

**United States Department of Energy**  
**Supporting Statement**  
**OMB Control Number 1910-1400**

**“Certification Reports, Compliance Statements, Application for a Test Procedure Waiver, and Recordkeeping for Consumer Products and Commercial/Industrial Equipment subject to Energy or Water Conservation Standards”**

This supporting statement provides additional information regarding the Department of Energy (DOE) request for processing of the information collection, Certification Reports, Compliance Statements, Application for a Test Procedure Waiver, and Recordkeeping for Consumer Products and Commercial/Industrial Equipment subject to Energy or Water Conservation Standards. The numbered questions correspond to the order shown on the Office of Management and Budget (OMB) Form 83-I, “Instructions for Completing OMB Form 83-I.”

**A. Justification**

- 1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the information collection.**

Title III of the Energy Policy and Conservation Act of 1975, as amended (“EPCA” or, in context, “the Act”) sets forth a variety of provisions designed to improve energy efficiency. Part A of Title III (42 U.S.C. 6291–6309) provides for the Energy Conservation Program for Consumer Products Other Than Automobiles. The National Energy Conservation Policy Act (NECPA), Pub. L. 95-619, amended EPCA to add Part A-1 of Title III, which established an energy conservation program for certain industrial equipment. (42 U.S.C. 6311–6317)<sup>1</sup> The Department of Energy (“DOE”) is charged with implementing these provisions.

Under EPCA, this program consists essentially of four parts: (1) testing; (2) labeling; (3) Federal energy conservation standards; and (4) certification and enforcement procedures. The Federal Trade Commission (FTC) is primarily responsible for labeling of consumer products, and DOE implements the remainder of the program. Part B of EPCA authorizes the Secretary of Energy to prescribe test procedures that are reasonably designed to produce results which measure the energy efficiency, energy use, or estimated annual operating costs of a covered product, and that are not unduly burdensome to conduct. (42 U.S.C. 6293(b)(3)) The testing requirements consist of test procedures that manufacturers of covered products and equipment must use (1) as the basis for certifying to DOE that their products comply with the applicable energy conservation standards adopted under EPCA, and (2) for making representations about the efficiency of those products and equipment. Similarly, DOE must use these test requirements to determine whether the products comply with any relevant standards promulgated under EPCA.

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<sup>1</sup> For editorial reasons, Parts B (consumer products) and C (commercial equipment) of Title III of EPCA were re-designated as parts A and A-1, respectively, in the United States Code.

In addition, sections 6299-6305, and 6316 of EPCA authorize DOE to enforce compliance with the energy and water conservation standards established for certain consumer products and commercial equipment. (42 U.S.C. 6299-6305 (consumer products), 6316 (commercial equipment))

EPCA directs the Secretary of Energy to prescribe reporting and recordkeeping rules for the covered products. The authority for information collection is section 326(d) and 345(a) of EPCA which states:

“For purposes of carrying out this part, the Secretary may require, under this part or other provision of law administered by the Secretary, each manufacturer of a covered product to submit information or reports to the Secretary with respect to energy efficiency, energy use, or, in the case of showerheads, faucets, water closets, and urinals, water use of such covered product ... to ensure compliance with the requirements of this part.” (42 U.S.C. 6296(d) and 42 U.S.C. 6316(a))

DOE is revising, expanding, and renewing the information collected on the energy and water efficiency of consumer products and commercial equipment manufactured for distribution in commerce in the United States. Specifically, DOE is submitting for approval paperwork requirements associated with the three following aspects of the appliance standards program: (1) gathering data and submitting the certification and compliance reports for each basic model distributed in commerce in the US; (2) maintaining records underlying the certified ratings for each basic model including test data and the associated calculations; and (3) applications for a test procedure waiver for which manufacturers may elect to submit if they manufacturer a basic model that cannot be tested pursuant to the DOE test procedure.

This collection includes all covered products and equipment subject to DOE’s regulatory requirements described in 10 CFR Parts 429, 430, and 431. More specifically, DOE’s certification and compliance requirements are described in 10 CFR Part 429. DOE’s records retention requirements are described in 10 CFR Part 429.71. DOE’s application for a test procedure waiver process is described in 10 CFR parts 430.27 and 431.401.

