fuel input.* For gas units, measure and record the steady-state gas input rate in Btu/h, including pilot gas, corrected to standard conditions of 60 °F and 30 in. Hg. Use measured values of gas temperature and pressure at the meter and barometric pressure to correct the metered gas flow rate to the above standard conditions. For oil units, measure and record the steady-state fuel input rate. For maximum input rate, the measured burner input rate shall be within ±2% of the hourly Btu nameplate input rating (Q_{IN}) specified by the manufacturer. For modulating furnaces and boilers operating at reduced input rate, the measured reduced heat input rate ($Q_{IN,R}$) shall be recorded. At the discretion of the one testing, the hourly Btu nameplate minimum input rating specified by the manufacturer may be used in the calculations in place of $Q_{IN,R}$ if the measured rate is within ±2% of the nameplate rating.

8.2 *Electrical input.* During the steady-state test, perform a single measurement of all of the electrical power involved in burner operation (PE), including energizing the ignition system, controls, gas valve or oil control valve, and draft inducer, if applicable. For boilers, the measurement of PE must include the boiler pump if so equipped. If the boiler pump does not operate during the measurement of PE, add the boiler pump nameplate power to the measurement of PE. If the boiler pump nameplate power is not available, use 0.13 kW. For hot water boilers, use the circulating water pump nameplate power for BE, or if the pump nameplate power is not available, use 0.13 kW.

8.3 *Input to interrupted ignition device.* For burners equipped with an interrupted ignition device, record the nameplate electric power used by the ignition device, PE_{IG}, or record that PE_{IG} = 0.4 kW if no nameplate power input is provided. Record the nameplate ignition device on-time interval, t_{IG}, or, if the nameplate does not provide the ignition device on-time interval, measure the on-time interval with a stopwatch at the beginning of the test, starting when the burner is turned on. Set t_{IG} = 0 and PE_{IG} = 0 if the device on-time interval is less than or equal to 5 seconds after the burner is on.

8.4 *Cycling Test Requirements.* For the measurement of condensate heat loss under cyclic conditions (for condensing boilers), section 9.8 of ASHRAE 103–2017 shall apply.

Cycle times calculated from Table 7 of ASHRAE 103–2017 shall be rounded to the nearest second.

8.5 *Optional test procedures for condensing boilers, measurement of condensate during the establishment of steady-state conditions.* For units with step-modulating or two-stage controls, conduct the test at both the maximum and reduced inputs. In lieu of collecting the condensate immediately after the steady state conditions have been reached as required by section 9.2 of ASHRAE 103–2017, condensate may be collected during the establishment of steady state conditions as defined by section 9.1.2.1 of ASHRAE 103–2017. Perform condensate collection for at least 30 minutes. Measure condensate mass immediately at the end of the collection period to prevent evaporation loss from the sample. Record fuel input for the 30-minute condensate collection test period. Observe and record fuel higher heating value (HHV), temperature, and pressures necessary for determining fuel energy input ($Q_{C,SS}$). Measure the fuel quantity and HHV with errors no greater than 1%. The humidity for the room air shall at no time exceed 80%. Determine the mass of condensate for the establishment of steady state conditions ($M_{C,SS}$) in pounds by subtracting the tare container weight from the total container and condensate weight measured at the end of the 30-minute condensate collection test period.

8.6 *Cool-down test for gas- and oil-fueled boilers without stack dampers.* After steady-state testing has been completed, turn the main burner(s) ''OFF'' and measure the flue gas temperature at 3.75 minutes (temperature designated as $T_{F,OFF}(t_3)$) and 22.5 minutes (temperature designated as $T_{F,OFF}(t_4)$) after the burner shut-off using the thermocouple grid described in section 7.6 of ASHRAE 103–2017.

a. During this off-period, for units that do not have pump delay after shut-off, do not allow any water to circulate through the hot water boilers.

b. For units that have pump delay on shut-off, except those having pump controls sensing water temperature, the unit control must stop the pump. Measure and record the time between burner shut-off and pump shut-off (t^+) to the nearest second.

c. For units having pump delay controls that sense water temperature, operate the pump for 15 minutes and record t^+ as 15 minutes. While the pump is operating, maintain the inlet water temperature and flow rate at the same values as used during the steady-state test, as specified in sections 9.1 and 8.4.2.3 of ASHRAE 103–2017.

d. For boilers that employ post-purge, measure the length of the post-purge period with a stopwatch. Record the time from burner ''OFF'' to combustion blower ''OFF'' (electrically de-energized) as t_P. Measure the flue gas temperature by means of the thermocouple grid described in section 7.6 of ASHRAE 103–2017 at the end of the post-purge period t_P ($T_{F,OFF}(t_P)$) and at (3.75 + t_P) minutes ($T_{F,OFF}(t_3)$) and (22.5 + t_P) minutes ($T_{F,OFF}(t_4)$) after the main burner shuts off. If t_P is prescribed by the I&O manual or measured to be greater than 3 minutes, also measure the flue gas temperature at the midpoint of the post-purge period $t_P/2$ ($T_{F,OFF}(t_P/2)$). If the measured t_P is less than or equal to 30 seconds, record t_P as 0 and conduct the cool-down test as if there is no post-purge.

8.7 [Reserved]

8.8 *Calculation options.* The rate of the flue gas mass flow through the boiler and the factors D_P, D_F, and D_S are calculated by the equations in sections 11.6.1, 11.6.2, 11.6.3, 11.6.4, 11.7.1, and 11.7.2 of ASHRAE 103–2017. On units whose design is such that there is no measurable airflow through the combustion chamber and heat exchanger when the burner(s) is (are) off (as determined by the optional test procedure in section 7.8 of this appendix), D_F and D_P may be set equal to 0.05.

8.9 *Optional test procedures for condensing boilers that have no off-period flue losses.* For units that have applied the test method in section 7.8 of this appendix to determine that no measurable airflow exists through the combustion chamber and heat exchanger during the burner off-period and having post-purge periods of less than 30 seconds, the cool-down and heat-up tests specified in sections 9.5 and 9.6 of ASHRAE 103–2017 may be omitted. In lieu of conducting the cool-down and heat-up tests, the tester may use the losses determined during the steady-state test described in section 9.1 of ASHRAE 103–2017 when calculating heating seasonal efficiency, $Effy_{HS}$.

8.10 *Measurement of electrical standby and off mode power.*

8.10.1 *Standby power measurement.* With all electrical auxiliaries of the boiler not activated, measure the standby power ($P_{W,SB}$) in accordance with the procedures in IEC 62301, except that section 8.5, *Room Ambient Temperature,* of ASHRAE 103–2017 and the voltage provision of section 8.2.1.4, *Electrical Supply,* of ASHRAE 103–2017 shall apply in lieu of the corresponding provisions of IEC 62301 at section 4.2, *Test room,* and the voltage specification of section 4.3, *Power supply.* Frequency shall be 60Hz. Clarifying further, IEC 62301 section 4.4, *Power measurement instruments,* and section 5, *Measurements,* apply in lieu of ASHRAE 103–2017 section 6.10, *Energy Flow Rate.* Measure the wattage so that all possible standby mode wattage for the entire appliance is recorded, not just the standby mode wattage of a single auxiliary. Round the recorded standby power ($P_{W,SB}$) to the second decimal place, except for loads greater than or equal to 10W, which must be recorded to at least three significant figures.

8.10.2 *Off mode power measurement.* If the unit is equipped with an off switch or there

is an expected difference between off mode power and standby mode power, measure off mode power ($P_{W,OFF}$) in accordance with the standby power procedures in IEC 62301, except that section 8.5, *Room Ambient Temperature*, of ASHRAE 103–2017 and the voltage provision of section 8.2.1.4, *Electrical Supply*, of ASHRAE 103–2017 shall apply in lieu of the corresponding provisions of IEC 62301 at section 4.2, *Test room*, and the voltage specification of section 4.3, *Power supply*. Frequency shall be 60Hz. Clarifying further, IEC 62301 section 4.4, *Power measurement instruments*, and section 5, *Measurements*, apply for this measurement in lieu of SHRAE 103–2017 section 6.10, *Energy Flow Rate*. Measure the wattage so that all possible off mode wattage for the entire appliance is recorded, not just the off mode wattage of a single auxiliary. If there is no expected difference in off mode power and standby mode power, let $P_{W,OFF} = P_{W,SB}$, in which case no separate measurement of off mode power is necessary. Round the recorded off mode power ($P_{W,OFF}$) to the second decimal place, except for loads greater than or equal to 10W, in which case round the recorded value to at least three significant figures.

9. *Nomenclature*. Nomenclature includes the nomenclature specified in Section 10 of ASHRAE 103–2017 and the following additional variables:

Eff_{motor} = Efficiency of power burner motor
PE_{IG} = Electrical power to the interrupted ignition device, kW
$R_{T,a} = R_{T,F}$ if flue gas is measured
$= R_{T,S}$ if stack gas is measured
$R_{T,F}$ = Ratio of combustion air mass flow rate to stoichiometric air mass flow rate
$R_{T,S}$ = Ratio of the sum of combustion air and relief air mass flow rate to stoichiometric air mass flow rate
t_{IG} = Electrical interrupted ignition device on-time, min.
$T_{a,SS,X} = T_{F,SS,X}$ if flue gas temperature is measured, °F
$= T_{S,SS,X}$ if stack gas temperature is measured, °F
y_{IG} = Ratio of electrical interrupted ignition device on-time to average burner on-time
y_P = Ratio of power burner combustion blower on-time to average burner on-time
E_{SO} = Average annual electric standby mode and off mode energy consumption, in kilowatt-hours
$P_{W,OFF}$ = Boiler off mode power, in watts
$P_{W,SB}$ = Boiler standby mode power, in watts

10. *Calculation of derived results from test measurements*. Perform calculations as specified in section 11 of ASHRAE 103–2017, except for appendices B and C; and as specified in sections 10.1 through 10.7 and Figure 1 of this appendix.

10.1 *Annual fuel utilization efficiency*. The annual fuel utilization efficiency (AFUE) is as defined in sections 11.2.12 (non-condensing systems), 11.3.12 (condensing systems), 11.4.12 (non-condensing modulating systems) and 11.5.12 (condensing modulating systems) of ASHRAE 103–2017, except for the following:

10.1.1 *Off-cycle Infiltration Heat Loss*. The off-cycle infiltration heat loss ($L_{I,OFF1}$) is as defined in sections 11.2.10.8 (non-condensing systems), 11.3.10.8 (condensing systems), 11.4.10.8 (non-condensing modulating systems) and 11.5.10.8 (condensing modulating systems) of ASHREAE 103–2017, with the following exception. For systems numbered 2, 3, and 4, with a post-purge time of 3 minutes or less, $L_{I,OFF1}$ shall be determined as follows:

$$L_{I,OFF1} = 100 \times C_P \times M_{F,ON} \times t_P \times \left(T_{F,SS} + T_{abs}\right) \times \left(\frac{1}{t_{ON} \times Q_{IN}/60}\right)$$

$$\times \left\{\frac{T_{IA} - T_{OA}}{C_{T,OFF} \times \left[T_{F,SS} - T_{F,OFF}(t_P)\right]}\right.$$

$$\left. \times \ln\left[\frac{T_{RA} + T_{abs} + C_{T,OFF} \times \left(T_{F,SS} - T_{RA}\right)}{T_{RA} + T_{abs} + C_{T,OFF} \times \left(T_{F,OFF}(t_P) - T_{RA}\right)}\right]\right\}$$

10.1.2 *Determination of $Effy_{HS}$ in the Defining Equation for AFUE*. $Effy_{HS}$ is defined as:

$Effy_{HS}$ = heating seasonal efficiency as defined in sections 11.2.11 (non-condensing systems), 11.3.11 (condensing systems), 11.4.11 (non-condensing modulating systems) and 11.5.11 (condensing modulating systems) of ASHRAE 103–2017, and is based

on the assumptions that weatherized boilers are located outdoors and that non-weatherized boilers are installed indoors.

10.1.3 *Balance Point Temperature for Condensing Modulating Boilers.* Calculate the balance point temperature (T_C) for condensing, modulating boilers by using the following equation in place of that referenced by section 11.5.8.4 of ASHRAE 103–2017: T_C =

$$T_{SH} - \left[\left(T_{SH} - T_{OA,T}\right)(1+\alpha)\left(\frac{Q_{IN,R}(100-L_{L,A}-L_{S,SSR}}{Q_{IN}\left(100-L_{L,A}-L_{S,SS}\right)}\right)\right]$$

Where:

T_{SH} = typical average outdoor temperature at which a boiler starts operating, 65 °F

$T_{OA,T}$ = the typical outdoor design temperature, 5 °F

α = oversize factor, as defined in 11.4.8.2

Q_{IN} = steady-state nameplate maximum fuel input rate

$Q_{IN,R}$ = steady-state reduced input fuel input rate

$L_{S,SSR}$ = average sensible heat loss at steady state, reduced input operation

$L_{S,SS}$ = average sensible heat loss at steady state, maximum input operation

10.2 *National average burner operating hours, average annual fuel energy consumption, and average annual auxiliary electrical energy consumption for gas or oil boilers.*

10.2.1 *National average number of burner operating hours.*

10.2.1.1 For boilers equipped with single-stage controls, the national average number of burner operating hours is defined as:

BOH_{SS} = 2,080 (0.77) (A) [(Q_{OUT}/1000)/(1+α)] − 2,080 (B)

Where:

2,080 = national average heating load hours

0.77 = adjustment factor to adjust the calculated design heating requirement and heating load hours to the actual heating load experienced by the heating system

A = 100,000/[341,200 (y_P PE + y_{IG} PE_{IG} + y BE) + ($Q_{IN} - Q_P$) $Effy_{HS}$], for forced draft unit, indoors

= 100,000/[341,200 (y_P PE (1 − Eff_{motor}) + y_{IG} PE_{IG} + y BE) + ($Q_{IN} - Q_P$) $Effy_{HS}$], for induced draft unit, indoors, and

Q_{OUT} = value as defined in section 11.2.8.1 of ASHRAE 103–2017.

α = value as defined in section 11.2.8.2 of ASHRAE 103–2017.

B = 2 Q_P ($Effy_{HS}$) (A)/100,000

Where:

Eff_{motor} = nameplate power burner motor efficiency provided by the manufacturer,

= 0.50, an assumed default power burner efficiency if not provided by the manufacturer.

100,000 = factor that accounts for percent and kBtu

y_P = ratio of induced or forced draft blower on-time to average burner on-time, as follows:

1 for units without post-purge;

1 + (t_P/t_{ON}) for single stage boilers with post purge; or

PE = all electrical power related to burner operation at full load steady-state operation, including electrical ignition device if energized, controls, gas valve or oil control valve, draft inducer, and boiler pump, as determined in section 8.2 of this appendix.

y_{IG} = ratio of burner interrupted ignition device on-time to average burner on-time, as follows:

0 for burners not equipped with interrupted ignition device;

(t_{IG}/t_{ON}) for single stage boilers

PE_{IG} = electrical input rate to the interrupted ignition device on burner (if employed), as defined in section 8.3 of this appendix

y = ratio of pump on-time to average burner on-time, as follows:

1 for boilers without a pump delay;

1 + (t^+/t_{ON}) for single-stage boilers with pump delay;

BE = circulating water pump electrical energy input rate at full-load steady-state operation as defined in section 8.2 of this appendix.

t_P = post-purge time as defined in section 8.5 of this appendix

= 0 if t_P is equal to or less than 30 seconds

t_{IG} = on-time of the burner interrupted ignition device, as defined in section 8.3 of this appendix

Q_{IN} = as defined in section 11.2.8.1 of ASHRAE 103–2017

Q_P = as defined in section 11.2.11 of ASHRAE 103–2017

$Effy_{HS}$ = as defined in section 11.2.11 (non-condensing systems) or section 11.3.11.3 (condensing systems) of ASHRAE 103–2017, percent, and calculated on the basis of:

indoor installation, for non-weatherized boilers; or outdoor installation, for boilers that are weatherized.

2 = ratio of the average length of the heating season in hours to the average heating load hours

t^+ = delay time between burner shutoff and the pump shutoff measured as defined in section 8.5 of this appendix.
t_{ON} = value as defined in Table 7 of ASHRAE 103–2017.

10.2.1.2 For boilers equipped with two-stage or step-modulating controls, the national average number of burner operating hours at the reduced operating mode (BOH_R) is defined as:

$BOH_R = X_R (2080)(0.77)[(Q_{OUT}/1{,}000)/(1+\alpha)](A_R) - 2080(B_R)$

Where:

X_R = as defined in section 11.4.8.6 of SHRAE 103–2017
2080 = as defined in section 10.2.1.1 of this appendix
0.77 = as defined in section 10.2.1.1 of this appendix
Q_{OUT} = as defined in section 11.4.8.1.1 or 11.5.8.1.1 of ASHRAE 103–2017
α = as defined in section 11.4.8.2 of ASHRAE 103–2017
A_R = $100{,}000/[341{,}200(y_{P,R}PE_R + y_{IG,R}PE_{IG} + y_RBE_R) + (Q_{IN,R} - Q_P)\ Effy_{U,R}]$ for forced draft unit, indoors; and
= $100{,}000/[341{,}200(y_{P,R}PE_R\ (1 - Eff_{motor}) + y_{IG,R}PE_{IG} + y_RBE_R) + (Q_{IN,R} - Q_P)\ Effy_{U,R}]$ for induced draft unit, indoors
$B_R = 2Q_P\ (Effy_{U,R})\ (A_R)/100{,}000$
100,000 = conversion factor accounting for percent and 1,000 Btu/kBtu
341,200 = conversion factor accounting for percent and 3412 Btu/h/kW
$y_{P,R} = 1 + (t_p/t_{ON,R})$ for two-stage and step modulating boilers with post purge
PE_R = as defined in section 8.2 of this appendix and measured at the reduced fuel input rate
$y_{IG,R} = t_{IG}/t_{ON,R}$
PE_{IG} = as defined in section 8.3 of this appendix
$y_R = 1 + (t^+)/t_{ON,R}$ for two-stage and step modulating boilers with fan delay
BE_R = as defined in section 8.2 of this appendix and measured at the reduced fuel input rate
$Q_{IN,R}$ = as defined in section 11.4.8.1.2 of ASHRAE 103–2017
Q_P = as defined in section 11.4.12 of ASHRAE 103–2017
$Effy_{U,R}$ = as defined in section 11.4.11.1 or 11.5.11.1 of ASHRAE 103–2017, and calculated on the basis of:
indoor installation, for non-weatherized boilers; or
outdoor installation, for boilers that are weatherized.
Eff_{motor} = nameplate power burner motor efficiency provided by the manufacturer,
= 0.50, an assumed default power burner efficiency if not provided by the manufacturer.

10.2.1.3 For boilers equipped with two-stage controls, the national average number of burner operating hours at the maximum operating mode (BOH_H) is defined as:

$BOH_H = X_H (2080)(0.77)[(Q_{OUT}/1{,}000)/(1+\alpha)](A_H) — 2080(B_H)$

Where:

X_H = as defined in section 11.4.8.5 of SHRAE 103–2017
2080 = as defined in section 10.2.1.1 of this appendix
0.77 = as defined in section 10.2.1.1 of this appendix
Q_{OUT} = as defined in section 11.4.8.1.1 or 11.5.8.1.1 ofASHRAE 103–2017
α = as defined in section 11.4.8.2 of ASHRAE 103–2017
A_H = $100{,}000/[341{,}200(y_{P,H}PE_H + y_{IG,H}PE_{IG} + y_HBE_H) + (Q_{IN,H} — Q_P)\ Effy_{U,H}]$ for forced draft unit, indoors; and
= $100{,}000/[341{,}200(y_{P,H}PE_H\ (1 — Eff_{motor}) + y_{IG,H}PE_{IG} + y_HBE_H) + (Q_{IN,H} — Q_P)\ Effy_{U,H}]$ for induced draft unit, indoors
$B_H = 2Q_P\ (Effy_{U,H})\ (A_H)/100{,}000$
100,000 = conversion factor accounting for percent and 1,000 Btu/kBtu
341,200 = conversion factor accounting for percent and 3412 Btu/h/kW
$y_{P,H} = 1 + (t_p/t_{ON,H})$ for two-stage and step modulating boilers with post purge
PE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
$y_{IG,H} = t_{IG}/t_{ON,H}$
PE_{IG} = as defined in section 8.3 of this appendix
$y_H = 1 + (t^+)/t_{ON,H}$ for two-stage and step modulating boilers with fan delay
BE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
$Q_{IN,H}$ = as defined in section 11.4.8.1.1 of ASHRAE 103–2017
Q_P = as defined in section 11.4.12 of ASHRAE 103–2017
$Effy_{U,H}$ = as defined in section 11.4.11.2 or 11.5.11.2 of ASHRAE 103–2017, and calculated on the basis of:
indoor installation, for non-weatherized boilers; or
outdoor installation, for boilers that are weatherized.
Eff_{motor} = nameplate power burner motor efficiency provided by the manufacturer,
= 0.50, an assumed default power burner efficiency if not provided by the manufacturer.

10.2.1.4 For boilers equipped with step-modulating controls, the national average number of burner operating hours at the modulating operating mode (BOH_M) is defined as:

$BOH_M = X_H (2080)(0.77)[(Q_{OUT}/1{,}000)/(1+\alpha)](A_M) — 2080(B_M)$

Where:

X_H = as defined in section 11.4.8.5 of ASHRAE 103–2017

2080 = as defined in section 10.2.1.1 of this appendix
0.77 = as defined in section 10.2.1.1 of this appendix
Q_{OUT} = as defined in section 11.4.8.1.1 or 11.5.8.1.1 of ASHRAE 103–2017
α = as defined in section 11.4.8.2 of ASHRAE 103–2017
A_M = $100{,}000/[341{,}200(y_{P,H}PE_H + y_{IG,H}PE_{IG} + y_HBE_H) + (Q_{IN,M}—Q_P)\ Effy_{U,M}]$ for forced draft unit, indoors; and
= $100{,}000/[341{,}200(y_{P,H}PE_H\ (1—Eff_{motor}) + y_{IG,H}PE_{IG} + y_HBE_H) + (Q_{IN,M}—Q_P)\ Effy_{U,M}]$ for induced draft unit, indoors
$B_M = 2Q_P\ (Effy_{U,M})\ (A_M)/100{,}000$
100,000 = conversion factor accounting for percent and 1,000 Btu/kBtu
341,200 = conversion factor accounting for percent and 3412 Btu/h/kW
$y_{P,H} = 1 + (t_p/t_{ON,H})$ for two-stage and step modulating boilers with post purge
PE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
$y_{IG,H} = t_{IG}/t_{ON,H}$
PE_{IG} = as defined in section 8.3 of this appendix
$y_H = 1 + (t^+)/t_{ON,H}$ for two-stage and step modulating boilers with fan delay
BE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
$Q_{IN,M} = (100)(Q_{OUT,M}/Effy_{SS,M})$
$Q_{OUT,M}$ = as defined in section 11.4.8.9 or 11.5.8.9 of ASHRAE 103–2017
$Effy_{SS,M}$ = value as defined in section 11.4.8.7 or 11.5.8.7 of ASHRAE 103–2017
Q_P = as defined in section 11.4.12 of ASHRAE 103–2017
$Effy_{U,M}$ = as defined in section 11.4.9.2.3 or 11.5.9.2.3 of ASHRAE 103–2017, and calculated on the basis of:
indoor installation, for non-weatherized boilers; or
outdoor installation, for boilers that are weatherized.
Eff_{motor} = nameplate power burner motor efficiency provided by the manufacturer,
= 0.50, an assumed default power burner efficiency if not provided by the manufacturer.

10.2.2 *Average annual fuel energy consumption for gas or oil fueled boilers.*

10.2.2.1 For boilers equipped with single-stage controls, the average annual fuel energy consumption (E_F) is expressed in Btu per year and defined as:

$E_F = BOH_{SS}\ (Q_{IN} - Q_P) + 8{,}760\ Q_P$

Where:

BOH_{SS} = as defined in section 10.2.1.1 of this appendix
Q_{IN} = as defined in section 11.2.8.1 of ASHRAE 103–2017
Q_P = as defined in section 11.2.11 of ASHRAE 103–2017
8,760 = total number of hours per year.

10.2.2.2 For boilers equipped with either two-stage or step modulating controls, E_F is defined as follows. For two-stage control:

$E_F = (BOH_H)(Q_{IN}) + (BOH_R)(Q_{IN,R}) + [8760 - (BOH_H + BOH_R)]Q_P$

For step-modulating control:

$E_F = (BOH_M)(Q_{IN,M}) + (BOH_R)(Q_{IN,R}) + [8760 - (BOH_H + BOH_R)]Q_P$

Where:

BOH_H = as defined in section 10.2.1.3 of this appendix
BOH_R = as defined in section 10.2.1.2 of this appendix
BOH_M = as defined in section 10.2.1.4 of this appendix
Q_{IN} = as defined in section 11.2.8.1 of ASHRAE 103–2017
$Q_{IN,R}$ = as defined in section 11.4.8.1.2 of ASHRAE 103–2017
$Q_{IN,M}$ = as defined in section 10.2.1.4 of this appendix
8,760 = total number of hours per year
Q_P = as defined in section 11.2.11 of ASHRAE 103–2017.

10.2.3 *Average annual auxiliary electrical energy consumption for gas or oil-fueled boilers.*

10.2.3.1 For boilers equipped with single-stage controls, the average annual auxiliary electrical consumption (E_{AE}) is expressed in kilowatt-hours and defined as:

$E_{AE} = BOH_{SS}\ (y_P\ PE + y_{IG}\ PE_{IG} + yBE) + E_{SO}$

Where:

BOH_{SS} = as defined in section 10.2.1.1 of this appendix
y_P = as defined in section 10.2.1.1 of this appendix
PE = as defined in section 10.2.1.1 of this appendix
y_{IG} = as defined in section 10.2.1.1 of this appendix
PE_{IG} = as defined in section 10.2.1.1 of this appendix
y = as defined in section 10.2.1.1 of this appendix
BE = as defined in section 10.2.1.1 of this appendix
E_{SO} = as defined in section 10.7 of this appendix.

10.2.3.2 For boilers equipped with two-stage controls, E_{AE} is defined as:

$E_{AE} = BOH_R\ (y_{P,R}\ PE_R + y_{IG,R}\ PE_{IG} + y_RBE_R) + BOH_H\ (y_{P,H}\ PE_H + y_{IG,H}\ PE_{IG} + y_HBE_H) + E_{SO}$

Where:

BOH_R = as defined in section 10.2.1.2 of this appendix
$y_{P,R}$ = as defined in section 10.2.1.2 of this appendix
PE_R = as defined in section 8.2 of this appendix and measured at the reduced fuel input rate

$y_{IG,R}$ = as defined in section 10.2.1.2 of this appendix
PE_{IG} = as defined in section 10.2.1.1 of this appendix
y_R = as defined in section 10.2.1.2 of this appendix
BE_R = as defined in section 8.2 of this appendix and measured at the reduced fuel input rate
BOH_H = as defined in section 10.2.1.3 of this appendix
PE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
$y_{P,H}$ = as defined in section 10.2.1.3 of this appendix
$y_{IG,H}$ = as defined in section 10.2.1.3 of this appendix
BE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
y_H = as defined in section 10.2.1.3 of this appendix
E_{SO} = as defined in section 10.7 of this appendix.

10.2.3.3 For boilers equipped with step-modulating controls, E_{AE} is defined as:

$$E_{AE} = BOH_R (y_{P,R} PE_R + y_{IG,R} PE_{IG} + y_R BE_R) + BOH_M (y_{P,H} PE_H + y_{IG,H} PE_{IG} + y_H BE_H) + E_{SO}$$

Where:

BOH_R = as defined in section 10.2.1.2 of this appendix
$y_{P,R}$ = as defined in section 10.2.1.2 of this appendix
PE_R = as defined in section 8.2 of this appendix and measured at the reduced fuel input rate
$y_{IG,R}$ = as defined in section 10.2.1.2 of this appendix
PE_{IG} = as defined in section 10.2.1 of this appendix
y_R = as defined in section 10.2.1.2 of this appendix
BE_R = as defined in section 8.2 of this appendix and measured at the reduced fuel input rate
BOH_M = as defined in 10.2.1.4 of this appendix
$y_{P,H}$ = as defined in section 10.2.1.3 of this appendix
PE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
$y_{IG,H}$ = as defined in section 10.2.1.3 of this appendix
y_H = as defined in section 10.2.1.3 of this appendix
BE_H = as defined in section 8.2 of this appendix and measured at the maximum fuel input rate
E_{SO} = as defined in section 10.7 of this appendix.

10.3 *Average annual electric energy consumption for electric boilers.* For electric boilers, the average annual electrical energy consumption (E_E) is expressed in kilowatt-hours and defined as:

$$E_E = 100 (2{,}080) (0.77) [Q_{OUT}/(1+\alpha)]/(3412 \text{ AFUE}) + E_{SO}$$

Where:

100 = to express a percent as a decimal
2,080 = as defined in section 10.2.1.1 of this appendix
0.77 = as defined in section 10.2.1.1 of this appendix
Q_{OUT} = as defined in section 11.2.8 of ASHRAE 103–2017
α = as defined in section 11.2.8.2 of ASHRAE 103–2017
3412 = conversion factor from kilowatt-hours to Btu
AFUE = as defined in section 11.1 of ASHRAE 103–2017, in percent, and calculated on the basis of:
indoor installation, for non-weatherized boilers; or
outdoor installation, for boilers that are weatherized.
E_{SO} = as defined in section 10.7 of this appendix.

10.4 *Energy factor.*

10.4.1 *Energy factor for gas or oil boilers.* Calculate the energy factor, EF, for gas or oil boilers defined as, in percent:

$$EF = (E_F - 4{,}600 (Q_P))(Effy_{HS})/(E_F + 3{,}412 (E_{AE}))$$

Where:

E_F = average annual fuel consumption as defined in section 10.2.2 of this appendix
4,600 = as defined in section 11.4.12 of ASHRAE 103–2017
Q_P = pilot fuel input rate determined in accordance with section 9.2 of ASHRAE 103–2017 in Btu/h
$Effy_{HS}$ = annual fuel utilization efficiency as defined in sections 11.2.11, 11.3.11, 11.4.11 or 11.5.11 of ASHRAE 103–2017, in percent, and calculated on the basis of:
indoor installation, for non-weatherized boilers; or
outdoor installation, for boilers that are weatherized.
3,412 = conversion factor from kW to Btu/h
E_{AE} = as defined in section 10.2.3 of this appendix.

