

CHAPTER R4

RESIDENTIAL ENERGY EFFICIENCY

SECTION ECC R401 GENERAL

R401.1 Scope. This chapter applies to residential buildings.

R401.2 Compliance. Projects shall comply with one of the following:

1. Sections R401 through R404.
2. Section R405 and the provisions of Sections R401 through R404 labeled “Mandatory.”
3. An energy rating index (ERI) approach in Section R406.

R401.3 Certificate (Mandatory). A permanent certificate shall be completed by the builder or registered design professional and posted on a wall in the space where the furnace is located, a utility room or an approved location inside the building. Where located on an electrical panel, the certificate shall not cover or obstruct the visibility of the circuit directory label, service disconnect label or other required labels. The certificate shall list the predominant *R*-values of insulation installed in or on ceiling/roof, walls, foundation (slab, basement wall, crawlspace wall and floor) and ducts outside conditioned spaces; *U*-factors for fenestration and the solar heat gain coefficient (SHGC) of fenestration, and the results from any required duct system and building envelope air leakage testing done on the building. Where there is more than one value for each component, the certificate shall list the value covering the largest area. The certificate shall list the types and efficiencies of heating, cooling and service water heating equipment. Where a gas-fired unvented room heater, electric furnace or baseboard electric heater is installed in the residence, the certificate shall list “gas-fired unvented room heater,” “electric furnace” or “baseboard electric heater,” as appropriate. An efficiency shall not be listed for gas-fired unvented room heaters, electric furnaces or electric baseboard heaters.

R401.4 Solar-ready requirements (Mandatory). Detached one- and two-family dwellings and multiple single-family dwellings (townhouses) shall meet the requirements of Appendix RB of this code.

SECTION ECC R402 BUILDING THERMAL ENVELOPE

R402.1 General (Prescriptive). The building thermal envelope shall meet the requirements of Sections R402.1.1 through R402.1.5.

Exception: The following low-energy buildings, or portions thereof, separated from the remainder of the building by building thermal envelope assemblies complying with this section shall be exempt from the building thermal envelope provisions of Section R402.1.1 through R402.1.5.

1. Those with a peak design rate of energy usage less than 3.4 Btu/h • ft² (10.7 W/m²) or 1.0 watt/ft² of floor area for space-conditioning purposes.
2. Those that do not contain conditioned space.

R402.1.1 Vapor retarder. Wall assemblies in the building thermal envelope shall comply with the vapor retarder requirements of Section 1405.3 of the *New York City Building Code*, as applicable.

R402.1.2 Insulation and fenestration criteria. The building thermal envelope shall meet the requirements of Table R402.1.2, based on the climate zone specified in Chapter R3.

**TABLE R402.1.2
INSULATION AND FENESTRATION REQUIREMENTS BY COMPONENT^a**

CLIMATE ZONE	FENESTRATION U-FACTOR ^b	SKYLIGHT ^b U-FACTOR	GLAZED FENESTRATION SHGC ^{b,e}	CEILING R-VALUE	WOOD FRAME WALL R-VALUE	MASS WALL R-VALUE ⁱ	FLOOR R-VALUE	BASEMENT ^c WALL R-VALUE	SLAB ^d R-VALUE & DEPTH	CRAWL SPACE ^c WALL R-VALUE
1	NR	0.75	0.25	30	13	3/4	13	0	0	0
2	0.40	0.65	0.25	38	13	4/6	13	0	0	0
3	0.35	0.55	0.25	38	20 or 13+5 ^h	8/13	19	5/13 ^f	0	5/13
4 except Marine	0.32	0.55	0.40	49	20+5 or 13+10 ^h	15/20	30 ^g	15/19	10, 4 ft	15/19
5 and Marine 4	0.32	0.55	NR	49	20 or 13+5 ^h	13/17	30 ^g	15/19	10, 2 ft	15/19
6	0.32	0.55	NR	49	20+5 or 13+10 ^h	15/20	30 ^g	15/19	10, 4 ft	15/19
7 and 8	0.32	0.55	NR	49	20+5 or 13+10 ^h	19/21	38 ^g	15/19	10, 4 ft	15/19

For SI: 1 foot = 304.8 mm.

- R-values are minimums. U-factors and SHGC are maximums. When insulation is installed in a cavity which is less than the label or design thickness of the insulation, the installed R-value of the insulation shall not be less than the R-value specified in the table.
- The fenestration U-factor column excludes skylights. The SHGC column applies to all glazed fenestration. Exception: Skylights may be excluded from glazed fenestration SHGC requirements in climate zones 1 through 3 where the SHGC for such skylights does not exceed 0.30.
- "15/19" means R-15 continuous insulation on the interior or exterior of the home or R-19 cavity insulation at the interior of the basement wall. "15/13" shall be permitted to be met with R-13 cavity insulation on the interior of the basement wall plus R-5 continuous insulation on the interior or exterior of the home. "10/13" means R-10 continuous insulation on the interior or exterior of the home or R-13 cavity insulation at the interior of the basement wall.
- R-5 shall be added to the required slab edge R-values for heated slabs. Insulation depth shall be the depth of the footing or 2 feet, whichever is less in Climate Zones 1 through 3 for heated slabs.
- There are no SHGC requirements in the Marine Zone.
- Basement wall insulation is not required in warm-humid locations as defined by Figure R301.1.
- Or insulation sufficient to fill the framing cavity, R-19 minimum.
- The first value is cavity insulation, the second value is continuous insulation, so "13+5" means R-13 cavity insulation plus R-5 continuous insulation.
- The second R-value applies when more than half the insulation is on the interior of the mass wall.

R402.1.3 R-value computation. Insulation material used in layers, such as framing cavity insulation, or continuous insulation shall be summed to compute the corresponding component R-value. The manufacturer's settled R-value shall be used for blown insulation. Computed R-values shall not include an R-value for other building materials or air films. Where insulated siding is used for the purpose of complying with the continuous insulation requirements of Table R402.1.2, the manufacturer's labeled R-value for insulated siding shall be reduced by R-0.6.

R402.1.4 U-factor alternative. An assembly with a U-factor equal to or less than that specified in Table R402.1.4 shall be permitted as an alternative to the R-value in Table R402.1.2.

**TABLE R402.1.4
EQUIVALENT U-FACTORS^a**

CLIMATE ZONE	FENESTRATION U-FACTOR	SKYLIGHT U-FACTOR	CEILING U-FACTOR	FRAME WALL U-FACTOR	MASS WALL U-FACTOR ^b	FLOOR U-FACTOR	BASEMENT WALL U-FACTOR	CRAWL SPACE WALL U-FACTOR
1	0.50	0.75	0.035	0.084	0.197	0.064	0.360	0.477
2	0.40	0.65	0.030	0.084	0.165	0.064	0.360	0.477
3	0.35	0.55	0.030	0.060	0.098	0.047	0.091 ^c	0.136
4 except Marine	0.32	0.55	0.026	0.045	0.060	0.033	0.050	0.055
5 and Marine 4	0.32	0.55	0.026	0.060	0.082	0.033	0.050	0.055
6	0.32	0.55	0.026	0.045	0.060	0.033	0.050	0.055
7 and 8	0.32	0.55	0.026	0.045	0.057	0.028	0.050	0.055

- a. Nonfenestration *U*-factors shall be obtained from measurement, calculation or an approved source.
- b. When more than half the insulation is on the interior, the mass wall *U*-factors shall be a maximum of 0.17 in Climate Zone 1, 0.14 in Climate Zone 2, 0.12 in Climate Zone 3, 0.057 in Climate Zone 4 except Marine, 0.065 in Climate Zone 5 and Marine 4, and 0.057 in Climate Zones 6 through 8.
- c. Basement wall *U*-factor of 0.360 in warm-humid locations as defined by Figure R301.1.