**2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection**

This is an extension and revision of an existing collection (Control #1910-1400, Certification Reports, Compliance Statements, Application for a Test Procedure Waiver, and Recordkeeping for Consumer Products and Commercial/Industrial Equipment subject to Energy or Water Conservation Standards). The certification and compliance reports will continue to be used by the Department to assess compliance with energy and water conservation standards. The data maintained by the manufacturer will be used to calculate the certified ratings for each basic model in preparation for submitting the certification report and, it may be provided to DOE upon request so that DOE can verify the manufacturer conducted the DOE test procedure, applied the appropriate sampling plans, correctly calculated the certified rating for a basic model, and is

compliant with the Federal energy or water conservation standards. DOE currently uses the information collected to systematically enforce applicable energy and water conservation standards for covered products and commercial and industrial equipment and provide for more accurate, comprehensive information about the energy and water use characteristics of products sold in the United States.

Lastly, the information collection allows manufacturers to submit an application for a test procedure waiver to the Department at his or her discretion if it is determined that the basic model for which the petition for waiver was submitted contains one or more design characteristics that prevents testing of the basic model according to the prescribed test procedures, or if 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. The Department currently uses and will continue to use the information submitted in the application for a waiver as the basis for granting or denying the petition.

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses.**

DOE currently requires manufacturers or their representatives prepare and submit certification reports using DOE's electronic Web-based tool, the Compliance and Certification Management System (CCMS), which is the only mechanism for submitting certification reports to DOE. CCMS currently has product specific templates which manufacturers are required to use when submitting certification data to DOE. See <http://www.regulations.doe.gov/ccms>. DOE believes the availability of electronic filing through the CCMS system reduces reporting burdens, streamline the process, and provide the Department with needed information in a standardized, more accessible form. This electronic filing system also ensures that records are recorded in a permanent, systematic way.

DOE currently accepts petitions for a test procedure waiver electronically and in paper-format using whatever layout a manufacturer may wish to provide. DOE typically receives these via email in the format of a letter. Generally, a manufacturer petitioning for a waiver must provide the basic model numbers, brands, and identifying model characteristics, the reasoning behind the need for a test procedure waiver, and an alternative method of test with the application.

**4. Describe efforts to identify duplication.**

In limited cases, some of the energy efficiency, energy use, or water use information required to fulfill the certification requirements under DOE's regulations can be obtained from other publically available product directories such as the Air-Conditioning, Heating, and Refrigeration Institute directory of certified products, the International Association of Plumbing and Mechanical Officials product listing directory, the ENERGY STAR product listing, and the California Energy Commission's appliance efficiency database. These directories typically only

contain information on the energy use or efficiency of a subset of basic models that are covered by DOE's regulatory program. These voluntary programs allow manufacturers to submit ratings information. To a certain extent, DOE allows the use of voluntary programs in its certification process to help avoid duplication of effort and undue reporting burden. For example, the manufacturer must use the same test results for a given basic model to determine his or her certified rating assuming the testing was done in accordance to DOE's testing and sampling procedures. DOE allows manufacturers at their discretion to elect a third-party, like a voluntary trade organization or a third-party laboratory, to file the certification report on its behalf.

However, DOE cannot ensure the information maintained in other publically available databases has been collected in accordance with DOE's testing procedures, sampling plans for certification testing, and certification requirements. There is not a comprehensive alternative database that contains all of the information for basic models of covered products and covered equipment distributed in commerce in the US as required by DOE's certification program that DOE could use to satisfy these provisions. Instead, DOE encourages manufacturers to utilize the same testing and rating information, to the extent the information required for multiple programs, to minimize the duplication as much as possible.

DOE understands that manufacturers already maintain these types of records as a practical matter in the normal course of design, engineering, and performance testing a product. Thus, DOE believes the records retention requirements in 10 CFR Part 429.71 are part of everyday business for most manufacturers.

As part of this revision, DOE is revising its regulations to collect certification information for the Federal Trade Commission as well. Thus, manufacturers subject to FTC's labeling regulations as well as DOE's regulatory program for energy and water conservation will only have to submit a single certification report and compliance statement to the Department through CCMS to satisfy the requirements of both agencies.

For test procedure waiver applications, no other entity administers waivers from DOE's test procedures. Thus, the information is not commercially available.

