

Compliance and Certification Management System (CCMS)

Step-by-Step Guide



The following steps apply to users of the system:

- Register for a user account via [New User Registration](#)
- If applicable, authorize any third party organization submitting on your behalf via the appropriate [Authorization Form for Third Party Representation](#)
- Download the appropriate CCMS-approved Certification Report template via the CCMS Website – [Product Templates](#)
- Once the report is completed and the overall status displays as **OK**, login to **CCMS** and upload the report via **New Submission**
- Report all existing and new models, discontinuations and corrections via CCMS

- All first-time users must first register then request login access to CCMS.
- **Manufacturers** and **Third-party Representatives** can select the appropriate form from [Registration and Authorization Forms](#).

Home

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Compliance Certification Management System (CCMS)

Login to CCMS

Product Templates

Registration and Authorization Forms

Help

Instructions and Manufacturer Codes for Submitting Supplemental Testing Instructions

Welcome to the Compliance Certification Management System (CCMS), managed by the DOE Appliance Standards Program.

CCMS is the on-line interface through which manufacturers of covered products and commercial equipment must electronically submit compliance and certification information to DOE. This on-line system permits manufacturers to create, submit and manage certification reports using product or equipment specific templates. All templates include the compliance statement and certification report on an easy-to-use Microsoft Excel spreadsheet. CCMS will automatically record the date and time of your submission and forward it to the appropriate office in the Building Technologies Program.

- Download and complete the appropriate form
- Submit the form to <https://www.regulations.doe.gov/ccms/contact-us>
- After you receive the email confirmation that your registration form has been accepted, you will receive an email from Technical Support to set your password. If you have questions contact the CCMS Administrator –
Phone +1-505-663-1302

New User Registration

- [Consumer Products and Commercial and Industrial Equipment CCMS User Registration Form for a Manufacturer or an Importer](#)
- [Consumer Products and Commercial and Industrial Equipment CCMS User Registration Form for a Third-Party Representative](#)

Authorization Form for Third-Party Representation

- [Consumer Products and Commercial and Industrial Equipment Third-Party Authorization Form](#)

How to Submit your Forms

- Scan and upload a signed copy at [Contacts](#)

Third-Party Representation Authorization

Manufacturers wishing to grant authorization to a Third Party to submit information into CCMS on their behalf must complete, sign and email the appropriate form.

- Download and complete the appropriate form
- Submit the form to <https://www.regulations.doe.gov/contact-us> After you receive the email confirmation that your registration form has been accepted, you will receive an email from Technical Support with instructions for setting your password. If you have questions contact the CCMS Administrator –
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New User Registration

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Authorization Form for Third-Party Representation

- [Consumer Products and Commercial and Industrial Equipment Third-Party Authorization Form](#)

