



ENERGY STAR® Program Requirements for Residential Water Heaters

Partner Commitments

Following are the terms of the ENERGY STAR Partnership Agreement as it pertains to the manufacture and labeling of ENERGY STAR qualified products. The ENERGY STAR Partner must adhere to the following partner commitments:

Qualifying Products

1. Comply with current ENERGY STAR Eligibility Criteria, which define performance requirements and test procedures for residential water heaters. A list of eligible products and their corresponding Eligibility Criteria can be found at www.energystar.gov/specifications.
2. **Prior to associating the ENERGY STAR name or mark with any product**, obtain written certification of ENERGY STAR qualification from a Certification Body recognized by EPA for residential water heaters. As part of this certification process, products must be tested in a laboratory recognized by EPA to perform residential water heater testing. A list of EPA-recognized laboratories and Certification Bodies can be found at www.energystar.gov/testingandverification.

Using the ENERGY STAR Name and Marks

3. Comply with current ENERGY STAR Identity Guidelines, which define how the ENERGY STAR name and marks may be used. Partner is responsible for adhering to these guidelines and ensuring that its authorized representatives, such as advertising agencies, dealers, and distributors, are also in compliance. The ENERGY STAR Identity Guidelines are available at www.energystar.gov/logouse.
4. Use the ENERGY STAR name and marks only in association with qualified products. Partner may not refer to itself as an ENERGY STAR Partner unless at least one product is qualified and offered for sale in the U.S. and/or ENERGY STAR partner countries.
5. Provide clear and consistent labeling of ENERGY STAR qualified residential water heaters.
 - 5.1. The ENERGY STAR mark must be clearly displayed on the top/front of the product (on product labels and/or as a permanent mark), in product literature (i.e., user manuals, spec sheets, etc.), and on the Partner's Internet site where information about ENERGY STAR qualified models is displayed.
 - 5.2. It is also recommended that the mark appear on the product packaging.

Verifying Ongoing Product Qualification

6. Participate in third-party verification testing through a Certification Body recognized by EPA for residential water heaters, providing full cooperation and timely responses. EPA/DOE may also, at its discretion, conduct tests on products that are referred to as ENERGY STAR qualified. These products may be obtained on the open market, or voluntarily supplied by Partner at the government's request.

Providing Information to EPA

7. Provide unit shipment data or other market indicators to EPA annually to assist with creation of ENERGY STAR market penetration estimates, as follows:
 - 7.1. Partner must submit the total number of ENERGY STAR qualified residential water heaters shipped in the calendar year or an equivalent measurement as agreed to in advance by EPA and Partner. Partner shall exclude shipments to organizations that rebrand and resell the shipments (unaffiliated private labelers).
 - 7.2. Partner must provide unit shipment data segmented by meaningful product characteristics (e.g., type, capacity, presence of additional functions) as prescribed by EPA.
 - 7.3. Partner must submit unit shipment data for each calendar year to EPA or an EPA-authorized third party, preferably in electronic format, no later than March 1 of the following year.

Submitted unit shipment data will be used by EPA only for program evaluation purposes and will be closely controlled. If requested under the Freedom of Information Act (FOIA), EPA will argue that the data is exempt. Any information used will be masked by EPA so as to protect the confidentiality of the Partner.

8. Report to EPA any attempts by recognized laboratories or Certification Bodies (CBs) to influence testing or certification results or to engage in discriminatory practices.
9. Notify EPA of a change in the designated responsible party or contacts within 30 days using the My ENERGY STAR Account tool (MESA) available at www.energystar.gov/mesa.

Performance for Special Distinction

In order to receive additional recognition and/or support from EPA for its efforts within the Partnership, the ENERGY STAR Partner may consider the following voluntary measures, and should keep EPA informed on the progress of these efforts:

- Provide quarterly, written updates to EPA as to the efforts undertaken by Partner to increase availability of ENERGY STAR qualified products, and to promote awareness of ENERGY STAR and its message.
- Consider energy efficiency improvements in company facilities and pursue benchmarking buildings through the ENERGY STAR Buildings program.
- Purchase ENERGY STAR qualified products. Revise the company purchasing or procurement specifications to include ENERGY STAR. Provide procurement officials' contact information to EPA for periodic updates and coordination. Circulate general ENERGY STAR qualified product information to employees for use when purchasing products for their homes.
- Feature the ENERGY STAR mark(s) on Partner website and other promotional materials. If information concerning ENERGY STAR is provided on the Partner website as specified by the ENERGY STAR Web Linking Policy (available in the Partner Resources section of the ENERGY STAR website), EPA may provide links where appropriate to the Partner website.
- Ensure the power management feature is enabled on all ENERGY STAR qualified displays and computers in use in company facilities, particularly upon installation and after service is performed.
- Provide general information about the ENERGY STAR program to employees whose jobs are relevant to the development, marketing, sales, and service of current ENERGY STAR qualified products.

- Provide a simple plan to EPA outlining specific measures Partner plans to undertake beyond the program requirements listed above. By doing so, EPA may be able to coordinate, and communicate Partner's activities, provide an EPA representative, or include news about the event in the ENERGY STAR newsletter, on the ENERGY STAR website, etc. The plan may be as simple as providing a list of planned activities or milestones of which Partner would like EPA to be aware. For example, activities may include: (1) increasing the availability of ENERGY STAR qualified products by converting the entire product line within two years to meet ENERGY STAR guidelines; (2) demonstrating the economic and environmental benefits of energy efficiency through special in-store displays twice a year; (3) providing information to users (via the website and user's manual) about energy-saving features and operating characteristics of ENERGY STAR qualified products; and (4) building awareness of the ENERGY STAR Partnership and brand identity by collaborating with EPA on one print advertorial and one live press event.
- Join EPA's SmartWay Transport Partnership to improve the environmental performance of the company's shipping operations. The SmartWay Transport Partnership works with freight carriers, shippers, and other stakeholders in the goods movement industry to reduce fuel consumption, greenhouse gases, and air pollution. For more information on SmartWay, visit www.epa.gov/smartway.
- Join EPA's Green Power Partnership. EPA's Green Power Partnership encourages organizations to buy green power as a way to reduce the environmental impacts associated with traditional fossil fuel- based electricity use. The partnership includes a diverse set of organizations including Fortune 500 companies, small and medium businesses, government institutions as well as a growing number of colleges and universities. For more information on Green Power, visit www.epa.gov/greenpower.