**5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.**

Small businesses that manufacturer or import covered products or equipment subject to Federal energy or water conservation standards have to certify each basic model prior to distribution in commerce and annually thereafter. Consequently, DOE expects small businesses to be impacted by this collection of information. However, DOE has tried to minimize the reporting burden as much as possible by: (1) accepting only electronic submissions; (2) providing preformatted templates that clearly lay out the certification and compliance requirements for each product; and (3) allowing manufacturers to group individual models into basic models for the purposes of certification to reduce the number of discrete models reported to the Department.

**6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

Manufacturer self-certification provides the foundation for the Department of Energy's ability to effectively enforce its regulations without engaging in the exorbitant expense of testing every model of covered consumer products and commercial/industrial equipment manufactured and distributed in U.S. commerce. DOE instead relies upon manufacturers to test their own products and then provide DOE with the minimally required information to demonstrate the compliance of those products with federal energy conservation standards through submission of certification reports. DOE further educates consumers and distributors in the marketplace about the efficiency of these products by publicly posting the information provided by manufacturers in their certification reports.

If a manufacturer does not comply with the reporting requirements in 10 CFR Part 429, there is a risk that a basic model of covered equipment would be sold into the market with energy or water efficiency below the required Federal levels. This would have two negative effects: (1) it would distort the market by rewarding a company that is in violation because its products would be more cost-competitive than a company that is in compliance; and (2) it would prevent the nation from benefiting from cost-effective energy savings with each non-compliant unit sold.

DOE is not aware of any technological or legal obstacles to reducing burden. DOE understands that manufacturers of consumer products and commercial equipment routinely test their products, as energy efficiency and water savings are key marketing materials for purchasers.

**7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines. (a) requiring respondents to report information to the agency more often than quarterly; (b) requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it; (c) requiring respondents to submit more than an original and two copies of any document; (d) requiring respondents to retain records, other than health, medical government contract, grant-in-aid, or tax records, for more than three years; (e) in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study; (f) requiring the use of statistical data classification that has not been reviewed and approved by OMB; (g) that includes a pledge of confidentiality that is not supported by authority established in statute of regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; (h) requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.**

Of the special circumstances listed above, two may apply to this information collection: (d) requiring respondents to retain records, other than health, medical government contract, grant-in-aid, or tax records, for more than three years; and (h) requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

Currently, DOE requires the manufacturer of any covered product or covered equipment establish, maintain, and retain the records of certification reports, of the underlying test data for all certification testing, and of any other testing conducted to satisfy the requirements of this part, part 430, and part 431. Any manufacturer who chooses to use an alternative method for determining energy efficiency or energy use in accordance with §429.70 must retain the records required by that section, any other records of any testing performed to support the use of the alternative method, and any certifications required by that section, on file for review by DOE for two years following the discontinuance of all models or combinations whose ratings were based on the alternative method. 10 CFR Part 429.71. Depending on the date that the manufacturer or certifying entity notified DOE that the basic model is no longer being distributed in commerce and how long the manufacturer was producing the basic model, the records may need to be maintained for a period of longer than three years. Thus, DOE's regulations require that records must be retained for two years from the date when the entity that certified the basic model (or the party represented by a third-party certifier) is no longer offering the model for sale.

The Department collects both public and confidential information from manufacturers as part of its certification and compliance process. Specifically, the Department believes that making data accessible to the public provides increased transparency and accountability to the Department's regulatory regime. At the same time, the Department recognizes that certain information may be confidential in nature and exempt by law from public disclosure. To balance these interests, DOE has adopted a framework for addressing the public disclosure of information submitted to DOE under Part 429, while protecting valid claims of confidential business information. First, certain categories of certification information will be considered a matter of public record that DOE makes available to the public on its website. Second, for all other information submitted pursuant to Part 429, today's rule provides a mechanism for submitting parties to claim confidentiality on a case-by-case basis at the time of submission. DOE may defer acting on any requests for confidentiality until DOE receives a request for the disclosure of the information covered by the request. The information will be treated as confidential until DOE acts on the request and all subsequent appeal proceedings have been exhausted. This approach provides submitters with an opportunity to express claims of confidentiality with particularity at the time the information is submitted, including a request for information to remain confidential for a set period of time, such as prior to a public product launch. Furthermore, it will allow the Department to determine whether a particular piece of information is exempt from public disclosure by law on a case-by-case, fact specific basis. In this way DOE can both consider confidentiality claims effectively and respond to disclosure requests promptly, while protecting against unlawful disclosure of information.

