whichever is less, i.e., if $\bar{X}_2 >$ min (UCL_2, 1.05 EPS), the basic model is in noncompliance and testing is at an end.

(2) If the mean of the combined sample ($\bar{X}_2$) is equal to or less than the upper control limit (UCL_2) or 105 percent of the applicable energy or water performance standard (EPS), whichever is less, i.e., if $\bar{X}_2 \leq$ min (UCL_2, 1.05 EPS), the basic model is in compliance and testing is at an end.

Manufacturer-Option Testing

If a determination of non-compliance is made in Steps 6, 7 or 11, the manufacturer may request that additional testing be conducted, in accordance with the following procedures.

Step A. The manufacturer requests that an additional number, N_3, of units be tested, with N_3 chosen such that $N_1+N_2+N_3$ does not exceed 20.

Step B. Compute the mean energy or water performance, standard error, and lower or upper control limit of the new combined sample in accordance with the procedures prescribed in Steps 8, 9, and 10, above.

Step C. Compare the mean performance of the new combined sample to the revised lower or upper control limit to determine one of the following:

a.1. For an Energy Efficiency Standard, if the new combined sample mean is equal to or greater than the lower control limit or 95 percent of the applicable energy efficiency standard, whichever is greater, the basic model is in compliance and testing is at an end.

a.2. For an Energy or Water Consumption Standard, if the new combined sample mean is equal to or less than the upper control limit or 105 percent of the applicable energy or water consumption standard, whichever is less, the basic model is in compliance and testing is at an end.

b.1. For an Energy Efficiency Standard, if the new combined sample mean is less than the lower control limit or 95 percent of the applicable energy efficiency standard, whichever, is greater, and the value of $N_1+N_2+N_3$ is less than 20, the manufacturer may request that additional units be tested. The total of all units tested may not exceed 20. Steps A, B, and C are then repeated.

b.2. For an Energy or Water Consumption Standard, if the new combined sample mean is greater than the upper control limit or 105 percent of the applicable energy or water consumption standard, whichever is less, and the value of $N_1+N_2+N_3$ is less than 20, the manufacturer may request that additional units be tested. The total of all units tested may not exceed 20. Steps A, B, and C are then repeated.

c. Otherwise, the basic model is determined to be in noncompliance.

[63 FR 13321, Mar. 18, 1998]

PART 431—ENERGY EFFICIENCY PROGRAM FOR CERTAIN COMMERCIAL AND INDUSTRIAL EQUIPMENT

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APPENDIX B TO SUBPART G OF PART 431—SAMPLING PLAN FOR ENFORCEMENT TESTING

AUTHORITY: 42 U.S.C. 6311–6316

SOURCE: 64 FR 54141, Oct. 5, 1999, unless otherwise noted.

Subpart A—General Provisions

§ 431.1 Purpose and scope.

This part establishes the regulations for the implementation of Part C of Title III of the Energy Policy and Conservation Act, as amended, 42 U.S.C. 6311–6316, which establishes an energy conservation program for certain industrial equipment.

§ 431.2 Definitions.

For purposes of this part, words shall be defined as provided for in section 340 of the Act and as follows—

Accreditation means recognition by an accreditation body that a laboratory is competent to test the efficiency of electric motors according to the scope and procedures given in Test Method B of IEEE Standard 112–1996, *Test Procedure for Polyphase Induction Motors and Generators*, and Test Method (1) of CSA Standard C390–93, *Energy Efficient Test Methods for Three-Phase Induction Motors*.

Accreditation body means an organization or entity that conducts and administers an accreditation system and grants accreditation.

Accreditation system means a set of requirements to be fulfilled by a testing laboratory, as well as rules of procedure and management, that are used to accredit laboratories.

Accredited laboratory means a testing laboratory to which accreditation has been granted.

Act means the Energy Policy and Conservation Act of 1975, as amended (42 U.S.C. 6291 *et seq.*).

Alternative efficiency determination method or *AEDM* means a method of calculating the total power loss and average full load efficiency of an electric motor.

Average full load efficiency means the arithmetic mean of the full load efficiencies of a population of electric motors of duplicate design, where the full load efficiency of each motor in the population is the ratio (expressed as a percentage) of the motor's useful power output to its total power input when the motor is operated at its full rated load, rated voltage, and rated frequency.

Basic model means all units of a given type of covered equipment (or class thereof) manufactured by a single manufacturer, and, with respect to electric motors, which have the same rating, have electrical characteristics that are essentially identical, and do not have any differing physical or functional characteristics which affect energy consumption or efficiency. For the purpose of this definition, ''rating'' means one of the 113 combinations of an electric motor's horsepower (or standard kilowatt equivalent), number of poles, and open or enclosed construction, with respect to which § 431.42 prescribes nominal full load efficiency standards.

Certificate of conformity means a document that is issued by a certification program, and that gives written assurance that an electric motor complies with the energy efficiency standard applicable to that motor, as specified in 10 CFR 431.42.

Certification program means a certification system that determines conformity by electric motors with the energy efficiency standards prescribed by and pursuant to the Act.

Certification system means a system, that has its own rules of procedure and management, for giving written assurance that a product, process, or service conforms to a specific standard or other specified requirements, and that

is operated by an entity independent of both the party seeking the written assurance and the party providing the product, process or service.

Covered equipment means industrial equipment of a type specified in section 340 of the Act.

CSA means CSA International.

Definite purpose motor means any motor designed in standard ratings with standard operating characteristics or standard mechanical construction for use under service conditions other than usual, such as those specified in NEMA Standards Publication MG1–1993, *Motors and Generators*, paragraph 14.03, ''Unusual Service Conditions,'' or for use on a particular type of application, and which cannot be used in most general purpose applications.

DOE or *the Department* means the Department of Energy.

Electric motor is defined as follows:

(1) ''Electric motor'' means a machine which converts electrical power into rotational mechanical power and which:

(i) is a general purpose motor, including but not limited to motors with explosion-proof construction;

(ii) is a single speed, induction motor (MG1);

(iii) is rated for continuous duty (MG1) operation, or is rated duty type S1 (IEC);

(iv) contains a squirrel-cage (MG1) or cage (IEC) rotor, and has foot-mounting, including foot-mounting with flanges or detachable feet;

(v) is built in accordance with NEMA T-frame dimensions (MG1), or IEC metric equivalents (IEC);

(vi) has performance in accordance with NEMA Design A (MG1) or B (MG1) characteristics, or equivalent designs such as IEC Design N (IEC); and

(vii) operates on polyphase alternating current 60-Hertz sinusoidal power, and:

(A) is rated 230 volts or 460 volts, or both, including any motor that is rated at multi-voltages that include 230 volts or 460 volts, or

(B) can be operated on 230 volts or 460 volts, or both.

(2) Terms in this definition followed by the parenthetical ''MG1'' must be construed with reference to provisions in NEMA Standards Publication MG1–1993, *Motors and Generators*, with Revisions 1, 2, 3 and 4, as follows:

(i) Section I, *General Standards Applying to All Machines*, Part 1, *Referenced Standards and Definitions*, paragraphs 1.16.1, 1.16.1.1, 1.17.1.1, 1.17.1.2, and 1.40.1 pertain to the terms ''induction motor,'' ''squirrel-cage,'' ''NEMA Design A,'' ''NEMA Design B,'' and ''continuous duty'' respectively;

(ii) Section I, *General Standards Applying to All Machines*, Part 4, *Dimensions, Tolerances, and Mounting*, paragraph 4.01 and Figures 4–1, 4–2, 4–3, and 4–4 pertain to ''NEMA T-frame dimensions;''

(iii) Section II, *Small (Fractional) and Medium (Integral) Machines*, Part 11, *Dimensions—AC and DC Small and Medium Machines*, paragraphs 11.01.2, 11.31 (except the lines for frames 447T, 447TS, 449T and 449TS), 11.32, 11.34 (except the line for frames 447TC and 449TC, and the line for frames 447TSC and 449TSC), 11.35, and 11.36 (except the line for frames 447TD and 449TD, and the line for frames 447TSD and 449TSD), and Table 11–1, pertain to ''NEMA T-frame dimensions;'' and

(iv) Section II, *Small (Fractional) and Medium (Integral) Machines*, Part 12, *Tests and Performance—AC and DC Motors*, paragraphs 12.35.1, 12.35.5, 12.38.1, 12.39.1, and 12.40.1, and Table 12–2, pertain both to ''NEMA Design A'' and ''NEMA Design B.''

(3) Terms in this definition followed by the parenthetical ''IEC'' must be construed with reference to provisions in IEC Standards as follows:

(i) IEC Standard 60034–1 (1996), *Rotating electrical machines*, Part 1: *Rating and performance*, with Amendment 1 (1997), Section 3: *Duty*, clause 3.2.1 and figure 1 pertain to ''duty type S1'';

(ii) IEC Standard 60050–411 (1996), *International Electrotechnical Vocabulary Chapter 411: Rotating machines*, sections 411–33–07 and 411–37–26, pertain to ''cage'';

(iii) IEC Standard 60072–1 (1991), *Dimensions and output series for rotating electrical machines—Part 1: Frame numbers 56 to 400 and flange numbers 55 to 1080*, clauses 2, 3, 4.1, 6.1, 7, and 10, and Tables 1, 2 and 4, pertain to ''IEC metric equivalents'' to ''T-frame'' dimensions; and

(iv) IEC Standard 60034–12 (1980), *Rotating electrical machines, Part 12: Starting performance of single-speed three-phase cage induction motors for voltages up to and including 660 V*, with Amendment 1 (1992) and Amendment 2 (1995), clauses 1, 2, 3.1, 4, 5, and 6, and Tables I, II, and III, pertain to ''IEC Design N.''

Enclosed motor means an electric motor so constructed as to prevent the free exchange of air between the inside and outside of the case but not sufficiently enclosed to be termed airtight.

EPCA means the Energy Policy and Conservation Act of 1975, as amended (42 U.S.C. 6291 *et seq.*).

General purpose motor means any motor which is designed in standard ratings with either:

(1) Standard operating characteristics and standard mechanical construction for use under usual service conditions, such as those specified in NEMA Standards Publication MG1–1993, paragraph 14.02, ''Usual Service Conditions,'' and without restriction to a particular application or type of application; or

(2) Standard operating characteristics or standard mechanical construction for use under unusual service conditions, such as those specified in NEMA Standards Publication MG1–1993, paragraph 14.03, ''Unusual Service Conditions,'' or for a particular type of application, and which can be used in most general purpose applications.

IEC means the International Electrotechnical Commission.

IEEE means the Institute of Electrical and Electronics Engineers, Inc.

ISO means International Organization for Standardization.

Manufacture means to manufacture, produce, assemble, or import.

NEMA means the National Electrical Manufacturers Association.

Nominal full load efficiency of an electric motor means a representative value of efficiency selected from Column A of Table 12–8, NEMA Standards Publication MG1–1993, that is not greater than the average full load efficiency of a population of motors of the same design.

Open motor means an electric motor having ventilating openings which permit passage of external cooling air over and around the windings of the machine.

Secretary means the Secretary of the Department of Energy.

Special purpose motor means any motor, other than a general purpose motor or definite purpose motor, which has special operating characteristics or special mechanical construction, or both, designed for a particular application.

Total power loss means that portion of the energy used by an electric motor not converted to rotational mechanical power, expressed in percent.

APPENDIX A TO SUBPART A OF 10 CFR PART 431, POLICY STATEMENT FOR ELECTRIC MOTORS COVERED UNDER THE ENERGY POLICY AND CONSERVATION ACT

This is a reprint of a policy statement which was published on November 5, 1997 at 62 FR 59978.

POLICY STATEMENT FOR ELECTRIC MOTORS COVERED UNDER THE ENERGY POLICY AND CONSERVATION ACT

I. INTRODUCTION

The Energy Policy and Conservation Act (EPCA), 42 U.S.C. 6311, *et seq.*, establishes energy efficiency standards and test procedures for certain commercial and industrial electric motors manufactured (alone or as a component of another piece of equipment) after October 24, 1997, or, in the case of an electric motor which requires listing or certification by a nationally recognized safety testing laboratory, after October 24, 1999.[1] EPCA also directs the Department of Energy (DOE or Department) to implement the statutory test procedures prescribed for motors, and to require efficiency labeling of motors and certification that covered motors comply with the standards.

Section 340(13)(A) of EPCA defines the term ''electric motor'' based essentially on the construction and rating system in the National Electrical Manufacturers Association (NEMA) Standards Publication MG1. Sections 340(13)(B) and (C) of EPCA define the terms ''definite purpose motor'' and ''special purpose motor,'' respectively, for

[1] The term ''manufacture'' means ''to manufacture, produce, assemble or import.'' EPCA section 321(10). Thus, the standards apply to motors produced, assembled, imported or manufactured after these statutory deadlines.

which the statute prescribes no efficiency standards.

In its proposed rule to implement the EPCA provisions that apply to motors (61 FR 60440, November 27, 1996), DOE has proposed to clarify the statutory definition of ''electric motor,'' to mean a machine which converts electrical power into rotational mechanical power and which: (1) is a general purpose motor, including motors with explosion-proof construction;[2] (2) is a single speed, induction motor; (3) is rated for continuous duty operation, or is rated duty type S–1 (IEC)[3]; (4) contains a squirrel-cage or cage (IEC) rotor; (5) has foot-mounting, including foot-mounting with flanges or detachable feet; (6) is built in accordance with NEMA T-frame dimensions, or IEC metric equivalents (IEC); (7) has performance in accordance with NEMA Design A or B characteristics, or equivalent designs such as IEC Design N (IEC); and (8) operates on polyphase alternating current 60-Hertz sinusoidal power, and is (i) rated 230 volts or 460 volts, or both, including any motor that is rated at multi-voltages that include 230 volts or 460 volts, or (ii) can be operated on 230 volts or 460 volts, or both.

Notwithstanding the clarification provided in the proposed rule, there still appears to be uncertainty as to which motors EPCA covers. It is widely understood that the statute covers ''general purpose'' motors that are manufactured for a variety of applications, and that meet EPCA's definition of ''electric motor.'' Many modifications, however, can be made to such generic motors. Motor manufacturers have expressed concern as to precisely which motors with such modifications are covered under the statute, and as to whether manufacturers will be able to comply with the statute by October 25, 1997 with respect to all of these covered motors. Consequently, motor manufacturers have requested that the Department provide additional guidance as to which types of motors are ''electric motors,'' ''definite purpose motors,'' and ''special purpose motors'' under EPCA. The policy statement that follows is based upon input from motor manufacturers and energy efficiency advocates, and provides such guidance.

II. Guidelines for Determining Whether a Motor Is Covered by EPCA

A. General

EPCA specifies minimum nominal full-load energy efficiency standards for 1 to 200 horsepower electric motors, and, to measure compliance with those standards, prescribes use of the test procedures in NEMA Standard MG1 and Institute of Electrical and Electronics Engineers, Inc., (IEEE) Standard 112. In DOE's view, as stated in Assistant Secretary Ervin's letter of May 9, 1996, to NEMA's Malcolm O'Hagan, until DOE's regulations become effective, manufacturers can establish compliance with these EPCA requirements through use of competent and reliable procedures or methods that give reasonable assurance of such compliance. So long as these criteria are met, manufacturers may conduct required testing in their own laboratories or in independent laboratories, and may employ alternative correlation methods (in lieu of actual testing) for some motors. Manufacturers may also establish their compliance with EPCA standards and test procedures through use of third party certification or verification programs such as those recognized by Natural Resources Canada. Labeling and certification requirements will become effective only after DOE has promulgated a final rule prescribing such requirements.

Motors with features or characteristics that do not meet the statutory definition of ''electric motor'' are not covered, and therefore are not required to meet EPCA requirements. Examples include motors without feet and without provisions for feet, and variable speed motors operated on a variable frequency power supply. Similarly, multi-speed motors and variable speed motors, such as inverter duty motors, are not covered equipment, based on their intrinsic design for use at variable speeds. However, NEMA Design A or B motors that are single speed, meet all other criteria under the definitions in EPCA for covered equipment, and can be used with an inverter in variable speed applications as an additional feature, are covered equipment under EPCA. In other words, being suitable for use on an inverter by itself does not exempt a motor from EPCA requirements.

Section 340(13)(F) of EPCA, defines a ''small electric motor'' as ''a NEMA general purpose alternating current single-speed induction motor, built in a two-digit frame number series in accordance with NEMA

[2] Section 342(b)(1) of EPCA recognizes that EPCA's efficiency standards cover ''motors which require listing or certification by a nationally recognized safety testing laboratory.'' This applies, for example, to explosion-proof motors which are otherwise general purpose motors.

[3] Terms followed by the parenthetical ''IEC'' are referred to in the International Electrotechnical Commission (IEC) Standard 34–1. Such terms are included in DOE's proposed definition of ''electric motor'' because DOE believes EPCA's efficiency requirements apply to metric system motors that conform to IEC Standard 34, and that are identical or equivalent to motors constructed in accordance with NEMA MG1 and covered by the statute.

Standards Publication MG 1–1987.'' Section 346 of EPCA requires DOE to prescribe testing requirements and efficiency standards only for those small electric motors for which the Secretary determines that standards are warranted. The Department has not yet made such a determination.

B. Electrical Features

As noted above, the Department's proposed definition of ''electric motor'' provides in part that it is a motor that ''operates on polyphase alternating current 60-Hertz sinusoidal power, and * * * can be operated on 230 volts or 460 volts, or both.'' In DOE's view, ''can be operated'' implicitly means that the motor can be operated successfully. According to NEMA Standards Publication MG1–1993, paragraph 12.44, ''Variations from Rated Voltage and Rated Frequency,'' alternating-current motors must operate successfully under running conditions at rated load with a variation in the voltage or the frequency up to the following: plus or minus 10 percent of rated voltage, with rated frequency for induction motors;[4] plus or minus 5 percent of rated frequency, with rated voltage; and a combined variation in voltage and frequency of 10 percent (sum of absolute values) of the rated values, provided the frequency variation does not exceed plus or minus 5 percent of rated frequency. DOE believes that, for purposes of determining whether a motor meets EPCA's definition of ''electric motor,'' these criteria should be used to determine when a motor that is not rated at 230 or 460 volts or 60 Hertz can be operated at such voltage and frequency.[5]

NEMA Standards Publication MG1 categorizes electrical modifications to motors according to performance characteristics that include locked rotor torque, breakdown torque, pull-up torque, locked rotor current, and slip at rated load, and assigns design letters, such as Design A, B, C, D, or E, to identify various combinations of such electrical performance characteristics. Under section 340(13)(A) of EPCA, electric motors subject to EPCA efficiency requirements include only motors that fall within NEMA ''Design A and B * * * as defined in [NEMA] Standards Publication MG1–1987.'' As to locked rotor torque, for example, MG1 specifies a minimum performance value for a Design A or B motor of a given speed and horsepower, and somewhat higher minimum values for Design C and D motors of the same speed and horsepower. The Department understands that, under MG1, the industry classifies a motor as Design A or B if it has a locked rotor torque at or above the minimum for A and B but below the minimum for Design C, so long as it otherwise meets the criteria for Design A or B. Therefore, in the Department's view, such a motor is covered by EPCA's requirements for electric motors. By contrast a motor that meets or exceeds the minimum locked rotor torque for Design C or D is not covered by EPCA. In sum, if a motor has electrical modifications that meet Design A or B performance requirements it is covered by EPCA, and if its characteristics meet Design C, D or E it is not covered.

C. Size

Motors designed for use on a particular type of application which are in a frame size that is one or more frame *series* larger than the frame size assigned to that rating by sections 1.2 and 1.3 of NEMA Standards Publication MG 13–1984 (R1990), ''Frame Assignments for Alternating Current Integral-Horsepower Induction Motors,'' are not, in the Department's view, usable in most general purpose applications. This is due to the physical size increase associated with a frame series change. A frame series is defined as the first two digits of the frame size designation. For example, 324T and 326T are both in the same frame series, while 364T is in the next larger frame series. Hence, in the Department's view, a motor that is of a larger frame series than normally assigned to that standard rating of motor is not covered by EPCA. A physically larger motor within the same frame series would be covered, however, because it would be usable in most general purpose applications.

Motors built in a T-frame series or a T-frame size *smaller* than that assigned by MG 13–1984 (R1990) are also considered usable in most general purpose applications. This is because simple modifications can generally be made to fit a smaller motor in place of a motor with a larger frame size assigned in conformity with NEMA MG 13. Therefore,

[4] For example, a motor that is rated at 220 volts should operate successfully on 230 volts, since 220 + .10(220) = 242 volts. A 208 volt motor, however, would not be expected to operate successfully on 230 volts, since 208 + .10(208) = 228.8 volts.

[5] The Department understands that a motor that can operate at such voltage and frequency, based on variations defined for successful operation, will not necessarily perform in accordance with the industry standards established for operation at the motor's *rated* voltage and frequency. In addition, under the test procedures prescribed by EPCA, motors are to be tested at their rated values. Therefore, in DOE's view a motor that is not rated for 230 or 460 volts, or 60 Hertz, but that can be successfully operated at these levels, must meet the energy efficiency requirements at its rated voltage(s) and frequency. DOE also notes that when a motor is rated to include a wider voltage range that includes 230/460 volts, the motor should meet the energy efficiency requirements at 230 volts or 460 volts.

DOE believes that such smaller motors are covered by EPCA.

D. Motors with Seals

Some electric motors have seals to prevent ingress of water, dust, oil, and other foreign materials into the motor. DOE understands that, typically, a manufacturer will add seals to a motor that it manufactures, so that it will sell two motors that are identical except that one has seals and the other does not. In such a situation, if the motor without seals is ''general purpose'' and covered by EPCA's efficiency requirements, then the motor with seals will also be covered because it can still be used in most general purpose applications. DOE understands, however, that manufacturers previously believed motors with seals were not covered under EPCA, in part because IEEE Standard 112, ''Test Procedure for Polyphase Induction Motors and Generators,'' prescribed by EPCA, does not address how to test a motor with seals installed.

The efficiency rating of such a motor, if determined with seals installed and when the motor is new, apparently would significantly understate the efficiency of the motor as operated. New seals are stiff, and provide friction that is absent after their initial break-in period. DOE understands that, after this initial period, the efficiency ratings determined for the same motor with and without seals would be virtually identical. To construe EPCA, therefore, as requiring such separate efficiency determinations would impose an unnecessary burden on manufacturers.

In light of the foregoing, the Department believes that EPCA generally permits the efficiency of a motor with seals to be determined without the seals installed. Furthermore, notwithstanding the prior belief that such motors are not covered by EPCA, use of this approach to determining efficiency will enable manufacturers to meet EPCA's standards with respect to covered motors with seals by the date the standards go into effect on October 25, 1997.

III. Discussion of How DOE Would Apply EPCA Definitions, Using the Foregoing Guidelines

Using the foregoing guidelines, the attached matrix provides DOE's view as to which motors with common features are covered by EPCA. Because manufacturers produce many basic models that have many modifications of generic general purpose motors, the Department does not represent that the matrix is all-inclusive. Rather it is a set of examples demonstrating how DOE would apply EPCA definitions, as construed by the above guidelines, to various motor types. By extension of these examples, most motors currently in production, or to be designed in the future, could probably be classified. The matrix classifies motors into five categories, which are discussed in the following passages.

Category I—For ''electric motors'' (manufactured alone or as a component of another piece of equipment) in Category I, DOE will enforce EPCA efficiency standards and test procedures beginning on October 25, 1997

The Department understands that some motors essentially are relatively simple modifications of generic general purpose motors. Modifications could consist, for example, of minor changes such as the addition of temperature sensors or a heater, the addition of a shaft extension and a brake disk from a kit, or changes in exterior features such as the motor housing. Such motors can still be used for most general purpose applications, and the modifications have little or no effect on motor performance. Nor do the modifications affect energy efficiency.

Category II—For certain motors that are ''definite purpose'' according to present industry practice, but that can be used in most general purpose applications, DOE will generally enforce EPCA efficiency standards and test procedures beginning no later than October 25, 1999

General Statement

EPCA does not prescribe standards and test procedures for ''definite purpose motors.'' Section 340(13)(B) of EPCA defines the term ''definite purpose motor'' as ''any motor designed in standard ratings with standard operating characteristics or standard mechanical construction for use under service conditions other than usual or for use on a particular type of application *and which cannot be used in most general purpose applications*.'' [Emphasis added.] Except, significantly, for exclusion of the italicized language, the industry definition of ''definite purpose motor,'' set forth in NEMA MG1, is identical to the foregoing.

Category II consists of electric motors with horsepower ratings that fall between the horsepower ratings in section 342(b)(1) of EPCA, thermally protected motors, and motors with roller bearings. As with motors in Category I, these motors are essentially modifications of generic general purpose motors. Generally, however, the modifications contained in these motors are more extensive and complex than the modifications in Category I motors. These Category II motors have been considered ''definite purpose'' in common industry parlance, but are covered equipment under EPCA because they *can be used in most general purpose applications*.

According to statements provided during the January 15, 1997, Public Hearing, Tr. pgs.

238–239, Category II motors were, until recently, viewed by most manufacturers as definite purpose motors, consistent with the industry definition that did not contain the clause ''which cannot be used in most general purpose applications.'' Hence, DOE understands that many manufacturers assumed these motors were not subject to EPCA's efficiency standards. During the period prior and subsequent to the hearing, discussions among manufacturers resulted in a new understanding that such motors are general purpose under EPCA, since they *can* be used in most general purpose applications. Thus, the industry only recently recognized that such motors are covered under EPCA. Although the statutory definition adopted in 1992 contained the above-quoted definition of ''definite purpose,'' the delay in issuing regulations which embody this definition may have contributed to industry's delay in recognizing that these motors are covered.

The Department understands that redesign and testing these motors in order to meet the efficiency standards in the statute may require a substantial amount of time. Given the recent recognition that they are covered, it is not realistic to expect these motors will be able to comply by October 25, 1997. A substantial period beyond that will be required. Moreover, the Department believes different manufacturers will need to take different approaches to achieving compliance with respect to these motors, and that, for a particular type of motor, some manufacturers will be able to comply sooner than others. Thus, the Department intends to refrain from taking enforcement action for two years, until October 25, 1999, with respect to motors with horsepower ratings that fall between the horsepower ratings in section 342(b)(1) of EPCA, thermally protected motors, and motors with roller bearings. Manufacturers are encouraged, however, to manufacture these motors in compliance with EPCA at the earliest possible date.

The following sets forth in greater detail, for each of these types of motors, the basis for the Department's policy to refrain from enforcement for two years. Also set forth is additional explanation of the Department's understanding as to why manufacturers previously believed intermediate horsepower motors were not covered by EPCA.

Intermediate Horsepower Ratings

Section 342(b)(1) of EPCA specifies efficiency standards for electric motors with 19 specific horsepower ratings, ranging from one through 200 horsepower. Each is a preferred or standardized horsepower rating as reflected in the table in NEMA Standards Publication MG1–1993, paragraph 10.32.4, *Polyphase Medium Induction Motors*. However, an ''electric motor,'' as defined by EPCA, can be built at other horsepower ratings, such as 6 horsepower, 65 horsepower, or 175 horsepower. Such motors, rated at horsepower levels between any two adjacent horsepower ratings identified in section 342(b)(1) of EPCA will be referred to as ''intermediate horsepower motors.'' In the Department's view, efficiency standards apply to every motor that has a rating from one through 200 horsepower (or kilowatt equivalents), and that otherwise meets the criteria for an ''electric motor'' under EPCA, including an electric motor with an intermediate horsepower (or kW) rating.

To date, these motors have typically been designed in conjunction with and supplied to a specific customer to fulfill certain performance and design requirements of a particular application, as for example to run a certain type of equipment. See the discussion in Section IV below on ''original equipment'' and ''original equipment manufacturers.'' In large part for these reasons, manufacturers believed intermediate horsepower motors to be ''definite purpose motors'' that were not covered by EPCA. Despite their specific uses, however, these motors are electric motors under EPCA when they are capable of being used in most general purpose applications.

Features of a motor that are directly related to its horsepower rating include its physical size, and the ratings of its controller and protective devices. These aspects of a 175 horsepower motor, for example, which is an intermediate horsepower motor, must be appropriate to that horsepower, and would generally differ from the same aspects of 150 and 200 horsepower motors, the two standard horsepower ratings closest to 175. To re-design an existing intermediate horsepower electric motor so that it complies with EPCA could involve all of these elements of a motor's design. For example, the addition of material necessary to achieve EPCA's prescribed level of efficiency could cause the size of the motor to increase. The addition of magnetic material would invite higher inrush current that could cause an incorrectly sized motor controller to malfunction, or the circuit breaker with a standard rating to trip unnecessarily, or both. The Department believes motor manufacturers will require a substantial amount of time to redesign and retest each intermediate horsepower electric motor they manufacture.

To the extent such intermediate horsepower electric motors become unavailable because motor manufacturers have recognized only recently that they are covered by EPCA, equipment in which they are incorporated would temporarily become unavailable also. Moreover, re-design of such a motor to comply with EPCA could cause changes in the motor that require re-design of the equipment in which the motor is used. For example, if an intermediate horsepower electric motor becomes larger, it might no

longer fit in the equipment for which it was designed. In such instances, the equipment would have to be re-designed. Because these motors were previously thought not to be covered, equipment manufacturers may not have had sufficient lead time to make the necessary changes to the equipment without interrupting its production.

With respect to intermediate horsepower motors, the Department intends to refrain from enforcing EPCA for a period of 24 months only as to such motor designs that were being manufactured prior to the date this Policy Statement was issued. The Department is concerned that small adjustments could be made to the horsepower rating of an existing electric motor, in an effort to delay compliance with EPCA, if it delayed enforcement as to all intermediate horsepower motors produced during the 24 month period. For example, a 50 horsepower motor that has a service factor of 1.15 could be renameplated as a 57½ horsepower motor that has a 1.0 service factor. By making this delay in enforcement applicable only to pre-existing designs of intermediate horsepower motors, the Department believes it has made adequate provision for the manufacture of bona fide intermediate horsepower motor designs that cannot be changed to be in compliance with EPCA by October 25, 1997.

Thermally Protected Motors

The Department understands that in order to redesign a thermally protected motor to improve its efficiency so that it complies with EPCA, various changes in the windings must be made which will require the thermal protector to be re-selected. Such devices sense the inrush and running current of the motor, as well as the operating temperature. Any changes to a motor that affect these characteristics will prevent the protector from operating correctly. When a new protector is selected, the motor must be tested to verify proper operation of the device in the motor. The motor manufacturer would test the locked rotor and overload conditions, which could take several days, and the results may dictate that a second selection is needed with additional testing. When the manufacturer has finished testing, typically the manufacturer will have a third party conduct additional testing. This testing may include cycling the motor in a locked-rotor condition to verify that the protector functions properly. This testing may take days or even weeks to perform for a particular model of motor.

Since it was only recently recognized by industry that these motors are covered by EPCA, in the Department's view the total testing program makes it impossible for manufacturers to comply with the EPCA efficiency levels in thermally protected motors by October 25, 1997, especially since each different motor winding must be tested and motor winding/thermal protector combinations number in the thousands.

Motors With Roller Bearings

Motors with roller bearings fit within the definition of electric motor under the statute. However, because the IEEE Standard 112 Test Method B does not provide measures to test motors with roller bearings installed, manufacturers mistakenly believed such motors were not covered. Under IEEE Standard 112, a motor with roller bearings could only be tested for efficiency with the roller bearings removed and standard ball bearings installed as temporary substitutes. Then on the basis of the energy efficiency information gained from that test, the manufacturer may need to redesign the motor in order to comply with the statute. In this situation, the Department understands that testing, redesigning, and retesting lines of motors with roller bearings, to establish compliance, would be difficult and time consuming.

Categories III, IV and V—Motors not within EPCA's definition of ''electric motor,'' and not covered by EPCA

Close-coupled Pump Motors

NEMA Standards Publication MG1–1993, with revisions one through three, Part 18, ''Definite-Purpose Machines,'' defines ''a face-mounting close-coupled pump motor'' as ''a medium alternating-current squirrel-cage induction open or totally enclosed motor, with or without feet, having a shaft suitable for mounting an impeller and sealing device.'' Paragraphs MG1–18.601–18.614 specify its performance, face and shaft mounting dimensions, and frame assignments that replace the suffix letters T and TS with the suffix letters JM and JP.

The Department understands that such motors are designed in standard ratings with standard operating characteristics for use in certain close-coupled pumps and pumping applications, but cannot be used in non-pumping applications, such as, for example, conveyors. Consequently, the Department believes close-coupled pump motors are definite-purpose motors not covered by EPCA. However, a motor that meets EPCA's definition of ''electric motor,'' and which can be coupled to a pump, for example by means of a C-face or D-flange endshield, as depicted in NEMA Standards Publication MG1, Part 4, ''Dimensions, Tolerances, and Mounting,'' is covered.

Totally-enclosed Non-ventilated (TENV) and Totally-enclosed Air-over (TEAO) Motors

A motor designated in NEMA MG1–1993, paragraph MG1–1.26.1, as ''totally-enclosed

non-ventilated (IP54, IC410)''[6] is ''not equipped for cooling by means external to the enclosing parts.'' This means that the motor, when properly applied, does not require the use of any additional means of cooling installed external to the motor enclosure. The TENV motor is cooled by natural conduction and natural convection of the motor heat into the surrounding environment. As stated in NEMA MG1–1993, Suggested Standard for Future Design, paragraph MG1–1.26.1a, a TENV motor ''is only equipped for cooling by free convection.'' The general requirement for the installation of the TENV motor is that it not be placed in a restricted space that would inhibit this natural dissipation of the motor heat. Most general purpose applications use motors which include a means for forcing air flow through or around the motor and usually through the enclosed space and, therefore, can be used in spaces that are more restrictive than those required for TENV motors. Placing a TENV motor in such common restricted areas is likely to cause the motor to overheat. The TENV motor may also be larger than the motors used in most general purpose applications, and would take up more of the available space, thus reducing the size of the open area surrounding the motor. Installation of a TENV motor might require, therefore, an additional means of ventilation to continually exchange the ambient around the motor.

A motor designated in NEMA MG1–1993 as ''totally-enclosed air-over (IP54, IC417)'' is intended to be cooled by ventilation means external to (i.e., separate and independent from) the motor, such as a fan. The motor must be provided with the additional ventilation to prevent it from overheating.

Consequently, neither the TENV motor nor the TEAO motor would be suitable for most general purpose applications, and, DOE believes they are definite-purpose motors not covered by EPCA.

Integral Gearmotors

An ''integral gearmotor'' is an assembly of a motor and a specific gear drive or assembly of gears, such as a gear reducer, as a unified package. The motor portion of an integral gearmotor is not necessarily a complete motor, since the end bracket or mounting flange of the motor portion is also part of the gear assembly and cannot be operated when separated from the complete gear assembly. Typically, an integral gearmotor is not manufactured to standard T-frame dimensions specified in NEMA MG1. Moreover, neither the motor portion, nor the entire integral gearmotor, are capable of being used in most general purpose applications without significant modifications. An integral gearmotor is also designed for a specific purpose and can have unique performance characteristics, physical dimensions, and casing, flange and shafting configurations. Consequently, integral gearmotors are outside the scope of the EPCA definition of ''electric motor'' and are not covered under EPCA.

However, an ''electric motor,'' as defined by EPCA, which is connected to a stand alone mechanical gear drive or an assembly of gears, such as a gear reducer connected by direct coupling, belts, bolts, a kit, or other means, is covered equipment under EPCA.

IV. Electric Motors That Are Components in Certain Equipment

The primary function of an electric motor is to convert electrical energy to mechanical energy which then directly drives machinery such as pumps, fans, or compressors. Thus, an electric motor is always connected to a driven machine or apparatus. Typically the motor is incorporated into a finished product such as an air conditioner, a refrigerator, a machine tool, food processing equipment, or other commercial or industrial machinery. These products are commonly known as ''original equipment'' or ''end-use equipment,'' and are manufactured by firms known as ''original equipment manufacturers'' (OEMs).

Many types of motors used in original equipment are covered under EPCA. As noted above, EPCA prescribes efficiency standards to be met by all covered electric motors manufactured after October 24, 1997, except that covered motors which require listing or certification by a nationally recognized safety testing laboratory need not meet the standards until after October 24, 1999. Thus, for motors that must comply after October 24, 1997, once inventories of motors manufactured before the deadline have been exhausted, only complying motors would be available for purchase and use by OEMs in manufacturing original equipment. Any non-complying motors previously included in such equipment would no longer be available.

The physical, and sometimes operational, characteristics of motors that meet EPCA efficiency standards normally differ from the

[6] IP refers to the IEC Standard 34–5: Classification of degrees of protection provided by enclosures for rotating machines. IC refers to the IEC Standard 34–6: Methods of cooling rotating machinery. The IP and IC codes are referenced in the NEMA designations for TENV and TEAO motors in MG1–1993 Part 1, ''Classification According to Environmental Protection and Methods of Cooling,'' as a Suggested Standard for Future Design, since the TENV and TEAO motors conform to IEC Standards. Details of protection (IP) and methods of cooling (IC) are defined in MG1 Part 5 and Part 6, respectively.

characteristics of comparable existing motors that do not meet those standards. In part because of such differences, the Department is aware of two types of situations where strict application of the October 24, 1997 deadline could temporarily prevent the manufacture of, and remove from the marketplace, currently available original equipment.

One such situation is where an original equipment manufacturer uses an electric motor as a component in end-use equipment that requires listing or certification by a nationally recognized safety testing laboratory, even though the motor itself does not require listing or certification. In some of these instances, the file for listing or certification specifies the particular motor to be used. No substitution could be made for the motor without review and approval of the new motor and the entire system by the safety testing laboratory. Consequently, a specified motor that does not meet EPCA standards could not be replaced by a complying motor without such review and approval.

This re-listing or re-certification process is subject to substantial variation from one piece of original equipment to the next. For some equipment, it could be a simple paperwork transaction between the safety listing or certification organization and the OEM, taking approximately four to eight weeks to complete. But the process could raise more complex system issues involving redesign of the motor or piece of equipment, or both, and actual testing to assure that safety and performance criteria are met, and could take several months to complete. The completion time could also vary depending on the response time of the particular safety approval agency. Moreover, in the period immediately after October 24, the Department believes wholesale changes could occur in equipment lines when OEMs must begin using motors that comply with EPCA. These changes are likely to be concentrated in the period immediately after EPCA goes into effect on October 24, and if many OEMs seek to re-list or re-certify equipment at the same time, substantial delays in the review and approval process at the safety approval agencies could occur. For these reasons, the Department is concerned that certain end-user equipment that requires safety listing or certification could become unavailable in the marketplace, because an electric motor specifically identified in a listing or certification is covered by EPCA and will become unavailable, and the steps have not been completed to obtain safety approval of the equipment when manufactured with a complying motor.

Second, a situation could exist where an electric motor covered by EPCA is constructed in a T-frame series or T-frame size that is smaller (but still standard) than that assigned by NEMA Standards Publication MG 13–1984 (R1990), sections 1.2 and 1.3, in order to fit into a restricted mounting space that is within certain end-use equipment. (Motors in IEC metric frame sizes and kilowatt ratings could also be involved in this type of situation.) In such cases, the manufacturer of the end-use equipment might need to redesign the equipment containing the mounting space to accommodate a larger motor that complies with EPCA. These circumstances as well could result in certain currently available equipment becoming temporarily unavailable in the market, since the smaller size motor would become unavailable before the original equipment had been re-designed to accommodate the larger, complying motor.