ENERGY STAR® Program Requirements Product Specification for Residential Water Heaters

Eligibility Criteria Version 4.0

Following is the **Version 4.0** product specification for ENERGY STAR certified water heaters. A product shall meet all of the identified criteria if it is to earn the ENERGY STAR.

1) Definitions: Below are the definitions of the relevant terms in this document.

- A. **Residential Water Heater (Consumer Water Heater):** A product that utilizes gas, electricity, or solar thermal energy to heat potable water for use outside the heater upon demand, including:
- a. Storage type units designed to heat and store water at a thermostatically-controlled temperature, including: gas-fired storage (gas storage-type) water heaters with a nameplate input of 75,000 Btu per hour or less, containing more than one gallon of water per 4,000 Btu per hour of input; electric heat pump type units with a maximum current rating of 24 amperes at an input voltage 250 volts or less, including all ancillary equipment such as fans, storage tanks, pumps, or controls necessary for the device to perform its function.¹
 - b. Instantaneous type units heat water, but contain no more than one gallon of water per 4,000 Btu per hour of input with an input capacity less than or equal to 200,000 Btu per hour for gas-fired instantaneous.¹
 - c. Gas-fired storage residential-duty commercial water heaters include gas-fired storage water heaters that are designed to deliver hot water at a temperature less than or equal to 180°F, with an input rate greater than 75,000 Btu per hour and not exceeding 105,000 Btu per hour, containing more than one gallon of water per 4,000 Btu per hour of input, and storage volume less than or equal to 120 gallons. For models requiring electricity, a single-phase external power supply is used.²
 - d. Solar water heaters include a collector and storage tank, and use the sun's energy to heat water using one of the five basic types of solar water heating systems:
 - i. forced circulation (includes both direct and indirect systems),
 - ii. integrated collector and storage,
 - iii. thermosiphon,
 - iv. self-pumped, or
 - v. photovoltaic (PV).
 - e. Integrated heat pump water heaters are residential water heaters where the compressor, evaporator, condenser, and storage tank are integrated into the same unit.
 - f. Split-System heat pump water heaters are residential water heaters where the compressor, evaporator, and/or condenser are separated from a storage tank that is

¹ Adapted from 10 CFR Part 430, Subpart A §430.2 *Definitions*; in case of any inconsistencies, definitions in the CFR are authoritative.

² Adapted from 10 CFR Part 431, Subpart G §431.102 *Definitions*; in case of any inconsistencies, definitions in the CFR are authoritative.

supplied or specified by the manufacturer. All parts of the split-system water heater together are rated as a single system.

- g. **Add-on Heat Pump Units** are air to water heat pumps designed for use with a storage-type water heater or a storage tank that is not specified or supplied by the manufacturer.
- B. **Uniform Energy Factor³**: Uniform Energy Factor (UEF) is the measure of water heater overall efficiency.
- C. **Solar Uniform Energy Factor**: Solar Uniform Energy Factor (SUEF) refers to the energy delivered by the total system divided by the electrical or gas energy put into the system.
- D. **First-Hour Rating³**: The First-Hour Rating (FHR) is an estimate of the maximum volume of “hot” water that a storage-type water heater can supply within an hour that begins with the water heater fully heated (i.e., with all thermostats satisfied). It is a function of both the storage volume and the recovery rate.
- E. **Maximum GPM Rating³**: Maximum GPM is the maximum gallons per minute of hot water that can be supplied by an instantaneous water heater while maintaining a nominal temperature rise of 67 °F (37.3 °C) during steady-state operation.
- F. **Manufacturer Limited Warranty**: Manufacturer limited warranty is an assurance by the manufacturer to the consumer that the water heater, including purchased system equipment and components, are guaranteed to work for a defined period of time.
- G. **Basic Model**: All units of a given type of covered product (or class thereof) manufactured by one manufacturer and which have the same primary energy source and, which have essentially identical electrical, physical, or functional (or hydraulic) characteristics that affect energy consumption, energy efficiency, water consumption or water efficiency.³ Further, all individual models within a basic model have the same certified rating based on the applicable sampling criteria per U.S. Department of Energy’s (DOE) regulations in Part 429⁴, and this rating must be used for all manufacturer literature, the qualified product list and certification of compliance to DOE standards.
- H. **Lower Compressor Cut-off Temperature**: The temperature below which a heat pump water heater’s compressor will no longer operate, such that the unit will only work as a conventional electric resistance water heater.
- I. **Combination Space-Heating and Water-Heating Appliance**: Appliance that provides both space conditioning (boiler) and hot water heating with one appliance or energy source. The combination appliance circulates hot water from the water heater through a heat exchanger in the air handler. A blower will move the heated air through a standard duct system. In the summer, an air conditioner is connected to the exchanger and the system functions similarly, with cool air being pushed through the ductwork.

2) Scope:

- A. **Included Products**: Only products that meet the definition of a Residential Water Heater, as specified herein, are eligible for ENERGY STAR certification with exception of those products listed in Section 2B.
- B. **Excluded Products**:
 - a. Electric resistance water heaters,

³ 10 CFR Part 430, Subpart B, Appendix E

⁴ 10 CFR Part 429, Subpart B

- b. Add-on heat pump units,
- c. Products intended only for commercial applications,
- d. Combination space-heating and water-heating appliances.

3) Certification Criteria:

Note: All products to be sold in the U.S. are expected to be certified with a UEF rating, as Federally required. Definitions, criteria, and testing requirements that are specific to EF for electric and gas-fired water heaters are outlined in Appendix A of this document, for use of models sold only in Canada.

