



Energy Conservation Program for  
Consumer Products and Commercial  
and Industrial Equipment

Appliance Standards  
Program Schedule - CCE  
Overview and Update  
November 14, 2011  
AHRI Annual Meeting 2011

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# Next Scheduled Document for Active DOE Standards Rulemakings

<b>Product</b>	<b>Stage</b>	<b>Scheduled Issuance</b>
Fans, Blowers, and Fume Hoods	Request for Information	Issued
Commercial/Industrial Pumps	Coverage Determination	Issued
Walk-in Coolers and Freezers	NOPR	Fall/Winter 2011
Commercial Ice Makers	Preliminary Analysis	Winter 2011
Commercial/Industrial Equipment in ASHRAE 90.1	NOPR	Winter 2011
Packaged Terminal Air Conditioners	Framework Document	Winter 2011
Commercial Refrigeration Equipment	NOPR	Spring 2012
Furnace Fans	Preliminary Analysis	Spring 2012

# Next Scheduled Document for Active DOE TP Rulemakings

<b>Product</b>	<b>Stage</b>	<b>Scheduled Issuance</b>
Central Air Conditioners	TP Final Rule	Winter 2011
Commercial Refrigeration Equipment	TP Final Rule	Winter 2011
Automatic Commercial Ice Makers	TP Final Rule	Winter 2011/Spring 2012
Furnace Fans	TP NOPR	Spring 2012
Commercial Equipment in ASHRAE 90.1	TP NOPR	Spring 2012

## **Notice of Proposed Rulemaking on Alternative Methods of Determining Efficiency, Tentative Fall 2011**

### **Issues under consideration:**

- Current procedures used by industry to rate low-volume, custom built commercial equipment;
- Current applications of DOE's AEDM/ARM procedures;
- Products to which AEDM/ARM should apply;
- Data to demonstrate ability of AEDM/ARM to estimate energy efficiency/consumption; and
- Procedures governing substantiation and verification of AEDMs and ARMs.
- AHRI's AEDM proposal.

**Notice of Availability  
of a Framework  
Document for  
Regional Standards  
Enforcement of  
Residential HVAC  
Equipment, Tentative  
Fall 2011**

**Issues under consideration:**

- Discussion of Potential Regional Standards Enforcement Schemes
- Certification of Regional Standards

**Notice of Proposed  
Rulemaking for  
Certification,  
Compliance, and  
Enforcement  
Provisions, Tentative  
Winter 2011**

**Issues under consideration:**

- Electric Motors CCE
- Industry Verification Programs
- Refining Certification Requirements
- Laboratory Accreditation
- Implementing “Lessons-Learned” from the Past Year

## **Supplemental Notice of Proposed Rulemaking for the Central Air Conditioner and Heat Pump Test Procedure**

**Published in the Federal Register on October 24, 2011.**

- Presented a revised methodology for measuring the off-mode consumption of central air conditioners and heat pumps.
- DOE proposed that the revised applicable test and calculation combination depends on whether the tested unit is equipped with a crankcase heater and whether or not the crankcase heater operation is controlled by the unit during the test.
- DOE proposed provisions for larger tonnage and two compressor systems.
- Presented data from DOE testing of off-mode consumption using this new methodology.
- Comment Period closes November 23, 2011.



## **Notice of Proposed Rulemaking for Energy Conservation Standards Regarding Walk-In Coolers and Freezers**

- Currently in development and tentatively scheduled for release in the Winter 2011.
- Received by OMB's Office of Information and Regulatory Affairs on September 23, 2011
- Performance-based standards will reflect the recent test procedure amendments published by DOE on April 15, 2011.

- **New Model Certification Requirements:**
  - Currently Effective for Residential HVAC and WH Products, Residential Refrigeration Products, and Walk-in Coolers and Freezers
  - Effective August 31, 2012 for Beverage Vending Machines.
  - Effective December 31, 2012 for Commercial HVAC and WH Equipment, Commercial Refrigeration Equipment, and Automatic Commercial Ice Makers
  - These requirements are applicable to all models entered into commerce on or after the compliance date for certification..
  - Submit certification report before distribution in commerce for all new models.
- Only electronic submission accepted. Submit online at <https://www.regulations.doe.gov/ccms> using product-specific, Excel templates provided by DOE.
- During the year, recertify if the redesign of an existing model increases energy consumption or decreases energy efficiency resulting in product re-rating.

- Annual Certification Requirement Includes:
  - Discontinued Models - All discontinued basic models previously certified that have not previously been reported as discontinued (Action = "D" for Discontinued);
  - Existing/Carryover Models - All previously certified basic models that are still in distribution in commerce that are unchanged (Action = "E" for existing/carryover model);
  - Correction/Revision to Previously Certified Basic Model - All previously certified basic models that are still in distribution in commerce but for which the manufacturer needs to report new or changed information (Action = "C" for Correction)
  - New Basic Model - Any new models that have not been previously certified that a manufacturer anticipates offering for distribution in commerce (Action = "N" for New).
- No additional certification testing required for annual submission.