The Department understands that many motor manufacturers and OEMs became aware only recently that the electric motors addressed in the preceding paragraphs were covered by EPCA. This is largely for the same reasons, discussed above, that EPCA coverage of Category II motors was only recently recognized. In addition, the Department understands that some motor manufacturers and original equipment manufacturers confused motors that themselves require safety listing or certification, which need not comply until October 25, 1999, with motors that, while not subject to such requirements, are included in *original equipment* that requires safety listing or certification. Consequently, motor manufacturers and original equipment manufacturers took insufficient action to assure that appropriate complying motors would be available for the original equipment involved, and that the equipment could accommodate such motors. OEMs involved in such situations may often be unable to switch to motors that meet EPCA standards in the period immediately following October 24. To mitigate any hardship to purchasers of the original equipment, the Department intends to refrain from enforcing EPCA in certain limited circumstances, under the conditions described below.

Where a particular electric motor is specified in an approved safety listing or certification for a piece of original equipment, and the motor does not meet the applicable efficiency standard in EPCA, the Department's policy will be as follows: For the period of time necessary for the OEM to obtain a revised safety listing or certification for that piece of equipment, with a motor specified that complies with EPCA, but in no event beyond October 24, 1999, the Department would refrain from taking enforcement action under EPCA with respect to manufacture of the motor for installation in such original equipment. This policy would apply only where the motor has been manufactured and specified in the approved safety listing or certification prior to October 25, 1997.

Where a particular electric motor is used in a piece of original equipment and manufactured in a smaller than assigned frame

size or series, and the motor does not meet the applicable efficiency standard in EPCA, the Department's policy will be as follows: For the period of time necessary for the OEM to re-design the piece of equipment to accommodate a motor that complies with EPCA, but in no event beyond October 24, 1999, the Department would refrain from enforcing the standard with respect to manufacture of the motor for installation in such original equipment. This policy would apply only to a model of motor that has been manufactured and included in the original equipment prior to October 25, 1997.

To allow the Department to monitor application of the policy set forth in the prior two paragraphs, the Department needs to be informed as to the motors being manufactured under the policy. Therefore, each motor manufacturer and OEM should jointly notify the Department as to each motor they will be manufacturing and using, respectively, after October 24, 1997, in the belief that it is covered by the policy. The notification should set forth: (1) the name of the motor manufacturer, and a description of the motor by type, model number, and date of design or production; (2) the name of the original equipment manufacturer, and a description of the application where the motor is to be used; (3) the safety listing or safety certification organization and the existing listing or certification file or document number for which re-listing or re-certification will be requested, if applicable; (4) the reason and amount of time required for continued production of the motor, with a statement that a substitute electric motor that complies with EPCA could not be obtained by an earlier date; and (5) the name, address, and telephone number of the person to contact for further information. The joint request should be signed by a responsible official of each requesting company, and sent to: U.S. Department of Energy, Assistant Secretary for Energy Efficiency and Renewable Energy, Office of Building Research and Standards, EE–41, Forrestal Building, 1000 Independence Avenue, SW, Room 1J–018, Washington, DC 20585–0121. The Department does not intend to apply this policy to any motor for which it does not receive such a notification. Moreover, the Department may use the notification, and make further inquiries, to be sure motors listed in the notification meet the criteria for application of the policy.

This part of the Policy Statement will not apply to a motor in Category II, discussed above in section III. Because up to 24 months is contemplated for compliance by Category II motors, the Department believes any issues that might warrant a delay of enforcement for such motors can be addressed during that time period.

V. Further Information

The Department intends to incorporate this Policy Statement into an appendix to its final rule to implement the EPCA provisions that apply to motors. Any comments or suggestions with respect to this Policy Statement, as well as requests for further information, should be addressed to the Director, Office of Building Research and Standards, EE–41, U.S. Department of Energy, 1000 Independence Avenue, SW, Washington, DC 20585–0121.

EXAMPLES OF MANY COMMON FEATURES OR MOTOR MODIFICATIONS TO ILLUSTRATE HOW THE EPCA DEFINITIONS AND DOE GUIDELINES WOULD BE APPLIED TO MOTOR CATEGORIES: GENERAL PURPOSE; DEFINITE PURPOSE; AND SPECIAL PURPOSE

	MOTOR MODIFICATION	CATEGORY[7]					EXPLANATION
		I	II	III	IV	V	
A.	ELECTRICAL MODIFICATIONS						
1	ALTITUDE	X					General purpose up to a frame series change larger.
2	AMBIENT	X					General purpose up to a frame series change larger.
3	MULTISPEED					X	EPCA applies to single speed only.
4	SPECIAL LEADS	X					
5	SPECIAL INSULATION	X					
6	ENCAPSULATION				X		Due to special construction.
7	HIGH SERVICE FACTOR	X					General purpose up to a frame series change larger.
8	SPACE HEATERS	X					
9	WYE DELTA START	X					
10	PART WINDING START	X					
11	TEMPERATURE RISE	X					General purpose up to a frame series change larger.
12	THERMALLY PROTECTED		X				Requires retesting and third party agency approval.
13	THERMOSTAT/THERMISTOR	X					
14	SPECIAL VOLTAGES					X	EPCA applies to motors operating on 230/460 voltages at 60 Hertz.
15	INTERMEDIATE HORSEPOWERS		X				Round horsepower according to 10 CFR 431.42 for efficiency.
16	FREQUENCY					X	EPCA applies to motors operating on 230/460 voltages at 60 Hertz.
17	FUNGUS/TROP INSULATION	X					

[7]Category I - General purpose electric motors as defined in EPCA.
Category II - Definite purpose electric motors that can be used in most general purpose applications as defined in EPCA.
Category III - Definite purpose motors as defined in EPCA.
Category IV - Special purpose motors as defined in EPCA.
Category V - Outside the scope of "electric motor" as defined in EPCA.

B. MECHANICAL MODIFICATIONS							
18	SPECIAL BALANCE	X					
19	BEARING TEMP. DETECTOR	X					
20	SPECIAL BASE/FEET					X	Does not meet definition of T-frame
21	SPECIAL CONDUIT BOX	X					
22	AUXILIARY CONDUIT BOX	X					
23	SPECIAL PAINT/COATING	X					
24	DRAINS	X					
25	DRIP COVER	X					
26	GROUND. LUG/HOLE	X					
27	SCREENS ON ODP ENCLOSURE	X					
28	MOUNTING F1,F2; W1-4; C1,2	X					Foot-mounting, rigid base, and resilient base.
C. BEARINGS							
29	BEARING CAPS	X					
30	ROLLER BEARINGS		X				Test with a standard bearing.
31	SHIELDED BEARINGS	X					
32	SEALED BEARINGS	X					Test with a standard bearing.
33	THRUST BEARINGS				X		Special mechanical construction.
34	CLAMPED BEARINGS	X					
35	SLEEVE BEARINGS				X		Special mechanical construction.
D. SPECIAL ENDSHIELDS							
36	C FACE	X					As defined in NEMA MG-1.
37	D FLANGE	X					As defined in NEMA MG-1.
38	CUSTOMER DEFINED				X		Special design for a particular application.
E. SEALS							
39	CONTACT SEALS	X					Includes lip seals and taconite seals - test with seals removed.
40	NON-CONTACT SEAL	X					Includes labyrinth and slinger seals - test with seals installed.

F. SHAFTS							
41	STANDARD SHAFTS/NEMA MG-1	X					Includes single and double, cylindrical, tapered, and short shafts.
42	NON STANDARD MATERIAL	X					
G. FANS							
43	SPECIAL MATERIAL	X					
44	QUIET DESIGN	X					
H. OTHER MOTORS							
45	WASHDOWN	X					Test with seals removed.
46	CLOSE- COUPLED PUMP			X			JM and JP frame assignments.
47	INTEGRAL GEAR MOTOR					X	Typically special mechanical design, and not a T-frame; motor and gearbox inseparable and operate as one system .
48	VERTICAL - NORMAL THRUST					X	EPCA covers foot-mounting.
49	SAW ARBOR				X		Special electrical/mechanical design.
50	TENV			X			Totally-enclosed non-ventilated not equipped for cooling (IP54, IC410).
51	TEAO			X			Totally-enclosed air-over requires airflow from external source (IP54, IC417).
52	FIRE PUMP	X					When safety certification is not required. See also EPCA §342(b)(1).
53	NON-CONTINUOUS					X	EPCA covers continuous ratings.
54	INTEGRAL BRAKE MOTOR				X		Integral brake design factory built within the motor.

9/10/97

Subpart B—Test Procedures and Materials Incorporated

§ 431.21 Purpose and scope.

This subpart contains test procedures for electric motors, required to be prescribed by DOE pursuant to section 343 of EPCA, 42 U.S.C. 6314, and identifies materials incorporated by reference in this Part.

§ 431.22 Reference sources.

(a) *Materials incorporated by reference.* (1) *General.* The following standards which are not otherwise set forth in this part 431 are incorporated by reference. The material listed in paragraph (a)(2) of this section has 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. Any subsequent amendment to a standard by the standard-setting organization will not affect the DOE test procedures unless and until amended by DOE. Material is incorporated as it exists on the date of the approval and a notice of any change in the material will be published in the FEDERAL REGISTER.

(2) *List of standards incorporated by reference.* (i) The following provisions of National Electrical Manufacturers Association Standards Publication MG1–1993, *Motors and Generators,* with Revisions 1, 2, 3 and 4:

(A) Section I, *General Standards Applying to All Machines,* Part 1, *Referenced Standards and Definitions,* paragraphs 1.16.1, 1.16.1.1, 1.17.1.1, 1.17.1.2, and 1.40.1;

(B) Section I, *General Standards Applying to All Machines,* Part 4, *Dimensions, Tolerances, and Mounting,* paragraph 4.01 and Figures 4–1, 4–2, 4–3, and 4–4;

(C) Section II, *Small (Fractional) and Medium (Integral) Machines,* Part 11, *Dimensions-AC and DC Small and Medium Machines,* paragraphs 11.01.2, 11.31 (except the lines for frames 447T, 447TS, 449T and 449TS), 11.32, 11.34 (except the line for frames 447TC and 449TC, and the line for frames 447TSC and 449TSC), 11.35, and 11.36 (except the line for frames 447TD and 449TD, and the line for frames 447TSD and 449TSD), and Table 11–1;

(D) Section II, *Small (Fractional) and Medium (Integral) Machines,* Part 12, *Tests and Performance-AC and DC Motors,* paragraphs 12.35.1, 12.35.5, 12.38.1, 12.39.1, and 12.40.1, 12.58.1, and Tables 12–2 and 12–8; and

(E) Section II, *Small (Fractional) and Medium (Integral) Machines,* Part 14, *Application Data-AC and DC Small and Medium Machines,* paragraphs 14.02 and 14.03.

(ii) Institute of Electrical and Electronics Engineers, Inc., Standard 112–1996, *Test Procedure for Polyphase Induction Motors and Generators,* Test Method B, and the correction to the calculation at item (28) in section 10.2 Form B-Test Method B issued by IEEE on January 20, 1998. (Note: Paragraph 2 of Appendix A to Subpart B of Part 431 sets forth modifications to this Standard when it is used for purposes of Part 431 and EPCA.)

(iii) CSA International Standard C390–93, *Energy Efficiency Test Methods for Three-Phase Induction Motors,* Test Method (1).

(iv) International Electrotechnical Commission Standard 60034–1 (1996), *Rotating electrical machines,* Part 1: *Rating and performance,* with Amendment 1 (1997), Section 3: Duty, clause 3.2.1 and figure 1.

(v) International Electrotechnical Commission Standard 60050–411 (1996), *International Electrotechnical Vocabulary Chapter 411: Rotating machines,* sections 411–33–07 and 411–37–26.

(vi) International Electrotechnical Commission Standard 60072–1 (1991), *Dimensions and output series for rotating electrical machines—Part 1: Frame numbers 56 to 400 and flange numbers 55 to 1080,* clauses 2, 3, 4.1, 6.1, 7, and 10, and Tables 1, 2 and 4.

(vii) International Electrotechnical Commission Standard 60034–12 (1980), *Rotating electrical machines, Part 12: Starting performance of single-speed three-phase cage induction motors for voltages up to and including 660 V,* with Amendment 1 (1992) and Amendment 2 (1995), clauses 1, 2, 3.1, 4, 5, and 6, and Tables I, II, and III.

(3) *Inspection of standards.* The standards incorporated by reference are available for inspection at:

(i) Office of the Federal Register Information Center, 800 North Capitol Street, NW, Suite 700, Washington, DC;

(ii) U.S. Department of Energy, Office of Energy Efficiency and Renewable Energy, Hearings and Dockets, ''Test Procedures, Labeling, and Certification Requirements for Electric Motors,'' Docket No. EE–RM–96–400, Forrestal Building, 1000 Independence Avenue, SW, Washington, DC.

(4) *Availability of standards.* Standards incorporated by reference may be obtained from the following sources:

(i) Copies of IEEE Standard 112–1996 can be obtained from the Institute of Electrical and Electronics Engineers, Inc., 445 Hoes Lane, P.O. Box 1331, Piscataway, NJ 08855–1331, 1–800–678–IEEE;

(ii) Copies of NEMA Standards Publication MG1–1993 with Revisions 1, 2, 3, and 4, and copies of International Electrotechnical Commission standards can be obtained from Global Engineering Documents, 15 Inverness Way East, Englewood, Colorado 80112–5776, 1–800–854–7179 (within the U.S.) or (303) 397–7956 (international).

(iii) Copies of CSA International Standard C390–93 can be obtained from CSA International, 178 Rexdale Boulevard, Etobicoke (Toronto), Ontario, Canada M9W 1R3, (416) 747–4044;

(b) *Reference Standards*—(1) *General.* The standards listed in this paragraph are referred to in the DOE procedures for testing laboratories, and recognition of accreditation bodies and certification programs but are not incorporated by reference. These sources are given here for information and guidance.

(2) *List of References.* (i) National Voluntary Laboratory Accreditation Program Handbooks 150, ''Procedures and General Requirements,'' March 1994, and 150–10, ''Efficiency of Electric Motors,'' August 1995. National Voluntary Laboratory Accreditation Program, National Institute of Standards and Technology, Gaithersburg, MD 20899.

(ii) ISO/IEC Guide 25, ''General requirements for the competence of calibration and testing laboratories.''

(iii) ISO 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.''

(iv) ISO/IEC Guide 28, ''General rules for a model third-party certification system for products.''

(v) ISO/IEC Guide 58, ''Calibration and testing laboratory accreditation systems—General requirements for operation and recognition.''

(vi) ISO/IEC Guide 65, ''General requirements for bodies operating product certification systems.''

§ 431.23 Test procedures for the measurement of energy efficiency.

For purposes of 10 CFR Part 431 and EPCA, the test procedures for measuring the energy efficiency of an electric motor shall be the test procedures specified in appendix A to this subpart B.

§ 431.24 Determination of efficiency.

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 § 431.127.

(a) *Provisions applicable to all electric motors.* (1) *General Requirements.* The average full load efficiency of each basic model of electric motor must be determined either by testing in accordance with § 431.23 of this subpart, or by application of an alternative efficiency determination method (AEDM) that meets the requirements of paragraphs (a)(2) and (3) of this section, provided, however, that an AEDM may be used to determine the average full load efficiency of one or more of a manufacturer's basic models only if the average full load efficiency of at least five of its other basic models is determined through testing.

(2) *Alternative efficiency determination method.* An AEDM applied to a basic model must be:

(i) Derived from a mathematical model that represents the mechanical and electrical characteristics of that basic model, and

(ii) Based on engineering or statistical analysis, computer simulation or

modeling, or other analytic evaluation of performance data.

(3) *Substantiation of an alternative efficiency determination method.* Before an AEDM is used, its accuracy and reliability must be substantiated as follows:

(i) The AEDM must be applied to at least five basic models that have been tested in accordance with § 431.23 of this subpart, and

(ii) The predicted total power loss for each such basic model, calculated by applying the AEDM, must be within plus or minus ten percent of the mean total power loss determined from the testing of that basic model.

(4) *Subsequent verification of an AEDM.* (i) Each manufacturer shall periodically select basic models representative of those to which it has applied an AEDM, and for each basic model selected shall either:

(A) Subject a sample of units to testing in accordance with §§ 431.23 and 431.24(b)(2) by an accredited laboratory that meets the requirements of § 431.25,

(B) Have a certification body recognized under § 431.27 certify its nominal full load efficiency, or

(C) Have an independent state-registered professional engineer, who is qualified to perform an evaluation of electric motor efficiency in a highly competent manner and who is not an employee of the manufacturer, review the manufacturer's representations and certify that the results of the AEDM accurately represent the total power loss and nominal full load efficiency of the basic model.

(ii) Each manufacturer that has used an AEDM under this section shall have available for inspection by the Department of Energy records showing: the method or methods used; 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; complete test data, product information, and related information that the manufacturer has generated or acquired pursuant to §§ 431.24(a)(3) and (a)(4)(i); and the calculations used to determine the average full load efficiency and total power losses of each basic model to which the AEDM was applied.

(iii) If requested by the Department, the manufacturer shall conduct simulations to predict the performance of particular basic models of electric motors specified by the Department, analyses of previous simulations conducted by the manufacturer, sample testing of basic models selected by the Department, or a combination of the foregoing.

(5) *Use of a certification program or accredited laboratory.* (i) A manufacturer may have a certification program, that DOE has classified as nationally recognized under § 431.27, 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 (a)(5)(i) of this section, any testing of the motor pursuant to § 431.24(a)(1) through (3) to determine its energy efficiency must be carried out in accordance with § 431.24(b), in an accredited laboratory that meets the requirements of § 431.25. (This includes testing of the basic model, pursuant to § 431.24(a)(3)(i), to substantiate an AEDM.)

(b) *Additional testing requirements applicable when a certification program is not used.* (1) *Selection of basic models for testing.* (i) Basic models must be selected 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 1997,[1] whichever is later;

(B) The basic models should be of different horsepowers without duplication;

(C) The basic models should be of different frame number series without duplication; and

(D) Each basic model should be expected to have the lowest nominal full load efficiency among the basic models with the same rating (''rating'' as used here has the same meaning as it has in the definition of ''basic model'').

[1] In identifying these five basic models, any electric motor that does not comply with § 431.42, shall be excluded from consideration.

(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.

(2) *ection of units for testing.* For each basic model selected for testing,[2] a sample of units shall be selected at random and tested. 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 $\bar{X}$ which is defined by

$$\overline{X} = \frac{1}{n}\sum_{i=1}^{n} X_i,$$

where X_i is the measured full-load efficiency of unit i and n is the number of units tested, shall satisfy the condition:

$$\overline{X} \geq \frac{100}{1 + 1.05\left(\frac{100}{RE} - 1\right)}$$

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

$$X_{min} \geq \frac{100}{1 + 1.15\left(\frac{100}{RE} - 1\right)}$$

(3) *Substantiation of an alternative efficiency determination method.* The basic models tested under § 431.24(a)(3)(i) must be selected for testing in accordance with paragraph (b)(1), and units of each such basic model must be tested in accordance with paragraph (b)(2) by an accredited laboratory that meets the requirements of § 431.25.

[2] 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.

§ 431.25 Testing laboratories.

(a) Testing pursuant to § 431.24(a)(5)(ii) must be conducted in an accredited laboratory for which the accreditation body was:

(1) The National Institute of Standards and Technology/National Voluntary Laboratory Accreditation Program (NIST/NVLAP), or

(2) A laboratory accreditation body having a mutual recognition arrangement with NIST/NVLAP, or

(3) An organization classified by the Department, pursuant to section 431.26, as an accreditation body.

(b) NIST/NVLAP is under the auspices of the National Institute of Standards and Technology (NIST) 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, August 1995, presents the technical requirements of the National Voluntary Laboratory Accreditation Program 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 of the U.S. Code of Federal Regulations plus all general NIST/NVLAP procedures, criteria, and policies. Changes in NIST/NVLAP's criteria, procedures, policies, standards or other bases for granting accreditation, occurring subsequent to the initial effective date of 10 CFR part 431 shall not apply to accreditation under this part unless approved in writing by the Department of Energy. Copies of NIST Handbooks 150 and 150–10 and 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, telephone (301) 975–4016, or telefax (301) 926–2884.

§ 431.26 Department of Energy recognition of accreditation bodies.

(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 § 431.28 of this part. 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 of electric motor manufacturers, importers, distributors, private labelers or vendors. It cannot be affiliated with, have financial ties with, be controlled by, or be under common control with any such entity.

(3) It must be qualified to perform the accrediting function in a highly competent manner.

(4) It must be expert in the content and application of the test procedures and methodologies in IEEE Standard 112–1996 Test Method B and CSA Standard C390–93 Test Method (1), or similar procedures and methodologies for determining the energy efficiency of electric motors.

(c) *Petition format.* Each petition requesting classification as an accreditation body must contain a narrative statement as to why the organization meets the criteria set forth in paragraph (b) of this section, must be signed on behalf of the organization 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 should identify and describe any relationship, direct or indirect, that it has with an electric motor manufacturer, importer, distributor, private labeler, vendor, trade association or other such entity, as well as any other relationship it believes might appear to create a conflict of interest for it in performing as an accreditation body for electric motor testing laboratories. It should explain why it believes such relationship(s) would not compromise its independence as an accreditation body.

(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,* 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.*

(4) *Expertise in electric motor test procedures.* The petition should set forth the organization's experience with the test procedures and methodologies in IEEE Standard 112–1996 Test Method B and CSA Standard C390–93 Test Method (1), and with similar procedures and methodologies. This part of the petition should include description of prior projects, qualifications of staff members, and the like. 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,* to energy efficiency testing for electric motors.

(d) *Disposition.* The Department will evaluate the petition in accordance with section 431.28, and will determine

whether the applicant meets the criteria in paragraph (b) of this section to be classified as an accrediting body.

§ 431.27 Department of Energy recognition of nationally recognized certification programs.

(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 section 345 of EPCA (''nationally recognized''), the organization operating the program must submit a petition to the Department requesting such classification, in accordance with paragraph (c) of this section and section 431.28 of this part. 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 motor continue to conform to the efficiency levels for which they were certified, and for granting a certificate of conformity.

(2) It must be independent of electric motor manufacturers, importers, distributors, private labelers or vendors. It cannot be affiliated with, have financial ties with, be controlled by, or be under common control with any such entity.

(3) It must be qualified to operate a certification system in a highly competent manner.

(4) It must be expert in the content and application of the test procedures and methodologies in IEEE Standard 112–1996 Test Method B and CSA Standard C390–93 Test Method (1), or similar procedures and methodologies for determining the energy efficiency of electric motors. It must have satisfactory criteria and procedures for the selection and sampling of electric motors tested for energy efficiency.

(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 should identify and describe any relationship, direct or indirect, that it or the certification program has with an electric motor manufacturer, importer, distributor, private labeler, vendor, trade association or other such entity, as well as any other relationship it believes might appear to create a conflict of interest for the certification program in operating a certification system for compliance by electric motors with energy efficiency standards. It should explain why it believes such relationship would not compromise its independence in operating a certification program.

(3) *Qualifications to operate a certification system.* Experience in operating a certification system 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 65, *General requirements for bodies operating product certification systems,* 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,* and ISO/IEC Guide 28, *General rules for a model third-party certification system for products,* 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.*

(4) *Expertise in electric motor test procedures.* The petition should set forth the

program's experience with the test procedures and methodologies in IEEE Standard 112–1996 Test Method B and CSA Standard C390–93 Test Method (1), and with similar procedures and methodologies. This part of the petition should include description of prior projects, qualifications of staff members, and the like. 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,* to energy efficiency testing for electric motors.

(d) *Disposition.* The Department will evaluate the petition in accordance with § 431.28, and will determine whether the applicant meets the criteria in paragraph (b) of this section for classification as a nationally recognized certification program.

§ 431.28 Procedures for recognition and withdrawal of recognition of accreditation bodies and certification programs.

(a) *Filing of petition.* Any petition submitted to the Department pursuant to § 431.26(a) or 431.27(a) of this part, shall be entitled ''Petition for Recognition'' (''Petition'') and must be submitted, in triplicate to the Assistant Secretary for Energy Efficiency and Renewable Energy, United States Department of Energy, 1000 Independence Avenue, SW, Washington, DC 20585. 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 a notice 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 the Department believes that an accreditation body or certification program that has been recognized under § 431.26 or 431.27, respectively, is failing to meet the criteria of paragraph (b) of the section under which it is recognized, the Department will so advise such entity and request that it take appropriate corrective action. The Department will give the entity an opportunity to respond. 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 a notice of any withdrawal of recognition that occurs pursuant to this paragraph (g).

§ 431.29 Petitions for waiver, and applications for interim waiver, of test procedure.

(a) *General criteria.* (1) Any interested person may submit a petition to waive for a particular basic model any requirements of § 431.23 of this subpart, upon the grounds that either the basic model contains one or more design characteristics which either prevent testing of the basic model according to the prescribed test procedures, or the prescribed test procedures may evaluate the basic model in a manner so unrepresentative of its true energy consumption characteristics as to provide materially inaccurate comparative data.

(2) Any interested person who has submitted a Petition for Waiver as provided in this subpart may also file an Application for Interim Waiver of the applicable test procedure requirements.

(b) *Submission, content, and publication.* (1) A Petition for Waiver must be submitted, in triplicate, to the Assistant Secretary for Energy Efficiency and Renewable Energy, United States Department of Energy. Each Petition for Waiver shall:

(i) Identify the particular basic model(s) for which a waiver is requested, the design characteristic(s) constituting the grounds for the petition, and the specific requirements sought to be waived and shall discuss in detail the need for the requested waiver;

(ii) Identify manufacturers of all other basic models marketed in the United States and known to the petitioner to incorporate similar design characteristic(s);

(iii) Include any alternate test procedures known to the petitioner to evaluate in a manner representative of the energy consumption characteristics of the basic model; and

(iv) Be signed by the petitioner or by 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 for Waiver 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 shall 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 shall solicit comments, data and information with respect to the determination of the petition.

(2) An Application for Interim Waiver must be submitted in triplicate, with the required three copies of the Petition for Waiver, to the Assistant Secretary for Energy Efficiency and Renewable Energy, U.S. Department of Energy. Each Application for Interim Waiver shall reference the Petition for Waiver by identifying the particular basic model(s) for which a waiver and temporary exception are being sought. Each Application for Interim Waiver shall demonstrate likely success of the Petition for Waiver and shall address

what economic hardship and/or competitive disadvantage is likely to result absent a favorable determination on the Application for Interim Waiver. Each Application for Interim Waiver shall be signed by the applicant or by an authorized representative.

(c) *Notification to other manufacturers.* (1) 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 type (as listed in section 340(1) of the Act) and must include in the notice a statement that DOE has published in the FEDERAL REGISTER on a certain date the Petition for Waiver and supporting documents from which confidential information, if any, as determined by DOE, has been deleted in accordance with 10 CFR 1004.11. Each petitioner, in complying with the requirements of this paragraph, 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) Each applicant for Interim Waiver, whether filing jointly with, or subsequent to, a Petition for Waiver with DOE, must concurrently notify in writing all known manufacturers of domestically marketed units of the same product type (as listed in Section 340(1) of the Act) and must include in the notice a copy of the Petition for Waiver and a copy of the Application for Interim Waiver. In complying with this section, each applicant must in the written notification include a statement that the Assistant Secretary for Energy Efficiency and Renewable Energy will receive and consider timely written comments on the Application for Interim Waiver. Each applicant, upon filing an Application for Interim Waiver, must in complying with the requirements of this paragraph certify to DOE that a copy of these documents have been sent to all known manufacturers of domestically marked units of the same product type (as listed in section 340(1) of the Act). Such certification must include the names and addresses of such persons. Each applicant also must comply with the provisions of paragraph (c)(1) of this section with respect to the petition for waiver.

(d) *Comments; responses to comments.* (1) Any person submitting written comments to DOE with respect to an Application for Interim Waiver must also send a copy of the comments to the applicant.

(2) Any person submitting written comments to DOE with the respect to a Petition for Waiver must also send a copy of such comments to the petitioner. In accordance with subparagraph (b)(1) of this section, a petitioner may submit a rebuttal statement to the Assistant Secretary for Energy Efficiency and Renewable Energy.

(e) *Provisions specific to interim waivers.* (1) *Disposition of application.* If administratively feasible, applicant will be notified in writing of the disposition of the Application for Interim Waiver within 15 business days of receipt of the application. Notice of DOE's determination on the Application for Interim Waiver must be published in the FEDERAL REGISTER.

(2) *Consequences of filing application.* The filing of an Application for Interim Waiver shall not constitute grounds for noncompliance with any requirements of this subpart, until an Interim Waiver has been granted.

(3) *Criteria for granting.* An Interim Waiver from test procedure requirements will be granted by the Assistant Secretary for Energy Efficiency and Renewable Energy if it is determined that the applicant will experience economic hardship if the Application for Interim Waiver is denied, if it appears likely that the Petition for Waiver will be granted, and/or the Assistant Secretary determines that it would be desirable for public policy reasons to grant immediate relief pending a determination on the Petition for Waiver.

(4) *Duration.* An interim waiver will terminate 180 days after issuance or upon the determination on the Petition for Waiver, whichever occurs first. An interim waiver may be extended by DOE for 180 days. Notice of such extension and/or any modification of the terms or duration of the interim waiver shall be published in the FEDERAL REGISTER, and shall be based on relevant information contained in the

record and any comments received subsequent to issuance of the interim waiver.

(f) *Provisions specific to waivers*—(1) *Rebuttal by petitioner*. Following publication of the Petition for Waiver in the FEDERAL REGISTER, a petitioner may, within 10 working days of receipt of a copy of any comments submitted in accordance with paragraph (b)(1) of this section, submit a rebuttal statement to the Assistant Secretary for Energy Efficiency and Renewable Energy. A petitioner may rebut more than one response in a single rebuttal statement.

(2) *Disposition of petition*. The petitioner will be notified in writing as soon as practicable of the disposition of each Petition for Waiver. The Assistant Secretary for Energy Efficiency and Renewable Energy will 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.

(3) *Consequence of filing petition*. The filing of a Petition for Waiver will not constitute grounds for noncompliance with any requirements of this subpart, until a waiver or interim waiver has been granted.

(4) *Granting of waivers: criteria, conditions, and publication*. Waivers will be granted by the Assistant Secretary for Energy Efficiency and Renewable Energy, if it is determined that the basic model for which the waiver was requested contains a design characteristic which either prevents testing of the basic model according to the prescribed test procedures, or the prescribed test procedures may evaluate the basic model in a manner so unrepresentative of its true energy 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 the Assistant Secretary for Energy Efficiency and Renewable Energy. The Assistant Secretary will promptly publish in the FEDERAL REGISTER notice of each waiver granted or denied, and any limiting conditions of each waiver granted.

(g) *Revision of regulation*. Within one year of the granting of any waiver, the Department of Energy 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, the Department of Energy will publish in the FEDERAL REGISTER a final rule. Such waiver will terminate on the effective date of such final rule.

(h) *Exhaustion of remedies*. In order 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.

APPENDIX A TO SUBPART B OF PART 431—UNIFORM TEST METHOD FOR MEASURING NOMINAL FULL LOAD EFFICIENCY OF ELECTRIC MOTORS

1. *Definitions.*

Definitions contained in section 431.2 are applicable to this appendix.

2. *Test procedures.*

Efficiency and losses shall be determined in accordance with NEMA MG1–1993 with Revisions 1 through 4, paragraph 12.58.1, ''Determination of Motor Efficiency and Losses,'' and either

(1) CSA International (or Canadian Standards Association) Standard C390–93 Test Method (1), *Input-Output Method with Indirect Measurement of the Stray-Load Loss and Direct Measurement of the Stator Winding* (I^2R), *Rotor Winding* (I^2R), *Core and Windage-Friction Losses,* or

(2) IEEE Standard 112–1996 Test Method B, *Input-Output with Loss Segregation*, with IEEE correction notice of January 20, 1998, except as follows:

(i) Page 8, subclause 5.1.1, *Specified temperature*, the introductory clause does not apply. Instead the following applies:

The specified temperature used in making resistance corrections should be determined by one of the following (Test Method B only allows the use of preference a) or b).), which are listed in order of preference.

(ii) Page 17, subclause 6.4.1.3, *No-load test*, the text does not apply. Instead, the following applies:

See 5.3 including 5.3.3, the separation of core loss from friction and windage loss. Prior to making this test, the machine shall be operated at no-load until the input has stabilized.

(iii) Page 40, subclause 8.6.3, *Termination of test*, the third sentence does not apply. Instead, the following applies:

For continuous rated machines, the temperature test shall continue until there is 1 °C or less change in temperature rise over a 30-minute time period.

(iv) Page 47, at the top of 10.2 Form B, immediately after the line that reads ''Rated Load Heat Run Stator Winding Resistance Between Terminals,'' the following additional line applies:

Temperature for Resistance Correction (t_s) = __ __ °C (See 6.4.3.2).

(v) Page 47, at the bottom of 10.2 Form B, after the first sentence to footnote t_t, the following additional sentence applies:

The values for t_s and t_t shall be based on the same method of temperature measurement, selected from the four methods in subclause 8.3.

(vi) Page 47, at the bottom of 10.2 Form B, below the footnotes and above ''Summary of Characteristics,'' the following additional note applies:

NOTE: The temperature for resistance correction (t_s) is equal to [(4) − (5) + 25 °C].

(vii) Page 48, item (22), the torque constants ''k = 9.549 for torque, in N·m'' and ''k = 7.043 for torque, in lbf·ft'' do not apply. Instead, the following applies:

''k_2 = 9.549 for torque, in N·m'' and ''k_2 = 7.043 for torque, in lbf·ft.''

(viii) Page 48, at the end of item (27), the following additional reference applies:

''See 6.4.3.2''.

(ix) Page 48, item (29), ''See 4.3.2.2, Eq. 4,'' does not apply. Instead the following applies:

Is equal to (10) · [k_1 + (4) − (5) + 25 °C] / [k_1 + (7)], see 6.4.3.3''.

3. *Amendments to test procedures.*

Any revision to IEEE Std 112–1996 Test Method B with correction notice of January 20, 1998, to NEMA Standards Publication MG1–1993 with Revisions 1 through 4, or to CSA Standard C390–93 Test Method (1), subsequent to promulgation of this appendix A, shall not be effective for purposes of test procedures required under part 431 and this appendix A, unless and until part 431 and this appendix A are amended.

Subpart C—Energy Conservation Standards

§ 431.41 Purpose and scope.

This subpart contains energy conservation standards for certain types of covered equipment pursuant to Part C–Certain Industrial Equipment, Energy Policy and Conservation Act, as amended (42 U.S.C. 6211 *et seq.*).

§ 431.42 Energy conservation standards and effective dates.

(a) Each electric motor manufactured (alone or as a component of another piece of equipment) after October 24, 1997, or in the case of an electric motor which requires listing or certification by a nationally recognized safety testing laboratory, after October 24, 1999, shall have a nominal full load efficiency of not less than the following:

	Nominal Full Load Efficiency					
	Open Motors (Number of poles)			Enclosed Motors (Number of poles)		
	6	4	2	6	4	2
Motor Horsepower/Standard Kilowatt Equivalent						
1/.75	80.0	82.5	.....	80.0	82.5	75.5
1.5/1.1	84.0	84.0	82.5	85.5	84.0	82.5
2/1.5	85.5	84.0	84.0	86.5	84.0	84.0
3/2.2	86.5	86.5	84.0	87.5	87.5	85.5
5/3.7	87.5	87.5	85.5	87.5	87.5	87.5
7.5/5.5	88.5	88.5	87.5	89.5	89.5	88.5
10/7.5	90.2	89.5	88.5	89.5	89.5	89.5
15/11	90.2	91.0	89.5	90.2	91.0	90.2
20/15	91.0	91.0	90.2	90.2	91.0	90.2
25/18.5	91.7	91.7	91.0	91.7	92.4	91.0
30/22	92.4	92.4	91.0	91.7	92.4	91.0
40/30	93.0	93.0	91.7	93.0	93.0	91.7
50/37	93.0	93.0	92.4	93.0	93.0	92.4
60/45	93.6	93.6	93.0	93.6	93.6	93.0
75/55	93.6	94.1	93.0	93.6	94.1	93.0
100/75	94.1	94.1	93.0	94.1	94.5	93.6
125/90	94.1	94.5	93.6	94.1	94.5	94.5
150/110	94.5	95.0	93.6	95.0	95.0	94.5
200/150	94.5	95.0	94.5	95.0	95.0	95.0

(b) For purposes of determining the required minimum nominal full load efficiency of an electric motor that has a horsepower or kilowatt rating between two horsepowers or kilowattages listed consecutively in paragraph (a) of this section, each such motor shall be deemed to have a horsepower or kilowatt rating that is listed in paragraph (a). The rating that the motor is deemed to have shall be determined as follows:

(1) A horsepower at or above the midpoint between the two consecutive horsepowers shall be rounded up to the higher of the two horsepowers;

(2) A horsepower below the midpoint between the two consecutive horsepowers shall be rounded down to the lower of the two horsepowers, or

(3) A kilowatt rating shall be directly converted from kilowatts to horsepower using the formula, 1 kilowatt = (1/0.746) horsepower, without calculating beyond three significant decimal places, and the resulting horsepower shall be rounded in accordance with subparagraph (b)(1) or (b)(2) of this section, whichever applies.

(c) This section does not apply to definite purpose motors, special purpose motors, and those motors exempted by the Secretary.

[64 FR 54141, Oct. 5, 1999; 65 FR 2227, Jan. 13, 2000]

§ 431.43 Preemption of state regulations.

Any state regulation providing for any energy conservation standard, or other requirement with respect to the energy efficiency or energy use, of an electric motor that is not identical to a Federal standard in effect under this subpart is preempted by that standard, except as provided for in sections 345(a) and 327(b) and (c) of the Act.

Subpart D—Petitions To Exempt State Regulation From Preemption; Petitions To Withdraw Exemption of State Regulation

§ 431.61 Purpose and scope.

(a) The regulations in this subpart prescribe the procedures to be followed in connection with petitions requesting a rule that a State regulation prescribing an energy conservation standard or other requirement respecting energy use or energy efficiency of a type (or class) of covered equipment not be preempted.

(b) The regulations in this subpart also prescribe the procedures to be followed in connection with petitions to withdraw a rule exempting a State regulation prescribing an energy conservation standard or other requirement respecting energy use or energy efficiency of a type (or class) of covered equipment.

§ 431.62 Prescriptions of a rule.