A. Product Performance Requirements for Electric Water Heaters:

Table 1: Criteria for Certified Electric Water Heaters

Criteria		ENERGY STAR Requirements
Uniform Energy Factor	Integrated HPWH	UEF ≥ 3.30
	Integrated HPWH, 120 Volt / 15 Amp Circuit	UEF ≥ 2.20
	Split-system HPWH	UEF ≥ 2.20
First-Hour Rating		FHR ≥ 45 gallons per hour
Warranty		Warranty ≥ 6 years on sealed system
Safety		UL 174 and UL 1995 or UL 60335-2-40
Lower Compressor Cut-Off Temperature (Reporting Requirement Only)		Report ambient temperature below which the compressor cuts off and electric resistance only operation begins

B. Product Performance Requirements for Gas-Fired Water Heaters:

a. Gas-Fired Storage Water Heaters:

Table 2: Criteria for Certified Gas-Fired Storage Water Heaters

Criteria		ENERGY STAR Requirements
Uniform Energy Factor	≤ 55 gallons	Medium Draw Pattern UEF ≥ 0.64 High Draw Pattern UEF ≥ 0.68
	> 55 gallons	Medium Draw Pattern UEF ≥ 0.78 High Draw Pattern UEF ≥ 0.80
First-Hour Rating		FHR ≥ 51 gallons per hour
Warranty		Warranty ≥ 6 years on system (including parts)
Safety		ANSI Z21.10.1/CSA 4.1

b. Gas-Fired Instantaneous Water Heaters:

Table 3: Criteria for Certified Gas-Fired Instantaneous Water Heaters

Criteria	ENERGY STAR Requirements
Uniform Energy Factor	UEF \geq 0.87
Maximum Gallons Per Minute	Max GPM \geq 2.8 over a 67°F rise
Warranty	Warranty \geq 6 years on heat exchanger and \geq 5 years on parts
Safety	ANSI Z21.10.3/CSA 4.3

c. Gas-Fired Storage Residential-duty Commercial Water Heaters:

Table 4: Criteria for Certified Gas-Fired Storage Residential-duty Commercial Water Heaters

Criteria	ENERGY STAR Requirements
Uniform Energy Factor	UEF \geq 0.80
Warranty	Warranty \geq 6 years on system
Safety	ANSI Z21.10.3/CSA 4.3

C. Product Performance Requirements for Solar Water Heaters:

Table 5: Criteria for Certified Solar Water Heaters

Criteria	ENERGY STAR Requirements
Solar Uniform Energy Factor	SUEF \geq 3.00 for electric backup SUEF \geq 1.80 for gas backup
Warranty	Warranty \geq 10 years on collector, \geq 6 years sealed system, \geq 2 years on controls, \geq 1 year on parts

4) Connected Product Criteria – Optional:

This section presents connected criteria for ENERGY STAR certified water heaters. Compliance with Section 4 criteria is optional. ENERGY STAR certified water heaters that comply with all Section 4 criteria will be identified on the ENERGY STAR website as having ‘Connected’ functionality. As for all ENERGY STAR products, these criteria define products which provide a combination of additional user functionality and grid services, as appropriate for the product type.

A. Definitions

- a. **Communication Link:** As shown in Figure 1, the mechanism for bi-directional data transfers between the Connected Water Heater Product and one or more external applications, devices or systems.
- b. **Connected Water Heater Product (CWHP):** As shown in Figure 1, includes the ENERGY STAR certified water heater, integrated or separate communications hardware, and additional hardware and software required to enable connected functionality.

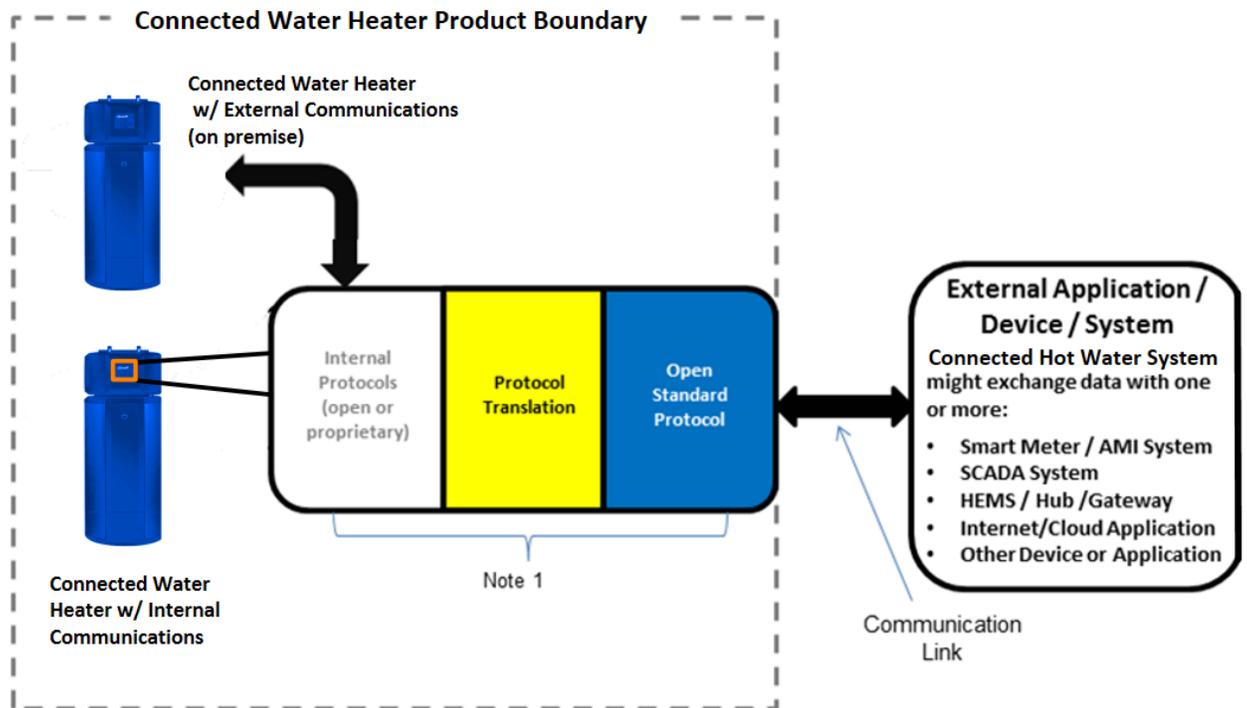


Figure 1: Connected Water Heater Product (CWHP)

Note 1: Communication device(s), link(s) and/or processing that enables Open Standards-based communication between the CWHP and external application / device / system(s). These elements, either individually or together, could be within the water heater/controller, and/or an external communication module, a hub/gateway, or in the Internet/cloud.