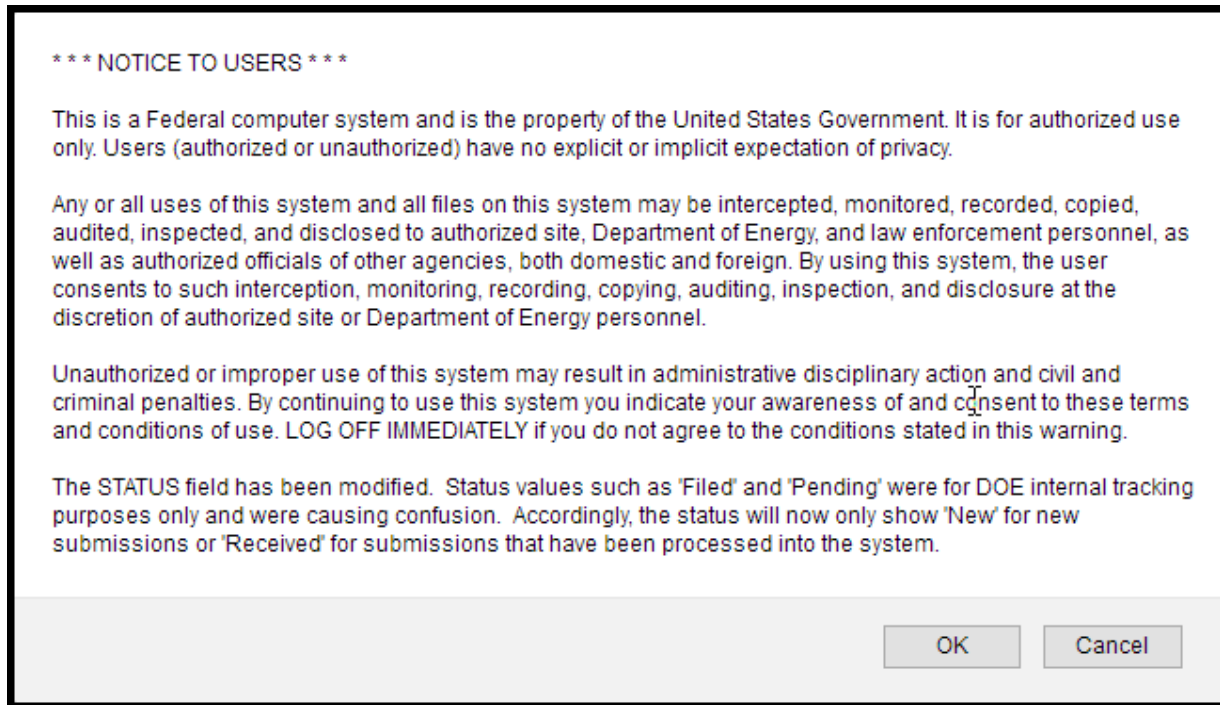
How to Submit your Forms

- Scan and upload a signed copy at [Contacts](#)

Once you have registered and have your Username and Password. You may **Login to CCMS**

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eeCompass	
Compliance Certification Management System (CCMS)	
Login to CCMS	
Product Templates	
Registration and Authorization Forms	
Help	
Instructions and Manufacturer Codes for Submitting Supplemental Testing Instructions	

- Read the Department of Energy (DOE) NOTICE TO USERS
- Click **OK** if you agree to the conditions stated in the warning



- Enter your **Username** and **Password**
- Login

CCMS Login

Please Login To Your Account

Username

Password

Log in

[Forgot Password](#) | [Change Password](#)

Download Templates

Click **Product Templates** to display a list of current templates available for download

Home

eeCompass

Compliance Certification Management System
(CCMS)

Login to CCMS

Product Templates

Registration and Authorization Forms

Help

Instructions and Manufacturer Codes for
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Download Templates

Manufacturers, including importers, must use the product-specific templates to certify compliance to the U.S. Department of Energy prior to distributing a basic model to commerce in the United States and annually thereafter. These templates must then be submitted electronically to the Department through the [Compliance Certification Management System](#).

The templates listed below are for submissions of 100 models or fewer. Templates for submissions of up to 1,000 models are available [on request](#).

The templates listed below are for models covered by current reporting requirements and test procedures. Templates for models covered by prior requirements or procedures are available [on request](#).

Instructions for completing the templates can be found here:

- [Instructions for CCMS Reporting Certification & Templates V5](#)
- [Instructions for CCMS Reporting Certification & Templates V5, Electric Motors](#)

Note: All of the information in the product-specific templates is a reflection of the certification and compliance information that is required to be submitted pursuant to Part 429. It is mandatory that you complete the compliance statement embedded in each product-template before uploading it to CCMS.