(a) *Criteria for exemption from preemption.* Upon petition by a State which has prescribed an energy conservation standard or other requirement for a type or class of covered equipment for which a Federal energy conservation standard is applicable, the Secretary shall prescribe a rule that such standard not be preempted if he/she 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. For the purposes of this regulation, the term ''unusual and compelling State or local energy interests'' means interests which are substantially different in nature or magnitude from those prevailing in the U.S. generally, and are such that when evaluated within the context of the State's energy plan and forecast, the costs, benefits, burdens, and reliability of energy 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 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 equipment in the State; the extent to which the State regulation would cause a burden to manufacturers to redesign and produce the covered equipment 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 equipment 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 commercial and industrial equipment efficiency requirements and the cumulative impact such requirements would have. The Secretary may not prescribe such a rule if he/she finds that such a rule will result in the unavailability in the State of any covered equipment (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 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.

(b) *Criteria for exemption from preemption when energy emergency conditions exist within State.* Upon petition by a State which has prescribed an energy conservation standard or other requirement for a type or class of covered equipment for which a Federal energy conservation standard is applicable, the Secretary may prescribe a rule, effective upon publication in the FEDERAL REGISTER, that such 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 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 or electric energy to its residents at less than prohibitive costs; and cannot be substantially alleviated by the importation of energy 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 exist within a State. A petition from a State for a rule for exemption from preemption when energy 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 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 the use of interconnection agreements;

(iv) An analysis of how the State standard can alleviate substantially such emergency condition.

(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 other requirement for a type or class of covered equipment, when the Federal energy conservation standard 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 equipment 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.

§ 431.63 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 Energy Efficiency 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 §431.62 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.

§431.64 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.

§431.65 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.

§431.66 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.

§ 431.67 Disposition of petitions.

(a) After the submission of public comments under Sec. 431.63(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.

§ 431.68 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'' 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.

§ 431.69 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.

§ 431.70 Finality of decision.

(a) A decision to prescribe a rule that a State energy conservation standard 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.

Subpart E—Labeling

§ 431.81 Purpose and scope.

This subpart establishes labeling rules for electric motors pursuant to section 344 of EPCA, 42 U.S.C. 6315. It addresses labeling and marking the equipment with information indicating its energy efficiency and compliance with applicable standards under section 342 of EPCA, 42 U.S.C. 6313, and the inclusion of such information in other material used to market the equipment. This subpart applies only to electric motors manufactured after October 5, 2000.

[64 FR 54141, Oct. 5, 1999; 65 FR 2227, Jan. 13, 2000]

§ 431.82 Labeling requirements.

(a) *Electric motor nameplate.* (1) *Required information.* The permanent

nameplate of an electric motor for which standards are prescribed in § 431.42 must be marked clearly with the following information:

(i) The motor's nominal full load efficiency (as of the date of manufacture), derived from the motor's average full load efficiency as determined pursuant to subpart B of this Part; and

(ii) A Compliance Certification number (''CC number'') supplied by DOE to the manufacturer or private labeler, pursuant to section 431.123(e), and applicable to that motor. Such CC number must be on the nameplate of a motor beginning 90 days after either:

(ii) A Compliance Certification number (''CC number'') supplied by DOE to the manufacturer or private labeler, pursuant to § 431.123(e), and applicable to that motor. Such CC number must be on the nameplate of a motor beginning 90 days after either:

(A) The manufacturer or private labeler has received the number upon submitting a Compliance Certification covering that motor, or

(B) The expiration of 21 days from DOE's receipt of a Compliance Certification covering that motor, if the manufacturer or private labeler has not been advised by DOE that the Compliance Certification fails to satisfy § 431.123.

(2) *Display of required information.* All orientation, spacing, type sizes, type faces, and line widths to display this required information shall be the same as or similar to the display of the other performance data on the motor's permanent nameplate. The nominal full load efficiency shall be identified either by the term ''Nominal Efficiency'' or ''Nom. Eff.'' or by the terms specified in paragraph 12.58.2 of NEMA MG1–1993, as for example ''NEMA Nom. Eff. __ __ __ __.'' The DOE number shall be in the form ''CC__ __ __ __.''

(3) *Optional display.* The permanent nameplate of an electric motor, a separate plate, or decalcomania, may be marked with the encircled lower case letters ''ee'', for example,

or with some comparable designation or logo, if the motor meets the applicable standard prescribed in § 431.42, as determined pursuant to subpart B of this part, and is covered by a Compliance Certification that satisfies § 431.123.

(b) *Disclosure of efficiency information in marketing materials.* (1) The same information that must appear on an electric motor's permanent nameplate pursuant to paragraph (a)(1) of this section, shall be prominently displayed:

(i) on each page of a catalog that lists the motor, and

(ii) in other materials used to market the motor.

(2) The ''ee'' logo, or other similar logo or designations, may also be used in catalogs and other materials to the same extent they may be used on labels under paragraph (a)(3) of this section.

§ 431.83 Preemption of state regulations.

The provisions of this subpart E supersede any State regulation to the extent required by section 327 of the Act. Pursuant to the Act, all State regulations that require the disclosure for any electric motor of information with respect to energy consumption, other than the information required to be disclosed in accordance with this part, are superseded.

Subpart F [Reserved]

Subpart G—Certification and Enforcement

§ 431.121 Purpose and scope.

The regulations in this subpart set forth the procedures for manufacturers to certify that electric motors comply with the applicable energy efficiency standards set forth in subpart C of this part, and set forth standards and procedures for enforcement of this part and the underlying provisions of the Act.

§ 431.122 Prohibited acts.

(a) Each of the following is a prohibited act pursuant to sections 332 and 345 of the Act:

(1) Distribution in commerce by a manufacturer or private labeler of any new covered equipment which is not labeled in accordance with an applicable labeling rule prescribed in accordance

with section 344 of the Act, and in this part;

(2) Removal from any new covered equipment or rendering illegible, by a manufacturer, distributor, retailer, or private labeler, of any label required under this part to be provided with such equipment;

(3) Failure to 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;

(4) Advertisement of covered equipment, by a manufacturer, distributor, retailer, or private labeler, in a catalog from which the equipment may be purchased, without including in the catalog all information as required by § 431.82(b)(1), provided, however, that this shall not apply to an advertisement of covered equipment in a catalog if distribution of the catalog began before the effective date of the labeling rule applicable to that equipment;

(5) Failure of a manufacturer to supply at his expense a reasonable number of units of an electric motor to a test laboratory designated by the Secretary;

(6) Failure of a manufacturer to permit a representative designated by the Secretary to observe any testing required by the Act and this part, and to inspect the results of such testing; and

(7) Distribution in commerce by a manufacturer or private labeler of any new covered equipment which is not in compliance with an applicable energy efficiency standard prescribed under the Act and this part.

(b) In accordance with sections 333 and 345 of the Act, any person who knowingly violates any provision of paragraph (a) of this section may be subject to assessment of a civil penalty of no more than $110 for each violation. Each violation of paragraphs (a)(1), (2), and (7) of this section shall constitute a separate violation with respect to each unit of covered equipment, and each day of noncompliance with paragraphs (a)(3) through (6) of this section shall constitute a separate violation.

(c) For purposes of this section:

(1) the term ''new covered equipment'' means covered equipment the title of which has not passed to a purchaser who buys such equipment for purposes other than:

(i) reselling such equipment, or

(ii) leasing such equipment for a period in excess of one year; and

(2) The term ''knowingly'' means:

(i) the having of actual knowledge, or

(ii) the presumed having of knowledge deemed to be possessed by a reasonable person who acts in the circumstances, including knowledge obtainable upon the exercise of due care.

§ 431.123 Compliance certification.

(a) *General.* Beginning 24 months after November 4, 1999, a manufacturer or private labeler shall not distribute in commerce any basic model of an electric motor which is subject to an energy efficiency standard set forth in subpart C of this part unless it has submitted to the Department a Compliance Certification certifying, in accordance with the provisions of this section, that the basic model meets the requirements of the applicable standard. The representations in the Compliance Certification must be based upon the basic model's energy efficiency as determined in accordance with the applicable requirements of subpart B of this part. This means, in part, that either:

(1) the representations as to the basic model must be based on use of a certification organization, or

(2) any testing of the basic model on which the representations are based must be conducted at an accredited laboratory.

(b) *Required contents.* (1) *General representations.* Each Compliance Certification must certify that:

(i) The nominal full load efficiency for each basic model of electric motor distributed is not less than the minimum nominal full load efficiency required for that motor by section § 431.42;

(ii) All required determinations on which the Compliance Certification is based were made in compliance with the applicable requirements prescribed in subpart B of this part;

(iii) All information reported in the Compliance Certification is true, accurate, and complete; and

(iv) The manufacturer or private labeler is aware of the penalties associated with violations of the Act and the regulations thereunder, and of 18 U.S.C. 1001 which prohibits knowingly making false statements to the Federal Government.

(2) *Specific data.* (i) For each rating of electric motor (as the term ''rating'' is defined in the definition of basic model) which a manufacturer or private labeler distributes, the Compliance Certification must report the nominal full load efficiency, determined pursuant to §§ 431.23 and 431.24, of the least efficient basic model within that rating.

(ii) The Compliance Certification must identify the basic models on which actual testing has been performed to meet the requirements of section 431.24.

(iii) The format for a Compliance Certification is set forth in appendix A of this subpart.

(c) *Optional contents.* In any Compliance Certification, a manufacturer or private labeler may at its option request that DOE provide it with a unique Compliance Certification number (''CC number'') for any brand name, trademark or other label name under which the manufacturer or private labeler distributes electric motors covered by the Certification. Such a Compliance Certification must also identify all other names, if any, under which the manufacturer or private labeler distributes electric motors, and to which the request does not apply.

(d) *Signature and submission.* A manufacturer or private labeler must submit the Compliance Certification either on its own behalf, signed by a corporate officer of the company, or through a third party (for example, a trade association or other authorized representative) acting on its behalf. Where a third party is used, the Compliance Certification must identify the official of the manufacturer or private labeler who authorized the third party to make representations on the company's behalf, and must be signed by a corporate official of the third party. The Compliance Certification must be submitted to the Department by certified mail, to Department of Energy, Assistant Secretary for Energy Efficiency and Renewable Energy, Office of Building Research and Standards, Forrestal Building, 1000 Independence Avenue, SW, Washington, DC 20585–0121.

(e) *New basic models.* For electric motors, a Compliance Certification must be submitted for a new basic model only if the manufacturer or private labeler has not previously submitted to DOE a Compliance Certification, that meets the requirements of section 431.123, for a basic model that has the same rating as the new basic model, and that has a lower nominal full load efficiency than the new basic model.

(f) *Response to Compliance Certification; Compliance Certification Number (CC number).* (1) *DOE processing of Certification.* Promptly upon receipt of a Compliance Certification, the Department will determine whether the document contains all of the elements required by this section, and may, in its discretion, determine whether all or part of the information provided in the document is accurate. The Department will then advise the submitting party in writing either that the Compliance Certification does not satisfy the requirements of this section, in which case the document will be returned, or that the Compliance Certification satisfies this section. The Department will also advise the submitting party of the basis for its determination.

(2) *Issuance of CC number(s).* (i) Initial Compliance Certification. When DOE advises that the initial Compliance Certification submitted by or on behalf of a manufacturer or private labeler is acceptable, either:

(A) DOE will provide a single unique CC number, ''CC__ __ __ __,'' to the manufacturer or private labeler, and such CC number shall be applicable to all electric motors distributed by the manufacturer or private labeler, or

(B) When required by paragraph (f)(3) of this section, DOE will provide more than one CC number to the manufacturer or private labeler.

(ii) Subsequent Compliance Certification. When DOE advises that any other Compliance Certification is acceptable, it will provide a unique CC number for any brand name, trademark or other name when required by paragraph (f)(3) of this section.

(iii) When DOE declines to provide a CC number as requested by a manufacturer or private labeler in accordance with § 431.123(c), DOE will advise the requester of the reasons for such refusal.

(3) *Issuance of two or more CC numbers.* (i) DOE will provide a unique CC number for each brand name, trademark or other label name for which a manufacturer or private labeler requests such a number in accordance with § 431.123(c), except as follows. DOE will not provide a CC number for any brand name, trademark or other label name:

(A) For which DOE has previously provided a CC number, or

(B) That duplicates or overlaps with other names under which the manufacturer or private labeler sells electric motors.

(ii) Once DOE has provided a CC number for a particular name, that shall be the only CC number applicable to all electric motors distributed by the manufacturer or private labeler under that name.

(iii) If the Compliance Certification in which a manufacturer or private labeler requests a CC number is the initial Compliance Certification submitted by it or on its behalf, and it distributes electric motors not covered by the CC number(s) DOE provides in response to the request(s), DOE will also provide a unique CC number that shall be applicable to all of these other motors.

[64 FR 54141, Oct. 5, 1999; 65 FR 2227, Jan. 13, 2000]

§ 431.124 Maintenance of records.

(a) The manufacturer of any electric motor subject to energy efficiency standards prescribed under section 342 of the Act must establish, maintain and retain records of the following: the underlying test data for all testing conducted under this part; the development, substantiation, application, and subsequent verification of any AEDM used under this part; and any written certification received from a certification program, including a certificate of conformity, relied on under the provisions of this part. Such records must be organized and indexed in a fashion which makes them readily accessible for review. The records must include the supporting test data associated with tests performed on any test units to satisfy the requirements of this subpart (except tests performed by the Department directly).

(b) All such records must be retained by the manufacturer for a period of two years from the date that production of the applicable basic model of electric motor has ceased. Records must be retained in a form allowing ready access to the Department upon request.

§ 431.125 Imported equipment.

(a) Pursuant to sections 331 and 345 of the Act, any person importing any covered equipment into the United States shall comply with the provisions of the Act and of this part, and is subject to the remedies of this part.

(b) Any covered equipment offered for importation in violation of the Act and of this part shall be refused admission into the customs territory of the United States under rules issued by the Secretary of the Treasury, except that the Secretary of the Treasury may, by such rules, authorize the importation of such covered equipment upon such terms and conditions (including the furnishing of a bond) as may appear to the Secretary of Treasury appropriate to ensure that such covered equipment will not violate the Act and this part, or will be exported or abandoned to the United States.

§ 431.126 Exported equipment.

Pursuant to sections 330 and 345 of the Act, this part shall not apply to any covered equipment if (a) such covered equipment is manufactured, sold, or held for sale for export from the United States (or such product was imported for export), unless such equipment is, in fact, distributed in commerce for use in the United States, and (b) such covered equipment, when distributed in commerce, or any container in which it is enclosed when so distributed, bears a stamp or label stating that such covered equipment is intended for export.

§ 431.127 Enforcement.

(a) *Test notice.* Upon receiving information in writing, concerning the energy performance of a particular electric motor sold by a particular manufacturer or private labeler, which indicates that the electric motor may not be in compliance with the applicable energy efficiency standard, or upon undertaking to ascertain the accuracy of the efficiency rating on the nameplate or in marketing materials for an electric motor, disclosed pursuant to subpart E of this part, the Secretary may conduct testing of that covered equipment under this subpart by means of a test notice addressed to the manufacturer in accordance with the following requirements:

(1) The test notice procedure will only be followed after the Secretary or his/her designated representative has examined the underlying test data (or, where appropriate, data as to use of an alternative efficiency determination method) provided by the manufacturer and after the manufacturer has been offered the opportunity to meet with the Department to verify, as applicable, compliance with the applicable efficiency standard, or the accuracy of labeling information, or both. In addition, where compliance of a basic model was certified based on an AEDM, the Department shall have the discretion to pursue the provisions of section 431.24(a)(4)(iii) prior to invoking the test notice procedure. A representative designated by the Secretary shall be permitted to observe any reverification procedures undertaken pursuant to this subpart, and to inspect the results of such reverification.

(2) The test notice will be signed by the Secretary or his/her designee. The test notice will be mailed or delivered by the Department to the plant manager or other responsible official, as designated by the manufacturer.

(3) The test notice will specify the model or basic model to be selected for testing, the method of selecting the test sample, the date and time at which testing shall be initiated, the date by which testing is scheduled to be completed and the facility at which testing will be conducted. The test notice may also provide for situations in which the specified basic model is unavailable for testing, and may include alternative basic models.

(4) The Secretary may require in the test notice that the manufacturer of an electric motor shall ship at his expense a reasonable number of units of a basic model specified in such test notice to a testing laboratory designated by the Secretary. The number of units of a basic model specified in a test notice shall not exceed twenty (20).

(5) Within five working days of the time the units are selected, the manufacturer shall ship the specified test units of a basic model to the testing laboratory.

(b) *Testing laboratory.* Whenever the Department conducts enforcement testing at a designated laboratory in accordance with a test notice under this section, the resulting test data shall constitute official test data for that basic model. Such test data will be used by the Department to make a determination of compliance or noncompliance if a sufficient number of tests have been conducted to satisfy the requirements of appendix B of this subpart.

(c) *Sampling.* The determination that a manufacturer's basic model complies with its labeled efficiency, or the applicable energy efficiency standard, shall be based on the testing conducted in accordance with the statistical sampling procedures set forth in appendix B of this subpart and the test procedures set forth in appendix A to subpart B of this part.

(d) *Test unit selection.* A Department inspector shall select a batch, a batch sample, and test units from the batch sample in accordance with the provisions of this paragraph and the conditions specified in the test notice.

(1) The batch may be subdivided by the Department utilizing criteria specified in the test notice.

(2) A batch sample of up to 20 units will then be randomly selected from one or more subdivided groups within the batch. The manufacturer shall keep on hand all units in the batch sample until such time as the basic model is determined to be in compliance or noncompliance.

(3) Individual test units comprising the test sample shall be randomly selected from the batch sample.

(4) All random selection shall be achieved by sequentially numbering all of the units in a batch sample and then using a table of random numbers to select the units to be tested.

(e) *Test unit preparation.* (1) Prior to and during the testing, a test unit selected in accordance with paragraph (d) of this section shall not be prepared, modified, or adjusted in any manner unless such preparation, modification, or adjustment is allowed by the applicable Department of Energy test procedure. One test shall be conducted for each test unit in accordance with the applicable test procedures prescribed in appendix A to subpart B.

(2) No quality control, testing, or assembly procedures shall be performed on a test unit, or any parts and sub-assemblies 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 the Department. The Department shall authorize testing of an additional unit on a case-by-case basis.

(f) *Testing at manufacturer's option.* (1) If a manufacturer's basic model is determined to be in noncompliance with the applicable energy performance standard at the conclusion of Department testing in accordance with the sampling plan specified in appendix B of this subpart, the manufacturer may request that the Department conduct additional testing of the basic model according to procedures set forth in appendix B of this subpart.

(2) All units tested under this paragraph shall be selected and tested in accordance with the provisions given in paragraphs (a) through (e) of this section.

(3) The manufacturer shall bear the cost of all testing conducted under this paragraph.

(4) The manufacturer shall cease distribution of the basic model tested under the provisions of this paragraph from the time the manufacturer elects to exercise the option provided in this paragraph until the basic model is determined to be in compliance. The Department may seek civil penalties for all units distributed during such period.

(5) If the additional testing results in a determination of compliance, a notice of allowance to resume distribution shall be issued by the Department.

§ 431.128 Cessation of distribution of a basic model.

(a) In the event that a model is determined non-compliant by the Department in accordance with § 431.127 of this part or if a manufacturer or private labeler determines a model to be in noncompliance, then the manufacturer or private labeler shall:

(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.

(3) Pursuant to a request made by the Secretary, provide the Department within 30 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.

(4) The manufacturer may modify the non-compliant basic model in such manner as to make it comply with the applicable performance 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 subpart; except that in addition to satisfying all requirements of this subpart, the manufacturer shall also maintain records that demonstrate that modifications have been made to all units of the new basic model prior to distribution in commerce.

(b) If a basic model is not properly certified in accordance with the requirements of this subpart, the Secretary may seek, among other remedies, injunctive action to prohibit distribution in commerce of such basic model.

§ 431.129 Subpoena.

Pursuant to sections 329(a) and 345 of the Act, for purposes of carrying out this part, the Secretary or the Secretary's designee, 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 the 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 this part, the Secretary 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 a contempt thereof.

§ 431.130 Remedies.

If the Department determines that a basic model of a covered equipment does not comply with an applicable energy conservation standard:

(a) The Department will notify the manufacturer, private labeler, or any other person as required of this finding and of the Secretary's intent to seek a judicial order restraining further distribution in commerce of such basic model unless the manufacturer, private labeler or any other person as required, delivers to the Department within 15 calendar days a statement, satisfactory to the Department, of the steps he will take to ensure that the non-compliant model will no longer be distributed in commerce. The Department will monitor the implementation of such statement.

(b) If the manufacturer, private labeler, or any other person as required, fails to stop distribution of the noncompliant model, the Secretary may seek to restrain such violation in accordance with sections 334 and 345 of the Act.

(c) The Secretary shall determine whether the facts of the case warrant the assessment of civil penalties for knowing violations in accordance with sections 333 and 345 of the Act.

§ 431.131 Hearings and appeals.

(a) Pursuant to sections 333(d) and 345 of the Act, before issuing an order assessing a civil penalty against any person under this section, the Secretary shall provide to such person notice of the proposed penalty. Such notice shall inform such person of that person's opportunity to elect in writing within 30 days after the date of receipt of such notice to have the procedures of paragraph (c) of this section (in lieu of those in paragraph (b) of this section) apply with respect to such assessment.

(b)(1) Unless an election is made within 30 calendar days after receipt of notice under paragraph (a) of this section to have paragraph (c) of this section apply with respect to such penalty, the Secretary shall assess the penalty, by order, after a determination of violation has been made on the record after an opportunity for an agency hearing pursuant to section 554 of title 5, United States Code, before an administrative law judge appointed under section 3195 of such title 5. Such assessment order shall include the administrative law judge's findings and the basis for such assessment.

(2) Any person against whom a penalty is assessed under this section may, within 60 calendar days after the date of the order of the Secretary 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 order of the Secretary, or the court may remand the proceeding to the Secretary for such further action as the court may direct.

(c)(1) In the case of any civil penalty with respect to which the procedures of this section have been elected, the Secretary shall promptly assess such penalty, by order, after the date of the receipt of the notice under paragraph (a) of this section of the proposed penalty.

(2) If the civil penalty has not been paid within 60 calendar days after the assessment has been made under paragraph (c)(1) of this section, the Secretary shall institute an action in the appropriate District Court of the

United States 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.

(3) Any election to have this paragraph apply may not be revoked except with the consent of the Secretary.

(d) If any person fails to pay an assessment of a civil penalty after it has become a final and unappealable order under paragraph (b) of this section, or after the appropriate District Court has entered final judgment in favor of the Secretary under paragraph (c) of this section, the Secretary 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.

(e)(1) In accordance with the provisions of sections 333(d)(5)(A) and 345 of the Act and notwithstanding the provisions of title 28, United States Code, or section 502(c) of the Department of Energy Organization Act, the Secretary shall be represented by the General Counsel of the Department of Energy (or any attorney or attorneys within the Department designated by the Secretary) who shall supervise, conduct, and argue any civil litigation to which paragraph (c) of this section applies including any related collection action under paragraph (d) of this section in a court of the United States or in any other court, except the Supreme Court of the United States. However, the Secretary or the General Counsel shall consult with the Attorney General concerning such litigation and the Attorney General shall provide, on request, such assistance in the conduct of such litigation as may be appropriate.

(2) In accordance with the provisions of sections 333(d)(5)(B) and 345 of the Act, and subject to the provisions of section 502(c) of the Department of Energy Organization Act, the Secretary shall be represented by the Attorney General, or the Solicitor General, as appropriate, in actions under this section, except to the extent provided in paragraph (e)(1) of this section.

(3) In accordance with the provisions of sections 333(d)(5)(C) and 345 of the Act, section 402(d) of the Department of Energy Organization Act shall not apply with respect to the function of the Secretary under this section.

§ 431.132 Confidentiality.

Pursuant to the provisions of 10 CFR 1004.11, any person submitting information or data which the person believes to be confidential and exempt from public disclosure should submit one complete copy, and fifteen copies from which the information believed to be confidential has been deleted. In accordance with the procedures established at 10 CFR 1004.11, the Department shall make its own determination with regard to any claim that information submitted be exempt from public disclosure.

APPENDIX A TO SUBPART G OF PART 431 — COMPLIANCE CERTIFICATION

CERTIFICATION OF COMPLIANCE
WITH ENERGY EFFICIENCY STANDARDS FOR ELECTRIC MOTORS

(Office of Management and Budget Control Number: 1910-5104. Expires 02/28/2001)

1. Name and Address of Company (the "company"):

_____

_____

_____

_____

2. Name(s) to be Marked on Electric Motors to Which this Compliance Certification Applies:

_____

_____

_____

_____

3. If manufacturer or private labeler wishes to receive a unique Compliance Certification number for use with any particular brand name, trademark, or other label name, fill out the following two items:

A. List each brand name, trademark, or other label name for which the company requests a Compliance Certification number:

_____

_____

_____

B. List other name(s), if any, under which the company sells electric motors (if not listed in item 2 above):

_____

_____

_____

Submit by Certified Mail to: U.S. Department of Energy, Office of Energy Efficiency and Renewable Energy, Office of Building Research and Standards, Forrestal Building, 1000 Independence Avenue, SW, Washington, DC 20585-0121.

This Compliance Certification reports on and certifies compliance with requirements contained in 10 CFR Part 431 (Energy Conservation Program for Certain Commercial and Industrial Equipment) and Part C of the Energy Policy and Conservation Act (Public Law 94-163), and amendments thereto. It is signed by a responsible official of the above named company. Attached and incorporated as part of this Compliance Certification is a Listing of Electric Motor Efficiencies. For each rating of electric motor* for which the Listing specifies the nominal full load efficiency of a basic model, the company distributes no less efficient basic model with that rating and all basic models with that rating comply with the applicable energy efficiency standard.

* For this purpose, the term "rating" means one of the 113 combinations of an electric motor's horsepower (or standard kilowatt equivalent), number of poles, and open or enclosed construction, with respect to which section 431.42 of 10 CFR Part 431 prescribes nominal full load efficiency standards.

Person to Contact for Further Information:

Name: _____

Address: _____

_____

_____

_____

Telephone Number: _____

Facsimile Number: _____

If any part of this Compliance Certification, including the Attachment, was prepared by a third party organization under the provisions of section 431.123 of 10 CFR Part 431, the company official authorizing third party representations:

Name: _____

Address: _____

_____

_____

_____

Telephone Number: _____

Facsimile Number: _____

Third Party Organization Officially Acting as Representative:

Third Party Organization: _____

Responsible Person at that Organization: _____

Address: _____

_____

_____

_____

Telephone Number: _____

Facsimile Number: _____

All required determinations on which this Compliance Certification is based were made in conformance with the applicable requirements in 10 CFR Part 431, subpart B. All information reported in this Compliance Certification is true, accurate, and complete. The company is aware of the penalties associated with violations of the Act and the regulations thereunder, and is also aware of the provisions contained in 18 U.S.C. 1001, which prohibits knowingly making false statements to the Federal Government.

Signature: _____ Date: _____

Name: _____

Title: _____

Firm or Organization: _____

ATTACHMENT TO CERTIFICATION OF COMPLIANCE WITH ENERGY EFFICIENCY STANDARDS FOR ELECTRIC MOTORS: LISTING OF ELECTRIC MOTOR EFFICIENCIES

Date: _____

Name of Company: _____

_____

Rating of Electric Motor

Motor Horsepower/ Kilowatts	Number of Poles	Open or Enclosed Motor	Least Efficient Basic Model - (Model Number(s))	Nominal Full Load Efficiency
1 or .75	6	Open	_____	_____
1 or .75	4	Open	_____	_____
1 or .75	6	Enclosed	_____	_____
1 or .75	4	Enclosed	_____	_____
1 or .75	2	Enclosed	_____	_____
1.5 or 1.1	6	Open	_____	_____
1.5 or 1.1	4	Open	_____	_____
1.5 or 1.1	2	Open	_____	_____
1.5 or 1.1	6	Enclosed	_____	_____
1.5 or 1.1	4	Enclosed	_____	_____
1.5 or 1.1	2	Enclosed	_____	_____
...	...	...	_____	_____
etc.	etc.	etc.	_____	_____

Note: Place an asterisk beside each reported nominal full load efficiency that is determined by actual testing rather than by application of an alternative efficiency determination method. Also list below additional basic models that were subjected to actual testing.

Basic Model means all units of a given type of covered equipment (or class thereof) manufactured by a single manufacturer, and, with respect to electric motors, which (i) have the same rating, (ii) have electrical design characteristics that are essentially identical, and (iii) do not have any differing physical or functional characteristics that affect energy consumption or efficiency.

Rating means one of the 113 combinations of an electric motor's horsepower (or standard kilowatt equivalent), number of poles, and open or enclosed construction, with respect to which section 431.42 of 10 CFR Part 431 prescribes nominal full load efficiency standards.

Models Actually Tested and Not Previously Identified:

Rating of Electric Motor

Motor Power Output (e.g. 1 hp or .75 kW)	Number of Poles	Open or Enclosed Motor	Basic Model(s) (Model Number(s))	Nominal Full Load Efficiency
...	...	...	...	...
etc.	etc.	etc.	etc.	etc.

APPENDIX B TO SUBPART G OF PART 431—SAMPLING PLAN FOR ENFORCEMENT TESTING

Step 1. The first sample size (n_1) must be five or more units.

Step 2. Compute the mean ($\bar{X}_1$) of the measured energy performance of the n_1 units in the first sample as follows:

$$\overline{X}_1 = \frac{1}{n_1}\sum_{i=1}^{n_1} X_i \qquad (1)$$

where X_i is the measured full-load efficiency of unit i.

Step 3. Compute the sample standard deviation (S_1) of the measured full-load efficiency of the n_1, units in the first sample as follows:

$$S_1 = \sqrt{\frac{\sum_{i=1}^{n_1}\left(X_i - \overline{X}_1\right)^2}{n_1 - 1}} \qquad (2)$$

Step 4. Compute the standard error ($SE(\bar{X}_1)$) of the mean full-load efficiency of the first sample as follows:

$$SE\left(\overline{X}_1\right) = \frac{S_1}{\sqrt{n_1}} \qquad (3)$$

Step 5. Compute the lower control limit (LCL_1) for the mean of the first sample using RE as the desired mean as follows:

$$LCL_1 = RE - tSE\left(\overline{X}_1\right) \qquad (4)$$

where:

RE is the applicable EPCA nominal full-load efficiency when the test is to determine compliance with the applicable statutory standard, or is the labeled nominal full-load efficiency when the test is to determine compliance with the labeled efficiency value, and

t is the 2.5th percentile of a t-distribution for a sample size of n_1, which yields a 97.5 percent confidence level for a one-tailed t-test.

Step 6. Compare the mean of the first sample ($\bar{X}_1$) 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 in non-compliance 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 non-compliance can be made; proceed to Step 7.

Step 7. Determine the recommended sample size (n) as follows:

$$n = \left[\frac{tS_1(120 - 0.2RE)}{RE(20 - 0.2RE)}\right]^2 \qquad (5)$$

where S_1, RE and t have the values used in Steps 3 and 5, respectively. The factor

$$\frac{120 - 0.2RE}{RE(20 - 0.2RE)}$$

is based on a 20 percent tolerance in the total power loss at full-load and fixed output power.

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 ($\bar{X}_1$) 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 in non-compliance. 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 $20-n_1$, set n_2 equal to $20-n_1$.

Step 8. Compute the combined mean ($\bar{X}_2$) of the measured energy performance of the n_1 and n_2 units of the combined first and second samples as follows:

$$\overline{X}_2 = \frac{1}{n_1 + n_2} \sum_{i=1}^{n_1+n_2} X_i \qquad (6)$$

Step 9. Compute the standard error ($SE(\bar{X}_2)$) of the mean full-load efficiency of the n_1 and n_2 units in the combined first and second samples as follows:

$$SE\left(\overline{X}_2\right) = \frac{S_1}{\sqrt{n_1 + n_2}} \qquad (7)$$

(Note that S_1 is the value obtained above in Step 3.)

Step 10. Set the lower control limit (LCL_2) to,

$$LCL_2 = RE - tSE\left(\overline{X}_2\right) \qquad (8)$$

where t has the value obtained in Step 5, and compare the combined sample mean ($\bar{X}_2$) to the lower control limit (LCL_2) to find one of the following:

(i) If the mean of the combined sample ($\bar{X}_2$) is less than the lower control limit (LCL_2), the basic model is in non-compliance and testing is at an end.

(ii) If the mean of the combined sample ($\bar{X}_2$) is equal to or greater than the lower control limit (LCL_2), the basic model is in compliance and testing is at an end.

MANUFACTURER-OPTION TESTING

If a determination of non-compliance is made in Steps 6, 7 or 10, above, the manufacturer may request that additional testing be conducted, in accordance with the following procedures.

Step A. The manufacturer requests that an additional number, n_3, of units be tested, with n_3 chosen such that $n_1 + n_2 + n_3$ does not exceed 20.

Step B. Compute the mean full-load efficiency, standard error, and lower control limit of the new combined sample in accordance with the procedures prescribed in Steps 8, 9, and 10, above.

Step C. Compare the mean performance of the new combined sample to the lower control limit (LCL_2) to determine one of the following:

(a) If the new combined sample mean is equal to or greater than the lower control limit, the basic model is in compliance and testing is at an end.

(b) If the new combined sample mean is less than the lower control limit and the value of $n_1 + n_2 + n_3$ is less than 20, the manufacturer may request that additional units be tested. The total of all units tested may not exceed 20. Steps A, B, and C are then repeated.

(c) Otherwise, the basic model is determined to be in non-compliance.

EFFECTIVE DATE NOTE: At 65 FR 60012, Oct. 6, 2000, part 434 was added, effective Oct. 8, 2001. For the convenience of the user, the added text follows:

PART 434—ENERGY CODE FOR NEW FEDERAL COMMERCIAL AND MULTI-FAMILY HIGH RISE RESIDENTIAL BUILDINGS

Sec.

434.99 Explanation of numbering system for codes.

Subpart A—Administration and Enforcement—General

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434.401 Electrical power and lighting systems.
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434.507 Calculation procedure and simulation tool.
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434.512 Internal loads.
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434.516 Building exterior envelope.
434.517 HVAC systems and equipment.
434.518 Service water heating.
434.519 Controls.
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434.521 The simulation tool.

Subpart F—Building Energy Compliance Alternative

434.601 General.
434.602 Determination of the annual energy budget.
434.603 Determination of the Design Energy Use.
434.604 Compliance.
434.605 Standard Calculation Procedure.
434.606 Simulation tool.
434.607 Life cycle cost analysis criteria.

Subpart G—Reference Standards

434.701 General.

AUTHORITY: 42 U.S.C. 6831–6832, 6834–6836; 42 U.S.C. 8253–54; 42 U.S.C. 7101, *et seq*.

SOURCE: 65 FR 60012, Oct. 6, 2000, unless otherwise noted.

§ 434.99 Explanation of numbering system for codes.

(a) For purposes of this part, a derivative of two different numbering systems will be used.

(1) For the purpose of designating a section, the system employed in the Code of Federal Regulations (CFR) will be employed. The number ''434'' which signifies part 434 in chapter II of Title 10, Code of Federal Regulations, is used as a prefix for all section headings. The suffix is a two or three digit section number. For example the lighting section of the standards is designated § 434.401.

(2) Within each section, a numbering system common to many national voluntary consensus standards is used. A decimal system is used to denote paragraphs and subparagraphs within a section. For example, in § 434.401, ''401.2.1'' refers to subsection 401, paragraph 2, subparagraph 1.

(b) The hybrid numbering system is used for two purposes:

(1) The use of the Code of Federal Regulations' numbering system allows the researcher using the CFR easy access to the standards.

(2) The use of the second system allows the builder, designer, architect or engineer easy access because they are familiar to this system numbering. This system was chosen because of its commonality among the building industry.

Subpart A—Administration and Enforcement—General

§ 434.100 Purpose.

The provisions of this part provide minimum standards for energy efficiency for the design of new Federal commercial and multi-family high rise residential buildings. The performance standards are designed to achieve the maximum practicable improvements in energy efficiency and increases in the use of non-depletable sources of energy. This rule is based upon the ASHRAE/IESNA Standard 90.1–1989 and addenda b, c, d, e, f, g, and i. (This document is available from the American Society of Heating, Refrigerating and Air-Conditioning Engineers, Inc., 1791 Tullie Circle NE, Atlanta, GA.) It is not incorporated by reference in this document, but is mentioned for informational purposes only.

§ 434.101 Scope.

101.1 This part provides design requirements for the building envelope, electrical distribution systems and equipment for electric power, lighting, heating, ventilating, air conditioning, service water heating and energy management. It applies to new Federal multi-family high rise residential buildings and new Federal commercial buildings.

101.1.1 (a) Except as provided by section 101.2, the provisions of this part apply if an agency is constructing:

(1) A building that has never been in service;

(2) An addition that adds new space with provision for a heating or cooling system, or both, or for a hot water system; or

(3) A substantial renovation of a building, involving replacement of a heating or cooling system, or both, or hot water system, that is either in service or has been in service.

101.2 The provisions of this part do not apply to:

101.2.1 Buildings, or portions thereof separated from the remainder of the building, that have a peak energy usage for space conditioning, service water heating, and lighting of less than 3.5 Btu/(h•ft^2 of gross floor area.

101.2.2 Buildings of less than 100 square feet of gross floor area.

101.2.3 Heating, cooling, ventilating, or service hot water requirements for those spaces where processes occur for purposes other than occupant comfort and sanitation, and which impose thermal loads in excess of

5% of the loads that would otherwise be required for occupant comfort and sanitation without the process;

101.2.4 Envelope requirements for those spaces where heating or cooling requirements are excepted in subsection 101.2.3 of this section.

101.2.5 Lighting for tasks not listed or encompassed by areas or activities listed in Tables 401.3.2b, 401.3.2c and 401.3.2d.

101.2.6 Buildings that are composed entirely of spaces listed in subsections 101.2.4 and 101.2.5.

101.2.7 Individual components of a building under renovation, if the building components are not in the scope of a renovation as defined by the agency.

§ 434.102 Compliance.

102.1 A covered building must be designed and constructed consistent with the provisions of subpart D of this part.

102.2 Buildings designed and constructed to meet the alternative requirements of subparts E or F of this part shall be deemed to satisfy the requirements of this part. Such designs shall be certified by a registered architect or engineer stating that the estimated energy cost or energy use for the building as designed is no greater than the energy cost or energy use of a prototype building or reference building as determined pursuant to subparts E or F of this part.

§ 434.103 Referenced standards (RS).

103.1 The standards, technical handbooks, papers and regulations listed in §434.701, shall be considered part of this part to the prescribed extent of such reference. Where differences occur between the provisions of this part and referenced standards, the provisions of this part shall apply. Whenever a reference is made in this part to an RS standard it refers to the standards listed in §434.701.

§ 434.105 Materials and equipment.

105.1 Building materials and equipment shall be identified in designs in a manner that will allow for a determination of their compliance with the applicable provisions of this part.

Subpart B—Definitions

§ 434.201 Definitions.

For the purposes of this part, the following terms, phrases, and words shall be defined as provided:

Accessible (as applied to equipment): admitting close approach; not guarded by locked doors, elevations, or other effective means. (See also ''readily accessible'')

Annual Fuel Utilization Efficiency (AFUE): the ratio of annual output energy to annual input energy that includes any non-heating season pilot input loss.