- c. **Consumer Authorized Third Party:** Any entity for which the consumer has provided explicit permission to access the CWHP connected functionality, in whole or in part, via a Communication Link. *Example: A consumer may allow a Home Energy Management System (HEMS) or a Demand Response Management System (DRMS) access to the CWHP connected functionality.*
- d. **Demand Response (DR):** Changes in electric or gas usage by end-use customers from their normal consumption patterns in response to changes in the price of electricity or gas over time, or to incentive payments designed to induce lower electricity or gas use at times of high wholesale market prices or when system reliability is jeopardized.⁵

⁵ Modified to apply to gas as well, based on Federal Energy Regulatory Commission, <https://www.ferc.gov/electric/industry-activity/demand-response/national-assessment-and-action-plan-demand-response>

- e. Demand Response Management System (DRMS): The system operated by a consumer authorized program administrator, such as the utility or third party, which dispatches signals with DR instructions and/or price signals to the CWHP products and receives messages from the CWHP product.
- f. Interface Specification: A document or collection of documents that contains detailed technical information to facilitate access to relevant data and product capabilities over a communications interface.
- g. Load Management Entity: Consumer authorized DRMS, home energy management system, or the like.
- h. Open Standards: Communication with entities outside the CWHP that use, for all communication layers, standards:
 - included in the Smart Grid Interoperability Panel (SGIP) Catalog of Standards,⁶ and/or
 - included in the NIST Smart Grid Framework Tables 4.1 and 4.2, and/or
 - adopted by the American National Standards Institute (ANSI) or another well-established international standards organization such as the International Organization for Standardization (ISO), International Electrotechnical Commission (IEC), International Telecommunication Union (ITU), Institute of Electrical and Electronics Engineers (IEEE) or Internet Engineering Task Force (IETF).⁶
- i. On-Premises: Refers to a function that relies only on equipment present at the physical installed location of the ENERGY STAR certified device/equipment.
- j. Load Shift: A load shift operation moves energy that would have been used by a device within a time interval under normal operating conditions, to occur outside that time interval. Load shifting can be performed by a combination of load up and curtailment requests.

B. Communications

- a. The CWHP Communication Link, in Figure 1, shall use Open Standards for all communication layers to enable functions listed in Sections 4B) and 4C).
- b. An Interface Control Document (ICD), Application Programming Interface (API), or other documentation shall be made available to interested parties that, at minimum, allows access to the functions listed in Sections 4B) and 4C).

C. Remote Management and Consumer Feedback

The CWHP shall provide the following functionality:

a. **Remote Management:**

The product shall be capable of receiving and responding to consumer authorized remote requests (not including third-party remote management which may be made available solely at the discretion of the manufacturer), via a communication link, similar to consumer controllable functions on the product.

- i. Higher energy mode settings shall be temporary: If a remote management signal puts the CWHP into a mode that uses more energy than the mode selected

⁶ <https://www.nist.gov/programs-projects/smart-grid-national-coordination/catalog-standards>

locally, the product shall revert to the locally set mode within 72 hours if no additional user input is received.

b. User Alerts:

The CWHP shall be capable of providing at least two types of messages relevant to optimizing its energy consumption, either:

- i. On the product (e.g. water heater and/or controller), and/or
- ii. Transmitted to consumers and consumer authorized third parties via a communication link. This link can include open standards protocols used for Demand Response or could use a secondary communication link.

For example, messages relevant to energy consumption for water heaters might address a fault condition, a reminder to descale heating elements, heat pump refrigerant charge, or a report of energy consumption that is outside the product's normal range

c. Energy Reporting:

The product shall be capable of transmitting measured or estimated instantaneous power draw in current conditions via a communication link to a Load Management Entity and other consumer authorized devices, services, or applications. Products compliant with the Demand Response criteria in Section 4C) meet this criterion through energy reporting there.

D. Demand Response (DR)

Gas-fired Instantaneous Water Heaters are exempt from this functionality and may be recognized as connected without meeting the criteria in this subsection. Solar water heaters are anticipated to only respond to demand response signals while using grid power.

a. DR Communications Protocols:

The CWHP shall meet the communication and equipment performance standards for CTA-2045 or OpenADR 2.0b (Virtual End Node), or both.

b. Override:

The product shall provide an easily accessible means for consumers to override demand response events during the event or ahead of time for a scheduled event, except for Grid Emergency/Off Mode events. When the event is overridden, the CPWH shall return to normal operation as set by the customer. Temporary overrides shall be limited to a duration up to 72 hours without additional user input; after this time, the CPWH will return to its previous operating mode.

c. Loss of connectivity:

A 'loss of connectivity' event is defined as 15 minutes without connection. The CWHP shall respond as follows:

- i. If a 'loss of connectivity' event occurs while processing a DR event with a set duration or end time, product may complete DR event as planned, returning to normal operation as set by the customer afterwards, or if over-ridden.
- ii. If a 'loss of connectivity' event occurs while processing a DR event without a set duration or end time, product will resume normal operation within 30 minutes.
- iii. If the CWHP is capable of storing and operating with a time of use schedule, the unit may continue operating on that schedule during a 'loss of connectivity' event.

d. **Minimum Load Shift:**

CWHP shall be capable of load shifting either:

- i. Basic Load Shift: 0.5 kWh or more via a combination of Basic Load Up and General Curtailment responses defined in 4)D.f. under the conditions defined in the ENERGY STAR Test Procedure for Water Heater Demand Response, or
- ii. Advanced Load Shift: 1.0 kWh or more via a combination of Advanced Load Up and General Curtailment responses defined in section 4)D.f. under the conditions as defined in the ENERGY STAR Test Procedure for Water Heater Demand Response.