10.4.2 *Energy factor for electric boilers.* The energy factor, EF, for electric boilers is defined as:

EF = AFUE

Where:

AFUE = annual fuel utilization efficiency as defined in section 10.3 of this appendix, in percent.

10.5 *Average annual energy consumption for boilers located in a different geographic region of the United States and in buildings with different design heating requirements.*

10.5.1 *Average annual fuel energy consumption for gas or oil-fueled boilers located in a different geographic region of the United States and in buildings with different design heating requirements.* For gas or oil-fueled boilers, the average annual fuel energy consumption for a specific geographic region and a specific typical design heating requirement (E_{FR}) is expressed in Btu per year and defined as:

$E_{FR} = (E_F - 8{,}760\ Q_P)\ (HLH/2{,}080) + 8{,}760\ Q_P$

Where:

E_F = as defined in section 10.2.2 of this appendix

8,760 = as defined in section 10.2.2 of this appendix

Q_P = as defined in section 11.2.11 of ASHRAE 103–2017

HLH = heating load hours for a specific geographic region determined from the heating load hour map in Figure 1 of this appendix

2,080 = as defined in section 10.2.1.1 of this appendix.

10.5.2 *Average annual auxiliary electrical energy consumption for gas or oil-fueled boilers located in a different geographic region of the United States and in buildings with different design heating requirements.* For gas or oil-fueled boilers, the average annual auxiliary electrical energy consumption for a specific geographic region and a specific typical design heating requirement (E_{AER}) is expressed in kilowatt-hours and defined as:

$E_{AER} = (E_{AE} - E_{SO})\ (HLH/2080) + E_{SOR}$

Where:

E_{AE} = as defined in section 10.2.3 of this appendix

E_{SO} = as defined in section 10.7 of this appendix

HLH = as defined in section 10.5.1 of this appendix

2,080 = as defined in section 10.2.1.1 of this appendix

E_{SOR} = as defined in section 10.5.3 of this appendix.

10.5.3 *Average annual electric energy consumption for electric boilers located in a different geographic region of the United States and in buildings with different design heating requirements.* For electric boilers, the average annual electric energy consumption for a specific geographic region and a specific typical design heating requirement (E_{ER}) is expressed in kilowatt-hours and defined as:

$E_{ER} = 100\ (0.77)\ [Q_{OUT}/(1+\alpha)]\ HLH/(3.412\ AFUE) + E_{SOR}$

Where:

100 = as defined in section 10.2.3 of this appendix

0.77 = as defined in section 10.2.1.1 of this appendix

Q_{OUT} = as defined in section 11.2.8.1 of ASHRAE 103–2017

α = as defined in section 11.2.8.2 of ASHRAE 103–2017

HLH = as defined in section 10.5.1 of this appendix

3.412 = as defined in section 10.2.3 of this appendix

AFUE = as defined in section 10.2.3 of this appendix

E_{SOR} = E_{SO} as defined in section 10.7 of this appendix, except that in the equation for E_{SO}, the term BOH is multiplied by the expression (HLH/2080) to get the appropriate regional accounting of standby mode and off mode loss.

10.6 [Reserved]

10.7 *Average annual electrical standby mode and off mode energy consumption.* Calculate the annual electrical standby mode and off mode energy consumption (E_{SO}) in kilowatt-hours, defined as:

$E_{SO} = (P_{W,SB}\ (4160 - BOH) + 4600\ P_{W,OFF})\ K$

Where:

$P_{W,SB}$ = boiler standby mode power, in watts, as measured in section 8.9.1 of this appendix

4,160 = average heating season hours per year

BOH = total burner operating hours as calculated in section 10.2 of this appendix for gas or oil-fueled boilers. Where for gas or oil-fueled boilers equipped with single-stage controls, BOH = BOH_{SS}; for gas or oil-fueled boilers equipped with two-stage controls, BOH = (BOH_R + BOH_H); and for gas or oil-fueled boilers equipped with step-modulating controls, BOH = (BOH_R + BOH_M). For electric boilers, BOH = $100(2080)(0.77)[Q_{OUT}/(1+\alpha)]/(E_{in}\ 3412(AFUE))$

4,600 = as defined in section 11.4.12 of ASHRAE 103–2017

$P_{W,OFF}$ = boiler off mode power, in watts, as measured in section 8.9.2 of this appendix

K = 0.001 kWh/Wh, conversion factor from watt-hours to kilowatt-hours

Where:

100 = to express a percent as a decimal

2,080 = as defined in section 10.2.1.1 of this appendix

0.77 = as defined in section 10.2.1.1 of this appendix

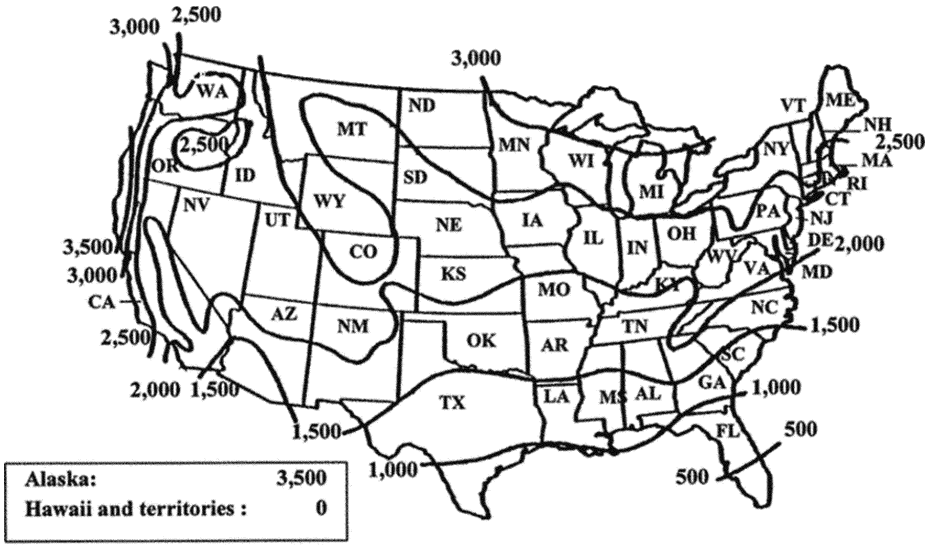
Q_{OUT} = as defined in section 11.2.8 of ASHRAE 103–2017

α = as defined in section 11.2.8.2 of ASHRAE 103–2017

E_{in} = steady-state electric rated power, in kilowatts, from section 9.3 of ASHRAE 103–2017

3412 = as defined in section 10.3 of this appendix

AFUE = as defined in section 11.1 of ASHRAE 103–2017 in percent.



This map is reasonably accurate for most parts of the United States but is necessarily generalized, and consequently not too accurate in mountainous regions, particularly in the rockies.

FIGURE 1- HEATING LOAD HOURS (HLH) FOR THE UNITED STATES

[88 FR 15547, Mar. 13, 2023]

APPENDIX FF TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF AIR CLEANERS

NOTE: Beginning on the compliance date of any energy conservation standards for air cleaners, any representations made with respect to the energy use or efficiency of these products, including those made for certification purposes, must be made in accordance with the results of testing pursuant to this appendix. Manufacturers may choose to test in accordance with this appendix to certify compliance with any energy conservation standards prior to the applicable compliance date for those standards.

0. Incorporation by Reference

DOE incorporated by reference in §430.3 the entire standard for AHAM AC–1–2020, AHAM AC–7–2022, ASTM E741–11(2017), and IEC 62301. However, only enumerated provisions of AHAM AC–1–2020, AHAM AC–7–2022, and IEC 62301 apply to this appendix, as follows:

0.1 AHAM AC–1–2020

(a) Sections 4.2 through 4.6;
(b) Sections 5 through 7;
(c) Section 8.1;
(d) Annex A;
(e) Annex I; and
(f) AHAM Standard Interpretation.

0.2 AHAM AC–7–2022

(a) Sections 2.2 and 2.3, sections 2.4.1 through 2.4.2.4, and sections 2.6 through 2.9;
(b) Sections 3.1 through 3.6.3;
(c) Section 4;
(d) Sections 5.3 through 5.7.4; and
(e) Sections 6 and 7.

0.3 IEC 62301: Household Electrical Appliances—Measurement of Standby Power

(a) Sections 4.4.1 through 4.4.3; and
(b) Section 5.3.

1. Scope of Coverage

This appendix contains the test requirements to measure the energy performance of a conventional room air cleaner, as defined at §430.2, with smoke CADR and dust CADR between 10 to 600 cubic feet per minute (cfm), inclusive.

2. Definitions

The definitions in sections 2.2, 2.3, 2.4.1 through 2.4.2.4, 2.6 through 2.8, and 2.9 of AHAM AC–7–2022 apply to this test procedure, including the applicable provisions of Annex I of AHAM AC–1–2020 as referenced in section 2.9 of AHAM AC–7–2022.

3. Test Conditions

Testing conditions shall be as specified in sections 3.1 through 3.6.3 of AHAM AC–7–2022, including the applicable provisions of sections 4.2 through 4.6 and Annex A of AHAM AC–1–2020 as referenced in sections 3.2.1, 3.3, 3.4, 3.5, and 3.6.2 of AHAM AC–7–2022 and the applicable provisions of ASTM E 741–11(2017) as referenced in section 3.3 of AHAM AC–7–2022. Additionally, the following requirements are also applicable:

3.1. *Placement for Testing*. The air cleaner test unit shall be placed in the test chamber as specified in section 3.6.2 of AHAM AC–7–2022. Additionally, the placement instructions specified in AHAM Standard Interpretation in AHAM AC–1–2020 are also applicable.

3.2. *Air Cleaners with Network Mode Capability*. The air cleaner software update requirements specified in section 3.6.3.8 of AHAM AC–7–2022 are applicable. Additionally, software updates shall be conducted, if available, prior to initiating any testing. Software updates shall not be bypassed, even if the unit will operate without updates.

4. Instrumentation

Test instruments shall be as specified in section 4 of AHAM AC–7–2022, including the applicable provisions of sections 4.4.1 through 4.4.3 of IEC 62301.

5. Active Mode CADR and Power Measurement

Measurement of smoke CADR, dust CADR, and pollen CADR shall be as specified in sections 5 through 7 of AHAM AC–1–2020, respectively. Measurement of active mode power shall be as specified in sections 5.3 through 5.7.4 of AHAM AC–7–2022, including the applicable provisions of sections 5.2.5 and 6.2.5 of AHAM AC–1–2020 as referenced in section 5.7.1 of AHAM AC–7–2022. Additionally, the following requirement is also applicable:

5.1. *Calculation of $PM_{2.5}$ CADR*.

5.1.1 $PM_{2.5}$ CADR should be calculated as specified in section 2.9 of AHAM AC–7–2022.

5.1.2. For determining compliance only with the standards specified in §430.32(ee)(1), $PM_{2.5}$ CADR may alternately be calculated using the smoke CADR and dust CADR values determined according to Sections 5 and 6, respectively, of AHAM AC–1–2020, according to the following equation:

$$PM_{2.5}CADR = \sqrt{Smoke\ CADR\ (0.1 - 1\ \mu m) \times Dust\ CADR\ (0.5 - 3\ \mu m)}$$

6. Standby Mode Power Measurement

Standby mode power consumption shall be measured as specified in section 6 of AHAM AC–7–2022, including the applicable provisions of section 5.3 of IEC 62301.

7. Total Energy Calculation

Annual energy consumption, expressed in kilowatt-hours per year, and integrated energy factor, expressed in CADR per watt, shall be calculated as specified in section 7 of AHAM AC–7–2022.

[88 FR 14044, Mar. 6, 2023, as amended at 88 FR 53371, Aug. 8, 2023; 88 FR 21814, Apr. 11, 2023]

APPENDIX GG TO SUBPART B OF PART 430—UNIFORM TEST METHOD FOR MEASURING THE ENERGY CONSUMPTION OF PORTABLE ELECTRIC SPAS

NOTE: Beginning on the compliance date of any energy conservation standards for portable electric spas specified in §430.32, all representations of fill volume, energy efficiency, and energy use of portable electric spas, including those made on marketing materials and product labels, must be made in accordance with this test procedure.

0. Incorporation by Reference

DOE incorporated by reference in §430.3, the entire standard for ANSI/APSP/ICC–14 2019 and CSA C374:11 (R2021). However, only enumerated provisions of ANSI/APSP/ICC–14 2019 and CSA C374:11 (R2021), as listed in this section 0 are required. To the extent there is a conflict between the terms or provisions of a referenced industry standard and the CFR, the CFR provisions control. Non-enumerated provisions of ANSI/APSP/ICC–14 2019 are specifically excluded.

0.1. ANSI/APSP/ICC–14 2019

(a) Section 3—Definitions (excluding the definitions for *cover*, *specified; fill volume; rated volume; and standby mode*), as specified in section 2.1 of this appendix;

(b) Section 5—Test Method (excluding Sections 5.1, 5.2, 5.5.2, 5.5.4, 5.5.5, and 5.7), as specified in sections 3, 3.1.6, 3.2.2, and 3.2.3 of this appendix;

(c) Appendix A—Minimum Chamber Requirements (excluding section titled *Chamber floor*), as specified in section 3.1.1 of this appendix.

0.2. CSA C374:11 (R2021)

(a) Clause 5.1.1—Test room, as specified in section 3.1.2 of this appendix;
(b) Figure 1—Test platform, as specified in section 3.1.2 of this appendix.

1. Scope

This appendix provides the test procedure for measuring the standby loss in watts and the fill volume in gallons of portable electric spas.

2. Definitions

2.1. Section 3, Definitions, of ANSI/APSP/ICC–14 2019 applies to this test procedure. In case of conflicting terms between ANSI/APSP/ICC–14 2019 and DOE's definitions in this appendix or in §430.2, DOE's definitions take priority.

2.2. *Combination spa* means a portable electric spa with two separate and distinct reservoirs, where—
(a) One reservoir is an exercise spa;
(b) The second reservoir is a standard spa; and
(c) Each reservoir has an independent water temperature setting control.

2.3. *Exercise spa* means a variant of a portable electric spa in which the design and construction includes specific features and equipment to produce a water flow intended to allow recreational physical activity including, but not limited to, swimming in place. An exercise spa is also known as a swim spa.

2.4. *Exercise spa portion* means the reservoir of a combination spa that is an exercise spa.

2.5. *Fill volume* means the volume of water held by the portable electric spa when it is filled as specified in section 3.1.4 of this appendix.

2.6. *Inflatable spa* means a portable electric spa where the structure is collapsible and is designed to be filled with air to form the body of the spa.

2.7. *Standard spa* means a portable electric spa that is not an inflatable spa, an exercise spa, or the exercise spa portion of a combination spa.

2.8. *Standard spa portion* means the reservoir of a combination spa that is a standard spa.

2.9. *Standby loss* means the mean normalized power required to operate the portable electric spa in default operation mode with the cover on, as calculated in section 3.3 of this appendix.

3. Test Method

Determine the standby loss in watts and fill volume in gallons for portable electric spas in accordance with section 5, *Test Method,* of ANSI/APSP/ICC–14 2019, except as follows.

3.1. Test Setup

3.1.1. Chamber

Install the portable electric spa in a chamber satisfying the requirements specified for *Chamber internal dimensions*, *Air flow*, and *Chamber insulation* in appendix A, *Minimum Chamber Requirements,* to ANSI/APSP/ICC–14 2019.

3.1.2. Chamber Floor

Install the portable electric spa on a platform as specified in Clause 5.1.1(b) and Figure 1 of CSA C374:11 (R2021).

3.1.3. Electrical Supply Voltage and Amperage Configuration

3.1.3.1. General

If the portable electric spa can be installed or configured with multiple options of voltage, maximum amperage, or both, use the hierarchy in section 3.1.3.2 of this appendix to determine the configuration for testing.

3.1.3.2. Hierarchy

Use the as-shipped configuration, if such a configuration is provided.

If no configuration is provided in the as-shipped condition, use the option specified in the manufacturer's instructions as the recommended configuration for normal consumer use.

If no configuration is provided in the as-shipped condition and the manufacturer's instructions do not provide a recommended configuration for normal consumer use, use the maximum voltage specified in the manufacturer's installation instructions and maximum amperage that the manufacturer's installation instructions specify for use with the maximum voltage.

3.1.4. Fill Volume

Follow the manufacturer's instructions for filling the portable electric spa with water, connecting and/or priming the pump(s), and starting up the spa. After verifying that the spa is operating normally and that all water lines are filled, power off the spa and adjust the fill level as needed to meet the following specifications before starting the test.

If the manufacturer's instructions specify a single fill level, fill to that level with a tolerance of ±0.125 inches.

If the manufacturer's instructions specify a range of fill levels and not a single fill level, fill to the middle of that range with a tolerance of ±0.125 inches.

If the manufacturer's instructions do not specify a fill level or range of fill levels, fill to the halfway point between the bottom of

the skimmer opening and the top of the skimmer opening with a tolerance of ±0.125 inches.

If the manufacturer's instructions do not specify a fill level or range of fill levels, and there is no wall skimmer, fill to 6.0 inches ±0.125 inches below the overflow level of the spa.

Measure the volume of water added to the spa with a water meter while filling the spa. Measure any water removed from the spa using a water meter, graduated container, or scale, each with an accuracy of ±2 percent of the quantity measured. The fill volume is the volume of water held by the spa when the spa is filled as specified above.

3.1.5. Spa Cover

3.1.5.1. Cover Is Designated by the Spa Manufacturer

Install the spa cover following the manufacturer's instructions.

3.1.5.2. No Cover Is Designated by the Spa Manufacturer

If no cover is designated by the spa manufacturer for use with the spa, cover the portable electric spa with a single layer of 6 mil thickness (0.006 inches; 0.15 mm) plastic film. Cut the plastic to cover the entire top surface of the spa and extend over the edge of the spa approximately 6 inches below the top surface of the spa. Use fasteners or weights to keep the plastic in place during the test, but do not seal the edges of the plastic to the spa (by using tape, for example).

3.1.6. Ambient Temperature Measurement Location

The ambient air temperature measurement point specified in section 5.6.3 of ANSI/APSP/ICC–14 2019 must be located above the center of the spa.

3.2. Test Conditions and Conduct

3.2.1. Ambient Air Temperature

Maintain the ambient air temperature at a maximum of 63.0 °F for the duration of the test. This requirement applies to each individual ambient air temperature measurement taken for the duration of the stabilization period and test period.

3.2.2. Water Temperature Settings

Adjust the spa water temperature settings to meet the applicable temperature requirements in section 5.6.1 of ANSI/APSP/ICC–14 2019. The spa water temperature settings must not be adjusted between the start of the stabilizing period specified in section 5.6.1 of ANSI/APSP/ICC–14 2019 and the end of the test period specified in section 5.6.4.7 of ANSI/APSP/ICC–14 2019.

3.2.3. Water Temperature Requirements

Each individual water temperature measurement taken during the stabilization period and test period must meet the applicable water temperature requirements specified in section 5.6.1 of ANSI/APSP/ICC–14 2019.

3.3. Standby Loss Calculation

Calculate standby loss in watts by calculating the measured standby loss using Equation 1 of this appendix, calculating the measured temperature difference using Equation 2 of this appendix, and normalizing the standby loss using Equation 3 of this appendix. Use the standby loss calculated in Equation 3 as the standby loss value for the test.

Equation 1

$$SL_{meas} = \frac{E}{t}$$

Equation 2

$$\Delta T_{meas} = T_{water\ avg} - T_{air\ avg}$$

Equation 3

$$SL = SL_{meas} \times \frac{\Delta T_{std}}{\Delta T_{meas}}$$

Where:

SL_{meas} = Measured standby loss (watts)
E = Total energy use during the test (watt-hours)
t = Length of test (hours)
ΔT_{meas} = Measured temperature difference (°F)
$T_{water\ avg}$ = Average water temperature during test (°F)
$T_{air\ avg}$ = Average air temperature during test (°F)
SL = Standby loss (W)
ΔT_{std} = Normalized temperature difference (°F), as follows:

46.0 °F for all inflatable spas, standard spas, standard spa portions of a combination spa, exercise spas, and exercise spa portions of a combination spa tested to a minimum water temperature of 100 °F; or 31.0 °F for all exercise spas or exercise spa portions of a combination spa tested to a minimum water temperature of 85 °F.

[88 FR 38627, June 13, 2023]

Subpart C—Energy and Water Conservation Standards

§ 430.31 Purpose and scope.

This subpart contains energy conservation standards and water conservation standards (in the case of faucets, showerheads, water closets, and urinals) for classes of covered products that are required to be administered by the Department of Energy pursuant to the Energy Conservation Program for Consumer Products Other Than Automobiles under the Energy Policy and Conservation Act, as amended (42 U.S.C. 6291 *et seq.*).

[63 FR 13317, Mar. 18, 1998, as amended at 78 FR 62993, Oct. 23, 2013]

§ 430.32 Energy and water conservation standards and their compliance dates.

The energy and water (in the case of faucets, showerheads, water closets, and urinals) conservation standards for the covered product classes are:

(a) *Refrigerators/refrigerator-freezers/freezers.* These standards do not apply to refrigerators and refrigerator-freezers with total refrigerated volume exceeding 39 cubic feet (1104 liters) or freezers with total refrigerated volume exceeding 30 cubic feet (850 liters). The energy standards as determined by the equations of the following table(s) shall be rounded off to the nearest kWh per year. If the equation calculation is halfway between the nearest two kWh per year values, the standard shall be rounded up to the higher of these values.

(1) The following standards apply to products manufactured on or before September 15, 2014, and before the 2029/2030 compliance dates depending on product class (see paragraphs (a)(2) and (3) of this section).

TABLE 1 TO PARAGRAPH (a)(1)

Product class	Equations for maximum energy use (kWh/yr)	
	based on AV (ft^3)	based on av (L)
1. Refrigerators and refrigerator-freezers with manual defrost	7.99AV + 225.0	0.282av + 225.0.
1A. All-refrigerators—manual defrost	6.79AV + 193.6	0.240av + 193.6.
2. Refrigerator-freezers—partial automatic defrost	7.99AV + 225.0	0.282av + 225.0.
3. Refrigerator-freezers—automatic defrost with top-mounted freezer without an automatic icemaker.	8.07AV + 233.7	0.285av + 233.7.
3–BI. Built-in refrigerator-freezer—automatic defrost with top-mounted freezer without an automatic icemaker.	9.15AV + 264.9	0.323av + 264.9.
3I. Refrigerator-freezers—automatic defrost with top-mounted freezer with an automatic icemaker without through-the-door ice service.	8.07AV + 317.7	0.285av + 317.7.
3I–BI. Built-in refrigerator-freezers—automatic defrost with top-mounted freezer with an automatic icemaker without through-the-door ice service.	9.15AV + 348.9	0.323av + 348.9.
3A. All-refrigerators—automatic defrost	7.07AV + 201.6	0.250av + 201.6.
3A–BI. Built-in All-refrigerators—automatic defrost	8.02AV + 228.5	0.283av + 228.5.
4. Refrigerator-freezers—automatic defrost with side-mounted freezer without an automatic icemaker.	8.51AV + 297.8	0.301av + 297.8.
4–BI. Built-In Refrigerator-freezers—automatic defrost with side-mounted freezer without an automatic icemaker.	10.22AV + 357.4	0.361av + 357.4.
4I. Refrigerator-freezers—automatic defrost with side-mounted freezer with an automatic icemaker without through-the-door ice service.	8.51AV + 381.8	0.301av + 381.8.

TABLE 1 TO PARAGRAPH (a)(1)—Continued

Product class	Equations for maximum energy use (kWh/yr)	
	based on AV (ft^3)	based on av (L)
4I–BI. Built-In Refrigerator-freezers—automatic defrost with side-mounted freezer with an automatic icemaker without through-the-door ice service.	10.22AV + 441.4.2	0.361av + 441.4.
5. Refrigerator-freezers—automatic defrost with bottom-mounted freezer without an automatic icemaker.	8.85AV + 317.0	0.312av + 317.0.
5–BI. Built-In Refrigerator-freezers—automatic defrost with bottom-mounted freezer without an automatic icemaker.	9.40AV + 336.9	0.332av + 336.9.
5I. Refrigerator-freezers—automatic defrost with bottom-mounted freezer with an automatic icemaker without through-the-door ice service.	8.85AV + 401.0	0.312av + 401.0.
5I–BI. Built-In Refrigerator-freezers—automatic defrost with bottom-mounted freezer with an automatic icemaker without through-the-door ice service.	9.40AV + 420.9	0.332av + 420.9.
5A. Refrigerator-freezer—automatic defrost with bottom-mounted freezer with through-the-door ice service.	9.25AV + 475.4	0.327av + 475.4.
5A–BI. Built-in refrigerator-freezer—automatic defrost with bottom-mounted freezer with through-the-door ice service.	9.83AV + 499.9	0.347av + 499.9.
6. Refrigerator-freezers—automatic defrost with top-mounted freezer with through-the-door ice service.	8.40AV + 385.4	0.297av + 385.4.
7. Refrigerator-freezers—automatic defrost with side-mounted freezer with through-the-door ice service.	8.54AV + 432.8	0.302av + 431.1.
7–BI. Built-In Refrigerator-freezers—automatic defrost with side-mounted freezer with through-the-door ice service.	10.25AV + 502.6	0.362av + 502.6.
8. Upright freezers with manual defrost	5.57AV + 193.7	0.197av + 193.7.
9. Upright freezers with automatic defrost without an automatic icemaker.	8.62AV + 228.3	0.305av + 228.3.
9I. Upright freezers with automatic defrost with an automatic icemaker.	8.62AV + 312.3	0.305av + 312.3.
9–BI. Built-In Upright freezers with automatic defrost without an automatic icemaker.	9.86AV + 260.9	0.348av + 260.6.
9I–BI. Built-In Upright freezers with automatic defrost with an automatic icemaker.	9.86AV + 344.9	0.348av + 344.9.
10. Chest freezers and all other freezers except compact freezers	7.29AV + 107.8	0.257av + 107.8.
10A. Chest freezers with automatic defrost	10.24AV + 148.1	0.362av + 148.1.
11. Compact refrigerators and refrigerator-freezers with manual defrost.	9.03AV + 252.3	0.319av + 252.3.
11A.Compact refrigerators and refrigerator-freezers with manual defrost.	7.84AV + 219.1	0.277av + 219.1.
12. Compact refrigerator-freezers—partial automatic defrost	5.91AV + 335.8	0.209av + 335.8.
13. Compact refrigerator-freezers—automatic defrost with top-mounted freezer.	11.80AV + 339.2	0.417av + 339.2.
13I. Compact refrigerator-freezers—automatic defrost with top-mounted freezer with an automatic icemaker.	11.80AV + 423.2	0.417av + 423.2.
13A. Compact all-refrigerator—automatic defrost	9.17AV + 259.3	0.324av + 259.3.
14. Compact refrigerator-freezers—automatic defrost with side-mounted freezer.	6.82AV + 456.9	0.241av + 456.9.
14I. Compact refrigerator-freezers—automatic defrost with side-mounted freezer with an automatic icemaker.	6.82AV + 540.9	0.241av + 540.9.
15. Compact refrigerator-freezers—automatic defrost with bottom-mounted freezer.	11.80AV + 339.2	0.417av + 339.2.
15I. Compact refrigerator-freezers—automatic defrost with bottom-mounted freezer with an automatic icemaker.	11.80AV + 423.2	0.417av + 423.2.
16. Compact upright freezers with manual defrost	8.65AV + 225.7	0.306av + 225.7.
17. Compact upright freezers with automatic defrost	10.17AV + 351.9	0.359av + 351.9.
18. Compact chest freezers	9.25AV + 136.8	0.327av + 136.8.

AV = Total adjusted volume, expressed in ft^3, as determined in appendices A and B to subpart B of this part.
av = Total adjusted volume, expressed in Liters.

(2) The following standards apply to products manufactured on or after January 31, 2029.

TABLE 2 TO PARAGRAPH (a)(2)

Product class	Equations for maximum energy use (kWh/yr)	
	Based on AV (ft^3)	Based on av (L)
3–BI. Built-in refrigerator-freezer—automatic defrost with top-mounted freezer.	8.24AV + 238.4 + 28I	0.291av + 238.4 + 28I.
3A–BI. Built-in All-refrigerators—automatic defrost	(7.22AV + 205.7) * K3ABI	(0.255av + 205.7) * K3ABI.
4–BI. Built-In Refrigerator-freezers—automatic defrost with side-mounted freezer.	(8.79AV + 307.4) * K4BI + 28I.	(0.310av + 307.4) * K4BI + 28I.
5–BI. Built-In Refrigerator-freezers—automatic defrost with bottom-mounted freezer.	(8.65AV + 309.9) * K5BI + 28I.	(0.305av + 309.9) * K5BI + 28I.
5A. Refrigerator-freezer—automatic defrost with bottom-mounted freezer with through-the-door ice service.	(7.76AV + 351.9) * K5A	(0.274av + 351.9) * K5A.
5A–BI. Built-in refrigerator–freezer—automatic defrost with bottom-mounted freezer with through-the-door ice service.	(8.21AV + 370.7) * K5ABI	(0.290av + 370.7) * K5ABI.
7–BI. Built-In Refrigerator-freezers—automatic defrost with side-mounted freezer with through-the-door ice service.	(8.82AV + 384.1) * K7BI	(0.311av + 384.1) * K7BI.
8. Upright freezers with manual defrost	5.57AV + 193.7	0.197av + 193.7.
9–BI. Built-In Upright freezers with automatic defrost	(9.37AV + 247.9) * K9BI + 28I.	(0.331av + 247.9) * K9BI + 28I.
9A–BI. Built-In Upright freezers with automatic defrost with through-the-door ice service.	9.86AV + 288.9	0.348av + 288.9.
10. Chest freezers and all other freezers except compact freezers	7.29AV + 107.8	0.257av + 107.8.
10A. Chest freezers with automatic defrost	10.24AV + 148.1	0.362av + 148.1.
11. Compact refrigerator-freezers and refrigerators other than all-refrigerators with manual defrost.	7.68AV + 214.5	0.271av + 214.5.
11A. Compact all-refrigerators—manual defrost	6.66AV + 186.2	0.235av + 186.2.
12. Compact refrigerator-freezers—partial automatic defrost	(5.32AV + 302.2) * K12	(0.188av + 302.2) * K12.
13. Compact refrigerator-freezers—automatic defrost with top-mounted freezer.	10.62AV + 305.3 + 28I	0.375av + 305.3 + 28I.
13A. Compact all-refrigerators—automatic defrost	(8.25AV + 233.4) * K13A	(0.291av + 233.4) * K13A.
14. Compact refrigerator-freezers—automatic defrost with side-mounted freezer.	6.14AV + 411.2 + 28I	0.217av + 411.2 + 28I.
15. Compact refrigerator-freezers—automatic defrost with bottom-mounted freezer.	10.62AV + 305.3 + 28I	0.375av + 305.3 + 28I.
16. Compact upright freezers with manual defrost	7.35AV + 191.8	0.260av + 191.8.
17. Compact upright freezers with automatic defrost	9.15AV + 316.7	0.323av + 316.7.
18. Compact chest freezers	7.86AV + 107.8	0.278av + 107.8.