Area of the space (A): the horizontal lighted area of a given space measured from the inside of the perimeter walls or partitions, at the height of the working surface.

Automatic: self-acting, operating by its own mechanism when actuated by some impersonal influence, such as a change in current strength, pressure, temperature, or mechanical configuration. (See also''manual'')

Automatic flue damper device: an electrically operated device, in the flue outlet or in the inlet of or upstream of the draft hood of an individual automatically operated gas-fired appliance, which is designed to automatically open the flue outlet during appliance operation and to automatically close off the flue outlet when the appliance is in a standby condition.

Automatic vent damper device: a device intended for installation in the venting system, in the outlet of or downstream of the appliance draft hood, of an individual automatically operated gas-fired appliance, which is designed to automatically open the venting system when the appliance is in operation and to automatically close off the venting system when the appliance is in a standby or shutdown condition.

(1) *Electrically operated:* an automatic vent damper device that employs electrical energy to control the device.

(2) *Thermally actuated:* an automatic vent damper device dependent for operation exclusively upon the direct conversion of the thermal energy of the vent gases into mechanical energy.

Boiler capacity: the rated heat output of the boiler, in Btu/h, at the design inlet and outlet conditions and rated fuel or energy input.

Building: means any structure to be constructed which includes provision for a heating or cooling system, or both, or for a hot water system.

Building code: means a legal instrument which is in effect in a State or unit of general purpose local government, the provisions of which must be adhered to if a building is to be considered to be in conformance with law and suitable for occupancy and use.

Building envelope: the elements of a building that enclose conditioned spaces through which thermal energy may be transferred to or from the exterior or to or from unconditioned spaces.

Check metering: measurement instrumentation for the supplementary monitoring of energy consumption (electric, gas, oil, etc) to isolate the various categories of energy use to permit conservation and control, in addition to the revenue metering furnished by the utility.

Coefficient of performance (COP)—Cooling: the ratio of the rate of heat removal to the rate of energy input, in consistent units, for a complete cooling system or factory assembled equipment, as tested under a nationally

recognized standard or designated operating conditions.

Coefficient of performance (COP) heat pump—Heating: the ratio of the rate of heat delivered to the rate of energy input, in consistent units, for a complete heat pump system under designated operating conditions.

Commercial building: a building other than a residential building, including any building developed for industrial or public purposes. Including but not limited to occupancies for assembly, business, education, institutions, food sales and service, merchants, and storage.

Conditioned floor area: the area of the conditioned space measured at floor level from the interior surfaces of the walls.

Conditioned space: a cooled space, heated space, or indirectly conditioned space.

Cooled space: an enclosed space within a building that is cooled by a cooling system whose sensible capacity:

(1) Exceeds 5 Btu/(h•ft^2); or

(2) Is capable of maintaining a space dry bulb temperature of 90°F or less at design cooling conditions.

Daylight sensing control (DS): a device that automatically regulates the power input to electric lighting near the fenestration to maintain the desired workplace illumination, thus taking advantage of direct or indirect sunlight.

Daylighted space: the space bounded by vertical planes rising from the boundaries of the daylighted area on the floor to the floor or roof above.

Daylighted zone:

(1) Under skylights: the area under each skylight whose horizontal dimension in each direction is equal to the skylight dimension in that direction plus either the floor-to-ceiling height or the dimension to an opaque partition, or one-half the distance to an adjacent skylight or vertical glazing, whichever is least.

(2) At vertical glazing: the area adjacent to vertical glazing that receives daylighting from the glazing. For purposes of this definition and unless more detailed daylighting analysis is provided, the daylighting zone depth is assumed to extend into the space a distance of 15 ft or to the nearest opaque partition, whichever is less. The daylighting zone width is assumed to be the width of the window plus either 2 ft on each side, the distance to an opaque partition, or one half the distance to an adjacent skylight or vertical glazing, whichever is least.

Dead band (dead zone): the range of values within which an input variable that can be varied without initiating any noticeable change in the output variable.

Degree-day, cooling: a unit, based upon temperature difference and time, used in estimating cooling energy consumption. For any one day, when the mean temperature is more than a reference temperature, typically 65°F, there are as many degree-days as degrees Fahrenheit temperature difference between the mean temperature for the day and the reference temperature. Annual cooling degree-days (CDD) are the sum of the degree-days over a calendar year.

Degree-day, heating: a unit, based upon temperature difference and time, used in estimating heating energy consumption. For any one day, when the mean temperature is less than a reference temperature, typically 65°F, there are as many degree-days as degrees Fahrenheit temperature difference between the mean temperature for the day and the reference temperature. Annual heating degree days (HDD) are the sum of the degree-days over a calendar year.

Dwelling unit: a single housekeeping unit comprised of one or more rooms providing complete independent living facilities for one or more persons, including permanent provisions for living, sleeping, eating, cooking, and sanitation.

Economizer, air: a ducting arrangement and automatic control system that allows a cooling supply fan system to supply outdoor (outside) air to reduce or eliminate the need for mechanical refrigeration during mild or cold weather.

Economizer, water: a system by which the supply air of a cooling system is cooled directly or indirectly or both by evaporation of water or by other appropriate fluid in order to reduce or eliminate the need for mechanical refrigeration.

Efficiency, HVAC system: the ratio of the useful energy output, at the point of use to the energy input in consistent units, for a designated time period, expressed in percent.

Emergency system (back-up system): a system that exists for the purpose of operating in the event of failure of a primary system.

Emergency use: electrical and lighting systems required to supply power automatically for illumination and equipment in the event of a failure of the normal power supply.

Energy efficiency ratio (EER): the ratio of net equipment cooling capacity in Btu/h to total rate of electric input in watts under designated operating conditions. When consistent units are used, this ratio becomes equal to COP. (See also ''coefficient of performance''.)

Fan system energy demand: the sum of the demand of all fans that are required to operate at design conditions to supply air from the heating or cooling source to the conditioned space(s) and return it back to the source or exhaust it to the outdoors.

Federal Agency: means any department, agency, corporation, or other entity or instrumentality of the executive branch of the Federal Government, including the United States Postal Service, the Federal National Mortgage Association, and the Federal Home Loan Mortgage Corporation.

Federal Building: means any building to be constructed by, or for the use of, any Federal Agency which is not legally subject to State or local building codes or similar requirements.

Fenestration: any light-transmitting section in a building wall or roof. The fenestration includes glazing material (which may be glass or plastic), framing (mullions, muntins, and dividers), external shading devices, internal shading devices, and integral (between glass) shading devices.

Fenestration area: the total area of fenestration measured using the rough opening and including the glass or plastic, sash, and frame. For doors where the glazed vision area is less than 50% of the door area, the fenestration area is glazed vision area. For all other doors, the fenestration area is the door area.

Flue damper: a device, in the flue outlet or in the inlet of or upstream of the draft hood of an individual automatically operated gas-fired appliance, which is designed to automatically open the flue outlet during appliance operation and to automatically close off the flue outlet when the appliance is in a standby condition.

Gross floor area: the sum of the floor areas of the conditioned spaces within the building, including basements, mezzanine and intermediate-floor tiers, and penthouses of headroom height 7.5 ft or greater. It is measured from the exterior faces of exterior walls or from the centerline of walls separating buildings (excluding covered walkways, open roofed-over areas, porches and similar spaces, pipe trenches, exterior terraces or steps, chimneys, roof overhangs, and similar features).

Gross lighted area (GLA): the sum of the total lighted areas of a building measured from the inside of the perimeter walls for each floor of the building.

Heat capacity (HC): the amount of heat necessary to raise the temperature of a given mass 1°F. Numerically, the mass expressed per unit of wall surface multiplied by the specific heat Btu/(ft^2•°F).

Heat trap: device or piping arrangement that effectively restricts the natural tendency of hot water to rise in vertical pipes during standby periods. Examples are the U-shaped arrangement of elbows or a 360-degree loop of tubing.

Heated space: an enclosed space within a building that is heated by a heating system whose output capacity

(1) Exceeds 10 Btu/(h•ft^2), or

(2) Is capable of maintaining a space dry-bulb temperature of 50°F or more at design heating conditions.

Heating seasonal performance factor (HSPF): the total heating output of a heat pump during its normal annual usage period for heating, in Btu, divided by the total electric energy input during the same period, in watt-hours.

High rise residential building: hotels, motels, apartments, condominiums, dormitories, barracks, and other residential-type facilities that provide complete housekeeping or transient living quarters and are over three stories in height above grade.

Humidistat: an automatic control device responsive to changes in humidity.

HVAC system: the equipment, distribution network, and terminals that provide either collectively or individually the processes of heating, ventilating, or air conditioning to a building.

Indirectly conditioned space: an enclosed space within the building that is not a heated or cooled space, whose area-weighted heat transfer coefficient to heated or cooled spaces exceeds that to the outdoors or to unconditioned spaces; or through which air from heated or cooled spaces is transferred at a rate exceeding three air changes per hour. (See also ''heated space'', ''cooled space'', and ''unconditioned space''.)

Infiltration: the uncontrolled inward air leakage through cracks and crevices in any building element and around windows and doors of a building.

Integrated part-load value (IPLV): a single-number figure of merit based on part-load EER or COP expressing part-load efficiency for air-conditioning and heat pump equipment on the basis of weighted operation at various load capacities for the equipment.

Lumen maintenance control: a device that senses the illumination level and causes an increase or decrease of illuminance to maintain a preset illumination level.

Manual: action requiring personal intervention for its control. As applied to an electric controller, manual control does not necessarily imply a manual controller but only that personal intervention is necessary. (See automatic.)

Marked rating: the design load operating conditions of a device as shown by the manufacturer on the nameplate or otherwise marked on the device.

Multi-family high rise residential: a residential building containing three or more dwelling units and is designed to be 3 or more stories above grade.

Occupancy sensor: a device that detects the presence or absence of people within an area and causes any combination of lighting, equipment, or appliances to be adjusted accordingly.

Opaque areas: all exposed areas of a building envelope that enclose conditioned space except fenestration areas and building service openings such as vents and grilles.

Orientation: the directional placement of a building on a building site with reference to the building's longest horizontal axis or, if there is no longest horizontal axis, then with reference to the designated main entrance.

Outdoor air: air taken from the exterior of the building that has not been previously circulated through the building. (See ''ventilation air'')

Ozone depletion factor: a relative measure of the potency of chemicals in depleting stratospheric ozone. The ozone depletion factor potential depends upon the chlorine and the bromine content and atmospheric lifetime of the chemical. The depletion factor potential is normalized such that the factor for CFC–11 is set equal to unity and the factors for the other chemicals indicate their potential relative to CFC–11.

Packaged terminal air conditioner (PTAC): a factory-selected wall sleeve and separate unencased combination of heating and cooling components, assemblies, or sections (intended for mounting through the wall to serve a single room or zone). It includes heating capability by hot water, steam, or electricity.

Packaged terminal heat pump: a PTAC capable of using the refrigeration system in a reverse cycle or heat pump mode to provide heat.

Plenum: an enclosure that is part of the air-handling system and is distinguished by having a very low air velocity. A plenum often is formed in part or in total by portions of the building.

Private driveways, walkways, and parking lots: exterior transit areas that are associated with a commercial or residential building and intended for use solely by the employees or tenants and not by the general public.

Process energy: energy consumed in support of a manufacturing, industrial, or commercial process other than the maintenance of comfort and amenities for the occupants of a building.

Process load: the calculated or measured time-integrated load on a building resulting from the consumption or release of process energy.

Programmable: capable of being preset to certain conditions and having self-initiation to change to those conditions.

Projection factor: the exterior horizontal shading projection depth divided by the sum of the height of the fenestration and the distance from the top of the fenestration to the bottom of the external shading projection in units consistent with the projection depth.

Prototype building: a generic building design of the same size and occupancy type as the proposed design that complies with the prescriptive requirements of subpart D of this part and has prescribed assumptions used to generate the energy budget concerning shape, orientation, and HVAC and other system designs.

Public driveways, walkways, and parking lots: exterior transit areas that are intended for use by the general public.

Public facility restroom: a restroom used by the transient public.

Readily accessible: capable of being reached quickly for operation, renewal, or inspections without requiring those to whom ready access is requisite to climb over or remove obstacles or to resort to portable ladders, chairs, etc. (See also accessible.)

Recooling: lowering the temperature of air that has been previously heated by a heating system.

Reference building: a specific building design that has the same form, orientation, and basic systems as the prospective design that is to be evaluated for compliance and meets all the criteria listed in subsection 501.2 or subsection 601.2.

Reheating: raising the temperature of air that has been previously cooled either by refrigeration or an economizer system.

Reset: adjustment of the controller setpoint to a higher or lower value automatically or manually.

Roof: those portions of the building envelope, including all opaque surfaces, fenestration, doors, and hatches, that are above conditioned space and are horizontal or tilted at less than 60° from horizontal. (See also''walls'')

Room air conditioner: an encased assembly designed as a unit to be mounted in a window or through a wall or as a console. It is designed primarily to provide free delivery of conditioned air to an enclosed space, room, or zone. It includes a prime source of refrigeration for cooling and dehumidification and means for circulating and cleaning air and may also include means for ventilating and heating.

Seasonal energy efficiency ratio (SEER): the total cooling output of an air conditioner during its normal annual usage period for cooling, in Btu, divided by the total electric energy input during the same period, in watt-hours.

Service systems: all energy-using or energy-distributing components in a building that are operated to support the occupant or process functions housed therein (including HVAC, service water heating, illumination, transportation, cooking or food preparation, laundering, or similar functions).

Service water heating: the supply of hot water for purposes other than comfort heating and process requirements.

Shading coefficient (SC): the ratio of solar heat gain through fenestration under a specific set of conditions, with or without integral shading devices, to that occurring through unshaded ⅛-in-thick clear double-strength glass under the same conditions.

Shell Building: a building for which the envelope is designed, constructed, or both prior to knowing the occupancy type. (See also ''speculative building'')

Single-Line Diagram: a simplified schematic drawing that shows the connection between

two or more items. Common multiple connections are shown as one line.

Skylight: glazing that is horizontal or tilted less than 60° from horizontal.

Solar energy source: natural daylighting or thermal, chemical, or electrical energy derived from direct conversion of incident solar radiation at the building site.

Solar heat gain coefficient (SHGC): the ratio of the solar heat gain entering the space through the fenestration area to the incident solar radiation. Solar heat gain includes directly transmitted solar heat and absorbed solar radiation, which is then reradiated, conducted, or convected into the space. (See fenestration area)

Speculative building: a building for which the envelope is designed, constructed, or both prior to the design of the lighting, HVAC systems, or both. A speculative building differs from a shell building in that the intended occupancy is known for the speculative building. (See also ''shell building'')

System: a combination of equipment and/or controls, accessories, interconnecting means, and terminal elements by which energy is transformed so as to perform a specific function, such as HVAC, service water heating, or illumination.

Tandem wiring: pairs of luminaries operating with lamps in each luminaire powered from a single ballast contained in one of the luminaires.

Task lighting: lighting that provides illumination for specific functions and is directed to a specific surface or area.

Task location: an area of the space where significant visual functions are performed and where lighting is required above and beyond that required for general ambient use.

Terminal element: a device by which the transformed energy from a system is finally delivered. Examples include registers, diffusers, lighting fixtures, and faucets.

Thermal conductance (C): the constant time rate of heat flow through the unit area of a body induced by a unit temperature difference between the surfaces, expressed in Btu/(h•ft^2•°F). It is the reciprocal of thermal resistance. (See ''thermal resistance'')

Thermal mass: materials with mass heat capacity and surface area capable of affecting building loads by storing and releasing heat as the interior or exterior temperature and radiant conditions fluctuate. (See also ''heat capacity'' and ''wall heat capacity'')

Thermal mass wall insulation position:

(1) Exterior insulation position: a wall having all or nearly all of its mass exposed to the room air with the insulation on the exterior of that mass.

(2) Integral insulation position: a wall having mass exposed to both room and outside (outside) air with substantially equal amounts of mass on the inside and outside of the insulation layer.

(3) Interior insulation position: a wall not meeting either of the above definitions, particularly a wall having most of its mass external to an insulation layer.

Thermal resistance (R): the reciprocal of thermal conductance 1/C, 1/H, 1/U; expressed in (h•ft$^{2.}$°F)/Btu.

Thermal transmittance (U): the overall coefficient of heat transfer from air to air. It is the time rate of heat flow per unit area under steady conditions from the fluid on the warm side of the barrier to the fluid on the cold side, per unit temperature difference between the two fluids, expressed in Btu/(h•ft$^{2.}$°F).

Thermal transmittance, overall (U_o): the gross overall (area weighted average) coefficient of heat transfer from air to air for a gross area of the building envelope, Btu/(h•ft$^{2.}$°F). The U_o value applies to the combined effect of the time rate of heat flows through the various parallel paths, such as windows, doors, and opaque construction areas, composing the gross area of one or more building envelope components, such as walls, floors, and roof or ceiling.

Thermostat: an automatic control device responsive to temperature.

Unconditioned space: space within a building that is not a conditioned space. (See ''conditioned space'')

Unitary cooling equipment: one or more factory-made assemblies that normally include an evaporator or cooling coil, a compressor, and a condenser combination (and may also include a heating function).

Unitary heat pump: one or more factory-made assemblies that normally include an indoor conditioning coil, compressor(s), and outdoor coil or refrigerant-to-water heater exchanger, including means to provide both heating and cooling functions.

Variable-air-volume (VAV) HVAC system: HVAC systems that control the dry-bulb temperature within a space by varying the volume of heated or cooled supply air to the space.

Vent damper: a device intended for installation in the venting system, in the outlet of or downstream of the appliance draft hood, of an individual automatically operating gas-fired appliance, which is designed to automatically open the venting system when the appliance is in operation and to automatically close off the venting system when the appliance is in a standby or shutdown condition.

Ventilation: the process of supplying or removing air by natural or mechanical means to or from any space. Such air may or may not have been conditioned.

Ventilation air: that portion of supply air which comes from the outside, plus any recirculated air, to maintain the desired quality of air within a designated space. (See also ''outdoor air'')

Visible light transmittance: the fraction of solar radiation in the visible light spectrum that passes through the fenestration (window, clerestory, or skylight).

Walls: those portions of the building envelope enclosing conditioned space, including all opaque surfaces, fenestration, and doors, which are vertical or tilted at an angle of 60* from horizontal or greater. (See also ''roof'')

Wall heat capacity: the sum of the products of the mass of each individual material in the wall per unit area of wall surface times its individual specific heat, expressed in Btu/(ft^2•°F). (See'' thermal mass'')

Window to wall ratio (WWR): the ratio of the wall fenestration area to the gross exterior wall area.

Zone: a space or group of spaces within a building with any combination of heating, cooling, or lighting requirements sufficiently similar so that desired conditions can be maintained throughout by a single controlling device.

Subpart C—Design Conditions

§ 434.301 Design criteria.

301.1 The following design parameters shall be used for calculations required under subpart D of this part.

301.1.1 *Exterior Design Conditions.* Exterior Design Conditions shall be expressed in accordance with Table 301.1.

TABLE 301.1—EXTERIOR DESIGN CONDITIONS

Winter Design Dry-Bulb (99%)	.....	Degrees F.
Summer Design Dry-Bulb (2.5%)	.....	Degrees F.
Mean Coincident Wet-Bulb (2.5%)	.....	Degrees F.
Degree-Days, Heating (Base 65)	.....	HDD Base 65° F.
Degree-Days, Cooling (Base 65)	.....	CDD Base 65°F.
Annual Operting Hours, 8 a.m. to 4 p.m. when 55°F≤T≤69°F.	.....	Hours.

[The exterior design conditions shall be added to Table 301.1 from the city-specific Shading Coefficient table from Appendix A of RS–1 (incorporated by reference, see § 434.701). Copies of specific tables contained in Appendix A of RS–1 (incorporated by reference, see § 434.701). can be obtained from the Energy Code for Federal Commercial Buildings, Docket No. EE–RM–79–112–C, EE–43, Office of Building Research and Standards, U.S. Department of Energy, Room 1J–018, 1000 Independence Avenue, SW., Washington, DC 20585, (202) 586–9127. Adjustments may be made to reflect local climates which differ from the tabulated temperatures or local weather experience as determined by the building official. Where local building site climatic data are not available, climate data from a nearby location included in RS–1, Appendix C, (incorporated by reference, see § 434.701) and RS–4 Chapter 24, Table 1, (incorporated by reference, see § 434.701) shall be used as determined by the building official.]

301.2 *Indoor Design Conditions.* Indoor design temperature and humidity conditions shall be in accordance with the comfort criteria in RS–2 (incorporated by reference, see § 434.701), except that humidification and dehumidification are not required.

Subpart D—Building Design Requirements—Electric Systems and Equipment

§ 434.401 Electrical power and lighting systems.

Electrical power and lighting systems, other than those systems or portions thereof required for emergency use only, shall meet these requirements.

401.1 *Electrical Distribution Systems.*

401.1.1 *Check Metering.* Single-tenant buildings with a service over 250 kVA and tenant spaces with a connected load over 100 kVA in multiple-tenant buildings shall have provisions for check metering of electrical consumption. The electrical power feeders for which provision for check metering is required shall be subdivided as follows:

401.1.1.1 Lighting and receptacle outlets

401.1.1.2 HVAC systems and equipment

401.1.1.3 Service water heating (SWH), elevators, and special occupant equipment or systems of more than 20 kW.

401.1.1.4 Exception to 401.1.1.1 through 401.1.1.3: 10 percent or less of the loads on a feeder may be from another usage or category.

401.1.2 Tenant-shared HVAC and service hot water systems in multiple tenant buildings shall have provision to be separately check metered.

401.1.3 Subdivided feeders shall contain provisions for portable or permanent check metering. The minimum acceptable arrangement for compliance shall provide a safe method for access by qualified persons to the enclosures through which feeder conductors pass and provide sufficient space to attach clamp-on or split core current transformers. These enclosures may be separate compartments or combined spaces with electrical cabinets serving another function. Dedicated enclosures so furnished shall be identified as to measuring function available.

401.1.4 *Electrical Schematic.* The person responsible for installing the electrical distribution system shall provide the Federal building manager a single-line diagram of

the record drawing for the electrical distribution system, which includes the location of check metering access, schematic diagrams of non-HVAC electrical control systems, and electrical equipment manufacturer's operating and maintenance literature.

401.2 *Electric Motors.* All permanently wired polyphase motors of 1 hp or more shall meet these requirements:

401.2.1 *Efficiency.* NEMA design A & B squirrel-cage, foot-mounted, T-frame induction motors having synchronous speeds of 3600, 1800, 1200, and 900 rpm, expected to operate more than 1000 hours per year shall have a nominal full-load efficiency no less than that shown in Table 401.2.1 or shall be classified as an ''energy efficient motor'' in accordance with RS–3 (incorporated by reference, see §434.701). The following are not covered:

(a) Multispeed motors used in systems designed to use more than one speed.

(b) Motors used as a component of the equipment meeting the minimum equipment efficiency requirements of subsection 403, provided that the motor input is included when determining the equipment efficiency.

TABLE 401.2.1—MINIMUM ACCEPTABLE NOMINAL FULL-LOAD EFFICIENCY FOR SINGLE-SPEED POLYPHASE SQUIRREL-CAGE INDUCTION MOTORS HAVING SYNCHRONOUS SPEEDS OF 3600, 1800, 1200 AND 900 RPM [1]

HP	2-Pole		4-Pole		6-Pole		8-Pole	
	Nominal efficiency	Minimum efficiency	Nominal efficiency	Minimum efficiency	Nominal efficiency	Minimum efficiency	Nominal efficiency	Minimum efficiency
Full-Load Efficiencies—Open Motors								
1.0	.....	.....	82.5	81.5	80.0	78.5	74.0	72.0
1.5	82.5	81.5	84.0	82.5	84.0	82.5	75.5	74.0
2.0	84.0	82.5	84.0	82.5	85.5	84.0	85.5	84.0
3.0	84.0	82.5	86.5	85.5	86.5	85.5	86.5	85.5
5.0	85.5	84.0	87.5	86.5	87.5	86.5	87.5	86.0
7.5	87.5	86.5	88.5	87.5	88.5	87.5	88.5	87.5
10.0	88.5	87.5	89.5	88.5	90.2	89.5	89.5	88.5
15.0	89.5	88.5	91.0	90.2	90.2	89.5	89.5	88.5
20.0	90.2	89.5	91.0	90.2	91.0	90.2	90.2	89.5
25.0	91.0	90.2	91.7	91.0	91.7	91.0	90.2	89.5
30.0	91.0	90.2	92.4	91.7	92.4	91.7	91.7	90.2
40.0	91.7	91.0	93.0	92.4	93.0	92.4	91.0	90.2
50.0	92.4	91.7	93.0	92.4	93.0	92.4	91.7	91.0
60.0	93.0	92.4	93.6	93.0	93.6	93.0	92.4	91.7
75.0	93.0	92.4	94.1	93.6	93.6	93.0	93.6	93.0
100.0	93.0	92.4	94.1	93.6	94.1	93.6	93.6	93.0
125.0	93.6	93.0	94.5	94.1	94.1	93.6	93.6	93.0
150.0	93.6	93.0	95.0	94.5	94.5	94.1	93.6	93.0
200.0	94.5	94.1	95.0	94.5	94.5	94.1	93.6	93.0
Full-Load Efficiencies—Enclosed Motors								
1.0	75.5	74.5	82.5	81.5	80.0	78.5	74.0	72.0
1.5	82.5	81.5	84.0	82.5	85.5	84.0	77.0	75.5
2.0	84.0	82.5	84.5	82.5	86.5	85.5	82.5	81.5
3.0	85.5	84.0	87.5	86.5	87.5	86.5	84.0	82.5
5.0	87.5	86.5	87.5	86.5	87.5	86.5	85.5	84.0
7.5	88.5	87.5	89.5	88.5	89.5	88.5	85.5	84.0
10.0	89.5	88.5	89.5	88.5	89.5	88.5	88.5	87.5
15.0	90.2	89.5	91.0	90.2	90.2	89.5	88.5	87.5
20.0	90.2	89.5	91.0	90.2	90.2	89.5	89.5	88.5
25.0	91.0	90.2	92.4	91.7	91.7	91.0	89.5	88.5
30.0	91.0	90.2	92.4	91.7	91.7	91.0	91.0	90.2
40.0	91.7	91.0	93.0	92.4	93.0	92.4	91.0	90.2
50.0	92.4	91.7	93.0	92.4	93.0	92.4	91.7	91.0
60.0	93.0	92.4	93.6	93.0	93.6	93.0	91.7	91.0
75.0	93.0	92.4	94.1	93.6	93.6	93.0	93.0	92.4
100.0	93.6	93.0	94.5	94.1	94.1	93.6	93.0	92.4
125.0	94.5	94.1	94.5	94.1	94.1	93.6	93.6	93.0
150.0	94.5	94.1	95.0	94.5	94.5	94.1	94.1	93.0

200.0	95.0	94.5	95.0	94.5	95.0	94.5	94.1	93.6

[1] For many applications, efficiencies greater than those listed are likely to be cost-effective. Guidance for evaluating the cost effectiveness of energy efficient motor applications is given in RS–43 and RS–44 (incorporated by reference, see § 434.701).

401.3 Lighting Power Allowance. The lighting system shall meet the provisions of subsections 401.3.1 through 401.3.5.

401.3.1 Building Exteriors. The total connected exterior lighting power for the building, or a facility containing multiple buildings, shall not exceed the total exterior lighting power allowance, which is the sum of the individual allowances determined from Table 401.3.1. The individual allowances are determined by multiplying the specific area or length of each area description times the allowance for that area. Exceptions are as follows: Lighting for outdoor manufacturing or processing facilities, commercial greenhouses, outdoor athletic facilities, public monuments, designated high-risk security areas, signs, retail storefronts, exterior enclosed display windows, and lighting specifically required by local ordinances and regulations.

TABLE 401.3.1—EXTERIOR LIGHTING POWER ALLOWANCE

Area description	Allowance
Exit (with or without canopy)	25 W/lin ft of door opening.
Entrance (without canopy)	30 W/lin ft of door opening.
Entrance (with canopy):	
High Traffic (retail, hotel, airport, theater, etc.)	10 W/ft^2 of canopied area.
Light Traffic (hospital, office, school, etc.)	4 W/ft^2 of canopied area.
Loading area	0.40 W/ft^2.
Loading door	20 W/lin ft of door opening.
Building exterior surfaces/facades	0.25 W/ft^2 of surface area to be illuminated.
Storage and non-manufacturing work areas	0.20 W/ft^2.
Other activity areas for casual use such as picnic grounds, gardens, parks, and other landscaped areas.	0.10 W/ft^2.
Private driveways/walkways	0.10 W/ft^2.
Public driveways/walkways	0.15 W/ft^2.
Private parking lots	0.12 W/ft^2.
Public parking lots	0.18 W/ft^2.

401.3.1.1 Trade-offs of exterior lighting budgets among exterior areas shall be allowed provided the total connected lighting power of the exterior area does not exceed the exterior lighting power allowance. Trade-offs between interior lighting power allowances and exterior lighting power allowances shall not be allowed.

401.3.2 *Building interiors.* The total connected interior lighting power for a building, including adjustments in accordance with subsection 401.3.3, shall not exceed the total interior lighting power allowance explained in this paragraph. Using Table 401.3.2a, multiply the interior lighting power allowance value by the gross lighted area of the most appropriate building or space activity. For multi-use buildings, using Table 401.3.2a, select the interior power allowance value for each activity using the column for the gross lighted area of the whole building and multiply it by the associated gross area for that activity. The interior lighting power allowance is the sum of all the wattages for each area/activity. Using Table 401.3.2b, c, or d, multiply the interior lighting power allowance values of each individual area/activity by the area of the space and by the area factor from Figure 401.3.2e, based on the most appropriate area/activity provided. The interior lighting power allowance is the sum of the wattages for each individual space. When over 20% of the building's tasks or interior areas are undefined, the most appropriate value for that building from Table 401.3.2a shall be used for the undefined spaces. Exceptions are as follows:

(a) Lighting power that is an essential technical element for the function performed in theatrical, stage, broadcasting, and similar uses.

(b) Specialized medical, dental, and research lighting.

(c) Display lighting for exhibits in galleries, museums, and monuments.

(d) Lighting solely for indoor plant growth (between the hours of 10:00 pm and 6:00 am).

(e) Emergency lighting that is automatically off during normal building operation.

(f) High-risk security areas.

(g) Spaces specifically designed for the primary use by the physically impaired or aged.

(h) Lighting in dwelling units.

401.3.2.1 Trade-offs of the interior lighting power budgets among interior spaces shall be allowed provided the total connected lighting power within the building does not exceed the interior lighting power allowance. Trade-offs between interior lighting power allowances and exterior lighting power allowances shall not be allowed.

401.3.2.2 *Building/Space Activities.* Definitions of buildings/space activity as they apply to Table 401.3.2a are as follows. These definitions are necessary to characterize the activities for which lighting is provided. They are applicable only to Table 401.3.2a. They are not intended to be used elsewhere in place of building use group definitions provided in the Building Code. They are not

included in §434.201, ''Definitions,'' to avoid confusion with ''Occupancy Type Categories.''

(a) *Food service, fast food, and cafeteria:* This group includes cafeterias, hamburger and sandwich stores, bakeries, ice cream parlors, cookie stores, and all other kinds of retail food service establishments in which customers are generally served at a counter and their direct selections are paid for and taken to a table or carried out.

(b) *Garages:* This category includes all types of parking garages, except for service or repair areas.

(c) *Leisure dining and bar:* This group includes cafes, diners, bars, lounges, and similar establishments where orders are placed with a wait person.

(d) *Mall concourse, multi-store service:* This group includes the interior of multifunctional public spaces, such as shopping center malls, airports, resort concourses and malls, entertainment facilities, and related types of buildings or spaces.

(e) *Offices:* This group includes all kinds of offices, including corporate and professional offices, office/laboratories, governmental offices, libraries, and similar facilities, where paperwork occurs.

(f) *Retail:* A retail store, including departments for the sale of accessories, clothing, dry goods, electronics, and toys, and other types of establishments that display objects for direct selection and purchase by consumers. Direct selection means literally removing an item from display and carrying it to the checkout or pick-up at a customer service facility.

(g) *Schools:* This category, subdivided by pre-school/elementary, junior high/high school, and technical/vocational, includes public and private educational institutions, for children or adults, and may also include community centers, college and university buildings, and business educational centers.

(h) *Service establishment:* A retail-like facility, such as watch repair, real estate offices, auto and tire service facilities, parts departments, travel agencies and similar facilities, in which the customer obtains services rather than the direct selection of goods.

(i) *Warehouse and storage:* This includes all types of support facilities, such as warehouses, barns, storage buildings, shipping/receiving buildings, boiler or mechanical buildings, electric power buildings, and similar buildings where the primary visual task is large items.

401.3.2—Tables and Figures

TABLE 401.3.2A—INTERIOR LIGHTING POWER ALLOWANCE W/FT[2]

Building space activity[1]	Gross lighted area of total building					
	0 to 2,000 ft[2]	2,001 to 10,000 ft[2]	10,001 to 25,000 ft[2]	25,001 to 50,000 ft[2]	50,001 to 250,000 ft[2]	250,000 ft[2]
Food Service:						
Fast Food/Cafeteria	1.50	1.38	1.34	1.32	1.31	1.30
Leisure Dining/Bar	2.20	1.91	1.71	1.56	1.46	1.40
Offices	1.90	1.81	1.72	1.65	1.57	1.50
Retail[3]	3.30	3.08	2.83	2.50	2.28	2.10
Mall Concourse Multi-store Service	1.60	1.58	1.52	1.46	1.43	1.40
Service Establishment	2.70	2.37	2.08	1.92	1.80	1.70
Garages	0.30	0.28	0.24	0.22	0.21	0.20
Schools:						
Preschool/Elementary	1.80	1.80	1.72	1.65	1.57	1.50
Jr. High/High School	1.90	1.90	1.88	1.83	1.76	1.70
Technical/Vocational	2.40	2.33	2.17	2.01	1.84	1.70
Warehouse/Storage	0.80	0.66	0.56	0.48	0.43	0.40

[1] If at least 10% of the building area is intended for multiple space activities, such as parking, retail, and storage in an office building, then calculate for each separate building type/space activity.

[2] The values in the categories are building wide allowances which include the listed activity and directly related facilities such as conference rooms, lobbies, corridors, restrooms, etc.

[3] Includes general, merchandising, and display lighting.

TABLE 401.3.2B—UNIT INTERIOR LIGHTING POWER ALLOWANCE

Common area/activity[1]	UPD W/ft[2]
Auditorium[2]	1.4
Corridor[3]	0.8
Classroom/Lecture Hall	2.0
Electrical/Mechanical Equipment Room:	
General[3]	0.7
Control Rooms[3]	1.5

TABLE 401.3.2B—UNIT INTERIOR LIGHTING POWER ALLOWANCE—Continued

Common area/activity [1]	UPD W/ft [2]
Food Service:	
Fast Food/Cafeteria	1.3
Leisure Dining [4]	1.4
Bar/Lounge [4]	2.5
Kitchen	1.4
Recreation/Lounge	0.7
Stair:	
Active Traffic	0.6
Emergency Exit	0.4
Toilet & Washroom	0.8
Garage:	
Auto & Pedestrian Circulation Area	0.3
Parking Area	0.2
Laboratory	2.2
Library:	
Audio Visual	1.1
Stack Area	1.1
Card File & Cataloging	0.8
Reading Area	1.1
Lobby (General):	
Reception & Waiting	1.0
Elevator Lobbies	0.4
Atrium (Multi-Story):	
First 3 Floors	0.7
Each Additional Floor	0.2
Locker Room & Shower	0.8
Office Category 1	
Enclosed offices, all open plan offices w/o partitions or w/partitions [6] lower than 4.5 ft below the ceiling. [5]	
Reading, Typing and Filing	1.5
Drafting	1.9
Accounting	1.6
Office Category 2:	
Open plan offices 900 ft [2] or larger w/partitions	
1 3.5 to 4.5 ft below the ceiling..	
Offices less than 900 ft2 shall use category 1 [3]	
Reading, Typing and Filing	1.5
Drafting	2.0
Accounting	1.8
Office Category 3:	
Open plan offices 900 ft [2] or larger w/partitions [6] higher than 3.5 ft below the ceiling.	
Offices less than 900 ft /2 shall use category 1. [3]	
Reading, Typing and Filing	1.7
Drafting	2.3
Accounting	1.9
Common Activity Areas	
Conference/Meeting Room [2]	1.3
Computer/Office Equipment	1.1
Filing, Inactive	1.0
Mail Room	1.8
Shop (Non-Industrial):	
Machinery	2.5
Electrical/Electronic	2.5
Painting	1.6
Carpentry	2.3
Welding	1.2
Storage and Warehouse;	
Inactive Storage	0.2
Active Storage, Bulky	0.3
Active Storage, Fine	0.9
Material Handling	1.0
Unlisted Space	0.2

[1] Use a weighted average UPD in rooms with multiple simultaneous activities, weighted in proportion to the area served.
[2] A 1.5 power adjustment factor is applicable for multi-function spaces when a supplementary system having independent controls is installed that has installed power ≤ 33% of the adjusted lighting power for that space.
[3] Area factor of 1.0 shall be used for these spaced.
[4] UPD includes lighting power required for clean-up purposes.
[5] Area factor shall not exceed 1.55.
[6] Not less than 90 percent of all work stations shall be individually enclosed with partitions of at least the height described.