Manufacturers shall report which load shift test was used for each model.

e. **DR Information and Messaging:**

The CWHP shall support the following upstream messaging from the device when available and may support the additional (optional) messaging capabilities. Support for these messaging signals is implemented via the open standards protocol used in the product. The required mapping for these events is described in *Appendix B*. While the required or optional functionality may vary based on product type and either protocol may be used, the messaging must be communicated via the specified protocol command within this appendix.

Data provided by below messaging functions shall be calculated from product state no older than 60 seconds from request.

Required Messaging I/O

- **Device Type** – Electric Resistance / Gas-fired Storage / Heat Pump.
- **Operational State** – Information on product running state, DR conditions operating on product, opt in/out state, and fault conditions. The following states will be able to be reported, as applicable to the chosen DR protocol:
 - **Idle Normal** – Water heater is not heating but is in a normal mode of operation.
 - **Running Normal** – Water heater is in a Normal Operating Mode and the water heater is presently heating (heat pump compressor or any heating elements are energized).
 - **Running Curtailed Grid** – Water heater is running in a grid service mode of operation and the water heater is presently heating (heat pump compressor or any heating elements are energized).
 - **Running Heightened Grid** – Water heater is processing a load up request and water is being heated.
 - **Idle Grid** – Water heater is in a grid service operational mode and the water heater is not heating water.
 - **Water Heater Error** – Device is malfunctioning. Recommended use: Failure of heat pump or element.
 - **Idle Heightened** – Water heater is processing a Load Up request and water is not being heated.
 - **Idle Opted Out** – Water heater is overridden has no/insignificant energy consumption.
 - **Running, Opted Out** – Water heater is overridden and is consuming energy.
- **Current Available Energy Storage Capacity** – The amount of grid energy that the end device can take now (kWh or therms). It is recognized that under some extraordinary circumstances, the Current Available Energy Storage could exceed

the Total. For example, if a water heater temperature has fallen well below the normal minimum regulation range.⁷

- **Power/Demand (Instantaneous)** – Measured or estimated power consumption in current conditions (kW, Btu/hr, or therms).

Optional Messaging I/O:

- **Energy Use** – Measured or estimated cumulative energy use of product (kWh or Btu, therms).
- **Current Total Energy Storage Capacity** – The total amount of grid energy storage that the end device represents. For example, the energy capacity of a water heater would be the total amount of energy (kWh or therms) supplied to move the tank from its minimum operating temperature (e.g. what it would allow itself to drop to during a curtailment event) to its maximum operating temperature (e.g. what it could run up to when asked to “Load Up” before shutting off).⁷

f. **DR Requests and Responses:**

The CWHP shall also support the required DR operational modes listed below and may support additional open standard defined DR signals. Support for these requests is implemented via the open standards protocol used in the product. The required mapping for these events is described in *Appendix B*. While the required or optional functionality may vary based on product type and either protocol may be used, the messaging must be communicated via the specified protocol command within this appendix.

Required Operational Mode Functionality:

Required Operational Mode Functionality			
Operational Mode Request	Required for which products	Expected use and consumer impact	Response
General Curtailment (Shed/Light Shed)	All product types	Daily, several hours long; minimal impact	Avoids using energy that the device otherwise would have used under normal operating conditions, up to allowing the stored thermal energy in the tank to reduce moderately. For Heat Pump Water Heaters with resistive elements, the water heater shall avoid use of electric resistance elements during and immediately after the event unless user needs cannot be met. ¹
Emergency Curtailment (Critical Curtailment/Deep Shed)	Electric storage and Solar ERWH	Daily, less than 1 hour; may be some consumer impact	Avoids using energy that the device otherwise would have used under normal operating conditions, up to allowing the stored thermal energy in the tank to deplete to a very low level, less than that for a General Curtailment request. For Heat Pump Water Heaters with resistive elements, this request would result in heat pump only operation during the request period. ¹
Grid Emergency (Off Mode/Full Shed)	Electric storage and Solar ERWH	Annually or less; consumer impact may be significant	Immediately, stop using energy for water heating when safe to do so. ¹

⁷ CTA-2045-A

Required Operational Mode Functionality			
Operational Mode Request	Required for which products	Expected use and consumer impact	Response
General Curtailment (Shed/Light Shed)	All product types	Daily, several hours long; minimal impact	Avoids using energy that the device otherwise would have used under normal operating conditions, up to allowing the stored thermal energy in the tank to reduce moderately. For Heat Pump Water Heaters with resistive elements, the water heater shall avoid use of electric resistance elements during and immediately after the event unless user needs cannot be met. ¹
Load Up: Basic or Advanced	Basic: All product types Advanced: Optional	Daily, several hours long	Use and/or store additional thermal energy that device otherwise would not have used/stored under normal operation. Allows the stored thermal energy to increase, within safety parameters as determined by the manufacturer up to user set point for Basic Load Up. For Advanced Load Up, the device may exceed user set point. ² For heat pump water heaters with resistive heating elements, the use of the elements should be avoided as much as possible to satisfy this request. ¹
Return to Normal Operation	All product types	Daily	In the event an ongoing event is canceled for any reason, the product shall return to normal operation. ¹

1. For all commands both immediate events and events scheduled in advance will be supported.
2. **Advanced Load Up** response is anticipated to be used on installations with a mixing valve, and is anticipated to require a user action to enable this request for the first time.

Optional Operational Mode Functionality:

Optional Operational Mode Functionality		
Operational Mode Request	Required for which products	Response
Set Point Adjustment	Optional	Adjusts product thermostat set point up or down if safe to do so.
Relative Price Signal(s)	Optional	Communicates information to endpoint on current energy cost and upcoming changes, to allow consumer configuration of when grid energy should be used and when it should be curtailed if possible.