Product Specific Certification on Regulations (10 CFR, linked to e-cfr)	CCMS Template Description and Current Version Number	Initial Certification Required By:	Annual Certification Required By (10 CFR 429.12(d))*:	Latest CCMS Template Revision Must be Used By**:
§429.14	Residential Refrigerators, Refrigerator-Freezers and Freezers, v5.0	Before Distribution in Commerce for New Basic Models	Aug 1st	Mar 5, 2018
§429.15	Room Air Conditioners, v5.0	Before Distribution in Commerce for New Basic Models	Jul 1st	Mar 5, 2018

- Choose a product type from the list
- Click on the template link
- Save the Excel file to the preferred location on your local drive

Complete all necessary information on the **Certification** tab

OMB Control Number: 1910-1400 (Expiration Date: November 30, 2017) Version 5.0
 DOE F 220.80

Product Type: **Multi-Split System Central Air Conditioners and Heat Pumps** Status of This Certification Sheet **No Data**

Overall Status of Template **No Data**

[Click here for instructions for completing this form](#)

Each Importer and U.S. Manufacturer is legally required to **certify** the compliance of the products it imports, produces, assembles or manufactures. This party is the "**Certifier**" on this form. This certification may be **submitted** by the Importer or U.S. manufacturer or by a Third Party Representative. This party is the "**Submitter**" on this form.

<p><u>Certifier - Party Legally Obligated to Certify Compliance</u></p> <p>The party responsible for certification is (select one only):</p> <div style="border: 1px solid black; background-color: yellow; padding: 5px;"> <input type="radio"/> a U.S. Manufacturer Please enter required data </div> <div style="border: 1px solid black; background-color: yellow; padding: 5px;"> <input type="radio"/> an Importer </div> <p>Certifier Contact Information</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Full Legal Name of Individual</td> <td style="width: 40%; border: 1px solid black; background-color: yellow;"></td> <td style="width: 30%;">Please enter required data</td> </tr> <tr> <td>Full Legal Name of Company</td> <td style="border: 1px solid black; background-color: yellow;"></td> <td>Please enter required data</td> </tr> <tr> <td>Complete Company Mailing Address</td> <td style="border: 1px solid black; background-color: yellow;"></td> <td>Please enter required data</td> </tr> <tr> <td>Phone Number</td> <td style="border: 1px solid black; background-color: yellow;"></td> <td>Please enter required data</td> </tr> <tr> <td>Email Address</td> <td style="border: 1px solid black; background-color: yellow;"></td> <td>Please enter required data</td> </tr> </table>	Full Legal Name of Individual		Please enter required data	Full Legal Name of Company		Please enter required data	Complete Company Mailing Address		Please enter required data	Phone Number		Please enter required data	Email Address		Please enter required data	<p><u>Submitter - Party Submitting This Report</u></p> <p>The party submitting this report is (select one only):</p> <div style="border: 1px solid black; background-color: yellow; padding: 5px;"> <input type="radio"/> the Certifier (do not complete the Third Party Representative Contact Information below) Please enter required data </div> <div style="border: 1px solid black; background-color: yellow; padding: 5px;"> <input type="radio"/> a Third Party Representative (you must have valid Third Party Authorization forms on file with the Department of Energy) </div> <p>Third Party Representative Contact Information, if Applicable</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Full Legal Name of Individual</td> <td style="width: 40%; border: 1px solid black; background-color: yellow;"></td> <td style="width: 30%;">Please enter required data</td> </tr> <tr> <td>Full Legal Name of Company</td> <td style="border: 1px solid black; background-color: yellow;"></td> <td>Please enter required data</td> </tr> <tr> <td>Complete Company Mailing Address</td> <td style="border: 1px solid black; background-color: yellow;"></td> <td>Please enter required data</td> </tr> <tr> <td>Phone Number</td> <td style="border: 1px solid black; background-color: yellow;"></td> <td>Please enter required data</td> </tr> <tr> <td>Email Address</td> <td style="border: 1px solid black; background-color: yellow;"></td> <td>Please enter required data</td> </tr> </table>	Full Legal Name of Individual		Please enter required data	Full Legal Name of Company		Please enter required data	Complete Company Mailing Address		Please enter required data	Phone Number		Please enter required data	Email Address		Please enter required data
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Certification | Input | Product Group Codes | ◀ ▶