R402.1.5 Total UA alternative. If the total building thermal envelope UA (sum of *U*-factor times assembly area) is less than or equal to the total UA resulting from using the *U*-factors in Table R402.1.4 (multiplied by the same assembly area as in the proposed building), the building shall be considered in compliance with Table R402.1.2. The UA calculation shall be done using a method consistent with the ASHRAE *Handbook of Fundamentals* and shall include the thermal bridging effects of framing materials. The SHGC requirements shall be met in addition to UA compliance.

R402.2 Specific insulation requirements (Prescriptive). In addition to the requirements of Section R402.1, insulation shall meet the specific requirements of Sections R402.2.1 through R402.2.13.

R402.2.1 Ceilings with attic spaces. Where Section R402.1.2 would require R-38 insulation in the ceiling, installing R-30 over 100 percent of the ceiling area requiring insulation shall be deemed to satisfy the requirement for R-38 wherever the full height of uncompressed R-30 insulation extends over the wall top plate at the eaves. Similarly, where Section R402.1.2 would require R-49 insulation in the ceiling, installing R-38 over 100 percent of the ceiling area requiring insulation shall be deemed to satisfy the requirement for R-49 insulation wherever the full height of uncompressed R-38 insulation extends over the wall top plate at the eaves. This reduction shall not apply to the *U*-factor alternative approach in Section R402.1.4 and the total UA alternative in Section R402.1.5.

R402.2.2 Ceilings without attic spaces. Where Section R402.1.2 would require insulation levels above R-30 and the design of the roof/ceiling assembly does not allow sufficient space for the required insulation, the minimum required insulation for such roof/ceiling assemblies shall be R-30. This reduction of insulation from the requirements of Section R402.1.2 shall be limited to 500 square feet (46 m²) or 20 percent of the total insulated ceiling area, whichever is less. This reduction shall not apply to the *U*-factor alternative approach in Section R402.1.4 and the total UA alternative in Section R402.1.5.

R402.2.3 Eave baffle. For air-permeable insulations in vented attics, a baffle shall be installed adjacent to soffit and eave vents. Baffles shall maintain an opening equal or greater than the size of the vent. The baffle shall extend over the top of the attic insulation. The baffle shall be permitted to be any solid material.

R402.2.4 Access hatches and doors. Access doors from conditioned spaces to unconditioned spaces such as attics and crawl spaces shall be weatherstripped and insulated to a level equivalent to the insulation on the surrounding surfaces. Access shall be provided to all equipment that prevents damaging or compressing the insulation. A wood-framed or equivalent baffle or retainer is required to be provided when loose-fill insulation is installed, the purpose of which is to prevent the loose-fill insulation from spilling into the living space when the attic access is opened, and to provide a permanent means of maintaining the installed *R*-value of the loose-fill insulation.

Exception: Vertical doors that provide access from conditioned to unconditioned spaces shall be permitted to meet the fenestration requirements of Table R402.1.2 based on the applicable climate zone specified in Chapter R3.

R402.2.5 Mass walls. Mass walls for the purposes of this chapter shall be considered above-grade walls of concrete block, concrete, insulated concrete form (ICF), masonry cavity, brick (other than brick veneer), earth (adobe, compressed earth block, rammed earth) and solid timber/logs, or any other walls having a heat capacity greater than or equal to $6 \text{ Btu/ft}^2 \times ^\circ\text{F}$ ($123 \text{ kJ/m}^2 \times \text{K}$).

R402.2.6 Steel-frame ceilings, walls and floors. Steel-frame ceilings, walls, and floors shall meet the insulation requirements of Table R402.2.6 or shall meet the *U*-factor requirements of Table R402.1.4. The calculation of the *U*-factor for a steel-frame envelope assembly shall use a series-parallel path calculation method.

**TABLE R402.2.6
STEEL-FRAME CEILING, WALL AND FLOOR INSULATION
(R-VALUE)**

WOOD FRAME R-VALUE REQUIREMENT	COLD-FORMED STEEL EQUIVALENT R-VALUE^a
Steel Truss Ceilings^b	
R-30	R-38 or R-30 + 3 or R-26 + 5
R-38	R-49 or R-38 + 3
R-49	R-38 + 5
Steel Joist Ceilings^b	
R-30	R-38 in 2 x 4 or 2 x 6 or 2 x 8 R-49 in any framing
R-38	R-49 in 2 x 4 or 2 x 6 or 2 x 8 or 2 x 10
Steel-Framed Wall, 16" on center	
R-13	R-13 + 4.2 or R-19 + 2.1 or R-21 + 2.8 or R-0 + 9.3 or R-15 + 3.8 or R-21 + 3.1
R-13 + 3	R-0 + 11.2 or R-13 + 6.1 or R-15 + 5.7 or R-19 + 5.0 or R-21 + 4.7
R-20	R-0 + 14.0 or R-13 + 8.9 or R-15 + 8.5 or R-19 + 7.8 or R-19 + 6.2 or R-21 + 7.5
R-20 + 5	R-13 + 12.7 or R-15 + 12.3 or R-19 + 11.6 or R-21 + 11.3 or R-25 + 10.9
R-21	R-0 + 14.6 or R-13 + 9.5 or R-15 + 9.1 or R-19 + 8.4 or R-21 + 8.1 or R-25 + 7.7
Steel Framed Wall, 24" on center	
R-13	R-0 + 9.3 or R-13 + 3.0 or R-15 + 2.4
R-13 + 3	R-0 + 11.2 or R-13 + 4.9 or R-15 + 4.3 or R-19 + 3.5 or R-21 + 3.1
R-20	R-0 + 14.0 or R-13 + 7.7 or R-15 + 7.1 or R-19 + 6.3 or R-21 + 5.9
R-20 + 5	R-13 + 11.5 or R-15 + 10.9 or R-19 + 10.1 or R-21 + 9.7 or R-25 + 9.1
R-21	R-0 + 14.6 or R-13 + 8.3 or R-15 + 7.7 or R-19 + 6.9 or R-21 + 6.5 or R-25 + 5.9
Steel Joist Floor	
R-13	R-19 in 2 x 6, or R-19 + 6 in 2 x 8 or 2 x 10
R-19	R-19 + 6 in 2 x 6, or R-19 + 12 in 2 x 8 or 2 x 10

- a. Cavity insulation *R*-value is listed first, followed by continuous insulation *R*-value.
b. Insulation exceeding the height of the framing shall cover the framing.

R402.2.7 Walls with partial structural sheathing. Where Section R402.1.2 would require continuous insulation on exterior walls and structural sheathing covers 40 percent or less of the gross area of all exterior walls, the continuous insulation *R*-value shall be permitted to be reduced by an amount necessary to result in a consistent total sheathing thickness, but not more than R-3, on areas of the walls covered by structural sheathing. This reduction shall not apply to the *U*-factor alternative approach in Section R402.1.4 and the total UA alternative in Section R402.1.5.

R402.2.8 Floors. Floor framing-cavity insulation shall be installed to maintain permanent contact with the underside of the subfloor decking.

Exception: The floor framing-cavity insulation shall be permitted to be in contact with the topside of sheathing or continuous insulation installed on the bottom side of floor framing where combined with insulation that meets or exceeds the minimum wood frame

wall *R*-value in Table R402.1.2 and that extends from the bottom to the top of all perimeter floor framing members.

R402.2.9 Basement walls. Walls associated with conditioned basements shall be insulated from the top of the basement wall down to 10 feet (3048 mm) below grade or to the basement floor, whichever is less. Walls associated with unconditioned basements shall meet this requirement unless the floor overhead is insulated in accordance with Sections R402.1.2 and R402.2.8.