E. Additional Information for Consumers

- a. If additional modules, devices, services, and/or supporting infrastructure are required in order to activate the CWHP’s communications capabilities, installation instructions and a list of these requirements shall be made available at the point of purchase and prominently displayed in the product literature. It is also suggested that information be provided on the product packaging and on the product. These instructions shall provide specific information on what must be done to activate these capabilities (e.g. a product package or product label might briefly state, “This product has Wi-Fi capability and requires Internet connectivity and a wireless router to enable interconnection with external devices, systems or applications.”).

5) Test Requirements:

- A. One of the following sampling plans shall be used to test energy performance for qualification to ENERGY STAR:
 - a. A single unit is selected, obtained, and tested. The measured performance of this unit and of each subsequent unit manufactured must be equal to or better than the ENERGY STAR specification requirements. Results of the tested unit may be used to certify additional individual model variations within a basic model as long as the definition for basic model provided in Section 1, above, is met; or
 - b. Units are selected for testing and results are calculated according to the sampling requirements defined in 10 CFR Part 429, Subpart B §429.17. The certified rating must be equal to or better than the ENERGY STAR specification requirements. Results of the tested unit may be used to certify additional variations within a basic model as long as the definition for basic model provided in Section 1, above, is met. Further, all individual models within a basic model must have the same certified rating based on the applicable sampling criteria. This rating must be used for all manufacturer literature, the qualified products list, and certification of compliance to DOE standards.
- B. When testing residential water heaters, the following test methods shall be used to determine ENERGY STAR certification:

Table 6: Test Methods for ENERGY STAR Certification

Applicable Products	ENERGY STAR Requirement	Test Method Reference
Gas and Electric products (not including gas-fired storage residential-duty commercial water heaters); FHR is applicable to storage products and Maximum GPM is applicable to instantaneous products.	Uniform Energy Factor (UEF)	10 CFR Part 430, Subpart B, Appendix E*
	First Hour Rating (FHR)	
	Maximum GPM Rating	
Gas-fired Storage Residential-duty Commercial products	Uniform Energy Factor (UEF)	10 CFR Part 431, Subpart G
Whole-home solar units	Solar Universal Energy Factor (SUEF)	ICC 900/SRCC 300-2020 Solar Thermal System Standard, Appendix A: Solar Uniform Energy Factor Procedure for Solar Water Heating Systems
Connected Products	Demand Response	Test Method to Validate Demand Response

* Includes any applicable guidance that DOE has issued regarding the testing of these products (See <http://www1.eere.energy.gov/guidance/default.aspx?pid=2&spid=1>).

C. Compliance with Connected Criteria

- a. Aside from demand response functionality, compliance with connected criteria, as specified in Section 0, shall be through examination of product and/or product documentation.

D. Significant Digits and Rounding:

- a. All calculations shall be carried out with actual measured (unrounded) values. Only the final result of a calculation shall be rounded.
- b. Unless otherwise noted in this section, compliance with specification limits shall be evaluated using exact values without any benefit from rounding.
- c. Reporting on the ENERGY STAR website shall be performed using calculation results or measured values that are rounded to the nearest unit in the last right-hand digit as specified in the corresponding specification requirement below.

6) Effective Date:

The ENERGY STAR Residential Water Heaters specification shall take effect on **January 5, 2022**. To qualify for ENERGY STAR, a product model shall meet the ENERGY STAR specification in effect on the model's date of manufacture. The date of manufacture is specific to each unit and is the date on which a unit is considered to be completely assembled.

7) Future Specification Revisions:

EPA reserves the right to change the specification should technological and/or market changes affect its usefulness to consumers, industry, or the environment. In keeping with current policy, revisions to the specification are arrived at through industry discussions. In the event of a specification revision, please note that the ENERGY STAR certification is not automatically granted for the life of a product model.

- A. The Federal minimum efficiency standards are based on the unit volume, reflecting the influence of design elements on efficiency. However, since ENERGY STAR levels are not, comparison between them is challenging. EPA may consider restructuring this specification to include similar metrics that are dependent on volume and categorized further by draw pattern. This may include a distinct level for low draw pattern units in the future.
- B. EPA is also in discussion with the Northwest Energy Efficiency Alliance on their Advanced Water Heating Specification and with the Advanced Water Heating Initiative on the West Coast, seeking to harmonize specifications as much as possible in the future. This may include adding reporting or performance requirements similar to those in the other specifications.
- C. EPA is monitoring the savings potential and consumer payback offered by ENERGY STAR gas storage and gas instantaneous water heaters. If more significant energy savings at a lower initial investment do not materialize, EPA will consider sunsetting those product categories.

Appendix A – Eligibility Requirements in terms of Energy Factor

Appendix A contains the definitions, product performance criteria, and test requirements applicable to water heaters certifying using EF, which, by appearing in Appendix A, supersede those in the rest of the specification. Aside from those appearing in Appendix A, all definitions, criteria, and test requirements in the specification above apply to water heaters certified via EF.

Note: Gas water heaters sold exclusively in Canada may still certify by meeting the EF criteria outlined below. Gas water heaters sold in both the U.S. and Canada shall certify by meeting the UEF criteria contained in the body of this specification but may optionally report EF criteria.

1) Definitions: Below are the definitions relevant to the EF test method.