- Annual Certification Dates (Submittal Must be Made By):
  - Annual certification requirement effective once initial compliance with certification is required.
  - March 1<sup>st</sup>: Residential Water Heaters, Residential Furnaces, Residential Boilers, Residential Pool Heaters, Commercial Water Heating Equipment, and Commercial Heating Equipment (e.g., Boilers, Furnaces, Unit Heaters);
  - July 1<sup>st</sup>: Residential Central Air Conditioners and Heat Pumps, SDHVs, Space Constrained, and Commercial Cooling Equipment (e.g., PTACs, SPVUs);
  - August 1<sup>st</sup>: Commercial Refrigeration Equipment, Automatic Commercial Ice Makers, Walk-In Coolers and Freezers, Refrigerated Bottled or Canned Beverage Vending Machines
  - October 1<sup>st</sup>: Direct Heating Equipment

- ENERGY STAR Verification Testing Program (FY2011)
  - Test approximately 100 ENERGY STAR-listed products purchased from retail, including refrigerators, room air conditioners, central air conditioners, clothes washers, dishwashers, and water heaters.
- Assessment Testing
  - Target testing from retail that encompass a variety of covered product types.
- Test Data Reviews
  - Review manufacturer test data underlying the certified ratings.
- Enforcement Testing
  - Test a minimum sample of four when DOE has a reason to believe potential noncompliance.
- Complaints
  - Investigate all complaints using one of the methods described above.
  - Follow-up on all failures/notifications from Industry Verification Programs.
- Outreach
  - Conduct webinars and presentation seminars to answer questions and explain obligations to the manufacturers.

- **Certifications**
  - Over 1 million products have been certified to DOE since January 1, 2010.
  - 100-percent of certifications are reviewed by DOE.
- **Enforcement Cases**
  - 200+ Enforcement Actions
  - Removed 80+ Products from the market.
  - Collected over \$800,000 in civil penalties for violations.
  - Enforcement news: <http://energy.gov/gc/enforcement-news>
- **Online, Public, Searchable Certification Database**
  - DOE is prepared to launch by the end of the year (2011).
- **Guidance Database**
  - DOE released a guidance database in September 2011, which houses questions DOE has received regarding scope of coverage, definitions, test procedures, standards applicability, certification, and enforcement.
  - <http://www1.eere.energy.gov/guidance/default.aspx?pid=2&spid=1>

- Since January 1, 2010, DOE has received over a million certification submissions.
- Some of these submissions have required follow-up action by the Department. The most common mistakes include:
  - Missing manufacturer information;
  - Missing product information, including leaving sample size or individual model number column blank;
  - Certifying with an invalid sample size; and
  - Third-party authorization forms not properly filed.
- In response to an incomplete certification submission, DOE follows-up with the manufacturer directly regardless of the entity that submitted the certification. Compliance with the Department's regulations is the responsibility of the manufacturer.
- The Department currently has a variety of certification reports submitted by AHRI that need correcting.
- DOE has been working with AHRI to resolve these problems; however, DOE continues to receive invalid/incomplete certification reports.
- The Office of Enforcement plans to contact each manufacturer directly detailing the issues that are in need of correction.
- All incomplete or incorrect certification submissions must be resubmitted.

- Example Certification Submission Requiring Follow-Up by the Department

DOE F 220.3 (Expiration Date: February 3, 2014)

Product Type: **Residential Central Air Conditioners and Heat Pumps**

Version 4.3

Status of This Certification Sheet

**Error**

Overall Status of Template

**Error**

I am a(n) (check one only):

- Domestic Manufacturer  
 Importer  
 Third-Party Representative

The third-party representative includes industry organizations submitting on behalf of their members, foreign manufacturers who do not import and are submitting on behalf of their importers, private labelers submitting on behalf of an importer or domestic manufacturers, third-party testing organizations submitting on behalf of a manufacturer, etc.

Submitter Information (Required for all submissions):

Company Name:	US Department of Energy
Company Address:	950 L'Enfant Plaza Washington, DC 20585
Contact Name:	Ashley Armstrong
Contact Telephone Number:	2025866590
Contact Fax Number:	2025861000
Contact email address:	<b>Please enter required data</b>

Equipment for the U.S. Customer



<b>Submit a Question:</b>	<ul style="list-style-type: none"><li>DOE Test Procedure Website: <a href="http://www.eere.energy.gov/guidance/default.aspx?pid=2&amp;spid=1">http://www.eere.energy.gov/guidance/default.aspx?pid=2&amp;spid=1</a></li><li>Ashley Armstrong: <a href="mailto:Ashley.Armstrong@EE.Doe.Gov">Ashley.Armstrong@EE.Doe.Gov</a></li></ul>
<b>Request a Test Procedure Waiver:</b>	<ul style="list-style-type: none"><li>DOE's regulations allow manufacturers to apply for a waiver when a manufacturer determines that a given basic model contains one or more design features that prevent testing in accordance with DOE's test procedure.</li><li>Email: <a href="mailto:AS_Waiver_Requests@ee.doe.gov">AS_Waiver_Requests@ee.doe.gov</a></li></ul>
<b>File a Complaint:</b>	<p>Email: <a href="mailto:energyefficiencyenforcement@hq.doe.gov">energyefficiencyenforcement@hq.doe.gov</a>.</p> <p>The Office of Enforcement will protect the identity of complainants to the maximum extent permitted by law.</p>
<b>DOE's Certification, Compliance, and Enforcement Website:</b>	<a href="http://www.eere.energy.gov/buildings/appliance_standards/certification_enforcement.html">http://www.eere.energy.gov/buildings/appliance_standards/certification_enforcement.html</a>
<b>DOE's Online Certification System:</b>	<a href="https://www.regulations.doe.gov/ccms/">https://www.regulations.doe.gov/ccms/</a>
<b>Enforcement Information:</b>	<a href="http://gc.doe.gov/energy_efficiency_enforcement.htm">http://gc.doe.gov/energy_efficiency_enforcement.htm</a>