AV = Total adjusted volume, expressed in ft^3, as determined in appendices A and B to subpart B of this part.
av = Total adjusted volume, expressed in Liters.
I = 1 for a product with an automatic icemaker and = 0 for a product without an automatic icemaker. Door Coefficients (*e.g.,* K3ABI) are as defined in the following table.

TABLE 3 TO PARAGRAPH (a)(2)

Door coefficient	Products with a transparent door	Products without a transparent door with a door-in-door	Products without a transparent door or door-in-door with added external doors
K3ABI	1.10	1.0	1.0.
K4BI	1.10	1.06	1 + 0.02 * (N_d – 2).
K5BI	1.10	1.06	1 + 0.02 * (N_d – 2).
K5A	1.10	1.06	1 + 0.02 * (N_d – 3).
K5ABI	1.10	1.06	1 + 0.02 * (N_d – 3).
K7BI	1.10	1.06	1 + 0.02 * (N_d – 2).
K9BI	1.0	1.0	1 + 0.02 * (N_d – 1).
K12	1.0	1.0	1 + 0.02 * (N_d – 1).
K13A	1.10	1.0	1.0.

Notes:
[1] N_d is the number of external doors.
[2] The maximum N_d values are 2 for K12, 3 for K9BI, and 5 for all other K values.

(3) The following standards apply to products manufactured on or after January 31, 2030.

TABLE 4 TO PARAGRAPH (a)(3)

Product class	Equations for maximum energy use (kWh/yr)	
	Based on AV (ft^3)	Based on av (L)
1. Refrigerator-freezers and refrigerators other than all-refrigerators with manual defrost.	6.79AV + 191.3	0.240av + 191.3.
1A. All-refrigerators—manual defrost	5.77AV + 164.6	0.204av + 164.6.
2. Refrigerator-freezers—partial automatic defrost	(6.79AV + 191.3) * K2	(0.240av + 191.3) * K2.
3. Refrigerator-freezers—automatic defrost with top-mounted freezer	6.86AV + 198.6 + 28I	0.242av + 198.6 + 28I.
3A. All-refrigerators—automatic defrost	(6.01AV + 171.4) * K3A	(0.212av + 171.4) * K3A.
4. Refrigerator-freezers—automatic defrost with side-mounted freezer	(7.28AV + 254.9) * K4 + 28I.	(0.257av + 254.9) * K4 + 28I.
5. Refrigerator-freezers—automatic defrost with bottom-mounted freezer.	(7.61AV + 272.6) * K5 + 28I.	(0.269av + 272.6) * K5 + 28I.
6. Refrigerator-freezers—automatic defrost with top-mounted freezer with through-the-door ice service.	7.14AV + 280.0	0.252av + 280.0.
7. Refrigerator-freezers—automatic defrost with side-mounted freezer with through-the-door ice service.	(7.31AV + 322.5) * K7	(0.258av + 322.5) * K7.
9. Upright freezers with automatic defrost	(7.33AV + 194.1) * K9 + 28I.	(0.259av + 194.1) * K9 + 28I.

AV = Total adjusted volume, expressed in ft^3, as determined in appendices A and B to subpart B of this part.
av = Total adjusted volume, expressed in Liters.
I = 1 for a product with an automatic icemaker and = 0 for a product without an automatic icemaker. Door Coefficients (*e.g.,* K3A) are as defined in the following table.

TABLE 5 TO PARAGRAPH (a)(3)

Door coefficient	Products with a transparent door	Products without a transparent door with a door-in-door	Products without a transparent door or door-in-door with added external doors
K2	1.0	1.0	$1 + 0.02 * (N_d - 1)$.
K3A	1.10	1.0	1.0.
K4	1.10	1.06	$1 + 0.02 * (N_d - 2)$.
K5	1.10	1.06	$1 + 0.02 * (N_d - 2)$.
K7	1.10	1.06	$1 + 0.02 * (N_d - 2)$.
K9	1.0	1.0	$1 + 0.02 * (N_d - 1)$.

Notes:
[1] N_d is the number of external doors.
[2] The maximum N_d values are 2 for K2, and 5 for all other K values.

(b) *Room air conditioners.* (1) The following standards remain in effect from June 1, 2014, until May 26, 2026:

TABLE 6 TO PARAGRAPH (b)(1)

Equipment class	Combined energy efficiency ratio
1. Without reverse cycle, with louvered sides, and with a certified cooling capacity [1] less than 6,000 Btu/h	11.0
2. Without reverse cycle, with louvered sides and with a certified cooling capacity of 6,000 to 7,999 Btu/h	11.0
3. Without reverse cycle, with louvered sides and with a certified cooling capacity of 8,000 to 13,999 Btu/h	10.9
4. Without reverse cycle, with louvered sides and with a certified cooling capacity of 14,000 to 19,999 Btu/h	10.7
5a. Without reverse cycle, with louvered sides and with a certified cooling capacity of 20,000 Btu/h to 27,999 Btu/h	9.4
5b. Without reverse cycle, with louvered sides and with a certified cooling capacity of 28,000 Btu/h or more	9.0
6. Without reverse cycle, without louvered sides, and with a certified cooling capacity less than 6,000 Btu/h	10.0
7. Without reverse cycle, without louvered sides and with a certified cooling capacity of 6,000 to 7,999 Btu/h	10.0
8a. Without reverse cycle, without louvered sides and with a certified cooling capacity of 8,000 to 10,999 Btu/h	9.6
8b. Without reverse cycle, without louvered sides and with a certified cooling capacity of 11,000 to 13,999 Btu/h	9.5
9. Without reverse cycle, without louvered sides and with a certified cooling capacity of 14,000 to 19,999 Btu/h	9.3
10. Without reverse cycle, without louvered sides and with a certified cooling capacity of 20,000 Btu/h or more	9.4
11. With reverse cycle, with louvered sides, and with a certified cooling capacity less than 20,000 Btu/h	9.8
12. With reverse cycle, without louvered sides, and with a certified cooling capacity less than 14,000 Btu/h	9.3

TABLE 6 TO PARAGRAPH (b)(1)—Continued

Equipment class	Combined energy efficiency ratio
13. With reverse cycle, with louvered sides, and with a certified cooling capacity of 20,000 Btu/h or more	9.3
14. With reverse cycle, without louvered sides, and with a certified cooling capacity of 14,000 Btu/h or more	8.7
15. Casement-Only	9.5
16. Casement-Slider	10.4

[1] The certified cooling capacity is determined by the manufacturer in accordance with 10 CFR 429.15(a)(3).

(2) The following standards apply to products manufactured starting May 26, 2026:

TABLE 7 TO PARAGRAPH (b)(2)

Equipment class	Combined energy efficiency ratio
1. Without reverse cycle, with louvered sides, and with a certified cooling capacity [1] less than 6,000 Btu/h	13.1
2. Without reverse cycle, with louvered sides and with a certified cooling capacity of 6,000 to 7,900 Btu/h	13.7
3. Without reverse cycle, with louvered sides and with a certified cooling capacity of 8,000 to 13,900 Btu/h	16.0
4. Without reverse cycle, with louvered sides and with a certified cooling capacity of 14,000 to 19,900 Btu/h	16.0
5a. Without reverse cycle, with louvered sides and with a certified cooling capacity of 20,000 Btu/h to 27,900 Btu/h	13.8
5b. Without reverse cycle, with louvered sides and with a certified cooling capacity of 28,000 Btu/h or more	13.2
6. Without reverse cycle, without louvered sides, and with a certified cooling capacity less than 6,000 Btu/h	12.8
7. Without reverse cycle, without louvered sides and with a certified cooling capacity of 6,000 to 7,900 Btu/h	12.8
8a. Without reverse cycle, without louvered sides and with a certified cooling capacity of 8,000 to 10,900 Btu/h	14.1
8b. Without reverse cycle, without louvered sides and with a certified cooling capacity of 11,000 to 13,900 Btu/h	13.9
9. Without reverse cycle, without louvered sides and with a certified cooling capacity of 14,000 to 19,900 Btu/h	13.7
10. Without reverse cycle, without louvered sides and with a certified cooling capacity of 20,000 Btu/h or more	13.8
11. With reverse cycle, with louvered sides, and with a certified cooling capacity less than 20,000 Btu/h	14.4
12. With reverse cycle, without louvered sides, and with a certified cooling capacity less than 14,000 Btu/h	13.7
13. With reverse cycle, with louvered sides, and with a certified cooling capacity of 20,000 Btu/h or more	13.7
14. With reverse cycle, without louvered sides, and with a certified cooling capacity of 14,000 Btu/h or more	12.8
15. Casement-Only	13.9
16. Casement-Slider	15.3

[1] The certified cooling capacity is determined by the manufacturer in accordance with 10 CFR 429.15(a)(3).

(c) *Central air conditioners and heat pumps.* The energy conservation standards defined in terms of the heating seasonal performance factor are based on Region IV, the minimum standardized design heating requirement, and the provisions of 10 CFR 429.16.

(1) Central air conditioners and central air conditioning heat pumps manufactured on or after January 1, 2015, and before January 1, 2023, must have Seasonal Energy Efficiency Ratio and Heating Seasonal Performance Factor not less than:

Product class	Seasonal energy efficiency ratio (SEER)	Heating seasonal performance factor (HSPF)
(i) Split systems—air conditioners	13	
(ii) Split systems—heat pumps	14	8.2
(iii) Single package units—air conditioners	14	
(iv) Single package units—heat pumps	14	8.0
(v) Small-duct, high-velocity systems	12	7.2
(vi)(A) Space-constrained products—air conditioners	12	
(vi)(B) Space-constrained products—heat pumps	12	7.4

(2) In addition to meeting the applicable requirements in paragraph (c)(1) of this section, products in product

class (i) of paragraph (c)(1) of this section (*i.e.*, split-systems—air conditioners) that are installed on or after January 1, 2015, and before January 1, 2023, in the States of Alabama, Arkansas, Delaware, Florida, Georgia, Hawaii, Kentucky, Louisiana, Maryland, Mississippi, North Carolina, Oklahoma, South Carolina, Tennessee, Texas, or Virginia, or in the District of Columbia, must have a Seasonal Energy Efficiency Ratio (SEER) of 14 or higher. Any outdoor unit model that has a certified combination with a rating below 14 SEER cannot be installed in these States. The least efficient combination of each basic model must comply with this standard.

(3)(i) In addition to meeting the applicable requirements in paragraph (c)(1) of this section, products in product classes (i) and (iii) of paragraph (c)(1) of this section (*i.e.*, split systems—air conditioners and single-package units—air conditioners) that are installed on or after January 1, 2015, and before January 1, 2023, in the States of Arizona, California, Nevada, or New Mexico must have a Seasonal Energy Efficiency Ratio (SEER) of 14 or higher and have an Energy Efficiency Ratio (EER) (at a standard rating of 95 °F dry bulb outdoor temperature) not less than the following:

Product class	Energy efficiency ratio (EER)
(i) Split systems—air conditioners with rated cooling capacity less than 45,000 Btu/hr	12.2
(ii) Split systems—air conditioners with rated cooling capacity equal to or greater than 45,000 Btu/hr	11.7
(iii) Single-package units—air conditioners	11.0

(ii) Any outdoor unit model that has a certified combination with a rating below 14 SEER or the applicable EER cannot be installed in this region. The least-efficient combination of each basic model must comply with this standard.

(4) Each basic model of single-package central air conditioners and central air conditioning heat pumps and each individual combination of split-system central air conditioners and central air conditioning heat pumps manufactured on or after January 1, 2015, shall have an average off mode electrical power consumption not more than the following:

Product class	Average off mode power consumption $P_{W,OFF}$ (watts)
(i) Split-system air conditioners	30
(ii) Split-system heat pumps	33
(iii) Single-package air conditioners	30
(iv) Single-package heat pumps	33
(v) Small-duct, high-velocity systems	30
(vi) Space-constrained air conditioners	30
(vii) Space-constrained heat pumps	33

(5) Central air conditioners and central air conditioning heat pumps manufactured on or after January 1, 2023, must have a Seasonal Energy Efficiency Ratio 2 and a Heating Seasonal Performance Factor 2 not less than:

Product class	Seasonal energy efficiency ratio 2 (SEER2)	Heating seasonal performance factor 2 (HSPF2)
(i)(A) Split systems—air conditioners with a certified cooling capacity less than 45,000 Btu/hr	13.4	
(i)(B) Split systems—air conditioners with a certified cooling capacity equal to or greater than 45,000 Btu/hr	13.4	
(ii) Split systems—heat pumps	14.3	7.5
(iii) Single-package units—air conditioners	13.4	
(iv) Single-package units—heat pumps	13.4	6.7
(v) Small-duct, high-velocity systems	12	6.1
(vi)(A) Space-constrained products—air conditioners	11.7	
(vi)(B) Space-constrained products—heat pumps	11.9	6.3

(6)(i) In addition to meeting the applicable requirements in paragraph (c)(5) of this section, products in product classes (i) and (iii) of paragraph (c)(5) of this section (*i.e.*, split systems—air conditioners and single-package units—air conditioners) that are installed on or after January 1, 2023, in the southeast or southwest must have a Seasonal Energy Efficiency Ratio 2 and a Energy Efficiency Ratio 2 not less than:

Product class	Southeast *	Southwest **	
	SEER2	SEER2	EER2 ***
(i)(A) Split-systems—air conditioners with a certified cooling capacity less than 45,000 Btu/hr	14.3	14.3	11.7/9.8 †
(i)(B) Split-systems—air conditioners with a certified cooling capacity equal to or greater than 45,000 Btu/hr	13.8	13.8	11.2/9.8 ††
(iii) Single-package units—air conditioners	.....	.....	10.6

* ''Southeast'' includes the States of Alabama, Arkansas, Delaware, Florida, Georgia, Hawaii, Kentucky, Louisiana, Maryland, Mississippi, North Carolina, Oklahoma, Puerto Rico, South Carolina, Tennessee, Texas, Virginia, the District of Columbia, and the U.S. Territories.
** ''Southwest'' includes the States of Arizona, California, Nevada, and New Mexico.
*** EER refers to the energy efficiency ratio at a standard rating of 95 °F dry bulb outdoor temperature.
† The 11.7 EER2 standard applies to products with a certified SEER2 less than 15.2. The 9.8 EER2 standard applies to products with a certified SEER2 greater than or equal to 15.2.
†† The 11.2 EER2 standard applies to products with a certified SEER2 less than 15.2. The 9.8 EER2 standard applies to products with a certified SEER2 greater than or equal to 15.2.

(ii) Any model of outdoor unit that has a certified combination with a rating below the applicable standard level(s) for a region cannot be installed in that region. The least-efficient combination of each basic model, which for single-split-system air conditioner (AC) with single-stage or two-stage compressor (including space-constrained and small-duct high velocity systems (SDHV)) must be a coil-only combination, must comply with the applicable standard. See 10 CFR 429.16(a)(1) and (a)(4)(i).

(d) *Water Heaters.* (1) The uniform energy factor of water heaters manufactured May 6, 2029 shall not be less than the following:

Product class	Rated storage volume and input rating (*if applicable*)	Draw pattern	Uniform energy factor [1]
Gas-fired Storage Water Heater	≥20 gal and ≤55 gal	Very Small	$0.3456 - (0.0020 \times V_r)$
		Low	$0.5982 - (0.0019 \times V_r)$
		Medium	$0.6483 - (0.0017 \times V_r)$
		High	$0.6920 - (0.0013 \times V_r)$
	>55 gal and ≤100 gal	Very Small	$0.6470 - (0.0006 \times V_r)$
		Low	$0.7689 - (0.0005 \times V_r)$
		Medium	$0.7897 - (0.0004 \times V_r)$
		High	$0.8072 - (0.0003 \times V_r)$
Oil-fired Storage Water Heater	≤50 gal	Very Small	$0.2509 - (0.0012 \times V_r)$
		Low	$0.5330 - (0.0016 \times V_r)$
		Medium	$0.6078 - (0.0016 \times V_r)$
		High	$0.6815 - (0.0014 \times V_r)$
Electric Storage Water Heaters	≥20 gal and ≤55 gal	Very Small	$0.8808 - (0.0008 \times V_r)$
		Low	$0.9254 - (0.0003 \times V_r)$
		Medium	$0.9307 - (0.0002 \times V_r)$
		High	$0.9349 - (0.0001 \times V_r)$
	>55 gal and ≤120 gal	Very Small	$1.9236 - (0.0011 \times V_r)$
		Low	$2.0440 - (0.0011 \times V_r)$
		Medium	$2.1171 - (0.0011 \times V_r)$
		High	$2.2418 - (0.0011 \times V_r)$
Tabletop Water Heater	≥20 gal and ≤120 gal	Very Small	$0.6323 - (0.0058 \times V_r)$
		Low	$0.9188 - (0.0031 \times V_r)$
		Medium	$0.9577 - (0.0023 \times V_r)$
		High	$0.9884 - (0.0016 \times V_r)$
Instantaneous Gas-fired Water Heater.	<2 gal and >50,000 Btu/h	Very Small	0.80
		Low	0.81
		Medium	0.81
		High	0.81
Instantaneous Electric Water Heater.	<2 gal	Very Small	0.91
		Low	0.91
		Medium	0.91
		High	0.92
Grid-enabled Water Heater	>75 gal	Very Small	$1.0136 - (0.0028 \times V_r)$
		Low	$0.9984 - (0.0014 \times V_r)$
		Medium	$0.9853 - (0.0010 \times V_r)$
		High	$0.9720 - (0.0007 \times V_r)$

[1] V_r is the rated storage volume (in gallons), as determined pursuant to § 429.17 of this chapter.

(2) The uniform energy factor of water heaters manufactured on or after May 6, 2029 shall not be less than the following:

Product class	Rated storage volume and input rating (*if applicable*)	Draw pattern	Uniform energy factor [1]
Gas-fired Storage Water Heater	<20 gal	Very Small	$0.2062 - (0.0020 \times V_{eff})$
		Low	$0.4893 - (0.0027 \times V_{eff})$
		Medium	$0.5758 - (0.0023 \times V_{eff})$
		High	$0.6586 - (0.0020 \times V_{eff})$
	≥20 gal and ≤55 gal	Very Small	$0.3925 - (0.0020 \times V_{eff})$
		Low	$0.6451 - (0.0019 \times V_{eff})$
		Medium	$0.7046 - (0.0017 \times V_{eff})$
		High	$0.7424 - (0.0013 \times V_{eff})$
	>55 gal and ≤100 gal	Very Small	$0.6470 - (0.0006 \times V_{eff})$
		Low	$0.7689 - (0.0005 \times V_{eff})$
		Medium	$0.7897 - (0.0004 \times V_{eff})$
		High	$0.8072 - (0.0003 \times V_{eff})$
	>100 gal	Very Small	$0.1482 - (0.0007 \times V_{eff})$
		Low	$0.4342 - (0.0017 \times V_{eff})$
		Medium	$0.5596 - (0.0020 \times V_{eff})$
		High	$0.6658 - (0.0019 \times V_{eff})$
Oil-fired Storage Water Heater	≤50 gal	Very Small	$0.2909 - (0.0012 \times V_{eff})$
		Low	$0.5730 - (0.0016 \times V_{eff})$
		Medium	$0.6478 - (0.0016 \times V_{eff})$
		High	$0.7215 - (0.0014 \times V_{eff})$
	> 50 gal	Very Small	$0.1580 - (0.0009 \times V_{eff})$
		Low	$0.4390 - (0.0020 \times V_{eff})$
		Medium	$0.5389 - (0.0021 \times V_{eff})$
		High	$0.6172 - (0.0018 \times V_{eff})$
Very Small Electric Storage Water Heater.	< 20 gal	Very Small	$0.5925 - (0.0059 \times V_{eff})$
		Low	$0.8642 - (0.0030 \times V_{eff})$
		Medium	$0.9096 - (0.0020 \times V_{eff})$
		High	$0.9430 - (0.0012 \times V_{eff})$
Small Electric Storage Water Heater.	≥20 gal and ≤35 gal	Very Small	$0.8808 - (0.0008 \times V_{eff})$
		Low	$0.9254 - (0.0003 \times V_{eff})$
Electric Storage Water Heaters	>20 and ≤55 gal (excluding small electric storage water heaters).	Very Small	2.30
		Low	2.30
		Medium	2.30
		High	2.30
	>55 gal and ≤120 gal	Very Small	2.50
		Low	2.50
		Medium	2.50
		High	2.50
	>120 gal	Very Small	$0.3574 - (0.0012 \times V_{eff})$
		Low	$0.7897 - (0.0019 \times V_{eff})$
		Medium	$0.8884 - (0.0017 \times V_{eff})$
		High	$0.9575 - (0.0013 \times V_{eff})$
Tabletop Water Heater	<20 gal	Very Small	$0.5925 - (0.0059 \times V_{eff})$
		Low	$0.8642 - (0.0030 \times V_{eff})$
	≥20 gal	Very Small	$0.6323 - (0.0058 \times V_{eff})$
		Low	$0.9188 - (0.0031 \times V_{eff})$
Instantaneous Oil-fired Water Heater.	<2 gal and ≤210,000 Btu/h	Very Small	0.61
		Low	0.61
		Medium	0.61
		High	0.61
	≥2 gal and ≤210,000 Btu/h	Very Small	$0.2780 - (0.0022 \times V_{eff})$
		Low	$0.5151 - (0.0023 \times V_{eff})$
		Medium	$0.5687 - (0.0021 \times V_{eff})$
		High	$0.6147 - (0.0017 \times V_{eff})$
Instantaneous Electric Water Heater.	<2 gal	Very Small	0.91
		Low	0.91
		Medium	0.91
		High	0.92
	≥2 gal	Very Small	$0.8086 - (0.0050 \times V_{eff})$
		Low	$0.9123 - (0.0020 \times V_{eff})$
		Medium	$0.9252 - (0.0015 \times V_{eff})$
		High	$0.9350 - (0.0011 \times V_{eff})$
Grid-Enabled Water Heater	>75 gal	Very Small	$1.0136 - (0.0028 \times V_{eff})$
		Low	$0.9984 - (0.0014 \times V_{eff})$

Product class	Rated storage volume and input rating (*if applicable*)	Draw pattern	Uniform energy factor [1]
	.....	Medium	$0.9853 - (0.0010 \times V_{eff})$
	.....	High	$0.9720 - (0.0007 \times V_{eff})$

[1] V_{eff} is the Effective Storage Volume (in gallons), as determined pursuant to § 429.17 of this chapter.

(3) The provisions of paragraph (d) of this section are separate and severable from one another. Should a court of competent jurisdiction hold any provision(s) of paragraph (d) of this section to be stayed or invalid, such action shall not affect any other provision of paragraph (d) of this section.

(e) *Furnaces and boilers*—(1) *Furnaces.* (i) The Annual Fuel Utilization Efficiency (AFUE) of residential furnaces shall not be less than the following for non-weatherized gas furnaces manufactured before November 19, 2015, non-weatherized oil furnaces manufactured before May 1, 2013, and weatherized furnaces manufactured before January 1, 2015:

Product class	AFUE (percent) [1]
(A) Furnaces (excluding classes noted below)	78
(B) Mobile Home furnaces	75
(C) Small furnaces (other than those designed solely for installation in mobile homes) having an input rate of less than 45,000 Btu/hr.	
(*1*) Weatherized (outdoor)	78
(*2*) Non-weatherized (indoor)	78

[1] Annual Fuel Utilization Efficiency, as determined in § 430.23(n)(2) of this part.

(ii) The AFUE for non-weatherized gas furnaces (not including mobile home gas furnaces) manufactured on or after November 19, 2015, but before December 18, 2028; mobile home gas furnaces manufactured on or after November 19, 2015, but before December 18, 2028; non-weatherized oil-fired furnaces (not including mobile home furnaces) manufactured on or after May 1, 2013, mobile home oil-fired furnaces manufactured on or after September 1, 1990; weatherized gas-fired furnaces manufactured on or after January 1, 2015; weatherized oil-fired furnaces manufactured on or after January 1, 1992; and electric furnaces manufactured on or after January 1, 1992; shall not be less than the following:

Product class	AFUE (percent) [1]
(A) Non-weatherized gas furnaces (not including mobile home furnaces)	80.0
(B) Mobile home gas furnaces	80.0
(C) Non-weatherized oil-fired furnaces (not including mobile home furnaces)	83.0
(D) Mobile home oil-fired furnaces	75.0
(E) Weatherized gas furnaces	81.0
(F) Weatherized oil-fired furnaces	78.0
(G) Electric furnaces	78.0

[1] Annual Fuel Utilization Efficiency, as determined in § 430.23(n)(2).

(iii) The AFUE for non-weatherized gas (not including mobile home gas furnaces) manufactured on and after December 18, 2028; and mobile home gas furnaces manufactured on and after December 18, 2028, shall not be less than the following:

Product class	AFUE (percent) [1]
(A) Non-weatherized gas furnaces (not including mobile home gas furnaces)	95.0

Product class	AFUE (percent) [1]
(B) Mobile home gas furnaces	95.0

[1] Annual Fuel Utilization Efficiency, as determined in § 430.23(n)(2).

(iv) Furnaces manufactured on or after May 1, 2013, shall have an electrical standby mode power consumption ($P_{W,SB}$) and electrical off mode power consumption ($P_{W,OFF}$) not more than the following:

Product class	Maximum standby mode electrical power consumption, $P_{W,SB}$ (watts)	Maximum off mode electrical power consumption, $P_{W,OFF}$ (watts)
(A) Non-weatherized oil-fired furnaces (including mobile home furnaces)	11	11
(B) Electric furnaces	10	10

(2) *Boilers.* (i) The AFUE of residential boilers manufactured before September 1, 2012, shall not be less than the following:

Product class	AFUE [1] (percent)
(A) Boilers (excluding gas steam)	80
(B) Gas steam boilers	75

[1] Annual Fuel Utilization Efficiency, as determined in § 430.22(n)(2) of this part.

(ii) Except as provided in paragraph (e)(2)(iv) of this section, the AFUE of residential boilers, manufactured on or after September 1, 2012, and before January 15, 2021, shall not be less than the following and must comply with the design requirements as follows:

Product class	AFUE [1] (percent)	Design requirements
(A) Gas-fired hot water boiler.	82	Constant burning pilot not permitted. Automatic means for adjusting water temperature required (except for boilers equipped with tankless domestic water heating coils).
(B) Gas-fired steam boiler.	80	Constant burning pilot not permitted.
(C) Oil-fired hot water boiler.	84	Automatic means for adjusting temperature required (except for boilers equipped with tankless domestic water heating coils).
(D) Oil-fired steam boiler.	82	None.
(E) Electric hot water boiler.	None	Automatic means for adjusting temperature required (except for boilers equipped with tankless domestic water heating coils).

[1] Annual Fuel Utilization Efficiency, as determined in § 430.22(n)(2) of this part.

(iii)(A) Except as provided in paragraph (e)(2)(v) of this section, the AFUE of residential boilers, manufactured on and after January 15, 2021, shall not be less than the following and must comply with the design requirements as follows:

Product class	AFUE [1] (percent)	Design requirements
(*1*) Gas-fired hot water boiler	84	Constant-burning pilot not permitted. Automatic means for adjusting water temperature required (except for boilers equipped with tankless domestic water heating coils).
(*2*) Gas-fired steam boiler	82	Constant-burning pilot not permitted.
(*3*) Oil-fired hot water boiler	86	Automatic means for adjusting temperature required (except for boilers equipped with tankless domestic water heating coils).
(*4*) Oil-fired steam boiler	85	None.
(*5*) Electric hot water boiler	None	Automatic means for adjusting temperature required (except for boilers equipped with tankless domestic water heating coils).
(*6*) Electric steam boiler	None	None.

[1] Annual Fuel Utilization Efficiency, as determined in § 430.23(n)(2) of this part.

(B) Except as provided in paragraph (e)(2)(v) of this section, the standby mode power consumption ($P_{W,SB}$) and off mode power consumption ($P_{W,OFF}$) of

residential boilers, manufactured on and after January 15, 2021, shall not be more than the following:

Product class	$P_{W,SB}$ (watts)	$P_{W,OFF}$ (watts)
(*1*) Gas-fired hot water boiler	9	9
(*2*) Gas-fired steam boiler	8	8
(*3*) Oil-fired hot water boiler	11	11
(*4*) Oil-fired steam boiler	11	11
(*5*) Electric hot water boiler	8	8
(*6*) Electric steam boiler	8	8

(iv) *Automatic means for adjusting water temperature.* (A) The automatic means for adjusting water temperature as required under paragraph (e)(2)(ii) of this section must automatically adjust the temperature of the water supplied by the boiler to ensure that an incremental change in inferred heat load produces a corresponding incremental change in the temperature of water supplied.

(B) For boilers that fire at a single input rate, the automatic means for adjusting water temperature requirement may be satisfied by providing an automatic means that allows the burner or heating element to fire only when the means has determined that the inferred heat load cannot be met by the residual heat of the water in the system.

(C) When there is no inferred heat load with respect to a hot water boiler, the automatic means described in this paragraph shall limit the temperature of the water in the boiler to not more than 140 degrees Fahrenheit.

(D) A boiler for which an automatic means for adjusting water temperature is required shall be operable only when the automatic means is installed.

(v) A boiler that is manufactured to operate without any need for electricity or any electric connection, electric gauges, electric pumps, electric wires, or electric devices is not required to meet the AFUE or design requirements applicable to the boiler requirements of paragraph (e)(2)(ii) of this section, but must meet the requirements of paragraph (e)(2)(i) of this section, as applicable.