**8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5CFR 320.8(d), soliciting**

**comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken in response to the comments. Specifically address comments received on cost and hour burden. Describe efforts to consult with persons outside DOE to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or report.**

The Department published or intends to publish the following Federal Register notices regarding the collection of information subject to this approval:

- Proposed Information Collection; Request for Comment (Extension of the Existing Collection with no new Requirements). December 24, 2013, 78 FR 77668.
- Notice of Proposed Rulemaking, Amendments and Correction to Petitions for Waiver and Interim Waiver for Consumer Products and Commercial and Industrial Equipment, December 17, 2012, 77 FR 74616.
- Notice of Proposed Rulemaking, Certification of Commercial Heating, Ventilation, Air-Conditioning, Refrigeration, and Water Heating Equipment, 79 FR 8886 (February 14, 2014).
- Notice of Proposed Rulemaking, Revisions to the Certification Information Collected for Consumer Products and Commercial and Industrial Equipment (Draft)

DOE has not received any specific comments regarding the information collection estimates at this time.

**9. Explain any decision to provide any payment or gift to respondents, other than reenumeration of contractors or grantees.**

There is no payment or gift to any respondents. Respondents are required to comply by regulation.

**10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.**

DOE has outlined the process for submitting the agency's handling of confidential information in 10 CFR Part 429.7. DOE's regulations also provide that DOE shall make its own determination with regard to any claim that information submitted be exempt from public disclosure.

**11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why DOE considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.**

There are no questions of a sensitive nature in this collection of information.

**12. Provide estimates of the hour burden of the collection of information. The statement should indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, DOE should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample fewer than 10 potential respondents is desirable.**

DOE is requiring manufacturers of covered consumer products and commercial and industrial equipment to maintain records about how they determined the energy efficiency, energy consumption, water consumption or design features of their products. DOE is also requiring manufacturers to submit a certification report indicating that all basic models distributed in commerce in the US comply with the applicable standards using DOE's testing procedures, as well as the necessary product specific certification data that describes the efficiency and characteristics of the basic model. The certification reports are submitted for each basic model, either when the requirements go into effect (for models already in distribution), or when the manufacturer begins distribution of a particular basic model, and annually thereafter. Reports must be updated when a new model is introduced or a change affecting energy efficiency or use is made to an existing model resulting in a change in the certified rating.

Currently DOE has approximately 1300 users that have submitted certification reports to the Department that span over half of the covered products and equipment. DOE expects this number to increase once manufacturers of commercial heating, air-conditioning, and refrigeration equipment are required to certify compliance with the Department. Consequently, DOE estimates there are approximately 2,000 respondents who are required to respond to this collection of information for all covered products and equipment. The estimates include manufacturers and importers of the following covered products and equipment: (1) Residential refrigerators, refrigerator-freezers and freezers; (2) Room air conditioners; (3) Central air conditioners and heat pumps, including SDHV and Space-Constrained; (4) Residential water heaters; (5) Residential furnaces, including boilers; (6) Dishwashers; (7) Residential clothes washers; (8) Residential clothes dryers; (9) Direct heating equipment; (10) Conventional cooking tops, conventional ovens, microwave ovens; (11) Pool heaters; (12) Fluorescent lamp ballasts; (13) General service fluorescent lamps, general service incandescent lamps, and incandescent reflector lamps; (14) Faucets; (15) Showerheads; (16) Water closets; (17) Urinals; (18) Ceiling fans; (19) Ceiling fan light kits; (20) Torchieres; (21) Compact fluorescent lamps; (22) Dehumidifiers; (23) Class A external power supplies; (24) Non-class A external power supplies; (25) Battery chargers; (26) Candelabra base incandescent lamps and intermediate base incandescent lamps; (27) Electric motors; (28) Small electric motors; (29) Commercial refrigerators, freezers, and refrigerator-freezers; (30) Commercial air conditioners and heat pumps (air-cooled, water-cooled, and water-sourced); (31) Packaged terminal air conditioners and heat pumps; (32) Single package vertical units; (33) Variable refrigerant flow systems; (34) Computer room air conditioners; (35) Commercial water heating equipment; (36) Commercial warm air furnaces; (37) Commercial packaged boilers; (38) Automatic commercial ice makers; (39) Commercial clothes washers; (40) Distribution transformers; (41) Illuminated exit signs; (42) Traffic signal modules and pedestrian modules; (43) Commercial unit heaters; (44)