R402.2.10 Slab-on-grade floors. Slab-on-grade floors with a floor surface less than 12 inches (305 mm) below grade shall be insulated in accordance with Table R402.1.2. The insulation shall extend downward from the top of the slab on the outside or inside of the foundation wall. Insulation located below grade shall be extended the distance provided in Table R402.1.2 by any combination of vertical insulation, insulation extending under the slab or insulation extending out from the building. Insulation extending away from the building shall be protected by pavement or by not less than 10 inches (254 mm) of soil. The top edge of the insulation installed between the exterior wall and the edge of the interior slab shall be permitted to be cut at a 45-degree (0.79 rad) angle away from the exterior wall. Slab-edge insulation is not required in jurisdictions designated by the code official as having a very heavy termite infestation.

R402.2.11 Crawl space walls. As an alternative to insulating floors over crawl spaces, crawl space walls shall be permitted to be insulated when the crawl space is not vented to the outside. Crawl space wall insulation shall be permanently fastened to the wall and extend downward from the floor to the finished grade level and then vertically and/or horizontally for at least an additional 24 inches (610 mm). Exposed earth in unvented crawl space foundations shall be covered with a continuous Class I vapor retarder in accordance with the *New York City Building Code*, as applicable. All joints of the vapor retarder shall overlap by 6 inches (153 mm) and be sealed or taped. The edges of the vapor retarder shall extend not less than 6 inches (153 mm) up the stem wall and shall be attached to the stem wall.

R402.2.12 Masonry veneer. Insulation shall not be required on the horizontal portion of the foundation that supports a masonry veneer.

R402.2.13 Sunroom insulation. Sunrooms enclosing conditioned space shall meet the insulation requirements of this code.

Exception: For sunrooms with thermal isolation, and enclosing conditioned space, the following exceptions to the insulation requirements of this code shall apply:

1. The minimum ceiling insulation *R*-values shall be R-19 in Climate Zones 1 through 4 and R-24 in Climate Zones 5 through 8.
2. The minimum wall *R*-value shall be R-13 in all climate zones. Walls separating a sunroom with a thermal isolation from conditioned space shall meet the building thermal envelope requirements of this code.

R402.3 Fenestration (Prescriptive). In addition to the requirements of Section R402, fenestration shall comply with Sections R402.3.1 through R402.3.5.

R402.3.1 U-factor. An area-weighted average of fenestration products shall be permitted to satisfy the *U*-factor requirements.

R402.3.2 Glazed fenestration SHGC. An area-weighted average of fenestration products more than 50-percent glazed shall be permitted to satisfy the SHGC requirements.

Dynamic glazing shall be permitted to satisfy the SHGC requirements of Table R402.1.2 provided the ratio of the higher to lower labeled SHGC is greater than or equal to 2.4, and the dynamic glazing is automatically controlled to modulate the amount of solar gain into the space in multiple steps. Dynamic glazing shall be considered separately from other fenestration, and area-weighted averaging with other fenestration that is not dynamic glazing shall not be permitted.

Exception: Dynamic glazing is not required to comply with this section when both the lower and higher labeled SHGC already comply with the requirements of Table R402.1.2.

R402.3.3 Glazed fenestration exemption. Up to 15 square feet (1.4 m²) of glazed fenestration per dwelling unit shall be permitted to be exempt from *U*-factor and SHGC requirements in Section R402.1.2. This exemption shall not apply to the *U*-factor alternative approach in Section R402.1.4 and the Total UA alternative in Section R402.1.5.

R402.3.4 Opaque door exemption. One side-hinged opaque door assembly up to 24 square feet (2.22 m²) in area is exempted from the *U*-factor requirement in Section R402.1.4. This exemption shall not apply to the *U*-factor alternative approach in Section R402.1.4 and the total UA alternative in Section R402.1.5.

R402.3.5 Sunroom fenestration. Sunrooms enclosing conditioned space shall meet the fenestration requirements of this code.

Exception: For sunrooms with thermal isolation and enclosing conditioned space in Climate Zones 2 through 8, the maximum fenestration *U*-factor shall be 0.45 and the maximum skylight *U*-factor shall be 0.70.

New fenestration separating the sunroom with thermal isolation from conditioned space shall meet the building thermal envelope requirements of this code.

R402.4 Air leakage (Mandatory). The building thermal envelope shall be constructed to limit air leakage in accordance with the requirements of Sections R402.4.1 through R402.4.6.

R402.4.1 Building thermal envelope. The building thermal envelope shall comply with Sections R402.4.1.1 and R402.4.1.2. The sealing methods between dissimilar materials shall allow for differential expansion and contraction.

R402.4.1.1 Installation. The components of the building thermal envelope as listed in Table R402.4.1.1 shall be installed in accordance with the manufacturer's instructions and the criteria listed in Table R402.4.1.1, as applicable to the method of construction. Where required by the code official, an approved third party shall inspect all components and verify compliance.

**TABLE R402.4.1.1
AIR BARRIER AND INSULATION INSTALLATION**

COMPONENT	AIR BARRIER CRITERIA	INSULATION INSTALLATION CRITERIA
General requirements	<p>A continuous air barrier shall be installed in the building envelope.</p> <p>The exterior thermal envelope contains a continuous air barrier.</p> <p>Breaks or joints in the air barrier shall be sealed.</p>	Air-permeable insulation shall not be used as a sealing material.
Ceiling/attic	<p>The air barrier in any dropped ceiling/soffit shall be aligned with the insulation and any gaps in the air barrier shall be sealed.</p> <p>Access openings, drop down stairs or knee wall doors to unconditioned attic spaces shall be sealed.</p>	The insulation in any dropped ceiling/soffit shall be aligned with the air barrier.
Walls	<p>The junction of the foundation and sill plate shall be sealed.</p> <p>The junction of the top plate and the top of exterior walls shall be sealed.</p> <p>Knee walls shall be sealed.</p>	<p>Cavities within corners and headers of frame walls shall be insulated by completely filling the cavity with a material having a thermal resistance of R-3 per inch minimum.</p> <p>Exterior thermal envelope insulation for framed walls shall be installed in substantial contact and continuous alignment with the air barrier.</p>
Windows, skylights and doors	The space between window/door jambs and framing, and skylights and framing shall be sealed.	
Rim joists	Rim joists shall include the air barrier.	Rim joists shall be insulated.
Floors (including above garage and cantilevered floors)	The air barrier shall be installed at any exposed edge of insulation.	Floor framing cavity insulation shall be installed to maintain permanent contact with the underside of subfloor decking, or floor framing cavity insulation shall be permitted to be in contact with the top side of sheathing, or continuous insulation installed on the underside of floor framing and extends from the bottom to the top of all perimeter floor framing members.
Crawl space walls	Exposed earth in unvented crawl spaces shall be covered with a Class I vapor retarder with overlapping joints taped.	Where provided instead of floor insulation, insulation shall be permanently attached to the crawlspace walls.
Shafts, penetrations	Duct shafts, utility penetrations, and flue shafts opening to exterior or unconditioned space shall be sealed.	
Narrow cavities		Batts in narrow cavities shall be cut

COMPONENT	AIR BARRIER CRITERIA	INSULATION INSTALLATION CRITERIA
		to fit, or narrow cavities shall be filled by insulation that on installation readily conforms to the available cavity space.
Garage separation	Air sealing shall be provided between the garage and conditioned spaces.	
Recessed lighting	Recessed light fixtures installed in the building thermal envelope shall be sealed to the drywall.	Recessed light fixtures installed in the building thermal envelope shall be air tight and IC rated.
Plumbing and wiring		Batt insulation shall be cut neatly to fit around wiring and plumbing in exterior walls, or insulation that on installation readily conforms to available space shall extend behind piping and wiring.
Shower/tub on exterior wall	The air barrier installed at exterior walls adjacent to showers and tubs shall separate them from the showers and tubs.	Exterior walls adjacent to showers and tubs shall be insulated.
Electrical/phone box on exterior walls	The air barrier shall be installed behind electrical or communication boxes or air-sealed boxes shall be installed.	
HVAC register boots	HVAC register boots that penetrate building thermal envelope shall be sealed to the subfloor or drywall.	
Concealed sprinklers	When required to be sealed, concealed fire sprinklers shall only be sealed in a manner that is recommended by the manufacturer. Caulking or other adhesive sealants shall not be used to fill voids between fire sprinkler cover plates and walls or ceilings.	

a. In addition, inspection of log walls shall be in accordance with the provisions of ICC-400.