Insert product information by clicking the **Input** tab

Multi-Split System Central Air Conditioners and Heat Pumps
Version 5.0

Status of This Input Sheet: **No Data**

Overall Status of Template: **No Data**

[Click here for instructions for completing this form](#)

Certification Report

- Please enter your data in the columns shaded in gray below, **using a separate line for each model.**
- Click on the column heading for instructions on how to complete cells in that column.
- Cells highlighted in yellow indicate an "Error." "Error" means that information is missing or there is an issue with the entry.
- If the "Status" for a row is "Error," you can see an explanation in the columns to the right of the Status column.
- Reports submitted with errors cannot be processed and will be returned for resubmission.

If you are resubmitting a specific combination, you must enter data for the Indoor Units and Air Movers in the exact same order as in the original submission

Line No.	Status	Manufacturer (Outdoor Unit)	Brand Name (Outdoor Unit)	Basic Model Number (Number Unique to the Basic Model)	Individual Model Number Covered by Basic Model (Outdoor Unit)	Indoor Unit 1				Air Mover 1, If Applicable			Indoor Unit 2, If App	
						Manufacturer	Brand(s)	Individual Model Number	Type, If Applicable	Manufacturer	Brand(s)	Individual Model Number	Manufacturer	Brand
1														
2														
3														
4														
5														
6														
7														
8														

Certification
Input
Product Group Codes

NOTE: You can copy and paste data from another source, but avoid dragging and dropping text from within the template.

Template

- Overall Status tells you if your form has been filled out completely. If all fields have been properly completed, you are given an “OK” status.
- Save your file to a local drive on your computer and prepare to upload the report to CCMS

OMB Control Number: 1910-1400 (Expiration Date: November 30, 2017) DOE F 220.80		Version 5.0																					
Product Type: Multi-Split System Central Air Conditioners and Heat Pumps		Status of This Certification Sheet	OK																				
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<p>Certifier Contact Information</p> <table border="1"> <tr><td>Full Legal Name of Individual</td><td>John Doe</td></tr> <tr><td>Full Legal Name of Company</td><td>ABC</td></tr> <tr><td>Complete Company Mailing Address</td><td>123 Street</td></tr> <tr><td>Phone Number</td><td>555-555-5555</td></tr> <tr><td>Email Address</td><td>someone@dot.com</td></tr> </table>		Full Legal Name of Individual	John Doe	Full Legal Name of Company	ABC	Complete Company Mailing Address	123 Street	Phone Number	555-555-5555	Email Address	someone@dot.com	<p>Third Party Representative Contact Information, if Applicable</p> <table border="1"> <tr><td>Full Legal Name of Individual</td><td></td></tr> <tr><td>Full Legal Name of Company</td><td></td></tr> <tr><td>Complete Company Mailing Address</td><td></td></tr> <tr><td>Phone Number</td><td></td></tr> <tr><td>Email Address</td><td></td></tr> </table>		Full Legal Name of Individual		Full Legal Name of Company		Complete Company Mailing Address		Phone Number		Email Address	
Full Legal Name of Individual	John Doe																						
Full Legal Name of Company	ABC																						
Complete Company Mailing Address	123 Street																						
Phone Number	555-555-5555																						
Email Address	someone@dot.com																						
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To submit a report, choose **New Submission**

The screenshot shows the top navigation bar of the CCMS application. On the left, it displays the U.S. Department of Energy logo and the text 'Energy Efficiency & Renewable Energy' and 'APPLIANCE & EQUIPMENT STANDARDS PROGRAM | CCMS'. In the center, the 'New submission' button is highlighted with a red box. To its right are the 'Submissions' dropdown menu and the user login 'Logged in as Elizabeth'. On the far right, there is a search box labeled 'Go to Submission...'. Below the navigation bar, the main content area is titled 'RECEIVED SUBMISSIONS' and includes a 'Help' link. At the bottom of the content area, there is a link for '^ My open tickets'.