TABLE 401.3.2C—UNIT INTERIOR LIGHTING POWER ALLOWANCE

Specific building area/activity [1]	UPD W/ft [2]
Airport, Bus and Rail Station:	
Baggage Area	0.8
Concourse/Main Thruway	0.9
Ticket Counter	2.0
Waiting & Lounge Area	0.8
Bank:	
Customer Area	1.0
Banking Activity Area	2.2
Barber & Beauty Parlor	1.6
Church, Synagogue, Chapel:	
Worship/Congregational	1.7
Preaching & Sermon/Choir	1.8
Dormitory:	
Bedroom	1.0
Bedroom w/Study	1.3
Study Hall	1.2
Fire & Police Department:	
Fire Engine Room	0.7
Jail Cell	0.8
Hospital/Nursing Home:	
Corridor [3]	1.3
Dental Suite/Examination/Treatment	1.6
Emergency	2.0
Laboratory	1.7
Lounge/Waiting Room	0.9
Medical Supplies	2.4
Nursery	1.6
Nurse Station	1.8
Occupational Therapy/Physical Therapy	1.4
Patient Room	1.2
Pharmacy	1.5
Radiology	1.8
Surgical & Obstetrics Suites:	
General Area	1.8
Operating Room	6.0
Recovery	2.0
Hotel/Conference Center:	
Banquet Room/Multipurpose [2]	1.7
Bathroom/Powder Room	1.2
Guest Room	0.9
Public Area	1.0
Exhibition Hall	1.8
Conference/Meeting [2]	1.5
Lobby	1.5
Reception Desk	2.4
Laundry:	
Washing	0.9
Ironing & Sorting	1.3
Museum & Gallery:	
General Exhibition	1.9
Inspection/Restoration	3.0
Storage (Artifacts):	
Inactive	0.6
Active	0.7
Post Office:	
Lobby	1.1
Sorting & Mailing	2.1
Service Station/Auto Repair	0.8
Theater:	
Performance Arts	1.3
Motion Picture	1.0
Lobby	1.3
Retail Establishments—Merchandising & Circulation Area (Applicable to all lighting, including accent and display lighting, installed in merchandising and circulation areas):	
Type 1: Jewelry merchandising, where minute examination of displayed merchandise is critical.	5.6
Type 2: Fine merchandising, such as fine apparel and accessories, china, crystal, and silver art galleries and where the detailed display and examination of merchandising is important.	2.9
Type 3: Mass merchandising, such as general apparel, variety goods, stationary, books, sporting goods, hobby materials, cameras, gifts, and luggage, displayed in a warehouse type of building, where focused display and detailed examination of merchandise is important.	2.7
Type 4: General merchandising, such as general apparel, variety goods, stationary, books, sporting goods, hobby materials, cameras, gifts, and luggage, displayed in a department store type of building, where general display and examination of merchandise is adequate.	2.3

TABLE 401.3.2C—UNIT INTERIOR LIGHTING POWER ALLOWANCE—Continued

Specific building area/activity [1]	UPD W/ft [2]
Type 5: Food and miscellaneous such as bakeries, hardware and housewares, grocery stores, appliance and furniture stores, where pleasant appearance is important.	2.4
Type 6: Service establishments, where functional performance is important.	2.6
Mall Concourse	1.4
Retail Support Areas	2.1
Tailoring	1.1
Dressing/Fitting Rooms	.....

[1] Use a weighted average UPD in rooms with multiple simultaneous activities, weighted in proportion to the area served.
[2] A 1.5 power adjustment factor is applicable for multi-function spaces when a supplementary system having independent controls is installed that has installed power ≤ 33% of the adjusted lighting power for that space.
[3] Area factor shall not exceed 1.55.

TABLE 401.3.2D—UNIT INTERIOR LIGHTING POWER ALLOWANCE

Indoor athletic area/activity [1] [2]	UPD W/ft [2]
Seating Area, All Sports	0.4
Badminton:	
Club	0.5
Tournament	0.8
Basketball/Volleyball:	
Intramural	0.8
College	1.3
Professional	1.9
Bowling:	
Approach Area	0.5
Lanes	1.1
Boxing or Wrestling (platform):	
Amateur	2.4
Professional	4.8
Gymnasium:	
General Exercising and Recreation Only	1.0
Handball/Racquetball/Squash:	
Club	1.3
Tournament	2.6
Hockey, Ice:	
Amateur	1.3
College or Professional	2.6
Skating Rink:	
Recreational	0.6
Exhibition/Professional	2.6
Swimming:	
Recreational	0.9
Exhibition	1.5
Underwater	1.0
Tennis:	
Recreational (Class III)	1.3
Club/College (Class II)	1.9
Professional (Class I)	2.6
Tennis, Table:	
Club	1.0
Tournament	1.6

[1] Area factor of 1.0 shall be used for these spaces.
[2] Consider as 10 ft. beyond playing boundaries but less than or equal to the total floor area of the sports space minus spectator seating area.

Figure 401.3.2e—Area Factor Formula

$$\text{where } n = \frac{10.21\,(CH - 2.5)}{\sqrt{A_r}} - 1$$

Area Factor Formula:

Area Factor (AF) = $0.2 + 0.8(1/0.9^n)$

Where:

AF = area factor,

CH = ceiling height (ft),

A_r = space area (ft^2).

If AF <1.0 use 1.0; if AF >1.8 use 1.8

401.3.3 *Lighting Power Control Credits.* The interior connected lighting power determined in accordance with §434.401.3.2 can be decreased for luminaries that are automatically controlled for occupancy, daylight, lumen maintenance, or programmable timing. The adjusted interior connected lighting power shall be determined by subtracting the

sum of all lighting power control credits from the interior connected lighting power. Using Table 401.3.3, the lighting power control credit equals the power adjustment factor times the connected lighting power of the controlled lighting. The lighting power adjustment shall be applied with the following limitations:

(a) It is limited to the specific area controlled by the automatic control device.

(b) Only one lighting power adjustment may be used for each building space or luminaire, and 50 percent or more of the controlled luminaire shall be within the applicable space.

(c) Controls shall be installed in series with the lights and in series with all manual switching devices.

(d) When sufficient daylight is available, daylight sensing controls shall be capable of reducing electrical power consumption for lighting (continuously or in steps) to 50 percent or less of maximum power consumption.

(e) Daylight sensing controls shall control all luminaires to which the adjustment is applied and that direct a minimum of 50 percent of their light output into the daylight zone.

(f) Programmable timing controls shall be able to program different schedules for occupied and unoccupied days, be readily accessible for temporary override with automatic return to the original schedule, and keep time during power outages for at least four hours.

TABLE 401.3.3.—LIGHTING POWER ADJUSTMENT FACTORS

Automatic control devices	PAF
(1) Daylight Sensing controls (DS), continuous dimming	0.30
(2) DS, multiple step dimming	0.20
(3) DS, ON/OFF	0.10
(4) DS continuous dimming and programmable timing	0.35
(5) DS multiple step dimming and programmable timing	0.25
(6) DS ON/OFF and programmable timing	0.15
(7) DS continuous dimming, programmable timing, and lumen maintenance	0.40
(8) DS multiple step dimming, programmable timing, and lumen maintenance	0.30
(9) DS ON/OFF, programmable timing, and lumen maintenance	0.20
(10) Lumen maintenance control	0.10
(11) Lumen maintenance and programmable timing control	0.15
(12) Programmable timing control	0.15
(13) Occupancy sensor (OS)	0.30
(14) OS and DS, continuous dimming	0.40
(15) OS and DS, multiple-step dimming	0.35
(16) OS and DS, ON/OFF	0.35
(17) OS, DS continuous dimming, and lumen maintenance	0.45
(18) OS, DS multiple-step dimming and lumen maintenance	0.40
(19) OS, DS ON/OFF, and lumen maintenance	0.35
(20) OS and lumen maintenance	0.35
(21) OS and programmable timing control	0.35

401.3.4 *Lighting controls.*

401.3.4.1 *Type of Lighting Controls.* All lighting systems shall have controls, with the exception of emergency use or exit lighting.

401.3.4.2 *Number of Manual Controls.* Spaces enclosed by walls or ceiling-high partitions shall have a minimum of one manual control (on/off switch) for lighting in that space. Additional manual controls shall be provided for each task location or for each group of task locations within an area of 450 ft^2 or less. For spaces with only one lighting fixture or with a single ballast, one manual control is required. Exceptions are as follows:

401.3.4.2.1 Continuous lighting for security;

401.3.4.2.2 Systems in which occupancy sensors, local programmable timers, or three-level (including OFF) step controls or preset dimming controls are substituted for manual controls at the rate of one for every two required manual controls, providing at least one control is installed for every 1500 watts of power.

401.3.4.2.3 Systems in which four-level (including OFF) step controls or preset dimming controls or automatic or continuous dimming controls are substituted for manual controls at a rate of one for every three required manual controls, providing at least one control is installed for every 1500 watts of power.

401.3.4.2.4 Spaces that must be used as a whole, such as public lobbies, retail stores, warehouses, and storerooms.

401.3.4.3 *Multiple Location Controls.* Manual controls that operate the same load from multiple locations must be counted as one manual control.

401.3.4.4 *Control Accessibility.* Lighting controls shall be readily accessible from within the space controlled. Exceptions are as follows: Controls for spaces that are to be used

as a whole, automatic controls, programmable controls, controls requiring trained operators, and controls for safety hazards and security.

401.3.4.5 *Hotel and Motel Guest Room Control.* Hotel and motel guest rooms and suites shall have at least one master switch at the main entry door that controls all permanently wired lighting fixtures and switched receptacles excluding bathrooms. The following exception applies: Where switches are provided at the entry to each room of a multiple-room suite.

401.3.4.6 *Switching of Exterior Lighting.* Exterior lighting not intended for 24-hour use shall be automatically switched by either timer or photocell or a combination of timer and photocell. When used, timers shall be capable of seven-day and seasonal daylight schedule adjustment and have power backup for at least four hours.

401.3.5 *Ballasts.*

401.3.5.1 *Tandem Wiring.* One-lamp or three-lamp fluorescent luminaries that are recess mounted within 10 ft center-to-center of each other, or pendant mounted, or surface mounted within 1 ft of each other, and within the same room, shall be tandem wired, unless three-lamp ballasts are used.

401.3.5.2 *Power Factor.* All ballasts shall have a power factor of at least 90%, with the exception of dimming ballasts, and ballasts for circline and compact fluorescent lamps and low wattage high intensity discharge (HID) lamps not over 100 W.

434.402 Building envelope assemblies and materials.

The building envelope and its associated assemblies and materials shall meet the provisions of this section.

402.1 *Calculations and Supporting Information.*

402.1.1 *Material Properties.* Information on thermal properties, building envelope system performance, and component heat transfer shall be obtained from RS–4. When the information is not available from RS–4, (incorporated by reference, see §434.701) the data shall be obtained from manufacturer's information or laboratory or field test measurements using RS–5, RS–6, RS–7, or RS–8 (incorporated by reference, see §434.701).

402.1.1.1 The shading coefficient (SC) for fenestration shall be obtained from RS–4 (incorporated by reference, see §434.701) or from manufacturer's test data. The shading coefficient of the fenestration, including both internal and external shading devices, is SC_X and excludes the effect of external shading projections, which are calculated separately. The shading coefficient used for louvered shade screens shall be determined using a profile angle of 30 degrees as found in Table 41, Chapter 27 of RS–4 (incorporated by reference, see §434.701).

402.1.2 *Thermal Performance Calculations.* The overall thermal transmittance of the building envelope shall be calculated in accordance with Equation 402.1.2:

$$U_o = \sum U_i A_i / A_o = \left(U_1 A_1 + U_2 A_2 + \ldots + U_n A_n\right)/A_o \qquad (402.1.2)$$

Where:

U_o = the area-weighted average thermal transmittance of the gross area of the building envelope; *i.e.*, the exterior wall assembly including fenestration and doors, the roof and ceiling assembly, and the floor assembly, Btu/(h•ft²•°F)

A_o = the gross area of the building envelope, ft²

U_i = the thermal transmittance of each individual path of the building envelope, *i.e.*, the opaque portion or the fenestration, Btu/(h•ft²•°F)

$U_i = 1/R_i$ (where R_i is the total resistance to heat flow of an individual path through the building envelope)

A_i = the area of each individual element of the building envelope, ft²

The thermal transmittance of each component of the building envelope shall be determined with due consideration of all major series and parallel heat flow paths through the elements of the component and film coefficients and shall account for any compression of insulation. The thermal transmittance of opaque elements of assemblies shall be determined using a series path procedure with corrections for the presence of parallel paths within an element of the envelope assembly (such as wall cavities with parallel paths through insulation and studs). The thermal performance of adjacent ground in below-grade applications shall be excluded from all thermal calculations.

402.1.2.1 Envelope Assemblies Containing Metal Framing. The thermal transmittance of the envelope assembly containing metal framing shall be determined from one of three methods:

(a) Laboratory or field test measurements based on RS–5, RS–6, RS–7, or RS–8 (incorporated by reference, see §434.701).

(b) The zone method described in Chapter 22 of RS–4 (incorporated by reference, see §434.701) and the formulas on page 22.10.

(c) For metal roof trusses or metal studs covered by Tables 402.1.2.1a and b, the total resistance of the series path shall be calculated in accordance with the following Equations:

$$U_i = 1/R_t \qquad R_t = R_i + R_e \qquad \text{Equation 402.1.2.1a}$$

Where:

R_t = the total resistance of the envelope assembly

R_i = the resistance of the series elements (for i = 1 to n) excluding the parallel path element(s)

R_e = the equivalent resistance of the element containing the parallel path (R-value of insulation $\times F_c$). Values for F_c and equivalent resistances shall be taken from Tables 402.1.2.1a or b.

TABLE 402.1.2.1A—PARALLEL PATH CORRECTION FACTORS—METAL ROOF TRUSSES SPACED 4 FT. O.C. OR GREATER THAT PENETRATE THE INSULATION

Effective framing cavity R-values	Correction factor F_c	Equivalent resistance R_e [1]
R–0	1.00	R–0
R–5	0.96	R–4.8
R–10	0.92	R–9.2
R–15	0.88	R–13.2
R–20	0.85	R–17.0
R–25	0.81	R–20.3
R–30	0.79	R–23.7
R–35	0.76	R–26.6
R–40	0.73	R–29.2
R–45	0.71	R–32.0
R–50	0.69	R–34.5
R–55	0.67	R–36.0

[1] Based on 0.66-inch-diameter cross members every one foot.

TABLE 402.1.2.1B—PARALLEL PATH CORRECTION FACTORS—METAL FRAMED WALLS WITH STUDS 16 GA. OR LIGHTER

Size of members	Spacing of framing, in.	Cavity insulation R-Value	Correction factor F_c	Equivalent resistance R_e
2 × 4	16 O.C.	R–11	0.50	R–5.5
		R–13	0.46	R–6.0
		R–15	0.43	R–6.4
2 × 4	24 O.C.	R–11	0.60	R–6.6
		R–13	0.55	R–7.2
		R–15	0.52	R–7.8
2 × 6	16 O.C.	R–19	0.37	R–7.1
		R–21	0.35	R–7.4
2 × 6	24 O.C.	R–19	0.45	R–8.6
		R–21	0.43	R–9.0
2 × 8	16 O.C.	R–25	0.31	R–7.8
2 × 8	24 O.C.	R–25	0.38	R–9.6

402.1.2.2 *Envelope Assemblies Containing Nonmetal Framing*. The thermal transmittance of the envelope assembly shall be determined from laboratory or field test measurements based on RS–5, RS–6, RS–7, or RS–8 (incorporated by reference, see §434.701) or from the series-parallel (isothermal planes) method provided in page 23.2 of Chapter 23 of RS–4 (incorporated be reference, see §434.701).

402.1.2.3 *Metal Buildings*. For elements with internal metallic structures bonded on one or both sides to a metal skin or covering, the calculation procedure specified in RS–9 (incorporated by reference, see §434.701) shall be used.

402.1.2.4 *Fenestration Assemblies*. Determine the overall thermal transmittance of fenestration assemblies in accordance with RS–18 and RS–19 (incorporated by reference, see §434.701) or by calculation. Calculation of the overall thermal transmittance of fenestration assemblies shall consider the center-of-glass, edge-of-glass, and frame components.

(a) The following equation 402.1.2.4a shall be used.

$$U_{of} = \left[\sum_{i=1}^{n}\left(U_{cg,i} \times A_{cg,i} + U_{eg,i} \times A_{eg,i} + U_{f,i} \times A_{f,i}\right)\right] \Big/ \left[\sum_{i=1}^{n}\left(A_{cg,i} + A_{eg,i} + A_{f,i}\right)\right]$$

$$= \left(U_{cg,1} \times A_{cg,1} + U_{eg,1} \times A_{eg,1} + U_{f,1} \times A_{f,1} + U_{cg,2} \times A_{cg,2} + U_{eg,2} \times A_{eg,2} + U_{f,2} \times A_{f,2} + \ldots U_{cg,n} \times A_{cg,n} + U_{eg,n} \times A_{eg,n} + U_{f,n} \times A_{f,n}\right) \Big/ \left(A_{cg,1} + A_{eg,1} + A_{f,1} + A_{cg,2} + A_{eg,2} + A_{f,2} + \ldots A_{cg,n} + A_{eg,n} + A_{f,n}\right)$$

$$U_{of} = \left[\sum_{i=1}^{n}\left(U_{cg,i} \times A_{cg,i} + U_{eg,i} \times A_{eg,i} + U_{f,i} \times A_{f,i}\right)\right] \Big/ \left[\sum_{i=1}^{n}\left(A_{cg,i} + A_{eg,i} + A_{f,i}\right)\right] \qquad \text{Equation 402.1.2.4a}$$

$$= \left(U_{cg,1} \times A_{cg,1} + U_{eg,1} \times A_{eg,1} + U_{f,1} \times A_{f,1} + U_{cg,2} \times A_{cg,2} + U_{eg,2} \times A_{eg,2} + U_{f,2} \times A_{f,2} + \ldots U_{cg,n} \times A_{cg,n} + U_{eg,n} \times A_{eg,n} + U_{f,n} \times A_{f,n}\right) \Big/ \left(A_{cg,1} + A_{eg,1} + A_{f,1} + A_{cg,2} + A_{eg,2} + A_{f,2} + \ldots A_{cg,n} + A_{eg,n} + A_{f,n}\right)$$

Where:

U_{of} = the overall thermal transmittance of the fenestration assemblies, including the center-of-glass, edge-of-glass, and frame components, Btu/(h·ft²·°F)

i = numerical subscript (1, 2, . . .n) refers to each of the various fenestration types present in the wall

n = the number of fenestration assemblies in the wall assembly

U_{cg} = the thermal transmittance of the center-of-glass area, Btu/(h·ft²·°F)

A_{cg} = the center of glass area, that is the overall visible glass area minus the edge-of-glass area, ft²

U_{eg} = the thermal transmittance of the edge of the visible glass area including the effects of spacers in multiple glazed units, Btu/(h·ft²·°F)

A_{eg} = the edge of the visible glass area, that is the 2.5 in. perimeter band adjacent to the frame, ft²

U_f = the thermal transmittance of the frame area, Btu/(h·ft²·°F)

A_f = the frame area that is the overall area of the entire glazing product minus the center-of-glass area and minus the edge-of-glass area, ft²

(b) Values of U_{of} shall be based on one of the following methods:

(1) Results from laboratory test of center-of-glass, edge-of-glass, and frame assemblies tested as a unit at winter conditions. One of the procedures in Section 8.3.2 of RS–1 (incorporated by reference, see §434.701) shall be used.

(2) Overall generic product C (commercial) in Table 13, Chapter 27, of the RS–4 (incorporated by reference, see §434.701). The generic product C in Table 13, Chapter 27, is based on a product of 24 ft². Larger units will produce lower U-values and thus it is recommended to use the calculation procedure detailed in Equation 402.1.2.4a.

(3) Calculations based on the actual area for center-of-glass, edge-of-glass, and frame assemblies and on the thermal transmittance of components derived from 402.1.2.4a, 402.1.2.4b or a combination of the two.

402.1.3 *Gross Areas of Envelope Components.*

402.1.3.1 *Roof Assembly.* The gross area of a roof assembly shall consist of the total surface of the roof assembly exposed to outside air or unconditioned spaces and is measured from the exterior faces of exterior walls and centerline of walls separating buildings. The roof assembly includes all roof or ceiling components through which heat may flow between indoor and outdoor environments, including skylight surfaces but excluding service openings. For thermal transmittance purposes when return air ceiling plenums are employed, the roof or ceiling assembly shall not include the resistance of the ceiling or the plenum space as part of the total resistance of the assembly.

402.1.3.2 *Floor Assembly.* The gross area of a floor assembly over outside or unconditioned spaces shall consist of the total surface of the floor assembly exposed to outside air or unconditioned space and is measured from the exterior face of exterior walls and centerline of walls separating buildings. The floor assembly shall include all floor components through which heat may flow between indoor and outdoor or unconditioned space environments.

402.1.3.3 *Wall Assembly.* The gross area of exterior walls enclosing a heated or cooled space is measured on the exterior and consists of the opaque walls, including between-floor spandrels, peripheral edges of flooring, window areas (including sash), and door areas but excluding vents, grilles, and pipes.

402.2 *Air Leakage and Moisture Mitigation.* The requirements of this section shall apply only to those building components that separate interior building conditioned space from the outdoors or from unconditioned space or crawl spaces. Compliance with the criteria for air leakage through building components shall be determined by tests conducted in accordance with RS–10 (incorporated by reference, see §434.701).

402.2.1 *Air Barrier System.* A barrier against leakage shall be installed to prevent

the leakage of air through the building envelope according to the following requirements:

(a) The air barrier shall be continuous at all plumbing and heating penetrations of the building opaque wall.

(b) The air barrier shall be sealed at all penetrations of the opaque building wall for electrical and telecommunications equipment.

TABLE 402.2.1—AIR LEAKAGE FOR FENESTRATION AND DOORS MAXIMUM ALLOWABLE INFILTRATION RATE

Component	Reference standard	cfm/lin ft Sash crack or cfm/ft² of area
Fenestration		
Aluminum:		
Operable	RS–11*	0.37 cfm/lin ft.
Jalousie	RS–11*	1.50 cfm/ft².
Fixed	RS–11*	0.15 cfm/ft².
Poly Vinyl Chloride (PVC):		
Prime Windows	RS–12*	0.37 cfm/ft².
Wood:		
Residential	RS–13*	0.37 cfm/ft².
Light Commercial	RS–13*	0.25 cfm/ft².
Heavy Commercial	RS–13*	0.15 cfm/ft².
Sliding Glass Doors:		
Aluminum	RS–11*	0.37 cfm/ft².
PVC	RS–12*	0.37 cfm/lin ft.
Doors—Wood:		
Residential	RS–14*	0.34 cfm/ft².
Light Commercial	RS–14*	0.25 cfm/ft².
Heavy Commercial	RS–14*	0.10 cfm/ft².
Commercial Entrance Doors	RS–10*	1.25 cfm/ft².
Residential Swinging Doors	RS–10*	0.50 cfm/ft².
Wall Sections Aluminum	RS–10*	0.06 cfm/ft².

Note:
[The "Maximum Allowable Infiltration Rates" are from current standards to allow the use of available products.]
* Incorporated by reference, see §434.701.

402.2.2 *Building Envelope.* The following areas of the building envelope shall be sealed, caulked, gasketed, or weatherstripped to limit air leakage:

(a) Intersections of the fenestration and door frames with the opaque wall sections.

(b) Openings between walls and foundations, between walls and roof and wall panels.

(c) Openings at penetrations of utility service through, roofs, walls, and floors.

(d) Site built fenestration and doors.

(e) All other openings in the building envelope.

Exceptions are as follows: Outside air intakes, exhaust outlets, relief outlets, stair shaft, elevator shaft smoke relief openings, and other similar elements shall comply with subsection 403.

402.2.2.1 Fenestration and Doors Fenestration and doors shall meet the requirements of Table 402.2.1.

402.2.2.2 *Building Assemblies Used as Ducts or Plenums.* Building assemblies used as ducts or plenums shall be sealed, caulked, and gasketed to limit air leakage.

402.2.2.3 *Vestibules.* A door that separates conditioned space from the exterior shall be equipped with an enclosed vestibule with all doors opening into and out of the vestibule equipped with self-closing devices. Vestibules shall be designed so that in passing through the vestibule, it is not necessary for the interior and exterior doors to open at the same time. Exceptions are as follows: Exterior doors need not be protected with a vestibule where:

(a) The door is a revolving door.

(b) The door is used primarily to facilitate vehicular movement or material handling.

(c) The door is not intended to be used as a general entrance door.

(d) The door opens directly from a dwelling unit.

(e) The door opens directly from a retail space less than 2,000 ft² in area, or from a space less than 1,500 ft² for other uses.

(f) In buildings less than three stories in building height in regions that have less than 6,300 heating degree days base 65°F.

402.2.2.4 *Compliance Testing.* All buildings shall be tested after completion using the methodology in RS–11, (incorporated by reference, see §434.701) or an equivalent approved method to determine the envelope air leakage. A standard blower door test is an acceptable technique to pressurize the building if the building is 5,000 ft² or less in area. The buildings's air handling system can be

used to pressurize the building if the building is larger than 5,000 ft^2. The following test conditions shall be:

(a) The measured envelope air leakage shall not exceed 1.57 pounds per square foot of wall area at a pressure difference of 0.3 inches water.

(b) At the time of testing, all windows and outside doors shall be installed and closed, all interior doors shall be open, and all air handlers and dampers shall be operable. The building shall be unoccupied.

(c) During the testing period, the average wind speed during the test shall be less than 6.6 feet per second, the average outside temperature greater than 59°F, and the average inside-outside temperature difference is less than 41°F.

402.2.2.5 *Moisture Migration.* The building envelope shall be designed to limit moisture migration that leads to deterioration in insulation or equipment performance as determined by the following construction practices:

(a) A vapor retarder shall be installed to retard, or slow down the rate of water vapor diffusion through the building envelope. The position of the vapor retarder shall be determined taking into account local climate and indoor humidity levels. The methodologies presented in Chapter 20 of RS–4 (incorporated by reference, see §434.701) shall be used to determine temperature and water vapor profiles through the envelope systems to assess the potential for condensation within the envelope and to determine the position of the vapor retarder within the envelope system.

(b) The vapor retarder shall be installed over the entire building envelope.

(c) The perm rating requirements of the vapor retarder shall be determined using the methodologies contained in Chapter 20 of RS–4, (incorporated by reference, see §434.701) and shall take into account local climate and indoor humidity level. The vapor retarder shall have a performance rating of 1 perm or less.

402.3 *Thermal Performance Criteria.*

402.3.1 *Roofs; Floors and Walls Adjacent to Unconditioned Spaces.* The area weighted average thermal transmittance of roofs and also of floors and walls adjacent to unconditioned spaces shall not exceed the criteria in Table 402.3.1a. Exceptions are as follows: Skylights for which daylight credit is taken may be excluded from the calculations of the roof assembly U_{or} if all of the following conditions are met:

(a) The opaque roof thermal transmittance is less than the criteria in Table 402.3.1b.

(b) Skylight areas, including framing, as a percentage of the roof area do not exceed the values specified in Table 402.3.1b. The maximum skylight area from Table 402.3.1b may be increased by 50% if a shading device is used that blocks over 50% of the solar gain during the peak cooling design condition. For shell buildings, the permitted skylight area shall be based on a light level of 30 foot candles and a lighting power density (LPD) of less than 1.0 w/ft^2. For speculative buildings, the permitted skylight area shall be based on the unit lighting power allowance from Table 401.3.2a and an illuminance level as follows: for LPD < 1.0, use 30 footcandles; for 1.0 < LPD < 2.5, use 50 footcandles; and for LPD ≥ 2.5, use 70 footcandles.

(c) All electric lighting fixtures within daylighted zones under skylights are controlled by automatic daylighting controls.

(d) The U_o of the skylight assembly including framing does not exceed_____Btu/($h \bullet ft^2 \bullet °F$) [Use 0.70 for ≤ 8000 HDD65 and 0.45 for >8000 HDD65 or both if the jurisdiction includes cities that are both below and above 8000 HDD65.]

(e) Skylight curb U-value does not exceed 0.21 Btu/($h \bullet ft^2 \bullet °F$).

(f) The infiltration coefficient of the skylights does not exceed 0.05 cfm/ft^2.

402.3.2 *Below-Grade Walls and Slabs-on-Grade.* The thermal resistance (R-value) of insulation for slabs-on-grade, or the overall thermal resistance of walls in contact with the earth, shall be equal to or greater than the values in Table 402.3.2.

402.4 *Exterior Walls.* Exterior walls shall comply with either 402.4.1 or 402.4.2.

402.4.1 *Prescriptive Criteria.* (a) The exterior wall shall be designed in accordance with subsections 402.4.1.1 and 402.4.1.2. When the internal load density range is not known, the 0–1.50 W/ft^2 range shall be used for residential, hotel/motel guest rooms, or warehouse occupancies; the 3.01–3.50 w/ft^2 range shall be used for retail stores smaller than 2,000 ft^2 and technical and vocational schools smaller than 10,000 ft^2; and the 1.51–3.00 W/ft^2 range shall be used for all other occupancies and building sizes. When the building envelope is designed or constructed prior to knowing the building occupancy type, an internal load density of _____ W/ft^2 shall be used. [Use 3.0 W/ft^2 for HDD65 <3000, 2.25 W/ft^2 for 3000 < HDD65 < 6000, and 1.5 W/ft^2 for HDD65 > 6000.]

(b) When more than one condition exists, area weighted averages shall be used. This requirement shall apply to all thermal transmittances, shading coefficients, projection factors, and internal load densities rounded to the same number of decimal places as shown in the respective table.

402.4.1.1 *Opaque Walls.* The weighted average thermal transmittance (U-value) of opaque wall elements shall be less than the values in Table 402.4.1.1. For mass walls (HC ≥ 5), criteria are presented for low and high window/wall ratios and the criteria shall be determined by interpolating between these values for the window/wall ratio of the building.

402.4.1.2 *Fenestration.* The design of the fenestration shall meet the criteria of Table 402.4.1.2. When the fenestration columns labeled ''Perimeter Daylighting'' are used, automatic daylighting controls shall be installed in the perimeter daylighted zones of the building. These daylighting controls shall be capable of reducing electric lighting power to at least 50% of full power. Only those shading or lighting controls for perimeter daylighting that are shown on the plans shall be considered. The column labeled ''VLT > = SC'' shall be used only when the shading coefficient of the glass is less than its visible light transmittance.

APPENDIX A

The example Alternate Component Package tables illustrate the requirements of subsections 434.301.1, 434.402.3.1, 434.402.3.2, 434.402.4.1.1 and 434.402.4.1.2. Copies of specific tables contained in this Appendix A can be obtained from the Energy Code for Federal Commercial Buildings, Docket No. EE–RM–79–112–C, EE–43, Office of Building Research and Standards, U.S. Department of Energy, Room 1J–018, 1000 Independence Avenue, SW., Washington, DC 20585, (202) 586–9127.

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TABLE 301.1 EXTERIOR DESIGN CONDITIONS	
WINTER Design Dry Bulb: 44°F;	HDD65: 185
SUMMER Design Dry Bulb: 90°F; Mean Coincident Wet Bulb: 77°F;	CDD65: 4045
Annual Operating Hours, 8AM - 4PM when 55°F<=T<=69°F: 259	

TABLE 402.3.1(A) MAX. THERMAL TRANSMITTANCE (U)	
Roof	0.075
Wall adjacent to unconditioned space	1.000
Floor over unconditioned space	0.400

TABLE 402.3.1(B) MAX. EXEMPT SKYLIGHT AREA AS % OF ROOF AREA

Visible Light Transmittance (VLT)	Light level Ft. Candles	Range of Lighting Power Densities <1.00	1.00 - 1.50	1.51 - 2.00	>2.00
0.75	30	2.3	3.1	3.9	4.7
	50	3.1	4.3	5.5	6.7
	70	4.3	5.5	6.7	7.9
0.50	30	3.6	4.8	6.0	7.2
	50	4.8	6.6	8.4	10.2
	70	6.6	8.4	10.2	12.0

TABLE 402.3.2 MINIMUM THERMAL RESISTANCE (R-VALUE)

Slab on grade: Unheated / Heated:	24 inches	36 inches	48 inches
Horizontal	R-0/R-2	R-0/R-2	R-0/R-2
Vertical	R-0/R-2	R-0/R-2	R-0/R-2
Wall below grade:	R-0		

TABLE 402.4.1.1 MAX. WALL THERMAL TRANSMITTANCE (Uow)

ILD Range	WWR	HC Range	Insulation Position Interior/Integral	Exterior
All	0 to 100	0.0 - 4.9	1.000	1.000
0.00 to 1.50	15	5.0 - 9.9	1.000	1.000
		10.0 - 14.9	1.000	1.000
		15.0 +	1.000	1.000
	99	5.0 - 9.9	1.000	1.000
		10.0 - 14.9	1.000	1.000
		15.0 +	1.000	1.000
1.51 to 3.00	12	5.0 - 9.9	1.000	1.000
		10.0 - 14.9	1.000	1.000
		15.0 +	1.000	1.000
	99	5.0 - 9.9	1.000	1.000
		10.0 - 14.9	1.000	1.000
		15.0 +	1.000	1.000
3.01 to 3.50	9	5.0 - 9.9	1.000	1.000
		10.0 - 14.9	1.000	1.000
		15.0 +	1.000	1.000
	93	5.0 - 9.9	1.000	1.000
		10.0 - 14.9	1.000	1.000
		15.0 +	1.000	1.000

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TABLE 402.4.1.2 MAXIMUM WINDOW WALL RATIO (WWR)

Internal Load Density (ILD) Range	Projection Factor (PF) Range	Shading Coefficient (SCx) Range	Fenestration U-Factor (Uof) Base Case 1.23 to 0.73	Base Case 0.72 to 0.00	Base Case N/A	Perimeter Daylighting 1.23 to 0.73	Perimeter Daylighting 0.72 to 0.00	Perimeter Daylighting VLT>=SC 0.72 to 0.00
0.00 - 1.50	0.00 - 0.25	1.00 - 0.72	15	15		17	17	18
		0.71 - 0.61	19	18		22	21	22
		0.60 - 0.51	23	22		27	26	27
		0.50 - 0.39	29	28		34	32	34
		0.38 - 0.26	42	39		50	46	48
		0.25 - 0.00	82	70		99	81	84
	0.26 - 0.50	1.00 - 0.72	22	21		26	25	26
		0.71 - 0.61	29	27		34	32	33
		0.60 - 0.51	36	34		43	40	41
		0.50 - 0.39	46	42		56	50	52
		0.38 - 0.00	71	62		86	73	75
	0.50 +	1.00 - 0.72	31	30		37	35	36
		0.71 - 0.61	41	38		49	45	47
		0.60 - 0.51	53	48		64	57	58
		0.50 - 0.00	71	62		86	73	75
1.51 - 3.00	0.00 - 0.25	1.00 - 0.72	12	12		20	19	21
		0.71 - 0.61	16	15		26	25	27
		0.60 - 0.51	19	19		32	30	33
		0.50 - 0.39	24	23		41	38	41
		0.38 - 0.26	34	32		62	54	57
		0.25 - 0.00	66	57		99	90	99
	0.26 - 0.50	1.00 - 0.72	18	18		31	29	32
		0.71 - 0.61	24	23		41	37	40
		0.60 - 0.51	29	28		52	46	49
		0.50 - 0.39	37	35		68	59	62
		0.38 - 0.00	57	50		99	83	89
	0.50 +	1.00 - 0.72	25	24		45	41	44
		0.71 - 0.61	33	31		60	53	56
		0.60 - 0.51	42	39		77	67	70
		0.50 - 0.00	56	50		99	82	89
3.01 - 3.50	0.00 - 0.25	1.00 - 0.72	9	9		18	17	20
		0.71 - 0.61	12	12		23	22	26
		0.60 - 0.51	15	14		29	27	31
		0.50 - 0.39	18	17		37	34	39
		0.38 - 0.26	26	24		57	49	55
		0.25 - 0.00	48	43		99	83	93
	0.26 - 0.50	1.00 - 0.72	14	13		28	26	30
		0.71 - 0.61	18	17		37	34	38
		0.60 - 0.51	22	21		47	42	47
		0.50 - 0.39	28	26		63	54	60
		0.38 - 0.00	42	38		92	77	85
	0.50 +	1.00 - 0.72	19	18		41	37	41
		0.71 - 0.61	25	24		55	49	54
		0.60 - 0.51	31	29		71	62	67
		0.50 - 0.00	41	37		92	76	84

402.4.2 *System Performance Criteria.* The cumulative annual energy flux attributable to thermal transmittance and solar gains shall be less than the criteria determined using the ENVSTD24 computer program in Standard 90.1–1989, or the equations in RS–1, (incorporated by reference, see §434.701) Attachment 8–B. The cumulative annual energy flux shall be calculated using the ENVSTD24 computer program or the equations in RS–1, (incorporated by reference, see §434.701) Attachment 8–B.

TABLE 402.4.2—EQUIP DEFAULT VALUES FOR ENVSTD24

Occupancy	Default equipment power density [1]	Default occupant load adjustment [1]	Default adjusted equipment power density
Assembly	0.25	0.75	1.00
Health/Institutional	1.00	−0.26	0.74
Hotel/Motel	0.25	−0.33	0.00
Warehouse/Storage	0.10	−0.60	0.00
Multi-Family High Rise	0.75	N/A	0.00
Office	0.75	−0.35	0.40
Restaurant	0.10	0.07	0.17
Retail	0.25	−0.38	0.00
School	0.50	0.30	0.80

[1] Defaults as defined in Section 8.6.10.5, Table 8–4, and Sections 8.6.10.6 and 13.7.2.1, Table 13–2 from RS–1 (incorporated by reference, see §434.701).

402.4.2.1 *Equipment Power Density (EQUIP).* The equipment power density used in the ENVSTD24 computer program shall use the actual equipment power density from the building plans and specifications or be taken from Table 402.4.2 using the column titled ''Default Adjusted Equipment Power Density'' or calculated for the building using the procedures of RS–1. (incorporated by reference, see §434.701). The program limits consideration of the equipment power density to a maximum of 1 W/ft^2.

402.4.2.2 *Lighting Power Density (LIGHTS).* The lighting power density used in the ENVSTD24 computer program shall use the actual lighting power density from the building plans and specifications or the appropriate value from Tables 401.3.2a, b, c, or d.

402.4.2.3 *Daylighting Control Credit Fraction (DLCF).* When the daylighting control credit fraction is other than zero, automatic daylighting controls shall be installed in the appropriate perimeter zones(s) of the building to justify the credit.

§434.403 Building mechanical systems and equipment.

Mechanical systems and equipment used to provide heating, ventilating, and air conditioning functions as well as additional functions not related to space conditioning, such as, but not limited to, freeze protection in fire projection systems and water heating, shall meet the requirements of this section.

403.1 *Mechanical Equipment Efficiency.* When equipment shown in Tables 403.1a through 403.1f is used, it shall have a minimum performance at the specified rating conditions when tested in accordance with the specified reference standard. The reference standards listed in Tables 403.1a through 403.1f are incorporated by reference, see §434.701. Omission of minimum performance requirements for equipment not listed in Tables 403.1a through 403.1f does not preclude use of such equipment.