(f) *Dishwashers.* (1) All dishwashers manufactured on or after May 30, 2013, shall meet the following standard—

(i) Standard size dishwashers shall not exceed 307 kwh/year and 5.0 gallons per cycle. Standard size dishwashers have a capacity equal to or greater than eight place settings plus six serving pieces as specified in AHAM DW–1–2020 (incorporated by reference, see § 430.3) using the test load specified in section 2.3 of appendix C1 or section 2.4 of appendix C2 to subpart B of this part, as applicable.

(ii) Compact size dishwashers shall not exceed 222 kwh/year and 3.5 gallons per cycle. Compact size dishwashers have a capacity less than eight place settings plus six serving pieces as specified in AHAM DW–1–2020 (incorporated by reference, see § 430.3) using the test load specified in section 2.3 of appendix C1 or section 2.4 of appendix C2 to subpart B of this part, as applicable.

(2) All dishwashers manufactured on or after April 23, 2027, shall not exceed the following standard—

Product class	Estimated annual energy use (kWh/year)	Maximum per-cycle water consumption (gal/cycle)
(i) Standard-size [1] (≥8 place settings plus 6 serving pieces) [2]	223	3.3
(ii) Compact-size (<8 place settings plus 6 serving pieces) [2]	174	3.1

[1] The energy conservation standards in this table do not apply to standard-size dishwashers with a cycle time for the normal cycle of 60 minutes or less.

[2] Place settings are as specified in AHAM DW–1–2020 (incorporated by reference, see § 430.3) and the test load is as specified in section 2.4 of appendix C2 to subpart B of this part.

(3) The provisions of paragraph (f)(2) of this section are separate and severable from one another. Should a court of competent jurisdiction hold any provision(s) of this section to be stayed or invalid, such action shall not affect any other provision of this section.

(g) *Clothes washers.* (1) Clothes washers manufactured on or after January

1, 2018, shall have an Integrated Modified Energy Factor no less than, and an Integrated Water Factor no greater than:

Product class	Integrated modified energy factor (cu.ft./kWh/cycle)	Integrated water factor (gal/cycle/cu.ft.)
(i) Top-loading, Compact (less than 1.6 ft^3 capacity)	1.15	12.0
(ii) Top-loading, Standard (1.6 ft^3 or greater capacity)	1.57	6.5
(iii) Front-loading, Compact (less than 1.6 ft^3 capacity)	1.13	8.3
(iv) Front-loading, Standard (1.6 ft^3 or greater capacity)	1.84	4.7

(2) Clothes washers manufactured on or after March 1, 2028:

(i) Shall have an Energy Efficiency Ratio and a Water Efficiency Ratio no less than:

Product class	Energy efficiency ratio (lb/kWh/cycle)	Water efficiency ratio (lb/gal/cycle)
(A) Automatic Clothes Washers:.		
(*1*) Top-Loading Ultra-Compact (less than 1.6 ft^3 capacity)	3.79	0.29
(*2*) Top-Loading Standard-Size (1.6 ft^3 or greater capacity) [1]	4.27	0.57
(*3*) Front-Loading Compact (less than 3.0 ft^3 capacity) [2]	5.02	0.71
(*4*) Front-Loading Standard-Size (3.0 ft^3 or greater capacity) [3]	5.52	0.77
(B) Semi-Automatic Clothes Washers	2.12	0.27

[1] The energy conservation standards in this table do not apply to top-loading standard-size clothes washers with an average cycle time less than 30 minutes.
[2] The energy conservation standards in this table do not apply to front-loading clothes washers with a capacity greater than or equal to 1.6 ft^3 and less than 3.0 ft^3 with an average cycle time of less than 45 minutes.
[3] The energy conservation standards in this table do not apply to front-loading standard-size clothes washers with an average cycle time less than 45 minutes.

(ii) The provisions of this paragraph (g)(2) are separate and severable from one another. Should a court of competent jurisdiction hold any provision(s) of this section to be stayed or invalid, such action shall not affect any other provisions of this section.

(h) *Clothes dryers.* (1) Gas clothes dryers manufactured after January 1, 1988 shall not be equipped with a constant burning pilot.

(2) Clothes dryers manufactured on or after May 14, 1994 and before January 1, 2015, shall have an energy factor no less than:

Product class	Energy factor (lbs/kWh)
i. Electric, Standard (4.4 ft^3 or greater capacity)	3.01
ii. Electric, Compact (120V) (less than 4.4 ft^3 capacity)	3.13
iii. Electric, Compact (240V) (less than 4.4 ft^3 capacity)	2.90
iv. Gas	2.67

(3) Clothes dryers manufactured on or after January 1, 2015, shall have a combined energy factor no less than:

Product class	Combined energy factor (lbs/kWh)
(i) Vented Electric, Standard (4.4 ft^3 or greater capacity)	3.73
(ii) Vented Electric, Compact (120V) (less than 4.4 ft^3 capacity)	3.61
(iii) Vented Electric, Compact (240V) (less than 4.4 ft^3 capacity)	3.27
(iv) Vented Gas	3.30
(v) Ventless Electric, Compact (240V) (less than 4.4 ft^3 capacity)	2.55
(vi) Ventless Electric, Combination Washer-Dryer	2.08

(4) Clothes dryers manufactured on or after March 1, 2028, shall have a combined energy factor, determined in accordance with appendix D2 of this subpart, no less than:

Product class	CEF_{D2} (lb/kWh)
(i) Electric, Standard (4.4 ft^3 or greater capacity)*	3.93
(ii) Electric, Compact (120V) (less than 4.4 ft^3 capacity)	4.33
(iii) Vented Electric, Compact (240V) (less than 4.4 ft^3 capacity)	3.57
(iv) Vented Gas, Standard (4.4 ft^3 or greater capacity)**	3.48
(v) Vented Gas, Compact (less than 4.4 ft^3 capacity)	2.02
(vi) Ventless Electric, Compact (240V) (less than 4.4 ft^3 capacity)	2.68
(vii) Ventless Electric, Combination Washer-Dryer	2.33

*The energy conservation standards in this product class do not apply to Vented Electric, Standard clothes dryers with a cycle time of less than 30 minutes, when tested according to appendix D2 in subpart B of this part.

**The energy conservation standards in this product class do not apply to Vented Gas, Standard clothes dryers with a cycle time of less than 30 minutes, when tested according to appendix D2 in subpart B of this part.

(i) *Direct heating equipment.* (1) Vented home heating equipment manufactured on or after January 1, 1990 and before April 16, 2013, shall have an annual fuel utilization efficiency no less than:

Product class	Annual fuel utilization efficiency, Jan. 1, 1990 (percent)
1. Gas wall fan type up to 42,000 Btu/h	73
2. Gas wall fan type over 42,000 Btu/h	74
3. Gas wall gravity type up to 10,000 Btu/h	59
4. Gas wall gravity type over 10,000 Btu/h up to 12, 000 Btu/h	60
5. Gas wall gravity type over 12,000 Btu/h up to 15,000 Btu/h	61
6. Gas wall gravity type over 15,000 Btu/h up to 19,000 Btu/h	62
7. Gas wall gravity type over 19,000 Btu/h and up to 27,000 Btu/h	63
8. Gas wall gravity type over 27,000 Btu/h and up to 46,000 Btu/h	64
9. Gas wall gravity type over 46,000 Btu/h	65
10. Gas floor up to 37,000 Btu/h	56
11. Gas floor over 37,000 Btu/h	57
12. Gas room up to 18,000 Btu/h	57
13. Gas room over 18,000 Btu/h up to 20,000 Btu/h	58
14. Gas room over 20,000 Btu/h up to 27,000 Btu/h	63
15. Gas room over 27,000 Btu/h up to 46,000 Btu/h	64
16. Gas room over 46,000 Btu/h	65

(2) Vented home heating equipment manufactured on or after April 16, 2013, shall have an annual fuel utilization efficiency no less than:

Product class	Annual fuel utilization efficiency, April 16, 2013 (percent)
Gas wall fan type up to 42,000 Btu/h	75
Gas wall fan type over 42,000 Btu/h	76
Gas wall gravity type up to 27,000 Btu/h	65
Gas wall gravity type over 27,000 Btu/h up to 46,000 Btu/h	66
Gas wall gravity type over 46,000 Btu/h	67
Gas floor up to 37,000 Btu/h	57
Gas floor over 37,000 Btu/h	58
Gas room up to 20,000 Btu/h	61
Gas room over 20,000 Btu/h up to 27,000 Btu/h	66
Gas room over 27,000 Btu/h up to 46,000 Btu/h	67
Gas room over 46,000 Btu/h	68

(j) *Cooking Products* (1) *Conventional cooking tops.* (i) Gas cooking tops, other than gas portable indoor conventional cooking tops, manufactured on or after April 9, 2012, and before January 31, 2028, shall not be equipped with a constant burning pilot light.

(ii) Gas portable indoor conventional cooking tops, manufactured on or after April 9, 2012, shall not be equipped with a constant burning pilot light.

(iii) Conventional cooking tops, other than portable indoor conventional cooking tops, manufactured on or after

January 31, 2028, shall have an integrated annual energy consumption (IAEC), excluding any downdraft venting system energy consumption, no greater than:

Product class	Maximum integrated annual energy consumption (IAEC)
(A) Electric Smooth Element Standalone Cooking Tops	207 kWh/year.
(B) Electric Smooth Element Cooking Top Component of Combined Cooking Products	207 kWh/year.
(C) Gas Standalone Cooking Tops	1,770 kBtu/year.
(D) Gas Cooking Top Component of Combined Cooking Products	1,770 kBtu/year.

(2) *Conventional ovens.* The control system of a conventional oven shall:

(i) Not be equipped with a constant burning pilot light, for gas ovens manufactured on or after April 9, 2012; and

(ii) Not be equipped with a linear power supply, for electric and gas ovens manufactured on or after January 31, 2028.

(3) *Microwave ovens.*

(i) Microwave-only ovens and countertop convection microwave ovens manufactured on or after June 17, 2016, and before June 22, 2026, shall have an average standby power not more than 1.0 watt. Built-in and over-the-range convection microwave ovens manufactured on or after June 17, 2016, and before June 22, 2026, shall have an average standby power not more than 2.2 watts.

(ii) Microwave-only ovens and countertop convection microwave ovens manufactured on or after June 22, 2026, shall have an average standby power not more than 0.6 watts. Built-in and over-the-range convection microwave ovens manufactured on or after June 22, 2026, shall have an average standby power not more than 1.0 watt.

(k) *Pool heaters.* (1) Gas-fired pool heaters manufactured on and after April 16, 2013 and before May 30, 2028, shall have a thermal efficiency not less than 82%.

(2) Gas-fired pool heaters and electric pool heaters manufactured on and after May 30, 2028, shall have an integrated thermal efficiency not less than the following:

Product Class	Integrated Thermal Efficiency (percent)
Gas-fired Pool Heater	$\frac{84(Q_{IN}+491)}{Q_{IN}+2,536}$
Electric Pool Heater	$\frac{600PE}{PE+1,619}$

where Q_{IN} is the certified input capacity of a gas-fired pool heater basic model, in Btu/h, and PE is the certified active electrical power of an electric pool heater, in Btu/h.

(l) *Television sets.* [Reserved]

(m) *Fluorescent lamp ballasts*—(1) *Standards for fluorescent lamp ballasts (other than dimming ballasts).* Except as provided in paragraphs (m)(2) and (3) of this section, each fluorescent lamp ballast manufactured on or after November 14, 2014,

(i) Designed and marketed—

(A) To operate at nominal input voltages at or between 120 and 277 volts;

(B) To operate with an input current frequency of 60 Hertz; and

(C) For use in connection with fluorescent lamps (as defined in § 430.2)

(ii) Must have—

(A) A power factor of:

(*1*) 0.9 or greater for ballasts that are not residential ballasts; or

(*2*) 0.5 or greater for residential ballasts; and

(B) A ballast luminous efficiency not less than the following:

BLE = A/(1 + B × average total lamp arc power ^ −C) Where A, B, and C are as follows:			
Description	A	B	C
Instant start and rapid start ballasts (not classified as residential ballasts) that are designed and marketed to operate: 4-foot medium bipin lamps; 2-foot U-shaped lamps; or 8-foot slimline lamps.	0.993	0.27	0.25
Programmed start ballasts (not classified as residential ballasts) that are designed and marketed to operate: 4-foot medium bipin lamps; 2-foot U-shaped lamps; 4-foot miniature bipin standard output lamps; or 4-foot miniature bipin high output lamps.	0.993	0.51	0.37
Instant start and rapid start ballasts (not classified as sign ballasts) that are designed and marketed to operate 8-foot high output lamps	0.993	0.38	0.25
Programmed start ballasts (not classified as sign ballasts) that are designed and marketed to operate 8-foot high output lamps	0.973	0.70	0.37
Sign ballasts that are designed and marketed to operate 8-foot high output lamps	0.993	0.47	0.25
Instant start and rapid start residential ballasts that are designed and marketed to operate: 4-foot medium bipin lamps; 2-foot U-shaped lamps; or 8-foot slimline lamps.	0.993	0.41	0.25
Programmed start residential ballasts that are designed and marketed to operate: 4-foot medium bipin lamps or 2-foot U-shaped lamps.	0.973	0.71	0.37

(2) *Standards for certain dimming ballasts.* Except as provided in paragraph (m)(3) of this section, each dimming ballast manufactured on or after November 14, 2014; designed and marketed to operate one F34T12, two F34T12, two F96T12/ES, or two F96T12HO/ES lamps; and

(i) Designed and marketed—

(A) To operate at nominal input voltages at or between 120 and 277 volts;

(B) To operate with an input current frequency of 60 Hertz; and

(C) For use in connection with fluorescent lamps (as defined in § 430.2)

(ii) Must have—

(A) A power factor of:

(*1*) 0.9 or greater for ballasts that are not residential ballasts; or

(*2*) 0.5 or greater for residential ballasts; and

(B) A ballast luminous efficiency not less than the following:

Designed and marketed for operation of a maximum of	Nominal input voltage	Total nominal lamp watts	Ballast luminous efficiency	
			Low frequency ballasts	High frequency ballasts
One F34T12 lamp	120/277	34	0.777	0.778
Two F34T12 lamps	120/277	68	0.804	0.805
Two F96T12/ES lamps	120/277	120	0.876	0.884
Two F96T12HO/ES lamps	120/277	190	0.711	0.713

(3) *Exemptions.* The power factor and ballast luminous efficiency standards described in paragraph (m)(1)(ii) and (m)(2)(ii) of this section do not apply to:

(i) A dimming ballast designed and marketed to operate exclusively lamp types other than one F34T12, two F34T12, two F96T12/ES, or two F96T12HO/ES lamps;

(ii) A low frequency ballast that is designed and marketed to operate T8 diameter lamps; is designed and marketed for use in electromagnetic-interference-sensitive-environments only; and is shipped by the manufacturer in packages containing 10 or fewer ballasts; or

(iii) A programmed start ballast that operates 4-foot medium bipin T8 lamps and delivers on average less than 140 milliamperes to each lamp.

(4) For the purposes of this paragraph (m), the definitions found in appendix Q of subpart B of this part apply.

(n) *General service fluorescent lamps and incandescent reflector lamps.* (1) Each of the following general service

fluorescent lamps manufactured after the effective dates specified in the table must meet or exceed the following color rendering index standards:

Lamp type	Nominal lamp watts *	Minimum color rendering index	Effective date
(i) 4-foot medium bipin	>35 W	69	Nov. 1, 1995.
	≤35 W	45	Nov. 1, 1995.
(ii) 2-foot U-shaped	>35 W	69	Nov. 1, 1995.
	≤35 W	45	Nov. 1, 1995.
(iii) 8-foot slimline	>65 W	69	May 1, 1994.
	≤65 W	45	May 1, 1994.
(iv) 8-foot high output	>100 W	69	May 1, 1994.
	≤100 W	45	May 1, 1994.

* Nominal lamp watts means the wattage at which a fluorescent lamp is designed to operate. 42 U.S.C. 6291(29)(H)

(2) The standards described in paragraph (n)(1) of this section do not apply to:

(i) Any 4-foot medium bipin lamp or 2-foot U-shaped lamp with a rated wattage less than 28 watts;

(ii) Any 8-foot high output lamp not defined in ANSI C78.81–2010 (incorporated by reference; see § 430.3) or related supplements, or not 0.800 nominal amperes; or

(iii) Any 8-foot slimline lamp not defined in ANSI C78.3 (incorporated by reference; see § 430.3).

(3) Each of the following general service fluorescent lamps manufactured on or after January 26, 2018, must meet or exceed the following lamp efficacy standards shown in the table:

Lamp type	Correlated color temperature	Minimum average lamp efficacy lm/W
(i) 4-foot medium bipin lamps (straight-shaped lamp with medium bipin base, nominal overall length of 48 inches, and rated wattage of 25 or more).	≤4,500K	92.4
	>4,500K and ≤7,000K	88.7
(ii) 2-foot U-shaped lamps (U-shaped lamp with medium bipin base, nominal overall length between 22 and 25 inches, and rated wattage of 25 or more).	≤4,500K	85.0
	>4,500K and ≤7,000K	83.3
(iii) 8-foot slimline lamps (instant start lamp with single pin base, nominal overall length of 96 inches, and rated wattage of 49 or more).	≤4,500K	97.0
	>4,500K and ≤7,000K	93.0
(iv) 8-foot high output lamps (rapid start lamp with recessed double contact base, nominal overall length of 96 inches).	≤4,500K	92.0
	>4,500K and ≤7,000K	88.0
(v) 4-foot miniature bipin standard output lamps (straight-shaped lamp with miniature bipin base, nominal overall length between 45 and 48 inches, and rated wattage of 25 or more).	≤4,500K	95.0
	>4,500K and ≤7,000K	89.3
(vi) 4-foot miniature bipin high output lamps (straight-shaped lamp with miniature bipin base, nominal overall length between 45 and 48 inches, and rated wattage of 44 or more).	≤4,500K	82.7
	>4,500K and ≤7,000K	76.9

NOTE 1 TO PARAGRAPH (n)(3): For paragraphs (n)(3)(i) through (vi), rated wattage is defined with respect to fluorescent lamps and general service fluorescent lamps in § 430.2.

(4) Subject to the sales prohibition in paragraph (dd) of this section, each of the following incandescent reflector lamps manufactured after July 14, 2012, must meet or exceed the lamp efficacy standards shown in the table:

Rated wattage	Lamp spectrum	Lamp diameter inches	Rated voltage of lamp	Minimum average lamp efficacy lm/W
(i) 40–205	Standard Spectrum	>2.5	≥125 V	$6.8*P^{0.27}$
			<125 V	$5.9*P^{0.27}$
		≤2.5	≥125 V	$5.7*P^{0.27}$
			<125 V	$5.0*P^{0.27}$
(ii) 40–205	Modified Spectrum	>2.5	≥125 V	$5.8*P^{0.27}$
			<125 V	$5.0*P^{0.27}$

Rated wattage	Lamp spectrum	Lamp diameter inches	Rated voltage of lamp	Minimum average lamp efficacy lm/W
		≤2.5	≥125 V <125 V	$4.9*P^{0.27}$ $4.2*P^{0.27}$

NOTE 2 TO PARAGRAPH (n)(4): P is equal to the rated wattage, in watts. Rated wattage is defined with respect to incandescent reflector lamps in § 430.2.

NOTE 3 TO PARAGRAPH (n)(4): Standard Spectrum means any incandescent reflector lamp that does not meet the definition of modified spectrum in § 430.2.

(5) The standards specified in this section do not apply to the following types of incandescent reflector lamps:

(i) Lamps rated at 50 watts or less that are ER30, BR30, BR40, or ER40 lamps;

(ii) Lamps rated at 65 watts that are BR30, BR40, or ER40 lamps; or

(iii) R20 incandescent reflector lamps rated 45 watts or less.

(o) *Faucets.* The maximum water use allowed for any of the following faucets manufactured after January 1, 1994, when measured at a flowing water pressure of 60 pounds per square inch (414 kilopascals), shall be as follows:

Faucet type	Maximum flow rate (gpm (L/min)) or (gal/cycle (L/cycle))
Lavatory faucets	2.2 gpm (8.3 L/min) [1] [2]
Lavatory replacement aerators.	2.2 gpm (8.3 L/min)
Kitchen faucets	2.2 gpm (8.3 L/min)
Kitchen replacement aerators.	2.2 gpm (8.3 L/min)
Metering faucets	0.25 gal/cycle (0.95 L/cycle) [3] [4]

NOTE:

[1] Sprayheads with independently-controlled orifices and manual controls.

The maximum flow rate of each orifice that manually turns on or off shall not exceed the maximum flow rate for a lavatory faucet.

[2] Sprayheads with collectively controlled orifices and manual controls.

The maximum flow rate of a sprayhead that manually turns on or off shall be the product of (a) the maximum flow rate for a lavatory faucet and (b) the number of component lavatories (rim space of the lavatory in inches (millimeters) divided by 20 inches (508 millimeters)).

[3] Sprayheads with independently controlled orifices and metered controls.

The maximum flow rate of each orifice that delivers a preset volume of water before gradually shutting itself off shall not exceed the maximum flow rate for a metering faucet.

[4] Sprayheads with collectively-controlled orifices and metered controls.

The maximum flow rate of a sprayhead that delivers a preset volume of water before gradually shutting itself off shall be the product of (a) the maximum flow rate for a metering faucet and (b) the number of component lavatories (rim space of the lavatory in inches (millimeters) divided by 20 inches (508 millimeters)).

(p) *Showerheads.* The maximum water use allowed for any showerheads manufactured after January 1, 1994, shall be 2.5 gallons per minute (9.5 liters per minute) when measured at a flowing pressure of 80 pounds per square inch gage (552 kilopascals). When used as a component of any such showerhead, the flow-restricting insert shall be mechanically retained at the point of manufacture such that a force of 8.0 pounds force (36 Newtons) or more is required to remove the flow-restricting insert, except that this requirement shall not apply to showerheads for which removal of the flow-restricting insert would cause water to leak significantly from areas other than the spray face.

(q) *Water closets.* The maximum water use allowed in gallons per flush for any of the following water closets is as follows:

Water closet type	Maximum flush rate (gpf (Lpf))	
	Manufactured after January 1, 1994	Manufactured after January 1, 1997
(1) Gravity flush tank water closet	1.6 (6.0)	1.6 (6.0)
(2) Flushometer tank water closet	1.6 (6.0)	1.6 (6.0)
(3) Electromechanical hydraulic water closet	1.6 (6.0)	1.6 (6.0)
(4) Blowout bowl water closet	3.5 (13.2)	3.5 (13.2)
(5) Flushometer valve water closets, other than those with blowout bowls	.....	1.6 (6.0)

(r) *Urinals.* The maximum water use allowed for any urinals manufactured after January 1, 1994, shall be 1.0 gallons per flush (3.8 liters per flush). The

maximum water use allowed for a trough-type urinal shall be the product of:

(1) The maximum flow rate for a urinal and

(2) The length of the trough-type urinal in inches (millimeter) divided by 16 inches (406 millimeters).

(s) *Ceiling fans and ceiling fan light kits.* (1) All ceiling fans manufactured on or after January 1, 2007, shall have the following features:

(i) Fan speed controls separate from any lighting controls;

(ii) Adjustable speed controls (either more than 1 speed or variable speed);

(iii) The capability of reversible fan action, except for—

(A) Fans sold for industrial applications;

(B) Fans sold for outdoor applications; and

(C) Cases in which safety standards would be violated by the use of the reversible mode.

(2)(i) Ceiling fans manufactured on or after January 21, 2020, shall meet the requirements shows in the table:

Product class as defined in Appendix U	Minimum efficiency (CFM/W) [1]
Very small-diameter (VSD)	D ≤ 12 in.: 21. D > 12 in.: 3.16 D–17.04.
Standard	0.65 D + 38.03.
Hugger	0.29 D + 34.46.
High-speed small-diameter (HSSD).	4.16 D + 0.02.

[1] D is the ceiling fan's blade span, in inches, as determined in Appendix U of this part.

(ii) Large-diameter ceiling fans, as defined in appendix U to subpart B of this part, manufactured on or after January 21, 2020, shall have a CFEI greater than or equal to –

(A) 1.00 at high speed; and

(B) 1.31 at 40 percent speed or the nearest speed that is not less than 40 percent speed.

(iii) The provisions in this appendix apply to ceiling fans except:

(A) Ceiling fans where the plane of rotation of a ceiling fan's blades is not less than or equal to 45 degrees from horizontal, or cannot be adjusted based on the manufacturer's specifications to be less than or equal to 45 degrees from horizontal;

(B) Centrifugal ceiling fans, as defined in Appendix U of this part;

(C) Belt-driven ceiling fans, as defined in Appendix U of this part;

(D) Oscillating ceiling fans, as defined in Appendix U of this part; and

(E) Highly-decorative ceiling fans, as defined in Appendix U of this part.

(3) Ceiling fan light kits manufactured on or after January 1, 2007, and prior to January 21, 2020, with medium screw base sockets must be packaged with medium screw base lamps to fill all sockets. These medium screw base lamps must—

(i) Be compact fluorescent lamps that meet or exceed the following requirements or be as described in paragraph (s)(3)(ii) of this section:

Factor	Requirements
Rated Wattage (Watts) & Configuration [1].	Minimum Initial Lamp Efficacy (lumens per watt) [2]
Bare Lamp:	
Lamp Power <15 ..	45.0
Lamp Power ≥15 ..	60.0
Covered Lamp (no reflector):	
Lamp Power <15 ..	40.0
15≤Lamp Power <19.	48.0
19≤Lamp Power <25.	50.0
Lamp Power ≥25 ..	55.0
With Reflector:	
Lamp Power <20 ..	33.0
Lamp Power ≥20 ..	40.0
Lumen Maintenance at 1,000 hours.	≥ 90.0%
Lumen Maintenance at 40 Percent of Lifetime.	≥ 80.0%
Rapid Cycle Stress Test.	Each lamp must be cycled once for every 2 hours of lifetime. At least 5 lamps must meet or exceed the minimum number of cycles.
Lifetime	≥ 6,000 hours for the sample of lamps.

[1] Use rated wattage to determine the appropriate minimum efficacy requirements in this table.

[2] Calculate efficacy using measured wattage, rather than rated wattage, and measured lumens to determine product compliance. Wattage and lumen values indicated on products or packaging may not be used in calculation.

(ii) Be light sources other than compact fluorescent lamps that have lumens per watt performance at least equivalent to comparably configured compact fluorescent lamps meeting the energy conservation standards in paragraph (s)(3)(i) of this section.

(4) Ceiling fan light kits manufactured on or after January 1, 2007, and prior January 21, 2020, with pin-based sockets for fluorescent lamps must use an electronic ballast and be packaged

with lamps to fill all sockets. These lamp ballast platforms must meet the following requirements:

Factor	Requirement
System Efficacy Per Lamp Ballast Platform in Lumens Per Watt (lm/w).	≥50 lm/w for all lamps below 30 total listed lamp watts.
	≥60 lm/w for all lamps that are ≤ 24 inches and ≥30 total listed lamp watts.
	≥70 lm/w for all lamps that are > 24 inches and ≥30 total listed lamp watts.

(5) Ceiling fan light kits manufactured on or after January 1, 2009, and prior to January 21, 2020, with socket types other than those covered in paragraph (s)(3) or (4) of this section, including candelabra screw base sockets, must be packaged with lamps to fill all sockets and must not be capable of operating with lamps that total more than 190 watts.

(6) Ceiling fan light kits manufactured on or after January 21, 2020 must be packaged with lamps to fill all sockets, and each basic model of lamp packaged with the basic model of CFLK, each basic model of consumer-replaceable SSL packaged with the basic model of CFLK, and each basic model of non-consumer-replaceable SSL in the CFLK basic model shall meet the requirements shown in paragraphs (s)(6)(i) and (ii) of this section:

Lumens [1]	Minimum required efficacy (lm/W)
(i) <120	50.
(ii) ≥120	$(74.0 - 29.42 \times 0.9983^{lumens})$.

[1] Use the lumen output for each basic model of lamp packaged with the basic model of CFLK, each basic model of consumer-replaceable SSL packaged with the basic model of CFLK, or each basic model of non-consumer-replaceable SSL in the CFLK basic model to determine the applicable standard.

(i) Ceiling fan light kits with medium screw base sockets manufactured on or after January 21, 2020 and packaged with compact fluorescent lamps must include lamps that also meet the following requirements:

Lumen Maintenance at 1,000 hours	≥90.0%.
Lumen Maintenance at 40 Percent of Lifetime	≥80.0%.
Rapid Cycle Stress Test	Each lamp must be cycled once for every 2 hours of lifetime of compact fluorescent lamp as defined in § 430.2. At least 5 lamps must meet or exceed the minimum number of cycles.
Lifetime	≥6,000 hours for the sample of lamps.

(ii) Ceiling fan light kits with pin based sockets for fluorescent lamps, manufactured on or after January 21, 2020, must also use an electronic ballast.

(t) *Torchieres.* A torchiere manufactured on or after January 1, 2006 shall:

(1) Consume not more than 190 watts of power; and

(2) Not be capable of operating with lamps that total more than 190 watts.

(u) [Reserved]

(v) *Dehumidifiers.* (1) Dehumidifiers manufactured on or after October 1, 2012, shall have an energy factor that meets or exceeds the following values:

Product capacity (pints/day)	Minimum energy factor (liters/kWh)
Up to 35.00	1.35
35.01–45.00	1.50
45.01–54.00	1.60
54.01–75.00	1.70
75.01 or more	2.5

(2) Dehumidifiers manufactured on or after June 13, 2019, shall have an integrated energy factor that meets or exceeds the following values:

Portable dehumidifier product capacity (pints/day)	Minimum integrated energy factor (liters/kWh)
25.00 or less	1.30
25.01–50.00	1.60
50.01 or more	2.80

Portable dehumidifier product capacity (pints/day)	Minimum integrated energy factor (liters/kWh)
Whole-home dehumidifier product case volume (cubic feet)	
8.0 or less	1.77
More than 8.0	2.41

(w) *External power supplies.* (1)(i) Except as provided in paragraphs (w)(2) and (5) of this section, all class A external power supplies manufactured on or after July 1, 2008, shall meet the following standards:

Active mode	
Nameplate output	Required efficiency (decimal equivalent of a percentage)
Less than 1 watt	0.5 times the Nameplate output.
From 1 watt to not more than 51 watts	The sum of 0.09 times the Natural Logarithm of the Nameplate Output and 0.5.
Greater than 51 watts	0.85.
No-load mode	
Nameplate output	Maximum consumption
Not more than 250 watts	0.5 watts.