Create Submission – Submit Report – Manufacturer/Importer

- Type in **Subject** (for example, ABC Dishwasher Report 9-9-10)
- Choose the appropriate **Correspondence Record Type** from the drop down list
- Choose the **Product Type** from the drop down list
- Browse your local drive, choose the completed CCMS approved template and click **Open** to upload
- Enter any necessary information in the **Comment** entry box

The screenshot shows a web form for creating a submission. At the top, the queue is set to "EE Compliance". The "Requestors" field contains "edekarske@doxcelerate.com". The "Subject" field is empty. Below the subject field are two dropdown menus: "Correspondence Record Type" and "Product Type". The "Correspondence Record Type" dropdown is open, showing options: "(no value)", "Registration Form", "Compliance/Certification Report Submission", "Supplemental Testing Instructions", and "Other". The "Product Type" dropdown is also open, showing options: "(no value)", "Automatic Commercial Ice Makers", "Battery Chargers", "Beverage Vending Machines", "Candelabra and Intermediate Base Incandescent Lamps", and "Other". Below these dropdowns is a "Templates" section with the text "Always use the current CCMS-approved templates for your product." and an "Attach:" section with a "Choose File" button, "No file chosen" text, and an "Add More Files" button. At the bottom is a large text area labeled "Describe the issue below:" with a "body" label. A yellow banner at the bottom of the form contains the text "I am aware of the provisions contained in 18 U.S.C. 1001, which prohibits knowingly making false statements to the Federal Government." and a "Create submission" button. Red arrows point to the "Requestors", "Subject", "Correspondence Record Type", and "Product Type" fields.

Create Submission – Submit Report – Manufacturer/Importer

- As a Manufacturer/Importer, for Compliance/Certification Report Submissions only, you may send copies of the attachment in your submission to CCs that you enter. To do so, select 'Send to CC'. If you select 'Do Not Send' or don't make a selection, the CC will only receive a confirmation email.

Queue: EE Compliance

Requestors: edekarske@doxcelerate.com

Cc:

Subject:

Correspondence Record Type
Select one value

- (no value)
- Registration Form
- Compliance/Certification Report Submission
- Supplemental Testing Instructions
- Other

Product Type
Select one value

- (no value)
- Automatic Commercial Ice Makers
- Battery Chargers
- Beverage Vending Machines
- Candelabra and Intermediate Base Incandescent Lamps
- Other

Input must match [Mandatory]

Send Attachments on CCs for Compliance/Certification Submissions?
Select one value

- (no value)
- Compliance/Certification Report Submission
- Do Not Send
- Send to CCs

Templates: Always use the current CCMS-approved templates for your product.

Attach: No file chosen

Describe the issue below:

body

I am aware of the provisions contained in 18 U.S.C. 1001, which prohibits knowingly making false statements to the Federal Government.

Create Submission – Submit Report – Third Party

- Type in **Subject** (for example, ABC Dishwasher Report 9-9-10)
- Choose the appropriate **Correspondence Record Type** from the drop down list
- Choose the **Product Type** from the drop down list
- Browse your local drive, choose the completed CCMS approved template and click **Open** to upload
- If you are a Third Party Representative, you would select the **Certifier** you represent from the listing below.
- Enter any necessary information in the **Comment** entry box