- A. Residential Water Heater (Consumer Water Heater): A product that utilizes gas, electricity, or solar thermal energy to heat potable water for use outside the heater upon demand, including:
- a. Storage type units designed to heat and store water at a thermostatically-controlled temperature of less than 180 °F, including: gas storage-type water heaters with a nominal input of 75,000 British thermal units (Btu) per hour or less and having a rated storage capacity of not less than 20 gallons nor more than 100 gallons; electric heat pump type units with a maximum current rating of 24 amperes at an input voltage 250 volts or less, and, if the tank is supplied, having a manufacturer's rated storage capacity of 120 gallons or less.⁸
 - b. Instantaneous (or "tankless") type units which initiate heating based on sensing water flow and deliver water at a controlled temperature of less than 180 °F, heat water, but contain no more than one gallon of water per 4,000 Btu per hour of input with an input capacity greater than 50,000 Btu per hour but less than 200,000 Btu per hour.^{8,9}
 - c. Solar water heaters include a collector and storage tank, and use the sun's energy to heat water using one of the five basic types of solar water heating systems:
 - i. forced circulation (includes both direct and indirect systems),
 - ii. integrated collector and storage,
 - iii. thermosiphon,
 - iv. self-pumped, or
 - v. photovoltaic (PV).
 - d. Add-on Heat Pump Units are air to water heat pumps designed for use with a storage-type water heater or a storage tank that is not specified or supplied by the manufacturer.
 - e. Light Duty EPACT covered gas water heaters heat and store water at a thermostatically-controlled temperature, with an input rate >75,000 Btu per hour and ≤100,000 Btu per hour, and storage volume between 20 and 100 gallons.
- B. Energy Factor¹⁰: Energy Factor (EF), a measure of water heater overall efficiency, is the ratio of useful energy output from the water heater to the total amount of energy delivered to the water heater.
- C. First-Hour Rating⁸: The First-Hour Rating (FHR) is an estimate of the maximum volume of hot water in gallons that a storage water heater can supply within an hour that begins with the water heater fully heated

⁸ 10 CFR Part 430, Subpart B, Appendix E. Revised as of January 1, 2014.

⁹ 10 CFR Part 430, Subpart A, § 430.2 Definitions. Revised as of January 1, 2014.

¹⁰ Based on definition in 10 CFR Part 430, Subpart B, Appendix E. Revised as of January 1, 2014.

- D. Gallons per Minute¹¹: Gallons per Minute (“GPM”) is the amount of gallons per minute of hot water that can be supplied by an instantaneous water heater while maintaining a nominal temperature rise of 77°F during steady state operation.
- E. Thermal Efficiency¹²: Thermal efficiency (TE) is the ratio of the heat transferred to the water flowing through the water heater to the amount of energy consumed by the water heater.
- F. Standby Loss¹²: Standby Loss (SL) means the average hourly energy required to maintain the stored water temperature.

3) Certification Criteria:

Note: Below are the product performance requirements for gas water heaters certifying using EF.

B. Product Performance Requirements for Gas Water Heaters:

d. Gas Storage-Type Water Heaters:

Table 2A: Criteria for Certified Gas Storage-Type Water Heaters

Criteria		ENERGY STAR Requirements
Energy Factor	≤ 55 gallons	EF ≥ 0.67
	> 55 gallons	EF ≥ 0.77
First-Hour Rating		FHR ≥ 67 gallons per hour
Warranty		Warranty ≥ 6 years on system (including parts)
Safety		ANSI Z21.10.1/CSA 4.1

e. Gas Instantaneous Water Heaters:

Table 3A: Criteria for Certified Gas Instantaneous Water Heaters

Criteria	ENERGY STAR Requirements
Energy Factor	EF ≥ 0.90
Gallons Per Minute	GPM ≥ 2.5 over a 77°F rise
Warranty	Warranty ≥ 6 years on heat exchanger and ≥ 5 years on parts
Safety	ANSI Z21.10.3/CSA 4.3

f. Light Duty EPACT covered Gas Water Heaters:

¹¹ 10 CFR Part 430, Subpart B, Appendix E. Revised as of January 1, 2014.

¹² 10 CFR Part 431, Subpart G. Revised as of January 1, 2014.

Table 4A: Criteria for Certified Light Duty EPACT covered Gas Water Heaters

Criteria	ENERGY STAR Requirements
Thermal Efficiency	TE ≥ 0.90
Standby Loss	Standby loss ≤ 1889 Btu/h ×(TE–0.73)
Warranty	Warranty ≥ 6 years on system
Safety	ANSI Z21.10.3/CSA 4.3

5) Test Methods:

Note: Below are the test methods for water heaters certifying using EF.

- A. When testing residential water heaters, the following test methods shall be used to determine ENERGY STAR certification:

Table 6A: Test Methods for ENERGY STAR Certification

Applicable Products	ENERGY STAR Requirement	Test Method Reference
Gas units; FHR only for storage units, GPM only for instantaneous units.	Energy Factor	10 CFR Part 430, Subpart B, Appendix E* Revised as of January 1, 2014**
	First-Hour Rating (FHR)	
	Gallons per minute (GPM)	
Light Duty EPACT covered gas water heaters	Thermal Efficiency	10 CFR Part 431, Subpart G Revised as of January 1, 2014**
	Standby Loss	

* Includes any applicable guidance that DOE has issued regarding the testing of these products (See <http://www1.eere.energy.gov/guidance/default.aspx?pid=2&spid=1>).

Note on recovery efficiency: Guidance includes that for thermostatically-controlled water heaters that do not initiate and complete a recovery cycle prior to the start of the second draw of the simulated-use test, the recovery efficiency shall be determined as specified in Section 11.2 of ASHRAE 118.2.

**Refer to the 10 CFR parts 200 to 499 edition revised as of January 1, 2014. An abbreviated version of this reference, titled “*Historical Water Heaters Test Method*” can be found on the ENERGY STAR Water Heaters for [Partners webpage](#).