(ii) Except as provided in paragraphs (w)(5), (w)(6), and (w)(7) of this section, all direct operation external power supplies manufactured on or after February 10, 2016, shall meet the following standards:

Single-Voltage External AC-DC Power Supply, Basic-Voltage		
Nameplate Output Power (P_{out})	**Minimum Average Efficiency in Active Mode** *(expressed as a decimal)*	**Maximum Power in No-Load Mode [W]**
$P_{out} \leq 1$ W	$\geq 0.5 \times P_{out} + 0.16$	≤ 0.100
1 W < $P_{out} \leq 49$ W	$\geq 0.071 \times \ln(P_{out}) - 0.0014 \times P_{out} + 0.67$	≤ 0.100
49 W < $P_{out} \leq 250$ W	≥ 0.880	≤ 0.210
$P_{out} > 250$ W	≥ 0.875	≤ 0.500
Single-Voltage External AC-DC Power Supply, Low-Voltage		
Nameplate Output Power (P_{out})	**Minimum Average Efficiency in Active Mode** *(expressed as a decimal)*	**Maximum Power in No-Load Mode [W]**
$P_{out} \leq 1$ W	$\geq 0.517 \times P_{out} + 0.087$	≤ 0.100
1 W < $P_{out} \leq 49$ W	$\geq 0.0834 \times \ln(P_{out}) - 0.0014 \times P_{out} + 0.609$	≤ 0.100
49 W < $P_{out} \leq 250$ W	≥ 0.870	≤ 0.210
$P_{out} > 250$ W	≥ 0.875	≤ 0.500
Single-Voltage External AC-AC Power Supply, Basic-Voltage		
Nameplate Output Power (P_{out})	**Minimum Average Efficiency in Active Mode** *(expressed as a decimal)*	**Maximum Power in No-Load Mode [W]**
$P_{out} \leq 1$ W	$\geq 0.5 \times P_{out} + 0.16$	≤ 0.210
1 W < $P_{out} \leq 49$ W	$\geq 0.071 \times \ln(P_{out}) - 0.0014 \times P_{out} + 0.67$	≤ 0.210
49 W < $P_{out} \leq 250$ W	≥ 0.880	≤ 0.210
$P_{out} > 250$ W	≥ 0.875	≤ 0.500
Single-Voltage External AC-AC Power Supply, Low-Voltage		
Nameplate Output Power (P_{out})	**Minimum Average Efficiency in Active Mode** *(expressed as a decimal)*	**Maximum Power in No-Load Mode [W]**
$P_{out} \leq 1$ W	$\geq 0.517 \times P_{out} + 0.087$	≤ 0.210
1 W < $P_{out} \leq 49$ W	$\geq 0.0834 \times \ln(P_{out}) - 0.0014 \times P_{out} + 0.609$	≤ 0.210

49 W < P_{out} ≤ 250 W	≥ 0.870	≤ 0.210
P_{out} > 250 W	≥ 0.875	≤ 0.500
Multiple-Voltage External Power Supply		
Nameplate Output Power (P_{out})	**Minimum Average Efficiency in Active Mode** *(expressed as a decimal)*	**Maximum Power in No-Load Mode [W]**
P_{out} ≤ 1 W	≥ 0.497 × P_{out} + 0.067	≤ 0.300
1 W < P_{out} ≤ 49 W	≥ 0.075 × ln(P_{out}) + 0.561	≤ 0.300
P_{out} > 49 W	≥ 0.860	≤ 0.300

(iii) Except as provided in paragraphs (w)(5), (w)(6), and (w)(7) of this section, all external power supplies manufactured on or after February 10, 2016, shall meet the following standards:

	Class A EPS	Non-Class A EPS
Direct Operation EPS	Level VI: 10 CFR 430.32(w)(1)(ii)	Level VI: 10 CFR 430.32(w)(1)(ii).
Indirect Operation EPS	Level IV: 10 CFR 430.32(w)(1)(i)	No Standards.

(2) A basic model of external power supply is not subject to the energy conservation standards of paragraph (w)(1)(ii) of this section if the external power supply—

(i) Is manufactured during the period beginning on February 10, 2016, and ending on February 10, 2020;

(ii) Is marked in accordance with the External Power Supply International Efficiency Marking Protocol, as in effect on February 10, 2016;

(iii) Meets, where applicable, the standards under paragraph (w)(1)(i) of this section, and has been certified to the Secretary as meeting those standards; and

(iv) Is made available by the manufacturer only as a service part or a spare part for an end-use product that—

(A) Constitutes the primary load; and

(B) Was manufactured before February 10, 2016.

(3) The standards described in paragraph (w)(1) of this section shall not constitute an energy conservation standard for the separate end-use product to which the external power supply is connected.

(4) Any external power supply subject to the standards in paragraph (w)(1) of this section shall be clearly and permanently marked in accordance with the International Efficiency Marking Protocol for External Power Supplies (incorporated by reference; see § 430.3), published by the U.S. Department of Energy.

(5) *Non-application of no-load mode requirements.* The no-load mode energy efficiency standards established in paragraph (w)(1) of this section shall not apply to an external power supply that—

(i) Is an AC-to-AC external power supply;

(ii) Has a nameplate output of 20 watts or more;

(iii) Is certified to the Secretary as being designed to be connected to a security or life safety alarm or surveillance system component; and

(iv) On establishment within the External Power Supply International Efficiency Marking Protocol, as referenced in the ''Energy Star Program

Requirements for Single Voltage External Ac-Dc and Ac-Ac Power Supplies'' (incorporated by reference, see § 430.3), published by the Environmental Protection Agency, of a distinguishing mark for products described in this clause, is permanently marked with the distinguishing mark.

(6) An external power supply shall not be subject to the standards in paragraph (w)(1) of this section if it is a device that requires Federal Food and Drug Administration (FDA) listing and approval as a medical device in accordance with section 513 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 360(c)).

(7) A direct operation, AC–DC external power supply with nameplate output voltage less than 3 volts and nameplate output current greater than or equal to 1,000 milliamps that charges the battery of a product that is fully or primarily motor operated shall not be subject to the standards in paragraph (w)(1)(ii) of this section.

(x) *Intermediate base incandescent lamps and candelabra base incandescent lamps.* (1) Subject to the sales prohibition in paragraph (dd) of this section, each candelabra base incandescent lamp shall not exceed 60 rated watts.

(2) Subject to the sales prohibition in paragraph (dd) of this section, each intermediate base incandescent lamp shall not exceed 40 rated watts.

(y) *Residential furnace fans.* Residential furnace fans incorporated in the products listed in Table 1 of this paragraph and manufactured on and after July 3, 2019, shall have a fan energy rating (FER) value that meets or is less than the following values:

TABLE 1—ENERGY CONSERVATION STANDARDS FOR COVERED RESIDENTIAL FURNACE FANS*

Product class	FER** (Watts/1000 cfm)
Non-Weatherized, Non-Condensing Gas Furnace Fan (NWG–NC)	FER = 0.044 × Q_{Max} + 182
Non-Weatherized, Condensing Gas Furnace Fan (NWG–C)	FER = 0.044 × Q_{Max} + 195
Weatherized Non-Condensing Gas Furnace Fan (WG–NC)	FER = 0.044 × Q_{Max} + 199
Non-Weatherized, Non-Condensing Oil Furnace Fan (NWO–NC)	FER = 0.071 × Q_{Max} + 382
Non-Weatherized Electric Furnace/Modular Blower Fan (NWEF/NWMB)	FER = 0.044 × Q_{Max} + 165
Mobile Home Non-Weatherized, Non-Condensing Gas Furnace Fan (MH–NWG–NC).	FER = 0.071 × Q_{Max} + 222
Mobile Home Non-Weatherized, Condensing Gas Furnace Fan (MH–NWG–C)	FER = 0.071 × Q_{Max} + 240
Mobile Home Electric Furnace/Modular Blower Fan (MH–EF/MB)	FER = 0.044 × Q_{Max} + 101
Mobile Home Non-Weatherized Oil Furnace Fan (MH–NWO)	Reserved
Mobile Home Weatherized Gas Furnace Fan (MH–WG)**	Reserved

* Furnace fans incorporated into hydronic air handlers, SDHV modular blowers, SDHV electric furnaces, and CAC/HP indoor units are not subject to the standards listed in this table.

** Q_{Max} is the airflow, in cfm, at the maximum airflow-control setting measured using the final DOE test procedure at 10 CFR part 430, subpart B, appendix AA.

(z) *Battery chargers.* (1) Battery chargers manufactured on or after June 13, 2018, must have a unit energy consumption (UEC) less than or equal to the prescribed ''Maximum UEC'' standard when using the equations for the appropriate product class and corresponding rated battery energy as shown in the following table:

Product class	Product class description	Rated battery energy (Ebatt**)	Special characteristic or battery voltage	Maximum UEC (kWh/yr) (as a function of Ebatt**)
1	Low-Energy	≤5 Wh	Inductive Connection*	3.04
2	Low-Energy, Low-Voltage	<100 Wh	<4 V	0.1440 * E_{batt} + 2.95
3	Low-Energy, Medium-Voltage		4–10 V	For E_{batt} <10 Wh, 1.42 kWh/y E_{batt} ≥10 Wh, 0.0255 * E_{batt} + 1.16
4	Low-Energy, High-Voltage		>10 V	0.11 * E_{batt} + 3.18
5	Medium-Energy, Low-Voltage	100–3000 Wh.	<20 V	0.0257 * E_{batt} + .815
6	Medium-Energy, High-Voltage		≥20 V	0.0778 * E_{batt} + 2.4
7	High-Energy	>3000 Wh		0.0502 * E_{batt} + 4.53

* Inductive connection and designed for use in a wet environment (*e.g.* electric toothbrushes).

** E_{batt} = Rated battery energy as determined in 10 CFR part 429.39(a).

(2) A battery charger shall not be subject to the standards in paragraph (z)(1) of this section if it is a device that requires Federal Food and Drug Administration (FDA) listing and approval as a life-sustaining or life-supporting device in accordance with section 513 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 360(c)).

(3) All uninterruptible power supplies (UPS) manufactured on and after January 10, 2022, that utilize a NEMA 1–15P or 5–15P input plug and have an AC output shall have an average load adjusted efficiency that meets or exceeds the values shown in the table in this paragraph (z)(3) based on the rated output power (P_{rated}) of the UPS.

Battery charger product class	Rated output power	Minimum efficiency
10a (VFD UPSs)	$0W < P_{rated} \leq 300\ W$	$-1.20E{-}06 * P^2_{rated} + 7.17E{-}04 * P_{rated} + 0.862$.
	$300\ W < P_{rated} \leq 700\ W$	$-7.85E{-}08 * P^2_{rated} + 1.01E{-}04 * P_{rated} + 0.946$.
	$P_{rated} > 700\ W$	$-7.23E{-}09 * P^2_{rated} + 7.52E{-}06 * P_{rated} + 0.977$.
10b (VI UPSs)	$0W < P_{rated} \leq 300\ W$	$-1.20E{-}06 * P^2_{rated} + 7.19E{-}04 * P_{rated} + 0.863$.
	$300\ W < P_{rated} \leq 700\ W$	$-7.67E{-}08 * P^2_{rated} + 1.05E{-}04 * P_{rated} + 0.947$.
	$P_{rated} > 700\ W$	$-4.62E{-}09 * P^2_{rated} + 8.54E{-}06 * P_{rated} + 0.979$.
10c (VFI UPSs)	$0W < P_{rated} \leq 300\ W$	$-3.13E{-}06 * P^2_{rated} + 1.96E{-}03 * P_{rated} + 0.543$.
	$300\ W < P_{rated} \leq 700\ W$	$-2.60E{-}07 * P^2_{rated} + 3.65E{-}04 * P_{rated} + 0.764$.
	$P_{rated} > 700\ W$	$-1.70E{-}08 * P^2_{rated} + 3.85E{-}05 * P_{rated} + 0.876$.

(aa) *Miscellaneous refrigeration products.* The energy standards as determined by the equations of the following table(s) shall be rounded off to the nearest kWh per year. If the equation calculation is halfway between the nearest two kWh per year values, the standard shall be rounded up to the higher of these values.

(1) *Coolers.* (i) Coolers manufactured on or after October 28, 2019, and before January 31, 2029, shall have an Annual Energy Use (AEU) no more than:

Product class	AEU (kWh/yr)
(A) Freestanding compact.	7.88AV + 155.8
(B) Freestanding.	7.88AV + 155.8
(C) Built-in compact.	7.88AV + 155.8
(D) Built-in.	7.88AV + 155.8

Note: AV = Total adjusted volume, expressed in ft^3, as determined in appendix A to subpart B of this part.

(ii) Coolers manufactured on or after January 31, 2029, shall have an Annual Energy Use (AEU) no more than:

Product class	AEU (kWh/yr)
(A) Freestanding compact.	5.52AV + 109.1
(B) Freestanding.	5.52AV + 109.1
(C) Built-in compact.	5.52AV + 109.1
(D) Built-in.	6.30AV + 124.6

Note: AV = Total adjusted volume, expressed in ft^3, as determined in appendix A to subpart B of this part.

(2) *Combination cooler refrigeration products.* (i) Combination cooler refrigeration products manufactured on or after October 28, 2019, and before January 31, 2029, shall have an Annual Energy Use (AEU) no more than:

Product class	AEU (kWh/yr)
(A) C–3A. Cooler with all-refrigerator—automatic defrost	4.57AV + 130.4
(B) C–3A–BI. Built-in cooler with all-refrigerator—automatic defrost	5.19AV + 147.8
(C) C–9. Cooler with upright freezer with automatic defrost without an automatic icemaker	5.58AV + 147.7
(D) C–9–BI. Built-in cooler with upright freezer with automatic defrost without an automatic icemaker	6.38AV + 168.8
(E) C–9I. Cooler with upright freezer with automatic defrost with an automatic icemaker	5.58AV + 231.7
(F) C–9I–BI. Built-in cooler with upright freezer with automatic defrost with an automatic icemaker	6.38AV + 252.8
(G) C–13A. Compact cooler with all-refrigerator—automatic defrost	5.93AV + 193.7
(H) C–13A–BI. Built-in compact cooler with all-refrigerator—automatic defrost	6.52AV + 213.1

Note: AV = Total adjusted volume, expressed in ft^3, as determined in appendix A to subpart B of this part.

(ii) Combination cooler refrigeration products manufactured on or after January 31, 2029, shall have an Annual Energy Use (AEU) no more than:

Product class	AEU (kWh/yr)
C–3A. Cooler with all-refrigerator—automatic defrost	4.11AV + 117.4.
C–3A–BI. Built-in cooler with all-refrigerator—automatic defrost	4.67AV + 133.0.
C–5–BI. Built-in cooler with refrigerator-freezer with automatic defrost with bottom-mounted freezer.	5.47AV + 196.2 + 28I.

Product class	AEU (kWh/yr)
C–9. Cooler with upright freezer with automatic defrost	5.58AV + 147.7 + 28I.
C–9–BI. Built-in cooler with upright freezer with automatic defrost	6.38AV + 168.8 + 28I.
C–13A. Compact cooler with all-refrigerator—automatic defrost	4.74AV + 155.0.
C–13A–BI. Built-in compact cooler with all-refrigerator—automatic defrost	5.22AV + 170.5.

AV = Total adjusted volume, expressed in ft^3, as determined in appendix A to subpart B of this part.
I = 1 for a product with an automatic icemaker and = 0 for a product without an automatic icemaker.

(bb) *Rough service lamps and vibration service lamps.* (1) Subject to the sales prohibition in paragraph (dd) of this section, rough service lamps manufactured on or after January 25, 2018 must:

(i) Have a shatter-proof coating or equivalent technology that is compliant with NSF/ANSI 51 (incorporated by reference; see § 430.3) and is designed to contain the glass if the glass envelope of the lamp is broken and to provide effective containment over the life of the lamp;

(ii) Have a rated wattage not greater than 40 watts; and

(iii) Be sold at retail only in a package containing one lamp.

(2) Subject to the sales prohibition in paragraph (dd) of this section, vibration service lamps manufactured on or after January 25, 2018 must:

(i) Have a rated wattage no greater than 40 watts; and

(ii) Be sold at retail only in a package containing one lamp.

(cc) *Portable air conditioners.* Single-duct portable air conditioners and dual-duct portable air conditioners manufactured on or after January 10, 2025 must have a combined energy efficiency ratio (CEER) in Btu/Wh no less than:

$$CEER = 1.04 \times \frac{SACC}{(3.7117 \times SACC^{0.6384})}$$

SACC: For single-speed portable air conditioners, SACC is seasonally adjusted cooling capacity in Btu/h, as determined in appendix CC of subpart B of this part. For variable-speed portable air conditioners, SACC shall be $SACC_{Full}$ in Btu/h, as determined in appendix CC of subpart B of this part.

(dd) *General service lamps.* Beginning July 25, 2022, the sale of any general service lamp that does not meet a minimum efficacy standard of 45 lumens per watt is prohibited.

(1) Energy conservation standards for general service lamps:

(i) General service incandescent lamps manufactured after the dates specified in the following tables, except as described in paragraph (dd)(1)(ii) of this section, shall have a color rendering index greater than or equal to 80 and shall have a rated wattage no greater than, and a lifetime no less than the values shown in the table as follows:

GENERAL SERVICE INCANDESCENT LAMPS

Rated lumen ranges	Minimum lifetime* (hrs)	Maximum rate wattage	Compliance date
(A) 1490–2600	1,000	72	1/1/2012
(B) 1050–1489	1,000	53	1/1/2013
(C) 750–1049	1,000	43	1/1/2014
(D) 310–749	1,000	29	1/1/2014

*Use lifetime determined in accordance with § 429.66 of this chapter to determine compliance with this standard.

(ii) Modified spectrum general service incandescent lamps manufactured after the dates specified in the following table shall have a color rendering index greater than or equal to 75 and shall have a rated wattage no greater than, and a lifetime no less than the values shown in the table as follows:

MODIFIED SPECTRUM GENERAL SERVICE INCANDESCENT LAMPS

Rated lumen ranges	Minimum lifetime [1] (hrs)	Maximum rate wattage	Compliance date
(A) 1118–1950	1,000	72	1/1/2012
(B) 788–1117	1,000	53	1/1/2013
(C) 563–787	1,000	43	1/1/2014
(D) 232–562	1,000	29	1/1/2014

[1] Use lifetime determined in accordance with § 429.66 of this chapter to determine compliance with this standard.

(iii) A bare or covered (no reflector) medium base compact fluorescent lamp manufactured on or after January 1, 2006, must meet or exceed the following requirements:

Factor		Requirements
Configuration [1]	Labeled wattage (watts)	Minimum initial lamp efficacy (lumens per watt) must be at least:
(A) *Bare Lamp:*		
	(*1*) Labeled Wattage <15	45.0
	(*2*) Labeled Wattage ≥15	60.0
(B) *Covered Lamp (no reflector):*		
	(*1*) Labeled Wattage <15	40.0
	(*2*) 15≤ Labeled Wattage <19	48.0
	(*3*) 19≤ Labeled Wattage <25	50.0
	(*4*) Labeled Wattage ≥25	55.0

[1] Use labeled wattage to determine the appropriate efficacy requirements in this table; do not use measured wattage for this purpose.

(iv) Each general service lamp manufactured on or after July 25, 2028 must have:

(A) A power factor greater than or equal to 0.7 for integrated LED lamps (as defined in § 430.2) and 0.5 for medium base compact fluorescent lamps (as defined in § 430.2); and

(B) A lamp efficacy greater than or equal to the values shown in the table as follows:

Lamp type	Length	Standby mode operation [3]	Efficacy (lm/W)
(*1*) Integrated Omnidirectional.	Short (<45 inches)	No Standby Mode Operation.	$123/(1.2+e^{-0.005*(\text{Lumens }200)})+25.9$
(*2*) Integrated Omnidirectional.	Long (≥45 inches)	No Standby Mode Operation.	$123/(1.2+e^{-0.005*(\text{Lumens }200)})+71.7$
(*3*) [1] Integrated Directional.	All Lengths	No Standby Mode Operation.	$73/(0.5+e^{-0.0021*(\text{Lumens}+1000)})-47.2$
(*4*) [2] Non-integrated Omnidirectional.	Short (<45 inches)	No Standby Mode Operation.	$122/(0.55+e^{-0.003*(\text{Lumens}+250)})-83.4$
(*5*) [1] Non-integrated Directional.	All Lengths	No Standby Mode Operation.	$67/(0.45+e^{-0.00176*(\text{Lumens}+1310)})-53.1$
(*6*) Integrated Omnidirectional.	Short (<45 inches)	Standby Mode Operation.	$123/(1.2+e^{-0.005*(\text{Lumens }200)})+17.1$
(*7*) [1] Integrated Directional.	All Lengths	Standby Mode Operation.	$73/(0.5+e^{-0.0021*(\text{Lumens}+1000)})-50.9$
(*8*) Non-integrated Omnidirectional.	Long (≥45 inches)	No Standby Mode Operation.	$123/(1.2+e^{-0.005*(\text{Lumens }200)})+93.0$

[1] This lamp type comprises of directional lamps. A directional lamp is a lamp that meets the definition of reflector lamp as defined in § 430.2.

[2] This lamp type comprises of, but is not limited to, lamps that are pin base compact fluorescent lamps ("CFLs") and pin base light-emitting diode ("LED") lamps designed and marketed as replacements of pin base CFLs.
[3] Indicates whether or not lamps are capable of operating in standby mode operation.

(C) The standards described in paragraph (dd)(1)(iv) of this section do not apply to a general service lamp that:

(*1*) Is a general service organic light-emitting diode (OLED) lamps (as defined in § 430.2);

(*2*) Is a non-integrated lamp that is capable of operating in standby mode and is sold in packages of two lamps or less;

(*3*) Is designed and marketed as a lamp that has at least one setting that allows the user to change the lamp's correlated color temperature (CCT) and has no setting in which the lamp meets the definition of a colored lamp (as defined in § 430.2); and is sold in packages of two lamps or less;

(*4*) Is designed and marketed as a lamp that has at least one setting in which the lamp meets the definition of a colored lamp (as defined in § 430.2) and at least one other setting in which it does not meet the definition of colored lamp (as defined in § 430.2) and is sold in packages of two lamps or less; or

(*5*) Is designed and marketed as a lamp that has one or more component(s) offering a completely different functionality (*e.g.*, a speaker, a camera, an air purifier, etc.) where each component is integrated into the lamp but does not affect the light output of the lamp (*e.g.*, does not turn the light on/off, dim the light, change the color of the light, etc.), is capable of operating in standby mode, and is sold in packages of two lamps or less.

(2) Medium base CFLs (as defined in § 430.2) manufactured on or after the dates specified in the following table shall meet or exceed the following standards:

Metrics	Requirements for MBCFLs manufactured on or after January 1, 2006	Requirements for MBCFLs manufactured on or after July 25, 2028
(i) Lumen Maintenance at 1,000 Hours.	≥90.0%	≥90.0%.
(ii) Lumen Maintenance at 40 Percent of Lifetime[1].	≥80.0%	≥80.0%.
(iii) Rapid Cycle Stress Test	At least 5 lamps must meet or exceed the minimum number of cycles. All MBCFLs: Cycle once per every two hours of lifetime[1].	At least 5 lamps must meet or exceed the minimum number of cycles. MBCFLs with start time >100 ms: Cycle once per hour of lifetime[1] or a maximum of 15,000 cycles. MBCFLs with a start time of ≤100 ms: Cycle once per every two hours of lifetime.[1]
(iv) Lifetime[1]	≥6,000 hours	≥10,000 hours.
(v) Start time	No requirement	The time needed for a MBCFL to remain continuously illuminated must be within: {1} one second of application of electrical power for lamp with standby mode power {2} 750 milliseconds of application of electrical power for lamp without standby mode power.

[1] Lifetime refers to lifetime of a compact fluorescent lamp as defined in § 430.2.

(ee) *Air cleaners.* (1) Conventional room air cleaners as defined in § 430.2 with a $PM_{2.5}$ clean air delivery rate (CADR) between 10 and 600 (both inclusive) cubic feet per minute (cfm) and manufactured on or after December 31, 2023, and before December 31, 2025, shall have an integrated energy factor (IEF) in $PM_{2.5}$ CADR/W, as determined in § 430.23(hh)(4) that meets or exceeds the following values:

Product capacity	IEF ($PM_{2.5}$ CADR/W)
(i) 10 ≤$PM_{2.5}$ CADR <100	1.7
(ii) 100 ≤$PM_{2.5}$ CADR <150	1.9
(iii) $PM_{2.5}$ CADR ≥150	2.0

(2) Conventional room air cleaners as defined in § 430.2 with a $PM_{2.5}$ clean air delivery rate (CADR) between 10 and 600 (both inclusive) cubic feet per minute (cfm) and manufactured on or after December 31, 2025, shall have an

integrated energy factor (IEF) in $PM_{2.5}$ CADR/W, as determined in § 430.23(hh)(4) that meets or exceeds the following values:

Product capacity	IEF ($PM_{2.5}$ CADR/W)
(i) 10 ≤$PM_{2.5}$ CADR <100	1.9
(ii) 100 ≤$PM_{2.5}$ CADR <150	2.4
(iii) $PM_{2.5}$ CADR ≥150	2.9

[54 FR 6077, Feb. 7, 1989]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting § 430.32, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and at *www.govinfo.gov*.

EFFECTIVE DATE NOTE: At 89 FR 105285, Dec. 26, 2024, § 430.32 was amended by revising paragraph (d)(3) and adding (d)(4), effective Mar. 11, 2025. For the convenience of the user, the revised text is set forth as follows:

§ 430.32 Energy and water conservation standards and their compliance dates.

* * * * *

(d) * * *

(3) The uniform energy factor of water heaters manufactured on or after December 26, 2029 shall not be less than the following:

TABLE 15 TO PARAGRAPH (d)(3)

Product class	Effective storage volume (V_{eff})* and input rating	Draw pattern	UEF*
Gas-fired Instantaneous Water Heater.	<2 gallons ("gal") and ≤50,000 Btu/h.	Very Small	0.64.
		Low	0.64.
		Medium	0.64.
		High	0.64.
	<2 gal and >50,000 Btu/h	Very Small	0.89.
		Low	0.91.
		Medium	0.91.
		High	0.93.
	≥2 gal and ≤200,000 Btu/h	Very Small	$0.2534 - (0.0018 \times V_{eff})$.
		Low	$0.5226 - (0.0022 \times V_{eff})$.
		Medium	$0.5919 - (0.0020 \times V_{eff})$.
		High	$0.6540 - (0.0017 \times V_{eff})$.

*V_{eff} is the Effective Storage Volume (in gallons), as determined pursuant to § 429.17 of this chapter.

(4) The provisions of paragraph (d) of this section are separate and severable from one another. Should a court of competent jurisdiction hold any provision(s) of paragraph (d) of this section to be stayed or invalid, such action shall not affect any other provision of paragraph (d) of this section.

§ 430.33 Preemption of State regulations.

(a) Any State regulation providing for any energy conservation standard, or water conservation standard (in the case of faucets, showerheads, water closets, and urinals), or other requirement with respect to the energy efficiency, energy use, or water use (in the case of faucets, showerheads, water closets, or urinals) of a covered product that is not identical to a Federal standard in effect under this subpart is preempted by that standard, except as provided for in sections 325(i)(6)(A)(vi), 327(b) and (c) of the Act.

(b) No State regulation, or revision thereof, concerning the energy efficiency, energy use, or water use of the covered product shall be effective with respect to such covered product, unless the State regulation or revision in the case of any portion of any regulation that establishes requirements for general service incandescent lamps, intermediate base incandescent lamps, or candelabra base lamps, was enacted or adopted by the State of California or Nevada before December 4, 2007, except that—

(1) The regulation adopted by the California Energy Commission with an effective date of January 1, 2008, shall only be effective until the effective date of the Federal standard for the applicable lamp category under paragraphs (A), (B), and (C) of section 325(i)(1) of EPCA; and

(2) The States of California and Nevada may, at any time, modify or adopt a State standard for general service lamps to conform with Federal standards with effective dates no earlier than 12 months prior to the Federal effective dates prescribed under paragraphs (A), (B), and (C) of section

325(i)(1) of EPCA, at which time any prior regulations adopted by the State of California or Nevada shall no longer be effective.

[63 FR 13318, Mar. 18, 1998, as amended at 74 FR 12070, Mar. 23, 2009; 78 FR 62993, Oct. 23, 2013]

§ 430.34 Energy and water conservation standards amendments

The Department of Energy may not prescribe any amended standard which increases the maximum allowable energy use or, in the case of showerheads, faucets, water closets or urinals, the maximum allowable water use, or which decreases the minimum required energy efficiency of a covered product.

[67 FR 36406, May 23, 2002]

§ 430.35 Petitions with respect to general service lamps.

(a) Any person may petition the Secretary for an exemption for a type of general service lamp from the requirements of this subpart. The Secretary may grant an exemption only to the extent that the Secretary finds, after a hearing and opportunity for public comment, that it is not technically feasible to serve a specialized lighting application (such as a military, medical, public safety or certified historic lighting application) using a lamp that meets the requirements of this subpart. To grant an exemption for a product under this paragraph, the Secretary shall include, as an additional criterion, that the exempted product is unlikely to be used in a general service lighting application.

(b) Any person may petition the Secretary to establish standards for lamp shapes or bases that are excluded from the definition of general service lamps. The petition shall include evidence that the availability or sales of exempted lamps have increased significantly since December 19, 2007. The Secretary shall grant a petition if the Secretary finds that:

(1) The petition presents evidence that demonstrates that commercial availability or sales of exempted incandescent lamp types have increased significantly since December 19, 2007 and are being widely used in general lighting applications; and

(2) Significant energy savings could be achieved by covering exempted products, as determined by the Secretary based on sales data provided to the Secretary from manufacturers and importers.