R402.4.1.2 Testing. The building or dwelling unit shall be tested and verified as having an air leakage rate not exceeding three air changes per hour. Testing shall be conducted in accordance with ASTM E 779 or ASTM E 1827 and reported at a pressure of 0.2 inch w.g. (50 Pascals). Testing shall be performed at any time after creation of all penetrations of the building thermal envelope.

During testing:

1. Exterior windows and doors, fireplace and stove doors shall be closed, but not sealed, beyond the intended weather-stripping or other infiltration control measures.
2. Dampers including exhaust, intake, makeup air, backdraft and flue dampers shall be closed, but not sealed beyond intended infiltration control measures.
3. Interior doors, if installed at the time of the test, shall be open.
4. Exterior doors for continuous ventilation systems and heat recovery ventilators shall be closed and sealed.

5. Heating and cooling systems, if installed at the time of the test, shall be turned off.
6. Supply and return registers, if installed at the time of the test, shall be fully open.

Where required by the code official, testing shall be conducted by an approved third party.

A written report of the results of the test shall be prepared and signed by the party conducting the test and provided to the code official. The written report shall include:

1. the name and place of business of the party conducting the test;
2. the address of the building which was tested;
3. the conditioned floor area of dwelling, calculated in accordance with ANSI Z65, except that conditioned floor area shall include areas where the ceiling height is less than 5 feet (1524 mm);
4. measurement of the air volume lost at an internal pressurization of 0.2 inches w.g. (50 Pascals);
5. the date(s) of the test;
6. a certification by the party conducting the test of the accuracy of the test results; and
7. the signature of the party conducting the test.

R402.4.1.3 Optional testing procedure for buildings with two or more dwelling units within the building thermal envelope. Where two or more dwelling units are located within the building thermal envelope of a building, the testing procedure specified in this Section R402.4.1.3 shall be permitted as an alternative to compliance with Section R402.4.1.2.

In this Section R402.4.1.3, each dwelling unit and each other conditioned occupied space located within the building thermal envelope of the building shall be referred to as a "testing unit," and the "enclosure surface area" within a testing unit shall be equal to the sum of the areas of (i) each exterior wall in such testing unit, (ii) each interior wall in such testing unit that abuts other testing unit(s), (iii) each ceiling in such testing unit that abuts other testing unit(s) or abuts unconditioned space, and (iv) each floor in such testing unit that abuts other testing unit(s) or abuts unconditioned space.

Each testing unit shall be tested and verified as having an air leakage rate not exceeding 0.3 cubic feet per minute per square foot of enclosure surface area within the testing area. Testing shall be conducted with a blower door at a pressure of 0.2 inches w.g. (50 Pascals), and shall be conducted in accordance with ASTM E 779. Testing shall be performed at any time after creation of all penetrations of the building thermal envelope. During testing:

1. Exterior windows and doors, fireplace and stove doors shall be closed, but not sealed, beyond the intended weather-stripping or other infiltration control measures.
2. Dampers including exhaust, intake, makeup air, backdraft and flue dampers shall be closed, but not sealed beyond intended infiltration control measures.
3. Interior doors, if installed at the time of the test, shall be open.

4. Exterior doors for continuous ventilation systems and heat recovery ventilators shall be closed and sealed.
5. Heating and cooling systems, if installed at the time of the test, shall be turned off.
6. Supply and return registers, if installed at the time of the test, shall be fully open.

Where required by the code official, testing shall be conducted by an approved third party.

A written report of the results of the test shall be prepared and signed by the party conducting the test and provided to the code official. The written report shall include:

1. the name and place of business of the party conducting the test;
2. the address of the building which was tested;
3. the conditioned floor area of dwelling, calculated in accordance with ANSI Z 65-1996, except that conditioned floor area shall include areas where the ceiling height is less than 5 feet (1524 mm);
4. measurement of the air leakage rate of each testing unit;
5. the date(s) of the test;
6. a certification by the party conducting the test of the accuracy of the test results; and
7. the signature of the party conducting the test.

R402.4.1.3.1 Buildings with more than seven dwelling units. When the optional testing procedure authorized by Section R402.4.1.3 is used for a building with more than seven dwelling units, testing each testing unit shall not be required, and testing of sample testing units selected in accordance with the provisions set forth below in this Section R402.4.1.3.1 shall be permitted, when approved by the code official.

1. Testing units shall be grouped into sample sets of not more than seven testing units and common rooms in each sample set. Each sample set shall contain testing units that are representative of all dwelling unit types and all other conditioned occupied spaces.
2. If all testing units in the first sample set tested are verified as having an air leakage rate not exceeding 0.3 cubic feet per minute per square foot of enclosure surface area within the testing area, remaining sample sets shall be permitted to be tested at the rate of one testing unit per sample set.
3. If any testing unit tested in accordance with paragraph 2 above is not verified as having an air leakage rate not exceeding 0.3 cubic feet per minute per square foot of enclosure surface area within the testing area, two additional testing units in the sample set shall be tested.
4. If any testing unit tested in accordance with paragraph 3 above is not verified as having an air leakage rate not exceeding 0.3 cubic feet per minute per square foot of enclosure surface area within the testing area, all testing units in the sample set shall be tested, and all testing units in the subsequent sample set, if any, shall be tested.

5. If all testing units in the sample set tested in accordance with paragraph 4 above are verified as having an air leakage rate not exceeding 0.3 cubic feet per minute per square foot of enclosure surface area within the testing area, subsequent sample sets shall be permitted to be tested in accordance with paragraph 2 above, where approved by the code official.

R402.4.2 Fireplaces. New wood-burning fireplaces that are designed to allow an open burn and new wood-burning fireplace units that are designed to allow an open burn shall have tight-fitting flue dampers or tight-fitting doors. Tight-fitting doors used on a factory built fireplace listed and labeled in accordance with UL 127 or on a factory-built fireplace unit listed and labeled in accordance with UL 127 shall be tested and listed for such fireplace or fireplace unit. Tight-fitting doors used on a masonry fireplace shall be listed and labeled in accordance with UL 907.

New wood-burning fireplaces that are designed to allow an open burn and new wood-burning fireplace units that are designed to allow an open burn shall be provided with a source of outdoor combustion air as required by the fireplace construction provisions of the *New York City Building Code*, as applicable.

R402.4.3 Fenestration air leakage. Windows, skylights and sliding glass doors shall have an air infiltration rate of no more than 0.3 cfm per square foot (1.5 L/s/m²), and swinging doors no more than 0.5 cfm per square foot (2.6 L/s/m²), when tested according to NFRC 400 or AAMA/WDMA/CSA 101/I.S.2/A440 by an accredited, independent laboratory and listed and labeled by the manufacturer.

Exception: Site-built windows, skylights and doors.

R402.4.4 Rooms containing fuel-burning appliances. In Climate Zones 3 through 8, where open combustion air ducts provide combustion air to open combustion fuel burning appliances, the appliances and combustion air opening shall be located outside the building thermal envelope or enclosed in a room, isolated from inside the thermal envelope. Such rooms shall be sealed and insulated in accordance with the envelope requirements of Table R402.1.2, where the walls, floors and ceilings shall meet not less than the basement wall R-value requirement. The door into the room shall be fully gasketed and any water lines and ducts in the room insulated in accordance with Section R403. The combustion air duct shall be insulated where it passes through conditioned space to a minimum of R-8.