TABLE 403.1A—UNITARY AIR CONDITIONERS AND CONDENSING UNITS, ELECTRICALLY OPERATED, MINIMUM EFFICIENCY REQUIREMENTS

Equipment type	Size category	Subcategory or rating condition	Minimum Efficiency [2]	Test procedure [1]
Air Conditioners, Air Cooled.	< 65,000 Btu/h	Split system	10.0 SEER	ARI 210/240
		Single Package	9.7 SEER	(RS–15)*
	≥ 65,000 Btu/h and < 135,00 Btu/h	Split System and Single Package.	8.9 EER [3]	ARI 210/240
			8.3 IPLV [3]	(RS–15)*
	≥ 135,000 Btu/h and < 240,000 Btu/h.	Split System and Single Package.	8.5 EER[3]	
			7.5 IPLV[3]	
	≥ 240,000 Btu/h and < 760,000 Btu/h.	Split System and Single Package.	8.5 EER[3]	ARI–340/360
			7.5 IPLV[3]	(RS–16)*
	≥ 760,000 Btu/h	Split System and Package	8.3 EER[3]	ARI–340/360
			7.5 IPLV[3]	(RS–16)*
Air Conditioners, Water and Evaporatively Cooled.	< 65,000 Btu/h	Split System and Single Package.	9.3 EER[3]	ARI 210/240
			8.4 IPLV[3]	(RS–15)*
	≥ 65,000 Btu/h and < 135,000 Btu/h.	Split System and Single Package.	10.5 EER[c]	ARI 210/240
			9.7 IPLV[c]	(RS–15)*
	≥ 135,000 Btu/h and < 240,000 Btu/h.	Split System and Single Package.	9.6 EER[c]	ARI–340/360
			9.0 IPLV[c]	(RS–16)*
	≥ 240,000 Btu/h	Split System and Single Package.	9.6 EER[c]	ARI–340/360
			9.0 IPLV[c]	(RS–16)*
Condensing Units, Air Cooled.	135,000 Btu/h		9.9 EER	ARI 365
			11.0 IPLV	(RS–29)*

TABLE 403.1A—UNITARY AIR CONDITIONERS AND CONDENSING UNITS, ELECTRICALLY OPERATED, MINIMUM EFFICIENCY REQUIREMENTS—Continued

Equipment type	Size category	Subcategory or rating condition	Minimum Efficiency [2]	Test procedure [1]
Condensing Units, Water or Evaporatively Cooled.	135,000 Btu/h		12.9 EER 12.9 IPLV	ARI 365 (RS–29)*

[1] See Subpart E for detailed references
[2] IPLVs are only applicable to equipment with capacity modulation.
[3] Deduct 0.2 from the required EERs and IPLVs for units that have a heating section.
* Incorporation by reference, see § 434.701

TABLE 403.1B—UNITARY AND APPLIED HEAT PUMPS, ELECTRICALLY OPERATED, MINIMUM EFFICIENCY REQUIREMENTS

Equipment type	Size category	Subcategory or rating condition	Minimum efficiency [2]	Test procedure [1]
Air Cooled (Cooling Mode).	<65,000 Btu/h	Split System	10.0 SEER	ARI 210/240
		Single Package	9.7 SEER	(RS–15)*
	≥65,000 Btu/h and <135,000 Btu/h.	Split System and Single Package.	8.9 EER [3] 8.3 IPLV [3]	ARI 210/240 (RS–15)*
	≥135,000 Btu/h and <240,000 Btu/h.	Split System and Single Package.	8.5 EER [3] 7.5 IPLV [3]	ARI–340/360 (RS–16)*
	≥240,000 Btu/h	Split System and Single Package.	8.5 EER [3] 7.5 IPLV [3]	ARI–340/360 (RS–16)*
Water Source (Cooling Mode)	<65,000 Btu/h	85 °F Entering Water	9.3 EER	ARI–320
		75 °F Entering Water	10.2 EER	(RS–27)*
	≥65,000 Btu/h and <135,000 Btu/h	85 °F Entering Water	10.5 EER	ARI–320
		75 °F Entering Water	11.0 EER	(RS–27)*
Groundwater-Source (Cooling Mode).	<135,000 Btu/h	70 F Entering Water	11.0 EER	ARI 325
		50 F Entering Water	11.5 EER	(RS–28)*
Ground Source (Cooling Mode).	<135,000 Btu/h	77 F Entering Water	10.0 EER	ARI 325
		70 F Entering Water	10.4 EER	(RS–28)*
Air Cooled (Heating Mode).	<65,000 Btu/h (Cooling Capacity).	Split System	6.8 HSPF	ARI 210/240
		Single Package	6.6 HSPF	(RS–15)*
	65,000 Btu/h and <135,000 Btu/h (Cooling Capacity).	47 F db/43 F wb Outdoor Air	3.00 COP	ARI 210/240
		17 F db/15 F wb Outdoor Air	2.00 COP	(RS–15)*
	135,000 Btu/h (Cooling Capacity).	47 F db/43 F wb Outdoor Air	2.90 COP	ARI–340/360
		17 F db/15 F wb Outdoor	2.00 COP	(RS–1/)*
Water-Source (Heating Mode).	<135,000 Btu/h (Cooling Capacity).	70 F Entering Water	3.80 COP	ARI–320
		75 F Entering Water	3.90 COP	(RS–27)*
Groundwater-Source (Heating Mode).	<135,000 Btu/h (Cooling Capacity).	70 F Entering Water	3.40 COP	ARI 325
		50 F Entering Water	3.00 COP	(RS–28)*
Ground Source (Heating Mode).	<135,000 Btu/h (Cooling Capacity).	32 F Entering Water	2.50 EER	ARI–330
		41 F Entering Water	2.70 EER	(RS–45)*

[1] See Subpart E for detailed references.
[2] IPLVs are only applicable to equipment with capacity modulation.
[3] Deduct 0.2 from the required EERs and IPLVs for units that have a heating section.
* Incorporation by reference, see § 434.701.

TABLE 403.1C.—WATER CHILLING PACKAGES, MINIMUM EFFICIENCY REQUIREMENTS

Equipment type	Size category	Subcategory or rating condition	Minimum efficiency [2]	Test procedure [1]
Air-Cooled, With Condenser, Electrically Operated.	<150 Tons ≥150 Tons	2.70 COP 2.80 IPLV	2.50 COP 2.50 IPLV	ARI 550 Centrifugal/ Rotary Screw (RS–30)* or ARI 590 Reciprocating (RS–31)*
Air-Cooled, Without Condenser, Electrically Operated.	All Capacities		3.10 COP 3.20 IPLV	
Water Cooled, Electrically Operated, Positive Displacement (Reciprocating).	All Capacities		3.80 COP 3.90 IPLV	

TABLE 403.1C.—WATER CHILLING PACKAGES, MINIMUM EFFICIENCY REQUIREMENTS—Continued

Equipment type	Size category	Subcategory or rating condition	Minimum efficiency [2]	Test procedure [1]
Water Cooled, Electrically Operated, Positive Displacement (Rotary Screw and Scroll).	<150 Tons ≥150 Tons and <300 Tons. ≥300 Tons	.	3.80 COP 3.90 IPLV 4.20 COP 4.50 IPLV 5.20 COP 5.30 IPLV	
Water-Cooled, Electrically Operated, Centrifugal.	<150 Tons 150 Tons and <300 Tons. 300 Tons		3.80 COP 3.90 IPLV 4.20 COP 4.50 IPLV 5.20 COP 5.30 IPLV	ARI 550 (RS–30)*
Absorption Single Effect	All Capacities		0.48 COP.	
Absorption Double Effect, Indirect-Fired.	All Capacities		0.95 COP 1.00 IPLV	ARI 560 (RS–46)*
Absorption Double-Effect, Direct-Fired.	All Capacities		0.95 COP 1.00 IPLV	

[1] See Subpart E for detailed references.
[2] Equipment must comply with all efficiencies when multiple efficiencies are indicated.
*Incorporation by reference, see § 434.701.

TABLE 403.1D—PACKAGED TERMINAL AIR CONDITIONERS, PACKAGED TERMINAL HEAT PUMPS, ROOM AIR CONDITIONERS, AND ROOM AIR-CONDITIONER HEAT PUMPS ELECTRICALLY OPERATED, MINIMUM EFFICIENCY REQUIREMENTS

Equipment type	Size category	Subcategory or rating condition	Minimum efficiency [2]	Test procedure [1]
PTAC (Cooling Mode)	All Capacities	95°F db Outdoor Air 82°F db Outdoor Air	10.0– (0.16 × Cap/1,000) [3]EER. 12.2–(0.20 × Cap/1,000) [3]EER.	ARI 310/380 (RS–17)* ARI 310/380 (RS–17)*
PTHP (Cooling Mode)	All Capacities	95°F db Outdoor Air 82°F db Outdoor Air	10.0–(0.16 × Cap/1,000) [3] EER. 12.2–(0.20 × Cap/1,000) EER.	
PTHP (Heating Mode)	All Capacities		2.90–(0.026 × CAP/1,000) [3] COP.	
Room Air Conditioners, With Louvered Sides.	<6,000 Btu/h ≥6,000 Btu/h and <8,000 Btu/h. ≥8,000 Btu/h and lt;14,000 Btu/h. ≥14,000 Btu/h and <20,000 Btu/h. ≥20,000 Btu/h		8.0 EER 8.5 EER 9.0 EER 8.8 EER 8.2 EER	ANSI/AHAM RAC–1 (RS–40)*
Room Air Conditioner, Without Louvered Sides.	<6,000 Btu/h ≥6,000 Btu/h and <20,000 Btu/h. ≥20,000 Btu/h		8.0 EER 8.5 EER 8.2 EER	ANSI/AHAM RAC–1 (RS–40)*
Room Air-Conditioner Heat Pumps With Louvered Sides.	All Capacities		8.5 EER	ANSI/AHAM RAC–1 (RS–40)*
Room Air-Conditioner Heat Pumps Without Louvered Sides.	All Capacities		8.0 EER	ANSI/AHAM RAC–1 (RS–40*

[1] See Subpart E for detailed references.
[2] Equipment must comply with all efficiencies when multiple efficiencies are indicated. (Note products covered by the 1992 Energy Policy Act have no efficiency requirement for operation at other than standard rating conditions for products manufactured after 1/1/94).
[3] Cap means the rated capacity of the product in Btu/h. If the unit's capacity is less than 7,000 Btu/h, use 7,000 Btu/h in the calculation. If the unit's capacity is greater than 15,000 Btu/h, use 15,000 Btu/h in the calculation.
* Incorporation by reference, see § 434.701.

TABLE 403.1E—WARM AIR FURNACES AND COMBINATION WARM AIR FURNACES/AIR CONDITIONING UNITS, WARM AIR DUCT FURNACES AND UNIT HEATERS, MINIMUM EFFICIENCY REQUIREMENTS

Equipment type	Size category	Subcategory or rating condition	Minimum efficiency[b,e]	Test procedure[a]
Warm Air-Furnace, Gas-Fired	< 225,000 Btu/h	.....	78% AFUE or 80% E_t.	DOE 10 CFR 430 Appendix N
	≥ 225,000 Btu/h	Maximum Capacity[c]	80% E_t	ANSI Z21.47
		Minimum Capacity[c]	78% E_t	(RS–21)*
Warm Air-Furnace, Oil-Fired ..	< 225,000 Btu/h	.....	78% AFUE or 80% E_t[d].	DOE 10 CFR 430 Appendix N
	≥ 225,000 But/h	Maximum Capacity[c]	81% E_t	U.L. 727
		Minimum Capacity	81% E_t	(RS–22)*
Warm Air Duct Furnaces, Gas-Fired.	All Capacities	Maximum Capacity[c]	78% E_t	ANSI Z83.9
		Minimum Capacity	75% E_t	(RS–23)
Warm Air Unit Heaters, Gas Fired.	All Capacities	Maximum Capacity[c]	78% E_t	ANSI Z83.8
		Minimum Capacity	74% E_t	(RS–24)*
Oil-Fired	All Capacities	Maximum Capacity[c]	81% E_t	U.L. 731
		Minimum Capacity	81% E_t	(RS–25)*

[a] See Subpart E for detailed references.
[b] Minimum and maximum ratings as provided for and allowed by the unit's controls.
[c] Combination units not covered by NAECA (Three-phase power or cooling capacity ≥ 65,000 Btu/h) may comply with either rating.
[d] E_t = thermal efficiency. See referenced document for detailed discussion.
[e] E_c = combustion efficiency. Units must also include an IID and either power venting or a flue damper. For those furnaces where combustion air is drawn from the conditioned space, a vent damper may be substituted for a flue damper.
* Incorporation by reference, see § 434.701

TABLE 403.1F—BOILERS, GAS- AND OIL-FIRED, MINIMUM EFFICIENCY REQUIREMENTS

Equipment type	Size category	Subcategory or rating condition	Minimum efficiency[b]	Test procedure[a]
Boilers, Gas-Fired	<300,000 Btu/h	Hot Water	80% AGUE	DOE 10 CFR 430 Appendix N
	.....	Steam	75% AGUE	DOE 10 CFR 430 Appendix N
	<300,000 Btu/h	Maximum Capacity[c]	80% E_c	ANSI Z21.13
		Minimum Capacity	80% E_c	(RS–32)*
Boilers, Oil-Fired	<300,000 Btu/h	.....	80% AGUE	DOE 10 CFR 430 (RS–20)*
	<300,000 Btu/h	Maximum Capacity[c]	83% E_c	U.L. 726
		Minimum Capacity	83% E_c	(RS–33)*
Oil-Fired (Residual)	<3000,000 Btu/h	Maximum Capacity[c]	83% E_c	
		Minimum Capacity	83% E_c.	

[a] See Subpart E for detailed references.
[b] Minimum and maximum ratings as provided for and allowed by the unit's controls.
[c] E_c = combustion efficiency (100% less flue losses). See reference document for detailed information.
* Incorporation by reference, see §434.701.

403.1.1 Where multiple rating conditions and/or performance requirements are provided, the equipment shall satisfy all stated requirements.

403.1.2 Equipment used to provide water heating functions as part of a combination integrated system shall satisfy all stated requirements for the appropriate space heating or cooling category.

403.1.3 The equipment efficiency shall be supported by data furnished by the manufacturer or shall be certified under a nationally recognized certification program or rating procedure.

403.1.4 Where components, such as indoor or outdoor coils, from different manufacturers are used, the system designer shall specify component efficiencies whose combined efficiency meets the standards herein.

403.2 *HVAC Systems.*

403.2.1 *Load Calculations.* Heating and cooling system design loads for the purpose of sizing systems and equipment shall be determined in accordance with the procedures described in RS–1 (incorporated by reference, see §434.701) using the design parameters specified in subpart C of this part.

403.2.2 *Equipment and System Sizing.* Heating and cooling equipment and systems shall be sized to provide no more than the loads calculated in accordance with subsection 403.2.1. A single piece of equipment providing both heating and cooling must satisfy this provision for one function with the other function sized as small as possible to meet the load, within available equipment options. Exceptions are as follows:

(a) When the equipment selected is the smallest size needed to meet the load within

available options of the desired equipment line.

(b) Standby equipment provided with controls and devices that allow such equipment to operate automatically only when the primary equipment is not operating.

(c) Multiple units of the same equipment type with combined capacities exceeding the design load and provided with controls that sequence or otherwise optimally control the operation of each unit based on load.

403.2.3 *Separate Air Distribution System.* Zones with special process temperature and/or humidity requirements shall be served by air distribution systems separate from those serving zones requiring only comfort conditions or shall include supplementary provisions so that the primary systems may be specifically controlled for comfort purposes only. Exceptions: Zones requiring only comfort heating or comfort cooling that are served by a system primarily used for process temperature and humidity control need not be served by a separate system if the total supply air to these comfort zones is no more than 25% of the total system supply air or the total conditioned floor area of the zones is less than 1000 ft2.

403.2.4 *Ventilation and Fan System Design.* Ventilation systems shall be designed to be capable of reducing the supply of outdoor air to the minimum ventilation rates required by Section 6.1.3 of RS–41 (incorporated by reference, see §434.701) through the use of return ducts, manually or automatically operated control dampers, fan volume controls, or other devices. Exceptions are as follows: Minimum outdoor air rates may be greater if:

(a) Required to make up air exhausted for source control of contaminants such as in a fume hood.

(b) Required by process systems.

(c) Required to maintain a slightly positive building pressure. For this purpose, minimum outside air intake may be increased up to no greater than 0.30 air changes per hour in excess of exhaust quantities.

403.2.4.1 *Ventilation controls for variable or high occupancy areas.* Systems with design outside air capacities greater than 3,000 cfm serving areas having an average design occupancy density exceeding 100 people per 1,000 ft^2 shall include means to automatically reduce outside air intake to the minimum values required by RS–41 (incorporated by reference, see §434.701) during unoccupied or low-occupancy periods. Outside air shall not be reduced below 0.14 cfm/ft^2. Outside air intake shall be controlled by one or more of the following:

(a) A clearly labeled, readily accessible bypass timer that may be used by occupants or operating personnel to temporarily increase minimum outside air flow up to design levels.

(b) A carbon dioxide (CO_2) control system having sensors located in the spaces served, or in the return air from the spaces served, capable of maintaining space CO_2 concentrations below levels recommended by the manufacturer, but no fewer than one sensor per 25,000 ft^2 of occupied space shall be provided.

(c) An automatic timeclock that can be programmed to maintain minimum outside air intake levels commensurate with scheduled occupancy levels.

(d) Spaces equipped with occupancy sensors.

403.2.4.2 *Ventilation Controls for enclosed parking garages.* Garage ventilation fan systems with a total design capacity greater than 30,000 cfm shall have automatic controls that stage fans or modulate fan volume as required to maintain carbon monoxide (CO) below levels recommended in RS–41.

403.2.4.3 *Ventilation and Fan Power.* The fan system energy demand of each HVAC system at design conditions shall not exceed 0.8 W/cfm of supply air for constant air volume systems and 1.25 W/cfm of supply air for variable-air-volume (VAV) systems. Fan system energy demand shall not include the additional power required by air treatment or filtering systems with pressure drops over 1 in. w.c. Individual VAV fans with motors 75 hp and larger shall include controls and devices necessary for the fan motor to demand no more than 30 percent of design wattage at 50 percent of design air volume, based on manufacturer's test data. Exceptions are as follows:

(a) Systems with total fan system motor horsepower of 10 hp or less.

(b) Unitary equipment for which the energy used by the fan is considered in the efficiency ratings of subsection 403.1.

403.2.5 *Pumping System Design.* HVAC pumping systems used for comfort heating and/or comfort air conditioning that serve control valves designed to modulate or step open and closed as a function of load shall be designed for variable fluid flow and capable of reducing system flow to 50 percent of design flow or less. Exceptions are as follows:

(a) Systems where a minimum flow greater than 50% of the design flow is required for the proper operation of equipment served by the system, such as chillers.

(b) Systems that serve no more than one control valve.

(c) Systems with a total pump system horse power ≤10 hp.

(d) Systems that comply with subsection 403.2.6.8 without exception.

403.2.6 *Temperature and Humidity Controls.*

403.2.6.1 *System Controls.* Each heating and cooling system shall include at least one temperature control device.

403.2.6.2 *Zone Controls.* The supply of heating and cooling energy to each zone shall be controlled by individual thermostatic controls responding to temperature within the

zone. For the purposes of this section, a dwelling unit is considered a zone. Exceptions are as follows: Independent perimeter systems that are designed to offset building envelope heat losses or gains or both may serve one or more zones also served by an interior system when the perimeter system includes at least one thermostatic control zone for each building exposure having exterior walls facing only one orientation for at least 50 contiguous ft and the perimeter system heating and cooling supply is controlled by thermostat(s) located within the zone(s) served by the system.

403.2.6.3 *Zone Thermostatic Control Capabilities.* Where used to control comfort heating, zone thermostatic controls shall be capable of being set locally or remotely by adjustment or selection of sensors down to 55°F or lower. Where used to control comfort cooling, zone thermostatic controls shall be capable of being set locally or remotely by adjustment or selection of sensors up to 85°F or higher. Where used to control both comfort heating and cooling, zone thermostatic controls shall be capable of providing a temperature range or deadband of at least 5°F within which the supply of heating and cooling energy to the zone is shut off or reduced to a minimum. Exceptions are as follows:

(a) Special occupancy or special usage conditions approved by the building official or

(b) Thermostats that require manual changeover between heating and cooling modes.

403.2.6.4 *Heat Pump Auxiliary Heat.* Heat pumps having supplementary electric resistance heaters shall have controls that prevent heater operation when the heating load can be met by the heat pump. Supplemental heater operation is permitted during outdoor coil defrost cycles not exceeding 15 minutes.

403.2.6.5 *Humidistats.* Humidistats used for comfort purposes shall be capable of being set to prevent the use of fossil fuel or electricity to reduce relative humidity below 60% or increase relative humidity above 30%.

403.2.6.6 *Simultaneous Heating and Cooling.* Zone thermostatic and humidistatic controls shall be capable of operating in sequence the supply of heating and cooling energy to the zone. Such controls shall prevent: Reheating; recooling; mixing or simultaneous supply of air that has been previously mechanically heated and air that has been previously cooled, either by mechanical refrigeration or by economizer systems; and other simultaneous operation of heating and cooling systems to the same zone. Exceptions are as follows:

(a) Variable-air-volume systems that, during periods of occupancy, are designed to reduce the air supply to each zone to a minimum before heating, recooling, or mixing takes place. This minimum volume shall be no greater than the larger of 30% of the peak supply volume, the minimum required to meet minimum ventilation requirements of the Federal agency. (0.4 cfm/ft^2 of zone conditioned floor area, and 300 cfm).

(b) Zones where special pressurization relationships or cross-contamination requirements are such that variable-air-volume systems are impractical, such as isolation rooms, operating areas of hospitals and clean rooms.

(c) At least 75% of the energy for reheating or for providing warm air in mixing systems is provided from a site-recovered or site-solar energy source.

(d) Zones where specified humidity levels are required to satisfy process needs, such as computer rooms and museums.

(e) Zones with a peak supply air quantity of 300 cfm or less.

403.2.6.7 *Temperature Reset for Air Systems.* Air systems supplying heated or cooled air to multiple zones shall include controls that automatically reset supply air temperatures by representative building loads or by outside air temperature. Temperature shall be reset by at least 25% of the design supply air to room air temperature difference. Zones that are expected to experience relatively constant loads, such as interior zones, shall be designed for the fully reset supply temperature. Exception are as follows: Systems that comply with subsection 403.2.6.6 without using exceptions (a) or (b).

403.2.6.8 *Temperature Reset for Hydronic Systems.* Hydronic systems of at least 600,000 Btu/hr design capacity supplying heated and/or chilled water to comfort conditioning systems shall include controls that automatically reset supply water temperatures by representative building loads (including return water temperature) or by outside air temperature. Temperature shall be reset by at least 25% of the design supply-to-return water temperature difference. Exceptions are as follows:

(a) Systems that comply with subsection 403.2.5 without exception or

(b) Where the design engineer certifies to the building official that supply temperature reset controls cannot be implemented without causing improper operation of heating, cooling, humidification, or dehumidification systems.

403.2.7 *Off Hour Controls.*

403.2.7.1 *Automatic Setback or Shutdown Controls.* HVAC systems shall be equipped with automatic controls capable of accomplishing a reduction of energy use through control setback or equipment shutdown. Exceptions are as follows:

(a) Systems serving areas expected to operate continuously or

(b) Equipment with full load demands not exceeding 2 kW controlled by readily accessible, manual off-hour controls.

403.2.7.2 *Shutoff Dampers.* Outdoor air supply and exhaust systems shall be provided with motorized or gravity dampers or other

means of automatic volume shutoff or reduction. Exceptions are as follows:

(a) Systems serving areas expected to operate continuously.

(b) Individual systems which have a design airflow rate or 3000 cfm or less.

(c) Gravity and other non-electrical ventilation systems controlled by readily accessible, manual damper controls.

(d) Where restricted by health and life safety codes.

403.2.7.3 Zone Isolation systems that serve zones that can be expected to operate nonsimultaneously for more than 750 hours per year shall include isolation devices and controls to shut off or set back the supply of heating and cooling to each zone independently. Isolation is not required for zones expected to operate continuously or expected to be inoperative only when all other zones are inoperative. For buildings where occupancy patterns are not known at the time of system design, such as speculative buildings, the designer may predesignate isolation areas. The grouping of zones on one floor into a single isolation area shall be permitted when the total conditioned floor area does not exceed 25,000 ft^2 per group.

403.2.8 *Economizer Controls.*

403.2.8.1 Each fan system shall be designed and capable of being controlled to take advantage of favorable weather conditions to reduce mechanical cooling requirements. The system shall include either: A temperature or enthalpy air economizer system that is capable of automatically modulating outside air and return air dampers to provide up to 85% of the design supply air quantity as outside air, or a water economizer system that is capable of cooling supply air by direct and/or indirect evaporation and is capable of providing 100% of the expected system cooling load at outside air temperatures of 50°F dry-bulb/45°F wet-bulb and below. Exceptions are as follows:

(a) Individual fan-cooling units with a supply capacity of less than 3000 cfm or a total cooling capacity less than 90,000 Btu/h.

(b) Systems with air-cooled or evaporatively cooled condensers that include extensive filtering equipment provided in order to meet the requirements of RS–41 (incorporated by reference, see §434.701).

(c) Systems with air-cooled or evaporatively cooled condensers where the design engineer certifies to the building official that use of outdoor air cooling affects the operation of other systems, such as humidification, dehumidification, and supermarket refrigeration systems, so as to increase overall energy usage.

(d) Systems that serve envelope-dominated spaces whose sensible cooling load at design conditions, excluding transmission and infiltration loads, is less than or equal to transmission and infiltration losses at an outdoor temperature of 60°F.

(e) Systems serving residential spaces and hotel or motel rooms.

(f) Systems for which at least 75% of the annual energy used for mechanical cooling is provided from a site-recovered or site-solar energy source.

(g) The zone(s) served by the system each have operable openings (windows, doors, etc.) with an openable area greater than 5% of the conditioned floor area. This applies only to spaces open to and within 20 ft of the operable openings. Automatic controls shall be provided that lock out system mechanical cooling to these zones when outdoor air temperatures are less than 60°F.

403.2.8.2 Economizer systems shall be capable of providing partial cooling even when additional mechanical cooling is required to meet the remainder of the cooling load. Exceptions are as follows:

(a) Direct-expansion systems may include controls to reduce the quantity of outdoor air as required to prevent coil frosting at the lowest step of compressor unloading. Individual direct-expansion units that have a cooling capacity of 180,000 Btu/h or less may use economizer controls that preclude economizer operation whenever mechanical cooling is required simultaneously.

(b) Systems in climates with less than 750 average operating hours per year between 8 a.m. and 4 p.m. when the ambient dry-bulb temperatures are between 55 °F and 69 °F inclusive.

403.2.8.3 System design and economizer controls shall be such that economizer operation does not increase the building heating energy use during normal operation.

403.2.9 *Distribution System Construction and Insulation.*

403.2.9.1 *Piping Insulation.* All HVAC system piping shall be thermally insulated in accordance with Table 403.2.9.1. Exceptions are as follows:

(a) Factory-installed piping within HVAC equipment tested and rated in accordance with subsection 403.1.

(b) Piping that conveys fluids that have a design operating temperature range between 55°F and 105°F.

(c) Piping that conveys fluids that have not been heated or cooled through the use of fossil fuels or electricity.

TABLE 403.2.9.1—MINIMUM PIPE INSULATION (IN.) [a]

Fluid Design Operating Temp. Range (F)	Insulation conductivity [a]		Nominal pipe diameter (in.)				
	Conductivity Range Btu in./(h ft² F)	Mean Temp. F	<1.0	1.0 to 1.25	1.5 to 3.0	4.0 to 6.0	8.0
Heating systems (Steam, Steam Condensate, and Hot Water) [b, c]							
>350	0.32–0.34	250	1.0	1.5	1.5	2.0	2.5
251–350	0.29–0.32	200	1.0	1.0	1.5	2.0	2.0
201–250	0.27–0.30	150	1.0	1.0	1.0	1.5	1.5
141–200	0.25–0.29	125	1.0	1.0	1.0	1.5	1.5
105–140	0.22–0.28	100	0.5	0.5	0.75	1.0	1.0
Domestic and Service Hot Water Systems							
105 and Greater	0.22–0.28	100	0.5	0.5	0.75	1.0	1.0
Cooling Systems (Chilled Water, Brine, and Refrigerant) [d]							
40–55	0.22–0.28	100	0.5	0.5	0.5	0.5	0.5
Below 40	0.22–0.28	100	0.5	0.5	0.5	0.5	0.5

[a] For insulation outside the stated conductivity range, the minimum thickness (T) shall be determined as follows: $T=r\{1+t/r)^{K/k}-1\}$

Where T = minimum insulation thickness (in), r = actual outside radius of pipe (in), t = insulation thickness listed in this table for applicable fluid temperature and pipe size, K = conductivity of alternate material at mean rating temperature indicated for the applicable fluid temperature (Btu in/h ft² F); and k = the upper value of the conductivity range listed in this table for the applicable fluid temperature.

[b] These thicknesses are based on energy efficiency considerations only. Safety issues, such as insulation surface temperatures, have not been considered.

[c] Piping insulation is not required between the control valve and coil on run-outs when the control valve is located within four feet of the coil and the pipe diameter is 1 inch or less.

[d] Note that the required minimum thickness does not take water vapor transmission and possible surface condensation into account.

TABLE 403.2.9.2—MINIMUM DUCT INSULATION R-VALUE [A]

Duct location	Cooling supply ducts				Heating supply ducts				Return ducts
	CDD65 ≤500	500< CDD65 ≤1,000	1,000< CDD65 ≤2,000	CDD65 ≥2,000	HDD65 ≤1,500	1,500< HDD65 ≤4,500	4,500< HDD65 ≤7,500	HDD65 ≥7,500	
Exterior of Building	R–3.3	R–5.0	R–6.5	R–8.0	R–3.3	R–5.0	R–6.5	R–8.0	R–5.0
Ventilated Attic	R–3.3	R–3.3	R–3.3	R–5.0	R–5.0	R–5.0	R–5.0	R–5.0	R–3.3
Unvented Attic	R–5.0	R–5.0	R–5.0	R–5.0	R–5.0	R–5.0	R–5.0	R–5.0	R–3.3
Other Conditioned Spaces [b].	R–3.3	R–3.3	R–3.3	R–3.3	R–3.3	R–3.3	R–3.3	R–3.3	R–3.3
Indirectly Conditioned Spaces [c].	none	R–3.3	R–3.3	R–3.3	R–3.3	R–3.3	R–3.3	R–3.3	none
Buried	none	none	none	none	R–5.0	R–5.0	R–5.0	R–5.0	R–3.3

[a] Insulation R-values, measured in (h.ft².°F)/Btu, are for the insulation as installed and do not include film resistance. The required minimum thickness do not consider water vapor transmission and possible surface condensation. The required minimum thicknesses do not consider water vapor transmission and condensation. For ducts that are designed to convey both heated and cooled air, duct insulation shall be as required by the most restrictive condition. Where exterior walls are used as plenum walls, wall insulation shall be as required by the most restrictive condition of this section or subsection 402. Insulation resistance measured on a horizontal plane in accordance with RS–6 (incorporated by reference, see §434.701) at a mean temperature of 75 °F. RS–6 is in incorporated by reference at §434.701.

[b] Includes crawl spaces, both ventilated and non-ventilated.

[c] Includes return air plenums, with and without exposed roofs above.

403.2.9.2 *Duct and Plenum Insulation.* All supply and return air ducts and plenums installed as part of an HVAC air distribution system shall be thermally insulated in accordance with Table 403.2.9.1. Exceptions are as follows:

(a) Factory-installed plenums, casings, or ductwork furnished as a part of the HVAC equipment tested and rated in accordance with subsection 403.1

(b) Ducts within the conditioned space that they serve. (incorporated by reference, see §434.701)ca a06oc0.186

403.2.9.3 *Duct and Plenum Construction.* All air-handling ductwork and plenums shall be constructed and erected in accordance with RS–34, RS–35, and RS–36 (incorporated by reference, see §434.701). Where supply ductwork and plenums designed to operate at static pressures from 0.25 in. wc to 2 in. wc, inclusive, are located outside of the conditioned space or in return plenums, joints shall be

sealed in accordance with Seal Class C as defined in RS–34 (incorporated by reference, see §434.701). Pressure sensitive tape shall not be used as the primary sealant where such ducts are designed to operate at static pressures of 1 in. wc, or greater.

403.2.9.3.1 Ductwork designed to operate at static pressures in excess of 3 in. wc shall be leak-tested in accordance with Section 5 of RS–35, (incorporated by reference, see §434.701), or equivalent. Test reports shall be provided in accordance with Section 6 of RS–35, (incorporated by reference, see §434.701)m or equivalent. The tested duct leakage class at a test pressure equal to the design duct pressure class rating shall be equal to or less than leakage Class 6 as defined in Section 4.1 of RS–35 (incorporated by reference, see §434.701). Representative sections totaling at least 25% of the total installed duct area for the designated pressure class shall be tested.

403.2.10 *Completion*.

403.2.10.1 *Manuals*. Construction documents shall require an operating and maintenance manual provided to the Federal Agency. The manual shall include, at a minimum, the following:

(a) Submittal data stating equipment size and selected options for each piece of equipment requiring maintenance, including assumptions used in outdoor design calculations.

(b) Operating and maintenance manuals for each piece of equipment requiring maintenance. Required maintenance activity shall be specified.

(c) Names and addresses of at least one qualified service agency to perform the required periodic maintenance shall be provided.

(d) HVAC controls systems maintenance and calibration information, including wiring diagrams, schematics, and control sequence descriptions. Desired or field determined setpoints shall be permanently recorded on control drawings, at control devices, or, for digital control systems, in programming comments.

(e) A complete narrative, prepared by the designer, of how each system is intended to operate shall be included with the construction documents.

403.2.10.2 *Drawings*. Construction documents shall require that within 30 days after the date of system acceptance, record drawings of the actual installation be provided to the Federal agency. The drawings shall include details of the air barrier installation in every envelope component, demonstrating continuity of the air barrier at all joints and penetrations.

403.2.10.3 *Air System Balancing*. Construction documents shall require that all HVAC systems be balanced in accordance with the industry accepted procedures (such as National Environmental Balancing Bureau (NEBB) Procedural Standards, Associated Air Balance Council (AABC) National Standards, or ANSI/ASHRAE Standard 111). Air and water flow rates shall be measured and adjusted to deliver final flow rates within 10% of design rates, except variable flow distribution systems need not be balanced upstream of the controlling device (VAV box or control valve).

403.2.10.3.1 Construction documents shall require a written balance report be provided to the Federal agency for HVAC systems serving zones with a total conditioned area exceeding 5,000 ft^2.

403.2.10.3.2 Air systems shall be balanced in a manner to first minimize throttling losses, then fan speed shall be adjusted to meet design flow conditions or equivalent procedures. Exceptions are as follows: Damper throttling may be used for air system balancing;

(a) With fan motors of 1 hp (0.746 kW) or less, or

(b) Of throttling results in no greater than ⅓ hp (0.248 kW) fan horsepower draw above that required if the fan speed were adjusted.

403.2.10.4 *Hydronic System Balancing*. Hydronic systems shall be balanced in a manner to first minimize throttling losses; then the pump impeller shall be trimmed or pump speed shall be adjusted to meet design flow conditions. Exceptions are as follows:

(a) Pumps with pump motors of 10 hp (7.46 kW) or less.

(b) If throttling results in no greater than 3 hp (2.23 kW) pump horsepower draw above that required if the impeller were trimmed.

(c) To reserve additional pump pressure capability in open circuit piping systems subject to fouling. Valve throttling pressure drop shall not exceed that expected for future fouling.

403.2.10.5 *Control System Testing*. HVAC control systems shall be tested to assure that control elements are calibrated, adjusted, and in proper working condition. For projects larger than 50,000 ft2 conditioned area, detailed instructions for commissioning HVAC systems shall be provided by the designer in plans and specifications.

§434.404 Building service systems and equipment.

404.1 *Service Water Heating Equipment Efficiency*. Equipment must satisfy the minimum performance efficiency specified in Table 404.1 when tested in accordance with RS–37, RS–38, or RS–39 (incorporated by reference, see §434.701). Omission of equipment from Table 404.1 shall not preclude the use of such equipment. Service water heating equipment used to provide additional function of space heating as part of a combination (integrated) system shall satisfy all stated requirements for the service water heating equipment. All gas-fired storage water heaters that are not equipped with a

flue damper and use indoor air for combustion or draft hood dilution and that are installed in a conditioned space, shall be equipped with a vent damper listed in accordance with RS–42 (incorporated by reference, see §434.701). Unless the water heater has an available electrical supply, the installation of such a vent damper shall not require an electrical connection.

TABLE 404.1—MINIMUM PERFORMANCE OF WATER HEATING EQUIPMENT

Category	Type	Fuel	Input rating	V_T	Input to V_T ratio Btuh/gal	Test Method [a]	Energy factor	Thermal efficiency E_t%	Standby loss %/HR
NAECA	all	electric	12 kW	all[c]		DOE Test	0.93–0.00132V		
Covered	storage	gas	75,000 Btuh	all[c]		Procedure 10	0.62–0.0019V		
Water	instantaneous	gas	200,000	all		CFR Part 430	0.62–0.0019V		
Heating	storage	oil	Btuh[c]	all		430	0.59–0.0019V		
Equipment[b]	instantaneous	oil	105,000 Btuh	all		Appendix E	0.59–0.0019V		
	pool heater	gas/oil	210,000 Btuh all	all		ANSI Z21.56 (RS–38)*		78	
Other Water	storage	electric	all	all		ANSI			
Heating						Z21.10.3		78	$.030+27/V_T$
equipment[d]	storage/ instantaneous	gas/oil	155m999 Btuh	all	<4,000	(RS–39)*		78	$1.3+114//V_T$
				all	<4,000			80	$1.3+95/V_T$
			>155,000 Btuh	<10	4,000			77	
				10	4,000				$2.3+67/V_T$
Unfired Storage Tanks					all				6.5 Btuh/ft²

[a] For detailed references see Subpart E.
[b] Consistent with National Appliance Energy Conservation Act (NAECA) of 1987.
[c] DOE Test Procedures apply to electric and gas storage water heaters with rated volumes 20 gallons and gas instantaneous water heaters with input ratings of 50,000 to 200,000 Btuh.
[d] All except those water heaters covered by NAECA.
* Incorporated by reference, see § 434.701.

404.1.1 *Testing Electric and Oil Storage Water Heaters for Standby Loss.*

(a) When testing an electric storage water heater, the procedures of Z21.10.3–1990 (RS–39, incorporated by reference, see §434.701), Section 2.9, shall be used. The electrical supply voltage shall be maintained with ±1% of the center of the voltage range specified on the water heater nameplate. Also, when needed for calculations, the thermal efficiency (E_t) shall be 98%. When testing an oil-fired water heater, the procedures of Z21.10.3–1990 (RS–39 incorporated by reference, see §434.701), Sections 2.8 and 2.9, shall be used.

(b) The following modifications shall be made: A vertical length of flue pipe shall be connected to the flue gas outlet of sufficient height to establish the minimum draft specified in the manufacturer's installation instructions. All measurements of oil consumption shall be taken by instruments with an accuracy of ±1% or better. The burner rate shall be adjusted to achieve an hourly Btu input rate within ±2% of the manufacturer's specified input rate with the CO_2 reading as specified by the manufacturer with smoke no greater than 1 and the fuel pump pressure within ±1% of the manufacturer's specification.

404.1.2 *Unfired Storage Tanks.* The heat loss of the tank surface area Btu/(h•ft^2) shall be based on an 80°F water-air temperature difference.

404.1.3 *Storage Volume Symbols in Table 404.1.* The symbol ''V'' is the rated storage volume in gallons as specified by the manufacturer. The symbol ''V_T'' is the storage volume in gallons as measured during the test to determine the standby loss. V_T may differ from V, but it is within tolerances allowed by the applicable Z21 and Underwriters Laboratories standards. Accordingly, for the purpose of estimating the standby loss requirement using the rated volume shown on the rating plate, V_T should be considered as no less than 0.95V for gas and oil water heaters and no less than 0.90V for electric water heaters.