[74 FR 12070, Mar. 23, 2009]

APPENDIX A TO SUBPART C OF PART 430—PROCEDURES, INTERPRETATIONS, AND POLICIES FOR CONSIDERATION OF NEW OR REVISED ENERGY CONSERVATION STANDARDS AND TEST PROCEDURES FOR CONSUMER PRODUCTS AND CERTAIN COMMERCIAL/INDUSTRIAL EQUIPMENT

1. Objectives
2. Scope
3. Application
4. Setting Priorities for Rulemaking Activity
5. Coverage Determination Rulemakings
6. Process for Developing Energy Conservation Standards
7. Policies on Selection of Standards
8. Test Procedures
9. ASHRAE Equipment
10. Direct Final Rules
11. Principles for Distinguishing Between Effective and Compliance Dates
12. Principles for the Conduct of the Engineering Analysis
13. Principles for the Analysis of Impacts on Manufacturers
14. Principles for the Analysis of Impacts on Consumers
15. Consideration of Non-Regulatory Approaches
16. Cross-Cutting Analytical Assumptions

1. OBJECTIVES

This appendix establishes procedures, interpretations, and policies to guide the Department of Energy (''DOE'' or the ''Department'') in the consideration and promulgation of new or revised appliance energy conservation standards and test procedures under the Energy Policy and Conservation Act (EPCA). This appendix applies to both covered consumer products and covered commercial/industrial equipment. The Department's objectives in establishing these procedures include:

(a) *Provide for early input from stakeholders.* The Department seeks to provide opportunities for public input early in the rulemaking process so that the initiation and direction of rulemakings isinformed by comment from interested parties. DOE will be able to seek early input from interested parties in determining whether establishing new or amending existing energy conservation standards will result in significant savings of energy

and is economically justified and technologically feasible. In the context of test procedure rulemakings, DOE will be able to seek early input from interested parties in determining whether—

(1) Establishing a new or amending an existing test procedure will better measure the energy efficiency, energy use, water use (as specified in EPCA), or estimated annual operating cost of a covered product/equipment during a representative average use cycle or period of use (for consumer products); and

(2) Will not be unduly burdensome to conduct.

(b) *Increase predictability of the rulemaking timetable.* The Department seeks to make informed, strategic decisions about how to deploy its resources on the range of possible standards and test procedure development activities, and to announce these prioritization decisions so that all interested parties have a common expectation about the timing of different rulemaking activities. Further, DOE will offer the opportunity to provide input on the prioritization of rulemakings through a request for comment as DOE begins preparation of its Regulatory Agenda each spring.

(c) *Eliminate problematic design options early in the process.* The Department seeks to eliminate from consideration, early in the process, any design options that present unacceptable problems with respect to manufacturability, consumer utility, or safety, so that the detailed analysis can focus only on viable design options. DOE will be able to eliminate from consideration design options if it concludes that manufacture, installation or service of the design will be impractical, or that the design option will have a material adverse impact on the utility of the product, or if the design option will have a material adverse impact on safety or health. DOE will also be able to eliminate from consideration proprietary design options that represent a unique pathway toachieving a given efficiency level. This screening will be done at the outset of a rulemaking.

(d) *Fully consider non-regulatory approaches.* The Department seeks to understand the effects of market forces and voluntary programs on encouraging the purchase of energy efficient products so that the incremental impacts of a new or revised standard can be accurately assessed and the Department can make informed decisions about where standards and voluntary programs can be used most effectively. DOE will continue to be able to support voluntary efforts by manufacturers, retailers, utilities, and others to increase product/equipment efficiency.

(e) *Conduct thorough analysis of impacts.* In addition to understanding the aggregate social and private costs and benefits of standards, the Department seeks to understand the distribution of those costs and benefits among consumers, manufacturers, and others, as well as the uncertainty associated with these analyses of costs and benefits, so that any adverse impacts on subgroups and uncertainty concerning any adverse impacts can be fully considered in selecting a standard. DOE will be able to consider the variability of impacts on significant groups of manufacturers and consumers in addition to aggregate social and private costs and benefits, report the range of uncertainty associated with these impacts, and take into account cumulative impacts of regulation on manufacturers. The Department will also be able to conduct appropriate analyses to assess the impact that new or amended test procedures will have on manufacturers and consumers.

(f) *Use transparent and robust analytical methods.* The Department seeks to use qualitative and quantitative analytical methods that are fully documented for the public and that produce results that can be explained and reproduced, so that the analytical underpinnings for policy decisions on standards are as sound and well-accepted as possible.

(g) *Support efforts to build consensus on standards.* The Department seeks to encourage development of consensus proposals, including proposals developed in accordance with the Negotiated Rulemaking Act (5 U.S.C. 561 *et seq.*), for new or revised standards because standards with such broad-based support are likely to balance effectively the various interests affected by such standards.

2. Scope

The procedures, interpretations, and policies described in this appendix apply to rulemakings concerning new or revised Federal energy conservation standards and test procedures, and related rule documents (*i.e.*, coverage determinations) for consumer products in Part A and commercial and industrial equipment under Part A–1 of the Energy Policy and Conservation Act (EPCA), as amended, except covered ASHRAE equipment in Part A–1 are governed separately under section 9 in this appendix.

3. Application

(a) This appendix contains procedures, interpretations, and policies that are generally applicable to the development of energy conservation standards and test procedures. The Department may, as necessary, deviate from this appendix to account for the specific circumstances of a particular rulemaking. In those instances where the Department may find it necessary or appropriate to deviate from these procedures, interpretations or policies, DOE will provide interested parties with notice of the deviation and an explanation.

(b) If the Department concludes that changes to the procedures, interpretations or policies in this appendix are necessary or appropriate, DOE will provide notice in the FEDERAL REGISTER of modifications to this appendix with an accompanying explanation. DOE expects to consult with interested parties prior to any such modification.

(c) This appendix is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity.

4. SETTING PRIORITIES FOR RULEMAKING ACTIVITY

(a) In establishing its priorities for undertaking energy conservation standards and test procedure rulemakings, DOE will consider the following factors, consistent with applicable legal obligations:

(1) Potential energy savings;

(2) Potential social and private, including environmental or energy security, benefits;

(3) Applicable deadlines for rulemakings;

(4) Incremental DOE resources required to complete the rulemaking process;

(5) Other relevant regulatory actions affecting the products/equipment;

(6) Stakeholder recommendations;

(7) Evidence of energy efficiency gains in the market absent new or revised standards;

(8) Status of required changes to test procedures; and

(9) Other relevant factors.

(b) DOE will offer the opportunity to provide input on prioritization of rulemakings through a request for comment as DOE begins preparation of its Regulatory Agenda each spring.

5. COVERAGE DETERMINATION RULEMAKINGS

DOE has discretion to conduct proceedings to determine whether additional consumer products and commercial/industrial equipment should be covered under EPCA if certain statutory criteria are met. (42 U.S.C. 6292(b) and 42 U.S.C. 6295(l) for consumer products; 42 U.S.C. 6312(b) for commercial/industrial equipment). This section describes the process to be used in establishing coverage for consumer products and commercial/industrial equipment.

(a) *Pre-notice of proposed rulemaking (''NOPR'') stage.* In determining whether to consider establishing coverage for a consumer product or commercial/industrial equipment, DOE may publish one or more preliminary documents in the FEDERAL REGISTER intended to gather information on key issues. Such document(s) will be published in the FEDERAL REGISTER, with accompanying documents referenced and posted in the appropriate docket.

(b) *NOPR stage.* If DOE determines to proceed with a coverage determination process, the Department will publish a notice of proposed determination, providing an opportunity for public comment of not less than 60 days, in which DOE will explain how such products/equipment that it seeks to designate as ''covered'' meet the statutory criteria for coverage and why such coverage is ''necessary or appropriate'' to carry out the purposes of EPCA. In the case of commercial equipment, DOE will follow the same process, except that the Department must demonstrate that coverage of the equipment type is ''necessary'' to carry out the purposes of EPCA.

(c) *Final rule.* DOE will publish a final rule in the FEDERAL REGISTER that establishes the scope of coverage for the product/equipment, responds to public comments received on the NOPR, and explains how inclusion of the newly covered product/equipment meets the statutory criteria for coverage and why such coverage is necessary or appropriate to carry out the purposes of EPCA. DOE will finalize coverage for a product/equipment prior to publication of a proposed rule to establish a test procedure.

(d) *Scope of coverage revisions.* If, during the substantive rulemaking proceedings to establish test procedures or energy conservation standards after completing a coverage determination, DOE finds it necessary and appropriate to amend the scope of coverage, DOE will propose an amended coverage determination and finalize coverage prior to moving forward with the test procedure or standards rulemaking.

6. PROCESS FOR DEVELOPING ENERGY CONSERVATION STANDARDS

This section describes the process to be used in developing energy conservation standards for covered products and equipment other than those covered equipment subject to ASHRAE/IES Standard 90.1.

(a) *Pre-NOPR stage*—(1) *General.* In determining whether to consider establishing or amending any energy conservation standard, DOE will publish one or more preliminary, pre-NOPR documents in the FEDERAL REGISTER intended to gather information on key issues. Such document(s) could take several forms depending upon the specific proceeding, including a framework document, request for information (RFI), notice of data availability (NODA), preliminary analysis, or advance notice of proposed rulemaking (ANOPR). Such document(s) will be published in the FEDERAL REGISTER, with any accompanying documents referenced and posted in the appropriate docket.

(2) *Satisfaction of statutory criteria.* As part of such pre-NOPR-stage document(s), DOE will solicit submission of comments, data, and information on whether DOE should proceed with the rulemaking, including whether any new or amended rule would satisfy the relevant statutory criteria to be cost-effective, economically justified, technologically

feasible, and result in a significant savings of energy. Based on the information received in response to such request and its own analysis, DOE will determine whether to proceed with a rulemaking for a new or amended energy conservation standard. If DOE determines at any point in the pre-NOPR stage that no candidate standard level for a new or amended standard is likely to satisfy all of the applicable statutory criteria (*i.e.*, to be technologically feasible and economically justified and result in significant energy savings), DOE will announce that conclusion in the FEDERAL REGISTER and proceed with notice-and-comment rulemaking that proposes a determination not to adopt new or amended standards. DOE notes that it will, consistent with its statutory obligations, consider both cost effectiveness and economic justification when issuing a determination not to amend a standard. If DOE receives sufficient information suggesting it could justify a new or amended standard or the information received is inconclusive with regard to the statutory criteria, DOE will move forward with the rulemaking to issue or amend an energy conservation standard. In those instances where the available information either suggested that a new or amended energy conservation standard might be justified or in which the information was inconclusive on this point, and DOE undertakes a rulemaking to establish or amend an energy conservation standard, DOE may still ultimately determine that such a standard is not economically justified, technologically feasible or would not result in a significant savings of energy at a later stage of the rulemaking.

(3) *Design options*—(i) *General.* Once the Department has initiated a rulemaking for a specific product/equipment but before publishing a proposed rule to establish or amend standards, DOE will typically identify the product/equipment categories and design options to be analyzed in detail, as well as those design options to be eliminated from further consideration. During the pre-NOPR stage of the rulemaking, interested parties may be consulted to provide information on key issues, including potential design options, through a variety of rulemaking documents.

(ii) *Identification and screening of design options.* During the pre-NOPR phase of the rulemaking process, the Department will typically develop a list of design options for consideration. Initially, the candidate design options will encompass all those technologies considered to be technologically feasible. Following the development of this initial list of design options, DOE will review each design option based on the factors described in paragraph (a)(3)(iii) of this section and the policies stated in section 7 of this appendix (*i.e.*, Policies on Selection of Standards). The reasons for eliminating or retaining any design option at this stage of the process will be fully documented and published as part of the NOPR and as appropriate for a given rule, in the pre-NOPR document(s). The technologically feasible design options that are not eliminated in this screening analysis will be considered further in the Engineering Analysis described in paragraph (a)(4) of this section.

(iii) *Factors for screening of design options.* The factors for screening design options include:

(A) *Technological feasibility.* Technologies incorporated in commercial products (or equipment) or in working prototypes will be considered technologically feasible.

(B) *Practicability to manufacture, install and service.* If mass production of a technology under consideration for use in commercially-available products (or equipment) and reliable installation and servicing of the technology could be achieved on the scale necessary to serve the relevant market at the time of the effective date of the standard, then that technology will be considered practicable to manufacture, install, and service.

(C) Adverse impacts on product utility or product availability.

(D) Adverse impacts on health or safety.

(E) *Unique-pathway proprietary technologies.* If a design option utilizes proprietary technology that represents a unique pathway to achieving a given efficiency level, that technology will not be considered further.

(4) *Engineering analysis of design options and selection of candidate standard levels.* After design options are identified and screened, DOE will perform the engineering analysis and the benefit/cost analysis and select the candidate standard levels based on these analyses. The results of the analyses will be published in a Technical Support Document (TSD) to accompany the appropriate rulemaking documents.

(i) *Identification of engineering analytical methods and tools.* DOE will select the specific engineering analysis tools (or multiple tools, if necessary, to address uncertainty) to be used in the analysis of the design options identified as a result of the screening analysis.

(ii) *Engineering and life-cycle cost analysis of design options.* DOE and its contractors will perform engineering and life-cycle cost analyses of the design options.

(iii) *Review by stakeholders.* Interested parties will have the opportunity to review the results of the engineering and life-cycle cost analyses. If appropriate, a public workshop will be conducted to review these results. The analyses will be revised as appropriate on the basis of this input.

(iv) *New information relating to the factors used for screening design options.* If further information or analysis leads to a determination that a design option, or a combination of design options, has unacceptable impacts,

that design option or combination of design options will not be included in a candidate standard level.

(v) *Selection of candidate standard levels.* Based on the results of the engineering and life-cycle cost analysis of design options and the policies stated in paragraph (a)(3)(iii) of this section, DOE will select the candidate standard levels for further analysis.

(5) *Analysis of impacts and selection of proposed standard level.* If DOE has determined preliminarily that a candidate standard level is likely to produce the maximum improvement in energy efficiency that is both technologically feasible and economically justified and constitutes significant energy savings, economic analyses of the impacts of the candidate standard levels will be conducted. The Department will propose new or amended standards in a subsequent NOPR based on the results of the impact analysis.

(i) *Identification of issues for analysis.* The Department, in consideration of comments received, will identify issues that will be examined in the impacts analysis.

(ii) *Identification of analytical methods and tools.* DOE will select the specific economic analysis tools (or multiple tools, if necessary, to address uncertainty) to be used in the analysis of the candidate standard levels.

(iii) *Analysis of impacts.* DOE will conduct the analysis of the impacts of candidate standard levels.

(iv) *Factors to be considered in selecting a proposed standard.* The factors to be considered in selection of a proposed standard include:

(A) *Impacts on manufacturers.* The analysis of manufacturer impacts will include: Estimated impacts on cash flow; assessment of impacts on manufacturers of specific categories of products/equipment and small manufacturers; assessment of impacts on manufacturers of multiple product-specific Federal regulatory requirements, including efficiency standards for other products and regulations of other agencies; and impacts on manufacturing capacity, employment, and capital investment.

(B) *Private impacts on consumers.* The analysis of consumer impacts will include: Estimated private energy savings impacts on consumers based on regional average energy prices and energy usage; assessments of the variability of impacts on subgroups of consumers based on major regional differences in usage or energy prices and significant variations in installation costs or performance; consideration of changes to product utility, changes to purchase rate and/or costs of products, and other impacts of likely concern to all or some consumers, based to the extent practicable on direct input from consumers; estimated life-cycle cost with sensitivity analysis; and consideration of the increased first cost to consumers and the time required for energy cost savings to pay back these first costs.

(C) Impacts on competition, including industry concentration analysis.

(D) *Impacts on utilities.* The analysis of utility impacts will include estimated marginal impacts on electric and gas utility generation and capacity.

(E) *National energy, economic, and employment impacts.* The analysis of national energy, economic, and employment impacts will include: estimated energy savings by fuel type; estimated net present value of benefits to all consumers; sensitivity analyses using high and low discount rates reflecting both private transactions and social discount rates and high and low energy price forecasts; and estimates of the direct and indirect impacts on employment by appliance manufacturers, relevant service industries, energy suppliers, suppliers of complementary and substitution products, and the economy in general.

(F) *Impacts on the environment.* The analysis of environmental impacts will include estimated impacts on emissions of carbon and relevant criteria pollutants.

(G) *Impacts of non-regulatory approaches.* The analysis of energy savings and consumer impacts will incorporate an assessment of the impacts of market forces and existing voluntary programs in promoting product/equipment efficiency, usage, and related characteristics in the absence of updated efficiency standards.

(H) New information relating to the factors used for screening design options.

(6) *Public comment and hearing.* The length of the public comment period for pre-NOPR rulemaking documents will be determined on a case-by-case basis and may vary depending upon the circumstances of the particular rulemaking. For pre-NOPR documents, DOE will determine whether a public hearing is appropriate.

(7) *Revisions based on comments.* Based on consideration of the comments received, any necessary changes to the engineering analysis, life-cycle cost analysis, or the candidate standard levels will be made.

(b) *NOPR stage*—(1) *Documentation of decisions on proposed standard selection.* The Department will publish a NOPR in the FEDERAL REGISTER that proposes standard levels and explains the basis for the selection of those proposed levels, and DOE will post on its website a draft TSD documenting the analysis of impacts. The draft TSD will also be posted in the appropriate docket at *www.regulations.gov*. As required by 42 U.S.C. 6295(p)(1) of EPCA, the NOPR also will describe the maximum improvement in energy efficiency or maximum reduction in energy use that is technologically feasible and, if the proposed standards would not achieve these levels, the reasons for proposing different standards.

(2) *Public comment and hearing.* There will be not less than 60 days for public comment on the NOPR, with at least one public hearing or workshop. (42 U.S.C. 6295(p)(2) and 42 U.S.C. 6306)

(3) *Revisions to impact analyses and selection of final standard.* Based on the public comments received, DOE will review the proposed standard and impact analyses, and make modifications as necessary. If major changes to the analyses are required at this stage, DOE will publish a supplemental notice of proposed rulemaking (SNOPR), when required. DOE may also publish a NODA or RFI, where appropriate.

(c) *Final rule stage.* The Department will publish a final rule in the FEDERAL REGISTER that promulgates standard levels, responds to public comments received on the NOPR (and SNOPR if applicable), and explains how the selection of those standards meets the statutory requirement that any new or amended energy conservation standard produces the maximum improvement in energy efficiency that is both technologically feasible and economically justified and constitutes significant energy savings, accompanied by a final TSD.

7. POLICIES ON SELECTION OF STANDARDS

(a) *Purpose.* Section 6 describes the process that will be used to consider new or revised energy efficiency standards and lists a number of factors and analyses that will be considered at specified points in the process. Department policies concerning the selection of new or revised standards, and decisions preliminary thereto, are described in this section. These policies are intended to elaborate on the statutory criteria provided in 42 U.S.C. 6295. The procedures described in this section are intended to assist the Department in making the determinations required by EPCA and do not preclude DOE's consideration of any other information consistent with the relevant statutory criteria. The Department will consider pertinent information in determining whether a new or revised standard is consistent with the statutory criteria.

(b) *Screening design options.* These factors will be considered as follows in determining whether a design option will receive any further consideration:

(1) *Technological feasibility.* Technologies that are not incorporated in commercial products or in commercially-viable, existing prototypes will not be considered further.

(2) *Practicability to manufacture, install and service.* If it is determined that mass production of a technology in commercial products and reliable installation and servicing of the technology could not be achieved on the scale necessary to serve the relevant market at the time of the compliance date of the standard, then that technology will not be considered further.

(3) *Impacts on product utility.* If a technology is determined to have significant adverse impact on the utility of the product/equipment to subgroups of consumers, or result in the unavailability of any covered product type with performance characteristics (including reliability), features, sizes, capacities, and volumes that are substantially the same as products generally available in the U.S. at the time, it will not be considered further.

(4) *Safety of technologies.* If it is determined that a technology will have significant adverse impacts on health or safety, it will not be considered further.

(5) *Unique-pathway proprietary technologies.* If a technology has proprietary protection and represents a unique pathway to achieving a given efficiency level, it will not be considered further, due to the potential for monopolistic concerns.

(c) *Identification of candidate standard levels.* Based on the results of the engineering and cost/benefit analyses of design options, DOE will identify the candidate standard levels for further analysis. Candidate standard levels will be selected as follows:

(1) *Costs and savings of design options.* Design options that have payback periods that exceed the median life of the product or which result in life-cycle cost increases relative to the base case, using typical fuel costs, usage, and private discount rates, will not be used as the basis for candidate standard levels.

(2) *Further information on factors used for screening design options.* If further information or analysis leads to a determination that a design option, or a combination of design options, has unacceptable impacts under the policies stated in this Appendix, that design option or combination of design options will not be included in a candidate standard level.

(3) *Selection of candidate standard levels.* Candidate standard levels, which will be identified in the pre-NOPR documents and on which impact analyses will be conducted, will be based on the remaining design options.

(i) The range of candidate standard levels will typically include:

(A) The most energy-efficient combination of design options;

(B) The combination of design options with the lowest life-cycle cost; and

(C) A combination of design options with a payback period of not more than three years.

(ii) Candidate standard levels that incorporate noteworthy technologies or fill in large gaps between efficiency levels of other candidate standard levels also may be selected.

(d) *Pre-NOPR Stage.* New information provided in public comments on any pre-NOPR documents will be considered to determine

whether any changes to the candidate standard levels are needed before proceeding to the analysis of impacts.

(e)(1) *Selection of proposed standard.* Based on the results of the analysis of impacts, DOE will select a standard level to be proposed for public comment in the NOPR. As required under 42 U.S.C. 6295(o)(2)(A), any new or revised standard must be designed to achieve the maximum improvement in energy efficiency that is determined to be both technologically feasible and economically justified.

(2) *Statutory policies.* The fundamental policies concerning the selection of standards include:

(i) A trial standard level will not be proposed or promulgated if the Department determines that it is not both technologically feasible and economically justified. (42 U.S.C. 6295(o)(2)(A) and 42 U.S.C. 6295(o)(3)(B)) For a trial standard level to be economically justified, the Secretary must determine that the benefits of the standard exceed its burdens by, to the greatest extent practicable, considering the factors listed in 42 U.S.C. 6295(o)(2)(B)(i). A standard level is subject to a rebuttable presumption that it is economically justified if the payback period is three years or less. (42 U.S.C. 6295(o)(2)(B)(iii))

(ii) If the Department determines that interested persons have established by a preponderance of the evidence that a standard level is likely to result in the unavailability in the United States of any covered product/equipment type (or class) with performance characteristics (including reliability), features, sizes, capacities, and volumes that are substantially the same as products generally available in the U.S. at the time of the determination, then that standard level will not be proposed. (42 U.S.C. 6295(o)(4))

(iii) If the Department determines that a standard level would not result in significant conservation of energy, that standard level will not be proposed. (42 U.S.C. 6295(o)(3)(B))

(f) *Selection of a final standard.* New information provided in the public comments on the NOPR and any analysis by the Department of Justice concerning impacts on competition of the proposed standard will be considered to determine whether issuance of a new or amended energy conservation standard produces the maximum improvement in energy efficiency that is both technologically feasible and economically justified and still constitutes significant energy savings or whether any change to the proposed standard level is needed before proceeding to the final rule. The same policies used to select the proposed standard level, as described in this section, will be used to guide the selection of the final standard level or a determination that no new or amended standard is justified.

8. TEST PROCEDURES

(a) *Pre-NOPR stage*—(1) *General.* In determining whether to consider establishing or amending any test procedure, DOE will publish one or more preliminary documents in the FEDERAL REGISTER (*e.g.*, an RFI or NODA) intended to gather information on key issues.

(2) *Satisfaction of statutory criteria.* As part of such document(s), DOE will solicit submission of comments, data, and information on whether DOE should proceed with the rulemaking, including whether: a new test procedure would satisfy the relevant statutory criteria that test procedures be reasonably designed to produce test results which measure energy efficiency, energy use, water use (in the case of showerheads, faucets, water closets and urinals), or estimated annual operating cost of a covered product during a representative average use cycle or period of use, as determined by the Secretary, and shall not be unduly burdensome to conduct; or an amended test procedure would more fully or accurately comply with the aforementioned statutory criteria. Based on the information received in response to such request and its own analysis, DOE will determine whether to proceed with a rulemaking for a new or amended test procedure.

(3) If DOE determines that a new or amended test procedure would not satisfy the applicable statutory criteria, DOE will engage in notice-and-comment rulemaking to issue a determination that a new or amended test procedure is not warranted.

(4) If DOE receives sufficient information suggesting a new or amended test procedure may satisfy the applicable statutory criteria or the information received is inconclusive with regard to the statutory criteria, DOE will move forward with the rulemaking to issue or amend a test procedure.

(5) In those instances where the available information either suggested that a new or amended test procedure might be warranted or in which the information was inconclusive on this point, and DOE undertakes a rulemaking to establish or amend a test procedure, DOE may still ultimately determine that such a test procedure does not satisfy the applicable statutory criteria at a later stage of the rulemaking.

(6) *Public comment and hearing.* The length of the public comment period for pre-NOPR rulemaking documents will be determined on a case-by-case basis and may vary depending upon the circumstances of the particular rulemaking. For pre-NOPR documents, DOE will determine whether a public hearing is appropriate.

(b) *NOPR stage*—(1) *Documentation of decisions on proposed test procedure.* The Department will publish a NOPR in the FEDERAL REGISTER that proposes a new or amended

test procedure and explains how the test procedure satisfies the applicable statutory criteria.

(2) *Public comment and hearing.* There will be not less than 60 days for public comment on the NOPR, with at least one public hearing or workshop. (42 U.S.C. 6293(b)(2) and 42 U.S.C. 6306)

(3) *Revisions to the analyses and establishment of a final test procedure.* Based on the public comments received, DOE will review the proposed test procedure, and make modifications as necessary. As part of this process, DOE may issue an RFI, NODA, SNOPR, or other rulemaking document, as appropriate.

(c) *Final rule stage.* The Department will publish a final rule in the FEDERAL REGISTER that establishes or amends a test procedure, responds to public comments received on the NOPR (and any subsequent rulemaking documents), and explains how the new or amended test procedure meets the applicable statutory requirements.

(d) *Adoption of industry test methods.* DOE will adopt industry test procedure standards as DOE test procedures for covered products and equipment, but only if DOE determines that such procedures would not be unduly burdensome to conduct and would produce test results that reflect the energy efficiency, energy use, water use (as specified in EPCA) or estimated operating costs of that equipment during a representative average use cycle. DOE may also adopt industry test procedure standards with modifications or craft its own procedures as necessary to ensure compatibility with the relevant statutory requirements, as well as DOE's compliance, certification, and enforcement requirements.

(e) *Issuing final test procedure*—(1) *Process.* Test procedure rulemakings establishing methodologies used to evaluate proposed energy conservation standards will be finalized prior to publication of a NOPR proposing new or amended energy conservation standards. Except as provided in paragraph (e)(2) of this section, new test procedures and amended test procedures that impact measured energy use or efficiency will be finalized at least 180 days prior to the close of the comment period for:

(i) A NOPR proposing new or amended energy conservation standards; or

(ii) A notice of proposed determination that standards do not need to be amended. With regards to amended test procedures, DOE will state in the test procedure final rule whether the amendments impact measured energy use or efficiency.

(2) *Exceptions.* The 180-day period for new test procedures and amended test procedures that impact measured energy use or efficiency specified in paragraph (e)(1) of this section is not applicable to:

(i) Test procedures developed in accordance with the Negotiated Rulemaking Act or by interested persons that are fairly representative of relevant points of view (including representatives of manufacturers of covered products, States, and efficiency advocates), as determined by the Secretary; or

(ii) Test procedure amendments limited to calculation changes (*e.g.*, use factor or adder). Parties submitting a consensus recommendation in accordance with paragraph (e)(2)(i) of this section may specify a time period between finalization of the test procedure and the close of the comment for a NOPR proposing new or amended energy conservation standards or a notice of proposed determination that standards do not need to be amended.

(f) *Effective date of test procedures.* If required only for the evaluation and issuance of updated efficiency standards, use of the modified test procedures typically will not be required until the implementation date of updated standards.

9. ASHRAE EQUIPMENT

EPCA provides unique statutory requirements and a specific set of timelines for certain enumerated types of commercial and industrial equipment (generally, commercial water heaters, commercial packaged boilers, commercial air-conditioning and heating equipment, and packaged terminal air conditioners and heat pumps (*i.e.*, ''ASHRAE equipment'')).

(a) *ASHRAE trigger rulemakings for energy conservation standards.* Pursuant to EPCA's statutory scheme for covered ASHRAE equipment, DOE is required to consider amending the existing Federal energy conservation standards for ASHRAE equipment when ASHRAE Standard 90.1 is amended with respect to standards or design requirements applicable to such equipment.

(1) Not later than 180 days after the amendment of ASHRAE Standard 90.1, DOE will publish in the FEDERAL REGISTER for public comment an analysis of the energy savings potential of amended energy efficiency standards for the affected equipment.

(2) Not later than 18 months after the amendment of ASHRAE Standard 90.1, DOE must adopt amended energy conservation standards at the new efficiency level in ASHRAE Standard 90.1 as the uniform national standard for the affected equipment, unless DOE determines by rule, and supported by clear and convincing evidence, that a more-stringent standard would result in significant additional conservation of energy and is technologically feasible and economically justified. In such case, DOE must adopt the more-stringent standard for the affected equipment not later than 30 months after amendment of ASHRAE Standard 90.1.

(3) Regarding amendments to ASHRAE Standard 90.1 involving energy conservation

standards, DOE considers an amendment of a standard level to occur when an updated version of ASHRAE Standard 90.1 publishes (*i.e.*, not at the time that an addendum to ASHRAE Standard 90.1 is released or approved). In addition, DOE considers an amendment of standard levels in ASHRAE Standard 90.1 to be only those changes resulting in an increase in stringency of standard levels relative to the current Federal standards or the adoption of a design requirement.

(b) *ASHRAE trigger rulemakings for test procedures.* Pursuant to EPCA's statutory scheme for covered ASHRAE equipment, DOE is required to consider amending the existing Federal test procedures for such equipment when ASHRAE Standard 90.1 is amended with respect to test procedures applicable to such equipment.

(1) DOE shall amend the test procedure for ASHRAE equipment, as necessary, to be consistent with the amended ASHRAE Standard 90.1, unless DOE determines by rule, and supported by clear and convincing evidence, that to do so would not meet the requirements in 42 U.S.C. 6314(a)(2)–(3), which generally provide that the test procedure must produce results which reflect energy efficiency, energy use, and estimated operating costs during a representative average use cycle and not be unduly burdensome to conduct. If DOE makes such a determination, DOE may establish an amended test procedure for such equipment that meets the requirements in 42 U.S.C. 6314(a)(2)–(3).

(2) With regard to test procedures for ASHRAE equipment, EPCA requires DOE to adopt test procedures consistent with applicable industry test standards.

(c) *ASHRAE lookback rulemakings for standards.* EPCA also requires that DOE periodically consider amending energy conservation standards for ASHRAE equipment.