Exceptions:

1. Direct vent appliances with both intake and exhaust pipes installed continuous to the outside.
2. Fireplaces and stoves complying with Section R402.4.2 and Chapter 9 of the *New York City Mechanical Code*.

R402.4.5 Recessed lighting. Recessed luminaires installed in the building thermal envelope shall be sealed to limit air leakage between conditioned and unconditioned spaces. All recessed luminaires shall be IC-rated and labeled as having an air leakage rate not more than 2.0 cfm (0.944 L/s) when tested in accordance with ASTM E 283 at a 1.57 psf (75 Pa) pressure differential. All recessed luminaires shall be sealed with a gasket or caulk between the housing and the interior wall or ceiling covering.

R402.4.6 Tenant separation walls (Mandatory). Fire separations between dwelling units in two-family dwellings and multiple single-family dwellings (townhouses) shall be insulated to no less than R-10 and the walls shall be air sealed in accordance with Section R402.4 of this chapter.

R402.5 Maximum fenestration U-factor and SHGC (Mandatory). The area-weighted average maximum fenestration *U*-factor permitted using tradeoffs from Section R402.1.5 or R405 shall be 0.40 for vertical fenestration, and 0.75 for skylights.

SECTION ECC R403 SYSTEMS

R403.1 Controls (Mandatory). At least one thermostat shall be provided for each separate heating and cooling system.

R403.1.1 Programmable thermostat. The thermostat controlling the primary heating or cooling system of the dwelling unit shall be capable of controlling the heating and cooling system on a daily schedule to maintain different temperature set points at different times of the day. This thermostat shall include the capability to set back or temporarily operate the system to maintain zone temperatures down to 55°F (13°C) or up to 85°F (29°C). The thermostat shall initially be programmed by the manufacturer with a heating temperature set point no higher than 70°F (21°C) and a cooling temperature set point no lower than 78°F (26°C).

R403.1.2 Heat pump supplementary heat (Mandatory). Heat pumps having supplementary electric-resistance heat shall have controls that, except during defrost, prevent supplemental heat operation when the heat pump compressor can meet the heating load.

R403.2 Hot water boiler outdoor temperature setback. Hot water boilers that supply heat to the building through one- or two-pipe heating systems shall have an outdoor setback control that lowers the boiler water temperature based on the outdoor temperature.

R403.3 Ducts. Ducts and air handlers shall be in accordance with Sections R403.3.1 through R403.3.5.

R403.3.1 Insulation (Prescriptive). Supply and return ducts in attics shall be insulated to a minimum of R-8 where 3 inches (76 mm) in diameter and greater and R-6 where less than 3 inches (76 mm) in diameter. Supply and return ducts in other portions of the building shall be insulated to a minimum of R-6 where 3 inches (76 mm) in diameter or greater and R-4.2 where less than 3 inches (76 mm) in diameter.

Exception: Ducts or portions thereof located completely inside the building thermal envelope.

R403.3.2 Sealing (Mandatory). Ducts, air handlers and filter boxes shall be sealed. Joints and seams shall comply with the *New York City Mechanical Code*, as applicable.

Exceptions:

1. Air-impermeable spray foam products shall be permitted to be applied without additional joint seals.
2. For ducts having a static pressure classification of less than 2 inches of water column (500 Pa), additional closure systems shall not be required for continuously welded joints and seams, and locking-type joints and seams of other than the snap-lock and button-lock types.

R403.3.2.1 Sealed air handler. Air handlers shall have a manufacturer's designation for an air leakage of no more than 2 percent of the design air flow rate when tested in accordance with ASHRAE 193.

R403.3.3 Duct testing (Mandatory). Ducts shall be pressure tested to determine air leakage by one of the following methods:

1. Rough-in test: Total leakage shall be measured with a pressure differential of 0.1 inch w.g. (25 Pa) across the system, including the manufacturer's air handler enclosure if installed at the time of the test. All registers shall be taped or otherwise sealed during the test.
2. Postconstruction test: Total leakage shall be measured with a pressure differential of 0.1 inch w.g. (25 Pa) across the entire system, including the manufacturer's air handler enclosure. Registers shall be taped or otherwise sealed during the test.

Exception: A duct air leakage test shall not be required where the ducts and air handlers are located entirely within the building thermal envelope.

A written report of the results of the test shall be signed by the party conducting the test and provided to the code official.

R403.3.4 Duct leakage (Prescriptive). The total leakage of the ducts, where measured in accordance with Section R403.3.3, shall be as follows:

1. Rough-in test: The total leakage shall be less than or equal to 4 cubic feet per minute (113.3 L/min) per 100 square feet (9.29 m²) of conditioned floor area where the air handler is installed at the time of the test. Where the air handler is not installed at the time of the test, the total leakage shall be less than or equal to 3 cubic feet per minute (85 L/min) per 100 square feet (9.29 m²) of conditioned floor area.
2. Postconstruction test: Total leakage shall be less than or equal to 4 cubic feet per minute (113.3 L/min) per 100 square feet (9.29 m²) of conditioned floor area.

R403.3.5 Building cavities (Mandatory). Building framing cavities shall not be used as ducts or plenums.

R403.4 Mechanical system piping insulation (Mandatory). Mechanical system piping capable of carrying fluids above 105°F (41°C) or below 55°F (13°C) shall be insulated to a minimum of R-3.

R403.4.1 Protection of piping insulation. Piping insulation exposed to weather shall be protected from damage, including that caused by sunlight, moisture, equipment maintenance and wind, and shall provide shielding from solar radiation that can cause degradation of the material. Adhesive tape shall not be permitted.

R403.5 Service hot water systems. Energy conservation measures for service hot water systems shall be in accordance with Sections R403.5.1 and R403.5.4.

R403.5.1 Heated water circulation and temperature maintenance systems (Mandatory). Heated water circulation systems shall be in accordance with Section R403.5.1.1. Heat trace temperature maintenance systems shall be in accordance with Section R403.5.1.2. Automatic controls, temperature sensors and pumps shall be accessible. Manual controls shall be readily accessible.

R403.5.1.1 Circulation systems. Heated water circulation systems shall be provided with a circulation pump. The system return pipe shall be a dedicated return pipe or a cold water supply pipe. Gravity and thermo-syphon circulation systems shall be prohibited. Controls for circulating hot water system pumps shall start the pump based on the identification of a demand for hot water within the occupancy. The controls shall

automatically turn off the pump when the water in the circulation loop is at the desired temperature and when there is no demand for hot water.

R403.5.1.2 Heat trace systems. Electric heat trace systems shall comply with IEEE 515.1 or UL 515. Controls for such systems shall automatically adjust the energy input to the heat tracing to maintain the desired water temperature in the piping in accordance with the times when heated water is used in the occupancy.

R403.5.2 Demand recirculation systems. A water distribution system having one or more recirculation pumps that pump water from a heated water supply pipe back to the heated water source through a cold water supply pipe shall be a demand recirculation water system. Pumps shall have controls that comply with both of the following:

1. The control shall start the pump upon receiving a signal from the action of a user of a fixture or appliance, sensing the presence of a user of a fixture or sensing the flow of hot or tempered water to a fixture fitting or appliance.
2. The control shall limit the temperature of the water entering the cold water piping to 104°F (40°C).

R403.5.3 Hot water pipe insulation (Prescriptive). Insulation for hot water pipe with a minimum thermal resistance (*R*-value) of R-3 shall be applied to the following:

1. Piping ³/₄ inch (19.1 mm) and larger in nominal diameter.
2. Piping serving more than one dwelling unit.
3. Piping located outside the conditioned space.
4. Piping from the water heater to a distribution manifold.
5. Piping located under a floor slab.
6. Buried in piping.
7. Supply and return piping in recirculation systems other than demand recirculation systems.