Appendix B – Demand Response Message Mapping

Table 7: Normative DR Message Mapping

Category	Subtype	Demand Response Messaging	Response Result	ANSI/CTA (2045-A)	OpenADR (2.0b)
Basic Signals	Curtailment	General Curtailment	Reduce load (moderate)	Shed ¹³	oadrDistributeEvent: SIMPLE level 1. ¹⁴
		Emergency Curtailment	Reduce load (major)	Critical Peak Event ¹³	oadrDistributeEvent: SIMPLE level 2. ¹⁴
		Grid Emergency	Turn off (if possible)	Grid Emergency ¹³	oadrDistributeEvent: SIMPLE level 3. ¹⁴
	Load Up	Load Up	Use more energy (if possible)	Load Up ¹³	oadrDistributeEvent: NEAR / FAR flag. CHARGE STATE, LOAD_DISPATCH. ¹⁴
	Run Normal	Return to Normal Operation	Return to defaults	End Shed / Run Normal ¹³	oadrDistributeEvent: CANCELLED. ¹⁴
Advanced Signals	Device State	Set Point Adjustment	Adjust water setpoint (if possible)	Get / Set SetPoint ¹⁵ [Section 9.1.6]	oadrDistributeEvent: LOAD_CONTROL. ¹⁴
	Real Time / Device Logic	Real Time System Load	Use / do not use energy when appropriate (follow programming)	Request for Power Level ¹⁵ [Section 8.2.1]	
		Utility Peak Load Price Signal		Present Relative Price ¹⁵ , [Section 9.1.3]	oadrDistributeEvent: ELECTRICITY_PRICE ¹⁴
		Excess Capacity(DER)		Grid Guidance ¹³	
Device Properties & Enrollment	Opt Out	Consumer Override	Skip response to event within opt out	Customer Override Message, in response to Operational State Query or load reduction request ¹³	oadrCreateOpt: device sends upstream opt message ¹⁶
	Dev. Info	Device Information	Indicates all mandatory product information	Info Request ¹⁵ [Section 9.1.1]	Ei:eiTargetType (endDeviceAsset)
	Status	State Reporting Requirements	Provide state information to requestor	Operational State Query ¹³ [Section 8.2.4] (see Table 8)	EiReport. oadrPayloadResource Status (see Table 8 and 9)
	Hardware	Hardware Requirements	Design of product & comms.	DC or AC Form Factor ¹⁷	

¹³ CTA-2045-A: Table 8-2

¹⁴ Section 8.1, OpenADR 2.0b EiEvent Service; Figures 4 & 5, EiEvent Patterns; Section 8.2.2, OpenADR 2.0b Signal Definitions; Table 1, Signals

¹⁵ CTA-2045-A: Table 9-2

¹⁶ Section 8.5, OpenADR 2.0b EiOpt Service; Figure 17, Interaction Diagram: Create Opt

¹⁷ CTA-2045-A, Appendix A & Appendix B

Device Energy	Energy	Power (Instantaneous)	Demand of product (W)	GetCommodity Read, code 0	oadrPayloadResource Status: energyReal
		Energy (Cumulative)	Energy used by product (kWh)	GetCommodity Read, code 0	oadrPayloadResource Status: energyReal
	Storage	Current Energy Storage Capacity	Available energy storage (Wh)	GetCommodity Read, Code 7	oadrPayloadResource Status: oadrCapacity: oadrCurrent
		Total Energy Storage Capacity	Energy storage under ideal conditions (Wh)	GetCommodity Read, Code 6	oadrPayloadResource Status: oadrCapacity: oadrNormal

Table 8: Operational State Codes

Op State Code	Name
0	Idle Normal
1	Running Normal
2	Running Curtailed Grid
3	Running Heightened Grid
4	Idle Grid
5	Water Heater Error
6	Idle Heightened
11	Idle, Opted Out
12	Running, Opted Out

Table 9: OpenADR 2.0b Operational State Reporting¹⁸

OpenADR 2.0b EiReport Service			
REQ	Report Name	x-CTA2045_Status	
M1.1	Report Structure	Status	Interval
	rID	OperationalState	1-min
	Report Type	Reading	
	Reading Type	Direct Read	
	Units	customUnit	
ANSI/CTA-2045-A Message			
Message		Operational State Query Response	
Element Mapped to rID		Opcode 2 of Basic 0x13	

¹⁸ Electric Power Research Institute, Communication Protocol Mapping Guide 1.0, OpenADR 2.0 to ANSI/CTA-2045-A, Table 2-3 Measurement and Reporting Mapping Requirements

Appendix C (Informational) – Demand Response Use cases

a. Peak Load Reduction: Curtailment and Emergency Curtailment

- i. Includes protocols for both advance notice and scheduled peak shed (reduction), and emergency curtailment programs.
- ii. Utility implementation may vary regionally but would be accessed via the open standards application layer specification for **General Curtailment**, **Emergency Curtailment**, and **Off Mode** in the relevant standard. See *Informational Appendix B* for messaging examples in common protocols.
- iii. Implementation could include downward adjustment of set points via application layer **Set Point Adjustment**. No requirements set on this parameter.

b. Spinning Reserves: Short Term Curtailment and (Simple) Load Up

- iv. Includes protocols for short term curtailment and load up. Utility implementation may vary regionally but would be accessed via the open standards application layer specification for **General Curtailment** and **Load Up** in the relevant standard. See *Informational Appendix B* for messaging examples in common protocols.
- v. Implementation could include application layer **Set Point Adjustment** downward. No requirements set on this parameter.

c. Thermal Storage

- vi. Includes routines which can incorporate tank stratification strategies and set point adjustment up to on-site maximum allowed tank temperature during load up (ramp) event. This storage is then used to reduce energy usage during a targeted future time period.
- vii. Utility implementation may vary regionally but would be accessed via the open standards application layer specification for **Set Point Adjustment** and **Load Up** in the relevant standard. See *Informational Appendix B* for messaging examples in common protocols.
- viii. Manufacturer strategies may include analysis of **Utility Peak Load Price Signal** and **Excess (DER) Capacity** signals to assist in identifying times where Thermal Storage should be initiated by the product.

Note: Impact of thermal storage strategies varies by tank capacity and installation circumstances.

d. Fast Response: Frequency Balancing

- ix. Fast response routines, where <10 second response intervals are used to frequency balance sections of an operator's grid, are still under active development. Additional research and more widespread adoption would be necessary prior to including this protocol in the standard DR suite for CWHP's.
- x. Utility implementation would require communication with the CWHP, providing **Real Time System Load** signals to the application layer of the product.

Note: Fast response operational modes require relay technology capable of a large number of switching cycles, which typically require upgraded contactor terminals.