(1) Every 6 years, DOE shall conduct an evaluation of each class of covered equipment. DOE shall publish either a notice of determination that standards do not need to be amended (because they would not result in significant additional conservation of energy and/or would not be technologically feasible and/or economically justified) or a notice of proposed rulemaking including new proposed standards (based on the criteria and procedures in 42 U.S.C. 6313(a)(6)(B) and supported by clear and convincing evidence).

(2) If DOE issues a notice of proposed rulemaking, it shall publish a final rule no more than 2 years later.

(3) If DOE determines that a standard does not need to be amended, not later than 3 years after such a determination, DOE must publish either a notice of determination that standards do not need to be amended (because they would not result in significant additional conservation of energy and/or would not be technologically feasible and/or economically justified) or a notice of proposed rulemaking including new proposed standards (based on the criteria and procedures in 42 U.S.C. 6313(a)(6)(B) and supported by clear and convincing evidence).

(d) *ASHRAE lookback rulemakings for test procedures.* EPCA also requires that DOE periodically consider amending test procedures for ASHRAE equipment. At least once every 7 years, DOE shall conduct an evaluation, and if DOE determines, that amended test procedures would more accurately or fully comply with the requirements in 42 U.S.C. 6314(a)(2)–(3), it shall prescribe test procedures for the applicable equipment. Otherwise, DOE shall publish a notice of determination not to amend a test procedure.

10. Direct Final Rules

In accordance with 42 U.S.C. 6295(p)(4), on receipt of a joint proposal, including a consensus recommendation developed in accordance with the Negotiated Rulemaking Act (5 U.S.C. 561 *et seq.*), that is submitted by interested persons that are fairly representative of relevant points of view, DOE may issue a direct final rule (DFR) establishing energy conservation standards for a covered product or equipment if DOE determines the recommended standard is in accordance with 42 U.S.C. 6295(o) or 42 U.S.C. 6313(a)(6)(B) as applicable. To be ''fairly representative of relevant points of view'' the group submitting a joint statement must, where appropriate, include larger concerns and small businesses in the regulated industry/manufacturer community, energy advocates, energy utilities, consumers, and States. However, it will be necessary to evaluate the meaning of ''fairly representative'' on a case-by-case basis, subject to the circumstances of a particular rulemaking, to determine whether fewer or additional parties must be part of a joint statement in order to be ''fairly representative of relevant points of view.''

11. Principles for Distinguishing Between Effective and Compliance Dates

(a) *Dates, generally.* The effective and compliance dates for either DOE test procedures or DOE energy conservation standards are typically not identical, and these terms should not be used interchangeably.

(b) *Effective date.* The effective date is the date a rule is legally operative after being published in the Federal Register.

(c) *Compliance date.* (1) For test procedures, the compliance date is the specific date when manufacturers are required to use the new or amended test procedure requirements to make representations concerning the energy efficiency or use of a product, including certification that the covered product/equipment meets an applicable energy conservation standard.

(2) For energy conservation standards, the compliance date is the specific date upon which manufacturers are required to meet the new or amended standards for applicable covered products/equipment that are distributed in interstate commerce.

12. PRINCIPLES FOR THE CONDUCT OF THE ENGINEERING ANALYSIS

(a) The purpose of the engineering analysis is to develop the relationship between efficiency and cost of the subject product/equipment. The Department will use the most appropriate means available to determine the efficiency/cost relationship, including an overall system approach or engineering modeling to predict the reduction in energy use or improvement in energy efficiency that can be expected from individual design options as discussed in paragraphs (b) and (c) of this section. From this efficiency/cost relationship, measures such as payback, lifecycle cost, and energy savings can be developed. The Department will identify issues that will be examined in the engineering analysis and the types of specialized expertise that may be required. DOE will select appropriate contractors, subcontractors, and expert consultants, as necessary, to perform the engineering analysis and the impact analysis. Also, the Department will consider data, information, and analyses received from interested parties for use in the analysis wherever feasible.

(b) The engineering analysis begins with the list of design options developed in consultation with the interested parties as a result of the screening process. The Department will establish the likely cost and performance improvement of each design option. Ranges and uncertainties of cost and performance will be established, although efforts will be made to minimize uncertainties by using measures such as test data or component or material supplier information where available. Estimated uncertainties will be carried forward in subsequent analyses. The use of quantitative models will be supplemented by qualitative assessments as appropriate.

(c) The next step includes identifying, modifying, or developing any engineering models necessary to predict the efficiency impact of any one or combination of design options on the product/equipment. A base case configuration or starting point will be established, as well as the order and combination/blending of the design options to be evaluated. DOE will then perform the engineering analysis and develop the cost-efficiency curve for the product/equipment. The cost efficiency curve and any necessary models will be available to stakeholders during the pre-NOPR stage of the rulemaking.

13. PRINCIPLES FOR THE ANALYSIS OF IMPACTS ON MANUFACTURERS

(a) *Purpose.* The purpose of the manufacturer analysis is to identify the likely private impacts of efficiency standards on manufacturers. The Department will analyze the impact of standards on manufacturers with substantial input from manufacturers and other interested parties. This section describes the principles that will be used in conducting future manufacturing impact analyses.

(b) *Issue identification.* In the impact analysis stage, the Department will identify issues that will require greater consideration in the detailed manufacturer impact analysis. Possible issues may include identification of specific types or groups of manufacturers and concerns over access to technology. Specialized contractor expertise, empirical data requirements, and analytical tools required to perform the manufacturer impact analysis also would be identified at this stage.

(c) *Industry characterization.* Prior to initiating detailed impact studies, the Department will seek input on the present and past industry structure and market characteristics. Input on the following issues will be sought:

(1) Manufacturers and their current and historical relative market shares;

(2) Manufacturer characteristics, such as whether manufacturers make a full line of models or serve a niche market;

(3) Trends in the number of manufacturers;

(4) Financial situation of manufacturers;

(5) Trends in product/equipment characteristics and retail markets including manufacturer market shares and market concentration; and

(6) Identification of other relevant regulatory actions and a description of the nature and timing of any likely impacts.

(d) *Cost impacts on manufacturers.* The costs of labor, material, engineering, tooling, and capital are difficult to estimate, manufacturer-specific, and usually proprietary. The Department will seek input from interested parties on the treatment of cost issues. Manufacturers will be encouraged to offer suggestions as to possible sources of data and appropriate data collection methodologies. Costing issues to be addressed include:

(1) Estimates of total private cost impacts, including product/equipment-specific costs (based on cost impacts estimated for the engineering analysis) and front-end investment/conversion costs for the full range of product/equipment models.

(2) Range of uncertainties in estimates of average cost, considering alternative designs and technologies which may vary cost impacts and changes in costs of material, labor, and other inputs which may vary costs.

(3) Variable cost impacts on particular types of manufacturers, considering factors such as atypical sunk costs or characteristics of specific models which may increase or decrease costs.

(e) *Impacts on product/equipment sales, features, prices, and cost recovery.* In order to make manufacturer cash-flow calculations, it is necessary to predict the number of products/equipment sold and their sale price. This requires an assessment of the likely impacts of price changes on the number of products/equipment sold and on typical features of models sold. Past analyses have relied on price and shipment data generated by economic models. The Department will develop additional estimates of prices and shipments by drawing on multiple sources of data and experience including: Actual shipment and pricing experience; data from manufacturers, retailers, and other market experts; financial models, and sensitivity analyses. The possible impacts of candidate/trial standard levels on consumer choices among competing fuels will be explicitly considered where relevant.

(f) *Measures of impact.* The manufacturer impact analysis will estimate the impacts of candidate/trial standard levels on the net cash flow of manufacturers. Computations will be performed for the industry as a whole and for typical and atypical manufacturers. The exact nature and the process by which the analysis will be conducted will be determined by DOE, with input from interested parties, as appropriate. Impacts to be analyzed include:

(1) Industry net present value, with sensitivity analyses based on uncertainty of costs, sales prices, and sales volumes;

(2) Cash flows, by year; and

(3) Other measures of impact, such as revenue, net income, and return on equity, as appropriate. DOE also notes that the characteristics of a typical manufacturers worthy of special consideration will be determined in consultation with manufacturers and other interested parties and may include: Manufacturers incurring higher or lower than average costs; and manufacturers experiencing greater or fewer adverse impacts on sales. Alternative scenarios based on other methods of estimating cost or sales impacts also will be performed, as needed.

(g) *Cumulative Impacts of Other Federal Regulatory Actions.* (1) The Department will recognize and seek to mitigate the overlapping effects on manufacturers of new or revised DOE standards and other regulatory actions affecting the same products or equipment. DOE will analyze and consider the impact on manufacturers of multiple product/equipment-specific regulatory actions. These factors will be considered in setting rulemaking priorities, conducting the early assessment as to whether DOE should proceed with a standards rulemaking, assessing manufacturer impacts of a particular standard, and establishing compliance dates for a new or revised standard that, consistent with any statutory requirements, are appropriately coordinated with other regulatory actions to mitigate any cumulative burden.

(2) If the Department determines that a proposed standard would impose a significant impact on product or equipment manufacturers within approximately three years of the compliance date of another DOE standard that imposes significant impacts on the same manufacturers (or divisions thereof, as appropriate), the Department will, in addition to evaluating the impact on manufacturers of the proposed standard, assess the joint impacts of both standards on manufacturers.

(3) If the Department is directed to establish or revise standards for products/equipment that are components of other products/equipment subject to standards, the Department will consider the interaction between such standards in setting rulemaking priorities and assessing manufacturer impacts of a particular standard. The Department will assess, as part of the engineering and impact analyses, the cost of components subject to efficiency standards.

(h) *Summary of quantitative and qualitative assessments.* The summary of quantitative and qualitative assessments will contain a description and discussion of uncertainties. Alternative estimates of impacts, resulting from the different potential scenarios developed throughout the analysis, will be explicitly presented in the final analysis results.

(1) Key modeling and analytical tools. In its assessment of the likely impacts of standards on manufacturers, the Department will use models that are clear and understandable, feature accessible calculations, and have clearly explained assumptions. As a starting point, the Department will use the Government Regulatory Impact Model (GRIM). The Department will also support the development of economic models for price and volume forecasting. Research required to update key economic data will be considered.

(2) [Reserved]

14. Principles for the Analysis of Impacts on Consumers

(a) *Early consideration of impacts on consumer utility.* The Department will consider at the earliest stages of the development of a standard whether particular design options will lessen the utility of the covered products/equipment to the consumer. See paragraph (b) of section 6.

(b) *Impacts on product/equipment availability.* The Department will determine, based on consideration of information submitted during the standard development process, whether a proposed standard is likely to result in the unavailability of any covered

product/equipment type with performance characteristics (including reliability), features, sizes, capacities, and volumes that are substantially the same as products/equipment generally available in the U.S. at the time. DOE will not promulgate a standard if it concludes that it would result in such unavailability.

(c) *Department of Justice review.* As required by law, the Department will solicit the views of the Department of Justice on any lessening of competition likely to result from the imposition of a proposed standard and will give the views provided full consideration in assessing economic justification of a proposed standard. In addition, DOE may consult with the Department of Justice at earlier stages in the standards development process to seek its preliminary views on competitive impacts.

(d) *Variation in consumer impacts.* The Department will use regional analysis and sensitivity analysis tools, as appropriate, to evaluate the potential distribution of impacts of candidate/trial standard levels among different subgroups of consumers. The Department will consider impacts on significant segments of consumers in determining standards levels. Where there are significant negative impacts on identifiable subgroups, DOE will consider the efficacy of voluntary approaches as a means to achieve potential energy savings.

(e) *Payback period and first cost.* (1) In the assessment of consumer impacts of standards, the Department will consider Life-Cycle Cost, Payback Period, and Cost of Conserved Energy to evaluate the savings in operating expenses relative to increases in purchase price. The Department also performs sensitivity and scenario analyses when appropriate. The results of these analyses will be carried throughout the analysis and the ensuing uncertainty described.

(2) If, in the analysis of consumer impacts, the Department determines that a candidate/trial standard level would result in a substantial increase in product/equipment first costs to consumers or would not pay back such additional first costs through energy cost savings in less than three years, Department will assess the likely impacts of such a standard on low-income households, product/equipment sales and fuel switching, as appropriate.

15. Consideration of Non-Regulatory Approaches

The Department recognizes that non-regulatory efforts by manufacturers, utilities, and other interested parties can result in substantial efficiency improvements. The Department intends to consider the likely effects of non-regulatory initiatives on product/equipment energy use, consumer utility and life-cycle costs, manufacturers, competition, utilities, and the environment, as well as the distribution of these impacts among different regions, consumers, manufacturers, and utilities. DOE will attempt to base its assessment on the actual impacts of such initiatives to date, but also will consider information presented regarding the impacts that any existing initiative might have in the future. Such information is likely to include a demonstration of the strong commitment of manufacturers, distribution channels, utilities, or others to such non-regulatory efficiency improvements. This information will be used in assessing the likely incremental impacts of establishing or revising standards, in assessing—where possible—appropriate compliance dates for new or revised standards, and in considering DOE support of non-regulatory initiatives.

16. Cross-Cutting Analytical Assumptions

In selecting values for certain cross-cutting analytical assumptions, DOE expects to continue relying upon the following sources and general principles:

(a) *Underlying economic assumptions.* The appliance standards analyses will generally use the same economic growth and development assumptions that underlie the most current *Annual Energy Outlook* (*AEO*) published by the Energy Information Administration (EIA).

(b) *Analytic time length.* The appliance standards analyses will use two time lengths—30 years and another time length that is specific to the standard being considered such as the useful lifetime of the product under consideration. As a sensitivity case, the analyses will also use a 9-year regulatory timeline in analyzing the effects of the standard.

(c) *Energy price and demand trends.* Analyses of the likely impact of appliance standards on typical users will generally adopt the mid-range energy price and demand scenario of the EIA's most current *AEO*. The sensitivity of such estimated impacts to possible variations in future energy prices are likely to be examined using the EIA's high and low energy price scenarios.

(d) *Product/equipment-specific energy-efficiency trends, without updated standards.* Product/equipment-specific energy-efficiency trends will be based on a combination of the efficiency trends forecast by the EIA's residential and commercial demand model of the National Energy Modeling System (NEMS) and product-specific assessments by DOE and its contractors with input from interested parties.

(e) *Price forecasting.* DOE will endeavor to use robust price forecasting techniques in projecting future prices of products.

(f) *Private Discount rates.* For residential and commercial consumers, ranges of three different real discount rates will be used. For

residential consumers, the mid-range discount rate will represent DOE's approximation of the average financing cost (or opportunity costs of reduced savings) experienced by typical consumers. Sensitivity analyses will be performed using discount rates reflecting the costs more likely to be experienced by residential consumers with little or no savings and credit card financing and consumers with substantial savings. For commercial users, a mid-range discount rate reflecting DOE's approximation of the average real rate of return on commercial investment will be used, with sensitivity analyses being performed using values indicative of the range of real rates of return likely to be experienced by typical commercial businesses. For national net present value calculations, DOE would use the Administration's approximation of the average real rate of return on private investment in the U.S. economy. For manufacturer impacts, DOE typically uses a range of real discount rates which are representative of the real rates of return experienced by typical U.S. manufacturers affected by the program.

(g) *Social discount rates.* Social discount rates as specified in OMB Circular A–4 will be used in assessing social effects such as costs and benefits.

(h) *Environmental impacts.* (1) DOE calculates emission reductions of carbon dioxide, sulfur dioxide, nitrogen oxides, methane, nitrous oxides, and mercury likely to be avoided by candidate/trial standard levels based on an emissions analysis that includes the two components described in paragraphs (h)(2) and (3) of this section.

(2) The first component estimates the effect of potential candidate/trial standard levels on power sector and site combustion emissions of carbon dioxide, nitrogen oxides, sulfur dioxide, mercury, methane, and nitrous oxide. DOE develops the power sector emissions analysis using a methodology based on DOE's latest *Annual Energy Outlook*. For site combustion of natural gas or petroleum fuels, the combustion emissions of carbon dioxide and nitrogen oxides are estimated using emission intensity factors from the Environmental Protection Agency.

(3) The second component of DOE's emissions analysis estimates the effect of potential candidate/trial standard levels on emissions of carbon dioxide, nitrogen oxides, sulfur dioxide, mercury, methane, and nitrous oxide due to ''upstream activities'' in the fuel production chain. These upstream activities include the emissions related to extracting, processing, and transporting fuels to the site of combustion as detailed in DOE's Fuel-Fuel-Cycle Statement of Policy (76 FR 51281 (August 18, 2011)). DOE will consider the effects of the candidate/trial standard levels on these emissions after assessing the seven factors required to demonstrate economic justification under EPCA. Consistent with Executive Order 13783, dated March 28, 2017, when monetizing the value of changes in reductions in CO_2 and nitrous oxides emissions resulting from its energy conservation standards regulations, including with respect to the consideration of domestic versus international impacts and the consideration of appropriate discount rates, DOE ensures, to the extent permitted by law, that any such estimates are consistent with the guidance contained in OMB Circular A–4 of September 17, 2003 (Regulatory Analysis).

[86 FR 70924, Dec. 13, 2021, as amended at 89 FR 24359, Apr. 8, 2024]

Subpart D—Petitions To Exempt State Regulation From Preemption; Petitions To Withdraw Exemption of State Regulation

SOURCE: 54 FR 6078, Feb. 7, 1989, unless otherwise noted.

§ 430.40 Purpose and scope.

(a) This subpart prescribes the procedures to be followed in connection with petitions requesting a rule that a State regulation prescribing an energy conservation standard, water conservation standard (in the case of faucets, showerheads, water closets, and urinals), or other requirement respecting energy efficiency, energy use, or water use (in the case of faucets, showerheads, water closets, and urinals) of a type (or class) of covered product not be preempted.

(b) This subpart also prescribes the procedures to be followed in connection with petitions to withdraw a rule exempting a State regulation prescribing an energy conservation standard, water conservation standard (in the case of faucets, showerheads, water closets, and urinals), or other requirement respecting energy efficiency, energy use, or water use (in the case of faucets, showerheads, water closets, and urinals) of a type (or class) of covered product.

[63 FR 13318, Mar. 18, 1998]

§ 430.41 Prescriptions of a rule.

(a) *Criteria for exemption from preemption.* Upon petition by a State which has prescribed an energy conservation standard, water conservation standard (in the case of faucets, showerheads,

water closets, and urinals), or other requirement for a type or class of covered equipment for which a Federal energy conservation standard or water conservation standard is applicable, the Secretary shall prescribe a rule that such standard not be preempted if he determines that the State has established by a preponderance of evidence that such requirement is needed to meet unusual and compelling State or local energy interests or water interests. For the purposes of this section, the term ''unusual and compelling State or local energy interests or water interests'' means interests which are substantially different in nature or magnitude than those prevailing in the U.S. generally, and are such that when evaluated within the context of the State's energy plan and forecast, or water plan and forecast the costs, benefits, burdens, and reliability of energy savings or water savings resulting from the State regulation make such regulation preferable or necessary when measured against the costs, benefits, burdens, and reliability of alternative approaches to energy savings or water savings or production, including reliance on reasonably predictable market-induced improvements in efficiency of all equipment subject to the State regulation. The Secretary may not prescribe such a rule if he finds that interested persons have established, by a preponderance of the evidence, that the State's regulation will significantly burden manufacturing, marketing, distribution, sale or servicing of the covered equipment on a national basis. In determining whether to make such a finding, the Secretary shall evaluate all relevant factors including: the extent to which the State regulation will increase manufacturing or distribution costs of manufacturers, distributors, and others; the extent to which the State regulation will disadvantage smaller manufacturers, distributors, or dealers or lessen competition in the sale of the covered product in the State; the extent to which the State regulation would cause a burden to manufacturers to redesign and produce the covered product type (or class), taking into consideration the extent to which the regulation would result in a reduction in the current models, or in the projected availability of models, that could be shipped on the effective date of the regulation to the State and within the U.S., or in the current or projected sales volume of the covered product type (or class) in the State and the U.S.; and the extent to which the State regulation is likely to contribute significantly to a proliferation of State appliance efficiency requirements and the cumulative impact such requirements would have. The Secretary may not prescribe such a rule if he finds that such a rule will result in the unavailability in the State of any covered product (or class) of performance characteristics (including reliability), features, sizes, capacities, and volumes that are substantially the same as those generally available in the State at the time of the Secretary's finding. The failure of some classes (or types) to meet this criterion shall not affect the Secretary's determination of whether to prescribe a rule for other classes (or types).

(1) *Requirements of petition for exemption from preemption.* A petition from a State for a rule for exemption from preemption shall include the information listed in paragraphs (a)(1)(i) through (a)(1)(vi) of this section. A petition for a rule and correspondence relating to such petition shall be available for public review except for confidential or proprietary information submitted in accordance with the Department of Energy's Freedom of Information Regulations set forth in 10 CFR part 1004:

(i) The name, address, and telephone number of the petitioner;

(ii) A copy of the State standard for which a rule exempting such standard is sought;

(iii) A copy of the State's energy plan or water plan and forecast;

(iv) Specification of each type or class of covered product for which a rule exempting a standard is sought;

(v) Other information, if any, believed to be pertinent by the petitioner; and

(vi) Such other information as the Secretary may require.

(2) [Reserved]

(b) *Criteria for exemption from preemption when energy emergency conditions or*

water emergency conditions (in the case of faucets, showerheads, water closets, and urinals) exist within State. Upon petition by a State which has prescribed an energy conservation standard or water conservation standard (in the case of faucets, showerheads, water closets, and urinals) or other requirement for a type or class of covered product for which a Federal energy conservation standard or water conservation standard is applicable, the Secretary may prescribe a rule, effective upon publication in the FEDERAL REGISTER, that such State regulation not be preempted if he determines that in addition to meeting the requirements of paragraph (a) of this section the State has established that: an energy emergency condition or water emergency condition exists within the State that imperils the health, safety, and welfare of its residents because of the inability of the State or utilities within the State to provide adequate quantities of gas, electric energy, or water to its residents at less than prohibitive costs; and cannot be substantially alleviated by the importation of energy or water or the use of interconnection agreements; and the State regulation is necessary to alleviate substantially such condition.

(1) *Requirements of petition for exemption from preemption when energy emergency conditions or water emergency conditions (in the case of faucets, showerheads, water closets, and urinals) exist within a State.* A petition from a State for a rule for exemption from preemption when energy emergency conditions or water emergency conditions exist within a State shall include the information listed in paragraphs (a)(1)(i) through (a)(1)(vi) of this section. A petition shall also include the information prescribed in paragraphs (b)(1)(i) through (b)(1)(iv) of this section, and shall be available for public review except for confidential or proprietary information submitted in accordance with the Department of Energy's Freedom of Information Regulations set forth in 10 CFR part 1004:

(i) A description of the energy emergency condition or water emergency condition (in the case of faucets, showerheads, water closets, and urinals) which exists within the State, including causes and impacts.

(ii) A description of emergency response actions taken by the State and utilities within the State to alleviate the emergency condition;

(iii) An analysis of why the emergency condition cannot be alleviated substantially by importation of energy or water or the use of interconnection agreements; and

(iv) An analysis of how the State standard can alleviate substantially such emergency condition.

(2) [Reserved]

(c) *Criteria for withdrawal of a rule exempting a State standard.* Any person subject to a State standard which, by rule, has been exempted from Federal preemption and which prescribes an energy conservation standard or water conservation standard (in the case of faucets, showerheads, water closets, and urinals) or other requirement for a type or class of a covered product, when the Federal energy conservation standard or water conservation standard (in the case of faucets, showerheads, water closets, and urinals) for such product subsequently is amended, may petition the Secretary requesting that the exemption rule be withdrawn. The Secretary shall consider such petition in accordance with the requirements of paragraph (a) of this section, except that the burden shall be on the petitioner to demonstrate that the exemption rule received by the State should be withdrawn as a result of the amendment to the Federal standard. The Secretary shall withdraw such rule if he determines that the petitioner has shown the rule should be withdrawn.

(1) *Requirements of petition to withdraw a rule exempting a State standard.* A petition for a rule to withdraw a rule exempting a State standard shall include the information prescribed in paragraphs (c)(1)(i) through (c)(1)(vii) of this section, and shall be available for public review, except for confidential or proprietary information submitted in accordance with the Department of Energy's Freedom of Information Regulations set forth in 10 CFR part 1004:

(i) The name, address and telephone number of the petitioner;

(ii) A statement of the interest of the petitioner for which a rule withdrawing an exemption is sought;

(iii) A copy of the State standard for which a rule withdrawing an exemption is sought;

(iv) Specification of each type or class of covered product for which a rule withdrawing an exemption is sought;

(v) A discussion of the factors contained in paragraph (a) of this section;

(vi) Such other information, if any, believed to be pertinent by the petitioner; and

(vii) Such other information as the Secretary may require.

(2) [Reserved]

[63 FR 13318, Mar. 18, 1998]

§ 430.42 Filing requirements.

(a) *Service.* All documents required to be served under this subpart shall, if mailed, be served by first class mail. Service upon a person's duly authorized representative shall constitute service upon that person.

(b) *Obligation to supply information.* A person or State submitting a petition is under a continuing obligation to provide any new or newly discovered information relevant to that petition. Such information includes, but is not limited to, information regarding any other petition or request for action subsequently submitted by that person or State.

(c) *The same or related matters.* A person or State submitting a petition or other request for action shall state whether to the best knowledge of that petitioner the same or related issue, act, or transaction has been or presently is being considered or investigated by any State agency, department, or instrumentality.

(d) *Computation of time.* (1) Computing any period of time prescribed by or allowed under this subpart, the day of the action from which the designated period of time begins to run is not to be included. If the last day of the period is Saturday, or Sunday, or Federal legal holiday, the period runs until the end of the next day that is neither a Saturday, or Sunday or Federal legal holiday.

(2) Saturdays, Sundays, and intervening Federal legal holidays shall be excluded from the computation of time when the period of time allowed or prescribed is 7 days or less.

(3) When a submission is required to be made within a prescribed time, DOE may grant an extension of time upon good cause shown.

(4) Documents received after regular business hours are deemed to have been submitted on the next regular business day. Regular business hours for the DOE's National Office, Washington, DC, are 8:30 a.m. to 4:30 p.m.

(5) DOE reserves the right to refuse to accept, and not to consider, untimely submissions.

(e) *Filing of petitions.* (1) A petition for a rule shall be submitted in triplicate to: The Assistant Secretary for Conservation and Renewable Energy, U.S. Department of Energy, Section 327 Petitions, Appliance Efficiency Standards, Forrestal Building, 1000 Independence Avenue, SW., Washington, DC 20585.

(2) A petition may be submitted on behalf of more than one person. A joint petition shall indicate each person participating in the submission. A joint petition shall provide the information required by § 430.41 for each person on whose behalf the petition is submitted.

(3) All petitions shall be signed by the person(s) submitting the petition or by a duly authorized representative. If submitted by a duly authorized representative, the petition shall certify this authorization.

(4) A petition for a rule to withdraw a rule exempting a State regulation, all supporting documents, and all future submissions shall be served on each State agency, department, or instrumentality whose regulation the petitioner seeks to supersede. The petition shall contain a certification of this service which states the name and mailing address of the served parties, and the date of service.

(f) *Acceptance for filing.* (1) Within fifteen (15) days of the receipt of a petition, the Secretary will either accept it for filing or reject it, and the petitioner will be so notified in writing. The Secretary will serve a copy of this notification on each other party served by the petitioner. Only such petitions which conform to the requirements of

this subpart and which contain sufficient information for the purposes of a substantive decision will be accepted for filing. Petitions which do not so conform will be rejected and an explanation provided to petitioner in writing.

(2) For purposes of the Act and this subpart, a petition is deemed to be filed on the date it is accepted for filing.

(g) *Docket.* A petition accepted for filing will be assigned an appropriate docket designation. Petitioner shall use the docket designation in all subsequent submissions.

§ 430.43 Notice of petition.

(a) Promptly after receipt of a petition and its acceptance for filing, notice of such petition shall be published in the FEDERAL REGISTER. The notice shall set forth the availability for public review of all data and information available, and shall solicit comments, data and information with respect to the determination on the petition. Except as may otherwise be specified, the period for public comment shall be 60 days after the notice appears in the FEDERAL REGISTER.

(b) In addition to the material required under paragraph (a) of this section, each notice shall contain a summary of the State regulation at issue and the petitioner's reasons for the rule sought.

§ 430.44 Consolidation.

DOE may consolidate any or all matters at issue in two or more proceedings docketed where there exist common parties, common questions of fact and law, and where such consolidation would expedite or simplify consideration of the issues. Consolidation shall not affect the right of any party to raise issues that could have been raised if consolidation had not occurred.

§ 430.45 Hearing.

The Secretary may hold a public hearing, and publish notice in the FEDERAL REGISTER of the date and location of the hearing, when he determines that such a hearing is necessary and likely to result in a timely and effective resolution of the issues. A transcript shall be kept of any such hearing.

§ 430.46 Disposition of petitions.

(a) After the submission of public comments under § 430.42(a), the Secretary shall prescribe a final rule or deny the petition within 6 months after the date the petition is filed.

(b) The final rule issued by the Secretary or a determination by the Secretary to deny the petition shall include a written statement setting forth his findings and conclusions, and the reasons and basis therefor. A copy of the Secretary's decision shall be sent to the petitioner and the affected State agency. The Secretary shall publish in the FEDERAL REGISTER a notice of the final rule granting or denying the petition and the reasons and basis therefor.

(c) If the Secretary finds that he cannot issue a final rule within the 6-month period pursuant to paragraph (a) of this section, he shall publish a notice in the FEDERAL REGISTER extending such period to a date certain, but no longer than one year after the date on which the petition was filed. Such notice shall include the reasons for the delay.

§ 430.47 Effective dates of final rules.

(a) A final rule exempting a State standard from Federal preemption will be effective:

(1) Upon publication in the FEDERAL REGISTER if the Secretary determines that such rule is needed to meet an ''energy emergency condition or water emergency condition (in the case of faucets, showerheads, water closets, and urinals)'' within the State.

(2) Three years after such rule is published in the FEDERAL REGISTER; or

(3) Five years after such rule is published in the FEDERAL REGISTER if the Secretary determines that such additional time is necessary due to the burdens of retooling, redesign or distribution.

(b) A final rule withdrawing a rule exempting a State standard will be effective upon publication in the FEDERAL REGISTER.

[54 FR 6078, Feb. 7, 1989, as amended at 63 FR 13319, Mar. 18, 1998]

§ 430.48 Request for reconsideration.