R403.5.4 Drain water heat recovery units. Drain water heat recovery units shall comply with CSA B55.2. Drain water heat recovery units shall be tested in accordance with CSA B55.1. Potable water-side pressure loss of drain water heat recovery units shall be less than 3 psi (20.7 kPa) for individual units connected to one or two showers. Potable water-side pressure loss of drain water heat recovery units shall be less than 2 psi (13.8 kPa) for individual units connected to three or more showers.

R403.6 Mechanical ventilation (Mandatory). The building shall be provided with ventilation that meets the requirements of the *New York City Mechanical Code*, as applicable, or with other approved means of ventilation. Outdoor air intakes and exhausts shall have automatic or gravity dampers that close when the ventilation system is not operating.

R403.6.1 Whole-house mechanical ventilation system fan efficacy. Mechanical ventilation system fans shall meet the efficacy requirements of Table R403.6.1.

Exception: Where mechanical ventilation fans are integral to tested and listed HVAC equipment, they shall be powered by an electronically commutated motor.

**TABLE R403.6.1
MECHANICAL VENTILATION SYSTEM FAN EFFICACY**

FAN LOCATION	AIR FLOW RATE MINIMUM	MINIMUM EFFICACY	AIR FLOW RATE MAXIMUM
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	(CFM)	(CFM/WATT)	(CFM)
Range hoods	Any	2.8 cfm/watt	Any
In-line fan	Any	2.8 cfm/watt	Any
Bathroom, utility room	10	1.4 cfm/watt	< 90
Bathroom, utility room	90	2.8 cfm/watt	Any

For SI: 1 cfm = 28.3 L/min.

R403.7 Equipment sizing and efficiency rating (Mandatory). Heating and cooling equipment shall be sized in accordance with ACCA Manual S based on building loads calculated in accordance with ACCA Manual J or other approved heating and cooling calculation methodologies. New or replacement heating and cooling equipment shall have an efficiency rating equal to or greater than the minimum required by federal law for the geographic location where the equipment is installed.

R403.8 Systems serving multiple dwelling units (Mandatory). Systems serving multiple dwelling units shall comply with Sections C403 and C404 of this code in lieu of Section R403.

R403.9 Snow melt and ice system controls (Mandatory). Snow- and ice-melting systems, supplied through energy service to the building, shall include automatic controls capable of shutting off the system when the pavement temperature is above 50°F (10°C), and no precipitation is falling and an automatic or manual control that will allow shutoff when the outdoor temperature is above 40°F (4.8°C).

R403.10 Pools and permanent spa energy consumption (Mandatory). The energy consumption of pools and permanent spas shall be in accordance with Sections R403.10.1 through R403.10.3.

R403.10.1 Heaters. The electric power to heaters shall be controlled by a readily accessible on-off switch that is an integral part of the heater mounted on the exterior of the heater, or external to and within 3 feet (914 mm) of the heater. Operation of such switch shall not change the setting of the heater thermostat. Such switches shall be in addition to a circuit breaker for the power to the heater. Gas-fired heaters shall not be equipped with continuously burning ignition pilots.

R403.10.2 Time switches. Time switches or other control methods that can automatically turn off and on according to a preset schedule shall be installed for heaters and pump motors. Heaters and pump motors that have built-in time switches shall be in compliance with this section.

Exceptions:

1. Where public health standards require 24-hour pump operation.
2. Pumps that operate solar- and waste-heat-recovery pool heating systems.

R403.10.3 Covers. Outdoor heated pools and outdoor heated permanent spas shall be equipped with a vapor-retardant pool cover or other approved vapor-retardant means. Outdoor heated pools and outdoor heated permanent spas heated to more than 90 degrees °F (32 degrees °C) shall have a pool cover with a minimum insulation value of R-12.

Exception: Where more than 60 percent of the energy used for heating an outdoor heated pool or outdoor heated permanent spa is from site-recovered energy or solar energy source, covers or other vapor-retardant means shall not be required.

R403.11 Portable spas (Mandatory). The energy consumption of electric-powered portable spas shall be controlled by the requirements of APSP-14.

R403.12 Residential pools and permanent residential spas. Residential swimming pools and permanent residential spas that are accessory to detached one- and two-family dwellings and townhouses three stories or less in height above grade plane and that are available only to the household and its guests shall be in accordance with APSP-15a.

SECTION ECC R404 ELECTRICAL POWER AND LIGHTING SYSTEMS

R404.1 Lighting equipment (Mandatory). Not less than 75 percent of the lamps in permanently installed lighting fixtures shall be high-efficacy lamps or not less than 75 percent of the permanently installed lighting fixtures shall contain only high-efficacy lamps.

Exception: Low-voltage lighting.

R404.1.1 Lighting equipment (Mandatory). Fuel gas lighting systems shall not have continuously burning pilot lights.

R404.2 Electrical energy consumption (Mandatory). In all buildings having individual dwelling units, provisions shall be made to determine the electrical energy consumed by each unit by separately metering individual dwelling units.

SECTION ECC R405 SIMULATED PERFORMANCE ALTERNATIVE (PERFORMANCE)

R405.1 Scope. This section establishes criteria for compliance using simulated energy performance analysis. Such analysis shall include heating, cooling and service water heating energy only.

R405.2 Mandatory requirements. Compliance with this section requires that the mandatory provisions identified in Section R401.2 be met. All supply and return ducts not completely inside the building thermal envelope shall be insulated to a minimum of R-6.

R405.3 Performance-based compliance. Compliance based on simulated energy performance requires that a proposed residence (proposed design) be shown to have an annual energy cost that is less than or equal to the annual energy cost of the standard reference design. Energy prices shall be taken from a source approved by the code official, such as the Department of Energy, Energy Information Administration's State Energy Price and Expenditure Report. Code officials shall be permitted to require time-of-use pricing in energy cost calculations.

Exception: The energy use based on source energy expressed in Btu or Btu per square foot of conditioned floor area shall be permitted to be substituted for the energy cost. The source energy multiplier for electricity shall be 3.16. The source energy multiplier for fuels other than electricity shall be 1.1.

R405.4 Documentation. Documentation of the software used for the performance design and the parameters for the building shall be in accordance with Sections R405.4.1 through R405.4.3.

R405.4.1 Compliance software tools. Documentation verifying that the methods and accuracy of the compliance software tools conform to the provisions of this section shall be provided to the code official.

R405.4.2 Compliance report. Compliance software tools shall generate a report that documents that the proposed design complies with Section R405.3. A compliance report on the proposed design shall be submitted with the application for the building permit. Upon

completion of the building, a compliance report based on the as-built condition of the building shall be submitted to the code official before a certificate of occupancy is issued. Batch sampling of buildings to determine energy code compliance for all buildings in the batch shall be prohibited.

Compliance reports shall include information in accordance with Sections R405.4.2.1 and R405.4.2.2. Where the proposed design of a building could be built on different sites where the cardinal orientation of the building on each site is different, compliance of the proposed design for the purposes of the application for the building permit shall be based on the worst-case orientation, worst-case configuration, worst-case building air leakage and worst-case duct leakage. Such worst-case parameters shall be used as inputs to the compliance software for energy analysis.

R405.4.2.1 Compliance report for permit application. A compliance report submitted with the application for building permit shall include the following:

1. Building street address, or other building site identification.
2. A statement indicating that the proposed design complies with Section R405.3.
3. An inspection checklist documenting the building component characteristics of the proposed design as indicated in Table R405.5.2(1). The inspection checklist shall show results for both the standard reference design and the proposed design with user inputs to the compliance software to generate the results.
4. A site-specific energy analysis report that is in compliance with Section R405.3.
5. The name of the individual performing the analysis and generating the report.
6. The name and version of the compliance software tool.