Commercial pre-rinse spray valves; (45) Refrigerated bottled or canned beverage vending machines; (46) Walk-in coolers and walk-in freezers, including each of the components (doors/panels/refrigeration system); (47) Metal halide lamp ballasts and fixtures; (48) Furnace fans; (49) General service lamps; (50) Unfired hot water storage tanks; (51) Hot water supply boilers; (52) television sets; and the following products should DOE ultimately adopt recordkeeping and reporting requirements for them through rulemaking: (53) pumps; (54) fans; (55) compressors; (56) miscellaneous refrigeration products; (57) portable air conditioners; and (58) computing equipment. DOE has added Appendix A to this supporting statement to show a mapping of the covered product, the associated reporting templates used for CCMS (names), and the estimated number of respondents. Note, that some respondents may span multiple categories depending on their product offerings.

Once compliance with the certification requirements is required, DOE's existing regulations require that manufacturers certify: (1) new basic models before distribution in commerce; (2) existing basic models, whose certified rating remains valid, annually; (3) existing basic models, whose design is altered resulting in a change in rating that is more consumptive or less efficient, at the time the design change is made; and (4) previously certified basic models that have been discontinued annually. Respondents may submit reports to the Department at any time during the year using DOE's online system. DOE estimated that it will take each respondent approximately 30 hours total per company per year to comply with the certification requirements based on 20 hours of technician/technical work and 10 hours clerical work to actually submit the CCMS templates. For the purposes of estimating burden, DOE assumed that each respondent will submit approximately 10 CCMS templates during the course of the year, which is encompassed by the 30 hours total per company per year estimate. DOE recognizes that a respondent may submit a minimum of 1 report per year, whereas other respondents may submit one weekly.

DOE's existing regulations provide that a manufacturer may petition the Department for a test procedure waiver if the DOE test procedure either is impracticable due to unique features or characteristics of the basic model or does not generate results that are representative of the basic model during normal use. In order for DOE to consider waiving the test procedure requirements for a given basic model, a manufacturer must submit an application package to the Department, which outlines the need for the waiver, the applicable products, and an alternative method of test for consideration by the Department. DOE estimates that preparation of a test procedure waiver application may take a manufacturer 160 hours to complete, which would mostly be conducted by an engineer. DOE receives approximately 50 test procedure waiver applications a year, but that number can vary since it is a manufacturer initiated process.

Total number of unduplicated respondents for certification of compliance with Federal standards: 2,000

Reports filed per person: 10 per year

Total annual responses: 20,000 reports filed

Total annual burden hours for certification of compliance with Federal standards: 60,000

Total number of unduplicated respondents for applying for a test procedure waiver: 25 (all are part of the 2,000 above)

Reports filed per person: 2 per year  
Total annual responses: 50 test procedure waiver applications filed  
Total annual burden hours for test procedure waiver applications: 8,000 hours

Total annual burden hours for this information collection: 68,000 hours

**13. Provide an estimate for the total annual cost burden to respondents or recordkeepers resulting from the collection of information.**

DOE estimates the total annual reporting and recordkeeping burden imposed on manufacturers of all consumer products and commercial and industrial equipment will be \$6,800,000, which was calculated using a weighted average wage rate of \$100 per hour. This weighted average wage rate is a mix between the engineers reviewing the certified ratings and the test procedure process and the administrative professionals or technicians submitting the paperwork to the Department. These estimates take into account the time necessary to develop testing documentation, maintain records underlying the certified rating, complete the certification, submit all required documents to DOE electronically, and applying for a test procedure waiver, as needed.

**14. Provide estimates of annualized cost to the Federal government.**

DOE estimates the total additional annual reporting and recordkeeping burden imposed on the Federal government will be \$0.00. DOE is already using the on-line collection system as its method for submission for certain covered consumer products and commercial equipment.