(a) Any petitioner whose petition for a rule has been denied may request reconsideration within 30 days of denial. The request shall contain a statement of facts and reasons supporting reconsideration and shall be submitted in writing to the Secretary.

(b) The denial of a petition will be reconsidered only where it is alleged and demonstrated that the denial was based on error in law or fact and that evidence of the error is found in the record of the proceedings.

(c) If the Secretary fails to take action on the request for reconsideration within 30 days, the request is deemed denied, and the petitioner may seek such judicial review as may be appropriate and available.

(d) A petitioner has not exhausted other administrative remedies until a request for reconsideration has been filed and acted upon or deemed denied.

§ 430.49 Finality of decision.

(a) A decision to prescribe a rule that a State energy conservation standard, water conservation standard (in the case of faucets, showerheads, water closets, and urinals) or other requirement not be preempted is final on the date the rule is issued, i.e., signed by the Secretary. A decision to prescribe such a rule has no effect on other regulations of a covered product of any other State.

(b) A decision to prescribe a rule withdrawing a rule exempting a State standard or other requirement is final on the date the rule is issued, i.e., signed by the Secretary. A decision to deny such a petition is final on the day a denial of a request for reconsideration is issued, i.e., signed by the Secretary.

[54 FR 6078, Feb. 7, 1989, as amended at 63 FR 13319, Mar. 18, 1998]

Subpart E—Small Business Exemptions

SOURCE: 54 FR 6080, Feb. 7, 1989, unless otherwise noted.

§ 430.50 Purpose and scope.

(a) This subpart establishes procedures for the submission and disposition of applications filed by manufacturers of covered consumer products with annual gross revenues that do not exceed $8 million to exempt them temporarily from all or part of energy conservation standards or water conservation standards (in the case of faucets, showerheads, water closets, and urinals) established by this part.

(b) The purpose of this subpart is to provide content and format requirements for manufacturers of covered consumer products with low annual gross revenues who desire to apply for temporary exemptions from applicable energy conservation standards or water conservation standards (in the case of faucets, showerheads, water closets, and urinals) .

[54 FR 6080, Feb. 7, 1989, as amended at 63 FR 13319, Mar. 18, 1998]

§ 430.51 Eligibility.

Any manufacturer of a covered product with annual gross revenues that do not exceed $8,000,000 from all its operations (including the manufacture and sale of covered products) for the 12-month period preceding the date of application may apply for an exemption. In determining the annual gross revenues of any manufacturer under this subpart, the annual gross revenue of any other person who controls, is controlled, by, or is under common control with, such manufacturer shall be taken into account.

§ 430.52 Requirements for applications.

(a) Each application filed under this subpart shall be submitted in triplicate to: U.S. Department of Energy, Small Business Exemptions, Appliance Efficiency Standards, Assistant Secretary for Conservation and Renewable Energy, Forrestal Building, 1000 Independence Avenue, SW., Washington, DC 20585.

(b) An application shall be in writing and shall include the following:

(1) Name and mailing address of applicant;

(2) Whether the applicant controls, is controlled by, or is under common control with another manufacturer, and if so, the nature of that control relationship;

(3) The text or substance of the standard or portion thereof for which the exemption is sought and the length of time desired for the exemption;

(4) Information showing the annual gross revenue of the applicant for the preceding 12-month period from all of its operations (including the manufacture and sale of covered products):

(5) Information to show that failure to grant an exemption is likely to result in a lessening of competition;

(6) Such other information, if any, believed to be pertinent by the petitioner; and

(7) Such other information as the Secretary may require.

§ 430.53 Processing of applications.

(a) The applicant shall serve a copy of the application, all supporting documents and all subsequent submissions, or a copy from which confidential information has been deleted pursuant to 10 CFR 1004.11, to the Secretary, which may be made available for public review.

(b) Within fifteen (15) days of the receipt of an application, the Secretary will either accept it for filing or reject it, and the applicant will be so notified in writing. Only such applications which conform to the requirements of this subpart and which contain sufficient information for the purposes of a substantive decision will be accepted for filing. Applications which do not so conform will be rejected and an explanation provided to the applicant in writing.

(c) For the purpose of this subpart, an application is deemed to be filed on the date it is accepted for filing.

(d) Promptly after receipt of an application and its acceptance for filing, notice of such application shall be published in the FEDERAL REGISTER. The notice shall set forth the availability for public review of data and information available, and shall solicit comments, data and information with respect to the determination on the application. Except as may otherwise be specified, the period for public comment shall be 60 days after the notice appears in the FEDERAL REGISTER.

(e) The Secretary on his own initiative may convene a hearing if, in his discretion, he considers such hearing will advance his evaluation of the application.

§ 430.54 Referral to the Attorney General.

Notice of the application for exemption under this subpart shall be transmitted to the Attorney General by the Secretary and shall contain (a) a statement of the facts and of the reasons for the exemption, and (b) copies of all documents submitted.

§ 430.55 Evaluation of application.

The Secretary shall grant an application for exemption submitted under this subpart if the Secretary finds, after obtaining the written views of the Attorney General, that a failure to allow an exemption would likely result in a lessening of competition.

§ 430.56 Decision and order.

(a) Upon consideration of the application and other relevant information received or obtained, the Secretary shall issue an order granting or denying the application.

(b) The order shall include a written statement setting forth the relevant facts and the legal basis of the order.

(c) The Secretary shall serve a copy of the order upon the applicant and upon any other person readily identifiable by the Secretary as one who is interested in or aggrieved by such order. The Secretary also shall publish in the FEDERAL REGISTER a notice of the grant or denial of the order and the reason therefor.

§ 430.57 Duration of temporary exemption.

A temporary exemption terminates according to its terms but not later than twenty-four months after the affective date of the rule for which the exemption is allowed.

Subpart F [Reserved]

FINDING AIDS

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List of CFR Sections Affected

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For changes to this volume of the CFR prior to this listing, consult the annual edition of the monthly List of CFR Sections Affected (LSA). The LSA is available at *www.govinfo.gov*. For changes to this volume of the CFR prior to 2001, see the ''List of CFR Sections Affected, 1949–1963, 1964–1972, 1973–1985, and 1986–2000'' published in 11 separate volumes. The ''List of CFR Sections Affected 1986–2000'' is available at *www.govinfo.gov*.

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205.383 (a) introductory text amended 3232
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207.7 (c)(1) amended 829
216 Authority citation revised 31669
216.2 (h) amended 31669
216.3 (a) amended 31669
216.8 Amended 31669
217 Authority citation revised 31670
217.40 (a) and (c) amended 31670
217.72 (b) amended 31670
217.80 (a), (c), and (d) amended 31670
217.81 (a), (b)(1), (2), and (d) through (h) amended 31670
217.93 Revised 31670
218.42 (b)(1) revised 830
429 Order 1378
429.12 (b)(13) and (d) table amended 1446
429.12 (b)(13) revised 1591
429.26 (a)(2)(i) introductory text, (b)(2), and (c) revised; (a)(2)(iii) added 56493
429.62 (b) added 1446
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429.71 (e) added 1591
429.120 Amended 830
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430.2 Amended 56493
430.2 Amended; eff. 1-15-21 81359
430.3 (l) removed; (m) through (v) redesignated as new (l) through (u) 50766
430.3 (e)(5) through (7) amended; (e)(17) through (21) redesignated as (e)(22) through (26); (e)(6) through (16) redesignated as (e)(7), (9), (10), (12), (13), (14), (15), (16), (17), (19), and (20) respectively; (e)(6), (8), (11), new (18), new (21), and Note 1 added; (a), new (e)(15), new (16), new (19), and (o)(2) revised; new (e)(17), and (o)(6) amended 56493
430.3 (i)(2) amended 68741
430.3 Second (c)(3)(ii), (c)(3)(iii) through (v) and (q) through (u) redesignated as new (c)(3)(iii), (c)(3)(iv) through (vi), and (r) through (v); new (q) added; eff. 1-15-21 81359
430.23 (i) revised 50766
430.23 (q) revised 56494
430.27 (e)(1), (h), and (i)(1) revised; eff. 1-11-21 79820
430.21—430.27 (Subpart B) Correction: Appendix CC amended 21746
430.21—430.27 (Subpart B) Appendix I revised 50766

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430.31—430.35 (Subpart C) Appendix A revised 8703, 50944
430.32 (cc) added 1446
430.32 (z)(3) added 1503
430.32 Correction: (z)(3) table revised 3232
430.32 (f) revised 68741
430.32 (g)(4) and (h)(3) revised; eff. 1-15-21 81375

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218.42 (b)(1) revised 2955
429.14 (b)(3) and (d) revised 56819
429.15 (a)(2)(ii) amended; (a)(3) through (5) and (b)(3) added; (b)(2) revised 16475
429.16 Correction: (a)(1) table revised; (f)(1)(i)(B), (2)(ii)(A), and (4)(i)(B) amended 68393
429.21 (b)(2) revised; (c) added 56638
429.61 (b)(3) and (d) revised 56819
429.120 Amended 2955
429.134 (b)(2) and (l)(2) revised 56820
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430 Determination 66403
430 Interpretation 73947
430.2 Amended 16476
430.2 Amended; eff. 1-19-22 71810
430.3 Correction: (q) through (u) redesignated as (r) through (v) 1255
430.3 (g)(1) and (i)(6) revised; (g)(6), (o)(5), and (6) amended; (g)(11) through (14), (9), (10), and (8) redesignated as (g)(15) through (18), new (12), new (13), and new (9); new (g)(8), new (10), new (11), and new (14) added 16476
430.3 (a) revised; (b)(2) and (3) redesignated as (b)(3) and (4); new (b)(2) added 28472
430.3 (i)(3) revised 56638
430.3 (i)(4) revised 56820
430.23 (f) revised 16476
430.23 (a)(1)(ii), (2)(ii), (3)(ii), (4), (5), (b)(1)(ii), (2)(ii), (3)(ii), (4), (5), (ff)(1)(ii), (2)(ii), (3)(ii), (ff)(4), and (5) revised 56820

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430.23 (d) revised 56639
430.27 (b), (e), (g) through (j), and (k)(1) revised; eff. 2-14-22 70959
430.21—430.27 (Subpart B) Appendix F revised 16476
430.21—430.27 (Subpart B) Appendix F amended 24484
430.21—430.27 (Subpart B) Appendix U amended 28473
430.21—430.27 (Subpart B) Appendix D removed 56639
430.21—430.27 (Subpart B) Appendix D1 amended 56639
430.21—430.27 (Subpart B) Appendix D2 amended 56641
430.21—430.27 (Subpart B) Appendix A revised 56821
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430.21—430.27 (Subpart B) Correction: Appendix M amended 68393
430.21—430.27 (Subpart B) Correction: Appendix M1 amended 68394
430.32 Correction: (h)(3)(ii) revised 24485
430.32 (s)(2)(i) revised; (s)(2)(ii) redesignated as (s)(2)(iii); new (s)(2)(ii) added 28473
430.31—430.35 (Subpart C) Appendix A revised; eff. 1-12-22 70924

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218.42 (b)(1) revised 1063
429 Technical correction 66935
429.1 Revised 63646
429.2 (a) revised; (b) amended 63646
429.3 Added 63646
429.4 (a) revised; (c)(2) redesignated as (c)(3); new (c)(2) added 63891
429.4 (c)(2), (3), and (d) through (f) redesignated as (c)(3), (4), and (e) through (g); new (c)(2) and new (d) added; eff. 1-6-23 75166
429.4 (c)(1) through (4) redesignated as (c)(2) through (5); new (c)(1) added; eff. 1-17-23 77317
429.11 (a) and (b)(1) amended 53637
429.11 Revised 63646
429.12 (d) revised 43976
429.12 (e)(2) removed; (e)(3) redesignated as new (e)(2) 53637

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429.12 (b)(8) revised; eff. 1-17-23 77317
429.16 (a)(1) Table 1, (4)(i), and (b)(2)(i) table revised 64583
429.17 Note preceding (a) and (c) added 43977
429.18 Heading, (a)(2)(vii), (b)(2), and (3) revised; note preceding (a) added 43977
429.19 Note preceding (a) added; (b)(2) and (3) revised 43977
429.20 (a)(2)(i) introductory text, (ii) introductory text, and (3) revised 33379
429.27 Note preceding (a) added; (b)(2)(ii) and (iii) revised 43978
429.27 Revised 53637
429.32 Note preceding (a) and (c) added; (b) revised 43978
429.32 (a)(2) introductory text and (ii)(B) revised; (a)(3) and (4) added 50422
429.33 Note preceding (a) added; (b) and (c) revised 43978
429.33 (a)(2)(iv) and (3)(i)(C) amended 53638
429.33 Correction: (b)(2)(i) introductory text, (ii) introductory text, (3)(i), and (ii) introductory text revised 54330
429.43 (a)(3) added 45195
429.43 (a) introductory text, (1)(ii)(A) introductory text, (B) introductory text, (b)(2)(xi) (xii), (4)(vii) and (viii) revised; (a)(3) Table 1, (b)(2)(xiv), (xv), (4)(x) through (xiv) redesignated as (a)(3)(i)(A) Table 1, (b)(2)(xiii), (xiv), (4)(ix) through (xiii); (a)(3)(i) amended; (a)(3)(ii) and (b)(5) added; (b)(2)(xiii) and (4)(ix) removed 63892
429.43 (a)(3)(i)(B) added; Table 2 redesignated as Table 3 65667
429.43 (a)(3)(iii) added; eff. 1-6-23 75166
429.43 Heading revised; (b)(2)(iii), (iv), (ix), (x), and (4)(iii) through (vi) removed; (b)(2)(v) through (viii) and (4)(vii) through (xiii) redesignated as (b)(2)(iii) through (vi) and (4)(iii) through (ix); (b)(2)(xi) through (xiv) redesignated as (b)(2)(vii) through (x); eff. 1-17-23 77317

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429.45 (a)(2) revised; (a)(3) added 65899
429.46 (a)(2)(ii) introductory text revised 33379
429.46 Note preceding (a), (a)(3), (4), and (c) added; (a)(2)(i) introductory text and (b)(2) revised 43979
429.55 Added 53638
429.59 Note preceding (a) added; (b)(2)(iv) and (3)(iv) revised 43979
429.59 (a)(1)(i) and (2)(i) revised; (a)(2)(iv) through (vii) added 57297
429.64 Added 63647
429.65 Added 63648
429.66 Added 53639
429.67 Added; eff. 1-17-23 77317
429.70 (i) added 43979
429.70 (c)(2)(iv) table and (5)(vi)(B) table revised 45195
429.70 (a) revised; (j) and (k) added 63649
429.70 (c)(2)(i) revised 63894
429.70 (c) heading, (1) introductory text, (2)(iv) table, and (5)(vi)(B) table revised; (l) added; eff. 1-17-23 77321
429.73 Added 63651
429.74 Added 63652
429.75 Added 63652
429.10—429.75 (Subpart B) Appendix B added 63653
429.102 (a)(1) amended 53639
429.102 (c)(4)(i) and (iii) revised 64586
429.104 Revised 63895
429.110 (e)(1) and (5) revised 57298
429.110 (a)(2) and (3) redesignated as (a)(3) and (4); new (a)(2) added; (b)(1)(iv) revised 63895
429.120 Amended 1063
429.134 (c)(1) revised 33379
429.134 (s) added 45197
429.134 (t) added 50423
429.134 (u) added 55122
429.134 (i)(3) added 57298
429.134 (s)(1) amended; (v) added 63895
429.134 (s)(2) and (3) added; eff. 1-3-23 65667
429.134 (w) added 65899
429.134 (x) added; eff. 1-6-23 75167
429.134 (y) added; eff. 1-17-23 77324
429.158 (a) and (b) amended 64586

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430.3 (a) and (h) introductory text revised; (h)(3) added 16385

430.3 (e)(25) removed; (g)(17), (18), and (k) through (v) redesignated as (g)(18), (19), and (l) through (w); new (g)(17), (j)(3), and new (k) added; (g) introductory text, (16), (j)(3), and new (w)(1) through new (3) revised 30790

430.3 (d)(1) through (3) and (o)(6) amended 33380

430.3 (b)(4) and (p) introductory text revised; (b)(5) and (p) Note 1 added; (p)(6) amended; (p)(8) removed 50424

430.3 (p)(3) through (9) redesignated as (p)(4) through (10); new (p)(3) added; new (p)(6) revised; new (p)(7) amended 51537

430.3 Amended 52433

430.3 (e)(5) through (16), (q)(4), (5), (7), (9), (10), (11) through (15), and (16) through (20) redesignated as new (e)(6) through (17), (q)(5), new (7), new (9), new (10), (11), (13) through (17), and (19) through (23); (e)(17) removed; new (e)(6), new (7), new (10), new (12), new (15), (18), (m)(2), and (q)(2) amended; (e)(4), new (9), (e) Note 1, (q) introductory text, new (q)(7), (9), (10), and (13) revised; new (e)(5), (m)(3), (q)(4), (12), and (18) added 53640

430.3 (e)(22) introductory text, (p)(3) introductory text, and (6) amended 55122

430.3 Correction: (p)(4) introductory text and (7) amended 60867

430.23 (u) and (v) revised 16386

430.23 (j)(2)(i) and (4)(i) removed; (j)(2)(ii) and (4)(ii) redesignated as (j)(2)(i) and (4)(i); new (j)(2)(ii) and (4)(ii) added; (j)(1)(i), (ii), (3)(i), new (4)(i) and (5) revised 33380

430.23 (w) revised 50424

430.23 (bb) revised 51221

430.23 (i) revised 51537

430.23 (r) revised 53641

430.23 (aa) revised 55122

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430.21—430.27 (Subpart B) Appendix I amended 18271

430.21—430.27 (Subpart B) Appendix I and Appendix I1 revised 51538

430.21—430.27 (Subpart B) Appendix J amended 33381

430.21—430.27 (Subpart B) Appendix J, Appendix J2, and Appendix J3 amended 78820

430.21—430.27 (Subpart B) Appendix J1 removed 33395

430.21—430.27 (Subpart B) Appendix J2 amended 33395

430.21—430.27 (Subpart B) Appendix J3 amended 33403

430.21—430.27 (Subpart B) Appendix M amended 64586

430.21—430.27 (Subpart B) Correction: Appendix M amended 66935

430.21—430.27 (Subpart B) Appendix M1 amended 64588

430.21—430.27 (Subpart B) Appendix O amended 30791

430.21—430.27 (Subpart B) Appendix R amended 53641

430.21—430.27 (Subpart B) Appendix T amended 16386

430.21—430.27 (Subpart B) Appendix U amended 50424

430.21—430.27 (Subpart B) Appendix Y amended 28756, 55122

430.21—430.27 (Subpart B) Correction: Appendix Y amended 60867

430.21—430.27 (Subpart B) Appendix Y1 amended 55125

430.32 (f)(1)(iii) removed; (g)(4) and (h)(3) revised 2689

430.32 (q) revised 16386

430.32 (n)(5) introductory text, (6) introductory text, (u)(1) introductory text, (x)(1) introductory text, (2), (3), (bb)(1) introductory text, and (2) introductory text revised; (dd) added 27460

430.32 (n) and (x) revised 53643

430.32 (c)(6)(ii) revised 64586

430.32 (s)(2)(ii) introductory text revised 72866

430 Appendix Z revised 51221

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218.42 (b)(1) revised 2193
429 Technical correction 70580
429.4 (c)(5) redesignated as (c)(6); new (c)(5) added; section amended 21836
429.4 (b)(3) added 31126
429.4 (h) added 67040
429.4 (c)(4) through (6) redesignated as (c)(5) through (7); new (c)(4) added; eff. 1-3-24 84226
429.11 (a) and (b)(1) amended 14043, 27387, 38626
429.14 (d) revised 7845
429.19 (b)(3)(vi) revised 48357
429.25 (a)(2)(ii), (iii)(A), and (B) revised 16109
429.33 (a)(3)(i)(F), (ii), (b)(2)(ii)(A), and (3)(ii)(B) amended 21072
429.42 (a)(3) and (4) added 66221
429.43 (a)(3)(iv) added 21836
429.43 (a)(3)(v) added; eff. 1-3-24 84226
429.53 (a)(2)(i) and (3) revised; (a)(4) added 28835
429.59 (a) introductory text revised; (a)(2)(iv) through (vii) redesignated as (a)(2)(v) through (viii); new (a)(3) added 17973
429.59 Correction: Amended 24471
429.61 (d) revised 7845
429.62 (a)(3) through (5) redesignated as (a)(4) through (6); new (a)(3) added; new (a)(4) and new (5) revised 31126
429.68 Added 14043
429.69 Added 27387
429.69 (a)(1)(ii), (iii), and (iv)(B) amended 53375
429.70 (m) added 17973
429.70 (c)(2)(iv) table revised 21837
429.70 (a) amended; (n) added 27388
429.70 (c)(5)(viii)(A) table and (h)(2)(iv) table amended; (f) heading, (2)(ii)(A), (B), (v), and (vi) revised; (f)(2)(ii)(C) and (iii)(E) added; (m)(5)(vi) Table 7 and (viii)(A) Table 8 redesignated as (m)(5)(iv) Table 9 and (vii)i)(A) Table 10 28835
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429.70 (n)(2)(i) amended 53375

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429.72 (f) added 66222
429.76 Added 38627
429.110 (e)(2) revised 28837
429.120 Amended 2193
429.134 (z) added 3276
429.134 (h) introductory text, (1)(i)(A), and (2)(i)(A) amended 15537
429.134 (i)(1)(ii) revised 17975
429.134 (aa) added 21838
429.134 (q) introductory text added; (q)(2) and (4) revised 28837
429.134 (bb) added 34362
429.134 (cc) added 34702
429.134 (d)(3) added 40472
429.134 (z)(2) added 48357
429.134 (ff) added 66222
429.134 (ee) added 67041
429.134 (dd) added; eff. 1-3-24 84228
430 Determination 9118, 16869
430 Regulation at 88 FR 21814 confirmed 60105
430.2 Amended 14044, 15537, 31126, 33544, 34703, 40473, 48051
430.3 (i)(2) through (6) redesignated as (i)(3) through (7); new (i)(2) added; new (i)(3) revised; (p)(7) amended 3276
430.3 (i)(1) through (7) redesignated as (i)(3) through (9); new (i)(1), new (2), and (j)(4) added; (p)(7) amended 14044
430.3 (g)(11), (17), (j)(3), and (p)(7) amended; (j) introductory text revised 15537
430.3 (n) through (w) redesignated as (o) through (x); new (q)(5) removed; new (q)(6) through (10) further redesignated as new (q)(5) through (9), new (n) and new (q)(6) added 16109
430.3 (r)(2), (4), and (12) amended; (r)(15) removed; (r)(16) and (21) through (23) redesignated as new (r)(15), and (r)(22) through (24); new (r)(16) and (21) added; (r)(18) and (19) amended 21072

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430.3 (b)(1) through (5), (g)(11) through (19), and (i)(9) redesignated as (b)(2) through (6), (g)(12) through (20), and (i)(10); new (b)(1), new (g)(11), and new (i)(9) added; (g)(3) and (5) revised; (q)(6) amended; (q) Note 2 removed 31126
430.3 (h)(1) revised 33545
430.3 (a) and (k) introductory text revised; (w) and (x) redesignated as (x) and (y); (k)(2) and new (w) added 38627
430.3 (g)(20) redesignated as (g)(22); (g)(8) through (19) redesignated as (g)(9) through (20); new (g)(8) and (21) added; (g)(5) and new (13) amended; (j) revised 40473
430.3 (a), (i)(3), and (q)(6) revised; (o)(3), (4), and (q)(9) redesignated as (o)(2), (3), and (q)(8); section amended 48052
430.23 (c) revised 3276
430.23 (z) revised 48052
430.23 (x)(1) removed; (x)(2) redesignated as new (x)(1); new (x)(1)(v) revised 21073
430.23 (n) revised 15537
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430.23 (h) revised 16109
430.23 (dd) revised 31126
430.23 (s) and (t) revised 33545
430.23 (ii) added 38627
430.21—430.27 (Subpart B) Appendix C1 revised 3277
430.21—430.27 (Subpart B) Appendix C2 added 3279
430.21—430.27 (Subpart B) Appendix I1 amended 7847
430.21—430.27 (Subpart B) Appendices EE and FF added 14044
430.21—430.27 (Subpart B) Appendix N revised 15538
430.21—430.27 (Subpart B) Appendix EE added 15547
430.21—430.27 (Subpart B) Appendix H revised 16109
430.21—430.27 (Subpart B) Appendix V removed; Appendix V1 redesignated as new Appendix V and revised 21073
430.21—430.27 (Subpart B) Appendix FF amended 21814
430.21—430.27 (Subpart B) Appendix CC amended 31127

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430.21—430.27 (Subpart B) Appendix CC1 added 31136
430.21—430.27 (Subpart B) Appendix S revised 33545
430.21—430.27 (Subpart B) Appendix P amended 34703
430.21—430.27 (Subpart B) Appendix GG added 38627
430.21—430.27 (Subpart B) Appendix E revised 40473
430.21—430.27 (Subpart B) Appendix X and Appendix X1 removed 48052
430.21—430.27 (Subpart B) Appendix C1 amended 48357
430.21—430.27 (Subpart B) Correction: Appendix F amended 59791
430.32 (f) revised 3282
430.32 (s)(6) revised 21074
430.32 (ee) added 21814
430.32 (cc) revised 31138
430.32 (b) revised 34362
430.32 (k) revised 34704
430.32 (j)(3) revised 39959
430.32 Regulation at 88 FR 21814 confirmed 60105
430.32 (e)(1)(ii) revised; (e)(1)(iii) redesignated as (e)(1)(iv); new (e)(1)(iii) added; eff. 2-16-24 87648
430 Correction: Appendix FF amended 53371

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207.7 (c)(1) amended 1027, 105405
218.42 (b)(1) revised 1027, 105406
420 Authority citation revised 33196
420.15 Heading revised; (g) added; interim 33196
420.15 Regulation at 89 FR 33196 confirmed 100302
429.4 (c)(2) removed; (c)(3) through (5) redesignated as new (c)(2) through (4); new (c)(5) added 44032
429.4 (b)(1) removed; (b)(2) and (3) redesignated as new (b)(1) and (2) 82059
429.12 (b)(12), (13), (d), and (i) revised 82059
429.16 (b)(3)(i)(B), (ii)(B), (iii)(A)(*2*), (e)(2)(v), and (4)(iv) revised; (e)(2)(vi) added 82060

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429.17 (a)(1)(ii)(C) revised; (a)(1)(ii)(E) added 37941
429.19 (b)(2) and (3) revised; (c) added 82061
429.20 (b) and (c) revised 82061
429.24 (a)(2) introductory text and (b)(2) revised; (a)(3), (4), and (c) added 82061
429.33 (b)(2)(ii)(A) and (3)(ii)(B) revised 82062
429.36 (b)(2)(i) removed; (b)(2)(ii) redesignated as new (b)(2)(i) 82062
429.37 (b)(2), (3), and (c) revised 82062
429.39 (a)(1), (2)(ii) introductory text, (iii) introductory text, (b)(2), and (3) revised; (a)(2)(v), (vi), (b)(5), and (6) added 82063
429.43 (a)(1)(iv) and (2)(ii) removed; (a)(3)(vi) added 44033
429.43 Heading, (b)(2)(v), (vi), (ix), and (4)(vi) through (viii); (b)(2)(xi), (3)(iii), (4)(x), and (6) added 82064
429.44 (c)(2) revised 82066
429.45 (a)(2)(ii) and (b)(2) revised; (b)(3) added 82067
429.53 (b) revised 82067
429.59 (b)(2)(i) through (iii) revised 82067
429.62 (a)(5) and (b)(2) revised; (b)(3) added 82068
429.65 (e) and (f) added 82068
429.67 (c)(2)(ii)(A)(*2*), (f)(2), (3)(i), and (ii) revised; (f)(4) added 82068
429.68 (a)(2)(ii) introductory text revised; (b) added 82069
429.69 CFR correction: (a)(1)(iii) amended 100302
429.70 (c)(5)(vi)(B) Table 2 revised 44034, 82070
429.72 (e) revised 82070
429.120 Amended 1028, 105406
429.134 (d)(4) added 37942
429.134 (g) revised 44035
429.134 (q)(5) added 82070
430 Determination 83990, 84028, 84076
430 Technical correction 84076
430.2 Amended 11547, 28962, 37942
430.2 Regulation at 89 FR 11547 eff. date confirmed 65520

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430.3 (g)(18) removed; (g)(19) through (22) and (5) through (17) redesignated as (g)(20) through (23) and (7) through (19); new (g)(5), (6), and (24) added; (g)(3) and (20) amended 25800
430.3 (o)(3) removed; (q)(4) revised 28592
430.3 (y)(4) Added 28963
430.3 CFR correction: (q)(6) revised 100722
430.5 Revised 22924
430.23 (e) revised 37943
430.21—430.27 (Subpart B) Appendix A amended 3112
430.21—430.27 (Subpart B) Appendix B amended 3113
430.21—430.27 (Subpart B) Appendix A revised 25801
430.21—430.27 (Subpart B) Appendix Y amended 28592
430.21—430.27 (Subpart B) Appendix Y1 amended 28593
430.21—430.27 (Subpart B) Appendix E amended 37943
430.21—430.27 (Subpart B) Appendix D1 and Appendix D2 amended 81305
430.21—430.27 (Subpart B) Appendix C1 and Appendix C2 amended 83617
430.21—430.27 (Subpart B) Appendix J and Appendix J2 amended 84076
430.21—430.27 (Subpart B) CFR correction: Appendix X1 amended 100722
430.32 (b) Table 3 and (2) Table 4 redesignated as (b)(1) Table 6 and (2) Table 7; (a) revised 3113
430.32 (j)(1), (2), and (3) introductory text heading revised 11547
430.32 (h)(4) added 18243
430.32 (g) revised 19126
430.32 (u) removed; (x) and (dd) revised 28963
430.32 (f) revised 31484
430.32 (d) revised 37944
430.32 (aa) revised 38834
430.32 (a) revised 50215
430.32 Regulation at 89 FR 11547 eff. date confirmed 65520
430.32 Correction: (aa)(2)(ii) revised 79374

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430.32 Regulation at 89 FR 31484 eff. date confirmed 83611
430.32 Regulation at 89 FR 19126 confirmed 84065
430.32 (d)(3) revised; (d)(4) added; eff. 3-11-25 105285

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430.32 Regulation at 87 FR 2689 confirmed 105408
430.31—430.35 (Subpart C) Appendix A amended 24359