R405.4.2.2 Compliance report for certificate of occupancy. A compliance report submitted for obtaining the certificate of occupancy shall include the following:

1. Building street address, or other building site identification.
2. A statement indicating that the as-built building complies with Section R405.3.
3. A certificate indicating that the building passes the performance matrix for code compliance and listing the energy saving features of the buildings.
4. A site-specific energy analysis report that is in compliance with Section R405.3.
5. The name of the individual performing the analysis and generating the report.
6. The name and version of the compliance software tool.

R405.4.3 Additional documentation. The code official shall be permitted to require the following documents:

1. Documentation of the building component characteristics of the standard reference design.
2. A certification signed by the builder providing the building component characteristics of the proposed design as given in Table R405.5.2(1).
3. Documentation of the actual values used in the software calculations for the proposed design.

R405.5 Calculation procedure. Calculations of the performance design shall be in accordance with Sections R405.5.1 and R405.5.2.

R405.5.1 General. Except as specified by this section, the standard reference design and proposed design shall be configured and analyzed using identical methods and techniques.

R405.5.2 Residence specifications. The standard reference design and proposed design shall be configured and analyzed as specified by Table R405.5.2(1). Table R405.5.2(1) shall include, by reference, all notes contained in Table R402.1.2.

**TABLE R405.5.2(1)
SPECIFICATIONS FOR THE STANDARD REFERENCE AND PROPOSED
DESIGNS**

BUILDING COMPONENT	STANDARD REFERENCE DESIGN	PROPOSED DESIGN
Above-grade walls	Type: mass wall if proposed wall is mass; otherwise wood frame.	As proposed
	Gross area: same as proposed	As proposed
	U-factor: as specified in Table R402.1.4	As proposed
	Solar absorptance = 0.75	As proposed
	Emittance = 0.90	As proposed
Basement and crawl space walls	Type: same as proposed	As proposed
	Gross area: same as proposed	As proposed
	U-factor: from Table R402.1.4, with insulation layer on interior side of walls	As proposed
Above-grade floors	Type: wood frame	As proposed
	Gross area: same as proposed	As proposed
	U-factor: as specified in Table R402.1.4	As proposed
Ceilings	Type: wood frame	As proposed
	Gross area: same as proposed	As proposed
	U-factor: as specified in Table R402.1.4	As proposed
Roofs	Type: composition shingle on wood sheathing	As proposed
	Gross area: same as proposed	As proposed
	Solar absorptance = 0.75	As proposed
	Emittance = 0.90	As proposed
Attics	Type: vented with aperture = 1 ft ² per 300 ft ² ceiling area	As proposed
Foundations	Type: same as proposed	As proposed
	Foundation wall area above and below grade and soil characteristics: same as proposed	As proposed
Opaque doors	Area: 40 ft ²	As proposed
	Orientation: North	As proposed
	U-factor: same as fenestration from Table R402.1.4	As proposed
Vertical fenestration other than opaque doors	Total area ^b = (a)The proposed glazing area, where the proposed glazing area is less than 15 percent of the conditioned floor area (b)15 percent of the conditioned floor area, where the proposed glazing area is 15 percent or more of the conditioned floor area	As proposed
	Orientation: equally distributed to four cardinal compass orientations (N, E, S & W).	As proposed
	U-factor: as specified in Table R402.1.4	As proposed
	SHGC: as specified in Table R402.1.2 except that for climates with no requirement (NR) SHGC = 0.40 shall be used.	As proposed
	Interior shade fraction: 0.92-(0.21 × SHGC for the standard reference design)	0.92-(0.21 × SHGC as proposed)
External shading: none	As proposed	
Skylights	None	As proposed

BUILDING COMPONENT	STANDARD REFERENCE DESIGN	PROPOSED DESIGN
Thermally isolated sunrooms	None	As proposed
Air exchange rate	Air leakage rate of 5 air changes per hour in climate zones 1 and 2, and 3 air changes per hour in climate zones 3 through 8 at a pressure of 0.2 inches w.g (50 Pa). The mechanical ventilation rate shall be in addition to the air leakage rate and the same as in the proposed design, but no greater than $0.01 \times CFA + 7.5 \times (N_{br} + 1)$ where: CFA = conditioned floor area N_{br} = number of bedrooms Energy recovery shall not be assumed for mechanical ventilation.	For residences that are not tested, the same air leakage rate as the standard reference design. For tested residences, the measured air exchange rate ^a . The mechanical ventilation rate ^b shall be in addition to the air leakage rate and shall be as proposed.
Mechanical ventilation	None, except where mechanical ventilation is specified by the proposed design, in which case: Annual vent fan energy use: $kWh/yr = 0.03942 \times CFA + 29.565 \times (N_{br} + 1)$ where: CFA = conditioned floor area N_{br} = number of bedrooms	As proposed
Internal gains	$IGain = 17,900 + 23.8 \times CFA + 4104 \times N_{br}$ (Btu/day per dwelling unit)	Same as standard reference design.
Internal mass	An internal mass for furniture and contents of 8 pounds per square foot of floor area.	Same as standard reference design, plus any additional mass specifically designed as a thermal storage element ^c but not integral to the building envelope or structure.
Structural mass	For masonry floor slabs, 80 percent of floor area covered by R-2 carpet and pad, and 20 percent of floor directly exposed to room air.	As proposed
	For masonry basement walls, as proposed, but with insulation required by Table R402.1.4 located on the interior side of the walls	As proposed
	For other walls, for ceilings, floors, and interior walls, wood frame construction	As proposed
Heating systems ^{d,e}	As proposed for other than electric heating without a heat pump, where the proposed design utilizes electric heating without a heat pump the standard reference design shall be an air source heat pump meeting the requirements of Section C403 of the IECC-Commercial Provisions. Capacity: sized in accordance with Section R403.7	As proposed
Cooling systems ^{d,f}	As proposed Capacity: sized in accordance with Section R403.7.	As proposed
Service water heating ^{d,e,f,g}	As proposed Use: same as proposed design	As proposed gal/day = $30 + (10 \times N_{br})$
Thermal distribution	Duct insulation: From Section R403.3.1	As tested or as specified

BUILDING COMPONENT	STANDARD REFERENCE DESIGN	PROPOSED DESIGN
systems	A thermal distribution system efficiency (DSE) of 0.88 shall be applied to both the heating and cooling system efficiencies for all systems other than tested duct systems. For tested duct systems, the leakage rate shall be 4 cfm (113.3 L/min) per 100 ft ² (9.29 m ²) of conditioned floor area at a pressure of differential of 0.1 inches w.g. (25 Pa).	in Table R405.5.2(2) if not tested. Duct insulation shall be as proposed.
Thermostat	Type: Manual, cooling temperature setpoint = 75°F; Heating temperature setpoint = 72°F	Same as standard reference

For SI: 1 square foot = 0.93 m², 1 British thermal unit = 1055 J, 1 pound per square foot = 4.88 kg/m², 1 gallon (US) = 3.785 L, °C = (°F-32)/1.8, 1 degree = 0.79 rad.

- Where required by the code official, testing shall be conducted by an approved party. Hourly calculations as specified in the ASHRAE *Handbook of Fundamentals*, or the equivalent shall be used to determine the energy loads resulting from infiltration.
- The combined air exchange rate for infiltration and mechanical ventilation shall be determined in accordance with Equation 43 of 2001 ASHRAE *Handbook of Fundamentals*, page 26.24 and the "Whole-house Ventilation" provisions of 2001 ASHRAE *Handbook of Fundamentals*, page 26.19 for intermittent mechanical ventilation.
- Thermal storage element shall mean a component not part of the floors, walls or ceilings that is part of a passive solar system, and that provides thermal storage such as enclosed water columns, rock beds, or phase-change containers. A thermal storage element must be in the same room as fenestration that faces within 15 degrees (0.26 rad) of true south, or must be connected to such a room with pipes or ducts that allow the element to be actively charged.
- For a proposed design with multiple heating, cooling or water heating systems using different fuel types, the applicable standard reference design system capacities and fuel types shall be weighted in accordance with their respective loads as calculated by accepted engineering practice for each equipment and fuel type present.
- For a proposed design without a proposed heating system, a heating system with the prevailing federal minimum efficiency shall be assumed for both the standard reference design and proposed design.
- For a proposed design home without a proposed cooling system, an electric air conditioner with the prevailing federal minimum efficiency shall be assumed for both the standard reference design and the proposed design.
- For a proposed design with a nonstorage-type water heater, a 40-gallon storage-type water heater with the prevailing federal minimum energy factor for the same fuel as the predominant heating fuel type shall be assumed. For the case of a proposed design without a proposed water heater, a 40-gallon storage-type water heater with the prevailing federal minimum efficiency for the same fuel as the predominant heating fuel type shall be assumed for both the proposed design and standard reference design.