**15. Explain the reasons for any program changes or adjustments reported in Items 13 (or 14) of OMB Form 83-I.**

Program Change: While DOE is just renewing its existing information collection for many of the covered products and equipment as described above, DOE is proposing revisions to its certification provisions in several open rulemakings.

First, DOE has consolidated reporting requirements with the Federal Trade Commission. Manufacturers can elect to use DOE's online certification system (CCMS) to certify compliance with DOE's and FTC's regulations. DOE is in the process of revising its certification regulations for those products, where FTC collects additional information that DOE does not. In addition, the revised rulemaking will consider changes to DOE's reporting scheme that allow manufacturers to supply DOE with information on the Energy Guide label for each basic model as currently required to satisfy FTC reporting requirements. This change should consolidate reporting requirements for manufacturers by allowing them to use a single system to satisfy the requirements of two agencies. In addition, DOE and FTC have been working closely together to harmonize the regulations and consolidate reporting requirements to reduce burden.

Second, DOE entered into negotiations with commercial HVAC, water heating, and refrigeration equipment manufacturers surrounding the types of information that gets submitted and when the certification must be made to the Department. The outcomes of the negotiation resulted in slight changes to the information that DOE is collecting. The most notable is that DOE has proposed that manufacturers of commercial refrigeration equipment and some types of commercial heating, ventilation, and air conditioning (HVAC) equipment must submit a PDF with specific testing instructions to be used by the Department during verification and enforcement testing. Manufacturers of water heating equipment and some types of commercial HVAC equipment have the option of submitting a PDF with additional testing instructions at the manufacturer's discretion. The proposals reflect the direct results for the negotiations, without modification.

Third, DOE has recently proposed or adopted Federal energy conservation standards for either an expanded scope of already covered products and previously unregulated products. Some examples include: microwave ovens; electric motors, and furnace fans. To support compliance with these proposed or adopted Federal energy conservation standards, DOE has also proposed or adopted certification requirements. Just as with all other covered products and equipment, DOE will begin collecting certification information, when compliance with the Federal standards is required.

Forth for a number of covered products and covered equipment, DOE has modified the regulatory metrics (e.g., DOE has moved to a modified energy factor instead of an energy factor for a number of home appliances to account for the standby and off mode energy use as required by statute). Thus, DOE is revising its information collection requirements to reflect the regulatory metric that manufacturers must comply with.

**16. For collections whose results will be published, outline the plans for tabulation and publication.**

A subset of this dataset will be published online. The certification data that DOE has identified as public will be placed on DOE's certification database at: <http://www.regulations.doe.gov/certification-data/>.

Applications for test procedure waiver are published in the Federal Register for comment, as required by DOE's regulations.

**17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.**

DOE is not seeking to remove the OMB expiration date.

**18. Explain each exception to the certification statement identified in Item 19 of OMB Form 83-I.**

There are no exceptions.

**Appendix A: Table of Covered Products, Associated CCMS Template Names, and  
Estimated Number of Respondents per Product Type**

<u>Covered Product</u>	<u>CCMS Template Name</u>	<u>Estimated Number of Manufacturers</u>
Residential refrigerators, refrigerator/freezers, and freezers	Residential Refrigerators, Refrigerator-Freezers and Freezers, pre-Sept 2014	21
	Residential Refrigerators, Refrigerator-Freezers and Freezers, post-Sept 2014 standards	
Room air conditioners	Room Air Conditioners, pre-June 2014	10
	Room Air Conditioners, post-June 2014	
Central air conditioners	Residential Central Air Conditioners	41
	Small Duct, High Velocity Air Conditioners and Heat Pumps	
	Space Constrained Air Conditioners and Heat Pumps	
Residential water heaters	Residential Water Heaters	26
Residential furnaces and boilers	Residential Furnaces	40
Dishwashers	Dishwashers	18
Residential clothes washers	Residential Clothes Washers, pre- March 2015	17
	Residential Clothes Washers, post- March 2015	
Dryers	Residential Clothes Dryers, pre-Jan 2015	14
	Residential Clothes Dryers - Appendix D1, post-Jan 2015	
	Residential Clothes Dryers - Appendix D2, post-Jan 2015	
Direct heating equipment	Direct Heating Equipment	22
Conventional cooking tops, conventional ovens, microwave ovens	Residential Gas Cooking Products	20
Pool heaters	Pool Heaters	5
Fluorescent lamp ballast	Fluorescent Lamp Ballasts, pre-Nov 2014	41
	Fluorescent Lamp Ballasts, post-Nov 2014	
Fluorescent lamps, general service incandescent lamps, and incandescent reflector lamps	General Service Fluorescent Lamps, Initial Model Filing	21
	General Service Fluorescent Lamps, Annual Model Filing	
	General Service Incandescent Lamps	
	Incandescent Reflector Lamps	
Faucets	Faucets	83
Showerheads	Showerheads	
Urinals	Urinals	
Water closets	Water Closets	
Ceiling fans	Ceiling Fans	29
Ceiling fan light kits	Ceiling Fan Light Kits with Sockets for Medium Screw Base Lamps or with Pin-Based Sockets for Fluorescent Lamps	11
	Ceiling Fan Light Kits with Any Other Socket Type	
Torchieres	Torchieres	4