404.1.4 *Electric Water Heaters.* In applications where water temperatures not greater than 145°F are required, an economic evaluation shall be made on the potential benefit of using an electric heat pump water heater(s) instead of an electric resistance water heater(s). The analysis shall compare the extra installed costs of the heat pump unit with the benefits in reduced energy costs (less increased maintenance costs) over the estimated service life of the heat pump water heater. Exceptions are as follows: Electric water heaters used in conjunction with site-recovered or site-solar energy sources that provide 50% or more of the water heating load or off-peak heating with thermal storage.

404.2 *Service Hot Water Piping Insulation.* Circulating system piping and noncirculating systems without heat traps, the first eight feet of outlet piping from a constant-temperature noncirculating storage system, and the inlet pipe between the storage tank and a heat trap in a noncirculating storage system shall meet the provisions of subsection 403.2.9.

404.2.1 Vertical risers serving storage water heaters not having an integral heat trap and serving a noncirculating system shall have heat traps on both the inlet and outlet piping as close as practical to the water heater.

404.3 *Service Water Heating System Controls.* Temperature controls that allow for storage temperature adjustment from 110°F to a temperature compatible with the intended use shall be provided in systems serving residential dwelling units and from 90°F for other systems. When designed to maintain usage temperatures in hot water pipes, such as circulating hot water systems or heat trace, the system shall be equipped with automatic time switches or other controls that can be set to turn off the system.

404.3.1 The outlet temperature of lavatory faucets in public facility restrooms shall be limited to 110°F.

404.4 *Water Conservation.* Showerheads and lavatory faucets must meet the requirements of 10 CFR 430.32 (o)-(p).

404.4.1 Lavatory faucets in public facility restrooms shall be equipped with a foot switch, occupancy sensor, or similar device or, in other than lavatories for physically handicapped persons, limit water delivery to 0.25 gal/cycle.

404.5 *Swimming Pools.* All pool heaters shall be equipped with a readily accessible on-off switch.

404.5.1 Time switches shall be installed on electric heaters and pumps. Exceptions are as follows:

(a) Pumps required to operate solar or heat recovery pool heating systems.

(b) Where public health requirements require 24-hour pump operation.

404.5.2 Heated swimming pools shall be equipped with pool covers. Exception: When over 70% of the annual energy for heating is obtained from a site-recovered or site-solar energy source.

404.6 *Combined Service Water Heating and Space Heating Equipment.* A single piece of equipment shall not be used to provide both space heating and service water heating. Exceptions are as follows:

(a) The energy input or storage volume of the combined boiler or water heater is less than twice the energy input or storage volume of the smaller of the separate boilers or water heaters otherwise required or

(b) The input to the combined boiler is less than 150,000 Btuh.

Subpart E—Building Energy Cost Compliance Alternative

§ 434.501 General.

501.1 Subpart E permits the use of the Building Energy Cost Compliance Alternative as an alternative to many elements of subpart D. When this subpart is used, it must be used with subpart C and subpart D, 401.1, 401.2, 401.3.4 and in conjunction with the minimum requirements found in subsections 402.1, 402.2, and 402.3., 403.1, 403.2.1–7, 403.2.9 and 404.

501.2 *Compliance.* Compliance under this method requires detailed energy analyses of the entire Proposed Design, referred to as the Design Energy Consumption; an estimate of annual energy cost for the proposed design, referred to as the Design Energy Cost; and comparison against an Energy Cost Budget. Compliance is achieved when the estimated Design Energy Cost is less than or equal to the Energy Cost Budget. This subpart provides instructions for determining the Energy Cost Budget and for calculating the Design Energy Consumption and Design Energy Cost. The Energy Cost Budget shall be determined through the calculation of monthly energy consumption and energy cost of a Prototype or Reference Building design configured to meet the requirements of subsections 401 through 404.

501.3 Designers are encouraged to employ the Building Energy Cost Budget compliance method set forth in this section for evaluating proposed design alternatives to using the elements prescribed in subpart D. The Building Energy Cost Budget establishes the relative effectiveness of each design alternative in energy cost savings, providing an energy cost basis upon which the building owner and designer may select one design over another. This Energy Cost Budget is the highest allowable calculated energy cost for a specific building design. Other alternative designs are likely to have lower annual energy costs and life cycle costs than those used to minimally meet the Energy Cost Budget.

501.4 The Energy Cost Budget is a numerical reference for annual energy cost. It's purpose is to assure neutrality with respect to choices such as HVAC system type, architectural design and fuel choice by providing a fixed, repeatable budget that is independent of any of these choices wherever possible (*i.e.,* for the prototype buildings). The Energy Cost Budget for a given building size and type will vary only with climate, the number of stories, and the choice of simulation tool. The specifications of the prototypes are necessary to assure repeatability, but have no other significance. They are not necessarily recommended energy conserving practice, or even physically reasonable practice for some climates or buildings, but represent a reasonable worst case of energy cost resulting from compliance with the provisions of subsections 401 through 404.

§ 434.502 Determination of the annual Energy Cost Budget.

502.1 The annual Energy Cost Budgets shall be determined in accordance with the Prototype Building Procedure in § 434.503 and § 434.504 or the Reference Building Procedure in § 434.505. Both methods calculate an annual Energy Cost by summing the 12 monthly Energy Cost Budgets. Each monthly Energy Cost Budget is the product of the monthly Building Energy Consumption of each type of energy used multiplied by the monthly Energy Cost per unit of energy for each type of energy used.

502.2 The Energy Cost Budget shall be determined in accordance with Equation 502.2.a as follows:

$$ECB = ECB_{jan} + \ldots ECB_{m} + \ldots + ECB_{dec} \qquad \text{(Equation 502.2.a)}$$

Based on:

$$ECB_{m} = BECON_{m1}1 \times ECOS_{m1} + \ldots + BECON_{mi} \times ECOS_{mi} \qquad \text{(Equation 502.2.b)}$$

Where:

ECB = The annual Energy Cost Budget

ECB_m = The monthly Energy Cost Budget

$BECON_{mi}$ = The monthly Budget Energy Consumption of the i_{th} type of energy

$ECOS_{mi}$ = The monthly Energy Cost, per unit of the i_{th} type of energy

502.3 The monthly Energy Cost Budget shall be determined using current rate schedules or contract prices available at the building site for all types of energy purchased. These costs shall include demand charges, rate blocks, time of use rates, interruptible service rates, delivery charges, taxes, and all other applicable rates for the type, location,

operation, and size of the proposed design. The monthly Budget Energy Consumption shall be calculated from the first day through the last day of each month, inclusive.

§ 434.503 Prototype Building procedure.

503.1 The Prototype Building procedure shall be used for all building types listed below. For mixed-use buildings the Energy Cost Budget is derived by allocating the floor space of each building type within the floor space of the prototype building. For buildings not listed below, the Reference Building procedure of §434.505 shall be used. Prototype buildings include:

(a) Assembly;
(b) Office (Business);
(c) Retail (Mercantile);
(d) Warehouse (Storage);
(e) School (Educational);
(f) Hotel/Motel;
(g) Restaurant;
(h) Health/Institutional; and
(i) Multi-Family.

§ 434.504 Use of the Prototype Building to determine the Energy Cost Budget.

504.1 Determine the building type of the Proposed Design using the categories in subsection 503.1. Using the appropriate Prototype Building characteristics from all of the tables contained in Subpart E, the building shall be simulated using the same gross floor area and number of floors for the Prototype Building as in the Proposed Design.

504.2 The form, orientation, occupancy and use profiles for the Prototype Building shall be fixed as described in subsection 511. Envelope, lighting, other internal loads and HVAC systems and equipment shall meet the requirements of subsection 301, 401, 402, 403, and 404 and are standardized inputs.

§ 434.505 Reference Building method.

505.1 The Reference Building procedure shall be used only when the Proposed Design cannot be represented by one or a combination of the Prototype Building listed in subsection 503.1 or the assumptions for the Prototype Building in Subsection 510, such as occupancy and use-profiles, do not reasonably represent the Proposed Design.

§ 434.506 Use of the Reference Building to determine the Energy Cost Budget.

506.1 Each floor shall be oriented in the same manner for the Reference Building as in the Proposed Design. The form, gross and conditioned floor areas of each floor and the number of floors shall be the same as in the Proposed Design. All other characteristics, such as lighting, envelope and HVAC systems and equipment, shall meet the requirements of subsections 301, 401, 402, 403 and 404.

§ 434.507 Calculation procedure and simulation tool.

507.1 The Prototype or Reference Buildings shall be modeled using the criteria of subsections 510 and 521. The modeling shall use a climate data set appropriate for both the site and the complexity of the energy conserving features of the design. ASHRAE Weather Year for Energy Calculations (WYEC) data or bin weather data shall be used in the absence of other appropriate data.

§ 434.508 Determination of the Design Energy Consumption and Design Energy Cost.

508.1 The Design Energy Consumption shall be calculated by modeling the Proposed Design using the same methods, assumptions, climate data, and simulation tool as were used to establish the Energy Cost Budget, except as explicitly stated in 509 through 534. The Design Energy Cost shall be calculated per Equation 508.1.

$$DECOS = DECOS_{jan} + \ldots DECOS_{m} \ldots . + DECOS_{dec} \qquad \text{Equation 508.1}$$

Based on:

$$DECOS_{m} = DECON_{ml} \times ECOS_{ml} + \ldots + DECON_{mi} \times ECOS_{mi} \qquad \text{(Equation 508.1.2)}$$

Where:
DECOS = The annual Design Energy Cost
$DECOS_m$ = The monthly Design Energy Cost
$DECON_{mi}$ = The monthly Design Energy Consumption of the i_{th} type of energy
$ECOS_{mi}$ = The monthly Energy Cost per unit of the i_{th} type of energy

The $DECON_{mi}$ shall be calculated from the first day through the last day of the month, inclusive.

§ 434.509 Compliance.

509.1 If the Design Energy Cost is less than or equal to the Energy Cost Budget, and all of the minimum requirements of subsection 501.2 are met, the Proposed Design complies with the standards.

§ 434.510 Standard Calculation Procedure.

510.1 The Standard Calculation Procedure consists of methods and assumptions for calculating the Energy Cost Budget for the Prototype or Reference Building and the Design Energy Consumption and Design Energy Cost of the Proposed Design. In order to maintain consistency between the Energy Cost Budget and the Design Energy Cost, the input assumptions to be used are stated below. These inputs shall be used to determine the Energy Cost Budget and the Design Energy Consumption.

510.2 Prescribed assumptions shall be used without variation. Default assumptions shall be used unless the designer can demonstrate that a different assumption better characterizes the building's energy use over its expected life. The default assumptions shall be used in modeling both the Prototype or Reference Building and the Proposed Design, unless the designer demonstrates clear cause to modify these assumptions. Special procedures for speculative buildings are discussed in subsection 503. Shell buildings may not use subpart E.

§ 434.511 Orientation and shape.

511.1 The Prototype Building shall consist of the same number of stories, and gross and conditioned floor area as the Proposed Design, with equal area per story. The building shape shall be rectangular, with a 2.5:1 aspect ratio. The long dimensions of the building shall face East and West. The fenestration shall be uniformly distributed in proportion to exterior wall area. Floor-to-floor height for the Prototype Building shall be 13 ft. except for dwelling units in hotels/motels and multi-family high-rise residential buildings where floor-to-floor height shall be 9.5 ft.

511.2 The Reference Building shall consist of the same number of stories, and gross floor area for each story as the Proposed Design. Each floor shall be oriented in the same manner as the Proposed Design. The geometric form shall be the same as the Proposed Design.

§ 434.512 Internal loads.

512.1 The systems and types of energy specified in this section are provided only for purposes of calculating the Energy Cost Budget. They are not requirements for either systems or the type of energy to be used in the Proposed Design or for calculation of Design Energy Cost.

512.2 Internal loads for multi-family high-rise residential buildings are prescribed in Tables 512.2.a and b, Multi-Family High Rise Residential Building Schedules. Internal loads for other building types shall be modeled as noted in this subsection.

TABLE 512.2.A— MULTI-FAMILY HIGH RISE RESIDENTIAL BUILDINGS SCHEDULES—ONE-ZONE DWELLING UNIT

[Internal loads per dwelling unit Btu/h]

Hour	Occupants		Lights	Equipment	
	Sensible	Latent	Sensible	Sensible	Latent
1	300	260	0	750	110
2	300	260	0	750	110
3	300	260	0	750	110
4	300	260	0	750	110
5	300	260	0	750	110
6	300	260	0	750	110
7	300	260	0	750	110
8	210	260	980	1250	190
9	100	80	840	2600	420
10	100	80	0	1170	180
11	100	80	0	1270	190
12	100	80	0	2210	330
13	100	80	0	2210	330
14	100	80	0	1270	190
15	100	80	0	1270	190
16	100	80	0	1270	190
17	100	80	0	1270	190
18	300	260	0	3040	450
19	300	260	0	3360	500
20	300	260	960	1490	220
21	300	260	960	1490	220
22	300	260	960	1490	220
23	300	260	960	1060	160
24	300	260	960	1060	160

TABLE 512.2.B—MULTI-FAMILY HIGH RISE RESIDENTIAL BUILDING SCHEDULES-TWO-ZONE DWELLING UNIT

[Internal loads per dwelling unit Btu/h]

Hour	Bedrooms & bathrooms					Other rooms				
	Occupants		Lights	Equipment		Occupants		Lights	Equipment	
	Sensible	Latent	Sensible	Sensible	Latent	Sensible	Latent	Sensible	Sensible	Latent
1	300	260	0	100	20	0	0	0	650	90
2	300	260	0	100	20	0	0	0	650	90
3	300	260	0	100	20	0	0	0	650	90
4	300	260	0	100	20	0	0	0	650	90
5	300	260	0	100	20	0	0	0	650	90
6	300	260	0	100	20	0	0	0	650	90
7	200	180	680	200	40	100	80	300	1050	150
8	110	120	240	200	40	100	80	600	2400	380
9	0	0	0	100	20	100	80	0	1070	160
0	0	0	0	100	20	100	80	0	1170	170
0	0	0	0	100	20	100	80	0	1170	170
0	0	0	0	100	20	100	80	0	2110	310
0	0	0	0	100	20	100	80	0	2110	310
14	0	0	0	100	20	100	80	0	1170	170
15	0	0	0	100	20	100	80	0	1170	170
16	0	0	0	100	20	100	80	0	1170	170
17	0	0	0	100	20	100	80	0	1170	170
18	0	0	0	100	20	300	260	0	2940	430
19	0	0	0	100	20	300	260	0	3260	480
20	100	80	320	300	60	200	180	640	1190	160
21	100	80	320	300	60	200	180	640	1190	160
22	150	130	480	700	90	150	130	480	790	130
23	300	260	640	410	70	0	0	320	650	90
24	300	260	640	410	70	0	0	320	650	90

§ 434.513 Occupancy.

5131 Occupancy schedules are default assumptions. The same assumptions shall be made in computing Design Energy Consumption as were used in calculating the Energy Cost Budget.

513.2 Table 513.2.a, Occupancy Density, establishes the density, in ft^2 person of conditioned floor area, to be used for each building type. Table 513.2.b, Building Schedule Percentage Multipliers, establishes the percentage of total occupants in the building by hour of the day for each building type.

TABLE 513.2.A.—OCCUPANCY DENSITY

Building type	Conditioned floor area Ft^2 person
Assembly	50
Office	275
Retail	300
Warehouse	15000
School	75
Hotel/Motel	250
Restaurant	100
Health/Institutional	200
Multi-family High-rise Residential	2 per unit .[1]

[1] Heat generation: Btu/h per person: 230 Btu/h per person sensible, and 190 Btu/h per person latent. See Tables 512.2 a and b.

TABLE 513.2.b
BUILDING SCHEDULE PERCENTAGE MULTIPLIERS

		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1. ASSEMBLY																									
	WEEKDAY:	0	0	0	0	0	0	0	0	20	20	20	20	80	80	80	80	80	80	20	20	20	20	0	0
OCCUPANCY	SATURDAY:	0	0	0	0	0	0	0	0	20	20	20	20	60	60	60	60	60	60	60	60	60	60	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	10	10	10	10	10	70	70	70	70	70	70	70	70	70	0	0
ASSEMBLY	WEEKDAY:	0	0	0	0	0	0	40	40	40	75	75	75	75	75	75	75	75	75	75	75	75	75	0	0
LTNG & RECEP	SATURDAY:	0	0	0	0	0	0	0	30	30	50	50	50	50	50	50	50	50	50	50	50	50	50	0	0
	SUNDAY:	0	0	0	0	0	0	0	30	30	30	30	30	65	65	65	65	65	65	65	65	65	65	0	0
ASSEMBLY	WEEKDAY:	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	Off
HVAC	SATURDAY:	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	Off
	SUNDAY:	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	Off
ASSEMBLY	WEEKDAY:	0	0	0	0	0	0	0	0	0	5	5	35	5	5	5	5	5	0	0	0	0	0	0	0
SWH	SATURDAY:	0	0	0	0	0	0	0	0	0	5	5	20	0	0	0	0	0	0	0	65	30	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	0	5	5	10	0	0	0	0	0	0	0	65	30	0	0	0
2. OFFICE																									
	WEEKDAY:	0	0	0	0	0	0	0	10	20	95	95	45	45	95	95	95	95	95	30	10	10	10	0	0
OCCUPANCY	SATURDAY:	0	0	0	0	0	0	0	10	10	30	30	30	30	10	10	10	10	10	0	0	0	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OFFICE	WEEKDAY:	0	0	0	0	0	0	10	30	90	90	90	80	90	90	90	90	90	90	30	30	20	20	0	0
LTNG & RECEP	SATURDAY:	0	0	0	0	0	0	10	30	30	30	30	15	15	15	15	15	15	15	0	0	0	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
OFFICE	WEEKDAY:	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	Off	Off	Off	Off	Off	Off
HVAC	SATURDAY:	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off
	SUNDAY:	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off
OFFICE	WEEKDAY:	0	0	0	0	0	0	0	15	30	35	35	45	55	50	30	30	40	20	20	10	15	5	0	0
SWH	SATURDAY:	0	0	0	0	0	0	0	10	10	20	15	20	15	15	10	10	10	0	0	0	0	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

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Table 513.2.b
BUILDING SCHEDULE PERCENTAGE MULTIPLIERS (cont.)

3. RETAIL		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
	WEEKDAY:	0	0	0	0	0	0	0	0	20	20	20	20	80	80	80	80	80	80	20	20	20	20	0	0
OCCUPANCY	SATURDAY:	0	0	0	0	0	0	0	0	20	20	20	20	60	60	60	60	60	60	60	60	60	60	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	10	10	10	10	10	70	70	70	70	70	70	70	70	70	0	0
RETAIL	WEEKDAY:	0	0	0	0	0	0	40	40	40	75	75	75	75	75	75	75	75	75	75	75	75	75	0	0
LTNG & RECEP	SATURDAY:	0	0	0	0	0	0	0	30	30	50	50	50	50	50	50	50	50	50	50	50	50	50	0	0
	SUNDAY:	0	0	0	0	0	0	0	30	30	30	30	30	65	65	65	65	65	65	65	65	65	65	0	0
RETAIL	WEEKDAY:	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	Off	Off	Off
HVAC	SATURDAY:	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	Off	Off
	SUNDAY:	Off	Off	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	Off	Off	Off	Off	Off
RETAIL	WEEKDAY:	0	0	0	0	0	0	0	10	20	30	40	55	60	60	45	40	45	45	40	30	30	0	0	0
SWH	SATURDAY:	0	0	0	0	0	0	0	15	20	25	40	50	55	55	45	45	45	45	40	35	25	20	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	0	10	25	30	35	35	30	30	35	30	20	0	0	0	0	0
	WEEKDAY:	0	0	0	0	0	0	0	15	70	90	90	90	50	85	85	85	20	0	0	0	0	0	0	0
4. WAREHOUSE																									
OCCUPANCY	SATURDAY:	0	0	0	0	0	0	0	0	20	20	20	20	10	10	10	10	0	0	0	0	0	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
WAREHOUSE	WEEKDAY:	0	0	0	0	0	0	0	40	70	90	90	90	90	90	90	90	90	0	0	0	0	0	0	0
LTNG & RECEP	SATURDAY:	0	0	0	0	0	0	0	0	10	25	25	25	10	10	10	10	0	0	0	0	0	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
WAREHOUSE	WEEKDAY:	Off	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	Off	Off	Off	Off	Off	Off	Off
HVAC	SATURDAY:	Off	Off	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	Off	Off	Off	Off	Off	Off	Off	Off
	SUNDAY:	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off
WAREHOUSE	WEEKDAY:	0	0	0	0	0	0	0	5	25	35	35	45	55	50	35	50	15	0	0	0	0	0	0	0
SWH	SATURDAY:	0	0	0	0	0	0	0	0	0	10	10	15	0	0	0	0	0	0	0	0	0	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Table 513.2.b
BUILDING SCHEDULE PERCENTAGE MULTIPLIERS (cont.)

		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
5. SCHOOL																									
	WEEKDAY:	0	0	0	0	0	0	0	5	75	90	90	80	80	80	80	45	15	5	15	20	20	10	0	0
OCCUPANCY	SATURDAY:	0	0	0	0	0	0	0	0	10	10	10	10	10	0	0	0	0	0	0	0	0	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SCHOOL	WEEKDAY:	0	0	0	0	0	0	0	30	85	95	95	95	80	80	80	70	50	50	35	35	35	30	0	0
LTNG&RECEP	SATURDAY:	0	0	0	0	0	0	0	0	15	15	15	15	15	0	0	0	0	0	0	0	0	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SCHOOL	WEEKDAY:	Off	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On
HVAC	SATURDAY:	Off	Off	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On
	SUNDAY:	Off	Off	Off	Off	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	On	On
SCHOOL	WEEKDAY:	0	0	0	0	0	0	0	5	30	55	60	70	75	80	60	60	5	5	15	20	20	20	20	0
SWH	SATURDAY:	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	WEEKDAY:	90	90	90	90	90	90	70	40	40	20	20	20	20	20	20	30	50	50	50	70	70	80	90	90
6. HOTEL/MOTEL																									
OCCUPANCY	SATURDAY	90	90	90	90	90	90	70	50	50	30	30	30	30	30	30	30	30	50	60	60	60	70	70	70
	SUNDAY:	70	70	70	70	70	70	70	70	50	50	50	30	20	20	20	20	30	40	40	60	60	80	80	80
HOTEL/MOTEL	WEEKDAY:	20	15	10	10	10	20	40	50	40	40	25	25	25	25	25	25	25	25	60	80	90	80	60	30
LTNG&RECEP	SATURDAY	20	20	10	10	10	10	30	30	40	40	30	25	25	25	25	25	25	25	60	70	70	70	60	30
	SUNDAY:	30	30	20	20	20	20	30	40	40	30	30	30	30	20	20	20	20	20	50	70	80	60	50	30
HOTEL/MOTEL	WEEKDAY:	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On
HVAC	SATURDAY:	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On
	SUNDAY:	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On
HOTEL/MOTEL	WEEKDAY:	20	15	15	15	20	25	50	60	55	45	40	45	40	35	30	30	30	40	55	60	50	55	45	25
SWH	SATURDAY:	20	15	15	15	20	25	40	50	50	50	45	50	50	45	40	40	34	40	55	55	50	55	40	25
	SUNDAY:	25	20	20	20	20	30	50	50	50	55	50	50	40	40	40	30	30	40	50	50	40	50	40	30

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Table 513.2.b
BUILDING SCHEDULE PERCENTAGE MULTIPLIERS (cont.)

		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
7. RESTAURANT																									
	WEEKDAY:	15	15	5	0	0	0	0	5	5	5	20	50	80	70	40	20	25	50	80	80	80	50	35	20
OCCUPANCY	SATURDAY:	30	25	5	0	0	0	0	0	5	5	20	45	50	50	35	30	30	30	70	90	70	65	55	35
	SUNDAY:	20	20	5	0	0	0	0	0	0	0	0	20	25	25	15	20	25	35	55	65	70	35	20	20
RESTAURANT	WEEKDAY:	15	15	15	15	15	20	40	40	60	60	90	90	90	90	90	90	90	90	90	90	90	90	50	30
LTNG & RECEP	SATURDAY:	20	15	15	15	15	15	30	30	60	60	80	80	80	80	80	80	80	90	90	90	90	90	50	30
	SUNDAY:	20	15	15	15	15	15	30	30	50	70	70	70	70	70	70	70	60	60	60	60	60	60	50	30
RESTAURANT	WEEKDAY:	On	On	On	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On
HVAC	SATURDAY:	On	On	On	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On
	SUNDAY:	On	On	On	Off	Off	Off	Off	Off	Off	Off	On	On	On	On	On	On	On	On	On	On	On	On	On	On
RESTAURANT	WEEKDAY:	20	15	15	0	0	0	0	60	55	45	40	45	40	35	30	30	30	40	55	60	50	55	45	25
SWH	SATURDAY:	20	15	15	0	0	0	0	0	0	50	45	50	50	45	40	40	35	40	55	55	50	55	40	30
	SUNDAY:	25	20	20	0	0	0	0	0	0	0	50	50	40	40	30	30	30	40	50	50	40	50	40	20
	WEEKDAY:	0	0	0	0	0	0	0	10	50	80	80	80	80	80	80	80	80	50	30	30	20	20	0	0
8. HEALTH																									
OCCUPANCY	SATURDAY:	0	0	0	0	0	0	0	10	30	40	40	40	40	40	40	40	40	10	10	0	0	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	5	5	5	5	5	5	5	5	5	0	0	0	0	0	0	0
HEALTH	WEEKDAY:	0	0	0	0	0	0	0	50	90	90	90	90	90	90	90	90	90	30	30	30	30	30	0	0
LTNG & RECEP	SATURDAY:	0	0	0	0	0	0	0	20	40	40	40	40	40	40	40	40	40	40	10	0	0	0	0	0
	SUNDAY:	0	0	0	0	0	0	0	0	10	10	10	10	10	10	10	10	0	0	0	0	0	0	0	0
	WEEKDAY:	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On
	SATURDAY:	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On
	SUNDAY:	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On	On
HEALTH	WEEKDAY:	0	0	0	5	5	5	80	70	50	40	20	20	25	25	50	50	70	70	35	20	15	15	5	0
SWH	SATURDAY:	0	0	0	0	0	0	20	45	50	50	35	30	30	30	70	90	70	65	55	35	30	25	5	0
	SUNDAY:	0	0	0	0	0	0	0	20	25	25	15	20	25	35	55	65	70	35	20	20	20	20	5	0

Table 513.2.b
BUILDING SCHEDULE PERCENTAGE MULTIPLIERS (cont.)

NOTES FOR TABLE 513.2.b

(1) Reference: Recommendations for Energy Conservation Standards and Guidelines for New Commercial Buildings, Vol. III, App. A Pacific Northwest Laboratory, PNL-4870-8, 1983."

(2) Table 513.2.b contains multipliers for converting the nominal values for building occupancy (Table 515.2), receptacle power density (Table 516.2) service hot water (Table), and lighting energy (§434.515) into time series data for estimating building loads under the Standard Calculation Procedure."

(3) "For each standard building profile there are three series - one each for weekdays, Saturday and Sunday. There are 24 elements per series. These represent the multiplier that should be used to estimate building loads from 12 a.m. to 1 a.m. (series element #1) through 11 p.m. to 12 a.m. (series element #24). The estimated load for any hour is simply the multiplier from the appropriate standard profile multiplied by the appropriate value from the tables cited above."

(4) The Building HVAC System Schedule listed in Table 517.1.1 lists the hours when the HVAC system shall be considered "on" or "off" in accordance with §434.514."

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§ 434.514 Lighting.

514.1 Interior Lighting Power Allowance (ILPA), for calculating the Energy Cost Budget shall be determined from subsection 401.3.2. The lighting power used to calculate the Design Energy Consumption shall be the actual adjusted power for lighting in the Proposed Design. If the lighting controls in the Proposed Design are more effective at saving energy than those required by subsection 401.3.1 and 401.3.2, the actual installed lighting power shall be used along with the schedules reflecting the action of the controls to calculate the Design Energy Consumption. This actual installed lighting power shall not be adjusted by the Power Adjustment Factors listed in Table 514.1.

TABLE 514.1—POWER ADJUSTMENT FACTOR (PAF)

Automatic control device(s)	Standard PAF
(1) Occupancy Sensor	0.30
(2) Daylight Sensing Continuous Dimming	0.30
(3) Daylight Sensing Multiple Step Dimming	0.20
(4) Daylight Sensing On/Off	0.10
(5) Lumen Maintenance	0.10

514.2 Table 513.2.b establishes default assumptions for the percentage of the lighting load switched-on in each Prototype or Reference Building by hour of the day. These default assumptions can be changed when calculating the Energy Cost Budget to provide, for example, a 12-hour rather than an 8-hour workday.

§ 434.515 Receptacles.

515.1 Receptacle loads and profiles are default assumptions. The same assumptions shall be made in calculating Design Energy Consumption as were used in calculating the Energy Cost Budget.

515.2 Receptacle loads include all general service loads that are typical in a building. These loads exclude any process electrical usage and HVAC primary or auxiliary electrical usage. Table 515.2, Receptacle Power Densities, establishes the density, in W/ft^2, to be used for each building type. The receptacle energy profiles shall be the same as the lighting energy profiles in Table 513.2.b. This profile establishes the percentage of the receptacle load that is switched on by hour of the day and by building type.

TABLE 515.2—RECEPTACLE POWER DENSITIES

Building type	W/ft^2 of conditioned floor area
Assembly	0.25
Office	0.75
Retail	0.25
Warehouse	0.1
School	0.5
Hotel/Motel	0.25
Restaurant	0.1
Health	1.0
Multi-family High Rise Residential	.....

Included in Lights and Equipment portions of Tables 512.2 a and b.

§ 434.516 Building exterior envelope.

516.1 *Insulation and Glazing.* The insulation and glazing characteristics of the Prototype and Reference Building envelope shall be determined by using the first column under ''Base Case'', with no assumed overhangs, for the appropriate Alternate Component Tables (ACP) in Table 402.4.1.2, as defined by climate range. The insulation and glazing characteristics from this ACP are prescribed assumptions for Prototype and Reference Buildings for calculating the Energy Cost Budget. In calculating the Design Energy Consumption of the Proposed Design, the envelope characteristics of the Proposed Design shall be used.

516.2 *Infiltration.* For Prototype and Reference Buildings, the infiltration assumptions in subsection 516.2.1 shall be prescribed assumptions for calculating the Energy Cost Budget and default assumptions for the Design Energy Consumption. Infiltration shall impact perimeter zones only.

516.2.1 When the HVAC system is switched ''on,'' no infiltration shall be assumed. When the HVAC system is switched ''off,'' the infiltration rate for buildings with or without operable windows shall be assumed to be 0.038 cfm/ft^2 of gross exterior wall. Hotels/motels and multi-family high-rise residential buildings shall have infiltration rates of 0.038 cfm/ft^2 of gross exterior wall area at all times.

516.3 *Envelope and Ground Absorptivities.* For Prototype and Reference Buildings, absorptivity assumptions shall be prescribed assumptions for computing the Energy Cost Budget and default assumptions for computing the Design Energy Consumption. The solar absorptivity of opaque elements of the building envelope is assumed to be 70%. The solar absorptivity of ground surfaces is assumed to be 80% (20% reflectivity).

516.4 *Window Management.* For the Prototype and Reference Building, window management drapery assumptions shall be prescribed assumptions for setting the Energy Cost Budget. No draperies shall be the default assumption for computing the Design Energy Consumption. Glazing is assumed to be internally shaded by medium-weight draperies, closed one-half time. The draperies shall be modeled by assuming that one-half the area in each zone is draped and one-half is not. If manually-operated draperies, shades, or blinds are to be used in the Proposed Design, the Design Energy Consumption shall be calculated by assuming they are effective over one-half the glazing area in each zone.

516.5 *Shading.* For Prototype and Reference buildings and the Proposed Design, shading by permanent structures, terrain, and vegetation shall be taken into account for computing energy consumption, whether or not these features are located on the building site. A permanent fixture is one that is likely to remain for the life of the Proposed Design.

§ 434.517 HVAC systems and equipment.

517.1 The specifications and requirements for the HVAC systems of the Prototype and Reference Buildings shall be those in Table 517.1.1, HVAC Systems for Prototype and Reference Buildings. For the calculation of the Design Energy Consumption, the HVAC systems and equipment of the Proposed Design shall be used.

517.2 The systems and types of energy presented in Table 517.1.1 are assumptions for calculating the Energy Cost Budget. They are not requirements for either systems or the type of energy to be used in the Proposed Building or for the calculation of the Design Energy Cost.

TABLE 517.1.1—HVAC SYSTEMS OF PROTOTYPE AND REFERENCE BUILDINGS [1,2]

Building/space occupancy	System No. (Table 517.4.1)	Remarks (Table 517.4.1)
Assembly:		
a. Churches (any size)	1	
b. ≤50,000 ft² or ≤3 floors	1 or 3	Note 1.
c. >50,000 ft² or >3 floors	3	
Office:		
a. ≤20,000 ft²	1	
b. ≤50,000 ft² and either ≤3 floors or ≤75,000 ft²	4	
c. <75,000 ft² or >3 floors	5	
Retail:		
a. ≤50,000 ft²	1 or 3	Note 1.
b. >50,000 ft²	4 or 5	Note 1.
Warehouse	1	Note 1.
School:		
a. ≤75,000 ft² or ≤3 floors	1	
b. >75,000 ft² or >3 floors	3	
Hotel/Motel:		
a. ≤3 stories	2 or 7	Note 5, 7.
b. >3 stories	6	Note 6.
Restaurant	1 or 3	Note 1.
Health:		
a. Nursing Home (any size)	2 or 7	Note 7.
b. ≤15,000 ft²	1	
c. <15,000 ft² or ≤50,000 ft²	4	Note 2.
d. >50,000 ft²	5	Note 2, 3.
Multi-family High Rise Residential >3 stories	7	

[1] Space and Service Water Heating budget calculations shall be made using both electricity and natural gas. The Energy Cost Budget shall be the lower of these two calculations. If natural gas is not available at the rate, electricity and #2 fuel oil shall be used for the budget calculations.

[2] The system and energy types presented in this Table are not intended as requirements or recommendations for the proposed design. Floor areas below are the total conditioned floor areas for the listed occupancy type in the building. The number of floors indicated below is the total number of occupied floors for the listed occupancy type.

517.3 *HVAC Zones.* HVAC zones for calculating the Energy Cost Budget of the Prototype or Reference Building shall consist of at least four perimeter and one interior zones per floor. Prototype Buildings shall have one perimeter zone facing each cardinal direction. The perimeter zones of Prototype and Reference Buildings shall be 15 ft in width, or one-third the narrow dimension of the building, when this dimension is between 30 ft and 45 ft inclusive, or one-half the narrow dimension of the building when this dimension is less than 30 ft. Zoning requirements shall be a default assumption for calculating the Energy Cost Budget. For multi-family high-rise residential buildings, the prototype building shall have one zone per dwelling unit. The proposed design shall have one zone per unit unless zonal thermostatic controls are provided within units; in this case, two zones per unit shall be modeled. Building types such as assembly or warehouse may be modeled as a single zone if there is only one space.

517.4 For calculating the Design Energy Consumption, no fewer zones shall be used than were in the Prototype and Reference Buildings. The zones in the simulation shall correspond to the zones provided by the controls in the Proposed Design. Thermally similar zones, such as those facing one orientation on different floors, may be grouped together for the purposes of either the Design Energy Consumption or Energy Cost Budget simulation.

TABLE 517.4.1—HVAC SYSTEM DESCRIPTION FOR PROTOTYPE AND REFERENCE BUILDINGS [1, 2]

HVAC component	System #1	System #2	System #3	System #4
System Description	Packaged rooftop single room, one unit per zone.	Packaged terminal air conditioner with space heater or heat pump, one heating/cooling unit per zone.	Air handler per zone with central plant.	Packaged rooftop VAV w/perimeter reheat.

TABLE 517.4.1—HVAC SYSTEM DESCRIPTION FOR PROTOTYPE AND REFERENCE BUILDINGS [1, 2]—Continued

HVAC component	System #1	System #2	System #3	System #4
Fan system—Design supply circulation rate.	Note 9	Note 10	Note 9	Note 9.
Supply fan total static pressure.	1.3 in. W.C	N/A	2.0 in. W.C	3.0 in. W.C.
Combined supply fan, motor, and drive efficiency.	40%	N/A	50%	45%.
Supply fan control	Constant volume	Fan Cycles with call for heating or cooling.	Constant volume	VAV w/forward curved centrifugal fan and variable inlet vanes.
Return fan total static pressure.	N/A	N/A	0.6 in. W.C.	0.6 in. W.C.
Combined return fan, motor, and drive efficiency.	N/A	N/A	25%	25%.
Return fan control	N/A	N/A	Constant volume	VAV w/forward curved centrifugal fan and discharge dampers.
Cooling System	Direct expansion air cooled.	Direct expansion air cooled.	Chilled water (Note 1)	Direct expansion air cooled.
Heating System	Furnace, heat pump, or electric resistance (Note 8).	Heat pump w/electric resistance auxiliary or air conditioner w/ space heater (Note 8).	Hot water (Note 8, 12)	Hot water (Note 12) or electric resistance (Note B).
Remarks	Dry bulb economizer per Section 7.4.3 (barometric relief).	No economizer	Dry bulb economizer per Section 434.514.	Dry bulb economizer per Section 434.514. Minimum VAV setting per 434.514 exception 1. Supply air reset by zone of greatest cooling demand.

[1] The systems and energy types presented in this Table are not intended as requirements or recommendations for the proposed design.
[2] For numbered notes see end of Table 517.4.1.

TABLE 517.4.1—HVAC SYSTEM DESCRIPTION FOR PROTOTYPE AND REFERENCE BUILDINGS [1]

HVAC component	Systems #5	System #6	System #7
System Description	Built-up central VAV with perimeter reheat.	Fourpipe fan coil per zone with central plant.	Water source heat pump
Fan system—Design supply circulation rate.	Note 9	Note 9	Note 10.
Supply fan total static pressure	4.0 in W.C	0.5 in W.C	0.5 in. W.C.
Combined supply fan, motor, and drive efficiency.	55%	25A	25%.
Supply fan control	VAV w/air-foil centrifugal fan and AC frequency variable speed drive.	Fan Cycles with call for heating or cooling.	Fan cycles w/call for heating or cooling.
Return fan total static pressure	1.0 in W.C	N/A	N/A.
Combined return fan, motor, and drive efficiency.	30%	N/A	N/A.
Return fan control	VAV with air-foil centrifugal fan and AC frequency variable speed drive.	N/A	N/A.
Cooling System	Chilled water (Note 11)	Chilled water (Note 11)	Closed circuit, centrifugal blower type cooling tower sized per Note 11. Circulating pump sized for 2.7 GPM per ton.
Heating System	Hot water (Note 12) or electric resistance (Note 8).	Hot water (Note 12) or electric resistance (Note 8).	Electric or natural draft fossil fuel boiler (Note 8).