TABLE R405.5.2(2)
DEFAULT DISTRIBUTION SYSTEM EFFICIENCIES FOR PROPOSED DESIGNS^a

DISTRIBUTION SYSTEM CONFIGURATION AND CONDITION	FORCED AIR SYSTEMS	HYDRONIC SYSTEMS ^b
Distribution system components located in unconditioned space	—	0.95
Untested distribution systems entirely located in conditioned space ^c	0.88	1
"Ductless" systems ^d	1	—

For SI: 1 cubic foot per minute = 0.47 L/s, 1 square foot = 0.093 m², 1 pound per square inch = 6895 Pa, 1 inch water gauge = 1250 Pa.

- Default values given by this table are for untested distribution systems, which must still meet minimum requirements for duct system insulation.
- Hydronic systems shall mean those systems that distribute heating and cooling energy directly to individual spaces using liquids pumped through closed-loop piping and that do not depend on ducted, forced airflow to maintain space temperatures.
- Entire system in conditioned space shall mean that no component of the distribution system, including the air-handler unit, is located outside of the conditioned space.
- Ductless systems shall be allowed to have forced airflow across a coil but shall not have any ducted airflow external to the manufacturer's air-handler enclosure.

R405.6 Calculation software tools. Calculation software, where used, shall be in accordance with Sections R405.6.1 through R405.6.3.

R405.6.1 Minimum capabilities. Calculation procedures used to comply with this section shall be software tools capable of calculating the annual energy consumption of all building elements that differ between the standard reference design and the proposed design and shall include the following capabilities:

1. Computer generation of the standard reference design using only the input for the proposed design. The calculation procedure shall not allow the user to directly modify the building component characteristics of the standard reference design.
2. Calculation of whole-building (as a single zone) sizing for the heating and cooling equipment in the standard reference design residence in accordance with Section R403.6.
3. Calculations that account for the effects of indoor and outdoor temperatures and part-load ratios on the performance of heating, ventilating and air-conditioning equipment based on climate and equipment sizing.
4. Printed code official inspection checklist listing each of the proposed design component characteristics from Table R405.5.2(1) determined by the analysis to provide compliance, along with their respective performance ratings (*R*-value, *U*-factor, SHGC, HSPF, AFUE, SEER, EF are some examples).

R405.6.2 Specific approval. Performance analysis tools meeting the applicable provisions of Section R405 shall be permitted to be approved. Tools are permitted to be approved based on meeting a specified threshold for a jurisdiction. The code official shall be permitted to approve tools for a specified application or limited scope.

R405.6.3 Input values. When calculations require input values not specified by Sections R402, R403, R404 and R405, those input values shall be taken from an approved source.

SECTION ECC R406 ENERGY RATING INDEX COMPLIANCE ALTERNATIVE

R406.1 Scope. This section establishes criteria for compliance using an Energy Rating Index (ERI) analysis.

R406.2 Mandatory requirements. Compliance with this section requires that (1) the provisions in Sections R401 through R404 labeled as “mandatory” and (2) the provisions of Section R403.5.3 be met. The building thermal envelope shall be greater than or equal to levels of efficiency and Solar Heat Gain Coefficient in Table 402.1.1 or 402.1.3 of the 2011 *New York City Energy Conservation Code*.

Exception: Supply and return ducts not completely inside the building thermal envelope shall be insulated to a minimum of R-6.

R406.3 Energy Rating Index. The Energy Rating Index (ERI) shall be a numerical integer value that is based on a linear scale constructed such that the ERI reference design has an Index value of 100 and a residential building that uses no net purchased energy has an Index value of 0. Each integer value on the scale shall represent a 1-percent change in the total energy use of the rated design relative to the total energy use of the ERI reference design. The ERI shall consider all energy used in the residential building.

R406.3.1 ERI reference design. The ERI reference design shall be configured such that it meets the minimum requirements of the 2006 *International Energy Conservation Code* prescriptive requirements.

The proposed residential building shall be shown to have an annual total normalized modified load less than or equal to the annual total loads of the ERI reference design.

R406.4 ERI-based compliance. Compliance based on an ERI analysis requires that the rated design be shown to have an ERI less than or equal to the appropriate value listed in Table R406.4 when compared to the ERI reference design.

**TABLE R406.4
MAXIMUM ENERGY RATING INDEX**

CLIMATE ZONE	ENERGY RATING INDEX
1	52
2	52
3	51
4	54
5	55
6	54
7	53
8	53

R406.5 Verification by approved agency. Verification of compliance with Section R406 shall be completed by an approved third party.

R406.6 Documentation. Documentation of the software used to determine the ERI and the parameters for the residential building shall be in accordance with Sections R406.6.1 through R406.6.3.

R406.6.1 Compliance software tools. Documentation verifying that the methods and accuracy of the compliance software tools conform to the provisions of this section shall be provided to the code official.

R406.6.2 Compliance report. Compliance software tools shall generate a report that documents that the ERI of the rated design complies with Sections R406.3 and R406.4. The compliance documentation shall include the following information:

1. Address or other identification of the residential building.
2. An inspection checklist documenting the building component characteristics of the rated design. The inspection checklist shall show results for both the ERI reference design and the rated design, and shall document all inputs entered by the user necessary to reproduce the results.
3. Name of individual completing the compliance report.
4. Name and version of the compliance software tool.

Exception: Multiple orientations. Where an otherwise identical building model is offered in multiple orientations, compliance for any orientation shall be permitted by documenting that the building meets the performance requirements in each of the four (north, east, south and west) cardinal orientations.

R406.6.3 Additional documentation. The code official shall be permitted to require the following documents:

1. Documentation of the building component characteristics of the ERI reference design.
2. A certification signed by the builder providing the building component characteristics of the rated design.
3. Documentation of the actual values used in the software calculations for the rated design.

R406.7 Calculation software tools. Calculation software, where used, shall be in accordance with Sections R406.7.1 through R406.7.3.

R406.7.1 Minimum capabilities. Calculation procedures used to comply with this section shall be software tools capable of calculating the ERI as described in Section R406.3, and shall include the following capabilities:

1. Computer generation of the ERI reference design using only the input for the rated design.

The calculation procedure shall not allow the user to directly modify the building component characteristics of the ERI reference design.

2. Calculation of whole building, as a single zone, sizing for the heating and cooling equipment in the ERI reference design residence in accordance with Section R403.7.
3. Calculations that account for the effects of indoor and outdoor temperatures and part-load ratios on the performance of heating, ventilating and air-conditioning equipment based on climate and equipment sizing.
4. Printed code official inspection checklist listing each of the rated design component characteristics determined by the analysis to provide compliance, along with their respective performance ratings.

R406.7.2 Specific approval. Performance analysis tools meeting the applicable sections of Section R406 shall be approved. Tools are permitted to be approved based on meeting a specified threshold for a jurisdiction. The code official shall approve tools for a specified application or limited scope.

R406.7.3 Input values. When calculations require input values not specified by Sections R402, R403, R404 and R405, those input values shall be taken from an approved source.