Compact fluorescent lamps	Medium Base Compact Fluorescent Lamps	158
Dehumidifiers	Dehumidifiers	25
Class A external power supplies	Class A External Power Supplies, Basic Model	174
	Class A External Power Supplies, Design Family	
	Switch-Selectable External Power Supplies, Basic Models	
Non-class A external power supplies	Non-class A external power supplies	105
Battery chargers	No reporting requirement at this time	
Candelabra base incandescent lamps and intermediate base incandescent lamps	Candelabra and Intermediate Base Incandescent Lamps	50
Small electric motors	Small electric motors	27
Electric motors	General Purpose Electric Motors-Subtype-I	18
	General Purpose Electric Motors-Subtype-II	
	NEMA Design B General Purpose Electric Motors	
	Fire Pump Motors	
Commercial refrigeration equipment	Commercial Refrigeration Equipment - Single Compartment	42
	Commercial Refrigeration Equipment - Multiple Compartments	
Commercial air conditioning and heating equipment	Commercial Package Air Conditioning and Heating Equipment	19
Packaged terminal air conditioners and heat pumps	Package Terminal Air Conditioners and Heat Pumps	11
Single package vertical units	Single Package Vertical Air Conditioners and Heat Pumps	18
Computer room air conditioners	Commercial Package Air Conditioning and Heating Equipment	8
Variable refrigerant flow systems	Commercial Package Air Conditioning and Heating Equipment	7
Commercial water heating equipment	Commercial Electric Storage Water Heaters	24
	Commercial Gas- and Oil-Fired Storage Water Heaters	
	Commercial Instantaneous Water Heaters and Hot Water Supply Boilers	
	Commercial Unfired Hot Water Storage Tanks	
Commercial warm air furnaces	Commercial Warm Air Furnaces	8
Commercial packaged boilers	Commercial Packaged Boilers	7
Automatic commercial ice makers	Automatic Commercial Ice Makers	14
Commercial clothes washers	Commercial Clothes Washers	9
Distribution transformers	Liquid-Immersed Distribution Transformers - Basic Model	60
	Liquid-Immersed Distribution Transformers - kVA Grouping	
	Low-Voltage, Dry-Type Distribution Transformers - Basic Model	
	Low-Voltage, Dry-Type Distribution Transformers - kVA Grouping	
	Medium-Voltage, Dry-Type	

	Distribution Transformers - Basic Model	
	Medium-Voltage, Dry-Type Distribution Transformers - kVA Grouping	
Illuminated exit signs	Illuminated Exit Signs	38
Traffic signal modules and pedestrian modules	Traffic Signals and Pedestrian Modules	29
Commercial unit heaters	Commercial Unit Heaters	9
Commercial prerinse spray valves	Commercial Pre-Rinse Spray Valves	83
Beverage vending machines	Refrigerated Bottled or Canned Beverage Vending Machines	9
Walk-in coolers and freezers	Panels for Walk-In Coolers and Freezers	68
	Doors for Walk-In Coolers and Freezers	
	Refrigeration Systems for Walk-In Coolers and Freezers	
Metal halide lamp ballast and fixtures	Metal Halide Lamp Ballasts and Fixtures	120
Furnace fans	Furnace Fans	40
Television sets	Television Sets	27
<b>Total (Manufacturers listed by product above plus additional users/submitters currently in CCMS)</b>		<b>2000</b>