TABLE 517.4.1—HVAC SYSTEM DESCRIPTION FOR PROTOTYPE AND REFERENCE BUILDINGS [1]—Continued

HVAC component	Systems #5	System #6	System #7
Remarks	Dry bulb economizer per Section 7.4.3. Minimum VAV setting per Section 7.4.4.3. Supply air reset by zone of greatest cooling demand.	No economizer	Tower fans and boiler cycled to maintain circulating water temperature between 60 and design tower leaving water temperature.

NUMBERED NOTES FOR TABLE 517.4.1

HVAC System Descriptions for Prototype and Reference Buildings

NOTES:

1. For occupancies such as restaurants, assembly and retail which are part of a mixed use building which, according to Table 517.4.1, includes a central chilled water plant (systems 3, 5, or 6), chilled water system type 3 or 5, as indicated in the Table, shall be used.

2. Constant volume may be used in zones where pressurization relationships must be maintained by code. VAV shall be used in all other areas, in accordance with §517.4

3. Provide run-around heat recovery systems for all fan systems with minimum outside air intake greater than 75%. Recovery effectiveness shall be 0.60.

4. If a warehouse is not intended to be mechanically cooled, both the Energy Cost Budgets and Design Energy Costs, may be calculated assuming no mechanical cooling.

5. The system listed is for guest rooms only. Areas such as public areas and back-of-house areas shall be served by system 4. Other areas such as offices and retail shall be served by the systems listed in Table 517.4.1 for those occupancy types.

6. The system listed is for guest rooms only. Areas such as public areas and back-of-house areas shall be served by System 5. Other areas such as offices and retail shall be served by the systems listed in Table 517.4.1.1 for those occupancy types.

7. System 2 shall be used for Energy Cost Budget calculation except in areas with design heating outside air temperatures less than 10°F.

8. Prototype energy budget cost calculations shall be made using both electricity and natural gas. If natural gas is not available at the site, electricity and #2 fuel oil shall be used. The Energy Cost Budget shall be the lower of these results. Alternatively, the Energy Cost Budget may be based on the fuel source that minimizes total operating, maintenance, equipment, and installation costs for the prototype over the building lifetime. Equipment and installation cost estimates shall be prepared using professionally recognized cost estimating tools, guides, and techniques. The methods of analysis shall conform to those of Subpart A of 10 CFR part 436. Energy costs shall be based on actual costs to the building as defined in this Section.

9. Design supply air circulation rate shall be based on a supply air to room air temperature differences of 20°F. A higher supply air temperature may be used if required to maintain a minimum circulation rate of 4.5 air changes per hour or 15 cfm per person at design conditions to each zone served by the system. If return fans are specified, they shall be sized from the supply fan capacity less the required minimum ventilation with outside air, or 75% or the supply air capacity, whichever is larger. Except where noted, supply and return fans shall be operated continually during occupied hours.

10. Fan System Energy when included in the efficiency rating of the unit as defined in §403.2.4.3 need not be modeled explicitly for this system. The fan shall cycle with calls for heating or cooling.

11. Chilled water systems shall be modeled using a reciprocating chiller for systems with total cooling capacities less than 175 tons, and centrifugal chillers for systems with cooling capacities of 175 tons or greater. For systems with cooling or 600 ton or more, the Energy Cost Budget shall be calculated using two centrifugal chillers lead/lag controlled. Chilled water pumps shall be sized using a 12°F temperature rise, from 44°F to 56°F operating at 65 feed of head and 65% combined impeller and motor efficiency. Condenser water pumps shall be sized using a 10°F temperature rise, operating at 60 feet of head and 60% combined impeller and motor efficiency. The cooling tower shall be an open circuit, centrifugal blower type sized for the larger of 85°F leaving water temperature or 10°F approach to design wet bulb temperature. The tower shall be controlled to provide a 65°F leaving water temperature whenever weather conditions permit, floating up to design leaving water temperature at design conditions. Chilled water supply temperature shall be reset in accordance with §434.518.

12. Hot water system shall include a natural draft fossil fuel or electric boiler per Note 8. The hot water pump shall be sized based on a 30°F temperature drop, for 18°F to 150°F, operating at 60 feet of head and a combined impeller and motor efficiency of 60%.

Hot water supply temperature shall be reset in accordance with §434.518.

517.5 *Equipment Sizing and Redundant Equipment.* For calculating the Energy Cost Budget of Prototype or Reference Buildings, HVAC equipment shall be sized to meet the requirements of subsection 403.2.2, without using any of the exceptions. The size of equipment shall be that required for the building without process loads considered. Redundant or emergency equipment need not be simulated if it is controlled so that it will not be operated during normal operations of the building. The designer shall document the installation of process equipment and the size of process loads.

517.6 For calculating the Design Energy Consumption, actual air flow rates and installed equipment size shall be used in the simulation, except that excess capacity provided to meet process loads need not be modeled unless the process load was not modeled in setting Energy Cost Budget. Equipment sizing in the simulation of the Proposed Design shall correspond to the equipment actually selected for the design and the designer shall not use equipment sized automatically by the simulation tool.

517.6.1 Redundant or emergency equipment need not be simulated if it is controlled to not be operated during normal operations of the building.

§434.518 Service water heating.

518.1 The service water loads for Prototype and Reference Buildings are defined in terms of Btu/h per person in Table 518.1.1, Service Hot Water Quantities. The service water heating loads from Table 518.1.1 are prescribed assumptions for multi-family high-rise residential buildings and default assumptions for all other buildings. The same service water heating load assumptions shall be made in calculating Design Energy Consumption as were used in calculating the Energy Cost Budget.

TABLE 518.1.1—SERVICE HOT WATER QUANTITIES

Building type	Btu/person-hour[1]
Assembly	215
Office	175
Retail	135
Warehouse	225
School	215
Hotel/Motel	1110
Restaurant	390
Health	135
Multi-family High Rise Residential	[2] 1700

[1] This value is the number to be multiplied by the percentage multipliers of the Building Profile Schedules in Table 513.2.b. See Table 513.2.a for occupancy levels.

[2] Total hot water use per dwelling unit for each hour shall be 3,400 Btu/h times the multi-family high rise residential building SWH system multiplier from Table 513.2.b.

518.2 The service water heating system, including piping losses for the Prototype Building, shall be modeled using the methods of the RS–47 (incorporated by reference, see §434.701) using a system that meets all requirements of subsection 404. The service water heating equipment for the Prototype or Reference Building shall be either an electric heat pump or natural gas, or if natural gas is not available at the site, #2 fuel oil. Exception: If electric resistance service water heating is preferable to an electric heat pump when analyzed according to the criteria of §434.404.1.4 or when service water temperatures exceeding 145°F are required for a particular application, electric resistance water heating may be used.

§434.519 Controls.

519.1 All occupied conditioned spaces in the Prototype, Reference and Proposed Design Buildings in all climates shall be simulated as being both heated and cooled. The assumptions in this subsection are prescribed assumptions. If the Proposed Design does not include equipment for cooling or heating, the Design Energy Consumption shall be determined by the specifications for calculating the Energy Cost Budget as described in Table 517.4.1 HVAC System Description for Prototype and Reference Buildings. Exceptions to 519.1 are as follows:

519.1.1 If a building is to be provided with only heating or cooling, both the Prototype or Reference Building and the Proposed Design shall be simulated, using the same assumptions. Such an assumption cannot be made unless the building interior temperature meets the comfort criteria of RS–2 (incorporated by reference, see §434.701) at least 98% of the occupied hours during the year.

519.1.2 If warehouses are not intended to be mechanically cooled, both the Energy Cost Budget and Design Energy Consumption shall be modeled assuming no mechanical cooling; and

519.1.3 In climates where winter design temperature (97.5% occurrence) is greater than 59°F, space heating need not be modeled.

519.2 Space temperature controls for the Prototype or Reference Building, except multi-family high-rise residential buildings, shall be set at 70°F for space heating and 75°F for space cooling with a deadband per subsection 403.2.6.3. The system shut off during off-hours shall be according to the schedule in Table 515.2, except that the heating system shall cycle on if any space should drop below the night setback setting of 55°F. There shall be no similar setpoint during the cooling season. Lesser deadband ranges may be used in calculating the Design Energy Consumption. Exceptions to 519.2 are as follows:

(a) Setback shall not be modeled in determining either the Energy Cost Budget or Design Energy Cost if setback is not realistic for the Proposed Design, such as 24-hour/day operations. Health facilities need not have night setback during the heating season; and

(b) Hotel/motels and multi-family high-rise residential buildings shall have a night setback temperature of 60 °F from 11:00 p.m. to 6:00 a.m. during the heating season; and

(c) If deadband controls are not to be installed, the Design Energy Cost shall be calculated with both heating and cooling thermostat setpoints set to the same value between 70 °F and 75 °F inclusive, assumed to be constant for the year.

519.2.1 For multi-family buildings, the thermostat schedule for the dwelling units shall be as in Table 519.1.2, Thermostat Settings for Multi-Family High-rise Buildings. The Prototype Building shall use the single zone schedule. The Proposed Design shall use the two-zone schedule only if zonal thermostatic controls are provided. For Proposed Designs that use heat pumps employing supplementary heat, the controls used to switch on the auxiliary heat source during morning warm-up periods shall be simulated accurately. The thermostat assumptions for multi-family high-rise buildings are prescribed assumptions.

519.3 When providing for outdoor air ventilation in calculating the Energy Cost Budget, controls shall be assumed to close the outside air intake to reduce the flow of outside air to 0 cfm during setback and unoccupied periods. Ventilation using inside air may still be required to maintain scheduled setback temperature. Outside air ventilation, during occupied periods, shall be as required by RS–41, (incorporated by reference, see §434.701) or the Proposed Design, whichever is greater.

519.4 If humidification is to be used in the Proposed Design, the same level of humidification and system type shall be used in the Prototype or Reference Building. If dehumidification requires subcooling of supply air, then reheat for the Prototype or Reference Building shall be from recovered waste heat such as condenser waste heat.

TABLE 519.1.2—THERMOSTAT SETTINGS FOR MULTI-FAMILY HIGH-RISE RESIDENTIAL BUILDINGS

Time of day	Single zone dwelling unit		Two zone dwelling unit			
			Bedrooms/bathrooms		Other rooms	
	Heat	Cool	Heat	Cool	Heat	Cool
Midnight–6 a.m.	60	78	60	78	60	85
6 a.m.–9 a.m.	70	78	70	78	70	78
9 a.m.–5 p.m.	70	78	60	85	70	78
5 p.m.–11 p.m.	70	78	70	78	70	78
11 p.m.–Midnight	60	78	60	78	60	78

§ 434.520 Speculative buildings.

520.1 Lighting. The interior lighting power allowance (ILPA) for calculating the Energy Cost Budget shall be determined from Table 401.3.2a. The Design Energy Consumption may be based on an assumed adjusted lighting power for future lighting improvements.

520.2 The assumption about future lighting power used to calculate the Design Energy Consumption must be documented so that the future installed lighting systems may be in compliance with these standards. Documentation must be provided to enable future lighting systems to use either the Prescriptive method or the Systems Performance method of subsection 401.3.

520.3 Documentation for future lighting systems that use subsection 401.3 shall be stated as a maximum adjusted lighting power for the tenant spaces. The adjusted lighting power allowance for tenant spaces shall account for the lighting power provided for the common areas of the building.

520.4 Documentation for future lighting systems that use subsection 401.3 shall be stated as a required lighting adjustment. The required lighting adjustment is the whole building lighting power assumed in order to calculate the Design Energy Consumption minus the ILPA value from Table 401.3.2c that was used to calculate the Energy Cost Budget. When the required lighting adjustment is less than zero, a complete lighting design must be developed for one or more representative tenant spaces, demonstrating acceptable lighting within the limits of the assumed lighting power allowance.

520.5 HVAC Systems and Equipment. If the HVAC system is not completely specified in the plans, the Design Energy Consumption shall be based on reasonable assumptions about the construction of future HVAC systems and equipment. These assumptions shall be documented so that future HVAC systems and equipment may be in compliance with these standards.

§ 434.521 The simulation tool.

521.1 Annual energy consumption shall be simulated with a multi-zone, 8760 hours per year building energy model. The model shall account for:

521.1.1 The dynamic heat transfer of the building envelope such as solar and internal gains;

521.1.2 Equipment efficiencies as a function of load and climate;

521.1.3 Lighting and HVAC system controls and distribution systems by simulating the whole building;

521.1.4 The operating schedule of the building including night setback during various times of the year; and

521.1.5 Energy consumption information at a level necessary to determine the Energy Cost Budget and Design Energy Cost through the appropriate utility rate schedules.

521.1.6 While the simulation tool should simulate an entire year on an hour by hour basis (8760 hours), programs that approximate this dynamic analysis procedure and provide equivalent results are acceptable.

521.1.7 Simulation tools shall be selected for their ability to simulate accurately the relevant features of the building in question, as shown in the tool's documentation. For example, a single-zone model shall not be used to simulate a large, multi-zone building, and a steady-state model such as the degree-day method shall not be used to simulate buildings when equipment efficiency or performance is significantly affected by the dynamic patterns of weather, solar radiation, and occupancy. Relevant energy-related features shall be addressed by a model such as daylighting, atriums or sunspaces, night ventilation or thermal storage, chilled water storage or heat recovery, active or passive solar systems, zoning and controls of heating and cooling systems, and ground-coupled buildings. In addition, models shall be capable of translating the Design Energy Consumption into energy cost using actual utility rate schedules with the coincidental electrical demand of a building. Examples of public domain models capable of handling such complex building systems and energy cost translations available in the United States are DOE—2.1C and BLAST 3.0 and in Canada, Energy Systems Analysis Series.

521.1.8 All simulation tools shall use scientifically justifiable documented techniques and procedures for modeling building loads, systems, and equipment. The algorithms used in the program shall have been verified by comparison with experimental measurements, loads, systems, and equipment.

Subpart F—Building Energy Compliance Alternative

§ 434.601 General.

601.1 This subpart provides an alternative path for compliance with the standards that allow for greater flexibility in the design of energy efficient buildings using an annual energy use method. This path provides an opportunity for the use of innovative designs, materials, and equipment such as daylighting, passive solar heating, and heat recovery, that may not be adequately evaluated by methods found in Subpart D.

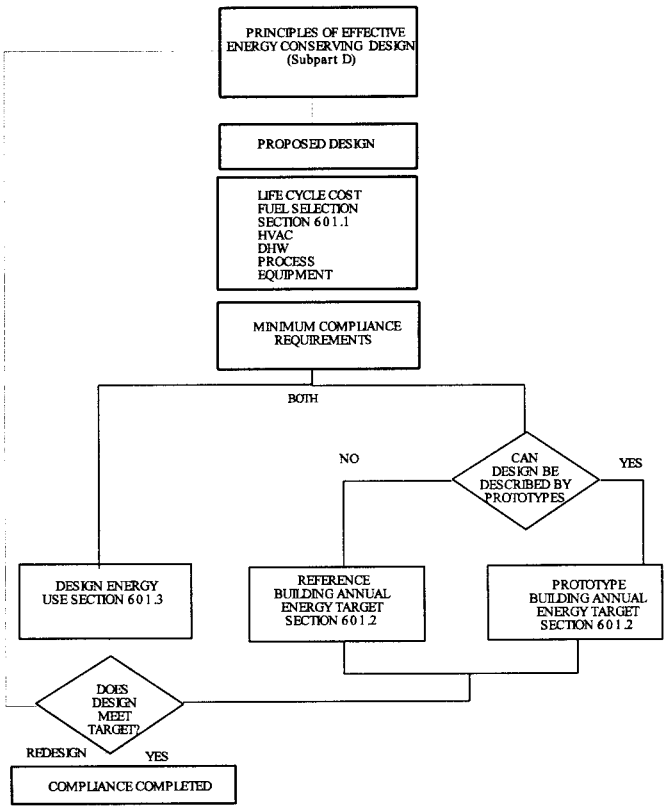
601.2 The Building Energy Compliance Alternative shall be used with subpart C and subpart D, 401.1, 401.2, 401.3.4 and in conjunction with the minimum requirements found in subsections 402.1, 402.2, and 402.3., 403.1, 403.2.1–7, 403.2.9 and 404.

601.3 Compliance under this section is demonstrated by showing that the calculated annual energy usage for the Proposed Design

is less than or equal to a calculated Energy Use Budget. (See Figure 601.3, Building Energy Compliance Alternative). The analytical procedures in this subpart are only for determining design compliance, and are not to be used either to predict, document or verify annual energy consumption.

Figure 601.3

Building Energy Compliance Alternative



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601.4 Compliance under the Building Energy Use Budget method requires a detailed energy analysis, using a conventional simulation tool, of the Proposed Design. A life cycle cost analysis shall be used to select the fuel source for the HVAC systems, service hot water, and process loads from available

alternatives. The Annual Energy Consumption of the Proposed Design with the life cycle cost-effective fuel selection is calculated to determine the modeled energy consumption, called the Design Energy Use.

601.5 The Design Energy Use is defined as the energy that is consumed within the five foot line of a proposed building per ft^2 over a 24-hour day, 365-day year period and specified operating hours. The calculated Design Energy Use is then compared to a calculated Energy Use Budget.

601.6 *Compliance.* The Energy Use Budget is determined by calculating the annual energy usage for a Reference or Prototype Building that is configured to comply with the provisions of Subpart E for such buildings, except that the fuel source(s) of the Prototype or Reference Building shall be the same life cycle cost-effective source(s) selected for the Proposed Design. If the Design Energy Use is less than or equal to the Energy Use Budget then the proposed design complies with these standards.

601.7 This section provides instructions for determining the Design Energy Use and for calculating the Energy Use Budget. The Energy Use Budget is the highest allowable calculated annual energy consumption for a specified building design. Designers are encouraged to design buildings whose Design Energy Use is lower than the Energy Use Budget.

§ 434.602 Determination of the annual energy budget.

602.1 The Energy Use Budget shall be calculated for the appropriate Prototype or Reference Building in accordance with the procedures prescribed in subsection 502 with the following exceptions: The Energy Use Budget shall be stated in units of $Btu/ft^2/yr$ and the simulation tool shall segregate the calculated energy consumption by fuel type producing an Energy Use Budget for each fuel (the fuel selections having been made by a life cycle cost analysis in determining the proposed design).

602.2 The Energy Use Budget is calculated similarly for the Reference or Prototype Building using equation 602.2.

$$EUB = EUB_1 x f_1 + EUB_2 x f_2 + ... + EUB_i x f_i \qquad \text{Equation 602.2}$$

Where EUB_1, EUB_2, EUB_i are the calculated annual energy targets for each fuel used in the Reference or Prototype building and f_1, f_2, . . . f_i are the energy conversion factors given in Table 602.2, Fuel Conversion Factors for Computing Design Annual Energy Uses. In lieu of case by case calculation of the Energy Use Budget, the designer may construct Energy Use Budget tables for the combinations of energy source(s) that may be considered in a set of project designs, such as electric heating, electric service water, and gas cooling or oil heating, gas service water and electric cooling. The values in such optional Energy Use Budget tables shall be equal to or less than the corresponding Energy Use Budgets calculated on a case by case basis according to this section. Energy Use Budget tables shall be constructed to correspond to the climatic regions and building types in accordance with provisions for Prototype or Reference Building models in subpart E of this part.

TABLE 602.2—FUEL CONVERSION FACTORS, FOR COMPUTING DESIGN ANNUAL ENERGY USES

Fuels	Conversion factor
Electricity	3412 Btu/kilowatt hour.
Fuel Oil	138,700 Btu/gallon.
Natural Gas	1,031,000 Btu/1000 ft^2.
Liquified Petroleum (including Propane and Butane)	95,5000 Btu/gallon.
Anthracite Coal	28,300,000 Btu/short ton.
Bituminous Coal	24,580,000 Btu/short ton.
Purchase Steam and Steam from Central Plants	1,000 Btu/Pound.
High Temperature or Medium Temperature Water from Central Plants.	Use the heat value based on the water actually delivered at the building five foot line.

Note: At specific locations where the energy source Btu content varies significantly from the value presented above then the local fuel value may be used provided there is supporting documentation from the fuel source supplier stating this actual energy value and varifying that this value will remain consistent for the foreseeable future. The fuel content for fuels not given this table shall be determined from the best available source.

§ 434.603 Determination of the Design Energy Use.

603.1 The Design Energy Use shall be calculated by modeling the Proposed Design using the same methods, assumptions, climate data, and simulation tool as were used to establish the Energy Use Budget, but with the design features that will be used in the final building design. The simulation tool used shall segregate the calculated energy consumption by fuel type giving an annual Design Energy Use for each fuel. The sum of the Design Energy Uses multiplied by the fuel conversion factors in Table 602.2 yields the Design Energy Use for the proposed design:

$$DEU = DEU_1 xf_1 + DEU_2 xf_2 + ... + DEU_i xf_i \qquad \text{Equation 603.1}$$

Where f_1, f_2, * * * f_i are the fuel conversion factors in Table 602.2.

603.2 *Required Life Cycle Cost Analysis for Fuel Selection*

603.2.1 Fuel sources selected for the Proposed Design and Prototype or Reference buildings shall be determined by considering the energy cost and other costs and cost savings that occur during the expected economic life of the alternative.

603.2.2 The designer shall use the procedures set forth in subpart A of 10 CFR part 436 to make this determination. The fuel selection life cycle cost analysis shall include the following steps:

603.2.2.1 Determine the feasible alternatives for energy sources of the Proposed Design's HVAC systems, service hot water, and process loads.

603.2.2.2 Model the Proposed Design including the alternative HVAC and service water systems and conduct an annual energy analysis for each fuel source alternative using the simulation tool specified in this section. The annual energy analysis shall be computed on a monthly basis in conformance with subpart E with the exception that all process loads shall be included in the calculation. Separate the output of the analysis by fuel type.

603.2.2.3 Determine the unit price of each fuel using information from the utility or other reliable local source. During rapid changes in fuel prices it is recommended that an average fuel price for the previous twelve months be used in lieu of the current price. Calculate the annual energy cost of each energy source alternative in accordance with procedures in subpart E for the Design Energy Cost. Estimate the initial cost of the HVAC and service water systems and other initial costs such as energy distribution lines and service connection fees associated with each fuel source alternative. Estimate other costs and benefits for each alternative including, but not necessarily limited to, annual maintenance and repair, periodic and one time major repairs and replacements and salvage of the energy and service water systems. Cost estimates shall be prepared using professionally recognized cost estimating tools, guides and techniques.

603.2.2.4 Perform a life cycle cost analysis using the procedure specified in subsection 603.2.

603.2.2.5 Compare the total life cycle cost of each energy source alternative. The alternative with the lowest total life cycle cost shall be chosen as the energy source for the proposed design.

§ 434.604 Compliance.

604.1 Compliance with this section is demonstrated if the Design Energy Use is equal to or less than the Energy Use Budget.

$$DEU < EUB \qquad \text{Equation 604.1}$$

604.2 The energy consumption shall be measured at the building five foot line for all fuels. Energy consumed from non-depletable energy sources and heat recovery systems shall not be included in the Design Energy Use calculations. The thermal efficiency of fixtures, equipment, systems or plants in the proposed design shall be simulated by the selected calculation tool.

§ 434.605 Standard Calculation Procedure.

605.1 The Standard Calculation Procedure consists of methods and assumptions for calculating the Energy Use Budgets for Prototype and Reference Buildings and the Energy Use for the Proposed Design. In order to maintain consistency between the Energy Use Budgets and the Design Energy Use, the input assumptions stated in subsection 510.2 are to be used.

605.2 The terms Energy Cost Budget and Design Energy Cost or Design Energy Consumption used in subpart E of this part correlate to Energy Use Budget and Design Energy Use, respectively, in subpart F of this part.

§ 434.606 Simulation tool.

606.1 The criteria established in subsection 521 for the selection of a simulation tool shall be followed when using the compliance path prescribed in subpart F of this part.

§ 434.607 Life cycle cost analysis criteria.

607.1 The following life cycle cost criteria applies to the fuel selection requirements of

this subpart and to option life cycle cost analyses performed to evaluate energy conservation design alternatives. The fuel source(s) selection shall be made in accordance with the requirements of subpart A of 10 CFR part 436. When performing optional life cycle cost analyses of energy conservation opportunities the designer may use the life cycle cost procedures of subpart A of 10 CFR part 436 or OMB Circular 1–94 or an equivalent procedure that meets the assumptions listed below:

607.1.1 The economic life of the Prototype Building and Proposed Design shall be 25 years. Anticipated replacements or renovations of energy related features and systems in the Prototype or Reference Building and Proposed Design during this period shall be included in their respective life cycle cost calculations.

607.1.2 The designer shall follow established professional cost estimating practices when determining the costs and benefits associated with the energy related features of the Prototype or Reference Building and Proposed Design.

607.1.3 All costs shall be expressed in current dollars. General inflation shall be disregarded. Differential escalation of prices (prices estimated to rise faster or slower than general inflation) for energy used in the life cycle cost calculations shall be those in effect at the time of the latest ''Annual Energy Outlook'' (DOE/EIA–0383) as published by the Department of Energy's Energy Information Administration.

607.1.4 The economic effects of taxes, depreciation and other factors not consistent with the practices of subpart A of 10 CFR part 436 shall not be included in the life cycle cost calculation.

Subpart G—Reference Standards

§ 434.701 General.

701.1 *General.* The standards, technical handbooks, papers, regulations, and portions thereof, that are referred to in the sections and subsections in the following list are hereby incorporated by reference into this part 434. The following standards have been approved for incorporation by reference by the Director of the Federal Register in accordance with 5 U.S.C. 522(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 Office of the Federal Register, 800 North Capitol Street, NW, Suite 700, Washington, DC and the U.S. Department of Energy, Office of Energy Efficiency, Hearings and Dockets, Forrestal Building, 1000 Independence Avenue SW, Washington, DC 20585. The standards may be purchased at the addresses listed at the end of each standard. The following standards are incorporated by reference in this part:

Ref. No.	Standard designation	CFR section
RS–1	ANSI/ASHRAE/IESNA 90.1–1989, Energy Efficient Design of New Buildings Except Low-Rise Residential Buildings, and Addenda 90.1b–1992, 90.1c–1993, 90.1d–1992, 90.1e–1992, 90.1f–1995, 90.1g–1993, 90.1i–1993, American Society of Heating, Refrigerating and Air-Conditioning Engineers, Inc., ASHRAE 1791 Tullie Circle NE, Atlanta, GA 30329.	434.301.1; 434.402.1.2.4; 434.402.4.2; 434.403.2.1.
RS–2	ANSI/ASHRAE 55–1992 including addenda 55a–1995, Thermal Environmental Conditions for Human Occupancy, American Society of Heating, Refrigerating and Air-Conditioning Engineers, Inc., 1791 Tullie Circle NE, Atlanta, GA 30329.	434.301.2; 434.519.1.1.
RS–3	NEMA MG1–1993, ''Motors and Generators,'' Revision No. 1, December 7, 1993, National Electrical Manufacturers Association, 1300 North 17th Street, Suite 1847, Rosslyn, VA 22209.	434.401.2.1.
RS–4	ASHRAE, Handbook, 1993 Fundamentals Volume, American Society of Heating, Refrigerating, and Air-Conditioning Engineers, Inc., 1791 Tullie Circle NE, Atlanta, GA 30329.	434.402.1.1; 434.402.1.2.1; 434.402.1.2.2; 434.402.1.2.4; 434.402.2.2.5.
RS–5	ASTM C 177–85 (Reapproved 1993), Test Method for Steady-State Heat Flux Measurements and Thermal Transmission Properties by Means of the Guarded-Hot-Plate Apparatus, American Society for Testing and Materials, 1916 Race Street, Philadelphia, PA 19103.	434.402.1.1; 434.402.1.2.1; 434.402.1.2.2.
RS–6	ASTM C 518–91, Test Method for Steady-State Heat Flux Measurements and Thermal Transmission Properties by Means of the Heat Flow Meter Apparatus, American Society for Testing and Materials, 1916 Race Street, Philadelphia, PA 19103.	434.402.1.1; 434.402.1.2.1; Table 402.1.2.2; Table 403.2.9.2.
RS–7	ASTM C 236–89 (Reapproved 1993), Test Method for Steady-State Thermal Performance of Building Assemblies by Means of a Guarded Hot Box, American Society for Testing and Materials, 1916 Race Street, Philadelphia, PA 19103.	434.402.1.1; 434.402.1.2.1; 434.402.1.2.2.

Ref. No.	Standard designation	CFR section
RS–8	ASTM C 976–90, Test Method for Thermal Performance of Building Assemblies by Means of a Calibrated Hot Box, American Society for Testing and Materials, 1916 Race Street, Philadelphia, PA 19103.	434.402.1.1; 434.402.1.2.1; 434.402.1.2.2.
RS–9	Report TVAHB–3007, 1981, ''Thermal Bridges in Sheet Metal Construction'' by Gudni Johannesson. Lund Institute of Technology, Lund, Sweden.	434.402.1.2.3.
RS–10	ASTM E 283–91, Test Method for Determining the Rate of Air Leakage Through Exterior Windows, Curtain Walls, and Doors Under Specified Pressure Difference Across the Specimen, American Society for Testing and Materials, 1916 Race Street, Philadelphia, PA 19103.	434.402.2; 434.402.2.1.
RS–11	ANSI/AAMA/NWWDA 101/I.S.2–97, Voluntary Specifications for Aluminum, Vinyl (PVC) and Wood Windows and Glass Doors, American Architectural Manufacturers Association, 1827 Walden Office Square, Suite 104, Schaumburg, IL 60173–4628.	434.402.2.1; 434.402.2.2.4.
RS–12	ASTM D 4099–95, Standard Specification for Poly (Vinyl Chloride) (PVC) Prime Windows/Sliding Glass Doors, American Society for Testing and Materials, 1916 Race Street, Philadelphia, PA 19103.	434.402.2.1.
RS–13	ANSI/AAMA/NWWDA 101/I.S.2–97, Voluntary Specifications for Aluminum, Vinyl (PVC) and Wood Windows and Glass Doors, National Wood Window and Door Association (formerly the National Woodwork Manufacturers Association), 1400 East Toughy Avenue, Suite 470, Des Plaines, IL 60018.	434.402.2.1.
RS–14	ANSI/NWWDA I.S.3–95, Wood Sliding Patio Doors, National Wood Window and Door Association (formerly the National Woodwork Manufacturers Association), 1400 East Toughy Avenue, Suite 470, Des Plaines, IL 60018.	434.402.2.2.1.
RS–15	ARI Standard 210/240–94, Unitary Air-Conditioning and Air-Source Heat Pump Equipment 1994. Air-Conditioning and Refrigeration Institute, 4301 North Fairfax Drive, Suite 425, Arlington, VA 22203.	434.403.1.
RS–16	ARI Standard 340/360–93, Commercial and Industrial Unitary Air-Conditioning and Heat Pump Equipment 1993 edition. Air-Conditioning and Refrigeration Institute, 4301 North Fairfax Drive, Suite 425, Arlington, VA 22203.	434.403.1.
RS–17	ARI 310/380–93, Packaged Terminal Air-Conditioners and Heat Pumps, 1993 edition. Air-Conditioning and Refrigeration Institute, 4301 North Fairfax Drive, Suite 425, Arlington, VA 22203.	434.403.1.
RS–18	NFRC 100–97, Procedure for Determining Fenestration Product Thermal Properties, National Fenestration Rating Council, Inc., 1300 Spring Street, Suite 500, Silver Spring, MD 20910.	434.402.1.2.4.
RS–19	NFRC 200—Procedure for Determining Fenestration Product Solar Heat Gain Coefficients at Normal Incidence (1995) National Fenestration Rating Council, Inc., 1300 Spring Street, Suite 500, Silver Spring, MD 20910.	434.402.1.2.4.
RS–20	RESERVED.	
RS–21	Z21.47–1993, Gas-Fired Central Furnaces, including addenda Z21.47a–1995, American Gas Association, 400 North Capitol Street, N.W. Washington, DC 20001.	434.403.1.
RS–22	U.L. 727, including addendum dated January 30, 1996, Oil-Fired Central Furnaces (Eighth Edition) 1994, available from: Global Documents, 15 Inverness Way East, Englewood, CO 80112–5704, Underwriters Laboratories, Northbrook, IL 60062, 1994..	434.403.1.
RS–23	ANSI Z83.9–90, Including addenda Z83.9a–1992, Gas-Fired Duct Furnaces, 1990. (Addendum 90.1b) available from: Global Documents, 15 Inverness Way East, Englewood, CO 80112–5704.	434.403.1.
RS–24	ANSI Z83.8–96, Gas Unit Heater and Gas-Fired Duct Furnaces, American National Standards Institute, 11 West 42nd Street, New York, NY 10036.	434.403.1.
RS–25	U.L. 731, Oil-Fired Unit Heaters (Fifth Edition) 1995 available from: Global Documents, 15 Inverness Way East, Englewood, CO 80112–5704, Underwriters Laboratories, Northbrook, IL 60062.	434.403.1.

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RS–26	CTI Standard–201, Standard for the Certification of Water-Cooling Towers Thermal Performance, November 1996, Cooling Tower Institute, P.O. Box 73383, Houston, TX 77273.	434.403.1.
RS–27	ARI Standard 320–93, Water-Source Heat Pumps, Air-Conditioning and Refrigeration Institute, 4301 North Fairfax Drive, Arlington, VA 22203.	434.403.1.
RS–28	ARI Standard 325–93, Ground Water-Source Heat Pumps, Air-Conditioning and Refrigeration Institute, 4301 North Fairfax Drive, Arlington, VA 22203.	434.403.1.
RS–29	ARI Standard 365–94, Commercial and Industrial Unitary Air-Conditioning Condensing Units, Air-Conditioning and Refrigeration Institute, 4301 North Fairfax Drive, Arlington, VA 22203.	434.403.1.
RS–30	ARI Standard 550–92, Centrifugal and Rotary Screw Water-Chilling Packages, Air-Conditioning and Refrigeration Institute, 4301 North Fairfax Drive, Arlington, VA 22203.	434.403.1.
RS–31	ARI Standard 590–92, Positive Displacement Compressor Water-Chilling Packages, Air-Conditioning and Refrigeration Institute, 4301 North Fairfax Drive, Arlington, VA 22203.	434.403.1.
RS–32	ANSI Z21.13–1991, including addenda Gas-Fired Low-Pressure Steam and Hot Water Boilers, Addenda Z21.13a–1993 and Z21–13b–1994, American National Standards Institute, 11 West 42nd Street, New York, NY 10036.	434.403.1.
RS–33	ANSI/U.L. 726 (7th edition, 1995), Oil-Fired Boiler Assemblies, available from: Global Documents, 15 Inverness Way East, Englewood, CO 80112–5704, Underwriters Laboratories, Northbrook, IL 60062.	434.403.1.
RS–34	HVAC Duct Construction Standards—Metal and Flexible, 2nd edition, 1995, Sheet Metal and Air-Conditioning Contractors' National Association, Inc., 4201 Lafayette Center Drive, Chantilly, VA 20151.	434.403.2.9.3.
RS–35	HVAC Air Duct Leakage Test Manual, 1st edition, 1985, Sheet Metal and Air-Conditioning Contractors' National Association, Inc., 4201 Lafayette Center Drive, Chantilly, VA 20151.	434.403.2.9.3; 434.403.1.
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RS–37	RESERVED.	
RS–38	ANSI Z21.56–1994, Gas-Fired Pool Heaters; Addenda Z21.56a–1996, American National Standards Institute, 11 West 42nd Street, New York, NY 10036; American Gas Association, 1515 Wilson Boulevard, Arlington, VA 22209.	Table 404.1.
RS–39	ANSI Z21.10.3–1993, Gas Water Heaters, Volume III, Storage with Input Ratings above 75,000 Btu's per Hour, Circulating and Instantaneous Water Heaters, American National Standards Institute, 11 West 42nd Street, New York, NY 10036; American Gas Association, 1515 Wilson Boulevard, Arlington, VA 22209.	Table 404.1; 434.404.1.1.
RS–40	ANSI/AHAM RAC–1–1992, Room Air Conditioners, Association of Home Appliance Manufacturers, 20 North Wacker Drive, Chicago, IL 60606.	434.403.1.
RS–41	ASHRAE Standard 62–1989, Ventilation for Acceptable Indoor Air Quality, American Society of Heating, Refrigerating and Air-Conditioning Engineers, 1791 Tulle Circle, Atlanta, GA 30329.	434.403.2.4; 434.403.2.8; 434.519.3.
RS–42	ANSI Z21.66–1996, Automatic Vent Damper Devices for Use with Gas-Fired Appliances, available from: Global Documents, 15 Inverness Way East, Englewood, CO 80112–5704..	434.404.1.
RS–43	NEMA MG 10–1994, Energy Management Guide for Selection and Use of Polyphase Motors, National Electric Manufacturers Association, National Electrical Manufacturers Association, 1300 North 17th Street, Suite 1847, Rosslyn, VA 22209.	434.401.2.1.
RS–44	NEMA MG 11–1977 (Revised 1982, 1987, Energy Management Guide for Selection and Use of Single-Phase Motors, National Electrical Manufacturers Association, National Electrical Manufacturers Association, 1300 North 17th Street, Suite 1847, Rosslyn, VA 22209.	434.401.2.1.

Ref. No.	Standard designation	CFR section
RS–45	ARI Standard 330–93, Ground-Source Closed-Loop Heat Pumps, Air-Conditioning and Refrigeration Institute, 4301 North Fairfax Drive, Arlington, VA 22209.	434.403.1.
RS–46	ARI Standard 560–92, Absorption Water Chilling and Water Heating Packages, Air-Conditioning and Refrigeration Institute, 4301 North Fairfax Drive, Arlington, VA 22209.	434.403.1.
RS–47	ASHRAE, Handbook, HVAC Applications; I–P Edition, 1995, American Society of Heating, Refrigerating, and Air-Conditioning Engineers, Inc., 1791 Tullie Circle NE, Atlanta, GA 30329.	434.518.2.

PART 435—ENERGY CONSERVATION VOLUNTARY PERFORMANCE STANDARDS FOR NEW BUILDINGS; MANDATORY FOR FEDERAL BUILDINGS

Subpart A—Voluntary Performance Standards for New Commercial and Multi-Family High Rise Residential Buildings; Mandatory for Federal Buildings

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Subpart A—Voluntary Performance Standards for New Commercial and Multi-Family High Rise Residential Buildings; Mandatory for Federal Buildings

SOURCE: 54 FR 4554, Jan. 30, 1989, unless otherwise noted.

EFFECTIVE DATE NOTE: At 65 FR 60012, Oct. 6, 2000, subpart A, §§ 435.97 through 435.112, of part 435 was removed, effective Oct. 8, 2001.

§ 435.97 Purpose.

(a) This subpart establishes energy conservation voluntary performance standards for the design of new commercial and multi-family high rise residential buildings. The voluntary performance standards are designed to achieve the maximum practicable improvements in energy efficiency and increases in the use of non-depletable sources of energy.

(b) The voluntary performance standards will be used by Federal agencies for the design of new Federal commercial and multi-family high rise residential buildings.

(c) Except in the case of new commercial and multi-family high rise residential buildings, which are Federal buildings, voluntary performance standards prescribed under this subpart are developed solely as guidelines for the purpose of providing technical assistance for the design of energy efficient buildings.