The screenshot shows a web form for creating a submission. At the top, it displays 'Queue: EE Compliance' and 'Requestors: edekarske@doxcelerate.com'. Below this are input fields for 'Cc:' and 'Subject:'. The 'Correspondence Record Type' dropdown menu is open, showing options: '(no value)', 'Registration Form', 'Compliance/Certification Report Submission', 'Supplemental Testing Instructions', and 'Other'. The 'Product Type' dropdown menu is also open, showing options: '(no value)', 'Automatic Commercial Ice Makers', 'Battery Chargers', 'Beverage Vending Machines', and 'Candelabra and Intermediate Base Incandescent Lamps'. To the right, the 'Certifier' dropdown menu is open, showing options: '(no value)', '1st Instruments Inc.', '360 Electrical, LLC', '3M Company', and '3M, Personal Safety Division'. Below these dropdowns is an 'Attach:' section with a 'Choose File' button, 'No file chosen' text, and an 'Add More Files' button. A large text area labeled 'Describe the issue below:' is at the bottom. At the very bottom, there is a disclaimer: 'I am aware of the provisions contained in 18 U.S.C. 1001, which prohibits knowingly making false statements to the Federal Government.' and a 'Create submission' button. Red arrows point to the 'Subject', 'Correspondence Record Type', 'Product Type', and 'Certifier' fields.

Create Submission – Submit Report – Third Party

- As a Third Party Representative, for Compliance/Certification Report Submissions only, you may send copies of the attachment in your submission to CCs that you enter. To do so, select 'Send to CC'. If you select 'Do Not Send' or don't make a selection, the CC will only receive a confirmation email.

The screenshot displays the 'Create Submission' form in the CCMS system. The form includes the following fields and options:

- Queue:** EE Compliance
- Requestors:** edekarske@doxcelerate.com
- Co:** [Empty field]
- Subject:** [Empty field]
- Correspondence Record Type:** A dropdown menu with options: (no value), Registration Form, Compliance/Certification Report Submission (highlighted), Supplemental Testing Instructions, and Other. A red arrow points to this dropdown.
- Product Type:** A dropdown menu with options: (no value), Automatic Commercial Ice Makers, Battery Chargers, Beverage Vending Machines, Candelabra and Intermediate Base Incandescent Lamps, and Input must match [Mandatory].
- Templates:** Always use the current CCMS-approved templates for your product.
- Attach:** Choose File (No file chosen) and Add More Files (button).
- Send Attachments on CCs for Compliance/Certification Submissions?:** A dropdown menu with options: (no value), Compliance/Certification Report Submission (highlighted), Do Not Send, and Send to CCs.
- Describe the issue below:** A large text area for the submission body.
- Footer:** I am aware of the provisions contained in 18 U.S.C. 1001, which prohibits knowingly making false statements to the Federal Government.
- Buttons:** Create submission (button).

Submission Verification

- All correctly submitted reports have a unique tracking number (#119428 in the example below)
- Retrieve and view status on your submission by choosing **Submissions**
- Find a specific submission by entering your tracking number and clicking **Go to submission**

The screenshot shows the CCMS (Compliance Certification Management System) interface. At the top, the U.S. Department of Energy logo is displayed alongside the text 'Energy Efficiency & Renewable Energy' and 'APPLIANCE & EQUIPMENT STANDARDS PROGRAM | CCMS'. The user is logged in as 'Elizabeth'. A navigation menu includes 'New submission', 'Submissions', and 'Go to Submission...'. The main content area displays the submission ID '#119428: TEST' and a yellow notification bar stating 'Submission 119428 created in queue 'EE Compliance''. Below this, two tabs are visible: 'The Basics' and 'Dates'. The 'The Basics' tab shows the following details: Id: 119428, Status: new, Priority: 0/, Queue: EE Compliance, and Correspondence Record Type: Compliance/Certification Report Submission. The 'Dates' tab shows the creation date: Created: Thu Jun 29 15:43:30 2017. A red arrow points to the yellow notification bar.

Contacts for Questions

- Building Technologies Program
 - doegc32@hq.doe.gov
- CCMS Technical Support
 - Technical Support
CCMS Administrator
(505) 663-1302
<https://www.regulations.doe.gov/contact-us>